MANAGEMENT STANDARDS

IMPROVEMENT

ASSESSMENT

COMPLIANCE

TRANSPARENCY

SUPPORT

Are you ready to start?

Caritas Internationalis

Manual for CI MS coordinators

Version 1 - 09/2015

INTRODUCTION

In the *Encyclical Deus Caritas Est*, the Holy Father Benedict XVI asks Caritas to professionalise its work, saying "individuals who care for those in need must first be professionally competent: they should be properly trained in what to do and how to do it, and committed to continuing care." Then he adds: "Yet, while professional competence is a primary, fundamental requirement, it is not of itself sufficient. We are dealing with human beings, and human beings always need something more than technically proper care. They need humanity. They need heartfelt concern… Consequently, in addition to their necessary professional training, these charity workers need a 'formation of the heart'."[1]

The Management Standards aim at organisational strengthening and are designed to make Member Organisations stronger, and as a result make the Confederation stronger and more effective. The standards are based on existing Caritas good practice and accepted global principles within the humanitarian and international development community. Engaging into continuous learning in fraternal collaboration the Confederation, based on and driven by the Christian Gospel and Catholic Social Teaching, aims to be a global organisation that responds to the needs of people affected by disasters and in development.

The Management Standards are effective *ad experimentum*[2] for all Member Organisations as of 1st January 2015.

The current manual was developed in order to support the work of the CI MS coordinators, and guide them through the different steps when implementing the CI MS. The chapters included in this manual are:

1.   Self-assessment
2.   Data Analysis and Prioritization
3.   ID CS development plan (to be developed)
4.   Monitoring and Learning (to be developed)
5.   External assessment

You will also find information on roles and responsibilities of different actors at different stages of the cycle when implementing the CI MS (Annex 0.1).

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[1] Deus Caritas Est, 31 a), Benedict XVI, 2005.

[2] In a 4 years experimental phase (until 31 December 2018) the confederation will learn what it means to apply these management standards, evaluate their implementation, after which the Representative Council will set the direction for the next phase. During the experimental phase there will be no negative consequences for MOs who do not meet the minimum level required for membership

Annex 0.1 ROLES AND RESPONSIBILITIES

CI MS processes	MO				Region[1]	General Secretariat
	Board	**Director (CEO/SG)**	**CI MS coordinator**	**Staff**		
1. ACKNOWLEDGEMENT	Board and Bishop(s) to acknowledge receipt of the CI MS and awareness of their function	To propose and guide the discussion in the Board preceding acknowledgement. To be overall responsible for the implementation of the CI MS in the organisation.	To facilitate at the Director's request the acknowledgement process		To promote the CI MS to MOs in the Region, to encourage and motivate them to acknowledge	To receive acknowledgement letters, to promote the CI MS and motivate (and remind) MOs to acknowledge. To inform RCs of acknowledgements and to work with regions as needed/required and based on the regional structures in place
2. APPOINTING CI MS COORDINATOR		To appoint coordinator and grant her/him an appropriate mandate in support of the Director			To assist CI in reminding MOs. To liaise with CI MS coordinators in implementing the regional institutional development strategy	To disseminate a profile of CI MS coordinator. To train CI MS coordinators
3. APPOINTING ASSESSORS		To propose candidate assessors to CI	Optional: to be an assessor		To inform General Secretariat regarding proposed assessors in as far as information is available within the region	To disseminate a profile of assessor. To train CI assessors. To consult the RC before accepting assessors. To accept assessors
4. SELF-ASSESSMENT	To participate in the self-assessment. To decide whether to forward the self-assessment outcomes to Region and General Secretariat	To decide whether, when and how to conduct a self-assessment. To participate in the self-assessment. To propose to the Board whether to forward the self-assessment outcomes to Region and General Secretariat	To coordinate the self-assessment (on different levels)	To participate in the self-assessment	Although the RC ought not to be directly engaged, to provide on request support to assist MO with self-assessment. To motivate and remind MOs	To motivate, encourage and guide the MOs and ensure their CI MS coordinators are trained and have all necessary tools
5. CI ASSESSMENTS	To submit documents to CI	To propose to Board to submit documents to CI after financial audit report	To collect all required documents and information and present them to the Director	To contribute to bringing together the documentation to be submitted	To advise CI. To keep track of the responses and (on a confidential basis) to receive final assessment reports	To train assessors and assign them to MOs in accordance with impartiality criteria. To consult the RCs and send them (on a confidential basis) the final assessment reports

[1]Although Regions may not have a formal responsibility in the CI MS processes, they are – to different extents – willing to use their vicinity to the MOs for supporting the General Secretariat in its work.

Annex 0.1   ROLES AND RESPONSIBILITIES

ID CS processes	MO[2]				Region	General Secretariat
	Board	Director (CEO/SG)	CI MS coordinator[3]	Staff		
1. The heart that sees: Understand the roots of the findings – diagnosis		To involve all internal stakeholders (Bishops, management, staff,...)			To propose accompaniment or to provide it upon request	Assistance upon request of the Region or MO
2. Developing Institutional Development and Capacity Strengthening Plan (ID CS Plan)	To approve the ID CS Plan	To propose the ID CS Plan	To coordinate the data analysis and prioritization as well as the subsequent formulation of the ID CS Plan on the basis of the assessment.		To provide accompaniment in line with the regional strategy, to give hope and provide support where needed. To develop and/or propose to the General Secretariat concrete support activities, like peer-to-peer assistance, trainings, workshops	To be available (on request of Regions or MOs) for support, assistance and trainings. To create database of best practices
3. Implementation of the plan		To lead the implementation of the approved plan, to make staff responsible for specific parts and activate them	To coordinate the implementation of the ID CS Plan. If needed during the implementation, to ask support from the regional secretariat or the General Secretariat.	To participate in the implementation of the ID CS Plan where needed	As under 2, and to provide links to other MOs where useful	As under 2
4. Monitoring & Evaluation	To be informed about the developments and/or about the required changes.	To define moments and procedures for monitoring and evaluating the implementation of the plan. To supervise the M&E cycle	To organize the M & E of the ID CS Plan implementation. To report to Director on the progress of the ID CS Plan	To be informed about the developments and/or about the required changes.	As under 2	As under 2. In case of ID CS Plan to address non-compliance: to receive reports and advise Review Committee
5. Resourcing the plan		To find resources, and, if necessary, to look for assistance with partners, Region, ID CS etc.			As under 3	As under 2

[2] MOs are responsible for their own institutional development, which implies that they have the final say on all steps throughout these processes. The Region and the General Secretariat provide accompaniment and support on request, but can also make unsolicited proposals to the MO.

[3] The CI MS coordinator may have a coordinating role in the ID CS processes, but MOs may also have different solutions depending on size and availability of expertise.

READER'S GUIDE

This manual was written for all Caritas Internationalis Member Organizations. As they are all different in size, organizational structure, processes the CI MS coordinator is asked to always make a careful 'translation' to their own Caritas organization.

Some specific points in this respect:

A. The term Director will be used throughout this manual to indicate the top executive of the organization, whose title could be Secretary General, (General) Director, Chief Executive Officer etc.

B. The term Board indicates the governance level of the organization.

C. The term management team indicates the executive level of the organization (Director and heads of the department and/or top managers and/or other directors)

Each chapter has the same structure and in order to orient yourself in this manual the following symbols will be used :
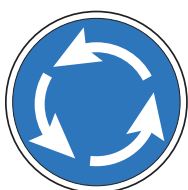
PURPOSE   ADVANTAGES   CHALLENGES

PARTICIPANTS   PROCESS   METHODOLOGY   NEXT STEPS

This manual is a living document that will be regularly updated based on the experience of the member organizations, and new chapters might be added.

SELF-ASSESSMENT

INTRODUCTION

Caritas Internationalis (CI) Member Organizations (MOs) are invited to:

- Implement the CI Management Standards as a basis for their own institutional development and capacity strengthening (IDCS)
- In their mutual partnerships refer to these standards when discussing organizational strengths and weaknesses as well as long-term institutional development goals.

In this context MOs are encouraged to regularly undertake a structured and participatory **self-assessment** using the **Self-Assessment Tool** made available by CI (Appendix 4[3] in the CI MS materials). This tool enables Caritas organizations to reflect on the extent to which they meet the standards.

INSTITUTIONAL DEVELOPMENT AND CAPACITY STRENGTHENING

The ultimate goal of the IDCS, that the self-assessment is part of, is to ensure that the organization better achieve its mission rooted in faith and serve the people in an accountable manner. This is a deliberate process that improves the ability of an organization, network, group and individual to function effectively, work towards sustainability and achieve goals.

IDCS is a complex and organic internal change process, the path each organization takes will be different; however there are some essential steps and stages. All those involved in supporting IDCS (including those external to CI) should be consulted and where appropriate be involved at each of the 5 stages. CI MOs have a shared responsibility to ensure that these 5 stages are respected:

1. A critical first step is for the organization, especially its governance and senior leadership to fully commit and take ownership of the organization's IDCS process.
2. The organization then conducts a structured and participatory self-assessment (sometimes facilitated externally) to identify areas needing improvement and areas of strengths to be sustained.
3. As the issues that all organisations struggle with often go much deeper than simply management or technical issues the organisation needs to reflect upon these deeper issues and identify the issues that have hindered progress. To create real organisational change the process must address resistance against change and connect with the values that drive behaviour. Faith has the power to motivate

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[3] Please note that the same assessment tool will be used for the assessments done externally.

organisations to let go of unhelpful behaviour and create positive energy for change[4].

4. After thorough analysis and prioritization of the capacity needs, the organization develops an IDCS plan with concrete actions to implement, people responsible, resources needed, timeline and indicators for measurement.

5. The organization then carries out the actions in their plan and conducts periodic reviews of progress towards achieving benchmark standards, refining the IDCS plan as needed. This follow up helps build a culture of continual learning and accountability. Regular re-assessment is necessary to document the change, learn about the constraints and move forward with the IDCS.

Again, the IDCS is a cycle in a repetitive process, which ensures that the Member Organization is a sustainable and accountable organization, which fully achieves its mission.

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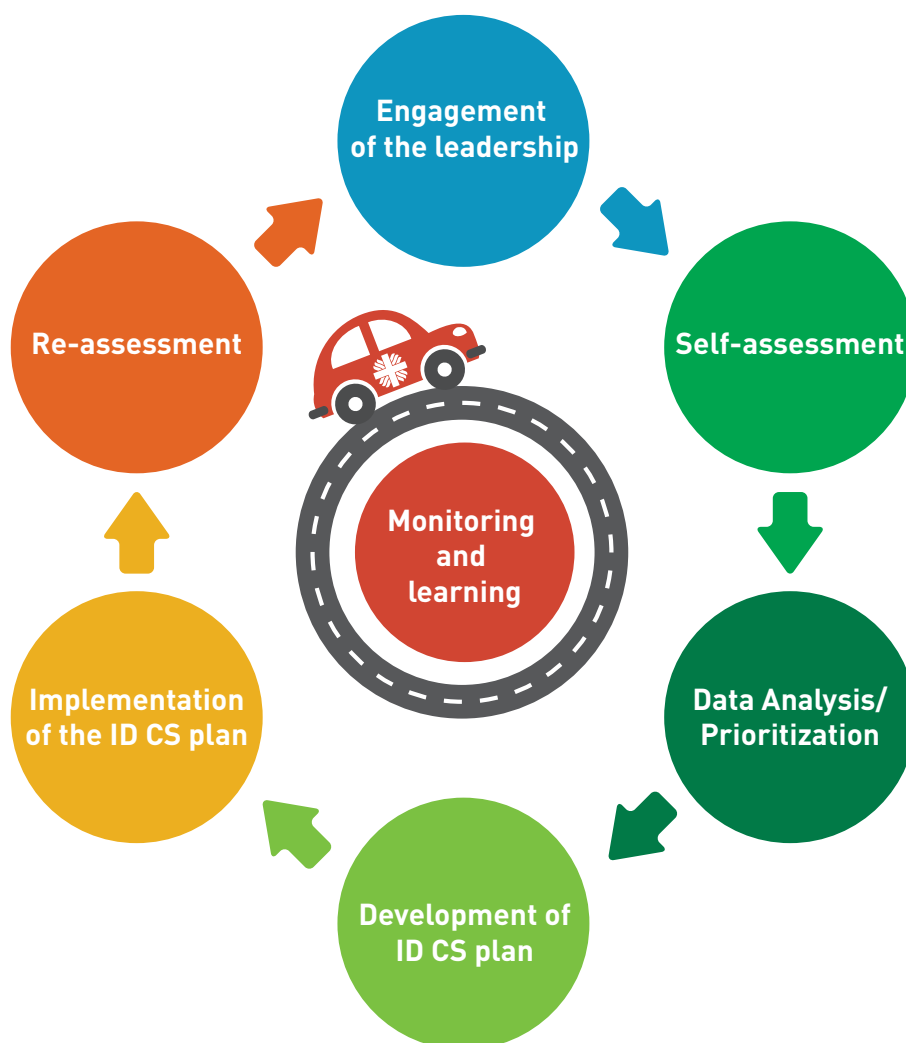
[4] Inspiring Change, Creating More Space for Grace in Church Organisations, Rick James, Digni, 2012
http://www.digni.no/newsread/readimage.aspx?asset=DAM:234
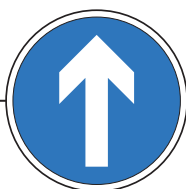
PURPOSE OF THE SELF-ASSESSMENT

The aim of doing the self-assessment is to check the extent to which the organization is meeting the standards and to measure its performance level, thereby identifying **strengths** (which translate in expertise that could contribute to the network) and **weaknesses** (which could be tackled in an IDCS process).

Even though CI does not require any particular way for conducting the self-assessment, this guide intends to support the self-assessment process by presenting suggestions and recommendations to the MOs and their CI MS Coordinators for a self-assessment process, on the basis of good practice experiences from the Caritas network. It builds on the chapter 'Six steps of the self-assessment process' in the CI MS Roadmap (Annex 1.2).

It is the Caritas organization itself who should agree on the most adequate (and effective) procedure to achieve a realistic picture of its own situation and to find **fair answers** to the questions in the tool. The methodology for the self-assessment could include workshops, meetings, interviews, secondary data analysis, records checking, specific surveys and their combination. Each methodology has its own advantages and disadvantages. (Please see more under the Methodology below.)

Each Caritas organization, depending on factors like its size, the local context and legislation, or specific guidelines of the Bishop(s), has its own organizational structure, which cannot all be reflected in a general guide like this one. When applying elements from this guide the CI MS coordinator should therefore make an adequate 'translation' for her/his own organization.

ADVANTAGES OF THE SELF-ASSESSMENT

Organizational self-assessment provides systematic feedback to an organization on how it is doing. It is a process of diagnosis and reflection that leads to action. And the more the process is planned and internalized, the more likely that the organization will act on the

results. Planned, systematic self-assessment is a self-strengthening process – it builds muscles for reflection and learning. And the more you reflect and learn and then act on your learning, the better you do it next time. Self-assessment creates a habit for continuous learning and improvement. Here are some advantages of the self-assessment:

- Baseline documentation: the assessment provides a baseline document from which to measure improving results over time.
- Efficiencies: the assessment can recommend small changes that save time and money without compromising results as well as identify problems areas that need to be addressed quickly.
- Resources: leverages access to template policies, checklists, and other useful materials that can help streamline otherwise tedious work.
- Indicates constant good health of the organization
- Best practice model for learning organizations
- It contributes to defining preventative action: anticipates occurrences that might affect the mission, vision and plans based on those assumptions
- Contributes to identifying corrective actions to organizational weaknesses
- Helps identify successes and opportunities for improvement
- It can jump-start a change initiative or energize current initiatives
- It energizes the workforce
- It helps to focus the organization and its staff members on common goals
- It assesses your organization's performance against comparable organizations
- It could serve as a guide to align your resources with your strategic objectives
- It is a means to deliver world-class results and meet standard benchmark for recognition by certification, registration, affiliation etc.

CHALLENGES OF THE SELF-ASSESSMENT

The self-assessment is a joyful process but it has also some limitations.
Here are some of the major challenges:

- Even though the SA tool is in multiple languages, staff of many MOs might struggle understanding all questions in the tool. Thus, to ensure the access and participation of all staff in the self-assessment process the MO might consider translating the self-assessment tool into the local language.

- Everybody in the organizations is busy with their everyday work and they perceive the self-assessment as an excessive exercise they need to be involved in. They realize that it takes time (especially in the form of workshop) and try to avoid participation. Also, sometimes staff lacks motivation to participate in the self-assessment as they are not very clear about its value-added for the organization. Director and CI MS Coordinator can motivate and inspire staff to participate in the SA by proactively communicating the advantages of the SA and its importance to the organizations' performance and sustainability.

- If the organization is committed to IDCS and ultimately to better effectiveness and sustainability, they should commit time and resources for the IDCS, including SA. The CI MS Coordinator should be supported and authorized to organize and coordinate the SA. MOs might request for an assistance from the peer MOs or funding partners. If the CI MS Coordinator lacks facilitation skills he/she should be trained in this or, again, the peer or funding partner MOs can help.

- Staff does not often realize the importance of the IDCS and need for the change. Change is not always easy and there is reluctance to change. Again, the governance and leadership of the organization should explain the staff the purpose of IDCS, its process, the place of the SA in it, etc. Director and CI Coordinator might share with the staff the success stories from the peer MOs engaged in the IDCS and peer MOs themselves might share their stories.

- Once the self-assessment is done the staff and sometimes management thinks that the process is over and they should not commit any energy and time to this process anymore. They think that it is others' responsibility to implement the IDCS plan. However, engaging them in the data analysis, prioritization and action planning process and assigning them the roles and responsibilities to implement the IDCS plan will promote their commitment and excitement over next steps. The proper follow up and monitoring of the implementation of the IDCS plan, sharing of the success and lessons will encourage staff and management to continue implementing the change in their organization.

PARTICIPANTS

A critical first step is for the organization, especially its governance and senior leadership to fully commit and take ownership of the organization's IDCS process. Again, the self-assessment is one of the steps in the IDCS process.

Whichever methodology is going to be applied for the self-assessment, it is essential that it is open, fair and **participatory**, involving various individuals and groups within an organization. This will enhance ownership of the outcomes of the self-assessment as well as guarantee a well-informed self-assessment process.

Management could look at the overall perspective, while staff could be asked to self-assess their own areas of expertise, e.g. by standard:

1. Laws and Ethical Codes
2. Governance and Organisation
3. Finance and Accountability
4. Stakeholder Involvement.

In larger organizations it could be helpful to do the self-assessment first on different levels (governance, management, staff), so that each level from their own perspective can contribute and the contributions from the various levels can be compared to each other.

More specifically it is recommended:
- The President of the Board –after a proposal by the Director– should take the decision to conduct a self-assessment, or endorse such a decision.
- The Director, the senior managers and the CI MS coordinator should in any case participate in the self-assessment
- Others to be involved could be: (members of) the Board and staff members (especially those experts, e.g. from finance and human resource management, who are key for the follow-up of the self-assessment result: the IDCS plan).

Given our nature as Church and the specific responsibility of the Bishops it is important to involve the Bishops in the self-assessment process in such a way that they can recognize and identify with the outcomes of the self-assessment. The minimum would be to inform the Bishop who in the Episcopal Conference is responsible for Caritas and ask him to inform the Conference. However, a more active involvement of the 'Caritas Bishop', the Bishop responsible for finance and perhaps another Bishop (who has an open eye for the importance of professionalism in a Caritas organization) could be most helpful.

Some reasons for organizing the self-assessment in a participatory way and in teams:

- **More eyes, more ideas**
- **Different knowledge levels**
- **Ownership and active participation**
- **Easy way to identify changes needed**
- **It is a self-revealing moment**
- **Capacities for recognition and action**
- **It is fun!**
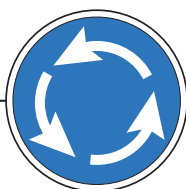
PROCESS

The process of self-assessment is suggested to be done in the following order:

1. The CI MS coordinator discusses with the Director the process for conducting the self-assessment. The Director (who is ultimately responsible) informs the President and the Board about the self-assessment process.

2. The President endorses the start of the self-assessment process, and could e.g. announce the composition of the group(s) who are going to be involved. The President also informs the 'Caritas Bishop' and any other Bishop who could be a (more or less) active supporter of the self-assessment.

3. The CI MS coordinator designs a plan for the self-assessment and discusses this with the Director.

4. After approval by the Director of the plan for the self-assessment process the CI MS coordinator facilitates and coordinates the process.

5. The CI MS coordinator brings together the results of the self-assessment and presents these to the Director. After discussion the Director shares the results with the President and all who were involved.

6. At the appropriate level (Board and/or Director) an analysis is made to identify the underlying causes of the 'low scores'. If the organization prefers, they can also discuss the main reasons for the "high scores". As the issues that all organisations struggle with often go much deeper than simply management or technical issues the organisation needs to reflect upon these deeper issues and identify the issues that have hindered progress. Decisions about prioritisation (of weakness to be addressed) are taken as a basis of the IDCS plan development. See the CI MS Roadmap for some suggestions on prioritisation. For further reading see chapter 2.

7. The IDCS plan is developed by experts or people responsible for the areas to be addressed. The CI MS coordinator could facilitate the process and present the draft IDCS plan to the Director for approval. For further reading see chapter 3.

Notes:

a. The self-assessment could be one of the preparatory activities of a strategic planning process, so that the strengths and weaknesses identified could feed into the strategy. In other words: the IDCS plan would be an integral part of the operationalization of the strategy.

b. It is recommended to repeat the self-assessment on a regular basis, e.g. annually or bi-annually, in order to monitor the progress in the organisation. This could be part of a strategy review process.

c. Members are invited to share their organizational strengths with the Caritas network, e.g. by making manuals and other documents available through the CI MS & Institutional Development working group on Baobab, but also by being available to assist fellow Caritas organizations with their expertise in a peer-to-peer support process.

METHODOLOGY

The methodology to be used for the self-assessment (Nr 4 in the description of the process above) is at the choice of the Caritas organization. However, it is strongly advised to use a methodology centred around a workshop. Sufficient time should be reserved for the workshop with each group. For the governance and management levels it may be an idea to link the self-assessment workshop to a meeting which is already in the calendar, adding e.g. a day to an already planned Board meeting.

Effective moderation of a workshop is crucial for a good process and clear outcomes. If possible the facilitator should be external to the organization but familiar with the Caritas world, e.g. the CI MS coordinator of a neighbouring Caritas.

In Annex 1.1 an example is given of a self-assessment centred around a workshop methodology. If a MO chooses such a set-up they need to be conscious of the potential need to adapt the methodology depending on their size and organization structure.

Notes:

a. It may be beneficial to share the self-assessment results with funding partners after the self-assessment workshop. However, it is recommended to agree in advance on safeguards to ensure that the organization itself keeps ownership of the outcomes as well as of the follow-up of the self-assessment.

b. Check the forum in the working group CI MS & Institutional Development on Caritas Baobab for experiences shared by fellow Member Organizations.

c. Depending on the size of the organization and its context the organization may want to decide for a different methodology than the workshop, e.g. a meeting of all staff (in a small organization), small group discussions, a questionnaire, interviews, or combination of one or more methodologies.

HOW TO SCORE

The self-assessment questionnaire (appendix 4 of the CIMS document) is an automated tool in Excel. The four standards in the CI MS each consist of eight articles. For each of the 32 articles the self-assessment tool contains a number of questions, worded as good practices. The first worksheet of the Excel sheet gives an introduction on the scoring, the next one shows the questions and space for the scores and explanatory notes, the final two worksheets automatically present the scores per article.

The organization is advised to also use appendix 2 of the CIMS document (the auditor's checklist), which could be filled in by the finance manager (together with the finance team) and used as supporting document for the scores in the self-assessment tool for standard 3 (Finance & Accountability).

In both the self-assessment tool (appendix 4) and the auditor's checklist (appendix 2) five scores can be given (1, 2, 3, 4 or 5), or alternatively the response can be left empty when the question is not applicable for the MO. In this last case the question will not be taken into account and (negatively) affect the average score.

1. **Not existing:** the good practice described in the appendices 2 and 4 is relevant for the MO but is lacking or not in place at all, or just exists verbally and has not been recorded into written and officially approved documentation. The good practice is not applied at all;

2. **Rarely or insufficient:** the good practice described is in a partial or very rudimentory manner documented but to be considered inadequate for the size and complexity of MO either because important elements are absent or described on a substandard manner or the documentation has not been approved by the proper authority of the MO. The good practice is rarely or incidentally applied;

3. **Normally or sufficient:** the good practice described is documented and approved by the proper authority within the MO to a degree which at present could be considered appropriate or satisfactory for the time being. The good practice is normally applied;

4. **Mostly or good:** the good practice described is well documented and more than adequate for the size and complexity of the MO even if its activities would expand or grow. The good practice is mostly applied, but not always, exceptions do occur;

5. **Always or exemplary:** the good practice is extensively documented and of the highest quality and more than adequate for the MO now and prepared for future growth of the MO. It includes suitable explanations with substantiation and can serve training purposes for (new) staff. It could serve as an example for comparable MOs. The good practice is always without exception applied.

Each discussion group of the workshop should ideally be facilitated by one of the group members, who has a computer with the self-assessment questionnaire open. Through discussion the group should try to decide on a single score for each of the questions. Where

it is not possible to achieve consensus, a majority decision may be sought, but it should be borne in mind that it is not just a mechanical voting exercise, as some participants may well have greater insight on a particular issues than others.

At the end of the group work each group will automatically have a full overview of 'their' scores.

In a final step the scores of each group should be compared with each other, e.g. in a discussion among the group facilitators. Where participants have significantly differing views on a particular issue, the decision should be based on the force of the argument rather than the dominance of particular personalities.

It is hoped that through this collegial process one common understanding of the organization emerges.

NEXT STEPS

After the self-assessment it will be the task of the management to analyze the outcomes and come to conclusions about the underlying causes of organizational weaknesses, which will then have to be addressed. They can also discuss the major reasons for the strengths.

In many cases resources will be limited, so that improvement measures will need to be prioritized. Factors like the sustainability of the organization, the feasibility of strategic choices and the risks involved in certain weaknesses may play a role in the prioritization. The CI MS Roadmap also gives some suggestions on the prioritization process. It is the role of management to make sure that a proper prioritization takes place and that decisions are made.

On the basis of prioritized weaknesses the IDCS plan can then be drafted, which could e.g. be done by the CI MS coordinator, using techniques like the logical framework.

A methodology to arrive at a well-designed improvement plan could be also the use of problem and solution trees (For more guidance on Data Analysis and Prioritization please see the Chapter 2).

EXAMPLE OF A SELF-ASSESSMENT CENTRED AROUND A WORKSHOP METHODOLOGY

WHAT IS A WORKSHOP?

A workshop is a methodology for achieving group results by engaging group members to contribute to the end result. It usually entails a discussion, guided by pre-defined questions, in groups that are small enough to give all members the opportunity to participate actively (rule of thumb: 5 – 10 members per group). There may be several of these groups, whose results will have to be brought together after the group work.

In the case of a CI MS self-assessment workshop the questions to be discussed are those from the self-assessment questionnaire (appendix 4 to the CI MS). Groups of staff could discuss and score only the part of the questionnaire in which they are expert, whereas it is advisable that the general management and governance levels discuss and score all questions.

During the workshop the questions are asked and the scoring as a result of discussions. The facilitator either works with small groups (if the number of participants is high) or in the plenary. Workshop may save time by gathering everyone together for a set period. It may bring together those who do not interact frequently (board and staff, program and finance, etc.) Everyone knows what the results of the initial assessment are and can feel ownership. However, there are also some disadvantages to the workshop. An unskilled facilitator may not be able to guide the process properly, resulting in lost time, effort, and resources. He/she must have good note-takers or data may be lost. There is limited (or no) anonymity in responses, therefore may not be appropriate in low-trust settings. Some people may not be comfortable speaking out.

PREPARATIONS

The CI MS coordinator is advised to make a plan (which could be very simple, depending on the size and structure of the organization) for the workshop, in which the following elements are defined:

- Who will participate and how will participants be grouped
- Who will facilitate the whole workshop? The facilitator should be a neutral person, who can ask 'naive' questions and has the organizational and communicative skills to lead the workshop process. Preferably the person should be from outside the organisation but with experience in assessments and a Caritas environment. The facilitator could e.g. be the CI MS coordinator of a neighbouring Caritas organization
- At what day(s) will the workshop take place

- How will the results of the various groups be reconciled and summarized into the end result?

As part of the preparations the CI MS coordinator could make an inventory of relevant documents (manuals, handbooks, rule books etc.) that are available in the organization, and inform participants about the existence of these documents.

WHO SHOULD BE INVOLVED?

The Director, the senior managers and the CI MS coordinator should *in any case* participate in the self-assessment workshop. Others to be involved *could be*: (members of) the Board and staff members (especially those experts who are key for the follow-up of the self-assessment result: the IDCS plan).

If the organization is large enough staff members might do the workshop in groups by area of work, e.g. human resource or finance. Managers could either work in a group of their own, or join the staff groups, but in any case it is advisable for them to go through all the questions of the self-assessment tool.

If members of the Board are not actively involved in the self-assessment they should at least be informed at the start and the end of the process and also have the opportunity to discuss the outcomes with the Director and possibly senior management and the CI MS coordinator.

In many countries it is crucial to secure the ownership of the ecclesiastical authorities: at least the Bishop responsible for the national Caritas, but preferably other Bishops with an open eye for professionalism and accountability, or even the entire Episcopal Conference.
It will depend on the situation in the country how exactly the Bishops will be involved, but in any case it is important that they identify with the outcomes of the workshop and support what is to follow after the self-assessment: drafting and implementing a IDCS plan.

SIX STEPS OF THE SELF-ASSESSMENT PROCESS
(from CI MS Roadmap)

1. IDENTIFY RESPONSIBLE STAFF
Identify for all 32 articles the relevant responsible staff in your MO (use app. 1);

2. IDENTIFY EXISTING DOCUMENTATION
List with the help of those staff the latest documentation (use app. 3 for recording);

3. PERFORM SELF-ASSESSMENT
Ask those staff to self-assess their area of competence (use app. 4), preferably in well-structured groups to share insights and opinions and come to well-founded conclusions. Ask the Finance Manager to self-assess also the financial assessment (use app. 2);

4. COLLECT OUTCOME SELF-ASSESSMENT
Use the automated outcome from app. 2 and 4 to identify the articles whereby the outcome wasn't considered sufficient (score below 3). Use the app. 3 records to identify articles whereby no or limited written documentation is available to support compliance;

5. PRIORITISE OUTCOME AND REPORT TO SENIOR MANAGEMENT
Report to senior management on all articles for which the score was below the desired minimum of 3. Prioritise those articles for which urgent improvement is needed and report with the help of appendix 3 to senior management.

Considerations for prioritisation are: urgency of topic, significance of topic for (important) stakeholders, potential for improving successfully, availability of existing resources (people and/or finance), difficulty / easiness to address the topic, importance for the survival of the MO, risk of ignoring or forgetting about this topic.

Another aid for determining which articles require a high(er) priority could be the impact of the score of that article within the Management Standard and thereby influencing the (average) score of the Management Standard. Those six articles[5] of the CI MS which must score sufficiently (minimum score 3) are of the highest priority.

When there are no procedures and or other written proof in place regarding an article and subsequently the score is 1 (non-existing), assistance is available with existing good practice of other MOs on Caritas Baobab, *CI MS & Institutional Development* working group.

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[5] Canon Law; Civil Law; Code of Ethics and Code of Conduct for staff; Implementation; Constitution, statutes and bylaws; Auditing.

6. THE IMPROVEMENT PLAN

After prioritisation draft an improvement plan mentioning all the activities necessary for improvement, identify the person(s) within the MO responsible for the improvement and plan the time frame within which the improvement is to be realized (use app. 3). Senior management should determine whether the improvement plan can be executed within the MO or whether (outside) assistance is required. Contact your Regional office, your partners in the Caritas network or CI ID CS department to discuss your needs for external capacity building and accompaniment. With their help and support the improvement plan can be further completed and options for support described. Bring the conclusions from the self-assessment and if applicable the improvement plan to the attention of the board of the MO. The Board should decide on the outcome.

DATA ANALYSIS AND PRIORITIZATION

INTRODUCTION

Per the Institutional Development and Capacity Strengthening (IDCS) cycle, the step after the data collection, which happens during the self-assessment (see Chapter 1), is Data Analysis and Prioritization. As the challenges that all organisations struggle with often go much deeper than simply management or technical issues the organizations need to reflect upon these deeper issues and identify what has hindered progress. Thorough root cause analysis and prioritization of the capacity gaps lead to the development of meaningful and doable IDCS plan.
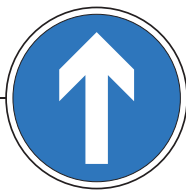
PURPOSE OF THE DATA ANALYSIS AND PRIORITIZATION

Even though CI does not require any particular way for conducting the data analysis and prioritization, this guide intends to provide suggestions to the MOs and their CI MS Coordinators on these processes based on the good practice experience from different Caritas MOs. The need for this step is also emphasized in the chapter "Six steps of the self-assessment process" in the CI MS Roadmap.

PARTICIPANTS

Whichever methodology is going to be applied for the data analysis and prioritization, it is essential that it is open, fair and participatory, involving various individuals and groups within an organization. This will enhance the ownership of the MOs' staff over the results of the self-assessment and the IDCS Plan developed based on it.

At the minimum the management of the organization, the *Director*[6], senior managers and

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[6] This term is used throughout this guide to indicate the top executive of the organization, whose title could be Secretary General, (General) Director, Chief Executive Officer, etc.

the CI MS coordinator, should do the data analysis and prioritization. In larger organizations it is helpful to implement this step on different levels (governance, management and staff), so that the representatives of each level contribute their own perspectives. In some organizations members of the Board will be actively involved in this step, but in any case they should be informed at the start and the end of the process and also have the opportunity to discuss the outcomes with the Director and possibly senior management and the CI MS coordinator.

It is very important that the experts or staff responsible for specific functions of the organization, e.g. in laws and ethical codes and finance, participate in analysing the data and

prioritizing the needs as they know and are experienced in the areas. This will also ensure their ownership over the IDCS plan implementation and follow up.

Given the nature of Caritas as Church and the specific responsibility of the Bishops it is useful to involve the Bishops in this step in such a way that they can recognize and identify with the final IDCS plan.
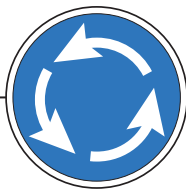
PROCESS

The process of data analysis and prioritization is suggested to be done in the following way:

1. The CI MS coordinator brings together the results of the self-assessment and presents these to the Director. After discussion, the Director shares the results with the President, the Board and all who were involved.
2. The President, Director and CI MS Coordinator decide on who from the organization should be involved in the analysis as well as prioritization of the self-assessment results/data.
3. The same facilitator of the self-assessment, if possible, facilitates the sessions during which an analysis is done to identify the underlying causes of the weak areas identified, i.e. the areas that are assigned the 'low scores'. If the organization prefers, they can also discuss the main reasons for the strengths highlighted, i.e. the areas that are assigned the "high scores".
4. The same facilitator also helps the participants to prioritize the capacity weaknesses to be addressed in the IDCS plan and the capacity strengths to be sustained.
5. The prioritized list of the capacity needs to be included in the IDCS plan is shared

by the CI Coordinator with the Director, President and Board, if necessary, for the approval.

This process should be adapted to the size and organization structure of the MO engaged in the step of data analysis and prioritization.
In the methodology described below the order of the process is to first analyse the underlying causes of the weaknesses and then prioritize which of those areas should be improved. However, the organization is free to invert this order and do the prioritization first, followed by a root cause analysis of the prioritized areas.

METHODOLOGY

The methodology to be used for the data analysis and prioritization is at the choice of the Caritas organization. The data analysis is usually done through root cause analysis. It is advised to do both root cause analysis and prioritization in the workshop[7] setting during which many opinions are shared, mutual learning ensured and joint decisions are made. Sufficient time should be reserved for the workshop.

Depending on the specific areas and their number, MOs can opt to do the in-depth analysis of each area in the small groups (similar to the process of self-assessment). This will help them better understand each area, challenges and successes of the organization, the root causes of the issues resulting in capacity weaknesses and success factors contributing to the success. Small groups can discuss the root causes of the areas in which they are experts or responsible for. However, it is advisable that the general management and governance do the in-depth analysis of all areas as they have strategic perspectives and understanding of the organization. Managers could either work in a group of their own or join the groups comprised of the staff.

The prioritization of the areas to be improved and sustained can be done only by the management and governance, if there is lack of time and other resources to go through this process with the staff. In this case, the prioritized list should be shared with the staff by the CI MS Coordinator or Director for their consent.

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[7] The Chapter 1 on the SA explains that "A workshop is a methodology for achieving group results by engaging group members to contribute to the end result. It usually entails a discussion, guided by pre-defined questions, in groups that are small enough to give all members the opportunity to participate actively (rule of thumb: 5 – 10 members per group). There may be several of these groups, whose results will have to be brought together after the group work."

Effective facilitation of the workshop or separate sessions is crucial for an effective process and meaningful outcomes. If possible the facilitator should be external to the organization but familiar with the Caritas world, e.g. the CI MS Coordinator of a neighbouring Caritas.

PREPARATIONS

The facilitator and CI MS coordinator are advised to make a plan (which could be very simple, depending on the size and structure of the organization) for the data analysis and prioritization, in which the following elements are defined:

- How this step will be implemented, i.e. only in small groups or workshop or both?
- Who will participate and how will participants be grouped, if necessary?
- Who will take notes?
- When the sessions and/or the workshop will take place? For how long?
- How the root cause analysis will be done? Which tool will be used?
- How the prioritization will be done? Which tool will be used?

The CI MS coordinator and facilitator could make an inventory of relevant documents (manuals, handbooks, rule books etc.) available to the participants so the informed discussions on the root causes and prioritization take place.

DATA ANALYSIS

Based on the findings of the self-assessment, the organization will need to discuss and agree on the major institutional weaknesses to be addressed. Again, it is up to the organization to decide how to analyse the data collected via the self-assessment so it detects the core issues that underline the weaknesses. Here, it is suggested to use one of the root cause analysis tools called Problem Tree Analysis. This tool allows to detect the *direct causes* of the issue or weakness, the *root causes* of the issue or weakness and the effects of those. Problem tree analysis helps to illustrate the linkages between a set of complex issues or relationships by fitting them into a hierarchy of related factors. It is used for:

- Linking together the various issues or factors which may contribute to an institutional weakness
- Helping to identify the root causes of an institutional weakness.

The major assumption underlying the problem tree is the hierarchical relationship between cause and effect. Here are the steps to use this tool.

1. Based on the self-assessment results discuss and select the core problem facing the organization. Write it as one statement.
2. Brainstorm the various direct causes behind the core problem. Prioritize the most important 3-4.
3. For each direct cause, identify 1-2 root causes.
4. Brainstorm the various direct effects of the core problem in terms of the organization's performance. Prioritize the most important 3-4.

5. For each direct effect, identify 1-2 ultimate effects at the higher level.

The Annex 2.1 provides an example of the Problem Tree Analysis and Annex 2.2 provides more detailed instructions on how to construct a Problem Tree.

Notes:
a. Where it is not possible to achieve consensus, a majority decision may be sought, but it should be borne in mind that it is not just a mechanical voting exercise, as some participants may well have greater insight on a particular issues than others.
b. Where participants have significantly differing views on a particular issue, the decision should be based on the force of the argument rather than the dominance of particular personalities.At the end of the group work each group will automatically have a full overview of 'their' area with its root causes and effects

PRIORITIZATION

The prioritization of the capacity needs to be addressed is necessary when the list of needs is big and complicated taking into consideration their nature, causes and effects on the organization. In many cases resources will be limited, so that improvement measures will need to be prioritized. Factors like the sustainability of the organization, the feasibility of strategic choices and the risks involved in certain weaknesses may play a role in the prioritization. The CI MS Roadmap suggests some ways for prioritisation. Considerations for prioritisation for the MOs could be:

- urgency of topic
- significance of topic for (important) stakeholders
- potential to influence the organization's success
- availability of existing resources (people and/or finance)
- difficulty / easiness to address the topic
- importance for the survival of the MO
- risk of ignoring or forgetting about this topic.

It is hoped that through this process the organization's prioritized list of weaknesses will be developed, which could be endorsed by the *Director* (and/or senior management).

Another method of prioritization is based on the scoring system of the CI MS (self) assessment tool. The articles, which are rated below 3 should be a priority for the MOs. Also if the "six musts" articles (Articles: 1.1 Canon Law, 1.2 Civil Law, 1.3 Code of Ethics and Code of Conduct for Staff, 1.8 Implementation, 2.1 Constitutions, Statutes and Rules, 3.8 Auditing (except for SMOs) are rated low, i.e. below 3, these should be in the list of priorities.

A third prioritization tool is the risk matrix. This tool helps to analyse the probability and

impact of the issue on the organisation and, therefore, how much the organization should focus on that issue.

PROBABILITY		IMPACT (Very Low)	IMPACT (Low)	IMPACT (Medium)	IMPACT (High)	IMPACT (Very High)
	Very High	5	10	15	20	25
	High	4	8	12	16	20
	Medium	3	6	9	12	15
	Low	2	4	6	8	10
	Very Low	1	2	3	4	5
RISK SEVERITY SCORES		Very Low	Low	Medium	High	Very High
		IMPACT				

> 15 — Severe / significant risks

6 <> 12 — Considerable risks

< 6 — Moderate risks

For each of the articles with a self-assessment score below 3 the probability and potential impact of the associated risk should be estimated. Priority will be given to address the areas with the highest combined risk severity score, indicated by the red area in the table. If the score is in the 'red area': attempts must be made to reduce impact and/or probability urgently. In the 'orange area' risk management must at least be planned for addressing the issues and in the 'green area' they should at least be monitored.

Notes:

d. It may be beneficial to involve funding partners in this step, e.g. as expert or observer. However, it is recommended to agree in advance on safeguards to ensure that the organization itself keeps ownership of the prioritization outcomes as well as on their follow-up.

e. MOs are recommended to check the forum in the working group CI MS & Institutional Development on Caritas Baobab for experiences shared by fellow Member Organizations.

ADVANTAGES OF THE DATA ANALYSIS AND PRIORITIZATION

Though the analysis and prioritization can be hard, good practice shows that there are many advantages in doing so:

- Root cause analysis ensures that the organization digs deep to identify the <u>real</u> root causes of the issues.
- During data analysis the ones who know the causes to the issues share their views and perspectives and others learn more about their organization.
- Root cause analysis allow the participants to reflect deeply over the issues raised to either validate them or disregard.
- Data analysis make sure that the participants discuss both the individual and organizational levels; both the staff knowledge, skills and attitudes and organizational identity, systems and processes.
- Prioritization helps organization to focus on no more than 2-3 major capacity areas for improvement for the first year or year and a half.
- Prioritization ensures that the participants focus on impact. Participants consider which capacity areas, if not urgently addressed, could have the most negative impact on the organisation e.g. in terms of damage to reputation, loss of donor funds, lack of compliance with legal requirements, lack of ability to deliver programming at beneficiary level, etc. Prioritization also makes sure that the participants focus on urgency. They decide if the area of weakness should be urgently addressed and the specific activity for improvement is relatively quick, easy and cheap to implement and at the same time will make a significant difference in a short space of time, without interfering with more urgent improvement processes, the organization might prioritize this area as well.

CHALLENGES OF THE DATA ANALYSIS AND PRIORITIZATION
- Data analysis is time consuming and effort-intensive process.
- Some root causes discussions might be around the values, attitudes and behaviours of the staff, so the discussions might be unpleasant and tough.

- Organization might over emphasize in the wrong areas. Participants might tend to identify the causes that are either only in regard to staff weakness or only in organizational identity, systems and processes.
- There might be issues that majority of participants don't know the real causes but only few might possess the knowledge. And because participants might not know the real causes/answers to the issues they might start speculations.
- If the root causes identified concern the leadership and governance of the organization, leadership might become resistant and self-defensive during the discussions
- It is true that specific quick activity to address the weakness might make a significant difference to its overall performance in the short term. But organizations are trapped in this thinking and as a result prioritize only the areas which can be improved via the quick and relatively easy activities such as staff training.
- A perception or observation of poor governance or poor financial management and internal control has the potential to damage the reputation of the organization, and to limit its access to funding. Hence, there are cases for prioritizing financial management or governance as a theme on that basis, even though these are not the only themes where a lack of appropriate capacity can cause significant problems for the organization.
- Sometimes participants overlook the resources and time needed as they are excited with the opportunity to change and improve. Thus they prioritize the areas which they will not always be able to improve due to the lack of resources and time.

NEXT STEPS

After the root cause analysis and priority setting it is the task of the Director and the management to initiate the development of the IDCS plan based on the organizational core strengths and weaknesses identified. It is the role of the Director and management to make sure that a doable and meaningful IDCS plan is developed and followed up. For more guidance on IDCS development plan please see the Chapter 3 (to be developed).

Notes:

A problem tree involves writing causes in a negative form (eg. lack of knowledge, not enough money etc). Reversing the problem tree, by replacing negative statements with positive ones, creates a solution tree. The elements of the solution tree can be part of the IDCS development plan (see Annex 2.3.).

EXAMPLE OF A PROBLEM TREE ANALYSIS TOOL

HIGHER-LEVEL EFFECT

Viability and development
of the organisation is at risk

DIRECT EFFECTS

Staff have no
clear guidelines
for their work

Staff are leaving the
organization for a
more secure

Loss of
interest/confidence
of the donors

CORE PROBLEM

No clear defined strategies and
financial procedures for long term
development and viability

CAUSES

No clear regulation
on financial proce-
dures and policies

Lack of fundraising
strategy

Lack of financial
means to cover
structural costs

Financial procedures
are not in line
with CI procedures

No clear definition
of how to finance
structural costs from the
projects implemented
in the organisation

ROOT CAUSES

In the Statute
and Strategic Plan
of the organization
there are not defined
methods of fundraising

Staff is not trained
to design and implement
fundraising strategy

CONSTRUCTING A PROBLEM TREE IN 10 STEPS[8]

1. Draw a large outline of a tree on a blackboard, whiteboard, flip chart or other surface.

2. Write the problem statement agreed by those involved next to the trunk of the tree.

3. Ask people to identify the causes underlying this problem statement, writing each cause on one index card or Post-It Note. Knowledge of causes can come from personal knowledge as well as information uncovered during the assessment. (Note: Do this on a wall using tape and index cards that can be moved around, rather than straight onto paper. This opens the discussion up to all and prevents it from being monopolized by the person holding the pen. It is usually easiest to use large Post-It Notes if they are available.)

4. As causes are identified, ask "But why does this occur?" to identify other lower-level causes that contribute to this particular cause. Using tact and sensitivity, keep asking "But why?" or "What explains this?" until people feel they cannot go any deeper.

5. Organize the index cards or Post-It Notes to show the layers of the problem.

6. Use one-way arrows to show "cause and effect" relationships between the various causal statements written on the index cards or Post-It Notes. If there is no interrelationship between causes, do not draw a line.

7. Review the problem statement again and ask participants to identify the effects of the problem statement, again writing each one on one index card or Post-It Note.

8. As effects are identified, ask "And then what happens?" or "What are the consequences?" to identify other effects until all ideas are exhausted.

9. Organize the index cards or Post-It Notes to show the layers of the effects.

10. Use one-way arrows to show "cause and effect" relationships among the various effects written on the index cards or Post-It Notes.

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[8] CRS, ProPack I

CONSTRUCTING A SOLUTION TREE

1. Problem Trees can be 'flipped' to provide the outline of an 'solution tree'… i.e. a results framework!
2. The core problem becomes the basis for the goal, which can be a higher-level, generally-worded result.
3. Each direct cause becomes the basis for a SMART objective – Specific, Measurable, Attainable, Relevant, Timebound.
4. Important root causes should be addressed through sub-objectives, intermediate results, or strategies.
5. Direct effects will be addressed through key result indicators in your Monitoring and Evaluation plan.

WHAT IS WHAT?

• The **GOAL** is a bottom line condition of well-being of individuals, families, or communities. It is usually described in terms of quality of life improvement towards which the organisation's program will contribute

• The **OBJECTIVE** is determined by asking the question "how will this goal be achieved"

• The **OUTPUTS (RESULTS)** are the deliverables through which the objective will be achieved.

• The **ACTIVITIES** are the main elements of component projects through which the outputs are achieved.

EXAMPLE OF THE SOLUTION TREE BASED ON THE PROBLEM TREE PRESENTED IN ANNEX 2.1

OUTPUT INDICATORS

Guidelines for staff of on financial procedures

All Caritas staff successfully complete the training on financial matters

5 project managers successfully were trained in fundraising

X % decrease of the turn-over in the organization

PROJECT GOAL

The organisation has clearly defined strategy and financial procedures for long term development and viability

OBJECTIVES

By December 2017, harmonized financial procedures and regulations are existing

By June, 2016 short and long term fundraising strategies are in place

ACTIVITIES

Align the financial procedures with the CI procedures

Define and integrate methodologies on fundraising in the Statute and the Strategic Plan of the organisation

Develop and adopt all financial procedures and policies

Train the project managers on fundraising strategy

ASSESSMENT BY CI GENERAL SECRETARIAT

INTRODUCTION

In May 2014 the CI Representative Council decided to approve the CI Management Standards and make them effective ad experimentum from 1 January 2015. An important element of this decision is that "All MOs will be requested to undergo an assessment against these standards, starting from 2015[9] ."

The CI General Secretariat has been designated to conduct these assessments under the authority of the Executive Board. The General Secretariat will do this work through a pool of assessors, most of whom are made available by Member Organizations.

PURPOSE OF THE ASSESSMENT

"The CI MS are a tool for each MO to check its own organizational 'well-being' and identify areas for improvement, and to help MOs in their own institutional development. In addition they serve as a point of reference for strengthening the Caritas confederation as a whole.[10]"

The assessment process seeks to support both these goals by:
- complementing the capacity strengthening efforts of MOs themselves through an external and independent 'snapshot' of their organisational 'well-being';
- evaluate whether MOs meet the minimum level required for membership of the Caritas confederation;
- identifying existing good practices in MOs and encouraging them to share it within the Confederation.

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[9] And then once every four years.
[10] From letter CI Secretary General to all MOs re: CI MS, 11 June 2014.

PARTICIPANTS

The Program Officer CI MS in the CI General Secretariat will propose the MO a date for submitting the documentation required for the assessment.

In the MO the CI MS Coordinator will have the role to assemble the 'package' to be submitted to CI and to ensure its completeness and transparency. The coordinator will work together with those staff members who can inform her/him about the status in their area of work.

Before sending the documentation to CI the CI MS Coordinator is to present the entire package to the Director and discuss it with her/him. The Director is to present the documentation to the MO's Board, and subsequently submit it to the CI General Secretariat.

Given the nature of Caritas as Church and the specific responsibility of the Bishops it may also be useful to involve the (relevant) Bishops in this step in such a way that they are aware of the material to be used as basis for the assessment.
The Program Officer CI MS will assign the assessment to one or more assessors from the pool. The assessor(s) execute(s) the assessment and only report to the Program Officer CI MS. The CI Secretary General will communicate the final conclusions of the assessment to the Board of the MO and its Director. After receiving their response the CI Secretary General will present the assessment report and the MO's response to the Review Committee.
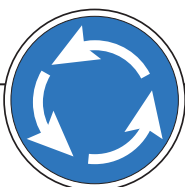
PROCESS

A. The process of assembly of the document package to be submitted to the CI General Secretariat is suggested to be done in the following way:

8. In preparation the MO is recommended to do a self-assessment (see chapter 1 of this manual) and use the conclusions for filling in the accountability framework (appendix 3 CI MS).
9. The accountability framework is the central document that needs to be submitted. It is basically a status report for each of the 32 articles of the CI MS and includes an option to inform the Board and the CI General Secretariat of actions for improvement.

The CI MS coordinator will prepare a draft completed accountability framework and collect all supporting documentation deemed necessary or useful. Documentation only available in hardcopy will need to be scanned and saved as softcopy.

10. Appendix 2 (the auditor's checklist) must also be part of the documentation. In case the MO has received unqualified auditor's opinions for its annual accounts only the cover page needs to be completed, signed and submitted to CI together with the audit report. In case there is no (unqualified) auditor's opinion the MO must ask a professional auditor or external financial expert to complete the entire questionnaire of appendix 2.

11. When the CI MS Coordinator thinks the documentation to be submitted is complete s/he will discuss the entire package with the Director, informing her/him about specific points of interest that have come up in the process.

12. The Director will present the final version to the Board in such a form that the Board is aware of potential issues.

13. The Director will subsequently submit the entire documentation package to the CI General Secretariat using the electronic means available for this purpose, as indicated by the Program Officer CI MS.

B. After receipt of the documentation the Program Officer CI MS will assign the assessment to one or more assessors. The next steps (to be finalized within three months after receipt of the complete documentation – see step 1 below) are:

1. In all cases the assessors will first check the completeness of the material submitted. In case anything is missing they report this to the Program Officer CI MS, who will contact the MO and ask for submission of the missing documentation.

2. The assessors will then assess the MO against the CI MS on the basis of the documents provided. In certain cases[11] the assessor(s) will visit the MO and complement their document evaluation with an on-site assessment including interviews with key people and checks of the actual processes.

3. The assessors draft an assessment report, presenting their evaluation of the MO against each of the 32 articles of the CI MS, including an explanation and recommendation in case of a score below 3. The report will conclude with a judgement whether the MO does or does not meet the minimum level required for membership, as designated by the RepCo.

4. If the assessors have remaining questions for clarification in this phase they will present these to the Program Officer CI MS, who will contact the MO.

5. Once the draft report is ready the assessors submit it to the Program Officer CI MS, who will review the report as to the assessment methodology applied (which should be in accordance with the directions in the manual for assessors), the use of encouraging language and the logical consistency.

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[11] Parameters still to be developed by the CI MS Implementation Steering Committee.

6. The Program Officer CI MS sends the draft assessment report to the MO Director, who will have the possibility to correct factual errors.
7. After correction of the factual errors the Program Officer CI MS asks the CI Managing Director to present the final report to the CI Secretary General, who will formally inform the MO Board and Director in a letter signed by him.

C. After receipt of the final assessment report the MO is requested to respond within three months.

1. In order to prepare the response the Director discusses the assessment report and its conclusions with the CI MS Coordinator. The CI MS Coordinator will assist the Director in drafting the response letter. The Director is suggested to present her/his response to the Board before sending it to the CI Secretary General.
2. Possible responses:
2.1. In case of global agreement with the report and conclusions the Director writes that s/he accepts the report. In case of non-compliance an IDCS plan (see chapter 3 of the manual) must be attached, which addresses the areas of non-compliance. For areas where the MO is in compliance an IDCS plan to address weaknesses is recommended; the MO is suggested to attach such an IDCS plan to the response letter.
2.2. In case of disagreement with the report and/or its conclusions over points which are crucial for the judgement of compliance the Director writes that s/he does not accept the report. The Director explains the reasons for disagreement.
3. The CI Secretary General, assisted by the CI Managing Director and the Program Officer CI MS presents the assessment report and the MO's response to the Review Committee, with a copy to the Regional Coordinator, who has the right to send her/his recommendations to the RevCom.
4. In case the Regional Coordinator presents recommendations (regarding the IDCS plan and possibly accompaniment by others for its implementation) the RevCom will take these into account in its decision making process.
5. In case of disagreement (2.2) the RevCom will decide whether it will endorse the assessment report or order a reassessment. In the latter case the RevCom may order an on-site assessment.
In case of non-compliance accepted by the MO the RevCom will study the proposed IDCS plan, may request the MO to adjust the plan or include additional elements and finally approve the (adjusted) IDCS plan.
In case of compliance the RevCom will receive the report (and possibly IDCS plan) without further discussion.
6. In case the RevCom orders a reassessment the process as described above will be followed again, but the CI General Secretariat will assign the task to other assessors.

The entire process is pictured in a flowchart in Annex 5.2.

METHODOLOGY

The methodology to be used by the assessor(s) in executing the assessment is to score the MO in the questionnaire of appendix 4 on the basis of the documentation provided, and in case of an on-site assessment: the information received through interviews and checks.

Assessors can only conduct assessments after they have been properly trained by the CI General Secretariat on the basis of the manual for assessors, which describes the CI view of organisations, the relevance of Catholic Teaching, the role of the CI Code of Ethics and Code of Conduct for staff, the evaluation grid to be applied.

Both the manual and the training have been designed so as to assure maximum uniformity in the assessment process, independent of the person who actually has the assessment assignment.

The Review Committee will meet at least once a year for discussing the assessments which have been contested by the MO and those which conclude in a judgement of non-compliance.

PREPARATIONS

The most substantial preparation for undergoing an assessment is to perform a self-assessment first. If properly done this will reveal areas of attention, which could perhaps even be addressed before the actual external assessment. In case the MO decides for a preparatory self-assessment the CI MS coordinator is to prepare and coordinate it as described in chapter 1.

Other preparations could include:
- To ask managers and senior staff for relevant documents
- To plan time in the agenda of the Board
- To explain the process to the Board and the Bishops.

ADVANTAGES OF THE ASSESSMENT

The main advantages of the assessment are:

- For the MO: they receive an independent evaluation of their organizational 'well-being', which can help them in improving governance, management, accountability, transparency etc.
- For the confederation: an insight in the actual status of MOs, which can help regional secretariats and the General Secretariat in their (facilitating) accompaniment of MOs who need assistance for strengthening their capacities, as well as availability of written good practices for internal confederation sharing.

CHALLENGES OF THE ASSESSMENT

- An assessment may be perceived as a threat from outside instead of a tool for improving one's organisation
- Undergoing an assessment is time-consuming
- In case of solely document evaluation important information may be missed.

NEXT STEPS

After the assessment the logical next step (in certain cases required by the procedure, see Chapter 2 under 'Process') is data analysis and prioritization followed by drafting an IDCS plan (chapters 3 and 4 of this manual).

SIX STEPS OF THE ASSESSMENT PROCESS
(from CI MS Roadmap)

1. Forward approved documentation to CI AU (action by MO)
- Forward app. 3 to CI with accompanying letter signed by the board of the MO.
- Attach (digitally) all documentation referred to in app. 3 to CI.
- Forward app. 2 signed by the auditor and the unqualified audit report of 2014 to CI In case there is no (unqualified) audit report forward app. 2 filled in by an external financially trained resource person.
- It is left up to your discretion whether you want to forward the outcome of your self-assessment (app. 4) to CI. This will remain with the CI AU coordinator and not be shown to the assessors in order to regain their neutrality.

Your executive director (c.c.: your CI MS coordinator) will receive immediately an email affirmation by CI upon receipt of your documentation.

2. Assigning assessment to (team) of assessors
Based on the information in the database the assignment for external assessment will be allocated by the CI AU coordinator to available assessors. The assessors will not communicate directly with the MO under assessment but send possible questions for clarifications to the MO through the CI AU.

3. Sending draft assessment result to Executive Director MO's
The CI AU coordinator will scrutinise the outcome by the assessors for quality and harmonisation of assessments and is responsible for forwarding it to the MO's Executive Director for his perusal. The CI AU coordinator will receive the feedback from the MO and facilitate in conjunction with the assessors the drafting of the final assessment.

4. Sending final assessment to board MO
The CI SG will sign the letter accompanying the final assessment to the board of the MO, the respective regional office and the Review Committee. The MO will be informed about the complaint procedure in case of disagreements.

5. Follow up on non-compliance
In case of non-compliance the MO is required to send in an improvement plan to the Review Committee. The Review Committee will ask the advice of the CI AU and discuss the improvement plan in their meeting and inform the MO about its outcome.

In case the MO disagrees with the assessment outcome the review Committee will discuss their complaint and inform the MO about its outcome.

6. Informing about progress CI MS

The CI AU will update the Review Committee each quarter about the progress of the implementation of the CI MS process with the help of statistics of the responses by region, compliance, areas of improvements etc. The ExBo and RepCo will be informed by the Review Committee in each of their meetings about the situation.

Annex 5.2 — FLOWCHART CI MS ASSESSMENT PROCESS

Lanes: Stages in entire process | MO Mgt | MO Board | Regional Office | CI director ID CS | CI program coordinator CI MS | CI Secretary General | CI RevCom | CI ExBo | CI RepCo | CI GA

ESTABLISHING CI MANAGEMENT STANDARDS

- **MO Mgt:** Informs CI GS about appointment CI MS coordinator
- **MO Board:** Acknowledges CI MS and informs CI GS through signed acknowledgement form
- **CI program coordinator CI MS:** Receives acknowledgement forms and names coordinators of all MOs
- **CI RepCo:** CI MS approved (May 2014)

ASSESSMENT COMPLIANCE

- **MO Mgt:** Provides App 2 & 3 after closure of Financial year
- **MO Board:** Approves App 2 & 3 and authorizes Management to submit to CI GS together with supporting docs
- **CI program coordinator CI MS:** Receives reports of all MOs and manages assessment process
- **MO Mgt:** Receives draft assessment; comments factual errors to CI GS
- **Regional Office:** Copy to Reg. Office
- **CI program coordinator CI MS:** Checks draft assessment report and sends it to MO; presents version incorporating factual comments MO to SG
- **MO Board:** Works with Board to draft response to assessment
- **Regional Office:** Copy to Reg. Office
- **CI Secretary General:** Sends assessment results to MO Board
- **MO Board:** Receives assessment results from CI SG

DECISION MAKING ON ASSESSMENT

- **MO Mgt:** Responds on assessment with: IDCS plan or disagreement letter
- **Regional Office:** Involve Reg. Office
- **CI director ID CS:** May invite ID CS
- **CI program coordinator CI MS:** Advises on response from MO and RC to Rev Com
- **CI RevCom:** Evaluates the assessment and response from MO taking into account recommendations received
- **MO Board:** Receives final response from RevCom
- **CI RevCom:** Responds on IDCS plan or decides on re-assessment (note: not possible after re-assessment)
- **CI program coordinator CI MS:** Informs MO; organises possible re-assessment

ASSISTING IN IMPROVING COMPLIANCE

- **MO Mgt:** Details the IDCS plan
- **Regional Office:** Participates on accompaniment options
- **MO Board:** Approves detailed IDCS plan and timeframe
- **Regional Office:** Coordinates possible regional assistance
- **CI director ID CS:** If involved assists with ID CS
- **CI program coordinator CI MS:** Receives detailed IDCS plan for monitoring and coordination

MANAGEMENT INFORMATION

- **Regional Office:** Receives Progress Report
- **CI program coordinator CI MS:** Six-monthly reporting of progress to Governance
- **CI ExBo:** Receives Progress Report
- **CI RepCo:** Receives Progress Report
- **CI GA:** Receives Progress Report