

The categories and weights in the ICA are fixed globally. The questions below are mandatory but HFU can add more questions

## A. Due Diligence and Registration

If an organization does not have approved CBPF Due Diligence the rest of the questionnaire will be excluded.

- 1 Has the organization passed the CBPF Due Diligence process? Yes / NO

## ICA Categories and questions

## Source of verification

## Category Weight

## B. Governance and Institutional Capacity

25%

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|---|---|---|
| 2 | Does the organization have a mission statement and goals clearly outlined in writing aligned to the humanitarian principles?  | 1. IP submission, website   |
| 3 | Does the organization have a structure of governance (eg board of trustees or equivalent) with clearly defined roles and responsibilities?  | 1. Governance documents: constitution, by-laws, trust deed or equivalent document<br>2. List of members of Board of Trustees (as provided in Due Diligence step)  |
| 4 | Does the organization have a defined managerial structure in place reflected in an organizational chart?  | 1. Organization's organigram  |
| 5 | Does the organization have Code of Conduct document (signed by an authorized official of the organization)?   | 1. Code of Conduct document   |
| 6 | Does the organization have a policy on anti-fraud and conflict of interest? <i>(new)</i>  | 1. Anti-fraud and conflict of interest policy   |
| 7 | Does the organization ensure accountability to affected population (AAP): engages affected population in project design and implementation; informs beneficiaries about their programs and posts information about their projects; sets up a feedback and complaint systems and ensure its use <i>(revised)</i> | 1. AAP policy or reference in the Code of Conduct document to such systems<br>2. Samples posts about project for affected population, shared information/reports from previous and/or ongoing projects<br>3. Policy or sample document that demonstrates the engagement of affected population in the design and implementation of projects<br>4. sample from use feedback and complaint systems previous and/or ongoing projects |
| 8 | Does the organization have a Human Resources (HR) Manual and a proper recruitment system? <i>(new)</i>  | 1. Human Resources manual<br>2. Documented recruitment process  |
| 9 | Does the organization have a policy on Prevention of Sexual Exploitation and Abuse (PSEA) and a code of conduct with specific reference on PSEA? <i>(new)</i>   | 1. Code of conduct: check if document refers specifically to PSEA.<br>2. Policy on PSEA.  |

## C. Programmatic Response Capacity

30%

- |    |  |  |
|----|--|--|
| 10 | Does the organization have documented experience of implementing humanitarian activities in the country?   | 1. Annual reports for the last 3 years<br>2. List of previous and ongoing projects implemented in the country over the last 3 years with funding per project<br>3. Reports from a sample of these projects<br>4. Reports from external and internal evaluations, reviews and studies undertaken in the last three years by the organization in the country |
| 11 | Is the organization currently working on humanitarian response in country?   | 1. List of ongoing project/s implemented in the country<br>2. Reports from a sample of these project/s<br>3. Compare with OPS, OCHA 3/4Ws, information from clusters   |
| 12 | Does the organization have geographical coverage in the identified hotspots as identified in the HNO severity of needs map or equivalent document? | 1. Compare with Humanitarian Needs Overview (HNO) - severity of needs map<br>2. Compare with OPS, OCHA 3/4Ws, information from clusters  |
| 13 | Are the organization's programme priorities and services based on need assessments?  | 1. Sample needs assessment report/s internal<br>2. Sample needs assessment report/s external   |
| 14 | Does the organisation have internal manuals and guidelines in relation to programme management and M&E?  | 1. M&E manual submitted by Organization  |
| 15 | Does the organization regularly monitor projects and use them to inform programme management and design?   | 1. Monitoring reports that include recommendations/actions for follow up   |

D. Coordination and Partnership Capacity		15%
16	Is the organisation an active member of any cluster or coordination mechanism at the central level of the country? 1. List of membership: in cluster/s, NGO group or consortia (central level)	
17	Is the organisation an active member of any cluster or coordination mechanism at the regional level of the country? 1. List of membership: in cluster/s, NGO group or consortia (regional level)	
18	Does the organization share its 3/4W information on a regular basis? 1. Check with information from clusters, OCHA 3Ws	
E. Financial Capacity		30%
(Note: If partner has undergone the HACT assessment the score of this category will be determined by the rating received on HACT as follows: High = 0; Significant = 10; Medium = 20; Low = 30)		
19	Does the organisation have adequate policies and manuals that clearly guide operations (financial management and administrative activities)? 1. Finance and administration policy	
20	Does the organization have procurement policies and/or procedures? 1. Procurement and logistics policy	
21	Does the organization regularly use an emergency procurement waiver or single source procurement for procurements over \$10,000? <i>(new)</i> 1. Procurement policy	
22	Does the organization have segregation of duties - Are bank reconciliations prepared by someone other than those who make or approve payments? <i>(new)</i> 1. Finance and administration policy 2. Names and functions of staff members responsible for said duties 3. Bank signatory at least three people, authorization matrix, bank reconciliation.	
23	Does the organization have a stock and asset management system in place with a clear disposal policy that is fully operational? 1. Stock management system and disposal policy	
24	Does the organization produce a comprehensive budget for the organization and recorded expenditure? and/or Does the organisation produce budget for its projects and record expenditure? <i>(revised)</i> 1. Budget vs. Expenditure of the organization 2. Budget vs. Expenditure for implemented projects	
25	Does the organization currently use a double entry accounting system and does it generate reports directly from it? 1. Review organization's accounting system 2. Check if reports are automatically generated from accounting system 3. Finance and administration policy	
26	Have the organization's financial statements been regularly externally audited in the past three years? Has the organization addressed the audit recommendation/s? <i>(revised)</i> 1. Annual Financial Statements (Balance Sheet & Income Statement) 2. Audit Report 3. Evidence of implementation of audit recommendations	
		100%

Risk ratings based on capacity assessment results (in percentage)	
90.00- 100.00	Low
70.00 - 89.99	Medium
50.00 - 69.99	High
0 .00 – 49.99	Ineligible