Guide to Capacity Self-Assessment and Due Diligence

*This is a document to support Act Church of Sweden partner organisations to complete preparatory requirements for the partnership renewal process during 2022, that is being re-enforced in 2023, which will lay the foundation for our partner cooperation during the upcoming programme period 2023-2027.*

Act Church of Sweden work in partnerships to achieve change, and our approach is described in the *Act Church of Sweden Strategic Plan* and the *Guidelines for partner collaborations within Act Church of Sweden*[[1]](#footnote-2). Together with partner organisations and ecumenical alliances, we contribute to human rights-based, just, sustainable, and democratic development, and to churches and local actors having the conditions to be dynamic civil society actors who change their societies in a positive direction.

# Capacity Self-Assessment

A capacity self-assessment is the recommended first step for organisations to initiate partnership capacity dialogues with Act Church of Sweden. It is an opportunity for the organisation to identify and analyse current levels of capacity within 18 areas. It is also an opportunity to indicate priority areas for capacity development and how the partnership with Act Church of Sweden, and the wider ACT Alliance, can contribute to this end. The tool below is to be used to guide a self-assessment process conducted by the organisation itself. Please submit the completed tool to Act Church of Sweden latest by 31st of August 2023.

The self-assessment process should involve at least three (3) relevant representatives from your organisation, from management, staff, and other stakeholders, such as senior management, board members, programme and financial managers and staff, M&E officers, etc. Relevant information from recent capacity assessments carried out with Act Church of Sweden or other actors should be included.

Go through each area and mark your level of capacity using a simple 1-3 scale, where:

*1 = major improvements needed
2 = satisfactory, room for improvements identified
3 = excellent, and can be shared as a model to others*

Make detailed comments and references to means of verifications for each capacity area. This will facilitate more meaningful and relevant dialogue with Act Church of Sweden.

Based on the self-assessment, a team at Act Church of Sweden will do a complementary review, and initiate dialogue with partner organisations to produce a baseline report for partnership capacity dialogue and monitoring areas for the upcoming programme period.

# Due diligence

Due diligence is a mandatory process of submission and review of basic documentation by all eligible partners of the Act Church of Sweden programmes. Partners are requested to update the relevant organisational information and documents on a regular basis. A checklist is available below and should be used to indicate available documents and share them with Act Church of Sweden latest by the 31st of August 2023.

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| Due Diligence ChecklistList of documents to share with Act Church of Sweden by 31st of August 2023, if available[[2]](#footnote-3). |
| **Basic information**  | **Comments by Act CoS** |
| Full name of the Organisation |  |  |
| Registration/organisation number |  |  *As registered with authorities* |
| Postal address  |  | *Incl. city, postal code and country* |
| Visiting address |  |  |
| Telephone number(s) |  |  |
| E-mail |  |  |
| Web site |  |  |

| **Basic documentation** | **✓** | **Year** | **Comments by organisation** | **Comments by Act CoS** |
| --- | --- | --- | --- | --- |
| Organisational documents |
| Proof of registration |  |  |  |  |
| Strategic plan |  |  |  | *Or equivalent. Indicate period.* |
| Organigram |  |  |  | *Including order of delegation* |
| Risk analysis |  |  |  |  |
| Annual audit reports |  |  |  | *If multiple country or offices operations, on what levels is the Organisation audited?* |
| Standard operating procedures |
| Staff Code of conduct |  |  |  |   |
| Human Resource policies |  |  |  |   |
| Finance policies/manuals |  |  |  | *Including documentation and retention* |
| Procurement policy and regulations |  |  |  | *Reference to the Act CoS Procurement regulation* |
| Safeguarding policy or child safeguarding policy |  |  |  |   |
| Anti-corruption/anti-fraud/anti-bribes policies |  |  |  |   |
| Guidelines for Complaints Handling |  |  |  |  |
| Guidelines for applying a Human Rights Based Approach |  |  |  |  |
| Guidelines for annual strategic planning and reporting cycle |  |  |  |   |
| Guidelines for data protection, information sharing, and participation |  |  |  |  |
| Gender policy and guidelines |  |  |  |  |
| Environment and Climate policy |  |  |  |  |
| Conflict sensitivity policy |  |  |  |  |
| Humanitarian policy and guidelines |  |  |  | ACT-members should reference the ACT Humanitarian mechanism and the EPRP platform. |
| Procedures for selection and assessment of as well as formats for third party agreements with implementing partners |  |  |  | If the Organisation works with/through/channels funds to Implementing partners. |

|  |  |
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| Capacity Self-Assessment | Date:  |
| Organisation:  |
| Participants: (names and positions) |

| **Capacity areas** | **Mark** | **Comments and means of verification** |
| --- | --- | --- |
|  | **1** | **2** | **3** | *(Refer to Due diligence documentation as relevant.)* |
| **A. Internal organisation (To be)** |
| 1. We have structures that support internal democracy, with clearly defined and transparent authorities and responsibilities, including decision-making. |  |  |  |  |
| 2. We have a Code of Conduct on Sexual Exploitation, Abuse of Power and Corruption that is known by all staff and systematically monitored. |  |  |  |  |
| 3. We welcome and handle complaints in ways that are safe, accessible to and known by relevant stakeholders. |  |  |  |   |
| 4. We have adequate systems and methods to **mobilize and manage resources**, financial and other, and to plan for a sustainable and resilient organisation. |  |  |  |  |
| 5. Our staff are managed and supported to do their job effectively, are treated fairly and equitably and have the necessary competencies (skills, attitudes, behaviour) to meet the organisational commitments. We make available, and encourage staff to participate in learning communities, events and trainings. |  |  |  |  |
| 6. We have a procurement policy, and routines, resources, and competence to handle procurements according to regulations. |  |  |  |  |
| 7. We follow best practices on financial accountability, including internationally acknowledged accounting and audit standards, and internal control. |  |  |  |  |
| 8. We are aware of the risks of fraud and corruption and have policies and procedures in place to **work pro-actively to prevent, detect and deal with cases of fraud and corruption**. |  |  |  |  |
| **B. Programme performance (To do)** |
| 9. We share information about decisions made in our organisation regularly and openly with **primary stakeholders** (rights holders) and ensure their active and **equal involvement and influence** in project planning, decision making and monitoring of ongoing work. We have mechanisms for primary stakeholders to hold the organisation to account. |  |  |  |  |
| 10. We have a clear understanding of how to engage in **policy and advocacy work** in order to achieve the objectives of our programmes. |  |  |  |  |
| 11. We have preparedness to **respond to Humanitarian crisis**, including referral, and have a clear understanding of how to engage in relevant Humanitarian coordination mechanisms. |  |  |  |  |
| 12. We ensure **non-discrimination** in programmes and strategies, and gender, age and other issues of diversity and inclusion are analysed, addressed, and monitored at family, community, and organisational levels. |  |  |  |  |
| 13. We integrate **risk and environmental analysis** as well as a **conflict sensitive approach** in our programmes. |  |  |  |  |
| 14. We have adequate systems for planning, implementing, monitoring, evaluation, and reporting of our programmes. Our planning is strategic, baselines are established and used in planning and monitoring. Monitoring and evaluation are made on a regular basis, feed into decision making and can result in programme adjustments. We take measures for protection of personal data. |  |  |  |  |
| 15. We have mechanisms for reflection, learning and sharing of learning in place. Team and organisational learning take place and is documented. Lessons learned are incorporated into new cycles of planning and implementation. |  |  |  |  |
| **C. External relations (To relate)** |
| 16. We have a clear understanding of our role in civil society and strong horizontal relationships; through networking, partnerships, or alliances. |  |  |  |  |
| 17. We share information about our work and commitments and have strategies for communication with relevant stakeholders and through various media. |  |  |  |  |
| 18. We have working relationships with relevant authorities. |  |  |  |  |

1. See documents on <https://www.svenskakyrkan.se/act/partner-collaboration-and-project-support> [↑](#footnote-ref-2)
2. ACT-members should reference the ACT mandatory policies available on <https://actalliance.org/about/standards-and-policies/>. [↑](#footnote-ref-3)