

Primer

APP Tools Instructions for Self-Assessment



The Asian Preparedness Partnership (APP), with secretariat support from the Asian Disaster Preparedness Center (ADPC) and under the aegis of the Bill & Melinda Gates Foundation (the Foundation) and the United States Agency for International Development Bureau for Humanitarian Assistance (USAID BHA), has developed three tools to support local actors in delivering humanitarian assistance for people affected by disasters.

The **Core Humanitarian Standard Assessment Tool (CHSAT)** endeavors to assist in the self-evaluation of the status of the institutionalization of the CHS into organizations involved in humanitarian work. A copy of the CHSAT is available through this link: **[CHSAT Introduction and Test](#)**.

The **Institutional Capacity Assessment Tool (ICAT)** seeks to help organizations assess changes in their own institutional and operational capacities in view of integrating the CHS into their humanitarian work. A copy of the ICAT is available through this link: **[ICAT Introduction and Test](#)**.

The **Self-Assessment Tool for Institutional Engagement (TIE)** aims to support local actors in assessing their institutional engagement in the various phases of the disaster risk management (DRM) process – before, during, and after disasters. A copy of the TIE is available through this link: **[TIE Introduction and Test](#)**.

These tools attempt to assist in the self-evaluation of organizations involved in humanitarian assistance for people affected by disasters. It is important to note that the CHSAT, ICAT, and TIE are self-assessment tools. Therefore, the results are intended to be used primarily by local humanitarian organizations to identify gaps and help improve their own adherence to the Core Humanitarian Standards (CHS) and their institutional engagement relating to disaster events.

The APP Tools may be locally adapted to suit the local context and may also be translated into local languages. When using the APP Tools, the first assessment serves to provide baseline information or status quo. Subsequent assessments in regular intervals (e.g., monthly, quarterly, semiannually, or annually) may be used to track improvements.



Using the APP Tools

1. Identify a few individuals within your organization to use the tools and take the assessment. They could include the Chief Executive Officer (CEO), members of the board of directors, leadership team members, employees, or well-informed external stakeholders. The self-assessment should be taken by the institution and not by its individual members. Note that the self-assessment may be facilitated by an independent resource person.
2. Some of the indicators may not be relevant for your organization. Mark them in the 'Not Applicable' (N/A) column given in the tool. The measurement rubric to be detailed later considers only the indicators to which responses are made so that the final tally is not negatively affected. A column for remarks provides additional space to justify the non-relevancy of the indicator to a particular responder. Moreover, the remarks column may be used to write the explanation for choosing a specific numerical answer. It may also be utilized to provide recommendations for further action to improve on the specific indicator.
3. Thereafter, discuss any areas of disagreement as a team with the objective of finding a consensus on the five-level assessment (rankings) given for each question.
4. Identify needs for localization and adopt based on consensus.



Measurement

The indicators comprising the APP Tools are intended to enable the measurement of progress and/or comparison across the timeline of programs, projects, and contexts. Responses need to be measured in a way that is consistent across time and location for meaningful results. The APP Tools allow for disaggregation of responses based on the type of humanitarian organization. Questions in the tool use **Likert scales** as a five-point bipolar response ranging from a group of categories – from least to most.

A five-level assessment rubric* is given below, for use in qualitatively ranking the indicators.

1. No, not currently.
2. No, we are in the process of developing it.
3. Sometimes.
4. Yes, we are at the beginning stages.
5. Yes, always.



01 Achievements are minor and there are few signs of planning or forward action to improve the situation.



02 Achievements have been made but are relatively small or incomplete, and while improvements are planned, the commitment and capacities are limited.



03 There is some commitment and capacity to achieving disaster risk reduction (DRR) but progress cannot be considered positive.



04 Substantial achievement has been attained, but with some recognized deficiencies in commitment, financial resources, or operational capacities.



05 Comprehensive achievement has been attained, with the commitment and capacities to sustain efforts at all levels.

*Note: In adopting the APP Tools and contextualizing them to each country, the need may arise to tailor the five-level assessment descriptions to make them more relevant to local realities.

These provide ordinal data as ranked responses. A nonparametric procedure based on the rank and frequency of response for each rank can be used as percentages to generate bar charts when responses to individual questions are taken for consideration.

Should an indicator not apply to your organization, you may choose N/A. Indicators that generate N/A responses shall be taken out from the computation of scores.

Individual Indicators

The literature advocates the median should be taken to be ranked 3. A score of below 3 should be taken as a negative perception. This will require interventions for enhancement. A simple bar chart may be used to indicate the scores.

Self-Assessment Score

A self-assessment score may be measured and analyzed in each segment of the tool. An aggregated score may also be used for the measurement and analysis of the whole tool. The median for the questions should be taken to be ranked 3. The total score for

the number of responses for all five ranks should be calculated as $[(n_1 \times 1) + (n_2 \times 2) + (n_3 \times 3) + (n_4 \times 4) + (n_5 \times 5)]$ where n_x represents the number of responses for each rank. If the average score is 1.00 to 2.00, it is considered a minor achievement. An average score of 2.01 to 3.00 is taken to be a moderate achievement while an average score of 3.01 to 4.00 is considered as a substantial achievement. Finally, an average score of 4.01 to 5.00 means a comprehensive achievement. An average score of 3.00 or less indicates the need for interventions to improve engagement.

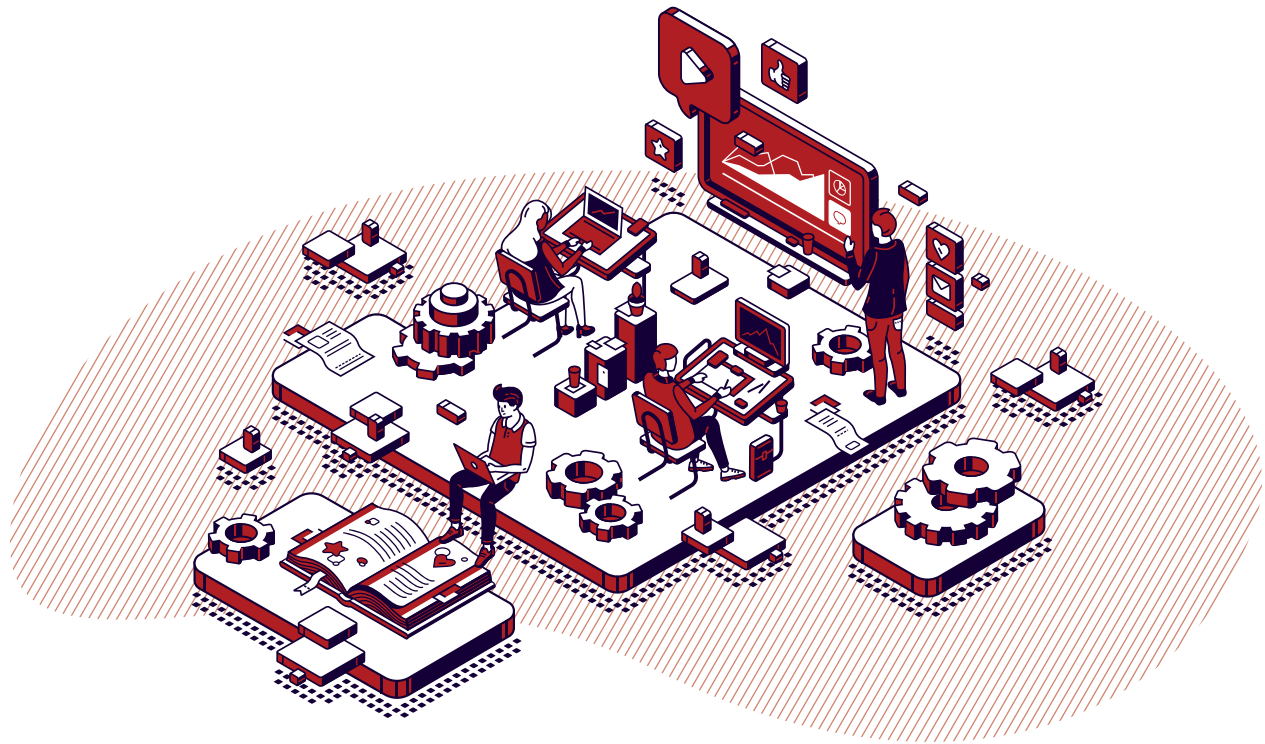
Given that the assessment allows users to omit indicators as appropriate, an average score will be calculated to better reflect the perception.

$$\text{Average score} = \frac{[(n_1 \times 1) + (n_2 \times 2) + (n_3 \times 3) + (n_4 \times 4) + (n_5 \times 5)]}{N}$$

$$\text{Where } N = (n_1 + n_2 + n_3 + n_4 + n_5)$$

Interpretation of the Self-Assessment Score

- Average score of 1.00 to 2.00 means minor achievement
- Average score of 2.01 to 3.00 means moderate achievement
- Average score of 3.01 to 4.00 means substantial achievement
- Average score of 4.01 to 5.00 means comprehensive achievement



After the Assessment

1. Upon completion of the self-assessment, separately tabulate the score for each indicator in the tool. This will provide you with discrete areas that are strong (with an average score of 3.01 to 5.00), and discrete areas that need strengthening (with an average score of 1.00 to 3.00). You will be better equipped to focus on specific areas of concern by identifying the areas of greatest need.
2. Calculate the score for each dimension or segment of the tool. For the complete tool kit or a segment of the tool kit, the median for the questions should be taken to be rank 3. The total score for the number of responses for all five ranks should be calculated as $[(n_1 \times 1) + (n_2 \times 2) + (n_3 \times 3) + (n_4 \times 4) + (n_5 \times 5)]$ where n_x represents the number of responses for each rank.
 - a. Since it allows omitting indicators (N/A column) as appropriate, for better reflection of the perception, the average score shall be calculated.
 - b.

$$\text{Average score} = \frac{[(n_1 \times 1) + (n_2 \times 2) + (n_3 \times 3) + (n_4 \times 4) + (n_5 \times 5)]}{N}$$

$$\text{Where } N = (n_1 + n_2 + n_3 + n_4 + n_5)$$

c. Interpretation

- ▶ Average score of 1.00 to 2.00 means minor achievement
- ▶ Average score of 2.01 to 3.00 means moderate achievement
- ▶ Average score of 3.01 to 4.00 means substantial achievement
- ▶ Average score of 4.01 to 5.00 means comprehensive achievement

When you take your self-assessment using the web version of the tools, your scores will be automatically calculated and generated once you submit your answers. The overall assessment scores together with the assessment score for each sub-section of the tools above will be generated for your reference. The web version also allows you to keep track of your scores whenever you take a self-assessment. Over time, you can use the recorded scores for comparison and towards the development of capacity-building interventions for further improvement.

3. The assessment team should brainstorm these results to conceptualize the capacity-building initiatives needed and the stakeholders to be engaged for a determined time duration. The viewpoint of an external expert will support in developing the capacity-building initiatives. It is also important to determine the stakeholders who will be engaged in the capacity-building initiatives and the required time duration.
4. It is recommended to present such conceptualization to a larger group of internal and external stakeholders engaged in the humanitarian work of the organization for discussion and validation. It is worth noting that the tool intends to guide the institution to create better policies, plans, programs, projects, and activities.
5. An action plan with a timeline should be developed. It could then be implemented with proper funding and resource inputs.
6. You should decide on retaking the assessment in consensus with the larger group of stakeholders.



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