



**ASIA PACIFIC FORUM**  
ADVANCING HUMAN RIGHTS IN OUR REGION

# APF-UNDP-OHCHR Capacity Assessment Project

## Forum Councillors Meeting Fifteenth Annual Report

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### **APF 15**

The 15<sup>th</sup> Annual Meeting of the Asia Pacific  
Forum of National Human Rights Institutions

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## 1 Introduction

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In 2008 the Asia Pacific Forum of National Human Rights Institutions (**'APF'**), the Office of the High Commissioner for Human Rights (**'OHCHR'**) and the United Nations Development Programme Regional Centre Bangkok (now the Asia Pacific Regional Centre – **'UNDP'** APRC) began a project to strengthen national human rights institutions (**'NHRIs'**) through capacity needs assessment. That collaboration has since become known as the Capacity Assessment Partnership (**'CAP'**).

UNDP had been engaged in capacity development for many years, including at the national level with NHRIs, and as part of that engagement had developed methodologies for capacity development needs assessment. It was interested in extending and adapting its proven methodology to the particular circumstances of NHRIs. For that reason it determined it was important to work at the regional level in a way that would also improve the support provided by UNDP country offices. UNDP saw the CAP as a good entry point for the systemisation of their support to strengthen NHRIs as the CAP is a self assessment tool which emphasises the independence of NHRIs.

APF and OHCHR had had many years of productive cooperation in supporting the establishment and strengthening of NHRIs in the Asia Pacific region. There was a very natural fit of expertise, experience and commitment among the three organisations. After discussions in July 2008 at the APF's 13th Annual Meeting, the partnership was formed and went to work.

## 2 Methodology of Capacity Assessment

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The capacity assessment is not an evaluation – evaluations look to the past. It is a needs assessment – it looks to the future: what capacities does the NHRI need to build to be as effective as possible in the future? It is not an external exercise, undertaken by outsiders with no intimate knowledge of the NHRI. It is a self-assessment, undertaken by the experts inside the NHRI itself, the commissioners and staff, with the assistance and support of a team of capacity assessment facilitators. Because it is an internal self assessment, the NHRI must have full ownership of the process and the product.

Capacity assessment asks what the current capacities of the NHRI are and what capacities the NHRI needs to do its work effectively over the following five years. It identifies the capacity gaps or deficiencies of the NHRI and strategies to meet those gaps. The report of the assessment proposes strategies to strengthen the NHRI as a whole, to develop the capacities of individual staff and to make the internal processes and procedures of the NHRI more efficient and more effective. Its primary objective is not mobilising

additional financial resources, physical resources or staff, although that may be a result. It tries to identify strategies that are within the current or reasonably obtainable resources of the NHRI. Of course, the facilitating team will also advise on opportunities to increase resources if they are required. The process is not aimed at adding new structures or systems for NHRIs, but rather to build on existing capacities.

The capacity assessment methodology being utilised takes into account both qualitative and quantitative information. Qualitative information is gained through focus group discussions involving all NHRI members, staff and significant external stakeholders. In larger NHRIs it might not be possible to involve all staff in these groups. In that situation, a representative sample should be selected, ensuring that participants are drawn from all areas of the NHRI's work and different levels within the staffing structure. The information from the focus group discussions is used in developing the questionnaires on capacity development issues and directly in identifying capacity needs and strategies for the report.

The quantitative component is derived from questionnaires or worksheets on capacity development issues. The focus groups contribute towards the identification of the issues to be the subject of the questionnaires. The questionnaires are completed by all staff. The CAP has developed a matrix of possible issues (see annexure 1). From this matrix the issues to be addressed in any assessment are drawn following the focus groups discussions. An example of a questionnaire sheet on one issue is in annexure 2. Ordinarily the focus group might identify about 30 issues, each of which is the subject of a distinct questionnaire.

### 3 The Capacity Assessment Team

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A five member team facilitates each capacity assessment, drawn from all three partners: APF, OHCHR and UNDP. APF appoints two members, one a senior, highly experienced NHRI practitioner and the other a senior staff member from an NHRI that has already undertaken a capacity assessment. The participation of a staff member from an earlier NHRI cements the learning experience for that NHRI, builds regional capacity in this methodology and promotes 'South to South' exchange and mutual assistance. The OHCHR usually appoints an expert from its National Institutions and Regional Mechanisms Section. UNDP appoints two members to the team, one an expert in human rights and governance and the other an expert in capacity development.

## 4 The Capacity Assessment Process

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### 4.1 Preliminary

- a) Have an initial exchange with the chairperson of the NHRI, preferably in person but in writing if not, to offer the CAP to the institution and invite an expression of interest
- b) Provide the chairperson, if interested, with a short briefing paper that introduces the CAP process in simple terms, pointing out the benefits to the NHRI in undertaking a CAP
- c) If the NHRI is interested, propose a preliminary visit to brief commissioners and staff more fully, to seek the necessary formal approval and to start the process of preparation
- d) Appoint members to the CAP team

### 4.2 The preparatory visit (2 or 3 days)

- e) Brief commissioners and staff
- f) Have the NHRI appoint a senior person as its Liaison Officer
- g) With the Liaison Officer identify documents to be reviewed
- h) With the Liaison Officer identify outside stakeholders to be interviewed
- i) Brief the UN Country Team and gauge their level of engagement in the process

### 4.3 Before the assessment visit

- j) Obtain and read the relevant documents, supplied by the Liaison Officer
- k) Make an initial list of likely core issues, based on discussions during the preliminary visit and the documents read
- l) Agree on the program for the assessment visit
- m) Arrange for the Liaison Officer or UNDP Country Office to make appointments for the assessment team to interview the outside stakeholders during the assessment visit

#### 4.4 The assessment visit (2 weeks)

- n) Conduct separate focus group discussions with commissioners, with directors and with the staff of each department to identify core issues, functional technical capacities and possible strategies to address capacity gaps
- o) Interview external stakeholders to validate or challenge internal perceptions about current capacity and capacity needs
- p) Finalise the set of core issues by application of the capacity assessment matrix, on the basis of the core issues and functional technical capacities identified
- q) Prepare the worksheets from the matrix
- r) Administer worksheets separately to commissioners and staff
- s) Analyse qualitative and quantitative information from focus groups and worksheets
- t) Develop strategies
- u) Prepare a draft report, with findings and recommended strategies
- v) Present the draft report to commissioners and directors and brief them on it

#### 4.5 After the assessment visit

- w) Finalise the draft report and provide it to the commissioners and directors for comment
- x) Finalise the report and provide it to the NHRI
- y) Obtain a formal response to the report from the NHRI, together with an implementation schedule. As the report is 'owned' by the NHRI it is not shared with others without the agreement of the NHRI
- z) Monitor and evaluate implementation through, for example, i) reporting back to APF annual meetings; ii) potentially a third visit of the CAP team; iii) through the provision of ongoing support through UNDP country offices

## 5 Capacity Assessments to Date

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In 2008-09 the CAP conducted two capacity needs assessments of NHRIs in the region, first with the **Human Rights Commission of Malaysia ('SUHAKAM')** and then with the **Human Rights Commission of the Maldives ('HRCM')**. These assessments were considered as pilots. They were learning experiences for everyone. Inevitably there were uncertainties about what was involved and how the process should proceed. Inevitably the model methodology was found to require more than a little adaptation to be suitable for NHRIs. But lessons were learnt, rough spots smoothed out and difficulties overcome.

The first assessment, with the SUHAKAM, had a good starting point in past UNDP assessments of other kinds of institutions but it encountered particular challenges in using a method not previously tried with NHRIs. Initially it had been estimated that the assessment could be undertaken in a single visit of about three days. In fact, the three day visit was necessary as a preliminary visit to explain the concept and methodology of capacity assessment, to identify the documents that the team would need to read, to select the external individuals and organisations to be interviewed and to make other preparations for the assessment visit itself. It was found that the assessment process itself required two weeks. The pilot also assisted in adapting the UNDP methodology to NHRIs and refining it.

The second assessment, with the HRCM, benefited from the SUHAKAM experience and built on it, with further refinements. The timing was right this time and the whole process much smoother.

Both pilot assessments were completed successfully. On each occasion the team was able to present its draft report of findings and strategies at the completion of the capacity assessment visit, for discussion with the NHRI's members and senior staff. The draft report was submitted formally for comment about a week later and then finalised when the comments from the NHRI were received. Both SUHAKAM and HRCM responded very positively to the reports and have accepted the strategies proposed to address capacity gaps.

Capacity assessments will be undertaken with the **Jordan National Centre for Human Rights** in October 2010 and with the **National Human Rights Commission of Thailand** in November 2010. Initial agreements have been reached with the **Independent Commission for Human Rights of Palestine** and the **Independent Human Rights Commission of Afghanistan** for capacity assessments in 2011. The **Human Rights Commission of Sri Lanka** has also asked for assistance. The **Network of African National Human Rights Institutions** (the APF equivalent for Africa) are looking with interest at the CAP methodology with a view to adapting it for their region.

## 6 Capacity Assessments Manual

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The CAP partners have gone back to the original UNDP methodology and documented how, with the adaptations incorporated, it can be used for the benefit of NHRIs. The adapted methodology offers a very useful approach to strengthening NHRIs and increasing their effectiveness in the promotion and protection of human rights. It provides NHRIs with a process of self assessment assisted by external expert facilitators. It incorporates both qualitative and quantitative elements in assessing current capacities, forecasting future capacity requirements, identifying capacity gaps and, most importantly, developing strategies to close those gaps in the most significant areas. It also provides a firm basis for international cooperation to assist NHRIs when they undertake institutional strengthening. In 2011, this NHRI-specific methodology will be made available in a manual for broader use.

# Annexure 1

## The Capacity Assessment Matrix

	Assess Situation and Define Vision/  Mandate	Formulate Policies and Strategies	Investigation	Complaint Handling	Research (Human Rights Analysis)	Advocacy and Awareness Raising	Stakeholder Engagement (Public)	Partnerships	Monitoring and Reporting
<b>Mandate (Clarity, Function)</b>	<ul style="list-style-type: none"> <li>- Does the NHRI have the accepted mandate and capacity to issue proposals and recommendations or guidelines for various categories of human rights violations, determination standards, and preventive measures thereof?</li> <li>- Does the NHRI have the capacity to exercise its “independence” under legal frameworks?</li> <li>- Does the NHRI</li> </ul>	<ul style="list-style-type: none"> <li>- Does the NHRI have the capacity to implement and streamline business processes within the institution?</li> <li>- Does the NHRI have the capacity to develop strategic plans for the institution?</li> </ul>	<ul style="list-style-type: none"> <li>- Does the NHRI have the accepted mandate to investigate human rights violations and provide remedies?</li> <li>- Does the NHRI have the mandate to visit and investigate detention or protective facilities, if necessary?</li> <li>- Does the NHRI have the accepted mandate to investigate discriminatory practices and provide</li> </ul>	<ul style="list-style-type: none"> <li>- Does the NHRI have the accepted mandate to receive complaints from any person, group of persons or NGO alleging human rights violation?</li> <li>- Does the NHRI have the accepted mandate to address complaints and handle grievances?</li> <li>- Does the NHRI have the accepted mandate to bring complaints to</li> </ul>	<ul style="list-style-type: none"> <li>- Does the NHRI have the accepted mandate to analyse and conduct research of human rights statutes (including bills pending at the National Assembly), legal and judicial systems, policies and practices as well as issuance of opinions &amp; recommendations?</li> </ul>	<ul style="list-style-type: none"> <li>- Does the NHRI have the accepted mandate to educate the public and raise public awareness programmes on human rights?</li> <li>- Does the NHRI have the accepted capacity to provide human rights training for identified groups?</li> <li>- Does the NHRI have the mandate / capacity to work with the media?</li> <li>- Does the NHRI</li> </ul>	<ul style="list-style-type: none"> <li>- Does the NHRI have the capacity to provide mechanisms for stakeholder feedback and inputs into proposals and recommendations for various categories of human rights violations, determination standards, and preventive measures?</li> <li>- Does the NHRI have the capacity to create partnerships with NGOs working on the protection and promotion of</li> </ul>	<ul style="list-style-type: none"> <li>- Does the NHRI have the capacity to engage key stakeholders in formulating policies and guidelines for human rights?</li> <li>- Does the NHRI have the mandate / capacity to engage with international human rights mechanisms and monitor / advocate for the implementation of Human Rights Council, treaty bodies / Special procedures recommendations</li> </ul>	<ul style="list-style-type: none"> <li>- Does the NHRI have the accepted mandate to issue recommendations or opinions with respect to the ratification and implementation of international human rights treaties?</li> <li>- Does the NHRI have the mandate and capacity to request for the submission of relevant information and materials to concerned entities?</li> <li>- Does the NHRI</li> </ul>

	have the mandate to respect women's rights in particular and the capacity to prioritize women's rights?		remedies?  - Does the NHRI have the capacity to file its opinions on human rights issues with the courts & the Constitutional Court?	the government?		have the mandate / capacity to mainstream human rights into educational materials?	human rights?	ns at the national level?  - Does the NHRI have the accepted mandate and capacity to cooperate with domestic and overseas organisations and activists engaged in the protection and promotion of human rights?  - Does the NHRI have the capacity to engage with existing national mechanisms?  - Does the NRHI have the capacity to engage with mechanisms that promote and protect the rights of the vulnerable?	have the capacity to submit annual reports on Commission's activities and human rights situations?  - Does the NHRI have the capacity to widely circulate reports produced from its monitoring activities?  - Does the NHRI have the mandate to request, in serious and urgent cases, that the State adopt specific "precautionary measures" to prevent irreparable harm to people?
	- Does the NHRI leadership have	- Does the NHRI leadership have	- Does the leadership have	- Does the leadership have	- Does the leadership have	- Do staff members have	- Does the leadership have	- Does the leadership have	- Does the leadership have

<p style="text-align: center;"><b>Leadership</b></p>	<p>the capacity to convince or influence other government agencies and decision makers on the competence and credibility of the NHRI?</p> <p>- Does the NHRI leadership have the capacity to understand critical issues that affect the human rights situation in the country and proactively guide the organization towards formulating guidelines to address such issues?</p> <p>- Does the NHRI leadership have the capacity to guide the organization's independent status according to the human rights needs of</p>	<p>the capacity to lead the formulation of a strategic modernization of the NHRI?</p> <p>- Does the NHRI leadership have the capacity to identify critical staffing and organizational competency needs within the NHRI to ensure full fulfilment of its mandate and functions?</p> <p>- Does the leadership have the capacity to convince decision makers for integrating stronger budgetary allocations for the NHRI?</p> <p>- Does the NHRI leadership have the capacity to mobilize resources to support the NHRI's</p>	<p>the capacity to convince policy makers on NHRI's investigative powers?</p> <p>- Does the leadership have the capacity to encourage NHRI staff to continuously investigate violations?</p> <p>- Does the leadership have the capacity to protect staff conducting investigations?</p>	<p>the capacity to provide transparent mechanisms and procedures for receiving and acting on complaints and disciplinary measures</p> <p>- Does the leadership have the capacity to bring complaints to the government?</p>	<p>the capacity to provide strategic guidance to staff in producing human rights research to positively influence duty-bearers (government) and rights-holders (public)?</p>	<p>access to information on technical trainings relevant to their work</p> <p>- Do staff members have the capacity to participate in learning events or trainings to update their knowledge and/or skills?</p> <p>- Does the leadership have the capacity to influence government institutions / agencies / and other stakeholders on the role of NHRIs? (including the media)</p> <p>- Does the leadership have the capacity to prioritize human rights advocacy of rights-holders (public)?</p>	<p>the capacity to encourage stakeholder engagement?</p> <p>- Does the leadership provide a mechanism for NRHI staff to proactively engage with stakeholders?</p> <p>- Does the leadership have the capacity to engage with relevant stakeholders to mobilize support for NHRI programmes?</p>	<p>the capacity to provide guidance to other government agencies in creating an accountable, transparent and efficient NHRI?</p> <p>- Does the leadership provide a mechanism for encouraging innovative ideas from other government agencies addressing human rights?</p> <p>- Does the leadership have the capacity to ensure transparency in the formulation of policies and decisions made by the NHRI?</p> <p>- Does the leadership have the capacity to engage with and encourage cooperation</p>	<p>the capacity to lead the formulation of a monitoring and evaluation plan to measure the NHRI and staff outputs?</p> <p>- Does the leadership have the capacity to put in place an MER framework based on universal standards of human rights?</p> <p>- Does the leadership have the capacity to advocate for a common, acceptable (to the government) monitoring evaluation and reporting framework for the NHRI on human rights monitoring?</p>
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	<p>the country?</p> <ul style="list-style-type: none"> <li>- Does the leadership have the capacity to convince or influence duty-bearers (policy makers and decision makers) of the value and potential contributions of NHRI's mandate?</li> <li>- Does the leadership have the capacity to guide the NHRI according to the human rights situation of the country?</li> </ul>	<p>mandate?</p> <ul style="list-style-type: none"> <li>- Does the NHRI leadership have the capacity to guide units in their own work plans through a strategic plan</li> <li>- Does the leadership have the capacity to proactively guide all NHRI staff to effectively carry out its mandate?</li> <li>- Does the leadership have the capacity to ensure that the rights of employees are protected and promoted?</li> <li>- Does the leadership have the capacity to provide opportunities for staff members to participate in learning and training</li> </ul>				<ul style="list-style-type: none"> <li>- Does the leadership have the capacity to advocate for ratification of conventions and timely reporting as obligations of duty-bearers (government)?</li> <li>- Does the leadership have the capacity to provide strategic guidance to government agencies in producing reports to ratified conventions?</li> </ul>		<ul style="list-style-type: none"> <li>with domestic and overseas organizations and activists engaged in the protection and promotion of human rights?</li> <li>- Does the leadership have the capacity to encourage and sustain partnerships with NGOs?</li> <li>- Does the leadership have the capacity to encourage and sustain partnerships with international organisations and forums (APF)?</li> <li>- Does the leadership have the capacity to provide a mechanism for proactive engagement with NGOs and international</li> </ul>	
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		activities?  - Does the leadership have the capacity to understand and introduce ethical guidelines in decision making within the organization?						organisations?	
<b>Human Resources</b>	<ul style="list-style-type: none"> <li>- Does the NHRI have qualified staff members to understand the human rights situation of the country?</li> <li>- Does the NHRI have the capacity to: undertake a mapping exercise of its current human resources skills, knowledge and attitude, and analyse findings and determine future needs on a regular basis?</li> <li>- Does the NHRI have the</li> </ul>	<ul style="list-style-type: none"> <li>- Does the NHRI have the right staff structure / positions to fulfil its mandate?</li> <li>- Does the NHRI presently have qualified staff members to fulfil its mandate?</li> <li>- Does the NHRI have the capacity to recruit a sufficient number of qualified staff members to the organization?</li> <li>- Does the NHRI</li> </ul>	<ul style="list-style-type: none"> <li>- Does the NHRI have the capacity to decide to investigate a human rights violation (capacity to analyse the situation and take action)?</li> <li>- Does the NHRI have the capacity to investigate detention or protective facilities?</li> <li>- Does the NHRI have the capacity to question the right sources</li> </ul>	<ul style="list-style-type: none"> <li>- Do the NHRI staff have the capacity to handle complaints?</li> <li>- Do the NHRI staff have the capacity to respond to complaints?</li> </ul>	<ul style="list-style-type: none"> <li>- Do NHRI staff have access to human rights information and databases?</li> <li>- Does the NHRI have the capacity to understand and sensitize to gender concepts among all staff;</li> <li>- Does the NHRI have the capacity to assess information and translate them into recommendations?</li> </ul>	<ul style="list-style-type: none"> <li>- Does the NHRI have the capacity to convince the public and the government on the importance / influential role of their work?</li> <li>- Do the NHRI staff have the capacity to educate the public on human rights?</li> <li>- Does the NHRI have the capacity to mainstream human rights into educational</li> </ul>	<ul style="list-style-type: none"> <li>- Do NHRI staff have the capacity to promote stakeholder engagement by participating, communicating, and cooperating with civil society, government agencies, and other relevant stakeholders?</li> <li>- Do NHRI staff have the capacity to advocate for agreed national action plans for the promotion and protection</li> </ul>	<ul style="list-style-type: none"> <li>- Do staff members have the capacity to articulate their ideas and opinions openly within the organization towards addressing the broader rights of the public?</li> <li>- Do staff members have the capacity to engage other actors towards understanding and identifying their own needs and concerns</li> <li>- Do NHRI staff have the</li> </ul>	<ul style="list-style-type: none"> <li>- Does the NHRI have the capacity to monitor and evaluate HR development policies and programmes implementation in a systematic manner?</li> <li>- Does the NHRI have the capacity to use clear performance standards that can be measured and assessed readily to ensure staff accountability?</li> <li>- Does the NHRI</li> </ul>

	<p>capacity to identify the human rights violations in the country?</p> <p>- Does the NHRI have the capacity to understand emerging human rights needs of the country?</p> <p>- Does the NHRI have staff working on women's rights issues?</p> <p>- Does the NHRI have staff working on emerging issues including the rights of the vulnerable?</p> <p>- Does the NHRI staff have the capacity to convince or influence others (public, government agencies, research institutes, NGOs, etc.) of</p>	<p>have a long-term HR development framework to ensure adequate staffing and staff competencies in line with their mandate and long term goals?</p> <p>- Does the NHRI have proper performance measurement mechanisms?</p> <p>- Do NHRI staff have access to information on Human Rights training?</p> <p>- Do NHRI staff have the capacity to participate in human rights forums, councils, trainings?</p>	<p>during an investigation?</p> <p>- Does the NHRI have the capacity to engage with the right stakeholders to conduct an investigation?</p>		<p>- Do the NHRI staff have the capacity to work with research institutes?</p> <p>- Do the NHRI staff have the level of knowledge and priority set on women's rights and related international treaties?</p>	<p>materials?</p> <p>- Does the NHRI have the capacity to work with the media in proliferating human rights information?</p> <p>- Do the NHRI staff have enough support for a public awareness campaign on human rights?</p> <p>- Does the NHRI have the capacity to actively engage staff members / employees and clientele groups in carrying out comprehensive analyses in areas of organisational priorities / services?</p>	<p>of human rights?</p> <p>- Do NHRI staff have the capacity to articulate their ideas and openly within the organisation?</p>	<p>capacity to engage with NGOs and actively work with them for the promotion and protection of human rights?</p> <p>- Do NHRI staff have the capacity to engage with international organisations and forums (APF)?</p> <p>- Do NHRI staff have the capacity to understand, accept, and promote these partnerships?</p>	<p>have the capacity to set up feedback mechanisms as part of performance assessment mechanisms for continued staff growth and career development?</p> <p>- Does the NHRI have the capacity to design and conduct periodic staff surveys with forums for open discussion on findings of such surveys?</p> <p>- Does the NHRI have the capacity to institute mechanisms for assessment of managers' performance and effectiveness?</p> <p>- Do the NHRI staff have the capacity to engage other</p>
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	<p>the value and impact of the NHRI's work?</p> <p>- Does the NHRI have a long-term HR development framework to ensure that NHRI staff members are regularly updated and/or trained on new skills and knowledge relevant to their work?</p>								<p>stakeholders in identifying appropriate human right indicators for monitoring and reporting?</p> <p>- Do the NHRI staff have the capacity to understand and utilize highest human rights standards into monitoring and reporting?</p> <p>- Does the NHRI have the human resource capacity to follow up on recommendation to national authorities?</p>

<p><b>Financial Resources</b></p>	<p>- Does the NHRI have the financial resource capacity to translate and implement its vision into mandate?</p>	<p>- Does the NHRI have the financial resource capacity to implement work plans?</p> <p>- Does the NHRI have financial resource management capacities?</p>	<p>-Does the NHRI have the financial resource capacity to procure adequate equipment to carry out investigations on human rights violations?</p>	<p>-Does the NHRI have the financial resources capacity to procure adequate equipment to receive and handle complaints?</p> <p>- Does the NHRI have the financial resource capacity to proliferate information on how to file complaints?</p>	<p>-Does the NHRI have the financial resources capacity to procure adequate equipment to carry out research on the human rights situation in the country?</p>	<p>-Does the NHRI have the financial resources capacity to procure adequate equipment to carry out sustainable human rights training programmes?</p> <p>- Does the NHRI have the financial resource capacity to share human rights information?</p>	<p>- Does the NHRI have the financial resource capacity to engage with the public including CSOs and NGOs?</p> <p>- Does the NHRI have the financial capacity to share human rights information to the public?</p>	<p>- Does the NHRI have the financial resource capacity to participate in human rights forums?</p> <p>- Does the NHRI have the financial capacity to communicate and engage with human rights forums?</p>	<p>- Does the NHRI have the financial resource capacity to engage with the public including CSOs and NGOs?</p> <p>- Does the NHRI have the financial capacity to share human rights information to the public?</p>
<p><b>Knowledge</b></p>	<p>- Does the NHRI have the capacity to assess and analyse knowledge and information gaps at all levels for better targeting of programmes / services?</p> <p>- Does the NHRI have the</p>	<p>- Does the NHRI have the capacity to formulate policies and strategies regarding information, knowledge and technology?</p> <p>- Does the NHRI have the capacity to design policies</p>	<p>- Does the NHRI have the capacity to analyse findings of investigations?</p> <p>- Does the NHRI have the capacity to make effective decisions in order to successfully carry out</p>	<p>- Does the NHRI have the capacity to understand the difference between general complaints and complaints of human rights violations?</p> <p>- Does the NHRI have the capacity to</p>	<p>- Does the NHRI have the capacity to conduct research on the human rights situation in the country?</p> <p>- Does the NHRI have the capacity to utilize software / hardware programmes to</p>	<p>- Does the NHRI have the capacity to conduct effective human rights training programmes?</p>	<p>- Does the NHRI have the capacity to share human rights information with the public?</p> <p>- Does the NHRI have the capacity to address questions and comments from</p>	<p>- Does the NHRI have the capacity to identify human rights mechanisms?</p> <p>- Does the NHRI have the capacity to continuously communicate and share information with human</p>	<p>- Does the NHRI have the capacity to monitor and evaluate access to and availability of information and development knowledge for its employees and rights holders?</p> <p>- Does the NHRI</p>

	capacity to undertake situation analysis regarding rights holders and employees' access to and the provision of information, technology and development knowledge?	to integrate information technologies in accordance with its operational objectives and development priorities?  - Does the NHRI have the capacity develop strategies for promotion of knowledge networking, access to information through partnership building?	investigations?	analyse and organize complaints into relevant issues?  - Does the NHRI have adequate mediums to receive complaints and publicly address them?	assess and analyse human rights violations?		the public?	rights mechanisms?  - Does the NHRI have the capacity to identify best practices and implement them for the NHRI?	have the capacity to monitor progress and generate feedback mechanisms on use of information and knowledge?  - Does the NHRI have the capacity to encourage inter community knowledge networks and information sharing for better access to information and technology for its clientele and employees at all level?
<b>Accountability</b>	- Does the NHRI have the capacity to undertake a comprehensive situation analysis for promoting a meaningful and broad-based	- Does the NHRI have the capacity to develop and manage accountability mechanisms to ensure formulation of clear policies	- Does the NHRI have the capacity to conduct investigations in a transparent and accountable way by making public findings?	- Does the NHRI have the capacity to address all complaints without selectivity?  - Does the NHRI have the capacity to	- Does the NHRI have the capacity to share findings from research with the public?  - Does the NHRI have the capacity to conduct	- Does the NHRI have the capacity to conduct human rights training programmes without selectivity (participants)?  - Does the NHRI	- Does the NHRI have the capacity to effectively engage the public including CSOs and NGOs in the process of designing an accountability	- Does the NHRI have the capacity to effectively engage all stakeholders in the process of designing an accountability mechanism	- Does the NHRI have the capacity to develop monitoring and evaluation mechanisms for enforcement of organisational accountability?

	<p>participation?</p> <p>- Does the NHRI have the capacity to develop a comprehensive accountability mechanisms based on a through analysis of key accountability issues?</p> <p>- Does the NHRI have the capacity to analyse the current administrative and management procedures and design an accountability mechanism based on inputs from employees and stakeholders?</p> <p>- Does the NHRI have the capacity to keep the process open and transparent to ensure broad-based</p>	<p>and strategies?</p> <p>- Does the NHRI have the capacity to support multi-stakeholder dialogues and processes that empower civil society to actively take part in designing policies and strategies for enforcing organisational accountability?</p> <p>- Does the NHRI have the capacity to design clear policies and strategies for redressing employees' grievances and rights of the rights-holders?</p>		<p>make public the number of complaints and percentage of those addressed?</p>	<p>research with other human rights actors?</p>	<p>have the capacity to include all inalienable rights in their human rights training curriculum?</p>	<p>mechanism?</p>	<p>- Does the NHRI have the capacity to: institutionalize and strengthen oversight mechanisms and accountability measures?</p> <p>- Does the NHRI have the capacity to develop mechanisms for processing feedback / complaints about organisational performance?</p> <p>- Does the NHRI have the capacity to ensure independent audits are conducted on a regular basis?</p>
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	acceptance of management procedures and criteria for administrative decisions?								
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## Annexure 2

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### Sample Capacity Assessment Worksheet

#### Instructions and Worksheet

The following assessment worksheets will allow each participant to rate technical/functional capacities using capacity indicators that are defined and indicated in each worksheet.

**Please complete each worksheet by filling up the appropriate spaces. The suggested order for filling up each worksheet is as follows:**

1. *Please read through each of the guide statements in Section B.*
2. *Indicate your required capacity rating for 2015 in Section A.*
3. *Indicate a current capacity rating for each guide statement in the worksheet in Section B. Please provide evidence or justification for the ratings that you provided.*
4. *Indicate the Commission's relevant strengths in Section B and weaknesses in Section C in relation to this functional capacity in the appropriate spaces.*
5. *Indicate recommendations in relation to the functional capacity in Section D.*

The rating system uses a five-point scale defined as follows. Please don't forget to provide justification or evidence for each rating that you provide!

Score/Rating:		
1	Very Low	Very low level or no existing capacity exists
2	Low	Only basic or low level of capacity exists
3	Medium	Partially developed level of capacity exists (for example, irregular to basic implementation of plans)
4	High	Well developed level of capacity exists (for example, partial to full implementation of plans)
5	Very High	Fully developed relevant capacity exists (for example, active monitoring and evaluation after implementation)

Development Issue: <b>HUMAN RESOURCES</b>		A. Rating that best reflects required capacity (in 2015)
Functional Capacity: <b>Formulate Staffing Policies &amp; Strategies within the Institution</b> <i>This category relates to the capacity of the Institution to <u>analyze internal staffing needs</u> and <u>develop responsive staffing policies and strategies</u></i>		
<b>B. Please indicate a capacity rating for each guide statement:</b>	<b>Rating</b>	<b>Evidence</b>
1. The institution has the capacity to put in place the right <b>staffing structure/positions</b> , with required competencies, to fulfil its mandate		
2. The institution has the capacity to develop a <b>long-term human resource development framework/ plan</b> , to ensure adequate staffing and staff competencies in line with its mandate and long term goals		
3. The institution has the capacity to put in place an objective <b>appraisal mechanism</b> that links individual performance to individual terms of reference		
<b>C. Strengths</b>	<b>D. Weaknesses</b>	
<b>E. Recommendations</b>		