



Assessment of Capacities to Implement Policy Outcomes of Investment & Financial Flows Assessment for Key Sectors

Entry point: Organizational/Institutional Level

Country:
Sector (Mitigation / Adaptation):
Date:

Guidance note: “Who” / “how” to conduct capacity assessment using the template

Background: Respondent Characteristics & Institutional Profile

Part I: Policy Scan

Part II: Institutional Performance, Integrity & Adaptability

Part III: Functional & Technical Capacities

Part IV: Results of Capacity Assessment

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Guidance on “who / how” to conduct a capacity assessment using the template

Objective: The purpose is to assess the capacities of the relevant institutions & ministries to take forward the policy outcomes of the I&FF assessment by determining the capacities that exist & those that are needed to implement the outcomes of the I&FF analysis.

Approach: The capacity¹ assessment is a semi-structured interview-based process, in which a national expert talks to key stakeholders in various ministries. The capacity assessment will be conducted by the national expert under the guidance of Project Focal Point & in consultation with the national investment & financial flows (I&FF) team, sector-relevant departments & other institutions (NGOs, etc.). The outcomes of this capacity assessment can be a useful additional tool to help refine decision-making on the results of the I&FF assessment.

Questionnaire design: The questionnaire has 4 components to assess capacities needed to implement the policy outcomes from the country I & FF assessment at sectoral level considering adaptation / mitigation approach chosen by the country. Guidance on who and how to fill up each part of the questionnaire is provided as hereunder:

Part I Policy Scan:

- As a first step, it needs to be decided what the key target institutions of the capacity assessment will be. The purpose of this capacity assessment is to determine the capacities that exist & those that are needed to implement the outcomes of the I&FF analysis.
- For this reason, the National Focal Point should complete part 1 of this template in collaboration with the national expert & the different members of the I&FF team that have been actively contributing to the I&FF assessment & the analysis of its outcomes.
- Once this information is collected, the National Focal Point & the national expert will define from this information the key ministry departments & institutions for each sector that should be included in part 2 & 3 of the capacity assessment & – as far as possible – which levels of these organisations/which individuals should be interviewed.
- With the help of the National Focal Point & the concerned sectoral team leaders, the national expert will meet with the identified key ministry departments & institutions to complete the template.
- Time horizon for this activity: up to 3 days.

Part II: Institutional performance, integrity & adaptability and

Part III: Functional & technical capacities:

- Once part I is completed, the national expert will tailor parts II & III of the template according to key sectors & identified policy options by adjusting the template to adaptation or mitigation aspects (depending on sector) & national circumstances.
- Once the template is tailored, the national expert meets with the key ministry departments & institutions to complete parts II&III for the different sectors.
- Depending on the outcomes of the policy scan, the national expert will interview the different levels/individuals as agreed with the National Focal Point.
- Time horizon of this activity: Up to 4 days.

Part IV: Summary & synthesis of information collected from parts I-III of the template:

- After the information is collected, the national expert will analyze the responses from each sector & organization in collaboration with the National Focal Point.

¹ In the context of climate change, capacity building is developing the technical skills & institutional capabilities to enable countries to participate in all aspects of adaptation to, mitigation of, & research on climate change.

- The outcome of this analysis will be a 1-2 page synthesis prepared by the national expert on how the capacity assessment was carried out & the responses received on part I-III for each sector. The summary report is expected to be a forward looking document identifying the capacity gaps & needs to implement the policies that emanate from the I&FF assessment & will outline what further steps are needed to enhance the capacities of key stakeholders in implementing the policies identified through the I&FF assessment. The national expert is welcome to collect any additional relevant information to synthesize with other responses received on the template.
- Time horizon of this activity: Up to 2 days.

Background Part A: Respondent Characteristics

These sections A & B should be completed by the national expert for all respondents of the institutions interviewed for parts I through III.

(Need to determine which characteristics will add value to the information collected (& which may bias the information collected): e.g., name, administration level, department, job title, years in position, staff managed, gender, age, type of education.)

Respondent Characteristics	
Name	
Administration Level	
Department	
Job Title	
Years in Position	
# of Staff Managed	
Gender	
Professional Background	

Background Part B: Institutional Profile

It is important to articulate the mandate, strategic objectives & operational goals of the target institution(s). Additional details about the institution can be captured as appropriate, e.g., number of employees, number of people served, geographic distribution.

Institutional Profile	
Mandate	
Strategic Objectives	
Operational Goals	

Part I: Policy Scan

The policy scan is an activity that happens *prior* to the other parts of the capacity assessment. The purpose of the policy scan is to inform the definition of which capacities to include in the assessment checklist. The policy scan will also help determine what the key results of the I&FF assessments were, what the needs are to implement them, & who the key stakeholders are to assess the implementing capacities further.

Policy Scan		
Sector – 1 (use separate sheets for other sectors)		Comment
1	What policy options were identified as part of the I&FF assessment? – (Please attach the policy options that resulted from the I&FF assessment as an annex).	•
2	Were gender equity issues considered important to muster support & help to effectively implement these policies?	•
3	What capacities will be needed to foster better institutional arrangements & enhanced communication among line ministries & organizations that are to implement the policy outcomes of the I&FF assessment?	•
4	What are the main technical capacity gaps & needs (regarding methodological issues during the I&FF assessment) that were identified during the I&FF assessment process?	•
5	What are the main administrative capacity gaps & needs (regarding hiring of I&FF assessment team) that were identified during the I&FF assessment process?	•
6	What are the main governance capacity gaps & needs (regarding availability & access of data, models etc. during the I&FF assessment) that were identified during the I&FF assessment process?	•
7	What are the main leadership capacity gaps & needs that were identified during the I&FF assessment process?	•
8	What are the main knowledge capacity gaps & needs that were identified during the I&FF assessment process?	•
9	What are the main accountability ² capacity gaps & needs that were identified during the I&FF assessment process?	•

² Accountability means here the acknowledgment & assumption of responsibility for actions, decisions, & policies and encompassing the obligation to report, explain & be answerable for resulting consequences.

Part II: Institutional Performance, Integrity & Adaptability

TO BE CUSTOMIZED FOR EACH KEY SECTOR FROM AN ADAPTATION OR MITIGATION PERSPECTIVE (AS RELEVANT)

1. Institutional Performance (<i>effectiveness & efficiency</i>)		
Outcome		Indicator
1.1	Ministry/department improves 'delivering efficiency' at [sector y] regarding: improving implementation of policy x	Degree of implementation of policy x
1.2	Ministry/department improves 'delivering efficiency' at [sector y] regarding: Improving cost efficiency of implementation of policy x	Cost intensity of implementation of policy x (cost per degree of implementation)
1.3	Ministry/department improves 'delivering efficiency' at [sector y] regarding: increasing quality of policy x	Quality of outcome (e.g., potability of water, quality of health services) Citizen satisfaction rate with policy x
2. Institutional Integrity & Networks (<i>communication & institutionalization</i>)		
Outcome		Indicator
2.1	Ministry/department enhances communication with executive offices such as PMO / President's Office as well as with key ministries such as Economic development, External affairs & Finance	Frequency & quality of exchange among ministry/department with executive offices
2.2	Ministry/department adopts & uses standard operating procedures to implement policy x	Rate of compliance with relevant policy / rules / regulations
2.3	Ministry/department increases financial accountability	Number of stakeholders that have access to plan, budget & expenditures of the ministry/department
2.4	Optional question: Ministry/department decreases external /internal fraud	Financial loss caused by external /internal causes
2.5	Ministry/department increases staff morale	Staff satisfaction ratings Turnover rate due to voluntary termination of contract
2.6	Ministry/department adopts gender equity principles & is an equal opportunity employer.	Gender ratio within the ministry/department, if possible disaggregated by level within the institution
3. Institutional Adaptability (<i>investment for growth & change & continuous improvement</i>)		
Outcome		Indicator
3.1	Ministry/department understands customer needs / environmental needs	Investment in customer research (values, attitudes & behaviours) & environmental research
3.2	Ministry/department ensures systematic & continuous improvements to the management of public projects	Number of strategic planning/scenario planning sessions held per year

Part III: Functional & Technical Capacities

TO BE CUSTOMIZED FOR EACH KEY SECTOR FROM AN ADAPTATION OR MITIGATION PERSPECTIVE (AS RELEVANT)

Core Issue: 1.0 Institutional arrangements – Organisational Level							
Capacity Question		Indicator Level of Existing Capacity ³					Suggestion how to enhance that capacity ⁴
		1	2	3	4	5	
Cross-Cutting Functional Capacities							
Formulate Policy & Strategy							
1.A	Can the organization develop policies based on societal changes?	Societal changes are not integrated into the organisation's policy & legal framework at all				Societal changes are fully integrated into the organisation's policy & legal framework	
1.B	Does the organization have the mandate to implement the policies when capacities are built as identified by the I&FF assessment process?						
2.A	Does the organisation have the capacity to ensure involvement of all stakeholders in implementing policies? <ul style="list-style-type: none"> • NGO • Academia • Civil society • Employees • Women 	The organization doesn't identify key stakeholders, doesn't develop stakeholder engagement mechanisms, doesn't communicate with stakeholders				The organization fully identified its key stakeholder, developed stakeholder engagement mechanisms, communicates regularly with stakeholders	
2.B	Does the organisation have the capacity to involve employees, NGOs, academia, civil society & others in the development of quality standards for services, products & information? Does the organization provide equal possibilities of involvement for women?						
Budget, Manage & Implement policy options							
3.A	Does the organisation have the capacity to budget, manage & implement policies, frameworks & mechanisms?	Organisational policy & legal framework doesn't contribute at all to achievement of the organisation's goals & strategies.				Organisational policy & legal framework fully contributes to achievement of the organisation's goals & strategies.	

³ For each question a rating will be made according to the scale given with 1 identifying the weakest and 5 the strongest development of the respective capacity.

⁴ To provide more practical information on how to develop the respective capacity further, suggestions how that capacity can be enhanced should be given wherever possible.

3.B	Does the organisation have the capacity to create an efficient working environment? Does the organisation have the capacity to offer equal chances to move up within the organization for men & women?					
4.A	Does the organisation have the capacity to involve citizens/customers in the development & delivery of programmes? Does this possibility exist for woman & men alike?	No new & innovative ways of dealing with citizens/customers used.				New & innovative ways of dealing with citizens/customers fully exploited.
4.B	Does the organisation have the capacity to provide accessibility of the organisation?	Organization doesn't provide flexible opening hours, documents in both paper & electronic versions etc.				Organization provides flexible opening hours, documents in both paper & electronic versions etc.

Core Issue: 2.0 Leadership – Organisational Level							
Capacity Question	Indicator Level of Existing Capacity					Suggestion how to enhance that capacity	
	1	2	3	4	5		
Cross-Cutting Functional Capacities							
Formulate Policy & Strategy							
5.A	Does the organisation's leadership have the capacity to translate the vision, mission, value framework into strategic & operational objectives & actions?	No long-term strategic policies for capacity development exist.				Long-term strategic policies for capacity development exist.	
5.B	Does the organisation's leadership have the capacity to: <ul style="list-style-type: none"> • Advocate? • Negotiate? • Partner? • Represent? • Communicate? • Mobilize resources? 						
6.A	Does the organisation have the capacity to develop a financial plan & policies?	No long-term strategic policy options for financial resource management exist.				Long-term strategic policy options for financial resource management exist.	
6.B	Does the organisation have the capacity to align financial plan with strategic objectives?						
Budget, Manage & Implement policy options							

7.A	Does the organisation's leadership have the capacity to budget, manage & implement policies, legislations, strategies, programmes & projects?	Low quality of implementation of plans, strategies & programmes (effective & efficient).				High quality of implementation of plans, strategies & programmes (effective & efficient).	
7.B	Does the organisation's leadership have the capacity to translate strategic objectives into appropriate plans, priorities, tasks & timelines?						
8.A	Does the organisation have the capacity to manage financial resources appropriately in the implementation of programmes?	Budgets not used as a planning tool. Budgeting, planning & allocation process not transparent at all.				Budgets fully used as a planning tool. Budgeting, planning & allocation process fully transparent.	
8.B	Does the organisation have the capacity / leadership's ability to advocate, support, secure resources for fiscal data systems to ensure fiscal data are up-to-date & accurate?						

Core Issue: 3.0 Knowledge – Organisational Level							
Capacity Question		Indicator Level of Existing Capacity					Suggestion how to enhance that capacity
		1	2	3	4	5	
Cross-Cutting Functional Capacities							
Formulate Policy & Strategy							
9.A	Does the organisation have the capacity to put in place a policy for information, knowledge & communications that is accessible to women & men alike?	Organisational policies & code of ethics in information management not transparent at all.				Organisational policies & code of ethics in information management fully transparent.	
9.B	Does the organisation have the capacity to develop an information management policy covering content, infrastructure, human resources, budget & processes, archiving & quality management?	The organization doesn't have the intellectual/human capital required to formulate policy.				The organization has the intellectual/human capital required to formulate policy.	
Budget, Manage & Implement policy options							
10.A	Does the organisation have the capacity to provide technological, communications & information resources required for the development & delivery of programmes? Does the information/measurement system provide sufficient insight to manage performance?	No information is shared openly within the organisation.				All information is fully shared openly within the organisation.	
10.B	Does the organisation have the capacity to ensure the	The organization doesn't				The organization	

	accuracy, reliability & security of information, & to ensure that externally available information is processed & used effectively, e.g. by developing an institutional knowledge base?	process & use any information effectively.				processes & uses all information effectively, e.g. through a web-based knowledge platform.	
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Core Issue: 4.0 Accountability - Organisational Level

Capacity Question	Indicator Level of Existing Capacity					Suggestion how to enhance that capacity
	1	2	3	4	5	

Cross-Cutting Functional Capacities
Formulate Policy & Strategy

11.A	Does the organization have the capacity to develop & manage <i>internal</i> accountability to ensure formulation of clear & transparent policies & strategies?	Low quality of mechanisms that ensure mutual internal accountability of staff.				High quality of mechanisms that ensure mutual internal accountability of staff.	
11.B	Does the organization have the capacity to develop & manage <i>external</i> accountability to ensure formulation of clear & transparent policies & strategies?	Low quality of mechanisms that ensure mutual external accountability to stakeholders.				High quality of mechanisms that ensure mutual external accountability to stakeholders.	

Budget, Manage & Implement policy options

12.A	Does the organisation have the capacity to develop, manage & enforce accountability mechanisms regarding programme budgeting, management & implementation?	No mechanisms (e.g. law, convention) exist to oblige decision-makers to give reasons for their decisions.				Effective mechanisms (e.g. law, convention) exist to oblige decision-makers to give reasons for their decisions.	
12.B	Does the organisation have the capacity to budget, manage & implement programmes to develop accountability mechanisms?						

Any other suggestions, observations to the topics above:

Part IV: Results of capacity assessment

(1-2 pages)

Please describe:

- 1) How the capacity assessment was carried out (e.g., number of institutions interviewed, etc);
- 2) Synthesis of the responses received on parts I-III for each sector.

The summary is expected to be a forward looking document identifying the capacity gaps & needs to implement the policies that emanate from the I&FF assessment & will outline what further steps are needed to enhance the capacities of key stakeholders in implementing the policies identified through the I & FF assessment. The national expert is welcome to collect any additional relevant information to synthesize with other responses received on the template.