

# Developing Indicators for M&E of Capacity Building Initiatives:

Assessing stakeholders' capacity building needs for adaptation MEL:  
Experience of four countries

Capacity Building Day @ COP25  
04 December 2019

# What is ‘capacity building’?

The terms ‘capacity’ and ‘capacity building’ have very specific meanings in the context of climate change and development

The United Nations Development Programme (UNDP) defines:

- ‘Capacity’ as **“the ability of individuals, institutions, and societies to perform functions, solve problems, and set and achieve objectives in a sustainable manner.”**

and

- ‘Capacity development/building’ as **“the process through which individuals, organisations, and societies obtain, strengthen, and maintain the capabilities to set and achieve their own development objectives over time.”**

# Measuring capacity building

Capacity building can take many forms and applied to a range of different recipients (i.e. individuals, institutions and societies) across various thematic areas and sectors in which they operate and function

Therefore, in order to set about measuring capacity building, there are two key things that need to be considered i.e.

## **Capacity building:**

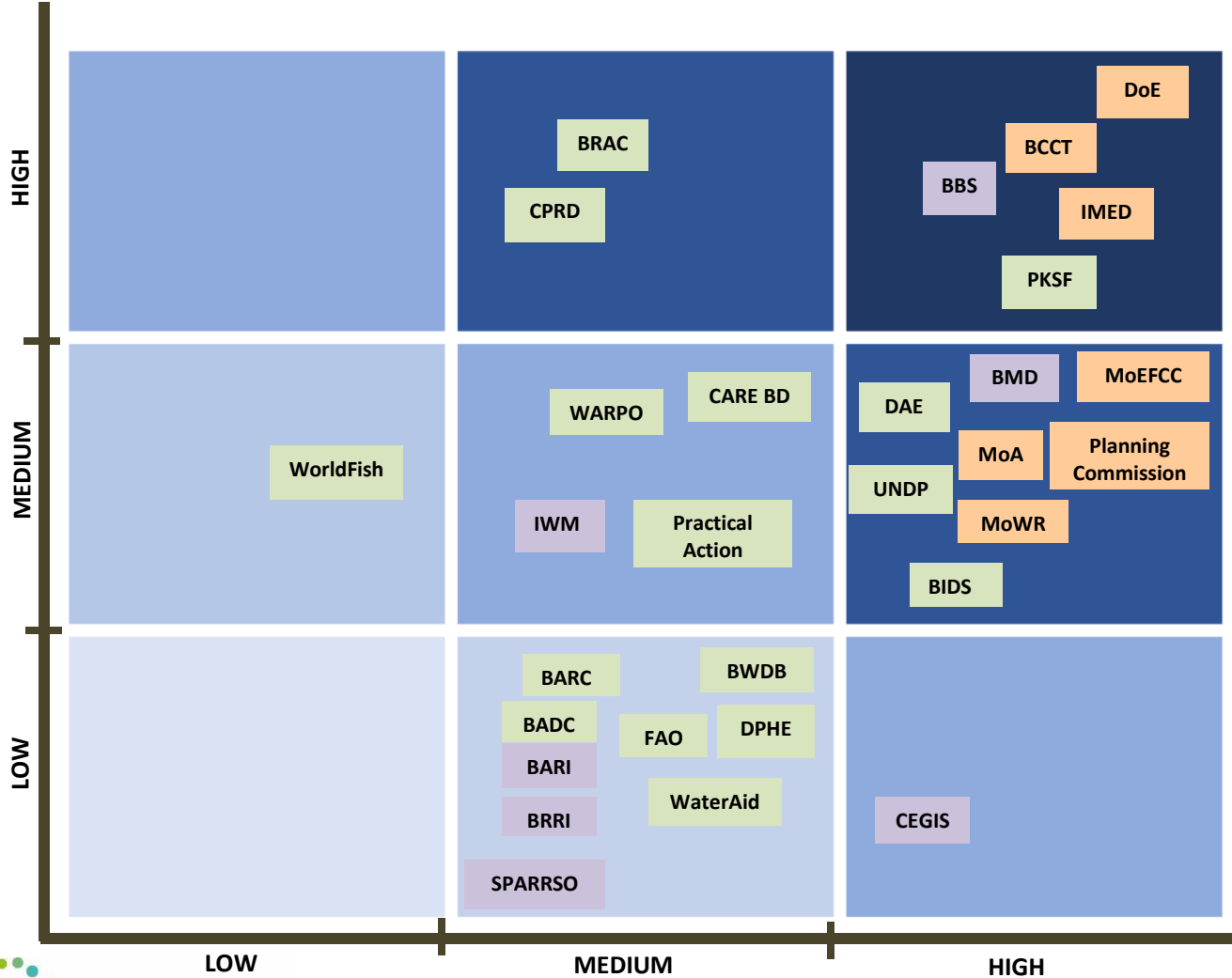
- **Of whom?**
- **For what?**

# Capacity building for adaptation M&E




- ICAT's overarching aim is to **respond to the critical need to support improved transparency and capacity building** under the Paris Agreement
- It aims to do so **by improving monitoring and evaluation (M&E) of adaptation measures** in a country and also by **enhancing the ability of countries to track the effectiveness of adaptation interventions**
- To establish and foster national systems for undertaking M&E of adaptation, **active engagement of an array of relevant stakeholders / institutions within the climate change arena of a the country** would be required (Government agencies, civil society organizations, NGOs, researchers, academia, private sector etc,)
- **Strengthening national institutions** is therefore vital for promoting enhanced transparency and accountability of climate action
- To help design and undertake appropriate capacity building measures, it is imperative that the **baseline capacity as well as capacity needs of relevant national/in-country institutions are properly assessed and understood.**

# Stakeholder mapping

INTEREST



**Stakeholder Matrix (Bangladesh)**

 Data group  
 Knowledge broker group  
 Implementation group

INFLUENCE

# Introduction to CAT4CAT

- **Capacity Assessment Tool for Climate Action Transparency (CAT4CAT)** is a structured tool designed with the following key objectives:
  - **Understand current institutional capacity** for undertaking MEL of climate actions
  - **Determine existing gaps** in organizational capacity for delivering on MEL
  - **Identify possible strategies and interventions** to strengthen relevant capacity
- Can be applied to stakeholders at the **national, subnational and programmatic levels**
  - Government Organizations (Ministries/Divisions/Departments etc.), Non-Governmental Organizations (NGO), Civil Society Organizations (CSO), Research Institutes / Think Tanks, Private Sector etc.
- Establish a **standardized baseline** to assess organizational performance – to be repeated after a period of time to **monitor and measure changes or development in capacity**
- Adapted from the following existing tools: **GTF's Capacity Assessment Tool, MEASURE Evaluation's MECAT tool**, and also **USAID's GCC Institutional Capacity Assessment**

# Introduction to CAT4CAT

- Assessment on a **set of four (4) broad domains** of institutional capacity
  - **Goals and Strategy**
  - **Systems and Infrastructure**
  - **Human Resources**
  - **Organizational Assets**
- These four domains have been identified on the basis of desktop review of best practices and lessons learned in conducting institutional capacity needs assessment across different disciplines
- Each domain is comprised of a number of sub-domains, which represent different factors characterizing the broad domain

# Capacity Assessment Domains

- **Goals and Strategy** - Organizational mission and vision statement, strategic plans as well as other governance and organizational policies.
  - Commitment on the issue from key stakeholders
  - Mainstreaming of climate change into broader organizational goals and mandates
  - Strategic plans with climate change objectives
- ***Sub-domains:***
  - Mission/mandate
  - Strategic planning
  - Leadership quality
  - Funding model
  - Gender and social inclusion



# Capacity Assessment Domains

- **Systems and Infrastructure** - Processes, procedures and systems in place for running an organization in a coherent and consistent manner.
  - Internal systems to ensure effective functioning of the organization for achieving its goals and objectives on climate change
  - ***Sub-domains:***
    - Organizational structure
    - Interfunctional coordination
    - Monitoring & evaluation
    - Knowledge management
    - External communication
    - Information and communication technology (ICT)
    - Financial operations management

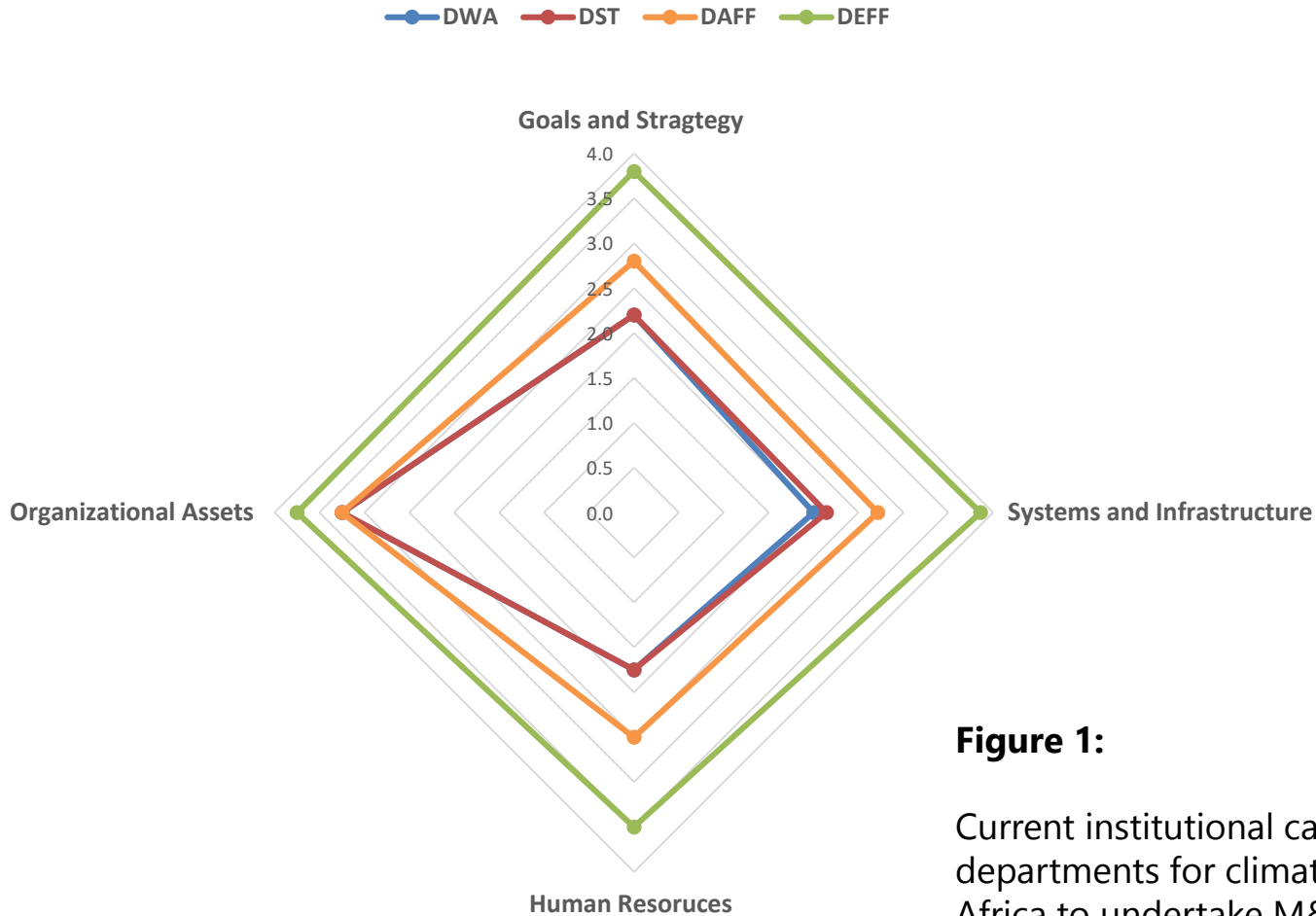
# Capacity Assessment Domains

- **Human Resources** - People who manage or work for an organization, as well as the processes in place for supporting and developing them to fulfill their functions well and contribute towards the organization's aspirations
  - Quality and quantity of organization's staff
  - Knowledge on climate change issues
  - Expertise in M&E
- ***Sub-domains:***
  - Staffing levels
  - Knowledge and expertise on climate change
  - Technical skills on M&E
  - Access to capacity building

# Capacity Assessment Domains

- **Organizational Assets** - Many types of skills or aptitudes that support effective functioning of an organization, in line with its mission, vision and goals
  - External factors that support organizational growth and success
  - Assets serve as building blocks for promoting enhanced and effective stakeholder coordination on the issue
  - ***Sub-domains:***
    - Understanding of issue, context and role of relevant stakeholders
    - Partnerships/network development and fostering
    - National presence and engagement
    - Policy influence

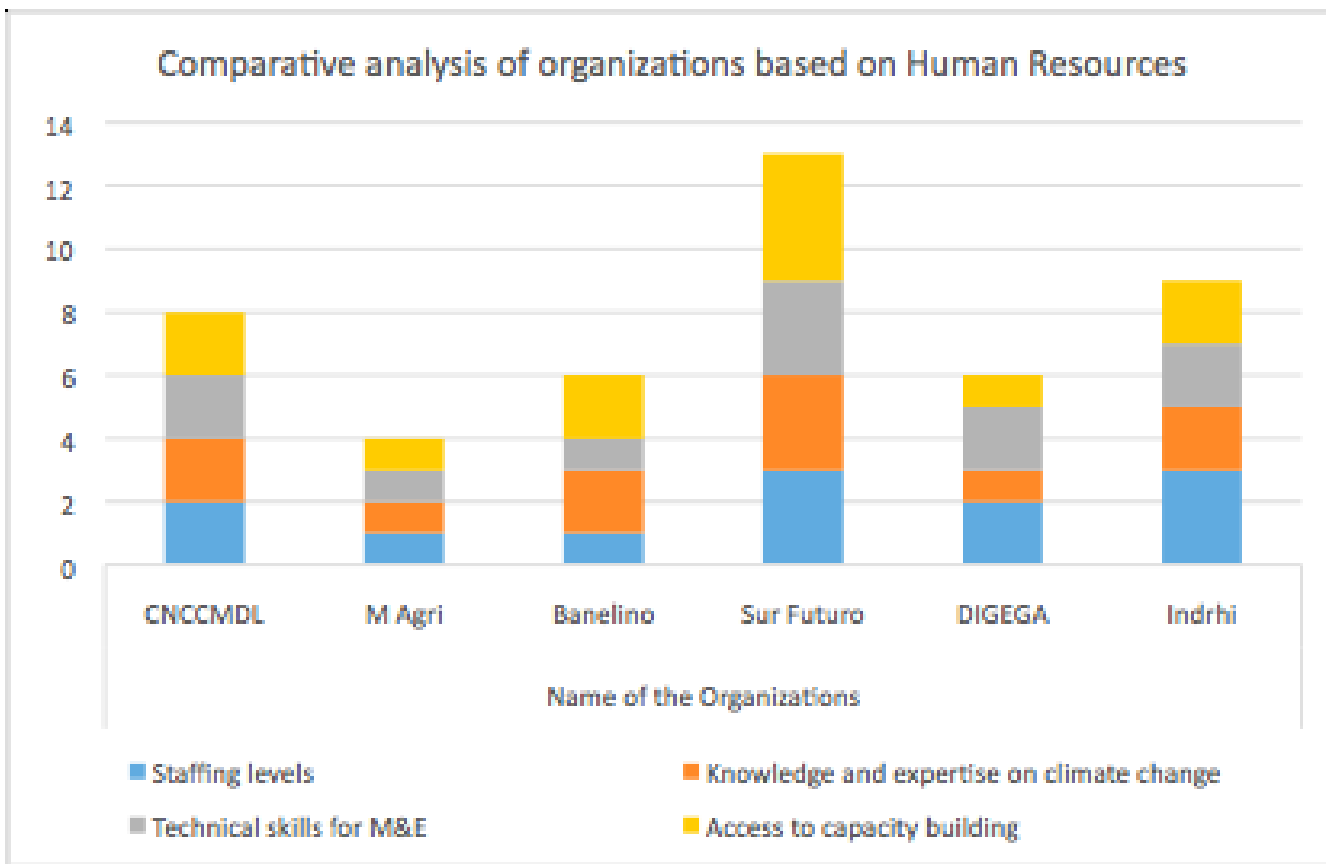
# Analyzing the results



**Figure 1:**

Current institutional capacity of national departments for climate services in South Africa to undertake M&E of adaptation

# Analyzing the results



**Figure 2:**

Comparative analysis of Human Resources of key stakeholders in the banana production sector of the Dominican Republic

**GRACIAS!**

## Annex A: Scoring Criteria

### 1. Goals and Strategy

1. Goals and Strategy	(1) Low level of capacity	(2) Basic level of capacity	(3) Moderate level of capacity	(4) High level of capacity
<b>Mission/Mandate</b>	<p>No clearly defined mission, vision or organizational goals dictating it to address climate change issues.</p> <p>Organization's climate change mandate is not well known and accepted by relevant stakeholders (internal and external).</p>	<p>Mission and vision has provisions for climate change action, however there is lack of clarity and metrics for measuring attainment.</p> <p>Organization's climate change mandate is known and accepted by a small number of relevant stakeholders (internal and external).</p>	<p>Mission and vision clearly expresses and entails actionable goals for addressing climate change - however they are not well aligned with organization's broader mission and national priorities.</p> <p>Organization's climate change mandate is fairly well known and accepted by relevant stakeholders (internal and external).</p>	<p>Addressing climate change is well defined in the organization's mission and vision statements with clear goals, and this which are widely followed and aligned with national priorities and supports the organization's broader mission.</p> <p>Organization's climate change mandate is widely known and accepted by relevant stakeholders.</p>
<b>Strategic planning</b>	<p>Strategy document for addressing climate change or a general plan with climate change objectives does not exist.</p>	<p>Strategy document for addressing climate change or a general plan with climate change objectives exist, but is largely inadequate as it is in conflict with the organization's broader mission/mandate. There is limited access to climate change data and the document or plan is not regularly reviewed or updated.</p>	<p>Strategy document, or a general plan outlining short-medium term plans for addressing climate change exists. The document is regularly reviewed and updated to reflect national priorities. However, climate change issue is not extensively integrated across the organization's work portfolio. There is limited focus on M&amp;E, transparency and reporting as well as gender and social inclusion considerations.</p>	<p>Strategy document with clear and coherent medium-to-long term plan for addressing climate change in place – both actionable and linked to mission, vision and goals - has strong considerations for M&amp;E, transparency, reporting as well as climate change mainstreaming. Gender and social inclusion considerations are also adequately incorporated within the document. Strategy document is regularly reviewed and updated to</p>

## 2. Systems and Infrastructure

2. Systems and Infrastructure	(1) Low level of capacity	(2) Basic level of capacity	(3) Moderate level of capacity	(4) High level of capacity
<b>Organizational structure</b>	The organization does not have a formal organizational structure with clearly defined roles and responsibilities of departments, functions and lines of authority, particularly for accomplishing climate change objectives.	Organizational structure with clearly defined roles and responsibilities of departments, functions and lines of authority, particularly for accomplishing climate change objectives is in place but is not appropriately followed.	Organizational structure with clearly defined roles and responsibilities of departments, functions and lines of authority particularly for accomplishing climate change objectives is in place, and is adequately followed.	Organizational structure with clearly defined roles and responsibilities of departments, functions and lines of authority, particularly for accomplishing climate change objectives is in place, and is effectively applied.
<b>Interfunctional coordination</b>	Limited to no coordination across departments or key functions, particularly between the climate change and M&E unit, for achieving climate change goals.	Weak coordination across departments or key functions, particularly between the climate change and M&E unit, for achieving climate change goals.	Moderate coordination across departments or key functions, particularly between the climate change and M&E unit, for achieving climate change goals.	Strong coordination across departments or key functions, particularly between the climate change and M&E unit, for achieving climate change goals.
<b>Monitoring &amp; evaluation</b>	<p><u>Monitoring</u></p> <ul style="list-style-type: none"> <li>• Significant difficulty in establishing suitable indicators for measuring organizational performance, particularly in regard to climate change objectives</li> <li>• Lack of expertise in collection and analysis of baseline and performance monitoring data, particularly on climate change</li> <li>• Performance monitoring data,</li> </ul>	<p><u>Monitoring</u></p> <ul style="list-style-type: none"> <li>• Some difficulty in establishing suitable indicators for measuring organizational performance, particularly in regard to climate change objectives</li> <li>• Minimal expertise in collection and analysis of baseline and performance monitoring data, particularly on climate change</li> <li>• Performance monitoring data,</li> </ul>	<p><u>Monitoring</u></p> <ul style="list-style-type: none"> <li>• Reasonably capable of establishing suitable indicators for measuring organizational performance, particularly in regard to climate change objectives</li> <li>• Moderate expertise in collection and analysis of baseline and performance monitoring data, particularly on climate change</li> <li>• Performance monitoring data,</li> </ul>	<p><u>Monitoring</u></p> <ul style="list-style-type: none"> <li>• Experienced in establishing suitable indicators for measuring organizational performance, particularly in regard to climate change objectives</li> <li>• Strong expertise in collection and analysis of baseline and performance monitoring data, particularly on climate change</li> <li>• Performance monitoring data,</li> </ul>



## Annex B: Guiding Questions and Documentation

### 1. Goals and Strategy

<b>Potential participants:</b>	Chief Executive Officer, Executive Director, Director, Senior managers
<b>Supporting documentation:</b>	Mission and vision documents, strategic plans, annual reports, programme reports, gender action plan

- Does the organization's written mission or vision statement, or a mandate (laws, by-laws) have provisions for climate change action?
- What sort of objectives regarding climate change action do these documents mention?
- When was the last time the mission/mandate was revised? How often are they reviewed? What is the process for reviewing and revising these mission/mandate documents?
- To what extent is the internal staff familiar with the mission/mandate on climate change? Is the mission/mandate on climate change well known to stakeholders? To what extent is the mission/mandate externally imposed?
- Does the organization have a written strategy document to implement its climate change objectives? Is it publicly available? What time period is covered by the document?
- How effective is the strategy document in accomplishing the organization's climate change objectives? Are the objectives well informed by global and local context as well as relevant challenges and opportunities? To what extent is the strategic plan informed by reliable information, data and analysis?
- How often is it revised? Is there a mechanism to review and revise the plan responding to new information and knowledge? How well is the mechanism followed?
- Does the strategic plan cover resource requirements needed to accomplish the objectives? Given available resources and constraints, how realistic are these requirements? How accurate are the resource requirements for accomplishing climate change goals and objectives?
- To what extent does the strategic plan help guide management decisions and operational planning?
- To what extent does leadership within the organization commit to and abide by the mission/mandate on climate change objectives?
- Is there sufficient climate change expertise at the leadership level?
- Does the organization have funding support to further its climate change objectives? What are the funding sources? How stable and reliable are these funding sources?
- Does the organization have a dedicated budget for climate change action? What criteria are applied for allocating budget and financial resources towards climate change objectives? Is the allocation sufficient?
- Has the organization identified its relevant stakeholders? Who are they and how were they identified?
- How well is gender and social inclusion integrated across the organization's work, particularly on climate change? Is there significant participation of socially excluded groups in implementing the plan?

## 2. Systems and Infrastructure

<b>Potential participants:</b>	Senior Manager, M&E Officer, Knowledge Management Officer, ICT Officer, Finance Manager
<b>Supporting documentation:</b>	Organizational chart, M&E strategy, financial reports,

- Does the organization have a formal structure for its operations? To what extent does the structure define climate change objectives? When was the organizational structure last revised to reflect climate change goals? Does the organizational structure allow for leadership to exercise climate change objectives?
- Are there clearly defined roles and responsibilities, and lines of authority of different departments and functions within the organization? How appropriate are they? How well do they work?
- Is there sufficient coordination among different functions and departments within the organization? What mechanisms are in place for ensuring communication and coordination among them, particularly for accomplishing climate change objectives? What are some of the ways different units and departments have collaborated on promoting climate change objectives?
- How does the organization conduct monitoring and evaluation (M&E) of its performance, particularly on climate change work? To what extent are the targets set realistic? Are the qualitative and quantitative indicators appropriately chosen? How often is M&E undertaken?
- Does performance monitoring data accurately portray intended results? Are lessons learned from M&E used to inform future decisions and strategies?
- Is there sufficient expertise among staff for undertaking M&E, particularly on climate change work?
- How well are gender and social inclusion issues incorporated into M&E of climate change action?
- What system does the organization have for documenting, storing, and disseminating organizational knowledge, as well as best practices and lessons learned, particularly on climate change? Is the knowledge accessible both internally and externally? Is there a system or process for sharing knowledge and best practices to external stakeholders? How well do these systems work?
- How often does the organization participate in discussions with relevant stakeholders and actors on climate change approaches, lessons learned and best practices? Are these discussions mutually beneficial? In what ways?
- Does the organization have a communication strategy for its stakeholders? What are some of the mediums used by the organization for communicating its goals, objectives and action to external audiences? How effective are they?
- Does the organization have sufficient Information and Communication Technology (ICT) facilities, including hardware and software for knowledge and data management? What sort of equipment does the organization employ? Is there sufficient financial resources allocated towards ICT? Does the ICT staff have necessary expertise? Are ICT approaches effective in accomplishing climate change objectives?
- Does the organization have a financial policy? Is it aligned with organizational goals and strategies? What sort of internal controls are in place for financial operations? Are financial operations transparent and effective?

### Capacity Scoresheet

Domain	Sub-domain	Score (1-4)	Rationale for provided score (supported by evidence, if available)	Possible strategies and action steps for achieving a higher score (where appropriate)
Goals and strategy	Mission/mandate			
	Strategic planning			
	Leadership quality			
	Funding model			

Capacity Scoresheet				
Domain	Sub-domain	Score (1-4)	Rationale for provided score (supported by evidence, if available)	Possible strategies and action steps for achieving a higher score (where appropriate)
Human resources	Staffing levels			
	Knowledge and expertise on climate change			
	Technical skills on M&E			
	Access to capacity building			