



ANNEX A.

**Capacity Assessment Tool for
Mainstreaming P-E Linkages in Local Governance**



CAPACITY ASSESSMENT TOOL FOR MAINSTREAMING POVERTY-ENVIRONMENT LINKAGES IN LOCAL GOVERNANCE¹

1. PURPOSE OF THE CAPACITY ASSESSMENT TOOL

This capacity assessment tool is not new. Basically, it modified the UNDP Capacity Assessment Methodology (CAM) to suit Local Government Units (LGU) that are sharing national wealth from the extraction and development of natural resources.

The CAM assists managers and training professionals in identifying the capacitation needs of officers and staff of the LGU for mainstreaming PE linkages in their planning and management functions.

The tool is introduced to guide the LGUs in assessing systematically their capacities for various purposes. It is a flexible tool that it could be adapted for different themes of development. It is self-administered with facilitation on certain aspects, especially on the understanding of the conceptual foundations of the methodology, and in the generation of the Capacity Assessment Framework (CAF). During the conduct of the self-assessment, assistance from the experienced will be beneficial.

1.1 How to use the assessment tool

- (a) There is no replacement for reading and studying this material. It should not be assumed that the tool is another of ‘those’ because indeed, new dimensions of development work are suggested. A few are out-of-the-box thinking and doing, generally pertaining to the day-to-day techniques of planning and management.
- (b) Sequentially treat the material by understanding first the basic concepts that the methodology is anchored.
- (c) By experience, it is beneficial to invite professionals who have had experiences in using the method to assist in the facilitation. Fellow LGU officers are the best to avail as resource persons. Self-study on the material is encouraged but having a resource person leading the discussion will be more effective.
- (d) Akin to any field procedure, the users of the tool has to argue on the steps, but are expected to follow or try the conduct as proposed. Do not make short cuts.

¹ The PPEI Knowledge product, “Capacity Assessment for Mainstreaming Poverty-Environment Linkages in LGU Governance” provides detailed discussions on the assessment tool.

2.0 CAPACITY ASSESSMENT METHODOLOGY

Core Issues/ Challenges in Mainstreaming Poverty- Environment Linkages in LGU Governance	Functional Capacities/Indicators (technical capacities)				
	Capacity to Engage in Multi- stakeholder Dialogues	Capacity to Assess a Situation and Create a Vision	Capacity to Formulate Policy and Strategy	Capacity to Budget, Manage and Implement	Capacity to Monitor and Evaluate
Need for an operational policy for PE mainstreaming, i.e., fieldguide/guidepost	Capacity to participate in the formulation of a fieldguide/guidepost?	Capacity to generate appropriate running and state indicators? Capacity to assess own situation to respond to the demand for mainstreaming?	Capacity to iterate development investment planning and programming to ensure Poverty-Environment Linkages?	Capacity to provide logistical support for implementation of programmed PPAs showing PE linkage?	Capacity to monitor and evaluate application of the fieldguide/guidepost?
Strengthening of human resources for mainstreaming Poverty-Environment Linkages	Capacity to seek assistance from capacity development service providers?	Capacity to conduct continuing training needs assessment of knowledge and skills of stakeholders on PE Linkages?	Capacity to develop climate smart, environment friendly and poverty alleviating technologies?	Capacity to systematically link Poverty-Environment and Sustainable Development during programming of PPAs?	Capacity to establish an oversight body dedicated to ensure PE mainstreaming in planning and programming of investments?
	Capacity to conduct multi-stakeholder training on climate smart and environment friendly inclusive green growth?		Capacity to develop a Training Manual on Mainstreaming Poverty-Environment Linkages?	Capacity to provide logistical support for mainstreaming Poverty-Environment Linkages in Investment Planning?	

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	Capacity to Engage in Multi- stakeholder Dialogues	Capacity to Assess a Situation and Create a Vision	Capacity to Formulate Policy and Strategy	Capacity to Budget, Manage and Implement	Capacity to Monitor and Evaluate
	Capacity to establish open access knowledge management which is action oriented?				
Need to show best practice/mode ls on mainstreamed Poverty-Environment Linkages for emulation by LGUs	Capacity to establish Anchor Institutions as service providers?	Capacity to conduct appraisal based on the best practice criteria?	Capacity to mainstream inclusive green growth investments?	Capacity to finance training activities on climate change sensitivity, disaster resiliency, and management process?	Capacity to monitor sustainability of mainstreamed PE linkages best practice?

3.0 CAPACITY ASSESSMENT WORKSHEETS

Mainstreaming Poverty-Environment Linkages in LGU Governance
Philippines Poverty Environment Initiative, DILG-UNDP

Name:
LGU:

Office:

Designation:
Date:

Instructions in filling out the Worksheets

- (1) What is asked from you is to assess your current capacities to address poverty-environment concerns/challenges/need vis-à-vis your functions as a development organization. In effect, the capacity development indicators are your technical capacities that we are examining. We want an honest or truthful self-assessment as a development worker.
- (2) Your rating is significant to tell us where you stand on a particular technical capacity (capacity development indicator). Please rate each indicator using the following scheme:
(1) Very Low No evidence or only anecdotal evidence of capacity/strategy/approach

(2) Low	Capacity/strategy approach exists or has been developed
(3) Medium	Capacity/approach is planned and implemented
(4) High	Capacity/approach is planned, implemented and reviewed on the basis of benchmark data and adjusted accordingly
(5) Very High	Capacity/strategy/approach is planned, implemented, reviewed on the basis of benchmark data, adjusted and fully integrated in the organization

(3) If your rating is 3, 4, or 5 to on an indicator, write the evidence corresponding to your rating, such as, specific documents, plans, certifications, etc., under the column “evidence” in the Worksheet.

If your rating is 1 or 2 to on an indicator, write on the column “need” the activities that you specifically require or need to develop that particular technical capacity/capacity development indicator, such as, specific training, orientation on a subject matter, workshop on a theme, LGU mentoring on how to's, specialist conference on a subject, in-depth study of unknown or gray areas of understanding, etc.

However, if your rating is 3 or above, you could still indicate the capacity development need that you feel is necessary.

(4) The PPEI/BLGD/DILG-UNDP/UNEP is committed to assist you in mainstreaming PE linkages in LGU governance to ensure the inclusive green growth of your community.

Thank you.

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Name:

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LGU:

Date:

CA WORKSHEET 01

Core Issue: Need for operational policy for PE mainstreaming (field guide/guide posts...)				
Functional Capacity	Indicator/s	Rating	Evidences	Need (specify)
A. Engage in multi stakeholder dialogues	Capacity to develop policies/guides that ensure multi stakeholder participation			
B. Assess situation and create a vision	Capacity to assess opportunities and threats and take appropriate actions for effective mainstreaming			
	Capacity to develop appropriate process and goal indicators of relevant policy			
C. Formulate policy and strategy	Capacity to iterate development investment planning and programming for PE linkages			
D. Budget, manage and implement	Capacity to provide logistical support for implementation of programmed PPAs showing poverty-environment linkage			
E. Monitor and Evaluate	Capacity to monitor and evaluate implementation of policies (field guides, etc)			

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CA WORKSHEET 02

Core Issue: Strengthening of human resources for mainstreaming Poverty-Environment Linkage				
Functional Capacity	Indicator/s	Rating	Evidences	Need (specify)
A. Engage in multi stakeholder dialogues	Capacity to engage or solicit the meaningful participation and assistance of capacity development service providers			
	Capacity to conduct multi-stakeholder seminar or orientation on climate smart and environment friendly inclusive green growth			
	Capacity to establish open access knowledge management system which is action-oriented (with public participation in developing the plans for it)			
B. Assess situation and create a vision	Capacity to assess the continuing training needs of stakeholders related to poverty-environment linkages			
C. Formulate policy and strategy	Capacity to frame strategies to develop human resources who can develop climate smart, environment friendly and poverty alleviating technologies)			
	Capacity to frame policy or strategy on building up or enhancing skills of staff on developing training manual specifically on			

	mainstreaming P-E linkage)			
D. Budget, manage and implement	Capacity to develop staff competency i.e., who can systematically link P-E and SD during PPAs programming)			
	Capacity to provide logistical support for mainstreaming P-E linkages in investment planning			
E. Monitor and Evaluate	Capacity to organize an oversight body to ensure P-E mainstreaming in planning and programming of investments			

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CA WORKSHEET 03

Core Issue: Need to show best practices/models on mainstreamed P-E linkages for emulation of LGUs

Functional Capacity	Indicator/s	Rating	Evidences	Need (specify)
A. Engage in multi stakeholder dialogues	Capacity to establish or link with anchor institutions as service providers with the involvement of multi-stakeholders			
	Capacity to conduct a comprehensive analysis of P-E best practices among LGUs for modeling			
B. Assess situation and create a vision	Capacity to frame strategies in order to mainstream inclusive green growth investments			
C. Formulate policy and strategy	Capacity to finance training activities on climate change sensitivity, disaster resiliency and management process to ensure building up of models on mainstreamed P-E linkages			
D. Budget, manage and implement	Capacity to monitor sustainability of best practices on mainstreamed P-E linkages			