



United Nations Climate Change
Paris Committee on Capacity-building

PCCB TOOLKIT

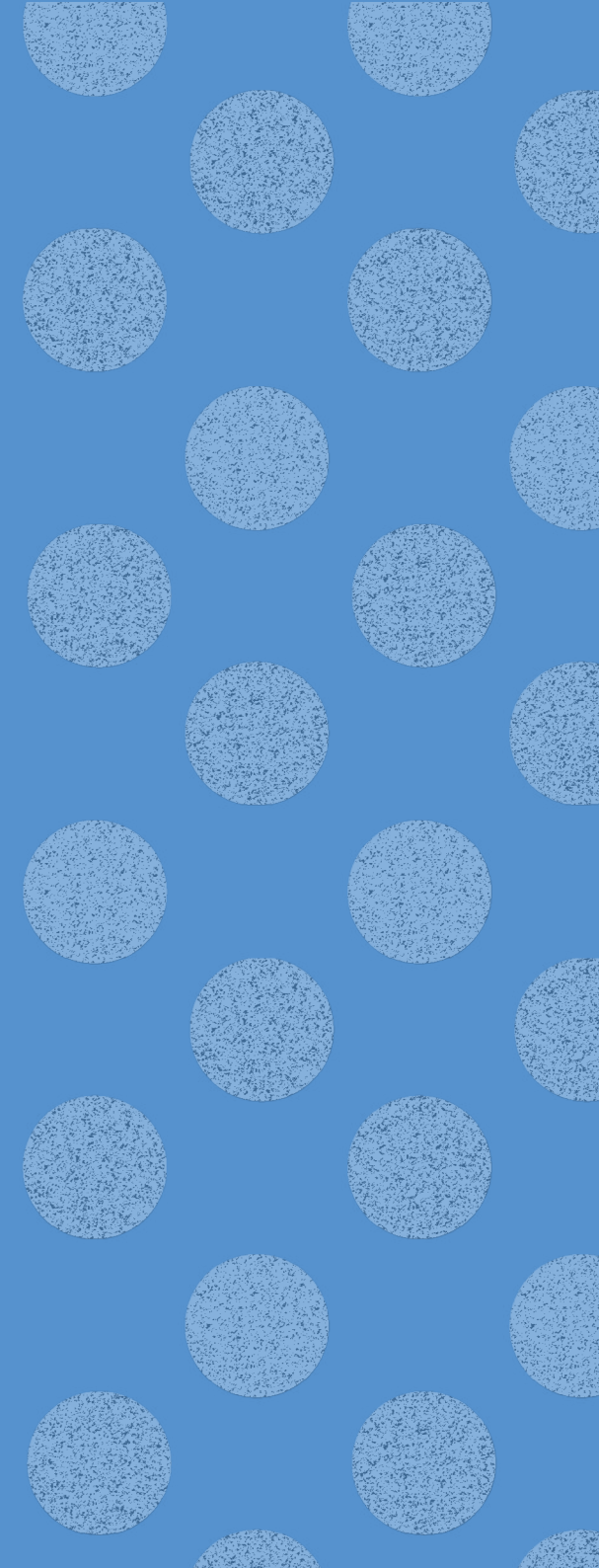
to assess capacity
building gaps and
needs to implement
the Paris Agreement



ABOUT THE PARIS COMMITTEE ON CAPACITY BUILDING

Established at COP 21 in 2015 the Paris Committee on Capacity-building (PCCB) addresses current and emerging gaps and needs in implementing and further enhancing capacity-building in developing countries. In 2019, Parties decided that the PCCB shall also serve the Paris Agreement.

The PCCB aims to identify capacity gaps, needs and potential solutions, including enhancing the coherence and coordination of capacity-building efforts related to climate change. The PCCB fosters collaboration between actors at all levels (local, national, regional and global), strengthening networks and partnerships to enhance synergies and promote knowledge- and experience-sharing. Through its platform for capacity-building and its communication tools, the PCCB facilitates access to information and knowledge for enhancing climate action in developing countries and for measuring progress on capacity-building to ensure continuous improvement over time.





ABOUT THIS TOOLKIT

This toolkit was developed to serve as a resource for developing country officials and their implementing partners in the assessment of relevant capacity needs, and in the determination of gaps, to implement the Paris Agreement. It includes examples of approaches that have been successfully adopted as well as links to additional resources that may be accessed via the UNFCCC capacity building portal and other online sources to inspire countries' further work with capacity building.

The toolkit is presented on behalf of the Paris Committee on Capacity Building (PCCB), which is the convening authority for capacity-building matters under the UNFCCC. A technical paper produced by the PCCB in 2019 confirmed that all countries continue to face institutional, technical, and financial capacity barriers, and that significant differences exist among countries in terms of the scope and scale of their needs and ability to address them. The technical paper recommended the development of a toolkit that would inform developing country Parties' assessment of capacity gaps and needs related to implementing the Paris Agreement.



This toolkit responds to that recommendation by collecting and organising resources of use to officials engaged in the capacity assessment process and incorporates expertise of the PCCB Network and their experience in undertaking capacity assessments. It draws on past efforts to present structured approaches to capacity assessment and includes case study examples and links to tools developed by countries, development agencies and other implementing partners. It is intended as a reference for officials responsible for designing and executing capacity assessments to act on climate change.

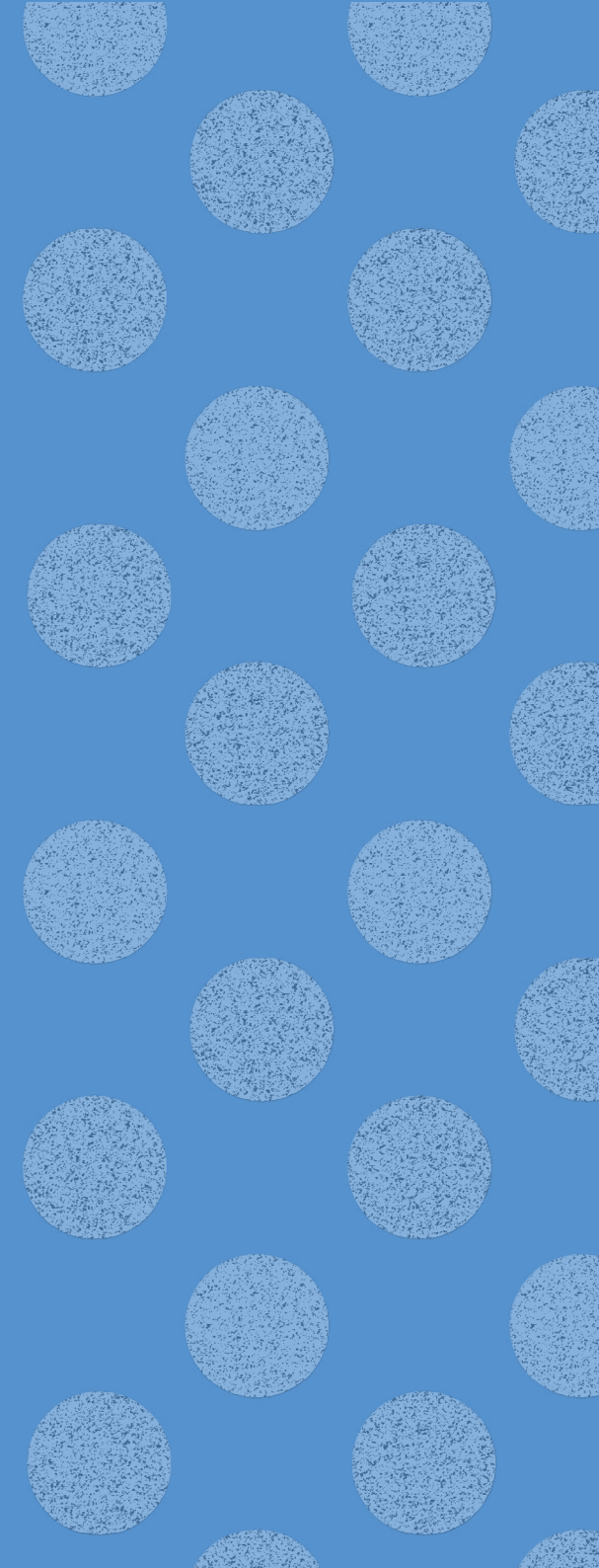


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UNFCCC EXPERTISE

The UNFCCC Secretariat works with numerous constituted bodies and implementing agencies that support developing countries on specific issue areas directly related to the implementation of the Convention and the Paris Agreement. Resources available through the links below can be used in developing elements of capacity assessments.

- [Paris Committee on Capacity-building \(PCCB\) | UNFCCC](#)
- [Local Communities and Indigenous Peoples Platform | UNFCCC](#)
- [Supplementary materials to the NAP technical guidelines | UNFCCC](#)
- [Gender and Climate Change Guidelines & Tools | UNFCCC](#)
- [Standing Committee on Finance \(SCF\) | UNFCCC](#)
- [Climate Technology Centre and Network \(CTCN\)](#)
- [Consultative Group of Experts \(CGE\) | UNFCCC](#)
- [Technology Needs Assessment \(unepdtu.org\)](#)
- [Initiative for Climate Action Transparency | UNOPS](#)



1 INTRODUCTION

Meeting the objectives of the Paris Agreement requires all countries to implement policies and measures that increase resilience to climate impacts and reduce GHG emissions. Determining the scope and ambition of the steps to be taken depends on a variety of factors, including national circumstances, climate priorities, and an accurate assessment of their capacity to act.

This capacity assessment toolkit presents an overview of approaches and tools that support the assessment of various dimensions of capacity needed to address the spectrum of actions required to address climate change. It identifies key points and steps involved in the assessment process from design to evaluation, and is supported by case studies, including links to additional information accessed through the UNFCCC Capacity Building Portal and other online resources.

The toolkit includes examples of qualitative and quantitative tools to assist with capacity assessment. Specific case study examples are included as a means to demonstrate concrete links to the various assessment processes that have been developed as part of the support provided by the constituted bodies of the UNFCCC, international development institutions, and other implementing organisations.

Significant efforts have been undertaken to develop targeted information, tools, best practice and other resources to inform these assessments and support developing countries in their efforts to develop and implement robust NDCs. The toolkit draws from the work of the UNDP, the GEF and GCF, IUCN, FAO, GIZ, UN CC:Learn, UNOPS, UNDG, and other international and development cooperation organisations focused on supporting developing countries to implement the Rio Conventions. These assessments point to areas where capacity must be built, maintained and strengthened for countries to develop robust policies and programmes to achieve their national objectives. The toolkit, however, has a particular focus on climate change capacities required to implement country NDCs and other national strategies in support of the objectives of the Paris Agreement.



The Government of Malawi undertook a robust capacity assessment as part of its first national climate change learning strategy (p.12-13). An overview of the strategy development process is provided in [Figure 2](#) (p.14).

2 HOW TO USE THIS TOOLKIT

Assessing capacity building gaps and needs is a challenging but vital undertaking and is part of a continuous and iterative process (Figure 1). It enables organisations to set appropriate climate objectives, identify steps needed to deliver, and a way to refine and report on them. Capacity is not a universal metric since it is based on national circumstances, ambition, access to resources and other factors that impact the outcome of any assessment process. Capacity also does not exist in a vacuum – it builds on a foundation of experience, obtaining and retaining capacity, while reacting to current and future needs.

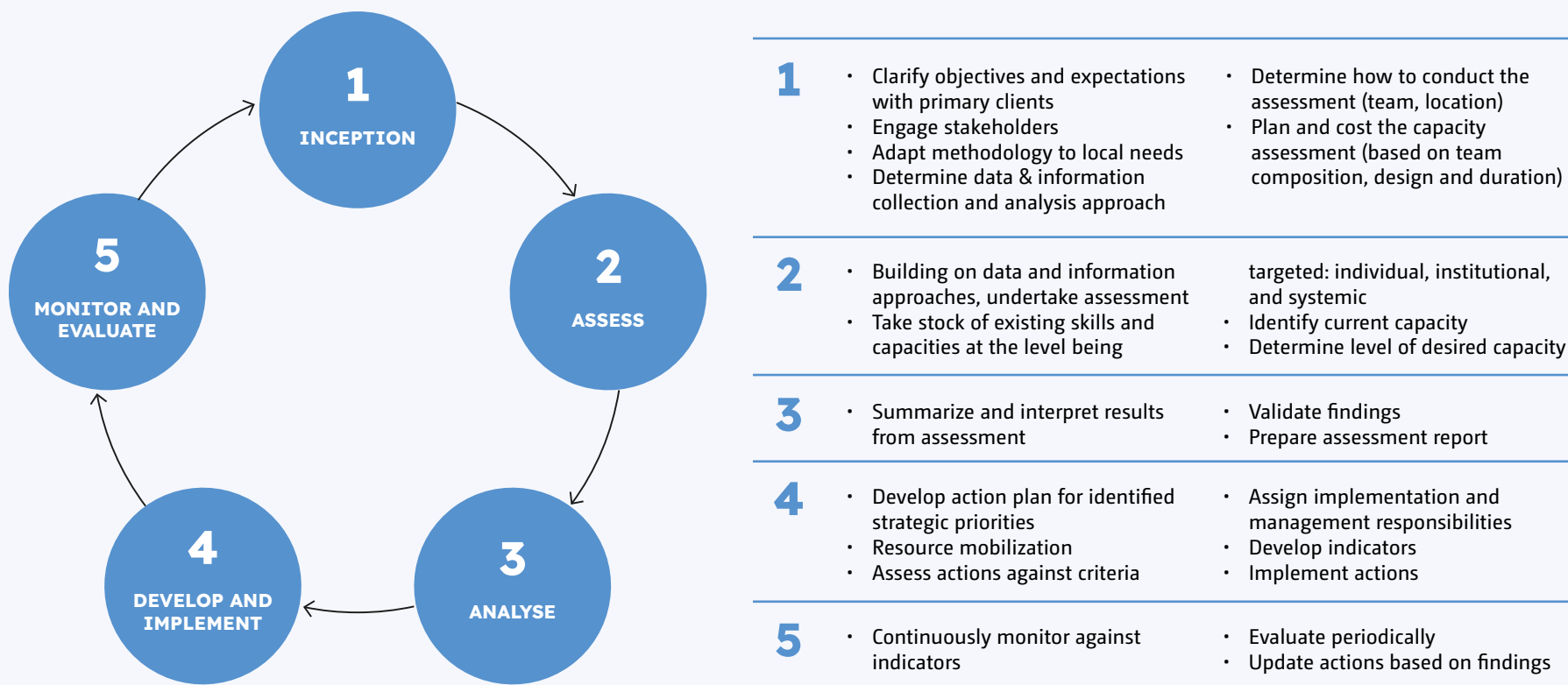


An accurate assessment of a country's capacity gaps and needs is vital to identifying the steps it should prioritise in order to deliver on its national climate change priorities.

**-Roberta Ianna, Co-Chair,
PCCB**



Figure 1. Overview of the capacity assessment cycle.



The ability to assess capacity, inform climate strategy development, and monitor progress over time is vital to achieving NDCs that are both ambitious and realistic. Capacity assessments are underway across the UNFCCC and other international processes. The findings of past assessments addressing regional or sectoral¹ priorities and programmes² and organisations addressing these needs are an excellent resource for officials seeking additional information.



The PCCB pilot exercise³ carried out in 2019, for instance, identified specific sectoral gaps and needs related to adaptation, mitigation and cross-cutting issues such as standardized data generation, collection and analysis; governance and coordination; development of endogenous capacity; access to climate finance⁴; and gender-responsiveness⁵. Examples of Tools and approaches that focus on these and other cross-cutting elements are included as well and supplemented with additional links (Additional Resources, Chapter 4).

| BOX 1 PHASES OF CAPACITY ASSESSMENT | | |
|-------------------------------------|---|--|
| | PRIMARY SOURCES | SECONDARY SOURCES |
| Phase | Guidance and information directly referenced in the toolkit | Supporting guidance which users might consult or consider in specific phases |
| ASSESSMENT | 1. Inception/ plan development | <ul style="list-style-type: none">• IUCN (2010)• MFF, SEI, SEAFDEC (2018)• Better Evaluation (2013)• Kakde, Madhuri Vijay et al. (2018) |
| | 2. Determine capacity assets, gaps and needs | <ul style="list-style-type: none">• IUCN (2021)• UN CC:Learn (2021a)• UN CC:Learn (2018)• UNDP (2008) |
| | 3. Analyse, Confirm and Interpret | <ul style="list-style-type: none">• IUCN (2010)• UN CC:Learn (2018)• UNDP (2008) |
| ACTION | 4. Develop appropriate strategies | <ul style="list-style-type: none">• Care (2009)• FrameWork• Care (2020) |
| | 5. Monitor and evaluate | <ul style="list-style-type: none">• Care (2009)• Better Evaluation (2013b) |
| | | <ul style="list-style-type: none">• IUCN (2010)• UN CC:Learn (2018)• UNDP (2008) |



MALAWI: CAPACITY ASSESSMENT IN MALAWI'S STRATEGY ON CLIMATE CHANGE LEARNING

Malawi – The cyclical role of capacity assessment in the development and revision of Malawi's Strategy on Climate Change Learning

In 2013, the government of Malawi developed the country's first national climate learning strategy. The Malawi Strategy on Climate Change Learning (2013 Strategy) was facilitated by UN CC:Learn and undertaken with support from UNDP Malawi, and covered the period 2013-2019.

The 2013 Strategy was designed to address critical knowledge gaps in the development of informed policies and programmes to respond to climate change. These gaps were identified through a capacity assessment using

UN CC:Learn guidance, then reviewed and validated through a stakeholder workshop including participants from different government sectors, education and training institutions, civil society, and development partners.

The 2013 Strategy defined the following objectives¹:

- Develop a critical mass of human resources with the requisite understanding, knowledge, and skills to respond to the impacts of climate change (Individual level);

- Strengthen the national systems and institutions that will lead climate change training initiatives (Institutional level); and
- Develop a sustainable financing mechanism for climate change learning programmes (Systemic level).

In 2020, the Government of Malawi reviewed its approach to climate learning. It undertook a new capacity assessment and revised the 2013 Strategy according to its findings and made further adjustments to reflect

¹ To see implementation actions related to the 2013 Strategy: [table_strategy_implementation_malawi_2013-2019.pdf \(unccllearn.org\)](#)





emerging issues related to the Paris Agreement. As with the 2013 Strategy process, stakeholder consultations played a prominent role in the development and validation of the updated Strategy.

The process used to review, update, and develop its 2021 Strategy involved the following steps:

- Consultation with project team at EAD to scope the assignment and agree on timelines and deliverables;
- Conducting literature review of relevant publications and policies to identify gaps and emerging issues. The list of reviewed documents is included in the reference section of the Strategy;
- Reviewing the 2013 Strategy and associated project documents as part of gap analysis;

- Conducting stakeholder consultations to solicit views in line with the bottom-up approach;
- Convening a planning workshop for stakeholders to select clusters and prioritize actions for each cluster;
- Compilation of draft updated Strategy based on planning workshop proceedings and background report;
- Presentation of the draft Strategy to EAD for review;
- Development of detailed concept notes for pilot projects (youth and higher education institution networks) through online and face-to-face consultations;
- Presentation of the draft Strategy to stakeholders for validation. Stakeholders included regional stakeholders from Zambia, Zimbabwe and South Africa. Additionally, the draft strategy

was reviewed at various stages including at a national stakeholder's validation workshop; and

- Production and submission of final Strategy after incorporating comments from the validation workshop.

Like the 2013 Strategy, the updated Strategy is built on three pillars: human capacity, institutional capacity and finance/resource mobilization (systemic capacity). The second Strategy was published in February 2021 and will be implemented in two phases: short-term (2021 to 2025), and medium-term (2026 to 2030). Activities will be monitored, and mid- and end-of-term evaluations will be undertaken. A summary of the Strategy development process is presented in **Figure 2** in the next page.



Figure 2. Overview of the strategy development process undertaken by the Government of Malawi.



3 ASSESSMENT OF CAPACITY GAPS AND NEEDS

The framework for capacity-building in developing countries established under the Convention is designed to help countries build, develop, strengthen, enhance, and improve their capabilities to achieve the objective of the Convention. The increased ambition and collective nature of action required to implement the Paris Agreement calls for a transparent and reliable assessment of the gaps and needs of developing countries to align their actions with low-carbon and climate-resilient pathways.

The toolkit outlines a series of general stages that can be undertaken as part of a capacity assessment process and adjusted according to suit country context. For the purposes of this exercise the process of designing a capacity assessment has been divided into two sections: **Assessment** (the process involved with setting up, executing the assessment, and evaluating the results) and **Action** (incorporating the findings of the validated assessments into relevant programs and strategies, and ensuring appropriate steps are taken to monitor and evaluate how the findings are used as well as reporting on progress over time).

The capacity assessment process is a vital undertaking for countries in order to be able to identify, and develop strategies to address, needs and gaps to implement the Paris Agreement.

- Mahawan Karuniasa,
Chair of Working Group 4,
PCCB

Section I, **Assessment**, includes three stages:

1. **Inception and Plan Development;**
2. **Determine Capacity Assets, Gaps and needs; and**
3. **Analyse, Confirm and Interpret results.**

It should be noted that the Assessment component of the toolkit is treated much more comprehensively in the pages that follow as **the work that is done at the beginning of the process is vital to ensuring the process delivers the intended result**. The exact number of steps is less important than ensuring that the scope of the assessment is well defined, the proper stakeholders are identified and engaged, and that these general principles are addressed in a comprehensive manner.

Section II, **Action**, provides options for how the information will be used as well as the development of a Monitoring, Evaluation and Learning plan to help ensure that this information is reported out and made available to a broader cross-section of stakeholders. It includes two stages:

4. **Develop appropriate strategies; and**
5. **Monitor and Evaluate**

The toolkit references a variety of case study examples to illustrate the progress of countries with differing priorities and national circumstances through the assessment process, highlighting the preparation and resulting outputs and how they're used to feed into other national level processes. They are intended to complement the learning process and to be consulted while working through the toolkit. References available at the time of publication will be supplemented over time through the development of the Capacity Building Portal of the UNFCCC as additional resources are developed and collected.



Table 1 presents an overview of the steps in the capacity assessment process based on the approach used by the Food and Agriculture Organization of the United Nations (FAO).

| Table 1: Data collection overview | | |
|------------------------------------|---|--|
| Steps | Tool/ approach for data collection | Information to be collected |
| Inception workshop | <ul style="list-style-type: none">• Presentation of the proposed study• Open discussion• Group discussion | <ul style="list-style-type: none">• Key initiatives in the area• Key contacts in the different organizations that can provide more information for the study• Key documents that can be reviewed for the study |
| Subject matter and policy mapping | <ul style="list-style-type: none">• Literature review• Key informant interviews | <ul style="list-style-type: none">• Nature of the problem in the country• Data on relevant indicators and trends including variation across provinces• Government policies and schemes addressing the subject matter by agencies belonging to different sectors; and policies and programmes promoting the subject matter |
| Stakeholder mapping | | <ul style="list-style-type: none">• Identification of organizations involved in promoting the subject matter• Understanding the key roles they perform, the regions they operate and their means of engagement |
| Organizational capacity assessment | <ul style="list-style-type: none">• Literature review• Key informant interviews• Focus group discussions | <ul style="list-style-type: none">• Organizational mandate related to the subject matter• Capacity-development initiatives in the sector• Investments on promoting the subject matter• Human resources deployed by relevant agencies, allied sectors and others outside in promoting the subject matter• Partnerships in promoting the subject matter• Challenges in promoting the subject matter |
| Individual capacity assessment | | <ul style="list-style-type: none">• Technical capacity gaps and functional capacity gaps in promoting the subject matter among field-, middle- and senior-level staff |
| Synthesis of results | | |
| Validation workshop | <ul style="list-style-type: none">• Presentation of initial findings to select stakeholders | <ul style="list-style-type: none">• Validation of the findings• Suggestions for improving the methodology adopted |
| Final report | | |

The Government of Indonesia established a robust assessment process to determine its needs and gaps related to climate change.

See page 18 for further information.



CASE STUDY

INDONESIA: CAPACITY-BUILDING ASSESSMENT FRAMEWORK

Indonesia's capacity gaps and needs assessment process has five steps:

- A. Mobilization and capacity assessment design: covers the mobilization of resources, such as funding, expertise, and the work plan that covers objectives, framework, methodology, and the scope of work.
- B. Capacity gap assessment: identifies the gaps from the existing and expected capacity analysis, and also the conditions and priorities of national development and related capacity issues.
- C. Needs and feasibility of capacity building assessment: this assessment will result capacity building needs including technology based on the results of gaps assessment and feasibility study. It is important to consider feasibility to ensure recommendations can be realistically implemented.
- D. Capacity building policy and strategy formulation: this stage ensures coherence by ensuring relevant findings feed into the development of policies and strategies on mitigation and adaptation at national level.
- E. Setting capacity building and technology action plan: national capacity building and technology action plans are developed to deliver on national capacity-building priorities.



Assessments of capacity gaps and needs are undertaken at different levels (subnational, national, sectoral, regional) and for specific purposes (national assessments, mitigation, adaptation, gender, health, etc.) in line with the level at which it occurs. Assessments should be country-driven, inclusive processes in which stakeholder engagement plays a prominent role. An important first step in developing an assessment is understanding why one is needed, for whom the capacity is required as well as what capacities are needed. Answering each of these three questions helps to define the purpose, object and boundaries of the assessment, which can in turn help establish the scale and scope of the assessment.

Assessments normally involve a step-by-step approach that allows the assessment team to identify the gaps and needs and then develop strategies and take action to address them. The first step in such an assessment is to gain an understanding of existing capacities, then to determine what the capacity needs are based on existing or proposed policy and programmes. Once existing capacity and future needs are determined the capacity gaps can be identified and strategies and actions to address them can be developed.

**BOX 2 WHAT IS THE ROLE OF CAPACITY ASSESSMENT?****Why Capacity Assessment?**

Though Capacity Needs Assessment is a relatively new concept in the context of climate change, similar processes have been used in other fields, such as agricultural development. In this case Capacity Needs Assessment is not only seen as a question of recognising gaps, but also one of identifying existing capacity and latent capacity (current capacity that is neither used nor recognised) and ensuring that both are enhanced and clearly linked with outcomes to achieve a desired result (the Agricultural Extension in South Asia).

UNDP⁶ makes the case for capacity assessment as a structured and analytical process, where the various dimensions of capacity are assessed within the broader country context as well as evaluated for specific organisations and individuals. The approach to assessing capacity can start with choosing one of two basic questions – ‘What capacity is already in place?’ or, ‘How should it be and what is missing?’, and the choice determines how the assessment is conducted.

What is a Capacity Gap?

‘What capacity is already in place?’ starts an incremental approach of identifying existing capacity and using that as the foundation for moving forward. ‘How should it be and what is missing?’ starts a gap analysis approach, which works from how things ‘should be’, then looks at how they are now, and defines the difference between the two as what is missing – ‘the gap’⁷.

What is a Needs Assessment?

A need is a necessity, a want is a desire. A need is considered as a gap between “what is” and “what should be”, and is an essential element required for change (IUCN Capacity Needs Assessment). A want is an element recognised and desired by a participant in a change process, but it may not be necessary for change. The questions then are Whose needs? and Who defines these needs?



**BOX 3** **SETTING THE STAGE**

A simple methodological tool to assist assessment planning is the so-called “5Ws & 1H” approach. In practice, it means asking, answering, and documenting a series of strategic questions to clarify the *who, what, why, when, where* and *how* of the assessment. Questions could include the following:

- **Why:** Why undertake the assessment? Why do it now?
- **Who:** Who does (owns) it? Who is responsible for it? Who else can do it? Who should be involved? Who should capacity-building address?
- **What:** What are the key problems? What is the vision/purpose of the assessment? What needs to be achieved? What has already been done? What else should be done? What should be the focus? What are the expected outcomes?
- **When:** When is it done? What other times can it be done? What other times should it be done?
- **Where:** Where to do it? Where should it be done? Where can it be done?
- **How:** How should it be done? Is there a better way? How will it be resourced?

The purpose of this exercise is to identify who is responsible for the assessment, how it will be resourced (both financial and human resources), how the results will be used and integrated into existing processes, and what risks are involved. The outputs from this exercise can include a Vision and Mission statement, definition of core values and objectives.

Designing the assessment, however, first requires identification of the areas the assessment will address. The UNDP Capacity Assessment Framework⁸ identifies three dimensions which can be used to develop assessments that target specific areas or to create a national learning strategy. These dimensions are: points of entry, core issues and functional and technical capacities.

Points of entry are related to the dimensions where capacity resides. These are the *individual* who makes use of the capacity, the *institution* that retains the capacity and helps to ensure that it is retained, and the enabling environments (or systemic level) which provide the framework for action. Assessments for specific points of entry can use different techniques, as demonstrated in [Table 2](#) which (based on CC: Learn and the UNFCCC’s Least Developed Country Expert Group (LEG) in its introduction to the National Adaptation Plan (NAP) process) highlights key actors in the capacity assessment process and identifies these as key areas for capacity:

| Table 2: Key actors in capacity assessment | |
|--|---|
| Individual level | <ul style="list-style-type: none"> • Human capacity |
| At the individual level, capacity development refers to the process of changing understanding and behaviours, most frequently by imparting knowledge and developing skills through education and training. It also involves learning by doing, participation and processes associated with increasing performance through improvements in management, motivation, and levels of accountability and responsibility. | |
| Institutional level | <ul style="list-style-type: none"> • Ministries/agencies • Organizations • Research Centers |
| Capacity development at the institutional level focuses on organizational performance and functioning capabilities, as well as the ability of an institution to adapt to change. It aims at developing the institution as a whole, including its constituent individuals and groups, as well as its relationship with other sectors and institutions. | |
| System level | <ul style="list-style-type: none"> • Regulatory, legislative, and policy frameworks • Public awareness • Accountability frameworks |
| At the system level, capacity development is concerned with the creation of “enabling environments”, i.e. the overall policy, economic, regulatory and accountability frameworks within which institutions and individuals operate. | |
| Adapted from LEG and UN CC: Learn | |

Functional capacities are necessary for creating and managing policies, legislation, strategies and programmes, while technical capacities may also need to be assessed. UNDP notes that the following functional capacities are key: 1) engage stakeholders; 2) assess a situation and define a vision and mandate; 3) formulate policies and strategies; 4) budget, manage and implement; and 5) evaluate.

● STAGES OF CAPACITY ASSESSMENT

As UNDP notes in its capacity assessment framework, “capacity development is not a one-off intervention, but an iterative process of design-application-learning-adjustment.” The process described below builds on iterative frameworks developed and applied in case studies reviewed for this toolkit. It illustrates the major stages to be undertaken in an assessment and is not exhaustive. As part of the inception/planning stage, it is important to tailor an approach to fit the needs of each actor undertaking the assessment.



The cases of Fiji and Colombia on the following pages provide examples of how gender inclusion and transparency can be assessed and properly incorporated into a national capacity assessment to implement the provisions of the Paris Agreement.



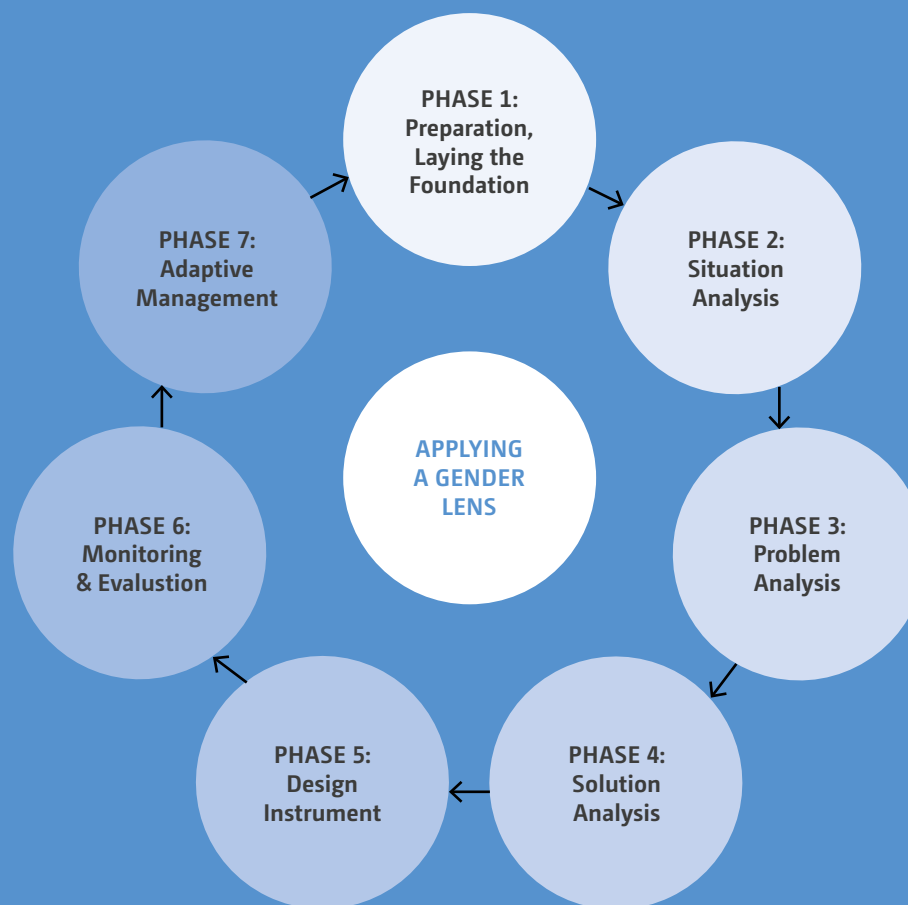
GENDER, TRANSPARENCY, AND OTHER CROSS-CUTTING ISSUES

The mainstreaming of gender, transparency, and other cross-cutting issues is an important consideration and needs to be factored into the capacity assessment process from the outset. The Women and Gender Constituency of the UNFCCC is one of many effective agents of change within the international climate process and has developed tools to assist in reflecting these priorities in national planning documents.

The Pacific Gender and climate change toolkit

The Pacific Gender and climate change toolkit¹¹ provides a gender lens through which climate change programmes, projects and strategies can be viewed and assessed. It presents four topical modules that focus on the links between gender and specific sectors, e.g., food security, water, and energy, as well as relevant case studies. It also includes a module on disaster risk reduction recognising that these interventions should be factored into all climate change adaptation programmes and projects. The guidance on sectors can be used as stand-alone documents to guide analysis for a specific sector. It also presents a ‘how-to’ section that covers the different phases of a typical climate change programme/project cycle, identifying potential entry-points for integrating gender in each phase and includes a generic gender checklist that may be applied to programmes and projects.

Integrating gender throughout the policy, programme or project cycle



Questions for each step:

- How have men and women fed into the decision-making and priority-setting process?
- Do men and women have equal access and control of resources necessary to participate and fully benefit?
- Are their different needs and priorities being met?
- Do men and women have specific knowledge and skills and are these contributing to better outcomes?

¹¹ <https://www.unwomen.org/en/digital-library/publications/2015/9/pacific-gender-and-climate-change-toolkit>



CASE STUDY

FIJI: GENDER INCLUSION

Solar engineering in Kadavu, Fiji

Kadavu is a relatively isolated island group of Fiji. Communities in these islands are not connected to the national power grid and are highly dependent on costly and polluting fuels such as diesel and kerosene for their energy needs. Low cash income in these communities severely limits access to these fuels and places a burden on families to meet energy costs. Most villagers do not have any lighting which limits opportunities for work, study, meetings, and other activities after sunset.

Through a sustainable energy programme working in six Pacific Island countries, community members from villages in Kadavu have been trained as solar engineers. They have set up solar workshops - run from solar electricity - where they assemble and install solar panels for households in their community. The engineers also provide maintenance and repairs, and train others to do the same work.

Women have been involved in the programme from the beginning and are encouraged to work together with men to manage community electricity. Both men and women are involved in selecting the community members who train as solar engineers.

A solar committee is set up, comprised of five community members, three of which are women. Every household pays a small amount of money into a fund which is managed by the committee. These funds are used to pay the engineers, and for maintenance of the equipment. This ensures that decisions about how the money is used, and where and how the panels and lights are installed, are made jointly by men and women. The solar engineers include grandmothers, and illiterate or semi-literate women, which challenges expectations about what women can do and shows what older and less educated women can achieve.





COLOMBIA: ASSESSING REPORTING CAPACITY TO CONTRIBUTE TO NDC IMPLEMENTATION

Colombia undertook a project focusing on the ability of non-state and subnational actors to report accurate, comparable, and verifiable data as will be required for its Biennial Transparency Report under the Enhanced Transparency Framework of the Paris Agreement. Implemented with the support of the Initiative for Climate Action Transparency (ICAT), the project was executed by WWF Colombia for the Ministry of Environment and Sustainable Development, with the support of the World Resources Institute and involvement of the Ministry of Commerce, Industry and Tourism. The project assessed the mitigation potential of 48 actions by private companies and transport projects implemented in cities, which is equivalent to a reduction of 3,550 ktCO₂ in 2030.

The project also assessed the potential larger scale scenarios, for example, if Bogota's plan to replace 10% of its diesel buses with electric buses is replicated in 14 other cities.

The assessment underlined the need to define and strengthen communication strategies with identified actors for future quantification of mitigation contributions. In the private sector, 60% of actions could be confirmed with primary information provided by the companies, which adds a degree of uncertainty to the actions that could not be confirmed. Similarly, in cities, 52% of the actions were confirmed with the local entities in charge of implementing the actions.

The assessment identified several cities and private companies with emission reduction goals and quantified their mitigation potential towards realizing the enhanced ambition in Colombia's revised NDC. It also identified the need for building capacity for actions to be reported in a consistent and transparent manner. Finally, a process to identify needed support in this area and a capacity building plan will be developed and executed as part of the NDC implementation.

It will be designed to help integrate subnational and private sector efforts in addressing climate change. The project was developed using the roadmap presented in the table on the next page.



**ROADMAP STEPS** Brief description**Determine the objective of the project**

Quantify and make visible the mitigation measures carried out in Colombia by non-state actors (national and international companies with operations in Colombia) and sub-nationals (cities, regions and departments).

Define the steps of the project

Additional mitigation actions identified during the process of updating the NDC, were examined to develop the project boundaries based on sectors and segments that required support in its analysis.

List relevant non-state and subnational actors

The data collection process was based on existing lists and databases built by ministries, unions, and other NGOs. Preliminary lists were subjected to validation processes.

List relevant national actions

A list of relevant national mitigation policies and actions were identified and assessment for overlap and double counting.

Harmonize actions with common metrics

Actors store and analyze information in different formats, therefore there was a need to homogenize units of measure to compare the actions identified.

Evaluate overlap and double counting

Analysis involved separating the contributions of actions that overlap and those that do not overlap with national mitigation policies, as well as double counting.

Consolidated document with implementation methodology and results

Obstacles for companies and cities in reporting their emission reductions from actions were identified related to insufficient information to complete emissions reduction estimates. A mechanism to address these obstacles was identified.



● ASSESSMENT

1) Inception/plan development

Understanding *why*, *what* and *for whom* capacity is built is an important step in defining the assessment. Answering these initial questions can also help determine how the results will be used.

The development of an assessment plan can involve additional steps not detailed in this toolkit, for example a scoping report or stakeholder analysis and mapping. The toolkit focuses on overarching steps based on the methodologies examined. Some steps in this stage, such as clarifying the objectives, defining the purpose and outlining the expectations, are defining activities that impact how the assessment will be designed, what it will assess, and ultimately its scope.

This stage can be divided into 4 specific steps:

- A Define capacity gaps and needs assessment.** Understanding why, what and for whom is an important step in defining the assessment, as well how the results will be utilized. Questions to consider when developing the assessment include what capacity exists, where are the major gaps, and how can gaps be addressed.
- B Stakeholder engagement.** Regardless of the methodology chosen for undertaking an assessment, stakeholder engagement is a critical factor and it is important to identify the range of stakeholders to engage in the assessment. Potentially relevant stakeholders can include beneficiaries, those initiating the assessment, civil society representatives, private sector partners, political, economic and social leaders, employees, development partners, academics, the media, and various public interest groups.

Different members of the Women and Gender Constituency have published tools and approaches to support the development of effective climate policies that integrate gender equality and women's human rights.

- Anne Barre, Coordinator
Gender and Climate Policy,
Women Engage for a
Common Future



A comprehensive and participatory stakeholder engagement process helps ensure local knowledge and capacities are considered and captured in the assessment. Stakeholders can also be assigned roles in the assessment to help drive the process, secure ownership of the process, or to serve as champions. Potential roles can include the provision of political and administrative oversight; assisting in designing the assessment; conduction of research and participation in the assessment; analyzing and disseminating the results and setting priorities for follow-up actions.

Table 3 below describes potential stakeholder roles in the needs assessment process.

| Table 3: Potential stakeholder roles | |
|---------------------------------------|---|
| | DESCRIPTION |
| Primary client | Takes initiative for the assessment and helps determine its scale and scope. The client is most often a government unit at central or local levels but may also be a civil society organization or a private sector company. |
| Assessment owner | Assigned by the primary client, either person or unit, to oversee the assessment process from the client's side. Responsibilities include managing the assessment, facilitating dialogue around findings, and serving as a liaison between the capacity assessment team and key stakeholders. |
| Capacity assessment team | Facilitates the assessment process from the initiation through to analysis and interpreting of the assessment results. It also plays a role in formulating a capacity development response. The team assists in scoping the assessment, develops supporting tools for the assessment and facilitates the data and information collection process. |
| Participants in the assessment | Participants in the assessment process are those engaging, for example in focus group discussions, interviews with the assessment team, or self-assessments. Participants often assess existing levels of capacity and determine the level of desired capacity. |
| Technical reference group | Provides expertise on the capacities and core issues under review during an assessment that provides "quality assurance" to the assessment. |



- C Identify data sources for assessment.** Determine the data and information collection and analysis approach. Methods could include literature research, stakeholder outreach, workshops, focus groups, surveys, interviews (with open-ended and/or closed questions), statistics, allowing for quantitative and qualitative data to be collected. Quantitative methods enable ranking, while qualitative methods can be used to support and interpret ranking results.
- D Plan and cost the capacity assessment** (based on team composition, design, and duration). A workplan that details outputs to be achieved, activities, due dates, and roles and responsibilities will help to keep the process on track. The work plan provides the basis for estimating the costs of the assessment. As the workplan is developed it may be necessary to adjust it to ensure a balance between the scope and scale of the assessment. It is important to ensure all relevant stakeholders participate in any re-scoping of the assessment (UNDP, 2008). An inception report that systematically captures the work undertaken thus far can also be prepared at this stage to serve as a reference for future benchmarking and identifying opportunities to replicate (or implement) best practice.

Assessing the need for finance to properly implement the provisions of a country's NDC is an important step. The case of Pakistan and its assessment of its public sector needs is considered on page 29.

2) Determine capacity assets, gaps and needs

Data and information are collected during this stage in line with methods identified in stage 1c, including interviews, focus groups, workshops and other stakeholder engagement opportunities. As noted in 1c, data and information can be gathered in multiple ways and at different levels (Figure 3). When assessing capacity at the individual level, it may be helpful to consider methodologies that target this specific level, such as the IUCN's Capacity Needs Assessment⁹. The methods by which the individual versus institutional or systemic assessment are undertaken can vary, and can be designed to:

- Take stock of existing skills and capacities at the level being targeted: individual, institutional, and systemic
- Identify current capacity
- Determine the desired level of future capacity required



The TNA process supports the development of Technology Action Plans to implement most appropriate climate technologies to satisfy national adaptation and mitigation priorities.

-Sara Trærup, Manager of the Global TNA Project, UNEP DTU



CASE STUDY

PAKISTAN: ASSESSING PUBLIC SECTOR NEEDS FOR CLIMATE CHANGE FINANCING



An important aspect of the capacity assessment process is understanding the costs associated with the “who, what and why” of capacity building. A Climate Public Expenditure and Institutional Review (CPEIR) can provide some insight into this process. CPEIR is a qualitative and quantitative analysis of a country’s public expenditures as they relate to climate change. It is designed to present evidence on public expenditures across all ministries within a government. The CPEIR also reviews climate plans and policies, institutional frameworks, and the public finance architecture with the purpose of making recommendations to strengthen them.

In 2012, the Government of Pakistan began the process of undertaking a Climate Public Expenditure and Institutional Review (CPEIR) with UNDP^{III}. The process was guided by a steering committee chaired by the Ministry of Finance, and included representation from Ministries of Planning and Development, Agriculture, Inter-Provincial Coordination, Climate Change, their provincial

counterparts, and a representative from UNDP Pakistan. The CPEIR reviewed and analyzed three areas:

1. Policy: The scope and comprehensiveness of climate policy at the national and sub-national level, within specific sectors (disaster risk management, agriculture, social sector interventions and water resources management), and the degree to which policies are prioritized, costed, or sequenced.
2. Institutions: The institutional nexus related to climate policy delivery, including the Ministry of Finance (MoF) and the Ministry of Planning, Development and Reforms (MPDR), and the modes of cross-government synchronization, accountability and decentralization.
3. Finances: The proportion of public expenditure relevant to climate change and its distribution across sectors, the

III <https://www.climatefinance-developmenteffectiveness.org/sites/default/files/publication/attach/Pakistan-CPEIR-2017.pdf>



national/sub-national split, and, in some cases, the proportion that is domestically/internationally funded.

The CPEIR was carried out from 2012-2014 and conducted in two phases. During the first phase, Pakistan's CPEIR covered federal level climate-related expenditures in three federally administered areas, as well as provincial expenditures in the province of Khyber Pakhtunkhwa (KP). In the second phase the scope was extended to the remaining three provinces.

The exercise brought together different stakeholders from across the government to understand and examine the level of climate-related public expenditure, as well as the institutional and policy context in which Pakistan responds to climate change. Key findings from the CPEIR included that climate related expenditures represented 6% of total federal budget in 2013-2014 and over half of the climate expenditure budget was related to mitigation. In KP province, climate expenditures represented 7% of total provincial budget and three quarter of KP's climate expenditures were related to adaptation and joint adaptation-mitigation.

The CPEIR highlights the crosscutting nature of climate change and its impact across sectors. This in turn requires a comprehensive response from different parts of the government. It also reveals ways in which climate related financing takes place directly or indirectly, through the broader process of public budgeting and expenditure at national and provincial levels.

UNDP, in documents related to Pakistan's CPEIR^{IV}, noted that the CPEIR was a first attempt to provide reliable data on climate expenditures providing an informed basis for decision making by policy makers. UNDP also notes that the CPEIR, while providing useful data, takes time to undertake and requires a team of consultants and data analysts. Since it is a time-intensive exercise, it cannot be repeated on a yearly basis. The CPEIR also does not mainstream climate change into the public financial management planning or budgetary process but does feed into other processes including a Climate Change Financing Framework.

IV [Why Pakistan Needs a Climate Change Financing Framework? | UNDP in Pakistan](#)



Figure 3. Types of questions and responses and the purpose they serve, adapted from A Guide to using OCA Tools.

| Awareness | | Understanding | | Assessment | |
|---|---------------|--|--|--|---|
| SAMPLE QUESTIONS | RESPONSE TYPE | SAMPLE QUESTIONS | RESPONSE TYPE | SAMPLE STATEMENTS | RESPONSE TYPE |
| Do you have a clear mission statement? | Yes/No | The organization has a clear, meaningful written mission statement which reflects its purpose, values and people served. | Agreement scale <input type="checkbox"/> I disagree <input type="checkbox"/> I sometimes disagree <input type="checkbox"/> I don't know <input type="checkbox"/> I sometimes agree <input type="checkbox"/> I agree | Clear expression of organization's reason for existence which describes an enduring reality that reflects its values and purpose; broadly held within organization and frequently referred to. | Rubric: 1. No written mission or limited expression of the organization's reason for existence (lacks clarity or specificity); either held by very few in organization or rarely referenced 2. Some expression of organization's reason for existence that reflects its values and purpose, but may lack clarity; held by some within organization and occasionally referenced 3. Clear expression of organization's reason for existence which reflects its values and purpose; held by many within organization and often referenced 4. Clear expression of organization's reason for existence which describes an enduring reality that reflects its values and purpose; broadly held within organization and frequently referred to |
| Organization has a clear, concise mission statement that communicates its reason for existence. | | Our organization has a clearly defined, written mission statement that guides the overall aims and activities of the organization. | Numeric rating Rate: 1 2 3 4 5 (1 = low, 5 = high) | | |

Data and information that is robust and comparable helps ensure the results of the assessment will be in line with the objectives set out in the inception stage. Many organisations have developed scorecards or tracking tools to assist assessment processes. [Figure 4](#), for instance, presents a spreadsheet developed under the [UNDP Capacity Assessment Framework](#)¹⁰ as part of its Supporting Tool (the [GEF](#)¹¹, [UDP](#)¹²; other agencies have developed their own tools as well). The tool captures questions identified during the inception stage and as well as qualitative and quantitative data from the assessment stage.



Figure 4. UNDP Capacity Assessment worksheet.

| Core Issues | | Possible Quantitative Ranking Scheme | | |
|--|--|--------------------------------------|---|----------------------|
| Institutional Arrangements | | 1. | No evidence of relevant capacity | |
| Point of Entry | | 2. | Anecdotal evidence of capacity | |
| Enabling Environment | | 3. | Partially developed capacity | |
| Summary Rating | | 4. | Widespread, but not comprehensive, evidence of capacity | |
| 4.00 | | 5. | Fully developed capacity | |
| Capacity Questions | | Assess Capacity | | |
| Functional Capacity | Questions | Desired Level | Existing Level | Evidence (Narrative) |
| | | (1-5) | (1-5) | |
| Engage Stakeholders | | 4.00 | 3.33 | |
| | Do authorities have the capacity to develop policies and legal and regulatory frameworks and mechanisms that ensure multi-stakeholder participation? | 4.00 | 4.00 | |
| | | 3.00 3.00 | | |
| Assess a Situation and Define a Vision and Mandate | | | | |
| | Do authorities have the capacity to frame, manage and interpret a comprehensive analysis of the policy and legal environment? Do authorities have the capacity to create a vision for fair and equitable policies and legal and regulatory frameworks and mechanisms? | | | |
| Formulate Policies and Strategies | | 4.00 | | |
| | Do authorities have the capacity to develop policy, legal and regulatory frameworks and mechanisms? | 4.00 | | |
| | | | | |
| Budget, Manage and Implement | | | | |



Figure 5 demonstrates an alternate, purely qualitative approach to undertaking a capacity assessment at the individual level based on IUCN's methodology. Here, analysis is based on key functions or actions being performed as well as needs-based on desired objectives, resulting in a report on current capacity as well as needed capacity to meet objectives.

Figure 5.

| Learner profile: Jane Doe, Forest extension officer | | | |
|---|---|---|--|
| Community forestry (CF) assessment | | | |
| Required action: Negotiation with community – preparing the management plan | | | |
| Current capacity: Limited | Knowledge: Reasonable understanding of CF management plan process | Skills: No facilitation/ negotiation skills | Attitudes: Good relationship with villagers, but tends to work with men and avoids women |
| Required capacity: High | Knowledge: Improved understanding of CF management plan process | Skills: Facilitation/ negotiation | Attitudes: Gender concerns |

Assessing capacity at the individual level requires identification of the key actions required of a position, to what level these must be performed, and those individuals who have the responsibility to perform them. Individuals can be identified for interviews and a checklist or survey created for the interview.



Box 4 provides additional background information on data collection methods at the individual, institutional and system levels.

BOX 4 DATA AND INFORMATION COLLECTION METHODS BASED ON LEVEL

Individual level

Through interviews, structured questionnaires, surveys, and data collection on education, training, and experience, assessments can elicit information on the skills of staff and leadership and their capacity to devise and implement policy. At this level, it is possible to assess the capacity of an organizations' personnel as well as gaps in organizational capacity for knowledge management, analytical research, and policy analysis.

Organizational level

Organizations identified through stakeholder mapping exercises may be surveyed to identify and understand their capacity needs. Interviews and questionnaires would focus on how organizations and their units are administered, coordinated, and led in order to accomplish specific tasks related to strategic analysis, implementation, M&E, and knowledge sharing. Finally, interviews would then seek to identify capacity needs for improving the system as well as any issues, constraints, and challenges that organizations and their units face in their efforts to function more effectively.

System level

At the system level, the assessment incorporates interviews with key stakeholders, policy makers, and other actors in the policy sector (identified through the stakeholder process) to determine the role of various decision makers and their levels of influence in the policy process. Interviews and questionnaires also shed light on the political leadership within the sector, the associated legal framework, and the capacity of key actors to coordinate policy efforts.

Adapted from FAO

3) Analyse, Confirm and Interpret

Once data is collected and analyzed, the level of desired capacity is then compared to the level of existing capacity. This will help determine whether the existing level is sufficient or requires improvement. Identifying patterns in the data is also important and can provide information on whether the gaps are consistent across an area or relates to specific issues. The analysis, once complete, will have identified capacity building needs and priorities across the full suite of sectors and issues represented in the assessment. Data and information, if not taken from a variety of perspectives, might provide conflicting insights.

When this occurs, it may be helpful to further explore the area(s) in question, conducting additional discussions with key stakeholders or undertaking further assessments.

Once the preliminary findings are drafted, they can be shared with relevant stakeholders through a validation workshop. The purpose of a validation workshop is to ensure that stakeholders are presented with preliminary results and given the opportunity to openly discuss them. Inclusion of stakeholders during this stage not only helps to build confidence and trust in the results but can provide a sense of ownership in the process.

Figure 6 provides a snapshot of quantified data from the assessment stage based on the template in **Figure 3**. The summary table can be used to promote discussion among a variety of stakeholders and adjust the findings to take into account varying perspectives, to build consensus on priority capacity needs, and to help shape a way forward to formulating capacity development responses. These findings serve as the basis for a stakeholder validation workshop and contribute meaningfully to the assessment report.



The Technology Needs Assessment process is well established under the UNFCCC and touches on elements of capacity needed, and required, to absorb and use technologies and approaches to mitigate greenhouse gas emissions and help countries adapt to climate impacts.

The case of Trinidad and Tobago is considered on page 39.



CASE STUDY

TRINIDAD AND TOBAGO: ALIGNING DEVELOPMENT PRIORITIES



Trinidad and Tobago – Integrating Technology Needs Assessment into the national development process.

The global Technology Needs Assessment (TNA) project, funded by the Global Environment Facility and implemented through the UNEP DTU Partnership, assists developing country Parties to the UNFCCC to determine their technology priorities for adaptation and mitigation. Technology Needs Assessments involve a national participatory process to deliver in-depth analysis of technology options and capacities, information on the implementation potential, ability and scale of technologies, and enhance understanding of how technologies can be applied or used within specific policies, programmes or projects.

Trinidad and Tobago is distinguished from other Caribbean nations by its relatively large industrial base and large oil and gas sector. As a result, it

focuses primarily on mitigation while adaptation is treated in a more holistic way to increase resilience in all sectors.

There is already a strong policy and action-oriented foundation and political commitment for climate change action, manifested in the National Climate Change Policy, the Carbon Reduction Strategy (CRS) and the Vulnerability Capacity Analysis (VCA), and the country's Nationally Determined Contributions (NDCs) to the Paris Agreement. The TNA is expected to contribute to deepening the analysis of the target sectors and technologies identified in Trinidad & Tobago's Carbon Reduction Strategy and to take these further towards implementation, for example, by drawing up project concept notes and proposals.

It will build on extensive recent work focusing on a low carbon strategy, addressing vulnerabilities, and working towards increased climate resilience. Anchoring the TNA on the NDC, which

is in turn based on the CRS and the VCA, reinforces the importance of building on existing climate-change and national-development efforts

Key sectors for adaptation

- Coastal zones
- Agriculture
- Human health

Key sectors for mitigation

- Electric Power
- Industry
- Transport

A sample of specific guidance documents available on the UDP website includes:

- TNA step-by-step: <https://tech-action.unepdtu.org/publications/exercitation-dolore/>
- Guidance for a gender-responsive TNA: <https://tech-action.unepdtu.org/publications/guidance-for-a-gender-responsive-technology-needs-assessment/>
- Prioritization tools: <https://tech-action.unepdtu.org/tools/>



Figure 6. Completed sample capacity assessment scoresheet.

| Point of Entry Enabling Environment | CAPACITY ASSESSMENT | | | | | | | | | |
|--|------------------------|-------------------|---|-------------------|------------------------------------|-------------------|-------------------------------|-------------------|------------------|-------------------|
| CORE ISSUES | FUNCTIONAL CAPACITIES | | | | | | | | | |
| | Engage Stakeholders | | Assess a Situation & Define a Vision and Mandate | | Formulate Policies & Strategies | | Budget, Manage & Implement | | Evaluate | |
| | Desired Level | Existing Level | Desired Level | Existing Level | Desired Level | Existing Level | Desired Level | Existing Level | Desired Level | Existing Level |
| 1.0 Institutional Arrangements 2.0 Leadership 3.0 Knowledge 4.0 Accountability | 4.00 | 3.33 | 4.50 | 3.50 | 4.0 | 3.50 | 4.50 | 2.50 | 3.50 | 3.00 |
| Overall | 4.00 | 3.33 | 4.50 | 3.50 | 4.0 | 3.50 | 4.50 | 2.50 | 3.50 | 3.00 |
| Difference | 0.67 | | 1.00 | | 0.50 | | 2.00 | | 0.50 | |

| Point of Entry Organisational | CAPACITY ASSESSMENT | | | | | | | | | |
|--|------------------------|-------------------|---|-------------------|------------------------------------|-------------------|-------------------------------|-------------------|------------------|-------------------|
| CORE ISSUES | FUNCTIONAL CAPACITIES | | | | | | | | | |
| | Engage Stakeholders | | Assess a Situation & Define a Vision and Mandate | | Formulate Policies & Strategies | | Budget, Manage & Implement | | Evaluate | |
| | Desired Level | Existing Level | Desired Level | Existing Level | Desired Level | Existing Level | Desired Level | Existing Level | Desired Level | Existing Level |
| 1.0 Institutional Arrangements 2.0 Leadership 3.0 Knowledge 4.0 Accountability | | | | | | | 4.00 | 3.50 | 5.00 | 3.50 |
| Overall | 4.00 | 2.00 | 3.00 | 1.00 | 5.00 | 4.00 | 4.00 | 3.50 | 5.00 | 3.50 |
| Difference | 2.00 | | 2.00 | | 1.00 | | 0.50 | | 1.50 | |

After the assessment findings have been validated, the assessment report can be drafted and finalized in cooperation with the assessment team, the assessment owner and key stakeholders.



● ACTION

4) Develop Appropriate Strategies

Once the assessment report is complete, it becomes the basis for developing actions designed to enhance existing capacities or to develop new capacity required to meet changing needs based on regulatory or policy measures. Actions designed to meet identified priorities can be combined into an action plan, which then becomes the basis for a strategy for implementing prioritized actions. Strategies for capacity development based on a gaps and needs assessment can then be compared with the objectives identified during the inception stage to ensure consistency.

Strategies and actions can be structured according to specific points of entry (individual, organizational and systemic)¹³, and can include various approaches to building skills and cognitive capacity at differing levels designed to enhance awareness and increase knowledge and skills development for practice. See [Table 4](#) (from IUCN¹⁴) for examples of possible actions.

National Capacity Self-Assessments enhance global environmental management by mainstreaming the provisions of the three Rio Conventions by:

- Enabling the development of a central framework to enhance decentralized capacity;
- Enabling decentralized institutional frameworks and personnel to enhance local environmental management;
- Enhancing Environmental Information Management Systems to support national policy and decision-making in response to needs identified by the Rio Conventions.

Please see page 43 for an example of an NCSA undertaken for Papua New Guinea.



Table 4. Potential Actions for Consideration

| | |
|---|---|
| TECHNICAL ASSISTANCE, EQUIPMENT, INFRASTRUCTURE, CONNECTIVITY | <ul style="list-style-type: none">• Short-term and long-term technical assistance (placement of advisers, consultants, resource persons)• Recruitment• Everything from buildings to desks to computers• Software, training materials• Internet connectivity/broadband purchase• Calibration and certification of equipment to international standards• Access to research material and reports• Graduate and training awards/scholarships |
| INDIVIDUAL TRAINING AND EDUCATION | <ul style="list-style-type: none">• Discipline-specific, technical-based training• Tertiary studies (degrees, certificates, non-certificate [including via scholarships])• Non-accredited training (in-house courses and external courses)• Self-learning through manuals/texts• Distance learning• Methods as above, but for such issues as management, administration, leadership and entrepreneurship |
| INDIVIDUAL, WORK-SPECIFIC, LEARNING PROCESSES | <ul style="list-style-type: none">• Structured on-the-job training (usually teaching people to do a set task)• Coaching (helping people to solve their own problems through asking effective questions)• Mentoring (helping people work through their own career issues; providing guidance and support in career progression)• On-the-job apprenticeships/internships• Training others/training of trainers• Leadership/modelling appropriate behaviours• Research assistantships, fieldwork internships Workshops and conferences• Training and planning workshops• Meetings for sharing or knowledge and networking• Conferences for presenting results, gaining knowledge and networking |
| GROUP, WORK-SPECIFIC, LEARNING PROCESSES | <ul style="list-style-type: none">• Team learning through facilitated problem solving• Job placements/job rotation• Process reviews• Organizational reviews• Development of “model” responses, e.g. checklists for regular tasks, standard responses to common enquiries, examples of common documents• Conducting pilots to test new ideas• Study tours• Exchange visits |



PAPUA NEW GUINEA: NATIONAL CAPACITY SELF-ASSESSMENT

Papua New Guinea's National Capacity Self-Assessment

Project objective: Assist PNG in assessing its effectiveness in meeting its commitments under the three Rio Conventions.

Challenge: While Papua New Guinea has well-established institutional structures for environmental management, very little coordination and cooperation was occurring through these formal bodies. A study endorsed by the Government of PNG recommended that a comprehensive assessment of national capacities to meet global environmental objectives would help identify those capacity constraints and opportunities also related to national environmental management

The main capacity development challenges and barriers in Papua New Guinea identified in the NCSA were:

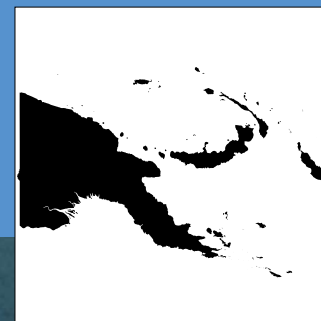
1. An inadequate partnership between the government and the NGOs on environmental management
2. Limited knowledge of the MEAs, as well as insufficient levels of education and awareness on environmental issues and challenges
3. An absence of integrated and appropriate environmental policies that guide the agencies implementing the MEAs
4. Insufficient financial and human resources to undertake key monitoring and compliance activities related to the MEAs
5. Limited political will and support. Emphasis is mainly on economic development priorities rather than on environmental priorities

Project Strategy

Building on government policies and strategies, limits of national capacities as well as the opportunities to improve capacities were identified. The strategy included identifying opportunities to strengthen policy, programme coordination and cooperation among key stakeholder agencies.

Outcomes

The NCSA produced a policy document and an associated action plan outlining priority environmental issues, constraints and opportunities for building the capacities necessary for effective and sustainable implementation of the Rio Conventions, including other MEAs.



In developing actions, the development of specific criteria will help to determine whether an action from the above table provides sufficient value and whether it is feasible to undertake the action. Specific criteria could include:

- **Relevance:** Why is the action important? To which priority does the action contribute? Are there preconditions that must be fulfilled if the intervention is to be effective?
- **Feasibility:** Is the action likely to deliver concrete results to address climate change objectives? Can the action be realistically implemented?
- **Structural:** What are the various organizational relationships between the various actors? Are these likely to support capacity development? Are they likely to impact on the effectiveness of the intervention?
- **Efficiency:** Does the action make optimum use of limited resources?
- **Monitoring:** Can the results of the action be measured?



If learning institutions (such as colleges or training centres) will be used to deliver capacity, it will be necessary to determine whether they have the capacity to deliver. UN CC:Learn suggests a number of questions to explore (Box 5).

BOX 5 QUESTIONS TO CONSIDER WHEN WORKING WITH SECTORS AND EXTERNAL INSTITUTIONS

To develop a strategic approach to strengthening climate change learning in selected priority sectors, several questions may be considered:

- Do key institutions have sufficient knowledge of the NDCs, NAPs and other climate policies?
- Have sector-specific climate change issues already been identified, and do relevant policies and targets exist (adaptation and mitigation)?
- What are key occupation groups in the sector and what are their climate-related learning and skills needs? What are the specific needs of the most vulnerable groups/women and men?
- What learning initiatives already exist to support the sector? Do they incorporate a climate change perspective? What topics are specifically relevant?
- Which groups and institutions do/could deliver climate change learning in the sector (e.g. employers/workers associations, learning institutions)?
- What action is needed to address sectoral learning needs? Is a formal sectoral learning strategy needed? What other options exist?
- What are potential synergies with other sectors in addressing cross-sectoral learning needs?
- Are there cross-sectoral processes or structures that allow for institutions with related climate objectives and priorities to plan and coordinate actions?

Finally, the action plan can be presented systematically in a strategy that ties together all proposed actions. The strategy communicates the objectives of the action plan, the reasoning for the proposed strategies as well as any linkages to other strategies and broader institutional processes. The strategy would then:

- Enable the reader to understand how the strategy will lead to the desired change or reform, and include short-, medium-, and long-term targets associated with actions,
- Provide the rationale for the methods or combination of methods chosen to meet to specific objectives,
- Explain why emphasis is placed on certain actions and supporting activities,
- Show how objectives will be achieved for target groups, including available resources and other relevant factors.

5) Monitor and Evaluate

Monitoring and evaluation plans can be helpful in monitoring progress of actions implemented. They enable the assessment owner to follow progress, evaluate impacts and make necessary adjustments to ensure the intended results are met. Identifying and measuring success can validate that the resources used (from government and donors) were used effectively, which can in turn help gather additional resources ([Box 6](#); UN CC:Learn). UNDP provides excellent guidance on the development of indicators on the basis of its capacity assessment framework.

**BOX 6 MONITORING AND EVALUATION**

Monitoring is a continuous process to obtain regular feedback on the progress being made towards achieving goals and objectives. That means it is good practice to discuss lessons learned from monitoring at least annually to inform the planning of new actions and decisions.

Compared to monitoring, evaluation is much more rigorous in terms of procedures, design and methodology, and generally involves more extensive analysis. It is typically conducted by an independent entity to provide an objective assessment of whether or not stated objectives have been achieved. Full evaluations are usually done in longer intervals (e.g. every three or four years) (UNDP, 2011 Handbook on Planning, Monitoring and Evaluating for Development Results).

A monitoring and evaluation framework is generally be discussed with key sectors and stakeholders at the planning stage. The framework would clarify a set of relevant questions, such as:

- Has a clear baseline (i.e. the existing conditions) been established?
- Have measurable indicators and targets been defined?
- Who will be responsible for carrying out the evaluation?
- When is the evaluation planned (timing)?
- How will the evaluation be carried out (methods)?
- What resources are required and where are they committed?



Sri Lanka undertook an exercise as part of the Low Emission Development Strategies Global Partnership to map its institutional arrangements for climate mitigation. Please see p.48.



SRI LANKA: MAPPING INSTITUTIONAL ARRANGEMENTS



Mapping of Institutional Arrangements in Sri Lanka for Climate Change Mitigation

The purpose of this project was to develop an understanding of current and potential roles played by the Sub-national governments and other stakeholders necessary for Sri Lanka to transform towards a resilient and low emission development pathway. The project was undertaken as part of the Low Emission Development Strategies Global Partnership.

The mapping report covers general climate change related sub-national level institutional arrangements with high emphasis on mitigation and low emission development. The objectives of the project were to:

- Identify and map key stakeholders at sub-national levels in Sri Lanka in the context of Climate Change mitigation and low carbon development
- Improve clarity on institutional jurisdictions, functions, and mandates; across levels of government and civil society to deliver emission reductions and improve the

climate resilience of infrastructure services

- Understand the potential role of subnational governance tiers in Sri Lanka to develop and achieve national level climate change targets.
- Understand the potential influence and role that can be played by sub-national stakeholders on Climate Change

The project utilized the Governance Analytical Framework, a methodology linking five analytical tools: problems, social norms, actors, nodal points, and processes. Governance structures, processes and nodal points were analyzed during the process including the subnational level power devolution. A separate analysis was carried out on the current and proposed institutional arrangements to achieve the objectives and targets pertaining to climate change in Sri Lanka. The two analyses were analyzed together using the GAF to complete the institutional mapping. The current policies, strategies and plans pertaining to climate change, especially climate change mitigation were used to understand the potential nodal points to enhance vertical integration.



PCCB Toolkit Resources

- [CARE CASE STUDY: Application of Climate Vulnerability and Capacity Assessment \(CVCA\) Methodology in Ecuador, Peru and Bolivia](#)
- [A Guide to Organizational Capacity Assessment Tools](#)
- [Mainstreaming Climate Change Adaptation: A Practitioner's Handbook](#)
- [Strengthening Voices for Better Choices](#)
- [MALAWI'S STRATEGY ON CLIMATE CHANGE LEARNING](#)
- [Malawi's National Climate Change Learning Strategy – Implementation Actions](#)
- [Gender-Analysis-Toolkit-for-Coastal-Management-Practitioners.pdf](#)
- [Viewing Capacity Development through Four Dimensions of Change](#)
- [Pacific Gender and Climate Change Toolkit](#)
- [Gender-sensitive Climate Vulnerability and Capacity Analysis \(GCVCA\)](#)
- [The Gender impact assessment and monitoring tool](#)
- [Assessment of National Capacities for Implementing Climate Change Adaptation and Mitigation Measures and Development of a National Capacity Development Program for the Palestinian Authority - Capacity Development Program Report](#)
- [Assessment of Rural Communities' Adaptive Capacity to Climate Change in Kaduna State, Nigeria](#)
- [Training Needs Assessment in Climate Change Gender and Health For Health workers in Malawi](#)
- [CLIMATE TOOLBOX](#)
- [Stronger Human Resources and Improved Skills to Tackle Climate Change \(Project database\)](#)
- [CGE toolbox on institutional arrangements](#)
- [Mapping of Institutional Arrangement I Sri Lanka for Climate Change Mitigation](#)
- [Organizational Capacity Assessment for Community-Based Organizations](#)
- [How to assess existing capacity and define capacity needs](#)
- [Capacity-building work of bodies established under the Convention and its Kyoto Protocol. Compilation and synthesis report by the secretariat. Addendum. Compilation of capacity-building activities undertaken by bodies established under the Convention and its Kyoto Protocol](#)
- [Capacity-building documents prepared by the secretariat in support of UNFCCC negotiations](#)
- [Analysis of capacity needs and gaps and possible strategies to address them](#)
- [Training and Knowledge Products for Capacity Development on Climate Finance](#)
- [UNDP Capacity Assessment Methodology](#)
- [UNDG Capacity Assessment Methodology](#)
- [USAID Global Climate Change Institutional Capacity Assessment](#)
- [FAO Global Capacity Needs Assessment Methodology](#)
- [WMO Step-by-step Guidelines for Establishing a National Framework for Climate Services](#)
- [CCDA Capacity Needs Assessment Towards GCF Requirements](#)

Endnotes

- 1 <https://europa.eu/capacity4dev/public-cd-tc/wiki/tool-5-capacity-assessment-sector-level>
- 2 https://unfccc.int/sites/default/files/resource/sbi2021_02a01.pdf
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- 4 <https://unfccc.int/SCF>
- 5 <https://reliefweb.int/sites/reliefweb.int/files/resources/Toolkit%20booklet%20pages.pdf>
- 6 http://content-ext.undp.org/aplaws_publications/1670209/UNDP Capacity Assessment Users Guide.pdf#:~:text=The%20UNDP%20Capacity%20Assessment%20Framework%20has%20three%20dimensions,the%20point%20of%20entry%20for%20a%20capacity%20assessment
- 7 <https://lencd.org/learning/how-to/how-to-assess-existing-capacity-and-define-capacity-needs>
- 8 <https://www.undp.org/content/dam/aplaws/publication/en/publications/capacity-development/undp-capacity-assessment-methodology/UNDP%20Capacity%20Assessment%20Users%20Guide.pdf>
- 9 https://www.iucn.org/sites/dev/files/import/downloads/capacity_needs_assessment.pdf
- 10 <https://www.undp.org/content/dam/aplaws/publication/en/publications/capacity-development/undp-capacity-assessment-methodology/UNDP Capacity Assessment Users Guide.pdf#:~:text=The%20UNDP%20Capacity%20Assessment%20Framework%20has%20three%20dimensions,the%20point%20of%20entry%20for%20a%20capacity%20assessment>
- 11 <https://www.thegef.org/documents/capacity-development-tracking-tools>
- 12 <https://tech-action.unepdtu.org/tools/>
- 13 <https://europa.eu/capacity4dev/public-cd-tc/wiki/tool-3-undp-model>
- 14 https://www.iucn.org/sites/dev/files/import/downloads/capacity_needs_assessment.pdf



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