Capacity Assessment Guideline – Draft

Diana Brandes – van Dorresteijn

Capacity Development

(Institutional Planning and Partnerships)

www.livestockfish.cgiar.org

June, 2014

CGIAR is a global partnership that unites organizations engaged in research for a food secure future. The CGIAR Research Program on Livestock and Fish aims to increase the productivity of small-scale livestock and fish systems in sustainable ways, making meat, milk and fish more available and affordable across the developing world. The Program brings together four CGIAR Centers: the International Livestock Research Institute (ILRI) with a mandate on livestock; WorldFish with a mandate on aquaculture; the International Center for Tropical Agriculture (CIAT), which works on forages; and the International Center for Research in the Dry Areas (ICARDA), which works on small ruminants. http://livestockfish.cgiar.org

Table of Contents

Abbreviations

CRP   CGIAR Research Program
IDO   Intermediate Development Outcome
IP   Impact Pathway
LAF   Livestock and Fish
ToC   Theory of Change

Executive Summary

Capacity development is a crucial and strategic enabler in the journey from research outputs to development outcomes. It occurs across multiple levels (individual, organizational and institutional) and covers a wider scope than the mere transfer of knowledge and skills through training. Capacity development is a process through which capabilities are obtained, strengthened, adapted and maintained over time. The complexity of capacity development challenges resists the use of blueprints because what works well in one situation, may not work in another.

Capacity Development in CGIAR's Livestock and Fish Research Program is based on the premise that CRP Intermediate Development Outcomes (IDOs) along with Theories of Change (ToCs) and Impact Pathways (IPs) are the framing context for capacity development work within country value chains.

CGIAR has adopted a systems thinking approach to capacity development. The main innovation that systemic thinking introduces is that *rather than prioritizing interventions that need immediate fixing*, emphasis is given to defining the "*problem creating system*", which is made up of interacting parts, which can be used to better understand reality, problems and the context in which they arise. Practically, systemic thinking can be used to identify problems, analyze their boundaries, design strategies and policy interventions, forecast and measure their expected impacts, implement them, and monitor and evaluate their successes and failures. A systems approach to capacity accounts for contextual factors, such as individual constraints, organizational shortcomings, institutional interfaces and regulatory and cultural barriers, which may make efforts to develop capacities ineffective.

Capacity assessment is an analysis of desired capacities against existing capacities which generates an understanding of capacity assets and needs that can serve as input for formulating a capacity development response that addresses those capacities that could be strengthened, and optimizes existing capacities that are already strong and well founded. It can also set the baseline for continuous monitoring and evaluation of progress against relevant indicators, and help create a solid foundation for long-term planning, implementation and sustainable results.

For the LAF CRP the capacity assessment will be framed around the required capacities for the uptake of the value chain development strategies generated by the program, focusing on constraints for scaling up. This includes for example also the capacity to identify key research opportunities and best bets for testing as translational research. The main objective is to identify what capacity exists among stakeholders and partners that can be leveraged to support the program activities (and eventual scaling up) and to identify priority entry points where functional and technical capacities need to be developed.

This guideline can be used when:

- A value chain problem is encountered, help to identify and analyze the key dimensions and the types of (technical and functional) capacities that need to be strengthened to which capacity development interventions could be a solution;
- Developing a capacity development response strategy for specific (parts of value chain) impact pathways

The guideline is intended for the main sponsors involved in promoting and implementing capacity development in the five CRPs flagship projects and specific value chains. This includes CRP flagship,- and cluster leaders, research scientists, (local) governments, local experts, development practitioners, potential private sector and service provider partners, learning network associates and others.

Capacity Assessment Framework

Capacity Assessment Objective, Purpose, Key Features, Limitations

The overall objective of a capacity assessment is to conduct an analysis of current capacities against desired future capacities. A capacity assessment generates an understanding of capacity assets and needs which in turn leads to the formulation of capacity development strategies as to make value chain actors, producers or other stakeholders capable to effectively and efficiently perform functions, solve problems, and set and achieve objectives. Capacity assessments can serve a number of different purposes, they can:

- Identify capacity gaps along the value chain;
- Foster a discussion around priorities for actions in the context of specific impact pathways;
- Identify opportunities for investments and leveraging capacity development activities with partners;
- Provide a starting point for the formulation of a capacity development responses;
- Establish baselines and indicators for capturing learning, measuring, monitoring and evaluating progress in capacity development;
- Support comparative analyses across value chains.

Prerequisites

It is important that (a member of) the capacity development team participates in processes when value chain **Situational Analysis** and **Partnership Landscaping** are being conducted and when **Impact Pathways** (IPs), that visualize potential roadmaps of how development/change could occur, are being developed. This is because information derived from these processes feed into the capacity assessment process. Similarly, the capacity assessment findings will feed information to the above three processes.

Caveat

The Capacity Assessment Framework does not include technical capacity assessment questions or indicators, as it provides guidance on functional capacities. These are the generic capacities required to formulate, implement and review policies, strategies, programmes and projects regardless of the subject area of the value chain. However, capacity assessment tools can be expanded to include technical capacities as required. Their selection is left to the specific needs to be expressed by the stakeholders concerned in step 1.

A Three-Step Approach

Three specific steps are set to systematically and rigorously, yet flexible and adaptable, facilitate a capacity assessment process:

Step 1	Engage Stakeholders and Design of a Capacity Assessment
Step 2	Conduct Capacity Assessment in-country
Step 3	Interpret and Analyze Information, and Write Preliminarily Capacity Assessment Report
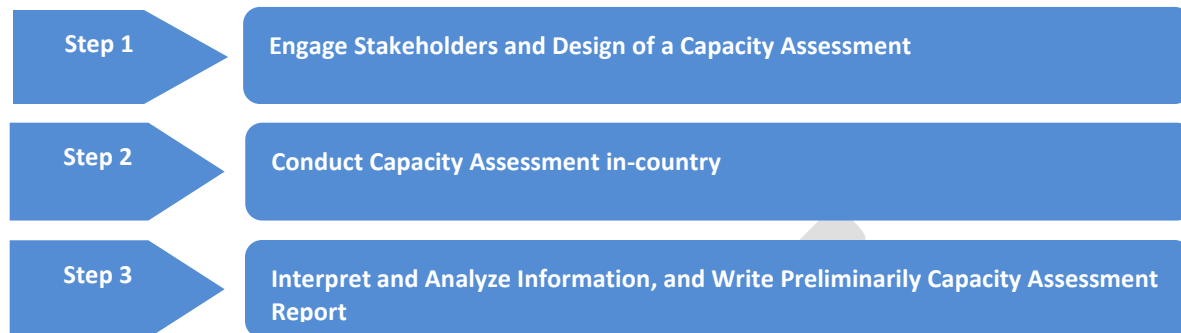
Step 1: Engage Stakeholders and Design a Capacity Assessment

Step 1

The concept of research *for* development implies that a change must take place. It is the underlying supposition of this need for change which informs capacity assessment processes. The capacity (needs) assessment process involves a number of aspects of dialogue and engagement, focusing on identifying which individuals, institutions, and stakeholder groups need to be involved in the given research and-or development process: what role they have and what stake they have in bringing about a change. This step is devoted to engaging stakeholders on the critical questions of **whose capacities** and **what capacities** (functional and technical) need to be developed.

Rational

This approach is focused on process and is meant to generate a sense of ownership of decisions and actions.

It is vital to have commitment and full support of the value chain coordinator and/or LAF's flagship/cluster leaders in order to gain access to relevant resources in the forms of dedicated time and availability from specific people and essential documentation (data and information).

The representation of the client/partner organization in the team is critical, as their presence not only reinforces ownership of the process, but also provides a direct link to officials and key staff members of the organization, and help to facilitate dialogues and data collection.

Before conducting a capacity assessment tools, the scope and assessment objectives need to be determined. Quantitative and qualitative methods (such as questionnaires, focus group discussions and key informant interviews) may be developed. The questions provided in the Annexes 1, 2 and 3 (not intended to represent an exhaustive set of questions) are examples that can be used to prepare such methods. Given the contextual demands of an assessment and the diversity of stakeholder groups, questions are to be contextualized.

Key Activities

- Define the objectives and scope of the capacity assessment (e.g. either at the institutional[1], organizational and-or at the individual levels);
- Extensive pre-assessment review of relevant documents, including legislation, policies, regulatory frameworks, institutional arrangements and coordination mechanisms[2];
- Organize scoping mission (create an annex with a checklist for this). Meet with the capacity assessment specialist (from the capacity development team and-or an external consultant). Decisions will be made how the capacity assessment will be conducted (where, when, with whom). A work plan detailing what needs to be done, by whom, when and what resources are required will be designed and will clarify objectives, identify relevant technical and functional capacities and core issues to be assessed. Commitment is sought for the support to the assessment process;
- Design (and manage the adaptation of) capacity assessment tools like the sample interview matrices, questionnaire, rating matrix and template for capacity assessment worksheets in the Annexes to the specific context at hand;
- Prepare detailed agenda including list of partners and/or persons to meet during the capacity assessment.

Who is involved

Involvement and Roles	Time Expectations
Country Value Chain Coordinator	2 days
Flagship and-or Cluster Leaders - or a Scientist with his/her delegated authority	1 day
In-country Focal Point	3 days
Capacity Development Specialist and/or External Consultant	8-10 days
Partners	3 days

Step 2: Conduct capacity assessment in-country

Step 2

During the assessment, inputs will be collected either quantitatively or qualitatively. Since both have pros and cons, a capacity assessment should ideally generate both a quantitative ranking of capacity and qualitative information.

---

[1] Institutions are described as the formal and informal rules that structure and constrain human behavior and interaction. They include the formal laws of the state, social customs and ideologies, as well as various forms of contractual arrangement between two or more parties, which may be upheld, either by formal laws or by other, less formal, mechanisms. Institutional arrangements, on the other hand, are specific arrangements between parties to a contract that govern the way the parties co-operate and/or compete. They are devised primarily for the purpose of reducing transaction costs.

[2] Situate the review within national policy and development plans; where possible draw on national or sector capacity assessments and existing capacity development strategies.

Rational

During this step quantitative and qualitative methods (such as questionnaires, focus group discussions and key informant interviews) will be applied to dive deeper into findings derived from the desk review and to gather new information. As part of the on-going stakeholder engagement it is important to conduct a validation meeting to corroborate preliminary findings and to provide an opportunity to share additional contributions or correct/adjust earlier provided information.

Key Activities

- Validate plan made in step one with regards to the partners and/or people to be visited etc.;
- Check availability/presence of assessment worksheets, interview guides and-or other supporting tools;
- Ensure the implementation of the assessment, including quantitative and qualitative data collection; carefully consider the planning of data collection (questionnaires and focus group discussions need to be completed before in-depth semi-structured interviews take place so their findings can be used, in addition to the desk review findings, to determine the relevant interview questions);
- Organize feedback meeting to share how the data collection went, initial thoughts on preliminary findings and the next steps of the process.

Who is involved

Involvement and Roles	Time Expectations
Country Value Chain Coordinator	2 days
Flagship and-or Cluster Leaders - or a Scientist with his/her delegated authority	1 day
In-country Focal Point	5 days
Capacity Development Specialist and/or External Consultant	5 days
Partners	2 days

Step 3: Interpret and Analyze Information and Write (Preliminarily) Capacity Assessment Report

Step 3

Once stakeholder meetings have been conducted, and interviews (and questionnaires) have been completed the capacity assessment team will summarize and interpret the results. The process of analyzing the information collected from various sources and methodologies can be complex. In practice, during this process, ad hoc consultations and discussions with key stakeholders may continue to occur. The capacity assessment team may also consider further exploration in areas when additional information is required and-or when conflicting insights need to be interpreted before finalizing the analysis.

Rational

The assessment team will summarize and interpret its results. This starts with comparing the level of desired capacity against the level of existing capacity. This helps determine whether the level of existing capacity is sufficient or needs improvement and in turn helps the team identify where to focus the initial capacity development response. When interpreting the assessment results, the team should try to discern patterns in capacity gaps. The assessment team may find that the data and information gathered from different sources provide conflicting insights, especially with self-assessments and qualitative data. Individual perceptions are influenced by many factors, and the same rankings may be interpreted differently by different people. It is therefore important to get a variety of perspectives and take into account different points of view when writing the (preliminarily) capacity assessment report (see Annex 6 for the report template). The report will reflect upon an integrated set of deliberate and sequenced actions, attempting to build momentum for the capacity development process by outlining a combination of high-priority short-term initiatives and immediate quick-impact actions, as well as long-term activities that lead to the desired capacity development outcomes.

Key Activities

- Analyze data and triangulate findings; get additional information or seek clarification in case of doubts or contradictory view points;
- Draft the (preliminarily) capacity assessment report covering core issues which are mutually reinforcing; addressing more than one level of capacity and; combining short- to medium-term initiatives (one year or longer) with quick-impact activities (less than one year);
- Validate the initial analysis with the assessment team/partners e.g. whether it will be feasible (technically and operationally) to implement it;
- Select and prioritize proposed capacity development interventions and;
- Seek endorsement for required (human and financial) resources to implement (initial) activities;
- Outline the base of local experts and consultants regional, national and local educational and training institutes and service providers that may be able to assist delivery of interventions

Who is involved

Involvement and Roles	Time Expectations
Country Value Chain Coordinator	1 day
Flagship and-or Cluster Leaders - or a Scientist with his/her delegated authority	1 day
In-country Focal Point	2 days
Capacity Development Specialist and/or External Consultant	5 days
Partners	2 days

Costing shorter-term and longer-term capacity development responses: Costing a capacity development response is critical since it encourages stakeholders to realistically estimate the funding required for implementation. If the assessment reveals insufficient funds for the proposed capacity development interventions alternative solutions are needed. These can include leveraging other projects and resources and-or re-prioritizing actions. Since priority setting and (investment) decision making processes are inherently political, such a process should be managed carefully and transparently with involvement of relevant stakeholders. The costs for shorter-term capacity development response can be determined through activity-based budgeting. This starts from actions often already budgeted and planned. Projecting costs for a longer-term capacity development response is more complicated. If they cannot be accurately projected (which often involves using econometric modeling techniques), the costing exercise should probably be limited to costing actual, planned activities to avoid questioning the credibility or legitimacy of the costs. Elements of imputed costs may be estimated (and this is of course preferred) a priori and built into program or (new) project design.

Annexes

Annex 1: Simplified Capacity Assessment Interview Matrix

- ➢ *Italic*: Programmatic
- ➢ **Bold**: Organizational/Internal

CORE ISUES	Functional Capacities					
	Situation Analysis & Strategic Planning	Advocacy	Vision and Policy Formulation	Budgeting and Implementation	Coordination	Reporting/M&E of results
LEADERSHIP	• *Does the organization's leadership have the capacity to understand and articulate value chain issues and identify needs?* • **Does the organization's leadership have the capacity to ensure that high priority issues are identified and addressed in the organizational strategies and work plans?**	• *Does the organization's leadership have the capacity to advocate for the value chain development priorities?* • **Does the organization's leadership have the capacity to develop partnerships with other (advocacy) groups towards common interests?**	• *Does the organization's leadership have the capacity to provide adequate vision and guidance to enhance value chain development?*	• **Does the organization's leadership have the capacity to negotiate for dedicated financial resources for value chain development within the organization?** • **Does the organization's leadership have the capacity to mobilize resources from external donors and partners to support value chain development initiatives?** • **Does the organization's leadership have the capacity to provide mechanisms to encourage and**	• *Does the organization's leadership have the capacity to introduce functional coordination mechanisms across units to ensure value chain development issues being integrated in other units' strategies and programmes?* • *Are there existing mechanisms that allow the organization to take part in external development planning to ensure a conducive value chain development context?*	• *Does the organization's leadership have the capacity to guide the development of reporting mechanisms that reflect results?* • *Does the organization's leadership have the capacity to introduce innovations and incentive mechanisms?* • **Does the organization's leadership have the capacity to ensure sufficient accountability within the organization?**

				• **support staff learning on value chain issues?** • **Does the organization's leadership have the capacity to ensure that the organization could serve as a model for value chain development?**		
INSTITUTIONAL DEVELOPMENT	• *Do technical staff members have the capacity to develop and recommend a value chain development strategy to other divisions/units?* • *Do technical staff members have the capacity to undertake a value chain analysis?* • *Do technical staff members have the capacity to ensure that the voices and needs of the most vulnerable are accounted for in the planning?* • *Do technical staff members have the capacity to understand the concerns and*	• *Do technical staff members have the capacity to sufficiently understand the institutional issues of their value chain?* • *Do technical staff members have the capacity to engage substantively with all sectors at all levels to address institutional issues in their respective programmes and work plans?* • *Do technical staff members have the capacity to advocate clearly the value additions of addressing institutional issues to its partners and clients?*	• *Do technical staff members have the capacity to prepare analytical reports and policy papers to inform (national) institutional policies, rules and regulations?* • *Do technical staff members have the capacity to engage legislators and policy makers on substantive issues?*	• *Does the organization have the capacity to ensure inclusiveness and recognizing vulnerabilities as an overall principle?* • **Does the organization have the financial capacity to recruit and retain qualified team members?** • **Does the organization have the capacity to provide sufficient financial resources to ensure that institutional issues can be addressed in its own programmes and projects?** • **Do all staff members have the capacity to understand and**	• *Do technical staff members have the capacity to train other organizations or sectors on institutional issues?* • **Is there a coordination mechanism that allows the organization's technical staff members to participate in substantive sectoral programming towards addressing institutional issues?** • **Do technical staff members have coordination skill to sensitively liaise and interact with stakeholders when addressing institutional issues?**	• *Do technical staff members have the capacity to write quality reports on institutional issues?* • *Do technical staff members have the capacity to develop indicators for tracking institutional development results?*

	dimensions of sectoral strategies and programmes, and incorporate such in the organization's strategy and individual work plans?	• *Does the organization's mandate clearly state its advocacy role or strategic position in addressing institutional issues?*		**appreciate the value and benefits of addressing institutional issues?** • **Do technical staff members have the capacity to articulate their needs at institutional level to senior officials in the organization?** • **Do technical staff members have the capacity to analyze budgetary or resource needs for addressing institutional issues?**	
ACCOUNTABILITY			• *Does the organization have the capacity to develop analytical reports to inform policies and guidelines?* • **Are there organizational policies or structures which hold the leadership and the staff accountable to deliver on results?**	• *Does the organization have followed international practices e.g. transparency and participation during the implementation of its programmes?*	• *Does the organization have the capacity to develop a framework and indicators that support the measurement, monitoring and evaluation of results?* • *Does the organization have the capacity to introduce a system of rewards and penalties that supports individual accountability?* • *Does the*

						organization have the capacity to prepare transparent public reports?
KNOWLEDGE MANAGEMENT	• *Do technical staff members have the capacity to analyze emerging value chain needs and recommend strategies to address them?* • *Does the organization have its own database or information system that would be useful for situational analysis and planning?*	• *Do technical staff members have the capacity to develop practical information materials?* • **Do technical staff members have the capacity to access publications, practices and experiences from external sources to enrich their knowledge?** • *Do technical staff members have the capacity to develop joint advocacy materials with other organizations?*	• *Do technical staff members have access to state-of-the-art documents and publications?*	• **Does the organization have the capacity to ensure that staff members have access to information infrastructure (e.g. office internet) to facilitate learning?**	• *Does the organization have the capacity to develop joint knowledge products with other organizations?* • *Do technical staff members have the capacity to provide inputs, perspectives, insights to other organizations' reports and publications?* • *Does the organization have the capacity to partner with other organizations for joint learning events?*	• *Does the organization have the capacity to track the progress of individuals and organizations that have been trained by the organization?* • *Does the organization have the capacity to produce an annual report that includes progress on its achievements?* • **Does the organization have mechanisms or capacity to track its own work progress?**

Annex 2: Simplified Capacity Assessment Interview Matrix for Gender Mainstreaming

- ➢ *Italic*: Programmatic
- ➢ **Bold**: Organizational/Internal

CORE ISUES	Functional Capacities					
	Situation Analysis & Strategic Planning	Advocacy	Gender Vision and Policy Formulation	Budgeting and Implementation	Coordination	Reporting/M&E of gender results
LEADERSHIP	• *Does the organization's leadership have the capacity to understand and articulate gender issues and mainstreaming needs?* • **Does the organization's leadership have the capacity to ensure that gender is mainstreamed in the organizational strategies and work plans?** • **Does the organization's leadership have the capacity to ensure gender parity at all levels?**	• *Does the organization's leadership have the capacity to serve as gender advocates or champions?* • **Does the organization's leadership have the capacity to develop partnership with other gender advocacy groups towards common interests?**	• *Does the organization's leadership have the capacity to provide adequate vision and guidance to enhance policies on gender mainstreaming?*	• **Does the organization's leadership have the capacity to negotiate for dedicated financial resources for gender mainstreaming within the organization?** • **Does the organization's leadership have the capacity to mobilize resources from external donors and partners to support gender-related initiatives?** • **Does the organization's leadership have the capacity to provide mechanisms to encourage and support staff learning on gender issues and**	• *Does the organization's leadership have the capacity to introduce functional coordination mechanisms across units to ensure gender integration in other units' strategies and programmes?* • *Are there existing mechanisms that allow the organization to take part in external development planning to ensure a conducive gender mainstreaming context?*	• *Does the organization's leadership have the capacity to guide the development of reporting mechanisms that reflect gender results?* • *Does the organization's leadership have the capacity to introduce innovations and incentive mechanisms to encourage gender mainstreaming?* • **Does the organization's leadership have the capacity to ensure sufficient accountability within the organization on gender mainstreaming?**

				mainstreaming needs? • **Does the organization's leadership have the capacity to ensure that the organization could serve as a model for gender mainstreaming?** •		
INSTITUTIONAL DEVELOPMENT	• *Do technical staff members have the capacity to develop and recommend a gender mainstreaming strategy to other divisions/units?* • *Do technical staff members have the capacity to undertake a gender analysis of the situation?* • *Do technical staff members have the capacity to ensure that the voices and needs of the most vulnerable are accounted for in the planning?* • *Do technical staff members have the capacity to*	• *Do technical staff members have the capacity to sufficiently understand the concept and application of gender mainstreaming?* • *Do technical staff members have the capacity to engage substantively with all sectors at all levels to mainstream gender in their respective programmes and work plans?* • *Do technical staff members have the capacity to advocate clearly the value additions of gender mainstreaming to its partners and clients?* • *Does the*	• Do technical staff *members have the capacity to prepare analytical reports and policy papers to inform (national) gender policies, rules and regulations?* • *Do technical staff members have the capacity to engage legislators and policy makers on substantive issues on gender mainstreaming?*	• *Does the organization have the capacity to ensure inclusiveness and recognizing vulnerabilities as an overall principle?* • **Does the organization have the financial capacity to recruit and retain qualified gender team members?** • **Does the organization have the capacity to provide sufficient financial resources to ensure that gender is mainstreamed in its own programmes and projects?** • **Do all staff members**	• *Do technical staff members have the capacity to train other organizations or sectors on gender mainstreaming?* • **Is there a gender coordination mechanism that allows the organization's technical staff members to participate in substantive sectoral programming towards integrating gender needs?** • **Do technical staff members have coordination skill to sensitively liaise and interact with stakeholders when implementing**	• *Do technical staff members have the capacity to write quality gender reports?* • *Do technical staff members have the capacity to develop gender mainstreaming indicators for tracking gender results?*

understand the gender concerns and dimensions of sectoral strategies and programmes, and incorporate such in the organization's gender mainstreaming strategy? • *Do technical staff members have the capacity to engage and mainstream gender in their respective work plans?*	*organization's mandate clearly state its advocacy role or strategic position in promoting gender equality?*		**have the capacity to understand and appreciate the values and benefits of gender mainstreaming?** • **Do technical staff members have the capacity to articulate their gender mainstreaming needs to senior officials in the organization?** • **Based on differentiated analysis, does technical staff have the capacity to be able to apply gender-responsive budgeting?** • **Do technical staff members have the capacity to analyze budgetary or resource needs for gender mainstreaming?** • **Does the organizational mandate/structure support the implementation towards gender mainstreaming?**	**gender mainstreaming?**	

ACCOUNTABILITY			*Does the organization have the capacity to develop analytical reports to inform gender policies and guidelines?* **Are there organizational policies or structures which hold the leadership and the staff accountable to deliver on gender equality results?**	*Does the organization have followed international practices e.g. transparency and participation during the implementation of the gender mainstreaming?* **Does the organization have specific resources allocated for gender mainstreaming in its budgets?**		*Does the organization have the capacity to develop a framework and indicators that support the measurement, monitoring and evaluation of gender mainstreaming results?* *Does the organization have the capacity to introduce a system of rewards and penalties that support gender mainstreaming?* *Does the organization have the capacity to link gender mainstreaming to performance evaluation?* *Does the organization have the capacity to prepare transparent public reports on gender issues and mainstreaming gaps?*
KNOWLEDGE MANAGEMENT	*Do technical staff members have the capacity to analyze*	*Do technical staff members have the capacity to develop*	*Do technical staff members have access to state-of-*	**Does the organization have the capacity to**	*Does the organization have the capacity to*	*Does the organization have the capacity to track*

	emerging gender needs and recommend gender strategies? • *Does the organization have its own database or information system that would be useful for situational analysis and planning of gender mainstreaming?*	*practical information materials to encourage gender mainstreaming?* • *Do technical staff members have the capacity to develop joint gender advocacy materials with other organizations?* • **Do technical staff members have the capacity to access publications, practices and experiences from external sources to enrich their knowledge base on gender mainstreaming?**	*the-art documents and publications on gender?*	**ensure that staff members have access to information infrastructure (e.g. office internet) to facilitate learning on gender mainstreaming?**	*develop joint knowledge products on gender with other organizations?* • *Do technical staff members have the capacity to provide gender inputs, perspectives, insights to other organizations' reports and publications?* • *Does the organization have the capacity to partner with other organizations for joint gender learning events?*	*the progress of individuals and organizations that have been trained by the organization on gender mainstreaming?* • *Does the organization have the capacity to produce an annual report that includes progress on gender mainstreaming based on its achievements?* • **Does the organization have mechanisms or capacity to track its own work progress on the implementation of gender equality?**

Annex 3: Gender Capacity Questionnaire Sent to Value Chain Partners in May, 2014

Objectives: to identify and analyze the factors that hinder efforts to integrate gender into organization programs/projects and to identify approaches to strengthen staff capacity to integrate gender in planning, implementation and evaluation of programs/projects.

Please mark the responses that most accurately reflect your answers to the following questions and statements about your organization.

PROGRAMMING

1. Are gender equality goals and objectives included in project or program activity designs?
[ ] not at all
[ ] to a limited extent
[ ] to a moderate extent
[ ] to the fullest extent
[ ] do not know
How?

2. Does the implementation plan for your project or program include activities that strengthen skills and provide women/girls with equal access to services and training?
[ ] not at all
[ ] to a limited extent
[ ] to a moderate extent
[ ] to the fullest extent
[ ] do not know
If so, can you provide examples?

3. Does the implementation plan for your project include activities that strengthen skills and provide men/boys with equal access to services and training?
[ ] not at all
[ ] to a limited extent
[ ] to a moderate extent
[ ] to the fullest extent
[ ] do not know
If so, can you provide examples?

4. Have there been any gender analyses in your organization to determine gendered constraints and opportunities along the agricultural value chains you work in?
[ ] not at all
[ ] to a limited extent
[ ] to a moderate extent
[ ] to the fullest extent
[ ] do not know
If so, what kind of gender analyses?

Types of value chains your organization works with:

5. Does your organization have any projects or programs that focus exclusively on gender equality?
[ ] not at all
[ ] to a limited extent
[ ] to a moderate extent
[ ] to the fullest extent
[ ] do not know
Can you give a brief description of the project or program?

Do you use participatory methods to incorporate the views and preferences of both male and female community members in planning, implementation and evaluation projects/programs?

[ ] not at all
[ ] to a limited extent
[ ] to a moderate extent
[ ] to the fullest extent
[ ] do not know
What kind of methods?

Is gender disaggregated data collected and used systematically in planning and reporting?
[ ] not at all
[ ] to a limited extent
[ ] to a moderate extent
[ ] to the fullest extent
[ ] do not know

Do you monitor and evaluate gender impacts of projects and programs?
[ ] not at all
[ ] to a limited extent
[ ] to a moderate extent
[ ] to the fullest extent
[ ] do not know

6. What are some of the obstacles to integrating gender in project planning, implementation and   evaluation in your organization? Please check all that apply.

[ ] lack of financial resources for gender programming
[ ] lack of staff training or understanding of how to integrate gender into project or programs
[ ] lack of tools on integrating gender
[ ] lack of support from senior management
[ ] low organizational priority for gender issues
[ ] negative gender stereotypes
[ ] other, please specify below:

ORGANIZATIONAL OPERATIONS

7. Is there a person or department responsible for gender in your organization?
[ ] not at all
[ ] to a limited extent
[ ] to a moderate extent
[ ] to the fullest extent
[ ] do not know

8. Is there assigned staff responsibility for gender integration in different field offices?
[ ] not at all
[ ] to a limited extent
[ ] to a moderate extent
[ ] to the fullest extent
[ ] do not know

How many staff is assigned exclusively to integrating gender into your organization's work? Locations (s)?

Does your organization frequently draw upon the person (s) responsible for integrating gender?
] not at all
[ ] to a limited extent
[ ] to a moderate extent
[ ] to the fullest extent
[ ] do not know

9. Do project staff have the necessary knowledge, skills and attitude to carry out their work with gender awareness?
[ ] not at all
[ ] to a limited extent
[ ] to a moderate extent
[ ] to the fullest extent
[ ] do not know

10. Has project staff been trained in gender awareness and sensitization?
[ ] not at all
[ ] to a limited extent
[ ] to a moderate extent
[ ] to the fullest extent
[ ] do not know

11. Does your organization provide training and tools on gender planning, analysis and evaluation to their own staff, partner or local NGO affiliate staff?
[ ] not at all
[ ] to a limited extent
[ ] to a moderate extent
[ ] to the fullest extent
[ ] do not know

12. Does your project office have a written gender policy that affirms a commitment to gender equality?
[ ] not at all
[ ] to a limited extent
[ ] to a moderate extent
[ ] to the fullest extent
[ ] do not know

13. Has your organization budgeted adequate financial resources to support its gender integration work?
[ ] not at all
[ ] to a limited extent
[ ] to a moderate extent
[ ] to the fullest extent

[ ] do not know

14. Is gender awareness included as a criteria in all job descriptions?
[ ] not at all
[ ] to a limited extent
[ ] to a moderate extent
[ ] to the fullest extent
[ ] do not know

15. Is gender awareness included in job performance criteria?
[ ] not at all
[ ] to a limited extent
[ ] to a moderate extent
[ ] to the fullest extent
[ ] do not know

What else is needed to increase gender integration in organizational project or program work?

DEMOGRAPHICS

This section focuses on the basic demographic information of the respondents.

16. Are you male or female?
[ ] male [ ] female

17. What is your position in your organization?
[ ] Senior management
[ ] Mid-level personnel
[ ] Junior-level personnel

Annex 4: Capacity Assessment Rating Matrix

For each of the questions in the following matrix, a set of indicators are defined. The following capacity ratings are examples from which a capacity assessment team may select for each question (please note that the list of potential indicators for ratings is not meant to be comprehensive, but rather provides simple options for the assessment team to use in a certain context).[3] This list needs to be contextualized as the tool is piloted and validated.

No.	Rating	Meaning	Potential indicators for ratings
1	Very low	There is no evidence or only anecdotal evidence of any capacity, strategy or approach towards gender mainstreaming	(i) No gender equality results are identified (ii) M&E frameworks provides no information related to gender (iii) There is no gender strategy or approach (iv) There is no gender parity across the ranks and gender Balance is not a priority (v) There are no systems/structures in place to harness capacities
2	Low	While some capacity, strategy or approach for gender mainstreaming exists, there has been no actual implementation of such	(i) Gender equality result can be identified as an anecdotal incident (ii) Occasional references to gender (iii) Gender policy/strategy exists but has no reach (iv) There is reasonable gender balance but no parity across the ranks
3	Medium	Existing capacity or an approach is in place and has been implemented	(i) Gender equality results can be identified easily in a few projects (ii) M&E frameworks incorporate a few gender related indicators and results (iii) Gender policy/strategy exists and specific parts have been rolled out (iv) There is reasonable gender parity across the organization
4	High	There is capacity, strategy or an approach in place, which has been planned, developed, implemented and reviewed on the basis of some systematic benchmarking data and indicators and hence has been adjusted accordingly	(i) Implementation of gender policy/strategy is regularly reviewed and monitored (ii) Gender M&E frameworks included as integral component in development programmes/policies (iii) Organizational reports incorporate progress in gender equality (iv) Gender equality results are evident in all policy and planning documents (v) Conscious efforts are made to ensure gender balance and gender parity
5	Very High	There is capacity, strategy or an approach which has been planned, developed, implemented and reviewed on the basis of benchmarking data and indicators, and has been adjusted accordingly and fully integrated into the processes and functioning of the organization.	(i) Results from M&E are used to continuously inform and improve gender equality (ii) The organization's gender approach reflects and responds to international consensus/standards (e.g. BPFA) (iii) All programming contributes towards gender equality, and these are reported through the M&E frameworks (iv) Gender policy/strategy is regularly visited and is seen as an accountability tool

---

[3] Since the ratings will be done against the respondents' own perceptions towards each set of capacity questions, they will be required to provide substantiated evidence to support their answers.

Annex 5: Template for Capacity Assessment Worksheets

Functional Capacity: Description of functional capacity:		

Please indicate a capacity rating for each guide statement
 	
    •
    •
    •
    •
	Rating	Evidences

Strengths	Areas for Improvement	
Rating: **1** Very Low: <u>No evidence</u> or only anecdotal evidence of capacity/strategy/approach **2** Low: Capacity/strategy/approach <u>exists or has been developed</u>. **3** Medium: Capacity/approach is <u>planned and implemented</u>. **4** High: Capacity/strategy/approach is <u>planned, implemented and reviewed</u> on the basis of benchmarking data and adjusted accordingly. **5** Very High: Capacity/strategy/approach is <u>planned, implemented, reviewed on the basis of benchmarking data, adjusted and fully integrated into the organisation</u>.		
Average Rating for Current Functional Capacity	Remarks	

Annex 6: Template for (Preliminary) Capacity Assessment Report

The following overview provides a template for the (preliminary) capacity assessment report:

Acknowledgments
Table of Contents
Acronyms and abbreviations
Executive summary
1. Introduction
2. Context
3. Objectives and scope
4. Methodology and process
5. Synthesis of the findings
6. Analysis and conclusions
7. Proposed actions
8. Recommendations
Annexes