



**UNITED NATIONS
DEVELOPMENT GROUP**

unite and deliver effective support for countries

United Nations Development Group

Capacity Assessment Methodology

August 2009

UNDG Position Statement on Capacity Development (December 2006)

United Nations
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Dear Colleagues,

I am pleased to...

Capacity Development

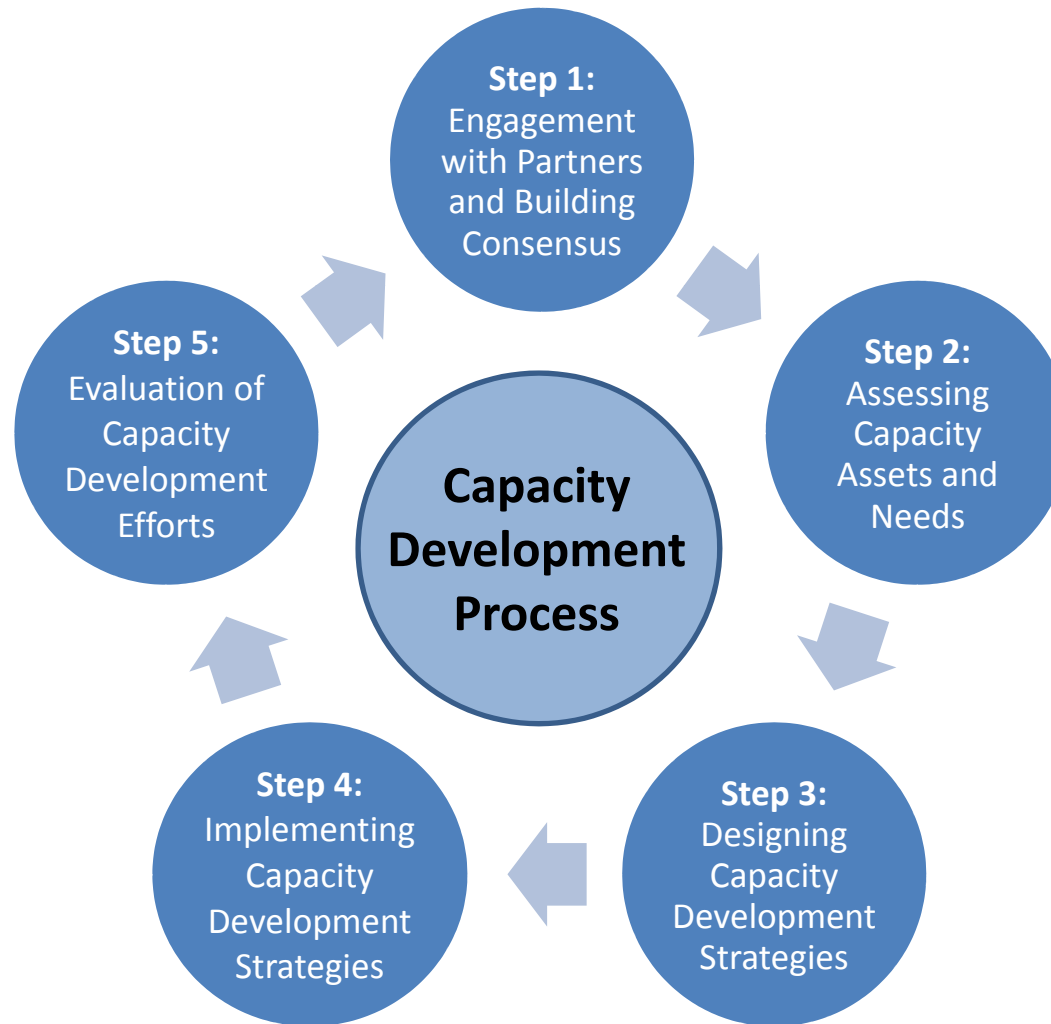
18 December 2006

“The Position Statement will be complemented with a review of and practical guidance on the use of capacity development diagnostics tools, including capacity assessment tools and measuring and monitoring methodologies, to facilitate what the UN can do better to support a country’s capacities to lead, manage, achieve and account for their national development priorities, plans and resources.”

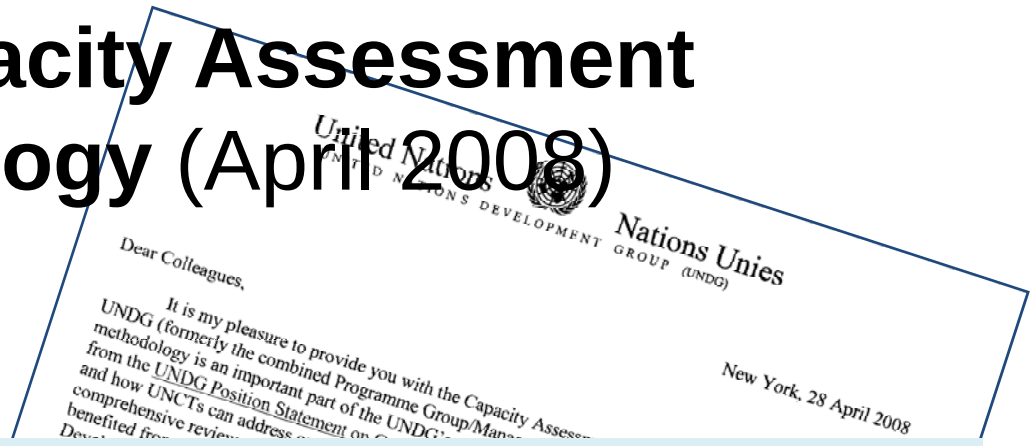
To: All UN Resident Coordinators

Kemal Derviş
Chair

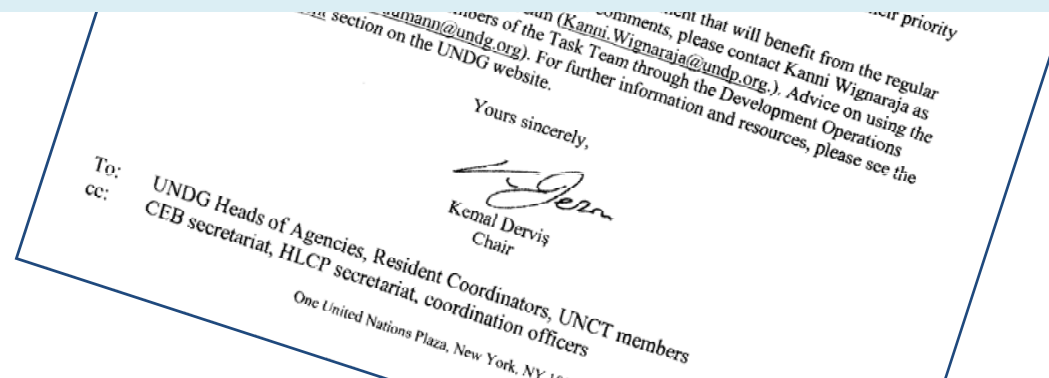
UNDG Capacity Development Approach...



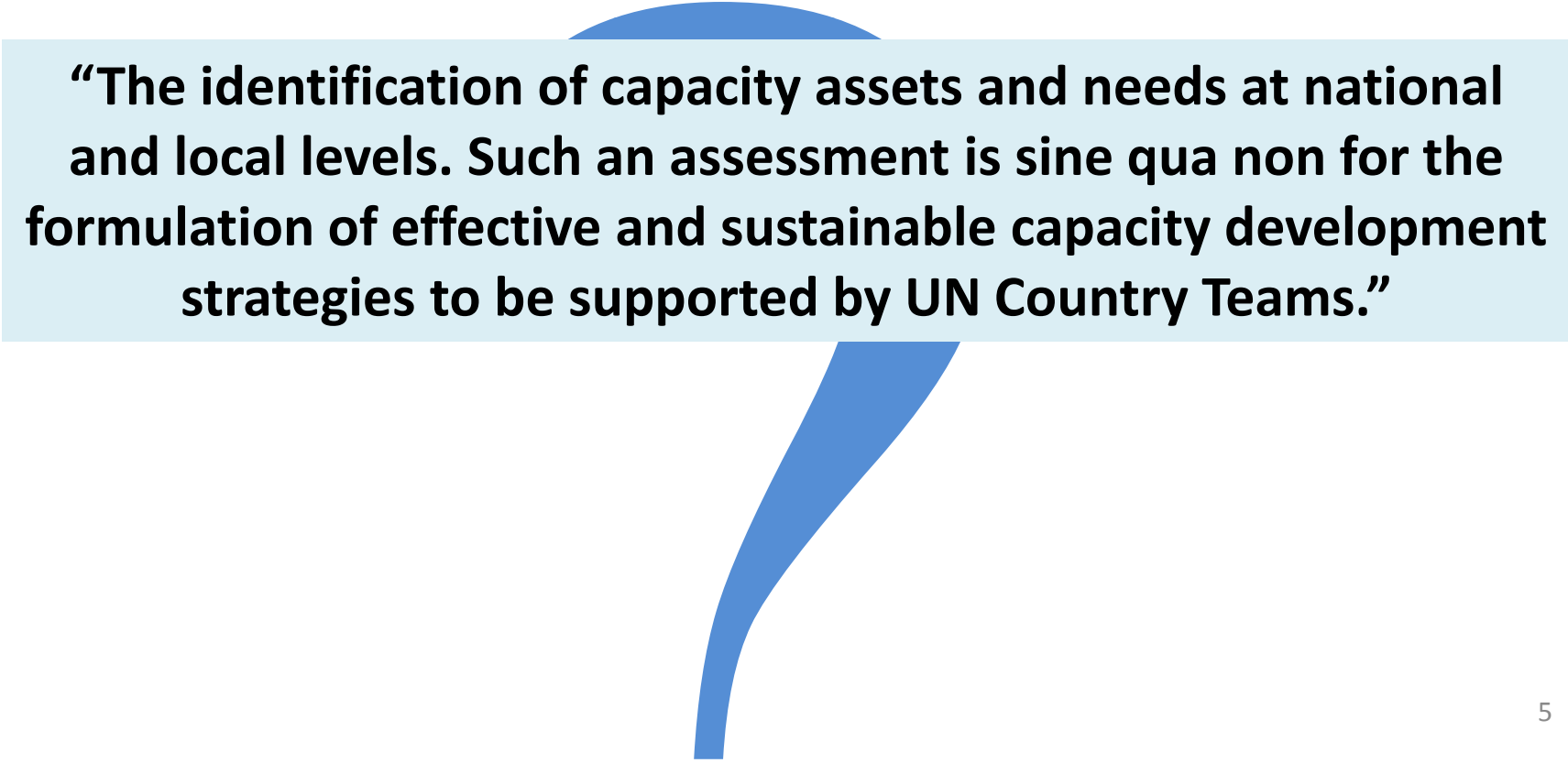
UNDG Capacity Assessment Methodology (April 2008)



“The Capacity Assessment Methodology can be applied throughout the UN planning and programming process at country level: UN Country Teams can use it to guide their discussions with national counterparts in the articulation of UNDAFs, PRSPs or SWAPs, as well as in the design, implementation and evaluation of specific programmes and projects. ”



What is a Capacity Assessment...



“The identification of capacity assets and needs at national and local levels. Such an assessment is sine qua non for the formulation of effective and sustainable capacity development strategies to be supported by UN Country Teams.”

UNDG Capacity Assessment Methodology – What's New?

- Offers a rigorous and systematic process
- Provides a structure for discussion
- Provides content for assessing functional capacities

UNDG Capacity Assessment Methodology – What's Different?

- Focuses on capacity
- Emphasizes the link with capacity development strategies
- Establishes indicators for measurement of progress

UNDG Capacity Assessment Methodology – Value for UNCTs

- Provides tangible means of manifesting the UNDG Position Statement on Capacity Development
- Offers a comprehensive view of capacity... both technical and functional
- Can be applied in conjunction with methodologies and tools already being used
- Links to formulation of capacity development strategies

Key Questions to Focus Capacity Assessments

Capacity for Why?

Capacity for Whom?

Capacity for What?

Three Components of the UNDG Capacity Assessment Methodology

1. Process for Conducting a Capacity Assessment

2. Capacity Assessment Framework

3. Supporting Resources and Tools

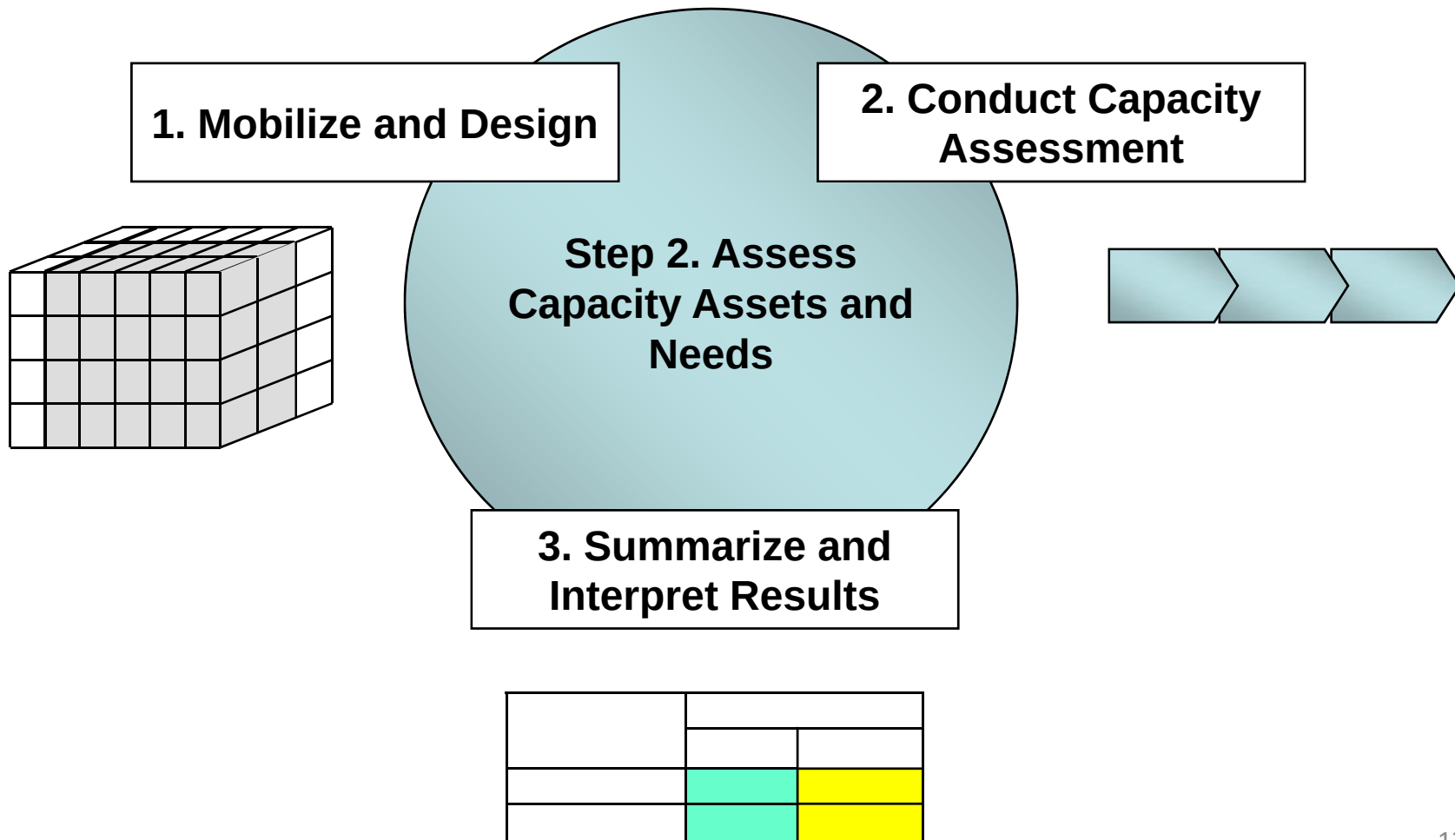
UNDG Capacity Assessment Process

1. Mobilize and Design

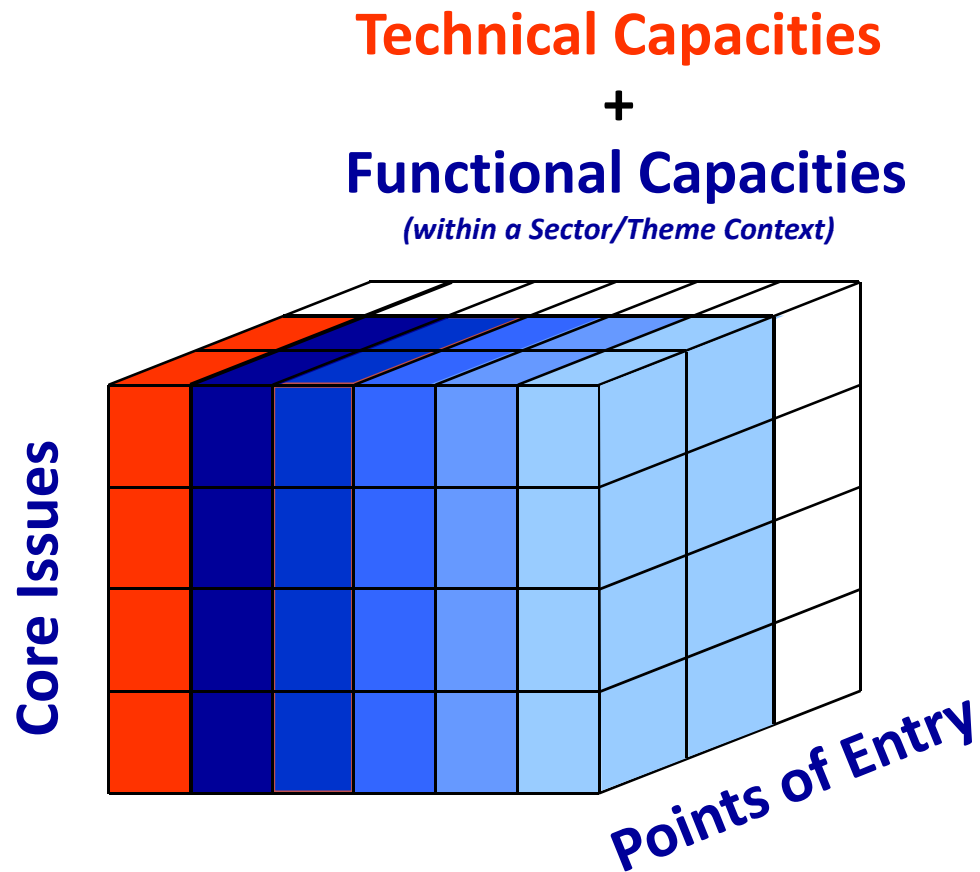
2. Conduct the Capacity Assessment

3. Summarize and Interpret Results

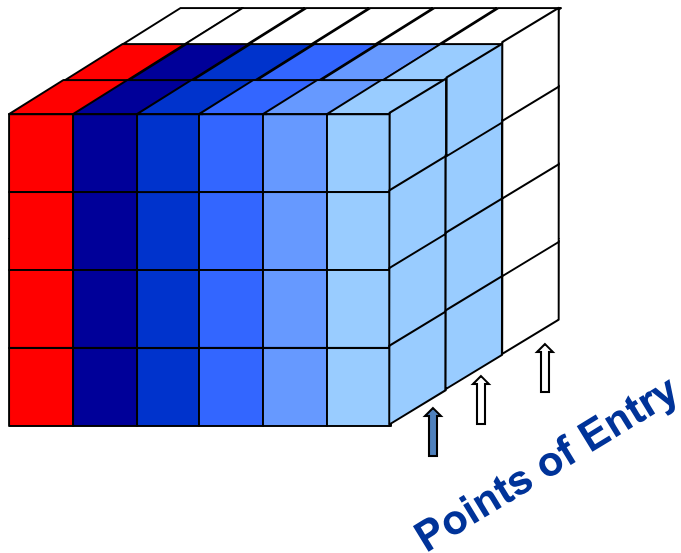
UNDG Capacity Assessment Process Steps



UNDG Capacity Assessment Framework

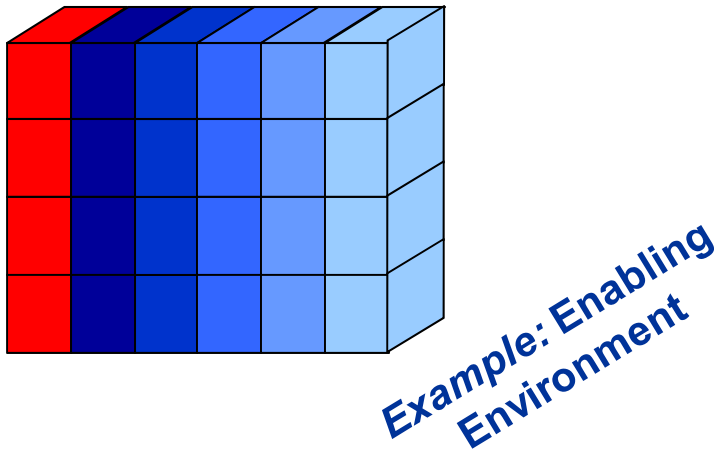


UNDG Capacity Assessment Framework

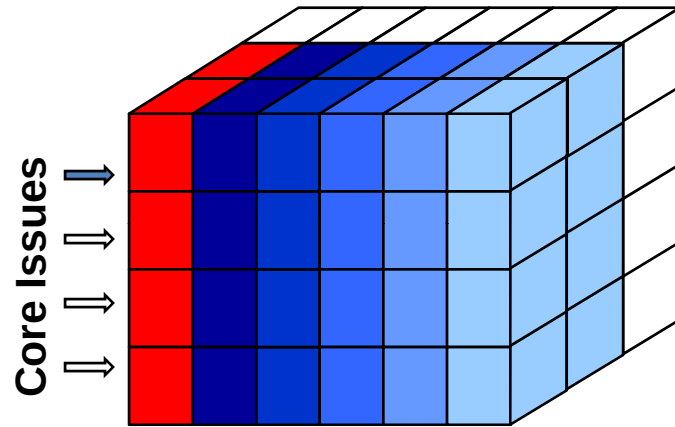


Points of Entry

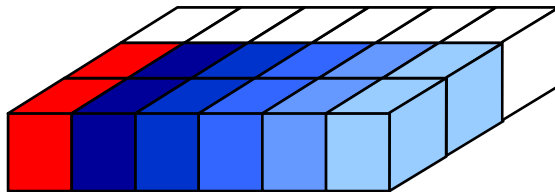
- Enabling Environment
- Organizational Level
- Individual Level



UNDG Capacity Assessment Framework



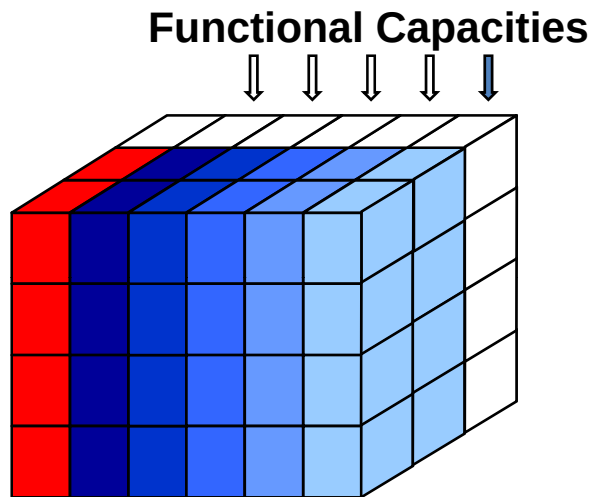
*Example: Public Sector Accountability
as a Diver of Design*



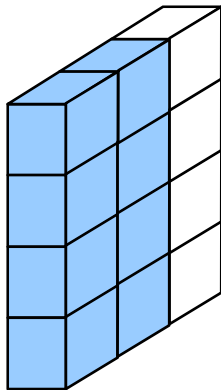
Core Issues

- Public Sector Accountability
- Access to Information, Development Knowledge and Technology
- Inclusion, Participation, Equity and Empowerment
- External/International Relations

UNDG Capacity Assessment Framework



Example: Capacity for Monitoring, Evaluation and Learning as a Driver of Design



- Technical Capacities
- Functional Capacities
 - Situation Analysis
 - Policy Design and Strategy Formulation
 - Resources and Budget Allocation
 - Implementation
 - Monitoring, Evaluation and Learning

UNDG Capacity Assessment Methodology User Guide

- 1. UNDG Capacity Development Approach**
- 2. UNDG Capacity Assessment Methodology**
- 3. Operational Guidelines for Assessing Capacity Assets and Needs**
- 4. Operational Guidelines for Designing Capacity Development Strategies**
- 5. UNDG Capacity Assessment Supporting Tool**
- 6. Using the UNDG Capacity Assessment Methodology in Conjunction with Other Methodologies**
- 7. Questions and Indicators by Core Issue**

UNDG Capacity Assessment Supporting Tool

(excel-based tool to capture and analyse data)

Point of Entry Organizational		CAPACITY ASSESSMENT												
Core Issues		Functional Capacities								Overall / Desired Level	Overall / Desired Level	Difference		
		Situation Analysis		Policy Design & Strategy Formulation		Resources & Budget Allocation		Programme & Project Implementation					Monitoring, Evaluation & Learning	
													Desired Level	Existing Level
		Desired Level	Existing Level	Desired Level	Existing Level	Desired Level	Existing Level	Desired Level	Existing Level					
1.0	Public Sector Accountability	4.00	3.08	3.25	1.88	3.50				3.58	2.45	1.13		
2.0	Access to Information, Development Knowledge and Inclusion, Participation, Equity and Empowerment							3.36	2.22	3.50	2.00	1.32		
3.0								4.20	2.10	4.50	2.00	2.30		
4.0		External/International Relations									4.35	2.05	0.00	
Overall		4.00	3.08	3.25	1.88	3.50	2.40	3.78	2.16	4.00	2.00	1.40		
Difference		0.92		1.37		1.10		1.62		2.00		1.40		

Key Capacity Development Strategies

- **Institutional Arrangements:** e.g., support to functional reviews and the design of human resource management systems, monetary and non-monetary incentive mechanisms and results-based management.
- **Leadership:** e.g., support to visioning, systems thinking and strategic planning exercises; promotion of peer-to-peer mentoring; coalition building and negotiation skills development; design of career management systems.
- **Knowledge:** e.g., support to education reform strategies to incorporate human development needs into curriculum reform; facilitation of partnerships for investment in reforming post-secondary education; support to south-south learning solutions.
- **Accountability:** e.g., design and support to monitoring and evaluation systems and independent partner review mechanisms; promotion of public information disclosure policies and legislation; support to civic education.

UNDG Capacity Development Resources

- A common policy articulated in the UNDG Position Statement on Capacity Development (2006)
- A common UNDG Capacity Assessment Methodology (2008) – including User Guide and Supporting Tool
- Capacity development contribution prescribed in new CCA/UNDAF Guidelines (2009)
- A Technical Brief on Capacity Development (2009)
- A common learning platform for UNCTs on Capacity Development
- UNDG capacity development services made available to UN agencies and UNCTs to integrate capacity development approach into UNDAFs and joint programmes

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Capacity Development

The World Summit Outcome document emphasised that UN development cooperation is, primarily, a means for capacity development (CD). It underlies each of the other principles for UN development cooperation, and is geared towards the achievement of MD/MDG-related national priorities. For government to fully own, achieve, and account for the priorities in the national development framework, it must assess its capacity development needs, respond to those needs, and evaluate the effectiveness of its efforts. The UNCT can play a critical role in helping government to do this. The UNCT must aim to develop lasting in-country capacities at individual, institutional and societal levels. In line with a HRBA, these capacities will help rights-holders to claim their rights, and duty-bearers to meet their obligations.

Support to capacity development must be "unpacked" into tangible components that offer a best fit in each country, rather than a one-size-fits-all approach. [The UNDG Position Statement on Capacity Development](#) provides key messages about capacity development and guides this "unpacking" of capacity development into 8 distinct components.

Policy and Guidance

Follow this link to the [Capacity Development pages at the Development Gateway Foundation](#). The Foundation offers an online resources portal for development information and knowledge-sharing worldwide.

UNDG Position statement on Capacity Development (UNDG Programme Group)
21 December 2006
The first position statement of the UNDG on capacity development (2006). The