UNITED
NATIONS
DEVELOPMENT
GROUP

CAPACITY DEVELOPMENT

UNDAF CAMPANION GUIDANCE

TABLE OF CONTENTS

1. INTRODUCTION

The objective of this companion guidance note is twofold: to support the efforts of the United Nations Development Group (UNDG) to position integrated programming on capacity development as a means and a primary objective in the implementation of the 2030 Agenda for Sustainable Development,1 and to put forward a set of common principles for measuring capacity development that will apply generally to all relevant interventions, though their importance, level of use, and customization will be determined within the specific context of each intervention. The guidance note should be read as a complement to the 2017 UNDAF Guidance and relates closely to the other seven companion guidance papers on programming principles, Common Country Analysis (CCA), the theory of change, the UN Vision 2030, monitoring and evaluation, funding to financing, and communications and advocacy.

As articulated in the revised UNDAF Guidance endorsed in 2017, the UNDG recognizes capacity development as one of six key programming approaches for UN integrated programming at country level—alongside results-focused programming; risk-informed programming; development, humanitarian and peacebuilding linkages; coherent policy support and partnerships. Actors seeking to support sustainable development need to fully understand that strong capacity must be locally generated and sustained. As such, the Quadrennial Comprehensive Policy Review (QCPR) (2017-2020), adopted by General Assembly resolution 71/243, calls upon the UN development system to further "support the building, development and strengthening of national capacities to support development results at the country level and to promote national ownership and leadership, in line with national development policies, plans and priorities." This, for example, includes support to the establishment and/or consolidation of effective national institutions; the development and implementation of national sustainable development strategies; and support to develop national statistical capacities to collect and analyse high-quality, disaggregated data for policy planning, implementation, monitoring and evaluation.

---

1   In line with the Secretary-General's 2016 report to the Economic and Social Council on the QCPR, United Nations General Assembly Economic and Social Council (2016). *Companion to the Secretary General's report on QCPR (A/71/63–E/2016/8), which provided an in-depth analysis of the implementation of General Assembly resolution 67/226*

It encompasses supporting the development and implementation of national strategies for capacity development as well as utilizing national financial systems, procurement systems and national evaluation capacities wherever feasible.
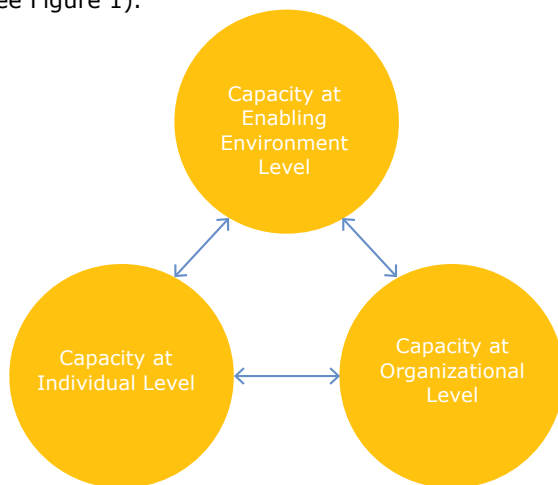
Section 2 of the guidance note explains the concept of capacities, capacity development and their measurement. Section 3 focuses on how to integrate capacity development into the different stages of the UNDAF process and how capacities can be measured. It also presents common principles for the integration of capacity development in the UNDAF cycle, as well as for measurement of capacity development. Section 4 presents lessons learned, tips and good practices from different agencies and country contexts. Finally, Section 5 puts forward different tools that can help integrate capacity development in the UNDAF cycle and measure progress.

2. THE CONCEPT

The UNDG defines:
- **Capacity** as the ability of people, organizations and society as a whole to manage their affairs successfully
- **Capacity development** as "the process whereby people, organizations and society as a whole unleash, strengthen, create, adapt, and maintain capacity over time,"[2] in order to achieve development results.
- **Capacity development support** as "efforts by external individuals or organizations to reinforce, facilitate, and catalyze capacity development."
- **Capacity assessment** as "the identification of capacity assets and needs at national and local levels,"[3] equivalent to measuring baselines and the progress of (capacity) development indicators.

Capacities can be grouped in three levels: individual, organizational and enabling environment, which altogether are interdependent and mutually reinforcing (see Figure 1).

Capacities at these three levels relate to, inter alia:
- Individual—improving individual skills, knowledge and performance through training, experiences, motivation and incentives;
- Organizational—improving organizational performance through strategies, plans, rules and regulations, partnerships, leadership, organizational politics and power structures, and strengthening organizational systems, processes, and roles and responsibilities
- Enabling environment—improving policy framework to address economic, political, environmental and social factors including economic growth, financing, labour markets, political context, policy and legislative environment, class structures, and cultural aspects in a coherent and mutually reinforcing fashion.

Figure 1: Three interconnected levels of capacity

---

2 See: www.un.org/en/ecosoc/qcpr/pdf/sgr2016-deskreview-capdev.pdf

3 UNDG, 2009, United Nations Development Group – Capacity Assessment Methodology.

Capacities across the three levels can be grouped into "hard" and "soft" areas. Hard capacities are tangible and visible, including organizational structures, systems, policies and procedures. "Soft" capacities are intangible and invisible, social and relational, including leadership, values, behaviours, commitment and accountability. Capacities can also be grouped into "technical" and "functional" types. Technical capacities are specific to a particular sector or area, e.g., nursing, farming and animal husbandry, primary education, water and sanitation, forestry, etc. Functional capacities are relatively common across sectors or areas such as planning, budgeting, policy-making, financial analysis, strategy formulation and communications.

The capacity development-centered approach to integrated programming is meant to strengthen the quality of the UNDAF from formulation to implementation, and ensure it fosters sustainable results by building relevant national capacities. The UN generally provides capacity development support to national and subnational counterpart governments, and to global, regional and national institutions and organizations, including parastatals, non-governmental and civil society organizations, employers' and workers' organizations, academia, the private sector and corporate foundations.

The aim of capacity development support provided by the UN is to maximize effectiveness, efficiency, sustainability and country ownership of development by ensuring that country level stakeholders can effectively, efficiently, resiliently[4] and self-sufficiently manage and deliver intended products and services to their target groups. Along these lines, the 2017 UNDAF Guidance identifies capacity development as an important variable under several of the criteria established to assess the quality of the UNDAF during design and implementation (Box 1).

---

[4] The 2017 UNDAF Guidance acknowledges that strengthening the capacities of national institutions and communities is the foundation of resilience, and of ensuring that gains are sustainable. UN support for strengthening national capacities takes place within the national development framework, building on existing capacities, assets and systems, and based on national capacity assessments and strategies. For further details, see the section on programming principles on sustainability and resilience in the UNDAF Guidance.
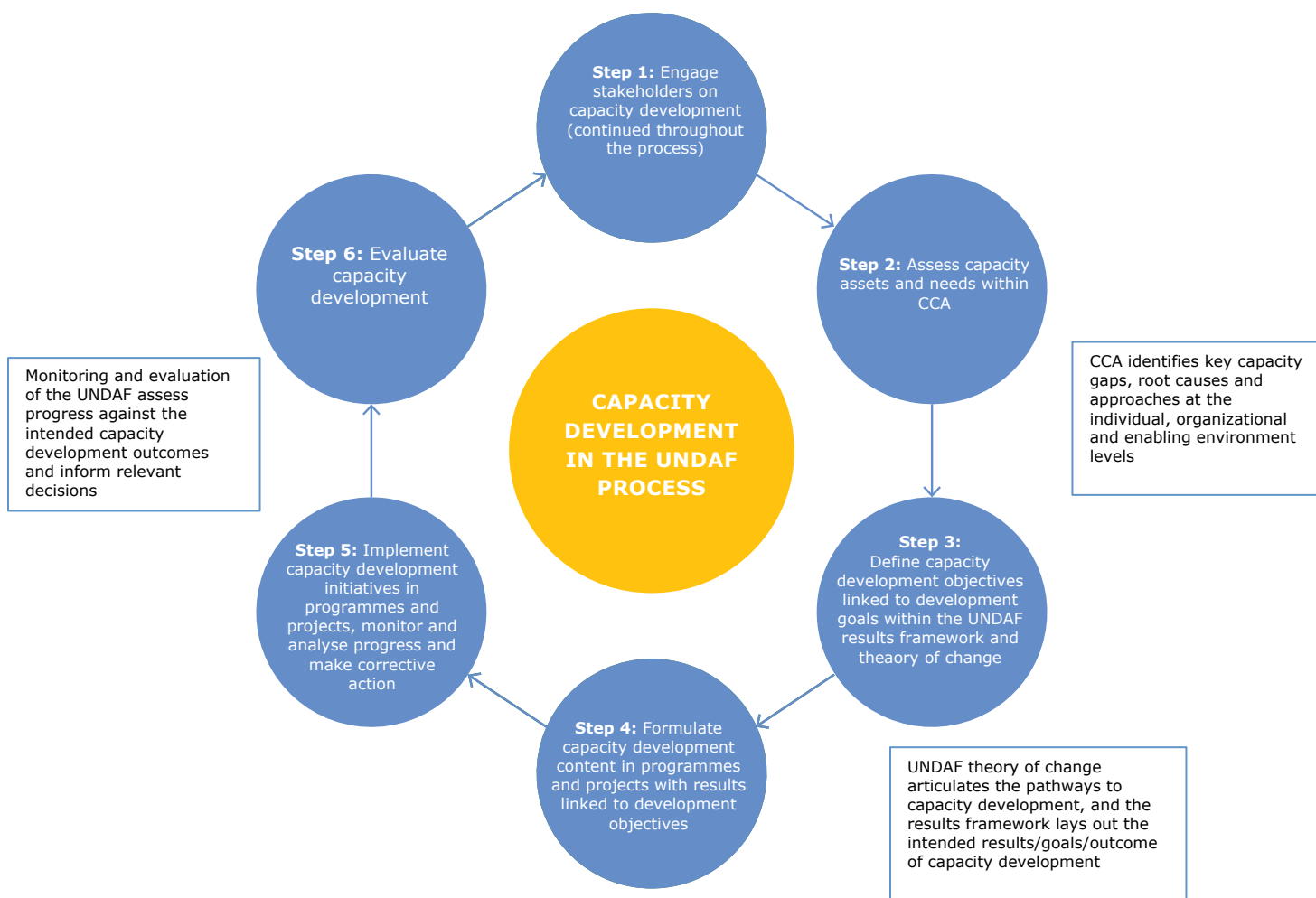
Resilience as a development objective necessitates capacity development as an essential building block. Specific approaches on resilience are therefore required in capacity development programming (Box 2).

3. MOVING FROM THEORY TO PRACTICE

3.1 INTEGRATING CAPACITY DEVELOPMENT INTO THE UNDAF CYCLE

This section focuses on how to integrate capacity development into the different stages of the UNDAF process. The guidance on issues to consider at each stage is summarized in six steps featuring the main points where different capacity-building considerations enter into the programming cycle (Figure 2).

The six steps apply whether distinct capacity development programmes and projects are being implemented within the UNDAF, or building capacities is part of the broader results planned in joint or individual programmes and projects. Regardless of the support frameworks in which capacity gaps are being addressed, using theories of change that pursue development progress through and towards stronger institutions, professionals and environments represents an effective approach to risk management, national ownership and sustainable results.

Step 1: Engage stakeholders on capacity development (continued throughout the process)

Step 2: Assess capacity assets and needs within CCA

CCA identifies key capacity gaps, root causes and approaches at the individual, organizational and enabling environment levels

Step 3: Define capacity development objectives linked to development goals within the UNDAF results framework and theory of change

UNDAF theory of change articulates the pathways to capacity development, and the results framework lays out the intended results/goals/outcome of capacity development

Step 4: Formulate capacity development content in programmes and projects with results linked to development objectives

Step 5: Implement capacity development initiatives in programmes and projects, monitor and analyse progress and make corrective action

Monitoring and evaluation of the UNDAF assess progress against the intended capacity development outcomes and inform relevant decisions

Step 6: Evaluate capacity development

CAPACITY DEVELOPMENT IN THE UNDAF PROCESS

Figure 2: Capacity development during the UNDAF cycle[5]

---

[5] Capacity Development: A UNDP Primer, 2009.

Step 1: Stakeholder engagement is central to successful capacity development throughout the UNDAF cycle, notably as it builds the ground for ownership, accountability and complementarity. The aim of the first step is to start a dialogue in view of building a partnership between the stakeholders, different development partners and the UN development system organizations. In view of the leave no one behind principle, it is critical to engage with all relevant actors, including groups with often weak or non-existent representative organizations. Identifying partnerships that can best support capacity development through complementary interventions is a prerequisite for success. Continued dialogue and coordination will help to ensure coherence and complementarity in capacity development interventions conducted by various stakeholders and partners.

The key steps to be undertaken at this stage include: a comprehensive stakeholder mapping carried out through a collaborative effort engaging those directly concerned upfront; identification of strategic partnerships; and a preliminary assessment to identify possible needs for capacity development to enable stakeholders to participate more effectively in the UNDAF process.

Step 2: The CCA includes capacity assessments and analysis of key government agencies and professionals that can inform the identification of priorities for institutional strengthening and opportunities for multistakeholder collaboration based on UN comparative strengths. It is critical to know the context before formulating and implementing country programmes. The CCA includes, inter-alia, an assessment of the capacities of duty-bearers to promote and protect the ability of rights-holders to claim their rights. It articulates the key capacities at the individual, organizational and enabling environment levels that are not yet fully in place, the root causes of lack of capacity and broad approaches to developing those capacities. The CCA sets the baselines for monitoring and evaluation and informs the theory of change, which further explores approaches that may support capacity development through programmes and projects and/or through South-South and triangular cooperation and other partnerships. The UN Vision 2030 situates the CCA's medium-term assessment and analysis of capacity gaps and capacity development needs within a longer-term perspective. The CCA process also helps to consolidate already identified partnerships.

The key steps to be undertaken at this stage include: a fully fledged capacity needs assessment focusing on the individual, organizational and enabling environment levels; an evidence-based inventory of approaches to support capacity development; and establishment of capacity-related baselines and consolidation of strategic partnerships.

Step 3: The UNDAF theory of change articulates the pathways to capacity development, that is, the explanations of why certain results and activities are believed to lead to increased capacity. The UNDAF results framework lays out the goals of capacity development efforts—that is, measurable changes in capacity. As such, in the formulation of the theory of change and the selection of the critical path, strengthening capacities is both a means of implementation of the UNDAF and a development objective to maximize results and make them sustainable. Strategic partnerships will be integrated into concrete commitments at this stage.

The key steps to be undertaken include: identification and formulation of pathways to capacity development, based on evidence and tested approaches; identification and formulation of capacity development goals in the UNDAF results framework; and integration of strategic partnerships and establishment of a division of labour.

Step 4: Formulate UN (joint or agency-specific) programmes and projects with capacity development as an underpinning factor for the achievement of development results. The UNDAF results framework needs to present the intended outcomes of capacity development efforts, thus linking them to the achievement of national development goals, results and targets.

The key steps to be undertaken at this stage include: formulation of UN programmes and projects integrating capacity development objectives/results and their measurement in line with the common principles checklist presented in Section 5; definition of a theory of change and selection of the critical path that focuses on capacity-driven development progress; identification of opportunities to bridge knowledge and solutions in a sustainable way; factoring in innovation, including through partnerships with the private sector, foundations and philanthropy for new ways to transfer knowledge and strengthen institutions and individual capacities; and identification of South-South and triangular cooperation opportunities that can best serve the purpose of rapid and sustainable progress through mutual learning and horizontal exchanges of knowledge and experience. Capacity development interventions should endure over time. To this end, for a multiplier effect, training of trainers or incorporating new curricula in local training or academic institutions are preferred over one-off training.

Step 5: Implement capacity development projects and activities, monitor progress and take evidence-based corrective action. For the most sustainable long-term results, implementation should be managed through national systems and processes rather than through the parallel systems of external partners. The very fact of using national systems can help strengthen essential capacities, such as project management and procurement.

The key steps at this stage include: implementation of programmes and projects in collaboration and/or consultation with national stakeholders and other UN agencies and partners; engaging a (preferably already existing) national body composed of key stakeholders and UN agencies to supervise the monitoring and evaluation of programmes and projects; setting targets and milestones and regularly carrying out progress monitoring exercises throughout the implementation period, in line with the theory of change and the UNDAF results framework, and with the leadership of the monitoring and evaluation body; and revising implementation strategies as necessary in line with the results of the monitoring exercises.

Step 6: Regularly carry out programme and project evaluations in line with the evaluation framework set up based on the UNDAF quality assessment parameters and against the baselines determined during the capacity assessment. The key steps to be undertaken at this stage include: under the leadership of the monitoring and evaluation body, set up a regular evaluation schedule, at least including a mid-term and a final evaluation of projects and programmes and a choice of self or independent evaluations, as further defined by agency-specific guidelines; include specific evaluation criteria for capacity development interventions in line with the UNDAF quality assessment criteria and discuss evaluation recommendations and take necessary action to improve capacity development interventions; and establish a communication strategy on evaluation results.

3.2 MEASURING CAPACITY DEVELOPMENT

Taking one step forward from an effective integration of capacity development across the UNDAF cycle, this section focuses on how to measure progress. There are no universal rules or dimensions for measurement of capacity development; measurement remains context-specific. Some general guidelines apply, however.
First, capacity development must be measured in the context of the development objective (at the outcome level) to which the capacity development initiative is expected to contribute (i.e., capacity for what?). An example of an outcome-level development objective could be: increased availability of comprehensive maternal and child health services. The outcome-level development objective is key to identifying the specific content, levels and dimensions of capacity development to be addressed.

This would enable formulating and achieving the capacity development objective, and measuring it at outcome, output and intervention levels.

Second, equally important, is measuring the output-level performance objective (capacity for how well to do what?). In this case, the measurement of performance provides a proxy for the measurement of capacity because one may presume that strengthened capacities have been applied to improve performance. To the extent possible, capacity should be measured against a commonly adopted set of quality standards. An example of an output-level development objective could be: an additional 500 midwives are considered qualified to offer comprehensive maternal and child health services following training and examination on the basis of established International Confederation of Midwives standards.

Both the outcome-level development objective (capacity for what?) and the output-level performance objective (capacity for how well to do what?) should be taken into account, since the measurement of capacity development can otherwise be incomplete; it is not a given that improved capacity at output level always contributes to the achievement of the anticipated development objective at the outcome level. Measures of capacity at the performance level judge potential to perform, but do not ensure action.

To measure capacity development, an initial assessment of current capacities and capacity development is required, providing a baseline against which progress is measured over time and setting quality standards to assess, inter alia, the relevance and utility of the capacities developed to achieve certain objectives.

Table 1 illustrates an example of development objectives and a selection of associated capacity development indicators.

TABLE 1: ILLUSTRATIVE EXAMPLE OF DEVELOPMENT AND CAPACITY DEVELOPMENT INDICATOR MEASURES AT THE OUTCOME LEVEL

DEVELOPMENT OBJECTIVE (OUTCOME LEVEL)	POTENTIAL CAPACITY DEVELOPMENT INDICATORS (THAT COULD BE USED WHILE FORMULATING AN UNDAF RESULTS MATRIX)		
	INDIVIDUAL	ORGANIZATIONAL	ENABLING ENVIRONMENT
Vocational skills in the national labour force and application of skills increased in the next 20 years Possible Indicator: • Unemployment rate	• Percentage of individuals graduating with vocational degrees • Percentage of individuals graduating that enter the labour force • Number of certified professors in vocational categories	• Number of national training institutions offering vocational degrees • Four-year vocational graduation rates by national training institution • Attrition rates of certified professors	• Level of national budget for vocational skills development • National policies for funding vocational institutions • National policy incentives for businesses to hire vocational graduates
By 2021, a people-centred accountable, transparent and effective judiciary, Parliament, public administration and independent institutions ensure security, equal access to justice and quality services for all people Possible Indicator: • Percentage of the population that has access to public services • Proportion of the population satisfied with their last experience of public services Proportion of the population who believe decision-making is inclusive and responsive, by sex, age, disability and population group	• Number of members of parliament trained in national strategic dialogue. • Percentage of civil servants specialized in the international framework on anti-corruption, transparency and accountability • Number of women trained on tracking public allocations to promote gender equality and women's participation in policy making	• Number of annual consultations, public hearings held by parliament • Number of civil society organizations regularly engaging in country-wide participatory prioritization and monitoring of public budgets • Number of government institutions publishing and disseminating financial data according to the Open Government Partnership Standards	• Anti-corruption, transparency and accountability law has been ratified. • Ranking on the Corruption Perception Index according to Transparency International

3.3 COMMON PRINCIPLES FOR CAPACITY DEVELOPMENT

Despite the need for contextual relevance and specificity, the identification of indicators for measuring capacity, capacity development and the process of capacity development can follow consistent common principles. This subsection focuses on identifying and codifying this common ground among UN development actors, which will take on increasing importance in framing measurements around the more complex and challenging capacities for integrated policy-making, planning and evidence-based implementation that will be key to the 2030 Agenda.

The following list outlines an initial suggested set of such common principles for developing capacity-building interventions in the UNDAF framework and for measuring capacity development:

1. Ensure coherence in capacity development efforts

Ensure capacity development activities secure national coherence among national, subnational and local level actors and processes; avoid duplication and unnecessary efforts among the government, national partners, UN agencies and other development actors; and foster the sustainability of gains beyond the duration of a programme or project.

Follow global and UN commitments to support the strengthening of national capacities by effectively measuring capacities, capacity development improvements and performance.

2. Develop and apply quality standards for capacity development

Capacity development interventions need to be guided by specific quality standards that enable the measurement of the *quality* of progress and results at all key decision points.

Examples of quality standards:

QUALITY STANDARDS	EXPLANATION
RELEVANCE AND STRATEGIC FOCUS	Correspondence to beneficiaries' requirements Results logically follow from the design
EFFECTIVE	Achievement of immediate objectives The extent to which management arrangements contributed to the effective achievement of results
EFFICIENT	How economically resources/inputs were converted into results The extent to which capacity development interventions achieved timely results
SUSTAINABLE	Grade of stakeholder engagement and institutionalization

3. Develop indicators to measure capacity development

- Use specific development goals to associate with and identify appropriate capacity development objectives, targets and indicators, to measure capacity for *what* (e.g., capacity to maintain facilities for safe drinking water).

- Associate development performance indicators with capacity development objectives to measure capacity for *how well to do what*? (e.g., safe water available in all target facilities, with less than 40 hours of annual downtime). These indicators will draw from common quality standards for capacity development interventions.

- Ensure capacity development indicators address and measure aspects of human rights, gender equality and women's empowerment, and environmental sustainability. Introduce the measurement of capacity for integrated policy-making, which is at the root of making successful progress on the SDGs.

4. Build data systems and conduct baseline and follow-up assessments

a) Build data systems to systematically collect relevant data against specific indicators, generate time series and analyse trends to take evidence-based decisions, recognizing that capacity development in all its forms is a long-term objective.

b) Conduct baseline assessments and regularly schedule sectoral capacity assessments to measure progress towards capacity development objectives against capacity development indicators, relying wherever possible on existing monitoring and evaluation systems/proxy indicators. Share analysis and information with stakeholders, partners and the public.

5. Use evidence to inform programming decisions

In measuring capacities, consider that sustainability and self-sufficiency cannot be definitively measured until capacity development support has ended, but regular monitoring can inform the likelihood of and improvements towards sustainability.

Use regular objective and critical reviews during formulation and implementation stages, and during evaluations, to ensure quality and comprehensiveness of capacity development measurement indicators, processes and results achievement, and to make evidence-informed programme and project-related decisions.

The example in Section 5, focused on capacity development for policy coherence, illustrates the use of indicators at different capacity levels, incorporating aspects of capacity type, intervention type and geography as well as the different capacity typologies/issues[6] to be addressed.

---

[6] Capacity issues to address and measure have been categorized by UNDP into performance, stability and adaptability (UNDP, 2010, Measuring Capacity). These typologies can be helpful in addressing different types of capacity issues. At the organizational level, these include the following: performance—the ability of the institution to do the identified "what" (efficiently, effectively and sustainably) in order to meet objectives, with components of effectiveness and efficiency; stability—the ability of the institution to resolve problems and remove barriers, with components of institutionalization and risk mitigation; and adaptability—the ability of the institution to adapt to changing realities and demands, with components of investment for innovation and continuous improvement.

4. LESSONS LEARNED, TIPS AND GOOD PRACTICES FROM REAL COUNTRY EXAMPLES

This section presents two examples illustrating, first, the measurement of capacity development in a training centre attached to a UN specialized agency, and second, a UN-led capacity development approach utilizing South-South and triangular cooperation. The examples showcase capacity development approaches and measurement in practice.

Example 1: Measuring capacity development at the International Training Centre of the International Labour Organization

The mission of the International Training Centre of the International Labour Organization (ITCILO) is to strengthen the capacity of ILO constituents and other ILO stakeholders to promote decent work for all. This happens through the transfer of knowledge about policies and programmes to promote decent work, with a view to achieving long-term development impacts (see Figure 3). The centre's capacity development takes the form of a wide range of distance learning and face-to-face training activities.[7]

---

[7] See more at www.itcilo.org.

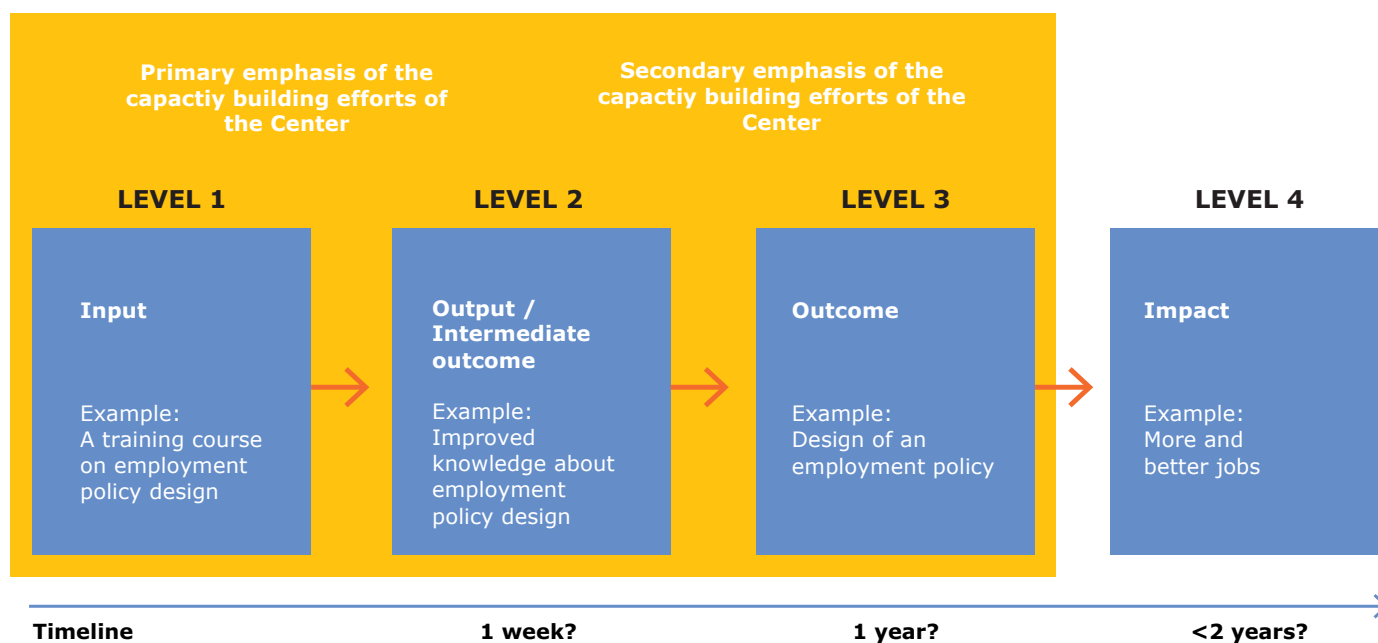|	Primary emphasis of the capactiy building efforts of the Center		Secondary emphasis of the capactiy building efforts of the Center	
LEVEL 1	**LEVEL 2**		**LEVEL 3**	**LEVEL 4**
Input Example: A training course on employment policy design	**Output / Intermediate outcome** Example: Improved knowledge about employment policy design		**Outcome** Example: Design of an employment policy	**Impact** Example: More and better jobs
Timeline	1 week?		1 year?	<2 years?

Figure 3: The impact chain underpinning the ITCILO capacity building work

The centre measures capacity development at all four levels of the process. At Level 1 of the impact chain, the main emphasis of the monitoring and evaluation effort is on the verification of customer satisfaction with a given activity along a set of performance criteria, using a scale from 1 to 5 (where 1 denotes low satisfaction and 5 denotes high satisfaction) to qualify performance. The survey is administered online right at the end of the activity. At Level 2 of the impact chain, the focus is on the verification of the new knowledge acquired by participants during training. To verify learning, a knowledge test is administered right at the beginning of the activity and once again right after the treatment has come to an end. Results of Level 1 and 2 assessment exercises are aggregated and monitored at the central level.

At Levels 3 and 4 of the impact chain, the centre relies on annual external and independent evaluations administered at least six months after treatment to validate knowledge application rates and qualify the contribution to more and better jobs. The evaluations follow the standard ILO Evaluation Guidelines.

Example 2: Capacity development through South-South and triangular cooperation supported by the Global Development Solution Exchange, "SSMart for SDGs"

To facilitate the implementation of the 2030 Agenda and accelerate progress in programme countries, UNDP established a system labelled "SSMart for SDGs." It facilitates the provision of and access to knowledge and development solutions through real-time communication among governments and non-state actors seeking expertise, practices and tested approaches to overcome development challenges. The system provides end-to-end services to governmental and non-governmental institutions publicizing their needs and solutions, and aiming to engage in a dialogue and exchanges in thematic areas relevant to their development progress. From community-led development to food security, peacebuilding to climate change, countries are supported to use SSMart as a source of innovative solutions and peer learning.

BOX 3

SSMART for SDGs: Benefits for Partners

- Opportunities to network, both on and offline, bringing solutions proactively to the attention of partners, thus expanding and cultivating a network of relationships and long-term partnerships;

- Support for demand assessment and articulation;

- Support to partners in capturing and showcasing knowledge, solutions and proven technologies, and in matching demand and supply;

- Advisory service on adaptation of solutions, selection of operational modalities, risk assessment, monitoring and evaluation, as well as impact assessment;

- Reporting and appraisal frameworks with access to data, allowing independent experts/institutions to assess efficiency, impact and sustainability;

- Opportunity to improve management of South-South cooperation initiatives with capacity-development support; and

- Opportunity to connect with a community of passionate investors with potential for seed funding.

5. TOOLS AND RESOURCES

By 2021, coherent policies across economic, social and environmental policy areas are developed and implemented through inclusive and effective governance institution

CAPACITY LEVEL	CAPACITY TYPE	INTERVENTION TYPE, GEOGRAPHY OF BENEFICIARIES	INTERVENTION OBJECTIVE	CAPACITY ISSUES TO ADDRESS AND MEASURE	INDICATORS*	MEASUREMENT TOOLS/MEANS OF VERIFICATION
INDIVIDUAL	Hard, technical	Training in policy coherence for sustainable development analysis/national level government and stakeholder entities	Develop capacity to identify inter-linkages between economic, social and environmental policy areas	Performance	1. Number of trained staff achieving training, specific learning targets *(what?)* 2. Peer-reviewed policy analysis produced for publication *(how well?)* 3. Individual learning plans developed *(process)* 4. Human rights incorporated in training *(cross-cutting human rights)*	• Skills tests before and after intervention • Peer reviews • Human resources tools • Training materials
CAPACITY LEVEL	CAPACITY TYPE	INTERVENTION TYPE, GEOGRAPHY OF BENEFICIARIES	INTERVENTION OBJECTIVE	CAPACITY ISSUES TO ADDRESS AND MEASURE	INDICATORS*	MEASUREMENT TOOLS/MEANS OF VERIFICATION
ORGANIZATIONAL	Soft, functional	Advice on effective management approaches/regional level government and stakeholder entities	Maintain and expand effective policy coherence practices	Stability	1. Existence of standard operating procedures for effective policy consultations with stakeholders *(what?)* 2. Staff turnover/satisfaction rates *(how well?)* 3. Fair competence-based recruitment processes set up *(process)* 4. Environmental sustainability plan for the organization developed and implemented *(cross-cutting environment)*	• Stakeholder annual reports/project progress reports • Staff turnover data/satisfaction surveys • Human resources reports

CAPACITY LEVEL	CAPACITY TYPE	INTERVENTION TYPE, GEOGRAPHY OF BENEFICIARIES	INTERVENTION OBJECTIVE	CAPACITY ISSUES TO ADDRESS AND MEASURE	INDICATORS*	MEASUREMENT TOOLS/MEANS OF VERIFICATION
ENABLING ENVIRONMENT	Hard, functional	Training in negotiation modalities and techniques/local level stakeholder organizations	Develop stakeholders' capacity to effectively participate in policy processes	Adaptability	1. Existence of processes and institutions for policy consultation among stakeholders *(what?)* 2. (Number of) national policies that include stakeholder positions *(how well?)* 3. Level of national budget devoted to consultations with non-government stakeholders *(process)* 4. Participants in policy consultation processes disaggregated by sex *(cross-cutting gender)*	• Stakeholder annual reports • Regular follow-up and analysis on negotiation objectives and results • Surveys with policy institutions

UNCT's may also find it useful to use the Gender Equality Capacity Assessment Tool to make sure that capacity assessments take gender equality dynamics into account.

RECOMMENDED BACKGROUND READING

United Nations Economic and Social Council (ECOSOC)

Quadrennial Comprehensive Policy Review (2017-2020) A/C.2/71/L.37

"ECOSOC Dialogue on the Longer-term Positioning of the UN Development System Background Paper on Capacity, Impact and Partnerships" (2015, revised draft, 13 May)

"ECOSOC Dialogue on the Longer-term Positioning of the UN Development System in the Context of the Post-2015 Development Agenda – Workshop 4 – Capacity and impact & partnership approaches" (25 May 2015)

FAO (Food and Agriculture Organization)

Capacity Development Now – FAO's Approach to Sustainability

Corporate Strategy on Capacity Development

Corporate Strategy on Capacity Development (2010, PC 104/3/E, Programme Committee, Hundred and Fourth Session, 25-29 October)

Evaluation of FAO's Activities on Capacity Development in Africa (2010, PC 104/5/E, Programme Committee, Hundred and Fourth Session, 25-29 October)

FAO Learning Module 3 on Good Learning Practices for Effective Capacity Development (2012)

FAO Learning Module 4 on Organizational Analysis and Development (2013)

Capacity Development for Climate Smart Agriculture in Climate Smart Agriculture Sourcebook (2013)

Food Security Commitment and Capacity Profile (2014)
FAO's Approaches to Capacity Development in Programming: Processes and Tools (2015)
FAO Learning Module 1 Enhancing FAO's Practices for Supporting Capacity Development of Member Countries (2015)

Estimating the Contribution of FAO's Capacity Development Interventions at Country Level

United Nations Development Group (UNDG)
- UNDG Capacity Assessment Methodology – User Guide for National Capacity Development (2008)
- United Nations Development Group – Capacity Assessment Methodology (2009)
- United Nations Development System – A Collective Approach to Supporting Capacity Development (2009)
- Technical Brief on Programming Principles (2009)
- "UNDG Perspectives on Capacity, Impact and Partnership Approaches" (2015, ECOSOC Dialogue on the Longer-term Positioning of the UN Development System)

United Nations Development Programme (UNDP)
- Capacity Development (1997, Technical Advisory Paper No. 2, Management Development and Governance Division, Bureau for Policy Development)
- Capacity Assessment and Development in a Systems and Strategic Management Context (1998, Technical Advisory Paper No. 3, Bureau for Development Policy)
- Capacity Assessment Practice Note (2008)
- Capacity Development Practice Note (2008)
- Supporting Capacity Development – The UNDP Approach (2009, Bureau for Development Policy)
- Capacity Development: A UNDP Primer (2009)
- Measuring Capacity (2010, Capacity Development Group, Bureau for Development Policy)
- Evaluation of UNDP Contribution to Strengthening National Capacities (2010)

United Nations Economic Commission for Africa (UNECA)
- Capacity Development Strategy (2014)
- United Nations Educational, Scientific and Cultural Organization (UNESCO)
- Towards Effective Capacity Development – Capacity Assessment Needs Methodology (CAPNAM) for Planning and Managing Education (2013)

United Nations Population Fund (UNFPA)
- Capacity Development Matters – A Practical Guide (2011)

United Nations Children's Fund (UNICEF)
- The Approach of UNICEF to Capacity Development (2010, E/ICEF/2010/CRP.20, UNICEF Executive Board Second Regular Session, 3 August)
- The Approach of UNICEF to Capacity Development (2010, informal session of the UNICEF Executive Board, 21 October)

United Nations Development Fund for Women (UNIFEM)
- Capacity Development for Promoting Gender Equality in the Aid Effectiveness Agenda – Lessons from Sub-Regional Consultations in Africa (2007, UNIFEM Discussion Paper)

World Food Programme (WFP)
- Evaluation of WFP's Capacity Development Policy and Operations (2008, OEDE/2008/3, Office of Evaluation)
- WFP Policy on Capacity Development – An Update on Implementation (2009, WFP/EB.2/2009/4-B, WFP, 5 October)
- Capacity Gaps and Needs Assessment in Support of Projects to Strengthen National Capacity to End Hunger (2014, Complementary Guidelines: Series #1)
- National Capacity Index (NCI) – Measuring Change in Capacity for Hunger Governance in Support of Projects to Strengthen National Capacity to End Hunger (2014, Complementary Guidelines: Series #2)

World Health Organization (WHO)
- Everybody business: strengthening health systems to improve health outcomes: WHO's framework for action (2007)

Other Sources
- J. Armstrong, 2013, Improving International Capacity Development – Bright Spots, Palgrave MacMillan.
- A. Bester, 2015, "QPCR2016 – Study on Capacity Development."

- N. Boesen and O. Therkildsen, 2004, Between Naivety and Cynicism: A Pragmatic Approach to Donor Support for Public-Sector Capacity Development. Ministry of Foreign Affairs, Danida (Danish International Development Agency).
- ECDPM (European Centre for Development Policy Management), 2011, Bringing the invisible into perspective – reference document for using the 5Cs framework to plan, monitor and evaluate capacity and results of capacity development processes, ECDPM Maastricht, the Netherlands.
- H. Greijn, V. Hauck, T. Land and J. Ubels, eds., 2015, Capacity Development Beyond Aid, SNV Netherlands Development Organization, ECDPM.
- M. S. Grindle and M. E. Hilderbrand, 1995, "Building sustainable capacity in the public sector: what can be done?" Public Administration and Development 15, pp. 441-463.
- Y. Mizrahi, 2003, Capacity Enhancement Indicators: Review of the Literature, WBI Evaluation Studies No. EG03-72, World Bank Institute.
- P. Morgan, 1997, The Design and Use of Capacity Development Indicators, CIDA (Canadian International Development Agency).
- N. Simister and R. Smith, 2010, Monitoring and Evaluating Capacity Building: Is It Really That Difficult? Praxis Paper 23, INTRAC (International NGO Training and Research Centre).
- J. Ubels, N. Acquaye-Baddoo and A. Fowler, 2010, Capacity Development in Practice, SNV Netherlands Development Organization, Earthscan.
- D. Watson, 2006, Monitoring and evaluation of capacity and capacity development. ECDPM (European Centre for Development Policy Management).

The United Nations Development Group (UNDG) unites
the 31 UN funds, programmes, specialized agencies,
departments, and offices that play a role in development.
Since 2008, the UNDG has been one of the three pillars
of the UN System Chief Executives Board for Coordination,
the highest-level coordination forum of the United
Nations system.

At the regional level, six Regional UNDG Teams play
a critical role in driving UNDG priorities by supporting UN
Country Teams with strategic priority setting,
analysis and advice.

At the country level, 131 UN Country Teams serving 165
countries and territories work together to increase the
synergies and joint impact of the UN system.

The Development Operations Coordination Office (DOCO) is
the secretariat of the UNDG, bringing together the
UN development system to promote change and innovation
to deliver together on sustainable development.