

Nutrition Capacity Assessment  
Guidance Package - Part II

# Tools and Resources

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## Overview of the tools and resources

This section of the guidance package contains selected tools and resources to support a capacity assessment (CA) process in nutrition. The tools are available to support stakeholder dialogue and participation throughout the various CA processes. The tools are relevant for planning, diagnostic, analysis and capacity development (CD) design. The tools are generic and should therefore be adapted to country context before use. It is also important to note that not all tools provided will be necessary for application in all CAs.

This section of the guidance package should be used alongside Chapter 4 of the guidance note, which outlines the capacity assessment process. The guidance package indicates the most relevant tool for use during each of the three phases of the CA, from preparations, to execution, and lastly to the design of a capacity development response. See below the list of tools and resources described within this document.

## List of tools & resources

Capacity Assessment Phases	Tool and resource
<b>Preparatory</b>	<ul style="list-style-type: none"> <li>- Checklist for capacity areas to be considered by CA</li> <li>- Stakeholder roles in CA support</li> <li>- Stakeholder interest and power mapping</li> <li>- Stakeholder mapping</li> </ul>
<b>Execution</b>	<ul style="list-style-type: none"> <li>- Stakeholder analysis</li> <li>- Policy and strategy overview</li> <li>- Programme overview</li> <li>- Data analysis sheet</li> </ul>
<b>Formulation of CD response</b>	<ul style="list-style-type: none"> <li>- Capacity focused problem tree</li> <li>- M&amp;E plan template</li> </ul>

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## Tool 1: Checklist for Capacity Areas to be covered by the Capacity Assessment

**Purpose:** Aims to guide the selection of capacity areas and themes to be considered when defining the scope of the capacity assessment.

**Directions:** The checklist is already populated with the four capacity areas and their accompanying themes (see Guidance Note Table 3-1). Stakeholders should go through this checklist and indicate capacity areas or thematic areas that should be (i) covered by a capacity assessment, (ii) covered in detail, (iii) not to be covered at all.

*Tip: The decision for items not to be covered should be supplemented with notes referencing specific reasons for the decision as well as previous work conducted in this area (if relevant).*

Capacity area	Theme	Covers	Covers in detail	Does not cover	Notes
<b>Policies, Programmes and Frameworks</b>	Political commitments				
	Focused policies/strategies, plans				
	Supportive operational plans, programmes and protocols for implementation				
<b>Resources and Infrastructure</b>	Adequately skilled human resources at all levels				
	Resource mobilisation at central level and budget provision at sub-national level				
	Infrastructure				
<b>Coordination and Partnerships</b>	Coordination of nutrition actions at all levels				
	Partnerships, collaborations and alliances				
<b>Evidence-Based Decision-making</b>	Information systems and M&E				
	Effective reporting and dissemination				
<b>Other</b>					

Adapted from Europe Aid, Toolkit for Capacity Development 2010, Reference Document no. 6, Tools and Methods Series', European Commission, 2011.

## Tool 2: Roles in CA Support Process

**Purpose:** Aims to support stakeholder dialogue in assigning appropriate roles and dividing work streams throughout the CA process. The objective is to ensure that national ownership in the CA process is adequately respected, maintained and developed collaboratively to strengthen CD.

**Directions:** The tool is populated with possible tasks for each of the CA stages for consideration. Review these tasks and customise to the capacity assessment context. Indicate the main tasks to be assumed by each key actor involved in a CA within the columns. Add additional columns for other key actors (as necessary, based on country context). For each partner, also indicate who takes the lead role (the lead can be indicated with an asterisk or with a different colour). For each assigned role and responsibility, make a note of its effects on (i) commitment and sustainability, (ii) task efficiency and effectiveness.

## Roles in CA Support Process

Task/Role	Government	UN	Donors	CSOs	Academia	Business	Others	Effects on commitment and sustainability	Effects on task efficiency and effectiveness
<b>Preparatory Phase</b>									
Provide political leadership									
Define purpose and objectives									
Identify key informants									
Define the scope of the CA									
Mobilise resources for the CA									
Develop the TOR for CA									
Develop TOR & contracting consultants									
Organise inception meeting									
Decide on appropriate CA timing									
Define methodology and tools									
Approve the tools									
Identify CA team									
Mobilise stakeholders and key informants									
<b>Assessment Phase</b>									
Approve the tools									
Mobilise stakeholders and key informants									
Decide areas to be sampled for the study									
Provide logistical support									

Organise validation workshop									
Disseminate results of CA									
Provide management and oversight									
<b>CD Design and Approval</b>									
Define the CD agenda									
Perform costing and M&E									
Disseminate results of CD plan									
Consult/build consensus									
Approve final report									
<b>Integration</b>									
Advocate for integration into the political agenda									
Advocate for integration into agencies funding agenda									
Ensure public commitments									

*Adapted from Europe Aid, 'Toolkit for Capacity Development March 2009,' Reference Document no.6, Tools and Methods Series, European Commission.*

### Tool 3: Institutional & Political Economy Context Analysis

**Purpose:** Aims to enhance the practicality and pertinence of CD ambitions and actions by scanning significant cross-sectoral factors, mostly linked to wider political economy factors that are likely to enable and/or constrain the capacity and performance of organisations.

**Directions:** The matrix is framed as a checklist to assess typical institutional and political economy factors across sectors that may influence the prospects of a successful CD within any sector. It is a flexible tool, as additional factors can be added as necessary. Checklist scores which are higher than average (above 3) indicate contexts that are less conducive to sector reform and CD. The tool can be applied during the political context analysis in the execution phase of the CA (Phase 2).

	Capacity Area	1 = Fully agree	2 = Agree	3 = Disagree	4 = Strongly disagree	Implications for CD
<b>A</b>	<b>Wider context influencing policy making</b>					
A1	Policies are normally endorsed by Cabinet					
A2	Policies are normally endorsed by Parliament					
A3	Policies are normally endorsed by the Ministry of Finance					
A4	Political parties are driven by policy positions					
A5	Formal policies are guiding actions of Ministers					
A6	Policy failures have political consequences					
A7	Compliance with policies and laws is high					
<b>B</b>	<b>Resources, budget allocation mechanisms and public financial management</b>					
B1	The budget process is policy driven					
B2	The budget is largely executed as planned					
B3	The budget envelope balances salaries and recurrent costs					
B4	The budget envelope matches final plans					
B5	Funds are made available on a timely basis					
B6	Transfers and allocations are transparent					
<b>C</b>	<b>Factors influencing organisational capacity</b>					
C1	Material incentives linked to performance in the public sector are reasonable					
C2	Non-material incentives are reasonable					
C3	Staff strength and competencies match policy ambitions					
C4	Public sector employment is not limited to patronage					
C5	Effective civil service reform addresses performance constraints					
C6	A performance culture is generally present					

C7	Frontline service providers have the means and relevant autonomy to deliver					
C8	Leadership practices stimulate staff to perform and take initiatives					
D	Networking and relations to critical stakeholders, including development partners					
D1	There is a broad tradition for formal and informal consultations with stakeholders					
D2	Public sector stakeholders cooperate easily with one another					
D3	Staff can network across organisation boundaries, when relevant					
E	Wider framework for accountability and monitoring					
E1	Parliamentary oversight is effective					
E2	Monitoring is of reasonable quality and used for decision-making					
E3	Monitoring data are publicly available					
E4	Civil society is engaged in monitoring					
E5	User groups have voice					
E6	Public institutions are sensitive to complaints					

Adapted from Europe Aid, 'Toolkit for Capacity Development March 2009', Reference Document no.6, Tools and Methods Series, European Commission.

#### Tool 4: Stakeholder Mapping

**Purpose:** Aims at enhancing the understanding of *who* is doing *what* among the key stakeholders relevant to the capacity issue being assessed.

**Directions:** Make a list of all key stakeholders. For each, identify the key functions, a summary of their activities, and the geographic areas that they support.

Stakeholder	Main function (e.g. implementation, policy/ regulation, coordination, research, funding, technical assistance)	Main activities of focus areas (brief description)	Geographic areas covered

Adapted from the WHO landscape analysis of countries readiness to accelerate action in nutrition.

## Tool 5: Stakeholder Analysis

**Purpose:** Aims to analyse the key stakeholders' likely support for and resistance to CA and/or potential CD changes.

**Directions:** List the possible stakeholders in a capacity development area as determined by the scope of the assessment (see indicative examples in the template). Stakeholders can be organisations (e.g. Ministry of Finance, farmer associations) but can extend to relevant individuals/positions or small groups (e.g. Vice President, SUN Focal Point, Multi-stakeholder Platform).

- **Interests pursued:** Tries to assess interests pursued by the stakeholders and aims the actors are trying to achieve in the nutrition CD change. This may include conflict of interest (i.e. both positive and negative).
- **Resources/Power to influence:** Resources for influencing may include relative power of the stakeholder to influence change through formal authority, rights or access or informal networks and alliances.
- **Importance of the issue:** Refers to the interest of the outcomes to stakeholders. For example, if they assign higher or lower importance to the issue.
- Regarding the **Summary Score**, high scores both for and against reform, would likely indicate high levels of conflict/controversy and provides information of which stakeholders to engage for support to the capacity assessment and envisaged capacity development change.

Stakeholders by categories (Examples)	Interests pursued Supportive = +1 Neutral = 0 Opposing = -1	Resources/Power to influence High = 3 Medium = 2 Low = 1	Importance of the issue High = 3 Medium = 2 Low = 1	Summary Score Max = 9 (High power and high interest) Min = -9 (High power but no interest)
The Cabinet and top echelons				
The Judiciary				
Parliament/Parliamentary committees				
Finance, Planning, cross-cutting entities				
Senior government officials				
Local authorities				
Traditional authorities				
CSOs				
Academia				
UN agencies				
Development partners				
Private sector				
Media				

*Adapted from Europe Aid, 'Toolkit for Capacity Development March 2009', Reference Document no.6, Tools and Methods Series, European Commission.*



## Tool 7: Programme Overview

**Purpose:** Aims to provide an overview of the existing nutrition programmes.

**Directions:** List the main nutrition programmes and for each, indicate the challenges they address, their geographic coverage, and provide a brief programme summary. Any information gaps can be completed during the stakeholder interviews, if information is not available during the desk review.

Programme	Main nutrition challenges addressed by the programme	Geographic coverage	Programme summary		
			Implementing agency	Nutrition actions being implemented	Target group(s)

*Adapted from the WHO landscape analysis of countries readiness to accelerate action in nutrition.*

## Resource 1: Data Analysis Sheet

This sheet provides an example on how the data analysis can be organized. The capacity assessment team can organize the data analysis in a way that best fits the capacity assessment objectives and scope. For example, if the assessment covers several sectors, the answers to some of the questions and levels of capacity may differ from one sector to the next. In such cases, it could be relevant to disaggregate the data by sector. Similarly, certain capacity issues may be more relevant for certain stakeholders or organizations, in which case it can be important to highlight them in the analysis.

Following the discussions of the strengths and weaknesses for each capacity indicator, the CA team will agree on the level to which each of the capacities has been developed by assigning a score of 1-5, where 1=least developed and 5=highest developed capacity.

Indicators	Questions for group discussion	Strengths	Weaknesses	Level of capacity (1-5) 1=least; 5=highest developed
<b>1. Policies, Programmes and Frameworks</b>				
<b>1.1 Political commitments</b>				
Commitments to global development agenda (e.g. Second International Conference on Nutrition (ICN2), World Health Assembly (WHA), UN Sustainable Development Goals (SDGs), Convention of the Rights of the Child, International Covenant on Economic, Social, and Cultural Rights (ICESCR), Convention to Eliminate Discrimination against Women (CEDAW), Right to Food, Right to Health)	<ul style="list-style-type: none"> <li>→ Is the country a signatory of major international conventions or declarations of relevance to nutrition?</li> <li>→ Do stakeholders mention using SDGs or any of the above conventions to promote nutrition? (This indicates that they see nutrition as part of the bigger human right and part of the bigger development agenda)</li> <li>→ Is there political will to address the needs of the most vulnerable?</li> </ul>			
Nutrition is part of the Poverty Reduction Strategic Plan/National Development Plan	<ul style="list-style-type: none"> <li>→ How is nutrition positioned in the national development strategy?</li> <li>→ Has nutrition been integrated into the national development framework?</li> <li>→ Are development strategies such as the Poverty Reduction Strategic Plan mentioned as important documents for nutrition?</li> <li>→ Has nutrition been integrated into the national development framework at the national and sub-national level?</li> </ul>			

Indicators	Questions for group discussion	Strengths	Weaknesses	Level of capacity (1-5) 1=least; 5=highest developed
Public statements by senior politicians and high-level stakeholders in support of nutrition	<ul style="list-style-type: none"> <li>→ Are there examples of recent statements or actions in support of improving nutrition by high level decision makers in the country?</li> <li>→ Have national leaders participated recently at international events where resolutions or declarations have been made about nutrition (e.g. International summits, World Health Assembly, SUN Global Gathering)?</li> <li>→ Is malnutrition recognized as both a cause and a consequence of poverty?</li> </ul>			
Willingness of stakeholders to contribute to scaling-up nutrition	<ul style="list-style-type: none"> <li>→ What are perceived barriers and challenges to scaling up nutrition and what are the stakeholders' suggestions of how they can be overcome?</li> <li>→ What commitments (i.e. kinds of support) are stakeholders ready to make to scale up nutrition actions?</li> </ul>			
<b>1.2 Focused policies/strategies, plans</b>				
Existence of evidence-based multi-sectoral and sectoral policies and plans at central level	<ul style="list-style-type: none"> <li>→ What policies and strategies relevant to nutrition does the country have?</li> <li>→ Do these policies/strategies have operational plans with a budget where nutrition is included?</li> <li>→ Do the policies and strategies clearly define nutrition objectives and priorities? Nutrition goals and targets?</li> <li>→ Do the policies and strategies include evidence based prioritized actions? Are they targeting the window of opportunity from conception to two years?</li> <li>→ Do stakeholders think existing policies and strategies adequately address the nutrition problems that the country faces and their causes?</li> <li>→ How do stakeholders incorporate nutrition into their own policies and plans?</li> </ul>			

Indicators	Questions for group discussion	Strengths	Weaknesses	Level of capacity (1-5) 1=least; 5=highest developed
Nutrition is integrated into relevant sub-national policies and strategies	<ul style="list-style-type: none"> <li>→ Is nutrition integrated into sub-national policies &amp; strategies?</li> <li>→ Do these policies/strategies have operational plans with a budget where nutrition is included?</li> <li>→ Do they address the main nutrition problems and causes in the local area?</li> <li>→ Do the policies and strategies include evidence based prioritized actions? Are they targeting the window of opportunity from conception to two years?</li> <li>→ Do stakeholders think existing policies and strategies adequately address the nutrition problems that the country faces and their causes?</li> <li>→ How do stakeholders incorporate nutrition into their own policies and plans?</li> </ul>			
Adequate regulatory framework in place, monitored and enforced (e.g. food fortification regulations, International Code of Marketing Breast Milk Substitutes, maternity protection, tax laws)	<ul style="list-style-type: none"> <li>→ What legislation exists regarding nutrition?</li> <li>→ How is the legislation enacted and enforced?</li> <li>→ Does the legislation reveal any contradictions or areas of overlap in responsibilities for activities?</li> <li>→ Are there clear mandates among the different ministries/departments involved in the development and administration of legislation relevant to nutrition?</li> </ul>			
Existence of institutional processes and procedures for policy development and planning that engage broader stakeholder participation (e.g. CSO and private sector)	<ul style="list-style-type: none"> <li>→ Are there clear processes and procedures to develop and implement nutrition-related policies?</li> <li>→ Do they define a clear mandate among different ministries/departments and other stakeholders?</li> <li>→ How are different sectors involved in multi-sectoral policy processes?</li> <li>→ Do stakeholders including CSOs, NGOs, business, and UN mention that they participate in the policy processes?</li> <li>→ Are there adequate skills to respond to needs at the policy level (multi-sectoral and sectoral)?</li> </ul>			

Indicators	Questions for group discussion	Strengths	Weaknesses	Level of capacity (1-5) 1=least; 5=highest developed
Awareness of and commitments to existing legislation and policy frameworks among key actors at all levels (e.g. government, CSO, private sector)	<ul style="list-style-type: none"> <li>→ Are stakeholders aware of national nutrition policies, strategies and action plans?</li> <li>→ To what extent are existing nutrition policies and regulations accessible (e.g. printed format) and easy to understand?</li> <li>→ To what extent are CSOs, private sector, service delivery organizations knowledgeable about these policies and legislations?</li> <li>→ How do stakeholders use or contribute to the implementation of national nutrition policies, strategies and action plans?</li> </ul>			
<b>1.3 Supportive operational plans, programmes and protocols for implementation</b>				
Existence of operational plans and programmes with budgets to support nutrition activities (national and sub-national)	<ul style="list-style-type: none"> <li>→ Do operational plans with a budget where nutrition is included exist? How well is nutrition integrated into sector plans and programmes?</li> <li>→ Are current nutrition plans/programmes aligned with national nutrition priorities?</li> <li>→ Are evidence based actions being implemented? Are they targeted at the window of opportunity from conception to two years of age?</li> <li>→ What is the coverage of nutrition actions? Where are opportunities for scaling up?</li> <li>→ What is the linkage between the plans/programmes and on-going operational research?</li> </ul>			
Availability and adherence to guidance, protocols and procedures for use in service delivery (e.g. dietary guidelines)	<ul style="list-style-type: none"> <li>→ Have relevant protocols and/or guidelines been developed to support service delivery?</li> <li>→ Have these protocols and guidelines been updated and are available to the relevant users?</li> <li>→ Are the sub-national level workers aware of these guidelines and protocols?</li> </ul>			

Indicators	Questions for group discussion	Strengths	Weaknesses	Level of capacity (1-5) 1=least; 5=highest developed
Evidence of clear roles and responsibilities of implementation	<ul style="list-style-type: none"> <li>→ Is there a clear allocation of roles and responsibilities for implementing nutrition activities and programmes (e.g. Ministries/Departments, CSO, private sector at national and sub-national level)?</li> <li>→ Do those responsible for nutrition activities have relevant training in nutrition and programme management?</li> <li>→ Are NGOs contracted by government partners to implement nutrition actions?</li> <li>→ Are stakeholders satisfied with the programmes being implemented at present? What are the areas mentioned as needing improvement?</li> </ul>			
Distribution and quality of service delivery facilities (e.g. hospitals, schools)	<ul style="list-style-type: none"> <li>→ What is the coverage of service delivery facilities (e.g. schools and health facilities)?</li> <li>→ How are they distributed especially to areas with highest need?</li> </ul>			
Availability of relevant supplies for service delivery (e.g. drugs, seeds)	<ul style="list-style-type: none"> <li>→ Are essential supplies and inputs (e.g. seeds) available for actions that are being implemented?</li> <li>→ Are the inputs (e.g. seeds) of good quality and in good working order?</li> </ul>			
Coverage and access by most excluded/vulnerable populations	<ul style="list-style-type: none"> <li>→ Are the services reaching the most excluded/vulnerable populations?</li> <li>→ What are the major challenges for these groups to access the facilities?</li> </ul>			
<b>2. Resources &amp; Infrastructure</b>				
<b>2.1 Adequately skilled human resources at all levels</b>				
Adequacy of pre-service and in-service trainings that include nutrition, gender and other relevant diversity factors in curricula (e.g. health	<ul style="list-style-type: none"> <li>→ Which trainings are being offered in nutrition? Are these trainings relevant to the country context?</li> <li>→ Are trainings accessible to all relevant stakeholders?</li> <li>→ How is the effectiveness of trainings monitored or evaluated?</li> </ul>			

Indicators	Questions for group discussion	Strengths	Weaknesses	Level of capacity (1-5) 1=least; 5=highest developed
workers, agriculture extension workers, teachers)				
Availability of adequate skills to support expansion of services	<p>→ Is there at any level a large number of staff that could be mobilized to support scaling up nutrition actions? Do NGOs have many staff members trained in nutrition?</p> <p>→ What ideas have been mentioned for obtaining additional trained staff for expansion of services?</p>			
Existence of motivated human resource (e.g. promotion, benefits and performance-based incentives)	<p>→ Do staff have the confidence to implement evidence-informed nutrition actions?</p> <p>→ Over the last 12 months, to what extent has the agency experienced turnover of competent staff? What are the contributing factors?</p> <p>→ Do they include any of these: recruitment, promotion, staffing, supervision, personnel evaluation, salary etc.?</p> <p>→ How have the same factors contributed to staff retention?</p>			
Existence and distribution of skilled staff to cover different levels of administrations and service delivery in hard to reach areas	<p>→ What are the main challenges mentioned by staff in implementing nutrition actions and programmes?</p> <p>→ What proportion of staff working full or part time have the relevant qualifications in nutrition?</p> <p>→ Who is providing nutrition services to the beneficiaries? Do they have the relevant training?</p> <p>→ Do staff have the correct knowledge about evidence informed nutrition interventions?</p> <p>→ Do they have the relevant functional skills to deliver on their functions?</p> <p>→ Do stakeholders perceive that there are enough staff at all levels?</p> <p>→ Is staff distribution evenly distributed in all geographical areas and at all levels?</p>			

Indicators	Questions for group discussion	Strengths	Weaknesses	Level of capacity (1-5) 1=least; 5=highest developed
Existence of staff development plans, including training opportunities for functional and technical capacities	<ul style="list-style-type: none"> <li>→ Does the organization have a staff development programme to improve skills at various levels?</li> <li>→ Which trainings are being offered in nutrition? Are these trainings relevant to the country context?</li> <li>→ Are the trainings accessible to all relevant stakeholders?</li> <li>→ How often over the last 12 months have staff members in public institutions been trained? To what extent was such training relevant to staff needs?</li> <li>→ Are training materials used relevant, up-to-date and available in local languages?</li> <li>→ How are these trainings monitored and evaluated for effectiveness?</li> </ul>			
Existence of clear HR management, supervision and reporting structure	<ul style="list-style-type: none"> <li>→ Is there a clearly defined reporting and supervision structure?</li> <li>→ Do managers at the central level have relevant management skills as well as tertiary qualifications/ working knowledge in nutrition?</li> <li>→ Are supervisory manuals regarding nutrition programmes relevant and up-to-date?</li> <li>→ Does the agency have written job descriptions for functions and responsibilities of their staff?</li> <li>→ Are staff satisfied with support received? Is feedback received felt to be useful?</li> <li>→ Do staff feel that they have adequate time to carry out their functions?</li> </ul>			
Clear organizational structure that provides prominence to nutrition	<ul style="list-style-type: none"> <li>→ In which department is nutrition placed within the Ministry organogram?</li> <li>→ Does this location provide adequate visibility to nutrition?</li> <li>→ Is nutrition seen as one of the core or important functions of the organization?</li> <li>→ Does it receive due attention from the decision-makers?</li> </ul>			

Indicators	Questions for group discussion	Strengths	Weaknesses	Level of capacity (1-5) 1=least; 5=highest developed
<b>2.2 Resource mobilization at central level and budget provision at sub-national level</b>				
Trends in amount of resources going towards nutrition	<ul style="list-style-type: none"> <li>→ What commitments have been made to increase investments in nutrition?</li> <li>→ Are the trends in total and proportional budgets for nutrition increasing or decreasing?</li> </ul>			
Proportion of total budget going to nutrition (e.g. in a sector)	<ul style="list-style-type: none"> <li>→ What is the proportion of the sector budget going towards nutrition related programmes and activities?</li> <li>→ Is there a clear budget breakdown between government and donor funds?</li> </ul>			
Share of resources from external assistance that goes to nutrition	<ul style="list-style-type: none"> <li>→ What are the main sources of external funding? Are activities funded by the UN and bilateral agencies or NGOs?</li> <li>→ What are the flows of funds for nutrition? Who are the main donors and who are the main recipients?</li> <li>→ What types of activities do donors tend to fund? Is funding secured for evidence-based nutrition actions? Are donor funds supporting implementation of national policies, strategies or action plans?</li> </ul>			
Availability of adequate financial resources to implement nutrition actions	<ul style="list-style-type: none"> <li>→ What financial resources exist for nutrition? How are these resources distributed among government sectors and other partners, including NGOs?</li> <li>→ Is funding secured for the nutrition activities included in the current plans (national and sub-national)? Are they evidence informed actions?</li> <li>→ What is the importance given to nutrition as expressed through the budget allocations and share of total government sector or agency budgets?</li> <li>→ What are the major funding gaps?</li> </ul>			
Existence of a budget line for nutrition covered by government and partners at the national and sub-national level	<ul style="list-style-type: none"> <li>→ Are there budget lines for nutrition? If not how are nutrition actions funded at national and sub-national level?</li> </ul>			

Indicators	Questions for group discussion	Strengths	Weaknesses	Level of capacity (1-5) 1=least; 5=highest developed
Existence of a mechanism to track budget allocation and expenditures	<ul style="list-style-type: none"> <li>→ How are expenditures in nutrition tracked?</li> <li>→ How are organizations made to account for the funds received for nutrition?</li> </ul>			
Evidence of innovative means of increasing funding where funds are insufficient (national and sub-national)	<ul style="list-style-type: none"> <li>→ How are resources for nutrition actions mobilized?</li> <li>→ Do stakeholders have concrete and innovative ways of increasing funding for nutrition?</li> <li>→ Are stakeholders using relevant evidence and investment cases (e.g. Cost of Hunger and PROFILES) to increase investments in nutrition?</li> </ul>			
<b>2.3 Infrastructure</b>				
Evidence that staff are adequately equipped to perform their duties (e.g. computer, telephone, equipment, transport)	<ul style="list-style-type: none"> <li>→ Do relevant staff have access to relevant job aides such as telephone, computer, internet services, and transport?</li> <li>→ Do staff have the relevant skills to utilize these services and technologies?</li> <li>→ If not, how are functions that need these services fulfilled, especially at the sub-national level?</li> <li>→ Are the current arrangements adequate? If not, what are the major constraints faced by staff in service delivery?</li> </ul>			
<b>3. Coordination and Partnerships</b>				
<b>3.1 Coordination of nutrition actions at all levels</b>				
Existence of an institutional set-up to coordinate multi-sectoral nutrition actions with relevant stakeholders at all levels (e.g. multi-stakeholder platforms)	<ul style="list-style-type: none"> <li>→ Has a coordination architecture for nutrition been defined at national and sub-national level?</li> <li>→ In what form is the architecture institutionalized? Through a legal framework, policy or other?</li> <li>→ Does the architecture have terms of references that define roles and responsibilities, reporting lines and accountabilities, membership and hosting arrangements at the different levels (high, technical and sub-national level)?</li> </ul>			

Indicators	Questions for group discussion	Strengths	Weaknesses	Level of capacity (1-5) 1=least; 5=highest developed
	<ul style="list-style-type: none"> <li>→ Does the hosting agency have the authority to convene relevant sectors and stakeholders?</li> <li>→ Does it define and mandate any agency to take on secretariat functions to support coordination?</li> <li>→ What are the stakeholders' opinions about the strengths and weaknesses of the current structure?</li> </ul>			
Evidence that there is coordination around nutrition at sector level	<ul style="list-style-type: none"> <li>→ What is the existing coordination mechanism in each sector (high level, technical, and sub-national)?</li> <li>→ Do these coordination mechanisms include nutrition as an agenda item? If not, is there a specific coordination mechanism for nutrition within the sector?</li> <li>→ How do the sector mechanisms link with the multi-sectoral mechanisms? What type of information flows exists between these two levels and through what modalities?</li> <li>→ Is nutrition tabled in the highest coordination mechanism in the sectors?</li> <li>→ How is nutrition coordinated within existing departments/division in the sectors?</li> </ul>			
Evidence that coordination mechanisms are functional, strategic and effective	<ul style="list-style-type: none"> <li>→ Are there concrete examples of decisions made by the coordination mechanism that are being implemented?</li> <li>→ Is there a specific budget to support stakeholder engagement?</li> <li>→ How often do the coordination mechanisms meet?</li> <li>→ Do they have specific agenda items for discussion when they meet?</li> <li>→ Are the minutes of the meeting documented and filed for future reference?</li> </ul>			
Adequate representation and participation in relevant nutrition coordination meetings at all levels	<ul style="list-style-type: none"> <li>→ What is the awareness and views of stakeholders about existing coordination mechanism on nutrition? Do they focus on the main nutrition problems and causes in the country?</li> </ul>			

Indicators	Questions for group discussion	Strengths	Weaknesses	Level of capacity (1-5) 1=least; 5=highest developed
	<ul style="list-style-type: none"> <li>→ What sectors and partners are participating in the nutrition coordination mechanism? Are all concerned sectors and partners involved? If not, what are the reasons for not participating?</li> <li>→ Are there any procedures in place to guide stakeholder engagement (e.g. conflict of interest)?</li> <li>→ Does each sector and stakeholder group have a designated focal point for coordination? Do the focal points have the relevant skills to support coordination?</li> <li>→ Are focal points effectively representing their sectors or stakeholder groups in multi-stakeholder platforms?</li> </ul>			
Adequate government-led secretariat functions supporting multi-sectoral and multi-stakeholder coordination at all levels	<ul style="list-style-type: none"> <li>→ How are the secretariat functions of the coordination mechanism managed?</li> <li>→ Does the secretariat have the relevant competence and skilled personnel to support coordination and follow-up actions?</li> <li>→ Does it have the authority to convene all relevant sectors and stakeholders?</li> </ul>			
Internal stakeholder networks coordination (e.g. government, CSO, UN, academia, donor, business)	<ul style="list-style-type: none"> <li>→ How do stakeholder groups converge and coordinate internally around nutrition?</li> <li>→ Has this arrangement made it possible for the stakeholder group to have one voice in nutrition?</li> <li>→ Does the current arrangement work for the stakeholder group?</li> <li>→ What are the major challenges and constraints?</li> <li>→ What are the stakeholder views about their internal coordination?</li> </ul>			
Mechanisms in place to foster information-sharing between partners (e.g. good practices)	<ul style="list-style-type: none"> <li>→ What are the existing mechanisms for knowledge sharing?</li> <li>→ How are good practices documented and disseminated?</li> <li>→ How are stakeholders brought together to share experiences and knowledge?</li> <li>→ Which organizations are responsible for disseminating the reports?</li> </ul>			

Indicators	Questions for group discussion	Strengths	Weaknesses	Level of capacity (1-5) 1=least; 5=highest developed
Establishment of procedures for preventing and managing conflicts of interest to safeguard public health and nutrition in the engagement with stakeholders	<ul style="list-style-type: none"> <li>→ How are conflict of interests between stakeholder groups handled?</li> <li>→ Are there good examples of how conflict of interest related to nutrition issues has been handled?</li> </ul>			
<b>3.2 Partnerships, collaborations and alliances</b>				
Existence of a culture of formal and informal consultations and collaborative actions	<ul style="list-style-type: none"> <li>→ What are the existing perceptions of working in partnerships and collaborations?</li> <li>→ What are good examples of successful formal and informal partnerships and collaborations?</li> <li>→ Are stakeholders willing to build on good practices to improve collaborations and partnerships?</li> </ul>			
Partnerships, collaborations and alliances developed with key actors (including the media)	<ul style="list-style-type: none"> <li>→ What partnerships/collaborations and alliances have been developed in nutrition?</li> <li>→ What benefits have been mentioned that make the partnerships successful? What are the challenges?</li> <li>→ Are there examples of partnerships between key government actors with media, private sector, NGOs, etc.?</li> <li>→ What are the opportunities to strengthen collaborations and how will the agencies prepare themselves to take on these opportunities?</li> </ul>			
Relevant personnel in place with networking skills to support collaborations and partnership building at all levels	<ul style="list-style-type: none"> <li>→ Is working in partnerships encouraged and rewarded within the agency?</li> <li>→ Do the staff have the relevant networking skills to forge results-oriented partnerships?</li> </ul>			
<b>4. Evidence-Based Decision-Making</b>				
<b>4.1 Information systems and M&amp;E</b>				
Existence of national nutrition targets taking into consideration agreed	<ul style="list-style-type: none"> <li>→ Is there consensus on national nutrition targets among all stakeholders?</li> </ul>			

Indicators	Questions for group discussion	Strengths	Weaknesses	Level of capacity (1-5) 1=least; 5=highest developed
global targets and monitoring frameworks	<ul style="list-style-type: none"> <li>→ Do actors recognize these national targets as part of their national vision for nutrition?</li> <li>→ Is there any evidence that these national targets are evaluated through national surveys?</li> <li>→ Is data disaggregated to the lowest administrative unit (e.g. district)?</li> </ul>			
National nutrition targets and Specific, Measurable, Attainable, Realistic and Time-bound (SMART) indicators reflected in sectoral plans	<ul style="list-style-type: none"> <li>→ Are the national targets reflected in sectoral plans?</li> <li>→ Are the sectors clear on how they will contribute towards the realization of the national targets?</li> <li>→ Is this clearly reflected through the indicators being tracked in the sectors? Are the indicators relevant?</li> <li>→ Through which information system are these data collected?</li> <li>→ Do these data contribute to a multi-sectoral process? Through which mechanism or platform?</li> </ul>			
Operational multi-sectoral information system for nutrition (e.g. dashboards), which link indicators at different levels (e.g. program inputs to coverage to impact)	<ul style="list-style-type: none"> <li>→ Does the country have a multi-sectoral nutrition information system for tracking implementation of multi-sectoral actions? How is this linked to the multi-sectoral M&amp;E framework?</li> <li>→ How does this mechanism link with the other sectoral information systems that generate specific data for specific indicators?</li> <li>→ Which organization is mandated to host this multi-sectoral information system? Does the hosting arrangement facilitate smooth operationalization of the platform? Does it have adequate skilled staff to support this function?</li> <li>→ What are the current constraints of the information system?</li> </ul>			
Mechanism of generating nutrition data on a regular basis (e.g. Demographic Health Survey (DHS), Multiple Indicator Cluster Surveys (MICS), Comprehensive Food Security and Vulnerability Analysis (CFSVA), nutrition surveillance)	<ul style="list-style-type: none"> <li>→ Through which information systems is data for nutrition generated on a regular basis to track progress? Which agencies are responsible for collecting, collating, analyzing and reporting?</li> <li>→ Are there duplications in data collection between and among stakeholders?</li> </ul>			

Indicators	Questions for group discussion	Strengths	Weaknesses	Level of capacity (1-5) 1=least; 5=highest developed
	<ul style="list-style-type: none"> <li>→ Do stakeholders mention using relevant nutrition data from these information systems?</li> <li>→ Are the indicators used relevant to the country context or the nutrition problems and causes that had been identified?</li> <li>→ How complete and accurate are the data collected?</li> </ul>			
Evidence that nutrition data is being used for decision-making	<ul style="list-style-type: none"> <li>→ How are the data used? Are data used for making decisions to improve policy, planning and programmes?</li> <li>→ Are relevant M&amp;E indicators collected that relate to current plans or programmes?</li> <li>→ Are the data disaggregated to the lowest administrative level (e.g. district)?</li> </ul>			
<b>4.2 Effective reporting and dissemination</b>				
Evidence that results are appropriately disseminated and effectively utilized by all stakeholders, including at the community level	<ul style="list-style-type: none"> <li>→ Are reports shared with stakeholders at all levels?</li> <li>→ Are the reports shared in a form and language that can be used by the targeted audience (e.g. policy makers, community)?</li> <li>→ Are regularly updated data reports available at sub-national level?</li> <li>→ From recent knowledge, attitudes and practices surveys that may have been conducted, what knowledge do community and beneficiary groups have about nutrition and evidence-based nutrition actions?</li> <li>→ Do stakeholders report using data originating from other agencies and how do they obtain these data?</li> </ul>			
Evidence that reports are adequately debated and agreed upon and changes implemented	<ul style="list-style-type: none"> <li>→ How is feedback from stakeholders at all levels communicated?</li> <li>→ How is this feedback collated and used to improve policy/plans/programs as well as other areas?</li> <li>→ How are the reports debated and consensus on key changes arrived at?</li> <li>→ Are stakeholders satisfied that agreed changes are adequately implemented?</li> </ul>			

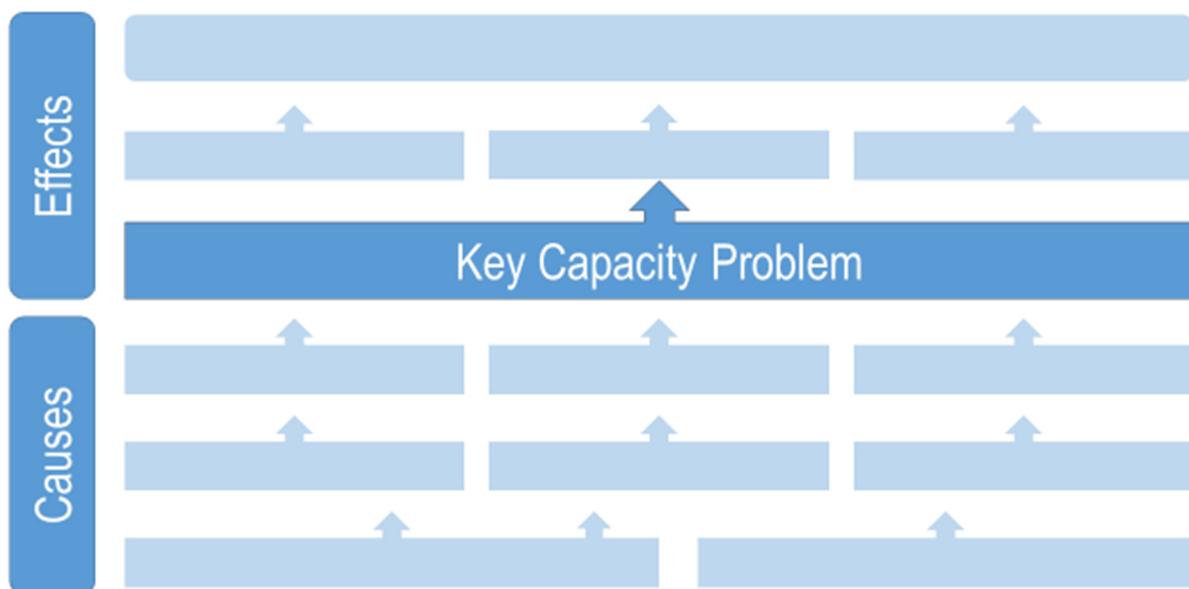
Adapted from WHO landscape analysis of countries readiness to accelerate action in nutrition.

## Tool 8: Capacity Focused Problem Tree

**Purpose:** Identifies a capacity issue as a core problem, as well as its effects and root causes. This method helps initiate the collaborative design and follow up to the implementation phase. The tool helps clarify the precise capacity development objectives that the intervention aims to achieve. It is helpful to develop and/or revise a logframe and reach clarity about the outputs that will be monitored.

### Directions:

- Step 1:* Start by brainstorming about all major capacity problems identified during the contextual analysis or derived from a capacity assessment. Within the group, decide on the core capacity problem for the enabling environment, organizations and individuals.
- Step 2:* Draw a “tree” and write the key capacity problem on the trunk. If there is more than one key capacity problem, it is necessary to draw one tree per problem.
- Step 3:* Encourage the stakeholders to brainstorm the causes of the key capacity problem and write them on cards. Prioritize the causes.
- Step 4:* Discuss the capacity factors that are possibly contributing to the causes. Focus on the factors that are potential drivers of change and write them on the roots of the tree.
- Step 5:* Look at the effects/impacts of the capacity problem and write down the primary effects on the branches of the tree.
- Step 6:* The diagram generated in this exercise provides a basis for discussion and can be converted into a capacity objectives tree, turning the negative statements into positive ones.



*Adapted from 'FAO Approaches to Capacity Development in Programming: Processes and Tools - Learning Module 2 Revised edition', FAO, 2015:p.92.*

### Tool 9: M&E Plan (Sample)

**Purpose:** To support teams or groups involved in CD design to develop outcomes and measurable indicators.

**Directions:** The tool is an information sheet that should be completed by the CA team.

Overall outcome/output	Indicators for output/outcome	Method of data collection	Frequency of data collection (e.g. quarterly)	Who is responsible	Resources and infrastructure needed	Who will use the information	Data Sources
Outcome 1	Indicator 1						
	Indicator 2						
Output 1	Indicator 1						
	Indicator 2						
Outcome 2	Indicator 1						
	Indicator 2						
Output 2	Indicator 1						
	Indicator 2						

*Adapted from 'FAO Approaches to Capacity Development in Programming: Processes and Tools - Learning Module 2 Revised edition', FAO, 2015.*

## Resource 2: Other Supplementary Instruments for Capacity Assessment

**Drivers of change:** Qualitative country analysis which aims to provide an understanding of the prevailing political and economic processes – specifically, the incentives, relationships and power balances between different groups and individuals.

**PESTLE (Political, Economic, Social, Technological, Legal, Environmental analysis):** Provides a bird's eye view of the whole environment from many different angles that one wants to check and keep a track of while contemplating on a certain plan.

**Appreciative interviews/inquiry:** Focuses on discovering partners' potential by identifying and analysing successful cases to generate ideas about how to initiate and sustain the new capacity development efforts.

**Force Field analysis:** Analysing the forces for and against a change, and it helps you communicate the reasoning behind your decision.

**Organisational performance assessment:** A systematic framework for assessing organizational performance. Performance is defined in terms of relevance (i.e. the extent to which an organization responds to clients'/members' needs); effectiveness (i.e. mission fulfilment); efficiency (comparison of outputs and incurred costs); and sustainability (i.e. the ability to remain relevant, adaptable and self-sustaining).

**SWOT analysis (Strengths, Weaknesses, Opportunities, Threats):** A basic, analytical framework that assesses what an organization can and cannot do, as well as its potential opportunities and threats. A SWOT analysis takes information from an environmental analysis and separates it into internal strengths and weaknesses, as well as its external opportunities and threats.

**KAP survey (Knowledge, Attitude and Practices):** Assesses the impact of knowledge and learning activities on an individual/organisation's behaviour and practices in response to a specific intervention.

**Observation:** Individual examination of individual or team performance towards a given set of performance goals.

**Competency assessment:** Focuses on how well the employee is performing the required job skills in relation to specified performance standards.

**Task and job analysis:** Provides step-by-step guidance for analysing and articulating the kind of knowledge, skills and attitudes which learners should have to carry out their job. It helps answer what learners are supposed to know and be able to do to perform their job.

**Learning needs analysis:** A review of learning and development requirements that is designed to support individual, team and organisational development.

