European Commission

ADMINISTRATIVE CAPACITY BUILDING ROADMAPS: THE PROCESS

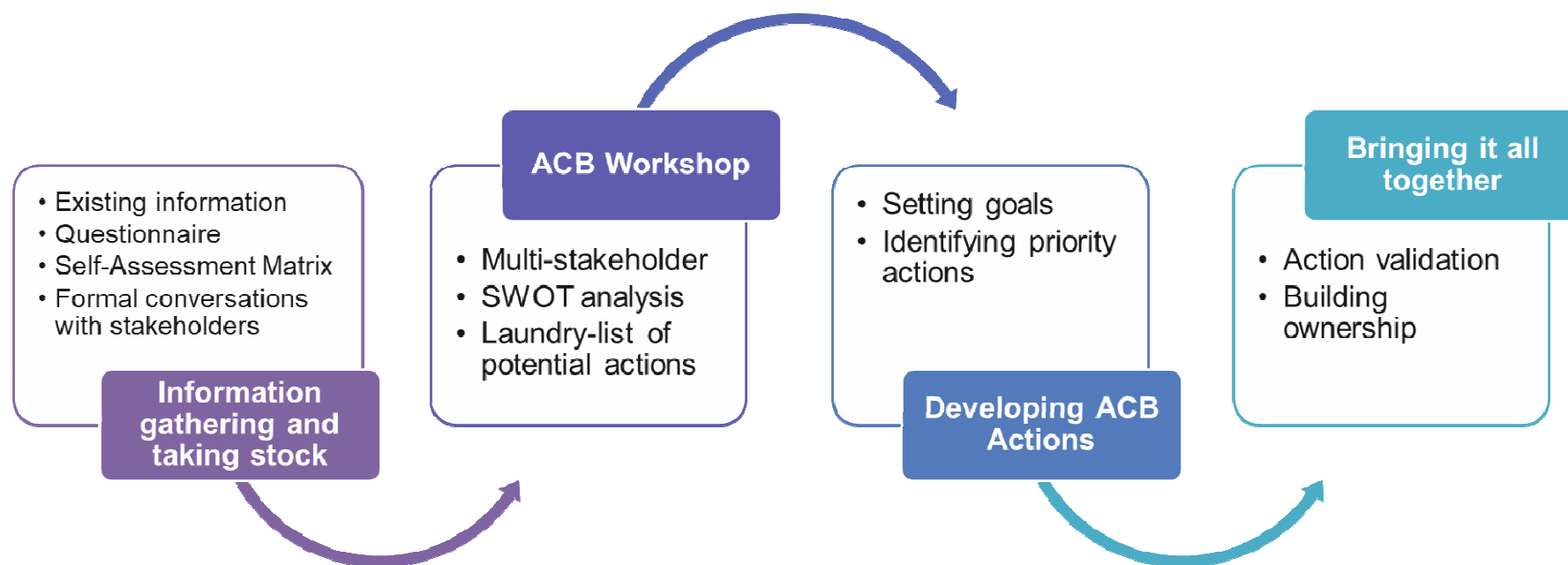**Daniel Gerson, Public Governance Directorate, OECD**
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Session 2: 26-27 May, 2021

The OECD Pathway for Developing Administrative Capacity Building Actions

Information gathering and taking stock
- Existing information
- Questionnaire
- Self-Assessment Matrix
- Formal conversations with stakeholders

ACB Workshop
- Multi-stakeholder
- SWOT analysis
- Laundry-list of potential actions

Developing ACB Actions
- Setting goals
- Identifying priority actions

Bringing it all together
- Action validation
- Building ownership

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1. GATHERING INFORMATION AND TAKING STOCK

Types of information to gather

**Strategic planning, coordination and implementation**
- Actors with whom the MA works closely to manage and implement its Programme.
- Coordination mechanisms
- Performance monitoring and evaluation

Organisation
- Leadership
- Org Structure and lines of responsibility
- Internal communication practices

Beneficiaries and stakeholders
- Involvement of beneficiaries and other external stakeholders in relevant Programme design and implementation processes
- Training and support programmes for beneficiaries
- Communication with external stakeholders
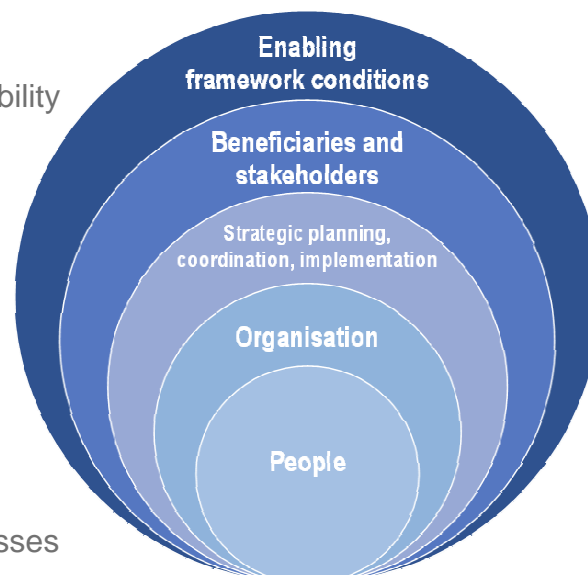
People
- General employment framework
- Recruitment and promotion processes
- Pay system
- Performance assessment practices
- Available training possibilities

Framework conditions
- External challenges
- Potential risks to effective Programme management and implementation

Enabling framework conditions

Beneficiaries and stakeholders

Strategic planning, coordination, implementation

Organisation

People

Sources

There are at least three different sources of information MAs can draw from to gain insight into their administrative capacity. These include:

1. **Existing information in the MA**, including strategic/operational planning documents, organisational charts and structures, decision making protocols, already collected data and information (e.g. HR information, beneficiary information, etc.).

2. **A short, targeted questionnaire** circulated to internal (within the MA and MCS) and external (e.g. beneficiaries) stakeholder for insight into their perceptions.

3. **Interviews/roundtable/focus group discussions with diverse actors**, including representatives from the MA, IBs, the national coordinating body, beneficiary and beneficiary support bodies, the Monitoring Committee, etc.

4. The OECD's ACB Self Assessment Instrument…

Administrative Capacity Building Self-assessment Instrument

What is the ACB Self-Assessment Instrument: Objectives and Framework
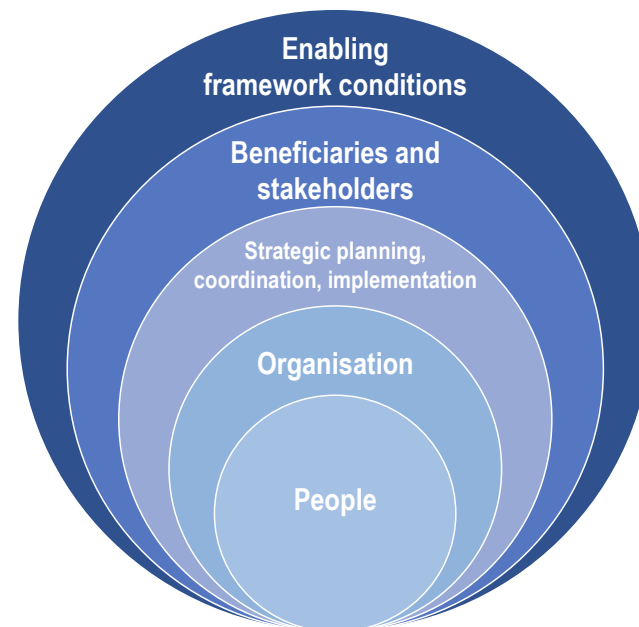
To help MAs:

Identify and prioritise their capacity gaps in managing EU funds

Develop administrative capacity building actions to address identified gaps

Facilitate auto-evaluation of progress over time

Enabling framework conditions

Beneficiaries and stakeholders

Strategic planning, coordination, implementation

Organisation

People

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Self-assessment Matrix

PILLAR 1: PEOPLE

This dimension examines the mix of skills and competences needed in a high performing MA. It includes four goals: 1) attracting and recruiting the right candidates; 2) a strategic approach to learning and development; 3) an effective and engaging performance management system; and 4) effective and capable leadership in the Managing Authorities.

GOAL 1: Attracting and recruiting the right candidates

Managing Authorities need to be able to attract and recruit skilled and motivated candidates. MAs who do this well identify the mix of skills and competences they need. They embed these in job descriptions and engage proactively with candidates (e.g. universities, public employment services) to deepen the talent pool. Assessment methodologies are fair, efficient and allow employers to assess various facets of a candidate, i.e. not just technical or substantive knowledge.

Capacity	Dimension (good practice)	STRONG	SIGNIFICANT	MODERATE	WEAK	SELF-ASSESS
Take a structured approach to identifying competencies	Identifies essential skills and competencies that add value to the work of the MA. These should include specific technical/ substantive knowledge related to the Programme and ESIF, and behavioural/ interpersonal or managerial competencies, such as conflict resolution or team leadership.					Select a level
	Lists and describes competencies at different levels of hierarchy, including effective behaviours associated to each in a competency framework					Select a level
	Uses common competencies in job profiles, recruitment processes, performance assessment, training and other HR processes.					Select a level
	Engages with central HRM authority to share skills/competence requirements to generate common understanding and approach across the MCS.					Select a level

Capacity

Dimension

Pillar and description

Goal and description

**Next question:
How do we decide the level of capacity?**

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2. ACB workshop

Slide to set up workshop

- Objective is to build common understanding across actors and share ideas on ways to boost administrative capacity
- A broad group of participants, representing all areas of MA, the MCS, beneficiaries and other implicated stakeholders.
- 1-day:
    - Morning: SWOT analysis
    - Afternoon: Generating solutions

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Set up: 5 tables

✓ Incentives
✓ Performance evaluations
✓ Promotions
✓ Learning and development (e.g. training)

People strategy

Organisation and institutional structure

✓ Integration of MA sectors
✓ Knowledge transfer (vertical)
✓ Common culture
✓ Mobility
✓ Leadership

✓ MA and stakeholder input to planning, programming, project identification and selection
✓ Priority setting
✓ Clarity of responsibilities and overlap of roles
✓ Co-ordination (e.g. IBs, regional MAs, etc.)

Strategic planning and co-ordination

Regulatory and control frameworks

✓ Legislation and regulation
✓ Red tape / administrative burdens
✓ Management and control
✓ Monitoring and evaluation

Beneficiaries and stakeholders

✓ Peer learning and exchange
✓ Networks (in person or remote)
✓ Stakeholder communication
✓ Technical assistance

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Exercise1: Identifying Strengths and Challenges

1. What are the **strengths** of this area?
   What **opportunities** are there to build on these strengths?
   (25 minutes)

2. What are the **weakness/challenges** currently facing this area?
   What are the root causes of the challenges?
   Who could help address these?
   (25 minutes)

3. Which are the **top 3 priority problems** that this project could address in this area?
   (10 minutes)

Exercise 1: Identifying Strengths and Challenges

- Table feedback: Strengths, challenges, priority issues
  (7 minutes per table)

- Open discussion:
  - ➤ What do you think of the discussions?
  - ➤ Is there any aspect/dimension missing?

Exercise 2: Towards solutions

1. Pick **one challenge** from the top 3 identified in the morning.

2. Brainstorm: what **solutions** would help to address this issue?

    In the short term (current programming period and post-2020)

    In the next programming period

3. Who would be the main **actor(s)** to lead/contribute to the solution (within or outside the MA)

4. What **initial steps** could be taken to begin developing the solutions?

If you finish, move on to the second challenge identified!

Exercise 2: Towards solutions

- Table feedback: focus on the solutions identified

  (7 minutes per table)

- Open discussion:

  ➢ What do you think of these solutions?

  ➢ Is there any aspect/dimension missing?
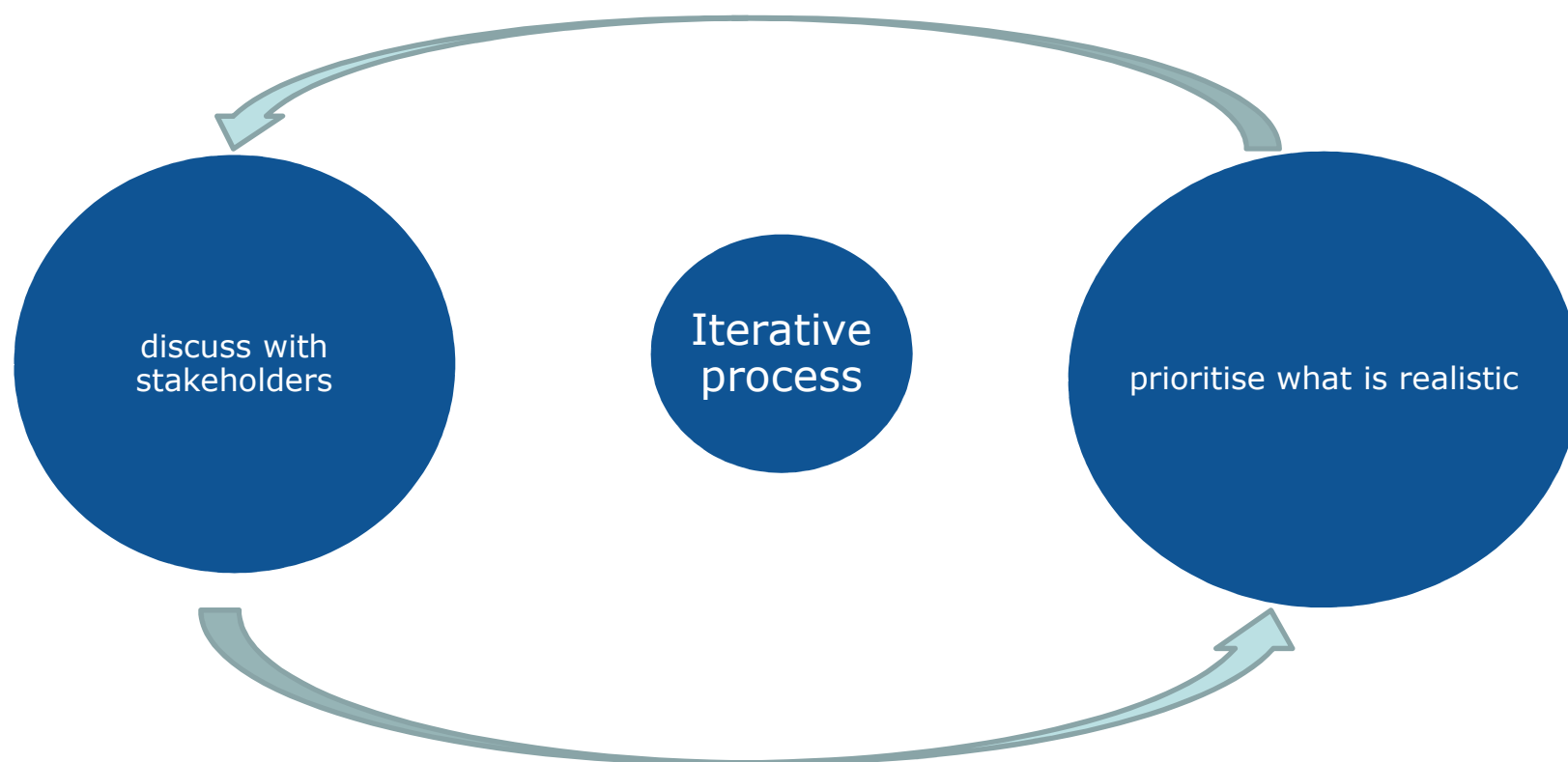
3. DEVELOPING ACB ACTIONS

Suite of EC administrative capacity building support to MAs

EC Roadmaps for Administrative Capacity Building – Practical Toolkit

Administrative Capacity Building Self-Assessment Instrument

EU Competency Framework for Management and Implementation of the ERDF and Cohesion Fund

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To develop the Roadmap, MAs need to:

discuss with stakeholders

Iterative process

prioritise what is realistic

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Actions should be

- Realistic

- Mutually reinforcing

- Spread over the short, medium and long-term in order to achieve quick wins followed by more sustainable gains

Summarize actions in an overview table that contain:

- Preamble
- Administrative Capacity Pillars
- Projects/Actions
- Responsible body
- Timing
- Resources
- Deliverables, milestones/benchmarks.

Success factors:

- **Clear**, **concrete and plain language** is used
- Actions are limited in number - **quality over quantity**
- Actions are **realistic** and can be completed by the MA itself
- Actions are **focused on the MA's capacity** (i.e. not just on IBs/beneficiaries).
- The output can be shared with relevant actors within the MA
- The output can be publically available if desired

4. VALIDATION AND IMPLEMENTATION

Once the MA has completed its ACB Roadmap exercise …

- Reconvene the stakeholders who participated in the Workshop in order to validate the work.

- This is an opportunity to obtain feedback and also generate support for the actions.

- When the ACB Roadmap is finalised, MAs can also share it with a wider audience, including

  - staff throughout the MA, within the ministry that houses the MA (if desired and/or appropriate),

  - IBs,

  - beneficiaries,

  - even the public (such as publishing it on the website, if applicable).

- MAs can also regularly update their progress in implementing its capacity building actions.

Implementing the ACB actions: Adopting good practices

- Establish clear structures and teams to implement the ACB Roadmaps.

- Mobilise staff and expertise across the MA to contribute.

- Develop action plans.

- Ensure regular communication and interaction among implementation teams, especially among actions that are interlinked.

- Track and summarise lessons-learned from implementing actions.

THANK YOU

The OECD Team

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