

**Papua New Guinea – Australia
Transport Sector Support Program
(TSSP)**

Supported by the Australian Government - AusAID

**TSSP STAGED CAPACITY
BUILDING PRACTICE MODEL**

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1. Introduction

Australia has been providing long-term support to the Government of Papua New Guinea (GoPNG) for the infrastructure sector through its aid program. Over time the focus of Australian assistance is shifting from an emphasis on maintenance to capacity building and institutional strengthening as part of a holistic approach to supporting infrastructure maintenance.

TSSP has been designed to maintain Australia's existing levels of investment in the transport infrastructure sector (roads, maritime and aviation) whilst encouraging GoPNG to take increasing responsibility for infrastructure maintenance funding, thereby becoming less dependent on donor support. Importantly, the Program is operating within GoPNG systems and processes and is assisting to build capacity within them, whilst retaining appropriate checks and balances.

This approach is directed towards improving governance (including transparency and accountability in government procurement), public sector management and capacity building, and institutional strengthening, while continuing to provide funding support for priority maintenance and rehabilitation works.

In terms of capacity building, TSSP has adopted the following definition:

*"The process of developing competencies and capabilities in individuals, groups, organisations, sectors or countries which will lead to sustained and self-generating performance improvement."*¹

To guide the capacity building efforts of the program, a Capacity Building Framework has been developed which is comprised of three stages. The first of which was the development, endorsement and implementation of the Technical Assistance (TA) program. This followed an initial organisation review and needs assessment of the five primary counterpart transport sector agencies² and the Department of National Planning and Monitoring. The second stage of the framework involves the implementation of the *TSSP Staged Capacity Building Practice Model*. The third stage comprises capacity building strategies to assist organisational development/institutional strengthening.

It needs to be emphasised that "TA", under TSSP, is viewed in the broadest possible context and will incorporate both direct and indirect approaches. The main priority will be to address the identified capacity building need through determining and implementing the most appropriate strategy, whether it be in the form of advisory support, individual work specific learning processes, work-group learning processes, coaching, mentoring, twinning arrangements and/or training and education etc.

2. Purpose of the staged capacity building practice model

The staged capacity building practice model is a methodology for planning and monitoring capacity building. It is a systematic approach to assess the capacity of work groups and/or individuals, identify needs, develop strategies to build capacity and assess the results. It provides a practical tool for use by advisers and counterpart staff working together, thus incorporating best practice philosophies and approaches on effective capacity building.

¹ AusAID (2004) *Capacity Development Principles and Practices*

² Department of Transport, Department of Works, Civil Aviation Authority (including PNG Air services Ltd), PNG Ports Corp Ltd and the National Maritime Safety Authority.

This document outlines the model and incorporates a number of templates with worked examples to assist with its implementation. The contents are as follows:

| | |
|--|--|
| The Staged Capacity Building Practice Model | A model that describes four capacity building levels, from a high level, where adviser support is required by counterparts to perform an activity/task through to only occasional or no support being required. See Annex A. |
| Capacity Building Plan Template | A plan that documents the activities/tasks of a work group, current and targeted levels of capacity and capacity building strategies. See Annex B for a template and a worked example. |
| Capacity Building Progress Report Template | A report that shows the work group's progress in capacity building over a period of time. See Annex C for a template and a worked example. |
| Capacity Building Strategies | A checklist of capacity building strategies, methodologies, tools and techniques to help advisers and counterparts identify options. See Annex D. |

3. Description of the staged capacity building practice model

The model is, very simply, a structure to assess the capacity of a work group or team. It recognises that capacity building is a process in which the role of the adviser(s) will change over time as counterpart staff develop competencies to do the work, systems and processes are improved, and other causes of lack of capacity are addressed.

In effect, the model can be used to assist advisers and the counterpart staff with whom they work to:

- **Assess** and agree current capacity of the work group
- Jointly **plan** approaches and activities to build capacity
- **Monitor** the results.

As with any model, it does not provide 'the answers' – hard thinking, analysis, discussion, judgments innovation, problem-solving, and teamwork are still required. It does however provide a systematic means of establishing changes in capacity, which is a major challenge for people involved in capacity building activities. Importantly, it can also provide the basis for advisers and counterparts – the managers and staff in the group with whom the adviser is working – to jointly discuss and assess what is happening and to jointly plan the strategies to build capacity of the work group. It is thus a method for promoting a sense of ownership of the activities, a key principle in capacity building.³

The model requires the work group and adviser, to identify and agree the main work activities of the group. The approved activities in the Division and/or Branch annual work plan, which should be linked to and facilitate the achievement of the objectives in the agency's Corporate Plan, are to be used for this purpose. Where there is no annual work plan, the activities identified should be clearly related to the Division/Branch core business and also be linked to the achievement of the agency's corporate goals/obligations. Once the activities have been determined, the key tasks for each activity need to be

³ International research on capacity building identifies ownership of aid-funded activities by the recipient agency as the over-riding principle for success. See AusAID (2004) *Capacity Development Principles and Practices*, p.4. It is a well-established principle also in change management – people are more likely to accept change done **by** them than change done **to** them.

identified; as it is against these that the work group and adviser need to decide on the group's current level of capacity.

In order to keep the model simple, four levels are used to reflect the current capacity against each key task. This assessment is undertaken by the work group and adviser openly discussing and agreeing on the degree of support required from the adviser to perform each key task and the degree of 'ownership'⁴ or responsibility by counterparts. The four levels are:

Level of Adviser Support Required to Perform Key Tasks

| 0 to 1.9 | 2.0 to 3.9 | 4.0 to 5.9 | 6.0 to 8.0 |
|---|--|--|--|
| Occasional or None | Low | Medium | High |
| Here the work group can perform all elements of the task from start to finish and does not require assistance, prompting or support from the adviser. Based on the capacity of the current work group, performance of the complete task is sustainable. It may however be necessary for the group to seek assistance for highly technical work which occurs infrequently. | This level applies where the work group is taking full responsibility for the task, can complete most of the complex elements and will ask the adviser for assistance only when required. The adviser's role is more one of support and would only be required to undertake some higher level elements of the task on rare occasions | In this level, the group can perform basic elements of the task with or without adviser assistance/support. The adviser may still be required to perform the more complex elements of the task. In this situation, staff do not understand nor can they perform all elements of the task from start to finish. | This level applies where capacity within the work group to perform a key task is very low. In this situation, the work group requires extensive assistance from the adviser to undertake all elements of the task. The adviser may even perform most elements of the task. |

CAPACITY IMPROVEMENT


Annex A provides a fuller description of each level, covering different aspects of an activity/task such as planning, quality control and follow through.

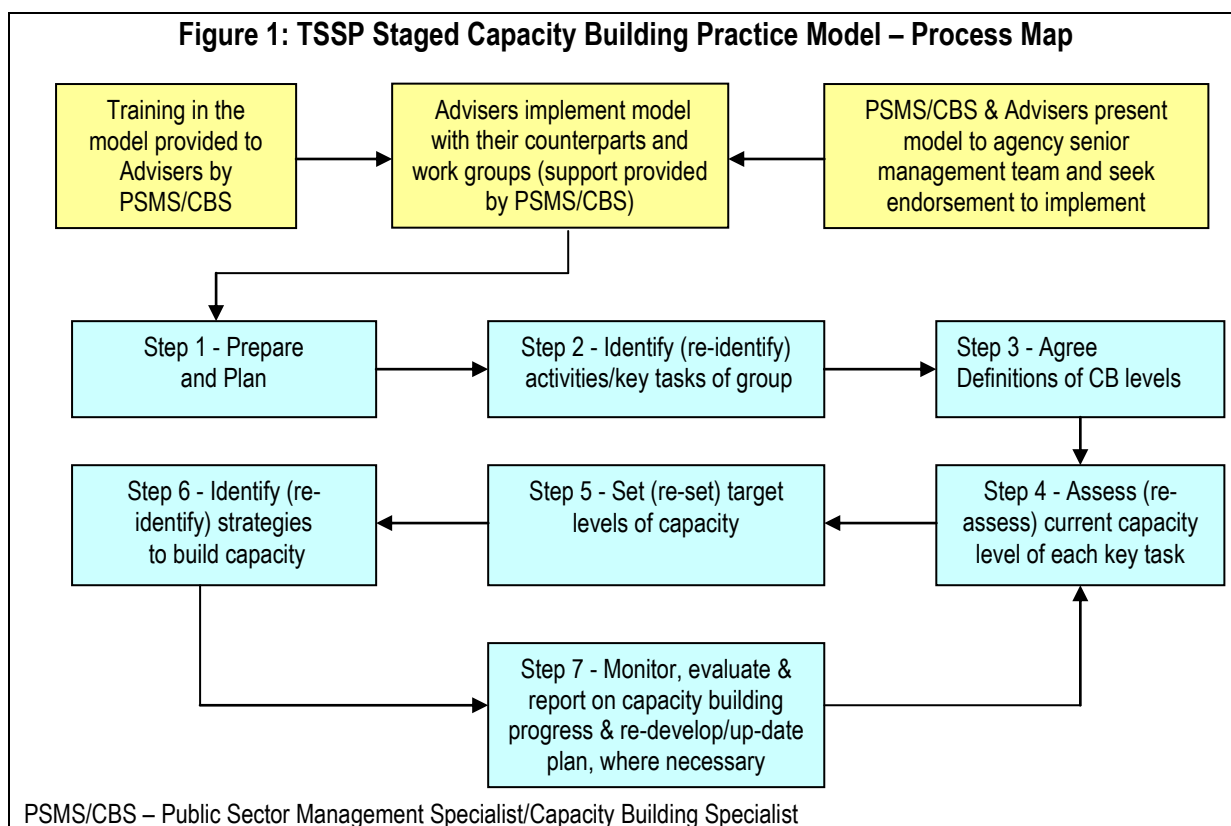
4. Implementing the staged capacity building practice model

Successful implementation of the model relies on a fully participative approach and is therefore dependent upon the full cooperation of the work group, which can/will only be forthcoming once a good working relationship and a degree of trust has been established between the group and the adviser.

In introducing the model to the group, it is to be emphasised that the major purpose is to identify and implement **strategies to build capacity** and to monitor improvements in capacity levels. The work group needs to be re-assured that information obtained in implementing the various steps in the process will not be used for performance management purposes.

⁴ The test used in East Timor when the model was first developed was 'on whose computer did the work reside – the adviser's or the counterpart's?'

Figure 1 provides a guide to implementing the staged capacity building practice model. **Generally, it is a process to use with a work group or team, although it may often be appropriate to use it with individual counterparts.**



Step 1: Preparation and planning

The first step involves a meeting between the key counterpart staff and the adviser to ensure a common understanding of the model and to reach agreement on how it is to be implemented. This meeting should also be used to reach agreement on the frequency of reviewing capacity building progress, which might be anywhere from 1, 3 or 6 monthly intervals depending on the nature of the work (one review must be undertaken as at end September each year so that the results/progress can be fed into the TSSP Annual Performance Report). As it is anticipated that it will take a couple of cycles to get the process right, it is suggested that the initial review frequency be set at 3 monthly intervals to enable adjustments to be made to the plan in a timely manner. Having agreed on the implementation process, the model should then be introduced/explained to the full work group, preferably at a half or full day workshop.

In preparing for the workshop, the key counterparts and the adviser should gather any existing documents that list activities, tasks and work responsibilities. These may include corporate/strategic plan, division/branch annual work plans, job descriptions, organisational structures, training needs analysis materials, legislation etc. If the work group or activity is operating within a competency framework, the competencies would be a useful basis.

| | |
|--|---|
| Process: <i>Discussions with key counterparts</i> | Outputs: <i>An agreed approach to implementing the Staged Capacity Building Practice Model, including the frequency of reviewing capacity building progress.</i> |
|--|---|

Step 2: Identify and document activities and key tasks of the work group

The list of activities of the work group should be agreed, drawing on existing documents identified in Step 1. The approved activities in the Division and/or Branch annual work plan, where such plans exist, should be used for this purpose. Where the Division/Branch does not have an annual work plan, the activities, which should be clearly related to the areas core business and contribute to the achievement of the organisations corporate goals, should be developed by the full group at the workshop referred to in step 1, or in advance by a smaller team (nominated by the key counterpart and assisted by the adviser) for review and amendment by the larger group.

Once the activities have been determined, the group should identify the key tasks relating to two or three core activities, which will be targeted during the reporting period. A task is a unit of work, for example a process, or a step in a wider process, or a collection of tasks or an output. The challenge for the group is to find a balance between identifying distinct units of work where capacity can be assessed in a meaningful way, yet not having so many units that the process becomes too detailed and time-consuming. Rather than spend too long debating, for example, whether something is an activity or a task, the group should aim to develop an initial list, and review it in the light of experience. To expedite this process, a draft list of tasks for the core activities could be prepared by the same smaller group referred to in the previous paragraph and then referred to the full group for consideration.

Process: Group of 2 or 3 in collaboration with the adviser identify the list of activities and tasks by referring to existing documents, such as annual work plans etc. and present to the full work group for consideration.

Output: A list of activities and key tasks of the work group recorded on a Capacity Building Plan (Annex B).

Step 3: Agree definitions of capacity building levels

It is important that the full work group and adviser understand and agree on the levels to be used in identifying and recording the groups' capacity, at any point in time, to undertake each key task identified. The group should review the definitions used in the model (Annex A) and adjust them, if necessary, to meet local needs and improve the level of acceptance and commitment in implementing the model. The group should also agree on whether to use pluses and minuses when assessing capacity building progress. For example, an assessment of somewhere in the range of 4 to 4.9 [medium – minus] would mean that the work group generally fits into the 'medium' level (work group can only perform basic elements of the task) but there are several elements where it is "low" (work group can perform most elements of the task).

Process: Groups of 2 or 3 to discuss the definitions, suggest changes, if considered necessary, and report back to wider group

Output: A staged capacity building practice model with definitions of capacity building levels tailored to local conditions and recorded on the template at Annex A.

Step 4: Assess current level of capacity for each key task

For each key task, the work group and the adviser should assess the current level of capacity (level of adviser support required to perform the key tasks) using the definitions at Annex A, or any variations to the definitions agreed by the work group during step 3. The assessment should be of the **sustainable capacity** of the whole work group. For example, if one or two individuals can perform the key tasks at a higher level than the rest of the group, the assessment will depend on whether the group can rely on the work of these people in terms of its sustainability.

In most situations, people will be reluctant to make a negative assessment, either at the individual or work group level, or both. It may be helpful to remind people that the main purpose of the assessment is to help people think about what needs to be done to build capacity (or what progress has been made since the last assessment). It should therefore focus on **opportunities for capacity building** rather than assessment of past performance. In this regard, the work group needs to be reassured that assessments made during this process will not be used for performance management purposes.

Encouraging people to identify the different reasons for building capacity could help to overcome any reluctance to make an assessment. Some reasons include:

- There are no relevant policies, systems or procedures
- New processes or systems are being introduced and are not understood
- People have the capacity, but lack the resources, to perform the task
- People have the theory but don't know how to apply it
- People do not have the knowledge and skills, but are keen to learn
- Some 'do not know what they don't know'
- Some people may not be motivated or have inappropriate attitudes to their work
- The organisation culture may not encourage learning or taking initiatives or seeking to make improvements.

If there is a difference in the assessments made by the work group and the adviser, then the reasons for the difference should be identified and strategies to handle them implemented. Some suggestions are given in the following table.

| Reasons for different assessments | Strategies to handle the differences |
|---|---|
| There are differing interpretations of the definitions of capacity levels | <ul style="list-style-type: none"> • Review the understanding of levels definitions • Conduct a more detailed analysis of the work and key tasks to ensure all parties are clear about what should be happening, in terms of capacity, and what is actually happening |
| The adviser does not have a good enough understanding of what the group does | <ul style="list-style-type: none"> • The work group to provide examples to demonstrate capacity in certain areas |
| The key task is too broad and covers a mix of stages | <ul style="list-style-type: none"> • Break down the 'too broad' key task into two (or more) tasks that can be more easily assessed |
| Work group does not understand the full scope of the work to be undertaken within the key task. | <ul style="list-style-type: none"> • Adviser to provide examples to demonstrate the fuller scope of the work |

If there continues to be differences in assessments, the group and the adviser need to make a judgment on the importance of the difference. Don't spend time trying to resolve it if it is not a major task. Keep in mind that **absolute** assessments are less important than being able to see progress and developing strategies for building the capacity. As a last resort, agree to disagree, in which case record the work group's assessment on the Capacity Building Plan, monitor performance over the next few months and, if necessary, re-assess at the end of the next review period.

TSSP Staged Capacity Building Model

Process: Small groups of 2 or 3 to assess current capacity, using the agreed level definitions, then a full work group discussion with the adviser to get overall agreement

Output: Agreed assessments of current capacity against each key task documented in the Capacity Building Plan (Annex B).

Step 5: Set target levels of capacity

The work group itself should set the target levels of capacity for the next review period in consultation with advisers. The adviser's role is to encourage the group to set realistic and achievable targets that will provide the group with some stretch but at the same time not be too daunting. It is acceptable to focus on building capacity in just a few areas over the next reporting period, rather than setting a higher level for every key task.

Process: Full work group discussion with the adviser

Output: Agreed target levels of capacity documented in the Capacity Building Plan (Annex B).

Step 6: Identifying strategies to build capacity

The process of identifying strategies should be done in as consultative a way as possible, to promote ownership and commitment. It is important to ensure that the work group does not just focus on training (off-job, overseas etc), or that the identified strategies are simply a 'wish list', which are incapable of being implemented. A list of capacity building strategies is provided in at Annex D, which could be used as a starting point to prompt broader thinking.

Process: Small groups to identify possible strategies for building capacity in each key task. (Use, Annex D). Large group to agree strategies.

Output: Agreement on the strategies to be used to build capacity documented in the Capacity Building Plan (Annex B).

Step 7: Monitor, evaluate and report on capacity building progress and redevelop/update the plan

Progress should be monitored continuously, reviewed and the results recorded on the Capacity Building Progress Report (Annex C). Reviews should be undertaken in accordance with the frequency agreed at Step 1 of the process, with one review being scheduled for the 30 September each year to enable the results/progress to be fed into the TSSP Annual Performance Report.

The review process, which is best undertaken in a workshop with the full work group and adviser, should involve reassessing the current level of capacity of the group using the agreed definitions in the staged capacity building model. Where the current level of capacity has been assessed as requiring "Occasional or None" adviser support [in the range of 0 to 1.9], documentary evidence is to be attached to the Capacity Building Progress Report to substantiate that the task is now sustainable i.e. capable of being performed by the work group without prompting or assistance.

It should also involve reviewing progress on the implementation of the capacity building strategies outlined in the plan. If needed, both the key tasks list and/or the capacity building strategies should be re-developed. The planning will need to take into account any new or changes to existing activities/tasks that the group (or individual) has taken on, the review process and lessons learned from the process to date. The results of the review should be recorded on the Capacity Building Plan for the next period.

The review step provides an opportunity to recognise, acknowledge and celebrate achievements, no matter how small. If progress has not been made as expected, it is important to understand the reasons and incorporate the lessons into the next cycle, but without it being a 'blame game'.

Process: *Workshop with the full work group and adviser to agree on capacity building progress against the agreed targets established at the start of the review period and, if necessary, to agree any necessary changes to the capacity building plan.*

Outputs: *Capacity Building Progress Report (Annex C) updated to include new assessments; revised Capacity Building Plan that includes a revised key task list (if required), revised target levels of capacity and revised capacity building strategies (if required).*

5. Other considerations when implementing the model

The model uses activities, which are aligned to the agency's corporate plan, as the basic starting point as this is usually the easiest way to understand where capacity building efforts should be channelled. It also means that capacity building efforts are practical and focused on the achievement of the agency's corporate objectives.

In some cases a simple analysis by activity or task might not be enough to provide the basis for assessing current capacity or developing capacity building strategies. This is particularly the case if there are systemic problems, for example a lack of understanding of the need for quality assurance. If counterparts are competent at doing the work, but are not effective at following through or checking its quality and effectiveness, it would be appropriate to include quality assurance as a separate function.

More generally such 'systemic' aspects or dimensions include:

- Planning
- Setting quality standards
- Checking the accuracy or quality of the work against the standards
- Problem-solving and making decisions in relation to non-standard circumstances
- Following through to ensure that decisions are implemented
- Reviewing the processes used and making improvements.

6 Risk Management

It is recognised that there will be a degree of risk associated with the trialling of a new/revised version of the staged capacity building model across the transport sector agencies. In all likelihood the type and level of risk will differ between agencies.

For this reason the Public Sector Management Specialist (PSMS) and/or the Capacity Building Specialist will, in collaboration with advisers, undertake a risk assessment in each agency prior to rolling out the model. This assessment, which will be done in accordance with TSSP Risk Management Policy/Plan, will identify the type and level of risks and the strategies/treatments to be implemented to achieve an acceptable level of risk.

A sample of some generic risk events and proposed actions to mitigate such risks are detailed in the TSSP Risk Management Matrix at Annex E.

Annex A: Staged Capacity Building Model – Guide to assessing current level of adviser support to perform key tasks

| Level of adviser support | 0 to 0.9 | 1 to 1.9 | 2 to 2.9 | 3 to 3.9 | 4 to 4.9 | 5 to 5.9 | 6 to 6.9 | 7 to 8 |
|--|--|------------|---|----------|--|----------|---|--------|
| | None | Occasional | Low (minus) | Low | Medium (minus) | Medium | High (minus) | High |
| | Primary ownership of work by counterparts | | | | Primary ownership of work by adviser | | | |
| <i>Planning</i> | Planning for day to day work is done by counterparts | | Adviser assists counterparts to plan their work | | Planning is done by adviser, in consultation with counterparts | | Planning for day to day work is done by adviser | |
| <i>Doing the work</i> | All tasks are done by counterparts No input is required from adviser | | Counterparts can do most of the tasks without assistance. Counterparts only need to seek adviser assistance occasionally | | Counterparts carry out straightforward tasks with limited guidance. Complex tasks require adviser assistance. Counterparts are not always aware of the scope of a task. | | Adviser does all the complex tasks. Counterparts carry out straightforward tasks, usually under close supervision | |
| <i>Quality control</i> | Counterparts take full responsibility for work quality. No checking is done by the adviser | | Counterparts take responsibility for work quality with sample checking by adviser | | The adviser checks most work to ensure quality | | The adviser controls the quality of work by checking all outputs | |
| <i>Responsibility for outcomes and results</i> | Counterparts are responsible for achieving the outcomes, and will do whatever is necessary to achieve them | | Counterparts understand they are responsible for achieving outcomes but may sometimes need to be prompted | | The adviser works with counterparts to help them understand their responsibility for achieving outcomes | | The adviser is responsible for achieving the outcomes, and will do whatever is necessary to achieve them | |
| <i>In summary ...</i> | Counterparts make things happen | | Counterparts make things happen with the occasional prompt from the adviser | | The adviser works with counterparts to make things happen | | The adviser makes things happen | |

CAPACITY IMPROVEMENT



Annex B: Capacity Building Plan Covering the Period (insert from/to dates)

Agency:

Division:

Branch/Work Group:

Main Counterpart:

| Activity | Key Tasks | Current level of adviser support required to perform tasks | Target level of adviser support by (insert date) | Strategies to build capacity |
|----------|-----------|--|--|------------------------------|
| | | | | |

Example Capacity Building Plan Covering the Period 1 July 2008 to 31 December 2008

Agency: Department of Works

Division: Finance and Administration

Branch: Personnel Management

Main Counterpart: Manager, PM Branch

| Activity | Key Tasks | Current level of adviser support required to perform tasks | Target level of adviser support by 31 December 2008 | Strategies to build capacity |
|--|--|--|---|--|
| 1. Develop, implement, monitor and maintain HR policies and procedures to ensure DoW comply with Public Service General Orders and other legislative requirements. | 1.1 Develop a HR personnel policies and procedures manual. | Medium | Medium – (minus) | <ul style="list-style-type: none"> Group workshop to determine structure and content of HR manual and to identify small groups to take responsibility for drafting sections of the manual Support each group in drafting material and assist in the drafting of the more complex issues Fortnightly meetings to be held to discuss progress and resolve issues/impediments Assist the main counterpart with the quality review of the documentation. |
| | 1.2 Conduct training programs to up-skill HR staff in the appropriate interpretation and application of the approved HR policies and procedures. | High | High – (minus) | <ul style="list-style-type: none"> Assist the main counterpart in developing a training strategy for HR staff. Assist group in the development and delivery of the training material. |
| | 1.3 Monitor implementation of the HR policies and procedures and review and up-date manual, as necessary. | High | High | <ul style="list-style-type: none"> No actions proposed in this period. |

Annex D: Capacity Building Strategies

Individual work specific learning processes

- structured on the job training (usually teaching people to do a set task)
- coaching (helping people to solve their own problems through asking effective questions)
- mentoring (helping people work through their own career issues; providing guidance and support in career progression)
- training others
- leadership/modelling appropriate behaviours
- work shadowing
- learning journals

Work group learning processes

- team learning through facilitated problem solving
- learning circles
- project work
- job placements/job rotation
- study tours
- process reviews
- work group reviews
- organisational reviews
- critical incident learning – either review from a mistake or review after a major event (eg annual budget process)
- customer surveys and follow-up action
- organisational climate / culture surveys and follow-up action
- team building
- team retreats
- development of 'model' responses eg. Checklists for regular tasks, standard responses to common enquiries, examples of common documents
- conduct of pilots to test new ideas

Training and Education

- tertiary studies (including via scholarships)
- off job training (in house courses, external courses)
- guided reading
- self learning through manuals
- distance learning

Technical assistance

- short and long term technical assistance

Annex E - TSSP Risk Management Matrix





Likelihood and Consequence Rating

| LIKELIHOOD | | | CONSEQUENCE | | |
|------------|-----------------------|---|-------------|-------------------|--|
| 5 | Almost Certain | Expected to occur in most circumstances | 5 | Severe | Would stop achievement of functional goals and objectives |
| 4 | Likely | Will probably occur in most circumstances | 4 | Major | Would threaten goals and objectives; requires closer management |
| 3 | Possible | Might occur at some time | 3 | Moderate | Would necessitate significant adjustment to the overall function |
| 2 | Unlikely | Could occur at some time | 2 | Minor | Would threaten an element of the function |
| 1 | Rare | May occur only in exceptional circumstances | 1 | Negligible | Routine procedures sufficient to deal with the consequences |

Risk Level

| LIKELIHOOD | | CONSEQUENCE | | | | |
|----------------|---|-------------|-------|----------|-------|--------|
| | | Negligible | Minor | Moderate | Major | Severe |
| | | 1 | 2 | 3 | 4 | 5 |
| Almost Certain | 5 | H | H | E | E | E |
| Likely | 4 | M | H | H | E | E |
| Possible | 3 | L | M | H | E | E |
| Unlikely | 2 | L | L | M | H | E |
| Rare | 1 | L | L | M | H | H |

Tolerances

| | |
|---|--------------|
|  | Preferred |
|  | Acceptable |
|  | Undesirable |
|  | Unacceptable |

| | | | |
|----------|-------------|-----------|--------------|
| L | M | H | E |
| LOW Risk | MEDIUM Risk | HIGH Risk | EXTREME Risk |

| | | |
|---------------------|---|---|
| Extreme Risk | E | Most likely to occur and prevent achievement of objectives; causing unacceptable cost overruns or schedule slippages |
| High Risk | H | Could substantially delay the project schedule or significantly affect technical performance or costs and requires a plan to handle |
| Medium Risk | M | Requires identification and control of all contributing factors by monitoring conditions and reassessment at program milestones |
| Low Risk | L | Normal control and monitoring measures sufficient |
| High Risk | H | Could substantially delay the project schedule or significantly affect technical performance or costs and requires a plan to handle |
| Medium Risk | M | Requires identification and control of all contributing factors by monitoring conditions and reassessment at program milestones |
| Low Risk | L | Normal control and monitoring measures sufficient |

TSSP Staged Capacity Building Model

| ID | Risk event | Impact(s) on Program | L | C | R | Risk Treatment(s) | Responsibility |
|----|---|---|---|---|---|---|-------------------|
| 1 | Lack of support/commitment from senior executive, despite endorsement by TSCMIC | May jeopardise degree to which improvements in capacity can be monitored and reported on; efforts to improve capacity may not be targeted at key departmental priority areas | 2 | 3 | M | <ul style="list-style-type: none"> Provide briefings to senior management team conduct workshops for key counterparts and work groups to explain the complete process | PSMS and Advisers |
| 2 | Concepts and documentation relating to the Staged Capacity Building Practice Model not relevant, understood or appropriate to the PNG context | Ability to implement TSSP capacity building framework impaired | 3 | 3 | H | <ul style="list-style-type: none"> Review and modify the documentation relating to the model to better fit the PNG context Workshop revised documentation to a pilot group of counterparts in DoT and amend, where necessary | PSMS and Advisers |
| 3 | Counterparts are reluctant to actively participate in the process due to perception that model will be used for performance management purposes | Rate of improvements in capacity of counterparts to perform activities relating to key departmental priority areas adversely affected Counterparts do not provide realistic assessments of their current capacity to perform key tasks | 4 | 3 | H | <ul style="list-style-type: none"> Work at building solid relationships with counterparts before implementing process Conduct workshops for key counterparts and work groups to explain the complete process Focus attention on opportunities to build sustainable capacity not on assessing past performance Assure counterparts that capacity building plans and reports will not be used for performance management purposes | Advisers and PSMS |
| 4 | Counterparts not prepared to admit they lack capacity to perform key tasks without adviser assistance or support | Rate of capacity improvement impaired | 4 | 3 | H | <ul style="list-style-type: none"> Discuss with counterparts and endeavour to come to an agreed position of current capacity levels. If agreement cannot be reached, adopt the counterparts assessment of capacity level and monitor their capacity to undertake the task over the next reporting period Review the capacity level assessment with the counterparts at the end of the next reporting period, if necessary | Advisers |
| 5 | Advisers' limited awareness & understanding of cultural nuances and/or language to communicate effectively with Agency Staff | Commitment of counterparts to actively participate in the staged capacity building process jeopardised | 2 | 3 | M | <ul style="list-style-type: none"> Cultural awareness discussions included in all induction/orientation programs Advisers encouraged to learn about the culture and language from counterparts | PSMS/Advisers |