



GUIDELINES GOVERNING INDIVIDUAL PARTICIPATION IN ASEP-SUPPORTED CAPACITY DEVELOPMENT INITIATIVES

Purpose

These guidelines are being adopted to operationalize a demand-driven system for individual participation in relevant learning opportunities thereby enhancing the benefits that can be derived from the capacity development (CapDev) component of the EU ASEP TA. The pre-conditions and criteria that are described herein aim to:

- 1) foster active involvement among partner-agencies in ASEP's capacity development initiatives;
- 2) provide a mechanism for identifying and selecting CapDev initiatives or learning events that support the objectives of the EU ASEP TA;
- 3) define/clarify the level of support that are available for various capacity development modes;
- 4) set a rational/equitable process and criteria for participant nomination and selection.

Coverage

These guidelines shall govern ASEP support to the participation in OFF-COUNTRY and IN-COUNTRY CapDev initiatives and learning events by officers and staff of ASEP partner-institutions, namely: the Department of Energy (DOE), Energy Regulatory Commission (ERC), National Power Corporation/Small Power Utilities Group (NPC-SPUG) and the National Electrification Administration (NEA).

IMPLEMENTING GUIDELINES

1 Nature and Level of Support for CapDev Initiatives

- 1.1 CapDev-initiatives that may be eligible for support under the EU-ASEP TA shall be limited to those that fall within the fields of “Rural electrification”, “Renewable Energies”, “Energy efficiency” and “Interagency cooperation/coordination.”
- 1.2 CapDev-initiatives include all kinds of learning programs/events (e.g., trainings, workshops, conferences, conventions, fora, symposia, summer schools, etc.) which lead to the development of the capacities of selected staff members of ASEP partner- agencies.
- 1.3 The duration of a supported learning program/event shall not be less than 3 days and not more than 2 weeks. Exceptions from this criterion may be made if special circumstances prevail.
- 1.4 The maximum budget (covering all ASEP-subsidized expenses) for an individual participant shall not exceed 5000€. Exceptions from this limitation may be considered/allowed as special circumstances would warrant, provided prior approval thereon shall have been secured and granted.
- 1.5 Since ASEP’s yearly budget allocation for the support of individual participation in CapDev initiatives is limited to 50.000€, any eligible initiative that cannot be funded under the 2017 budget may be considered for funding in 2018, if such program offering will still be available.

2 Identification and Evaluation of ASEP-Supported CapDev Initiatives

- 2.1 Any officer or staff member from an ASEP partner-agency may identify and apply for ASEP sponsorship/support of his/her participation in a CapDev initiative or learning event, both local (In-Country) and foreign (Off-country), that meets ASEP’s criterion.

A manager/supervisor may undertake Step 2.1 above in behalf of his/her subordinate staff who shall be properly informed thereof prior to formal submission of the request.

Availment of ASEP CapDev initiatives shall be based on employees’ needs for growth and advancement as aligned with the organizations’ goals in regards to “Rural electrification”, “Renewable Energies”, “Energy efficiency” and “Inter-agency cooperation/coordination;”

- 2.2 The CapDev initiatives should be selected from among those that are offered by or are available in member states of the European Union. However, the EU ASEP TA may also support events done outside of the European Union only if such events are supportive of the regional integration of ASEAN policies and strategies.



2.3 While requests for approval of an identified CapDev initiative may be filed at any time, the schedule for ASEP’s review and approval shall be only six (6) times in a year. Corollary thereto, requests shall only be considered for review if there is a three-month lead time between the approval/endorsement date and the actual schedule of such CapDev initiative. Further such requests should involve only those CapDev initiatives that are scheduled/completed not later than April 30, 2019 (i.e., 4 months before the September 2019 project termination date).

These prescriptions are summarized in the Table below.

<i>Review Period</i>	<i>Endorsement of Approved Requests</i>	<i>Requests Covered</i>	<i>Schedule of the CapDev Initiative (latest April 30 2019)</i>
August 1 – 15, 2017	August 17, 2017	Requests filed from June 1 to July 31, 2017	November 17, 2017 or later
October 1 – 15, 2017	October 17, 2017	Requests filed from August 1 to September 30, 2017	January 17, 2018 or later
December 1 – 15, 2017	December 17, 2017	Requests filed from October 1 to November 30, 2017	March 18, 2018 or later
February 1-15, 2018	February 18, 2018	Requests filed from December 1, 2017 to January 31, 2018	May 18, 2018 or later
April 1 – 15, 2018	April 18, 2018	Requests filed from February 1 to March 31, 2018	July 18, 2018 or later
June 1 – 15, 2018	June 18, 2018	Requests filed from April 1 to May 31, 2018	September 18, 2018 or later
August 1 – 15, 2018	August 18, 2018	Requests filed from June 1 to July 31, 2018	November 18, 2018 or later
October 1 – 15, 2018	October 18, 2018	Requests filed from August 1 to September 30, 2018	January 19, 2019 or later
December 1 – 15, 2018	December 18, 2018	Requests filed from October 1 to November 30, 2018	March 19, 2019 or later and COMPLETED NOT LATER THAN APRIL 30, 2019

Note: The ASEP Secretariat may undertake as special review outside of the above-given schedule, as special circumstances would warrant.

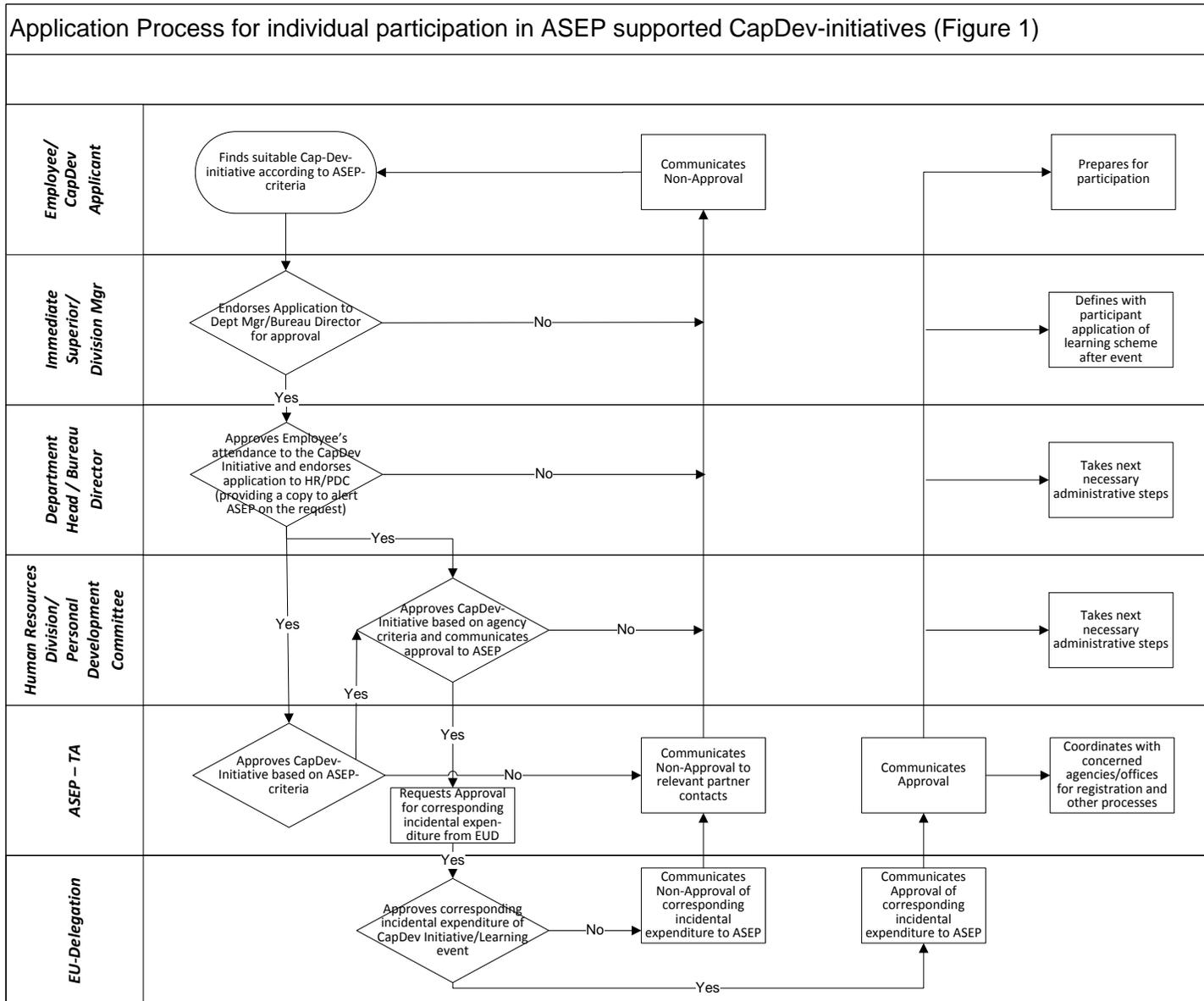
2.4 After identifying the CapDev initiative/learning event, the applicant shall first seek the endorsement by his/her immediate superior/s and the approval by the Department Manager/Service/Bureau Director then submit such application to:

- a) the first copy to the ASEP Project Team (c/o Team Leader, Mr. Mads Christensen) for evaluation of the CapDev initiative/learning event in terms of its eligibility for ASEP sponsorship;



- b) the second copy to the Personnel Development Committee (PDC) c/o Human Resources Division for evaluation/endorsement of the nominee's suitability, on the presumption that ASEP sponsorship is granted;
- 2.5 ASEP evaluates the suitability of the CapDev initiative/learning event and renders a decision on its eligibility for ASEP sponsorship. It shall communicate to the applicant through the Personnel Development Committee, its approval or non-approval (due to non-compliance with certain criteria) to sponsor attendance to such CapDev initiative.
- 2.6 With respect to the employee-applicant's suitability to participate in the CapDev initiative or learning event, ASEP shall rely on the evaluation of the Personnel Development Committee. However, ASEP may forward to the PDC the results of its internal evaluation most especially in cases when the ASEP Team believes that the applicant may not be the best nominee for the learning event.
- 2.7 Upon favourable endorsement by the Personnel Development Committee, the ASEP Team Leader shall endorse the application and related documents to the EU Delegation (EUD) for final review/approval. The EUD communicates to ASEP the final action (approval or non-approval of incidental expenditures) that it has taken. ASEP, in turn, notifies applicant/parties concerned (through the HRD) on EUD's action.
- 2.8 On requests that are approved by EUD, the ASEP CapDev Team, shall coordinate with offices concerned (i.e., PDC, HRD, GIZ, others) for arrangements related to the nominee's registration and the payment of the corresponding program/course fees.
- 2.9 The nominee with the support and guidance of concerned DOE offices shall take responsibility for visa application and other requisite activities in line with existing government/DOE procedures relative to travel and training attendance. ASEP shall provide assistance by making available the necessary documentary support, e.g., requirements for visa application.
- 2.10 In principle and practice, the processes involved relative to the Individual's participation in In-Country and Off-Country learning events shall be in line with the policies/procedures currently existing in the partner-agency concerned. In the case of DOE, for instance, the nomination/selection of participants should be in accordance with DOE Department Order No. DO2005-03-002.

The application, review and approval processes are reflected in the Process Flow Chart shown in Figure 1.



ASEP Technical Assistance is implemented by GIZ International Services, ICF International, Reiner-Lemoine Institute

2. Other Conditions Surrounding the Grant

- 3.1 The employee-applicant may not withdraw from the CapDev-initiative/learning event for which he/she has been endorsed. If an applicant withdraws for highly justifiable reasons e.g., accident, sudden ailment or a force majeure occurrence, the agency concerned shall make the necessary arrangements to provide a replacement.
- 3.2 An employee-applicant who withdraws at a time when course arrangements and registration fees have been paid shall be barred from future ASEP-supported initiatives and in cases when no replacement had been effected, he/she may be held liable to refund the amount of the registration fee that ASEP had paid for the unavailed learning opportunity.
- 3.3 For the duration of the CapDev-initiative, the Grantee shall not be given any assignment by the respective organization or be allowed to accept other assignments outside the organization nor be entitled to any emoluments/allowances or privileges other than those authorized for the CapDev initiative.
- 3.4 The Grantee shall not engage in any gainful employment outside the partner organization for the duration of the CapDev initiative.
- 3.5 The Grantee shall submit to ASEP a copy of the official certificate of performance or equivalent or a copy of the certificate of attendance, participation, completion, etc.
- 3.6 Upon termination of the CapDev-initiative, the Grantee shall submit a copy of the report he/she submits to the HRMD or respective unit in the partner organizations on the CapDev-initiative availed of within thirty calendar days after return to duty.
- 3.7 To maximize benefits, the Grantee, within thirty (30) calendar days after his/her participation in the CapDev-initiative, shall:
 - Conduct briefing/echo seminar in the office, to be scheduled in coordination with the HRMD or respective unit; and
 - Submit the training materials to the Information Technology and Management Services (ITMS) or respective unit, for repository and reference.
- 3.8 While in attendance of the CapDev-Initiative, the Grantee shall adhere to his/her agency's Code of Conduct and behave in manner that shall not bring disgrace or dishonor to his/her organization and country.
- 3.9 Grantees shall comply with all other obligations as defined by his/her organization/agency relative to the availment of learning opportunities of this nature.
- 3.10 The Grantee is expected to contribute to the overall communications and visibility of the European Union Delegation (EUD) in the Philippines, and more specifically to its support to the energy sector. The Grantee should be willing to share the learnings he/she would have gained from the event, such as through writing of a related article for mainstream or social media, taking and sharing relevant photos, and being ready to be interviewed for such purposes.
- 3.11 Condonation of the Grantee's obligations shall be effected in the following instances:
 - Involuntary phase-out of the Grantee in case there is a reorganization; or
 - Grantee's death or permanent total disability.



Attachment # 1

Information to be provided in the application for ASEP support of individual Capacity Development (CapDev) initiatives

When applying for the support of an individual CapDev-initiative the following information should be included in the application document, which should be addressed to the Team Leader of ASEP-TA:

1. CapDev-initiative:
 - a. Title
 - b. Dates
 - c. Duration
 - d. Location
2. Nominee(s):
 - a. Name(s)
 - b. Organization/bureau, division, unit
 - c. Years of service
 - d. Contact details
3. Rationale behind sending the Nominee to the CapDev-initiative:
 - a. Overall goal
 - b. Objectives
 - c. Competencies to be developed
 - d. Short justification why this kind of CapDev-initiative cannot be attended within the Philippines (if initiative is abroad)
4. Provider:
 - a. Name
 - b. Contact details (e-mail, telephone, address)
 - c. Contact person
5. Tuition/registration fee for the CapDev-initiative
6. A link to the CapDev-initiative description/print-out of the CapDev-initiative description



INTERNAL EVALUATION PARAMETERS/PROCESSES

The applications will be screened by ASEP in regards to the below defined criteria for selection. The screening will be done in consultation with the affected stakeholders, if necessary. The overall guidance for the selection of participants is the best cost-benefit ratio (lowest cost with the highest impact on overall ASEP goals). The rating of the eligibility shall be aligned with the criteria set by the guidelines from the DOE Department Order No. DO2005-03-002 (with a modification in the percentage weight and an addition on co-financing) and will be as follows:

1. 30%: Relevance to the mandate of the beneficiary’s office in regards to “Rural electrification”, “Renewable Energies”, “Energy efficiency” and “Interagency cooperation/coordination”. On a scale of 1 to 5, the nominee is rated where 5 is the highest and 1 is the lowest, where n is the rating and 5 is the constant factor, computed as follows: $n / 5 \times 30$
2. 40%: General applicability to actual duties and responsibilities and/or immediate future work assignments in regards to “Rural electrification”, “Renewable Energies”, “Energy efficiency” and “Interagency cooperation/coordination”. On a scale of 1 to 5, the nominee is rated where 5 is the highest and 1 is the lowest, where n is the rating and 5 is the constant factor, computed as follows: $n / 5 \times 40$
3. 15%: Frequency of availment of a CapDev-initiative from the entity (while ERC, NEA and NPC-SPUG shall be counted as different entities, the different bureaus of DOE shall also be counted as separate entities for the purpose of this calculation), computed as follows:

Where:

n’ = raw score

n = actual no. of CapDev-initiatives availed of

N = highest no. of CapDev-initiatives availed of among the different entities

15 = max. percentage attainable per entity

$n' = n / N \times 15$

Frequency Table	
Percentage (%)	n’
15	0
14	1
13	2
12	3
11	4
10	5
9	6
8	7
7	8
6	9
5	10
4	11
3	12
2	13
1	14
0	15

Example:
Fact: ERC, EPIMB and EUMB have availed of 10, 12 and 7 CapDev-initiatives respectively.
Computations:
A: $n' = 10/12 \times 15 = 12.50 = 13$
B: $n' = 12/12 \times 15 = 15.00 = 15$
C: $n' = 7/12 \times 15 = 8.75 = 9$
To find the corresponding frequency percentage, refer to the above frequency table.
Answer: ERC, EPIMB and EUMB get 5%, 0% and 6%, respectively, the last being the highest.

4. 10%: Co-financing by the partner organizations. On a scale of 1 to 100, the CapDev-initiative is rated in regards to the contribution of the partner organization to covering the costs of the CapDev-initiatives, where 100 stands for full coverage by the partner organization and 0 for no cost coverage at all (the rating should be according to the percentage covered by the partner organization), where n is the rating and 100 is the constant factor, computed as follows: $n / 100 \times 10$
5. 5%: Others (factors critical to the 5% nomination). Each nominee shall be rated according to other influencing factors deemed relevant in considering a person eligible for participating in a CapDev-initiative. On a scale of 1 to 5, the nominee is rated where 5 is the highest and 1 is the lowest, where n is the rating and 5 is the constant factor, computed as follows: $n / 5 \times 5$

The overall score of an application has to exceed 50 to be accepted by ASEP.