## Self-Assessment: 6.0 Institutional Considerations and Alignment

This self-assessment worksheet is intended to assist State DOT agency staff, especially in the Executive functional area (but also others with responsibility for leading GHG initiatives), in determining where their agency falls on the GHG engagement spectrum for institutional alignment. Self-assessments for other individual functional units may be found in their respective sections and more on program implementation may be found in Section 19.0, “Putting It All Together.”

#### Primary GHG Interests and Responsibilities

* Agency leadership, coordination across department leadership, resourcing, prioritization, setting targets, advising on policy.

#### Staff Responsibilities

List the staff position(s) and/or person(s) responsible for ensuring that institutional alignment to address GHG takes place. Role: **Lead** = program coordination, management, and oversight; **Support** = technical or procedural support (e.g., emissions calculations).

|  |  |  |  |
| --- | --- | --- | --- |
| Unit | Title/Position/Topic | Name | Role (Lead/Support) |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |

#### Level of Engagement

Select the level that best identifies how engaged your agency is, as a whole, on institutional alignment to address GHG, and how engaged you might want to be within the next few years.

| Now | Within 3 Years? | Has Your Agency Defined Institutional Roles and Responsibilities Related to GHG Emissions Reduction? | Level |
| --- | --- | --- | --- |
| \_\_\_\_\_ | \_\_\_\_\_ | No roles defined. | 1 |
| \_\_\_\_\_ | \_\_\_\_\_ | Assigned leadership/lead role for GHG activities, but not a comprehensive set of roles and coordination mechanisms. Primary focus on agency emissions. | 2 |
| \_\_\_\_\_ | \_\_\_\_\_ | Assigned leadership and some supporting roles for GHG activities but limited/‌incomplete coordination mechanisms. Focus includes system emissions. | 3 |
| \_\_\_\_\_ | \_\_\_\_\_ | Assigned complete set of leadership and supporting roles for GHG activities, covering all functional areas, and with comprehensive coordination mechanisms, including internal and external coordination. Focus mainly on system emissions and includes agency purchases and operations. | 4 |

|  |  |  |  |
| --- | --- | --- | --- |
| Now | Within 3 Years? | How Does Your Agency Coordinate GHG Reduction Efforts Across Functional Areas? | Level |
| \_\_\_\_\_ | \_\_\_\_\_ | No clear coordination mechanism. | 1 |
| \_\_\_\_\_ | \_\_\_\_\_ | Informal coordination based on 1-1 communication between GHG lead and other staff. | 2 |
| \_\_\_\_\_ | \_\_\_\_\_ | Formal coordination included as part of standing management practice. | 3 |
| \_\_\_\_\_ | \_\_\_\_\_ | Formal Executive task force or working group of leadership that:   * Meets monthly or quarterly. * Maintains a standing agenda with regular report outs. * Keeps minutes with updated assignments and targets. | 4 |

#### Strategies to Support GHG Emissions Reduction

Identify specific strategies your agency is undertaking now and which ones you might want to be undertaking in a few years. The table indicates what “level of engagement” (1–4) the strategy may be associated with. More advanced strategies indicate higher levels of engagement that also require more effort.

|  |  |  |  |
| --- | --- | --- | --- |
| Doing Now? | Within 3 Years? | Selected Executive Strategies | Level of Engagement |
| \_\_\_\_\_ | \_\_\_\_\_ | Preparing and supporting leadership for understanding, goal setting and action on GHG policy-making:   1. Confirm no action with Senior State Officials. 2. Engage Senior State Officials on policy initiative. 3. Coordinate with Senior State Officials on informal efforts. 4. Inform and encourage Senior State Officials on formal efforts and implications. | 1  2  3  4 |
| \_\_\_\_\_ | \_\_\_\_\_ | GHG program leadership and staffing:   1. Inform DOT Executive Staff on State Policy. 2. Engage DOT Executive Staff on informal efforts. 3. Direct DOT Executive Staff to formalize efforts. 4. Manage comprehensive GHG program. | 1  2  3  4 |
| \_\_\_\_\_ | \_\_\_\_\_ | Providing mechanisms for internal coordination:   1. No mechanisms. 2. Make initial temporary scoping assignments. 3. Designate ongoing leadership, set priorities, allocate resources. 4. Manage ongoing efforts; approve metrics, targets, tradeoffs. | 1  2  3  4 |
| \_\_\_\_\_ | \_\_\_\_\_ | Managing partnerships and public outreach:   1. Not applicable. 2. Advise partner agencies. 3. Engage partner agencies; inform public and NGOs. 4. Act in concert with partner agencies; engage public and NGOs. | 1  2  3  4 |
| \_\_\_\_\_ | \_\_\_\_\_ | Leveraging synergies with related programs and initiatives:   1. Not applicable. 2. Encourage GHG reductions as part of “normal work.” 3. Require GHG reductions as part of “normal work.” 4. Manage target GHG reductions as part of “normal work.” | 1  2  3  4 |

#### Action Plan

What actions will you take to implement the strategies you identified above to advance your agency’s institutional alignment on GHG issues?

|  |  |  |
| --- | --- | --- |
| Action | Timeframe | Lead Responsibility |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |