

This document contains additional material to complement the main publication of the 2007 Capacity Collective workshop: **Capacity for a Change**.

It consists of **four scoping papers**, produced by invited participants in preparation for the workshop, based on their experience of Capacity Development (CD) in four continents.

The tables which follow were also prepared as part of the preparatory scoping study, to give an overview of **existing CD definitions, CD expenditures, major CD programmes, empirical studies and evaluations**, as well as some **existing** frameworks for CD.

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Peter Taylor and Peter Clarke, IDS, Sussex, January 2008.

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Appendix C: Scoping paper 1

Knowledge Production, Sharing and Use: Programming Capacity Valorisation

By Richard Akum Jr.
CODESRIA

CODESRIA Research Training: A Brief Overview

Since its founding in 1973, the Council for the Development of Social Science Research in Africa (CODESRIA) has evolved into the leading social research organisation in Africa with the university acting as CODESRIA's principal partner in the knowledge production process. CODESRIA's history, just like that of the African university is inextricably fused with the political, social and economic dynamics within the African continent. These changes have to a large extent shaped the Council's missions and goals of promoting knowledge production on and about Africa, combating the fragmentation of knowledge production and increasing the visibility of knowledge generated from Africa. Central to these triadic goals is the constant pursuit of capacity valorisation in the generation, use and dissemination of knowledge. The main modus operandi that has maintained this focus on the founding mission by adapting it to changing situations and contexts has been the process of capacity valorisation. Hence, the Council's programmes have adapted to changing situational contexts, its founding mission remains as relevant today as it was in 1973.

Capacity Development Within the Context of Research Training

A reading of literature on capacity development reveals an evolution in the definition and a constant renewal of the assumptions underlying its implementation. Formerly labelled 'technical cooperation' and later 'capacity building,' capacity development initially in the immediate aftermath of World War Two assumed the transfer of technical know-how from knowledge centres towards knowledge peripheries. The basic environmental, technical, human capital and process interactive assumptions underlying previous conceptualisations of technical cooperation were simplistically linear. However, changing global contexts within the post-Cold War world have necessitated the reconceptualisation of capacity development, which Malik (2002) defines as the ability of actors (individuals, groups, organisations, institutions, countries) to perform specified functions or specified objectives effectively and efficiently. Implicit within this definition are environmental, participatory, process and technical assumptions which underpin the non-linear process of capacity development.

It becomes important, therefore, to understand the contextual locus within which CODESRIA operates in its drive to develop research capacity. The specific locus for CODESRIA research training capacity development work is in relation to the African university. Chachage (2006) describes the role of the African university as threefold – to transmit advanced knowledge from one generation to another so that this can serve either as a basis of action, or as a springboard for further research; to advance the frontiers of knowledge through its possession of a good library and laboratory facilities; and finally to provide high-level manpower to society. It is in understanding these roles of the African university and their potential to holistically contribute to the development of capacity that CODESRIA constantly challenges perception which promote the wholesale commercialisation of training in favour of vocational training in post basic education in Africa as advanced by Zimmerman (2003). This practise is based on a misreading of the capacity challenges facing the African state in its developmental effort.

CODESRIA maintains a strong and symbiotic relationship with the African university to the extent that CODESRIA's work and output is greatly affected by the changing fortunes of the African university. This changing context is adequately captured by Lumumba (2005) when she asserts that conceived as institutions for individual social mobility and national development, African universities failed to attain their ascribed development roles as a result of economic crises and austerity policies imposed by international financial institutions, especially the World Bank through its structural adjustment programmes.

Given the university's role as a principal site for the tertiary production and dissemination of knowledge, which in itself is central to shoring up the developmental mission in society at large, it becomes an integral locus for explaining and understanding capacity availability and use in dealing with the developmental challenges within different societies. This knowledge production role of the university is inalienably linked with all of the environmental, human capacity, technical and process interactive assumptions which underpin the operationalisation of capacity development. The university also becomes the locus for the development of a holistic approach to capacity development which transcends the linear, limited and targeted approaches which have address limited symptoms, yet failed to eliminate the disease itself.

Assuming that research is at the core of theory formation, policy development and knowledge production, CODESRIA research training mission becomes a centrepiece in targeting the capacity challenges posed within African knowledge production systems. Hence the reason why this presentation seeks to present CODESRIA's Research Training programme as part of a broad-based initiative aimed at transcending the balkanisation of knowledge production in and on Africa, producing and disseminating accurate research findings on Africa and promoting networking among African researchers across linguistic barriers. The challenges faced in this mission would also be exhibited with the aim of contributing to rethinking ways of overcoming global asymmetries in knowledge production which in turn affect capacity development programming.

CODESRIA's Research Training Mission

CODESRIA starts from the premise of capacity availability in Africa, capacity which ought to be valorised in the knowledge generation process with varying consequences on knowledge sharing and use. This premise has underpinned the Council's methodical and systematic approaches to adapt its capacity valorisation programmes to the changing political, social and economic realities affecting the knowledge generation process in Africa. First and foremost, the Council favours and creates an enabling environment for the structuring and flourishing of cross-regional and inter-generational networks. While the promotion of inter-regional networks contributes to combating the balkanisation of knowledge generation and promotes knowledge sharing across national borders, intergenerational networks foster a transfer of capacity through mentorship of junior scholars by more senior scholars.

In terms of global exchanges, the Council has forged working relationships with partners in both the global north and the global south, exchanges which remain grounded in the Council's founding principles. The Council has remained committed to participating in North-South encounters within which the Council's position has been to promote the explanation of African realities by African scholars, communicate the African perspectives on global issues dominating the intellectual agenda and scientifically contesting the erroneous reading of the African reality. Meanwhile, South-South collaborations have been driven by the need for the Council's research partners in Africa, Asia and Latin America to challenge hegemonic notions of what the south entails, setting the intellectual agenda of the South, while providing interpretive constructs for building the south's research agenda.

These different approaches taken by the Council have translated into the development of a robust research training programme which provides a venue for capacity valorisation tailored to meeting the various challenges existing within African knowledge generation, use and sharing. The major challenge to these processes, thus necessitating capacity valorisation have emerged from the demise of associational life within African higher education cycles which are attributable to external and internal causes. Given these challenges, the Council's research training programme has developed sustainable capacity valorisation programmes which cater to the thematic, methodological and associational aspects of knowledge production, use and sharing.

CODESRIA's Thematic Institutes

In 1992, the Council conceived a programme of thematic institutes as a forum through which mid-career scholars in African universities could be assembled to work on a common research concern, with a view to generating knowledge on topical scientific and policy-related issues. The institute concept also fills a gap in providing for cross-national mobility among a generation of scholars who have, on average been isolated and immobilised by the crisis in the higher education system. The Council currently organises five annual thematic institutes which include – The Democratic Governance Institute; the Gender Institute; the Child and Youth Studies Institute; the Institute on Politics, Health and Society and the Humanities Institute. Over the course of four weeks, the Council assembles a group of 15 African scholars spanning different disciplinary, generational, gender and regional groups to discuss a specific theme. Lectures and discussions are carried out under the tutelage of a renowned scholar who serves as institute director and established scholars who serve as resource persons. The Democratic Governance Institute was launched in 1992 out of the major debates underlying the causes and solutions to the African economic crises. Beyond limited interpretations which called for price adjustments as the principal solution to the crises, this institute broadened the prism of possible solutions to extend to governance, power and politics within the African state. Recent themes have included – Governing the African Security Sector (2007); the Legislature in Africa's Democratic Transition (2006) and The Media in African Governance (2005).

Meanwhile the Gender Institute, which was launched in 1994 was a result of a 1991 conference on 'Engendering Social Sciences in Africa' which also led to one of the leading publications on the subject in Africa. This General Assembly called for the integration of gender research and methods into the mainstream of the Council's work. The establishment of the Gender Institute exhibited the determination of the Council to invest in new terrains of knowledge production whilst simultaneously reaching out to communities of researchers that were relatively marginal in its work. Recent Gender Institutes themes have included – African Female Elites: Origins, Ideologies and Practices (2007); Gender in the Arts (2006); Masculinities in Contemporary Africa (2005).

The Child and Youth Studies Institute served to signal the commitment of the Council to the building of a networked community of researchers in Africa actively engaged in the generation of new knowledge on a question of growing importance given the demographic structure of African countries and the central place increasingly occupied by child and youth concerns in political, social and economic processes. This was done given the Council's understanding that research studies on the younger members of African societies were few and far between, and tended to be confined to the fields of Psychology and Public Health. Recent themes of the Child and Youth Studies Institute include – African Youth Cultures and the ICT Revolution (2007); Street Children and Lumpen Youth: Childhood and Youth Livelihood at the Margins (2006) and The Role of Music and Sports in Building Child and Youth Identities in Contemporary Africa (2005).

The latest in the addition of institutes is the Institute on Politics, Health and Society which was launched in 2004 to promote dialogue between the biomedical sciences and the social sciences. However the context within which culturalist and biomedical explanations were privileged in elucidating the HIV/AIDS pandemic in Africa and its social impacts gave sound rationale for greater involvement in promoting critical and innovative perspectives in the area. Some themes of the Institute on Politics, Health and Society include – Private Health Provisioning in Africa (2007); Access and Equity in African Health Systems (2006); and Traditional Forms of Health Provisioning in Africa (2005).

While the Humanities Institute Programme is not fashioned in the same manner as other CODESRIA institutes, it was launched in 1997 and has since then been housed at the University of Ghana in Legon. Its launching was based on an interest to promote social research in the Humanities and structure interactions between the Humanities and the Social Sciences. It operates through the scheduling of thematic seminars which gathers scholars and practitioners in forums to explore innovative avenues for knowledge production. Some recent themes of forums in the Humanities Institute Programme include – Cinematographic Aesthetics and Cultures in Africa; Canonical Works and Continuing Innovation in the African Arts and Humanities and Circles and Time: A Theory of Structural Organisation of African Music.

The topics covered in the different CODESRIA Institutes display the Council's commitment to setting and building the agenda of knowledge generation in Africa by providing a venue for the critical review and interpretation of the dynamics underpinning social transformative processes in Africa. At the same time they provide a venue for inter-generational exchanges, dialogues across the different social science disciplines and reflect gendered presentation of perspectives. Participants come to the Institutes with research proposals which are later developed into research papers after completion of the relevant field work. These papers are then reviewed by the Institute Director who makes selections for publication prior to the manuscript rolling into the publication stream out of which it emerges as a contribution of African perspectives into the leading debates across the areas of governance, gender, child and youth and health, politics and society.

CODESRIA's Research Methodology Workshops

The Council favours multi-disciplinary approaches to knowledge production. Hence, beyond the thematic institutes, the Council has responded to the growing gap in research training among African younger generation of scholars by providing a number of research training programmes which focus on issues of methodology in social research. These include the Sub-regional Methodology Workshops and the Scholarly Writing Workshops. A Sub-regional Methodology Workshop is held annually across the five sub-regions of the African continent plus a special session for Nigeria which started in 2006. Structured as research seminars, this workshop brings together 15 selected scholars under the tutelage of a seasoned research coordinator and four resource persons over the course of a week (forty seminar hours) within a host university in the sub-region. An open invitation is also extended to junior and senior scholars within the host university. The Sub-regional Methodology Workshop provides a venue for departing from the instrumentalisation of the research process to nurturing epistemological considerations as integral to the interaction of the research in relation to the subject or terrain under study. Resource persons are encouraged to place emphases on the consolidation of the critical acumen of the laureates, boosting the basis for their self-confidence and the promotion of their sense of belonging to an international community of researchers. These workshops are central to the knowledge production process because they challenge participants to create the requisite distance between the subject and the object of enquiry which lies at the heart of scientific validity in research.

As a complement to the Sub-regional methodological workshop, CODESRIA has developed the Training for Trainers programmes which would target lecturers of methodology courses within African university. This programme seeks to go through lecturers of courses in social science research methodology to lift the standards of training in research methodology across undergraduate and graduate university cycles. Beyond pure issues of methodology, this programme also tackles pedagogical and curricular aspects of methodology training within social science programmes.

Meanwhile the Scholarly Writing Workshops are a direct response to the declining skills in the presentation of results emanating from scientific research which the Council has observed in the many submissions of articles for publication consideration in its 10 journals. These workshops are designed to cultivate in young and budding researchers the art of excellence in writing through the logical presentation and sequencing of arguments and counter-arguments. This programme holds the promise of ensuring that the voice of knowledge generated in Africa would be better heard if well articulated in print.

Change is a constant to which the Council seeks pre-emptively to adapt in its capacity valorisation for knowledge generation exercises hence the profound interest within the Council on inter-generational dialogues and mentoring. The current generational transitioning of academic and research duties from an ageing generation of African scholars to a younger generation has evidenced operational inadequacies and weaknesses in the academic and administrative capacity of the younger scholars. Within these operational gaps which impact the knowledge generation milieu in Africa, the Council has engaged in contributing to the strengthening of the classic elements of higher education initially by sponsoring the Interfaculty Seminar Series and erecting a College of Mentors. The Interfaculty Seminar Series encourages the creation of seminar programmes which are structured to provide a milieu for intellectual exchange between young and senior scholars. This programme is designed to revive and nurture the spirit of debate within the African academy, whose product is the emergence of refined arguments which capture the situational nuances which the junior scholar seeks to present. It also provides a de facto peer review mechanism through which established scholars catch a glimpse at the research interests of their younger peers and help provide alternative methodological trajectories and epistemological interpretations of issues and variables. This is a necessity in the cycle of knowledge production as the older generation phases out while the newer generation phases in only to be phased out in turn. Hence the capacity valorised within this milieu would bridge those gaps which often emerge with inter-generational transitions.

The College of Mentors is a programme currently being developed by the Council feeding into its broader purview of enhancing the quality of knowledge generation in Africa. It also responds to the problems of brain drain and the book famine which continue to plague the African higher education system. This programme seeks to pair laureates of the CODESRIA Small Grants for Thesis Writing Programme with established scholars both in Africa and around the world working in the same area of research as the laureate. The mentors would provide critical methodological and epistemological guidance to the young researcher conducting doctoral research on specific topical issues. The purpose of this mentor-mentee relationship is to raise the quality of academic material being generated by young African scholars who have shown great promise by winning the Small Grants for Thesis Writing, which is a programme based entirely on merit.

Given that capacity valorisation is a constant process, the Council works to retain the capacity it has valorised within its knowledge generation, sharing and use activities. In order to achieve this end, the Council develops ways to maintain knowledge generation

networks within its community of scholars. These networks do not only point the distance which the Council has covered in dealing with the challenges facing knowledge generation in Africa, it provides continued ideational renewal within the community. The Conference for CODESRIA Institute Alumni, which was launched this year is one initiative which seeks to keep the community from the Institutes networked. Organised around the theme 'Rethinking the State in Africa,' 75 former laureates were invited after a selection process to make presentations on and around the theme. This initiative reaffirms the Council's commitment to interdisciplinary dialogue within the African social science community but creates an avenue to keep that capacity developed by the Council committed to the knowledge production process through the development of innovative interpretative and analytical paths in their research.

CODESRIA is also working to develop a network of Deans of Social Science and Humanities programmes in Africa through the hosting of an annual Conference of Deans. This conference provides the Council with an opportunity to network deans of social science and humanities programmes across Africa and nurture the exchange of ideas and experiences in the process of managing the knowledge production space which is the African university. It also provides the Council with insights into many of the challenges faced in the development of social science and humanities programmes as well as a means for recommending programmatic retooling within the decision-making structures of the university.

Through the CODESRIA Prize for Doctoral Thesis, the Council seeks to valorise post-graduate research produced within the African academy. Launched in 2004, the Thesis Prize is awarded annually to the best doctoral thesis produced within an African university. This prize promotes the university as the centre of knowledge production within the African context and encourages African graduate students to keep sight of that knowledge generation mission which is at the heart of the university's existence. Other than a cash prize which the winning thesis receives, the thesis is also published in the 'Africa in the New Millennium Series' by CODESRIA in conjunction with Zed Books in London. To promote the transfer of knowledge across linguistic barriers in Africa, the book is also translated and published in French, Portuguese and Arabic. The initial winning thesis authored by Mary Stella Okolo was recently published under the title 'African Literature as Political Philosophy.' In keeping with CODESRIA's mission of promoting interdisciplinary knowledge production, Ms Okollo's book straddled the fields of literature, philosophy and political science.

The level of capacity available in Africa has not been constant over time. With fluctuations in the capacity of the research community in the knowledge production endeavour, the Council has adapted its programming to meet new challenges. The Council's proximity to the African social research community and the over 20 encounters organised with researchers annually provide it with a clear picture of the capacity needs of the African social research capacity. However, in its many research, training and publications programmes, it uses high level capacity available within the social research community within Africa and in the Diaspora. The Council is currently developing a database of African researchers in the social sciences and humanities as part of its effort to having African scholars play a more fundamental role in the knowledge production process. This database has served the purpose of helping the Council provide the International Labour Organisation with African researchers to contribute to research on new labour markets in Africa. This collaborative effort outlines the potential for knowledge production for policy uses.

Over the past couple of years, the Council has also engaged in a number of initiatives seeking to bridge the chasm between the social research community and policy makers. The Policy Dialogue initiatives have provided a venue for the exchange of research findings and policy positions between researchers and past and present decision-makers. More recently, the Council has organised policy dialogues on 'Citizenship and Conflict in Africa' and 'The Politics of Succession in West Africa.' These policy dialogues provide both knowledge generation and knowledge sharing for constituencies which are on different levels of public policy decision-making scale.

The Council currently has 10 journals in its stable of journals. The journal publication process is one which privileges the production and dissemination of knowledge in and about Africa. These journals span the spectrum of social science and humanities disciplines from sociology to history, while there is also an Afro-Asian journal which seeks to promote south-south avenues for knowledge generation, use and sharing. A new partnership with Zed books London has led to the publication of the 'Africa in the New Millennium' series which seeks to enhance the visibility of African publications as well as make the publications readily accessible to global audiences. Within the pages of the Council's different journals, one can read some of the most profound debates on cutting edge social issues affecting Africa. These journals exhibit the lack of consensus on many issues which provides the *raison d'être* for continued social scientific knowledge production by a very vibrant African social research community both in Africa and abroad.

CODESRIA maintains the relevance of social researchers in African Diaspora communities to contribute to knowledge generation, use and sharing on and about the continent. The Council's inclusive membership policy provides a participatory platform upon which African social researchers in the Diaspora can not only become active members in charting the Council's intellectual agenda, but can also contribute to the knowledge production process on the continent. They therefore also play a central role in sharing this knowledge with research communities within which they operate.

The CODESRIA Documentation and Information Centre (CODICE) has been developed into the principal repository for social science information on and about Africa. It has already emerged as a centrepiece of the Council's capacity valorisation mission by providing a pool of bibliographic and reference documentation for the Council's research training, research and publications programmes. Meanwhile, knowledge generated by the Council is also pooled at CODICE for use by researchers resident in Dakar. As part of a larger dissemination strategy for knowledge generated by the Council, some copies of articles from the Council's journals have also been made available online.

Challenges to CODESRIA's Capacity Development Mission

Given CODESRIA's commitment to longitudinal research, a major challenge remains that of interesting young scholars in maintaining a longitudinal interest in specialized areas of research. The organization has observed a tendency, especially among the junior researchers to sway according to the dominant trends in research topics. For example, the same researcher could express an interest in studying 'urbanization and migration' one day and 'public health provisioning' the next because it becomes more fashionable and without really linking 'urbanization' to 'public health provision.' This intellectual dispersion does not provide the opportunity to maintain the kind of longitudinal interest which is at the core of theory formation and knowledge production. This in turn affects the potential to make salient contributions to capacity development processes.

Another major challenge to the contribution of knowledge production in capacity building comes from the consultancy culture which is altering methodological and operational aspects of the research process in Africa. Consultancy contracts which are targeted at the research community at large (while seeking the best possible researchers) often come with restrictive terms of reference. Beyond the limited terms of reference which point to a priori expected research results, African scholars within international studies are often relegated to the roles of data collectors while the locus of analysis is maintained in research centres in the global north. Furthermore, given the limited timeframe and narrow specifics of consultancy appointments, the methodologies applied often are more instrumental than epistemological given that they evolve out of a problematic developed and argued elsewhere. This presents an enormous challenge to inculcating the culture of rigour and rectitude which is required in knowledge production for development.

The perennial problem of building and executing programmes based on the availability of donor funding also makes capacity building in research training programmes vulnerable to the whims of the donor community. This is a problem which CODESRIA has addressed through its historical commitment to African social research and it's the relationship of trust which it has developed with the donor community. However, other social research organizations in Africa face this problem, a situation which invariably weakens CODESRIA's position, given that it cannot be the lone star in the firmament.

Need for Change

The very assumptions which traditionally underlie technical assistance, technical cooperation and capacity development programmes in terms of the positional locus of capacity within the developed world and its transfer to less developed loci devoid of an understanding of technological platforms and tertiary skills ought to be revisited. This can be done by starting from the premise that the globalization of human resources has transformed the potential for the allocation and distribution of human capital globally.

Evolving out of that interpretation of human and social capital distribution evolves the need to shift the global asymmetries of power which continue to pervade knowledge production and consumption. This would only take place through shifting the perceptual and institutional prisms through which value and recognition are ascribed.

Conclusion

CODESRIA's engagement with the dynamic terrain of higher education in Africa evidenced synergistic programming between research training, research and publication which culminate in sustained capacity valorisation. However looking forward, there remain a number of strategic, visionary and integrative challenges which are not all mutually exclusive. The Council ought to be a step ahead of the field in identifying gaps in the African knowledge generation, use and sharing process as it continues to construct an edifice which values sustained capacity valorisation. This vision ought to be coupled with innovative approaches which build on its 34 year experience in African knowledge production. This adaptability would emerge through the development of stronger relations and greater responsiveness to its individual and institutional member base while conducting innovative research on the changing trends in knowledge production. The strengthening of partnerships with like-minded institutions around the globe would enhance the quality of the Council's work through capacity sharing which would be beneficial to both the Council and its partners. The principal challenge remains the collective designing of an operative blueprint which would guide this process of renewal and consolidation.

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Perspectives on Capacity Development at IDS Sussex

By Peter Clarke

Institute of Development Studies

The Institute of Development Studies at the University of Sussex, Brighton is an organisation for research, teaching and communications on international development, founded in 1966. Through these three activities it aims to generate, mobilise and share knowledge, to contribute to the realisation of its vision of *a world in which poverty does not exist, social justice prevails and the voices of all people are heard in national and international institutions*. The Institute's strategy 2005-2010 defines capacity as one of three key elements, together with influence and partnership, and states¹:

We will mainstream a concern with capacity building in all of our work, in our teaching, research and knowledge services.... the key to successfully translating development policy into practice and vice versa, lies in acknowledging and tackling capacity needs up front, rather than as an afterthought.

This paper, for the Capacity Collective, was prepared through short interviews with a few key individuals (see appendix) and the study of existing documents. A particularly valuable source was a 2006 internal study examining the scope for joint approaches to research capacity building across teams,² but this study is only one of a range of initiatives demonstrating a current concern in the institute with issues related to capacity development (CD):

- Within the Information Team, the 'Strategic Learning Initiative' is engaged in a strategic review of IDS Knowledge Services, with special reference to capacity development
- There have been various recent initiatives to debate policy and practice around IDS partnerships, which are closely linked to CD
- The 'Capacity Collective' is intended as a wider exploration of Capacity Development issues, but arose out of discussions between IDS and some key partners

No shared concept of capacity development

There is no single shared definition of CD among the Institute's diverse teams, programmes, projects and individual researchers, and achieving one is probably an impossibility. The difficulty is compounded by the lack of agreement about the value of the term. There is a tension between studying what is labelled as CD (or CB - capacity building) on the one hand, and challenging the boundaries or existence of this labelling, on the other:

Most teams indicate that they have no explicit conceptual model of CD. Standing and Hunter worked with definitions derived from Morgan (2006), differentiating between:

- Capacity to generate development results
- Capacity to achieve and maintain operating space and legitimacy
- Capacity to learn and adapt

As well as distinguishing three levels at which strategies may be aimed:

- Individuals
- Organisations or networks/sectors
- Enabling environment

¹ Institute of Development Studies.

Strategy: knowledge for a better world. IDS, Brighton.

² Standing, H. and Hunter, C. (2006).

A Cross Institute Approach to Research Capacity Building: the possibilities and challenges of coordination. (IDS internal paper).

³ Morgan, P (2006).

Capacity, what is it? Excerpt from an early draft of the final report on *Capacity, Change and Performance*, European Centre for Development Policy Management, Maastricht. (later drafts differentiate 5 capabilities).

They also deliberately include within the discussion the development of capacities in both the global North and South.

Given the diversity of CD concepts, activities and experience within IDS, this paper reviews a few examples, from the three areas of teaching, research and knowledge services, and suggests some lessons for capacity development practice both generally and in the institute.

Research centres

A number of DFID sponsored Research Centres are based within and across the IDS Research Teams, and all involve collaboration with research partners in developing countries. It has increasingly been a requirement of DFID for these centres (known first as Development Research Centres – DRCs - and later as Research Programme Consortia - RPCs), to present systematic measures for capacity development within their funding proposals. This has encouraged more explicit consideration of the theme of CD within the teams. Similarly, there has been a move towards a more decentralised model of organisation, where the setting of priorities, decision-making and implementation is more widely shared among the partner organisations.

In the account that follows, examples are taken from the three research centres that responded to our request for information, demonstrating a range of experience, and some differences in emphasis.

Concepts

As indicated by Standing and Hunter⁴, there are no explicit frameworks for CD in the research centres, and the focus is on a primarily instrumental approach. The DRC for the Future State, for example (interview) claims no explicit or implicit conceptual model, and focuses CD on building specific research capacity among southern partners for DRC work.

The Pathways of Women's Empowerment RPC defines a purpose to strengthen capacities, and understands capacity strengthening as *facilitating adaptive learning processes through which individuals and institutions become better able to pursue collective goals*⁵. Unlike the OECD definition for CD, it refers here to the intervention, rather than the change process itself.

Activities

The primary focus of CD activities within the three research centres is on training in research methods for junior researchers in southern partner organisations. In 2007 the Future State DRC, for example, organised a second annual training course at IDS, attended by more than 35 students from 12 countries. Additionally, two regional workshops were held in coordination with partner institutions, to meet specific research needs of ongoing projects. This DRC also has a programme of individual professional development for researchers, through fellowships, scholarships and exchanges. Writing and language skills, and other skills related to communication and dissemination are also supported by most of the research centres.

The Future State DRC considers⁶ that interaction between IDS doctoral students and junior researchers in partner organisations has been a very successful way of supporting the development of research skills. Similarly, a key lesson of the Citizenship DRC has been that peer learning within the research centre is often a more effective form of CD than one-off training courses, and it has therefore set aside space for mutual learning, within workshops⁷. However CD is widely understood to involve much more than just specific technical training in research methods for individual researchers, and the research centre programmes reflect this in a number of wider initiatives.

⁴ 2006, pp.4-5

⁵ **Pathways of Women's Empowerment RPC (2006B)**. *Capacity Development Strategy*. IDS. p.1

⁶ **DRC for the Future State - Capacity Building Programme (2007)**. *Report of Activities and Future challenges: July 2006-June 2007*. IDS Brighton. p.1

⁷ **DRC on Citizenship, Participation and Accountability (2006)**. *Annual Report 2005-2006*. IDS, Brighton.

At the **organisational** level, several research centres make reference to the capacity of partners to support research processes, which depends on management capacity and capacity to learn and adapt. The Women's Empowerment RPC strategy for CD refers to fund-raising skills. This RPC also aims to promote the capacity of its member organisations to deliver quality teaching on women's and gender studies, as longer term support for a new generation of researchers. But organisational capacity is more often approached in terms of information needs. The British Library for Development Studies at IDS has worked with many of the research centre partners to provide document delivery services, readers and bibliographies, access to journals and data sets, as well as corresponding training. The Citizenship DRC has built up partner resource centres, encouraging them to distribute publications to their own networks.⁸ Standing and Hunter⁹ point out that infrastructure is another important dimension of partners' organisational capacity, which is very little attended by the research centres, beyond the provision of some basic equipment.

Being themselves **networks**, the DRCs and RPCs also attend CD at this level. The Women's Empowerment RPC considers¹⁰ that strengthening the network is a critical priority, especially in the first years of the programme. As in other research centres, internationally shared activities and exchanges, from workshops to internships, are considered not just for their immediate instrumental outcomes, but above all as an important opportunity to build relationships for network construction. The Citizenship DRC, with more than six years' experience, has paid special attention to network capacity. The DRC Mid-Term Review¹¹ argues that ***much evidence indicated that the capacity of the DRC for high quality research and integrated analysis across country experiences has improved significantly as it has developed shared languages, mutual trust, and capacity to learn from its own diversity.*** A recent draft paper¹² discusses this DRC as an interesting experience of constructing transnational action research networks, while Standing and Hunter refer to this DRC's specific focus on the development of network (and partner) capacity to learn and adapt¹³. These reflections support the authors' argument¹⁴ that IDS should take up the opportunity to extract lessons from its considerable experience with the research centres, to consolidate and develop its expertise in facilitating research CD.

Beyond the DRC and RPC networks, the most recent Citizenship DRC annual report discusses how network members are now linking to other networks and coalitions, ***contributing to further cross-fertilisation of research and ideas.*** From the beginning the Women's Empowerment RPC has a hub structure, in which consortium members constitute regional hubs, to extend CD beyond the members themselves and facilitate capacities for research, communications and teaching in their regions, especially in countries weakened by civil war and violent conflict.

In order for research to translate into policy development, research centres are also concerned about CD beyond the boundaries of their networks, in ***wider society.*** The Women's Empowerment RPC strategy, for example, aims to strengthen:¹⁶ ***the capacity for responsiveness among international development actors... in order to enhance their efforts to promote women's empowerment,*** by inviting colleagues from the international development community to relevant RPC events, as well as offering them guided reading retreats, short courses on women's empowerment, and bibliographic resources.

Within the research networks there are varying, and perhaps increasing, levels of emphasis on the ***mutuality of learning.*** Citizenship DRC and Women's Empowerment RPC strategies are explicit about this¹⁷, and report multidirectional exchanges (N-S, S-N, S-S) including visits of IDS researchers to live and work with, and learn from, southern partners. A Brazilian partner has conducted research on the National Health Service in the UK and a South African partner has worked with AIDS activists in Brazil.

⁸ Citizenship DRC 2006, 5.2.1

⁹ 2006, p.5

¹⁰ Pathways RPC 2006B, p.3

¹¹ Citizenship DRC 2004, p.15

¹² Brown, D. and Gaventa, J. (2006). **Constructing Transnational Action Research Networks: Observations and Reflections from the case of the Citizenship DRC.** Draft document.

¹³ 2006, p.7

¹⁴ 2006, p.13

¹⁵ Citizenship DRC 2007, Draft Annual Report 2006-2007. *Internal document. 6.6 Annex on Capacity Development*

¹⁶ Pathways RPC 2006B, p.2

Challenges

A general problem facing the research networks is their future when funding terminates, and this raises the corresponding issue of the legacy of their capacity development processes. Standing and Hunter¹⁸ report an opinion that *if future consortia are funded they will be led by southern institutions*. Some consortia are working to create capacity in southern partners to manage the networks in the future, and one existing network formerly coordinated from IDS, LogoLink¹⁹, has already transferred its coordination to Brazil.

Standing and Hunter²⁰ draw attention to the focus of the research consortia on concrete activities such as training. Reports of CD programmes, and our short interviews, have tended to concentrate on those activities defined as CD within programme budgets, rather than a broader perspective on CD outcomes, suggesting that it can be difficult to attend simultaneously to immediate project activities and goals, while also considering longer-term capacity issues. This activity focus has also been at the expense of needs assessment and follow-up. Assessment of needs has generally been based on discussions at partnership meetings or specific requests from individual partners. Follow-up has rarely been systematic, and there has been little specific evaluation of CD programmes. An exception is the Citizenship DRC, whose mid-term review assesses CD results²¹ and draws attention to the importance of complementing planned CD activities with flexibility to respond to demands identified as the programme develops, which it refers to as emergent capacity building.

The Future State DRC (interview) draws attention to structural and rather intractable issues that affect the impact of their CD initiatives: the quality of background education in southern countries, research labour-market conditions in partner countries, and resulting brain-drain problems.

Teaching programmes

For thirty years IDS has been offering graduate programmes in development studies to students from all over the world. More than 1,200 alumni, some 40% from southern countries, are now working in a wide range of roles, in diverse organisations and every imaginable country. In the context of the IDS mission, this work has been seen not just as a contribution to professional training, but as a contribution to change. However there has been no systematic follow-up or analysis of the wider impact beyond the direct individual outcomes of these programmes, nor is there explicit policy relating the teaching programmes to Capacity Development. Even so, interviewees demonstrated concern with these issues, and there are various ways in which teaching is increasingly linked to other areas of institute activity in a way that suggests a movement to promote its contribution to wider CD:

- With the introduction of new postgraduate programmes²², related directly to the research teams' areas of interest, it is possible to attract students with corresponding interests and experience, which in turn facilitates mutual benefit for student and research team
- There are increasing links between students and research partners – either by offering internships for students in partner organisations, or by offering student places to candidates from these organisations, promoting the possibility of an organisational CD outcome.
- The MA in Participation, Power and Social Change is an innovative programme, constructed as a combination of periods of study at the institute with distance-learning in a work context, over an 18-month period, which may be expected to facilitate a wider capacity benefit in that work context, than more traditional postgraduate programmes. Furthermore, both form and content of this programme arise out of the corresponding research team's work on participatory development, action research, transformational

¹⁷ Pathways RPC 2006B, p.2; Citizenship DRC 2005, p.27.

¹⁸ 2006, p.8

¹⁹ www.logolink.org

²⁰ 2006, p.5

²¹ 2004, pp.13-16

²² IDS first offered a two year course in **Development Studies** leading to an MPhil. Two further MA courses in **Gender and Development**, and **Governance and Development** were added in the 80s and 90s respectively. Between 2004 and 2008 five more new MAs are being introduced, in **Participation, Power and Social Change; Poverty and Development; Science, Society and Development;** and **Globalisation and Development**, as well as a general MA in **Development Studies**. From 2008 all 5 IDS research teams will therefore have a corresponding MA. There is also a doctoral programme, leading to the DPhil.

learning and reflective practice, implying a capacity benefit for the team, in an action-research perspective.

- Relations with and among alumni offer potential to follow-up teaching programmes into development practice, or to link students with practice, or alumni with research or information activities, and so to contribute to learning and networking for capacity development. As with other areas, there are current initiatives to develop this potential for CD. A new draft alumni strategy is under discussion²³, which makes specific reference to CD (p.8): ***the core of the strategy is to link the alumni more closely to the IDS Strategy and in particular the capacity building objective as it is believed that this will have spill over effects on the other objectives.*** The activities proposed include extension of teaching into further career development, strengthening links between alumni and existing students, as well as between alumni and partner organisations.
- The IDS 40th anniversary celebrations in 2006 were an example of an activity in which alumni were involved, together with partners, in the organisation of 46 roundtables in six continents, ***to identify and discuss the major development issues of the day, the medium term opportunities and threats to development and the implications for development research.***²⁴ This suggests one way the relationship with alumni could be developed, and could contribute to mutual capacity benefits, through group and individual follow-up, interchange between alumni and institute, and/or greater interlinking of the institute's teaching, research and information activities. Furthermore, the IDS40 roundtables themselves highlighted the need for work on CD, and this led directly to the work of the Capacity Collective.

Challenges

Capacity development has not been an explicit focus of teaching programmes, although there are certainly recent initiatives consistent with a trend in this direction. This would tend to move teaching away from isolated service delivery in discrete masters programmes, towards richer links with the institute's research and information activities, relationships with the practice and research of partner organisations and alumni, and a greater emphasis on follow-up, with teaching programmes seen in the context of lifelong learning.

One potential area of capacity development related to the teaching programmes would be in systematic support to development training in institutes of the global south. However this would certainly open up new capacity and funding challenges for IDS itself.

The teaching programmes of IDS are constrained by the need to guarantee a steady income through a regular and stable programme. Combined with the system of university accreditation, this means that there are incentives to limit risk and therefore innovation, as well as creating long lead-in times for changes.

Information Department – Knowledge Services

Since the creation of the British Library of Development Studies (BLDS) in 1966, IDS has gradually developed its knowledge services, and a new Information Department was created in 1998, integrating the three existing services (ID21, BRIDGE and Eldis) with BLDS and the Communications Unit. The continuing development of the Internet has been matched by a steady growth in projects; the team's web site now offers links to 10 different services, and the department now employs more than 60 staff. The growth of services has been incremental and organic, and the projects have been relatively autonomous with little mutual articulation. In 2002 it was decided to adopt a more strategic approach, leading to the formation of a 'Strategic Learning Initiative' (SLI) within the department, and a current process of Strategic Review. Within this approach, capacity development is a specific area of focus, directed both internally and externally.

²³ Longhurst, R. (2007).

Alumni Association Strategy.
IDS internal discussion document.

²⁴ Haddad, L.

**Reinventing Development Research:
Listening to the IDS40 Roundtables.**
in *IDS Bulletin* 38 (2). Pp.1-13. March
2007, Brighton.

Concept

In the past there has been a wide range of implicit understandings of CD, in some cases equating it with training, but the department is currently formulating an explicit definition to guide its future work. Current work on the subject within the SLI is informed by the widely used OECD/DAC definitions of CD and capacity itself, which (when combined) give: *the process whereby people, organisations and society as a whole unleash, strengthen, create, adapt and maintain ... the ability to manage their affairs successfully... over time.* In these definitions CD is seen as a process of change, not an activity.

Activities

Up to now, CD in the department has been quite ad-hoc, and has included:

- Training on information literacy by the BLDS, especially with southern partners of IDS-based Research Centres
- Support and advice, mostly informal, to external organisations drawing inspiration from IDS services
- Support within partnerships initially established for service-delivery purposes.

Proposed future strategy aims *to 'leap-frog' discredited approaches to CD based on knowledge transfer, to focus on co-learning, exchange and multiple interventions over time*²⁵ with an emphasis on working in partnerships. Recent initiatives include facilitating a process of mapping by southern partners of the information and communications environment in their region, in order to identify unmet information and communication needs, as well as opportunities for collaboration and mutual learning. This aims to contribute to the capacity of information services to respond to a real demand in their region rather than being a *solution looking for a problem* (ibid). Other work brings together information and knowledge intermediaries from inside and outside the institute to reflect together on the contribution of their work to development objectives.

Challenges

The way the knowledge services have developed has led to a rather fragmentary organisation, oriented to the short time frames of service delivery rather than to the longer term processes of reflection and learning, so that the creation of a more strategic learning approach at departmental level is a gradual process. The department has identified the need for embedded structures, systems and approaches around reflection, evaluation and learning as a precondition of successful capacity development. This will mean creating spaces across the teams for critical review of skills and experience, through peer reviews, critical engagement, and developing self-assessment tools. A practical commitment to working in partnership is considered essential for successful external collaboration, which requires a commitment of time and a process of learning how to develop strong, long-term and sustainable relationships.

Discussion

Up to now, capacity development has not been a central focus of programme strategies at IDS, perhaps because it seems to be surprisingly difficult to translate into systematic programmes. When questioned, many interviewees concentrated on rather traditional training activities. There has been little systematic analysis of capacity needs, especially beyond the individual level. Currently, however, capacity development is attracting an increasing amount of attention, with a number of recent papers and draft strategies giving it a central role.

²⁵ Catherine Fisher; C. Written response, Strategic Learning Initiative, Information Department, IDS, September 2007.

It is difficult to establish the degree of success of current CD work. Most evidence is based on immediate feedback from partner organisations or individual participants on specific project activities. There has been little monitoring or evaluation at the level of wider CD programmes, although the Citizenship DRC mid term review, the work of the Strategic Learning Initiative and the paper by Standing and Hunter show interest in developing this.

A number of factors seem to complicate attempts to attend more systematically to capacity development processes and outcomes. The pressure of project timelines focuses attention on service delivery and short term results, and this seems difficult to combine with the longer term perspective demanded by CD, as understood within the Capacity Collective. CD thrives on unlikely combinations of measures at different levels (individual, organisation, network) and different timescales, as well as taking advantage of multiple entry points, but the necessary creative opportunism tends to escape the logic of programme plans and logframes. Funding mechanisms often create challenges for CD initiatives, and even the 5 year timescale of many IDS research consortia may look short-term in a CD perspective.

On the other hand, there seems to be increasing **understanding of some of the factors that contribute to a positive environment for CD.** Several teams in the institute are committed to mutual learning in relatively long-term relationships, and there is currently an institutional process of reflection on the quality of partnerships, attending to the issues of power within them. Many of the examples presented above show increasing interlinking between different teams or areas of work, which seems to have potential to create CD gains. Similarly, diverse documents and interviews suggest greater attention to follow-up activities, and there is interest in developing methodologies conducive to CD, such as co-learning, mentoring, peer support, communities of practice.

In an institute like IDS there are many **organisational challenges to mainstreaming a concern with capacity development.** Different individual researchers, projects, teams or areas have their own conceptual understanding and practices, making it difficult to achieve a degree of interconnection conducive to wider capacity development. Without forcing a uniform approach, there is a need for a shared commitment and some shared guidelines on partnership relationships and mutual accountability. The development of a shared culture of reflection and learning would contribute to consolidating learning towards theoretically grounded CD practice. The specific difficulties of combining CD with day to day project activities imply that it may be appropriate to create some separation by establishing, for example, dedicated spaces or events for reflection about CD processes and outcomes, specialist staff who maintain a CD perspective, and specific strategies and indicators for CD.

Consideration of CD within this specific institute raises some **issues of wider relevance.** It is clear that CD depends on a shared organisational commitment to look beyond the immediate activity or project. There is a general need to develop understanding of how to facilitate mutual capacity development processes within partnerships, and confront the corresponding issues of power. We need to be clearer about the working methods and organisational structures demanded by CD. How can needs be assessed or results evaluated? Why does it seem so difficult to translate policies about CD into changed practices, when so much has been written about the subject? These are challenges facing many institutes, not just IDS. But if IDS wants to take CD seriously, then such questions do need to be addressed, systematically, strategically and systemically.

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Andrés Mejía Acosta Capacity Building Manager, Development Research Centre for the Future State

Catherine Fisher Strategic Learning Initiative, Information Department

Lawrence Haddad Director

Peter Taylor Head of Graduate Teaching Programmes

Rosalind Eyben Team Leader, Participation, Power and Social Change Team

Stephanie Barrientos Team Leader, Vulnerability and Poverty Reduction Team

**Capacity Development:
An exercise to better
understand how research
programs and funders are
approaching the concept¹**

By Vera Schattan P. Coelho²
CEBRAP

I. CEBRAP, a brief overview

CEBRAP (the Brazilian Centre of Analysis and Planning) is a research organization that will celebrate its 40th birthday in 2009. The centre was founded in 1969 by a group of professors, some of whom had been forced out of their universities by the military dictatorship. It is an interdisciplinary research institution and a non-profit organization that is dedicated to analyzing the Brazilian social scene and participating in the political debate with a view to contributing towards processes of social change that will increase social justice.

In 1969 the expectations of the founders were that the centre would prevent a brain-drain as well as to consider a project for Brazil. The elaboration of this project involved understanding how Latin America would insert itself in the capitalist system and how capitalism itself would be restructured in its advance in these parts. In that context various intellectuals associated with the Centre made innovative contributions such as Cardoso and Faletto's dependency theory, or a re-reading of the colonial system using Marxist categories as carried out by Novaes.

In the 1980s empirical research played an important role in the Centre's portfolio, as illustrated by the books *Growth and Poverty* and *São Paulo in Movement*. These books were organized using the data and analysis produced by researchers who sought to marry research and political intervention. At this moment it was important to show how urban poverty was spreading and to make a contribution enabling the social movements to gain political weight and space so as to demand their rights. During this period a scholarship program was created giving post-graduate students the opportunity to participate in the Centre's research and interdisciplinary seminars.

This trajectory contributed towards crystallizing the belief, which remains central to its researchers, that CEBRAP's capacity to be in tune with the political life of Brazil and to contribute to national debates is based upon three pillars; intellectual curiosity, interdisciplinary debate and empirical research.

Today CEBRAP encompasses six thematic areas, two centres and two research groups³ that bring together sociologists, economists, political scientists, demographers, anthropologists, philosophers, geographers and historians and also the training program for post-graduate students. There are 22 PhDs that make up the Centre's Research Board and 15 scholarship students. The diversity of both disciplines and sources of income contributes towards the establishment of different practices of capacity development.

The promotion of individual capacity development is present, for example, in the scholarship program. The success of this program can be seen in the fact that a substantial number of the students after completing the training have gone on to take important positions in the municipal, state and federal government, as well as in universities. The participation of more than 60 undergraduate and post-graduate students in the Centre's research is another important way in which capacity development is promoted.

¹ This draft document was prepared for the Capacity Collective meeting, September, 2007 Institute of Development Studies/University of Sussex.

² She is a Political Scientist by training and a researcher at the Brazilian Centre of Analysis and Planning where she coordinates the Citizenship and Development Group.

³ These areas are: Development Studies, Environmental Conflicts, Culture and Politics, Philosophy and Politics, History, Politics and Society, Population and Society. There is the Metropolitan Studies Center and the Commission for Citizenship and Reproduction; and the Groups of 'Rights and Democracy'; and 'Citizenship and Development'.

The promotion of organizational capacity development clearly appears in the Metropolitan Studies Centre (CEM) which coordinates qualitative and quantitative research about the processes of production and reproduction of inequality in the metropolitan region of São Paulo. One of its objectives is the improvement of public management through the development of planning and management tools that can be shared with public organizations. An example of a successful project took place in the municipality of Guarulhos which had a high number of children not attending school. The CEM trained the council workers to use a Geographic Information System that provided them with information about the location of the supply and demand of primary education facilities. This project contributed towards a notable expansion, over a short period of time, of the number of children enrolled in the state schools in that municipality.

The promotion of institutional capacity development is found in a group of research projects that deal with the problem of development through a wide variety of perspectives such as the jobs market and production chains, the environment, demographic profile, electoral behaviour, social participation and public policy. The difficulty in promoting institutional capacity using the knowledge generated by these projects is significant and various strategies have been tried by the research groups to overcome this. Given the relevance of the problem and, as will be seen below, its clear connection with that defined in the Capacity Collective draft document as: *research capacity development, i.e., the capacity to carry out research, support other institutional forms to engage with research and to make use of knowledge generated through research* (Taylor et al 2007:2), it was decided to focus on this issue in this paper. The aim is to further the understanding of the links that exist between theories of learning and/or social change, the models of institutional capacity development proposed by financial agencies and the research projects in progress at CEBRAP.

One of these research projects is set out in the following pages, highlighting the nature of the results achieved and the difficulties in transforming them into development capacity. This is followed by a presentation of some of the strategies that have been proposed by the funding agencies to increase the use of the research results that they finance and, with this, generate capacity development. From this an explanation will be sketched out of the mechanisms that associate these strategies to theories of learning and/or of social change. Finally, there is a discussion of some of the challenges and possibilities presented by these strategies.

II. Approaching research capacity development

The following analysis is based upon the experience of one of CEBRAP's research groups, the Citizenship and Development Group (CDG) which coordinates the research project Participatory Governance and Territorial Development that has been in progress since 2003. This research began as part of the comparative project Social Movements, Environmental Governance and Territorial Development which was coordinated by the Latin American Centre for Rural Development (RIMISP), a Chilean NGO with the support of the Canadian International Development Research Centre (IDRC) and was developed into a new project from 2005 as part of the Citizen DRC, coordinated by IDS and supported by DFID. This paper will discuss the procedures and results achieved up to 2004.

Research

The research took place in the Vale do Ribeira Paulista, a very poor region, located between two of the richest metropolitan regions in Brazil; São Paulo and Curitiba. 350,000 people live in the area, with a large number of traditional communities, such as indigenous

groups, quilombola communities (rural Afro-Brazilian communities), *caiçaras* (artisanal fishers and smallholders of mainly indigenous descent) and family farmers, many of whom are organized into associations and social movements. The region also contains the largest remaining area of Atlantic Rainforest, covering two thirds of the territory. In these circumstances there are inevitable tensions between, on the one hand, a demand for revitalizing the economy, based on the need to deal with poverty, and on the other, the delicate problems of environmental control, due to the urgent need to preserve the native Atlantic rainforest. This tension is exemplified in two regional debates: the plan to construct the Tijuco Alto dam, which has been in progress for more than a decade; and the definition of a program of sustainable development which would be capable of combining environmental conservation with economic growth.

The Citizen and Development Group (CDG) study focused on two participatory forums active in the region: the Committee for the Management of Water Resources (Comitê de Gestão de Recursos Hídricos (CGRH)) and the Consortium of Food Safety and Local Development (Consórcio de Segurança Alimentar e Desenvolvimento Local (Consad)). The aim of the study was to analyze how they had been dealing with the issues described above and to identify both their contribution, if any, towards the definition of policies that had impact on poverty and sustainable development, and if so the conditions that enabled this contribution.

Our hypothesis, inspired by institutionalist literature (March & Olsen 1983, Skocpol 1992, Immergut 1992), associated the design of these forums with their capacity to contribute towards the defining of viable policies. Accordingly we broke down the general hypothesis into three assumptions that were investigated during the fieldwork. These assumptions related the performance of the forums to: 1. the selection process of the participants; 2. the discussion and decision making processes within the forums; 3. the mechanisms for coordination between these forums and other organizations. The fieldwork was carried out in three principal phases: a) a survey with 103 of the 192 councillors of the studied forums, and the carrying out of interviews with their leaderships; b) accompanying in loco the daily routines of the social movements involved in the forums, together with interviews with their leaders c) the systematization and discussion of results.

The results of this research can be grouped in two categories: the analytical conclusions and the recommendations (Coelho et al 2007). From an analytical point of view it can be concluded that in the cases studied, the 'design' served more to reproduce the coalitions that supported the organizers of these forums, thereby creating a replica of the party political game in the participatory sphere. These results suggest that the participatory sphere is more heterogeneous than is supposed by a considerable part of the literature, which tends to recognize only one or other actor; for example, the progressive coalitions or the corporate interest groups, as their principal artifice. The research showed that this sphere is not constructed by the force of one or other actor, but rather as part of the effort that politicians and public managers connected to different coalitions make in order to guarantee in these spaces the conditions for their political reproduction.

From a normative perspective four points were highlighted as potentially contributing to improving the forums.

1. Investing in improving the recruitment processes; finding forms of selection that are aimed specifically at guaranteeing the presence of less mobilized agents.
2. Creating conditions to reduce the asymmetry between participants using participatory techniques that promote the ability of groups that have less communicative, material and technical resources to express themselves.

3. Increasing the coordination between forums; in this sense it is necessary to encourage communication between the different ministries, levels of government, and public and private bodies that provide resources for programs and policies that are discussed in the forums.

4. To establish processes to monitor and evaluate the investments and the policies discussed and decided by the forums, integrating social participation in the diagnosis, planning and implementation phases.

In this research well defined empirical features were investigated based upon assumptions established through a dialogue with the literature about participatory governance and sustainable development. From the material collected during fieldwork the functioning of the forums was described and various problems were identified. The analysis of this material enabled an advance in the theoretical debate about the problems involved in organizing participatory governance, as well as pointing out variables that once adjusted should contribute towards the improvement of the forums being studied.

Nonetheless there remains an abyss between the analytical findings and recommendations proposed. After all, why would the actors change their preferences and adopt our recommendations? If it is true that the presence, for example, of a 'good institutional design' may facilitate inclusion, dialogue and negotiation, then it is also true that there still exists a great deal of difficulty in identifying the conditions which would lead the state actors and politicians responsible for the organization of these forums to choose this 'good' design, over another favouring the reproduction of their own political coalition. This is a central issue; the research needs to question the logic and the values that motivate the actors involved in the creation of these forums. In this sense, the promotion of capacity development, understood as the creation of an institutional context which makes viable more inclusive and democratic practices of governance, depends on the recognition of which procedures are inclusive and democratic, as well as the identification of the conditions that lead the actors responsible for the forums to adopt such procedures.

Recognizing the challenges of sharing and using knowledge

The text 'Capacity Development: Definitions, Expenditures and Evaluations' comments that one key difference in how different organizations conceptualize capacity development ***centers around describing it as a process to achieve other ends; or as an end (outcome) in its own right.*** As can be seen in the previous section, in the work of the Citizenship and Development Group capacity development is understood as the capacity to move from one 'equilibrium' to another. In this sense, the case presented above as well as several examples presented in the 'Capacity Development' text suggest that despite the fact that it is quite common to generate empirical knowledge about features related to the initial 'equilibrium' and normative definitions about the final 'equilibrium', it is much more difficult to understand how an institutional environment moves from one 'equilibrium' to another.

This issue, which involves the problem of change and the capacity needed to make it possible, has regularly appeared on the agenda of the funding agencies who are increasingly called upon to demonstrate the effectiveness and the impact of the research which they finance (Gaventa, 2005). In this scenario, agencies that support the Citizen and Development Group (CDG), such as DFID, IDRC and FAPESP⁴, have begun to take a more pro-active role, suggesting that the researchers adopt certain strategies that, they hope, will contribute towards guaranteeing a positive relationship between the research process, capacity development and social change.

⁴ Fapesp is an agency that funds research and is linked to the government of the State of São Paulo.

These strategies put considerable emphasis on the activities of sharing and disseminating knowledge. In practical terms the CDG was orientated to:

1. *Discuss the design of the research project with the organizations that would be involved;*
2. *Present and debate the preliminary and final results of the research with these organizations;*
3. *Present and debate the results with the public managers involved in the management of the policies in question;*
4. *Publish and present the results through different media, from web-sites and conferences to journals with a rigorous editorial policy.*

Throughout the research project 'Participatory Governance and Territorial Development' an effort was made to carry out many of these recommendations and it is worth commenting upon them, less to describe these activities, but rather to indicate the nature of the theory of learning and/or social change that informs the strategies that we are being encouraged to put into practice by the funding agencies.

Discuss the design of the research project with the organizations that will be involved in the research, in this case: the participants of the forums.

The research project was elaborated by the coordinators of the CDG and initially discussed with RIMISP which coordinated the collaborative program; during this phase there was no discussion with the local actors. The CDG decided that, at that time, the definition of the agenda should not be shared with the social and political actors. This position is justified by the need to understand the specificity of the research project. The empirical research should be oriented, from the Group's point of view, by an agenda that interfaces with a problem that is well structured. If this agenda does not interface with a field of knowledge organized by the shared principles of a community of specialists it becomes more difficult to guarantee the validity and quality of the knowledge produced. We will return to this point in the final section.

Present and debate the preliminary and final results with the organizations that participate in the forums, and present and debate the results with public managers involved in the management of the policies in question.

Before beginning the fieldwork we contacted the coordinators of the forums and some of the local organizers that we knew, and who participated in the forums. We presented the research project and we committed ourselves to discuss and present the results.

We came up against at least three difficulties in this process. The most delicate, without a doubt, related to the strategy of the social movements of negotiating their participation in the research as part of an 'agreement between friends' where the organizations guaranteed access to information as long as the researchers acted as their allies in the political scene. The research process is not an agreement between friends and the artifice becomes clear when the researcher publicizes and publishes the analysis. The funding agencies' requirement that there be a closeness with the groups being researched can, in the case of less experienced researchers who feel pressurized by the social movements, put their liberty of expression at risk.

Another difficulty is related to the fact that from the beginning, on the part of some of the social movements, there was a demand for 'results'. They wanted to know what was being produced and how this would help them. This demand put a lot of pressure on the younger researchers who constantly felt in debt to the organizations being researched. The notion of an exchange is being stimulated by many organizations that work with the social movements and even by the funding agencies themselves. This simplified view of the processes of capacity development and social change may compromise the research efforts that have long term cycles.

Another difficulty appeared in the final stage of the research project when we were preparing the text to be presented and discussed with the organizations and civil society movements. Whilst we made an effort to prepare a text that would be accessible, we ended up with a text that was not understandable to our interlocutors.

These different points refer to the complex problems associated with communication that in the view of the Citizen and Development Group can be underestimated in the anxiety to break barriers and democratize debate.

Publish and present the results in different media, from web-sites and conferences to respected journals.

The CDG has invested a great deal in the dissemination of results. The research results were presented in national and international workshops (Rimisp, FEA/USP); in Political Science Congresses (ABCP, ALACIP) and articles were published in books, newspapers and journals (Dagninio et al.; Bengoa et al.; Andi, Carta Maior; World Development). Through some of these channels, such as the workshops, the results were presented and debated with members of academia, public administration and social movements. In the congresses, the participants were principally researchers from the academic world, whilst the publications reached a more varied public.

This group of recommendations was cautiously, if gratefully, received by the CDG. Gratefully because the general tone represents an effort to make the research process more democratic; and cautiously because keeping to these recommendations is called for without explaining why, for example, sharing the research agenda with the organizations being researched will promote capacity development. Or, in terms of the research that is being discussed in this paper, without explaining why it is reasonable to expect that the activities will encourage the public managers to re-evaluate their strategies and adopt more inclusive and democratic practices. The following section explores in a more systematic way the relevance of these strategies.

III. Approaching the model

After all, why should we hope that sharing the research process and disseminating the results will lead to a greater propensity on the part of the social and political actors to change their preferences and adopt new practices?

After various discussions amongst the CDG researchers it was concluded that two principal arguments can be called upon to justify this belief. The first is that successive interaction between users and producers could increase the chances that there is an adjustment between the 'supply' and 'demand' of knowledge. The second suggests that through the systematic exposure of public managers and social leaders to debates which raise questions about and value public interests they will become more disposed to behavioural changes.

Reflecting upon similar strategies Edward (2007) cites *a recent Canadian Study that points out, 'that knowledge utilisation depends on disorderly interactions between researchers and users, rather than on linear sequences beginning with the needs of researchers or the needs of users. The more sustained and intense the interaction between researchers and users, the more likely it is that utilisation will occur' (Landry et al. 2003)*. In short, actors that are more aware of the problems would be exposed to different agents and mediums of communication which would multiply the chances of both defining research agendas that would meet the needs of the users and researchers and create opportunities for knowledge to circulate and be used.

From this perspective these strategies can be interpreted as part of an effort to reposition and to democratize *the process by which knowledge is validated, prioritised and legitimised socially* (Standing & Taylor 2007). However, before following this route it is worth stopping to reflect with more care about the risks involved. Using the questions that were raised in the previous section and the points of view expressed in the interviews with the CEBRAP researchers; it is worth evaluating to what extent it is reasonable to believe in the ability of these strategies to promote capacity development.

Discussing the model within CEBRAP

In describing the difficulties faced by the Citizen and Development Group in implementing some of the strategies recommended by the funding agencies we have anticipated various issues that arose in the interviews⁵. These questions point to, above all, the problem already mentioned by Standing and Taylor (2007): the importance of distinguishing between knowledge and information.

Let us firstly return to the question of the research design and the suggestion made by the funding agencies that the researchers elaborate it together with the social and state actors. During the interviews there was an emphasis on the importance of preserving mechanisms such as, for example, the preliminary bibliographical research, the knowledge of the latest developments on the theme and the 'peer review'. Nevertheless CEBRAP's role in the production of knowledge, as an organization that is neither academic in the strict sense, nor an NGO, was also discussed, as well as the need to consider with greater care the synergies that could be established during the process of knowledge production with universities as well as with centres that are not connected to the research, but are engaged in policy, implementation and advocacy.

With respect to the strategies for the socialization of information the need was identified to explore the translation procedures that facilitate presenting both the results of the research as well as the codes used in the dialogue between the researchers. The question of translation was frequently raised in the interviews and relates to a cognitive problem mentioned in the previous section, that being, the fact that a person enters in contact with a specific concept does not necessarily make it accessible and practical.

The recommendations made by the funding agencies that have been discussed in this paper appear to be based upon a constructivist inheritance that, imported from cognitive psychology into educational practices, has left many gaps. One of these gaps is that constructivist suppositions apply to a register where the development of cognitive capacities is related to the reaching of particular stages (see Piaget). In the case of organizations these stages of cognitive development are not at all like those of a child's mind. Thus, the idea that it is possible *to make the agents feel as if they are part of the knowledge being produced* is rather ingenuous even from a cognitive and educational point of view.

To really enable the process of sharing and providing access to information it would be necessary, using another psychological concept, to act in what Vigotsky called the 'zone of proximal development' in the cognitive structure of these individuals. These are the frontier zones of understanding and of cognitive development that could result in changes in the classification of the world and interaction within it. To sum up, from this perspective there would be another starting point: the individuals and their form of understanding a given problem, theme or question.

This brief discussion suggests that if the proposal of sharing knowledge with state and social actors is to be taken seriously, we will have to deal with issues of greater complexity than we had envisaged from reading the recommendations sent to us by the funding

⁵ Interviews given by J. A. Gianotti, former CEBRAP's President (06/07/07); A. Comim, CEBRAP's President (05/09/07); P. Monteiro, former CEBRAP's Scientific Director (06/07/07); M. Dolhnikoff CEBRAP's Scientific Director (27/08/07); E. Marques, Centre of Metropolitan Studies Director (04/07/07); Arilson Favareto, CDG Coordinator (03/09/07).

agencies. In the end, if the considerations that have been set out in this paper are relevant, we are being called upon to work simultaneously to further the disciplinary knowledge that has built up concerning certain themes, and, furthermore, to change the cognitive bases of the agents. It is worth mentioning where we are at present; we are, as of yet, unable to evaluate the viability of this undertaking and we hope to be able to reflect together upon the challenges presented by this framework.

Finally, one point that was consistently raised in the interviews as well as at the roundtables which preceded the IDS40 Conference was the excessive emphasis that is being placed upon processes of knowledge production that can produce results in the short term (Haddad 2007). It was considered that this emphasis has a legitimate place, but there is a belief that research programs should be able to reserve part of their resources to invest in the production of knowledge that may only present results in the long term.

These questions relate to some of the worries discussed at the IDS40 Conference, as well as in the text 'Capacity Development: Definitions, Expenditures and Evaluations'. We are looking forward to The Capacity Collective meeting where we will be able to discuss these themes which, whilst being extremely relevant to our work, are rarely dealt with.

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**Capacity Development in
the Central Highlands
Region of Afghanistan:
The Programme for
Professional Development***

By Marise Espineli,
Aga Khan Foundation, Afghanistan

Theoretical assumptions and models that guide the programme

One of the emerging demands from various stakeholders of development organizations is the need to demonstrate positive results and impacts. A desired result that most stakeholders expect from many development initiatives is that of enabling local institutions to undertake and own local development interventions. Such results are possible only through a purposive capacity building strategy. A purposive capacity building strategy is only possible when the relationship between individual capacity and organizational capacity is fully understood. Experience shows that individual capacities are not easily transformed into organizational or institutional capacities.

Capacity is the *ability of individuals, institutions and societies to perform functions, solve problems, and set and achieve objectives in a sustainable manner* (UNDP, 2007:2). What individuals bring into organizations are knowledge, skills and attitudes which are acquired through training and/or from their work and life experiences. When they share these with their colleagues, they are either accepted or rejected. When accepted, they become part of the group capacity. When these are shared and accepted more widely within the organization and become part of the processes, systems and culture, then, they become organizational capacities. (Horton, et al., 2003)

Capacity building and capacity development are terms used interchangeably to refer to *a process by which individuals, groups, organizations and institutions strengthen their ability to carry out their functions and achieve desired results over time* (IDRC, 2000). It is an ongoing process by which organizations increase their ability to achieve their objectives. It is a complex process of learning and improvement that takes place within organizations. (Lusthaus and Morgan, 2000) It is about people in organizations behaving in synergistic ways to build new systems. It is about individuals within the organizations growing and learning together through experimentation, learning by doing, self-reflection and analysis as well as learning from failures. When people in the organization stop learning, the organization becomes obsolete. (ECDPM, 2003)

Other theories and models that I find useful and can guide the development of the programme further include the following:

Organizational assessment framework. This framework which was developed by IDRC has four dimensions: organizational motivation, organizational capacity, operational environment and organizational performance. Organizational motivation refers to the factors internal to the organization that influence its direction. These include its history, its vision, mission, culture, norms, values and incentive systems. Organizational capacity refers to the resources that the organization has as well as its structure, systems and linkages with other organization. The operational environment refers to the context in which the organisation operates which includes the socio-cultural, institutional, legal, political, economic and technical factors that influence its behavior and performance. Organizational performance is the execution of activities to achieve its objectives (Lusthaus, et. al., 2002). The framework helped me in understanding the relationship between the four dimensions.

* Prepared by Marissa B. Espineli, Director, Programme for Professional Development (PPD), Gorwana-e-Bala, Bamyan, Afghanistan, for the Capacity Collective Workshop organized by the Institute of Development Studies, Sussex on September 26-28, 2007.

These four dimensions need to be considered in the process of understanding the factors that lead to learning applications by the participants when they return back to their respective organizations after the training event.

Theory of action. This refers to the theoretical assumptions and models as basis of the capacity development programme. It articulates in explicit terms the means by which the desired results are to be produced. Usually, the articulation is done by bringing various people to clarify their assumptions and generate the model. Theories of action describe how to produce the desired results. There are two kinds of theories of action. Espoused theories are those that people say or believe are their theories. Theories in use are the bases on which people actually act. The theory of action asserts that people do not always behave according to their beliefs, values and attitudes but they behave congruently with their theories in use and are usually unaware of it. The theory of action serves to focus future programme development efforts as well as evaluation questions. The illustration below (Patton, 1997:215) shows a chain of events (theory of action) in a capacity development programme.

Programme chain of events (Theory of Action)	Matching levels of evidence
7. End results	Measures of impact on overall problem, ultimate goals, side effects, social and economic consequences
6. Practice and behavior of change	Measure of adoption of new practices and behavior over time
5. Knowledge, attitude and skill changes	Measures of individual and group changes in knowledge, attitudes and skills
4. Reactions	What participants and clients say about the program, satisfaction, interests, strengths and weaknesses
3. Participation	The characteristics of program participants and clients, numbers, nature of involvement, background
2. Activities	Implementation data on what the program actually offers or does
1. Inputs	Resources expended, number and types of staff involved, time extended

A clear articulation of the theory of action for capacity development would be important in operationalizing the program. In the case of PPD this is articulated in a programme log frame.

These theories and models help me understand and establish the link from individual capacities to organizational and institutional capacities and provide guidance on how the transformation of individual capacities to organizational capacities might be pursued. In most capacity development interventions such as training and workshops, the focus is on individual capacity development. The challenge with these types of capacity development approaches is that most often, they do not lead to organizational and institutional change.

A unique programme founded on a broad based stakeholder ownership: The Aga Khan Foundation

Established in 1967 by His Highness the Aga Khan, the Aga Khan Foundation is a non-denominational, international development agency. Its mission is to develop and promote creative solutions to problems that impede social development, primarily in Asia and East Africa. It is a non-profit that has branches and independent affiliates in 15 countries. It is one of the organizations under the broader Aga Khan Development Network. It started working in Afghanistan in 1995. It implements a multi-sectoral rural development programme in three provinces (Bamyan, Badakshan and Baghlan) around the following themes: health, education, natural resources management and enterprise development (AKDN, 2006).

The Programme for Professional Development (PPD)

Apart from the programmes on the themes listed above, the AKF Bamyan Regional Office established a unique programme called PPD to provide support to the ongoing development work in the Central Highland Region (CHR). The PPD envisions local development professionals initiating, leading and managing development initiatives in the CHR. Its goal is to enhance the capacity of these development professionals towards sustainable and participatory development (AKF, 2005).

The programme structure is designed with the wider stakeholder partnership and ownership in mind since the capacity issue is faced by all agencies and the government departments in the region. The programme structure has two levels – the Steering Committee and the Management Committee.

The Steering Committee currently consists of the following members:

1. Provincial Government – represented by the Governor of Bamyan – Ex-Officio position – Chairperson of the Steering Committee
2. Director/Head of the Bamyan university – Ex-Officio position
3. AKF head- ex-officio position for a minimum of 5 years.
4. Two International Agencies – represented by their Bamyan representatives; UNAMA and FAO.
5. Two representatives of Donor Agencies funding the project, NZAID and PRT/USDA/USAID representative of Bamyan
6. Director of the Programme for Professional Development – Member Secretary to the Steering Committee
7. Bamyan University represented by its Director

The Governor and Director of the Bamyan University are ex-officio positions and permanent positions. The individuals, the INGOs and the Donor Agency representatives will be rotated every few years, preferably every two or as per the decision of the Steering Committee. The Steering Committee can choose to expand its membership as and when it deems fit. Since PPD's establishment, the SC has met 6 times. It initially planned to meet twice a year but as the demand for PPD to organize events and requests for supporting government departments increased, the meetings increased to four-five times a year.

The Management Committee is chaired by the Regional Programme Manager of the Aga Khan Development Network for the first 5 years and will be taken over by the PPD Director after that. It is comprised of the RPM of AKF, the Director of PPD and members of the faculty/senior trainers. The Director is an expatriate with an Afghan Co-Director as part of the succession plan.

Exploring opportunities and experimenting workable strategies

In its first year, its key strategies for capacity development include the following (PPD, February 2007):

A. Regular training course offerings on themes around participatory development approaches, organizational development and management and programme/project management. These are 5-7 day training courses designed with theoretical inputs, practice skills and reflection on desired behaviors and attitudes.

B. Learning workshops on very specific thematic areas such as world heritage conservation and tourism development (a very important theme for Bamyan since it is one province that has a lot to offer in this regard) and gender programming. These workshops aim at bringing development practitioners in the region to talk about on the ground experiences on the issue/theme that is being explored and collectively learn lessons from practice.

C. Support to platforms for networking and coordinating local development initiatives. In Bamyan, there are three platforms for networking and coordination that PPD supports and actively engage itself with. These are the Inter-agency Meeting, the Provincial Development Council and the PPD Steering Committee. These are platforms wherein different representatives of organizations in the province from key government departments, international NGOs and local NGOs meet to discuss issues affecting development work in Bamyan. The Inter-agency Meeting is facilitated by the United Nations Assistance Mission for Afghanistan (UNAMA). The Provincial Development Council is steered by the provincial government of Bamyan while the PPD Steering Committee is chaired by the Governor with PPD as the Secretariat.

D. A mechanism for follow-up for learners who attended the regular training courses. One follow-up workshop was organized for participants to share opportunities for learning applications in their respective jobs within the organizations they represented.

In its second year, the following strategies for capacity development will be pursued in addition to the above:

E. Cluster organization development and support. The experience of follow-up on competency application after the training showed that some participants had limitations in applying learned skills in their organizations because a general approach to the content has placed difficulty on some participants in using the learned skills in the context of their work environment. An organizational capacity development approach would prepare an environment for learning applications. Senior management and other staff will be ready to support learning applications in the participants' job.

F. Certificate programme for new graduates and young professionals. A 6-month programme for new graduates and young professionals was developed during the year. This is going to be an intensive knowledge, skills and behavior development and enhancement programme which balances both theory and practice. Practice of skills, reflection on behaviors and articulating knowledge are basic to designing training.

G. Outreach training centers. Training centers in two districts (Shiber and Panjab) were established during the year. Needs assessments were conducted. These will inform decisions on the training courses that need to be done in these Training Centers.

H. Establish a development resource centre. This will serve as a center for learning and local knowledge management. It should provide data and information for more informed development initiatives in Bamyan and the rest of the region, initially catering to the information needs of government agencies and NGOs and later even the CDCs.

The main attributes of the various training events that PPD offers include the following (PPD, March 2007):

- ***Need-based training courses***

PPD has conducted a series of training needs assessments for government officials and staff of local NGOs. The results of these assessments informed the identification of the courses it offers

- ***Field-based experiences driven by organizational values***

The PPD courses are guided by the core values of the Aga Khan Foundation. These are people-centeredness, diversity, sustainability, integration and inclusion. PPD ensures that these are carefully woven in all of its activities

- ***Understanding of adult learners***

Despite the limitation in skills, the training courses offered by PPD focus on adults. These are experienced professionals. PPD's role is to provide opportunities and develop processes to tap and challenge these experiences

- ***Hands-on learning applications***

Apart from using a mix of participatory learning methodologies, PPD has a bias towards 'learning by doing'. It designs training events that ensure the practice of skills, reflecting on behaviors and attitudes and articulating theories and concepts.

- ***Knowledgeable and experienced trainers***

The selection of international and national trainers follows a procedure that emphasises: professionalism, experience and knowledgeability and ability to establish positive inter-personal relations and work in a multi-cultural environment

- ***Gender sensitive learning environment***

PPD strives to support the needs of women learners. In a place like Afghanistan, a facility where women and men can stay overnight and find support for taking care of their children while attending the courses is quite rare.

A vibrant development environment

Bamyan is one of the provinces in Afghanistan considered to have a very high security rating. As a result, many development organizations established and continue to explore the possibility of operating in this particular part of the Central Highlands Region. With the increased development initiatives in the region, the demand for people who would be capable to take the development process forward also increased. Because there is limited capacity in this regard, the required staff competencies are filled in by human resources from other parts of the country and expatriate staff. Over the last 25 years, many people from the CHR have migrated to Iran and Pakistan. Local people who have worked in development organizations during the relief period do not have the skills and attitudes needed to undertake sustainable and longer term development. Development initiatives in Afghanistan are currently in transition from a purely humanitarian intervention to long term more sustainable development efforts. One key constraint towards making these longer term initiatives more successful is finding people who have the relevant skills and knowledge towards this end. On the ground structures to implement this longer term development initiatives like the CDCs have been established as part of the National Solidarity Programme. This particular situation was the impetus for the establishment of the PPD in the region. It has a broad range of target population but in the process of implementation, it has to make strategic choices on which groups to focus. So far, the main focus has been on development professionals both technical and managerial from government departments and local NGOs.

There are 10 UN agencies, 5 bilateral organizations, 26 local NGOs and 19 international NGOs. There are 27 government departments with 48 staff in senior management positions. The NGOs will have approximately 80 staff at the senior management positions (Office of the Governor, 2007)

Creating synergy and contributing positively to the development environment

During its one and a half years of operation, PPD has achieved the following (PPD, September 2007):

1. A positive image and credibility among the international, local and government organizations engaged in development initiatives in the region. A training center was established in the Bamyan Center in December 2006, nine training courses have been conducted with about 200 participants. Two learning workshops, one on Cultural Heritage Conservation and Tourism Development and the other on Gender programming have been organized with more than 80 participants. Multi-lateral organizations like UNICEF and FAO and bilateral organizations like the New Zealand Provincial Reconstruction Team have sought PPD's support in organizing training courses and workshops for their staff and partners. The Provincial governor of Daikundi has repeatedly requested organizing training courses in the province this year.

2. Strong partnerships with government departments and international and local NGOs contributing to a positive development environment in Bamyan for better coordination and complementation of initiatives. Specifically, it actively participates in 3 platforms for development coordination: inter-agency meeting, provincial development council meetings and the PPD Steering Committee. It supported the Department of Communication in implementing its computer training courses. It has organized two learning workshops with UNAMA, Office of the Provincial Governor, the Ministry of Tourism, Oxfam Great Britain and the Department of Women's Affairs.

3. Enrichment of the program leading to requests to repeat the conduct of select courses and improved staff capacity to initiate, develop and implement training events. Two training needs assessments were conducted during the year, 10 organizations visited for networking and coordination purposes, two consultants engaged in conducting training courses, 3 staff members attended skills enhancement training and more than 200 books were procured for the PPD library.

4. Developed new strategies for capacity development that PPD can pursue next year. It has selected 5 organizations for more intensive capacity development. The feasibility of a 6-month course for new graduates was studied. The AKF Engineering team has constructed two training centers: one in Shiber and one in Panjab.

5. Appreciation of information-based decision-making in the Provincial government of Bamyan. A consultant worked with various sector heads of the provincial government to develop the strategic plan document and the profile of the Bamyan province.

6. Institutionalized systems, procedures and infrastructure established to support program management and administration. PPD had a new training hall constructed. This can seat 50 people. It worked with a consultant to initially design a website that can be used internally for the purpose of storing and retrieving materials. Systems for packaging course materials, recording and use of facilities, charging fees, monitoring and evaluating training events, needs assessment and organizing training events are part of its staff daily functioning.

These results have been possible for PPD because of the following:

- Strong **unity between and among staff** of PPD drawn from a sense of pride in what the programme has been contributing to the development of Bamyan and the rest of the Central Highlands Region and the quality of its training events that other NGOs and government officials recognize through their speeches. They also recommend to representatives of new NGOs who want to establish presence in Bamyan to meet with PPD.
- The **autonomy** that it enjoys in shaping and directing the programme due to the trust given to its Management Committee by the Steering Committee and the AKF management both at the country and regional level.
- Good **complementation of competencies** between staff and a climate of support for each staff member to engage in contributing to the various activities in different ways, no one complaining that "it is not my job".
- **Experienced expatriates** that provide guidance to the national trainers to be able to play bigger roles during the training events.
- The **support of the Governor of Bamyan** and other members of the Steering Committee, expressing sense of ownership of the programme and keeping PPD in the loop for the information that it needs.
- The **sense of synergy** PPD creates with other organizations. For example, part of its plan is to conduct a training event in Daikundi. It is aware that Oxfam and UNAMA have presence in this province. It coordinated the training event with both Oxfam and UNAMA. Oxfam and UNAMA helped in identifying participants. Oxfam offered a place for PPD staff to stay and UNAMA offered the air transport to bring the PPD team in Daikundi.
- The **positive development environment** in Bamyan where government departments, local NGOs and international organizations come together and discuss how the various development initiatives contribute to the overall development of Bamyan province.
- The **positive valuation** that development professionals who attend the PPD courses and their organizations give to the PPD training courses. Currently, we are very selective of those who should come to the PPD courses. PPD is not able to provide space for more than one participant representing an organization or government department. This is the reason for the requests to repeat the offering of certain courses.
- PPD has enough **financial resources** to carry out its planned activities. It is also able to encourage contributions from other organizations.

Challenges to PPD's own capacity

1. Staff recruitment

International staff recruitment is a big challenge in Afghanistan. On top of the very thorough staff recruitment and selection process is the fact that Afghanistan is not an attractive place for many expatriates due to the security situation. For the national trainer positions, qualifications in terms of education and experience are very low. It has taken PPD several months before it was able to hire one national trainer. It hired one translator for 6 months and then hired another because the previous one was not able to deliver.

2. While **training needs assessments** (TNA) have been conducted to initially inform the identification and development of capacity development interventions, this information is not enough. Baseline data for capacity development needs to be established as future basis for evaluating the program.

3. **Follow-up** as a mechanism for capacity development is still not very clear. Part of the struggle is finding a person that can focus on follow up and learning from the process of follow up as a mechanism for capacity development. One assumption that the team has is that the difficulty posed by follow up is due to the general nature of some of the courses.
4. Expanding to other parts of the region will require a **good assessment of the prevailing conditions and security situations**. This will require good partners in other parts of the region. This will require a good database on the various parts of the CHR.
5. Most of the available literature in development and learning packages about development is in English. **High quality translation** is required to make the content of these materials available to the development professionals in the region.
6. Recognizing **learning as an important dimension** of capacity development work, PPD needs to consolidate its learning needs, approaches and competencies required to address evaluation and learning issues.
7. **PPD's vision** needs to be articulated and understood within the AKF in Afghanistan as there continues to be confusion on what entity or form it should take in the future.

Addressing the challenges

1. **Staff recruitment** is now purposively done by identifying people who have qualifications and inviting them to apply for the positions that are available at PPD. Some of the gaps are also filled in by hiring short term consultants that will be able to deliver certain tasks. PPD also invites other programme staff of AKF-Bamyan to act as resource persons to the training events.
2. Establishment of **baseline data** for capacity development needs to be understood very well with all the trainers recognizing its importance in relation to future programme evaluation. A consultant might be able to fill in this gap or a unit solely dedicated to evaluation and learning within PPD.
3. A **strategic thinking workshop** is organized during the year to address this issue. Key decision makers in AKF and the members of the Steering Committee will have to be brought into the process. Minimum baseline data should be able to inform the strategic thinking discussions.

The Capacity Collective: its significance for PPD

One of my interests in joining the network is to be able to contribute to the discourse on the theory and practice of capacity development. As a capacity development practitioner, I have my own concerns in the pursuit of appropriate strategies for capacity development in a very unstable development environment like Afghanistan. I provide leadership to a capacity development programme and one of my responsibilities is to position the programme strategically. I am hoping that I will learn from the best minds in this particular field and hopefully get answers to the following questions:

- **Follow-up** as a mechanism for capacity development: how have others used it more effectively?
- In evaluating capacity development, how do you establish the **baseline data** as a basis for evaluating the programme in the future?
- What have been the experiences in **transforming individual capacities to organizational and institutional capacities**? How have other organizations done it?

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Table 1: Definitions of Capacity Development

Reference	Definition of capacity	Definition of CB/CD/ICE	Process vs. outcome definition	How does definition take account of the local context?	What are the limitations of the definition?	Additional information e.g. CB/CD for whom? For what?
Multi lateral organisations						
UNDP	UNDP (2006:3) "the ability of individuals, institutions and societies to perform functions, solve problems, and set and achieve objectives in a sustainable manner"	"Capacity development (CD) is thereby the process through which the abilities to do so are obtained, strengthened, adapted and maintained over time".				
OECD	Missika, (2006) " 'capacity' is understood as the ability of people, organisations and society as a whole to manage their affairs successfully"(OECD 2006:12)	" 'capacity development' is understood as the process whereby people, organisations and society as a whole unleash, strengthen, create, adapt and maintain capacity over time" (Missika, 2006:9)	Outcome	Understanding of local context is fundamental	Discussion how to remove the blockages to change, but no real discussion of how learning actually happens. The paper recognizes that there has not been enough M&E to understand CD fully.	Question of 'capacity for what' is fundamental to ask.
WB	Website 05/07/07 Same as OECD	Same as OECD				
WBI	WBI (2004:2) "the ability to access and use knowledge to perform a task"	capacity enhancement is "focusing on performance in carrying out change"	Outcome	Richness and variety of local context is especially important		Recognises that CD is a complex process, which must consider power relations (p.7-9).
ADB	Same as OECD	Same as OECD				
UNESCO	Stiles (2007) No definition	No definition	-	-	-	Concept used inconsistently within organisation.
UNICEF	Whyte, 2004 No definition	Capacity development is any support that strengthens an institution's ability to effectively and efficiently design, implement and evaluate development activities according to its mission. (from UNICEF 1996 in Whyte 2004: 25)	Process	Not mentioned	Not enough info to assess	Institutions
EC	EuropeAid (2005) – very similar to Danida's approach (EuropeAid, 2005:5) (based on OECD)	Broadly taken, capacity can be defined as the ability to perform tasks and produce outputs, to define and solve problems, and make informed choices (EuropeAid, 2005:5) (based on OECD)	Process	Specific feature of approach	The politics of organisational change are deemed important, although there is no clear theory of how learning and change happens. The focus on outputs does not recognize that CD can be an end in itself. The links between individual, organisational and institutional CD is not clear.	Focus on organisations and institutions, but encompassing individuals

Reference	Definition of capacity	Definition of CB/CD/CE	Process vs. outcome definition	How does definition take account of the local context?	What are the limitations of the definition?	Additional information e.g. CB/CD for whom? For what?
USAID	Gallagher, 2002 – on institutional and organisational development and does not include individual capacity development	Not defined	Process	Not mentioned	Without an overall policy for CD, it is difficult to evaluate limitations	Organisations and institutions for this policy, but a lot of institutional CD is also carried out without an overall strategy. USAID have noted that they think that having an overall policy is not useful – it is meaningless for the public and too broad. (CIDA extranet on CD)
NORAD	NORAD (2006) – similar to Danida approach	No definition	Process	Local context important	Does factor in processes of change	Individuals, organisations and systems
SDC	No overall definition – just within research area specifically (SDC, 2002)	N/A	Process	Not mentioned	Concept not problematised – no coherent policy across sectors.	Primarily aimed at institutions (universities), but also involving individuals

Reference	Definition of capacity	Definition of CB/CD/ICE	Process vs. outcome definition	How does definition take account of the local context?	What are the limitations of the definition?	Additional information e.g. CB/CD for whom? For what?
Danida Boesen & Therkildsen (2005) www.capacity.undp.org/index.cfm?module=Library&page=Document&DocumentID=5016	"the ability of an organisation to produce appropriate outputs" (Boesen & Therkildsen, 2005: 3)	Not stated explicitly	Organisational outputs rather than outcomes or impact	Specific feature of approach	The politics of organisational change are deemed important, although there is no clarity of how learning and change happens. The focus on outputs does not acknowledge that CD is an end in itself. The links between individual, organisational and institutional CD is not clear.	
Irish Aid N/A						
DGIS Whyte, (2004) original text not referenced DGIS (2003)	Capacity refers to values, contacts and organisational and technical skills enabling countries, institutions, organisations and individuals from all sections of society to perform their tasks and achieve their development objectives (2000 in Whyte, 2004: 24)	Capacity Development refers to approaches, strategies, methods applied to increase the capacity of organisations and/or institutions. Capacity Development is concerned with how to improve processes. This entails more than just defining inputs to which many donors still limit themselves (2000 in Whyte 2004:25)	Process	Not mentioned	Not politicized – not theory of change	Organisations and institutions DGIS has not yet have an overall policy
AFD N/A						
NGOs						
Helvetas Helvetas (2007)	"capacity building primarily refers to external efforts, as part of the specific development agenda of an organisation, to build up particular capacities or fill capacity gaps. Capacity building tends to be relatively targeted and focused, whereas capacity development describes an organic process of growth and change that donors wish to promote"					Human resources and institutional development (HRID) are central strategic components ... strengthening the technical, methodological, social and economic competencies of local implementing agencies... These interventions aim at enabling agencies to offer efficient and effective, tailor-made services that meet the specific needs of their target groups.

Reference	Definition of capacity	Definition of CBI/CD/CE	Process vs. outcome definition	How does definition take account of the local context?	What are the limitations of the definition?	Additional information e.g. CBI/CD for whom? For what?
SNV	Ubels (2005)	-	Outcome	Local context highlighted	-	For what: real life issues (improved access to water; effective forms of local govt. etc) Power relations specifically recognized (p. 1) Interplay between individual, organisation and institutions
Other organisations						
ECDPM	Morgan, (2006:8)	"capacity is that emergent combination of attributes that enables a human system to create development value"				
INTRAC						
IDRC	Horton et al (2003) www.idrc.ca/en/ev-43616-201-1-DO_TOPIC.html	"an organisation's capacity is its potential to perform—its ability to successfully apply its skills and resources to accomplish its goals and satisfy its stakeholders' expectations"	Process			This definition is for organisational capacity development, rather than just an overall CD definition
Foundations						
Rockefeller	Whyte (2004)	No explicit policy or definition, but implicit approach to CB				Individuals, institutions, systems
Ford	Whyte (2004)	No policy or definition, mainly due to decentralization of foundation				
Hewlett	Whyte (2004)	No policy or definition and relatively weak on CB side				Individuals
Gates	Website 18/07/07	No policy or definition				
Mac-Arthur	Whyte (2004)	No explicit policy or definition				
Carnegie	Whyte (2004)	No explicit policy or definition				

Table 2: Expenditures on Capacity Development Source: Donor websites, DAC/IGRS

Donor	Expenditure on CD	Technical Cooperation (2005) Million USD	TC (2005) as percentage of total ODA
Bilateral			
BMZ	No information	2038.9	21.8%
CIDA	No overall info on expenditure, although there are amounts for individual projects	501.6	21.2%
DANIDA	CD is integral to all Danida projects and programmes and thus not possible to track spending on CD.	64.8	3.9%
DFID	TC accounts for about 26% of overall ODA. In 2003/4 DFID spent almost £500m on TC - 25% of bilateral spend. In Nigeria it was 77% of the bilateral spend, in Bangladesh 57%, in Kyrgyz Republic 99%. No info on expenditure on CD	3087.0	31.4%
DGIS	No information	283.7	6.5%
Irish Aid	Projects and programmes that specifically involve capacity building total: EUR5,086,994 (1.6% of total bilateral aid: EUR322,066,000)	0	0%
JICA	Since JICA is responsible for all Technical Cooperation of Japanese ODA and Capacity Development is seen as integral, it could be argued that all of JICA's TC is spent on CD.	1946.6	11.8%
NORAD	No information	276.3	14.2%
SDC	No information	85.8	6.1%
SIDA	CD cuts across all sectors and themes, so it is not possible to track expenditure	120.1	4.5%
USAID	Capacity building as element within different programmes – not possible to track spending	10075.7	37.5%
Multilateral			
EC	No information	362.6	3.2%
UNESCO	No information	DAC does not hold data	-
UNICEF	No information	0	0%
WB (IDA)	Estimated \$900 million in grants, and \$9 billion in lending, to support capacity building in Africa (time period not specified) \$720 million annually for client training activities worldwide	98.4	1.1%
Foundations			
Carnegie	No information	DAC does not hold data	-
Ford	No information	DAC does not hold data	-
Gates	No information	DAC does not hold data	-
Hewlett	No information	DAC does not hold data	-
MacArthur	No information	DAC does not hold data	-
Rockefeller	No information	DAC does not hold data	-
Others			
IDRC	75% of IDRC's projects have CD as a central theme – so expenditure in 2005-06 was 75% of 113,461,000 Canadian dollars, which is CAD 85,095,750	DAC does not hold data	-

Table 3: Major Capacity Development Programmes – current and recent (incomplete)

Sector	Individual	Organisational	Institutional/Systems/Enabling Environment/Network
Tertiary education/research/knowledge management	<p>USAID:</p> <ul style="list-style-type: none"> - Building Human Capacity through Education and Training - Global Workforce in Transition (GWIT) www.gwit.us/default.asp - Participant Training www.usaidtraining.net <p>IDRC:</p> <ul style="list-style-type: none"> - IDRC Doctoral Research Awards - Canadian Window on International Development Awards - The John G. Bene Fellowship in Community Forestry - The Bentley Fellowship - IDRC Internship Awards - IDRC Awards for International Development Journalism <p>JICA:</p> <ul style="list-style-type: none"> - Third-Country Training Program - Third-Country Experts - Overseas Participants for Training in Japan - International Development Centre of Japan (IDCJ)- Development Policies Course <p>NORAD:</p> <ul style="list-style-type: none"> - Norad's Programme for Master Studies (NOMA) <p>SDC:</p> <ul style="list-style-type: none"> - Swisscontact - Research Fellow Partnership Programme (RFPF) - Young Researchers Programme <p>Irish Aid</p> <ul style="list-style-type: none"> - Fellowship Training Programme www.irishaid.gov.ie/partners_fellowships.asp?article=94 	<p>USAID:</p> <ul style="list-style-type: none"> - Collaborative Research and Capacity Building for Development (CRCBD) www.usaid.gov/our_work/agriculture/crcbd/index.html - Middle East Regional Cooperation (MERC) Program www.usembassy-amman.org/Enviro/MERCI.html - Higher Education for Development (HED) www.hedprogram.org/ <p>DFID:</p> <ul style="list-style-type: none"> - Development Research Centres and Research Programme Consortia <p>SIDA:</p> <ul style="list-style-type: none"> - Joint Formas - Research on sustainable development (SEK20 million) - Swedish Research Partnership Programme (MENA, Asia, South Africa) - Bilateral research co-operation: (Burkina Faso, Ethiopia, Uganda, Tanzania, Mozambique, Bolivia, Nicaragua, Sri Lanka, Vietnam) <p>NORAD:</p> <ul style="list-style-type: none"> - National Programme for Research and Higher Education (NUFU) (60% of the 18 current programmes are in SSA with focus on Makerere University, Addis Ababa University, University of Dar es Salaam) <p>SDC:</p> <ul style="list-style-type: none"> - Commission for Research Partnerships with Developing Countries (KFPE) - Scientific Cooperation Fund EPFL-SDC - NCCR North-South <p>Danida:</p> <ul style="list-style-type: none"> - ENRECA (Enhancement of Research Capacity) mac18.anthro.ku.dk/~reach/enreca.html <p>Irish Aid:</p> <p>Global Health Research Awards 2006 (EUR1 million)</p> <p>BMZ/GTZ:</p> <ul style="list-style-type: none"> - German Research Foundation - German Academic Exchange Service (DAAD)- (China, India & Egypt) WB: - Investment in tertiary education in all developing countries (i.e. loans and IDA grants in SSA and Greater Mekong region 1995-2004 USD 584.55 million) <p>Carnegie Corporation:</p> <p>International Development Program (\$15,800,000 for 2005-2006)</p> <p>www.carnegie.org/sub/program/intl_development.html</p> <ul style="list-style-type: none"> - Strengthening African Universities - Enhancing Women's Opportunities in Higher Education - Revitalizing Selected African Libraries 	<p>DGIS:</p> <ul style="list-style-type: none"> - Research and Innovation Programme www.minbuza.nl/en/developmentcooperation/Themes/Development/research/research-and-innovation-programme/index.html <p>UNESCO:</p> <ul style="list-style-type: none"> - Strategy for priority action for capacity building in higher education - International Institute of Education Planning (IIEP) <p>WB/WBI:</p> <ul style="list-style-type: none"> - Stakeholder dialogues on tertiary education reform (1999-) - MENA Knowledge Network Agency (KNA) in Marselle - The Global Dialogue on Leadership - The Gateway - The Global Development Learning Network (GDLN) - Global Development Network (GDN) <p>Partnership for Higher Education in Africa</p> <p>www.foundation-partnership.org/index.php</p> <p>- Carnegie, Ford, MacArthur, Rockefeller, Hewlett, Mellon and Kresge (\$350 million; 2000-2010)</p> <p>African Economic Research Consortium</p> <p>www.aercafrica.org/home/index.asp</p> <p>- DFID, IDRC, MacArthur, Danida, France, DGIS, Norad, Rockefeller, Sida, SDC, USAID, WB, UNDP</p> <p>UNDP:</p> <ul style="list-style-type: none"> - Capacity Development Group (capacity assessments, capacity development response strategies, costing capacity development strategies, capacity development monitoring and evaluation) include Capacity 2015 and the Simplification and Harmonization Network www.capacity.undp.org/index.cfm?module=ActiveWeb&page=WebPage&s=c apacity_development <p>OECD:</p> <ul style="list-style-type: none"> - Capacity Development Resource Centre www.oecd.org/document/38/0,3343,en_2649_34565_37038950_1_1_1_1_0,0.html <p>African Capacity Building Foundation</p> <p>www.acbf-pact.org/</p> <ul style="list-style-type: none"> - AfDB, WB and UNDP

Sector	Individual	Organisational	Institutional/Systems/Enabling Environment/Network
	<p>BMZ/GTZ:</p> <ul style="list-style-type: none"> - inWEnt –German Capacity Building - German Federal States university placement scheme.(EUR557m in 2003) - Alexander von Humboldt Foundation research scholarships <p>WBI:</p> <ul style="list-style-type: none"> - Leadership Capacity Building Program (Burundi, Liberia, Comoros, Morocco, Egypt, Madagascar) <p>Hewlett:</p> <ul style="list-style-type: none"> - PhD Program within Population Program <p>Ford Foundation:</p> <ul style="list-style-type: none"> - International Fellowships Program (IFP) (USD 280 million; 2000-2010) <p>www.fordfound.org/news/more/11272000ifp/index.cfm</p>	<p>MacArthur Foundation</p> <ul style="list-style-type: none"> - Support for Nigerian Universities www.aercafrica.org/about/structure_funders.asp University Science, Humanities and Engineering Partnerships in Africa (USHEPIA) web.uct.ac.za/misc/iapo/ushepia/bg.htm - Rockefeller, Carnegie and Mellon <p>Ford Foundation:</p> <ul style="list-style-type: none"> - Pathways to Higher Education (PHE) (USD 50 million; 2001-2011) 	
Agriculture		<p>CIDA:</p> <ul style="list-style-type: none"> - Capacity Building for the Forum for Agricultural Research (Africa; CAD 3.25 million; 2004-2007) <p>Rockefeller:</p> <ul style="list-style-type: none"> - RUFORUM – Regional Universities Forum for Capacity Building in Agriculture (ex-Rockefeller) www.ruforum.org/ 	<p>WB:</p> <ul style="list-style-type: none"> - Building Agricultural Policy and Institutional Capacity within the WB Rural Development Strategy www-esd.worldbank.org/ais/index.cfm?Page=mdisp&m=01&p=0 <p>Danida:</p> <ul style="list-style-type: none"> - Danish Network for Agricultural Research for Development (NETARD) - Network for Smallholder Poultry Development
Poverty Reduction			<p>WB/WBI:</p> <ul style="list-style-type: none"> - Poverty and Growth Program web.worldbank.org/WBSITE/EXTERNAL/WBI/WBIPROGRAMS/PGLP/0,menuPK:461286~pagePK:64156143~piPK:64154155~theSitePK:461246,00.html - Dynamic Risk Management and the Poor /web.worldbank.org/WBSITE/EXTERNAL/TOPICS/EXTCDRC/0,contentMDK:20356673~menuPK:64169185~pagePK:64169212~piPK:64169110~theSitePK:489952,00.html - Scaling Up Poverty Reduction - Case Studies and Global Learning Process (2003-2004) info.worldbank.org/etools/reducingpoverty/index.html - Capacity Development Assessment of National Growth and Poverty Eradication Strategy (NGPES) in Lao PDR

Sector	Individual	Organisational	Institutional/Systems/Enabling Environment/Network
Economic growth/trade			<p>DGIS:</p> <ul style="list-style-type: none"> - Capacity Development Program (~52million; 2006-2010) www.minbuza.nl/en/news/pressreleases/2006/09/Improved-financial-services-for-entrepreneurs-in-d.html <p>BMZ/GTZ:</p> <ul style="list-style-type: none"> - Engineering Capacity Building Program (ECBP) (Ethiopia) <p>USAID:</p> <ul style="list-style-type: none"> - Trade Capacity Building (USD 47.1.3 million in 2006) quesdb.cdie.org/tcb/index.html <p>DFID:</p> <ul style="list-style-type: none"> - Trade Related Capacity Building Programme www.dfid.gov.uk/pubs/files/trcbhandout.pdf <p>CIDA:</p> <ul style="list-style-type: none"> - Good Governance and Aid Effectiveness (Vietnam; CAD 10 million; 2006-2010) - Program for building African Capacity for Trade - Phase II (CAD 7.1 million; 2003-2007) <p>WB/WBI:</p> <ul style="list-style-type: none"> - Rapid-Results Approach (RRA) to implementation of Kenya's Economic Recovery Strategy (ERS) for Wealth and Employment Creation - Investment Climate Capacity Enhancement Program web.worldbank.org/WBSITE/EXTERNAL/WBI/WBIPROGRAMS/ICLP/0,,menuPK:461190~pagePK:64156143~piPK:64154155~theSitePK:461150,00.html - WBI Learning Program: Trade web.worldbank.org/WBSITE/EXTERNAL/WBI/WBIPROGRAMS/TRADELP/0,,menuPK:461742~pagePK:64156143~piPK:64154155~theSitePK:461702,0,html <p>Doha Development Agenda Trade Capacity Building Database (TCBDB) tcbdb.wto.org/</p> <ul style="list-style-type: none"> - WB and OECD
Health	<p>MacArthur</p> <ul style="list-style-type: none"> - The Emerging Leaders Development Program (ELDP) within Population and Reproductive Health Program www.pathfind.org/site/PageServer?pagenam=Programs_Nigeria_Projects_ELDP (Nigeria) <p>UNICEF:</p> <ul style="list-style-type: none"> - Training of health workers 	<p>CIDA:</p> <ul style="list-style-type: none"> - CNCI Capacity Development - Phase II (Cuba; CAD 5 million; 2004-2011) <p>EC:</p> <ul style="list-style-type: none"> - Partnerships for Preparedness: Building local capacity and ownership in the development of AIDS vaccines (East Africa; EUR3 million; 2003) <p>Rockefeller:</p> <ul style="list-style-type: none"> - Public Health Schools Without Walls (PHSWOW) 	<p>CIDA:</p> <ul style="list-style-type: none"> - Health Management Capacity Building Support (Haiti; CAD 17.5 million; 2006-2011) <p>EC:</p> <ul style="list-style-type: none"> - Building up rights-based approaches to HIV/AIDS in Pakistan: a national civil society capacity building project (EUR3.3 million; 2002) <p>Rockefeller:</p> <ul style="list-style-type: none"> - Network of African Public Health Institutions (NAPHI)

Sector	Individual	Organisational	Institutional/Systems/Enabling Environment/Network
Environment	<p>Rockefeller:</p> <ul style="list-style-type: none"> - Human Resources for Health and Development: A Joint Learning Initiative <p>CIDA:</p> <ul style="list-style-type: none"> - Capacity Building for Home Based Palliative Care (South Africa; CAN 5million; 2006-2010) 	<p>CIDA:</p> <ul style="list-style-type: none"> - Building Local Capacity in Environmental Economics (CAD 2.1 million) - District Capacity Building Project (DISCAP) (Ghana; \$10,880,769; 2000-2008) <p>WBI:</p> <ul style="list-style-type: none"> - WBI learning Program: Water 	<p>USAID:</p> <ul style="list-style-type: none"> - Global Climate Change Program - ENCAP- Environmentally Sound Design and Management Capacity Building for Partners and Programs in Africa (East Africa) <p>IDRC:</p> <ul style="list-style-type: none"> - Climate Change Adaptation in Africa (CCAA) - The International Model Forest Network (IMFN) - WADImena <p>EC:</p> <ul style="list-style-type: none"> - Advancing Capacity, Partnerships and Knowledge to Support Climate Change Adaptation in Africa and Asia (EUR 1.4 million; 2005) <p>CIDA:</p> <ul style="list-style-type: none"> - Environmental Capacity Building (Caribbean; CAD 4.5 million; 1999-2009) <p>Danida:</p> <ul style="list-style-type: none"> - Research Network for Environment and Development (ReNED) - Danish Water Forum Research (DWF Research)
Gov/Con	<p>EC:</p> <ul style="list-style-type: none"> - Enhancing the capacity of legal professionals and law enforcement officials in Russia to apply the European Convention on Human Rights (ECHR) in domestic legal proceedings and practices (EUR 1.9 million; 2006) 	<p>BMZ/GTZ:</p> <ul style="list-style-type: none"> - Capacity Development in Mali's administrative systems <p>CIDA:</p> <ul style="list-style-type: none"> - ECOWAS: Capacity Building for Peace and Security (West Africa; CAD 5.75 million; 2006-2010) www.acdicida.gc.ca/cidaweb/cponsf/vLUWebProjEn/D6F3475B47D0281B8525710F0036FDAE?OpenDocument - Strengthening the Peace and Security Capacity of the AU (CAD 3 million; 2003-2007) <p>WBI:</p> <ul style="list-style-type: none"> - Capacity Building and Strengthening Training Institutions (Madagascar) - Public Financial Management Advice (Chad) 	<p>USAID:</p> <ul style="list-style-type: none"> - WARP: Capacity Building for Peace building in West Africa kenya.usaid.gov/missions/westafrica/cprevention/pbuilding/index.htm <p>CIDA:</p> <ul style="list-style-type: none"> - African Public Sector: Capacity Building (CAD 28 million) www.acdicida.gc.ca/cidaweb/cponsf/vLUWebProjEn/D6F3475B47D0281B8525710F0036FDAE?OpenDocument - Ethiopia Parliament Capacity Building (CAD 4.5 million) <p>Danida:</p> <ul style="list-style-type: none"> - Research Network for Governance, Economic Policy and Public Administration <p>BMZ/GTZ:</p> <ul style="list-style-type: none"> - Capacity building in the government and administration system (Ethiopia) (2005-2010) <p>WBI:</p> <ul style="list-style-type: none"> - WBI Learning Program: Community Empowerment and Social Inclusion (CESI) web.worldbank.org/WBSITE/EXTERNAL/WBI/WBIPROGRAMS/CESILPROGRAM/0,,menuPK:459702~pagePK:64156143~piPK:64154155~theSitePK:459661,00.html

Sector	Individual	Organisational	Institutional/Systems/Enabling Environment/Network
Gender		<p>EC:</p> <ul style="list-style-type: none"> - Reducing gender in education (Turkey) www.acev.org/english/training/euprojects.asp <p>USAID:</p> <ul style="list-style-type: none"> - Capacity Building for Foreign Treatment Centers for victims of torture (USD 4.1 million; 2000-2006) kenya.usaid.gov/our_work/humanitarian_assistance/the_funds/vot/cvt.html <p>EC:</p> <ul style="list-style-type: none"> - Enhanced Capacity building in Migration Management to Support Effective Return and Sustainable reintegration of refugees in Sri Lanka (Sri Lanka; EUR1.8 million) 	<p>EC:</p> <ul style="list-style-type: none"> - Methodological Support and Training on Gender Mainstreaming in EC Development Co-operation (EUR1.9 million; 2004-2006) ec.europa.eu/europeaid/projects/gender/projects_method_support_en.htm <p>Irish Aid:</p> <ul style="list-style-type: none"> - Rapid Response Initiative – Capacity Building (EUR3.4million in 2006) www.irishaid.gov.ie/Rapid_Response_Initiative.asp?article=944 <p>BMZIGTZ:</p> <ul style="list-style-type: none"> - Capacity Building for Tsunami Early Warning Systems (Indonesia)
ICT			<p>WBI:</p> <ul style="list-style-type: none"> - Developing a National Information and Communications Technologies (ICT) Strategy (Ethiopia) <p>IDRC:</p> <ul style="list-style-type: none"> - Pan Asia Networking- KariaNet - Bellanet International Secretariat
Other		<p>EC:</p> <ul style="list-style-type: none"> - Enhancing capacity to address trafficking in especially children from a human rights perspective in Southeast Asia, Southeast Europe and Latin America (EUR1.2 million; 2005-2006) - Capacity Building For Migration Management in China (EUR2 million; 2005) <p>UNICEF</p> <ul style="list-style-type: none"> - Contribution to national capacity through support to national statistics and surveys. - Capacity building and technical support in procurement planning www.unicef.org/supply/index_24147.html 	<p>GTZ:</p> <ul style="list-style-type: none"> - Jahresthema 2007 'Capacity Development' (theme of the year) <p>WB:</p> <ul style="list-style-type: none"> - Improving Statistical Capacity web.worldbank.org/WBSITE/EXTERNAL/DATASTATISTICS/SCBEXTER-NAL/0,,pagePK:229515~theSitePK:239427,00.html

Source: Donor websites and Whyte, 2004

Notes:

- This is not an exhaustive list and has depended on access to information provided by donors on their respective websites.
- Amount and dates are only specified where this information is readily available.
- Region or country focus is only specified where there is a specific focus

Table 4: Empirical Studies and Evaluations of Capacity Development Interventions

Sector chosen in study	Countries studied / Type of CD intervention	Intention of the CD intervention	Main findings
Local governance	Philippines on-site-coaching, peer-to-peer learning, facilitated replication	To develop capacities in four outcome areas: (i) more efficient and effective local government leadership and management; (ii) enhanced access to and improved quality of services, especially for poor and disadvantaged groups; (iii) more equitable, efficient, transparent and sustainable generation and utilisation of resources (iv) more effective and equitable participation by individuals, the private sector and civil society organisations in local governance.	p.25-26 The programme reports the following key results within the participating LGUs. -Improved planning and decision making. -Increased participation of citizenry, community groups, NGOs and the private sector in governance. -Improved delivery of services in priority areas. -Increased ability to generate revenue and mobilise resources. -Increased appreciation and capacity for capacity development. (see also meso & macro level results)
Plant Genetic	Ghana Training Technical support Information services Infrastructure dev. Collaborative research Awareness raising	To conserve plant genetic resources Use plant genetic resources Attract and secure resources from donors	Areas of improvement observed include infrastructure development, acquisition of key administrative staff and technical staff, improved research methodologies, and an increased engagement with national and international stakeholders. The Center has also diversified its services and products thereby increasing its financial resources.
Agricultural Research	Philippines Training Acquiring and using publications 'learning-by-doing'/ collaborative field projects	To undertake participatory research in community based natural resources management	p.144 The research it conducted on home gardens helped the Center contribute significantly to the public- and private sector's response to food shortages in Baguio City as a result of the 1991 earthquake. a variety of types of capacities were developed spanning the entire process of research planning and implementation. These extended even beyond the research realm by enabling Center staff to teach university courses and organize training sessions. p/145 Individual capacities were successfully transformed into project-level capacities, and this was demonstrated by sustained project implementation, even when project leadership changed, expanding team membership, and the receipt of awards that recognized project level performance. Participatory methods in the Center-UPWARD collaborative project were used for other projects undertaken by the Center. The study concluded that throughout project implementation, the team continuously learned to improve its participatory research performance. p.146 it was clear from the evaluation that UPWARD gained as much as the Center from the partnership.

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Campos et Hauck (2005) ECDPM	Health Brazil Networking	To develop a number of soft capabilities which would catalyse the technical and professional capabilities. These soft capabilities to include flexibility, creativity, pragmatism, inventiveness and entrepreneurial spirit.	p.24 The network's outputs also contributed to higher level outcomes, such as formal recognition and status, secure funding for research over a longer period of time and - most importantly - the use of network knowledge and results to improve policymaking in public health. To date, indications of the effectiveness of the network are mostly indirect, though a few examples of sound, fact-based policymaking can be mentioned: <ul style="list-style-type: none"> • inventorisation of human resources management practices at the local level; • re-distribution of physicians and nurses to underserved areas; • better knowledge of the dynamics of the physician's labour market in São Paulo State. Capabilities to distil targeted conclusions from research are scarce and mechanisms to systematically absorb and transform analyses for policy discourse are weak.
Espinelli et al (2003) in Horton et al (2003)	Rural Development NGO Bangladesh Training	To: <ul style="list-style-type: none"> -support institution-building - support women's development, - disaster preparedness - social mobilization, - micro-finance 	p.123-4 Common goals were shared but relationship was diffused Difficulties in connecting individual CD to organizational capacity needs Capacities developed included: innovation and change, strategic management and leadership, participatory program management, the mobilization of resources, and building partnerships. As a result of its capacity development efforts, RDRS made a successful transition from a field program of an international charity to a strong, respected, self-administered, national NGO. The study also revealed that translating capacities from an individual to an organizational level was achieved by some and not by others.
Gordon and Chadwick (2007) ACIAR	Agriculture/ Pigeonpea genotypes 3 years Post-doc fellowship to Australia	To develop the research capacity of the co-operators in partner countries in the areas of design, experimentation and evaluation of introduced breeding material	Scientists increased their capacity to: <ul style="list-style-type: none"> - screen breeding materials for beneficial characteristics, such as photo-insensitivity - select genotypes for further breeding on the basis of adaptability to different climatic environments - undertake crossbreeding - test the cultivars developed under laboratory and on-farm conditions. A 50% share of the project benefits was attributed to the capacity-building activities as a conservative estimate The resulting net present value of the capacity-building activities is therefore A\$67.6 million, which represents a benefit-cost ratio (BCR) of 27.92 and an IRR of 23%.
Gordon and Chadwick 2007 ACIAR	Agriculture/ Environment Irrigation and water management Vietnam GIS Training in Melbourne	To develop capacity for specific skills in GIS application required for the implementation of the IMSOP model.	The GIS training filled a clear gap in the broader ACIAR projects. <ul style="list-style-type: none"> - GIS skills were necessary for the successful outcome of the project and were not available elsewhere at the time. - CB resulted in an estimated gross benefit of A\$89,560—a 0.58% share of the A\$ 15.5 million in benefits estimated for the 2nd project. - No impact after project (person trained not part of phase 2)

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Hauck (2004) ECDPM	Health Uganda Technical Assistance Research Training school for medical staff	To develop health care capacity, including: - The ability to transfer the founders' values to others in the organisation. - The ability to reproduce the organisation. - The ability to adapt. - The ability to self-regulate. - The ability to network and collect intelligence.	The hospital has managed to adapt and change to respond to severe crises. The in-house approach to staff development (training school) has been a success and ensured availability of qualified staff able and willing to 'fit' into the hospital working environment despite crises. TA has allowed to integrate new ideas and medical knowledge thus to keep updated Leadership of the hospital transferred to Ugandan nationals (but they died so now it's co-managed); Hospital performance above average since 1997
Hauck et al. (2005) ECDPM	Governance Papua New Guinea inter-church exchanges and cooperation	To contribute to shaping governance and enhancing state performance through service delivery in the social sectors.(p.2) p.18-19. Including: Capability to use space: Capability to link policy and practice: Capability to bridge across boundaries: Capability to bond with communities:	p.21 Public policy and decision making: The Catholic Church is repeatedly mentioned as a solid performer on governance issues. Enhancing public performance. This report has identified the CMC as an important interface for public-church-based policy exchange and dialogue on health. p.23 there are still considerable sensitivities which limit 'bridging', i.e. ecumenical work, between some of the congregations. During interviews, several church leaders expressed concern that loading additional tasks and responsibilities onto churches too rapidly and without proper support would likely lead to failure.
Land (2004) ECDPM	Participatory development Indonesia Training (TOT approach) TA Mentoring Systems development Networking	To develop the capacities of a system to deliver rather than focusing on achieving quick results on the ground; -creating the capability for providing training and advice at the provincial level to enable wider replication and ongoing facilitation; -empowering communities to develop their own capacities to address local development challenges.	See P17 for outcomes and immediate results (+) p.18 in 2002, Takalar decided to expand SISDUK from the initial four pilot villages to all 73 villages in the district. (2 years after JICA's project closure) it becomes apparent that SISDUK has changed in a number of fundamental ways. Crucially, key elements of the participatory development system that reflected the central tenets of the SISDUK approach are no longer being practised as originally intended. As a result, many of the capabilities that had been developed to make the SISDUK concept operational are not being used. ... The fundamental principle of a community-based, bottom-up planning process has been replaced with a more conventional technocratic and disbursement-based process. The emphasis given to community empowerment has been replaced by an emphasis on infrastructure development.
Larbi et al. (2004) DANIDA	Water Ghana TA inputs Staff development opportunities Funding for logistic and equipment	To enhance: -Information sharing, collaboration and communication -Formulation of strategies for mobilizing resources -Provide training and TA - Support DAs and encourage gender and poverty mainstreaming -Encourage private sector participation and support their CD	The study identified significant changes in the outputs and outcomes of the Community Water and Sanitation Agency (CWSA) since 1998 when it was created. The changes in outputs include the development of training and technical assistance support to regions and districts, and significant increases in facilities such as household latrines. Changes in outcomes include increase in water supply and sanitation in rural communities, improved data collection and improvement in relationships with NGOs.

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<p>Larbi et al. (2004) DANIDA</p> <p>Water</p>	<p>Ghana</p> <p>Payment of GoG core funds TA inputs</p> <p>Opportunities for staff development</p> <p>Logistic and equipment</p> <p>CD support to decentralization</p>	<p>To enhance:</p> <ul style="list-style-type: none"> -Information sharing, collaboration, coordination and communication with all sector actors -Formulation of strategies to mobilise resources -Provide TA support on planning and execution of W&S projects -Prescribe standards and guidelines -Encourage gender and poverty mainstreaming -encourage private sector participation and support CB 	<p>Examples of outcomes from the changes in outputs from CWSA national office include more easily available data for planning and reporting for use by CWSA, the Ministries, donors and other sector stakeholders. Some districts have DWSPs, an increased awareness of a range of sector policy related issues, some improvements in the relationships with NGOs and, indirectly, an increase in coverage of water supply and sanitation in the rural communities. There has been some progress in mainstreaming gender issues in the sector leading to some improvements in women's participation as well as men's (for example, the paid elderly female pump attendants in the village visited and inclusion of gender related considerations in training materials).</p>
<p>Larbi et al. (2004) DANIDA</p> <p>Governance</p>	<p>Ghana</p> <p>Training</p> <p>Technical Assistance</p> <p>Study tour to Denmark</p>	<p>To develop the capacity of NALAG to:</p> <ul style="list-style-type: none"> -Provide services to members -Involve local authorities in advocacy -Deliver training -Provide a forum for discussion -Make linkages with international associations <p>Ministry of LG and RD:</p> <ul style="list-style-type: none"> -Policy making -Advising LG -Monitoring -Program coordination and implementation 	<p>NALAG has had no significant change in its outputs, outcomes for users and in its capacity to undertake its advocacy role, despite some CD support since 1999.</p> <p>In the case of the MLGRD/DS, overall output, outcome and capacity changes are mixed. The DS has certainly added to the policy-making ability of the Ministry. The National Decentralisation Action Plan (NDAP) is a significant output, which has been well received by key stakeholders.</p> <p>Over the time period examined (1998 to present), there has been a decline in the ability to control and monitor the actions of the Districts.</p>
<p>Le Thanh et al. (2003) in Horton et al (2003)</p> <p>Rural Development Research</p>	<p>Vietnam</p> <p>Action research</p>	<p>To develop capacity in participatory research for community-based natural resource management</p>	<p>The study concluded that over time the Institute has grown rapidly and made a number of achievements in the field of training, research, and extension that have enabled it to play a leadership role in scientific and policy innovations in Viet Nam.</p> <p>Important gaps prevailed:</p> <p>Collaboration between local organizations faced obstacles because of staffing and budgetary problems.</p> <ul style="list-style-type: none"> • Staff resources were limited and staff did not have clear responsibilities, making it difficult to track, reward, or punish in response to performance. • The division of duties in irrigation system management is not locally regulated. • The management of local associations is weak.

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<p>Lopes and Theisoehn (2003) UNDP</p> <p>Local Governance Conflict</p>	<p>Afghanistan</p>	<p>To develop the institutional capacities of civil society and community organisations</p>	<p>p.172-173</p> <ul style="list-style-type: none"> • When there is a collapse of delivery systems and infrastructure, decentralized service delivery is likely to work better than unified, national service delivery. • Economic development or small-scale projects undertaken at the village level do not by themselves lead to development. Projects have to be part of a process that changes the community environment and people's lives. Such a transformation can only be achieved by steadily building up community and village institutions. • Community intervention implies working with existing social structures and power relationships. Individual members of the community who are better off can more easily take advantage of opportunities. Initiatives do not necessarily reach the poor and most vulnerable, while NGOs – and other implementing partners – can, if not managed carefully, easily weaken links with communities, and complicate programme and staff management. • No community can make a valid contribution to decision-making unless it also controls resources to implement those decisions. As local institutions mature – and assets grow – they tend to work more independently of the sponsoring project and act in what they perceive to be their best interest. This became evident in Afghanistan when 160 communities embarked on independent activities, and 225 approached other aid agencies for support. • Rehabilitation activities cannot be conducted in a total political vacuum. <p>A working rapport must be established with the de facto authorities.</p>
<p>Lopes and Theisoehn (2003) UNDP</p> <p>Planning Environment Education</p>	<p>Jordan</p>	<p>To produce a National Agenda 21; To develop environmental impact assessment guidelines; To prepare a National Environmental Information Strategy and a National Awareness, Education and Communication Strategy, using the Agenda 21 methodology.</p>	<p>p.244-245</p> <ul style="list-style-type: none"> • Strong national commitment and the crucial role of national "champions" were key to progress. • Capacity 21 offered the country a groundbreaking and non-threatening opportunity to test participatory approaches and partnership building among different stakeholder groups in policy-making and dialogue. The process was an inclusive learning experience. • Access to information, facilitated by ICT, and opportunities created for multi-stakeholder dialogue were powerful tools in mobilizing local capacities, building ownership for new development concepts and bringing together groups that had never worked together. • The interdisciplinary approach has now been used during consultations related to Jordan's signing of the Free Trade Agreement with the United States in 2000, the drafting of the new Environmental Protection Law in 2001, and the preparation of the national assessment for the 2002 World Summit on Sustainable Development.

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<p>Lopes and Theisoehn (2003) UNDP</p>	<p>Policy making</p> <p>Estonia</p>	<p>To use foundations as a legal and institutional mechanism to support national policies and programmes.</p>	<p>p. 215 Specific benefits have included:</p> <ul style="list-style-type: none"> • Close alignment with national priorities resulting from the relationship between the programme and the policy framework, and the fact that ultimate accountability rests with national authorities • A government focus on policy and oversight as opposed to implementation, which has improved programme continuity and accommodated adjustments across changes in leadership • Active stakeholder participation and broad consensus on policy and programme directions • The pooling of resources and the ability to achieve cross-programme synergies in cases where a particular donor is unwilling or unable to take this approach <p>p.216 Challenges:</p> <p>The process of improving links between programmes and policies can slip into a heavy focus on outcome results, while the nature of cooperation between ministry, agency and foundation staff needs to be better delineated. In spite of shared participation on supervisory boards, some perceptions exist that beneficiary influence should be enhanced and the government role reduced; otherwise, there is a risk that supervisory boards will cede to political whims. There is also a need to better integrate the financial management systems of foundations with those of national agencies. Concerns persist as well that there are too many foundations, raising fears of inefficiency and lack of coordination.</p>
<p>Lopes and Theisoehn (2003) UNDP</p>	<p>Local governance</p> <p>Turkey</p>	<p>To foster interaction and dialogue among community members and municipal authorities in local decision-making.</p>	<p>p.299</p> <ul style="list-style-type: none"> • Through a combination of locally driven initiatives and external ideas, municipal governance has opened to the participation of local stakeholders, who work in partnership with authorities. By mobilizing the capabilities of the general population, municipalities increase their own capacities. • Securing central government approval bolstered ownership, while the Local Agenda 21 Law ensured the engagement of public agencies. Technical know-how, financial resources and lessons learned from the wider Local Agenda 21 programme, and international events such as Habitat II, played a catalytic role in supporting local actors as they tried out a new approach. • Participation has spread across the country, as those who were initially less convinced have seen what can be achieved through joint decision making and local partnership. Once the political pay-off of participatory approaches is recognized, local politicians tend to be quick to champion the process – at the same time, a key to success is ensuring that local City Councils remain non-partisan.
<p>Maestrey Boza et al. (2003) in Horton et al (2003)</p>	<p>Agricultural Research</p> <p>Cuba</p> <p>Training</p> <p>'Learning-by-doing'</p>	<p>To develop capacity in</p> <ul style="list-style-type: none"> - Strategic management - Analysis of agrifood chains 	<p>The work on agrifood chains helped IIP understand the changes that were taking place and define priorities for work, and research & development ; gained new sense of direction; increased confidence in negotiation with other org. Participants understand more how their individual work relate to overall org and interconnectedness of various factors in the food chain.</p>
<p>Morgan (2005) ECDPM</p>	<p>Environment</p> <p>Jamaica</p> <p>Technical assistance</p>	<p>To identify and solve national environmental problems</p>	<p>Increased efficiency saved ;\$8 000 000.</p> <p>A variety of training organizations have improved their capabilities and outputs; strategic environmental assessments have been institutionalized across government; parish councils where ENACT was involved are more effective than the others; and the Jamaican National Environment Education Action Plan was used in other countries.</p>

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Morgan (2005b) ECDPM	Eastern Caribbean States Learning by doing & reflective practice Staff development & TA	To develop capability to perform: -facilitating -advocating -mobilising -managing	ESDU has changed its mandate, management style, and structure. The results were enhanced performance, improved service output, better staff satisfaction and higher credibility amongst stakeholders.
Oxford Policy Management (2006) DfID	Ghana Technical Cooperation Staff training IT support Public education campaigns	To develop capacity in : - Economic management: - Economic policy making - Budget preparation and Execution - Accounting & Reporting	p.4 the evaluation noted significant changes in two organisations – the NIDPC and the VAT service. Here, DFID-financed TC appeared to have contributed in a significant manner; although in relation to NDPC there were question marks over the sustainability of its impact. By contrast, within MOFEP despite considerably higher levels of TC expenditure, rather less change had been achieved. There were some essentially 'transactional' improvements but no 'clearcut' transformational impact.
Oxford Policy Management (2006) DfID	Kenya Technical Cooperation IT support TA	To develop capacity in: - Economic management: - Budget preparation and execution - Reduce public sector arrears - Monitoring & Evaluation - Improve procurement system	p.60 The DFID TC projects reviewed in this study typically only addressed a limited range of capacity issues, being mostly concerned with the development of management systems, rather than with the establishment of the staffing and other capacities necessary for the sustained support of those systems. The projects reviewed therefore have the potential to have impact but this largely depends on progress with government's commitment to reform, and on measures to address these wider aspects of organisational capacity that have not been the focus of DFID support.
Oxford Policy Management (2006) DfID	South Africa Technical cooperation System development Skills transfer Placement of officials in UK institutions Training	To develop capacity to: - Conduct poverty analysis - Elaborate poverty strategy - Promote growth, jobs and equity - Strengthen democracy, governance and service delivery - Tackle HIV/AIDS	p.105 SERP I had an important impact in helping the process of establishing and implementing new budget systems. The National Treasury's strong management and staffing capacity has enabled this contribution to be transformational and to be sustained. The impact of SERP II is less clear but the initial work with DPE was considered sufficiently useful to have generated a doubling of the Know How Fund and a spin off into SRPESA. So far the impact of SRPESA can be detected in some of the achievements of DPE in influencing pricing and regulation, but its ultimate impact will in part depend on whether it can help the GSA deliver clear objectives for state owned enterprises.
Oxford Policy Management (2006) DfID	Zambia Technical Assistance Systems development Training Sensitization	To develop capacity in - Macro-economic forecasting - Tracking donor funding - Liaise with line ministries - Monitor PRSP - Accounting - Auditing	The impact of DFID support has been mixed. Support to BED has contributed significantly to HIPC completion but in itself the activity did not build capacity within government. Support to TPU and IAU has laid the groundwork for future progress if key organisational and institutional issues are addressed. PMECP has had a significant but mixed impact, in that the full potential of the system established has yet to be realised. Support to ZRA has improved the overall performance of the organisation.
Rademacher (2005) ECDPM	Asia Management & program reviews Retreats & regional meetings Orientation of new staff	To develop capacity in: - Crafting and maintaining regional coherence - Capacity for learning - Capabilities for livelihood approaches to IUCN in Asia projects and programmes	An interconnected process of ongoing assessment and change characterises IUCN in Asia, and many of those consulted for this study felt that this was central to the growth of capacity itself.

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<p>Reynolds, Mitchell and Bierring (2003) UNFPA</p> <p>Reproductive health, population and development</p>	<p>Brazil, Côte d'Ivoire, Egypt, Nepal, Nigeria, Viet Nam</p> <p>Equipment and infrastructure (40% of funds) Training (25% of funds) Technical Assistance (18% of funds)</p>	<p>To develop capacity in:</p> <ul style="list-style-type: none"> - creating a common vision; - developing human resources; - developing systems; - iterative planning, monitoring and evaluation of programme interventions; - establishing partnerships and inter- and intra-organizational coordination; - mobilizing resources for sustainability. 	<p>It was the overall conclusion of the evaluation team that there had been limited success in actually achieving the goal of developing capacity with most of UNFPA's partner organizations.(p.ix and p.29)</p> <p>The evaluation concluded that, in the absence of well-defined strategies for CD within UNFPA, these management structures are not as effective in achieving the CD objectives of these programmes as they could be.(p.x)</p> <p>One of the clear findings from the evaluation country cases is that the context, i.e. the systems in which individuals and organizations operate, has a critical impact upon the ability of individuals and organizations to develop capacities to perform.(p.11)</p>
<p>Rourke (2006) ECDPM</p> <p>Trade</p>	<p>Russia</p> <p>Short-term technical support and training Longer term CD assistance Strategic positioning</p>	<p>To develop capacity to implement and enforce WTO obligations</p>	<p>It is clear that on questions of WTO accession, Russia's main trading partners, and the WTO more generally, have a much more favourable perception now than they had five years ago. Several former private sector experts have since returned to government service to hold senior WTO and trade related portfolios. At the university level, there have also been some key improvements with respect to collaboration, learning, strategic direction and talent development. The greatest improvement in institutional capability can be seen with CTPL Moscow.</p>
<p>Somarriva Chang et al. (2003) in Horton et al (2003)</p> <p>Agricultural Education</p>	<p>Nicaragua</p> <p>Joint research Technological support Financial support Institutional CD Information exchange</p>	<p>To develop FARENA's capacity to achieve its mission (create professionals who can contribute to the agricultural development of the country by generating appropriate technologies for natural resource management in order to contribute to the establishment of sustainable and competitive agrarian production systems.)</p>	<p>The study concluded that change processes were put into place that served to motivate FARENA to redefine its mission, vision, and role in the area of renewable natural resource management in Nicaragua (p.138) The study suggested that FARENA could have used its professional resources more efficiently.</p> <p>FARENA has managed to maintain its relevance by designing curricula reform based on an assessment of national demand and needs for agricultural sciences. The financial resources allocated to FARENA do not, however, allow it to undertake all of its mandated activities and the various contributions made by external entities contributed the following achievements:</p> <ul style="list-style-type: none"> • increased collaboration and communication with a variety of national organizations and national and international networks; • improved research capabilities through enhancing researchers', students', and graduates' capacities; • increased training for natural resource management-related sectors; (p.140)
<p>Watson and Khan (2005) ECDPM</p> <p>Education Governance</p>	<p>Pakistan</p> <p>training</p>	<p>To develop capacity for delivery of devolved state education services</p>	<p>p.vi Needs analyses appeared to have ignored fundamental obstacles to the application of knowledge and skills derived from training. Several evaluations identified obstacles to the translation of training programmes into improved individual and organisational performance, or indicated that there was no evidence of behaviour change.</p> <p>p.viii Cynicism about 'training' is (justifiably) setting in; 'capacity building' is becoming a devalued currency.</p>

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<p>Watson and Yohannes (2005) ECDPM</p> <p>Education Governance</p>	<p>Ethiopia Gengema (indigenous system of appraisal) Training & vocational/ technical education</p>	<p>To develop capacity for delivery of decentralized education services</p>	<p>p.v While there are no impact analyses of these programmes (from ministry of CB), they appear to have contributed to capacities at various levels, and there is some evidence of positive performance outcomes (especially financial management) due to the systematic approaches adopted. There is no evidence that the results of, and lessons emerging from, these initiatives are being shared.</p> <p>The Ministry of Education is clearly still finding it problematic to make the transition to its policy, planning and evaluation role under devolution.</p> <p>p.vi While attempts are clearly being made to make devolution work, there is little evidence of how levels of local government are responding (and performing) under devolution.</p> <p>P20 The impact of the Ministry (of CB) has not yet been fully felt, ... Its role has been limited to the preparation of the major (forthcoming) PSCAP (which will impinge indirectly on education service delivery); handling the community and parent-teacher mobilisation aspects of the ESDP (with very positive results, based on our consultations). It appears, however, that the Ministry has not kept abreast of, or contributed to, some very significant and innovative CB experiences in the education sector; particularly those sponsored by USAID.</p>
<p>World Bank (2005)</p> <p>Public Sector - Roads - Education - Health - Public financial management</p>	<p>Benin Ethiopia Ghana Malawi Mali Mozambique</p> <p>- Training - Technical Assistance - Studies - Equipment</p>	<p>To develop:</p> <ul style="list-style-type: none"> • Human capacity: individuals with skills to analyze development needs; design and implement strategies, policies, and programs; deliver services; and monitor results. • Organizational capacity: groups of individuals bound by a common purpose, with clear objectives and the internal structures, processes, systems, staffing, and other resources to achieve them. • Institutional capacity: the formal "rules of the game" and informal norms that provide the framework of goals and incentives within which organizations and people operate. 	<p>In Africa, the Bank's record of success in enhancing the performance of the public sector varies across sectors as well as across countries. (p.44)</p> <p>The traditional capacity building tools of TA and training have often proved ineffective in helping to improve sustained public sector performance, in large part because they are not applied within a broad human resource management framework linked to necessary organizational and institutional developments.</p> <p>Achievements in road sector:</p> <ul style="list-style-type: none"> - Development of a private sector construction industry, including support for the training of contractors • Greater stability and transparency of funding for the sector • Strengthening of key sector organizations, including the relevant ministry, highway authority, and related departments; to plan, execute, monitor, and account for national roads programs • Development of technical skills in modern road design, construction, and repair:

