



The CHF Capacity Building Approach

 **CHF**
partners in rural development

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The CHF Capacity Building Approach

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These guidelines have also benefited from the work of a number of important sources and centers of expertise. First of all, CHF would like to recognize the contributions of CIDA, in particular the support of CIDA's Partnership Branch. We also over the years have drawn upon the work of the European Centre for Development Policy Management (ECDPM) and their Capacity.org website. Finally, CHF has benefited from the programs of the International NGO Training and Research Centre (INTRAC), located in Oxford, UK.

TABLE OF CONTENTS

Acronyms and Abbreviations	2
How to Use This Guide	3
1 Understanding Capacity Building	5
1.1 What is Capacity Building?	5
1.2 Evolution of Capacity Building.....	5
1.3 Key Concepts	7
1.4 Capacity Building Defined	9
2 Capacity Building at CHF	13
2.1 Background	13
2.2 CHF Development Philosophy	16
2.3 CHF Programming Approaches.....	18
2.4 CHF Capacity Building Approach.....	20
2.5 Strategies and Interventions	22
2.6 CHF's Step-by-Step Approach to Capacity Building.....	27
3 What CHF Can Offer Our Partners & Key Lessons Learned	31
3.1 What CHF Can Offer Our Partners	31
3.2 Challenges and Key Lessons Learned	32
Conclusion	35
Bibliography	36
Annex 1: Sample Capacity Building Planning Sheet	38
Annex 2: Capacity Building Matrix	39
Annex 3: Capacity Building Resource List	40

ACRONYMS AND ABBREVIATIONS

BCCP	Building Community Capacity Project
CB	Capacity Building
CBO	Community Based Organization
CD.....	Capacity Development
CIDA.....	Canadian International Development Agency
DAC	Development Assistance Committee
ECDPM	European Centre for Development Policy Management
FARMER.....	Farmer Mechanisms in Extension and Research Project
INTRAC.....	International NGO Training and Research Centre
NGO	Non-Governmental Organization
OD	Organizational Development
ORDA.....	Organization for Rehabilitation and Development in Amhara
PFS	Partnership for Food Security Project
PIPs.....	Policies, Institutions and Processes
RBM.....	Results Based Management
SLA.....	Sustainable Livelihoods Approach or Analysis
SWAp.....	Sector Wide Approach
UNDP	United Nations Development Program
VDP.....	Village Development Plans

HOW TO USE THIS GUIDE

The CHF Capacity Building Approach articulates and describes CHF's philosophy and approach to capacity building. It is based on 45 years of development experience and lessons learned from designing and implementing hundreds of projects with developing country partners throughout the world. Specifically, these guidelines have been developed:

- to guide CHF program managers and technical staff in designing, implementing and monitoring capacity building programming in their projects;
- to describe CHF's capacity building approach and methodology to current and prospective partners; and
- to explain the rationale for our capacity building activities and approaches to donors and other development stakeholders.

The document has been organized in three main sections. Section 1, Understanding Capacity Building, looks at the evolution and practice of capacity building within the arena of international development assistance, some key concepts in current discourse, and the definition of capacity building that CHF uses. Section 2, Capacity Building at CHF, looks at the place of capacity building within CHF's development philosophy and practice, describes the approach we use, and the types of capacity building assistance we provide. Section 3, What CHF Can Offer Our Partners & Key Lessons Learned, summarizes experience based on field testing over the past ten years. Specific references and capacity building tools are provided in annexes to this document. Finally, in this document the terms capacity building and capacity development are used interchangeably.



Building project management practices in Ethiopia.

Understanding Capacity Building

1.1 What is Capacity Building?

The concept of capacity building has become increasingly important in the arena of international cooperation over the last 20 years as governments, donors, and implementing agencies seek to realize more sustainable impacts from development assistance. Despite considerable resources expended, technical assistance alone failed to achieve results that lasted after projects ended and international “experts” returned home. As the 2004 World Bank Institute publication *Capacity Enhancement Indicators, Review of the Literature* notes, “technical assistance projects may have an initial positive impact on performance results, but as soon as the funding of these projects ends, or foreign experts leave the country, performance indicators deteriorate.”¹ Emerging in the late 1980s, capacity building was a new approach to development that sought to focus resources and interventions more strategically to build, strengthen or improve the effectiveness of developing country capacities. Since then, there has been ongoing dialogue and debate within the international community on the concept of capacity building and the methodologies to apply to it. As a learning organization, CHF is actively engaged in this exchange through practical application in the field, participation in various forums and policy dialogue.

1.2 Evolution of Capacity Building

The emergence of capacity building as a central focus can be found within the history of international development assistance itself. Over the past 60 years, thinking on international issues and international aid has evolved through five general phases, as described below. These should not be seen as discrete, sequential stages, but rather as shifts in perspective and emphasis over time, with each stage borrowing and adapting from the ones before.

1950s to 1960s — Institution Building

Institution building was based on a management philosophy whose underlying objective was to equip developing countries with the basic inventory of public sector institutions required to manage a program of public investment. More often than not, it meant importing or transplanting models from developed countries. The focus was on the design and functioning of individual organizations, with little attention to contextual issues. Development assistance focused on training, technical assistance, financial support, program design and improvements in organizational structures and systems.

1960s to 1970s — Institutional Strengthening

This period represented a shift toward improving existing organizations, as opposed to “building” new ones. However, the focus remained substantially on individual organizations and transfer of western administrative techniques. Donor interventions were directed towards strengthening of specific organizational functions (e.g., redesign of administrative systems) or training to upgrade capacities of individuals. Institutional strengthening was also seen as a means of supporting other project objectives.

1 Mizrahi, Y. (2004) *Capacity Enhancement Indicators, Review of the Literature*, World Bank Institute Working Papers, p.5.

1970s — Development Management

Development management reflected an emphasis on management and implementation of development programs, as opposed to improvement of individual institutions. The primary focus was on delivery systems of public programs and the ability of governments to reach target groups. Development management was a reaction to previous top-down approaches and involved more strategic thinking and political content than its predecessors. This stage was also characterized by greater support for decentralization, involvement of local groups (NGOs, CBOs) and institutions, as well as integration of public programs with programs of integrated rural development.

1980s — Institutional Development

The shift towards ‘institutional development’ in the 1980s added new emphasis to debates on organizational and management questions. First, it was applied to the private sector and NGOs, as well as government. Second, the time horizon with respect to investments began to lengthen. Third, it was based on the assumption that organizational effectiveness was related not just to internal management, but to the external environment as well. Fourth, it marked a move beyond the framework of the individual organization. And finally, institutional development began to address the sustainability issue — not just ‘what works’ but ‘what lasts’. Other features of this phase included a move away from blueprint approaches and more emphasis on broader sectoral perspectives.

1980s to 1990s — Capacity Development

The experience of structural adjustment in the 1980s made it clear that many developing countries did not have the management skills and organizational resources to adjust to dislocating shifts in the global economy. The emergence of Capacity Development during this period was, in part, a response to this. It was also closely tied to criticisms of technical assistance (limited impact), the growing emphasis on sustainability and the need for developing countries to be self-managing. Development thinking in the 1980s was further characterized by increased emphasis on ‘soft issues’ (inter-organizational relationships, enabling environment, cultural influences) and multi-dimensional, cross-sectoral responses. And local capacities became the central focus of attention which meant a move towards a more catalytic or facilitative role for donors.

1990s to 2000s — Systems Perspectives

Thinking about capacity development in the late 1990s and in the current decade has continued to evolve with increased recognition of the importance of a systems perspective — making sense of the whole, the interdependence of elements within and strategic interventions to affect systems level changes. Programmatically for donors this has led to great emphasis on more comprehensive approaches including SWAp, broad-based poverty reduction strategies and support for development networks. The capacity building literature also increasingly notes the importance of issues such as legitimacy, motivations, incentives, leadership, and building on local traditions and practices to capacity building and effective capacity utilization.

Despite broad consensus on some of the fundamentals of capacity building, the concept is still evolving and, at times, it remains imprecise. For some, it is still seen simply as a development objective. For others capacity building represents an approach to development. While defining capacity building as an objective is important, it is not enough. In fact, simply embracing capacity building as an objective risks shifting attention away from those behavioural and organizational changes required if capacity building is to be adopted as a way of ‘doing business’. What one is left with is a redefinition of objectives without any significant change in behaviour.

The breadth of the concept can also leave practitioners uncertain regarding strategies and points of entry. As Brinkerhoff has suggested, capacity can be defined narrowly (focusing on individuals), broadly (synonymous with development) or in the mid-range (organizations and networks) (Brinkerhoff, 1991). This guide will focus on the latter vision while attempting to look at capacity building both as an objective of CHF’s efforts and as a way of working.

1.3 Key Concepts

The following section summarizes key concepts that have emerged in current thinking about capacity building. The CHF capacity building approach is situated within and responds to this discourse.

1.3.1 A Systems Approach to Capacity Issues

The term ‘systems approach’ is increasingly referred to in discussions about capacity development. For some it refers mainly to inter-organizational systems, while for others it suggests a different way of thinking, acting and organizing, regardless of the level of the activity. This perspective, however defined, takes one away from linear notions of changes to a more dynamic view of development as a process influenced by a multitude of factors interacting simultaneously — factors which are not always easy to map out in advance. Systems theory is often associated with the notion of ‘emergence’ as variables come together in different combinations, at different points in time, leading to a particular outcome(s). For practitioners, the challenge is to understand the ‘system’ within which one is functioning and to support strategic interventions which promote positive development outcomes within that.

Thinking about capacity development from a ‘systems perspective’ leads planners and practitioners inevitably to reflect on how changes in one part of a system (including capacity issues therein) affect behaviour or capacity changes in the broader system. For example, planners contemplating support for sector-wide reforms will want to consider how the SWAp can be structured to ensure that interventions deal not only with technical issues within the sector, but also broader policy issues, relationships amongst key actors (within the sector and beyond), and factors in the broader enabling environment. The individual unit, from this perspective, is less important than the system of which it is a part, with the emphasis being more on ‘the whole’ and relationships and interactions amongst the constituent parts. As Peter Morgan has noted, according to a systems perspective “the behaviour of the parts depends more on how the parts are connected rather than on the nature of the parts.” (Morgan, 2005).

1.3.2 Networks and Capacity Issues

Increasing attention in the capacity development literature is also being given to networks, largely given the perceived benefits arising from harnessing the capacities which networks bring together. Much of the enthusiasm associated with networks is rooted in a belief that the capacity of networks is greater than the sum of its parts. This has led, in some cases, to a focus on networks as ‘the’ solution to a particular development problem. Despite the prevailing enthusiasm for networks, the conceptual frameworks and intervention repertoires used to analyze and support capacity development of networks are drawn mostly from the human resource and organizational development (OD) literature and therefore may be inadequate for understanding and making choices about intervention strategies and evaluating capacity in networks. The caution which arises from this is to ensure that capacity interventions to support networks are based on a clear understanding of network dynamics and capacity issues therein. A systems perspective has much to offer in this respect as it can help to understand networks as an organizational form which is different, at least by degree, from ‘traditional’ organizations.

1.3.3 Soft Capacities

Some capacities are defined as ‘hard’ or technical (e.g. engineering design, financial management) while others are often characterized as ‘soft’ (e.g. the ability to internalize values and principles, build and sustain relationships, garner ongoing commitment and loyalty). Increasingly the literature suggests that ‘soft capacities’ may be as or more important than hard capacities in influencing change. They also may be more enduring than hard capacities, which tend to come and go from an organization, while a strong sense of identity, for example, lives on. Ultimately, overall capacity will be shaped by the development of both hard and soft capabilities and the ability of an organization or system to balance both. External interveners, though, need be attuned to the existence and importance of soft capacities when identifying opportunities for support and when designing interventions.

1.3.4 Legitimacy and Capacity

Legitimacy is seen as both an aspect of capacity (e.g. part of an organization’s social capital) and something that can contribute to the development or strengthening of capacity — for example, by opening up access to resources or ensuring ongoing commitment and support of key stakeholders. Legitimacy can arise from performance (e.g. organizations that consistently reach or exceed expectations, or thrive in difficult circumstances). Legitimacy may also be conferred or earned when organizations effectively represent deep-seated values, which may have cultural, religious or symbolic roots. Understanding legitimacy of actors and ideas in development contexts can thus be important in determining who to work with and how which, in turn, can influence the success of capacity interventions.

1.3.5 Capacity Enablers and Constraints

The success (or lack thereof) of capacity building interventions is often determined, in large measure, by any of a number of capacity ‘enablers’ or ‘constraints’. These may include factors in the ‘enabling environment’ (e.g. political or economic situation) or considerations internal to an organization (e.g. financial solvency, internal dissent among staff, lack of capable leadership, skill deficiencies). Some of these are competencies or capabilities themselves which can be the object of CB initiatives, while others are contextual variables that CB interventions may or may not be able to influence.

The enabling environment is described in a 2000 CIDA paper as “the broad context within which development processes take place.” The paper goes on to note that “this environment may in fact be either enabling or constraining, or possibly a mix of both. For example, poorly conceived policies, high levels of corruption, or lack of legitimacy can make for a highly ‘disabling environment’. On the other hand, sound policies, high levels of commitment, effective coordination, and a stable economic environment can be important contributors to an enabling environment, which can greatly increase prospects for success.”² CHF’s capacity building initiatives seek to be sensitive to factors at this level and intend, as appropriate, to influence them, or at least be able to mitigate risks at that level which could undermine project investments.

1.3.6 Capacity Building and Sustainable Livelihoods

There is a great deal of overlap between the concepts of capacity building and sustainable livelihoods. Both are rooted in a systems perspective and a holistic approach to development. They both also focus on capacity as a key to sustainability, although more frequently referred to as ‘assets’ in the sustainable livelihoods literature. However, while capacity development focuses more on organizations, public institutions and policies, sustainable livelihoods analysis looks at communities and households. CHF’s sustainable livelihoods approach (SLA) makes the link at the ‘enabling environment’ level. It notes that: “A community’s livelihood assets are influenced by, and reflect, on the institutional structural milieu of which it is a part.”³

1.4 Capacity Building Defined

There are numerous definitions of capacity or capacity building, each reflecting its own particular bias or orientation. Some describe capacity building as an approach or process to achieve a goal, such as poverty reduction, while others see it as an objective in itself, such as the development of individual or organization effectiveness. Many definitions fall somewhere in between these two perspectives. The following are just some of the definitions posited by various international development organizations:

2 Bolger, J (2000), *Capacity Development: Why, What and How*. Capacity Development Occasional Series, Vol. 1, No. 1. Prepared for Policy Branch and Performance Review Branch, Canadian International Development Agency (CIDA), p.3.

3 CHF, Sustainable Livelihoods Approach, Guidelines, March 2005, p. 12

DAC Network on Governance

*'capacity'...is understood as the ability of people, organizations and society as a whole to manage their affairs successfully.*⁴

World Bank Africa Region

*Capacity is the proven ability of key actors in a society to achieve socio-economic goals on their own. This is demonstrated through the functional presence of a combination of most of the following factors: viable institutions and respective organizations; commitment and vision of leadership; financial and material resources; skilled human resources. In short, Capacity = Institutions + Leadership + Resources + Skills + Practices — Constraints.*⁵

United Nations Development Program (UNDP)

*Capacity is the ability of individuals, organizations and societies to perform functions, solve problems, and set and achieve goals. Capacity development entails sustainable creation, utilization and retention of that capacity to reduce poverty, enhance self-reliance, and improve people's lives. It requires acquisition of individual skills, institutional capacities and social capital as well as the development of opportunities to put these skills and networks to productive use in the transformation of society.*⁶

Canadian International Development Agency (CIDA)

*...developing capacity...means helping women, men and children in developing countries, their communities and institutions, to acquire the skills and resources needed to sustain their own social and economic progress.*⁷

While specific wording and emphasis may differ, there is a general consensus among development actors that “capacity” is the ability of individuals, institutions and societies to solve problems, make informed choices, define their priorities and plan their futures. “Capacity Building” is the process used to help developing country partners build those capacities, that is boost their ability to achieve their development goals. CHF uses the following description of its capacity building approach (see next page):

4 DAC Network on Governance (2006), *The Challenge of Capacity Development: Working Towards Good Practice*, DCD/DAC/GOVNET

5 World Bank (2006), *Capacity Development Resource Center — Perspectives and Definitions*, quote from World Bank Africa Region

6 UNDP quoted in World Bank Capacity Development Resource Center — *Perspectives and Definitions*, (2006)

7 CIDA quoted in World Bank Capacity Development Resource Center — *Perspectives and Definitions*, (2006).

CHF'S APPROACH TO CAPACITY BUILDING

CHF seeks to assist and support partner organizations to improve their organizational capacity in order to build sustainable livelihoods for the rural poor. CHF ensures the active participation of partners in developing a strategic framework for the organization, the identification of organizational strengths and weaknesses and in developing a longer-term plan to strengthen capacity, for example, in organizational management, human and financial resource management, or program planning and evaluation.

CHF brings the experience of developing organizational capacity for partners in several different country contexts and has developed an approach that is effective and partner-led.



Capacity building activity in Guyana.

Capacity Building at CHF

2.1 Background

As described previously, there is a growing recognition among international development practitioners and policy makers of the importance of strengthening the capacity of national and local governments and of local civil society organizations. Sustainability is increasingly seen as linked to the capacity of local actors to mobilize resources, provide valued services and advocate for and deliver their own programs. In government, there is now a widespread demand for support and assistance in building institutional capacity in all areas from policy design and implementation to program management and service delivery. In civil society, there is a growing call for services aimed at strengthening individual organizations, creating and fostering networks and linking local, national and international organizations in the pursuit of what are increasingly common global objectives.

CHF has developed a solid base of expertise in institutional capacity building of local NGOs and networks. It has gained practical experience in strengthening the capacity of rural communities, of local government and national institutions in areas related to agriculture and rural development, and has evolved a business model that is proving to be quite successful. Its organizational evolution has moved along a continuum from project delivery to service provision. Within the parameters of its mission and strategic framework, CHF has become more “client-centred” with regard to its local NGO and government partners. With this in mind, CHF has recruited a complement of staff rich in professional skills and field experience and has created an organizational culture that is more entrepreneurial and service-oriented. Its relations with its local partners have evolved from a model based on funding to one which concentrates more on the provision of technical services and professional support. Partners increasingly look to CHF for high-end technical skills in order to strengthen their institutional capacity, provide training and technical support to their management and staff and help in developing their own relationships with donors and local governments. CHF has thus been able to bring a wider international perspective to its work with partner organizations. This added dimension is deemed by partners to be of significant value. In effect, CHF has become less a broker of funds and more a supplier of knowledge and practical experience. The provision of technical services has emerged as an important value added contribution for CHF.

CHF believes that the sustainable livelihoods approach for the rural poor offers a coherent, compelling strategic focus for its work. Sustainable livelihoods serve as the key organizing principle, methodological core and expected outcome of the activities for the organization. Instead of the traditional sector focus, whether on water, food, health, etc., CHF bases its interventions, to the extent possible, on the application of sustainable livelihoods analysis. Its choice of projects and the methodologies incorporated in its project designs and competitive bids are tested against the sustainable livelihoods approach. This methodological focus combined with a commitment to help strengthen the institutional capacity of its local partners is what drives CHF forward.

The following are three examples of CHF projects that help illustrate its institutional capacity building experience:

Building Community Capacity Project (BCCP)

In Guyana, CHF has been working since 1997 to build the capacity of a number of civil society organisations and to strengthen their linkages with government bodies through the CIDA-funded \$11 million Building Community Capacity Project (BCCP). The long-term aim of BCCP is to build capacity of local NGOs so that they can make a more effective contribution to the objectives of the Guyana poverty reduction strategy. Phase I of the project generated dramatic results: Guyanese non-governmental as well as volunteer organisations were able to upgrade their local organizational and delivery capacity, to increase their collaboration and partnerships with civil society and government bodies, and to increase the reach, range and availability of their services. Over Phase I of the project, the organisations benefiting from the project increased their membership from 19,500 to 31,870 and direct beneficiaries of these organisations' services more than doubled, from 109,655 to 296,485. In recognition of its success in working with volunteers in Guyana, CHF and the Building Community Capacity Project were awarded the UNDP Guyana, Volunteer Partner Award in 2002.

CHF is now in the process of implementing a \$5 million contract for Phase 2 of the project over a further 5 years, working with 17 new organizations to build their institutional capacity. Recently, this program was selected by the International NGO Training and Research Centre (INTRAC), as one of two success stories to be featured at their 2006 international capacity building conference, with CHF and one other practitioner sharing the first place award in a global competition for best practices in the capacity building of NGOs.

Farmer Mechanisms in Extension and Research (FARMER) Project

In Ghana, CHF implements the \$10 million FARMER project, which seeks to strengthen linkages between research institutions and extension agencies and through them, foster the promotion of innovative agricultural techniques and approaches. It also encourages stronger linkages between formal and informal agricultural organisations in the north of Ghana. By strengthening the institutional capacity of both government and civil society partner organisations at district and regional levels, the project aims to contribute to the improvement of food security in northern Ghana through a farmer demand-driven process. This project started in 2002 and will continue until 2007 to benefit some 2.7 million people (300,000 households) in 3 northern regions of Ghana.

Partnership for Food Security (PFS) Project

In Ethiopia, the \$11 million Partnership for Food Security Project aims to address a chronic food insecurity situation, through capacity building and collaboration with local partners. Its goal is to sustainably improve food security of households by strengthening agricultural productivity, management and conservation of natural resources, diversification of household income, and improving disaster prevention and management capacity. The project will benefit some 60,000 drought-affected,

food insecure households in the Amhara Region of Ethiopia. The project involves training and capacity building support for NGO, government and farmers groups in a variety of technical and institutional topics including watershed management, forest rehabilitation, animal husbandry and the Sustainable Livelihoods Approach. CHF is helping its main local NGO partner, the Organisation for Rehabilitation and Development in Amhara (ORDA), undertake a major organisational change process by providing technical advice on a range of organisational functions.

As these examples show, CHF is evolving a partnership model that entails carefully tailored technical assistance interventions aimed at providing international calibre support for key technical areas relating to their programming and organisational capacity building, ranging from institutional assessments to advice and coaching across the whole range of organisational development needs.

This kind of ongoing support has been highly rated by independent evaluators in terms of value for money, development effectiveness and the long term sustainability of results:

“The approach of working through local NGOs and building their capacity is commended. By investing in local networks, the benefit can multiply exponentially and has a leveraging effect on the initial CIDA grant. The evaluators conclude that this very productive relationship with competent and well-connected local NGOs represents good value for money and has the added benefit of creating sustainable local capacity.”⁸

Sample comments regarding the success of the CHF capacity building approach are given here below in a selection of vignettes featuring CHF’s partners and fellow development professionals. These comments are selected from CHF’s Guyana capacity building project, BCCP and a network capacity building project, CIREP in India:

— **Beverly Edwards, Executive Director, Youth Challenge Guyana**

“Its been really great having BCCP. On a personal level, I was very green. They could give [me the] guidance I wanted, it was absolutely fantastic. [BCCP] builds your capacity and supports you and, actually, you can see it happen. There are other organisations that are supposed to build capacity, but actually don’t. [With BCCP you can] just pick up the phone and the support is there!

“[What is] special is their willingness to work with what you want. Other training may be too generic, but BCCP modifies the structure to fit your reality ... that’s the big difference.”

8 Duska-Anema Development Associates (DADA) Int., CHF Program Evaluation commissioned by CIDA, January 2006, p. viii.

— *Dahn Mattie Sohai, Civil Society Officer, USAID Guyana and Current President, YWCA*

“What I like most is the sub-project initiative. [So often NGOs say there is] ...too much training, what are we going to do with it? Sub-projects really made a difference in the BCCP effort. USAID has gone that way [now, using sub-projects too].”

“BCCP is an initiative of a different form, different from what we’ve been accustomed to ... [it] has made a difference to NGOs and their existence.”

— *Julia Rehwinkel, USAID Guyana*

“[There are three main areas where you see a big difference when working with a BCCP trained organisation...]

- *workplan development and strategy;*
- *management skills, both of staff and finances, they understand sustainability and try to work towards it;*
- *and credibility [which adds to] donor confidence.”*

— *Mr. B. Shamsuddeen, Head, Institute for Youth and Development (IYD) Bangalore, India , Member IRENet, the network which benefited from CIREP, CHF’s network capacity building project*

“[CIREP] definitely has helped, especially in capacity building for improved NGO management. [In the case of IYD] it definitely helped us to move towards bigger projects. [We had] no professionals earlier, now [we] use professional engineers. ... the Board is more motivated and involved. [We are now] the lead NGO at the district level, before our strength was less. The capacity building included management that was completely different, [we] definitely feel the results for the organisation .”

2.2 CHF Development Philosophy

Capacity building at CHF is, like all of our development programming, grounded in our mission: *to enable poor rural communities in developing countries to attain sustainable livelihoods*. Our programming is focused on the ultimate objective of improving the lives of the rural poor in ways that they, their communities and their governments can continue to sustain and develop without the need for external resources. Capacity building is part of an integrated approach and process we use to achieve that objective, founded on the following basic principles:

Looking for opportunities and taking a holistic approach: Traditionally, rural development has tended to look at communities in need by focusing only on what’s wrong with the picture — seeing only clouds, rather than the promise of rain. This approach has left communities no further ahead than before, presenting only temporary solutions to long-term chronic problems.

CHF prefers to adopt a sustainable livelihoods approach, which enables communities to become self-sufficient. We call this approach Three-Dimensional Development. We look longer, further and deeper into a community, to discover what's right with the picture.

This unique approach helps identify hidden assets, untapped potential, networks of people, skills and resources — all of which give communities the power to transform themselves and create stable and sustainable livelihoods.

It means seeing the good by viewing things through a positive lens, looking for opportunities, not problems.

It means seeing all sectors and determining the influence groups and interrelationships can have on a community.

It means seeing assets everywhere by taking an all-encompassing look at all aspects of a community.

Partnerships: CHF places partnerships with individual and networks of southern NGOs at the centre of its international programming. It has a long history of working with and through local NGOs in the pursuit of its mission and has a great deal of experience in forging constructive, responsive relations with them. It is recognized for its empathy with its partners and for its businesslike, service-oriented approach to their and their constituencies' objectives. It offers its partners a high level of technical expertise and professionalism while seeking common ground in a humanistic drive for the elimination of poverty.

Gender equity: CHF recognizes that gender affects not only patterns of access to resources, but the ability of women and men to negotiate their interests and expand their rights within a broader system of gender relations operating at household, community and state levels. The ability of different social groups to access, control, and strategically use resources has significant implications for food, nutrition, and health security, and the capacity of resource users to manage their resources. CHF does not seek to “add women” to its activities, but rather to integrate gender analysis and gender equity principles into its work, to ensure that benefits accruing from its work are equitably distributed.

Environmental sustainability: CHF tests all of its programming for environmental sustainability and aims to have a positive effect on the natural environment where it and its partners operate. It has the in-house expertise to conduct environmental assessments and strives to ensure that full account is taken of environmental impacts.

Macro-micro linkages: CHF draws out the macro-micro linkages between its practice in the field and larger sectoral, national and international policy formulation. Its ability to extract lessons from its projects and disseminate them to a wider audience is of real value in a field where there are few direct rewards for thoughtful policy dialogue but where even modest influence over decision-makers can contribute to meaningful change.

Innovation: CHF, as a small actor on the international stage, can add value far beyond its size and scope by fostering innovation among its own staff and its partners. By striving to position itself at the front edge of its field, it can make a leading contribution to rural development policies and practices. Indeed, staff and board alike believe that leadership in the development and dissemination of knowledge is an important attribute for CHF. This, however, demands a willingness to take risks and experiment with new ideas and approaches. It also requires the shrewdness to accept failure openly, learn the relevant lessons and move on.

2.3 CHF Programming Approaches

CHF fulfills its organisational mission by designing and implementing programming to help rural communities achieve developmental results in areas such as food security, sustainable economic development, and post-disaster recovery and rehabilitation. Working through a local partner, partners and/or partner network, we address a community's development needs through physical and technical support, while at the same time building local capacity to sustain and further its own development. Our practice is based on two core processes: sustainable livelihoods analysis (SLA) and capacity building.

2.3.1 Sustainable Livelihoods Analysis

CHF sees sustainable livelihoods analysis (SLA) as key to achieving its mission and bases its interventions to the extent possible on SLA. SLA offers a positive, forward-looking approach to rural poverty that respects and empowers communities as architects of their own development. SLA is a holistic process that looks at and involves entire communities, and supports them in collaborating with government and civil society service agencies. Instead of focusing on a specific sector, it looks at all of the influences on and opportunities for individual and community economic sustainability, often crossing sectors to find the optimal mix of livelihood activity. For a more detailed description of SLA, please refer to CHF's *SLA Guidelines The CHF Capacity Building Approach* and *CHF's SLA Guidelines*, are seen as complementary documents and should be treated as such in CHF program planning and development.

2.3.2 Institutional Capacity Building and the Sustainable Livelihoods Approach

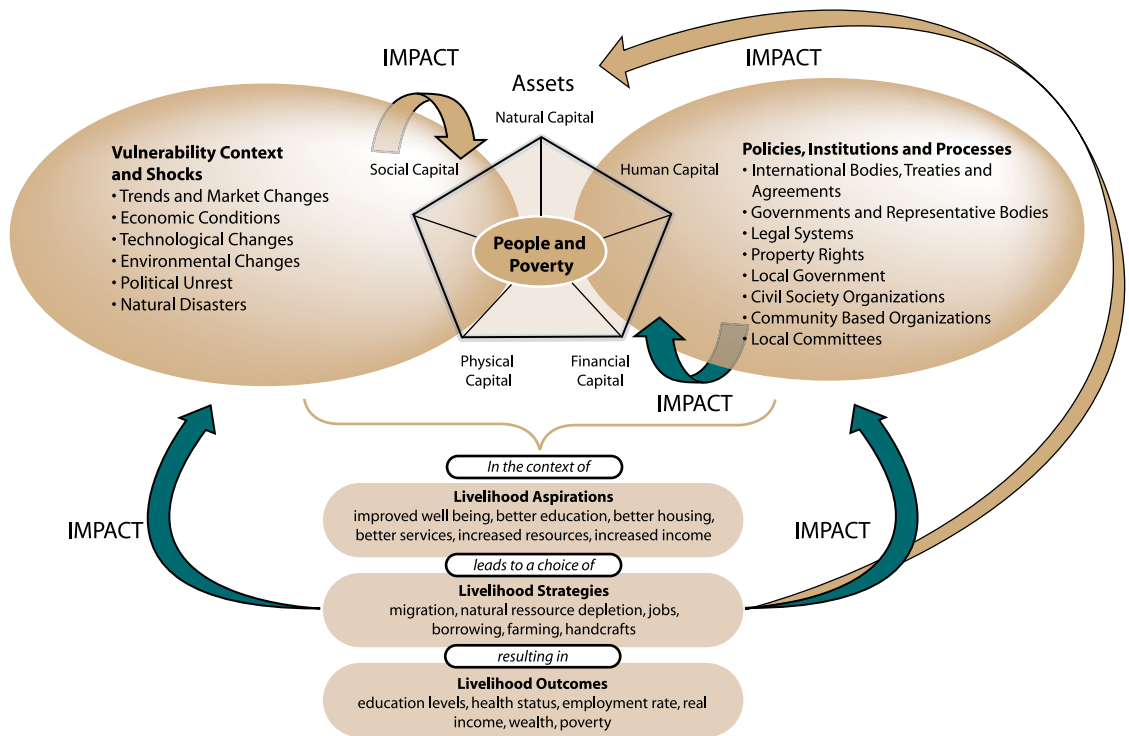
At CHF, capacity building is teamed with a sustainable livelihoods approach to development in order to best support our mission for improved livelihoods for the rural poor. Capacity building is seen as an integral part of the Sustainable Livelihoods Approach. Through SLA, CHF employs different asset enhancement techniques to alleviate poverty. One group of important community assets are the institutions that work on a community's behalf. In addition, the policies and

processes surrounding that community, influence the potential of those assets. The capacity building work of CHF seeks to develop, for the benefit of the poor communities, all of these aspects — the policies, institutions and processes (PIP). For example, as one part of developing the Village Development Plan (VDP) the activity can use mapping to identify relevant PIPs. Thus the capacity building work of CHF seeks to address the right hand shaded ellipse found in the CHF SLA diagram below.

CHF capacity building work focuses on strengthening civil society organisations, such as our partner NGOs, community based organisations, local level government and locally based committees that work with the community. By focusing our capacity building programming on local partner NGOs, we are strengthening a home-grown asset that will be key to sustaining further development.

In summary, CHF does not act simply as a conduit of development funds to local partners. We offer an additional value to the work of poverty reduction through provision of capacity building expertise to local partners, assisting them not just to do the work of a given project more vigorously, but to grow as institutions, better able to contribute to the development of their respective communities.

Figure 1: CHF’s SLA Livelihoods Framework



(Diagram modified from Khanya 2000, "Guidelines for undertaking a regional/national sustainable rural livelihoods study" Department for International Development).

2.3.3 Capacity Building

Sustainability is increasingly linked to the capacity of local actors to mobilize resources, provide valued services and advocate for and deliver their own programs. Thus capacity building is another key process we use to achieve our mission. Although some of CHF's projects deliver more physical inputs than others (such as our post-disaster programming), all of our projects are designed and implemented so as to increase local capacity to sustain project results. While our ultimate aim is to build capacity at all levels of the local system, from household through to government, we use our resources and expertise strategically, focusing on one or more key local partners, usually local NGOs, as the most effective conduit for capacity development activities. CHF holds to the view that NGOs in developed countries can add real value in developing countries by providing technical and professional support to strengthen local NGOs and, through them, their community, civil society, academic and government partners.

2.4 CHF Capacity Building Approach

Our partnership programming is designed to enhance the capacity of implementing organisations and related CBOs. Improvements in technical and managerial capacity are necessary for developing strong organisations, for achieving enhanced financial self-reliance and for sustaining increases in rural productivity and incomes. The following sections describe key features of the CHF approach.

2.4.1 Partnership

CHF's capacity building model is based on partnership. In each country and for each project, CHF enters into a partnership with a local organisation, usually an NGO, which leads the design, implementation and management of the project. Our partnership model promotes local ownership and relevance and provides an effective avenue for developing sustainable local capacity. The approach is highly valued by our partners and, as mentioned above, has been highly rated by independent evaluators for cost-effectiveness, development effectiveness and long-term sustainability. Using a partnership approach also reinforces the legitimacy of CHF's work, thus building the support of key stakeholders.

2.4.2 Systems Approach

While our primary mode is to develop the capacity of our designated local partners, we also consider and address capacity within the broader context of a program or project. Thus, we support our partners to build the capacity of communities, CBOs, and local government agencies to plan and implement projects. We also coach and mentor them in developing collaborative relationships and networks with donors, other NGOs, government and other organisations.

In addition to NGO partners, most projects increasingly involve local departments of agriculture, renewable energy, health, water and sanitation, and education.

2.4.3 Two-Way Flow of Knowledge and Experience

The CHF capacity building approach is a two-way street. It is expected that knowledge will flow in both directions, partners moving towards their own dearly held aspirations, and CHF learning new approaches and organisational ways of working from partners that can then be assimilated and passed on to other partners around the world, resulting in a cross-fertilization of ideas and best practices.

2.4.4 Coaching and Mentoring

The CHF Capacity Building Approach is built around the concept of coaching and long term partnership. It is by nature a holistic approach that increases the opportunity to build both soft capacities as well as hard capacities within an organisation. The coaching approach keeps costs down, but brings top benefit to the organisations involved. This approach was found to be more cost effective in that it utilized in-house capacity building talent which could be sustained over a longer period of time, as opposed to a series of hired consultants, which was expensive and often lacked a sense of continuity with the partner. The coaching team consists of organisational specialists on the CHF staff, who nurture and develop the participating organisation, tailoring each intervention to the specific needs of that organisation at any given time. It is a key approach to defining activity, monitoring results and then defining the next steps in light of those results.

In CHF's capacity building work, a face-to-face field presence is often a part of the partnership. As well, the capacity building initiative is often launched through a participatory self assessment and creation of a capacity building action plan which then guides the capacity building process for each organisation. Through this process a capacity building plan is agreed upon and put into action over time with support of CHF and possibly other donors. CHF has found that capacity building is not any one particular ingredient but a unique recipe; it is unique to each organisation, and must be constantly revised to keep pace with the external environment. Furthermore, capacity is embedded in an organisation and needs to be nurtured or grown in the organisation's staff.

CHF works within and responds to the contextual variables surrounding the organisation; some variables may act as capacity enablers and others may act as constraints to the building of capacity.

The use of a coaching mechanism has been found to provide many benefits as listed below.

- Capacity building interventions are tailor-made for the partner, and offer a personalized approach to each partner's needs.
- Sustained engagement over time allows for trust to be developed and for organisations to assimilate information over a longer period of time.
- There is a greater chance of success because of the thoroughness of the interaction.
- One-to-one contact between the coach and the partner builds a sense of partnership and credibility.

CHF adopted a coaching approach after interviewing a number of representatives from various NGOs attending capacity building workshops. They indicated that (a) often only a few people in their organisations received training and there was not a high level of knowledge transfer; (b) persons became burdened with attending workshops; (c) the training was general and did not focus on the specific situation or needs of the NGO; and (d) people were not always confident or comfortable with the idea of being solely responsible for taking information to the Boards of their organisations.

It was in answer to these recognized limitations that the CHF capacity building approach was developed. This new approach depends on the needs of the partner. This is done to allow the partner organisation to think about and determine what the needs of their own organisation are, in a manner and at a time that is appropriate to them.

2.5 Strategies and Interventions

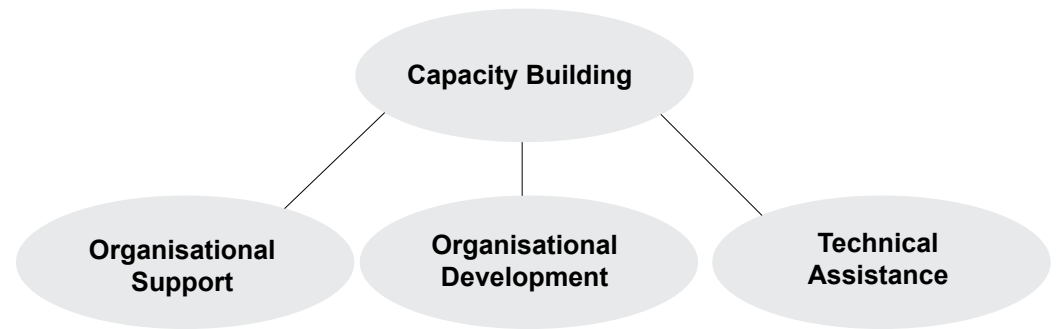
The following section describes in more detail CHF's approach to capacity building. It is meant to be representative rather than prescriptive — our partner-led approach to development requires us to remain flexible enough to adapt to each specific context, and to apply lessons learned. However, we do apply a similar framework and draw from a common set of tools that can be mixed and matched and tailored to partner needs.

CHF's Capacity Building Approach is largely based on these five strategies:

- Increasing financial resources for implementing expanded programs and services;
- Strengthening financial management and accountability to ensure transparency in the operations of organisations;
- Improving content of programs for delivery of better services to target groups;
- Improving human resource capacity for more professional management of organisations and programs; and
- Strengthening the capacity for developing and influencing policy.

Our capacity building programming draws upon, as needed, three main categories of capacity building support:

Figure 2: Capacity Building Components Diagram⁹



Technical Assistance provides for strengthening organisations in certain key technical areas, often through training or other forms of learning such as study or exchange visits. Areas of training can include, for example, the Sustainable Livelihoods Approach, improved approaches to monitoring and evaluation, or results-based management. Sometimes, this support takes the form of helping an organisation to develop new financial systems. Tailor-made technical assistance can also be used with organisations to achieve legal registration, to review programs and carry out strategic planning, and to develop marketing plans and promotional kits.

Organisational Support is made up of the financial support provided to partner organisations. It can include assistance with program funding, or more direct assistance, such as support for equipment purchase or certain limited new staff costs, called recurring cost support. Sub-project funding is also one form of organisational support; in addition to the funding of programming, sub-projects can be used as a tool that provides an important learning-by-doing opportunity around which to build a partner's capacity.

⁹ Diagram derived from concept provided by INTRAC, Oxford UK, 2005

Organisational Development includes activities to strengthen partner organisations so that they are better able to deliver the intended development results and realize their own organisational goals. Partners find this kind of support can help them reach the next level of development within their organisation. It is also a kind of support that is not always funded by other donors and is thus particularly valuable to growing organisations. It is a planned, systematic and participatory process that aims to facilitate understanding and change in an organisation, improving the alignment between the organisation's internal systems and structures, its relationships with stakeholders and its operational activities, and bringing them closer to their aspirations as an organisation. It aims to increase organisational effectiveness and build a reservoir of capacity on which it can draw for further development.

Organisational development can take the form of a short, one-time intervention, or it can be the result of a longer-term program, built upon a longer term organisational coaching process of participatory organisational assessment, capacity building planning, and development intervention, followed by monitoring and review.

Our programming typically draws upon all three of these components, although the mix will be tailored specifically to project and partner needs. CHF can provide a wide variety of capacity building interventions or support within these three broad categories, as shown in the table below.



Community planning activity in Vietnam.

Table 1 Categories and Types of Capacity Building Interventions

Component	Intervention
Technical Assistance	<ul style="list-style-type: none"> • General training • Tailor-made technical assistance • New financial systems • RBM training • SLA training • Marketing seminars • Public relations • Communications • Gender equality workshops • Fundraising seminars • Governance, board management • Monitoring and evaluation training • Project and grant management skills development • Study or exchange visits • Building new skills for resource mobilization through public fundraising and business development • Other topics of interest to the partner organisation
Organisational Support	<ul style="list-style-type: none"> • Limited equipment support • Limited recurring cost support • Sub-project funding • Support for programming
Organisational Development	<ul style="list-style-type: none"> • Coaching support • Organisational assessments • Networking • Institutional linkages • Various organisational development interventions • Cooperatively developing policy interventions with partners and other institutions

CHF has found that capacity building tools or interventions complement each other and can best be used in a package approach, as if selecting from a menu of possible options. It is crucial to determine the correct mix of capacity building tools for any given organisation at any specific time in its development, rather than favouring any one tool as better than another. Through use of the coaching approach, CHF is able to work with partners to determine the best combination of capacity building interventions over time for the organisation. CHF has found that flexibility in application is an important key success factor to the process, as opposed to being held to a generic or prescribed sequence of capacity building interventions with a partner organisation.

Further Explanation of Certain Support Options

Limited material support and other assistance required for efficient delivery of programs identified in the capacity building action plans can be provided. This support could include material items such as office and field equipment, office supplies, communications equipment and, occasionally, vehicles.

Sometimes capacity building assistance incorporates a unique aspect of the CHF approach which is recurring cost support. This mechanism enables organisations to hire new, qualified staff. In each case, this support is linked to a financial plan for the organisation. Experience has shown that this mechanism can be a sustainable source of growth for the organisations involved. In working with partners, CHF has found that most donors do not provide funding for administrative activities and personnel, regardless of how critical these activities are to carrying out the organisation's programs and projects. CHF has addressed this issue by allowing for a mechanism which covers the full time salary for one and possibly two key partner staff positions in order to build a foundation or focus for the organisation's capacity building activities. The provision of funding for these positions is, however, usually contingent upon a sustainability plan that shows that the partner organisation should be able to fund these costs from its own resources over ensuing years.

This approach allows the partner to develop or grow a new often critical mass of resources and thus deal with funding and other issues without having to constantly draw further upon the efforts of frequently overworked staff or volunteers. It also provides for sustainability in that such capacity building is built into the organisation at the local or grassroots level.

In regards to networking, many partners are not in a position to effectively develop and maintain networks which would add value to their work. As partners strive to have an impact they are limited by both human and financial resources. Expanding their networks can help to alleviate these problems by creating linkages with other organisations working in similar fields, donors and other stakeholders.

CHF has found that two types of assistance are required with respect to networking. The first focuses on helping the partner to make their own connections with other similar organisations, such as NGOs, government agencies and donors, through financial and other support. The second approach can be wherein CHF takes on the role of intermediary with senior officials and other key persons or institutions, allowing the partner access to persons they would not normally be able to easily reach. In these cases, CHF has found it critical to develop and maintain a high level of networking itself, so as to be able to assist organisations when needed.

A sub-project is a project that is implemented by a partner NGO as part of a larger capacity building project with the aim of supporting the programs of the partner organisation in order to enhance program development, quality, reach and effectiveness.

Sub-projects should support the development activities of the partner organisations and be based on the strategic needs of their clients or beneficiaries. They should be designed to support the beneficiaries' socio-economic development and promote self-reliance.

Sub-projects are not just a funding mechanism, but also function as an important capacity building tool that allows organisational development to take place. The combined effect of a dynamic coaching environment coupled with the “hands on” impact of sub-projects has proven to be a successful approach to organisational capacity building. In each development context, the various capacity building components are adjusted to fit the exigencies of a particular locale. Thus, the basic CHF capacity building approach is adjusted to the requirements of the development context. This level of flexibility is an important aspect of successful capacity building.



Sub-projects are linked to community priorities.

2.6 CHF’s Step-by-Step Approach to Capacity Building

A typical step-by-step CB process with CHF would include the following elements. The steps outlined here are, however, representative and actual practice will differ according to the particulars of a given context and assignment.

STEP 1: Familiarization

Undertake a dialogue and discussions, one-on-one where possible with the management and/or board of the NGO partner, key community members, other donors and persons that might have relevant opinions or views on the NGO. This is an opening of dialogue that familiarizes the CHF team with the activities and key influences affecting the NGO. It also provides the NGO with an opportunity to become familiar with the CHF team. Relationship building is an important key to effective partnerships.

STEP 2: Participatory Institutional Assessment and Capacity Building Plan

Early on in the process, CHF will often undertake a participatory institutional review to develop a longitudinal capacity building action plan (usually covering three to five years) in order to identify an organisation’s capacity building needs. Through this process it is also possible to identify the extent and level of organisational coaching required, assuming coaching is considered appropriate and desirable by the partner. Plans must also be balanced with an understanding of the absorptive capacity of the partner.

STEP 3: Coach Identification and Assignment

Once the partner's needs have been mutually discussed and agreed upon, and based on the skills required, an appropriate capacity building coach is identified. It is quite possible that more than one coach will be used over the course of the engagement with the partner but it is advisable that as much as possible the same person be used. Building trust between the organisation and the coach is critical and the partner must understand that the coach has the best interest of the partner at heart. For this reason and for consistency it is better to have the partner interact with as few coaches as possible. A coach is usually in country but CHF can do coaching work internationally, or across borders in some instances.

CHF has found it beneficial to coach around a specific planned activity or initiative so a partner can use new capacities in a timely and practical manner.

STEP 4: Coaching & Capacity Building Plan Implementation

After the capacity building action plan is agreed to and in place, coaching can begin with the partner organisation. It becomes important for the coach to make sure the organisation understands the areas in which it will receive coaching and to explain how each intervention fits into the larger aims and goals of the organisation. CHF may also liaise with other donors to see if they are prepared to support aspects of the CB plan. Coaching, mentoring and working hands-on with the partner then begins, providing continuous support as necessary. Workshops are included on some occasions but only if supported subsequently by extensive hands-on coaching and mentoring. Without this added assistance, CHF has found that most participants at workshops do not retain enough of the information such that they are then able to undertake the activity on their own.

Where possible, CHF uses its own in-house expertise for capacity building. The use of CHF staff gives staff the opportunity to become familiar with the partner and to play a long-term role in serving as mentors and coaches. It also serves to build trust and build relationships which are both key to effective partnerships.

As the different types of assistance begin, they are supported by a number of critical additional activities, which can run concurrently but are described below for clarity, as additional steps.

STEP 5: General Technical Assistance

General technical assistance can include a wide range of support from assisting the development of financial systems, to the provision of training in the sustainable livelihoods approach or communications. Regardless of the type of technical assistance, it is always supported by regular liaison, coaching and monitoring from the CHF team. Technical assistance support enables partners to assess, revise and improve their strategic plans, programs, organisational structures, and financial systems and undertake legal registration if necessary. CHF will advise and recommend changes that will improve organisational performance in the delivery of the partner's activities.

STEP 6: Organisational Support

As part of the implementation process, agreed upon areas of organisational support can be designed and deployed. Depending on the needs of the organisation, program funding may be initiated, or certain material or human resource requirements may be funded in a sustainable manner. Sometimes sub-projects are designed and implemented by partners as part of the coaching and strengthening of programs process.

STEP 7: Monitoring and Evaluation of Capacity Building Initiatives

Monitoring and evaluating is undertaken based on indicators that the partner itself develops in their capacity building action plan. They are regularly checked by the CHF staff as indicators of progress. However, it is even more important that the partner carries out the monitoring as it helps them to develop their capacity and understand what works, identify problems and address any issues.

STEP 8: Eventual Exit Strategy

Plans are made for an eventual disengagement from the formal organisational development process, but with a view to the potential for future cooperation as opportunities arise.

CHF COACHING PROCESS IN ACTION

As a final note, it has been CHF's experience that capacity building of institutions and organisations takes much more time than might at first be expected. It is best seen as a longer term process accompanying the organisation through its path of development.



Participatory institutional assessment in Zimbabwe.

What CHF Can Offer Our Partners

3.1 What CHF Can Offer Our Partners

The CHF Capacity Building Approach will allow partners to:

- Strategically plan for capacity building support
- Develop an integrated approach that takes into consideration all aspects of capacity building
- Design interventions that have been used in and are applicable to local contexts
- Become aware of various considerations that must be kept in mind when building capacity

The model offers:

A Tried and Tested Approach

The CHF Capacity Building Approach has been developed out of the actual experience of working with local partner organisations in Guyana, Ethiopia, Vietnam, India, Zimbabwe, Ghana and other countries where CHF has been active. Therefore, the information contained in this manual is based on practical experience and as such is relevant and appropriate to partner interests.

An Integrated Approach

It offers an integrated approach to capacity building as it looks at the organisation's development as a process. It integrates several aspects of capacity building that complement and reinforce each other, such as human resource development, resource mobilization, governance issues, skills enhancement and other aspects.

A Participatory Approach

The CHF approach is participatory in that it provides a structure for the inclusion and participation of NGOs and other partners. It allows for the participation of disadvantaged groups (e.g., women, youth) and maximizes participation by building capacity which remains within the community. Participation introduces practices that organisations can learn from, use and maintain. This approach allows NGOs and other local partners to become more productive and more sustainable.

Creates Long-Term Strategic Thinking

The approach helps organisations to think strategically over the long-term as opposed to an activity centered approach to projects and organisational management and planning.

Promotes Collaboration

The CHF approach brings together various institutions such as government agencies, academic institutions and NGOs to work with each other in a collaborative manner. Collaboration fosters the development of productive and beneficial relationships as opposed to those that become antagonistic or competitive. This positive interaction of various entities enhances the confidence and credibility of the NGO or other local partner. Furthermore, the CHF approach, using a team of international and local capacity building experts, allows for the flow of field experience back into the CHF capacity building methodology, creating an exchange of ideas and approaches. Lessons and methods are shared within the organisation as well as across the different geographic regions in which CHF is active.

Two-Way Flow of Knowledge and Experience

The CHF capacity building approach is a two-way street. It is expected that knowledge will flow in both directions, partners moving towards their own organisational aspirations and CHF learning new approaches and organisational ways of working from partners that can then be assimilated and passed on to other partners around the world, resulting in a cross-fertilization of ideas and best practices.



The CHF capacity building approach.

3.2 Challenges and Key Lessons Learned

It has been through facing a variety of challenges in regards to the practice of capacity building over the years that CHF has developed a series of key lessons learned related to the successful capacity building of partner organisations. Challenges include pre-conceptions on the part of partner institutions about what capacity building really involves. It can be a lack of resources for actual sub-project implementation. Challenges can also be found in the demand for skilled talent. Newly skilled human resources within a partner organisation can be drawn away quickly by other organisations happy to find a new talent pool. It is as a result of facing the many challenges to this work that CHF has derived the following key lessons.

Participatory Development

Experience has shown that participation improves the quality, effectiveness and sustainability of development activities. By placing people at the centre, development activities have a much greater potential for empowering participants, and lead to beneficiary ownership of development initiatives.

Partner Aspirations

CHF has found that it works best to tie a capacity building initiative to important partner aspirations. Partners can use this capacity building plan to help them reach the next level in their organisational development. For example, some organisations have used this process as a means to expand their donor base, for a broad organisational re-structuring, or in order to develop a new programmatic focus. In effect, the process is used as an opportunity for a partner organisation to pursue their own aspirations in a way that would not have been possible otherwise.

Tailor Made and Flexible

Feedback from CHF's partners over the years indicates that the customised approach to capacity building has proven much more effective for the partners than the more traditional general training methods, in which organisations are given the same training or assistance at the same time, across the board. The successful coaching or partnering team relies on a strong sense of relationship and trust with each organisation. The team needs to be very approachable: always there to encourage organisations each step of the way, giving them just the individual assistance they need when they need it. Generally, the CHF team operates across functions; they do not isolate, for example, financial advice from managerial advice, or program development advice from human resources advice. Rather at all times the coaching approach is multi-dimensional.

Coaching

An important key to the success of the CHF capacity building approach has been the development of an organisational coaching model, which tailors each individual capacity building intervention to the specific needs and abilities of each organisation. Face-to-face coaching with organisations, performed by in-house capacity building specialists over a period of time, has led to significant results for CHF initiatives for the development of civil society organisations.

Role of Facilitators

The process of change for organisations cannot be expected to be completed by the end of the operational period of the capacity building project. Therefore, the availability of a local talent base and expertise to continue to foster and complete the organisational change process is an issue that continues to be vital for sustaining the capacity building results achieved by the organisations with CHF's assistance.

Capacity Building Initiatives

Funding for sub-projects can be an important component of plans for organisational development. Sub-project funding should compose a significant percentage of total project funding (typically around 25% for a purely capacity building project). It has been found that sub-projects are a good way of focusing and measuring the impact of capacity building interventions, though it is not always a necessity that projects contain a sub-project component.

Partner Selection

In capacity building projects involving a number of local partners, the organisational selection process should not be so detailed and time consuming an operation that the NGOs lose interest in participating in the program.

As the work of CHF has a poverty reduction goal, CHF has found that it is also necessary to assess organisations with respect to their poverty reduction “potential”, as opposed to just evaluating their current operations. This assessment is qualitative in nature and requires a firm understanding of the poverty reduction priorities amongst the beneficiaries of the NGO or other type of partner. The evaluation team, therefore, needs to be grounded in not just evaluation but also requires a firm understanding of the local community and the type of poverty issues most critical to those communities.

Collaboration

Organisational linkages have proven most effective at the national level, for example, with other donors, the private sector or the government. Links to northern NGOs have not proven as effective as a capacity intervention. This is because in many cases the two actors were often not compatible. For example, the other organisations had access to tools and resources that local NGOs did not.

It is also important for the capacity building project to work in collaboration with other in-country donors in order to jointly support certain standards and reinforce the progress achieved with the organisations.

A Responsive Fund for Capacity Building

The project manager working with the capacity building coach needs to have some budgetary flexibility to respond to issues as they arise within partner organisations. This flexibility can be provided through a responsive fund. Such flexibility can prove critical to achieving fully all parts of the capacity building initiative. It can be especially relevant if there is an unforeseen expense that becomes critical to the success of the capacity building exercise.

CONCLUSION

CHF has been able to develop, in concert with our partners, a cooperative approach to capacity building that includes an orderly progression through an organisational strengthening process. This approach recognizes that capacity building is a continuing process that involves improving the capital and assets available to an organisation and thus a community, so as to foster development of sustainable livelihoods.

Key elements in the process include partner identification and participatory assessment. The joint design of a capacity building plan follows, which is then supported by CHF and other stakeholders that work in conjunction with the partner. The process usually moves forward through use of a “coaching approach.”

The CHF coach works hand in hand with the partner to help grow its capacity as needs and opportunities arise. CHF has developed the internal expertise to facilitate this coaching process and has various links to external resources for use as situations arise.

Experience has shown that the capacity building process is both rewarding and challenging. It is rewarding to observe partner organisations grow in strength and confidence, delivering new and more effective programs for their communities, challenging to ensure that new strengths are sustainable and become vested in the organisation.

In conclusion, it is important to note that the CHF Capacity Building Approach is both flexible and adaptive in nature. Different CHF projects use variations of this approach in order to reach their capacity building objectives. For example, some CHF undertakings are primarily organisational capacity building projects, while in others, capacity building may involve a selection of training programs linked to a specific rural development initiative. Although the needs and opportunities may vary, CHF has found that this approach provides its partners with the ability to attain new organisational goals and is a valued addition to the partnership process. In light of the foregoing, this document is a guide to the CHF Capacity Building approach and will evolve and be refined as new experience and knowledge is gained over time.

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ANNEX 1 : Sample Capacity Building Planning Sheet

Goal:

THE PROGRAM OBJECTIVE TAKEN FROM THE COUNTRY/REGIONAL DEVELOPMENT PROGRAM FRAMEWORK, TO WHICH THIS PROJECT OR INITIATIVE IS INTENDED TO MAKE A CONTRIBUTION To contribute to poverty reduction, sustainable development and social equality in rural communities.

Purpose:

THE PROJECT OBJECTIVE WHICH ADDRESSES THE PRIORITY NEEDS OF THE IDENTIFIED BENEFICIARIES AND IS ACHIEVABLE WITHIN THE SCOPE OF THE PROJECT ACTIVITIES. To enhance partner ability to assist, support and enable poor rural communities to build sustainable livelihoods.

OUTCOME MEDIUM-TERM DEVELOPMENT RESULT THAT BENEFITS AN IDENTIFIED TARGET POPULATION, THAT IS ACHIEVABLE WITHIN THE TIMEFRAME OF THE PROJECT, AND THAT IS THE LOGICAL CONSEQUENCE OF ACHIEVING A SPECIFIED COMBINATION OF OUTPUTS	OUTPUT SHORT-TERM DEVELOPMENT RESULT PRODUCED BY OR FOR THE BENEFIT OF PROJECT DELIVERY PARTNERS OR INTERMEDIATE GROUPS THAT ARE THE IMMEDIATE CONSEQUENCES OF PROJECT ACTIVITIES AND INPUTS	OUTPUT INDICATOR
<p>1. Enhanced institutional capacity of the partner NGO and local government departments to meet objectives of poverty reduction and sustainable livelihood generation in rural communities in a transparent, gender-sensitive and sustainable manner.</p>	<p>1a Increased capacity in the partner NGO to collaborate on gender-sensitive sustainable livelihood programs.</p>	<p>Increased reach and new/expanded programmes delivered to communities, for both women and men.</p>
<p>OUTCOME INDICATORS Increased participation of the partner NGO in sector programs planned to meet development objectives. Improved performance of partner organization in enhancing rural livelihoods. Level of satisfaction of target communities with the NGO partner.</p>	<p>1b Strengthened organizational capacities and enhanced sustainability of partners.</p>	<p>Diversified and increased sources of funding. Timely and effective reporting to funding organizations. Strengthened management of financial resources.</p>
	<p>1c Increased networking and synergy among the NGO and collaborating government partners.</p>	<p>Number and value of institutional linkages.</p>
<p>Representative Capacity Building Activities: 1. Participatory institutional assessment conducted. 2. Capacity Building Action Plan designed collaboratively. 3. CB Plan implementation and CHF institutional coaching process launched. 4. Ongoing monitoring of CB plan and CB results, updating of plan as needed.</p>		<p>OTHER INDICATOR OPTIONS</p> <ul style="list-style-type: none"> • Improved content and expanded programs. • Strategic leadership and consolidated organizational capacity in participating NGOs. • Mechanisms for cooperation that go beyond individual relationships to institutionalized relationships. • Networking to promote coherence and complementarity in poverty reduction programming.

ANNEX 2: Capacity Building Matrix | A selection of CHF projects showing the type of capacity building undertaken.

Project Title	Region	Country	General Training	Tailor-made Technical Assistance	New Financial Systems	RBM Training	SLA Training	Gender Equality Workshops	Fundraising Seminars	Governance, Board Management	Monitoring and Evaluation Training	Project and Grant Management Skills Development	Study or Exchange Visits	Building New Skills for Resource Mobilization Through Public Fundraising and Business Development	Other Topics of Interest to the Partner Organization	Limited Equipment Support	Limited Recurring Cost Support	Sub-Project Funding	Support for Programming	Coaching Support	Organizational Assessments	Networking	Institutional Linkages	Various Organizational Development Interventions	Cooperatively Developing Policy Interventions With Partners and Other Institutions
Food and Incomes for Families Surviving AIDS/ Southern Africa	Africa	Zimbabwe	✓	✓		✓	✓	✓				✓	✓	✓		✓		✓	✓	✓	✓	✓	✓	✓	✓
Partnership for Food Security in Ethiopia	Africa	Ethiopia	✓	✓		✓	✓	✓	✓		✓	✓	✓	✓		✓		✓	✓	✓	✓	✓	✓	✓	✓
Household Food Security Phase II - Ghana	Africa	Ghana	✓	✓	✓	✓	✓						✓		✓							✓			
FARMER - Responsive Mechanisms in Extension and Research - Ghana	Africa	Ghana	✓	✓	✓	✓	✓	✓			✓	✓	✓		✓			✓	✓	✓	✓	✓	✓	✓	✓
Prodap II Rural Development Project in Central El Salvador	Americas	El Salvador	✓	✓														✓	✓						
Disaster Recovery Project for Guyana	Americas	Guyana	✓	✓														✓	✓						
Building Community Capacity Project (BCCP) Phase II- Guyana	Americas	Guyana	✓	✓	✓	✓	✓	✓	✓		✓	✓	✓		✓			✓	✓	✓	✓	✓	✓	✓	✓
Community Development in Quy Chau District	Asia	Vietnam	✓	✓			✓	✓																	
Canada India Rural Energy Project	Asia	India	✓	✓			✓	✓				✓													
Rural Enterprise Support Project	Asia	Indonesia	✓	✓			✓	✓																	
Pastoralists Development Project	Africa	Kenya	✓	✓																					
Building Peace and Stability in South Sudan	Africa	Sudan	✓	✓																					
Harmonizing the Objectives of Peoples' Efforts - HOPE - Sudan	Africa	Sudan	✓	✓																					
Subsistence Farming and Capacity Development	Africa	Zambia	✓	✓																					
Borehole Rehabilitation			✓	✓					✓																
Capacity Building of NGO Partners	Americas	El Salvador	✓	✓																					✓

ANNEX 3: Capacity Building Resource List

Author	Title	Date	Publisher	Summary	ISBN
	www.capacitywhoiswho.net			An online network for capacity development.	
	www.capacity.org			ECDPM website in support of capacity building, publishes quarterly newsletter.	
	Effective Capacity Building in Non-Profit Organizations See http://www.vpppartners.org/learning/reports/capacity/capacity.html	2001	McKinsey & Company	<i>Effective Capacity Building in Non-profit Organizations</i> brings some common language to the discussion of capacity building and offers insights and examples of how non-profits have pursued building up their organizational muscle. The report contributes to the growing national conversation about how to help non-profits become stronger, more sustainable and better able to serve their communities.	
	www.developmentgateway.org/mdg			Development gateway on capacity development for MDGs.	
	Directions for Swedish Mission Council's work with Organisational Development and Capacity Building	2002	Swedish Mission Council	Rationale for the SMC (an umbrella body for faith-based development organisations in Sweden) approach to organisational development. Available for download from www.missioncouncil.se	
	www.ngomanager.org			Very good site for practical tools on NGO management including organisation assessment and organisational development. The WWF organisation assessment tool is available on this website.	
	www.impactalliance.org			Excellent website set up by PACT with many useful documents and tools on organisational development; organisation assessment and capacity building.	
	www.businessballs.com			Useful website with a number of helpful tools.	
	http://www.managers-gestionnaires.gc.ca/managers_tools/menu_e.shtml			A useful website established by the Canadian government for government managers with useful tools on management development, organisational learning and facilitation amongst many others.	
	www.aidsalliance.org			Toolkits and OD resources for NGO capacity building (including energisers toolkit).	
	http://www.geocities.com/part_cap_building/			Offers background information on the process for assessment and strategic planning of NGO capacity and provides meaningful tools for NGO capacity building.	
	http://www.intrac.org/pages/praxisseries_publications.html			Intrac's site on capacity building with some very interesting downloadable documents including short commentaries written by practitioners, analytical papers linking theory to field research or lessons learnt from practical experiences, and easily accessible handbooks in book format providing simple explanations of concepts, as well as models and tools.	

Resource List provided courtesy of INTRAC Organizational Development Course, Oxford, UK

Author	Title	Date	Publisher	Summary	ISBN
	Organizational Assessment: A Framework for Improving Performance		IDRC, Canada	Offers methodology to diagnose institutional strengths and weaknesses at the onset of development activities. Examines all aspects of organizational performance, including the enabling environment, institutional capacity, management, financial viability, and staff motivation. They also review the methodological issues involved in carrying out an assessment, ranging from the choice and framing of questions to data collection and analysis, the question of who 'owns' the assessment, and the reporting of results. Chapters can be downloaded from www.idrc.ca	
	NGO Knowledge Network Listserv			UK-based email list focusing on knowledge management and organizational learning in NGOs. To subscribe to NKN-UK, you can do so by sending a blank email to: subscribe-nkn-uk@lyris.bellanet.org	
	Knowledge Management for Development Listserv			Lively and well-established. To join, send a blank message to: join-km4dev-l@lyris.bellanet.org	
	Capacity Development Resource Center – Perspectives and Definitions www.worldbank.org/capacity		World Bank	Provides an overview of the literature, case studies, lessons learned, and good practices pertaining to capacity development. It also includes links to international and local capacity development agencies and other knowledge resources.	
Argyris, Chris	Overcoming Organizational Defenses: Facilitating Organizational Learning	1990	Allyn and Bacon, Needham Heights, Massachusetts	A book on organisational learning which focuses on the defenses which organisations create to avoid the change which is normally associated with learning. Contains an interesting section on how people espouse values which they cannot implement. Introduces the ideas of 'defensive routines': which are "... actions or policies that prevent individual segments of the organisation from experiencing embarrassment or threat." (p25) and 'fancy footwork' which is "... actions that permit individuals to be blind to inconsistencies in their actions or to deny that these inconsistencies even exist, or, if they cannot do either, to place the blame on other people." (p46).	0-205- 12338-4

Author	Title	Date	Publisher	Summary	ISBN
Barnard, Hilary and Perry Walker	Strategies for Success: A self-help guide to strategic planning for voluntary organisations	1994	London, NCVO Publications	<p>Practical advice about strategy development for the NGO. Contains a chapter which refers to Peter Senge's ideas on organisational learning. The authors argue that for strategy to happen, organisations must commit themselves to change and have the capability to do so. As they point out "An organisation that cannot learn ... will never be able to implement a strategy successfully because it will always be trying to do new things in the old way." (p113). "Learning and the will to change tend to stimulate each other. Once the ability to learn is established, finding the resources required for change can be tackled with much greater confidence." (p113). The learning they are referring to is work- or organisation-based learning. They propose five tests of an organisation's learning ability:</p> <p>"How much has the organisation already learnt about its problems and the range of possible solutions? Have novel solutions been found? Is the organisation encouraging the individual learning and personal development of its staff and volunteers? How much is two-way communication in the organisation used to support learning and development? How far is the organisation able to involve its users and the wider public as part of the process of challenging the way things are done?" (p113).</p> <p>The authors argue that organisation learning is inextricably linked to culture and style and suggest that each organisation should develop what Johnson and Scholes call a 'cultural web' using the headings: 'routine, rituals, stories, symbols, control systems, power structures and organisational structure'. They then go on to refer to Peter Senge's five principles for dealing with obstructions to learning (p115).</p>	0-7199-1414-0
Britton, Bruce	The Learning NGO	1998	Oxford, INTRAC	Available for download from www.intrac.org	
Britton, Bruce	Learning for Change: Principles and practices of learning organisations	2002	Swedish Mission Council	<p>A guide to NGOs as learning organisations. Includes conceptual models, barriers to learning, tools for learning and practical indicators and strategies.</p> <p>Available for download from http://www.missioncouncil.se/publikationer/skrifter/Learning_for.pdf</p>	
Brown, L. David	Social Learning in South-North Coalitions: Constructing Knowledge Systems Across Social Chasms	1999	London: Earthscan	Examines organisational learning and capacity building in inter-organisational networks involving NGOs from the North and South.	1-85383-355-2
Checkland, Peter and Jim Scholes	Soft Systems Methodology in Action	1999	Wiley	The definitive text on soft systems methodology introduces the use of rich pictures. Somewhat technical but explains the methodology rigorously.	0 471 98605 4
Cockman, Peter, Bill Evans and Peter Reynolds	Client Centered Consulting	1992	McGraw-Hill	Consultancy and the role of the 'third party' change agent in the process of OD. Good explanation of the OD cycle but takes a very 'interventionist' view of the role of the change agent.	0 07 707565 X

Author	Title	Date	Publisher	Summary	ISBN
CONTEXT	Capacity Assessment of Non-Governmental Development Organisations: Beyond the Logical Framework Analysis		CONTEXT	Available from www.developmenttraining.org	
Cooke, Bill	From Process Consultation to a Clinical Model of Development Practice			Examines the use of process consultation (Schein) as an approach to OD and the clinical model of helping.	
Cooke, Bill	Participation, "process" and management: Lessons for development in the history of organisation development.			Examines the history of OD and its relationship to development.	
Day, Abby, John Peters and Phil Race	500 Tips for Developing a Learning Organization	1999	Kogan Page	Very practical ideas for putting the learning organization idea into practice.	
DFID	Tools for Development		DFID	Practical collection of tools such as stakeholder analysis, visioning, risk analysis and problem trees and how to use them in the development context. Can be downloaded from www.dfid.gov.uk	
Dyer, William	Team Building: Issues and alternatives	1977	Addison-Wesley	Excellent book on an OD approach to teams and their development. Useful for external or internal consultants or managers. Practical exercises.	0-201-01191-3
Eade, Deborah	Capacity-Building: An Approach to People Centred Development	1997	Oxford: OXFAM	Examples of specific and practical ways in which NGOs can carry out capacity building initiatives. Looks at capacity building of individuals, organisations and networks. Also has a chapter on capacity building in emergency situations.	0-85598-366-3
Eade, Deborah (Ed)	Development Methods and Approaches: Critical Reflections	2003	Oxford: OXFAM	A excellent reader with essays on capacity building, organisational development, and gender and organisational learning amongst others. Recommended.	
Earl, Sarah, Fred Carden and Terry Smutylo	Outcome Mapping: Building Learning and Reflection into Development Programs		IDRC, Canada	Explains the various steps in the outcome mapping approach and provides detailed information on workshop design and facilitation. It also includes numerous worksheets and examples. Chapters can be downloaded from www.idrc.ca	
Edwards, Michael and Alan Fowler (Eds)	The Earthscan Reader on NGO Management	2002	Earthscan	Excellent and comprehensive collection of difficult-to-get-hold-of and 'classic' articles on NGO vision, values, strategy, managing growth and change, strengthening governance, participation, partnering and capacity building, organizational learning, mobilizing resources, gender, human resources and leadership.	1 85383 848 9
EU	Institutional Assessment and Capacity Development: Where, What and How?		European Commission	An interesting donor perspective on OA but one that seems to be unaware of the huge amount of work on OA tools done by NGOs. Can be downloaded from www.pso.nl	

Author	Title	Date	Publisher	Summary	ISBN
Fowler, Alan	Striking a Balance: A Guide to Enhancing the Effectiveness of Non-governmental Organizations in International Development	1997	London: Earthscan INTRAC	Excellent book on the management of NGOs which covers strategy, sustainability, partnership and other relationships, organisation development, design and structure, human resources, finance and funding, capacity building and organisational learning.	1 85383 325 8
Fowler, Alan	The Virtuous Spiral: A Guide to Sustainability for NGOs in International Development	2000	London: Earthscan INTRAC	Examines how NGOs can achieve sustainability through enduring impact, continuity of funding and organisational viability. Emphasizes the importance of adaptability. Explores regeneration through organisational learning, organisational change and leadership. Useful sections on indicators for sustainable development and the stages of capacity building.	1-85383- 610-9
Fowler, Alan with Liz Goold and Rick James	Participatory Self-Assessment of NGO Capacity	1995	Oxford: INTRAC	Introduces tools and methods for self-assessment of NGO capacity.	
Garratt, Bob	The Twelve Organizational Capabilities: Valuing People at Work	2000	Harper Collins Business	Examines the management of people as one of the twelve organisational capacities that are essential for assessing the capacity of organisations. Develops the idea of organisational learning.	0 00 225870 X
Garratt, Bob	The Learning Organisation	1994	London, Harper Collins	The author proposes a theory of organisations as "learning systems" in which success depends on the ability of managers to become 'direction givers' and on the organisation's capacity for learning continuously. The book follows the structure of the Kolb learning cycle. Garratt suggests that senior managers have an obsession with "certainty through doing" which is more likely to lead to action-fixated behaviour than anything likely to allow learning.	
Goold, Liz and Bruce Britton	Strengthening Organisations North and South	2000	Swedish Mission Council	Report of a series of workshops on capacity building, OD and OA held by INTRAC for Swedish Mission Council member organisations.	91 85424 62 5
Gubbels, Peter and Kathryn Ross	From the Roots Up – Strengthening Organizational Capacity Through Guided Self Assessment	2000	World Neighbors	Excellent and very practical book on organisation assessment and capacity building. Packed with useful tools.	0 942716 10 8
Hauck, V. and T. Land	Beyond the Partnership Rhetoric: Reviewing Experiences and Policy Considerations for Implementing Genuine Partnerships in North- South Co-operation	2000	ECDPM Discussion Paper 20 Maastricht: ECDPM	Examination of partnership and capacity building in international development.	
Hersey, Paul and Kenneth H. Blanchard	Management of Organisational Behaviour: Utilizing Human Resources	1990	Prentice Hall	This covers a situational leadership approach to the management of staff. The book includes sections on motivation, HRD, managing change, One Minute Management, and a synthesis of management theory.	0-87692- 575-1
Holdaway, Keith & Milke Saunders	The In-House Trainer as Consultant	1992	Kogan Page	An excellent practical book which encourages managers to view their training staff as internal consultants to their organisations. This book provides trainers with advice on how to take on these responsibilities: change management, management development, and advisory work.	0-7494- 0531-7

Author	Title	Date	Publisher	Summary	ISBN
Huxham, Chris, Ed.	Creating Collaborative Advantage	1996	London: Sage	Series of papers on inter-organizational collaboration which focuses on strategic alliances between local authorities / local government and voluntary organizations / NGOs and the private sector. The principle behind the book is creating collaborative advantage. Interesting on strategy, facilitating change, stakeholder involvement and community development.	0-8039-7499-X
INTRAC	The Monitoring and Evaluation of Capacity Building		WWF K-Zone (www.wwfknowledge.org)	Report produced for WWF on the monitoring and evaluation of capacity building. Includes chapters on organisational assessment, capacity building interventions, monitoring and evaluation, and indicators.	
James, Rick	Demystifying Organisation Development: Practical Capacity-Building Experiences of African NGOs	1998	Oxford: INTRAC	Case examples of OD consultancy from African NGOs which focus on capacity-building. Examines the role of OD consultants; cross-cultural issues; key success factors.	1 897748 35 3
James, Rick	Strengthening the Capacity of Southern NGO Partners		Oxford: INTRAC	The result of research into approaches used by Northern NGOs to develop the capacity of Southern NGO partners. Concludes that the two most popular strategies are institutional funding and management training.	
James, Rick, Ed	Power and Partnership: Experiences of NGO Capacity-Building	2001	Oxford: INTRAC	Examines NGO partnership and capacity building in the field of development. Draws a series of conclusions for developing a capacity building strategy.	1-897748-59-0
Kaplan, Allan	The Development of Capacity	1999	New York: UN Non-Government Liaison Service	A provocative examination of the nature of capacity and capacity building in NGOs. Introduces two approaches to capacity: the absorptive capacity and robust capability models.	
Kruse, Stein-Erik	How to Assess NGO Capacity: A Resource Book in Organisational Change	1999	Oslo: Norwegian Missionary Council for Development Co-operation	A basic handbook on organisational assessment as a precursor for capacity building.	
Kubr, Milan (ed)	Management Consulting: A Guide to the Profession	1986	International Labour Organisation, Geneva.	An extremely comprehensive guide to consulting which covers everything from consulting and change to the consulting process. Although it is written mostly for the consultant, it also has some sections which would be useful for clients. Useful chapter on consulting in developing countries.	92 2 105479 9
Lewis, David	The Management of Non-Governmental Development Organizations	2001	Routledge	Examines the management of NGOs. Chapters on empowerment, stakeholder analysis, structure, accountability, governance, participation, organisational learning, culture, diversity issues, and dealing with complexity, uncertainty and change.	0-415-20759-2

Author	Title	Date	Publisher	Summary	ISBN
Lippitt, Gordon & Ronald Lippitt	The Consulting Process in Action	1986	University Associates	One of the classic texts on OD consulting. Excellent discussions of the consultant's role in the management of change and in management development. Good sections on ethical dilemmas and value judgements; the phases of consulting and cross-cultural consulting.	0-88390-201-X
Lusthaus, Charles, Marie-Helene Adrien, Gary Anderson and Fred Carden	Enhancing Organisational Performance		Ottawa: IDRC	Model and tools for organisational self-assessment especially aimed at NGOs. Examines performance, external environment, organisational motivation, and organisational capacity.	0-88936-870-8
McLennan, Roy	Managing Organisational Change	1989	Prentice-Hall	An excellent series of short, pithy articles on organisational development and the management of change. Worth buying.	0-13-547308-X
Mintzberg, Henry	Strategy Safari	1998	Prentice Hall	Very readable book on a range of 'schools of thought' on developing strategy in organisations. Not written specifically for NGOs but with very useful insights.	0 273 65636 8
Morgan, Gareth	Creative Organisation Theory: A Resourcebook	1989	Sage	A series of readings about organisation theory written to accompany Morgan's book Images of Organisations. Covers strategy, structure, life-cycles, conflict, change, management, and communication. Contains case-studies and exercises on perception.	0-8039-2831-9
Morgan, Peter	An Update on the Performance Monitoring of Capacity Development Programs: What are we learning?	1999	CIDA	This paper addresses the monitoring (and, to some extent, the evaluation) of capacity building (or capacity development) initiatives.	
Morgan, Peter	The Design and Use of Capacity Development Indicators	1999	CIDA	This paper addresses the particular challenges involved in developing indicators for monitoring and evaluating capacity building.	
Nadler, David A. and Michael T. Tushman	A Model for Diagnosing Organizational Behaviour	1980	AMACOM	Introduces a model for organizational analysis focusing on the transformation of inputs to outputs. The model forms the basis of an OD process.	
Paton, Robert A and James McCalman	Change Management: A guide to effective implementation	2000	London: Sage	Good general introduction to managing change, OD and the role of the change agent. Short section on the learning organisation.	0 7619 6499 1
Plant, Roger	Managing Change and Making it Stick	1987	Fontana	Useful, practical book on the management of change. Has two useful questionnaires: the 'Role Effectiveness Profile' which identifies ten dimensions of individual role effectiveness and the 'Organisational Profile' which places an organisation in one of four phases of development.	

Author	Title	Date	Publisher	Summary	ISBN
Postma, William	Capacity Building: The making of a curry	1998	Oxford: Oxfam	Paper on organisational capacity building that uses the metaphor for making a curry to argue for flexibility in the capacity building process. Draws on appreciative inquiry methods to build on strengths rather than identify deficits.	
PSO	M&E of Capacity Development	2004	PSO	A very useful manual of PSO's policy and instruments for monitoring and evaluating capacity building. Can be downloaded from www.pso.nl	
PSO	Organisational Assessment Newsletter			Available for download from http://www.capacity.org/Web_Capacity/Web/JK_Content/Download.nsf/0/2C0F98DCBDCF7096C1256DCE004B273F/\$FILE/issue-19e.pdf	
Schroder, Harold,	Restructuring: The New Tasks of Managing	1989	Kendall Hunt Publishing Company	Uses the concepts of second wave and third wave organisations to examine OD and the structure and restructuring of organisations. Examines the pros and cons of workgroups and hierarchical structures.	
Senge, Peter, Art Kleiner, Charlotte Roberts, Richard Ross, George Roth and Bryan Smith	The Dance of Change: The Challenges of Sustaining Momentum in Learning Organisations	1999	London: Niocholas Brealey	An excellent source book of ideas on organisations, change and the development of learning organisations.	1-85788-243-1
Smale, Gerald	Mapping Change & Innovation	1996	HMSO	Focuses on managing change in service organisations (particularly social work) and deals with resistance to innovation and how to overcome it.	0-11-702004-4
Smillie, Ian and John Hailey	Managing for Change: Leadership, Strategy and Management in Asian NGOs	2001	London: Earthscan	Comparative study of NGO management in Asia. Examines leadership, strategy, learning and change.	1 85383 722-9

Author	Title	Date	Publisher	Summary	ISBN
Sorgenfrei Mia and Rebecca Wrigley	Praxis Paper No. 7 Building Analytical and Adaptive Capacities for Organisational Effectiveness	2005	INTRAC Praxis Programme	The paper suggests that by facilitating an understanding of analytical and adaptive capacities, and how they can be strengthened, we may help CSOs increase their effectiveness. It offers a cross-disciplinary review of current thinking about analytical and adaptive capacity, drawing on literature from fields such as organisational learning and change, strategic management, systems thinking and complexity theory. It then proposes practical considerations which may guide future efforts to develop the analytical and adaptive capacities of CSOs.	
Stacey, Ralph, ed	Strategic Thinking and the Management of Change	1993	London: Kogan Page Limited	A collection of papers about strategic thinking and its importance to senior managers. Includes papers on change management, networking, learning organisations and emergent strategy, ethics and business practices.	0 7494 0683 6
Starkey, Paul	Networking for Development	1997	IFRTD	A short but very helpful book on networks – their types, benefits, the problems they face and guidelines for their organisation. For purchase details visit www.ifrtd.org	1 85339 430 0
Sterne, Rod and Bruce Britton	WWF Partnership Toolbox	2000	WWF UK	A series of practical tools for understanding, developing, strengthening and reviewing partnerships. Available as a PDF file.	
Swieringa, Joop and Andre Wierdsma	Becoming a Learning Organisation: Beyond the Learning Curve	1992	Addison-Wesley	Very stimulating book on learning organisations which focuses on learning for change. It proposes a simple but effective learning model for organisations	0 201 62753 1
Swedish Mission Council	The Network – a tool for participatory organizational analysis	2005		A handbook for SMC's tool for organizational self-analysis. The tool covers six 'dimensions' of organizational capacity and uses the analogy of a growing tree to illustrate six levels of development for the five subheadings under each dimension. Document available for download from www.missioncouncil.se An interactive Excel spreadsheet is available for scoring and presenting findings.	
Tandon, Rajesh	Capacity Building in Civil Society	1997	New Delhi: Society for Participatory Research in Asia (PRIA)	Introduces a model for understanding the capacity building of civil society organisations. Introduces some key principles for effective capacity building.	
Taylor, James	In Search of Identity - The Soul of an Organisation	1995		Introduces the levels of complexity model and the diagnostic cycle in OD interventions.	
Taylor, James	Organisations and Development: Towards building a practice	2002	Swedish Mission Council	Stimulating paper exploring the human side of organisational development. Available for download from www.missioncouncil.se	
Thomas, Alan, Joanna Chataway and Marc Wuyts	Finding Out Fast: Investigative Skills for Policy and Development	1998	Open University Press / Sage	Very useful book providing a good overview of using practical research methods for investigative purposes. Includes a very good chapter on the use of 'institutional footprint analysis' by Chris Roche.	0 7619 5837 1

Author	Title	Date	Publisher	Summary	ISBN
Van Geene, Jouwert	Participatory Capacity Building	2003	ICCO-psa and PSO	A very comprehensive manual that describes a rigorous participatory process of OA and capacity building based on the POET methodology. The OA process examines seven capacity areas and requires the completion of scoring sheets following guided discussions on 100 specified capacities. May be downloaded from www.pso.nl PSO also has a very useful resource centre on organizational issues such as OA, capacity building and organizational learning.	90 809071 1 7
Weisbord, Marvin	Productive Workplaces: Organizing and Managing for Dignity, Meaning and Community	1991	San Francisco: Jossey Bass	Innovative approaches to managing and consulting in situations of organisation and change. Some useful material on learning organisations, teams and team-building, whole systems approaches and the "four room" model of change.	1-55542- 370-1
Weisbord, Marvin	Toward Third-Wave Managing and Consulting	1987		Innovative approaches to OD and consulting in situations of organisation and change. Some useful material on learning organisations, teams and team-building, whole systems approaches and the "four room" model of change.	

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