LenCD
Learning Network on Capacity Development

OECD 50

# *Training and Beyond: Seeking Better Practices for Capacity Development*

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## Abbreviations

| | |
|---|---|
| AAA | Accra Agenda for Action |
| ADB | Asian Development Bank |
| CD | Capacity development |
| CDRA | Community Development Resource Association |
| DFID | Department for International Development |
| DTI | Development Training Institutes |
| ECDPM | European Centre for Development Policy Management |
| EC | European Commission |
| IDRC | International Development Research Centre |
| IDS | Institute of Development Studies |
| IEG | Independent Evaluation Group |
| ILO | International Labour Organisation |
| ISO | International Organization for Standardization |
| JICA | Japan International Co-operation Agency |
| LenCD | Learning Network on Capacity Development |
| M&E | Monitoring and evaluation |
| ODA | Official development assistance |
| ODI | Overseas Development Institute |
| OECD/DAC | Organisation for Economic Co-operation and Development – Development Assistance Committee |
| PESTLE | Political, economic, sociological, technological, legal and environmental |
| RBM | Results-based management |
| TA | Technical assistance |
| TC | Technical co-operation |
| UK | United Kingdom |
| UN | United Nations |
| UNDP | United Nations Development Programme |
| WBI | World Bank Institute |

## Some definitions

**Alignment**: when donors base their overall support on partner countries' national development strategies, institutions and procedures. (Paris Declaration on Aid Effectiveness, 2005)

**Capacity development:** the process by which people, organisations and society as a whole create, strengthen and maintain their capacity over time (OECD, 2006, *The Challenge of Capacity Development: Working Towards Good Practice)*

**Fragile states**: those failing to provide basic services to poor people because they are unwilling or unable to do so (OECD, 2006, DAC Guidelines and Reference Series *Applying Strategic Environmental Assessment: Good Practice Guidance for Development Co-operation*)

**Harmonisation**: implies donors' actions that are more harmonised, transparent and collectively effective (Paris Declaration on Aid Effectiveness, 2005)

**Technical assistance:** the personnel involved (individuals as well as teams of consultants) in developing knowledge, skills, technical know-how or productive aptitudes (Europe Aid, 2009, *Making Technical Cooperation More Effective*, Tools and Methods Series Guidelines No. 3)

**Technical co-operation:** the provision of know-how in the form of short and long-term personnel, training and research, twinning arrangements, peer support and associated costs (Europe Aid, March 2009, *Making Technical Cooperation More Effective*, Tools and Methods Series Guidelines No. 3)

# Preamble

The Development Assistance Committee (DAC) of the OECD has considered capacity development to be a key development co-operation priority since the 2005 *Paris Declaration on Aid Effectiveness* and especially since the *Accra Third High Level Forum* in September 2008. Together with key partners, such as the *Learning Network on Capacity Development* (LenCD), the OECD/DAC seeks to help the donor community to identify and implement good practice and to support Southern voices in the ongoing debate on capacity development. Following Accra, the DAC and its partners undertook an effort to highlight the emerging joint South-North understanding of good practice for capacity development, focusing on the priority capacity themes of the Accra Agenda for Action (AAA). AAA references to capacity were grouped by the OECD into six operational themes: (i) technical co-operation; (ii) enabling environment constraints; (iii) capacity of country systems; (iv) capacity in sector strategies; (v) the capacity development role of civil society; and (vi) capacity development in fragile situations.

Regarding the first of these themes – technical co-operation – the DAC sees training and learning as a central aspect of this type of co-operation, and, more broadly, of capacity development. OECD/DAC statistics on overseas development assistance (ODA) suggest that training represents a major donor investment over the last 50 years. Perhaps as much as USD 400 billion has been invested in technical co-operation, of which training and other learning-oriented programmes constitute a prominent part. This paper was commissioned by OECD/DAC and LenCD on the heels of the evolving international debate on this topic launched with the High Level Retreat on the Effectiveness of International Development Training in Berlin (June 2008), and which continued with the Improving the Results of Learning for Capacity Building Forum in Washington (June 2009) and the Learning Link event in Turin (December 2009).

**Purpose**. This paper is the result of a joint effort of OECD/DAC and LenCD to assemble the critical messages about training and learning that are emerging from the current international scrutiny of training and capacity development. It attempts to synthesise current wisdom on the topic, and to offer a sense of direction on where the debate is going, particularly in terms of approaches to capacity development interventions at country and field levels. It does not, however, address detailed implications at the implementation level. The paper is written primarily for the demand side, i.e. those in the South who request and / or are beneficiaries of capacity development activities, together with Northern donor institutions who commission and pay for the activities. It is intended to give this audience the latest information on training and learning for capacity development, as guidance to help them know what to expect in terms of best practice. For example, it can be of practical assistance to managers and technicians who face the challenge of developing capacity in sector-based or thematic development strategies and work plans. However, it also can be of benefit to donors who need or want to make their approaches as effective as possible.

**Towards a joint South-North consensus**. The international debate on the effectiveness of training and other approaches to learning for capacity development has been largely dominated by the voices of bilateral and multilateral aid agencies and development training institutes from the North. Thus, it needs to be remembered that the emerging consensus described in this paper remains significantly Northern-based, although a growing effort now is being made to seek a more balanced donor and partner country consensus. On the road to the Fourth High Level Forum on Aid Effectiveness (Korea, 2011), the OECD/DAC and LenCD will seek to work with key Southern partners to support Southern participation in this debate and to incorporate Southern voices and perspectives as they evolve.

# Executive Summary

Since the 2005 *Paris Declaration on Aid Effectiveness*, the need to deepen understanding of effective capacity development (CD) has been a central theme of the aid effectiveness debate. There has been a growing recognition that CD is much more than the transfer of knowledge and skills to individuals. Effective CD calls for strengthening the capacity of whole organisations, sectors and systems, and takes into account the culture and context within which they exist.

Training has long been a central element of many CD and Technical Co-operation (TC) programmes, but studies have consistently shown that past practices have not been as effective as expected. Training is just one of many approaches that can contribute to CD; many agencies concerned with CD are now changing their focus to look beyond training to broader conceptions of, and approaches to, learning. Furthermore, just as training is not the way to meet all learning needs, neither is learning the universal panacea to solve all CD problems. Current views of CD place learning among those factors – such as leadership, systems and incentives – that contribute to the development processes of an institution, organisation or individual. There are many aspects of capacity that call for an array of responses beyond support to learning, and others that are beyond the scope of all external support and interventions.

Learning is an organic, internal process and ultimately any outsider's role can only be to support its emergence. Outsiders can influence learning negatively, however. For example, an imbalance of power between donors and recipients can distort learning if the need to comply with donor requirements takes precedence over learning important lessons from the implementation of a project.

Consensus is growing among Northern donors and development training institutes (DTI) about new directions for training, learning and CD, as highlighted in several recent events and publications (Box 1). The views from the South are also generally consistent with those from the North (see, for example, CD Alliance and OECD, 2009). However, there is still a pressing need for more Southern perspectives on CD issues so that they can influence decisions about the way forward.

***Box 1: The emerging consensus on CD***

**1) Context defines the limits of training and learning practices:**

- **In many circumstances resources are wasted on inappropriate initiatives because complex contextual factors negate the potential effectiveness of training and other learning-based interventions. The design of any intervention should be informed by in-depth understanding of the context and the identification of opportunities and constraints, and appropriately aligned to broader CD initiatives (Nelson, 2006; ADB, 2008; Capacity Collective, 2008; Berlin Statement, 2008; Baser *et al*, 2008; Ramalingam *et al.*, 2008; EC, 2009).**
- **Training individuals is rarely an adequate CD response in and of itself. Training is best used as one component of work at multiple levels of organisation and country systems (Figure 1; UNDP, 2006; ADB, 2008; Berlin Statement, 2008; JICA, 2008; UNDP, 2009).**

**2) Some conceptual shifts are needed:**

- **The ability to learn has been recognised as both a capability in its own right and an essential, underpinning capability for other aspects of sustainable CD. Activities need to go beyond training towards processes that support learning (Berlin Statement, 2008; Baser *et al*, 2008;**

Ramalingam *et al*., 2008).

- **Achieving sustainable CD impact calls for long-term perspectives. There is a need to ensure that short-term activities, such as training courses, contribute to long-term learning and change strategies and goals for sustainable CD impact. Also to facilitate the continuity of long-term relationships that can make valuable contributions to success and enable persistence through difficulties (DFID, 2006; Veer, 2008; Capacity Collective, 2008; JICA, 2008; ADB, 2008; IEG, 2008; CD Alliance and OECD, 2009; UNDP, 2009).**

**3) Training needs to be relevant and of good quality:**

- **The quality of training design and management of the training cycle are fundamental to success (DFID, 2006; Berlin Statement, 2008; IEG, 2008).**
- **Training has often been both inappropriately used and poorly implemented as the response to CD needs. Taking a results orientation can help to ensure that proposed training activities will meet identified needs, and that progress and the contribution to overall CD can be monitored and evaluated (UNDP, 2006; DFID, 2006; Berlin Statement, 2008; JICA, 2008; IEG, 2008).**
- **When translating resources and materials, greater attention needs to be paid to adapting concepts to the local context as well as into the local languages. This can be achieved through more effective use of local resource providers (UNDP, 2006; Capacity Collective, 2008; ADB, 2008; Berlin Statement, 2008; IEG, 2008; CD Alliance and OECD, 2009; UNDP, 2009).**

**Capacity development: a three stage process**

This paper reviews current thinking and emerging good practices in training and learning for CD by looking at three key stages: capacity assessments, design and implementation.

1) **Assessments**. The crucial first step in any CD process is to understand what capacities exist, what capacities need to be developed and the context within which the need occurs. Often, assessment processes have tended to be too narrow and failed to identify **contextual constraints** to learning, including systemic factors (such as lack of civil service reform) and power and relational dynamics which might prevent new learning from being put into practice and result in wasted opportunities and resources. Steps are being taken to address these problems and many leading institutions now have tools available to support stakeholders and change agents to achieve the necessary understanding of the context. Furthermore, in recent years the CD sector has become aware of the need to base practice - starting with assessment - on clear **theories of capacity and change.** Without such grounding, CD will remain confined to the transfer of technical skills. Ideally, the focus now should be on enabling country-led self-assessments with DTI and donors playing a supporting role. Assessments would be done at the country or sector level, providing a baseline for more focused lower-level assessments and encouraging harmonisation among donors and providers.

2) **Design.** The design stage of a CD process involves a series of decisions: who should be targeted, at what level, and how. The design of training and learning practices should be based upon appropriate learning theories, informed by in-depth information and understanding of the local context, and relate to broader CD agenda and priorities. Decision makers need to distinguish between overall learning goals and component parts that can be easily defined, achieved and monitored. Where the situation offers too many variables for concrete learning goals and objectives to be specified from the start, different formulations should be used and goals should be continually reviewed as the process unfolds. In general, monitoring and evaluation (M&E) should be built into the design from the start. Service providers need to let go of their deeply held assumption that the answer to every learning need is formal training; they need to

change their approaches and take training beyond the classroom. Most learning needs will be most effectively met by a mix of different methods over time. Indeed, there are many different approaches and practices that can be useful for building capacity. These include coaching and mentoring, experiential learning practices like action research, e-learning, knowledge management and organisational strengthening. Combining a number of these can be an effective way of maximising their strengths and mitigating their weaknesses.

3) **Implementation.** Innumerable factors can impact implementation for the better or worse. Relevance and adaptability of language, concepts and content to local culture and context must be ensured from the start. Relevance is also about matching the right participants with the right content and methods. This may involve working with local decision makers to ensure effective targeting and participant selection. Participants will need the continuous support of their managers to apply the learning from activities such as training courses and thus have a long-term impact in their workplace. Monitoring and evaluating the impact of training activities is a notoriously difficult task in any context, because multiple variables influence participants' performance after the training event. Consequently, it is a problem that the vast majority of training monitoring takes place at the level of individual participant satisfaction and learning levels, and little is done to monitor outcomes or impact on the organisation overall.

**Actions for change**

Despite the emerging consensus on the new directions and strategic shifts to effectively support learning for CD, current practices are deeply entrenched and cannot be changed easily; this will require dialogue and action at all levels of engagement within the global aid and development systems. The challenge now is finding the best ways to make these strategic shifts a reality – moving from the "*what"* to the "*how''.*

While practice lags dramatically behind there is however acknowledgement by an increasing number of donors, Southern partners and DTI that, in order to work with different learning practices and to address organisational and institutional constraints they need to change their behaviours and engage with the challenges of moving beyond training towards learning practices for sustainable CD. The conclusion of this paper is a listing of key next steps for those involved in supporting learning for CD: donors, Southern partners, DTI and other service providers, CD support decision makers at country level, and organisations promoting global dialogue and learning.

***Donors.*** A great deal depends on what donors will pay for. As long as donors continue to fund training as the primary approach to CD, they are effectively rewarding poor performance; this situation must change if they are concerned about using their resources effectively. Donors have to change their own approaches first if they are to influence the rest of the sector.

***Southern Partners.*** Partner countries receiving support need to take ownership of their own CD processes. This includes taking the lead in deciding when and how to address learning needs in line with their own strategies and priorities, as well as joining efforts with donors and DTI to identify and promote good practices. Partner countries should also mobilize Southern expertise and experience to support learning processes through South-South co-operation.

***DTI and other service providers.*** Despite what is known about the limitations of training for developing sustainable capacity, service providers still do not have sufficient incentives for changing their way of doing things. Service providers, including DTI, need to make the shift from seeing themselves as expert providers of learning for others, to seeing themselves and their partners on a shared learning journey. Their role should increasingly become one of facilitation, supporting Southern providers as they provide support to others. Donors and DTI are increasingly

acknowledging that in order to work with different learning practices and to address organisational and institutional constraints, their staff need to have both technical skills and a solid understanding of good practice and better integration of learning support within broader CD processes.

***CD support decision makers at the country level.*** Decisions about appropriate responses to identified CD needs are made by multi-stakeholder groups such as sector working groups or thematic task forces. Everyone, from national stakeholders, through beneficiaries, donors, DTI and service providers, needs to acknowledge that training is not the answer to all CD needs and make informed choices about what kind of support is needed. To make the right choices, stakeholders need to be concerned about the quality and relevance of assessments, appreciating local context and potential, with a flexible approach to work towards transformation. Stakeholders need to be aware of power relations and interests on all sides and agree on rules and safeguards for how to deal with these, including through evidence-based monitoring. Learning support is one option for CD and training is one method that complements others.

***Organisations promoting global dialogue and learning.*** Many agencies and institutes are concerned not only with the implementation of CD but also with the global dialogue to support change at the highest levels of policy and strategy. For these groups there is now a need to collaborate more widely to support knowledge sharing and the emergence of a joint, South-North consensus about what works. More work needs to be done to develop appropriate standards and accreditation systems to ensure that training and learning provision reflect this developing knowledge, as well as learning about effectiveness in local contexts and scaling-up of effective local CD innovations.

It is striking how many of these messages are similar to the messages set out at the end of *The Challenge of Capacity Development: Working towards Good Practice* (OECD, 2006), which reflects the fact that, while understanding about the issues has deepened in the interim, little has actually been done. **The time has come to move from words to action.**

# 1. Why training and beyond?

## 1.1 Background: training, capacity development and effective aid

Since the 2005 *Paris Declaration on Aid Effectiveness*, the need to deepen understanding of effective capacity development (CD) has been a central theme of the aid effectiveness debate. OECD paper *The Challenge of Capacity Development: Working towards Good Practice* (OECD, 2006) drew together documented experience from many sources. It was a milestone in the recognition that CD is a multi-dimensional process that goes far beyond the transfer of knowledge and skills at the individual level to embrace whole organisations, sectors and systems, and the enabling environment in which they all exist. The determinants of effective CD are not only technical, but are first and foremost to do with politics and governance. CD can only be sustained when the appropriate political, accountability and leadership arrangements are in place. The 2008 *Accra Agenda for Action*, which emerged from the Third High Level Forum on Aid Effectiveness, took stock of progress and built on the Paris Declaration to accelerate the pace of change. It makes the case for country-led and country-owned CD; the need to strengthen and use in-country resources more effectively; the need for more South-South co-operation for CD; and a focus on sustainable outcomes.

The aid effectiveness debate provides an excellent opportunity to address many CD issues and needs, not least the principles of alignment and harmonisation, which are both key themes in the important *Berlin Statement on International Development Training* (Berlin Statement, 2008). Currently there are innumerable instances of sectors, organisations, and in some cases, individuals, being involved in multiple CD activities – including training – associated with different donor projects. Invariably these activities have different purposes and use different approaches, which at best is confusing for those on the receiving end and at worst creates conflict or a reduction of capacity.

A number of issues affect the way in which donors and partner countries have been approaching CD. For example, operational approaches still vary significantly. There are two major – and essentially contradictory – trends in approaches to development: 1) results based management (RBM) and 2) complexity (see Box 1.1 below for a discussion of these approaches). Furthermore, few developing countries currently have a comprehensive CD component to their macro-level development plans or sector strategies, either because they do not perceive the need or because they do not yet have the capacity to develop it. In this situation, the onus is on the community of providers to ensure that their efforts are aligned and harmonised around joint assessments, country development priorities and needs, and agreed approaches and standards for implementation. There is also a role for the donor community to support those countries that want to formulate more comprehensive CD strategies to acquire the capacity to do so.

These issues have implications on how bilateral and multilateral donors approach CD and technical co-operation (TC) at the strategic level, and, at more operational levels, on the practices of those traditionally tasked with implementation of CD activities, including development training institutes (DTI) and other training and learning services providers.[1] This paper presents both the emerging consensus and some resources for those donors, Southern partners, DTI and other service providers in the South and the North looking for ideas on how to make the required changes.

What follows as an emerging consensus is drawn primarily from the current views of donors and others in the North, and thus it cannot be described as global. There are a limited but increasing

[1] Except where there is a reason to mention them separately, in this paper the term "service providers" is used to cover both the DTI and the large group of commercial and not-for-profit providers of training and learning services.

number of contributions from the South in various fora and these contributions are generally consistent with the messages from Northern based analysts and commentators. It is clear, however, that there is a pressing need for Southern perspectives on all CD issues to be heard and for Southern stakeholders to become fully involved in decisions about the best ways forward. Everyone needs to take their share of responsibility for making that happen.

***Box 1.1. Results based management versus complexity***

Two recent trends in thinking and practice – results based management (RBM) and complexity – are essentially contradictory and have created an acute tension in approaches to CD. A focus on results and accountability requires the specification of goals and objectives as a precondition to planning and being able to assess the effectiveness, outcomes, and impact of inputs and activities. A number of agencies are working on ways to apply RBM formats to CD practices. Complexity theory, on the other hand, is concerned with emergence, self-organisation, learning and adaptation in ways that are entirely contrary to the linear thinking of the RBM model. Complexity theory posits that results cannot be planned or predicted and a system will decide for itself what, if anything, will emerge as the result of any intervention or change in its circumstances.

Currently both trends are getting a lot of attention in the CD debate. Neither is right or wrong as both have their place and contribution to make. Just as there are needs for which RBM works and for which it would not be helpful to use complexity theories, so there are situations that are far too complex for RBM to be appropriate and helpful. For example, RBM would work for a training programme for primary health providers to acquire the knowledge and skills to implement a new vaccination programme. Enabling a geographic region to rebuild its communities and livelihoods following an environmental disaster would, on the other hand, be much better supported by open learning processes that recognised the complexity of the situation and did not impose pre-conceived notions of the outcome. Those making decisions need to understand which approach would be best in any given circumstance. This paper does not attempt specifically to follow or favour either trend, only to present some of the principles and practices of both because of their prominence in current thinking.

## 1.2 An emerging consensus: From training to learning

Training has long been a central element of many CD and TC programmes implemented by donor organisations and others in developing countries. Since 1961, DAC member countries have devoted approximately USD 400 billion – at current prices – to TC, of which training and other learning-oriented programmes constitute a prominent part. However, many agencies concerned with CD are now changing their focus to look beyond training to broader conceptions of, and approaches to, learning (Box 1.2). Both training and technical assistance (TA) should be perceived as key components of TC, which in turn should be integrated into broader CD processes. It would, therefore, be inappropriate to separate training and learning practices from a broad spectrum of TA, TC and CD considerations, for example about design or assessment, because they should be integral to an array of responses to capacity needs.

Within the substantial body of literature on TC, TA and CD generally, documented analysis of training effectiveness is growing, but thus far little attention has been given to the practice of learning and how it sits within, and contributes to, any of those other processes. It is not easy to find clearly documented examples of learning practices that go beyond (but do not exclude) technical skills transfer through training. This paper focuses specifically on training and learning practices within the CD agenda and one of its purposes is to identify and disseminate the resources that do exist

about learning, but, given the shortage of learning-specific literature, it has been necessary to extrapolate some relevant lessons from the CD literature and apply them to learning practices.

***Box 1.2. Agreement about required shifts for capacity development***

A *High Level Retreat on the Effectiveness of International Development Training* was held in Berlin in June 2008. The donors and DTI present issued a statement (Berlin Statement 2008) which included their recognition of the need to go beyond the standard training approaches of the past to embrace broader conceptions of "learning practices". This represented a key step in the important and necessary shift that both DTI and the broader community of service providers must make, and which will require the active support of donors. It could be argued that continuing to use the word "training" as the main term to describe this aspect of CD might serve only to keep past training practices at the forefront of thinking, when what is needed is a shift to a much broader conception of "learning practices", with training as one of its components. But equally there is a danger that the change of terminology will not be accompanied by the necessary change in practice and that service providers will continue to do what they have always done, only using different names to describe it. Without undertaking substantial internal change processes service providers are unlikely to adapt their mandates and practices appropriately. The *Berlin Statement* also noted the need for guidelines on improving the quality of the entire training cycle for those situations where training is appropriate.

Some major donor agencies and DTI have now recognised that in order to be more effective they need to change their own ways of working, and employ staff with different skills. The particular need is for people and process-oriented skills, often referred to as soft skills. Soft skills influence how people interact with each other and include such abilities as communication and listening, creativity, analytical thinking, empathy, flexibility, and problem solving. Others have noted that it is going to take more than one shift in the understanding and approach of both Northern and Southern actors to establish the mutual learning agenda and readiness to engage in the new practices that are a prerequisite for a larger shift in CD approaches (Capacity Collective, 2008).

The participants at the *Improving the Results of Learning for Capacity Building Forum* in Washington in June 2009 also reiterated the need for change (WBI, 2009). They noted that DTI in particular need to leave behind their current self-perception as expert providers of learning for others, and see themselves and their partners as embarking on a shared learning journey within the broader context of CD. Participants listed four "directional shifts" that the DTI sector needs to make:

1) from training institution to strategic facilitator of development;
2) from training and structured learning for individuals to diverse learning for institutions and local change agents;
3) from measuring learning outputs for individuals and activities to measuring learning outcomes and how they contribute to institutional level impact; and
4) from individual knowledge and results practices to knowledge exchange, piloting and implementing of results-oriented approaches that work.

Attempts to achieve those shifts will undoubtedly have profound implications for both the mandates and practices of the DTI. Some comments on specific ways to implement these shifts are dealt with in the sections below on 1.3.2 CD service providers; 2. Assessments; and 3.2 Formulating goals and objectives.

Traditionally training has not been defined, designed or evaluated within the context of comprehensive CD strategies and thus a number of the problems with training reflect similar problems with the design and implementation of TC. Development co-operation support to training has most usually been provided to build technical skills for project implementation. Donors have also supported developing country applicants to access tertiary-level study in other countries. Both types of support have generally been targeted at the level of individuals, with the primary intention being to improve knowledge and skills, rather than at organisational or institutional levels.

Training has most often been given in the form of instruction or education delivered by teachers, trainers or experts. Teaching methods have been grounded in the development paradigm which holds that developed countries have knowledge and skills that developing countries need, and that training is the best way to transfer them. However, as shown in the summary below, in recent years many agencies have published studies and initiatives that, when taken together, identify an emerging consensus that past training practices have not been as effective as they could have been. This is why the focus is shifting towards learning. The word "learning" means different things in different contexts and cultures, and most disciplines and agencies use different definitions, according to their own perspective. (Box 1.3) There are innumerable ways in which individuals, groups and systems acquire learning. It has been recognised that the ability to learn is both core to achieving sustainable development results (Baser *et al.*, 2008) and implicit in the management of change (Senge, 2006). Additionally, the increasing use of the complexity perspective to analyse and understand development issues highlights that constant change in complex and uncertain times creates an imperative for constant learning (Ramalingam *et al.*, 2008). The ability to learn is both a capability in its own right and an essential, underpinning capability for other aspects of sustainable CD. Thus learning sits centrally within the ever evolving dynamic of developmental processes of any given institution, organisation or individual alongside other factors such as leadership, systems and incentives.

***Box 1.3. Defining learning***

The United Nations Development Programme (UNDP) defines learning as "any improvement in behaviour, information, knowledge, understanding, attitude, values or skills" (UNDP, 2006).

A more organic definition from the adult education context, states that learning "… enables people to make sense of and act on their environment, and to come to understand themselves as knowledge-creating, acting beings. … a capacity to analyse situations contextually and act on them strategically, and an ability to examine and act on their own values and goals." (Foley, 2001)

The academic and corporate literature on learning, and especially on organisational learning – perhaps most famously Senge's *The Fifth Discipline* – could be helpful for development agencies (see Appendix C for some important learning theories). These sectors recognise that the dimensions of learning range from the technical aspects of how to do things to less easily defined spheres of social and political functioning. Concepts such as lifelong learning are now widely used to support adults in personal and professional development outside formal education systems.

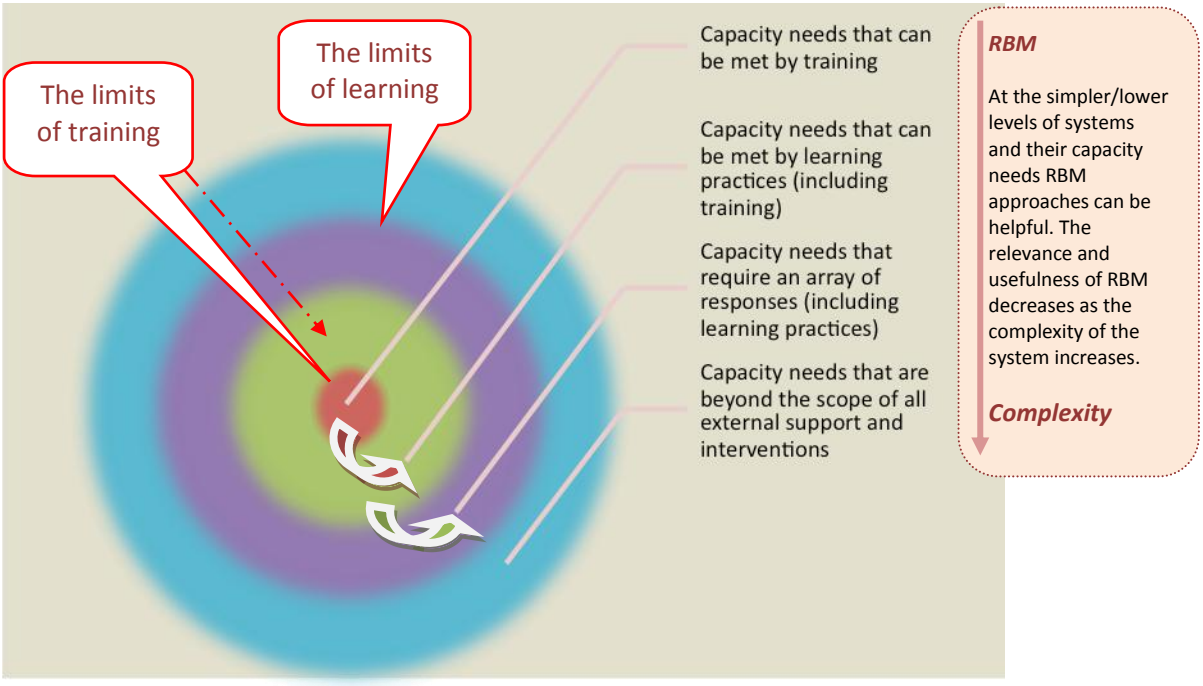
Learning happens as an ongoing, internal process. It may be planned and structured, or unplanned and informal, occurring spontaneously from events, experiences and circumstances. It may be stimulated, facilitated or in some other way supported by outsiders. Learning processes unfold in very complex, frequently unpredictable, ways and informal learning will often be more powerful in influencing change (or resistance to it) than learning coming from formally structured processes. The message is clear: learning is not something external actors can do for, or to, individuals, organisations or systems: ultimately the outsider's role can only be to support the emergence of learning. This has significant implications for the ways in which service providers approach their work when the goal is to support learning beyond the realms of skills acquisition.

In response to this understanding, this paper widens the definition of learning for development beyond study, information or knowledge transfer into the realms of "capabilities and sense-making" that expand the options for action, as defined in the current, more comprehensive conceptions of CD referenced in the summary below. These concepts embrace culture and context by recognising that the same information and processes can lead to the creation of different meaning in different cultural traditions and perspectives. In order to achieve the desired shift to country-led CD it is necessary to work with and within these contextual realms and this has significant implications for how good practice can be spread and scaled up.

In the past a significant focus of training, and other CD support provided through development co-operation, has been on developing the capacity to manage donor funding and achieve required project outputs (WBI 2006). While this is a valid necessity for a variety of reasons, in the larger scheme of things this need is nowhere near as important as the need for learning and change for sustainable development results. It has been noted that the imbalance of power relations between donors and their recipients (whether governments or civil society) has resulted in a phenomenon called *'regressive learning*' i.e. that learning to comply with donor requirements takes precedence over all else, to the extent that important lessons from implementation of projects will be ignored if they do not fit with what was agreed with donors as the expected outputs and outcomes (Shutt, 2006). This illustrates the need to understand power dynamics in relation to learning and change, discussed more fully in Section 2 on Assessments below.

The previous practice of equating training with CD is unhelpful because training is just one approach that can contribute to learning, and there are other approaches that can have much greater impact in many circumstances. So the first important point is that training is not the answer to all learning problems. The second is that neither are the broader learning practices discussed in this paper a universal panacea to meet all CD needs – no such solution exists. There are many capacity needs that call for other types of support, and others that no external interventions can meet, however well designed or implemented. There is, for example, little to be gained by training teachers to enhance girls' performance at school if a combination of culture and poverty prevent girls from attending school. Nor will coaching middle-level managers in a government institution empower them to manage their staff more effectively if the overall system is gridlocked by political patronage. This underlines the need for effective analysis of environmental influences. Figure 1 shows how training and learning can be placed more broadly within the context of CD.

**Figure 1. The Limits of Training and Learning**




To summarise, three main themes emerge from a review of the current literature:

**1) Context defines the limits of training and learning practices:**

- **In many circumstances resources are wasted on inappropriate initiatives because complex contextual factors negate the potential effectiveness of training and other learning-based interventions. The design of any intervention should be informed by in-depth understanding of the context and the identification of opportunities and constraints, and appropriately aligned to broader CD initiatives (Nelson, 2006; ADB, 2008; Capacity Collective, 2008; Berlin Statement, 2008; Baser *et al*, 2008; Ramalingam *et al.*, 2008; EC, 2009).**
- **Training individuals is rarely an adequate CD response in and of itself. Training is best used as one component of work at multiple levels of organisation and country systems (Figure 1.1; UNDP, 2006; ADB, 2008; Berlin Statement, 2008; JICA, 2008; UNDP, 2009).**

**2) Some conceptual shifts are needed:**

- **The ability to learn has been recognised as both a capability in its own right and an essential, underpinning capability for other aspects of sustainable CD. Activities need to go beyond training towards processes that support learning (Berlin Statement, 2008; Baser *et al*, 2008; Ramalingam et al., 2008).**
- **Achieving sustainable CD impact calls for long-term perspectives. There is a need to ensure that short-term activities, such as training courses, contribute to long-term learning and change strategies and goals for sustainable CD impact. Also to facilitate the continuity of long-term relationships that can make valuable contributions to success and enable persistence through difficulties (DFID, 2006; Veer, 2008; Capacity Collective, 2008; JICA, 2008; ADB, 2008; IEG, 2008; CD Alliance and OECD, 2009; UNDP, 2009).**

**3) Training needs to be relevant and of good quality:**

- **The quality of training design and management of the training cycle are fundamental to success (DFID, 2006; Berlin Statement, 2008; IEG, 2008).**
- **Training has often been both inappropriately used and poorly implemented as the response to CD needs. Taking a results orientation can help to ensure that proposed training activities will meet identified needs, and that progress and the contribution to overall CD can be monitored and evaluated (UNDP, 2006; DFID, 2006; Berlin Statement, 2008; JICA, 2008; IEG, 2008).**
- **When translating resources and materials, greater attention needs to be paid to adapting concepts to the local context as well as into the local languages. This can be achieved through more effective use of local resource providers (UNDP, 2006; Capacity Collective, 2008; ADB, 2008; Berlin Statement, 2008; IEG, 2008; CD Alliance and OECD, 2009; UNDP, 2009).**

## 1.3 Leading change

### 1.3.1 The donors' role in leading change

Because donors' policies and practices are so influential in shaping the incentives of the entire CD provision industry, a great deal rests on the question of what donors will pay for. As long as donors keep funding the use of training as the primary approach to CD there is no incentive for service providers to change. Continuing to pay for work that repeats the problems of the past rewards poor performance and will not facilitate fundamental change and development. For donors concerned with effective use of resources this must be an issue of considerable concern.

If donors are to embrace the emerging consensus for fundamental change, they will need to practise the changes that they hope to see in the rest of the sector, but this will not be easy. For example:

- Changing the incentive structure calls for a very substantial change in the way donors work.
- Moving beyond RBM approaches to those that reflect complexity and emergence will require risk taking and a significant shift towards longer-term perspectives on CD.
- Donors have to demonstrate that *they* are changing in response to lessons learned if they want others to do the same.
- If donors accept that a significant understanding of local culture and context is a prerequisite to effectiveness, they must also accept that acquiring such an understanding takes time. At present donors are not willing to pay for providers to have that time.
- Donors can only ensure that the service providers they fund have a good-enough knowledge of local culture and context if they have it themselves, which has implications for donor agency practices of mission postings, career progressions and so on.
- Donors need to recognise that their presence and power complicate and sometimes constrain the relationship between the beneficiaries and service providers, which can have a detrimental effect on both process and outcomes.

It is unlikely that the overall situation will change until donors bring their financial power and other means of influence to bear on it. A great deal has been said about the need for, and lack of, the political will for change in developing countries, and on this particular question similar issues apply to their development partners. The time has come for donors to assess their own internal capacity to change if they hope to be effective in influencing external change.

### 1.3.2 CD service providers

Thinking about service providers is another aspect of CD currently experiencing a fundamental shift as summarised in the Berlin Statement: "DTI should re-invigorate efforts to strengthen existing national training institutes; promote peer learning among national and regional training institutes and provide a comparative perspective" (Berlin Statement, 2008). Current practices are very deeply ingrained in the long held institutional cultures and mind sets of service providers, many of whom work on the assumption that training is the appropriate response to every learning need - the "I have a hammer, so every problem is a nail" syndrome. Evidence now shows that assumption to be flawed and that service providers must change accordingly. The first directional shift noted above: "From training institution to strategic facilitator of development" summarises the necessary changes for Northern providers. In practice this creates a very complex set of challenges.

DTI are now beginning to acknowledge that while technical skills are still important, they aren't enough alone to address organisational and institutional constraints. DTI staff need to have additional skills such as the ability to support the management of complex change processes; coach and mentor internal change champions; and facilitate dialogue and problem solving. However, even these skills will be of limited benefit unless combined with deep understanding of the local culture and context. Both donors and service providers are likely to need very significant change management initiatives of their own before the new skills and ways of working are valued and rewarded within organisational cultures.

The new emphasis on enabling national, regional and Southern providers to take a more prominent role in supporting learning will require service providers in the North to change both their target group and how they work with them. Some Southern training institutes have a wealth of knowledge about using traditional learning practices and thus are much better placed to know what will work with local participants. However some of these Southern institutes are small and have previously been overlooked as potential partners in service provision. Northern service providers need to seek out and listen to local knowledge as an essential prerequisite to taking up roles where they act in partnership with, or support of, their Southern counterparts. Big, well resourced, DTI could help all actors in the sector by joining mutual learning processes, for example by piloting new practices, as noted in the fourth directional shift highlighted in the June 2009 Washington forum on *Improving the Results of Learning for Capacity Building*: "From individual knowledge and results practices to knowledge exchange, piloting and implementing of results-oriented approaches that work" (WBI, 2009). Changes of this nature, especially the move to more reflective shared learning practices (see also Monitoring and Evaluation in Section 4), take time and will not happen unless deliberately included in both strategic and operational plans.

Currently training and learning provision within CD is totally unregulated. No CD service providers, Southern or Northern, are held to any agreed professional standards. Some agencies have called for accreditation systems, but there has been no major initiative to take that idea forward, and some agencies have expressed strong resistance to the idea. Given the global nature of the sector it would take considerable negotiation to agree on effective and workable mechanisms of regulation. There are accreditation standards available from other sources that could be used to begin the process of defining the criteria for service providers in the development context. For example the UK government has developed a national certification framework called the *Training Quality Standard.*[2] This framework can be used in two ways: first to assess, against rigorous criteria, the ability of providers – whether internal departments or external agencies – to respond to customers' needs, and to develop and deploy products to address particular sector needs. Second, the framework gives employers or other purchasers of training services criteria by which to judge the quality of potential suppliers. Many professional disciplines such as education and social work also have comprehensive

[2] Full details of the scheme are available at www.trainingqualitystandard.co.uk

accreditation schemes for various areas of practice which could be used to inform the development of accreditation standards and criteria for DTI. Further, some academic institutes have taken the ISO standards and adapted them for application to the provision of training.[3]

## 1.4 Structure of the paper

This emerging consensus outlined above highlights that approaches to CD can be made more effective by being i) focused on learning rather than training; ii) focused on systems rather than on individuals; and iii) led by the partner country and at the strategic level.

The sections that follow address some of the important themes outlined above under the following headings:

- **Section 2: Assessments.** In order to ensure the relevance of CD design and delivery, capacity needs assessments must go beyond the consideration of technical skills to encompass the context and environment of individual, organisational and system capacities and the significant relationships between them.
- **Section 3: Design.** Design must first identify the long-term learning and change goals and then the short-term objectives and activities that will contribute to the achievement of those goals. The choice of tools and techniques should draw on a broad range of approaches according to circumstance and need.
- **Section 4: Implementation**. Service providers should be held accountable for adhering to the highest possible relevant professional standards. Equally importantly, M&E methods and tools that embrace the complexity of CD and contribute to the learning of all involved need to become integral to all stages.
- **Section 5: Moving forward.** The final section looks briefly at what different CD actors need to do to ensure that the new understanding is translated into relevant policies and better-quality implementation.

[3] See for example the work of the Centre on Education and Training for Employment at the Ohio State University for example Austin, James T. (2006) "Certificates and Certifications: Credential Clarification Is Critical!" available at www.cete.org/_documents/centergram/centergramsummer2010.pdf

# 2. Assessments

***Assessments at a glance***

The emerging consensus is that a number of weaknesses in current assessment processes need to be addressed in order to embrace the wide range of systemic factors that will impact on any CD process. The repeated failure of many different actors concerned with CD processes to undertake appropriate contextual analysis before beginning activities has resulted in many wasted opportunities and resources. The issue of contextual constraints and their sources is currently insufficiently addressed and this is a significant gap because the limits of learning can only be understood through the identification of constraints. Assessment of the 'big picture' factors should include, but not be limited to: economic factors; the political context; and, culture and context. Power, in any of its multiple manifestations, is one of the most influential factors in determining either the success or failure of CD initiatives and is also relevant to cross cutting issues such as gender, human rights and the environment. However, steps are being taken to redress the problem, and many leading institutes now have effective assessment tools available to use.

In recent years the DTI have become aware that their practices need to be much more clearly grounded in relevant theory of both capacity and change and in the specifics of the local context, but it is not yet clear where donors and other service providers stand on this issue. There is a danger that unless they are grounded in appropriate theory CD assessments and analysis will remain trapped in the realm of technical skills, which, while important have now been shown to be incomplete and, in some cases, irrelevant. It is ultimately the stakeholders and change agents in any given context that will have the best sense of the most promising responses for different capacity levels and needs. Adding a learning perspective to an assessment process could help to answer fundamental questions about whether or not learning practices could result in sustainable change.

## 2.1 Introduction

The emerging consensus is that current processes for assessing CD needs have a number of weaknesses which need to be addressed.

- Assessments are almost always done by external experts such as DTI. However, one of the key messages of the *Berlin Statement* (Box 1.2) is that rather than doing assessments, DTI should be building the capacity of partner countries to do it themselves, i.e. facilitating a shift towards self-assessment. Participatory self-assessment processes are capacity-building exercises in their own right, and also help build ownership of any changes that are needed. A recent study found that country-led planning of CD is more effective than traditional approaches (JICA, 2008). Donors should aim in the long term to refocus their support towards enabling partner countries to conduct assessments and lead their own planning.
- The predominant assessment methodology has been "gap analysis"[4], which has significant weaknesses. For example, gap analysis has a negative bias, whereas an approach that recognises and builds on existing capacity is much more constructive. Gap analysis also tends to focus narrowly on technical knowledge and skills and thereby fails to embrace the complexities of the context (EC, 2009; see Box 2.1).

[4] A gap analysis works with a pre-conceived definition of the skills and capacities needed for any particular task or function, then assesses what is currently in place. The gap is the difference between what exists and what is needed.

- Assessments tend to be descriptive rather than evaluative (Capacity Collective, 2008), in that they note many relevant factors, but don't provide enough analysis to ensure that the importance of these factors is understood and can guide the design of an effective CD process. In order to identify the enabling and constraining factors that would contribute to the success or failure of any potential CD interventions assessments need to pay more attention to issues such as policies, power dynamics and the availability of resources.
- Assessments are often done without a clear purpose being specified at the start, so that it is not clear how the resulting diagnosis might be relevant to the needs of various decision makers (EC, 2009). However, in some complex circumstances this may be appropriate as being too prescriptive about the purpose from the start could inhibit the natural emergence of relevant factors.
- Finally, current assessment approaches are not adapted to the needs of fragile states and post-conflict societies. These present a particular range of CD challenges that require special attention – from the assessment stage right through design and implementation to monitoring and evaluation. In fragile states the appreciation and protection of existing assets that can form the foundation for supportive CD efforts must be emphasised.[5]

## 2.2 Assessing context and the enabling environment

Capacity needs assessment and analysis should be done at two levels. Ideally assessments would first be done at the country or sector level, providing a baseline for more focused lower-level assessments and encouraging harmonisation among donors and providers. For example, the reform of a sector clearly calls for broad assessment and analysis of overall capacity and the context affecting it. Then a more focused assessment is needed when considering using training or learning practices to work with specific parts of the sector, such as an individual organisation.

A wide range of systemic factors need to be considered as part of a contextual analysis. For example, an evaluation of TC projects by the UK's Department for International Development (DFID) in sub-Saharan Africa found that lack of progress in civil service reform was the most significant factor explaining the limited CD impact achieved by training in three out of four case studies (DFID, 2006). The report found that failing to address the issue of constraints and their sources appears to be a common problem. This is significant because the limits of learning can only be understood by identifying constraints, and constraints can only be fully understood by studying both vertical and horizontal social constructs within organisations, networks and institutions, and the culture and context for the country or region.

The need for appropriate contextual assessment was highlighted in a recent evaluation study of the Asian Development Bank: *"Effectiveness of ADB's Capacity Development Assistance: How to Get Institutions Right"* (ADB, 2008). This study identified factors that were of critical importance to the success of both design and implementation of their CD initiatives in four different sectors. It identified which of these factors the ADB deemed to be within or beyond their control as the

[5] It is beyond the scope of this paper to address this set of challenges in depth. However, there are some helpful documents available from the OECD about work in fragile states. For example, two that may be of interest in the context of capacity building are *Concepts and Dilemmas of State Building in Fragile Situations* (OECD, 2008) available at www.oecd.org/dataoecd/59/51/41100930.pdf and *State-building in Fragile Situations – How can donors 'do no harm' and maximise their positive impact? Summary of the country case studies* available at www.oecd.org/dataoecd/8/32/44409926.pdf

donor/implementing agency. Table 2.1 summarises many of the issues discussed elsewhere in the report.

***Table 2.1: ADB's assessment matrix***

| **Design factors within ADB's control** | **Design factors beyond ADB's control** |
|---|---|
| - Clear results framework or evaluability to measure and monitor CD<br>- Strategic direction with realistic CD objectives<br>- Adequate diagnostic baseline assessments at all CD levels (individual, organisational, network, and contextual levels)<br>- Continuity to institutionalise CD, careful phasing/sequencing, and exit strategy<br>- Appropriate mix of modalities<br>- Mainstreaming project implementation/ management unit activities into target agencies' normal operations<br>- Adequate staff time and skills, and financial resources<br>- Inclusive participatory approach, with strong commitment of and ownership by target agencies<br>- Co-operation and harmonisation with other development partners | - Conducive political environment<br>- Conducive economic/fiscal environment<br>- Conducive policy/institutional environment<br>- Conducive sector capacity |
| **Implementation factors within ADB's control** | **Implementation factors beyond ADB's control** |
| - Sufficient and qualified staff for implementation and supervision, including optimal use of resident missions<br>- Flexibility during implementation and supervision<br>- Selection of qualified consultants and limited delays in implementation | - Continued conducive enabling environments<br>- Continued commitment of and ownership by target agencies<br>- Continued co-operation and harmonisation with other development partners |

***Source: ADB (2008)***

This study shows the need for assessment approaches to include a thorough analysis of the context of the target institution or sector. Some might disagree with where the ADB have positioned some of the factors in this table. It could be argued, for example, that "co-operation and harmonisation with other development partners" is something that ADB can aim for and influence, but not control. The ADB have adopted this simple framework as a guide for future assessment processes, and they may review and amend it over time.

An effective assessment of CD needs also means analysing some cultural and contextual factors that are not usually included in assessments, such as power and cross-cutting issues.

### 2.2.1. Power

Power[6] is one of the most influential factors in determining the success or failure of CD initiatives and it is frequently avoided in assessments because of its sensitivity. Power and relationship dynamics are critical to the implementation of learning and change processes at many levels. The

[6] There are several theories of power, each of which describes it in different ways. Some focus on dimensions of power such as political, physical (including use of weapons), resources (financial and other), traditional, position, expert and charismatic. Others are concerned more with how power is used: power-over, power-to, power-within, and power-with.

political will for change is often the issue at the top. At the bottom it can simply be whether or not a manager will let a staff member implement something new they have learned on a course (although reluctance to allow change may be grounded in a lack of understanding, rather than a simple exercise of power). Several of the assessment approaches listed in section 2.3 below deal with power as part of other dimensions such as leadership. The Power Cube[7] is a relatively new tool which looks specifically at the power dynamics of a situation. It has been used in a number of different ways in the assessment and planning processes of change initiatives where the power dynamics were critical to success.

One of the benefits of looking at power when analysing the context of an initiative is that it can help identify both enabling factors, such as change champions and existing change initiatives, and constraining factors, such as control of resources, corruption and embedded relationship dynamics, that are both resistant to change and blocking other changes. This part of the analysis should cover the political status of potential participants and supporters of change processes and should also be linked to analysis of the ownership and leadership for change. Power analysis can also help to identify where the potential facilitators of learning and change sit in the political economy of the relevant system, another important factor in determining the success of initiatives.

### 2.2.2 Cross-cutting issues

Harmonisation and alignment are important cross-cutting issues. These aid effectiveness principles mean that donor agencies should be moving away from commissioning assessments that meet only their own programme needs, and instead support country-owned strategies that contribute to broader development priorities and programmes. In this ideal scenario, partner governments would conduct their own comprehensive assessments which would be used by all donors as the baseline for determining their programmes and projects. However, as few developing countries yet have the capacity to carry out their own assessments at any level, the current situation is likely to continue for the foreseeable future. Thus substantive decision-making power about CD issues will remain with those funding and conducting the assessments.

The cross-cutting issue most often overlooked is gender. In many developing countries there are many complex gender issues that can have a significant impact on the opportunities and ability to build capacity at all levels of society. However, many key CD documents are gender neutral and do not appropriately consider the different capacity needs of men and women. Gender perspectives tend only to be addressed by assessments focusing on women's issues, linked to donor programmes specifically targeting women. This approach bypasses the many situations where there are challenging issues arising from the status of men in society, for example the role of ex-combatants in post-conflict societies. Some initiatives to address the gender gap are described in the next section.

Other cross-cutting issues can have greater or lesser importance according to the country and circumstances. For instance, human rights and environmental issues can be highly sensitive, which often results in them being avoided rather than addressed, particularly in assessments that focus primarily on other sectors. Their level of sensitivity can be an informative indicator about their importance to any future CD processes.

[7] The Power Cube was developed by John Gaventa and colleagues in the Participation, Power and Social Change team at the Institute of Development Studies (IDS) at the University of Sussex (Gaventa, 2005; www.ids.ac.uk/go/research-teams/participation. A case study about its use as an analytical tool is available at http://community.eldis.org/.59bc5248/Kerala_Devolution_of_Power. See also Appendix B for more details.

## 2.3 Theoretical approaches to assessment

A major gap in the majority of assessments is the failure to articulate the theories of capacity and CD being used as the framework for analysis of context and needs. In recent years the theoretical understanding of many aspects of CD has advanced and there is a growing awareness among the DTI that their practices need to be much more clearly grounded in theory, but it is not yet clear where other service providers are on this issue.

CD assessments and analysis, unless based on appropriate concepts of both capacity and change, are in danger of remaining trapped in the realm of technical skills, which has been shown to be incomplete and, in some cases, irrelevant. As noted above, at the policy level the majority of donors are converging towards an understanding that the determinants of CD are not only technical but also political and governance related (strong political commitment, favourable incentive systems and government-wide reform). Donors also acknowledge that CD is multi-dimensional and that it goes beyond knowledge and skills transfer at the individual level to consider organisations, institutions, networks and the systems in which they are embedded. This consensus was consolidated in *The Challenge of Capacity Development: Working towards Good Practice* (OECD 2006).

However, despite this growing consensus there has not yet been any attempt among the donors or leading DTI to agree how they might harmonise their CD processes around some agreed core theories. The result is that organisations can find themselves engaged in multiple CD programmes from different providers, all using different principles and values, most of which are based on unstated assumptions rather than on explicitly stated theoretical foundations.

Among the CD frameworks in current use there are different definitions of capacity, how it can be developed, and how systems work and change. With the exception of the work on capacity by the European Centre for Development Policy Management (ECDPM) and a few others, at present most of the significant knowledge in these disciplines, including the psychology of change and learning, is found outside the aid and development sector, most notably in the academic and consulting communities supporting the corporate world. At the same time, some NGOs have begun to do interesting and informative work on alternative approaches to development. For example, the work of the Community Development Resource Association (CDRA) in South Africa on M&E as organisational learning opportunities (Dlamini, 2006), and on action and horizontal learning processes (Reeler, 2005). Appendix A gives a brief description of some relevant models and theories.

It would not be appropriate for everyone to use just one theory or approach because different sector, thematic or technical perspectives require different capacity and change concepts in their CD assessment, analysis and planning. The important point is that everyone needs to understand the necessity of working with appropriate theories of capacity and change in order to produce relevant and helpful assessments. The aid effectiveness agenda offers an opportunity to develop a consensus about how to move the practice of CD towards approaches that are more effective because they are grounded in relevant theories.

## 2.4 Taking a learning perspective in assessment processes

Taking a "learning perspective" in assessments can help to identify contextual constraints to learning and change, and whether or not learning practices would be able to contribute anything to achieving sustainable change. Assessments need to consider learning factors at both the overall macro level and within the specific local context. Key questions include:

- Macro level
    - Is the background environment currently conducive to learning?
    - What enabling factors will support or constrain learning and change? For example, power dynamics, resource availability, or gender issues.
    - What types and sources of learning are valued in this culture and context?
    - What are the blocks to learning in this culture and context?
    - What are the limits of learning in this culture and context?

- Local context
    - Can the specific capacity need be addressed by a learning practice? If yes:
        - Who needs to learn?
        - What do they need to learn about in order to achieve the desired change?
        - To what higher-level goals would this learning contribute?
        - What systemic factors will support or constrain learning?
        - What has happened/is currently happening that contributes to learning?

A learning perspective does not provide all the answers, but if used appropriately with other analytical tools, it can help to broaden perspectives, clarify the focus and prevent resources being wasted through inappropriate initiatives.

## 2.5 Assessment tools

As noted above, a lot of CD needs assessments are currently undertaken by external experts, most of whom are chosen for their relevant technical expertise and understandably they tend to focus specifically on their area of expertise. This often means that other important factors in the broader context are not addressed and the technical matters, while important, are only one part of the picture. This is one of the reasons why assessments should be conducted by those who work and live in the systems under consideration. It is also important to make a shift from piecemeal activities serving particular projects to more systemic assessments. These changes would first of all help country stakeholders to understand their systems better and make contextual decisions, as well as influence development partners to co-ordinate their interventions. Facilitated self-assessments accurately articulate a much broader range of factors relevant to any proposed CD process. Though a caution needs to be added that in some circumstances participants may feel constrained, for various reasons, from describing things as they really are, and the process should have elements that mitigate this potential problem by triangulating data. Shifting towards systemic self-assessment does not imply the exclusion of technical experts, only that they need to take a different role.

There are many different tools available to help assess the “big picture” factors, some of which are given in Box 2.1 below. Sources for these and other tools are listed in Appendix B.

***Box 2.1. Some helpful assessment tools***

The *EC Toolkit for Capacity Development* (EC, 2009) recognises that all organisations have both functional and political dimensions and it is necessary to assess both. It offers several tools to support strategic-level decision making and planning, and for helping to draw attention to questions such as:

- What symptoms and root causes explain the present capacity situation in sector organisations, and what does that mean for the options for CD?
- What is the effective demand for CD and change, and is it bigger than the resistance to and cost of change?
- What local capacity is available to manage a CD process?
- How can local stakeholders design an output-focused CD process?
- How can external development partners support CD?

The political economy, stakeholder analysis and change management assessment tools in the EC Toolkit are particularly relevant for analysing the enabling environment.

The United Nations Development Programme (UNDP) has developed a *Capacity Assessment Framework* (UNDP, 2008b), which has three dimensions for a systemic approach to understanding the breadth and depth of factors relevant to CD:

- *Points of entry*: the enabling environment, the organisational and the individual
- *Core issues*: institutional arrangements, leadership, knowledge and accountability
- *Functional and technical capacities*: engage stakeholders, assess a situation and define a vision and mandate, formulate policies and strategies, budget, manage and implement, and evaluate

This framework focuses primarily on the environmental and organisational levels, and is designed to be adaptable to local circumstances and needs.

As noted above, gender is frequently overlooked in assessments. Some institutes have worked to address this problem by developing "gender audit" tools, which can be stand-alone or part of broader assessment exercises. For example the International Labour Organization (ILO) has produced a *Participatory Gender Audit Manual* (ILO, 2007), which can be adapted for use at institutional, programme or project levels. A pilot gender audit was done for DFID in Malawi (Moser, 2005), likewise a report on the comprehensive gender audit conducted for the "One UN" initiative in Viet Nam gives detailed information about the process and tools used (UN Viet Nam, 2009).

PESTLE analysis (which stands for political, economic, sociological, technological, legal, and environmental) is a well-known assessment tool from the business world. The PESTLE analysis is effectively an audit of an organisation's context, which can guide decision making and highlight factors that will be positively or negatively influential on CD processes. It is considered to be most effective when used as a self-assessment tool.

The use of assessment tools needs to be approached with caution. Some are very complex and can be both difficult to work with and produce a lot of irrelevant information. Understanding the "big picture" may contribute very little to understanding how to tackle a particular challenge in a specific part of the system. Those selecting the tools need to have an appropriate combination of contextual and technical knowledge and understand the strengths and limitations of the different tools in order to choose the right one, or maybe the right component of a tool, to meet the need. The point of doing assessments is not to know everything about everything, but to arrive at an appropriate level of contextual understanding relevant to the sector, organisation or initiative under consideration in order to get started.

# 3. Design

***Design at a glance***

Many factors need to be taken into consideration when designing processes to support learning and change. An essential first step is the specification of learning goals linked to broader CD agenda and priorities. It is important to distinguish the difference between long-term learning goals and component parts that can be achieved more quickly. Some types of capacity needs involve too many variables for learning goals to be specified as concrete and pre-defined outcomes, and so different types of formulation are needed, whereas for training activities it can relevant to set objectives and indicators to ensure that they are results oriented. Integration of M&E needs to start with the first steps of design.

Design is a series of decisions about scope and methods, and the quality of the decisions will be related directly to the quality of information available to the decision makers and to their understanding of appropriate learning theories. It would be very unusual for any learning need to be answered by one learning practice alone. Most commonly learning and capacity needs are best addressed by bringing together a selection of different modalities over time. Selecting multiple methods to use together to achieve the "best fit" can be a very effective way of maximising the strengths, and mitigating the challenges, of each component in the selection. Many of the practices described below are linked or overlap and some can be considered cross cutting, but all can have a clear and specific role to play in particular circumstances. A well formulated training programme has four key stages: defining training needs; designing and planning training; providing for the training; and, evaluating the outcome of training.

Current design practices are very deeply ingrained in institutional cultures. Changing approaches will mean that service providers who assume that every problem can be solved by training will need to let go of that assumption.

## 3.1 Introduction

Having assessed the capacity needs, the next step is to design the CD approach. Many factors need to be considered when designing processes to support learning and change. The contextual analysis, as discussed in the preceding section, should have identified those factors that might enable or inhibit successful implementation of training and learning practices. These factors may range from practical matters such as the availability of resources and other support mechanisms, to important cross cutting issues such as gender, power relations and the political economy for change. It is extremely unlikely that any analysis would show a situation in which there were many helpful opportunities and no constraints. The task of those designing CD processes is therefore to assess, in conjunction with key local actors, how to maximise opportunities and minimise or overcome constraints. This is far from easy in complex situations and it may be necessary to experiment with pilot approaches and activities in order to find the most effective way forward. Everything that follows about design and implementation should be read keeping that fact in mind.

## 3.2 Formulating goals and objectives

Establishing goals should be an essential first step in any systematic planning process. A number of evaluation studies have noted that the failure to specify any desired results at the start makes it impossible to measure and monitor the effectiveness of learning practices and the contribution they are making overall. In the RBM approach to training and learning practices the specification of goals, objectives and indicators is fundamental to good practice. However, the complexity perspective holds that it is not possible to predict or control the outcome of any intervention. Some types of capacity needs involve too many variables, including the different cultural and contextual interpretations that participants might bring to the process, for concrete learning goals and objectives to be specified at the outset. Addressing this complexity the *Berlin Statement* notes that a valid long-term goal could be something like raised awareness or improved consensus that does not assume that the outcomes of genuine learning practices can be predicted. Learning and change of this nature generally requires a process orientation, working with strategic conceptions of capacity rather than traditional project cycle based formulation of goals and objectives. Yet even within a broad goal there are likely to be some knowledge and technical skill needs that can be achieved relatively quickly and these might appropriately be addressed through an RBM approach to training. The International Development Research Centre **(**IDRC) Outcome Mapping (see Appendix 4) approach can help with decisions about what can be achieved through different processes. Good design therefore includes an appropriate mix of long- and short-term perspectives that address both the overall goal and achieving any short-term results that contribute to the goal.

Goals and objectives should be formulated for all aspects of the capacity issues under consideration. There is a need to move the focus "from individual skills to organisational and institutional learning needs" (OECD, 2009; WBI, 2009). Too frequently it is assumed that activities targeting individuals will automatically contribute to higher-level objectives, which is not necessarily the case (Capacity Collective, 2008). Much more attention needs to be paid to the integration of CD variables across all levels, for example:

- individual-level variables (motivation, existing capacity levels, specific job-training needs);
- organisation-level variables (internal reform policies, restructuring, senior management commitment); and
- environment-level variables (national policies, public sector investments, incentive structures) (UNDP, 2006).

Even when the focus needs to be on individuals, training and learning practices should be framed as contributions to the organisational, sector and environmental level outcomes being sought.

There are few situations where the full and specific contribution that learning might make to a CD goal will be simple but this should not prevent some learning goals being put in place, as long as it is recognised that the results of a learning process cannot be predicted. Regular review and revision of the goals may be called for as the process unfolds. Such reviews can be very helpful for monitoring if done in a spirit of learning and flexibility. M&E of the outcomes and impact needs to be considered right from the first stage of design (see below).

## 3.3 Design decisions

Design is a series of decisions, and the quality of those decisions will be directly related to the quality of the information the decision makers have about both the specific target group and the background context. As well as knowing the learning needs of the target group and how these will contribute to higher-level goals, designers also need to take into account existing learning and

change processes – such as previous or current training – that any new initiative will need to align with and support.

The decisions to be made in the design of learning practices fall into two main areas, namely:

1. the scope of the learning that is needed; and
2. the methods by which it can be achieved.

Various models can be used to identify the appropriate scope for learning activities, for example the ECDPM and UNDP models described in Appendix B. The methods to be used can also be specified for application at individual, group and organisational levels. The EC Toolkit (EC, 2009) has some helpful guidance, based on an "Open Systems" approach, on working with organisations through their functional and political dimensions, and the internal and external elements of each.

***Box 3.1. The relevance of adult education theory***

**Adult education theory** should be taken into account in the design of interventions, namely:

> The content of learning may be technical (about how to do a particular task); or it may be social, cultural and political (about how people relate to each other in a particular situation, or about what their actual core values are, or about who has power and how they use it). … As people live and work they continually learn. Most of this learning is unplanned, and it is often tacit; but it is very powerful. … But social life requires learning, and a range of roles, from manager to activist, involve the facilitation of learning. (Foley, 2001)

Designers need to be aware of some cautions before they start work. The first is that too often approaches are decontextualised and apolitical, based on the assumption that if the approach is "right" the outcome will be positive, regardless of contextual or political factors. In reality, positive outcomes can only be assured by more nuanced perspectives which take the context into account, especially issues of knowledge and power (Capacity Collective, 2008). Second is that according to the EC Toolkit, it is not helpful to use gap analysis as the sole basis for design because political factors may prevent gap filling from being effective (EC, 2009). Third, despite growing evidence that it is more effective to work through relationships that support joint reflection and learning, the continuing tendency is to approach all needs from technical perspectives. Technical skills are rarely enough on their own; to be effective they need to be supported by communication skills, a conceptual grasp of learning, reflexivity, leadership and a strong process orientation (Capacity Collective, 2008). Finally, "scale-up" can create problems, because it can never be guaranteed that practices that proved effective for one time and set of circumstances are automatically going to be effective at other times and in other circumstances. Both the assessment and design processes therefore need to recognise that the design will not start with a blank canvas; in most cases there will already be many things happening in work settings that should be further developed, or incorporated into new initiatives. Good design recognises and builds on what exists and mobilises people to support activities by making relevant connections.

## 3.4 Tools

The *Berlin Statement* summarised the need to expand the definition of training to go "beyond the classroom to include means such as e-Learning, mentoring, coaching, and secondments, peer exchanges and experience-based learning methods" (Berlin Statement, 2008). Those seeking to change CD practices will need to understand the learning theories that can help to inform design decisions. Appendix C describes some of the best-known theories, while Table 3.1 at the end of this

section gives a brief overview of a number of learning practices that can be used to facilitate and support learning.

Many of the practices in the table are linked or overlap. However, all have a clear and specific role to play in particular circumstances and some can be both cross cutting and focused. It would be very unusual for any learning or capacity need to be fully met by a single learning practice. Most are best addressed by bringing together a "best fit" selection of different methods over time. Such an approach can be a very effective way of maximising the strengths and mitigating the challenges of each practice. In some circumstances such a selection could be called "blended learning", but, as noted in the table, blended learning usually includes an e-learning element which is not necessarily relevant or available in many development contexts. It can be helpful to develop a framework to guide systematic compilation of elements into a coherent whole in situations where the combined array of needs and choices of response might appear to be overwhelming.

As with the use of assessment tools, tools for learning practices should be used with caution. No tool can provide "the answer" to a problem, it can only be what the name suggests – a device to be used as a means of achieving something. Like all tools, they must be used appropriately and skilfully if they are to be helpful. They must be seen as one part of bigger facilitation processes, not the means to an end in and of themselves.

## 3.5 Good practice for training

If it is determined that training is indeed the right method, whether on its own or as part of a selection of interventions, then the training given should adhere to the highest possible standards. A good starting point for understanding quality in training is the International Organization for Standardization (ISO) *Quality Management – Guidelines for Training* (ISO, 1999). According to these standards, a well-formulated training programme has four key stages: defining training needs, designing and planning training, providing for the training, and evaluating the outcome of training. Monitoring should be integral to both the delivery and follow-up stages, in addition to any longitudinal evaluation study undertaken to assess outcomes or impact.

The Independent Evaluation Group (IEG) evaluated the World Bank's training and found that design was of critical importance to successful training. Within design, "targeting of training content was found to be the most important training design factor driving training success. For training to be well targeted, organisational and institutional capacity gaps need to be correctly diagnosed, specific training needs must be assessed, and participants should be selected in a strategic manner" (IEG, 2008). The IEG evaluation team identified the three key factors that are essential for successful training: good pedagogy, adequate support for transferring learning to the workplace, and adequate targeting of training to organisational needs. All of these can and should be addressed in the design stage.

The next section, "Implementation", deals with the related subjects of relevance and translation, transfer of learning, and M&E.

### *Table 3.1. Learning practice approaches, tools and techniques*

| DESCRIPTION | LEVEL AND APPLICATIONS | STRENGTHS | CHALLENGES | Additional Information |
|---|---|---|---|---|
| **Blended learning:** Blended learning is the combination of different training and learning technologies, activities and events. It most usually combines a mixture of e-learning and interactive human contact. | **Individuals and groups:** For any learning need that has a mixture of theory and practice; for processes where large numbers of people in different locations need to learn the same things. | The blend selected can be problem-focused or person-focused; enables quality assessment of e-learning processes; enables rapid roll-out to large groups; can be very cost effective (depending on development costs). | It needs skilful design and management to ensure the right balance between the e- and person components of the blend. Requires a high level of compatible technology and study skills as prerequisites. Development costs can be high. The e-learning element is often not suitable in many development contexts. | http://en.wikipedia.org/wiki/Blended_learning |
| **Coaching and mentoring:** Coaching is generally focused on workplace challenges and issues and will be time bounded. Mentoring is generally a long-term process of supporting an individual's career and personal development. Both are tailored and contextual. | **Individuals and groups:** As part of leadership development programmes; follow-up to training activities; anywhere that managers and professionals could benefit from focused guidance. | Very focused way to support learning and performance improvement; can be offered by national personnel. | Ideally coaching and mentoring need to be separated from line management structures; coaches and mentors need to have specific skills. | www.cipd.co.uk/subjects/lrnanddev/coachmntor/?area=hs |
| **Communication:** Processes that connect groups and surface their collective knowledge and wisdom, enhancing and supporting learning and change within those groups. Considered by some to be a cross-cutting element of all other processes, and by others to be a component of knowledge management. Some specific communication methods are the World Café, Open Space Technology and Appreciative Inquiry. | **Groups, organisations and sectors:** For working on issues that have a defined stakeholder group whose knowledge and wisdom can contribute to identification and solution of problems within their circumstances; best used for challenges that do not have technical solutions. | Brings to the surface the implicit knowledge and wisdom embedded in groups; ensures that all stakeholders have voice in decisions that concern them; empowers participants; creates ownership and commitment to action. | Can be countercultural and create resistance; requires skilful facilitation; can raise inappropriate expectations. | www.theworldcafe.com<br><br>www.openspaceworld.org<br><br>www.futuresearch.net<br><br>http://appreciativeinquiry.case.edu/ |

| DESCRIPTION | LEVEL AND APPLICATIONS | STRENGTHS | CHALLENGES | Additional Information |
|---|---|---|---|---|
| **Customised training:** Training commissioned for the needs of a specific group. | **Individuals and groups** For specific technical skills for project implementation; for system compliance needs. | Focused on the specific needs of participants. | Relevance and success depends on the quality of the needs assessment and design processes, which are often inadequate and do not build in appropriate follow up. | http://siteresources.worldbank.org/EXTTRABUICAPDEV/Resources/full_doc.pdf |
| **Degree-level study overseas:** Usually scholarships for graduates to study at masters and doctoral levels at overseas universities. | **Individuals** For young and mid-level professionals; where a sector lacks a pool of personnel with academic level knowledge of its technical needs. | Individual learning which results in positive and quantifiable impacts at both individual and organisational level. | Positions and workload have to be covered during absences; difficulty adapting and applying new knowledge on return to workplace; risk of brain drain. | www.aaionline.org/files/ATLAS_AFGRAD_Generations_of_Quiet_Progress.pdf |
| **Distance learning:** Academic study programmes offered by overseas universities for participants to follow from home. | **Individuals** For people who do not have high-quality tertiary education available locally and whose financial or personal circumstances do not allow them to study overseas | Gives high-level academic opportunities for people who are not able to go overseas; flexible timing. | Students are isolated; requires high level of English and study skills; needs good quality and affordable Internet access; little support for adaptation and application of new learning in the workplace. | www.unisa.ac.za |
| **E-learning:** Technology-supported or web-based learning systems. E-learning can happen across distances and borders or within one organisation and therefore not necessarily at a distance. | **Individuals and groups** For learning needs that have high knowledge or technical components; for working on processes with groups who are geographically distant. | Offers individual and flexible learning opportunities without requiring direct human interaction so good for people who do not have easy access to other learning resources or facilitators; can be very cost effective. | Students are isolated; requires high level of independent study skills and ability in the language of instruction; needs good quality and affordable Internet access; little support for adaptation and application of new learning in the workplace. | www.gc21.de |

| DESCRIPTION | LEVEL AND APPLICATIONS | STRENGTHS | CHALLENGES | Additional Information |
|---|---|---|---|---|
| **Experiential learning:** Generic heading for numerous structured and semi-structured processes which can support individuals to learn from their workplace experiences. Tools and techniques that come under this heading include: action-reflection-learning-planning cycle, action learning sets, action research, critical incident analysis, on-the-job training, work-based learning, work/job shadowing, and whole person learning. | **Individuals and groups** For advisors to build capacity of counterparts and teams; for training follow-up activities; as monitoring tools. | Starts from the participant's own level of experience; grounds learning into workplace practice; works well for those not academically inclined. | Can create resistance because countercultural or does not fit expectations; requires strong facilitation skills; not so good for technical needs. | www.learningfromexperience.com/<br><br>www.learningandteaching.info/index.html<br><br>www.cdra.org.za<br><br>www.bond.org.uk/resources.php/463/action-learning-set<br><br>www.jeanmcniff.com/ar-booklet.asp<br><br>www.eric.ed.gov<br><br>www.cipd.co.uk/subjects/lrnanddev/designdelivery/otjtrain.htm |
| **Exposure:** Exposure visits take people to see what others are doing in work situations similar to their own. Attending conferences and other events provide exposure to new knowledge, ideas and influences within sectors. | **Individuals and groups** For those who will benefit from seeing new or different ideas in action or who would benefit from introduction to new knowledge, ideas and practices. | Makes learning about new ideas more practical and grounded in reality; stimulates the spread of good practice and the fertilisation of innovation. | If it involves international travel exposure can be expensive and not cost effective; clear learning objectives need to be specified at the start, and followed up effectively afterwards if new ideas are to be applied. | www.acetug.org/services/exposure-visits.html |
| **External training courses:** Courses for which the content and curriculum are predefined by the provider, who may be a private company, a training institute, or not-for-profit organisation. | **Individuals** Technical subjects such as accounting, computer and ICT skills; language development; and management. | Relatively inexpensive and readily available. | Cannot be specifically tailored to participant needs; rarely involves pre-testing or follow-up activities; impact is difficult to assess; limited support for participants to apply learning in the workplace. | www.fsu.edu/~elps/ae/download/ade5083/Siriporn_McLean.pdf<br><br>www.nwlink.com/~donclark/hrd/learning/transfer.html |

| DESCRIPTION | LEVEL AND APPLICATIONS | STRENGTHS | CHALLENGES | Additional Information |
|---|---|---|---|---|
| **Knowledge management:** Considered by some to be a cross-cutting issue in CD, it is the process by which organisations generate value from their intellectual and knowledge-based assets by documenting what staff and stakeholders know about the organisation's areas of interest, and then sharing that collected data back to those who need it to enhance their job performance. | **Groups, organisations and sectors** For sectors with rapid advances in knowledge *e.g.* health; sectors that are knowledge based *e.g.* education and training; in multidisciplinary stakeholder processes, such as decentralisation. | Enhances communication and connection within systems to ensure that they are using all the available knowledge assets to best effect. | Can be very complex and time-consuming to implement; requires constant attention and updating; can become overly technical and dependent on data management systems. | www.cio.com/article/40343/Knowledge_Management_Definition_and_Solutions |
| **Leadership development:** Processes designed to enhance the leadership skills of existing and potential leaders within systems. Most effective when training modules are combined with activities such as exposure visits, and coaching or mentoring. | **Individuals and groups** For development of the next generation of leaders; where new challenges are emerging for which no experienced sector leadership yet exists; to help women overcome the glass ceiling that prevents their professional advancement. | Gives emerging leaders the skills and confidence to step into leadership roles. | Requires the background political economy to be such that participants can practice what they learn in order to bring about change in their own performance or within their organisations. | www.leadershipdevelopment.edu.au/Content_Common/pg-effective-theory.seo<br><br>http://managementhelp.org/ldr_dev/ldr_dev.htm |
| **Organisational strengthening:** There are three inter-related disciplines known as organisational development, change management and organisational learning. Working with co-ordinated learning and change techniques to help organisations gain the capacity they need to be effective and fulfil their organisational/sectoral mandates. | **Organisations and sectors** For any organisation or system that does not yet have the capacity to fulfil its mandate or is striving for continual improvement; best used when the development of capacity calls for multiple aspects of the system simultaneously to learn, develop and change. | Works at the level of whole systems and therefore ensures that learning, change and development are simultaneous across the whole organisation or sector. | Very complex, requiring high levels of conceptual and strategic thinking to be transferred to operational realities, and strong facilitation of multiple concurrent interventions; needs an enabling environment. | www.cipd.co.uk/subjects/corpstrtgy/orgdevelmt/orgdev.htm<br><br>http://www.odi.org.uk/resources/details.asp?id=153&title=tools-knowledge-learning-guide-development-humanitarian-organisations<br><br>www.solonline.org/<br><br>www.comminit.com/en/node/201165/36 |

| DESCRIPTION | LEVEL AND APPLICATIONS | STRENGTHS | CHALLENGES | Additional Information |
|---|---|---|---|---|
| **Partnerships and networks:** Mechanisms through which diverse actors with mutual interests come together in order to achieve a common goal. This can include twinning organisations and institutions with similar mandates, and the same or different levels of capacity. | **Organisations and sectors** For sharing knowledge and experience across borders; for developing research capacity. | Provides opportunities for sharing knowledge and experience across borders; offers opportunities for mutual learning. | Can be difficult to co-ordinate and keep functional; power relations can become unbalanced, having a negative impact on opportunities for learning. | http://info.worldbank.org/etools/docs/library/121363/CEbrief-10_Jan05.pdf |

# 4. Implementation

***Implementation at a glance***

Innumerable factors can impact implementation for the better or worse. Before delivery starts it is essential to ensure, through careful assessment and by working with local experts, relevance and adaptability of language, concepts and content to local culture and context. Relevance is also about matching the right participants with the right content and methods, which may be beyond the direct control of the providers and calls for them to work with local decision makers to ensure effective targeting and selection of participants. Taking time to build relationships before and during implementation can be critical to helping people engage with new learning practices and new ways, especially in difficult and challenging change processes. Concepts of delivery need to move from being event focused to incorporate follow-up as a matter of course. Transfer of learning is complex and needs support, and evidence suggests that line managers hold the most significant key to resolving the problems of transfer.

Monitoring and evaluating the impact of training activities is recognised by training professionals worldwide to be a difficult task in any context, because there are always a multitude of variables that influence participants' performance after the training event. The vast majority of monitoring of training takes place at the level of participant satisfaction and learning, and little is done to monitor outcomes or impact. Current thinking is that M&E also need some significant shifts in focus, including ensuring that the formulation of indicators incorporates Southern perspectives and needs as well as those of donors. There is an acknowledged need for research to build on what is already known in order to find ways to monitor and evaluate more effectively, with a particular focus on outcomes and impact at organisational, policy and systems levels.

## 4.1 Introduction

If the design has been done well, then theoretically implementation should be a relatively straightforward process. The reality, of course, is that no matter how well something has been planned, many factors can affect its implementation for the better or worse, especially in complex situations such as post-conflict societies. The need for high quality implementation is arguably equally as important as the need for high quality design because this is the part of the process where interventions affect individuals, organisations and institutions. A lot of good can result from a well facilitated process, but one that is not done well can be damaging. The following sections deal with the key factors that determine the quality of implementation: relevance, delivery and M&E.

Although covered separately in this paper, in practice, design and implementation are not neatly separated steps. Some aspects of design, for example deciding the precise content of a training module, or the detailed focus of a coaching programme, need to be done at the implementation stage. Further, once implementation is under way the design should be under constant review for relevance and effectiveness, and where necessary adapted. If, for example, a mentoring programme falters because the mentors do not engage sufficiently well or become unavailable, then an alternative approach will be needed. Effective M&E facilitates information from such experiences adding to learning about what works in different circumstances and thereby informing future design and implementation. Another issue discussed below is also linked to the design stage in that design needs to take account of adaptability and translation – of concepts as well as language – to make

content relevant and understandable. It is included in this section because this is one of the big challenges of implementation.

## 4.2 Relevance

Before starting to implement any CD intervention, providers need to make sure it is relevant in two ways: materials must be translated and adapted to local needs; methods and content must be appropriately targeted to participants.

### 4.2.1. Translation and adapting language and concepts

Many of the recent documents from across the DTI sector referenced in this paper have recognised the need to adapt material to the local culture and context. This means not only translation of language, but also of concepts. The many good CD and sector resources available in European languages can have drawbacks. Their content may be based on social constructs and theories from developed countries that do not necessarily have meaning or resonance for developing countries. For instance, the work done in recent years on good governance includes a focus on citizenship and social accountability. While these concepts make perfect sense in countries that have long histories of democratic government, they are not fully relevant for all societies. In a country where an individual's primary loyalty is to tribe or clan the notion of national citizenship has little meaning, so attempts to engage the population in social accountability projects need alternative entry points. Similarly, feminist studies are beginning to highlight that women in different cultures are developing their own ideas about what women's empowerment looks like and their application of gender concepts is often significantly different from that of women in Northern countries. It is only through careful assessment of the culture and context, and by working with local experts, that ideas from one culture can be translated and made relevant to another.

Language translation also needs careful consideration. Much of what is written for Northern agencies makes frequent use of complex, sometimes academic, language and terms that do not translate easily into local languages. Some words and phrases in common currency in the development sector are value laden, and many languages and cultures have no direct equivalent. Significant challenges can arise when attempts are made to translate terms such as "civil society", "good governance" and the like for use in CD processes. It is only by working with local experts that these challenges can be overcome. In the past, service providers, most notably the DTI, have each individually undertaken some or all of these translations for their own work in different countries, without referring to what others may have already done in the same sector. The result is that partners can find themselves having to deal with a confusing array of translations and interpretations of concepts from different agencies. This is one very practical area in which the DTI could begin to put into practice the call in the *Berlin Statement* for collaboration and harmonisation.

### 4.2.2. Targeting the right participants

The second major area of relevance, noted in the Design section above, is targeting the right participants with the right content and methods. This is so vital that it warrants restating the IEG finding that "targeting of training content was found to be the most important training design factor driving training success'" (IEG, 2008). They found that targeting required the strategic selection of the right participants. Adult education theory also holds that one of the key factors in motivating adults to learn is the relevance of the content to their work (see Box 3.1). Training courses and learning programmes that focus on theoretical content will not be as effective as those that address specific needs in the participants' workplace. This means incorporating the use of case studies and personal experiences into the learning process. In order to be more effective, external providers need to spend much more time learning about the participants' culture and specific workplace

context. Clearly this has resource implications as it calls for providers to spend more time on preparation, and they need to do it without placing a burden on the participants, but the likelihood is that ultimately the increased relevance and quality would prove to be more cost-effective in terms of final impact.

Selection of participants is often beyond the direct control of the providers. In order to make activities relevant local decision makers, providers and donors need to work together more effectively to discuss the targeting and selection of participants. In many situations, unhelpful practices are embedded and local decision makers can be part of the problem. For example, perverse incentives such as the desire to attend events because of the *per diem* (expenses reimbursements) are not easy challenges to overcome. Until such issues are dealt with they will continue to prevent the right people being selected. Ultimately this problem will only be solved when organisations have full ownership of their CD process combined with the ability to ensure that the incentives are for getting the right people engaged in the right activities.

## 4.3 Delivery

In this context, "delivery" means the stage where participants and providers work together directly. This may be in a training course, mentoring meetings, online tutorials, arrangement of exposure visits, or any other form of contact in which the provider is facilitating a learning experience for the participant (Table 3.1).

A newly emerging understanding among the DTI, as noted in the *Berlin Statement*, is about the need for standards for training cycle management. (The same need exists for other learning practices.) The issues that such standards might cover, for example assessment, design and delivery, are dealt with in many recent reports, as well as in this paper. A number of interrelated factors are relevant to the quality and success of delivery, but the DTI have yet to come together to agree on what standards they believe should be in place for various learning methods and technologies.

The belief that traditional training is the answer to all capacity needs is very strongly held by many in partner countries, as in donor organisations and this erroneous expectation can block change. As a result of their educational experiences and cultural beliefs many people only value "learning" that is delivered through traditional teacher-centred methodologies and they therefore think that participation in CD activities means attending events conducted in similar style. It can be extremely difficult to overcome such deeply embedded expectations, at both organisational and individual levels. Participants who only have experience of teacher-centred education often find it hard to engage with new methods where they have to become active and reflective learners. The result is that many remain stuck in the comfort of old ways and reject new methods such as mentoring, coaching for on the job learning, twinning, embedding the action learning cycle into routine work practices, and action research. Thus one of the first tasks to be undertaken is addressing participants' expectations and preparing them for new experiences. The facilitators of different learning tools may first need to apply a range of initiatives and incentives in order to persuade participants, and their organisations, that new ways of learning will be to everyone's benefit.

Taking time to build relationships before and during implementation can be critical for helping people change to new ways. For example, when evaluating its own CD practices, the IDRC found that trust is the foundation for the facilitation of change and that trust can only be built over time through mutually respectful relationships (IDRC, 2009). Good relationships can be instrumental in persuading people to stay with the learning process when implementation becomes difficult, which is often the case in complex change scenarios. This is true regardless of whether the providers are

from an international or a local DTI or service provider, and whether they are involved in a one-off short-term event, or are available and committed to supporting a long-term process. The quality of the relationship between the participants and providers becomes more important in direct relation to the difficulty of the challenges.

The second important part of delivery is how to transfer learning acquired in one setting, such as a training course, into practical usage in another setting, most usually the workplace. This is receiving growing attention because in the past so much training has failed to achieve the desired impact. Many institutions are now using the "transfer of learning"[8] model as the basis for evaluation of the effectiveness of training. Effective transfer can only be assured when follow-up to learning activities is a matter of course. Transferring learning from a training course to the workplace is a complex process, requiring support, and there is much evidence to suggest that line managers hold the most significant key to resolving the problems of transfer. Providers should ensure that managers are engaged in the process and have the capacity to support participants. The removal or reduction of barriers to implementation in the workplace is as important as any other factor, and this can happen before, during or after the learning event or process. Follow-up is most effective when done as a process rather than as a one-off event at a particular point in time after the participant returns to the workplace. These issues demonstrate another feature of good delivery, which is to establish roles and responsibilities clearly from the start, including those of the participants' managers. Managers, as noted above, need to be committed to giving active support to ensure that participants have the opportunities and resources they need to implement their learning when they return to the workplace. Managers who can see how the learning is likely to contribute to their own goals are more likely to engage with this than those who cannot see any obvious benefits.

## 4.4 Monitoring and evaluation

Monitoring and evaluating the outcomes and impact of training activities is recognised by training professionals worldwide to be a notoriously difficult task in any context because there are so many variables that can influence participants' performance after the training activities. However, because so much money is spent on training each year in the development sector, more work is being done to overcome the challenges of M&E in order to reach some understanding of what works and what represents a good investment of resources. What follows about the M&E of training can equally be applied to many of the other learning practices described in this paper.

Probably the best known framework for assessing training, and arguably the industry standard, is the Kirkpatrick "Four Levels" model:[9]

- Level 1 **Reaction**: the immediate impressions of the participants and trainers, what they thought and felt about the training.
- Level 2 **Learning**: the developments in knowledge, skills and attitudes resulting from the training.

[8] '*Transfer of learning*' and '*transfer of training*' are terms being used in corporate and government training sectors for the theory and practice of learning acquired in one setting, such as a training course, being integrated into practical usage in another setting, most usually the workplace. A very informative discussion of this subject is available from Human Resources and Social Development Canada: "Transfer of Learning: Planning Workplace Education Programs" available at http://www.nald.ca/library/research/nls/inpub/transfer/cover.htm

[9] Donald Kirkpatrick was Professor Emeritus at the University of Wisconsin. He first published his ideas about evaluation of training in 1959, in a series of articles in the Journal of American Society of Training Directors. He has subsequently written other significant works about training and evaluation. A brief summary of the model is available at http://www.kirkpatrickpartners.com/OurPhilosophy/tabid/66/Default.aspx

- Level 3 **Behaviour**: the extent of behaviour and capability improvement, and demonstrated application of the new learning within the work setting.
- Level 4 **Results**: the impact on work results; the return on the training investment.

The vast majority of training monitoring takes place at level one, and to a lesser extent level two, because these are both the easiest and least resource-intensive to monitor. However, these levels provide very limited information on the overall effectiveness of training and whether or not it was a good use of resources. Assessing if learning has helped change behaviour in the workplace, and any impact this might have produced, requires long-term follow-up at levels three and four. Such assessments can be difficult, time-consuming and expensive, and these factors tend to prevent them from being done. The need for greater accountability and more effective use of resources is creating the demand for methodologies that can assess these higher levels of change.

The shifts in thinking about training and learning practices for CD call for new thinking about M&E, and three important points of agreement are emerging. First there is the need to adopt evaluation methods that go beyond outputs (which are often a primary reporting requirement), to participatory methodologies that involve all stakeholders in reflective learning. Service providers and research institutes could make an important contribution to practice by identifying ways to ensure that learning from M&E processes is used to improve both implementation and ongoing development of theory and design. The DTI have recognised that they need to do more to share information on methodologies and the results of training evaluations.

Second is the need to ensure that the formulation of indicators incorporates Southern perspectives and needs, as well as those of donors. Third is the need to understand the links between learning and change across whole organisations or systems. Even if implementation is only taking place in one part of an organisation or sector, constant monitoring in other parts of the system will help explore the following questions: What, if any, change is happening as a result of the learning? Is it the expected change? If not, how is the difference to be understood? What cultural and contextual factors are relevant? What adjustments are necessary to move forward?

Many different tools and techniques can be used for M&E (some are listed in Appendix D). Among the most effective are some of the experiential learning methodologies (briefly described in Table 3.1), because they involve the ongoing review of everyday experiences to distil learning and apply it back to the work. Whichever methodology is chosen there are two important factors that should be remembered:

- M&E needs to be built into the learning practice from the first step of the design stage.
- M&E should continue throughout the delivery period and beyond.

In summary, the emerging consensus is that there is an urgent need for research to build on what is already known in order to find more effective ways to monitor and evaluate. Impact evaluation can be both complex and very expensive and is not, therefore, universally practical. Approaches like the IDRC Outcome Mapping (Appendix D), while still complex, make it easier to provide valuable information on the results of inputs and activities at organisational, policy and systems levels.

# 5. Moving forward: Unfinished business

"Systems thinking" tells us that when a system is stuck it may be because the "solution" is in fact contributing to the maintenance of the problem. As Einstein famously said: "We cannot solve our problems with the same thinking we used when we created them".[10] Much of the practice of CD, especially the emphasis on training, does indeed appear to be a stuck system caught in repetitive patterns of thinking. As current practices are deeply entrenched and cannot be changed easily or quickly, achieving strategic change in the practice of CD will require dialogue and action at all levels of engagement within the global aid and development systems.

The emerging consensus summarised in this paper represents the first movement towards change. Fortunately some donors, Southern partners, DTI and other service providers are beginning to engage with the challenges of moving beyond training towards learning practices for sustainable CD. The important statements from the *Berlin Retreat* and *Washington Forum* have provided an overview of what needs to happen. **The challenge now is finding the best ways to make those statements a reality – moving from the *what* to the *how*.** There are a number of important actions that need to be taken by the key groups involved in CD, *i.e.* donors, Southern partners, DTI and other service providers, CD support decision makers at country level, and organisations promoting global dialogue and learning.

## 5.1 Actions for donors

Within the current development framework donors continue to hold and exercise a great deal of power, sometimes deliberately, and at other times inadvertently, as the issue of regressive learning illustrates (see section 1.2 *An emerging consensus: From training to learning*). The power of the donors means that they need to take a leading role in bringing about change, as discussed in section 1.3.1 *The donors' role in leading change*. Required changes also include the need to:

- Encourage partner countries to take ownership of their own CD processes – including deciding when and how to address learning needs – in line with their own strategies and priorities;
- Move beyond highly bureaucratic RBM, project cycle based activities and timeframes towards approaches to CD that embrace, respect and reflect complexity and emergence. This will include taking a much longer-term perspective on CD;
- Change incentive structures to stop rewarding the use of unhelpful practices and start rewarding work that is grounded in current understanding of effectiveness;
- Ensure that both their own staff and contracted service providers have a sufficient depth of knowledge about local culture and context to work effectively;
- Understand how their presence and power can influence many CD processes, not always for the good, and find ways to mitigate that influence.

## 5.2 Actions for Southern Partners

Partner countries receiving support need to take ownership of their own CD processes, which includes the need to:

- Decide when and how to address learning needs in line with their own strategies and priorities;
- Call on donors and DTI to provide sufficient information to enable them to diversify their options for choosing their source of support;

[10] http://www.einstein-quotes.com/ThinkingKnowledge.html

- Join efforts with donors and DTI to identify and promote good practices, including mobilizing Southern expertise and experience to support learning processes through South-South co-operation.

## 5.3 Actions for DTI and other service providers

Big Northern-based DTI are very influential in the sector; if they can change their way of doing things then they can play an important role in facilitating the necessary changes to training and learning for CD. Their role should increasingly become one of facilitation, supporting Southern providers as they provide support to others. In addition to the changes discussed in section 1.3.2, the DTI and other service providers need to:

- Change their internal policies and approaches more appropriately to reflect current understanding of capacity and how to support its development. For some this will mean substantial changes to their operational mandates and the types of skills that are used and valued within their organisations;
- Integrate their work further with broader development interventions that address the non-human aspects of capacity (policies, resources, etc.). This calls for, among other things, much more active engagement in partnerships with other development agents at all levels of operation;
- Improve the quality of implementation to reflect the current understanding of good practice and better integration with broader CD goals and processes.

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## 5.4 Actions for CD support decision makers at the country level

Decisions about appropriate responses to identified CD needs are made by multi-stakeholder groups such as sector working groups or thematic task forces. Everyone, from national stakeholders, through beneficiaries, donors, DTI and service providers, needs to get past the assumption that training is the answer to all CD needs. Learning support is one option for CD and training is one method that complements others. In order to make informed choices about what kind of support is needed these stakeholder groups have the responsibility to:

- Seek the information needed to make good choices about the combination of methods likely to build sustainable capacity at individual, organisational and enabling environment levels;
- Be concerned about the quality and relevance of assessments. Make sure DTI have properly analysed the local context and that there is an enabling environment and potential for learning. This includes being aware of power relations and interests on all sides and agreeing rules and safeguards for how to deal with these;
- Plan the process strategically but maintain flexibility for implementation. Support for learning practices needs to reflect the complexity of the context and the process, and be flexible enough to adapt to changing circumstances and emerging learning;
- Put in place, right from the start, independent, evidence-based monitoring of CD efforts to ensure that lessons learned can improve practice in learning support and also enhance trust and ownership.

## 5.5 Actions for organisations promoting global dialogue and learning

Many agencies and institutes are concerned not only with the implementation of CD but also with the global dialogue to support change at the highest levels of policy and strategy. For these groups there is now a need to:

- Make the consensus on CD more global, incorporating appropriate focus on Southern, demand side perspectives;
- Find ways to resolve the tensions between the prevalent results management paradigm and complexity thinking so that both can be used to best effect and in complementary ways;
- Develop implementation standards and an accreditation system so that service providers can be held accountable for the quality of their work;
- Work with both Southern demand and supply sides to learn more about effectiveness in local contexts – research "what works?" including how to scale up local, small-scale, effective CD innovations to meet the need for large-scale interventions. Promote active learning to change practice in the area of meaningful learning support for CD;
- Promote key messages through a range of platforms that bring different constituencies together.

Some donors and institutions already have their own change initiatives underway, for example the EC's *Backbone Strategy* and *Toolkit* (EC, 2009), the ADB's implementation of the findings from its *Special Evaluation Study* (ADB, 2008) on its CD practices, and the WBI's work on a *Results Framework for Capacity Development* (Otoo et al, 2009)(Appendix D). As importantly, they have committed to collaborate and learn from each other and begin the complex process of trying to harmonise and align approaches. One key example was the *Learning Link*[11] event hosted by the ILO's International Training Centre in Turin in December 2009. Everyone needs to pay attention to what emerges from these initiatives so that learning is shared as widely as possible to inform the development of relevant and responsive practices.

It is striking how many of these messages are similar to the messages set out at the end of *The Challenge of Capacity Development: Working towards Good Practice* (OECD, 2006), which reflects the fact that, while understanding about the issues has deepened in the interim, little has actually been done. **The time has come to move from words to action.**

[11] For more information see http://link.itcilo.org

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# Appendix A: Some relevant CD models and theories

*European Centre for Development Policy Management* - **Five core capacities model.** An important contribution to understanding dimensions of capacity is the work presented in the *ECDPM Capacity, Change and Performance Study Report* (Baser *et al*, 2008). This study concluded that capacity is composed of five core capabilities: to commit and engage; to carry out functions or tasks; to relate and attract resources and support; to adapt and self-renew; and to balance coherence and diversity; each of which comprises different components. The model is, at this time, too new to have been used much as the framework for assessments or the design of CD processes. However, some agencies are now working with the model as the basis for evaluating the impact of their CD programmes and its use as a basis for assessment is likely to increase.

**Complexity theory.** Change theories should also be taken into account when doing assessments and analysis. The vast majority of development projects are based on LogFrame analysis and planning, which is fundamentally rooted in a cause and effect theory of change. However, new thinking emerging in recent years highlights that reality is much more complex and messy to be reduced to simple cause and effect. For example complexity theory identifies three levels of problems:[12]

- **Messes:** systems or issues that do not have a well-defined form or structure. There is often no clear understanding of the problem faced in such systems because they involve multiple economic, technological, ethical and political issues that need to be dealt with simultaneously, and as a whole.
- **Problems:** systems that do have a form or structure in that their dimensions and variables are known. The interaction of dimensions may also be understood, even if only partially. In such systems, there is no single clear-cut way of doing things – there are many alternative solutions, depending on the constraints faced.
- **Puzzles:** well-defined and well-structured problems for which specific solutions can be identified.

Even at this basic level of explanation complexity analysis highlights the need for responses to be designed in ways that reflect the level and nature of the problem.

**Living systems theory.** Another theory that highlights the complexities of change is living systems theory, which holds that all systems are self organising and exist in a dynamic state of constant change in order to maintain stasis. This theory offers a helpful perspective on change because it suggests that a system will only take notice and respond if it recognises that external information or disturbances are important to its continued stasis and well being. If that criterion is met, then the system will internalise what it needs of the new information and change itself as it perceives necessary. However, if the external information and disturbances do not meet its criterion, the system will ignore them. This theory highlights the need truly to understand how and why a system works before attempting to intervene and change it.

**United Nations Development Programme (UNDP) capacity framework.** The UNDP has a framework for capacity that is specific to the development sector and has been in use for a number of years. This framework defines four dimensions of capacity: institutions and incentives, leadership, knowledge and accountability. This has been applied for a number of years and is described in *Supporting Capacity Development: The UNDP Approach* (UNDP 2008).

[12] Adapted from Ramalingam, B., H. Jones, T. Reba and J. Young (2008), "Exploring the Science of Complexity: Ideas and Implications for Development and Humanitarian Efforts", *ODI Working Paper* 285, 2nd Ed., Overseas Development Institute, London.

# Appendix B: Sources of assessment tools

**Change management assessment**
The European Commission Toolkit for Capacity Development has a good change management assessment tool available at http://ec.europa.eu/development/icenter/repository/backbone_strategy_toolkit_technical_cooperation_en.pdf.
The change-management website also has a range of assessment tools: www.change-management-toolbook.com/

**Gender audit**
An manual by the International Labour Organization (ILO, 2007) is available at www.ilo.org/dyn/gender/docs/RES/536/F932374742/web%20gender%20manual.pdf
A report by the ODI for the UK's Department for International Development (DFID)(Moser, 2005) includes methodology and is available at www.odi.org.uk/resources/download/1195.pdf
A UN Vietnam report (UN Viet Nam, 2009), which also includes methodology, is available at www.un.org.vn/ index.php?option=com_docman&task=doc_details&Itemid=211&gid=83&lang=en

**Institutional assessment**
The EC has published *Institutional Assessment and Capacity Development: Why, What, and How*? (EC, 2005) Available at www.pedz.uni-mannheim.de/daten/edz-h/az/05/concept_paper_final_051006_en.pdf

**PESTLE analysis**
PESTLE stands for political, economic, sociological, technological, legal, environmental. A brief and useful guide to the PESTLE analysis tool is available from the Chartered Institute of Personnel and Development (CIPD) at www.cipd.co.uk/subjects/corpstrtgy/general/pestle-analysis.htm?IsSrchRes=1

**Political Economy and Stakeholder Analysis** is described in the EC Toolkit, available at http://ec.europa.eu/development/icenter/repository/backbone_strategy_toolkit_technical_cooperation_en.pdf

**Power Cube**
The three dimensions of the cube are: places (local, national, global); spaces (closed/uninvited, invited, claimed/created); and power (visible, hidden, invisible). See, for example, John Gaventa (2005) *Reflections on the Uses of the 'Power Cube': Approach for Analyzing the Spaces, Places and Dynamics of Civil Society Participation and Engagement* CFP evaluation series 2003-2006: no 4, Mfp Breed Netwerk, available at www.partos.nl/uploaded_files/13-CSP-Gaventa-paper.pdf

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## Appendix C: Some important learning theories

Just as assessments need to be grounded in appropriate theories and concepts, so does the design of learning practices. Adult education and the corporate training world have many resources on which development agencies can draw to deepen their understanding of learning. Rather than use one single theory in preference to another, those designing learning practices should be aware of the theories that are relevant to their task and draw on them accordingly. The theories listed below might be of particular value.

**Bloom's Taxonomy** was originally created in and for an academic context (starting in 1948), when Benjamin Bloom chaired a committee of US educational psychologists. Their aim was to develop a system of learning behaviour categories to assist in the design and assessment of educational learning. This theory specifies that there are three types of learning: *cognitive*, mental skills (knowledge); *affective*, growth in feelings or emotional areas (attitude); and, *psychomotor*, manual or physical skills (skills). Training programmes have traditionally been designed to focus on *cognitive* and or *psychomotor* skills, but increasingly it is being understood that *affective* capacity can be equally, if not more, important for facilitating change. A good summary is available at www.learningandteaching.info/learning/**bloom**tax.htm.

**Kolb's experiential learning cycle** was originally inspired by the work of psychologist Kurt Lewin. In Kolb's theory, *concrete experience* is followed by *reflective observation*, which leads to *abstract conceptualization* and finally to *active experimentation*, after which the cycle starts again. This theory is the basis for many different approaches to learning and the tools that go with them, and has been developed by others to incorporate a typology of learning styles. A very comprehensive write up of Kolb's original theory and how it has been developed by others (most notably by Honey and Munford – see below) to incorporate a typology of learning styles, is available at Atherton, JS. (2009) *Learning and Teaching; Experiential Learning* [On-line] UK, available at www.learningandteaching.info/learning/experience.htm.

**Honey and Mumford's learning styles** builds on Kolb's work and identifies that individuals have four primary learning styles, which correlate with the experiential learning cycle as follows: *activists (concrete experience); reflector (reflective observation); theorist ( abstract conceptualisation); and, pragmatist (active experimentation)*. This is probably the best known of the learning styles theories, and is helpful for understanding that a learning process cannot be one dimensional if it is to be effective in facilitating learning for all participants. Honey and Mumford's work is summarised at www.engsc.ac.uk/er/theory/learningstyles.asp.

**Multiple intelligences theory**, developed by Professor Howard Gardner. The seven intelligences originally defined in this theory are: *linguistic* - words and language; *logical-mathematical* - logic and numbers; *musical* - music, sound, rhythm; *bodily-kinaesthetic* - body movement control; *spatial-visual* - images and space; *interpersonal* - other people's feelings; and *intrapersonal* - self-awareness. This theory can be particularly valuable when designing learning practices for people in cultures or circumstances for which an intellectual, rational-cognitive approach would be inappropriate. Various resources are available on Professor Gardner's website: www.howardgardner.com/MI/mi.html

# Appendix D: Resources for results frameworks

## Some resources for developing results frameworks with related indicators

***Capacity.Org* Issue 29: Monitoring and Evaluation**
This issue of the journal *Capacity.org* offers an overview of the different methods and techniques that add new dimensions to results-based M&E. For example, some allow for the observation of changes over a longer period of time, and offer ways to make such changes more tangible. Other innovative forms of M&E can themselves contribute to capacity building. In this issue, practitioners who have developed such methods describe and explain how they have used them. Available at www.capacity.org/en/journal/archives/monitoring_and_evaluation

**International Development Research Centre (IDRC): Evaluation website**
IDRC recognises that evaluation makes an essential contribution to learning and acquiring knowledge about effective approaches to research for development. This webpage provides access to publications, programmes, methodologies, tools and links related to IDRCs work on evaluation**.** Available at www.idrc.ca/en/ev-26266-201-1-DO_TOPIC.html

**IDRC: Outcome mapping**
Various documents about IDCR's Outcome Mapping model are available at www.idrc.ca/en/ev-26586-201-1-DO_TOPIC.html

**UNDP**
*Resource Catalogue on Measuring Capacities: An Illustrative Guide to Benchmarks and Indicators* (2005). Capacity Development Group, Bureau for Development Policy - United Nations Development Programme available at
http://lencd.com/data/docs/249-Resource%20Catalogue%20on%20Measuring%20Capacities-An%20Illustrativ.pdf

**The World Bank Institute (WBI)** has a new results framework for capacity development, available at http://siteresources.worldbank.org/EXTCDRC/Resources/CDRF_Paper.pdf?resourceurlname=CDRF_Paper.pdf

**WBI Independent Evaluation Group website** has a section with materials on M&E of training, available at www.worldbank.org/ieg/training/monitoring.html