



**German Technical
Cooperation**

**CAPACITY BUILDING NEEDS
ASSESSMENT FOR LOCAL
GOVERNMENTS AND
LEGISLATURES**



**CLEAN
Urban Project**

Implementation Report

1 November 1999 - 31 October 2000

31 October 2000

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List of Contents

<i>Introduction</i>	1
<i>1. Background of the Study</i>	2
<i>a) Background</i>	2
<i>b) Objectives, Expected Outputs, Reporting Requirements</i>	3
<i>3. Implementation of the study (November 1999 - October 2000)</i>	6
<i>a) Implementation schedule</i>	6
<i>b) Staff situation</i>	9
<i>c) Main activities of the team in the reporting period</i>	9
<i>d) Activities regarding the individual themes</i>	13
<i>e) Outputs produced until the end of October</i>	17
<i>f) Constraint factors</i>	17
<i>Annex 1 - Concept Paper July 1999</i>	20
<i>Annex 2 - Terms of Reference of the Study Team (October 1999)</i>	33
<i>Annex 3 - Kerangka Acuan Tim Konsultan(Desember 1999)</i>	47
<i>Annex 4 List of consultants</i>	59
<i>Annex 5 - Generic Schedule of a Field Assessment</i>	60
<i>Annex 6 Plan of Operations (November 1999 - October 2000)</i>	66
<i>Annex 7 - Short Bibliography on Capacity Building</i>	69

The Implementation Report focuses on the operational issues of implementing the study *Capacity Building Needs Assessment for Local Government and Legislatures* that was implemented between November 1999 and October 2000. Findings and recommendations regarding the respective major themes are covered by thematic reports (Report Nos. FR/1 – FR/8). The Final Report (Capacity Building for Local Good Governance – A Framework for Government Action and Donor Support) (Report No. WD07) summarises the main issues in the themes and formulates a framework for capacity building initiatives. The tools and instruments used for the assessment can be found in the Technical Reports (TR02).

This Implementation Report consists of three main parts:

- Chapter 1 provides background information on the study, its objectives and the expected outputs
- Chapter 2 summarises the main activities of the study team, the constraints experienced in implementing the study and the reporting outputs achieved
- Additional background material is provided in the Annexes. Table 4 provides a complete list of the reports and working papers produced by the study team until 31 October 2000.

Jakarta, 31 October 2000

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1. Background of the Study

a) Background

In May 1999, the Indonesian parliament (DPR) approved Law No. 22 (1999) on Regional Governance and Law No. 25 (1999) on the Fiscal Balance between the Central Government and the Regions. Both laws are integral part of the process of political reform initiated with the change of governments in 1998 and 1999. They are key building blocks in the Government of Indonesia's strategy to depart from the highly centralist system of administration developed during the New Order period, and to put into place a more decentralised system of governance and public service delivery. The move towards real decentralisation was partly forced by the often ineffective and less responsive patterns of centralised service delivery having little regard to local needs and resources. However, the decentralisation policy was also influenced by the increasing political demands for local participation and the demands of the regions to have a voice in the major policy decisions taken at the centre.

In view of the expected need to increase capacities of local governments, in June 1999 the Deputy Chairman for Foreign Cooperation of the national planning agency BAPPENAS approached the German Embassy and suggested that resources from the bilateral "Study and Expert Funds" were made available to finance an assessment of local government capacity building needs¹. Following consultations between the Indonesian and German side, GTZ (*Deutsche Gesellschaft für Technische Zusammenarbeit GmbH*) drafted Terms of Reference for such a study². These ToR were discussed and developed further both with the GOI agency in charge of coordinating the implementation of the two laws³, and with other bilateral and multilateral donors active in this field. In November 1999 GTZ was tasked by the German Federal Ministry for Economic Cooperation and Development (BMZ) to conduct the study based on these Terms of Reference⁴ and started to mobilise a team of consultants. At the same time, the USAID-funded CLEAN Urban Project agreed to assume responsibility for four of the nine major themes of the study⁵, and the CIDA funded *Development Planning Assistance* (DPA) project agreed to cooperate with the study team in the development of a database focusing on decentralisation related donor activities in Indonesia. In March 2000, the consulting team of the ADB-funded TA 3178-INO ("Capacity Building to Support Decentralised Administrative Systems") decided to cover the theme B7 (Organisational Development) of the study, and subsequently joined the field assessments of the study team in June and July.

The initial implementation period of the study was estimated to be three months (November 1999 - January 2000). However, for reasons which will be explained

¹ BAPPENAS letter dated 26 June 1999 (No. 387/D.VII/6/1999).

² See Annex 1 for the original concept paper for the study.

³ At that time (September 1999), under KEPPRES No. 67/1999 the former Coordinating Ministry for Development Supervision and Administrative Reform (MenkoWasbangPAN) had been tasked to coordinate the decentralisation process.

⁴ The ToR for the study team are attached as Annex 2 (in English) and 3 (in Bahasa Indonesia).

⁵ B3 (Urban Services, Health and Education), B5 (Regional Finance), B6 (Local Economic Development) and B9 (Interregional Cooperation).

below, the study could not be finalised before August 2000, with major reports being released until the end of October 2000.

b) Objectives, Expected Outputs, Reporting Requirements

In a donor coordination meeting on governance chaired by BAPPENAS on 17 September 1999, the purpose of the study was presented as follows:

- “ To produce a comprehensive study which assesses the needs of local government for capacity building
- The study results should serve as a reference framework to prepare program and projects proposals related to capacity building for local government, for both the Indonesian government and the donor community”.

From the very beginning, the focus of the study was envisaged to be cross-sectoral rather than sectoral. Although citizen satisfaction with sectoral service delivery will ultimately determine the success or failure of the decentralisation policy, cross-cutting management issues were generally seen as the weakest areas of local governance and as the areas where the departure from old practices and procedures will be felt most severe by the local decision-makers and officials. Underlying the conceptualising of the study approach was therefore the assumption that capacity-building initiatives addressing these cross-cutting issues are more important than sectoral initiatives.

Another key feature of the study concept is the inclusion of the local parliaments as future key stakeholder for developing local policies and supervising/ controlling the local executive. It was also determined that the focus of the study would be on the *kabupaten/kota* level, with only limited coverage of the provincial level and no coverage of the *kecamatan* or *desa* level.

Nine areas were identified as the core themes of the study

- Role and Functions of the Regional Parliaments (B1)
- Supervisory Mechanisms between Levels of Government (B2)
- Public Service Delivery at the Local Level (B3)⁶
- Local Development Planning (B4)
- Regional Finance (B5)
- Regional Economic Development and Employment Promotion (B6)
- Organisational Development of Local Governments (B7)
- Human Resource Management (B8)
- Inter-Regional Cooperation (B9).

Expected outputs from the study were formulated as follows:

- “A comprehensive analysis concerning the new roles and functions of government agencies at central, provincial and district/city level

⁶ In the context of the study, four sectors were selected: urban services, health, education, and agriculture.

- An assessment and analysis how common and shared such perception of new public administration roles and functions are
- An inventory and review of capacity building needs assessment studies carried out by government agencies and donor agencies
- Study of other aspects of capacity building which have not been addressed yet on previous studies
- Basic outlines for proposals (in specific areas) on strengthening human resources capacity, strengthening institutional capacity, facilitating the implementation of supportive policies
- Acceptance of the results by the GOI study committee and agreement on follow up
- Documentation of the needs assessment methods and processes used during the study so that the approach can be replicated by other parties.”

It was understood that the study team itself would not engage in actual capacity building activities. The task of the study team was limited to analyse and document existing capacity gaps in the thematic areas mentioned, to identify suitable GOI and donor-funded activities intending to fill these gaps, and to highlight the areas and issues where additional capacity needs assessment and capacity building activities (both from the GOI side and from the donor community) are required.

The study was also not intended to assess the capacity-building needs of specific local governments. The study team used field assessments as a method to gather data and information from the local level in order to formulate general recommendations regarding needed capacity-building initiatives. However, for initiatives targeting specific locations more detailed needs assessments would have to be carried out in order to design and plan appropriate capacity-building initiatives.

As can be seen from the original ToR⁷, the study team was expected to conduct the following activities:

1. “ Analyse existing regulations, documents, policy papers, and carry out in-depth interviews with senior decision-makers in order to formulate a comprehensive assessment of new framework regulations (Law Nos. 22 and 25/1999) and of the resulting functional and institutional changes for central and regional government institutions
2. Based on discussions and interviews with key administrators and civil servants, and based on the analysis of available documents, assess the level of knowledge, common understanding and consensus building within the administrative system regarding the new framework conditions and the resulting functional and institutional changes for central and regional government institutions
3. Recommend strategies and follow-up activities to increase the level of common understanding and consensus-building within the administrative system regarding the new framework conditions and the resulting functional and institutional changes for central and regional government institutions

⁷ See ToR in Annex 2 and 3.

4. Inventorise and collect, from government and donor organisations, relevant studies, data and assessments related to the thematic areas outlined in B., and summarise them.
5. Review existing proposals and strategies for strengthening the capacities of regional governments in the thematic areas outlined in B. as can be derived from such existing studies and assessment
6. Identify those thematic areas which are not yet covered by existing or ongoing studies and appraisals, and undertake own studies and research activities to assess capacity-building needs in accordance with the available resources and time frame
7. Inventorise those thematic areas where further capacity-building needs assessments should be carried out by the government in conjunction with donor organisations
8. Formulate proposals and suggestions for capacity-building activities in such areas where needs assessments have been carried out by the consulting team or are available from other parties
9. Initiate, within the framework provided by the participation in the Study Committee of all relevant central government institutions, consultation processes on suggested follow-up actions (for instance in the form of thematic round-table discussions) and involve representatives from the regions and from civil society associations
10. Prepare reports as indicated in F.”

The reporting outputs expected from the study team included the following:

1. an **Implementation Report**, outlining the schedule of activities and problems encountered during implementation
2. a **Series of Technical Reports** covering the following subjects:
 - *Summary of existing or planned capacity-building needs assessment studies* from other donor organisations and government institutions, the report should provide details about respective institutions, time frame, objective of the study, results and recommendations
 - *Methods, Tools and Instruments* for assessing capacity-building needs which were used in the various studies and the experiences made with these methods, the report should specifically assess the methods and instruments used in the context of the Indonesian public administration
 - *Assessment of orientation/socialisation needs* in the administration for the new laws and regulations
3. a **Series of Thematic Reports** covering the key thematic areas outlined above (B1-B9) and the new regional governance framework, including an assessment of already available implementation regulations
4. a **Final Report** summarising the implementation and the results of the study and formulating the recommendations to the GOI for follow-up activities.

3. Implementation of the study (November 1999 - October 2000)

When the consulting team commenced work in November 1999, the formation of the new government in late October 1999 had changed substantially the institutional set-up for implementing the study. MenkoWasbangPAN had become again MENPAN (State Ministry for Administrative Reform) and had lost its coordinating function for the implementation of the two laws. A new State Ministry for Regional Autonomy (MenegOD) had been created, and MenkoWasbangPAN handed over all decentralisation-related activities to the new MenegOD. Key GOI officials from BAPPENAS and MenkoWasbangPAN with whom the study concept had been discussed were transferred to new positions. Contrary to the expectations in Summer 1999, crucial implementing regulations⁸ were not drafted by the time the study team commenced work. Because of the need to establish and/or to consolidate the central government agencies relevant for decentralisation (especially the former MenegOD), there was a prolonged delay in the process of implementing Laws No. 22 and No. 25 (1999) which had been set in motion by MenkoWasbangPAN based on its authority under the KEPPRES No. 67/1999. The implementation process of the study has to be seen against this background.

In this chapter, the report focuses on the following issues:

- the implementation schedule until October 2000
- the staffing situation of the consulting team
- the main activities carried out between November 1999 and October 2000
- outputs produced until the end of October 2000
- the constraints factors experienced by the team.

a) Implementation schedule

The implementation of the study can be divided into three phases:

- *Phase I: November 1999 - March 2000*

Main features of this phase were:

- Mobilisation of the core consulting team and recruitment of additional consultants
- Establishment of a work plan, internal clarification of conceptual issues (understanding of “capacity”, design of an assessment approach)
- Design of the format for the foreign assistance data base to be set up

⁸ Above all the Government Regulation outlining the distribution of functions between levels of government, and the Government Regulations dealing with fiscal transfers and financial management.

- Formulation of Normative Frameworks for each of the study themes and initial discussion of the Normative Framework with the relevant GOI agencies
 - Establishment of working relations with GOI agencies relevant for the individual themes
 - Conducting of interviews, discussions and data collection on the central government level
 - Networking and coordination with relevant donor activities
 - Finalisation of the assessment tools to be used in the field assessment
 - Conducting of one pilot field assessment (Kota Bengkulu)
 - Formulation of Interim Reports for each of the themes
 - Formulation of other reports
- *Phase II (Apri/May 2000)*

Main features of the this phase were

- Socialisation of the assessment approach with GOI and donor agencies
 - Establishment of formal GOI coordination arrangements
 - Dissemination of interim results
- *Phase III (June – October 2000)*
 - Conducting of four more field assessments
 - Completion of data base and analysis of data
 - Finalisation of thematic reports
 - Finalisation of assessment documentation
 - Dissemination of study results.

Compared to the original schedule, the implementation period has been extended considerably. There are three main reasons for the longer than expected implementation period:

- *Changing GOI institutional arrangements*

With the formation of the new government in October 1999, the responsibility for coordinating the implementation of Law No. 22 and Law No. 25 (1999) was transferred to the newly-established State Ministry for Regional Autonomy (MenegOD). MenegOD also assumed the role as the main GOI counterpart agency for the study. However, it was not before end of January that senior staff in MenegOD had been appointed and channels of communication could be established to discuss the study's concept and implementation strategy. Even then, the main attention of MenegOD was on preparing the main implementing regulations for both laws. The absence of a budget allocation for the new ministry in the 1999/2000 budget furthermore limited the operational capacity of the organisation. Without the approval from MenegOD, the study team could not conduct the field assessments deemed essential for the study, and it was not before the end of February 2000 that agreement was reached to conduct the first field

assessment in Kota Bengkulu. Only on 22 February 2000 the study team was able to present for the first time the concept and the status of the study to a wider audience involving MenegOD staff and invited participants from related central government agencies (like Badan Diklat DDN, BAPPENAS, BKN, Ministry of Finance). Operational involvement of MenegOD staff in the study, however, remained below expectation. By the time the study team had finished its main round of field assessments and was finalising the reports (August 2000), MenegOD was abolished again and responsibility for regional autonomy was transferred to the Ministry of Home Affairs and Regional Autonomy.

- *Delay in establishing a formal cooperation framework for the study:*
From the very beginning it was intended to involve all major central government stakeholders⁹ in the implementation of the study. The setting up of a formal coordination body however was delayed until MenegOD's staffing situation had become clear. While the absence of a formal coordination body did not prevent the study team to establish close working relationships with a number of these agencies, it did become a constraint when related government agencies had to make allocation decisions for their external assistance. Only in April 2000, Presidential Decree No. 52/2000 established an inter-governmental coordination team (*Tim Koordinasi*) with four working groups attached, one of which was tasked with capacity-building issues. It subsequently became the government forum to which the study team reported its findings. With the cabinet reshuffle in August 2000, this *Tim Koordinasi* and its working groups ceased to exist.

During the implementation period, four meetings took place with MeneOD officials and officials from other GOI agencies to present the concept and preliminary findings of the study:

- on 22 February the study team presented concept and approach of the study to MenegOD officials and senior officials from relevant GOI agencies
 - on 28 March the study team presented interim findings (based on its discussion with central government officials and on the first field assessment in Kota Bengkulu) to MenegOD officials and invitees from related GOI agencies
 - on 25 July the study team presented findings from the other four field assessments to member of the *PokJa IV* of the *Tim Koordinasi*
 - on 9 August the study team discussed again with member of the *PokJa IV* its findings and priorities for capacity-building initiatives.
- *Underestimation of complexity of tasks at hand*

The original estimation to have nine themes covered in three months was clearly an underestimation of the complexity of an assessment process which not only included the implementation of the assessment but also the conceptualisation of the process and the development of the tools and instruments to be used. The absence of a clear legal framework defining local governments' responsibilities (and

⁹ Ministry of Home Affairs (DDN), Ministry of Finance, Civil Service Agency (BKN), National Institute for Public Administration (LAN), National Planning Agency (BAPPENAS), State Ministry for Administrative Reform (MENPAN).

therefore the target of the capacity needs) did not help either. The original resource and time allocation did furthermore not account properly for the complexity of organising field assessments.

b) Staff situation

Consultants working as part of the study team came from both the GTZ and the CLEAN Urban project. While the GTZ consultants had been contracted solely for the purpose of the study and worked for it full-time, most of the CLEAN Urban members of the team worked for the study as part of their long-term assignment with the CLEAN Urban project, i.e. they focused only part-time on the study (see Annexes 4 and 6 for details).

For a number of reasons some of the original themes of the study could not be covered:

- No suitable consultant could be identified for the theme B2 (Supervisory Mechanisms). The consultant team of the ADB-TA 3177-INO covered the theme in the form of two discussion groups in Makassar and Malang, however this was not regarded as sufficient for producing a full-fledged report.
- The theme B6 (Local Economic Development) could not be covered any more after February 2000 because the CLEAN Urban consultant in charge of this theme was assigned to a different position and was not any more available for the study.
- The theme B9 (Interregional Cooperation) was to be covered by an external CLEAN Urban consultant, however as of January 2000 CLEAN Urban decided not to extend the consultant's contract.

In March 2000, agreement was reached with the ADB-TA 3177-INO (Capacity Building to Support Decentralised Administrative System) that the ADB team of consultants would cover the theme B7 (Organisational Development). This was to be done on the basis of the initial Normative Framework, however because of the different ToR of the ADB-TA, the assessment process and the local governments included in the assessment would be partly different. In addition, the National Institute for Public Administration (*Lembaga Administrasi Negara – LAN*) was contracted to conduct a one-day workshop on organisational change management as part of each field assessment.

c) Main activities of the team in the reporting period

The activities of the study team between November 1999 and October 2000 can be grouped into the following categories:

- *Developing the conceptual framework for the assessment*

In November and December 1999, the team invested considerable time in discussing and developing a conceptual framework for the assessment approach. This discussion focused on developing a joint understanding of “capacity” and how to assess capacity, and on the development of an assessment approach which includes the local and the national level. The team researched the experience of

similar capacity needs assessments elsewhere and collected numerous papers, manuals and guidelines regarding capacity assessments and capacity building.¹⁰

- *Developing an assessment process for the field visits*

From the very beginning field assessments were regarded as a building block for the whole assessment approach. The team developed a generic format for a week-long assessment on the local level involving a mixture of tools and instruments, targeting local government officials, members and leaders of the DPRD, officials from the provincial level, and representatives of the local community and non-governmental organisations. The generic format for such a field assessment (reflecting the experience from the Bengkulu City field assessment) can be found in Annex 5. The team members designed questionnaires, developed formats for workshops and discussion group sessions, and prepared the input materials to be used for such events. These tools and instruments are compiled in Technical Reports with guidelines for using them in similar assessment activities.

- *Formulation of “Normative Frameworks”*

The team formulated so-called “Normative Frameworks” for each of the theme.¹¹ Starting from general principles and their operational implications for the different levels of government, these frameworks identify key target groups in the administrative structure and their assumed capacity needs. The team used these frameworks for discussing capacity issues with central and local government officials.

- *Meeting/Interviewing central government officials*

In each of the themes, members of the study team organised meetings and interviews with relevant central government officials. Such meetings intended to capture the perception of these government officials regarding capacity building needs of local governments. The “Normative Frameworks” proved to be valuable inputs for these discussions.

- *Conducting field assessments*

The study team conducted field assessments in five local governments throughout Indonesia: in Kota Bengkulu (6-10 March), in Kota Makassar (19-24 June), in Kabupaten Bima (26 June – 4 July), in Kota Malang (10-15 July) and in Kabupaten Kutai (17-21 July). The following criteria were used for selecting these locations:

- inclusion of both urban and rural local governments in the sample
- coverage of the main regions of Indonesia
- existence of working relationships of GTZ and/or CLEAN Urban with the respective local governments
- accessibility.

¹⁰ See the bibliography (Annex 7) for a list of papers and documents.

¹¹ Gabe Ferrazzi, short-term consultant for the Support for Decentralisation Measures (SfDM) project provided valuable input for the development of these normative frameworks.

The field assessment in Kota Bengkulu covered only the themes B1 (Role and Function of the DPRD), B3 (Agricultural Services), B4 (Local Development Planning), and B8 (Human Resources Management). In all other local governments, the full set of study themes was covered with the exception of agriculture, which was covered again only in Kabupaten Kutai. The team from the ADB-TA 3177-INO participated in the field assessments in Kota Makassar, Kota Malang and Kabupaten Kutai.

- *Networking with donor agencies/GOI agencies*

Once the team had started work, it became increasingly a point of call for other projects and donor agencies, which either have ongoing programmes dealing with local government capacity, or which intend to develop such programmes realising that decentralisation and regional autonomy will have a major impact on donor-GOI cooperation. Twice the team had the opportunity to discuss the study concept and preliminary findings with donors.¹² Key links with other donor activities include the Community and Local Government Support: Sector Development Programme (ADB) and its three related technical assistance activities, the ADB-funded Capacity Building in Urban Infrastructure Management (CBUIM) programme, the JICA funded capacity building needs assessment for local BAPPEDAs in Eastern Indonesia, the Development Planning Assistance (DPA) project (CIDA), the GTZ supported PMPW project (*Program Magister Pembangunan Wilayah*), the BUILD programme of UNDP which includes a component on DPRD training needs, and the DFID-funded DELIVERI in South Sulawesi. The range of contacts includes furthermore the Friedrich Naumann Foundation, Konrad Adenauer Foundation, the Ford Foundation, the University of Southern California, the Japan Bank for International Cooperation (JIBC), the International City Council Manager Association (ICMA), and GTZ projects in the field of regional economic development and small-scale enterprise promotion.

- *Participation in seminars, workshops, events*

Throughout the implementation period, team members participated in a number of workshops and seminars organised by other parties which were seen as relevant for the assessment. The intention was to gather information and the discuss and share approaches and perceptions with related activities. Table 2 provides details of such events where team members participated.

¹² The concept of the study was presented in a donor coordination meeting chaired by the State Minister for Regional Autonomy on 21 January 2000. Preliminary findings were presented at a donor meeting chaired by the Chairman of BAPPENAS on 11 July 2000.

Table 2 Participation of study team members in workshops and seminars

Date	Location/ Organiser	Topic
12 November 1999	Jakarta, BAPPENAS	Presentation of data base format on TA activities on the local level developed by DPA (CIDA)
21 November 1999	Makassar/ PMPW-GTZ	Workshop to present and discuss results from a Needs Assessment Study for Planner
26 - 27 November 1999	Bandung/ ITB	Seminar Nasional Plano 40
26 - 27 January 2000	Jakarta/ UNDP and LP3ES	Workshop to discuss training needs for DPRD members
18 February 2000	Jakarta/ DitJen BANGDA, DDN	Workshop to discuss concepts for Pola Dasar Process
20 - 21 March 2000	Jakarta/IMF-IBRD-LPEM FEUI	Seminar on Fiscal Decentralisation in Indonesia
29 March 2000	Jakarta/ JICA and BAPPENAS	Seminar on Regional Development under Decentralisation
30 March 2000	Jakarta/ PMPW-GTZ	Planning Education Needs Assessment Study
17 May 2000	Jakarta/ USAID/ University of Southern California	Politic Dialogue Workshop (in the context of preparing a university partnership programme Capacity Building for Decentralisation in Indonesia – CBDI)
24 May 2000	Surabaya/ DDN, Ministry of Finance	Seminar on PDPP
26/27 July 2000	Jakarta/ IBRD, BPN	Seminar on Land Policy
27/28 July 2000	Jakarta/ ADB, DDN	Interim Workshop of ADB-TA 3177-INO
14 – 16 September 2000	Bogor/ BAPPENAS	Workshop on <i>Rencana Strategis</i>
21 September 2000	Jakarta/ UNDP, LP3ES	Workshop on local policy arrangements
13 October 2000	Jakarta/ DDN, MOF, BAPPENAS	Pre-CGI Meeting on Decentralisation
21 October 2000	Jakarta/ BANGDA (DDN)	Regional Planning Seminar

- *Organising discussion groups*

In several cases, the team organised small discussion groups with central government officials to present and discuss the normative framework and mutual perceptions regarding capacity building needs on central and local level. Following the field assessments, findings and recommendations were presented and discussed with relevant central government agencies. Table 3 gives a summary of such events.

- *Date base*

The CIDA-BAPPENAS *Development Planning Assistance* (DPA) project had agreed to modify a previously developed database on technical assistance at the local government level according to the needs of the study. In November 1999, donor agencies were contacted with the request to provide information on activities in support of decentralization, and in the following weeks and months, data gathering was carried out with support of DPA project staff. As of June 2000, the database contains information of more than 130 ongoing, committed, not yet

committed or completed projects. The report “Overview of Donor Supported Activities on Decentralisation and Local Government Capacity Strengthening” (Report TR01) gives an analysis of the database and the available data.

Table 3 Discussion Groups organised in the context of the study

Date	Location	Participants	Topic
21 February	Jakarta	Officials from BAPPENAS, DDN, DepKimbangwil, MenegOD, MenegPU	Normative Framework for Urban Services
15 March	Jakarta	Senior officials from BAPPENAS	Normative Framework for Local Development Planning
20 March	Jakarta	Senior officials from DitJen BANGDA, DDN	Normative Framework for Local Development Planning
25 July	Jakarta	Senior officials from BANGDA/DDN	Findings/ Recommendations for Local Development Planning
18 August	Jakarta	Senior officials from BAPPNAS	Findings/ Recommendations for Local Development Planning
31 August	Jakarta	Officials from LAN, BKN, MENPAN, Sector ministries	Findings/ Recommendations for Human Resources Management

- *Information exchange*

In order to inform other agencies, individuals and projects interested in the study, the team established an electronic Weekly Status Report. In addition, since mid-March information about the study, its working documents and reports are made available from the SfDM website (www.gtzsfdm.or.id/capacity/cb_index.htm).

d) Activities regarding the individual themes

- *B1 - Role and Function of the DPRD*

In the period before the June 7, 1999 election, various international donor agencies have been involved in providing electoral support to Indonesia. In the period after the election, the focus of such support changed to strengthening the capacities of the newly elected parliaments. When the study started in November 1999, several initiatives were already well underway. The team met with representatives from UNDP and LP3ES, BUILD (UNDP), and took part in some events organized by both organisations. Meetings also took place with the representatives of the German Friedrich Naumann Foundation (FNS) (Rainer Adam) and Konrad Adenauer Foundation (KAS) (Wolfgang Hruschka).

A Normative Framework was formulated, and tools developed for the assessment process. The assessment process involved not only a one-day meeting with the DPRD, but also discussions with staff from the DPRD secretariats and meetings with local NGOs and local community groups to find out about their perceptions of the role of the DPRD.

- *B2 - Supervisory Mechanisms*

Since no consultant could be identified and recruited for this field, the theme was not covered extensively. A Normative Framework was formulated, and a brief analysis was made regarding stipulations in Law No. 22 and Law No. 25 of 1999 dealing with supervisory relations between the central and the regional governments. In Bengkulu, Makassar and Malang small discussion groups took place, however no substantial report was produced because of time and resource constraints.

- *B3 - Public Services*

- a) Urban Services

To understand the perspectives of the many central government agencies concerned with the provision of urban services and gauge the impact of the numerous Government Regulations and guidelines now being drafted, a number of interviews were conducted with central government officials and related project personnel. These were primarily with DepKimbangwil (Biro Hukum and Biro Kepegawaian), Meneg PU, DitJen PUD/DDN and MenegOD.

The sub-team working on Urban Services also initiated a compilation and review of the extensive materials available on previous capacity-building needs assessment and capacity building implementation activities. Based on these essential inputs and review of the draft regulations now available, a Normative Framework for Urban Services was prepared and subsequently reviewed in a workshop with central government officials from DitJen PUD/DDN, DepKimbangwil, MenegOD, BAKD/DepKeu, the Capacity-Building in Urban Infrastructure Management (CBUIM) Project, and other concerned projects. Following the finalization of the Normative Framework, questionnaires were prepared and tailored for field survey work. The field assessments included discussions and meetings with local government officials, site visits, and meetings with provincial officials.

- b) Health and Education

The team held meetings with central government officials from the Ministries of Health and Education. The team also collected and reviewed the numerous studies that have been done both by donors and government, on the impact of decentralization in health and education, as well as studies on the more general reforms needed in the two sectors. Normative Frameworks for both sectors were then prepared and submitted to selected central level government officials for comment. The Normative Frameworks were then used as a basis for questionnaires for the following respondents in the education sector: Dinas Pendidikan; Heads of Primary, Junior, and High School; parents; BP3 (parent-teacher association), teachers association, and NOGs. Similarly, questionnaires were prepared for the following respondents in the health sector: Dinas Kesehatan; general hospitals; and Puskesmas. Field assessments took place in Kabupaten Bima, Kota Malang and Kabupaten Kutai.

c) Agriculture

A staff member of the GTZ supported Kalimantan Upland Farming Project (KUF) was seconded to the study team to carry out the assessment for agricultural services. A Normative Framework was formulated and an assessment approach developed. Because of time constraints, field assessment could take place only in Kota Bengkulu and Kabupaten Kutai.

- *B4 - Local Development Planning*

The area of local development planning, more than most of the other subject areas of the study, will change drastically as a result of the implementation of the new laws. Established patterns and procedures for development planning and planning coordination will have to change, because budget allocation decisions for development programs and projects will largely be made at the local level instead of at central level. Local government budget allocation decisions will also no longer – or, in principle, much less – have to be approved by higher levels.

One factor which makes the assessment of, and preparation for, the ways-of-the-future difficult, is that the ways-of-the-past have not yet been formally discarded. Until now (October 2000), there is no clarity how the central government wants to modify existing but obsolete regulations. The process of organisational restructuring at central government level, and the uncertainty on responsibility and authority which stemmed from it, also resulted in a less than vigorous handling of the issues. The absence of a clear strategy, and the urgency to start introducing changes will likely result in a rather messy transition process.

On the basis of the Normative Framework, the team then proceeded with developing assessment tools (questionnaires, guidance notes for semi-structured interviews), designing workshops to carry out such assessments, and producing visual materials to facilitate and focus discussions. Meetings and discussions involved a wide range of government agencies and contact persons. They included GOI agencies like BAPPENAS and BANGDA/DDN and various donor-assisted activities (e.g. from JICA and USAID). Team members also took part in a number of events related to planning issues organized by other parties (see Table 2).

- *B5 - Local Finance*

The team for regional finance worked actively with the main central government agencies involved in the formulation of central policies and guidelines for local government financial management under decentralization, i.e. DepKeu, DitJen PUMDA/DDN and MenegOD. Extensive information from both these central sources as well as from provincial and local officials was used as the basis for formulation of the Normative Framework for Regional Finance. Following the finalization of the Normative Framework, questionnaires were prepared, and field assessments were carried out in Makassar, Bima, Malang and Kutai.

- *B6 - Regional Economic Development*

Main activities in this field included the development of the Normative Framework as a guideline for capacity assessment activities and for subsequent discussions. Meetings took place with central government agencies (like the former MenegBKPM/BUMN), regional government officials (like the Bupati from Kabupaten Tapanuli Utara, officials from the BKPM DKI Jakarta Office), and GOI and donor projects (like the GOI funded PEMD project, and the GTZ supported project to establish a resource development centre in Central Java). Because the Clean Urban consultant handling this theme assumed a new assignment as of March 2000, no further activities took place for this theme which was also not covered in the five field assessments.

- *B7- Organisational Development*

Initially, no suitable consultant could be recruited for this theme. However, a Normative Framework was formulated, and in March agreement was reached that the ADB-TA 3177-INO would handle the theme. The ADB consultants participated in three field assessments (Makassar, Malang and Kutai), and used additional field work in the context of their TA-ToR to discuss the issue of organisational development with local and provincial officials. Part of the assessment process for this theme was the conduct, in each of the field assessments, of one-day workshops on “Change Management”, using participatory and moderating techniques. For these workshops, moderators from LAN were contracted.

- *B8 - Human Resource Management*

Activities undertaken in the HRM theme included discussions and meetings with central government agencies and departments like BKN, MENPAN, LAN, Departemen Pertanian, Departemen Pendidikan Nasional, Departemen Kimbangwil, Departemen Dalam Negeri and Departemen Kesehatan. Information and analysis of current legislation and regulations on HRM was undertaken (Law No. 43/1999, Law No. 22/1999, Keputusan Kepala BKN 7/2000 on the transfer of central civil servants to local government, previous relevant regulations such as PP 14/1994, PP15/1994 and PP16/1994 on civil service training). A Normative Framework was formulated, and studies and views of other donors (like World Bank and ADB) analysed. The sub-team on HRM developed the assessment approach, and field assessments were carried out in all five local government locations. Where feasible, provincial officials and institutions (like regional BKN offices and DiklatProp) were included in the assessment.

- *B9 - Inter-Regional Cooperation*

This theme was intended to cover two quite distinct types of cooperation; (1) cooperations between neighbouring local governments to provide specific services more effectively and efficiently, and (2) the creation of associations to represent the interests of local governments in the formulation of central policies and to share information and expertise between local governments and/or local government officials. The team conducted interviews with officials involved in facilitating

inter-regional cooperations of both types (DitJen PUMDA/DDN, DitJen BANGDA/DDN, MenegOD) as well as staff of existing associations (e.g. former BKS-AKSI, PERPAMSI). The team also identified and started evaluating a number of proto-types of inter-regional service provision cooperations. These have all provided inputs to the Normative Framework for Inter-Regional Cooperations. However, in the field assessments the theme was not covered any more due to contractual reasons.

e) Outputs produced until the end of October

Since the study team was not expected to carry out capacity building initiatives on its own, the outputs of the study activities consist entirely of various reports, documentations and the data base. Reports and Working documents produced as of 31 October are listed in Table 4. All reports and working documents can be downloaded as pdf-file at the SfDM homepage (www.gtzsfdm.or.id/capacity/cb_index.htm). The following reports are still under review and will be released after 31 October 2000, i.e. after the end of the official implementation period:

- Thematic Report “Public Service: Health”
- Thematic Report “Public Services: Education”
- Thematic Report “Public Services: Agriculture”
- Location Reports (Makassar, Bima, Malang, Kutai).

f) Constraint factors

Factors impeding the swift implementation of the study were as follows:

- *Identification and recruitment of consultants*

In general, identifying and mobilising consultants took longer than expected, and in some cases (B2: Supervisory Mechanisms, B7: Organisational Development) efforts remained unsuccessful. For the human resource management theme, GTZ has contracted two staff members from the Makassar Office of LAN. Again, the recruitment process took much longer than expected, and the two consultants commenced work only in mid-February instead of mid-January as planned. The consultant covering agricultural services was available only for two weeks resulting in a less than optimal coverage of this theme. For the themes B6 (Regional Economic Development) and B9 (Interregional Cooperation) consultants were available only for a limited period of time.

- *Lack of GOI involvement and cooperation*

Because of institutional changes in the government structure (in October 1999 and again in August 2000), conceptualising and implementing the study suffered from a lack of GOI involvement. Working relationships with the former MenegOD could be established only in late January 2000, and until April 2000 the ministry’s involvement was severely limited by a lack of staff and budget. This slowed down the planning for field assessments and hampered the dialogue with the GOI on key strategies of the study. The delay in establishing a formal coordination structure (*PokJa IV/Tim Koordinasi* was established only in April) ensuring the involvement

Table 4 Reports and Working Documents (as of 31 October 2000)

Title	Report No.	Language
Kerangka Normatif (Versi Oktober 2000)	WD01	Bahasa Indonesia
Normative Framework (Version October 2000)	WD02	English
Field Assessment Kota Bengkulu (Documentation) (March 2000)	WD03	English
Implementation Report (November 1999 - March 2000) (March 2000)	WD04	English
Discussion Paper "Decentralisation in Indonesia – The Framework for Local Governance" (May 2000)	WD05	English
Implementation Report (November 1999 – October 2000) (October 2000)	WD06	English
Final Report "Capacity Building for Good Local Governance – A Framework for Government Action and Donor Support" (October 2000)	WD07	English (Bahasa Indonesia version is being prepared)
Thematic Report "Role and Function of the DPRD" (September 2000)	FR/1	English
Thematic Report "Public Service: Urban Services" (August 2000)	FR/3.1	English
Thematic Report "Local Development Planning" (August 2000)	FR/4	English
Thematic Report "Regional Finance" (August 2000)	FR/5	English
Thematic Report "Organizational Development for Regional Governments" (September 2000)	FR/7	English
Thematic Report "Human Resources Management" (August 2000)	FR/8	English/Bahasa Indonesia
Overview on Donor Supported Activities on Decentralisation and Local Government Capacity Strengthening (Database Report) (October 2000)	TR01	English
Capacity Building Needs Assessment - Tools and Instruments (August 2000) <ul style="list-style-type: none"> • Role and Function of Regional Parliaments • Urban Services • Local Development Planning • Regional Finance • Regional Economic Development • Human Resources Management 	TR02	English/Bahasa Indonesia

of key central government stakeholders was likewise an obstacle in maintaining smooth cooperation.

Despite such shortcomings on the overall implementation level, the study team could establish constructive working relationships with the relevant GOI agencies in each theme.

- *Internal coordination efforts*

The structure of the study involving four different agencies and projects (GTZ/SfDM, USAID/CLEAN Urban, CIDA/DPA, ADB-TA 3177-INO) required a considerable effort in coordinating approach and implementation of activities, the more so since all the agencies/projects involved are attached to different counterpart agencies (Home Affairs/MenegOD, Ministry of Finance, BAPPENAS) whose interests had be taken into account.

**AN ASSESSMENT OF LOCAL GOVERNMENT/LEGISLATURE
CAPACITY BUILDING NEEDS
IN THE CONTEXT OF DECENTRALIZATION REFORM**

Terms of Reference for the Study

Prepared by the

Deutsche Gesellschaft für Technische Zusammenarbeit (GTZ) GmbH

July 6, 1999
Jakarta

I. BACKGROUND

A. Local Government/Legislature Reform Context

1. Over the last year, the “transition” government of Indonesia (GOI) has been designing many reforms intended to restore public trust, increase government efficiency, and develop a more sustainable and democratic political system. New laws on elections, the composition of the legislatures (DPR/DPRD) and People’s Consultative Assembly (MPR), and political parties were approved in late 1998. In May 1999, laws were passed by the National Legislature (DPR) relating to regional government. Law 22/1999 replaced Law 5/1974, on regional government, and Law 5/1974 on village government. Law 25/1999 on intergovernmental finance replaced Law 32/1956 and general clauses found in the old Law 5/1974. It is expected that draft laws regarding civil service reforms will also be introduced shortly to the DPR.

2. GTZ, through the Support for Decentralization Measures Project (SfDM), has supported the GOI decentralization efforts since 1992. Some of the SfDM inputs, for example regarding the pattern of guidance and support required from central to regional level, were incorporated in Law 22/1999 on regional government. Other inputs could not be absorbed in the limited time allowed for the drafting process. Although some weaknesses can be found in the law, it nonetheless represents significant improvement in certain respects.

3. The progressive elements of the regional government law include making the executive more accountable to the regional legislature, particularly at the district/city level where the DPRD will elect the Bupati/Walikota and their deputies. The district/city level is to have autonomy that is broad, with bolstered authority (*kewenangan*, or “functions” in other words, though these have yet to be clearly specified) and a larger role over lower levels of government. Kecamatan will be deconcentrated units of the district/city level executive. The district will be expected to play a larger role in supporting village level development. The village population will be able to elect both a council and village head, and fashion these local institutions in accordance with local tradition and needs.

4. Menkowasbangpan is expected to hold the mandate, through a pending Presidential decree, to coordinate the formulation of follow-up regulations to both the regional government and intergovernmental finance laws. For example, a government regulation (PP) is being drafted to identify the authority (*kewenangan*) placed at the central, provincial and district/city levels. Assuming that the follow up regulations will soon be passed, there will be a great need for implementation support and long term capacity building to maximize the impact of the new regional governance “frame conditions”.

5. Over the next few months, local government will need to understand the new framework, the new roles to be played by local actors and the new expectations raised regarding local government (LG) performance. As the new framework is

implemented, LGs will have to learn how to use new procedures, flexibility, and wide discretion in certain fields. The role of legislative members will be particularly crucial, as they seek to better reflect and channel local aspirations. All LG players will need to learn to interact with different actors and to rely increasingly on their own initiative to undertake capacity building efforts. Collective approaches will need to be forged to voice needs and views toward higher levels of government and other groups in the local, national and global contexts. New local alliances and partnerships will be needed in economic development, service delivery and environmental sustainability. Participation, transparency and accountability will be important governance themes at the local level. An attractive working environment in the local civil service will need to be created, including proper incentives to attract talent and commitment.

6. Anticipating the new responsibilities of the LGs, and the challenges faced in realizing the benefits of decentralization, BAPPENAS (through the Deputy for International Cooperation) has requested assistance from the German Government in identifying the requisite LG capacity building. A variety of short and long term efforts will have to be mounted to realize the promise of the new regional autonomy framework.

7. In responding to this request, German Technical Assistance can draw on the substantial experience of GTZ supported projects working in urban/rural/regional development in Indonesia. Additionally, financial means would have to be provided through the Study and Expert Fund to acquire the services of a consultant team to undertake a study of the capacity needs of various types of LGs (provinces, districts/cities, and villages).

B. Study Committee of the GOI

8. There is a strong argument for a continued role of most central level agencies in local governance. The responsibility of these agencies toward local government capacity building needs to be emphasized. Some agencies already play a key role, though their past approaches must be viewed critically. In the spirit of decentralization, these agencies will need to recast themselves and provide the necessary leadership and support (rather than a heavy hand) towards lower level of government. The proposed study provides one needed vehicle for understanding the new roles, and a base for responding in a comprehensive and coherent way. The following agencies can be expected to guide the design and implementation of the study. These agencies are:

<u>Agency</u>	<u>Relevant Unit</u>
Menkowsbangpan/LAN :	Asmenko for Autonomy and others, LAN
Ministry of Home Affairs (MoHA):	PUOD, BANGDA and PMD, Litbang, Diklat
Ministry of Finance, (MoF):	Bureau for Regional Finance Analysis
BAPPENAS:	Deputy V for Regional Development

Central agencies participation at the study stage is essential if these agencies are to play supporting roles in the eventual implementation of the study recommendations. The above agencies will provide a representative to sit on the Study Committee (SC),

which will combine GOI and donor representatives. In view of the pending Presidential decree, a representative from the Coordinating Minister for Development Supervision and State Administrative Reform (Menkowsabangan) will chair the SC (in accordance with Bappenas' formal request for the study to the German Embassy of June 22, 1999). The leadership of this central level SC is crucial. The central level must feel ownership of the study and the results, so that it will feel compelled to act on the findings and provide the needed support to local government. Regional representatives will be invited to be closely involved in the study by participating in key events encompassing problem and need identification, analysis and recommendations. Field work in selected regions is anticipated.

9. The Consultant will be expected to arrange opportunities for the SC to provide general direction and to assess progress. Familiarity with the mandates and information available in these agencies is a must, and the Consultant should negotiate the participation of suitable designated staff in field work and important aspects of analysis and report preparation. The final report, once presented and accepted by the SC will signal the commitment of these agencies toward the concepts and action plans contained in the report.

C. Capacity Building Efforts for Indonesian LGs

10. Capacity building toward local governments is explicitly or otherwise a task of most central level agencies. Some central agencies however have special tasks and delivery institutions, particularly in the area of training. These agencies include:

- i. The National Institute for State Administration (Lembaga Administrasi Negara, LAN): provides obligatory advancement training for all management positions in the civil service, coordinates training efforts for civil servants in other agencies and delivers certain management or planning courses for local government employees, e.g. the "Planning on Regional Development Programmes" (PRDP) and "Project Management" courses which are implemented in cooperation with Deutsche Stiftung für Internationale Entwicklung, DSE (German Foundation for International Development).
- ii. The Ministry of Home Affairs: delivers training through its training division (Badan Diklat Depdagri) and through Regional and Provincial Training Units (Diklatwil/Diklatprop), particularly in planning/management for employees of regional and local government agencies. Through its higher education institutions it provides Public Administration training/education for local government civil servants (Sekolah Tinggi Pemerintahan Dalam Negeri, STPDN; Institut Ilmu Pemerintahan, IIP).
- iii. Sector Departments' Training Units: some departments have in-house capability to train their own as well as regional level staff. Public Works for example, working through its own units or in collaboration with Ministry of Home Affairs, has provided spatial planning courses.

iv. University system: provides courses developed in house (PPN, a planning course), through cooperation with other government agencies (e.g. TMPP; a development management/planning course delivered via five Universities and Bappenas) or with foreign technical assistance (e.g. PMPW, a postgraduate programme in regional planning implemented in cooperation with GTZ and particularly intended to produce district level planners).

11. Other units, such as the environmental study centres or women's study centers in the University system have as part of their mandate the task of building capacity in the relevant government agencies. To date, the training provided by these various players has not been well coordinated, even though this was intended in the 1994 set of government regulations strengthening LAN's hand in this area.

12. Experience indicates that the training of regional civil servants has been insufficient in quantity, often delivered through rather rigid or inappropriate arrangements and methodology, has sometimes been unconnected to the demands and informal realities of the system, and usually has not been based on adequate needs assessments. The implications of these shortcomings are that a more rigorous assessment is now certainly

needed in anticipating new regional roles and structures, and that the assessment and delivery system itself needs to be strengthened to allow this process to continue on its own in a more dynamic and effective manner through the most relevant indigenous institutions.

13. A large number of donor supported projects are presently operating at the LG level and/or are concerned with LG capacity building. Other proposed projects are in the pipeline, e.g. the "Integrated Stakeholder empowerment - Training in Housing and Human Settlement Sector". The GOI would like to coordinate the capacity building effort in the context of the larger demands to be placed on LGs. The capacity building study may set the foundation for more detailed assessments, and will guide project proposals for capacity building efforts.

14. A clear vision for LGs does not yet exist, but the recently passed laws, though vague on some points or imperfectly formulated, do provide some directions. One of the most important shifts relates to the guidance style to be assumed by the centre toward local government. Whereas the old style was unpredictable in intensity, intrusive when applied, and directive in nature, the new approach as laid out in Law 22/1999 emphasizes facilitation and empowerment of local government. This reformulation of the centre's role calls for new approaches and tools to translate this intent into practice. Such departures from the old way of doing things can be used as reference points for the capacity building needs assessment.

15. The last effort to design a comprehensive strategy and plan for LG capacity building was undertaken in 1991 through the Local Government Institutional and Staff Development (LGISD) study. This study labored under a less hospitable environment for its ideas and did not see implementation. Events and experience have overtaken the LGISD study, but the process has provided the important lesson that such a comprehensive approach requires GOI commitment at the highest levels and the

building of consensus as the study is being fashioned. For this reason, the proposed study will emphasize and nurture the dialogue among the donor community and GOI, with the view to make the study-practice transition as seamless as possible.

D. Link to GOI- Donor-Civil Society Dialogue

16. Several donor agencies have indicated the need for a concerted IFI/donor effort to support the GOI in achieving and implementing essential reforms. The World Bank may be instrumental in this respect. Efforts are being made to provide a platform for the GOI, donors, and civil society to discuss and shape the reform agenda. It appears that Menkowasbangpan is willing to form a joint GOI/donor "governance secretariat". The study of LG capacity building needs will be closely linked to the reform dialogue, making use of established platforms to shape and enrich the study.

17. If appropriate, donors who have a strong interest and resource commitment to LG capacity building will also be asked to join the Study Committee, to work more intensively with the Consultant and relevant GOI agencies. Presentations of interim and final outputs will also be made to the wider donor/civil society groups utilizing other dialogue fora.

II. TASK OF THE CONSULTANT

A. Scope

18. Although the contextual theme is decentralization, the assessment of capacity building needs of LGs will be wide ranging, covering all essential fields of local governance; the decentralization theme merely brings attention to the changing political and administrative roles of LGs and other local actors. Fields of study will encompass the role of legislative members, service delivery, development planning, local financing, economic policy, and institutional arrangements supportive of ongoing capacity building.

19. In keeping with the institutional dimension of capacity building, some attention will also be placed on central level agencies in recognition that decentralization does not create isolated spheres of influence, but rather a realignment of responsibilities and roles within interdependent subsystems. The policy setting, supervisory and support roles (*pembinaan/pengawasan*) to be played by these agencies in relation to LGs will be a special and "cross-sectional" focus of the study.

20. The study team will draw on GTZ supported projects, the donor network, and GOI local and central institutions. Field visits to selected provinces, districts/cities and villages will be needed, with well designed instruments to assess local needs in various fields.

B. Understanding of Capacity Building: Fields of Study

21. The interrelated fields mentioned in section A. will be given attention, though others needing investigation may emerge in the study process. The understanding guiding the study is critical to its success, and is outlined below.

22. The recognition that development assistance is primarily about capacity building has increasingly made technical support institutionally oriented. This shift is apparent in the various terms and progression of institutional orientations seen over the years; “institution building”, “institutional strengthening”, “development management”, and “institutional development”. While these terms are often used interchangeably, capacity building does represent a shift from a focus on physical projects to greater attention to institutional dimensions; from transplanting institutions to working with existing institutions; from a focus on a particular sector or organization to multi-faceted and inter-organizational perspective (IOG, 1993). Capacity building today has been stretched even further, so that development assistance is now expected to address governance capacity. According to the UNDP

...societies in countries at all levels of development must reconstruct a fair, efficient and equitable system of governance, and international assistance organizations must find ways of incorporating concepts of good governance into all of their development activities. (UNDP, 1997:86)

The political dimension of good governance is clearly acknowledged, and often pushed to the fore; democratization, accountability, participation and transparency are some of the salient themes of good governance.

23. The above understanding of capacity building means that the proposed LG study must encompass three levels of analysis as in Figure 1: the individual, organizational (specific entity), and the framework conditions (enabling environment).

24. The initial direction of the analysis is from the framework toward the individual, in recognition of the substantial changes arising from refashioned framework policies, laws and regulations on LGs. While the scope is broad, the intent is not to undertake actual technical assistance work per se in the limited time available. To begin with, a canvassing of available studies and sources will hopefully capture what is already available and known, thus avoiding duplication. The remaining fields or areas of study will be pursued to the level that is sufficient to indicate avenues or activities for concurrent or subsequent technical assistance. Specific target groups and their orientation and training needs will be identified. The need for organizational development activities will be raised (for both regional and other relevant supporting agencies), with general approaches to attain improvements. Additional framework improvements at the regional and national level will be proposed as necessary.

1. Role of Local Legislatures/Councils

25. A key component of future capacity building will be measures to make the regional legislatures (and village councils) play their full role as representatives of the people, becoming proactive in policy setting, competent in legal product review, and in general capable of ensuring the accountability of the executive. Some of their needs may relate to:

- ◆ orientation to the new roles and expectations
- ◆ working procedures of the legislature (esp. for the new village councils)
- ◆ mechanisms to make the executive accountable (reporting, hearings, recall, etc.)
- ◆ technical support needed in the legislature secretariat
- ◆ mechanisms to make the legislature/executive accountable to the people (reporting, consultative fora and appeal mechanisms)

2. Local Service Delivery

26. The flexibility afforded by decentralization will be assessed, to indicate the opportunities to fashion services to suit local preferences and capacities through local initiative, creativity and improved efficiencies:

- ◆ ability to recognize and maximize opportunities for cost recovery based services
- ◆ support required to create partnerships among jurisdictions and with the private sector
- ◆ performance orientation and tools (e.g. benchmarking) for improving services
- ◆ familiarity with accountability mechanisms to make local government more responsive to local clients and constituents

3. Local Development Planning

27. Given that the development planning sub-system for the new regional government configuration has yet to be fleshed out, the study will in a general way assess the need for the reformulation of this sub-system, including:

- ◆ clarity of functions to be planned at each level
- ◆ participatory mechanisms (linking groups and levels)
- ◆ linkages (coordination, cooperation, negotiation) between jurisdictions and levels
- ◆ principles and techniques support (gender analysis, environmental assessments, regional economic analysis, land use planning)
- ◆ professionalization of regional development planners

The opportunities for locally oriented development planning will be assessed in terms of the additional framework adjustments that might be explored. Training required to orient sectoral and planning coordinating agencies will figure prominently (some assistance from the GTZ supported PMPW may be appropriate).

4. Local Development Financing

28. The current framework consisting of Law 25/1999 provides some directions, but raises new issues and leaves room for further elaboration. As a result, there is an urgent need to assess the implication of the emerging framework for the various types of local government. The assessment should cover:

- ◆ new budgetary system (reporting, transparency, link with planning)
- ◆ resources available to the regions and villages in relation to the grant systems/formulae
- ◆ financing conditionalities
- ◆ finance match with functions held
- ◆ management of the revised revenue assignments (projection, collection systems)
- ◆ opportunities for accessing and managing debt financing (financial management requirements, procedures, supervision)

29. The need for additional/revised management approaches, application of information technology and skills enhancement will be assessed. The focus will be on the ability of LGs to maximize and manage own revenues, gain access to other funds based on sound and transparent reporting, and on aligning the planning side with the budget preparation process. Cooperation with the ASEM funded technical assistance initiative "Improving Local Government Public Expenditure Systems, Reporting and Transparency" presently being undertaken by the World Bank, may serve to cover most of the needs in this field.

5. Regional Economic/Business Development Policies

30. The extent of decentralization of levers for promoting economic development will be assessed. These may include:

- ◆ levers to attract and support local, national and international investors
- ◆ discretion to decide and streamline approvals
- ◆ information provision services to investors and businesses (e.g. potential and requirements for on-line services)
- ◆ linkages with parties offering vocational and management skills development
- ◆ active support for business development (e.g. small business incubation)

The intent of the assessment is to learn of the actual levers available to the regions, the recognition among officials of what can be done, remaining obstacles to make the most of these and the skills and technology required to be effective in these fields.

6. LG Organizational Development and LG Cooperation

31. As a result of the new/emerging framework, LGs will need to be more proactive in adapting to new roles and maximizing the discretion given. The study will examine

the existing tools and approaches available to support the LGs in defining/elaborating their new functions, constructing new organizational arrangements to discharge these functions and new procedures for development management.

32. The need for greater self reliance of LGs in all areas includes the urgent need to build cohesiveness among local authorities so that they can effectively pursue their interests vis-à-vis higher levels. Only very modest effort has been placed in these areas, primarily in the support of the city based association (BKS-AKSI) and an urban-regional research institute (URDI). Proactive and effective associations, at various levels (types) of government, are crucial to the success of enhanced autonomy at regional/local level. The study would provide initial ideas in determining the range and structures of the LG associations so as to ensure independence, accountability to individual LG members, and financial viability. In terms of the activities of the associations, the study may suggest approaches to research, consulting, provision for a platform for managing debt facilities and training arms. The aim will be to harness and build on existing capacities, especially through networking arrangements.

C. Expected Products

33. The consultants will produce the following intermediate and final outputs:

- 1) Review of new/emerging laws and regulations affecting LGs, with an assessment of the new roles, resources, discretion and expectations of LGs.
- 2) Assessment of orientation and socialization needs related to the main principles, structures and procedures required within the new/emerging framework.
- 3) Instruments designed to elicit needs for capacity building for the institutions of LGs that are most critical to effective LG performance in the new framework.
- 4) Documentation of problem identification, analysis and feedback/recommendation fora involving key stakeholders.
- 5) Inventory of existing efforts and pipeline projects and their relevance to the most urgent capacity building efforts.
- 6) Specific problem analysis and proposals for increasing the capacity of key institutions concerned with capacity building of LGs.
- 7) Overall drafts/final report of capacity building needs, covering framework adjustments, institutional arrangements, training and other development activities required. Recommendations will be action oriented and cover GOI action and donor support required.

D. Process

34. The study will undoubtedly be quite iterative among stakeholders and will make use of a large variety of sources. The following section are merely indicative of the major activities to be undertaken.

1. Assessment of Emerging Framework

35. This step will have been begun by various parties before the Consultant begins the study. The Consultant will make use of the existing views and further assess the emerging framework relevant to LGs. Other steps will be undertaken simultaneously since the framework, or its feasibility, could well continue to change during the study.

2. Inventory of Other Studies, Experiences and Views

36. An early activity in the study will be to tap those ongoing or recently completed assessment of LG needs undertaken by various parties. For example, the GTZ supported Program Magister Perencanaan Wilayah (PMPW) is just completing an assessment of training needs for planners in Indonesia, encompassing regional planners as one category. The Consultant can also draw on existing TA efforts that have an "investigation" component. The ASEM funded TA "Improving Local Government Public Expenditure Systems, Reporting and Transparency" for example could cover much of the information needs for the Regional Finance component. The USAID supported CLEAN-Urban project, the UNDP/UNCHS assisted "Breakthrough Urban Initiatives for Local Development" (BUILD) and the ADB financed "Capacity Building in Urban Infrastructure Management Programme" (CBUIMP) may also cooperate on capacity building assessments for urban LGs.

37. Other projects may not have launched studies as such but will have investigated the needs in other ways or have a good sense of what these needs are or will be in the new decentralized framework. An early consultation/information gathering round of these projects will be needed to avoid duplication, capture the findings and identify areas requiring rigorous attention.

38. The findings of this consultation round will be linked to the framework assessment and the preliminary analysis will be circulated to the GOI/donor community to ensure completeness and to provide an early picture of commitments and potential gaps.

3. Development of Tools for Specific Investigations

39. The capacity needs then to be assessed will be those deemed most urgent and lacking sufficient information to guide action. Specific tools for identifying needs will be fashioned, and these will be applied in selected agencies/regions. The intent will be to understand the nature of the need at the institutional and individual level, the rough magnitude of the need and inputs required, and the implementing structures

and approaches required. Interim findings will be circulated to the GOI/donor community.

4. Synthesis

40. An overall synthesis of existing findings and newly studied components of LG capacity building needs will be pulled together as a draft. Intensive discussion of this draft will be needed with the GOI/donor as these will become the basis for project adjustment and new commitments in keeping with the findings of the study.

III. SKILL REQUIREMENTS

41. The consultant team will evidence depth of experience and skills in a variety of fields, including:

- Training needs assessment
- Institutional analysis
- Information systems
- Decentralization policies and initiatives
- Local financing/economics
- Service delivery in key sectors (agriculture, health, education, public works)
- Participatory development planning
- Other governance issues (transparency, accountability, anti-corruption)

It may be necessary for some team members to have experiences and skills in two or more of the above categories. A team of three international experts and an equal number of Indonesian experts will be needed. One of the consultants will be designated as study team leader. Additional team members may be obtained through “secondment” from other TA/study efforts in LG capacity building.

42. The Consultant will work closely with a designated GTZ study coordinator. Reporting procedures and the preparation of a more elaborate study plan will be undertaken in close consultation with the GTZ coordinator.

IV. LEVEL OF EFFORT AND SCHEDULE

42. The exact starting date of the study will depend on the timing of the official request for financing and the formal response by the German Government. However, field work is not expected to be activated until October 1999. A detailed time schedule based on the following activities will have to be worked out as soon as the starting date can be fixed with some certainty:

Main Activity	Duration/Timing
Finalization of TORs for the study	July 1999
Set up of Study Committee	August 1999
Team mobilization, International	September 1999
Team mobilization, Indonesian	September 1999

Initial SC meeting to present study plan	October 1999 - week 1
Initial project consultation/information gathering	October 1999 - week 2
Field work	October 1999 - week 3-4
Preliminary findings presentation to SC	End of October 1999
Additional field work/consultations/analysis as needed	November 1999 - week 2-3
Presentation of draft final report/final changes	End of November 1999

V. BUDGET

43. The Study and Expert Fund covers the costs for about 3 international and 3 Indonesian Consultants for several weeks, as well as travel costs and needed operational costs.

Annex 2 - Terms of Reference of the Study Team (October 1999)

Capacity Building Needs Assessment for Local Governments and Legislatures

Terms of Reference

A. Background of the Study, Approach

In May 1999, the Indonesian parliament passed two laws¹³ which will change substantially intergovernmental relations and the functions of both central government and regional government¹⁴ institutions. Although some weaknesses can be found in the laws, they nonetheless represents significant improvement in certain respects. The progressive elements of the regional government law include making the executive more accountable to the regional legislature, particularly at the district/city level where the DPRD will elect the *Bupati/Walikota* and their deputies. The district/city level is to have autonomy that is broad, with bolstered authority (*kewenangan*, or “functions” in other words, though these have yet to be clearly specified) and a larger role over lower levels of government. *Kecamatans* will be deconcentrated units of the district/city level executive. The district will be expected to play a larger role in supporting village level development. The village population will be able to elect both a council and village head, and fashion these local institutions in accordance with local tradition and needs. Both laws envisage a two-year period to make the new system effective.

The Coordinating Ministry for Development Supervision and Administrative Reform (MenkoWasbangPAN) holds the mandate, through Presidential Decree No. 67/1999, to coordinate the formulation of follow-up regulations to both the regional government and intergovernmental finance laws. For example, a government regulation (PP) is being drafted to identify the authority (*kewenangan*) placed at the central, provincial and district/city levels. Assuming that the follow-up regulations will soon be passed, there will be a great need for implementation support and long term capacity building to maximize the impact of the new regional governance “frame conditions”.

Over the next few months, local government will need to understand the new framework, the new roles to be played by local actors and the new expectations raised regarding local government (LG) performance. As the new framework is

¹³ Law No. 22 (1999) on Regional Governance (UU No. 22/1999 tentang Pemerintahan Daerah) and the Law No. 25 (1999) on Fiscal Balance between the Central Government and the Regions (UU No. 25/1999 tentang Perimbangan Keuangan antara Pemerintah Pusat dan Daerah).

¹⁴ In the following, the term “regional government” refers to both the provincial and district level government.

implemented, LGs will have to learn how to use new procedures, flexibility, and wide discretion in certain fields. The role of legislative members will be particularly crucial, as they seek to better reflect and channel local aspirations. All LG players will need to learn to interact with different actors and to rely increasingly on their own initiative to undertake capacity building efforts. Collective approaches will need to be forged to voice needs and views toward higher levels of government and other groups in the local, national and global contexts. New local alliances and partnerships will be needed in economic development, service delivery and environmental sustainability. Participation, transparency and accountability will be important governance themes at the local level. An attractive working environment in the local civil service will need to be created, including proper incentives to attract talent and commitment.

Anticipating the new responsibilities of the LGs, and the challenges faced in realizing the benefits of decentralization, BAPPENAS (through the Deputy for International Cooperation) has requested assistance from the German Government in identifying the requisite LG capacity building. In responding to this request, German Technical Assistance can draw on the substantial experience of GTZ supported projects working in urban/rural/regional development in Indonesia. GTZ, through the Support for Decentralization Measures Project (SfDM), has supported the GOI decentralization efforts since 1992. Some of the SfDM inputs, for example regarding the pattern of guidance and support required from central to regional level, were incorporated in Law 22/1999 on regional government. Other inputs could not be absorbed in the limited time allowed for the drafting process.

Financial means for this study will be provided through the Study and Expert Fund to acquire the services of a consultant team to undertake a study of the capacity needs of various types of LGs (provinces, districts/cities, and villages).

B. Scope of the study

Although the contextual theme is decentralization, the assessment of capacity building needs of LGs will be wide ranging, covering all essential fields of local governance; the decentralization theme merely brings attention to the changing political and administrative roles of LGs and other local actors. Key themes of the study will encompass e.g. the role of legislative members, service delivery, development planning, local financing, economic policy, and institutional arrangements supportive of ongoing capacity building. The above understanding of capacity building means that the proposed LG study must encompass three levels of analysis: the individual, organizational (specific entity), and the framework conditions (enabling environment).

In keeping with the institutional dimension of capacity building, some attention will also be placed on central level agencies in recognition that decentralization does not create isolated spheres of influence, but rather a realignment of responsibilities and roles within interdependent subsystems. The policy setting, supervisory and support roles (*pembinaan/pengawasan*) to be played by these agencies in relation to LGs will be a special and "cross-sectional" focus of the study.

As a starting point, the study will include an assessment of the changing functional and legal framework for regional governance and of the impacts of the changing framework conditions for regional and central government institutions. The consulting team will furthermore assess the status of knowledge and consensus building within the administrative system regarding the new framework conditions and will recommend follow-up actions necessary to familiarize the civil service at all levels and the society at large with the new framework.

It is envisaged that the focus of the study will be on the nine themes listed below. However, since the framework for local governance is still being developed, and since the Study Committee can set priorities differently, the mentioned themes should be regarded as indicative only.

B1. Role and functions of the regional parliaments

The study will assess, based on findings of the consulting team or based on studies and findings from other parties, the present role of regional parliaments and the existing working mechanisms. It will assess the capacities of regional governments, relevant central government institutions and/or other governmental and non-governmental organisations to design, implement and evaluate adequate mechanisms of coordination and cooperation between the regional parliaments and regional administration, for conceptualising the process of policy-making on the regional level, for strengthening the secretariats of the regional parliaments, for modifying working procedures for the village representative bodies, and for designing new mechanisms (like hearings, guaranteed access to information, complain and appeal mechanisms) of involving the local and regional community in the policy-making process and in the implementation of regional policies by the administration. Based on the findings, the study will formulate recommendations for follow-up actions.

B2. Supervisory mechanisms between levels of government

While the decentralisation laws maintains the overall role of the central government for national policy-making and regulation, the exact details how to implement supervision and guidance have to be worked out. The study will assess existing mechanisms of guidance and supervision against the new roles and functions of governmental levels as codified by Law No. 22 (1999). It will assess, based on own findings of the consulting team or based on studies and findings from other parties, the capacities of the central government and/or regional government level to formulate, implement and evaluate mechanisms of guidance and supervision which are geared towards the “facilitating” role of the central government as formulated in the Law No. 22 (1999). Based on the findings, the study will formulate recommendations how to strengthen this capacity and suggest concrete follow-up activities.

B3. Public service delivery on the regional level

The decentralisation of responsibilities to the regional levels gives the regional government greater discretion in determining service delivery mechanisms. Adjustment of administrative structures, involvement of non-governmental service providers, performance orientation, aspects of user charges/fees are

some of the issues which regional governments have to consider and to decide upon. The study will assess, based on own findings of the consulting team or based on studies and findings from other parties, the appropriateness of present service delivery mechanisms in view of the stipulations of Law No. 22 (1999). It will assess the capacities of governmental and non-governmental organisations to examine and evaluate service delivery mechanisms. Based on the findings, the study will formulate follow-up activities and recommend a strategy for strengthening and/or putting into place of capacities for such an analysis.

B4. Local Development Planning

Law No. 22 (1999) gives the regional governments a much greater role in the planning of local development activities. The necessary changes of the so-far rather centralistic planning system requires appropriate capacities on the central and regional level to assess present planning mechanisms and their shortcomings, and to develop new planning processes adjusted to the changing role of the governmental levels. The study will assess, based on own findings of the consulting team or based on studies or findings from other parties, the capacities of the relevant governmental organisations for such a modification process and will recommend concrete follow-up activities how to strengthen capacities for this purpose. One aspect to be covered includes the required qualification of the planning staff at central and regional level and the assessment of existing or required training and education mechanisms.

B5. Public Regional Finance

Law No. 25 (1999) has modified the fiscal relations between the levels of government and strengthened the regional governments' discretion in formulating and implementing regional budgets. However, the law leaves room for elaboration of many issues and details. The study will assess, based on own findings of the consulting team or based on the analysis and findings from other parties, the scope of the required changes, will assess suggestions and proposals regarding the implementation of the new financial system, and will assess the capacities of central and regional governments to develop and implement new and adequate budgetary and financial mechanisms. Based on these findings, the study will recommend follow-up actions how to strengthen existing capacities for the formulation and implementation of new mechanisms.

B6. Regional Economic Development and Employment Promotion Policies

The new distribution of government functions gives regional governments substantial responsibility for the formulation and implementation of economic development and employment promotion policies. The study will assess, based on own findings of the consulting team or based on the analysis and findings from other parties, the existing capacity of regional governments to apply appropriate policy instruments and mechanisms for this tasks and will recommend follow-up activities how to strengthen regional government capacities in this field.

B7. Regional Government Organisational Development

As a result of the new government framework, regional governments will need to be more proactive in adapting to new roles and maximising the discretion given. The study will assess, based on own findings of the consulting team or based on the analysis and findings from other parties, the existing tools and approaches available to the regional government for the organisational analysis and for designing new organisational arrangements. It will recommend follow-up activities how to improve regional government capacities for a continuing review and modification of organisational requirements.

B8. Human Resource Management

Greater organisational discretion and the discharge of public services mainly by the regional governments will require a considerable strengthening of their human resource management capacities, including recruitment and appointment, personnel planning, transfer and dismissal procedures. The study will assess, based on own findings of the consulting team or based on the analysis and findings from other parties, existing regional government capacities in this field. It will assess the appropriateness of existing personnel management mechanisms (including existing institutional arrangements for civil service training on central and regional government level). The study will recommend follow-up actions to build-up and strengthen the required human resource management capacities of the LG as required by the new framework.

B9. Inter-regional cooperation

The cooperation between regional governments for the exchange of experiences and best practise and for the formulation of joint positions in the dialogue with the central government has so far been little accentuated. Proactive and effective associations, at various levels of regional governments, are crucial to the success of an enhanced autonomy at the regional and local level. The study will assess, based on own findings of the consulting team or based on the analysis and findings from other parties, existing arrangements for inter-regional cooperation and assess the capacity to widen and deepen existing arrangements. The study will make suggestions, how and in which areas regional government associations and inter-regional organisations can assist regional governments in implementing their functions. The study will recommend follow-up activities how to achieve the suggested modalities of cooperation, and how to achieve the required capacities

C. Activities and Expected outputs

On the basis of a workplan as approved by the Study Committee, the consulting team will undertake the following activities under the overall guidance of the GTZ-nominated Study Coordinator:

1. Analyse existing regulations, documents, policy papers, and carry out in-depth interviews with senior decision-makers in order to formulate a comprehensive assessment of new framework regulations (Law Nos. 22 and 25/1999) and of the

- resulting functional and institutional changes for central and regional government institutions
2. Based on discussions and interviews with key administrators and civil servants, and based on the analysis of available documents, assess the level of knowledge, common understanding and consensus building within the administrative system regarding the new framework conditions and the resulting functional and institutional changes for central and regional government institutions
 3. Recommend strategies and follow-up activities to increase the level of common understanding and consensus-building within the administrative system regarding the new framework conditions and the resulting functional and institutional changes for central and regional government institutions
 4. Inventorise and collect, from government and donor organisations, relevant studies, data and assessments related to the thematic areas outlined in B., and summarise them.
 5. Review existing proposals and strategies for strengthening the capacities of regional governments in the thematic areas outlined in B. as can be derived from such existing studies and assessment
 6. Identify those thematic areas which are not yet covered by existing or ongoing studies and appraisals, and undertake own studies and research activities to assess capacity-building needs in accordance with the available resources and time frame
 7. Inventorise those thematic areas where further capacity-building needs assessments should be carried out by the government in conjunction with donor organisations
 8. Formulate proposals and suggestions for capacity-building activities in such areas where needs assessments have been carried out by the consulting team or are available from other parties
 9. Initiate, within the framework provided by the participation in the Study Committee of all relevant central government institutions, consultation processes on suggested follow-up actions (for instance in the form of thematic round-table discussions) and involve representatives from the regions and from civil society associations
 10. Prepare reports as indicated in F.

D. Structure/ Organisation/ Phases of implementation

The **consulting team** will consist of the following members:

- Team leader/Institutional Development Specialist (international) (up to 2.5 months)
- Regional Finance/Budget/Regional Economics Specialist (international) (up to 2 months)

- Participatory Planning/Civil Society Specialist (international) (up to 2 months)
- (Public Sector) Human Resource Management Specialist (international) (up to 2.5 months).

A number of national consultants with matching and/or complimentary qualifications will be contracted for up to 5 work months. Funds are available to field additional international short-term consultants (up to 2 work months) to cover the themes B1 and B9 and other specific issues identified in the course of implementing the study. The implementation of the study is planned for the period November 1999 - January 2000. The fielding of the members of the team will depend on the work plan, and assignments can also take place in stages. However, it is expected that the team leader and one other member of the team will work continuously on the study throughout the implementation period.

GTZ will nominate a **Study Coordinator** who will liaise with the consulting team and provide the necessary back-up and support from the GTZ side. For the GOI, the Coordinating Ministry for Development Supervision and Administrative Reform (MenkoWasbangPAN) has been tasked to coordinate the implementation of the decentralisation laws. For this purpose, MenkoWasbangPAN will set up a **secretariat** which will be the responsible counterpart unit for the consulting team. A **Study Committee** under MenkoWasbangPAN will be established to bring together the major GOI ministries and agencies involved in the implementation of the decentralisation laws. The Study Committee will discuss and approve the consulting team's workplan, intermediate reports and results, and will discuss and approve the Final Report. It is envisaged that the Study Committee will organise special sessions to deliberate certain issues of interest. Resource persons from other sectoral ministries, line agencies, the regions and the civil society are expected to be invited for such discussion sessions in order to provide inputs and to give feedback on proposals and recommendations.

It is envisaged that the study will be implemented in three phases: at the beginning, the consulting team will undertake the activities as indicated in C1-C5. In the second phase, activities C7-C9 will be implemented. Finally, the reports will be prepared and discussed (C9-C10).

E. Specific Terms of Reference for the members of the team

a) Team Leader/ Institutional Development Specialist (international)

Tasks

Under the overall guidance of the GTZ-nominated Study Coordinator, the Team Leader/ Institutional Development Specialist will plan and coordinate the implementation of the capacity-building needs assessment study, lead and manage the other consultants, liaise with the GOI, and manage the reporting requirements of the consulting team.

More specifically, the Team Leader/ Institutional Development Specialist will

- Prepare the work plan and schedule the assignment of the consultants
- Present and discuss work plans, reports and assessments of the consulting team in the meetings of the Study Committee
- Represent the consulting team in the meetings of the Study Committee
- Liaise with the GTZ nominated Study Co-ordinator
- Take overall responsibility for liaising with the GOI and donor agencies
- Manage and lead the other consultants based on their specific Terms of Reference
- Prepare Terms of Reference for the national consultants and the additional international consultants, and identify suitable candidates
- Contribute to the themes of the other consultants' work and carry out own assessments and studies as required, especially in the field of institutional development and organisational change
- Take the lead in assessing the implications of the new framework condition for regional governance and in assessing the level of common understanding and consensus-building in the administrative system related to these changes (Activities C1 and C2)
- Take the responsibility for the preparation of the Implementation Report and the Technical Reports
- Take overall responsibility for the reporting requirements and prepare the Final Report.

Qualifications:

- Advanced university degree
- at least 10 years of progressive professional experience with institutional development/ administrative reform issues, preferably in the context of decentralisation and local government reform programmes
- Sound understanding of the political and administrative context of decentralisation policies in Indonesia
- Good knowledge of bilateral and multilateral technical and financial assistance activities in Indonesia
- Proven leadership skills and management capacity, preferably in multi-cultural and multi-disciplinary teams
- Excellent communication and networking skills
- Able to carry authority with senior administrators, donor organisation managers and professional and interest groups
- Ability to work under deadline pressure and complex operating constraints
- Good working knowledge of Bahasa Indonesia.

Duration of assignment: 2.5 months

b) Regional Finance/Budget/Regional Economics Specialist (international)

Tasks

The Regional Finance/Budget/Regional Economics Specialist will focus on assessment of the capacity-building needs regarding the new budgetary processes for regional governments, especially the involvement of the regional parliaments in determining the annual budget, regarding the necessary modifications of the planning process for regional economic development, and regarding the utilisation of instruments for regional economic development and employment promotion (themes B3, B5 and B6). More specifically, the Regional Finance/Budget/Regional Economics Specialist will:

- Liaise, under the overall management of the team leader, with government and donor organisations relevant for these areas
- Inventorise, collect and analyse existing studies and appraisals relevant for the mentioned areas
- Initiate own studies and assessments in areas which are not yet covered by other reports
- Formulate follow-up activities to strengthen LG capacities in the mentioned thematic areas
- Suggest, if necessary, follow-up activities for further in-depth assessments of LG capacities in the mentioned thematic areas
- Contribute to the overall assessment of the modified framework for regional governance
- Contribute to the themes of the other consultants
- Take responsibility for the preparation of the Thematic Reports in the mentioned areas
- Contribute to the preparation of the Implementation and the Technical Reports

Qualifications

- Advanced university degree
- 10 years progressive professional experience in public finance and/or regional development policies
- Good understanding of the Indonesian budget system and of the role of government in economic development promotion, especially on a local/regional level
- Good understanding of current concepts for public service delivery (like New Public Management, Public-Private Partnerships etc.)
- Ability to work in a multi-disciplinary and multi-cultural team
- Communication skills and ability to work under pressure
- Working knowledge of Bahasa Indonesia

Duration of assignment: 2 months

c) Participatory Planning/Civil Society Specialist (international)

Tasks

The Participatory Planning/ Civil Society Specialist will focus on the capacity-building needs to strengthen the regional parliaments in line with their new responsibilities, and to adjust the existing local development planning system to the new framework conditions (themes B1 and B4). A major aspect of the assignment will be to look for adequate instruments to ensure the participation of the local community in the regional decision-making process.

More specifically, the Participatory Planning/Civil Society Specialist (international) will

- Liaise, under the overall management of the team leader, with government and donor organisations relevant for these areas
- Inventorise, collect and analyse existing studies and appraisals relevant for the mentioned areas
- Initiate own studies and assessments in areas which are not yet covered by other reports
- Assess suitable participation mechanisms to involve the local community in regional decision-making and suggest strategies and follow-up actions to introduce such mechanisms
- Suggest, if necessary, follow-up activities for further in-depth assessments of LG capacities in the mentioned thematic areas
- Contribute to the overall assessment of the modified framework for regional governance
- Contribute to the themes of the other consultants
- Take responsibility for the preparation of the Thematic Reports in the mentioned areas
- Contribute to the preparation of the Implementation and the Technical Reports

Qualifications

- Advanced university degree
- At least five years progressive professional experience in development planning policies, especially regarding participatory planning systems
- Good understanding of the Indonesian planning system on the national and regional level, of the role of cross-sectoral planning organisations (BAPPENAS, BAPPEDA) and of their patterns of interaction with sectoral government organisations
- Experience in working with regional parliaments and linking regional parliaments with the local community
- Ability to work in a multi-disciplinary and multi-cultural team
- Communication skills and ability to work under pressure
- Working knowledge of Bahasa Indonesia

Duration of assignment: 2 months

d) (Public Sector) Human Resource Management Specialist (international)

The Human Resource Management Specialist will focus on the assessment of capacity-building needs regarding the human resource management on the regional level, and regarding the organisational development of regional government institutions (themes B7 and B8). Part of the assignment will be a thorough assessment of the existing network of civil service training institutions and the appropriateness or otherwise of these institutions under the new framework conditions.

More specifically, the Human Resource Management Specialist will

- Liaise, under the overall management of the team leader, with government and donor organisations relevant for these areas
- Inventorise, collect and analyse existing studies and appraisals relevant for the mentioned areas
- Initiate own studies and assessments in areas which are not yet covered by other reports
- Assess the institutional network of civil service training and its suitability with the new pattern of public sector personnel management, and recommend change strategies in accordance with the modified framework for local governance
- Assess existing instruments and approaches for analysing and modifying organisational structures of regional governments, and recommend follow-up activities to strengthen the capacities of LGs for organisational analysis and development
- Suggest, if necessary, follow-up activities for further in-depth assessments of LGs capacities in these thematic areas
- Contribute to the overall assessment of the modified framework for regional governance
- Contribute to the themes of the other consultants
- Take responsibility for the preparation of the Thematic Reports in the mentioned areas
- Contribute to the preparation of the Implementation and the Technical Reports

Qualifications

- Advanced university degree
- At least five years progressive professional experience in human resource management, preferably in the public sector
- Experience with organisational development processes and instruments in the public sector
- Sound understanding of the Indonesian administrative system, especially regarding civil service training, personnel management and organisational issues
- Ability to work in a multi-disciplinary and multi-cultural team
- Communication skills and ability to work under pressure
- Working knowledge of Bahasa Indonesia

Duration of assignment: 2.5 months

F. Reporting requirements

Under the overall responsibility of the Team Leader, the consulting team will prepare the following reports:

1. **Implementation Report**, outlining the schedule of activities, problems encountered during implementation, list of resource persons/government officials met
2. **Series of Technical Reports** covering the following subjects:
 - *Summary of existing or planned capacity-building needs assessment studies* from other donor organisations and government institutions, the report should provide details about respective institutions, time frame, objective of the study, results and recommendations
 - *Methods, Tools and Instruments* for assessing capacity-building needs which were used in the various studies and the experiences made with these methods, the report should specifically assess the methods and instruments used in the context of the Indonesian public administration
 - *Assessment of orientation/socialisation needs* in the administration for the new laws and regulations
3. **Series of Thematic Reports** covering the key thematic areas outlined above (B1-9) and covering the overall assessment of the new regional governance framework, including an assessment of already available implementation issues
4. **Final Report** summarising the implementation and the results of the study and formulating the recommendations to the GOI for follow-up activities.

The Final Report is to be finalised until 31 January 2000. The Thematic Reports are to be finalised in conjunction with the respective consultancies. The Technical Reports covering cross-thematic issues (like methods and instrument for capacity-building needs assessments) are to be prepared and finalised as the work of the consulting team progresses, latest in conjunction with the Final Report. Interim Reports should be made available for discussions with the Study Committee. The Implementation Report is to be finalised until 31 January 2000.

Theme	Key aspects	International Consultants (Core team)				Additional Consultants	
		Team Leader/ Institutional D. 2.5 m	Budget/Finance 2m	Planning/Civil Society 2m	Human Resources/Training 2.5 m	International	National
B1 Role and Functions of Regional Parliaments (DPRD)	<ul style="list-style-type: none"> • Coordination and cooperation DPRD - Pemda • Local policy making process • DPRD secretariats • Village representative bodies • Participatory instruments in the policy process 						
B2 Supervisory Mechanisms Central - Local Governments	<ul style="list-style-type: none"> • Mechanisms of supervision and guidance • Facilitating role of central government 						
B3 Public Service Delivery	<ul style="list-style-type: none"> • Present service delivery mechanisms • Capacity of LG to assess/modify service delivery mechanisms 						
B4 Local Development Planning	<ul style="list-style-type: none"> • Integrated planning on the local level • Qualification of planning staff • Existing training/education 						
B5 Public Finance	<ul style="list-style-type: none"> • Implementation of new financial system • LG revenue situation • Budget procedures • LG Financial Management 						
B6 Economic Development/ Employment Promotion	<ul style="list-style-type: none"> • Instruments for local economic development promotion 						

Theme	Key aspects	International Consultants (Core team)				Additional Consultants	
		Team Leader/ Institutional D. 2.5 m	Budget/Finance 2m	Planning/Civil Society 2m	Human Resources/Training 2.5 m	International	National
	<ul style="list-style-type: none"> • LG capacities for employment promotion 						
B7 Organisational Development	<ul style="list-style-type: none"> • Tools and instruments for organisational analysis • LG capacities to design/ implement appropriate organisational structures 						
B8 Human Resources	<ul style="list-style-type: none"> • Local personnel management systems • Institutional arrangements for civil service training 						
B9 Inter-Regional Cooperation	<ul style="list-style-type: none"> • Existing and future instruments/ mechanisms for inter-regional cooperation • LG associations 						

Annex 3 - Kerangka Acuan Tim Konsultan (Desember 1999)

Pengkajian Kebutuhan Pengembangan Kapasitas Bagi Pemerintahan Daerah

A. Latar Belakang dan Pendekatan Studi

Pada bulan Mei 1999 telah diundangkan dua buah undang-undang¹⁵ yang akan memberikan perubahan besar dalam hubungan dan fungsi instansi-instansi pemerintahan antara pemerintah pusat dan pemerintah daerah¹⁶. Walaupun ada beberapa kelemahan dalam kedua undang-undang tersebut, mereka telah menunjukkan perbaikan yang nyata dilihat dari beberapa segi. Beberapa elemen progresif dalam UU Pemerintahan Daerah adalah sebagai berikut; pihak eksekutif (pemerintah daerah) harus bertanggung jawab kepada pihak legislatif (DPRD), lebih khusus lagi pada daerah kabupaten/kota, di mana DPRD yang akan memilih dan mengangkat Bupati dan Walikota beserta wakil-wakilnya. Daerah kabupaten/kota akan memiliki otonomi yang luas dengan kewenangan dan peranan lebih besar terhadap tingkatan dibawahnya dalam pemerintahan. Kecamatan akan menjadi perangkat desentralisasi dari kabupaten/kota. Daerah kabupaten / kota diharapkan akan memegang peranan yang lebih besar dalam memberikan dukungan terhadap pembangunan pada tingkat desa. Penduduk desa akan dapat memilih dan mengangkat dewan perwakilan desa beserta pimpinannya dan membentuk institusi lokal yang sesuai dengan kebutuhan dan adat-istiadat setempat. Dalam kedua UU ini juga telah ditetapkan waktu peralihan selama dua tahun.

Pada bulan Juli 1999, Menteri Koordinator Pengawasan Pembangunan dan PAN (Menko WasbangPAN), melalui Keppres No. 67/1999 ditugaskan untuk mengkoordinasikan proses penyusunan peraturan pelaksanaan baik untuk UU No. 22/1999 maupun terhadap UU UU No. 25/1999. Misalnya sebuah PP (peraturan pemerintah) sedang disusun untuk mengidentifikasi kewenangan yang berada pada tingkat pusat, propinsi dan kabupaten/kota. Dengan asumsi bahwa peraturan pelaksanaannya akan diterbitkan dalam waktu dekat, maka akan sangat dibutuhkan bantuan untuk mengembangkan kapasitas pemerintahan daerah dalam jangka panjang agar dapat mendukung pelaksanaan desentralisasi.

Dalam beberapa bulan yang akan datang, pemerintah daerah perlu mempelajari kerangka desentralisasi yang baru ini, peranan baru yang akan dimainkan oleh para pelaku, dan harapan baru mengenai kinerja pemerintahan daerah. Sejalan dengan berlakunya peraturan pelaksanaan untuk kedua UU ini, pemerintah daerah akan perlu belajar bagaimana menerapkan prosedur-prosedur baru, secara fleksibel, berdasarkan kewenangan luas dalam bidang-bidang pemerintahan tertentu. Peranan anggota DPRD

¹⁵ Undang-undang No. 22 Tahun 1999 tentang Pemerintahan Daerah dan Undang-undang No. 25 tentang Perimbangan Keuangan antara Pusat dan Daerah

¹⁶ Selanjutnya pengertian "Pemerintah Daerah" adalah Pemerintah Daerah Provinsi dan Pemerintah Daerah Kabupaten/Kota

akan menjadi krusial dalam upaya mengenal dan menyerap aspirasi-aspirasi setempat. Semua pihak dalam pemerintahan daerah akan perlu belajar bagaimana menjalankan interaksi dengan berbagai pelaku dan mengambil inisiatif untuk menjalankan upaya pengembangan kapasitas. Pendekatan kolektif perlu ditempa untuk menyuarakan kebutuhan dan pandangan terhadap tingkatan lebih tinggi di pemerintah dan golongan-golongan lainnya baik dalam konteks lokal, nasional maupun global. Kerjasama dan kemitraan baru akan diperlukan dalam pembangunan ekonomi, beserta pelayanan publik dan lingkungan berkelanjutan. Partisipasi, transparansi, dan akuntabilitas akan menjadi bahan pembicaraan penting mengenai pemerintahan di tingkat lokal. Sebuah lingkungan kerja yang nyaman pada lingkungan pegawai negeri sipil perlu diciptakan, termasuk insentif yang memadai untuk menarik minat mereka yang ahli dan memiliki komitmen.

Dalam mengantisipasi tanggung jawab baru pemerintahan daerah beserta tantangan yang dihadapi guna menyukseskan desentralisasi, BAPPENAS (melalui Deputy Bidang Kerjasama Internasional) telah mengajukan permintaan bantuan kepada Pemerintah Jerman guna mengidentifikasi persyaratan bagi pengembangan kapasitas pada pemerintahan daerah. Dalam hal ini, Bantuan Teknis Jerman dapat memanfaatkan pengalaman proyek-proyek bantuan GTZ dalam bidang pembangunan kota, daerah dan regional di Indonesia. GTZ melalui proyek Support for Decentralization Measures (SfDM) telah memberikan bantuan kepada Pemerintah Indonesia dalam upaya desentralisasi sejak 1992. Beberapa masukan SfDM, misalnya tatacara pembinaan dan dukungan yang diperlukan dari pemerintah pusat ke tingkat daerah, telah dimasukkan dalam UU No. 22/1999 tentang Pemerintahan Daerah. Masukan lainnya belum dapat diserap dalam keterbatasan waktu yang disediakan dalam penyusunannya.

Kebutuhan keuangan untuk studi ini akan disediakan melalui Dana Studi dan Ahli untuk mendapatkan jasa tim konsultan dalam melaksanakan studi mengenai kebutuhan kapasitas dari berbagai pemerintahan (propinsi, kabupaten / kota, dan desa).

B. Lingkup Studi

Walaupun tema utama studi adalah desentralisasi, kebutuhan akan pengembangan kapasitas bagi pemerintahan daerah akan menjadi lebih luas, dan mencakup semua bidang penting untuk pemerintahan ; tema desentralisasi hanya merupakan penarik perhatian terhadap adanya perubahan peranan politik dan administrasi. Tema-tema utama dari studi ini mencakup misalnya peranan anggota DPRD, pelayanan publik, perencanaan pembangunan, keuangan daerah, kebijakan ekonomi, dan pengaturan kelembagaan yang mendukung pengembangan kapasitas. Pengembangan kapasitas dalam konteks ini perlu mencakup tiga tingkatan analisis, yaitu individu atau perorangan, organisasi atau lembaga, dan lingkungan yang lebih luas.

Berkaitan dengan dimensi kelembagaan dalam pengembangan kapasitas pemerintahan daerah, maka akan juga diperlukan perhatian bagi instansi pemerintah pusat, dengan pertimbangan bahwa desentralisasi tidak menciptakan lingkungan pengaruh yang terisolasi tetapi lebih bersifat reposisi tanggung jawab dan peranan di

dalam sub-sistem yang saling terkait. Peranan penetapan kebijakan serta pelaksanaan pembinaan dan pengawasan yang dijalankan oleh instansi-instansi pemerintah pusat dalam kaitannya dengan pemerintah daerah, akan juga diperhatikan dalam studi ini.

Studi ini akan diawali dengan melaksanakan sebuah pengkajian atas perubahan kerangka fungsional dan hukum untuk pemerintahan daerah, serta pengkajian dampak perubahan lingkungan yang luas terhadap instansi dan lembaga pemerintah pusat dan daerah. Tim konsultan selanjutnya juga akan mengkaji tingkat pengetahuan dan konsensus di dalam sistem administrasi mengenai kerangka yang baru, dan akan merekomendasikan tindakan lanjutan yang diperlukan untuk mensosialisasikan kerangka baru ini kepada pegawai negeri sipil pada semua tingkatan dan masyarakat.

Diperkirakan bahwa studi akan memusatkan perhatian pada sembilan butir tema yang akan diuraikan selanjutnya di bawah ini. Walaupun kerangka untuk pemerintah daerah masih sedang disusun, dan oleh karena penapsiran tentang prioritas dari Study Committee bisa berbeda, maka tema-tema tersebut akan diperhatikan sebagai acuan saja:

B1. Peranan dan Fungsi DPRD

Studi ini akan mengkaji peranan DPRD saat sekarang beserta mekanismenya yang sedang berjalan, baik atas dasar temuan tim konsultan maupun temuan dari pihak-pihak lainnya. Penilaian mengenai kapasitas pemerintah daerah, instansi pemerintah pusat dan/atau lembaga-lembaga non-pemerintah untuk merancang, melaksanakan serta mengkaji mekanisme koordinasi dan kerja sama antara pemerintah daerah dan DPRD. Semua ini untuk konseptualisasi proses penyusunan kebijakan pada tingkat daerah, untuk memperkuat Sekretariat DPRD, untuk memperbaiki prosedur kerja dewan perwakilan desa, dan untuk membentuk mekanisme baru (seperti dengar pendapat, jaminan akses terhadap informasi serta mekanisme penyampaian keberatan dan usulan pertimbangan) dalam memberdayakan masyarakat dalam proses perumusan kebijakan serta implementasi kebijakan daerah oleh pemerintah. Hasil-hasil temuan studi akan dituangkan dalam pelbagai rekomendasi tindak lanjut.

B2. Mekanisme pengawasan dan pembinaan antara tingkatan pemerintahan.

Sesuai dengan Undang-undang tentang Pemerintahan Daerah, pemerintah pusat tetap mempunyai peran dalam perumusan kebijaksanaan nasional dan perumusan peraturan. Perincian tentang cara pengawasan dan pembinaan terhadap pemerintahan daerah masih harus disusun. Studi ini akan membandingkan dan mengkaji mekanisme pengawasan dan pembinaan yang sedang berjalan dengan peranan dan fungsinya yang baru sesuai UU No. 22/1999. Akan dilakukan pengkajian, atas dasar temuan tim konsultan dan temuan pihak lainnya, mengenai kapasitas pemerintah pusat dan/atau pemerintahan daerah untuk menyusun, mengimplementasi dan mengevaluasi mekanisme pengawasan dan pembinaan yang disiapkan terhadap peranan "fasilitasi" pemerintah pusat sesuai UU No. 22/1999. Atas dasar pengkajian ini, akan disusun saran dan rekomendasi mengenai cara meningkatkan kapasitas serta tindak lanjutnya secara konkrit.

B3. Pelayanan publik pada tingkat daerah.

Desentralisasi atau pelimpahan tanggung jawab kepada daerah telah memberikan kewenangan kepada pemerintah daerah untuk menentukan sendiri mekanisme pelayanan publik. Ada beberapa isu yang harus dipertimbangkan dan diputuskan oleh pemerintah daerah, antara lain : penyesuaian struktur administrasi, keikutsertaan pelayanan oleh unsur non-pemerintah, orientasi kinerja, dan aspek-aspek biaya bagi pengguna pelayanan publik. Studi ini akan mengkaji, baik atas dasar temuan tim konsultan maupun temuan pihak lainnya, sesuai-tidaknya mekanisme pelayanan dalam pandangan yang ditentukan oleh UU No. 22/1999. Akan dilakukan pengkajian terhadap kapasitas instansi pemerintah dan non-pemerintah untuk memeriksa dan mengevaluasi mekanisme pelayanan. Atas dasar temuan-temuan studi, akan dirumuskan tindak lanjut dan direkomendasikan suatu strategi penguatan dan/atau menempatkan kapasitas untuk keperluan analisis tersebut.

B4. Perencanaan pembangunan daerah.

UU No. 22/1999 memberikan peranan yang lebih besar kepada pemerintahan daerah dalam kegiatan perencanaan pembangunan daerah. Perubahan yang diperlukan terhadap sistem perencanaan sentralistik membutuhkan kapasitas yang memadai pada tingkat pusat dan daerah untuk menilai mekanisme perencanaan pada saat sekarang serta hambatannya, dan untuk mengembangkan proses perencanaan yang sesuai dengan perubahan peranan pemerintah pada semua tingkatan. Studi ini akan mengkaji, baik atas dasar temuan tim konsultan dan temuan pihak lainnya, kapasitas instansi pemerintah yang relevan untuk menjalankan modifikasi proses dan akan merekomendasikan tindak lanjut konkrit terhadap cara peningkatan kapasitas untuk kebutuhan ini. Salah satu aspek yang perlu diperhatikan adalah kualifikasi staf perencanaan pada pemerintah pusat dan daerah, dan juga pengkajian terhadap mekanisme-mekanisme pelatihan dan pendidikan bagi para perencana

B5. Keuangan daerah.

UU No. 25/1999 telah memodifikasikan hubungan fiskal antartingkatan pemerintahan serta memperkuat kewenangan pemerintahan daerah dalam menyusun dan mengimplementasi APBD. Tetapi berbagai isu dan perincian belum diatur dalam UU ini. Studi ini akan mengkaji baik atas dasar temuan tim konsultan maupun temuan pihak lainnya, ruang lingkup perubahan yang diperlukan, serta akan memberikan saran dan usulan mengenai implementasi sistem keuangan, dan akan menilai kapasitas pemerintah pusat dan daerah untuk mengembangkan dan melaksanakan mekanisme-mekanisme anggaran dan keuangan yang baru dan lebih sesuai . Atas dasar temuan ini, studi akan merekomendasi tindak lanjut mengenai cara memperkuat kapasitas yang diperlukan untuk merumuskan dan melaksanakan mekanisme-mekanisme baru tersebut.

B6. Pembangunan ekonomi daerah dan kebijakan penyerapan tenaga kerja

Pembagian kewenangan pemerintahan yang baru telah memberikan kepada pemerintahan daerah tanggung jawab substansial dalam perumusan dan pelaksanaan pembangunan ekonomi dan kebijakan penyerapan tenaga kerja di daerah. Studi ini

akan mengkaji , atas dasar temuan tim konsultan dan temuan pihak lainnya, kapasitas pemerintahan daerah untuk menerapkan kebijakan dan mekanisme yang sesuai untuk tugas ini, dan akan merekomendasikan tindak lanjut mengenai pengembangan kapasitas pemerintahan daerah dalam bidang ini.

B7. Pengembangan organisasi pemerintah daerah.

Kerangka pemerintahan yang baru menuntut bahwa pemerintahan daerah perlu menjadi lebih proaktif dalam menyesuaikan diri pada peranan baru dan mengembangkan kewenangan yang diberikan. Studi ini akan mengkaji baik atas dasar temuan tim konsultan maupun temuan pihak lainnya, perangkat dan pendekatan yang tersedia pada pemerintah daerah untuk menganalisis dan menyusun struktur organisasi yang baru. Studi ini akan merekomendasikan tindak lanjut mengenai cara meningkatkan kapasitas pemerintah daerah untuk menilai dan memodifikasikan kebutuhan struktur organisasi, baik untuk saat ini maupun untuk masa mendatang.

B8. Pengelolaan sumber daya manusia.

Peningkatan kewenangan untuk mengatur organisasi dan dalam cara pemberian pelayanan publik oleh pemerintah daerah sangat membutuhkan pengembangan kapasitas pengelolaan sumber daya manusia, termasuk pencarian dan penerimaan pegawai, perencanaan personalia serta prosedur pengangkatan dan pemberhentian. Studi ini akan mengkaji baik atas dasar temuan tim konsultan maupun temuan pihak lainnya, kapasitas pemerintah daerah dalam bidang ini. Akan dikaji sesuai-tidaknya mekanisme pengelolaan personalia saat sekarang (termasuk pengaturan kelembagaan untuk pelatihan PNS pada tingkat pusat dan daerah). Studi ini akan merekomendasikan tindak lanjut untuk mengembangkan dan memperkuat pengelolaan sumber daya manusia yang dibutuhkan pada pemerintahan daerah sesuai ketentuan kerangka baru.

B9. Kerjasama antar daerah.

Kerjasama antarpemerintahan daerah untuk pertukaran pengalaman, dan dalam perumusan posisi bersama dalam dialog dengan pemerintah pusat sampai saat ini hanya diberikan sedikit perhatian. Kerjasama yang proaktif dan efektif pada berbagai tingkat dalam pemerintahan daerah adalah krusial untuk keberhasilan otonomi daerah. Studi ini akan mengkaji baik atas dasar temuan tim konsultan maupun temuan pihak lainnya, pengaturan yang ada mengenai kerjasama antardaerah dan menilai kapasitas untuk mengembangkan kesepakatan yang ada. Studi ini akan memberikan saran mengenai cara dan bagaimana kerjasama antardaerah dapat membantu pemerintahan daerah dalam menggunakan kewenangannya. Studi ini akan merekomendasikan tindak lanjut mengenai cara untuk mencapai modalitas kerjasama yang disarankan, beserta cara mencapai kapasitas yang dibutuhkan.

C. Kegiatan dan Keluaran/Hasil yang Diharapkan

Atas dasar rencana kerja yang disetujui oleh Study Committee, tim konsultan akan menjalankan kegiatan di bawah pimpinan Koordinator Studi yang ditunjuk oleh GTZ, sebagai berikut :

1. Menganalisis peraturan, dokumen, kebijaksanaan yang ada dan melakukan wawancara mendalam dengan pengambil keputusan senior, agar dapat memformulasikan penilaian secara komprehensif mengenai kerangka peraturan (UU No. 22/1999 dan UU No. 25/1999) beserta perubahan fungsional dan institusional pada pemerintah pusat dan daerah.
2. Atas dasar diskusi dan wawancara dengan para pelaksana kunci dan pegawai negeri sipil, dan atas dasar analisis dokumen yang tersedia, maka dikaji tingkat pengetahuan, pengertian bersama dan pembangunan konsensus dalam sistem administrasi yang terkait dengan kerangka kondisi beserta akibat perubahan fungsional dan institusional untuk pemerintah pusat dan daerah.
3. Merekomendasikan strategi dan tindak lanjut untuk meningkatkan pengertian bersama dan pembangunan konsensus dalam sistem administrasi yang terkait dengan kerangka kondisi beserta akibat perubahan fungsional dan institusional untuk pemerintah pusat dan daerah.
4. Mengumpulkan dan inventarisasi studi yang relevan dari pemerintah dan lembaga donor, data dan penilaian yang terkait dalam hal-hal yang disebutkan dalam butir B dan merangkumkannya.
5. Meninjau proposal dan strategi pengembangan kapasitas pemerintahan daerah dalam bidang-bidang yang disebut dalam butir B, berdasarkan studi dan pengkajian tersebut.
6. Mengidentifikasi hal-hal yang belum termasuk dalam studi yang sudah ada maupun yang sedang berjalan, serta melakukan studi sendiri dan kegiatan penelitian untuk mengetahui kebutuhan pengembangan kapasitas sesuai dengan sumber daya dan kerangka waktu yang tersedia.
7. Inventarisasi hal-hal mengenai kebutuhan pengembangan kapasitas lainnya yang sebaiknya dijalankan oleh pemerintah bersama dengan lembaga donor.
8. Merumuskan usulan dan rekomendasi kegiatan pengembangan kapasitas dalam hal-hal di mana penilaian kebutuhan telah dilaksanakan oleh tim konsultan atau tersedia informasi dari pihak lainnya.
9. Menjalankan inisiatif dalam kerangka yang disetujui oleh Study Committee, di mana semua pihak terkait di pemerintah pusat terlibat, mengenai proses konsultasi tindak lanjut (misalnya dalam bentuk diskusi meja bundar mengenai hal-hal tersebut) dan keikutsertaan wakil-wakil dari daerah beserta asosiasi masyarakat.

10. Menyiapkan laporan sesuai penjelasan dalam butir F.

D. Struktur / Organisasi / Tahapan Implementasi

Tim Konsultan akan terdiri atas anggota-anggota sebagai berikut

- a) Ketua Tim / Ahli Pengembangan Kelembagaan (internasional) (hingga sampai 2,5 bulan)
- b) Ahli Keuangan / Anggaran / Ekonomi Daerah (internasional) (hingga sampai 2 bulan)
- c) Ahli Perencanaan Partisipatif / Masyarakat Madani (international) (hingga sampai 2 bulan).
- d) Ahli Pengelola Sumber Daya Manusia untuk sektor Publik (international) (hingga sampai 2,5 bulan).

Beberapa konsultan nasional dengan kualifikasi yang sesuai atau mendukung akan dikontrakkan hingga sampai 5 bulan. Dana tersedia untuk menempatkan konsultan Internasional jangka pendek (hingga sampai 2 bulan) untuk membahas butir B1 sampai butir B9 dan hal-hal spesifik lainnya didalam proses pelaksanaan studi. Pelaksanaan studi direncanakan mulai November 1999 hingga Januari 2000. Penempatan anggota tim akan tergantung pada rencana kerja, dan penugasan dapat dilakukan dalam tahapan. Tetapi diperkirakan bahwa ketua tim dan seorang anggota tim lainnya akan bekerja terus menerus selama implementasi studi ini.

GTZ akan mengangkat seorang Koordinator Studi yang akan menjadi penghubung dengan tim kosultan dan menyediakan kebutuhan dan dukungan yang diperlukan dari GTZ. Pemerintah Indonesia melalui MenkoWasbangPAN akan menjalankan tugas mengkoordinasikan implementasi UU desentralisasi. Untuk ini MenkoWasbangPAN akan mendirikan sekretariat yang menjadi unit counter-part bagi tim konsultan. Sebuah Dewan Studi dibawah Menko WasbangPAN akan didirikan untuk mengikut sertakan departemen dan instansi pemerintah yang terkait dalam implementasi UU desentralisasi. Dewan Studi akan mendiskusikan dan menyetujui laporan dan hasil berkala rencana kerja tim, dan akan mendiskusikan dan menyetujui laporan akhir. Diperkirakan bahwa Dewan Studi akan menyelenggarakan pertemuan khusus mengenai beberapa isu yang menarik perhatian. Narasumber dari departemen, instansi daerah, dan masyarakat diharapkan dapat diundang kedalam pertemuan diskusi ini agar bisa mendapatkan masukan dan feedback terhadap proposal dan rekomendasi.

Diperkirakan studi ini dilaksanakan dalam tiga tahap : Pada awalnya tim konsultan akan menjalankan kegiatan sesuai butir C1 - C5. Ditahap kedua kegiatan butir C7 - C9 akhirnya laporan dipersiapkan dan didiskusikan butir (C9 - C10).

E. Kerangka Acuan Khusus untuk Anggota Tim.

a) Ketua Tim Ahli Pengembangan Kelembagaan (internasional)

Tugas-tugas

Di bawah bimbingan Koordinator Studi yang ditunjuk oleh GTZ, Ketua Tim/ Ahli Pengembang Kelembagaan akan merencanakan dan mengkoordinasikan implementasi studi pengkajian kebutuhan pengembangan kapasitas, memimpin dan mengelola konsultan-konsultan lainnya, berhubungan dengan pemerintah, dan mengelola pelaporan tim konsultan.

Secara khusus Ketua Tim / Ahli Pengembangan Kelembagaan akan :

- Menyiapkan rencana kerja dan menjadwalkan tugas-tugas para konsultan, mempresentasikan dan mendiskusikan rencana kerja, laporan dan temuan tim konsultan dalam rapat Dewan Studi.
- Mewakili tim konsultan dalam rapat Dewan Studi.
- Menghubungi Koordinator Studi yang ditunjuk oleh GTZ
- Menjalankan tanggung jawab dalam berhubungan dengan pemerintah dan institusi donor.
- Mengelola dan memimpin konsultan lainnya sesuai dengan kerangka acuan khususnya.
- Menyiapkan kerangka acuan untuk konsultan nasional dan konsultan internasional lainnya dan mengidentifikasi calon konsultan yang sesuai.
- Memberikan bantuan pada tema kerja konsultan lainnya dan menjalankan penilaian dan studi sesuai kebutuhan, khususnya dalam bidang pengembangan kelembagaan dan perubahan organisasional.
- Mengambil alih kepemimpinan didalam meneliti implikasi kerangka kondisi baru untuk pemerintahan daerah dan meneliti tingkat pengertian bersama dan pembangunan konsensus dalam sistim administrasi yang terkait dengan perubahan-perubahan ini (kegiatan dibutir C1 dan butir C2).
- Menjalankan tanggung jawab dalam menyiapkan Laporan Implementasi dan Laporan Teknis.
- Menjalankan tanggung jawab menyeluruh terhadap kebutuhan pelaporan dan menyiapkan Laporan Akhir.

Kualifikasi :

- Gelar sarjana lanjutan (S2)
- Sekurang-kurangnya 10 tahun pengalaman progresif profesional dalam pengembangan kelembagaan /reformasi administrasi, diutamakan dalam konteks desentralisasi dan program reformasi pemerintah daerah.
- Memiliki pengetahuan mengenai konteks politik dan administratif dari kebijaksanaan desentralisasi di Indonesia.
- Memiliki pengetahuan yang baik mengenai bantuan teknis dan finansial bilateral dan multilateral di Indonesia.
- Memiliki kemampuan yang nyata dalam kepemimpinan dan kemampuan manajemen, terutama dalam tim-tim yang multi kultural dan multi disiplin.

- Memiliki kemampuan komunikasi dan jaringan yang baik.
- Mampu menjalankan otoritas dengan administrator senior, manager organisasi donor dan golongan-golongan profesional dan swadaya.
- Mampu bekerja di bawah tekanan waktu dan hambatan operasional yang kompleks.
- Memiliki kemampuan kerja dalam bahasa Indonesia.

Lama tugas 2.5 bulan :

b) Ahli Keuangan / Anggaran / Ekonomi Daerah (internasional)

Tugas-tugas

Ahli Keuangan / Anggaran / Ekonomi Daerah akan memfokuskan diri pada penelitian kebutuhan pengembangan kapasitas yang berkaitan dengan proses anggaran baru untuk pemerintahan daerah, terutama keterlibatan DPRD dalam menentukan anggaran tahunan, dalam hal penyesuaian yang dibutuhkan dalam proses perencanaan pengembangan ekonomi daerah, dan dalam hal pendayagunaan instrumen pengembangan ekonomi daerah dan penyerapan tenaga kerja (butir B3,B5 dan B6). Secara khusus, Ahli Keuangan / Anggaran / Ekonomi Daerah akan :

- Di bawah pengelolaan Ketua Tim melakukan hubungan dengan pemerintah dan organisasi donor yang terkait dalam bidang-bidang ini.
- Inventarisasi, mengumpulkan dan menganalisis studi-studi yang telah ada dan melakukan penelitian yang relevan terhadap bidang-bidangnya.
- Menjalankan inisiatif untuk studi sendiri dan penelitian di bidang-bidang yang belum tercakup oleh laporan lainnya.
- Memformulasikan kegiatan tindak lanjut untuk meningkatkan keberdayaan pemerintahan daerah dalam bidang-bidang tersebut.
- Menyarankan, bilamana diperlukan, kegiatan tindak lanjut untuk penelitian lebih mendalam mengenai keberdayaan pemerintahan daerah dalam bidang tersebut.
- Memberikan kontribusi pada keseluruhan penelitian atas modifikasi kerangka untuk pemerintahan daerah. Memberikan kontribusi pada bidang-bidang konsultan-konsultan lainnya.
- Menjalankan tanggung jawab untuk menyiapkan laporan-laporan bidang.
- Memberikan kontribusi pada persiapan laporan-laporan implementasi dan teknis.

Kualifikasi

- Gelar Sarjana Lanjutan (S2).
- Pengalaman 10 tahun progresif profesional dalam bidang keuangan publik dan atau kebijaksanaan pembangunan daerah.
- Memiliki pengetahuan mengenai sistem anggaran Indonesia dan pemerintah dan peranan pemerintah dalam pengembangan ekonomi, terutama pada tingkat lokal / daerah.
- Memiliki pengetahuan mengenai konsep-konsep pelayanan publik (misalnya New Public Management, Public-Private Partnership dsb).
- Mampu bekerja dalam tim yang multi disiplin dan multi kultural.

- Memiliki kemampuan komunikasi dan kemampuan untuk bekerja dibawah tekanan.
- Memiliki kemampuan kerja dalam bahasa Indonesia.

Lama tugas : 2 bulan.

c) **Ahli Perencana Partisipasi / Kemasyarakatan (internasional)**

Tugas-tugas :

Ahli Perencana Partisipasi / Kemasyarakatan (internasional) akan memusatkan perhatian pada kebutuhan pengembangan kapasitas untuk memperkuat DPRD sesuai dengan tanggung jawab barunya, dan menyesuaikan sistem perencanaan pembangunan daerah yang ada kepada kerangka kondisi yang baru (butir B1 dan B4). Salah satu aspek utama dari tugas ini adalah untuk mencari instrumen yang tepat agar terjamin terjadi partisipasi masyarakat setempat di dalam proses pengambilan keputusan daerah.

Secara khusus Ahli Perencana Partisipasi / Kemasyarakatan akan :

- Menghubungi, dibawah pimpinan ketua tim, dengan pemerintah dan organisasi donor yang terkait dalam bidang ini.
- Inventarisasi, mengumpul dan menganalisa studi dan penelitian yang telah ada dan terkait dalam bidang tersebut.
- Melakukan inisiatif studi dan penelitian di bidang yang belum tercakup oleh laporan lainnya.
- Meneliti mekanisme partisipasi yang tepat untuk melibatkan masyarakat setempat dalam pengambilan keputusan daerah serta menyarankan strategi dan langkah tindak lanjut untuk memperkenalkan mekanisme demikian.
- Bilamana diperlukan menjalankan tindak lanjut untuk penelitian lebih mengenai keberdayaan pemerintahan daerah dalam bidang tersebut.
- Memberikan kontribusi kepada keseluruhan penelitian mengenai modifikasi kerangka untuk pemerintahan daerah.
- Memberikan kontribusi kepada bidang-bidang dari konsultan lainnya.
- Menjalankan tanggung jawab untuk menyiapkan laporan-laporan bidang.
- Memberikan kontribusi pada persiapan laporan-laporan implementasi dan teknis.

Kualifikasi :

- Gelar Sarjana Lanjutan (S2)
- Pengalaman 5 tahun progresif profesional dalam kebijaksanaan perencanaan pembangunan, terutama mengenai sistim perencanaan partisipatif.
- Mengetahui sistim perencanaan di Indonesia pada tingkat nasional dan daerah, dan juga mengetahui peranan institusi perencana lintas sektoral (BAPPENAS, BAPPEDA) dan pola-pola interaksinya dengan instansi sektoral pemerintah.
- Berpengalaman kerja dengan DPRD dan hubungan DPRD dengan masyarakat setempat.
- Mampu bekerja dalam tim yang multi disiplin dan multi kultural.

- Memiliki kemampuan komunikasi dan kemampuan untuk bekerja dibawah tekanan.
- Memiliki kemampuan kerja dalam bahasa Indonesia.

Lama tugas : 2 bulan

d) Ahli Pengelolaan Sumber Daya Manusia untuk Sektor Publik (international)

Ahli Pengelola Sumber Daya Manusia akan menangani penelitian mengenai kebutuhan pengembangan keberdayaan yang terkait dengan pengelolaan sumberdaya manusia pada tingkat daerah, dan mengenai pengembangan struktur institusi pemerintah daerah (butir B7 dan B8). Sebagian tugas adalah melakukan penelitian menyeluruh mengenai jaringan yang ada serta sesuai tidaknya institusi pelatihan di bawah kerangka kondisi yang baru ini.

Secara khusus Ahli Pengelolaan Sumber Daya Manusia akan :

- Menghubungi, di bawah pimpinan ketua tim, dengan pemerintah dan organisasi donor yang terkait dalam bidang ini.
- Inventarisasi, mengumpulkan dan menganalisis studi dan penelitian yang telah ada dan terkait dalam bidang tersebut.
- Melakukan inisiatif studi dan penelitian di bidang yang belum tercakup oleh laporan lainnya.
- Meneliti jaringan institusional pelatihan pelayanan publik dan kesesuaian dengan manajemen personalia sektor publik, dan merekomendasikan strategi perubahan sesuai dengan modifikasi kerangka untuk pemerintahan lokal.
- Meneliti instrumen yang ada dan pendekatan analisis dan memodifikasi struktur organisasi pemerintahan daerah dan merekomendasi tindak lanjut untuk meningkatkan keberdayaan pemerintahan daerah dalam pengembangan analisis organisasi.
- Bilamana diperlukan menjalankan tindak lanjut untuk penelitian lebih mendalam mengenai keberdayaan pemerintahan daerah dalam bidang tersebut.
- Memberikan kontribusi kepada keseluruhan penelitian mengenai modifikasi kerangka untuk pemerintahan daerah.
- Memberikan kontribusi kepada bidang-bidang dari konsultan lainnya.
- Menjalankan tanggung jawab untuk menyiapkan laporan-laporan bidang.
- Memberikan kontribusi pada persiapan laporan-laporan implementasi dan teknis.

Kualifikasi :

- Gelar Sarjana lanjutan (S2)
- Pengalaman 5 tahun progresif profesional dalam pengelolaan sumber daya manusia, terutama di sektor publik.
- Pengalaman dalam proses pengembangan organisasi dan instrumen di sektor publik.
- Mengerti sistem administrasi pemerintah di Indonesia khususnya mengenai pelatihan pelayanan publik, manajemen personalia dan masalah masalah organisasi.
- Mampu bekerja dalam tim yang multi disiplin dan multi kultural.

- Memiliki kemampuan komunikasi dan kemampuan untuk bekerja di bawah tekanan.
- Memiliki kemampuan kerja dalam bahasa Indonesia.

Lama tugas 2.5 bulan.

F. Persyaratan Laporan

Di bawah tanggung jawab menyeluruh dari Ketua Tim maka tim konsultan akan menyiapkan sebagai berikut :

1. **Laporan Implementasi**, yang menggambarkan jadwal kegiatan, masalah masalah yang dihadapi selama pelaksanaan studi, serta daftar narasumber dan atau pejabat pemerintah yang dihubungi.
2. **Rangkaian Laporan Teknis** yang mencakup hal-hal :
 - **Rangkuman hasil pengkajian mengenai kebutuhan pengembangan kapasitas**, baik yang ada maupun yang direncanakan dari organisasi donor lainnya dan instansi pemerintah. Laporan perlu memberikan perincian mengenai institusi, kerangka waktu, tujuan, Perangkat studi, hasil, dan rekomendasi.
 - **Metode dan Instrumen** untuk pengkajian kebutuhan pengembangan kapasitas yang digunakan dalam berbagai studi dan pengalaman yang didapatkan dengan metode ini. Laporan harus secara khusus menilai metode dan instrumen yang digunakan dalam kerangka administrasi publik di Indonesia.
 - **Pengkajian tetnang orientasi dan sosialisasi** kebutuhan pengembangan kapasitas di dalam sistem administrasi UU dan peraturan baru.
3. **Rangkaian Laporan-Laporan Tematik** yang mencakup bidang-bidang tema kunci seperti yang disusun di atas (butir B1 - B9) dan mencakup pengkajian yang menyeluruh mengenai kerangka baru pemerintahan daerah, termasuk pengkajian mengenai isyu implementasi yang tersedia.

Laporan Akhir harus diselesaikan pada tanggal 31 Januari 2000. Laporan sesuai tema agar diselesaikan dalam kaitan dengan konsultasi masing-masing. Laporan Teknis yang mencakup lintas tema (seperti metoda dan instrumen untuk penelitian kebutuhan pengembangan kapasitas) agar disiapkan dan diselesaikan sambil pekerjaan team berjalan, selambat-lambatnya dalam kaitannya dengan laporan akhir. Laporan sementara perlu disediakan untuk diskusi dengan dewan studi. Laporan Pelaksanaan Studi harus diselesaikan sampai pada tanggal 31 Januari 2000.

Annex 4 List of consultants

<i>Name</i>	<i>Organisation</i>	<i>Assignment Period</i>	<i>Function/ Theme</i>
Rainer Rohdewohld	GTZ	1 November 1999 - 31 March 2000, 12 June – 31 October 2000	Team Leader
Luc Spyckerelle	GTZ	1 November 1999 – 30 April 2000	Role and Function of DPRD (B1), Local Development Planning (B4)
Syahroni	GTZ	10 November 1999 - 31 October 2000	Role and Function of DPRD (B1), Local Development Planning (B4)
Blane Lewis	CLEAN Urban	15 November 1999 - 29 February 2000	Regional Economic Development (B6)
Laila Suryodipuro	CLEAN Urban	15 November 1999 - 31 August 2000	Urban Services (B3)
Adam Nugroho	CLEAN Urban	15 November 1999 - 31 August 2000	Regional Finance (B5)
Dr. Manfred Poppe#	GTZ	1 February - 31 March 2000, 12 June – 15 August 2000	Role and Function of DPRD (B1), Local Development Planning (B4)
Robert A. Raitt	GTZ	10 January - 31 March 2000, 12 June – 15 August 2000	Human Resource Management (B8)
Encik Mugnidin #	GTZ (KUF)	3 weeks in March and July 2000	Agricultural Services (B3)
Prof. Dr. Manasse Malo*	CLEAN Urban	3 work months (January/February, June/July 2000)	Health and Education Services (B3)
Drajat Tri Kartono, Msi*	CLEAN Urban	3 work months (January/February, June/July 2000)	Health and Education Services (B3)
William Kugler	CLEAN Urban	15 November 1999 - 31 October 2000	Urban Services (B3), Regional Finance (B5)
Mohammad Nadjib	CLEAN Urban	15 January - 29 February 2000, 12 June – 31 July 2000	Regional Economic Development (B6)
Gina L. Leiwakabessy	GTZ	15 February - 31 March 2000, 1 June – 31 August 2000	Human Resource Management (B8)
Muhammad Firdaus	GTZ	15 February - 31 March 2000, 1 June – 31 August 2000	Human Resource Management (B8)
Bambang Tata Samiadji*	CLEAN Urban	January/February 2000 (2 work months)	Interregional Cooperation (B9)
Owen Podger+	ADB-TA 3177-INO	June/July 2000	Organisational Development (B7)
Wayan K. Tirthayasa+	ADB-TA 3177-INO	June/July 2000	Organisational Development (B7)

Notes:

Only the CLEAN Urban staff indicated with an * participated in the study on a full-time basis. The other CLEAN Urban staff carried out additional assignments as long-term advisors of the CLEAN Urban project.

Around 10 days of Dr. Poppe's assignment were utilised in the context of an upcoming Public-Private Partnership Programme in Spatial Planning.

E. Mugnidin has been seconded from the GTZ-supported Kalimantan Upland Farming (KUF) Project to cover the assessment regarding agricultural services.

+ Owen Podger and Wayan K. Tirthayasa participated in the study as part of their assignment with the ADB-TA 3177-INO.

Annex 5 - Generic Schedule of a Field Assessment

Day 1 (Monday)

	Theme B3 (Public Services) B3.1 Urban Services	B3.2 Health/ Education	B3.3 Agriculture	Theme B4 (Planning)	Theme B5 (Regional Finance)	Theme B6 (Regional Economic Development)	Theme B7 (Organisational Development)	Theme B8 (Human Resource Management)	Theme B9 (Interregional Cooperation)	Others
Session 1 (08.00 - 10.00)	Opening Workshop with the local government: <ul style="list-style-type: none"> • Welcome Remarks by the Provincial Government • Welcome Remarks by the Kepala Daerah: local priorities, planning for the implementation of UU 22 and 25 (1999) • Welcome Remarks by the Ketua DPRD: Role and Function of the DPRD • Welcome Remarks by Representative from Kantor Menteri Negara Otonomi Daerah • Explanation of study background, objectives, implementation • Explanation of assessment approach (methods, instruments etc.) 									
Session 2 (10.30 - 12.00)	Continuation Opening Workshop <ul style="list-style-type: none"> • Explanation of schedule in the location • Distribution of questionnaires and other material, requests for data to be gathered during the week and agreement on the arrangements for its collection 									
Lunch break										
Session 3 (14.00 - selesai)	Guided tour of the local government (problem areas, land use pattern, economic activities, visit to service facilities) (where appropriate) If no tour: Interviews/Meetings with pemda officials									

Remarks:

In Ibukota Propinsi: need for courtesy call Provincial Government or involvement in Opening Workshop
 Theme B3.3 (Agriculture) only in rural local governments

Day 2 (Tuesday)

	Theme B3 B3.1 Urban Services	(Public Services) B3.2 Health/ Education	B3.3 Agriculture	Theme B4 (Planning)	Theme B5 (Regional Finance)	Theme B6 (Regional Economic Development)	Theme B7 (Organisational Development)	Theme B8 (Human Resource Management)	Theme B9 (Interregional Cooperation)	Others
Session 1 (8.30 - 10.00)	<ul style="list-style-type: none"> • Meeting/Discussion with DPRD members and leadership: Normative Framework of B1 (Role and functions of DPRD) • Issues: New role of DPRD, needed support functions from the secretariat, processes and procedures of the DPRD interaction with the LG administration, involvement of civil society (public hearings, complain mechanisms etc.) • Distributing questionnaires for DPRD members; Focused questioning (Q/A) 									
Session 2 (10.30 - 12.00)	<ul style="list-style-type: none"> • Contd. 									
Lunch break										
Session 3 (13.30 - selesai)	Meeting with DPRD members having an interest in urban services	Meeting with DPRD members having an interest in health and education	Meeting with DPRD members having an interest in agricultural services	Meeting/ Discussion with DPRD members having an interest in development planning issues	Meeting with DPRD members having an interest in finance issues (Komisi C DPRD)	Meeting with DPRD members having an interest in capital investment and local economic development issues	Meeting with DPRD members dealing with administration and organisational issues	Join with B3 (Urban Services)		

Day 3 (Wednesday)

	Theme B3 (Public Services) B3.1 Urban Services	B3.2 Health/ Education	B3.3 Agriculture	Theme B4 (Planning)	Theme B5 (Regional Finance)	Theme B6 (Regional Economic Development)	Theme B7 (Organisational Development)	Theme B8 (Human Resource Management)	Theme B9 (Interregional Cooperation)	Others
Session 1	08.00 Focus Group discussion: BAPPEDA (Kepala Bidang Sarana dan Prasarana), Kepala Dinas PU/Kebersihan/ Pasar/LLAJ Normative Framework for B3 (Urban Services), Questionnaires	08.00 Interview/Meeting Kepala Dinas P&K	08.00 Meeting/ Discussion with Kepala Dinas/ KaSeksi of agriculture-related agencies: Normative Framework for Agricultural Services	09.30 Workshop with BAPPEDA Propinsi, BAPPEDA Kab/Kota (Ketua BAPPEDA, Sekretaris, Ka Bid), KaBag Penyusunan Program, PMD, Camat	08.00 Focus Group discussion: Normative Framework (DPRD Komisi C, KDH, Setwilda, BAPPEDA, KaBag Keuangan), distribution of questionnaires	09.00 Meetings with private sector groups: KADIN, APINDO, LSM etc.		08.00 Workshop for Bagian Kepegawaian Daerah on future capacity needs	Join with B4	
Session 2	Contd.	09.30 Meeting/Interview with Kepala Kandep P&K	Contd.	Contd.	Contd.	Contd.		Contd.	Contd.	
Lunch break										
Session 3	14.00 Meeting/Interview with Kepala Dinas/KaSeksi Tata Kota/ Tata Bangunan	13.00 Meeting/Interview Kepala Dinas Kesehatan	14.00 - selesai Field visit to BIPP and other service units, meetings with farmer groups	Contd.	13.30 Meeting with Kepala Bagian Keuangan/KaSeksi Bagian Keuangan	13.30 Focus Group discussion with Kepala Dinas PU, BPN, Dipenda, Dinas Tenaga Kerja		13.30 Focus Group discussion with service agencies staff: Requirement of service agencies regarding HRM services	Contd.	

B4: Meeting could involve participants from adjacent local governments

Day 4 (Thursday)

	Theme B3 (Public Services)			Theme B4 (Planning)	Theme B5 (Regional Finance)	Theme B6 (Regional Economic Development)	Theme B7 (Organisational Development)	Theme B8 (Human Resource Management)	Theme B9 (Interregional Cooperation)	Others
	B3.1 Urban Services	B3.2 Health/Education	B3.3 Agriculture							
Session 1	08.00 Meeting/Interview with Kepala Dinas/KaSeksi PU (Cipta Karya, Bina Marga)	I08.00 Interview/Meeting KaKanwil P&K	08.00 Workshop Capacity Building Needs in Agriculture (KaDinas and KaSeksi in related agencies)	Meeting/Interview with Bupati/Walikota or their deputy and Sekda Kab/Kota	08.00 Meeting/Interview with Kepala Dinas/KaSeksi Pendapatan Daerah	08.00 Meeting with Setwilda (Kepala Bagian Ekonomi dan Keuangan)	08.00 Workshop "Organisational Change" (Bagian Kepegawaian, Bagian Orta-la, KaSeksi Pegawaiian Dinas)	08.30 Interview/Meeting with Kepala Pusdiklat Propinsi, tour of the facility, discussion with senior trainers		
Session 2	09.30 Meeting/Interview with Direksi PDAM	09.30 Interview/Meeting KaKanwil Kesehatan	Contd.	Contd.	Contd.	Meetings with: <ul style="list-style-type: none"> • 09.30 Kepala Daerah • 11.00 BAPPEDA (Sos/Econ) 	Contd.	10.30 Interview/Meeting with Kepala Biro Kepegawaian Propinsi		
Lunch break										
Session 3	13.00 Meeting/Interviews with Kepala Dinas/KaSeksi Kebersihan/Pasar/Kebakaran/Perumahan/LLAJ	13.00 Meeting/Interview with Kepala Kandep Kesehatan	Contd.	14.00 Meeting/Interview with local NGOs	14.00 Meeting with LSM, Akademia	13.30 Meetings with Provincial officials: BKPM and associated agencies	Contd.	14.00 Regional BKN and/or local external training institute		
Session	Contd.		Contd.			Contd.	Contd.	Contd.		

Day 5 (Friday)

	Theme B3 (Public Services)			Theme B4 (Planning)	Theme B5 (Regional Finance)	Theme B6 (Regional Economic Development)	Theme B7 (Organisational Development)	Theme B8 (Human Resource Management)	Theme B9 (Interregional Cooperation)	Others
	B3.1 Urban Services	B3.2 Health/Education	B3.3 Agriculture							
Session 1	09.00 Meeting/Interview with Kepala Kanwil PU	09.00 Meeting/Interview with KaKanwil P&K	09.00 Meeting/Interview with Kepala Kanwil Pertanian	09.00 - 11.00 Workshop with Bagian Penyusunan Program of all sectoral agencies	09.00 Meeting/Interview with Kepala Biro/KaSeksi Keuangan Propinsi	09.00 - 11.00 Focus group discussion with dinas-dinas associated with leading economic sectors in the daerah		09.00 Interview regarding existing capacity with Kepala Bagian Kepegawaian, Kepala Seksi-Seksi Bagian Kepegawaian	09.00 Individual Interviews with KDH, setwilda and KaDPRD re interest in associations	09.00 - 11.00 Group Discussion B2 (Supervisory Mechanisms) (Kepala Bagian Hukum Setwilda, KaBagian Penyusunan Program Dinas Pertanian, P&K, Kesehatan)
Session 2		10.00 Meeting/Interview with KaKanwil Kesehatan						Interview Sekwilda	Contd.	Contd.
Afternoon	Preparation of presentation for wrap-up workshop (study team only)									

Day 6 (Saturday)

	Theme B3 (Public Services)	Theme B4 (Planning)	Theme B5 (Regional Finance)	Theme B6 (Regional Economic Development)	Theme B7 (Organisational Development)	Theme B8 (Human Resource Management)	Theme B9 (Interregional Cooperation)	Others
	B 3.1 Urban Services	B 3.2 Health/ Education	B 3.3 Agriculture					
Session 1	Wrap-up workshop: <ul style="list-style-type: none"> • Presentation of preliminary findings of the study team • Discussion • Next steps (Study team – Pemda), Agreement on future data collection/completed questionnaires to be sent to Jakarta • Discussion 							
Session 2	Continuation Wrap-up workshop							

Annex 6 Plan of Operations (November 1999 - October 2000)

No.	Item	11/99	12/99	01/00	02/00	03/00	04/00	05/00	06/00	07/00	08/00	09/00	10/00
1.	Consultants' Schedule (incl. themes)												
1.1.	Rainer Rohdewohld (TL) (GTZ)												
1.2.	Luc Spyckerelle (B1, B4) (GTZ)												
1.3.	Syahroni (B1, B4) (GTZ)												
1.4.	Bob Raitt (B8) (GTZ/UK Civil Service College)												
1.5.	Manfred Poppe (B1, B4) (GTZ)												
1.6.	Bill Kugler (B3, B5) (CLEAN Urban)												
1.7.	Blane Lewis (B6) (CLEAN Urban)												
1.8.	Laila Suryodipuro (B3) (CLEAN Urban)												
1.9.	Adam Nugroho (B5) (CLEAN Urban)												
1.10.	Muhammad Firdaus (B8) (GTZ/LAN)												
1.11.	Gina Leiwakabessy (B8) (GTZ/LAN)												
1.12.	Encik Mugnidin (B3/Agriculture) (GTZ/KUF)												
1.13.	Prof. Manasse Malo (B3/Health/Education)(CLEAN Urban)												
1.14.	Drs. Drajat (B3/Health/Education) (CLEAN Urban)												
1.15.	Mohammad Najib (B1, B4, B6) (CLEAN Urban)												
1.16.	Bambang Tata Sudradji (B9) (CLEAN Urban)												
2.	Meeting, Seminars, Workshops												
2.1.	Steering Committee/PokJa IV				22	28				25	9		
2.2.	Internal Workshops	16			3								
2.3.	Round-Table Discussions/Thematic Presentations												
	#Urban Services				21								

	# Human Resource Management									31		
	#Planning				15,20					25	18	
2.4.	Donor Coordination Meetings			21						11		13
2.3.	Participation in seminars and workshops	X	X		X	XX		XX		XX		XX
3. Field Visits												
	Kota Bengkulu (Bengkulu)					—						
	Kota Makassar (SulSel)							—				
	Kabupaten Kutai Induk (KalTim)									—		
	Kota Malang (JaTim)										—	
	Kabupaten Bima (NTB)									—		
4. Other activities												
4.1.	Assessment of framework regulations							—				
4.2.	Data Base Development (by CIDA consultants)	—										
5. Reporting Schedule												
5.1.	Implementation Reports											
	5.1.1 Implementation Report (Nov.99 - March 2000) (WD04)					→						
	5.1.2 Implementation Report (Nov.99 - October 2000) (WD06)											→
5.2.	Normative Frameworks (WD01, WD02)							→				→
5.3.	Technical Reports											
	5.3.1 Summary of donor activities/Database report (TR01)											→
	5.3.2 Methods, Tools, Instruments (Revised) (TR02)									→		

Annex 7 - Short Bibliography on Capacity Building

Bennell, Paul

- 1999 Strengthening Post-Graduate Training Capacity in Development Policy Analysis and Management in Sub-Saharan Africa, 48 p., Institute of Development Studies, University of Sussex, Brighton, UK

The overall purpose of this report is twofold: (i) to provide an overview of donor-supported interventions to strengthen post-graduate training capacity in development studies in Sub-Saharan Africa (SSA) during the 1990s ; and (ii) to then consider how the knowledge and skills of the Institute of Development Studies (IDS) at Sussex University and other UK development study institutions (DSIs) can be best applied to improving training capacity in this key area in SSA countries over the next decade.

Beschel, Robert P. Jr.

- 1998 Key Themes and Priorities For Governance and Capacity Building in the Asian and Pacific Region, __ p., Governance and Capacity Building Resource Group, Strategy and Policy Office, Asian Development Bank, Manila, Philippines

A summary of the discussions of the ADB workshop “*Key Themes and Priorities for Governance and Capacity Building in the Asian and Pacific Region*”, Manila, 12-16 January 1998.

Blair, Harry

- 1998 Spreading Power to the Periphery : An Assessment of Democratic Local Government, 64 p., USAID Programs and Operations Assessment Report No. 21, Washington DC, USA

This report is based on studies of democratic local governance conducted in 1996/97 in Bolivia, Honduras, Mali, the Philippines, Ukraine, and the Indian state of Karnataka. Its central objective is to assess development community experience in promoting democratic local governance and to derive lessons from that experience to inform future support of DLG.

DPP Evaluation Review Team

- 1999 Production Arrangements: from design through appraisal and supervision, Uganda Working Brief Series, District Development Project, United Nations Capital Development Program Fund, Kampala, Uganda

The most complex part of the DDP formulation process was to determine the procedures for identifying, planning and prioritising investments, and the construction of facilities or the provision of services to be financed by the Local Development Fund (LDF). Although the Local Government Act, 1997 assigned these responsibilities to the lower level local governments, it did not define how to implement them. Therefore, the local production arrangements varied from district-to-district. In addition, many of the Districts were and, many still are, lacking the technical expertise to carry out the revised production arrangements laid out in the DDP Project Document. As was discovered during the DDP Review, the Local Governments' production arrangements are still very weak, but some progress is being made. This Brief highlights some of the areas of weakness and offers specific recommendations for improving production arrangements in the Districts.

- 1999 Local government planning, Uganda Working Brief Series, District Development Project, United Nations Capital Development Program Fund, Kampala, Uganda

During the DDP formulation, it was evident that District, Sub-county, Parish and Village planning capacities were limited. Decisions concerning resource allocations for public service delivery were made, to a large extent, within the confines of individual development projects. Although Districts are to integrate the plans of lower level local governments into a comprehensive "District Development Plan," it was, and still is, a major challenge for the Districts. The November DDP Review found that progress has been made in local government planning in the five pilot districts. This Brief looks both at the progress made and the areas still needing improvement.

Giantris, Philip, Ahmed Allam, Franklin Dryden, Farouk El Sheikh, Mohamed Harfoush and George Kinias

- 1999 Assessment of the Managerial Capacity of the Cairo General Organization of Sanitary Drainage, 71 p., Development Alternatives Inc, for USAID, Washington DC, USA

This report provides an assessment – conducted over an intensive five-week period – of the managerial capacity of the Greater Cairo General Organization for Sanitary Drainage (CGOSD) to carry out its intended mandates. The basic methodology of the assessment was to compare CGOSD along a variety of thirteen functional areas that are common to a publicly owned and operated wastewater utility.

Guerrero O., R. Pablo

- 1999 Comparative Insights from Columbia, China, and Indonesia, ECD Working Paper Series No. 5, January 1999, Operations Evaluation Department, World Bank, Washington DC, USA

Hermann, Chris

- 1986 Information planning for Policy Reform Programs, 28 p., Aid Evaluation Occasional Paper No. 13, USAID, Washington DC, USA

Policy reform programs need adequate information about program implementation and the effects of reform measures for sound program management. Therefore, an information component should be an integral part of policy reform programs. The guidance of this paper focuses on the common categories of information needed by most policy reform programs : compliance data, performance of public sector institutions, program implementation and context, policy reform impact and private sector response. The examples of the types of data required for program monitoring and evaluation and the range of methods that can be used to collect these data are taken from two policy reform programs -- the Agriculture Sector Development Grant in Niger, and the Economic Policy Reform Program in Mali.

Humplick, Frannie and Azadeh Moini-Araghi

- 1996 A Double Cost Hidden Level of Effort Approach to Decentralization of Road Provision, 41 p., Policy Research Department, World Bank, Washington DC, USA

This study was undertaken under the World Bank research project on "Decentralization, Fiscal Systems and Rural Development". The study focuses on the processes through which services are delivered; to learn about the economic, political and institutional factors that influence the outcome of decentralization efforts, and to the extent possible to quantify the impact of decentralization on rural service delivery. An interesting feature of the study is its focus on various types of fiscal

decentralization, mainly decentralization disaggregated by activity: decentralization of construction, maintenance and administrative activities.

One section of the report sets out to test the effect of the depth of decentralization (to state and local governments as well as a function of the number of governments) by measuring the impact of decentralization on road service performance for Germany.

Kleemeier, Lizz

- 1996 Collaboration between CDR and Danida on Aid Impact Research: A Case Method Approach to Discussing the Issues, CDR Working Paper No. 96.4, Centre for Development Research, Copenhagen, Denmark

This paper is intended to facilitate discussion among CDR researchers and Danida staff about how to collaborate on aid impact research. The paper draws upon state-of-the-art methodologies which professional evaluators use to involve stakeholders in evaluations of their projects and programs. A hypothetical example illustrates how CDR researchers could adapt these methodologies to develop a research agenda, and to develop specific issues from that agenda into research proposals, in collaboration with Danida staff. The key methods in this are semi-structured interviewing and the constant comparative method of analysis.

Kolehmainen-Aitken, Riitta-Liisa and William Newbrander

- 1997 Lessons from FPMD : Decentralizing the Management of Health and Family Planning Programs, Management Sciences for Health for USAID, Washington DC, USA

The focus of this monograph, on Family Planning Management Development, is to share practical experiences, rather than to provide a theoretical discussion. The document does not assume the existence of or the potential for a single prescription for the "correct" way to decentralize. Instead, it identifies the factors that are affected by introducing decentralization, and suggests ways that decentralization should be instituted in order to improve health and family planning services. The first section provides a brief review of commonly used categories for forms of decentralization. An analysis of key lessons from the field that includes numerous illustrative country examples follows. A rational planning process for introducing decentralization is described next, followed by a discussion of factors enabling decentralization to succeed. The monograph concludes by proposing key issues for future analysis and debate.

Lippman, Hal and Jan Emmert

- 1997 Assisting Legislatures in Developing Countries : A Framework for Program Planning and Implementation, USAID Program and Operations Assessment Report No. 20, Center for Development Information and Evaluation, USAID, Washington DC, USA

This report summarizes recent USAID and other donor experience with legislative assistance, describes major lessons learned from these efforts, and offers ideas and suggestions for future programming. The assessment of USAID programs was for Bolivia, El Salvador, Nepal, Poland, and the Philippines. The purpose of the report is to help USAID staff and other development practitioners understand the nature of legislative assistance, the kinds of programs it encompasses, and the factors to consider in trying to decide when and how to provide it.

McCannell, Ryan S.

- 1995 Legislative Strengthening : A Synthesis of USAID Experience, USAID Center for Development Information and Evaluation, Washington DC, USA

This overview draws from evaluations, interviews, and lessons learned, to examine the methodology and effectiveness of USAID-supported legislative strengthening projects. In all, this package attempts to synthesize existing information on USAID experience in legislative strengthening. It does not address the larger conceptual issues of whether legislative strengthening activities may be appropriate for a given USAID Mission's democracy program.

The first section of this overview focuses on the two main components of legislative strengthening assistance -- educational activities and information services development -- and reflects on some of the benefits of the approaches used. The second section highlights several variables involved in project implementation, based on the particular needs of different legislative systems. The final section examines potential problems and contains a warning: Legislative strengthening projects strike at the heart of sovereign political systems, and so implementers must take pains to avoid being accused of meddling in the host country's internal affairs.

Mentz, J. C. N.

- 1997 Personal and Institutional Factors in Capacity Building and Institutional Development, ECDPM Working Paper No. 14, European Centre for Development Policy and Management, Maastricht:, the Netherlands

The central focus of this paper is an analysis of the concepts of capacity and capacity building and their role in public /service management. The civil service plays a central role not only in economic development, but also in the development process as a whole. The focus therefore will be on what constitutes capacity ? How is capacity developed or built ? And how does capacity building fit into the process of civil service reform ?

Middleberg, Maurice I.

- 1993 Assessing Management Capacity among non-governmental organizations, CARE Population Program

A questionnaire to help assess NGO management strengths and weaknesses to formulate and implement a management development program. By using the information provided by the assessment, managers can focus resources on the program management areas in greatest need of attention.

Morgan, Peter

- 1997 The Design and Use of Capacity Development Indicators, CIDA, Hull, Canada

Mpabulungi, Annet

- 1999 Assessment of the cascade training, Uganda Working Brief Series, District Development Project, United Nations Capital Development Program Fund, Kampala, Uganda

For a long time, national governments have been perceived as the controllers of the development process. In light of Uganda's decentralisation policy, the mutually reinforcing roles of local government and civil society are gaining greater credibility. This Brief describes the training under the establishment phase of District Development Project (DDP) Pilot that has been carried out to build capacities in the pilot districts. Focus is also on assessing how far the cascade training approach, where higher levels are responsible for mentoring and providing technical skills to

lower level local governments, has met the needs of the Local Governments and the constituents

OECD

1999 Criteria for Donor Agencies' Self-Assessment in Capacity Development, Strategic Management of Development Co-operation Division, Development Assistance Committee, Organisation for Economic Cooperation and Development, Paris, France.

1997 Evaluation of Programs Promoting Participatory Development and Good Governance : Synthesis Report, DAC Expert Group on Aid Evaluation, Organisation for Economic Cooperation and Development, Paris, France

The Expert Group on Aid Evaluation undertook to develop a review in the following five main areas of Participatory Development and Good Governance activity : legal systems ; public sector management ; decentralisation ; human rights ; participation. For each of these, key concepts and frameworks are briefly explained, a summary of experiences and lessons learned are given. .

Omoding, James, Annet Mpabulungi, and Deb Johnson

1999 Commitment, participation and trust, Uganda Working Brief Series, District Development Project, United Nations Capital Development Program Fund, Kampala, Uganda

In 1998, the Project Management Unit (PMU) of the District Development Project (DDP) assisted the Pilot Districts to identify those Sub-counties that fulfilled the Minimum Conditions needed to qualify for the Local Development Funds (LDFs) and Capacity Building Funds (CBF). Something unusual was happening in the Districts—people in the villages and towns were putting pressure on the local government system to make sure their sub-counties and districts met the Minimum Conditions. Three essential “environmental” factors emerged that are important to improving governance. These three environmental factors are: commitment to devolution of governance as close as possible to community members ; active and willing participation of community members in the governance process ;and establishing trust amongst development actors at all levels.

Onyach-Olaa, Martin

1999 Mentoring of Lower Level Local Governments by District Local Governments, Uganda Working Brief Series, District Development Project, United Nations Capital Development Program Fund, Kampala, Uganda

The Local Government Act, 1997 refers to no less than twenty ways in which District local governments are responsible for mentoring the activities of lower level local governments. Mentoring is a key, crosscutting issue arising from DDP implementation experience to date, hence it is an area that requires more thought and energy. This Brief provides the Ugandan legal context for local government mentoring and offers suggestions that can be immediately applied.

Page, Kara D. and Martin Schwarz

1996 USAID Capacity Building in the Environment : A Case Study of the Central American Commission for Environment and Development, 12 p., USAID Center for Development Information and Evaluation, Washington DC, USA

The “Lessons learned” were :Provide Consistent and Timely Support; Use Integrated Channels of Support; Support Local Priorities; Support Local Leaders; Support Appropriate Institutional Structures; Support Appropriate Capacity-Building Measures.

Porter, Doug and Martin Onyach-Olaa

- 1998 Inclusive Planning and Allocation for Rural Services, United Nations Capital Development Program Fund, [Also scheduled to be published in Development and Practice]

The authors draw on experience from Uganda's commitment to decentralisation. This commitment is transforming the way services are planned and financed; new associations between local governments, NGOs and private sector agencies are being created. Much attention has focused on the adoption of various techniques — such as PRA — through which direct and intensive forms of participation can be encouraged in decentralised planning. This trend is critically examined and potential unintended consequences are highlighted. A broader concept of accountability is outlined to illustrate a more inclusive approach to planning and allocation for more equity and sustainability in rural services

Romeo, Leonardo

- 1998 Decentralized Development Planning : Issues and early lessons from UNCDF-supported LDF Programmes, United Nations Capital Development Program Fund

The paper presents a “generic” form of the local planning process.

Schacter, Mark

- 1998 Monitoring and Evaluation Capacity Development in Sub-Saharan Africa : Lessons from Governance Programming, 30 p., Partnerships and Knowledge Programs Division, Operations Evaluation Department, World Bank, Washington DC, USA

Based on a literature review and on the experience of the Institute on Governance, Canada, this report addresses the convergence of programming in the areas of governance and monitoring and evaluation capacity development in SSA.

Schneider, Hartmut

- 1998 Participatory Governance : The Missing Link for Poverty Reduction, 31 p., OECD Development Centre, Policy Brief No. 17, OECD, Paris, France

This Policy Brief first elaborates on the rationale of Participatory Governance (why do we need it?), and then addresses the question of how it can become a reality in different settings. The answer to the latter question draws largely on recent research and in particular on the case studies which illustrate a variety of experiences from seven countries in Africa, Asia and Latin America. There are no unmitigated success stories among these experiences but they offer insights into the multiple paths that can be followed, and the difficulties to be overcome on the road to more effective poverty reduction.

Shah, Anwar

- 1998 Balance, Accountability, and Responsiveness : Lessons about Decentralization, 43 p., World Bank, Washington DC, USA

Shah examines the reasons developing countries are reexamining the respective roles of the private sector, civil society, and various levels of government-and considering new fiscal arrangements between national and lower levels of government.

He concludes that decentralized fiscal structures are more suitable in developing countries than centralized structures are, especially when they are supported by

strengthening the rule of law, an independent central bank, an independent judiciary, a charter of rights, appropriate limits on various levels of government, institutions for conflict resolution and for the evaluation of government efforts at all levels, and mechanisms (including a free media) for listening and making government accountable to the citizenry.

Spofford, Tom

- 1997 Pilot Local Government Partnership Program : Summary of Capital Investment Planning Technical Assistance Provided to Pilot LGPP Partner Cities, 12 p., USAID, Washington DC, USA

This paper reports on the progress of technical assistance for capital investment planning and budgeting delivered under the Pilot Local Government Partnership Program in Poland. The experience of Szczecin and Ostrów Wielkopolski points to strong, even dramatic progress that can be packaged for replication in other gminas. Their experience also suggests that the CIP is a very effective "learning platform" to accelerate recognition by gmina leadership of needed improvements in the technical, financial and managerial elements of investment decision-making.

Thomson, Kay

- 1996 Capacity Development in the Environment : A practical aid to sustainable development ?, EC Aid and Sustainable Development Briefing Paper No. 12, International Institute for Environment and Development, London, UK

Agenda 21, the global action plan for environment and development adopted by world governments at the Earth Summit in 1992, brought the terms 'sustainable development' and 'capacity building' into popular usage. Like sustainable development, capacity building is a catch phrase which is poorly defined, widely used, and often confused and abused. For those in aid agencies charged with supporting capacity building in developing countries, more precision is required, and more detail on the 'how to' of capacity building. This briefing attempts to give the practitioner a clearer understanding of the issues underlying 'capacity', starting with an overview of the broad capacity development agenda and then focusing on the specific issue of the environment.

UNDP

- 1998 Decentralized Governance Monograph : A Global Sampling of Experiences, 103 p, Management Development and Governance Division, UNDP, New York, USA

This monograph is not intended to be a "best-practice" guide on decentralized governance, but it is rather designed to be a source book of experiences and lessons which would enable readers to expand their intellectual comprehension of the concept while viewing an array of field examples throughout various regions in the developing world, as well as to identify a host of print and electronic resources devoted to the subject of decentralization.

The thematic index covers the following areas of interests : Political & legal reform ; Fiscal, administrative & Civil Service reform ; Popular participation ; Local governance strengthening ; Gender equity ; Resource mobilization and management ; Natural resources management ; Social services planning and delivery ; Capacity building.

- 1998 Capacity Assessment and Development In a Systems and Strategic Management Context, Technical Advisory Paper No.3, Management Development and Governance Division, Bureau for Development Policy, UNDP, New York, USA

This Technical Advisory Paper (TAP) focuses on assessing capacity development requirements and then planning for them in a manner that is sustainable. These guidelines are not a methodology per se, nor a prescribed set of rules and procedures to solve a problem. Rather, they present a range of tools, techniques and approaches which can be adapted to different situations. The approach of the guidelines requires a comprehensive understanding of capacity in both a strategic management context and at various levels: the individual level, the level of the organization or entity, and the level of the broader system or enabling environment within which entities and individuals function. The guidelines examine varying dimensions of capacity at each level, all of which need to be integrated with the other. Only by looking at capacity in this broader, systems perspective can sustainable capacities be achieved.

- 1997 Results-oriented Monitoring and Evaluation : A Handbook for Programme Managers, OESP Handbook Series, Office of Evaluation and Strategic Planning, UNDP, New York, USA

Some sections in the handbook : What Are M&E ? ; Objectives ; M&E and the Programme / Project Cycle ; Selecting Programmes and Projects for M&E ; Monitoring Mechanisms and Types of Evaluation ; Indicators ; Rating System ; Planning for Monitoring and Evaluation in the Context of the Country Cooperation Framework (CCF) ; Responsibilities and Capacities

DPCSD

- 1996 Indicators of Sustainable Development : Framework and Methodologies, United Nations Department for Policy Coordination and Sustainable Development, New York, USA

The Commission on Sustainable Development (SD) has developed methodology sheets for a set of 130 indicators, to test their practicability. The areas covered are : social aspects ; economic aspects ; environmental aspects (water, land, other natural resources, atmosphere, waste) ; and institutional aspects.

For each indicator is given : Indicator [Name ; Brief Definition ; Unit of Measurement] ; Placement in the Framework [Agenda 21 ; Type of Indicator] ; Significance (Policy Relevance) [Purpose ; Relevance to Sustainable/Unsustainable Development ; Linkages to Other Indicators ; Targets ; International Conventions and Agreements] ; Methodological Description and Underlying Definitions [Underlying Definitions and Concepts ; Measurement Methods ; The Indicator in the DSR Framework ; Limitations of the Indicator ; Alternative Definitions] ; Assessment of the Availability of Data from International and National Sources ; Agencies Involved in the Development of the Indicator ; Further Information.

Qualman, Ann and Joe Bolger

- 1996 Capacity Development : a Holistic Approach to Sustainable Development, Development Express No. 08 1996, CIDA, Hull, Canada

Includes an assessment of institutional and capacity development frameworks (EC, DAC)

World Bank

- 1996 Performance Monitoring Indicators : A handbook for task managers, pp. 46, Operations Policy Department, World Bank, Washington DC, USA

An interesting publication on what performance monitoring indicators are, how to develop and use them, and how to measure performance as part of project

management. The website below also has hyperlinks to sectoral notes for : Agriculture ; Economic adjustment ; Education ; Environment ; Financial sector ; Industry and mining ; Oil and Gas ; Population, health, and nutrition ; Poverty reduction ; Power ; Private sector development ; Technical assistance ; Telecommunications ; Transportation ; Urban development ; Water and wastewater.

- 1994 Building Evaluation Capacity, Lessons & Practices, No.4, November 1994, Operations Evaluation Department, World Bank, Washington DC, USA [Author : Rachel Weaving]

This issue of Lessons & Practices looks at the steps needed to build and benefit from evaluation capacity in the public sector in developing countries.