

Guidelines on Capacity Building in the Regions

Module B: Methods and Instruments for the Capacity Building Cycle („Toolkit“)

About the Support for Decentralization Measures (SfDM)
(Proyek Pendukung Pemantapan Penataan Desentralisasi, P4D)

The project assists the Ministry of Home Affairs as well as other responsible government agencies in refining the legal framework for decentralization and local governance, and in providing decentralization-related information to interested stakeholders. It supports the implementation of the "National Framework for Capacity Building to Support Decentralization", and - through close linkages with technical assistance projects on local level - helps to communicate experiences and policy inputs from below to decision-makers on national level.

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Introductory Remarks

These guidelines on capacity building in the regions, from conducting a systematic capacity building needs assessment to formulating a comprehensive, medium-term regional capacity building action plan have been prepared by the GTZ-SfDM team as an input to the Government of Indonesia's capacity building policy supporting the implementation of regional autonomy.

Following discussions with the Ministry of Home Affairs and other related national government agencies in January 2003, and a roundtable of capacity building experts and practitioners in April 2003, a first version of these guidelines ("version 1.0") was prepared in May 2003 (GTZ-SfDM Reports 2003-3, 2003-4 and 2003-5). In early 2004, the guidelines were field-tested in three districts in East Kalimantan. This updated version of the guidelines (called „version 2.0“) reflects the lessons learnt from the field testing, and incorporates comments and suggestions from a wide range of parties. A Bahasa Indonesia version is currently under preparation.

This **Module B** provides an overview of methods, tools and instruments which can be applied during the various stages of the capacity building cycle. Its main users are the members of the technical team tasked with conducting a capacity building needs assessment and formulating a capacity building action plan. It is also meant to guide external facilitators and moderators deployed to support the technical teams in the regions.

Table of Contents

TOOLS AND INSTRUMENTS FOR THE CAPACITY BUILDING CYCLE – AN OVERVIEW	6
1. GENERAL OVERVIEW	7
2. A PROCESS-DRIVEN METHODOLOGY	10
3. SETTING UP THE TECHNICAL TEAM AND A STEERING COMMITTEE	13
4. FACILITATION	13
SELECTED TOOLS AND INSTRUMENTS ACCORDING TO PHASES	16
5. SELECTED TOOLS AND INSTRUMENTS	17
5.1 PHASE A: PREPARATION	17
5.2 PHASE B: ANALYSIS	27
5.3 PHASE C: PLANNING & PROGRAMMING	49
5.4 PHASE D: IMPLEMENTATION	66
5.5 Phase E: EVALUATION & RE-PLANNING	74
APPENDICES	84
ANNEX A	
MODEL EXAMPLE OF A PROSE ASSESSMENT TOOL FOR REGIONAL GOVERNMENT INSTITUTIONS	85
ANNEX B	
MODEL EXAMPLE OF A OCAT ASSESSMENT TOOL FOR REGIONAL GOVERNMENT INSTITUTIONS	99
ANNEX C	
PEDOMAN PENILAIAN KEMAMPUAN PERENCANAAN	121
ANNEX D	
TRAINING NEEDS ANALYSIS	128

List of Tables

Table B-1: Level of Capacity and Suggested Assessment Tools	9
Table B-2: Overview of Suggested Tools for the Capacity Building Cycle According to Phases	10
Table B-3: Facilitation Styles and Facilitators' Tasks	15
Table B-4: Team/Task Formation	20
Table B-5: Team Evaluation Sheet	21
Table B-6: Roles and Functions of Actors Involved	22
Table B-7: Process Planning (Worksheet)	23
Table B-8: Example of a Gantt chart: Planning and Conducting a Survey	24
Table B-9: Service Definition (Worksheet)	30
Table B-10: Process Mapping Worksheet	31
Table B-11: Summary of Selected Organisational Capacity Assessment Tools	35
Table B-12: Capacity Gap Analysis (Worksheet)	44
Table B-13: Capacity Building Needs Format (Worksheet)	48
Table B-14: Capacity Building Strategies (Worksheet)	57
Table B-15: Capacity Building Intervention in the Capacity Building Action Plan (Worksheet)	58

Table B-16: Format for a Mid-term Expenditure Framework for the Capacity Building Action Plan	60
Table B-17: Request for Capacity Building Services (Worksheet)	72
Table B-18: Framework for Capacity Indicators (Worksheet)	79
Table B-19: Construction of a Capacity Indicator (Example).....	80
Table B-20: Participatory Evaluation Process (Worksheet).....	82

List of Figures

Figure B-1: Strategic Framework for Capacity Building	12
Figure B-2: Phase A and Key Documents	19
Figure B-3: Stakeholder Grid	26
Figure B-4: Phase B and Key Documents	28
Figure B-5 Example of a Tool for Assessing Customer Satisfaction	33
Figure B-6: Example of a Capacity and Consensus Score for PROSE	37
Figure B-7: Example of a Scorecard	39
Figure B-8: Selecting Organisational Capacity Assessment Tools	40
Figure B-9: Example of a Force Field Analysis	43
Figure B- 10: Phase C and Key Documents	52
Figure B-11: A Four-Field Analysis of Suggested Capacity Building Initiatives	65
Figure B-12: Phase D and Key Documents	68
Figure B- 13: Phase E and Key Documents	75
Figure B-14: Functions of Participatory Evaluation	81
Figure B-15: Process for Organizational Restructuring	83

List of Text Boxes

Text Box B-1: Example: Result of a Capacity Gap Analysis	45
Text Box B-2: Tentative Contents of a Capacity Building Action Plan	53
Text Box B-3 Rating System for Prioritising Capacity Building Proposals	64
Text Box B-4: Types of Indicators	77
Text Box B-5: Regional Governance Issues and Areas of Indicators	78

Part One

**Tools and Instruments
for the Capacity Building Cycle –
An Overview**

1. General Overview

The capacity building cycle can make use of a wide range of tools and instruments from social research (like document analysis, site visits, interviews, surveys, discussion/focus group discussion) to form a process-driven methodology. As capacity and capacity building are contextual, i.e. are bound to the specific conditions of each region/each institution, the approach for conducting a systematic capacity building needs assessment should take these specific conditions into account, and select tools and instruments for the needs assessment process which are adjusted to the existing conditions. Essentially, each assessment process will look differently from another, in the same way as the resulting capacity building programmes will look differently, and might use a different mixture of diagnostic tools and instruments. The scope of the assessment and the resources available will strongly influence the selection of tools and instruments to be used during the assessment.

Experience elsewhere has shown that the process of assessing or measuring capacity is as important as the implementation of targeted capacity building initiatives, especially if the assessment process involves participatory group discussions, workshops and joint assessment exercises. The selection of tools and instruments must therefore be geared towards creating such discussion and learning opportunities for the members of an organisation.

Deciding on the assessment approach and the tools and instruments to be applied requires an initial examination of the options which are at the disposal of the regions, and an overview of the range of tools and instruments with their own specific advantages, requirements and benefits.

External assessment versus internal (self-) assessment is one of the main variations of an assessment process, in other words does the assessment process involve external advisors/moderators/consultants, or does it involve only staff of the organisation? The *level of assessment* is another key factor for selecting tools and instruments: does one look at the individual level, at the entity level, or at the systems' level of capacity? For each level, different tools and instruments can be used, and not all of them are equally useful for all levels of assessment. *Quantitative versus qualitative assessment* is another major distinction: Does the assessment process attempt to capture hard empirical data and benchmarks, or is the focus on getting qualitative data, like the perception of staff or service users. Again, for each type of assessment there are different tools and instruments available.

Other factors influencing the selection of assessment tools can include the following:

- **Type of organisation**

For instance, is it a public or a private organisation, is it profit-oriented or non-profit oriented? Many available tools and instruments for capacity assessment have been developed for a specific type of organisation (like non-governmental organisations), however usually they can be adjusted to capture better the characteristics and conditions of other organisations. For instance the OCAT provided in Annex B of this module has been adjusted to the characteristics of institutions of the public administration in Indonesia. This module has a strong emphasis on public institutions (like regional government agencies, DPRD), however regional capacity building should also include civil society organisation and community groups. Therefore the module includes a range of instruments which are applicable for a wide range of organisations.

- **Comparability across organisations**

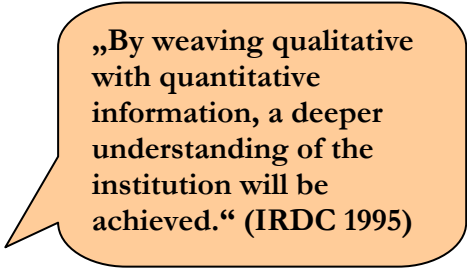
Whether one wants to compare capacities across organisations, or limit the capacity assessment to one single organisation can have a bearing on the selection of tools. Comparison requires that the tool measures the same capacity areas for all organisations, uses the same scoring criteria and the same measurement process. Such a standardised tool might therefore be less capable to capture the specific situation of an individual organisation.

- **Comparability over time**

Is it intended to assess capacity over time (i.e. repeatedly) in order to observe and document the capacity changes, or is the capacity assessment a one-time only exercise? Comparability over time requires consistency in method and approach, and the measurement instrument needs to be applied the same way each time it is used. One would also need a kind of baseline survey from which to start.

- **Data collection methods**

Open, structured or semi-structured interviews with individuals, document analysis, observation and field visits, focus group discussions are some of the different ways to collect data. Some methods are more participatory than others, some are simple, and others need specialist expertise. In most cases, the combination of several data collection methods will bring better results than the use of just one method.¹



„By weaving qualitative with quantitative information, a deeper understanding of the institution will be achieved.“ (IRDC 1995)

- **Objectivity**

Measures of institutional capacity are usually subjective in the sense that they rely on individual perception, analysis and judgement. They provide qualitative information, rather than quantitative data. However, this subjective perception of capacity can to a certain extent be balanced by other, more empirical tools.

- **Quantification**

Depending on the measurement tools, organisational capacity can be expressed in numbers, using ordinal scales. However, one should keep in mind that these numbers are not absolute but relative. The combination with additional qualitative descriptions will often give a better and more accurate picture of an organisation's capacity.

¹ Lusthaus, Charles; Anderson, Gary; Murphy, Elaine (1995), Institutional Assessment. A Framework for Strengthening Organizational Capacity for IDCR's Research Partners. International Development Research Centre, Ottawa. (cited as: IRDC 1995)

- **Internal (self-) assessment versus external assessment**

Some of the tools and instruments can be applied by the organisation itself, others require the use of external consultants, moderators and/or facilitators. Both approaches have their strengths and weaknesses: internal assessment can be biased and subjective; however it can draw better from the knowledge and understanding of the organisation's members. External assessment does not have such a bias, however it can miss some important aspects of an organisation if the external assessor is not given the inside information needed. Cost is another factor since external consultants or moderators have (normally) to be paid.

- **Practicality and Efficiency**

Diagnostic tools should, on the one hand, provide useful information; on the other hand they should not be too complicated, time-consuming and costly. In selecting tools, one should consider the level of effort and resources required to develop the instrument, and to collect and analyse the data. Selecting only one tool might be tempting because of easier use and faster (and perhaps cheaper) application. However, using several tools might provide richer and more comprehensive information. Moreover, using multiple tools might help to balance their respective weaknesses. The assessment process should use an efficient and practical mix of instruments, according to the specific needs and resources of the region.

- **Level of Assessment**

The mixture of instruments used for the assessment of capacity needs to capture capacity building information for all three levels of capacity as indicated in Figure A-1, i.e. they should produce information for the systems level, the institutional level, and the individual level.

Not all instruments, however, will be likewise useful and feasible for all levels of the assessment. Table B-1 gives an indication which instruments could be used for capacity building needs assessment at a given level.

Table B-1: Level of Capacity and Suggested Assessment Tools

Level of Assessment	Suggested Tools
Institutional/Systems level	Document analysis Force field analysis Focus group discussion Stakeholder analysis
Organizational level	Document analysis Regional Development Planning Capacity Assessment Focus group discussion Organisational capacity assessment tools (OCAT, Participatory Organisational Assessment, PROSE) Stakeholder analysis SWOT
Individual level	Document analysis Task & Job Analysis Training Needs Analysis (TNA) Focus group discussion

2. A process-driven methodology

Capacity building is conceived as a cyclical process that mirrors a strategic planning process, i.e. consisting of analysis, planning, implementation and evaluation of capacity building interventions. (see Module A) The methodology is based on experiential learning as progress is being made in understanding capacity issues, gaps and requirements for interventions. The process is not a stand-alone facility but should be aligned with routine planning and budgeting processes in the region in order to become more realistic and closely adjusted to regional governance practices and procedures. In this module, a particular focus is on tried, tested and practicable approaches that have been used successfully in capacity building processes elsewhere. However, each approach in practice will have to be adapted to regional needs and conditions hence capacity building strategies need to experiment, wherever possible, with new ways and methods. Table B-2 displays the recommended tools for conducting the capacity building cycle (including a capacity building needs assessment/CBNA) according to phases and related steps. The tools suggested are in no way mandatory, and Table B-2 should serve only as a source from which to select the most appropriate tools deemed suitable to facilitate a capacity building process that is driven by regional requirements.

Table B-2: Overview of Suggested Tools for the Capacity Building Cycle According to Phases²

Phase	Step	Suggested Tools
A: PREPARATION	1. Identification of needs for CBNA process	
	2. Determining objectives	Moderation techniques Visualisation techniques Focus Group Discussions (e.g. to identify key issues by stakeholders)* Interviews Participatory observation (site visits) Document analysis
	3. Establishing responsibilities	Team building & management* Institutional arrangements*
	4. Devising process	Process planning techniques* Gantt charts*
	5. Allocating resources	Funding arrangement matrix
B: ANALYSIS	6. Identification of issues	Issues analysis Interviews and discussions (individual, small groups) Document analysis

² Core methods (marked by an * in table B-2) will be explained in detail in this module, while other tools on which ample reference material is available elsewhere are not being explained here in more detail.

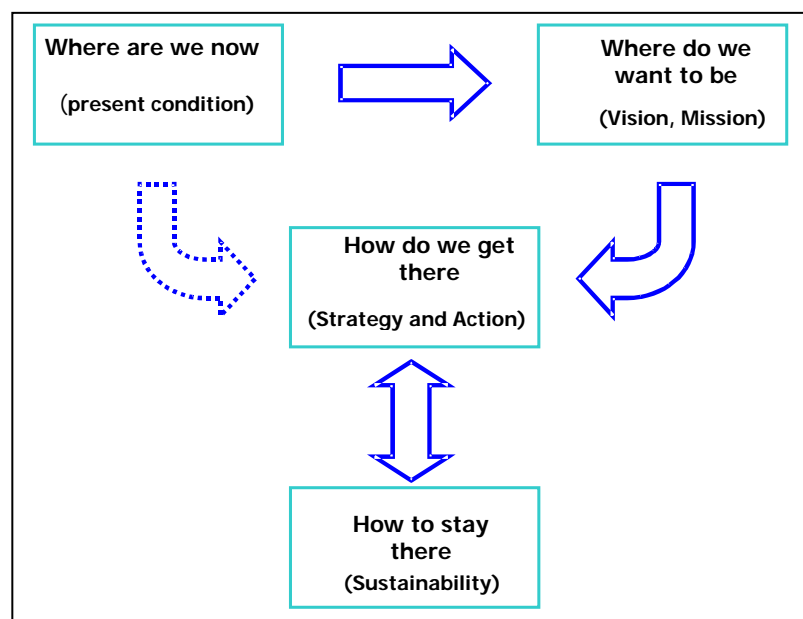
Phase	Step	Suggested Tools
	7. Analysis of processes	Service definition* Process mapping (flow charts)* Guided/semi-structured interviews with key respondents Customer satisfaction surveys* Document Analysis
	8. Organization analysis	Organisational capacity assessments* Benchmarking Force field analysis* SWOT analysis* Regional Development Planning Capacity Assessment* Training Needs Assessment (TNA)*
	9. Assessment of capacity gaps	Capacity gap analysis*
	10. Emerging capacity building needs	Capacity building needs format*
C: PLANNING AND PROGRAMMING	11. Multi-year action planning	Medium-term Capacity Building Action Plan (logical framework)* Indicator setting
	12. Medium-term expenditure planning	Medium-term expenditure planning format*
	13. Priority setting and sequencing	Priority setting* Critical path analysis
D: IMPLEMENTATION	14. Annual programming & budgeting	Programming & budgeting format*
	15. Capacity building project planning	Project planning & management*
	16. Selection of service providers; procurement	Expression of interest Tendering documents and procedures Service provider selection criteria* Letter of award
	17. Project implementation	Plan of operation*
	18. Monitoring of process	Depending on monitoring strategy, e.g. process assessment of delivery of capacity building products and services*
E: EVALUATION	19. Evaluation of impact	Evaluation methods*
	20. Re-planning of capacity building action plans	Re-planning flow chart* Same methods as before

The capacity building process in essence adopts a strategic management perspective that guides the team members consisting of regional government staff and civil society

representatives through a systematic and needs-based planning process leading from the analysis of actual capacities (“*Where we are now*”) to the determination of capacity building objectives (“*Where we want to be*”), the identification of suitable capacity building programmes and measures (“*How to get there*”) and to the consideration of sustainability issues to ensure the quality of achievements (“*How to stay there*”) (see Figure B-1).

The following chapter will use the outline of the capacity building process as explained in Module A as its frame of reference to which facilitation skills and methods are geared. The purpose is to enable stakeholders and facilitators to support the application of capacity building concepts and of related tools for the assessment and planning work to be conducted by the regions themselves. As outlined in Module A, it is envisaged that regions will establish a *steering committee* to manage and supervise the capacity building

Figure B-1: Strategic Framework for Capacity Building



process, and a *technical team* consisting of subject matter specialists from those regional agencies which are routinely charged with capacity building tasks.

Technical teams and their facilitators are required to set in motion (i) a structured process of capacity building needs assessment in the regions by applying selected methods to analyse existing capacities and (ii) the elaboration of a comprehensive and integrated capacity building action plan for the region. To facilitate that process, technical teams in the field have to be knowledgeable about and capable to

- prepare and organize required processes for the conduct of participatory (self)-assessment and planning activities,
- moderate and manage the technical process,
- facilitate learning processes among both team members and participants in the assessment process,
- monitor progress of capacity building activities, and
- evaluate the results of the assessment and action planning process.

3. Setting up the technical team and a steering committee

Very early in the process, the region which intends to conduct a systematic capacity building needs assessment as a starting point for the capacity building cycle has to establish a technical team or a task force to prepare and manage the capacity building process. This team should consist of representatives from those agencies of the regional administration, which are likely to play a key role in the capacity building process. There should also be representatives of the regional council, and representatives from NGOs, the private sector and civil society organisations which are involved in regional governance processes. Doing a rough stakeholder analysis might be helpful to identify potential groups and organisations in the regions which should be involved. While the composition of the team should attempt to cover all stakeholders, it should also not become too large because otherwise it will become difficult to coordinate and manage the internal working and decision-making process. The experience in East Kalimantan has shown that around 10 members is probably a good size for the team.

Another experience from the East Kalimantan pilot exercise highlights the need that while team members are not necessarily expected to work full-time on the capacity building process, they must nevertheless have a considerable amount of time available for their assignment. This must also be understood by their superiors in the respective (home) agencies. The team leader (or coordinator, as it is called in Table B-6) can be a structural official if s/he has enough time available; otherwise a senior official with a functional position might be the right person. Seniority is important to ensure that the capacity building process is taken serious by the other senior officials in the administration, to ensure the access of the team members to information and data, and to provide backing and support for the individual team members.

While the technical team or task force is charged with the management and implementation of the capacity building process on a daily basis, the steering committee functions as a decision-making body to guide the technical team in its activities, to discuss and endorse suggestions and recommendations for the capacity building process, and to provide feed-back and guidance regarding the capacity building gaps and capacity building needs which the technical team will put forward. The steering committee should include key senior regional government officials and members of the council leadership. The final decision on the capacity building priorities and the capacity building action plan is with the regional council and the regional administration; however the steering committee can give important inputs to the technical team on what is feasible and realistic.

It should also be noted that the tasks and functions of the technical team might see modifications during the capacity building cycle, depending on the cycle's phase. For instance in the implementation phase (phase D), the role of the team is more on facilitating and monitoring of the implementation of the capacity building action plan by the individual regional government agencies, and on reviewing the progress of the capacity building process.

4. Facilitation

Capacity building initiatives might require using an external facilitator for assisting the technical teams established by the region. Facilitators help to design the methodology for the needs assessment process, to schedule the envisaged meetings, and to manage

participation. They offer useful tools to support the team, determine and satisfy its own capacity building needs, keep things on track and periodically check on how things are going. A facilitator doesn't offer opinions about *what* is being discussed, but instead focuses on *how* issues are being discussed. A facilitator is a procedural expert who is there to help and support the team's effectiveness.

The facilitator is responsible for organising and structuring teams and team meetings so as to ensure their success in achieving the objectives. In any team success depends on the effective management of both the content of the meeting and the process it follows. Content involves the "what" of the problem – what are the issues, what data is needed, what are the causes, etc. Process addresses the "how" questions – how are the issues dealt with, how is the meeting proceeding, how did discussions take place, how were decisions arrived at, etc.

The team's responsibility is to focus on the problem (*Content*) while the facilitator's responsibility is to focus on the team (*Process*). When people become heavily involved in a task or problem they tend to focus so intensely on the content that they forget about the team process. The result is that communication breaks down and everyone pursues an individual problem solving path rather than a joint path. Progress slows down and team members become discouraged from contributing further to the problem solving process. A facilitator will help the team to prevent this breakdown by managing the team's process and allowing the team members to concentrate on the content of the work. Moreover, an effective facilitator will enhance the team's understanding of the tasks, develop the team members' capabilities to apply methods and tools for problem solving, and will provide feedback on team performance and goal achievements.

The role of the facilitator hence is to find enabling ways in which to encourage, further stimulate, deepen and enhance the work process (like e.g. a capacity building needs assessment) to be undertaken by the technical team. That process ideally is to be conceived as a learning process for all participants. Seeing learning as a social process, undertaken in different settings, requires designing work procedures as vehicles to set in motion problem solving processes. The work process is a vehicle for developing group problem solving skills, teamwork and other forms of collaborative skills. Facilitators serve as process managers who are charged to build group capacities.

While there is no one dominant or perfect style of facilitation, rather a good facilitator has at his/her command a set of facilitation styles, which can be brought to bear on the work process and can be adjusted according to changes of content, focus, goals, or context. In this regard, there are at least four relevant facilitation styles that can be employed in the context of the capacity building cycle:

- Directing
- Enabling
- Collaborating
- Observing and Interpreting.

Table B-3: Facilitation Styles and Facilitators' Tasks

Facilitation styles	Facilitators' tasks
Directing	<ul style="list-style-type: none"> ➤ Define and structure the content of the work process and its related tasks; ➤ Identify activities which constitute the work process; ➤ Devise time sequence for execution of activities;
Enabling	<ul style="list-style-type: none"> ➤ Provide support, encouragement and guidance when called upon; ➤ Transfer practical skills; ➤ Provide process (management) resources; ➤ Act as a co-inquirer with team members; ➤ Provide support, guidance and encouragement; ➤ Provide feedback and reflection to team members;
Collaborating	<ul style="list-style-type: none"> ➤ Develop skill based assessment activities; ➤ Negotiate methodical content and related work processes; ➤ Attend to the norms and processes used by the team; ➤ Establish levels of trust and collaboration;
Observing and Interpreting	<ul style="list-style-type: none"> ➤ Assess the context of an activity; ➤ Interpret diversity of roles entailed in the work process; ➤ Provide on-going correction and readjustment; ➤ Evaluate trial and error learning.

In each phase of the capacity building process, specific steps and actions will have to be facilitated. This module will provide more specific hints to guide facilitators in their role in each phase of the capacity building cycle.

In the following chapter (5.) the overall structure of the capacity building cycle is being taken as the point of departure and for each phase appropriate tools and instruments will be explained according to

- the objectives of the phase;
- expected results for this phase;
- working steps;
- facilitation needed;
- possible methods to be applied.

Part Two

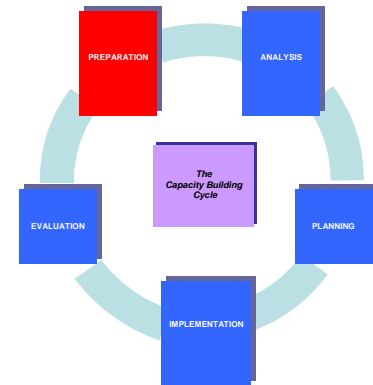
**Selected Tools and Instruments
According to Phases**

5. Selected Tools and Instruments

5.1 PHASE A: PREPARATION

Introduction

The preparatory phase of the capacity building cycle addresses the agreement on objectives, the establishment of the work process at regional level, and the determination of responsibilities, roles and functions to be performed by the various stakeholders. It further accomplishes the mobilization and allocation of resources required to conduct the initial capacity building needs assessment, and ends with the official endorsement of the planned capacity building needs assessment by means of a formal decree of the Head of Region.



Objectives of Phase A

The objective of this first phase of the capacity building cycle is to prepare for and set in motion a structured process of an initial capacity building needs assessment (CBNA) in the regions which is adapted to the specific regional conditions and needs. A *steering committee* and a *technical team* will have to be established which consist of regional government officials, members of the regional council, and civil society representatives. The *technical team* will have to verify the needs for a CBNA process, mobilize actors and devise the related work process in sufficient detail so that relevant stakeholders are being involved, commitment is raised and necessary resources are made available.

Expected Results

The result of this first phase is a work programme for a CBNA and planning process in the region that shall be agreed upon by all stakeholders and can be implemented with the resources available. It serves to clarify the related tasks and results expected from the CBNA. It should show the detailed delineation of activities by the *technical team* and the resources required (budget, manpower, equipment), the timeline, responsibilities of parties involved and enable the team to accomplish its tasks.

Working Steps

1. Identify the need for capacity building assessment;
2. Define the scope and objectives of the required CBNA process;
3. Determine the responsibilities for the CBNA process;
4. Devise the CBNA process methodology;
5. Allocate resources to implement the CBNA process.

Facilitation

Pertaining to the preparatory phase of CBNA, the facilitator will have to concentrate on:

- team formation;
- work programme formulation;
- methodology and selection of tools;
- process organization.

Working along the following questions will help the team to generate the required information to prepare the CBNA work programme:

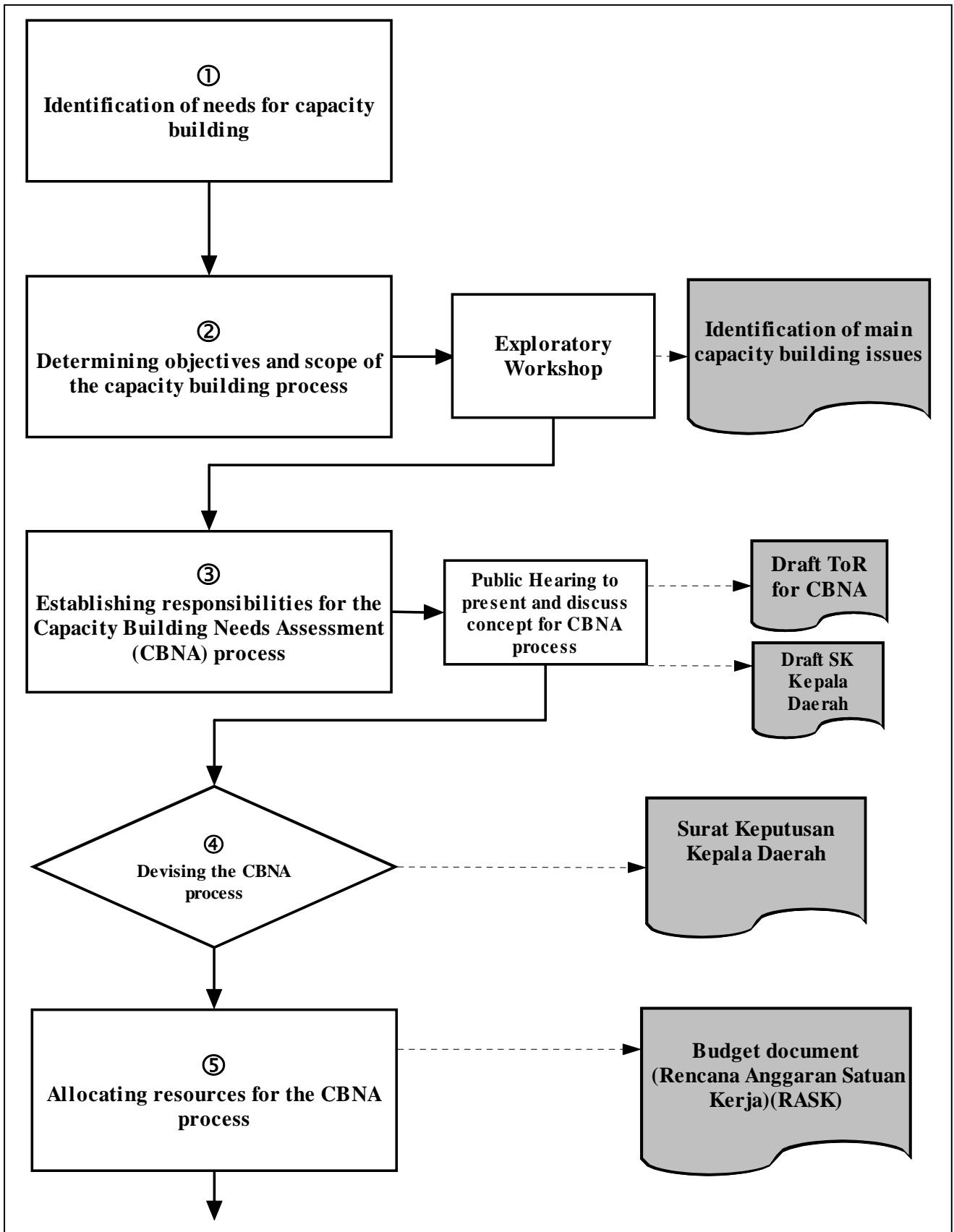
- Which evidence on lack of capacity for which issues is available? (e.g. service deficiencies, customer complaints, performance assessments, benchmarking, self-assessments, supervision)
- Is there any awareness on the need for capacity building?
- Is leadership committed to capacity building?
- Which stakeholders shall be involved in the CBNA?
- What shall be the scope of the envisaged CBNA and the subsequent capacity building action planned to be formulated on the basis of the results of the CBNA?
- Which particular objectives shall be pursued?
- Which tools and instruments shall be applied?
- Which resources are needed for CBNA, and how can the process be adjusted to available resources?
- How will the organizational structure (steering committee, technical task force) be established (members, authorities, tasks and responsibilities)?
- Which external support is required, and from where can it be acquired?
- What is the time schedule for the CBNA and the envisaged capacity building cycle?
- How will the process be institutionalised (formal agreements, staffing, financing, budgeting)?

Methods

The following methods form key tools for preparing the CBNA as the first step in the capacity building cycle:

- Team building & task formation
- Institutional arrangements
- Process planning techniques
- Work programme formulation (Gantt chart)
- Focus group discussions (e.g. to identify key issues by stakeholders)
- Stakeholder Analysis.

Figure B-2: Phase A and Key Documents



5.1.1 Team Building & Task formation

The technical team will design the methodology for the CBNA process, schedule and organize the envisaged meetings, and manage participation of stakeholders. It will be supported by a professional facilitator who is charged to offer useful tools to support the team, determine its own capacity building needs, keep things on track and periodically check on how things are going. A facilitator doesn't offer opinions about what is being discussed, but instead focuses on how issues are being discussed. A facilitator is a procedural expert who is there to help and support the group's effectiveness (see chapter 4).

Prior to engaging in a team task, the facilitator should pose relevant questions to create a **team/task formation process**. The steps are as follows:

Table B-4: Team/Task Formation

Issue	Contents
1. Who? <i>Profile of the team's participants</i>	A profile implies to find out as much as possible about the participants, prior to the team's task, including the type and level of prior knowledge they may bring to the task.
2. Why? <i>The situation that calls for or has produced the need for the team's task</i>	The overall capacity context (regional governance) and situation (existing perceived capacity gaps) that calls for the launch of a CBNA process.
3. What? <i>The content of the team's task</i>	The objectives and expected results of the team's task.
4. How? <i>Structure for the team's task or programme</i>	The methodology and work process to be used. Which kind of knowledge and skills are required to accomplish the task.
6. When? <i>Time frame for the task</i>	The time available including time constraints and slack periods.
7. Where? <i>Site for the team's task</i>	The location of the task as it affects the opportunities for various types of team work.

Internal evaluations by team members form a useful tool to strengthen the team's performance. The team evaluation sheet (Table B-5) addresses the individual team members and asks for their assessment of the team's conduct and accomplishments. It

should be regularly applied by the team leader and/or facilitator, and the results should inform team management and internal capacity building.

Table B-5: Team Evaluation Sheet

Please rate how you feel about your team's performance	Never true	Usually not true	Some-times true	Generally true	Always true
It feels as though we are a united group working together towards a common goal.	1	2	3	4	5
I feel that I am able to speak my mind at the team meetings.	1	2	3	4	5
I am clear about what we are discussing and about what conclusions we have reached.	1	2	3	4	5
Our decisions are based on facts and not prejudice.	1	2	3	4	5
I am satisfied I get a fair and adequate chance to put my points across.	1	2	3	4	5
I feel that I can express my disagreement when I am concerned about something.	1	2	3	4	5
The team focuses well and does not drift off the point or argue at cross purposes.	1	2	3	4	5
The team organises its resources well to tackle the task.	1	2	3	4	5
I feel that everyone in the team is making a contribution to team discussions and decisions.	1	2	3	4	5
I am satisfied that my contributions are handled constructively and not ignored, lost or forgotten.	1	2	3	4	5
<p>What aspects of team meetings are you satisfied with and would like to keep as they are?</p> <p>.....</p> <p>.....</p> <p>.....</p>					
<p>What aspects are you not satisfied with and would like to change? Why? How?</p> <p>.....</p> <p>.....</p> <p>.....</p>					

5.1.2 Institutional Arrangements

Responsibilities and tasks for the capacity building needs assessment have to be allocated to various actors and stakeholders, among them the steering committee, the coordinator, and the technical team:

- the **Steering Committee** is responsible for the quality and effectiveness of the CBNA process. It should include representatives from the region's organisations, the regional council and the civil society and is chaired by the head of Region (Kepala Daerah);
- the **Coordinator** is the day to day manager of the CBNA process and maintains contacts between the steering committee and the technical team; s/he might be supported by a secretary in charge of the operational and logistical aspects of the team's work.
- the **Technical Team** is in charge of implementing the CBNA process. It consists of experienced members of staff of the district government and of civil society representatives.

Table B-6: Roles and Functions of Actors Involved

Steering Committee	Coordinator	Technical Team
Authorises the team to work on the process.	Maintains close liaison with the team and stay abreast of progress, issues and activities.	Participates in training to prepare for the tasks.
Manages the pace at which the process proceeds.	Acts as a communication channel to the Steering Committee on behalf of the team.	Works on the tasks allocated to the team.
Defines the scope of the CBNA.	Carries out any actions required by the Steering Committee.	Applies specific methods and tools for needs assessment.
Arranges resources for the team's work.	Manages the development of team skills.	Analyses findings.
Ensures that team members are adequately trained.	Acquires and coordinates external assistance.	Presents findings to Steering Committee and stakeholders involved.
Receives regular reports from the team and monitors progress of work.	Provides guidance for the team's activities.	Identifies capacity building measures.
Communicates progress to all stakeholders involved.	Communicates progress to the Steering Committee.	Formulates capacity building action plan.
Approves findings from CBNA.	Arranges workshops to disseminate findings.	Determines key success factors and defines performance indicators
Initiates implementation of capacity building measures.	Assists the Steering Committee meetings and actions.	Prepares regular reports to the Steering Committee.
Evaluates impacts of capacity building on performance.		

5.1.3 Process planning techniques

Process planning aims to design the work process according to process-related issues. It assists the *technical team* to identify the objectives and scope of the needs assessment and to specify requirements for support and resources needed to conduct the process in the region.

Table B-7: Process Planning (Worksheet)



Process Issues	Application
Process Title	<i>Identify the process task with a short title</i>
Team Mission	<i>Briefly state the overall purpose of the process</i>
Objectives	<i>List the desired objectives and outcomes the process is supposed to achieve</i>
Process Scope	<i>List the main issues involved in the process</i>
Justification	<i>Why is the process being undertaken? What benefits are expected?</i>
Deliverables	<i>What outputs should be delivered, e.g. report, process map, written procedures?</i>
Performance	<i>How will the success of the process be measured? List several performance measures that are within the team's control.</i>
Timing	<i>Within what time is the team expected to complete the process?</i>
Authority	<i>What authority does the team need to complete its task?</i>
Resources	<i>What resources will be needed and who will provide them?</i>
Reporting	<i>When and how often is the team expected to report? List any reporting milestones as well as the final one. Indicate final presentation to whom.</i>
Roles	<i>Indicate team members' specific roles.</i>

5.1.4 Work Programme Formulation (Gantt chart)

A detailed work programme that establishes time schedules and integrates human resource requirements should be constructed by the team using the Gantt chart tool. Table B-8 provides an example on planning and conducting a survey that could be adapted to the process at hand.

Table B-8: Example of a Gantt chart: Planning and Conducting a Survey

ACTIVITIES		DAYS	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31	32	33	34	35							
A	Plan Survey	3	A - 3																																									
B	Hire Personnel	4			B - 1																																							
C	Draft Questionnaire	7				C - 3																																						
D	Train Personnel	9										D - 3																																
E	Select Households	4																		E - 2																								
F	Conduct Survey	10																				F - 12																						
G	Analyse Results	3																																			G - 3							
Total Resources Required			3	3	3	1	1	4	4	3	3	3	3	6	3	3	3	3	5	5	5	5	12	12	12	12	12	12	12	12	12	12	12	3	3	3	/	/						

KEY	Activity	Resource required	
		A - 3	
			
		Planned Duration	Slack

Step 1: Scope the project (goals, expected results, limits, timelines)
 Step 2: Break the project into major activities
 Step 3: Identify the tasks necessary to complete each activity
 Step 4: Plot the tasks and activities on a chart
 Step 5: Determine and allocate resources
 Step 6: Actively manage the project (review progress, highlight completed tasks, analyse delays, revise the plan)

5.1.5 Focus group discussions

A focus group brings together participants who share an interest in a certain subject matter, and who therefore have a certain knowledge or understanding in this subject. This can be from different perspectives: for instance a focus group discussing the capacity of the *Dinas Kebersihan* could include staff members from the *Dinas* (= regulator of the service), members of the community (= users/beneficiaries of the service), staff of garbage collecting companies and their crew members of the garbage collection trucks (= provider of the services), and others. Focus groups can be used to collect information and opinion, to get feed back on ideas and suggestions, and to increase the understanding of the different participants on their respective perceptions and approaches. Moderators or facilitators can direct the discussion process in the group, can help to visualise and document arguments and inputs from the participants, and can support the formulation of action plans if needed and appropriate. Focus groups can make use of tools like the SWOT analysis (see below) in order to structure their discussion.

5.1.6 Stakeholder analysis

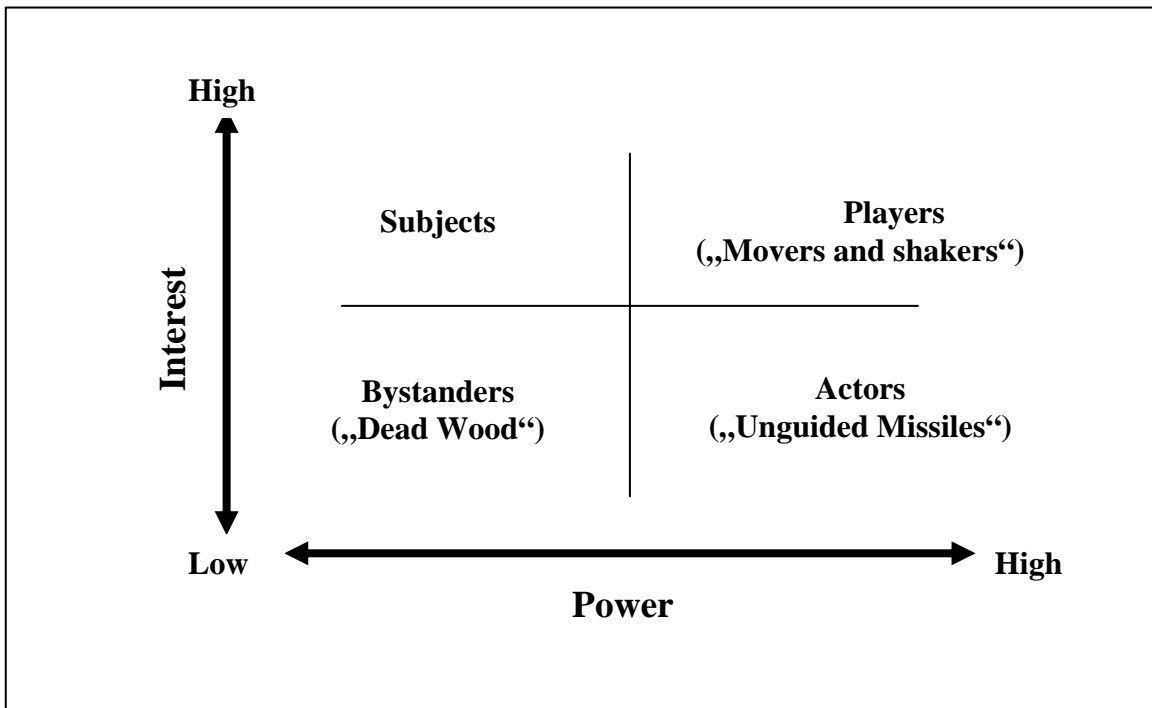
A stakeholder analysis can provide important information once concrete programmes and activities are being planned. Stakeholders are persons, groups or institutions having a vested interest in an activity (project or programme). Stakeholder analysis is the identification of an activity's key stakeholders, an assessment of their interests, and the ways in which these interests affect riskiness and viability of the planned activity. This definition of stakeholders includes both winners and losers, and those involved or excluded from decision-making processes. Stakeholder analysis helps decision-makers to assess the environment for a planned activity. It can draw out the interests of stakeholders in relation to the problems which the planned activity is seeking to address, identify conflicts of interests between stakeholders, help to identify relations between stakeholders who can be built upon, and may enable "coalitions" of project sponsorship, ownership and cooperation. A stakeholder analysis should always be done during the planning stage of an activity project.³

A useful tool for analysing and discussion stakeholders is the so-called "stakeholder grid" (see Fig. B-1), in which stakeholders are categorised according to the interests (low vs. high) and to their power related to the issue at hand (low vs. high). The resulting matrix identifies four types of stakeholders: Actors (with little interest but high power, therefore sometimes seen as "unguided missiles" because they can – unintentionally – cause considerable damage), Bystanders (with low interest and low power, have little influence but are also not really involved), Players (with high interests and high power, they are the "movers and shakers" of things to happen), and Subjects (with high interests but low power, therefore they depend on the influence and support from key players).⁴

³ See Overseas Development Administration (ODA) (July 1995): Guidance Note On How To Do Stakeholder Analysis of Aid Projects and Programmes.

⁴ Modified from Terrence Morrison (2001), Actionable learning – A Handbook for Capacity Building through Case Based Learning. ADB Institute (pp 213f).

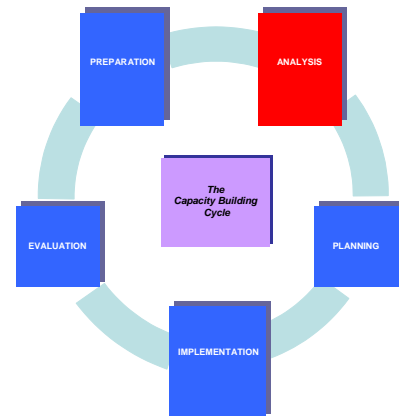
Figure B-3: Stakeholder Grid



5.2 PHASE B: ANALYSIS

Introduction

The second phase of the capacity building cycle, the analysis phase, identifies existing capacity gaps in view of particular regional governance functions to be assessed. It applies a range of analytical methods and tools for conducting a capacity building needs assessment on three capacity levels, i.e. the system's level, organizational level, and individual level. The final result of this phase is a preliminary list of capacity building needs pertaining to all stakeholders involved.



The capacity building needs assessment process analytically has to cover all three levels of regional governance capacity (i.e. system, organisation, individual) pertaining to a particular topic (e.g. personnel management) in order to identify the inter-linkages between the various determinants of capacity, and to come up with adequate capacity building activities relevant to the various levels.

Moreover, it is necessary to not only compare existing capacities with current demands and expectations, but also to anticipate whether the change of such demands and expectations in the future will require a different mix of skills and competencies, working procedures or a reformed institutional set-up.

Conducting the actual capacity building assessment can be done by using a variety of instruments and methodologies depending on the scope of the assessment and of the issues under review. Methods range from focus group discussions to more elaborate empirical research methods (such as secondary data analysis, document review, rapid appraisals, formal surveys) and adopt an *inside view* as well as an *outside view*. They can be comparative between different organisations or even regional settings, and/or can be attached to certain standards to serve as performance indicators (*benchmarking*). Usually a mixture of instruments will be applied that allows for cross-checking of facts from different angles, on different levels and by various stakeholders involved. A “*zooming in/zooming out*”-mechanism (see Module A) ensures that all capacity levels are being investigated properly regarding the underlying inter-linkages.

Based on the analysis of empirical data, actual or anticipated capacity gaps shall be determined and emerging requirements shall be summarized which are needed to enhance required skills and competencies, to improve governance procedures and service delivery mechanisms, and to devise suitable policies and regulatory frameworks for regional governance.

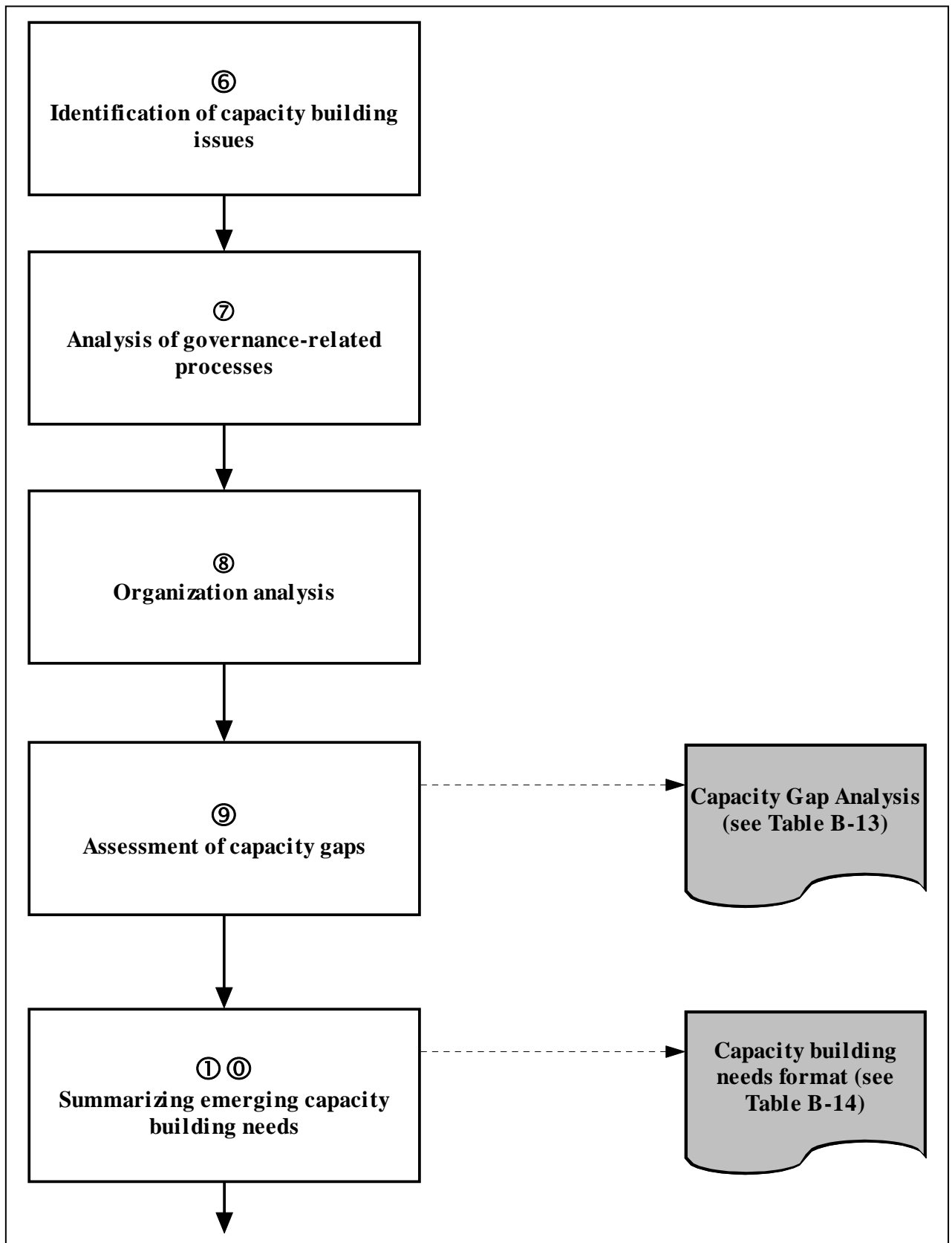
Objectives of Phase B

The analysis phase of the capacity building cycle is expected to yield empirical information on the various needs for capacity building on the regional level as well as the identification of required measures to close emerging capacity gaps.

Expected Results

The result of the second phase is a detailed assessment of existing capacities and future needs to enhance performance on the institutional, organisational and individual capacity level.

Figure B-4: Phase B and Key Documents



Working Steps

1. Identification of issues
2. Analysis of processes
3. Organisation analysis
4. Assessment of capacity gaps
5. Emerging capacity building needs

Facilitation

In this phase, facilitation has to focus on supporting the technical team in determining the work procedures for conducting a capacity building needs assessment. The following aspects need to be taken care of:

- Decide on internal and/or external assessments and related methods;
- Select assessment methods and adjust to regional context;
- Apply appropriate mix of tools and instruments;
- Ensure that all three levels of capacity are covered by the assessment;
- Include anticipated future capacity needs;
- Analyse findings and prepare report(s) relevant to the particular audience;
- Present findings to stakeholders;
- Revise according to comments and inputs received.

Methods

The following methods form the key tools for conducting a capacity building needs analysis in this phase of the capacity building cycle:

- Service definition
- Process mapping (flow charts)
- Customer satisfaction surveys
- Organisational capacity assessments (like PROSE, OCAT)
- Participatory organisational appraisal (POA)
- Force field analysis
- SWOT analysis
- Regional Development Planning Capacity Assessment
- Training Needs Assessment (TNA)
- Capacity gap analysis
- Capacity building needs format.

5.2.1 Service definition

Service definition is a method to define a particular service (or component thereof) within a particular governance process. The service could constitute a *public service* such as solid waste management, road maintenance, health services, or tax collection, or *internal administrative and governance services* that relate to personnel development, financial management or public participation in decision-making on development plans.

Start with the following service definition worksheet to describe the service to be analysed in general terms:


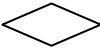






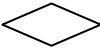






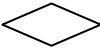





Table B-9: Service Definition (Worksheet)

Issue	Application
Service	General description of the service
Service Outputs	What is delivered by the service?
Customers	Who are the customers or service recipients?
Service Goals	Which goals relate to the service, e.g. from the district development plan or the service unit's operating plan?
Service Standards and Current Performance	Which external standards control service delivery? Are customers satisfied with the service? Are there opportunities for improvement?

5.2.2 Process mapping (flow charts)

Process mapping is the next step to understand how and why a process behaves the way it does. Each service process is analysed according to its flow of activities and its key variables, e.g. quantity, customer service quality, cost, response time, resources, etc.

Table B-10: Process Mapping Worksheet

Issue	Application														
1. Define the process to be studied	<p>Clearly define the boundaries of the process, where it starts, stops and where it interfaces with other processes.</p> <p>Identify the “owners” of the process and the “process experts” – the people who actually do the job.</p> <p>Identify key variables to understand the process, e.g. quantity, quality, time, etc.</p>														
2. Define the level of detail required	<p>Macro level – to provide an overview of a process or of several processes</p> <p>Meso level – to analyse the steps within the process on the organisation level</p> <p>Micro level – detailed analysis of a work function or task performed by an individual</p>														
3. Identify the steps within the process	<p>Interview the process experts by walking the process with them.</p> <p>Determine key measurements for each step.</p> <p>Identify delays, queuing, re-work loops and underlying reasons.</p> <p>Map the flow AS IT IS, not as you think it should be or how it is going to be after some future change.</p>														
4. Draw the process map and finalise	<p>Draw each step of the process and link them in correct sequence. Verify the map with process experts. Define the symbols used:</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="text-align: center;"></td> <td>Action or process step</td> </tr> <tr> <td style="text-align: center;"></td> <td>Decisions</td> </tr> <tr> <td style="text-align: center;"></td> <td>Document generated</td> </tr> <tr> <td style="text-align: center;"></td> <td>Delays</td> </tr> <tr> <td style="text-align: center;"></td> <td>Terminator: process start, end or continuation elsewhere</td> </tr> <tr> <td style="text-align: center;"></td> <td>Pre-defined process</td> </tr> <tr> <td style="text-align: center;"></td> <td>Process direction</td> </tr> </table>		Action or process step		Decisions		Document generated		Delays		Terminator: process start, end or continuation elsewhere		Pre-defined process		Process direction
	Action or process step														
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	Delays														
	Terminator: process start, end or continuation elsewhere														
	Pre-defined process														
	Process direction														

5.2.3 Customer satisfaction surveys

Customer satisfaction is the extent to which the desires and the requirements of the clients are met. A public service provided by the regional government, such as water and electricity, garbage collection, and hospitals is considered satisfactory if it fulfils the needs and expectations of the customers. Measuring this satisfaction is an important element of providing better, more effective and efficient services. When clients are not satisfied with a service as provided, the service is neither effective nor efficient. The level of customer satisfaction with services is an important factor in developing a system of service provision that is responsive to clients' needs while minimising costs and time requirements and maximising the impact of the services on target populations.

The objectives of customer satisfaction surveys comprise:

- to generate citizen feedback on quality of public services and give each municipal agency an overall grade on its performance;
- to encourage and stimulate public agencies to be more client-oriented and transparent.

How to measure customer satisfaction

Step 1: Ask the service provider about the type of services they usually provide, who gives the services and to whom the services are provided. Write down each type of service. The quality of the services provided will be measured to know the satisfaction of the customers.

Step 2: Ask identified respondents about the degree to which they use the services identified – clients will find it difficult to comment on their satisfaction with services that they do not use.

Step 3: Discuss the performance of the service provider. The factors to use in measuring performance of the service provider, comprise a. o.: level of expertise, promptness, ease and frequency of contact with service provider, problem-solving abilities and facilities available in providing services.

Step 4: Give grades on overall performance to express satisfaction with service provision (high – medium – low satisfaction)

How to collect data

a. Respondents

- Respondents are selected by sampling.
- Identify customers who will be respondents.
- Conduct individual interviews, using closed questions to appraise the level of importance of the services and the service provider's performance in giving services.

b. Time

- Choose the most appropriate time to visit the customer.
- Do not decide the time by yourself, but make an appointment with the customers when to meet. In the daytime or in the evening?
- Accurate responses can only be obtained if the customers are feeling comfortable in giving information.

c. Location

- The selection of the location to measure customer's satisfaction depends highly on the scope of the study.
- For coverage of a large geographic areas, do a location sampling. Select a location that is representative of the conditions in the larger area.

d. Baseline and Follow-up Surveys

It is useful to conduct customer surveys periodically to measure a change in the level of customer satisfaction. The first survey would establish the baseline with which to compare follow up survey(s).

Figure B-5 Example of a Tool for Assessing Customer Satisfaction

**“How to turn Customer Complaints into Customer Satisfaction.
Simple Steps to improve Public Service Delivery”**

The Support for Good Governance initiative, a cooperation between the Ministry of Administrative Reform and Deutsche Gesellschaft fuer Technische Zusammenarbeit (GTZ) GmbH, has published the GuideBOOK “How to turn Customer Complaints into Customer Satisfaction. Simple Steps to improve Public Service Delivery”. This book has been compiled based on the experiences from several partner regions including Kabupaten Solok, and Kabupaten and Kota Bima.

Every GuideBOOK set consists of two sections:

- **Volume I** provides the background of the applied method as well as a brief explanation about several experiences of the developing and testing phase.
- **Volume II (TOOLBox)** provides information on the tools to be used, including a description of methods, process guidelines, and product prototypes to be developed during the process.
- **“Quick View and Checklist”** is a list of the most important steps, of the jobs to be done, and of the expected outcomes of the process.

The content of the GuideBOOK is also provided in form of an interactive CD-Rom, so that the user himself can print out parts of the book according to his needs.

To get more detailed information, please contact the Support for Good Governance Project (SfGG) by phone or by mail (Kementerian PAN, Jl. Jend. Sudirman Kav. 69. Jakarta 12190; GTZ-SfGG: 021-739 8301, 739 8401, email : contact@gtzsfgg.or.id; www.gtzsfgg.or.id.
Kementerian PAN: 739 8381 - 89 ext. 2035, 739 8355.

5.2.4 Organisational capacity assessment

There are a number of tools available to assess and discuss the capacity of an organisation. Many of them have been used in the context of non-public sector organisations, however usually they can be modified to reflect better the specific context of regional government institutions. Table B-11 summarizes three organisational assessment tools which are described in more detail: PROSE, OCAT and Scorecards. All of them could be used in the context of the capacity building needs assessment exercise.

A key element of assessment tools like PROSE and OCAT is that it is the members of the organisations assess the capacity of their own organisation. This internal assessment can be complemented by external assessments and by empirical observations/research in order to balance the subjective perception of the members. It is also the members of the organisation who determine the capacity areas and the valuations/criteria to be used for each capacity area. This approach ensures that the process of capacity assessment simultaneously constitutes already a process of capacity building, because it engages the members of the organisation in the analysis of the present and the desired condition of their organisation. Thus both tools create opportunities for mutual learning which is a key for institutional capacity building.

Participatory, Results-Oriented Self-Evaluation (PROSE)

a) Background

The participatory, results-oriented self-evaluation (PROSE) method has the dual purpose of both assessing and enhancing organisational capacities. The PROSE method produces an assessment tool customised to the organisations being measured. It is designed to compare capacities across a set of peer organisations, called a cohort group, which allows for benchmarking and networking among the organisations. It could be used for instance for assessing the capacities of several *Dinas Pendidikan* in one province. It could also be used for assessing and comparing similar types of regional government institutions (*perangkat daerah*) (like *dinas, badan, kantor*). PROSE tools measure and profile organisational capacities and assess, over time, how strengthening activities affect organisational capacity. In addition, through a facilitated workshop, PROSE tools are designed to allow organisations to build staff capacity; create consensus around future organisational capacity-building activities; and select, implement, and track organisational change and development strategies.

Annex A of this Module B provides an example of a PROSE assessment tool adjusted to the conditions of regional government institutions.

Table B-11: Summary of Selected Organisational Capacity Assessment Tools

Tool	PROSE	Organisational Capacity Assessment Tool (OCAT)	Scorecard (Yes-No) Checklist
Dimension			
Comparison across organisation	Compares capacities across a set of peer organisations („cohort group“)	With limitations; however can be standardised and used across organisations	Yes
Measurement of changes over time?	Yes	Yes	Yes
Measures well defined capacities against well defined criteria?	Yes; defined criteria with defined score ratings	Yes	Yes
Captures „perceived“ capacities or „hard“ data?	Perceived capacity (as seen by participating staff)	Perceived capacity; can be combined with empirical observations	Perceived capacities can be balanced with empirical observations
Assessment process part of the capacity building process?	Yes; internal discussion and consensus building process	Yes	Yes
Self-Assessment/ External Assessment	Self-assessment; external moderator	Self-Assessment to be done by internal assessment team; can be complemented by external moderators/ advisers	Can be both
Degree of Participation	High (staff)	Medium (staff)	Only if results are discussed in the organisation
Description of final product	1. Capacity score for each areas, 2. Consensus score	Numeric ratings for each capacity area	Numerical scores on selected capacity areas
Main areas of capacity covered	External relations; Financial Resource Management; Human Resource Management; Organisational Learning; Strategic Management; Service Delivery	Governance; Management Practices; Human Resources; Financial Resources; Service Delivery; External Relations; Sustainability	To be specified for each organisation
Other comments	Well documented; sample questionnaires available, however need adjustment to context of regional government institutions; Combination of survey techniques with focus group/group discussion techniques. „PROSE is relatively good at comparing organisations with each other or rolling up results to report on a group of organisations together“ (p.8)	“The OCAT’s data-gathering step allows for systematic cross-checking of perceived capacities with actual or observable „facts“.	“Because scorecards/checklists are usually based on observable facts, processes and documents, they are more objective than most of the tools outlined in this TIPS ... they achieve better measurement consistency and comparability.”(p. 17)

Source: USAID Centre for Development Information and Evaluation, Measuring Institutional Capacity (Recent Practices in Monitoring and Evaluation No. 15), 2000.

b) Process

Developers of the PROSE method recommend that organisations participating in discussion-oriented self assessment develop a customised tool to better fit their organisation-specific circumstances. The general PROSE process for developing such a tool is as follows: After a cohort group of organisations is defined, the organisations meet in a workshop setting to design the assessment tool. With the help of a facilitator, they begin by pointing to the critical organisational capacities they want to measure and enhance. The cohort group then develops two sets of questions: discussion questions and individual questionnaire items. The discussion questions are designed to get the group thinking about key issues. Further, these structured discussion questions minimise bias by pointing assessment team members toward a common set of events, policies, or conditions. The questionnaire items then capture group members' individual assessments of those issues on an ordinal scale. During the workshop, both sets of questions are revised until the cohort group is satisfied. Near the end of the process, tools or standards from similar organisations can be introduced to check the cohort group's work against an external example. If the tool is expected to compare several organisations within the same cohort group, the tool must be implemented by facilitators trained to administer it effectively and consistently across the organisations.

Once the instrument is designed, it is applied to each of the organisations in the cohort. In the case of a discussion-oriented self-assessment, the facilitator leads a team of the organisations' members through a series of group discussions interspersed with individual responses to approx. 100 questionnaire items. The team meets for four to six hours and should represent a cross-functional, cross-hierarchical sample from the organisation. Participants respond anonymously to a questionnaire, selecting their response to statements about the organisations practices (1=strongly disagree, 2=disagree, 3=neutral, 4=agree, 5=strongly agree) in six capacity areas: External Relations, Financial Resource Management, Human Resource Management, Organisational Learning, Strategic Management, and Service Delivery. The assessment tool can be re-used annually to monitor organisational changes.

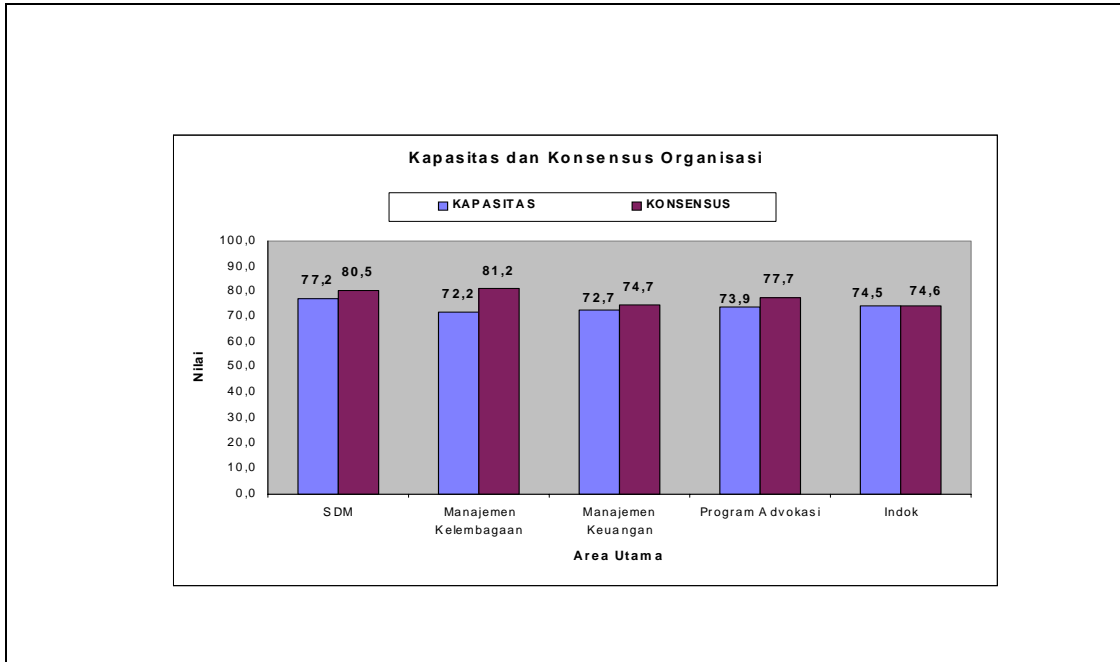
c) Product

PROSE instruments produce two types of scores and accompanying graphics. The first is a capacity score, which indicates how the organisation's members perceive its strengths and weaknesses in each of the capacity and sub-capacity areas. The second is a consensus score, which shows the degree to which the members of the assessment team agree on their evaluation of the organisation's capacity. Fig. B-2 shows an example of such scores.

d) Assessment

PROSE, like other similar instruments, is based on perceived capacities and does not currently include a method for measuring externally observable performance in various capacity areas (although this is under consideration). It is unique in its use of a consensus score. The consensus score acts as a check on the perceived capacities reported by individual organisational members. It also helps to identify capacity areas that all members agree will need immediate attention.

Figure B-6: Example of a Capacity and Consensus Score for PROSE



Organisational Capacity Assessment Tool (OCAT)

a) Background

The organisational capacity assessment tool (OCAT) is designed to identify an organisation’s relative strengths and weaknesses, thus providing the baseline information needed to develop capacity strengthening interventions. It can also be used to monitor progress over time, and can be standardised and used across organisations. OCAT differs from PROSE mainly by using an assessment team (i.e. a selection of members of the organisation plus externals), and by using a variety of data sources for the assessment. Annex B of this module provides an example of an OCAT assessment tool adjusted to the conditions of regional government institutions.

b) Process

The OCAT is intended to be a participatory self-assessment but may be modified to become an external evaluation. An assessment team, composed of organisational members (representing different functions of the organisation) plus some external helpers, modifies the OCAT assessment sheet to meet the needs of the organisation(s) to be assessed. The assessment sheet in Annex B consists of a series of statements under six capacity areas (with sub-elements). The assessment team then identifies sources of information, assigns tasks, and uses a variety of techniques (individual interviews, focus groups, among others) to collect the information they will later record on the assessment sheet. The assessment team assigns a score to each capacity area statement (1 = needs urgent attention and improvement; 2 = needs attention; 3 = needs improvement; 4 = needs improvement in limited aspects; but not major or urgent; 5 = room for some improvement; 6 = no need for immediate improvement). The assessment team would have to develop precise criteria for what rates as a “1” or a “2” etc. The suggested capacity areas are Governance, Management Practices, Human Resources, Financial Resources, Service Delivery, and External Relations.

After gathering data, the assessment team meets to reach a consensus on the rating of each element. With the help of an OCAT rating sheet, averages can be calculated for each capacity area. These numeric scores indicate the relative need for improvement in each area. They also correspond to a more qualitative description of the organisation's developmental stage.

c) Product

The OCAT provides numeric ratings for each capacity area. In addition, it gives organisations a description of their capacity areas in terms of progressive stages of organisational development. This information can be presented graphically as well as in narrative form.

d) Assessment

The OCAT identifies areas of organisational strength and weakness and tracks related changes from one measurement period to the next. The OCAT uses an assessment team that conducts research before completing the assessment sheet, and relies on evidence to supplement staff members' perceptions when conducting an assessment. The OCAT's data-gathering step allows for systematic cross-checking of perceived capacities with actual or observable facts.

Scorecards⁵

a) Background

A scorecard/checklist is a list of characteristics or events against which a Yes/No score or a numerical score is assigned. These individual scores are aggregated and presented as an index. Checklists can effectively track processes, outputs, or more general characteristics of an organisation. In addition, they may be used to measure processes or outputs of an organisation correlated to specific areas of capacity development. Scorecards can be used either to measure a single capacity component of an organisation or several rolled together. Scorecards/checklists are designed to produce a quantitative score that can be used as an indication of existing capacities or as a target for future capacity building to be achieved (though a scorecard/checklist without an aggregate score is also helpful).

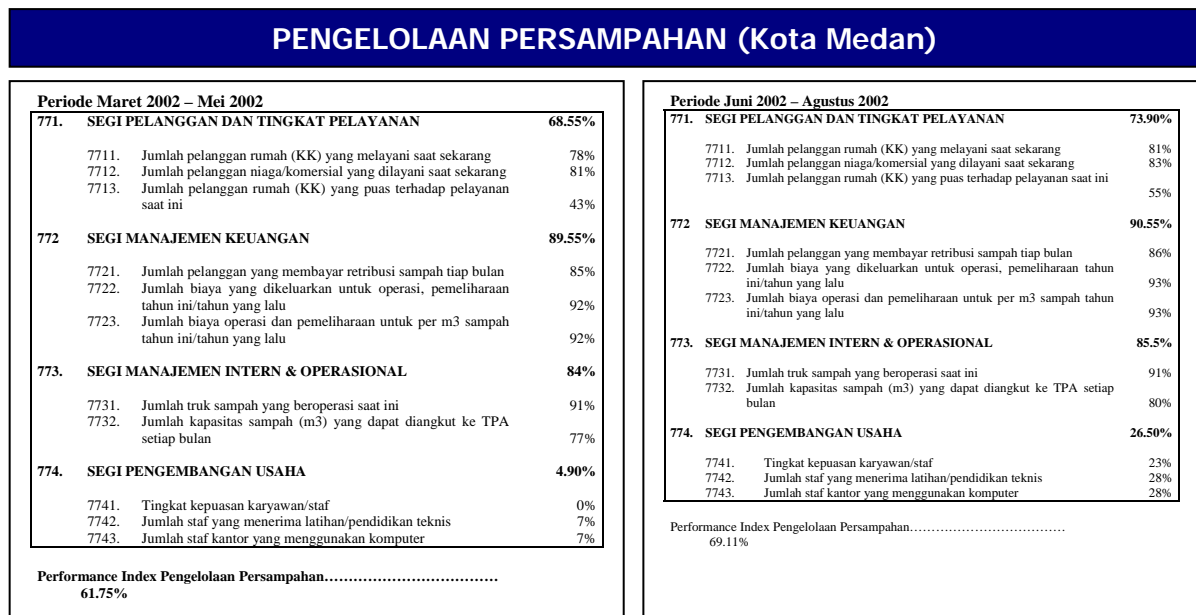
b) Process

To construct a scorecard, follow these general steps:

- First, clarify what the overall phenomena to be measured are and identify the components that, when combined, cover the phenomenon fairly well. Next, develop a set of characteristics or indicators that together capture the relevant phenomena. If desired, and if evidence and analysis show that certain characteristics are truly more influential in achieving the overall result being addressed, define a weight to be assigned to each characteristic/indicator. Then rate the organisation(s) on each characteristic using a well-defined data collection approach. The approach could range from interviewing organisation members to reviewing organisation documents, or it could consist of a combination of methods. Finally, if desired and appropriate, sum the score for the organisation(s).

⁵ USAID Centre for Development Information and Evaluation: Measuring Institutional Capacity (Recent Practices in Monitoring and Evaluation No. 15), 2000, p.16.

Figure B-7: Example of a Scorecard



Source: www.cbuim-indo-org (downloaded May 2003)

c) Product

A scorecard/checklist results in a scored listing of important characteristics of an organisation and can also be aggregated to get a summary score.

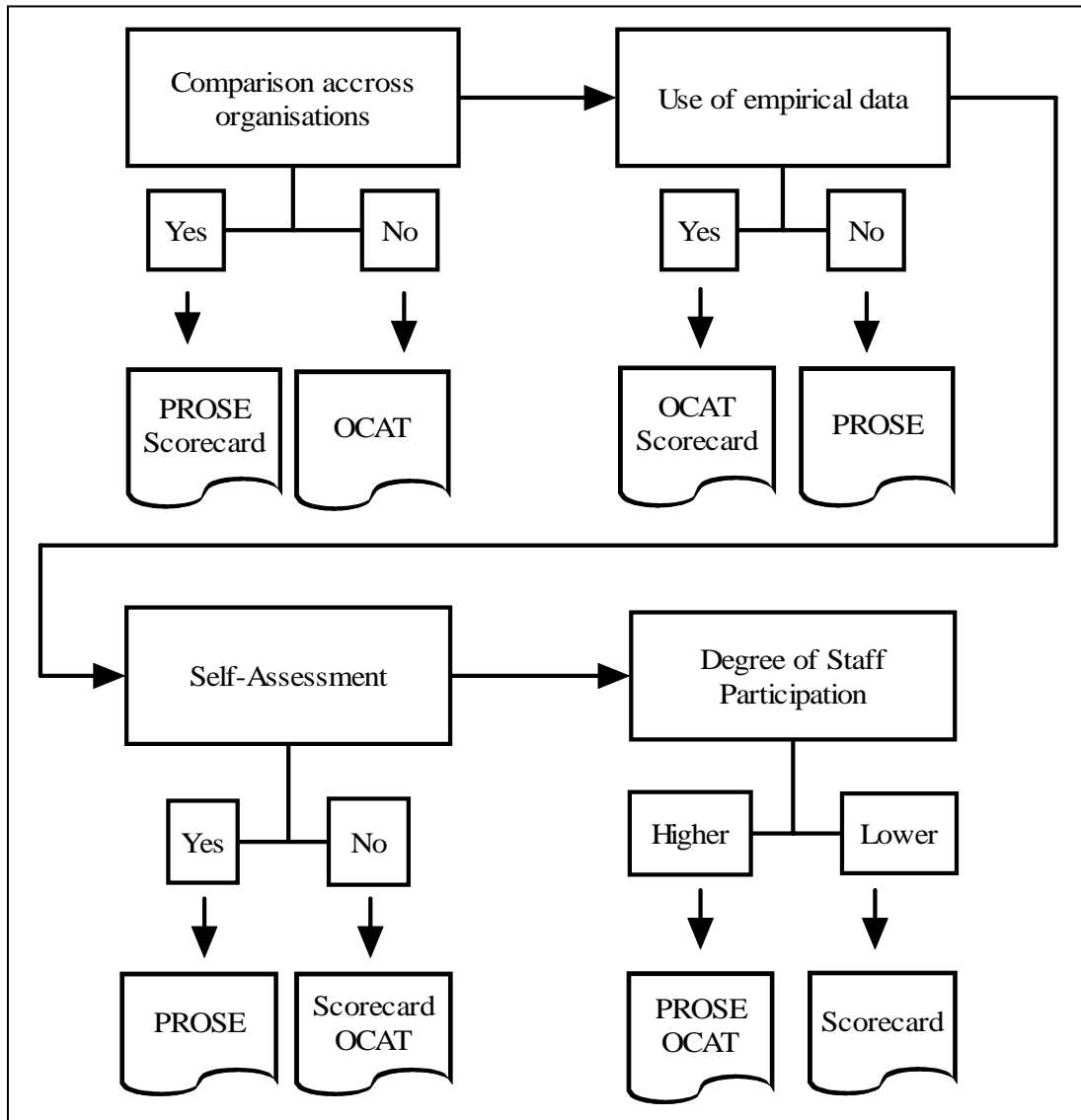
d) Assessment

A scorecard/checklist should be used when the characteristics to be scored are unambiguous. There should be no room for ambiguity with the scorecard technique. The wording of each characteristic should be clear and terms should be well defined. Because scorecards/checklists are usually based on observable facts, processes, and documents, they are potentially more objective than tools measuring only perceived capacity. This, in turn, makes them particularly useful for cross-organisational comparisons, or tracking organisations over time; that is, they achieve better measurement consistency and comparability. Yet concentrating on observable facts can be limiting, if such facts are not complemented with descriptive and perception-based information.

One example of such a scorecard is the Performance Scorecard which was introduced by the Capacity Building for Urban Infrastructure Management (CBUIM) project (see figure B-7).

The selection of one of the mentioned capacity assessment tools depends on the objectives to be achieved, the time frame, and the available resources. The following flowchart indicates selection criteria for choosing one of the mentioned capacity assessment tools.

Figure B-8: Selecting Organisational Capacity Assessment Tools



5.2.5 Participatory organisational appraisal (POA)

Participatory Organisational Appraisal (POA)⁶ aims at formulating a first organisational diagnosis and at stimulating the readiness of relevant stakeholders to observe and organise their activities. The planning of change processes can be conducted with or without external advisers/moderators. POA is usually used to assess an individual organisation, but it can also be applied to a net of cooperation relationships (like for instance the ones existing in a regional government system).

POA uses simple assessment methods. Main principles are the involvement of the stakeholders and the use of both subjective perceptions on the organisation as well as available empirical, “objective” data. POA has a “tool kit” character, i.e. different tools and instruments can be applied according to the specific situation. The varying images and perceptions of members of the organisation on their particular organisation are identified, documented, compared and integrated into an overall analysis. POA can only produce meaningful results if all participants are fully informed about the process and the purpose of the appraisal, and if the senior management provides full support and facilitation to the exercise. POA requires preparation by internal and external moderators who support the working group process and the overall management of the appraisal exercise.

POA is done by using parallel working groups with 4 – 7 members each. Each group is working on identical tasks. The composition of these working groups should reflect different perspectives on the organisation, like superior-staff, internal-external. It is advisable to have at least two homogeneous groups, and one mixed group. Time needed can be around 5 – 6 days, depending on the size of the organisation. Large organisations should do POA parallel in their sub-units.

The working groups analyse the organisation in five steps:

1. Step: Organisational Facts

The working groups describe the organisation along ten key questions, dealing for instance with the legal basis of the organisation, its members, its customers and clients, its tasks, its funding structure and its infrastructure.

2. Step: External relationships (“Rain bow”)

The groups identify existing relationships of the organisation with other organisations. They select the three most important ones, and analyse them in more details using seven dimensions (like objective, contract relation, trust, advantages, conflicts. Etc).

3. Organisational characteristics (“Bird perspective”)

The groups describe the organisation by using four quantitative characteristics (like turnover, number of external relationships), and four qualitative characteristics (like leadership).

4. Organisational Profiling

Using around 15 criteria, the groups assess the situation and performance of the organisation on a positive/negative scale and give their comments to each of the marks.

⁶ This presentation of Participatory Organisational Appraisal is based on Sülzer, Rolf; Zimmermann, Arthur (1996), *Organisieren und Organisationen Verstehen. Wege der Internationalen Zusammenarbeit*. Opladen, pp. 197-210.

5. Past and needed changes in the organisation

The groups answer questions regarding past change processes in the organisation, and how the members of the group have experienced these changes and their impacts. Other questions relate to expected challenges and issues that the groups think will confront the organisation in the future.

The results of the group work are then presented and discussed during a final workshop, which aims at synthesising the main issues, at identifying consensus, disagreements and open issues, and at developing hypotheses about needed changes. These should focus on four key areas of intervention: performance of the organisation (like services and products), cooperative relationships, human resource development, structure of the organisation, and work organisation.

5.2.6 Force field analysis

A Force Field Analysis (FFA) can be used to identify internal and external factors and forces which support or work against the solution of an issue or problem. In the context of formulating a capacity building programme, a FFA could for instance be used to discuss whether suggested capacity building initiatives can indeed be carried out, respectively what could be done to make capacity building initiatives possible.

A FFA can present the positive and the negative features of an existing situation so that they are easily compared with each other. It brings participants of the exercise to think about different aspects of the desired change, and encourages them to agree about the relative priority of factors on each side of the field, thus building consensus for the follow-up activities. The FFA works often best when focusing on the restraining forces, not the driving forces. It does not require lengthy preparations and infrastructure, but can be applied on the spot as the need arises. Fig. B-9 gives a simple example of such a force field analysis.

Figure B-9: Example of a Force Field Analysis

Force Field	
Improvement of training system	
Ideal state: Training improves individual skills and institutional performance	
<i>Driving Factors</i>	<i>Restraining Factors</i>
Individual interests in career advancement	<div style="display: flex; align-items: center; justify-content: center;"> <div style="margin-right: 10px;">⇒</div> <div style="margin-right: 10px;">⇐</div> </div> Limited funds for training
Improved institutional performance increases standing/reputation of senior management	<div style="display: flex; align-items: center; justify-content: center;"> <div style="margin-right: 10px;">⇒</div> <div style="margin-right: 10px;">⇐</div> </div> Staff placement/career development disconnected from training and skills development
Improved institutional performance leads to increased institutional revenue	<div style="display: flex; align-items: center; justify-content: center;"> <div style="margin-right: 10px;">⇒</div> <div style="margin-right: 10px;">⇐</div> </div> Lack of adequate programmes for technical and functional training
Political and public pressure to improve quality of services	<div style="display: flex; align-items: center; justify-content: center;"> <div style="margin-right: 10px;">⇒</div> <div style="margin-right: 10px;">⇐</div> </div> Low quality of training providers
	<div style="display: flex; align-items: center; justify-content: center;"> <div style="margin-right: 10px;">⇒</div> <div style="margin-right: 10px;">⇐</div> </div> Superiors pay little attention to staff skills and competencies
	<div style="display: flex; align-items: center; justify-content: center;"> <div style="margin-right: 10px;">⇒</div> <div style="margin-right: 10px;">⇐</div> </div> Existing work culture does not favour introducing changes and innovations

5.2.7 SWOT Analysis

SWOT stands for **S**trengths, **W**eaknesses, **O**pportunities and **T**hreats. A SWOT analysis can be used to identify internal and external factors which impact on the position of an organisation, its performance and the quality of its services. SWOT analysis helps to increase the understanding about an organisation and the environment in which the organisation operates. A SWOT analysis can be divided into five steps: preparation of a SWOT session, identification of strengths and weaknesses, identification of opportunities and threats, ranking of strengths and weaknesses, analysis of strengths and weaknesses.

Dividing participants in small groups to do the analysis, and then comparing the group results during a joint session can show different perceptions of where an organisation stands, and thus allows for the exchange of opinions, creating a learning opportunity for the participants. SWOT captures the opinions and perceptions of the participating individuals, and as such can produce biased, subjective results. More empirical work might be necessary to balance such bias with other data.

In the context of regional government capacity building, a SWOT analysis could be useful for identifying key factors having an impact on an individual organisation. In a broader sense, it might also be useful as a starting point for identifying the situation of a certain regional government system at a certain point in time.

5.2.8 Regional Development Planning Capacity Assessment

The planning component of the USAID-supported project PERFORM has developed a simple, spread-sheet based self-assessment tool which is intended to give institutions

involved in regional planning processes a first indication where their capacities building needs are. While the tool targets primarily the regional planning agencies (BAPPEDA), it can also be used by other agencies or units involved in planning and programming, like the *Penyusunan Program*-units of the *Sekretariat Daerah* or of the *Dinas*.

The self-assessment tool is explained in more detail in Annex C of this module. The electronic file (an excel-table) of the assessment tool can be downloaded from the GTZ-SfDM website. Please note that since the tool was formulated before recent changes in the legal framework for regional governance came into effect, some of the items listed in the assessment tool have to be adjusted to the new circumstances.

5.2.9 Training Needs Assessment (TNA)

Once the systems and organisational level capacity building needs have been identified, one has to assess capacity building needs of the individuals working in the organisation(s). Usually, this involves the application of training needs assessment instruments. The Education and Training Agency (*Badan Diklat*) of the Ministry of Home Affairs has developed such a training needs assessment instrument, an outline of which is attached in Annex D of this module.⁷

5.2.10 Capacity gap analysis

Based on the needs assessments carried out, the findings on missing capacities to deliver specific functions or services (i.e. capacity gaps) for each issue shall be summarized according to capacity dimensions (system, organization, individual). Text Box B-1 gives an example of the result of such capacity gap analysis from the pilot-testing of the modules in several districts in East Kalimantan.

Table B-12: Capacity Gap Analysis (Worksheet)

Capacity Building Theme	(e.g. regional development planning)		
Issues	Capacity Gaps		
	System	Organization	Individual
9. a			
9. b			
9. c			
9. ...			
II. ...			
III. ...			

⁷ Please note that this training needs assessment tool is only available in the Bahasa Indonesia version of the module.

Text Box B-1: Example: Result of a Capacity Gap Analysis

Capacity Building Theme	Personnel Management and Organizational Development (Pengelolaan Sumber Daya Manusia (SDM) Aparatur dan Pengembangan Kelembagaan)		
Issues	System	Organisation	Individual
	1. Penataan struktur organisasi yang efisien dan efektif, sesuai dengan Rencana Strategis Kabupaten Kutai Barat dan Peraturan Pemerintah Nomor 8 Tahun 2003 tentang Pedoman Organisasi Perangkat Daerah, untuk diundangkan dalam Perda Kutai Barat.	1. Lebih memperjelas rumusan tupoksi dan uraian tugasnya sesuai visi, misi dan kewenangannya pada masing-masing unit kerja dinas, badan, kantor dan bagian lingkup Pemerintah Kabupaten untuk menghindari terjadinya tumpang tindih baik internal organisasi maupun lintas organisasi.	1. Pemahaman mencerna Renstra organisasi Pemerintah Kabupaten oleh pegawai pada unit kerja BKD, dan Bagian Hukum dan Organisasi Sekretariat Kabupaten (Setkab).
	2. Perumusan tugas pokok dan fungsi (tupoksi), dan penjabaran/uraian tupoksi yang jelas, tidak tumpang tindih, dan sesuai kebutuhan. Rumusan ini dituangkan dalam Surat Keputusan Bupati.	2. Peningkatan dan penambahan pegawai Bagian Hukum dan Organisasi Setkab yang berkualifikasi baik untuk menangani tugas pokok tentang organisasi maupun tata laksana kelembagaan Pemerintah Kabupaten.	2. Peningkatan kemampuan dalam pengembangan organisasi oleh pegawai di Bagian Hukum dan Organisasi Setkab.
	3. Peningkatan pengelolaan sumberdaya manusia dengan penetapan beberapa aturan dalam Peraturan Daerah (Perda) sebagai tambahan dari aturan yang lebih tinggi kedudukannya, misalnya	3. Pelaksanaan analisis jabatan untuk semua unit kerja organisasi Pemerintah Kabupaten, terutama di BKD, dan Bagian Hukum dan Organisasi Setkab.	3. Peningkatan kemampuan (kinerja) pegawai BKD dalam penyusunan program, pemetaan kompetensi, data base kepegawaian, perencanaan pegawai, seleksi pegawai, analisa jabatan, penegakan disiplin,

Capacity Building Theme	Personnel Management and Organizational Development (Pengelolaan Sumber Daya Manusia (SDM) Aparatur dan Pengembangan Kelembagaan)		
Issues	System	Organisation	Individual
	mengenai penilaian kinerja Pegawai Negeri Sipil (PNS), sistem kepegawaian, serta penataan pendelegasian wewenang dalam penegakan didiplin.		penilaian kinerja dan pengimbalan, pemantauan, dan evaluasi.
	4. Aturan yang lebih tinggi dari Perda yang sudah tidak sesuai lagi dengan keadaan sekarang adalah dalam hal penilaian pegawai (DP3) yang perlu disempurnakan oleh Pemerintah Pusat.	4. Penetapan prosedur (panduan) tetap untuk setiap unit kerja dinas, badan, kantor, bagian dalam lingkup Pemerintah Kabupaten.	4. Peningkatan pemahaman akan tugas pokok dan fungsi (tupoksi) bagi aparatur Pemerintah Kabupaten pada dinas, kantor, badan, dan bagian masing-masing.
		5. Analisis beban kerja untuk pertimbangan pemisahan Bagian Hukum dan Organisasi Setkab menjadi Bagian Organisasi dan Tata Laksana tersendiri.	5. Peningkatan perilaku disiplin oleh setiap pegawai pada setiap unit kerja dinas, badan, kantor, bagian lingkup Pemerintah Kabupaten.
		6. Implementasi penegakan disiplin oleh setiap dinas, badan, kantor, dan bagian lingkup Pemerintah Kabupaten	6. Peningkatan keterampilan dalam manajemen untuk beberapa pejabat struktural Pemerintah Kabupaten, terutama yang berasal dari atau merangkap jabatan fungsional.
		7. Peningkatan pelaksanaan penilaian kinerja aparatur	

Capacity Building Theme	Personnel Management and Organizational Development (Pengelolaan Sumber Daya Manusia (SDM) Aparatur dan Pengembangan Kelembagaan)		
Issues	System	Organisation	Individual
		berdasarkan sistem yang berlaku dan mengarah kepada profesionalisme pada setiap unit kerja.	
		8. Perumusan prosedur operasi standar unit kerja pada Badan Kepegawaian Daerah (BKD) dalam hal penyusunan program, pemetaan kompetensi, data base kepegawaian, perencanaan pegawai, seleksi, analisa jabatan, penegakan disiplin, penilaian kinerja dan pengimbangan, pemantauan, dan evaluasi.	
		9. Penyesuaian pengembangan sumberdaya manusia dengan memperhatikan unsur-unsur kebutuhan dan rencana pengembangan SDM, pelatihan didasarkan kebutuhan, hasil pelatihan diterapkan dalam pelaksanaan tugas pokok dan fungsi, penilaian dan promosi pegawai berdasarkan kinerja.	

5.2.11 Capacity building needs format

The final tool for analysis is meant as a summary of findings and forms the initial compilation of specific capacity building requirements. It relates organizations or units thereof to their critical functions or major tasks to be accomplished. For each function the strengths and weaknesses are noted and relevant capacity building needs pertaining to each level of capacity are identified

Table B-13: Capacity Building Needs Format (Worksheet)

Whose Capacity	To do what	Existing Capacities		Capacity needs for each capacity level	
		Strengths available	Weaknesses to be improved	Needs	Level
Organization involved	Critical function (tasks to be performed)				
A.					System
					Organization
					Individual
B.					System
					Organization
					Individual
C.					System
					Organization
					Individual

5.3 PHASE C: PLANNING & PROGRAMMING

Introduction

The planning and programming phase transforms identified capacity building needs into multi-year capacity development strategies. A medium-term, multi-year capacity building action plan accompanied by a medium-term expenditure framework provides strategic direction for capacity building processes in the future. Annual programmes based on priority setting and sequencing of activities will comprise the frame for annual budgeting and short-term implementation of capacity building actions.

Capacity development is essentially a process of change or transformation that aims to induce various actors to take on new responsibilities, skills, behaviours, values, and policies.

The transformation process addresses specific development problems or content areas. The *capacity building action plan* therefore has to provide a focus on strategic management and process approaches in the design and management of capacity development.

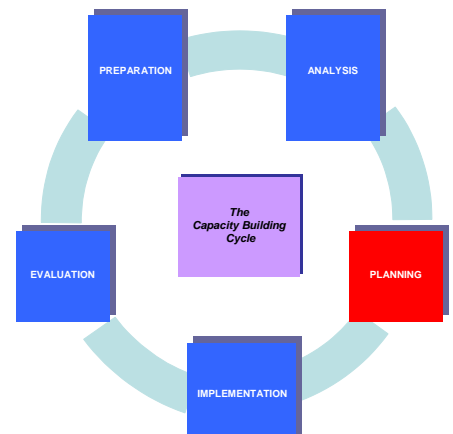
Capacity development interventions frequently aim to improve the performance of complex “systems” that involve individual and organizational actors at the group, community, organizational, network, and institutional levels. In this sense, capacity development is seen as a multi-dimensional activity that involves reforms at each level, as well as efforts to alter the inter-relationships among actors at different levels.

Planning and programming of capacity building activities requires to distinguish between short-term and long-term measures and to determine priorities in order to match immediate needs while constructing mid-term strategies that are suitable to bring about a gradual transformation of the entire system. Having a longer time frame allows districts to conceptualise “building blocks” for capacity building, where activities of the first year lay the foundations for continuing capacity building efforts in the following years, based on annual capacity building action programmes.

Based on inputs collected from discussions, public hearings and other events in the previous assessment phase, the mid-term *capacity building action plan* will be formulated as the strategic medium-term document that lists all required components for regional capacity building. It should become part of the strategic regional development plan, to be decided upon by the regional council. It provides the basis for mid-term expenditure planning, and the annual programming and budgeting.

A strategic approach to capacity building planning should centre around three core issues:

- the **capacity building goal**: which permanent benefits are expected from the enhanced capacity building performance?



- the **capacity building outcome**: how will the organizations or individuals improve their performance, i.e. activities, practices and behaviour by utilising the outputs of the capacity building interventions?
- the **capacity building results**: which services and products will be made available by the organizations and/or individuals doing capacity building?

Working Steps

1. Multi-year action planning
2. Medium-term expenditure planning
3. Priority setting and sequencing.

Facilitation

Facilitators will have to take care that a common understanding about the specific results of strategy formulation is established before the work process begins. This will help to clearly relate analytical results to capacity building planning. The following steps are essential for formulating the capacity building action plan and should be at the core of the facilitation during this phase of the capacity building cycle:

➤ Draft the capacity building action plan:

- Define longer term capacity building strategies for each issue in terms of what the situation will eventually be like, consisting of impact, outcomes, and results.

➤ Develop a mid-term expenditure framework for capacity building measures:

- Estimate overall resource requirements (finance, human, technical) on a mid-term basis.
- Specify resources to be earmarked for capacity building as part of the ongoing regional development strategy, and assess budget constraints.

➤ Identify and assess priorities for implementation of capacity building measures:

- Openly discuss priorities with all stakeholders while maintaining strategic perspective.
- While splitting up the entity of activities into “building blocks”, ensure that activities cover all three levels of capacity.
- Adopt a mid-term perspective to identify predecessors and successors to each individual measure.

Objectives of Phase C

Planning and programming the capacity building strategy aims to

- define *the overall goals and long-term impacts* that the capacity building initiative, if successfully implemented, will accomplish. This would be a high level narrative description embodying the longer term *objectives* and *policy framework*;

- provide a detailed description of the enabling *legal/regulatory* environment within which the capacities would be developed and sustainable (new/reformed *rules* of the system);
- specify the *management/accountability framework* (entities or stakeholders responsible for aspects of management), e.g. design, management and implementation, coordination, monitoring and evaluation - plus other key stakeholders and their roles, and the nature of inter-relationships and inter-dependencies.

Expected Results

- the medium-term, multi-year capacity building action plan (CBAP),
- the medium-term expenditure plan, and
- a list of capacity building priorities.

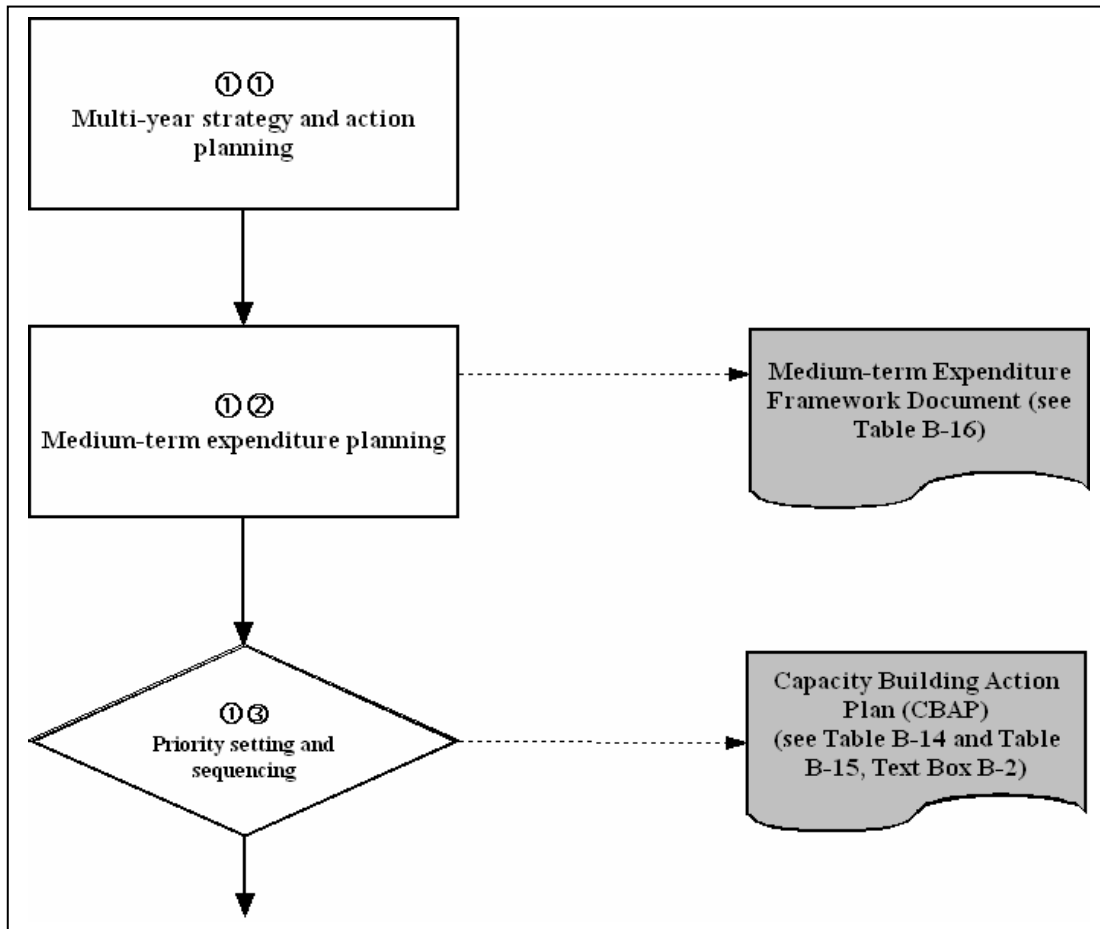
The Capacity Building Action Plan (CBAP) is the core document for regional capacity building. It integrates capacity building requirements with related activities on the three levels of capacity, i.e. system, organization and individual. For each major issue analysed during the needs assessment, a change strategy will have to be devised and defined accordingly. The underlying tool is the logical framework that combines strategic objectives with indicators of accomplishment.

Methods

The following methods form the key tools for the planning and programming phase of the capacity building cycle:

- A medium-term Capacity Building Action Plan (based on a logical framework planning approach)
- Medium-term Expenditure Planning, and
- Priority Setting and sequencing.

Figure B- 10: Phase C and Key Documents



5.3.1 Medium-term Capacity Building Action Plan

A medium-term, multi-year Capacity Building Action Plan (CBAP) is the core planning and programming document for the regional capacity building cycle. It links capacity building requirements on the three levels of capacity, i.e. system, organisation and individual with time-bound capacity building interventions, based on a logical framework approach of planning. It integrates time schedules, resource requirements and tentative activities with expected outputs, outcomes and impacts. The CBAP should also include tentative indicators to measure the accomplishment of capacity building. For each major issue analysed during the needs assessment a change strategy will have to be devised and defined accordingly.

The capacity building action plan lists measures and activities to enhance regional governance capacities in the focal areas of needs assessments, taking into account the three capacity levels. It will include impact and success indicators. While the CBAP is of a medium-term time frame, it constitutes the basis for the annual activity planning and budgeting that will ensure that implementing the CBAP will remain in line with emerging and changing needs and will reflect the availability of own and third-party resources.

In order to formulate a draft *capacity building action plan*, it is necessary to

- identify the specific capacity building measures for each of the three capacity levels;
- integrate them into a common planning format for the regional action plan (see Table B-15);
- identify and specify, if feasible, the need for external support (such as expertise, funding);
- outline the cooperation mechanisms between the various stakeholders.

The plan should furthermore contain indicators to be used to assess the progress achieved in enhancing the regional governance capacities and the impact made on regional development in general and on the provision of public services in particular.

The issue-based capacity building strategies will define the goals, outcomes, and results in a systematic manner. Related activities and required inputs will be formulated during annual programming of interventions.

The following Text Box B-2 suggests the contents of a full-fledged *capacity building action plan* to be formulated on the regional level. It consists of the essential information required to comprehend the concept and its application in the region. The outline presented in Text Box B-2 is comprehensive covering all major issues and considerations. In practise, it should be adapted to the regional context and requirements. The CBAP document as outlined in Text Box B-2 includes the identified capacity building priorities for each main issue in the format as outlined in Table B-15.

Text Box B-2: Tentative Contents of a Capacity Building Action Plan

Item	Contents
EXECUTIVE SUMMARY	
Executive Summary	Background, objectives, stakeholders, methodology, issues, main findings, strategies, expected results and impacts, action programmes, implementation schedule
1. INTRODUCTION AND BACKGROUND	
1.1. Overview of the Capacity Building Needs Assessment Process	Short outline of objectives and purpose of CBNA process
1.2. Regional Capacity Needs, Constraints and Priorities	Overview of most essential needs, constraints and emerging priorities for capacity building in view of regional development objectives
1.3. Guiding Principles	Underlying policy principles of the capacity building cycle and mode of implementation
1.4. Legal and Regulatory Environment	Capacity building's legal background (like Indonesia's "National Framework for Capacity Building to Support Decentralization" of November 2002); official status of CBNA process in the region

Item	Contents
1.5. Linkages to National Priorities	Brief overview of national capacity building priorities and available resources following the enactment of decentralization
1.6. Implementation and Management Framework	Detailed CBNA process outline at regional level, stakeholders involved, roles, participation, decision-making procedures, time schedule for implementing the capacity building cycle in the region, responsibilities, resources used, reporting
2. SITUATION ASSESSMENT	
2.1. Methodology Applied for Capacity Building Needs Assessment	Overall methodology and working steps, specific instruments applied, key events held,
2.2. Capacity Building Issues Identified	Description of capacity building issues pertaining to regional governance functions, service delivery, regional development etc. [according to Table B-12]
2.3. Major Capacity Building Needs	Detailed inventory of existing capacity gaps and resulting requirements for each issue according to main functions and capacity levels, and in view of future needs [according to Table B-13]
3. VISION AND MISSION	
3.1. Regional Governance & Development Vision	Statement about the future state of regional governance capacities to support a regionally grounded development process
3.2. Capacity Building Mission	How the capacity building initiative is meant to support regional governance and development
3.3. Key Stakeholders and Roles	Stakeholders' contributions and functions in capacity building
3.4. Management Values	Underlying values such as strategic planning, joint decision-making, transparency and accountability, gender, resource orientation, evaluation
4. OBJECTIVES OF CAPACITY BUILDING AND INTERVENTION STRATEGIES	
4.1. Overall Description of Capacity Building Objectives	The overall objectives being pursued by the capacity building initiative and the strategies being applied
4.2. Expected Outcomes and related Performance Indicators	The strategies' outcomes and the indicators used to measure the enhancement of performance [according to Tables B-14 and B-15]

Item	Contents
4.3. Cross-Sectoral Action Areas (Examples) and Expected Results	Relevant action areas for capacity building based on needs assessments and strategic objectives for regional development
4.4. Capacity Building Priorities and Sequencing	A list of agreed-upon priorities for implementation of capacity building strategies and sequencing of interventions
4.5. Gender Action Plan	Objectives and activities to enhance capacities related to gender mainstreaming
4.6. Evaluation and re-planning of capacity building strategy	Procedures and means for evaluation of capacity development and requirements for re-planning of capacity building action plans
5. IMPLEMENTATION OF CAPACITY BUILDING ACTION PLAN	
5.1. Overall Implementation Approach	Policy principles for implementation of capacity building interventions
5.2. Multi-year Expenditure Framework	Medium-term planning and resulting expenditure requirements and forecast of resource availability from various (internal and external) sources [according to Table B-16]
5.3. Annual Programming	How the medium-term capacity building action plan is being transformed into annual action programmes [part of Table B-15]
5.3.1. Capacity Building Priorities Year 1 - 5	The sequence of priorities, criteria applied and brief assessment of pros and cons of selection
5.3.1.1. Description of Phases	The envisaged phases of implementation from year 1 to year 5
5.3.1.2. Expected Outputs	The sequence of capacity outputs expected
5.3.2. Task Allocation	Division of work among stakeholders and external service providers
5.3.3. Accountabilities	Accountability mechanisms to ensure transparent process implementation, reporting requirements and chains of information and communication
5.3.4. Review and Approval Processes	Decision-making process to approve the capacity building programmes and their integration with regional development objectives
5.4. Programme Management Structure	The management systems applied for implementation of capacity building programmes

Item	Contents
5.4.1. Budget Requirements and Forecasts	Budgeting process for capacity building and its inter-linkage with annual regional budgeting
5.4.2. Sources of Funds and other Resources	Determination of internal sources of funding and identification of external resources
5.4.3. Expenditure Management Plan and Accounting	Allocation of expenditure for capacity building interventions and accounting within the regional budgeting and accounting system
5.4.4. Coordinating Mechanisms	Procedures, events and instruments to ensure a coordinated approach to capacity building among all stakeholders in the region
5.4.5. Donor Participation and Coordination	The role of donors and the integration of donor-funded programmes into the capacity building process in the region
5.4.6. Documentation, Communications and Public Relations	Documentation of agreed-upon stages of capacity enhancement, means to communicate progress and accomplishments among all stakeholders and to inform the public about the capacity building process
6. MONITORING & EVALUATION	
6.1. Process Monitoring	Procedures and instruments for process monitoring, particularly in view of governance-related services made available
6.2. Performance Measurement: Evaluation of outcome and impact	Procedures and instruments for evaluation of performance enhancement and permanence of capacity building, external evaluation and participatory evaluation schemes and time schedules
6.3. Re-planning	Annual procedure for re-planning of capacity building action plan and annual programmes

Table B-14: Capacity Building Strategies (Worksheet)

Theme: ...				
Issues	Capacity Building Strategies			
		Narrative	Indicators	Assumptions
I a.	Impact			
	Outcome			
	Results			
I b.				
I ...				
II.				
III:				

A consolidated example for strategy formulation that - for practical reasons - integrates strategy/action planning and annual programming is being provided in the following Table B-15.

Table B-15: Capacity Building Intervention in the Capacity Building Action Plan (Worksheet)

Capacity building theme (e.g. Good Governance and Public Participation)				
Capacity Building Issue (e.g. Understanding and applying Good Governance)				
Impact: 1.... <i>Indicator:</i> 1.		Outcome: 1. <i>Indicator:</i> 1.		
Result: (e.g. Good Governance principles are understood and being implemented by stakeholders in the regional government and the regional council) <i>Indicator:</i> 1.				
Core activities				
200x	200(x+1)	200(x+2)	200(x+3)	200(x+4)
Required Inputs				
Lead Institution: Sekretariat Kabupaten/Assisten 1 Administrasi Umum dan Pemerintahan				

The Capacity Building Action Plan is the core document to be decided upon by the regional council and should become a part of the strategic regional development plan. It forms the basis for the annual capacity building action programmes as well as ensuing budget allocation in conjunction with the mid-term expenditure framework. Therefore it should cover all measures intended to be undertaken for capacity building and provide the coordinative framework for activities unfolding in various organisational settings and structures on the regional level.

5.3.2 Medium-term Expenditure Planning

The introduction of a Medium-term Expenditure Framework will provide a more reliable basis for planning and prioritisation around the agreed strategic objectives for capacity building, with an estimation of resource requirements and a forecast of the medium term resources available to the region.

Expenditure planning aims at identifying the total programme costs for each capacity building issue on a multi-year planning horizon and specifying the projected funding sources. Expenditure planning will cover the major issues identified as capacity building priorities in the CBAP, including a tentative breakdown of expenditures according to the implementation schedule. Since the CBAP identifies specific regional government agencies as lead institution for each of the identified core capacity building issues, budget allocations for capacity building are linked to and must be integrated into the budgets of these regional government agencies. The total budget allocation for regional capacity building therefore equals the sum of agency-based allocations in each year. In addition to these agency-based allocations, a sufficient budget allocation is required to manage the capacity building process, including the monitoring and evaluation of capacity building interventions. Among others, this central budget allocation would have to cater for the funding needs of the steering committee and the technical team, and any other management instrument established as part of the capacity building process. It could be allocated to that unit of the regional administration, which has been tasked to steer the capacity building process.

Table B-16: Format for a Mid-term Expenditure Framework for the Capacity Building Action Plan

Financial Year				1			2			3			4			5		
Source of Funding				Regional Budget	National Budget	Other Sources	Regional Budget	National Budget	Other Sources	Regional Budget	National Budget	Other Sources	Regional Budget	National Budget	Other Sources	Regional Budget	National Budget	Other Sources
CAPACITY ISSUE A (for instance: LAND USE PLANNING)																		
<i>CAPACITY LEVEL</i>	<i>CAPACITY MEASURES (EXAMPLES ONLY)</i>	<i>DEFINED RESULTS</i>	<i>ESTIMATED COST</i>															
<i>System</i>	Development of regional regulations and policy frameworks																	
<i>Institutional</i>	Organisational restructuring Systems for specific management functions (Finance, Assets, Personnel, Maintenance, etc.)																	
<i>Individual</i>	for instance: formal training job rotation																	
CAPACITY ISSUE B (for instance: Personnel Management)																		
<i>CAPACITY LEVEL</i>	<i>CAPACITY MEASURES (EXAMPLES ONLY)</i>	<i>DEFINED RESULTS</i>	<i>ESTIMATED COST</i>															
<i>System</i>																		
<i>Organisational level</i>																		
<i>Individual level</i>																		

<i>CAPACITY ISSUE C (FOR INSTANCE: AGRICULTURAL EXTENSION)</i>																		
<i>CAPACITY LEVEL</i>	<i>CAPACITY MEASURES (EXAMPLES ONLY)</i>	<i>DEFINED RESULTS</i>	<i>ESTIMATED COST</i>															
<i>Systems level</i>																		
<i>Organizational level</i>																		
<i>Individual level</i>																		
<i>MANAGING THE CAPACITY BUILDING ACTION PLAN</i>																		
<i>Operational Costs Steering Committee</i>																		
<i>Operational Costs Technical Team</i>																		
<i>Monitoring and Evaluation Costs</i>																		
<i>Other Costs...</i>																		

5.3.3 Priority setting

It can fairly be assumed that the capacity building needs assessment will identify capacity building needs which are beyond the immediately available means and resources of the region. In this case capacity building needs have to be prioritised. The region has to decide which needs should be addressed first, and which ones can wait a while longer until additional resources have become available.

Like determining development priorities in the regional development planning documents, or like determining annual budget allocations, this process will probably result in a sequence of discussions and negotiations between the different parties and stakeholders involved. There is no clear-cut guideline on how to determine priorities, but there are a few general considerations that should be kept in mind:

- *Prioritise capacity building activities which have a bearing on a wide scope of regional government services!*

It would be wise to start with those capacity building activities which have potential impacts on a larger number of regional government tasks and functions. Providing highly-specialised technical training to staff from the *Seksi Tata Ruang* of BAPPEDA in the use of satellite data for land use planning might certainly improve their capacity to design a land use plan. However it will not have much impact on the overall capacity of the regional government because the benefit of the capacity building intervention (in this case technical training) is limited to only one unit. In contrast, having a competent and innovative human resource management unit in the *Sekretariat Daerah* can have a very substantial impact on the performance of a wide range of regional government units if this HRM unit can improve career and personnel development systems of the regional civil service. What should be prioritised therefore are those capacity building activities which address core management functions of the regional government, like planning and programming, financial management, human resources management, monitoring and evaluation.

- *Prioritise capacity building activities which are crucial for the achievement of regional development objectives!*

As mentioned above, the regional capacity building programme should be integrated into the overall development process of the region. Officially stated visions of the region and regional development priorities as determined in the annual and medium-term planning documents are important factors in determining priorities of capacity building programmes.

- *Cover capacity building needs of various stakeholders!*

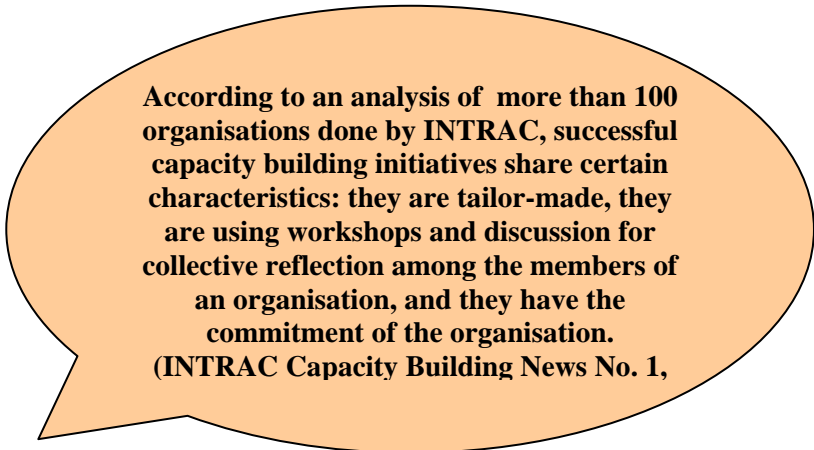
Good regional governance needs the involvement and interaction of different stakeholders, like the government administration, the political parties and the regional councils, regional community groups and others. Capacity building programmes should make an effort to adequately cover the needs of all these different stakeholders to ensure that they can all contribute to better regional governance.

- *Promote capacity building activities which support or are crucial for achieving good regional governance!*

In October 2001, a national conference of regional government associations agreed on 10 principles of Good Regional Governance (see Module C), including for

instance responsiveness of regional administrations, accountability, efficiency and effectiveness. Capacity building should contribute to achieving these principles.

As in all decisions on the allocation of scarce resources, there has to be some mechanism for the decision-making process. One method could be to rank different priorities. The USAID-supported BIGG project has documented a simple ranking methodology for deciding on budget allocations, which can also be used for deciding on capacity building priorities (see Text Box B-3). Another method is described in Figure B-10.



According to an analysis of more than 100 organisations done by INTRAC, successful capacity building initiatives share certain characteristics: they are tailor-made, they are using workshops and discussion for collective reflection among the members of an organisation, and they have the commitment of the organisation. (INTRAC Capacity Building News No. 1,

Text Box B-3 Rating System for Prioritising Capacity Building Proposals

Since almost certainly more proposals for capacity building activities will emerge than can be funded by the available resources, the regions have to select proposals and pick those which should have priority. A simple method for doing so consists of the following steps:

1. Determine criteria which you want to use for assessing and examining proposals for capacity building activities.

For instance the following criteria could be used:

- Linkage of suggested capacity building activities with other services of the regional government: will the expected results have a significant impact on other units of the regional government and the ways these units can deliver their services/activities?
- Focus on improving work processes, work flows and working mechanisms; in other words looking at the „how-to-do“ way of doing business
- Benefits are expected for different categories of stakeholders (stakeholders are e.g. staff of the regional administration, members of the DPRD, representatives of regional civil society organisations, representatives of regional interest groups/professional associations etc.)
- Use of horizontal learning networks or the establishment of such networks; in other words will the suggested capacity building activities involve learning from other regional governments facing similar issues
- Relation with key social services like health and education.

2. Determine the weight for each criterion.

The sum for all criteria should be 100. Taking above criteria, a weighting could be as follows: Linkages: 25%; Focus on work processes: 15%; Stakeholder categories: 20%; Horizontal learning: 15%; Relation to social services: 25%.

3. Set a scale for each criteria, using a range from 0 – 3

This could look as follows:

Score	0	1	2	3
Criteria				
Linkages	No linkages	Moderate	Significant	Significant and immediate linkages
Focus on work processes	Not relevant	Moderate	Significant	Exclusively on reforming work processes
Benefits across categories of stakeholders	Benefits only one category of stakeholders	Benefits more than one category of stakeholders	Benefits more than 2 categories of stakeholders	Benefits more than 3 categories of stakeholders
Horizontal networking	Not relevant	Moderate	Significant	Exclusively on horizontal networking
Relation to key services (health, education)	Not relevant	Moderate	Significant	Exclusive focus on health and education

4. Give each capacity building proposal a score for each criterion as listed in the table, and summarise the results as follows:

Proposal XY

Criteria	Score	Weight	Points
Linkages	25
Work Process	15
Stakeholder Categories	20
Horizontal networking	15
Social services	25

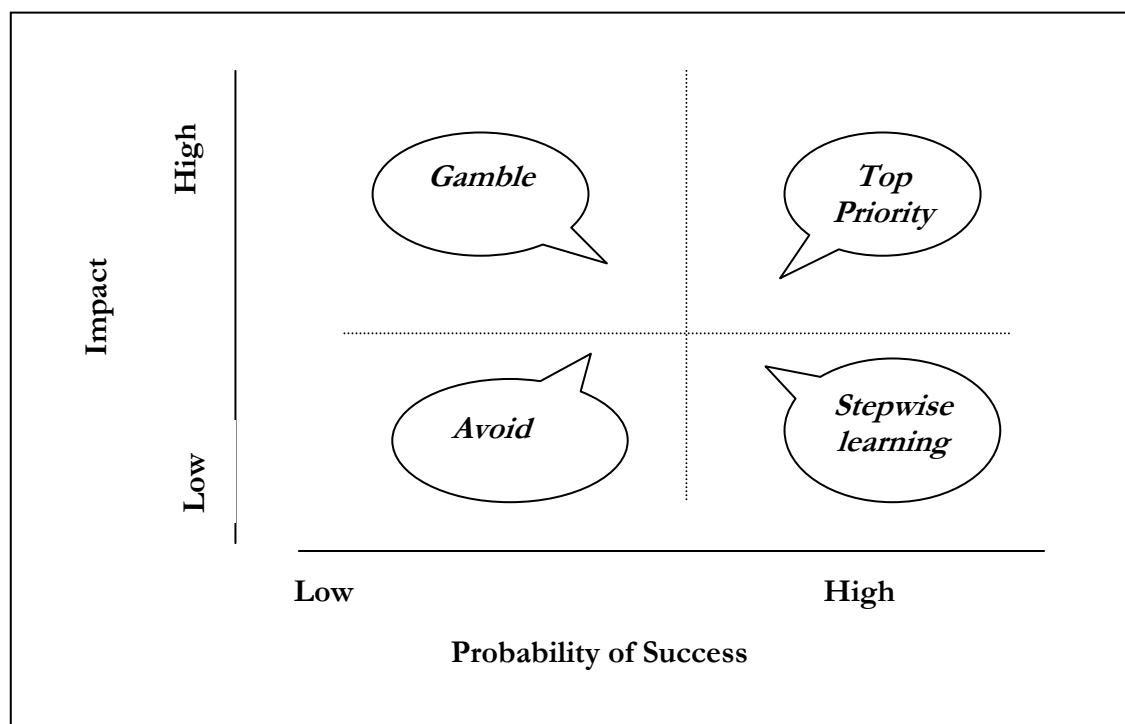
5. Do this for all proposals, ending up with a ranking of proposals which would give a better, more consistent and transparent basis for making resource allocations.

The above mentioned criteria and scores are examples only, other criteria (like relation with determined policy priorities of the regions, extent of needed resources, availability of capacity building services etc.) can be used.

(Source: modified from BIGG Picture No. 5: Establishing Budget Priorities; October 2001 (published by the Building Institutions for Good Governance (BIGG) Project) (www.bigg.or.id) (Downloaded May 2003)

Proposals of capacity building initiatives can also be assessed by analysing the potential impact of the respective initiative, and by analysing the probability of its success. Putting both variables together, one gets the following four fields into which the various suggestions can be placed:

Figure B-11: A Four-Field Analysis of Suggested Capacity Building Initiatives

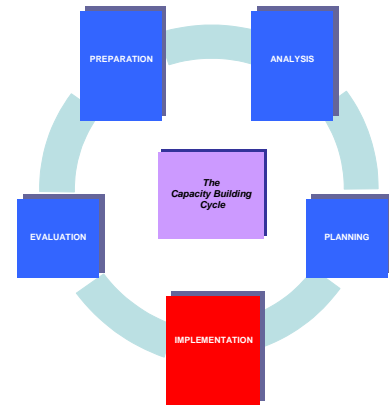


Initiatives with a high impact, but with a low probability of success can be risky, and therefore require good risk management. Suggested initiatives with low impact and with a low probability of success should be avoided, since their cost-benefit value is not sufficient to justify the investment of scarce resources. Initiatives with a low impact but a high probability of success can be characterised as „stepwise learning“. Since they produce quick (albeit limited) success stories, they are good candidates for the very first concrete capacity building activities in a larger programme: their success can convince sceptical officials, and give the capacity building programme a larger momentum. Capacity building proposals with high impact and high probability of success are the most obvious choices and become top priorities to be included in the capacity building programme.

5.4 PHASE D: IMPLEMENTATION

Introduction

The implementation of capacity building activities requires sound planning of measures and the identification of capacity building service providers to deliver specific services. Annual capacity building action programmes based on priority setting and sequencing of activities comprise the frame for annual budgeting and short-term implementation of capacity-building interventions. Procurement shall be based on competitive tendering.



A continuous monitoring of accomplishments ensures that the capacity building process stays on track and that improved governance related products and services are made available to both stakeholders and regional beneficiaries.

The implementation of capacity building hence will include several types of activities geared towards the different levels of capacity. It can range from conducting training programmes for staff members, members of the DPRD or members of civil society groups in order to increase individual skills and competencies, to devising new procedures how regional government institutions are working and making decisions. It can comprise activities to improve the way regional government institutions communicate with each other and harmonise/coordinate their respective plans and activities, as well as streamlining the existing policies and regulatory frameworks to make them more conducive for achieving the region's development objectives.

When searching for adequate services to satisfy regional capacity building needs, first of all, solutions should be sought within the regional context itself as this will directly engage regional actors and enhance their capacity to innovate and perform better. A lot of ideas for improvement are available right away to be pursued by means of the region's own resources. The compilation of draft proposals and plans for regionally conceived capacity building projects (for instance for re-designing processes) therefore will be a key competency to bring about change from within.

Objectives of Phase D

This phase of the capacity building cycle is expected to formulate an implementation strategy and annual capacity building action programmes, including simple project plans. At this stage it is also necessary to distinguish between capacity building interventions which need external support and which can be implemented through own means.

Moreover, the identification of external service providers and assessment of their capability and the quality of capacity building services and products offered will have to be accomplished. Tendering of particular capacity building services among suitable providers is to become an approach to strengthen competition among service provider organisations from both the public and private sector, thereby improving the quality of products.

Expected Results

- an overall strategy that explains the basic principles, tasks and issues of implementation;
- an annual capacity building programme as a sequence of measures (“*building blocks*”) for implementation;
- an operational design consisting of project implementation plans for concrete capacity building activities;
- a set of criteria for selection of service providers and products which meet regional needs;
- a monitoring scheme for measuring and recording progress of implementation.

Working Steps

1. Formulation of implementation policy/strategy
2. Annual programming and budgeting
3. Capacity building programming and project planning
4. Selection of service providers; procurement
5. Project implementation
6. Monitoring of process

Facilitation

Facilitators will have to be able to ensure consistency between planning and the implementation-related tasks of capacity building for regional governance improvement, by supporting

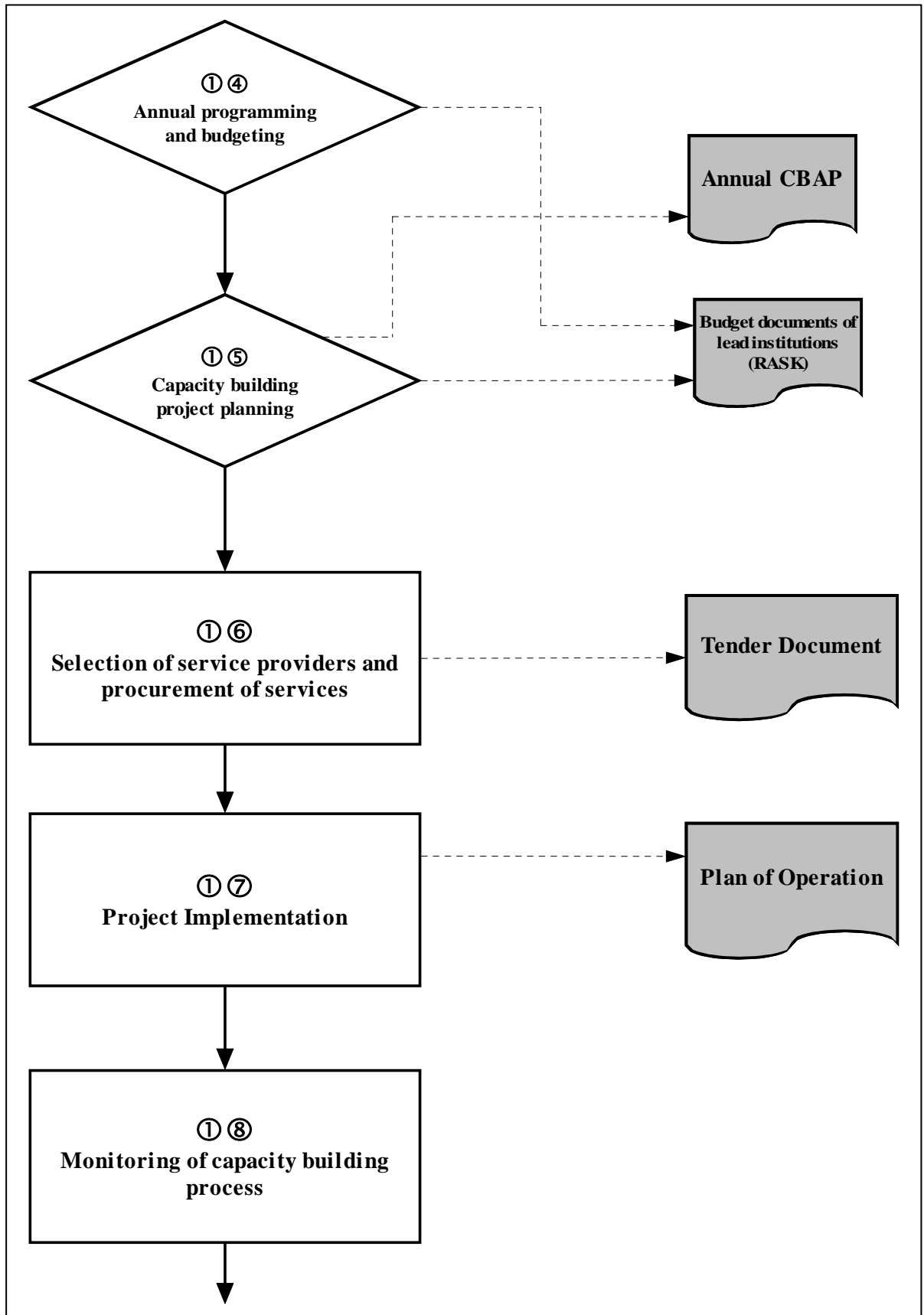
- the formulation of an implementation policy (basic principles) to be pursued during the capacity building process;
- the formulation of annual capacity building action programme(s) incl. their budget requirements; this requires to determine specific activities for each year, to calculate the total resource requirements for all activities in each year, and to formulate the annual capacity building budget;
- the allocation of financial resources for implementation of planned activities;
- the identification of external services and products required for implementation of capacity building activities;
- the preparation of tender documents and tendering of specific services;
- the evaluation of service providers’ offers and selection of providers;
- the project planning for implementation of concrete capacity building interventions;
- the establishment of an internal monitoring scheme for measuring and recording the progress of implementation.

Methods

The following methods can be applied in this phase of the capacity building cycle:

- Implementation strategy formulation
- Annual capacity building action programme
- Capacity building project planning & management
- Capacity building service provider selection
- Monitoring of capacity building.

Figure B-12: Phase D and Key Documents



5.4.1 Implementation Strategy Formulation

The implementation strategy will have to consider some key issues which impact on the overall success of capacity building interventions:

- **Communicate the capacity building objectives and the envisaged change processes** to everyone who may be affected. This will decrease resistance by opponents and enhance support for the strategy. Communication measures should comprise
 - face to face briefing;
 - distribution of explanatory notes to customers;
 - public meetings;
 - newspaper advertisements;
 - publication by regional council;
 - press releases; and
 - interviews.
- **Plan the implementation carefully.** Ensure that adequate resources are allocated to complete the envisaged tasks. Involve those who are the operators of the process as well those who are the recipients of a service or product. Communicate the change tasks to all staff that will play a role in the implementation. Provide each person with a list of tasks that need to be completed. The task description should explain what needs to be performed, the deliverable, the latest time that it should be commenced, the latest time it should be completed, any tasks which it is dependant upon and tasks which depend upon it, the person accountable and the resources available to complete it.
- **Work on the culture to accept change.** As change will affect many people, one may have to work on their attitude to be receptive to the changes being implemented. The aim is to develop an understanding that the impending change is significantly better than past practices and there is a tangible benefit in accepting the change. The benefit may be a financial incentive or an improvement in service quality, in career prospects, convenience, access to services or speed of delivery. People need to be aware of the potential benefits before the change commences.
- **Establish visible improvements.** Early impacts will greatly support intended changes because they condition everyone to understand that benefits are soon to be realised.
- **Actively manage restraining forces.** Hold regular progress meetings at which progress is reviewed, and communicate with all staff involved on a regular and informal basis.
- **Report apparent improvements** to all involved, and recognise achievements. Reward champions of change.

4.5.2 Annual programming and budgeting

The annual *capacity building action programme* is a short-term document needed as a framework for the annual budget planning exercise. Since capacity building initiatives should address actual priorities of the region (without losing the medium-term perspective), the annual budgeting process allows the region to review the formulated and approved CBAP and to adjust interventions in line with emerging needs and the resources available to the region. Based on the overall strategy as defined by the capacity building action plan (goals, outcomes and results of capacity building), the annual programmes will delineate activities and specify the required inputs. The annual *capacity building action programme* should be integrated into the annual work plan (*rencana kerja pemerintah daerah* – RKPD) to be formulated by each regional government agency.

The allocation of financial resources will be a prominent aspect of annual programming to be conducted within the overall regional budget formulation mechanism and procedure. The annual capacity building action programme will use the same format as the medium-term capacity building action plan (see Table B-15).

5.4.3 Capacity building plan of operations

The operational phase of the capacity building process commences when the capacity building team starts implementing the activities in order to achieve the expected capacity results. The implementation process which comprises a huge variety of individual capacity building interventions has to be designed in sufficient detail. As frame conditions may have changed in the meantime, a verification of the strategy and/or review and update of underlying capacity problems and needs should take place during the operational planning.

The *Plan of Operations* is the detailed plan for the implementation of capacity building interventions. It is established by the technical team and will comprise

- work plans/work schedules;
- project budget/resource plans;
- personnel plans; and
- material and equipment plan/procurement plans.

The total of these plans forms the *Plan of Operations* which

- describes the major activities and the sub-activities;
- determines the time periods in which the activities and sub-activities are to be carried out;
- indicates the resources required for activities/sub-activities;
- indicates the intermediate targets (= milestones forming the basis for monitoring the project implementation) to be reached by the activities/sub-activities, and
- specifies the important assumptions which have to be secured in order for activities to be successfully implemented.

The period of reference for the plan of operations is identical with the actual annual programme. This could be further broken down into shorter periods (quarterly or even monthly) to facilitate responsive management of operations.

The work plan (or work schedule) and resource plan may be integrated into a combined work sheet which constitutes the core of the Plan of Operations. It may be advisable to transfer the work plan into a bar chart with time axes (see table B-8 for an example).

How to construct a combined Workplan and Project Budget:

Step 1: Transfer the activities from the Capacity Building Action Programme (i.e. the respective year of the Medium-term Action Plan) to the first column of the work plan, and where necessary define necessary sub-activities.

Step 2: For each activity/sub-activity:

- specify the anticipated *milestone(s)*
- assign *responsibilities* for the implementation
- determine *the beginning and the end* of the implementation of each activity/sub-activity (timing)
- specify staff requirements per activity/sub-activity (pm = person month)
- specify the quantity of *material and equipment* needed per activity/sub-activity
- specify *costs* for every activity/sub-activity
- specify important *assumptions and their indicators*

Step 3: Final check of the draft plan with focus on:

- consistency of cost with overall allocation/availability of financial resources;
- workload of assigned/responsible personnel;
- consistency of the timing.

5.4.4 Selection of Capacity building service provider

Identifying and assessing suitable service providers is a major task of programme management to satisfy the emerging capacity building needs in a timely, effective and cost-efficient manner. This task in the future will be facilitated by the National Resource Centre to be established within the scope of the ADB-sponsored Sustainable Capacity Building for Decentralization (SCBD) Project. It is planned that this resource centre will provide certification of standardized capacity building products, and ensure that the quality of providers and services is consistent with regional capacity building needs. It can be assumed that over time a market mechanism will emerge that links capable service providers with the demand articulated by the regional level. In order to assume an adequate role in this capacity building market, regions themselves will have to be capable to specify what they need and to assess whatever offers for provision of required services they may obtain.

The following table B-17 provides a check-list for formulating capacity building service requests to be launched by regions:

Table B-17: Request for Capacity Building Services (Worksheet)

Contents	Application
1. Capacity Building Need and Related Objective	<i>Describe the assessed need and the capacity building objective to which the service should respond</i>
2. Expected Results and Impacts	<i>Define the expected results and the long-term impact of capacity building</i>
3. Suggested Methodology and Detailed Description of Activities	<i>Mention the methodology to be adopted by the service provider, and list activities required</i>
4. Timeframe for Implementation	<i>Specify the date for delivery of the capacity building service</i>
5. Provider's human resource base, skills and competencies	<i>Describe which competencies are being sought</i>
6. Costs (specify according to honorarium, equipment, organisation, other costs)	<i>Provide an indication of the cost margins of services tendered/ requested</i>
7. Provider's experience and references	<i>Request reliable sources of reference</i>
8. Appendices (e.g. sample of training course outline, consultancy methods, etc.)	<i>Mention any additional information that would enable you to assess the offer</i>

Regions should keep in mind that Presidential Decree No. 80/2003 determines procedures of public sector procurement in Indonesia in order to ensure transparency and fairness of procurement. These procedures do also apply for procurement in the context of capacity building.

5.4.5 Monitoring of capacity building

Monitoring should directly relate to capacity outputs defined in the capacity building action planning document and aim at controlling and assessing the pace of implementation. It is a continuous management task and should form part of an overall management information system to be elaborated in the plan document. Monitoring deals with the comparison of planned activities against actually completed ones, based on time schedules, financial disbursements, personnel dispositions, other inputs and resources. Delays have to be analysed regarding their impact on other activities, and changes and improvements to the overall capacity building implementation process shall be proposed.

The establishment of a monitoring system procedure comprises the following working steps:

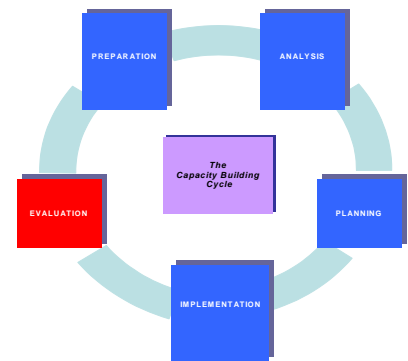
- Identify what needs to be monitored based on the planning documents produced to launch the regional capacity building process.
- Determine the users of information, i.e. who will need what kind of information on the programme implementation process when and in which detail.

- Determine the information needs of the users in order to concentrate on collecting such information which is needed for guiding the process and taking related decisions on the course of implementation
- Determine the source of information, i.e. where the data can be collected.
- Specify the method of data collection and analysis; e.g. through ongoing data gathering, or ad hoc surveying.
- Define who will do what, when and where, by which means, i.e. an operational plan for monitoring activities.
- Determine the overall organisation of the monitoring system, such as data storage, use, access rules etc.
- Establish how findings and recommendations will be communicated, e.g. reporting formats, regular meetings etc.

5.5 Phase E: EVALUATION & RE-PLANNING

Introduction

The final phase of the capacity building process deals with the evaluation of outcomes and impacts obtained from capacity building at the regional level. Following the implementation of planned capacity building measures the outcomes and impacts will have to be evaluated pertaining to the product, its performance and the permanence of particular governance functions and/or standards for public service provision.



Performance indicators formulated either as part of the Capacity Building Action Plan or later will be used to assess how the organizations or individuals have improved their performance by utilising the outputs, and which permanent benefits have been achieved from the enhanced governance performance. Having defined impact indicators at the beginning of the capacity building process will make it easier to assess progress and achievements.

Based on the evaluation results, a re-planning of capacity building action plans can be undertaken if necessary. The task is to adjust the programme in view of achievements and newly emerging needs.

Objectives of Phase E

This phase of the capacity building cycle process is expected to

- measure criteria and indicators for capacity building evaluation established as part of the CBAP;
- devise and apply an evaluation scheme consisting of various methods for both participatory and external evaluation of capacity building interventions; and
- define a procedure for programme review and re-planning.

Expected Results

Phase E of the capacity building cycle is expected to achieve the following results:

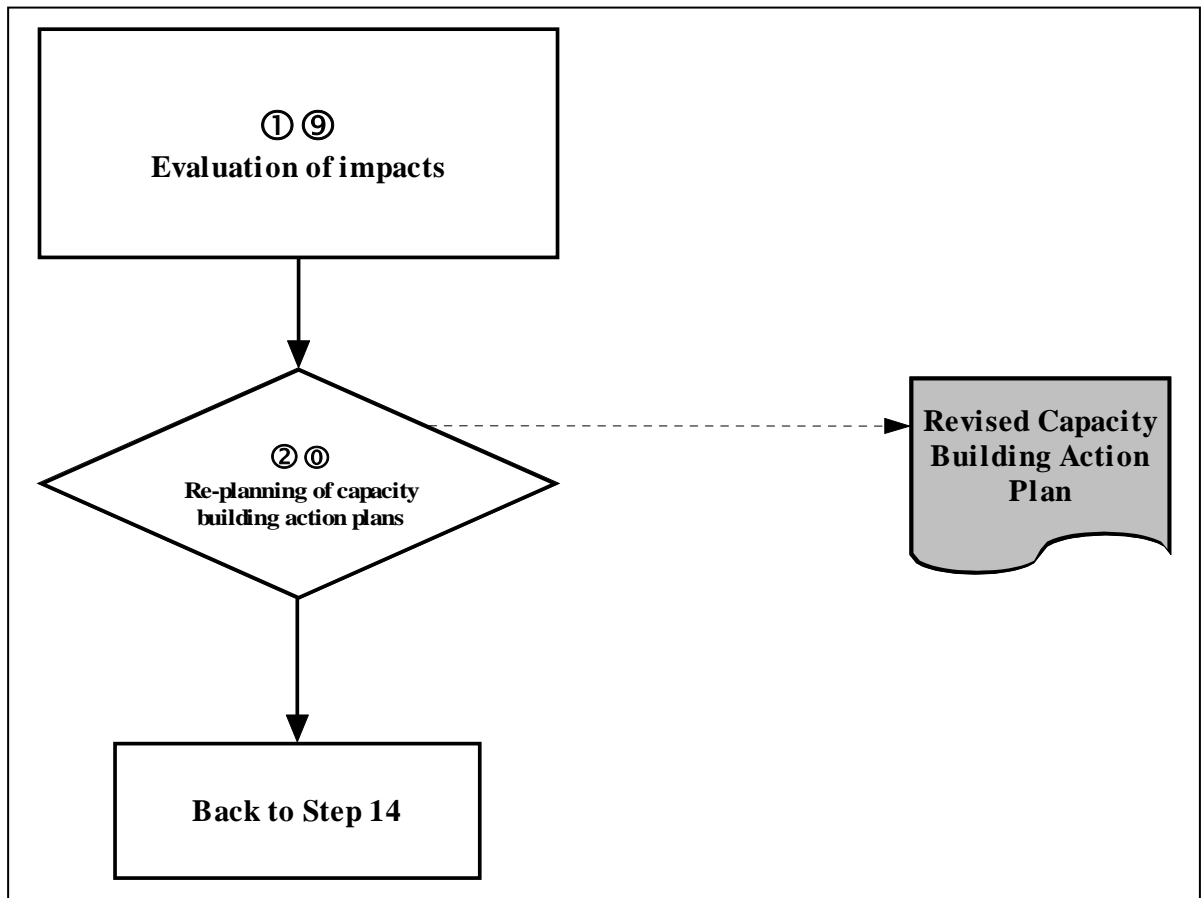
- Conduct of measures to assess the success and impacts of capacity building interventions.
- Establishment of an evaluation scheme and process for conducting evaluations.
- Formulation of a procedure for the re-planning of capacity building programmes.

Working Steps

In order to ensure that the above mentioned results can be achieved, the regional actors (like the technical team) have to conduct the following activities:

1. establish capacity building impact indicators (in case these indicators are not yet included in the CBAP);
2. evaluate capacity building achievements;
3. revise strategies and programmes in line with progress made;
4. ensure the availability of resources in subsequent budget years.

Figure B- 13: Phase E and Key Documents



Facilitation

Facilitation in this final phase should focus on the following work procedure needed to achieve the indented results:

- define capacity building indicators that reflect the products in terms of critical functions the organization is supposed to perform, its quality, i.e. the performance of functions, and the sustainability or permanence of capacity improvements;
- select evaluation methods and adjust to regional context;
- ensure that all three levels of capacity are covered by the evaluation;
- conduct the evaluation in a participatory manner involving all relevant stakeholders;
- analyse findings and prepare report(s) relevant to the particular audience;
- based on findings decide what needs to be improved, and re-plan the capacity building programme accordingly.

Methods

The following methods form the key tools for capacity building evaluation and re-planning of action programmes:

- Capacity building indicators
- Evaluation methods
- Re-planning techniques.

5.5.1 Capacity building indicators

Capacity building for regional governance aims to improve the internal management and decision-making processes of the regional government system as a means to ensure improved delivery of public services, and the participation of citizens in policy formulation and decision-making on investment priorities. Underlying capacity issues hence address a wide range of aspects that constitute a kind of normative framework for regional governance.⁸

Indicators are *performance standards* which translate the strategic objectives of the project strategy into empirically observable, quantified and concrete, i.e. „objectively verifiable“ measurements. “Objectively verifiable” means that indicators are not only subjectively measurable.

Indicators have to be tied to the underlying capacity issues identified during the analysis stage and planned for in the capacity building action plan. Each issue will consist of several potential indicators (for an example see text box B-4) from which to select the most appropriate and significant ones that are suitable for data gathering with available resources and in a participatory manner involving beneficiaries and customers of particular governance functions and services.

Indicators hence

- must *specify* the capacity building objectives;
- must focus on the *important characteristics* of an objective to be achieved;

⁸ The 10 Principles for Good Local Governance as endorsed by the National Conference on Good Regional Governance (October 2001) provide a source of reference for the establishment of a normative framework to improve local governance.

- will force planners to clarify *what is meant* by the objectives;
- will tell if an objective is *successfully* attained by the capacity building strategy or intervention;
- provide a basis for *monitoring and evaluation*.

Capacity indicators should be designed to evaluate performance at the specific intervention level. They are part of the process of capacity development itself. Their selection must be tied to a coherent process of change strategy formulation (i.e. capacity building measures).

Efforts to develop capacity need to be focused on improvements of the *critical functions* that determine the productivity or performance of the organization or system, and which, if carried out effectively, would allow the groups or organization(s) to overcome their main challenges and capacity constraints. Stakeholders must look to achieve both long term improvements but also short term tasks that may change rapidly depending on the course of events. Hence, there needs to be a convincing answer to the question ‘*capacity development to do what?*’

Text Box B-4: Types of Indicators

Indicator	a variable to measure the progress of activities or changes resulting from the activity, which assesses whether a change is in the desired direction, and whether the objective will be achieved. A good indicator reflects both quantitative and qualitative changes.
Input indicators	measure the resources provided for concrete activities.
Output indicators	measure the achievement of results.
Impact indicators	measure the accomplishment of goals and purposes. They may also take into account unintended as well as side effects.
Performance indicators	are ratios of inputs to outputs and hence are of a comparative nature.
Structural indicators	are static and represent an “end-of-status” situation.
Process indicators	are dynamic and transformation oriented and often qualitative in nature.
Direct indicators	are specific and logically linked.
Indirect indicators	are “proxies” for those that cannot be specified directly.

Text Box B-5: Regional Governance Issues and Areas of Indicators

<i>Governance Issues</i>	<i>Areas of Indicators</i>
<i>GOOD GOVERNANCE</i>	<ul style="list-style-type: none"> • greater transparency of government operations • enhanced public participation • greater accountability of government institutions, officials and elected legislators • improved budgeting and expenditure management systems • transparent systems of accounting and audit • stronger communications and public relations
<i>EFFECTIVE ORGANISATIONAL SET UP</i>	<ul style="list-style-type: none"> • organisational renewal • redeployment and rebalancing of the civil service • delegation of authority and clear-cut management structures • consolidation of common internal services • sale of non-producing government assets • increased morale through training and development
<i>EFFICIENT PROVISION OF PUBLIC SERVICES</i>	<ul style="list-style-type: none"> • move to client service and service delivery culture • business plans for all major operations • performance measurement and programme evaluation
<i>STRONG SUPPORT TO REGIONAL ECONOMIC DEVELOPMENT</i>	<ul style="list-style-type: none"> • enabling legal infrastructure and regulatory framework • integration and coordination of economic policy • promotion of internal and external trade and investment • alliances and partnerships with business organisations

The indicator format (see table B-18) puts forward a simple logic for capacity indicators that consists of three aspects:

- the *product* meaning capacities actually developed.

The issue of *product* deals with projected capacities as compared to existing ones at the start of the effort. They focus on what people and organisations need to be able to do that will, in turn, lead to some substantive developmental outcomes and impact.

- *performance* in terms of substantive outcomes.

The issue of *performance* deals with the improvements to the critical functions that determine the productivity of the organization or system.

- *permanence* in terms of the sustainability of the capacities developed.

The issue of *permanence* or sustainability has to do with deciding how best the performance of critical functions can be made sustainable. Part of the approach to

inducing greater sustainability lies on the ‘*supply*’ side of capacity development, i.e. improving the ability of organizations or systems to perform better, to provide value to citizens, beneficiaries and other partners. In particular, it must gain a legitimacy that gives it the space and the resources to maintain its existence. But the more determining issues appear to be on the ‘*demand*’ side, i.e. equipping citizens with the information, access to political power and capacity for making demands that can enable citizens to control and shape the performance of organizations that exist to serve them. In effect, this is a governance issue that lies at the heart of regional governance capacity building.

Table B-18: Framework for Capacity Indicators (Worksheet)

<i>Whose Capacity ?</i>	<i>Critical Function</i>	<i>Existing Capacity</i>	<i>Strategy for Change</i>	<i>Capacity Indicators</i>
Which organisation is the service operator? Which stakeholders are involved?	What are the processes/ products in need of capacity building? <i>(i.e. capacity to do what?)</i>	Which capacity gaps do exist?	Which change strategies (i.e. capacity building measures) shall be adopted?	Which indicators measure success in regard to the
...				<ul style="list-style-type: none"> • capacity product
...				<ul style="list-style-type: none"> • capacity performance
...				<ul style="list-style-type: none"> • permanence of capacity

Table B-19: Construction of a Capacity Indicator (Example)

Dimension	Application (Example)
Quality <i>What is to change in what way?</i>	The regional government's revenue and expenditure management plans are more transparent
Quantity <i>To what extent should it change?</i>	Published once a quarter
Time-frame <i>By when is it to change?</i>	From the beginning of the next budget year
Envisaged beneficiaries <i>Who is to experience the change?</i>	Information being provided to regional council during public sessions
Location <i>Where is the change taking place?</i>	In the region

The indicator would read:

From the beginning of the next budget year onwards (e.g. 2005) the regional government's revenue and expenditure management plans will be presented to the regional council during public sessions once a quarter.

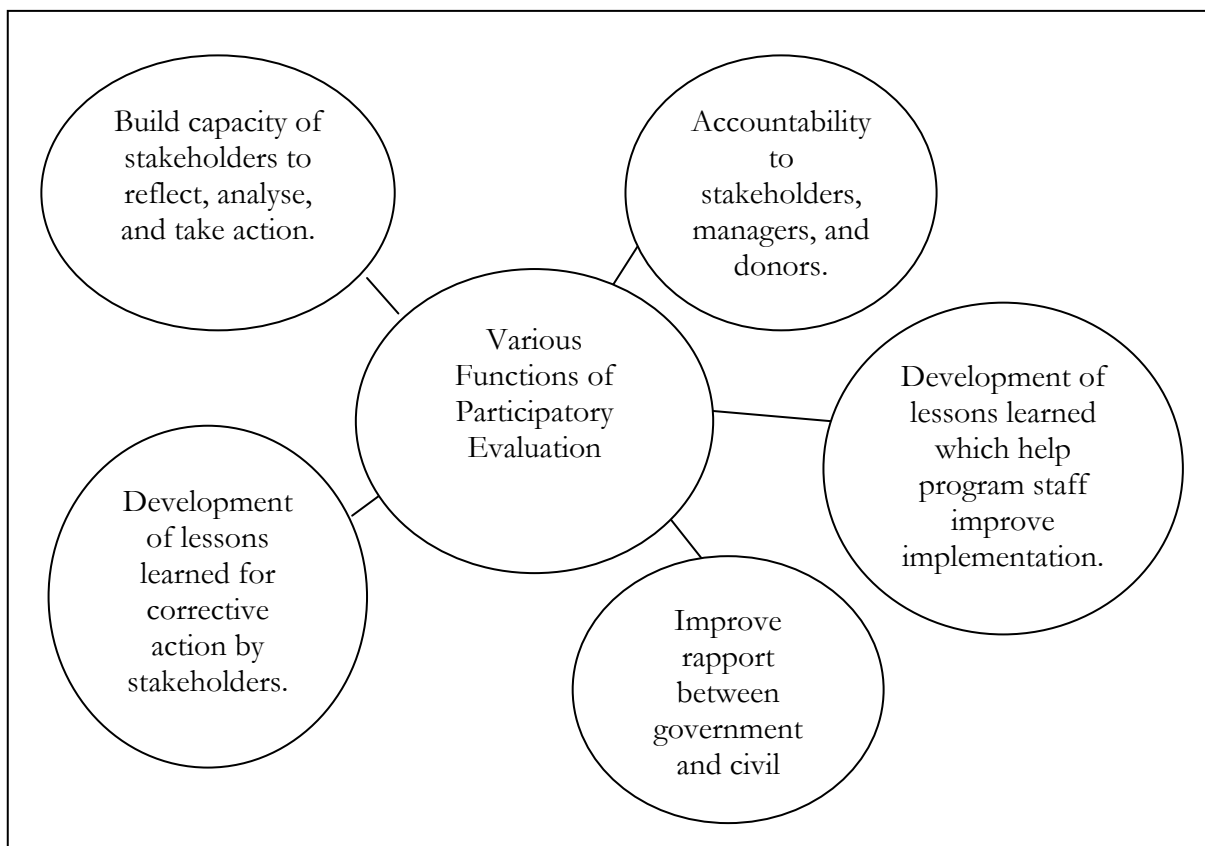
5.5.2 Evaluation methods

Evaluation systematically judges the value of changes (planned and unplanned) resulting from project outputs and outcomes based on indicators defined before. Evaluation also reveals the state of changes, the persons such changes affect, and the extent of the benefits from such changes. Evaluation helps to target project outcomes, and the extent and features of project benefits. This makes sure that not just inputs and outputs are measured but what significant changes have taken place.

Evaluation of capacity building should proceed as both on-going and terminal (ex post) evaluation in order to capture short-term improvements as well as long-term sustainability. The process is based on the indicators defined during the programming stage.

Monitoring and evaluation yield the greatest benefits when they are performed in a participatory manner. In that process, all stakeholders discuss and plan the project together from the outset, jointly setting the objectives, targets, and work processes including evaluation procedures.

Figure B-14: Functions of Participatory Evaluation



The following activities describe the process cycle for designing a participatory monitoring and evaluation program applicable to various capacity building projects, policies and processes. The technical team will have to work through the stages of a participatory monitoring and evaluation process in the context of a capacity building evaluation. The following table lists the issues to be tackled during this capacity building evaluation cycle.

Table B-20: Participatory Evaluation Process (Worksheet)

Issues	Application
Participants and collaboration	<i>Decide who participates and establish principles for working together among all stakeholders.</i>
Objectives of evaluation	<i>Define the goals to be accomplished by means of the evaluation.</i>
Indicators	<i>Develop indicators tied to the governance issues to be evaluated; observe the various dimensions of capacity indicators such as product, performance and permanence. Observe available baseline data on capacity building issues.</i>
Data gathering	<i>Gather information (quantitative and qualitative) that relates to the indicators by means of interviews, site visits, observation etc.</i>
Analysis	<i>Analyse results according to capacity dimensions.</i>
Documentation	<i>Document findings in report formats appropriate to different target groups such as regional government officials, councillors, civil society, users.</i>
Communication	<i>Share information on results with all relevant parties.</i>
Utilization	<i>Take action – use the findings for improvement of capacity building strategies and interventions and make any needed modifications.</i>

5.5.3 Re-planning techniques

A procedure for re-planning of capacity building programmes is required to adjust strategies and related activities to accomplished outcomes and to newly emerging needs based on evaluation findings. A flow chart that indicates when and in what instances re-planning of capacity building interventions will be required is a simple and effective tool to identify re-planning requirements. You need to think through options available (yes/no) and identify alternative steps to confirm the need for re-planning. An example for such a process (dealing with an organizational design task) is provided in the following diagram:

Figure B-15: Process for Organizational Restructuring⁹



⁹ Prasajo, Eko (2003) Restrukturisasi Organisasi Perangkat Pemerintah Daerah: Sebuah refleksi teoritis dan praktis terhadap PP 8/Th. 2003, in: inovasi CLGI, Edisi IV, Juli – September 2003

Appendices

Annex A

**Model example
of a PROSE assessment tool
for regional government institutions**

Participatory, Results-Oriented Self-Assessment for Administrative Institutions (PROSE-AI)

PROSE covers six major capacity areas: human resource management, financial resource management, service delivery, external relations, organisational learning, and strategic management. The assessment tool¹⁰ has been modified to reflect better the situation of regional government agencies working in the context of rather rigid civil service and budget regulations, combined with conflicting and competitive demands on resources.

I. Human Resource Management

Discussion:

- a) When was our most recent staff training?
- b) How often over the last 12 months have we held staff training events?

1	We routinely offer technical and functional staff training.	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree
		1	2	3	4	5

Discussion:

- a) For the three most recent staff training events, what evidence is there that they had a positive impact on staff capacity and performance?
- b) To what extent were the areas of improved staff capacity relevant to our human resource needs?
- c) To what degree did these training events prepare staff to respond to the strategic objectives of our institution?

2	Our staff training directly contributes to the achievement of our organisation's strategic objectives.	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree
		1	2	3	4	5

Discussion:

- a) What are the three major functions carried out by our staff (e.g. monitoring and evaluation, legal supervision, providing technical services, financial planning, reporting, communication, clerical work etc.)?
- b) To what extent does staff, as a group, have the requisite skills to carry out these functions?

¹⁰ The original version of the PROSE tool was taken from USAID (Centre for Development Information and Evaluation) (2000), Measuring Institutional Capacity (TIPS 15), Washington DC (USAID Documentation No. PN-ACG-612 (Main Report) and PN-ACG-624 (Annexes).

- c) To what extent is the number of employees carrying out the mentioned functions commensurate with work demands?
d) How is our ratio of staff and officials in functional/structural positions?

3	We have the appropriate staff <u>skills</u> to achieve our mission	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree
		1	2	3	4	5
4	We have the appropriate staff <u>number</u> to achieve our mission	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree
		1	2	3	4	5
5	We have the appropriate mix of staff, structural positions and functional positions.	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree
		1	2	3	4	5

Discussion:

- a) Over the last 12 months, to what degree had human resource management practices noted below a positive impact on staff performance?
b) Identify positive and negative examples of human resource management practices.

The following human resource management practices in our administration contribute to good performance by our staff:		Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree
6	Recruitment	1	2	3	4	5
7	Compensation (salary and benefits)	1	2	3	4	5
8	Personnel evaluation (DP3)	1	2	3	4	5
9	Promotion (professional advancement)	1	2	3	4	5
10	Staff Rotation (mutasi)	1	2	3	4	5
11	Grievance and conflict resolution policy	1	2	3	4	5

12	Staffing (allocation of tasks and responsibilities)	1	2	3	4	5
13	Supervision	1	2	3	4	5

Discussion:

- a) Identify areas/issues where existing civil service regulations (both national and regional) supported or hindered our organisation in introducing changes aiming at improving performance.
- b) Which areas need to be regulated differently in order to allow for a more effective development of our capacity and performance?

14	Existing civil service regulations (national, regional) have a positive impact on the performance of our institution.	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree
		1	2	3	4	5
15	Our organisation has sufficient discretion to take decisions related to the management of our human resources.	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree
		1	2	3	4	5

II. Financial Resource Management

Discussion:

- a) Do we have a clear understanding about the financial resources required to carry out our core tasks and functions efficiently and effectively?
- b) Is the process of formulating proposals for the annual budget (APBD) sufficiently linked to an analysis of our institution's tasks and functions?

16	Our proposals for the budget formulation process are based on a proper analysis of financial needs to carry out our core tasks and functions.	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree
		1	2	3	4	5

Discussion:

- a) What are our organisational objectives this fiscal year and to what extent are these mirrored in our current budget?
- b) Can we think of ways to make the budget formulation process relate better to the tasks and functions of our organisation?

17	The budget formulation process allows us to allocate funds in a way that closely reflects the priorities of our organisation.	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree
		1	2	3	4	5

Discussion:

- a) Do we have regular and sufficient information on projected expenditures versus actuals?
- b) How can our coordination and information sharing with Kas Daerah, Biro/Bagian Keuangan and other financial management units of the regional government be improved?

18	We regularly monitor expenditures and modify programmes if needed.	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree
		1	2	3	4	5

Discussion:

- a) What are the three most recent procurements of our institution?
- b) Did our procurement follow the legal standards and procedures for public sector procurement?

19	Our procurement practices contribute to the effective use of resources.	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree
		1	2	3	4	5
20	Our procurement practices allow for an open and fair competition between providers.	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree
		1	2	3	4	5

Discussion:

- a) Over the last 12 months, what problems, if any, did we have regarding delayed transfers of funds needed to carry out our activities?
- b) Is the cash flow constant and even over the 12-month period of the financial year?

- c) What mechanisms are in place to ensure a smooth and timely transfer of funds between the Kas Daerah and our institution?
- d) How effective are these mechanisms?

21	Regional cash management procedures lead to the timely disbursement of our funds.	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree
		1	2	3	4	5

III. Service Delivery

Discussion:

- a) What are the three main representative activities (both routine and developmental) in our current programme portfolio, and who are the stakeholders, beneficiaries, or target groups of these activities ?
- b) For the three main activities identified, what are some concrete examples of stakeholder involvement in each of the processes listed below (i.e. needs assessment, design and implementation, monitoring and impact assessment) ?

Stakeholders, beneficiaries and target groups of our main activities are engaged in:		Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree
22	Assessing needs	1	2	3	4	5
23	Designing activities	1	2	3	4	5
24	Implementing activities	1	2	3	4	5
25	Monitoring implementation	1	2	3	4	5
26	Assessing the impact of activities	1	2	3	4	5

Discussion:

- a) For the three activities identified in the preceding question, to what degree are traditionally under-represented stakeholders (e.g. rural poor, women, ethnic minorities) engaged in the mentioned tasks (like needs assessment, design and implementation, monitoring and impact assessment)?

Traditionally <i>under-represented</i> stakeholders of our main activities are engaged in:		Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree
27	Assessing needs	1	2	3	4	5
28	Designing activities	1	2	3	4	5
29	Implementing activities	1	2	3	4	5
30	Monitoring implementation	1	2	3	4	5
31	Assessing the impact of activities	1	2	3	4	5

Discussion:

- a) For the same three main activities, what impact indicators –if any- are we using to track progress toward meeting objectives?
- b) To what extent does the evidence that we have in hand (e.g. internal and external evaluations) suggest that we are achieving intended impact?

In implementing our activities (both routine and developmental)...		Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree
32	We routinely use result-based indicators to track progress in achieving objectives	1	2	3	4	5
33	We are routinely monitored through internal evaluations.	1	2	3	4	5
34	We achieve intended impact as demonstrated through internal and external evaluation.	1	2	3	4	5

Discussion:

- a) To what extent are our activities driven by existing regulations and traditional perceptions of our tasks and functions?
- b) To what extent do we know what the recipients or customers of our services really expect from us?

35	We use appropriate and effective methods and instruments to identify the needs and expectations of our main customers.	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree
		1	2	3	4	5
36	We adapt programmes and activities to meet changing needs of our customers/our constituents.	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree
		1	2	3	4	5

Discussion:

- a) Identify areas of our institution's work where we have been sharing information or comparing service delivery approaches with similar institutions elsewhere.
- b) To what extent do we use formal and informal networks to find out how other institutions working in the same field are coping with their challenges and problems?

37	We use formal and informal networks to share information with other institutions working in the same field.	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree
		1	2	3	4	5

Discussion:

- a) Over the past 12 months, what feedback on our performance have we gathered from stakeholders, constituents and/or the general public?
- b) What are some concrete examples of changes we have made on the basis of this feedback?

38	We routinely use feedback from the constituents and the general public to improve our performance.	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree
		1	2	3	4	5

IV. External Relations

Discussion:

- a) What are our main stakeholders outside the borders of our own organisation? (The term „stakeholder“ here includes for instance customers, suppliers, competitors, beneficiaries, funding agencies, and others)?
- b) Identify three main encounters/meetings with stakeholders during the last 12 month.

39	We have a clear understanding who our stakeholders are.	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree
		1	2	3	4	5
40	We routinely maintain contact with our main stakeholders	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree
		1	2	3	4	5

Discussion:

- a) Over the last 12 months, what kind of information about our work have we shared with our constituency and the general public, including the media, political parties and the DPRD?
- b) In the context of the information we present to the general public, what relative priority have we assigned to information about our *impact*?
- c) How effectively do we demonstrate the *impact* of our work to our stakeholders and the general public?

41	We routinely share information on our progress in achieving our objectives through communication with the general public.	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree
		1	2	3	4	5

Discussion:

- a) Over the past 12 months, what has been the frequency and nature of our organisational contacts with regional policy makers in the DPRD and the political parties?
- b) To what extent are these contacts part of an ongoing communication strategy?

42	We regularly engage relevant regional policy makers and institutions in dialogue related to our mission.	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree
		1	2	3	4	5

Discussion:

- a) Over the past 12 months, what specific linkages have we established or maintained with the private sector (profit/non-profit) in our community?

43	We forge innovative linkages with the private sector in our community.	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree
		1	2	3	4	5

V. Organisational Learning**Discussion:**

- a) What information has flowed between senior management staff (e.g. Kepala Dinas/Biro, Kepala Seksi/Bagian) and non-supervisory staff over the past two months? Typically, who initiated these communications?
- b) Is the prevailing flow of information top-down or bottom-up? Is information exchanged horizontally, e.g. between work units?
- c) Typically, to what extent did you perceive this information to be useful?

44	Information flows freely across units and functions.	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree
		1	2	3	4	5

Discussion:

- a) Over the past 12 months, what have been our organisational priorities? What information was available to us as we worked through these issues?
- b) To what degree was the information useful in achieving our organisational objectives?
- c) How typical are these examples of informational resources within our organisation in terms of content and timeliness?

45	Shared information is accurate.	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree
		1	2	3	4	5
46	Shared information is relevant	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree
		1	2	3	4	5
47	Shared information is timely.	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree
		1	2	3	4	5

Discussion:

- a) Over the past 12 months, what data (qualitative and quantitative) have we routinely analysed and reviewed?
- b) What are some concrete examples of how this data analysis has influenced our practice?
- c) To what extent does data analysis and review contribute to our organisational learning?

48	We routinely collect and analyse data related to organisational tasks and functions.	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree
		1	2	3	4	5
49	We adjust and modify our work procedures/ tasks based on findings generated through data collection and analysis.	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree
		1	2	3	4	5

Discussion:

- a) Over the last 12 months, what are some of the most difficult organisational challenges that we have faced?
- b) To what degree have we used teamwork to resolve these issues?

50	We use teamwork effectively to achieve our organisational objectives.	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree
		1	2	3	4	5

Discussion:

- a) Over the last 12 months, what are three examples of staff participation in planning and decision-making?
- b) In each of these examples, how influential was this participation in the overall decision-making process?

51	Staff is involved in planning and decision-making.	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree
		1	2	3	4	5

Discussion:

- a) To what degree did internal (staff) meetings over the last six months lead to progress in achieving organisational objectives?
- b) To what degree did these meetings promote organisational learning?
- c) What are some specific examples of learning that emerged from these meetings?

52	Our staff meetings contribute to organisational learning and mission achievement.	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree
		1	2	3	4	5

VI. Strategic Management

Discussion:

- Over the last 12 months, in what strategic planning activities have we engaged?
- What conclusion about our operating environment did we draw as a result of these planning activities?
- What changes did we make in our operations to reflect an enhanced understanding of the environment in which we operate?

53	Our organisation has sufficient discretion to take strategic decisions (e.g. on issues like work procedures, fields of activities etc.)	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree
		1	2	3	4	5
54	We use strategic planning to examine ourselves in relation to our external environments.	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree
		1	2	3	4	5
55	We modify our strategic objectives based on findings generated through strategic planning exercises.	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree
		1	2	3	4	5

Discussion:

- What are three important activities/initiatives that we have initiated over the last 12 months?
- To what extent do these activities/initiatives reflect our strategic and operating plans?

56	Our activities are developed and implemented in ways that are consonant with our strategic and operating plans.	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree
		1	2	3	4	5
57	We routinely track progress in achieving our strategic objectives.	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree
		1	2	3	4	5

Discussion:

- a) With respect to each of the areas listed below, what are some strategic decisions which have been taken during the last 12 months by our management, by the Kepala Daerah or by the DPRD?
- b) What has been the discernible impact of these decisions on our organisation?

Strategic decisions in the following areas have been communicated within our organisation and influence activities of staff and management:		Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree
58	Public relations	1	2	3	4	5
59	Financial supervision	1	2	3	4	5
60	Policy and Programme definition	1	2	3	4	5
61	Formulation of vision and mission	1	2	3	4	5
62	Mechanisms of service delivery	1	2	3	4	5

Discussion:

- a) Over the last 12 months, in what institutional partnerships (formal and informal) have we engaged?
- b) What concrete contributions have these partnerships made in helping us to achieve our strategic objectives?

63	We actively engage in strategic partnerships with other organisations in our community.	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree
		1	2	3	4	5

64	Our strategic objectives are achieved through partnerships with other organisations in our community.	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree
		1	2	3	4	5

Annex B

**Model example
of a OCAT assessment tool
for regional government institutions**

The Organisational Capacity Assessment Tool (OCAT) for Indonesian Regional Governments¹¹

1. Applying the OCAT Tool

Doing an organisational assessment has a number of steps:

1. Determining, together with the regional government concerned, what needs to be assessed.
2. Choosing appropriate questions to elicit the information which is required for the assessment.
3. Collecting the information by means of interviews.
4. Transcribing the interview information onto the OCAT assessment sheet.
5. Transferring the scores for each element used onto the OCAT rating sheet.
6. Calculating a score for each category and component, using the “rolling up” method.
7. Reporting the results of the assessment on the OCAT rating report.

Using the OCAT methodology, ratings can be assigned to elements of organisational capacity to give an indication of the strengths and weaknesses of a regional government organisation in each area. Although organisations have many elements in common with other organisations, each one is different. Before an OCAT assessment can be undertaken, the organisation must agree on the OCAT elements which suit what it does. These will then form the basis of the assessment of that particular organisation. Once appropriate information has been gathered by means of discussions with all the people concerned, the OCAT is introduced and an attempt is made to arrive at a general agreement on the scoring of each component and the relevant elements. The scoring of the OCAT allows the findings of an assessment to be presented in a structured and consistent way.

Once the OCAT has been scored and discussed, the findings must be shared with the entire organisation including management and staff, the relevant stakeholders and community members, regional government leadership, DPRD and others.

This baseline of assessment results makes it possible to monitor the organisation’s development. There should be continuous feedback on how the information is being used and what progress has been made in areas which need improvement.

2. OCAT interviews

The OCAT assessment sheet should not be brought into an assessment interview – OCAT is not a questionnaire. Evaluators should become thoroughly familiar with the contents of the sheet before conducting the interview. Ranking should be completed only after the interview and after the interviewer has had the opportunity to discuss the proposed rating with other assessment team members. The suggested list of questions in this section may help to stimulate the discussion needed to gather the information for the assessment.

¹¹ The following explanations on the OCAT and its application draw extensively on W. Booth, R. Ebrahim, R. Morin: Participatory Monitoring, Evaluation and Reporting. An Organisational Development Perspective for South African NGOs (PACT South Africa) 2001.

Because the objective of an OCAT interview is diagnostic, it is important that evaluators use an open-ended, informal method. The guided interview format below suggests some questions which can be used.

The evaluator's role is to listen and not to judge – the quality of the assessment is determined to a large extent by the interviewer's ability to listen with an unbiased ear and attitude. His/her role during an interview is to understand how the organisation views itself, not to make recommendations about how it could function more effectively or to debate the merits of its approach.

Unstructured informal discussions

In this type of interview, information is freely exchanged between the evaluator and the person being interviewed. There is a spontaneous generation of questions that flow from the conversation. This type of interview is responsive to individual differences and situational changes. Questions can be individualised to suit the context and the language of the interviewee. The evaluator is less likely to be perceived as an adversary since the interview will take on the air of a discussion among equals, not an interrogation by an outsider. This style may require more time to get the necessary information and it may take several conversations with different sets of persons to arrive at a comprehensive picture. The interviewer does not ask the question in the same way to each group. The amount of data is larger and more difficult to analyse as the responses from different groups may not be applicable to the same measure. In the context of regional capacity assessment, categories of persons to be interviewed could include the management and officials of the regional administration, members of the regional council (DPRD) and of political parties, members/representatives of regional community groups, regional media, individual citizens, officials of other regional governments who could give feedback (e.g. from neighbouring regions, from lower/ higher levels of government).

Guided or thematic interview

In this type of interview there is an instrument that consists of a list of topics or issues to be discussed and inquired into during the course of the interview. This technique is focused in that the evaluator gathers the same information from the different persons interviewed. This approach is more systematic than the unstructured, informal discussion.

Avoiding bias in interviews

Interview questions can be framed in a number of ways to obtain the information needed. In constructing questions, take care not to frame them in a way that suggests a response, and do not lead the person towards a certain type of answer. Using an open-ended question with no specified response provides more information about how the individual views the organisation and more options for clarifying those perceptions. Such questions permit those being interviewed to answer in their own language without restricting answers in any way. In contrast, close-ended questions tend to limit individual responses because a specific answer is required from the interviewee.

Interviewing tips

Regardless of the interview method or questioning format, interviewing involves asking questions, listening to and recording responses, and following up with additional appropriate questions. Some issues to consider in developing interviewing protocols and interviewing are as follows:

- Begin the interview with non-controversial questions.
- Start with questions that are straightforward and easy to answer.
- Follow with questions about interpretations, opinions, feelings about behaviours/action.
- Place knowledge questions in the context of programme activities and experiences – if this is not done, interviewees may feel like they are being tested.
- Ask background and demographic questions last – they can be boring.
- Have nothing with you except the materials needed for the interview.
- Establish rapport as quickly as possible with the interviewee.
- Explain your evaluation goals.
- Explain your role.
- Explain that information from the interview is confidential.
- If you want to tape the interview, ask for permission to do so.
- Think about the interview from your respondent’s point of view.
- Make interviewees feel comfortable.
- Make the interview as pleasant as possible.
- Show interest in your interviewee – you are asking for help and information, you need to know what they know.
- Do not interview when you are becoming tired, frustrated and irritated.
- Avoid getting into a debate with the person.
- Allow the person time to think, then listen carefully to what they have to say.
- Be objective.
- Do not answer for the respondent.
- Do not rush on to the next question.
- Note concerns raised by the respondent.
- Use content-neutral problems to explore issues in-depth, for example, “Tell me more about that”. Keep the purpose of the interview in mind.
- End the interview by asking if there are any other relevant and important issues that were not covered in the interview or if there is anything that they want to ask you.
- Be sure to write the date, place, time, and respondent’s identity on the first page of your interview notes. Number the pages.
- Review your notes and make sure they are legible.
- Make sure that every question that should be answered has a response.
- Do not share previously collected data with the interviewee.

3. Guided Interview: Some questions you can ask the regional government organisation

The following interview guidelines lists issues which can be raised in interviews with regional government staff and other resource persons. However, details have to be adjusted to the assessment categories and elements determined for the individual OCAT assessment tool, depending on the objectives of the assessment, the thematic areas to be covered, the implementation methodology, and the available resources.

I. Governance

Mission/goals

- Which documents define the organisation's mission or goals?
- Are goals of the organisation achievable, given the economic, social, and political environment?
- Who defines the mission and goals of the organisation?
- To what extent do the implementation plans reflect the organisation's mission and goals?
- To what extent do the people in the organisation share the same understanding of the organisation's mission or goals?
- To what extent do the people in the organisation see it serving, in major ways, purposes that are different from those stated?

Stakeholders

- What evidence is there that the organisation reflects the needs of the community that it serves?
- Does the organisation undertake periodic surveys of its community to determine if they are satisfied with activities or services?
- When - if ever - does the organisation call upon stakeholders for advice in implementing current or future activities?
- What is the relationship between the organisation and its stakeholders?

Leadership

- What person or group constitutes top management?
- What understanding does top management have of its role and responsibilities?
- Has management ever articulated the need for training in particular skills and knowledge necessary for the performance of its duties and responsibilities?
- How does top management involve staff in setting direction for the organisation and determining policies and procedures?
- How does senior management communicate with stakeholders?

II. Management practices

Organisational structure and culture

- Does the organisation have an organisational chart or documentation that describes roles, functions and responsibilities of all individuals?
- When last were the organisation's management policies reviewed/ updated?
- How is the organisation's vision similar or different from other organisations working in the same sector?
- What organisational development needs does the organisation have?

Planning

- Who in the organisation is responsible for writing short and long-term work and implementation plans?
- Who is involved in the planning of events and the making of decisions?
- Are activities planned and decisions made in alignment with the strategies that have been identified for achieving the mission of the organisation?
- How is the link between reporting, monitoring and evaluation and planning processes?

Personnel

- See Human Resources section

Programme development

- Are the management and staff familiar with major programme documents?
- How often are needs assessments conducted?
- Who is responsible for programme development? Who takes decisions on major programmes and activities?
- How flexible is the organisation in designing and modifying programmes and activities?

Administrative procedures

- Is the relevant staff familiar with the procedures for recording, filing, and intra-office communications?
- Are these procedures resulting in effective and efficient work systems?
- Are there some obviously unhelpful systems, policies or procedures?
- How often are administrative manuals reviewed and updated?

Information systems

- Who is responsible for the organisation's monitoring, evaluation and reporting activities and what is/are the skills and responsibilities of the person/s?
- How is the collection, analysis and dissemination of information organised in the organisation?
- How does the organisation use the information generated by the monitoring, evaluation and reporting system?

Programme reporting

- How does the organisation design, plan, and evaluate its programme activities?
- How does the organisation report on programme activities?

III. Human resources

Human resources development

- Is there a human resources development plan for the organisation?
- How long ago was the human resources development plan reviewed and updated?
- Have there been instances where staff members lacked sufficient skills to carry out programme implementation?
- How often is a staff member appraised?
- What are the procedures for recruiting and employing organisation employees?
- How many staff have participated in in-country or foreign skills enhancement training (technical and/or functional) over the past year?

Human resources management

- Who is responsible for documenting and reviewing job descriptions?
- Are the tasks allocated according to the skills of the staff in the organisation?
- Have there been instances of conflict or grievances between or among staff over the past few years and, if so, how were they handled?
- What policies exist for determining recruitment, salaries and benefits?
- What incentives or rewards are offered by the organisation?
- Who determines human resource management strategies of the organisation?
- Are salaries and benefits comparable with other organisations?

Work organisation

- How often are staff meetings held? How are they structured?
- Are agendas for meetings distributed to staff members in advance and are minutes for each meeting available?
- Over the past year, has the organisation organised teams of staff members for the purpose of addressing any special issues or problems?
- How does staff communicate/interact with each other?

IV. Financial resources

Budgeting/Financial management

- What system is in place to ensure that the organisation has the necessary funds to meet its needs in a timely manner?
- Are there controls in place to prevent expenditure of funds in excess of approved, budgeted amounts?
- Has the organisation taken any steps to protect itself against staff abuse of resources?
- Does the annual budget process allow the organisation to receive the funds needed to maintain the level of services?
- What is the role of staff in budget development?
- What is the relation with the financial management units of the regional government?

- Is there a longer-term business/funding/resource development plan for the needed financial resources?

Financial Reporting and Accounting

- When was the last independent audit or external financial review of the organisation and what was the outcome?
- How well is the organisation performing in terms of financial analysis/cost effectiveness?
- Are there basic procedures in place for the recording and reporting of financial information?
- Are there a policy manual or documented guidelines that cover accounting procedures, a standard chart of accounts, approval authority for financial transactions, and guidelines for controlling expenditures?
- To whom are financial reports made available (e.g. regional government leadership, DPRD, general public).
- Are there adequate requisitioning, purchasing, and stock control procedures in place?
- How often are internal and external financial audits conducted?

Diversification of income base/ Cost recovery

- What is the organisation's main funding source?
- Does the organisation have cost recovery/income generation plans?
- What percentage of programme costs is the organisation recovering from the community?
- Does the organisation have a fee-for-services cost structure?

V. Service delivery

Stakeholder involvement

- How do stakeholders of the organisation contribute to the design, implementation, management and evaluation of their projects, if at all?
- Is there a system in place to regularly assess or review priority needs and expectations of the organisation's customers/beneficiaries regarding the services the organisation is providing?

Assessment

- Does the organisation have mechanisms for integrating results of programme evaluations into its planning process and for adapting and changing programme direction and approach in response to information received?
- What types of indicators are identified to measure achievements of results and how is base line data collected?
- How does the organisation use information generated out of monitoring and evaluation activities?

- Are there systems or procedures to compare the organisation's performance with other organisations working in the same field (like benchmarking, use of performance indicators)?

Marketing and awareness building

- Does the organisation have a marketing strategy?
- How does the organisation raise awareness of its activities among its stakeholders?

VI. External relations

Stakeholder relations

- What is the state of the relationships between the organisation and its different stakeholders?
- Is the organisation situated in reasonably close proximity to the community it serves?
- How can the organisation demonstrate that the community it serves are active participants in programmes and activities?
- What, if any, relationship does the organisation have with the private sector?

Collaboration with other organisations/ networking

- How does the organisation collaborate with other organisations at the regional level?
- Does the organisation establish linkages with other organisations working in the same field (bidang)?
- Has the organisation recently developed any coalitions with other organisations?
- Is the organisation part of a regional or national network?
- Are any of the current programmes conducted in partnership with international organisations, regional or national universities, research institutes or other groups?
- How does the organisation promote collaborative efforts with other sectors of the community, both private and public?

Government collaboration

- How does the organisation participate in government planning processes and structures?
- What is the state of its relationships with relevant sections of the government?
- What is the state of its relationship with the DPRD and its respective commission? With the regional branches of the political parties?

Public relations and Media

- To what extent is the organisation well known to the general public?
- Has the organisation undertaken specific public relations activities over the past year?
- What type of information does the organisation publish and disseminate to the general public on a regular basis?

- What use does the organisation make of mass media resources to disseminate information about itself and its achievements?

4. Processing and analysing the data

Having identified the areas for organisational capacity assessment and collected the necessary information through interviews, the data must be recorded in a structured way. The OCAT assessment sheet provides a means of recording the results of an organisational assessment. The sheet is designed to be practical. It is structured around the six *components* for organisational effectiveness (A–F). Each component is then broken down into *categories* (numbered in sequence) and each category contains a series of *elements* (lettered alphabetically, a, b, c, ...). Each element has a rating box next to it. Assessment team members darken the circle of the agreed-upon rating. A rating of 0 next to an element indicates that the issue was not applicable, or insufficient information was obtained in order to provide an accurate ranking.

Using the OCAT rating sheet

The OCAT rating sheet facilitates processing the results of a single organisational capacity assessment, or tracking the results of up to four different assessments for the same regional government organisation. Once the assessment sheet has been completed, the individual element ratings are transferred to the rating sheet for calculation by the ‘rolling up’ method.

All elements under a category are added up and the average is worked out to the nearest single decimal place. If one or more elements for a particular category have not been rated, then they are not included in the calculation. This also applies to calculating the average for a component. Categories for which there is no average must not be included in calculating the rating for the component.

Calculating averages for categories and components	
For categories	Add the rating score of all elements under each category and divide by the number of elements that have actually been rated. Do not include elements that have not been rated. Write the result to one decimal place in the category box.
For components	Add the rating scores of all categories under each component and divide by the number of categories that have been rated. Do not include categories for which there is no rating. Write the result to one decimal place in the component box

‘Rolling up’ is an important part of scoring an OCAT assessment. Ratings for individual categories are derived from the elements within that category; and ratings for individual components are derived from the ratings from the categories within that component. The rolling up method has several advantages:

1. It allows the assessment team, and/or the regional government institution itself, to observe and almost immediately identify, especially at the component level, where the strengths and weaknesses in the organisation’s capacity lie. If, for example, the results of an assessment indicate that an organisation’s capacity appears to be particularly weak in the financial resources component, each category falling under this component can be examined to further pinpoint a specific area of weakness.

2. It allows individual elements to be studied further to get to the source of the weakness, so that corrective measures can be taken to improve capacity in that area.
3. It allows for a comparison of an organisation to itself over time as separate assessments are carried out.

5. Reporting

OCAT assessment results can be transformed into reports which can be used as diagnostic tools, baseline measurements, evaluation tools and educational tools, among others. Reports must be tailored to meet the information needs of the intended users. One option is to create text-based reports where, for example, the results of the OCAT are represented by scores for each element. Reports of this type provide a high level of detail, but they take longer to read and understand. Graphs can convey complex information in a way which is easy to understand, but they provide less detail. The most appropriate reporting method, or combination of methods, must be chosen for the specific group which will use the report.

6. Example of an OCAT Assessment Sheet

Indonesian Regional Government Organisational Capacity Assessment Tool	
Assessment Sheet	
Name of LG Organisation:	
Location:	
Date of Assessment:	
Conducted by:	
Rating Scale	
0	Not applicable, or sufficient information is not available
①	Needs urgent attention
②	Needs major improvement
③	Needs improvement on a wide scale
④	Needs improvement in limited aspects
⑤	Acceptable, room for some improvement
⑥	Acceptable, needs maintaining

Note:

This assessment tool has been modified from the Organisational Capacity Assessment Tool (OCAT) by W. Booth, R. Ebrahim, R. Morin: Participatory Monitoring, Evaluation and Reporting. An Organisational Development Perspective for South African NGOs (PACT South Africa) 2001.

A. Governance	
1. Mission and Goal	
a) Organisation has clearly defined mission and goal.	① ① ② ③ ④ ⑤ ⑥
b) Mission and goal are understood by staff.	① ① ② ③ ④ ⑤ ⑥
c) Strategies and work plans are aligned with mission and goal.	① ① ② ③ ④ ⑤ ⑥
d) Mission and goals are accepted by staff as feasible and achievable.	① ① ② ③ ④ ⑤ ⑥
e) Mission and goals are understood by stakeholders.	① ① ② ③ ④ ⑤ ⑥
2. Stakeholders	
a) Organisation is able to identify key stakeholders.	① ① ② ③ ④ ⑤ ⑥
b) Organisation is able to differentiate expectations from stakeholders.	① ① ② ③ ④ ⑤ ⑥
c) Stakeholder needs assessment are conducted and integrated into planning process.	① ① ② ③ ④ ⑤ ⑥
d) Stakeholders are involved in review of mission and goals.	① ① ② ③ ④ ⑤ ⑥
3. Leadership	
a) Senior management has clear understanding of its role and responsibility.	① ① ② ③ ④ ⑤ ⑥
b) Leadership style of senior management allows staff participation.	① ① ② ③ ④ ⑤ ⑥
c) Senior management is accessible to all stakeholders.	① ① ② ③ ④ ⑤ ⑥
d) Senior management communicates decisions in a transparent manner.	① ① ② ③ ④ ⑤ ⑥
B. Management Practices	
1. Organisational Structure and Culture	
a) Organisation has clearly defined lines of authority and responsibility.	① ① ② ③ ④ ⑤ ⑥
b) Systems and policies are in place to review structure regularly.	① ① ② ③ ④ ⑤ ⑥
c) There is a tangible fit between operating culture and stated mission/goals.	① ① ② ③ ④ ⑤ ⑥
d) Procedures and systems allow for appropriate involvement of staff at various levels of planning and decision-making.	① ① ② ③ ④ ⑤ ⑥
e) Organisational development needs of organisation are known.	① ① ② ③ ④ ⑤ ⑥
2. Planning	
a) Inputs from appropriate stakeholders are taken into account during planning.	① ① ② ③ ④ ⑤ ⑥
b) Implementation plans reflect a strategic plan.	① ① ② ③ ④ ⑤ ⑥
c) Implementation plans are updated.	① ① ② ③ ④ ⑤ ⑥
d) Flexibility exists to adjust plans as a result of the monitoring process.	① ① ② ③ ④ ⑤ ⑥
3. Personnel	
a) Recruitment process is clearly defined and transparent.	① ① ② ③ ④ ⑤ ⑥
b) Clearly defined job descriptions are available.	① ① ② ③ ④ ⑤ ⑥
c) Job descriptions are put into practise.	① ① ② ③ ④ ⑤ ⑥
d) Management encourages debate, cooperation among staff.	① ① ② ③ ④ ⑤ ⑥

4. Programme Development	
a) Respective stakeholders and staff are involved in programme design, implementation, monitoring and evaluation.	① ① ② ③ ④ ⑤ ⑥
b) Programme design incorporates monitoring, evaluation and reporting activities.	① ① ② ③ ④ ⑤ ⑥
c) Organisation has sufficient discretion to plan, design programmes.	① ① ② ③ ④ ⑤ ⑥
d) Findings of monitoring and evaluation influence programme design.	① ① ② ③ ④ ⑤ ⑥
5. Administrative Procedures	
a) Administrative procedures are known and being applied.	① ① ② ③ ④ ⑤ ⑥
b) Administrative procedures are being updated regularly in order to achieve effective and efficient work systems.	① ① ② ③ ④ ⑤ ⑥
c) The organisation has sufficient discretion to adjust administrative procedures to its needs and circumstances.	① ① ② ③ ④ ⑤ ⑥
6. Information Systems	
a) Appropriate systems and procedures exist to collect, store and retrieve data and information.	① ① ② ③ ④ ⑤ ⑥
b) Skilled staff is in place to manage information systems.	① ① ② ③ ④ ⑤ ⑥
c) Existing systems are being used to process, analyse, and disseminate data.	① ① ② ③ ④ ⑤ ⑥
7. Programme Reporting	
a) The organisation has the ability to produce appropriate reports.	① ① ② ③ ④ ⑤ ⑥
b) The organisation regularly prepares activity reports.	① ① ② ③ ④ ⑤ ⑥
c) The organisation regularly prepares evaluation reports.	① ① ② ③ ④ ⑤ ⑥
d) The organisation regularly publishes and disseminates information on its reporting.	① ① ② ③ ④ ⑤ ⑥
C. Human Resources	
1. Human resources development	
a) Human resources development planning is in place.	① ① ② ③ ④ ⑤ ⑥
b) Staff training is based on needs assessments, personnel planning and strategic objectives.	① ① ② ③ ④ ⑤ ⑥
c) Opportunities exist to integrate skills acquired in training into the work environment.	① ① ② ③ ④ ⑤ ⑥
d) Job appraisals are performance based.	① ① ② ③ ④ ⑤ ⑥
e) Job promotions are based on performance.	① ① ② ③ ④ ⑤ ⑥
2. Human resources management	
a) Job descriptions are documented and updated.	① ① ② ③ ④ ⑤ ⑥
b) Job descriptions are respected and applied.	① ① ② ③ ④ ⑤ ⑥
c) Clearly established links exist between staff capacity and the mission/goals of the organisation.	① ① ② ③ ④ ⑤ ⑥
d) Salaries are clearly structured and competitive.	① ① ② ③ ④ ⑤ ⑥
e) Supervision occurs on a regular basis.	① ① ② ③ ④ ⑤ ⑥

f) The organisation has sufficient discretion to determine/implement human resource management strategies.	① ② ③ ④ ⑤ ⑥
3. Work organisation	
a) Staff meetings are held regularly.	① ② ③ ④ ⑤ ⑥
b) Staff meetings provide opportunities to share experiences, ideas, suggestions across ranks and work units.	① ② ③ ④ ⑤ ⑥
c) Staff is given opportunity to provide inputs, suggestions into decision-making process.	① ② ③ ④ ⑤ ⑥
d) Team work within the organisation is encouraged.	① ② ③ ④ ⑤ ⑥
e) Information is shared freely among all staff members and across work units.	① ② ③ ④ ⑤ ⑥
f) Staff is encouraged to take initiative and be self-motivated.	① ② ③ ④ ⑤ ⑥
<i>D. Financial Resources and Management</i>	
1. Budgeting/ Financial Management	
a) The budgeting process is integrated into annual implementation plan.	① ② ③ ④ ⑤ ⑥
b) Annual financial projections are made.	① ② ③ ④ ⑤ ⑥
c) Budget implementation is controlled on an ongoing basis.	① ② ③ ④ ⑤ ⑥
d) Cooperation with key financial management units of regional government is smooth and effective.	① ② ③ ④ ⑤ ⑥
e) Budget projections are based on an assessment of needed services and activities.	① ② ③ ④ ⑤ ⑥
f) The organisation has a medium-term financial plan based on strategies and planned programmes.	① ② ③ ④ ⑤ ⑥
g) Financial decisions are taken on the basis of strategies and programmes.	① ② ③ ④ ⑤ ⑥
2. Financial Reporting and Accounting	
a) Financial procedures and reporting systems are in place.	① ② ③ ④ ⑤ ⑥
b) Financial reports are used for planning and review purposes.	① ② ③ ④ ⑤ ⑥
c) Financial reports are made available to the DPRD, general public.	① ② ③ ④ ⑤ ⑥
d) Stock control systems exist.	① ② ③ ④ ⑤ ⑥
e) Internal audits are conducted on a regular basis.	① ② ③ ④ ⑤ ⑥
f) External audits are conducted on a regular basis.	① ② ③ ④ ⑤ ⑥

4. Diversification of income base/ cost recovery	
a) The organisation is able and willing to diversify sources of revenue.	① ① ② ③ ④ ⑤ ⑥
b) Measures are being applied to recover (partly, fully) the costs of services to stakeholders.	① ① ② ③ ④ ⑤ ⑥
<i>E. Service Delivery</i>	
1. Stakeholder ownership/commitment	
a) Stakeholders have regular opportunities to contribute to programme design and programme implementation.	① ① ② ③ ④ ⑤ ⑥
b) Results from monitoring and evaluation activities are shared with relevant stakeholders.	① ① ② ③ ④ ⑤ ⑥
2. Assessment	
a) Success / performance indicators have been identified for each programme objective.	① ① ② ③ ④ ⑤ ⑥
b) Baseline and impact data are analysed regularly.	① ① ② ③ ④ ⑤ ⑥
c) Results of impact evaluation are used to make adjustments to the programmes.	① ① ② ③ ④ ⑤ ⑥
3. Marketing and awareness building	
a) Programmes and strategies are actively marketed to stakeholders, beneficiaries.	① ① ② ③ ④ ⑤ ⑥
b) Organisation educates and builds awareness/understanding among stakeholders.	① ① ② ③ ④ ⑤ ⑥
<i>F. External Relations</i>	
1. Stakeholder relations	
a) The organisation maintains intensive communication and exchange with relevant stakeholders.	① ① ② ③ ④ ⑤ ⑥
b) The organisation undertakes efforts to reach normally underrepresented stakeholders (like women, poor, ethnic minorities).	① ① ② ③ ④ ⑤ ⑥
c) Organisation and stakeholder have a common understanding of the role of the organisation.	① ① ② ③ ④ ⑤ ⑥
d) Where necessary, the organisation maintains close relationship with the private sector.	① ① ② ③ ④ ⑤ ⑥
2. Collaboration with other organisations/Networking	
a) The organisation is part of a larger network of similar organisations.	① ① ② ③ ④ ⑤ ⑥
b) The organisation has extensive links and relations to other (governmental and non-governmental) organisations.	① ① ② ③ ④ ⑤ ⑥
c) Exchange with other organisations and participation in networks helps the organisation to review programmes and improve systems and procedures.	① ① ② ③ ④ ⑤ ⑥
d) The organisation uses networks and the collaboration with others to influence policy decisions in its sphere of activities.	① ① ② ③ ④ ⑤ ⑥

3. Interagency collaboration	
a) The organisation cooperates regularly with other regional government agencies related to its tasks and functions.	① ① ② ③ ④ ⑤ ⑥
b) The organisation succeeds in providing policy inputs to key regional government units like BAPPEDA and Sekretariat Daerah.	① ① ② ③ ④ ⑤ ⑥
c) The organisation maintains regular and constructive relations with the DPRD and its respective commission.	① ① ② ③ ④ ⑤ ⑥
4. Public relations and Media	
a) Public relation work is conducted on a regular basis.	① ① ② ③ ④ ⑤ ⑥
b) The organisation conducts specific public relation activities when the need arises.	① ① ② ③ ④ ⑤ ⑥
c) Senior management is open for contacts with the media and uses the media to explain programmes and activities to the general public.	① ① ② ③ ④ ⑤ ⑥
d) The general public has a positive image of the organisation.	① ① ② ③ ④ ⑤ ⑥

7. Example of the corresponding Rating Sheet

Regional Government Organisational Capacity Assessment Rating Sheet	
Name of regional government organisation:	
Location	
Date of Assessment:	Conducted by:

	Assessment result
A. Governance	
1. Mission and Goal	
a) Organisation has clearly defined mission and goal.	
b) Mission and goal are understood by staff.	
c) Strategies and work plans are aligned with mission and goal.	
d) Mission and goals are accepted by staff as feasible and achievable.	
e) Mission and goals are understood by stakeholders.	
2. Stakeholders	
a) Organisation is able to identify key stakeholders.	
b) Organisation is able to differentiate expectations from stakeholders.	
c) Stakeholder needs assessment are conducted and integrated into planning process.	
d) Stakeholders are involved in review of mission and goals.	
3. Leadership	
a) Senior management has clear understanding of its role and responsibility.	
b) Leadership style of senior management allows staff participation.	
c) Senior management is accessible to all stakeholders.	
d) Senior management communicates decisions in a transparent manner.	
B. Management Practices	
1. Organisational Structure and Culture	
a) Organisation has clearly defined lines of authority and responsibility.	
b) Systems and policies are in place to review structure regularly.	
c) There is a tangible fit between operating culture and stated mission/goals.	
d) Procedures and systems allow for appropriate involvement of staff at various levels of planning and decision-making.	
e) Organisational development needs of organisation are known.	
2. Planning	
a) Inputs from appropriate stakeholders are taken into account during	

planning.	
b) Implementation plans reflect a strategic plan.	
c) Implementation plans are updated.	
d) Flexibility exists to adjust plans as a result of the monitoring process.	
3. Personnel	
a) Recruitment process is clearly defined and transparent.	
b) Clearly defined job descriptions are available.	
c) Job descriptions are put into practise.	
d) Management encourages debate, cooperation among staff.	
4. Programme Development	
a) Respective stakeholders and staff are involved in programme design, implementation, monitoring and evaluation.	
b) Programme design incorporates monitoring, evaluation and reporting activities.	
c) Organisation has sufficient discretion to plan, design programmes.	
d) Findings of monitoring and evaluation influence programme design.	
5. Administrative Procedures	
a) Administrative procedures are known and being applied.	
b) Administrative procedures are being updated regularly in order to achieve effective and efficient work systems.	
c) The organisation has sufficient discretion to adjust administrative procedures to its needs and circumstances.	
6. Information Systems	
a) Appropriate systems and procedures exist to collect, store and retrieve data and information.	
b) Skilled staff is in place to manage information systems.	
c) Existing systems are being used to process, analyse, and disseminate data.	
7. Programme Reporting	
a) The organisation has the ability to produce appropriate reports.	
b) The organisation regularly prepares activity reports.	
c) The organisation regularly prepares evaluation reports.	
d) The organisation regularly publishes and disseminates information on its reporting.	
C. Human Resources	
1. Human resources development	
a) Human resources development planning is in place.	
b) Staff training is based on needs assessments, personnel planning and strategic objectives.	
c) Opportunities exist to integrate skills acquired in training into the work environment.	

d) Job appraisals are performance based.	
e) Job promotions are based on performance.	
2. Human resources management	
a) Job descriptions are documented and updated.	
b) Job descriptions are respected and applied.	
c) Clearly established links exist between staff capacity and the mission/goals of the organisation.	
d) Salaries are clearly structured and competitive.	
e) Supervision occurs on a regular basis.	
f) The organisation has sufficient discretion to determine/implement human resource management strategies.	
3. Work organisation	
a) Staff meetings are held regularly.	
b) Staff meetings provide opportunities to share experiences, ideas, suggestions across ranks and work units.	
c) Staff is given opportunity to provide inputs, suggestions into decision-making process.	
d) Team work within the organisation is encouraged.	
e) Information is shared freely among all staff members and across work units.	
f) Staff is encouraged to take initiative and be self-motivated.	
<i>D. Financial Resources and Management</i>	
1. Budgeting/ Financial Management	
a) The budgeting process is integrated into annual implementation plan.	
b) Annual financial projections are made.	
c) Budget implementation is controlled on an ongoing basis.	
d) Cooperation with key financial management units of regional government is smooth and effective.	
e) Budget projections are based on an assessment of needed services and activities.	
f) The organisation has a medium-term financial plan based on strategies and planned programmes.	
g) Financial decisions are taken on the basis of strategies and programmes.	
2. Financial Reporting and Accounting	
a) Financial procedures and reporting systems are in place.	
b) Financial reports are used for planning and review purposes.	
c) Financial reports are made available to the DPRD, general public.	
d) Stock control systems exist.	
e) Internal audits are conducted on a regular basis.	
f) External audits are conducted on a regular basis.	

4. Diversification of income base/ cost recovery	
a) The organisation is able and willing to diversify sources of revenue.	
b) Measures are being applied to recover (partly, fully) the costs of services to stakeholders.	
<i>E. Service Delivery</i>	
1. Stakeholder ownership/commitment	
a) Stakeholders have regular opportunities to contribute to programme design and programme implementation.	
b) Results from monitoring and evaluation activities are shared with relevant stakeholders.	
2. Assessment	
a) Success/performance indicators have been identified for each programme objective.	
b) Baseline and impact data are analysed regularly.	
c) Results of impact evaluation are used to make adjustments to the programmes.	
3. Marketing and awareness building	
a) Programmes and strategies are actively marketed to stakeholders, beneficiaries.	
b) Organisation educates and builds awareness/understanding among stakeholders.	
<i>F. External Relations</i>	
1. Stakeholder relations	
a) The organisation maintains intensive communication and exchange with relevant stakeholders.	
b) The organisation undertakes efforts to reach normally underrepresented stakeholders (like women, poor, ethnic minorities).	
c) Organisation and stakeholder have a common understanding of the role of the organisation.	
d) Where necessary, the organisation maintains close relationship with the private sector.	
2. Collaboration with other organisations/Networking	
a) The organisation is part of a larger network of similar organisations.	
b) The organisation has extensive links and relations to other (governmental and non-governmental) organisations.	
c) Exchange with other organisations and participation in networks helps the organisation to review programmes and improve systems and procedures.	
d) The organisation uses networks and the collaboration with others to influence policy decisions in its sphere of activities.	
3. Interagency collaboration	
a) The organisation cooperates regularly with other regional government agencies related to its tasks and functions.	

b) The organisation succeeds in providing policy inputs to key regional government units like BAPPEDA and SekDa.	
c) The organisation maintains regular and constructive relations with the DPRD and its respective commission.	
4. Public relations and Media	
a) Public relation work is conducted on a regular basis.	
b) The organisation conducts specific public relation activities when the need arises.	
c) Senior management is open for contacts with the media and uses the media to explain programmes and activities to the general public.	
d) The general public has a positive image of the organisation.	

Annex C

**Pedoman
Penilaian Kemampuan Perencanaan**

Pedoman Penilaian Kemampuan Perencanaan Pembangunan Daerah

Penjelasan

Latar Belakang Pengembangan kemampuan perencanaan dan pengelolaan pembangunan daerah diperlukan karena adanya perubahan paradigma dalam pembangunan kota dan daerah. Adapun faktor-faktor yang mendorong terjadinya perubahan paradigma pembangunan kota dan daerah, antara lain:

- Perubahan lingkungan sosial, ekonomi dan politik yang semakin pesat akibat urbanisasi
- Semakin beragamnya aktor dan kekuatan-kekuatan yang perlu dilibatkan dalam pengambilan keputusan perencanaan pembangunan daerah
- Semakin besarnya peranan dan pengaruh ekonomi internasional dan perusahaan-perusahaan multinasional dalam pengembangan kota dan daerah.
- Semakin merosotnya kredibilitas dan terbatasnya kemampuan manajemen pemerintah daerah untuk mengatasi permasalahan kota dan daerah yang multi dimensional
- Tuntutan desentralisasi peranan dan tanggung jawab pembangunan dari pusat ke daerah
- Perkembangan teknologi informasi yang sangat pesat.

Di Indonesia pengembangan kemampuan perencanaan pembangunan daerah diperlukan mendesak agar pemerintah daerah mampu secara efektif mengimplementasikan desentralisasi kewenangan pembangunan daerah. Otonomi daerah telah memberikan mandat, kewenangan, peranan dan tanggung jawab yang lebih besar kepada pemerintah daerah dalam perencanaan dan pengelolaan pembangunan kota dan daerah. Otonomi daerah juga membawakan nilai-nilai baru seperti demokratisasi, partisipasi dan pemberdayaan yang menciptakan kondisi lingkungan politik, sosial dan ekonomi baru bagi perumusan kebijakan dan strategi pembangunan daerah. Otonomi daerah juga membawakan perubahan dalam sistem, prosedur dan mekanisme perencanaan pembangunan daerah. Pengembangan kemampuan perencanaan dan pengelolaan pembangunan daerah diperlukan agar pemerintah daerah mampu menghadapi realitas baru tersebut diatas.

Kenyataan menunjukkan bahwa peringkat kemampuan pemerintah daerah dalam perencanaan dan pengelolaan pembangunan daerah sangat beragam sesuai dengan kondisi, situasi dan skala besar permasalahan pembangunan daerah yang dihadapi. Oleh karena itu usaha untuk meningkatkan kemampuan (capacity building) perlu diorientasikan untuk memberdayakan pemerintah daerah untuk mampu mengorganisasikan dan merencanakan sendiri pengembangannya sesuai dengan situasi dan kondisi serta proses belajar yang diperlukan.

Tujuan dan Maksud Pedoman

Pedoman ini ditujukan untuk membantu pemerintah daerah mengorganisasikan perencanaan dan pemrograman pengembangan kemampuan perencanaan, yaitu:

- mereview status dan kondisi kemampuannya
- mengukur relatif peringkat kemampuan yang dimiliki

- mengidentifikasi bidang (areas) perencanaan yang memerlukan peningkatan kemampuan
- mengidentifikasi prioritas bidang dan komponen perencanaan yang memerlukan peningkatan kemampuan
- merencanakan pengembangan kemampuan secara bertahap sesuai situasi, kondisi dan sumber daya daerah
- menggunakan hasil penilaian untuk pengembangan kemampuan perencanaan secara berkelanjutan
- memonitor dan mengevaluasi perkembangan kemampuan dari masa ke masa
- menggunakan hasil penilaian untuk mendapatkan bantuan teknis pengembangan kemampuan.

Konsepsi Pedoman

Pengembangan konseptual Pedoman memperhatikan:

- Implementasi desentralisasi
Pengembangan konsepsi Pedoman didasarkan pada nilai-nilai yang dibawakan oleh otonomi daerah seperti pengambilan keputusan pembangunan yang demokratis dengan partisipasi masyarakat, akuntabilitas, transparansi dan peningkatan kemitraan
- Prinsip pembangunan berkelanjutan dan good governance
Pengembangan konsepsi Pedoman juga didasarkan pada prinsip-prinsip pembangunan secara berkelanjutan (sustainable development) dan good governance. Untuk menghadapi tantangan pembangunan masa mendatang, pemerintah daerah harus berkemampuan mewujudkan pembangunan berkelanjutan dalam bidang ekonomi, sosial, lingkungan hidup, akses dan transportasi, kehidupan perkotaan dan demokrasi (melalui pemberdayaan masyarakat) dan good governance di semua aspek pembangunan kota dan daerah.

Kerangka Pedoman

Pedoman ini mencakup penilaian kemampuan atas tujuh bidang perencanaan pembangunan daerah, yaitu :

Bidang A Legislasi Perencanaan

Pemahaman atas legislasi perencanaan pembangunan daerah, terutama peraturan-peraturan baru yang mempedomani implementasi otonomi daerah perlu ditingkatkan secara berkelanjutan untuk memahami prakarsa, maksud dan tujuan (goals) yang sebenarnya dari desentralisasi pembangunan daerah.

Ini meliputi pemahaman atas:

- undang-undang berkaitan otonomi daerah
- peraturan yang mengatur implementasi otonomi daerah
- undang-undang berkaitan perencanaan dan pembangunan daerah
- peraturan daerah
- pedoman, petunjuk teknis, manual dan standar perencanaan.

Bidang B Pengetahuan dan Ketrampilan Perencanaan

Pengembangan pengetahuan dan ketrampilan (skills) perencanaan secara berkelanjutan diperlukan agar pemerintah daerah senantiasa muthakhir dengan perkembangan pengetahuan dan ketrampilan terbaru. Ini diperlukan karena permasalahan pengembangan kota dan daerah yang semakin multi-dimensional dan menuntut pendekatan (paradigma) baru dalam penanganannya. Pengembangan pengetahuan dan ketrampilan meliputi:

- pengetahuan dasar
- metodologi dan proses perencanaan
- pengetahuan khusus
- ketrampilan perencanaan
- paradigma baru perencanaan.

Bidang C Organisasi dan Manajemen Perencanaan

Pengembangan kelembagaan perencanaan dan kemampuan untuk manajemen perencanaan diperlukan agar lembaga perencanaan tetap mutakhir dan dapat menyesuaikan diri dengan perkembangan permasalahan pembangunan yang dihadapi. Ini juga untuk memastikan bahwa lembaga perencanaan tetap committed untuk menyediakan jasa perencanaan yang berkualitas, responsif sesuai perkembangan kebutuhan. Ini meliputi:

- pemahaman struktur organisasi yang flexible
- visi dan misi organisasi
- kemampuan dan kegiatan organisasi
- pendidikan dan kualifikasi personalia
- proses perencanaan dan pengambilan keputusan
- kinerja organisasi
- pelatihan dan pengembangan sumber daya manusia
- ketersediaan sistem pendukung.

Bidang D Kelengkapan dan Kualitas Dokumen Perencanaan

Kelengkapan dan kualitas dokumen resmi rencana daerah harus terus ditingkatkan secara berkelanjutan agar dokumen-dokumen tersebut memenuhi fungsinya. Otonomi daerah membawa perubahan dalam sistem, prosedur, mekanisme perencanaan dan produk dokumen rencana yang belum sepenuhnya dipahami oleh pemerintah daerah. Ini meliputi:

- kelengkapan dokumen rencana
- pola dasar pembangunan daerah (Poldas)
- program pembangunan daerah (Propeda)
- rencana strategis daerah (Renstrada)
- rencana pembangunan tahunan daerah (Repetada)
- anggaran pendapatan dan belanja daerah (APBD)
- rencana pengembangan perusahaan daerah.

Bidang E Anggaran Perencanaan Daerah

Ketersediaan anggaran daerah untuk perencanaan dan pengembangan kemampuan perencanaan diperlukan untuk memastikan terdapatnya kemajuan dalam pengembangan kemampuan perencanaan pembangunan di daerah. Ini meliputi penyediaan anggaran untuk:

- penyusunan rencana di berbagai tingkatan
- pengembangan perangkat lunak (software)
- pengembangan perangkat keras (hardware).

Bidang F Kerjasama dan Partisipasi Pelaku Pembangunan

Otonomi daerah menghendaki proses perencanaan pembangunan daerah diselenggarakan secara demokratis dengan melibatkan partisipasi aktif masyarakat dalam pengambilan keputusan perencanaan. Pengembangan kemampuan pemerintah daerah untuk menjalin kemitraan dengan para pelaku pembangunan perlu terus dikembangkan. Ini meliputi:

- inventarisasi pelaku pembangunan (stakeholders)
- profil kualifikasi dan pengalaman LSM, organisasi masyarakat
- ketersediaan strategi partisipasi masyarakat
- identifikasi kebutuhan pengembangan kemampuan LSM, organisasi masyarakat
- pertukaran informasi antara pelaku pembangunan
- strategi pelembagaan dan regulasi partisipasi masyarakat
- keteraturan pertemuan, konsultasi dengan masyarakat
- keteraturan kerjasama dengan media (radio, TV, surat kabar).

Bidang G Kerjasama dengan Lembaga Perencanaan Nasional dan Internasional

Kemampuan perencanaan akan lebih dipacu apabila unit/lembaga perencanaan memiliki akses kerjasama dengan lembaga-lembaga pendidikan dan perencanaan baik di dalam dan di luar negeri. Ini meliputi kerjasama dengan:

- badan-badan perencanaan dan pembangunan internasional
- konsultan internasional
- pemerintah daerah diluar negeri (sister cities program)
- asosiasi professional
- lembaga keuangan internasional
- pertukaran informasi
- universitas diluar negeri
- universitas didalam negeri
- sektor swasta, pengembang dsb.

Proses Penilaian Kemampuan

Pedoman ini berorientasi untuk memberdayakan unit/lembaga perencanaan untuk mereview, menilai status kemampuan yang dimiliki dan mengidentifikasi sendiri pengembangan kemampuan yang diperlukan.

Adapun langkah-langkah yang diperlukan untuk melakukan penilaian:

- kepala unit organisasi/lembaga membentuk suatu Satuan Tugas Penilaian Kemampuan Perencanaan yang terdiri atas pejabat dan staf kunci organisasi
- meminta bantuan nasehat pakar perencanaan dari universitas setempat untuk memfasilitasi proses penilaian (apabila diperlukan)

- menyelenggarakan pertemuan Penilaian Kemampuan Perencanaan dengan agenda menjelaskan maksud, tujuan dan ruang lingkup penilaian
- mereview dan mengidentifikasi status kemampuan untuk masing-masing bidang
- menyepakati prioritas bidang yang perlu ditingkatkan kemampuannya
- menyusun statement of regional planning capacity
- mendokumentasikan score penilaian yang didapat dalam file organisas
- menyusun program pengembangan kemampuan perencanaan
- mengimplementasikan program pengembangan kemampuan
- memonitor dan mengevaluasi perkembangan kemampuan perencanaan dari masa ke masa.

Score Kemampuan

Pedoman ini memberikan penilaian (score) untuk masing-masing komponen atau item bidang kemampuan yang memungkinkan pemerintah daerah mengukur secara relatif pencapaian kemampuan dari masa ke masa. Satuan Tugas dapat memberikan bobot (weight) untuk masing-masing item kemampuan apabila diperlukan untuk lebih memberikan makna dan kepentingan masing-masing bidang kemampuan.

Bidang Kemampuan yang dinilai	Score
Bidang A Pemahaman Legislasi Perencanaan Pembangunan Daerah	75
Bidang B Pengetahuan dan Ketrampilan Perencanaan	275
Bidang C Organisasi dan Manajemen Perencanaan	340
Bidang D Kelengkapan dan Kualitas Dokumen Rencana Daerah	610
Bidang E Anggaran Perencanaan Daerah	60
Bidang F Kerjasama dan Partisipasi Pelaku Pembangunan	40
Bidang G Kerjasama dengan Lembaga Perencanaan Nasional /Internasional	<u>45</u>
Hasil Penilaian	1445

Persentase kemampuan dihitung dengan membandingkan score yang didapat dengan score ideal. Kategori persentase kemampuan adalah sebagai berikut:

dibawah 50%	kemampuan kurang sangat memerlukan peningkatan kemampuan
50% hingga 60%	kemampuan cukup
60% hingga 70%	kemampuan memadai
70% hingga 80%	kemampuan baik
diatas 80%	kemampuan sangat baik

Penggunaan dan Pengembangan Pedoman Dimasa Depan

Pedoman didesain sesederhana mungkin agar mudah dipahami sesuai dengan peringkat kemampuan perencanaan di daerah-daerah. Namun demikian pedoman ini dapat terus dimutakhirkan dan dikembangkan oleh unit organisasi/lembaga perencanaan di daerah sesuai dengan perkembangan permasalahan pembangunan daerah yang dihadapi. Dikemudian hari pedoman juga dapat dikembangkan untuk mencakup pengukuran kinerja (performance measurement) daripada pelayanan perencanaan yang diberikan kepada masyarakat.

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Note:

**You can download the planning self-assessment tool from
the GTZ-SfDM Website at**

http://www.gtzsfdm.or.id/cb_cap_assm.htm

Annex D

Training Needs Analysis

Note:

This document is only available in Bahasa Indonesia. See the Indonesian version of this module.