

# Implementing Capacity Building Needs Assessments (CBNA) For Regional Governments

## Observations From The East Kalimantan Pilot Exercise (2004)

**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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Contribution to the *Proyek Pendukung Pemantapan Penataan Desentralisasi (P4D)* (Support for Decentralisation Measures - SfDM)/Kerjasama Departemen Dalam Negeri Republik Indonesia - Deutsche Gesellschaft für Technische Zusammenarbeit (GTZ) GmbH (GTZ-SfDM Report 2005-8). Date: 5 April 2005.

## List of Abbreviations

ADB	Asian Development Bank
APBD	Anggaran Pendapatan dan Belanja Daerah (Regional budget)
BAPPEDA	Badan Perencanaan Pembangunan Daerah (Regional Development Planning Agency)
BAPPENAS	Badan Perencanaan Pembangunan Nasional (National Development Planning Agency)
CBAP	Capacity Building Action Plan
CBNA	Capacity Building Needs Assessment
CGI	Consultative Group on Indonesia
CIDA	Canadian International Development Agency
DPA	Development Planning Assistance (CIDA-Project in Indonesia)
DPRD	Dewan Perwakilan Rakyat Daerah (Regional Council)
GTZ	Deutsche Gesellschaft für Technische Zusammenarbeit (GTZ) GmbH (German Technical Cooperation)
SCBD	Sustainable Capacity Building for Decentralization (Programme of ADB with Ministry of Home Affairs, ADB Loan 1964-INO)
SD-CBAS	Capacity Building to Support Decentralised Administrative Systems (ADB-TA No. 3177-INO implemented in 2000/2001)
SfDM	Support for Decentralization Measures (German technical assistance project with the Ministry of Home Affairs)
USAID	United States Agency for International Development

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## Background

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In the context of Indonesia's decentralization policy, which was initiated by the parliament's approval of Law 22/1999 on Regional Governance and Law 25/1999 on Fiscal Relations between the Centre and the Regions<sup>1</sup>, the concept of "capacity building" became a major theme of Government - donor interaction: both laws envisaged a two-year preparatory period before coming into effect<sup>2</sup>, and there was widespread consensus that the regions would need substantial support to be able to carry out the new responsibilities handed over to them. Shortly after the parliament had approved the laws, the National Development Planning Agency (BAPPENAS) requested technical assistance from the German Government in order to carry out a needs assessment study as the basis for formulating capacity building strategies. The German Government tasked GTZ with formulating the conceptual framework and subsequently with implementing the needs assessment<sup>3</sup>. From the beginning, GTZ sought cooperation with other donors. In November 1999, a joint GTZ/USAID team started to implement the needs assessment. Beside the German government and USAID, other donors contributed as well: a CIDA-supported initiative<sup>4</sup> provided a database on donor activities related to decentralisation, and an ADB-funded project<sup>5</sup> worked on one of the main themes to be covered by the study team. The Final Report of the study was made public in January 2001<sup>6</sup>, and consultations between the Government and the donor community continued within the framework of the Consultative Group on Indonesia (CGI). Based on the results of the study team, the Ministry of Home Affairs initiated the formulation of a *National Framework on Capacity Building to Support Decentralisation*, which was finally endorsed by the Government in November 2002 after lengthy preparations and consultations with a wide range of stakeholders.<sup>7</sup>

From an early stage in the process it became obvious that the regional governments had difficulties understanding and conceptualising the capacity building concept and that further support would be needed to develop a practical and feasible approach for capacity building needs assessments which could be applied by the regions with or without external support. GTZ, through its "Support for Decentralization Measures Project" (SfDM) in the Ministry of Home Affairs formulated a set of three modules<sup>8</sup> expected to serve this purpose. Module development was complemented by an initiative to train a group of facilitators who were expected to provide support to regions. GTZ and the Ministry of Home Affairs agreed furthermore that GTZ would support the pilot-testing of the modules in three districts in East Kalimantan, which were

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<sup>1</sup> Undang-Undang No. 22 Tahun 1999 Tentang Pemerintahan Daerah, and Undang-undang No. 25 Tahun 1999 tentang Dana Perimbangan antara Pusat dan Daerah. In September 2004, both laws were replaced by UU 32/2004 and UU 33/2004, resp.

<sup>2</sup> Both laws were approved in May 1999, and were scheduled to come into effect as of May 2001. In late 1999, the People's Consultative Assembly moved this date forward to January 2001 to coincide with the new fiscal year. Accordingly, both laws came into effect as of 1 January 2001.

<sup>3</sup> See Terms of Reference at [http://www.gtzsfdm.or.id/documents/cap\\_bld/background/CapStudy\\_ToROctober1999.pdf](http://www.gtzsfdm.or.id/documents/cap_bld/background/CapStudy_ToROctober1999.pdf).

<sup>4</sup> Development Assistance Project (DAP), a joint CIDA-BAPPENAS technical assistance project.

<sup>5</sup> ADB-TA No. 3177-INO Capacity Building to Support Decentralised Administrative Systems (CB-SDAS), implemented by the Ministry of Home Affairs.

<sup>6</sup> Final Report: Capacity Building for Local Governance - A Framework for Government Action and Donor Support (January 2001) [Pengembangan Kapasitas Bagi Pemerintahan Daerah - Suatu Kerangka Kerja Bagi Pemerintah dan Dukungan Donor]. All reports can be downloaded at [http://www.gtzsfdm.or.id/cb\\_cbna\\_bgr.htm](http://www.gtzsfdm.or.id/cb_cbna_bgr.htm). See Rohdewold 2001 for further details.

<sup>7</sup> Kerangka Nasional Pengembangan dan Peningkatan Kapasitas dalam Rangka Mendukung Desentralisasi, Nopember 2002 (National Framework for Capacity Building to Support Decentralisation)(Inofficial translation by GTZ-SfDM). Download at [http://www.gtzsfdm.or.id/cb\\_nat\\_fr\\_work.htm](http://www.gtzsfdm.or.id/cb_nat_fr_work.htm)

<sup>8</sup> SfDM 2003, Guidelines: Capacity Building Needs Assessment (CBNA) in the Regions (Version 1.0), Modules A-C (SfDM Reports 2003-3, 2003-4 and 2003-5). Download at [http://www.gtzsfdm.or.id/cb\\_cap\\_assm.htm](http://www.gtzsfdm.or.id/cb_cap_assm.htm).

expected to become partners of German technical cooperation in the framework of a new bilateral project focusing on capacity building for local governance.<sup>9</sup> This regional needs assessment exercise was carried out during a three-month period, between January and March 2004. One of the results of the pilot exercise was a substantial modification of the 2003 modules.

**Table 1 The Capacity Building Debate in Indonesia**

May 1999	Approval of decentralisation laws
June 1999	BAPPENAS' request for supporting a capacity building needs assessment received by the German Embassy
July 1999	ToR for the needs assessment accepted by the GoI; GTZ tasked to implement the needs assessment; cooperation agreement with the PERFORM Project (USAID)
November 1999	Joint GTZ/USAID study team starts working
February 2000	First regional assessment and Interim Reports
June/July 2000	Further regional assessments
October 2000	(Draft) Final (Summary) Report of the study team and Thematic Reports; Pre-CGI Meeting on Decentralization and Capacity Building (Jakarta)
February 2001	Inter-departmental coordination meeting initiating the formulation of a national capacity building strategy
March 2001	Post-CGI Meeting on Capacity Building and Decentralisation; Commitment of ADB to support a major regional capacity building programme
October 2001	Draft „National Framework for Capacity Building to Support Decentralisation“ presented to the annual CGI Meeting in Jakarta
May 2002	Roundtable Discussion on capacity assessment approaches used in Indonesia by Government agencies, donor agencies and other organisations
November 2002	<i>National Framework</i> endorsed by the Ministry of Home Affairs and the National Development Planning Agency (BAPPENAS)
December 2002	ADB Board approves a USD 50 mill. capacity building programme for Indonesia (Sustainable Capacity Building for Decentralization – SCBD) (ADB loan 1964-INO)
May 2003	Version 1.0 of the CBNA Modules finalised
August 2003	The ADB supported SCBD project starts with an initial batch of 14 districts in several provinces (batch 2 and 3 to comprise another 30 districts in altogether ten provinces (excluding East Kalimantan) at a later stage
November 2003	Agreement with three districts in East Kalimantan to pilot-test the modules and to conduct a capacity building needs assessment
10-12 December 2003	Facilitator Training Workshop in Jakarta
January – March 2004	Implementation of capacity building needs assessment in three districts of East Kalimantan
November 2004	Ministry of Home Affairs starts review of <i>National Framework</i> and begins drafting a presidential regulation on capacity building
February 2005	Finalisation of version 2.0 of the modules (now called „Guidelines on Capacity Building in the Regions“)
May 2005 (planned)	National Roll-Out Workshop for Modules (English and Bahasa Indonesia version)

The experiences and lessons learnt from the needs assessment in East Kalimantan are at the core of this report, which is based on the facilitators' reports from the districts, the results of the debriefing session on 1 April 2004, own observations and field visits, and discussions with local officials and members of the technical teams.

<sup>9</sup> Kabupaten Kutai Barat, Kabupaten Kutai Kartanegara and Kabupaten Kutai Timur. The new project (*Capacity Building for Local Governance in East Kalimantan*) is expected to become operational in mid-2005.

This paper will

- outline the process of the needs assessment and capacity building action planning conducted in the East Kalimantan districts;
- look at the methods, tools and instruments which were used for the assessment and planning exercise;
- describe the role of GTZ as an external partner of the districts and analyse the potential of technical assistance to support capacity building<sup>10</sup>;
- draw conclusions and lessons learnt for future capacity building needs assessments and formulate recommendations for similar exercises.

This report is targeting development aid practitioners, government officials, capacity building specialists and others taking an interest in capacity building activities involving local governments. It targets mainly stakeholders in the Indonesian governance context; therefore the Bahasa Indonesia version of key documents has been maintained in the annexes. Chapter 1 describes in more detail the implementation process, while chapter 2 deals with the methodological approach, and the tools and instruments applied in the assessment. Chapter 3 looks at the results of the assessment process, and at the lessons learnt. Chapter 4 concludes with some considerations regarding the role of technical assistance in supporting capacity building and capacity building needs assessments. In the Annexes, the reader will find workshop formats, key documents and a list of reports from the East Kalimantan exercise.

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<sup>10</sup> In the recent international debate, especially in the context of development aid, the term “capacity building” has widely been replaced by “capacity development” due to the perception that already available capacities should be developed rather than built from scratch (see Lavergne 2004, Lopes/Theison 2003). We maintain here the term “capacity building”, among others because of its widespread use in the Indonesian context.

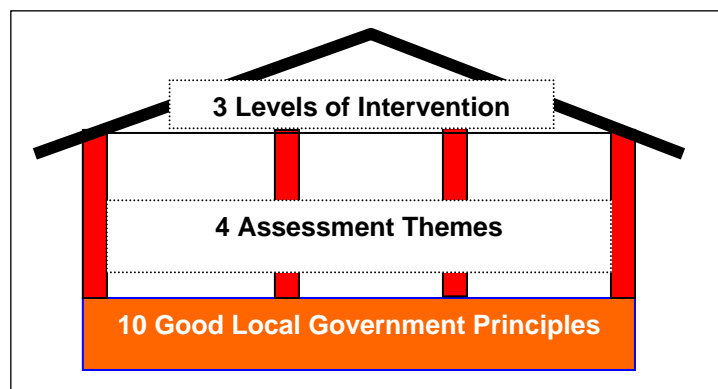
# 1. Implementing the Needs Assessment Exercise

## 1.1 Overview

During the project appraisal for a new technical assistance project focusing on local governance capacity building in East Kalimantan in August 2003, GTZ and the Ministry of Home Affairs suggested to the three districts which were to become the regional partners of German technical cooperation, to conduct a comprehensive capacity building needs assessment based on the CBNA Modules. Such a pilot-testing exercise would allow the Government and GTZ to field-test the suggested methodology for capacity building needs assessment and simultaneously generate major inputs for the planning of the new project. All three districts agreed, following a more detailed explanation of the capacity building concept, of the planned needs assessment process and of the preparations and inputs needed from each district. A tentative schedule of the needs assessment was fixed in MoUs signed between the three districts and GTZ in November 2003, outlining the distribution of tasks and functions between the two sides (see an example in Annex 1). For the districts, the main commitments were to establish a local team (the so-called *tim teknis*/technical team consisting of representatives from several local government agencies, local institutions and civil society organizations), and to provide funds for the implementation of the assessment.

In line with the envisaged technical assistance project, the needs assessment was to focus on cross-cutting local governance and management issues: good governance and public participation<sup>11</sup>, regional development planning, human resource management and institutional development of the local government, and financial management and budgeting. Sectoral issues were not part of the needs assessment. In line with the *National Framework for Capacity Building to Support Decentralisation*, the needs assessment included the local administration, the local council and civil society groups/non-governmental organisations taking an active role in the local governance process. An underlying theme of the needs assessment was good governance as defined by the six regional associations in late 2001 – Figure 1 captures this idea of a “capacity building house” with the good governance principles as the foundation, the four themes as the pillars, and the three levels of intervention (system, institutional, individual) as the roof.

**Figure 1 “House of Capacity Building”**



Source: Draft Final Report Kab. Kutai Timur (p. 14)

<sup>11</sup> This topic also included the capacity building needs of the local council (DPRD).



In November 2003, GTZ initiated the selection of potential facilitators to be deployed for the capacity building needs assessment. 24 candidates were selected jointly with the Ministry of Home Affairs, and were invited to participate in a three-day workshop in Jakarta.<sup>12</sup> The workshop aimed at presenting and discussing the capacity building concept, and at leading the participants (all of whom had previous experience in facilitating and moderating group discussions and stakeholder consultations) through the assessment process. For that purpose, the May 2003

**Table 2 Time Schedule of East Kalimantan CBNA Exercise**

November 2003	Socialisation of CBNA process to the three districts; MoU signed between the districts and GTZ
November 2003	Selection of candidates for potential facilitator by MoHA and GTZ
10 – 12 December 2003	Facilitator Workshop in Jakarta, Recruitment of eight facilitators/coordinators by GTZ
January 2004	Assignment of GTZ support teams to each district Establishment of local technical teams by Surat Keputusan Bupati Allocation of district budget funds for the assessment exercise
15 – 17 January 2004	Briefing session with GTZ facilitators and coordinators (Samarinda)
January 2004	„Exploratory Workshops“ in each district (Kutai Barat and Kutai Kartanegara: 21 January, Kutai Timur: 27 January)
28 – 30 January 2004	Joint workshop of district technical teams and their GTZ support teams in Samarinda: planning of assessment process, distribution of responsibilities, agreement on time schedule, selection of assessment methods
February/March	Implementation of needs assessments in each district based on agreements and schedules from the first Samarinda workshop
March 2004	Public consultations in two of the districts: presentation of assessment results and of suggested capacity building strategy (Kutai Barat: 19 March, Kutai Timur: 25 March)
27 March 2004	Briefing session with GTZ facilitators and coordinators
28 – 31 March 2004	Joint workshop of district technical teams and GTZ support teams in Samarinda: drafting of Capacity Building Action Plan (CBAP) for each district, based on results of needs assessments
1 April 2004	De-Briefing session with GTZ facilitators and coordinators, tentative end of field activities
April – March 2005	Process of finalising the district CBAPs
May, August and December 2004	Review and backstopping missions of GTZ-SfDM staff to East Kalimantan
26 May 2004	Presentation of assessment results and draft CBAP for Kutai Barat to main stakeholders (including DPRD and non-governmental organizations)
31 May – 3 June 2004	Meeting of Kutai Barat Technical Team with GTZ-SfDM in Jakarta to discuss and finalise report
12 May 2004	Presentation of results of assessment and draft CBAP for Kutai Kartanegara to the Steering Committee
31 July 2004	Draft Final CBAP of Kutai Barat and Kutai Timur
July – December 2004	Implementation of some elements of the draft CBAP by the respective local government agencies using the existing 2004 budget allocations (Kutai Barat, Kutai Timur)
December 2004	Draft Final CBAP of Kutai Kartanegara
Pending	In all three districts: discussion of draft action plans with the local council; formalisation; determination of medium-term expenditure framework

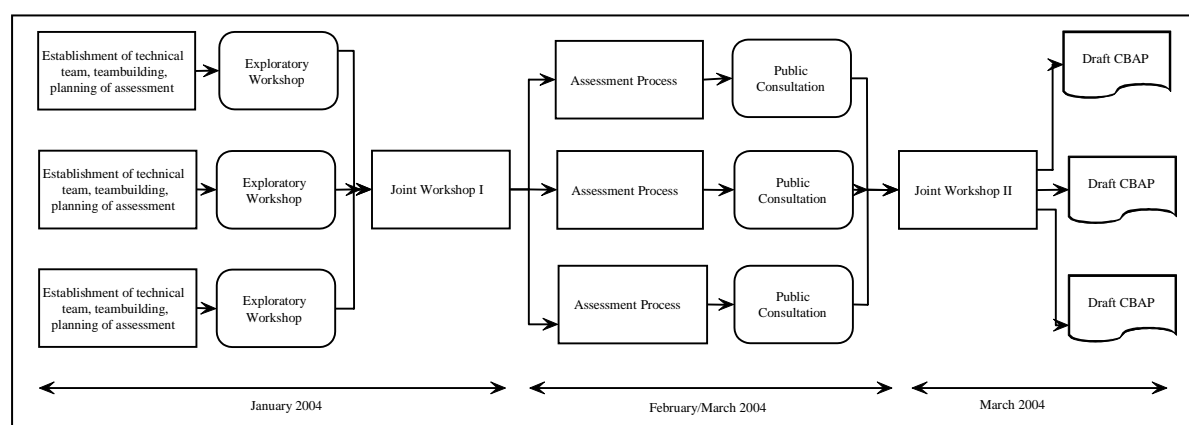
<sup>12</sup> The facilitator workshop took place from 10-12 December 2003. See Annex 2 for the workshop format.

modules had been complemented with so-called *worksheets*, which provided additional explanations and methodological hints for the prospective facilitators to enable them to steer the assessment process in the regions and build capacities among the members of the future technical teams.

Following the workshop, eight of the participants were recruited as facilitators and coordinators to support the assessment process in the three districts. In each district, the GTZ support team consisted of one resident coordinator and two facilitators. The coordinator was contracted for the full three-month period,<sup>13</sup> and was tasked to maintain continuous contact with the local government, to coordinate the assessment process, to assist in the preparation of the various assessment events, to facilitate the work of the technical team, and to coordinate the field trips of the two facilitators. The tasks of the facilitators - which had different professional backgrounds and experience - were basically identical, the main difference being the length of the assignment and the fact that the coordinator was constantly in the district. In all three districts, the facilitators and the coordinator focused on specific substance areas from among the cross-cutting capacity issues, and often the technical teams were further divided into sub-teams assigned to a specific topic. Each sub-team was accompanied and supported by one member of the GTZ support team in order to ensure transfer of knowledge and facilitation of the process.

In order to achieve harmonization of the assessment schedules in each district, and to ensure a common understanding of the concept and the methodology of the assessment, two joint workshops in the provincial capital brought together all members of the district technical teams and their GTZ support teams (see Figure 2).<sup>14</sup> The first joint workshop, at the beginning of the process, was meant to plan the assessment process in detail (including the schedule, the choice of assessment tools and instruments, selection of key respondents etc.). The second joint workshop (at the end of the assessment process) was intended to give the three technical teams the opportunity to formulate, based on the assessment results, the draft capacity building action plan (CBAP) summarising the findings of the assessment and the suggested capacity building strategy. This CBAP was then to be discussed further with the regional leadership, i.e. the top management of the local administration and the local council.

**Figure 2 Flowchart of the assessment process**



Both joint workshops of the technical teams were preceded by public events in each district. At the beginning of the assessment process, so-called “exploratory workshops” were conducted in all three districts bringing together the main stakeholders, including representatives from the local

<sup>13</sup> In one district, a resident staff member of GTZ-SfDM assumed the role as coordinator.

<sup>14</sup> The first joint workshop took place from 28-30 January 2004, the second from 28-31 March 2004. Both workshops were preceded by briefing sessions with the GTZ facilitator teams.

councils and non-governmental organisations. These “exploratory workshops” identified key capacity building issues in each district, around which the assessment process would be built. Prior to the second joint workshop, another public consultation allowed the technical teams to present their tentative findings and the suggested capacity building strategies, and to utilise the feedback and comments received for the formulation of the capacity building action plan during the second workshop in Samarinda.<sup>15</sup>

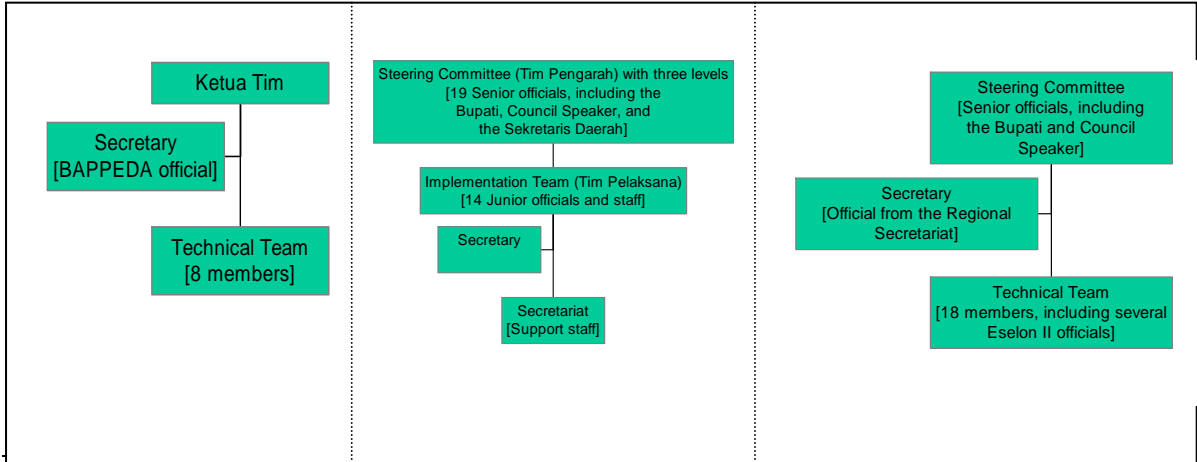
In general, the assessment process can be divided into three phases: (i) the preparatory phase in January 2004 (establishment of district technical teams, internal team building, exploratory workshop, joint planning workshop), (ii) the actual assessment phase (February – mid March 2004), and (iii) the formulation phase (including public consultations and the second joint workshop) in the second half of March 2004. The General Election in April 2004 constituted a “natural” milestone to tentatively end the assessment process.

**1.2 Role and Contributions of the Districts**

According to the agreement with GTZ, all districts established technical teams (*tim teknis*) consisting of representatives of several local government agencies which were seen as central to the capacity building process in the four cross-cutting areas (see an example in Annex 6). Usually the team included representatives from the *Sekretariat Daerah* and BAPPEDA, from the local government agencies in charge for financial management and for personnel management. In Kutai Kartanegara and Kutai Timur, the local agencies in charge of community development and village government were also represented. In Kutai Timur, a member of the local council (DPRD) became member of the *tim teknis*. All teams also included representatives from non-governmental organisations. The members of the *tim teknis* worked on a part-time basis, i.e. they continued with other duties at their normal work place.

Kutai Barat opted for a relatively compact *tim teknis* with an *eselon* II official as its head; the team reported directly to the Sekretaris Daerah. The two other districts established a more elaborated structure, which however proved to be less effective. Kutai Kartanegara e.g. had several layers of hierarchy - a steering committee (*tim pengarah*) at the top, the actual technical team (*tim pelaksana*) and a support team (*sekretariat*). Kutai Timur included several *eselon* II officials as members of the team who in reality did not have the time to participate actively.

**Figure 3 Different structures of the “technical teams”**



<sup>15</sup> Such public consultations took place in Kutai Barat (19 March) and Kutai Timur (25 March). There was no consultation in Kutai Kartanegara, where the technical team only in May 2004 had the opportunity to present findings and recommendations to the Steering Committee consisting of senior local government officials.

All three districts had formulated budget proposals for the implementation of the needs assessment. In one district however, this allocation did not materialise in the approved budget, which put a serious constraint on the effectiveness of the *tim teknis*. In another district, payments were made with considerable delay, forcing the members of the *tim teknis* to advance expenditures (especially travel-related expenditures) from their own sources. In all districts, payments like e.g. the refund of travel expenditures to team members without civil servant status proved to be difficult. In addition to the operational costs of the *tim teknis*, two districts provided office space and technical infrastructure for the *tim teknis* and the GTZ support team. All districts provided funds for meetings and workshops at the local level. There are no detailed figures available on the actual expenditures of the districts.<sup>16</sup>

### **1.3 Role and Contributions of GTZ**

For each district, GTZ provided a support team consisting of one (resident) coordinator and two facilitators. An international consultant was contracted to provide conceptual inputs to the assessment process, to develop key reporting and analytical formats, and to moderate the joint workshops of the technical teams. In addition, GTZ-SfDM team members undertook several backstopping missions to East Kalimantan. GTZ also funded the joint workshop sessions in the provincial capital. In early February 2004, GTZ supported an additional workshop with potential capacity building service providers from both government agencies and NGOs in the provincial capital in order to elicit initial perceptions and potential contributions from service suppliers. The format and methodology of the workshop is provided in Annex 5.

After April 2004, GTZ-SfDM continued to review draft reports of the districts and to provide comments and suggestions. Several backstopping missions to East Kalimantan were undertaken to review progress in the districts and follow-up on previous agreements. In order to support the finalisation of the formulation process, two of the facilitators were contracted again for short periods later in the year to provide additional support to the respective district teams.

### **1.4 The role of the national government**

The role of the national government (i.e. Ministry of Home Affairs) during the assessment process was mainly to facilitate the process. The Ministry was involved in the preparation of the Facilitator Workshop in December 2003 and in the selection of its participants. It was continuously kept informed about the progress of the needs assessment; reporting outputs were passed on as soon as they had reached a certain level of “maturity”. In May 2005, a national workshop is envisaged where exemplary results of the needs assessment and the revised modules will be presented to national, provincial and national stakeholders.

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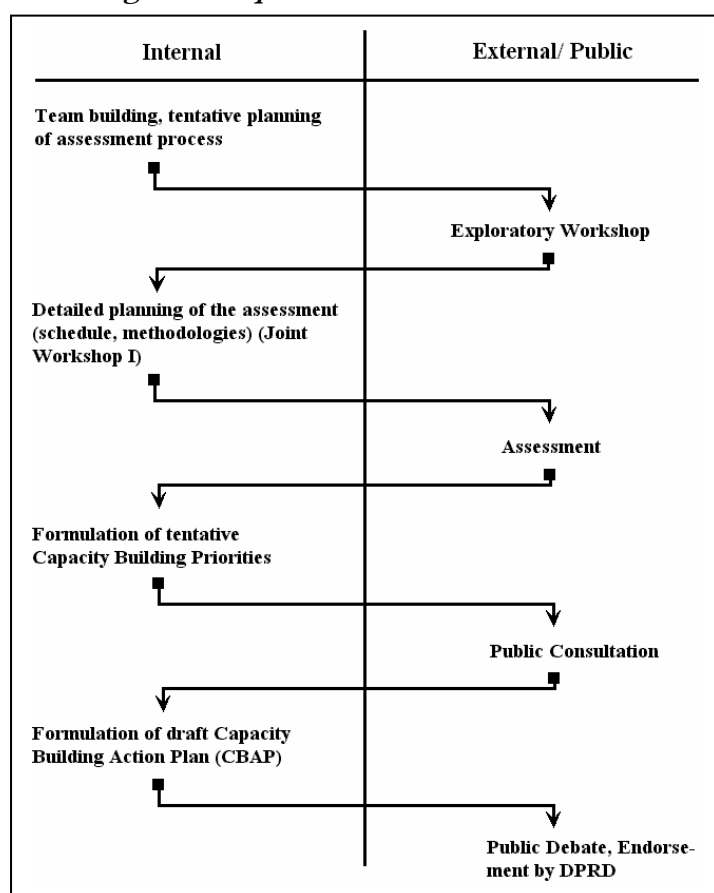
<sup>16</sup> One district is reported to have a budget allocation of IDR 200 million for the capacity building initiative.

## 2. The Assessment Process: Methods and Results

### 2.1 The assessment process

The capacity building assessment approach was based on the key principles of the *National Framework*<sup>17</sup> as it aimed at involving all stakeholders in the local governance process: the administration, the local council, and non-governmental, civil society organisations and the private sector.<sup>18</sup> In line with the widely accepted differentiation of levels of capacity (system's level, institutional level and individual level) (UNDP 1998), the assessment was to look at all three levels, and was to suggest capacity building interventions for all three levels.

**Figure 4 Implementation of CBNA**



The assessment process was designed in such a way that interaction with the public and with the “objects” of the assessment interchanged with internal discussions and formulation processes of the technical teams (see Figure 4). At the core of the assessment was the identification of capacity gaps in delivering core processes and services/products in cross-sectoral governance areas. Based on this gap analysis, adequate capacity building interventions were expected to be suggested (not yet to be designed in detail) and programmed in a systematic and logical way in line with a rough estimation of available funds. For the formulation of capacity building interventions, the logical framework approach was used, with indicators to support monitoring and evaluation of the

capacity building activities. The resulting Capacity Building Action Plan (CBAP) (*Rencana Tindakan Pengembangan Kapasitas*) was to be a medium-term plan,<sup>19</sup> the operationalisation of which would depend on its transformation into annual action plans designed in the context of the annual budget formulation process.<sup>20</sup> The CBAP is expected to become an integral part of the districts’ medium-term development plans, to be endorsed by the local councils; its elements are consequently to be included in the annual budgets of the respective local government agencies.

<sup>17</sup> See Footnote 7.

<sup>18</sup> The actual realisation of such broad involvement however differed in each case, depending on the local conditions. In general, the private (business) sector did not take a strong interest.

<sup>19</sup> Usually of a five-year duration, although for instance the Kutai Barat draft suggests to cover a six-year period (2004 – 2009).

<sup>20</sup> For a comprehensive explanation of the (updated) conceptual approach, see Modules A and B of the Guidelines for Capacity Building in the Regions (SfDM 2005a, SfDM 2005b).

In order to encourage horizontal exchange between the districts, and for ensuring a minimum of common understanding and quality control, two joint workshops (one at the beginning, one at the end of the assessment process) brought together all technical teams and the full GTZ support team (see Figure 2).

Initially, it was expected that the second joint workshop in Samarinda at the end of March 2004 would result in draft reports and capacity building actions plans for each district. This was too optimistic as the technical teams needed more time to summarise the findings from the assessment activities, to develop and discuss capacity building priorities and to develop comprehensive action plans. As of December 2004, all three districts had a draft final report which however has not yet been discussed with the new local council.<sup>21</sup> Internal delays, shifting priorities and funding problems for the technical team have repeatedly delayed the finalisation of the formulation process, although some implementation activities have already started in 2004 (see 3.1).

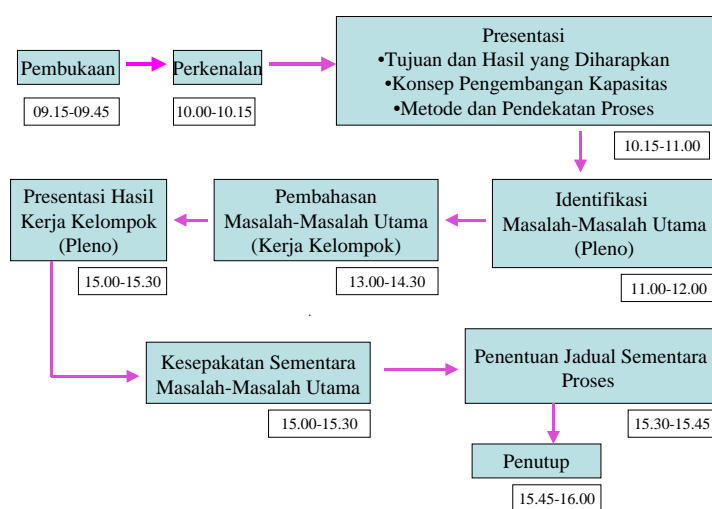
## 2.2 Assessment tools and instruments

Following the establishment of the technical teams and first internal discussions between the district team and the GTZ support team, in each district an exploratory workshop was conducted. These workshops used a mixture of methods (presentation, plenary discussion, group work) to collect inputs from a wide range of stakeholders on perceived capacity gaps and priorities for capacity building measures, and to obtain feedback on the tentative assessment plan developed by the team.

In some districts, findings from the exploratory workshop, their interpretation by the technical team and the conclusions drawn by the team (for instance regarding priority areas and issues for the capacity building needs assessment) were presented back to senior officials in order to obtain additional feedback and endorsement for the course of action suggested by the team. Based on this feedback, district teams and their facilitators then operationalised and scheduled the assessment process. The suggested methodology for the assessment included a wide range

of instruments,<sup>22</sup> several of them already quite common to the public administration in Indonesia (like Focus Group Discussions and SWOT analysis). During the first joint workshop in the provincial capital, the three technical teams and the GTZ support teams had agreed that in each

**Figure 5 Workflow of an exploratory workshop**  
Diagram Proses Lokakarya  
Pengkajian Kebutuhan Pengembangan Kapasitas dan Perencanaan Tindakan



<sup>21</sup> In line with the strategy of the National Framework, the action plans resulting from the needs assessment were meant to be discussed with the DPRD and to be approved by the DPRD. The General Election in April 2004 included the election of new regional councils; these became operational only in November/December 2004. As a result, the action plan could not yet be discussed with them.

<sup>22</sup> See CBNA Module B (SfDM 2003b).

district at least four different analysis tools should be applied in addition to standard document analysis: semi-structured interviews, focus group discussions, the Organisational Capacity Assessment Tool (OCAT), and (for the area of regional development planning) a spread-sheet based assessment tool developed by the USAID-supported PERFORM project<sup>23</sup>. In all districts, these four tools were utilised, however not evenly for all themes of the assessment, depending on the local conditions. During the debriefing with the GTZ Facilitators, the need for a greater variety of methods was expressed, as was the need to update some of them to reflect better the actual situation in Indonesia. There was also concern that a tool like OCAT should be consistent with the three levels of capacity to be assessed, i.e. the systems, institutional and individual level.

### 2.3 The Capacity Building Action Plan (CBAP)

The CBAP is considered to be the result of the capacity building needs assessment, summarising the findings and the identified capacity gaps, and suggesting capacity building interventions in a systematic and structured manner. The CBAP is a medium-term document, and has to be transformed into annual action plans in the context of the annual budget formulation process. This annual re-planning allows for more flexibility of the capacity building strategy and for taking care of newly emerging capacity building needs.

During the post-assessment period, i.e. after March 2004, a slightly different format for the CBAP was developed that summarises interventions in one matrix consisting of the main elements used in the logical framework approach: inputs (*masukan*), activities (*kegiatan*), results (*hasil*), benefits (*manfaat*) and impact (*dampak*), with indicators already formulated where appropriate. The CBAP furthermore identifies the lead institution for each capacity building intervention (see Text Box 1).

One of the reasons for altering the CBAP format after the conclusion of the assessment was that the new format is largely compatible with the new (performance-based) budget formats which became mandatory for Indonesian local governments in 2004. By providing the key information which local government agencies have to put forward in the budget formulation process, the new format makes it easier to transfer the CBAP into concrete action programmes of the respective local government agency. This approach also underlines the philosophy that capacity building is the responsibility of each local government agency, and not a centralised function of for instance BAPPEDA or the regional secretariat.

Ideally the CBAP is complemented by a medium-term expenditure framework. However, in the East Kalimantan exercise this could not be achieved until the end of the assessment process. One reason is that the calculation of such a medium-term expenditure framework would need more detailed elaboration of each capacity building intervention, thus requiring more consultations with the stakeholders concerned and more time for the *tim teknis* to develop the planned intervention in detail. These steps could not be conducted within the three-month period. Another reason is that the more junior members of the technical teams clearly felt uneasy, and perhaps were also not able to come up with realistic expenditure estimates, assuming that this would rather be the responsibility of more senior officials.

One of the major obstacles in formulating the CBAP and its constituent capacity building interventions was lack of familiarity of the technical teams with the logical framework approach, and difficulties in distinguishing the different (logical) levels of inputs, outputs, impact etc. As a result, many of the drafted reports would probably not pass a thorough review by a logframe specialist. In this respect, the CBAP shares the same problem as the implementation of the new

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<sup>23</sup> See SfDM 2003b.

budget structure. Indeed, strengthening the understanding of logframe-oriented planning and budgeting was identified as a pressing capacity building need in one of the districts. One other consequence of this shortcoming is the often insufficient quality of indicators formulated for the CBAP.



*Text Box 1 Example of a planned capacity building intervention*

<b>Tema:</b> PENGELOLAAN SUMBER DAYA MANUSIA (SDM) PEMERINTAH KABUPATEN DAN PENGEMBANGAN KELEMBAGAAN					
<b>Isu:</b> Tugas pokok dan fungsi di masing-masing dinas/instansi Pemerintah Kabupaten					
<b>Dampak:</b> 1. Tingkat produktifitas unit-unit kerja di masing-masing dinas/instansi Pemerintah Kabupaten meningkat 2. Berjalannya penyelenggaraan pemerintahan sesuai dengan fungsi dan kewenangan di masing-masing dinas/instansi  <b>Indikator:</b> 1. Tingkat layanan unit-unit kerja di masing-masing dinas/instansi Pemerintah Kabupaten meningkat			<b>Manfaat:</b> 1. Aparatur dinas/instansi Pemerintah Kabupaten dapat bekerja lebih terarah sesuai dengan tugas pokok dan fungsinya di masing-masing dinas/instansi  <b>Indikator:</b> 1. Berkurangnya keluhan karena ketidakjelasan tugas pokok dan fungsi di masing-masing dinas/instansi Pemerintah Kabupaten 2. Tidak adanya tumpang tindih tugas pokok dan fungsi antar unit-unit kerja dinas/instansi Pemerintah Kabupaten 3. Tersedianya tugas pokok dan fungsi dinas/instansi Pemerintah Kabupaten sesuai kebutuhan daerah dan mengacu kepada peraturan perundangan-undangan yang berlaku		
<b>Hasil:</b> Penataan struktur organisasi kelembagaan Pemerintah Kabupaten mengacu kepada Peraturan Pemerintah Nomor 8/Tahun 2003 sesuai dengan kebutuhan daerah <b>Indikator:</b> 1. Ditetapkannya Peraturan Daerah (Perda) tentang penataan struktur organisasi Pemerintah Kabupaten mengacu kepada PP Nomor 8/Tahun 2003 sesuai dengan kebutuhan daerah					
Kegiatan Pokok					
2004	2005	2006	2007	2008	2009
<ul style="list-style-type: none"> <li>Membentuk Tim Pengkajian Kabupaten</li> <li>Melaksanakan analisa kelembagaan Pemerintah Kabupaten mengacu PP 8/2003 sesuai kebutuhan daerah</li> <li>Menyusun draf konsep struktur organisasi yang disesuaikan dengan kebutuhan</li> <li>Menyelenggarakan lokakarya draf pe-nyesuaian</li> </ul>	<ul style="list-style-type: none"> <li>Menetapkan penyesuaian struktur organisasi yang baru dengan Peraturan Daerah (Perda)</li> <li>Menyusun petunjuk pelaksanaan, prosedur tetap dan tugas pokok dan fungsi yang jelas untuk diterapkan di masing-masing dinas/instansi</li> <li>Menerapkan struktur organisasi yang disesuaikan</li> </ul>	<ul style="list-style-type: none"> <li>Melanjutkan penerapan struktur organisasi yang disesuaikan</li> <li>Mengadakan studi banding dengan kabupaten lain di Indonesia yang telah menerapkan struktur organisasi mengacu PP 8/2003</li> <li>Mengevaluasi penerapan struktur organisasi yang</li> </ul>	<ul style="list-style-type: none"> <li>Melanjutkan penerapan struktur organisasi yang disesuaikan atas dasar evaluasi</li> </ul>	<ul style="list-style-type: none"> <li>Melanjutkan penerapan struktur organisasi yang disesuaikan</li> </ul>	<ul style="list-style-type: none"> <li>Melanjutkan penerapan struktur organisasi yang disesuaikan</li> <li>Mengevaluasi penerapan struktur organisasi yang disesuaikan</li> </ul>

<p>struktur organisasi Pemerintah Kabupaten dengan para pelaku terkait (termasuk DPRD)</p> <ul style="list-style-type: none"> <li>Mengadakan konsultasi dengan Pemerintah Provinsi, Menteri Pendaayagunaan Aparatur Negara (Menpan), dan Departemen Dalam Negeri (Depdagri)</li> </ul>		<p>disesuaikan</p>			
<b>Masukan</b>					
<ul style="list-style-type: none"> <li>Dana operasional Tim Pengkajian Kabupaten (termasuk perjalanan dinas)</li> <li>Dana penyelenggaraan lokakarya untuk membahas draf</li> <li>Fasilitator/konsultan eksternal (misalnya Biro Organisasi Depdagri, LAN)</li> </ul>	<ul style="list-style-type: none"> <li>Dana operasional tim kabupaten untuk penyusunan konsep</li> </ul>	<ul style="list-style-type: none"> <li>Dana penyelenggaraan untuk studi banding</li> <li>Dana pelaksanaan untuk evaluasi</li> <li>Fasilitator/konsultan eksternal (misalnya Biro Organisasi Depdagri, LAN)</li> </ul>			<ul style="list-style-type: none"> <li>Dana pelaksanaan untuk evaluasi</li> <li>Fasilitator/konsultan eksternal (misalnya Biro Organisasi Depdagri, LAN)</li> </ul>
<p><b>Lead Institution: Bagian Hukum dan Organisasi SetKab, Dinas Sektoral terkait</b></p>					

Source: Draft Capacity Building Action Plan Kabupaten Kutai Barat (2004)

## 3. Results and Lessons Learnt

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### 3.1 Current status of the assessment exercise

At the end 2004, all technical teams in the three districts had formulated a final draft of the Capacity Building Action Plan, which had still to be discussed with the local council. In two districts, the final drafts furthermore still needed endorsement by the executive leadership.

In two districts (Kutai Barat and Kutai Timur) positive results of the capacity building needs assessment can already be identified: in Kutai Barat the technical team continues to function, and the district has started to address some of the issues addressed in the CBAP. For instance, the district is seriously trying to improve the quality of its planning and budgeting process in the context of the performance-based 2005 budget, focusing on the formulation of the 2005 budget policy (*Arab dan Kebijakan Umum – AKU*) and the improvement of the logical frameworks of each local government agency for the 2005 budget. Again, support of GTZ (under SfdM) in providing conceptual inputs was important, but the initiative and funding came entirely from the local government. In Kutai Timur, where the finalisation of the draft CBAP and its deliberation with the local leadership (including the DPRD) is still pending, a backstopping mission in December 2004 found that some members of the technical team and their respective institutions (like BAPPEDA and the local civil service agency) had started to address several of the capacity building issues as part of ongoing activities under the 2004 budget. They confirmed that they will continue to do so in 2005 even if there is no specific capacity building action plan approved by the local government. These initiatives are in line with the underlying philosophy of the capacity building concept which tries to integrate the capacity building focus into ongoing activities (“mainstreaming”), rather than “projectise” it as a separate activity.

In all three districts, the draft CBAP could not yet be discussed with the local councils established following the General Elections of April 2004. These new councils became operational only during October/November 2004, and their first priority was the discussion and approval of the 2005 regional budget. In some cases, the budget remained unfinished business even at the end of March 2005. As the CBAP had not been discussed yet with the councils, there has been no political endorsement and no integration into regional medium-term plans. As all three districts will soon start to draft their 2006 – 2010 medium term plans (*Rencana Pembangunan Jangka Menengah Daerah – RPJMD*), the task remains for the technical teams in each district to use this opportunity to link the draft capacity building strategy with the upcoming medium-term development strategy.

### 3.2 Tentative conclusions: Constraints and Enabling Factors

***Commitment and vision of the regional leadership*** was clearly a main factor determining the process in the regions. Political support and backing by senior officials is a key factor influencing the motivation of the technical teams and their performance. While in one district the local leadership (Bupati, Sekretaris Daerah, DPRD) provided full support and political backing to the needs assessment, in the other two districts such support was forthcoming in the beginning, but rather sporadic and less systematic than needed during the implementation phase of the assessment. Individual and institutional resistance<sup>24</sup> combined with slow bureaucratic processes

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<sup>24</sup> For instance in all three districts the field of financial management was the most difficult because of lack of support from the respective agencies and their staff.

meant that the assessment could not be as comprehensive as planned, that technical teams sometimes lost motivation and orientation.

***Institutional competition*** seemed to have hampered the assessment process in some districts. Especially between the *Sekretariat Daerah* and BAPPEDA, the issue of who should be in charge of coordinating and steering such a cross-cutting activity (and control the budget for it) was apparently not without controversy. One of the lessons learnt is that a sound stakeholder analysis should be undertaken before the technical team and its working mechanisms are determined, and that efforts are needed to ensure that there is sufficient consensus among key players for the technical team to function smoothly.

The ***structure and composition of the technical team*** was another aspect impacting on the assessment process. In all cases, members of the *tim teknis* were drawn, on a part-time basis, from those government agencies most relevant for the four main topics of the needs assessment. Sometimes the members of the team included senior officials (like *Kepala Dinas*, i.e. *eselon* II level), more often however junior staff. Two districts established Steering Committees in addition to the actual technical team, to guide and supervise the assessment and the identification of capacity building priorities. While in theory such a more powerful Steering Committees can add political clout to the assessment process and its results, in practice they did not work in a very effective way, leaving the technical team in the void of where to go to. This often caused the team members to take a wait-and-see attitude, delaying the continuation of the process. In most cases the *eselon* II officials being members of the team did not take an active role. All teams had a number of “no-shows”, i.e. members who rarely or never took part in the team’s activities. Observations show that the larger the team, the more likely the chance that some members will drop out of the activities or will not participate at all. More time should be given to prepare the technical teams for their role; this would include a more in-depth introduction to the capacity building concept and the needs assessment methodology, more intense debate about work schedules and work organization, and training of team members in facilitation techniques and assessment methods.

***Involvement of the local council (DPRD)*** was an important aspect, however did not influence much the actual planning and implementation of the assessment, as DPRD members tended to take a back seat in the process.<sup>25</sup> DPRD involvement, however, will become more important after the conclusion of the assessment – namely for integrating the assessment results (like the capacity building priorities identified) into the regional work programme and – last not least – for approving budget funds.

***Local political events*** and the ***local political agenda*** clearly influenced the assessment process. For instance, the annual accountability reports of the Bupati (in early 2004, i.e. during the implementation of the assessment) required considerable time and energy from both the administration and the DPRD, sometimes delaying the implementation of the assessment activities. The General Elections in April 2004 caused some members of the local council and of the administrative leadership to focus more on their political role, meaning that they were less available for the needs assessment. In Kutai Kartanegara, the conflict about the continuation of the Bupati (whose term of office ended in November 2004) and the installation of a caretaker Bupati by the central government in December 2004 has created an atmosphere of uncertainty and conflict within the administration that will most certainly cause a further delay in finalising the CBAP until after the election of a new Bupati scheduled for June 2005. In the two other districts, Bupati elections are scheduled for early 2006, and one can assume that pre-election campaigns will have an impact on the local administration and its capacity building efforts.

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<sup>25</sup> With one exception where the DPRD representative in the technical team was one of its most active members.

**Availability of budget funds** proved important to keep the technical teams motivated and effective. Funding needs include travel funds, funds for meetings and workshops, for materials and other logistical and operational needs. Considering the prevailing working culture in the Indonesian administration, the payment of project honoraria because of membership in such a team is another important stimulus for the team members. However, even in the one district where the envisaged budget allocation for the technical team did not materialise, some of the team members maintained motivation and working spirit. Material incentives are important, but non-material factors play a role as well.

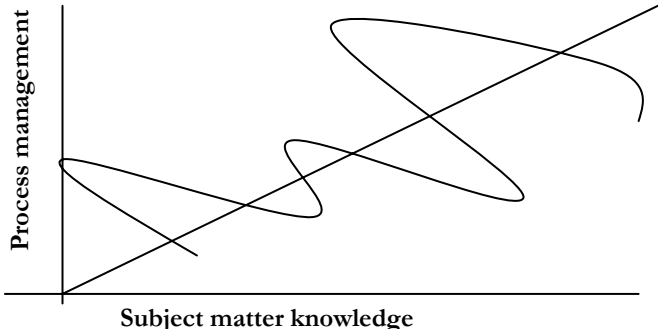
**Usefulness and practicability of assessment** tools bear on the performance of the technical teams as the team members have to understand the tools, and sometimes have to adjust them to specific local conditions. A main task of the GTZ support team was to enable the members of the technical teams to apply these assessment tools.

**Quality of Facilitation**

As none of the technical teams had been involved in similar assessment processes before, the facilitation skills and competencies of the support team provided by GTZ were crucial as well – not only in terms of the assessment process, but often also in terms of knowledge and expertise in the respective subject matter (like e.g. development planning, personnel management, or financial management). The role of the facilitator as a process manager had to be complemented with professional expertise in those subject areas where they supported the substantive assessments conducted by the technical team.

Capacity building needs assessment being a relatively new and at the same time complex task requires experienced facilitators with facilitation skills which go beyond moderation of workshops or running training courses. As the CBNA exercise was undertaken without precedent facilitators had to rely on their overall professional background and individual social and communication skills to steer a process that was full of risks such as lack of political support, lack of sufficient budgetary resources, lack of willingness among prospective respondents up to low motivation among team members recruited for an essentially experimental task. The quality of facilitation in the three districts differed widely and at times became a major constraint to process management, one of the essential tasks a facilitator him-/herself has to assume.

**Figure 6 Multiple Roles of the CBNA Facilitators**



The **three-level approach of analysis** proved effective for focusing the needs assessment and for identifying capacity gaps although empirically distinctions between different levels often became blurred, and frequent reiteration of actual analytical steps was necessary in order to fully comprehend existing interlinkages between different levels. While in some subject areas the district teams faced significant difficulties to integrate the three-level model in the use of

assessment tools and instruments, and in transferring the results of the capacity gap analysis into the formulation of concrete capacity building interventions, in other stages of the process (such as strategy planning) the conceptual model supported the stringency of the approach. It proved to be another key concern (and most challenging task) of the facilitators to ensure the consistency of the three-level approach.

### Lessons learnt

1. While the overall methodology was understood and accepted by the regions, there is a need for a greater variety of assessment methods and more specific adjustment to locally relevant circumstances in terms of critical capacity needs, political support and available capacities (skills) to conduct a CBNA process.
2. Assessment tools such as OCAT (which were borrowed from a different context) provides an effective tools for organisational (self)assessment but should be made more consistent with the multi-level concept of capacity applied in the CBNA exercise.
3. Ideally tools would have to be adjusted to the specific organisation to which they will be applied in order to capture the organisation's attention and promote active involvement. This would be a key task of the respective regional team and their supporting facilitator(s).
4. The initial time schedule of three months for such a needs assessment proved too short, not only in respect to the necessary preparations for the assessment (including team building). Realistically, conducting the needs assessment probably requires up to six months.
5. If possible, time schedules for needs assessments and the formulation and planning of an action plan should take into consideration the regional political agenda, in order to avoid delays and disruption of the assessment process.
6. The time frame for integrating the results back into the political process depends entirely on the local political conditions. Utmost care must be taken that emerging results and the suggested capacity building strategy are fed back to decision makers regularly.
7. If a Steering Committee is established to guide the assessment process, it will also require facilitation in order to function effectively.
8. The support teams (i.e. facilitators and coordinators) need a clear understanding of their tasks and responsibilities and should undergo a more intensive technical training prior to deployment to the field.
9. Role and function of the technical team will differ during the assessment process, and during the implementation period of a capacity building action plan. This could require a modification of the composition, structure, and work agenda of the team.
10. Before the technical teams and the local working arrangements are being determined by SK Bupati, a thorough stakeholder analysis should be conducted to ensure that all relevant parties are involved.
11. Sufficient information-sharing and consensus-building on the assessment exercise and the role of the technical team is required to ensure that the technical team can work smoothly and will get the cooperation of the other local government agencies.
12. While the formalisation of the CBNA process does not automatically guarantee full cooperation of all local government agencies, it nevertheless provides political and legal authority to the *tim teknis*.
13. Defining milestones in the assessment process (and subsequently also in the implementation and M&E phase of the capacity building cycle) is important to structure the activities of the *tim teknis*, and to monitor the assessment process, even if these milestones should be handled flexibly and adjusted to the emerging local situation.
14. If, as in the case of East Kalimantan, the needs assessment process is conducted parallel and simultaneously by several local governments, joint events (like joint workshops) have an important learning effect, can stimulate the process in the local governments and help to ensure a certain degree of common standards and formats which later on facilitate the comparison of findings and results between several regions.

## 4. The Role of Technical Assistance

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### 4.1 Capacity building and technical assistance

Capacity building has been at the core of technical assistance from its very beginning (GTZ 2003). In the context of Indonesia's decentralisation policy and of the support provided to this policy by the donor community, the capacity building approach has been focused on how to ensure (i) that regions are capable to fulfil their new responsibilities and deliver the public services entrusted to them, (ii) that national and regional policies are consistent with and in support of the decentralisation policy, and (iii) that national agencies are capable to support regions in line with their specific mandates. By applying the capacity building concept in the context of regional government support, technical assistance can play an important role as a catalyst for change, in opening new perspectives, and in helping to establish new networks and channels of communication and information.<sup>26</sup> While the *National Framework for Capacity Building to Support Decentralisation* has so far only to a certain extent become an operational framework for donor assistance,<sup>27</sup> it has nevertheless succeeded in focusing the attention of donors on the different capacity levels, and on better integrating direct support to the regions with support to national policies and national agencies.

Capacity building is also not new to regional governments (or the national Government) in Indonesia. However, capacity building is still mostly understood as individual capacity building, meaning training and education of civil servants, without linking this individual focus to changes at the institutional or systemic level and without putting them into the context of performance-oriented governance processes. Existing capacity building efforts are fragmented, and mostly do not follow a comprehensive strategy. The analysis of regional budgets will find that apart from often substantial allocations for training (= individual capacity building)<sup>28</sup> there are also allocations for e.g. changing and improving regional regulations, for a review of organisational structures and of working mechanisms. All these efforts are usually not linked with each other, and lack integration into the overall development strategy of the regions.

The technical assistance provided by GTZ via the *Support for Decentralization Measures* project intends, among others, to establish a supporting infrastructure which can facilitate the conduct of systematic and comprehensive capacity building needs assessments by local governments. The provision of practical guidelines on how to conduct needs assessments is one key element of such a supporting infrastructure, the other being the availability of trained and experienced facilitators who can assist regions in the conduct of a needs assessment.

### 4.2 The GTZ's role in the East Kalimantan needs assessment

GTZ provided conceptual and methodological inputs, facilitators, process support and limited training for the needs assessment process. GTZ inputs consisted of

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<sup>26</sup> One of the key components of the afore-mentioned ADB Capacity Building programme is the setting up of a national resource centre on capacity building, which for instance is expected to provide the regions with comprehensive information on existing capacity building service providers in Indonesia. See the information on the ADB website at <http://www.adb.org/Documents/Profiles/LOAN/35261013.ASP>

<sup>27</sup> See Rohdewohld 2004.

<sup>28</sup> For instance, in the last three years the Kabupaten Kutai Kartanegara had allocated between 102.000 and 177.000 USD per year for civil service training.



- an international consultant to provide conceptual inputs to the assessment process, to develop key reporting and analytical formats, and to moderate the joint workshops of the technical teams (a total of around 3 w/m);
- one coordinator for each district for a total of 3 w/m;
- two facilitators for each district for a total of around 55 work days;
- the funding of two joint workshops for the technical teams (approx. 30 participants for 3-4 days; travel and accommodation was funded by the districts);
- one workshop for potential service providers (approx. 25 participants, one day);
- backstopping by SfDM project staff, who also reviewed the draft CBAP and provided comments and feed backs to the technical teams; and
- additional support to two districts by contracting again one of the facilitators for between 5-10 days to support the finalisation of the CBAP.

Total contribution of GTZ stands at around EURO 130.000 for the overall process (including the December 2003 facilitator workshop), to which the related costs of the project staff involved in managing and backstopping the assessment process would have to be added.

Following the completion of the CBNA Modules in May 2003 as the conceptual blueprint for the assessment exercise, a further conceptual input of GTZ was the formulation of process-oriented worksheets to support the facilitators in their role as process managers. These worksheets, which formed the framework for the December 2003 facilitator workshop, centred around the five major phases of a capacity building process (preparation, analysis and planning, programming, implementation, evaluation and re-planning) and provided the facilitators with hints and tools (e.g. on team building, planning of work processes) that should support their interaction with the district technical teams. Based on the experiences and lessons learnt from the East Kalimantan exercise, these worksheets were subsequently integrated into the revised modules.<sup>29</sup> The new version of the modules (finalized in February 2005 as “version 2.0”) furthermore incorporates analytical and reporting formats developed for and during the actual assessment process. Conceptually, the modules have been expanded significantly to cover the whole capacity building cycle, i.e. the needs assessment, the planning and programming of a capacity building action plan, the implementation of this action plan and finally its monitoring and evaluation. For each phase in this cycle, the modules describe concrete steps, the stakeholders to be involved, methods and tools that can be applied, and expected results.

Part of a supporting infrastructure for regional capacity building processes is the availability of trained and experienced facilitators who can assist regions in conducting such comprehensive needs assessments. The facilitator workshop in December 2003 was a first step in this direction. In addition, GTZ-SfDM created a dedicated area in its project website (called “*Forum Fasilitator CBNA*”) with access limited to the participants of the workshop. This “*Forum*” included an electronic message board, and contained information on the East Kalimantan assessment process, on general capacity building issues and on additional facilitation/assessment tools and techniques not included in the May 2003 modules.

However, expectations to create a “virtual community of practitioners” failed to materialise, since workshop participants not employed for the East Kalimantan exercise tended to drop out of the communication loop as they were engaged in other commitments. The message board was technically too difficult to operate, and the existing telecommunication infrastructure in Indonesia makes the use of web-based information sharing platforms outside the major cities less

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<sup>29</sup> One of the feedbacks at the facilitator de-briefing on 1 April 2004 was that the modules were seen as too ambitious in nature and would have to be simplified.

practical. A simple mailing list created in April 2004 (again including all participants of the workshop) experienced a similar fate, and was discontinued.<sup>30</sup>

The creation of a facilitator pool or of a professional community of practitioners would also require a firm institutional anchor, either through professional self-organisation or via an existing governmental/non-governmental institution. The first option seems presently less realistic – the capacity building/capacity development debate is a relatively new phenomenon in Indonesia, and “capacity building” (unlike e.g. HRD) is not regarded as a generic professional profile that can be marketed to potential customers. Government agencies (like the Ministry of Home Affairs or the National Institute for Public Administration/LAN) do take an interest in the capacity building concept, however are yet ill equipped to either manage a facilitator pool from within its own staff, or to maintain - on a continuing basis - a pool of external facilitators. However, as the Government, regions and donors conceptualise and implement capacity-building related activities in the framework of supporting Indonesia’s decentralisation policy, such support might provide a more conducive environment for nurturing the emergence of a network of (freelance or institutionally-anchored) capacity building facilitators.

Since both the assessment process as well as the actual implementation of the capacity building plan is prone to influences from the local political process, one of the challenges for technical assistance inputs is to remain sufficiently flexible in the choice and deployment of instruments, while at the same time maintaining a certain consistency and structure of the support. Contracts with facilitators (indicating activity schedules and time frames), the annual budget cycle of the aid agency - these factors all pose limitations which have to be balanced with the need for flexibility.

Supporting the creation of horizontal and vertical networks (for dissemination of lessons learnt) and peer learning can be one of the major inputs technical assistance can provide. In the case of East Kalimantan, during the 2004 CBNA exercise such a network was only initiated between the three participating districts. In the upcoming technical assistance project, networking between districts and cities within the East Kalimantan province, between the local level and the provincial level, and between the provincial level and national activities will be a major concern.

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<sup>30</sup> One can speculate that the reasons for this might include: shifting of attention to other activities, loss of interest because participation does not guarantee contracting by GTZ, lack of interest in the subject matter, technological difficulties to participate.

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## *Annexes*

**Nota Kesepakatan Persiapan Proyek Kerjasama**

Berdasarkan Nota Kesepakatan Berita Acara tentang Bantuan Teknis bagi “Pengembangan Kapasitas Pemerintahan Daerah di Kalimantan Timur (Kabupaten-Kabupaten di Kutai)” yang telah ditandatangani antara pihak GTZ dan Kabupaten Kutai Kartanegara, Kutai Barat dan Kutai Timur bersama Propinsi Kalimantan Timur pada tgl. 28. Agustus Th. 2003 di Samarinda, Nota Kesepakatan Kerjasama ini menentukan kegiatan persiapan proyek kerjasama:

1. Proses Pengkajian Kebutuhan Pengembangan Kapasitas akan dilaksanakan s./d. bulan Maret 2004 dengan langkah-langkah seperti berikut:

<i>Langkah</i>	<i>Waktu</i>
1. Tentukan jadwal dan pertanggungjawaban proses Pengkajian Kebutuhan Pengembangan Kapasitas	Sampai akhir bulan Des. Th. 2003
2. Membentuk tim/satuan tugas di daerah	Sampai akhir bulan Des. Th. 2003
3. Alokasi sumber daya untuk proses Pengkajian Kebutuhan Pengembangan Kapasitas	Sampai akhir bulan Des. Th. 2003
4. Laksanakan Lokakarya „Eksplorasi“	Sampai pertengahan bulan Januari Th. 2004
5. Merancang proses Pengkajian Kebutuhan Pengembangan Kapasitas secara operasional (pertemuan tim teknis setiap kabupaten, di Samarinda)	Sampai pertengahan bulan Januari Th. 2004
6. Menetapkan Proses Pengkajian Kebutuhan Pengembangan Kapasitas di dalam SK Bupati	Sampai akhir bulan Januari Th. 2004
7. Laksanakan proses Pengkajian Kebutuhan Pengembangan Kapasitas	Sampai pertengahan bulan Pebruari Th. 2004
8. Diskusi hasil-hasil Pengkajian Kebutuhan Pengembangan Kapasitas dan rekomendasi	Sampai akhir bulan Pebruari Th. 2004
9. Merancang Program Pengembangan Kapasitas (pertemuan tim teknis setiap kabupaten, di Samarinda)	Sampai akhir bulan Pebruari Th. 2004
10. Tetapkan prioritas pengembangan kapasitas untuk tahun pertama	Sampai pertengahan bulan Maret Th. 2004
11. Alokasikan sumber daya pengembangan kapasitas	Sampai pertengahan bulan Maret Th. 2004
12. Legalisasi program pengembangan kapasitas	Sampai akhir bulan Maret Th. 2004

## 2. Penyediaan sumber daya yang dibutuhkan:

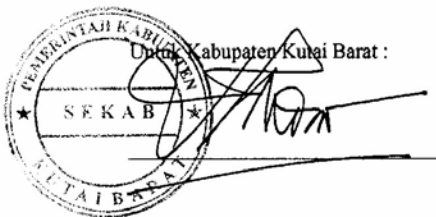
Kabupaten Kutai Barat menyediakan :

- Sumber daya manusia (8 - 10 orang dari lembaga-lembaga seperti berikut: Bagian Pemerintahan, Bappeda, BKD, Bagian Hukum/Organisasi, Bagian Keuangan, Dispenda, DPM, Sekretariat DPRD, wakil dari LSM, dan seorang Kordinator (senior) sebagai anggota tim teknis, yang mempunyai komitmen terhadap proses pengkajian kebutuhan pengembangan kapasitas dan berpengalaman dalam tema-tema pengembangan kapasitas pemerintahan daerah yang terkait (keperintahan yang baik; perencanaan pembangunan; pengelolaan SDM dan pengembangan sistem kelembagaan; keuangan daerah dan anggaran);
- Anggaran untuk membayar pengeluaran yang terkait dengan pelaksanaan proses pengkajian kebutuhan pengembangan kapasitas (antara lain alat kerja, ongkos perjalanan ke Samarinda, ongkos penginapan dan per diem untuk anggota tim teknis);
- Tempat kerja sementara untuk tim teknis,

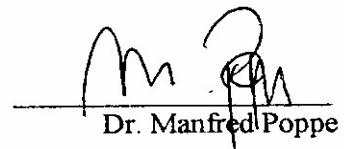
GTZ-SfDM menyediakan:

- 2 - 3 orang fasilitator yang telah dilatih untuk mendukung pelaksanaan proses pengkajian kebutuhan pengembangan kapasitas di daerah;
  - Pelatihan *on-the-job* kepada anggota tim teknis yang telah dibentuk oleh Kabupaten selama proses pengkajian kebutuhan pengembangan kapasitas dilakukan;
  - Penyelenggaraan lokakarya sesuai dengan kebutuhan proses untuk tim teknis dari seluruh Kabupaten di Samarinda.
3. Proses pelaksanaan Pengkajian Kebutuhan Pengembangan Kapasitas seperti dirancang di atas akan dilegalisasikan dengan Surat Keputusan Bupati sampai akhir bulan Januari Th. 2004 berdasarkan konsultasi dengan DPRD.

Melak, Tgl. 06.11.03



Untuk GTZ – SfDM:



Dr. Manfred Poppe



Departemen Dalam Negeri RI



Deutsche Gesellschaft für  
Technische Zusammenarbeit (GTZ) GmbH  
Support for Decentralization Measures  
(SfDM)

## Lokakarya & Pelatihan Fasilitator

10. – 12. Desember 2003

### *Pengkajian Kebutuhan Pengembangan Kapasitas Pemerintahan Daerah*

Program Lokakarya

## Program Lokakarya

### *Pengkajian Kebutuhan Pengembangan Kapasitas Pemerintahan Daerah*

*Hari 1*

Rabu, 10 - 12 - 2003

<b>TANGGAL &amp; WAKTU</b>	<b>AKTIVITAS PROGRAM</b>	<b>METODE</b>	<b>PENANGGUNG JAWAB</b>
08.30 – 09.00	Pendaftaran peserta		SfDM
09.00 – 09.30	Sambutan selamat datang (Depdagri, GTZ-SfDM)		
09.30 – 10.00	Pengantar pada disain workshop		
10.00 – 10.30		Istirahat	
10.30 – 12.00	<b>Sesi 1:</b>	Presentasi, Diskusi	
	Pengembangan Kapasitas Modern		
	<ul style="list-style-type: none"><li>- Pendekatan sistem terhadap pengembangan kapasitas</li><li>- Kerangka kerja bagi pengembangan kapasitas di Indonesia</li><li>- Pengalaman terakhir dan pelajaran</li></ul>		
12.00 – 12.30	Konsep Proyek Kerjasama di Kabupaten <sup>2</sup> Kutai/Kaltim (Tujuan dan hasil, Strategi dan Proses )		
12.30 – 13.30		Istirahat makan siang	
13.30 – 15.30	<b>Sesi 2:</b>	Presentasi, Diskusi	
	Pengembangan kapasitas Pemerintahan Daerah: Kebutuhan pengembangan kapasitas dalam lintas sektoral:		
	<ul style="list-style-type: none"><li>- Pemerintahan yang baik, partisipasi masyarakat</li><li>- Perencanaan pembangunan daerah</li><li>- Manajemen sumber daya manusia dan pengembangan kelembagaan</li><li>- Keuangan dan penganggaran</li></ul>		
15.30 – 15.45		Istirahat	
15.45 – 17.30	<b>Sesi 3:</b>	Kerja kelompok	
	Penerapan Proses Pengkajian Kebutuhan Pengembangan Kapasitas Pemerintahan Daerah		
	<b>Fase A: PERSIAPAN</b>		
	<ol style="list-style-type: none"><li>1. Identifikasi kebutuhan proses pengembangan kapasitas</li><li>2. Definisikan ruang lingkup dan tujuan dari proses</li><li>3. Tentukan tanggung jawab bagi proses</li><li>4. Tentukan proses kerja</li><li>5. Alokasikan sumber-sumber daya</li></ol>		
	Penyajian hasil		
17.30 – 18.00	Ringkasan Hari Pertama		



**Hari ke2**  
**Kamis, 11 - 12 - 2003**

<b>TANGGAL &amp; WAKTU</b>	<b>AKTIVITAS PROGRAM</b>	<b>METODE</b>	<b>PENANGGUNG JAWAB</b>
08.30 – 09.30	<b><u>Sesi 4:</u></b>	Presentasi, Diskusi	
	<b>Studi kasus:</b> Temuan-temuan dari pengkajian kebutuhan pengembangan kapasitas di Kabupaten Kutai Timur (Center for Local Government Innovations/CLGI)		
09.30 – 10.00	<b><u>Sesi 5:</u></b>	Presentasi	
	Sambungan dari penerapan proses Pengkajian Kebutuhan Pengembangan Kapasitas Pemerintahan Daerah  <b>Fase B: ANALISA DAN PERENCANAAN</b>  6. Mengimplementasikan proses Pengkajian Kebutuhan Pengembangan Kapasitas Pemerintahan Daerah <ul style="list-style-type: none"> <li>• Analisa</li> </ul>		
10.00 – 10.30		Istirahat	
10.30 – 11.15	<b>Metode Pengkajian dalam praktek: Metode PROSE</b>	Presentasi, Diskusi	
11.15 – 12.30	Sambungan ... Analisa  Kerja kelompok: Penentuan kerangka metodologi untuk menganalisa kebutuhan pengembangan kapasitas		
12.30 – 13.30		Istirahat makan siang	
13.30 – 14.30	<b><u>Sesi 6:</u></b>	Presentasi, Diskusi	
	Penyusunan Rencana/Program Pengembangan Kapasitas secara terpadu di tingkat lokal (Program Sustainable Capacity Building for Decentralization/ GOI/ADB)		
14.30 – 15.30	Sambungan proses yang diterapkan: <ul style="list-style-type: none"> <li>• Perencanaan</li> </ul> 7. Review dan mendiskusikan hasil-hasil  Kerja kelompok: Penentuan kerangka metodologi untuk action planning bagi pengembangan kapasitas		
15.30 – 16.00		Istirahat	
16.00 – 17.30	<b><u>Sesi 7:</u></b>		
	Sambungan proses yang diterapkan  <b>Fase C: PENYUSUNAN PROGRAM</b> 7. Menentukan prioritas pengembangan kapasitas 8. Mengalokasikan sumber-sumber daya  Kerja kelompok: Rincian dari program pengembangan kapasitas di daerah (contohnya menerapkan prioritas)		

**Hari ke3**  
**Jumat, 12 – 12 - 2003**

<b>TANGGAL &amp; WAKTU</b>	<b>AKTIVITAS PROGRAM</b>	<b>METODE</b>	<b>PENANGGUNG JAWAB</b>
08.30 – 10.15	<b><u>Sesi 8:</u></b>		
	<p>Sambungan proses yang diterapkan</p> <p><b>Fase D: RANCANGAN IMPLEMENTASI</b></p> <p>9. Mengimplementasikan program pengembangan kapasitas</p> <p>10. Monitoring</p> <p><b>Kerja kelompok:</b> Ringkasan implementasi dan pengaturan monitoring</p> <p>Penyajian hasil</p>		
10.15 – 10.30		Istirahat	
10.30 – 12.00	<b><u>Sesi 9:</u></b>		
	<p>Sambungan proses yang diterapkan</p> <p><b>Fase E: EVALUASI &amp; PERENCANAAN ULANG</b></p> <p>11. Evaluasi</p> <p>12. Perencanaan ulang</p> <p><b>Kerja kelompok:</b> Ringkasan skema evaluasi pengembangan kapasitas dan perencanaan ulang</p> <p>Penyajian hasil</p>		
12.00 – 13.30		Istirahat makan siang	
13.30 – 15.30	<b><u>Sesi 10:</u></b>	Diskusi	
	<p>Pertanyaan-pertanyaan yang membutuhkan penjelasan</p> <p>Langkah-langkah berikutnya</p>		
15.30 – 16.00	Evaluasi Lokakarya	Kerja kelompok	
		Diskusi	

*Program Lokakarya Tim Teknis CBNA Kabupaten Kutai Barat, Kutai Kartanegara, Kutai Timur, 28-30 Januari 2004 di Kantor BAPPEDA Propinsi KalTim, Samarinda*

**Tujuan:**

1. menetapkan topik-topik pengkajian kebutuhan pengembangan kapasitas berdasarkan empat tema pokok yang bersifat lintas-sektoral. Topik-topik adalah proses-proses inti pemerintahan daerah yang melibatkan berbagai stakeholder.
2. menyusun metodologi pengkajian dan instrumen-instrumen (metode) yang akan dipakai secara terinci.
3. menentukan proses dan jadwal waktu pelaksanaan pengkajian (langkah-langkah, hasil-hasil, even-even, sumber daya dan penanggung jawaban)

**Hasil-hasil yang diharapkan:**

1. Daftar topik-topik pengkajian untuk setiap kabupaten
2. Kerangka metodologi
3. Alur proses dan rencana tindakan

**Metode:**

Pembekalan materi kunci terhadap CBNA

Kerja Kelompok tim teknis

Penyajian hasil-hasil

Diskusi pleno

**Peserta:**

Anggota tim teknis dari Kabupaten Kutai Barat, Kutai Kartanegara dan Kutai Timur serta kordinator daerah dan fasilitator dari GTZ

Waktu	Aktivitas	Bertanggung jawab	Bahan / Metode
Rabu, 28 Januari 2004			
09.00 – 09.30	<ul style="list-style-type: none"> <li>▪ Sambutan dan Pembukaan</li> <li>▪ Penjelasan Tujuan dan Agenda Lokakarya</li> </ul>	Manfred Poppe	Program Lokakarya
09.30 - 10.00	<ul style="list-style-type: none"> <li>▪ Pengalaman dari Lokakarya Eksplorasi di Kabupaten</li> </ul>	Manfred Poppe	Dokumentasi Lokakarya Eksplorasi
10.00 – 11.00	<ul style="list-style-type: none"> <li>▪ Penjelasan Konsep CBNA</li> <li>▪ Penjelasan Proses Fase B CBNA: <ul style="list-style-type: none"> <li>▪ <b>Analisa:</b> <ul style="list-style-type: none"> <li>○ <b>Penetapan topik-topik</b></li> <li>○ <b>Penyusunan metodologi</b></li> <li>○ Penentuan proses dan jadwal waktu</li> </ul> </li> </ul> </li> </ul>	Manfred Poppe	Nota Kesepakatan
11.00 - 12.00	<ul style="list-style-type: none"> <li>▪ <b>Perencanaan Proses Analisa secara operasional untuk setiap kabupaten</b></li> <li>▪ <b>menetapkan topik-topik</b></li> </ul>	Fasilitator dan koordinator utk setiap kabupaten serta tim teknis	Kelompok Kerja
12.00 – 13.00	Istirahat / Makan Siang		
13.00 – 14.00	<ul style="list-style-type: none"> <li>▪ lanj. Perencanaan Proses Analisa <ul style="list-style-type: none"> <li>○ Penyajian hasil-hasil kerja kelompok dan diskusi pleno</li> </ul> </li> </ul>	Manfred Poppe	Diskusi pleno
14.00 – 17.00	<ul style="list-style-type: none"> <li>▪ lanj. Perencanaan Proses Analisa <ul style="list-style-type: none"> <li>○ <b>menyusun kerangka metodologi</b></li> <li>○ <b>menentukan metode-metode secara terinci (apa, siapa, bagaimana, dan cara pengdokumentasian hasil-hasil)</b></li> </ul> </li> </ul>	Fasilitator dan koordinator utk setiap kabupaten serta tim teknis	Kelompok Kerja

<b>Kamis, 29 Januari 2004</b>			
<b>09.00 – 11.00</b>	<ul style="list-style-type: none"> <li>▪ lanj. Perencanaan Proses Analisa               <ul style="list-style-type: none"> <li>○ <b>menyusun metodologi</b></li> </ul> </li> </ul>	Fasilitator dan koordinator utk setiap kabupaten serta tim teknis	Kelompok Kerja
<b>11.00 – 12.00</b>	<ul style="list-style-type: none"> <li>▪ Penyajian hasil-hasil kerja kelompok dan diskusi pleno</li> </ul>	Manfred Poppe	Diskusi pleno
<b>12.00 – 13.00</b>	Istirahat / Makan siang		
<b>13.00 – 17.00</b>	<ul style="list-style-type: none"> <li>▪ lanj. Perencanaan Proses Analisa               <ul style="list-style-type: none"> <li>○ menentukan proses dan jadwal waktu:                   <ul style="list-style-type: none"> <li>- langkah-langkah,</li> <li>- hasil-hasil,</li> <li>- even-even,</li> <li>- sumber daya dan</li> <li>- penanggung jawaban</li> </ul> </li> </ul> </li> </ul>	Fasilitator dan koordinator utk setiap kabupaten serta tim teknis	Kelompok Kerja
<b>Jumat, 30 Januari 2004</b>			
<b>09.00 – 10.00</b>	<ul style="list-style-type: none"> <li>▪ Penjelasan Proses Fase B CBNA:               <ul style="list-style-type: none"> <li>▪ <b>Perencanaan:</b> <ul style="list-style-type: none"> <li>○ merumuskan draf rencana tindakan</li> <li>○ mengkaji ulang dan mendiskusikan hasil proses</li> </ul> </li> </ul> </li> </ul>	Manfred Poppe	
<b>10.00 – 12.00</b>	<ul style="list-style-type: none"> <li>▪ Penentuan metodologi perencanaan pengembangan kapasitas</li> </ul>	Fasilitator dan koordinator utk setiap kabupaten serta tim teknis	Kelompok Kerja
<b>12.00 – 13.30</b>	Istirahat/ Makan Siang		
<b>13.30 – 15.30</b>	<ul style="list-style-type: none"> <li>▪ Penyajian hasil-hasil kerja kelompok dan diskusi pleno</li> </ul>	Manfred Poppe	Diskusi pleno
<b>15.30 – 16.30</b>	<ul style="list-style-type: none"> <li>▪ Diskusi terakhir dan penutupan</li> </ul>	Manfred Poppe	Diskusi pleno

*Program Lokakarya Tim Teknis CBNA Kabupaten Kutai Barat,  
Kutai Kartanegara, Kutai Timur, 28-31 Maret 2004 di Kantor  
BAPPEDA Propinsi KalTim, Samarinda*

**Tujuan:**

1. Merumuskan CB AP
2. Menyusun Kerangka Pengeluaran Jangka Menengah
3. Menentukan prioritas kegiatan pengembangan kapasitas
4. Menyusun program tahunan

**Hasil-hasil yang diharapkan:**

1. Rencana Tindak Pengembangan Kapasitas
2. Kerangka Pengeluaran Jangka Menengah
3. Prioritas Kegiatan Pengembangan Kapasitas
4. Program Tahunan Pengembangan Kapasitas

**Metode:**

- Pembekalan materi kunci terhadap Perencanaan Tindak Pengembangan Kapasitas (CB AP)
- Kerja Kelompok Tim Teknis
- Penyajian hasil-hasil
- Diskusi pleno
- Evaluasi lokakarya

**Peserta:**

Anggota Tim Teknis dari Kabupaten Kutai Barat, Kutai Kartanegara dan Kutai Timur serta para kordinator daerah dan para fasilitator dari GTZ

Waktu	Aktivitas	Bertanggung jawab	Bahan / Metode
<b>Minggu, 28 Maret 2004</b>			
09.00 – 09.30	<ul style="list-style-type: none"> <li>▪ Sambutan dan Pembukaan</li> <li>▪ Penjelasan Tujuan dan Agenda Lokakarya</li> </ul>	Rainer Rohdewohld (GTZ) Manfred Poppe	Program Lokakarya
09.30 - 11.00	<ul style="list-style-type: none"> <li>▪ Ringkasan hasil-hasil analisis proses CBNA</li> </ul>	Tim Teknis Daerah bersama tim GTZ utk setiap kabupaten	Kerja Kelompok
11.00 – 12.00	<ul style="list-style-type: none"> <li>▪ Penyajian hasil CBNA</li> </ul>		Diskusi pleno
12.00 – 13.00	Istirahat / Makan Siang		
13.00 – 14.00	<ul style="list-style-type: none"> <li>▪ lanj. Penyajian hasil CBNA</li> </ul>		Diskusi pleno
14.00 – 15.00	<ul style="list-style-type: none"> <li>▪ Penjelasan Tahapan Perencanaan Tindak Pengembangan Kapasitas (CB AP)</li> <li>▪ Penjelasan Proses Fase C CBNA: <ul style="list-style-type: none"> <li>▪ <b>Perencanaan:</b> <ul style="list-style-type: none"> <li>○ <b>Perumusan CB AP</b></li> <li>○ <b>Penyusunan Kerangka Pengeluaran Jangka Menengah</b></li> <li>○ Penentuan prioritas kegiatan pengembangan kapasitas</li> </ul> </li> </ul> </li> <li>▪ Penyusunan program tahunan</li> </ul>	Manfred Poppe	Bahan Lokakarya Fasilitator Tahap C / Sesi 7
15.00 – 18.00	<ul style="list-style-type: none"> <li>▪ <b>Perumusan CB AP secara operasional untuk setiap kabupaten</b></li> </ul>	Tim Teknis Daerah bersama tim GTZ utk setiap kabupaten	Kerja Kelompok

Waktu	Aktivitas	Bertanggung jawab	Bahan / Metode
<b>Senin, 29 Maret 2004</b>			
09.00 – 12.00	▪ <b>Penyajian hasil-hasil kerja kelompok dan diskusi pleno</b>	Tim Teknis Daerah bersama tim GTZ utk setiap kabupaten	Diskusi pleno
12.00 – 13.00	Istirahat / Makan siang		
13.00 – 16.00	▪ <b>Penyusunan Kerangka Pengeluaran Jangka Menengah</b>	Tim Teknis Daerah bersama tim GTZ utk setiap kabupaten	Kerja Kelompok
16.00 – 17.30	▪ Penyajian hasil-hasil kerja kelompok dan diskusi pleno		Diskusi pleno
<b>Selasa, 30 Maret 2004</b>			
09.00 – 12.00	▪ Penentuan prioritas kegiatan pengembangan kapasitas	Tim Teknis Daerah bersama tim GTZ utk setiap kabupaten	Kerja Kelompok
12.00 – 13.00	Istirahat/ Makan Siang		
13.00 – 15.00	▪ Penyajian hasil-hasil kerja kelompok dan diskusi pleno		Diskusi pleno
15.00 – 18.00	▪ Penyusunan program tahunan	Tim Teknis Daerah bersama tim GTZ utk setiap kabupaten	Kerja Kelompok



Waktu	Aktivitas	Bertanggung jawab	Bahan / Metode
<b>Rabu, 31 Maret 2004</b>			
09.00 – 11.00	<ul style="list-style-type: none"> <li>▪ <b>Penyajian hasil-hasil kerja kelompok dan diskusi pleno</b></li> </ul>		Diskusi pleno
11.00 – 12.00	<ul style="list-style-type: none"> <li>▪ Pembahasan kelanjutan proses di daerah dan kebutuhan dukungan dari luar</li> </ul>	Tim Teknis Daerah bersama tim GTZ utk setiap kabupaten	Kerja Kelompok
12.00 – 13.00	Istirahat/Makan Siang		
14.00 – 16.00	<ul style="list-style-type: none"> <li>▪ lanj. Pembahasan kelanjutan proses di daerah dan kebutuhan dukungan dari luar</li> <li>▪ Kesepakatan antar Tim Teknis dan SfDM</li> </ul>	Rainer Rohdewohld Manfred Poppe	Diskusi pleno
16.00 – 17.30	<ul style="list-style-type: none"> <li>▪ Evaluasi Lokakarya</li> <li>▪ Penutupan</li> </ul>	Manfred Poppe, Para Ketua Tim Teknis Daerah, Rainer Rohdewohld (GTZ)	Diskusi pleno

**Annex 5: Programme of the Provincial Level Workshop with Service Providers**

„Pengembangan Kapasitas Pemerintahan Daerah di Kalimantan Timur“

LOKAKARYA EKSPLORASI TINGKAT PROPINSI :

**PENYEDIAAN JARINGAN JASA PENGEMBANGAN KAPASITAS**

**Samarinda, Hari Rabu, 4. Februari 2004**

**di Kantor Gubernur KalTim**

<b>Waktu</b>	<b>Aktivitas</b>	<b>Bertanggung jawab</b>
<b>08.30 – 09.00</b>	▪ Pendaftaran Peserta	Panitia
<b>09.00 – 09.15</b>	▪ Sambutan dan Pembukaan	Panitia
<b>09.15 – 09.30</b>	▪ Penjelasan Tujuan dan Agenda Lokakarya	Affandi Djauhari (GTZ-SfDM)
<b>09.30 - 10.00</b>	<i>Rehat Kopi</i>	
<b>10.00 – 10.30</b>	▪ Konsep Proyek Kerjasama Kabupaten-Kabupaten Kutai - Propinsi Kalimantan Timur - GTZ-SfDM (Tujuan dan Hasil, Strategi dan Proses, Organisasi)	Dr. Manfred Poppe (Konsultan GTZ-SfDM)
<b>10.30 – 11.00</b>	▪ Penjelasan Metode Lokakarya “ <b>Dialog menggagas masa depan</b> ” ▪ Pembentukan kelompok kerja	Affandi Djauhari (GTZ-SfDM)
<b>11.00 - 12.30</b>	Diskusi Kelompok merupakan empat hal utk. setiap kelompok seperti berikut: 1. Kecenderungan-kecenderungan yang dihadapi dalam pelaksanaan tugas dan pelayanan lembaga Anda. 2. Jawaban-jawaban/upaya-upaya yang dilakukan pada saat ini dan di masa mendatang oleh lembaga Anda.	Moderator Kelompok Ade Cahyat Affandi Djauhari Roto Priyono
<b>12.30 – 13.30</b>	<i>Istirahat / Makan Siang</i>	Panitia
<b>13.30 – 15.00</b>	lanj. Diskusi Kelompok 3. Sumber daya yang tersedia pada lembaga Anda dan komitmen untuk menindaklanjuti. 4. Tindakan-tindakan untuk lembaga Anda.	Moderator Kelompok Ade Cahyat Affandi Djauhari Roto Priyono
<b>15.00 – 15.30</b>	<i>Rehat Kopi</i>	
<b>15.30 – 16.30</b>	Penyajian hasil-hasil kerja kelompok dan diskusi pleno	Wakil kelompok
<b>16.30 – 17.00</b>	▪ Diskusi final ▪ Penutupan acara	Affandi Djauhari (GTZ-SfDM)

### *"DIALOG MENGGAGAS MASA DEPAN"*

#### **Tujuan:**

Lokakarya akan mendukung persiapan pembentukan suatu jaringan penyedia jasa untuk pengembangan kapasitas bagi pemerintahan daerah dalam rangka proyek kerjasama teknis baru di Kalimantan Timur yang mendukung proses pengembangan kapasitas di tiga Kabupaten Kutai.

#### **Peserta:**

Lembaga-lembaga dari sektor pemerintah dan swasta serta lembaga masyarakat sipil/LSM/ perguruan tinggi yang berminat untuk terlibat dalam pembentukan jaringan penyedia jasa.

#### **Lokakarya tersebut akan...**

1. ... menjelaskan strategi proyek kerjasama yang direncanakan dan menginformasikan secara lebih lengkap terhadap kebutuhan pengembangan kapasitas di daerah.
2. ... menyediakan saran-saran dan metode-metode analisis kebutuhan pengembangan kapasitas bagi lembaga-lembaga yang berminat untuk terlibat selaku penyedia jasa.
3. ... mendukung lembaga-lembaga untuk mengidentifikasi peran masing-masing dan jenis jasa pengembangan kapasitas yang potensial dan berbasis "*kebutuhan pasar*" pada masa mendatang.

#### **Agenda:**

Untuk mencapai tujuan-tujuan tersebut salahsatu agenda ditawarkan seperti berikut:

1. Kecenderungan-kecenderungan yang dihadapi dalam pelaksanaan tugas dan pelayanan lembaga Anda.
2. Jawaban-jawaban/upaya-upaya yang dilakukan pada saat ini dan di masa mendatang oleh lembaga Anda.
3. Sumber daya yang tersedia pada lembaga Anda dan komitmen untuk menindaklanjuti.
4. Tindakan-tindakan untuk lembaga Anda.

## Langkah I : Pusatkan Pada Kecenderungan

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**Maksud:** memahami kecenderungan-kecenderungan yang telah/akan dihadapi dalam pelaksanaan tugas dan pelayanan lembaga Anda.

**Waktu:** 45 Menit

### *1. Tema dasar untuk diskusi kelompok:*

---

- *Apa yang telah berubah di sekitar Anda pada tahun-tahun lalu ?*
- *Apa yang telah berubah dalam kegiatan Anda?*
- *Apa yang mendukung aktifitas Anda?*
- *Apa yang menghambat aktifitas Anda?*

### *2. Tulis pokok-pokok kegiatan Anda akhir-akhir ini dimana Anda mengalami sukses, di mana Anda merasa senang hati !*

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## Langkah II : Pusatkan pada "Jawaban Anda"

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*Maksud: membagi ide-ide untuk jawaban-jawaban/upaya-upaya yang akan dilakukan di masa mendatang oleh lembaga Anda.*

**Waktu:** 45 Menit

### *1. Tema dasar untuk diskusi kelompok:*

---

- Mengembangkan / membahas / bertukar gagasan baru tentang kegiatan Anda pada tahun-tahun mendatang.
- Identifikasikan jasa-jasa / pelayanan pengembangan kapasitas pemerintahan daerah yang dapat disediakan oleh lembaga Anda.
- Usulkan strategi-strategi untuk pembentukan jaringan penyedia jasa (msl. memperbaiki komunikasi, membagi informasi, mengumpul model, alat-alat, metode, praktek yang baik).

### Langkah III: Pusatkan pada Sumberdaya dan Komitmen Anda

**Maksud:** Paparkan kapasitas (sumber daya) yang ada di kelompok Anda pada saat ini dan kapasitas yang dibutuhkan

**Waktu:** 45 Menit

#### 1. Tema dasar untuk diskusi kelompok:

- Membuat daftar sumberdaya yang dimiliki kelompok Anda dan dapat dimanfaatkan pada kegiatan tersebut.

#### *APA YANG DIMILIKI ...*

Klasifikasikan kapasitas yang ada seperti berikut:

- *KAPASITAS SISTEM:* kebijakan, peraturan, ...
- *KAPASITAS KELEMBAGAAN:* mandat, misi, prosedur kerja, hubungan eksternal, peralatan, ...
- *KAPASITAS INDIVIDU:* SDM (jumlah, kompetensi, entusiasme, pola kerjasama ...)

2. Tulis gagasan-gagasan tentang kapasitas yang Anda perlukan untuk mendukung jaringan penyedia jasa pengembangan kapasitas
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## Langkah IV. Tindakan-tindakan untuk kelompok Anda

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**Maksud:** mengidentifikasi sejumlah tindakan-tindakan yang akan dilakukan kelompok Anda untuk mempersiapkan diri untuk peluang dan tantangan di masa depan

**Waktu:** 45 Menit

### *1. Tema dasar untuk diskusi kelompok:*

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- membahas ide-ide untuk tindakan-tindakan melanjutkan proses pembentukan jaringan dan kontribusi (jasa) lembaga Anda

**Tindakan jangka pendek (enam bulan ke depan)**

<i>Apa</i>	<i>Siapa</i>	<i>Dukungan yang diperlukan</i>

**Tindakan jangka panjang (empat tahun ke depan)**

<i>Apa</i>	<i>Siapa</i>	<i>Dukungan yang diperlukan</i>





**BUPATI KUTAI TIMUR**

**KEPUTUSAN BUPATI KUTAI TIMUR  
Nomor: 446/02.188.45/HK/XII/2003**

**TENTANG**

**PEMBENTUAN TIM TEKNIS PENGEMBANGAN KAPASITAS PEMERINTAHAN  
DAERAH KABUPATEN KUTAI TIMUR**

**BUPATI KUTAI TIMUR,**

**Menimbang:**

- a. bahwa dalam rangka menjamin pelaksanaan desentralisasi yang cepat dan efisien perlu dilaksanakan usaha-usaha yang sistematis untuk mengembangkan kapasitas daerah yang didasarkan pada analisa kebutuhan khusus daerah serta sejalan dengan prioritas dan program daerah;
- b. bahwa mereka yang nama dan jabatannya tersebut dalam lampiran Keputusan ini dipandang mampu untuk diangkat dan ditetapkan dalam Tim dimaksud;

**Mengingat:**

1. Undang-Undang Nomor 22 tahun 1999 tentang Pemerintahan Daerah (Lembaran Negara tahun 1999 Nomor 60, Tambahan Lembaran Negara Nomor 3839);
2. Undang-Undang Nomor 25 tahun 1999 tentang Perimbangan Keuangan Antara Pemerintah Pusat dan Daerah (Lembaran Negara tahun 1999 nomor 74, Tambahan Lembaran Negara Nomor 3848);
3. Undang-Undang Nomor 47 tahun 1999 tentang Pembentukan Kabupaten Nunukan, Kabupaten Malinau, Kabupaten Kutai Barat, Kabuapten Kutai Timur dan Kota Bontang (Lembaran Negara tahun 1999 Nomor 175, Tambahan Lembaran Negara Nomor 3896) sebagaimana telah diubah dengan Undang-Undang Nomor 7 tahun 2000 (Lembaran Negara tahun 2000 Nomor 74, tambahan Lembaran Negara Nomor 3962)
4. Undang-Undang Nomor 8 tahun 1974 tentang Pokok-Pokok Kepegawaian (Lembaran Negara tahun 1974 Nomor 55, Tambahan Lembaran Negara Nomor 3041) sebagaimana telah diubah dengan Undang-Undang Nomor 43 tahun 1999 (Lembaran



Negara tahun 1999 Nomor 169, Tambahan Lembaran Negara Nomor 3890)

**MEMUTUSKAN:**

- Menetapkan :
- PERTAMA** : Membentuk Tim Teknis Pengembangan Kapasitas Pemerintahan Daerah Kabupaten Kutai Timur dengan susunan dan personal sebagaimana, tercantum dalam lampiran Keputusan ini:
- KEDUA** : Panitia sebagaimana, dimaksud pada diktum **PERTAMA** Keputusan ini mempunyai tugas mengkoordinir dan melaksanakan pengkajian kebutuhan pengembangan kapasitas, memantau pelaksanaan kegiatan-kegiatan pengembangan kapasitas dan dampaknya, serta mengembangkan strategi dan program-program daerah kabupaten Kutai Timur.
- KETIGA** : Segala biaya yang timbul akibat ditetapkannya Keputusan ini dibebankan kepada Anggaran Pendapatan dan Belanja Daerah Kabupaten Kutai Timur dan dana, lainnya yang sah;
- KEEMPAT** : Keputusan ini mulai berlaku sejak tanggal ditetapkan dengan ketentuan bila-bilamana dikemudian hari terdapat kekeliruan dalam penetapannya akan diperbaiki sebagaimana, mestinya.

Ditetapkan di Sangatta.  
pada tanggal 24 Desember 2003

**BUPATI KUTAI TIMUR,**

**H. MAHYUDIN, ST.MM**

Tembusan Keputusan ini disampaikan kepada. Yth:

1. Menteri Dalam Negeri di Jakarta
2. Gubernur Kalimantan Timur di Samarinda.
3. Ketua DPRD Kabupaten Kutai Timur di Sangatta,
4. Yang Bersangkutan.

**LAMPIRAN:KEPUTUSAN BUPATI KUTAI TIMUR**  
**NOMOR:446/02.188.45/HK/XII/2003**  
**TANGGAL 24 Desember 2003**

**SUSUNAN TIM TEKNIS PENGEMBANGAN KAPASITAS PEMERINTAHAN**  
**DAERAH KABUPATEN KUTAI TIMUR**

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PELINDUNG : 1. Bupati Kutai Timur  
2. Ketua DPRD Kabupaten Kutai Timur

KETUA UMUM : Sekretaris Daerah Kabupaten  
KETUA I : Assisten Tata Praja  
KETUA II : Assisten Ekonomi Pembangunan  
KETUA III : Assisten Administrasi  
SEKRETARIS : Kabag. Tata Pemerintahan

**ANGGOTA**

1. Ketua Bappeda Kabupaten Kutai Timur
2. Kepala Dinas Pendapatan Daerah Kabupaten Kutai Timur
3. Kepala Badan Kepegawaian Daerah Kabupaten Kutai Timur
4. Kepala Badan Pemberdayaan Masyarakat Kabupaten Kutai Timur
5. Kabag. Organisasi dan Tata Laksana Setkab Kabupaten Kutai Timur
6. Kabag Keuangan Setkab Kabupaten Kutai Timur
7. H.M.Tulamo (DPRD Kutai Timur)
8. Abdul Azis H Tappa, SH (Bapemas Kab.Kutai Timur)
9. Ir. Zubair, MT (Bappeda Kab.Kutai Timur)
10. Drs.Moch.Erlyan Noor (Dispenda Kab. Kutai Timur)
11. Aji Rahida Fardik, SH (Bagian Ortal Setkab Kutai Timur)
12. Muhammad Basuni,S.Sos, Msi (Bagian Tata Pemerintahan Setkab Kutai Timur)
13. Yuniarto (Bagian Keuangan Setkab Kutai Timur)
14. Drs.Sudirman Latief (BKD Kab.Kutai Timur)
15. H.M.Bihari (LKM Wawasan)
16. Deden, S.Ag (Garindo)
17. Dr. Novel (Kontas)
18. Ir. Jayadi (AMPED)

BUPATI KUTAI TIMUR,

**H. MAHYUDIN, ST.MM**

## Annex 7: List of Available Reports from the East Kalimantan Needs Assessment

Kabupaten Kutai Barat/GTZ-SfDM: Pengembangan Kapasitas Pemerintahan Daerah Kabupaten Kutai Barat (Draft Laporan Akhir, Juli 2004):

- Jilid I: Rencana Tindak Pengembangan Kapasitas Pemerintahan Daerah Kabupaten Kutai Barat (Th. 2004 – 2009)
- Jilid II: Dokumen-Dokumen Pendukung Dari Pelaksanaan Pengkajian Kebutuhan Pengembangan Kapasitas

Kabupaten Kutai Timur /GTZ-SfDM: Pengembangan Kapasitas Pemerintahan Daerah di Kabupaten Kutai Timur, Kalimantan Timur (Draft Laporan Akhir, Juli 2004):

- Jilid I: Rencana Tindak Pengembangan Kapasitas Pemerintah Daerah Kab. Kutai Timur Th. 2005 – 2009
- Jilid II: Dokumen-Dokumen Pendukung Dari Pelaksanaan Pengkajian Kebutuhan Pengembangan Kapasitas Pemerintahan Daerah di Kabupaten Kutai Timur

Kabupaten Kutai Kartanegara/GTZ-SfDM: Pengembangan Kapasitas Pemerintahan Daerah (Draft Laporan Akhir, Desember 2004)

- Jilid I: Rencana Tindak Pengembangan Kapasitas Pemerintahan Daerah Kab. Kutai Kartanegara
- Jilid II: Dokumen-Dokumen Pendukung Dari Pelaksanaan Pengkajian Kebutuhan Pengembangan Kapasitas Pemerintahan Daerah Kabupaten Kutai Kartanegara
- Jilid III: Sumber Daya Manusia Aparatur dan Kelembagaan Pemerintah

Laporan Hasil-Hasil Lokakarya Eksplorasi Tingkat Propinsi – Penyediaan Jasa Pengembangan Kapasitas (Samarinda, 4 Februari 2004)