

## Table of Contents

NOTES ON THE ANNOTATED BIBLIOGRAPHY.....	iii
1. CONTEXTUAL FACTORS.....	1
2. GOVERNANCE.....	2
3. GENERAL DEVELOPMENT MANAGEMENT ISSUES - LOW INCOME COUNTRIES .....	4
4. GENERAL DEVELOPMENT MANAGEMENT ISSUES - TRANSITIONAL COUNTRIES .....	9
5. GENERAL DEVELOPMENT MANAGEMENT ISSUES - HIGH INCOME COUNTRIES.....	10
6. PUBLIC SECTOR REFORM .....	14
7. NGO AND CIVIL SOCIETY.....	18
8. PROFIT.....	20
9. CAPACITIES, COMPETENCIES AND CAPABILITIES.....	21
10. ORGANIZATIONAL AND INSTITUTIONAL CHANGE.....	32
11. THE DESIGN AND MANAGEMENT OF OUTSIDE INTERVENTIONS.....	36
12. ASSESSING, LEARNING, MONITORING AND EVALUATION OF CAPACITY AND PERFORMANCE ISSUES .....	38
13. APPROACHES OF INTERNATIONAL FUNDING AGENCIES TO CAPACITY ISSUES..	48
14. SUSTAINABILITY .....	56
15. RESEARCH METHODOLOGIES .....	58
16. APPROACHES TO THINKING ABOUT CAPACITY ISSUES.....	60
17. ANALYTICAL TOOLS AND TECHNIQUES FOR CAPACITY ISSUES .....	69
18. PERFORMANCE AND QUALITY IMPROVEMENT ISSUES.....	73
19. IMPLEMENTATION ISSUES .....	76
20. CAPACITY BUILDING IN GEOGRAPHICAL SETTINGS .....	76
21. CAPACITY BUILDING IN SPECIALIZED ACTIVITIES.....	76
22. WEBSITES.....	79



## NOTES ON THE ANNOTATED BIBLIOGRAPHY

1. This bibliography is being put together in support of the broader program of research carried out by the European Center for Development Policy Management (ECDPM) in Maastricht Holland for the Development Assistance Committee (DAC) of the Organization for Economic Cooperation and Development (OECD) in Paris.

2. It is a work in progress. As research proceeds at the field levels, work goes beyond the usual suspects in the capacity literature. For the most part, the development cooperation community makes little use of the insights of other disciplines.

The list assumes that insights into the complex process of organizing people into productive forms of collective action in developing countries can come from many sources in addition to the usual suspects in the international development literature. The bibliography thus includes references from the private sector in developed countries.

References from newspapers, contain

- wide sweep of ideas
- different disciplines
- wide source of knowledge (donors etc)

3. Readers who wish that -copies from ECDPM website

4. Some entries occur in the bibliography in more than one category given insight and contribution to more than one subject.

This bibliography divides its entries into three categories in addition to those on the Table of Contents.

- The references accompanied by both a description and an asterisk are those felt to have particular insight and understanding.
- Those entries which are judged to be helpful or provocative come with a brief description to give readers a sense of their content and contribution.
- The references that are simply listed are those that are useful but do not merit a detailed description. They are still worth consulting for more detailed research.



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An insightful article from an author who has spent a good deal of time and effort trying to understand the operational constraints facing African managers. Leonard looks at the patron-client pressures on managers, on their constant search for legitimacy and external support and their need for projects that can be both politically and developmentally productive. Leonard takes aim at the relentless technical purposive rationality that pervades donor approaches and its continuing record of failure in most organizational settings. He argues for capacity reforms that flow with rather than against the logic of African organizational and social reality. A refreshing change from the regular fare of donor advocacy for various ‘life boat’ solutions to capacity issues in Africa.

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Scott, W.R., and Meyer, J.W., “The Organization of Societal Sectors: Propositions and Early Evidence” in Dimaggio, pp. 108-140



A good summary of past and present thinking about organizational structures, behaviors and interrelationships at the sectoral level. It contains a good deal of operational insights that would be useful for those engaged in the design and management of SWAs and other program interventions.

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An brief but punchy account of how and why England built a national capacity as the preeminent designer and fabricator of the world’s fastest racing cars. This trend happened paradoxically at the same time as the British passenger car industry rapidly declined and passed into foreign ownership. Part of the answer lay in the existence of the ‘Silicon Valley’ effect , i.e., a complex set of capabilities clustered in what was called Carburetor Valley, an interconnected network of workshops, factories, laboratories and training grounds within a 145-km radius of London’s Heathrow Airport. These complex capabilities were themselves the outputs of a variety of historical trends that came together in England over the course of the twentieth century - the expertise of Oxford and Cambridge Universities in sophisticated electronics and material composites, intense competition and collaboration amongst small entrepreneurial production organizations, the intense interest and support of amateur road racing clubs, an avid public awareness of international car racing and a long-standing British tradition for engineering and innovation going back to the industrial revolution. The article reminds us that complex national capacities in fields such as car racing or maternal and child health turn out to be embedded in complex organizational and technical systems built up over many years.

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*The Economist* “Hamburgers and hernias” August 9, 1997

Medical types, politicians, the insurance industry and economists usually dominate the debate on the effectiveness of the US health care industry which accounts for between 7 and 8% of the GDP. This article makes the case that management theorists, especially those whose techniques have boosted the performance of the fast food industry, should sharpen their scalpels and operate on the health industry. It argues that many of the operational techniques and systems that work so well in restaurants - a limited focused menu, improved performance standards and measurement, better data collection and dissemination and a service to the client mentality - would dramatically improve the workings of most hospitals. The reason for the slow application of up-to-date management techniques in the health sector is put down to the lack of real incentives to economize and modernize organizational capabilities.

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## 6. PUBLIC SECTOR REFORM

### *Low income countries*

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Langseth, P., Mugaju, J., *Post-Conflict Uganda: Towards an Effective Civil Service*, Fountain Publishers, 1996

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Manning, N., June 2001, "The Legacy of the New Public Management in Developing Countries" in *International Review of Administrative Sciences*, Vol. 67, No. 2

A short punchy article which addresses a series of useful issues including the relationship of the principles of New Public Management (NPM) to those of Old Public Management (OPM) and the New Institutional Economics (NIE), the actual application and contribution of the NPM to effectiveness and performance and finally, its legacy to ongoing efforts at public sector reform in developing countries. The author argues that the NPM, over the last twenty years, turned out to be in the tradition of many past approaches claiming to be the one best way - a pattern of much misapplication, limited relevance and few obvious achievements. Its main legacy may have been to expand the menu of managerial choice within the public sector. The article also sets out a matrix of ideal-type scenarios divided up by various levels of state motivation and capability. The NPM appears to have little relevance for governments that are both unmotivated and incapable. Its comparative advantage seems to be in those situations of high motivation and capability. The article itself does not address the question of how such a state of high capability can be achieved.

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An analysis which looks at the pervasive failure of the conventional approach to service delivery in the public sector - the top-down, centrally-directed supply of standardized services to clients and beneficiaries. Or as the authors put it .." need as the problem, supply as the solution and civil service as the instrument". They also look at what they call the three failed remedies of intensification, amputation and policy reform. And they set out a brief survey of the eight alternatives that are currently being tried around the world. A useful overview of the evolution in thinking with respect to service delivery.

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*Transitional countries*

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**Barzelay, M., 2001, *The New Public Management: Improving Research and Policy Dialogue*, University of California Press**

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**Doern, G.B., Conway, T., *The Greening of Canada: Federal Institutions and Decisions*, University of Toronto Press, 1994**

**Dunleavy, P., and Hood, C., (1994), “From Old Public Administration to New Public Management” *Public Money and Management*, (July-Sept)**

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A book which explains the reasons behind the apparent inability of the US Government to build the necessary capabilities for helping transport the 13.4 million people in the US in the early 1980s who needed some form of assistance. Two fundamental issues are addressed. First, the inability of the

political system to choose between conflicting approaches to the problem - one oriented toward the rights of equal access for the disabled and the other favoring effective mobility by any practical means. This policy deadlock was compounded by the increasing fragmentation within and among national institutions - legislative, administrative, judicial - dealing with the issue. The result as an erratic path of transportation policy for the disabled over two decades and few sustainable effective capabilities at either the state or federal levels.

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One of the most imaginative books ever written on the political forces and pressures driving the shaping of American public policy. It addresses the question of why certain issues get on the public policy agenda and others do not. Kingdon's book is filled with concepts such as policy primeval soups, garbage can models of thinking, policy windows. idea streams, coupling and many others. It emphasizes the difficulties involved in rational comprehensive approaches to policy making and capacity building. Also one of the funniest social science books in a field noted for ponderous analysis.

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**Savoie, D., (1995), "What is Wrong with the New Public Management?" *Canadian Public Administration*, 38(1)**

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## 7. NGO AND CIVIL SOCIETY

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Brief eleven page series of insights into organizational capacity building. This article makes a convincing case why conventional external interventions, mostly funded by donors, so often miss the mark and produce little in the way of sustainable organizational change.

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Clayton, A., (ed), *NGOs, Civil Society and the State: Building Democracy in Transitional Societies*, INTRAC, 1996

Edwards, M., and Hulme, D. (1992), *Making a Difference: NGOs and Development in a Changing World*, Earthscan

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Fox, J., (1996), “How civil Society Thickens: the Political Construction of Social Capital in Mexico” *World Development*, 24, #6

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Most analyses of NGOs focus on their role and their programmes as is common in most of the public and non-profit sectors. This book advocates an explicit attention to capacity building, i.e. creating and sustaining effective organizations in the non-profit sector that can perform and deliver these programmes. The authors look at quality processes, product development, benchmarking, human resources and effective boards and oversight. Of particular interest are the final two chapters which center on two issues: a comparison between NGO and private sector approaches in the US to the mentoring of small, growing organizations and second, new trends in the support of major domestic funders in the US for capacity building. Some fresh thoughts in this piece for development types.

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A short paper which expands on two key points: namely that capacity development takes place at different interconnected levels including the organizational, the multiorganizational and the global. And second that capacity development is a relational social process dependent on learning in groups.

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## **8. PROFIT**

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**Ghoshal, S., and Bartlett, C.A., *The Individualized Corporation: A Fundamentally New Approach to Management*, Harperbusiness, 1997**

**Hamel and Prahalad, “Strategic Intent” *Harvard Business Review*, May-June 1989**



## *Field Experiences*

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## 9. CAPACITIES, COMPETENCIES AND CAPABILITIES

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Alkire, S., 2002, *Valuing Freedom: Sen's Capability Approach and Poverty Reduction*, Oxford University Press

Amartya Sen has devised a capability approach to assessing human welfare which revolves around a person's or a group's freedom to promote or achieve valuable functionings and in the process to lead one type of life or another. Capability here is the freedom to accomplish what is valued. It is about enlarging people's choices. Alkire lays out a complex philosophical, ethical and economic analysis of this approach and applies her framework to a number of cases in Pakistan. This book focuses on individual rather than organizational capabilities. Not a book for busy practitioners but contains good deal of insightful material.

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A pithy little (15 pages) article that looks at the systems dynamics of financial, organizational and human issues that can lead to the ‘un-building’ or the collapse of capacity. The report focuses in particular on the issues of lack of recurrent costs, politicization, donor exit strategies, external dysfunctions and others that act against sustainability. Useful piece.

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#### **International Group on Southern NGO Capacity Building**

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Kaplan, A., *The Development of Capacity*, United Nations Non-Governmental Liaison Service, 1999

This brief booklet (57 pages) is a classic statement of the organizational development approach to capacity development particularly for smaller indigenous NGOs. It is a relentless dissection of the dysfunctions of the conventional project-oriented, technical assistance interventions sponsored by the international donor community. And it makes a case for more facilitative, learning-based empowerment strategies that respond creatively to on-going processes. It also contains a useful analysis of the 'hard' versus 'soft' elements of capacity and a plea for less organizational engineering and more systems appreciation of organizational life. A useful read for anyone about to design an intervention in support of capacity development.

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**Stavros, J., M., *Capacity Building: An Appreciative Approach, A Relational Process of Building Your Organization's Future*, Ph.d thesis, Case Western Reserve University, Maay 1998**

**Trostle, J.A., Sommerfeld, J.U., Simon, J.L., “Strengthening Human Resource Capacity in Developing Countries: Who Are the Actors? What Are Their Actions?” in Grindle, M.S., *Getting Good Government: Capacity Building in the Public Sectors of Developing Countries*, Harvard Institute for International Development, 1997**

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### ***Transitional countries***

### ***Building competencies and capabilities in the private sector in low, transitional and high income countries***

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Akers, D.A., (1989), “Managing assets and skills: the key to a sustainable competitive advantage” *California Management Review*, 31, (2)

This article is a good example of the ‘resource-based’ approach to strategy. A sustainable competitive advantage in the private sector depends on general product and positioning, the choice of market niche and most important, a match of the organizational capabilities to support these strategies. Akers has some useful insights into choosing and maintaining key assets and skills. An approach that needs some care in applying to cases in the public and non-profit sectors.

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**Amit, R., and Schoemaker, P.J.H., (1993), “Strategic assets and Organizational Rent” *Strategic Management Journal*, 14, (1)**

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Baron, J.N., Hannan, M.T., Spring 2002, “Organizational Blueprints for Success in High-Tech Start-Ups: Lessons From The Stanford Project on Emerging Companies” *California Management Review*, vol. 44, no. 3

This research looked at a provocative assumption: that in a period of rapid change (‘Internet Speed’), systematic capacity building is an unproductive waste of a leader’s time ( “ during a hurricane, even turkeys can fly”). The research looked at nearly 200 technology start-ups in sectors such as computers, biotechnology and telecommunications. The results of the study reject the above assumption. Small organizations in the private sector turned out to be very ‘path dependent’ meaning that the relevance and direction of their early organizational blueprints mattered a great deal in terms of eventual performance. Capacity building, in short, turned out to be the main event. A wonderful article for those interested in organizational issues in the private sector.

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**Brennan, M.J., 1990, “Latent Assets” *Journal of Finance***

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**Fombrun, C., Tichy, N.M., Devanna, M.A., (1984), *Strategic Human Resource Management*, Wiley**

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Fuchs, P.H., Mifflin, K.E., Miller, D., Whitney, J.O., (Spring 2000), “Strategic Integration: Competing in the Age of Capabilities” *California Management Review*, Vol. 42, No. 3

This article focuses on the issue of organizational alignment and integration using data from a number of American private sector firms. The thesis here is that effective performance arises from the ability of organizations to synthesize their positioning (i.e. direction, product/market focus) and executional capability (i.e. resources, operational capabilities and organizational culture) into a cohesive strategy. In the view of the authors, it is the systems perspective and a combination of comprehensiveness and alignment that accounts for good performance. A useful reminder that the a focus on the process of ‘capacity-building’ by itself is not sufficient.

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**Grant, R.M., 1995, *Contemporary Strategy Analysis: Concepts: techniques and applications*, Massachusetts, Blackwell**

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**Grant, R.M., (1991), “ The resource-based theory of competitive advantage: implications for strategy formulation” *California Management Review*, 33, (3)**

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**Grant, R.M., (1998) “Prospering in Dynamically-Competitive Environments: Organizational Capacity as Knowledge Integration” in Ilinitich, A.Y., Lewin, A.Y., D’Aveni, R. (eds.), *Managing in Times of Disorder: Hypercompetitive Organizational Responses*, Sage**

**Hall, R., (1991), “ The contribution of intangible resources to business success” *Journal of General Management*, 16, (4)**

**Hall, R., (1992), “The strategic analysis of intangible resources” *Strategic Management Journal*, 13**

**Hamel, G., (1991), “ Competition for competence and inter-partner learning within international strategic alliances” *Strategic Management Journal*, vol. 12, 83**

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Hamel, G., and Heene, A., 1994, *Competence-based Competition*, Wiley,

One of the best sources of insight into the design and implementation of core competencies in the private sector based on a series of papers presented to a conference in Belgium in 1994. The emphasis here is on inter-firm competition as the title implies but many of the ideas are still relevant in development cooperation. Section III on strategic management practice from a core competence point of view is of particular interest especially chapter 8 on practical tools.

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Hamel, G., Prahalad, C.K., *Competing for the Future*, Harvard University Press, 1994

An elaborated analysis of the core competence concept as applied to large corporations in the American private sector. Not all the arguments can be applied to the processes of capacity development building as currently used in development cooperation. But it is useful to see such concepts applied in a systematic and purposeful way. Chapter 10 (“Embedding the Core Competence Perspective”) is of particular interest.

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**Kamoche, K., (1992), “ Human resource management: An assessment of the Kenyan case” *International Journal of Human Resource Management*, Vol. 3, no. 3**

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**Kamoche, K., (1996), “ Human resource management within a resource-capability perspective of the firm” *Journal of Management Studies*, Vol. 33, No. 2**

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Kamoche, K., (1997) “Competence-creation in the African public sector” *International Journal of Public Sector Management*, vol. 10, #4,

One of the articles with a private sector perspective that applies a strategic competence perspective to public sector management in Africa. This is an elaboration of the ‘resource management’ approach which argues that organizations should treat their internally held resources as a potential source of strategic value. From this perspective, skill formation which underpins competence management should be based specifically on the strategic objectives of public sector organizations. Kamoche, however, does not address the ways such a technocratic approach can be best used in conflict-ridden and politicized environments.

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**Klein, J.A., Edge, G.M., Kass, T., (1991), “Skill-based competition” *Journal of General Management*, Vol. 16**

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**Lado, A., Boyd, N., Wright, P., 1992, “ A competency-based model of sustainable competitive advantage: toward a conceptual integration” *Journal of Management***

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Leonard-Barton, D., 1992, “ Core capabilities and core rigidities: a paradox in managing new product development” *Strategic Management Journal*, 13

This article looks at the interaction between core capabilities and the development of new products and processes in five leading US firms. Leonard-Barton sees capabilities from a knowledge system perspective. The key insights are twofold: the first is the complex composition of core capabilities including individual technical knowledge, organizational knowledge systems, managerial systems and organizational values. The second is the paradox of core capabilities as potential liabilities that restrict innovation as they lose relevance.

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**Low, J., Kalafut, P.C., *Invisible Advantage: How Intangibles Are Driving Business Performance*, Perseus, 2002**

**Mabey, C.L., Salaman, J.G., and Storey, J., (eds.), 1998, *Strategic Human Resource Management, A Reader*, Sage, London**

**Marino, K.E., (1996), “Developing Consensus on Firm Competencies and Capabilities” *Academy of Management Executive*, 10/3**

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Mascarenhas, B., Baveja, A., Mamnoon, J., Summer 1998, “Dynamics of Core Competencies in Leading Multinational Companies” *California Management Review*, Vol. 40, no. 4

An analysis of the three types of core competencies - technological, organizational and relational - in twelve multinational firms. It compares their development and suggests ways in which these competencies evolve over time.

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Miller, D., Eisenstat, R., Foote, N., “ Strategy from the Inside Out: Building Capability-creating Organizations” *California Management Review*, Vol. 44, No. 3



A summary of a research report on capabilities sponsored by McKinsey and Company. The team looked at 22 American corporations focusing on questions such as the following: how and why capabilities emerged, what were the drivers behind or thwarting those capabilities and where possible, what were the performance implications of those improved capabilities? The article has many useful insights into the deeper dynamics of building capabilities in the private sector in high-income countries.

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An article which show how the French nuclear producer, EDF, systematically built its capability to deal with the kind of crises which had the potential to destroy both EDF itself and the whole French nuclear industry as in the case of Three Mile Island in the US and Cherbobyl in the Soviet Union. This piece has a lot of insight into the key importance of organizational learning, the role of ambition in driving change and transformation and the influence of organizational identity on building capabilities.

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**Miller, D., Shamsie, J., “The Resource-Based View of the Firm in Two Environments” *Academy of Management Journal*, June 1996**

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Nabi, I., Luthria, M., (2002), *Building Competitive Firms: Incentives and Capabilities*, The World Bank Directions in Development Series

One of the few capacity analyses that tries to integrate both the institutional or ‘demand side’ issues (i.e. the pattern of incentives shaping firm competitiveness) and the organizational or ‘supply side’ (i.e. building the capabilities needed for firm competitiveness). The incentives on the demand side come from factors such as shareholder rights and corporate governance, an adequate competition policy, a prudent financial sector and a balanced bankruptcy and lending regime. The supply side includes the ability to use and adapt technology, to build human capital and the ability to manage logistics and a supply chain network. The contribution of this book is to offer a broader and more comprehensive framework for capacity analysis compared to many similar assessment efforts in the public and NGO sectors.

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PricewaterhouseCoopers, (2001), *Human capital development in developing countries: lessons learned from multilaterals*, report prepared for DGIS, Almere, The Netherlands,

DGIS commissioned this study to get a better sense of how the international private sector deals with human resource issues in general and capacity development in particular. What emerged is the description of a systematic approach to four aspects of management: organizing for results, identifying the competencies that drive results, using a system of aligned HR instruments and finally, creating an environment conducive to human capital development. Most multinationals categorized competencies into four types: technical (e.g. manufacturing), functional (e.g. sales and marketing), cultural (e.g. corporate citizenship) and managerial (e.g. leadership).

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The classic statement of the core competence and capabilities perspective on organizational design and development in the American private sector. It makes the case that companies will only survive by their ability to identify, craft and exploit the core competencies that make growth possible. An organizations should be seen as a portfolio of skills rather than of businesses or products. Such competencies or capabilities are, in turn, the outcomes of focused intent and organizational learning. And their effectiveness depends critically on staff of an organization being able to work across their own internal boundaries. This article is useful for readers coming from development cooperation to assess the degree to which this private sector perspective on capacity building can be translated into useful actions in conventional development projects and programs.

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This article looks at seven ‘core’ competencies that organizations will need to improve or develop in order to sustain themselves: instilling purpose in their employees, instilling leadership throughout the organization, encouraging multidisciplinary approaches, implementing effective partnerships, engaging in knowledge networking, fostering ideas from all over the world and managing change effectively.

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Stalk, G., Evans, P., Shulman, L., March-April 1992, “Competing on capabilities: the new rules of corporate strategy” *Harvard Business Review*

A piece that should be read just after the Prahalad and Hamel article cited above. It describes the rise of private sector companies in the USA such as Walmart and Honda that compete more on capabilities than on market position. These organizations have succeeded in transforming their key business processes into strategic capabilities that deliver superior value to the customer. Indeed, their whole approach to organizing revolves around basing their business model on the right choice of capabilities. The question arises is whether this approach can have applicability for much smaller organizations in the public and not-for-profit sectors in low income countries.

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**Stevenson, H., (1976), “Defining Corporate strengths and weaknesses” *Sloan Management Review*, 17, (3)**

**Stone, F.M., 1995, *The High-Value manager: developing the core competencies your organization demands***

**Teece, D.J., Pisano, G., Shuen, A., (1990), *Firm capabilities, Resources and the Concept of Strategy*, CCC Working Paper, No. 90-8, University of California at Berkeley**

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A brief (7 page) article which tries to shift the focus in organizational thinking away from the conventional categories such as structure, roles, systems and accountabilities and towards that of capabilities. From this perspective, organizations should be looked at as bundles or portfolios of

capabilities that change over time to meet changing needs. The article, in effect, calls for reversing most current assessment frameworks. A neat summary for busy practitioners.

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### *Field experiences*

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**ALOP and FICONG (1998), *Capacity Building and Accelerated Change in Latin American NGOs*, paper presented at the Capacity Building of Southern NGOs in the Future, Brussels**

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## **10. ORGANIZATIONAL AND INSTITUTIONAL CHANGE**

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**Graham, C. *Private Markets for Public Goods: Raising the Stakes in Economic Reforms*, The Brookings Institution**

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**Malik, K., September 2001, *Linking Organizational Change with development effectiveness*, paper presented at the Joint UNDP-DFID Workshop on Enhancing Development Effectiveness**

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This paper puts forward an approach to building capacity through the design and launch of rapid-cycle, results-oriented (‘rapid results’) initiatives within the framework of a longer-term development vision. The idea here is of an organic and adaptive path for driving change. Both this approach and that of appreciative inquiry come at the capacity ‘challenge’ from the same perspective: namely that capacity exists in all human systems. Positive achievements and images can be the key to tapping into latent individual and group energies and in the process, unleashing this capacity.

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A major rant by a Washington Post columnist about the futility and irritation involved in attending yet another office IT workshop designed to improve organizational capability and performance. Includes quotes such as “My boss says she has one more change of systems in her before she is so diminished as human being that she will have no choice but to retire” ... and the corporate efforts at improvement left him without “ a significant chunk of my personality, some measurable portion of my soul”. A stark reminder of the pitfalls that lie in wait for enthusiastic capacity builders.

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Samuelson, R. “Reform ‘Hysteria’” *Washington Post*, July 23, 2002

A weary, jaundiced look at the bursts of institutional reform that periodically sweep the USA. According to the author, every campaign for reform exaggerates the evils it seeks to correct. Public opinion must not only be informed, it must be inflamed. Reform crusades become orgies of rhetorical self-promotion, Public relations drive reform politics. The result is all too often the illusion of reform - symbolic changes that confuse, disappoint and occasionally, make things worse. Reform degenerates into an exercise in advancing political reputations but not necessarily the public interest ,organizational performance or popular confidence. A perspective to keep in mind given the current donor enthusiasm for transforming governance.

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Schaffer, R., “Successful Change Begins with Results” *Harvard Business Review*, January-February, 1992

One of the classic articles from the HBR on organizational change and one that has particular relevance for ‘capacity builders’. The author takes aim at ‘activity-centered’ change programs (i.e. the majority of most capacity building efforts in development cooperation) that assume some sort of general outcome or result at their completion. What is needed according to this article is the replacement of amorphous capacity improvements with short-term incremental projects that quickly yield tangible results and which boost employee motivation. Only change programs linked to specific results can bring out the latent capabilities that exist in all organizations and human systems.

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## **11. THE DESIGN AND MANAGEMENT OF OUTSIDE INTERVENTIONS**

### ***Development cooperation***

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*private sector*

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Bryne, J., “The New face of Philanthropy” *Business Week*, December 2, 2002

A chest-beating article that trumpets the ‘innovative’ approaches of the new philanthropists in the United States - the imposition of detailed business plans on recipients, the attachment of strings to get results and increased involvement and control by donors. One point of interest is the emphasis in the article on the need for non-profits to build strong organizations.

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*project and program design and management*

*Field Experiences in low income countries*

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Ferrazzi, G., and Beier, C., "Technical Cooperation in M&E System Development: the District Autonomy Pilot Program in Indonesia" *Canadian Journal of Development Studies*, Vol. 18, 1997, pp. 735-765

An unusually candid account of the difficulties encountered by a team of GTZ advisers in designing and implementing a monitoring and evaluation system aimed at supporting decentralization to the regional and district levels in Indonesia in the 1990s. The GTZ team advocated virtually all of what now passes for the current conventional wisdom in development cooperation - participatory approaches, action learning, experimentation, local commitment and dialogue with partner organizations. The article is a sobering account from a practitioner perspective of why and how this conventional wisdom can fall short as it encounters the field realities of bureaucratized systems in the public sector.

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An excellent account of what the book calls a spectacular failure of a large aid-funded, rural development project to build capacity in the Coast Province of Kenya in the 1970s and 1980s. On the one hand, the external intervenors lacked a sense of history and familiarity with the complexities of the social and political environment in that part of Kenya. On the other, they exhibited the usual hubris, impatience and technological optimism about transforming the rural economy. The project also suffered from the usual inappropriate donor reliance on disembodied analytical and management control techniques as a way of reducing uncertainty. One chapter contains an amusing comparison between the stylized rituals of local witch doctors and visiting development economists.

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### ***High income countries***

venture capitalists

foundations

### ***High income .....es in developed countries***

## **12. ASSESSING, LEARNING, MONITORING AND EVALUATION OF CAPACITY AND PERFORMANCE ISSUES**

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## ***Monitoring and Evaluation***

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**Bamburger, M.,..... *Monitoring and Evaluation of Social Development*, The World Bank**

**Bangladesh case mentioned by John Saxby about organizational indicators thatbare being devised to evaluate organizations having an impact on the community**

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One of the most rigorous evaluations of capacity issues yet produced. It focuses on efforts to strengthen planning, monitoring and evaluation in agricultural research organizations in Latin America. The evaluation uses an analytical framework based on the operational environment, motivation of the participants, capacity and organizational performance. It also looks at the contribution of the various interventions at the levels of individuals and the organization. Useful to see the methodological tools and techniques used by the ISNAR team.

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Horton, D., *Planning, Implementing and Evaluating Capacity Development*, ISNAR Briefing Paper 50, July 2002

A brief (7 page) ISNAR note summarizing ten key issues in capacity development including its definition, conditions for success, relationship to performance and so on. Ideal primer for those who need a quick concise introduction to the topic.

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Horton, D., et all, 2002, *Organizational Capacity Development and its Evaluation: Experiences from Africa, Asia, Europe and The Americas*, draft ISNAR report

Results of an 18 month study of capacity development in six sites in Viet Nam, Cuba, The Philippines, Ghana, Bangladesh and Nicaragua. Covers topics such as the need for more emphasis on capacity development and its evaluation, a more holistic approach, partnership and improved approaches to evaluation.

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An intricate approach to transforming the qualitative data from stories into computerized data to satisfy funders. Not easily applicable to development cooperation projects. Those interested can read more on [www.pire.org.results\\_mapping](http://www.pire.org.results_mapping).

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This book makes the case for paying much more attention to managing and measuring and reporting on the ‘intangibles’ in American corporate life given their increasingly dominant role in generating wealth and profitability. Intangibles in this case are defined as the non-physical attributes of an enterprise that can lead to future benefits. More specifically, they can refer to characteristics such as innovation patterns, organizational practices and human resources, all of which also show up in the current attention to capacity building in development cooperation. Lev also emphasizes the rudimentary nature

of current attempts in the private sector to measure and report on intangibles. Chapter Five sets out a framework that will be of interest to those working on the same issue in development cooperation.

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**Mackay, R., Horton, D., Dupleich, L. Andersen, A., 2002, “Evaluating organizational capacity development” *Canadian Journal of Program Evaluation*, vol. 17(2)**

**Marsden, D., Oakley, P., Pratt, B., *Measuring the Process: Guidelines for Evaluating Social Development*, INTRAC, 1994**

**Mayne, J., Zapico-Goni, E., (1997), *Monitoring Performance in the public sector: future directions from international experience*, Transaction Publishers**

**“, (ed.), (1992), *Advancing public policy evaluation: learning from international experiences***

**Mayne, J., 2001, “Addressing Attribution through Contribution Analysis: Using Performance Measures Sensibly” *Canadian Journal of Program Evaluation*, 16(1), 1-24**

**McKevitt, D., Millar, M., Keogan, J.F., “The Role of the citizen-client in performance measurement: the case of the Street Level Public Organization (SLPO)”, *International Review of Administrative Sciences*, Vol. 66, No. 4, December 2000**

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Measure Evaluation, *Measuring Capacity Building*, March 2001 (can be found at [www.cpc.unc.edu/measure](http://www.cpc.unc.edu/measure))

This piece focuses on techniques for the assessment of capacity building in the health sector. Two points of interest are the attention given to four different levels - first, the systems, the organizational, health system personnel and the clients or beneficiaries at the community level. Second, the report has a useful list of 16 organizational assessment tools in Appendix C.

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**Measuring America book - unknown author**

**Menou, M.J., (ed.), *Measuring the Impact of Information on Development*, IDRC, 1993**

**Montague, S., “Focusing on Inputs, Outputs and Outcomes: Are International Approaches to Performance Management Really So Different?” *Canadian Journal of Program Evaluation*, pp. 139-148, 2000**

**Morgan, P.J., 1997, *The design and use of capacity development indicators*, paper prepared for the Political and Social Policies Division, Policy Branch, Canadian International Development Agency**

Mosse, R., and Sontheimer, L.E., 1996, *Performance monitoring indicators handbook*, Technical paper No. 334, The World Bank, Washington, DC

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Picciotto, R., and Weisner, E., *Evaluation and Development: The Institutional Dimension*, Transaction Publishers, 1998

“ ” and Rist, R., (eds.), *Evaluating Country Policies and Programs: New approaches for a new agenda*, New Directions in Evaluation # 67, Jossey-Bass

Poate, D., *Measuring and Managing for Results: Lessons for Development Cooperation*, UNDP and SIDA, 1997

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Rowe, W.E., Jacobs, N.F., Grant, H., “Facilitating Development of Organizational Productive capacity; A Role for Empowerment Evaluation” *Canadian Evaluation Society*, Special Issue, 1999

Schacter, M., *Means..Ends..Indicators: Performance Measurement in the Public Sector*, Institute on Governance, Ottawa Canada, Policy Brief, # 3, April 1999,

Swanson, R.A., Holton, E.F., *Results: How to Assess Performance, Learning and Perceptions in Organizations*, Berrett-Koehler, 1999

Tashereau, S., *Evaluating the impact of training and institutional development programs*, EDI Learning Resources Series, 1998



**UNDP, May 1999, *Signposts of Development: Selecting Key Results Indicators***

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USAID, 2000, “Measuring Institutional Capacity”, *TIPS, Recent Practices in Monitoring and Evaluation*, #15, Center for Development Information and Evaluation

This note sets out some of the current organizational assessment frameworks including DOSA, PACT, the Institutional Development Framework and OCAT. The term ‘capacity’ here is taken to mean the overall effectiveness of an individual formal organization. A useful summary of techniques that apply mainly to non-governmental organizations.

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**Woodhill, J., that article on IFAD M&E**

**World Bank, *Strengthening Capacity for Monitoring and Evaluation in Uganda: A Results-based Management Perspective*, January 2001**

**World Bank, 1996, *Performance Monitoring Indicators***

“ , (1996B), *Performance Indicators for Technical Assistance Operations: A First Edition Note*, Operations Policy Department

**World Bank, *Indicators of Governance and Institutional Quality*,  
<http://wwwl.worldbank.org/public sector/indicators.htm>**

***Some debate about RBM and performance measurement***

RBM and performance measurement have become two of the latest orthodoxies in development cooperation. For the most part, their use has been driven by the needs of funders intent on demonstrating results and accountability to domestic stakeholders and critics. The contribution of these techniques to development outcomes, however, remains uncertain given the reluctance of funders to question these orthodoxies or even to assess their contribution. Fortunately, the debate on RBM and performance measurement has some life in other fora, mainly in the private sector.

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**Austin, R.D., *Measuring and Managing Performance in Organizations*, Dorset House Publishing, 1996**

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**Bernstein, D.J., “Comments on Perrin’s “Effective Use and Misuse of Performance Measurement” *American Journal of Evaluation*, Vol. 20, # 1, 1999, pp. 85-93**

**Berrin, B., “Performance Measurement: Does the Reality Match the Rhetoric?” A Rejoinder to Bernstein and Winston” *American Journal of Evaluation*, Vol. 20, # 1, 1999, pp. 101-111**

**Carothers, T., “Giving Out grades: Evaluation” in *Aiding Democracy Abroad: The Learning Curve*, Carnegie Endowment, for International Peace, 1999**

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Ferrazzi, G., and Beier, C., “Technical Cooperation in M&E System Development: the District Autonomy Pilot Program in Indonesia” *Canadian Journal of Development Studies*, Vol. 18, 1997, pp. 735-765

An insightful and unusually candid analysis of the difficulties encountered by a team of GTZ advisers in designing and implementing a monitoring and evaluation system aimed at supporting decentralization to the regional and district levels in Indonesia in the 1990s. The GTZ team advocated virtually all of what now passes for the current conventional wisdom in pushing for some organizational changes - participatory approaches, action learning, experimentation, local commitment and dialogue with partner organizations. The article is a sobering account from a practitioner perspective about why and how this conventional wisdom on M&E can fall short as it is mugged by the field realities of bureaucratized systems in the public sector.

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Kerr, S., “The Best-Laid Incentive Plans” *Harvard Business Review*, January 2003

This short (10 pages) article shows how performance measures can easily assess the wrong activities and in the process, provide incentives for employees to game the system and reduce existing levels of performance. Indeed, many of the dysfunctional practices outlined in the article are present in most current efforts at performance measurement systems in development cooperation - indicators (or ‘vindicators’) determined at a central level by technical staff without lower-level staff participation or understanding, lack of awareness of the games that certain measurement ‘rules’ create, an undue focus on intermediary activities, an emphasis on information over communication and education, an ignorance of the existing incentive system, a preoccupation with short-term results and a decoupling of measurement activities from broader issues of strategy and culture. Kerr’s article is a case study in the dysfunctions outlined in the Robert Austin book discussed above.

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Marsden, D., “Measurement, Management and Accountability: Who Is Doing the Counting and Why?” *INTRAC ONTRAC*, #22, September 2002

**Morgan P.J., and Qualman, A., 1996, *Institutional and Capacity Development: Results-Based Management and Organizational Performance*, paper prepared for CIDA**

**Morgan, P., 1999, *An Update on the Performance Monitoring of Capacity Development Programs: What Are We Learning?* CIDA**

**Maxwell, S., September 2001, *Implications of the results orientation for the new development agenda*, paper presented at the Joint UNDP-DFID Workshop on Enhancing Development effectiveness: Linking Organizational and Development Effectiveness**

**O’Neill, O., 2002, *A Question of Trust*, The BBC Reith Lectures, Cambridge University Press (see also <http://www.bbc.co.uk/radio/reith2002/thelectures.shtml>)**

**Perrin, B., 1998, “Effective Use and Misuse of Performance Measurement” *American Journal of Evaluation*, Vol. 19, # 3, pp. 367-379.**

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Smillie, I., *The Forest and the Trees: Capacity-building, Results-based Management and the Pakistan Environment Program*, draft mimeo, April 2001

An account of the effort to apply conventional RBM techniques to a complex, capacity-building project in Pakistan in the late 1990s. The usual constraints showed themselves from the outset: the limited, shared understanding of the organizational/institutional issues by all the participants, the difficulties in coming to grips with cause and effects, the need for the donor to show results or outcomes in the short term, the inattention to process issues and finally, the inappropriateness of the traditional mental models used by donors, specifically, the project-based, time-bound, overplanned and overly predictive, control-oriented, organizational engineering approach to capacity development. The article argues for a less mechanical, donor-driven application of RBM to meet the particular needs of capacity-building projects especially complex ones taking place in dysfunctional contexts.

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Taylor, J., and Soal, S., March 2003, *Using Measures Developmentally*, CDRA Publications. available at [www.cdra.org.za](http://www.cdra.org.za)

A gentle dissection of the current obsession with measurement and the dysfunctional impacts that this practice is having on development practice. The basic point is that measurement is only one technique amongst many that are needed to come up with a balanced overall judgment about development contribution and impact.

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Taylor, J., 2000, *So now they are going to measure empowerment!* CDRA publication. available at [www.cdra.org.za](http://www.cdra.org.za)

A coherent argument for getting away from the top-down, pseudo scientific orthodoxies of the current approach to performance measurement, especially when applied to empowerment. The author situates empowerment measurement in a broad context of the an inter-relational, systems view of development cooperation in which the behavior of the intervenor needs as much assessment as those of the participants.

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**Wallace, T., Crowther, S., and Shepherd, A., (1998), *Standardizing Development: Influence on UK NGOs’ Policies and Procedures*, Oxford, Worldview Publishing**

Wallace, T., and Chapman, J., *Southern Perspectives on the management of Aid by NGOs: Changes in Practice and Implications for Development*, Workshop Papers from meeting at AA, London, March 21, 2003.

**Winston, J.A., “Performance Indicators - Promises Unmet: A Response to Perrin” *American Journal of Evaluation*, Vol. 20, # 1, 1999, pp. 95-99**

### *Field Experiences*

Ahmed, S.,J. and Rafi, M., (1999), *NGOs and Evaluation: the BRAC Experience*, paper presented to the World Bank Conference on Evaluation and Poverty Reduction, Washington, DC

Mackay, R., Horton, D., Debela, S., “Accounting for Organizational Results: An Evaluation of the International Service for Agricultural Research” *Canadian Journal of Development Studies*, Vol. xviii, 1997

Millar, M., and McKeivitt, D., “Accountability and performance measurement: an assessment of the Irish health care system” *International Review of Administrative Sciences*, Vol. 66, No. 2, June 2000

Riddell, R.,C. et all, *Searching for Impact and Methods: NGO Evaluation Synthesis Study*, report prepared for the OECD/DAC Expert Group on Evaluation, November 1997

Robinson, S., Cox, P., *Process Evaluation in Nepal: Tracking Capacity-Building in Health Development*, Division of International Development, University of Calgary, Technical paper #TP95/1, 1995

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Trowell, C., “Results-based Management: A Practical Experience” *Canadian Journal of Development Studies*, Vol. 18, 1997

This case analyzes the application of conventional RBM techniques (inputs, outputs, outcomes, impacts) to the implementation of a funded pastoralists development project in Northern Kenya beginning in 1996. The value of this case lies in its focus on two aspects usually passed over by RBM enthusiasts; namely the organizational design and management implications for the project of the use of such techniques and second, the efforts of the project participants to use RBM as a learning device helping participants and beneficiaries rather than simply as a mechanism to serve the accountability requirements of the donor. RBM in this case was designed as a capacity building exercise in its own right.

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## **13. APPROACHES OF INTERNATIONAL FUNDING AGENCIES TO CAPACITY ISSUES**

### **Background**

- profusion of strategies and frameworks
- less adapted to tis kind of approach

**African Capacity Building Foundation, *Mid-term evaluation* Feb, 2003**

**Asian Development Bank, *Special Study on the Effectiveness of Bank Assistance for Capacity Building in Nepal*, Special Study Series No. 22, December 1995**

**Asian Development Bank, *Special Study: Assessment of the Effectiveness of Bank Technical Assistance for Capacity Building in Indonesia*, Special Study Series # 25, 1996**

**Bebbington, A., Guggenheim, S., Olson, E., and Woolcock, M., “Grounding discourse in practices: exploring social capital debates at the World Bank” *Journal of Development Studies***

**Bergesen, H.E., and Lunde, L., *Dinosaurs or Dynamos? The United Nations and The World Bank at the Turn of the Century*, Earthscan, 1999**

**Bergstrom, L. and Witteberg, June 1998, M., *Institutional Development in Practice*, Sida**

**Bossuyt, J., *Mainstreaming Institutional Development: Why It Is Important and How Can it Be Done?* report prepared for European Center for Development Policy Management, October 2001**

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Brautigan, D., (1999), *Aid Dependence and Governance*, paper prepared for Division of International Cooperation, Ministry of Foreign Affairs, Sweden

A paper that looks at the detrimental effects of long-term aid dependence. From Brautigan’s perspective, high levels of aid create a pattern of incentives for both funders and recipients that lock the ‘aid system’ into recurring patterns of non-performance. The list of dysfunctions is a long one and contains the usual suspects including excessive technical assistance, loss of national ownership, unsustainable recurrent costs, poor donor coordination, a tendency towards increased rent seeking, lower tax efforts and many others. Remedies center on more direct budgetary support for selected countries. For others, Brautigan recommends more donor accountability, more aid pooling, a shift to more demand-oriented funding and more market discipline for funders.

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Brinkerhoff, D.W., (1989), *Institutional Analysis and Institutional Development: A Survey of World Bank Project Experience*, study conducted for the World Bank Country Economics Department, Public Sector Management and Private Sector Development Department

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Capitani, A., North, D.C., October 1994, *Institutional Development in Third World Countries: The Role of the World Bank*, World Bank HRO Working Papers , 21 pages

Good summary of the potential contribution of the new institutional economics to the study of development. Also focuses on the interrelationships between institutions and organizations in a clear and succinct way. Readers can get a sense of capabilities emerging in formal organizations as a response to changes in the surrounding institutions.

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**Chambers, R., *Challenging the Professions: Frontiers for rural development*, Intermediate Technology Publications, 1993**

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Collier, P., *Making Aid Smart: Institutional Incentives facing Donor Organizations and their Implications for Aid Effectiveness*, Forum Series on the Role of Institutions in Promoting Growth sponsored by USAID and EGAT/EM, Form # 2, February 2002

An insightful look at the impact of the incentive patterns that shape recipient and donor behavior. Aid effectiveness must improve if aid itself is to regain its legitimacy as a public policy. But how can this be done? Conditionality has failed. Project aid has well-known and severe limitations. The grand 'aid for reform' bargain has not worked. Helping those most in need - poor countries with dysfunctional policies - faces almost insurmountable constraints especially in the area of capacity building. Collier argues for a more realistic appreciation of the change process in many countries and for using aid more 'smartly' as a catalyst in this process. Many of his recommendations such as the shift to a knowledge-for-reform strategy imply substantial changes for the behavior of funding agencies.

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**Del Castillo, C., *From Technical Assistance to Development Cooperation: UNDP's Latin American Experience in the 1990s*, paper prepared for UNDP study on Reforming Technical Cooperation for Capacity Development, Nov. 2001**

**Development Space (Easterly)**

**Dichter, T. 2002, *Despite Good Intentions***

**Easterly, W., (2002), *The Cartel of Good Intentions: Bureaucracy versus Markets in Foreign Aid*, Center for Global Development, Washington, DC**

“ , (2001), *The Elusive Quest for Growth: Economists' Adventures and Misadventures in the Tropics*, MIT Press

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Easterly, W., “The Cartel of Good Intentions” *Foreign Policy*, July-August 2002

Observers of the international cooperation industry have long noted its dysfunctions. These include the emphasis on the goods and services the funder wants to supply rather than those desired by the recipient. Recipients also have no option other than agreeing to work within the policies and procedures set by the funding agency. One result of this cartel-like structure has been a pattern of exit by recipient governments labeled in many cases as lack of local commitment. This article contains a summary of Easterly's ideas about introducing some market forces into development cooperation to break up the cartel behavior of international funding agencies. These ideas include having funders compete for projects supported by a common pool, introducing vouchers for development services and in general, transferring more discretionary power over funding and allocation decisions to customers in developing countries.

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**Edwards, M., *Future Positive: International Co-operation in the 21st Century*, Earthscan, 1999**

**Eylers, H., and Forster, R., “Taking on the challenge of participatory development at GTZ: searching for innovation and reflecting on the experience gained” in Blackburn, J., and Holland,**

**J., *Who Changes: Institutionalizing participation in development*, Intermediate Technology Publications, 1998**

**Freedman, J., (ed.), 2000, *Transforming Development: Foreign Aid for a Changing World*, University of Toronto Press**

**Gallagher, E., (2002), *Institutional and Organizational Development. R4 Data Analysis for Annual Performance Report, FY 2000*, USAID Development Information Services**

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Graham, C., April 2002, *Strengthening Institutional Capacity in Poor Countries*, Policy Brief #98, The Brookings Institution

A short ( 8 page) brief on the critical need for more effective institutions in low income countries. Its main recommendation is a proposal for the establishment of an global ‘institutions forum’ that could be used as a convening form and as a bank of collective experience on institutional development. Such a forum would be an independent entity with selected members from international financial institutions, the academic community and from the policy making community in developing countries.

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**Gwin, C., *The New Development Cooperation Paradigm*, Overseas Development Council Viewpoint, June 1999**

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Helleiner, G., *Local Ownership and Donor Performance Monitoring: New Aid Relationships in Tanzania*, draft mimeo, November 2001

A short (11 page) summary of the experience of the Government of Tanzania and the donor community in reconstructing their aid relationship in the mid-1990s and focusing it on greater Tanzanian ownership and improved development effectiveness. The key innovations were twofold: establishing a mediation and monitoring mechanism to review performance annually and second, agreeing to include donor as well as Tanzanian activities within the scope of the monitoring. Part of the challenge involved the reorientation of technical assistance towards more useful forms of capacity development. A pioneering effort in institutional change in international cooperation.

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**Kanbur, R., Sandler, T., with Morrison, K., *The Future of Development Assistance: Common Pools and International Public Goods*, Policy Essay #25, Johns Hopkins and the Overseas Development Council, 1999**

**King, K., that study on how donors learn**

**Israel, A., *Building Capacity Through Structured Learning*, unpublished manuscript, April 1994**

Lavergne, R., *Approaches to Capacity Development: From Projects to Programs and Beyond*, notes for a presentation at the Manila Symposium on Capacity Development, January 14-16, 2003

**Lancaster, C., Wangwe, S., *Managing a Smooth Transition from Aid Dependence in Africa*, Policy Essay # 28, 2000**

**Maudsley, E., et al. 2002, *Knowledge, Power and Development Agendas*, Oxford, INTRAC**

**Meyer, C., (1992), “A Step Back as Donors Shift Institution Building from the Public sector to the Private Sector” *World Development*, vol. 20, no. 8**

**Morgan, Peter, *An Assessment of Bank Technical Assistance in Capacity Building to Vanuatu*, A Special Study for the Asian Development Bank, Asian Development Bank, May 1996**

**Moore, M., *Types of Political Systems: A Practical Framework for DFID Staff***

**“ and Naomi Hossain “Elites and Poverty in Developing Countries: are donors missing opportunities to engage more constructively?” IDS, 2001**

**Morss, E.R., (1984), “Institutional Destruction Resulting from Donor and Project Proliferation in Sub-Saharan Africa Countries” *World Development*, vol. 12, no. 4**

**Morton, J., (1996), *The Poverty of Nations: The Aid Dilemma at the Heart of Africa*, I.B. Tauris Publishers**

**Mutahaba, G., “Foreign Aid and Local capacity: The Tanzania Water Project as Case Study”  
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**OECD, 1997, *Criteria for donor agencies’ self-assessment in capacity development*, Document No. DCD/DAC (97) 31**

**Office of the Private and Voluntary Cooperation, 1998, *USAID Support for Capacity -Building: Approaches, Examples, Mechanisms*, Washington, USAID**

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Paul, S., *Capacity Building for Health Sector Reform*, Forum on Health Sector Reform, Discussion Paper 35, undated

Short (12 pages) paper which looks at a series of issues to do with health sector reform. It is particularly useful on the need to look at both the supply of, and demand for, various capabilities and puts forward a simple 2x2 matrix for factoring both aspects into an overall strategy for capacity development.

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**Picciotto, R., “A New Project Cycle for the World Bank”, *Finance and Development*, December 1994**

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**Pincus, J., and Winters, J., (eds), 2002, *Reinventing the World Bank*, Cornell university Press**  
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**Rondinelli, D, (1987), *Development Administration and U.S. Foreign Policy*, Lynne Rienner Publishers**

**Schacter, M., *Capacity Building: A New Way of Doing Business for Development Assistance Organizations*, Institute on Governance, Ottawa Canada, Policy Brief # 6, January 2000**

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Sida, November 2000, *Sida's Policy for Capacity Development*, Methods Development Unit, Sida

A brief (20 page) statement of Sida's understanding of, and approach to, capacity development. It puts forward an analytical framework for the use of Sida staff covering both organizational and institutional analysis. It sees capacity as a means to personal and national identity and not simply as a tool for improved productivity. It emphasizes the importance of knowledge and competence in any approach to capacity development. The paper also contains a framework for analysis that looks at the individual, the unit within the organization, the organization, systems of organizations, the institutional framework and the overall context.

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**Singh, S., *Technical Cooperation and Stakeholder Ownership*, paper prepared for the UNDP study on Technical Cooperation and Capacity Building, New Delhi, March 2002**

**TA Network, *Checklist for Agencies Self-Assessments in Implementing Capacity Development*, undated mimeo available from ECDPM**

**Therkildsen, O., *Watering White Elephants: Lessons from Donor Funded Planning and Implementation of Rural Water Supplies in Tanzania*, 1988**

**UNFPA, *An Assessment of UNFPA's Technical Support Services System*, Evaluation Report No. 9, 1995**

**United Nations, *ACC Guidance Note on Capacity-Building*, July 1999**

“ , *Report of the UN Inter-Agency Workshop on Capacity Development*, Geneva, 20-22 November, 2002

**UNCTAD, *Evaluation of Capacity Building in UNCTAD's Technical Cooperation Activities* (TD/B/Wp/155)**

**UNDP, *Human Development Report 2002***

**UNDP, *Capacity for Development - New Solutions to Old Problems*, 2002**

“ , *Developing Capacity Through Technical Cooperation: Country Experiences*, 2002

**UNDP/UNICEF, *Capacity development: an analysis and synthesis of its current conceptualization and implications for practice*, Harare 2002**

**UNEP, Capacity Building, Technology Transfer and Country-Level Coordination for the Environment Pillar of Sustainable Development, Report of UNEP GCSS/GMEF Cartagena**

**UNICEF, Developing National Capacities for Achieving the MDG's within a Human Rights Perspective: A UNICEF approach to Capacity Building,**

“ , that study on learning within UNICEF

**United Nations University, Capacity Development**

**Unsworth, S., Understanding Incentives and Capacity for Poverty Reduction: What Should Donors Do Differently? draft DFID manuscript, April 2002**

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Voorbraak, D., *Mainstreaming institutional development: implications for program-based approaches for donor procedures, approaches and structures. The case of Dutch Development co-operation*, paper presented at the Forum on Accountability and Risk Management under Program-based approaches, Ottawa, Canada, June 19-21, 2002

Another paper from the mid-levels of a donor agency pointing out the contradictions between lofty policy pronouncements supporting the ‘new’ aid paradigm and the realities facing aid agency staff working within the constraints of a control-oriented, risk-averse bureaucratic structure. The author traces a series of organizational changes within the Dutch aid agency aimed at resolving these contradictions including the adoption of the four Golden Rules of Accountability and the decentralization of authority and resources to field offices. A limited but useful analysis of a bilateral donor trying to build its own capacity to do capacity work.

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**Vaux, T., piece on donor behavior - David Marsden**

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Wade, R., *The US Role in the Malaise at the World Bank: Get Up, Gulliver!* paper presented at the American Political Science Association, Annual Meeting, August 28-31, 2001

Most analyses of organizational capability and performance are based on an implicit assumption of the organization as a piece of performance machinery. Vision leads to goals which lead to strategies which lead to implementation which leads to performance. Wade’s article is a welcome antidote to this kind of symbolic fiction. His analysis highlights the struggles of the World Bank to balance its conflicting needs for political support and performance action. Particularly useful are his insights into the process of ‘decoupling’ whereby organizations such as the bank try to buffer their operational cores from the conflicting demands of external groups. Capacity development in the context of a political/action hybrid organization clearly needs to be thought about differently. A thought provoking article especially for those aid technocrats still fond of depoliticized organizational engineering.

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**Wallace, T., 2000, Standardizing Development, World view**

Wedel, J.R., *Collision and Collusion: The Strange case of Western Aid to Eastern Europe 1989-1998*, St. Martin's New York Press, 1998

Bergstrom, L., and Witteberg, M., June 1998, *Institutional Development in Practice*, Swedish International Development Cooperation Agency

Wohlgemuth, L., and Carlsson, J., (2000), *Learning in Development Cooperation*, Swedish Briefing Note, (692 Kb)

World Bank, *A Case for Aid: Building A Consensus for Development Assistance*, World Bank, 2002

“ , *Assessing aid: What Works, What Doesn't and Why?* Policy Research Report, 1998

“ , *Assessment of the Capacity Building Impact of the World Bank Portfolio in Tanzania*, undated

“ , (1996), *Partnership for Capacity Building In Africa: Strategy and Program of Action*, A Report to the African Governors of the World Bank to Mr. James Wolfenson, President of the World bank Group

“ , *The Role and Effectiveness of Development Assistance: Lessons from the World Bank Experience*, 2002

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“ , November 2002, *Institutional and Governance Reviews - a new type of economic and sector work*, PREM Public Sector Notes, #75

A brief (4 page) summary of the bank's work on institutional and governance reviews (IGRs). The paper sets out lessons from IGRs in a range of countries including Bangladesh, Bolivia, Peru, Argentina and the Eastern Caribbean States. One of the main insights is one that funders continually have to rediscover - that short-term technical approaches will not solve problems with deep political roots. Also valuable is the discussion of the differences between 'best practice' and 'good fit' approaches to institutional and organizational reforms.

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“ , *Bangladesh Institutional and Governance Review*

“ , *Bolivia Institutional and Governance Reform*

“ , *Burkina Faso Institutional and Governance Reform*

“ , *Organization of Eastern Caribbean States Institutional and Organizational capacity Review*

“ , *Peru Institutional and Governance Review*

“ , *Review of the PRSP Approach, March 2002*

“ , *Ethiopian PRSP (capacity building report)*

## 14. SUSTAINABILITY

### *Low income countries*

**Blauert, J., Zadek, S., (1998), *Mediating Sustainability: Growing Policy From The Grass Roots*, Kumarian Press**

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Brinkerhoff, D., and Goldsmith, A.A., (eds.), 1990, *Institutional Sustainability in Agriculture and Rural Development: A Global Perspective*, Praeger

One of the earliest books to focus directly on the issue of institutional sustainability. Parts 1 & 3 cover the main conceptual issues and the lessons of experience. Part 2 looks at the results of nine case studies. Chapter 3 puts forward a framework for thinking about institutional sustainability that remains useful.

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**Brinkerhoff, D. and Goldsmith, A., 1992, “Promoting the Sustainability of Development Institutions: A Framework for Strategy” *World Development*, 20 (3)**

**Brown, D., 1998, “Evaluating institutional sustainability in development programmes: Beyond dollars and cents”, *Journal of International Development*, 10 (1)**

**Carvalho, S., Perkins, G., White, H., 2002, “Social funds, sustainability and institutional development aspects: findings from an OED Review” *Journal of International Development*, 14 (5)**

**Catterson, J., Lindhal, C., (1999), *The Sustainability Enigma: Aid Dependency and the Phasing Out of Projects: The Case of Swedish Aid*, Swedish Briefing Note (71 Kb)**

**Carley, M., Christie, I., (2000), *Managing Sustainable Development*, Earthscan, Second Edition**

**Ellsworth, L., (1998), *The Road to Financial Sustainability: How Managers, Government and Donors in Africa can Create a Legacy of Viable Public and non-Profit Organizations*, SD Publication Series, Technical Paper # 85**

**Fakir, S., *Capitalizing non-profits in South Africa: challenges and possible approaches for financial sustainability*, International Union for the Conservation of Nature Think Tank, # 19**

**Fort, A.L., 1999, *Want Sustainability? Build Capacity: A Framework and tool for measuring Progress*. Presentation to the Global Health Council’s Global Health, Poverty and Development Annual Conference**

**Fox, L.M., Schearer, S. B., *Sustaining Civil Society: Strategies for Resource Mobilization*, Civicus, 1997**

**Fowler, A., *The Virtuous Spiral: A Guide to Sustainability for NGOs in International Development*, Earthscan, 2000**

**Hesselmark, O., (1999), *Un-Building Capacity: Some cases from Africa*, Swedish Briefing Note**

**Holloway, R., *Towards Financial Self-Reliance: A Handbook on Resource Mobilization for Civil Society Organizations in the south*, Aga Khan Foundation, Civicus, Earthscan, 2001**

**IUCN/IDRC, *An Approach to Assessing Progress Towards Sustainability for institutions, field teams and collaborating agencies*, 1997**

**Lensink, R., and White, (1999), *Aid Dependence: Issues and Indicators*, Swedish Briefing Note (460 Kb)**

**INTRAC (The Newsletter of the International NGO Training and Research Center), *Issue on Financial and Organizational Sustainability*, No. 21, May 2002**

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## **16. APPROACHES TO THINKING ABOUT CAPACITY ISSUES**

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Any effort to make the process of management more flexible and results-oriented, either those in developing countries or in international funding agencies, soon bumps up against interest groups, both inside and outside the funding community, who see the maintenance of organizational control and accountability as the key issue. This issue, in turn, connects to one of the oldest issues in public administration, that is the degree of discretion and authority to be given to public managers. In many cases, managers are not given the flexibility they need to innovate and experiment in an effort to improve organizational performance. This particular article deals with the constraints to reform and innovation placed on the Canadian federal efforts at public sector reform.

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### *Political*

A good deal of the analysis of capacity issues, particularly that supplied by the international funding community, is ahistorical, acultural and apolitical. It focuses on organizational engineering and pays little attention to the continuing struggle for power and resources either inside organizations or outside. Part of this inattention stems from long-standing beliefs on both sides of the aid relationship about the importance of non-interference in the domestic affairs of partner countries. Part comes from a continuing historical belief about the separation of between politics and administration. Part stems from the gravitation of aid professionals towards the supposed clarity of technical policy issues and away from the unmanageable messiness of politics. And part stems from the inability of these same professionals even to understand, let alone influence, the complex political dynamics in most countries in which they operate. Too often the result of this apolitical stance is the failure of capacity development programmes and projects to withstand political forces in their environment. The references cited below give special attention to the influence of political factors in capacity development.

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A grim, unsettling analysis of chaos, confusion and disorder as a deliberate strategy for political gain in Africa. The book goes into most of the factors that shape political and bureaucratic behavior in Africa - the generalized system of patrimonialism, the lack of organizational efficiency and performance, the lack of institutionalization, the general disregard for the rules of the formal political and economic sectors, the instrumentalization of dysfunction and violence and finally, the universal resort to personalized and vertical solutions to societal problems. The thesis here is that the state in many African countries is ‘non-emancipated’, a condition which has blocked the emergence of public

sector bureaucracies that have any semblance of autonomy or insulation from political forces. They are, in effect, empty organizational shells with no institutional legitimacy. To compound the problem, few political elites have much to gain by pushing for proper institutionization. In this context, most of the conventional technical and managerial solutions supplied by the international funding community have little chance of taking hold and virtually none of being sustainable. Aid technocrats enchanted by the technical elegance of their capacity building strategies should read this book at least twice a year.

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Few efforts at urban school reform in the United States - capacity building by another name in the education sector - have been effective or sustainable. How can this be so consistently the case? This provocative book makes the case that the very institutional incentives that drive the public political, symbolic aspects of school reform at the advocacy stage also act to undermine the same reform process during implementation. Institutional incentives encourage urban policy makers to adopt quick fix solutions, the latest of which is student testing. They fail to develop and act upon well-developed theories of teaching and learning. Reform becomes a series of faddish impositions that produce little sustainable benefit and are used mainly as a tactic to ease political tensions. The emphasis shifts towards symbolic posturing and policy churn, on initiating rather than implementing reforms. The collective exercise of reform turns into an exercise in 'spinning wheels'.

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A dense 400 page collection of academic articles on the new institutionalism and its implications for organizational analysis. Not a book for practitioners. But buried in this volume are some genuine insights that have real explanatory power for capacity development. Particular subject of interest are the tension in most organizations between symbolic and performance objectives, the manner in which organizational fields operate and the ways in which certain environmental factors such as rules, norms and social patterns of behavior affect organizational behavior.

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A good summary article on the political economy of institutional (as opposed to organizational) reform in Latin America. It contains various typologies of institutional thinking and dysfunctions that will be helpful to those coming to the study of the new institutionalism for the first time. The article also has a useful annex which reviews various approaches to the study of institutions. Clearly written and easy to grasp.

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An account of a Brazilian manufacturing company (SEMCO) that broke all the rules of conventional organizing. It built its capacity by doing away with much of the organizational structure, uniform salary scales, support staff, personnel policies, regular hours and corporate strategies. In their place, SEMCO relied on common sense, strong ethics and corporate integrity, promotion by election, incentive programs, real transparency and staff control over most major decisions. In effect, it did away with the traditional pyramidal hierarchy that still shapes the design and behavior of most organizations. Staff commitment and motivation became the main performance driver.

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## 17. ANALYTICAL TOOLS AND TECHNIQUES FOR CAPACITY ISSUES

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comprehensive organizational and institutional change that has a long-term horizon. At times, this 'total systems' approach to capacity issues becomes indistinguishable from the entire development process. The report gives particular attention to two issues: first, the need for appropriate incentives for capacity building at all levels of the country and second: the need for international funding agencies to change their policies and procedures to support national capacity building. It also includes a model framework to help provide a strategy for diagnosis and implementation.

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## **20. CAPACITY BUILDING IN GEOGRAPHICAL SETTINGS**

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## **21. CAPACITY BUILDING IN SPECIALIZED ACTIVITIES**

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A extremely useful study of capacity development at the municipio level in Colombia in the 1980s based on 16 case studies. The report sees the municipios as having made genuine progress in providing essential services to their populations after the transfer of responsibilities from the central government. Key to this progress was a demand-led approach to capacity development comprising innovative local leadership, greater community involvement and access to more resources. Constraints, however, still remained particularly with respect to the legal and regulatory frameworks shaping the scope of action of the municipios. Chapter 4 sets out a demand-led approach to capacity development and technical assistance that has implications far beyond the issue of municipal government.

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A compelling analysis from a radical public choice perspective of the causes of the poor performance of public schools in the United States. Their pervasive ineffectiveness is attributed to what the authors describe as a dysfunctional institutional system that creates pressures and incentives that act against any serious efforts at reform. For the authors, any ‘micro’ efforts at capacity development inside schools - e.g., better teacher training, more student testing, improved curriculum - are doomed to produce only marginal gains. Only a major effort to replace a dysfunctional educational hierarchy of democratic control with an institutional system based on markets - e.g. school autonomy, competition, parental choice - can make the difference that is needed. Adherents of OD philosophies, in particular, need to read this book.

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A wise and humane book by one of the leading liberal advocates of school reform in the United states. Meier argues for smaller schools, surrounding children with adults who know them well, inviting parents into close relationship with the school and creating an atmosphere of trust. Meier also includes a withering critique of the current American obsession with standardized tests and analyzes the corrosive effects of these top-down, efforts at 'holding' schools accountable on the very factors that make schools effective. Meier also sets her approach to school 'capacity building' in the context of the role of the concerned citizen in a democratic society.

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AIDS ?

## 22. WEBSITES

Canadian Center for Management Development

Institute on Governance

United Nations Development Programme

<http://www.un.org/esa/susdev/capacity.htm> - contains policy papers, case studies and UN decisions on capacity building related to Agenda 21 and sustainable development

<http://www.adb.org/WGPPSR/publications.html> - material from the Informal Working Group on Public Service Reform. This donor working group focuses on improving the capacity of public institutions and tries to coordinate donor efforts in public sector reform.

Capacity 21 - UNDP

<http://ipc.msi.inc.com/ipc.html> - IPC website contain most of the papers

## PACT

### **World Bank**

<http://www-wbweb4.worldbank.org/prem/pas/capacity/capacity.htm> - Bank website on capacity issues

<http://www-wbweb.worldbank.org/prem/prmps/iaa/seminar/htm>- Bank website on institutional analysis and governance indicators

[http://worldbank.org/public\\_sector](http://worldbank.org/public_sector) - Bank website on public sector reform and governance

<http://www.worldbank.org/wbi/governance> - Bank website on public sector reform and governance

<http://www1.worldbank.org/publicsector/indicators.htm>

<http://www1.worldbank.org/publicsector/toolkits.htm> - Bank website on analytic toolkits

<http://www1.worldbank.org/publicsector/civilservice/surveys.htm> -stemming from work on IGRs, surveys of 7000 public officials in 16 countries

### **Bilateral donors**

[www.egdi.gov.se](http://www.egdi.gov.se) -website of the Swedish Foreign Ministry which contains most of the reports and briefing papers from the Swedish development cooperation program

<http://remote4.acdi-cida.gc.ca/cd> - Canada site on capacity development

<http://www.capacity.org> - website of the European Center for Development Policy Management which contains reports and case studies on capacity issues

<http://www.aercfrica.org> - research and training programmes of the African Economic Research Consortium (AERC) which aim to strengthen national research institutions in Africa.

<http://www.intrac.org/n-capb1/htm> - includes ONTRAC, INTRAC's newsletter which focuses on capacity building as a means to develop and strengthen civil society

<http://www.acbf-pact.org> - site provides access to information on the implementation of the Partnership for Capacity Building in Africa and the ACBF's newsletter.

[www.kresge.org](http://www.kresge.org) -website of the Kresge Foundation which supports capacity building for civil society in the USA.

### **foundations and reserach centers**

ISNAR website on CD and evaluation which contains background material such as field reports, workshop reports

IDRC

## **NGOs**

<http://www.edc.org/int/capdev/dosafire/dosaintr.htm>- introduction to DOSA and an outline presentation

INGO HR/OD network

[www.reflect-learn.org](http://www.reflect-learn.org) - useful frameworks for organizational self-assessment

[www.pire.org](http://www.pire.org).results\_mapping