



## NOTE TO THE READER

Thank you for taking the time to read this FAO Learning Module on Capacity Development. This module is the first in a series which will become available through the end of 2012.

All information regarding the Learning Modules will be published on the FAO Interdepartmental Working Group on Capacity Development Intranet website:

**[http://intranet.fao.org/fao\\_communications/idwgcd](http://intranet.fao.org/fao_communications/idwgcd)**

We would like your feedback and impressions on the Module. A link to the Feedback Survey is provided on the above website. We ask that you take the survey. It will take only ten minutes. Your feedback is very valuable to us!

Thank you,  
FAO Capacity Development Team  
Office of Knowledge and Capacity for Development (OEKC)

The designations employed and the presentation of material in this information product do not imply the expression of any opinion whatsoever on the part of the Food and Agriculture Organization of the United Nations (FAO) concerning the legal or development status of any country, territory, city or area or of its authorities, or concerning the delimitation of its frontiers or boundaries. The mention of specific companies or products of manufacturers, whether or not these have been patented, does not imply that these have been endorsed or recommended by FAO in preference to others of a similar nature that are not mentioned.

ISBN 978-92-5-000000-0

All rights reserved. FAO encourages reproduction and dissemination of material in this information product. Non-commercial uses will be authorized free of charge, upon request. Reproduction for resale or other commercial purposes, including educational purposes, may incur fees. Applications for permission to reproduce or disseminate FAO copyright materials, and all queries concerning rights and licences, should be addressed by e-mail to [copyright@fao.org](mailto:copyright@fao.org) or to the Chief, Publishing Policy and Support Branch, Office of Knowledge Exchange, Research and Extension, FAO, Viale delle Terme di Caracalla, 00153 Rome, Italy.

© FAO 2010



# TABLE OF CONTENTS

## Foreword

## Overview and objectives of this module

## Acronyms

### Chapter 1 - Setting the scene for Capacity Development at FAO

- 1.1 Capacity Development at the core of FAO's work
- 1.2 Introducing Capacity Development
- 1.3 A definition of Capacity Development
- 1.4 The need for change – evolution of FAO's Capacity Development role
- 1.5 Capacity Development is what we do

### Chapter 2 - Understanding Capacity Development

- 2.1 Guiding principles for Capacity Development in FAO
- 2.2 Differences between FAO's traditional and enhanced CD approach
- 2.3 How best to support capacity development processes?

### Chapter 3 - A systematic approach to Capacity Development

- 3.1 FAO Capacity Development Framework
- 3.2 Two types of capacities
- 3.3 Three dimensions
- 3.4 Using a Capacity Development conceptual framework for action

### Chapter 4 - Key steps for programming Capacity Development support in partner countries

- 4.1 What is special about Capacity Development in programming?
- 4.2 Five key steps for Capacity Development in programming
- 4.3 Capacity Development does not stop when a project has ended

### Chapter 5 - Strengthening internal roles and competencies for better FAO Capacity Development practice

- 5.1 Shifting roles, responsibilities and attitudes
- 5.2 Competencies for Capacity Development
- 5.3 Staff Development solutions to improve Capacity Development-related competencies

## Appendices

- Appendix A – Key milestones and emerging trends: the international consensus on Capacity Development
- Appendix B – Capacity Development in FAO's Strategic Framework
- Appendix C – Key findings from the Independent External Evaluation and the Evaluation of FAO CD Activities in Africa

## References

## Glossary

## FOREWORD

It's my pleasure as Chair of the Interdepartmental Working Group (IDWG) on Capacity Development to introduce this learning module on Enhancing FAO's practices for supporting Capacity Development of Member Countries.

The module is the first of a series that the IDWG, under the leadership of FAO's Knowledge and Capacity for Development Branch (OEKC), has produced. It reflects the multidisciplinary nature of Capacity Development, which cuts across the entirety of the Organization, and the importance that FAO's management and staff give to it.

The Corporate Strategy on Capacity Development, endorsed by the Director-General in August 2010, promotes a new mode of action that requires adaptation and change inside of FAO. The need for change was reiterated by the Evaluation of FAO's Activities on Capacity Development in Africa and management's response to it.

Providing a common understanding of Capacity Development and improving FAO's competencies in delivering better Capacity Development approaches are essential to accompany FAO staff along this change process.

I truly believe that this module will be useful for FAO staff and consultants who want to keep up to speed with the evolving Capacity Development practices taking place in the international development community, and be able to contribute more effectively to FAO's work.

A special thanks to InWEnt Capacity Building International for their contribution to the development of this module.

Enjoy your learning!



ANTON MANGSTL, DIRECTOR, OEK  
CHAIR OF THE IDWG ON CAPACITY DEVELOPMENT

## ACRONYMS

AAA	Accra Agenda for Action
ARD	Agriculture and Rural Development
CD	Capacity Development
CP	Country Programming
ECPDM	European Centre for Development Policy Management
FFS	Farmer Field Schools
GMOs	Genetically Modified Organisms
IDWG	Interdepartmental Working Group
IEE	Independent External Evaluation
KEPHIS	Kenya Plant Health Inspection Services
M&E	Monitoring and Evaluation
NAPC	National Agricultural Policy Centre
NGO	Non-governmental Organization
ODA	Official Development Assistance
OECD-DAC	Organization for Economic Co-operation and Development - Development Assistance Committee
OEKC	FAO's Knowledge and Capacity for Development Branch
RBM	Results Based Management
TCP	Technical Cooperation Programme
TCPR	Triennial Comprehensive Policy Review
UNDG	UN Development Group



## OVERVIEW AND OBJECTIVES OF THIS MODULE

The purpose of this learning module is to provide FAO staff and consultants at all levels with a basic understanding and knowledge of Capacity Development (CD), reflecting the international debate as well as FAO's perspective on CD. It also provides some key concepts for adopting changes in responsibilities, behaviours and attitudes that are consistent with FAO's new role in CD.

Specifically, by the end of this module you will have gained a deeper understanding of:

1. the evolving role of CD in general and in the context of FAO's work
2. the challenges and success factors that are key for an effective CD practice – one that leads to sustainable outcomes and impacts in Member Countries
3. key principles, concepts and methodologies suitable for promoting CD
4. your own role in supporting an enhanced CD practice in FAO

By providing an in-depth perspective of CD in the core business areas of FAO, this module is fully complementary to the UN Development Group (UNDG) e-learning course on CD, which addresses all areas of development. It will be followed by other in-depth modules that will look at mainstreaming CD more specifically into FAO's work.







## 1.1 CAPACITY DEVELOPMENT AT THE CORE OF FAO'S WORK

LOOKING AHEAD, THE UN SYSTEM'S PURELY FINANCIAL CONTRIBUTION TO DEVELOPMENT WILL BE SIGNIFICANT BUT SMALL. MEMBER STATES CLEARLY VIEW CAPACITY DEVELOPMENT AS A COMPARATIVE ADVANTAGE OF THE UN DEVELOPMENT SYSTEM.  
(UNDG DECEMBER 2007)

FAO'S VISION IS OF A WORLD FREE OF HUNGER AND MALNUTRITION WHERE FOOD AND AGRICULTURE CONTRIBUTE TO IMPROVING THE LIVING STANDARDS OF ALL, ESPECIALLY THE POOREST, IN AN ECONOMICALLY, SOCIALLY AND ENVIRONMENTALLY SUSTAINABLE MANNER.  
(FAO STRATEGIC FRAMEWORK 2010 – 2019)

Since its foundation, FAO has been supporting partner countries in finding effective paths for ending hunger.

FAO supports international efforts to defeat hunger by helping developing countries and countries in transition to modernize and improve agriculture, forestry and fisheries practices and ensure good nutrition and food security for all.

Since 1945, we have paid special attention to developing rural areas, home to 70 percent of the world's poor and hungry people. Ever since then, we have been continuously engaged in increasing the potential of our partners at various levels. Our interventions have involved, implicitly or explicitly, aspects of Capacity Development (CD). CD is intertwined with the ongoing technical work of FAO as shown in **Figure 1**.



**[FIG 1]** The technical and CD dimension of FAO's work

Capacity Development is at the core of FAO's work:

- > If a community needs new techniques and skills to increase crop yields, FAO provides the knowledge and expertise to help them introduce sustainable techniques so that they can raise better crops, conserve water, combat pests and diseases, and improve food quality.
- > When a drought or other natural disaster pushes already vulnerable groups to the point of famine, FAO supports national actors in becoming more prepared for and resilient to future disasters.
- > When a country faces challenges with emerging issues in food and agriculture, FAO provides mentoring support so that the country can develop its capacities to formulate appropriate and adequate policies and legislation.

Yet, defining CD has always been a challenging task. In the words of an FAO staff member:  
*"I cannot define what CD is as a concept, but I can recognize it when I see it."*

CD has more to do with the quality of engagement with national and local actors than with the quantity of outputs being produced; with integrated long-term interventions, than stand-alone training; and, in general, with promoting learning and change “from within”, than providing inputs from “outside”.

When national and regional actors develop the capacity to find their own way to solve problems and adapt to change, FAO’s work has produced a lasting impact.

“UNTIL RECENTLY, CAPACITY DEVELOPMENT WAS VIEWED MAINLY AS A TECHNICAL PROCESS, INVOLVING THE SIMPLE TRANSFER OF KNOWLEDGE OR ORGANIZATIONAL MODELS FROM NORTH TO SOUTH.”  
OECD, 2006

## 1.2 INTRODUCING CAPACITY DEVELOPMENT

The case story of the Kenya Plant Health Inspection Services (KEPHIS)<sup>1</sup> provides a good introduction to the concept of CD. KEPHIS is a self-sustaining government organization with a mandate to protect Kenya’s agriculture from pests and diseases.

KEPHIS’s capacities have evolved considerably over the last several years, when FAO first started to provide Train-the-Trainers programmes and assistance with developing training material. Over time, KEPHIS developed a critical mass of trained individuals who had strong links with Ministries in the country and with other organizations across the region.

As FAO continued to support the organization through ongoing mentoring, KEPHIS’s role became influential in the revision of the country’s legislation on plant safety. Over time, KEPHIS’s capacities increased in scope and degree, including the capacity to conduct research, provide guidance to the national debate on genetically modified organisms (GMOs), and serve as a reference point across the region.

FAO’s support was particularly helpful to **link** the organization with other comparable bodies within the region, to **facilitate funding** for priority research, to **train** personnel in keeping abreast of bio-safety measures and regulations, and to **equip** a laboratory to test for the presence of genetically modified organisms in imported commodities.

Through an FAO focal point, KEPHIS scientists have been able to source direct assistance and advice. KEPHIS is now able to monitor pesticide residues and set standards where these do not exist, providing services to both private and public sectors throughout the entire region.

KEPHIS’s success story exemplifies the concept of CD as a long-term process that builds gradually and incrementally across dimensions, and that requires continued follow-up and well-crafted external support.

## 1.3 A DEFINITION OF CAPACITY DEVELOPMENT

A widely accepted definition of **capacity** is “the ability of people, organizations, and society as a whole to manage their affairs successfully.”<sup>2</sup> This includes the ability to create, understand, analyse, develop, plan, achieve set targets, reflect on outcomes of actions, move towards a vision, change and transform.

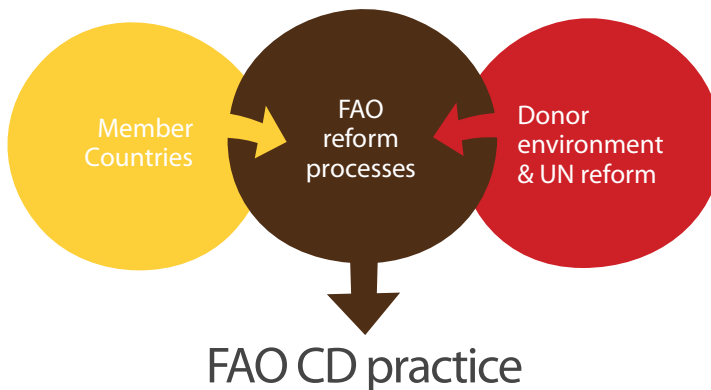
The definition of **Capacity Development** adopted in the FAO Corporate Strategy on Capacity Development<sup>3</sup> is “the process whereby individuals, organizations and society as a whole unleash, strengthen, create, adapt and maintain capacity over time.”<sup>4</sup>

CD is primarily an endogenous process led by national actors and agencies, which is only supported by FAO. Most importantly, it involves social and political aspects and not only technical ones. KEPHIS’s CD did not only involve strengthening technical competencies in plant safety; it involved the overall capacity of the organization to build ties, gain political legitimacy and be recognized as an important national and regional actor.

## 1.4 THE NEED FOR CHANGE – EVOLUTION OF FAO’S CAPACITY DEVELOPMENT ROLE

FAO’s role in CD has evolved substantially since its foundation, and especially in the last decade. The following factors have been the driving force behind such an evolution:

- (a) Changing needs and demands from Member Countries
- (b) FAO’s reform processes
- (c) Driving forces from within the global environment – including the UN and the donor environment



**[FIG 2]** Three driving forces of FAO’s practice in Capacity Development

<sup>1</sup>This success story is taken from the Kenya Country Report, Annex of the Evaluation of FAO CD Activities in Africa, p. 8.

<sup>2</sup>OECD/DAC GOV NET “The Challenge of Capacity Development: Working towards Good Practice”

<sup>3</sup>FAO’s Corporate Strategy on Capacity Development was approved by the Director General on 4 August 2010 after a long process of internal and external consultation

<sup>4</sup>The Challenge of Capacity Development: Working towards good practice, OECD 2006. The same definition was adopted by several other international development agencies.

## Changing needs and demands from Member Countries

Agricultural knowledge in the areas of the Agriculture and Rural Development (ARD) sector has become more and more available at national and regional levels, and the capacity base of countries has increased considerably in this sector.

At the same time, new challenges are surfacing in relation to global issues – such as climate change, global financial and economic pressures, price instability, and the food crisis. These complex challenges call for innovative solutions involving multiple stakeholders within and across countries.

Non-technical needs have also come to the fore, encompassing the need to improve the capacities to lead, manage, adapt and sustain change.

The result is a shifting role of FAO, which is increasingly called upon to play a facilitative role, connecting sources of knowledge among governments, non-governmental organizations, farmers and the private sector.

In addition, there is an increased demand for FAO's support in functional areas, such as strengthening the capacity of Member Countries to:

- > put in place relevant policies, strategies, legislation and regulatory frameworks
- > access, use and share information
- > relate externally, network, advocate for the interests of the country/the institution in regional and global fora and attract resources and investments
- > plan and implement developmental processes through modern management techniques including CD processes and
- > learn continuously, adapt to and be resilient to unexpected crises.

## FAO's reform processes

CD has been an integral part of FAO's reform processes, which seek to transform the Organization into a more modern development agency. The questions driving such processes are – how can FAO's development activities have more impact? And what needs to change internally for this to take place?

The Independent External Evaluation (IEE) in 2007, and the External Evaluation of FAO's Activities on Capacity Development in Africa (2010), examined the relevance and the impact of FAO's CD work. While both evaluations highlighted areas for improvement in the overall approach, the latter provocatively pointed to FAO's CD activities as mostly *“unsustainable[...]”*, with *“too much emphasis on immediate outputs rather than longer-term efforts for institutionalizing changes and building the political will to sustain them”*.<sup>5</sup>

The evaluations triggered an important process of reflection in FAO, which produced a corporate consensus on *the role of CD as a core function* of the Organization. As such, improving the effectiveness of FAO's CD work has come to be paramount.

CD is inextricably linked with a broader reform of FAO's systems, which include:

- > adopting Results Based Management/Managing for Results approaches
- > improving FAO's programming practices and approach to results measurement – with an increased focus on outcome assessment, as opposed to output assessment, and emphasis on process
- > reviewing Country Programming processes
- > emphasizing partnership with regional and national actors
- > advancing the decentralization process.

### **Driving forces from within the global environment – including the UN and the donor environment**

Since the beginning of the millennium, FAO has been harmonizing its practices with the UN system. In line with the UN reform, FAO is actively contributing to a collective approach to CD, which is understood as the only way to maximize individual agencies' strengths at country level. As such, FAO is increasingly being called upon to participate in UN-wide country approaches to CD, and to plan and coordinate CD under multi-donor mechanisms.

At the same time, profound changes in the global aid environment are affecting the way FAO traditionally positions itself as a player on the international development market, including:

- > countries increasingly leading their own development programmes and managing the allocation of resources, with several implications for the role that FAO plays at country level
- > an increasing availability of other sources of expertise in the ARD sector, with FAO no longer being the only global expert in its domain.

These changes call for new approaches and skills to attract resources, develop partnerships, and relate to national and regional actors

---

<sup>5</sup>Evaluation of FAO's Activities on Capacity Development in Africa, Executive Summary, Core findings and conclusions, paragraph X.

## 1.5 CAPACITY DEVELOPMENT IS WHAT WE DO

The combination of the three factors described above creates an unprecedented opportunity to embrace the right approaches and competences so that FAO can continue to play a key role in strengthening the ARD capacities of Member Countries.

Our objective should be to transform what are now isolated good CD practices into an institutionalized **corporate set of practices** in which CD is firmly integrated within the workflow of the Organization. This will improve our performance and effectiveness, bring increased visibility to our successes, and create new opportunities for resource mobilization.

“Capacity Development is all we do” is a typical statement of FAO staff, which shows that we identify ourselves as a CD organization. This places upon us a collective responsibility to ensure that the passion and motivation that drive the efforts of individual staff members are channelled and supported by the appropriate corporate practices.

The gains will be for everyone to see: what better satisfaction for FAO individual staff and units than an intervention that achieves lasting effects? What better way of seeing our collective work valued?

WHAT WE NEED TO DEVELOP IS PEOPLE, NOT THINGS,  
AND PEOPLE CAN ONLY DEVELOP THEMSELVES...  
**ARUSHA DECLARATION 1967**

### KEY POINTS FOR CHAPTER 1

- > CD is a long-term process that builds gradually and incrementally across dimensions, and that requires continued follow-up and well-crafted external support.
- > CD has been at the heart of FAO’s work since 1945. However, FAO must enhance its CD approach to have more sustainable impact, and keep abreast with evolving practices in the international development community and the changing needs of Member Countries.







## 2.1 GUIDING PRINCIPLES FOR CAPACITY DEVELOPMENT IN FAO

The concept of CD is underpinned by a series of principles inspired by the international debate on aid effectiveness, which is grounded in the Paris Declaration and the Accra Agenda for Action. (Appendix A describes these two agreements, along with other key milestones that contributed to form the current international consensus on CD.)

FAO has subscribed to the following principles in its Corporate Strategy on Capacity Development:

### BOX1: CAPACITY DEVELOPMENT GUIDING PRINCIPLES

**1 - Country ownership and leadership** – Partner countries own and manage their development processes. Therefore, national actors should be able to commit to and engage in development activities, articulate clear CD targets within sector plans and define strategies – from the initial idea guiding the intervention, and continuing with responsibility for the process, execution through national actors, systems and processes, control over resources, and commitment to outcomes.

**2 - Alignment with national needs and priorities** – National needs and priorities, rather than agency priorities, should guide CD interventions. In the context of increased policy dialogue between Member Countries and agencies, needs, gaps and obstacles to CD need to be better defined; and existing assets, capacities as well as the vision of national actors for the development of capacities in their own country need to be discussed.

**3 - Use of national systems and local expertise** – Setting up separate operational units to manage and implement CD interventions, importing technical inputs from external sources in the form of foreign consultants, developing special incentive schemes for national actors working on CD projects, using parallel systems and procedures for auditing and procurement – all these cannot only be serious obstacles to the development of capacities, but also can undermine existing capacities. Use of country systems – at whatever stage of development they are – is itself a contribution to strengthening Member Countries' capacities.

**4 - No 'one size fits all' approach** – There are no blueprints for CD. Customized responses responding to the needs of a specific development context are key. Contextual factors at country, regional and local levels (including historical pathways and evolution, governance, politics and social texture among others) have been found to have clear operational implications on CD interventions.

**5 - Multiple-level approach** – CD implies an endogenous strengthening of existing capacities and assets, which takes place across three overlapping and interdependent levels: individual, organizational and enabling environment. A multiple-level approach takes the relationships between these dimensions into account and allows for the possibility that the root cause of weak capacity at one level may be found at a different level.

**6 - Mutual accountability** – Both donors and national governments are accountable to the ultimate beneficiaries for development results. Transparency is the foremost instrument of public accountability with respect to financial resources, institutional management practices, planning and service delivery. Monitoring and evaluation (M&E), as primary tools for learning and adjusting to evolving conditions, are also essential for accountability systems. The capacity for M&E must be allowed to emerge from within national institutions and not be created in the form of parallel reporting systems.

**7 - Harmonization of action and partnership** – Many development actors from the UN, middle-income countries, global funds, the private sector and civil society organizations have been increasing their contributions and bringing valuable experience to CD. More effective harmonization and inclusive partnerships are desirable so that efforts have greater impact on reducing poverty.

FAO is undertaking to adopt these principles in all of its programmes and projects, as shown in the examples that follow (**Boxes 2 and 3**).

## BOX 2: FAO CAPACITY DEVELOPMENT IN PRACTICE

### OWNERSHIP AND LEADERSHIP

In the programme Legal support for the implementation of Mozambique's 'Land Law' and 'Forestry and Wildlife Law', strong leadership of the Government of Mozambique was key to enable the country set its own national priorities and define jointly with FAO the type of support required to meet the country's objectives. FAO helped strengthen national ownership by providing an appropriate type of support: instead of focusing on "getting things done quickly" by deploying international consultants, FAO focused on developing national capacities to draft, implement and oversee implementation of its laws, which led to strong sustainability of the programme's results.

#### Legal support for the implementation of Mozambique's 'Land Law' and 'Forestry and Wildlife Law'

##### Summary of the case

The Government of Mozambique has been proactive since the 1990s in regulating access to and use of land and natural resources. At the request of the Government, FAO supported the development of policies and the drafting of implementing legislation, followed by support to implementing the legislation and raising awareness among public sector agencies and wider society. FAO's support has focused on developing the oversight capacity of the formal judiciary, and the legal empowerment of local people through a paralegal programme. The continuous dialogue and collaboration between FAO, the Centro de Formação Jurídica e Judiciária (CFJJ) and a wide range of local government and civil society partners has led to the mainstreaming of capacity-building interventions into the CFJJ core programme. The programme has had a discernible immediate impact on the day-to-day approach to governance and the administration of justice at local level, and is seeding new ideas and capacities among a new generation of judicial and other actors. The CFJJ – FAO programme has gained a solid reputation, and its integration into the CFJJ core programme activities should guarantee its longer-term institutional sustainability.

The full case can be found on the FAO CD Portal at <http://www.fao.org/capacitydevelopment/good-practices/en/>

## 2.2 DIFFERENCES BETWEEN FAO'S TRADITIONAL AND ENHANCED CD APPROACH

In the past, development assistance has often missed a critical condition for enhancing and empowering national systems, structures and institutions: having recipient countries in the lead to choose their own development path, and ensuring that the design and sequencing of CD activities fit country circumstances and national development plans/strategies. In practice, too much focus was put on technical cooperation and assistance (i.e. inputs from outside) disconnected from activities geared towards facilitating learning and change management (i.e. change and transformation from within).

In the current approach, more consideration is given to the fact that enhanced national capacities require individual and organizational capacities to manage and sustain change. It is understood that this aspect cannot be taken for granted but should be deliberately addressed in designing projects and programmes that are more holistic and long-term.

**Table 1** summarizes the main differences between FAO's traditional and enhanced approach to CD.

	TRADITIONAL CD APPROACH	ENHANCED CD APPROACH	WHAT DIFFERENCE DOES IT MAKE?
PROJECT/ PROGRAMME DESIGN	Project focus is on outputs and immediate results, lacking clear long-term vision	Projects focus on outcomes and sustainability from the design phase, with participatory approaches that build ownership and partnership	Focus on CD outcomes during design and implementation phases increases sustainability of changes and likelihood of achieving impact
	CD projects are designed as stand-alone interventions with short timeframes and little attention to context	CD is perceived as a process that is best addressed through a combination of interventions anchored in existing systems and procedures, with longer timeframes or iterative approaches (series of short projects over many years)	Provides stability and paves the way for sustainability and scaling-up. It provides the time for people, organizations and society to absorb and institutionalize change
	Focus is on the technical dimension of problems, which are addressed through technical solutions	Focus is on both the technical and functional dimension of problems. The modalities of engagement and the process are as important as the technical aspects of the solution.	Functional capacities (soft skills, managerial skills) facilitate the uptake and scaling up of new technical knowledge
MODALITIES	CD is equated with training, which is delivered as a stand-alone activity	Training is one modality in a wider portfolio of CD instruments (SEE <b>FIGURE 3</b> )	When integrated in broader CD interventions, training can enhance organizational performance, not only individual skills and knowledge
ROLE OF NATIONAL ACTORS	CD activities are delivered mainly by international consultants	CD activities are joint efforts by national and international actors, with coaching/support when needed but with a clear objective of strengthening national capacities	Endogenous capacity and national ownership are strengthened
	National/local actors are perceived as clients and Implementers – no investment is made on them beyond the project	National /local actors are agents of change and potential champions – should be invested in and considered as partners	As partners in the development process, national/local actors catalyse change and become resources for their countries
ROLE OF FAO AS A PARTNER	FAO is a direct implementer of CD	FAO supports CD in partnership with others to meet new capacity demands	FAO remains in the CD market in the areas of comparative advantage, and seeks collaboration with other agencies
M&E	CD work is not always visible within FAO	CD is more easily tracked and accounted for in the new RBM framework	Visibility of CD outcomes attracts new funding, motivates staff and builds corporate CD pride

**[TABLE 1]** Differences between FAO's traditional and enhanced Capacity Development approach

## BOX 3: FAO CAPACITY DEVELOPMENT IN PRACTICE

### USING NATIONAL SYSTEMS AND LOCAL EXPERTISE

Using national systems and local expertise in CD has been a building block of FAO's multifaceted intervention Highly Pathogenic Avian Influenza Control and Prevention in Viet Nam. Since the outset of the disease, the Organization has been supporting the Government in its efforts to control the disease by upgrading existing individual capacities and improving the functioning of local reporting and surveillance systems. Massive human and technical resources were deployed by the Ministry of Agriculture and Rural Development. By helping to set up a National Steering Committee (still convening on a weekly basis) and district Steering Committees, the Organization made a clear commitment to work within existing national structures and their expertise.

#### **Highly Pathogenic Avian Influenza Control and Prevention: multifaceted intervention for Capacity Development in Viet Nam**

##### **Summary of the case**

The outbreaks of Highly Pathogenic Avian Influenza (HPAI) in several South-East Asian countries have raised serious economic and public health concerns. In Viet Nam, the first outbreak was reported in December 2003 in Ha Tay Province. By the end of February 2004, the disease had spread to 64 provinces. The Government of the Socialist Republic of Viet Nam requested FAO's support to control the outbreak and prevent human transmission. Several donors and UN agencies including FAO have been supporting the Ministry of Agriculture and Rural Development in this ambitious endeavour through focused CD interventions. As a result, there has been an improvement in: the epidemiology capacities of key veterinary staff; information flow and reporting systems; surveillance of large farms; and development of contingency plans. The effort is continuing under the 'Integrated National Operational Programme for Avian & Human Influenza 2006-2010'.

The full case can be found on the FAO CD Portal at <http://www.fao.org/capacitydevelopment/good-practices/en/>

## 2.3 HOW TO BEST SUPPORT CAPACITY DEVELOPMENT PROCESSES

To craft the appropriate type of CD support, it is important to understand patterns by which national CD processes unfold, i.e. *how* national actors in member countries unleash, strengthen, create, adapt and maintain capacity over time.

### **How do national capacities form?**

It is critical to remember that there is often neither linearity nor predictability in the unfolding of CD processes, because capacity development emerges from the interplay of several factors and their interaction with the context. Against this backdrop, national capacity development can be seen as an evolutionary process in which the strengthening of individual and organizational capacities influence one another and the enabling environment in a self-reinforcing loop.

Successful CD practices suggest the following “evidence” of capacity development, which can be found at the individual and organizational levels and in the enabling environment:

- > Individuals working within organizations in Member Countries strengthen their competencies and skills by engaging in learning and practicing on the job.
- > Individuals link with other national and international peers, and start to carry out more complex tasks at increasing scales.
- > Individual knowledge gradually becomes internalized and institutionalized in the organizations as individuals are put in the position to use the newly acquired knowledge/experience on the job, to share it both internally and externally, and can benefit from the right incentives and support.
- > Organizations gradually open up, form/join networks, gain internal and external legitimacy and deal with a greater level of complexity including engaging and influencing the enabling environment.
- > Incentive structures are reviewed, national policies and legislations are formulated or improved and mechanisms for implementing them are established so that organizations can function effectively.
- > Country actors commit and engage more actively in development activities, articulate objectives, prioritize and define national strategies.
- > Individuals working within organizations are further encouraged and motivated to keep up to date with emerging new issues and to deepen participation in global networks; a critical mass of motivated people is formed, helping bringing about and sustaining changes at country level.

### **What modalities can best support national CD processes?**

FAO and other external actors can contribute greatly to fostering national CD processes, provided the support is planned and sequenced strategically.

This means that CD is planned upfront and considers:

- > the three dimensions (“the big picture”)
- > appropriate entry points
- > appropriate timing, duration and modalities of the support
- > partners who may be called in to address aspects that are not within FAO’s comparative advantages.

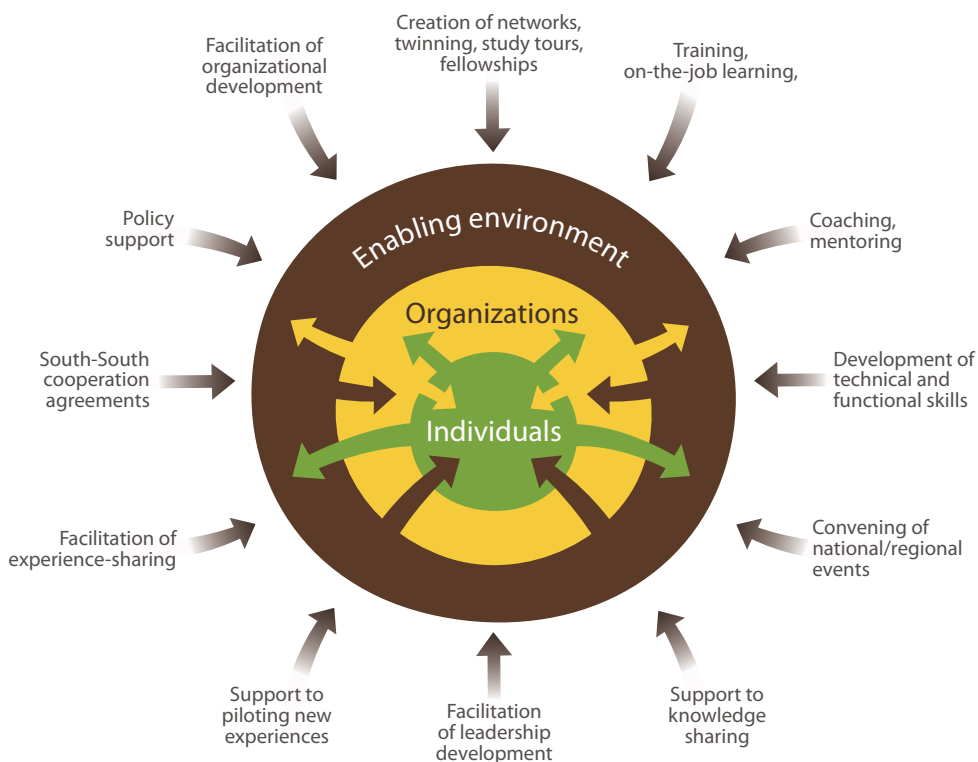
FAO can provide its CD support selecting from an ample choice of modalities targeting one or multiple entry points.

For example, delivering training and on-the-job learning solutions is one of the most common modalities that FAO employs to improve competencies and skills at the individual level.<sup>6</sup> However, for training to trigger and help institutionalize change processes within organizations (and in turn to increase national capacities to influence the global agenda), it has to be used in conjunction with other CD modalities which can further support the gradual uptake of changes across the dimensions. These may include advocacy measures, support to policy review, knowledge sharing, or support to pilot experiences.

Some examples of modalities addressing one or more of the three dimensions are provided in **Figure 3**.

---

<sup>6</sup>A Reference Manual on Good Training Practices for Effective Capacity Development will be available for FAO staff in 2011.



[FIG 3] Some modalities to support national capacity development processes

FAO's efforts to facilitate the participation of Africans at regional and international fora, workshops and other exchanges to strengthen their knowledge and build their confidence have been important to sustaining capacity. Many beneficiaries underscored the lasting benefits of opportunities provided by FAO to develop their confidence, enhance their communication and negotiation skills and exchange ideas. Such exposure helped some individuals influence the informal enabling environment.

Evaluation of FAO's activities on CD in Africa, main report, paragraph 145

## KEY POINTS FOR CHAPTER 2

- > In its Corporate Strategy on Capacity Development, FAO has subscribed to a number of Guiding Principles on CD, which form the basis of its involvement. Among these principles, Member Countries own and manage their development processes.
- > With Member Countries in the lead, FAO ensures that the design and sequencing of CD activities fit country circumstances and national development plans/strategies.
- > FAO can provide its CD support selecting from an ample choice of modalities targeting one or multiple entry points simultaneously. Training is only one modality and should be used in conjunction with other CD modalities for more sustainable impact.



# 3 A SYSTEMATIC APPROACH TO CAPACITY DEVELOPMENT

WHAT'S INSIDE:

- 3.1 FAO CAPACITY DEVELOPMENT FRAMEWORK
- 3.2 TWO TYPES OF CAPACITIES
- 3.3 THREE DIMENSIONS
- 3.4 USING A CAPACITY DEVELOPMENT CONCEPTUAL FRAMEWORK FOR ACTION

IN THIS CHAPTER YOU WILL:

- > LEARN ABOUT THE COMPONENTS OF FAO'S CAPACITY DEVELOPMENT FRAMEWORK
- > REVIEW EXAMPLES OF CAPACITY DEVELOPMENT INTERVENTIONS IN THE THREE DIMENSIONS
- > REFLECT ON HOW A SYSTEMATIC CD APPROACH CAN POSITIVELY INFLUENCE YOUR WORK





## 3.1 FAO CAPACITY DEVELOPMENT FRAMEWORK

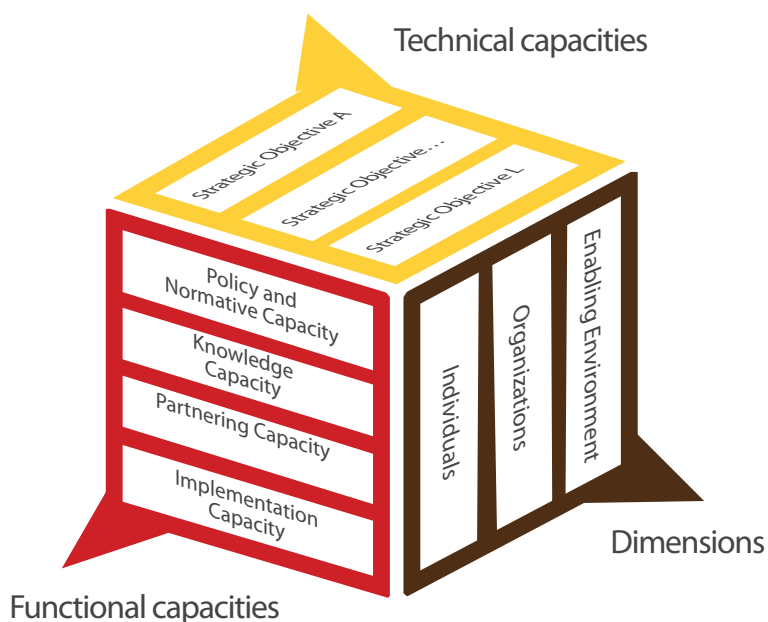
Supporting effective CD of partners in Member Countries requires a **systematic approach** that builds on the concepts and principles illustrated in the previous chapter.

This Chapter suggests a structured framework for identifying CD needs and planning interventions more systematically. Drawing on the UNDP model, the framework considers the specificities of FAO and embeds CD in the Organization's technical work. It is meant to help FAO broaden the scope of its technical CD work by integrating factors that will positively influence the impact and sustainability of such work.

The CD framework, introduced by the Corporate Strategy on Capacity Development, can help identify and analyse the key dimensions and the types of capacities that need strengthening.

The framework contains the following components:

- > Technical capacities
- > Functional capacities
- > Three dimensions of capacity



[FIG 4] The FAO CD Framework

These components are described in the sections that follow.

## 3.2 TWO TYPES OF CAPACITIES

To make the concept of capacity operational, the FAO framework differentiates two types of capacities: technical and functional.

Successful FAO programmes have demonstrated that both types of capacities are crucial for strengthening Member Countries' capacities in the area of ARD.

Traditionally FAO has focused on strengthening technical capacities of partners; now a shift towards supporting technical and functional capacities is taking place.

### BOX 4: EXCERPT FROM THE EXTERNAL EVALUATION ON CD IN AFRICA

"Many interlocutors said it was important for FAO to support the development of soft skills relevant to individual and organizational effectiveness [...] in such areas as ICT, participatory research, policy analysis and strategic planning, budgeting, marketing, along with soft skills related to leadership, creativity, negotiation, advocacy and motivation. In fact, many CD interventions fail because they have not taken into account soft skills. The process and modality of engagement can help to develop these skills, as will partnering to incorporate specialist input where required."

Evaluation of FAO's Activities on Capacity Development in Africa, Main Report, Paragraph 60

#### Technical capacities

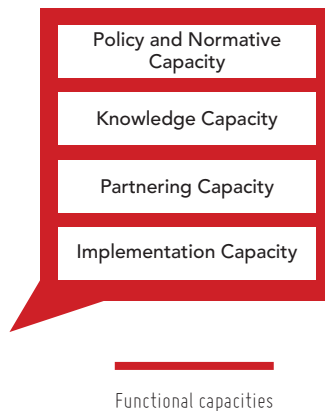


Technical capacities refer to capacities that Member Countries need to achieve the Millennium Development Goals. These may include the capacity to deal with technical aspects of sustainable natural resource management, integrated pest management, food safety standards, plant and animal diseases, epidemics, biotechnologies and in general all global challenges affecting ARD. Technical capacities correspond to FAO's main areas of work, which are prioritized in its Strategic Objectives (A-L).

FAO's technical expertise is widely acknowledged, valued and respected, and is considered as the main comparative advantage of the Organization. In fact FAO's major strength as a "global expert" was seen in its ability to provide direct advice and assistance on technical aspects. This was perceived as the best way to upgrade the capacities of national organizations in the various ARD domains.

As national or regional organizations become progressively more capable in technical capacity areas and can potentially rely upon other emerging sources of expertise (intergovernmental organizations, institutes, networks), FAO is gradually shifting its focus from being the direct provider of such information to playing a more facilitating role – connecting sources having the required specialized knowledge with governments, non-governmental organizations (NGOs), farmers and the private sector at field level.

## Functional capacities



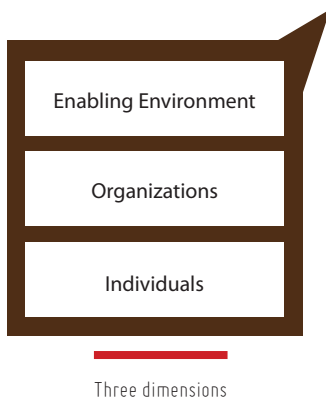
Functional capacities refer to capacities that Member Countries need to uptake and sustain changes in the ARD sector. In general, these include capacities relevant to individual and organizational effectiveness, such as management, leadership, budgeting, marketing, information and communication technology and strategic planning, in addition to soft skills such as communication and advocacy. These skills are perceived to be a necessary complement to technical CD interventions as they empower the actors to effectively apply the new knowledge/skills and upscale the results of the intervention.

FAO has identified four key areas of functional capacities that are particularly important to address global challenges in the ARD domain:

- > **Policy and Normative:** the capacity to formulate and implement policies and to lead policy and legislative reforms
- > **Knowledge:** the capacity to create, access and exchange information and knowledge
- > **Partnering:** the capacity to initiate and sustain networks, alliances and partnerships
- > **Implementation:** the capacity to manage (planning, implementing, monitoring and evaluating) projects and programmes efficiently and effectively

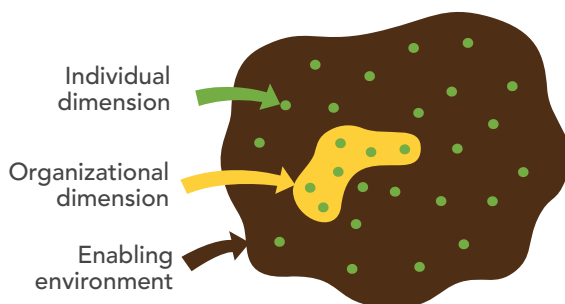
In Ghana, the fishery enterprise had been severely weakened for a long time by the absence of self-reliant fish-farming producer groups. In FAO's project Strengthening Organizational Capacity of Fish Farmer Groups (2002-2004), management and organizational capacities were determined to be among the key factors leading to functional and sustainable producer groups. The project complemented technical training in production technologies with initiatives to strengthen management and organizational capacities of fish farmers – such as record keeping, business management, market-related issues – while facilitating their access to information. This combination of skills enabled farmers to scale up and move beyond subsistence farming. (TCP/GHA/2904)

### 3.3 THREE DIMENSIONS



As discussed in Chapter 2, a fundamental condition for a country to reach its developmental goals lies in its capacities at individual and organizational levels, and in the enabling environment. Each of these three dimensions – individual, organizational and enabling environment – works interdependently with the others and influences the overall impact of a CD intervention.

Understanding the capacities of a country in the three dimensions, identifying areas for strengthening capacities and designing appropriate interventions require a holistic perspective and an analytical view – in order to see “the forest” (i.e. the interconnections among dimensions and within the context) and the “trees” (i.e. the single dimensions) at the same time. **Figure 5** provides a representation of the three dimensions.



**[FIG 5]** The three dimensions of CD

#### Individual dimension

Capacities are developed at the individual dimension to lead to changes in skills, behaviours and attitudes among a wide range of actors in the ARD sector (such as farmers, producers, traders, food inspectors, policy makers, administrations and staff of organizations). Measures may include the strengthening of knowledge, skills, motivation and values. Training is only one modality through which capacities at this dimension are strengthened, together with support to knowledge sharing, networking and twinning, to mention only a few. The specificities of each situation should be considered in designing the appropriate intervention.

Since the beginning of 2007 the UN has been undertaking the “Delivering as One” process as part of the UN Reform in eight countries. In one of the countries, Tanzania, FAO has taken the lead in designing an EC-FAO e-learning course entitled “Food Security Information Systems and Networks”. The tool has helped national actors assess systems in Tanzania and design activities to establish a more coordinated cross-sectoral analysis system in the country.

Additional information on the CD Portal <http://www.fao.org/capacitydevelopment/en/>

## Organizational dimension

Competent individuals are not sufficient to make a capable organization.

*Organizations* are defined as “groups of individuals bound by some common purpose to achieve objectives”.<sup>7</sup> *Organizational capacity* refers to the collective capability of members to achieve their organization’s goals.

Strengthening organizational capacities consists of those measures taken to improve the overall functioning and performance of an organization, and is often noted in changes to organizational mandates, systems, processes or priorities. This may be applied to any type of organization relevant to the ARD sector, such as central and decentralized government agencies and ministries, social protection services, inspectorates, laboratories, national agricultural research systems, global and regional economic commissions, enterprises, cooperatives, chambers of agriculture, consumer groups, producer associations, community-based organizations, NGOs, and formal and non-formal education and training institutes.

Of course the organizational dimension has a tremendous impact on how individuals develop their competencies and how they can make use of their capabilities within the organization. Issues such as motivation, incentives, career prospects and the quality of managerial practices are important aspects to retain qualified staff.

In the late 1980s Syria started moving away from a centrally planned into a more market-oriented economic system. In this new environment, the need emerged for developing new, flexible and sustainable technical and institutional capacities in agricultural policy making. As part of an integrated intervention, the Policy Support group of FAO established and supported a **National Agricultural Policy Centre (NAPC)**, which has been self-sustaining since 2007. Assistance was directed towards: enabling the centre to function effectively with appropriate equipment and staff, and effective working and management practices; providing intensive on-the-job training, study tours, basic courses in agricultural economics and statistics as well as post-graduate studies abroad; promoting the production by international and national staff of studies on issues of relevance for agricultural policies; establishing NAPC as an important reference point in Syria for data and information on agriculture by creating a data base and library; and enabling NAPC to become a forum for national policy dialogue.

Source: technical Cooperation Department, Policy Assistance and Resource Mobilization, [http://www.fao.org/tc/tca/capacity\\_en.asp](http://www.fao.org/tc/tca/capacity_en.asp)

<sup>7</sup>Douglas North (1990), *New Institutional Economics*

## Enabling environment

The enabling environment is the context in which individuals and organizations put their capabilities into action, and where capacity development processes take place. It includes the institutional set-up of a country, its implicit and explicit rules, its power structures and the policy and legal environment in which individuals and organizations function.

Changes to the enabling environment influence how organizations and individuals behave and progress. Such changes may involve policy reform in agriculture sectors or related areas,<sup>8</sup> changes to legislation, strategic exercises in country planning and prioritization, changes to incentive systems, or culture changes.

Since 2005 the EC/FAO programme has supported national and international efforts to create a more **conducive policy framework for food security** in Sudan through guidelines, institutional mapping, food security analysis, and technical guidance to national task forces. The major achievements of this project have been: the initiation of a process of reform of the institutional set-up for food security; a gradual inclusion of food security-related benchmarking to monitor sectoral policy performances; and an overall increase of ownership of and control over food security issues by national institutions.

Additional information on the CD Portal, <http://www.fao.org/capacitydevelopment/en>

## 3.4 USING A CAPACITY DEVELOPMENT CONCEPTUAL FRAMEWORK FOR ACTION

A systematic CD approach can add value to FAO's work in the following ways:

- > It provides a common framework for bringing capacity development issues to national policy dialogue.
- > It ensures coherent approaches to CD in the context of country programming.
- > It offers a common ground for assessing capacities in a specific sector and designing appropriate capacity development projects/programmes.
- > It provides a common language for presenting FAO's CD role/strategy to partner organizations and governments.

---

<sup>8</sup>Examples of policy domains in the agriculture sector that need attention in capacity development interventions include: policies for managing natural resources; trade policies for regional and multilateral trade negotiations; rural development policies for increasing incomes and human capital through investments in physical and social infrastructure; and institutional reform policies related to decentralization of agricultural services through the public sector and privatization or transfer to non-governmental organizations.

## BOX 5: FAO CAPACITY DEVELOPMENT IN PRACTICE

### CD AND COUNTRY PLANNING

Clara is Senior Policy Officer in Zubonia Regional Office, West Africa. Four countries in her region are embarking on country programming (CP) processes at the same time. Draft CP documents have been produced that contain long shopping lists of potential needs in the ARD sector for FAO to address. Capacity development is mentioned in the 95 percent of the lists, without much consistency or rationale. She is requested by the Regional Coordinator to provide advice.

- Q Drawing on FAO's conceptual framework for CD, what type of advice could Clara provide?**
- A** She can encourage a more in-depth situational analysis for each of the relevant sectors that take into account the three dimensions of CD – the individual, organizational and policy environment dimensions - and the inter-linkages among them.
  - A** She can support a thorough reflection on the nature of the capacity problems identified in the CP documents, encouraging actors to identify the type of functional capacities that would help make their technical capacities more sustainable.
  - A** She can promote a consolidation and prioritization of CD needs around logical clusters consistent with FAO's comparative advantages – including envisioning the type of modality/intervention required to address the needs.

### CD AND PROJECT PROPOSALS

Laszlo is a Forestry Officer in FAO HQ. He has been requested to prepare a proposal for a CD project in Ximania, Central Africa to support strengthening of national preparedness in the Ministry of Forestry to respond to the consequences of seasonal floods.

- Q How can Laszlo draw on FAO's conceptual framework for CD to prepare the project?**
- A** He can convene an initial workshop with key stakeholders/interlocutors and introduce a discussion on existing capacity assets and needs in technical and functional areas at the individual, organizational and policy levels.
  - A** He can bring examples of functional capacities that are particularly important in strengthening the ability of the Ministry of Forestry to react to crisis (such as the ability to identify and design relevant policies, to access early warning information, to participate in and contribute to regional networks, and to manage and lead the early-warning process) and ensure a common understanding and commitment by national actors to improving these capacities.
  - A** He can discuss with stakeholders the most appropriate modalities to address the capacity needs identified, stressing the need for an integrated approach consistent with the CD framework

## FAO CAPACITY DEVELOPMENT IN PRACTICE

### CD AND ADVOCACY

John is an FAO Representative of Country Paledonia in South-East Asia. He has been requested to assist the newly appointed Minister of Agriculture to identify national priorities in ARD for the near future and to provide advice on the role that FAO can play.

- Q How can John use FAO's conceptual framework for CD to advocate for stronger country commitment to CD?**
- A** He can illustrate FAO's CD guiding principles and explain that CD is part of FAO's core business.
  - A** He can encourage the Ministry of Agriculture to promote a sector-wide assessment of the capacity strengths and weaknesses of the main ARD actors, insisting on the need to review functional as well as technical capacities in the three dimensions.
  - A** He can explain how FAO intends to support national actors in developing their capacities through an integrated approach that puts country ownership and commitment at the core.

### CD AND TRAINING

Leila is Technical Officer in FAO's Country Office in Smetonia. The office has been supporting community-based enterprises for several years. Leila is coordinating a pilot project to provide training in enterprise development to local communities.

- Q How can Leila use FAO's CD framework to make the project more sustainable?**
- A** She can encourage relevant actors to undertake a capacity assessment to identify elements from within the "big picture" that may influence the development of capacities, and that may need support. For example, she may look at the needs of individual community members and community associations, and consider whether existing policies might need to be adapted to better support community enterprise development.
  - A** She can consider combining training activities (which address competencies of individuals) with measures to promote changes within the enabling environment such as: advocacy and communication measures to increase government awareness of and political will to address community enterprise development.
  - A** She can facilitate discussions, exchange of experiences and consensus building on the need to adapt policies that facilitate community enterprise development (for example, access to credit).

## KEY POINTS FOR CHAPTER 3

- > To make its CD approach more systematic and sustainable, FAO adopted a conceptual framework consisting of two capacities – technical and functional – working across the three dimensions – individuals, organizations and enabling environment.
- > Functional capacities are a necessary complement to technical capacities as they empower national actors to effectively apply the new knowledge/skills and upscale the results of the intervention.
- > Each of the three dimensions – individual, organizational and enabling environment – works interdependently with the others and influences the overall impact of a CD intervention.







## 4.1 WHAT IS SPECIAL ABOUT CAPACITY DEVELOPMENT IN PROGRAMMING?

It may be useful now to look at how CD is best integrated in FAO's day-to-day work.

What programming mechanisms are most suitable to capture the incremental nature of CD? How can existing capacity assets be identified and analysed? What types of evidence should be monitored and evaluated? And how can change be made sustainable after a project/programme has ended? These are some of the typical challenges involved with programming CD support in Member Countries.

This Chapter will discuss, at an introductory level, the process of engaging in CD programming to address some of the challenges indicated above. A more in-depth discussion will be covered under Learning Module 2 on CD Approaches in FAO Projects, which will also offer a range of tools that could be useful when designing projects and programmes that have CD components.

The most successful and sustainable of the interventions were those that provided: interdisciplinary support across all three CD dimensions over time; ongoing links with, and access to, FAO expertise; and activities anchored in local or national institutions.

Evaluation of FAO's Activities on CD in Africa, main report, paragraph 136

FAO can boast hundreds and hundreds of projects that have produced significant results in their respective areas. But have they produced lasting impact? Did they result in increased capacities of Member Countries?

Experiences are mixed – success is intermingled with frustration in the stories recounted. In some cases there was a problem at the receiving end: corruption, lack of real commitment by national actors. More frequently, however, the problem was found to be in the way CD interventions were programmed: poor assessment of needs, insufficient attention to context, short timeframes, activities not built into existing institutions – to mention few of the major obstacles.

Indeed, CD programming processes can be improved.

CD programming is fully integrated within FAO's broader Result-Based Management (RBM) approaches and procedures. Yet, the traditional perception of programming needs to be broadened to take into account the intrinsic nature of capacity development – i.e. a process that is not linear (in contrast with the RBM perspective) but instead tends to be associated with multiple causes, solutions and effects, some of them unintended or essentially unpredictable.

The clear implication is that we need to recognize and acknowledge that there are specific challenges in CD and that we need to cater to them in FAO programming approaches.

Collaborative mechanisms, iterative planning and reflective practice are some of the key elements that can help address such challenges. **Box 6** illustrates how these elements contributed to a successful CD initiative in FAO's post-Tsunami intervention in Banda Aceh.

## BOX 6: FAO CAPACITY DEVELOPMENT IN PRACTICE

The project Rehabilitation and sustainable development of fisheries and aquaculture affected by the tsunami in Aceh Province aimed at bridging the post-tsunami recovery phase in the fisheries sector to longer-term development. It promoted a more sustainable management of fisheries resources, mainly through CD of stakeholders ranging from fishers to government planners.

Some key points of the programming process:

- > **Participatory and collaborative methods** were used from the early phase of project planning, through joint validation of the results framework and joint development of annual work plans that were adjusted and modified based on stakeholder feedback. In addition to building trust with stakeholders, such methods helped promote ownership and commitment throughout implementation, hence laying the ground for the sustainability of the project.
- > **A context analysis and risk assessment** were carried out early in the project. This helped to identify areas in the policy domain that required change, and to analyse elements of the context that could represent obstacles for the uptake of project outcomes.
- > **Careful identification of local partners** to implement the project was another key action of the early phases of the project and continued throughout the implementation phases. This ongoing activity addressed the risk that partners identified might need to be changed (for example, for insufficient performance) as the project evolved. The project invested in and capitalized on the capacities of local partners as potential “champions” of the changes that the project was meant to promote. As such, the selection process took quite a long time.
- > **Joint planning of changes in roles and responsibilities** in the context of an exit strategy took place well before the project ended. Planning considered who would do what and when, and what type of capacity needs local partners had in order to take up such new roles.
- > **Attitudes** made the whole difference in the project. FAO did not perceive its role as problem-solver in the project; instead the Organization was well aware of its facilitative role to catalyse learning and changes with local partners, being ready to learn in turn from them.

OSRO/INS/601/ARC – Rehabilitation and sustainable development of fisheries and aquaculture affected by the tsunami in Aceh Province, Indonesia. Final Project Report and Notes on Process, January 2007 – June 2010, FAO.

## 4.2 FIVE KEY STEPS FOR CAPACITY DEVELOPMENT IN PROGRAMMING

Five key steps are essential for enhancing programming of CD support in FAO: engaging in sustained dialogue; understanding the context, including assessing capacities; engaging in CD-focused design; using a participatory and adaptive implementation approach; reflecting on outcomes and learning.

These steps feed sequentially into a programming process in which expected capacity outcomes develop through repeated cycles (i.e. iterative) and through small achievements (i.e. incremental), thus allowing all actors to build on earlier successes using the expertise that has been developed. At each iteration, design modifications and/or adjustments are made based on reflection and learning.

A thorough illustration of the steps, together with a list of tools that can help FAO staff put them into action, is provided in Learning Module 2.

**Capacity Assessment:** Assessing needs has emerged as the key area for learning in FAO. An **FAO-specific tool for assessing capacities** at the levels of individuals, organizations and enabling environment was developed to address this need. The tool is included in the Learning Module 2 – Capacity Development Approaches in Programming of the Capacity Development Learning Programme; it can also be accessed from the FAO Capacity Development Portal at: <http://www.fao.org/capacitydevelopment/en/>

## 4.3 CAPACITY DEVELOPMENT DOES NOT STOP WHEN A PROJECT HAS ENDED

As a final consideration, it is important to reiterate that CD does not stop with the termination of the project/programme. CD is an iterative process that requires long-term commitment, constant adjustment and follow-through.

Pursuing long-term engagement is not easy. Most often, FAO's engagement terminates with the project's end and no follow-up is planned systematically. In addition, even successful projects often do not get beyond the piloting stage, either because donors do not extend financial support due to priority shifts, or because CD interventions have not been built strategically into national institutions, so there is no **political will** by the countries to institutionalize and upscale results.

An appropriate selection of FAO's funding modalities is required to ensure that these promote sustainability.<sup>9</sup> Where FAO cannot extend the length of its involvement, it must work with others and promote **partnerships** to strategically assist countries in completing the full extent of the required CD.

The case of Farmer Field Schools in India (**Box 7** below) provides an excellent example of an iterative intervention that achieved incremental results, which was eventually scaled up.

---

<sup>9</sup>There is consensus in FAO that, because the Technical Cooperation Programme (TCP) is by its very nature a short-term modality, it is not best placed to address the long-term nature of CD. TCP may still be effective in CD-oriented interventions but they need to be undertaken in a more integrated way.

## BOX 7: FAO CAPACITY DEVELOPMENT IN PRACTICE

### UPSCALING APPROACHES AND METHODOLOGIES

A long-standing partnership between the Government of India and FAO has enabled Farmer Field Schools (FFSs) to be introduced and subsequently scaled up. In Andhra Pradesh, FFS has become the official method to train farmers in sustainable approaches to agriculture. The main modality of intervention was the training of farmers and extension officers; however, complementary means were used to build awareness at policy level of the importance of strengthening farmers' capacities and skills. A large cadre of trained FFS farmers and facilitators has been created in the state departments of agriculture and horticulture, universities, international and national research centres, NGOs, foundations and the private sector.

Some of the factors contributing to the success of the programme are:

- > **Government commitment:** The Government is committed to innovative approaches to building the capacities of its extension service to meet farmers' needs, and supported the introduction of the FFS approach, leading to a new National Policy for Farmers in 2007.
- > **Stable/strategic allocation of resources:** The central government and three state governments have allocated funds to programmes of farmer training in cotton IPM since 2002.
- > **Mix of intervention modalities:** A range of international meetings, workshops, and seminars was organized as complementary instruments to sensitize policy-makers on the need to adopt educational programmes enhancing farmers' knowledge.

The full case can be found on the FAO CD Portal at <http://www.fao.org/capacitydevelopment/good-practices/en>

## KEY POINTS FOR CHAPTER 4

- > For more impact and sustainability, five key steps should be systematically incorporated in CD programming: engaging in sustained dialogue; understanding the context, including assessing existing capacities; engaging in CD-focused design; using a participatory and adaptive implementation approach; and reflecting on outcomes and learning.
- > Pursuing long-term engagement is not always easy, but is necessary to ensure the sustainability of CD interventions. Adequate funding modalities, iterative approaches and promotion of partnership arrangements can help with this.







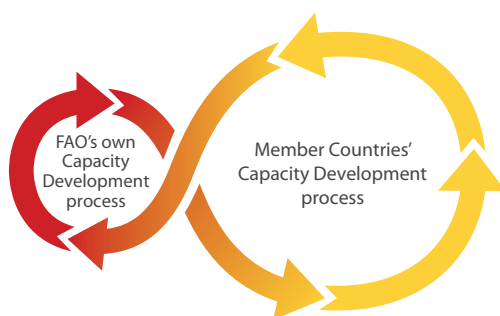
## 5.1 SHIFTING ROLES, RESPONSIBILITIES AND ATTITUDES

*Real promotion of national ownership requires an attitudinal and behavioural change: FAO staff need to learn “to let it go”; that is, moving from an implementer to a facilitator role. We must first of all ensure a real understanding of what country ownership means.*

Excerpts from: FAO Internal Needs Assessment on Capacity Development, interviews with FAO staff members, January 2010.

FAO is convinced that to support others in their CD processes, an internal process of CD and organizational learning are required. As illustrated in **Figure 6**, CD is a joint learning and sharing process.

All staff are affected by such process, from FAO Representatives and Programme Coordinators to Technical Officers and National Staff. External Consultants, both national and international, deserve special attention in this process as they are at the front line of delivering much of FAO’s CD work.



**[FIG 6]** Capacity Development – a double learning loop

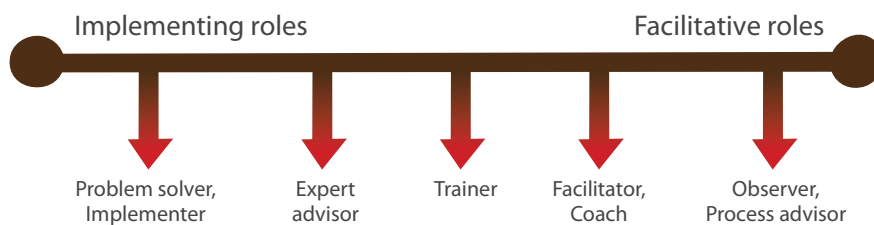
An enhanced CD practice requires a shift of the Organization from a problem-solving or “direct” role to a facilitative or “indirect” role. What differences does it make and what does it imply in terms of changes in responsibilities, behaviours and attitudes of FAO staff?

The theory recognizes a range of possible roles for external agencies in development work, as shown in **Figure 7**.

At the one end under the **problem-solver/implementer** role, the external expert undertakes the analysis of the problem mostly on his/her own, and proposes and implements a suitable solution based on his/her knowledge and expertise.

At the other end, we find the **observer and process advisor** role in which the external expert enables the national partner to work on the problem independently and develop its own solutions. In this situation, the expert mainly pays attention to the manner in which the partner handles the matter, as the ability to solve problems is more important than the problem itself.

<sup>10</sup>Adapted from *Roles and Competencies in Consulting*, V-EZ inWent, page 40



[FIG 7] Range of possible roles for external agencies

Clearly, neither of the two models is completely applicable in its pure form. Experience confirms that usually there are no clear-cut roles in development work. External agencies such as FAO are frequently called upon to adopt multiple or mixed roles within the same intervention, depending on the context, the capacities of national actors and the type of task, challenge or need to be addressed.

A more realistic and generic distinction for FAO can be made between implementing and facilitative roles, as shown in **Table 2**<sup>11</sup>.

Features	FAO implementing roles (expert advisor, problem solver, trainer, implementer)	FAO facilitative roles (coach, facilitator, process advisor)
Objective of intervention	To solve the problem on behalf of partners; to provide technical knowledge to supplement or upgrade the knowledge base of partners	To improve the problem-solving ability of partners; to guide action and enable reflection and learning on the job
Ownership of results	Shared (FAO-partners)	Lies with partners
Responsibility and accountability for the process	Lies with FAO expert	Joint (FAO-partners)
Type of processes involved	Joint identification of problem and definition of appropriate solutions (linear process)	Ongoing interaction FAO-partners, action-reflection cycles (iterative & incremental process)
Type of expertise/behaviour required	Technical expertise in ARD, communication & training-delivery skills	Technical expertise and process-related skills, ability to engage with partners
Examples of services	Technical assistance, training, problem analysis, concept proposals, demonstrations	Coaching and mentoring, facilitating consensus-building, knowledge- and experience-sharing, piloting, network creation
Useful when...	Substantial technical know-how is missing or largely inadequate.	Sustainability of the solution and development of capacities is the priority.

**Table 2:** FAO implementing vs. facilitative roles

<sup>11</sup>Adapted from *ibid*, *Characteristics of expert and process consultancy*, page 16

## The challenges of shifting to facilitative roles

Whereas the ability of FAO to play the role of expert advisor or other implementing roles is undisputed, there are great challenges involved with shifting to more facilitative roles. These challenges do not reside only at the delivery end.

For example, there may be instances in which a “hand-out” mentality prevails with national partners, who may seem to resist adopting more leading roles. This may even lead to the paradoxical situation in which, while FAO strives to progressively adopt more facilitative roles, national partners, especially at community levels, expect ready-made solutions to their problems.

*In this project, FAO is delivering activities by itself with the assistance of international consultants. However, we appreciate that this is not cost-effective in the long term and that we should not be the ones doing this work. We tried to identify regional organizations to take over this work, but we have not been very successful so far. In our last attempts, we realized that the regional organizations were considering themselves as the “implementers” and were looking at FAO as the fund provider. So it is hard to reason in terms of ownership as they do not seem to even want such ownership at all.*

Excerpts from: FAO Internal Needs Assessment on Capacity Development, interviews with FAO staff members, January 2010

The challenges include:

### **At the receiving end (national partners):**

- > lack of motivation and self-confidence based on experiences with top-down planning practices of external development programmes
- > over-estimation of the value of foreign resources, solutions and knowledge as opposed to internal potential and resources

### **At the delivering end (FAO):**

- > protective attitude with regard to the scope of own work, and concerns that FAO would lose ground if work is handed over
- > difficulty in building trust with national actors, also in view of the weak FAO presence in the field and the usual short timeframes of engagement
- > weak institutional practice of planning for an exit strategy together with national stakeholders from the outset of the project/programme, which would prepare the latter for changes in roles/responsibilities after the project ends
- > generally weak competencies and skills in process-related areas, in particular insufficient ability to identify national potential and motivate actors through positive inquiry.

## 5.2 COMPETENCIES FOR CAPACITY DEVELOPMENT

Enhancing corporate CD practices demands a great investment on the part of FAO's staff, in terms of time, energy, commitment and motivation to learn. It also requires that the Organization support the development of a new set of competencies of its staff while ensuring an enabling environment that encourages the development of such competencies.

### What are the key competencies that should be supported?

*The ideal attitudes and skills for FAO staff to promote CD are: ability to interact on an equal footing with national counterparts; ability to engage personally and to take risks; commitment and involvement; ability to listen, to be questioned and probed; and solid technical competences.*

*Our CD role should be that of helping national governments identify their priorities, making them aware of the implications of different policy choices and negotiating the most appropriate and realistic options. This requires exposure to a variety of developing-country situations; management skills; ability to relate and work with people; and ability to develop and implement projects.*

Excerpts from: FAO Internal Needs Assessment on Capacity Development, interviews with FAO staff members, January 2010

A competency framework<sup>12</sup> for CD is provided in **Figure 8**.

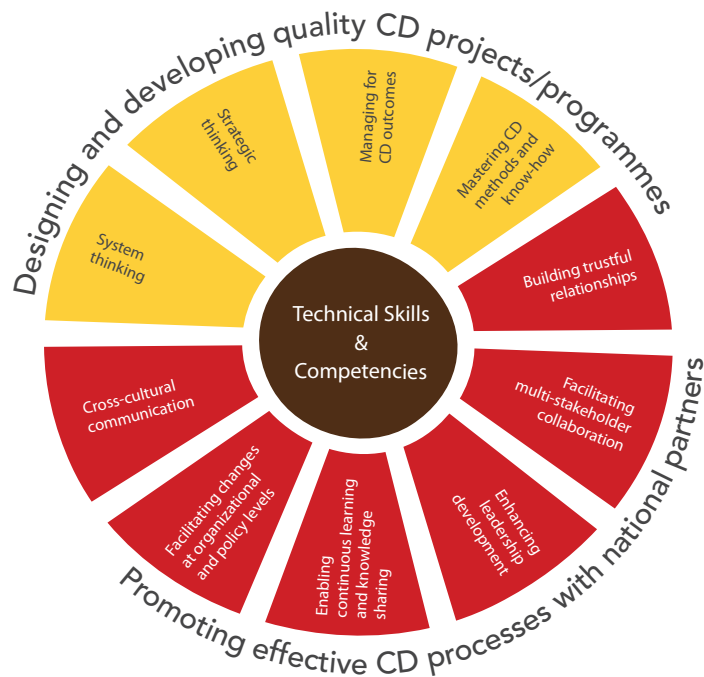
The framework does not introduce new types of competencies in FAO.<sup>13</sup> It leverages existing competencies from within the current FAO Competency Framework (Core Competency, Managerial Competency and Professional Enabling Competency areas)<sup>14</sup> and consolidates them around a common corporate objective – increasing FAO's effectiveness in supporting CD of Member Countries.

---

<sup>12</sup>The competencies have been identified from three sources: (i) feedback from FAO staff engaged successfully in CD-sensitive programming; (ii) analysis of the nature of CD processes and the role of external actors supporting such processes; and (iii) literature review on successful cases of CD and how they were influenced by the people involved in CD.

<sup>13</sup>Three competencies of the suggested CD framework are currently not covered in the FAO competency framework. These are: CD methods and know-how, strategic thinking and system thinking.

<sup>14</sup> FAO Competency Framework, 2006.



[FIG 8] A competency framework for Capacity Development in FAO

The technical subject-matter competencies in the ARD sector are at the core of the framework. As repeatedly stated in the module, the highly specialized technical competencies of FAO staff represent FAO's greatest pride and comparative advantage and are necessarily part of any CD competency framework.

However, for better results, subject-matter competencies of FAO staff need to be blended with an additional set of CD-related competencies, which have been grouped in two areas:

**(i). Competencies for designing and developing quality CD projects/programmes**

The focus of this first set of competencies is about internal efficiency, coherence and effectiveness of FAO's work. It is related to the ability to think strategically and holistically and master the skills needed for putting in place sound CD interventions.

- > Systems thinking
- > Strategic thinking
- > Managing for CD outcomes
- > CD methods and know-how

**(ii). Competencies for promoting effective CD processes with national partners**

This second set is related to the ability of the FAO staff to engage with national actors in an effective way and craft collaborative processes that contribute to the development of sustainable capacity.

- > Cross-cultural communication
- > Facilitating changes at organizational and policy levels
- > Enabling continuous learning and knowledge sharing
- > Enhancing leadership development

- > Facilitating multi-stakeholder collaboration
- > Building trustful relationships

### Why do we need a competency framework for CD?

There are some good reasons why it is worthwhile consolidating CD-relevant competencies into a common framework:

- > It provides a corporate shared view on the standards needed for promoting effective CD.
- > It guides internal performance management processes and the strategic posting of staff in decentralized offices of Member Countries.
- > It orients FAO staff when recruiting consultants for CD-related tasks, and when identifying national partners.
- > It provides the foundation for designing corporate learning solutions and for supporting staff in developing their CD-related competencies and skills.

## 5.3 STAFF DEVELOPMENT SOLUTIONS TO IMPROVE CAPACITY DEVELOPMENT-RELATED COMPETENCIES

An ample selection of learning solutions is available at FAO to improve CD-related competencies.

These include Face to Face learning courses offered by CSH in various “soft” areas such as Communication, Facilitation, Cultural Effectiveness. Dedicated CD courses are under development by OEKC, including: a Learning Module on **CD Approaches in FAO Projects**, a Reference Manual on **Good Training Practices for Effective Capacity Development**, a Learning Module on **Organizational Development**. A wide collection of e-learning resources is also available from the FAO Capacity Development Portal. A full list of references is provided at the end of this module under CD Resources and learning.

Clearly, strengthening competencies alone is not sufficient to improve FAO’s organizational practice. Staff and managers in fact can only translate their competencies into successful organizational performance if the organization aligns its programming processes, operating procedures, and institutional and administrative arrangements with this objective.

### KEY POINTS FOR CHAPTER 5

- > An enhanced CD practice requires a shift of the Organization from a problem-solving or “direct” role to a facilitative or “indirect” role.
- > Realistically, FAO may be required to adopt multiple or mixed roles within the same intervention, depending on the context, the capacities of national actors and the type of task, challenge or need to be addressed.
- > To take on facilitative roles, FAO staff must learn how to better engage with partners, promote knowledge sharing and learning, and craft the right types of processes that can best strengthen the ability of partners to solve those problems on their own.

# KEY MILESTONES AND EMERGING TRENDS: THE INTERNATIONAL CONSENSUS ON CAPACITY DEVELOPMENT

WITHOUT ROBUST CAPACITY – STRONG INSTITUTIONS, SYSTEMS, AND LOCAL EXPERTISE – DEVELOPING COUNTRIES CANNOT FULLY OWN AND MANAGE THEIR DEVELOPMENT PROCESSES.  
**ACCRA AGENDA FOR ACTION**

### I. Key milestones

CD is a core concern of the international development community and an essential component for the achievement of the Millennium Development Goals. A summary follows of the key milestones that contributed to generate the current international consensus on CD.

- > **UN General Assembly, 2004.** In its resolution 59/250 of December 2004, the UN General Assembly reflected the determination of the International community to improve results in this area as part of the UN effort to overcome poverty, build a food secure world and ensure environmental sustainability. The resolution called upon the UN organizations to “provide further support to the efforts of developing countries to establish and/or maintain effective national institutions and to support the implementation/the devising of national strategies for capacity building”; and it “encourages all organizations of the United Nations development system to include reporting on their capacity building activities in their annual reports to their respective governing bodies”.
- > **Paris Declaration on Aid Effectiveness, 2005.** CD took a central role in the Paris Declaration. Signed by over 100 countries and organizations, it established a set of concrete commitments and areas that donors and partner countries pledged to monitor jointly from 2005-08. As such, it redefined the conditions of the development partnership. It is grounded on five mutually reinforcing principles: ownership, alignment, harmonization, managing for results and mutual accountability.
- > **Organization for Economic Co-operation and Development – Development Assistance Committee (OECD DAC), 2006.** Drawing lessons from the last two decades of development cooperation, the good practice paper “The Challenge of Capacity Development: Working Towards Good Practice” provided the conceptual foundations that changed our understanding of CD. OECD DAC, in particular, pointed to the shortcomings of technical cooperation, which has led to numerous micro-successes (such as better infrastructure, health care, education, housing and improved means of productive livelihoods in agriculture), but has not resulted in the development of sustainable capacities to enable countries to manage their own development independently.
- > **UN Triennial Comprehensive Policy Review (TCPR), 2007.** CD had been highlighted by members as a priority in the TCPR, given its role as a major component of UN-level reform. In its Resolution 62/208 the TCPR reaffirms that each country must take primary responsibility for its own development and that national efforts should be complemented by supportive global programmes, measures and policies aimed at expanding the development opportunities of developing countries. The resolution also stresses that CD is a core function of the UN development system and recommends it take measures to ensure a coherent and coordinated approach in its support to CD efforts of programme countries.
- > **Accra Agenda for Action (AAA), 2008.** The AAA was adopted in Accra on 4 September 2008 as a result of the High Level Forum on Aid Effectiveness. It reflects the international commitment to support the reforms needed to accelerate an effective use of development assistance, focusing on the main technical, institutional and political challenges to full implementation of the Paris principles. It emphasized a number of priority areas for action concerning, among others, enhancement of country system capacity, integration of CD in national and sector strategies, increased engagement of civil society and private sector, and enhancement of the relevance and quality of CD support.

## II. Emerging trends for putting CD into practice

While there is international consensus on the new understanding of CD, operational approaches, frameworks and methods to put CD into practice are still taking shape. The following can be considered as some emerging trends:

<p><b>A. From focus on single aspects towards a systemic perspective</b></p>	<p>Capacity emerges through the interplay of capabilities of individuals, organizations and the larger environment. Programmes and projects that focus on only one element of such a complex system – hence neglecting the wider system in their analysis and interventions – will not be effective in promoting CD. A systemic perspective is essential in assessing the level and status of capacity components in a given country and in designing effective interventions.</p>
<p><b>B. From blueprints towards flexible planning and situation-specific solutions</b></p>	<p>An endogenous and dynamic process such as CD is by nature unique and cannot be guided by blueprint plans and fixed solutions. Agencies involved in genuine CD processes need to pay attention to the complexity and specificity of the situation and be flexible in their implementations. A careful diagnosis of capacity needs is essential to identify appropriate interventions.</p>
<p><b>C. From knowledge transfer towards strengthening endogenous processes of knowledge creation</b></p>	<p>CD is (no longer) a question of transferring knowledge from North to South. National processes of knowledge creation can be supported by external agents, for example by assisting partners to access and adapt the knowledge needed (e.g. through South-South collaboration) and by facilitating continuous learning and reflection processes.</p>
<p><b>D. From fixed planning towards incremental processes of management</b></p>	<p>CD resists traditional programming practices consisting of linear planning, logical cause-effect relations and predictability of results. The outcomes of CD interventions cannot be exactly predefined or planned. A continuous action- reflection cycle combined with a clear vision is required to address the incremental nature of CD.</p>
<p><b>E. From training towards learning</b></p>	<p>The practice of many development organizations is frequently dominated by providing ready-made solutions through technical assistance or trainings.<sup>15</sup> Genuine CD involves more profound change processes characterized by reflection and continuous learning. Training can be an element in supporting learning, but for promoting CD other instruments are needed, such as mentoring, coaching and blended learning. Only a wide portfolio of learning instruments can, in the right context, support learning, which in turn stimulates reflection, the creation of knowledge and thus the development of capacity.</p>
<p><b>F. From implementation towards facilitation</b></p>	<p>Understanding CD as an open, dynamic, multi-dimensional learning and change process means that CD cannot be “implemented” by outsiders. External agencies can only support, facilitate and nurture CD processes once in motion. CD is essentially dependant on internally motivated partners taking ownership of changes to move towards their vision.</p>
<p><b>G. From quantitative measurement of outcomes towards more holistic approaches</b></p>	<p>Because of the “emergent”<sup>16</sup> character of CD, traditional methods of outcome measurements mainly based on predefined indicators and quantitative efficiency measures may not be sufficient. Qualitative approaches<sup>17</sup> based on reflection, self-awareness and multi-stakeholder dialogue offer possibilities to track capacity outcomes in an evidence-based way. Such reflective monitoring is also a valuable learning tool and a driver of the CD process itself.</p>
<p><b>H. From quick fixes to long-term engagement</b></p>	<p>CD is not a technical process, quickly solved by transfer of knowledge, skills or organizational models. It needs long-term commitment based on trustful relationships and the willingness to co-create processes. This recognition drives the process of moving from small projects towards programmes, which provide the “space” for long-term engagement with a clear orientation towards intended outcomes and impacts.</p>

<sup>15</sup>Kaplan, A., ‘The development of capacity’, *Development Dossier*, NGLS, New York, 1999, available at <http://www.un-ngls.org/developmentdossier.htm>

<sup>16</sup>*Emergence is a key concept in the theory of System Thinking, according to which capacity emerges out of the complex interactions among all actors in a system and produces characteristics not found in any of the elements of the system. Ref European Centre for Development Policy Management (ECPDM), Capacity, Change and Performance, April 2008*

<sup>17</sup>For example: *Outcome Mapping, Most Significant Change, Story Telling*

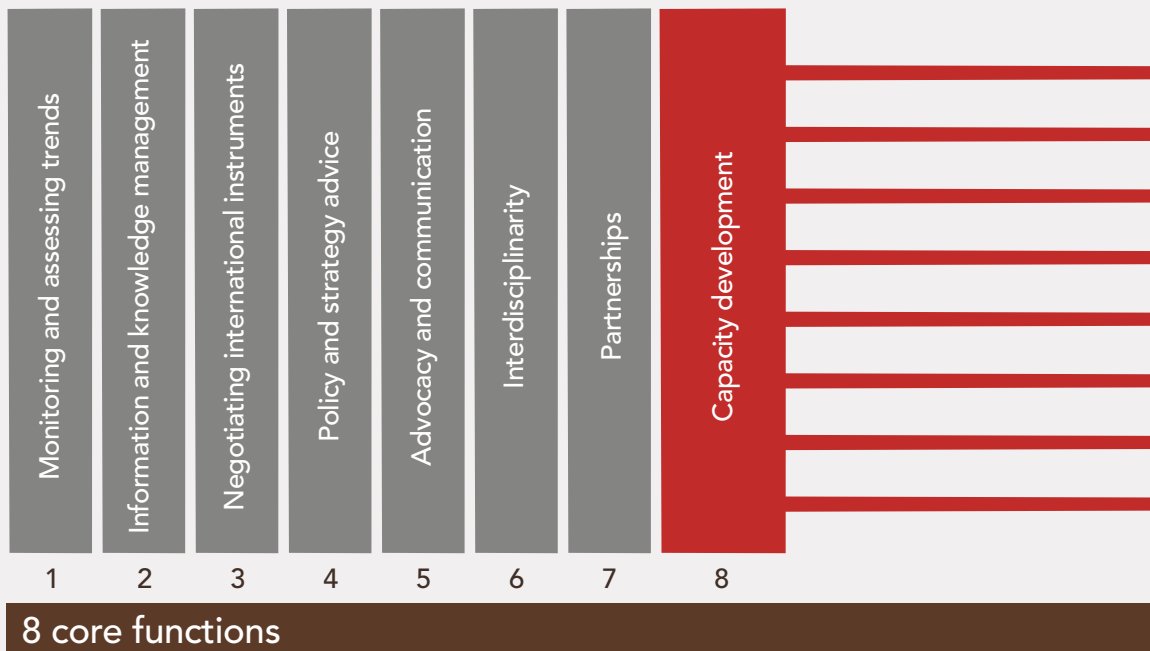


## APPENDIX B

# CAPACITY DEVELOPMENT IN FAO'S STRATEGIC FRAMEWORK

FAO's new Strategic Framework provides a comprehensive description of FAO's intended results at various levels and of the core functions required to ensure that these results are achieved. The results chain defines three global goals at the top level, representing the long-term development impact in the area of FAO's mandate. A level below shows 11 strategic objectives<sup>18</sup> defining core impacts to be achieved by Member Countries and regions over a timeframe of around ten years (Figure 9).

The organizational results are formulated at outcome level and are intended to be achieved in a time horizon of four years. FAO has identified 50 organizational results. In order to contribute to these 50 outcomes, FAO has associated each of them with several outputs that a Sub-Regional Office, a Regional Office or HQ Division is held accountable for achieving through the delivery of a series of individual products and services.

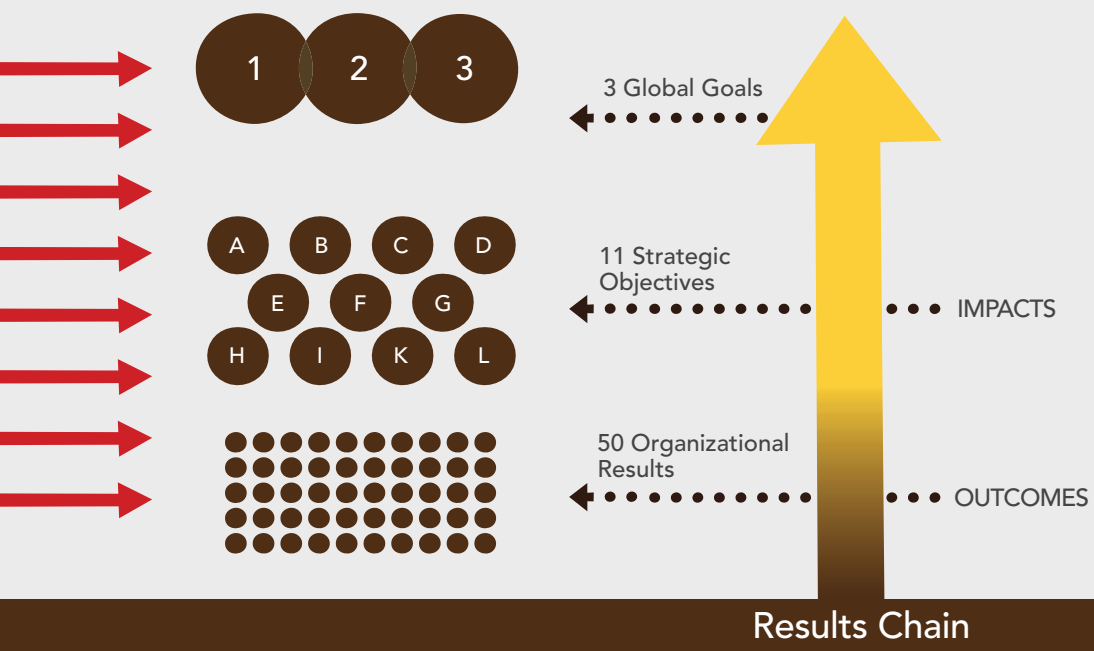


<sup>18</sup>The eleven strategic objectives defined by FAO are: A - sustainable intensification of crop production; B - increased sustainable livestock production; C - sustainable management and use of fisheries and aquaculture resources; D - improved quality and safety of food at all stages of the food chain; E - sustainable management of forests and trees; F - sustainable management of land, water and genetic resources and improved responses to global environmental challenges affecting food and agriculture; G - enabling environment for markets to improve livelihoods and rural development; H - improved food security and better nutrition; I - improved preparedness for, and effective response to, food and agricultural threats and emergencies; K - gender equity in access to resources, goods, services and decision making in the rural areas; and L - increased and more effective public and private investment in agriculture and rural development.

The Strategic Framework defines CD as one of the eight core functions,<sup>19</sup> which are cross-cutting means for achieving the developmental outcomes.

As much as 50 percent of FAO's organizational results across the technical sectors explicitly state one or several CD. This percentage increases if we consider the organizational results in which CD is implicitly stated.

This confirms that CD lies at the very heart of FAO's mandate as a specialized agency of the UN.



[FIG 9] - Capacity Development- a core function in FAO's Strategic Framework

<sup>19</sup>The eight core functions are: (i) monitoring and assessing trends; (ii) information and knowledge management; (iii) negotiating international instruments; (iv) policy and strategy advice; (v) capacity development; (vi) advocacy and communication; (vii) interdisciplinarity; and (viii) partnerships.

# KEY FINDINGS FROM THE INDEPENDENT EXTERNAL EVALUATION AND THE EVALUATION OF FAO'S CAPACITY DEVELOPMENT ACTIVITIES IN AFRICA

In the context of FAO's Reform, CD has been recognized as an important "area needing focus and a strategy". The **Independent External Evaluation** (IEE) carried out in 2007 highlighted the following:

- > FAO's development activities comprise small, non-strategic interventions with little prospects of replication elsewhere or of generating sustainable benefits.
- > FAO's approach consists of a shopping list of projects rather than a systematic approach to identifying areas where FAO comparative strengths and the needs of the countries converge.
- > There can only be a limited uptake of new production technologies unless the enabling environment of policies, institutions, legislation and infrastructure is assured.
- > FAO's direct support in the application of production technologies as distinct from appropriate policies and capacities is less and less necessary.
- > Greater emphasis should be put on developing more generalized skills, as CD through technical cooperation can be overly specific.
- > The sustainability of institution-building activities is insufficient, especially in least-developed countries.

More recently, the **Evaluation of FAO CD Activities in Africa** (2010) highlighted that

"CD needs to be the focus of most, if not all, of FAO activities including assembly and provision of information, support to international instruments, norms and standards, policy advice, advocacy, the formation and dissemination of knowledge products, technology development and transfer, and networking. *This does not mean that all activities should have a specific training component, but rather that all activities and products need to take into account engagement in ways that best strengthen the capacity of clients.*"

It also emphasized that "FAO staff need to recognize the importance of the process rather than focusing on outputs... and be prepared to invest a significant proportion of resources in such processes."

**Table 3** provides a snapshot of the findings of the Evaluation of FAO CD Activities in Africa and highlights the areas in which FAO needs to improve.

FAO is good at..	FAO should improve....
<ul style="list-style-type: none"> <li>&gt; Providing high-quality technical support</li> <li>&gt; Developing relevant and quality normative materials</li> <li>&gt; Facilitating policy initiatives (policy formulation and adoption)</li> <li>&gt; Providing training</li> </ul>	<p><b>Corporate understanding of CD</b></p> <ul style="list-style-type: none"> <li>&gt; Common vision and definition for CD including a better understanding of what constitutes good CD practice, how to enhance soft skills, organizational strengthening and how to influence the enabling environment</li> </ul> <p><b>Design and implementation of CD projects</b></p> <ul style="list-style-type: none"> <li>&gt; Greater emphasis on process</li> <li>&gt; Monitoring and evaluating CD</li> <li>&gt; Designing CD initiatives with clear assessment of needs in three dimensions</li> </ul> <p><b>Sustainability of CD interventions</b></p> <ul style="list-style-type: none"> <li>&gt; Adjusting project timeframes to take the iterative nature of CD into account; formulating exit strategies as part of project design/formulation; increasing use of national expertise; anchoring CD interventions in existing institutions; providing critical complementary activities to CD interventions, such as soft skills (marketing, management, trade support, etc.)</li> </ul> <p><b>Supporting local/national actors to develop themselves</b></p> <ul style="list-style-type: none"> <li>&gt; Emphasis of CD initiatives should be on setting up processes and modalities of engagement to work with national and local actors to increase their capacities to stand on their own feet</li> </ul> <p><b>Dissemination and uptake of knowledge/normative products</b></p> <ul style="list-style-type: none"> <li>&gt; More focus on ensuring access to and use of FAO's normative products in Africa</li> </ul> <p><b>FAO's own CD capacity</b></p> <ul style="list-style-type: none"> <li>&gt; Capacity of decentralized offices to carry out CD should be strengthened, especially capacities to engage in policy dialogue and undertake leadership roles in common initiatives and multi-donor groups</li> </ul>
<p><b>FAO risks losing its lead position if attention is not put on...</b></p>	
<p><b>Partnership</b></p> <ul style="list-style-type: none"> <li>&gt; As more skilled individuals and organizations in Member Countries emerge, FAO's role needs to shift from implementing CD directly on its own to supporting CD in partnership with others. For example, FAO needs to partner more with regional organizations and local implementing partners such as associations of national farmers and commodity traders or exporters, which have wide reach and the potential and desire to partner with FAO.</li> </ul>	

**[TABLE 3]** Excerpts from the Evaluation of CD Activities in Africa

## REFERENCES

- > Accra Agenda for Action (2008)
- > Capacity Development: A UNDP Primer, 2010
- > OECD/DAC/GOVNET (2005). The Challenge of capacity development: working towards good practice. DAC Network on Governance, 14 February 2006
- > INTRAC (2006). Investigating the mystery of capacity building, learning from the Praxis Programme. Conference Paper, James and Wrigley, Oxford, 2005
- > Lopes, C. and Theison, T. Ownership, Leadership and Transformation, Earthscan, 2003
- > Lopes, C. And Malik, K. Capacity for Development – New Solutions to old problems, Ed. Sakiko Fukuda-Parr, Earthscan, 2002
- > Morgan, P. (2006). ECDPM study on capacity, change and performance. Background paper presented at final workshop, ECDPM, Maastricht
- > Paris Declaration on Aid Effectiveness (2005)
- > Senge, P. The Fifth Discipline, Random House, 1990
- > UNDP (2006). Capacity Development Practice Note. UNDP, New York.
- > World Bank Institute. Capacity Development and Results Framework, October 2010  
<http://wbi.worldbank.org/wbi/document/wbi-capacity-development-and-results-framework>

## RECOMMENDED RESOURCES

### Websites

- > African Capacity Building Foundation (ACBF) <http://www.acbf-pact.org>
- > Capacity.org <http://www.capacity.org>
- > European Centre for Development Policy Management (ECDPM) <http://www.ecdpm.org>
- > OECD-DAC <http://www.oecd.org> (under Governance and Development)
- > UNDP <http://www.undp.org/capacity>
- > WB Capacity Development Resource Centre <http://go.worldbank.org/tfipt5boro> and <http://wbi.worldbank.org/wbi/about/capacity-and-results>

### CD Communities and Networks

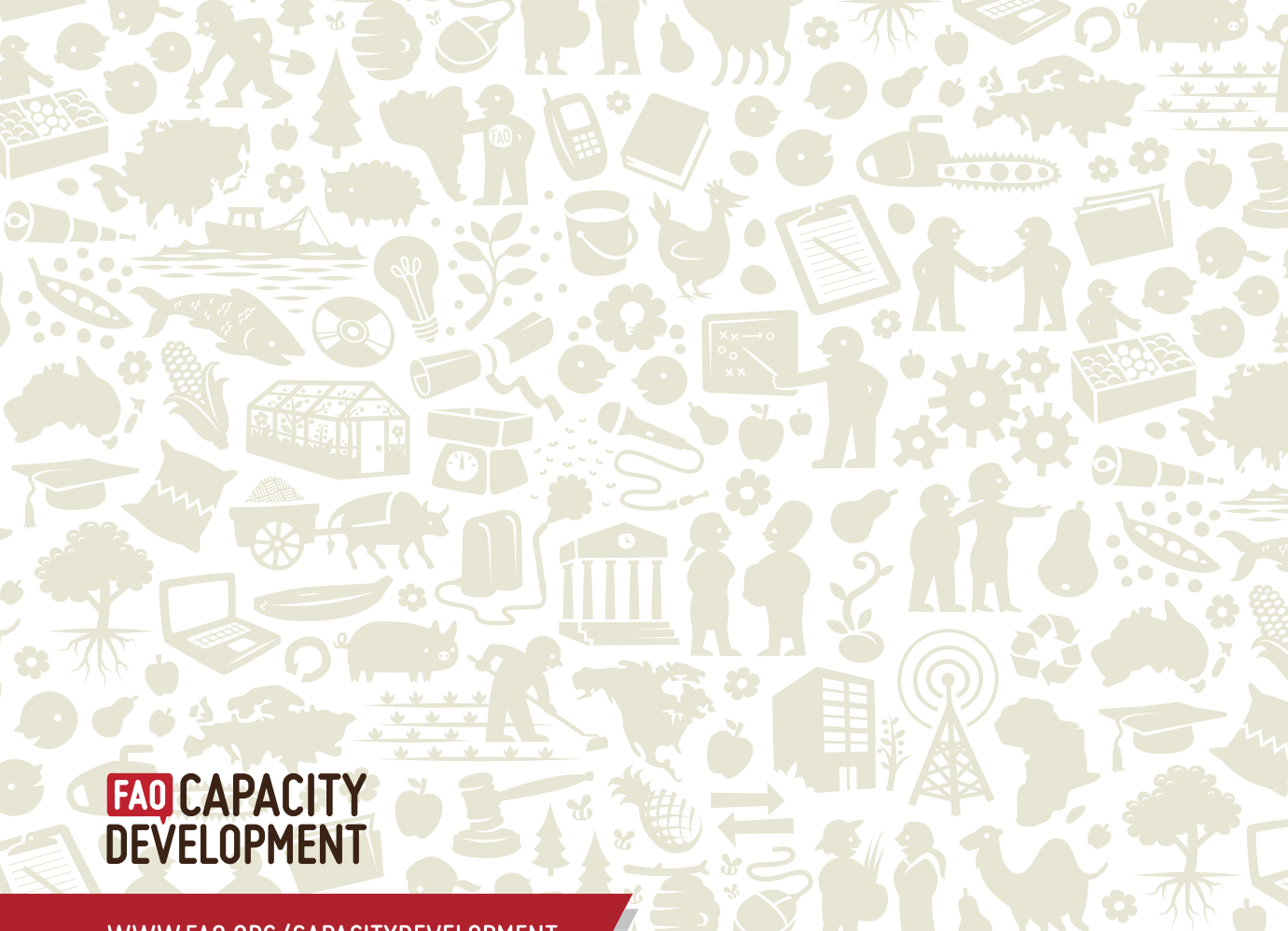
- > CapacityDevelopment <http://capacitydevelopment.ning.com/groups/group/list>
- > Capacity Development Network (Capacity-Net UNDP) <http://www.undp.org/capacity-net/2010/issue-30.htm>
- > Development Gateway Foundation (dgCommunities) <http://topics.developmentgateway.org/capacitydevelopment>
- > Learning Network on Capacity Development (LenCD) <http://sites.google.com/site/lencdorg/>

### CD Resources and Learning

- > A collection of thematic learning resources is contained in FAO Capacity Development Portal <http://www.fao.org/capacitydevelopment/en/>
- > UNDG e-learning course about Capacity Development concept and principles <http://unkampus.unssc.org/home/course/search.php?search=Learn4Free>
- > The CD Knowledge Resources of the Learning Network on Capacity Development (LenCD) contains a set of resources for learning about CD <http://sites.google.com/site/lencdorg/>
- > The UNDP page on Capacity Development contains reference material in various areas of CD <http://www.undp.org/capacity/>

## GLOSSARY

- > **Accountability**  
The process whereby actors respond to their constituencies for actions taken
- > **Capacity**  
The ability of people, organizations and society as a whole to manage their affairs successfully (OECD – DAC)
- > **Capacity Assessment**  
A structured process to identify existing capacity assets and needs in a given context
- > **Capacity Development**  
The process whereby individuals, organizations and society as a whole unleash, strengthen, create, adapt and maintain capacity over time (OECD – DAC)
- > **Competencies**  
Measurable or observable knowledge, skills, abilities, and behaviours that are critical to successful job performance
- > **Enabling Environment**  
The context in which individuals and organizations put their capabilities into action, and where capacity development processes takes place. It includes the institutional set-up of a country, its implicit and explicit rules, its power structures, and the policy and legal environment in which individuals and organizations function.
- > **Functional Capacity**  
Capacities that Member Countries need to uptake and sustain changes in the ARD sector, including: the capacity to formulate and implement policies; the capacity to create, access and exchange information and knowledge; the capacity to initiate and sustain networks, alliances and partnerships; and the capacity to manage projects and programmes efficiently and effectively.
- > **Individual Capacity**  
The knowledge, skills, motivation, values and attitudes of a wide range of actors in the ARD sector, such as farmers, producers, traders, food inspectors, policy makers, staff of organizations and administrations.
- > **Organizational Capacity**  
The collective capability of members to achieve the organization's goals. It includes the capacity of central and decentralized government agencies and ministries, inspectorates, laboratories, national agricultural research systems, enterprises, cooperatives, commerce chambers, consumer groups, producer associations, community-based organizations, NGOs, and education and training institutes.
- > **Ownership**  
The exercise of control and command over development activities. A country or an organization within a country can be said to "own" its development programme when it is committed to it, and able to translate its commitment into effective action. (SIDA)
- > **Technical Capacity**  
Capacities that Member Countries need to achieve the MDGs in the areas of Agriculture and Rural Development, including Forestry, Fisheries and Natural Resources Management.
- > **System thinking**  
A way of understanding reality that emphasizes the relationships among a system's parts, rather than the parts themselves



**FAO** CAPACITY  
DEVELOPMENT

[WWW.FAO.ORG/CAPACITYDEVELOPMENT](http://WWW.FAO.ORG/CAPACITYDEVELOPMENT)

Food and Agriculture Organization of the United Nations  
Viale delle Terme di Caracalla  
00153 Rome, Italy

E-mail: [capacity-development@fao.org](mailto:capacity-development@fao.org)



[www.fao.org](http://www.fao.org)

I1998E/1/01.11