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Steps for Designing a Results-Focused Capacity Development Strategy

A Primer for Development Practitioners Based on the
Capacity Development and Results Framework



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World Bank Institute Capacity Development and Results Practice

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The World Bank Institute Capacity Development and Results Practice (WBICR) developed this primer through continuous discussions and operational work with various country partners. Jenny Gold led the team with Samuel Otoo providing overall guidance. Sharon Fisher provided editorial support.

The primer originated from WBI strategic planning and results management workshops conducted in Colombia in October 2010 by request from the Colombian government and leading non-state organizations. WBICR drew on its Capacity Development and Results Framework to guide the non-state sector in strengthening the effectiveness and coordination of their capacity development efforts.

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Key Terms

Adaptive management: Reviewing and revising strategies with stakeholders based on results achieved or not achieved and improved understanding of a given context.

Agents of change: Agents that drive or initiate change toward the advancement of a reform (change process) by taking on roles to achieve the needed outcomes. Examples can include leadership teams, organizations, coalitions, groups or individuals.

Capacity development: Involves the empowerment of societal actors through learning, knowledge, information and innovation to effect transformational and sustainable change in institutions, which in turn supports the achievement of the development goal.

Change strategy: Describes all of the change processes for the reforms addressed by the capacity development strategy.

Change process: Process by which learning, knowledge, information and innovation empower agents of change to bring about results toward a development goal.

Development goal: Defines the highest level of economic or social benefit contributed to by the capacity development strategy.

Indicator: Means of determining progress towards results through the collection of data (qualitative, quantitative or both) that show whether there has been a positive, negative or neutral change.

Institutional capacity areas: Three operational targets of capacity development efforts. (1) Strength of stakeholder ownership for the development goal (demand); (2) Efficiency of policy and other formal incentive instruments that guide stakeholder behavior toward the goal (supply); and (3) Effectiveness of organizational arrangements established to achieve the goal (supply).

Institutional characteristics: Set of characteristics that contribute to the three capacity areas, used to guide a diagnosis of constraints or opportunities to advancing development goals.

Intermediate capacity outcome (ICO): An improvement in the ability or disposition of stakeholders (or agents of change) to take actions to effect changes toward the development goal. These changes in behaviors, relationships, processes and actions can be used as milestones to observe, monitor and measure progress toward results.

Results framework: Outlines the change logic for the strategy based on information compiled from all stages of strategy dialogue and design. Lays out the development goals, change processes, agents of change, ICOs, and interventions agreed upon for the strategy.

Strategy objective: States a desired reform in an institutional constraint that the strategy intends to address.

Introduction

Purpose

Results-focused capacity development is a strategic and country-led approach that emphasizes the use of knowledge and learning in empowering local agents to advance change. It extends beyond individuals and organizations to collective action across society in strengthening institutional capacity in support of the development goal.

WBI's Capacity Development and Results Framework (CDRF) provides the conceptual foundation and a suite of customizable diagnostic and planning tools to guide this approach. The CDRF emphasizes the empowerment of all sectors of society through knowledge, learning and innovation to advance results. At the framework's core is a results focus, which enables setting objectives and measuring achievements while encouraging flexibility and innovation in the change process.

Designing a capacity development strategy is a key element of results-focused capacity development. WBI approaches strategy design with a strong focus on capacity outcomes that drive institutional change, rather than outputs and technical fixes. This focus allows for more innovative and local solutions to achieve needed results and track progress.

In this guide WBI presents operational steps to help a project leader or task team facilitate stakeholders in designing a capacity development strategy. The guide is based on extensive discussions and collaborative initiatives with country partners. Country stakeholders can follow a systematic process, from identifying problems and designing strategy, to implementing plans and monitoring and evaluating change.

Yet the operational steps are also flexible for collaborative learning and work among stakeholders. The steps can be customized for different levels and settings. Task teams can enter the process at various steps, depending on the context of the strategy design. Each step creates an opportunity for task teams and stakeholders to explore ways to improve results, quality and transparency of information on capacity development.

A country capacity development strategy may include:

- A country development goal validated by stakeholders
- An identification of the problem, in terms of institutional capacities and priority characteristics that impede or enable reform
- A change strategy with change processes that can be supported by action planning and stakeholder initiatives
- A results framework with monitoring and evaluation (M&E) arrangements

Such a strategy may complement an existing sector strategy or national development plan.

The full set of steps applies to a new, self-standing strategy, such as for a stakeholder response that addresses a distinct development goal. Often, though, a capacity development strategy may be designed as a sub-component or cross-cutting theme of a larger strategy, such as for a sector. All of the steps should be considered before deciding which steps to downplay or exclude.

Foundation

The CDRF provides the basis for WBI's approach to strategy design. The framework emphasizes the following:

Results and local solutions

Too often capacity development design focuses on the outputs and planning of activities—simply filling in pre-identified gaps for missing functions and skills based on imported or historic solutions. By applying the framework the strategy will focus on designing capacity development that drives local solutions for priority goals. This approach uses capacity development as a strategic instrument, which leads to transformative, sustainable change.

Making capacity development more context-specific

The strategy design steps emphasize making capacity development as effective as possible in a country context. Task teams can apply the framework to guide a process of discovery, learning and decision-making. This process can help improve how stakeholder activities contribute to institutional change and country goals and thus make capacity development more effective.

Results chain

The framework highlights the intermediate capacity outcomes (ICOs) bridging the gap often found between broad overall objectives, institutional capacity and specific capacity development activities, so change processes can be better managed. Standardized indicators for ICOs and institutional characteristics facilitate the strategic design of capacity development. Indicators provide teams with hard data to monitor progress, compare results across programs, improve their understanding of how institutional change occurs, and support systematic examination of the outcomes achieved.

Core concepts in the CDRF (Figure 1):

Institutional change: Capacity development supports reform of characteristics that contribute to the capacity areas of stakeholder ownership, policy instruments and organizational arrangements. It is essential to understand these characteristics that constrain or enable stakeholder results to diagnose and define institutional change in practical terms.

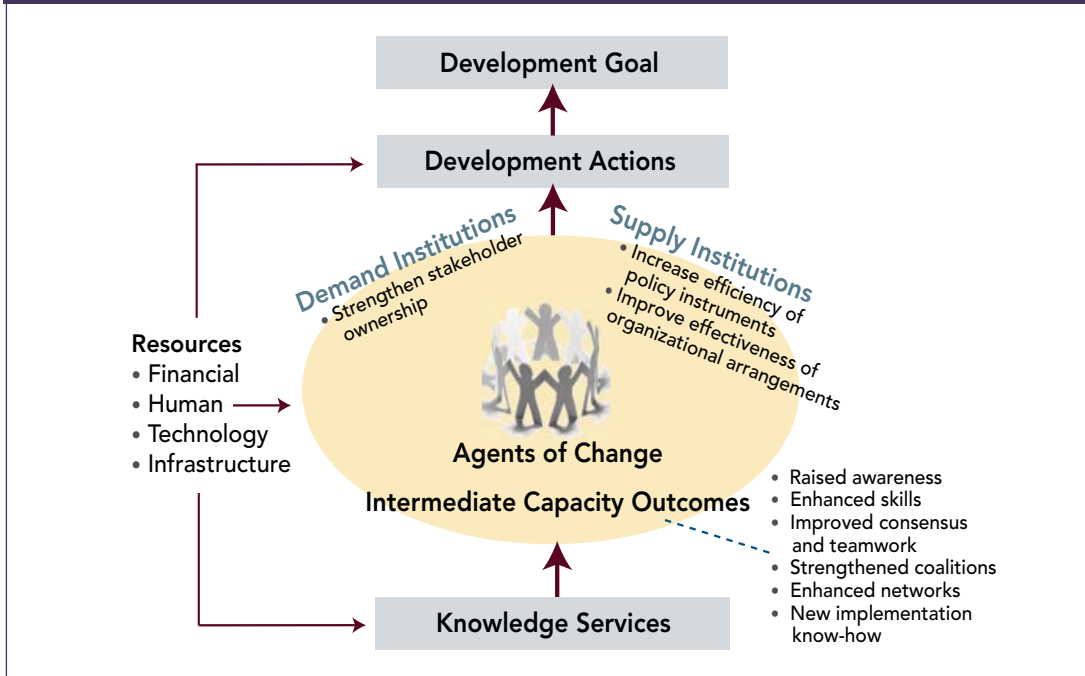
Agents of change: Agents of change, such as country groups, coalitions or networks, bring about needed changes toward institutional reforms.

Change processes: ICOs of the change processes associated with capacity development support design, implementation, monitoring and measurement of capacity development programs. This aspect of the CDRF provides an observable and practical tool for stakeholders to learn what works and does not work in capacity development practice.

Applications

The CDRF is being adopted across WBI's programs and beyond to strengthen the effectiveness and results of country capacity development operations. WBI works with partners—such as government ministries, NGOs, and country and regional institutions—to apply the framework in different contexts. Applications include institutional capacity diagnostics, design of capacity development programs and projects, adaptive management of capacity development programs, and evaluation of capacity development efforts.

Figure 1. CDRF Capacity Development Process



The CDRF promotes a collaborative capacity development process, by encouraging discussion of local constraints, incentives and agents of change. It encourages partners and stakeholders to be involved for the entire program cycle: visioning; assessment and diagnosis; program and results design; implementation and monitoring; and evaluation and learning.

Through this ongoing knowledge exchange and shared work, WBI gathers learning on operational issues related to the local design and management of capacity development. With this information, WBI is creating a capacity development toolkit that partners can apply, adapt, and customize for their own needs.

For example, the Liberia Ministry of Planning and Economic Affairs is partnering with WBI to look at how the country plans capacity development and manages results. This review will help clarify the results framework for Liberia’s second poverty reduction strategy and the capacity development components for its new national development plan, including next steps for their National Capacity Development Strategy. The CDRF provides the foundation for this review and the diagnostic and strategic planning tools for its implementation.

Results from the strategy review could inform Liberia’s national planning for the next five years and embed capacity development in the country’s longer term development plans and policies. The review could also provide insights about capacity development strategy in the fragile state context that will inform WBI’s work in other countries.

Initiate and Prepare for the Strategy

Initiate the Strategy Task

Prepare and circulate a scoping document

The initiation of the strategy can take various formats, based on the country context and the entry point. The project leader can facilitate the drafting of a scoping document on the process and circulate this document to task team members, clients and stakeholders.

The scoping document can become a collaborative document to guide the strategy work. It can clarify the context for the strategy, purpose of the strategy, and proposed sequence of activities for the strategy design. The document may also clarify the timeline, roles and responsibilities, stakeholder groups and budget commitments.

Clarify roles and responsibilities

The roles and responsibilities of the task team and other actors critical to facilitating the strategy design steps should be clarified. The following are examples of actors that might have identified contributions:

- *Core team members:* The core team member may include individuals who will work together with the project leader to facilitate the strategy design work, such as consultants or representatives from key country organizations. Each task team member should have a clearly defined contribution to the strategy design.
- *Leaders:* Leaders may be important decision-makers in the process, such as heads of office or agency directors. They may provide institutional support and strategic input to the task team at critical stages during the strategy design.
- *Advisory support:* Knowledgeable individuals or groups may be identified to provide advisory support to the task team in facilitating steps to design the strategy.

Prepare for the Strategy Design with Stakeholders

Identify stakeholders and develop a participation plan

Engaging stakeholder groups throughout the strategy design is critical for ownership of the strategy. The team facilitating the strategy design may engage stakeholders through consultations, workshops, and meetings at different points in the process.

Stakeholders may include representatives from the government (such as policymakers and implementers), civil society, and the private sector that have an interest in, or commitment to, the goal(s) of the strategy and future implementation of interventions. Examples of stakeholders include ministry officials, district-level civil servants, and leadership teams from think tanks, coalitions and academia. It may also be important to engage representatives from external development agencies.

Setting criteria for identifying stakeholders and planning how and at which steps stakeholders participate in the strategy design will help the task team to prepare for the design.

Validate the strategy task with stakeholders

Validation may be accomplished through a structured orientation session or meetings to share information on the strategy process and review the task. The task team can use this step to validate the strategy task—reaching consensus on the design of the strategy task (scope of the work), including any needed revisions, and the willingness and commitment of stakeholders to support the task.

Identify guiding principles for the strategy

The task team can develop guiding principles with stakeholders to build understanding around the reasoning, considerations and actions for the strategy design. Examples of guiding principles might include:

Multi-stakeholder: Focus is on collaborative stakeholder engagement and capacity development—with government, civil society, private sector—throughout the strategy design and implementation.

Development goal anchored: The strategy will contribute to the achievement of development goals that are owned by, and meaningful to, country stakeholders.

Full institutional diagnosis: The strategy will address reform opportunities based on a diagnosis of institutional constraints to goal achievement across three institutional capacity areas: stakeholder ownership, policy instruments and organizations.

Institutional change and reform: Focus is on designing capacity development to achieve outcomes that will advance change processes toward institutional reforms.

Agents of change: The strategy will help to empower agents of change, such as local leaders, groups and coalitions from different parts of society, to support priority institutional changes.

Coherent response planning: The strategy will emphasize project support that is complementary and coordinated to focus on priority outcomes toward development goals.

Tracking of change process: The strategy will track progress on ICOs in the change process, as well as assess results achieved for institutional changes and contributions to development goals.

Adaptive management through learning on what works: The strategy will be reviewed and revised with stakeholders to incorporate new learning based on results achieved or not achieved and improved understanding of a given context.

Other: [please specify]

Overview of Steps for Strategy Design

Step	Actions	Aim	Outputs
(1) Clarify the development goal(s)	<ul style="list-style-type: none"> Review development context for the strategy Determine priority development goals to be addressed by the strategy Agree on a common vision for each development goal Set indicative resource allocation for each development goal Determine baseline and indicative target for each development goal 	Align stakeholder expectations around areas of each goal where the capacity development strategy can contribute to results	<ul style="list-style-type: none"> Background on development context for strategy List of stakeholders for each development goal Findings on how stakeholders view each goal Plan to manage follow-up actions on the goal Articulated scope and vision for each goal to be addressed by the strategy Baseline and indicative targets for each goal
(2) Identify problems through the institutional diagnostic with stakeholders	<ul style="list-style-type: none"> Review knowledge on institutional issues in each capacity area Identify initial institutional issues that could be addressed through the strategy Diagnose institutional characteristics and prepare findings for decision-making around the strategy Agree on actionable institutional constraints to change through the strategy Determine baseline and indicative targets for each characteristic to be addressed by the strategy 	Identify actionable institutional constraints to be addressed by the strategy and indicators for the selected constraints to track the impact of capacity development efforts	<ul style="list-style-type: none"> Context-specific evidence on institutional characteristics List of institutional characteristics and constraints that could be addressed by the strategy Diagnostic findings across capacity areas as viewed by stakeholders Stakeholder agreement on constraints in institutional characteristics to be addressed by the strategy Baseline and indicative targets for each characteristic, which will be revisited while articulating the strategy
(3) Formulate solution options for addressing institutional issues: change strategy and change process	<ul style="list-style-type: none"> Review operational context of constraint and reform options Determine priority institutional reforms to be addressed and objectives for each Identify agents who will bring about the changes for each reform Agree on a common vision for each change process toward reform Identify intermediate capacity outcomes critical to change process for each reform Create the strategy, outlining the change processes for all the reforms and their resource allocations and timelines Decide on indicative targets and steps for the monitoring, review and revision of the change strategy 	Create a change strategy for capacity development. It should outline the results needed for projects and activities to reform the actionable institutional constraints over the strategy period, and the change process to achieve each reform	<ul style="list-style-type: none"> Review operational context of constraints Change strategy that describes the change process for each reform addressed Change process for each reform, including the objectives, vision for change toward the reform, list of agents, and ICOs Indicative resource allocations for project support to each change process Indicative targets for each change process and for adaptive management

Overview of Steps for Strategy Design

Step	Actions	Aim	Outputs
(4) Coordinate interventions to support planning of capacity development	<ul style="list-style-type: none"> • Revisit operational context for action planning • Focus roles and responsibilities of stakeholders in terms of planning actions to support the strategy's results • Agree on an aggregate action plan that aligns and focuses the interventions of stakeholders with the institutional reforms addressed • Establish resource allocations for each goal and change process for reform • Establish responsibilities, timelines and procedures for coordinating and communicating the strategy 	Coordinate stakeholder planning to support local change processes and achievement of institutional reforms for the strategy	<ul style="list-style-type: none"> • Roles and responsibilities of stakeholders • Aggregate action plan • Final resource allocations for goals and institutional reforms • Responsibilities, timelines and procedures for coordinating and communicating the strategy
(5) Construct a results framework and M&E arrangements	<ul style="list-style-type: none"> • Construct results framework using information from all stages of strategy design • Determine M&E and learning loop arrangements for adaptive management of the strategy 	Compile information from all stages of strategy dialogue and design to outline the change logic for the strategy and provide a structure to guide discussions, a learning loop and analysis	<ul style="list-style-type: none"> • Results framework for capacity development aspects of the strategy • M&E map for the strategy • Description of learning loop arrangements to adaptively manage results of the strategy with stakeholders
(6) Articulate and validate the strategy with stakeholders	<ul style="list-style-type: none"> • Compile capacity development strategy document • Review the document with stakeholders through discussions, meetings or circulation • Following validation, update the strategy document to reflect stakeholder feedback and recommendations • Prepare the final strategy document 	Reach consensus from stakeholders on strategy design (including any needed revisions) and confirm commitment to strategy	<ul style="list-style-type: none"> • Final feedback and comments on strategy • Final strategy document



STEP 1

Clarify the Development Goal(s)

Purpose

The development goal defines the economic or social benefit contributed to by the capacity development strategy. The goal should be a priority at the national or local level and meaningful to every stakeholder. It must clarify the highest level of benefit that stakeholders' collective efforts would help to advance.

Clarifying and validating the development goal(s) for the strategy with stakeholders establishes expectations for impact and focuses the strategy. Reinforcing stakeholder ownership of the goal establishes the priority, feasibility and results focus for the strategy.

Method

The task team can facilitate stakeholders to agree on a common vision for each goal through a participatory process, such as through national working groups. Reaching a common vision for the goal(s) for the strategy requires aligning the expectations of various stakeholders who often observe and value goals differently. Thus, resolving trade-offs and reaching consensus can be challenging.

Capacity development, like other development interventions, needs to be designed so that it contributes to impact toward development goals. The CDRF facilitates this step from the start by addressing the difficulty of focusing the capacity development toward the goal.

Articulating the goal is critical to the strategy design process because it drives all of the subsequent steps. Ambiguous or vague statements of the goal lead to errors in diagnosis of institutional constraints and design of capacity development solutions. It can also lead to lost opportunities in terms of discovering new solutions to development challenges.

Steps

Review development context for the strategy

Stakeholders must review and discuss key documents to understand the development context. This process must be highly participatory; a national strategy requires representation from all major segments of society. The background review provides information on:

- Goals that the strategy might support

- Data that describes the current development situation related to these goals
- Relevant indicators of the development context and how they are reported
- Main reasons for a new strategy to support the goals
- Main stakeholder groups for each goal
- Existing or already planned country activities related to the goal

Key background documents might include country or sector development plans or vision statements, previous strategic planning work, reports from country programs, and recent country economic assessments.

Determine priority development goals to be addressed by the strategy

Based on the background review, stakeholders decide on a list of priority goals to be advanced by the strategy. The results for these priority goals can then be further developed.

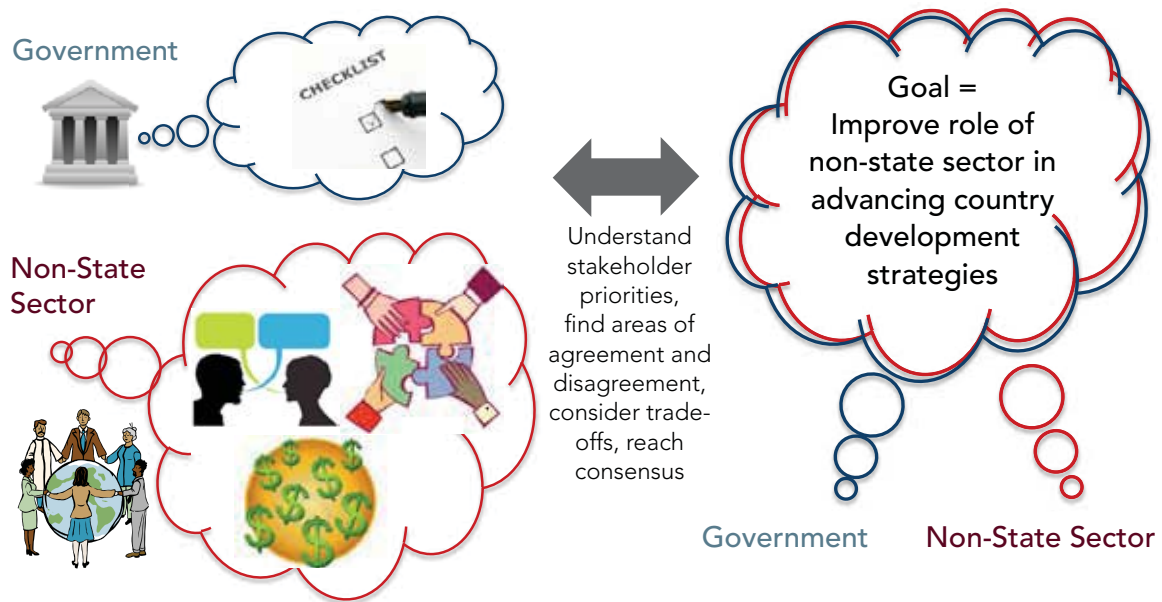
Agree on a common vision for each development goal

Stakeholders often observe and value goals differently. Yet stakeholder alignment around the scope of each goal for the strategy is needed to successfully support change (Figure 2).

Understand how stakeholders observe priority development goals: Consultations can engage stakeholder groups in dialogue and analytical exercises to understand how they observe goals for the strategy and their commitment to achieving these goals. When a strategy intends to address a large number of goals, or stakeholders have differing views about a goal, this step may be supported by a stakeholder analysis or in-depth visioning exercises. Consultations findings should be compiled to support consensus building on the priority goals for the strategy.

Articulate the scope and vision for each development goal: Information gathered on the development situation and through consultations must support articulation of priority goals for the strategy. Stakeholders must reach consensus on how to articulate each goal, which involves aligning their expectations around what is to be achieved—

Figure 2. How Stakeholders Can Observe A Development Goal Differently



the results desired for each goal. Measurable aspects of each goal are identified to best describe the scope agreed upon by stakeholders. Stakeholders should also agree upon a short vision statement that describes successful achievement of each goal.

- Plan to manage follow-up actions on the goal, such as potential conflicts owing to divergent views on the goal
- Articulated scope and vision for each goal to be addressed by the strategy
- Baseline and indicative targets for each goal

Set indicative resource allocation for each development goal

Once the goals are articulated, stakeholders should further discuss the complementary aspects and trade-offs among the goals to design a coherent strategy. This exercise validates the initial priorities and helps determine appropriate resources allocated for each goal.

Determine baseline and indicative target for each development goal

The task team can work with relevant stakeholders to set the baseline and indicative targets for each goal. They can revisit the targets during the process of articulating the strategy.

Expected Outputs

- Background on development context for strategy
- List of stakeholders for each development goal
- Findings on how major stakeholders view each goal

Questions for the Strategy Team

- What are the priority development goals that need to be included in the strategy?
- What are the desired results for each goal?
- Are there aspects of each goal where stakeholder views are aligned or divergent?
- What is the agreed articulation of each goal?
- What is the agreed vision for each goal?
- What is the appropriate resource allocation for each goal?
- What are the baseline and indicative targets for each goal?



STEP 2

Identify Problems Through the Institutional Diagnostic with Stakeholders

Purpose

A comprehensive diagnostic will identify the underlying demand and supply side constraints that need to be targeted in the strategy to achieve results for the development goal(s). During the diagnostic process, the task team can work with stakeholders to focus on priority constraints and establish indicators to track the impact of capacity development efforts.

Method

The CDRF describes three institutional capacities as the operational targets of capacity development efforts:

1. *Strength of stakeholder ownership* for the development goal (demand)
2. *Efficiency of policy and other formal incentive instruments* that guide stakeholder behavior towards the goal (supply)
3. *Effectiveness of organizational arrangements* established to achieve the goal (supply)

The framework identifies attributes or characteristics that contribute to each institutional capacity. The first of these capacities addresses characteristics that strengthen demand for a given goal, while the second and third are concerned with characteristics that enable the supply (Table 1).

These capacities and their characteristics guide a comprehensive and focused diagnosis of both demand and supply side constraints or opportunities to advancing development goals. Diagnostic findings can inform decision-making on priorities for action and management of trade-offs.

Steps

Review knowledge on institutional issues in each capacity area

Stakeholders review and discuss key analytical knowledge—such as from studies, sector reports, evaluations, or previous strategies—to understand the capacity development context for each development goal in relation to relevant institutional characteristics.

The work should use the institutional capacities and their contributing characteristics to review potential institutional issues the strategy might address:

- Gather evidence on relevant characteristics in each institutional capacity area
- Compile existing data that describes relevant characteristics
- Document possible indicators to measure characteristics

Identify initial institutional issues that could be addressed through the strategy

Using findings from the initial review of analytical knowledge, stakeholders decide on a preliminary list of institutional characteristics that could be addressed by the strategy.

Diagnose institutional characteristics and prepare the findings for decision-making

This step involves diagnosis of the institutional capacity situation for each goal of the strategy with stakeholders. Through the diagnosis it is important to understand how stakeholders observe strengths and weaknesses in institutional

Table 1. Institutional Capacity Areas and Their Contributing Characteristics

DEMAND INSTITUTIONS	SUPPLY INSTITUTIONS	
Contributing to the Strength of Stakeholder Ownership	Contributing to the Efficiency of Policy Instruments	Contributing to the Effectiveness of Organizational Arrangements
<ul style="list-style-type: none"> • Commitment of political and social leaders • Compatibility of social norms and values • Stakeholder participation in setting priorities • Demand for accountability • Transparency of information to stakeholders 	<ul style="list-style-type: none"> • Clarity in defining rights and responsibilities of stakeholders • Consistency • Legitimacy • Incentives for compliance • Ease of administration • Risk for negative externalities • Flexibility in addressing varying situations • Resistance to corruption 	<ul style="list-style-type: none"> • Clarity of mission • Achievement of outcomes • Operational efficiency • Financial viability and probity • Communications and stakeholder relations • Adaptability in anticipating and responding to change

Table 2. Examples of Institutional Characteristics and Constraints

Development Goal: Promote economic development and growth, specifically the growth of a competitive and responsible private sector

Institutional Capacity Area	Institutional Characteristic*	Underlying Problem/Actionable Institutional Constraint in Local Context	Priority (scale of 1–3)
Stakeholder Ownership	Commitment of political and social leaders	Commitment to reforms in key areas—such as capital market development, auditing and accounting standards—is often perceived to be low by stakeholders.	2
Policy Instruments	Incentives for compliance	Rules and regulations to guide companies and business stakeholders require revision to efficiently support modernization and improve local compliance. Key items include the commercial code and company registration systems that are time-consuming, especially for small businesses.	3
Organizational Arrangements	Communications and stakeholder relations	Lack of mechanisms to monitor the needs of local businesses. Inadequate sharing of information by business councils, especially among small business operators.	1

*All characteristics were examined, but only priority constraints are shown in the example

characteristics as well as which ones present a compelling case for reform.

Action learning is one method to support diagnosis. New analytical work could also support the diagnosis and evidence gathering on constraints. The task team may need to consider the cost-benefit of using new analysis versus existing analytical work, combined with outcomes of participatory work with stakeholders.

The strength of the findings to inform decision-making on how to focus the strategy and manage trade-offs comes from the way in which stakeholders are involved in the diagnostic work and interpretation of findings. The added value of a participatory process lies in the ability to build understanding around the findings and best describe the institutional characteristics.

Agree on actionable institutional constraints to change through the strategy

Stakeholders can now use the diagnostic findings to focus the strategy on priority institutional characteristics that require reform. In reviewing options, stakeholders will value the observed characteristics differently and decision-making can be challenging. Table 2 presents examples of institutional characteristics and priority institutional constraints found through a diagnostic for a local capacity development project in East Africa.

In managing trade-offs for prioritization, the following issues should be considered:

- **Alignment of stakeholders:** The extent of agreement among stakeholders on the diagnosis of a given characteristic.
- **Likelihood of reform:** Reviewing the relevant characteristics in relation to identified opportunities for reform. Stakeholders may decide to focus the strategy on characteristics with reasonable opportunities for reform.
- **Inter-relationships:** The characteristics may need to be compared to assess the degree any potential results achieved may be inter-related. In some cases, it may be ineffective to address a single focus on its own, but it may need to be addressed jointly or in sequence with another focus to ensure a critical mass of change is reached.
- **Relevance of capacity development:** Reviewing each of the characteristics and considering whether change could be facilitated by knowledge and learning (the main vehicles to support capacity development).

Determine baseline and indicative targets for each characteristic to be addressed

Once stakeholders agree on the institutional characteristics to be addressed, the task team can facilitate a process to decide on baseline data and indicative targets for each institutional constraint. They can revisit these targets during the process of articulating the strategy.

Expected Outputs

- Context-specific evidence on institutional characteristics
- List of institutional characteristics and constraints the strategy could address
- Diagnostic findings across stakeholder ownership, policy instruments and organizational arrangements as viewed by major stakeholders
- Stakeholder agreement on actionable constraints in characteristics to be addressed by the strategy
- Baseline and indicative targets for each characteristic, which will be revisited in the process of articulating the strategy

Questions for the Strategy Team

- What analytical knowledge can explain the context for each goal in terms of the characteristics of stakeholder ownership, policy instruments and organizational arrangements?
- What are important issues related to each characteristic?
- What new analytical work might be needed to diagnose the institutional characteristics?
- What are constraints and opportunities observed by the stakeholders for each characteristic?
- Are there characteristics with strong stakeholder consensus on the need for action?
- Are there institutional characteristics where divergent stakeholder views require trade-offs?
- What are the actionable constraints in institutional characteristics for each goal that the strategy will address?
- What are the baseline and indicative targets for each characteristic?



STEP 3

Formulate Solution Options for
Institutional Issues:
Change Strategy and Change Process

Purpose

With information on the actionable constraints in hand, stakeholders can identify what results are needed to change or bring about reforms in institutional capacities over the strategy period. Specifically, stakeholders can identify the results needed from capacity development interventions (particularly knowledge and convening services) and investment. The results should be outlined in terms of a comprehensive change strategy that is core to the capacity development strategy.

The change strategy describes all of the change processes for the reforms addressed by the capacity development strategy. In the case of a national capacity development strategy, the change strategy may outline change processes for a large number of reforms.

The change strategy helps guide capacity development to be as effective as possible in advancing change processes for each institutional reform. It also provides information to articulate the results framework and M&E arrangements for the strategy, including defining a loop process for adaptive management for each reform and deciding next steps of the strategy with stakeholders.

Method

Targeting interventions to address priority reforms and feasible changes in institutional constraints can be challenging. The locally driven change processes needed to bring about reforms are difficult to outline, measure and adaptively manage.

Key constructs of the CDRF help address the above challenges (Table 3). The components of the change strategy can be depicted as a cycle, along with the systematic learning loop (Figure 3).

Steps

Review operational context of constraint

The task team facilitates stakeholder efforts to review the operational context for each actionable institutional constraint. This review can take the form of a situational analysis, demand and supply analysis, needs assessment, or working group process. The review should be a highly participatory process that engages all stakeholder groups.

In conducting the review, the team may work with stakeholders to compile information on reform priorities; potential roles of local agents in bringing about changes toward the reform; types of changes that might be needed for agents to advance reforms; and the environment of the reform.

Determine priority reforms to be addressed by the strategy and objectives for each

Based on the findings of the operational review, stakeholders decide on a list of priority reforms to be addressed by the strategy and then articulate strategy objectives for each. The objectives should reflect a change in an institutional constraint that the strategy intends to address. In the case of a large strategy, related objectives may be clustered to provide for a more manageable address of the change process.

Each objective should describe a desired reform for a constraint; provide a base for measurable change; and be meaningful and practical for agents to influence. Table 4 presents examples of strategy objectives for three sectors in Liberia.

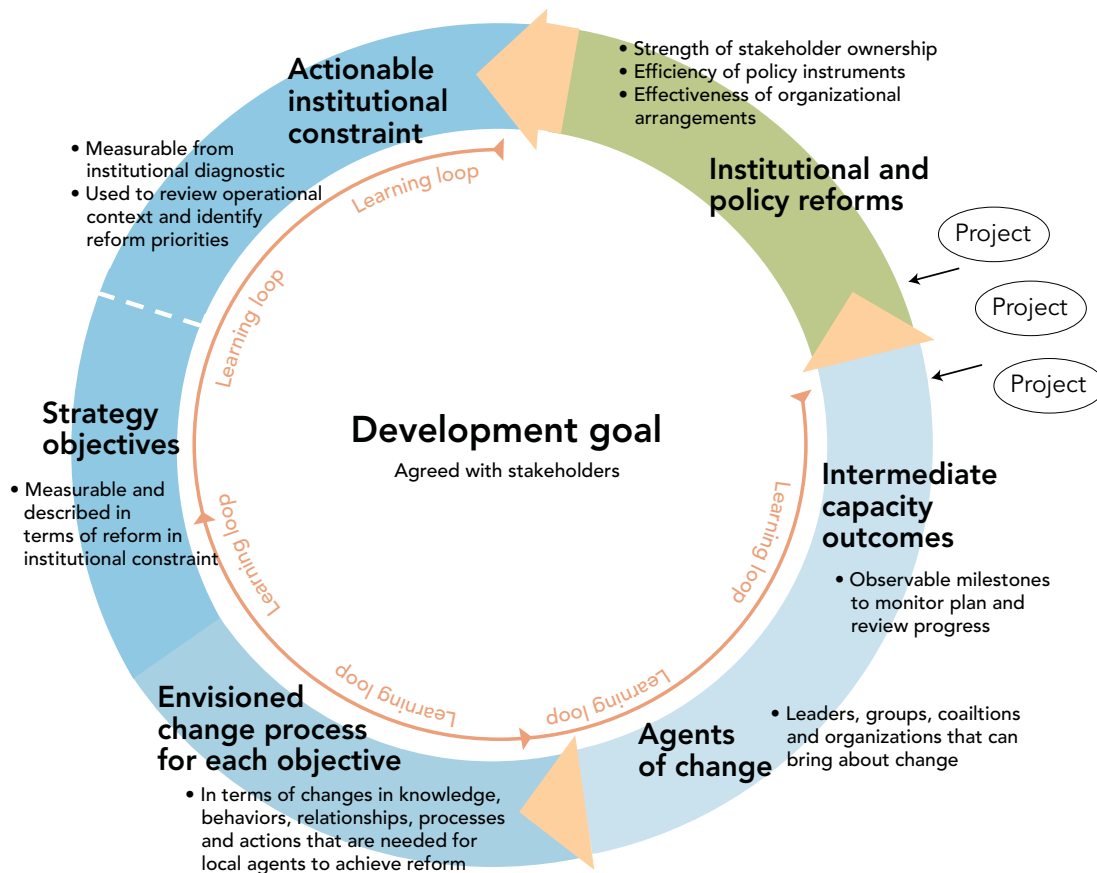
Identify agents who will bring about the changes for each reform

The task team works with stakeholders to determine the agents of change for each

Table 3. Key Constructs for Outlining a Change Strategy

Institutional Capacity Characteristics	Intermediate Capacity Outcomes	Agents of Change
<ul style="list-style-type: none"> Table 1 lists the standard set of 19 characteristics used to identify actionable institutional constraints in the diagnostic step Diagnosed actionable constraints in characteristics informs decision-making on institutional reforms and objectives for the capacity development 	<ul style="list-style-type: none"> Provide a lens to articulate needs of agents and describe outcomes in the change process for a reform Can be used as milestones to observe, monitor and measure progress toward results Learning based on ICOs can decide on next steps 	<ul style="list-style-type: none"> Drive or initiate change toward the advancement of a reform by taking on roles to achieve the needed ICOs Examples are leadership teams, organizations, coalitions, groups or individuals from all society segments

Figure 3. Change Strategy Components



reform and the potential role of each agent in the change process. Agents of change take on roles to change behaviors, actions, processes, and relationships to achieve strategy objectives. Examples of agents of change include government officials from city municipalities, policymakers from selected ministries, learning institutions in sub-national districts, a national coalition or network of practitioners, or private sector associations.

In identifying agents of change, it is important to consider two aspects: (1) the breadth of participation from sectors of society needed to ensure sustainable outcomes, and (2) the dynamics of the change process over time, in terms of the types of agents that can influence change and their potential roles.

Agree on a common vision for each change process toward reform

The strategy document describes the change process articulated for each reform, including:

Agents of change: A list of agents that drive or initiate key aspects of this change process toward the reform.

Critical changes: A list of changes that are seen as critical to advance achievement of the reform. These changes should be described in terms of changes in behaviors, actions, processes, and relationships to support the achievement of objectives for the capacity development. In other words, how might local agents behave or take actions differently, be equipped with new knowledge and inspiration, have better relationships, networks or partnerships, or have developed or agreed on new processes.

Relevance: The reason each change is seen as an important part of the process to advance the reform.

Sequence of the changes: The description of the sequence, such as the changes that might need to happen in tandem or in the first or second year of the strategy to advance the change process for the reform.

Table 4. Examples of Strategy Objectives for Sectors

Sector	Institutional Capacity Area	Institutional Characteristic	Institutional Constraint	Strategy Objective)
Education	Stakeholder Ownership	Compatibility of social norms and values	Enrolment rates are low, especially for girls, due to lack of support among families	Increase school enrolment especially in rural and poor areas (with a focus on girls), via larger involvement of communities and families in support of the school system
Agriculture	Organizational Arrangements	Achievement of outcomes	Agricultural institutions remain largely ineffective at delivering services such as regulation, policy and planning, and research and extension	Strengthen strategic management and operational systems in the Ministry of Agriculture to better provide needed services and policy outcomes
Private Sector	Policy Instruments	Ease of administration	Administrative and regulatory barriers severely limit the ability of businesses to operate efficiently	Eliminate unnecessary business regulations and requirements in the investment code
		Incentives for compliance	Outdated provisions of the investment code create obstacles to investment	

Identify intermediate capacity outcomes critical to the change process for each reform

Based on articulation of the change process, the task team and stakeholders decide on which changes can serve as milestones in the change process toward each reform. Examples of milestones may include changes in the behavior of agents or the relationships between agents that advance the change process.

The task team and local agents should define milestones based on the typology of intermediate capacity outcome (ICOs). The typology can guide identification of milestones to observe, monitor, measure, and manage during the change process (Table 5). The task team and stakeholders will revisit the outcomes to articulate the results framework for the strategy.

Considerations for selection of ICO milestones:

- Outcomes that can offer the most meaningful reporting on change toward the reform
- Stakeholder interest to report on outcomes that have a higher resource allocation or for which new investment might be promoted
- Outcomes that align with existing country polices and for which there may already be a reporting practice established

- Outcomes that can be reasonably measured by local projects over defined time periods (often shorter time frames) to understand progress and build local accountability for adaptive management of the change process

Create the change strategy

The task team works with stakeholders to compile information from all of the above steps for the strategy document. This step involves outlining the change process for all of the reforms the strategy will address, along with resource allocations and timelines for each. This information may be compiled in a matrix or other format (Figure 4).

Once the change strategy has been created, stakeholders should further discuss the complementary aspects and trade-offs between the reforms. This review helps to validate project support to each reform and further determine appropriate resource allocations.

Decide on indicative targets and steps for monitoring, review and revision of the change strategy

The task team works with stakeholders to set the indicative targets for each objective and

Table 5. Typology of Intermediate Capacity Outcomes

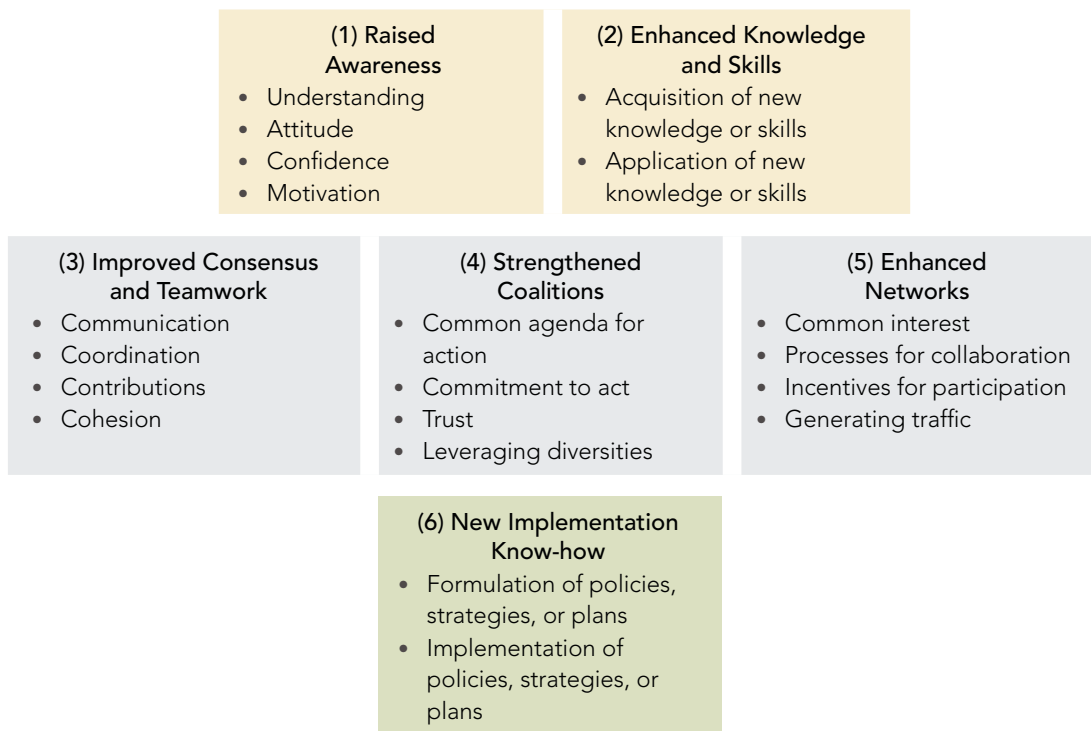
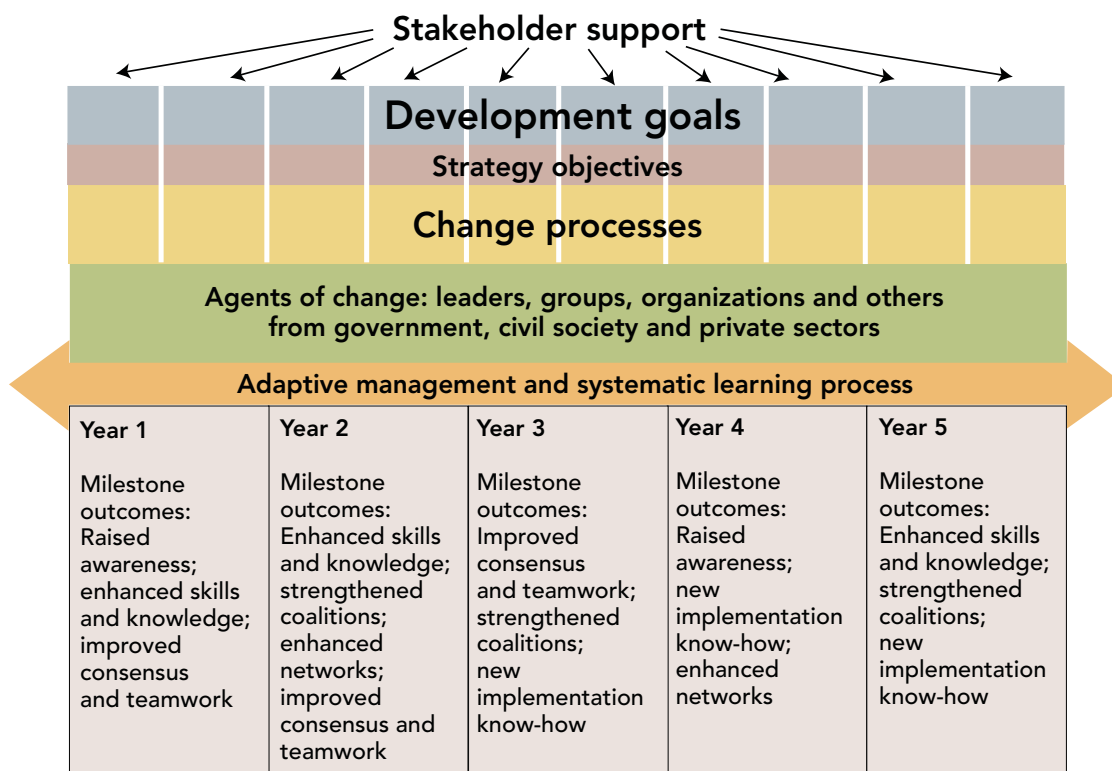


Figure 4. Change Process for Each Reform Addressed by the Strategy



ICO milestone. They will use these targets to adaptively manage the results of the change process for each reform, and for decision-making on next steps for interventions. A group can review the targets for revision and learning on what works at specified points during strategy implementation, such as annually or on a six-month cycle. Baseline evidence may also be collected at this stage.

Expected Outputs

- Review of operational context of constraints
- A change strategy that describes the change process for each reform addressed
- A change process for each reform, including the strategy objectives, the vision for change, the list of agents of change, and ICOs that can serve as milestones in the change process
- Resource allocations for project support to each change process
- Indicative targets for each change process and steps for adaptive management of the change processes over the strategy period

Questions for the Strategy Team

- What is the operational context to reform each constraint?
- What priority reforms will be addressed by the strategy to change the constraint?
- What are the strategy objectives for each reform?
- What agents will bring about changes toward each reform, and what is their role in the change process?
- What is the vision for the change process toward each reform?
- What types of changes are essential to the change process toward each reform?
- What ICOs can be used to define these changes in the local context?
- What ICOs can represent milestones in the change process toward each reform?
- How might the milestones be used to adjust the change process over the strategy period?
- How might the milestones be used to monitor progress and review and revise the strategy?
- What are the resource allocations for each reform?
- What are baseline and indicative targets for each objective and milestone ICO?



STEP 4

Coordinate Interventions to Support
Planning of Capacity Development

Purpose

Having defined the broad parameters of the strategy, the next step is to plan the capacity development interventions and implementation arrangements. This step involves engaging stakeholders to plan local interventions that support the achievement of institutional reforms and defined objectives for the strategy.

Method

Focusing interventions on locally driven institutional change and related capacity outcomes rather than outputs and technical fixes allows for more innovative and context-specific solutions to achieve needed local results.

Applying the CDRF to this step focuses the design of capacity development on outcomes that are needed for agents of change to produce local solutions. Key constructs of the CDRF provide a lens to align stakeholder interventions, to inform decision-making on how those interventions can effectively support observable and meaningful outcomes toward institutional reforms and goals (Table 6).

Steps

Revisit operational context for action planning

This step initiates the planning of local interventions to implement the strategy. The task team works with relevant stakeholders to gather infor-

mation that will expand understanding of how programs and other activities could be aligned and focused to support institutional reforms for the strategy. Gathered information may include:

- Organization of stakeholders to support the achievement of ICOs that could advance the strategy objectives. Examples include focus areas, financing, type and scale of products and activities they can support, areas of knowledge and expertise, partnerships and geography.
- Institutional reforms for which stakeholders may already have resource allocations or planned activities.
- Institutional reforms for which different stakeholder groups may have a comparative advantage to contribute toward results for the strategy. Examples include taking on a coordination or facilitation role or creating networks that engage agents of change.
- Institutional reforms for which improved stakeholder coordination or new thinking about how to respond collectively may be needed to achieve results at scale or mutually supportive results.

Focus roles and responsibilities of stakeholders

Based on the findings, stakeholders (local and international, including donors) must reach consensus on their respective roles and responsibilities to organize implementation support

Table 6. Key Constructs for Focusing Interventions

Development Goal	Institutional Capacity Characteristics	Intermediate Capacity Outcomes	Agents of Change
<ul style="list-style-type: none"> • The CDRF focuses interventions to impact a development goal, which has a common vision that is meaningful to each stakeholder. • A national strategy may have a number of goals. 	<ul style="list-style-type: none"> • The CDRF focuses interventions on the achievement of institutional reforms, which are defined using institutional characteristics. • A national strategy may focus on a number of reforms for each goal. Each reform would have set objectives for action planning to facilitate. 	<ul style="list-style-type: none"> • The CDRF focuses interventions to support achievement of ICOs by local agents. The results achieved should contribute to the larger change process for a reform. • A national strategy may include planned interventions to advance changes for a large number of reforms. • Progress is reviewed at set intervals to check whether interventions and outcomes are working to achieve needed results toward each reform, or if adjustment is needed. 	<ul style="list-style-type: none"> • The CDRF focuses interventions to support agents of change. • Agents are groups and organizations from different segments of society who take on unique roles to catalyze outcomes toward institutional reform.

for the strategy's reforms. In doing this, the roles and responsibilities of each stakeholder should be documented in the strategy document. This process includes determining which goals and change processes for institutional reforms each stakeholder will support, and the roles of each stakeholder in facilitating, coordinating or implementing this support.

Coordination roles may be especially important when stakeholders are focused on financial or other resource provisions for the strategy, such as to build new schools, technology centers or roads. Investments should be complementary to other interventions for the institutional reform.

Agree on an aggregate action plan

The task team with stakeholders can now consolidate a country action plan for the strategy and validate the content of this plan. In doing this, the review of the action planning context and roles and responsibilities are used to decide how to align and focus interventions toward achievement of each reform for the strategy. The final country action plan articulates which stakeholder interventions support strategy goals, strategy objectives and ICOs.

Decision-making on the action plan can be challenging. Issues may relate to:

- *Fit of interventions:* A divergence may occur between existing or proposed interventions and the results that are needed for each change process for institutional reform.
- *Concentration of interventions:* Stakeholder interventions may be concentrated in certain reform areas, while other areas lack support.
- *Alignment of stakeholders:* Stakeholders may not be coordinated in certain areas, to align their interventions to advance complementary results. This can lead to redundancy and inefficient resource allocation.
- *Totality of support:* Stakeholder interventions in certain areas are focused to partially support ICOs in the change process toward a reform, while support for other needed outcomes is lacking. For example, in some cases there is a focus on skill building, when support may be needed to help agents of change create new networks or implement new applied knowledge to advance a reform.

A dialogue may be needed among select groups of stakeholders to explore how to re-plan existing interventions, facilitate efforts to diversify or re-focus interventions to better support the reform needs or engage new stakeholders to support institutional reforms where support may be weak or lacking.

Establish resource allocations for each goal and change process

During action planning, the task team and stakeholders finalize and communicate resource allocations for strategy goals and change processes. This step allows for a review of the allocations related to the proposed stakeholder support for interventions, and a mapping of the allocations to the country action plan. In some cases, stakeholder support or existing financial allocations may not align with the change processes for the institutional reforms for the strategy. Thus, stakeholders may need to engage in dialogue to shift resource allocations toward key reforms.

Establish responsibilities, timelines and procedures for coordinating and communicating the strategy

Stakeholders establish responsibilities, timelines and procedures for ongoing activities to coordinate and communicate the strategy, including for project submissions and quality review, reporting on results, review and revision of the strategy, knowledge exchange, guidance for local programs, coordination of partnerships, financial support to projects, and risk and mitigation activities.

Stakeholders must design their interventions to converge with key concepts underlying the strategy design and contribute to the change processes for institutional reforms addressed by the strategy. The following principles could help to develop local guidelines for stakeholder interventions:

Identify agents of change: Interventions should define the agents of change in the local context and explain the roles they are expected to play to drive the change process toward an institutional reform for the strategy.

Define learning objectives: Interventions should use information on local capacity needs to define learning objectives in their context.

Contribute to catalytic outcomes: Interventions should outline how they would expect to contribute to catalytic ICOs toward the change

process for an institutional reform for the strategy.

Develop new and innovative

implementation approaches: Interventions should develop implementation approaches that can facilitate the maximum empowerment of agents of change, and move beyond traditional activities such as training.

Embed M&E: Interventions should explain how they would monitor ICOs and use them for decision-making on their activities.

Expected Outputs

- Roles and responsibilities of stakeholders
- Aggregate action plan for capacity development that aligns and focuses the interventions of stakeholders with the goals and institutional reforms for the strategy
- Final resource allocations for goals and institutional reforms
- Responsibilities, timelines and procedures for coordinating and communicating the strategy, including for new learning on review and revision of change processes for the strategy, and guidance for local projects

Questions for the Strategy Team

- What stakeholder interventions might support which goals and institutional reforms for the strategy?
- What are the roles and responsibilities of each of the major stakeholders for the strategy?
- Are stakeholder interventions aligned to support the institutional reforms for the strategy to help achieve strategy objectives and catalyze needed ICOs toward the reform?
- What are the challenges in coordinating stakeholder activities that contribute to the results for each institutional reform. How might these challenges be resolved?
- What consultative process could be used to formulate an aggregate action plan for the strategy?
- What are the resource allocations for each goal and institutional reform and can these be mapped to a country action plan?
- Are there any areas where resource allocations are not aligned to support institutional reforms for the strategy?
- What responsibilities, timelines and procedures for the communication and coordination of the strategy need to be established?



STEP 5

Construct a Results Framework and
M&E Arrangements

Purpose

Attention to results and M&E arrangements is a critical but often neglected aspect of strategy development. The results framework outlines the change logic for the strategy. It explains how the development goal(s) are to be achieved, how progress toward the goals will be assessed during implementation and at completion, and when and how decisions will be made based on observed results.

This step unites all of the information on results collected in every step of the design to define a flexible results framework and related M&E arrangements. This includes processes for evidence-based decisions during strategy implementation, and a learning loop for systematic and continuous learning from results achieved and not achieved and changes in the capacity development situation.

Although the results framework is completed in the final stages of strategy development, it compiles information from all stages of strategy dialogue and design. The complete results framework includes the description of the major change processes supported by the strategy's interventions. This guide only describes how the capacity development aspects of the strategy should be reflected in the results framework.

Method

The CDRF helps address a persistent problem in the assessment of capacity development results—impacts and outcomes are difficult to measure. With the CDRF, attention to results and indicators is built into every step of strategy design. This facilitates M&E work because evaluation techniques that enable the conversion of qualitative to quantitative data are incorporated more easily at the design stage than at later stages.

Indicator development and results measurement under the CDRF are further facilitated by two constructs that can be customized to the context:

Institutional Characteristics: To focus the strategy objective of interventions

Typology of ICOs: To monitor progress of the capacity development change process

Despite its emphasis on indicators, the CDRF does not impose a strict, predetermined plan

through the results framework. Rather, the intent is to have relevant and timely information available to help the team responsible for reviewing the strategy to engage with stakeholders. With the information on hand, they can make necessary changes to the strategy design to improve the probability of achieving intended results.

Steps

Construct results framework using information from all stages of strategy design

The CDRF approach helps a task team work with stakeholders and responsible individuals to organize a structured dialogue on results for the strategy. This dialogue outlines the causal relationships and underlying assumptions. Specifically, it builds understanding about how the strategy will contribute to development goals, focusing on how interventions intend to support ICOs that will lead to institutional reforms.

The information gathered at each of the earlier steps can be pulled together to form a logical and comprehensive results story laying out the development goals, change processes toward each reform, local agents of change, ICOs or change process milestones, and major interventions agreed upon for the strategy (Table 7).

The results framework should articulate the logical links and flow of information among:

1. Development goal(s) for the strategy and the baseline and indicative targets identified for each goal
2. Priority actionable institutional constraints identified for change through the strategy, with baseline evidence
3. Indicative targets determined for institutional reforms—these serve as the strategy objectives
4. Agents identified to bring about changes toward each institutional reform
5. Vision articulated for the change process for each institutional reform (strategy objective)
6. ICOs designed to catalyze action by agents of change to drive the change process for each reform (these ICOs also serve as milestones for monitoring progress with the reform process)
7. Major strategy interventions (projects, programs, activities, other) designed to deliver the ICOs, along with needed complementary resources to achieve the strategy objectives for each institutional reform

Table 7. Sample Strategy Results Framework

Development goal for strategy: Baseline: Indicative targets:					
Actionable institutional constraint (base-line indicators) What are critical constraints/issues to address?	Indicative institutional reform targets (strategy objectives) What changes do you want to see in the constraint?	Agents of change Who/ what will drive or initiate the change?	Vision of change process toward reform How is change expected to happen to achieve the objective?	Intermediate capacity outcomes (ICOs) Which outcomes are important to achieve the objective?	Strategy interventions What deliverables or activities will support the change?
1.					
2.					
3.					

Table 8. Sample M&E Map

Result	Indicator What is the observable milestone by which one knows the change has happened?	Measure What unit of change should be monitored to see if the milestone has been achieved?	Baseline What is the current situation of the measure?	Target What measure should be reached by the target date?	Data source Where is the data available? Or, how will it be collected?	Reporting arrangements How often should the data be monitored and reported?	Responsibility Who is responsible for monitoring the indicator?
Development goal							
Strategy objective 1							
Intermediate capacity outcomes 1.1 1.2 1.3 Other							
Strategy objective 2							
Intermediate capacity outcomes 2.1 2.2 2.3 Other							
Strategy objective 3							

Determine M&E and learning loop arrangements for adaptive management

The strategy team will need to work with stakeholders to solidify the arrangements for monitoring and evaluating the strategy during implementation and at completion. The timeline, responsibilities and learning loop process for engaging stakeholders should be explained. For example, a national working group could review annually the results reported, any new learning on what works, and the capacity development situation for the strategy.

Key elements to develop at this stage include:

- A M&E map indicating what is to be monitored, with which indicators and by whom during implementation (Table 8)
- A learning loop process for adaptive management of results and decision-making on the next steps of the strategy with stakeholders

The learning loop process describes when and how the results observed from the monitoring of strategy will be used to engage stakeholders in decision-making on next steps for the strategy. Specifically, the learning loop process involves the review of results achieved or not achieved to better understand what works and does not work in the local context. The process should also allow for new learning to be incorporated into possible revisions of the change processes in the strategy.

Tables 9 and 10 provide examples of a condensed results framework and M&E map for the education sector in Liberia. (See Table 4, page 26 for more information on the strategy objective.)

Expected Outputs

- Results framework for capacity development aspects of the strategy
- M&E map for the strategy
- A description of the learning loop that will be used to adaptively manage the results of the strategy with stakeholders

Questions for the Strategy Team

- What information needs to be gathered during the strategy design to form a logical and comprehensive results framework for the capacity development? Include information on the development goals, change processes for each reform, local agents of change, ICOs or change process milestones, and major interventions agreed on for the strategy.
- During implementation of the strategy, how might information on the change processes for each reform be monitored, with which indicators and by who?
- How might the learning loop for the various reform processes be structured?
- When and how might results be used for decision-making on next steps during implementation, including re-targeting of institutional characteristics for reform and re-design of reform processes? Who needs to be involved in the decision-making process?

Table 9. Example of a Strategy Results Framework for Education Sector

Development goal for strategy: Provide access to quality and relevant educational opportunities at all levels and to all, in support of the social and economic development of the nation					
Priority constraint	Strategy objectives	Agents of change	Change process	Intermediate capacity outcomes	Strategy interventions
1. Compatibility of social norms— Enrollment rates are low, especially for girls, due to lack of support among families	Increase school enrollment especially in rural and poor areas (with a focus on girls), via larger involvement of communities and families in support of the school system	Community leaders Church leaders Local school boards and school administrators	Engage rural communities in dialogue and networking to promote benefits of school enrollment, especially for girls. This should lead to greater commitment to involvement in educational system by communities and families, and motivate them toward ensuring children register for and attend school. This must be accompanied by improved mechanisms for school-community dialogue, and greater focus on delivery of quality education for rural/poor communities overall.	Raised awareness, increased commitment and motivation of rural/poor urban communities for higher school enrollment Enhanced knowledge and skills among local school administrators and educational officials in methods for enrollment incentives, community engagement and dialogue	Conduct workshops and sensitization sessions for parent and community groups Creation and monitoring of system for student feeding services and take-home rations for adolescent girls.

Table 10. Example of a Corresponding M&E Map for Education Sector

Result	Indicator	Measure	Baseline	Target	Reporting	Responsibility
Development goal: Provide access to quality and relevant educational opportunities at all levels and to all, in support of the social and economic development of the nation	Completion rate in primary and secondary education (disaggregated by gender)	% of primary and secondary school completion	e.g., 50% of children of in primary and secondary education complete school	e.g., 80% by 2017	Annual	Education Management Information System, Ministry of Education (MoE)
Strategy objective 1: Increase school enrollment especially in rural and poor areas	Enrolment ratio in primary and secondary education Gender parity index in primary enrolment	% of children (gender disaggregated) enrolled within relevant age groups in rural areas	e.g., 40% of children enrolled in primary education in rural areas		Annual	MoE/ Liberia Institute of Statistics & Geo-Information Services
ICO 1.1: Raised awareness, increased commitment and motivation of rural/poor urban communities for higher school enrollment	Changes in community attitudes	% of parents in communities who are willing to send girls to school in the following school year	-		Annual	MoE
ICO 1.2: Enhanced knowledge and skills among local school administrators and educational officials	Knowledge/skills of administrators and officials	# of community engagement events facilitated by local school administrators and officials	-		Annual	MoE



STEP 6

Articulate and Validate the Strategy
with Stakeholders

Purpose

The task team validates the strategy document with stakeholders to reach consensus on the strategy, including revisions, and to confirm the willingness and commitment of stakeholders to support the strategy.

Method

The task team may validate the strategy document through a structured session or formal

review meeting and circulate for feedback and comment. Following validation and update of the document to reflect stakeholder feedback and recommendations, the team prepares the final strategy document.

The checklist is based on generic content for a capacity development strategy. It allows for a customized approach to prepare the strategy and organize work with stakeholders.

Information To Include in a Capacity Development Strategy Document

Background

- Rationale and purpose for developing the strategy
- Country context related to the strategy
- Scope of strategy
- Stakeholders for the strategy and their participation in strategy design
- Team that facilitated the strategy design
- Guiding principles for the strategy
- Timeframe for the capacity development strategy
- Other: [please specify]

Strategy goal(s)

- Priority development goals for the strategy
- Key policy documents that describe these development goals
- Stakeholders for each goal
- Understanding of urgency and commitment of the stakeholders to the development goal(s)
- Scope and vision for addressing each goal in the strategy
- Other: [please specify]

Problem identification through the institutional diagnostic

- Institutional capacity context for each goal across stakeholder ownership, policy instruments and organizational arrangements, including evidence and indicators in this context
- A description of the process used for the institutional diagnosis with stakeholders
- A description of the process used to agree on actionable institutional constraints
- Actionable institutional constraints addressed by the strategy
- Other: [please specify]

Solutions options for addressing institutional issues: Change strategy and change process

- Operational context of constraints and reform options
- Change strategy:
- Objectives prioritized for reform
 - Agents of change for the strategy and their roles in driving change processes for each reform
 - Envisioned change process for each reform
 - ICOs needed by agents of change to drive the change processes for the strategy
 - Timeframes for adaptive management of change processes and decision-making on next steps
 - Other: [please specify]

Information To Include in a Capacity Development Strategy Document

Coordination of interventions to support planning

- Review of operational context for strategy interventions
- Roles and responsibilities of stakeholders
- Capacity development action plan
- Responsibilities, timelines and procedures for reviewing, coordinating and communicating the strategy
- Other: [please specify]

Results framework and M&E arrangements

- Results framework—including baseline and indicative targets for each strategy goal, baseline and indicative targets for institutional constraints addressed by the strategy, indicative targets for each capacity development objective or set of reforms addressed by the strategy, indicative targets for milestones
- Plan with timelines and milestones for tracking and reporting on outcomes of capacity development and progress toward institutional reforms
- Responsibilities, timelines and procedures for reviewing and making decisions on the strategy's results
- Plan to communicate and systematize new learning from results achieved and adjustments made during the strategy's implementation

Resource mobilization

- Resources available and needed to carry out the strategy
- Resources allocated to support goals, and each change process identified for reform
- Resource allocations mapped to the country action plan
- Other: [please specify]

Designing a capacity development strategy is a key element of results-focused capacity development. The World Bank Institute approaches capacity development strategy design with a strong focus on capacity outcomes that drive institutional change, rather than outputs and technical fixes. This approach uses capacity development as a strategic instrument, which leads to transformative, sustainable change.

This primer provides operational steps to help a project leader or task team facilitate stakeholders in designing a capacity development strategy. Country stakeholders can follow a systematic yet flexible process, from identifying problems and designing strategy, to implementing plans and monitoring and evaluating change.



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