

RAPID ASSESSMENT OF CAPACITY (RAC) CATCHING UP ON OUR READING:

THE LITERATURE OF TC AND CD AND THEIR EVALUATION

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Workshop Discussion

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*(Evaluation managed by **DRN**)*

PURPOSE OF THE PRESENTATION

- Present findings from a document analysis
- Identify areas where further analysis would be useful

How was this review done?

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- Focus on the evaluation of TC within its “purposes” defined by EC;
- Research matrix created, tested and adjusted using TOR, internal exchanges once saturation point reached;
- Appropriate domains : ex. development; mgt; KM;
- Appropriate sources: ex. Bil/Multi/IFI devel. orgs; development academia; practitioner opinion, CSO; some management sciences;
- 100+ docs reviewed;
- Cluster analysis for findings;
- Conclusions.

Limits to our research

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- Publicly available or within personal holdings;
- Languages :English, French and Spanish;
- Linked to evaluation, monitoring or metrics in one way or another;
- No validation with key authors.
- Little structure or consistency in quality of published research. Much is opinion disguised as findings. Reliability, validity checks are not often presented in literature.
- Review is already two years old. Needs to be updated.

Observations from the review process

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- Many documents; little empirically-based research; case studies “light” in many cases. Validity, reliability assurance are not often there....
- Little consensus on concepts or meanings (overall, and with respect to results chains or sequencing of effects);
- Two apparent schools of thought:
 - TC for CD is “provision of requirements to act” , based on need for performance (external reference; input and output, measurable results; capability, direct links to systems, technologies and structures; systems paradigm)
 - TC for CD is “achieving enabling performance levels to respond to social need” (internal; outcomes; power, incentives; often political-economic or behaviourist)
- Little documentation available from recipients or written from their perspective

Literature treatment of conceptual issues concerning CD

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□ CD is Iterative Process

- Typical TC vision is to see CD within a “functional rational” and not “political motivational” process;
- Agreement that CD is a long-term iterative process, but not described as such. Agreement that managing CD as an iterative process is radically different from past TC or CD practice but notes that praxis does not support that reality;
- Most models are static not dynamic; designs are simple not complex (requisite variety). Literature relatively silent on how to contextualize or manage complex processes within a D-R relationship that has no real accountability consequences.

Literature treatment of conceptual issues concerning CD

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- CD/ID as a political construct and concept
 - “push” and political “pull” is described in literature but not analysed in typology; political support issue is hardly noted in development literature; push means prioritising inputs, while pull means prioritising motivations and conducive frameworks. Provider and Beneficiary both involved
 - Recognition that motivation needs to be internally-driven and internalised; docs show that successful examples of successful externally-driven motivated CD are uncommon, yet documented praxis continues to assume otherwise.
- Multi-dimensionality of CD
 - Individual, Organisational and Institutional layers.. Overall, literature is silent on how to analyse and manage that complexity. Implementation contracts tend to be linear.
 - Very few docs treat CD as a “whole systems” or “complex” issue;
 - Performance, difference between capacity/capability not covered

Literature treatment of implementation issues concerning CD

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- Sequencing and focus for improvement
 - Treatment of performance frameworks is generally linear, based on closed systems, 2-dimensional. Not complex, or iterative, not cybernetic
 - Documents on TC traditionally focused on “direct” output paradigms. Not on what recipient is able to do with new delta
- Defining end result
 - Literature almost always refers to how the donor needs to define the CD and manage it. Needs assessment, and response strategy are generally described as being guided by donors, not beneficiaries
 - Literature does not deal with strategy comparisons, assumed to provide what is missing rather than change what exists.

Literature treatment of implementation issues concerning CD (2)

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- Indicators, or knowing where you are
 - Literature does not link causation of TC effects to specific change strategy; baselines rare: difficult to analyse effects

Concept of Institutional Capability, Competency and Capacity as defined through a Business Management Paradigm

CAPABILITY

(level at which organizational performance takes place)

Competency

(perform at minimum required level)

Organisational structures and Systems

Other critical assets such as finances

Empowerment i.e. the authority to do something

Capacity

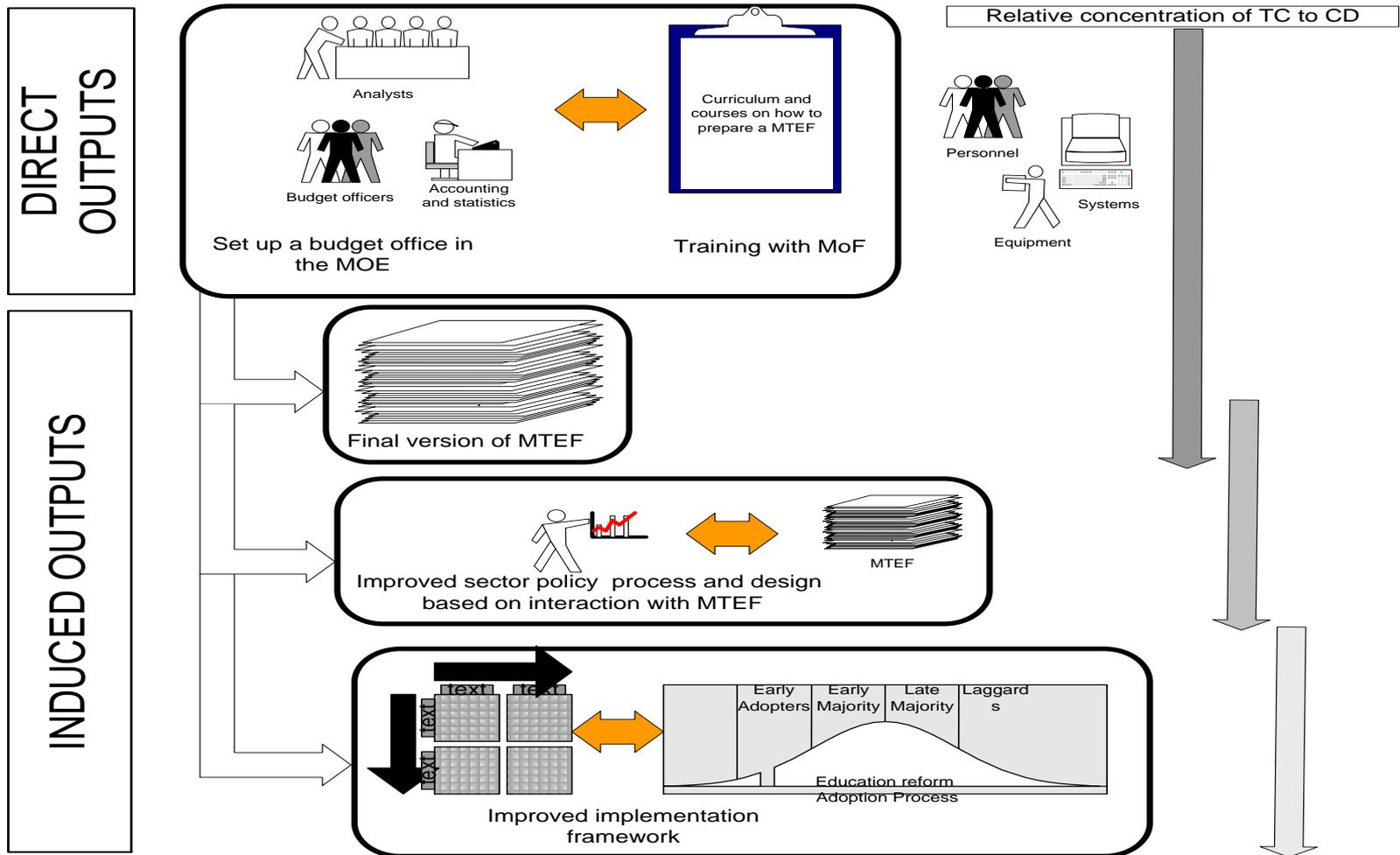
(ability to do something)

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People (KSA)

Process/product knowledge and tools

Example of TC applied to different parts of results chain (ex. education)

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Findings from study of eval. reports

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- M and E tended to concentrate on accountability needs of donors; results indicate that most are disconnected from local learning and KM systems or local management.
- Ex-ante (few) or ex-post (institutional requirement not seen as personal need). Not geared to on-going process evaluation (“developmental evaluation”);
- Do not seek evidence of influence of exogenous forces acting on system (political, motivation, organisation, culture, etc.). Little on institutional level of analysis or on business ecosystems;
- Evaluations do not cover the influence of “participatory” or “ownership” vectors;
- Evaluations do not cover the influence of pull factors (re: Opportunity Framework)
- Prog. design not set up to enable down-stream measurement of CD’s “contribution” to societal-level impacts, even if ILDs clearly identify them. Causality.

Evaluation-related conclusions

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- Little guidance or models on evaluation of CD or TC in complex or cultural context in the literature.
- New model for evaluation, based on iterative process concept and need to support “pull” strategies is required.
- Within TC model used for CD, distinction needs to be made between direct and induced outputs (what is generated through TC and what recipient can do as a result). Model explained in Lit. Review paper. “Learning-Doing-Changing”.
- Model must also differentiate between “ability”, “capacity” and capability, and link to required resources, empowerment.

Strategic Conclusions

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Literature review identifies the following areas for priority action:

- Better research leading to overall design and guidance on “Push vs Pull”. Install as component of evaluation.
- Shift required to focus on “Sustainable Performance” as a target for, and measure of, “capacity”. This can only be done by “unpacking” the CD process and working on the entire set of influencing variables.
- Guidance on how and when to integrate evaluative functions (ex. RAC, developmental evaluation) into TC interventions. Accountability and responsibilities need to be better defined and negotiated.

Significant recent contributions

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- Enzo's presentation covers the following:
- ROACH
- 5C from ECDPM
- World Bank Capacity Development Results Framework (CDRF)
- UNDP

Thank you!