



Capacity Development Services

A learning approach to enhancing
capacity in SNV East Africa



Netherlands
Development
Organisation

Capacity Development Services

A learning approach
to enhancing capacity
in SNV East Africa

© SNV East and Southern Africa 2005

SNV Netherlands Development Organization
SNV East Africa and Southern Africa Region
PO Box 30776, 00100 GPO Nairobi, Kenya
tel: +254 (0)20 573656
fax: +254 (0)20 573650
e-mail: snvkenya@africaonline.co.ke
website: www.snvworld.org

ISBN 98 77821 13 9

This publication has been produced as part of a series under the Building Advisory Practice (BAP) initiative of SNV East Africa; conceptualized and supported by a team of SNV staff and advisers. Lead consultant for the BAP initiative is Rob Sinclair.

written by Fons van der Velden, Anne-Marie Leenknecht, Annelies Haijink
Context, international cooperation, Soesterberg, the Netherlands
www.developmenttraining.org
editing by Helen van Houten, Nairobi, Kenya
photography by Reinout van den Bergh
design and layout by Conrad Mudibo, Ecomedia Ltd, Nairobi, Kenya
printed by Kulgraphics Limited, Nairobi, Kenya

Capacity building is a risky, murky, messy business
with unpredictable, unqualifiable outcomes

(Peter Morgan 1997)

I think there is too much pseudoscientific written about organizations.

We need more good stories.

(Warren Bennis 2003)

Countries in SNV East and Southern Africa



Contents

List of boxes	vii
List of tables.....	vii
Abbreviations and acronyms	viii
Preface	ix
Acknowledgements.....	x
Introduction	1
Study process	4
Action learning case studies in SNV East Africa	5
1 Relevance of capacity development services in eastern Africa	9
The issue of semantics.....	11
SNV's Capacity Development Services.....	12
Three-pillar approach	14
State, corporate sector and civil society: three societal pillars	15
CDS at organizational level: a balancing act	17
The compatibility of different practices	17
Capacity enhancement services in local context.....	19
2 From engineering to facilitating	21
Subsidized capacity enhancement services and the new policy agenda	23
From engineering to advisory services	24
SNV's shift in logic.....	25
SNV's mission and vision and the ultimate aim of CDS	25
SNV's values with regard to CDS	28
Core guiding principles	28
3 SNV's strategy and approach to CDS.....	31
CDS strategy.....	33
Overall approach	34
Learning approach	34
SNV as integrator	35
The need for a tailor-made approach	37
4 Core products and process.....	39
The CDS package.....	41
The CDS process.....	43
Advisers' multiple competencies	43

5 Learning from SNV East Africa’s CDS practice.....	45
A learning organization.....	47
A learning climate.....	48
Monitoring and evaluation systems.....	49
Institutionalizing learning and SNV’s knowledge networks.....	49
Benchmarking as part of monitoring and evaluation.....	50
6 With whom? client selection.....	51
The not-for-profit sector.....	53
The changed demand for CDS.....	53
Close fit and loose fit clients.....	55
Challenges.....	55
7 Major lessons learned and challenges ahead.....	57
Contextual analysis.....	59
Underlying CDS values.....	59
Linking CDS with thematic expertise.....	59
Shift from advice to facilitation.....	59
Further enhancement of a corporate overall strategy.....	60
Core process.....	60
Core products.....	60
Integrating role.....	60
Client selection.....	60
Monitoring and evaluation system, learning and knowledge networks.....	61
Epilogue: ‘We make the road by walking’.....	63
Notes.....	68
Bibliography.....	70
Major SNV reference documents.....	76

Boxes

Box 1.	The action learning case study of CEMIRIDE (SNV Kenya).....	5
Box 2.	A case of institutional development and private sector development: joint action for aloe vera in northern Kenya.....	14
Box 3.	Institutional development and local governance: the Union of Local Authorities (SNV Uganda).....	16
Box 4.	The importance of contextual analysis: the case of ERSHA (SNV Ethiopia).....	19
Box 5.	An example of SNV's role transformation: TCCIA (SNV Tanzania)	27
Box 6.	A meso-level organization with multilevel links: the Regional Secretariat in Dodoma (SNV Tanzania).....	33
Box 7.	SNV's integrator role: the Same District Education Board (SNV Tanzania)	36
Box 8.	A gender case: KWADA (SNV Kenya)	42
Box 9.	The case of a relatively young organization: ADENYA (SNV Rwanda)	54

Tables

Table 1.	Multidimensional model of institutional development	12
Table 2.	SNV's four Capacity Development Services categories	13
Table 3.	Comparison of expert model and process facilitation for advisory services	26
Table 4.	SNV's shift in logic.....	27
Table 5.	Continuum of capacity enhancement service approaches.....	35
Table 6.	Characteristics of a learning development organization	47

Abbreviations and acronyms

ADENYA	Association pour le Developpement de Nyabimata	ID	institutional development
ALCS	action learning case studies	KMG	Kembutti Mentti Gezzima- Tope (Women, Peace and Development in Ethiopia)
BAP	Building Advisory Practice (initiative)	KWADA	Kajiado Women's Advocacy Association
CDRA	Community Development Resource Association	LG	local governance
CDS	Capacity Development Services	M&E	monitoring and evaluation
CEMIRIDE	Centre for Minority Rights Development	MDF	Management for Development Foundation
CITES	Convention on International Trade in Endangered Species	NGDOs	non-governmental development organizations
CORAT	Christian Organisation Research and Advisory Trust of Africa	NOVIB	Nederlandse Organisatie voor Internationale Bijstand (Oxfam Netherlands)
CRP	constitutional review process	OD	organizational development
ERSHA	Ethiopian Rural Self-Help Association	Olive OD&T	Olive Organisation Development and Training
DEB	District Education Board	PRIA	Society for Participatory Research in Asia
HEWASA	Health through Water and Sanitation Programme	RSD	Regional Secretariat Dodoma
I/C Consult	Dutch inhouse consultant of both ICCO (Interchurch Organization for Development Cooperation) and Cordaid (cooperative of three Catholic organizations: Memisa, Mensen in Nood and Bilance)	SNV	Netherlands Development Organization
		TA	technical assistance
		TCCIA	[Arusha Regional chapter] Tanzania Chamber of Commerce, Industry and Agriculture
		ULAA	Union of Local Authorities

Preface

SNV Netherlands Development Organization is dedicated to a society where all people enjoy the freedom to pursue their own sustainable development. Our advisers contribute to this by strengthening the capacity of local organizations.

The delivery of capacity development services to local organizations has been SNV's core business for the past few years. As a learning organization, we constantly try to improve our services, by assessing them with our client organizations and with other comparable providers of advisory services.

The SNV programmes in East Africa launched a learning initiative, Building Advisory Practice, that aimed

- to identify the key characteristics of quality for the advisory practice
- to harmonize and transform our approaches and methods to advisory practice by fostering innovation as well as by learning from approaches of other partners
- to align our views on future implementation of SNV's practice
- to foster knowledge sharing with a broader public on SNV's current and future practice

This publication on our Capacity Development Services is part of a series that comprises also booklets on Local Governance and on Private Sector Development.

This learning initiative on our Capacity Development Services has involved energy and commitment of the organizations that benefit from our services. They are the main source of inspiration and feedback for this booklet. SNV advisers and staff in the country programmes have played a major role in working with the client organizations in this learning effort.

Fons van der Velden, Anne-Marie Leenknecht and Annelies Haijntink from Context international cooperation facilitated this study process in a highly professional and creative way.

Helen van Houten as the editor provided invaluable support. Members of the BAP working group (Alain Rousseau, Fantahun Wakie, Rem Neefjes, Mary Njuguna, Maureen Roell and Joost Noordholland de Jong) have provided guidance throughout. Rob Sinclair, the lead consultant, and Susan Onyango, communication officer for the entire BAP process, have worked closely with me, the working group and the consultants.

Finally, I thank the SNV Board of Directors, who supported the initiative.

Jessie Bokhoven

On behalf of the management of
SNV East and Southern Africa

Acknowledgements

This publication has been produced as part of a series under the Building Advisory Practice (BAP) initiative of SNV East Africa. It has been conceptualized and supported by a team of SNV staff and advisers. Many people have assisted the study team throughout the process that led to formulating this booklet. The study team visited nine partner organizations of SNV in East Africa (ADENYA, HEWASA, ULAA, TCCIA, RSD, KMG, ERSHA, CEMIRIDE and KWADA) selected for case studies and interacted with representatives of these partner organizations. The members of the study team are grateful to these organizations for preparing the action learning case study (ALCS) workshops, and for their committed and active participation in them. A word of thanks also goes to the various SNV staff members who were responsible for writing the workshop reports.

SNV advisers accompanied members of the study team during visits to the partner organizations, introduced them to members of these organizations and if necessary ably acted as interpreters. In addition, they acted as co-facilitators of the action learning method during the ALCS workshops. SNV advisers had input in two country-level workshops (in Tanzania and Rwanda), the kick-off meeting (March 2004 in Addis Ababa), the 'good CDS practices' workshop (July 2004 in Nairobi), the debriefing workshop (September 2004), and they participated in bilateral and group meetings at different SNV offices in East Africa. Their input in these activities is greatly appreciated.

One of the components of the study was to compare SNV's practices with experience of third parties. In this light, consultants of seven different capacity-building support

organizations (CORAT Africa, Olive OD&T, CDRA, MDF, I/C Consult, Action Aid Kenya, PRIA) have been interviewed. Context wishes to thank the people interviewed for their openness in sharing their experiences and practices. This has enhanced SNV's as well as our own learning with regard to process facilitation of CDS.

Without the support and effort of SNV Kenya, the present BAP CDS study could not have been completed. The study team especially wants to thank Ms J. Bokhoven (lead director, BAP) for enabling the study to take place, for her valuable, constructive feedback throughout the study process and for her prompt response to pending issues. Ms S. Onyango, communication officer of SNV Kenya, provided important assistance with regard to communication, logistics and similar matters. We want to thank her for the smooth sailing of the study process. We also acknowledge the input provided by Mr R. Sinclair, lead consultant of the BAP study.

Last but certainly not least, the contribution of my colleagues of Context, international cooperation: Ms Anne-Marie Leenknecht, Ms Annelies Haijntink (both members of the study team) and Ms Lotte Vonken during literally all stages of the study process is also highly valued.

Despite this intensive collaboration the content of the report is solely the responsibility of the study team.

*Fons van der Velden (study coordinator)
Context, international cooperation (Soesterberg, the Netherlands)
December 2004*



Introduction



Introduction

SNV Netherlands Development Organization has a long record of activity in East Africa. Over the years the organization has changed its work from direct involvement in implementation of projects to support in terms of advisory services. Through the Building Advisory Practice (BAP) initiative SNV has endeavoured to enhance its advisory services in the areas of local governance (LG), private sector development and capacity development services (CDS). The first component of the BAP study, on local governance, was completed in 2004. The BAP booklet on private sector development is under production.¹

The present CDS study open before you is the third component of the BAP study. In 2003 SNV East Africa commissioned the BAP CDS study with the aim of documenting SNV advisory practice in five countries of eastern Africa: Ethiopia, Kenya, Rwanda, Tanzania and Uganda.²

The study has these overall aims:

- to document past and current experiences of SNV in East Africa with regard to process facilitation of CDS
- to foster harmonization of policies and practices in East Africa
- to compare, triangulate and benchmark SNV's advisory practice with the services of other relevant CDS suppliers.

From 2000 onwards SNV East Africa changed into a provider of capacity development services (CDS). SNV East Africa's CDS support is primarily given to meso-level organizations³ as they are seen as key players in the development scene. SNV East Africa's practice in the area of capacity development is still relatively young.

Support does not limit itself solely to meso-level organizations. In practice, SNV East Africa advisers also have an intermediary role between local, meso- and national level organizations. This intermediary or integrating role can be seen as a value added in itself.

SNV East Africa has sharpened its focus on capacity enhancement as its core business. Ownership and steering by client organizations of the capacity enhancement process aims to address the asymmetric relationship characterizing former donor–client relationships.

SNV East Africa's capacity development services are not core products and processes in themselves. Hence, these services within East Africa are always combined with thematic expertise and process facilitation skills. Facilitating the CDS process is identified as the key quality for all SNV advisers. Within the five countries of SNV East Africa and within the broader corporate themes of local governance, private service development and natural resource management, focus is on 1) a responsive and accountable local government, 2) joint action for basic services and local economic development, and 3) market access for the poor.

SNV East Africa has taken a step from implementing action itself to advising client organizations. SNV advisers are no longer seen as prescribing experts who transfer their knowledge. Instead, one strong role is to act as facilitators of networks for knowledge exchange.

The present booklet documents SNV East Africa's current advisory practice with regard to process facilitation of CDS.

Study process

The study process that this booklet relates has been carried out along the lines of an action learning process. One of the study's main aims was to enhance SNV East Africa's own organizational learning.

To enhance ownership of the study and to facilitate the link with individual and organizational learning, Context consultants have basically facilitated a critical self-assessment and self-reflection, carried out triangulation and taken the primary responsibility for documenting the process through publication, including this booklet. In doing so, the evaluators have performed the roles of facilitators, reflective observers and resource persons.

In the present study, primary importance has been given to views of representatives of client organizations and SNV advisers in the five countries of SNV East Africa. Hence, a view from below and within, which normally leads to better insights and more objectivity, has served as a guiding principle.

In general terms, a qualitative research methodology has been used, which has led to discovering a grounded theory about process facilitation of CDS. It has been a journey to explore 'good CDS practices' from empirical data of SNV East Africa's experiences in working with clients with the aim of enhancing their capacity.

The primary data were collected from January to August 2004. One of the major activities in collecting the data was that of action learning. SNV advisers and client organizations made a joint assessment about their performance in this respect during the action learning case studies.

An adequate action learning exercise basically contains three elements: 1) a 'good story': in this particular case about the life of development organizations in East Africa in general and their collaboration with SNV in particular; 2) rigorous reflection on that story; and 3) extrapolation of usable knowledge

for SNV East and Southern Africa, its client organizations and the development sector in the countries of the region.

The story needs to be presented in a factual and neutral manner, be based on direct observable behaviour and be supported by empirical evidence. The second step, reflection, is aimed at making sense of what has been going on. The third step is focused at how the story and the reflection contribute to organizational learning for SNV East Africa and its client organizations.

Nine action learning case studies have been conducted as part of the primary data collection of the BAP CDS study in SNV East Africa. The main purpose of the action learning case studies was to distil 'best practices' of SNV East Africa's Building Advisory Practice.

The different action learning case studies provided valuable information with respect to what went well, what could have been done differently, and what major challenges lie ahead.

In addition to the action learning case studies, meetings with SNV advisers in the five SNV East Africa countries and review of SNV documentation, the study also entailed:

- *contextual analysis*: assessment of the relevance and appropriateness of SNV's CDS interventions in East Africa
- *triangulation and benchmarking*: interviews with other CDS providers: CORAT Africa, Olive OD&T, CDRA, MDF, I/C Consult, Action Aid Kenya, PRIA
- *sector analysis*: review of literature on policy-oriented research
- a *concept mapping exercise* of 'good process facilitation of CDS': on 1–2 July 2004 in Nairobi, Kenya, a participatory workshop was held with advisers in East Africa. The aim was to enhance the learning from practice.⁴

Action learning case studies in SNV East Africa

Nine action learning case studies (see also 'Study process' above) were conducted to learn from SNV's advisory practice. The action learning case study in box 1 is an example of SNV's CDS interventions in the area of institutional change. It is a study of

the Centre for Minority Rights Development (CEMIRIDE) and the constitutional review process (CRP) in Kenya. The study was conducted in Nairobi, Kenya, in June 2004. Members of CEMIRIDE, observers and delegates in the review, and advisers of SNV Kenya all participated in the action learning case study, which was facilitated by Context, international cooperation.

Box 1. The action learning case study of CEMIRIDE (SNV Kenya)

A good story

From 1992 onwards the Centre for Minority Rights Development, CEMIRIDE, has played, and still plays, an important role in the constitutional review process (CRP) in Kenya, leading to strengthened democratic institutions. Initially one of the CRP weaknesses was that certain categories of people were excluded, such as pastoralists and other more vulnerable and marginalized groups. It became a priority to create visibility on issues of pastoralists and other minority groups by intensifying civic education in pastoralist areas.

The review of the Kenyan constitution was to be shaped by different consultation processes.

- *Bomas 1:* The first National Constitutional Conference, in 2003, with multiple stakeholders from across the country. The conference was followed by two months of dialogue and discussion about various issues between members of the steering committee and delegates from across the country.
- *Bomas 2:* More of a technical phase that dealt with matters such as the set-up of various committees, issues of representation and devolution of power.
- *Bomas 3:* Adoption stage of the CRP; more of a political phase with complete control over the process by parliamentarians.
- *Present stage:* The Kenyan people still place little trust in the CRP. Many delegates perceive the process as being a forced concept with issues already decided and thought through by the various committees. There is a standstill in the CRP document. Another Bomas is still possible.

Reflection

Participants in the CEMIRIDE action learning exercise jointly identified several major concepts about the CRP in general and collaboration with the various participating factions in particular. One concept was that the process was results oriented. It entailed

a high sense of purpose and commitment among delegates and observers, eventually resulting in their adopting a draft constitution. Another success factor was that the CRP was a participatory process with multiple stakeholders and diversity. Civic education had created a high level of awareness. Unity of the delegates and observers and inclusion of participants from civil society also contributed to the outcome. Continuous networking and forging of alliances with relevant stakeholders was equally important. The same held for continuous lobbying and advocacy and use of the media and other channels to clarify different views.

Participants also identified issues that could still be improved upon. Having communities participate in the planning and in civic education is reasoned to be essential to enhance awareness and the flow of information. Another issue that requires follow-up is the need to be more proactive in managing the constitutional review. Last but not least, it was argued that a thorough contextual analysis should serve as the basis for further and future action.

SNV's value added

A major value SNV added was said to be its capacity to rally stakeholders around critical issues. Throughout the drafting of the constitution, SNV Kenya's role in making it an all-inclusive process was to facilitate observers from different minority groups to participate. Before Bomas 1, for example, SNV enabled these minority groups to come together to discuss their priorities. It then arranged meetings in which they could present their views to the constitutional commission as a united front.

In addition, SNV jointly with CEMIRIDE (technical group) assisted the lobby for women's issues. Initially, the constitution was perceived as being a constitution by and for men. Women did not participate in the process of preparing constitution reports. Slowly an understanding grew among delegates that the constitution must defend the issues of women and other marginalized groups. CEMIRIDE and SNV assisted these marginalized groups in drafting their issues and enabling their attendance in the CRP.

SNV also provided technical and legal advice with regard to preparing motions. It furthermore helped with publications to raise awareness of what was going on in the country, such as providing support to a weekly magazine that provided a platform for various issues.

An interesting detail in this particular case is the fact that two SNV Kenya advisers performed multiple roles in the review process. Not only did they participate as SNV advisers of the CEMIRIDE/CRP initiative, they were also delegates in the review process itself. Within SNV Kenya, advisers asked themselves what SNV's role should be in the CRP. Should it be neutral? It was decided that SNV could not be neutral but

had to identify with issues such as diversity, gender and equity. It could not subscribe to these issues without taking a stand. There is still some internal debate about the implications of being an adviser and an activist (delegate) at the same time. Consensus still has to be reached with regard to this issue.

On the basis of the results achieved so far, SNV Kenya is yet to make decisions about the way forward in its relationship with CEMIRIDE. Several SNV Kenya advisers are convinced that SNV should continue its involvement and that the issue of civic education deserves follow-up within SNV. It is concluded that whenever SNV decides to include civic education in its activities the relationship with CEMIRIDE will be intensified.

According to one of the delegates in the process a lot of resources are still required for lobbying from organizations such as SNV, UNDP, OXFAM and Minority Rights Group International.



1: Relevance of capacity
development services
in eastern Africa



Relevance of capacity development services in eastern Africa

This chapter begins with a brief overview of the main concepts set out in this booklet. The next section outlines the major concepts learned from the last development decades with regard to capacity development services (CDS). The third section deals with the compatibility of different practices and the inherent challenges of transferring management concepts from one cultural context to another. The last section addresses the need for a thorough contextual analysis as a precondition for a quality CDS advisory practice.

The issue of semantics

The main concepts used in this booklet deserve some further attention, before discussing CDS at large and SNV's CDS practice in particular. This is done to avoid confusion and create clarity as to what is meant by capacity enhancement in an eastern African setting.

Within this booklet the terms 'capacity development' and 'capacity building' are consciously avoided as these terms create the impression that the process takes place in a vacuum, starts from scratch and is linear, rational and mechanical.* Actually, many so-called capacity building programmes have failed, because they have focused on specific problems rather than building on existing capacity and potential.⁵

Capacity enhancement is not a straightforward linear process; it is instead less predictable. It is sometimes two steps forward and one step back. Capacity assessment takes place at various levels of organizational or institutional complexity. It might, for example, be necessary to expand the ex-

amination ('zoom out') to the broader system level and view the relationships within the broader system. At the same time it might be necessary to 'zoom in' and take into account lower levels of organizational complexity. Kruse provides the following levels of organizational and institutional complexity. Capacity enhancement usually addresses human resource development, organizational development, and the broader context (systems development). The combination of these three usually leads to institutional development. In its totality, capacity enhancement is an approach that offers various types of products, reflecting an agency's approach to development as well as how it interprets its own role or roles.⁶

Organizational development deals with changes limited to the organizations themselves. It involves strengthening the internal capacities of organizations (financial management), performance, and evaluation systems (efficiency). Organizational development in other words tries to change and strengthen structures, processes and management systems within an organization to improve its organizational performance.⁷

Institutional development refers to 'changes that are intended to occur outside any single organization, in the patterns and arrangements of society'.⁸ It deals with 'changes that are meant to occur in social structures'.⁹ Institutional development is essentially about effecting macro-changes in the structure of society and economic relations and creating the enabling environment in civil society for development to take place.¹⁰

Technical cooperation is not only the oldest but also the most important form of

* Despite this assertion we recognize that SNV uses the term 'capacity development' as the official description of its main services. For this reason we retain the term when we are referring to the corporate policy instruments.

international development cooperation. It encompasses a large portion of the activities within the area of international development cooperation, and it is aimed at transferring skills and know-how and at building capacity within institutions that are required to undertake development activities.¹¹ In development practice ‘technical cooperation’ and ‘technical assistance’ are used interchangeably. SNV East Africa’s CDS can be looked upon as a new form of technical assistance or technical cooperation.

SNV’s Capacity Development Services

SNV focus recently changed from organizational and institutional development to Capacity Development Services (CDS). Bearing in mind Kruse’s multidimensional model of organizational complexity (see table 1), SNV’s model of capacity enhancement also takes into account different levels of organizational and institutional complex-

ity. SNV East Africa has further defined its types of service: diagnosing and learning, organizational development, partnership building, and institutional change (table 2).¹²

At present, SNV East Africa’s clients are served by teams of national and international experts that combine thematic knowledge with skills in organizational strengthening, partnership building, institutional change, and diagnosing and learning. The approach to link SNV’s CDS with thematic expertise is in line with current international thinking about change management.

Enhancing the capacity of an organization is not an end in itself but should be seen as a means to support communities in achieving their developmental aims. SNV East Africa focuses on five practice areas (see also chapter 4): 1) responsive and accountable local government, 2) market access for the poor, 3) pro-poor tourism, 4) peace building and conflict transformation, and 5) developmental responsiveness to HIV/AIDS.¹³

Table 1. Multidimensional model of institutional development

Process dimension	Institutional development	
	Levels	Focus
Human resource development	1 Individuals and groups	Competence, motivation
Organizational development	2 Organizations	Structures, processes and systems
System development	3 Network links	Patterns of communication and collaboration between organizations
	4 Sector	Policies, rules, legislative framework
	5 Overall context	Macrolevel policies and conditions Cultural values, norms and traditions

Kruse et al. 1998, p. 17.

Table 2. SNV's four Capacity Development Services

Capacity Development Services	Description
1 Diagnosing and learning	<p>A number of different services directed towards action-based learning and knowledge development on poverty in general and on specific development problems of SNV's client organizations. Key services are:</p> <ul style="list-style-type: none">• diagnosis, benchmarking and strategy formulation• action research and innovation• learning and knowledge development• impact assessments
2 Organizational development	<p>Aimed at increasing the capacity of client organizations to perform effectively and to learn and adjust based on a thorough understanding of their broader context. Key services are:</p> <ul style="list-style-type: none">• visioning, strategizing, positioning• leadership, change and conflict management• legitimacy and societal accountability• placing gender in the mainstream• primary process performance• planning, monitoring and evaluation, learning• financial management, resource mobilization• human resources management• organizational structures and systems
3 Partnership building	<p>Services aimed at increasing the capacity of organizations to learn to interact, collaborate, negotiate and build partnerships with each other to further anti-poverty objectives. Key services are:</p> <ul style="list-style-type: none">• multistakeholder processes and platforms• partnership development• network development• collaborative management systems• knowledge alliances and learning networks
4 Institutional change	<p>Aimed at supporting client organizations in their efforts to influence policies and institutional change, to improve their enabling environment. Key services are:</p> <ul style="list-style-type: none">• facilitating policy dialogue• influencing institutional reform• lobby and advocacy (national and international)• institutionalizing links and associations within sectors• regulatory and financial frameworks

Box 2. A case of institutional development and private sector development: joint action for aloe vera in northern Kenya

The aloe vera case in northern Kenya is a good example of SNV Kenya adding value in its advisory role in the areas of both institutional and private sector development. Four NGOs and one partner organization have been working on a rather small scale on private sector development. The initial request to SNV was whether the four NGOs could scale up and diversify their activities through, for example, aloe production. In 1992, a presidential ban was imposed on trade in aloe to deter harvesting of wild aloe vera, which is a CITES endangered species. The ban thus made illegal even cultivated production of the crop.

SNV and the partner organization Laikipia Wildlife Forum (LWF) subsequently organized and facilitated a seminar in Laikipia with a variety of stakeholders to discuss the issue of aloe regulation and the presidential ban. These participants included representatives of four NGOs, communities, small and bigger aloe producers and traders, researchers, and trade facilitators and promoters. The Kenya Aloe Working Group (KAWG) was formed out of the seminar. SNV and LWF initiated a meeting between KAWG and the director of Kenya Wildlife Service, which is the government body that would supply the licence as it is in charge of handling CITES regulations. Another result of the seminar was the formation of six working groups with members drawn from the different stakeholders.

At present the presidential ban is being reconsidered, and all relevant stakeholders are linked with each other. The four SNV client NGOs are linked to this initiative. There is the possibility that aloe production will be allowed in their region, and the NGOs are linking with traders. SNV together with LWF has been successful in teaming up with stakeholders who at first sight might each be working on a very different theme.

There also is an international dimension to this case, as production of aloe vera is a multibillion-dollar business. It is a natural product being used in many soaps, medicinal preparations and beauty creams for which demand is high, especially in the West. Kenyan traders have already established business links with some leading supermarkets. There is yet more to explore with regard to local, national and international markets for aloe vera.

Source: Rem Neefjes, SNV Kenya

Three-pillar approach

This section proceeds from the issue of semantics to the major lessons learned with regard to capacity enhancement services.

During the final decade of the last century discourse on capacity development intensified. Some of the major points that have emerged serve here as a backdrop for analysing such services.

State, corporate sector and civil society: three societal pillars

Over the last few decades many discussions have taken place within the development sector about the roles and functions of various actors—that is, the state, the private sector and not-for-profit civil society organizations. In the 1980s, there was a conviction that governments should reduce their direct role in the economy. In the 1990s, the insight grew that both private and state sectors have important roles to play and that the state should focus more on its role as facilitator of private initiatives. According to a 2002 World Bank report,¹⁴ governments are not the sole actors. Individuals, communities, multinational companies and civil society actors are just as vital in contributing to change. These actors often work in partnership with each other.

The state, the corporate sector and civil society are guided by different sets of values and objectives. After all, conviction, vision and values are at the heart of every organization, and from which other characteristics of the organization are derived. Voluntary sector organizations do not have the legislative capacity or coercive force of the state and multilateral organizations, nor the economic clout of commercial capital and enterprise. 'What they have, instead, is the dynamism and power of self-willed human action, which can encompass very large numbers of people and exert significant influence in society.'¹⁵

Based on these differences in points of departure, non-governmental development organizations (NGDOs) in both North and South have a number of comparative advantages vis-à-vis the 'first' and 'second' sectors; through their background, values and involvement NGDO staff are closer to the target groups of development projects and programmes. Consequently NGDOs are in a better position to contribute to develop-

ments from 'below'. As a rule, NGDOs are less bureaucratic and cumbersome than governments and multilateral organizations and therefore can respond more flexibly to local situations. In contrast to the corporate sector, NGDOs are better positioned to deal with the priorities of poor or marginalized groups because they mostly operate by providing subsidies rather than under market mechanisms. Their institutional flexibility makes it possible to engage in long-term relationships that in most cases are a prerequisite for sustainable development. Furthermore, NGDOs can supply important services that are less attractive to others, such as facilitating organizational and institutional development processes, facilitating networks, functioning as information channels and catalysts, engaging in political lobbying and advocacy.¹⁶

State and multilateral organizations have other, often quite different, comparative advantages. Governments are inclined to be authoritative in dealing with citizens, a characteristic they may temper by setting standards for and soliciting feedback on the performance of public services. They furthermore have a set of mutual obligations with the citizenry and are empowered to legislate and enforce. Private businesses on the other hand usually lack formal coercive power and 'try to condition the external world through advertising, by setting monopolies', and so on.¹⁷ In essence, private businesses try to protect their internal functioning from external disruption.

In line with the international development discourse SNV has recognized the need to work with representatives of the three sectors. SNV in this respect has a long record and long-standing relationships with government, the private sector and members of civil society. SNV calls this the three-pillar approach.

SNV's CDS practice, for example, gives evidence of the inclusive approach that rec-

ognizes conflict of interest within civil society and tries to identify strategic alliances for change. SNV furthermore demonstrates characteristics of a development organization that combines 'support for building organizational capacity with activities aimed at service delivery.¹⁸ This strategy refers to encouraging and enabling vertical and horizontal (formal and informal) links between autonomous

societal actors. Horizontal ties are important, but civil society activists are even more effective when operating at multiple levels. SNV advisers in this respect generally take meso-level organizations as their main entry point. In the change process they encourage and promote these organizations to establish vertical and horizontal links.¹⁹

Box 3. Institutional development and local governance: the Union of Local Authorities (SNV Uganda)

The Union of Local Authorities (ULAA) was set up with the aim of decentralizing and devolving power with regard to providing basic services. ULAA started out in 13 pilot districts in the year 2002. At present, there are 56 of these government bodies throughout the country. ULAA is now seen as a representative force and is acknowledged by the central government. Legitimacy has been achieved through increased membership. All local authorities as of today are ULAA members. They receive key training programmes, legal services for interpreting and making ordinances, and interdictions on conflict areas. ULAA furthermore helps members speak in one voice to the central government. SNV Uganda entered into a relationship with ULAA in 2002 by providing technical support in organizational and institutional development. SNV initially entered by facilitating an organizational self-assessment exercise in October 2002. The assessment exercise also served as a catalyst in institutionalizing a monitoring and evaluation system. SNV furthermore assisted ULAA in organizing a national conference on the subject of decentralization. Later SNV moved towards providing capacity enhancement support. At present, ULAA is offering organizational self-assessment to all local government institutions to assist them in analysing their performance. This is being done with the assistance of SNV Uganda.

SNV's value added in this case lies in assisting ULAA to find out what it required to be effective as an institution and to link different stakeholders. One of the lessons learned in this particular case is that collaboration could have been better between SNV advisers who work for the districts and ULAA. Some of the outputs of the organizational self-assessment, however, have already been implemented. In addition, a reflective culture has emerged within ULAA.

CDS at organizational level: a balancing act

Independently from the choices already mentioned with regard to strengthening civil society and enhancing capacity, a major lesson learned in the last development decade was that organizations involved in capacity enhancement must have capacity already in place. This requirement applies to clients of organizations that provide capacity enhancement services, as these client organizations are the main facilitators of change within society at large. Evidently, this also holds for the service providers themselves. Realization of the need to have capacity in place emerged out of policy-oriented research, evaluations and CDS-related literature; day-to-day practice reconfirms repeatedly that this is essential.

In any capacity enhancement process it is furthermore necessary to take into account both 'hard' and 'softer' aspects of an organization. The 'equipment' of an organization—its systems, tools and instruments—does not suffice alone. It is equally important to take note of the human dimension of an organization and 'to win the hearts and minds' of people within an organization for them to participate fully in pursuing quality.

To change organizational behaviour is to start with changing the underlying values of people within an organization. The educational strategy required aims at a supportive learning environment with continuous training.²⁰ A balance ought to be found between further enhancement of personal and organizational competencies. Personal competencies such as social skills and the ability to reflect upon one's action have become ever so important.²¹

The hard versus soft management approach correlates with the mechanistic versus new-sciences view about organizations: machine versus living organism. In the traditional Newtonian, mechanistic view,

emphasis is on formal structures, systems and procedures. Any change can be engineered from outside an organization. In the new-sciences view, however, organizations are seen as living organisms. Attention is paid to underlying, non-visible tacit aspects of an organization.

It is nowadays common knowledge among management theorists and capacity enhancement practitioners that if organizations are managed in strictly mechanistic ways, they cannot survive in today's complex, knowledge-intensive and rapidly changing environment. If organizations are analysed along those lines only a limited view of complex reality will emerge. Within SNV East Africa's daily practice advisers are more and more taking note of these so-called softer aspects of an organization.

The compatibility of different practices

Capacity enhancement needs to be put into context for many reasons. In the late 1970s Moris already addressed the challenges of transferring Western management concepts, programmes and practice to, in this case, an East African context.²² To talk about the transferability of Western concepts to other settings is a rather limited, unilateral part of the story. Two decades later Jackson preferred to speak of 'interaction', 'compatibility' and 'reconciliation' of Western and non-Western practices as a more egalitarian basis for discussion.²³

Jackson in this respect speaks of the anti-thesis²⁴ between Western and non-Western ideas of organization and management: between the idea of people as a resource (human resource management) and people with a value in themselves (reflected in the word *ubuntu*: people are people through other people).²⁵ Within many Western organizations people are mainly regarded as

a means to an end. In other cultures (for example, Japanese, African) people are perceived as having a value in their own right. Organizations may be seen as serving the needs of their people as a collective, rather than people being purely a resource for the organization.

From an African perspective, this collectivism may be linked to a possibility for people to negotiate through life, either individually or collectively, but mainly by being interconnected with others in a communion of interest.²⁶ Wagner continues by stating that individualism stresses self-interest and an instrumental relationship with others, particularly in organizational relationships, whereas collectivism stresses an obligation-based relationship often associated with kinship and group membership.²⁷

To overcome the antithesis between individualism and collectivism in African transitional economies, Jackson suggests developing an indigenous management style and approach that would borrow aspects from 1) Western approaches (unavoidable given historical factors), 2) Asian approaches (bearing in mind the substantial differences between African and Asian 'collectivism') and 3) approaches that are purely African in nature.²⁸

Jackson reasons that it is not so much the 'types of skills', 'competencies' or 'knowledge areas' that deserve immediate attention. A more holistic approach to management development is required that pays attention to developing issues at more intuitive or subjective levels such as participation, flexibility, creativity, honesty, trust and openness. Jackson concludes that with an African orientation towards valuing people for their own sake rather than as a means to an end, it may be necessary to conceptualize organizations anew to achieve a synthesis between Western individualistic and African collectivist humanistic orientations.

The Durban (South Africa)-based capacity enhancement provider Olive also addresses the issue of transferability of management and change concepts.²⁹ Olive reasons that capacity enhancement is a value-based approach. Hence, the local value system may be different from that of the Western CDS practitioner. For example, according to the social view, people in African countries on average try to avoid or circumvent confrontation, choose clanism or collectivism instead of individualism, are oriented to the short term, are oriented towards the 'being' rather than the task, and link success with maintaining the well-being of the family and the in-group rather than with achieving the goal of the endeavour.³⁰

Mbigi provides the following strategic lessons for African organizations.³¹ First of all, negative spirits must be marginalized and a positive organizational climate established if organizational renewal efforts are to be sustainable. Second, rituals and ceremonies of departure need to be designed in any change process within an organization. Third, organizational transformation, the wake-up call and critical reflection all have to be facilitated by outside consultants. Fourth, organizations cannot embark on renewal without dealing with their negative past and past grievances. But once organizations have embarked on the path of critical renewal, they should resist the temptation to look back into the past.

Underlying values of SNV East Africa's practice with regard to capacity enhancement do indeed take into account a more holistic approach to managing change, as will become evident in the course of this booklet, which discusses placing these services in a specific local context.³²

Capacity enhancement services in local context

From an African perspective both competency-based and holistic approaches to management development are needed. Each country and each organization needs to look at its practice in terms of its own context.

The need for a thorough contextual analysis is stressed as a necessary precondition within the development sector at large. Also within SNV East Africa the issue of conducting a proper contextual analysis is considered a prerequisite for every capacity enhancement intervention in its different practice areas.

Box 4. The importance of contextual analysis: the case of ERSHA (SNV Ethiopia)

Context. The case of ERSHA, the Ethiopian Rural Self-Help Association, in the south of Ethiopia is illustrative of the importance of contextual analysis in relation to capacity enhancement service interventions. SNV has a long history in Ethiopia. Over 90% of its assignments are with the central, regional or zonal governments. Most organizations are characterized by a strong centralized, hierarchical structure of administration, which is quite often heavily influenced or dominated by political influence. As a result, enhancing capacity within such an institutional or organizational setting in terms of values, guiding principles and approaches is fundamentally different from doing so in more open organizational systems, and thus requires special attention. This phenomenon is not limited to the portfolio of SNV in Ethiopia. In Uganda, for example, there exists also a systematic collaboration of SNV with local governments, which show similar characteristics. These issues therefore require further attention in SNV's advisory practice. In Ethiopia SNV had a project cofinanced by NOVIB (Dutch NGO providing international development assistance) through which independent local NGO emergence was supported. SNV subsequently cooperated in ERSHA's emergence and handed the project over to ERSHA.

SNV and ERSHA. SNV not only has a long record of working in Ethiopia; it also has a long history with ERSHA as ERSHA took over a programme SNV had previously implemented (1994–98). ERSHA continues what SNV had initiated by adding further innovative activities. It thereby develops new approaches and interventions that are consistent with community-based capacity enhancement. This is done through skills training, advisory support, material farm support, and savings and credit service. ERSHA is currently moving from being a service provider to being a community capacity builder. *SNV's capacity enhancement support* shifted mainly from the former areas of organizational self-assessment, fund raising and public relations to community empowerment and work with community-based organizations.

What has gone well so far is that ERSHA is perceived as addressing the felt needs of the communities in a gender-sensitive manner. Another added value is that the com-

munities are involved in each stage of the development process. Capacity enhancement is facilitated at many levels with the aim of sustainable community development. *More attention* still needs to be paid to a focus beyond the project approach. More systematic involvement of community-based organizations is required as well as a more focused capacity enhancement approach.

Contextual analysis is part of SNV's annual strategic planning cycle. The importance of a thorough contextual analysis also emerged during interactions with SNV advisers. 'Deep understanding of the contextual environment', 'accurate insight of the organization and its internal dynamics' and 'a good understanding of other actors who relate to the client' were some of the statements expressed within this context.

SNV East Africa frequently conducted different types of analysis—country analysis, stakeholder analysis, poverty analysis, problem analysis and analysis of why SNV chooses to work in certain thematic areas and with certain types of clients. As SNV East Africa's practice in the area of capacity enhancement is relatively recent, several contextual issues deserve further attention. These include the nature and character of the state in countries where SNV is working; strategic consideration with respect to collaboration with different government institutions; and the market for SNV East Africa's CDS in the different countries in eastern and southern Africa.

SNV East Africa's day-to-day practice of contextual analysis is being informed by historical considerations, strategic choices made

at corporate level, exchange of experience among SNV advisers, and response to developments in the working environment. Instead of occasionally outsourcing contextual analysis to third parties (that is, consultants), SNV advisers are making contextual analysis an integral part of their day-to-day practice.

Recently, many tools have been developed to assist development practitioners and organizations in positioning themselves within a broader development context. One such tool is the civil society 'diamond',³³ which helps present and interpret information about various aspects in a systematic way. The diamond has four major components: space, structure, values, impact. Case studies, with related indicators pointed out, demonstrate variety of use and applicability of the tool. Many other tools for contextual analysis are available in the market such as stakeholder analysis (already being used by SNV), environmental scan and the institutiogramme.

In sum, it is important not only that such tools are being used to read the environment, but also that such an analysis is being carried out regularly by SNV itself. It is part of the core practice of a quality process facilitator as it enhances individual and organizational learning.



2: From engineering to facilitating



From engineering to facilitating

Capacity for development cannot be discussed without having a clear picture in mind, a vision and mission about the ultimate aim. The question to be raised here is ‘capacity for what?’ Authors such as Eade reason that ‘in a context of rapid change, an NGO must be all the more clear about its own purpose and values and the role(s) it wishes to play’.³⁴ This applies to all development actors who are active in enhancing capacity. A larger reflection on the practice of capacity enhancement services at large and SNV East Africa’s position within that environment is necessary.

Subsidized capacity enhancement services and the new policy agenda

In the present international discourse about ‘capacity for development’ it seems as if quite often the dominant development paradigm is taken for granted. The neo-liberal development model, which builds on Rostow-style modernization theories, has become the dominant paradigm. Its basic assumptions are: competition leads to economic progress and development; collective rationality follows from individual rationality; people act rationally; maximization of profit in a perfect market is a universal value and leads to prosperity for everyone.

The policy of development organizations is, consciously or unconsciously, often based on the twin concepts of neo-liberal economic and democratic theories.³⁵ This so-called New Policy Agenda not only serves as a starting point for international

development organizations such as the World Bank and IMF, but—it appears—for a number of UN and private development organizations as well. Few participants in the debate have questioned the approach as such.

Subsidized private development organizations, including providers of capacity enhancement services, often adopt the neo-liberal development model in their own policy. A number of mutually interdependent factors are responsible for this incorporation, such as retreat of the state, which emerged in the 1980s and which was modified to a more participatory approach in the 1990s.³⁶

A deliberate choice has been made for actively and systematically involving NGDOs, especially with regard to providing basic social services. In some countries this leads to substitution. In a great many countries with structural adjustment programmes, for example Tanzania and Bangladesh, governments encourage non-profit private initiatives to fill the gaps.³⁷

NGDOs, a major vehicle for advancing decentralization and democratization, are considered important actors within civil society and of crucial importance in realizing the New Policy Agenda.³⁸ In many countries in the South and in Eastern Europe, NGDOs are seen as a potentially important link between state and citizenry and as a stimulus to—and part of—a pluralistic society.³⁹

In many countries there is growing dissatisfaction with the poor cost-effectiveness of governmental top-down development programmes. The comparative advantage of NGDOs as instruments to facilitate

bottom-up development is increasingly being recognized.⁴⁰

Many NGOs however depend, or have become dependent, on state funding. This is also the case with regard to the CDS sector. As a result, accountability mechanisms change and the autonomy of the NGO is increasingly compromised. In development literature this is often referred to as upward accountability: being accountable to and satisfying the external organization that provides the financial support. Thus the concerns of the financier may take precedence over downward accountability—to the board and its members, and especially to the communities for whose benefit the organization is meant to provide services.⁴¹

Many in the private development sector have embraced the New Policy Agenda. For a variety of reasons this is a paradoxical situation. In the first place, the ‘Western civilization project’ is in serious crisis. Second, Western dominance is heavily resisted, possibly more than ever. Third, many private development organizations in the North are experiencing a mid-life crisis.⁴²

The question, however, is—up to what degree is promoting the New Policy Agenda in line with development goals such as supporting meso-level organizations and local capacity builders with the aim of improving governance and reducing poverty?⁴³

From engineering to advisory services

Over the years, shifts in emphasis within the dominant development thinking and development policy have strongly changed the character of what is now being called CDS.⁴⁴ At the end of the 1970s, the focus of development policy shifted towards a more participatory approach. Participation

of the poor and the oppressed in development processes became the catchword. For technical assistance, this implied an important qualitative change of policy, whereby focus shifted to supporting private social initiatives, taken largely by NGOs.

During the 1980s scepticism about technical assistance grew, and it was more or less pushed into the margins by programme aid. But at the same time, technical assistance was increasingly supplied as an extension of programme aid for institution building and for guiding the processes of privatization and reduced role of the state.

This pattern continued throughout the 1990s, during which ‘tailor-made work’ and ‘flexibility’ gradually became the catchwords in addition to ‘institution building’. Emphasis was now placed on the change process of institutions. A theoretical plea for this approach came from the side of institutional economics, which argued in favour of well-founded institutions in addition to the market.

At present, emphasis among providers of capacity enhancement services is on advisory services with a focus on organizational development and a process approach. SNV East Africa serves as an example of this trend (see also ‘SNV East Africa’s shift in logic’ in this chapter). In this context it may be argued that the next step to be made is from advice to facilitation. Capacity enhancement should no longer take on the shape of doing things locally or providing advice. Instead it should facilitate, which is quite different from the actual development practice of many contemporary CDS providers.

Outsiders may play a number of different roles in fostering change. On a directive to non-directive continuum these roles range from the role of the expert at one end of the continuum to the adviser in the middle to the facilitator at the far end.

The expert assumes leadership, initiates and actively directs—the traditional expert model. The adviser provides the client with data, which the recipient may or may not use. The adviser is moderately involved and responsible for results but is not so much concerned with client learning. In contrast with the expert or the adviser, the facilitator is not primarily responsible for results but is responsible for helping the client with process-type interventions to help the client make its own decisions.⁴⁵

In a nutshell, facilitation is all about improving performance and helping others to help themselves. The ultimate function of a facilitator is ‘to teach others how to diagnose and constructively intervene, so that clients are better able to continue improving the organization, sector or situation on their own’.⁴⁶ The success of capacity enhancement change processes is very dependent on consultants playing the appropriate role at the appropriate time.

The major changes in the shift from the expert model to that of process facilitation are summarized in table 3.⁴⁷

The role of facilitator, as mentioned, requires a listening and learning attitude on the part of the facilitator, leaving control of the process and the remedy for change with the client. The outcome of such a process is a change process from within the organization, leading to high sustainability and continuous learning.

Until recently the capacity to learn and adapt received little attention within NGOs in either North or South. The importance of what works and why is, however, essential to success—and knowing what does not work might even be more essential.⁴⁸ Overcoming learning obstacles cannot be engineered from the outside. It normally requires a change in mindset and culture, which should emerge from within but may be facilitated from outside.⁴⁹

SNV’s shift in logic

This shift away from expert and advisory services is also reflected in shifts at SNV corporate level. In 2000, a new strategy paper was finalized and a repositioning process launched.⁵⁰ One decision was to bring about more focus and efficiency by working towards capacity enhancement. Other changes included a sharper orientation towards demand, more of an advisory nature, more sharing of knowledge, and a sharper orientation on results. The major shifts in SNV logic are summarized in table 4.

Policy developments within SNV as a whole are generally in line with developments within the broader context of technical cooperation. SNV shifted from a strategy of gap filling to knowledge transfer by experts and is now shifting towards process facilitation in certain practice areas and towards knowledge exchange, development or acquisition. The five countries and SNV East Africa have all reoriented themselves, implementing changes in policy, organization and activity.

SNV’s mission and vision and the ultimate aim of CDS

The beginning of this chapter argued that ‘capacity for development cannot be discussed without having a clear picture in mind, a vision and mission about the ultimate aim’. Moreover, vision and mission have to be understood, shared and internalized by all staff members within the organization, in this case the SNV advisers in East Africa. SNV’s vision and mission have been clearly articulated in SNV documentation. This is also the case for SNV programmes in East Africa.

SNV’s mission reads as follows:

*SNV is dedicated to a society where all people enjoy freedom to pursue their own sustainable development. Our advisers contribute to this by strengthening the capacity of local organizations.*⁵¹

Table 3. Comparison of expert model and process facilitation for advisory services

Subject	Expert model	Process facilitation
Aim	<ul style="list-style-type: none">• One-off problem solving	<ul style="list-style-type: none">• Ongoing ability of the recipient to solve its own problems
Assumptions	<ul style="list-style-type: none">• Problem easily diagnosed• Problem not too hot and complex to be comprehended and handled by outsiders	<ul style="list-style-type: none">• Problems complex and diverse• People within the system have competencies and talents
Nature of the problem	<ul style="list-style-type: none">• Technical• Nuts and bolts	<ul style="list-style-type: none">• Cultural• Complex• Learning and adaptation
Scope of the problem	<ul style="list-style-type: none">• Single part of an organization	<ul style="list-style-type: none">• Whole organization (organizational development)• Relationship with networks, sector and overall context (institutional development)
Nature of the diagnosis	<ul style="list-style-type: none">• By the expert in consultation with the client	<ul style="list-style-type: none">• By the client through the consultant's facilitation• Emphasis on self-diagnosis and assessment
Expertise required	<ul style="list-style-type: none">• System, sector and subject specific, with emphasis on knowledge and skills	<ul style="list-style-type: none">• Process facilitation with emphasis on skills and values• 'A curious and continuous learner'• Ability to tolerate and accept ambiguity and paradox
Methods applied	<ul style="list-style-type: none">• Survey• Outside diagnosis• 'Preaching and teaching'• Bias towards control	<ul style="list-style-type: none">• Action-learning cycle• Participatory learning and action• Bias towards trust
Remedy coming from	<ul style="list-style-type: none">• Consultant expert	<ul style="list-style-type: none">• Within through facilitation
Controlled by	<ul style="list-style-type: none">• Consultant expert	<ul style="list-style-type: none">• The client
Change strategy	<ul style="list-style-type: none">• From outside (possibly coercive)	<ul style="list-style-type: none">• From within the organization
Focus	<ul style="list-style-type: none">• Formal organizational aspects	<ul style="list-style-type: none">• Informal aspects, initially not so conscious
	<ul style="list-style-type: none">• On the 'tip of the iceberg'	<ul style="list-style-type: none">• On the 'submerged, beneath'
Outputs	<ul style="list-style-type: none">• Reports and recommendations	<ul style="list-style-type: none">• Creation of new ways of working
Risks	<ul style="list-style-type: none">• Lack of ownership	<ul style="list-style-type: none">• Neglect of task
Sustainability	<ul style="list-style-type: none">• Low	<ul style="list-style-type: none">• High; contributes to continuous learning

Table 4. SNV's shift in logic

No.	Old	New
1	Poverty alleviation	The struggle against poverty
2	SNV development interventions with counterpart, for target groups	Local responsibility
3	Project management	Process facilitation
4	SNV programmes	Portfolios of client-driven activities
5	Implementers	Change facilitators
6	Isolated knowledge transfer	Facilitation of knowledge exchange and development

Source: SNV 2002c.

Box 5. An example of SNV's role transformation: TCCIA (SNV Tanzania)

SNV's role transformation from implementation to advice has not always emerged smoothly. In many occasions this role shift created tension on the part of the partner organization. This happened with TCCIA, the Arusha regional chapter of the Tanzania Chamber of Commerce, Industry and Agriculture.

Context. The Tanzanian government has slowly been opening up its markets to international competition. The private sector, however, generates only low income and the business community is not yet fully prepared to seize the opportunities.

SNV Tanzania started assisting TCCIA in Arusha in 1999 in implementing its projects under Jiendeleze—a broad-based, low-budget private sector support programme in the Arusha region. SNV organized a meeting and official launching of a new branch in Monduli. SNV's initial role was to support the private sector through the programme. It is acknowledged that SNV has brought together stakeholders in the private sector initiative. The need is also felt to enhance capacity through training to bring about tangible results. SNV is providing support to the Arusha TCCIA's business plan 2004–05, which is being written on the basis of an evaluation of previous business plans. SNV facilitated the workshop discussing the future business plan.

Anxiety TCCIA. Initially SNV provided expert advice and financial support to the Arusha TCCIA through the Jiendeleze project. Similar to other country offices in East Africa, SNV Tanzania, however, shifted to advisory services in 2003. This shift has created some anxiety on the part of the client, which needs to have its and SNV's new roles clarified and needs to internalize this shift.

Added value of TCCIA lies in mobilizing resources and raising awareness of entrepreneurs of business opportunities in the private sector. Entrepreneurs are furthermore coming to realize that a private sector organization exists that the central government recognizes.

Reducing poverty and improving governance are ultimate aims in SNV's work. SNV has chosen to focus on meso-level organizations, which—if strategically well located—have the legitimacy and potential to become more influential and instrumental in poverty relations.

SNV's values with regard to CDS

At corporate level, core values have been formulated with regard to SNV's CDS advisory practice such as social and economic justice, gender equity, intercultural sensitivity, collective commitment, complementary contributions and reciprocal accountability. SNV acknowledges that it has not yet fully used 'the powerful potential that values have' in improving its advisory practice.⁵²

During the present research process SNV advisers in East Africa also stressed the importance of being a value-based organization. The most important values of a capacity enhancement process have to do with respect, trust, honesty, recognition of the client's existing capacities, and respect for them.

The attitude of a facilitator should also be supportive and honest. The power of the facilitator should not be used to manipulate, and facilitators should be open about their own limitations. Additional values include giving the client organization ownership of the process; being visionary, focused, innovative, creative and flexible; and last but not least, empowering the client to remain in control of the process.

These values that SNV East Africa advisers mentioned coincide with values mentioned by other CDS providers interviewed in the course of the present BAP CDS study.⁵³ There is, in other words, broad consensus among advisers with regard to values related to capacity enhancement services.

The translation of these values into organizational policies, instruments and procedures is still being developed within SNV and not yet concluded. As of yet these values are rather general in nature. SNV East Africa is still making them more specific on the basis of its CDS advisory practice and subsequently will institutionalize these values into policies, instruments and procedures.

Defining such values is necessary not only for the client, the context and the interface between the two. It is also important for SNV East Africa itself. Translation of values into systems, instruments and procedures is essential as these values form the basis for the actual development of SNV's approaches with regard to sound facilitation of capacity enhancement.

Core guiding principles

The various policy documents regarding SNV's repositioning describe a number of principles that are to guide its work. Demand-driven, client-centred and client-led are a few of these guiding principles. They require open dialogue; ownership by SNV's client organizations; in-built mechanisms for explicit feedback and evaluation by the client; and the leadership role of the client in terms of leadership, ownership and interest.

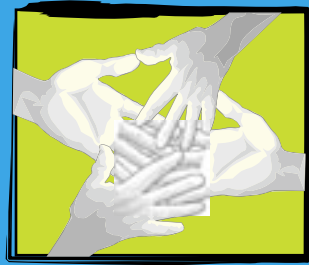
During the study SNV advisers indicated that good process facilitation implies being aware of one's own values, so that these can serve as guiding principles in the interface with client organizations.

The guiding principles mentioned by SNV advisers are, again, in line with those provided by advisers of other capacity enhancement services interviewed for this study. From these interviews it can be concluded that the adviser or facilitator should create conditions and mechanisms for genuine participation. In their turn, SNV advisers argue that participation by various

stakeholders is essential to bring about structural changes.

Flexibility in the process is another guiding principle mentioned by advisers in East Africa. This relates to the unique, unpredictable character of each capacity enhancement process, which requires creativity and flexibility on the part of the advisers to be able to adjust and adapt to changing insights and circumstances. Additional important guiding principles furthermore include 1) steering by the client;

2) timeliness; 3) deep understanding of the organization, programme relationships and contextual environment; and 4) the fact that organizational development and change processes are a two-way stream. 'It is not only about them, but also about us.'⁵⁴ Last but not least, orientation towards results is important, both in SNV's strategy and for the SNV advisers themselves. This means that the process should be geared towards delivering sustainable results, requiring realistic action plans.



3: SNV's strategy and approach to CDS



SNV's strategy and approach to CDS

In its new strategy SNV has sharpened its focus on capacity enhancement as its core business. Emphasis is on ownership of the process and steering by the client. This may address the asymmetric relationship that characterized former donor–client relationships. This chapter furthermore focuses on the steps necessary to deliver the services.

CDS strategy

SNV East Africa has made the necessary shift from being an implementing organization to becoming a provider of advisory services. It is also being acknowledged that 'SNV advisers are no longer experts who transfer their knowledge, but facilitators of networks of knowledge exchange, debate,

enrichment and development that are able to meet local needs'.⁵⁵

Challenges still lie ahead. A more systematic shift towards facilitation is taking place as facilitating change processes is identified as the key quality for all SNV advisers. This shift from advice to facilitation is, as argued in this booklet, in line with current international development thinking and changes in policy and implementation.

SNV East Africa's focus is on providing CDS support to meso-level organizations, seen as key players. SNV East Africa is involved in many activities in this domain. At the same time SNV acknowledges that it is still 'learning to support their development', thereby combining its thematic expertise with organizational development practices and a process approach.⁵⁶

Box 6. A meso-level organization with multilevel links: the Regional Secretariat in Dodoma (SNV Tanzania)

The Regional Secretariat (RS) in Dodoma is a meso-level government organization, which is at the same time part of a broader government structure. This means that national issues also require follow-up attention. The RS role changed from that of implementer to adviser to local government authorities (LGAs). Recent changes within the government structure are perceived as 'confusing' and the RS is still asking itself how to fit into the new structure. Parallel to the developments within the RS, SNV also shifted from being an implementer to providing advisory services.

SNV/RS. SNV's role was to prepare the RS in 2001 for its new role as adviser. SNV Tanzania has also facilitated seminars through which the LGAs came to appreciate the RS's advisory role. What still needs to be done is to appoint a local government management support adviser. The relationship between SNV and the RS is believed to be more than just capacity enhancement. The RS, which has a bird's eye view on development activities in the region, also plays a role in linking SNV to the LGAs.

Vertical and horizontal links. The RS not only operates at meso level but also engages in national issues that deserve further attention. The RS as such is thus accountable to both the public (vertical) as well as to its donor organizations (horizontal).

Anxiety over role shift. SNV's role shift emerged as an important topic in this particular case also. The RS argues during the analysis of the SNV/RS relationship that it is 'still learning the Dutch ways' and that 'it is difficult for us to plan ahead; even tomorrow is a question mark'. The RS feels that although SNV's role shift has been well discussed, the consequences for the RS are still left in the open. RS advisers feel that the process was too fast and they would have preferred that 'past, present and future were negotiated item by item'. It is concluded that certain preconditions will need to be fulfilled at RS level before the RS can carry on as capacity enhancers. Capacity enhancement is also to be included in the future plan of action.

Ownership is essential in SNV's new strategy. Local organizations must own and are responsible for leading change processes. The client organization's expectations, interests, questions and intended results are to be laid down in a service contract in which the local client is the principal stakeholder. The role of the SNV adviser is to serve, change, advise and support, and work with the client to influence the broader policy environment.

Overall approach

Capacity enhancement is an ongoing process, not an ad hoc event, and it implies long-term investment, commitment and preparedness to change from all stakeholders involved. In other words: capacity assessment and enhancement should not be undertaken in isolation. It is deeply embedded in a broader national and international context and institutional relationship between development actors in different parts of the globe and relates to performance and behaviour of all stakeholders involved.

Learning approach

A healthy process facilitation of CDS should be flexible, context specific and client driven. It should function as a 'map with which to plot the next step of the journey or to help find a way when the process appears lost, stuck or without direction'.⁵⁷

The Dutch CDS provider I/C Consult distinguishes a continuum of capacity enhancement approaches (table 5).

Emphasis in table 5 is on the word 'continuum', as in the practice of capacity enhancement services there usually is evidence of characteristics of different approaches. There is no such thing as an either/or situation. Rather the argument is that there ought to be a learning approach towards the capacity enhancement approach itself. This implies continuous reflection for a provider on its own practice and continuous learning from policy-oriented research and theory.

Despite the fact that an organization such as SNV demonstrates characteristics of different approaches, it may be advisable for SNV East Africa to make a more conscious choice for at least one of the approaches

Table 5. Continuum of capacity enhancement service approaches

Approach	Content
Organizational assessment approach	<ul style="list-style-type: none"> • ‘Snapshot’ an organization at a particular moment to identify its weaknesses or risks (for example, the 7S model by McKinsey): 7 key interdependent organizational variables in organizational design: strategy, structure, management style, systems and procedures, staff, skills, shared values • Emphasize structure, procedures and systems; less on culture, people, management styles, context and quality of programmes
Strategic planning approach	<ul style="list-style-type: none"> • Link organizational improvements to strategic choices (rational, mechanistic view) • Take off with SWOT (strengths, weaknesses, opportunities, threats) analysis instead of historical analysis and review of lessons learned • Risks neglecting minority’s or individual’s point of view
Organization architecture approach	<ul style="list-style-type: none"> • Assumes a certain hierarchy or logic in the order of choices an organization is to make • This hierarchy is seen in the sequence of vision, mission, long-term objectives, strategies, and so on
Organization learning approach	<ul style="list-style-type: none"> • Focus on organization’s ability to understand itself and its external role to learn continually from its practice, renew itself and manage change effectively • Creation of a learning culture, information gathering of lessons learned, and reflection on current practice • Emphasis on instantly improving quality of thinking and learning
I/C Consult 2002a	

at a given moment. In view of the recent focus on knowledge management and learning, a deliberate choice for the organization learning approach appears to be most relevant and appropriate. The organization learning approach will furthermore enable SNV advisers to work in a more responsive manner with the client. It is advisable to select tools that are in line with the selected learning approach.

SNV as integrator

Working with meso-level organizations is taken as the main entry point in SNV East Africa’s CDS practice. This is a strategically sound choice as these organizations are seen as ‘key players’ in the development scene. If we look closer, however, it is evident that SNV’s CDS practice does not limit itself solely to those meso-level organizations.

SNV East Africa's practice enfold a variety of client organizations, ranging through government, business and the not-for-profit sector. It is believed that NGOs, the private sector and government institutions often accept SNV as a stakeholder. This is a value added in itself as many providers of capacity enhancement services are perceived as being linked to one type of organization or the other.

SNV East Africa can use this acceptance to play an integrating role and engage in capacity enhancement activities at various levels of society. By working with different stakeholders at these various levels SNV can also work its way from organizational development to partnership building, institutional change, and diagnosing and learning—which is SNV's CDS package.

Box 7. SNV's integrator role: the Same District Education Board (SNV Tanzania)

The case of the District Education Board (DEB) in Same District, Tanzania, is an example of SNV's integrator role. SNV Tanzania became a development player in the DEB case when structural adjustment policies were adopted in Tanzania and education enrolment and standards declined dramatically. The Education Department of the Same District Council entered into a capacity enhancement relationship with SNV Tanzania in the second half of the 1990s. SNV's role was to facilitate the council's own learning process through three different stages:⁵⁸

- During the *analysis stage*, Education Department officials of the council were put in contact with those working outside government (NGOs, community groups, churches). At this stage SNV's role was that of a *broker*, assisting the council in building up relationships with all actors as the council could not address educational problems in the district on its own.
- A pastoralist NGO had accused the government of discriminating against its community, making its participation in education difficult, if not impossible. SNV initially played a *bridging role* between the two parties and gradually came to be more directly involved. During the *experimentation stage* the council entered into an experiment with the pastoralist NGO to raise the enrolment of children from pastoralist communities.
- The subsequent *mediation stage* involved consultation and stakeholders' meetings in the district. The outcome of this capacity enhancement project by SNV Tanzania in 1999 (through the then PAMOJA project) was a creation of the DEB. The key driving force was to create a multistakeholder platform that could contribute to improved educational performance in the district. The volunteer DEB started to work alongside the Education Department by giving advice and developing complementary activities. SNV's role was to provide *expertise* for developing the DEB model and to *encourage* community members to take part in the DEB.

The most important result in the DEB case was the creation of a new way of working by means of multiple stakeholder participation. Within the centralized culture of Tanzanian society signs are now emerging of civil society and local governments working together, and perhaps even working towards empowerment. SNV Tanzania argues that working across the government–civil society divide not only leads to more inclusive processes but can also result in improved educational outcomes.

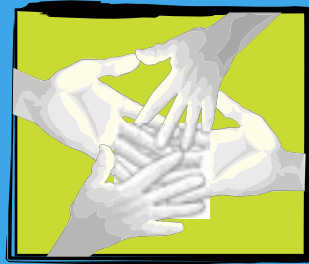
The DEB model is now being replicated in other districts in the country. SNV Tanzania and PAMOJA (an NGO providing capacity enhancement support) seek to *raise national awareness* to secure a stronger institutional base for the DEBs throughout the country by explicitly including them in national policies.

Adapted from Capacity.org, 22 July 2004; article by R. van Klinken (SNV Tanzania 2004).

The need for a tailor-made approach

Capacity enhancement services are a rather unpredictable affair and any blueprints, rigid facilitation or change models should be viewed with a healthy dose of scepticism and suspicion. Models for the service should rather be seen as a ‘thinking discipline, not a prescription for action’. ‘Customization is key.’⁵⁹ The need to be flexible, creative and innovative in a process facilitating capacity enhancement also emerged during the study process.

The need to customize and be flexible, however, does not imply that there should be no overall general corporate guidelines. While using diagrams and models as guidelines to thinking and practice, it is important to remember that interactive capacity enhancement processes tend to be rather chaotic. Categories created are not discrete. It is however ‘vital that each of these elements of the process is separated out in order to consciously build the skills and the procedures required to ensure that each takes place. Each is a necessary part of a truly developmental practice.’⁶⁰



4: Core products and process



Core products and process

This chapter focuses on SNV East Africa's contribution in terms of products in its Capacity Development Services. As a continuation of the previous chapter, more attention is also paid to the CDS process itself.

The CDS package

SNV has long-standing relationships with government, private sector and civil society actors in East Africa. At the same time, SNV East Africa engages with new clients, which may find themselves at an early stage of organizational evolution. SNV's client portfolio shows variety.

SNV East Africa's services comprise a CDS package of four interrelated services: 1) diagnosing and learning; 2) organizational development; 3) partnership building; and 4) institutional change (see also table 2, chapter 1). SNV's CDS, while still relatively new and therefore evolving, provide tailor-made mixes of all four services.

SNV's CDS are not core products and processes in themselves—they are considered a means to achieve pre-set development goals. Process facilitation of CDS is always combined with SNV's thematic specialization in the selected areas of practice. In SNV East Africa these areas include 1) responsive and accountable local government; 2) market access for the poor; 3) pro-poor tourism; 4) peace building and conflict transformation; and 5) developmental responsiveness to HIV/AIDS. In terms of core products it is a positive development that SNV East Africa concentrates its CDS activities in these selected areas of practice. There is at the same time constant room for adding new areas, if the demand arises.

The approach to linking SNV's process facilitation with thematic expertise is in line

with current international thinking about change management. This connection between process facilitation and thematic expertise is one of the preconditions for delivering a quality service. It is a bold step of SNV to further combine process with content.

There are many ways of institutionalizing process facilitation of CDS with thematic expertise. Within the McKinsey Company, for example, advisers do not have to have a sectoral, thematic or geographic specialization.⁶¹ Instead, McKinsey advisers start each assignment with a thorough analysis to get acquainted with the client organization. A different approach is that advisers confine themselves to a certain thematic area and combine this with competency in process facilitation.

In view of the fact that SNV does not have a history or record as a research-informed organization and in view of the competencies of its advisers, this latter approach appears to be the logical option. Within such an approach advisers should scan their thematic market continuously. They should also update their competencies in terms of knowledge, skills and attitudes with an eye on the market in which they are operating.

The various teams of advisers in SNV East Africa are in general mixed in terms of culture, gender, age, experience, and so forth. At present, client organizations are served by teams of advisers that reflect their diversity in competencies, experience and background. These mixed teams not only can address a broad range of clients, they are also able to address the variety in the needs and demands of any one client. Through such an approach SNV aims at fine tuning vis-à-vis the demands of the wide variety of clients in the region.

Box 8. A gender case: KWADA (SNV Kenya)

KWADA (Kajiado Women's Advocacy Association) is a district-level organization formed in 2002 by various women's organizations in Kajiado District, southern Kenya. It concentrates on putting forth women's agenda in development and in political leadership.

Context. Kajiado, a pastoralist district, gives evidence of under-representation of women in the various decision-making structures of society. Women candidates in elections are faced with many challenges inherent in the traditional cultural background of the district, which does not allow women to actively participate in politics. Key issues that have a negative impact on women are poverty, low self-esteem, low levels of education and the fact that traditionally boys are given preference over girls in all areas. KWADA is to serve as a common forum addressing women's issues at large. So far KWADA's efforts in the elections, for example, have resulted in one elected and six appointed women councillors. KWADA now serves as a role model for other districts and a wider interdistrict women's pastoralist forum on gender issues has been formed, called Lasakamatuke. At present there are links with national forums, and KWADA is lobbying on many different issues such as domestic violence and education of girls.

SNV and KWADA. Because KWADA lacked resources, SNV Kajiado initially gave it the opportunity to operate from the SNV Kajiado office. SNV furthermore facilitated district consultation meetings and assisted in getting KWADA's first proposal funded. SNV also facilitated two studies, on poverty and on governance, and supported a gender opinion poll. After the role shift SNV continued to build the capacity of KWADA on lobbying, advocacy and management affairs. Together with SNV, KWADA organized an awareness-raising session with constitutional review commissioners visiting Kajiado District. Following this session they wrote and presented a memorandum to the commission on the issues of Kajiado women. SNV's present role lies in providing KWADA with capacity enhancement services such as training in financial management and providing links with national networks and potential donors.

Linking and networking proved to be essential in the KWADA case. SNV provided technical support at first and moved on to capacity enhancement interventions relevant to the needs of KWADA as an organization. Key issues in this particular case included timeliness, participation, civic education, confidence-building among women and the strategic positioning of KWADA.

SNV East Africa's shift towards process facilitation of CDS in combination with thematic expertise is to result in thematic advisers who have all become capable facilitators. In this respect, it should be acknowledged that process facilitation is a skill in itself. This means SNV advisers have to have sound knowledge of process facilitation as such. This knowledge is to be acquired through training, continuous updating of knowledge, and fine tuning with day-to-day practice.

The CDS process

A CDS process consists of several stages. SNV East Africa's stages of a 'standard' CDS process are more or less in line with other CDS providers such as the Durban-based CDS provider Olive and INTRAC in Oxford. The number of stages range from 5 up to approximately 10. The following 9 stages emerged from interactions with advisers in East Africa: 1) contact and relation building; 2) data collection; 3) diagnosis; 4) acceptance and commitment; 5) definition of direction; 6) definition of objectives; 7) planning for implementation; 8) implementation; 9) disengagement.

An intervention into the lives of organizations and setting the agenda for enhancing capacity needs to start with building up a relationship that is based on values such as trust, empathy, respect, commitment and 'being open about our limitations'. This has been acknowledged by SNV advisers in East Africa and its client organizations.

Gaining understanding, reading the context and the client, and the interface between the two precedes any delivery of capacity enhancement product or service.⁶² Reading the context of the client is therefore a necessary precondition for healthy facilitation of capacity enhancement. Reading the interface between client and context appears to be equally important.

In view of its subsidized character SNV East Africa is in a position to engage in longer-term commitment and relationships with organizations. Moreover, SNV has developed a wide variety of modes to respond in an adequate manner to the diverse demands of partner organizations. These modes reflect the flexible, tailor-made approach of SNV.

Advisers' multiple competencies

SNV facilitators of capacity enhancement services need to perform multiple roles and have multiple skills. Not only do they need to have thematic expertise in one or more of the selected practice areas, they must also have sound knowledge of process facilitation as such, which is a skill in itself.

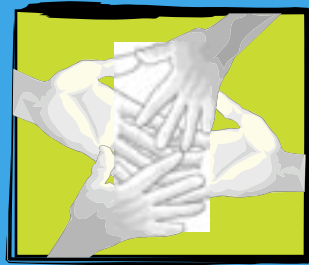
In SNV's publication *Embracing wildlife*,⁶³ mention is also made of the multiple competencies of SNV advisers. The competencies of capacity enhancement advisers are described as different from others in the sense that their main competence is the attitude and ability to learn about CDS in practice.

Over the years and in line with developments in the CDS sector, SNV's core business has changed considerably. It has changed from being an implementing organization providing technical assistance to being a provider of capacity enhancement services. During the repositioning process recently carried out in eastern African countries, the new approach has also been translated into a personnel policy. Staff members have left; new members have joined. The current situation varies from country to country and from person to person. In terms of staff competencies SNV East Africa is an organization in transition. It is still strengthening its advisers' skills and competencies to make them quality facilitators of capacity enhancement services in

combination with their thematic expertise.

SNV advisers are furthermore incorporating a learning approach towards capacity enhancement services, which is more following, less prescriptive, leaving the strategy for change with the client (see also chapter 3). This implies the client's accepting responsibility for its own learning and not abdicating that responsibility to be taken up by others.

It is truly remarkable that SNV East Africa has been able to translate its policy shift from implementation and advice to facilitation, making this shift in its organizational set-up, including its personnel policy and programmes. At the same time the organization still faces challenges in translating the learning approach to capacity enhancement services a bit further in the area of human resource management.



5: Learning from SNV East
Africa's CDS practice



Learning from SNV East Africa's CDS practice

In view of the non-linear character of capacity enhancement and the relatively young character of the discipline it is important to have systems for learning in place. Within the context of learning the concept of knowledge management is key within SNV East Africa. In general, knowledge management is about creating an environment that encourages learning at three levels: within organizations, within teams, and at a personal level. Learning 'involves strengthening the individual capacity to perform tasks, which can be defined as knowledge'.⁶⁴

The recent efforts to set up knowledge networks within SNV East Africa may be seen as an important contribution. These are networks of advisers focused on specific practice areas (areas of thematic and capacity development expertise) using various online and offline tools (virtual discussions, email, face-to-face meetings) to exchange knowledge and learning on current initiatives and to develop new 'products' with an aim to strengthen SNV's practice in these specific knowledge areas.

A learning organization

A learning organization can be defined as an 'organization that builds and improves its own practice, consciously and continuously devising and developing the means to draw learning from its own (and others') experience'.⁶⁵ Critical elements of a learning organization are:⁶⁶

- conscious intent and commitment to the process of learning
- improved practice (beyond 'knowing'; towards 'doing')
- ongoing nature of learning (balance between reflection, learning and action)

- experience as a primary source of learning

On the basis of research Pedler et al. have identified characteristics of a learning organization (table 6).⁶⁷

Table 6. Characteristics of a learning development organization

- Clear mission statement
- A learning approach to strategy
- Participative policy-making
- Adequate use of information systems
- Link between financial and programme issues
- Internal exchange
- Reward for flexibility
- Enabling structures
- Continuous scanning of the working environment of an organization
- Intercompany learning
- A learning climate
- Self-development opportunities for all
- Commitment and involvement of leaders

Over the years and in various participatory self-assessment workshops, clients of Context, international cooperation have been asked to identify organizational factors that facilitate or hinder learning. During most of these exercises the characteristics listed in table 6 have been reconfirmed. Characteristics have been added such as 'clear mission statement' and 'commitment and involve-

ment of leaders'.⁶⁸ A clear mission statement, which is translated into a coherent strategy, organizational set-up and programme, and is understood by all within the organization, is an important characteristic of a learning organization. Commitment of leaders to organizational learning is crucial. Leaders should build learning organizations and are responsible for guiding and encouraging staff to enhance competencies and learn—not only at individual level but also at organizational level.

In addition, underestimating the power of vision is a mistake in facilitating change.⁶⁹ Vision plays a key role in producing useful change by helping direct, align and inspire action on the part of large numbers of people.

In addition, there are a number of key factors that can bring about effective capacity enhancement. Connolly and Lukas detect the following 'success factors': readiness-based, timely, assessment-based, customized, contextualized, peer-connected, competence-based, and last but not least, comprehensive.⁷⁰

Being comprehensive means that while narrowly defined approaches can work, the activities with the greatest effect are part of one-stop shopping in which customers have access to a full range of capacity enhancing services. This holds common ground with the rationale behind SNV East Africa's CDS practice of providing a tailor-made mix from a range of its Capacity Development Services, instead of limiting itself to merely one or two types of service.

A learning climate

From the early 1990s onwards there is also within the development sector a growing realization that organizational effectiveness is correlated with an ability to learn from experience.⁷¹ Poor accountability and a limited learning capacity may in due course affect the credibility and legitimacy of organiza-

tions. Already in 1993 Smillie and Helmich have observed that development is, or should be, a knowledge-based endeavour.

The interest of development organizations in concepts such as 'the learning organization' has increased substantially over the last few years. Peter Senge, the mentor of theory about learning organizations, in this respect stated that 'the irony is that to do things faster you often have to go slower.... You need to build a shared understanding of how the present system works and why it takes so long. And, you need to have people who can trust one another through difficult systemic changes.'⁷²

Overcoming learning obstacles cannot be engineered from the outside. It normally requires a change in mindset and culture, which should emerge from within but may be facilitated from outside.⁷³ In such a process, the development practice ('action') provides—at least initially—the main vehicle for learning.⁷⁴

SNV East Africa is moving away from the former culture of 'doing', which was prevalent among SNV advisers. Many advisers and portfolios used to be activity oriented and driven. SNV East Africa is now incorporating a 'learning climate' in which CDS advisers allocate time beyond the routine day-to-day affairs. The learning function is to become an in-built mechanism in SNV's CDS practice as a core process.

More systematic and conscious emphasis on interorganizational learning is also an important aspect of improving the CDS advisory practice in general. At present, systematic sharing of experiences does not occur within the CDS sector in East Africa. Both SNV advisers and advisers of other providers of capacity enhancement services have said they need more information and knowledge exchange between providers in the region and they want CDS standards to be developed jointly. Interorganizational peer review could be an important contri-

bution towards further enhancing SNV East Africa's learning climate.

Monitoring and evaluation systems

SNV's current corporate monitoring and evaluation (M&E) system is not yet directly linked to organizational learning in terms of systems, procedures, staff development, culture, and so on. Its emphasis is mainly on gathering management information. During the primary data collection on CDS, SNV advisers stressed the need to link M&E to the learning mainstream.

Corporate guidelines, systems and procedures are, however, in place with regard to M&E of CDS in East Africa. The content of SNV's overall M&E framework⁷⁵ fits into the overall trend of putting more emphasis on result-based management.⁷⁶ In the current SNV framework focus is on measuring output and to a certain extent on outcome of SNV's advisory services. At corporate level it is being acknowledged that these are the first two steps in the process. Measurement of effect and impact will be dealt with further in the years to come.⁷⁷ Output is being measured in terms of advisory days and quality assessment of both client and SNV adviser. Outcome is measured in terms of product (on the basis of indicators jointly determined by client and SNV) and process (on the basis of client assessment).⁷⁸

There is evidence that corporate guidelines are being adapted. Within the different countries of SNV in eastern Africa, advisers also try to develop systems and tools that do justice to the specific context of the respective client organizations. This implies dealing with not just the product but also the CDS process as such. Several advisers have started experimenting with measuring the results of their advisory practice, trying to link such experiments to organizational learning. SNV advisers furthermore try to deal with the complex reality of practice by collecting quantitative and qualitative data and develop-

ing quantitative and qualitative indicators.

The Kenya M&E group has worked to develop indicators within the corporate format of quality appreciation. Advisers in Tanzania have used the quality characteristics that have emerged from the local governance part of the Building Advisory Practice initiative to assess their performance with regard to several clients, such as PAMOJA. SNV advisers in both Tanzania and Uganda are systematically using the action learning tool in combination with the corporate output measurement in all assessments.

In general appropriate M&E systems within SNV East Africa are being developed. More attention still needs to be paid to articulating core purpose of the overall systems and procedures. It is furthermore being acknowledged that 'outcome alone does not do justice to the complexity of the process'.⁷⁹ The present use of scoring and so-called SMART indicators has its pros and cons. More effort is yet to be made to directly link the M&E system to organizational learning. This for example also implies going beyond measuring per assignment, which leads to fragmentation, and moving towards seeing the whole.⁸⁰

Institutionalizing learning and SNV's knowledge networks

Placing learning in the mainstream does not occur automatically; it needs to be done consciously and systematically. The various knowledge networks that exist within SNV East Africa may serve as an important instrument for organizational learning. The newly emerging knowledge networks may also work towards achieving it.

Learning needs to be considered not as an 'add on'; rather, it should be institutionalized. Most of the learning takes place as part of SNV's advisory practice, and SNV acknowledges that learning is to become an integral part of the advisory practice of SNV advisers in eastern and southern Africa.

From interviews with SNV advisers and on the basis of literature and the experience of other providers of capacity enhancement services it becomes clear that knowledge development and learning take place and need to be institutionalized at different levels within an organization. Capra in this respect reasons that knowledge can be created only by individuals and can become organizational knowledge through means of social interactions. This way individual knowledge becomes organizational knowledge, and tacit knowledge (what is below the tip of the iceberg) can be transformed into explicit knowledge.⁸¹

The most effective way to enhance an organization's potential for creativity and learning is to support and strengthen its informal networks or 'communities of practice'. A lot of informal sharing takes place among SNV advisers, and they have valuable insights from which SNV as a whole could benefit, more than is happening at present.

Benchmarking as part of monitoring and evaluation

Benchmarking is essentially about the systematic sharing of practices among organizations.⁸² In short, it is a way to compare activities with those of other organizations. 'Best practices' can be described as the best way of executing organizational policy. Whenever they are applied properly, the combination of benchmarking and best practices reveals the 'why' behind the numbers. Subsequently, suitable action can be taken. Benchmarking usually consists of the following five steps: planning, collecting data, analysing the data and drawing conclusions, implementing and executing, and last but not least locking the best practices within the organization.⁸³

Benchmarking is essentially about stimulating creativity and providing a stimulus that enables organizations to better understand

how they should be serving their clients. When benchmarking is done with the intent of improvement each time around and is treated as a continuous, systematic process, organizational functioning will be linked with modern organizational concepts such as the learning organization (value driven) and business re-engineering. Whenever there is evidence of reluctance to learn or a blockade against learning, it is pointless to try to use benchmarking as a means to improve organizational functioning.

Benchmarking in terms of systematic sharing of practices does not take place in the CDS sector at large, and some providers of capacity enhancement services feel there is a need to set benchmarks.

At this particular stage of developing the CDS discipline a little apprehension can be expressed about using benchmarks. Benchmarks for the discipline appear to be still in an infancy stage. This is true for SNV East Africa. At this particular stage it is questionable whether benchmarking is desirable, since the CDS practice is still young and systems for learning are not yet fully in place. The practice of providing CDS first has to evolve further.

When later SNV East Africa decides to opt for harmonizing best practices by setting internal benchmarks, they should be made context and client specific. These benchmarks should furthermore be based on a reflection on SNV's own practice and triangulated with the experiences of similar CDS providers.

Finally, these benchmarks ought to be locked into organizational policy and practice. This means that new best practices and benchmarks can be set only after an agreed number of years of working with these initially chosen benchmarks have passed. From the commercial sector we can learn that one has to live with possible setbacks and cannot switch to newly selected benchmarks during the process. This is necessary to prove that the benchmarks add value.



6: With whom? client selection



With whom? client selection

There exists a classical dilemma in modern development cooperation. Where the need is highest, the capacity to articulate a demand is normally low: the paradox of assisting ‘self-help’.

The not-for-profit sector

NGDOs in both North and South have a number of comparative advantages vis-à-vis the state and corporate sectors (see also chapter 1). NGDOs are for example usually in a better position to contribute to development from below; their institutional flexibility makes it possible to engage in long-term relationships; and they can supply important services that are less attractive to others.

Partly under the influence of increased globalization, the demand for capacity enhancement services in North and South is not declining, but it is changing. The implication of the New Policy Agenda, which as mentioned in chapter 2 stems from the neo-liberal development model, is that globalization is leading towards excluding particular groups, regions and countries. Such groups are often of no interest to commercial providers of capacity enhancement services, and these groups are thus left to rely on services of subsidized institutions such as development organizations. Many organizations and institutions, quite often small or innovative, are being marginalized further and are not part of mainstream globalization. There is thus a great necessity for not-for-profit CDS providers such as SNV to further address this changing and challenging demand.

The changed demand for CDS

Some of the major lessons of the recent debate about capacity development in terms of portfolio and approach can be summarized as follows. CDS should be driven by demand, not supply, to facilitate ownership and sustainability. CDS providers should work with clear and measurable objectives. Organizations that require CDS should themselves negotiate with potential suppliers. Last but not least, a market mechanism ought to be introduced.⁸⁴

Substantial changes have taken place in the demand for capacity development, mainly due to the dominant development paradigm and the contemporary process of globalization. Quite often, however, it is difficult for weak partners to carry out self-diagnosis, formulate clear and measurable objectives, and negotiate assistance through the market. ‘The paradox of supplying help to self-help, assistance to self-reliance or assisted autonomy is the fundamental conundrum of development assistance.’⁸⁵

This statement gives subsidized CDS providers such as SNV important and challenging tasks. SNV argues that ‘since we are a subsidized organization, we serve those organizations that lack access to the commercial markets for advice’.⁸⁶ Multilateral institutions and researchers have also come to the conclusion that capacity enhancement services should ideally be provided in the least developed countries and regions and for the weakest partners.

SNV’s portfolio in eastern Africa, however, does not always reflect the statement of SNV headquarters about operating outside the commercial sector. Data collected show a variety of partners ranging from relatively

small NGOs that are in an early stage of organizational evolution (such as KMG in Ethiopia and KWADA in Kenya) to governmental organizations (Regional Secretariat Dodoma in Tanzania), to relatively well-established NGOs (ERSHA in Ethiopia, CEMIRIDE in Kenya) and a multilateral organization (UNDP in Uganda).

SNV East Africa is developing an approach whereby more systematic attention is paid to selecting clients and making up the client portfolio. The objective is to achieve a more optimal link with the mission of the organization as a whole. This way, strategic decisions in selecting clients can steer the composition of the client portfolio.

Clients can, for example, be chosen on the basis of SNV's selected practice areas. Other aspects underlying client selection are choosing whether to work in high potential or marginal areas and choosing between working with partners that find themselves at an early stage of organizational evolution or with more established client organizations. Choices with regard to the possible range of client organizations are being further developed. SNV has made a deliberate choice to work with both stronger and weaker clients. By doing so clients can also learn from each other and joint action can be undertaken more easily.

Box 9. The case of an evolving organization: ADENYA (SNV Rwanda)

ADENYA (Association pour le Developpement de Nyabimata) serves as an example of SNV's advisory practice with organizations that are evolving their organizational structure. ADENYA is a rural-based organization that receives support from organizations such as NOVIB, Frères des Hommes and SNV.

Context. The Rwanda crisis in the early 1990s threw back ADENYA's organizational capacity, and although it was not a new organization, it had to start over again. Working in the more remote, rural part of the country, ADENYA faced many challenges. It appreciates the fact that SNV is now supporting it in its recovery phase.

SNV Rwanda. ADENYA's relationship with SNV may be divided into three successive stages. From September 2001 onwards, the first stage, SNV facilitated an organizational scan, context analysis and strategic planning exercise. During the second stage SNV provided support on the basis of a capacity building planning exercise (capacitate people in the project cycle; provide technical support, financial support). From 2003 onwards, the third stage of the relationship, SNV because of its role shift has stopped providing financial support. The organization is now requesting that a micro-finance institution be put into operation.

Major points to be made in this case are the strong commitment of SNV towards ADENYA despite its somewhat remote, isolated position and SNV's process approach. ADENYA regrets not having benefited from possible financial connection with donor organizations. During a story-telling exercise with ADENYA, points stressed were the importance of future linking with other organizations, its assuming a more pro-active attitude, and further analysis of ADENYA as an organization.

Close fit and loose fit clients

The theoretical debate with regard to CDS-related values focuses on issues such as close fit and loose fit.⁸⁷ Some reason that CDS advisers must achieve a 'close fit' between SNV's own values and client's values in their efforts for change. Others reason that such a comfortable situation may not always produce the desired results and favour a looser fit. Regardless of a client's value base, a CDS adviser can still stir emotions, even if all values are shared. This raises potential for harm, while at the same time there is high potential for positive outcome by clearing the air.

SNV advisers in East Africa work with both close fit and loose fit clients. An argument in favour of working with the latter is that it can be linked to the concept of a learning organization, as diversity leads to learning. Apart from underlying values there are many other dimensions on which organizations will differ. Valuing and developing these differences is essential, as all learning—both internal and external in the relationship between organizations—proceeds from these differences and works through them.

Selecting close fit and loose fit clients can also work as a steering principle for managing SNV East Africa's portfolio.

Having a proper mix of clients is healthy for improving capacity enhancement services, as the services learn from the varied practice.

Challenges

An important underlying question in this respect is where is SNV to add the most value? Result-based management, for example, tends to promote a certain bias towards working with strong clients in high-potential areas. This holds for many CDS providers. Much result, however, is also to be expected from working with relatively young or small innovative organizations. CDS support to such relatively new organizations may not, however, yield immediate results and it may be more difficult to demonstrate performance to those observing the process from outside.

Because of the change in demand for capacity enhancement services and because of the fact that SNV East Africa is a subsidized CDS provider, it has an important challenge to take on in the coming years. A further balancing of SNV's client portfolio by selecting both strong and weak partners, both high-potential and marginalized client organizations, deserves further attention.



7: Major lessons learned and challenges ahead



Major lessons learned and challenges ahead

SNV East Africa's practice in the area of capacity enhancement is still relatively young. From 2000 onwards SNV shifted from implementation towards being a provider of Capacity Development Services. The following major challenges lying ahead emerged out of the present study about facilitating the CDS process.

Contextual analysis

A quality capacity enhancement service usually starts with studying the context, the client, and the interface between the two to determine the relevance, appropriateness and strategic choices of the service. In short, the relationship between service provider and context determines the legitimacy of the service. The challenge in the geographical areas in which SNV East Africa is working still lies in making contextual analysis an integral part of SNV advisers' daily practice. Carrying out a proper analysis of context is a core part of the practice of a quality process facilitator as it enhances individual and organizational learning.

Underlying CDS values

Values form the basis for SNV East Africa's approach to healthy facilitation of capacity enhancement services. SNV East Africa's underlying values for these services have to do with respect, trust, honesty, recognition of the client's existing capacities, and respect for them. These values coincide with those of other such service providers interviewed for this study.

SNV East Africa's values for capacity enhancement services also give evidence of a more holistic approach towards change

management, as these values deal with the more subjective, intuitive levels. Any change process starts with changing the underlying values of the people involved. Change in this respect cannot be engineered from outside. It must emerge from within; the outsider can only facilitate.

SNV East Africa's values for capacity enhancement services are rather general in nature. This is understandable, as SNV's practice in the area is still relatively young. The present challenge within SNV East Africa is to make these values more specific on the basis of its advisory practice. A further translation of these values into systems, instruments and procedures is equally important.

Linking CDS with thematic expertise

Many CDS providers combine advisory services in certain thematic areas with a process approach. SNV East Africa also serves as an example of this trend. The overall approach to link SNV's capacity enhancement services with thematic expertise is in line with current international thinking about facilitating change management. This link between capacity enhancement support and thematic expertise is a precondition of a quality advisory practice.

Shift from advice to facilitation

Development practice shows that capacity enhancement should no longer take the shape of 'doing things' locally or merely providing advice. It should rather be a process of facilitation, leading the client to self-diagnosis and self-help.

One of the challenges within SNV East Africa in this respect is that a more systematic shift is yet to be made. SNV has already made the necessary change from implementation to advice. The next step—from advice to facilitation—is yet to be made. Internal systems and procedures within SNV East Africa are to be further aligned with regard to this shift towards facilitation.

Further enhancement of a corporate overall strategy

SNV East Africa is transforming itself into a provider of capacity enhancement services. A few challenges still lie ahead. As an organization it is sharpening its overall CDS strategy. This strategy may serve as a broad guideline, a ‘thinking discipline’—not a blueprint—for potential clients as well as internal purposes. The internalization is of crucial importance with regard to learning from the actual CDS practice.

Core process

Capacity enhancement is an ongoing process, not a one-off event; it implies long-term investment, commitment and a preparedness to change by all stakeholders involved. An overall approach with regard to such a long-term process should be flexible, context specific and client driven. There ought to be a learning approach to capacity enhancement itself. Based on SNV East Africa’s current focus on knowledge management and learning, a conscious choice for the organizational learning approach appears to be the most relevant and appropriate at this particular moment. The challenge is to further balance such a learning approach with characteristics of other approaches to capacity enhancement services that are currently prevalent in SNV East Africa’s practice. An additional challenge is to

select CDS tools that are in line with the learning approach.

Core products

In terms of core products it is a positive development that SNV East Africa concentrates its activities in capacity enhancement services in selected practice areas. Its deliberate choice for its four Capacity Development Services is most relevant and appropriate. In terms of products, however, more attention could be paid to the issue of leadership—leadership development and similar programmes—as it is crucial that the leaders be committed to organizational learning.

Integrating role

The primary focus of SNV East Africa is to provide CDS support to meso-level organizations as these organizations are seen as key players in the development scene. SNV’s CDS practice does not limit itself solely to those meso-level organizations, however. SNV advisers also perform an intermediary role between organizations at local, meso and national levels. Other CDS providers are perceived as being linked exclusively with one sector or the other. To be accepted by different stakeholders at various levels of society is in itself an added value. The challenge within SNV East Africa is to make further use of this integrator or intermediary role in the coming years.

Client selection

Subsidized providers of capacity enhancement services have a special responsibility with regard to organizations marginalized in terms of geographical area, topic or stage of organizational evolution. Quite often it is difficult for relatively young and small innovative organizations to carry out self-diagnosis, formulate clear and measurable

objectives, and negotiate assistance through the market. SNV East Africa is acknowledging the importance of dealing with such marginalized organizations. This issue deserves further attention as SNV selects the clients that make up its portfolio.

Monitoring and evaluation system, learning and knowledge networks

The concept of a 'learning organization' has gained more and more importance within the CDS sector at large. A learning organization is one that builds and improves its own practice, consciously and continuously devising and developing the means to draw learning from its own and others' experience. The SNV Building Advisory Practice study is a step towards making SNV East Africa a learning organization. The present study may serve as an example as it documents past and current experiences and tries to compare and triangulate its advisory practice with those of similar providers: an example of internal and interorganizational learning.

SNV East Africa is incorporating a learning climate in which SNV advisers allocate more time and space for internal reflection, learning and follow-up. The various thematic groups within SNV East Africa form an important instrument for organizational

learning. The newly emerging knowledge networks may also help achieve this learning.

The challenge within SNV East Africa is to further support and strengthen its informal networks or 'communities of practice'. A lot of informal sharing takes place among SNV advisers and there are valuable insights from which SNV as a whole can benefit—more than are currently being taken advantage of. More systems need to be in place to improve the link between the SNV adviser's individual knowledge and the informal and institutionalized formal networks of knowledge within SNV East Africa.

It may furthermore be concluded that SNV's corporate M&E system is not yet directly linked to organizational learning, for example in terms of systems, procedures, staff development and culture. Emphasis is mainly on management information and the focus is on result-based management and measuring output, and to a certain extent on outcome. This is in line with developments within the CDS sector at large. More attention still needs to be paid to the core purpose of systems and procedures overall. Measuring outcome alone does not do justice to the complexity of the CDS process. The challenge is to further link the present M&E system to organizational learning and to go beyond measuring by assignment.



Epilogue: 'We make the
road by walking'



Epilogue: ‘We make the road by walking’

In an interaction with SNV advisers in East Africa 10 key characteristics emerged of what good CDS process facilitation entails:

- analysing the situation in a broad context, making it essential to read and understand the client and the relationship between SNV and its client organization
- focusing on the client, implying giving the client the power to remain in control of the entire change process; this is essential
- being sure the client has ownership of the process and establishing common ground with the client organization
- being visionary and focused, while at the same time encouraging both client and SNV to be innovative, creative and flexible
- being aware of its own values and principles such as timeliness, learning, respect and trust; this serves as an inspiration in guiding client organizations
- placing learning in the mainstream by using diverse methods, mechanisms and conditions, in line with SNV’s and the client’s missions
- ensuring orientation on results and sustainable effects
- being supportive of the capacity development process on the basis of values such as honesty, respect and trust
- trying to understand and work the underlying, non-visible tacit issues, thereby seeing the whole
- thinking strategically and responding to options for change, including those in uncertain situations

SNV East Africa is sharpening its overall strategy for CDS, which may serve as a

broad guideline, a ‘thinking discipline’ for potential clients as well as internal purposes. The latter is of crucial importance for learning from actual CDS practice.

Quality starts at entry in SNV’s advisory practice. The engagement stage is of the utmost importance in any CDS intervention. Gaining understanding, reading the context, the client and the interface between the two precedes any CDS product or service delivery.

Working with meso-level organizations is taken as the main entry point in SNV’s CDS practice. Support to these meso-level organizations is also a means to further strengthen SNV’s integrator role at the various levels of society. Communities, NGOs as well as government institutions accept SNV as a stakeholder. This is value added in itself as many CDS providers are perceived as being linked to one or the other.

At corporate level, SNV’s underlying values with regard to CDS support coincide with underlying values mentioned by other CDS providers interviewed within the purview of this study. SNV is still defining these values more specifically on the basis of its advisory practice.

Corporate guidelines, systems and procedures are in place with regard to monitoring and evaluation (M&E). A further link is yet to be made between M&E and organizational learning. Further strengthening its various knowledge networks may also enhance SNV East Africa’s internal learning climate.



Over the years and in line with developing the CDS sector, SNV East Africa's core business has changed considerably. As an organization it has not only shifted from implementation to advice. It also sharpened its focus on capacity development, making it its core business. On the basis of corporate level changes, these five eastern African countries have gone through re-orientation and re-positioning. Changes at policy, organizational and activity levels are being implemented.

Further enhancement of individual and organizational competencies is taking place in SNV East Africa's shift towards facilitation. The educational strategy being followed aims at a supportive learning environment with continuous training. Apart from systems and procedural development, attention is paid to the softer side—the non-visible tacit aspects of SNV as an organization and SNV's informal knowledge networks. It is also further strengthening its advisers' competencies in view of the mission of the organization.

At present a learning and thinking approach—in terms of culture and systems—is being developed within the various SNV portfolio and country teams. Developing and refining an overall comprehensive CDS strategy is under way. In view of the recent focus within SNV East Africa on knowledge management and learning, a deliberate choice for the organization learning approach appears to be most relevant and appropriate. But irrespective of the CDS approach it should be recognized that there needs to be a learning approach towards the approach itself and tools are to be selected accordingly.

SNV East Africa's role transformation and value added as a CDS provider is illustrated quite well in the different action learning case studies. Client organizations not only recognized that SNV advisers communicated the change in support very well. They also acknowledged that partici-

pation is key. Participants in the CEMIRIDE case in Kenya, for example, stated that an essential element in the relationship between SNV and CEMIRIDE was SNV advisers' ability to bring together multiple stakeholders around critical issues. This is a clear example of the SNV adviser's integrating role. In the case of the Same District Education Board in Tanzania, SNV's role was that of a broker, playing a bridging role and encouraging actors to take part in the process. The most important result in this case was that SNV advisers assisted in creating new ways of working by getting multiple stakeholders to participate, thereby crossing the divide separating government and civil society.

SNV advisers also have an intermediary role between government, civil society and the private sector, as well as between local, meso- and national level organizations. This integrating role can be seen as a value added in itself and is a unique characteristic, to be cultivated.

The importance of a thorough contextual analysis before any change is undertaken is highlighted by the ERSHA case in Ethiopia. In an administrative structure that was historically centralized, facilitating capacity enhancement is likely to be fundamentally different from facilitating in more open institutional and organizational systems in terms of values, guiding principles and approaches. The issue of contextual analysis deserves further attention in SNV's advisory practice.

In several situations, SNV's shift towards the role of adviser created anxiety on the part of the client organization. The client sometimes felt 'left unprepared' (TCCIA, Tanzania) and the change in the type of support 'too fast a process' (Dodoma, Tanzania). These client organizations argue that certain preconditions first have to be met before they are 'cut loose'. They are still struggling to find their way forward.

KWADA in Kenya serves as an example

of SNV's efforts to support a gender-sensitive and empowerment-oriented approach. SNV has assisted KWADA in placing women's issues in the mainstream and enhancing women's representation in the various decision-making structures of society. Initially, it did so by providing them with the necessary resources and subsequently by enhancing capacity, at KWADA's request.

The case of ULAA in Uganda illustrates SNV's efforts in institutional development and in linking client organizations with different stakeholders. SNV facilitated ULAA, for example, through an organizational self-assessment exercise and capacity enhancement support. This and other activities enabled ULAA to assist its own member organizations with capacity enhancement. The joint action for aloe vera in northern Kenya is an example of SNV successfully teaming up with stakeholders who at first sight would seem to be working in different directions. The interna-

tional potential of this joint collaboration in private sector development is yet to be fully explored.

Last but not least, the case of ADENYA in Rwanda emphasizes the importance of working with organizations in marginal or difficult situations. There is much potential in working with such organizations located, for example, in the more remote parts of a country.

SNV East Africa is developing an approach in which it is paying more systematic attention to selecting its clients and composing its client portfolio. In view of the growing demand for capacity enhancement support and in view of the fact that SNV is a subsidized provider, here lies an important challenge for the coming years. CDS is not an abstract, theoretical, construct for SNV East Africa. Learning by doing is the device. Indeed, SNV East Africa is making the road by walking.

Notes

¹ For more information see *Strengthening local governance: finding quality advisory approaches* and the BAP PSD booklet.

² The region SNV East Africa has now been enlarged; SNV East and Southern Africa additionally includes Angola, the Democratic Republic of Congo, Mozambique, Sudan, Zambia and Zimbabwe. These countries, however, are not included in this study.

³ 'The broad range of organizations positioned just above the micro-level (communities) and just below the macro-level (organizations with national interests and mandates)' (SNV 2002c).

⁴ During the concept mapping exercise SNV advisers brainstormed about what good process facilitation of CDS entails. In total 98 statements emerged out of the group, which subsequently the participants evaluated, prioritized and clustered. These clusters had to be 'unpacked' to see the 'content' (for example, issues of ownership by the client, culture, systems and procedures). The exercise thus resulted in a few main statements of what good CDS process facilitation entails.

⁵ See also Van der Velden et al. 2003a.

⁶ For more information see also Eade 2000.

⁷ Biekart 2002.

⁸ Fowler et al. 1992.

⁹ *Ibid.*, p. 15.

¹⁰ See also James 1998, p. 21.

¹¹ Some 13 billion dollars in 1998. See also OECD 1991 and 1994. For a definition of technical cooperation see also Malik in Fukuda-Parr et al. 2002, p. 24.

¹² SNV Knowledge Management Unit 2003: 10.

¹³ For more information about SNV's advisory practice in the area of local governance see the booklet *Strengthening local governance*, 2004; a companion booklet on private sector development is forthcoming.

¹⁴ World Bank 2002.

¹⁵ Fowler 1997, p. 24. See also: Van der Velden and Schulpen 2002, p. 150–64.

¹⁶ Fowler, p. 27–28.

¹⁷ *Ibid.*, p. 24.

¹⁸ Biekart 1999, p. 99–101.

¹⁹ For more information see 'SNV as integrator' in chapter 3, and see chapter 6 about SNV's client selection.

²⁰ Bennis, as quoted in Kruger 1998.

²¹ Coenen 2002.

²² Moris 1976.

²³ Jackson 1999.

²⁴ 'This antithesis is acted out both at the macro level of governmental policy, and at the micro level of organisational culture and management styles.' (Jackson 1999, p. 322.)

²⁵ Jackson 1999, p. 307–08.

²⁶ Nyamnyoh 2003.

²⁷ Wagner, as quoted in Jackson 1999, p. 308.

²⁸ Jackson 1999, p. 323.

²⁹ Olive 1996, p. 7–8.

³⁰ *Ibid.*, p. 9.

³¹ Mbigi 1997, p. 61.

³² See for example 'SNV's shift in logic', chapter 2, about the issue of underlying values.

³³ Holloway 2001.

³⁴ Eade 2000, p. 18.

³⁵ With reference to Hulme and Edwards 1997, 4–7.

³⁶ See for instance James 1998.

³⁷ For ideological and pragmatic reasons, this is not without problems: NGDOs as a state within a state (Lewis 1993). See also for instance James 1997.

³⁸ Hulme and Edwards 1997, p. 5–6.

³⁹ See Smillie and Helmich 1993, p. 36.

⁴⁰ See Fowler, 1997; see also the first two sections of chapter 6 about the comparative advantages of the NGDO sector over state and private sectors.

- ⁴¹ Upward accountability is characterized by rules: ‘were the proper procedures followed?’ Downward accountability vis-à-vis beneficiaries is usually translated as participation (Hulme and Edwards 1997).
- ⁴² For an elaboration of this argument refer to Van der Velden 1999, 2003, and the contributions of Van der Velden, especially chapter 8, in Van der Velden and Schulpen 2002.
- ⁴³ Reference is made to SNV’s mission with regard to capacity building support.
- ⁴⁴ See Schrijvers 1997; Van der Velden and Zweers 1997; Hoebink and Van der Velden 2002.
- ⁴⁵ James 1998, p. 35–36.
- ⁴⁶ ECDPM 2004, p. 10.
- ⁴⁷ Adapted from and inspired by James, 1998: 25; Lowe-Morna and Øverland 2002, p. 7–12; Ansell, 2002; Pretty et al., 1995: 1-37. See also Van der Velden et al. 2003b.
- ⁴⁸ Smillie and Helmich 1993, p. 18.
- ⁴⁹ See Pedler et al. 1997.
- ⁵⁰ See SNV, Contours and principles of the internal organization, dated July 2001.
- ⁵¹ SNV 2004.
- ⁵² SNV Knowledge Management Unit 2003.
- ⁵³ Other values mentioned during interviews with other capacity enhancement providers relate to 1) the non-linearity of the process; 2) the perception of clients that they are active actors, responsible for their own actions; and 3) the process being about helping client organizations learn and change.
- ⁵⁴ HEWASA Action Learning Case Study, Uganda, primary data collection BAP CDS study, 2 May 2004, SNV Uganda.
- ⁵⁵ SNV 2002b, p. 7. (See under Major SNV reference documents: General SNV information)
- ⁵⁶ SNV 2002a, p. 3. (Same as above)
- ⁵⁷ CDRA 1999, p. 4.
- ⁵⁸ Van der Velden, Measuring the contribution of technical assistance to capacity enhancement, 2004, p. 14.
- ⁵⁹ Anderson and Ackerman Anderson 2001, p. 174.
- ⁶⁰ Taylor J. n.d., p. 19.
- ⁶¹ Rasiel 1998.
- ⁶² Cf. Taylor J., n.d.
- ⁶³ SNV 2002a.
- ⁶⁴ Weggeman, asquoted in ECDPM 2004, p. 13.
- ⁶⁵ Taylor J. 2002, p. 22.
- ⁶⁶ Ibid.
- ⁶⁷ Adapted from Pedler et al. 1997.
- ⁶⁸ See Van der Velden et al. forthcoming.
- ⁶⁹ For a comprehensive list see Kotter 1996, p. 3–16.
- ⁷⁰ Connolly and Lukas 2002, p. 26.
- ⁷¹ Senge 1990.
- ⁷² Senge 1998, p. 139.
- ⁷³ See Pedler et al. 1997.
- ⁷⁴ Revans 1998; Weinstein 1999.
- ⁷⁵ SNV Planning, Monitoring and Finance Unit 2004.
- ⁷⁶ See Fowler 2003, p. 22–23.
- ⁷⁷ SNV Planning, Monitoring and Finance Unit 2004.
- ⁷⁸ See also *SNV annual report 2003*.
- ⁷⁹ SNV Planning, Monitoring and Finance Unit 2004.
- ⁸⁰ At SNV corporate level (SNV PMU) it is being acknowledged that in the process of measurement per assignment, attention is also being paid to the organization as a whole. Subsequently, CDS support is divided into more manageable portions.
- ⁸¹ Capra 2002, p. 101.
- ⁸² See among others Eenennaam and Zwart, de 1996; Zairi 1998.
- ⁸³ Eenennaam and Zwart 1996, E1900, p.9.
- ⁸⁴ For a summary of this debate see Hoebink and Van der Velden 2002; Ministerie van Buitenlandse Zaken 2000.
- ⁸⁵ Ellerman 2002, p. 43–44.
- ⁸⁶ *SNV annual report 2003*, p. 6.
- ⁸⁷ Olive 1996.

Bibliography

Listings in black refer to the development sector; green to the commercial sector. The 2-letter code in square brackets at the end of each listing indicates its subject matter:

- AL action learning
- BM benchmarking
- CB capacity building and development
- CM change management
- GI general information
- ID institutional development
- OD organizational development
- OL organizational learning
- OM operations and change management
- PF process facilitation
- TB toolbooks
- TC technical cooperation and assistance

ActionAid. 2000. *ALPS: accountability, learning and planning system*. London: ActionAid. [OL]

Adair J., Reed P. 2003. *Not bosses but leaders: how to lead the way to success*. London: Kogan Page. [CM]

Anderson D., Ackerman Anderson L. 2001. *Beyond change management: advanced strategies for today's transformational leaders*. The Practicing Organization Development Series, ed. W.J. Rothwell, R. Sullivan, K. Quade. San Francisco: Jossey-Bass/Pfeiffer. [GI]

Ansell G. 2002. Basics of media training. In: C. Lowe-Morna, ed., *Gender in media training*. Johannesburg: IA. p. 17–36. [GI]

Baumann H. et al. 1999. *Consulting to non profits: an industry analysis*. Social Enterprise Field Study. Cambridge, MA: Harvard Business School. [GI]

Bennis W. 2003. *Managing the dream: reflections on leadership and change*. Mumbai: Magna. [GI]

Biekart K. 2002. *Medefinancieringsorganisaties en maatschappijopbouw: synthesestudie en bijlagen*. Den Haag: Stuurgroep voor de Evaluatie van het Nederlandse Medefinancieringsprogramma. [GI]

Blom J.J., Zwiép M.Z. 2002. *Resultaatverbetering is meer dan kostenbesparing*, Human Resources Management, Process and project

management binnen de Rabobank Groep. *Tijdschrift Controlling* no. 5, May 2002. [OM]

Bolger J. 2000. Capacity development: why, what and how. *Capacity Development Occasional Series* vol.1, no.1. [CB]

Braverman H. 1974. *Labour and monopoly capital, the degradation of work in the twentieth century*. New York: Monthly Review Press. [GI]

Browell S. 2000. *Successful facilitation in a week*. London: Hodder & Stoughton. [PF]

Browne S., ed. 2002. *Developing capacity through technical cooperation: country experiences*. London: Earthscan and UNDP. [CB]

Canadian International Development Agency. CIDA. 2000. *Capacity development toolkit*. Political and Social Policies Division, Policy Branch. see also: www.acdi-cida.gc.ca/cd. [TB]

Capra F. 2002. Life and leadership in organizations. In: *The hidden connections*. London: HarperCollinsPublishers. chapter 4. [CM]

[CDRA] Community Development Resource Association. 1999. *Artists of the invisible: annual report CRDA 1998–1999*. Woodstock, South Africa: CDRA. [GI]

———. 2003. *Seeking the eye of the needle: annual report 2002/2003*. Woodstock, South Africa: CDRA. [GI]

Chambers R. 1983. *Rural development: putting the last first*. Essex: Longman. [GI]

———. 1993. *Challenging the professionals: frontiers for rural development*. London: Intermediate Technology Publishers. [GI]

———. 1997. *Whose reality counts? putting the first last*. London: Intermediate Technology Publishers. [GI]

———. 2002. *Participatory workshops: a sourcebook of 21 sets of ideas and activities*. London: Earthscan. [GI]

Coenen B. 2002. *Controlling binnen hybride organisatievormen*. *Tijdschrift Controlling* no. 1/2, February 2002. [OM]

Coghlan D., Brannick T. 2001. *Doing action research in your own organization*. London: Sage Publications. [GI]

- Colenso M. 2000. *Kaizen strategies for successful organizational change: enabling evolution and revolution within the organization*. London: Pearson Education. [OM]
- Connolly P., Lukas C. 2002. *Strengthening non profit performance: a funder's guide to capacity building*. Amherst H. Wilder Foundation/Grantmakers for Effective Organizations. www.wilder.org/pubs. [CB]
- Danielson A., Hoebink P., Mongula B. 2002. Reforming technical cooperation: are donors ready for change? Report of the UNDP/BDP project 'Reforming Technical Cooperation'. New York: UNDP. [TC]
- Darwin J., Johnson P., McAuley J. 2002. *Developing strategies for change*. Harlow, England: Pearson Education, chapter 2: Culture and change management. p. 48–64. [OM]
- Davidson B. 1992. Basil Davidson over Afrika; 'Het kolonialisme was politiek en moreel een absolute ramp'. In: *Onze Wereld*, November. Interview with P. van den Akker. p. 20–23. [GI]
- . 1992. *The black man's burden: Africa and the curse of the nation-state*. North Wootton: Somerset. [GI]
- De Geus A. 1997. *The living company*. Cambridge, MA: Harvard Business School Press. [GI]
- Department for International Development [DFID]. 2003a. D. Wilson, L. Beaton, eds. *Promoting institutional and organizational development: a source book of tools and techniques*, London: Development Partnership/Simon Gill of Governance Department. [TB]
- . 2003b. *Conducting institutional and organizational appraisal and development: guidelines for DFID and conducting institutional appraisal and development sourcebook*. see also: www.dfid.gov.uk/pubs/files/inst_org_sourcebook.pdf. [TB]
- Eade D., ed. 2000. *Development, NGOs and civil society*. Oxford: Oxfam GB. [GI]
- [ECDPM] European Centre for Development Policy Management. 2004. *Institutional development: learning by doing and sharing—approaches and tools for supporting institutional development*. ECDPM, Netherlands Ministry of Foreign Affairs, Poverty Policy and Institutional Development Division. DSA/AI. Draft booklet. [TB]
- Enennaam F. van, Zwart R.A. de. 1996. Benchmarking. *Handboek Management Accounting*, E1900, p. 1–18. [BM]
- Ellerman D. 2002. Capacity and development: autonomy-respecting assistance—towards new strategies for capacity-building and development assistance. In: S. Fukuda-Parr, ed., *Capacity for development: new solutions to old problems*. London: Earthscan and UNDP. [CB]
- Engel P.G.H, Salomon M.L. 1997. *Facilitating innovation for development: a RAAKS resource box*. Amsterdam: Royal Tropical Institute. [TB]
- Forssen M-K., Paivi Haho T.L. 2003. Facilitation in organizational change process: case studies on business process development using a simulation game method. International workshop of the IFIP WG 5.7, Experimental Interactive Learning in Industrial Management, 22–24 May 2003, Aalborg, Denmark. [OM]
- Fowler A. 1996. Assessing NGO performance: difficulties, dilemmas and a way ahead. In: M. Edwards and D. Hulme, eds., *Non-governmental organizations: performance and accountability*. London: Earthscan. p. 143–156. [GI]
- . 1997. *Striking a balance: a guide to enhancing the effectiveness of non-governmental organizations in international development*. London: Earthscan. [GI]
- . 2000. *Partnerships: negotiating relationships: a resource for non-governmental development organizations*. Occasional Paper Series no. 32. Oxford: INTRAC. [GI]
- . 2003. *International development frameworks, policies, priorities and implications: a basic guide for NGOs*. Oxfam Canada. [GI]
- Fowler A., Campbell P., Pratt B. 1992. *Institutional development and NGOs in Africa: policy perspectives for European development agencies*. Oxford and The Hague: INTRAC/NOVIB. [ID]
- Freire P. 1970. Cultural action for freedom. *Harvard Educational Review*. Cambridge, MA: Centre for the Study of Development and Social Change. [GI]
- . 1971. *Pedagogy of the oppressed*. New

- York: Herder and Herder. [GI]
- Fukuda-Parr S., Lopes C., Malik K. 1998. *Capacity assessment and development: in a systems and strategic management context*. Technical Advisory Report no.3. London: Earthscan and UNDP, Management Development and Governance Division, Bureau for Development Policy. [CB]
- . 2002. *Capacity for development: new solutions to old problems*. New York and London: UNDP and Earthscan. [CB]
- Fullan M. 2004. *Leading in a culture of change: personal action guide and workbook*. San Francisco: Jossey-Bass. [GI]
- Fullan M. 2004. *Leading in a culture of change: personal action guide and workbook*. San Francisco: Jossey-Bass. [CM]
- Glaser B.G., Strauss A.L. 1999. *The discovery of grounded theory: strategies for qualitative research*. New York: Aldine de Gruyter. [GI]
- Goold L., Ogara W., James R. 1998. *Churches and organization development in Africa: directions and dilemmas for northern NGOs*. Joint publication by INTRAC and CORAT Africa with the support of Bilance. Occasional Paper Series no. 20. Oxford: INTRAC. [OD]
- Gubbels P., Koss C. 2000. *From the roots up: strengthening organizational capacity through guided self-assessment*. World Neighbors Field Guide 2, Capacity Building. Oklahoma City: World Neighbors. [TB]
- Hammond S.A. 1998. *The thin book of appreciative inquiry*. Plano, Texas: Thin Book Publishing Co. [GI]
- Hartman F.G.H. 2004. 'Beyond budgeting' and beyond. *Management Control & Accounting*, August 2004. [OM]
- Harvard Business Review. 2001. *Harvard Business Review on organizational learning*. Boston: Harvard Business School Publishing Corp. [OL]
- Hey K.R., Moore P. 1998. *The caterpillar doesn't know: how personal change is creating organizational change*. New York: Free Press. [OM]
- Hoebink P., Van der Velden F. 1998. *Leren uit geleerd: Lessen uit evaluaties van uitzendende organisaties*. Deelrapport 2: Ervaringen bij een aantal uitzendende organisaties. Nijmegen: Derde Wereld Centrum KU Nijmegen. [TC]
- . 2002. From volunteerism to professionalism: technical assistance of the Netherlands in a change. Paper for the 10th EADI General Conference 'EU Enlargement in a Changing World: Challenges for Development Cooperation in the 21st Century', working group 'Aid and Development', Ljubljana. [TC]
- Holloway R. 2001. *Assessing the health of civil society: a handbook for using the CIVICUS index on civil society as a self-assessment tool*. Canada: CIVICUS. see also www.civicus.org. [TB]
- Hommel H.P.N. 2001. *Procesontwerp als strategisch instrument. Checklisten Financieel Management* afl. 42. [OM]
- Hommel H.P.N. 1993. Ontwikkelingssamenwerking en buitenlands beleid: het pakket wordt nog zwaarder. *Internationale Spectator*, January, p. 45–50. [GI]
- Horton M., Freire P. 1990. *We make the road by walking: conversations on education and social change*. Philadelphia: Temple University Press. [GI]
- Huizer G. 1973. The asocial role of social scientists in underdeveloped countries: some ethical considerations. *Sociologus* 1973/2:165–177. [GI]
- Hulme D., Edwards M., eds. 1997. *NGOs, states and donors: too close for comfort*. London: MacMillan and Save the Children. [GI]
- I/C Consult. 2002a. *OD approaches*. The Hague: I/C Consult. [OD]
- . 2002b. *Organisation scan: five characteristics of a strong organisation*. The Hague: I/C Consult. [OD]
- . 2002c. *Outline for an organisation development programme*. The Hague: I/C Consult. [OD]
- . n.d. *Company profile*. The Hague: I/C Consult. [OD]
- [IAC] International Agricultural Center. 2004. *Spreading roots: strengthening local government through advisory support*, ed. F.W. Swierczek, J. Brouwers. Bangkok and Wageningen: Asian Institute for Technology and International Agricultural Center. [GI]
- Jackson T. 1999. Managing change in South Africa: developing people and organisations. *International Journal of Human Resource Management* 10(2):306–326. [CM]

- James R. 1998. *Demystifying organisation development: practical capacity-building experiences of African NGOs*. INTRAC NGO Management and Policy Series no. 7. Chippenham, Wiltshire, UK: Anthony Rowe. [OD]
- . 2001a. *Power and partnership*. Oxford: INTRAC. [OD]
- . 2001b. *Practical guidelines for the monitoring and evaluation of capacity building: experiences from Africa*. Occasional Paper Series no 36. Oxford: INTRAC. [OD]
- . 2002. *People and change: exploring capacity-building in NGOs*. INTRAC NGO Management and Policy Series no. 15. Oxford: Anthony Rowe. [CB]
- . 2003. *Leaders changing inside-out: what causes leaders to change behaviour? Cases from Malawian civil society*. INTRAC Occasional Policy Series no. 43. Oxford: INTRAC. [CB]
- Kaplan A. 1994. *NGOs, civil society and capacity building: towards the development of a strategy*. Mulberry Series 05/94. Durban: Olive. [CB]
- Kaplan A. 2002. *Development practitioners and social process: artists of the invisible*. London: Pluto Press. [GI]
- Kotter J.P. 1996. *Leading change: an action plan from the world's foremost expert on business leadership*. Boston: Harvard Business School Press. [OM]
- Kruger V. 1998. *Total quality management and its humanistic orientation towards organizational analysis*. *The TQM Magazine*, Bedford, vol. 10, issue 4. [OM]
- Kruse S-E., Saether E.M., Fergus D.M., Disch A. 1998. *Institutional development in Norwegian bilateral assistance: development through institutions?* Evaluation Report 5.98. Oslo: Ministry of Foreign Affairs. [ID]
- Lap B. 2000. *Leren over Technische Assistentie—Ervaringen met TA met het oogpunt op het formuleren van nieuw beleid*. The Hague: Cordaid and Context. [TC]
- Laszlo C., Laugel J-F. 2000. *Large-scale organizational change: an executive's guide*. Boston: Butterworth Heinemann. [GI]
- Lewis D.J. 1993. Overview. In: J. Farrington and D.J. Lewis, eds., *Non-governmental organizations and the state in Asia*. London: Routledge. p. 47–58. [GI]
- Light P.C., Hubard E.T. 2002. *The capacity building challenge*, 8 April 2002. California: The Foundation Center. [CB]
- Lopes C., Theisoohn T. 2003. *Ownership, leadership and transformation: can we do better for capacity development?* London: UNDP and Earthscan. [CB]
- Lowe-Morna C., Øverland L. 2002. *Getting smart: strategic communications for gender activists in southern Africa*. Cape Town and Johannesburg: Gender Links and Women's Media Watch. [GI]
- Lusthaus C., Adrien M-H., Anderson G., Carden F. *Enhancing organizational performance: a toolbox for self-assessment*. Ottawa, New Delhi: International Development Research Centre, Vikas Publishing House. [OD]
- Lusthaus C., Adrien M., Perstinger M. 1999. *Capacity development: definitions, issues and implications for planning, monitoring and evaluation*. Universalial Occasional Report no. 35. Montreal: Universalial. [CB]
- Lynch D, Kordis P. 1998. *Dolphin strategies*. New York: Brain Technologies Corp. [CM]
- Mans W.P.C. 2001. *Procesbeheersing. Checklisten Financieel Management* afl. 30. [OM]
- Marsden D., Oakley P. 1990. *Evaluating social development projects*. Oxford: Oxfam. [GI]
- Mbigi L. 1997. *Ubuntu: the African dream in management*. Randburg, South Africa: Knowledge Resources. [GI]
- [MDF] Management for Development Foundation. 2004. *Advisers and consultants: the roles they play*. Short introduction to a course by Organisational Development for Advisors and Consultants. Ede, Netherlands: MDF. [OD]
- . 2004. *The integrated organisation model*. Ede, Netherlands: MDF. [OD]
- Ministerie van Buitenlandse Zaken. 2000. *Beleidskader technische assistentie*. The Hague: DGIS/Taakgroep Technische Assistentie. [GI]
- Morgan P. 1997. *The design and use of capacity development indicators*. Ottawa: CIDA. [CB]
- Moris J. 1976. The transferability of Western management concepts and programs: an East African perspective. *Philippine Journal of Public Administration* 4:401. [CM]
- Naudet J.D. 1991. *Development assistance committee: principles for new orientations in technical cooperation*. Paris: OECD. [TC]
- . 1994. *Improving the effectiveness of*

- technical cooperation in the 1990s. DAC/ UNDP/World Bank high level seminar. Issues paper. Paris: OECD. [TC]
- . 2000. *La Comptabilisation des flux de l'aide au Mali*. Paris: Organization for Economic Cooperation and Development. [TC]
- Nauheimer H. n.d. *Change management toolbox*. see also www.change-management-toolbook.com. [TB]
- Noordergraaf M., Abma T. 2003. Management by measurement? Public management practices amidst ambiguity. *Public Administration* 81(4):853–871. [GI]
- Nyamnyoh F. 2003. 'A child is one person only in the womb': domestication, agency and subjectivity in the Cameroonian grass-fields. Colloquium paper 'Agency in Africa'. Rotterdam and Leiden: Erasmus Universiteit and Afrika Studie Centrum, Universiteit Leiden. [CM]
- [Olive] Olive Organisation Development and Training. 1994. *From adhocacy to coherence: building the organisation development and training. OD&T sector*. Mulberry Series 05/95. Durban: Olive OD&T. [OD]
- . 1996. *What is OD and how does it travel?* Two articles, Mulberry Series 03/96. Durban: Olive OD&T. [OD]
- . n.d. *Olive's perspective on organizational views*. Durban: Olive OD&T. [OD]
- Paton R.A., McCalman J. 2000. *Change management: a guide to effective implementation*, 2nd ed. London and New Delhi: Thousand Oaks and Sage Publications. [OM]
- Pedler M., Aspinwall K. 1998. *A concise guide to the learning organization: managing change and learning is the no.1 task—wherever you work*. London: Lemos & Crane. [OD]
- Pedler M., Burgoyne J., Boydell T. 1997. *The learning company: a strategy for sustainable development*. London: McGraw-Hill. [OD]
- Pratt B., Loizos P. 1992. *Choosing research methods: data collection for development workers*. Oxford: Oxfam. [GI]
- Pretty J.N., Guijt I., Thompson J., Scoones I. 1995. *Participatory learning and action: a trainer's guide*. London: IIED. [TB]
- Pretty J.N., Guijt I., Thompson J., Scoones I. 1995. *Participatory learning and action: a trainer's guide*. Participatory Methodology Series. London: IIED. [AL]
- Rasiel E.M. 1998. *The McKinsey way: using the techniques of the world's top strategic consultants to help you and your business*. New York: McGraw-Hill. [GI]
- Revans R. 1998. The ABC of action learning. In: M. Pedler, ed., *Developing people and organizations*. The Mike Pedler Library. London: Lemos & Crane. [AL]
- Ribeiro G.L. 2002. Power, networks and ideology in the field of development. In: S. Fukuda-Parr, ed., *Capacity for development: new solutions to old problems*. London: Earthscan Publications and UNDP. [GI]
- Roche C. 1999. *Impact assessment for development agencies: learning to value change*. Oxford: Oxfam and NOVIB. [CM]
- Rostow W. 1960. *The stages of economic growth: a non-communist manifesto*. London: Cambridge University Press. [GI]
- Satir V. 1990. *The new peoplemaking*. Mountain View, California: Science and Behaviour Books. [OD]
- Schein E.H. 1999. *Process facilitation revisited: building the helping relationship*. Addison-Wesley Series on Organization Development. Reading, Massachusetts: Addison-Wesley. [PF]
- Schrijvers J. 1993. *The violence of 'development'*. Utrecht/New Delhi: International Books and Kali for Women. [GI]
- . 1997. Ontwikkelingsparadigma's; een kritisch perspectief. In: K. Lieten, F. van der Velden, eds., *Grenzen aan de hulp: beleid en effecten van ontwikkelingssamenwerking*. Amsterdam: Het Spinhuis. p. 39–60. [GI]
- . 1999. Onder de ondersten: vragen omtrent de 'visie van onderop' bij vluchtelingenonderzoek in Sri Lanka. In: P. Hoebink, D. Haude, F. van der Velden, eds., *Doorlopers en breuklijnen: van globalisering, emancipatie en verzet*. Assen: Netherlands: Van Gorcum. [GI]
- SEARCH [Bangalore-based NGO for international learning and people-centred development]. 1997. OD in NGO sector: concepts, processes and methods. *Search Bulletin* 12(1), January–March: 26–42. [OD]
- Senge P. 1990. *The fifth discipline: the art and practice of the learning organization*. New York: Doubleday and Currency. [CM]
- Senge P., Kleiner A., Roberts C., Roos R.B., Smith B.J. 1994. *The fifth discipline*

- fieldbook: strategies and tools for building a learning organization. London: Nicholas Brailey. [OD]
- Slack N., Chambers S. Johnston R. 1998. *Operations management*, 2nd ed. London: Pitman Publishing. p. 94–103. [OM]
- Smillie I. 1995. *The alms bazaar: altruism under fire—non profit organizations and international development*. London: IT Publications. [GI]
- Smillie I., Helmich H., eds. 1993. *Non-governmental organisations and governments: stakeholders for development*. Paris: Organization for Economic Cooperation and Development) [GI]
- Soal S. 2004. *Holding infinity*. Woodstock, South Africa: CDRA. [GI]
- Soal S., James R., Goold L. n.d. *Reflections from practice: OD consultant formation in Africa*. Woodstock, South Africa, and Nairobi: Oxford, CDRA, INTRAC, CORAT. [OD]
- Taylor J. 2002. On the road to becoming a learning organization. In: M. Edwards, A. Fowler, eds., *The Earthscan reader on NGO management*. London: Earthscan. [OL]
- Taylor J. n.d. *Organisations and development: towards building a practice*. Woodstock, South Africa: Community Development Resource Association. [OD]
- Taylor M. 1995. *Not angels but agencies*. Geneva: World Council of Churches. [GI]
- Tepper H.J. 2001. Resultaatgericht besturen en verbeteren. *Checklisten Financieel Management* afl. 52. [OM]
- United States Agency for International Development. 2000. *Recent practices in monitoring and evaluation tips: measuring institutional capacity*, no. 15. Washington, DC: USAID Center for Development Information and Evaluation. [ID]
- Van de Bunt P.A.E. 1999. Management of change en de controller. *Handboek Management Accounting A1230-1/12*. [OM]
- Van der Velden F. 1999. Niet-gouvernementele Ontwikkelingsorganisaties en mondialisering: bedreigingen en kansen. In: P. Hoebink, D. Haude, F. van der Velden, eds., *Doorlopers en breuklijnen: van globalisering en verzet*. Assen, Netherlands: Van Gorcum. p. 288–302. [GI]
- . 2004. *Measuring the contribution of technical assistance to capacity enhancement*. Report of a participatory workshop, 24–27 March 2004. Utrecht: Context, international cooperation. [CB]
- . forthcoming. *Capacity assessment of non-governmental development organisations: beyond the logical framework approach*. Soesterberg: Context, international cooperation. [CB]
- Van der Velden F., Schulpen L. 2002. *Private development aid in transition*. New Delhi: Concept Publishing Company. [GI]
- Van der Velden F., Van der Vlist I., Haijink A., Leenknecht A. 2003. Capacity for development: a plea for a real paradigm shift. Background paper by Context presented at the PRISMA expert meeting 'Empowerment and Capacity Building', 31 October 2003. [CB]
- Van der Velden F., Zweers J. 1997. Personele samenwerking: beleid, resultaten en perspectieven. In: K. Lieten, F. van der Velden, eds., *Grenzen aan de hulp; beleid en effecten van ontwikkelingssamenwerking*. Amsterdam: Uitgeverij Het Spinhuis. p. 245–69. [TC]
- Weinstein K. 1999. *Action learning: a practical guide*, 2nd ed. Burlington, UK: Gower. [AL]
- Wester-Lucassen C. 2004. Beyond budgeting in de non-profitsector. *Tijdschrift Controlling* no. 6, June 2004. [OM]
- Wheatley M.J. 1999. *Leadership and the new science: discovering order in a chaotic world*. San Francisco: Berrett-Koehler Publishers. [GI]
- World Bank. 2002. *World development report 2002: building institutions for markets*. Oxford: Oxford University Press. [GI]
- Zairi M. 1998. *Effective management of benchmarking projects: practical guidelines and examples of best practice*. Oxford: Butterworth, Heinemann. [BM]
- Zoon R.W.J.A. 2002. Planning en control bij een lerende organisatie: the Vision Web. *Handboek Management Accounting* July 2002. [OM]

Major SNV reference documents

General SNV information

(published or produced in The Hague, unless otherwise noted)

- SNV. 2000. *Strategy paper*.
- . 2001. Making sense of the diversity. Working paper on ‘SNV practice’.
- . 2001. *Contours and principles: internal organization SNV*.
- . n.d. *Reflective learning exercise*. Case studies ‘SNV practice’.
- . 2002a. *Embracing wild life: organisational and institutional development in SNV advisory practices*, ed. S. Turnhout. The Hague: Nijv're Mier.
- . 2002b. *Hulp blijft nodig, maar anders, SNV: van vrijwilligers naar adviseurs*, D. Verhoeven.
- . 2002c. *SNV's advisory practice, emerging lines: connecting people's capacities*.
- . 2003. *Annual report SNV 2002*, ed. B. Posthumus.
- . 2004. *Linking SNV portfolios, product, knowledge management and marketing: in our heads and in practice*, ed. J. Ubels.
- . 2004. *Strengthening local governance: finding quality advisory approaches*. Nairobi: SNV.
- . Knowledge Management Unit. 2003. *SNV knowledge: the rough guide—mapping the content, exploring focus and quality*.
- . Planning, Monitoring and Finance Unit. 2003. *Result measurement of capacity development support SNV: points of departure, proposal for result measuring*.
- . Planning, Monitoring and Finance Unit. 2004. *Annual report 2003: connecting people's capacities*. SNV learning strategy, draft version 1.

SNV Cluster East Africa

- SNV Cluster East Africa. 2003. Building Advisory Practice products plan. Draft dated 8 June 2003.
- . 2003. Building Advisory Practice, framework for implementation, 20 March 2003.
- . 2003. Building Advisory Practice, newsletter, dated April 2003/November 2003/ April 2004.
- . 2003. BAP framework for country assessment, 17 May 2003.
- . n.d. BAP as a learning mechanism: request for cases of learning ‘within’ and ‘between’ countries.
- . 2003. Learning framework v1, 22 June 2003.
- . 2003. BAP as a learning mechanism plus cases, 10 September 2003.
- . 2003. Cluster analysis BAP v5, 9 September 2003.
- . 2003. Win-win profile, 11 November 2003.
- . 2003. Building Advisory Practice, coordination structure, 5 December 2003.
- . 2003. Structure for BAP documents, revised 5 April 2004.
- . 2004. Building Advisory Practice, progress and future perspectives, 4 April 2004.
- . 2004. BAP workplan 2004.
- . 2004. Feedback on BAP evaluation session, by Susan Onyango, 24 March 2004.
- . 2004. Action points, BAP working group meeting, Addis Ababa, Ethiopia, 19 March 2004.

BAP CDS study

- SNV Cluster East Africa and Context, international cooperation.
- . 2004. Building Advisory Practice. Study of process facilitation of Capacity Development Services, BAP CDS briefing workshop, Addis Ababa, Ethiopia, 7 March 2004.
- . 2004. Building Advisory Practice. Study of process facilitation of Capacity Development Services, BAP CDS debriefing workshop, Nairobi, Kenya, 6–7 September 2004.
- Van der Velden F. 2004. Guidelines for action learning case studies. Study of process facilitation of Capacity Development Services, SNV Cluster East Africa, 'Building Advisory Practice'. Utrecht: Context, international cooperation.
- Van der Velden F., Leenknecht A., Haijink A. 2004. SNV Cluster East Africa 'Building Advisory Practice'. Study of process facilitation of Capacity Development Services, draft sector analysis report, 5 May 2004.
- . 2004. SNV Cluster East Africa 'Building Advisory Practice'. Study of process facilitation of Capacity Development Services, draft triangulation and benchmarking report, 5 May 2004.
- . 2004. SNV Cluster East Africa 'Building Advisory Practice'. Study of process facilitation of Capacity Development Services, debriefing note primary data collection, 4 August 2004.
- . 2004. SNV Cluster East Africa 'Building Advisory Practice'. Study of process facilitation of Capacity Development Services, draft report, work in progress, 1 September 2004.

Other BAP studies

- ACE Europe. 2003. Report for feedbackdef LG visits, 30 November 2003.
- . 2004. Overview possible cases to be selected for benchmarking, 14 November 2003.
- . 2004. *SNV-BAP local governance*. Lier, Belgium.
- Kapila S. 2004. Building Advisory Practice: private sector development booklet. Draft.

SNV Cluster East Africa country studies and documentation

- SNV Ethiopia. 2002. Ethiopia country report, by Fantahun Wakie, 27 August 2003.
- . 2002. ODID case in 'X' zone in of the regions, Ethiopia, by Fantahun Wakie.
- . 2003. Internal memo. Report on CRDA-CA conference, 'Breaking the cycle of recurrent famine in Ethiopia'.
- . 2003. Are we determined to fight the war with major and dominating paradigm? by Fantahun Wakie, January 2003.
- . 2003. General action plan for lobby and advocacy on food security during 2003–2004, Rural Development Forum. Final draft dated 28 October 2003.
- . 2003. Rights based approach to development and implication to Ethiopian NGOs/CSOs: issues need attention and reflection.
- . 2004. Ethiopia in brief.
- SNV Kenya. 2003. Building the advisory practice. BAP country assessment report. SNV/Kenya BAP Reference Group, August 2003.
- . 2003. BAP. The SIDEPE case. From SAFI to SIDEPE: ownership, women empowerment and transition. MaSaLa Team, August 2003.
- . 2003. Individual annual planning 2004, IDOD adviser Nairobi, Mary Njuguna, 15 September 2003.
- . 2003. Tools for the advisory practice. A practical folder, October 2003.
- . 2003. Building the Advisory Practice BAP, country assessment report, SNV/Kenya BAP Reference Group, August 2003.
- . n.d. Turkana cluster team plan 2004.
- . n.d. SNV Kerio team plan.
- . n.d. MaSaLa cluster team plan 2004.
- . 2003. Notes, Kenya BAP visits, 28 July 2003.
- . 2003. SIDEPE case study notes, 5 May 2003.
- . n.d. Case study, Lay out ALOE, by R. Neefjes.

- SNV Rwanda. n.d. BAP: Rwanda country report.
- . 2003. Visit Rwanda report v2b, 31 May 2003.
- SNV Tanzania. 2003. BAP country assessment report: SNV Tanzania. BAP reference group, by Maureen Roelle, September 2003.
- . 2004. Review of the capacity building relationship between SNV and PAMOJA, 19 March 2004.
- . 2003. Visit BAP Tanzania report v1, 12 July 2003.
- . 2004. A district education board in Tanzania: using joint action to create cooperation, by R. Van Klinken, *Capacity.org* 22 July 2004.
- SNV Uganda. n.d. *Do not run faster than the ball: from development programme to local NGO*. The CEFORD story in Uganda.
- . n.d. Uganda country assessment report.
- . 2004. Capacity development: ID/OD issues, ID/OD Taskforce, 15 April 2004.



Netherlands
Development
Organisation

Context,
international cooperation



ISBN: 98 77821 13 9



Capacity Development Services

A learning approach to enhancing
capacity in SNV East Africa



Netherlands
Development
Organisation