



United Nations  
Educational, Scientific and  
Cultural Organization

# TOWARDS EFFECTIVE CAPACITY DEVELOPMENT

Capacity Needs  
Assessment Methodology  
(CAPNAM) for Planning  
and Managing Education

# **TOWARDS EFFECTIVE CAPACITY DEVELOPMENT**

Capacity Needs Assessment Methodology (CAPNAM)  
for Planning and Managing Education

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# Foreword

Capacity Development (CD) is one of UNESCO's five key strategic functions in pursuing Education for All (EFA). UNESCO seeks to reinforce the capacity of Member States to achieve their national education goals through the development and implementation of robust education sector policies and plans.

UNESCO's experience demonstrates that, despite significant achievements, programmes to strengthen the capacity of the education sector have not always generated the expected improvements in efficiency and effectiveness. Much remains to be done in enabling countries to deliver quality education.

Informed by this experience, UNESCO felt the need to conduct a review of key concepts and approaches that are central to CD, starting with the first step in any CD exercise: an assessment of capacity needs.

Inspired by UNDP's capacity assessment methodology and its long-standing experience and investment in this field, the Capacity Needs Assessment Methodology (CAPNAM) provides the tools and approaches to identify gaps and formulate appropriate responses.

The Capacity Needs Assessment Methodology mobilises and engages a wide spectrum of national education stakeholders through a comprehensive participatory approach. This underlying principle ensures national ownership and sustainability of CD programmes.

The Capacity Needs Assessment Methodology should therefore be perceived as a trigger. Its success depends on the determination and will of national authorities to carry it forward in an effort to improve educational management and delivery within the broader context of public sector reform.

Qian Tang, Ph.D.  
Assistant Director-General for Education

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# List of acronyms and abbreviations

<b>CapEFA</b>	Capacity Development for Education for All
<b>CAPNAM</b>	Capacity Needs Assessment Methodology in Educational Planning and Management
<b>CD</b>	Capacity development
<b>EFA</b>	Education for All
<b>GPE</b>	Global Partnership for Education
<b>ICT</b>	Information and communication technologies
<b>IIEP</b>	International Institute for Educational Planning
<b>MDG</b>	Millennium Development Goal
<b>MTEF</b>	Medium-term expenditure framework
<b>M&amp;E</b>	Monitoring and evaluation
<b>NGO</b>	Non-governmental organization
<b>OECD</b>	Organisation for Economic Co-operation and Development
<b>PPM</b>	Policy planning and management
<b>TVET</b>	Technical and vocational education and training
<b>UN</b>	United Nations
<b>UNDP</b>	United Nations Development Programme
<b>UNESCO</b>	United Nations Educational, Scientific and Cultural Organization

# 1. Introduction

## 1.1 Background

Capacity development (CD) in Member States is a high priority for all UN agencies. For UNESCO, strengthening Member States' capacity in education is one of its five priorities<sup>1</sup>. A UNESCO review of its CD activities revealed important shortcomings in both content and scale (UNESCO, 2008). It noted that there was confusion about the very concept of educational capacity and, as a consequence, the organization's CD activities lacked systematic orientation and priorities. To improve the situation, it was considered important to articulate a clear strategy to guide the activities aimed at strengthening educational capacity in Member States (UNESCO and IIEP, 2009). A first priority was given to developing a coherent methodology for assessing educational CD needs. Even though such methodologies were available for other sectors, it was seriously lacking in the education sector.

This document is meant to fill that gap. The methodology developed here goes beyond capacity needs assessment and includes the formulation and implementation of capacity-building programmes. Given the UN-wide concern with CD and UNDP's expertise in this area, this document represents a joint effort to capitalize on the comparative advantage of the two agencies: UNESCO's expertise in the education sector is combined with UNDP's expertise in supporting CD programmes across a variety of sectors. The resulting document is meant to be shared with other agencies and programmes, like CD for Education for All (CapEFA) and the Global Partnership for Education (GPE). The aim is to develop an approach that is compatible with the work of sister UN organizations, both in terms of how capacity is treated and also how it is part of "UN delivering as One". It should be also noted that the approach taken for this work has been guided by such principles and values as gender equality, education as a human right.

Within UNESCO, the present effort is complemented by the CD guidelines it is preparing to equip its field staff for effective partnership in working with countries and other partners in CD.

## 1.2 Purpose and structure

The ultimate purpose of the document is to provide technical support and guidance to education stakeholders (education ministries, UNESCO field offices, etc.) in assessing capacities and developing CD programmes in educational planning and management in Member States. The scope of CD is further limited to policy planning and management (PPM) capacity.

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<sup>1</sup> See: <http://www.iiep.unesco.org/capacity-development/capacity-development-strategies.html>

To support this overall objective, this document is developed in two parts. The first part (Section 2) provides an *analytical framework* for assessing needs and for guiding intervention programmes. This part is structured as a response to three overarching questions: Why is capacity needed? What functions does it need to perform? And what capacities can perform those functions?

Reflecting on these questions, the analytical framework is conceptualized in three dimensions, with the objective, respectively, of identifying: (i) the policy domains that ministries of education have to plan for and manage; (ii) the functions involved in the full cycle of effective planning and management; and (iii) the types and forms of capacities that are needed to perform those functions effectively.

The second part (Sections 3 and 4) describes the *processes* for applying the assessment framework and for developing CD programmes, including the mechanisms for monitoring progress. The modalities of intervention offer a generic approach for all countries, which is at the same time flexible enough to be refined and tailored to the specific circumstances of individual countries. They cover all the steps from original conception of the needs assessment exercise to its launch, policy recommendations, and implementation, including linkages with the wider CD reform processes in the country.

## 2. Analytical framework for needs assessment methodology in educational planning and management

## 2.1 Definition of capacity

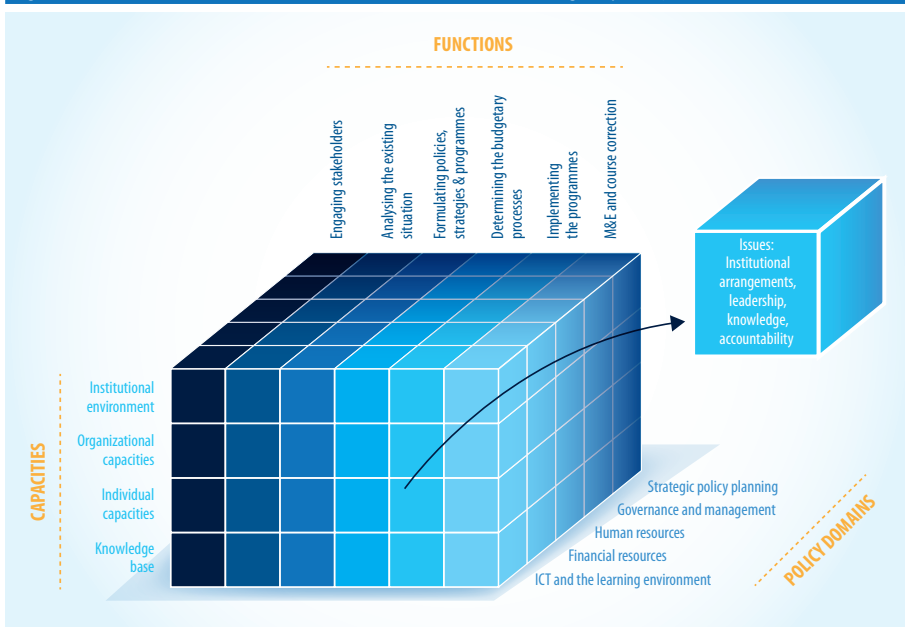
For the purposes of this document, capacity is defined as a process through which individuals, organizations, and institutions responsible for educational planning and management at different levels of education are able to develop, maintain, and apply various capacities to achieve educational targets for society over the long-term in a sustainable way. As a continuing process, CD should be viewed as representing a moving target, and reform proposals need to be framed in the long-term perspective and be open to continuing tracking and course correction. Further elaboration of this definition is given below as the document delves deeper into different aspects of PPM capacity.

Available literature on general methodologies for assessing CD does not address the specificities of the education sector. From the latter's perspective, available methodologies suffer from two limitations. First, they are not sufficiently comprehensive, in that all aspects of education PPM capacity are not an integral part of the conceptual framework. Second, their conceptual base lacks clarity in that analytical elements are often confused with *ad hoc* implementation issues. The analytical framework presented below attempts to address these problems.

## 2.2 A three-dimensional analytical framework

The starting point for the analytical framework is that a CD needs assessment methodology must offer guidance on making three key choices: (i) the policy domains where PPM capacities are needed; (ii) the PPM functions that need to be performed within each policy domain; and (iii) the types of capacity that are needed to perform each of those PPM functions. Accordingly, as is illustrated in *Figure 1* below, the framework is structured along three dimensions, while the policy domains are shown along the diagonal axis. It identifies five key policy areas or domains that are specific to the education sector. The horizontal axis identifies the PPM functions, drawing on the UNDP methodology. The third dimension is portrayed along the vertical axis and identifies the capacities needed for performing the PPM functions.

Figure 1. Three-dimensional framework for assessing capacity needs



## 2.3 Capacity for what? Policy domains

The diagonal axis depicted in *Figure 1* responds to the question: “Capacity for what?” It presents a menu of typical policy issues for which an education ministry requires planning and implementation capacity. Without attempting to be comprehensive, the analytical framework identifies five such policy domains: (i) strategic policy planning; (ii) governance and management; (iii) planning and managing human resources; (iv) planning and managing financial resources; and (v) ICT and the learning environment, including issues of pedagogy and assessment. Depending on the education ministry’s jurisdiction, these policy domains can be sector-wide or related to specific sub-sectors of education. Some policy domains, such as human resources or financial resources, can be viewed in their sector-wide and sub-sector scope or in the context and/or strategic priorities of the ministry itself.

### I. Strategic policy planning

The education sector comprises many sub-sectors, such as pre-primary, primary, secondary, tertiary, and adult education. There are, in addition, sectors that overlap with others, such as technical and vocational education and training (TVET) and sector-regulatory systems, such as



the qualifications frameworks or transitional linkages between sub-sectors. Planning for strategic objectives and target-setting have different requirements depending on whether the sector as a whole or just one of its sub-sectors is being considered.

At the sector-wide level, planning is required for issues such as the following:

- Setting overall priority for the education sector in relation to other national priorities. All countries must make decisions on the relative priorities to be accorded to the sector among other national priorities. Often these decisions may be implicit; the task of planning is to make them explicit through a rational and agreed process.
- Setting targets for sub-sectors of education within the education sector envelope and making regulatory and other arrangements that link these sub-sectors.
- Ensuring appropriate contribution to broader educational and societal goals, such as quality of education, research, social cohesion, gender equality, poverty reduction, economic growth, etc.
- Integrating international commitments and agreements into national educational strategies and goals. As members of the international community, countries are called upon to participate in global goal-setting exercises, such as EFA and the Millennium Development Goals (MDGs), and most developing nations are partners in development assistance programmes that require further alignment and harmonization with national strategies.

The nature of the strategic policy can take different forms if an education ministry in the country reviewed is dealing with one of the education sub-sectors. For example, for the school sector (primary and secondary schools), strategic policy issues can take the following forms:

- Setting the overall priority for the school sector and ensuring and further advocating for its share of resources within the education budget.
- Deciding on the appropriate balance between a range of sector objectives, such as access (universal participation), equity, social cohesion, quality, and gender equality.
- Balancing the priorities within the sub-systems of the school sector, for example by region or other sub-national aggregates.
- Liaising and dialoguing effectively with other sub-sectors of education, such as pre-primary and tertiary.
- Achieving harmonious relationships with the broader community, including development partners.

## II. Governance and management

Governance and management tasks requiring planning can differ depending on whether a sector-wide or sub-sector perspective is adopted. From a sector-wide perspective, governance and management issues requiring planning include the following:

- Governance of systems that are under different jurisdictions: frameworks for defining the roles and responsibilities of different jurisdictions (such as for different levels of government, the public and private sectors, and so on).
- Frameworks for nature and levels of autonomy and responsibility, including the delegation of authority: Planning for the appropriate balance between direct government control of educational institutions and the degree of autonomy of the institutions. The relative roles of public and private provision and how the latter are regulated by the government are important issues of institutional rules of the game.
- Frameworks for transition within the education sector: The sector is composed of several sub-sectors that are inter-linked. An example is accommodating transition linkages between the secondary and the tertiary sector, between the formal sector and adult learning, etc. Another example is of teaching resources for the secondary sector, which are produced by the tertiary sector.
- Sector-wide regulatory infrastructures: For example provision of qualifications frameworks that span all sectors, formal as well as informal.

From a school-sector perspective, governance and management tasks requiring planning may include the following:

- Determining the roles and responsibilities of different levels of government involved in the school sector (provincial, district, local).
- School mapping (deciding on location, type, and size of schools) and choice of different school mapping models.
- Determining the relative roles of the public and private sectors.
- Choosing the degree of hands-on management control and self-regulation; and issues of centralization and decentralization of decisions and resources.
- System for allocating resources across schools.
- Ensuring transparency, accountability, and efficiency in the use of resources.
- Managing relationships between schools and the community.
- Managing school systems' relationships with other education sectors.

### III. Planning and managing human resources<sup>2</sup>

Human resources planning and management are required for the education sector as well as for the ministry. This policy domain should deal with the human resources needed by the education system, while the human resources that are the outcomes of the education system will be covered under the strategic policy planning domain. Due attention should be given to promoting gender equality in the workplace and ensuring equality of opportunity, treatment and decision-making. This should include gender parity in the recruitment, training, and career development process of males and females, especially those in the teaching force.

Every education system has two types of management function to perform effectively: 1) planning and management of teachers; and 2) planning and management of other education professionals (planners, managers, statisticians, regional directors, support staff, inspectors, pedagogic advisors, curriculum reviewers/designers, textbook authors, publishers, graphic designers, etc.). Planning and management of human resources in education should take these two basic functions into consideration.

Human resources planning and management for the school sector<sup>3</sup> has a number of tasks, including the following:

- Planning and managing teacher demand and supply at appropriate levels;
- Teacher deployment to individual schools.
- Developing policies for staff recruitment, professional development and career projection, including assessment of teacher quality.
- Planning negotiating strategies with teacher organizations.

Issues in managing the human resources of an education ministry take several forms:

- Recruiting, developing, and retaining staff that are appropriately skilled and motivated in performing the required policy planning and implementation functions.
- Liaising with the government agencies to ensure the appropriate supply of the above.
- Liaising with educational establishments to ensure the availability of the pool of potential ministry staff with the right balance of skills, competencies, profiles, and gender.

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2 The strategic policy planning domain should cover: 1) how to develop an education system, taking into consideration various societal needs and the human and financial resources available; and 2) dialogue functions – ministries of finance, education, labour, and planning etc. – which would allow an understanding of the various needs of society.

3 Beyond primary education, differentiated profiles need to be planned by looking at the needs of the labour market (depending on its orientation towards the service or the production sector). This aspect should be addressed under the strategic policy planning domain.

#### IV. Planning and managing financial resources

Most ministries consider financial planning to be the very heart of their operation and the most political aspect of the latter. The following provides some examples of the issues to be addressed (at the sector-wide and sub-sector levels):

- Planning on the basis of the proportion of the national budget allocated to education in the medium-term expenditure framework (MTEF).
- Translating educational plans and targets into budget allocations that take into account gender-responsive budgeting, i.e. planning, programming, and budgeting that contribute to the advancement of gender equality and the fulfilment of women's rights.
- Expenditure management – expenditure categories and disbursement mechanisms, including tracking public expenditures from central level down to schools.
- Capacity to generate resources – nationally from the private sector and from international sources – and to integrate them into planning, including the use of the Sector-Wide Approach (SWAp).
- Developing resource allocation schemes for schools.

The above are examples of financial planning on the basis of the resources allocated to a ministry. Different types of planning are required when an education ministry has to consider raising the envelope of resources for the education sectors under its jurisdiction. For example, planning strategies may be required for mobilizing resources from the private sector and from the various development partners in education.

#### V. Planning and managing the learning environment, including ICT

This policy domain is most meaningful at the level of education sub-sectors, and the issues differ significantly according to each different sub-sector. Much of the responsibility for the learning environment is often delegated to decentralized and educational establishment level. Nonetheless, an education ministry usually retains responsibility for setting frameworks for standards and quality for a variety of aspects of learning environment quality. It includes issues such as the following:

- Planning and management of buildings and educational facilities.
- Information and communication technology (ICT) infrastructures.
- Teacher training, material production, and assessment procedures specific to the introduction of ICT.
- Standards and frameworks for educational attainment and learning outcomes.
- Frameworks for quality assurance.

## 2.4 Capacity for performing which functions?

The horizontal axis in *Figure 1* responds to the question: “Capacity to perform which functions?” The planning and implementation cycle covers a range of functions. These have been classified differently in the literature (UNDP, 2008*a* and *b*; IIEP-UNESCO, 2010). *Figure 1* displays six functions that draw on the UNDP classification and adds some modifications based on information from UNESCO country studies of ministries of education (UNESCO, 2007; UNESCO, 2005):

- 1. Engaging stakeholders:** In order to be effective, policy planning needs to be supported by a strong consensus among all the key stakeholders in education, from within the education and line ministries<sup>4</sup> as well as outside (including unions, women’s associations), on the broad orientations of education policies and programmes.
- 2. Analysing the existing situation:** The planning work needs to be based on a thorough analysis of the existing situation based on various data (disaggregated by gender, region, ethnic group, community, etc.) and sources of information, including diagnostics of both assets and deficiencies. This analysis is used for setting the mandate for the planning work.
- 3. Formulating policies, strategies, and programmes:** The next step involves translating the mandate into credible policies and deliverable programmes that are informed by gender-sensitive data, resources and analysis.
- 4. Determining the budgetary processes:** These programmes have to be converted into budgetary processes, identifying both the sources of funds and the modalities of acquiring and disbursing them by various levels of authority implicated in the process, and include gender-responsive budgeting.
- 5. Implementing the programmes:** A critical function for the planning unit is to identify the implementation process of policies and programmes, together with targets and responsibilities, at each level of the responsibility chain, which also includes a financial management function.
- 6. Monitoring and evaluation<sup>5</sup> (M&E) and course correction:** This function is needed to ensure that the programme is being effective in meeting its objectives and to introduce course corrections if they are off target.

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4 Ministries of education, higher education, planning, women’s affairs, human resources, finance, economy, labour, regional administration, etc.

5 This function will also support authorities in monitoring the implementation of the programme(s) for gender equality at central and decentralized levels.

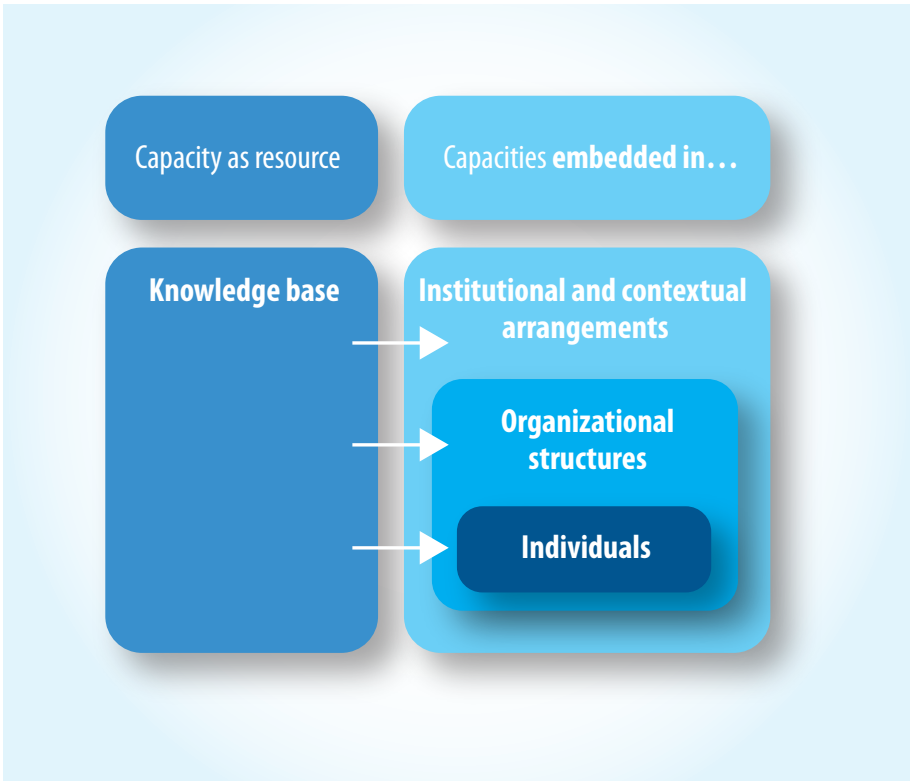
## 2.5 Capacity types

The third dimension of the analytical framework responds to the question: “What types of capacities are needed to perform the full cycle of PPM functions identified above?” Drawing on recent UNESCO work and others (OECD, UNDP, GPE, etc.) that have elaborated the concept of capacity, four types of capacities that provide a comprehensive classification are chosen, as depicted along the vertical axis of *Figure 1*:

- 1. Institutional capacities** include the rules, regulations, and practices that set the overarching contextual environment. According to UNDP, institutional arrangements “refer to policies, procedures and processes that countries have in place to regulate, plan, and manage the execution of development, rule of law, measure change and such other functions of state. By its nature, the issue of institutional arrangements shows up in every aspect of development and public sector management” (UNDP, 2008a: 43).
- 2. Organizational capacities** describe the organizational arrangements of the ministry and stakeholder organizations operating within the institutional rules and context noted above. Organizational capacities shape how various actors come together to perform given tasks, and these organizational features can either facilitate or constrain the performance of the PPM functions (UNDP, 2008a and b).
- 3. Individual capacities** can take a variety of skills, such as technical, functional, and leadership. The technical and functional skills of the planning staff can be very varied and are essential for the effective operation of the planning system. In addition, especially at the sector-wide level, leadership skills are particularly important in setting strategic directions for the sector, supporting the planning function, and obtaining political support. “An important characteristic of good leadership is the ability to anticipate (and sometimes catalyze), be responsive to, and manage change to foster human development” (UNDP, 2008a: 53).
- 4.** The fourth and final type of capacities is the **knowledge base**, which needs to be brought into play in performing each of the PPM functions. In the present context, this variable includes all the stand-alone (that is, disembodied or non-embedded) knowledge input needed for performing the six PPM functions. The definition of the knowledge base includes the UNDP concept, which refers to “the creation, absorption and diffusion of information and expertise towards effective development solutions” (UNDP, 2008a: 58).

As depicted in *Figure 2*, the four types of capacities fall into two categories: capacities that are embedded in institutions, organizations, and individuals; and stand-alone capacities that can be used as a resource by the other actors.

Figure 2: Types of PPM capacities



## 2.6 Core issues

This analytical framework is flexible enough to accommodate the core development issues that have surfaced from previous UNDP work as critical for designing effective CD programmes, namely the issues of institutional arrangements, leadership, knowledge, and accountability. These four core issues are critical in uncovering capacity blockages, designing effective programmes to develop capacity, and measuring their results. They are shown as elements of the three-dimensional cells in *Figure 1* and are described briefly below.

- **Institutional arrangements: The policies, practices, and systems that allow for** effective functioning of an organization or group. These may include 'hard' rules, such as laws or the terms of a contract, or 'soft' rules, like codes of conduct or generally accepted values. **Outputs related to this driver include:** *roles and responsibilities are clarified, business processes are streamlined, process maps are developed, coordination mechanisms are established, etc.*

- **Leadership is the ability to influence, inspire, and motivate others** to achieve or even surpass their goals. It is also the ability to anticipate and respond to change. Leadership is not necessarily synonymous with a position of authority; it can also be informal and be held at many levels. **Outputs related to this driver include:** *mandate is well defined and codified, clear vision is shared, leadership retention plan is implemented, etc.*
- **Knowledge underpins people's capacities** and hence CD. Seen from the perspective of the three levels, knowledge has traditionally been fostered at the individual level, mostly through education. However, it can also be created and shared within an organization, such as through on-the-job training, and supported through an enabling environment of effective education systems and policies. **Outputs related to this driver include:** *a knowledge management system is put in place, centres of excellence are created, career development and learning plans are established, brain gain strategies are defined, etc.*
- **Accountability** "exists when two parties adhere to a set of rules and procedures that govern their interactions and that are based on a mutual agreement or understanding of their roles, responsibilities vis-à-vis others. It allows organizations and systems to monitor, learn, self-regulate and adjust their behaviour in interaction with those to whom they are accountable (clients, citizens, partners)" (UNDP, 2008a: 62). **Outputs related to this driver include:** *participatory planning and stakeholder feedback mechanisms are established, etc.*

At each cross-section of the three dimensions of the cube (policy domains, PPM functions, types of capacities), the core issues provide the focus for capacity issues that can be explored during the assessment. One or more of the core issues could be considered in any given cross-section.



# 3. Modalities of intervention

This section draws on the UNDP experience to lay out the general guiding principles and the key steps for mounting and implementing a CD exercise in a partner country. It should be noted that these modalities are essentially based on experience with CD in social sectors other than education. They are, however, general principles and are flexible enough to be used for the education sector, with appropriate modifications to take account of the education sector, national specificities, and contexts.

## 3.1 Guiding principles

*National ownership:* Wide national sponsorship and participation in the process are key to a successful capacity assessment and CD efforts. Specifically for the education sector, key national line ministries, such as ministries of education, finance, economy, planning, women's affairs, regional development, social affairs, and science and technology, need to be at the forefront of the CD effort. National partners who demonstrate strong leadership are more likely to support efforts to improve capacity further. The process itself must be designed to positively contribute to building effective leadership in the education sector and beyond.

*Link to national development priorities:* National development priorities must dictate the area of focus and the kind of CD efforts in general.

*Shared and clear purpose:* There can be various reasons for conducting a capacity assessment. A clear statement of the purpose is essential for defining the boundaries of the capacity assessment and for ensuring alignment of the efforts of the capacity assessment team with the objectives of the line ministries.

*Collaborative approach:* This allows key stakeholders from relevant government entities, partner organizations (state and non-state), beneficiaries, the United Nations country team as appropriate, and donors to participate in discussions and provide input and direction. Not only should the programme proposals be developed collaboratively, but the consensus package should be disseminated widely both within the ministry and among stakeholders in the country.

## 3.2 Key steps

The eventual objective of the CAPNAM exercise is to help the relevant ministry or ministries of education to develop and implement capacity building policies and programmes in a sustainable way. Accordingly, the key steps in this process include: engaging stakeholders on CD; mobilizing and designing the capacity assessment; conducting the capacity assessment;

summarizing and interpreting the results of the capacity assessment; and formulating a CD response with built-in consensus and political support. Activities recommended for each step are detailed in sections 3.3 to 3.7.

In line with the principle of national ownership and leadership, all activities in each of the steps outlined below should ideally be fully owned, conducted, and led by the relevant minister's national focal point(s) for the intervention, or the relevant national unit(s) within the 'owner' ministry or institution.

If appropriate, some or all of the steps described below can be supported in terms of technical guidance and facilitation by UNESCO, as the leading UN organization on education, and UNDP. If facilitation by UNESCO/UNDP is necessary:

- The facilitation/support team should be gender-balanced and should ideally include people who are familiar with the context, content, and process of capacity assessment and CD. In this case, the team should include representatives of national partners; at least one national member of staff or expert, supported by UNESCO headquarters, UNESCO field offices, and, if appropriate, UNDP programme focal point(s) from the country offices. The participation of national expert(s) should continue beyond the mission(s) in order to ensure continuity throughout the development process of a CD plan and a subsequent action plan.
- Competence of the iterative process itself ('capacity on CD') should be fully owned by the ministry of education or other owner institution.

### 3.3 Engage stakeholders in CD

Engaging stakeholders is recommended throughout the whole process. It can take several steps:

**Map key partners:** Ensuring an effective CD intervention requires building political commitment to the importance of CD among key stakeholders in education and embedding CD in the broader national development priorities. The step of engaging stakeholders usually begins with a mapping of key partners in the education sector: line ministers, other government entities and task forces, UN agencies, non-governmental and civil society organizations active in formal and informal education, the private sector, universities, etc.

**Build consensus and political commitment:** Once the stakeholders are identified, they will need to discuss and agree on how this effort can support the achievement of national development goals related to the education sector. This can take place through one or a series of stakeholder meetings. Although depicted as the first step of the CD process, engaging stakeholders remains inherent in every following step.

**Identify the roles and responsibilities of stakeholders:** Once the stakeholders have validated and confirmed the need to develop capacities, they should clearly identify roles and assume responsibility for the next steps. In line with the principle of national ownership and leadership, the intervention will ideally be both owned and led by the ministry of education or any other relevant national institution (or set of institutions). Clear roles and responsibilities should be defined for stakeholders, including when the process is facilitated by UNESCO.

### 3.4 Mobilize for and design the capacity assessment<sup>6</sup>

**Collect background information:** Develop a list of required background information, and collect and analyse detailed information on the main relevant institutions (including education ministries and other national institutions if not internally available) together with mandate, organizational structures, the function of each unit/department within the institution(s), and coordination and cooperation mechanisms among relevant stakeholders.

**Review existing assessments:** If available, analyse previous assessments (i.e. of capacity, functions, risks, etc.) that provide insight into how to prioritize system(s), core issues, and levels of capacities to include or focus on in the process.

**Define the scope, process, and methodologies of the capacity assessment:** This is usually achieved through a mix of stakeholder consultations and one-to-one meetings to adapt the assessment framework to the context and:

- identify entry point, core issue(s), and functional and technical capacities;
- determine the data (disaggregated by gender, region, ethnic group, community, etc.) and information collection and analysis approach (an attempt should be made to collect both quantitative and qualitative data, and consideration should be given to triangulation of information from different sources and how to manage likely discordances);
- determine how the assessment will be conducted (team, location).

**Adapt the capacity assessment tool:** Based on the information collected in the previous set of activities, defining the content (assessment and guiding questions) and format (worksheet, questionnaire, self-assessment, etc.).

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<sup>6</sup> For this section please refer to Annexes 1–3.

**Review/pilot test the capacity assessment tool with the key stakeholders, when time allows:** This is necessary to ensure that the questions and tool instructions are clear and comprehensive, and to assess the results of the capacity assessment questionnaire pilot test and recommend improvements.

## 3.5 Conduct the assessment<sup>7</sup>

**Implement the capacity assessment:** During the capacity assessment, sex-disaggregated data and information are collected on desired and existing capacities. These data and information can be gathered from a variety of audiences using various means, for example self-assessment, interviews, and focus groups (according to the plan defined in the previous step).

**Support stakeholders:** Provide support and guidance to those conducting the capacity assessment if needed, for example provide clarification, answer questions, etc.

**Guarantee correct granularity of the information collected:** Ensure that all population groups and social strata are represented and given a voice in the information collection, for example women and men, different ethnic groups and communities, minority populations, urban and rural communities, etc.

## 3.6 Summarize and interpret the results

**Collect and compare:** Collect, tabulate, and analyse the results of the capacity assessment, conduct a disaggregated analysis to provide insights into the varying needs of different groups (for example women and men, ethnic groups, diverse socio-economic groups, etc.). The comparison of desired versus existing capacities determines the level of effort required to bridge the gap between them and informs the formulation of a CD response.

**Participatory review:** Design and facilitate a workshop to review preliminary capacity assessment results and brainstorm on CD responses. This activity should be given more emphasis if the assessment has been conducted by the international team: an in-depth review – possibly including one-to-one consultations – of the responses and their interpretation with national counterparts and stakeholders becomes fundamental.

**Fill in information gaps:** Based on findings from the participatory review, initiate requests for and collect any additional information or analysis that may be important for understanding the situation.

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<sup>7</sup> For this section please refer to Annexes 2–3.

## 3.7 Formulate a CD response<sup>8</sup>

**Disseminate:** Prepare a report, present the results of the capacity assessment, and initiate testing support for the initially identified/brainstormed responses.

**Develop CD response proposal(s):** Based on the feedback received and ensuring ongoing stakeholder participation, define a set of policy recommendations in the identified policy domains and formulate an action plan to address the identified priorities. Frame these proposals within the wider concurrent reforms in the country.

**Build financial sustainability:** Cost CD response proposal(s) and test against government budget availability, donor support, etc. Discuss with key stakeholders in education to guarantee realistic prioritization and sustainability.

**Boost political and social support:** Highlight the links between the proposed CD programmes and other reforms in the country by disseminating the results via different media outlets and events.

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<sup>8</sup> For this section please refer to Annex 4.

## 4. Lessons drawn from the CAPNAM reviews

The general intervention modalities outlined above provided the background for the application of the CAPNAM methodology in two countries: the Democratic Republic of Congo and the Republic of Armenia. The following gives a brief review of the lessons learned from these two experiences. These lessons are organized according to the key steps identified in *Section 3*.

## 4.1 Engage stakeholders and ensure national ownership<sup>9</sup>

A key element in engaging stakeholders in the CD effort is to have a clear, formal, and written understanding from the relevant national authorities of the main goals, modalities, and roles of different partners, the output, the expected outcomes, and the timeframe for the whole exercise. Sometimes these change during the course of the exercise, and although such flexibility is necessary it is essential to begin with some clearly defined positions to avoid frustration and confusion as far as possible during implementation of the exercise.

For example, CD is not a well understood concept and country expectation can range from an audit of capacity functioning processes to formulation of actual policies. It is important to understand the actual goal the partner country has in mind.

Such an understanding would be important also for clarifying the modalities and timeframe of the exercise. The CAPNAM exercise is a drawn-out process involving work from the national team, experts, and several missions from the international team. Country authorities need to understand and agree to the timeframe from the outset so as to avoid the frustration of delayed responses.

Similarly, different partners need to have a clear understanding of various elements of the exercise. For example, to ensure national ownership national authorities must allow ministry staff and other stakeholder groups that are gender balanced the necessary time to participate throughout the process. The time cost on the part of the staff can be significant, but without this commitment the objective of national ownership – which is one of the key pillars of the whole exercise – is not ensured.

Ensuring national ownership and support for potential CD plans from the exercise also requires involving a range of stakeholders. There may at times be reluctance on the part of ministries to engage outside stakeholders. These types of difficulties need to be resolved before work on the exercise can begin.

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9 See *Section 3.3*.



The foregoing implies a clear understanding, too, of the role of the international partners. If more than one facilitative agency are involved, as was the case in Armenia, a clear and firm understanding is needed early on regarding the expertise brought by each agency involved and their leadership on specific phases and components of the exercise.

## 4.2 Whose commitment is the most crucial for successful implementation?

It is necessary to thoroughly examine where exactly an original (genuine) interest for CAPNAM implementation comes from prior to fielding the first scoping mission. It has been observed during the piloting phase that a political commitment at the highest policy level needs to be well communicated, exchanged, and passed down to the technical staff in charge of planning within the ministry.

## 4.3 Composition of a national team within an education ministry

Interaction between the national and international teams is a very crucial factor for successful implementation. However, in reality it was much less than it should have been during the piloting phase, mainly because high-ranking officers – with limited time – were appointed. In the future, these high-level executives should be supplemented by a core of technical staff appointed on the basis of their familiarity and experience with the policy domains being considered. A set of criteria<sup>10</sup> should be developed for the national team and should be strictly adhered to (with adjustments where necessary). More time should be allowed for in-depth discussions, especially in cases where translation is needed.

## 4.4 Mobilize for, design, and conduct the capacity assessment<sup>11</sup>

It is essential to develop a common understanding among the national and international teams of the precise role of the analytical framework in shaping the information-gathering tools and in conducting the assessment, including the role of the national expert(s). For example, a basic

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<sup>10</sup> Depending on the local contexts, including the organizational set-up of an education ministry and its mandate and function, a gender-balanced composition of a national team could be further discussed and decided on the ground.

<sup>11</sup> See Sections 3.4 and 3.5.

point is the understanding of the very concept of capacity. It is essential that the national and international teams have a clear and common understanding of such basic concepts before they can be used to shape information-gathering tools and processes.

Similarly, the national and international teams need to agree on the approach to information gathering through different tools, such as preparation of the baseline report, the self-assessment exercise, and interviews with individuals and focus groups. The use of these tools needs to be firmly grounded on the concepts of capacity and on the policy planning functions.

Further, national authorities need to ensure that information gathering is able to capture the viewpoints of all stakeholders and not just that of the ministry. Within the ministry, too, it is important to cover the viewpoints of different representative groups. Some of these problems border on the scope of the exercise; for example, in the case of Armenia, interviews with people from the science committee were considered outside the scope of exercise, even though there are strong interactions between this body and the broader ministry in regard to organizational and staff level capacities.

The choice of the national expert(s) (e.g. in educational policy domains, planning, gender equality, etc.) is another important issue deserving of a common understanding. Agency leadership needs to be clearly established in selecting the national experts. It would seem appropriate that the agency with the expertise in education, i.e. UNESCO, should have the responsibility for the choice. Developing an understanding of these types in advance would be essential for ensuring the UN delivers as one.

## 4.5 Summarize and interpret results<sup>12</sup>

In summarizing and interpreting the results of the data analysis, it is important to avoid a fragmented approach of doing separate analyses of bodies of information gathered through different tools and sources. There needs to be collective interpretation of the body of data, rather than producing separate assessments of needs based on separate tools. For this purpose, the national and international teams need to come to a clear understanding of the priorities to be given to different tools.

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<sup>12</sup> See Section 3.6.

## 4.6 Formulate a CD response<sup>13</sup>

A pre-requisite for formulating a CD response is to base it on a common understanding of the policy levers for CD. The CAPNAM analytical framework clearly identifies the types of capacity and the types of planning functions that can serve as levers for action. The national and international teams need to agree on the action levers to formulate a CD response. Some confusion arose in both the national and the international teams by thinking of CD response in terms of *sector policies*, rather than of *capacity to develop* sector policies. Many of the resulting policy recommendations were off the mark in focusing on sector policies and created some degree of frustration in the national team.

## 4.7 Mobilize resources for implementing the action plan

Mobilizing resources for implementing the CD response is a key step identified in *Section 3*. Part of this involves building strong stakeholder support for the CD responses from the very start of the exercise and maintaining their involvement throughout. In the Armenian case, with the exception of the Ministry of Education and Science, this has not always been the case.

Wide dissemination of the results of the exercise is another aspect of the process of building support for CD. Hence, it is recommended that a potential (draft) resource mobilization strategy, which accompanies a proposed mechanism (could be hosted at the ministry, for instance) to implement the CAPNAM outcomes, be discussed and formulated during the final mission phase jointly with the national stakeholders. This could then be presented to a wider audience, including potential donors, when they present the final outcomes of CAPNAM.

The commitment of the national authorities to engage in CD is often premised on the expectation that international support will be forthcoming for implementing CD plans. The involvement of international partners needs to be factored in right from the beginning, and the partners need to be informed of progress and of the timeframe of the exercise.

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<sup>13</sup> See also *Section 3.7*.

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# Annexes

# Annex 1: Baseline report – Guidelines and structures for a national team



**The baseline report (BR) is expected to capture and describe:**

- a state-of-the-art document covering educational policy planning and management (PPM);
- institutional contexts for educational PPM;
- the state of public service reforms related to education ministry reforms;
- capacity assets and gaps in education policy and planning.

The BR should include chapters on the following:

- 1. Contexts**
- 2. Scope and coverage of education policies by the ministry of education (MOE)**
- 3. Description of capacity types**
- 4. Description of PPM functions**

# Chapter 1. Contexts

This section provides an overview of the regulatory, socio-political, and cultural factors that shape PPM in the country in general, and the educational PPM in particular. It should include a description of current reform efforts in CD in the government, such as an introduction of new management practices. It should also describe any obstacles to the effective utilization of policy planning capacity that could arise from prevailing cultural practices related to transparency, responsibility, and accountability. Thus the description should focus on three aspects:

- **What are the socio-political and cultural contexts providing the framework for educational policy planning in the country?**
- **What current reforms are taking place in the country in the public sector?**
- **What is the current state of reforms pertaining to educational PPM?**

In responding to these questions, the national team would need to take stock of the existing laws related to education and the existing planning framework within which education planning takes place. The following are examples of some of the specific information that could be helpful in framing the responses:

## A national socio-economic development plan:

- ▶ Does it exist? Yes / No
- ▶ Title:
- ▶ Period covered:
- ▶ Does it comprise a chapter/section for the education sector? Yes / No
- ▶ How often is it (or intended to be) revised?

## A national education sector plan:

- ▶ Does it exist? Yes / No
- ▶ Title:
- ▶ Period covered:
- ▶ Sub-sectors covered:
- ▶ How often is it revised (or intended to be)?

- ▶ To what extent have specific sub-sector plans (in particular the National EFA plan if it exists) been integrated within the national sector plan?

Governorate education sector plans: (if sub-national units in your country are named differently, please replace "governorate")

- ▶ Does it exist? Yes / No
- ▶ Do all provinces have such plan or does it exist only for some provinces (how many out of a total number of provinces?)
- ▶ Title:

Other statements of national education policy

In addition to the plans described above, are there any other statements of national education policy for the sector as a whole, or for individual sub-sectors, or special studies or reports (official or not) that are guiding educational development? Please give details in the box below.

Please describe the current priorities for national education policy. (Example: access, quality and relevance, management, equity.)

Take stock of existing rules and regulations that stipulate/instruct MOE functions.

### An annual national education census

- ▶ Does it exist? Yes / No
- ▶ Is it organized by the MoE? Yes / No
- ▶ Is it organized by another government unit (e.g. census bureau; bureau of statistics)?  
Please specify .....
- ▶ Does the census contain all sub-sectors? Yes / No
- ▶ If not, which sub-sectors are excluded? .....
- ▶ When is the education sector census conducted? (tick as many as appropriate)
  - Beginning of the school year
  - Middle of the school year
  - End of the school year
  - Other times

## Chapter 2. Scope and coverage of education policies by MoE

A national team is expected to examine the illustrative policy and planning issues described in each policy domain<sup>14</sup> (see *Section 2.3 Capacity for what? Policy domains*) and respond to the following questions:

- Describe policy and planning issues currently being addressed by the MoE.
- Describe other, if any, outstanding policy issues being handled by the MoE that are not included in the examples.
- Describe other, if any, policy issues that are not currently being handled by the MoE but should be considered?

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<sup>14</sup> An identification and choice of the policy domains will be decided by a thorough consultative process among the education stakeholders.

The responses to these questions do NOT require describing each policy and planning issue but only the identification of the type of issues being addressed and those not being addressed. The questions are only meant to understand the scope of coverage of important issues by the MoE. Further examinations and analysis will be carried out in the next assessment phase (see *Section 3 Modalities of intervention*).

## Chapter 3. Description of capacity types

This section aims at taking stock of the existing state of capacities in the MoE. As defined by the CAPNAM analytical framework (see *Section 2.5 Capacity types*), the four types of categories are: institutional, organizational, individual, and the knowledge base. The types of questions/issues that the national team will investigate are listed below.

### 3.1 Institutional capacities

This part describes the institutional rules and regulations, mandates, including national constitution(s), education codes and acts both explicit and implicit (including unwritten administrative practices) pertaining to the MoE.

- Describe any national mandates, regulations and/or requirements for establishing policy development units in the MoE.
- Describe any national mandates, regulations, and/or requirements that drive policy planning, formulation, implementation, and monitoring functions by the MoE.
- Does the national government provide clear guidelines and frameworks for PPM for the MoE?
- Are there clearly defined and allocated roles for relevant actors in the education sector? Are the roles shared and understood?
- Are there coordination mechanisms among education sector? Are they led by the MoE? Are such coordination mechanisms well shared and understood? Is adherence to established coordination processes/mechanism among education sector actors monitored?
- Are there mechanisms (including addressing the risk of corruption) whereby ministry heads are held responsible for the success or failure of educational development plans and their implementation? What forms does this accountability take, if any?
- Are there mechanism that take due account of MoE financial planning?

### 3.2 Organizational capacities

- Please attach the organogram(s) (tables) for each department within the MoE and the ToR and tasks and duties for each policy development unit within the MoE. Are there clearly allocated roles within the different units within the MoE?
- What is the typical size (number of employees) of the departmental/divisional PPM units?
- Which unit, if any, has the mandate to lead/coordinate action among all units in the MoE? Are there coordination mechanisms among units? Are such coordination mechanisms well known, shared, and understood? Is adherence to established coordination processes/mechanism among units monitored?
- How well are the policy development units integrated into the broader policy missions of the MoE? Describe the flow of information and communication with other line departments.
- Manual of procedures to perform MoE functions: Does it exist? What is its title and when was it established (year and date)? How often is it (or intended to be) revised?
- What provisions and/or procedures exist to ensure compliance with MoE policies and procedures within the MoE? Are such legal provisions and/or procedures (including addressing risk of corruptions) well shared and understood? Is compliance regularly monitored?
- What accountability mechanisms exist to monitor the performance and transparency of the MoE in the formulation, implementation, and monitoring functions?

### 3.3 Individual capacities: Staff skills and career development

- **Recruitment process:** Does the MoE have specific arrangements for obtaining the staff with the required skills for educational planning? Or does it have to rely on recruiting staff through a centralized procedure? Please describe the specific nature (gaps and assets) of the recruitment process from the perspective of educational planning profiles and skills.
- Describe the current state of the staff training in PPM. Do MoE PPM units have the required expertise for dealing with all of the policy issues involved in different policy domains?
- Describe the existing programmes for skills development for MoE staff. Does the MoE have flexibility in designing its own skill development plans or does it have to follow a centrally determined package?
- Compared with other staff at equivalent levels, are there incentives or disincentives to pursue a career as a policy development analyst or education planner?
- Is there staff stability, or does it suffer from high turnover among such professionals?

### 3.4 Knowledge base

Do the PPM units in the MoE typically have access to the knowledge base needed for conducting policy planning – access to data, analytical studies supporting infrastructure for planning (such as simulation models)?

#### Education Management Information System (EMIS)

- ▶ Is the information held electronically in an EMIS? Yes / No
- ▶ What MoE unit is in charge of EMIS?
- ▶ If the MoE is not in charge, which other government unit holds the responsibility?  
.....
- ▶ Is the EMIS database accessible electronically (tick as many as appropriate)?
  - Within the MoE – central departments.....
  - By provinces.....
  - By external users within the government.....

- ▶ What data does the MoE use from the EMIS (education census) database and for what purposes?  
.....
- ▶ Are there other information systems (e.g. Education Personnel Information System, Financial Management Information System) in place in the MoE?
  - Please give details
  - Are the different systems compatible with each other (e.g. LAN, software, databases)?  
.....
  - Are the different systems coordinated? (managerial/departmental responsibilities)?  
.....

## Chapter 4. Description of PPM functions

This section describes how the planning and policy cycle functions in the MoE. As described in the CAPNAM analytical framework, there are six steps (see *Section 2.4 Capacity for performing which functions?*):

1. **Engaging stakeholders:** In order to be effective, policy planning needs to be supported by a strong consensus among all the key stakeholders in education, from within the education and line ministries<sup>15</sup> as well as outside (including unions, women’s associations), on the broad orientations of education policies and programmes.
2. **Analysing the existing situation:** The planning work needs to be based on a thorough analysis of the existing situation based on various data (disaggregated by gender, regions, ethnic groups, communities, etc.) and sources of information that include diagnostics of both assets and deficiencies. This analysis is used for setting the mandate for the planning work.
3. **Formulating policies, strategies, and programmes:** Involves translating the mandate into credible policies and deliverable programmes.
4. **Determining the budgetary processes:** These programmes have to be converted into budgetary processes, identifying both the sources of funds and the modalities of acquiring and disbursing them by various levels of authority implicated in the process.

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<sup>15</sup> Ministries of education, higher education, planning, women’s affairs, human resources, finance, economy, labour, and regional administration, etc.



### Medium-term Expenditure Framework (MTEF) for education

- ▶ Does the authority produce an MTFF outlining three to five years of total government revenues and expenditures (and the main components thereof) for the education sector and a financing position consistent with government fiscal and monetary policy?
- ▶ Yes / No
- ▶ If Yes, what period does the MTFF cover?.....
- ▶ Who is (was) in charge of producing the MTEF?
- ▶ Ministry of Education / Ministry of Finance / Ministry of Planning / other (please specify):  
.....

**5. Implementing the programmes:** A critical function of the planning unit is to identify the implementation process of policies and programmes, with targets and responsibilities, at each level of the responsibility chain, and this includes a financial management function.

**6. Monitoring and evaluation (M&E) and course correction:** This function is needed to ensure the programme is being effective in meeting its objectives and to introduce course corrections if they are off target.

### National monitoring system

- ▶ A monitoring system exists at national (i.e. central) level: Yes / No
- ▶ It is managed by (please tick as appropriate)
  - By the MoE
  - By another central government unit
  - It is in the form of EMIS ..... /  
another form ..... (please explain)
- ▶ The monitoring results (data) are used:
  - to update the plan: Yes / No
  - for other purposes: Yes / No
- ▶ If Yes, please list the principal other purposes.

A sub-national monitoring system

- ▶ A monitoring system exists at governorate level: Yes / No
- ▶ It is managed by (please identify):
- ▶ It is in the form of an EMIS ..... / another form ..... ? (Please explain)
- ▶ The monitoring results (data) are used:
  - to update the plan: Yes / No
  - for other purposes: Yes / No
- ▶ If Yes, please list the principal other purposes.

Please describe below **issues and challenges encountered in implementation, monitoring and evaluation of the plan.**

Reporting

- ▶ Does the MoE receive disaggregated reports from the sub-national levels of government on education plan implementation?
  - By sub-sector / by programme / others? (Please specify): .....
- ▶ How frequently are these reports submitted?
  - Annually / half-yearly / quarterly / other? (Please specify): .....

Annexes 2–3 are CAPNAM supporting assessment tools, which were piloted in Armenia

# Annex 2: Armenia CAPNAM review

Policy domain:  
Human resources planning  
and management

Policy domain (chapeau) > key functions > (core issues implicitly embedded in the questions)

Capacity levels (institutional, organizational, individual and knowledge base) will not be dealt with separately, but rather collectively, as there appears to be a number of inter-linkages across the levels.

Key Function 1: Engage stakeholders					
Capacity questions/indicators	Baseline: Level of existing capacity			Target: Level of desired capacity in 3 years' time	Level of importance (high/medium/low)
	1 <sup>16</sup>	2	3		
<b>Q1. Do the authorities have dialogue mechanisms by which to engage key stakeholders?</b>					
Evidence needed: (to be filled in pre-assessment)	In what form and where are they located?				
Evidence found: (documented or discussed)					
<b>Q2. How far do the authorities abide by them to ensure accountability?</b>					
Evidence needed: (to be filled in pre-assessment)					
Evidence found: (documented or discussed)					
<b>Q3. To what extent is the defined person (from scoping mission) able to exercise leadership (competences, political, diplomatic skills)?</b>					
Evidence needed: (to be filled in pre-assessment)					
Evidence found: (documented or discussed)					
<b>Q4. Are there accountability mechanisms in place (risk management aspects)? Are they provided for in the Rules and regulations?</b>					
Evidence needed: (to be filled in pre-assessment)					
Evidence found: (documented or discussed)					
Key function 2: Carry out situation analysis					
Capacity questions/indicators	Baseline: Level of existing capacity			Target: Level of desired capacity in 3 years' time	Level of importance (high/medium/low)
	1	2	3		
<b>Q1. Do the authorities have a mechanism by which to conduct situation analysis in the HR planning and management?</b>	Example (regularly conducted)	(dictated by an external factor, such as reform)	(no frequency observed)		
Evidence needed: (to be filled in pre-assessment)					
Evidence found: (documented or discussed)					
<b>Q2. How well do the authorities create a vision for the country's HR assets and needs as they relate to EFA and other development goals and commitments?</b>					
Evidence needed: (to be filled in pre-assessment)					
Evidence found: (documented or discussed)					
<b>Q3. How well do the authorities develop, communicate, and give direction on a coherent vision, missions, and mandate?</b>					

16 The reasons why we opted for the scaling system (1, 2, 3) are twofold: 1) It allows us to measure a relativity; and 2) facilitates the formulation CD proposals. With the five levels of the scaling system it is difficult to reconcile different views from the respondents. However, it is open for a discussion with the stakeholders.

Evidence needed: (to be filled in pre-assessment)					
Evidence found: (documented or discussed)					
<b>Q4. Does the set of mandates within the MOE describe a functional clarity for the staff (TOR, performance report, etc.)?</b>					
Evidence needed: (to be filled in pre-assessment)					
Evidence found: (documented or discussed)					
<b>Q5. To what extent is the defined person (from scoping mission) able to exercise leadership (competences, political, diplomatic skills)?</b>					
Evidence needed: (to be filled in pre-assessment)					
Evidence found: (documented or discussed)					
<b>Q6. Are there accountability mechanisms in place (risk management aspects)? Are they provided for in the Rules and regulations?</b>					
Evidence needed: (to be filled in pre-assessment)					
Evidence found: (documented or discussed)					

**Key function 3: Formulate policies, strategies and programmes**

Capacity questions/indicators	Baseline: Level of existing capacity			Target: Level of desired capacity in 3 years' time	Level of importance (high/medium/low)
	1	2	3		
<b>Q1. Do the authorities have a mechanism by which to establish a coherent vision in line with the national development goals?</b>					
Evidence needed: (to be filled in pre-assessment)					
Evidence found: (documented or discussed)					
<b>Q2. How well do the authorities carry out target-setting and formulate educational policy objectives in line with the EFA goals and other international development goals and commitments?</b>					
Evidence needed: (to be filled in pre-assessment)					
Evidence found: (documented or discussed)					
<b>Q3. How well do the authorities develop, communicate, and give direction on policy objectives in line with EFA goals and commitments?</b>					
Evidence needed: (to be filled in pre-assessment)					
Evidence found: (documented or discussed)					
<b>Q4. How well do the authorities develop integrated policies and plans linked to human resources development?</b>					
Evidence needed: (to be filled in pre-assessment)					
Evidence found: (documented or discussed)					
<b>Q5. To what extent is the defined person (from the scoping mission) able to exercise leadership (competences, political, diplomatic skills)?</b>					
Evidence needed: (to be filled in pre-assessment)					
Evidence found: (documented or discussed)					
<b>Q6. Are there accountability mechanisms in place? Are they provided for in the Rules and regulations?</b>					

Evidence needed: (to be filled in pre-assessment)					
Evidence found: (documented or discussed)					
Key function 4: Outline the budgetary framework					
Capacity questions/indicators	Baseline: Level of existing capacity			Target: Level of desired capacity in 3 years' time	Level of importance (high/medium/low)
	1	2	3		
<b>Q1. Do the authorities have a mechanism by which to leverage human resources appropriately in the budgeting processes?</b>					
Evidence needed: (to be filled in pre-assessment)					
Evidence found: (documented or discussed)					
<b>Q2. How well do the authorities formulate budget in line with policy objectives and strategies?</b>					
Evidence needed: (to be filled in pre-assessment)					
Evidence found: (documented or discussed)					
<b>Q3. To what extent is the defined person (from the scoping mission) able to exercise leadership (competences, political, diplomatic skills)?</b>					
Evidence needed: (to be filled in pre-assessment)					
Evidence found: (documented or discussed)					
<b>Q4. Are there accountability mechanisms in place (risk management aspects)? Are they provided for in the Rules and regulations?</b>					
Evidence needed: (to be filled in pre-assessment)					
Evidence found: (documented or discussed)					
Key function 5: Implement (& coordinate among stakeholders)					
Capacity questions/indicators	Baseline: Level of existing capacity			Target: Level of desired capacity in 3 years' time	Level of importance (high/medium/low)
	1	2	3		
<b>Q1. Do the authorities have accountability mechanisms by which to ensure the implementation of the HR plan?</b>					
Evidence needed: (to be filled in pre-assessment)					
Evidence found: (documented or discussed)					
<b>Q2. Do the authorities have a mechanism to ensure coordination among divisions/department within the ministry?</b>					
Evidence needed: (to be filled in pre-assessment)					
Evidence found: (documented or discussed)					
<b>Q3. Do the authorities have a mechanism for coordinating between ministries?</b>					
Evidence needed: (to be filled in pre-assessment)					
Evidence found: (documented or discussed)					
<b>Q4. To what extent the defined person (from scoping mission) is able to exercise leadership (competences, political, diplomatic skills)?</b>					
Evidence needed: (to be filled in pre-assessment)					
Evidence found: (documented or discussed)					

<b>Q5. Does an accountability mechanism exist? (Risk management aspects) Are they provided for in Rules and regulations?</b>					
Evidence needed: (to be filled in pre-assessment)					
Evidence found: (documented or discussed)					
<b>Key Function 6: M&amp;E and course correction</b>					
Capacity Questions/Indicators	Baseline: Level of existing capacity			Target: Level of desired capacity in 3 years' time	Level of importance (high/medium/low)
	1	2	3		
<b>Q1. Do authorities have M&amp;E mechanisms and tools relating to HR planning and management?</b>					
Evidence needed: (to be filled in pre-assessment)					
Evidence found: (documented or discussed)					
<b>Q2. Do authorities have voice/feedback mechanism? Are they provided for in the Rules and regulations?</b>					
Evidence needed: (to be filled in pre-assessment)					
Evidence found: (documented or discussed)					
<b>Q3. How well do the authorities evaluate performance and trends in HR capacity and productivity enhancement?</b>					
Evidence needed: (to be filled in pre-assessment)					
Evidence found: (documented or discussed)					
<b>Q4. How well do the authorities ensure independent evaluation of medium term target setting, planning and budgeting relating to human resources planning and management?</b>					
Evidence needed: (to be filled in pre-assessment)					
Evidence found: (documented or discussed)					
<b>Q5. To what extent the defined person (from scoping mission) is able to exercise leadership (competences, political, diplomatic skills)?</b>					
Evidence needed: (to be filled in pre-assessment)					
Evidence found: (documented or discussed)					
<b>Q6. Does an accountability mechanism exist? (Risk management aspects) Are they provided for in Rules and regulations?</b>					
Evidence needed: (to be filled in pre-assessment)					
Evidence found: (documented or discussed)					



# Annex 3: Armenia CAPNAM review

Policy domain:  
Financial resources planning  
and management

Policy domain (chapeau) > key functions > (core issues implicitly embedded in the questions)

Capacity levels (institutional, organizational, individual, and knowledge base) will not be dealt with separately, but rather collectively, as there appears to be a number of inter-linkages across the levels.

Key function 1: Engage stakeholders					
Capacity questions/indicators	Baseline: Level of existing capacity			Target: Level of desired capacity in 3 years' time	Level of importance (high/medium/low)
	1 <sup>17</sup>	2	3		
<b>Q1. Are there dialogue mechanisms (e.g. consultation meeting, joint sector review) in place between and among the government and domestic and external stakeholders on issues relating to financial resource management? Is the process transparent and participatory? What about the frequency?</b>					
Evidence needed: (to be filled in pre-assessment)	In what form and where are they located?				
Evidence found: (documented or discussed)					
<b>Q2. Do the authorities have the capacity to engage domestic and external stakeholders in the process of developing a financial plan?</b>					
Evidence needed: (to be filled in pre-assessment)					
Evidence found: (documented or discussed)					
<b>Q3. Do the authorities have the capacity to mobilize internal and external resources?</b>					
Evidence needed: (to be filled in pre-assessment)					
Evidence found: (documented or discussed)					
<b>Q4. Are the authorities aware of the different external funding sources that are available for education (e.g. FTI)? Is the mechanism understood clearly?</b>					
Evidence needed: (to be filled in pre-assessment)					
Evidence found: (documented or discussed)					
Key function 2: Carry out situation analysis					
Capacity questions/indicators	Baseline: Level of existing capacity			Target: Level of desired capacity in 3 years' time	Level of importance (high/medium/low)
	1	2	3		
<b>Q1. Does the situational analysis take into account the risks and rewards of potential financial decisions? Do the authorities have the capacity to weigh trade-offs in developing a financial plan (i.e. cost-benefit analysis)?</b>	Example (regularly conducted)	(dictated by an external factor, such as reform)	(no frequency observed)		
Evidence needed: (to be filled in pre-assessment)					
Evidence found: (documented or discussed)					

17 The reasons why we opted for the scaling system (1, 2, 3) are twofold: 1) It allows us to measure a relativity; and 2) facilitates the formulation CD proposals. With the five levels of the scaling system it is difficult to reconcile different views from the respondents. However, it is open for a discussion with the stakeholders.

<b>Q2. Is the leadership forward-looking, willing to develop a vision, committed to the planning process and evidence-based approach to visions and mandates?</b>					
Evidence needed: (to be filled in pre-assessment)					
Evidence found: (documented or discussed)					
<b>Q3. Is the leadership open to accept the results and recommendations identified in the situational analysis?</b>					
Evidence needed: (to be filled in pre-assessment)					
Evidence found: (documented or discussed)					
<b>Q4. Are the future resource needs understood and shared among government authorities?</b>					
Evidence needed: (to be filled in pre-assessment)					
Evidence found: (documented or discussed)					
<b>Q5. Is there a sound and accurate financial forecast in place?</b>					
Evidence needed: (to be filled in pre-assessment)					
Evidence found: (documented or discussed)					
<b>Key function 3: Formulate policies, strategies and programmes</b>					
Capacity questions/indicators	Baseline: Level of existing capacity			Target: Level of desired capacity in 3 years' time	Level of importance (high/medium/low)
	1	2	3		
<b>Q1. Does the financial plan reflect the country's strategic objectives (sector-wide)?</b>					
Evidence needed: (to be filled in pre-assessment)					
Evidence found: (documented or discussed)					
<b>Q2. Do the authorities have the capacity to develop financial policies and plans that support the achievement of EFA targets in a cost-effective and sustainable manner?</b>					
Evidence needed: (to be filled in pre-assessment)					
Evidence found: (documented or discussed)					
<b>Q3. Do long-term strategic policy options for financial resources management exist?</b>					
Evidence needed: (to be filled in pre-assessment)					
Evidence found: (documented or discussed)					
<b>Q4. Is there a multi-annual financial plan in place (i.e. MTEF) that links the annual spending plan to the sectoral mid-term strategies?</b>					
Evidence needed: (to be filled in pre-assessment)					
Evidence found: (documented or discussed)					
<b>Q5. Does the leadership fully support the financial plan? In other words, is the plan endorsed at the government or ministry level?</b>					
Evidence needed: (to be filled in pre-assessment)					
Evidence found: (documented or discussed)					

Key function 4: Outline the budgetary framework					
Capacity questions/indicators	Baseline: Level of existing capacity			Target: Level of desired capacity in 3 years' time	Level of importance (high/medium/low)
	1	2	3		
<b>Q1. Is there a bottom-up process from local level needs to national consolidation? How realistic are the proposals made by the decentralized levels?</b>					
Evidence needed: (to be filled in pre-assessment)					
Evidence found: (documented or discussed)					
<b>Q2. Is the external funding mechanism aligned with the national budget preparation process?</b>					
Evidence needed: (to be filled in pre-assessment)					
Evidence found: (documented or discussed)					
<b>Q3. Do the authorities have the capacity to negotiate with the finance ministry?</b>					
Evidence needed: (to be filled in pre-assessment)					
Evidence found: (documented or discussed)					
<b>Q4. Are the results of the financial projection effectively used in the negotiation process?</b>					
Evidence needed: (to be filled in pre-assessment)					
Evidence found: (documented or discussed)					
<b>Q5. Are the decentralized authorities accountable for the proposals? Are the proposals realistic and evidence-based?</b>					
Evidence needed: (to be filled in pre-assessment)					
Evidence found: (documented or discussed)					
Key function 5: Implement (& coordinate among stakeholders)					
Capacity questions/Indicators	Baseline: Level of existing capacity			Target: Level of desired capacity in 3 years' time	Level of importance (high/medium/low)
	1	2	3		
<b>Q1. Does the mechanism allow the timely and smooth disbursement of resources?</b>					
Evidence needed: (to be filled in pre-assessment)					
Evidence found: (documented or discussed)					
<b>Q2. Does the disbursement mechanism give flexibility in countries where a fiscal decentralization policy is in place?</b>					
Evidence needed: (to be filled in pre-assessment)					
Evidence found: (documented or discussed)					
Key function 6: M&E and course correction					
Capacity questions/indicators	Baseline: Level of existing capacity			Target: Level of desired capacity in 3 years' time	Level of importance (high/medium/low)*
	1	2	3		
<b>Q1. Are the authorities held accountable for the results of the evaluation?</b>					
Evidence needed: (to be filled in pre-assessment)					
Evidence found: (documented or discussed)					
<b>Q2. Is there a mechanism in place to track expenditure?</b>					
Evidence needed: (to be filled pre-assessment)					

Evidence found: (documented or discussed)					
<b>Q3. Are decision-makers held accountable for the use of financial resources?</b>					
Evidence needed: (to be filled in pre-assessment)					
Evidence found: (documented or discussed)					

**Annex 4: Sample  
structure of the final  
CAPNAM review:  
Capacity development  
plan**

## **I. Introduction**

Origin of the CAPNAM Review in (xx country)

CAPNAM process

Identification of the policy domain(s)

National ownership

Nature of recommendations made in this report

## **II. Strategic policy planning**

A. Capacity needs

B. Policy recommendations

C. Proposed programmatic interventions

## **III. Governance and management**

### **PART 1. Education sector governance**

A. Capacity needs

B. Policy recommendations

C. Proposed programmatic interventions

### **PART 2. Management of an education ministry**

A. Capacity needs

B. Policy recommendations

C. Proposed programmatic interventions

## **IV. Human resource planning**

### **PART 1. Human resource policies for teachers and teaching staff**

A. Capacity needs

B. Policy recommendations

C. Proposed programmatic interventions

### **PART 2. Human resources policy for the ministry staff**

A. Capacity needs

B. Policy recommendations

C. Proposed programmatic interventions

## **V. Planning financial resources**

- A. Capacity needs
- B. Policy recommendations
- C. Proposed programmatic interventions

## **VI. Planning learning environments**

- A. Capacity needs
- B. Policy recommendations
- C. Proposed programmatic interventions

## **VII. Key documents consulted**



The Capacity Needs Assessment Methodology (CAPNAM) is a methodological framework, which provides support in assessing institutional, organizational and individual capacities for planning and managing education.

It also guides to design a relevant capacity development (CD) plan in response to identified gaps and needs in five key policy domains: strategic planning, governance, financial resources, human resources and learning environment.

Inspired by UNDP's long-standing investment and experience in capacity development in the context of the public sector reform, the methodology ensures national ownership and sustainability throughout the needs assessment process as well as drawing up a CD plan.

It has been applied in several countries, including Democratic Republic of the Congo, Armenia and Mauritania, which represent diverse contexts and needs in education.

The methodology provides a strategic response to country requests for assistance in attaining EFA goals. Its success depends on the determination and will of national authorities to carry it forward, to review it at regular intervals, and to make it a driving force for a more effective provision of education in Member States.



United Nations  
Educational, Scientific and  
Cultural Organization

Education  
Sector

