United Nations Development Programme
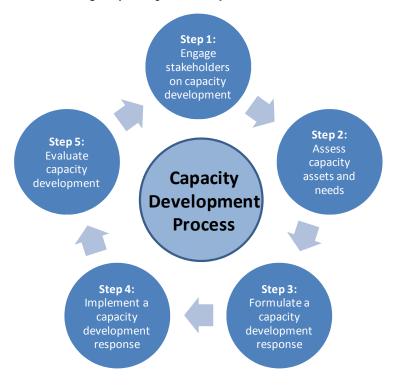
Supporting Capacity Development

THE UNDP APPROACH

UNDP

Capacity Development Group
Bureau for Development Policy
United Nations Development Programme

New York, January 2009

Defining capacity development and assessment

Step 1:
Engage stakeholders on capacity development

Step 5:
Evaluate capacity development

Capacity Development Process

Step 2:
Assess capacity assets and needs

Step 4:
Implement a capacity development response

Step 3:
Formulate a capacity development response

UNDP defines **capacity development** as *the process through which individuals, organizations and societies obtain, strengthen and maintain the capabilities to set and achieve their own development objectives over time.*

For UNDP, the capacity development process consists of five steps that are embedded into a programming process (Figure 1).

Figure 1. The UNDP capacity development (CD) process

A **capacity assessment** is *an analysis of desired capacities against existing capacities; this generates an understanding of capacity assets and needs and serves as input to formulating a capacity development response.*

UNDP has developed a systematic and objective methodology to guide an assessment that can be adapted to different situations. This methodology consists of:
1) The UNDP Capacity Assessment Framework
2) A process for conducting a capacity assessment
3) A Supporting Tool

… [C]apacity development is much more than supporting training programmes and the use of national expertise — these are necessary and on the rise, but we must include response and support strategies for accountable leadership, investments in long-term education and learning, strengthened public systems and voice mechanisms between citizen and state and institutional reform that ensures a responsive public and private sector that manages and delivers services to those who need them most.

… [I]t is our collective responsibility and response to capacity development that gives meaning and shape to the principle of national ownership, and translates it into more sustainable and meaningful development outcomes.

UNDP on behalf of the UNDG Executive Committee
11 July 2007, ECOSOC Operational Activities Segment

Introduction

A country's successful development hinges on having sufficient capacity. While financial resources, including official development assistance, are vital, they are not enough to promote sustainable human development. Without supportive strategies, policies, laws and procedures, well-functioning organizations, and educated and skilled people, countries lack the foundation to plan, implement and review their national and local development strategies.

Capacity development helps to strengthen and sustain this foundation and is the 'how' of making development work better. For UNDP, supporting capacity development starts from existing capacities and then supports national efforts to extend and retain them. This is a process of transformation from the inside, based on nationally determined priorities, policies and desired results. It cannot be driven from the outside.

The UNDP Strategic Plan 2008–2011 positions capacity development as the organization's core service to programme countries. In placing capacity development at the heart of its mandate and functions, UNDP is responding to growing demand for support at national and sub-national levels.

This brochure presents the UNDP approach to supporting capacity development and the policy statements that UNDP supports. These are backed up by ongoing research and analysis of capacity development theory, methods and applications. The services included are examples of capacity development initiatives that can be supported by UNDP or its partners. Additional UNDP resources on capacity development are listed at the end of the brochure.

Basic Principles

The UNDP approach to supporting capacity development is driven by values and consists of a conceptual framework and a methodological approach.

- The UNDP approach makes the concept of **national ownership** tangible. This is about the ability to make informed choices and decisions.

- It addresses **power relations**, mindsets and behaviour change. It therefore emphasizes the importance of **motivation** as a driver of change.

- Capacity development is a **long-term process**. It can be promoted through a combination of shorter-term results that are driven from the outside and more sustainable, longer-term ones that are driven from the inside.

- It requires **sticking with the process** under difficult circumstances.

- The UNDP approach links the enabling environment, as well as organizations and individuals, and promotes a **comprehensive approach**.

- It looks **beyond individual skills and a focus on training** to address broader questions of institutional change, leadership, empowerment and public participation.

- It emphasizes the use of **national systems**, not just national plans and expertise. It discourages stand-alone project implementation units; if national systems are not strong enough, they should be reformed and strengthened, rather than bypassed.

- It requires **adaptation to local conditions** and starts from the specific requirements and performance expectations of the sector or organization it supports. There are no **blueprints**.

- It should **link to broader reforms**, such as those in education, wage structures and the civil service. There is little value in designing isolated, one-off initiatives.

- It results in **unplanned consequences** that must be kept in mind during the design phase. These should be valued, tracked and evaluated.

- It **measures capacity development systematically**, using good-practice indicators, case evidence and analyses of quantitative and qualitative data, to ensure that objective judgements are made about capacity assets and needs, as well as the progress achieved.

The UNDP Approach

For UNDP, supporting capacity development is a process that consists of five steps that are embedded into a programming process (Figure 1):

1) Engage stakeholders on capacity development;
2) Assess capacity assets and needs;
3) Formulate a capacity development response;
4) Implement the response;
5) Evaluate capacity development.

UNDP supports capacity development through advocacy and advice; methods and tools; knowledge services; programme support and partnerships.

At each step of the process, UNDP has identified a number of services underpinned by policy statements that it supports or that can be accessed through its network of partners (e.g. other United Nations agencies, national and regional research institutes, etc.). These are detailed below.

1. Engage Stakeholders on Capacity Development

Policy Statements
o An effective capacity development process requires political commitment and sponsorship of the capacity development agenda among key stakeholders and that this agenda is embedded in broader national development priorities.
o An inclusive and participatory approach to capacity development helps all parties agree on priorities and commit to moving forward. It also helps strengthen participants' ownership of the process and responsibility for its results.
o People with the skills and commitment to participate effectively can help stimulate transparent and inclusive decision making, stronger networks, accountability and a sense of empowerment. This enhances trust among all participants and helps create solutions acceptable to everyone.
o Working to engage all stakeholders is especially important at the beginning of the process, but it should be part of every step.

Services
UNDP and its network of partners support national stakeholders with advocacy, policy advisory and implementation services in the following areas:
1. Multi-stakeholders engagement in a capacity development process.
2. National ownership and priority setting in line with national development goals.
3. Communication and collaboration among stakeholders through strengthening negotiation skills.

2. Assess Capacity Assets and Needs

Policy Statements
o Capacity assessments are an essential step to developing rigorous and practical capacity development initiatives.
o Capacity assessments help determine which capacities to prioritise and how to incorporate them into national and local development strategies, sector and thematic programmes and projects, and budgets. This is key to sustainability.
o The UNDP Capacity Assessment Methodology provides a systematic, objective approach for conducting an assessment. Local participants must adapt its content to suit their needs. Gender equity and respect for human rights should be incorporated into the assessment and the capacity development response.
o Key local stakeholders must participate in deciding the scope of the capacity assessment and analysing its findings. Local stakeholders are best placed to determine priorities in terms of capacity needs, responses and recommended investments.
o Capacity development responses and investments that are not grounded in a rigorous capacity assessment are often limited to training. While often necessary, training is not sufficient for sustained results.

Services

UNDP and its network of partners support national stakeholders with advocacy, policy advisory and implementation services in the following areas:

1. Provision of a UNDP Capacity Assessment Methodology, including a User's Guide and Supporting Tool, for use by UNDP staff and national partners.
2. Engagement in exercises to determine the scope of the assessment and support to implementing it, including adapting the methodology to specific contexts.
3. Engagement in analysing findings and formulating capacity development responses.
4. For countries that decide to use more than one methodology, assistance in comparing the UNDP methodology with other assessment frameworks, such as the Harmonized Approach to Cash Transfers, Human Rights-Based Approach, Post-Conflict Needs Assessments and the UNDG Capacity Assessment Methodology; and facilitation of such combined assessments.
5. Facilitation of learning sessions on capacity assessments at global, regional and country levels for UN/UNDP staff and national partners.

3. Formulate a Capacity Development Response

The findings of a capacity assessment are the starting point for formulating a capacity development response. This response will be a collection of capacity development actions that address one or more of the four capacity development core issues. As the four core issues are complementary and mutually reinforcing, a capacity development response would most likely combine capacity development actions from more than one core issue. The policy statements and services under each core issues are as follows:

a) Institutional Arrangements

Policy Statements
o Capacity assessments frequently reveal that organisations work inefficiently because the policies, procedures and processes to guide their work are not well designed.
o The way institutions/organizations are organized within the public sector architecture, their respective roles and coordination arrangements among those, how they manage human, physical and financial resources are all key determinants of organizational effectiveness, and ultimately of development effectiveness.
o Capacity challenges within individual organizations are one dimension of the issue and needs to be addressed; the other key dimension is the institutional context in which organisations locate. For successful institutional change and reform, both dimensions need to be addressed, with the latter often being at the nexus of capacity change and policy reform.
o Motivation is important to sustain institutional reforms. It can be fostered through a combination of direct incentives (e.g., merit-based pay and performance evaluation systems) and indirect incentives (e.g., recognition, fellowships, a balanced work-life policy). A supportive environment — public safety, availability of basic services, the rule of law — can provide a strong non-monetary incentive.
o Addressing corruption is a strong motivator for institutional reform. Decisive leadership and systems for regulation, monitoring and review are essential to developing and retaining staff.
o Salary reform, if instituted across all sectors and backed by political support, will help attract and retain good employees, particularly in transition and post-crisis situations.

Services
UNDP and its network of partners support national stakeholders with advocacy, policy advisory and implementation services in the following areas:

1. Functional reviews to determine the clarity of mandates and roles, business processes and enforcement and compliance mechanisms.
2. Human resource management frameworks and practices that cover policies and procedures for recruitment, deployment and transfer, incentives systems, skills development, performance evaluation systems, and ethics and values.
3. Coordination mechanisms between central and local bodies (vertical) and across peer units and departments operating at the same level (horizontal).
4. Monitoring and evaluation systems, including peer-review mechanisms and feedback loops.
5. Interventions and solutions to improve service delivery, including public-private partnerships for service delivery, strengthening of national implementation and procurement capacities.

b) Leadership

Policy Statements
o   Leadership is a catalyst for achieving, improving and sustaining development objectives, whether exercised by a group or an individual, assigned or emergent.
o   Leadership is the ability to welcome, anticipate and respond to change whether driven from the inside or the outside. It is also the ability to influence people and systems to achieve and in many cases go beyond their goals.
o   Leadership is a key factor in responding to and recovering from crisis.
o   Leadership is never exercised in isolation: it is a function of relationships and is always grounded in values. Leadership development should therefore be approached holistically, involving not just the individual but the organization and the enabling environment.
o   Leadership development programmes should not be one-off events. They should involve the group in hands-on activities ('action learning') and should promote continuous learning. Linking leadership support to development activities, including revenue generation, demonstrates immediate concrete results and supports sustainable change.

Services
UNDP and its network of partners support national stakeholders with advocacy, policy advisory and implementation services in the following areas:
1.   Leadership skills development, including visioning, systems thinking, priority setting, communication and advocacy and strategic planning.
2.   Management of coalitions, identification of and support to champions and change agents, development of negotiation and confidence building skills.
3.   Transformation and risk management, including strengthening of decision-making and risk assessment skills, and development of executive/technocratic management skills.
4.   Coaching and mentoring programmes, experiential learning, ethics and values.
5.   Career management systems, including incentives for good leadership, policies for succession planning, leadership attraction and retention systems and mechanisms, including brain gain strategies.

c) Knowledge

Policy Statements
o   Knowledge is the foundation of capacity. It can be developed through education, training and learning or experience.
o   Greater investments must be made in education, including tertiary education and technical training. Education must be given sufficient resources to serve as a sustainable foundation of national capacity.
o   Policies on post-secondary education should be developed in line with national development outcomes.
o   Opportunities for continued learning, through access to professional training for example, are an essential non-monetary incentive for retaining staff within an organization.
o   Ethics and values, including respect for human rights and gender equality, should be a formal part of the curriculum in schools and public administration training.
o   Access to data and knowledge is fundamental to capacity development and should be incorporated, with sufficient resources, into national development strategies and organizational business plans.

Services
UNDP and its network of partners support national stakeholders with advocacy, policy advisory and implementation services in the following areas:
1.   Education reform strategies, support to coalitions calling for increased quality and access to education, innovative partnerships for delivering in the education sector (i.e. the private sector).
2.   Training and learning methodologies, including continued learning.
3.   Brain gain retention and south-south learning solutions, which link up and facilitate regional knowledge/learning networks and institutions
4.   Domestic knowledge services, promoting local knowledge capture mechanisms and local community of practice networks.

d) Accountability

Policy Statements
o   Accountability and voice mechanisms can lead to better performance and effectiveness. They help individuals, organisations and systems to monitor, guide and adjust their behaviour and to learn and self-regulate.
o   Accountability and voice mechanisms often fail to have an impact because of corruption, manipulation of lack of capacity to use them effectively. In weak states, public institutions are captured by those with power and resources.
o   Accountability between the state and communities promotes mutual engagement for development and should be accorded priority.
o   Accountability for development finance between donors and countries calls for transforming aid coordination mechanisms. This will strengthen national leadership, encourage participation of all stakeholders and support transparency.
o   Sustained participation of civil society in national policy and budget dialogues is critical to national development and poverty reduction strategies.

Services
UNDP and its network of partners support national stakeholders with advocacy, policy advisory and implementation services in the following areas:
1.   Strengthening the accountability systems within institutions (internal) and across institutions, such as public institutions with regulatory and oversight functions (external).
2.   Strengthening stakeholder feedback mechanisms, independent partner review mechanisms and monitoring and evaluation (M&E) capacities.
3.   Facilitating the workings of client voice mechanisms (e.g., citizen report cards) and mutual accountability mechanisms (e.g. peer review mechanisms) and supporting the development of capacities needed to conduct these
4.   Providing the capacity wherewithal for citizens' participation and access to information, including public information disclosure mechanisms, literacy, civic education and language reforms.

4.   Implement a Capacity Development Response

Policy Statements
o   Implementing a capacity development response is not a stand-alone or parallel process. It is an integral part of the implementation of the programme or project in which the response is embedded.
o   To strengthen sustainability, implementation should be managed through national systems and processes, rather than parallel systems like project implementation units.
o   Implementing a capacity development response involves change, which results in winners and losers, so political dynamics and relationships should be addressed.
o   Progress indicators should include both capacity and performance improvements, and should continue beyond the formal implementation period to ensure that improvements are sustained.

Services
UNDP and its network of partners support national stakeholders with advocacy, policy advisory and implementation services in the following areas:
1.   National implementation capacities, such as for project management and procurement.
2.   Change management processes in implementing a capacity development response.
3.   Monitoring and evaluation systems that define and measure change in capacity and performance.

5.   Evaluate Capacity Development

Policy Statements
o   Evaluation of capacity development promotes accountability, performance management and learning.
o   Changes in capacity development are reflected by changes in performance that can be measured in terms of improved efficiency and effectiveness.
o   Designing an evaluation framework for capacity development requires a large dose of pragmatism. There is little point in having an elaborate evaluation framework if there are insufficient capacities and resources to use it or if relevant data is unavailable of low quality.

o   Indicators should be incorporated into a country's or an organisation's existing monitoring and evaluation framework; a separate system should not be required.

Services

UNDP and its network of partners support national stakeholders with advocacy, policy advisory and implementation services in the following areas:

o   Evaluation methodology, including indicators for capacity development responses in different sectors and contexts.

o   Training support to national counterparts in using and adapting the evaluation framework.

UNDP Capacity Development Resources

Theoretical and Case Study Publications
- Capacity for Development: New Solutions to Old Problems
- Developing Capacity through Technical Cooperation
- Ownership, Leadership and Transformation: Can We Do Better for Capacity Development?
- Action Brief on Capacities for Integrated Local Development
- Action Brief on Brain Gain
- Action Brief on Ethics and Values in Civil Service Reforms

Practice Notes
- Practice Note on Capacity Development
- Practice Note on Capacity Assessment

Concept Notes on Capacity Development Strategies
- Institutional Reform and Change Management: Managing Change in Public Sector Organizations
- Incentive Systems: Incentives, Motivation and Development Performance
- Leadership Development: Leading Transformations at the Local Level
- Knowledge Services and Learning
- Mutual Accountability Mechanisms: Accountability, Voice and Responsiveness
- Multi-Stakeholder Engagement Processes

Practice Notes on Capacity Development Applications
- Practice Note on Supporting Capacities for Integrated Local Development
- Practice Note on Capacity Development during Periods of Transition

Concept Notes on Capacity Development Applications
- Capacity Development and Aid Management
- Procurement Capacities

Resource Guides and Tools
- UNDP Capacity Assessment User's Guide and Supporting Tool
- A Review of Selected Capacity Assessment Methodologies
- UNDP Procurement Capacity Assessment User's Guide and Supporting Tool
- Guide on UNDP's Role in a Changing Aid Environment: Direct Budget Support, SWAps & Basket Funds
- Leadership for Human Development
- Toolkit on Localizing the MDGs
- Toolkit on Private Sector Development
- UNDP-LEAD Leadership Modules
- Resource Catalogue on Measuring Capacities: An Illustrative Guide to Benchmarks and Indicators
- Resource Catalogue on Capacity Development
- Manual for a Local Sustainable Development Strategy Formulation
- CSO Capacity Assessment Tools
- Applying a Human Rights-Based Approach to Development Cooperation and Programming

Networks
- Capacity Development Network and Community of Practice
- UNDP-Wide Expert Roster: http://www.capacity.undp.org/roster

Capacity Development Websites/Knowledge Spaces
- External Website: http://www.capacity.undp.org
- Internal Workspace: http://content.undp.org/go/topics/capacity
- Capacity.Org: http://www.capacity.org

Annex A

Capacity Development Application Areas:
Capacity Development Group Core Services

United Nations Development Programme
Capacity Development Services in Application
NATIONAL IMPLEMENTATION CAPACITIES

Policy Statements

o The achievement of development results is highly dependent upon the human and organisational capacities to effectively, efficiently, and accountably manage and implement the programmes and projects structured to deliver these results.

o Implementation capacities include the functional areas of programme & project management, procurement, financial management, and human resources management; these capacities are independent of funding source, sector, and development objective.

o If an "implementation gap" exists between development strategies and the abilities required to implement them, even well-planned, structured and budgeted programmes will waste time and money in the best case, or fail in the worst case.

o The Paris Declaration on Aid Effectiveness sets commitments for strengthening and increasing the use of national financial and procurement systems, which can only be met through development of national implementation capacities

o To deliver and achieve sustainable results, the implementation of development programmes and projects must be led and conducted by national public and private institutions, requiring in many cases the development of national capacities in implementation.

o Implementation capacities are required to deliver results in a specified time period that bring transformational change (through programmes and projects), and are required to efficiently deliver public services on an ongoing basis (through operational management and administration).

o Though directed at the promotion of public sector delivery, implementation capacities are best strengthened through the inclusion of a variety of public sector, private sector, civil society and donor community stakeholders who all possess a potential added value to public sector service delivery; this enriches the process of capacity development and strengthens ownership.

Services

Implementation capacity development services provided through the Policy Adviser on National Implementation Capacities and the UN Procurement Capacity Development Centre, include:

1. Engagement, advice on policy options and technical backstopping in implementation capacity scoping, assessment, planning, and monitoring support.

2. Engagement, advice on policy options and technical backstopping in defining and designing implementation capacity development responses and plan

3. Participation in advocacy and communications with national stakeholders in understanding and planning implementation capacity development.

4. Brokering of expertise and knowledge in implementation capacity standards, methods, and solutions from public and private sectors; including toolkits, field-based examples, case studies, analyses, and training materials.

For background information, please read:
UNDP Procurement Capacity Assessment Tool
UNDP Procurement Capacity Assessment User's Guide

Contact us at: registry@unpcdc.org
Documents are available at: www.unpcdc.org and www.capacity.undp.org

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United Nations Development Programme
Capacity Development Services in Application
NATIONAL CAPACITIES TO MANAGE AND COORDINATE AID

UNDP

Policy Statements

o   The effectiveness of development assistance and particularly of financial aid to developing countries is an important instrument to support poverty reduction, sustainable development and overall development outcomes and the MDGs.

o   The effectiveness of aid rests on government leadership and ownership of aid coordination and management mechanisms and processes.

o   Scaling up resources for development can significantly contribute to reaching the MDGs. This demands the identification of resource gaps for financing the MDGs through the lens of internal and external resource mobilisation and management to set development priorities and promote development outcomes.

o   Strengthening transparency and accountability, for example through results-based management, is crucial for achieving development results and for resource mobilisation and management. It also demands a mutual accountability, resource and results-based partnership between recipient countries and donors.

o   South-South knowledge sharing, learning and advocacy around the implementation and monitoring of commitments made in the Paris Declaration on Aid Effectiveness and the Monterrey 2002 Consensus on Financing for Development strengthens the voice of partner countries in the global and regional discussions with development partners, and promotes the use of good practices across countries and regions.

Services

1. Provision of a capacity assessment methodology, based on the Paris Declaration principles, to assess national capacity assets and needs for aid coordination and management and for aligning resources with country development priorities.

2. Design of customised capacity development responses to address needs of national aid coordination units to assume national ownership and leadership of the process.

3. Support to developing capacity of country senior management to lead donor/government mechanisms such as Consultative Groups/Round tables and to conduct expert negotiations to support national ownership.

4. Support to developing the capacity of the legislature for ODA oversight and internal and external resource planning and allocation through the Medium Term Expenditure Framework and the budget, especially in middle-income countries.

5. Support to developing the capacity of ministries of finance and other responsible institutions for aid management and ODA monitoring, through the deployment of aid management systems that are cost-effective, web-based and transparent.

6. Support to developing the capacity of non-DAC development partners, as they scale up ODA, to manage and monitor aid flows.

7. Facilitation of South-South and "peer" learning and knowledge sharing across countries and regions.

For background information, please read:
UNDP Practice Note on Capacity Development and Aid Effectiveness
UNDP Capacity Assessment Framework for Aid Effectiveness and corresponding checklists

All documents are available at: http://www.capacity.undp.org/

United Nations Development Programme
Capacity Development Services in Application
CAPACITIES FOR LOCAL SERVICE DELIVERY & PPPs

Policy Statements

o   Sound economic governance for pro-poor service delivery is premised on the existence of an appropriate policy and regulatory environment that enables the right mix of state and non-state engagement in the delivery and oversight of basic services at the local level.

o   The regulation of the service sector is the responsibility of the state. However, it must involve local authorities, private sector, users and the community to negotiate and agree on the business processes, service standards, service level, coverage, accessibility and tariffs, to ensure both cost-efficiency and social equity in service provision.

o   Engaging the private sector and other non-state actors in the delivery of basic services leads to a role change for the state, from direct provider of the given service to an enabler and regulator of the local service delivered by non-state actors, including the private sector. This change of role necessitates a different set of capacities and, hence, significant capacity development for local authorities to play their role as facilitators as well as regulators of the non-state provision of the service.

o   Public-Private Partnerships (PPP) offers a methodological framework for embedding the above provisions into well designed and monitored contractual agreements with the local private sector as well as other non-state actors and for effectively channeling the requisite capacity development support.

Services

1.   Facilitating review of policy and regulatory frameworks that govern local service delivery in a given sector.

2.   Technical support to programme countries in enacting laws and regulations, formulating policies, and undertaking institutional reforms conducive to more inclusive participation of non-state actors in local public services delivery.

3.   Support in undertaking capacity assessments and functional analyses of the roles and responsibilities of the state, private sector, user groups, and communities in pro-poor service delivery in specific sectors, advising on the menu of suitable service delivery models, including Public-Private Partnerships.

4.   Facilitation of multi-stakeholder consultations on innovative practices, measures and standards that could be applied to improve local service delivery (efficiency, access, affordability, etc.) in a given sector.

5.   Supporting downstream public service delivery initiatives that directly contribute to the achievement of the MDGs through pilot implementation of pro-poor PPP service delivery models in basic service sectors such as water supply, sanitation, solid waste management, decentralised energy services, health and education.

6.   Support in institutional capacity development for improved public services delivery as well as in South-South exchanges of experiences on innovative forms of public services delivery to ensure cross-fertilization and mutual learning.

7.   Provision of assessment tools, expert networks and training of national and local stakeholders in PPP design and implementation in specific service sectors.

For background information, please read:
Toolkit for Pro-Poor Municipal Public-Private Partnerships
Step-by-Step Guide for Pro-Poor Public-Private Partnership: For a Basic Urban Service
Proceedings of the Capacity Net e-Discussion on "Capacity to Effectively and Sustainably Deliver Local Basic Services to the Poor"
All documents are available at: http://www.capacity.undp.org/

Annex B

Other Capacity Development Application Areas

United Nations Development Programme
Capacity Development Services in Application
CAPACITIES FOR INTEGRATED LOCAL DEVELOPMENT

Policy Statements

o Local development is a process that involves a collaborative effort from different stakeholders – be they governmental, non-governmental or private sector - at the local and national level. Local authorities are best-placed to leverage the capacities of these different actors to fulfil their mandate and act in complementary ways to reduce poverty and promote local development.

o This involves playing multiple roles – as convenor, planner, direct service provider and overseer of non-governmental service providers etc. Doing so effectively, calls for an emphasis on a key set of functional capacities as detailed in the Note.

o Engaging and inspiring leadership is often a lynchpin for success. This emphasises the need to link the individual level with the organisational and societal capacity levels, in a more comprehensive approach to engaging on CD.

o Local development is heavily influenced by national frameworks and policies, especially (fiscal) decentralisation, even in situations where the devolution of power and administrative authority are limited.

o Nurturing capacities at the local level calls for approaches that take into account and build on the challenges and opportunities that play out quite specifically at this level. Challenges include the lack of disaggregated data and the difficulty of retaining capacities because of limited incentives to stay in one's position. On the positive side, at the local level, there can be significant social capital and commitment to contribute to change, factors that can support local governments in implementing their agenda and monitoring their effectiveness in doing so. One cannot expect that CD response mechanisms that work at national level transfer easily.

o Mapping local stakeholders, conducting local level capacity assessments and gathering data on what capacity assets exist locally, are important entry points that start the ball rolling and are processes that engage multi stakeholders necessary for an effective capacity development response.

Services

1. Identify the lynchpin agencies for service delivery, assess their capacities, and offer capacity development support to planning, budgeting, prioritising, coordination and resource mobilization.

2. Support capacity assessments and capacity development responses to strengthen the capacity of local government units for the effective management of public resources, the delivery of quality services and the practice of inclusive and democratic decision-making. This includes capacity development support to plan, budget, manage public resources, and conduct M&E.

3. Support the creation of partnerships (e.g. public-private or inter-municipal) and resource mobilisation efforts to promote pro-poor investments (for more information, please refer to the application on Public-Private Partnerships for Service Delivery).

4. Facilitate opportunities for citizens to express their views on, and priorities for, local services and investments and to hold governments and service providers accountable.

5. Facilitation of opportunities for local-to-national linkages, through provision of forums for local leaders to engage in national development dialogue, and vice versa.

6. Assessment of the programme implementation and service delivery environment at local level, including the policy and regulatory frameworks that govern local service delivery.

For background information, please read:
UNDP Practice Note on Supporting Capacities for Integrated Local Development
Toolkit for Localising the Millennium Development Goals (MDGs)

All documents are available at: http://www.capacity.undp.org/

United Nations Development Programme
Capacity Development Services in Application
MULTI-SECTORAL HIV/AIDS RESPONSES

Policy Statements

o   The HIV epidemic is a 'long wave' event, not visible to policy makers until it leads to consequences that last for generations. All countries need to have the capacities to understand how their own socio-economic and public health context is likely to influence the dynamics of the epidemic and how AIDS undermines development goals.

o   Effectively governing AIDS responses is a challenge for countries and for the UN system. For effective long-term responses, countries need to develop and implement multi-sectoral prevention, care and mitigation strategies that are integrated into MDG-based national plans, PRSPs or other development plans, as well as decentralised planning mechanisms.

o   Such multi-sectoral responses require leadership from the highest level of government, coordination amongst line ministries, inclusion of marginalised populations like sex workers or sexual minorities in decision-making structures, and joint programming support by multiple UN agencies. Increasingly, structures and systems built for the AIDS response are at odds with new governance structures being developed for HIV, tuberculosis and malaria or for health system strengthening. Supporting decentralisation of governance and implementation adds further complexity. Understanding these challenges and developing robust governance arrangements strengthens AIDS responses and helps governments manage complex interactions between health and development.

o   Human rights violations and inequitable gender relations continue to fuel the spread of the AIDS epidemic. They hamper access to prevention, treatment and support services for people living with HIV and for marginalised populations. Successful responses to HIV promote necessary measures to ensure the full enjoyment of human rights and address stigma, discrimination, and gender relations that render women and girls vulnerable to infection.

o   While low-cost antiretroviral medicines are now more commonly available, in developing countries, access to antiretroviral medicines is limited due to the complex web of intellectual property rights and trade agreements. Enhancing and building capacities of countries to fully utilise flexibilities and safeguards under international trade regimes is key for sustained access to affordable, quality AIDS medicines.

Services

UNDP supports national stakeholders with:
1. Assessments of the socio-economic impact of AIDS and development of strategies for impact mitigation; `
2. Advice on how to incorporate HIV into national development plans poverty reduction strategies, and UNDAFs including after disaster or conflict;
3. Macroeconomic strategies to manage additional resources;
4. Capacity development efforts to improve the governance of national AIDS responses;
5. Adoption of policies, legislation and the use of TRIPS flexibilities to increase access to AIDS treatment;
6. Strengthening the integration of gender equality into national AIDS plans and building links between broader action on gender equality and action on AIDS.

For background information, please read:
UNDP Corporate Strategy on HIV/AIDS
Mainstreaming HIV and AIDS in Sectors & Programmes: An Implementation Guide for National Responses
The TRIPS Agreement and Access to ARVs

All documents are available at: http://www.capacity.undp.org/

Policy Statements

o   Countries are receiving more funding for HIV/AIDS, tuberculosis and malaria responses than ever before. However, to "make the money work" and generate sustainable results, more investments need to be made in capacity development.

o   Scaling up the response to HIV/AIDS, tuberculosis and malaria and improving the implementation of Global Fund resources require in-country capacities for project-planning, sub-grant and contract administration, fund management, procurement and monitoring and evaluation. Especially important in this respect are the capacities of national stakeholders involved in implementation of Global Fund programmes, such as civil society organizations, government institutions and groups of people living with HIV/AIDS.

Services

1.   Channeling of Global Fund resources to programmes formulated by countries and support for coordinated capacity development to Sub-Recipients or national stakeholders involved in the implementation of Global Fund resources.

2.   Facilitation of an assessment of capacity strengths and needs of sub-recipients to determine bottlenecks to successful implementation of Global Fund-supported programmes.

3.   Corporate support tools and quality control mechanisms for Global Fund projects, e.g., the Toolkit for Successful Partnership in Support to Global Fund Principal Recipients, the Operational Manual, templates, and model agreements for use with Sub-Recipients of Global Fund projects.

4.   Global, regional and in-country training of UNDP staff and sub-recipients on overall grant management, financial management, contracts administration, procurement and supply chain management, as well as monitoring and evaluation.

5.   Adaptation of UNDP's financial system to allow for the monitoring and evaluation of Global Fund expenditures by country and sub-recipient, including on anti-retroviral drugs and bed-nets.

For background information, please visit:

The website of the UNDP – Global Fund Partnership

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