National Framework for Capacity Development

Volume I
Main Document

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National Framework for Capacity Development

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CONTENTS

ABBREVIATIONS

ASIP	Annual Strategic Implementation Plan
AWPB	Annual Work Plan and Budget
BPEP	Basic and Primary Education Project
CA	Constituent Assembly
CAS	Continuous Assessment System
CASP	Community based Alternative Schooling Project
CD	Capacity Development
CBE	Compulsory Basic Education
CBO	Community Based Organization
CBS	Central Bureau of Statistics
CDC	Curriculum Development Centre
CERID	Centre for Educational Research, Innovation and Development
CLC	Community Learning Centers
CTEVT	Council for Technical Education and Vocational Training
DAG	Disadvantaged Group
DDC	District Development Committee
DEC	District Education Committee
DEO	District Education Office
DEP	District Education Plans
DHS	Demographic and Health Survey
DOE	Department of Education
ECD	Early Childhood Development
ECED	Early Childhood Education and Development
EFA	Education for All
EFA-NPA	Education for All-National Plan of Action
EMIS	Education Management Information System
EPC	Education Policy Committee
ERO	Education Review Office
ETC	Education Training Centers
FMR	Financial Monitoring Report
FY	Fiscal Year
GDP	Gross Domestic Product
GER	Gross Enrolment Rate
GIP	Girls Incentive Program
GNP	Gross National Product
GON	Government of Nepal
HDI	Human Development Index
HIV	Human Immune Virus
HR	Human Resource
HRD	Human Resource Development
HRDI	Human Resource Development Index
HSEB	Higher Secondary Education Board
HSLC	Higher Secondary Level Certificate
HSLC	Higher Secondary Level Certificate
HT	Head Teacher
I/NGO	International/Non Governmental Organization

ICT	Information and Communication Technology
JFA	Joint Financing Arrangement
L/RC	Lead / Resource Centre
LSGA	Local Self Governance Act
M&E	Monitoring and Evaluation
MDA	Mid Decade Assessment
MDG	Millennium Development Goal
MEC	Minimum Enabling Condition
MEP	Municipality Education Plan
MGT	Multi Grade Teaching
MIS	Management Information System
MOE	Ministry of Education
NCED	National Centre for Educational Development
NCF	National Curriculum Framework
NDHS	National Demographic Health Survey
NEB	National Examination Board
NER	Net Enrolment Rate
NFE	Non-Formal Education
NFEC	Non-Formal Education Centre
NLSS	Nepal Living Standard Survey
NPC	National Planning Commission
OCE	Office of Controller of Examinations
PCF	Per Capita Funding
PPC	Pre-primary Classes
PRSP	Poverty Reduction Strategy Paper
PSC	Public Service Commission
PTA	Parent Teacher Association
RC	Resource Centre
RED	Regional Education Directorate
RP	Resource Person
SBM	School-based Management
SESP	Secondary Education Support Program
SIP	School Improvement Plans
SLC	School Leaving Certificate
SMC	School Management Committee
SSR	School Sector Reform
SWAP	Sector Wide Approach
TA	Technical Assistance
TEP	Teacher Education Project
TEVT	Technical Education and Vocational Training
TPC	Teacher Preparation Course
TSLC	Technical Secondary Level Certificate
TYIP	Three-Year Interim Plan
UPE	Universal Primary Education
VDC	Village Development Committee
VEC	Village Education Committee
VEP	Village Education Plan

PREFACE

ACKNOWLEDGEMENTS

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CHAPTER I: INTRODUCTION

BACKGROUND

Capacity development (CD) initiatives of the MOE and its constituent entities, including schools and community, are not new. Various project and programs, such as BPEP I (1994 – 1998), BPEP II (1999 – 2004), TEVT development project (1992 – 1998), SESP (2003 – 2007), TEP (2002 – 2007) and EFA (2004 – 2009) have had provisions for developing capacity of MOE and its constituent institutions. These projects constantly provided the opportunity to develop the capacity for effective implementation of the projects and programs within the Ministry. However, due to the lack of an integrated and holistic plan for capacity development, initiatives taken under these projects were limited to technical assistance and individual capacity development, focused on specific project objectives and interests. This realization is reflected in the Human Resource Development Plan of MOE 2002 – 2006 (MOE, 2002) which attempted to comprehensively develop human resources needed for substantial improvement in education service delivery and improvement in the overall quality of school education in the country. Although the 2002 – 2006 HRD Plan could not be fully implemented as planned, it lessons learned to contemplate, such as the potential challenges and risks while developing an implementable CD plan for the School Sector Reform Plan (SSRP).

The challenge, therefore, is in developing a comprehensive but flexible capacity development framework rather that a specific, detailed plan itself. The lesson from past experience is that a CD plan, developed successfully and implemented by an organization, help that organization achieve its institutional mandates and objectives. One recent example is the Institutional Linkage for Capacity Building Program (ILCBP, 2006). NCED developed and successfully implemented a three-year extensive capacity development program focusing on its institutional mandates and objectives. Institutional ownership and commitment is understood, from this experience, as vital in its implementation. Likewise, ownership and commitment together help mobilize the resources required for its implementation. The risk, however, is when individual institutions use their own frameworks and processes to prepare their separate plans for capacity development, they can lose the vital connection and contributions with the sector goal and objectives.

Therefore, the focus here is on preparing a national framework to guide capacity development through a process and standard steps, with accompanying templates and illustrations to help with the steps of the CD processes. The section on Capacity Development in the SSR Plan provides the basic direction with policy guidelines and strategies, which forms the basis for developing a National Framework for Capacity Development (NFCD) in the education sector in Nepal.

The MOE has set a target to prepare the sector wide CD plan by mid 2010. To meet this target, the Ministry formed a consultancy team to work with the MOE's Management Group to lead a process of preparing a relevant, demand-responsive and result-oriented capacity development Framework. The expected outputs of this process are:

1. Framework and templates for CD Plans, with examples and illustrations that are based on complete CD planning process for one district education office and one school level unit;
2. Process description for CD plan preparations at central, district, and school levels, with practical guidelines and templates;
3. Dissemination (e.g., power-point presentation) of the CD Framework, planning process, enabling guidelines, and sample CD Plan;
4. One 'Kick-Off' orientation/training program for central level agencies, aimed at facilitating agencies' adoption of the CD Framework and preparation of their CD plans.

THE CONTEXT FOR CD FRAMEWORK

The Human Resource Development Plan (2002-06) identified capacity development interventions as critical to the achievement of EFA goals by 2015. The SSR Core Document also pointed out that it is crucial to develop the capacity of all implementing agencies to analyze, formulate, evaluate and translate policies into action as well as the capacity to perform assigned roles and responsibilities. The joint evaluation of Nepal's EFA program (2004-09) has clearly pointed out the need to develop capacity in key performance areas including "broadening the concept of capacity development". This requires developing an understanding of what good performance looks like and charting a plan of action to enhance required competencies at the institutional, organizational and individual levels. The process is expected to result in aligned work practices and improved service delivery complying with professional value, service cultures, results orientations and good governance principles.

The Ministry of Education (MOE), through development and implementation of the SSR Plan (2009-15), has expressed its full commitment for carrying out the reform in the education sector in Nepal for which capacity development has been recognized as an essential means of achieving desired results and to sustaining improvements in the delivery of quality education. The SSRP has rendered significant priority for capacity development by including capacity development as a separate component in the sector plan, providing clear policy directions, results, and strategies for CD implementation. The current framework for capacity development is thus guided by the opportunities and challenges as assessed in the SSR Plan:

OPPORTUNITIES

Commitment to Results-orientation and Capacity Development

….. By adding the need for developing results-based management principles to the reform agenda, the senior management has sent out a signal that capacity development initiatives must be accompanied by a transparent performance accountability framework that is capable of monitoring and evaluating improvements in service delivery. (Can include page numbers for each cited phase?)

Information and Communication Technologies (ICT)

A decade of rapid developments within the field of ICT offers new and cost-effective avenues for capacity development. One example is the Ministry's on-going implementation of its ICT Master Plan that is aimed at improving the speed of internal communication and staffs' access to essential working documents and information. Much more needs to be done to map out, fully understand, and develop a strategy on how the Ministry can explore the opportunities offered by the modern ICT.

Technical Assistance (TA)

As the Ministry develops a better understanding of where critical and persistent performance gaps exist in its service delivery system, the close relationship the Ministry enjoys with its development partners represents an opportunity to use TA to facilitate capacity development processes at systemic, organizational and individual levels. However, a more results-oriented approach to the procurement, fielding, management of and follow-up on TA is a requirement that in itself represents a small capacity development project.

Professional organizations and institutional arrangements

Over recent years the Ministry has developed professional relations with a number of international, regional and national knowledge-based organizations and academic institutions…. The Ministry's long standing relations with these professional organizations and institutions offers an opportunity to get cost-effective professional help to address knowledge and skills gaps.

Institutionalization of evidence-based planning

… the recent improvements in the planning process with problem analyses and bottom-up approach, information has been generated and consolidated in the EMIS. This represents an important opportunity for developing a better system and more informed understanding of problems and their causes and effects, particularly at school level.

Source: SSR Plan 2009-15 (MOE, 2009).

CHALLENGES

The current discourse on the state restructuring gives rise to a considerable uncertainty as it is expected to redefine and redistribute authorities, roles and functions across state bureaucracy at all levels. Until the governance and management structure is defined and is fully functional, assessment of capacity development needs becomes impractical.

The development of adequate systemic, agency-wise and individual capacities to facilitate a smooth transition from a grade 1-5 to a grade 1-8 system while continuously improving the quality of educational services and increasing learning achievements represents one of the most serious challenges over the coming plan period.

The process of developing the MOE's capacity to gradually and continuously perform at higher service levels is essential to a smooth transition during which repetition and drop-out rates are reduced and learning achievements are significantly improved. However, it needs to be stressed that this process of establishing a baseline for capacity development, conducting a performance-gap analysis, and designing a results-oriented capacity development plan aimed at closing these performance gaps is time-consuming and requires full resourcing and commitment throughout the system, from teachers at the end of the service delivery chain to the top management.

Source: SSR Plan 2009-15 (MOE, 2009)

BASIS FOR CONCEPTUAL DEVELOPMENT

The SSR Plan includes a separate section on capacity development in the sector which provides the basis for CD preparation with clearly articulated policy directions, results and strategies for CD implementation. Enhancing the capacity of the MOE system for implementing reform is the major goal of the CD component in the SSR Plan. The objective of the CD efforts, in the plan, is to improve performance of the MOE service delivery system to achieve the expected reform results. A number of critical reform areas have been identified in the SSR Plan, such as ensuring at least minimum enabling conditions in all public schools, restructuring of school grades, examination reform, reform in school governance and management system, and improving the quality of education in general. These result areas guide the conceptual development of the National Capacity Development (CD) Framework.

Past attempts to address the capacity development needs include the Human Resource Development Plan produced in 2002, which identified capacity development interventions critical to the achievement of EFA goals by 2015. The SSRP Core Document also pointed out that it is crucial to develop the capacity of all implementing agencies to analyze, formulate, evaluate and translate policies into action as well as to develop the capacity to perform the roles and responsibilities assigned to each agency and organization of the MOE.

In this context, it is critical to assess performance gaps in the delivery of educational services and to design and implement relevant interventions for the effective implementation of the SSR Plan. The process is expected to result in aligned work practices and improved service delivery complying with professional values, service cultures, results orientations and good governance principles. The plan, ultimately aims to enhance effective service delivery to improve learning outcomes and achievement.

Further on CD development, a 5-day workshop was conducted in Nepal from 14-18 September 2009, facilitated by an international expert consultant. Participants included the MOE/DOE management team, backed up by a senior management team. The workshop was instrumental in contextualizing and streamlining the CD preparation process by identifying guiding principles and scope for CD preparation in the context of EFA and SESP completion and on-going reform initiatives under the SSRP. These guidelines and principles which form the preliminary basis for conceptual development for the CD framework are as follows:

Results-based: The CD Framework is not something apart. The SSRP and its results – particularly focusing on the school level performance – is driving the CD efforts. The CD efforts will effectively be the implementation framework of the SSRP in the areas where "softer" capacity is fundamental to produce and sustain performance and service delivery. "Results-based CD" means effectively integrating CD in the sector strategy – rather than creating a parallel work stream.

SSRP objectives first – agencies second: Another important consequence of the results-focus is that CD efforts will focus first on their impact on school performance – and then, working backwards from this objective, identify the organizations and actors that eventually will have to be involved. This results-driven approach also implies certain resilience if the institutional setup in the sector changes as a result of macro-political processes in the country: Any new system has to work in function of school performance targets, and the present system will have to be modified to achieve the ambitious SSRP goals.

Mainstreaming a CD perspective: The challenge that a CD framework has to meet is to ensure that a CD perspective is integrated in all relevant areas – for example when it comes to making social audits work, or making school management more effective, or ensure that local curriculum elements increase the relevance of teaching.

Ownership at all levels: The workgroup members strongly underlined that CD efforts have to be owned at all levels – the central Ministry, or the Department of Education, or the district officers, can support the CD process, while those who develop their capacities, e.g. school management committees, head teachers, teachers and parents – must own their process and prepare their own CD strategies. CD is and remains mainly an internal affair that can be stimulated, but not imposed from the outside.

Including political dimensions and incentives: CD is (much) more than training and overseas travel – it must, both in the situation analysis and in its actions, focus on formal and informal political dimensions and incentives that shape present capacity and options for future CD. Functional approaches and gap analysis have to be put in the context of the drivers and constraints shaped by societal factors and stakeholders' interests.

A learning approach, not a blueprint: Evidence-based CD in the sector must build on experience from what has worked and not worked in earlier occasions in the sector, the country or at regional or international levels. It was recognized that evidence of good approaches is not always available, and that piloting with the explicit purpose of learning might be necessary. It was also underlined that a learning approach implies a focus on collecting and sharing lessons learnt from the beginning.

A CD framework, not a plan: The points above led to a clear recognition that the CD challenge is not about making a "Sector Wide Capacity Development Plan". Instead, it is about creating a CD framework consisting of a facilitating core team, guided by principles, assisted by simple tools, and focusing on key results priorities. This framework would help agencies and individuals at all levels to take charge of their own CD processes, while addressing the system-wide factors of a regulatory or political nature which constrain capacity development.

The above principles focus on a national framework for CD Plan as holistic, integrated and results-based capacity. As mentioned above, piecemeal attempts in the past have helped institutions fulfill their specific objectives but the need to align each organization's objectives with the overall SSRP goal and objectives has been strongly felt. In this regard, the concept for a national framework for capacity development will benefit from the principles as set forth above.

The framework has placed school, as an organization, in the focus and builds on existing capacities rather than creating an altogether new set. The actors around the school include the Head teacher, teachers, students, and parents and guardians. These individuals not only contribute to the transformation of the school as an organization but are also accountable for producing expected priority results at the school level. The performance of the organization (the school) therefore depends on the performance of these contributing individuals. Producing results at the school level is a collective effort where each individual is required to contribute effectively, using their respective capacities. Therefore, the capacity of these individuals is part of a critical path that leads to achieving school level results, such as improved learning achievement, increase internal efficiency, etc.

STEPS FOR USING THE CD FRAMEWORK SYSTEM WIDE

The CD framework adopts a stepwise process and is fully consistent with existing guidelines for improvement planning, such as the school improvement plan (SIP). Although the CD guidelines and templates included in this framework are based on school and district level experiences, they are equally applicable at any other level because the focus of the model is on the ability to achieve priority SSRP results. The CD model has five stages and each stage includes key steps in order to build for the next stage in order to construct an entire CD plan. The five stages are as follows (see the guidelines for details):

Stages	Theme	Key steps
One	Preparation for Organizational Planning and CD Process	1. Identifying Key Stakeholders 2. Establishing the Improvement/CD Planning Committee 3. Structuring the Planning Process 4. Developing Terms of Reference 5. Acquiring Funding and Resources, and 6. Preparing a Work-plan for the team
Two	Planning for Organization Improvement Plan	1. Development of Values, Vision and Mission statement 2. Understanding the SSRP Context and alignment of vision and achievement targets 3. Understanding the internal and external environment of the organization: 4. Conduct SWOT analysis 5. Identification of Issues and Challenges: Areas of concern 6. Development of Strategic Goals and Corresponding Objectives 7. Development Of Annual Operational Objectives
Three	Developing CD Plan	1. Identify the priority results in your organizational improvement plan (DEP/SIP) to be supported by the CD Plan. 2. Identify the services or activities that will contribute most directly to achieving the priority results. 3. Identify the core capacities considered most essential to deliver the necessary services and activities to achieve the priority results. 4. Complete a Capacity Needs Assessment. 5. Create a Blueprint for the Capacity Development (CD) Plan. 6. Create a Capacity Development (CD) Plan for your organization.
Four	Action-oriented CD Monitoring and Evaluation.	An in-built mechanism
Five	CD Implementation Arrangement	Phased process

CD FRAMEWORK: DEVELOPMENT PROCESS

1. Conceptualization of CD process

The MOE constituted a joint team of national and international experts as the CD Planning Team, supported by the CD Management Team consisting of senior officials from the MOE and its line agencies.

An initial discussion meeting was carried out in the MOE to conceptualize the process of the CD Framework. The discussion focused on processes, tentative outlines of the plan, and the core areas to be addressed by the CD Plan. It was commonly agreed that the CD process should start from the school level as SSRP has placed significant emphasized on improvement and performance at the school level. This initial sharing shaped the conceptual approach for the CD Framework.

2. Review of relevant reference information

Taking into consideration that there is no universally accepted single method/process for undertaking the task of strategic capacity development planning, the team gave early priority to developing a common understanding on the approach to formulating a CD framework that would facilitate effective and efficient implementation of the SSR Plan activities. The team reviewed literature on capacity development, including other country experiences, the SSR Plan and related documents, related legislation, and other documents related to the subject, including proceedings from an MOE consultative workshop on Capacity Development. The team developed a draft conceptual framework for capacity development to guide field consultations with school and School Management Committee (SMC) representatives to further inform the process.

3. Schools Visit

For a better first hand understanding of the situation at the delivery level of education, in addition to the review of the relevant literature, the consulting team together with the members of the CD Management Team visited two schools situated in Kavre district. During these visits, intensive discussions were held with Head Teachers, Teachers, representatives of the School Management Committees (SMCs) and Parents Teachers Associations (PTAs), and other members of the local community. This initial consultation with the individuals at the school level was instrumental in the sense that it helped ground the initial mental maps and conceptual ideas about CD framework.

4. *Preparation and presentation of inception report*

On the basis of information obtained through the consultative processes mentioned above, the team prepared an outline and a broad conceptual framework for Capacity Development planning, including a field consultation program, and shared it with the MOE.

The MOE sharing was very fruitful for reaching agreement on the list of tasks, working modalities, expectations, and forthcoming action steps for formulating and testing the CD Framework. The valuable ideas and suggestions received during these meetings were incorporated into the draft CD framework to be field tested.

After the completion of the school visit and documentation review, the team prepared an inception report which incorporated, inter alia, a draft capacity development framework. The inception report was presented to the MOE Management Group. After receiving comments from different line agencies and organizations, the CD Plan Management Group agreed on the final draft inception report which then was submitted to the Ministry.

5. *Preparation for field work*

Confirmation of the CD conceptual framework with the MOE Management Group was followed by development of guidelines, templates/worksheets, and tools for CD planning, to be pilot tested in two districts: Dadeldhura and Kapilvastu.

Two small teams of consultants and MOE officials were constituted for testing and piloting the CD guidelines, templates/worksheets, and tools with the DEOs and schools.

6. *Pilot testing of the CD Framework and planning documents*

The two teams were mobilized after a week-long structured CD planning process. Review of the school improvement planning (SIP) process and formats and building them into the CD planning process was given the priority as a first step in piloting the CD planning process. The day to day activities adopted in the two pilot districts is presente in detail in Annex XX (ANNEX….).

CHAPTER II: CONCEPTUAL FRAMEWORK

CONCEPT AND DEFINITION

The Concept

The policy directions as given in the SSR Plan provide the basis for a CD framework in the education sector in Nepal. The SSR plan has clearly indicated multiple levels of interventions such as individual, organizational, and institutional levels. Likewise, the shift in focus from central level agencies to the school/community is one of the key reform initiatives that the SSR Plan rendered as priority. The following policy directions are the key foundations for CD concept development:

> **POLICY DIRECTIONS**
>
> Strengthening capacity of MOE and its line agencies to plan, implement, evaluate and sustain the benefits of capacity development activities.
>
> Developing capacity at the individual, institutional and at organizational levels to achieve the reform in education sector as reflected in the SSR Plan.
>
> The focus of the SSR capacity development will be on schools and local level institutions, with particular emphasis on enhancing capabilities of the frontline providers of formal and non-formal channels of education.
>
> *Source: SSR Plan 2009-15, (MOE, 2009)* Page?

An integrated and holistic approach to capacity development is another important message, learned from past experiences, that has been a key concept of this framework. Recent literature on capacity development also emphasizes an integrated approach to capacity development: "Individual knowledge, skills, and attitudes are of course important, but they are not sufficient to develop organizational knowledge and promote change. Capacity development efforts must also include team building, and the development of the organizational procedures and systems that channel human abilities towards achieving the organization's goals" (p. 44; Horton et al, 2003).

'Capacity' clearly goes beyond the knowledge and technical skills of individuals. It depends crucially on the quality of the organizations in which they work and in turn on the influence of 'the enabling environment' – the structure of power and influence and the institutions in which they are embedded. 'Capacity is not only about skills and procedures; it is also about incentives and governance' (OECD, 2006, p. 7).

According to UNDP (2009), Capacity Development is an integrated system. UNDP identifies three points where capacity is grown and nurtured: in an enabling environment, in organizations and within individuals. These three levels influence each other in a fluid way –

the strength of each depends on, and determines, the strength of the others. Therefore, the three integrated levels of capacity development are: (1) the enabling environment or institutional level, (2) the organizational level, and (3) the individual level (De Grauwe, 2009).

While the debate on defining capacity development is complex, there is an international consensus on several points. This consensus recognizes the need to develop existing capacity rather than to build from an imaginary model and emphasizes the role played by the state and by effective public institutions (SOURCE). In conformity with this view, existing regulatory frameworks, institutional arrangements, and individuals represent capacities to be assessed against the key results at each level.

A national level consultative seminar organized by the MOE from 14-18 September 2009 and participated by broad stakeholders' group, including senior officials of MOE, to shape the conceptual framework for CD. A number of key messages emerged during the week concerning CD in school sector reform:

1. CD is not something apart, but closely linked to the wider School Sector Reform Plan. It is a perspective and approach that must be mainstreamed when the reform is made operational at all levels.
2. CD should – as the reform in doing it – focus on school level performance.
3. Ownership is crucial not only at the Ministry and central level, but at all levels. CD is mainly an internal process, where external partners can facilitate.
4. The role of central CD framework and core team will be to facilitate and support the CD process, not to control and steer according to a blue print.
5. CD should adopt a constant learning perspective, sharing lessons and building on previous successful experiences.

Source: (Train 4 Dev.Net, 2009, p.2)

The above key messages reveal that (a) CD should be connected to expected results aligned with SSRP; (b) focus should be at the school to enhance child learning; (c) schools and other entities of education should be engaged with full ownership in CD process to enhance their organizational services for facilitating child's learning and have ownership of the process, (d) the central CD team should facilitate and support the process, and (e) each entity under MOE engage in continuous learning and improvement through the CD process. This means that CD is a change process. It can entail change of knowledge, skills, work processes, tools, systems, authority patterns, and management styles. But, like learning, CD takes place in people or organizations, and, like learning, it cannot be forced upon them. People and organizations can have strong or weak incentives to change, develop, and learn—but eventually the change is an internal process that has to happen in the people or organizations changing.

DEFINITIONS

Capacity is defined as "the ability of people, organizations and society as a whole to manage their affairs successfully" and capacity development is understood as "the process whereby people, organizations and society as a whole unleash, strengthen, create, adapt and maintain capacity over time." (Source…)

UNDP defines capacity as: "the ability of individuals, institutions and societies to perform functions, solve problems, and set and achieve objectives in a sustainable manner". CD is thereby the "process through which these abilities are obtained, strengthened, adapted and maintained over time".

Definitions, such as those above, have different implications in education. Firstly, capacity development is a complex process, over which a single individual has little control and that there has to be an integrated effort in order to accomplish desired results. This means capacity development requires collaboration between and among individuals at different levels and for the integration of all capacity development efforts from schools, districts and central institutions of education sector within a common strategy. Secondly, capacity development is a long-term change process which demands a willingness to change and collectively engage in continuous improvement. The creation of such willingness may need to form an integral part of a school sector reform plan and corresponding programs. Thirdly, differences in contexts make it crucial to adapt interventions to each specific situation as per the need of each organization within education sector. Such adaptation can be done in close collaboration with national partners and is in itself a form of capacity development.

In this connection, capacity development in the education sector can be viewed as the ability of individuals and organizations or organizational units to perform their functions effectively, efficiently and sustainably. This implies three important aspects: firstly, it indicates that capacity is not a passive state but is part of a continuing process; secondly, it ensures that human resources - and the way in which they are utilized - are central to capacity development; and thirdly, it requires that the overall context within which organizations undertake their functions will also be a key consideration in strategies for capacity development.

THE FRAMEWORK

The proposed CD framework addresses four "levels" in the delivery of educational services and an associated sphere of influence: (1) the *institution*, (2) the *organization*, and (3) the *individual*, supported by (4) the *enabling environment*.

The _institutional_ level refers to the education system as a line Ministry, with its associated institutions and centers, that has traditionally generated and delivered centrally mandated policies, regulations, services, and financing.

The _organizational_ level refers to the internal structure, policies, procedures, and human and financial resources that determine a unit's effectiveness, such as a school or SMC. It is here that the contributions and effects of the institution and enabling environment are put into action with the collective capabilities of the organization's human resources (individuals) for better service. The better aligned these elements are, the greater the capacity to achieve priority results.

The _individual_ level includes knowledge, skills, experience and attitudes that each person brings to the organization and applies to the achievement of results. Access to resources and learning experiences that can develop individuals' capacities are largely shaped by organizational, institutional and environmental factors.

The _enabling environment_ includes the broad social system, including other institutions, organizations and individuals that represent the laws, policies, rules, power relations and social norms that govern civic engagement. The enabling environment can inhibit, support, facilitate and/or sustain changes in the three levels described above.

The locus and responsibility for developing a CD Plan rests with each organizational unit. Since it is most in that organization's interests and they hold the more direct and relevant information about priority results, activities, capacities and needs, then each organizational unit is the most appropriate author and owner of their CD plan. The CD Plan for each _organization_ and its _individual members_ will identify the required support from other entities in the _institution_ (education system) as well as entities outside the system in their environment (referred to as the _enabling environment_).

A guiding principle that connects these levels is the _strength of relationships_ between levels:

- Within the organization and individuals, there is greater _control_ over resources and decisions;
- The organization can _request_ authorized services and support from the institution; and
- The organization can _advocate and lobby_ for support from the enabling environment.

FOCUS OF THE FRAMEWORK

The proposed CD Framework focuses initially on the school level as that is where results will be delivered and observed, such as: universal access, regular student attendance, increased learning and achievement - as well as the expected MEC and planned restructuring of school system. The CD intervention will concentrate on the school level to enabling stakeholders to transform the school into a high performance organization. There will be three types of stakeholders at different levels committed to produce the priority performance results. These stakeholders are "internal, intermediate and external" and all should be considered as potential contributors to success. Students, Teachers and Head Teachers are individuals at the organizational (schools) level whereas SMC, PTA, VEC and Parents and community are intermediate stakeholders supporting schools. External stakeholders include the DEO and central MOE agencies (at the institutional level) and CSOs and the VDC/DDC (in the enabling environment) from which the school receives professional, policy and funding support.

Newmann (2000) suggests school capacity increases collective power to improve student achievement through these components: (a) skills, dispositions of individuals, (b) professional learning communities (the quality of relationships among, teachers and between teachers and the principal), (c) program focus and coherence, (d) focused and enhanced resources, (e) principal/school team leadership.

The involvement and continuous support from parent and community is also an essential dimension of school improvement. Recent rapid appraisal of schools revealed that they are less aware about their role in school management and support. Societal engagement accounts for a large percentage of the variance in student achievement, and is the least developed of all the major factors in most jurisdictions (Fullan, 2010).

A collective effort of HT, Teachers, Parents, and students, and SMC / PTA is needed to transform school as a learning community and their capacity development is essential to promote students' learning achievement and educational attainment. Similarly, DEO's capacity should be enhanced to provide efficient service management. Service management functions include planning, resource management, teacher management, performance and compliance monitoring and information management. RC/LRC and ETC will provide professional support to school to create child friendly learning environment in school and VDC/VEC, DDC/DEC, and CSOs are expected to mobilize resources to develop child friendly physical environments. Central level agencies will develop capacities to provide policies, strategies, financial support and services as needed in all schools.

The figure below (Figure 1) illustrates this focus on the school, as an organization, with its individual members, and its institutional relationships and links to the enabling environment. This figure is not an exhaustive representation but is illustrative. The SMC is depicted as an organization that is tightly linked with the school.

Figure 1: CD Focus on School Level
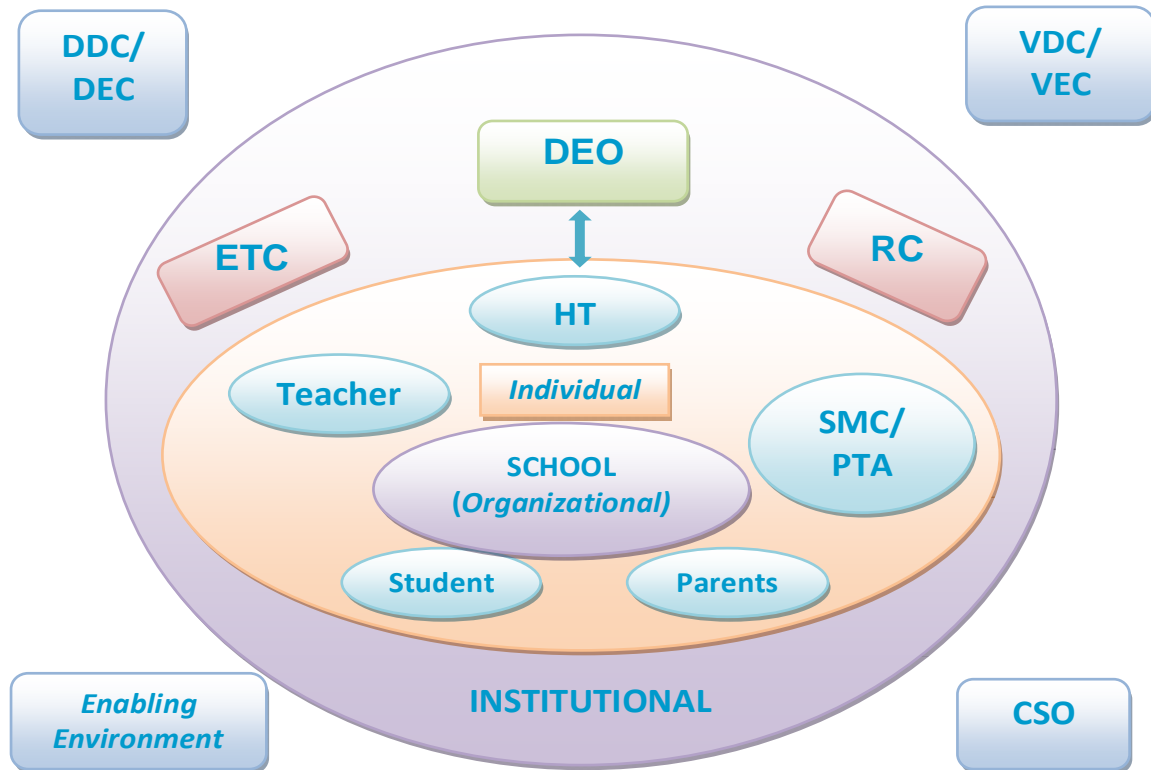
PURPOSE AND SCOPE OF THE FRAMEWORK

The objective of the CD efforts is to improve performance of the MOE and its service delivery system, while developing the capacities to implement critical reforms as envisaged in the SSR Plan. The primary focus of the National Framework for Capacity Development (NFCD) is to support the achievement of SSRP Objectives and Results. The SSRP envisioned three important aspects for CD: (1) an enabling institutional framework through endorsement of Act, regulations, rules and guidelines; (2) organizational mandates, structures and relationships aligned with improved work performance; and (3) improved individual competence and working conditions through training, awareness raising, research activities and provision for incentives.

The purpose of the Capacity Development initiative is to fully enable and empower the education system (and related institutions), their organizational units, and the individuals who serve in those organizations to deliver the necessary services to achieve the student results established by the SSRP - universal access, regular attendance, increased learning and achievement - as well as the expected MEC and planned restructuring.

This framework is to be used for the overall capacity development of the MOE and its constituent bodies from local to central level, and individuals working in these bodies. This framework includes:

1. A CD Framework for the MOE/SSRP

2. Manual for developing a Capacity Development Plan, including:
- Guidelines for conducting Self Assessment (complementing SIP practices)
- Identifying and prioritizing core capacities for development
- Identifying Learning Activities and Providers
- Suggestions for sequencing and scheduling CD learning activities
- Identifying and accessing additional CD resources and enabling support
- Developing a CD financial plan
- Designing an M&E plan

3. Suggested CD leadership and support roles for the MOE.

CD PROCESS FOR RESULTS

The CD Framework will include processes, guides, templates and tools for developing CD Plans for each level of the MOE system. Starting from the school level and working backward – or upward – through each level of the MOE system will help ensure that the process, guides, and tools and resulting plans for each organizational unit in the MOE will be focused and prioritized for its capacity to support results for schools and students.

Thus the CD Framework includes guidelines for operationalizing results-focused capacity development. The figure below (Figure 2) illustrates how the CD plan will contribute to the

key results. The organization (school) and its constituent individuals (HT, Teachers, Students, Parents), with support from the institution (MOE system) and its enabling environment, will conduct a Self Assessment (SA) utilizing and supplementing the SIP based best practices, develop a CD Plan that includes relevant learning activities, to achieve a new level or set of capacities, enabling the school to provide new or improved services that promote and achieve the key results that have been identified by the school.

Figure 2: CD Planning for Results
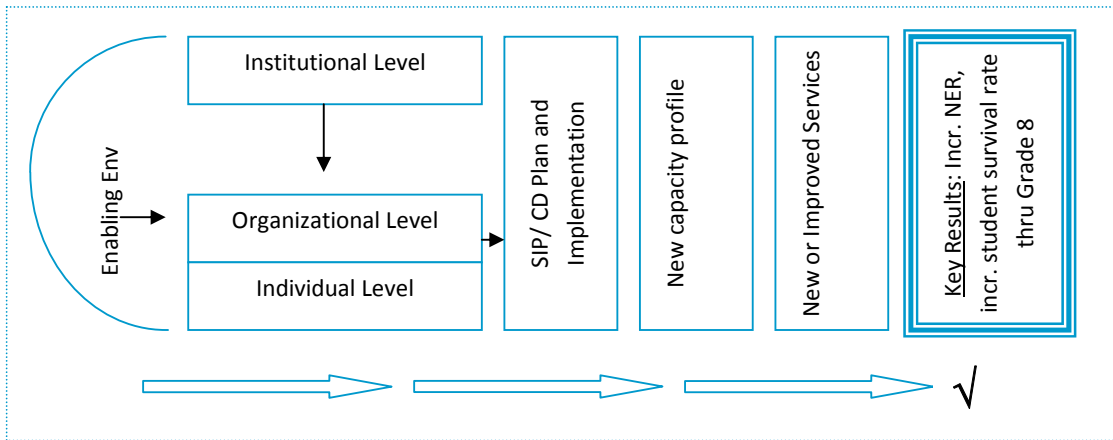
Each school/SMC will identify the key results for its CD plan according to their own circumstances, including results that have been given priority by the SSRP. Some of the key results for Primary and Secondary schools as set by the SSRP are included in the Table below (Table 1):

Table 1: Key School Level Results

Basic education
- Achieving 94% NIR at grade one and 66% survival rate at grade eight,
- Achieving NER for Primary 99% and Basic 85%,
- Needy students, this with disabilities receive timely scholarships,
- Schools equipped with library and laboratory facilities,
- Schools' environment improved to meet MECs,
- Multilingual Education implemented in 7,500 schools,
- School rewarded for improvement in performance,
- SMCs hired Head teacher on a contractual basis,
- Multi-grade teaching implemented,
- Alternative provision for basic education.

Secondary education
- Alternative schooling provisions in class 9 & 10,
- Timely scholarships to complete secondary education for extreme poverty households, girls, disability students, martyrs,
- Schools rewarded for improvement in performance,
- All Secondary level students received textbooks on time.

CHAPTER III: CD PLANNING PROCESS

DEVELOPING A CD PLAN

UNDER THE PROPOSED CD FRAMEWORK, INDIVIDUALS AT EACH ORGANIZATIONAL LEVEL WILL CONDUCT THE FOLLOWING STEPS TO DEVELOP THEIR ORGANIZATIONAL AND INDIVIDUAL CD PLANS (ILLUSTRATED BELOW IN FIGURE 3):

1. Identify the priority SSRP results to be addressed by the CD Plan;

2. Identify the services or activities (from SSRP expectations) that are expected to contribute most directly to those results;

3. Develop a statement of the core organizational and individual capacities considered most essential to deliver the necessary services and activities to achieve the priority results;

4. Complete a capacity self (needs) assessment, vis-s-vis the core organizational and individual capacities considered most essential to achieve the priority results (an illustrative overview is included in Attachment 3);

5. Identify CD and learning activities, e.g., training, exchange visits, reviewing documented resources, higher education; and the sources (providers) of those CD/learning activities, including those expected from the institution (MOE system);

6. Identify additional expected resources and support from the institution, including factors that must be activated or mitigated to develop and use the capacities to achieve the results;

7. Identify in or enabling environment that must be activated or mitigated to develop and use the capacities to achieve the results;

8. Develop an organizational level CD plan that includes sequencing and scheduling CD learning activities, and the steps to access those CD resources and learning opportunities;

9. Develop a CD financial plan to support the CD plan, including no cost activities, self financed activities, accessing already financed activities, and externally; financed activities. The CD plan should include a strategy and steps for accessing externally funded CD learning activities;[1]

10. Develop a results-focused M&E plan.

The example that follows (Figure 4) provides an illustration of how this might be operationalized, with *increased survival rate through grade 8* as the priority result and implementing a Continuous Assessment System (CAS), providing a remedial instructional program, and continuing a scholarship program as the main contributing programs and services.

- [1] "No cost activities" may include peer teaching and coaching within the unit, such a senior teachers mentoring junior teachers;
- "Self finance" refers to using resources already available to the organizational unit, financial, material, and in kind;
- "Already funded activities" refers to education and training programs that have a funded mandate to serve that organizational unit, such as the RC, NCED;
- "Externally funded" refers to soliciting/accessing support from sources other that the organizational unit itself and may include the VEC, DDC, NGOs, private or external donors, etc.

Figure 3: CD Planning Frame

Level	Core Capacities (current)	Learning Activities (including ID of resources and providers)	Developed Capacities	Key services/ activities	Results
The Process:					
Organizational/ **Individual**	(3) Identify the most essential capacities (competencies) needed to deliver the necessary practices to achieve the results	(4) Recommend or describe CD programs and likely providers	(5) Statement of learning outcomes: Capacity statements that reflect and support SSRP expectations.	(2) Identify key services/activities to achieve results (draw from SSRP expectations)	(1) State key results from SSRP
Institutional	(6) What resources are needed from the MOE and its departments and centers?				
Enabling Environment	(7) What factors are – or can – influence acquiring and using these capacities?				
(8-10) Develop an organizational level CD plan, that includes financial and M&E plans					

Figure 4: Organizational CD Frame for Result 1: Increased survival rate through grade 8 (Illustrative example)

An example…					
School **Head Teacher and Teachers**	Mixed qualifications; knowledge of homework and classroom tests only; interested	Technical training and support for CAS	Implement and supervise CAS (validly and reliably)	Use CAS in all classes Provide remedial instructional program	Increased survival rate through grade 8
	Use repetition of current instruction; interested	Assessment-based instructional design (INGO, other schools)	Design and deliver supplemental instruction	Continue scholarship program	
Institutional	Published CAS model and methods; training package available; Teacher.				
Enabling Environment	VDC willingness to contribute to scholarship program				

CHAPTER IV: CD IMPLEMENTATION PROCESS

IMPLEMENTATION ARRANGEMENTS

The CD Framework is neither a standalone nor a parallel process to current organizational improvement planning. The Framework is designed to strengthen the use of SIPs by streamlining linkages with the Village Education Plans (VEPs), strengthen District Education Plans (DEPs), and strengthen Annual Strategic Implementation Plans (ASIP). The framework utilizes existing processes and information that are required to develop SIPs, VEPs, DEPs and the ASIP/AWPB. The Framework includes a set of procedures, templates, and tools that have been field tested and verified at the school and community level by applying them in conjunction with the regular school improvement planning (SIP) process (see annexes …). The templates and tools are harmonized with the SIP process minimizing additional information needs or extra workload for the planning teams at the school and community.

The SSR Plan provides several key strategies to operationalize the capacity development plan:

STRATEGIC INTERVENTIONS

… With the approval of the CD framework and guidelines all MOE agencies will be provided with the necessary technical assistance to review, align and update their CD plans within this framework.

MOE will develop a broad framework for capacity development based on which concerned agencies will prepare annual implementation plan covering capacity needs at the implementation levels and is reflected in the ASIP.

The preparation and implementation of capacity development plans will be centrally coordinated and facilitated to ensure that processes and final plans meet minimum technical quality standards, to achieve alignment with overall MOE goals and to pursue synergies between different levels of the service delivery system.

All organizational units will be set up and made responsible for the preparation and implementation of CD plans based on the indicative plan stated below. The primary role of the MOE CD coordination mechanism will facilitate the preparation and updating of individual CD plans of the concerned agencies. All agencies will have access to the necessary technical expertise and financial resources for this purpose.

Source: SSR Plan, 2009-15 (MOE, 2009). ==Page==

It has been made explicit in the SSR Plan that this framework will serve as the reference document based on which individual institutions, within the MOE and at each level from the center to the school, will develop their own specific capacity development component. As it is with the SSR Plan, capacity development will form a separate component in the annual strategic implementation plans, such as SIP, VEP, DEP, and ASIP (for school to the central level agencies, respectively). The capacity development component will follow the same time frames as with the planning and development work regularly carried out in schools, districts and at the central level.

The figure below (Figure 3) illustrates how different capacity types are incorporated into the regular planning processes such as SIP, VEP, DEP and the ASIP. The inner circle denotes capacity development cycle, whereas the outer cycle denotes planning cycle.

Figure 3: Illustration of an Integrated Capacity Development Model
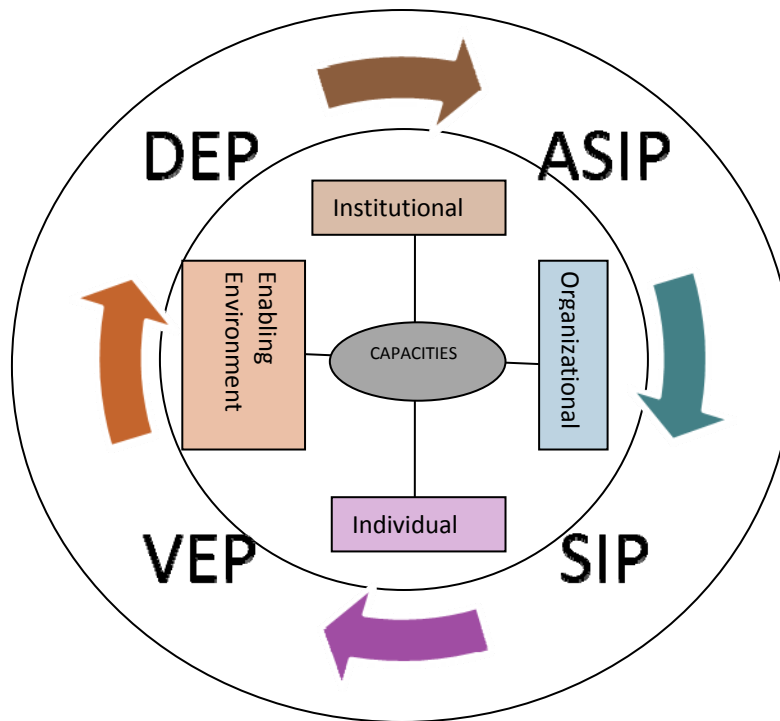
SIP has been established as the main mechanism for development planning at the school level and it is widely understood and recognized across all public schools. This process has been made mandatory and all public schools are required to prepare SIPs with five year and annual improvement cycles. However, there are two major areas in the current SIP process that need to be established prior to building further on this process:

a) Establishing a clear relationship between SIP and school funding; this will require SIPs to be made more credible, realistic and implementable, and

b) Evaluation of SIPs, almost impossible within the existing system.

In order to strengthen the SIP process and to build its credibility and utility, a mechanism is needed at the community level to evaluate the SIPs and to ensure funds for SIP priorities as well as their use for implementation. As it is also suggested in the SSR Plan, the following strategies should be followed for effective implementation of CD components:

AT THE SCHOOL/COMMUNITY LEVEL

1) The current RP and RC system could be effectively utilized for SIP planning including its CD component. However, they have been already overly tasked and any additional task would only make them more ineffective. For the effective planning and implementation of SIP, realignment of Resource Centers and a revisit to RP's job descriptions is a must. The most appropriate solution to this is to assign RPs as Education Desk Officers (EDO) at each local government bodies, such as VDCs and municipalities. School supervisors and RPs can be effectively turned into Education Desk Officers by providing basic training in education planning, evaluation, and monitoring and supervision.

2) However, until such times when provision of EDOs are officially made, the current RPs and School Supervisors can be given the responsibility for providing training and orientation to SMCs and school teachers including the Head teacher. School supervisors and RPs will first receive their own training and orientation (TOT) and consequently conduct the same for school members in their resource centers.

3) Strengthen and reform the Village Education Committee (VEC). Under the VEC a technical committee comprising RPs, HTs and experts should be formed. The committee will evaluate SIPs and recommend to the VEC for its approval. Among other functions, the VEC shall have the final authority to evaluate and approve SIPs within their jurisdictions. This will require training on planning and evaluation, as well as monitoring and supervision.

4) All funds going to the school must be based on clear and transparent criteria, such as funds tied to top priority activities, and they should be released on the basis of approved SIPs.

5) The VEC, including the technical committee, shall be made responsible for monitoring, supervision and follow-up of SIP implementation in schools within their jurisdiction.

6) Develop capacities of the VEC and the technical committee in respect of the roles and functions mentioned above.

AT THE DISTRICT LEVEL

1) Strengthen and mobilize existing the District Education Committee (DEC) for developing District Education Plans (DEPs) in which the capacity development (CD) component should be incorporated.

2) Formation of a technical committee under the DEC, chaired by the District Education Officer, should be supported. The technical committee, among other things, will conduct the following:

   a. Compilation and reflection of VEPs into the DEP;
   b. Assurance of funding in accordance with the DEP;
   c. Recommendation for timely release of funds to the schools on the basis of approved SIPs (through the VDC/ Municipality);
   d. Periodic monitoring and supervision of SIP implementation in selected schools in the district; and
   e. Providing technical backstopping, through the DEO, to VDCs/ Municipalities for the effective implementation of the SIP in schools.

3) Develop capacity of the DEC and the technical committee in respect of the functions mentioned above.

AT THE CENTRAL LEVEL

1) Constitute a CD Steering Committee at the MOE consisting of members from each of the central level agencies, such as DOE, NCED, CDC, NFEC, OCE, TSC, TRO, HSEB, and CTEVT. The steering committee is required to coordinate all capacity development activities across different agencies and throughout the country.

2) Establish a dedicated section, CD Coordination Section, under the Planning Division within the MOE. Since capacity development will be a regular as well as a massive function, a dedicated section on capacity development would be required within the MOE to look after the day to day business. As the CD component has been inbuilt within the planning processes, such as SIP, VEP,

DEP, and ASIP, it is necessary that the section is created under the Planning Division in the MOE.

3) The Steering Committee will enforce effective implementation of the CD process including wider application of CD framework, recommend strategies and funding assurances for its implementation across all levels from school to the centre.

4) Formation of a small technical committee should be supported, comprising subject specialists and experts both internal and external, to provide backstop support at the center as well as at the decentralized level.

IMPLEMENTATION STRATEGY

Each school will be responsible for preparing and implementing annual SIPs with clearly described and costed quality improvement actions aimed at ensuring that the school will meet basic minimum quality standards by 2015.

DEOs will be responsible for preparing district level results-based CD plans that may be included with DEPs. They will also be responsible for facilitating RCs support to schools with adequate finances and technical backstopping.

REDs will be responsible for monitoring early signs of impact of capacity development activities on learning achievements. This will be done on sample basis and in connection with their role in administering examinations. The work will include analyzing and reporting on trends in learning achievements and compare these with improvements in quality standards.

Central level agencies are responsible for preparing and implementing their own results-based CD plan and for monitoring and reporting of progress and improvements in performance.

The CD coordination mechanism in MOE will develop a framework and guidelines for the school-level and agency-wise and CD plans and for their implementation. This mechanism will facilitate the preparation and implementation of CD plans by providing agencies with access to technical expertise, knowledge networks and financial resources and through regular meetings to establish progress and identify opportunities for inter-agency cooperation that could improve cost-effectiveness. This mechanism will also work on developing appropriate channels for receiving feedback from the clients on the service delivery system. Finally, the CD coordination mechanism will be responsible for compiling, summarizing and preparing the MOE's annual capacity development report.

Source: SSR Plan 2009-15, (MOE, 2009)

CHAPTER V: CD MONITORING AND EVALUATION

A monitoring and evaluation (M&E) plan is a mirror which reflects all major activities of a program or project and helps to assess whether the activities are bringing value to the organization and helping it achieve its priority results. It focuses on what to monitor, how to monitor, when to monitor, how to evaluate (value) the activities (useful or not?), analysis of the data, and what actions need to be taken as a result.

After developing the Improvement/CD plans, each organization should complete an M&E plan to determine if they are developing the capacities that they most need to achieve their priority results. Since each organization is monitoring and evaluating the implementation of its own plans, the M&E plan should be as simple, transparent, and useable.

It is recommended that a subgroup of the organization's Planning Committee be tasked with the M&E for CD Plan implementation. For schools, the M&E working group should be comprised of the Head Teacher (or his/her designate), the SMC Chair (or his/her designate), one teacher, and a representative of the VEC. The Head Teacher and SMC Chair should ensure that the data are collected and reported each term, at a minimum. The M&E findings should be reported at an SMC meeting with the Head Teacher and Teachers present, to validate and analyze the findings and to strategize on next steps where challenges exist.

The following table provides an example of an M&E plan, using a school example. The results and capacities from the plan are listed in the first column. The monitoring dimension is the "achievement data" (where the core capacities developed?). The evaluation dimension are the "valuing data" (are the capacities achieved making a difference and likely to lead to the result?).

Basic M&E data are a foundation on which to plan adjustments or next steps in the plan and program. To facilitate using the M&E data on a regular basis, two additional columns have been built into the M&E design: one for analysis and one for planning. If the M&E activities are done on a termly basis, as recommended, or even more frequently, then planning and changes do not have to wait for the next year. Holding all changes for annual planning will miss numerous opportunities to develop needed capacities and achieve results. With this design, analysis of the M&E data can be done in the same SMC meeting when the data are reported, as well as planning any necessary adjustments or remedial actions in the CD Plan.

Sample M&E design for a School CD Plan

Key Result Area: Increasing Survival Rate through Grade 8 by 10%					
1. Effectively Implementing a Continuous Assessment System (CAS)					
From the CD Plan:	*Monitoring Data:*		*Evaluation Data:*		*Analysis:*	*Planning:*
Result / Capacity Indicator	**Achievement Data**	**Data source / frequency**	**Valuing Data**	**Data source/ frequency**	**Result/Capacity achieved or cause(s) of not achievement**	**Strategy / schedule for implementing needed changes**
Result: Grade 8 survival rate increased by 10%	Grade 8 enrolment/ completion rates	School records/ Annual	% change in grade 8 enrolment/ completion rates	School records/ Annual		
1. CAS Implementation	In use?					
CAS Capacities						
1.1a Time available to teachers for CAS	New schedule recorded or posted (Y/N); when?	HT and Teachers/ Termly	Is time for CAS used for CAS? Is it sufficient?	HT and Teachers/ Termly		
1.1b Materials available to teachers for CAS	Materials purchased and distributed (Y/N)? When?	HT and Teachers/ Termly	Are CAS materials used for CAS? Are they sufficient?	HT and Teachers/ Termly		
1.2 HT and teachers increased competencies on CAS	CAS training program completed	HT and Teachers/ Termly	All teachers attend? Skills being used?	HT and Teachers/ Termly		

CHAPTER VI: SUSTAINABILITY

The most challenging component of the capacity development is its sustainability. Since capacity development is largely understood as a reiterative process rather than a one-shot exercise, sustaining harmony among different stakeholders engaged at different levels and aiming for an integrated system of capacity development is more challenging than it appears at first look.

Several key strategies have been suggested to ensure sustainability of the CD process:

CD AS PART OF THE EXISTING PLANNING PROCESS

Under the SSRP, the government intends to strengthen the use of School Improvement Planning (SIP) and streamlining its clear linkages with the Village Education Plan (VEP), District Education Plans (DEP), and finally with the MOE's Annual Strategic Implementation Plan (ASIP). This SIP process has been in practice for almost a decade now in public schools in Nepal. The allocation of funds to schools is primarily based on the SIP and the current regulations have also made this process mandatory for all public schools in order to receive funding support from the government.

In line with the current planning practices in schools and in harmony with the existing regulations, the CD process has been built-in as an integral part of the regular planning process into the SIP, VEP, DEP and the ASIP. The CD framework has adopted two fundamental principles: a) maximizing the use of information already collected for SIP - in other words, minimizing extra workload to school teachers and SMCs - and b) refraining from creating a parallel or a standalone CD process.

BUILDING OWNERSHIPS

From the very beginning, the CD Framework adopts a participatory approach to capacity development. A joint consultative process involving all stakeholders at each level starts off with a visioning exercise. Through this exercise, the community of primary stakeholders, including its implementer, is able to develop commonly agreed goals and targets. Further, the CD process requires a baseline (current status), and to articulate strengths and weaknesses against its own goal and targets.

The SWOT analysis, as it involves participatory process, will not only help articulate and understand internal strengths and weaknesses but also about their roles and responsibilities for the development of the community at large, with a focus on capacity needs as they relate to the goals and objectives. This approach is believed to enhance the relationship and shared ownership between the school and community.

TRANSPARENCY AND ACCOUNTABILITY

Transparency and accountability is one of the mainstays of the SSR Plan. The SSR Plan has recommended instilling transparency and accountability and developing appropriate monitoring mechanisms from school/community to the central level. The participatory approach to CD process ensures transparency and also encourages stakeholders to take on appropriate responsibilities.

Monitoring and supervision through local bodies with technical and policy back-up from the district and central levels also are believed to ensure transparency and accountability in the implementation of the CD activities.

Media plays an important role as watch dog and also as a change agent. When it comes to ensuring transparency and accountability, the role of media becomes most prominent. The SSR Plan has recognized such roles and has included media mobilization as one of the enabling activities. The CD planning process has incorporated raising awareness through different modes of communication and interactive programs.

RESULTS ORIENTED – PERFORMANCE BASED

The main building block for capacity development is its response to priority results and is focused on performance. The entire concept of the CD Framework is linked to the key results that the SSR Plan has envisioned. The CD visioning exercise attempts to translate the SSR results into implementation steps for each organization.

The roles and expected contributions of each sets of actors, such as the students, parents, teachers, and Head teachers, are assessed against the key results to determine the capacity needs and gaps. Likewise, the overall organizational role is assessed against the key results. This leads into an integrated approach to capacity development for a common target – achieving the key results. It is easy for every actor and stakeholder to understand the purpose of capacity development and to feel the need and benefit of new performance levels through the achievement of results.

EARMARKED ALLOCATION FOR CAPACITY DEVELOPMENT

The SSR Plan has suggested an earmarked allocation of funds at the range of US$ 21milion for a period of five years (2009-13). Two broad budget heads have been suggested: (1) systemic capacity development of the MOE and schools, and (2) teacher professional development. Such earmarked allocation is helpful to ensure funding support for likely areas of CD need and for continuity of support for capacity development at the center as well as at the school level.

It is from this year and with the implementation of the SSR Plan that capacity development has been established as a separate component with clearly earmarked funding. The challenge, however, remains in allocating proportionate CD funding to the districts and

schools. The CD framework, therefore, has recommended reasonable proportions of the funds to be allocated to the schools and to the districts, based on need.

PRIVATE PUBLIC PARTNERSHIPS

Partnership with private sector service training providers and civil society organizations is crucial in many respects, especially for the sustainability of capacity development work. Over the past two decades, the education sector in Nepal has manifested notable and widespread growth in private and non-state service providers. Non-government service provision is especially notable in the area of capacity development, through training and orientation, awareness programs, materials development, and the provision of a wide range of degree and non-degree programs.

The NGO sector, including civil society organizations (CSOs) and community-based organizations (CBOs) have expanded their networks throughout the country. Their proximity and close access with local beneficiaries and stakeholders puts them into an ideal situation to collaborate for effective partnerships. A challenge, however, is to making a balance between the profit-making motives behind some private sector providers and the service/non-profit policies and services of the government in education sector. Partnership guidelines and arrangements are therefore needed with appropriate policy support to bring both NGOs and private sectors providers into the implementation phase of mainstream education programs.

The capacity development process seeks to involve all appropriate service providers locally available and to maximize use of locally available resources and expertise. What is needed is a flexible policy support for mobilizing both private and NGO sector in this venture.

CHAPTER VI: DISSEMINATION AND ORIENTATION PROCESS

Although the CD framework is supported by a comprehensive guideline that discusses the phases, steps and procedures, with illustrations and field based examples, some of the steps are more technical and some steps require visioning and conducting analytical work. Secondly and most importantly, it is only a framework and not a plan. It is expected that all the agencies will follow the framework and its guidelines and prepare their own CD Plans, for which a comprehensive orientation and training to use the framework and its templates is crucial. Therefore, a dissemination plan is suggested in the following manner:

KICK-OFF WORKSHOP

A kick-off workshop should be organized at the central level for relevant officials from all central level agencies within the MOE. The workshop should first provide an introductory orientation to the CD framework, the procedure, and use of the guidelines and templates. The workshop should utilize one case of a central level institution and engage all the participants to prepare an organizational CD plan using the templates and guidelines.

The purpose of this workshop would be threefold: a) to orient appropriate personnel about the CD planning procedure, and to use the guidelines and templates in preparing a CD plan; b) developing capacity among personnel from each agencies as CD trainers; and c) preparing a CD plan for their own organziation.

As a back-up support, there may be provision of expert technical support for the central level agencies when the CD plan is prepared.

ORIENTATION AT THE DISTRICT LEVEL

The Department of Education will be responsible for the orientation and training at the DEOs on capacity development. Since a nationwide orientation and training is required, a step-wise process would be appropriate to follow. In other words, central level staff train district staff, who, in turn, train school teachers and SMC members on the CD process.

The Department of Education should organize orientation workshops in each region for district level persons. Prior to the orientation at the district level, a CD team is required to be formed in each district. The CD team can be constituted under the existing DEC and the District Education Officers could chair the CD team at the district level. All the members of the CD team must receive the training and orientation together with at least one RP and/or one school supervisor. These RPs or school supervisors should be trained as master trainers so that they can conduct similar orientation and training to other RPs and school supervisors at the district level.

REVISION IN SIP GUIDELINES

As CD component has to be incorporated into the SIP process, so there is now a need to revise the existing SIP guidelines. The Department of Education should revise the SIP guidelines and provide a fresh orientation on the use of the SIP guidelines. In fact, the CD guidelines incorporate almost every step of SIP process and therefore with slight adjustment these same CD guidelines could be developed and used as an overall guide for SIP preparation which will include the CD component.

TRAINING AND ORIENTATION AT THE SCHOOL LEVEL

Based on the SIP guidelines and CD guidelines, all the school teachers and SMC members must be provided training and orientation to utilize the process. Since NCED has the capacity of providing training and orientation at such a large scale, the Department of Education should work-out implementation modalities and its time frame.

INCLUSION IN TEACHER REFRESHER TRAINING

Through refresher training, all the teachers must also understand about capacity development and its process as they will be the ones to support schools and the communities to prepare their CD plans. NCED should include the necessary contents for their refresher training about CD process, guidelines, and templates.

Tentative Schedule

Activities	July 10	Aug	Sept	Oct	Nov	Dec	Jan 11	Feb	Mar	Apr	May	Jun
Formation of a CD Committee												
Kick-off Workshop												
CD Plan (Each Institution)												
Revision of SIP guidelines												
Revision training manual												
Formation of District CD Team												
District Orientation					East	Cntrl	Wst	Mwst	Fwst			
SIP preparation*												
VEP and DEP preparation*												
ASIP preparation*	11	11										
Monitoring and follow-up												

* The timing needs to be adjusted with the regular process.

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