

**Japan International Cooperation Agency
Ministry of Agriculture and Irrigation, the Government of the
Republic of the Sudan**

Capacity Development Guideline/Manual (JICA Model)

January 2014

**JICA Capacity Building Project for the Implementation of the
Executive Programme for the Agricultural Revival**



2014

This guideline and manual were developed and published by JICA Capacity Building Project for the Implementation of the Executive Programme for the Agricultural Revival in the Republic of the Sudan.

January 2014

Table of Contents

Guideline

1. Introduction	1-1
2. Capacity Development Concept of the JICA Project	1-1
3. Implementation Structure of the JICA Project	1-3
4. Project Cycle Management (PCM)	1-4
5. Monitoring and Evaluation Framework	1-8

Manual

Implementation Process	2-1
STEP 1: Training Needs Analysis and Capacity Assessment	2-2
1.1 The Framework of Capacity Development Activities	2-2
1.2 Procedure of Capacity Assessment	2-2
Exercise 1: Confirmation of the Mandate	2-2
Exercise 2: Stakeholder Analysis	2-3
Exercise 3: Definition of the most Important Capacities	2-4
Exercise 4: Evaluation of the Current Capacity Level	2-5
Exercise 5: Capacity Assessment of the Current Individual Capacity and Identification of Training Needs	2-6
STEP 2: Design of Training Themes	2-8
2.1 Selection of Training Themes	2-8
2.2 Establishment of Training Framework	2-8
2.3 Design of a Training Course	2-10
STEP 3: Implementation and Monitoring (Supervision)	2-13
3.1 Preparation	2-13
3.2 Implementation	2-13
STEP 4: Action Plan (JICA Model)	2-15
4.1 Making an Action Plan	2-16
Exercise 1: Group Formation	2-16
Exercise 2: List the Problems	2-16
Exercise 3: Stakeholder Analysis	2-16
Exercise 4: Problem Analysis	2-17
Exercise 5: Objective Analysis and Selection of Action Plan (Project)	2-18
Exercise 6: Making a Project Design Matrix (PDM)	2-20

Exercise 7: Making a Plan of Operation (Action Plan)	2-23
4.2 Implementing the Action Plan (Monitoring and Supervision)	2-23
4.3 Final Report, Presentation and Evaluation	2-23

Appendix

1. Capacity Development Working Group (WG) Terms of Reference (June 2010)
2. Organizational Capacity Assessment Sheet (version 2)
3. Individual Capacity Assessment Sheet (version 1 and version 2)
4. Sample of Programme Design Matrix (PDM)
5. Sample of Plan of Operation (PO)
6. Evaluation Sheet for final Presentation

Index of Abbreviations

CB	Capacity Building
DG	Director General
FMoAI	Ministry of Agriculture and Irrigation
HSA	Horticulture Sector Administration
ICI	International Cooperation and Investment Directorate
JICA	Japan International Cooperation Agency
OJT	On the Job Training
PAE	Planning and Agricultural Economics Directorate
PCM	Project Cycle Management
PDM	Project Design Matrix
PO	Plan of Operation
SMoA	State Ministry of Agriculture
TTE	Technology Transfer and Extension Administration
TU	Training Unit

1. Guideline

1. Introduction

JICA Capacity Building Project for the Implementation of the Executive Programme for the Agricultural Revival (hereinafter as “the JICA Project”) was implemented from March 2010 to March 2014 (4-year- project). The Project aims that the Ministry of Agriculture and Irrigation (hereinafter as “FMOAI”) and the Ministries of Agriculture in the state level (hereinafter as “SMoA”) are to obtain needed capacities towards materializing “the Executive Programme for the Agricultural Revival”.

The JICA Project is expected to produce two outputs by the end of the project period, such as:

Output 1: Through the experimental activities of the Project, a model system of human resource development and organizational capacity development of the Ministry of Agriculture and Irrigation to be established.

Output 2: Planning, implementation, monitoring and evaluation for promotion of rice production are enhanced.

In order to complete the outputs, the JICA Project and its counterparts (FMOAI and SMoAs) have endeavored to conduct various activities for their staff since March 2010. This guideline and manual contain the training methodologies which we have developed in the process of conducting output 1 activities. We expect that they can be used by those who will conduct training courses in FMOAI and SMoAs in the future.

2. Capacity Development Concept of the JICA Project

The core capacity development concepts of the JICA Project are as follows:

■ Project Cycle Management

The JICA Project applies Project Cycle Management (PCM) methodology as the basic concept of its organizational management. The details of the PCM are discussed in the next section.

■ Selection of Training Themes in line with the needs of FMOAI and SMoAs

The JICA Project always considers the needs and priority on the sector policy/strategy of FMOAI and SMoAs in selecting training themes. In order to do so, the JICA Project studies the sector policy/strategy, mandates of all directorates/ departments and the other documentation, as well as conducts interviews with DGs, staff and other stakeholders.

■ **High Consideration on the linkage between individual training and organizational development**

It is most important in the JICA Project that any individual capacity development produces “**change agents**” who have good motivation, new concepts and improved knowledge and skills. The JICA Project supports change agents as conducive to playing a leading role for organizational capacity development.

■ **Focus on the Application of knowledge and skills to work (utilization to internalization)**

The JICA Project also prioritizes that the training participants immediately implicate the obtained knowledge and skills into their work. Many junior staff especially have few opportunities to commit to any substantial work in their work. Thus the JICA Project makes the participants produce an action plan by the end of the training course, and obligates its implementation as a part of the training course.



Figure 1.1 The Capacity Development Activities of the JICA Project

Based on these concepts, the JICA Project provides capacity development activities for the target directorates and staff. The detail procedures are introduced in the manual.

3. Implementation Structure of the JICA Project

The capacity development activities are conducted by the JICA Project and its counterparts (FMoAI and SMOAs). The implementation structure is as follows:

Advisory Committee: It is composed of concerned DGs and the JICA Project. It has an obligation to supervise all capacity development activities of the JICA Project. Meetings are held 1 or 2 times a year.

Working Group: It is consisted of 2 representatives of each concerned Directorate (1 senior staff member and 1 middle/junior staff member) and the JICA Project. The Working Group is to make an annual plan and monitor the whole process as the core planner and supervisor of capacity development activities. The most important responsibility of the Working Group is to establish a working environment to be conducive to that their Task Teams being able to carry out their action plan maximally.

Task Team: A Task Team consists of about 10 members who have taken JICA training courses. The members make an action plan and implement it.

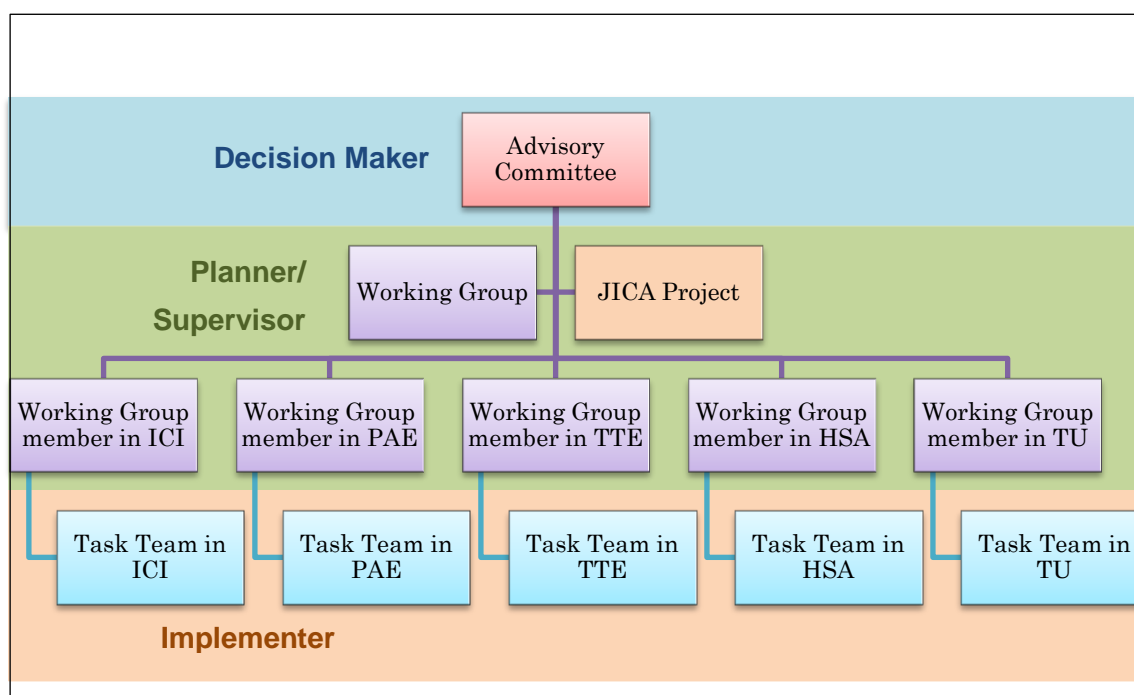


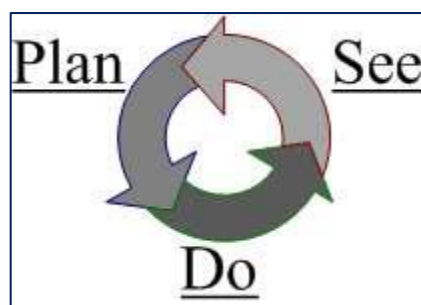
Figure 1.2 Implementation Structure (FMoAI Level)

4. Project Cycle Management (PCM)

The Project Cycle Management (PCM) is one method of project management. It can be applied to all intended future courses of action aimed at achieving specific goal(s) or objective(s) within a specific timeframe.

The PCM comes up with a “Project Design Matrix (PDM)” as a tool for managing the entire project cycle. The project cycle consists of “Plan – Do – See”:

- i) Plan: a written account of an intended future course of action aimed at achieving specific goal(s) and objective(s) within a specific timeframe. It explains in detail what needs to be done, when, how and by whom.
- ii) Do: to implement, to direct and to monitor all steps in their proper sequence.
- iii) See: to review the steps (process), to evaluate to what extent the objectives are accomplished, to extract any lessons learnt from the process and results, and to come up with recommendations for future projects.



The PCM has some advantages;

- + Participatory Approach
Participants are able to be engaged in the analysis equitably, thus nurturing a sense of ownership.
- + Logical
A project could be formulated logically based on problem analysis and PDM.
- + Consistent
A project cycle should be managed consistently.

The PCM has mainly six (6) components to make a plan;

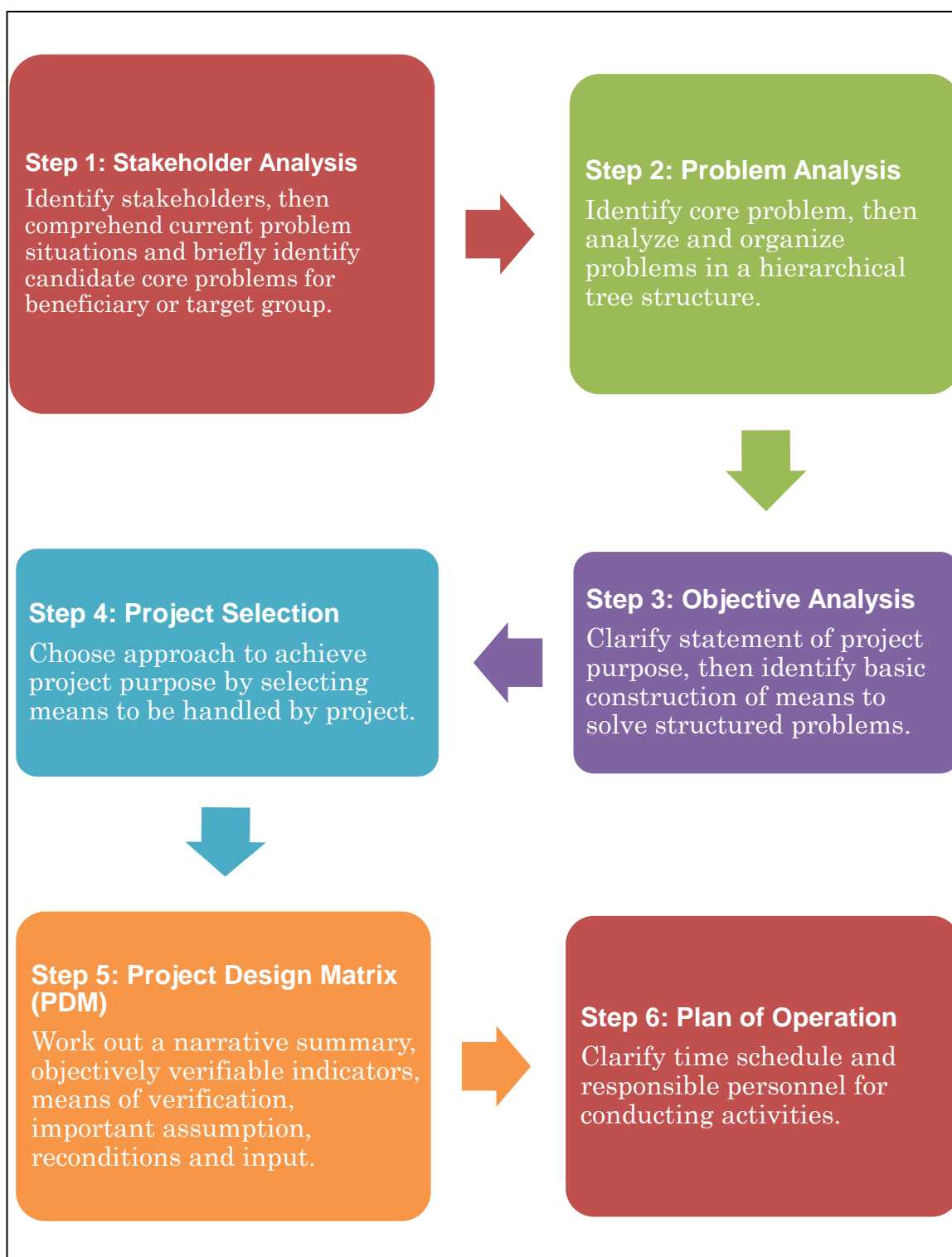


Figure 1.3 The Procedure of PCM

The project monitors the activities based on the Plan of Operation (implementation schedule and responsible persons), and evaluates the progress of the project along with the indicators on the PDM. Their examples are in the Manual and Appendix.

Project Design Matrix (PDM)

Project Name: _____ Duration: _____ Ver.No: _____

Target Area: _____ Target Group: _____ Date: _____

Narrative Summary	Objectively Verifiable Indicators	Means of Verification	Important Assumptions
Overall Goal What is expected after the project purpose is achieved?	Standards for measuring project achievement.	Data sources from which indicators are derived.	Important, however, uncontrollable factors of the project. Its fulfilment is uncertain.
Project Purpose What should the project achieve within the project period?			
Outputs How should the project achieve the Project Purpose?			
Activities What should actually be done to achieve output?	Input Personnel, materials, equipment, facilities and funds that are required for the project.		
			Pre-conditions Conditions that must be fulfilled before the project starts.

Figure 1.4 Project Design Matrix (PDM)

The PDM does not have a time schedule, a person in charge, an implementer, input or any other remarks. Thus, the Plan of Operation (PO) is made besides the PDM. The members of a project implement their activities. The supervisor monitors the progress of the project based on the PO. Whenever there is a delay, the supervisor investigates the causes and takes appropriate action. At the same time, the supervisor and implementers check to what extent the indicators of output and project purpose on the PDM have come to the expected levels. If they do not, supervisors have to reconsider the means of approach (activities).

Plan of Operation (PO)

[illegible]

Figure 1.5 Plan of Operation (PO)

5. Monitoring and Evaluation Framework

The Monitoring and Evaluation frameworks are developing through the Project activities as Table 2-9 and Table 2-10.

Table 1.1 Monitoring Framework (Draft)

Item of Activities	Main Monitoring Targets	Monitoring Tools	Venue of Monitoring	Monitor
Training Courses	<ul style="list-style-type: none"> ● Contents of training courses ● Attitude and responses of lecturer to trainees ● Appropriate and plain explanation of the lecturer ● Good atmosphere to activate free discussion and question ● Time management 	<ul style="list-style-type: none"> ● Training Plan (Training targets, curriculum, time schedule, etc.) ● Contracts ● Monitoring Sheet 	Classroom	The Project (CB Working Group)
Post-Training Activity (Action Plan)	<ul style="list-style-type: none"> ● Appropriateness of identifying core problem and problem analysis ● Appropriate usage of PCM tools ● Commitment of all members ● Appropriateness of technical assistance/ advice and timing from lecture to trainees ● Time management 	<ul style="list-style-type: none"> ● Presentation ● The ppt slides and/or documents 	Classroom	The Project (CB Working Group)
Task Team Activities (Implementation of Action Plan)	<ul style="list-style-type: none"> ● Implementation of planned activities in schedule or not ● Team building ● Commitment of all members to the Task Team activity ● Identification of impeding factors and counter measures 	<ul style="list-style-type: none"> ● Observation of daily works ● Plan of Operation ● Interview and discussion to member and concerned people 	<ul style="list-style-type: none"> ● Weekly meeting with Task Teams ● Monthly meeting with CB Working Group 	Project (CB Working Group)
CB Working Group	<ul style="list-style-type: none"> ● Progress of capacity development activities in each Directorate/Unit ● Progress of Task Team activities 	Report of each CB Working Group member at monthly meeting	Monthly meeting	The Project (CB Advisory Committee)

Source: JICA Project

Table 1.2 Evaluation Framework

Activities	Main Evaluation Targets	Indicators	Verified Resources	Evaluator
Training Course	Trainees' 1. Attendance rate 2. Satisfaction rate 3. Training contents match needs 4. Utilization of the trained skills and knowledge	1. More than 70% of attendance rate 2. More than 80% of satisfaction rate 3. More than 80% of training contents match needs 4. More than 60% of utilization of the trained skills and knowledge	<ul style="list-style-type: none"> ● Feedback sheets filled in by trainees after completion of the training course ● Final reports of Action plans ● Final report of lecturer 	The Project (CB Working Group)
Task Team Activities (post-training Action Plan activities)	<ul style="list-style-type: none"> ● Achievement of project purpose and planned activities ● Incidents (experiences/ lessons learnt) in implementation process 	<ul style="list-style-type: none"> ● To what extent the Project purpose is accomplished ● To what extent they understand the ● How to utilize the obtained knowledge and skills in the daily work ● Lessons learnt and good experiences of Task Team 	<ul style="list-style-type: none"> ● PDM ● Presentation 	The Project CB Working Group DGs
Individual Capacity Development	To what extent trainees have already utilized obtained knowledge and skills in their daily works	<ul style="list-style-type: none"> ● 5 Criteria, which the trainees defined at the 1st year ● Kirkpatrick' 4 measures 	Capacity Assessment Sheet	Individuals (Self-Evaluation)
Organizational Capacity Development	To what extent Task Teams have improved the organizational capacity development	<ul style="list-style-type: none"> ● 5 Criteria, which the trainees defined at the 1st year 	Capacity Assessment Sheet	Groups (Self-Evaluation)

Source: JICA Project

2. Manual

Implementation Process

The Implementation Process has four (4) steps as shown below. The JICA Project team carried out from Step 1 to Step 4 with the CB Working Group members. It should be noted that **“the JICA Project” written in the Manual means not only the JICA Project Team (Japanese experts and the National Consultant) but also CB Working Group members.**

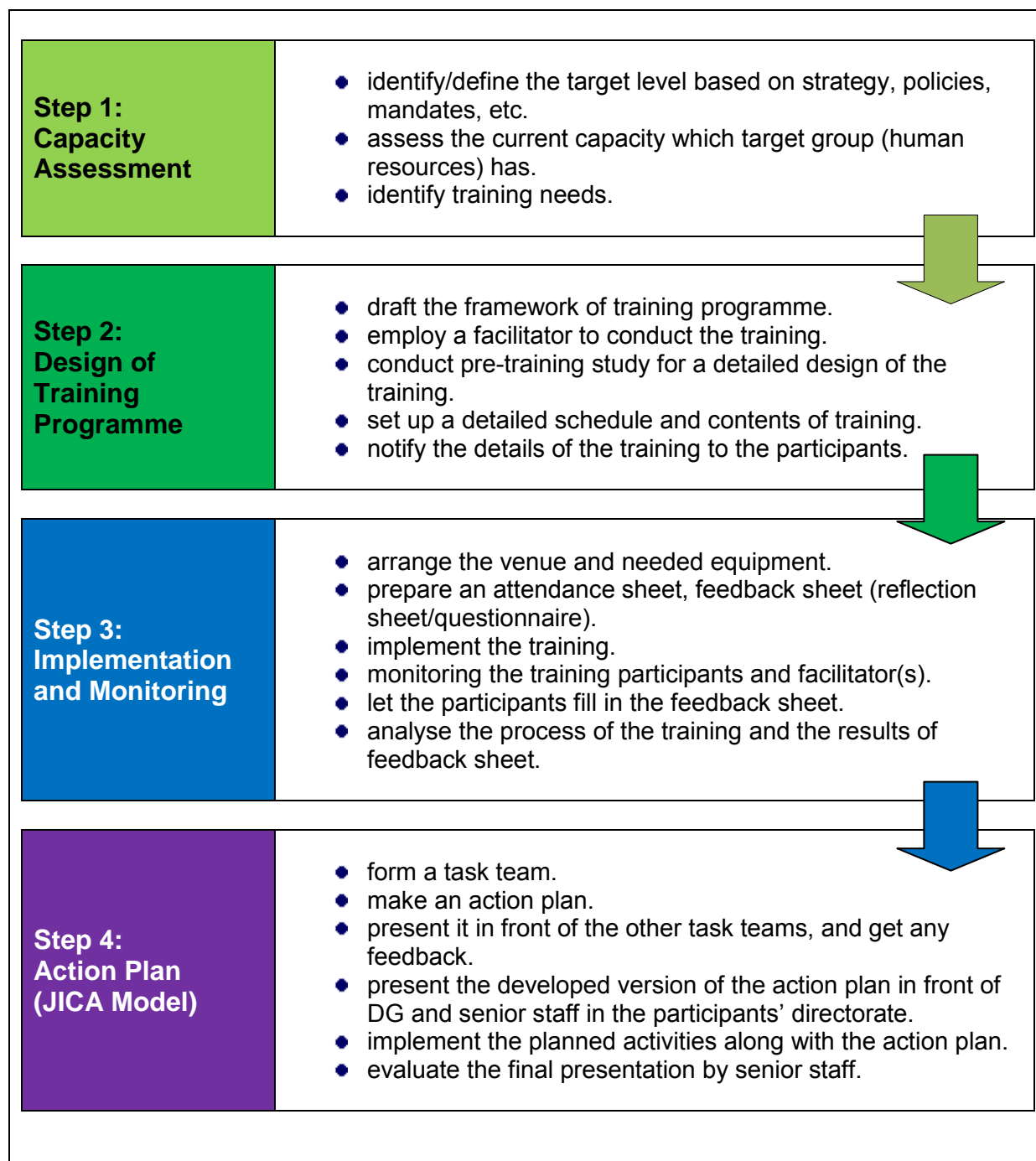


Figure 2.1 Implementation Process (JICA Model)

The next section explains how to take these steps one by one.

STEP 1: Training Needs Analysis and Capacity Assessment

1.1 The Framework of Capacity Development Activities

Firstly, the JICA Project identifies (1) the capacity development needs of the target groups and (2) the level of existing capacity of target group (people) through pre-survey (document survey and interview survey) and “Capacity Assessment”.

The training courses and other capacity development activities have to be designed to satisfy their needs. However, (3) the available resources (financial, physical and human resources) can limit the framework of the activities. It is important that the planner seek better solutions considering the available resources.

In this section, the methodology of training needing analysis and capacity assessment is introduced.

1.2 Procedure of Capacity Assessment

The JICA Project had a Capacity Assessment workshop in each target directorate every year. The workshop had two objectives;

- one was to enhance the participants’ understanding about their directorate’s (or department’s) mandate and about the linkage between the mandate and the job description allocated to them; and
- another was to assess their contribution in terms of knowledge, skill and attitude to the job description/mandate.

The workshop was conducted in participatory manner by a facilitator. Each participant wrote his/her opinion on a card regarding the given theme and presented it on the wall. All participants discussed all the presented cards with the facilitator.

The rules regarding the cards were as follows:

- One sentence per card
- Cards must be completed before the discussion
- All cards are treated equally
- Simple sentences in large writing

[Exercise 1] Confirmation of the Mandate

At the beginning, remind all trainees of the mandate which their directorate/unit has, and confirm the mission of their work.

1. Write your directorates/unit’s mandate on a sheet provided to each of you without referring to any documents.
2. Compare your idea to the mandate which each directorate/unit has, add more mandates if any.
3. Categorize mandates into 3 sections
 - Implementing (ongoing)
 - Need to be implemented (currently not in process)
 - Not in process

[Exercise 2] Stakeholder Analysis

Referring to the mandates of your directorate/unit, write down any kinds of subsections, institutions, individuals, and groups related to the organization.

In general, the stakeholders can be allocated into 5 categories as follows. However, in the JICA Project, the participants analysed 3 categories: beneficiaries (main customer), implementing agency and funding agency. Some stakeholders may appear in several categories.

- **Beneficiaries:** Who obtains the benefits if your directorate accomplishes the mandate? This means that the beneficiaries are the recipients (customers) of your service.
- **Potential Opponents:** Who may lose opportunities/benefits if your directorate accomplishes the mandate?
- **Implementing Agency:** Your directorate has a responsibility for implementing any activities along with the mandate, but sometimes you need partners and/or collaboration with others.
- **Decision-makers:** Which decision-maker has to be concerned if your directorate accomplishes the mandate?
- **Funding Agency:** You have to consider potential financial agencies besides the present funding agencies.

The below figure is the sample case of the JICA Project.

Beneficiaries	<div>Government of Sudan</div> <div>FMoAI</div> <div>SMoAs</div> <div>Staff of FMoAI and SMoAs</div> <div>Farmers</div> <div>Main Customer</div>
Potential Opponents	<div>Different Donor(s)</div>
Implementing Agency	<div>JICA Project Team</div> <div>Counterparts (ICI, PAE, TTE, HSA, TU)</div> <div>Training Institute(s)</div> <div>Facilitator(s)</div>
Decision-makers	<div>JICA Sudan Office</div> <div>JICA HQ</div> <div>Minister for Agricultural and Irrigation</div> <div>Undersecretary of FMoAI</div> <div>DGs</div>
Funding Agency	<div>Government of Japan</div>

Figure 2.2 The Stakeholder Analysis of the JICA Project (Sample)

Additionally, it is recommended to conduct a detailed analysis about the 5 categories because the results of this analysis will show you the right track of capacity development in terms of human resources and organization. The analysis items are:

- Basic information: quantitative information (i.e. the number of beneficiaries and cost),
quantitative information (i.e. working productivity)
- Problems/weaknesses
- Strengths/potentials

[Exercise 3] Definition of the most Important Capacities

Through exercise 1 and 2, you confirmed the mandate of your department/unit and analysed the possible relation between you and stakeholders. Exercise 3 defines the most important 5 capacities to accomplish the mandate.

In exercise 3, the participants specified 5 categories, which they considered the most essential capacities for accomplishing the mandate. Then, a facilitator requested the participants to re-define the listed capacities using verbs.

This is an activity to transfer any conceptual terms into behavioural objectives. Through this activity, people have a common understanding about what each conceptual term means for them. At the same time, the definitions show the participants the ideal activities and/or attitude which they head for.

The table below shows an example about 5 capacities and their definition. The definition can be different from person/group to person/group. That is fine.

Table 2.1 Selected 5 Capacities and the Definition (Sample)

Capacity	Group's Definition of the Capacity	
Management	<ul style="list-style-type: none"> ✓ To motivate people. ✓ Goal-oriented management. ✓ To make a decision at the right time. ✓ Proper position management. 	<ul style="list-style-type: none"> ✓ To delegate responsibilities. ✓ To have good communication. ✓ Learning attitude from mistakes.
Negotiation	<ul style="list-style-type: none"> ✓ To be a good listener. ✓ To enable to define own points. ✓ To show objective data and information. 	<ul style="list-style-type: none"> ✓ To lead a win-win conclusion. ✓ To utilize languages well.
Communication	<ul style="list-style-type: none"> ✓ To enable description of the facts in the right words. ✓ To transfer own idea(s) and feeling(s) properly. ✓ To accept various ideas. 	<ul style="list-style-type: none"> ✓ To be assertive. ✓ To show receptiveness to others.
Monitoring and Evaluation	<ul style="list-style-type: none"> ✓ To establish/improve the system of Monitoring and Evaluation. ✓ To develop M&E tools. 	<ul style="list-style-type: none"> ✓ To utilize the tools properly. ✓ To feedback the results of M&E to an on-going project and/ or the next project.
Team Building	<ul style="list-style-type: none"> ✓ To have "love and respect" for the others. ✓ To be a member having one's own identity. 	<ul style="list-style-type: none"> ✓ To share the recognition of the present situation. ✓ To share the goal. ✓ To share the action plan.

[Exercise 4] Evaluation of the Current Capacity Level

Exercise 4 discusses and evaluates the current capacity level of your directorate/unit in the listed 5 essential capacities.

In exercise 4, regarding the 5 capacities listed in exercise 3, you will assess to what extent your directorate/unit has already satisfied the defined activities and attitude of the 5 capacities at present.

The JICA Project adopts the Kirkpatrick Model as the evaluation of capacity development. According to the Kirkpatrick model, output of capacity development programme can be divided into 4 levels as the figure below.

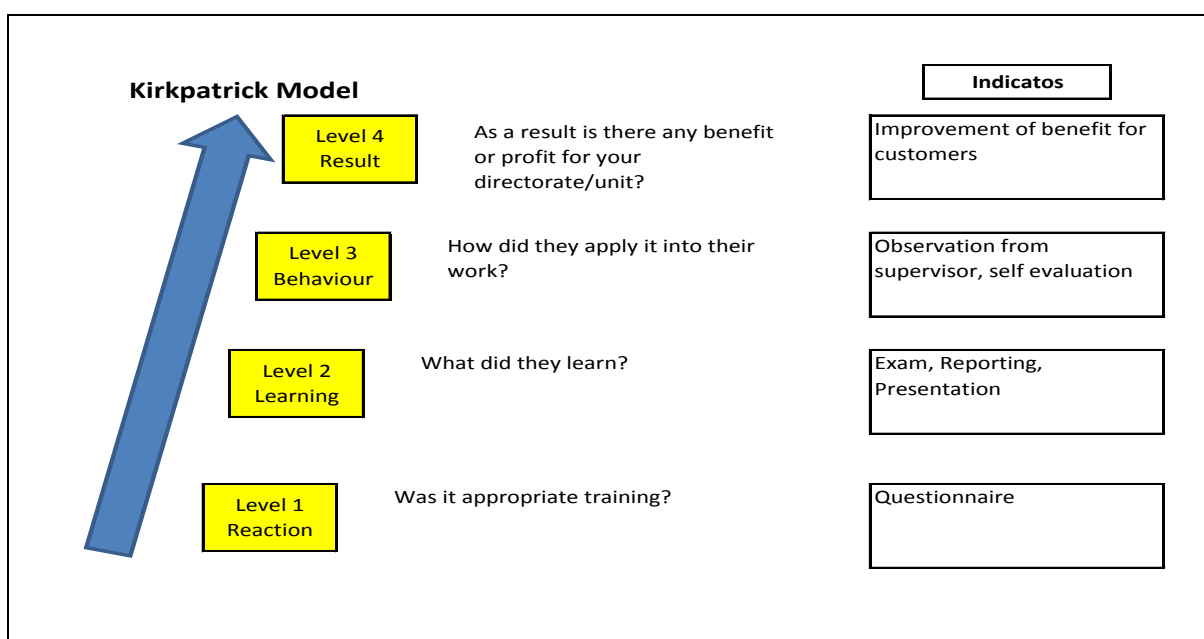


Figure 2.3 Kirkpatrick Model

Base on the Kirkpatrick Model, the JICA Project sets up the 5 assessment grades into capacity development activities.

Table 2.2 JICA Grade and the definition

JICA Grade	The definition	Kirkpatrick Model
5th Grade	To utilize the capacity for project work and make countable positive impact.	Level 4 (Results)
4th Grade	To utilize the capacity for daily work.	Level 3 (Behaviour)
3rd Grade	To have skill and knowledge.	Level 2 (Learning)
2nd Grade	To have interest.	Level 1 (Reaction)
1st Grade	Do not have any interest.	

Participants assess the present capacities of their directorate/unit with the 5 listed capacities in exercise 3 by the JICA Grade system.

[Exercise 5] Capacity Assessment of the Current Individual Capacity and Identification of Training Needs

1. To assess your present level of capacities regarding the 5 listed essential capacities.
2. To record the self-assessment results in your “individual capacity assessment sheet”.
3. To submit the sheet to the JICA Project.

Exercise 5 aims to assess your present capacity, and to specify your weakness (training needs). Three layers (institution, organization and individual) closely link each other under one common mission. In order to accomplish the mission, an institutional arrangement (system) should be established; the organization should set up their mandate within the institutional framework; and then human resources (individual members) accomplish the mission by carrying out their job description.

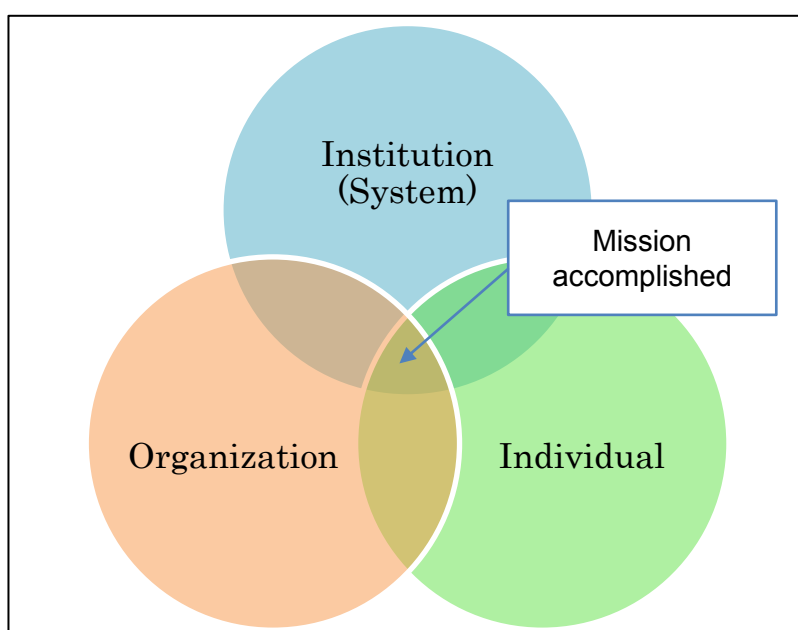


Figure 2.4 Capacity Development and Mission accomplished

Hence, you are expected to contribute to your directorate/unit to accomplish its mandate as a member. How you assess your present capacity means to what extent you have contributed to the goal of your directorate/unit. Thus you assess your present capacity from the 5 essential capacities which were listed in exercise 3. Assessment criteria can be the same tool (i.e. JICA 5 grades) as organizational capacity assessment.

The JICA Project prepared an “individual capacity assessment sheet” as an attachment. It can be used not only for an individual capacity assessment, but also as a needs assessment of training. The contents are as follows:

Table 2.3 The Main Contents of Capacity Assessment Sheet

Section	Main Contents
1	Individual capacity assessment <ul style="list-style-type: none"> ✓ Assess his/her present capacity level by the JICA Grade (1 – 5). ✓ Record the reason for this year’s evaluation comparing to the previous year. ✓ Show the assessment results on a web graph.

2	Priority Capacity Development Areas (Subjects). <ul style="list-style-type: none"> ✓ Identify his/her priority capacity development areas (3 out of the 5 essential capacities). ✓ Write the reasons why he/she chooses the 3 capacities.
3	Preferable types of training and plan of application of learned skills to his/her daily work. <ul style="list-style-type: none"> ✓ List the attended training courses in the previous year. ✓ List preferable types and themes of training in the year. ✓ Express his/her plan on how to apply the learned skills to his/her daily work.
4	His/her idea/plan on how to improve work/organization in 5 years or longer. <ul style="list-style-type: none"> ✓ Write his/her mid-term and long-term visions. ✓ Write his/her idea on how to improve the FMoAI and his/herself.
5	Preferable changes in the Directorate/Unit. <ul style="list-style-type: none"> ✓ Write about his/her preferable change in the directorate/unit. ✓ Write the reason what he/she expects to happen.

Section number 2 asks the participants about their present weak points (Needs Analysis), and then the individual assessment sheet lets them list preferable types and themes of training in the year in section number 3. Also it confirms how the participants would transfer the knowledge and skills obtained in the training into their daily work in order to increase the efficiency and effectiveness of their directorate. Through filling in the individual capacity assessment sheet, the participants can enhance their comprehension of their strengths and weaknesses, and eventually specify the area (capacity) which they hope to develop.

The JICA Project considers that the capacity will never be developed unless each individual recognizes his/her present capacity gap (weakness) by himself/herself. Those who have identified their weaknesses can easily take action to overcome their weaknesses. Training is one of the means to do so. Individuals who have the motivation can utilize their knowledge and skills in their work and assimilate them effectively.

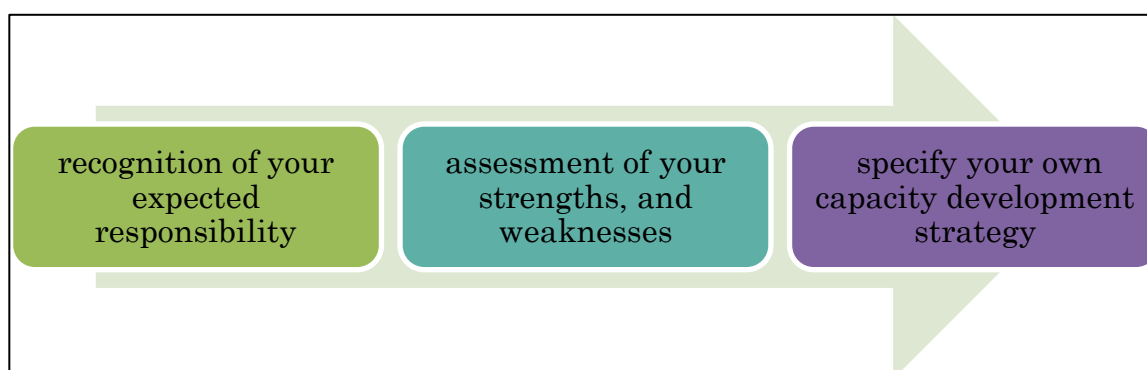


Figure 2.5 Process of Individual Capacity Development

The results of the individual capacity development sheets are entered into a database of the JICA Project for capacity development activities.

STEP 2: Design of Training Themes

2.1 Selection of Training Themes

This step is to design the training programme. Firstly, you will select which training themes are most appropriate.

When you select themes of any training courses (capacity development programmes), three factors should be considered: necessity, priority and appropriateness.

(1) Necessity

“Necessity” of the training is one of the fundamental conditions, but whose necessity should be considered?

- ✓ **Individuals:** You have already identified the target group (expected trainees) needs by the individual capacity assessment sheet. You can select some themes among candidates by means of analysing all individual capacity assessment sheets about the frequency, urgency and/or importance of each theme.
- ✓ **Organizations:** Since the individual capacity development programme has to be linked with the necessity of concerned organizations, as well, you can interview the management of target group about the necessity.

(2) Priority in the agricultural policies and mandate (job description)

“Priority in the agricultural policies and mandate (job description)” is to assess whether the themes are matched with and prioritized in agricultural policies, annual plans, and the mandate of each directorate/unit and the job description of the target group.

Also if you expect some technical transfer and/or budget contributions from any donors, you will consider their priority and/or project framework, as well.

(3) Appropriateness

Lastly, you consider whether the selected themes are appropriate areas as a means to develop the capacity development of the target organization and group.

- ✓ the selection of target organization and target group (trainees)
- ✓ possibility of knowledge sharing (distribution) via the target group

2.2 Establishment of Training Framework

You have decided the training themes, and next, you establish the training framework. The training framework means the main contents (purpose/outcome, outputs, activities and overall goal), period, list of trainees, venue and budget.

In order to establish the training framework, you can utilize the PCM methodology. Based on the results of individual capacity development sheets, you study the details of the capacity gap (development needs).

(1) To break down the factors which consist of training themes

For example, the concept of “management” includes many meanings as the members redefined it by using objective verbs. Thus to improve management means to increase the knowledge and skills for the definitions.

Table 2.4 The Sample of Group's Definition of "Management"

Capacity	Group's Definition of the Capacity	
Management	<ul style="list-style-type: none"> ✓ To motivate people. ✓ Goal-oriented management. ✓ Make decisions at the right time. ✓ Proper position management. 	<ul style="list-style-type: none"> ✓ To delegate responsibilities. ✓ To have good communication. ✓ Learning attitude from mistakes.

"Goal-oriented management" in Table 2.4 is a very effective method for good management, but you know that the "goal-oriented management" requires many basic skills beforehand. For example, if the trainees do not have knowledge on how to establish a "goal", the trainees had better study about planning methods before coming into "goal-oriented management" directly.

So the training planner assesses the existing level (basic, intermediate or advance) of trainees, and designs the training course to be matched with the speed of trainees' comprehensions. The details are in the next section ((2) Annual Plan of Capacity Development).

(2) Annual Plan of Capacity Development

Based on the results of individual capacity development and listening to each other's opinions of the directorates/unit, you assess to what extent the capacity gap of each trainee has. In general, an organization is consisted of staff having different strong and weak points. It is most likely that strong organization has a vision and a concrete capacity development plan, and conducts related activities strategically. As the result of it, such an organization can utilize its human resource efficiently and effectively.

Therefore you had better establish a long-term capacity development goal (7-10 years) and a mid-term capacity development goal (3-5 years). The long-term and mid-term goals should be closely linked with the capacity development priority of FMoAI and SMOAs. However the approach to the goals can be reviewed every year, and revised in the annual plan.

The annual plan includes;

- ✓ training themes and training purpose (expected output) respectively
- ✓ schedule
- ✓ target group (number, qualification, etc.)
- ✓ planned venue
- ✓ budget (cost) for facilitator(s), venue, teaching materials, visual aids, reports, etc.

The annual plan should be submitted to the concerned administration by the due date of next year's plan and budget.

For example, the JICA Project established a 4 year plan of capacity development, and adjusted the activities along with the progress of trainees' activities. The JICA Project had a goal to solve the problems which the participants claimed in the first year while the participants conducted a project ("plan-do-see") by themselves.

(3) Selection of a facilitator (lecturer)

When you have established an annual plan of capacity development, you will assign some persons and/or training institutes as training facilitators. The appropriateness can be assessed by criteria such as: educational background, experiences as a facilitator/a lecturer, expertise of training theme, quality of proposal, reputation and so on.

[BOX 1] Procedure of the JICA Project in employing external facilitators

Selection of Facilitators

The selected themes of the Advanced Training Course are (1) Quality Control, (2) Agriculture Policy Formulation, and (3) Strategic Management. The Project opened applications for course facilitators respectively from the public through newspapers. The process is as shown in table Box1.1.

Box 1.1 Actual Schedule for the selection of facilitators

Timeline	Actions	In charge
16 Apr.	Decide the procedure of selection.	CB working group, JICA Expert, National Consultant.
16-23 Apr.	Prepare TOR of instructors of the 3 training courses to be posted in newspapers.	TU with CB working group.
15-19 May	Classification of TOR in newspapers.	JICA Expert, National Consultant.
By 30 May	Receive proposal papers.	JICA Expert, National Consultant.
1 June	Copies of proposal will be delivered to all WG members with check sheets.	TU with JICA Expert, National Consultant.
17-24 June	Review proposal papers (1st Selection).	TU with CB working group and JICA Expert, National Consultant.
2-5 July	Make 1st selection list for interview. ➤ Interview with candidate instructors.	The Team.
By 21 Aug.	Final Selection. ➤ Review interview results of the week. ➤ Check training venues and facilities. ➤ Discuss training costs.	TU with CB working group and the Team.

In response to the applications, 15 applicants submitted their offers (4 individuals and 11 training institutes). The Project set up selection criteria. The CB working group assessed the applications along with the criteria, and they made a short list of candidates. Then the Team (the Chief Advisor and the National Consultant) interviewed them. Also the Team considered the availability of training venues and the cost. Finally, the facilitators were selected.

2.3 Design of a Training Course

(1) Draft design of training curriculum and type of training

It is assumed that “management” has been selected as one of the training themes. As we have already seen above, the term (management) has been analysed in the Capacity Assessment Workshop as follows.

It means that the management skill of your directorate/unit can be improved when its member (leader and/or staff) enough satisfies with the required activities. That is, **the required activities can equal the main content of training course for “management”**.

Table 2.5 The Required Activities (Sample) Main training content

Capacity	Required Activities	
Management	✓ To motivate people. ✓ Goal-oriented management. ✓ Make decisions at the right time. ✓ Proper position management.	✓ To delegate responsibilities. ✓ To have good communication. ✓ Learning attitude from mistakes.

Table 2.5 shows that the capacity of “management” is to meet the 7 required activities and/or states. You will design the training curriculum and type of training (i.e. lecture, OJT, workshop, sightseeing, presentation and so on) to correspond to them.

Three Aspects of Capacity Development in Designing a Training Course

It is said that capacity development has three different aspects. One is to increase and widen the knowledge about theory, method, system, definition and so on. The second aspect is to develop skills. They include the adoption of new knowledge into practice, technical skills and so on. The last aspect is to change (improve) one’s attitude. The JICA Project focuses on changes in people’s behaviour.

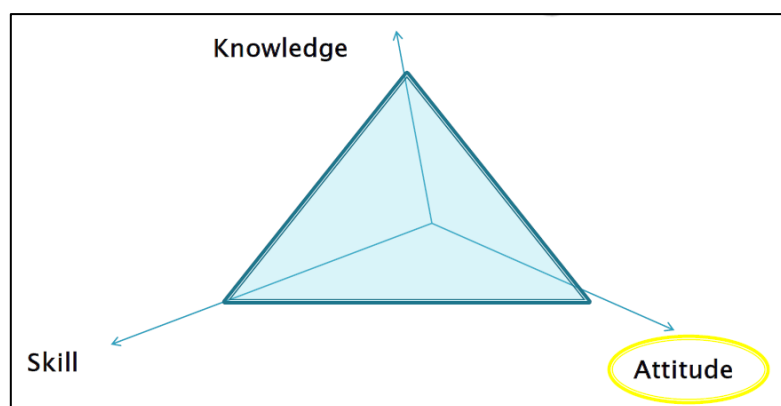


Figure 2.6 Three Aspects of Capacity Development

If you want to increase the knowledge of your target group, in-class training is most suitable. However, it is necessary for skill training and attitude training to be conducted not only in-class training but also through workshops and/or On-the-job-training (OJT) because skills and attitude can only be developed through daily practice.

Table 2.6 Suitable Training Type of respective Aspect (Sample)

Aspect	Required Activities (in a case of “management”)	Training Type (sample)
Knowledge	Goal-oriented management. Position management.	<ul style="list-style-type: none"> ● In-class training about the concept. ● Outline of methodology. ● Comprehension about the system. ● Case studies.
Skill	To motivate people. Make decisions at the right time. To delegate responsibilities.	<ul style="list-style-type: none"> ● In-class training about the concept. ● Workshop (in-class practice).

	To have good communication skills.	<ul style="list-style-type: none"> ● OJT (including implementation of Action Plan).
Attitude	Learning attitude from mistakes.	<ul style="list-style-type: none"> ● In-class training about the concept. ● Workshop (in-class practice). ● OJT (including implementation of Action Plan).

You have to design training courses in consideration with the framework of Aspect, Required Activities and Training Type.

The JICA Project has prioritized that the trainees utilize the obtained knowledge and skills, rather than that they just participate in various training programs. Thus in the JICA training courses and at the end of the training, the trainees are always required to make an action plan and to implement it in their daily work.

(2) Pre-session between facilitators and trainees (for Advance Training Courses)

In the case that you employ some external facilitator, it is most likely that the facilitator does not know about your problems and background. The JICA Project set up a “pre-training interview session” in which the representatives of trainees and a facilitator exchanged their views and/or expectations of the training courses.

The following is an example of a Pre-training Interview Session conducted by the JICA Project.

[BOX 2] Pre-Training Interview Session (JICA Project)

Pre-Training Interview Session

After these facilitators were selected, each of them had interview sessions with the representatives of the target Directorate as shown Box 2.1. The purpose of the interview session was to enhance the understanding of the facilitators about the needs of the trainees and the expectation of senior management staff to the training.

The CB working group has taken responsibility for the selection and arrangement/coordination for the pre-training interview session.

Box 2.1 Actual Schedule of pre-training interview session & training

Timeline	Actions	In Charge
28 Aug	Preparation of the pre-training interview session.	CB working group, The Team.
Aug - Sep	Pre-training interview session with instructors and trainees. <ul style="list-style-type: none"> ● 30 Aug: QC facilitator with HSA. ● 2 Sep: QC facilitator with TTE. ● 3 Sep: Policy Formulation facilitator with PAE. ● 3 Sep: Strategic Management with PAE. 	Facilitators, The Team, Participants, Senior staffs.
Aug - Sep	Preparation of the in-class training (Programme, materials, facilities, venues, etc.).	Facilitators, The Team.
Sep-	Starting in-class training. <ul style="list-style-type: none"> ● At the end of the in-class training, trainees complete making action plans. 	Facilitators, Trainees.
Oct-Jan	Group of trainees implement activities on the formulated action plan.	Trainees, Instructors, CB working group.

STEP 3: Implementation and Monitoring (Supervision)

In steps 1 and 2, you have already decided a) training themes, b) training content, and c) facilitator(s) (lecturers). From now on, you come into the implementation stage.

3.1 Preparation

Before starting any training courses, some preparation is needed as follows:

(1) Venue

You have to confirm the training venue. Confirm that the venue is the appropriate size and has the available facilities (desks and chairs, whiteboard (flip-chart), audio-equipment, and others). You need to confirm the availability of the room, make a reservation and form a contract.

(2) Schedule (time table) and agenda

You set up the training schedule (time table) in cooperation with the facilitator(s).

(3) Notification to Participants

After deciding the venue and training schedule, you send an invitation letter and the details of the training to the participants.

The profiles of the trainees are entered into the database.

(4) Printed handouts

Handouts are useful for trainees to understand the main points of the lecture and/or to review them. It is recommended for facilitator(s) to prepare any handouts for training beforehand.

Please receive the handouts from the facilitators, and prepare the appropriate numbers.

(5) Required equipment

It is recommended that visual aids are in working order before the training begins. Also the preparation of other goods (marker pens, flipcharts, Post It notes, notebooks, Scotch tape, scissors, staplers and so on) one day before the training.

The JICA Project has produced a feedback sheet. It aims to assess the reaction of the trainees after the training, and to reflect on the comments for the next training.

(6) Demarcation of work

All members of your team confirm the work which was allocated to each member again.

3.2 Implementation

(1) Opening Session

You may ask suitable person(s) to have opening remarks if necessary.

Then you introduce the facilitator(s) to trainees.

An orientation (briefing) about the training is given to the trainees about:

- ✓ the purpose of the training
- ✓ curriculum and time schedule
- ✓ usage of venue
- ✓ strong commitment to the course work
- ✓ any other business

(2) Supervision

You observe the lecture, and monitor the progress. If you notice some problems or difficulties which the trainees might have during the explanation from the lecturer, you advise the facilitator(s) during a break to give further explanations. This is because it is highly likely that an external facilitator will understand the background (educational level, daily work, usage of technical terms, etc.) of the trainees.

“Time management” is also one of your important responsibilities.

In order to improve the quality of training, “recording” is crucial. You should record comments and/or requests from the trainees and facilitator(s) through conversations with them, and also the recording of photos and/or video.

(3) Closing

The facilitator(s) review and summarize every session, and comment on the work/effort of the trainees during the training.

You may ask suitable persons to offer the closing remarks.

At the end of the closing session, you ask the trainees to fill-in a feedback sheet and to submit it to you. The result should be entered into the database.

Also you remind all participants the necessity and importance to utilize knowledge and skill acquired in the training in the daily work.

3.3 Reporting

You are requested to make a report at the end of the training. The report has to mention, for example;

- Background of training courses, to mention the reason why the training was conducted. E.g. Individual Capacity Assessment Sheet: Large number of requests from trainees.
- Overview of training courses.
 - Framework of training.
 - Facilitator(s) and the reason why he/she/they was (a) facilitator(s).
 - Curriculum and time table.
- Process (results of monitoring).
- Results of feedback sheet.
- Your comment on the training.
- Lessons learnt from the training.

STEP 4: Action Plan (JICA Model)

JICA capacity development activities aim that every trainee can internalize the obtained knowledge and skills into his/her mind.

You must remember the “Kirkpatrick Model” (see Figure 2.7).

Level 1 (Reaction) means what the training participants (trainees) thought about the training. Some trainees become interested in the training theme after the training, and others may lose interest.

Level 2 (Learning) means what and to what extent did they learn from the training. Up to level 2, the trainees do not have the practical experience through their work; they only have the knowledge (concept).

Level 3 (Behaviour) means that trainees have changed their behaviour in their daily work (and life) from what they have learnt in the training.

Level 4 (Result) means that trainees have produced benefits (profits) for their Directorate/Unit using the obtained knowledge and skills.

The JICA Project aims that the trainees can reach to **level 4** based on the knowledge and skills with which the Project provides. In order to reach to it, trainees have to practise the obtained knowledge and skills in their work. However, it is not always possible for the trainees to do so.

Thus the JICA Project conducts on-the-job-training (OJT) through the implementation of an action plan.

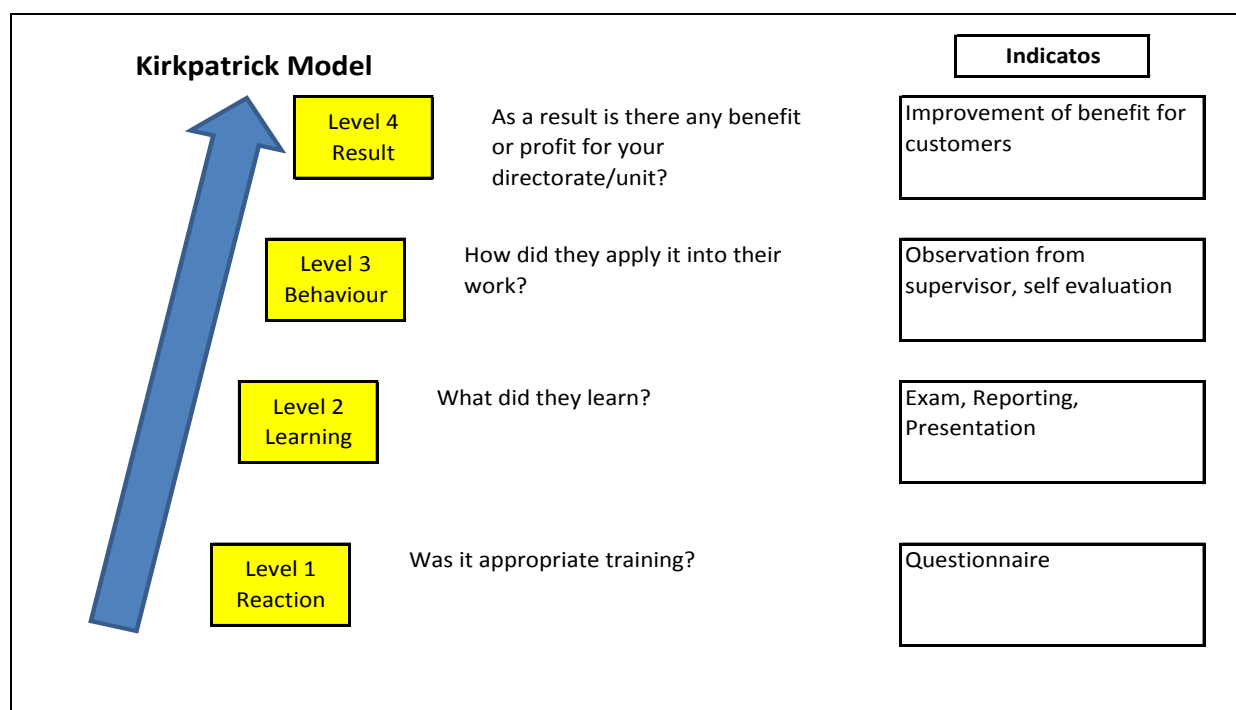


Figure 2.7 Kirkpatrick Model

4.1 Making an Action Plan

Trainees learn the concept, the meaning, the usage and/or good examples of methodologies in classroom training. Then they make an action plan of what they have adopted in their learning. For planning, they can use the Project Cycle Management (PCM) methodology. The procedure of PCM is referred to the PCM Textbook written by the FASID¹.

[Exercise 1] Group Formation

The facilitator divides the trainees into groups (Task Teams) of about 5-10 people. It would be better to group the trainees from the same directorate/unit together.

The lessons learnt of the JICA Project show that the Task Team whose members come from the same directorate/unit has merits as follows in implementing an Action Plan:

- integrating their awareness of the problems in their work into one action plan
- sharing information among the Task Team members
- arousing teamwork among the Task Team members
- increasing responsibility and identity to their directorate/unit
- increasing commitment to the Action Plan activities

[Exercise 2] List the Problems

The members brainstorm a list of their problems in their daily work and give a rank with them (rating). The problem at the first rating is to be the “Core Problem”.

The theme of the action plan has to be chosen from the problems/challenges within their daily work because all the training aims to improve the efficiency and effectiveness of their work.

[BOX 3] Importance of Capacity Development Plan

At the beginning of the project, the JICA Project recognized the capacity gap between the expected capacity and existing capacity of the target group. Also the working environment of the target group was not always cooperative to optimize their capabilities.

Then the JICA Project set up a 4 year capacity development plan to accumulate the capacities of the target group year by year. Therefore training about PCM, leadership, communication, team building and other management concepts were provided to the trainees as basic training in the 1st and 2nd years.

It is important to consider what and how to develop the capacity of your target group, and to make a mid-term plan and a long-term plan. An Annual Plan should also be considered as well.

[Exercise 3] Stakeholder Analysis

The Task Team member analyse who are the stakeholders and in which they have a stake in the theme: to be beneficiaries, potential opponents, implementing agency, decision-makers and/or funding agency.

¹ The Foundation for Advanced Studies on International Development, Tokyo, Japan

Based on the result of the analysis, the Task Team members consider what kinds of services the beneficiaries expect, whose negative intervention should be controlled, who can support their activities, how to persuade the decision-makers and so on.

[Exercise 4] Problem Analysis

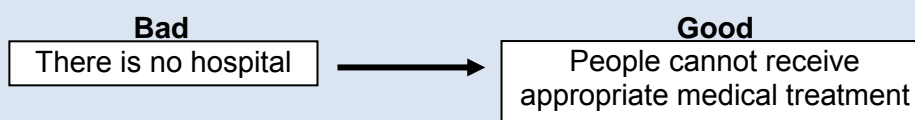
The Problem Analysis starts from the Core Problem. The Task Team members sort out existing problems derived from the Core Problem by applying the relationship of “Cause and Effect”. The cards developed both upward (cause) and downward (effect) like growing a Tree.

The procedure of the Problem Analysis is as follows:

1. Identify a Core Problem (theme) and write it down on a card.
2. Write Direct Causes of the Core Problem (Direct Cause) on cards and put them below the Core Problem card in a horizontal line.
3. Discuss the appropriateness of the cards in regard to their contents as well as their locations. Discuss whether there are additional causes as well. Then finalize cards to be Direct Causes.
4. Write the Secondary Causes for each “Direct Cause” on cards, and put them below corresponding Direct Cause cards in a horizontal line. Then finalize them.
5. Repeat these procedures for the next set of causes. It will develop the tree as you work downward.
6. The space above the Core Problem is for effects caused by the Core Problem. Write the Direct Effects of the Core Problem (Direct Effects) on cards and put them above the Core Problem in a horizontal line.
7. Discuss the appropriateness of the cards in regards to their contents as well as their locations. Discuss whether there are additional effects as well. Then finalize cards to be Direct Effects.
8. Write the Secondary Effects for each “Direct Effect”, on the cards, and put them above their corresponding Direct Effect cards, and develop the tree upward with careful consideration.
9. Confirm that the scope of the Core Problem is appropriate in relation with other cards, problems/weaknesses identified in Stakeholders Analysis, and expected Action Plan (project) framework. Then, draw lines to connect cards to complete the tree.

Rules for Problem Cards

- Write the fact.
- Write the problem in a negative manner.
- Write one problem per card.
- Describe the problem in a complete sentence.
- Avoid writing “We do not have...” or “There is no...” Describe the conditions resulting from the lack of resources or the absence of particular solutions.



- Do not include both the cause and the effect of a problem on one card.

[Exercise 5] Objective Analysis and Selection of Action Plan (Project)

Objective analysis like the problem analysis is to develop an analytical tree by clarifying relationships between the desired situations by solving problems and the means that lead to the situations in the form of “Means-Ends” relation.

Selection of Action Plan (Project) is a process of selecting specific project from the objectives and means which are derived from the Objective Analysis. It is conducted on the use of selection criteria.

The Objective Tree includes all means necessary to achieve the Core Objective. However, in actual projects, there are many constraints, such as those related to inputs and schedule. It is normal that not all means shown on the tree can be implemented as part of a single project. Therefore, it is necessary to formulate a project from part of the tree.

(1) Objective Analysis

An Objective Tree is drawn by transforming problem cards of “Cause-Effect” relation into positive objective cards of “Means-Results” relation. Do not simply rewrite negative statements into positive statements. Discuss whether the statement is a truly desirable situation as well as its feasibility.

Conduct the analysis by ensuring the cards right below the objective card cover every means necessary to achieve objectives. When there are insufficient means, add any necessary means.

In forming the lower part of the Objective Tree, add cards up to the level at which major activities can be imagined to be implemented by a project. An insufficient downward development of the Tree causes some difficulties to choose a project.

The procedure of Objective Analysis is as follows:

1. Identify the Core Objective. All objective cards should be in sentences to describe desired situations.
2. Write the potential Direct Means for the Core Objective (Direct Means) on cards and put them below the Core Objective in a horizontal line.
3. Discuss the appropriateness of the content of and the location of the cards, and whether there are additional causes. Then finalize the cards to use as Direct Means.
4. Write the potential Secondary Means for each Direct Means on cards and put them below each card of Direct Means in a horizontal line.
5. Repeat these procedures for the next set of means. It should broaden the tree as you work downward.
6. The space above the Core Objective is for Direct Objectives of the Core Objective. Write the potential Direct Objectives of the Core Objective (Direct Objectives) on cards and put them above the Core Objective in a horizontal line.
7. Discuss the appropriateness of the content as well as the placement of the cards, and whether there are additional objectives. Then finalize the cards to use as Direct Objectives.
8. Determine the Secondary Objectives for each Direct Objective. Write them down on cards and put them above each Direct Objective card in a horizontal line. Then your way upward as with point 7.
9. Confirm that the Means-Results relationships among cards are appropriate and that there are no means or results missing in each level. Then, after reviewing points to keep in mind (shown below), complete the tree by connecting the cards with lines.

The Task Team members had better consider whether the Action Plan can anticipate any negative effects through the implementation.

(2) Selection of Action Plan (Project)

The Objective Tree usually has several branches. The cards on one branch show the “Means-Results” relation, tying the card from the lowest card(s) to upwards. The branch of cards is called an Approach. An Approach can be consisted of two or more branches, and also some approaches are combined into a larger Approach. The Process of Action Plan selection starts by identifying these Approaches.

The method of selection is as follows:

1. Reconfirm the expected project framework in terms of its budget and duration (constraints of the FMoAI/SMoAs or their directorate/unit).
2. Circle Approaches on the Objectives Tree. Give each circled Approach a name to indicate its objective.
3. Summarize and confirm the basic points of each Approach (target groups and the number of Task Team members; the target area; the details of principal activities and their main actors; the types and amounts of materials and facilities, etc.)
4. Utilize the “Selection Criteria”, compare each approach by considering the following factors.

Table 2.7 Sample of Selection Criteria and the Considering Factors respectively

Sample of selection criteria	Considering factors
Target Group	<ul style="list-style-type: none"> In terms of size, impacts, demands and urgency, is the tentative target group appropriately chosen?
Target Area	<ul style="list-style-type: none"> In terms of size, impacts, demands and urgency, is the tentative target area appropriately chosen?
Possible Input	<ul style="list-style-type: none"> How much human resources, materials and funds for your action plan can be expected to have? Which is the most efficient way to use of possible input for implementing the objective of the approach?
Needs (Demands)	<ul style="list-style-type: none"> Does the objective of the approach meet the needs of the target group? Does the objective of the approach meet the stakeholders' needs?
Policy Priority	<ul style="list-style-type: none"> Is the approach relevant to development policies of their directorate/unit? Is the approach relevant to development policies of the FMoAI and/or SMoAs
Possible negative impacts	<ul style="list-style-type: none"> Is there any possible negative impact? If yes, can any measures be taken to remove or minimize such impact?
Achievement of the Objective	<ul style="list-style-type: none"> Can the objective of the approach (the card in the highest position) be achieved under the current framework and constraints?
Sustainability of the Objective	<ul style="list-style-type: none"> Does the action plan use any material/equipment whose maintenance is not locally available? Is there enough time to train personnel to take over the activity when the action plan ends? Are the trained people likely to remain with the directorate/unit after the project ends? Is there any concern to be addressed about its sustainability from the perspective of the cross-cutting issues?

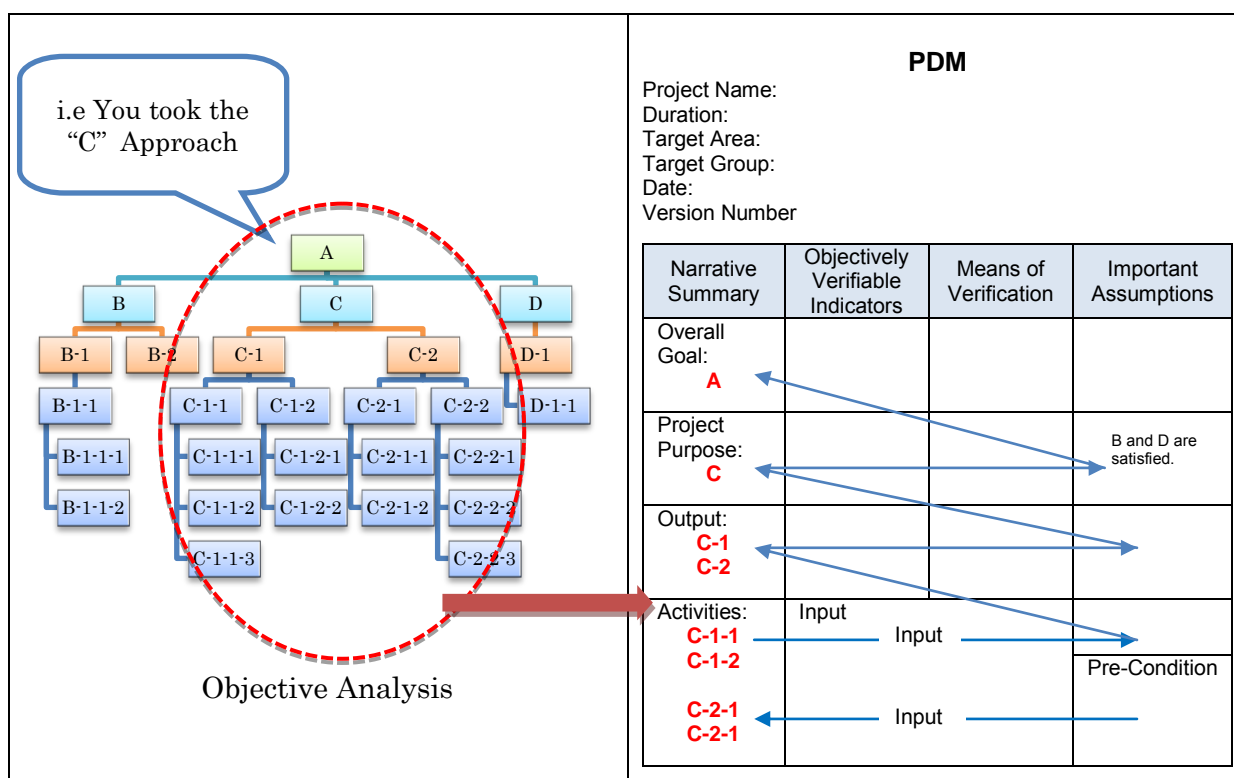
These are example of Selection Criteria. They should be modified according to specific needs and circumstances of each action plan.

5. If negative factors are found, consider altering the Approach and use a card to show that it requires further investigation.
6. Select one Approach to be developed into a project.

A target group tentatively selected in the Stakeholder Analysis may be changed as a result of discussion in the Project Selection stage.

[Exercise 6] Making a Project Design Matrix (PDM)

The Task Team fill in the each column on the PDM. The elements can be derived from the approach, which is chosen during the Project Selection.



Identifying information in the Upper Margin

The Task Team firstly write the name of the project, duration, target area, target group, date and PDM version in the Upper Margin of the PDM.

Project Purpose (C)

The Project Purpose is the objective which the Task Team has to achieve by the end of their implementation period. Basically, the objective card positioning at the top of the selected approach is normally a candidate of the Project Purpose.

However, if the Task Team found any missing means-ends relation in the Project Selection process, the top card has to be rewritten.

Overall Goal (A)

The Overall Goal is a development effect (i.e. positive impact) of the Project (action plan) which will come up in 3-5 years after the end of the Project. That is also saying that the Overall Goal is the future direction of the Project.

Thus normally the Overall Goal is only one. If you establish multiple Overall Goals, it is necessary to carefully consider whether the project directions are contradictory, or whether the Project Purpose can have impacts on all of the Overall Goals.

The Overall Goal is selected from cards positioned one level above the Project Purpose card.

Output (C-1 C-2)

Output is a group of intermediate goals for reaching to the Project Purpose. Output indicates how the Task Team achieves the Project Purpose.

Output cards can be selected from the cards positioned below the Project Purpose card. Even if the cards are further below than this level, the cards can be Output as long as they require many Activities to achieve what the card says.

Task Teams should be careful not to re-phrase the Project Purpose as the Output. If the Output cards have a sequential relation, Task Team will arrange them in order of time.

Activities (C-1-1 C-1-2 C-2-1 C-2-2)

Activities are specific actions intended to produce the Output, using planned input maximally. A project usually involves various Activities, including project management, monitoring, and information collection. Yet only major Activities are on the Narrative Summary of the PDM.

As illustrated below, Activities cards are sorted into the respective Output element and the sequential order.

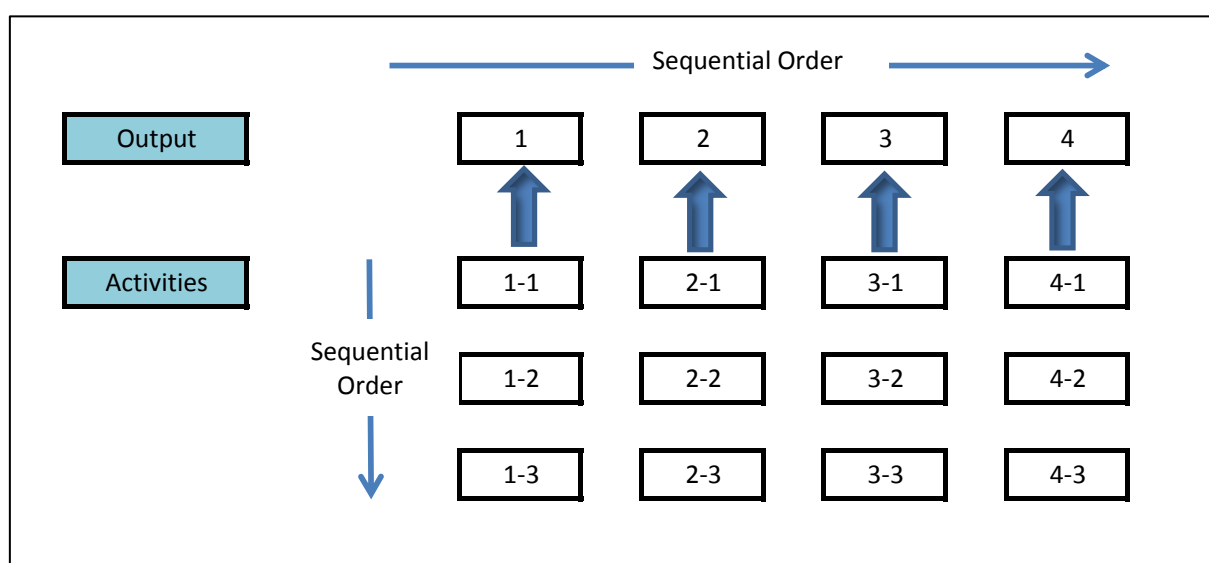


Figure 2.8 Relation between Output elements and the Activities

Important Assumptions

Important Assumptions are conditions that (i) are important for the success of a project (action plan), (ii) but uncontrollable within the project, and (iii) there is uncertainty about their fulfilment. They are conditions necessary for achieving an objective in the upper column after implementing activities or achieving objectives specified for each component of the Narrative Summary from the Activities to the Overall Goal.

Important Assumptions are positive and negative factors influencing the performance of Activities and the achievement of objectives: for example, changes of economy (price/distribution), policy/regulation, environment, socio-cultural, human resources, and others. Therefore they should be monitored during the project's implementation period.

In identifying Important Assumptions, it is useful to check the objective cards which are not included in the selected approach in the Objective Tree; i.e. unselected objective cards.

Objectively Verifiable Indicators

Objective Verifiable Indicators mean the expected results by achieving for Output, Project Purpose and Overall Goal, showing the qualified value or degree of the target. Thus they can be used to monitor project status (progress and/or stagnation).

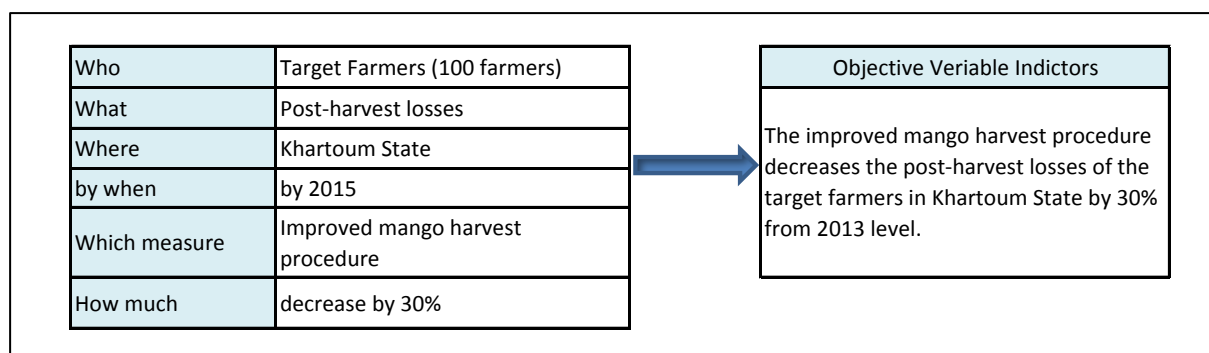


Figure 2.9 Example of Objective Verifiable Indicators

The indicators always include **5W1H elements**: who, what, where, by when, which measures and how much/many increase/improve. Figure 2.9 shows an example.

If there are any changes in the elements in the Narrative Summary, the corresponding indicators may need to be modified.

Since Output, Project Purpose and Overall Goal have “Means-Ends” relationship each other, it is logically impossible that the Project Purpose and Output, for instance, have the same indicator(s).

Means of Verification

Means of Verification refer to the source of data for Objectively Verifiable Indicators: i.e. statistics, reports and recorded data. They indicate from where or who the data is to be obtained, a type of document, methods for obtaining it, and so on.

In selecting data sources, you have to be careful (i) the credibility of the data (data sources and the methods of study), and (ii) availability of data collection (cost and accessibility).

The Procedure to fill in Objectively Verifiable Indicators and Means of Verification is as follows:

1. Think about data that will accurately reflect the status of Overall Goal, Project Purpose and Output while being objectively verifiable to the degree of their achievement.
2. Each indicator includes the 5W1H elements.
3. Consider the credibility of data sources, accessibility of data, and cost. Then decide on a Means of Verification for Objectively Verifiable Indicators.

4. When data source do not exist, add a project's activity for collecting data.

Input

Input column shows the inventory of all human resources, facilities, equipment and fund necessary for the entire project.

It notes that the JICA Project has promoted the "Zero Cost" management in implementing the Action Plan because the JICA Project expected the trainees not to establish a new project, but to practice their obtained knowledge and skills within their daily work through implementing action plan.

Pre-conditions

Pre-conditions are requirements that should be fulfilled before the project begins like supplying input, termination of application process, signed the formal agreement on the project implementation and so on.

[Exercise 7] Making a Plan of Operation (Action Plan)

Based on the PDM, the Task Team makes a Plan of Operation.

The Plan of Operation (PO) shows project details, such as the expected results, the schedule, people in charge, parties responsible for implementation, necessary resources and equipment, and costs for each activity of the Action Plan.

PO is an effective tool for project implementation and management, and serves as the basis for monitoring and evaluation of the project. The format and time-frame vary with the project.

4.2 Implementing the Action Plan (Monitoring and Supervision)

It is requested the Task Team members present their action plan to their DG and senior staff. This means not only sharing the knowledge of the trainings to other staff in their Directorate/Unit, but also to get support from them to the implementation of action plan.

You should monitor the Task Team activities daily and/or weekly, and supervise them through consultation and/or technical advice.

The monitoring points are as follows:

- ✓ progress and/or delay based on the plan of operation (action plan)
- ✓ team building and cooperation
- ✓ good leadership
- ✓ people's motivation and/or commitment
- ✓ problems

4.3 Final Report, Presentation and Evaluation

At the end of the action plan period, you request the Task Teams to make a final report and present the main elements to the appraisers: i.e. the DG, senior staff and other staff of the directorate/unit and working group member from other directorates/unit.

The main contents of the final report and presentation should be:

- ✓ background (reason) of the action plan
- ✓ framework of the action plan: problem and objective analysis, selection of approach, PDM and PO (action plan)

- ✓ the progress of each activity
- ✓ the obtained output
- ✓ lessons learnt and recommendations for the next plan
- ✓ conclusion
- ✓ visual aids (video and photos of their activities)

The appraisers examine the performance (various efforts) of the Task Team in implementing the action plan, and assess to what extent the Task Team achieved their Project Purpose from the perspective of the five evaluation criteria: Relevance, Effectiveness, Efficiency, Impacts and Sustainability. These criteria have been put forward by the Development Assistance Committee (DAC) of the Organization for Economic Cooperation and Development (OECD).

Table 2.8 DAC 5 Evaluation Criteria

Criteria	Perspectives	
	General	Action Plan (The JICA Project)
Relevance	This is used to check whether the Project Purpose and Overall Goals meet requirements of development policies and needs of beneficiaries.	<ul style="list-style-type: none"> • Does the action plan meet the mandate and the priority of directorate/unit? • Does the action plan utilize the obtained knowledge and skills in the class?
Effectiveness	Effectiveness is checked through an evaluation of the prospects for achieving the Project Purpose. It needs to verify that the Project Purpose is expected to be achieved by the achievement of Outputs. Other issues, such as analysis of Important Assumptions is appropriate and additional Outputs are necessary to achieve the Project Purpose, are also examined.	<p>To what extent has the project purpose of the action plan been achieved by the end of the project period?</p> <ul style="list-style-type: none"> • Were all Output indicators satisfied? • Were all Project Purpose indicators satisfied? <p>If not satisfied, what impeded their achievement?</p>
Efficiency	Examine whether Input is effectively utilized, and Output is achieved in terms of the quality, quantity and timing of Input. Check whether there is any wasteful Input, which can be replaced with less-expensive input and/or any other locally affordable input and activity.	<ul style="list-style-type: none"> • Was the action plan the most efficient approach due to achieve the Project Purpose in terms of human resource, duration and cost? • Were the expected input done in appropriate quality, quantity and timing?
Impacts	Impacts are assessed by anticipating effects that project implementation will have on the target society. Achievement of the Overall Goal is the initial consideration. It is checked whether there are negative impacts in addition to positive ones, whether any measures can be taken to prevent the negative impacts, and whether such measures can be incorporated in the project plan in advance.	<ul style="list-style-type: none"> • What were revealed positive/negative impacts? • How did the Task Team control the negative impacts?

Sustainability	<p>Sustainability is checked by examining whether the benefits of the project will continue after it is completed, with particular attention paid to the self-sufficiency of the project. The sustainability is considered from political, technical, environmental, socio-cultural, organizational/operational, and economic-financial perspectives. When there are concerns about the sustainability, related Outputs, Activities, and Important Assumptions within the PDM are reconsidered in order to improve sustainability. It is necessary to verify that local people will be able to continue the activities and output as consequences of the project, even after the project has ended.</p>	<ul style="list-style-type: none"> • Did the Task Team take any actions to sustain the benefits of the project?
----------------	---	--

In addition to them, the JICA Project compiled the experiences which Task Teams and Working Group members have made: i.e. challenges and lessons learnt. These experiences can be useful when the next Task Team members develop their action plan.

Appendix

"CAPACITY BUILDING PROJECT FOR THE IMPLEMENTATION OF THE EXECUTIVE PROGRAMME FOR THE AGRICULTURAL REVIVAL"

CAPACITY DEVELOPMENT WORKING GROUP (WG)

TERMS OF REFERENCE (JUNE 2010) DRAFT

1.0 BACKGROUND

"Preparatory Study on Support to Agricultural Development in Sudan" has been carried out in two phases since 2009, to propose an overall framework of JICA's cooperation in the agricultural sector in Sudan. The first study was conducted from April to May 2009, identifying three key areas for JICA's cooperation for the development of agricultural sector in Sudan:

Reflecting analysis, **"Capacity Building Project for the Implementation of the Executive Programme for the Agricultural Revival"** (hereinafter "the project") was officially requested by the Ministry of Agriculture and Forestry to the Government of Japan in June 2009.

The second study was conducted from July to August 2009 to study further on the three key areas so as to assess the possibility of cooperation within the framework of the proposed project. Finally, the project started in March 2010 after amendment of outputs as follow;

1. A model system of human resource development in the Ministry of Agriculture and Forestry is established.
2. Technical Package of rice production is developed.
3. Action plan is formulated for improvement of agro-pastoral productivity in Kassala state).
4. Capacity of the Ministry of Agriculture and Forestry and the organizations concerned on Project Cycle Management is enhanced through the implementation process of the output 1-3

Important elements of Capacity Building are ownership and leadership of the Ministry of Agriculture and Forestry. In order to strengthen partnership between MoAF and JICA project, and to enhance effectiveness of training and secure action learning process in different directorates/ units, Capacity Building Working Group is to be established within the terms of reference.

2.0 PURPOSE OF THE WG

As written in 1.0 Background, this WG aims to achieve following output;

1. Human and institutional capacity development of the Ministry of Agriculture and Forestry

WG undertakes to initiate coordination all stages of the capacity development related activities. Also it has a role of consultancy body to determine direction of the activities within Capacity Development Component, including (but not limited to) the following.

- alignment with the Executive Programme for the Agricultural Revival
- sustainability (hand over activities to Training Unit and scaling up after the Project ends)
- share of good practice/ lesson learnt among WG members

3.0 WHAT WORKING GROUP DOES

The WG will perform the following functions:

- Sharing concept ideas and framework of the capacity building component, verifying results of capacity/needs assessment, training plan and consulting selection of participants in the preliminary stage.
- Enforcement of training skill and knowledge applied into actual work and OJT (On the job training) conducted during the implementation stage.
- Extracting lesson learned and reflecting into following training plan after evaluation.
- Strengthen the effectiveness of Capacity Development activities through collaborating dialogue, joint implementation and evaluation within MoAF.

4.0 ORGANIZATION OF THE Working Group

4.1 Membership

WG is open to Capacity Building Component related directorates and Units of the Ministry of Agriculture and Forestry. Current members of WG are as follows

- Horticulture Sector Coordination Unit
- Information and General Relation Unit
- Technology Transfer and Extension Directorate
- International Cooperation and Investment Directorate
- Planning and Agricultural Economic Directorate
- Training Unit (as Secretariat)
- JICA project experts

4.2 Behavioral principles

Discussions will take place in the context of mutual respect, and under the principle of accountability for statements and actions.

Conflicts will be resolved through dialogue and discussion.

4.3 Meeting schedule

WG will meet on not periodically. During the period of training formulation, verification meeting in each process will be frequently required. Once training starts working group is called less frequent when necessity arises.

5.0 Validity of ToR

The ToR will be reviewed upon its necessity.

(END)

Organizational Capacity Assessment Sheet

Date: / /

Directorate/Unit: Horticultural Sector Administration (Group from FY2011)

Department:

Position:

Name:

	Target Skills (Capacity)	Definition of Target Skills	Score (Self Evaluation)	Why did you give yourself the score?
1	Managerial Skill	To make decision To have good leadership		
2	Communication Skill	To know report writing To have English language skill To know how to communicate with others		
3	Planning Skill	To formulating plans To conduct monitoring and evaluation		
4	IT Skill	To be able to analyze in computers To know maintenance To have knowledge of network		
5	Team Work	To be able to cooperate To conduct coordination		

Level	Criteria to evaluate your capacity
5	To Utilize the capacity for project work and make countable positive impact
4	To Utilized the capacity for daily working
3	To have skill and knowledge
2	To have interest
1	Do not have any interest

Individual Capacity Assessment Sheet

Date: / /

Directorate/Unit: ()

Department: ()

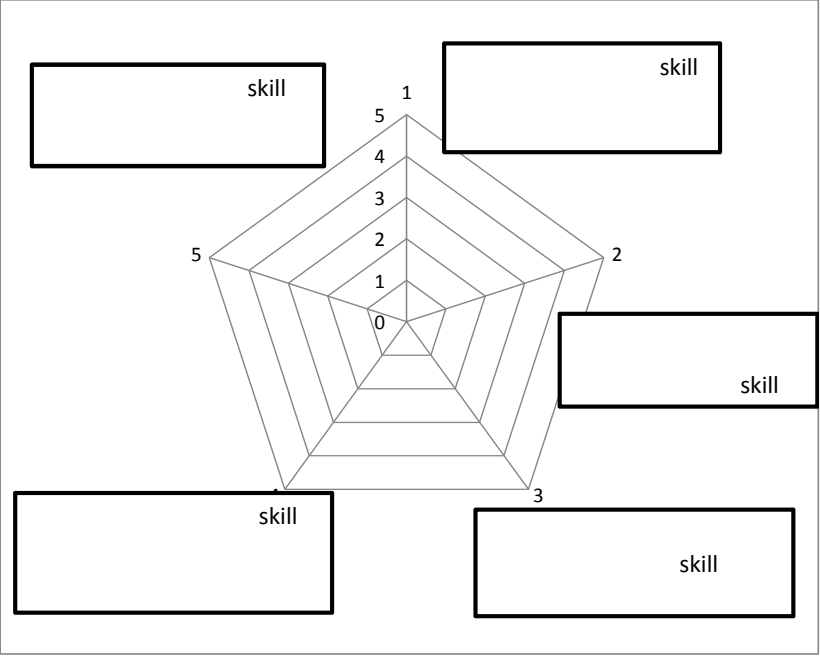
Position: ()

Name:()

1. Individual capacity assessment

Fill in score from 1 to 5

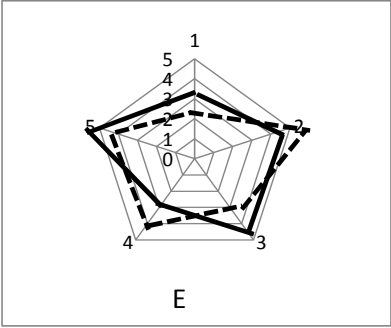
	Capacity Skill	Self Evaluation		Reason for this year's evaluation compare to last year
		year 1	year 2	
1				
2				
3				
4				
5				



Your skill of (previous year)

Your Skill of (present)

Level	Criteria to evaluate your capacity
5	To Utilize the capacity for project work and make countable positive impact
4	To Utilized the capacity for daily working
3	To have skill and knowledge
2	To have interest
1	Do not have any interest



2. Please, prioritize your 3 required capacities out of 5 raised in section 1. ,based on your job description.

Prio- rity	Capacity	Reason
1		
2		
3		

3. If you have a opportunity to attend a training, what kind of training is the best way to improve your capacity. Please consider based on your mandate and required skill. And describe how are you going to utilize the skill and knowledge into your daily work ? Please raise 3 of them.

	Training course attended in (year)?	Training you are willing to attend in (year)?	How are you going to apply into your work after the training?
1			
2			
3			

4. Please write your dream or resolution in your work at the Ministry of Agriculture this year and in 5 years. And what are you trying to realize your dream.

	Your dream and resolution at the MoA	What are you trying to realize your dream?
This year		
in 5 years		

5. If you wish one change to be happened in your directorate, what are you going to expect ? And Why?

What kind of change do you expect?	Reason

Thank you very much for your cooperation.

Individual Capacity Assessment Sheet

Date: / /

Directorate/Unit: Horticultural Sector Administration (Group from FY2011)

Department:

Position:

Name:

	Target Skills (Capacity)	Definition of Target Skills	Score (Self Evaluation)	Why did you give yourself the score?
1	Managerial Skill	To make decision To have good leadership		
2	Communication Skill	To know report writing To have English language skill To know how to communicate with others		
3	Planning Skill	To formulating plans To conduct monitoring and evaluation		
4	IT Skill	To be able to analyze in computers To know maintenance To have knowledge of network		
5	Team Work	To be able to cooperate To conduct coordination		

Level	Criteria to evaluate your capacity
5	To Utilize the capacity for project work and make countable positive impact
4	To Utilized the capacity for daily working
3	To have skill and knowledge
2	To have interest
1	Do not have any interest

PDM of PAE Task Team Action Plan: Enhancement of Coordination and Monitoring System

Target Group: PAE staff Target Area: PAE Project Period: 9 months(March–December) 30 Jan. 2012 ver.0

Narrative Summary		Indicators	Information Source	Important Assumption
Overall goal	Improve the Monitoring System and Coordination with in MoAI within 3 years	60% of Annual Agric. Plans are monitored	1. Questionnaires after the project 2. Report	
Project Purpose	Efficient coordination and monitoring with in GAPE	1. 60% of PAE staff agree that coordination between departments is improved 2. Report done by monitoring Unit	1. Questionnaires 2. Clear annual plan of PAE	
Outputs	1. Effective coordinate develop in PAE 2. Effective monitoring is developing in PAE	1. 50% of the staff agrees there is coordination between Departments of PAE 2. 3 Questionnaires and reports	1. Interviews, Questionnaires 2. reports	
Activities	1) Sharing Information 1.1 Activate the local area net work and outlook 1.2 Create Email Address to the member does not have email address 1.3 Reactivate the data base 1.4 Training courses of computer 2) Team Work 1.5 Joint meeting in each Department 1.6 Joint session to whole staff (brain storming) 1.7 Social Activity (Family Day) 1.8 Exchange of efficiency experience from other organization (FAO) 3) Maintenance 1.9 Antivirus setup 1.10 Back up for data 1.11 Regular maintenance 2.1 Session on how to formulate plan 2.2 Collect regular reports from other Departments and Units 2.3 Create monitoring format 2.4 Session of training assesment 2.5 Training in monitoring and evaluation 2.6 Regular meeting in Administration 2.7 Building file system	Inputs: Antivirus Program (Kasparsky) by free download Back up Tools: CDs, external hard–disk Stationary		Pre–Condition Working Group Approval Personal strong committee Management support

No. on PDM	Activities	Sub-Activities	Expected results										Person in charge	Implementer	Materials and equipent	Cost (SDG)	Progress/ Remarks
				3	4	5	6	7	8	9	10	11					
1.1	Activate the local area net work and outlook		Sharing information										Ekhalas	Computer Engineer	Software	4,000	done
1.2	Create Email Address to the member does not have email address		Improve communication										Task Team	Information Unit	Computer	0	done
1.3	Reactivate the database		Follow up of database										Task Team	All Department	Software	10,000	
1.4	Training courses of computer																
1.5	Joint meeting in each (all?) Department	The subject for the meeting	Building teamwork in PAE			x	x	x	x	x	x	x	Sara	Hoyam, Sara, Amel, Babeker Anwar, Salama and Iman	Stationary	0	
		Prepare invitation (place & time)				x	x	x	x	x	x	x	Sara		Stationary	0	
		Implementations				x	x	x	x	x	x	x	Sara		Stationary	0	
1.6	Joint session to whole staff (brain storming)	The subject for the meeting	Awareness of selfness management						x				Hoyam, Sara, Amel, Babeker Anwar, Salama and Iman	Instructor from outside	Stationary	0	
		Prepare invitation (place & time)						x							Stationary	0	
		Implementations						x							Stationary	0	
1.7	Social Activity (Family Day)	Arrangement and implementation	Strengthen of Social relationship			x			x			x	Hoyam, Sara, Amel, Babeker Anwar, Salama and Iman	All task team members	Stationary	0	
1.8	Exchange of efficiency experience from other organization (FAO)	Arrangement and implementation	Knowledge new model of team work										Hoyam, Sara, Amel, Babeker Anwar, Salama and Iman	All task team members	Stationary	0	
1.9	Antivirus setup		1. inform. Save form damages 2. quick download to useful data										Ekhalas	Technical support and information unit	One original CD		
1.10	Back up for data		Data will be secured from lost										Salwa, Limya, Sumia, Nada, Nagla, Iman	Technical support and information unit	2 external harddisk	600	
1.11	Regular maintenance	Cleaning, Change any damaged parts, Daily repairing	Computers will be saved from dust										Task Team	Teamwork (?)			
2.1	Session on how to formulate plan	Discussion for the current situation	Awareness on how to formulate plans														
		Collection of the mandate of each Department	Mandate of each department was written										Asma, Awatif, Lila and Sumia	Asma, Awatif, Lila and Sumia/Mohommed/	Stationary	50	done
		Conduct session in how to formulate the plan	Awareness on how to formulate plans Plan formation is prepared.										Asma, Awatif, Lila, Sumia, Mohommed/Ahlam	Asma, Awatif, Lila and Sumia	Stationary	0	done
		Distribute the format plan to each department	The plan format is distributed					x					Asma, Awatif, Lila and Sumia	Asma, Awatif, Lila and Sumia	Stationary		
2.2	Collect regular reports from (other)all Department	to collect fulfilled forms to all departments to analyse the results to feedback to each department and senior management											Asma, Awatif, Lila and Sumia	Asma, Awatif, Lila and Sumia	Stationary		
2.3	Create (design) monitoring format	to discuss the draft format with all departments to compile their needs/ suggestion to finalize the draft by all departments' agreement to distribute the format to all departments	Monitoring format is designed										Asma, Awatif, Lila and Sumia, Mohommed/Ahlam	Asma, Awatif, Lila and Sumia, Mohommed/Ahlam	Stationary		Is the numbering order correct?
2.4	Session of training assessment																not mentioned
2.5	Training in monitoring and evaluation																not mentioned
2.6	Regular meeting in Administration																not mentioned
2.7	Building file system		Saving documents										Task Team	Task Team	Stationary		

Questionnaire in Presentation Assessment

1. Validity

- Did the action plan match with the mandate and/or policy (plan) of thier directorate?

2. Effectiveness

- How much % of the project purpose has been satisfied?
- Why do you assess it so?
- What caused the gap between plan and actual result?
- What should they have done to fill the gap?

3. Efficiency

- Have they done every planned activity (duty) in schedule?
- Have they made any efforts to increase cost performance in the process?
- What did they do when they faced unexpected delay (any accidents and/or problems)?
- Did they identify the reason or background of the delay, accidents and/or problems?
- How did they discuss to overcome such delay, accidents and/or problems within the team?

4. Impact

Impact means matters and states naturally appearing outside of the action plan's scope. Namely impact is a sort of bi-product of the Task Team activity, and the Task Team usually cannot control impacts.

Impact can be categorized positive impact and negative impact.

- Do they recognize existence of positive and negative impacts?
- If so, what kinds of positive impacts are there?
- What kinds of negative impacts are there?

5. Sustainability

- Have they made any efforts to sustain the outcome, which their activity produced?
- What is necessary to ensure its sustainability?

Evaluation Sheet
1. Validity
2. Effectiveness
3. Efficiency
4. Impact
5. Sustainability
6. Lessons Learnt
7. Recommendation

Evaluator's Name _____

