

*The PAHRDF Capacity  
Development Model and its  
Applicability across Various  
Types of Institutions*



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## I. Introduction

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### A. Overview of the PAHRDF

1. In August 2004, the Governments of Philippines and Australia launched the Philippines Australia Human Resource Development Facility (PAHRDF). Set to operate for five years, the Facility's overarching goal is to contribute to poverty reduction and sustainable equitable development in the Philippines. PAHRDF's specific purpose is to build and enhance the capacity of targeted organizations in service delivery, in the application of high quality administrative governance, and in people and organizational development including the field of Human Resource Management and Development (HRMD).
2. Over the years of its operation, PAHRDF has partnered with 36 public sector and private organizations and local government units (LGUs), and 17 schools under the Basic Education Assistance for Mindanao (BEAM) project (an Aus-AID supported project of the Department of Education in Regions 11, 12 and the ARMM).
3. The Facility embraces two major delivery modes in its HRD interventions: Long Term Training (LTT) and Short Term Training (STT) /HRD support activities. PAHRDF has adopted workplace training as its main delivery approach for these interventions to facilitate the progression and translation of acquired competencies at the individual level to enhanced organizational capacity and improved service delivery.

### B. Rationale and Objectives of the Study

Since its commencement in 2004, the Facility has continuously sought to improve the processes, mechanisms, and HR/OD conceptual frameworks that support its LTT and STT interventions. The present study on PAHRDF's Capacity Development Model is envisioned to provide a meaningful and disciplined mapping of the underlying program theory that has guided the Facility's capacity development initiatives from the stages of diagnosis, planning, implementation, monitoring and evaluation. Specifically, the study aims to:

1. Consolidate an in-depth technical description of the Facility's Capacity Development Model. This entails: i) a review of capacity development literature; ii) an inventory of capacity development models being used by donors and the public sector; and iii) an in-depth review of the Capacity Development Model that constitutes the Facility's approach.
2. Assess the effectiveness of PAHRDF Capacity Development Model in various modes and parameters of its use. Three questions are to be answered under this objective: i) "Does the model work?" ii) "What elements of the model work?" and iii) "Under what particular circumstances does the model work?"

## II. Research Framework and Methodology

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### A. Appreciative Inquiry as Research Framework

The study was anchored on the Appreciative Inquiry (AI) Framework. An accepted approach in the assessment, planning, and execution of organizational development strategies, the AI framework provided both a logical map and a creative process for conducting the research. The study capitalized on the key AI elements of creative participation and positive focus to achieve its objectives, particularly in assessing the effectiveness of the PAHRDF Capacity Development Model in various modes and parameters of its use.

### B. Methodology

Four data gathering techniques were employed to generate the needed data and information:

1. *Secondary Data Analysis*. Relevant literature on capacity development initiatives was reviewed, with the internet and PAHRDF documents as major sources.
2. *Focus Group Discussion (FGD)*. Key informants from each of the identified sample partner organizations were assembled to share their inputs. A separate session with the PAHRDF team was also conducted. A set of questions along the AI 4-D Cycle guided the open exchange and sharing of experiences, opinions, and recommendations related to the Capacity Development Model.
3. *Face-to-face Interviews*. Using the same AI Data Gathering Guide, some key informants from Training Service Providers (TSP) and partner organizations were interviewed. To prepare for the data gathering activities, the study team likewise interviewed the HR Advisers of partner organizations to better understand the unique context of the partners' engagement with the PAHRDF.
4. *E-questionnaire*. For some key informants who were not available during the data gathering activities, the AI Data Gathering Guide was sent electronically (via e-mail) so they could participate in the study.

### C. Sampling

Purposive sampling was used to identify the partner organizations, TSPs, donor organizations, and relevant public sector agencies (engaged in capacity development work) that would be part of the study. For partner organizations and TSPs, a key consideration for selection is the extent of their engagement with PAHRDF. Having a balance of highly successful and less successful engagements in the sample was also an important consideration.

1. The following partner organizations were covered by the study: Provincial Government of Bohol (PGBh), Provincial Government of Northern Samar (PGNS), Bureau of Local Government Finance (BLGF), Land Management Bureau (LMB), Local Government Academy (LGA), Davao City Chamber of Commerce and Industry, Inc. (DCCCII), Mindanao Economic Development Council (MEDCo), Department of Budget and Management, Department of Education, Department of Public Works and Highways, and National Economic

Development Authority. For the schools, one BEAM cluster of schools (Assumption College of Nabunturan (ACN), University of Mindanao - Davao City, and University of Mindanao – Tagum City) that are relatively proximate to each other was selected.

2. Integrative Learning (IL), IMPACT, Meralco Management and Leadership Development Centre (MMLDC), and Orient Integrated Development Consultants, Inc. are the TSPs that were made part of the study.
3. The models and approaches of the following donor organizations and public sector agencies involved in capacity development were looked into: Asian Development Bank (ADB), Canadian International Development Agency (CIDA), Japan International Cooperation Agency (JICA), United Nations Development Program (UNDP), Career Executive Service Board (CESB), Civil Service Commission (CSC), Development Academy of the Philippines (DAP), and Local Government Academy (LGA). The Canadian International Development Agency-Local Government Support Program (LGSP) was likewise included in the study because of the thorough documentation of its capacity development initiatives.

#### D. Some Limitations

1. The review of capacity development literature and capacity development models focused mostly on recent discussions on capacity development that are posted in the internet.
2. For capacity development models or frameworks used by the Philippine public sector only the capacity development model of the Local Government Academy is presented in this study. The other public sector agencies (i.e., Career Executive Service Board, Civil Service Commission, and the Development Academy of the Philippines) have yet to develop or document their own.
3. Although appointments with respondents had been set before the data gathering activities, the actual respondents depended largely on the availability of target informants during the scheduled data gathering visits.

#### ***Part I: Review of Capacity Development Literature and Capacity Development Models***

1. Capacity development has been receiving heightened attention from the development community in the light of a shared recognition that “the achievement of the Millennium Development Goals (MDG) and other international and national development targets hinges on capacities of individuals, organizations and societies to transform, in order to reach their development objectives”<sup>1</sup>. The March 2005 Paris Declaration on Aid Effectiveness has directly urged partner and donor countries to focus their collective attention on a more effective delivery of aid, which means capacitating partner countries to create sustainability.<sup>2</sup> This impetus for collective action is further reinforced by the September 2008 Accra Agenda for Action (AAA) which, among others, pronounces that developing countries need to strengthen their capacity to lead and manage development, especially since capacity development is the responsibility of developing countries, with donors playing only a supportive role.

A major challenge among development entities is how to ensure that capacity development efforts translate into relevant and sustainable development co-operation action at the field level. This is crucial because of the acknowledged shortcomings in earlier development assistance packages which used to be characterized by dominant donor-led projects and inadequate attention to long-term ‘capacity’ issues.<sup>3</sup>

2. There is no singular definition of capacity and capacity development that donors use. Many donor agencies refer to the definitions provided in the 2006 OECD/DAC (Organization for Economic Co-Operation and Development/ Development Assistance Committee) Guidelines and Reference Series<sup>4</sup> to explain the concepts of *capacity* and *capacity development*.
  - i. *Capacity* is the ability of people, organisations, and society as a whole to manage their affairs successfully.”
  - ii. *Capacity development* is the process whereby people, organisations and society as a whole unleash, strengthen, create, adapt, and maintain capacity over time.

Despite the lack of a singular definition, there is convergence among donors towards a basic understanding of the concept of capacity development. They agree that:

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<sup>1</sup> UNDP *Capacity Development Practice Note (October 2008)*. < <http://www.undp.org/capacity/>>

<sup>2</sup> *Capacity Development in Broad Strokes: Accra and Beyond*. <[undg.org/docs/9210/CAPACITY\\_DEVELOPMENT\\_IN\\_BROAD\\_STROKES\\_30\\_July.doc](http://undg.org/docs/9210/CAPACITY_DEVELOPMENT_IN_BROAD_STROKES_30_July.doc)>

<sup>3</sup> Joe Bolger (May 2000). *Capacity development: why, what and how*. < [http://www.acdi-cida.gc.ca/inet/images.nsf/vLUIImages/CapacityDevelopment/\\$file/CapDevOSVol1No1-E.pdf.cida.gc.ca/inet/images.nsf/vLUIImages/CapacityDevelopment/\\$file/CapDevOSVol1No1-E.pdf](http://www.acdi-cida.gc.ca/inet/images.nsf/vLUIImages/CapacityDevelopment/$file/CapDevOSVol1No1-E.pdf.cida.gc.ca/inet/images.nsf/vLUIImages/CapacityDevelopment/$file/CapDevOSVol1No1-E.pdf)>

<sup>4</sup> The paper, “*The Challenge of Capacity Development: Working towards Good Practice (DAC Guidelines and Reference Series, A DAC Reference Document)*”, OECD, 2006 < [www.oecd.org/dataoecd/4/36/36326495.pdf](http://www.oecd.org/dataoecd/4/36/36326495.pdf)>” is attached to the present study as Annex A.

- i. The determinants of capacity development are not only technical, but also political and governance related (strong political commitment, favourable incentive systems, government-wide reform).
  - ii. Capacity development is multi-dimensional and that it goes beyond knowledge and skill transfer at the individual level to consider organizations, institutions, networks, and the systems in which they are embedded.<sup>5</sup>
3. While the terms *capacity development* and *capacity building* are oftentimes used interchangeably, the United Nations Development Programme (UNDP) and the OECD/DAC prefer to use *capacity development*. According to OECD/DAC, the term “building” suggests a “process starting with a plain surface and involving the step-by-step erection of a new structure, based on a preconceived design.”<sup>6</sup> The UNDP sees *capacity development* as more comprehensive and reflective of its approach which “uses existing base of capacities as starting point and then supports national efforts to enhance and retain them. This is a process of transformation from the inside, based on nationally determined priorities, policies and desired results. It encompasses areas where new capacities have to be introduced and hence, the building of new capacity is also supported.”
4. As part of its efforts to promote a more coordinated and specific global effort in capacity development in support of the AAA, the OECD/DAC undertook in 2008 an inventory of current donor approaches and strategies for capacity development through the lens of the AAA. Following are some highlights of the study which covers three categories of information: 1) Policies; 2) Operational highlights; and 3) Current focus in relation to AAA capacity development priorities, of 21 of the 23 DAC members:

#### *Policies*

- i. Most DAC members consider capacity development as a primary objective of their systems of development co-operation, and the current focus on global aid effectiveness has even strengthened donor attention and interest in supporting partner country capacity at all levels.
- ii. Donors have increasingly aligned their capacity development approaches with the Paris Declaration Principles for Aid Effectiveness to underscore demand-driven capacity development, donor alignment with national strategies and development priorities, and country ownership and leadership in capacity development processes.
- iii. Many donors have taken initiatives to integrate capacity development concepts at the country level in their country aid programs and operations.

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<sup>5</sup> OECD/DAC Capacity Development Team (March 2009). *Inventory Of Donor Approaches to Capacity Development: What We Are Learning*. < [www.oecd.org/dataoecd/50/12/42699287.pdf](http://www.oecd.org/dataoecd/50/12/42699287.pdf).>

<sup>6</sup> *The Challenge of Capacity Development: Working towards Good Practice (DAC Guidelines and Reference Series, A DAC Reference Document)*, OECD, 2006 < [www.oecd.org/dataoecd/4/36/36326495.pdf](http://www.oecd.org/dataoecd/4/36/36326495.pdf)>



### *Operational Highlights*

- i. Donors have been upgrading their capacity to respond to the new challenges. Some have tasked specific organizational units or point persons within their systems to provide guidance and assistance on capacity development. Staff competencies are also being strengthened.
- ii. A wide variety of tools have been developed to guide the design and execution of capacity development interventions. Information and resources on capacity development have become more available and accessible.
- iii. Technical co-operation, in the form of training, technical assistance, scholarships and fellowships, is the most common delivery approach used by donors to promote capacity development. A shift to short-term and more focused technical advisory services, as well as increasing use of local technical expertise, is now being observed. Donors are now increasingly advocating co-operation, harmonization, and co-financing to promote joint action in capacity development initiatives.
- iv. Donors have taken purposive efforts to evaluate the effectiveness of their capacity development assistance; particularly the use of technical assistance for capacity development.

### *Current Focus in Relation to AAA Capacity Development Priorities*

- i. Donors see the value of engaging civil society and the private sector in capacity development, viewing them as important agents for the “generation of demand for good governance, efficient public service delivery and public sector reform, and the provision of services that complement the public sector, particularly at the lowest level.”
- ii. Donors agree that capacity development strategies and objectives should be integrated with partner country national, sector and thematic policies and strategies.
- iii. Donors increasingly seek to integrate technical co-operation into a broader framework of capacity development. Donors acknowledge that technical co-operation should be country-led, owned and managed, and fully integrated in the context of national sector programs, but are also aware that technical co-operation at the field level remains far from ideal as interventions still tend to focus on task-specific traditional training and skills building.
- iv. Donors are now paying more attention to the institutional, political and social environment that can influence effective and sustainable capacity development. They are more conscious of country partners’ efforts on good governance, transparency, accountability and anti-corruption, as well as reforms in civil service and judiciary.
- v. Most donors have committed to strengthen, use and align with country systems. They see this as central to supporting partner country ownership and management of their

development processes, to implementation of national and sector policies, and to management of public resources.

- vi. Donors acknowledge the need for a tailored and phased approach to capacity development in fragile situations. They also recognize that there should be a balance between short-term interventions to immediately foster security and stability, and longer-term efforts to build country capacities. Donors have mainly focused on central level state-building (e.g., conducting capacity assessments and providing support through secondments, assistance by international experts, advisors, and trainers), but are increasingly promoting the participation of civil society and local authorities in capacity development.
5. Documented capacity development models of donor agencies reflect the multi-dimensional nature of capacity development. Multiple entry-points for capacity development (individual, organizational, and the enabling environment) that are closely interconnected have been identified. Some of the core principles shared by these models are:
- i. External actors cannot directly develop capacities of partner countries and organizations. Capacity development has to be owned and driven by the latter as donor-driven interventions are not sustainable.
  - ii. Capacity development has to be customized to respond to the unique context and needs of partner countries and organizations. Donor countries and funding agencies will have to harness existing national systems rather than bypass them.
  - iii. An integrated and comprehensive capacity development strategy that is linked to broader reforms is more meaningful. Isolated training events have little value.
  - iv. Capacity development is an iterative process that takes time and the active involvement of multiple stakeholders.
  - v. Capacity development needs to provide space for innovation and testing of creative approaches.
  - vi. Though it remains to be a major challenge, measurement and evaluation of consequences is an important element of capacity development.

## **Part II: The PAHRDF Capacity Development Model**

1. The Philippines-Australian Human Development Facility defines capacity development as a process that enables organizations to be responsive to a dynamically changing environment. It involves the use of complementary and demand-driven interventions that build on competencies for strengthening systems and processes to achieve an organization's strategic direction and internal change agenda.
2. The Facility adopts a six-pronged strategy that provides the backbone for the purposive alignment and sustainability of its interventions to partner organizations:
  - i. *Establishing shared accountability and responsibility* – PAHRDF works in partnership with target organizations from “Day 0” or pre-launching stage of the engagement. The organizations are involved in every aspect and step of the partnership to effect quality design and execution.
  - ii. *Developing and implementing demand-driven and integrated interventions* – The Facility and partner organizations undergo a rigorous and iterative process of assessing organizational requirements that will support the achievement of their strategic development and internal change agenda. As opposed to identifying singular training events, the assessment becomes the basis for developing and implementing a comprehensive and integrated package of complementary interventions.
  - iii. *Using leadership development as a foundation* – PAHRDF recognizes the critical role of leadership in realizing and sustaining enhanced capacities. Leadership training and development thus becomes both a capacity development intervention and a foundation for sustaining capacities in the organization.
  - iv. *Building a critical mass* - In developing organizational capacities, PAHRDF provides for short term training interventions that build the competencies of a corps of employees who perform key functions, thus creating a critical mass of change agents. This is complemented and supplemented by long term training programs that hone the expertise of selected scholars along identified strategic fields of studies.
  - v. *Strengthening the HR office* – Developing and sustaining capacities is an inherent function of an organization and not of a project management office. This underlines the PAHRDF's strategy to strengthen the stature and capacity of a partner organization's HR Office as focal unit for capacity development.
  - vi. *Linking with and complementing other development initiatives* – PAHRDF is careful about duplicating efforts from other development initiatives. Rather, it seeks to build on inputs and gains from internal and external donor-driven capacity development programs.

3. PAHRDF identifies three capacity areas which when present and developed in partner organizations can significantly impact on their ability to contribute to poverty reduction and sustainable equitable development.
  - i. *Service Delivery* refers to all aspects of the core business and operational purpose of the organization. This covers service delivery systems and procedures, and partnership building.
  - ii. *Administrative Governance* refers to the set of broad organizational functions intrinsic to any private or public agency regardless of its mandate or specific service delivery objectives. This includes planning and policy development, project development and management, administrative service systems and procedures, information technology, and revenue generation.
  - iii. *People and Organizational Development* refers to a set of broad functions that pertains to the human side of the organization. This covers leadership and teamwork, human resource management, and human resource development.

PAHRDF likewise mainstreams in its interventions four cross-cutting themes: gender and development; anti-corruption principles; climate change adaptation; and disaster risk reduction.

4. To drive planned organizational change and reinforce strategic capacity enhancement from the individual to the organizational level, the Facility has chosen to adopt a Workplace Training Approach in planning, designing and executing its interventions.
  - i. The Workplace Training Approach is grounded on the philosophy that the work place where the application of new knowledge, skills and attitudes is required, is still the best context for learning. It supports the “knowing-doing link”, thus bridges the gap between individual learning and organizational strengthening that can support improved service delivery.
  - ii. The Workplace Training Approach is anchored on two major principles: i) *Strategic Alignment*, which refers to the tight, clear, and logical relationship between the partner organization’s change agenda, PAHRDF’s HR interventions and the Re-entry Action Plan or REAP that is implemented after each intervention; and ii) *Adult Learning*, which involves the use of inductive methodologies that move the learner through a cycle of experience, processing, generalization, and application. It considers the adult participant’s contexts, inclinations and motivations to ensure the relevance and effectiveness of interventions.
5. Embedded in PAHRDF’s Workplace Training Approach is a highly collaborative and participative Five-Step Quality Process to ensure that interventions are aligned with the organization’s development agenda and will produce the desired results that will enhance its capacities to perform its mandate.

- i. *Organizational Profiling and HR Analysis.* An intensive participatory profiling process validates a target organization's readiness to partner with the Facility, and documents its development and internal change agenda. The ensuing HR Analysis identifies the competency gaps that need to be bridged, and proposed HR solutions for identified competency gaps are prioritised. Each HR solution then becomes part of an integrated intervention package composed of long-term and short-term training programs. Sponsorship and buy-in is gradually generated through the involvement of the organization's top management, key officers, and HR point persons.
- ii. *Formulation of Workplace Development Objectives (WDO).* This process triggers the collaborative design of prioritised HR solutions. Alignment with the organization's change agenda is strengthened with the formulation of WDOs that trace the desired competencies that will be developed among the target cohort, the planned training outputs, the desired organizational outcomes, and development impact of the HR solution. This is a critical task when planning a PAHRDF intervention as the WDOs become the basis for monitoring and evaluating the result of the intervention.  

A WDO has three components: a) *Competency* – specifies the knowledge, skills and attitudes that an HR activity is intended to develop among the cohort; b) *Organizational Outcome* – specifies medium-term improvements in organizational capacity area/s as a result of enhanced individual competencies; and c) *Impact* – specifies long-term objectives of improving clients' lives and socioeconomic well-being resulting from the organization's improved service delivery.
- iii. *Focus on Key Functional Units and Individuals.* Training participants are selected based on their individual contribution and their unit's defined roles in effecting change in the organization. This ensures that immediate and meaningful application of learning can be made for the benefit of the organisation.
- iv. *Intensive Training with Coaching and Mentoring Support.* Short Term Training (STT) participants undergo intensive training while temporarily disengaged from the workplace. This is followed by work-based coaching and mentoring to produce the outputs specified in the WDO. Trainees under the Long Term Training (LTT) program, on the other hand, are sent for a longer study period on fields that complement the identified short term training solutions. They are guided and supported by selected mentors from their organizations in the duration of their studies.
- v. *Re-entry Action Planning.* The REAP maps out concrete steps that training participants will take to adopt, institutionalize, and mainstream the training outputs in their organizations' processes. It directly translates learning at the individual level to outcomes at the organizational level. Top management needs to approve the REAP and commit the necessary resources for its implementation. As such, the REAP becomes an organizational commitment as much as it is a commitment of the individual participants. For organizations implementing several REAPs from STT and/or LTT, complementarity of REAPs is an important consideration.

6. The Workplace Training Approach uses adult learning strategies that respect the unique learning styles of individuals and respond to the needs-based nature of adult learning. Teaching and learning sequences are anchored on workplace scenarios, and promote experiential learning and self-reflection to strengthen personal ownership of the learning process.
  - i. Classroom learning is complemented by coaching in the workplace. Coaching enables trainees to demonstrate technical skills and desired behaviors to produce target outputs, with the support and assistance of a coach or mentor. Coaches and mentors are provided by TSPs for STT programs; while PAHRDF-trained in-house officers and staff from partner organizations provide coaching and mentoring for LTT trainees.
  - ii. PAHRDF recognizes that purposive and goal-oriented benchmarking activities can be a very powerful learning strategy. Thus, most PAHRDF STT programs incorporate visits of cohorts to local or Australian organizations that are widely considered to adopt best practices in business aspects that are targeted for improvement by partner organizations.
  
7. The PAHRDF Capacity Development Model is driven by a set of enabling mechanisms and processes that support the efficient and effective execution of the Facility's work.
  - i. Facility operations are supported by a comprehensive web-based database system that serves as business platform across the Manila and Davao offices. The system is accessible to all stakeholders - AusAID, NEDA, partner organizations, training service providers, HR practitioners, Australian universities, and STT/LTT participants. Monitoring and evaluation of REAPs, and evaluation of HR activities are web-based. Accreditation of TSPs, tendering and submission of proposals are all web-based, thus promoting transparency of business transactions. The website likewise hosts the Facility's knowledge management component. Lodged in the website is a "Learning Centre" where important updates and resource materials as well as knowledge products from PAHRDF's capacity development initiatives can be accessed.
  - ii. Facility Management is based on a culture and practice of continuous improvements and innovative approaches to managing a development project. The Facility is led by a Director and staffed by a team of players with a shared understanding of the organizational development paradigm used in all PAHRDF activities, systems, and processes. HR Advisers are assigned a portfolio of partner organizations to facilitate the consistent execution of PAHRDF's Five-step Quality Process and manage the Facility's relationship with partner organizations. HR Advisers likewise handle special tasks like management of alumni programs, commissioning of studies and researches, conduct of annual development symposium, and financial management.

PAHRDF recognizes that the successful execution of its work hinges largely on its ability to forge and maintain partnerships that are anchored on shared goals and principles. All partner organizations engage with the Facility through a Partnering Agreement which details responsibilities of both parties in the engagement. Beyond the formal and

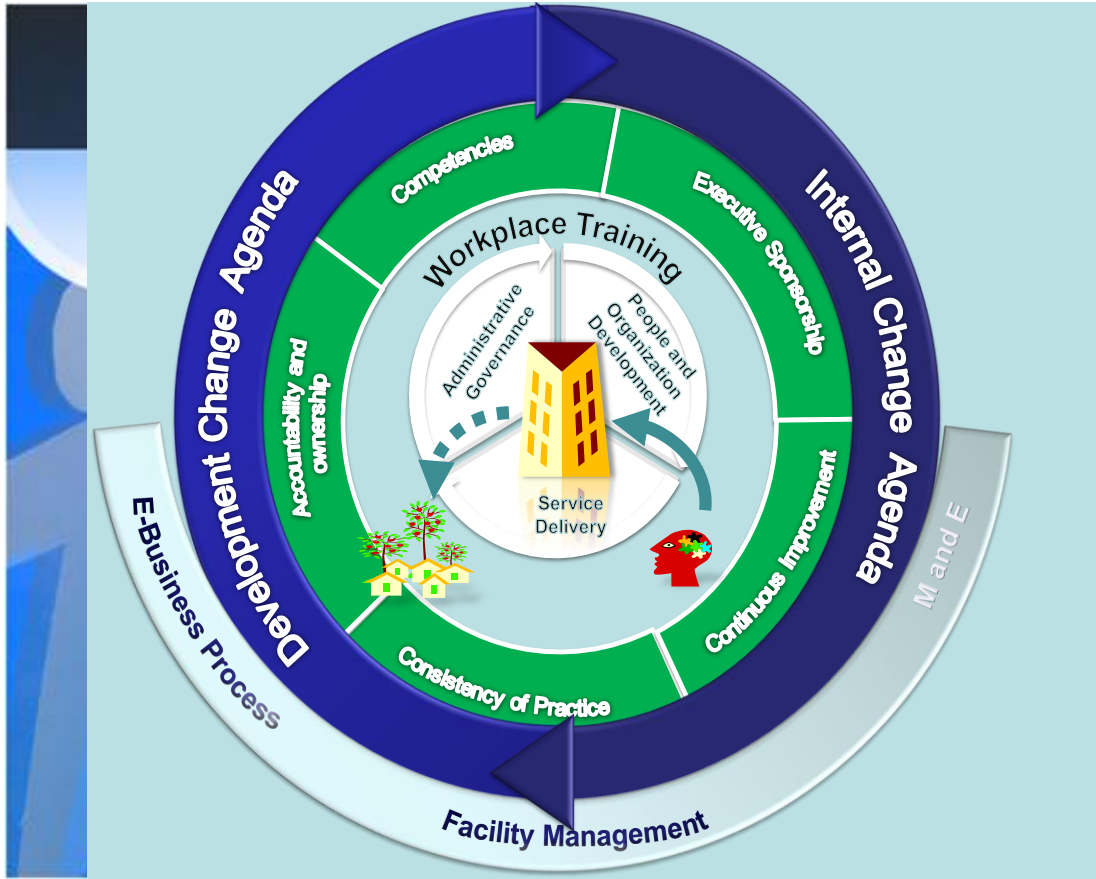
written agreement though, the Facility continuously endeavours to build strong partnership and alliances with management champions and HR personnel in the partner organizations. Similarly, PAHRDF has proactively developed a pool of accredited TSPs that share the Facility's philosophy of workplace training and adult learning. Regular dialogues, feedback meetings and learning sessions with TSPs enable the Facility to maintain training standards. The Facility has likewise linked with other organizations with services that can support the Facility's capacity development efforts like the People Management Association of the Philippines (PMAP), the Philippine Society for Training and Development (PSTD), the Centre for Leadership and Change, Inc. (CLCI), and the Ateneo Centre for Organization Research and Development (CORD).

- iii. The Facility's Monitoring and Evaluation System is a comprehensive framework that includes gathering baseline information and conducting periodic monitoring to assemble performance information during and after the intervention.

The framework monitors the performance of the organizations along five *Sustainability Attributes* that are necessary to support and sustain the organization's capacity. The more attributes that are present in a targeted capacity area, the more embedded and sustainable is the capacity. These attributes for organizational capacity sustainability are: a) *Competency* – the presence of qualified personnel to perform the functions related to the capacity, and mechanisms for continuous improvement of their skills; b) *Accountability and Ownership* – the presence of mechanisms to clarify and reinforce responsibilities, and ownership for the capacity; c) *Consistency of Practice* – the presence of mechanisms to ensure clarity and consistency of processes and practices, and compliance with standards; d) *Continuous Improvement* – the presence of mechanisms to review processes for improvement, implement and manage changes to meet the needs of clients and other stakeholders; and *Executive Sponsorship* – the presence of visible management support for smooth operations and other initiatives within the capacity.

The Facility's M and E System is rendered stronger and more meaningful by making it a shared function and responsibility among the Facility's staff and partner organizations. While there is a team that oversees the M and E System and orchestrates related activities, all HR Advisers are "hooked" into the system; i.e., they coordinate with partner organizations and consolidate M and E reports of their portfolio as input to the system. TSPs likewise play a significant role in monitoring and evaluating the performance of target cohorts during classroom training and coaching activities. At the partner organization level, M and E teams have been formed and trained so they can more meaningfully contribute and participate in the system.

8. In a nutshell, The PAHRDF Capacity Development Model can be viewed as a dynamic system of interrelated components and processes. The system advances the Facility's purpose to build and enhance the capacity of partner organizations (in Service Delivery, Administrative Governance, and in People and Organization Development) so that they are better able to improve processes and systems that will impact on the quality of services to clients, eventually contributing to poverty reduction and sustainable equitable development.



The PAHRDF Capacity Development Model



### ***Part III: An Assessment of the PAHRDF Capacity Development Model vis-à-vis its Application to Various Types of Partner Organizations***

1. The study indicates that the PAHRDF Capacity Development Model has several features that set it apart from other capacity development approaches or initiatives. These features are also considered as the strengths of the model:
  - i. *Strategic and Demand-driven.* The PAHRDF Capacity Development Model adopts a strategic and targeted approach to capacity development. The model facilitates the alignment of HR activities to the organization's change agenda to achieve positive impact (such as contributing to poverty alleviation), by developing individual competencies and translating these into organizational capacities. The demand-driven and needs-based approach allows some flexibility to address actual needs of the organization and customize interventions.
  - ii. *Complementation and Progressive Strategy.* The complementation between STT and LTT interventions that the model provides for allows organizations to maximize their gains from the partnership. Similarly, with the progressive mode of engagement, succeeding interventions are able to build on previous activities - in effect leading to a building blocks approach.
  - iii. *Focus on HR.* Because of the Facility's slant and entry point for change, more value and strategic importance is accorded to the role of HR management and development (HRMD) in organizational capacity development. This slant is viewed as part of PAHRDF's strategy for reinforcing sustainability of gains from the partnership, as the HR unit is seen as a focal office for pursuing and building on the PAHRD initiatives.
  - iv. *Workplace Training Approach and the Five-Step Quality Process.* This allows the participation of partner organizations at various points of the engagement; i.e. organizational profiling, HR analysis, designing of interventions, clarifying outputs, defining desired results, and even selection of TSPs. It ensures a clear link between HR interventions and the organizations' development agenda as it is the component of the model that directly facilitates the transfer of learning to the workplace through the coaching phase and REAP implementation. This is considered very important when building capacities as much of the learning really happens in the workplace and not the classroom. The approach also builds ownership of the outputs among the training participants and the organization, especially since they are the ones responsible for producing and implementing these.
  - v. *Targeted Selection of Training Participants.* Since the interventions are focused on improving specific capacity areas of the organization, the targeted selection of participants to both LTT and STT programs is very important. This ensures that people who are responsible for developing, installing, and using the pre-identified outputs are capacitated to do so. The process likewise provides a more logical basis for identifying training cohort, thus departing from the practice (of some organizations) of sending

participants to training programs either as a reward or as a temporary pre-occupation for non-contributing and thus dispensable staff.

- vi. *Re-entry Action Plan.* The formulation and implementation of the REAP is one element of the Workplace Training Approach that was highlighted by PAHRDF partners. The REAP creates the opportunity to translate acquired competencies of training participants into institutional outcomes and eventually better service delivery, which is really the goal and purpose of the PAHRDF. It is also the mechanism that makes the partners accountable for producing the desired results from the training interventions.
  - vii. *Adult Learning Strategies.* The model's adherence to adult learning principles makes learning experiential and, therefore more relevant and applicable to the work setting. Learning is supported by a mix of learning strategies including benchmarking and coaching.
  - viii. *Monitoring and Evaluation.* The Facility's M and E component supports the principle of "what gets measured gets done." It eggs training participants to implement their REAPs and track results; it also ensures sustainability of interventions. The M and E process (specifically the sustainability attributes) allows the organization to assess where it is now, and design its own desired results, leading to continuous improvement. The elements of the model form a cyclical pattern that allows building on results because of this, according to a respondent.
  - ix. *Facility Management.* The Facility management shows flexibility in responding to emerging needs of partner organizations. There are HR Advisers who can follow through the developments in their assigned agencies. PAHRDF is able to partner with and to deploy credible and competent TSPs that can implement the different HR interventions. The Facility's team also makes sure that they and the TSPs are appropriately equipped and updated to meet the requirements of partner organizations. The Facility has set up venues for exchanging of best practices, networking, and sharing of learning. The on-line processes (e.g., training evaluation, bidding, message board) facilitate effective management of projects and promote transparency of transactions.
2. Partner organizations were all very optimistic when they started the partnership with PAHRDF. They see their engagement with the Facility as an opportunity to develop individual competencies in different fields of expertise. At the organizational level, the Facility is considered a venue to strengthen institutional systems to improve service delivery. Different levels of successes and gains from the partnership have been reported.
    - i. Common among partner organizations is that at the individual level, cohorts of LTT and STT programs have acquired new knowledge, skills and perspectives that contributed to competency build-up. In DBM for example, HR personnel were able to do competency profiling, conduct training needs analysis and design training courses for the first time. In the case of MEDCo staff, competencies have been enhanced to support the new thrusts and direction of the organization, specifically in the areas of policy advocacy and project management.

Hundreds of employees occupying positions that are critical in achieving the four large national agencies' (DBM DepEd, DPWH, and NEDA) development agenda have participated in training interventions that upgraded their competencies to perform their jobs. A pool of leaders has also been developed in these agencies; this is considered very significant as these people have to influence performance of their subordinates and will eventually be the pillars in their respective organizations.

More than the knowledge and skills acquired, there is enhanced confidence among PAHRDF trained employees of the different partner organizations because of their upgraded competencies.

- ii. The HR function in the large agencies has become more meaningful with the PAHRDF engagement. DBM for one realizes the need to strengthen the HR unit so it can be the core group for in-house HR development, instead of just focusing on personnel services and administrative work. The different sections in DPWH's Personnel Division are now working together in many ways that have not been done before as the PAHRDF processes require them to coordinate with each other. This has allowed them to see the inter-relatedness of the various tasks and to better appreciate the different facets of the agency's HR function.

Important HRMD tasks that were neglected or overlooked in the past have been attended to, and outputs (e.g., systems) that support the agencies' development agenda have been produced. The DPWH's Personnel Information System (PIS) is now in full implementation. The HRIS is a major tangible gain for DepEd. NEDA is in the process of finalizing a competency-based Integrated Performance Management System.

- iii. The services provided by partner organizations (particularly the non-large agencies) have either expanded or improved as a result of the application of upgraded competencies and implementation of outputs (including the REAPs) from the interventions.

Some partner organizations have reported that their improved organizational capacities have translated to tangible benefits for their clients and stakeholders. With the use of the service standards it has developed, LMB has accelerated the processing of deeds of sale and increased the number of titles distributed to beneficiaries in Taguig, Metro Manila. ACN noted that there is a significantly higher percentage of passers in the Licensure Examination for Teachers; i.e., from between 20% to 35% to 100% in English. Members of the Food Processors Association of Davao have adopted good manufacturing and business practices that enhanced their business viability.

5. Several factors and conditions supported or facilitated the application of the PAHRDF Capacity Development Model and allowed the partner organizations to achieve their "end in mind."

- i. *Organizational Vision and Culture.* For the LGUs, a shared vision for the province provided the impetus for pursuing the change initiatives. The same is true for the DCCCII. Additionally, the chamber's inclusive mindset and persistence as an organization

are key facilitating factors. In PGBh, respect for the process, a “can do” attitude, a strong sense of patriotism, teamwork, and cooperation among key players have contributed in the success of cross-functional activities.

- ii. *Management Sponsorship and Commitment.* Executive sponsorship is a common facilitating factor among partner organizations. The presence of a change champion from top management especially a high-ranking official, not only drew attention of internal stakeholders to the value of the interventions, but also facilitated approval of activities, REAPs, and resources needed for their successful implementation.
- iii. *Commitment of Participants.* For the BEAM schools, LTT scholars have been highly committed and determined to pursue their REAPs. It is important that the awardees have a sense of responsibility to contribute towards upgrading institutional capacities. In LGA, the commitment to apply and practice new competencies has been observed among PAHRDF trainees.
- iv. *Enabling/Supporting Mechanisms.* In UM-Davao and UM-Tagum, a screening process has been used to ensure that the appropriate faculty members would be nominated for scholarship. Financial and physical resources and logistics were provided by the schools. In UM-Davao, a re-structuring was even undertaken to recognize and support the utilization of the LTTs’ upgraded competencies. Access to information helped PGBH and MEDCo achieve their objectives.
- v. *Alignment of Interventions with Agency’s Change Agenda.* The partner organizations recognize that (the components of) the Capacity Development Model sets-up the partnership for success, and thus a facilitating factor by itself. The model allowed partner organizations to identify priority areas and interventions that would advance their internal change agenda. As a result, the outputs that are produced by the training participants clearly contribute to the accomplishment of the agencies’ goals.
- vi. *Participative Processes.* For DBM and DPWH, the model’s participative processes provided the venue for the early involvement of officers in defining the objectives of the engagement, assessing the agency’s capacity level, and identifying appropriate STT and LTT programs. This approach promotes buy-in among key stakeholders.
- vii. *Monitoring and Feedback Mechanism.* Monitoring done by both the Facility and the participants track the accomplishment of planned activities. Through regular monitoring of activities and communication with the agencies, PAHRDF has also been able to respond in a timely manner to concerns raised during conduct of training activities.
- viii. *Facility Management and Execution of the Capacity Development Model.* The PAHRDF team that is in charge of operationalizing the model is seen as very serious in helping the partner organizations improve their capacities. The leadership of PAHRDF, and the team’s professionalism and commitment to ensure quality interventions that are aligned with the partner organizations’ development agenda are seen as important facilitating factors. The Facility’s strategy of assigning HR advisers and counterpart point persons in the partner organizations, and deploying qualified TSPs to deliver HR interventions also support the achievement of objectives.

6. The application of the PAHRDF Capacity Development Model was constrained by several factors and conditions, most of which are within the internal and external environments of the partner organizations:

i. *Competing priorities.* A major concern for most partner organizations is the capacity of offices and training participants to manage additional work demands that accompany the HR interventions and implementation of REAPs. Although the schedule of interventions is a joint decision made by PAHRDF and the partner organizations, there have been instances when REAP implementation overlaps with a new intervention and other PAHRDF activities like meetings, symposia and preparation of M and E reports. The situation is even more challenging for the large national agencies that have to attend (usually with a sense of urgency), to numerous daily distractions from all sectors (e.g. the Office of the President, other national government agencies, politicians, media, donors, local government units, etc.). It is thus very expedient for training participants and the involved offices to just set aside PAHRDF-related tasks during crunch time.

The competing demands that confront partner organizations make the training participants consider the execution timeline of interventions and REAPs as rather tight.

ii. *Resource Constraints.* A common hindering factor in implementing the REAPs among non-large agencies is limited resources. While the top management of the partner organizations has shown support for PAHRDF projects by approving or allocating budget for this, funding mostly comes from the organization's regular budget. In a BEAM school, the low enrolment rate and therefore limited revenue, keeps the school from making substantial investment in capacity development activities.

iii. *Inadequate Multi-layered Sponsorship.* It was acknowledged that the level of executive sponsorship required by the model is not easy to attain or to nurture especially in large national government agencies. The size of the structure and the multi-level leadership makes these agencies more susceptible to political dynamics and turfing issues. While top management has shown support for the PAHRDF partnership, some difficulty was encountered in creating or sustaining buy-in among other members of the organization. Other times, expression of support from supervisors has not been translated to actual support in terms of giving time to employees to work on training requirements. In one of the bureaus, the PAHRDF engagement was temporarily derailed by a change in leadership.

iv. *Resistance to Change.* Since the interventions require introducing new ways of doing things (in the form of systems, processes, etc.) some stakeholders, particularly those who feel that they would be most affected by change demonstrate some resistance. There were also participants who remain pessimistic about being able to apply learnings despite efforts of TSPs to generate buy-in.

v. *Lack of Readiness for the Workplace Training Approach.* The model espouses a "learning by doing" approach that departs from the common technical assistance (where consultants are accountable for delivering the outputs) that government organizations,

particularly large agencies are used to receiving. Thus, there were instances when participants did not attend coaching sessions because they did not appreciate the process; there were also some resistance to the REAP. People who have been used to having technical consultants do the work for them somehow expected to be paid honorarium for their “hands on” involvement.

- vi. *Insufficient Mentoring and Re-entry Support for LTT scholars.* Some internal mentors were too busy to mentor the staff, thus affecting the quality of the REAPs and their implementation once the scholars return to the organization. In an isolated case in an LGU, a scholar was immediately assigned to a key position without the benefit of preparation or orientation on the new role. In another case, an LTT awardee was assigned to another unit right after the completion of the scholarship, affecting the application of learnings.
- vii. *Participant Selection.* Nominating participants for training could be a contentious issue. In one LGU, some casual employees have been nominated as an internal agreement (i.e., accommodation) between the local chief executive (LCE) and department heads just to give chance to casual employees to attend training programs. Because of this practice, some participants are not from critical departments and not in a position to implement change. Some are junior staffs who have “clipped wings” or little latitude to influence change, or are not supported even by their superiors since their selection has been due to political accommodations.

Partner organizations see the age cap of 45 for LTT scholars as a constraint when selecting nominees. They pointed out that there are many employees who are qualified and in a better position to influence change in the organization, but the age cap immediately disqualifies them from being nominated.

- viii. *External Factors.* Related to the above, there were agencies that encountered difficulty in selecting trainees as management wanted to make sure the people they send to training are those that will not be assigned to other positions as a result of the anticipated rationalization. Also part of the “tension” in participant selection is the REAP because it prescribes activities in the original unit where the scholar is assigned, but there is fear of being re-assigned to other units later on.

While some agencies see the need to expand their personnel complement, they are unable to do so because of the pending implementation of the rationalization plan. As a result, they cannot go at full speed in implementing changes.

- ix. *Execution of HR activities by TSPs.* Various TSPs have different ways of executing HR interventions; and partner organizations have sometimes experienced working with TSP consultants whose coaching and mentoring styles do not much the needs of the training cohort. One LGU experienced being brought to benchmarking sites that were not appropriate. A resource person fielded to a large agency did not understand the context and needs of the partner organization, rendering the learning sessions ineffective.
- x. *Lack of fit between training agenda and available Australian programs.* A partner organization found it limiting that the Australian university’s offering did not fully

respond to the study agenda that was planned for an LTT scholar, especially since the chosen field of study was very specific. Instead, the scholar had to adjust to the university's requirements.

7. The following limitations of the components of the PAHRDF Capacity Development Model have been observed or experienced by specific partner organizations:
  - i. *Pre-defined Capacity Areas.* The pre-defined capacity areas (Service delivery; Administrative governance; and People and organizational development) can lend some "rigidity" to the model, especially when applied to non-public sector organizations. This in a way forces partner organizations to identify their needs according to the three capacity areas, which may not entirely subsume their requirements.
  - ii. *Monitoring and Evaluation.* A partner organization observes that the model's M and E component is basically anecdotal, and therefore data generated is not tangible. The respondents opined that indicators are needed so that gains from capacity building can be measured. Another partner organization commented that the Facility's M and E system does not pay much attention to the on-line evaluation that participants accomplish at the end of a training intervention, and thus does not serve the intended purpose.
  - iii. *Reliance on TSPs' capability to deliver*

Since PAHRDF relies largely on TSPs to implement the interventions, the role of the TSPs as well as their stringent screening and selection is very important. HR interventions can be derailed if TSPs cannot execute these following the workplace training approach.
8. Partner organizations and TSPs agree that the PAHRDF Capacity Development Model is relevant, effective, and applicable to a wide range of organizations, e.g., LGUs, bureaus, large national agencies, private voluntary organizations, etc.). They believe that PAHRDF should continue using the model. Some refinements, especially in the execution of the different processes are suggested:
  - i. *Monitoring and Evaluation.* Although the M and E system is considered a strength of the PAHRDF Capacity Development Model, it has been suggested that this should be highlighted to the partner organizations and training participants at the start of any HR activity to generate buy-in. Additionally, it was suggested that the label "monitoring and evaluation" be changed to something more palatable as some people have negative connotations of M and E. Other suggestions to refine the M and E component include: a) strengthening system for documenting gains from the various partnerships; b) conducting a study on the success of LTT REAP implementation to generate reliable data that can support the progress reports made by LTT awardees and the HR point person; d) developing clear M and E indicators; and e) capturing data before and after a PAHRDF intervention in M and E reports. .

- ii. *Scope of Partnership and Assistance.* A partner organization suggested that PAHRDF should consider including relevant stakeholders that are critical to the effective functioning of partner organizations in the scope of partnership (e.g., institutional training and research networks). In cases where outputs need to be disseminated to a wider audience, it was suggested that the Facility include the printing of materials in its assistance package.
- iii. *Creating Executive Sponsorship.* Strengthen the component on creating executive sponsorship and buy-in that is conducted at the onset of the training. TSPs should install mechanisms to regularly update the superiors of participants on the status of the HR intervention. This can contribute towards reinforcing sponsorship as the managers become more aware of the progress of the expected outputs and what their staff are pre-occupied with.
- iv. *Participant Screening.* Tighten the screening of nominated participants to include EQ (emotional quotient) and IQ (intelligence quotient). Both the willingness and ability of target cohort should be considered as qualification requirements when identifying participants.
- v. *Training Delivery Strategies.* Use the mode of secondment as a training strategy. Consider seconding participants outside of the country for professional enrichment. Critical to this would be the selection of the seconding organization to ensure that learnings that will be acquired are relevant and applicable to back home situations. Variations to coaching and mentoring should be incorporated in the training design and delivery (e.g., online mode and group mentoring), to address the time constraint and nuances of the partner organization's culture, particularly of the large agencies.
- vi. *REAP Component.* To optimize the gains from the REAP, this has to be emphasized and thoroughly discussed among participants at the start of any PAHRDF intervention. Having a set of criteria and standards for the identification of REAPs will ensure that these will yield the desired organizational strengthening. It was also forwarded by a TSP that PAHRDF explore the possibility of engaging TSPs to assist the partner organizations in the implementation of the REAPs.
- vii. *LTT Program.* Partner organizations are in agreement that the age cap of 45 years old needs to be reviewed to provide middle managers opportunities to pursue LTT programs. It was also suggested by BEAM schools and other partner organizations that the scholarship period be extended to one and a half or two years, as the one year study period can be too tight and stressful. The Facility can consider increasing the uptake of scholars by partnering with local universities or facilitating tie up between Philippine and Australian universities. To ensure that LTT scholars will be able to maximize and apply their learnings as intended, PAHRDF may have to influence partner organizations to come up with a policy to address this concern, i.e., policy not to move or transfer an LTT awardee until after s/he has fully implemented her/his REAP, at the least. Most partner organizations recognized that the internal mentoring program that supports the LTT scholars needs to be strengthened.



- viii. *Linkages for Sustainability*. Optimize opportunities for building support and nurturing the learnings even after the training by strengthening linkages of partner agencies in order to sustain the gains of the interventions. Some examples include hosting an official function where the bosses of the different partner organizations are brought together for updating and sharing of lessons learned from the interventions, cross visits during training, and observation tours to let agencies understand the nuances happening in other organizations.
- ix. *Tender documents*. There is a need to improve on quality assurance of documents that are used as reference for tendering (i.e. Institutional Profile, HR Analysis). It has been observed that the quality of writing is not consistent across organizations.
- x. *E-business support*. PAHRDF needs to review and assess the website's performance; there have been instances when the Facility's website is difficult to access.
- xi. *Partnering with TSPs*. PAHRDF can be more proactive in strengthening its partnership not only with the partner organizations, but with the TSPs as well. Since the TSPs are PAHRDF's extension, the Facility should work closely with the TSP and the partner organization during implementation, especially in difficult client situations. PAHRDF can also provide a venue (e.g., convention) for TSPs to calibrate their approaches and terminologies. It was also suggested that the TSP performance be monitored and evaluated and TSPs be given feedback on their performance. This will validate TSPs' contribution to the achievement of the Facility's objective, and will strengthen the partnership.

### A. *Does the model work?*

1. The feedback from different partner organizations and TSPs indicates that the model does work in terms of advancing PAHRDF's specific purpose, which is to build and enhance the capacity of targeted organizations in service delivery, in the application of high quality administrative governance, and in people and organizational development including the field of Human Resource Management and Development. There are concrete evidences that training cohorts from the partner organizations have acquired or upgraded competencies in various fields of expertise along the three capacity areas as a result of their participation in short term or long term training interventions.

For non-large agencies, there are also indications that improved competencies of individuals and units have directly translated to enhanced organizational capacities that have started to positively affect the quality of services to clients. That these improvements in client service delivery will eventually contribute to poverty reduction and sustainable equitable development is the ultimate goal of the Facility. It is acknowledged that at this point, it is too early to see concrete impact in these areas.

2. The Facility's slant on HR has been very beneficial to the agencies, especially since it is apparent that there has been no purposive effort to advance HRMD as an important element of organizational capacity development even in the national government agencies. Using the model, the targeted HR units were capacitated in ways that were not attempted before; this is seen as very significant in helping personnel service and HR units to enrich their focus beyond transactional HR tasks like processing leaves, benefits, and compensation.
3. The provision of leadership training for the large agencies' management team is a welcome intervention not only because this could build a cadre of change sponsors; but also because this is another area that has been neglected. It has been pointed out that even the Career Executive Service Board does not provide leadership training for division chiefs when in fact they perform very important leadership roles.
4. Admittedly, government organizations, particularly the large line agencies have been used to technical assistance packages that provide for consultants who do the work for them. While the novelty of the processes embedded in the model triggered some discomfort and even resistance among some stakeholders, the agencies find the model as relevant, appropriate and applicable. The model has in a way addressed two common pitfalls in getting consultants to do the job for the organization: i) technology is not transferred (or only to a limited extent, if at all) to the job performers; and ii) uncertainty as to whether systems that are developed by the consultants will be implemented or institutionalized.

5. It is apparent from the data gathered that the PAHRDF Capacity Development Model promotes the thrusts of the Accra Agenda for Action (AAA), particularly in terms of strengthening the capacity of developing countries to lead and manage development.

More specifically, the model supports the AAA statement that “Together, developing countries and donors will take the following actions to strengthen capacity development:

- i. Developing countries will systematically identify areas where there is a need to strengthen the capacity to perform and deliver services at all levels—national, sub-national, sectoral, and thematic—and design strategies to address them. Donors will strengthen their own capacity and skills to be more responsive to developing countries’ needs.
  - ii. Donors’ support for capacity development will be demand-driven and designed to support country ownership.
  - iii. Developing countries and donors will work together at all levels to promote operational changes that make capacity development support more effective.”<sup>7</sup>
6. The 2008 OECD/DAC inventory of donor approaches to capacity development reveals that, “At the level of policy, donor approaches to capacity development increasingly relate to the Paris Declaration principles for aid effectiveness, including: demand-driven capacity development; country ownership and leadership in capacity development processes; donor alignment with national strategies and development priorities.” Nonetheless, the OECD/DAC study also states that donors generally recognise the difficulty of systematically adhering to these principles at the operational level.<sup>8</sup>

The experiences of the partner organizations suggest that the PAHRDF Capacity Development Model has addressed this challenge of operationalizing the principles for aid effectiveness by adopting a clear set of targeting criteria when identifying potential partners. This stipulates not only the potential partner organization’s alignment to the Medium-term Development Plan of the Philippine Government and the Australia-Philippines Development Assistance Strategy, but also the organization’s readiness to lead change. Further, the use of the Workplace Training Approach and the accompanying Five-Step Quality Process nurtures the partner organization’s capacity and confidence to take a proactive role in defining its capacity development needs, determining interventions, and influencing the execution of capacity development packages.

7. It may be noted that the gains of the four large agencies from the application of the model are still limited to acquisition of learnings by the training cohort and the preparation of outputs that intend to improve organizational performance in the targeted capacity area, once implemented. While there have been initial activities to roll out and institutionalize these outputs, results are yet to be seen. These may be compared to the gains of other

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<sup>7</sup> *Accra Agenda for Action, Third High Level Forum on Aid Effectiveness, Accra, Ghana, September 2008.*  
<<http://www.oecd.org/dataoecd/58/16/41202012.pdf>>

<sup>8</sup> OECD/DAC Capacity Development Team (March 2009). *Inventory Of Donor Approaches to Capacity Development: What We Are Learning.*  
<[www.oecd.org/dataoecd/50/12/42699287.pdf](http://www.oecd.org/dataoecd/50/12/42699287.pdf)>

partner organizations, particularly the LGUs which already indicate positive impact on organizational performance and even on client service.

This may be attributed to several factors: The LGUs have been engaged right at the start of the Facility while the four large agencies were engaged only in 2007 and are just starting to use the training outputs. Likewise, the scope of partnership with the LGUs has been much wider in terms of capacity areas that have been targeted. Because of the length of and scope of engagement of the LGUs with PAHRDF, they have had the opportunity to create a critical mass that understand the need for change, and have actually been involved in the various change initiatives. This has facilitated the implementation of new systems and processes across the organization. This has not yet been the case in the large agencies. Achieving a critical mass will require more time and resources because of the size and context of the NGAs.

The differences in decision-making and management processes may also be a factor. It is recognized that large agencies are more prone to turfing issues, which can sometimes get in the way when it comes to deciding on deployment of personnel and resources, or supporting initiatives championed by another unit or officer, for example. A bigger number of stakeholders which can be spread out geographically also have to be consulted. These factors can affect the pacing of interventions. Additionally, the demands on large agencies are greater and more unpredictable. They have to deal with urgent emerging concerns and needs of the Office of the President, other national government agencies, LGUs and other publics, making focusing on what may be considered as non-urgent concern as HR development, more challenging.

## ***B. What elements of the model work?***

It is clear that partner organizations and TSPs see all the features and processes of the PAHRDF Capacity Development as important and supportive of the Facility's goal and purpose. They all agree that the Facility should continue to adopt the model, albeit with some suggested refinements. Emphasis is given to the following elements:

1. The Workplace Training Approach appears to be the "heart" and "lifeblood" of the model. The embedded Five-Step Quality Process actually propels the Facility's capacity development work. It sets-up and stimulates the translation of individual competencies to enhanced organizational capacities and service delivery. The definition of the workplace development objectives that are anchored on actual needs, the use of adult learning strategies in capacitating of target cohorts via LTT and/or STT programs, and the preparation and implementation of REAPs enhance the probability that learnings will not remain at the individual level.

The Workplace Training Approach responds to the perennial challenge that confronts HRD-driven interventions: i.e., "How do you make sure that competencies that are developed in individuals are translated to enhanced organizational capacities and service delivery?" By the time a PAHRDF HR activity is closed, a set of outputs that intends to guide the

improvement of specific organizational systems and processes would have been presented to key stakeholders, and REAPs to institutionalize changes would have been approved for implementation by top management.

Admittedly, using the Workplace Training Approach has not been easy especially for the four large agencies and the participants. Tasking the participants to prepare the outputs was a major paradigm shift as they have been accustomed to relying on consultant experts to do the job. The concept of the REAP as a mechanism for institutionalizing change is well-appreciated by everybody. However, it has become a tenuous issue in certain instances because of the anticipated changes in the organization as a result of the government's rationalization program. Organizational and client demands that have to be met while producing the outputs and implementing the REAPs make the application of the Workplace Training Approach even more challenging.

While LGUs experience the same challenges when they were starting to embrace the Workplace Training Approach, it would appear that the organizational environment in LGUs has been relatively more flexible and supportive of the approach. For one, the training cohorts in the LGUs (who can be considered as less "training-savvy") have been relatively more eager to participate in the training interventions and undergo coaching and mentoring. In general, the LGUs have also been more appreciative of the PAHRDF engagement and approach as compared to the large agencies.

2. The highly participative processes in which the PAHRDF Capacity Development Model is executed works well for the four large agencies. The early involvement of key stakeholders in the engagement process props up the stage for creating buy-in and sponsorship. Top executives and managers participated in re-visiting the agencies' development agenda, clarifying their strategic directions, and identifying capacity gaps. Representatives of partner organizations were also involved in determining and planning HR interventions as opposed to the consultant-driven mode of prescribing solutions to close the gaps. These promoted a sense of ownership among the agencies and contributed to greater acceptance of the HR interventions. Learning sessions both during the residential and coaching phases were likewise highly participative. An added positive consequence of these highly participative processes is the development of confidence of the agencies and individual participants to perform functions in a manner that they have never attempted to do in the past.
3. The Facility's enabling mechanisms provide the critical resources that are needed for the efficient and effective functioning of the Workplace Training Approach. These resources include Facility leadership and management, technical and process expertise, technologies, relationships and partnerships, monitoring and evaluation, etc. The Facility's team is favourably perceived as an enabler because of the members' sincerity in helping partner organizations improve. The partnership with qualified TSPs to execute the identified interventions is a scheme that allows the Facility to attend to the needs of a number of partner organizations simultaneously. The Facility ensures that the team of PAHRDF staff and TSPs can effectively respond to the needs of partner organizations by providing venues

for information exchange and upgrading of technical and process competencies. The M and E system meets a dual purpose of tracking what is happening in the partner organizations and pushing the latter to pursue the implementation of REAPs, attesting to the adage that “what gets measured gets done.” The e-business process supports the management of various activities at different stages that involve multi-stakeholders. This likewise models the use of technology to advance transparency in transactions.

### **C. Under what particular circumstances does the model work?**

#### **1. Readiness for Change of Partner Organizations**

Meeting the strategic criteria for partnering which states that PAHRDF shall prioritise organizations whose mandates are directly aligned to the achievement of the MDG, the current MTPDP, and Philippines-Australia DAS is mandatory. It is therefore assumed that organizations that enter into partnership with PAHRDF are all equal in this respect. The discussions indicate that it is actually the process criteria or degree of readiness for change of the organization that will impact on the effectiveness of the PAHRDF Capacity Development Model.

In a way, the two are mutually reinforcing, as the model works best when applied in an organization...

- i. ...whose mandates and organizational thrusts are clear, whose short-term and medium term plans are in place, and whose internal change strategies are articulated in official documents. (This is the *Vision and change agenda* criterion for partnering.)

This is very important because of the strategic alignment that the Facility seeks to achieve when partnering with organizations. Organizational assessments are done, and interventions planned and executed with the organization’s agenda as anchor.

- ii. ...where there are high level leaders who will champion, lead and support the change efforts, and who will be present and accessible throughout the duration of the engagement. (This is the *Executive sponsorship* criterion for partnering.)

For the large agencies, the support and sponsorship of a senior official who will champion capacity development as an organizational imperative, rather than a series of isolated training events is even more critical in making the PAHRDF model work. But beyond top executive sponsorship, the Workplace Training Approach also requires multi-layered commitment and support from the agencies’ management team. Likewise, it is very important that the change champion is acceptable and credible to different stakeholders because of the sheer size of their structure and the political nuances that go with it.

- iii. ...that manifests a clear resolve to participate in and finish the engagement, able to demonstrate ownership of the change process, and has a track record of successful change engagements and projects. (This is the *Willingness to undergo change* criterion.)

The Workplace Training Approach which is the heart of the PAHRDF Capacity Development Model departs from the usual training delivery mode that most are accustomed to. It requires mental re-framing at the organization and individual levels, as both have to be very active participants and doers when planning and implementing learning interventions, instead of just being passive recipients of inputs from resource persons and consultants.

- iv. ...that is able to optimize outputs and gains to support its development agenda, can provide counterpart resources, and with trainable staff complement. (This is the *Absorptive capacity* criterion.)

The presence of the above circumstances or conditions allows the partner organization to be very receptive and responsive to the Facility's capacity development approach, and the organization's positive response in turn reinforces the value and effectiveness of the model in helping achieve the organization's change agenda. This mutually reinforcing relationship seems to move PAHRDF and the responsive partner organization in an upwardly spiral process of growth. (On the other hand, the effectiveness of the model in facilitating change is less pronounced in partner organizations that are unable to manage challenges in executive sponsorship, absorptive capacity, or in any of the above conditions.)

One process criterion that has not surfaced in the study is the presence of *Visible and functioning HR systems*. In PAHRDF's targeting criteria, this item has the least weight; and it seems to be rightly so. Nonetheless, this does not necessarily mean that this should be removed from the process criteria. This only suggests that the model can be applied even if HR systems are not yet fully functioning. However, sustaining the gains from the partnership may necessitate the presence of a structure (logically an OD or HR unit) that can oversee, integrate, and "push" the various change initiatives.

## 2. Sound Execution by Facility's Leadership and Management Team

While certain conditions need to be present in partner organizations for the PAHRDF Capacity Development Model to prosper, equally important is sound execution of the model by the Facility's leadership and management team. This entails having a team that is able to...

- i. ...direct and orchestrate the numerous activities that are happening so that these do not just become a series of events that can be reported as accomplished. The set-up of designating a specific HR Adviser to assist an organization is considered effective.
- ii. ...facilitate the consistent execution of the steps embedded in the Workplace Training Approach. It will be noted that lapses in applying standards in any of the steps of the quality process can derail the effectiveness of the model.
- iii. ...partner with and monitor the performance of competent TSPs. As the TSPs are the main delivery arm for its interventions, the Facility's team needs to see to it that TSPs are aligned with the Facility's goal, purpose and approaches. The team also has to ensure that the TSPs comply with the terms of partnering, and adhere to professional standards in carrying out its work and relating with PAHRDF and partner organizations.

- iv. ...model and promote continuous improvement in the way processes are observed and in the way interventions are carried out. This means seeking feedback for improvement, making systems and processes more responsive, encouraging partner organizations and TSPs to innovate, and providing venues for information exchange and learning sessions.

## **IV. Recommendations**

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### ***A. Reinforcing Effectiveness of Implementation of Existing Capacity Development Model***

The varying degrees of effectiveness in which the PAHRDF Capacity Development Model has worked for partner organizations is affected by the presence or absence of conditions that are discussed above. The following recommendations are presented to strengthen the operationalization of the model:

1. Plan for more stringent application of the process criteria in targeting potential partner organizations.

Among the criteria, *Executive sponsorship* and *Absorptive capacity* seem to be very critical in terms of advancing the partnership and optimizing the gains. The Facility may have to be more specific in terms of defining indicators for these (including minimum requirements) and ensuring that these are met.

2. Include risk analysis as part of the preparation for partnership with organizations.

Although partner organizations may have met all the process criteria, it is always possible that organizational changes or even external factors can alter the partner's circumstances in the duration of the partnership. Assumptions that could have been made at the start of the partnership may not materialize. PAHRDF and the partner organization may have to prepare a risk analysis or plan for potential problems so that mitigating or contingency actions can be put in place to address shifts in the way the organization will be able to meet these criteria.

3. Calibrate and consistently implement standards in executing the Five-Step Quality Process.

As the lifeblood of the model, the execution of the Workplace Training Approach and the embedded Five-Step Quality Process can influence the success or failure of the partnership. It is suggested that the Facility's team calibrate and document standards that will guide HR advisers, the partner organizations, and TSPs in undertaking the Five-step Quality Process. The HR advisers can then be tasked with ensuring that these standards are consistently applied. Doing this can avoid problems of weakly written tender support documents, participant mismatch, inappropriate choice of benchmarking sites, ineffective mentoring support, etc.



#### 4. Optimize existing mechanisms to improve effectiveness of Capacity Development Model.

The Facility's e-business support captures rich information that can be used a resource to track how interventions are being carried out for various partner organizations by different TSPs. It is recommended that HR advisers be more mindful of uploaded information (e.g., message board, training evaluation, etc.) and strive to be more consistent in responding to partners' feedback.

Given the breadth and depth of the Facility's experiences in capacity development work, and the wealth of information and knowledge that has been and is being generated, there is a need to strengthen the current e-system that supports knowledge documentation, storage, sharing and publishing.

Strengthen partnership with TSPs. There is a perception that the role of the TSP as an extension of the PAHRDF and part of a tripartite partnership is sometimes minimized especially when there are issues to be resolved with the partner organization. This may entail clarifying and levelling of expectations between TSPs and PAHRDF, or even the conduct of teambuilding interventions that can strengthen the synergy between partners. PAHRDF may need to revisit its criteria and process for TSP selection, particularly in terms of accepting nominated resource persons or facilitators for major and very critical learning areas. If necessary, this may involve targeted interviewing and thorough reference checking just to ensure that the nominated person can deliver what is captured in the submitted curriculum vitae.

#### ***B. Enhancing Features of the PAHRDF Capacity Development Model***

One element that can significantly enrich the features and processes of the PAHRDF Capacity Development Model is the incorporation of a parallel M and E system for TSP performance.

Since PAHRDF is to a large extent dependent on the TSPs for executing interventions, there is a need for a more purposive and systematic system for monitoring and evaluating their performance. A parallel M and E system that can track and assess TSP performance can serve several purposes: e.g., provide timely feedback to PAHRDF on concerns that require the intervention of the Facility; inform PAHRDF on what capacity development support the TSPs need; validate the effectiveness of the TSP accreditation process; etc. Ultimately, the M and E system will contribute towards upgrading the capacities of TSPs to better perform their role as PAHRDF's delivery arm.

#### ***C. Up-scaling the Model to Large Organizations***

The PAHRDF Capacity Development Model has yielded significant gains when applied to LGUs and bureaus. The Facility's experience in applying the model to four large national government agencies indicates that it is as relevant and useful to large organizations. The following

recommendations are forwarded to further strengthen the model's value when "up-scaled" to NGAs:

1. *Leverage Partnerships with National Oversight Agencies.* There is a strong need to influence a paradigm shift in the way the large agencies regard capacity development. It is unfortunate that the low priority given to HR and OD is reinforced by the national government whenever it issues orders to "de-prioritize" training and development when government spending needs to be curbed. The roles of the CSC and DBM as central agencies in improving management effectiveness and productivity should be leveraged by the Facility. The DBM and CSC can play an important role in seeing to it that a fully functional HRMD office is in place in all large agencies. Having seen the value of having a capacity development model that will guide investments in this area, both agencies can work together in advocating the adoption of the PAHRDF Capacity Development Model or its modified versions across the bureaucracy.

While CSC has been upgrading the competencies of individual HRMOs, the Commission can work with PAHRDF in capacitating agencies to develop their own capacity development model so that HRMOs can contribute even more meaningfully in advancing their organization's change agenda. CSC can also play a more influential and strategic role in the government's capacity development efforts by being represented in the Facility's Board.

PAHRDF can also find ways to support the Organizational Performance Indicator Framework (OPIF) that is being carried out by DBM so that agencies can derive optimum benefit from the interventions. One way of doing this is aligning the REAPs of training participants with the OPIF log frame of the agencies.

The NEDA which has an oversight role over all foreign assisted programs can consider integrating a capacity development model in foreign assisted programs. As revealed in the study, the DPWH has been a recipient of a foreign grant for nine years and such program did not have provisions for capacity building interventions.

2. *Prioritize Entry-points for Change.* While HR strengthening and leadership development had been the entry-points in the four large agencies, other entry points that will provide opportunities for higher and broader engagement should be explored as necessary. For the time being that HR offices may not have the clout and influence to effectively manage organizational reforms, it may also be worthwhile to provide parallel focus on organizational units which are directly involved in the reform programs of the agency. For example, in the case of the DPWH which needs to overhaul and modernize its perspectives and practices for undertaking public works, the entry point for intervention can be with the units that are and should be in the forefront of the reforms. However, in the long run, there should be an HR structure with competent warm bodies that will anticipate, plan, develop, manage and evaluate the agencies' capacity development program.
3. *Intensify Pre-Implementation Phase.* The realities, nuances and uniqueness of culture in each of the large agencies would have to be carefully factored in during the preparation

stage of engagement. This may mean conducting a more in-depth analysis that can include “diagnosing” organizational dynamics, leadership styles, power bases, and other factors that can derail or promote the partnership. Having an organizational audit before work commence will significantly influence the design and execution of PAHRDF interventions. PAHRDF may also have to include a Risk Management Plan that is prepared with partner organizations as part of its groundwork when engaging large agencies to anticipate and prepare for emerging conditions that can derail the engagement.

Large agencies require longer preparation time in terms of achieving readiness for the PAHRDF capacity development approach. Top management nod may be the easiest to get, but getting multi-layered support will require more time and intervention. Involving as many stakeholders during the organizational profiling stage is important. Identifying a PAHRDF contact person that is acceptable and credible to different stakeholders and have access to top decision makers is also critical. Changing the nomenclature of the activity components may also be helpful. Instead of calling the orientation and preparation component as “Component 0”, it may be worthwhile to call it “Component 1” to signal the start of the activity. There may also be a need to engage in activities that will facilitate shifts in paradigm regarding training and development, in general, and workplace training, in particular.

4. *Apply Alternative Modes of Training Delivery.* It may be good to look at alternative modes of training delivery to address the organizations’ concern over availability of participants to attend training (that includes coaching and mentoring) for long periods of time. Some suggestions made include on-line courses and attendance to local universities.

## **I. Introduction**

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### **A. Overview of the PAHRDF**

In August 2004, the Governments of Philippines and Australia launched the Philippines Australia Human Resource Development Facility (PAHRDF). Set to operate for five years, the Facility's overarching goal is to contribute to poverty reduction and sustainable equitable development in the Philippines. This goal supports the Australia-Philippines Development Assistance Strategy's (DAS) thrust to contribute to improving the prospects for economic growth, poverty reduction, and national stability in the country.

PAHRDF's specific purpose is to build and enhance the capacity of targeted organizations in service delivery, in the application of high quality administrative governance, and in people and organizational development including the field of Human Resource Management and Development (HRMD). Developed competencies in these areas are envisioned to directly translate to enhanced organizational capacities that will impact on the quality of services to clients, eventually contributing to poverty reduction and sustainable equitable development.

A Facility Advisory Board (FAB) provides strategic directions and a Facility Executive Committee (FEC) oversees the management of PAHRDF. The Facility uses a set of FAB-approved criteria to determine potential partner organizations that are most likely to implement and sustain the gains of assistance. The criteria include two categories – strategic and process. The strategic criteria focus on potential partner organizations' alignment to the Medium-term Development Plan (MTDP) of the Philippine Government and the Australia-Philippines DAS. The process criteria include organizational factors that are necessary for the assistance to succeed (i.e., vision and change agenda; executive sponsorship; willingness to undergo change; absorptive capacity; and visible and functioning hr systems). The criteria are reviewed every year to consider new development initiatives and priorities.

Over the years of its operation, PAHRDF has partnered with 36 public sector and private organizations and local government units (LGUs), and 17 schools under the Basic Education Assistance for Mindanao (BEAM) project (an Aus-AID supported project of the Department of Education in Regions 11, 12 and the ARMM).

The Facility embraces two major delivery modes in its HRD interventions: Long Term Training (LTT) and Short Term Training (STT) /HRD support activities. PAHRDF has adopted workplace training as its main delivery approach for these interventions to facilitate the progression and translation of acquired competencies at the individual level to enhanced organizational capacity and improved service delivery.

## **B. Rationale and Objectives of the Study**

Since its commencement in 2004, the Facility has continuously sought to improve the processes, mechanisms, and HR/OD conceptual frameworks that support its LTT and STT interventions. While the Facility is able to record these innovations in various documents, there is no holistic or quintessential document that captures PAHRDF's Capacity Development Model. Further, although the Facility has always solicited feedback from its different stakeholders on the effectiveness of its approach, there has been no dedicated research on this.

The present study on PAHRDF's Capacity Development Model is envisioned to provide a meaningful and disciplined mapping of the underlying program theory that has guided the Facility's capacity development initiatives from the stages of diagnosis, planning, implementation, monitoring and evaluation. Specifically, the study aims to:

- Consolidate an in-depth technical description of the Facility's Capacity Development Model

This entails a) a review of capacity development literature; b) an inventory of capacity development models being used by donors and the public sector; and c) an in-depth review of the Capacity Development Model that constitutes the Facility's approach.

- Assess the effectiveness of PAHRDF Capacity Development Model in various modes and parameters of its use

Three questions are to be answered under this objective: a) "Does the model work?" b) "What elements of the model work?" and c) "Under what particular circumstances does the model work?"

Aside from providing invaluable inputs and reference for the accomplishment of the Facility's Activity Completion Report (ACR), the study is envisaged to inform capacity development practice in the public and other sectors.

## **II. Research Framework and Methodology**

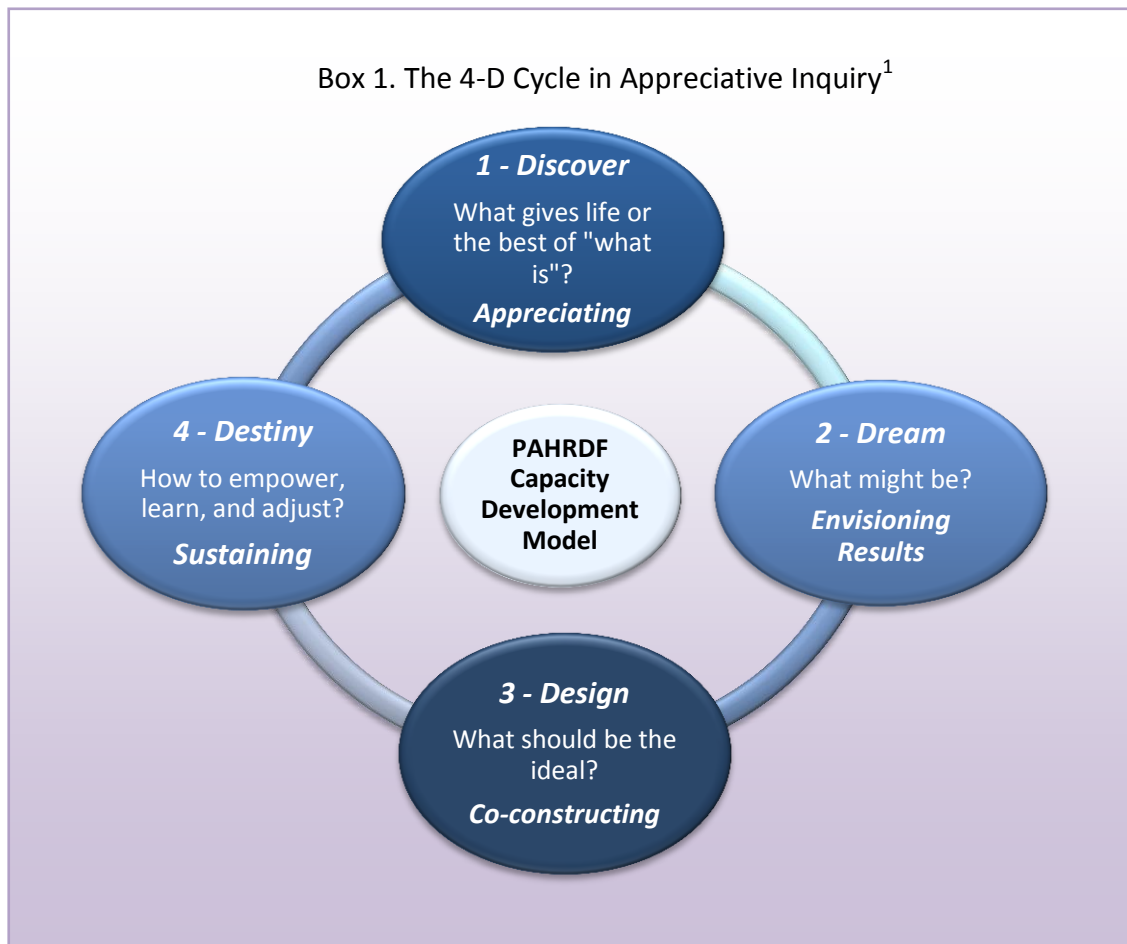
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### **A. Appreciative Inquiry as Research Framework**

The study was anchored on the Appreciative Inquiry (AI) Framework. An accepted approach in the evaluation and execution of organizational development strategies, the AI framework provided both a logical map and a creative process for conducting the research. The study

capitalized on the key AI elements of creative participation and positive focus to achieve its objectives, particularly in assessing the effectiveness of the PAHRDF Capacity Development Model in various modes and parameters of its use.

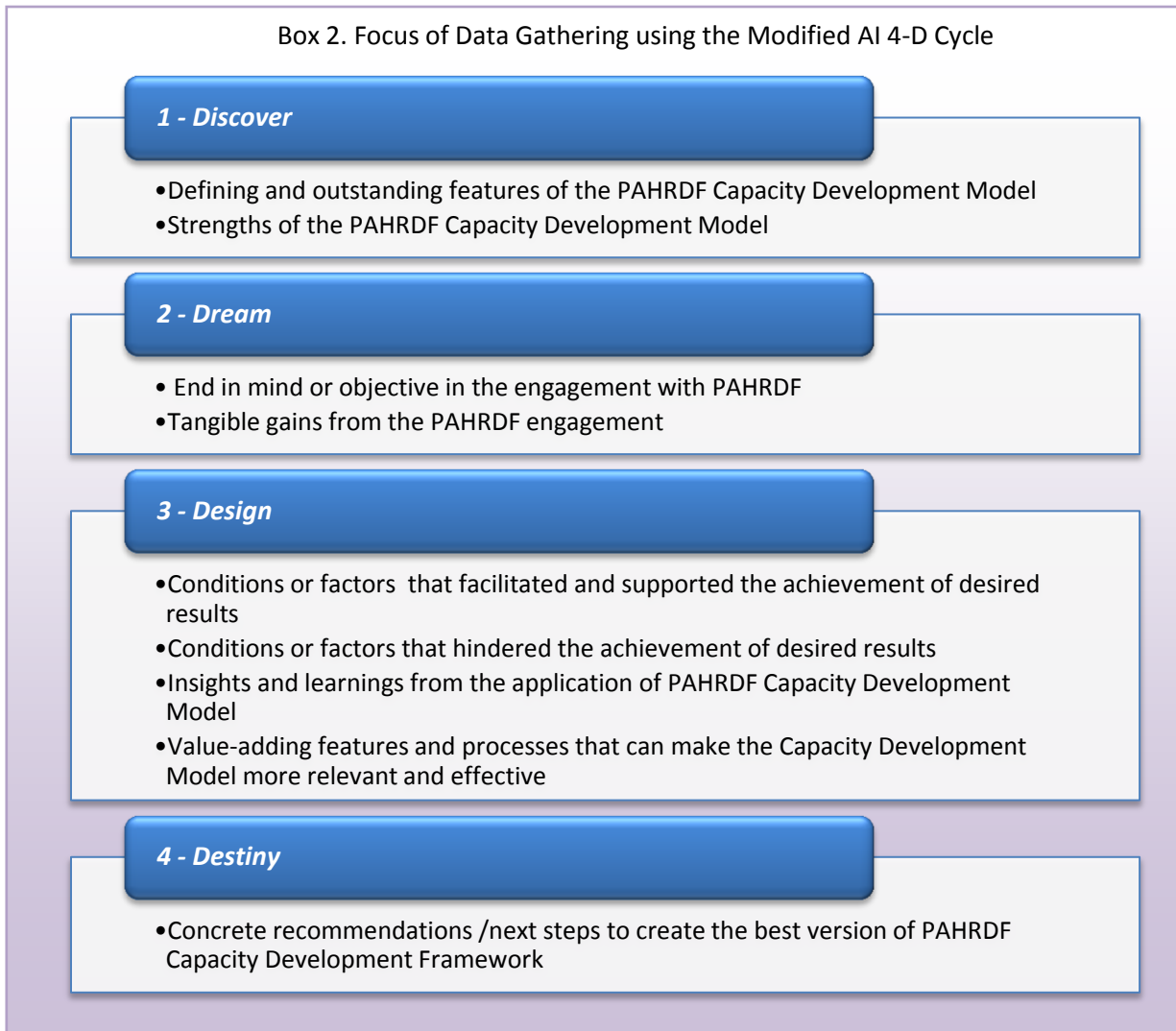
The study followed a modified version of what is known in AI language as the 4-D Cycle: Discovery – Dream – Design - Destiny.



The use of the 4-D Cycle of Appreciative Inquiry allowed the data gathering to flow from an assessment of the current configuration and applications of the Capacity Development Model, to a synthesis of recommendations on its best possible applications. Being an assessment process, Step 2 was tweaked so that data gathering can focus on the partners' vision from the partnership and the tangible gains that have been achieved (rather than a design vision for the model which was instead covered in Step 3). Likewise, to ensure that there will be a more explicit discussion on the weaknesses or improvement areas of the

<sup>1</sup> David L. Cooperrider and Diana Whitney. *Appreciative Inquiry (A Positive Revolution in Change)*, Berrett-Koehler Publishers, Inc., 2005.

PAHRDF Capacity Development Model, Step 3 was modified to include questions on factors and conditions that hindered the achievement of desired results from the partnership with PAHRDF.



## **B. Methodology**

Four data gathering techniques were employed to generate the needed data and information:

1. *Secondary Data Analysis.* Relevant literature on capacity development initiatives was reviewed. As most donor agencies that are engaged in capacity development work have websites or have published their works electronically, the internet was a major source of materials for the review of literature. PAHRDF documents which have been made

available by the Facility (i.e., Monitoring and Evaluation Reports, 2007 Report on the Strategic Review of the PAHRDF, and PAHRDF Annual Plans) were likewise a source of critical contextual inputs to the study.

2. *Focus Group Discussion (FGD)*. Key informants from each of the identified sample partner organizations were assembled to share their inputs as PAHRDF partners. A separate session with the PAHRDF team was conducted. FGD sessions were facilitated by one of the study team members, while another documented the discussion. A set of questions along the AI 4-D Cycle guided the open exchange and sharing of experiences, opinions, and recommendations related to the Capacity Development Model. (*The AI Data Gathering Guide is attached as Annex C.*)
3. *Face-to-face Interviews*. Using the same AI Data Gathering Guide, some key informants from Training Service Providers (TSP) and partner organizations were interviewed. As in the FGD, face-to-face interviews were conducted by two members of the study team; one as lead interviewer and the other as documenter. To prepare for the data gathering activities, the study team likewise interviewed the HR Advisers of partner organizations to better understand the unique context of the partners' engagement with the PAHRDF.
4. *E-questionnaire*. For key informants who were not available during the data gathering activities, the AI Data Gathering Guide was sent electronically (via e-mail) so they could participate in the study.

### **C. Sampling**

Purposive sampling was used to identify the partner organizations, TSPs, donor organizations, and relevant public sector agencies (engaged in capacity development work) that would be part of the study. This and the identification of key informants from the different organizations were done in coordination and consultation with PAHRD.

For partner organizations and TSPs, a key consideration for selection is the extent of their engagement with PAHRDF. Having a balance of highly successful and less successful engagements in the sample was also an important consideration. For the schools, one BEAM cluster of schools that are relatively proximate to each other was selected.

Necessarily, donor agencies with documented capacity development models and practices were included in the review. One development program, the Local Government Support Program (LGSP) was included in the review because of its comprehensive documentation of its capacity development practices. For the Philippine public sector, four agencies that are involved in capacity development work were made part of the study.

Box 3 lists the organizations that form part of the study's sample.



Box 3. List of Respondent Organizations	
<i>Partner Organizations</i>	Provincial Government of Bohol (PGBh) Provincial Government of Northern Samar (PGNS) Bureau of Local Government Finance (BLGF) Land Management Bureau (LMB) Local Government Academy (LGA) Davao City Chamber of Commerce and Industry, Inc. (DCCCCI) Mindanao Economic Development Council (MEDCo)
<i>BEAM Schools</i>	Assumption College of Nabunturan (ACN) University of Mindanao - Davao City University of Mindanao – Tagum City
<i>Training Service Providers</i>	Integrative Learning (IL) IMPACT Meralco Management and Leadership Development Centre (MMLDC) Orient Integrated Development Consultants, Inc.
<i>Donor Organizations/ Development Program</i>	Asian Development Bank (ADB) Canadian International Development Agency (CIDA) Japan International Cooperation Agency (JICA) United Nations Development Program (UNDP) Local Government Support Program (LGSP)
<i>Public Sector Agencies (involved in capacity development work)</i>	Career Executive Service Board (CESB) Civil Service Commission (CSC) Development Academy of the Philippines (DAP) Local Government Academy (LGA)

**D. Boundaries of the Study**

1. Part I of the study, i.e., review of capacity development literature and capacity development models, focused mostly on recent discussions on capacity development that are posted in the internet.
2. For capacity development models or frameworks used by the Philippine public sector only the capacity development model of the Local Government Academy is presented in this study. This has been generated through a focus group discussion with key officers of the academy and internet research. The other public sector agencies (i.e., Career Executive Service Board, Civil Service Commission, and the Development Academy of the Philippines) have yet to develop or document their own.
3. Although the respondents had been identified before the data gathering activities, the actual respondents, especially for Part III of the study depended largely on the availability of target informants during the scheduled data gathering visits.

# *The PAHRDF Capacity Development Model and its Applicability across Various Types of Institutions*

## *Part I: Review of Capacity Development Literature and Capacity Development Models*



Australian Government  
AusAID

PHILIPPINES - AUSTRALIA  
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## **Preface**

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The present paper is part of a study commissioned by the Philippines-Australia Human Resource Development Facility (PAHRDF), an initiative of the Australian Agency for International Development. The study entitled *Capacity Development Model and its Applicability across Various Types of Institutions*, aims “to provide a meaningful and disciplined mapping of the underlying program theory that has guided the Facility’s capacity development initiatives from the stages of diagnosis, planning, implementation, monitoring and evaluation”.

Part I of the study seeks to contextualize the Facility’s Capacity Development Model by: 1) reviewing recent capacity development literature; and 2) scanning capacity development models being used by some donors and the public sector in the Philippines.

## Acronyms

AAA	Accra Agenda for Action
ADB	Asian Development Bank
Aus-AID	Australian Agency for International Development
CDP	Comprehensive Development Plan
CIDA	Canadian International Development Agency
DBM	Department of Budget and Management
DILG	Department of the Interior and Local Government
DMCs	Developing member countries
ELA	Executive and Legislative Agenda
FCM	Federation of Canadian Municipalities
FEET	Foundation for Effective and Efficient Transition
GoFAR	Good Practices Facility for Adaptation and Replication
GTZ	Deutsche Gesellschaft für Technische Zusammenarbeit
ILMS	Integrated Library Management System
JICA	Japan International Cooperation Agency
LGA	Local Government Academy
LGPMMS	Local Governance Performance Management System
LGRC	Local Governance Resource Centre
LGSP	Local Government Support Program
LGU	Local government unit
LoGoTRI-PhilNet)	The Local Governance Training and Research Institutes Philippine Network
MDG	Millennium Development Goals
NEDA	National Economic Development Authority
NGO	Non-government organization
OECD/DAC	Organization for Economic Co-Operation And Development/ Development Assistance Committee
OPAC	Online Public Access Catalogue
PAHRDF	Philippines-Australia Human Resource Development Facility
PALS	Powerful Alternative Learning Strategies
PIS	Performance Information System
SCALOG	System on Competency Assessment for Local Governments
SLGR	State of Local Government Report
UNDP	United Nations Development Programme
USAID	United States Agency for International Development

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B.  OECD/DAC Capacity Development Team (March 2009). Inventory Of Donor Approaches to Capacity Development: What We Are Learning. < <a href="http://www.oecd.org/dataoecd/50/12/42699287.pdf">www.oecd.org/dataoecd/50/12/42699287.pdf</a> >	





## Introduction

It is recognized that “the achievement of the Millennium Development Goals (MDG) and other international and national development targets hinges on capacities of individuals, organizations and societies to transform, in order to reach their development objectives”<sup>1</sup>. The March 2005 Paris Declaration on Aid Effectiveness has urged partner and donor countries to focus their collective attention on a more effective delivery of aid, the overall level of which has doubled since 2002. Among other things, this means capacitating partner countries to create sustainability.<sup>2</sup> This impetus for collective action is further reinforced by the Accra Agenda for Action (AAA) which was articulated by ministers of developing and donor countries and heads of development institutions in Ghana on September 2008, to accelerate and deepen the implementation of the Paris Declaration.<sup>3</sup> Part of the Accra statement pronounces (Box 1):

### Box 1

**“Developing countries will strengthen their capacity to lead and manage development.**

Without robust capacity—strong institutions, systems, and local expertise—developing countries cannot fully own and manage their development processes. We agreed in the Paris Declaration that capacity development is the responsibility of developing countries, with donors playing a supportive role, and that technical co-operation is one means among others to develop capacity. Together, developing countries and donors will take the following actions to strengthen capacity development:

- a) Developing countries will systematically identify areas where there is a need to strengthen the capacity to perform and deliver services at all levels—national, sub-national, sectoral, and thematic—and design strategies to address them. Donors will strengthen their own capacity and skills to be more responsive to developing countries’ needs.
- b) Donors’ support for capacity development will be demand-driven and designed to support country ownership. To this end, developing countries and donors will
  - i. Jointly select and manage technical co-operation, and
  - ii. Promote the provision of technical co-operation by local and regional resources
- c) Developing countries and donors will work together at all levels to promote operational changes that make capacity development support more effective.”

Accra Agenda for Action, Third High Level Forum on Aid Effectiveness, Accra, Ghana, September 2008,

<sup>1</sup> UNDP Capacity Development Practice Note (October 2008). < <http://www.undp.org/capacity/>>

<sup>2</sup> Capacity Development in Broad Strokes: Accra and Beyond.  
<[undg.org/docs/9210/CAPACITY\\_DEVELOPMENT\\_IN\\_BROAD\\_STROKES\\_30\\_July.doc](http://undg.org/docs/9210/CAPACITY_DEVELOPMENT_IN_BROAD_STROKES_30_July.doc)>

<sup>3</sup> Accra Agenda for Action, Third High Level Forum on Aid Effectiveness, Accra, Ghana, September 2008.  
<<http://www.oecd.org/dataoecd/58/16/41202012.pdf>>

More than ever, there is heightened interest in capacity development within the development community in response to the above and the acknowledged shortcomings in development assistance packages which used to be characterized by dominant donor-led projects and inadequate attention to long-term ‘capacity’ issues.<sup>4</sup> It has also been observed that early capacity development efforts tended to concentrate on funding of inputs: technical assistance, training, and scholarships, which even when completed successfully, do not always translate into sustainable capacity development. While both donors and partner countries support the concept of capacity development to ensure relevance and sustainability of development co-operation action, there is acknowledged difficulty among donors in operationalizing the concept at the field level.<sup>5</sup>

## I. Defining Capacity Development

Many donors, like the Asian Development Bank (ADB), Germany, the Netherlands, and Italy, refer to the definitions provided in the 2006 OECD/DAC (Organization for Economic Co-Operation and Development/ Development Assistance Committee) Guidelines and Reference Series<sup>6</sup> to explain the concepts of *capacity* and *capacity development* (Box 2). Others, like the United Nations Development Programme, Canada, and Japan use very similar definitions; while some have not adopted a formal definition. Despite lack of uniformity, there is a convergence among donors towards a basic understanding of the concept. They agree that:

- The determinants of capacity development are not only technical but also political and governance related (strong political commitment, favourable incentive systems, government-wide reform); and
- Capacity development is multi-dimensional and that it goes beyond knowledge and skill transfer at the individual level to consider organizations, institutions, networks, and the

### Box 2

**Capacity** is the ability of people, organisations, and society as a whole to manage their affairs successfully.”

**Capacity development** is the process whereby people, organisations and society as a whole unleash, strengthen, create, adapt, and maintain capacity over time.

“The Challenge of Capacity Development: Working towards Good Practice (DAC Guidelines and Reference Series, A DAC Reference Document), OECD, 2006”

<sup>4</sup> Joe Bolger (May 2000). *Capacity development: why, what and how*. < [http://www.acdi-cida.gc.ca/inet/images.nsf/vLUIImages/CapacityDevelopment/\\$file/CapDevOSVol1No1-E.pdf.cida.gc.ca/inet/images.nsf/vLUIImages/CapacityDevelopment/\\$file/CapDevOSVol1No1-E.pdf](http://www.acdi-cida.gc.ca/inet/images.nsf/vLUIImages/CapacityDevelopment/$file/CapDevOSVol1No1-E.pdf.cida.gc.ca/inet/images.nsf/vLUIImages/CapacityDevelopment/$file/CapDevOSVol1No1-E.pdf)>

<sup>5</sup> *Capacity Development in Broad Strokes: ACCRA and Beyond*. < [undg.org/docs/9210/CAPACITY\\_DEVELOPMENT\\_IN\\_BROAD\\_STROKES\\_30\\_July.doc](http://undg.org/docs/9210/CAPACITY_DEVELOPMENT_IN_BROAD_STROKES_30_July.doc)>

<sup>6</sup> The paper, “*The Challenge of Capacity Development: Working towards Good Practice (DAC Guidelines and Reference Series, A DAC Reference Document)*”, OECD, 2006 < [www.oecd.org/dataoecd/4/36/36326495.pdf](http://www.oecd.org/dataoecd/4/36/36326495.pdf)>” is attached to the present study as Annex A.

systems in which they are embedded.<sup>7</sup>

The following definitions of capacity development have been articulated by some of the key donor agencies in the Philippines.



**Australian Agency for International Development (Aus-AID).** The process of developing competencies and capabilities in individuals, groups, organizations, sectors or countries, which will lead to sustained and self-generating performance improvement.

Cited in: Inventory of Donor Approaches to Capacity Development: What We Are Learning. OECD/DAC Capacity Development Team, March 2009, <http://www.oecd.org/dataoecd/50/12/42699287.pdf>



**Canadian International Development Agency (CIDA).** A process by which individuals, groups, institutions, organizations and societies enhance their abilities to identify and meet development challenges in a sustainable manner.

Cited in: C.Lusthaus, M. Adrien, M. Perstinger. *Capacity Development: Definitions, Issues and Implications for Planning, Monitoring and Evaluation, Universalia Occasional Paper No. 35, September 1999*. Retrieved from <http://www.universalia.com/files/occas35.pdf>



**Deutsche Gesellschaft für Technische Zusammenarbeit (GTZ).** Developing the capacities of people, organisations and societies to use resources effectively and efficiently in order to achieve their goals in a sustainable manner.

<http://www.gtz.de/en/leistungsangebote/3393.htm>



**Japan International Cooperation Agency (JICA).** The process in which individuals, organizations, institutions, and societies develop abilities either individually or collectively to respond to issues to perform function, solve problems, and set and achieve objectives.

Cited in: OECD/DAC Capacity Development Team (March 2009). *Inventory Of Donor Approaches to Capacity Development: What We Are Learning*. [www.oecd.org/dataoecd/50/12/42699287.pdf](http://www.oecd.org/dataoecd/50/12/42699287.pdf).



**United Nations Development Programme (UNDP).** The process through which individuals, organizations and societies obtain, strengthen and maintain the capabilities to set and achieve their own development objectives over time.

*UNDP Capacity Development Practice Note* (October 2008). <http://www.undp.org/capacity/>

<sup>7</sup> OECD/DAC Capacity Development Team (March 2009). *Inventory Of Donor Approaches to Capacity Development: What We Are Learning*. < [www.oecd.org/dataoecd/50/12/42699287.pdf](http://www.oecd.org/dataoecd/50/12/42699287.pdf).>

## II. Capacity Development or Capacity Building?

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Some donor agencies use the terms capacity development and capacity building interchangeably. The OECD/DAC however, prefers to use capacity development over what it considers as the more traditional capacity building. According to OECD/DAC, the term “building” suggests a “process starting with a plain surface and involving the step-by-step erection of a new structure, based on a preconceived design. Experience suggests that capacity is not successfully enhanced in this way.”<sup>8</sup>

Like the OECD/DAC, the UNDP prefers to use capacity development, which it considers to be

### Box 3

**Capacity building** is a process that supports only the initial stages of building or creating capacities and alludes to an assumption that there are no existing capacities to start from. It is therefore less comprehensive than capacity development.

UNDP Capacity Development Practice Note (October 2008), <http://www.undp.org/capacity/>

more comprehensive and reflective of its approach which “uses existing base of capacities as starting point and then supports national efforts to enhance and retain them. This is a process of transformation from the inside, based on nationally determined priorities, policies and desired results. It encompasses areas where new capacities have to be introduced and hence, the building of new capacity is also supported.” In comparison, the UNDP sees capacity building as a “process that supports only the initial stages of building or creating capacities and alludes to an assumption that there are no existing capacities to start from. It is therefore less comprehensive than capacity development.”<sup>9</sup>

## III. Mapping Efforts on Capacity Development

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In 2008, the OECD/DAC took concrete strides towards promoting a more coordinated and specific global effort in capacity development in support of the Accra Agenda for Action. One of the initiatives is an inventory that consolidates and compares information on current donor approaches and strategies for capacity development through the lens of the 2008 AAA.

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<sup>8</sup> *The Challenge of Capacity Development: Working towards Good Practice (DAC Guidelines and Reference Series, A DAC Reference Document)*, OECD, 2006 < [www.oecd.org/dataoecd/4/36/36326495.pdf](http://www.oecd.org/dataoecd/4/36/36326495.pdf) >

<sup>9</sup> UNDP Capacity Development Practice Note (October 2008). < <http://www.undp.org/capacity/> >



Considered as a “work in progress”, the inventory is a first attempt by the DAC Secretariat to collate donor practices in capacity development, covering information from headquarter documents on 21 of the 23 DAC members. Three categories of information were collected in the inventory: 1) Policies; 2) Operational highlights; and 3) Current focus in relation to AAA capacity development priorities.<sup>10</sup>

Following are some of the key findings in the three categories:

### **Policies**

1. Most DAC members consider capacity development as a primary objective of their systems of development co-operation, and the current focus on global aid effectiveness has even strengthened donor attention and interest in supporting partner country capacity at all levels.
2. Several DAC members have documented their capacity development approaches in various forms: policy statements (Sweden, Japan, USAID), action plans (ADB), guidance or concept notes (Denmark, Japan), discussions papers (Germany), or working papers (Switzerland). Among the multilateral donor agencies, ADB has a Medium-Term Framework and Action Plan for Integrating Capacity Development into Country Programs and Operations; while the UNDP has an Approach Paper and Practice Note.
3. Donors have increasingly aligned their capacity development approaches with the Paris Declaration Principles for Aid Effectiveness to underscore demand-driven capacity development, donor alignment with national strategies and development priorities, and country ownership and leadership in capacity development processes. They have also recognized the value of coordination and collaboration (e.g., pooled funding or joint capacity assessment) in their capacity development efforts. Nonetheless, it is acknowledged that systematically adhering to these principles at the operational level remains to be a major challenge.
4. Many donors have taken initiatives to integrate capacity development concepts at the country level in their country aid programs and operations. (However, the degree to which capacity objectives and measurable results are stated at this level varies.) Many donors consider capacity development as a cross-cutting concern that can be mainstreamed in their sectoral and thematic strategies. The UNDP, World Bank, and ADB aim at integrating capacity development across all their practice areas.

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<sup>10</sup> OECD/DAC Capacity Development Team (March 2009). *Inventory Of Donor Approaches to Capacity Development: What We Are Learning*. <[www.oecd.org/dataoecd/50/12/42699287.pdf](http://www.oecd.org/dataoecd/50/12/42699287.pdf)> (The paper is attached to the present study as Annex B.)

## **Operational Highlights**

1. Several donors have tasked specific organizational units or point persons within their systems to provide guidance and assistance on capacity development. For some, a capacity development advisor or specialist position has been created; others appoint long-term capacity development specialists in their country offices. Donors have taken concrete steps to upgrade the competencies among their staff at headquarters and in the field. These include designing and implementing training programs on capacity development, and looking at a broader set of skills when screening and hiring staff for capacity development related positions.
2. A wide variety of tools have been developed to guide the design and execution of capacity development interventions. Examples of these are capacity development handbooks and toolkits for staff in the case of Japan and Canada, guidelines on needs assessment (Sweden, UNDP, Japan), guidelines in mainstreaming capacity development in a sector context (ADB, European Union), and guidelines to reform technical cooperation to make it more effective for capacity development (European Union, Japan). Some donors have started to review and update their existing tools. Information and resources on capacity development have become more available and accessible as increasing number of donors (e.g., ADB, Canada, UNDP, the World Bank, and Japan) host dedicated websites in the form of on-line libraries, resource centres or communities of practice.
3. Technical co-operation, in the form of training, technical assistance, scholarships and fellowships, is the most common delivery approach used by donors to promote capacity development. This includes the provision of technical and advisory services, which in some cases involve the long-term assignment of expert advisors within country systems. A shift to short-term and more focused technical advisory services, as well as increasing use of local technical expertise, is now observed though. Donors are now increasingly advocating co-operation, harmonization, and co-financing to promote joint action in capacity development initiatives. Current attempts at joint action include the European Union's Division of Labour Fast Track Initiative and joint learning package on capacity development.
4. Donors (e.g. Australia, the United Kingdom, Japan, UNDP and ADB) have taken purposive efforts to evaluate the effectiveness of their capacity development assistance; particularly the use of technical assistance for capacity development. Country level and sector-specific case studies are also available.

### **Current Focus in Relation to AAA Capacity Development Priorities**

The Accra Agenda for Action joint announcement contains cross cutting reference to six capacity development priorities (Box 4). The OECD/DAC study tracks current DAC member approaches to these different capacity development priorities:

#### Box 4. Accra Agenda for Action (AAA) Capacity Development Priorities

1. *Civil society and private sector* - enabling local civil society and the private sector to play their role in capacity development.
2. *National, sector, and thematic strategies* - ensuring proper integration of capacity development priorities in key national, sub-national, sector and thematic strategies.
3. *Technical co-operation* - working towards demand-driven efforts in technical co-operation and promoting the use of local and regional resources, including through South-South arrangements.
4. *Enabling environment* - addressing the systemic impediments to local capacity development.
5. *Country systems* - assessing, strengthening and promoting the use of country systems to implement policies and manage public resources - including procurement, public financial management, results, statistics, information systems.
6. *Fragile situations* - tailoring, phasing and coordinating capacity building and development in situations of fragility, including countries emerging from conflict.

1. *Civil society and the private sector.* Donors see the value of engaging civil society and the private sector in capacity development, viewing them as important agents for the “generation of demand for good governance, efficient public service delivery and public sector reform, and the provision of services that complement the public sector, particularly at the lowest level.” Donor interventions are thus geared towards strengthening the legal/regulatory context as well as the capacities of civil society organizations, local authorities, parliaments, and private sector organizations.
2. *National, sector, and thematic strategies.* Donors agree that capacity development strategies and objectives should be integrated with partner country national, sector and thematic policies and strategies. Several donors have adopted a sector wide approach, with education, health, and environment as the most frequently supported sectors.
3. *Technical co-operation.* With the realization that technical co-operation does not equate to capacity development, donors increasingly seek to integrate this into a broader framework of capacity development. Donors acknowledge that technical co-operation should be country-led, owned and managed, and fully integrated in the context of





national sector programs. Nonetheless, they are also aware that technical co-operation at the field level remains far from ideal as interventions still tend to focus on task-specific traditional training and skills building. Donors (e.g., Australia, Belgium, Denmark, France, Japan, Netherlands, European Union, and ADB) are now undertaking various initiatives to reform technical co-operation.

4. *Enabling environment.* Donors are now paying more attention to the institutional, political and social environment that can influence effective and sustainable capacity development. They are more conscious of country partners' efforts on good governance, transparency, accountability and anti-corruption, as well as reforms in civil service and judiciary. To better understand the various dimensions in the enabling environment, many donors use assessment tools (e.g., institutional analysis, power analysis, and drivers of change analysis), and maintain that these dimensions be considered in the design and implementation of capacity development interventions.
5. *Country systems.* Post-Accra, most donors have committed to strengthen, use and align with country systems. They see this as central to supporting partner country ownership and management of their development processes, to implementation of national and sector policies, and to management of public resources. Currently, donors have funded development interventions in the areas of planning, resource allocation and monitoring systems (including public financial management, accountability systems, taxation, fiscal systems, monitoring and evaluation, budget management, procurement, and audit systems).
6. *Fragile situations.* Donors acknowledge the need for a tailored and phased approach to capacity development in fragile situations. They also recognize that there should be a balance between short-term interventions to immediately foster security and stability, and longer-term efforts to build country capacities. Nonetheless, donors in general are aware that present capacity interventions in fragile situations often lead to substitution, because of the use of delivery partners (i.e., NGOs, private agents, UN agencies) that are able to produce quick results. To date, donors have mainly focused on central level state-building (e.g., conducting capacity assessments and providing support through secondments, assistance by international experts, advisors, and trainers), but are increasingly promoting the participation of civil society and local authorities in capacity development.

## IV. Some Capacity Development Models and Frameworks

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This segment presents the capacity development model or framework of five donor agencies (Asian Development Bank, Canadian International Development Agency, Japan International Cooperation Agency, United Nations Development Programme, and World Bank Institute), one development program (Philippines-Canada Local Government Support Program), and one Philippine public sector agency (Local Government Academy).



The Asian Development Bank (ADB)



Canadian International Development Agency (CIDA)



Japan International Cooperation Agency (JICA)



The United Nations Development Programme (UNDP)



The World Bank



The Philippines-Canada Local Government Support Program



The Local Government Academy (LGA)



## The Asian Development Bank (ADB)

The Asian Development Bank recognizes that nurturing and promoting national capacities are needed for sustainable development and aid effectiveness. In broad terms, it views capacity development as “securing a country’s ability to manage its own affairs”.<sup>11</sup>

In 2004, ADB adopted capacity development as a thematic priority, and immediately set out to develop a framework and action plan for enhancing the effectiveness, efficiency, and sustainability of ADB-supported interventions. In 2007, it launched its Medium-Term Framework and Action Plan.<sup>12</sup>

### **Objectives and Outcomes**<sup>13</sup>

ADB’s Capacity Development Action Plan aims to strengthen ADB’s capacity development assistance to developing member countries (DMCs). To achieve this overarching goal, the Action Plan targets country-level programs and operations, and ADB’s internal support systems for capacity development. Expected outcomes in these two areas include:

#### 1. Country Programs and Operations

- Increased dialogue with DMCs on country-specific capacity development concepts and principles
- Strengthened results-based management for capacity development objectives to improve planning, implementation, and monitoring
- Improved capacity development focus in country partnership strategies
- Increased capacity development focus in operations targeting governance, education, and infrastructure sectors
- Increased experience with piloting new modalities and processes to support capacity development

<sup>11</sup> *A New Thematic Priority – Capacity Development* (2004). < <http://www.adb.org/Governance/ADB-OECD/2004-leaflet.pdf>>

<sup>12</sup> *Integrating Capacity Development into Country Programs and Operations, Medium-Term Framework and Action Plan* (January 2007). <<http://www.adb.org/Documents/Policies/Integrating-Capacity-Development/Integrating-Capacity-Development-2007.pdf>>

<sup>13</sup> *ADB’s Medium-Term Framework and Action Plan - CD Implementation Highlights* (January 2008). < <http://www.adb.org/Capacity-Development/pdf/CD-Action-Plan.pdf>>

## 2. ADB's Internal Support Systems for Capacity Development

- Effective ADB leadership to support capacity development focus and capacity development Action Plan's approach
- Improved human resource management for capacity development
- Strengthened capacity development focus in performance reporting and evaluation of ADB projects
- Improved internal and external knowledge management for capacity development
- Enhanced capacity development focus of independent evaluations

### **Principles Guiding Effective Capacity Development<sup>14</sup>**

Based on the consensus emerging from recent development effectiveness debate and DMC demands, the ADB recognizes a set of principles that guide successful capacity development approaches:

1. Recognizing the need for country ownership and leadership of capacity development processes
  - *DMC demands.* "DMCs have asked funding agencies to contribute more effectively to country-led development through (i) value addition beyond the financing needs, (ii) capacity development of local bodies involved in service delivery, (iii) ownership rather than conditionality, (iv) addressing capacity development needs in the executing agency before starting the project, (v) transfer of cross-country experience, (vi) greater emphasis on project implementation and flexible adjustments of project design during implementation, (vii) improved country knowledge through increased delegation of authority to funding agency country offices and involvement of national staff, and (viii) reduced reliance on international consultants." The ADB recognizes that this reflects a perception among DMCs that support has not always been appropriate or effective in addressing the real issues. It also indicates that DMCs may have been marginalized in the management of capacity development assistance, especially when funding agencies prescribe project implementation structures and processes that are different from the DMCs' own.
  - *Country ownership and leadership.* Several countries are increasingly taking their new leadership roles in capacity development seriously. There is a need to identify capacity development objectives and targets in national poverty reduction and development strategies.

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<sup>14</sup> Unless otherwise stated, the succeeding discussion is mostly sourced from the ADB document, *Integrating Capacity Development into Country Programs and Operations, Medium-Term Framework and Action Plan* (January 2007) < [adb.org/Documents/.../Integrating-Capacity-Development-2007.pdf](http://adb.org/Documents/.../Integrating-Capacity-Development-2007.pdf)>..



- *Responsibilities for capacity development.* Capacity development is primarily the responsibility of developing countries, with funding agencies playing a supportive role. Various donors and DMCs are now paying more attention to strengthening DMC capacities to prepare and implement capacity development - focused national poverty reduction and country development strategies. “However, country development strategies may not be the right entry point for initial capacity development strategy discussions, since they are often fairly general and do not allow for the level of detail in results frameworks that would be required for an effective capacity development strategy. A bottom-up strategic process, by contrast, can focus on three interlinked areas: (i) sector capacities; (ii) crosscutting capacities, such as countrywide decentralization, financial management, procurement, and accountability capacities; and (iii) local government capacities. Such an approach, which should also take into account wider institutional constraints, probably allows country preferences to be expressed more easily. It may, therefore, provide a sounder foundation upon which to build a genuinely demand-driven capacity development strategy.”
- *Capacity development providers.* Effective capacity development usually depends on the successful integration of capacity development inputs from many sources, involving different types of organizations and groups working in varied roles. Funding agencies therefore need to identify their own comparative advantages as well as of the existing capacity development provider infrastructure in a specific country (e.g., public and private learning organizations, think tanks, and research institutes). “Increasingly, extending support to existing capacity providers in the recipient country is an effective way for funding agencies to avoid problems resulting from staff attrition of funding agency-trained government personnel.”
- *Use of country systems for funding agency operations.* “While external partners can and should act as catalysts of change, stimulate reform processes, and encourage innovation and learning, they should be careful not to undermine existing country systems.” Funding agencies should seek to strengthen weak country systems rather than bypass them. Otherwise, this can lead to diminished local ownership of capacity development interventions, with funding agency support eventually substituting for local capacity. It is a reality that funding agencies sometimes waver in relying on country systems due to potential conflicts with delivery targets and time frames. Nonetheless, it is also recognized that the use of country systems (e.g., public financial management, procurement, results management, inclusive strategic management, accountability systems, etc.) by funding agencies is itself a contribution to strengthening developing countries’ capacities.

## 2. Key Elements of a Country-Led Capacity Development Process

- *A shared view of capacity development.* It is necessary for the funding agency community and developing countries to have shared perspective on the dimensions and processes involved in capacity development. The ADB recognizes that OECD's harmonized definition of capacity development as "the process whereby people, organizations, and society as a whole unleash, strengthen, create, adapt, and maintain capacity over time" is a good starting point.
- *Individual and organizational dimensions.* The organizational dimension is the main entry point for a capacity development intervention. Improving and sustaining performance is a major goal of capacity development, and initiatives should be able to bridge the gap between actual and desired performance. A capacity development response should also consider the quality of an organization's relationships with other organizations (e.g., its national development partners such as local government bodies and non-government organizations, and its external aid partners), and with customers, clients, or end-users.
- *Enabling environment, institutional capacities, and political economy.* "A critical determinant of an organization's performance is its external institutional environment, which refers to the rules (formal and informal), practices, and customs that express the country's political, social, and economic culture. Capacity development interventions that fail to address needs for institutional and related policy reforms are unlikely to have much impact on organizational performance per se."
- *Public sector performance and results orientation.* "For capacity development to be effective, targeted organizations need to be able to deliver their mandates more effectively in a sustainable way." An essential step therefore is enabling organizations to develop performance benchmarks, results database, and performance monitoring and reporting systems. Performance and capacity are interrelated but are not synonymous. "While performance may be one indicator of capacity, it also may be achieved by capacity substitution. The support arrangement, therefore, needs to be flexible, and sufficient provisions need to be made for regularly monitoring progress and for adjusting the support accordingly."
- *Inclusiveness and accountability.* "An inclusive approach is required that determines existing capacity levels, decides on which capacity shortfalls need to be tackled first, and then designs capacity development interventions accordingly. Accountability will require involving citizens or their representatives in strategic development, review, and budget processes. Accountability criteria for domestic constituencies are important as an incentive to performance, but, as these may not satisfy the legitimate interests of funding agencies and their home constituencies, compromises will have to be found."

- *Change management, process, and systems orientation.* Capacity development is oftentimes influenced by emerging opportunities and synergies. It is a gradual process that cannot be entirely predicted or planned for. Development partners need to be mindful of capacity enablers such as motivation, relationships, sense of commitment, and history, and adjust their support interventions to consider these factors. Adopting a systems approach to capacity development conceptualization and practice is gaining ground; this implies “looking at capacity development interventions as part of a network of interacting systems. Interconnections among the components of a system, such as organizations within a network, are important and can give rise to valuable synergies.”

### Box 5. ADB's Lessons on Capacity Development

"ADB needs to be able to align its operations at the country level with good practice principles for capacity development. This requires ADB to (i) develop a joint understanding with its clients on capacity development concepts and objectives; (ii) emphasize country leadership, ownership, and systems orientation; (iii) support results oriented and inclusive change management processes with accountability structures primarily aimed at domestic constituencies; and (iv) use country systems to the extent possible rather than bypassing them.

"This will require changes in ADB's present approach to capacity development. Emphasis will have to be placed on the country level, particularly as follows: (i) strengthen the capacity development focus in ADB-supported sector and thematic strategies and road maps; (ii) improve the capacity development focus in ADB-supported programs and projects; (iii) develop appropriate modalities for delivering capacity development assistance; (iv) develop effective mechanisms to engage civil society and the private sector in delivering capacity development support; (v) strengthen country capacities as a basis for aligning funding agency assistance with country systems; and (vi) establish partnerships with other funding agencies, in particular the United Nations system and bilateral organizations.

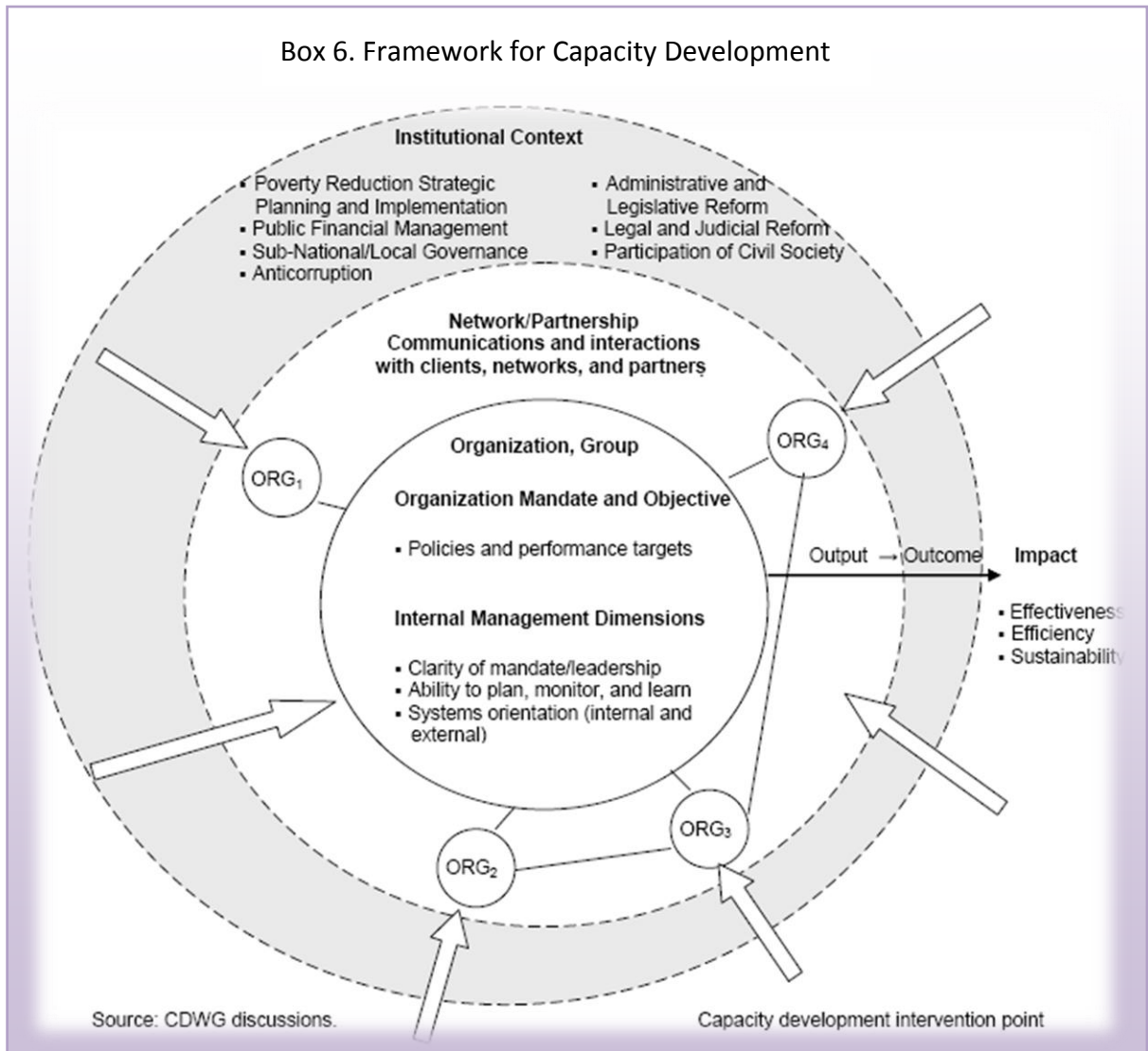
"The effectiveness with which ADB can achieve its capacity development objectives will have to be strengthened by introducing an effective results-based management system for capacity development. Initial steps have been taken with the introduction of a capacity development classification system in 2005. Further measures will be needed to strengthen the capability of regional departments with regard to planning, implementing, and monitoring capacity development approaches. This will require setting up effective human resource management (including more effective decentralization to resident missions), knowledge management, and operational support systems for capacity development."

### ***Proposed Medium-term Action Plan for Integrating Capacity Development into Country Programs and Operations***

- The Medium-term Action Plan is proposed to enhance the way in which ADB deals with capacity development in its country programs and operations. ADB recognizes that "there is unlikely to be a single concept of capacity development that can be applied to each country." Thus, the framework (Box 6) is not being prescribed, but rather being offered as a template that regional departments, in collaboration with DMCs and in consultation with other funding agencies, can use to customize their own concepts. "It is



important that the capacity development approach be jointly agreed, used, and refined as the basis for identifying DMCs' capacity development needs and for formulating and monitoring responses to them.”



- This capacity development framework has three main dimensions: organizations, institutions, and inter-organization and group relations (encompassing client relations, networks, and partnerships). They constitute the sub-themes of ADB’s classification of capacity development, and are also the entry points for change. “The first two dimensions are in line with the harmonized capacity development concept that emphasizes organizations and the enabling environment. The third dimension emphasizes systems, and thus the need for various government and non-government

organizations and groups to act in partnership to achieve agreed objectives. It focuses on development processes in a system of particular organizations and groups in DMCs that are primarily responsible for achieving certain development objectives. These organizations and groups should own and lead efforts to improve their capabilities and performance. Such entities represent key entry points for ADB's capacity development interventions and can take place at sector, crosscutting, or local government levels. Aggregation through bottom-up processes will allow for strategic prioritization at higher levels.”

- The framework presupposes that public sector agencies will remain the key partners for ADB's capacity development operations. Nonetheless, consistent with ADB's participatory development approach, other key organizations in the private sector, non-government sector, and civil society will be given larger roles. ADB acknowledges that it can more effectively engage in strengthening DMC agency capacity to facilitate or monitor private sector involvement in service delivery, instead of providing the service directly. It is likewise recognized that ADB should strengthen its partnership with private capacity development providers in its DMCs.



## Canadian International Development Agency (CIDA)

Capacity development is increasingly acknowledged within CIDA as central to sustainable development. The concept was officially recognized by the agency in 1975 via Canada's *Strategy for International Development Cooperation 1975-80*, which expressed "Canada's intention to act as a support and catalyst to self-reliant efforts and developing countries' capacities to engineer their own development." This has been reinforced in various documents, including CIDA's *Sustainable Development Strategy 2001-2003: an Agenda for Change* which explicitly recognizes capacity development as a condition for sustainable development (Box 7).<sup>15</sup>

### Box 7. Recognizing Capacity Development as Condition for Sustainable Development

*"CIDA's initiatives are more sustainable when we focus our development cooperation efforts on working with our partner countries to strengthen their own capabilities to:*

- *Develop a sound policy framework which encourages stable, growing economies with full scope for a vigorous private sector and an adequate fiscal base;*
- *Invest in social development, especially education, primary health care, and population activities;*
- *Enhance the participation of civil society, and notably women, in economic and political life, and work to reduce social inequalities;*
- *Strengthen good governance and public management, democratic accountability, the protection of human rights, and the rule of law;*
- *Promote sustainable environmental practices; and*
- *Address root causes of potential conflict, limiting military expenditure and targeting reconstruction and peace-building efforts toward longer term reconciliation and development."*

There have been focused efforts to integrate a capacity development approach into CIDA programming that almost all CIDA activities now include a capacity development dimension. There were also initiatives to gain shared understanding of the role of capacity development in sustainable development and help practitioners to move from conceptual to operational level. For example, the CIDA Policy Branch assembled a Capacity Development Tool Kit in 1999, and in 2001, the Asia Branch, prepared its Capacity Development Guide.<sup>16</sup> The agency hosts the *CIDA Network on Capacity Development*, an extranet that encourages exchange of information and

<sup>15</sup> Raymond Hyma (2001). *CD Bulletins: Capacity Development in Canadian Development Cooperation*. Retrieved 3 July 2008 from <http://web.acdi-cida.gc.ca/extranet/policy/cdbboard.nsf/722bd37412f9080285256b7b00592e47/0aeb52196909d2885256aa200722c25?OpenDocument>

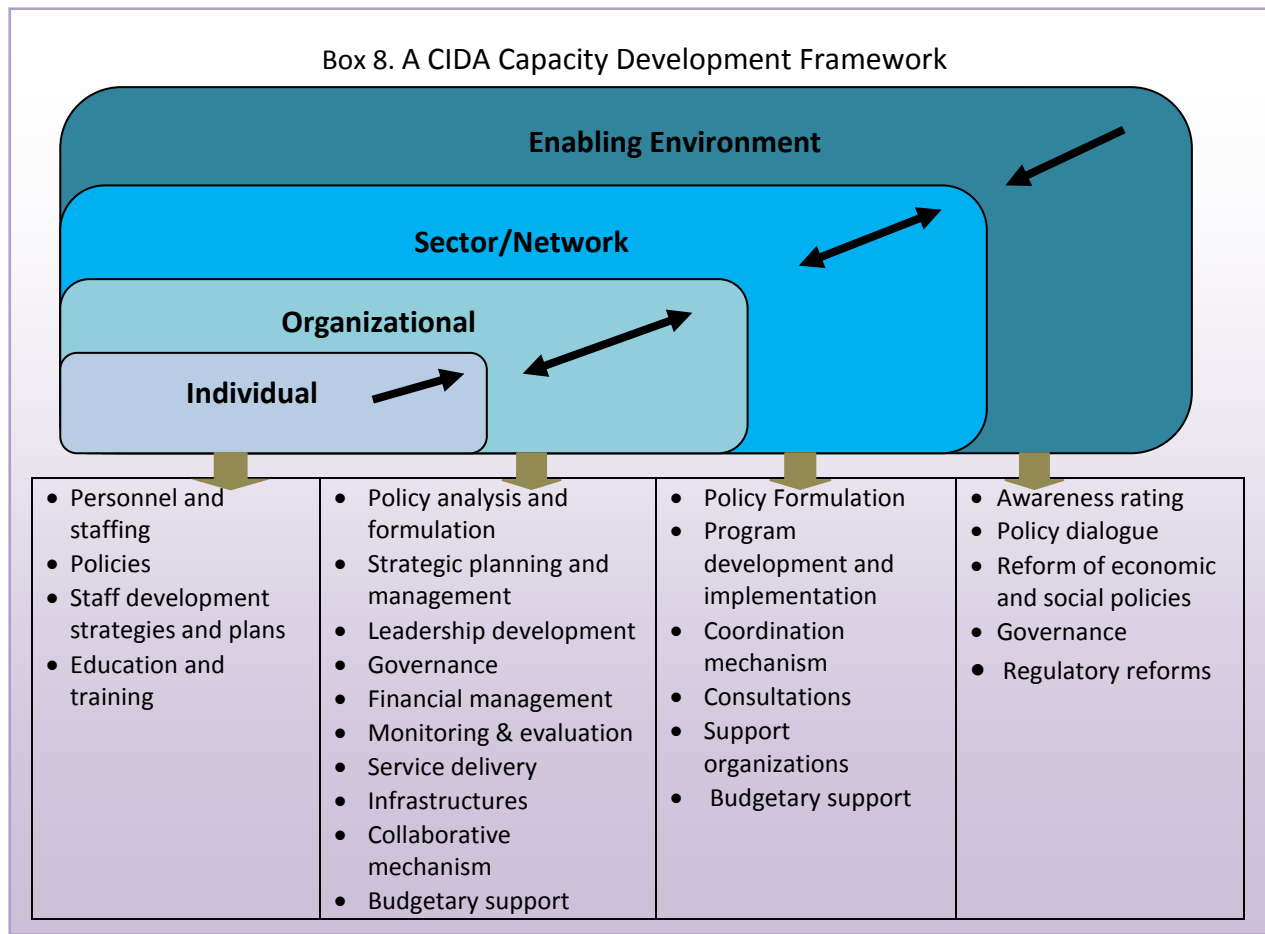
<sup>16</sup> *The Challenge of P3SU* (November 2002). < [http://web.acdi-cida.gc.ca/Extranet/policy/cdbboard.nsf/516c6e077d8de1dd85256b45007704ea/0ed767a5c2e87b1d85256d1200574c79/\\$FILE/P3SU%20Full%20Report.pdf](http://web.acdi-cida.gc.ca/Extranet/policy/cdbboard.nsf/516c6e077d8de1dd85256b45007704ea/0ed767a5c2e87b1d85256d1200574c79/$FILE/P3SU%20Full%20Report.pdf)>



knowledge on capacity development in development cooperation among CIDA's capacity development network, personnel, and partners in development in Canada and abroad. It has also made available capacity development materials to a wider audience through its capacity development internet site ([www.acdi-cida.gc.ca/cd](http://www.acdi-cida.gc.ca/cd))<sup>17</sup>

### A Framework for Capacity Development

CIDA's 1996 definition of capacity development as "a process by which individuals, groups, organizations and societies enhance their abilities to identify and meet development challenges in a sustainable manner" still represents current thinking. And while various conceptual frameworks for capacity development have been put forward within CIDA in recent years, there is agreement that capacity development is needed at different levels: individual, organizational, the sector or network, and the enabling environment (Box 8).<sup>18</sup>



<sup>17</sup> <<http://web.acdi-cida.gc.ca/Extranet/policy/cdbboard.nsf/vLUSiteDoc/MandateEn?OpenDocument>>

<sup>18</sup> *The Challenge of P3SU* (November 2002). <[http://web.acdi-cida.gc.ca/Extranet/policy/cdbboard.nsf/516c6e077d8de1dd85256b45007704ea/0ed767a5c2e87b1d85256d1200574c79/\\$FILE/P3SU%20Full%20Report.pdf](http://web.acdi-cida.gc.ca/Extranet/policy/cdbboard.nsf/516c6e077d8de1dd85256b45007704ea/0ed767a5c2e87b1d85256d1200574c79/$FILE/P3SU%20Full%20Report.pdf)>

Each of the four levels of capacity also represents a level of analysis, as well as a possible entry point for capacity development intervention<sup>19</sup>:

### 1. The Enabling Environment

‘Enabling environment’ refers to the broad context in which development processes take place. Although the term ‘enabling’ is used, this environment can in fact be either enabling or constraining, or a combination of both. In general, effecting change at this level requires a considerably longer time given the nature of the issues being addressed - policies, structures, attitudes, values etc. It is recognized that not all capacity development initiatives will endeavour to effect change in the enabling environment. However, donors and partner countries need to be mindful of factors at this level that can affect initiatives that are focused primarily on the organizational, sectoral or individual level.

### 2. The Sector/Network Level

Developing countries and donor agencies are increasingly focusing their investments on this level, reflecting a growing awareness of the importance of coherent sector policies, strategies and programming frameworks, as well as effective coordination within and across sectors. Initiatives may target a sector or a sub-sector, or focus on themes (e.g. poverty reduction), or area-based programming. “Change at this level can be challenging given allegiances to traditional ways of ‘doing business’, competing organizational priorities, lack of coordination among related initiatives (e.g. sector reform programs and public sector renewal) or simply a lack of capacity. On the other hand, reforms at this level can contribute significantly to synergies and promote more effective use of existing capacities.”

### 3. The Organizational Level

Traditionally, this capacity has been the most common entry point for bilateral donors. It is nonetheless acknowledged that organizational performance is influenced by a range of factors in the enabling environment, sectoral, and individual levels. “Capacity development encourages not only a thorough analysis of issues at the organizational level, but an assessment of how factors in these other levels may either constrain or support a process of organizational change.”

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<sup>19</sup> Joe Bolger (May 2000). *Capacity development: why, what and how*. < [http://www.acdi-cida.gc.ca/inet/images.nsf/vLUIImages/CapacityDevelopment/\\$file/CapDevOSVol11No1-E.pdf](http://www.acdi-cida.gc.ca/inet/images.nsf/vLUIImages/CapacityDevelopment/$file/CapDevOSVol11No1-E.pdf)>

#### 4. The Individual Level

This level refers to individuals as “social or organizational actors” and the way their skills or abilities are tapped or reinforced to contribute to the achievement of development objectives. From a capacity development perspective, change at the individual level should be planned in the broader context of organizational realities, empowerment processes, or relevant factors in the enabling environment. “Experience suggests that investments of this type risk being of limited benefit if these broader considerations are not taken into account in the design of the intervention.”

The framework highlights the importance of the links among the various capacity levels, and the importance of a multi-dimensional perspective in assessing opportunities and constraints and identifying the most appropriate intervention. Other variables to be considered include the nature of the development problem being addressed, existing programs and capacities, current capacity strengths or gaps, and opportunities or inhibitors in the enabling environment.<sup>20</sup>

Box 9 presents some capacity assessment tools and possible focus for analysis in the different capacity levels. A set of strategies for capacity development programming is also listed.<sup>21</sup> “Capacity development relies upon various strategies, not all of which entail enhancement or creation of new capacity. Strategies in a capacity development initiative may include any one of the following, or potentially a combination of them:

- Eliminating old or inappropriate capacity (e.g. governmental bodies which have proven to be ineffective or have lost their legitimacy);
- Making better use of existing capacity (e.g. through improved networking or changes in organizational incentive systems);
- Building up or strengthening existing capacity (e.g. national government policy or monitoring and evaluation units, local government bodies);
- Providing space for innovation or creative use of capacities (e.g. private sector or NGO innovations in education or health care delivery); and
- Creating new capacity (e.g. policy fora, coordinating councils).”<sup>22</sup>

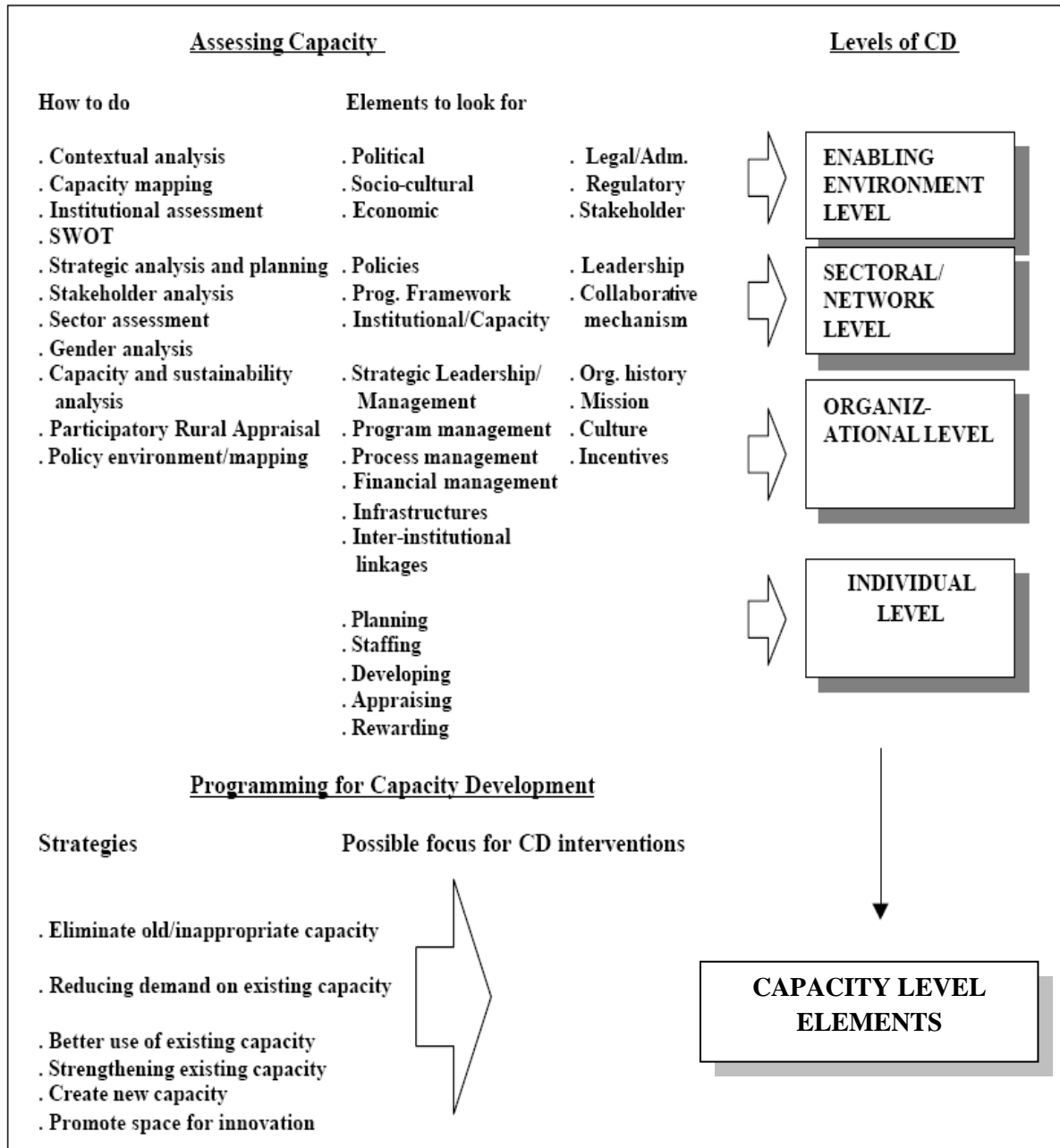
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<sup>20</sup> Ibid

<sup>21</sup> *The Challenge of P3SU* (November 2002). Retrieved 3 July 2009 from [http://web.acdi-cida.gc.ca/Extranet/policy/cdbboard.nsf/516c6e077d8de1dd85256b45007704ea/0ed767a5c2e87b1d85256d1200574c79/\\$FILE/P3SU%20Full%20Report.pdf](http://web.acdi-cida.gc.ca/Extranet/policy/cdbboard.nsf/516c6e077d8de1dd85256b45007704ea/0ed767a5c2e87b1d85256d1200574c79/$FILE/P3SU%20Full%20Report.pdf)

<sup>22</sup> Joe Bolger (May 2000). *Capacity development: why, what and how*. < [http://www.acdi-cida.gc.ca/inet/images.nsf/vLUIImages/CapacityDevelopment/\\$file/CapDevOSVol1No1-E.pdf](http://www.acdi-cida.gc.ca/inet/images.nsf/vLUIImages/CapacityDevelopment/$file/CapDevOSVol1No1-E.pdf)>

**Box 9. Detailed CIDA Capacity Development Conceptual Framework  
(With Capacity Assessment tools and Programming for Capacity Development)**



Source: Capacity Assessment and Capacity Development Framework in the “Capacity Development Operational Guide for Program Managers” CIDA Asia Branch (2001).



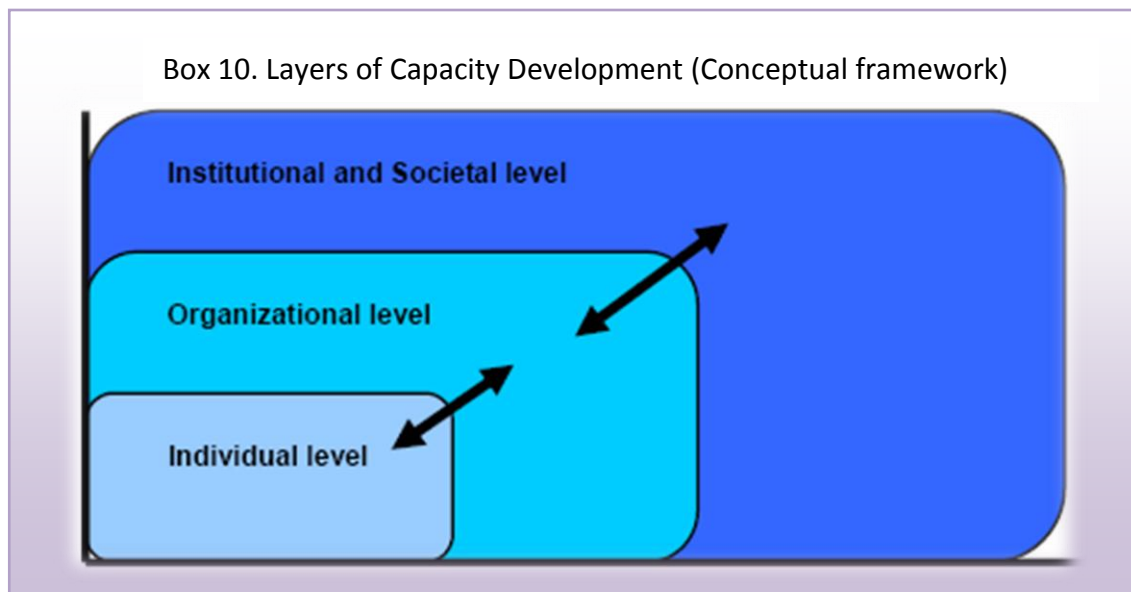
## Japan International Cooperation Agency (JICA)<sup>23</sup>

### **Policy**

JICA's basic policy on capacity development is articulated in the JICA Technical Cooperation Implementation Guideline as: "By assisting in establishing systems, strengthening organizations, and supporting human resources development in developing regions for the development and reconstruction of their economies and societies, technical cooperation projects aim to support the endogenous capacity development initiative at the various capacity development levels by the partner countries to address their various development challenges."

### **Definition**

JICA's definition of capacity development as "the process in which individuals, organizations, institutions, and societies develop abilities either individually or collectively to respond to issues to perform function, solve problems, and set and achieve objectives", follows the UNDP definition, and recognizes the three layers of capacity development: individual, organizational, and institutional or societal levels.



<sup>23</sup> The main source of this discussion is the *Capacity Development Handbook for JICA staff*, <<http://www.jica.go.jp/english/publications/reports/study/capacity/200403/pdf/200403.pdf>>.



Box 11. Levels of Capacity		
Individual	Organization	Institution, Society
Knowledge or skill of an individual. Motivation and ability to appropriately set behavioral objectives and achieve those objectives using that knowledge and skill.	The leadership, administrative structure, and organizational culture required to achieve goals set for the organization (or set by the organization itself).	The enabling environment and conditions required for the manifestation of capacities at the individual or organizational levels. Include policy frameworks, legal systems, political institutions and market economy institutions.

JICA recognizes that its role is to capitalize on the possibilities that exist and create an enabling environment to contribute to the sustainable development of its partner countries. Thus, it prefers to use the term capacity development over capacity building in its operations, to stress the “endogenous development process of partner countries.” It posits that since the term building connotes “creating something that does not exist”, its use might reinforce the tendency to subconsciously underestimate the ownership and potential of the partner country itself.

### **Basic Messages on Capacity Development**

JICA has articulated a set of basic messages that reflects its views on capacity development as it relates to JICA projects:

1. *Outside actors cannot directly develop capacities in a partner country.* Outside actors are only facilitators or catalysts for capacity development. It is the people and organizations of a partner country that are primarily responsible for recognizing their problems, developing a vision for solving them, and using their resources and strengths for overcoming such problems.
2. *Ownership by the partner country is vital.* JICA acknowledges a donor-driven approach that does not consider local knowledge, resources and ownership is not conducive to sustainable capacity development. It respects the presence of local institutions, knowledge and resources that can be mobilized for development initiatives. “It is essential for donors to make a conscious effort to help partner countries to strengthen local ownership by promoting local participation and empowerment whenever appropriate.”

3. *Joint efforts with the participation of stakeholders in the partner country are important.* When various stakeholders in the partner country are engaged in all phases (planning, implementation, and evaluation) of a technical co-operation project, people and organizations gain a greater understanding of their problems and the value of the project in solving these. This also strengthens the motivation to execute the project, and ensures that the project is carried out in line with local needs.
4. *A long-term commitment is required.* Capacity development needs to be supported by long-term vision and framework. Development assistance that dwells too much on short-term results may jeopardize both the medium to long-term objectives and the sustainability of project outcomes.
5. *Creating a sustainable mechanism after project completion (sic).* Post-project scenario should be strategically examined and exit strategies and sustainability mechanisms should be incorporated into the project design. This will help partner countries achieve medium to long-term objectives at the national, sectoral and regional levels even after the donor's exit.
6. *Systemic thinking and program approaches [help achieve medium to long-term objectives in a sustainable manner].* Overly narrow focus of technical cooperation can lead to unsustainable project outcomes and poor impacts. It is therefore "vital to design projects with a strategic understanding of the dynamic system and the society of the partner country where various development actors such as the public sector, civil society, and the private sectors are mutually interacting." JICA also recognizes that a program-based approach is very important as a donor cannot realistically address all major capacity development needs of a partner country.
7. *[Capacity development needs to take] A flexible approach responsive to the development needs and conditions of each country, issue and sector.* Capacity development assistance has to be customized to respond to the development conditions in the partner country (i.e., level of poverty and economic development, maturity of the market economy, institutions and civil society, and strength of political, administrative and fiscal systems). As needed by partner countries, various approaches to support capacity development (e.g., creation and provision of knowledge and data, and provision of equipment and facilities) can also be employed.
8. *Measuring and evaluating the long-term capacity development process [remains a major challenge].* It takes time to see the tangible results of capacity development initiatives, and there are many strategic elements of the capacity development process that are difficult to quantify. These make measurement and evaluation a challenge to all those involved in capacity development assistance, especially in the context of results-based aid management, which demands a concrete time-bound outcome. Nonetheless, "JICA's taskforce on capacity development is planning to undertake a review and a

stocktaking exercise to identify indicators and benchmarks that appropriately indicate meaningful changes in the capacity development process.”

Box 12. Key Capacity Features and Elements to be Developed in the Three Capacity Development Levels		
Levels of Capacity	Key Capacity Features to be Developed	Elements on which Capacity is Based
<b>Individual</b>	The will and ability to set objectives and achieve them using own knowledge and skills	Knowledge, skills, will/stance, health, awareness
<b>Organization</b>	The decision-making processes and management systems , organization culture, and frameworks required to achieve a specific objective	<ul style="list-style-type: none"> <li>• Human assets (capacities of individuals comprising organizations)</li> <li>• Physical assets (facilities, equipment, materials, raw materials) and capital</li> <li>• Intellectual assets (organizational strategy, management and business know-how, manuals, statistical information, production technology, survey and research reports, household precepts, etc.)</li> <li>• Form of organizations that can optimally utilize assets, management methods (flat organizations, total quality control, knowledge management), personnel systems, etc.)</li> <li>• Leadership</li> </ul>
<b>Institution, Society</b>	The environment and conditions necessary for demonstrating capabilities at the individual or organizational level, and the decision-making processes, and systems and frameworks necessary for the formation/implementation of policies and strategies that are over and above an individual organization.	<ul style="list-style-type: none"> <li>• Capacities of individuals or organizations comprising a society</li> <li>• Formal institutions (laws, policies, decrees/ordinances, membership rules, etc.)</li> <li>• Informal institutions (customs, norms)</li> <li>• Social capital, social infrastructure</li> </ul>

## **Roles in Capacity Development**

### 1. Role of JICA

“Japan (and hence JICA as a technical cooperation agency) has unique development resources to offer such as knowledge, development experiences unique to Japan and the Japanese aid approach (Box 13).” However, it acknowledges that there is a need to thoroughly review the circumstances under which these resources can more meaningfully contribute to the capacity development process in partner countries. “Thus, one of the immediate tasks in further strengthening JICA’s international effectiveness is to formulate a guideline describing Japanese own available capacity development resources and to provide strategic guidelines on the application of such resources towards more effective CD assistance.”

### 2. Role of JICA Staff

The JICA staff (especially those in the regional departments at the headquarters and at the field offices), is expected to have a clear vision of JICA’s cooperation in the capacity development process, and a broad knowledge and understanding of the partner country’s context. This is important in ensuring the relevance and effectiveness of JICA’s programs and projects through all its stages. Specifically, the JICA staff is responsible for appraising appropriate project objectives and approaches (including the nature, scope and timing of the cooperation). This requires engaging in dialogues with counterparts and gathering the necessary information for planning. “Although JICA dispatches numerous experts and consultants, it is the role of JICA staff to be proactively engaged in coordination at the front line, and thus should not simply delegate such tasks to experts and consultants.”

Overseas offices likewise track changes and developments in the partner country situation as input to the design and implementation of strategic projects in support of the capacity development process.

### 3. Role of JICA Experts

JICA experts in the capacity development process primarily act as “facilitator or catalyst to allow for mutual interaction between individuals, organizations, institutions, and social systems.” They play an intermediary role between policy-making bodies and local sites; they help partner countries identify and mobilize local experience and knowledge.

Their multiple roles include being a consultant, advisor, coach, and provider of encouragement and support. They also link counterparts with other resources, assist in improving counterparts' skills in managing obstacles, and draw out and optimize local knowledge. As such, it is important that JICA experts are "highly committed to projects, hardworking, strategic and deliberate in carrying out their work, able to lead by example and effective in the use of on the job training, understand local conditions and other cultures, and respect counterparts' opinions."



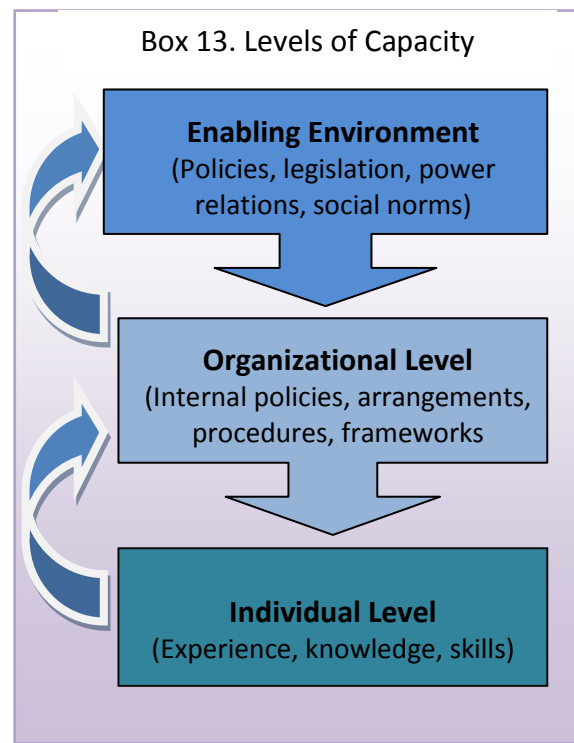
## The United Nations Development Programme (UNDP)<sup>24</sup>

The UNDP views capacity development as “the how of making development work better and is at the heart of UNDP’s mandate and functions”. Capacity development is in fact positioned as the organization’s overarching service to program countries in the UNDP Strategic Plan 2008–2011.

### Levels of Capacity

The UNDP’s definition of capacity development (i.e., the process through which individuals, organizations and societies obtain, strengthen and maintain the capabilities to set and achieve their own development objectives over time), underscores the notion that capacity exists at different levels:

1. The *enabling environment* refers to the broader system or context in which individuals and organizations operate. Capacities at this level may include “policies, legislation, power relations and social norms, all of which govern the mandates, priorities, modes of operation and civic engagement across different parts of society” and can either facilitate or hamper individual and organizational effectiveness.
2. Capacities at the *organizational level* include “internal policies, arrangements, procedures and frameworks that allow an organization to operate and deliver on its mandate, and that enable the coming together of individual capacities to work together and achieve goals.”
3. *Individual level* capacities refer to the mix of competencies that may have been acquired by individuals through formal training and education or through learning by doing and experience. These allow people “to perform, whether at home, at work or in society at large.”



<sup>24</sup> The primary source of this discussion is: *UNDP Capacity Development Practice Note* (October 2008). <<http://www.undp.org/capacity/>>.

The UNDP Capacity Development Model (Box 13) presents the three capacity levels as mutually interactive, as each influences the other through “complex co-dependency relationships.”

### **Basic Principles**

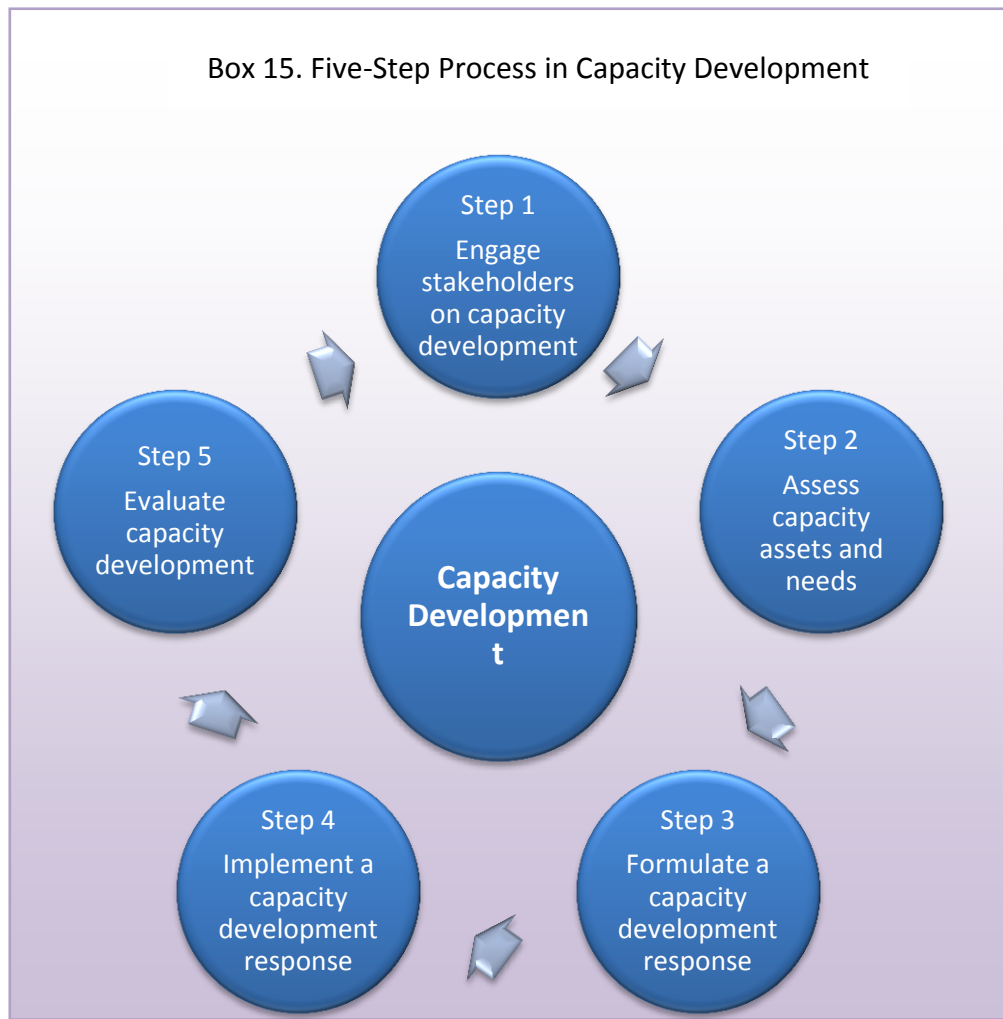
Instead of advocating a one-size-fits-all formula to capacity development that is based on a “best practice” approach, the UNDP subscribes to a “best fit” approach that is anchored on a set of foundational principles for capacity development (Box 14).

#### Box 14. UNDP Capacity Development Model: Basic Principles

1. *The UNDP approach makes the concept of national ownership tangible. It is about the ability to make informed choices and decisions.*
2. *It addresses power relations, mindsets and behaviour change. It therefore emphasizes the importance of motivation as a driver of change.*
3. *Capacity development is a long-term process. It can be promoted through a combination of shorter-term results that are driven from the outside and more sustainable, longer-term ones that are driven from the inside.*
4. *It requires sticking with the process under difficult circumstances.*
5. *The approach links the enabling environment, as well as organizations and individuals, and promotes a comprehensive approach.*
6. *It looks beyond individual skills and a focus on training to address broader questions of institutional change, leadership, empowerment and public participation.*
7. *It emphasizes the use of national systems, not just national plans and expertise. It discourages stand-alone project implementation units; if national systems are not strong enough, it deems that those be reformed and strengthened, rather than bypassed.*
8. *It requires adaptation to local conditions and starts from the specific requirements and performance expectations of the sector or organization it supports. There are no blueprints.*
9. *It makes the link to broader reforms, such as those in education, wage structures and the civil service. There is little value in designing isolated, one-off initiatives.*
10. *It results in unplanned consequences that must be kept in mind during the design phase. These should be valued, tracked and evaluated.*
11. *It measures capacity development systematically, using good-practice indicators, case evidence and analyses of quantitative and qualitative data, to ensure that objective judgements are made about capacity assets and needs, as well as the progress achieved.*

### **The Capacity Development Process**

The UNDP Capacity Development Model is operationalized through a five-step process (Box 15) that emphasizes the iterative course of “design-application-learning-adjustment” and matches the steps of a programming cycle. For the UNDP, “approaching capacity development through this process lens makes for a rigorous and systematic way of supporting it, without using a blueprint, and improves the consistency, coherence and impact of UNDP’s efforts. It also helps promote a common frame of reference for a programmatic response to capacity development.”



#### **Step 1. Engage stakeholders in capacity development**

The first step hooks up partners in the change process by engaging them in discussions, consultations, and consensus-building activities to clarify development priorities. It aims to generate buy-in, political commitment, and sponsorship among key stakeholders to make the capacity development process self-sustaining and internally driven. The UNDP

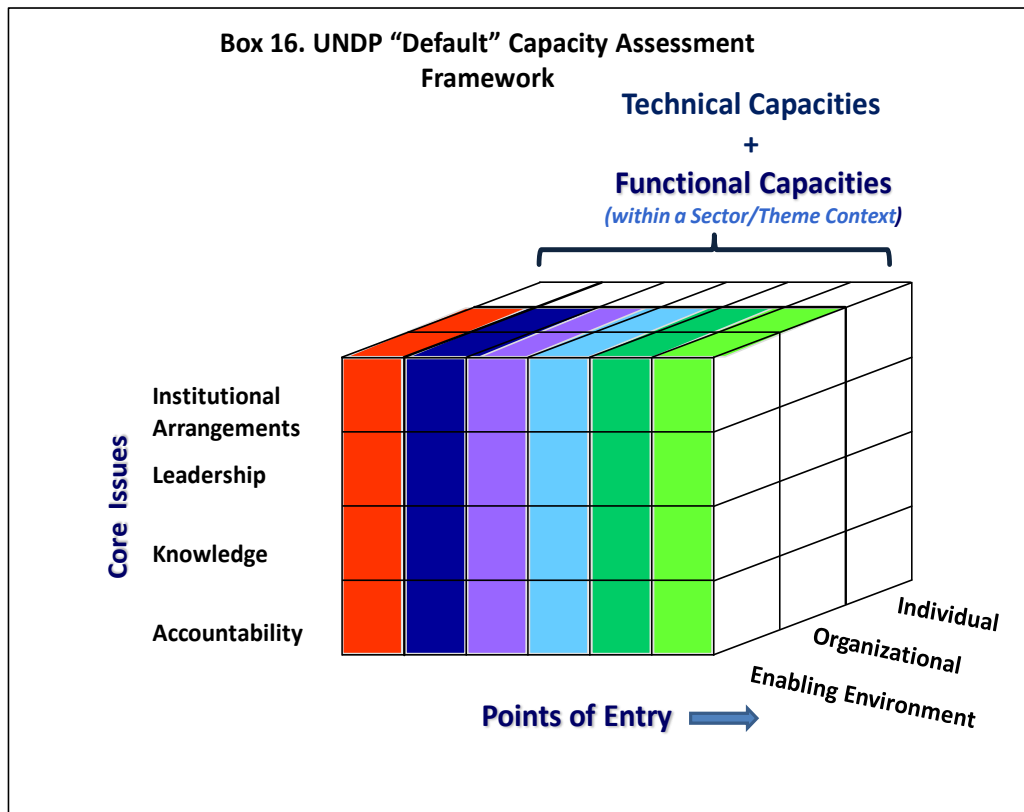


emphasizes that while engaging stakeholders is presented as the first step of the capacity development process, it is important that this is embedded in every step.

**Step 2. Assess capacity assets and needs**

“Capacity assessment is defined as an analysis of desired capacities against existing capacities and offers a systematic way of gathering critical knowledge and information on capacity assets and needs.” This step aims to surface information that will be the basis for customizing capacity development initiatives. Data gathering is focused around three key questions: 1) *Capacity for why?* to determine capacity development purpose and priorities; 2) *Capacity for whom?* to identify the targets of capacity development; and 3) *Capacity for what?* to pin down what capacity areas need to be addressed. Aside from confirming priorities and focus of action, the step likewise builds on political support and buy-in that has been generated in Step 1.

The UNDP has developed a Capacity Assessment Framework that defines the assessment dimensions: entry points, scope of assessment or core issues and technical/functional capacities (Box 16).



*Points of entry:* Any of the three capacity levels can be a point of entry for capacity assessment. However, since the levels of capacity are mutually reinforcing and interactive, capacity assessment spans across levels even when a particular entry point might have been defined.

*Core issues.* The UNDP identifies four capacity issues or “domains where the bulk of changes in capacity take place” across sectors and levels of capacity: 1) institutional arrangements; 2) leadership; 3) knowledge; and 4) accountability. These core issues define the scope of assessment, which may be modified to suit the context of the client.

*Functional and technical capacities.* Functional capacities are basically management capacities needed to formulate, implement and review policies, strategies, and programs. They can be considered as ‘cross-cutting’ in the sense that they are relevant across various levels and sectors or themes. The UNDP has identified five key functional capacities: 1) Capacity to engage stakeholders; 2) Capacity to assess a situation and define a vision and mandate; 3) Capacity to formulate policies and strategies; 4) Capacity to budget, manage and implement; and 5) Capacity to evaluate. Technical capacities are associated with defined areas of expertise and practice in specific sectors or themes, such as climate change, HIV/AIDS, legal empowerment or elections.

### **Step 3. Formulate a capacity development response**

The UNDP sees the value of an integrated response to capacity development needs, especially since core issues are usually mutually reinforcing across capacity levels. The UNDP also suggest that, “to build momentum for the capacity development process, it may be important to design a combination of quick-impact initiatives (less than one year) and short- to medium-term (one year or longer) initiatives”. This approach facilitates the process of setting the foundation for continued capacity development and stakeholder engagement.

Inherent in this step is defining indicators that will be used to monitor the progress of a capacity development response. Progress monitoring allows for timely refinement of a capacity development response and influences the design of new interventions to address emerging needs of the client.<sup>25</sup>

Also part of Step 3 is costing the capacity development response. This is a critical and sensitive process as it not only encourages stakeholders to realistically estimate funding requirements; it likewise obliges them to focus on priorities to optimize available funds. “Since priority setting is inherently political, this process should be managed carefully and

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<sup>25</sup> A more detailed discussion of the UNDP indicators in the capacity development process is found in: UNDP Capacity Development Practice Note (October 2008). < <http://www.undp.org/capacity/>>.



transparently, with the involvement of all relevant stakeholders; otherwise those that stand to lose out may withhold their support during implementation.”

**Step 4. Implement a capacity development response**

A capacity development response is implemented as part of a program or project in which it is embedded. “To ensure sustainability, implementation should be managed through national systems and processes, rather than parallel systems like project implementation units.” Exit strategies, such as strengthening the base of local experts and consultants, as well as involving national, regional or local educational and training institutes during implementation, likewise help address sustainability concerns. The UNDP emphasizes the need to be mindful of political dynamics in managing change processes and the importance of monitoring progress, so that corrective measures can be taken as necessary. Moreover, “a continuous link should be sought with the national development/poverty reduction/MDG strategy and the government reforms that underpin the need for capacity development.”

**Step 5. Evaluate capacity development**

“Where monitoring focuses on the transformation of inputs into outputs (a capacity development response), evaluation focuses on how these outputs contribute to the achievement of outcomes (capacity development) and, indirectly, impact (development objectives). This information is used for performance management, accountability and learning.”

The results of capacity development are reflected by improved efficiency and effectiveness in performance. Admittedly, there are some challenges in measuring results, more so how these translate into development objectives since “impact is achieved through a complex mix of factors whose causality cannot be traced to one or more ingredients in linear fashion”. The availability and quality of relevant data poses additional challenge in evaluation. The UNDP recognizes that an elaborate evaluation framework will not address these concerns as “an evaluation framework is only as useful as the extent to which its findings are factored-in in policy dialogue and decision-making. There is little point in designing a complex framework with many levels and indicators if the capacities and resources to manage it are unavailable. The challenge thus lies in designing a framework that is comprehensive enough to capture the key issues, but that continues to be manageable.”



## The Philippines-Canada Local Government Support Program (LGSP)<sup>26</sup>

### Box 17. The Philippines-Canada Local Government Support Program

*“LGSP is a joint undertaking of the Governments of the Philippines and Canada with the goal of supporting the Government of the Philippines in its agenda for equitable growth and poverty reduction through effective local governance. It is a PHP 1 Billion program in partnership with the Department of the Interior and Local Government (DILG) and the National Economic and Development Authority (NEDA).*

*“During its first phase from 1991 to 1998, LGSP supported 315 local government units in seven regions of Western Visayas and Mindanao. The second phase of the program from 1999 to 2005 covered 205 local government units (LGUs).*

*“In March 2005, LGSP II was extended with activities until August 2006 focusing on consolidating the achievements of LGSP and strengthening the enabling environment in local governance.*

*“In the same period, the Local Governance Support Program in the Autonomous Region in Muslim Mindanao (LGSPA) was started to build on the achievements of LGSP II and expand its scope to include the whole of the Autonomous Region in Muslim Mindanao (ARMM).”*

### **Capacity Development**

For Alix Yule, LGSP II Program Director, capacity development encompasses training, organizational development, and efforts to strengthen the enabling institutions that are relevant to local governance. Capacity development advances excellence in local governance by enhancing the ability of people to improve processes, maximize opportunities, harness and manage resources, and develop potentials for sustainable growth. According to Yule, capacity development is “a complex process at various ‘levels’ within a system, for example at the local

<sup>26</sup> The entire material on the LGSP Capacity Development Framework is sourced from: Red Batario, et al, *Trekking the Good Local Governance Terrain: the LGSP Capacity Development Way*, Pasig City, 2006.

level, at the provincial and regional level, and at the sector, system and national level. It also considers the interconnectedness and linkages between the levels and among the stakeholders. Within this framework, capacity is an input to, or leads to, performance, and LGU performance is an input to, or leads to, local social and economic development.”

LGSP’s capacity development framework is an open system that defines the stakeholders that should be involved in capacity development and what capacities are needed. The key stakeholders in the local government sector include LGUs, LGU leagues, DILG and other national government agencies that are involved with LGUs, the civil service, the universities and institutes working in the sector, the various civil society organizations, and the local resource partners offering capacity development services to LGUs in the country. These stakeholders develop policy and plans, mobilize resources, perform administrative functions, deliver essential services, provide oversight in governance, and implement local programs.

### ***Outcome Areas***

LGSP strengthened the capacity of its LGU partners in four outcome areas:

1. Local leadership and management
2. Services delivery
3. Generation and utilization of resources
4. Participation of individuals, the private sector and civil society organizations in local governance

These outcome areas are closely aligned with four key features of the Local Government Code:

1. Reinforces power of local government in regulating and managing development
2. Devolves to local government units the responsibility for the delivery of basic services
3. Increases financial resources available to local governments through increased revenue allotments from national wealth and the granting of authority to mobilize resources through taxation, credit financing and other public and private sources
4. Recognizes and encourages the active participation of the private sector, non-government organizations and people’s organizations in the process of governance

### ***Cross-cutting themes in LGSP***

Aside from the four outcome areas, LGSP has committed to mainstreaming four cross-cutting themes in all levels of programming. These are gender equality, environmental sustainability, poverty reduction, and peace and unity. On the one hand, this was done to ensure that the

cross-cutting themes are integrated in all LGSP capacity development initiatives and considered in LGSP decision-making processes. On the other hand, it also aimed to strengthen the capacity of LGUs to mainstream the cross-cutting themes within their policies, programs, and plans.

### ***Essential Characteristics of LGSP Capacity Development***

Ten essential characteristics of LGSP's capacity development have emerged out of the program's rich experience in promoting sustainable development through excellence in local governance in Phase II of the program.

1. *Holistic* – Capacity development builds a vision of a well-functioning local government sector and takes a multi-sector, multi-stakeholder approach to development.
2. *Participatory* – Capacity development requires the participation of a full range of stakeholders in local governance. These include community leaders, national government and oversight agencies, civil society organizations, academe, and non-government organizations.
3. *Priorities-based* – Capacity development responds to local partners' priorities and encourages local ownership of development. It is based on the consensus reached through assessments of needs and local development plans.
4. *Culturally-situated* – Capacity development respects the predominant values, culture and incentive systems of the organizations and peoples involved in the process. It takes into consideration the motivation and desire for improvement in LGUs and capitalizes on indigenous knowledge of communities.
5. *Results-based* – Capacity development encourages positive change that is articulated, planned and measurable. It promotes accountability, learning and improvement in the sector through monitoring and evaluation. And it describes sets of concrete results linked in development processes that are unfolding over time.
6. *Collaborative* – Capacity development requires the coordination of efforts by governments, NGOs, the private sector and international agencies working in the sector.
7. *Analytical* – Capacity development requires analytical thinking in the preparation of strategies for development.
8. *Staged sequencing* – Capacity development supports an on-going change and improvement process. The process is seldom linear, and often unpredictable, but it does evolve through recognizable stages. The LGSP model for capacity development describes a four-stage process: consensus building, capacity building, capacity application, and institutionalization.
9. *Practical* – Capacity development initiatives need to be practical and modest. Whatever the activity – whether training, technical assistance, coaching, learning-by-doing, peer-

to-peer learning, or the dissemination of knowledge products – the successful initiatives were those that gave the LGUs new tools to use.

10. *Iterative* – Capacity development requires flexibility and creativity as well as allowance for trial and error to determine the best ways to achieve one’s objectives.

### **Seven Critical Strategies for Effecting Change through Capacity Development**

Working closely with various stakeholders in local governance has allowed LGSP to put together a set of strategies that can guide LGUs, local resource partners, and others working on capacity development in local governance. These strategies indicate that LGSP’s work did not focus only on developing capacities but on building a culture of continuous learning in the local governance sector as well.

1. Mapping the System

*“Know the terrain you travel. Knowing and appreciating the environment you will work in is fundamental to any capacity development initiative.”*

LGSP adapted the Federation of Canadian Municipalities’ (FCM) local governance system framework that describes an open system comprised of a governed area and two entities: the local government and the community. The LGSP Capacity Development Framework describes the local governance stakeholder terrain at the individual, organizational and institutional levels, taking into account the complex series of processes and relationships among varied individuals and organizations involved in or affecting local governance. It likewise considers internal and external forces impinging on LGUs and acknowledges a variety of factors that can influence the level of effectiveness and efficiency attained by local governments in their mandate of serving citizens. It further characterizes the different segments in the community that relate to local governments in different ways, and “situates this local interaction in an ‘enabling environment’ of national policies and programs, legislation as well as the interaction with organizations such as national government agencies, national associations of LGUs, civil society organizations, academe and the private sector.”

*“Know the people you’ll meet. Knowing the stakeholders of the public sector is very important.”*

LGSP identified two main groups of stakeholders it should work with:



- *LGUs and their communities:* Although the citizens are the main beneficiaries of the program, the LGUs (mainly municipalities, with some cities and provincial government units) were the “strategic and official channels of interaction for the program.”
- *The enabling environment and its institutions:* The enabling environment is comprised of the legal and regulatory framework within which LGUs operate as well as the enabling institutions (e.g., national government agencies) that affect LGUs through their program and activities.

#### Box 18. Map for Easy Navigation

“The LGSP mapped the system through three different types of exercises:

1. Research – review of the Local Government Code, research into local government issues like finance, etc. and background analysis of how the different parts of the system are meant to perform.
2. Baseline exercises – baseline studies of LGUs, readiness criteria, assessments of the DILG and the leagues of LGUs, and citizen satisfaction surveys.
3. Priority-setting exercises – LGUs Executive Agenda and Executive and Legislative Agenda.

This mapping determined legislated mandates, existing capabilities, priorities for development, and a whole range of insights into the environment for learning and development.”

## 2. Planning for Change

LGSP acknowledges that it is easier to think about change than to bring it about. As a change effort, capacity development faces the challenge of resistance as well as reluctance among those affected by change. “Planning for change reduces our apprehensions and fear. This includes strategic analysis of appropriate capacity development initiative, mapping the different stages to undertake the process, structuring the various components, preparing the stakeholders, designing the approaches and taking the time to do it right.”

In LGSP’s experience, the process of change and development happens over time in four general stages. Each stage builds on the previous, and the stages repeat “in a cyclical, upwardly spiralling manner in response to internal and external influences.”



Engaging in the four-stage change process of capacity development entails:

- Stage 1- Building consensus

This stage seeks consensus among LGUs and their stakeholders “on what capacity is needed by whom, for what purpose, and how these partners will develop and exercise this capacity over time.” This stage requires the voluntary participation of the stakeholders since consensus on the need for change begins with their willingness to join the program.

- Stage 2 – Building Capacity

This stage assists partners in developing their competencies to better design and implement systems, programs and services at the individual, organizational and institutional levels through appropriate human resource development interventions. This stage likewise addresses the partners’ needs in the areas of organizational development and institutional strengthening.

- Stage 3 - Application

This stage translates the capacities acquired in the previous stage into strengthened capacities for improved performance, by helping LGUs use enhanced knowledge, skills, systems and procedures in implementing new development programs. Assistance to partners is critical at this stage since this may involve shifts in cultures and ways of thinking, changes in work systems and procedures and adjusting management styles, among others. Support and assistance at this stage may take the form of on-site coaching, follow-on activities, peer-to-peer learning, provision of knowledge tools, structured replication processes, small funds for pilot or “demo” projects, and assistance to mobilize resources. Likewise, the identification of policy issues and support for policy development and advocacy are facilitated and may involve inter-governmental relations and donor coordination.

- Stage 4 – Institutionalization

“This stage guides individuals and organizations in internalizing changes and processes for on-going performance assessment and capacity development. It ensures the establishment and nurturing of a supportive enabling environment.” This requires strengthening regulatory support for the new systems so that “a culture of sustainability and continuous improvement is internalized.” (This

involves helping LGUs craft ordinances, resolutions, and executive orders and establish participatory systems for monitoring and improvement.)

### 3. Building local ownership

*“Open doors wide to meaningful local participation and ownership...Get partners on board early.”*

LGSP maintains that for systems to be effective, they must be owned by the individuals and entities that make them work. “Building ownership in capacity development ensures that individuals, organizations or institutions being ‘capacitated’ are highly involved in the process of change and want and understand the changes that need to take place as well as the resulting benefits.” Thus, while building local ownership is imperative at the initial stage of consensus building, this strategy is actually integrated at every stage of LGSP’s capacity development.

This strategy likewise entails ensuring that all critical individuals and entities are involved. For example, the Philippine Government managed LGSP Phase I through a National Program Management Committee. It worked in the regions through the Regional Management Committee created by the Regional Development Councils with membership from the NEDA, DILG, DBM, NGOs and the private sector. This ensured that program activities supported the priorities of government as well as the development agenda of civil society and the private sector.

LGSP also introduced or used existing mechanisms to support participatory processes. At project start-up, LGSP II developed a Performance Information System (PIS), with the participation of selected representatives of LGUs, local resource partners (LRPs) and LGSP program officers and managers. Officials and personnel in each LGU generated baseline information on the LGU’s performance along 49 output indicators of the PIS at the start of the program. (This information was updated twice a year by assigned program officers using information from LGU partners, LRPs and civil society representatives.) The LGU’s Executive Agenda and later the Executive and Legislative Agenda were also key sources of baseline information and stakeholders’ priorities.

“The capacity development plan, a companion plan to the Executive Agenda which has been incorporated into the Executive and Legislative Agenda, spells out the capacity needs to support the plan and undergoes the same participatory process. This became the basis for LGSP assistance. This consensus building process helped develop not only LGUs’ ownership of the capacity development initiatives but also their readiness to undertake them, given the self-assessed needs and priorities.”

#### 4. Learning to change

##### *“Think Outside the Box... Adopt Adult Learning Approaches”*

The experiences of LGSP point to the effectiveness of non-traditional learning methods, like on-the-job or peer learning. Recognizing the value of creative and adult learning approaches, LGSP utilized “hands-on exercises, peer-to-peer sharing, audio-video tools and a wide range of structured learning exercises for more interactive and dynamic learning” even during classroom learning sessions.

Three learning methods have proven to be effective in generating greater participation and in developing a process for replication.

- Learning by doing

This approach involves proposing innovation and changes to the LGU’s or a partner’s operational processes through the latter’s own structures and decision-making points. Since this often involves some paradigm shifts, this “may require getting a few progressive and receptive individuals within the LGU to convince other more ‘traditional’ individuals to open up to new ideas and set the change process in motion.” It also requires a trusting relationship between the LGSP program staff and the LGU or other partner organizations. While it generally takes longer time, the continued guided practice allows the partners to better appreciate how the innovations being introduced can help them become more effective in delivering their programs and achieving their goals.

- Peer-to-peer mentoring

LGSP has observed that, “Being mentored or tutored by one’s peers sits well with local chief executives and other local government officials because they find ‘host demonstrations’ easier to believe and understand.” The program facilitated technical exchanges between LGUs and peer mentoring from colleagues in other cities and municipalities within the Philippines and in some instances, in Canada thru the ‘Lakbay-Aral’ scheme . The program also developed the abilities of LGUs to serve as host and model site for demonstrating replicable exemplary practices, and in the process, become effective mentors for visiting counterparts.

LGSP supported this approach with manuals and tools especially for documenting and replicating good practices in local governance.

“The LGSP Framework for the Dissemination and Replication of Exemplary Practices is based on the principle that seeing is believing. The replication strategy developed and implemented by LGSP includes structured study tours involving preparation (exchange of information, reflection on lessons learned, participation of stakeholders) and follow-through (assessment and adaptation of lessons learned and action plans for implementation) so that both the host and the replicating LGUs maximize the exchange of knowledge and ensure that the visit leads to actual replication and tangible results.”

- On-site coaching

On-site coaches composed of program advisors and staff or contracted local resource partners worked side by side with the mayors and other LGU officials and staff in the workplace. Aside from building the needed skills, coaching developed the partners’ confidence, and strengthened teamwork and work relationships among groups and individuals. It is the LGSP’s experience that, “Being sensitive to the needs of LGUs and demonstrating sincerity, commitment and willingness to go the extra mile often makes the difference in successful coaching.” Likewise, on-site coaches who are from the locality and are well versed with the local situation prove to be very effective coaches.

## 5. Managing knowledge

*“Build a Culture of Learning... Sharing knowledge is like tossing a pebble on a quiet pond and watching the ripples grow wider.”*

As a learning organization, LGSP is committed to promote knowledge sharing and building a community of capacity development practitioners. It purposively promoted ways through which the local governance sector would increasingly have the capacity to learn from itself and harness the incremental lessons learned. For LGSP, developing a culture of learning not only among local government units but also within the enabling environment itself and the larger community is a vital element of any capacity development initiative.

The program has developed various knowledge products and applied and disseminated these through the Local Government Academy, local resource partners, academic institutions, national government agencies, NGOs, various donor-funded programs, and

directly to the LGUs. With an “open” copyright policy, it encourages the use, translation, adaptation and copying of materials (as long as they are for non-commercial use), to promote the sharing and utilization of knowledge in the local government sector.

## 6. Monitoring progress

*“What gets measured gets done.”*

LGU performance measurement is an important aspect of LGSP. Aside from the Performance Information System that it developed at the start of Phase II, the program also supported the development of a performance measurement system for all LGUs in the country, the DILG-administered Local Governance Performance Management System (LGPMS). Through the use of the PIS and LGPMS, the program encourages LGUs to adopt a culture of self-assessment and performance analysis in their operations and services.

Despite the challenges in measuring the results of capacity development initiatives, “more and more local governments are using results-based management thinking and practices in their work. They want to know whether they are meeting their objectives for delivering quality services to constituents. Many LGUs have set performance targets for services or administration, measured their progress against these targets, and generated discussion and analysis of their performance in defined areas.” In effect, more than the measurement tools, LGSP’s focus on measurement changed the mindset of stakeholders and built a culture of self assessment. For LGSP, “It is better to use a measurement system to plan and guide performance than to audit and report performance.”

## 7. Strengthening the enabling environment

“Local government units alone cannot do everything especially when confronted with external factors beyond their control such as poorly designed regulations and requirements from the national government.” LGSP thus deliberately engaged the support of key players in the LGUs’ enabling environment to ensure that changes will be more effective and sustainable. This meant paying attention to the following:

- The broad legal and regulatory framework including the major legal instruments that define the roles and functions of local governments in the country, i.e. the Constitution, the 1991 Local Government Code, and several Republic Acts and Executive Orders affecting LGUs, etc.



- Relations with national departments and agencies: these include the major oversight and other national agencies with devolved functions, all of which issue Executive Orders and other issuances related to service delivery goals and objectives, frameworks for sectoral service delivery, regulations, programs, guidelines and training initiatives targeting LGUs, etc.
- Other national and local enabling institutions such as universities and other academic bodies, financial institutions, networks of NGOs, leagues of LGUs and specialized professional associations, private sector firms involved in infrastructure development, systems development or training initiatives, as well as other LGUs.
- International partners and other influences in the global context are also part of the enabling environment.



## The Local Government Academy (LGA)

The Local Government Academy (LGA) is an attached agency and the training arm of the Department of the Interior and Local Government. It is mandated to build and strengthen the capabilities of local government officials and department personnel through continuing education, training, and human resource development. It also conducts research on best practices, and popularizes efforts for the promotion of good local governance.<sup>27</sup>

LGA's vision and mission (Box 19) reflect the agency's role in supporting and advancing capacity development in the local governance sector.<sup>28</sup>

### Box 19. LGA's Vision and Mission

#### ***Vision***

The LGA is the premier training and development institution for capability building towards innovative and effective local governance.

#### ***Mission***

As we advance toward our vision, we the LGA Family reiterates our commitment to all our stakeholders.

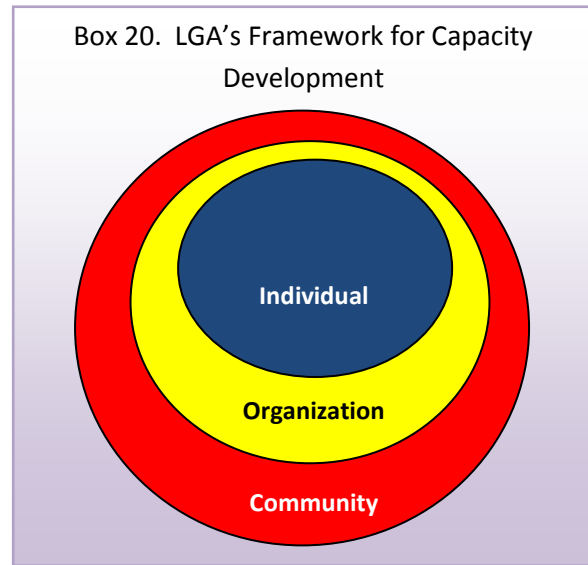
- The Local Officials - We shall ensure availability of appropriate education and training services.
- The Functionaries - We shall continuously ensure the availability of appropriate training and development services directed to specific needs.
- The DILG Personnel - We are committed to continuously upgrade the capability of the DILG personnel towards excellence in the performance of their functions and responsibilities.
- The LGA Personnel - We are committed to continuously upgrade and promote the capability of the Academy as a training development institution.
- The Partners - We shall strengthen networking and collaborative efforts to deliver our commitment to our clients

<sup>27</sup> <http://www.lga.gov.ph/about/lga.php>

<sup>28</sup> Ibid

## Capacity Development<sup>29</sup>

LGA views capacity development as both “a broad concept and a process by which individuals, groups, organizations, institutions, and societies foster decentralized governance and convergence towards self-reliant and autonomous local authorities and active partners for national development. It focuses in the development of the overall competencies of the individual, the organization, and the community; and their ability to perform their functions towards the achievement of set goals and objectives.” (Box 20)



### ***The Local Government (LG) Capacity Development Environment in the Philippines***

The academy sees the LG capacity development environment in the Philippines as characterized by the interrelationships of four groups of key players:

1. *Capacity development enablers.* The DILG, national government agencies (NGAs) and LGU leagues provide strategic direction, steer capacity development efforts, and provide support to both the providers and beneficiaries to ensure the effectiveness and sustainability of capacity development efforts.
2. *Capacity development service providers* can be academic institutions, local resource institutions (LRI), NGOs, research institutes or any similar organizations that provide services and technical assistance in the local governance arena. Their capacity development interventions can be in the form of development and execution of programs and modules, and documentation of best practices both for direct and indirect partners.
3. *Capacity development direct partners.* The roles of LGUs as direct partners include managing, applying, and utilizing the capacities being built in their respective organizations, and providing feedback on the capacity building interventions they receive.
4. *Capacity development indirect partners.* As indirect partners in capacity development efforts, CSOs, POs, NGOs, and the citizenry participate in local governance processes, express their needs and priorities, and provide feedback to LGUs regarding the services they receive.

<sup>29</sup> Unless otherwise stated, the following discussion is sourced from Local Government Academy, “CapDev Agenda in a Nutshell. A Primer on the Formulation of a Competency-based Capacity Development Agenda”, LGA, Pasig City.

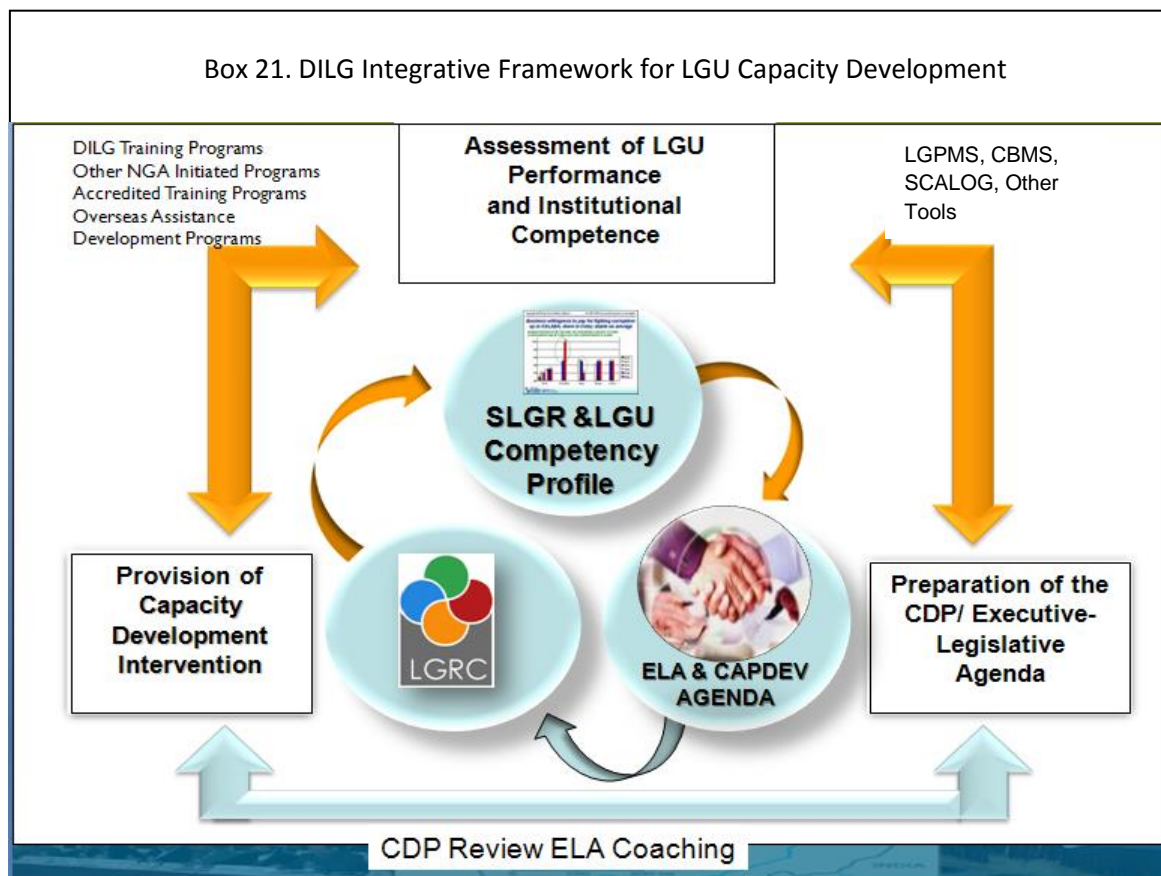


### The DILG Integrative Framework on LG Capacity Development

As a key capacity development enabler, the DILG’s integrative framework in developing LG capacities “promotes the establishment of synergy in the implementation of various programs, and in the utilization of the wide range of tools and processes. It encourages the utilization of performance management and institutional competency assessment tools and systematic weaving of the results for a more in-depth and meaningful analysis.”

The Integrative Framework has three major processes:

1. Assessment of LGU performance and institutional competencies through the use of the Local Governance Performance Management System (LGPMS), Systems on Competency Assessment for Local Governments (SCALOG), and other existing tools as input to the formulation of the LGU’s State of Local Government Report (SLGR) and competency profile;
2. Crafting of the Comprehensive Development Plan (CDP) which leads to the Executive - Legislative Agenda (ELA), and capacity development agenda; and
3. Provision of capacity development Initiatives (e.g., training programs) via the DILG Local Governance Resource Centres, other NGA initiated programs, accredited training programs, and overseas assistance development programs. (Box 21)



The processes are mutually reinforcing of each other to produce the SLGR and LGU competency profile, ELA and capacity development agenda.

As a commitment to its role as a key enabler of capacity development, the DILG issued M.C. No. 2007-71 which mandates all LGUs, through the leadership of their respective LCEs, to formulate an LGU capacity development agenda. An LGU capacity development agenda outlines the capacity development strategies, programs, and initiatives that need to be undertaken by the local government to address organizational competency gaps of target groups; recommended approaches; required resources; and timeline.

To guide the LGUs in formulating their capacity development agenda, LGA has prepared a primer entitled, *“CapDev Agenda in a Nutshell. A Primer on the Formulation of a Competency-based Capacity Development Agenda,”* and the *“Handbook on Capacity Development Agenda Formulation.”*

### **The LGPMS and SCALOG**

Although the LGPMS and the SCALOG differ in what they measure, both tools use five performance and 14 service areas of governance as indicators (Box 20).

Box 20. LGPMS Performance and Service Areas	
Performance Areas	Service Areas
Governance	<ul style="list-style-type: none"> <li>• Financial Accountability</li> <li>• Local legislation</li> </ul>
Administration	<ul style="list-style-type: none"> <li>• Development planning</li> <li>• Revenue generation</li> <li>• Resource allocation and utilization</li> <li>• Human resource development and management</li> </ul>
Social Services	<ul style="list-style-type: none"> <li>• Health and nutrition</li> <li>• Education</li> <li>• Housing and basic utilities</li> <li>• Peace, security and disaster preparedness</li> </ul>
Economic Development	<ul style="list-style-type: none"> <li>• Agriculture and fisheries development</li> <li>• Enterprise, business and industrial promotion</li> </ul>
Environmental Management	<ul style="list-style-type: none"> <li>• Natural resources management</li> <li>• Waste management and pollution control</li> </ul>

The LGPMS measures the inputs and outputs/outcomes of LGU performance; while the SCALOG measures the “throughput” or the capacity of the LGU to transform inputs into outputs and outcomes. On the one hand, the LGPMS answers the question: *What results does the LGU produce?* On the other hand, the SCALOG responds to the question: *What is the capacity of the LGU to produce?*

LGA uses the information generated from the LGPMS which is captured in the LGU’s SLGR, the SCALOG’s output which is the LGU Competency Profile, the ELA and capacity development agenda as basis for assisting LGUs in capacity development planning, design and execution. The Local Governance Resource Centre (LGRC) in the DILG serves as the interactive venue that facilitates the provision of capacity development for local governments more efficiently and strategically.

### ***The Local Governance Resource Centre***<sup>30</sup>

“The LGRC is a dynamic, interactive and virtual program that contributes to building DILG as a knowledge centric organization or KCO and builds learning communities that pursue local governance excellence through knowledge sharing and innovation. It is established to promote a culture of learning and knowledge sharing in pursuit of sustainable development through excellence in local governance, and to facilitate integration of knowledge management in local governance.”

With knowledge management as its overarching framework, the LGRC likewise endeavours to promote multi-stakeholder participation and convergence in local governance:

- *Multi-stakeholder participation in LGRC.* There is no monopoly of knowledge and knowledge should be shared and used to promote efficiency, effectiveness, learning and innovation in local governance. “There is a need to foster community relationships and strengthen networks and partnerships in local governance in building the culture of learning and knowledge sharing.”
- *Convergence in local governance.* There is a crucial need to harmonize various initiatives in local governance within and outside DILG. The LGRC can provide the mechanisms and processes to promote linkages, synergy and convergence of different programs of DILG in the region and across regions, such as LGPMS, Good Practices Facility for Adaptation and Replication (GoFAR), the Executive and Legislative Agenda, and the LGA training and capacity development initiatives.

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<sup>30</sup> <http://lgrc.lga.gov.ph/>

- The LGRC hosts an Integrated Library Management System (ILMS), composed of :
  - ♦ A network of physical libraries hosted by the Local Government Academy and DILG Regional LGRC
  - ♦ A web based library system that is composed of an Online Public Access Catalogue (OPAC), and a Digital Collection
  - ♦ The National LGRC is based at the Local Government Academy (LGA), which coordinates the network of Regional LGRCs in the Philippines. Currently, there is an LGRC in each of the 17 regions; these are hosted by the DILG Regional Offices.

### ***Service Delivery Mechanism***

LGA is mindful of the need to develop and/or tap into a network of highly competent capacity development providers that can meet the demands of its clients. Towards this end, it continues to strengthen its partnership with local academic and training institutions, and re-tool its internal resource pool in the main and DILG regional offices. The academy is likewise optimizing partnerships with other institutions to upgrade its technologies and create support mechanisms that can advance its capacity development objectives.

In 2003, LGA brought together 40 local resource institutions and facilitated the organization of the Local Governance Training and Research Institutes Philippine Network (LoGoTRI-PhilNet). LoGoTRI-PhilNet hopes to respond to need to “rationalize and direct the capacity development efforts in local governance and to institute mechanisms towards a sustained, responsive, appropriate, transparent, accountable, and quality capacity building interventions to the local governments.”<sup>31</sup> In 2008, the this number has grown to 80 LRIs.

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<sup>31</sup> <http://www.lga.gov.ph/downloads/downloadables/LOGOTRI%20PhilNet%20Brochure%20Revised%20Edition.pdf>

# *The PAHRDF Capacity Development Model and its Applicability across Various Types of Institutions*

## *Part II: PAHRDF Capacity Development Model*



Australian Government  
AusAID

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## Preface

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The present paper is part of a study commissioned by the Philippines-Australia Human Resource Development Facility (PAHRDF), an initiative of the Australian Agency for International Development. The study entitled *Capacity Development Model and its Applicability across Various Types of Institutions*, aims “to provide a meaningful and disciplined mapping of the underlying program theory that has guided the Facility’s capacity development initiatives from the stages of diagnosis, planning, implementation, monitoring and evaluation”.

Part II of the study involves an in-depth review of the Capacity Development Model that constitutes the Facility’s approach, and seeks to “consolidate an in-depth technical description of the Facility’s Capacity Development Model.”



## Acronyms

Aus-AID	Australian Agency for International Development
CLCI	Centre for Leadership and Change, Inc.
CORD	Ateneo Centre for Organization Research and Development
GAD	Gender and development
HRMD	Human Resource Management and Development
LGU	Local Government Unit
LTT	Long-Term Training
M and E	Monitoring and Evaluation
NEDA	National Economic Development Authority
PAHRDF	Philippines-Australia Human Resource Development Facility
PMAP	People Management Association of the Philippines
PSTD	Philippine Society for Training and Development
REAP	Re-entry Action Plan
STT	Short-Term Training
TSP	Training Service Provider
WDO	Workplace Development Objective

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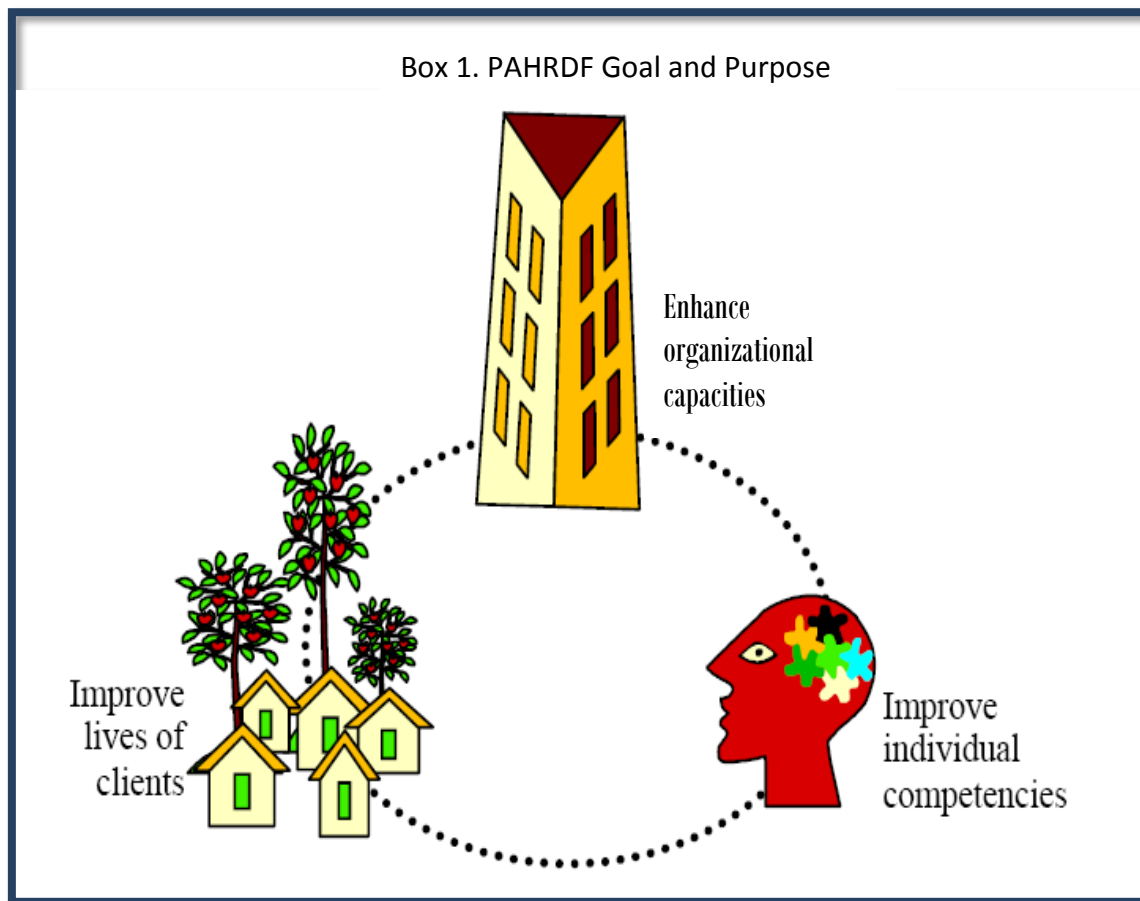
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## I. Goal and purpose of the PAHRDF

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The Philippines-Australia Human Resource Development Facility's (PAHRDF) overarching goal is to contribute to poverty reduction and sustainable equitable development in the Philippines. It commenced in August 2004 and will end in August 2009.

Its specific purpose is to build and enhance the capacity of targeted organizations in service delivery, in the application of high quality administrative governance, and in people and organizational development including the field of human resource management and development (HRMD). Developed competencies in these areas are envisioned to directly translate to enhanced organizational capacities (specifically, improved processes and systems) that will impact on the quality of services to clients, eventually contributing to poverty reduction and sustainable equitable development. This conceptual framework that defines the Facility's goal and purpose provides the anchor for PAHRDF's Capacity Development Model.



## II. Capacity Development Defined

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The Facility defines **capacity development** as a process that enables organizations to be responsive to a dynamically changing environment.

- It involves the use of complementary, demand-driven interventions that build on competencies for strengthening systems and processes to achieve an organization's strategic direction and internal change agenda.
- Emphasis is given on continuous organizational learning and in sustaining capacities to effectively perform identified mandates.

process  
complementary  
demand-driven  
continuous learning  
sustaining capacities

## III. Backbone for Strategic Alignment and Sustainability

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PAHRDF deviates from the traditional notion of capacity development that just focuses on, and starts and ends with building the individual's competencies. It ensures that activities will directly contribute toward developing capacities essential to achieving the organization's strategic change agenda and that these capacities will be sustained. To do this, the Facility adopts a six-pronged strategy that provides the backbone for purposive alignment and sustainability:

1. *Establishing shared accountability and responsibility* – PAHRDF works in partnership with target organizations from “Day 0” or pre-launching stage of the engagement. The organizations are involved in every aspect and step of the partnership to effect quality design and execution.
2. *Developing and implementing demand-driven and integrated interventions* – The Facility and partner organizations undergo a rigorous and iterative process of assessing organizational requirements that will support the achievement of their strategic development and internal change agenda. As opposed to identifying singular training events, the assessment becomes the basis for developing and implementing a comprehensive and integrated package of complementary interventions.
3. *Using leadership development as a foundation* – PAHRDF recognizes the critical role of leadership in realizing and sustaining enhanced capacities. Leadership training and

development thus becomes both a capacity development intervention and a foundation for sustaining capacities in the organization.

4. *Building a critical mass* - In developing organizational capacities, PAHRDF provides for short term training interventions that build the competencies of a corps of employees who perform key functions, thus creating a critical mass of change agents. This is complemented and supplemented by long term training programs that hone the expertise of selected scholars along identified strategic fields of studies.
5. *Strengthening the HR office* – Developing and sustaining capacities is an inherent function of an organization and not of a project management office. This underlines the PAHRDF's strategy to strengthen the stature and capacity of a partner organization's HR Office as focal unit for capacity development.
6. *Linking with and complementing other development initiatives* – PAHRDF is careful about duplicating efforts from other development initiatives. Rather, it seeks to build on inputs and gains from internal and external donor-driven capacity development programs.

This backbone for strategic alignment and sustainability is a recurring theme across, and is operationalized in the Facility's approaches and processes.

## IV. Focus of Capacity Development

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### *Capacity Areas*

PAHRDF identifies three **capacity areas** which when present and developed in partner organizations can significantly impact on their ability to contribute to poverty reduction and sustainable equitable development.

- **Service Delivery** refers to all aspects of the core business and operational purpose of the organization. This covers service delivery systems and procedures, and partnership building.
- **Administrative Governance** refers to the set of broad organizational functions intrinsic to any private or public agency regardless of its mandate or specific service delivery objectives. This includes planning and policy development, project development and management, administrative service systems and procedures, information technology, and revenue generation.
- **People and Organizational Development** refers to a set of broad functions that pertains to the human side of the organization. This covers leadership and teamwork, human resource management, and human resource development.

The specific capacities under each capacity area are defined in Box 2.

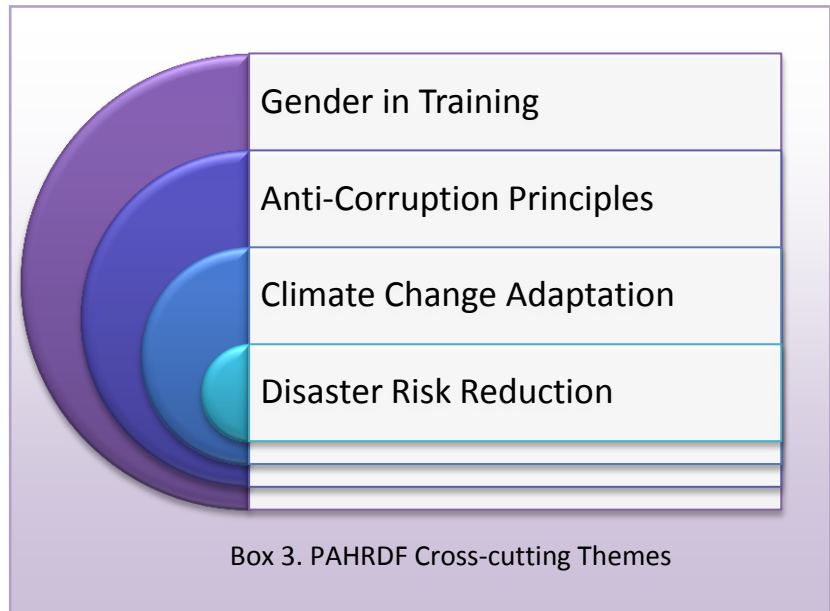
Box 2. Capacity Areas with Specific Institutional Capacities

Service Delivery	Partnership-Building	Capacity to establish, strengthen and mobilize stakeholder support to achieve organization's development goals and enhance service delivery.
	Service Delivery Procedures and Systems	Capacity to establish, implement, manage and sustain key service delivery mechanisms in relation to mandate and external clients.
Administrative Governance	Planning and Policy	Capacity to develop and formulate long term objectives, goals, strategies, and priorities. Formulate sound budget based on clear plans. Translate the organization's strategic directions and priorities into sound policies. Monitor and evaluate results.
	Project Development	Capacity to undertake the overall planning and coordination of a project from inception to completion aimed at meeting the client's requirements and ensuring completion on time, within cost and to required quality standards.
	Administrative Service Procedures and Systems	Capacity to implement plans and policies through the development of appropriate procedures, structures and systems for accounting, internal control, expenditure management, and procurement.
	Information and Communications Technology Management	Capacity to develop, install and maintain methods and techniques used in information collection, processing, storage, display, and dissemination by automatic means. These may include computers, telecommunications and office systems or any combination of these elements. Establish enabling mechanisms to maximize the use of ICT.
	Revenue Generation	Capacity to plan and manage the generation of financial resources to ensure effective provision of these resources to program/ project priorities and concerns.
People and Organization Development	Leadership and Teamwork	Capacity to nurture and develop current and future leaders so that there is availability of qualified leaders at all levels who can mobilize the organization towards its goals. Build and support teams or work groups that are high performing, empowered and can be self-managing towards a common, agreed purpose.
	Human Resource Management	Capacity to develop and manage the processes for HR planning, recruitment and selection, compensation and benefits, employee welfare, organization design, job design, job description, competency profiling and HRIS.
	Human Resource Development	Capacity to develop and manage the processes for training and development, training management, performance management, career planning and development, coaching, mentoring, succession planning.



## ***Cross-cutting Themes***

Aside from the three capacity areas (i.e., Service Delivery, Administrative Governance, and People and Organization Development), PAHRDF likewise mainstreams in its interventions four cross-cutting themes: gender and development, anti-corruption principles, climate change adaptation, and disaster risk reduction.



- **Gender in Training**

PAHRDF embraces the philosophy and principles of gender and development (GAD). The Australian Government’s White Paper on Overseas Aid Program emphasized that “gender equality is essential to reducing poverty and increasing the effectiveness of aid. Gender equality is a critical development goal in its own right.”

Gender mainstreaming particularly in the public sector, aims to ensure that trainees are not just empowered to do their work effectively to contribute to their organizations’ planned change agenda. They are also expected to develop gender sensitivity and perspective that will allow them to promote gender equality in the workplace, and develop and implement programs and projects that address specific gender issues and needs of their clientele.

PAHRDF interventions become vehicles to cultivate and nurture gender awareness and sensitivity in the partner organizations. This is done by incorporating relevant gender topics in the training design, ensuring that the implementation of training activities follow GAD principles and practices, and deliberately using non-sexist language in all interactions and documentations.

- **Anti-corruption Principles**

PAHRDF subscribes to AusAID’s overall goal for development policy on anti-corruption, i.e., “assisting in bringing about sustainable reduction in corrupt behavior for the purpose of improving economic and social development.” Given this, anti-corruption action elements and principles are integrated in its capacity development and other

support interventions for partner organizations. (Aimed at nurturing an environment of integrity and accountability and in disabling the conditions for corruption to prosper, these elements include building constituencies for anti-corruption reforms, reducing opportunities for corruption, and changing incentives for corrupt behaviors.)

In HR/training activities, these action elements are applied in a number of ways. It can be through aligning training outputs with the partner organization's commitment relative to anti-corruption; ensuring that Re-entry Action Plans support the institutionalization of anti-corruption mechanisms; promotion of transparency in transactions; regularizing public reporting; simplifying procedures and regulations; or strengthening special bodies and councils by optimizing participation of civil society organizations and the private sector in its operations.

- **Climate Change Adaptation and Disaster Risk Reduction**

In the light of the changing global environmental conditions affecting especially more vulnerable developing countries, and in keeping with the *Hyogo Framework for Action 2005-2015*-- a global blueprint for disaster reduction efforts-- the Australian government has emphasized action on Climate Change Adaptation and Disaster Risk Reduction in its country programs.

*Climate Change Adaptation* refers to the strengthening of resilience and reduction of vulnerability to the impacts of changes in average climactic conditions (e.g. rise in sea level, loss of biodiversity, and spread of climate-sensitive diseases).

*Disaster Risk Reduction* covers the increased resilience and reduced vulnerability to emergent and urgent geophysical hazards (e.g. volcanic eruptions, earthquakes, and tsunamis). Australian policy on Disaster Risk Reduction has one overarching goal: *Reduced vulnerability and enhanced resilience of countries and communities to disasters*. The targeted outcomes of this are the following:

1. Disaster risk reduction is integrated into the Australian aid program
2. The capacity of partner countries to reduce disaster risks is strengthened in line with the Hyogo Framework for Action
3. Leadership and advocacy on disaster risk reduction are supported and enhanced
4. Policies and programming for disaster risk reduction and climate change adaptation are coherent and coordinated



## V. Workplace Training as a Capacity Development Approach

The PAHRDF's task necessitates a change management approach that can drive planned organizational change and reinforce strategic capacity enhancement from the individual to the organizational level. It is for this reason that the Facility has chosen to adopt a Workplace Training Approach (which it has continuously evolved and improved based on lessons learnt from its engagement with various partner organizations over the years) in all its interventions.

The work place where the application of new knowledge, skills and attitudes is required is still the best context for learning.

The Workplace Training Approach is grounded on the philosophy that the work place where the application of new knowledge, skills and attitudes is required, is still the best context for learning. It supports the “knowing-doing link” that is not addressed by many capacity

development programs. It helps bridge the gap between an organization's mandate and its capacity to successfully move this agenda to completion.



Two major principles underlie the PAHRDF Workplace Training Approach: strategic alignment, and adult learning.

PAHRDF's training interventions (also called HR solutions or HR interventions), and the Re-entry Action Plans that are implemented after each intervention. It ensures a focused and customised approach to each engagement.

- **Strategic Alignment** refers to the tight, clear, and logical relationship between the partner organization's change agenda,

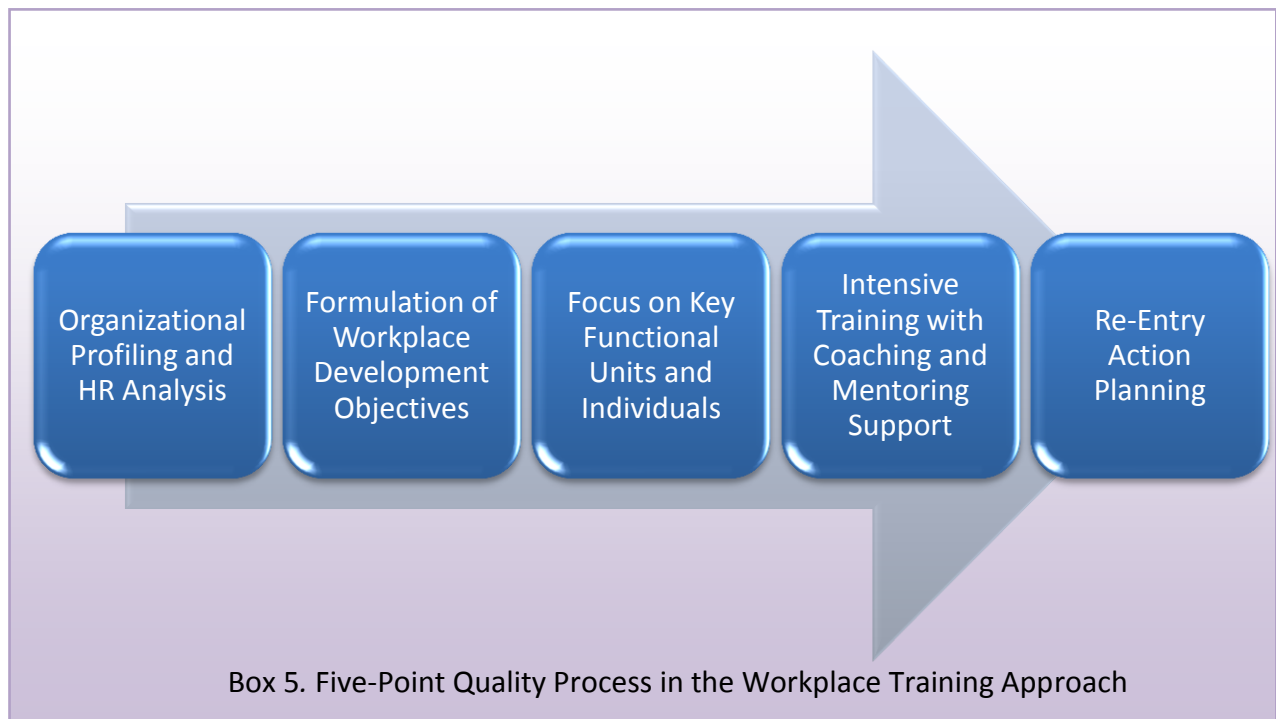
- **Adult Learning** involves the use of appropriate inductive methodologies that move the learner through a cycle of experience, processing, generalization, and application. It considers the adult participant's contexts, inclinations and motivations to ensure the relevance and effectiveness of PAHRDF's training interventions.

## VI. A Five-Point Quality Process

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All PAHRDF interventions are identified, designed, and managed following a highly collaborative and participative five-point quality process to ensure that they are aligned with the organization's development agenda and will produce the concrete results that will enhance its capacities to perform its mandate (Box 5).

1. *Organizational Profiling and HR Analysis.* Diagnosis and planning for any PAHRDF intervention starts with an intensive participatory profiling process that validates a target organization's readiness to partner with the Facility, and documents its development and internal change agenda. Sponsorship and buy-in is gradually generated through the involvement of the organization's top management, key officers, and HR point persons. The ensuing HR Analysis identifies the competency gaps that need to be bridged for the organization to achieve its change agenda. Proposed HR Solutions for identified competency gaps are prioritised. Each HR solution then becomes part of an integrated intervention package composed of long-term and short-term training programs. This process ensures accurate and strategic targeting and alignment of HR interventions.



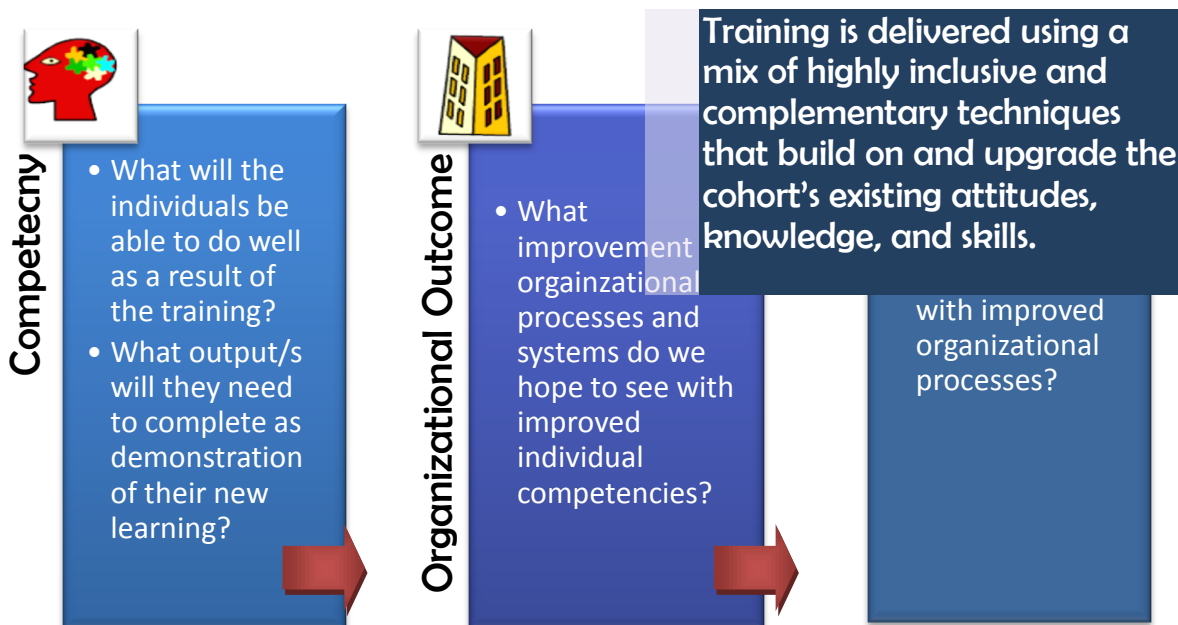
2. *Formulation of Workplace Development Objectives (WDO).* This process triggers the design of prioritised HR solutions and helps generate buy-in among key stakeholders because of the consultative approach. Alignment with the organization's change agenda

is ensured through the formulation of WDOs that trace the desired **competencies** that will be developed among the target cohort, the planned **training outputs**, the desired **organizational outcomes**, and **development impact** of the HR solution to the organization's development thrust. Formulating the WDOs is a critical task when planning a PAHRDF intervention as the WDOs also become the basis for monitoring and evaluating the result of the intervention.

A Workplace Development Objective has three components:

- *Competency* – specifies the knowledge, skills and attitudes that an HR activity is intended to develop among the cohort. It also defines the:
  - ♦ Specific **output/s** that the learners need to complete as a demonstration or evidence of the acquisition of new learning;
  - ♦ **Conditions** necessary to produce the required output, such as materials, support, authority, data, etc.; and
  - ♦ **Standards** that must be met for the output to be acceptable, such as quantity, quality and/ or timeliness. These may also include process requirements, for example: the output must be done in consultation with stakeholders, or it must be reviewed by the organization's board or by a committee.
- *Organizational Outcome* – specifies medium-term improvements in organizational capacity area/s as a result of enhanced individual competencies.
- *Impact* – specifies long-term objectives of improving clients' lives and socioeconomic well-being resulting from the organization's improved service delivery.

Box 6. Hierarchy of Development Objectives



3. *Focus on Key Functional Units and Individuals.* Training participants are selected based on their individual contribution and their unit's defined roles in effecting change in the organization. This ensures that immediate and meaningful application of learning can be made for the benefit of the organisation. A critical element of this process is preparing the cohort as well as their units and superiors for the intensive learning activity that they will undergo. This also requires getting the commitment of the cohort and the support of the superiors in allocating time and effort to the HR activity.
4. *Intensive Training with Coaching and Mentoring Support.* Short Term Training (STT) participants undergo intensive training while temporarily disengaged from the workplace. Since the Facility is biased towards adult learning approaches, training is delivered using a mix of highly inclusive and complementary techniques that build on and upgrade the cohort's existing attitudes, knowledge, and skills. This is followed by work-based coaching and mentoring to produce the outputs specified in the WDO. The immediate and guided application heightens the learning process and boosts the confidence level of the trainees to demonstrate their newly acquired competencies. Trainees under the Long Term Training (LTT) program, on the other hand, are sent for a longer study period on fields that complement the identified short term training solutions. They are guided and supported by selected mentors from their organizations in the duration of their studies.

5. *Re-entry Action Planning.* Trainees develop Re-entry Action Plans (REAP) that are implemented after the completion of the HR activity or study period. The REAP maps out concrete steps that training participants will take to adopt, institutionalize, and mainstream the training outputs in their organizations' processes. Since it directly translates learning at the individual level to outcomes at the organizational level, the development of the REAP is a proactive process that requires discussions and agreements between the trainees and heads of their respective offices on the focus and the strategy of the plan to ensure that the REAP will contribute to the change agenda of the organization. The process promotes commitment building among the involved parties to address their organization's priority development concerns. Top management needs to approve the REAP and commit the necessary resources and budget for its implementation. As such, the REAP becomes an organizational commitment as much as it is a commitment of the individual participants. For organizations implementing several REAPs from STT and/or LTT, complementarity of REAPs is an important consideration.

## VII. Training Delivery Approaches

### *Adult learning strategies*

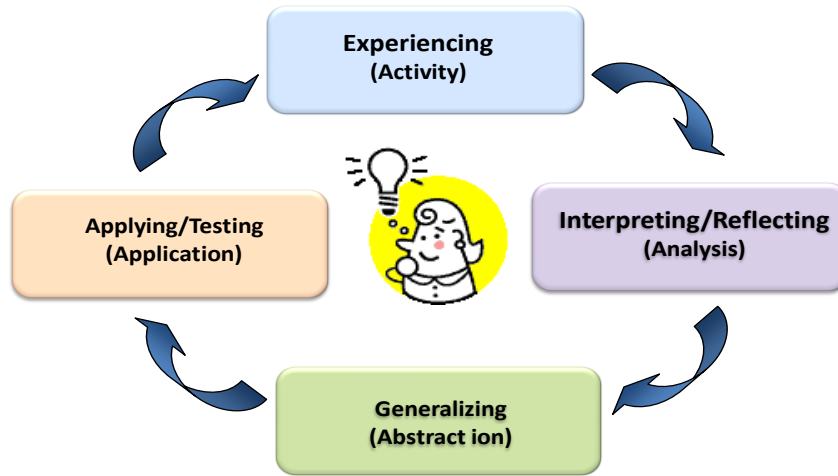
- Workplace training is most effective when adult learning principles are applied. This means using strategies that respect the unique learning styles of individuals and respond to the needs-based nature of adult learning. Teaching and learning sequences need to be anchored on workplace scenarios, allow experiential learning, facilitate self-reflection, and strengthen personal ownership of the learning process.

PAHRDF has a bias for deductive training strategies that promote solution-centred learning. These strategies:

- ♦ Cultivate a more positive climate for learning
- ♦ Build on learner experience and knowledge
- ♦ Promote self-direction and empowerment in learning
- ♦ Balance theory with practice
- ♦ Emphasize learning process skills
- ♦ Relate classroom instruction with its immediate application
- ♦ Allow self-assessment of learning progress
- ♦ Utilize experience-based and participative training methods

**Re-entry Action Plans  
translate learning at the  
individual level to outcomes  
at the organizational level.**

### Box 7. The Adult Learning Cycle



- Learning events that follow the adult learning cycle are a basic element of PAHRDF training designs. These guide the learners along the Activity-Analysis-Abstraction-Application cycle (Box 7), and facilitate the linking of classroom learning to the needs and goals of the organization.

### ***Coaching***

PAHRDF considers coaching as an effective workplace training approach, and thus has applied this in most of its interventions. Coaching enables trainees to demonstrate technical skills and desired behaviors (e.g., improved teamwork) to produce target outputs, with the support and assistance of a coach or mentor. Coaches and mentors are provided by contracted Training Service Providers (TSPs) for STT programs; while in-house officers and staff from partner organizations provide coaching and mentoring for LTT trainees. The in-house coaches and mentors have been trained by PAHRDF. The Facility has likewise assisted partner organizations in setting up their mentoring program.

Below are some key coaching concepts that PAHRDF has promoted in its capacity development efforts:

- Coaching is most effective when purposive and planned. This entails having clear objectives, identified content areas, and carefully planned strategies and processes.
- PAHRDF coaches are not technical experts who are expected to produce the required outputs; they are meant to assist the trainees apply their learning (from earlier formal

teaching and learning components) as they develop and produce the required workplace outputs.

- Coaches are not just subject-matter specialists. They should be competent in coaching, particularly in the use of appropriate interpersonal and process skills.
- Coaches need to have good understanding of and background on change management because PAHRDF interventions almost always cover not just building of skills but also the development and/or refinements of business processes that entail changes in the culture and practices of the organization.
- Monitoring and feedback are important elements of coaching. On the one hand, knowing their progress can be a powerful motivator for trainees. On the other hand, timely spotting of deviations will allow adjustments in processes if necessary.

### ***Benchmarking***

PAHRDF recognizes that purposive and goal-oriented benchmarking activities can be a very powerful learning strategy. Thus, most PAHRDF STT programs incorporate visits of cohorts to organizations that are widely considered to adopt best practices in business aspects that are targeted for improvement by partner organizations. PAHRDF engages representatives of partner organizations and TSPs in identifying most appropriate benchmarking sites in the Philippines or Australia.

The visits allow cohorts to study their own processes and performance metrics vis-à-vis the benchmark organizations. Aside from providing partner organizations fresh perspectives on processes and standards, the benchmarking visits provide cohort opportunities to exchange ideas and network with their counterparts in the benchmark organizations. The visits also increase their confidence in planning and introducing changes in their own organizations, having seen models of successful change initiatives.

To ensure that learning opportunities from a benchmarking activity are maximized, training participants plan and prepare for the visit, and undergo de-briefing and processing after the activity.

## **VIII. Enabling Mechanisms and Processes**

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The PAHRDF Capacity Development Model is powered by a set of enabling mechanisms and processes that support the efficient and effective execution of the Facility's work.

### ***E-Business Process***

Facility operations are supported by a comprehensive web-based database system that serves as business platform across the Manila and Davao offices. The system is accessible to all stakeholders - AusAID, NEDA, partner organizations, training service providers, HR practitioners, Australian universities, and STT/LTT participants. Information is real-time, allowing Facility staff to attend to tasks using the website even when on-field, and to maintain quality standards in the development of Organizational Profiles, HR Analysis and HR Activity Specifications for STT activities.



Monitoring and evaluation of REAPs, and evaluation of HR activities are web-based.

The Facility’s website likewise hosts the Facility’s knowledge management component. Lodged in the website is a “Learning Centre” where important updates and resource materials as well as knowledge products from PAHRDF’s capacity development initiatives can be accessed. A “Community of Learners” link has been installed to further advance the Facility’s knowledge management thrust in the areas of human resource, organization and capacity development.

In addition, accreditation of training service providers, tendering and submission of proposals are all web-based, thus promoting transparency of business transactions.

**Facility Management**

Facility Management for PAHRDF is based on a culture and practice of continuous improvements and innovative approaches to managing a development project. Team members, stakeholders, partners, and clients are regularly engaged in idea and information exchange to generate valuable feedback on how operations and management systems can best support the delivery of STT and LTT activities. The Facility has also endeavoured to be flexible in its work processes so that emerging priorities can be addressed effectively.



- **Staffing and Staff Development.** The Facility is led by a Facility Director and staffed by a team of players with a shared understanding of the organizational development paradigm used in all PAHRDF activities, systems, and processes. This enables members to work under the same set of principles and practices with all partner organizations in the identification and design of HRD interventions. HR Advisers are assigned a portfolio of partner organizations. Aside from facilitating the consistent execution of PAHRDF's Five-step Quality Process, HR Advisers also act as the main conduit in managing the Facility's relationship with partner organizations.

HR Advisers are likewise tasked to lead and ensure that quality is maintained in the different areas of Facility operations such as: monitoring and evaluation (M and E), managing the LTT program, overseeing execution of STT programs including management of training service providers, management of alumni programs, commissioning of studies and researches, conduct of annual development symposium, and financial management.

Continuing staff development is provided to team members through training, seminars, and learning sessions to upgrade their skills. Job enrichment and job rotation are also used as strategies to develop staff competencies. As appropriate, they also participate in PAHRDF sponsored STT programs to learn current HR trends and applications.

- **Building Strong Strategic Partnerships.** The successful execution of the Facility's work hinges largely on its ability to forge and maintain partnerships that are anchored on shared goals and principles.

All partner organizations engage with the Facility through a Partnering Agreement which details responsibilities of both parties in the engagement. Beyond the formal and written agreement though, the Facility continuously endeavours to build strong partnership and alliances with management champions and HR personnel in the partner organizations. Since the staff complement in both the Manila and Davao offices is lean in relation to the multiple tasks required to meet the objectives of the Facility, partner organizations' involvement in PAHRDF activities and processes like Organizational Profiling, HR Analysis and M and E has been strengthened. This strategy served the dual purpose of empowering and capacitating the partner organizations and optimizing available resources.

Similarly, PAHRDF has proactively developed a pool of accredited Training Service Providers that share the Facility's philosophy of workplace training and adult learning. Regular dialogues and feedback sessions with TSPs enable the Facility to maintain training standards. The Facility has likewise regularly designed and implemented training programs and learning sessions for the TSPs to upgrade their capacity to meet the requirements of the Facility and partner organizations.

PAHRDF has linked with other organizations with services that can support the Facility's capacity development efforts. Among others, it has tapped the People Management Association of the Philippines (PMAP), the Philippine Society for Training and Development (PSTD), the Centre for Leadership and Change, Inc. (CLCI), and the Ateneo Centre for Organization Research and Development (CORD) to handle sessions during HR symposia or conduct researches for the Facility. In the same manner, PAHRDF has taken advantage of opportunities to promote the Facility's Capacity Development Model and Workplace Training Approach to generate interest and influence a broader base of stakeholders on PAHRDF's capacity development paradigm and principles.

### ***Monitoring and Evaluation***

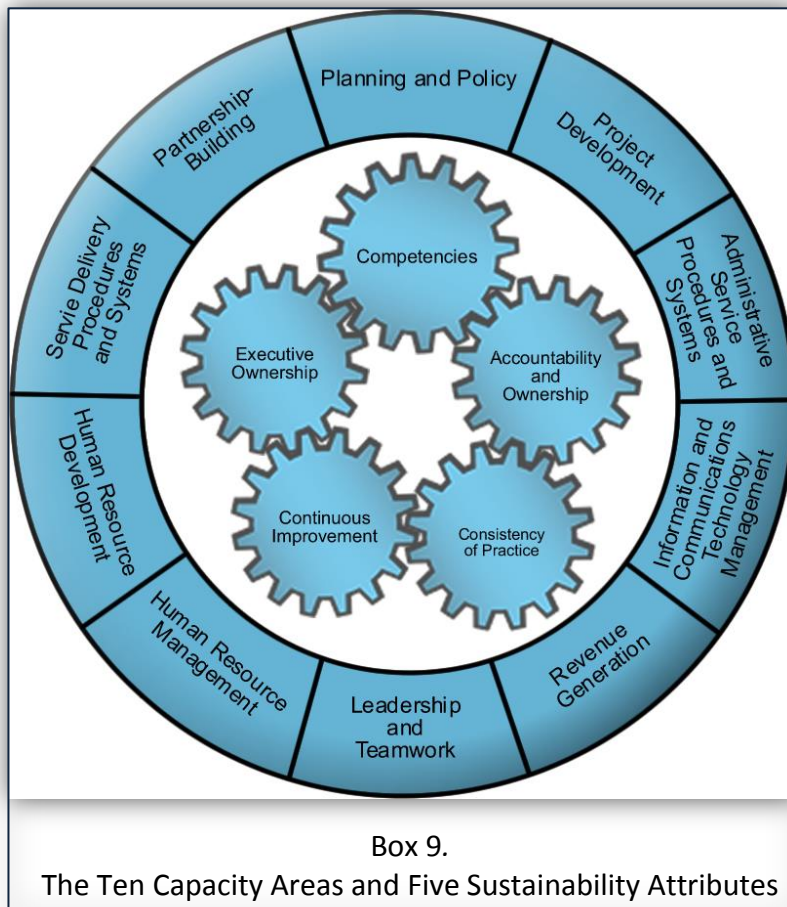
The Facility's Monitoring and Evaluation System is considered by the Australian Agency for International Development as a "comprehensive framework with the potential to collect data that could form the basis of a good impact assessment over time." The system includes gathering baseline information and conducting periodic monitoring to assemble performance information during and after the intervention.

The framework covers the ten Capacity Areas for strengthening, and monitors the performance of the organizations along five Sustainability Attributes (Box 8).

### ***Capacity Sustainability Attributes***

A set of **Capacity Sustainability Attributes** has been identified to assist organizations in working towards sustainability of organizational gains. These attributes are necessary to support and sustain the organization's capacity. The more attributes that are present in a capacity area, the more embedded and sustainable is the capacity. These attributes for organizational capacity sustainability are:

- Competency – the presence of qualified personnel to perform the functions related to the capacity, and mechanisms for continuous improvement of their skills.
- Accountability and Ownership – the presence of mechanisms to clarify and reinforce responsibilities, and ownership for the capacity.
- Consistency of Practice – the presence of mechanisms to ensure clarity and consistency of processes and practices, and compliance with standards.
- Continuous Improvement – the presence of mechanisms to review processes for improvement, implement and manage changes to meet the needs of clients and other stakeholders.



- Executive Sponsorship – the presence of visible management support for smooth operations and other initiatives within the capacity.

Organizations assess their organization’s capacities along these attributes before a PAHRDF intervention, and report on their progress every six months after an activity. A user-friendly tool allows for organizational self-assessment which facilitates performance tracking for short term training programs. A parallel process has been designed for the monitoring and evaluation of REAPs of long term

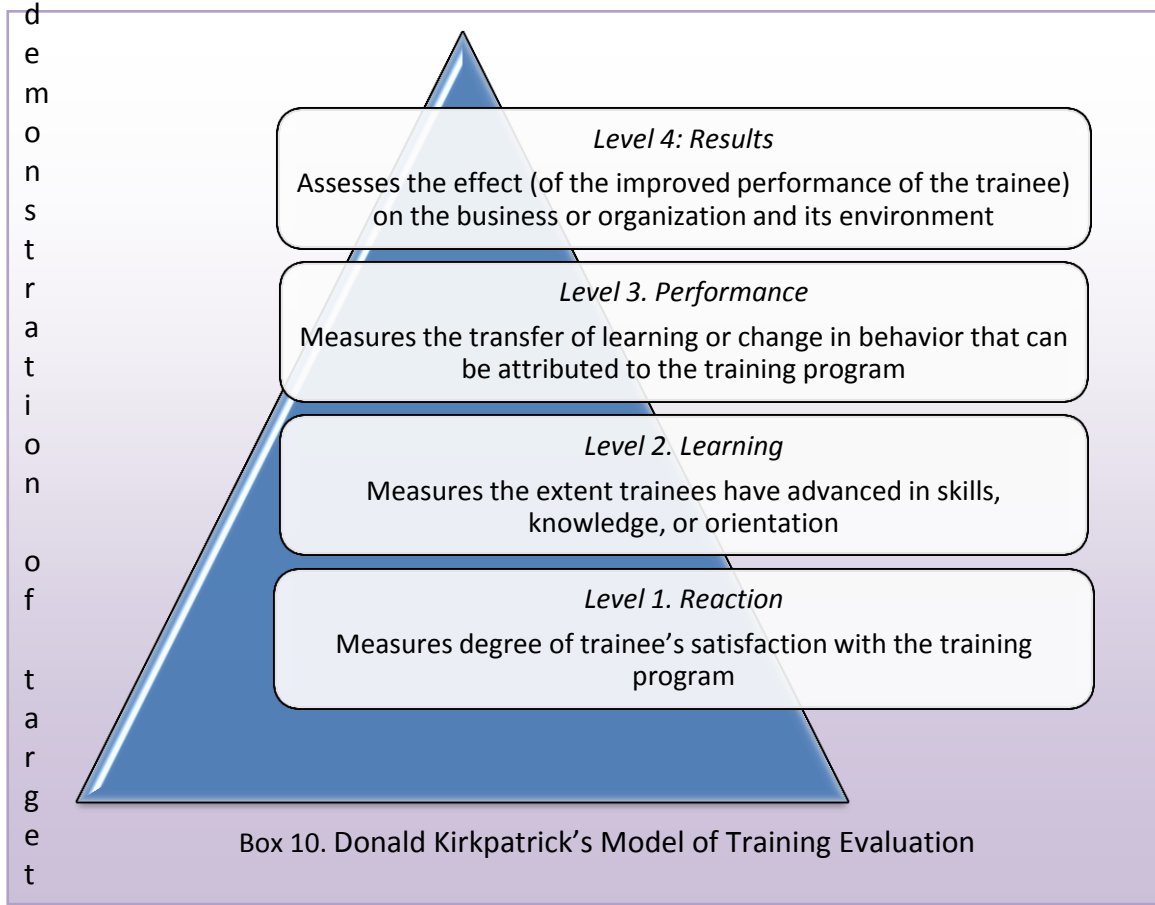
training participants.

### *Levels of Evaluation*

PAHRDF’s M and E System in effect addresses the four levels of evaluation that are covered in Donald Kirkpatrick’s Model of Training Evaluation (Box 10).

- Reaction Level evaluation is made online by each participant immediately after a training activity through the Facility’s website. The results are promptly fed back to the Training Service Providers so they can use the information to improve their execution of training activities.
- Learning Level evaluation is done during the entire duration and after the completion of an HR activity. Level 2 evaluation activities are in fact built into the training design.

- Informal Performance Level evaluation starts during the coaching phase of the HR Activity, with the coaches providing immediate feedback to the trainees on their



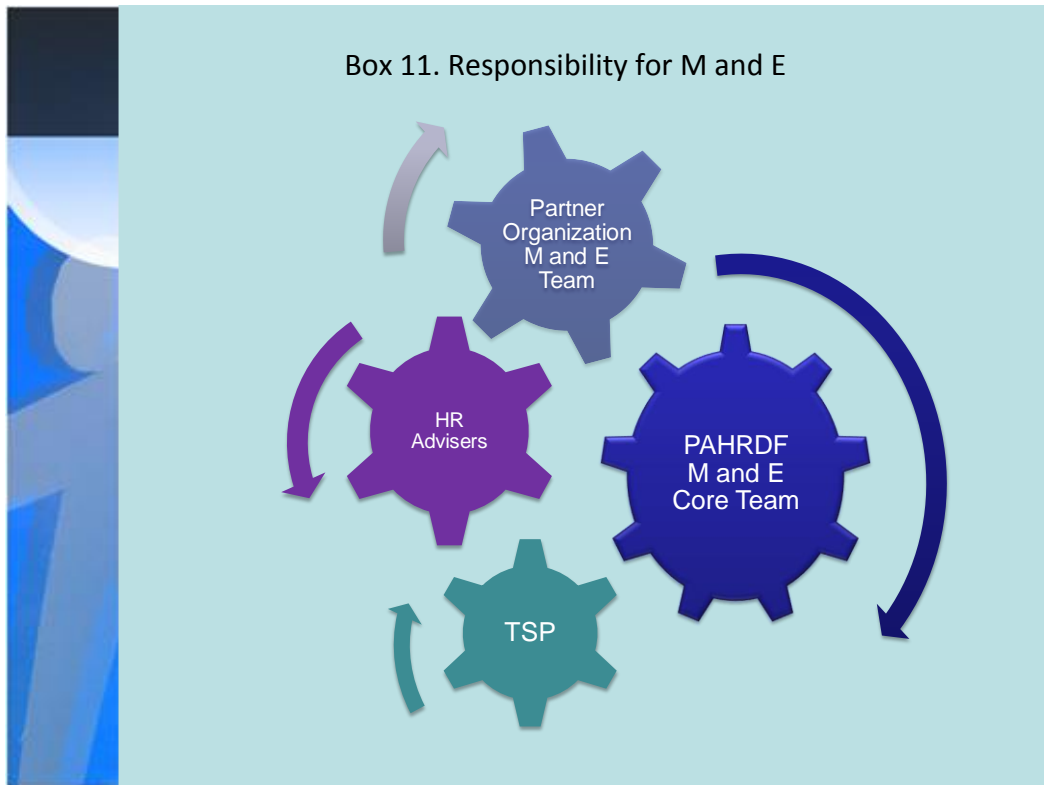
competencies. This is reinforced by the Facility's M and E System after the completion of the intervention. The trainees' implementation of their Re-entry Action Plans is a major source of information for Level 3 evaluation. Using the Capacity Sustainability Attributes, the M and E System likewise tracks how learning has been transferred to the workplace.

- The Facility's M and E System provides for Results Level evaluation. Overtime, it tracks how improved organizational capacity contributes to organizational performance and ultimately, service to clients.

### *Responsibility for Monitoring and Evaluation*

Rather than lodging the responsibility for monitoring and evaluation on a single person or unit, the Facility's M and E System is rendered stronger and more meaningful by making it a shared function and responsibility among the Facility's staff and partner organizations. While there is a team that oversees the M and E System and orchestrates related activities, HR Advisers are "hooked" into the system; i.e., they coordinate with partner organizations and consolidate M and E reports of their portfolio as input to the system. TSPs likewise play a significant role in

monitoring and evaluating the performance of target cohorts during classroom training and coaching activities. At the partner organization level, M and E teams have been formed and trained so they can more meaningfully contribute and participate in the system.

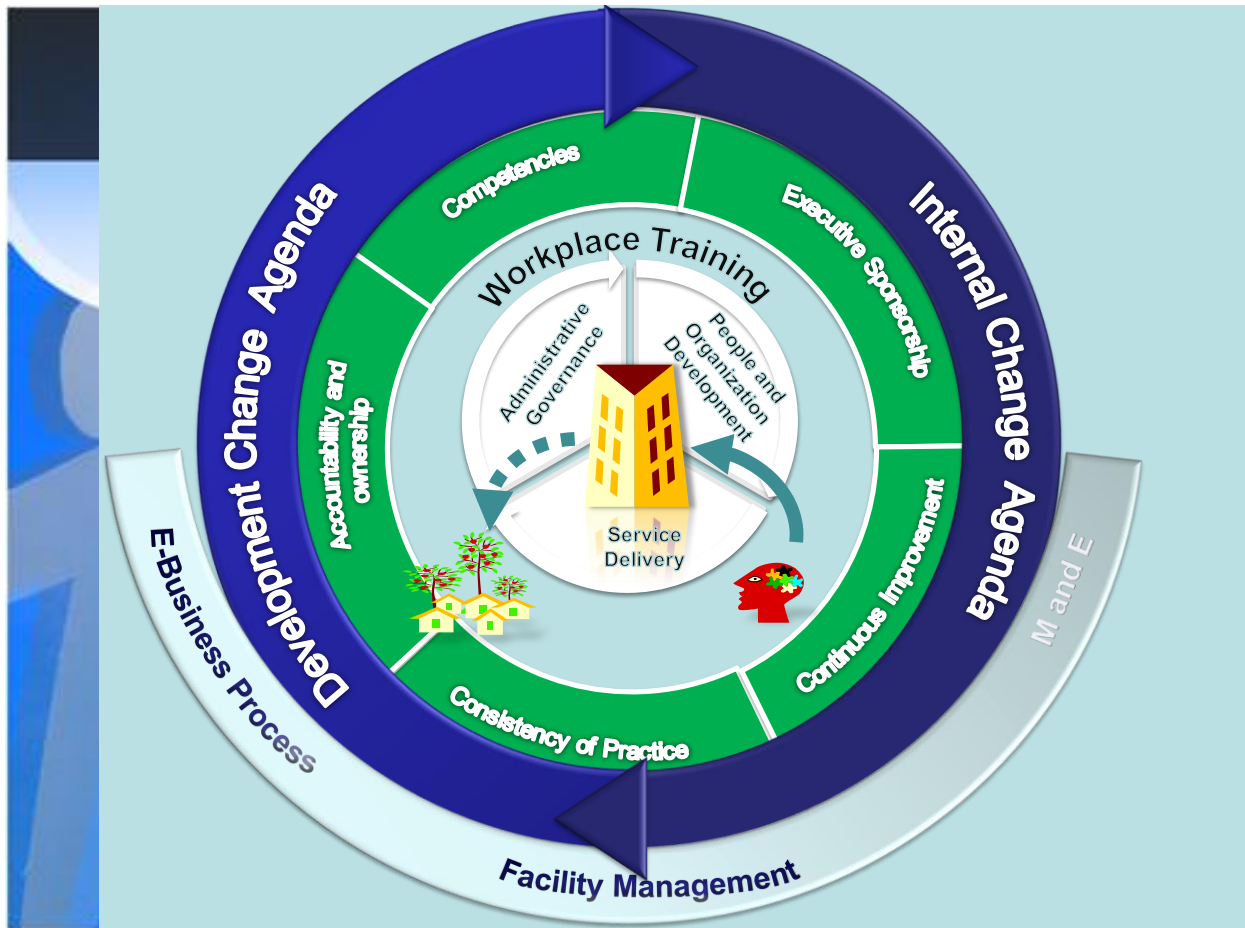


## IX. The PAHRDF Capacity Development Model in a Nutshell

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The PAHRDF Capacity Development Model (Box 12) can be viewed as a dynamic system of interrelated components and processes. The system advances the Facility’s purpose to build and enhance the capacity of partner organizations (in service delivery, administrative governance, and in people and organizational development) so that they are better able to improve processes and systems that will impact on the quality of services to clients, eventually contributing to poverty reduction and sustainable equitable development.

Box 12. The PAHRDF Capacity Development Model



The model derives its strength from two evident pillars of meaningful capacity development: strategic alignment and sustainability. As such, the partner organizations' development and internal change agenda drive all interventions which are identified, designed, and implemented through a highly purposive and participative process. Sustainability attributes in the targeted capacity areas are pre-determined so that stakeholders are easily able to track the organizations' progress during and after the PAHRDF engagement.

The Workplace Training Approach is a defining feature of the model. The approach recognizes that the workplace where the application of new knowledge, skills and attitudes is required is still the best context for learning. Embedded in the approach is a Five-step Quality Process that further promotes strategic alignment and sustainability. The process starts by clarifying the partner organization's development and internal change agenda, as this becomes the anchor for determining the organization's capacity development needs and developing the interventions that will respond to these. The identification of a set of workplace development objectives ensures that enhanced capacities at the individual level are immediately applied in the workplace through the preparation of outputs that are intended to lead to improved processes and systems. HR interventions, whether through STT or LTT mode, are supported by adult learning delivery strategies. The preparation and implementation of Re-entry Action

Plans facilitates the institutionalization of processes and systems, and influences the delivery of better quality services to the organizations' clients.

The operationalization of the model is supported by a set of enabling mechanisms that ensures consistent adherence to the Facility's capacity development principles and approach. A team of specialists and support staff orchestrates and oversees execution of the Facility's mandate as it partners with key stakeholders and organizations. A comprehensive Monitoring and Evaluation System generates information that keeps stakeholders abreast of organizational performance in the targeted capacity areas. Providing the platform for the efficient exchange of information and the transparent conduct of business transactions is the Facility's web-based database system.

# *The PAHRDF Capacity Development Model and its Applicability across Various Types of Institutions*

***Part III: An Assessment of the PAHRDF Capacity Development Model vis-à-vis its Application to LGUs, Bureaus and other Attached Offices, Private/Non-government network organizations and BEAM schools***



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## Preface

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The present paper is part of a study commissioned by the Philippines-Australia Human Resource Development Facility (PAHRDF), an initiative of the Australian Agency for International Development. The study entitled *Capacity Development Model and its Applicability across Various Types of Institutions*, aims “to provide a meaningful and disciplined mapping of the underlying program theory that has guided the Facility’s capacity development initiatives from the stages of diagnosis, planning, implementation, monitoring and evaluation”.

Part III of the study seeks to assess the effectiveness of the PAHRDF Capacity Development Model in various modes and parameters of its use, and answer three questions related to its use:

1. “Does the model work?”
2. “What elements of the model work?” and
3. “Under what particular circumstances does the model work?”

## Acronyms

AAA	Accra Agenda for Action
ACN	Assumption College of Nabunturan
Aus-AID	Australian Agency for International Development
BEAM	Basic Education Assistance for Mindanao
DAS	Development Assistance Strategy
DCCCII	Davao City Chamber of Commerce and Industry
IL	Integrative Learning International (Philippines), Inc.
LGA	Local Government Academy
LGU	Local Government Unit
LMB	Land Management Bureau
LTT	Long Term Training
M and E	Monitoring and Evaluation
MDG	Millennium Development Goals
MEDCo	Mindanao Economic Development Council
MTPDP	Medium-Term Philippine Development Plan
MMLDC	Meralco Management and Leadership Development Centre
OECD/DAC	Organization for Economic Co-Operation And Development/ Development Assistance Committee
OIDCI	Orient Integrated Development Consultants, Inc.
PAHRDF	Philippines-Australia Human Resource Development Facility
PGBh	Provincial Governments of Bohol
PGMO	Provincial Government of Misamis Occidental
PGNS	Provincial Government of Northern Samar
REAP	Re-entry Action Plan
STT	Short Term Training
TSP	Training Service Provider
UM	University of Mindanao
WDO	Workplace Development Objectives

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## **I. An Overview of the PAHRDF Capacity Development Model**

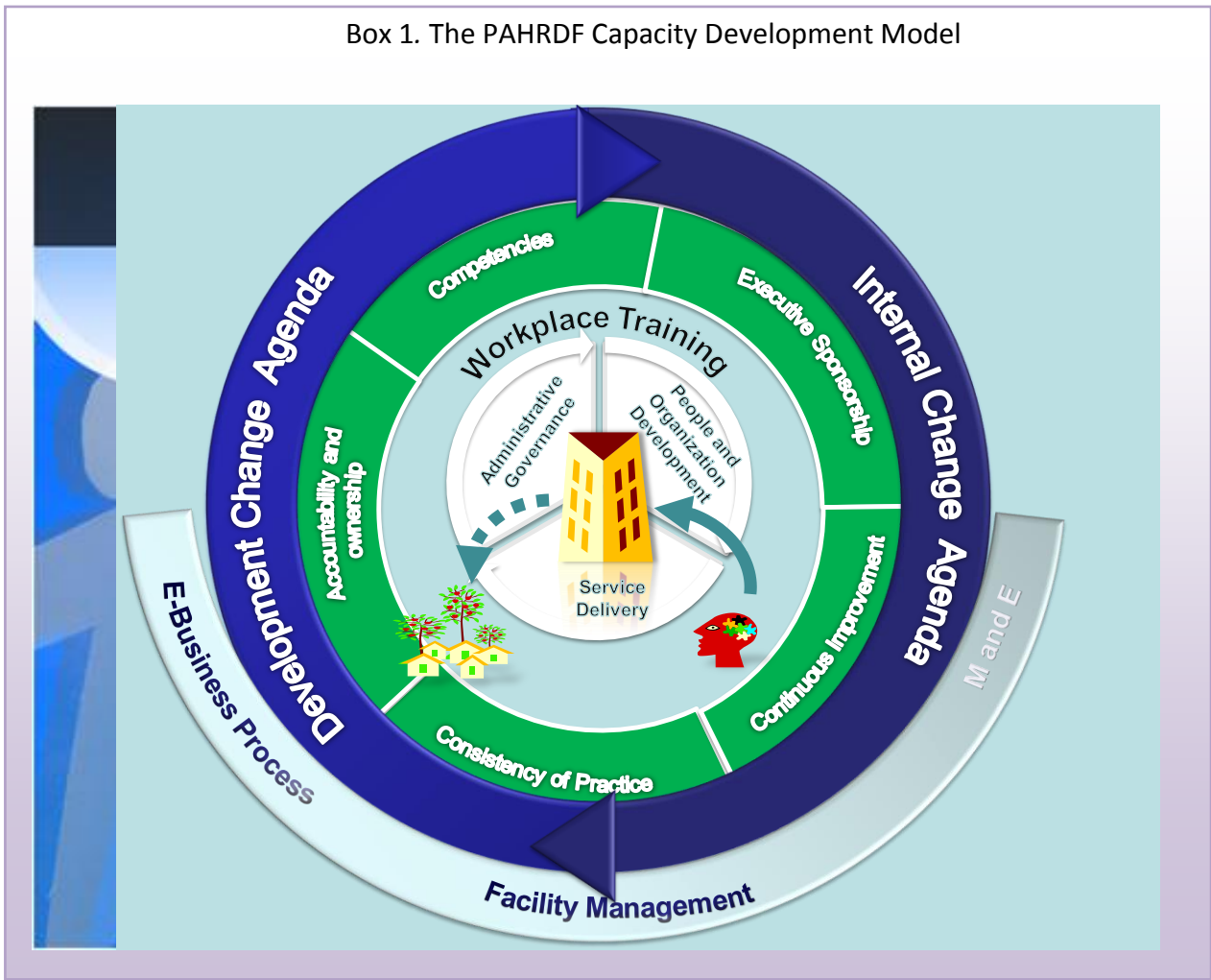
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*(To provide the context for the succeeding discussion, an overview of the PAHRDF Capacity Development Model is presented here. The comprehensive description of the features and elements of the model is the main subject of Part II of this study.)*

- The PAHRDF Capacity Development Model (Box 1) can be viewed as a dynamic system of interrelated components and processes. The system advances the Facility's purpose to build and enhance the capacity of partner organizations so that they are better able to improve processes and systems that will impact on the quality of services to clients, eventually contributing to poverty reduction and sustainable equitable development.
- PAHRDF embraces two modes of HR intervention (i.e., Long Term Training or LTT, and Short Term Training or STT) to strengthen the partner organizations in three capacity areas: 1) Service delivery; 2) Administrative governance; and 3) People and organizational development.
- The model derives its strength from two fundamental pillars of meaningful capacity development: strategic alignment and sustainability. As such, the partner organizations' development and internal change agenda drive all interventions which are identified, designed, and implemented through a highly purposive and participative process. Sustainability attributes (i.e., Competencies; Accountability and Ownership; Consistency of Practice; Continuous Improvement; Executive Sponsorship) in the targeted capacity areas are pre-determined so that stakeholders are easily able to track the organizations' progress during and after the PAHRDF engagement.
- A key element of the PAHRDF Capacity Development Model is the Workplace Training Approach, which is anchored on the principles of adult learning and strategic alignment. Embedded in the approach is a Five-step Quality Process:
  1. Organizational Profiling and HR Analysis
  2. Formulation of Workplace Development Objectives
  3. Focus on Key Functional Units and Individuals
  4. Intensive Training with Coaching and Mentoring Support
  5. Re-entry Action Planning

This process ensures that enhanced capacities at the individual level are immediately applied in the workplace through the preparation of outputs that are intended to lead to improved processes and systems. The preparation and implementation of a Re-entry Action Plan (REAP) facilitates the institutionalization of processes and systems, and influences the delivery of better quality services to the organizations' clients.

Box 1. The PAHRDF Capacity Development Model



- The operationalization of the model is supported by a set of enabling mechanisms that ensures consistent adherence to the Facility’s capacity development principles and approach. A team of specialists and support staff orchestrates and oversees execution of the Facility’s mandate as it partners with key stakeholders and organizations.

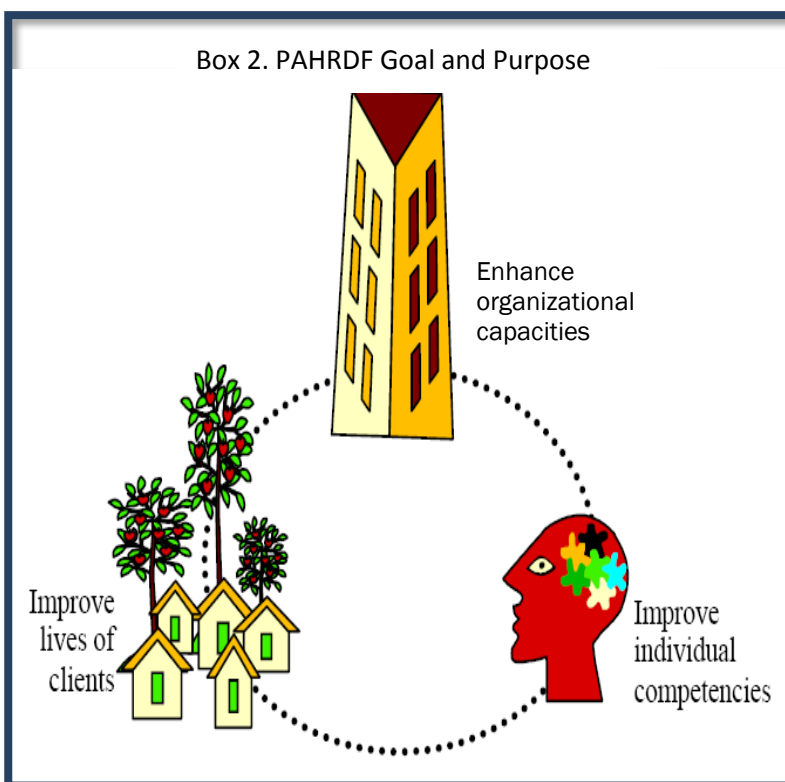
A comprehensive Monitoring and Evaluation (M and E) system generates information that keeps stakeholders abreast of organizational performance in the targeted capacity areas. Providing the platform for the efficient exchange of information and the transparent conduct of business transactions is the Facility’s web-based database system.

## II. Findings of the Study

### A. Familiarity with the PAHRDF Capacity Development Model

(As a jump-off point for the assessment process and to ensure that there would be a shared understanding among respondents on the object of assessment, the PAHRDF Capacity Development Model was presented at the start of data gathering activities. The respondents' familiarity with and involvement in the different elements and processes of the model was likewise checked.)

- Partner organizations, regardless of their type (i.e., LGU, BEAM school, bureau, attached agency, private voluntary organization) generally have a good grasp of the features of the PAHRDF Capacity Model. While not all of the respondents have previously seen the graphic representation of the model (Box 1), they are very familiar with its key elements and processes, either because these have been discussed and presented to them by PAHRDF during orientation sessions, conferences, or opening sessions of training programs, or because they have been involved in operationalizing these elements and processes.



- Some of the elements and processes that they are most familiar with include:
  - ♦ *The goal and purpose of PAHRDF (Box 2).* The respondents said that this is consistently communicated to them by PAHRDF in different venues. They are therefore aware of PAHRDF's goal of developing the capacities of individuals so these can be applied to their organizations and eventually lead to improved service delivery.
  - ♦ *The two drivers for capacity development: the partner organizations' development agenda and internal change agenda.* They shared that this is one of the first things that partner organizations have to clarify and articulate at the initial stage of a PAHRDF partnership. Most of the respondents from the partner organizations, particularly the



HR contact persons and members of the management team were involved or consulted in re-visiting or clarifying their development and internal change agenda.

- ◆ *The three capacity areas for development: Service Delivery; Administrative Governance; and People and Organization Development; and the Capacity Sustainability Attributes for each of the capacity areas.* Members of the M and E core team are the most familiar with this element of the model as they are directly involved in gathering and compiling report on the progress of their organizations along these attributes.
- ◆ *The Five-step Quality Process of the Workplace Training Approach.* Many of the respondents from the partner organizations have been involved during the Organizational Profiling and HR Analysis steps. Some (especially the designated PAHRDF HR contact persons) participated in identifying the workplace development objectives (WDO) and identifying the cohort for specific HR interventions. Respondents who were past participants to LTT or STT programs are very much aware of the training delivery mode, i.e., intensive training with coaching and mentoring, and the Re-entry Action Planning process.
- ◆ Among the enabling mechanisms, respondents are most familiar with the *electronic business process* as all past participants have used the PAHRDF website to register their evaluation of training programs and upload their REAPs. Members of the partner organizations' M and E core team on the other hand utilize this when uploading their reports. The M and E core team members are also most familiar with the Facility's *M and E system and processes* as they have been oriented and trained on this, and they are required by PAHRDF to submit regular reports using a set of templates.

## **B. Outstanding Features and Strengths of the PAHRDF Capacity Development Model**

The respondents easily cited features of the PAHRDF Capacity Development Model that set it apart from other capacity development approaches or initiatives. These features are also considered as the strengths of the model:

### **1. Strategic and Demand-driven**

The partner organizations are in agreement that the PAHRDF Capacity Development Model adopts a strategic and targeted approach to capacity development. This approach is operationalized by first reviewing the partner organization's development agenda and re-visiting or formulating its internal change agenda. The capacity development needs of the organization, development objectives, and the appropriate HR interventions are then identified based on these.

- ◆ For the Davao City Chamber of Commerce and Industry (DCCCII), the PAHRDF Capacity Development Model facilitates the alignment of HR activities to the organization's



change agenda to achieve positive impact (such as contributing to poverty alleviation), by developing individual competencies and translating these into organizational capacities. This is a marked feature of the model according to the DCCCII group. DCCCII further observes that the demand-driven and needs-based approach allows some flexibility to address actual needs of the organization and customize interventions.

- ◆ Mindanao Economic Development Council (MEDCo) respondents likewise consider the model as strategic and demand-driven. PAHRDF interventions according to them are anchored on and aligned with the institution's direction and major thrusts, thus significantly contributing to the accomplishment of its mandate and desired outcomes.
- ◆ The above is echoed by the Assumption College of Nabunturan (ACN) respondents. They observe that the model is strategic and targeted, as HR interventions are determined based on the context, situation, and needs of the school. This approach therefore ensures that the interventions contribute to ACN's objective of improving quality of instruction. They said that it is different from other programs where beneficiaries are constrained to fit into a menu of pre-determined courses.
- ◆ Similarly, the University of Mindanao (UM) – Tagum and Davao groups appreciate the way the model ensures the strategic alignment of HR interventions to the institution's directions. Learning is thus customized and addresses the gaps that they have identified in curriculum and faculty development. For the president of UM, PAHRDF interventions have great impact on service delivery because of the Facility's strategic approach.
- ◆ The group from the Land Management Bureau (LMB) considers the process of clarifying the organization's change agenda as one of the best features of the model, as this is not regularly done in the government sector. The ensuing process of identifying training needs and appropriate interventions promotes ownership and contributes towards ensuring sustainability of the gains from the interventions, according to the respondents. (The organization has had experiences when it was the central office that dictated the kind of training needed by the LMB staff without undergoing a process of needs identification.)
- ◆ The respondents from the provincial governments of Bohol (PGBh) and Northern Samar (PGNS) said that the clarification of the organization's change agenda facilitated the identification of the types of interventions that are needed, and the targeting of offices and individuals that should be capacitated. Thus, HR interventions are strongly aligned with their provinces' requirements. It was also pointed out that the approach ensures that training inputs are aligned with the outputs that need to be produced as a result of

*The change agenda is defined by the organization itself. This is the model's core strength as this drives the capacity building interventions of the Facility. Such being the case, the impact of the interventions is broader and deeper, and therefore, more sustainable.*

Simeon Marfori  
President, DCCCII

the HR interventions, thus supporting the institutionalization of enhancement in systems and processes.

- ◆ Since the model is demand driven, Ms. Jocelyn Cabo, Asst. Vice-President for Mindanao Operations of OIDCI, a training service provider (TSP) said that it is easier for participants to see the relevance of the intervention (i.e., answers the “What is in it for me?” concern). This minimizes difficulty during coaching, according to her.

## 2. Complementation and Progressive Strategy

- ◆ MEDCO and PGBh value the complementation between STT and LTT interventions that the model provides for. For them, this strategy allows organizations to maximize their gains from the partnership. They also consider the progressive mode of engagement as a strong feature of the model, as succeeding interventions build on previous activities.
- ◆ It was observed that aside from the customized STT and/or LTT activities for partner organizations, PAHRDF provides for continued learning support in the form of learning sessions, focus group discussions, and seminars. The ACN president opined that the model is very “nurturing” and “supportive” of individuals so that they can better contribute to achieving the institution’s objectives.
- ◆ According to Mr. Arthur Florentin, Executive Director of the Meralco Management and Leadership Development Centre (MMLDC) and Academic Services Adviser for the PAHRDF Project, the model is very logical and rational, and contextualizes individual interventions along the organization’s overall objectives. The model likewise helps integrate and promote continuity of efforts of service providers - in effect leading to a building blocks approach.

The PAHRDF Capacity development Model helps integrate and promote continuity of efforts of service providers - in effect leading to a building blocks approach.

Arthur Florentin  
MMLDC

- ◆ OIDCI’s Cabo and Cherry Faye Al-ag (former Managing Consultant of Integrative Learning International, Inc.) said that the progressive approach clearly links the various interventions. There is conscious effort to achieve connectedness and complementation of HR activities so that assistance is not stand-alone, according to them. Ms. Al-ag further commented that the “graduation” of partner organizations is a good way of affirming performance improvements of these organizations and a proof of capacities built.

### 3. Workplace Training Approach and Five-Step Quality Process

For the partner organizations, the Workplace Training Approach and the corresponding Five-Step Quality Process utilized by PAHRDF allows for their participation at various points of the engagement; i.e. organizational profiling, HR analysis, designing of interventions, clarifying outputs, defining desired results, and even selection of TSPs. It likewise ensures a clear link between HR interventions and the organizations' development agenda.

- ◆ ACN and UM consider the Five-Step Quality Process a defining feature of the model, especially since this is the process that determines the customized intervention. It was mentioned that the process provides a very clear basis for the HR intervention.
- ◆ As experienced by PGBh and PGNS, the Workplace Training Approach facilitates the transfer of learning to the workplace. According to them, the formulation of the WDOs that are anchored on the organization's agenda and needs ensures that outputs are useful to the organization. The UM and MEDCo respondents also share the view that the Workplace Training Approach ensures that learnings acquired are applied to the workplace. The DCCCII group noted that the formulation of WDO is a feature that sets PAHRDF's Capacity Development Model apart from other development programs.
- ◆ Most of the partner organizations appreciated that the model supports intensive training with coaching and mentoring, and the formulation and implementation of REAPs. The approach builds ownership of the outputs among the training participants, especially since they are the ones responsible for producing and implementing these. The ACN respondents find the mentoring support to scholars studying abroad as unique to PAHRDF. They said that this allowed the scholars to remain "connected" to ACN, and not to feel alone in the duration of their scholarship. The same is reportedly experienced by the scholars from UM.

*The Workplace Training Approach helps build ownership of outputs among training participants as they are the ones responsible for producing and implementing these.*



The TSPs concur that the Workplace Training Approach is a defining feature of the PAHRDF Capacity Development Model. Ms. Cabo stated that because of this approach, the identified components of each intervention are meaningful and necessary. The HR specifications generated from the quality process provides the parameters for the TSP during implementation. Ms. Al-ag commented that the Workplace Training Approach ensures that

the partner organization's development and internal change agenda are clear before embarking on capacity development.

#### 4. Re-entry Action Plan (REAP)

The formulation and implementation of the REAP is one element of the Workplace Training Approach that was highlighted by the partner organizations as a strength of the PAHRDF Capacity Development Model.

- ◆ For LMB, the REAP is one of the best features of the model. The REAP element guarantees that the HR interventions produce tangible outputs, which cannot be said of most training programs. The respondents find this as beneficial to the organization. They also welcome the experience of being able to customize REAPs to the specific requirement of the agency, and not being dictated by the funding agency as to what REAP should be pursued. The REAP implementation also becomes the basis for monitoring how far the trainees have gone with regards applying their learnings to the workplace.
- ◆ It is the REAP that specifically ensures application of learning and achieving the desired results, leading to longer-term and deeper impact of interventions, according to MEDCO. Based on the DCCCII experience, the REAP implementation further promotes accountability and sponsorship of the change initiatives, thus strengthening organizational commitment.
- ◆ The REAPs make the LGU accountable for the application of learning in the workplace, according to the PGBh respondents. "Imposing" the REAP as part of the engagement ensures results for the organization and leads to institutionalization of enhanced processes, systems and procedures. For PGNS, the REAP ensures that the improved individual capacities are utilized to benefit other stakeholders.
- ◆ The REAP serves as a guide for LTT scholars in the duration of their studies and when they return to the workplace. According to LTT scholars from UM, they were already armed with their REAPs at the start of their studies.

*Re-entry Action Planning creates the opportunity to translate acquired skills of scholars into institutional outcomes and eventually better service delivery, which is really the goal and purpose of the PAHRDF.*

Sr. Mary Taganas, FMA  
President, ACN

Thus, they were able to customize their learning activities based on these. A PGNS scholar said that they are "forced" to think of how to apply acquired learnings to the workplace. The ACN scholars have the same experience. They shared that non-PAHRDF scholars whom they have interacted with abroad were left on their own as to what they would do with their learnings. Thus, there is no guarantee that these will be applied for



the benefit of the organizations. Most scholars consider the REAP as a strength of the PAHRDF Capacity Development Model.

- ◆ The UM President finds Re-entry Action Planning as unique to the Facility, and this is something that the organization considers very important. The REAP ensures utilization of learnings acquired by individual faculty members, and contributes towards sustaining changes that have been introduced.

The partner organizations' perspective on the REAP is shared by the TSPs.

- ◆ According to Ms. Daisy Marquez of IMPACT, the REAP is a good component of the PAHRDF Capacity Development Model as this paves the way for results to be seen, and it drives sustainability. She admitted that she has been sharing the concept of the REAP with her private institution clients to drive concrete changes.

*The REAP ensures the application of learning into the workplace, and provides the bridge between individual learning and organizational results.*

Joy Cabo  
AVP-Mindanao, OI DCI

- ◆ For MMLDC, the REAP is the “proof of the pudding”, or the ultimate indicator of effectiveness as its implementation results to workplace improvements that are measureable.

## 5. Adult Learning Strategies

- ◆ The use of adult learning strategies during training activities makes learning more meaningful, according to the PGBh respondents. Providing benchmarking and study visits to support classroom sessions is seen as a very effective way to enrich learning of participants, especially those from LGUs.



*The use of experiential learning makes training more relevant to the work setting.*

This observation is echoed by the LMB group. They said that appropriate learning

methodologies are used. They mentioned that coaching, mentoring, and benchmarking are very helpful in facilitating learning.

- ◆ MEDCo acknowledges that the model's adherence to adult learning principles makes learning experiential and, therefore more relevant and applicable to the work setting.
- ◆ The LMB group observes that the model employs a good methodology (i.e., coaching), which helps participants grow in terms of competencies and come up with good results.

## 6. Monitoring and Evaluation

- ◆ According to LMB, one defining feature of the model is the presence of an M and E core team in the partner organizations to monitor the activities and the implementation of the REAP in coordination with PAHRDF. They also said that PAHRDF is persistent in its monitoring of partner organizations, which are required to update their REAPs in the Facility's website.
- ◆ PGBh and MEDCo have observed that the regular monitoring and evaluation activities facilitate tracking of REAP implementation and expected results. This practice strengthens the principle of "what gets measured gets done," according to PGBh's John Vistan.

The PAHRDF model's M and E component strengthens the principle of "what gets measured gets done."

*John Titus Vistal*  
PPDO, PGBh

- ◆ The ACN respondents mentioned that the model's M and E component serves several purposes: it eggs them to implement their REAPs and track results; it also ensures sustainability of interventions. They see the capacity sustainability attributes (e.g., "Continuous improvement", and "Consistency of Practice") to be very important guideposts when assessing their efforts. They also find the "extended" monitoring and evaluation of the scholars' REAPs as a defining feature of the model. (They have been advised by PAHRDF that the M and E of their REAPs will continue even after these have been completely implemented.)

- ◆ For DCCCII, the M and E component is a defining feature and strength. With the guidance and assistance of PAHRDF, it is conducted in a systematic manner through the use of a framework and templates. According to them, this ensures consistency of practice and helps develop the discipline necessary for its successful execution. Further, the DCCCII president said that the M and E process (specifically the sustainability attributes) allows the organization to assess where it is now, and design its own desired results, leading to continuous improvement. "The elements of the model form a cyclical pattern that allows building on results because of this," opined Marfori.

## 7. Facility Management

- ◆ The Facility's flexibility to respond to emerging needs of partner organizations sets it apart from others, according to PGBh respondents. They recognize PAHRDF's ability to deploy credible and competent TSPs as strength as this influences the accomplishment of its capacity development goals and objectives. PGBh also mentioned that the regular conduct of sharing and learning sessions among partner institutions and the provision of web-based facilities provide the venue for partners to articulate feedback. Similarly, the attention given to participants' welfare during training is considered a defining feature of the model. The group said that this supports a more conducive learning environment.
- ◆ It was cited by UM-Tagum that the Facility conducts workshops for HR point persons, LTT awardees and mentors to guide them in fulfilling their respective responsibilities in enhancing the capacity of their organizations. Most respondents find the Facility's team members very encouraging and facilitative in dealing with them.
- ◆ ACN sees the Facility's strategy of having an assigned HR Adviser who can follow through the developments in their organization as strength of the Facility. The same is observed by UM-Tagum's former HR contact person. He said that the appointment of a point person to monitor the implementation of REAP by the LTT scholar upon returning to the organization is a defining feature.
- ◆ A scholar from UM-Tagum views the well-organized implementation of the LTT as strength. The other respondents from the university mentioned that responsibilities are clearly defined; e.g., the point person, mentor, etc.
- ◆ Facility management is likewise considered as strength by DCCCII. As they have experienced, the Facility ensures levelling of understanding of all parties involved in capacity development. The Facility's team also makes sure that they and the TSPs are appropriately equipped and updated to meet the requirements of partner organizations.

*The Facility has provided mechanisms that allow exchanging of best practices, networking, and sharing of learning among TSPs.*



- ◆ Ms. Cabo considers the capacitating of TSPs as strength of PAHRD's Facility management. She also appreciates the feedback given by PAHRDF to TSPs after a bidding process, as this helps TSPs improve their bid submissions and increases the chances of winning the next bid/s. For Ms. Al-ag, there is a strong presence of facility management mechanisms that allow exchanging of best practices, networking, and sharing of learning. The Facility's high demand for innovation helps in the TSPs' continuous learning process, according to her.



## 8. E-business support

- ◆ According to OIDCI's Cabo, the on-line processes (e.g., training evaluation, bidding, message board) facilitate effective management of projects. This observation is shared by Ms. Al-ag who said that the e-business process puts technology to good use. Specifically, it gives TSPs easy and equal access to information, and thus promotes transparency of transactions.
- ◆ Among the partner organizations, UM-Tagum finds the e-business support as a strength of the model.

### C. End in Mind and Gains from the PAHRDF Partnership

*End in Mind.* Partner organizations were all very optimistic when they started the partnership with PAHRDF. They see their engagement with the Facility as an opportunity to develop individual competencies in different fields of expertise. At the organizational level, the Facility is considered a venue to strengthen institutional systems to improve service delivery. For example:

- In MEDCO, the Facility came at a time when there was a need to strengthen its policy advocacy and project management functions, and consequently to streamline the structure and prepare individuals to transition to the new set-up.
- From the start of DCCCII's partnership with PAHRDF, the president hoped that the partnership would bring about enhanced performance of the institution so it can significantly contribute to the development not just of the business sector, but of Davao City in general. He recognized the need to develop DCCCII's competencies in strategic planning, development of industrial sectors, and building of networks and linkages. He also hoped that individual staff capacities will be developed so that future leadership of the chamber can come from the ranks.
- Governor Raul Daza of Northern Samar welcomed the entry of PAHRDF as an opportunity to

The partnership gave me the opportunity to enhance my skills and competencies which I greatly needed for my profession and personal growth. The partnership has also contributed much to the attainment of our institution's vision, mission, and goals. More specifically, it has paved the way for our school to become a more globally competitive institution of learning in our region. Finally, the partnership is able to establish a chain of development from the teacher-recipient, to the school and to the whole studentry which is the prime beneficiary of the improvements gained from the availed programs from PAHRDF.

Lucena Asidoy  
LTT Awardee  
University of Mindanao-Tagum

improve the provincial government's structures, systems and processes. He said that during his first term in 2001, he realized that PGNS was being run in the same way that it was in 1967. There was no system in running the provincial government. What was happening in one department was practically unknown to the other departments and several units were doing the same thing. He was also confused as he had no prior experience in local governance. The Facility's entry dovetailed with and even influenced the implementation of his flagship program, FLESHER (Food -Livelihood-Education-Shelter-Environment- Revenue Generation), according to the governor.

*Gains from the Partnership.* Partner organizations reported different levels of successes and gains from the partnership. (These are tracked and documented by the partner organizations and PAHRDF through the Facility's M and E system.)

- Common among partner organizations is that at the individual level, cohorts of LTT and STT programs have acquired new knowledge, skills and perspectives that contributed to competency build-up or enhancement in the targeted capacity areas. In LMB for example, there are now in-house competencies in Geographic Information System (GIS) and client service management. These competencies support the development of the targeted capacity area of *Service Delivery Procedures and Systems*. In the case of MEDCo where *Planning and Policy* and *Project Management* are two of the targeted capacity areas, it was reported that staff competencies have been enhanced to support the new thrusts and direction of MEDCo, specifically in the areas of policy advocacy and project management. Enhanced competencies have also been manifested in the preparation of important outputs (e.g., LMB Service Standards; MEDCo Project Development, Coordination and Management Manual; etc.) that intend to support improvements in institutional systems and processes. It was acknowledged by partner organizations that the development of technical competencies in the targeted capacity areas likewise developed self-confidence among job performers.
- The services provided by partner organizations have either expanded or improved as a result of the application of upgraded competencies and implementation of outputs (including the REAPs) from the interventions. The Local Government Academy (LGA), for instance, improved its internal HR services to its employees when it started implementing the HRMD Plan that was developed in a PAHRDF intervention. At the same time, LGA has been adequately capacitated to help the LGU of Ormoc in Leyte to craft its own HRMD Plan. It is now helping the Department of the Interior of Local Government (DILG) in its HRMD planning. The academy is now determined to pursue its objective of being a "market maker" for capacity development; i.e., shift from a direct service delivery role to a marketing role. It is also planning to work towards being ISO certified.

In PGBh, there are stronger internal linkages and collaboration among the departments as evidenced for example by maximized equipment support of the Motorpool unit to the Engineering Department, and more synchronized budget and planning processes. Service delivery to external clients and stakeholders has improved because it is supported by

strategic “blueprints” like the Bohol Agricultural Master Plan, Revenue Code, tourism policies, etc.

The image of partner organizations is also significantly improved as a result of the PAHRDF engagement. According to MEDCo, the partnership has made the organization “shine”. They said that this can be directly attributed to the effective application of the capacity development model and the confidence that has been built in the individuals in the organization.

The partnership with PAHRDF has made our organization “shine”!

*MEDCo respondents*

- Some partner organizations have reported that their improved organizational capacities have translated to tangible benefits for their clients and stakeholders. With the use of the service standards it has developed, LMB has accelerated the processing of deeds of sale and increased the number of titles distributed to beneficiaries in Taguig, Metro Manila. ACN noted that there is a significantly higher percentage of passers in the Licensure Examination for Teachers (LET); i.e., from between 20% to 35% to 100% in English. Members of the Food Processors Association of Davao have adopted good manufacturing and business practices that enhanced their business viability. “Porky Best” of Alice Raymundo has come up with a microwaveable pork rind product, in addition to her new freshly-popped line of pork rinds which are now in two malls. Donna Rodriguez’s “Tiny Kitchen” products which used to be sold mostly on-order basis and in food fairs are now in several supermarkets and shops. “Tiny Kitchen” has also expanded its bakery and invested in new equipment.



*Most of the products initially accepted by the Davao Branding Project are produced by PAHRDF graduates.*

Governor Daza claims that their service delivery has improved and there is transparency and predictability in the systems that have been institutionalized. He cited the assistance provided by the provincial government to municipal mayors and barangay captains by way of training them on the real property tax system (RPTS). He also sees this positive result as an example of the province’s successful partnership with the municipalities and barangays.

My legacy is having institutionalized an organizational structure and system that no government can ignore.

*Gov. Raul Daza, PGNS  
(When asked on the sustainability of gains from the PAHRDF engagement)*

#### **D. Factors and Conditions that Supported and Facilitated the Application of the PAHRDF Model**

Several factors and conditions supported or facilitated the application of the PAHRDF Capacity Development Model and allowed the partner organizations to achieve their “end in mind.”

##### **1. Organizational Vision**

For DCCCII, a clear vision that is shared by its members facilitated the introduction of changes when it partnered with PAHRDF. According to the respondents, it was easy to develop multiple champions that will support the implementation of PAHRDF-related projects because of this. A shared vision for the province has likewise egged PGBh department heads and staff to pursue the change initiatives. They are also very focused about achieving PGBh’s development thrusts as embodied in its “10 in 2010” program of governance. It has also helped PGNS that the different offices have a common understanding of the provincial government’s goals along the FLESHER, the governor’s flagship program.

##### **2. Organizational Culture**

The collective values, perspectives, beliefs, attitudes, and norms that influence the way members of partner organizations interact with each other and with their stakeholders have a significant effect on the achievement of their “end in mind.” According to DCCCII, the chamber’s inclusive mindset and persistence as an organization are key facilitating factors. In PGBh, respect for the process, a “can do” attitude, a strong sense of patriotism, teamwork, and cooperation among key players have contributed in the success of cross-functional activities. It was also mentioned that the provincial government has good relationship with municipal LGUs; this supported the implementation of projects that require the latter’s involvement.



*According to PGSN respondents, the improving work values of employees and close coordination among offices have facilitated the accomplishment and submission of outputs in the LGU.*

For LMB, the supportive relationship among officers helped in achieving their goals as far as the PAHRDF engagement is concerned. A welcoming attitude towards the infusion of changes in the institution’s system and capacities made the PAHRDF Capacity Development

Model work for ACN. Faculty members are open and ready to improve teaching modules and strategies; the administration was very eager to tap and optimize the new resources (i.e., the LTT scholars).

### 3. Top Management Sponsorship and Commitment

Executive sponsorship is a common facilitating factor among partner organizations. This is manifested in several ways, the most apparent of which is the approval of PAHRDF activities, counterpart budget, outputs generated, and REAPs. Related to this is the timely release of issuances to formalize participation of employees in training interventions both during residential and the coaching/mentoring phases. This is especially important for partners from the government sector. Executive sponsorship is highly visible in PGBh, according to the respondents. Aside from ensuring that needed resources to support PAHRDF activities are available, Governor Enrico Aumentado reportedly encourages a culture of excellence among the PGBh officers and staff through his own actuations as a leader. PGNS also indicated that executive sponsorship is very much alive in the LGU. Governor Daza consistently champions the allocation of budget for projects even though there have been times when funds fall short of what is needed. Although it can be too meticulous in reviewing budget proposals, the province's Sanggunian Panlalawigan (SP) is supportive of capacity development activities.

*Governor Enrico Aumentado encourages a culture of excellence among PGBh officers and staff through his own actuations as a leader. (PGBh respondents)*



There has been no difficulty in getting approval for counterpart funding in MEDCo because of top management support. In the case of LGA, sponsorship is manifested in the approval of the HRMD Plan by the Board of Trustees. Various committees were also created to support the implementation of the REAPs. In ACN as well as in UM-Tagum and UM-Davao, top management has been providing both motivational and logistical support to scholars as expression of their commitment to implement the REAPs. The administration is involved in identifying REAPs, and REAP activities are incorporated in the schools' plan of activities to facilitate implementation. Several scholars have been posted in more responsible positions to acknowledge their upgraded qualifications and to allow them to better lead change initiatives. Leadership support is also mentioned as an important condition in the PAHRDF engagement by DCCCII and LMB. As Ms. Daisy Marquez of IMPACT puts it, everything in DCCCII is "flying" because of the very active involvement of its president.

TSPs concur that the presence of change champions in the organizations makes accomplishment of objectives much easier.

#### 4. Commitment of Participants

For ACN, UM-Davao, and UM-Tagum, LTT scholars need to be highly committed and determined to pursue their REAPs for the Capacity Development Model to work in their institutions. It is important that the awardees have a sense of responsibility to contribute towards upgrading institutional capacities, according to them. In LGA, the commitment to apply and practice new competencies has been observed among PAHRDF trainees.

#### 5. Enabling/Supporting Mechanisms

According to UM-Davao and UM-Tagum, there are support mechanisms in their institutions that facilitated the success of the scholars. A screening process has been used to ensure that the appropriate faculty members would be nominated for the priority areas. Financial and physical resources and logistics were provided by the schools. Substitute teachers were also made available so the awardees could attend PAHRDF activities. In the case of UM Davao, a re-structuring was undertaken to recognize and support the utilization of the LTTs' upgraded competencies.

The presence of material support (e.g., use of office facilities for trainings and meetings) helps LMB in conducting PAHRDF-related tasks. For PGNS, issuances and memoranda that make the participation of employees to PAHRDF activities official free them from their regular work in the duration of the training. Availability and access to information is a facilitating factor for PGBh. MEDCo is also helped by the availability of data and information on GIS from NEDA.

Major events in our workplace when we returned:

- Promotion of LTT Awardees to supervisory work
- Center for Continuing Professional Development, the personnel development facility of the HRMD was established
- PAHRDF- LTT awardees became part of the pool of teacher trainers for the University

*UM Davao LTT scholars*

#### 6. Execution of the Capacity Development Model and Management of the Facility

The partner organizations recognize that the Capacity Development Model sets-up the partnership for success, and thus a facilitating factor by itself. MEDCo for example says that the alignment of training goals to workplace requirements and organizational mandate facilitates successful implementation of the interventions. This is also the experience of

DCCCII; the respondents said that in determining training interventions, the needs of stakeholders are always considered, making the activities highly relevant.

PGNS shared that before the LGU partnered with PAHRDF, learnings acquired from training programs have not been applied. The respondents opined that the PAHRDF model provides strong support and accountability for application because of the REAP. In a way, every person trained is “tested in battle” (i.e., through the required application of learnings), according to PGNS. Aside from the REAP, the built in M and E system though considered as tedious, has been cited as a facilitating factor in accomplishing the objectives of the partnership with PAHRDF. According to UM-Tagum, aside from the formal M and E system, they also receive constant follow-up and reminders from their HR Adviser.

For ACN and the UM schools, the PAHRDF engagement has placed LTT scholars in an “enabling environment” to learn and to apply their learnings, referring to the processes and mechanisms that were built into the execution and management of the Capacity Development Model. They cited the “open door” policy which the Facility adhered to in

LTT scholars have been placed in an “enabling environment” to learn and to apply their learnings.

*Respondents from BEAM schools*

relating with the partners. ACN scholars mentioned that they are motivated by the continued and open communication that PAHRDF has been fostering. The said that the Facility attends even to small details like birthday greetings and communication symbols (like pens and notebooks) which may appear as very simple tokens from PAHRDF, but which inspire them nonetheless to strengthen their communication lines with PAHRDF. According to

ACN, the PAHRDF team is very serious in helping the institution improve its capacities, and this is manifested by the consistency in which they observe the model’s processes. The schools also mentioned that the Facility has been generous in providing financial support whenever the LTT scholars and the contact persons need to attend PAHRDF activities. They said that this is very important because this allows them to focus on the task at hand rather than worry about their board and lodging, allowances, etc.

PAHRDF LTT awardees attend a pre-departure briefing.



For MEDCo, the leadership and personality of the people in PAHRDF, especially of the facility director is an important facilitating factor. According to the respondents, the director understands MEDCo’s vision and goals and thus able to align PAHRDF’s interventions with the needs of the organization. This made it easy for MEDCo to buy into

the partnership. Likewise, the model allows flexibility in the modes of training delivery to accommodate the nature and schedule of work of participants from the organization.

Ms. Cabo finds the HR Advisers as very facilitative and always willing to assist (e.g., following up cohort on deliverables). They are also able to provide TSPSs feedback on the technical side to improve processes and outputs required from the intervention.

### ***E. Factors and Conditions that Hindered the Application of the PAHRDF Capacity Development Model***

#### **1. Resource Constraints**

A common hindering factor in implementing the REAPs is limited resources. While the top management of the partner organizations has shown support for PAHRDF projects by approving or allocating budget for this, funding mostly comes from the organization's regular budget. In the case of PGNS, the implementation of a REAP related to installing a hospital information system was delayed due to inadequate funding support. In ACN, the low enrolment and therefore low revenue, keeps the school from making substantial investment in capacity development programs.

#### **2. Competing Demands and Absorptive Capacity**

A major concern for PGBh is the capacity of offices and people involved to manage increased work demands brought about by the overlapping implementation period of REAPs. Offices and employees, especially those who are participants in multiple activities have to manage the requirements of REAP implementation while delivering the regular services demanded by their work. The same is experienced by PGNS, especially since PAHRDF requires the attendance of department heads in certain training programs. In some instances, the scheduled implementation of REAP activities is not followed due to heavy workload.

Being a lean organization, LGA is constrained by the limited number of people who can take over the roles of employees who are sent for training. The respondents pointed out that two people need to be deployed to replace each staff that is sent to training. Like in other organizations, trainees have to do multi-tasking once they get back from training to be able to catch up with their work and implement their REAPs. The group said that this can be a heavy burden for individuals.

In the case of MEDCo, aside from doing their regular workload and attending to the training requirements (either the classroom training, coaching and mentoring phase or REAP implementation), officers and staff also have to deal with critical intervening



activities like presidential visits. In isolated cases, participants had to be pulled out of the training activities because of these.

Ms. Cabo confirms that the unavailability of core participants during some coaching sessions hinders the on-time accomplishment of objectives and delivery of outputs.

LTT scholars in UM-Tagum and Davao also reported that competing demands have gotten in the way of implementation of some REAP activities. This becomes more challenging when they are designated to head a certain office or work group, on top of their regular teaching workload and the REAP implementation. In ACN, it is not only the schedule of the scholars that they have to consider, but also finding a common time for all faculty members who are involved in the implementation of the REAPs.

LTT scholars agree that the one-year study program is doable with the provision of learning support systems (e.g., mentoring). However, they find the shortened study period as a bit too compressed. They had to work “double time” to meet all the requirements of their program which is usually completed by other students in one and a half or even two years.

### 3. Tight execution timeline

Related to the above, MEDCO respondents consider the tight execution timeline of activities in the different interventions as a constraint. This is echoed by MMLDC respondents who said that sometimes, phasing of interventions in one organization is too close, barely allowing the partner organizations the time to implement the different REAPs.

### 4. Resistance to Change

Since the interventions require introducing new ways of doing things (in the form of systems, processes, etc.) some stakeholders, particularly those who feel that they would be most affected by change demonstrate some resistance. In DCCCII, manifestations of this include questioning motives of some members who are pushing the change. Fear of change is also recognized as a hindering factor in the case of PGBh, especially in the LGU’s re-engineering project. Similarly, Ms. Cabo has encountered some participants (e.g., in PGMO) who remain pessimistic about the use of the learnings despite efforts to generate buy-in.

### 5. Participant Selection

PGNS respondents were very open about the LGU’s concern on participant selection. They admitted that there have been times when casual employees were nominated to PAHRDF training as an internal agreement (i.e., accommodation) between the governor and department heads to give chance to casual employees to participate in training

There have been instances of mismatch between the training participants and the requirements of the intervention, especially in terms of producing the expected outputs.

*Ms. Cherry Al-ag*  
Former Managing  
Consultant, IL

programs. Because of this practice, some participants are not from critical departments and not in a position to implement change. Some are junior staffs who have “clipped wings” or little latitude to influence change, or are not supported even by the department heads since their selection has been due to political accommodations. There is also the perception that in some training programs, especially those that are technical in nature, department heads need not be involved. As an example, it was cited that in the MIS project, hospital heads and the chief of hospital were asked to participate.

In ACN the small size of the school prevents them from nominating more scholars to study abroad because they have difficulty getting substitute teachers to replace the faculty who will be on leave for their studies.

#### 6. Lack of sponsorship due to change in leadership

The change in leadership in LMB somehow derailed the engagement with PAHRDF. It took some time for the new executive director (who came in the middle of the partnership) to understand the project and internalize it. He was very hesitant to get involved; nominations were taken for granted or not acted upon. It was only upon the return of the assistant director (who is more familiar with the Facility) from an LTT scholarship that the project got back on track.

#### 7. Insufficient mentoring and re-entry support for LTT scholars

In PGNS, some mentors who are mostly supervisors are too busy to mentor the staff, thus affecting the quality of the REAPs and their implementation once the scholars return to the organization.

The recognition of the upgraded competencies of LTT scholars is always coupled with high expectations. A PGNS scholar shared that she was immediately assigned to a key position when she returned without the benefit of preparation or orientation on her new role. With lack of support, she found herself groping in her new job.

In an isolated case, Ms. Al-ag mentioned that an LTT awardee from PGAS returned to a different unit after scholarship, which somehow affected application of learning.

#### 7. Age cap for LTT scholars

Partner organizations see the age cap of 45 for LTT scholars as a constraint when selecting nominees for LTT programs. They opined that there are many employees who are qualified and in a better position to influence change in the organization, but the age cap immediately disqualifies them from being nominated. The UM schools and ACN shared that there are many faculty members who are over 45 who can benefit from studying abroad and who would also be good if not better contributors in achieving the institution’s goals. For them, the more senior faculty members have the stature and the position to influence and implement changes more effectively.

#### 8. Lack of fit between training agenda and available Australian programs

In LGA's experience, it was quite limiting that the Australian university's offering did not fully respond to the study agenda that was planned for the LTT, especially since the chosen field of study was very specific. Instead, the scholar had to adjust to the university's requirements.

#### 9. E-business support

MMLDC's Ms. Arnobit emphasized that uploading of the REAP remains a challenge as it takes trainees "forever" to do it. This can cause delays especially since some participants are not technically-oriented to do uploading of the REAP.

#### 10. Execution of HR activities by TSPs

Various TSPs have different ways of executing the HR activities. PGNS has twice experienced TSPs that brought them to inappropriate benchmarking sites. They have also experienced working with a TSP that is weak in coaching and mentoring. This has affected not only the production of outputs but also the quality of the REAPs that are developed.

Ms. Cabo and Ms. Al-ag shared that managing partner organizations that have been empowered by the participatory process can be very challenging for TSPs. For example, since they have access to tender information and hold a copy of the proposal, some organizations become less flexible to changes in the design of the intervention even when such becomes necessary. At times, participants can also become overly demanding, and if some demands are not met, the sincerity of the TSP becomes subject to question. Situations like these are very difficult for TSPs that are not very adept at managing expectations of participants.

#### 11. External Factors

In MEDCo, the hiring ban hindered better implementation of interventions as they could not hire the additional staffs that are needed to support these.

Similarly, while LGA has recognized the need to expand its personnel complement, it is unable to do so because the rationalization plan is not yet approved. As a result, the agency cannot go at full speed in implementing changes.

### ***F. Limitations of the PAHRDF Capacity Development Model***

#### 1. Pre-defined capacity areas

DCCCII's Marfori opined that the model has certain "rigidity" since the three capacity areas (Service delivery; Administrative governance; and People and organizational development)

have been pre-identified. He said that this somehow forces DCCCII (a voluntary service organization that operates differently from public sector organizations) to define its needs according to the three areas. He feels that it can sometimes be a struggle for DCCCII to think this way and therefore makes the process of needs identification tougher.

## 2. Monitoring and evaluation

LGA respondents observe that the Model's M and E component is basically anecdotal, and therefore data generated is not tangible. They feel that indicators are needed so that gains from capacity building can be measured. It was also mentioned that the partner organization should be given feedback by PAHRDF on how it is performing based on the Facility's assessment.

PGNS respondents have noticed that the Facility's M and E system does not pay much attention to the on-line evaluation that participants accomplish at the end of a training intervention, and thus does not serve the intended purpose. They mentioned that the Facility does not respond to the concerns that they have posted, citing as an example the feedback that they registered regarding a TSP's poor choice of benchmarking site. (The participants were brought to Laguna for a benchmarking visit on IT systems, but the LGU turned out to be "10 steps behind" PGNS.) This concern and the request for another benchmarking activity to compensate for the unsatisfactory visit in Laguna were posted on the online evaluation, but they did not receive any feedback on this from PAHRDF. The respondents find the M and E system as too rigid. According to a member of the group, he finds it difficult to prepare an M and E report, particularly provide data on changes in the different "capacity attributes".

## **G. Insights and Learnings from the Application of the PAHRDF Capacity Development Model**

### 1. On the nature of capacity development model/interventions:

- ◆ Capacity development interventions need to flow from the organization's change agenda.
- ◆ Capacity development can be very effective if targeted and aligned with the development thrusts of the organization. This contributes to more meaningful impact and minimizes factors that can make the interventions less successful. It also increases the accountability of organizations.
- ◆ A capacity development model that is comprehensive and integrated is more effective.
- ◆ Capacity development need not be complicated and should know no political boundaries.

- ◆ There is value in adopting a needs-oriented approach to capacity development and ensuring that development of individual competencies are translated into institutional benefits.
  - ◆ The PAHRDF model links together all the things that a good management model prescribes, re-framed to apply to a development change agenda. Therefore, it is important that goals are clearly set, and that there is consistency of practice.
2. On partnering with PAHRDF:
- ◆ Organizations should not avail of a PAHRDF partnership opportunity if it is not ready for it. Organizations need to be very clear about the requirements of the partnership and give the necessary commitment. One indicator of this would be the willingness of department heads to let go of employees who have been identified to attend training programs.
  - ◆ Open and flexible partnership, as well as progressive engagement is more helpful to the organization.
  - ◆ Focusing on HR as entry point in strengthening organizations requires a paradigm shift. There can be a tendency for organizations to emphasize deliverables without capacitating individuals and organizations to deliver.
3. On sponsorship:
- ◆ Internal sponsorship is very important in pursuing capacity development initiatives. There should be ownership of desired changes and this should come from within the organization, especially the leaders.
  - ◆ Executive sponsorship is a big responsibility. Leaders need to assess, monitor, evaluate, and “walk the talk” their executive sponsorship.
  - ◆ Multi-layered sponsorship is important but must start with top management. Buy-in of proposed changes should be established among the organization’s top leaders at the onset of the partnership.
4. On capacitating individuals:
- ◆ Capacitated individuals build a capacitated institution.
  - ◆ It is not enough that organizations send someone to training. Selection of the right people is very important; these are the people who will be able to produce the required outputs. The organization need to target department/s for strengthening and select participants from these.
  - ◆ Strengthen LTT scholar selection to ensure that those sent for studies can help address the gaps that are identified by partner organizations.

- ◆ It is important that PAHRDF scholars are committed, responsible and serious about helping their institution improve.
  - ◆ Even casual employees who have been accommodated to attend training programs should contribute to the improvement of their respective departments as the organization has invested in them. Staffs sent to training should be asked to sign a contract of return service as they can opt to resign anytime after the training.
  - ◆ If an organization's objective is to capacitate other agencies (like LGA), it should take steps to influence the development of a pool of trainer-experts. I.e., multiply the number of people with the competencies initially developed from a PAHRDF partnership.
5. On sustaining gains from the partnership:
- ◆ To ensure sustainability of gains from PAHRDF projects, mechanisms (e.g., monitoring and evaluation, re-entry action planning, etc.) must be put in place.
  - ◆ Having a good M and E system can support the sustainability of benefits from interventions.
6. On training delivery and learning approach:
- ◆ Workplace training can be challenging especially when the trainees are called to do other tasks.
  - ◆ "Learning by doing" or using adult learning methodologies help ensures application of learnings to the workplace. PAHRDF's adherence to adult learning principles has raised MEDCo's expectations from training service providers.
  - ◆ There are times when the use of local expertise is more important than getting international experts. This is particularly true if the intervention requires grounding and understanding of local context and cultural realities (e.g., peace process in the Philippines).
  - ◆ A primary role of the TSP is to make sure that learning is transferred. However, it is also important that the TSP attends to non-training factors like ensuring that key stakeholders understand the project. Coaches act as mediators and facilitators whenever conflicts that can affect the project need to be resolved.
  - ◆ TSPs should be able to assist organizations in developing REAPs that are relevant and doable so as not to set up the participants for frustration.
  - ◆ The coaching phase is a valuable source of learning for participants as this is where application of acquired knowledge and skills actually happens. The coaching phase also allows the TSP to actually see if learning is demonstrated in the workplace.
7. On implementing change initiatives:

- ◆ Collaboration among members of the organization is important when introducing changes.
  - ◆ A good M and E system helps keep track the implementation of changes. This allows the organization to see if a project (e.g., REAP) is moving in the right direction, and to resolve implementation problems in a timely manner.
  - ◆ Time management is critical in the implementation of a change strategy, especially if there are competing demands in the organization.
  - ◆ Documentation is important when implementing changes.
  - ◆ The timing of the organization's budgeting process should be considered when planning the implementation of REAPs so that these can be included in the regular budget.
  - ◆ The organization needs to be very discerning when implementing changes especially those that would have major impact on people and operations. What might work for one LGU will not necessarily work for another. This was experienced by PGNS when two units were merged as patterned in another LGU's set up; later the move was reversed.
8. On managing clients and delivering commitments:
- ◆ For TSPs, it is important to deliver what has been committed. But they should be careful about over-committing just to impress PAHRDF and the client organizations as this can be very costly. There is a need for TSPs need to be friendly to the clients but remain business-like; i.e., strike a balance between being professional and being nice. TSPs must know how to say "no" nicely when asked beyond capacity and commitment.
  - ◆ To be effective, it is not enough for TSPs to have the resources, management and administrative control. They need to have technical competence and the passion and motivation to do this kind of work as well. The TSP must also give the time to sit down in meetings, be willing to spend for possible extension, and to do post engagement assistance. They also need to choose a good project team as this can break or make a TSP.

#### **H. Suggested Enhancements in the Model's Features and Processes**

Partner organizations and TSPs agree that the PAHRDF Capacity Development Model is relevant, effective, and applicable to a wide range of organizations. They believe that PAHRDF should continue using the model. Some refinements, especially in the execution of the different processes are suggested:

##### **1. Monitoring and Evaluation**

The DCCCII group observed that the Facility's M and E system and requirements may have to be highlighted to the partner organizations and training participants at the start of any

HR activity. Additionally, Mr. Marfori suggested that PAHRDF change the label “monitoring and evaluation” to something more appealing and palatable since some people have a negative connotation of M and E. Ms. Al-ag noted that the M and E system should have clear indicators and the M and E reports should be able to capture data before and after a PAHRDF intervention.

DCCCI’s Evelyn Lavina opined that the Facility needs to establish a system for documenting gains from the various partnerships. (It was observed that not all outputs or results are documented or reported, so it is possible that there are gains in an area which the organization is not made aware of.) This is also shared by MEDCo respondents who said that there should be stronger documentation of success stories so these could be shared. The information that will be generated can also be used as input to impact evaluation.

According to Dr. Joseph Chagas of UM Tagum, a study on the success of LTT REAP implementation can be done to generate reliable data that can support the progress reports made by LTT awardees and the HR point person. The target beneficiaries (teachers, students, etc.) can be the respondents in this study.

## 2. Scope of partnership and assistance

PAHRDF should consider including relevant stakeholders that are critical to the effective functioning of partner organizations in the scope of partnership (e.g., institutional training and research networks in the case of LGA). In cases where outputs need to be disseminated to a wider audience, LGA suggested that PAHRDF include the printing of materials in its assistance package.

## 3. Tender documents

Ms. Cabo noted the need to improve on quality assurance of documents that are used as reference for tendering (i.e. Institutional Profile, HR Analysis). She observed that the quality of writing is not consistent across organizations.

## 4. Participant screening

PGBh sees the need to tighten the screening of nominated participants to include EQ (emotional quotient) and IQ (intelligence quotient). According to the group, upgrading of competencies needs to be coupled with attitudes and interaction skills that can help in influencing people in the organization to accept the proposed changes.

Ms. Al-ag suggested that both the willingness and ability of target cohort should be considered as qualification requirements when identifying participants.



## 5. REAP Component

To optimize the gains from the REAP, MEDCo suggested that this be emphasized and thoroughly discussed among participants at the start of any PAHRDF intervention. The PGBH group proposed that a set of criteria and standards for the identification and selection of REAPs should be developed and applied. To promote commitment of participants to the implementation of the REAP, Ms. Arnobit suggested asking the participants to sign a formal statement of commitment for the REAP during the closing ceremony of the training program. Ms. Cabo suggested that the Facility explore the possibility of engaging TSPs to assist the partner organizations in the implementation of the REAPs.

## 6. Coaching and mentoring

Most partner organizations recognized that the internal mentoring program that supports the LTT scholars needs to be strengthened.

On the part of TSPs, PGBh and PGNS see the need for more consistency in the way the different TSPs do coaching and mentoring.

## 7. E-business support

PAHRDF needs to review and assess the website's performance; there have been instances when ACN could not access the Facility's website.

## 8. LTT program

Partner organizations are in agreement that the age cap of 45 years old needs to be reviewed to provide more opportunities to middle managers. It was also suggested by BEAM schools and other partner organizations that the scholarship period be extended to one and a half or two years, as the one year study period can be too tight and stressful. According to LMB's Engineer Pablo, one year is not enough for the trainee to acquire in depth knowledge and skills especially for technical courses.

MEDCo and University of Mindanao opined that the Facility can consider increasing the uptake of scholars by partnering with local universities or facilitating tie up between Philippine and Australian universities. For BEAM schools, consider extending scholarship to other programs and subject areas and post-graduate courses. Coordinate very closely with the universities so they can provide the scholars with the necessary inputs and assistance regarding their REAPs.

To ensure that LTT scholars will be able to maximize and apply their learnings as intended, PAHRDF may have to influence partner organizations to come up with a policy to address this concern, i.e., policy not to move or transfer an LTT awardee until after s/he has fully implemented her/his REAP, at the least.

## 9. STT program

The PGNS group suggested including benchmarking as part of the intensive training. For BEAM schools, consider possibility of sending faculty and administrative staff to Australia for STT or benchmarking.

## 12. Partnering with TSPs

Ms. Marquez sees the need for PAHRDF to be more proactive in strengthening its partnership not only with the partner organizations, but with the TSPs as well. She sees the TSP as an extension of PAHRDF, and thus the Facility should work closely with the TSP and the partner organization during implementation, especially in difficult client situations.

MMLDC suggested that PAHRDF provide a venue (e.g., convention) for TSPs to calibrate their approaches and terminologies. It was also suggested that the TSP performance be monitored and evaluated and TSPs be given feedback on their performance. This will validate TSPs' contribution to the achievement of the Facility's objective, and will strengthen the partnership.

## 10. Others

- ◆ The MEDCO group suggested that the Facility exert influence at the policy level (through CSC and DBM) so that funds for HR in government institutions can be mandated.
- ◆ The Facility should avoid using jargons in communications (e.g., cohort, GOP, DAS, etc.), to avoid misunderstanding, according to DCCCII.

## III. Conclusions

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### A. *Does the model work?*

- The feedback from different partner organizations and TSPs indicates that the model does work in terms of advancing PAHRDF's specific purpose, which is to build and enhance the capacity of targeted organizations in service delivery, in the application of high quality administrative governance, and in people and organizational development including the field of Human Resource Management and Development. There are concrete evidences that training cohorts from the partner organizations have acquired or upgraded competencies in various fields of expertise along the three capacity areas as a result of their participation in short term or long term training interventions. These competencies have been manifested in the production of outputs (e.g., plans, manuals, project proposals,

service standards, etc.), development and installation of systems, forging or expansion of partnerships, etc.

There are also indications that improved competencies of individuals and units have directly translated to enhanced organizational capacities that have started to positively affect the quality of services to clients. (Some evidences cited are improved turnaround time of services, expanded services, better performance in licensure examinations, etc.) That these improvements in client service delivery will eventually contribute to poverty reduction and sustainable equitable development is the ultimate goal of the Facility. It is acknowledged that at this point, it is too early to see concrete impact in these areas.

- It is apparent from the data gathered that the PAHRDF Capacity Development Model promotes the thrusts of the Accra Agenda for Action (AAA), particularly in terms of strengthening the capacity of developing countries to lead and manage development.

More specifically, the model supports the AAA statement that “Together, developing countries and donors will take the following actions to strengthen capacity development:

- ♦ Developing countries will systematically identify areas where there is a need to strengthen the capacity to perform and deliver services at all levels—national, sub-national, sectoral, and thematic—and design strategies to address them. Donors will strengthen their own capacity and skills to be more responsive to developing countries’ needs.
  - ♦ Donors’ support for capacity development will be demand-driven and designed to support country ownership.
  - ♦ Developing countries and donors will work together at all levels to promote operational changes that make capacity development support more effective.”<sup>1</sup>
- The 2008 OECD/DAC inventory of donor approaches to capacity development reveals that, “At the level of policy, donor approaches to capacity development increasingly relate to the Paris Declaration principles for aid effectiveness, including: demand-driven capacity development; country ownership and leadership in capacity development processes; donor alignment with national strategies and development priorities.” Nonetheless, the OECD/DAC study also states that donors generally recognise the difficulty of systematically adhering to these principles at the operational level.<sup>2</sup>

The experiences of the partner organizations suggest that the PAHRDF Capacity Development Model has addressed this challenge of operationalizing the principles for aid effectiveness by adopting a clear set of targeting criteria when identifying potential partners. This stipulates not only the potential partner organization’s alignment to the Medium-term Development Plan of the Philippine Government and the Australia-Philippines Development Assistance Strategy, but also the organization’s readiness to lead

<sup>1</sup> *Accra Agenda for Action, Third High Level Forum on Aid Effectiveness, Accra, Ghana, September 2008.*  
<<http://www.oecd.org/dataoecd/58/16/41202012.pdf>>

<sup>2</sup> OECD/DAC Capacity Development Team (March 2009). *Inventory Of Donor Approaches to Capacity Development: What We Are Learning.*  
<[www.oecd.org/dataoecd/50/12/42699287.pdf](http://www.oecd.org/dataoecd/50/12/42699287.pdf)>

change. Further, the use of the Workplace Training Approach and the accompanying Five-Step Quality Process nurtures the partner organization's capacity and confidence to take a proactive role in defining its capacity development needs (vis-a-vis its development and internal change agenda), determining interventions, and influencing the execution of capacity development packages.

### **B. What elements of the model work?**

It is clear that partner organizations and TSPs see all the features and processes of the PAHRDF Capacity Development as important and supportive of the Facility's goal and purpose. They all agree that the Facility should continue to adopt the model, albeit with some suggested refinements. Emphasis is given to the following elements:

- The Workplace Training Approach appears to be the "heart" and "lifeblood" of the model. The embedded steps of: 1) Organizational Profiling and HR Analysis; 2) Formulation of Workplace Development Objectives; 3) Focus on Key Functional Units and Individuals; 4) Intensive Training with Coaching and Mentoring Support; and 5) Re-entry Action Planning actually propels the Facility's capacity development work.

It is within these processes that the organization's development and internal change agenda are clarified, specific areas for capacity development are determined and prioritized, development objectives are pinned down, key units and cohorts for development are targeted, and interventions are explored, planned, designed, and executed.

Aside from propelling the Facility's capacity development work, the processes likewise set-up and stimulate the translation of individual competencies to enhanced organizational capacities and service delivery. The definition of the workplace development objectives that are anchored on real needs, the use of adult learning strategies in capacitating of target cohorts via LTT and/or STT programs, and the preparation and implementation of REAPs enhance the probability that learnings will not remain at the individual level.

Indeed, the workplace training approach seems to respond to the perennial challenge that confronts HRD-driven interventions: i.e., how do you make sure that competencies that are developed in individuals are translated to enhanced organizational capacities and service delivery? By the time a PAHRDF HR activity is closed, a set of outputs that intends to guide the improvement of specific organizational systems and processes would have been presented to key stakeholders, and REAPs to institutionalize changes would have been approved for implementation by top management.

- The Facility's enabling mechanisms provide the critical resources that are needed for the efficient and effective functioning of the Workplace Training Approach. These resources include Facility leadership and management, technical and process expertise, technologies, relationships and partnerships, monitoring and evaluation, etc. The Facility's team is favourably perceived as an enabler because of the members' sincerity in helping partner organizations improve. The partnership with qualified TSPs to execute the identified

interventions is a scheme that allows the Facility to attend to the needs of a number of partner organizations simultaneously. The Facility ensures that the team of PAHRDF staff and TSPs can effectively respond to the needs of partner organizations by providing venues for information exchange and upgrading of technical and process competencies. The M and E system meets a dual purpose of tracking what is happening in the partner organizations and pushing the latter to pursue the implementation of REAPs, attesting to the adage that “what gets measured gets done.” The e-business process supports the management of various activities at different stages that involve multi-stakeholders. This likewise models the use of technology to advance transparency in transactions.

### **C. Under what particular circumstances does the model work?**

#### **1. Readiness for Change of Partner Organizations**

Meeting the strategic criteria for partnering which states that PAHRDF shall prioritise organizations whose mandates are directly aligned to the achievement of the MDG, the current MTPDP, and Philippines-Australia DAS is mandatory. It is therefore assumed that organizations that enter into partnership with PAHRDF are all equal in this respect. The discussions indicate that it is actually the process criteria or degree of readiness for change of the organization that will impact on the effectiveness of the PAHRDF Capacity Development Model.

In a way, the two are mutually reinforcing, as the model works best when applied in an organization...

- ...whose mandates and institutional thrusts are clear, whose short-term and medium terms plans are in place, and whose internal change strategies are articulated in official documents. (This is the *Vision and change agenda* criterion for partnering.)

This is very much apparent in the case of the Provincial Government of Bohol, which has been very determined to get out of “Club 20” or the Philippines’ roster of the 20 poorest and most backward provinces in the country. It has also strongly communicated a 10-point agenda that it sets out to achieve by 2010.

- ...where there are high level leaders who will lead and support the change efforts, and who will be present and accessible within the institution throughout the duration of the engagement. (This is the *Executive sponsorship* criterion for partnering.)

To illustrate, Simeon Marfori has been the one constant force in leading DCCCI’s change efforts. At the start of the engagement, Marfori as the Executive Director was deeply involved in scoping the needs of the organization and the terms of the partnership. He was also present during the implementation of various interventions either as a participant or a champion. Now the chamber’s president, Marfori takes an even more active and influential role in leading change in the organization.

- ...that manifests a clear resolve to participate in and finish the engagement, able to demonstrate ownership of the change process, and has a track record of successful change engagements and projects. (This is the *Willingness to undergo change* criterion.)

Despite competing demands, MEDCo has consistently manifested the willingness to fulfill and complete what it has set out to do in partnership with PAHRDF. If necessary, it negotiated with the Facility as to the best delivery mode so that interventions can be implemented. It leveraged the engagement to develop the competencies needed to support the new thrust and direction of MEDCo, specifically in the areas of policy advocacy and project management.

- ...that is able to optimize outputs and gains to support its development agenda, can provide counterpart resources, and with trainable staff complement. (This is the *Absorptive capacity* criterion.)

UM-Davao was ready to provide what is needed to optimize the upgraded competencies of its faculty. Returning scholars were immediately placed in more responsible positions so they can better influence and lead change; the Center for Continuing Professional Development that was to be headed by a returning scholar was set-up; and resources to facilitate REAP implementation were made available. A new set of LTT scholars was thoroughly screened before being nominated to PAHRDF to ensure that they can meaningfully contribute to achieving the university's development agenda when they come back.

The presence of the above circumstances or conditions allows the partner organization to be very receptive and responsive to the Facility's capacity development approach, and the organization's positive response in turn reinforces the value and effectiveness of the model in helping achieve the organization's change agenda. This mutually reinforcing relationship seems to move PAHRDF and the responsive partner organization in an upwardly spiral process of growth. (On the other hand, the effectiveness of the model in facilitating change is less pronounced in partner organizations that are unable to manage challenges in executive sponsorship, absorptive capacity, or in any of the above conditions.)

One process criterion that has not surfaced in the study is the presence of *Visible and functioning HR systems*. In PAHRDF's targeting criteria, this item has the least weight; and it seems to be rightly so. Nonetheless, this does not necessarily mean that this should be removed from the process criteria. This only suggests that the model can be applied even if HR systems are not yet fully functioning. However, sustaining the gains from the partnership may necessitate the presence of a structure (logically an OD or HR unit) that can oversee, integrate, and "push" the various change initiatives.

## 2. Sound Execution by Facility's Leadership and Management Team

While certain conditions need to be present in partner organizations for the PAHRDF Capacity Development Model to prosper, equally important is sound execution of the model by the Facility's leadership and management team. This entails having a team that is able to...

- ...direct and orchestrate the numerous activities that are happening so that these do not just become a series of events that can be reported as accomplished. The set-up of designating a specific HR Adviser to assist an organization is considered effective.



- ...facilitate the consistent execution of the steps embedded in the Workplace Training Approach. ACN sees the PAHRDF team as very serious in helping the organization improve its capacities, as manifested by the way they observe the model's processes.

It will be noted that lapses in applying standards in any of the steps of the quality process can derail the effectiveness of the model. For example, PGNS admitted that casual employees who are not in the position to influence or implement change have been sent to PAHRDF training programs because of political accommodation. The in-house mentoring support for LTT is not fully functional. TSPs commented that some supporting tender documents (Organizational profile and HR analysis) are not well-written.

- ...partner with and monitor the performance of competent TSPs. As the TSPs are the main delivery arm for its interventions, the Facility's team needs to see to it that TSPs are aligned with the Facility's goal, purpose and approaches. The team also has to ensure that the TSPs comply with the terms of partnering, and adhere to professional standards in carrying out its work and relating with PAHRDF and partner organizations.

The Facility's team members may have to calibrate their means and regularity in giving feedback as TSP respondents have different experiences in this area.

- ...model and promote continuous improvement in the way processes are observed and in the way interventions are carried out. This means seeking feedback for improvement, making systems and processes more responsive, encouraging partner organizations and TSPs to innovate, and providing venues for information exchange and learning sessions.

The Facility's commitment to promote continuous learning and knowledge sharing is well appreciated by TSPs and partner organizations. The team has to be more vigilant though in attending to feedback from partners on how the execution of HR activities can be more effective. PGNS mentioned that the team missed to respond to their feedback regarding the inappropriate choice of benchmarking site by a TSP. It was also mentioned by TSPs that HR Advisers have not been consistent in sharing with them the post-training evaluation of participants.

## **IV. Recommendations**

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### ***A. Reinforcing Effectiveness of Implementation of Existing Capacity Development Model***

The varying degrees of effectiveness in which the PAHRDF Capacity Development Model has worked for partner organizations is affected by the presence or absence of conditions that are discussed above. The following recommendations are presented to strengthen the operationalization of the model:

1. Plan for more stringent application of the process criteria in targeting potential partner organizations.

Among the criteria, *Executive sponsorship* and *Absorptive capacity* seem to be very critical in terms of advancing the partnership and optimizing the gains. The Facility may have to be more specific in terms of defining indicators for these (including minimum requirements) and ensuring that these are met.

2. Include risk analysis as part of the preparation for partnership with organizations.

Although partner organizations may have met all the process criteria, it is always possible that organizational changes or even external factors can alter the partner's circumstances in the duration of the partnership. Assumptions that could have been made at the start of the partnership may not materialize. PAHRDF and the partner organization may have to prepare a risk analysis or plan for potential problems so that mitigating or contingency actions can be put in place to address shifts in the way the organization will be able to meet these criteria.

3. Calibrate and consistently implement standards in executing the Five-Step Quality Process.

As the lifeblood of the model, the execution of the Workplace Training Approach and the embedded Five-Step Quality Process can influence the success or failure of the partnership. It is suggested that the Facility's team calibrate and document standards that will guide HR advisers, the partner organizations, and TSPs in undertaking the Five-step Quality Process. The HR advisers can then be tasked with ensuring that these standards are consistently applied. Doing this can avoid problems of weakly written tender support documents, participant mismatch, inappropriate choice of benchmarking sites, ineffective mentoring support, etc.

4. Optimize existing mechanisms to improve effectiveness of Capacity Development Model.

The Facility's e-business support captures rich information that can be used a resource to track how interventions are being carried out for various partner organizations by different TSPs. It is recommended that HR advisers be more mindful of uploaded information (e.g., message board, training evaluation, etc.) and strive to be more consistent in responding to partners' feedback.

Given the breadth and depth of the Facility's experiences in capacity development work, and the wealth of information and knowledge that has been and is being generated, there is a need to strengthen the current e-system that supports knowledge documentation, storage, sharing and publishing.



Strengthen partnership with TSPs. There is a perception that the role of the TSP as an extension of the PAHRDF and part of a tripartite partnership is sometimes minimized especially when there are issues to be resolved with the partner organization. This may entail clarifying and levelling of expectations between TSPs and PAHRDF, or even the conduct of teambuilding interventions that can strengthen the synergy between partners.

### ***B. Enhancing Features of the PAHRDF Capacity Development Model***

One element that can significantly enrich the features and processes of the PAHRDF Capacity Development Model is the incorporation of a parallel M and E system for TSP performance.

Since PAHRDF is to a large extent dependent on the TSPs for executing interventions, there is a need for a more purposive and systematic system for monitoring and evaluating their performance. A parallel M and E system that can track and assess TSP performance can serve several purposes: e.g., provide timely feedback to PAHRDF on concerns that require the intervention of the Facility; inform PAHRDF on what capacity development support the TSPs need; validate the effectiveness of the TSP accreditation process; etc. Ultimately, the M and E system will contribute towards upgrading the capacities of TSPs to better perform their role as PAHRDF's delivery arm.

*The PAHRDF Capacity  
Development Model and its  
Applicability across Various  
Types of Institutions*

**Report on Large Institutions**



Australian Government  
AusAID

PHILIPPINES - AUSTRALIA  
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## ***Abbreviations***

AI	Appreciative Inquiry
BEAM	Basic Education Assistance for Mindanao
BESRA	Basic Education Sector Reform Agenda
DAS	Australia-Philippines Development Assistance Strategy
DBM	Department of Budget and Management
DepEd	Department of Education
DPWH	Department of Public Works and Highways
FAB	Facility Advisory Board
FEC	Facility Executive Committee
FGD	Focus Group Discussion
HRMD	Human Resource Management and Development
LTT	Long Term Training
LGUs	Local Government Units
M and E	Monitoring and Evaluation
MTDP	Medium-term Development Plan
NEDA	National Economic Development Authority
NGA	National Government Agency
PAHRDF	Philippines Australia Human Resource Development Facility
REAP	Re-Entry Action Plan
STT	Short Term Training

## ***Annexes***

- A Organizational Profile of Four Agencies
- B Compilation of Data Gathering Reports for Large Institutions

## **I. Introduction**

### ***A. Overview of the PAHRDF***

In August 2004, the Governments of Philippines and Australia launched the Philippines Australia Human Resource Development Facility (PAHRDF). Set to operate for five years, the Facility's overarching goal is to contribute to poverty reduction and sustainable equitable development in the Philippines. This goal supports the Australia-Philippines Development Assistance Strategy's (DAS) thrust to contribute to improving the prospects for economic growth, poverty reduction, and national stability in the country.

PAHRDF's specific purpose is to build and enhance the capacity of targeted organizations in service delivery, in the application of high quality administrative governance, and in people and organizational development including the field of Human Resource Management and Development (HRMD). Developed competencies in these areas are envisioned to directly translate to enhanced organizational capacities that will impact on the quality of services to clients, eventually contributing to poverty reduction and sustainable equitable development.

A Facility Advisory Board (FAB) provides strategic directions and a Facility Executive Committee (FEC) oversees the management of PAHRDF. The Facility uses a set of FAB-approved criteria to determine potential partner organizations that are most likely to implement and sustain the gains of assistance. The criteria include two categories – strategic and process. The strategic criteria focus on potential partner organizations' alignment to the Medium-term Development Plan (MTDP) of the Philippine Government and the Australia-Philippines DAS. The process criteria include organizational factors that are necessary for the assistance to succeed (i.e., vision and change agenda; executive sponsorship; willingness to undergo change; absorptive capacity; and visible and functioning HR systems). The criteria are reviewed every year to consider new development initiatives and priorities.

The Facility embraces two major delivery modes in its HRD interventions: Long Term Training (LTT) and Short Term Training (STT) /HRD support activities. PAHRDF has adopted workplace training as its main delivery approach for these interventions to facilitate the progression and translation of acquired competencies at the individual level to enhanced organizational capacity and improved service delivery.

Over the years of its operation, PAHRDF has partnered with 36 public sector and private organizations and local government units (LGUs), and 17 schools under the Basic Education Assistance for Mindanao (BEAM) project (an Aus-AID supported project of the Department of Education in Regions 11, 12 and the ARMM).

Among the 36 public sector agencies are four national government agencies that are considered to be integral to the implementation of the DAS: Department of Budget and



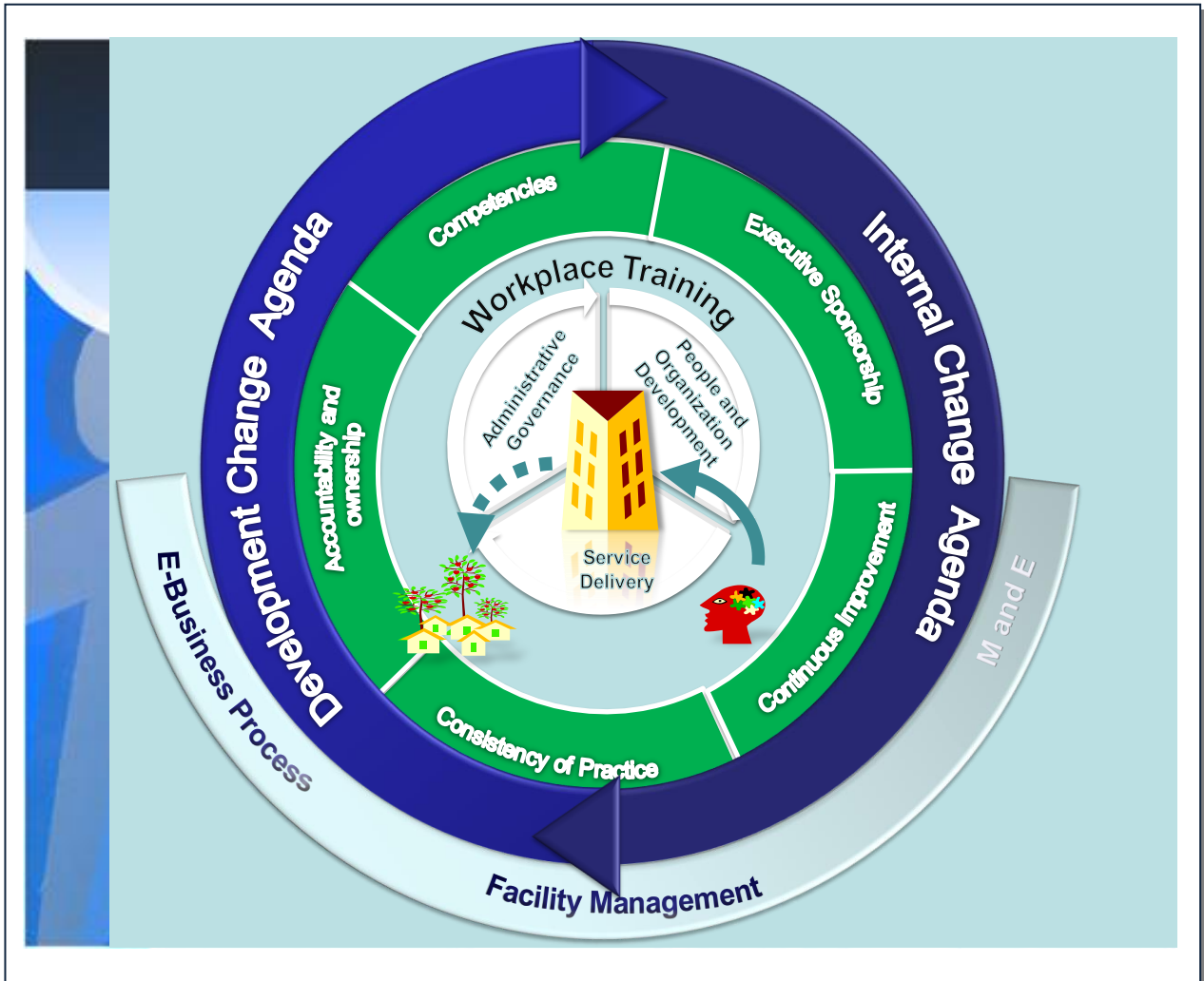
Management (DBM), Department of Education (DepEd), Department of Public Works and Highways (DPWH), and the National Economic Development Authority (NEDA).

### ***B. The PAHRDF Capacity Development Model***

- The PAHRDF Capacity Development Model (Box 1) can be viewed as a dynamic system of interrelated components and processes. The system advances the Facility's purpose to build and enhance the capacity of partner organizations so that they are better able to improve processes and systems that will impact on the quality of services to clients, eventually contributing to poverty reduction and sustainable equitable development.
- PAHRDF embraces two modes of HR intervention (i.e., Long Term Training or LTT, and Short Term Training or STT) to strengthen the partner organizations in three capacity areas: 1) Service delivery; 2) Administrative governance; and 3) People and organizational development.
- The model derives its strength from two fundamental pillars of meaningful capacity development: strategic alignment and sustainability. As such, the partner organizations' development and internal change agenda drive all interventions which are identified, designed, and implemented through a highly purposive and participative process. Sustainability attributes (i.e., Competencies; Accountability and ownership; Consistency of Practice; and Continuous improvement) in the targeted capacity areas are pre-determined so that stakeholders are easily able to track the organizations' progress during and after the PAHRDF engagement.
- A key element of the PAHRDF Capacity Development Model is the Workplace Training Approach, which is anchored on the principles of adult learning and strategic alignment. Embedded in the approach is a Five-step Quality Process:
  1. Organizational Profiling and HR Analysis
  2. Formulation of Workplace Development Objectives
  3. Focus on Key Functional Units and Individuals
  4. Intensive Training with Coaching and Mentoring Support
  5. Re-entry Action Planning

This process ensures that enhanced capacities at the individual level are immediately applied in the workplace through the preparation of outputs that are intended to lead to improved processes and systems. The preparation and implementation of a Re-entry Action Plan (REAP) facilitates the institutionalization of processes and systems, and influences the delivery of better quality services to the organizations' clients.

Box 1. The PAHRDF Capacity Development Model



- The operationalization of the model is supported by a set of enabling mechanisms that ensures consistent adherence to the Facility’s capacity development principles and approach. A team of specialists and support staff orchestrates and oversees execution of the Facility’s mandate as it partners with key stakeholders and organizations. A comprehensive Monitoring and Evaluation (M and E) system generates information that keeps stakeholders abreast of organizational performance in the targeted capacity areas. Providing the platform for the efficient exchange of information and the transparent conduct of business transactions is the Facility’s web-based database system.

### **C. Rationale and Objectives of the Study**

Since its commencement in 2004, the Facility has continuously sought to improve the processes, mechanisms, and HR/OD conceptual frameworks that support its LTT and STT interventions. While the Facility is able to record these innovations in various documents, there is no holistic or quintessential document that captures PAHRDF's Capacity Development Model. Further, although the Facility has always solicited feedback from its different stakeholders on the effectiveness of its approach, there has been no dedicated research on this.

The present report is part of a bigger study entitled *The PAHRDF Capacity Development Model and its Applicability across Various Types of Institutions*. The study is envisioned to provide a meaningful and disciplined mapping of the underlying program theory that has guided the Facility's capacity development initiatives from the stages of diagnosis, planning, implementation, monitoring and evaluation. Specifically, the study aims to:

1. Consolidate an in-depth technical description of the Facility's Capacity Development Model

This entails: a) a review of capacity development literature; b) an inventory of capacity development models being used by donors and the public sector; and c) an in-depth review of the Capacity Development Model that constitutes the Facility's approach.

2. Assess the effectiveness of PAHRDF Capacity Development Model in various modes and parameters of its use

Three questions are to be answered under this objective: a) "Does the model work?" b) "What elements of the model work?" and c) "Under what particular circumstances does the model work?"

This report aims to answer the second objective, specifically focusing on the model's applicability to the four large institutions (i.e., DBM, DepEd, DPWH, and NEDA). The study is also in consonance with the PAHRDF Strategic Review Team's (SRT) recommendation to conduct "an independent formative evaluation of the effectiveness of PAHRDF engagements with the newly engaged large national institutions - DepEd, DPWH, DBM and NEDA – with a view to testing the extent to which the PAHRDF model can be scaled up by working with units within large national agencies."<sup>1</sup>

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<sup>1</sup> Strategic Review of the Philippines-Australia Human Resource Development Facility (PAHRDF), Final Report, 26 October 2007.

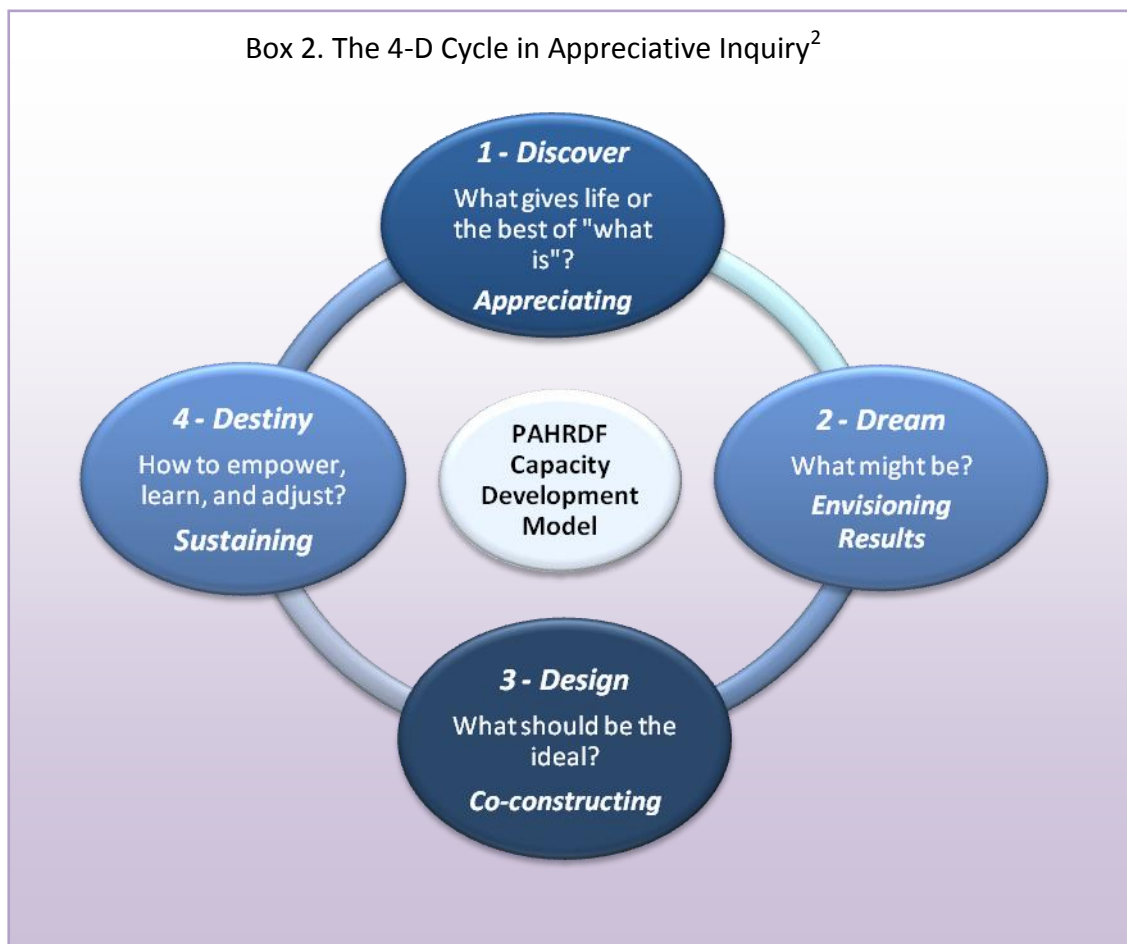


## II. Research Framework and Methodology

### A. Appreciative Inquiry as Research Framework

The study was anchored on the Appreciative Inquiry (AI) Framework. An accepted approach in the evaluation and execution of organizational development strategies, the AI framework provided both a logical map and a creative process for conducting the research. The study capitalized on the key AI elements of creative participation and positive focus to achieve its objectives, particularly in assessing the effectiveness of the PAHRDF Capacity Development Model in various modes and parameters of its use.

The study followed a modified version of what is known in AI language as the 4-D Cycle: Discovery – Dream – Design - Destiny.



<sup>2</sup> David L. Cooperrider and Diana Whitney. *Appreciative Inquiry (A Positive Revolution in Change)*, Berrett-Koehler Publishers, Inc., 2005.

The use of the 4-D Cycle of Appreciative Inquiry allowed the data gathering to flow from an assessment of the current configuration and applications of the Capacity Development Model, to a synthesis of recommendations on its best possible applications. Being an assessment process, Step 2 was tweaked so that data gathering can focus on the partners' vision from the partnership and the tangible gains that have been achieved (rather than a design vision for the model which was instead covered in Step 3). Likewise, to ensure that there will be a more explicit discussion on the weaknesses or improvement areas of the PAHRDF Capacity Development Model, Step 3 was modified to include questions on factors and conditions that hindered the achievement of desired results from the partnership with PAHRDF.

### Box 3. Focus of Data Gathering using the Modified AI 4-D Cycle

#### **1 - Discover**

- Defining and outstanding features of the PAHRDF Capacity Development Model
- Strengths of the PAHRDF Capacity Development Model

#### **2 - Dream**

- End in mind or objective in the engagement with PAHRDF
- Tangible gains from the PAHRDF engagement

#### **3 - Design**

- Conditions or factors that facilitated and supported the achievement of desired results
- Conditions or factors that hindered the achievement of desired results
- Insights and learnings from the application of PAHRDF Capacity Development Model
- Value-adding features and processes that can make the Capacity Development Model more relevant and effective

#### **4 - Destiny**

- Concrete recommendations /next steps to create the best version of PAHRDF Capacity Development Framework

## **B. Methodology**

Three data gathering techniques were employed to generate the needed data and information:

1. *Secondary Data Analysis.* Relevant literature on capacity development initiatives was reviewed. As most donor agencies that are engaged in capacity development work have websites or have published their works electronically, the internet was a major source of materials for the review of literature. PAHRDF documents which have been made available by the Facility (i.e., Monitoring and Evaluation Reports, 2007 Report on the Strategic Review of the PAHRDF, and PAHRDF Annual Plans) were likewise a source of critical contextual inputs to the study.
2. *Focus Group Discussion (FGD).* Key informants from each of the identified sample partner organizations were assembled to share their inputs as PAHRDF partners. A separate session with the PAHRDF team was conducted. FGD sessions were facilitated by one of the study team members, while another documented the discussion. A set of questions along the AI 4-D Cycle guided the open exchange and sharing of experiences, opinions, and recommendations related to the Capacity Development Model. (*The AI Data Gathering Guide is attached as Annex A.*)
3. *Face-to-face Interviews.* Using the same AI Data Gathering Guide, some key informants from Training Service Providers (TSP) and partner organizations were interviewed. To prepare for the data gathering activities, the study team likewise interviewed the HR Advisers of partner organizations to better understand the unique context of the partners' engagement with the PAHRDF.

## **C. Sampling**

All four national agencies were made part of the study. Two TSPs (IMPACT and Meralco Management and Leadership Development Centre) that have experienced working with the four agencies were engaged in conversations to provide information and insights in the operationalization of the model. The identification of key informants from the four agencies and the TSPs were done in coordination and consultation with PAHRDF.

### III. Findings

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#### A. Familiarity with the PAHRDF Capacity Development Model

- The four large agencies see how the model integrates the different factors required for capacity development to happen in an organization. Respondents were able to readily describe the interplay of factors contributing to developing capacities, both at the individual and organization levels. It is clear to the respondents that effective capacity development starts with the individual, cascades to the development of the organization, and eventually to improving peoples' lives. According to them, the definitions of the sustainability attributes further help in understanding the model and translating these into verifiable indicators in the organization.

*Everything is in the model. It captures the development agenda and internal change agenda. It shows how increased capacities of individuals and the organization can translate to improved service delivery.*

Burt Favorito  
Director, DPWH

- Asst. Secretary Jose Mateo of DepEd commented that it is a good model as it is always directed to the agenda of the organization. It gives a snapshot of the relationship between the Facility and the partner organization. It defines what the recipient is expected to do for capacity development to happen.
- The orientation sessions conducted by PAHRDF at the start of the partnership with agencies switch on the engagement process. The sessions are seen as necessary to secure buy-in and sponsorship among the agencies' executives and key stakeholders, and thus critical to the success of PAHRDF interventions.
- Participation of designated partner organizations' point persons and other stakeholders during organizational profiling and HR analysis was evident in all four agencies. For example, DPWH, through Director Favorito went through the process of defining the capacity level of the agency in order to identify appropriate STT and LTT interventions. As a result of consultations with all directors in the central office, agreement was made as to priority areas that were to be pursued. As DBM started its partnership with PAHRDF, senior officials (an undersecretary and directors from the Planning and Administrative Offices) participated in the planning process on how DBM's agenda can be leveraged in the partnership.

## ***B. Outstanding Features and Strengths of the PAHRDF Capacity Development Model***

Respondents consider the following outstanding features as strength of the PAHRDF Capacity Development Model:

### **1. Organizational Profiling and HR Analysis**

The review of the organizational anchors, e.g. vision, mission, goals, etc., during organizational profiling ensures alignment of the proposed interventions to the agency's agenda. Organizational profiling provides the focus and discipline needed to assess organizational context and gaps in a more accurate manner to ensure that planned interventions address actual needs. The process likewise elevates the process of training needs analysis from just diagnosing competency gaps of individual employees to assessing organizational needs that need to be addressed for it to pursue its development agenda. The organizational profiling and HR analysis is a key component that influences the strategic and targeted nature of PAHRDF interventions.

In the case of DBM for example, the organizational profiling and HR analysis process helped the agency identify the competencies that need to be developed so it can make the strategic shift from being mostly transactional in its operations to being a development partner and adviser to line departments and agencies (e.g., by providing a deeper analysis and evaluation of their budgets). At the start of the PAHRDF partnership, the DBM was also evolving its Rationalization Plan and was concerned about capacitating personnel who will take on technical work to replace personnel who will be leaving DBM once the Rationalization Plan was approved.

### **2. Customized Interventions**

Partner organizations team up with PAHRDF in identifying customized interventions that are intended to upgrade the competencies of specific units and cohorts to introduce changes in the different capacity areas. The customization of interventions optimizes training investments and ensures that these address priority needs of partner organizations. Thus, training inputs directly contribute to building competencies that allow cohorts to produce outputs that are relevant and immediately utilizable. As the DBM respondents put it, "People are trained exactly on the competencies that they need to be able to do what they are supposed to do."

### **3. Targeted Selection of Participants**

The PAHRDF Capacity Development Model requires a targeted approach in nominating participants to STT and LTT programs. Since the interventions are focused on improving specific capacity areas of the organization, the targeted selection of participants to both LTT and STT programs is very important. This ensures that people who are responsible for



developing, installing, and using the pre-identified outputs are capacitated to do so. The process likewise provides a more logical basis for identifying training cohort, thus departing from the practice (of some organizations) of sending participants to training programs either as a reward or as a temporary pre-occupation for non-contributing and thus dispensable staff.

#### 4. Focus on HR

Because of the Facility's slant and entry point for change, more value and strategic importance is accorded to the role of HR management and development (HRMD) in organizational capacity development. PAHRDF's initial interventions are usually geared at strengthening first the partner organization's HR structure and processes and addressing immediate HR concerns and gaps. This slant can be viewed as part of PAHRDF's strategy for reinforcing sustainability of gains from the partnership, as the HR unit is seen as a focal office for pursuing and building on the PAHRD initiatives.

DPWH respondents articulated that the HR function has been long neglected. It is only now that HR is being given importance and its strategic value in pursuing the agency's change agenda is being recognized.

#### 5. Workplace Training Approach and Process

One unique feature of the model that is acknowledged by the four agencies is the Workplace Training Approach and process. With the approach, assistance does not end in classroom training. Participants undergo coaching and mentoring in applying acquired knowledge, skills and orientation so they can deliver pre-identified outputs.

*Training went beyond theory and concepts and gave the participants the chance to practice and apply the theories and principles in real life situation.*

Nestor "Ting" Mijares  
Deputy Director General,  
NEDA

The In effect, workplace training is the bridge that ensures that enhanced competencies of individuals are used to improve processes within the organization, and eventually contribute to the achievement of its change agenda.

NEDA's Leny Quilates commented that the approach involves getting and using live data from the workplace so that participants can deliver the outputs that will promote the strengthening of the target capacity areas. DPWH's Director Favorito ventured that it is really in the workplace where the most significant amount of learning, i.e., 70%, happens. (Mention was made of many projects in the past which relied heavily on consultants in undertaking technical work. Because of this approach, there was no skills and technology transfer. After the consultants left, the staffs were not able to operationalize or utilize the systems developed by these consultants.)

## **6. Re-Entry Action Plan**

Respondents cited the REAP as a defining feature and strength of the model. It is perceived as a vehicle for the immediate transfer of individual learnings to the workplace to support improvements in the targeted capacity areas. DepEd's ASec Mateo also sees the REAP as a tool for setting directions and guiding the implementation of planned changes. Thus, while there were concerns about accomplishing the REAPs because of organizational constraints and the resistance of some participants, the different agencies recognize the value of producing tangible training outputs that are directly aligned with the organizations' change agenda.

## **7. Monitoring and Evaluation (M and E)**

The M and E component of the PAHRDF Capacity Development Model is considered as unique to the Facility. This is perceived as a support given to partner organizations to ensure that gains from the training interventions are actually translated into improvements in the workplace and that organizations work towards sustaining these. REAP implementation is closely monitored; PAHRDF and partners track status of the organization's planned capacity development in the form of periodic progress reports. Many respondents also recognize the value of the "sustainability" attributes that are embedded in the M and E framework. ASec Mateo highlighted the value of monitoring government programs so that organizations can self-correct, or if necessary be "penalized" for unwarranted deviations in policy and program implementation.

## **8. Contracting Training Service Providers (TSPs)**

The DBM respondents consider contracting of training service delivery to providers as an effective approach. In general, they find the TSPs acceptable and able to provide satisfactory service. The PAHRDF model facilitates the creation of a pool of accredited TSPs that can help the large agencies in their capacity development efforts in the absence of a strong government capacity development sector. The model has a built-in mechanism to carefully screen and accredit TSPs and gauge their competence to deliver specific HR interventions. The Facility likewise provides regular and sincere feedback to TSPs regarding their performance, i.e. from bidding to implementation of training programs. As a result, the model helped to raise the standards by which capacity development programs are delivered in the large agencies.

## C. Gains from the PAHRDF Partnership

### 1. Improved Competencies of Individual Job Performers

Major gains from the PAHRDF partnership include enhanced competencies of officers and staff on specific fields under the targeted capacity areas. This is very significant because admittedly, training and development activities in the four agencies have been affected by AO 103 (Austerity Measures). Before AO 103, DPWH used to have a 10 million peso budget for training but the government's austerity program has limited, if not sidelined staff development. Any effort of the agency to conduct training programs was carried out with minimal resources; participants even have to bring their own food. As a result of the PAHRDF partnership, hundreds of employees occupying positions that are critical in achieving the four agencies' development agenda have participated in training interventions that upgraded their competencies to perform their jobs.

The DBM respondents recognize that in the past, trainings conducted are not aligned with what the employees are supposed to do. With the PAHRDF engagement, HR personnel were able to do competency profiling, conduct training needs analysis and design training courses for the first time. Similarly, Ms. Quilates of NEDA mentioned that she learned more scientific approaches in preparing competency profiles and job specifications, as well as competency-based interviewing techniques.

### 2. Developed a Pool of Leaders

According to NEDA's Wilfredo de Perio, in the 33 years that he has been with NEDA, no leadership training has been conducted by the agency. With the PAHRDF training that he attended, he acquired leadership skills and learned management principles that he is now using in coaching, mentoring, and motivating his subordinates. DPWH's Rowena Pacubas asserted that aside from applying what she has learned, she has also been sharing her learnings to section chiefs and potential leaders and supervisors.

*I understood the accountability of the boss in relation to the performance of my individual subordinates. I realized the importance of keeping cool even if my staff has committed errors in the work or has done inadequate work. When I was transferred to my current division, the records for 119 projects were not in order and there was no system. I wanted to have a system but did not know how to influence my staff. In the leadership training I learned how to influence and motivate people.*

Wilfredo De Perio,  
Chief, EDS  
NEDA

DBM's Director Gloria Lauzon reported that the leadership training attended by officers heightened the participants' awareness of their roles, and helped align individual and organizational goals. She felt that the training will help these officers perform their roles as leaders and pillars of the agency, especially since the future of DBM rests on their shoulders.

### 3. Positioned the HR Function as an Important Cog in Pursuing the Agencies' Change Agenda

The HR function in the agencies has become more meaningful with the PAHRDF engagement. DBM now realizes the need to strengthen the HR unit so it can be the core group for in-house HR development, instead of just focusing on personnel services and administrative work. According to DDG Mijares, NEDA personnel have realized that the different units in the whole organization should be partners of HR. He said that there are now a number of people “speaking the same language”, and who are more committed to strengthening the agency’s HR function. DepEd’s Ms. Nerissa Losaria (OIC-Chief, SDD-HRDS) observed that the PAHRDF engagement was successful in repositioning HR in the agency. HR has become more strategic, with more people acknowledging their role in the organization as “HR practitioners” and not only performers of technical functions in their respective units.

The different sections in DPWH’s Personnel Division are now working together in many ways that have not been done before as the PAHRDF processes require them to coordinate with each other. This has allowed them to see the inter-relatedness of the various tasks and to better appreciate the different facets of the agency’s HR function. Likewise, the agency has taken extra initiative to pursue other HR elements such as succession planning which was not part of the PAHRDF intervention.

### 4. Installed Important Systems that Were Neglected in the Past

Important HRMD tasks that were neglected or overlooked in the past have been attended to, and outputs (e.g., systems) that support the agencies’ development agenda have been produced.

The DPWH’s Personnel Information System (PIS) is now in full implementation. The HRIS is a major tangible gain for DepEd. This has been rolled out in four pilot regions: III, IV A and B, and NCR. DepEd had done initial discussions with the Civil Service Commission, Commission on Audit, Department of Budget and Management and Government Service and Insurance System to link with their systems.

*With Ms. Campomanes’ (LTT scholar) hard work, the PIS is in its full implementation in the department, with four modules currently working. A refresher course was conducted to help staff in the personnel unit appreciate the system for their eventual use.*

Rowena R. Pacubas  
OIC-Personnel Division  
DPWH

NEDA is in the process of finalizing a competency-based Integrated Performance Management System. The system has been rolled out to various offices to assess its effectiveness. A coaching and counselling guide has been developed to support the implementation of the system.

## 5. Improved Awareness of Agency Program

DepEd considers the increased consciousness and awareness of the Basic Education Sector Reform Agenda (BESRA) among employees as its most important gain from their partnership with PAHRDF. The participation of employees in the various training interventions exposed them to the BESRA. They talk about it and it is integrated in their REAPS. The participation of the President of the Employees Union in the Leadership Training Program was very critical because of his influence among internal stakeholders. After the training program, he became more interested and actively involved in the program.

*An indicator of the acceptance of the program is when people talk about the Agenda (BESRA) . A good sign too is when they are involved in implementing the REAPs that support this, and 'embrace' what they are supposed to do.*

Jose Lorenzo Ruiz Mateo  
Assistant Secretary  
Department of Education

## 6. Enhanced Confidence of Trained Employees

More than the knowledge and skills acquired, there is enhanced confidence among PAHRDF trained employees of the agencies because of their upgraded competencies. Several HR personnel reported that they have experienced performing HR tasks (e.g., competency profiling, course designing, etc.) that they have never done before. Others also reported enhanced confidence in their ability to better lead their subordinates.

### ***D. Factors and Conditions that Supported and Facilitated the Application of the PAHRDF Model***

#### **1. Alignment of Interventions with Agency's Change Agenda**

The model allowed partner organizations to identify priority areas and interventions that would advance their internal change agenda. As a result, the outputs that are produced by the training participants clearly contribute to the accomplishment of the agencies' goals. For instance, in DPWH, an LTT scholar's REAP was aligned with AO 255 (the Moral Recovery Program) which is a priority area of the organization. In DepEd, interventions are anchored on the BESRA. This helped increase support for the reform agenda which led to the writing of the policy relative to its implementation. The clear alignment of the work with the reform agenda made it easier to engage internal stakeholders to participate in the activity.

#### **2. Participative Processes**

According to Undersecretary Pascua of DBM, because of the involvement of DBM's senior officials in the initial discussions with PAHRDF in defining the objectives of the engagement,

management support has been consistent. This facilitated the active participation of the central and regional offices which include sending participants and provision of counterpart funding for travel expenses especially of regional participants. She added that the PAHRDF's participative processes ensure that she is also aware of the engagement's major milestones. In DPWH, the model allowed key stakeholders to participate in assessing the agency's capacity level and identifying appropriate STT and LTT programs, instead of just relying on the donor agency to do these for them. This approach sets the initial stage for generating project buy-in.

### **3. Executive Sponsorship**

The presence of a champion from top management, especially a high-ranking official not only drew attention of internal stakeholders to the value of the interventions, but also facilitated approval of resources needed for their successful implementation. Some examples of support include issuance of office orders that document approval of attendance by selected participants to activities of PAHRDF interventions, provision of counterpart funding, and approval of REAPs for implementation.

In DPWH, having the HR point person (Dir. Favorito) sitting as member of the Management Committee helps generate buy-in and expedites quick response from management on concerns that can affect the PAHRDF partnership. DBM's USec Pascua has been steady in her support for the engagement. The agency's senior officials have likewise readily given the go signal for the implementation of the participants' REAPs. ASec Mateo noted that it is always helpful to have a high ranking champion that will drive change; someone who is aggressive in pushing reforms.

### **4. Monitoring and Feedback Mechanism**

Monitoring done by both the Facility and the participants track the accomplishment of planned activities. PAHRDF, through its online monitoring is updated on the status of the REAPs. Through regular monitoring of activities and communication with the agencies, PAHRDF was also able to respond in a timely manner to concerns raised during conduct of training activities. In DPWH, feedback pertaining appropriateness of resource persons of the training on leadership was communicated to the Facility, and was immediately addressed resulting in improved conduct and management of the intervention.

### **5. Competent and Credible Training Service Providers**

The presence of credible TSPs is seen as very critical in the operationalization of PAHRDF's Five-Step Quality Process as they are the ones that implement the HR interventions identified by the partner organizations. NEDA respondents said that contracted TSPs employ state-of-the-art learning techniques and have shown their adaptation of the latest technology to the agency. They have been able to guide participants in applying learnings in the workplace. Most resource persons and coaches have good grasp of the context and culture of the agencies and are able to establish credibility and build rapport with the participants. In DBM, a member of the training team even talked one-on-one with a nominated participant who was hesitant about attending the program. The DPWH respondents appreciated the adjustment that was made in the

composition of the TSP team to ensure that the key resource persons talk the language of the participants and are versed with the context of the organization. This greatly contributed to achieving the intervention's objectives.

## **6. Professional PAHRDF Team**

USec Pascua cited the professionalism and technical competence of the PAHRDF staff whom she met with to discuss DBM's change agenda. The PAHRDF team's commitment to ensure quality of interventions was very apparent to the DPWH group when the former quickly took steps to address their concerns regarding the TSP.

### ***E. Factors and Conditions that Hindered the Application of the PAHRDF Capacity Development Model***

#### **1. Competing priorities**

- Time and other resources required by PAHRDF interventions compete with other priorities of partner organizations. It is a reality that these agencies have to attend to numerous daily distractions from all sectors (the Office of the President, other national government agencies, politicians, media, donors, local government units, etc.). It was therefore not easy for many participants to focus on training related tasks because of competing commitments.
- Although the schedule of interventions is a joint decision made by PAHRDF and the partner organizations, there have been instances when REAP implementation overlaps with a new intervention and other PAHRDF activities like meetings, symposia and preparation of M and E reports. Activities that focus on strengthening the HR function are more challenging for agencies as the same people attend the different programs because of the building blocks approach of the Facility.
- Since the work in DBM is very demand-driven, its personnel cannot just set aside work that needs to be regularly done so it can respond to the requirements of client agencies. Many PAHRDF training activities were implemented during budget preparation period and at a time when the organization was deep into assisting other agencies in the preparation of their Rationalization Plans. The work volume distracted the participants from the training, and dampened their interest in certain project/s. Others even used this as an excuse for not attending to the training requirements. This situation affected the timely submission of training outputs like TNA results, competency profiling, etc.
- DDG Mijares underscored that applying whatever has been gained in training to the workplace is part of the expectations from the interventions. However, in some instances, this could not be done owing to the workload of the staff. He said that come crunch time,

the staff just set aside PAHRDF requirements so they can focus on their regular work. Supervision and implementation of the REAPs, in the case of DepEd, has been affected because of so much workload in the office.

## 2. Inadequate Multi-layered Sponsorship

- While top management has shown support for the PAHRDF partnership, some difficulty was encountered in creating or sustaining buy-in among other members of the organization. In DBM for example, the HR team had to sell the project strongly to other stakeholders such as the directorate in order to get their support. Other times, expression of support from supervisors has not been translated to actual support in terms of giving time to employees to work on training requirements.
- DDG Mijares opined that the level of executive sponsorship required by the model can be difficult to attain, and is not easily nurtured in NEDA. He feels that at this point in the partnership, activities to create buy-in are not yet sufficient to generate full executive sponsorship, but only “executive tolerance”. According to him, it does not help that once a training activity starts, it becomes more of a personal interaction between the trainees and the TSP, thus further detaching or leaving management behind on the status and progress of the activity.

MMLDC and IMPACT recognized the concern on generating sponsorship from different quarters in NEDA especially since the lead sponsor is perceived as “difficult” by many in the organization. Ms. Daisy Marquez of IMPACT sensed that the executives have not really been fully supportive of the project, and it is only the HR unit that is driving it. She even feels that the TSP was in a way “competing” with the agency’s own executives just so they could implement the project. She added that turfing among the agency’s officials actually got in the way of effective project implementation.

- In DepEd, there was initially no top management anchor who would champion the PAHRDF initiatives and interventions. Those who were earlier involved in the planning and institutional profiling were no longer able to participate in the succeeding milestone activities. It also did not help that there is no singular unit in the agency that is in-charge of capacity development; this makes decision making and communication more complicated.

## 3. Lack of Readiness for the Workplace Training Approach

- The PAHRDF model espouses a “learning-by-doing” approach that is supported by coaching and mentoring to guide participants in the delivery of expected outputs as they acquire new competencies. This approach deviates from the

*NEDA in general and the staff in particular have been used to having consultants working in technical assistance projects so the staff had difficulty during the workplace training.*

Librado F. Quitariano  
Director  
NEDA



usual consulting services that large agencies are used to receiving where consultants are accountable for delivering the outputs. Hence, some difficulty was encountered during coaching, and the preparation and implementation of the REAP. In DPWH, officers especially the more senior ones showed resistance to the REAP requirement. Director Favorito had the notion that the REAP seems to be more relevant for LTT programs than for STT activities as LTT programs have longer duration and consequently provide more time for REAP preparation.

Mr. De Perio of NEDA mentioned that managing the REAP process is a concern as this is something new to the staff; other training programs do not require these. Likewise, since NEDA employees are used to having technical consultants doing the work for them, they expect to be paid honorarium for their “hands on” involvement. The requirement of a REAP may have also scared off some employees from participating.

- Ms. Marquez of IMPACT commented that the coaching process which is embedded in the Workplace Training Approach is very much dependent on the willingness of participants to take on the challenge of being coached to produce the outputs. She observed that some NEDA participants did not attend coaching sessions because they did not appreciate the process. As a result, outputs were submitted on the last minute.
- According to Ms. Losaria (DepEd), the workplace training concept, specifically the face-to-face coaching and mentoring was not fully realized in their agency. Some adjustments were made, though, on the mentoring set up in order to meet the requirements of the engagement. In lieu of face-to-face interactions, mentors and participants communicated through cellphone or internet. Likewise, no one was overseeing the activity thus sub-groups were formed during mentoring to provide better focus for the mentors.

#### **4. Anticipated agency-wide changes**

NEDA experienced difficulty in selecting trainees as management wanted to make sure the people they send to training are those that will not be assigned to other positions as a result of the anticipated rationalization. Also part of the “tension” in participant selection is the REAP because it prescribes activities in the original unit where the scholar is assigned, but there is fear of being re-assigned to other units later on. Similarly, DBM experienced difficulty in participant selection because of changes in the assignment of people. As a result, the agency had to give up two training opportunities.

## **F. Limitations of the PAHRDF Capacity Development Model**

### **1. Reliance on TSPs' capability to deliver**

Since PAHRDF relies largely on TSPs to implement the interventions, the role of the TSPs as well as their stringent screening and selection is very important. In the Recruitment, Selection, Placement and Induction project of DBM, one of the coaches assigned was not sensitive to the environment and the needs of the trainees. Classroom approach was used, which proved to be ineffective. In DPWH, a resource person who was fielded by the TSP was not able to connect to the participants as he did not understand the context and culture of the organization, making the training conduct a “disaster,” according to the respondents.

## **G. Insights and Learnings from the Application of the PAHRDF Capacity Development Framework**

### **1. Need to Strengthen the HR function**

Agencies have to veer from viewing and treating the HR function as limited to personnel administrative services to according it a more strategic role in achieving the organization's mandate and vision. Employees' needs will also have to be looked at beyond monetary compensation. This paradigm shift

*Going strategic means there is a need to go beyond transactional operations. This means influencing the incorporation of a strong HRD function in the agency. This also includes identifying and attending to the other needs of government employees, aside from just compensation.*

DBM respondents

necessitates the strengthening of existing personnel units so that they can effectively mind the organizations' capacity development needs in support of their development agenda.

As a result of the PAHRDF engagement, Dir. Favorito for example, recognizes that DPWH needs to develop a more comprehensive HRMD package for the organization and its employees.

### **2. Sustained Buy-in and Executive Sponsorship are Critical**

Without top management support, nothing significant can be achieved as decisions regarding strategic directions, and deployment of employees and resources are made at the top level. There has to be appreciation and support from the top to push and sustain the changes brought about by the HR interventions. Executive buy-in may have already been assumed at the start of the engagement with PAHRDF and the conceptualization stage, but long-term executive sponsorship will take a longer time to generate. Likewise, while there may be individuals

supporting the change initiatives at the start, the sponsorship of organizational champions at different levels will have to be built and sustained over time. It can be very helpful if the organization's structure includes a high ranking champion for HR management and development.

### **3. Workplace Training is an Effective and Relevant Capacity Development Approach**

In DPWH history, things “die” or are neglected once the consultant leaves and employees are left to implement or continue what has been done by the consultant. Thus, DPWH's ASec Asis sees coaching/mentoring as a very good approach to capacity development as internal capacities to do the job are built. Ms. Atenta of NEDA realized that the model is very much applicable and relevant to their agency despite the initial apprehensions especially about the REAP and the challenges in producing the outputs. The group recognized that with the approach, their reliance on consultants to undertake the technical work gave way to the staff learning by doing the needed work to deliver the outputs.

### **4. Capacity Development Needs to be Anchored on the Organization's Development Agenda**

It is important that capacity development is anchored on the organization's development agenda (including its vision, mission, and goals). The identification and planning of HR interventions become more meaningful and relevant if this is based on an objective assessment of the organization's capacity to pursue its agenda.

DepEd appreciates the fact that PAHRDF interventions have been designed to support the agency's Basic Education Sector Reform Agenda. In DBM, the partnership came at a time when the agency was evolving its Rationalization Plan and confronting concerns regarding its recruitment and selection processes in preparation for the implementation of the plan. This is one of the reasons why USec Pascua has been unequivocal in saying that the engagement has been very relevant and useful to the agency's achievement of its objectives.

### **5. Targeting the Right People is a Requisite in the Workplace Training Approach**

Participant selection is very critical in making the Workplace Training Approach work since the training interventions are geared towards producing outputs that will contribute to achieving the organization's development agenda. Thus, training participants should be in a position that is accountable for preparing and/or utilizing the planned outputs. They should also have some amount of readiness to embrace new learning approaches, and commitment to follow through after the classroom sessions and deliver the outputs while they are performing their regular jobs. Based on the experiences of the four agencies, it could be very easy for participants to lose interest and use job demands as an excuse for not putting in the expected time and effort during the coaching and mentoring phase.

## 6. Monitoring and Evaluating Training Interventions is Important

The monitoring and evaluation system that is embedded in the PAHRDF Capacity Development Model is important, especially since this is one of the most neglected elements of HR interventions. Monitoring of outputs and evaluating the acquisition of knowledge and skills are the more simple part of the process, but the impact of the interventions is not easily seen unless a purposive impact evaluation is done. Although long-term outcomes can only be seen over time, it would be good to assess how the interventions could really contribute to improving the performance of the agencies.

### *H. Suggested Enhancements in the PAHRDF Capacity Development Model*

The four agencies agree that the model is relevant and innovative. Given the hindering factors that have been recognized above, the following enhancements are suggested. It can be noted that these suggestions are focused more on the execution rather than the elements of the PAHRDF Capacity Development Model.

#### 1. Executive Sponsorship

- Strengthen the component on creating executive sponsorship and buy-in that is conducted at the onset of the training.
- TSPs should install mechanisms to regularly update the superiors of participants on the status of the HR intervention. This can contribute towards reinforcing sponsorship as the managers become more aware of the progress of the expected outputs and what their staff are pre-occupied with.

#### 2. LTT Program

- It is suggested that the intake of scholars for long-term training be increased. It would be good to have a “group LTT” according to DepEd, where a group of trainees from the agency will be sent to the same field of study.
- In DPWH, there is a strong suggestion by ASec Asis to consider sending trainees to local universities instead of abroad as the education system in Australia is different. Applicability to local conditions is most important, and culture plays a big role in the study. A variation to the current mode would be to conduct the studies locally and benchmark abroad, e.g. have two trimesters locally and conduct the third trimester abroad..
- Since it is important for LTT trainees and their mentors to have a trusting relationship, mentors should be competent and credible. Aside from ensuring careful selection of mentors, training and orientation of mentors on the mentoring process and relationship needs to be strengthened.

### 3. Training Delivery Strategies

- Use the mode of secondment as a training strategy. Consider seconding participants outside of the country for professional enrichment. Critical to this would be the selection of the seconding organization to ensure that learnings that will be acquired are relevant and applicable to back home situations.
- As suggested by DepEd, variations to coaching and mentoring should be incorporated in the training design and delivery (e.g., online mode and group mentoring), to address the time constraint and nuances of the partner organization's culture.

### 4. Linkages for Sustainability

- Across the agencies, there are many opportunities for building support and nurturing the learnings even after the training. DDG Mijares recommends enhancing linkages of partner agencies in order to sustain the gains of the interventions. As examples, he suggested having an official function where the bosses of the different partner organizations are brought together for updating and sharing of lessons learned from the interventions, cross visits during training, and observation tours to let agencies understand the nuances happening in other organizations.

## IV. Conclusions

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### A. *Does the Model Work?*

Feedback from the four large agencies indicates that the PAHRDF Capacity Development Model works. Specifically, the Facility with the use of the model has been able to fill the gap in leadership development and HR management and development in these organizations.

1. Admittedly, the four large agencies have been used to technical assistance projects that provide for consultants who do the work for them. While the novelty of the processes embedded in the model triggered some discomfort and even resistance among some stakeholders, the agencies find the model as relevant, appropriate and applicable.

The model has in a way addressed two common pitfalls in getting consultants to do the job for the organization: 1) technology is not transferred (or only to a limited extent, if at all) to the job performers; and 2) uncertainty as to whether systems that are developed by the consultants will be implemented or institutionalized. As a DPWH respondent put it, things “die” once the consultants leave.

Using the model, the targeted HR units were capacitated in ways that were not attempted before. As the respondents admitted, they have carried out critical HR processes (e.g.,

competency profiling, training needs assessment, competency-based interviewing, etc.) for the first time, with guidance of competent coaches. They have prepared important outputs (e.g., Integrated Performance Management System, HR Information System, etc.) and rolled these out to various units of their organizations.

The provision of leadership training for the agencies' management team is a welcome intervention not only because this could build a cadre of change sponsors; but also because this is another area that has been neglected. Dir. Favorito of DPWH emphasized that leadership training is a weakness of the government sector. He pointed out that even the Career Executive Service Board does not provide leadership training for division chiefs when in fact they perform very important leadership roles. As a NEDA respondent shared, the agency has not embarked on leadership development in the more than three decades that he has been in the agency. The model pushes the classroom-based leadership training further by requiring participants to develop and implement Re-entry Action Plans that will guide the immediate and planned application of learnings.

2. The PAHRDF model provided the agencies a common framework on capacity building that revealed many benefits. Within NEDA and DPWH for example, the officials and employees had a ready model for reference as they discuss HR issues and concerns. Decisions were also easier to make within the context of a common framework.
3. The Facility's slant on HRMD has been very beneficial to the agencies, especially since it is apparent that there has been no purposive effort to advance HRD as an important element of organizational capacity development. While all have personnel services or HR units, the focus have been on performing transactional HR tasks like processing leaves, benefits, and compensation. Though the agencies may actually regard human resource development as important, it can be surmised that its supposed non-urgent nature makes HR easier to "de-prioritize."

The 2004 implementation of the bureaucracy-wide Austerity Program embodied under Administrative Order No. 103 which prohibits the national government, its agencies and instrumentalities from the "conduct of training, seminars, and workshops, except if funded by grants, or if the cost may be recovered through exaction of fees"<sup>3</sup>, further aggravates the situation. This means suspending the already limited budget that has been allocated to training and development so that scarce resources can be channelled towards the implementation of the 10-Point Legacy Agenda of the GMA Administration.

Whatever training programs the agencies have managed to implement despite AO 103 have been carried out on a piece-meal basis and limited scale. These were also not based on an objective assessment of individual or organizational capacity development needs, nor anchored on the agencies' development agenda. The PAHRDF Capacity Development Model has provided the structure for the large agencies to re-visit their development agenda and identify capacity development priorities that have to be addressed to achieve these. The

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<sup>3</sup> [http://www.ops.gov.ph/records/ao\\_no103.htm](http://www.ops.gov.ph/records/ao_no103.htm)

resulting organizational and HR analysis then became the basis for planning HR interventions. Thus, the model in effect has helped the agencies determine the focus of their investments in HR development, i.e., those which can give the greatest returns in terms of supporting their development agenda.

At this point, it can be noted that gains of the four large agencies from the application of the model are still limited to acquisition of learnings by the training cohort and the preparation of outputs that intend to improve organizational performance in the targeted capacity area once implemented. There have also been initial activities to roll out and institutionalize these outputs, but results are yet to be seen. These may be compared to the gains of partner local government units (LGUs) which already indicate positive impact on organizational performance and even on client service. This disparity may be attributed to the following:

1. The LGUs have been engaged by PAHRDF right at the start of the Facility. They have had the chance and time to install systems that they have developed and to utilize these in providing services to both internal and external clients. In comparison, the four large agencies came in much later (i.e., starting 2007) and are still starting to use the outputs that were produced by the training cohort.
2. The scope of PAHRDF partnership with the LGUs has been much wider in terms of capacity areas that have been targeted. So far, the focus of partnership with the four large agencies has mainly been in the capacity area of “People and Organization Development”, particularly in HRMD and leadership development.
3. Because of the length of and scope of engagement of the LGUs with PAHRDF, they have had the opportunity to create a critical mass that understand the need for change, and have actually been involved in the various change initiatives. This has facilitated the implementation of new systems and processes across the organization. This has not yet been the case in the large agencies. Achieving a critical mass will require more time and resources because of the size and context of the NGAs.
4. The differences in decision-making and management processes may also be a factor. In LGUs, decision-making is less contentious as a special order from the local chief executive can quickly put things into motion. On the other hand, it is recognized that large agencies are more prone to turfing issues, which can sometimes get in the way when it comes to deciding on deployment of personnel and resources, or supporting initiatives championed by another unit or officer, for example. A bigger number of stakeholders which can be spread out geographically also have to be consulted. These factors can affect the pacing of interventions.

Additionally, the demands on large agencies are greater and more unpredictable. They have to deal with emerging concerns and needs of the Office of the President, other national government agencies, LGUs and other publics. Operations in the LGUs are largely dictated by the thrust and programs of the incumbent LCE. For example, the Provincial Government of Northern Samar has its *FLESHER* (Food-Livelihood-Education-Shelter-Environment-

Revenue Generation); Bohol has its Ten-point Agenda for 2010. Thus, any program or project that will promote the LCE's agenda is likely to be prioritized and attended to by internal stakeholders.

## **B. What elements of the model work?**

1. The **Workplace Training Approach** and the embedded **Five-Step Step Quality Process** propelled the four agencies to achieve their immediate gains from the partnership. As a result of the organizational and HR analysis, the agencies recognized how HR interventions can be made strategic.

The approach facilitated the acquisition and immediate application of learnings to produce outputs that are intended to improve organizational functioning. The participants clearly benefited from the learning technologies and the coaching/mentoring processes that were utilized by the TSPs. There is discernible pride among the agencies and participants in having produced critical outputs that used to be the domain of technical consultants.

Admittedly, using the Workplace Training Approach was not easy for the agencies and the participants. Participant selection was a struggle for some. Tasking the participants to prepare the outputs was a major paradigm shift for them as they have been accustomed to relying on consultant experts to do the job. The concept of the REAP as a mechanism for institutionalizing change is well-appreciated by everybody. However, it has become a tenuous issue in certain instances because of the anticipated changes in the organization as a result of the government's rationalization program. Organizational and client demands that have to be met while producing the outputs and implementing the REAPs make the application of the Workplace Training Approach even more challenging. Thus, the resistance and adjustments that the participants and their superiors have to make are not entirely unexpected.

While LGUs experience the same challenges when they were starting to embrace the Workplace Training Approach, it would appear that the organizational environment in LGUs has been relatively more flexible and supportive of the approach. For one, the training cohorts in the LGUs (who can be considered as less "training-savvy") have been relatively more eager to participate in the training interventions and undergo coaching and mentoring. In general, the LGUs have also been more appreciative of the PAHRDF engagement and approach as compared to the large agencies, owing perhaps to the limited attention that they have been getting from donor agencies, as compared to the large agencies.

2. The **highly participative processes** in which the PAHRDF Capacity Development Model is executed works well for the four large agencies. The early involvement of key stakeholders in the engagement process props up the stage for creating buy-in and sponsorship. Top executives and managers participated in re-visiting the agencies' development agenda,



clarifying their strategic directions, and identifying capacity gaps. Representatives of partner organizations were also involved in determining and planning HR interventions as opposed to the consultant-driven mode of prescribing solutions to close the gaps. These promoted a sense of ownership among the agencies and contributed to greater acceptance of the HR interventions. Learning sessions both during the residential and coaching phases were likewise highly participative. An added positive consequence of these highly participative processes is the development of confidence of the agencies and individual participants to perform functions in a manner that they have never attempted to do in the past.

3. The ***flexibility of the execution of the model*** in terms of entry points for capacity development has helped create buy-in among the partners. Although HRMD strengthening is a priority entry point for PAHRDF interventions, the shift to leadership development in DPWH and DepEd underscored the model’s adaptability and responsiveness to what is immediately needed by the organization to pursue its development agenda.
4. The ***effective and efficient Facility management*** of the engagement with the four agencies, through its competent HR Advisers, made the model work. The installed feedback mechanisms likewise provided opportunities for immediate action to be taken in response to concerns raised by the agencies, especially during implementation. Managing partnerships with large agencies is more challenging because of the size of the organizations, and the context in which they operate. Coordination and communication work is not as clear-cut as what is required when dealing with LGUs which have less organizational layers. Large agencies can also be more sensitive when it comes to protocols. Thus, Facility management as an enabling mechanism has been crucial in achieving the partnerships’ objectives with the four large agencies.

### ***C. Under what particular circumstances does the model work?***

While the large agencies agree that the PAHRDF Capacity Development Model works for them, they also recognize that conditions and circumstances that can promote the effective application of the model were not readily or consistently present. The organizations in general and the change champions in particular have to exert more effort and at times “struggle” to pursue the partnership. Based on the experiences of the four agencies, the model works best under the following circumstances:

#### **1. Strong Multi-layered Sponsorship**

- The support and sponsorship of a senior official who will champion capacity development as an organizational imperative, rather than a series of isolated training events is critical in making the PAHRDF model work. But more than just top executive sponsorship, the Workplace Training Approach also requires multi-layered commitment and support from the agencies’ management team. This will ensure that the time and effort that needs to be invested into producing the outputs will be considered part of “regular” work (especially

since the outputs are intended to directly support the agencies' change agenda anyway), rather than an add-on that can be easily sidelined.

- For large agencies, it is doubly important that the change champion is acceptable and credible to different stakeholders because of the sheer size of their structure and the political nuances that go with it. For example, the NEDA respondents recognized that the progress of PAHRDF interventions in their agency has been affected by turfing among officers and units, especially since the HR contact person is not that acceptable to others. Additionally a change champion who has access to top decision makers is a key facilitating factor. In the case of DPWH, the HR contact person, aside from being acceptable to different quarters, also sits in the management committee.

## **2. Readiness of the Organization and the Participants to Embrace Change**

- The Workplace Training Approach which is the heart of the PAHRDF Capacity Development Model departs from the usual training delivery mode that most are accustomed to. The approach demands more than the mandatory expression of support, and the financial counterpart and person-hours that the organization can commit to the partnership. It requires mental re-framing at the organization and individual levels, as both have to be very active participants and doers when planning and implementing learning interventions, instead of just being passive recipients of inputs from resource persons and consultants.
- In the experience of the large agencies, there had been resistance to the re-entry action planning requirement basically because people were not ready for this. Aside from having been used to consultants doing the work for them, some did not anticipate the amount of work that they have to do after the classroom training. The more senior participants of DPWH do not see the value of the REAP; it was even suggested that the REAP is applicable only for long-term training but not for short-term training programs. Even rolling out newly developed systems can be more arduous. A case in point: Although NEDA's regional offices welcomed the new Integrated Performance Management System, people in the central office are not yet keen on embracing it and are not yet willing to invest in the project since they think that PMS is not their core function.

## **3. Selection of "best-fit" training cohort and "best-fit" TSP**

- The Workplace Training Approach works best when the training cohort is composed of individuals who own the responsibility and accountability for producing and utilizing the training outputs, and who possess the ability to learn or broaden their knowledge (i.e., the "will do" and "can do" dimensions). Thus, the selection of the most appropriate cohort is a vital task. Admittedly, there were still some difficulties in selecting the right people for training although there is a selection process. NEDA for example recognizes that there were still trainees who were not supposed to be nominated.

- The TSPs are the main conduit for the execution of the model’s Workplace Training Approach. TSPs that have a good understanding of the context and needs of the agency, and are able to match the learning requirements and styles of the training cohorts are a necessary condition in making the model work. Just as the approach requires mental re-framing on the part of the partner agencies, the same is required of TSPs. They need to be more facilitators of learning rather than the proverbial “fountain of knowledge” to ensure that that technologies are transferred and competencies of training cohort developed once they leave the clients.

## V. Recommendations

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The PAHRDF Capacity Development Model has yielded significant gains when applied to LGUs and bureaus. The Facility’s experience in applying the model to four large national government agencies indicates that it is as relevant and useful to large organizations. The following recommendations are forwarded to further strengthen the model’s value when “up-scaled” to NGAs:

1. There is a strong need to influence a paradigm shift in the way the large agencies regard capacity development. It is unfortunate that the low priority given to HR and OD is reinforced by the national government whenever it issues orders to “de-prioritize” training and development when government spending needs to be curbed. The roles of the CSC as and DBM central agencies in improving management effectiveness and productivity should be leveraged by the Facility. Having seen the value of having a capacity development model that will guide investments in this area, both agencies can work together in advocating the adoption of the PAHRDF Capacity Development Model or its modified versions across the bureaucracy.

While CSC has been upgrading the competencies of individual HRMOs, the Commission can work with PAHRDF in capacitating agencies to develop their own capacity development model so that HRMOs can contribute even more meaningfully in advancing their organization’s change agenda. CSC can also play a more influential and strategic role in the government’s capacity development efforts by being represented in the Facility’s Board.

PAHRDF can also find ways to support the Organizational Performance Indicator Framework (OPIF) that is being carried out by DBM so that agencies can derive optimum benefit from the interventions. One way of doing this is aligning the REAPs of training participants with the OPIF log frame of the agencies.

2. The NEDA which has an oversight role over all foreign assisted programs can consider integrating a capacity development model in foreign assisted programs. As revealed in the

study, the DPWH has been a recipient of a foreign grant for nine years and such program did not have provisions for capacity building interventions.

3. For DBM and NEDA, the HR/Personnel offices are the major targets and focus for the partnership; and rightly so. The agencies will have to pursue the initial gains from the partnership and continue to capacitate and empower their HR offices to play a strategic role in the organization. Again, the DBM and CSC can play an important role in seeing to it that a fully functional HRMD office is in place in all large agencies.

Nonetheless, consideration should also be made in realigning the major target for the partnership to ensure more successful capability building for large agencies. Other entry points that will provide opportunities for higher and broader engagement should be explored as necessary. An example would be the implementation of leadership programs at the DPWH and DepEd as entry points for the partnership.

For the time being that HR offices may not have the clout and influence to effectively manage organizational reforms, it may also be worthwhile to provide parallel focus on organizational units which are directly involved in the reform programs of the agency. For example, in the case of the DPWH which needs to overhaul and modernize its perspectives and practices for undertaking public works, the entry point for intervention can be with the units that are and should be in the forefront of the reforms. However, in the long run, there should be an HR structure with competent warm bodies that will anticipate, plan, develop, manage and evaluate the agencies' capacity development program.

4. The realities, nuances and uniqueness of culture in each of the large agencies would have to be carefully factored in during the preparation stage of engagement with PAHRDF. This may mean conducting a more in-depth analysis that can include "diagnosing" organizational dynamics, leadership styles, power bases, and other factors that can derail or promote the partnership. Having an organizational audit before work commence will significantly influence the design and execution of PAHRDF interventions. Moreover, this will allow TSPs to be more proactive in managing potential constraints instead of "competing" with organizational realities.

In relation to this, PAHRDF may have to include a Risk Management Plan that is prepared with partner organizations as part of its groundwork when engaging large agencies to anticipate and prepare for emerging conditions that can derail the engagement.

5. Large agencies require longer preparation time in terms of achieving readiness for the PAHRDF capacity development approach. Top management nod may be the easiest to get, but getting multi-layered support will require more time and intervention. Involving as many stakeholders during the organizational profiling stage is helpful. Identifying a PAHRDF contact person that is acceptable and credible to different stakeholders and have access to top decision makers is also critical.

Changing the nomenclature of the activity components may also be helpful. Instead of calling the orientation and preparation component as “Component 0”, it may be worthwhile to call it “Component 1” to signal the start of the activity. There may also be a need to engage in activities that will facilitate shifts in paradigm regarding training and development, in general, and workplace training, in particular.

During actual implementation, setting up a mechanism for regular feedback discussions between the TSP and the key stakeholders of a particular HR activity (including the superiors of the training cohort) can further help more people “hook” into the activity.

6. PAHRDF may need to revisit its criteria and process for TSP selection, particularly in terms of accepting nominated resource persons or facilitators for major and very critical learning areas. If necessary, this may involve targeted interviewing and thorough reference checking just to ensure that the nominated person can deliver what is captured in the submitted curriculum vitae.
7. It may be good to look at alternative modes of training delivery. Considering other options may help to address the organizations’ concern over availability of participants to attend training (that includes coaching and mentoring) for long periods of time. Some suggestions made include on-line courses and attendance to local universities.

## **Organizational Profiles**

### **1. Department of Budget and Management (DBM) <sup>1</sup>**

#### *Mandate:*

Pursuant to Executive Order No. 292, the Department of Budget and Management (DBM) shall be responsible for the (1) formulation and implementation of the National Budget with the goal of attaining national socioeconomic plans and objectives and (2) efficient and sound utilization of government funds and revenues to effectively achieve the country's development objectives.

#### *Vision and Mission:*

The DBM aspires to be the premier economic and financial manager of government expenditures that is responsive to national development needs. As such it will lead effective public expenditure management which shall be manifested in:

- Effective translation of the country's development priorities into sectoral and functional budgetary allocations;
- Efficient, effective and responsive government agencies putting public resources to their most productive and beneficial uses and for the common good; and
- Transparency and accountability in public spending

#### *Strategic Objectives:*

- Ensure fiscal discipline by providing Government realistic and strategic information on the levels, allocations and composition of the budget at the agency and for the Government as a whole.
- Ensure effective resource allocation to allow equitable allocation of Government expenditures in creating a robust, well-oiled economy and in meeting basic social services, strategic infrastructure and other development projects as well.
- Ensure efficient government operations by embedding the necessary organizational and systems reforms such as results-based budgeting; user-friendly budget and expenditure reports; other operational, performance monitoring and evaluation systems; and the completion of the Rationalization Program.

#### *Business Profile:*

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<sup>1</sup> Source: DBM Institution Profile (Program Year 2009-2010)

The overall management and administration of the Department is vested in the Office of the Secretary, assisted by three (3) Undersecretaries and four (4) Assistant Secretaries in the formulation and implementation of policies, plans and programs for implementation of the functional groups of the Department. Twenty nine (29) Directors IV comprises middle management; they run the day-to-day operations of the Department. Frontline supervision is provided by ninety five (95) division chiefs.

*Baseline Capacity Assessment:*

*Prior to firming up the partnership with DBM, PAHRDF facilitated a baseline analysis of the agency's internal processes and staff competencies to determine its capacity to pursue its strategic directions and planned change agenda. The output of the analysis was envisioned to guide the Facility in determining the possible PAHRDF HR solutions for DBM.*

*The analysis focused on the three Capacity Areas, namely: 1) Administrative Governance; 2) People and Organization Development; and 3) Service Delivery, and the five Sustainability Attributes; i.e., Competencies; Accountability and Ownership; Consistency of Practice; Assessment and Continuous Improvement; and Executive Sponsorship.*

In Administrative Governance, specific capacity areas of Planning and Policy, Project Development, Administrative Procedures and Systems, and Information and Communications Technology Management were assessed to be either minimally or partially present. Planning and Policy seems to be most neglected, as all Sustainability Attributes were observed to be minimally present. It was noted that no organic office performs this function; and while the directorate has been conducting planning activities as initiated by the secretary, efforts are not sustained. There is no systematic process nor are there planning guidelines that could support regularity and consistency of practice. Responsibilities have not been identified to ensure that plans are pursued. It was nonetheless reported that competencies in this area are being developed through the assistance of the Philippines-Australia Partnership for Economic Governance Reforms (PEGR).

Similarly, specific capacity areas in People and Organization Development were minimally or partially present. There had been no purposive and agency-wide initiatives related to succession planning, and leadership and team development. Effective HR processes and services were focused on personnel records management, compensation and benefits, and policy formulation and implementation. There was a felt need to strengthen other HR processes like grievance machinery and performance monitoring, and develop competencies in HR planning/forecasting, and training management. No dedicated unit has been assessing the training and development needs of people, and designing and implementing appropriate interventions to address these.

Under Service Delivery, Sustainability Attributes related to Partnership Building were seen as partially to largely present. There are partnership arrangements with other oversight

agencies. There are regular meetings, workshops and seminars with client agencies when mainstreaming budget reforms. Management is supportive of participative relationships with stakeholders. DBM's shift in role toward being a "development partner and adviser to line departments and agencies" has been articulated in the corporate plan. There is still a need to strengthen this though, including building the competency of staff, especially at the rank and file level, to perform this role. The contribution of DBM staff in influencing the policy direction of agencies and GOCCs needs strengthening (i.e., through more policy-oriented interactions with agencies, donors and other stakeholders). Also noted was the need to build and strengthen partnerships with Congress, Career Executive Officers (CEOs) and the public

Assessed more favourably is the specific capacity area of Service Delivery Procedures and Systems. The five Sustainability Attributes were seen to be largely present. There are competent people performing basic budget services; foreign and local scholarships are being provided to technical staff. The Senior Officials Council, the Central Office Directorate and the Regional Directors meet regularly to discuss policy and process changes. Management has been driving reforms in the services through approval of changes in budget policies and guidelines. There was an acknowledged need to improve though on several areas; e.g., Budget and Management Policy Services; Agency Budget and Management Services; Performance Monitoring and Evaluation Services; and ICT support for budget processes. It was also considered important to institutionalize an internal audit system.

## **2. *Department of Education***<sup>2</sup>

The Department of Education (DepEd) draws its mandate from the constitutional provision that enshrines the paramount goal of the State to provide education as a basic right of every individual. Over the years, the mandate of the DepED evolved from being the principal government institution charged with matters pertaining to Philippine education and overall manpower of development, including culture, arts and sports into what it now currently concentrates on, which is basic education. In the Philippines, basic education includes: early childhood education; elementary and secondary schooling; and non-formal and informal learning systems.

### *Vision:*

We are people organization committed to a culture of excellence in public service. Believing that the most important resource of our country is its people, we make the task of educating the Filipino child our singular mission.

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<sup>2</sup> Sources: DepEd Institution Profile (Program Year 2009-2010) and [http://www.deped.gov.ph/about\\_deped/vision\\_mission.asp](http://www.deped.gov.ph/about_deped/vision_mission.asp)



We assist the Filipino child to discover his/her full potential in a child-centred and value-driven teaching-learning environment and thereby, enable him/her to create his/her own destiny in global community. We prepare him/her to become a responsible citizen and an enlightened leader who loves his/her country and is proud to be a Filipino.

We provide a school system...

Where teachers and principals achieve the desired learning outcome not only because they are empowered, competent and accountable, but because they care;

Where administrator exercise visionary leadership responsive to emerging learning needs of the nation; ensure adequate resources; promote appropriate technology; create and sustain a conducive climate to enhance learning; and

Where the family, the community and other institutions actively support our efforts.

We affirm the right of every Filipino child especially the less advantaged to benefit from such a system.

This is our vision. With God's help, we dedicate all our talents and energies to its realization.

*Mission:*

To provide quality basic education that is equitably accessible to all to lay the foundation for lifelong learning and service for the common good.

*Management Structure:*

To carry out its mandate and objectives, the Department is organized into two major structural components. The Central Office maintains the overall administration of basic education at the national level. The Field Offices are responsible for the regional and local coordination and administration of the Department's mandate.

At present, the Department operates with four Undersecretaries in the areas of: Programs and Projects; Regional Operations; Finance and Administration; and Legal Affairs; and four Assistant Secretaries in the areas of: Programs and Projects; Planning and Development; Budget and Financial Affairs; and Legal Affairs.

Backstopping the Office of the Secretary at the Central Office are the different services, bureaus and centres. The five services are the Administrative Service, Financial and Management Service, Human Resource Development Service, Planning Service, and Technical Service. Three staff bureaus provide assistance in formulating policies, standards, and programs related to curriculum and staff development. These are the Bureau of Elementary Education, Bureau of Secondary Education, and the Bureau of Non-formal Education.

Six centres or units attached to the Department provide technical and administrative support towards the realization of the Department's vision. These are the National Education Testing and Research Center, Health and Nutrition Center, National Educators Academy of the Philippines, Educational Development Projects Implementing Task Force, National Science Teaching Instrumentation Center, and Instructional Materials Council Secretariat. Additionally, there are four special offices under OSEC: the Adopt-a-School Program Secretariat, Center for Students and Co-curricular Affairs, Educational Technology Unit, and the Task Force Engineering Assessment and Monitoring.

### *Specific Development Concerns*

The DepED provides the core service of equipping every Filipino with basic education competencies regardless of socio-economic status, creed, cultural and political affiliations useful for life-long learning. As it lays the foundation for future learning and mastery for every Filipino, the Department confronts great challenge in:

1. Ensuring universal participation of children in preschool and elementary levels and increasing access to secondary education;
2. Sustaining school attendance for those already in school and avoiding drop outs due to various reasons; and
3. Increasing learning proficiency across all subject areas, particularly on English proficiency.

To address the above, the Department is pursuing the Basic Education Sector Reform Agenda (BESRA) for the period 2006-2010. BESRA aims to:

1. Get all schools to continuously improve via intensified implementation of school improvement planning as a component of school-based management;
2. Enable teachers to further enhance their contribution to learning outcomes through the implementation of the National Competency-Based Teacher Standards;
3. Increase social support to the attainment of desired learning outcomes through the development of quality assurance and accountability framework for each learning area;
4. Improve the impact on outcomes from complementary Early Childhood Education, Alternative Learning Systems, and private sector participation through strengthened public-private partnership; and
5. Change the institutional culture of the DepED to better support items 1-4 (above) through performance-based governance, tighter monitoring and reporting of results, and a more transparent manner of operating.

Five (5) Technical Working Groups have been mobilized since FY 2006 to review existing policies, standards and procedures that will accelerate the attainment of BESRA goals and objectives.

### **3. Department of Public Works and Highways<sup>3</sup>**

#### *Mandate*

The DPWH is mandated to implement the policy of the state to continuously develop technology for ensuring the safety of all infrastructure facilities and securing for all public works and highways the highest efficiency and the most appropriate quality of construction. As the primary engineering and construction arm of the government, the DPWH is responsible for the planning, design, construction, and maintenance of national highways, major flood control systems, and other public works.

#### *Vision*

DPWH is a model agency in government, improving the life of every Filipino through quality infrastructure.

#### *Mission*

To provide and manage quality infrastructure facilities and services responsive to the needs of the Filipino People in the pursuit of national development objectives.

#### *Goals*

The DPWH paramount goal is to develop a highway system that at the lowest user costs in a time-bound framework transport people and goods between major market and production centers. Its objectives reflect this goal in terms of providing high quality paved roads, with safe and environmental-friendly features.

#### *Business Profile*

The DPWH consists of the Department proper which is composed of the Office of the Secretary, Offices of the Undersecretaries and Assistant Secretaries, and six (6) Services namely: Administrative and Manpower Management Service, Comptrollership and Financial Management Service, Internal Audit Service, Legal Service, Monitoring and Information Service, and Planning Service. These Services are headed by Service Directors (Director III).

The DPWH has five (5) Staff Bureaus which are headed by Bureau Directors (Director IV); to wit: Bureau of Design, Bureau of Construction, Bureau of Maintenance, Bureau of Equipment, and Bureau of Research and Standards.

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<sup>3</sup> Source: DPWH Institution Profile (Program Year 2009-2010)

Project implementation is decentralized and discharged by the 16 Regional Offices headed by Regional Directors. Under them are 16 Regional Equipment Services and 174 District and Sub-District Engineering Offices. There are also 24 Project Management Offices, supervised by a pool of Project Managers, implementing both local and foreign assisted projects.

The DPWH also exercises administrative supervision over 4 agencies namely: Metropolitan Water Sewerage System, Local Water Utilities Administration, Road Board, and Philippine Reclamation Authority.

The DPWH focuses the implementation of its concerned programs and projects in support of the ten-point agenda of the government, among which are the following:

1. Transportation and digital infrastructure ( Road component of the Nautical Highway System)
2. Decongesting Metro Manila ( Expressways and other major road projects)
3. Electricity and water for all ( President's priority program on Water)
4. Creation of jobs ( Opportunities to create 6 to 10 million jobs through public construction and maintenance )
5. Terminating Hostilities ( Mindanao Road National Initiative)

*HRD Issues:*

The Department recognizes that there are certain HRD issues that need to be addressed to support the achievement of its objectives. These include:

1. Enhancing and upgrading the capacity of employees who perform HRD functions (particularly in determining training needs of employees, preparation of training plan, aligning it with the strategic goals of the agency, and monitoring and evaluation).
2. Strengthening the pool of in-house trainers and resource persons who implement technical and non-technical training.
3. Enhancing the Department's performance appraisal system, and educating the employees on its mechanics and processes.
4. Improving the motivation of personnel and creating greater accountability for work.
5. Strengthening the implementation of the Department's Integrity Development Program.
6. Developing project management capability in the regions, coaching and mentoring skills of managers and supervisors, written communication skills of some technical personnel, and IT capability of employees.
7. Enhancing the capacity in monitoring the strategic and operations plans that are now being formulated at various levels of the department, i.e., bureau, service, regional, district and division.

The Department also has to find ways to manage the impact of certain government policies that affect its HR management and development. For example, the implementation of HRD programs is adversely affected by Administrative Order No. 103 on Austerity Measures. Approval from the DBM is needed prior to conduct of training and other capacity building programs. The impending implementation of the Rationalization Program of the Department has a great implication on qualification standards and position classification, and the operationalization of the Personnel Information System.

#### **4. *National Economic Development Authority*<sup>4</sup>**

The National Economic and Development Authority is the country's highest socio-economic development planning and policy coordinating body. It commits to continuously identify, deliver and improve poverty alleviation mechanism and programs of the government, to assert and implement sustainable development and to realize productivity and performance in highly competitive international markets.

##### *Mission:*

As members of the NEDA family and of this nation,  
We are committed to uphold the Constitution  
And the ideals of a nation united.

Ours is the task to formulate development plans  
And ensure that plan implementation  
Achieves the goals of national development.

In the performance of our mandate,  
We shall be guided by the principles  
Of private initiative and devolution of powers  
That greater people participation in the  
Development process may be achieved.

Guided by our faith in God and an inspired leadership,  
Our hallmarks as a development institution  
Shall be founded on unity and solidarity  
And on the integrity, professionalism and  
Excellence of each and every staff.

We shall be transparent in all our actions  
And continue to adhere to the highest

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<sup>4</sup>Sources: NEDA Institution Profile (Program Year 2009-2010) and <http://www.neda.gov.ph/about.asp>

Tenets of public ethics.  
For ours is a caring agency responsive  
To the needs of every member,  
While working for the welfare of all.

*Business Profile:*

The NEDA Board is the governing body that sets major development policy directions for the Philippines. It is composed of the President (as the Chair), the Socioeconomic Planning Secretary as Vice Chair, and designated department secretaries as members. Assisting the NEDA Board are five Cabinet-level inter-agency committees:

- Development Budget Coordinating Committee
- Infrastructure Committee
- Social Development Committee;
- Investment Coordinating Committee; and
- Committee on Tariffs and Related Matters.

The NEDA Secretariat, headed by the Socio-economic Planning Secretary, coordinates the formulation of medium and long-term socio-economic development plans; monitors approved national, sectoral and regional development plans, programs and projects; programs allocation of resources, particularly Build-Operate-Transfer and Official Development Assistance resources; and promotes and applies market mechanisms to rationalize economic incentives and rents. In the Philippines, endemic poverty remains a major problem with a 30% of citizens living below the poverty threshold.

*Baseline Capacity Assessment:*

*Prior to firming up the partnership with NEDA, PAHRDF facilitated a baseline analysis of the agency's internal processes and staff competencies to determine its capacity to pursue its strategic directions and planned change agenda. The output of the analysis was envisioned to guide the Facility in determining the possible PAHRDF HR solutions for NEDA.*

*The analysis focused on the three Capacity Areas, namely: 1) Administrative Governance; 2) People and Organization Development; and 3) Service Delivery, and the five Sustainability Attributes; i.e., Competencies; Accountability and Ownership; Consistency of Practice; Assessment and Continuous Improvement; and Executive Sponsorship.*

In Administrative Governance, Sustainability Attributes for Planning and Policy, Project Development, and Information and Communications Technology were mostly evaluated as minimally or partially present. It was noted that people in the Internal Planning and Evaluation Division (IPED) need to develop competencies in strategic and operations planning. In the area of budgeting, the IPED staff still lack skills on: linking budget resources to physical plans; costing of major Final Outputs; and determining the criteria/formula for

resource allocation for various agency programs. Relative to monitoring and evaluation, the IPED staff still lack the capability to conduct a proper assessment/evaluation of agency work programs vis-à-vis targets, determine the performance impact and recommend corrective measures. While people involved in project evaluation are highly proficient in the economic and financial analyses aspects, trainings on “Value Engineering” need to be put in place to further strengthen the staff’s competency. Minimally present are in-house competencies in ICT planning, ICT policies and standards formulation, and ICT development. Sustainability Attributes in Administrative Service Procedures and Systems are largely present. There is an existing Financial Management Information System (FMIS) being used by the Financial and Accounting Services, and there is an existing Procurement System that is linked with the Government Electronic Procurement System, based on RA 9184.

Competencies in People and Organization Development are minimally present. There is no structure or system for leadership and team development. The last team building initiative for top level executives was in 1998 yet, and the supervisory training that was provided for supervisory and middle management positions as required by the Civil Service Commission has been discontinued because of AO186 (Austerity Measures). There is no succession plan and the skills to do it; there is no pool of next-in-line employees who are ready to take on managerial posts. The existing HRD Framework has not been updated since 1991. No formal training needs analysis has been conducted in the organization. There is a need to develop skills in developing and implementing a competency-based HRD Plan and Performance Management System (PMS). Knowledge and skills on change management and organization design likewise need to be developed.



**Australian Government**  
**AusAID**

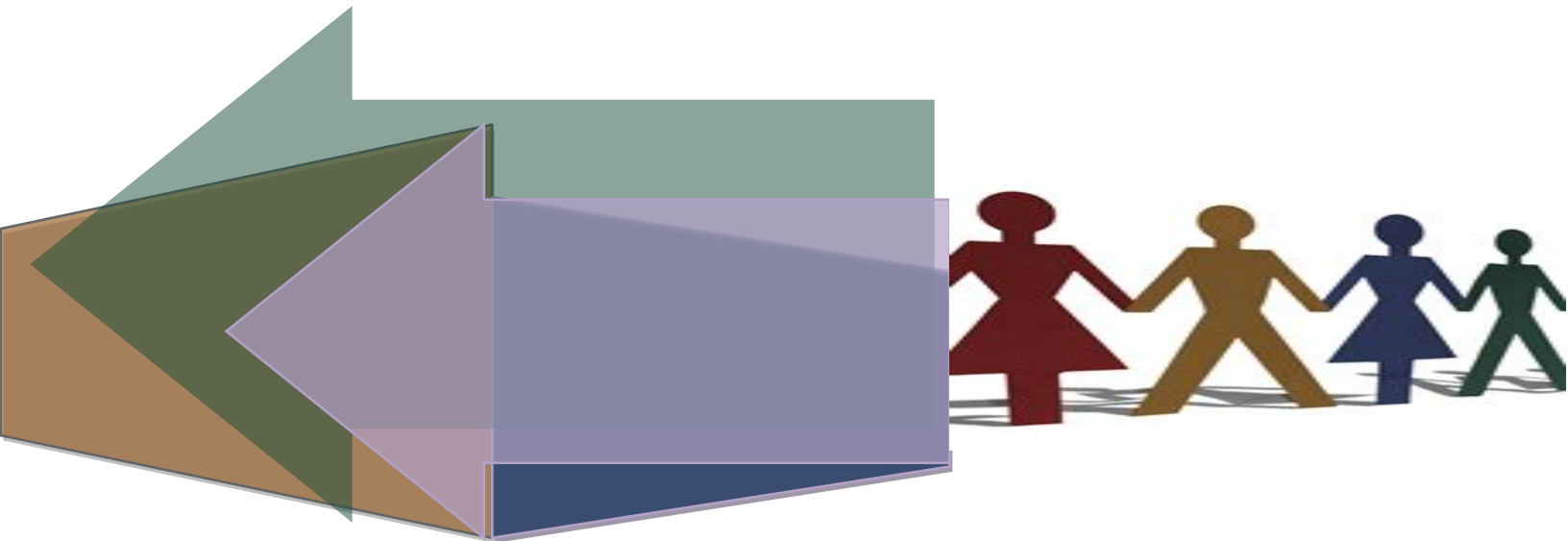
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*The PAHRDF Capacity Development Model and its  
Applicability across Various Types of Institutions*

## ***Compilation of Data Gathering Reports for Large Institutions***

July 2009





## Department of Budget and Management

Date and Time	01June 2009; 9:00 AM – 12:00 PM
Venue	Office of the Director, Administrative Service, Mabini Hall
Present	<ol style="list-style-type: none"><li>1. Glo Lauzon, Director for Administrative Service</li><li>2. Lolita 'Beth' Matias, , Chief, Administrative Officer (LTT Scholar)</li><li>3. Myrna Chua, Administrative Officer</li><li>4. Cora Garcia, Director, Organization and Position Classification Bureau</li></ol>

### I. PAHRDF Framework

#### Respondents' Appreciation and Understanding of the Framework

- The goal of PARHDF is geared towards service delivery to clients but the people performing the process are the ones trained. It started with PAHRDF asking DBM its change agenda, after which the DBM identified gaps and areas for enhancement. PAHRDF then came in to identify possible solutions that will enhance individual capacities thus improving service delivery.
- The group agreed that the presentation of the model is clear, though the illustration does not depict the three elements of e-Business, Facility Management and Mand E as support processes of the facility.

#### Respondents' experiences with regards execution and operationalization of the framework

- At the start there is a need to introduce proposed PAHRDF projects for executive sponsorship and to secure buy-in to ensure success of the training intervention.

### II. Defining and Outstanding Features of the PAHRDF Model

#### Strategic and Targeted

- PAHRDF has a very strategic approach (aligned with the needs of the organization). Participants' involvement is very rewarding for both local and foreign trainees. (In terms of acquiring new competencies; e.g., TNA, course design).
- Identifying competency gaps as part of the HR analysis (prior to developing interventions) is one good feature of the model.

#### Workplace Training Approach and Process

- People are trained exactly on what they are supposed to do. There is an action plan to pursue and opportunities to apply the learnings.
- One unique feature of the PARHDF model is that assistance does not end in classroom training. It continues several months after for the development of the REAP, through continuous coaching and mentoring. The coaches go to the workplace and/or call regularly, and they assist in uploading the REAP.
- There is continuous support (more than M and E) given by the Facility to ensure that learnings are applied in the workplace. PAHRDF would also ask the progress of the REAP after six months and do close monitoring.

### **III. Strengths of the Model**

- The group appreciated the value of targeted selection of participants and alignment of the interventions with the agenda of DBM. This alignment helped them identify competencies they need to improve on, and meet the requirements of making the strategic shift from being transactional to providing deeper analysis and evaluation of agency budgets.
- Contracting to training service providers is an effective approach. In general they find the TSPs acceptable/satisfactory. (In one instance, the TSP even called a reluctant participant when it learned of the indecisiveness to attend the training.)

### **IV. Tangible Gains**

- Total staff trained: 80 personnel in leadership, 15 personnel in HRD, four LTT (one staff on HR, two for policy, and one in financial management), about 15 in RSPI. There is a total of 110 people trained.

- Competencies gained: The group was happy to note that they learned and had an idea of how training evolved, and they became familiar with the training cycle, knowledge of TNA, course designing and competency profiling.
- For Dir. Lauzon, the leadership training heightened awareness of their roles, resulting to alignment of personnel and organizational goals. She felt that the training will help them perform their roles as leaders/pillars, as the future of DBM rests on their shoulders.
- Ms. Matias believes outcomes will be seen over time. The sustainability aspect comes in after equipping the staff, but continuous support and executive sponsorship should also be present for sustainability to happen. Management should realize the value of consistency of practice in ensuring sustainability of gains from the intervention.
- When they started the RSPI (recruitment, selection, placement and induction) project they went into competency profiling, and identifying competencies unique to the position. They acknowledged that competency-based profiling is the current trend in Australia.
- Before the intervention, HR personnel did not know how to conduct training, how to do TNA, program designing, and manage the actual conduct of training. With the PAHRDF project, they did hands-on TNA with the help of the service provider, and had the opportunity to present the outputs for critiquing. They were also asked to design a course based on the results of the TNA, run and evaluate the training course.
- In the past, training of DBM employees is not aligned with what the staff is supposed to do; this has changed with the PAHRD engagement.

## V. Facilitating Factors

- USec Laura Pascua was very appreciative of the project and gave her full support.
  - Office orders were prepared to enjoin the participants to attend the training.
  - Counterpart funding was provided in the form of time and resources.
- The regional offices agreed to shoulder the travel expenses of regional office participants, indicating their support and interest.
- The REAPs were presented to senior officials and given the go signal. They were also given some assurance of support.
- As to the ease or difficulty in inviting participants, the interviewees said that they communicate constantly by using 'spark' (their intranet), which is similar to yahoo



messenger. An incident they cited: There were two participants from the regions who were not able to attend the sessions but they were regularly informed of what is happening. They have open communication lines because of the e-budget. Sufficient communication helped a lot for the participants.

- MMLDC has a good approach (training and coaching) and has established good relationship with the participants.

## VI. Hindering Factors

- Even at the planning stage, time and resources compete with other priorities of the organization. The HR team had to 'sell' the project to other stakeholders and give part of their time without sacrificing the mandate of the agency.
- Work in DBM is non-programmable as it is demand driven. DBM is on the reactive side and it cannot set aside work to be regularly done as it is responding to the external agencies and demands from the internal management.
- Participants were not able to sustain the project tasks assigned because of other work commitments. The projects competed with their time particularly during budget preparation period. Dir. Lauzon believed that DBM assistance to other agencies in developing their rationalization plan was a hindering factor. The staffs made it as an excuse and it dampened their interest in the project.
- The DBM gave up two training slots, one STT and LTT because Personnel experienced difficulty in the selection, and could not identify participants. Dir. Garcia explained the two slots were given up because there was no definiteness of assignment of personnel as there were changes in assignment during the selection period. There was a time that the DBM structure was fluid, and staffs were detailed to other offices within the agency. The Personnel Division had few staff during the time of selection and priorities were different then. Time element was also a constraint since they were not given enough time to select participants. They were given a short response time (less than a month lead time).
- Buy-in among members of the directorate was not enough even when the program was discussed with the directorate and senior officials to ask for their support.
- The role of the TSP is very important. In the RSPI project, classroom approach was used by the coach and was not sensitive to the environment and needs of the trainees.

## **VII. Insights and Learnings from the Application of Capacity Development Framework in the Institution**

- Going strategic means there is a need to go beyond transactional operations of DBM. This further means influencing the incorporation of HRD function in every agency. This also includes identifying and attending to the other the needs of government employees, aside from compensation.
- Leadership development is very important to prepare and enhance the capacity of the new crop of leaders that will replace key people who will leave the agency with the implementation of the rationalization plan. Leadership and HR programs should also be in place to make the work of senior and middle managers more meaningful so they will stay in the department rather than look for greener pastures.
- There is a need to strengthen the HR group so it can be the core group for internal HR development. (Training Information Service or TIS will handle external training.)
- The group agreed that it is easier to create buy-in if the people concerned have an appreciation of the project.
- To sustain the intervention, there is need to target the right people.
- Without top management support, nothing will happen.

## **VIII. Enhancements and Suggested Next Steps**

- Provide more time to select participants. There have been instances when the same participants were selected to attend different training programs, because they are the only ones who were available.
- The group strongly believed it is important to have rapport and friendly relationship between the trainee and the mentor. It should be ensured that mentors are properly oriented/trained on the mentoring process.

### Notable Incidents

- The HR Contact, Dir. Glo Lauzon provided a copy of the letter to USec Laura Pascua's secretary for her information. This made USec Pascua aware of the activity.
- It was difficult getting in touch with USec Pascua. Until the day of the interview the project team was not able to get in touch with her. Nonetheless, Commissioner May Fernandez was able to talk with her separately.
- The interviewees were accommodating and treated the project team to snacks and lunch.
- The interviewees were open in sharing their experiences, insights and learnings.
- In sharing their experiences and insights, the group focused more on the problems confronting DBM and did not give much emphasis on the limitations and features of the model.

## Department of Public Works and Highways

Date and Time	03 June 2009; 9:00 AM – 12:00 PM
Venue	Office of the Assistant Secretary Raul Asis
Present	<ol style="list-style-type: none"><li>1. Raul C. Asis, Assistant Secretary</li><li>2. Burt B. Favorito, Director III (HR Contact)</li><li>3. Alma M. Lim, OIC-Training Division, AMMS</li><li>4. Rosalinda J. Juria, OIC-HR Planning Division</li><li>5. Jesette C. Campomanes, HR Management Assistant</li><li>6. Ricardo P. Estrera, OIC-Training Program Implementation Section</li><li>7. Geronimo S. Alonzo, Project Manager III</li><li>8. Ma. Rowena R. Pacubas, OIC-Personnel Division, AMMS</li></ol>

### I. PAHRDF Framework

#### Respondents' Appreciation and Understanding of the Framework

- Dir. Burt Favorito: Everything is in the model. It captures the development agenda and internal change agenda. It shows how increased capacities of individuals and the organization can translate to improved service delivery. The DPWH-PAHRDF engagement is more focused on people and organization development.

#### Respondents' experiences with regards execution and understanding of the framework

- The agency went through the process of defining the capacity level of DPWH, after which STTs and LTTs were identified. All directors in the central office joined the consultation workshop where it was agreed that the focus areas would be in operations planning and strategic planning.
- Dir. Favorito: The LTT REAP provides more learnings to the institution and has a wider coverage. In the DPWH process, they were made to identify three areas they wanted to pursue, preferably: testing center, personnel information system (PIS), and succession planning. The organization preferred PIS since it is a priority.

## II. Defining and Outstanding Features of the PAHRDF Model

### Workplace Training Approach and Process

- Mr. Gerry Alonzo: For him the group REAP (per region) is too general but there was good implementation.
- Dir. Burt Favorito: The workplace training is the area to accomplish the change agenda. It is the bridge to accomplish the goal. It may be difficult to measure the impact of training per se in terms of cost effectiveness, but the real impact of the HR or training intervention can be seen in its contribution to achieving the organization's development and internal change agenda.

## III. Strengths of the Model

- Dir. Favorito: Institutional profiling is the strength and it should be present in all organizations, i.e., make it a natural and regular process in every agency of the government.
- ASec Raul Asis: The model adopts an approach where the agency itself does the task through mentoring, as against using consultants. He mentioned that for technical work like flood control, having a technical consultant is a more applicable approach but in other areas, coaching is better.
- Mr. Estrera believes the approach as a whole is good and it should be practiced in all government agencies.

## IV. Tangible Gains

- DPWH started the project formally in 2008 with six LTTs, four are ongoing, two have been completed, and over 100 personnel trained. There were seven batches of leadership training conducted for district engineers and the division chiefs.
- Ms. Pacubas: The HR chiefs attended symposium on change management and succession planning. They were also trained in coaching and mentoring. As a result, they can apply the learning's in the workplace and can assist their scholars. Moreover, the HR Department currently practices succession planning. In her case, she can echo the learnings to section chiefs, and potential leaders and supervisors. She is also actively involved in the REAP implementation, and is a mentor to Ricky Estrera and Jesette Campomanes.



- With Ms. Campomanes' hard work, the PIS, is into its full implementation in the Department. The PIS modules on plantilla, personnel data, leave, and performance evaluation are not yet developed but there are four modules that are already working. A refresher course was conducted to help personnel people appreciate the system for their eventual use. More importantly, the Personnel Division realized the inter-relatedness of its three sections (employment and welfare benefits, employment and staffing) after the refresher course.
- Dir. Favorito: The HR division chiefs conduct informal sessions on Saturdays as a form of self development exercise (particularly Alma Lim's group), and every section in training prepares its own presentation for the exercise. The HR group now adopts an integrated approach in delivering its services; this fosters teamwork among members of the unit.
- ASec Asis: Because of AO103 (austerity measures), the department had limited training opportunities. It was the Department's initiative that the staffs were able to attend training ("sariling sikap"). For example a refresher course was conducted in the office with each participant providing for his/her own snacks. During the project engineer's course (one month training) the participants had to forego the expenses for food. The Department does not avail paying courses and the staffs attend on official time. When PAHRDF came in they were really 'hungry' for training (right timing of PAHRDF).

## V. Facilitating Factors

- Mr. Ricky Estrera: There is executive sponsorship, and support for the REAP which contributed to its successful implementation in the agency. He added the REAP on leadership development was aligned to Administrative Order 255, the Moral Recovery Action Plan, to make it more relevant.
- The lecturers for the leadership training were engineers so they can easily establish rapport and connect with the audience as they have an understanding of the DPWH process. This was a marked improvement from Phase I of the project wherein the lecturers were non-engineers. This was made possible because the Facility listened to feedback from the agency and acted on the concern.
- Ms. Jesette Campomanes is persistent in implementing her REAP (PIS) and does regular follow-ups with her data sources so she can complete the PIS database.
- Monitoring is rigid. Monitoring is done on line and PAHRDF knows the status of the REAPs.
- Dir. Favorito can sit in the MANCOM and he is able to input HR and PAHRDF concerns during meetings. This facilitates quick response and action from management, and helps generate buy in.

## VI. Hindering Factors

- DPWH has difficulty selecting participants because of the average age (53) of employees. The more senior ones do not want to attend the STT programs because they are resistant to the idea of undertaking the REAP. The age cap for LTT automatically disqualifies them.

## VII. Insights and Learnings from the Application of Capacity Development Framework in the Institution

### Ms. Campomanes:

- The functions of personnel can contribute to achieving the strategic vision of the Department.
- STTs are easier to implement.

### ASec Raul Asis:

- He underscored the Department's need for HR experts as the division chiefs have retired.
- Experts brought in by TSPs should be familiar with the Philippine culture and aware of the DPWH process.
- Mentoring is a very good approach as internal capacities are built. In the past, things 'die' (are neglected) when the consultant leaves.
- There has to be appreciation at the top to sustain the change.

### Dir. Burt Favorito:

- From the TNA conducted they identified the weak areas of leadership and planning so they focused on these. The Department is good with computer-based systems In terms of infrastructure planning. However, there is no office handling organization planning, which is a priority area of the secretary. There is also no corporate planning office working for the direction of the agency.

- Workplace training accounts for 70% of learning's but there should be a coach, compared to the usual classroom type which accounts for a mere 10% and peer training, 20%.
- The HR Department should consider having a package of comprehensive HR development programs that will address the needs of the agency.
- The REAP is 'double bladed'. It is needed to ensure application of learnings from LTT programs. However, it may not be appropriate for STT programs, especially since these are attended by the more senior officers who are not keen in doing the REAP.
- The challenge that remains for the Department is replicating the best practice (operations planning as a result of the leadership training) to the bureaus and other units in the Department.

Ms. Pacubas:

- She observed that PAHRDF is not consistent in its selection of participants for training. She cited the following: Ms. Campomanes was accepted although she is a 1<sup>st</sup> level employee. However, another 1<sup>st</sup> level nominee was not accepted for the second batch of scholars.
- There are several staffs with potential who are not promoted. Sending them to training is one way of motivating them.

Mr. Alonzo:

- DPWH should have a technical working group that will review the REAPs, especially since the REAP of the bureaus is too general and not attainable, and mostly motherhood statements.

**VIII. Enhancements in Features and Processes**

- Improve the selection process (age and the level). The group believed that the higher the level of the trainee the greater the impact to the organization in terms of learnings brought back.

A Sec Asis:

- Benchmarking is still okay. He suggested sending trainees to local universities instead of abroad as the education system in Australia is different. Applicability to local conditions is the most important and culture plays a big role in the study. Scholars may experience culture shock if sent to training abroad. The returning scholar cannot at once apply the learnings in the workplace because the local conditions confronting the staff are different from what the conditions abroad. Thus

the trainee should study in countries with the same level as that of the home country (i.e, “developing to developing”).

Dir. Favorito:

- He suggested that a pre-requisite for pairing mentor and mentee is the level of trust between the two. The mentor or coach should also highly credible, short of resulting to the mentee ‘idolizing’ the coach or mentor.
- The LTT can be conducted locally and not necessarily geared towards foreign training.

**IX. Suggested Next Steps to Improve the Framework**

Asec Asis:

- Mentoring and coaching per se are good approaches but there is need to look at the calibre/competency of the coach. PAHRDF has to make sure of that the coaches are knowledgeable of the content and process of the intervention.

Mr. Estrera:

- ‘Conduct training locally and benchmark abroad’. He suggested conducting the first two trimesters locally and benchmark abroad for the last trimester.
- An area for improvement: professionalize the sending off of the participants such that PAHRDF should send off/accompany participants to the airport. As most of the participants come from Visayas and Mindanao, it is generally their first time to travel abroad and ride the plane. They feel stressed especially when the visa is released on departure day.

**X. Other Comments**

- Asec Asis: The HR unit is currently weak. According to him when Ligaya Jorge, then HR Chief left the agency, nobody with her competency took over the Service. The Service had no designated assistant secretary and was headed by engineers handling the HR function.
- Dir. Favorito: The weakness is really leadership training. Even the CESB had no training for division chiefs even though the priority was training the executive level. Managers at the district level had limited formal training on leadership but are given major responsibilities.

### Notable Incidents

- The HR Contact, Dir. Glo Lauzon provided a copy of the letter to USec Laura Pascua's secretary for her information. This made USec Pascua aware of the activity.
- It was difficult getting in touch with USec Pascua. Until the day of the interview the project team was not able to get in touch with her.
- The interviewees were accommodating and treated the project team to snacks and lunch.
- The interviewees were open in sharing their experiences, insights and learnings.
- In sharing their experiences and insights, the group focused more on the problems confronting DBM and did not give much emphasis on the limitations and features of the model.

## National Economic and Development Authority (NEDA)

Date and Time	05 June 2009; 9:00 AM – 12:00 PM
Venue	2 <sup>nd</sup> Floor Conference Room
Present	<ol style="list-style-type: none"><li>1. Nestor R. Mijares IV, Deputy Director General</li><li>2. Librado F. Quitariano, Director (HR Contact)</li><li>3. Lelina A. Quilates, Chief, Administrative Officer</li><li>4. Ma. Lourdes A. Baguisi, Acting Chief, HR Division</li><li>5. Virginia Atenta, Chief, Administrative Officer</li><li>6. Wilfredo De Perio, Chief, EDS</li></ol>

### I. PAHRDF Framework

#### Respondents' Appreciation and Understanding of the Framework

- Ms. Malou Baguisi: Capacity development starts from the individual, cascades to the development of the organization, and eventually to improving peoples' lives. PAHRDF has definition for each of the sustainability attributes such as: 1) competency is having enough number of people to do the job well; 2) accountability means there is ownership of the process; 3) assessment and continuous improvement are work in progress; 4) executive sponsorship pertains to somebody championing the effort to institutionalize and accept the change agenda.

#### Respondents' Experiences with Regards Execution and Operationalization of the Framework

- Ms. Atenta: She is new in the program but appreciated it upon understanding the very good concept. PAHRDF has very good and focused interventions for agencies; capacity building has ripple effect to the organization. She finds the implementation of training interventions as too as fast-paced, that they sometimes get pressured about satisfying PAHRDF requirements (e.g., REAP projects, M and E documents).
- Dir. Quitariano: His involvement was during Bob Wilson's time, starting with an assessment/analysis of the organization. NEDA personnel were invited to respond to a capacity assessment survey after which projects were identified. Administrative concerns were first addressed because PAHRDF's focus is HR.

- Ms. Baguisi: She was involved in developing competency profiles with Leny Quilates. She attended activities on establishing a performance management system, coaching/mentoring. She also participated in the organizational leadership training and business system (which included concepts on e-learning and web-based orientation for new employees).
- Ms. Quilates: She attended the PAHRDF orientation and a meeting where organization profiling was explained. Organization profiling was done and gaps were identified in HR particularly in the areas of job profiling, performance management system, quality management, business systems, and organizational leadership. HRMD planning was the first program and the team carried out competency-based assessment of the job profiles as input to the HRMD plan.

In doing the job analysis they saw the duties and responsibilities are mixed-up, thus actual duties were mapped out, and competencies for particular positions were identified. Competency-based profiling was completed for the regions while only the Admin was completed for the central office. There were 8 “fall-outs” in the process. Of the remaining 12 pax, 8 received certificates of competency (one has resigned and transferred to Central Bank), while 4 received certificates of completion.

## II. Defining and Outstanding Features of the PAHRDF Model

### Workplace Training Approach and Process

- The workplace training approach is what makes the engagement different from other technical assistance. For them, it refers to hands-on or on the job training.
- Ms. Quilates: The approach means getting live data from the workplace, with the participants producing the outputs themselves.

## III. Strengths of the model

- The overall model is appropriate. However, across the bureaucracy application will vary greatly.
- Ms. Quilates: The model is very much applicable because there is organizational profiling and competency gaps were identified. It is a focused model, which will eventually improve the lives of people through capacitating of the individual. When competency gaps were identified the agency made sure that the outputs could be delivered by the people attending the program since they are capacitated to produce the output. The M&E then will show if the outputs are really done by the people capacitated through the intervention.

#### IV. Tangible Gains

- Ms. Atenta: She was happy to report that the PMS team is very active and leads in the training. The members continue to refine the output, which is a manual on the NEDA Integrated PMS (NIPMS) wherein individual contribution can be determined. They have a group REAP but rolled out the PMS to different offices so as to let others see how the system works. The output of NIPMS included a coaching guide, which was expanded into a coaching and counselling guide. They tried to revise the guide to focus on coaching but they received limited inputs in coaching. The application of the system, coaching in the workplace covers all supervisors. The output is competency-based already and this is what makes it different from the other performance management systems.
- The regional directors have acceptance of the NIPMS as evidenced by the comments and questions that surfaced after the PMS team conducted a presentation. This meant the regions saw the importance of the PMS and welcomed it more than the central office, which still studies the process and approach. The team plans to conduct regional briefings after the installation of the system.
- Mr. De Perio: According to him in the 33 years that he has been with NEDA there was no leadership training conducted but only supervisory training. He learned and practices coaching and mentoring and acquired leadership skills specifically the concept of management wherein he understood the accountability of the boss in relation to individual performance of the subordinate. He further explained this means keeping cool even if his staff has committed errors in the work or has done inadequate work. This is an indication according to him that he was able to apply the learning's. When he was transferred to his current division, the records for 119 projects were not in order, and there was no system. He wanted to have a system but did not know how to influence the staff. In the leadership training he learned to influence and motivate people.
- DDG Mijares: He believed the training went beyond theory and concepts and gave the participants the chance to practice and apply the theories and principles in real life situation. Openness is influenced by the organization itself. The orientation in NEDA – knowledge is power.
- Ms. Baguisi: She learned competency profiling, developing training specifications (workplace development objectives). Similarly she knew how to write behavioural indicators and translate these into observable indicators.
- Ms. Quilates: She learned how to prepare competency-based job profiles. She became more scientific on how to come up with job specifications, which radiated to competency-based profiling. She learned interviewing techniques using behavioral



events (better than the traditional way of doing it). She was part of the team that oriented those that did not participate in the program. In PMS, her new learning is counselling, which includes convincing the individual to say what he/she wants in order to have ownership. However, she has not fully accepted the concept of counselling yet as the solution comes from the recipient. As to the leadership training, she found out that she has indeed modelled the way and applied the leadership practices in her workplace. Most of all she got to know TSPs that added to her network and she was able to use the connections. Most of all she can use the learning's even after she leaves NEDA.

## V. Facilitating Factors

- There is executive sponsorship, which is critical because the intervention will not prosper in its absence. Similarly, all elements of sustainability are critical as well. However, the group was not sure whether executive sponsorship will be sustained if there is a change in administration or leadership. According to Ms. Baguisi, there was a lull in the project when she left for scholarship. The project took off only when Ms. Quilates and Dir. Quitariano were involved.
- Ms. Atenta: There is strong support from the bosses especially DDG Mijares, although he comes in very strong at times, and causes delay.

### DDG Mijares:

- It was the first time he understood the concepts and theories, and as a result he now has better working relationship among the bosses and the staffs as they have the same level of understanding. There are now a number of people speaking the same language, and better committed to the HR project. It is attractive to the staff as resources allow for the best to be provided to the participants.
- The TSP and contractors employ state of the art learning techniques and have shown their adaptation of the latest technology to the agencies. They have actually shown the application in the workplace.

## VI. Hindering Factors

### DDG Mijares' observations:

- The end in mind has so far not been achieved yet, DDG Mijares would like to believe. Within the admin staff they have realized the importance, understood better the significant role of HR in the agency, but the staffs are not yet competent to take on the responsibility of furthering HR interventions. NEDA personnel have realized that the units within the whole organization should be partners of HR. There are still nominees



that are not supposed to be nominated. Although the selection process was improved there is still difficulty in selecting the right people for training.

- Leadership is still a problem as regards NIPMS acceptance. Although the regional offices welcomed the NIPMS, the central office is not yet keen on embracing it since people think that PMS is not their core function, thus they are not yet willing to invest in this project. The PMS team tried to resolve this concern by reaching out to the staff, inviting MANCOM in advance to do away with the reason of short notice.
- The model requires executive sponsorship but in reality it is very difficult to attain. Internally, it is not easily nurtured in the agency. Activities in the training program to create buy in are not sufficient to generate executive sponsorship; this at times to executive tolerance.
- Once the training starts the activity becomes a personal interaction with the trainee and the TSP, and the relationship with management is detached. The relationship between the trainee and TSP is what remains, and management is left behind as regards the status of the activity and the progress of the trainee.
- PAHRDF has no facility to update partner organizations as to the status of the interventions in other agencies. According to him he is no longer invited to PAHRDF activities and thus missed the opportunity to further strengthen executive leadership. Furthermore, there is no networking of participants across the bureaucracy.
- He considered this a gap: No linking with other participants from other agencies, which he called the 'brotherhood movement'. For example, there is no official function where the bosses of different partner organizations are brought together, no learning sessions are conducted, no cross visits during training, no venue for sharing experiences, and no observation tours to let agencies understand the nuances happening in other organizations. He emphasized that even 'dysfunctions' are learning sessions, which should be shared.
- Even if the supervisor commits to training of the staff it eventually curtails the learnings gained as the regular workload takes over upon return to office.
- There is no sufficient numbers to create the core team or a critical mass given that limited staff members are available to implement the REAP within the set time frame. DDG Mijares believes that to be realistic, NEDA could have a critical mass over a longer period (i.e, beyond the timeframe indicated in the REAP).
- As regards bringing back the learnings, DDG Mijares underscored the significance of the opportunity to practice or apply whatever has been gained in training as part of the expectations. However, this could not be done owing to the workload of the staff. He was apprehensive given this reality on how quickly the learnings could be shared with those who will remain in the agency. He added the paradigm of sharing the learnings

has not been internalized because come crunching time the staff set aside PAHRDF requirements, thus what is supposed to be done in the REAP is sidelined.

Dir. Qitoriano:

- NEDA in general and the staff in particular were used to consultants working in technical assistance projects so the staff had difficulty during the workplace training because they actually worked hands-on and were expected to be paid honorarium for their involvement.

Mr. De Perio:

- He pointed out that managing the REAP process is a concern since the staff are not used to having a REAP. He wanted to know what will help the staff in this area as there is no REAP in other training programs in NEDA. According to him his staff had no choice but to do the REAP. For Ms. Baguisi regularity and continuous practice would help in managing the REAP process.
- Ms. Atenta: Interventions are implemented one after another such that there is overlapping of training schedules. The attendees are the same HR participants in the various training programs.

**VII. Insights and Learnings from the Application of Capacity Development Framework in the Organization**

Mr. De Perio:

- It could be said the model is acceptable to management and the rank and file if there are organizational benefits that they could derive from it. For the change to be sustained there should be resources available.
- Monitoring outputs is easy but the impact cannot be seen unless an impact evaluation is done. However, it is difficult to formulate benchmark indicators in impact evaluation, which is looking at how effective the technical assistance was in terms of individual contribution to the NEDA performance. – relate to NIPMS

Ms. Atenta:

- The model is very much applicable and relevant to NEDA. The workplace training is a very new concept to her but she was thankful that staff were required to produce the outputs.

### DDG Mijares:

- As a response to Ms. Atenta's suggestion he stated that the REAP is embedded in the model. He added there are other training organizations using the REAP like DAP, CESB, and some JICA programs. He remarked the REAP is individual-based and not known to everyone in the agency unless extra effort is done to introduce or familiarize the others about the REAP. – TITLE OF THE REAP should be able to capture the importance of the REAP so that attention is given. – Insight> REAPs should be communication across the organization.
- Executive sponsorship will take a long time to generate. There are individual champions at the start but organizational champions have to be built overtime.
- Across the participant agencies there are many opportunities for creating support from each other as PAHRDF has created good understanding and transformed into values the belief that this is the right way to go. It is better to nurture the learning's even after the training. This is not part of the training and not built in as only annual sessions of sharing and updating are held. – add to opportunities for sharing
- He also felt the time frame is short for the REAP as it came in the midst of rationalization. They experienced difficulty in selecting trainees to make sure the people they send to training are those that will not be assigned to other positions. The rationalization may trigger a change in the organization which follows that the perspective will change, too. An example he cited: During training Ms. Atenta's appointment was in financial management but the gap/problem was in HR. She was from the Management Staff and her competency is in management and not HR. Part of the tension is the REAP because it prescribes activities in the original unit where the scholar is assigned but there is fear of being re-assigned to other units under the rationalization. The current reality becomes a barrier to selection.

### **VIII. Enhancements in Features and Processes**

- Service providers should devise ways to update the supervisors/directors of the participants on what is happening in the training.
- One way of enhancing the model is addressing executive sponsorship and the expectations at the onset.

### **IX. Suggested Next Steps to Improve the Framework**

- The leadership training should include directors and higher levels (MANCOM) in order to have the same level of knowledge across the different offices in the agency.
- Those that have not yet been promoted (OICs) should have attended the leadership training.
- He suggested including a component that will strengthen executive sponsorship outside of organizational leadership.

#### X. Other Comments and Suggestions

- NEDA is not yet at that level of openly giving feedback, as it is not a regular function of management. There are no structured ways of giving feedback in NEDA. Normally the staff do not give value to trivial matters such that there should be emphasis on the level of importance or urgency to merit attention for feedback.
- So much time is spent in bringing information to the right people and he sees hierarchy as the barrier. Information gets to be filtered somewhere in the hierarchy and may not reach the top. Employees are aware of the hierarchy so much so they go through the bureaucracy and there is no chance to rectify errors, if there are any as to the accuracy of the information relayed.
- PAHRDF has no support for re-aligning/re-directing resources allocated to training (to be used for other purposes) in case there are no suitable nominees selected.

#### Notable Incidents

- DDG Ting Mijares was antagonistic during the confirmation of the interview schedule. However, he offered his apology regarding his hostile attitude after the interview.
- Although it took some time to confirm the data gathering schedule with Dir. Quitariano (the project team was able to reach him only last June 2), his staff did their part in informing him of the date. It was then easy to get his **commitment** to attend the June 5 interview. He did not participate actively during the interview. He was out of the room most of the time when DDG Mijares joined the group.
- The participants shared their insights and comments in the presence of DDG Mijares.

## Department of Education

Date and Time	09 June 2009; 9:00 AM – 12:00 PM
Venue	EDPITAF Building, 2 <sup>nd</sup> Floor Conference Room
Present	1. Jose Lorenzo Ruiz Mateo, Assistant Secretary 2. Nerissa L. Losaria, OIC-Chief, SDD-HRDS 3. Melody L. Liwanag, LTT Scholar

### I. PAHRDF Framework

#### Respondents' Appreciation and Understanding of the Framework

- Assistant Secretary (ASec) Jesus Mateo is quite happy with the model as it looks alright to him. It is a good model as it is always directed to the agenda of the organization. He commented the framework is drawn from the perspective of the provider and not the recipient. It gives a snapshot of the relationship between the facility manager and recipient. The recipient undergoes workplace training, which takes into account the larger picture that is agenda of the organization. The agenda should contain other elements aside from competencies that contribute to effective service delivery. Service delivery is the core, administrative governance and people/organization development will change the manner of service delivery once they are improved.
- Ms. Nerissa Losaria saw the model during the organizational profiling workshop where they identified the elements under each attribute.

#### Respondents' experiences with regards execution and operationalization of the framework

- When the program was launched in the Department the group needed a buy-in from internal and external stakeholders, which they were able to obtain. There was an orientation for the Department personnel for them to imbed the reform agenda in the different programs and activities in the organization. They engaged the education associations like teachers, principals, supervisors, regional directors, etc. During the annual convention the participants saw the need for and agreed to a transformation. They discussed the program with AusAID and were able to partner with PAHRDF. They agreed to put in one comprehensive agenda and the design of the training program was anchored on the BESRA.

- ASec Mateo: An indicator of the acceptance of the program is when people talk about the agenda, and they are involved in implementing their REAPs. A good sign too is when personnel ‘embrace’ what they are supposed to do. As he is known as the ‘face of the reform agenda’ he gets reports from the trainees. The direction is in place by the scholars’ implementation of the REAPs. He is also consulted, which is a reflection of how to enhance the agenda. There is clear alignment of the work with the reform agenda.

## II. Defining and Outstanding Features of the PAHRDF Model

### Workplace Training Approach and Process

- Ms. Losaria: She defined workplace training as a method in the workplace that guides processes, decisions and actions.
- ASec Mateo believed that the REAPs as a tool, is useful as it gives them a sense of direction. They see the value of being monitored and he strongly felt government should be monitored by government, too. There is consciousness now on policy implementation in the Department as people get to be involved in it policy making. If a certain policy is not implemented the DepEd is open and willing to change such policy. It also imposes sanctions or penalties for non-compliance.

## III. Tangible Gains

- The Finance and Admin REAPs center on the policy action of the BESRA and an offshoot of this is Procurement Manual. The Finance office revisited the financial management system (FMS) manual, and the group came up with a national orientation for the non-teaching group. As a result, the BESRA sessions are already integrated in the regional training.
- ASec Mateo believed the leadership training (STT) is a big help since it complemented the leadership development program of the AIM attended by possible change agents in the organization such as the officials of the employees’ union, admin/finance of almost all offices, undersecretaries, assistant secretaries, directors and superintendents. Most of the participants that attended the PAHRDF training are from operations. Other assistance from AusAID included BEAM2, STRIVE2<sup>1</sup>, education performance incentive partnership, and SPHERE<sup>2</sup>, a support to basic education reform which includes hardware, software (training, capacity building and materials improvement).

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<sup>1</sup> Strengthening the Implementation of Basic Education in Selected Provinces of the Visayas

<sup>2</sup> Support to Philippine Basic Education Reform

- The human resource information system (HRIS) came from BEAM. It was developed as part of the 5<sup>th</sup> pillar (organizational culture change) to unify all information systems for the Department to know who will retire. The system is automatically linked to the financial management information system (FMIS) as the Department wanted it to be inter-operable with other systems. ASec Mateo added the Department has discussed the matter with the CSC, COA, DBM and GSIS. The HRIS was rolled out in pilot Regions III, IVA-B, and NCR and will eventually be cascaded to other regions.
- The team of ASec Mateo spearheaded organizational change in DepEd. The organization is going competency-base on the non-teaching personnel and the HR unit and function. The group also hoped that competency-based profiling will not only be used in training and development but in career development and other areas as well. There are three STTs, leadership, HRIS and establishment of HR mechanism. The establishment of HR mechanism was aborted in the meantime. The idea was to strengthen the HR in the long term in accordance with a vision.
- For the LTT, two scholars for HR have finished, three are now in Australia attending project management and planning, research and policy formulation, and human resource development. For the School Leadership Program, new principals will undergo the training. This will contribute to the agenda of DepEd under PAHRDF.

#### **IV. Facilitating Factors**

- The project is anchored on the Basic Education Sector Reform Agenda (BESRA), which has five pillars: 1) schools; 2) teachers; 3) contribution of society to learning outcomes; 4) early childhood (complementing educational intervention); 5) Organizational/cultural changes.
- ASec Mateo emphasized that it helps if there is a high ranking champion. At the time that the program was being introduced, he was not yet an Assistant Secretary. But he was aggressive in pushing for reforms. There was no anchor initially and there is now the BESRA and a champion/change agent. People now realize there is no sustainable change unless the different aspects like processes, structure and people are changed.
- Integrating the BESRA sessions in the regional training was part of the end in mind with the PAHRDF project according to ASec Mateo. In the process the Department looked at the upstream and downstream effects, which is one way of convincing people to support the reform agenda regarding the policy action on the BESRA. They talked with people who were open to the idea and as soon as the partners embraced the agenda they themselves wrote the policy relative to its implementation.



## V. Hindering Factors

- Ms. Losaria: According to her the workplace training concept was not fulfilled in DepEd. The mentor coordinated with them through cell phone only and the Internet. The trainees expected face-to-face mentoring as they looked forward to enhancing their leadership competencies but the original agreement was not followed. Currently she believed they still lack a leadership program although they are strict in monitoring the REAPs.
- On mentoring ASec Mateo pointed out that it was not possible to have the service provider hold office in DepEd. The suggestion was distance education where the chief/head of the unit is the mentor. He further mentioned that with so much workload in the office there was no longer supervision of the REAPs.
- Ms. Losaria opined there was an agreement to come up with groupings for the mentoring as agreed with the mentor and with this set-up the monitoring of the REAPs was okay. The team understood that coaches were really expected to be in the organization. However, there must have been variations of the mentoring agreement according to her specifically for STT. The team has indicated this concern in the on line evaluation thus PAHRDF was aware of it.
- The M&E team was difficult to convene.

## VI. Insights and Learnings from the Application of Capacity Development Framework in the Organization

- ASec Mateo observed that good people are pirated after the Department has invested a lot of resources. With the new workplace training approach he hoped there will be no fast turnover of the staffs that look for greener pasture. He also hoped that the learning's acquired by scholars and trainees are brought back to DepEd upon return.
- The leadership training brought about a paradigm shift to the president of the employees union who was then a participant. Prior to being a participant he distanced himself from the reform agenda. After training, there was a change in his behaviour. He has now accepted some of the elements of the agenda and almost every day he calls the office of ASec Mateo for consultations.
- ASec Mateo shared his observations that at the macro level, education should be treated on a bigger human development/capital plan. The budget for the Department is smaller compared to the other national agencies. The structure of

DepEd should provide a champion for HR just like the private sector, where before the HR head was a director, the head is now designated as vice-president. Given the limitations, the organization will pursue its plan of building the capacity of HR units to perform their strategic functions.

## VII. Enhancements in Features and Processes and Suggested Next Steps

- Minor adjustments have to be made in allocating limited resources from AusAID to cover project ideas from recipients.
- It is better to expand the coverage of the program to non-Australian organizations and not limited to Australian organizations only.
- Use the facility of seconding participants outside the country for personal and professional enrichment. A critical aspect is the seconding organization outside the country as the scholar will eventually bring into his/her organization the international perspective. There should be a mechanism to allow government scholars to have secondment with the private sector to gain more experience. The downside to this is that people will look for greener pastures and the government is at the losing end because after training, the scholars leave the organization. The following example was cited: In the Department of Finance (DOF) the undersecretaries and directors get to spend time with the board, and in the process they enjoy the perks and then go back to their assigned government post.
- Ms. Losaria: She suggested adding an online module especially for LTTs so as not to pull people out from the workplace. This she termed 'learning while rendering service'. ASec Mateo would like to further study the suggestion.
- The model is very applicable but there is need to strengthen the M&E on both sides and follow-up the REAP, especially of the Australia trainees.
- Increase the intake for LTT since there are 1 or 2 scholars only and go for 5 STTs. It is better to have a group LTT to be more effective.

## VIII. Other Comments and Suggestions

- Ms. Losaria: The Facility is very good in introducing strategic HR. As a scholar she has seen an integrated HR in Australia. She was concerned as to how DepEd will apply strategic HR with the advent of the rationalization plan. Under the plan, HR functions and personnel and training will be separated as they are abolishing the Human Resource Development Service (HRDS). If the splitting of the office will push

through she suggested including the functions of HR management and development. She also hoped that strategic HR will be realized eventually.

- The Facility was successful in repositioning HR in DepEd. The activities and HR interventions may not necessarily come from HR as everybody is engaged. This is strategic HR, making sure that people in the organization are HR practitioners and not only concerned with their functions in their respective units. The HR Department's function is focused on policy and program identification at present. Personnel, staff development and succession planning are inherent in each office in DepEd currently. *Note: CSC Comm. Mendoza emphasized that moving towards strategic HR requires an office, the HRDC. She suggested expanding the functions of the HR Division and not focused on training (talent management) only. She broached the idea of strategic HR linked with the other offices.*

Ms. Losaria: In the rationalization plan the HRDC and the National Educators Academy of the Philippines (NEAP) were merged. The NEAP is the training arm of the DepEd and only Regions 11 and 12 have a Regional NEAP. In the plan Personnel is under Administrative. She suggested including personnel in HRDC since the administrative function is under general services. ASec Mateo clarified the idea is to have a regional NEAP to provide programs for teaching and non teaching personnel. The set-up calls for an external service provider, while NEAP will coordinate with the organization in the region for the training like leadership. In this sense, NEAP acts as the training manager like DAP.

#### Notable Incidents

- The team had a difficult time getting to USec Inciong who begged off eventually.
- ASec Jess Mateo at first turned down the invitation but confirmed the week prior to the interview.

Interview with Usec. Laura Pascua and Director Myrna Chua  
Pancake House, Commonwealth Avenue, 7:00 pm, June 15, 2009

I. PAHRDF Framework: Appreciation and Understanding of the Model

Usec. Pascua confirmed the discussions with the group as relayed by Dir. Myrna Chua. She added that she appreciates the framework given its focus on human resource development and capacity building strategies.

The theory and the applications are clearly presented.

II. Outstanding Features of the PAHRDF Model

Purposive, relevant and appropriate methodologies.

The participative process was noted. This actually happened in DBM.

III. Strengths of the Model

Responsive to the needs and concerns of the DBM. The partnership came at a time that DBM was addressing the many gaps in its recruitment and selection processes.

Recognized the role of training service providers (TSP). Through the TSPs, expert HR services are provided to the government agencies. The process of selecting TSP was cited.

Noted coaching and mentoring, leadership development, exposure to Australian experiences on HRM as strengths of the model.

IV. Tangible Gains

Acknowledged the many personnel trained through the partnership. Cited the following programs in particular: the capacity building of the HR personnel and the leadership training program.

Expressed optimism that the HR Division of the DBM will be able to deliver effectively its mandate of recruiting the best for DBM and formulating a capacity building program for all personnel.

V. Facilitating Factors

The Facility has been effective in engaging DBM's participation. The project staff have been very facilitative. Recalled the early meetings initiated by the Facility staff

to conceptualize DBM involvement. Cited Mr. Mark Flores as “masigasig” and “matutok” especially when the partnership was starting. All these helped DBM to fulfill its role in the partnership.

Recognized the expertise and professionalism of the MMLDC as training service provider.

Despite her busy schedule and inability to attend to some of the project activities, she gets feedback on what is going on.

#### VI. Hindering Factors

Being involved in the partnership is “matrabaho”. DBM has many competing concerns. It has to respond to the needs and demands of agencies. In particular the DBM has to give priority to the budget preparation processes as it follows specific timelines during each year.

#### VII. Insights and Learning from the Application of Capacity Development Framework in the Institution

After the rationalization, capacity building becomes more relevant. Important for organizations to recruit the best people and undertake relevant training programs. Most important are leadership programs.

#### VIII. Next Steps and Enhancements

More focus on perform management systems. One of DBM’s current concern is how to connect the Organizational Performance Improvement Program with the Office Performance Evaluation System-Perform Management System. Noted that this is being pursued under the PEGR, also through another Australian Facility.

Need for DBM and CSC to work together on an agenda for good governance such as connecting OPIF and OPES-PMS, utilizing performance management systems as basis for giving incentives and additional benefits for government employees.

Suggested that CSC should have a stronger role in the implementation of the next cycle of PAHRDF. It is in position to provide information and insights on problems and gaps in public service delivery and identifying competencies and skills needed by the different sectors in the civil service.

Look into better rewards system to recognize well performing organizations and outstanding employees or group of employees. Committed to find some ways this can be funded through the General Appropriations Act.