

Capacity Building Framework



UNESCO-IICBA



United Nations Educational,
Scientific and Cultural Organization



International Institute
for Capacity Building in Africa

Capacity Building Framework

UNESCO-IICBA

By Atsushi Matachi

UNESCO - International Institute for Capacity Building in Africa



About IICBA

Established in 1999, the UNESCO International Institute for Capacity Building in Africa is one of eight UNESCO institutes and centres under the administrative direction of the UNESCO Secretariat. As the only UNESCO Institute in Africa, it is mandated to strengthen the capacities of teacher education institutions of its 53 member States. This is carried out through a range of initiatives, including introducing information and communication technology for education; establishing networks of partner institutions to foster the sharing of experiences; undertaking research and development on teacher education institutions in Africa; utilising distance education for improving the capacities of teacher education institutions; linking educational development to economic development through collaboration with the African Union and sub-regional and regional educational institutions; and promoting international cooperation for the development of education through the New Partnership for Africa's Development (NEPAD).

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Table of Contents

| | |
|---|-----------|
| Foreword | v |
| Introduction | 1 |
| Purpose and Relevance of the Capacity Building Framework | 2 |
| Purpose | 2 |
| Relevance | 2 |
| Capacity Building Framework | 4 |
| Definitions of Terms and Concepts | 4 |
| IICBA's Approach to Capacity Building | 7 |
| Steps for IICBA's Capacity Building | 10 |
| Capacity Building Matrix | 11 |
| Points to Note for Capacity Building Matrix | 14 |
| Conclusion | 15 |
| References | 16 |
| Annexes: | |
| 1. Capacity "Building" or Capacity "Development"? | 17 |
| 2. Institution or Organization? | 19 |
| 3. Definitions of Capacity Building/Development | 21 |
| 4. Problems in the traditional approaches and a new approach to Capacity Development | 22 |
| 5. Capacity Development Matrix (IGNOU) | 26 |
| 6. Capacity Development Matrix (Multi-grade School) | 27 |

Foreword

Ever since its establishment in 1999, the UNESCO International Institute for Capacity Building in Africa (IICBA) has been engaged in building the capacity of teacher education institutions in Africa. It has been doing so in the four areas of its mandate, namely teacher education, curriculum development, educational planning and distance education. However, though IICBA's efforts have been guided by the motivation to assist African teacher education institutions, they have not been informed by well formulated guiding principles of capacity building. In its meetings in Cape Town, South Africa, in January 2005 and later in the same year in Paris, France, IICBA's Governing Board felt that while it endorses the focus on teacher education in the Strategic Plan, there was need to emphasize the institutional capacity building aspects of the Institute. This, the Board believed, will guide not only IICBA's internal capacity building efforts, but will also re-link it to its programmes in the African region as well as programmes and activities at UNESCO Headquarters.

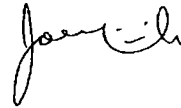
As a result, there has been a felt need for some time to articulate the basis of IICBA's capacity building ventures in Africa. And in order to do so, IICBA has been engaged in an internal appraisal of its activities. This publication, *The UNESCO IICBA Capacity Building Framework*, is a result of that and is designed to chart out and guide the Institute's future programme focus and areas of intervention.

The term "capacity building" is used in this document in its broadest sense to mean "building development capacity" of teacher education institutions. It refers to creating or strengthening the capacities of African teacher education institutions to plan, implement and manage policies and programmes aimed at achieving sustained improvements in their institutions. Individuals and institutions are the repositories of national capacities. Thus, national capacity refers to the combined human skills and knowledge and institutional resources in the public, private and voluntary sectors in the country. The approach to capacity building advocated by this framework has several important features, the main one being respecting *ownership* of the capacity building process and recognizing capacity building as *long-term* efforts.

It is strongly believed that guided by the Capacity Building Framework, IICBA's programmes implemented in Africa shall be more focused in addressing the strategic needs of African teacher education institutions and the benefits are to be accrued more by the institutions themselves rather than individuals. And for

this to happen, the Framework has analysed the interface between individual and institutional needs and has identified mechanisms for ascertaining that while it is by way of capacitating individuals working in institutions that one can capacitate the institutions themselves, there should not be a conflict between institutional need and individual aspirations.

The timing and context of the formulation of the Framework is also very pertinent as it comes too close to the publication of IICBA's Strategic Plan 2005-2010. The Plan has identified major programme areas that IICBA shall be focusing in the coming six years. The targets set in each programme areas are clearly shown in the Plan. The usefulness of the Framework in informing IICBA's decisions in relation to the implementation of its projects in order to meet the targets is evident - the Institute shall make sure that it targets and addresses issues of concern of Africa's teacher education institutions.



Joseph Ngu
Director

Introduction

The UNESCO International Institute for Capacity Building in Africa (IICBA) was established in 1999 as one of the eight institutes of UNESCO to specifically serve the Member States in Africa in the field of teacher education. IICBA focuses on building¹ capacity not only of individuals, but also of institutions so that African teacher education institutions will develop their capacity to improve the quality of teachers in Africa.

Neglecting the capacity building of institutions (organizations)² may limit the effectiveness of capacity building of individuals. As a specialized institute for capacity building, IICBA needs to keep the focus on institutional (organizational) capacity building. Therefore, it is felt that IICBA needs to develop and present its own strategy for and approach to institutional (organizational) capacity building.

This framework is developed to help IICBA's staff and stakeholders understand the concept and issues related to capacity building and apply them to their work for an effective implementation of programme activities.

The annexes will provide more detailed information about capacity building issues. Although the framework can be understood without referring to the annexes, in order to understand the significance of the concepts presented in this framework, it is strongly recommended to read the annexes as well.

¹ There is another term "capacity development" that is often used in a similar or in the same context. Some people make a clear distinction between the two terms, namely, "capacity building" and "capacity development" as the distinction implies a difference in the attitude towards the concept of capacity development/building activities. Annex 1 describes the difference and implications of the distinction. In this framework, the term "capacity building" is used as IICBA has used only this term up to now.

² The term "institution" also needs to be used carefully as it has two different meanings: 1) an organization founded for a religious, educational, or social purpose; and 2) an established law or custom (Concise Oxford English Dictionary 10th edition, 2001). For example, the term "institution" used as in "teacher education institution" refers to an organization. However, the same term used in the context of capacity at the environment level (See p.5) normally refers to an established law or custom. Please see Annex 2 for the detailed discussion on this issue.

Purpose and Relevance of the Capacity Building Framework

Purpose

The purpose of the framework is to provide IICBA's staff and stakeholders with the philosophy on and systematic approaches to capacity building, including the institute's definitions of and views on the issue. The framework provides not only the basic principles of IICBA's capacity building, but also concrete steps for capacity building that can be used to formulate, monitor and evaluate activities. IICBA has developed its Strategic Plan for 2005-2010 which describes IICBA's mission, goals, priorities and programmes/projects to be implemented and achieved during the period. While the Strategic Plan describes the "why" and "what" of IICBA's activities, the Capacity Building Framework provides "how" IICBA will achieve its mission and goals.

Relevance

IICBA's idea about capacity building was clearly outlined when IICBA was established in 1999. The terms of reference of IICBA, prepared by the founding director, emphasizes the aspect of "organization (institution)" in capacity building as follows:

The Institute's responsibility will include research, development, training and dissemination. Its responsibilities, defined as "capacity building", will focus on institution building first and foremost, and on individual training as an essential component of this (UNESCO IICBA, 1999a).

In the first issue of UNESCO-IICBA Newsletter, the concept of capacity building is further explained as follows:

At a superficial level, "capacity building" can be equated to training. However, it is well known that training may benefit individuals without strengthening the capacities of institutions and of countries to perform their responsibilities more efficaciously. Individuals who have benefited from high level training may not be able to put their newly acquired skills to good use where their home institutions are unappreciative and at times even hostile to such skills application. Lack of understanding and appreciation of these newly acquired skills may lead to a mismatch of

trained personnel and tasks, with personnel being assigned to tasks for which they have not been trained and in which they have no experience. Thus unless capacity building is targeted at both individuals and institutions, its benefits may be uneven and unreliable. Capacity building must therefore be defined as building up institutional capacities first and foremost (emphasis added). (UNESCO-IICBA, 1999b).

Many of the programmes that IICBA has implemented since its inception dealt with institutional (organizational) capacity building as the major focus, and individual capacity building as an essential component of institutional (organizational) capacity building. However, some programmes stopped at developing individual capacities and failed to deal with institutional (organizational) capacity building properly.

Thus, it is necessary for IICBA to have its own framework which specifies its approach to capacity building in order to help IICBA's staff to 1) share a common understanding of the concept of and approach to capacity building; and 2) to effectively plan, implement and evaluate IICBA's activities in a systematic way.

Capacity Building Framework

Definition of Terms and Concept

There are various definitions of “capacity” and “capacity development/building” (See Annex 3). Sometimes the terms are used in ambiguous manner or without being defined properly. Hence, it is necessary to have a common and clear understanding of basic concepts and terms to understand IICBA’s Capacity Building Framework.

Based on the definitions used by some development cooperation agencies such as UNDP, CIDA and JICA, IICBA defines the term “capacity” as follows:

Capacity is defined as the organizational and technical abilities, relationships and values that enable countries, organizations, groups, and individuals at any level of society to carry out functions and achieve their development objectives over time. Capacity refers **not only to skills and knowledge but also to relationships, values and attitudes, and many others** (emphasis added) (adapted from Morgan, 1998).

Furthermore, it is crucially important to take account of **levels of capacity** in a system context. This can be done at least at three levels: **Individual, Organization, and Environment** as shown in Figure 1.

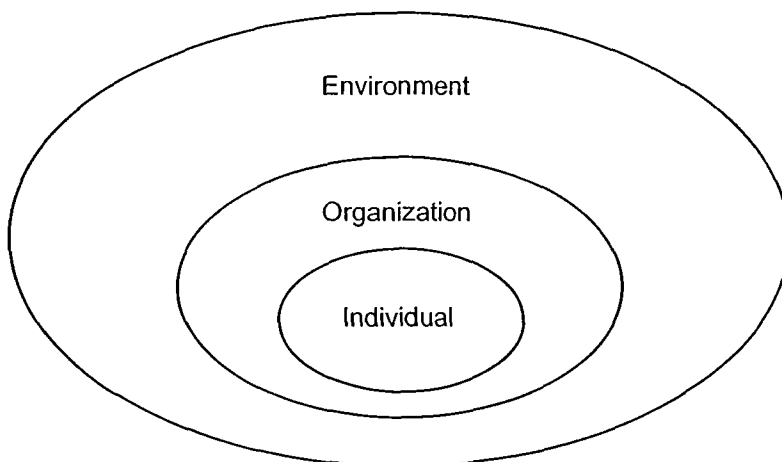


Figure 1: Levels of capacity (adapted from UNDP, 1998; p. 7)

Hence, capacity must be discussed in a broader context. Definitions and examples of capacity at different levels are summarized below.

1. Capacity at the individual level

Capacity at the individual level is the most fundamental element of capacity. It becomes the foundation for organizational capacity and refers to **the will and ability of an individual to set objectives and to achieve them using one's own knowledge and skills** (JICA, 2004). Capacity at the individual level includes knowledge, skills, value, attitude, health, awareness, etc. It can be developed through various ways such as formal, non-formal and/or informal education, training, on-the-job-training (OJT), independent reading, etc. In the context of organizational development, it is also referred to as human resources development.

2. Capacity at the organization level

Capacity at the organization level will determine how individual capacities are utilized and strengthened. It refers to **anything that will influence an organization's performance** (JICA, 2004) and includes: human resources (capacities of individuals in the organization); physical resources (facilities, equipment, materials, etc.); intellectual resources (organization strategy, strategic planning, management, business know-how, production technology, program management, process management (e.g., problem-solving skills, decision-making process, communications, etc.); inter-institutional linkage (network, partnership, etc.); incentive and reward systems; organizational culture and leadership of managers. As an institute which focuses on organizational capacity building, IICBA needs to pay due attention to this aspect.

3. Capacity at the environment level³

Capacity at the environment level refers to **the environment and conditions necessary for demonstrating capacity at the individual and organizational levels** (JICA, 2004). This includes systems and frameworks necessary for the formation/implementation of policies and strategies beyond an individual organization. There are various dimensions on environment such as administrative, legal, technological, political, economic, social, cultural, etc., that impinge on and/or mediate the effectiveness and sustainability of capacity building efforts.

Elements on which capacity is based on at the environment level include formal institutions (laws, policies, decrees, ordinances, membership rules, etc.), informal institutions (customs, cultures, norms, etc.), social capital and social infrastructure, and capacities of individuals and organizations under the environment. The following table illustrates the major features of the three levels of capacity.

³ Some literature divides the environment into external and internal. Internal environment refers to environment in the organization such as organizational culture, incentive and reward systems, leadership and management process. In this document, capacity at the internal environment level is included as capacity at the organization level as shown in Table 1.

| Level of Capacity | Definition of Capacity | Elements on which the capacity is based |
|-------------------|--|---|
| Individual | The will and ability to set objectives and achieve them using one's own knowledge and skills. | Knowledge, skills, value, attitude, health, awareness, etc. |
| Organization | Anything that will influence an organization's performance. | Human resources (capacities of individuals in organizations) |
| | | Physical resources (facilities, equipment, materials, etc) and capital |
| | | Intellectual resources (organizational strategy, strategic planning, business know-how, production technology, program management, process management, inter-institutional linkage, etc.) |
| | | Organizational structure and management methods which affect the utilization of the resources (human, physical intellectual assets) such as organizational culture, incentive and reward system, etc. |
| | | Leadership of managers |
| Environment | The environment and conditions necessary for demonstrating capacity at the individual and organizational levels. It includes: systems and frameworks necessary for the formation/implementation of policies and strategies beyond an individual organization. It includes administrative, legal, technological, political, economic, social and cultural environments. | Formal institutions (laws, policies, decrees, ordinances, membership rules, etc) |
| | | Informal institutions (customs, cultures, norms, etc) |
| | | Social capital, social infrastructure, etc. |
| | | Capacities of individuals and organizations under the environment |

Table 1: Key capacity features and elements at the three levels
Adapted from JICA, 2004 (p.10-11) and Lusthaus et al., 1995

The following example may clarify capacity at each of the three levels. Suppose IICBA works with a teachers college to develop the capacity of the college to manage a distance education degree programme. In this case, capacity at the individual level includes skills and knowledge of the staff members in the distance education unit and some faculty staff members in other relevant faculties of the college.

Capacity at the organization level includes the capacity of the staff members of the college, planning skills, implementation ability, past experience in managing other distance education programme, facilities of the college such as computers, the leadership and commitment of the vice-chancellor, etc.

Capacity at the environment level includes a policy enforced by the ministry of education which mandates teachers colleges to organize some distance education programmes for in-service teachers, and the level of development of internet and computer facilities in the country in general, etc.

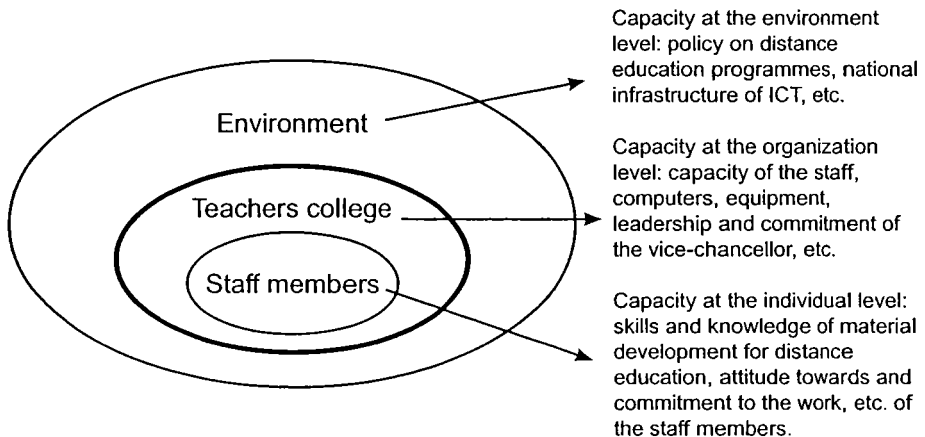


Figure 2: Levels of capacity in the case of a teachers college

Hence, it is necessary, when issues of capacity are discussed, to include as many aspects of capacity as possible and clearly explain what sort of capacity is referred to.

IICBA's Approach to Capacity Building

As mentioned above, since IICBA's responsibilities "will focus on institution building first and foremost, and on individual training as an essential component of this", IICBA's intervention activities should pay due attention to developing capacity at the organization and environment levels.

In some cases, to intervene in developing capacity at the environment level is not easy when variables at that level are controlled and influenced by national and/or international actors. However, as an institute of UNESCO which works closely with the international community and national governments, it may not be that difficult for IICBA to influence capacity at the environment level. This is an advantage of IICBA as an international organization.

Various approaches to capacity development have been proposed. Although the details of the approaches differ, there is a lot in common among the alternatives. Most approaches have been developed by reviewing and reflecting on past experiences in the field of development cooperation (See Annex 4). Some of the common perspectives and principles that appear in these approaches include: 1) emphasizing on the importance of ownership by partner organizations; (2) paying due attention to capacity development at the various levels, in particular, at the organization and environment levels; and 3) recognizing capacity development as a long-term process. Based on these perspective and principles, the following approach is proposed for IICBA's capacity building activities.

Respecting Ownership:

- (1) **Let the partner organizations take ownership of their capacity building initiatives.** Bear in mind that the role of IICBA is to serve as a catalyst. IICBA can provide information, training, or other services, but the ultimate responsibility of the initiatives must be borne by the organizations themselves. It is important to work collaboratively with the organizations from the planning stage. Discuss the long-term strategy and clarify how IICBA will phase out of the initiatives—an exit strategy—and how partner organizations will be prepared for this by changing organizational structure, establishing incentives, ensuring finance, etc., paying attention to the various levels of capacity. Ensure how committed partner organizations are to the project, for example, by identifying time, effort and money they are willing to devote to the project.

Putting Interventions in a Broader Picture:

- (2) **Focus on the needs and priorities of the organization as a whole.** Consider the context that the organizations are located in and identify their priorities. If IICBA proposes a new initiative to organizations without telling them to share some of the cost involved, they often agree easily to work on the initiative. It is, therefore, essential to identify their priorities, and ensure their willingness and commitment before starting the initiative. When they have other competing initiatives which have higher priorities, ensure how they will be able to manage their time and effort to provide for all.
- (3) **Create an environment and condition that is conducive to learning and change and in which the trainees can utilize their skills and knowledge.** When you launch a new initiative, convince the decision makers in the organization of the importance of creating an environment that is conducive to learning and change, for example, by fostering openness when discussing

learning and being aware of strengths and weaknesses. Team-based training—bringing together team members rather than individuals for training events—also helps build support for implementing change in trainees' home organizations. Think about environment (leadership style of supervisors, rules, incentives, etc.) which will encourage the participants to utilize their skills and knowledge in their daily work.

- (4) **Cultivate adequate political support.** It is necessary to study policy and regulations in a country (province/region) where the organization is located. If the environmental factors are not in favour of the capacity building initiative, have a dialogue with the higher officials in the ministries, and higher decision-makers in the organizations. Any significant capacity building effort must be supported by decision-makers in high level positions such as ministers, etc.

Recognizing Capacity Building as a Long-Term Effort:

- (5) **View capacity development as more than a one-off event.** Training must be contextualized in a boarder picture. For instance, whenever a training workshop/session is to be organized, it must be made sure how the participants will utilize the skills and knowledge they acquire through the workshop. It is necessary to put in place mechanisms to trace how they utilize the skills and knowledge and/or to organize another meeting/workshop to follow up the progress. Furthermore, it is necessary to plan how the target organizations can sustain the activities with their own resourses. If enough resources are not available, include activities that will enable the organization to generate revenue sufficient enough to sustain the intervention.
- (6) **Build in monitoring and evaluation at the outset of a capacity building initiative.** Developing a plan for monitoring and evaluation—deciding which indicators to use to monitor the progress of a capacity building process—can help you and the target organization sharpen the objectives and become more aware of assumptions. This process can be supported by developing a logical framework of the capacity building venture.
- (7) **Create a sustainable mechanism after project completion.** Ensure that capacity building initiatives can be sustained by the organizations themselves after the completion of IICBA's intervention. Plan together with the organization how to maintain and expand the initiative with their own resources. During this process, it is also important to involve other stakeholders, in particular, those organizations who are in a position to be able to decide the budget and personnel allocation to the target organizations. When physical facilities and equipment are provided through the intervention activities, ensure how they can be maintained, for example, electricity, toners, papers, maintenance, etc.

Steps in IICBA's Capacity Building

Based on the six steps proposed by Horton et al. (2003), the following steps are proposed.

Step 1: Monitor the external environment to identify needs and opportunities for organizational change

Begin by monitoring and studying the external environment such as international and national education policies, major trends in education in the countries, etc. in order to identify and ensure the needs and opportunities for organizations (e.g., teachers colleges). IICBA can assist an organization to identify its needs and opportunities through dialogue. It is important to inform partner organizations of our experiences in other countries. Dialogue with national ministries as well as international organizations (multilateral and bilateral donors) are encouraged.

Step 2: Review the organization's strategy

Review the mandates, missions, future plans and strategies of the organizations (e.g., teachers colleges). Capacity building needs can be identified or clarified through this process. This can be done by visiting the organizations.

Step 3: Identify capacity needs and plan for capacity building

Understanding the external environment and the organizational strategies makes it easier to identify capacity needs as well as ensure whether assumptions on the needs are appropriate. Use the IICBA Capacity Building Matrix (See the next section) to identify capacity needs at the three levels: individual, organization and environment. Give a breakdown of the capacity and clarify what capacity—skills, knowledge, understanding, attitude, leadership, management style, standards, equipment, etc.—needs to be developed. Then, design activities that will enable the organization to develop the capacity. The results of the analysis must be shared with the target organization. It is recommended to develop a logical framework based on the capacity needs identified.

Step 4: Discuss and agree on the support that IICBA can provide

Intervention and support such as equipment provision and training to be made by IICBA need to be clearly agreed on at the outset of the intervention. An exit strategy—how to sustain and expand the intervention after IICBA withdraws—needs to be discussed. It is important to ensure how committed the organizations are by evaluating how much time and resources they are

willing to devote (e.g., paying registration fee, bearing the cost for attending workshops, etc).

It is recommended, at this stage, to plan how to monitor and evaluate the capacity building activities. It is necessary, at least, to identify indicators that will help measure achievements.

Step 5: Implement and manage the capacity development process

Support by the decision makers in the organizations is essential at this stage. As capacity building processes call for organizational changes, effective management and environment conducive to changes are needed. If effective and supportive management does not exist, activities to develop effective management and supportive environment need to be included in the plan. Even when the management is supportive, it is recommended to involve the managers and decision makers in the project by, for example, inviting them to attend workshops/conferences, meeting with them, and keeping them informed regularly.

Step 6: Monitor and evaluate the capacity development process

You should not be bound too much by the goals/objectives that are set at the outset of the project as a capacity building process is not a one-off event. A capacity building process is not a “project” in a rigorous sense as a project only aims to achieve goals within a timeframe set at the outset. Since not only the outcomes, but the process of capacity building is important, monitoring the process is essential. Based on the results of monitoring and periodic evaluations, you need to discuss and negotiate the strategy being implemented with the organization.

Capacity Building Matrix

In order to help IICBA identify needs and activities for capacity building, the matrix shown below is proposed (Table 2). As explained in Step 3 above, it would be helpful to know what capacity at each level—individual, organization and environment—needs to be developed and to understand what capacity exactly needs to be developed. The matrix will help you to pay attention to these aspects.

| | | | | | | |
|---------------------------------|--|------------------------|-----------------------------|--|------------------------------------|------------------------------------|
| Overall Goal | | (#1) | | | | |
| Project Goal | | (#2) | | | | |
| | | Whose capacity? | Capacity to do what? | Breakdown (Element) of the capacity | How to develop the capacity | How to sustain the capacity |
| | | (#4) | (#5) | (#6) | (#7) | (#8) |
| | Individual (skill, knowledge, attitude, value, experience, etc. of staff) | | | | | |
| Target Organization (#3) | Organization (infrastructure, budget, decision-making process, leadership, administrative structure, organization culture, etc.) | | | | | |
| | Environment (policy framework, legal system, etc.) | | | | | |

Table 2: Capacity Building Matrix

How to use the matrix:

- (1) Fill in the overall goal (#1). An overall goal refers to what the partner organization and IICBA want to achieve in the long-run. An overall goal can be defined as one of the impact level outcomes of the project.
- (2) Fill in the project goal (#2). A project goal refers to what is to be achieved by the end of the project or capacity building intervention. A project goal is a subset of the overall goal.
- (3) Think and decide which organization (ministry of education, teacher education institution, provincial government, district office, school, etc.) will be targeted for capacity building intervention (#3). Depending on the intervention envisaged, you may need to have one or more target organizations. For example, if the capacity building intervention aims to develop the capacity

of teachers colleges to manage a distance education programme, the target organizations should be the teachers colleges (See Annex 5). If the intervention aims to develop the capacity of a regional education bureau (or education department of a provincial government) to promote and implement multi-grade teaching, two levels of organizations, namely, the Regional Education Bureau (REB) and the schools may be target organizations (See Annex 6). As the environment for the schools are easily determined and influenced by the capacity of the REB, in this case, both organizations, viz., the REB and schools need to be targeted (See Figure 3 below). Annex 5 and Annex 6 are actual examples taken from what IICBA has been undertaking. Annex 5 is an example of the Indira Gandhi National Open University (IGNOU) programme which has one main target organization (teachers colleges) and Annex 6 is an example of the Multi-grade School Project which has two main target organizations, viz., a Regional Education Bureau and schools.

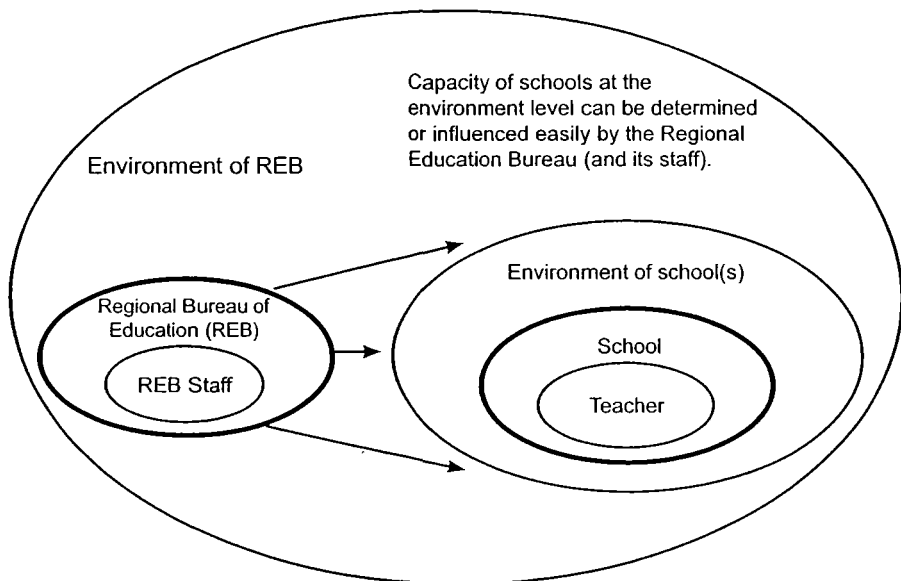


Figure 3: A case of having two target organizations⁴

- (4) Fill in the columns for “Whose capacity” (#4) and “Capacity to do what” (#5). In general, to influence the capacity at the environment level, organizations in higher hierarchical level than the target organization need to be approached.

⁴ In this context, the REB is also influenced by the schools and teachers to a certain extent. However, to simplify the interactions as a model, arrows from the school to REB were not included in the diagram

- (5) Then, specify what kind of “capacity” you are referring to (#6). These may be skills, knowledge, attitudes, values, practices, system, etc. This process will help you to come up with activities for developing the capacities in the next column “How to develop the capacity” (#7). For example, if you would like a provincial education department to have a “capacity to develop textbooks suitable for multi-grade teaching”, staff members of the provincial department need to have knowledge about learning theories (e.g., learner-centered approach) and skills for developing self-directed textbooks, etc.
- (6) It is also important to develop a plan as to how the developed capacities will be sustained and expanded (#8).
- (7) Based on the activities identified in the process above, develop a program implementation plan (See Table 3 below). It is recommended to develop a logical framework to ensure the logical sequence of the activities.

| Task | Year | | | | | | | | | | | Budget (US\$) |
|------|------|-----|-----|-----|-----|-----|-----|-----|-----|-----|-----|---------------|
| | Feb | Mar | Apr | May | Jun | Jul | Aug | Sep | Oct | Nov | Dec | |
| 1. | | | | | | | | | | | | |
| 2. | | | | | | | | | | | | |
| 3. | | | | | | | | | | | | |
| 9. | | | | | | | | | | | | |

Table 3: Example of the format for project implementation plan

Points to note for the Capacity Building Matrix

- (1) The IICBA Capacity Building Matrix can be used as a checklist. When you fill in the matrix, it will help you to realize which levels of capacity are addressed and which are not. In many cases, you have plenty of activities in the row of “individual”, but very few in the row of “organization” and “environment”.
- (2) In terms of the row of “environment”, it is often the case that you cannot find many activities. In a logical framework, most of the activities falling into this category are treated as assumptions, external conditions or risks. What is important is that you are aware of those factors which may have positive or negative impacts on the capacity building efforts.
- (3) This matrix may give you a wrong impression that the interaction and relationship between the three levels are linear and simple. The relationship and interaction among the three levels are actually complicated. The matrix discards such an aspect for the sake of simplicity.

Conclusion

This document reviews some of the literature on capacity development issues and proposed a perspective and an approach that UNESCO-IICBA could use in planning, implementing and evaluating its capacity building activities.

The document presents a holistic approach to capacity building. It is holistic because capacity building interventions must be located in a long-term timeframe and a broader context, including the various levels such as individual, organization and environment.

Some concrete steps to follow (including the use of the Capacity Building Matrix) are proposed for IICBA staff to apply the approach and the perspective in their daily work. Although it may not be easy to use the matrix at the beginning, its advantage lies in the fact that it makes IICBA staff conscious of capacity at various levels and identify what capacity needs to be developed and how it can be done.

Finally, it is worth reiterating here that IICBA's role for capacity building interventions is that of a catalyst for change. IICBA's interventions cannot be continued forever and must eventually be taken over and internalized by partner organizations. Thus, it is important to bear in mind the limitation of our involvement in capacity building interventions and the importance of having an exit strategy.

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Annex 1

Capacity “Building” or Capacity “Development”?

The two terms, namely, “capacity building” and “capacity development” are often used interchangeably or in ambiguous manner. Some people, however, make a clear distinction between the two terms because the distinction implies a difference in the attitude towards the concept of capacity development/building activities, in particular, in the field of development cooperation. Below is a succinct explanation about how the two terms are different.

Capacity Development (CD) is not the same as Capacity Building, a term that was used quite frequently.... Part of the reasoning behind the word “development” taking the place of the word “building” is to stress the “endogenous development process of partner countries.” In other words, since the term “building” connotes “creating something that does not exist”, this terminology might increase the tendency to subconsciously underestimate the ownership and potential of the partner country itself. It is vital that we recognize the fact that our role is to capitalize on the possibilities that exist in a partner country without undermining the initiative of the partner country itself. Our role is also to create an enabling environment to contribute to the sustainable development of the partner country (JICA 2003: p. 7)

Box 1: Capacity Development and Development Cooperation
(Excerpt from *Approaches to Capacity Development: From Projects to Programs and Beyond* written by Lavergne, 2003)

What has changed? One major change is the importance accorded to local ownership and participation. Early models of development cooperation emphasized the resource transfer role of foreign aid. We spoke of capital transfers, of technology transfers, of knowledge transfers. So, even when we did engage in capacity development, it was from the perspective of transferring capacity from North to South. In the 1980s, the emphasis shifted to policy reform—particularly in the Breton Woods Institutions, but here too, the policies in questions were largely being transferred to developing countries, in the form of conditionalities, in ways that largely ignored local ownership.

Capacity issues emerged in both cases. The intended transfer of resources were obviously insufficient in the absence of local capacity to manage the new resources. In the case of policy

reforms, it became obvious that “policies” by themselves were insufficient in the absence of local capacity to implement those policies or of a sufficient supply response due to low capacities elsewhere in the system.

Let us remember that this is the context in which the concept of Capacity Building – usually thought to be much the same as that of Capacity Development – emerged in the first place, because this heritage continues heavily to affect our thinking today. **The expression “Capacity Building” that remains prevalent in many quarters today continues to imply a “transfer” model of development cooperation –as though all one had to do was to build up the capacity to fill whatever gaps had been identified. This was a quick fix, gap-filling approach to Capacity Development.**

However, there emerged in parallel to this an ever more sophisticated understanding of the notion of capacity development and its application to aid effectiveness. What emerges out of *Shaping the 21st Century*, and increasingly in the dialogues of organizations like the World Bank and UNDP, is an understanding of development as a process of social transformation, and a different notion of the role of development cooperation, understood not so much in terms of resource transfers or of policy reform, but the more general role of “change agent” (emphasis added).

Box 1 above describes the reason why it is important to distinguish “capacity development” from “capacity building” in the context of the history of development cooperation. Thus, when speaking about capacity issues, it may be necessary to be conscious about the meaning and contexts in order to avoid unnecessary arguments about the usage of the terms. In this framework, however, the term “capacity building” is used since IICBA has used only this term up to now.

Annex 2

Institution or Organization?

The term “institution” also needs to be used carefully. The term “institution” has two different meanings: 1) an organization founded for a religious, educational, or social purpose; and 2) an established law or custom (Concise Oxford English Dictionary, 2001).

Box 2: The Evolution of Institutional Thinking (Excerpt from UNDP, 1997)

Like its counterpart on the economic side, the evolution of institutional thinking reflects the changing demands and perceptions of development cooperation.

In the 1950s and 1960s institutional building referred to setting up in developing countries basic public organizations required to manage the functions of a state. The focus was on the design and functioning (the building) of formal organizations in the public sector, such as public service commissions, audit bureaus, planning commissions, and the like.

In the 1960s and 1970s institutional strengthening dealt with improving existing organizations (for example, their financial systems, more staff training for counterparts) instead of building new ones. Most donors included such strengthening within programmes that would supposedly lead to a smooth handover to local officials at the end of donor involvement.

Development management in the 1970s referred to the management and implementation of development programmes, particularly for social development and basic human needs. It looked at the ability of public institutions and governments to reach target groups, especially the rural poor ignored by centralized bureaucracies created in the colonial period and in the 1960s.

In the 1980s institutional development referred to the broader process in which a society creates and maintains organizations to deliver value to citizens. It applied to private-sector organizations, NGOs as well as government. Institutional development was seen as a longer-term process of restructuring and organizational change that went beyond any single organization. Public-sector reform began to take on a new urgency, and capacity building was introduced,

emphasizing new capacities and institutions with the support of external assistance.

In the 1990s holistic and cross-sectoral approaches to change, institutional economics and governance have provided more insights. These look at dynamic relations between actors and the overall policy and governing context for sustainable change. Capacity development has become a central goal and people the focus. Institutional economics emphasizes the importance of incentives and the motivation of institutional actors, especially where this information is scant or poor. This approach also looks at the impact of the rules of the game on organizational performance. Governance covers topics such as the impact of the political economy on organizational and individual performance, democratisation, legal systems, participation, accountability and legitimacy.

What complicates the situation is that the term has been used to refer to both meanings, depending on context. For example, since the 1950s, several concepts related to “institution” have emerged and been utilized in the field of development cooperation such as “institutional building”, “institutional strengthening”, “institutional development”, etc. In the early days, the term “institution” referred mainly to an “organization”. However, since the 1990s, influenced by the change in the approaches to development cooperation, emphasis of the term has been placed on the other aspects such as incentives, motivation, organizational culture, etc.

Annex 3

Definitions of Capacity Building/Development (adapted from Lusthaus, 1999)

| No. | Definition |
|-----|--|
| 1 | Capacity is the ability of individuals, groups, institutions and organizations to identify and solve development problems over time. (Peter Morgan, 1996) |
| 2 | Capacity development is a concept which is broader than organizational development since it includes an emphasis on the overall system, environment or context within which individuals, organizations and societies operate and interact (and not simply a single organization). (UNDP, 1998) |
| 3 | Capacity development is "...any system, effort or process... which includes among its major objectives strengthening the capability of elected chief executive officers, chief administrative officers, department and agency heads and programme managers in general purpose government to plan, implement, manage or evaluate policies, strategies or programs designed to impact on social conditions in the community." (Cohen, 1993). |
| 4 | ...capacity is the combination of people, institutions and practices that permits countries to reach their development goals...Capacity building is... investment in human capital, institutions and practices. (World Bank, 1998) |
| 5 | Capacity building is any support that strengthens an institution's ability to effectively and efficiently design, implement and evaluate development activities according to its mission. (UNICEF-Namibia, 1996) |
| 6 | Capacity building is a process by which individuals, groups, institutions, organizations and societies enhance their abilities to identify and meet development challenges in a sustainable manner. (CIDA, 1996) |
| 7 | Capacity development: The process by which individuals, groups, organizations, institutions and societies increase their abilities to perform functions, solve problems and achieve objectives; to understand and deal with their development need in a broader context and in a sustainable manner. (UNDP, 1997) |
| 8 | Capacity strengthening is an ongoing process by which people and systems, operating within dynamic contexts, enhance their abilities to develop and implement strategies in pursuit of their objectives for increased performance in a sustainable way. (Luthaus et al. for IDRC, 1995) |

Annex 4

Problems in the traditional approaches and a new approach to capacity development

Problems in the traditional approaches

It should be worth understanding the context from which the concept of “capacity building” has emerged. The concept became more controversial after UNDP published the book “Rethinking Technical Cooperation: Reforms for Capacity-Building in Africa (Berg and UNDP, 1993)” which reviewed the effectiveness of technical cooperation with over 30 countries in Africa. Most of the country reviews reached similar conclusions which can be summarized as follows:

Technical cooperation had proven effective in getting the job done, but less effective at developing local institutions or strengthening local capacities; and that it was expensive, donor-driven, often served to heighten dependence on foreign experts, and distorted national priorities. (emphasis added). (Fukuda-Parr, Sakiko, et al., 2001, p. 4).

Based on the results of the review, UNDP attributes the problem to the two mistaken assumptions that the old development model was based on. The first mistaken assumption is that “it is possible to ignore existing capacities in developing countries and replace them with knowledge and systems produced elsewhere – a form of development as displacement, rather than development as transformation”. The second one is that “it is possible for donors to ultimately control the process and yet consider the recipients to be equal partners” (Fukuda-Parr, Sakiko, et al., 2001, p. 8).

Then, they present a new perspective on development cooperation as follows:

As countries transform themselves, they have to develop different capacities. But it is important to recognize that they do not do so merely as an aggregate of individuals. National capacity is not just the sum total of individual capacities. It is a much richer and more complex concept that weaves individual strengths into a stronger and more resilient fabric. If countries and societies want to develop capacities, they must do more than expand individual human skills. They also have to create the opportunities and the incentives for people to use and extend those skills....Most technical cooperation projects, however, stop at individual skills and institution-building; they do not consider the societal (environmental) level. (emphasis added). (Fukuda-Parr, Sakiko, et al., 2001, p. 9).

The notion below elaborates the perspective:

*In the past, there has been a fragmented approach to capacity development, which focused on individuals rather than the organizations as a whole. This is perhaps most clearly reflected in the emphasis of traditional capacity development efforts on individual training. However, **organizations do not necessarily change and grow stronger when individuals learn and develop their capacities in isolation.***

*Individual knowledge, skills, and attitudes are of course important, but they are not sufficient to develop organizational knowledge and promote change. **Capacity development efforts must also include team building, and the development of the organizational procedures and systems that channel human abilities towards achieving the organization's goals.*** (emphasis added). (Horton et al, 2003, p. 44).

Horton et al. (2003) present as follows some of the common characteristics of traditional approaches and major traps that the development cooperation agencies are likely to fall into:

- i) Organizational capacities are not developed through training individuals, delivering information, or participating in collaborative projects alone. These can be important components of a capacity development strategy, but only when they address organizational priorities;
- ii) Most of the past organization capacity development began with assessing, or sometimes even assuming, the needs of individual staff members or the needs of individual projects or units;
- iii) Managers believe that upgrading the capacity of the individual will lead to better individual performance, and that this will automatically lead to better performance of the organization as a whole;
- iv) Individual staff or project-focused support seldom addresses the organizational priority needs;
- v) A focus on individuals or projects misses the “big-picture” issues facing the organization;
- vi) Trained individuals may not find an environment conducive to the use of their new knowledge, skills and attitudes; and
- vii) A focus on individuals and projects may even undermine the organization’s capacity.

A holistic approach to capacity development

Based on the discussion about the problems and issues of the traditional approaches to capacity development, Horton et al (2003). propose the principles of a holistic approach to capacity development as shown below (modified by the author).

- a) Let them take the ownership of their capacity development initiative.
- b) Focus on the needs and priorities of the organization as a whole.
- c) Pay attention to the processes of capacity development.
- d) Build in monitoring and evaluation at the outset of a capacity development initiative.
- e) View capacity development as more than a one-off event.
- f) Engage stakeholders in the capacity development process.
- g) Cultivate adequate political support and preserve your autonomy.
- h) Establish an environment that is conducive to learning and change.

In addition, it should be noted that **it is essential to create a sustainable mechanism after project completion.** When a project/programme is launched, a post-project scenario or an “exit strategy” upon the completion of the project must be developed. It is crucially important to incorporate certain mechanisms for ensuring the sustainability of the project outcomes as early a possible. By doing so, it becomes easier for IICBA to understand what environment should be created for the project outcomes to be sustained.

Horton et al. (2003) also propose the following six steps for holistic capacity development:

- Step 1: Monitor the external environment to identify needs and opportunities for organizational change;
- Step 2: Review the organization’s strategy;
- Step 3. Identify capacity needs and plan for capacity development;
- Step 4. Negotiate external support;
- Step 5. Implement and manage the capacity development process; and
- Step 6. Monitor and evaluate the capacity development process.

It is also worth quoting the following caution made by Horton et al (2003):

Capacity development involves learning and experimentation and what works well in one place may fail in another....Keeping in mind the futility of searching for universal formulas, our experiences and reflections

from the evaluation studies suggest the value of going through the steps listed below. Given the nature of capacity development processes, and the frequent changes that organizations are exposed to today, managers should not expect to implement these steps in a neat sequence as presented. Nevertheless, our experience suggests there is some logic in the order presented, which is mirrored in recent research on organizational strategy and development in a wide variety of organizations and settings. (Horton et al., 2003, p. 57)

These principles and steps above are modified and adapted as IICBA's Capacity Building Framework.

Annex 5

Capacity Development Matrix (Example 1: Indira Gandhi National Open University)

| | | | | | | |
|----------------------------------|---|--|--|---|--|--|
| Overall Goal | | To strengthen teacher education in Africa by developing institutional capacity to deliver large scale and continuous in-service training through distance education | | | | |
| Project Goal | | To promote awareness about the concept and utility of distance education (DE) in African countries by training DE specialists To develop the needed human resource of distance teacher educators for African teacher training institutions who utilize DE | | | | |
| | | Whose capacity? | Capacity to do what? | Breakdown (Element) of the capacity | How to develop the capacity | How to sustain the capacity |
| | Individual (skill, knowledge, attitude, value, experience, etc. of staff in TTC) | <ul style="list-style-type: none"> - Staff of DEU - Staff of the Faculty and Department of Education - National tutors | <ul style="list-style-type: none"> - To develop distance learning materials. - To support DE students. | Knowledge and skills needed to: <ul style="list-style-type: none"> - develop distance education materials; - set and mark exams and assignments; and - plan and manage distance education programmes. - Academic qualification of staff to be updated. | <ul style="list-style-type: none"> - Faculty staff to be trained with IGNOU Programs (MADE, PGDDE) - Tutors to be trained who will work as local tutors. | |
| Teacher Training Colleges | Organization (infrastructure, budget, decision-making process, leadership, administrative structure, organization culture, etc. of TTC) | <ul style="list-style-type: none"> - Teacher Training College (TTC) - Distance Education Unit (DEU) in TTC - Administration staff of TTC | <ul style="list-style-type: none"> - To integrate and manage the DE programs | <ul style="list-style-type: none"> - Knowledge and skills of developing distance education materials, managing DE programmes, etc. - Infrastructure. - Content. | <ul style="list-style-type: none"> - A study group to be formed of 3-5 students in each organization - Involvement of Deans of the organizations to be continued - Staff development activities such as training, regular meeting, etc. | <ul style="list-style-type: none"> - Dialogue with Vice-chancellor - Establish DEU with a team of specialists (graduates). - Visit and support the groups |
| | Environment (policy framework, legal system, etc.) | <ul style="list-style-type: none"> - Ministry of Education (MOE) | <ul style="list-style-type: none"> - To support the project | <ul style="list-style-type: none"> - Acceptance of the idea about distance education for teacher development | <ul style="list-style-type: none"> - Raise awareness by having dialogues with MOE. - Consensus on the change in the policy on distance education - Policy change in distance education in Ethiopia | |

Annex 6

Capacity Development Matrix (Example 2: Multi-grade School)

| Overall Goal | | To contribute to the achievement of EFA Goals by improving the access to education in rural areas in Ethiopia | | | | |
|---------------------------|--|---|---|--|--|--|
| Project Goal | | To develop capacity to implement and manage multi-grade schools in Amhara and Oromia regions. | | | | |
| | | Whose capacity? | Capacity to do what? | Breakdown (Element) of the capacity | How to develop the capacity | How to sustain the capacity |
| | Individual (skill, knowledge, attitude, value, experience, etc. of staff) | <ul style="list-style-type: none"> - Staff of REB Curriculum Dept. - Staff of REB Planning Dept. - Woreda staff - School inspectors | <ul style="list-style-type: none"> - To develop interactive textbooks for multi-grade teaching - To conduct workshops for multi-grade teachers | <ul style="list-style-type: none"> - Knowledge and understanding of the learner-centered approach - Skills as to how to develop interactive textbooks based on ordinary textbooks | <ul style="list-style-type: none"> - An orientation workshop for REB staff to be conducted | <ul style="list-style-type: none"> - To scale it up, multi-grade concept shall be introduced as a chapter in pre-service teacher training courses. |
| Regional Education Bureau | Organization (infrastructure, budget, decision-making process, leadership, administrative structure, organization culture, etc.) | <ul style="list-style-type: none"> - Regional Education Bureau (REB) - Woreda | <ul style="list-style-type: none"> - To supervise and implement all the regional activities (selection of school construction sites; assignment and training of teachers; paying teacher's salary; facilitating the transfer of pupils to 2nd cycle of primary education. | <ul style="list-style-type: none"> - Understanding of the multi-grade school model by Head of REB - Teacher support mechanism to be in place. | <ul style="list-style-type: none"> - Head of REB to be invited to the orientation workshop or to be informed before the project starts | |
| | Environment (policy framework, legal system, etc.) | <ul style="list-style-type: none"> - Ministry of Education (MOE) | <ul style="list-style-type: none"> - To support Regional Education Bureaus (REBs) to implement and expand the multi-grade school model | <ul style="list-style-type: none"> - Acceptance of the concept of multi-grade school model - Enforcement of policies to promote the multi-grade model | <ul style="list-style-type: none"> - A Steering Committee to be formed - A workshop to be organized on multi-grade teaching for REB staff | <ul style="list-style-type: none"> - Keep organizing the Steering Committee meeting regularly. |
| | Environment (surrounding of schools) | <ul style="list-style-type: none"> - Community - PTA | <ul style="list-style-type: none"> - To maintain the school (building maintenance, security guards, etc.) - To participate in managing the school | <ul style="list-style-type: none"> - Ability to raise and maintain necessary funds | <ul style="list-style-type: none"> - Interest the community and PTA in the school by involving them in the project from the beginning | |
| Schools | Organization (schools) | <ul style="list-style-type: none"> - School - Principal | <ul style="list-style-type: none"> - To construct classrooms to accommodate various graders - To provide necessary equipment and materials - To support a multi-grade teacher | <ul style="list-style-type: none"> - Skills and knowledge of where and how to construct classrooms suitable for multi-grade teaching - Ability to raise necessary funds - Commitment to and understanding of multi-grade school model by school principal | <ul style="list-style-type: none"> - A school governing board to be established - The principals to be invited to the orientation workshop - REB should provide woreda offices principals with clear instruction regarding multi-grade model. | <ul style="list-style-type: none"> - Incentives to be provided such as house provision and transfer opportunities, free medication, promotion opportunities |
| | Individual (Principals, Subject Heads, Teachers) | <ul style="list-style-type: none"> - Multi-grade teachers | <ul style="list-style-type: none"> - To conduct multi-grade teaching | <ul style="list-style-type: none"> - Classroom management. - Pedagogical skills needed to teach multi-grade class | <ul style="list-style-type: none"> - Workshops for multi-grade teachers to be organized ∴ | <ul style="list-style-type: none"> - Experiences in multi-grade teaching to be shared - Workshops to be regularly organized for teachers |

The UNESCO International Institute for Capacity Building in Africa (IICBA)

The UNESCO International Institute for Capacity Building in Africa (IICBA) is an international centre for building capacities of educational institutions in Africa, focusing on research and training for teacher education, cost-effective uses of ICT for education, education policy and management.

It was established by UNESCO in 1999 and is financed by UNESCO and by voluntary contributions from Member States. In recent years the following Member States have provided voluntary contributions to the Institute: Japan, Norway, Sweden and the United States of America.

The Institute's aim is to contribute to the development of education throughout the world, in particular in Africa by expanding both knowledge and the supply of competent professionals in the area of capacity building for education. In this endeavour the Institute co-operates with interested training and research organizations in the UNESCO's Member States. The Governing Board of the IICBA, which approves the Institute's programme and budget, consists of 12 members, appointed by the Director-General as follows: 9 members from the region, one of whom is a national of the host country; 2 members from regional organizations and 1 member representing the bilateral donor community.

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