

ANNEXES

- 1** Suggested Reading
- 2** Optional Approaches (Tools, Techniques) To Capacity Assessments
- 3** Important Questions Regarding Implementation of Capacity Initiatives
- 4** Characteristics of Successful Capacity Development Implementation
- 5** A Case Example—Governance Programme

SUGGESTED READING

This annex is prepared for those who would like to carry out further research and reading on the topics discussed in the guidelines. The first section contains references to relevant UNDP publications and reports on capacity and capacity related issues. The UNDP and its special divisions have their own web sites. You are encouraged to access information from the key organisational entities within the UNDP through the Internet as follows:

www.undp.org	United Nations Development Programme
www.undp.org/undp/dopp	Division for Operational Policies and Procedures (UNDP/DOPP)
http://magnet.undp.org	Management Development and Governance Division (UNDP/MDGD). The special Management and Governance Network (MagNet)

CONTENTS

1.0 UNDP AND RELATED REFERENCE MATERIAL . . .	63
2.0 OTHER DONOR AND INSTITUTIONAL REFERENCE MATERIAL	64
3.0 STRATEGIC AND CHANGE MANAGEMENT	65
4.0 GOVERNMENT, ORGANISATIONS AND INDIVIDUALS	66

1.0 UNDP AND RELATED REFERENCE MATERIAL

Aid Coordination and NaTCAP Evaluation: UNDP's Role in Aid Effectiveness, DOPP, January, 1995

Assessment of UNDP: Developing Capacity for Sustainable Human Development, Center for Development Research, Report prepared for the UNDP, February, 1996

Building Sustainable Capacity: Challenges for the Public Sector, A Study for the Bureau for Policy and Programme Support, OESP, UNDP, 1996

Capacity Assessment Development Guidelines, MDGD, May, 1997 draft

Capacity Building Requirements for Global Environmental Protection, J.F.E. Ohiorhenuan and S.M. Wunker, Working Paper no. 12, GEF, 1995.

Capacity Development, MDGD, Technical Advisory Paper 2, 1997

Capacity Development and UNDP: Supporting Sustainable Human Development, MDGD, June, 1997

Capacity Development: Lessons of Experience and Guiding Principles, UNDP internal publication, December, 1994

CAPBUILD for Institutions, MDGD\BDP, UNDP 1998 (now being revised after field testing).

Catching Up: Capacity Development for Poverty Elimination in Viet Nam, UNDP, Hanoi, 1996

Developing Capacity for Effective Governance – Country Office Guide, A Three Day Workshop for Country Offices, MDGD, 1997

Governance, Public Sector Management and Sustainable Human Development, UNDP Strategy Paper, 1993, NY

Guidelines for Capacity Development Programme, Leonard Joy, 1996 (mimeograph)

How to Implement the Programme Approach, A User's Guide, May, 1997

Institutional Capacity Analysis and Development System (ICADS): Operations Manual, Alain Tobelem, LATPS Occasional Paper Series, November-July 1992.

NaTCAP: National Technical Co-operation Assessment and Programmes—Evaluation, Report by Maurice Williams, RBA/BPPE, 1991

Pilot-case on Capacity Assessment for Public Management and Decentralization: Sierra Leone, M. Zwanikken, MDGD/BPPS, UNDP, December 1994.

Process Consultation: Systemic Improvement of Public Sector Management, handbook prepared by UNDP/MDGD, 1995

Rethinking Technical Cooperation: Reforms for Capacity Building in Africa, Regional Bureau for Africa, UNDP and Development Alternatives Inc., Coordinated by E. Berg, 1993

Systemic Improvement of Public Sector Management—Process Consultation, MDGD, 1995

2.0 OTHER DONOR AND INSTITUTIONAL REFERENCE MATERIAL

(The) Australian Public Service Reformed, Task Force on Management Improvement, Australian Government Publishing Service, 1993, Canberra

Bossuyt, J., Capacity Development: How Can Donors Do It Better?, Policy Management Brief, No. 5, European Center for Development Policy Management, Maastricht, 1995

CIDA, Capacity and Institutional Assessment: Frameworks, Methods and Tools for Analysis, prepared by P. Morgan and S. Taschereau, Policy Branch, June, 1996

CIDA, Applying Results-Based Management to Capacity Development—A Working Document, prepared by P. Morgan and A. Qualman, Policy Branch, June, 1996

Dia, Mamdou, A., A Governance Approach to Civil Service Reform in Sub-Saharan Africa, World Bank, 1993

Fukuda-Parr, S., Beyond Rethinking Technical Cooperation: Priorities for Capacity Building and Capacity utilization in Africa, International Journal of Technical Cooperation, Winter, 1996

IDRC, Institutional Assessment: A Framework for Strengthening Organizational Capacity for IDRC's Research Partners, 1995

The World Bank, Pilot Case on Capacity Assessment for Public Sector Management and Decentralization, Report on Programming Mission to Sierra Leone, 1994

The World Bank, Assessing Sector Institutions: Lessons of Experience from Zambia's Education Sector, Discussion Paper # 297, by Pinto, R. and Mrope, A.

The World Bank, Projectizing the Governance Approach to Civil Service Reform: An Institutional Environment Assessment for Preparing a Sectoral Adjustment Loan in the Gambia, Discussion Paper # 252

3.0 STRATEGIC AND CHANGE MANAGEMENT

Aaker, D. A. Strategic Market Management, nd ed., John Wiley & Sons, 1988

Argyris, C., Strategy, Change, and Defensive Routines, Ballinger, Boston, 1985

Beer, M., Eisenstat, R. and Spector, B., The Critical Path to Corporate Renewal, Free Press, New York, 1990

Hamper, R.J., Baugh, L.S. Strategic Market Planning, NTC Business Books, 1990

Harvard Business Review, Managerial Excellence: McKinsey Award Winners from the HBR 1980-1994, HBR Publications, 1996

Jick, Todd., Managing Change: Cases and Concepts, Richard Irwin, Chicago, 1993

Kanter, R.M., The Change Masters, Simon and Schuster, New York, 1983

Kaplan, R., Norton, D., Using the Balanced Scorecard as a Strategic Management System, Harvard Business Review Feb, 1996

Keen, Peter, Shaping the Future: Business Design Through Information Technology, Harvard Business School Press, 1991

Paton, R., Jelking, A., No-Name Management for the '90's, Journal of Public Sector Management, Summer, 1994

Peters, T., Thriving on Chaos, Alfred A. Knopf, New York, 1988

Peters, T., Liberation Management: Necessary Disorganization for the Nanosecond Nineties, Fawcett Columbine, NY, 1992

Rumelt, R. et al, Fundamental Issues in Strategy: A Research Agenda, Harvard Business School Press, 1994

Thompson, A., Strickland, A. Strategic Management: Concepts and Cases, 4th Edition, BPI/Irwin, 1987

Wilson, D., A Strategy of Change, Routledge, London, 1992.

The following journals contain numerous articles and features on strategic planning and related areas, in both the public and private sector contexts.

Strategic Management Journal

Journal of Business Strategy

4.0 GOVERNMENT, ORGANISATIONS AND INDIVIDUALS

Covey, S. R., The 7 Habits of Highly Effective People, Simon & Schuster, New York, 1989

DePree, Max, Leadership is an Art, Dell Publishing, 1989.

Douglas, R., Unfinished Business, Random House, New Zealand, 1993

Drucker, Peter, Innovation and Ownership, 1985

Drucker, Peter F., Managing for the Future. The 1990's and Beyond. New York: Truman, Talley Books/Dutton, 1992.

Drucker, Peter, Managing in Times of Great Change, 1996

Gillespie, John V. and Betty A. Nesvold eds., Macro-quantitative Analysis: Conflict Development, and Democratization. California: Sage Publications, 1971.

Government of Canada, Employee's Guide on Work Force Adjustment, Public Service Commission of Canada, 1995

Government of Canada, Strategies for People: An Integrated Approach to Changing Public Service Culture, Treasury Board Canada, 1992

Government of Australia, Managing People in the Australian Public Service, Report 323, Joint Committee of Public Accounts, 1993

Hersey, P., Blanchard, K., Management of Organizational Behavior: Utilizing Human Resources. 3rd edition. Englewood Cliffs, NJ: Prentice-Hall Inc., 1977.

Kevin, John B. Methods for Business Research. New York: Harper Collins Publishers, 1992.

Neuman, William Lawrence. Social Research Methods: Qualitative and Quantitative Approaches. Boston: Allyn and Bacon, 1991.

Osborne, D., Gaebler, T., Reinventing Government, Plume Books, 1993

O'Sullivan, E., Rassel, G. R., Research Methods for Public Administrators, New York: Longman Publishers, 1995.