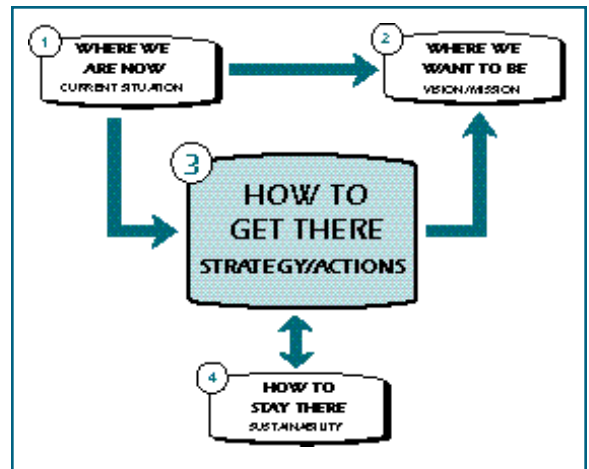


6.1 SETTING THE STAGE

The greatest challenge in any capacity initiative is moving from concept to action. The determining success factor in a successful capacity development initiative lies in the development of its implementation strategy and plan—the detailed blueprint or road-map which will successfully move the (system, entity, individual) forward from the present situation to meet the future situation. The implementation plan and supporting actions close the gaps between the existing capacities and needed future capacities. This is done through capacity development, and especially the full utilisation of existing capacities, even if it means their redeployment.



Defining “how to get there” is the discipline of strategic, long-range or programme planning. It is based on planning for change where especially transformational change is envisaged. And change means for the most part strengthening and developing the varied dimensions of capacities at the systems, entity and individual levels.

The mission and vision—at a system level, at an entity level, at an individual level—defines the “what.” Implementation strategy and actions define the “how.” By definition, a strategy defines the means by which the what is achieved. An implementation strategy is linked directly to the mission and consists primarily of detailed plans which are then resourced and implemented, become time-bound actions, and produce measurable results. Figure 12 illustrates the basic distinctions between the “what” and “how” parts of implementation for a capacity initiative.

THIS CHAPTER discusses the general principles of implementation and strategy development for capacity initiatives. Suggestions are made on the structure and format of an implementation strategy and discussions are given on leadership, resistance and what makes a successful strategy. Emphasis throughout is given to how to best utilise existing capacities.

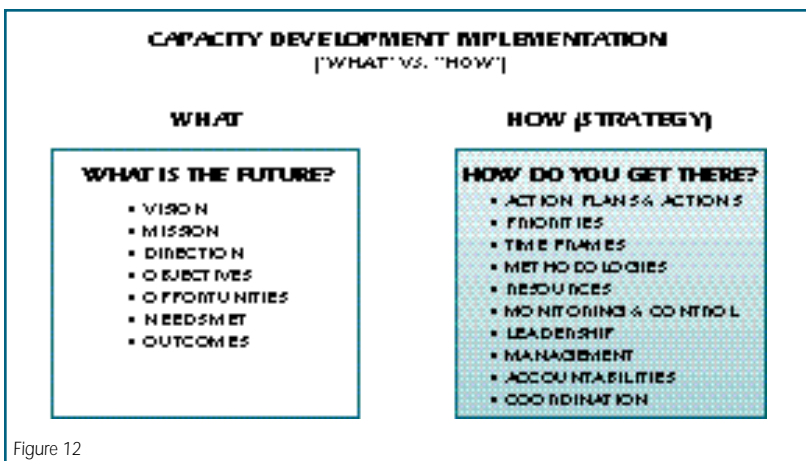
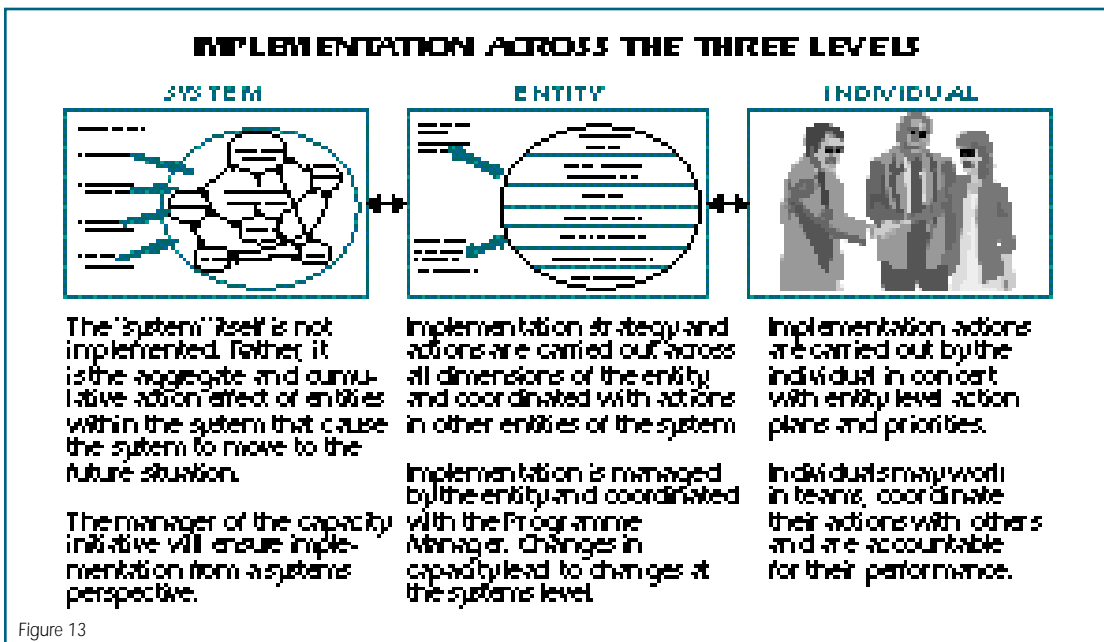


Figure 12

These action plans very much focus on the detailed assessment of needs and the development of capacities at all levels in order to achieve the defined objectives. It cannot be said that strategic management focuses exclusively on developing capacities, although this invariably is a major focus. Other actions might address capacity management overheads, mobilizing resources, coordinating programme activity with other programmes, maintaining ongoing liaison and the like.

In Figure 13, change and capacities at the systems level are shown to result from the aggregate or cumulative effect of changes and capacities at the entity and individual levels. It is through the entities and individuals that the rules, processes and purpose of the system will move toward the new future.



The action plans for the entity and individual levels at this stage would include the provision of more detailed assessments of capacity needs associated with achieving defined objectives. Such needs may have been identified at a general level at an earlier stage of analysis (i.e., as described in the preceding chapters). A major focus of implementation planning, strategy development and action planning is closing the capacity gaps at all levels in a synchronised, coordinated and integrated manner. The principles, concepts and approaches to implementation planning and implementation at the systems and entity levels have much in common.

Implementation and capacity development at the individual level is an integral part of the other two levels. Hence, these three levels do not need to be addressed separately here as they were in the preceding chapters. The emphasis in this chapter is to provide guidelines and suggestions on how to develop successful and pragmatic implementation strategies for capacity initiatives. Many of the points discussed here apply as well to the assessments and approaches discussed in preceding chapters.

6.2 MOVING FROM ASSESSMENT TO DEVELOPMENT AND IMPLEMENTATION

The “champions” or key stakeholders for a proposed capacity initiative usually decide to proceed with implementation once the relative costs and benefits are known. The assessments and analyses discussed in the preceding chapters will have provided that information. It is now time to get on with it. To develop concrete strategies and action plans, then to implement the actions. We can use the model and see that it can now be completed for the system and the entity levels.

CAPACITY DEVELOPMENT AT THE SYSTEMS LEVEL
(STRATEGY AND IMPLEMENTATION)

DIMENSION OF CAPACITY	1 2 3 4			
	EXISTING CAPACITY	FUTURE CAPACITY	CAPACITY GAP	STRATEGIES
1 POLICY FRAMEWORK	✓	✓	✓	✓
2 LEGAL AND REGULATORY FRAMEWORK	✓	✓	✓	✓
3 MANAGEMENT ACCOUNTABILITY FRAMEWORK	✓	✓	✓	✓
4 SYSTEMS LEVEL RESOURCES	✓	✓	✓	✓
5 PROCESSES AND RELATIONSHIPS	✓	✓	✓	✓

Figure 10-c

Figures 10-c and 11-c show that the analysis for implementation planning concentrates on Column 4—the strategies required to close the identified gaps. There may be a high level strategy for the initiative as a whole (covering the system and entity levels), an overall strategy for the system and each entity, then more operational strategies for each capacity dimension. All these together would lead to developing the needed capacities as well as ensuring their sustainability.

CAPACITY DEVELOPMENT AT THE ENTITY LEVEL
(STRATEGY AND IMPLEMENTATION)

DIMENSION OF CAPACITY	1 2 3 4			
	CURRENT CAPACITY	FUTURE CAPACITY	CAPACITY GAP	STRATEGIES
1 STRATEGIC MANAGEMENT	✓	✓	✓	✓
2 CULTURE/STRUCTURE	✓	✓	✓	✓
3 PROCESSES	✓	✓	✓	✓
4 HUMAN RESOURCES	✓	✓	✓	✓
5 FINANCIAL RESOURCES	✓	✓	✓	✓
6 INFORMATION RESOURCES	✓	✓	✓	✓
7 INFRASTRUCTURE	✓	✓	✓	✓
8 INTER-RELATIONSHIPS	✓	✓	✓	✓

Figure 11-c

There may be some dimensions of capacity which need no further attention—it may have been assessed that these dimensions are adequate and supportive of the proposed capacity initiative. Other dimensions may need a great deal of attention and resourcing. The various strategies and action plans would need to be linked or integrated in terms of relative priorities, interdependencies and sequence, building toward full implementation on an incremental, step-by-step basis.

At the individual level, separate “actions plans” may be developed which would identify training or retraining, performance incentives, career progression, employment contracts and the like. Again, these would be linked to the strategies and plans of the entities within which these individuals would work, and to the overall system level.



6.3 AN IMPLEMENTATION FRAMEWORK

Most strategic planning methodologies, including those for capacity initiatives, recommend structures and formats for translating strategy into action and implementation. The chart below introduced in Section 4.2, expands on the structure to include some indicative activities, which support the production of the indicated outputs. Each output supports the achievement of the indicated objectives. And each objective supports the strengthening or development of capacities—or the closing of capacity gaps that had been identified during earlier assessments.

Chart 1-c: Hierarchy of Objectives—An Example

TITLE: To Decentralise Service Delivery Planning to the Local Level

SYSTEM LEVEL

Objective 1.0 To amend health standards according to local conditions

Output 1.1 New health service delivery standards

ACTIVITY 1.1.1 SET-UP A HEALTH SERVICE DELIVERY STANDARDS REVIEW COMMITTEE

ACTIVITY 1.1.2 DEVELOP DRAFT SET OF NEW STANDARDS

ACTIVITY 1.1.3 REVIEW AND APPROVE NEW STANDARDS

ACTIVITY 1.1.4 ETC.

Objective 2.0 To rationalise the central/ local budgetary and revenue systems

Output 2.1 Amended central budget law

Objective 3.0 etc.

ENTITY LEVEL

Objective 1.0 To improve planning of local service delivery

Output 1.1 Local service delivery planning unit set up

ACTIVITY 1.1.1 DEVELOP BUSINESS/ORGANISATION PLAN FOR NEW UNIT

ACTIVITY 1.1.2 DEVELOP ORGANISATIONAL STRUCTURE AND POSITION DESCRIPTIONS

ACTIVITY 1.1.3 STAFF KEY POSITIONS

ACTIVITY 1.1.4 ETC.

Output 1.2 Service delivery planning and forecasting system implemented

ACTIVITY 1.1.1 DETERMINE REQUIREMENTS FOR NEW SYSTEM

ACTIVITY 1.1.2 IDENTIFY AND EVALUATE ALTERNATIVE SYSTEMS SOLUTIONS

ACTIVITY 1.1.3 ETC.

Output 1.3 etc.

Objective 2.0 etc.

INDIVIDUAL LEVEL (see Subsection 4.4, below)

Objective 1.0 Trained staff within the local planning unit

Output 1.1 Training strategy and plan

Output 1.2 Trained staff

Output 1.3 Completed study tours

ACTIVITY 1.1.1 DETERMINE REQUIREMENTS FOR STUDY TOUR

ACTIVITY 1.1.2 DESIGN STUDY TOUR, SELECT PARTICIPANTS

ACTIVITY 1.1.3 CONDUCT STUDY TOUR, EVALUATE RESULTS

ACTIVITY 1.1.4 ETC.

Output 1.4 etc.

6.4 SOME IMPORTANT QUESTIONS

Before getting into the detailed implementation planning for a capacity assessment initiative, some key questions will need to be addressed to allow you to plan smarter. The questions which follow are covered in detail in Annex 3.

- (1) **Who prepares the implementation strategy?** Not only the implementation strategy, but initial and ongoing capacity assessments should be done by those responsible for acting on them. This ensures ownership and commitment. However, other stakeholders and outside experts/facilitators may be part of an internal team that is charged with carrying out the work.
- (2) **What does an implementation strategy look like?** Implementation strategies should be adapted to the needs of each situation. The strategy documents must be readable and prepared in nontechnocratic language. This will enhance the chance of it being understood and accepted.
- (3) **How long does it take to develop?** Capacity assessments and implementation strategies can and should be completed within reasonable time-frames (can vary from a few weeks to a few months). Extended time periods usually result in loss of interest and commitment.
- (4) **What audience is the strategy document prepared for?** The audience would be similar to the initial stakeholder community. However, different versions of implementation strategies could be prepared for different groups, depending on the nature of the stakeholder relationships.
- (5) **Are there other reasons to develop the strategy?** It is the experience of many organisations that the process of developing implementation strategies is often more important than the final product. The process helps build ownership, generate buy-in and consensus, mitigate resistance, as well as resolve various internal issues.
- (6) **How is the strategy development process started?** The process should be tackled as any project would be tackled: with solid action plans, resourcing, management accountability, timeline and quality targets.

6.5 CHARACTERISTICS OF SUCCESSFUL STRATEGY

Lessons learned in numerous programme implementations, including those heavily oriented towards capacity development and strengthening, have helped managers continuously improve eventual successful and sustainable implementation. In Chapter 3, several factors key to the success of assessment of capacities and the programme approach were identified. This sub-section highlights four areas that are important to the development of implementation strategies for capacity initiatives.

[1] Essential Implementation Design Features

Many capacity development initiatives are complex, with many inter-related elements. If most dimensions of capacity are to be addressed at the systems, entity and individual levels, then great care must be taken to develop a design that works. Successful implementations, where sustainable results can be produced, are: integrated and comprehensive; incremental and modular; feasible and desirable; and utilize existing capacities. Annex 4 discusses the following elements in more detail.

- ▲ **Integrated and Comprehensive:** implementation strategies must be vertically and horizontally integrated to ensure that there are no overlaps or duplication, that each is linked to the whole. Developing capacities must also be comprehensive, that they address all dimensions of capacity requirements at all levels within the overall system.
- ▲ **Incremental and Modular:** implementation should be on an incremental basis—step-by-step and capacity development at each level should be modular, where each is linked to the other to form the whole. This is a building block approach.
- ▲ **Feasible and Desirable:** the capacity initiative must be feasible from a financial, technological and human resource point of view. It should be **desirable** from the individual perspective to allow for a critical mass of understanding, acceptance and commitment.
- ▲ **Utilize Existing Capacities:** feasibility is enhanced considerably when implementation strategies utilize and build on existing capacities. What has gone on in the past may be useful in building towards a future, rather than “re-inventing” an entire system or entity.

[2] Leadership and Management

Both leadership and management are required to implement the envisaged initiative and to achieve the capacity development and strengthening objectives. For the purposes of a capacity initiative of transformational or major change (and hence, major investments in capacity are required), there is an important distinction between the two. Again, Annex 4 discusses these two elements in more detail, but they can be summarized as follows:

- ▲ **Leadership:** whether a capacity initiative is national in scope, or focuses at a particular sector or theme, success will depend to a very large extent on **inspirational** aspects. Leadership is a softer quality, and helps focus effort and attention on what needs to be done, on the setting of longer term objectives and priorities according to a set **vision**.
- ▲ **Management:** on the other hand focuses on the **practical** aspects, and ensures that the right **processes** are put in place and work toward the desired outcome, that the right **resources** are brought together and are deployed efficiently and effectively, and that performance/results/outputs are monitored and evaluated.

[3] Managing Resistance

An often overlooked aspect of capacity and the ability of a capacity development initiative to succeed is resistance—resistance to change. There must exist capacities within organisations responsible for the initiative to anticipate resistance, to identify and measure its extent, and then to introduce mitigation measures.

- ▲ **Resistance to Change:** resistance can arise simply from the power of the status quo, the fear of the unknown, and other reasons, but generally results in no sense of ownership or personal gain, or there is a fear of loss. Any form of change can result in manifestations of resistance at the individual and organisational levels.
- ▲ **Managing Resistance:** building ownership, education and awareness efforts, specially targeted to those individuals, groups, communities that are felt to be specially resistant, can help overcome resistance. Other approaches include fostering win-win scenarios, active participation in capacity development and related implementation processes, among other measures.

[4] Setting the Right Time Horizons

The time needed to implement a capacity development initiative to achieve its objectives and meet targets is often a lot longer than managers and planners initially think. The time required is directly related to the complexity of the system within which the capacity initiative is to operate, the magnitude of the envisaged changes, and correspondingly the magnitude of capacity development and the resources that are available. The more successful initiatives build in capacities to produce early results, to mount fast-track or accelerated subprojects. This helps maintain momentum and support, and early successes (and failures) generate valuable lessons which can be fed-back into the planning and redesign cycles.

In concluding this chapter, it might be noted that larger, more complex and cross-sectoral capacity development initiatives take many years to implement. This is especially true in situations where a transformation in culture—values, attitudes, etc. is required on the part of individuals and organisations. Sometimes, it is difficult to state when or if a capacity initiative has been successfully implemented or not, since the objectives will likely change and evolve over time, as factors in the overall system or enabling environment are likely to change.

Hence, achievement can be measured according to the most recent set of approved capacity development initiative objectives and the measures set for its performance. The challenge for managers, the management of all entities within the capacity programme scope and individuals now becomes one of sustaining the change and the associated achieved capacities.