

## **Chapter Two**

### **Suggested Plan for Follow-Up Review and Extension**

This chapter describes:

- A framework for finalizing the four self-assessment tools described in the three preceding chapters (the two core organizational development tools, the Title II Programming Capacity Index [T2-PCI], and the Local Community Capacity Index [LCCI]); and
- Mechanisms for working with field offices and partners to operationalize the indices as part of the Title II project’s monitoring and evaluation and management information systems.

The ultimate goal of the indices is to assist CRS staff and local NGO partners in:

- Identify what broad categories of skills they need to master in order to better support community capacity building through their Title II projects,
- Monitor progress toward mastery of these skills as part of the collaborative “action plans” that CRS encourages its country programs to develop with local NGO partners, and
- Provide a more systematic agency-wide mechanism for assessing community and local partner capacity building as both an input and output of Title II programming.

As such, these assessment tools are expected to help CRS achieve one of the two cross-cutting Intermediate Results (IR-A) for its food security programs that were outlined in the Title II-funded Institutional Capacity Building (ICB) grant, which was: “capacity of local partner staff to plan and implement programs is increased” (Box 2.1).

**Box 2.1. Cross-Cutting IR-A and its Outputs in CRS’s Title II-Funded Institutional Capacity Building (ICB) Grant (FY04-FY08)**

- IR-A: Capacity of local partner staff to plan and implement programs is increased.
- Output 1: Field tools and information for local-partner capacity building; and
  - Output 2: A comprehensive training plan that lays out mechanisms for working with field offices and partners to operationalize the template and illustrative indices.

Although the initial audience for the three tools is CRS’s Title II projects, many of the same tools (the core organizational capacity development tools and the LCCI-core capacity component) could be adapted to other audiences. In addition, the same for the other types of programming that CRS executes in collaboration with its local NGO partners.

## **1.0. Pilot-Testing, Revision, and Extension of the Core Organizational Development Tools and T2-PCI (FY06)**

### **1.1. Suggested Phasing**

Given the critical focus of the ICB on building partner capacity, it is suggested that the initial focus of the grant be on integrating the use of the core organizational development tools and T2-PCI into CRS's Title II projects. Since this will be CRS's first attempt to pilot test two generic capacity indices into the CRS's M&E systems, it is suggested that any further review or discussion of the LCCI wait until the two core organizational development tools and T2-PCI have been fully incorporated and tested during the next year (FY06). Based on historic precedents—most notably Africare's introduction of the Food Security Program Capacity Index as part of the mid-term evaluation of its Title II institutional support assistance (ISA) grant and CRS's own baseline survey for its ICB—pilot testing of three of the four tools is feasible during FY06.

This type of relatively rapid extension of the assessment tools is facilitated by the fact that the indicators and indicator rankings of both the core organizational development tools and the T2-PCI are predetermined. Thus, after an initial internal review, three of the four tools (the two core organizational capacity development tools and the T2-PCI) should be able to be rolled out for immediate pilot testing with all of CRS's Title II projects in FY06.

This would help CRS's Title II projects achieve the following deliverables during FY06.

- Baseline measurements for at least one core organizational development tool (preferably the more detailed IDF) and for the T2-PCI for all CRS country programs with Title II projects by November 15, 2005.
- Baseline measurements of at least one core organizational development tool (preferably the more detailed IDF) and the T2-PCI for the local NGO partners working with these Title II programs by March 2006.
- End of fiscal year measurements of the selected core organizational development tool and T2-PCI indicators for all CRS country programs and NGO partners involved in Title II programming during the last month of FY06 (September 2006).
- The identification of key areas upon which FY06 work plans for existing PQSD (HQ) and CRS regional offices should focus when providing support to the agency's Title II projects.

Based on the results of this one year "pilot" testing of the two core organizational development tools and the T2-PCI as assessment and monitoring tools, CRS country programs will be better placed to determine whether or not these indicators should be incorporated as "core" indicators for all of their projects.

## 1.2. Suggested Timetable

The follow-up phase during FY06 will be characterized by five main steps, each of which is expected to accomplish specific outputs.

### *Step One: Preparation and Dissemination of Guidance for Baseline Core Organizational Development Tools and T2-PCI Measurements for CRS Country Programs*

*Objective:* To pilot test and refine the guidance for the two organizational development tools and the T2-PCI with each of the Title II projects and CRS regional offices before a more widespread extension of the tools to all of the NGO partners in March-April 2006.

*Methodology:* (1) The internal field review committee for this exercise (the deputy regional director for program quality (DRD-PQ) for the CRS South African Regional Office [SARO] and the Burkina and Malawi Title II projects) should pre-review the guidance and data entry forms for the core organizational development tools and the T2-PCI (chapters three-five). (2) The internal PQSD HQ committee for this exercise (in Baltimore) should review the same guidance and forms, as well as the second volume, which describes the process that went into the design and structure of the data entry forms and code sheets. This review should note that no additional pilot testing or development of the LCCI is planned for FY06, but that the process of refining the structure of the LCCI technical index and indicators will resume after the ICB mid-term evaluation.

### *Step Two: CRS Country Program Baseline Assessments (October 15-November 15)*

*Objective:* To conduct the baseline (FY2006) assessments of the T2-PCI (only) for all CRS country programs with Title II projects and regional CRS staff that support Title II programming.

*Methodology:* The Title II-funded PQSD M&E specialists and STA for capacity building should facilitate the assessment of the 23 CRS programs holding Title II development projects using the T2-PCI over a one month period between November 15, 2005 and December 15, 2005. The DRD-PQ should facilitate the completions of the T2-PCI for their regional teams. All data should be submitted to and consolidated by the regional DRD-PQ between November 15 and December 15, 2005. This type of rapid turnaround is only possible because the country programs see a direct need to increase their understanding of the basic concepts and guidance needed to operate a Title II project.

**Table 2.1 Groups Targeted by the Initial FY06 Review and Pilot Testing of the Title II Partner Capacity Indices**

Institution Responding	Core Organizational Development Tools	T2-PCI
Regional CRS offices		X
CRS programs administering Title II projects		X
Local NGO partners with whom CRS is executing Title II projects	X	X

*Step Three: Development of Country Program and Regional Action Plans for Title II Capacity Building during FY06 (November-December 2005)*

*Objective:* To develop a list of Title II capacity training needs that country program and PQSD staff (especially those with positions and/or work plans funded through the Title II-funded ICB grant) can use to build the Title II programming capacity of their local partners.

*Methodology:* Based on the analysis of the baseline assessment of country program data using the T2-PCI, the DRDs-PQ should work with the Title II coordinators in their region to develop a list of TA and training priorities for Title II capacity building during the current (FY06) and next (FY07) fiscal year.

*Step Four: CRS Partner Baseline Assessments*

*Objective:* To develop a baseline assessment of local partner needs for core capacity development and Title II specific capacity development.

*Methodology:* Based on a revised version of the guidance used to assess country program baseline capacity (Step Two), CRS should facilitate the local partners conducting a baseline assessments of both the IDF<sup>1</sup> and the T2-PCI and the CRS staff associated with the project conducting the T2-PCI on behalf of the country program. During this same time period a number of CRS country programs should also pilot test the use of the coded version of the Checklist described in chapter three.

*Step Five: End of Year Re-Assessment of Capacity and Review and Revision of Title II Action Plans (September 2006)*

*Objectives:* (a) To assess the progress made toward building capacity in some of the key areas identified by the baseline measurements during FY06, and (b) to

<sup>1</sup> Although an Excel-based version of the CRS Capacity Checklist from the ProPack is included as one of the core organizational development tools, it is only recommended as a diagnostic tool, not as an impact indicator.

evaluate the utility of the partner indices (the core organizational development indices and the T2-PCI) as tools for identifying and monitoring capacity building efforts.

*Methodology:* Between August 15 and September 15, 2006, the regional program quality staff should facilitate a re-assessment of the core organizational development tools and the T2-PCI for all country programs and local partners. Based on this information, each country should review and update its Title II capacity building action plan. The data from the national and regional assessments for the first year will inform a revised CRS action plan for the Title II capacity building efforts during FY07 and FY08.

After the pilot testing of the core organizational development tools and the T2-PCI is complete, CRS will be better informed to decide if the IDF should be introduced as an impact indicator in all of its Title II projects. The same baseline assessments will also provide insights into whether or not certain capacity categories in the T2-PCI should be incorporated into the IPTT of the institutional capacity building grant.

## **2.0. Pilot-Testing, Revision, and Extension of the Local Community Capacity Index (FY07-FY08)**

Parallel to the dissemination of the T2-PCI and the core organizational development tools during FY06, the STA for capacity building can coordinate some of the initial refinement and pilot testing of the LCCI. During FY06, these activities should focus on HQ-based discussions (with PQSD) of the potential technical indicators. Toward the end of FY06, CRS should consider pilot testing the LCCI. This initial pilot testing should be coordinated by the STA for M&E through a small sub-group of Title II M&E specialists. This delayed refinement and pilot-testing of the LCCI is reflected in the suggested timetable for activities for FY06 (Table 2.2) and FY04-FY08 (Table 2.3).

## **3.0. Development of Capacity Resource Guides and “Banks” (FY06)**

Parallel to the five step process for assessing capacity and capacity-building efforts during the pilot phase, the PQSD senior technical advisor (STA) for capacity building, working with the PQSD STA for monitoring and evaluation, need to develop a Title II resource guide. A preliminary list of the materials that should be included in this resource guide is provided in chapter four (see section 2.0). A similar guide for internal (e.g. CRS) and external resource materials on local capacity building could be developed in FY07 to reinforce the LCCI.

## **4.0. Five-Year Benchmarks and FY06 Timetable**

A suggested timetable for the capacity-building strategy over the next five years is presented in Table 2.3.

**Table 2.2 Suggested Timetable for Key Activities in FY06 for the Title II Capacity Building Strategy**

Activity	Oct	Nov	Dec	Jan	Feb	Mar	April	May	June	July	Aug	Sept/Oct
<b>T2-PCI and the Core Organizational Development Tools</b>												
Internal Review	X											
Step 1. Users Guide to CRS Capacity Indices and Tracking Systems disseminated to the DRD-PQ offices and Title II M&E specialists		X	X									
Step 2. Baseline T2-PCI assessments for the CRS country programs with Title II development programs conducted		X	X									
Step 3. Title II capacity building action plans for Title II programs developed for CRS country program and CRS regional offices		X	X									
Step 4. Baseline core organizational and T2-PCI assessments for the local NGO partners associated with Title II development programs conducted						X	X					
Step 5. End of year (FY06) re-assessment of capacity, review, and revision of Title II capacity-building action plans											X	X
Routine backstopping of the Title II capacity-building action plans by the STA for capacity-building and HQ PQSD team through the regional CRS PQ offices				X	X	X	X	X	X	X	X	X
Trial consideration/introduction of IDF into tracking tables of new projects developing their first M&E plans for Title II						X	X	X				Submitted to FFP w/CSR2
Review/consideration of whether or not elements of the T2-PCI should be considered for the ICB IPTT				X	X							
Development of the Title II capacity resource guides to respond to strategy requests		X	X									
Development of a bank of internal (e.g., CRS) and external documents that can be used for backstopping core capacity development areas identified and monitored by the core organizational capacity indices				X	X	X	X	X				
<b>LCCI</b>												
CRS-HQ workshop on how to use the IDF for the DRD-PQ (in Baltimore for CRS PQSD meetings) <sup>2</sup>					X							
Development of technical indicator tables by PQSD (HQ-based) technical teams		X	X									
Elaborate plans for pilot testing the LCCI as part of the FY07 and FY08 action plans for the PQSD M&E unit												X

<sup>2</sup> Suggested facilitator: Mark Renzi, Manager of Institutional Strengthening Assistance, Capable Partners Program.

**Table 2.3 Suggested Timetable for Key Activities the in Title II Capacity Building Strategy (FY04-FY08)**

	FY04	FY05	FY06	FY07	FY08
Backup technical assistance by PQSD	X	X	X	X	X
Initial strategy, development, & support		X			
<b>Extension of the IDF and T2-PCI</b>					
Title II CRS country programs (CP) that have conducted baseline assessments using T2-PCI			all (23)	all	all
Title II project design teams pilot-testing Excel based version of CRS Checklist			6	6	6
Established Title II local NGO partners that have conducted baseline assessments using IDF and T2-PCI			all	all	all
Regional CRS offices that have conducted baseline assessments using T2-PCI			all	all	all
CRS CPs that have developed Title II capacity-building action plans in collaboration with their local NGO partners			all	all	all
CPs that have updated and revised their Title II capacity-building action plans with their local NGO partners			all	all	all
CRS Title II projects that have introduced the IDF as a formal (or informal) impact indicator in their tracking table			6	12	all
<b>Revision and Pilot Testing of the LCCI</b>					
Review and revision of the LCCI template indicators (HQ based) (number of technical teams)			late FY06		
<i>Health and nutrition</i>			1	1	1
<i>Agriculture, NRM, and related infrastructure</i>			1	1	1
<i>Education</i>			1	1	1
<i>Micro-enterprise development</i>			1	1	1
<i>Humanitarian assistance</i>			1	1	1
<i>HIV/AIDS</i>			1	1	1
Title II country programs that have pilot tested the LCCI-core component				all	all
Title II country programs that have pilot tested the LCCI-technical component				all	all
Title II country programs that have pilot tested the LCCI (core & technical)				all	all
Countries that have introduce the LCCI into their Title II tracking table					6*

\*Given that pilot testing will probably not start until FY07 in order to not conflict with roll out of the T2-PCI and IDF, it will only be possible to introduce the indicator in countries developing their first year M&E plan in FY08