

State Capacity Building Plan

[Plan Period 2014-20xx]

[Name of State]

[Department Name]

[Logo]

Contents Amendment Record

This report has been issued and amended as follows:

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Executive Summary

The executive summary should provide a succinct summary of the key points in the capacity building plan. These should only be the highlights of each section to include aim of the section and any actions resulting from that section.

Introduction

This section should introduce the document and state the purpose of the capacity building plan. A capacity planning is an important activity for optimising service delivery. This section should clearly state the plan period in years. It should also provide a justification for the period. The plan should help ensure that the right human resources are in place for the service delivery in the NBA and NRDWP as well as addressing aspects of the enabling environment where feasible. The plan should reiterate the need for a systemic view of state human resource development for the sector. The plan should also be clear about which aspects of service delivery it covers. For example, does it cover all aspects of the NBA and NRDWP or just some? If it only covers some, it should state what aspects of the programmes are covered. Related to this, the plan should also be clear about the target audience it addresses.

Budget – Finance

This section should explain where the budget for the capacity building plan sits. IT should also discuss any assumptions or constraints relating to the budget or finances. The actual costs of implementing individual CB actions should be entered into the matrixes in the annexes which itemise the planned roll-out of the plan, action by action.

Assumptions

This section should include a note about any assumptions being made. For example, that there is a sufficient supply of high quality training institutions to provide the human resource (HR) training required.

Constraints

This section should also include a note about any constraints that may be experienced.

Situation Analysis

This section should provide an overview of the state of the sector at present in relation to capacity. What are the known strengths, weaknesses and gaps in relation to state capacity? An important issue to address in this section is the issue of scalability. What are the state's ambitions for working at scale? This ambition will be influenced by a number of factors including the availability of finances to work at scale and the necessary political will to mandate working at scale.

It would be helpful to include a section that reviews historical capacity growth and past initiatives that addressed sectoral HR issues. How successful were these and what were the weak elements and gaps?

Training Needs Analysis

This section should outline the steps taken to conduct a training needs analysis of the sector.

Methodology

This section should cover the methodology employed to prepare the capacity building plan including the consultation process during the training needs analysis.

Findings

This section should present the findings of the training needs analysis (TNA). The TNA process should be informed by the findings of the situation analysis. All sector stakeholders should participate in the TNA workshop and their knowledge and experience should be taken into account. This includes stakeholders from both demand (the sector workforce – government and civil society) and supply (training institutions).

The TNA should be structured around a dialogue between demand and supply to identify the training needs of all stakeholders in the sector as well as address modalities for filling in capacity gaps where these exist. The analysis should pivot around human resource forecasting for the sector for the medium to long term and the methodology for forecasting future expected capacity requirements should be made clear.

Specific themes to present here include:

- a statement of the strategic goals and objectives of the flagship programmes;
- A review of the HR delivery structure and roles employed at all levels. Where are the gaps?
- A review of the work planning system;
- The findings of the TNA; and
- The next steps following on from the TNA.

Design of Capacity Building Plan

This section should provide an overview of the capacity building plan and should answer high-level questions about the training and capacity building elements of the plan. For training, it should identify:

- What staff is needed? In particular what knowledge, skills and competencies?
- Who needs training;
- What training do they need? (topic);
- What level of training do they need? (e.g. two week course, certificate, etc.); and
- What training is available already and how does this align with needs?

For capacity building, it should outline all aspects of the enabling environment that need to be addressed to facilitate implementation of sector programmes, for example, the recruitment of frontline workers.

It should also address:

- The inputs required to deliver the flagship programmes (equipment, materials, technology etc.);
- Review the inputs currently available;
- Review the state of the inputs available; and
- Identify the strengths and gaps in relation to these inputs identified above.

Delivery of Capacity Building Plan

This section should address questions about who has the responsibility for delivering the capacity building plan. For training, it should answer questions like:

- Who will provide the training?
- What funding will be required to deliver the training?
- What quality assurance mechanism will be put in place to ensure that training is offered at the right standard?

For other elements of capacity building, it should assign responsibility for creating the right enabling environment identified in the section above on design of the capacity building plan. It would be a good idea to prioritise actions required to address the enabling environment as these are unlikely to be addressed in one go.

Monitoring and Evaluation

This section should address issues around the monitoring and evaluation of the training provision in the sector.

The plan should define a monitoring mechanism that ensures high quality training. Note that much of capacity is about soft issues and so is difficult to measure. It can also be difficult trying to establish plausible links. Nevertheless, attempt to develop indicators for monitoring your capacity building actions.

The plan should also define a performance measurement system that ensures feedback is collected on how the training provided has impacted the performance of trained personnel.

References

This section should include references to any documents cited in this document. Insert the authors, title, publication place, publisher, and year of any documents cited. For unpublished documents, include version information if available, description and physical location of the document or URL for electronic documents.

Example Reference Entries:

Journal Article

Aguayo, Victor, et. al. (2013). Integrated program achieves good survival but moderate recovery rates among children with severe acute malnutrition in India1–4 *American Journal of Clinical Nutrition*, 2013 (98) 1335–42

Unpublished Document

Kumar, S. *Behavioral barriers in tuberculosis control: a literature review* [draft for limited circulation]. Indian Institute for Rural Development, 2005.

Online Resource

Management Sciences for Health. Common sampling methods. In: *The managers LRA reference guide*.

<http://ecu3.msh.org/mainpage.cfm?file=2.1.3d.htm&module=chs&language=English>
[Accessed April 9 2006.]

Book

Winbald, Uno, (2004). *Ecological sanitation: revised and enlarged edition*. Stockholm: Stockholm Environment Institute.

Annexes

The Annexes present the capacity building actions for the sector. They should outline the schedule of all personnel to be trained including actions to create a working enabling environment. This template uses the standard categorization of capacity areas: Institutional, Organisational, and Individual as shown below. Following are example annexes. If necessary, use Excel spreadsheets for the annexes. The rows in each annex should detail each CB action planned to address gaps in each of the three capacity areas. Each Annex should start on a new page.

Annex I – Institutional / enabling environment

Capacity Area									
Institutional / enabling environment: policies, legislation, social norms									
Capacity need	CB action	Responsibility for action	Results CB will contribute to	Priority	Duration of action	Frequency	Cost	Monitoring	Comments

Annex II – Organisational

Capacity Area									
Organisational: internal policies, procedures, systems, frameworks									
Capacity need	CB action	Responsibility for action	Results CB will contribute to	Priority	Duration	Frequency	Cost	Monitoring	Comments

Annex III – Individual

Capacity Area									
Individual: attitude, knowledge, skills, experience									
Capacity need	CB action	Responsibility for action	Results CB will contribute to	Priority	Duration	Frequency	Cost	Monitoring	Comments

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Entries within the Individual matrix can be either by role or person though for a state CB plan, they are more likely to be by role.