

MfDR CAP-Scan Manual

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Use of this Manual

This manual is intended to provide structure to Facilitators assigned to guide governments through an initial application of the Managing for Development Results Capacity Self-Assessment Toolkit (MfDR CAP-Scan). It can also be used by those same governments to support subsequent applications of the CAP-Scan. If possible, subsequent applications would benefit from the support of a professional facilitator, although that is not necessary.

The most important parts of this manual are contained in its Annexes, which essentially constitute the MfDR CAP-Scan Toolkit. The body of the Manual is intended to help

Facilitators understand how to apply the Toolkit elements (the Annexes) in a workshop setting and to produce consistent products.

Please be advised that the MfDR CAP-Scan is an evolving tool. As will be described in the manual, each government is encouraged to adapt it to suit its own circumstances and Facilitators are given broad reign to modify the process and tools to meet clients' needs. Accordingly, what the reader finds in these Annexes may well differ in various details from completed applications available from other countries. The general approach, however, is likely to be consistent with the contents of this manual.

1. Purpose of CAP-Scan

Function:

CAP-Scan provides a country-specific analytic framework and participatory process for leaders in management units within governments to assess the unit's stage of progress in developing a culture, behaviors and systems to manage for development results (MfDR) and it helps them to prioritize concrete steps for MfDR improvement.



Outcomes:

- Improved understanding – based on local realities – by government managers of key aspects of MfDR, based the LEAPS framework (Leadership; Evaluation and monitoring; mutual Accountability and partners; Planning; and Statistics) developed by the Joint Venture on Managing for Development Results (JV MfDR).
- A consensus snap shot of areas of significant MfDR implementation progress, as well as those requiring urgent effort to advance implementation;
- A prioritized MfDR Improvement Plan for strengthening targeted aspects of MfDR
- A methodology for monitoring progress against the MfDR Improvement Plan as well as for tracking overall MfDR capacity development.

Purposes:

Enhance local insights into MfDR, provide a framework for investing in local MfDR capacity improvement, and establish an evidentiary base for increased global advocacy for MfDR.

Goal

Continuous improvement of MfDR as a world-wide approach to excellence in governance.

2. Process Overview

The CAP-Scan process is intended to support continuous improvement, as noted by the cyclical portrayal of the process at right.¹ Each step will be described briefly below, followed by more detailed descriptions in subsequent sections of this manual.

1. Scope the Task

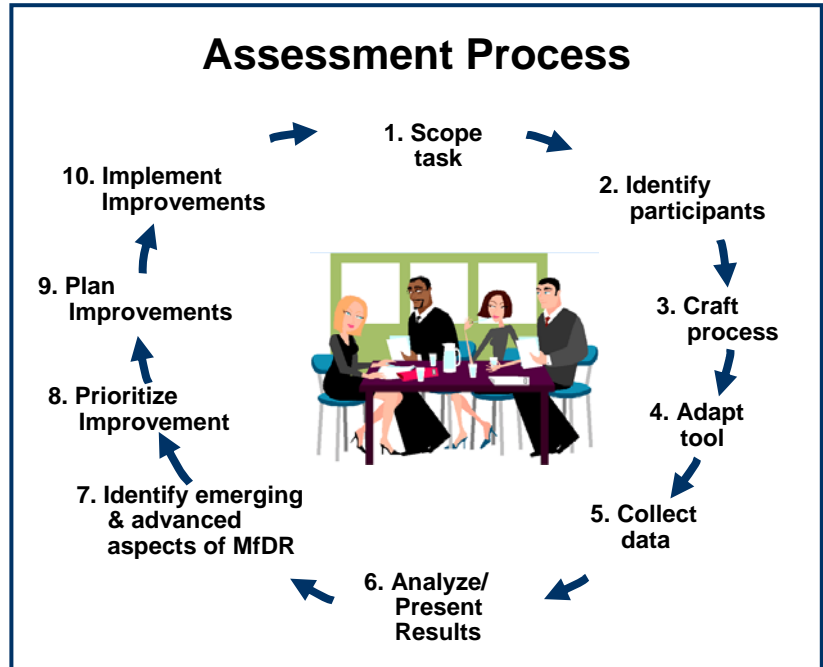
Prior to arrival in a country, the CAP-Scan facilitator will need to:

- a. Do background reading to familiarize him/herself with the task;
- b. Interview key informants to gain a sense of precisely what is to be included within the “unit” to be assessed; logistical and political considerations; local perceptions of the unit’s MfDR strengths and weakness; any research required in advance of the CAP-Scan; and other issues relevant to the local context;
- c. Complete preliminary adaptations to the CAP-Scan template to make it appropriate to the task; and
- d. Reach preliminary agreement with the Government Contact Person (GCP) on CAP-Scan organizational scope, participants, duration, location, schedule, required materials, costs, and other logistics.

This preliminary understanding will be fine-tuned once the Facilitators arrive. However, investing the time necessary for a thorough preliminary scoping will ensure that the process gets off to a solid beginning and greatly help the GCP in making local preparations.

2. Identify Participants

Obtaining an appropriate composition of CAP-Scan participants is critical to ensuring an effective outcome. The challenge is casting a broad enough net so the group will be able to speak authoritatively about the LEAPS issues while keeping it small enough for effective dialogue during the workshop process. This process will commence during the remote planning stage and will culminate during the final preparations among the Facilitators and GCP in-country.



¹ An Illustrative CAP-Scan Schedule is presented in the Annex.

3. Craft the Process



While the analytic basis of the CAP-Scan is relatively constant, and founded on LEAPS, there are many different ways to apply the basic framework so that the government may get the most possible out of the process. Facilitators will work with the GCP to tailor the process to meet the needs of top management. Each application will have its own considerations meriting adaptations in approach. Illustrative variables follow:

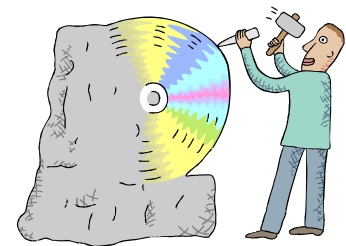
- *The need to use the process to bring in stakeholders* may necessitate preliminary meetings in-country to explain the process to key stakeholders to obtain full “ownership” of the process.
- *Large numbers of participants* may necessitate dividing participants into more than one workshop cadre.
- *Need to engage senior managers* may necessitate a process whereby mid-level participants would first complete an assessment process for later validation by senior officials.
- *Time constraints and work demands* may lead to a process that either requires an off-site retreat for two-three intense days or a process that engages participants for only a few hours each day in the capital, spread over a week.
- *Donor interest in funding quality MfDR Improvement Plans* may lead GCPs to request a process to include selected donors in the discovery, analysis or reporting stages of the CAP-Scan process.

Meta-design considerations should – if at all possible – be fleshed-out prior to the Facilitators’ arrival.

4. Adapt the Tool

The general MfDR CAP-Scan toolkit is written for a generic organization. Facilitators must adapt it to fit each particular application. To do so, they must really understand the nature of the organization to be assessed:

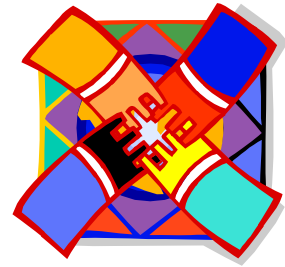
- Is it a distinct entity with its own structure and hierarchy (such as a Ministry or Department)?
- Is it a group of such entities with an intermittent common purpose (such as Ministries aligned for a Poverty Reduction Strategy)?
- Is it the entire government?



If possible, the tool should be adapted – preliminarily – to share with the GCP to orient discussion. It will then be further adapted during scoping discussions, and as part of the actual application. It is likely that no two applications will have identical MfDR CAP-Scan tools.

5. Collect Data

The CAP-Scan process is centered around participants' reaching consensus on where the unit is in the process of implementing MfDR, using the CAP-Scan Matrix as a basis for discussion and analysis.² The basic process is for the Facilitators to assist the group to understand the meaning of each component of LEAPS (that is, of each row in the matrix) and then to help them agree on which cell in the row most accurately describes the current stage at of the organization's MfDR implementation. This is an engrossing, mentally challenging, tiring, and rewarding process.



While one of the Facilitators helps participants with the scoring, the other will record the results, and the basis upon which consensus was reached, in the CAP-Scan Journal.³ The Journal is a record of the placement of the organization along the MfDR implementation continuum as well as the group's rationale shaping the decision. Over time, it forms a time series of MfDR progress and learning.

6. Analyze and Present Results

The Facilitators will record – in real time – all revisions to the MfDR CAP-Scan Matrix and information required for the MfDR CAP-Scan Journal. Where possible, a digital projector will be used so that all may view the information as it is recorded. This will ensure that information is accurate and will promote a sense of transparency. Where the technology is not available, flip charts and oral techniques will be used to ensure that all participants feel heard and are on the same page.



Simple analysis of the results of the assessment process will also be provided by transforming data from the MfDR CAP-Scan Journal to the CAP-Scan Portrait. The CAP-Scan Portrait graphically displays which aspects of MfDR are relatively further along in the implementation process than others.⁴ Sharing this information also provides hard-working participants a sense of the progress they are making and how their honest input is morphing into important analysis to support decision making.

7. Identifying Emerging and Advanced Aspects of MfDR



Facilitators will guide the group through analysis of the CAP-Scan Portrait to understand which dimensions of MfDR are most fully implemented and which are just beginning to be addressed. This can be an important moment of group realization. Participants may be familiar with some aspects of MfDR, but not others. Seeing the “big picture” can help bring larger MfDR dynamics into perspective. This is particularly critical given the interdependencies essential to effective MfDR.

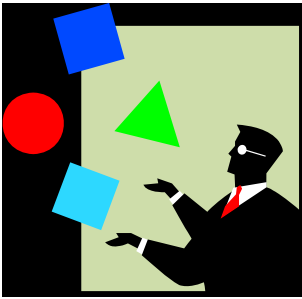
² A sample copy of the CAP-Scan Matrix template is included in the *Annex D*.

³ A sample copy of the CAP-Scan Journal is included in the *Annex E*.

⁴ A sample copy of the CAP-Scan Portrait is included in the *Annex F*.

8. Prioritize Improvement

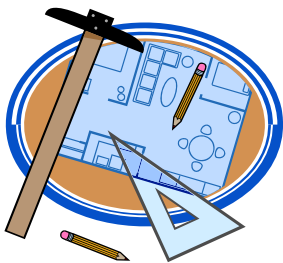
A key result of the CAP-Scan process is helping participants reach consensus on which aspects of MfDR to prioritize for improvement investments. In almost any application there will be multiple worthy options. The group first ranks the aspects of MfDR (represented by rows in the CAP-Scan Matrix), according to their *relative* criticality. Typically a four-unit scale is drafted – possibly ranging from “not essential at this time” to “critical to being able to succeed.” This is most effectively done by writing the name of each row on a separate sheet of paper and then helping participants rank them using the scale described in the previous sentence.



Now comes the really fun part. A four-cell graph is placed on a wall (made of four flip charts taped together) with the vertical axis using the previous scale to note importance to MfDR, and the horizontal axis indicating the scoring of each row, as recorded in the CAP-Scan Journal. The group then places each paper on the appropriate spot on the paper, effectively graphing it in two-dimensional space. The papers that wind up in the “critical importance/low progress” (upper-left-hand) corner of the matrix are those requiring most urgent improvement attention.

Since each participant has been deeply involved in all aspects of the discovery and analysis that got the group to this point, consensus on areas for improvement is typically rapid, once the charting session is completed. It is also quite an enjoyable process.

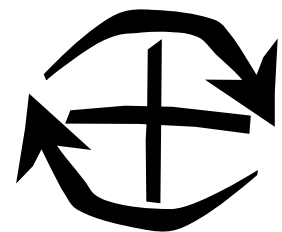
8. Plan Improvements



Based on the agreed-up priority areas, facilitators use a simple table format to guide participants through a process to identify next steps. The table, previously prepared in flip charts or for digital display, includes fields for area to be improved, activities to be completed, person responsible, date to be completed, and resources needed. Activities could well include further analysis using existing tools such as PRODEV, training, technical assistance, procurement, or other interventions. The plan should be time bound and include specific benchmarks for completion and results statements for how the group will know when the required degree of achievement has been achieved. Results statements will be grounded in text from the CAP-Scan Matrix.

10. Implementation and Continuing the Cycle

The group will have the tools needed to track their progress in implementing the MfDR Improvement Plan it has drafted. They may also choose a time to conduct a follow-up assessment to see if the implementation of the MfDR Improvement Plan has resulted in improvements in their MfDR capacity overall.



3. Preparing for the Exercise

As soon as a government decides that it might be interested in pursuing a CAP-Scan, it would be advisable for the Facilitator to begin discussions with the Government Contact Person (GCP). The Facilitator can assist the government to understand what CAP-Scan can and cannot do to support a MfDR process. The “Purpose and Overview” (included as Annex C) document can serve as a useful document to share with government officials to provide initial context in advance of a more detailed discussion. The Facilitator can also help the GCP understand how the process could most effectively be tailored to the government’s needs.

The basic CAP-Scan application is described in the preceding section of this manual. A general timeline for implementation is included in *Annex M*. However, the ways in which it can be adapted are limited only by the needs of the government and the creativity of the Facilitator in modifying the tool and process to meet those needs. Some examples follow:

- The order in which the MfDR Pillars are discussed could be shifted to suit the availability of different participants expert in different pillars;
- Some rows could be added; some discarded;
- In large groups, different pillars could be completed by sub-groups that report back to a plenary;
- In some cases, it may make sense to run CAP-Scan through one or two senior managers, and then compare the results with lower-level bureaucrats;
- The process could be completed in two very long days or spread out over five short-days.

An optimal MfDR CAP-Scan process design for each application will emerge from consultations between the Facilitator and the GCP. Key considerations that the Facilitator should bear in mind include:

1. Precisely which unit is to be examined (an entire government; a ministry; a cross-cutting MfDR team; or another cross-cutting group, such as a poverty reduction team);
2. What, specifically, they hope to accomplish from the CAP-Scan;
3. What other assessments have been completed, or are ongoing, that may relate to the effort;
4. The role of any donors in the CAP-Scan or other critical MfDR efforts relevant to the CAP-Scan;
5. The number and rank of persons to participate in the CAP-Scan;
6. The length of time available for the effort;
7. Specific timing for the CAP-Scan; and
8. Logistical considerations.

Based on these considerations, the Facilitator can work with the Government Contact Person (GCP) to design a comprehensive CAP-Scan process, complete with a proposed work calendar. The Facilitator should also be certain to communicate precisely the outputs expected from the CAP-Scan, both in terms of concrete deliverables as well as in likely changes of awareness among participants.

At this time, too, the Facilitator should be able to share with the GCP background documents to assist the GCP in communicating with colleagues in government and in inviting participants. The following sample documents may be useful:

1. Illustrative CAP-Scan Assessment Schedule (*Annex L*)’
2. Illustrative MfDR CAP-Scan Workshop Agendas (*Annex M*);
3. MfDR CAP-Scan Purpose and Overview (*Annex C*);
4. MfDR brochure material from the JVMfDR

In advance of the arrival of the Facilitator, the GCP will invite participants and arrange logistics for the workshop. (In some cases, the Facilitator, or another organization, will help with logistical arrangements.) Prior to arrival, the Facilitator may have identified some modifications to the basic toolkit that are required to meet government’s needs. In this case, it is best to revise the tools prior to arrival.

Approximately one week prior to the workshop, the Facilitator(s) will arrive in country to lay the final ground work for the event. If possible, the GCP will have already nominated two other persons to join the GCP in a rapid training/orientation in the CAP-Scan process, provided by the Facilitators. This would occur very soon upon the arrival of the Facilitators so that the trainees would be able to share their learning with key government officials. Once briefed by the CAP-Scan mini-training “graduates”, such officials would be in a better position to understand the CAP-Scan toolkit and process and be able to understand how it could be adapted to suit their needs. Subsequent to the training the Facilitator(s) will meet with key stakeholders to brief them on the process, learn of any issues they may have, and further tailor the process as a result of what is learned.

Based on all this work, a final set of materials will be prepared for the workshop and final list of participants confirmed for the event. If possible, it is advisable to provide participants in advance of the meeting with the following material in a simple binder (and, if possible, electronically as well.)

Annex⁵	Title
(to be developed)	Copy of Invitation Letter
(to be developed)	DRAFT Workshop Agenda
B	Non-Annotated Overview (PowerPoint) for participants
C	MfDR CAP-Scan Purpose and Overview
D	MfDR CAP-Scan Matrix
E	MfDR CAP-Scan Journal
F	MfDR CAP-Scan Profile
G	MfDR Capacity Improvement Plan Template
K	MfDR CAP-Scan Column Descriptors

⁵ Annex references are to the annexes of this manual.

4. Validating and Scoring the CAP-Scan Matrix

After introductions and orientation, the workshop will begin with an overview of the MfDR Toolkit and the process to be followed. A PowerPoint presentation is provided to support Facilitators in this effort. *Annex A* includes a “Notes” section to help Facilitators understand the intent of each slide and to ensure some consistency among applications in each country. *Annex B* has the same PowerPoint, but without the “Notes” field blank. Typically it is the version without Notes that is shared with participants.

In this step participants validate the CAP-Scan matrix by modifying the words and making the tool “their own”. It generally consumes approximately two-thirds of the time in any CAP-Scan workshop. The sooner that the facilitator can get the group into working through the matrix the faster the participants will understand the value of the CAP-Scan toolkit.

1. Leading the validation and modification process
 - a. Our experience is that many participants still do not fully understand the application of the tools after following the CAP-Scan presentation PowerPoint (*Annex B*). That is why we recommend that, regardless of the size of the participant group, the facilitator should lead the group through the first sheet of the matrix – on Leadership, as summarized below – in plenary.⁶

Managing for Development Results Capacity Scan (MfDR CAP-Scan) Matrix				
MfDR Pillars Components	Criteria for Each Progressive Stage			
	Awareness	Exploration	Transition	Full Implementation
Leadership				
Commitment	Top management asserts importance of MfDR. But no concrete initiatives have been initiated.	A small number of managers investigate MfDR tools, and apply them sporadically. But, initiative is not consistent, nor mandated.	Full commitment within government to MfDR. New MfDR practices are systematically adopted. Most, but not all, staff support initiative and most, but not all, units practice MfDR.	All units practice comprehensive and systematic MfDR systems. Staff report benefits outweigh costs of MfDR. Organization is learning how to use, and continuously adapt MfDR.
MfDR informs policy	Although leaders claim that evidence should be integrated into policy processes – reliable data are not collected or used.	At least a few decisions are taken based on hard data. However, these are the exceptions in an environment where data are seldom available or used.	A thorough array of results-based data-grounded decision- and policy-making support systems are installed in some units. Leadership emphasizes the importance of such systems and indicates that they should be harmonized and used universally.	Results-based management systems are utilized in virtually all relevant areas. These systems are adequately funded, staff at all levels appreciate their utility, they use data to revise policy and procedures, and systems are in place to continuously improve them.
National planning	National Development Plan exists. However, outcomes and targets – even for such areas as poverty reduction or health – are not clearly articulated.	National Development Plan articulates outcomes, and maybe even some specific targets. However, that discipline is not consistently applied throughout the Plan.	National Development Plan clearly articulates outcomes, results, and measurable targets against which programs can be measured. However, data are not systematically collected and used by decision makers. “Ownership” of the Plan and its data are not widespread.	Outcomes, results and targets area consistently and appropriately applied throughout the National Development Plan. Relevant data are collected and used to adapt implementation of the plan. Decision-makers recognize the utility of the data and ensure it is integrated into the decision-making process.

⁶ If, for logistical or tactical reasons, it seems more appropriate to begin with another section, that would be acceptable. The point is to have the group normalize their approach to the tool by working together at the outset.

MfDR Pillars Components	Criteria for Each Progressive Stage			
	Awareness	Exploration	Transition	Full Implementation
Leadership				
Public consultation	Government tolerates civil society and private sector advocacy as politically necessary.	Government actively pursues civil society and private sector input into the formulation of some policies and plans. But, such participation is normally the result of relatively powerful interests, donor pressure, or individual government managers.	Government has specific policies, structures, and practices for soliciting civil society and government input. These policies are often, though not always pursued. A significant number in government view these practices as burdensome and unproductive. Public increasingly feels entitled to participate.	Public consultation in policy and planning is the norm. Officials recognize that public consultation is a necessary and productive ingredient in policy setting and planning. Public feels entitled to participate and responsible for planning and policy outcomes.
Donor coordination	Government extols the importance of coordination. However, real coordination is not common even where "donor coordination forums" may exist. Government lacks the institutions, tools, data, passion, or leverage to ensure productive donor coordination.	Government has some success in promoting coordination in certain areas such as in vertical health programs or poverty reduction strategies. However, these are isolated cases.	Government has developed clear donor coordination expectations, systems and procedures – based on results management. Some donors follow these regimes, but many remain outside it.	The vast majority of donor inputs are programmed consistently with an overall donor coordination program linked to results-based management. Donors appreciate the coordination function and are supportive of it.
Linking the field and the capital	Managers report frustration that their MfDR approaches cannot bear fruit due to disconnects between direct service providers and the center.	Some organizations, or departments within organizations, have developed MfDR systems that link central planning and budgeting with field operations (possibly on a pilot basis). But, these efforts remain isolated.	Vertically-integrated MfDR systems are being applied in many sectors. Appropriate training and monitoring systems are being developed. Ownership of the systems is uneven.	Virtually throughout government, MfDR systems reach from the capital to the local level. Planning and budgeting systems are linked and data – such as access, quality, and customer satisfaction – flow from the field to the center and are used to adjust programming.

- b. In leading the group through the Leadership section (MfDR Pillar) of the CAP-Scan Matrix, the facilitator should clarify the following key points:
- i. The focus of the assessment is to determine where the government is today along the MfDR implementation continuum. The group will mark the score (0 to 4) based on the current reality. Many participants may want to score themselves by where they would *like* to be as opposed to where they actually are. Point out that the fourth column of the Matrix should be used for this score as it will capture where the government wants to be once it has fully implemented MfDR.
 - ii. It is often helpful to have participants initially analyze the first and fourth column in order to validate or modify the cells to reflect the “awareness” and the “full implementation” stages and then address the description of intermediate MfDR implementation steps in columns two and three.

The CAP-Scan Matrix is constructed with a number of “Progress Cells” which are designed to track natural development from left to right, according to the “MfDR Implementation Continuum” shown at the top of the figure above. The Framework describes four stages in MfDR implementation: Awareness, Exploration, Transition, and Full Implementation. These distinctions are somewhat arbitrary, and one might quibble with any particular entry. Taken as a whole, however, it paints a reasonable portrait of progress towards MfDR. Although it is described as a continuum, it is possible for a government to regress.

- iii. Some elements included in one row (MfDR Component) are raised again in subsequent rows of the CAP-Scan Matrix. For instance, the concept of using citizen feedback to improve governance appears in both the *Evaluation and Monitoring* and the *Accountability and Partners* MfDR Pillar sections of the Matrix. Point out that while the CAP-Scan seeks to narrow down specific details in assessing MfDR implementation, the overall assessment takes a holistic approach – that is why one will find cross-references throughout the matrix.
- iv. Users of the CAP-Scan tools are expected to modify the language of any and all cells to reflect the reality and government’s future direction (vision) for MfDR implementation. Do not assume that participants understand the nuances of each row just because they can read the words. Ask participants to paraphrase the row and encourage them to modify the words so that the continuum is clear and simple. This may include removing or adding whole new rows.
- v. In modifying the cells to reflect an application to a particular government, the matrix becomes, for all practical purposes, the government’s unique CAP-Scan matrix. If the Facilitator is using a computer and LCD projector to show modifications on the Matrix, he/she should rename the matrix and file with the name of the government to further demonstrate this critical point.
- vi. If the topic of the confidentiality of the CAP-Scan results has not been discussed prior to this point, the Facilitator should clarify how the results will be safeguarded.

2. Working with large participant groups divided into small work groups

- a. Elsewhere in this manual we provide guidance on participant group size and the need to divide up the work of validating and scoring the CAP-Scan into efficient groups. Since research has shown that the optimal group size is between six and twelve people, we recommend that groups larger than twelve use smaller sub-groups to work through the CAP-Scan Matrix. Not only does this approach promote active participation of all the participants, it also reduces the total duration of the workshop.
- b. The illustrative agendas provided *Annex M* include small group work that allows at least 45 minutes of group work followed by at least 45 minutes for each group to present and validate their small group conclusions in plenary. This permits the group to make quick progress in modifying CAP-Scan cells (a task that would be painfully slow in a large group) and for the results to be adequately discussed and approved in the large group (to ensure that the whole group has validated the results and conclusions.)
- c. Having clear and understandable notes that explain the CAP-Scan scores in the CAP-Scan Journal is a critical element of the assessment. If you are working with small groups, the scoring notes will need to be reviewed, and possibly modified, in the plenary as part of validating the results.

- d. In dividing up the group into smaller sub-groups, the lead Facilitator should be careful to:
 - i. In general, ensure an even distribution of bureaucratic knowledge and skill sets within each group. Similarly, the work groups should be evenly distributed in terms of participants' positions government seniority.⁷
 - ii. Prepare the work group facilitators in how to lead the small group work as well as what is expected in terms of output from each work group. It is not necessary that sub-group facilitators present their particular group's findings. A member of the relevant sub-group could do this task as effectively. This approach would have the added benefit of increasing the level of participant participation.
 - iii. Anticipate the need for appropriate workspace, equipment and materials in advance for each sub-group.
 - iv. Be clear with each sub-group about its particular assignment and the amount of time that they have to complete their task.
- e. In certain cases the CAP-Scan process may require conducting multiple CAP-Scan workshops to accommodate full participation where:
 - The staff are located in several geographic locations, making it hard to bring them all together;
 - The presence of conflict among various participants and staff members is such that a combined workshop would be unproductive; or
 - The ability of staff to attend one workshop would be too difficult due to divergent schedules/travel plans.

In this case the facilitator might conceive of a two-step workshop design where the first two phases of the CAP-Scan workshop (Opening and Validating the CAP-Scan Matrix and Scoring) would be achieved in a series of data collection workshops, followed by a culminating workshop to analyze the results, prioritize the conclusions and develop the government development plan. As each of these workshops could have a small number of participants there may not be a need for multiple facilitators. The conduct of each workshop in the series would need to include time to review the results of previous workshops as well as to determine how absent staff and stakeholders will be informed of outcome of the process.

3. Voting, compromising, or consensus?

- a. It is important to be clear with participant groups about how you expect them to make decisions about scoring each MfDR component (CAP-Scan Matrix row). Our preference is to reach a consensus decision and to have the reasoning behind the score captured clearly in the comments of the CAP-Scan Journal. Our definition of "consensus" is stronger than the conventional meaning of agreement. Consensus means that that everyone agrees to the decision and they are willing to back it up rather than simply "giving into the majority opinion."
- b. However, in many cases consensus won't be possible and the group will need to work out a compromise that accommodates diverging points of view. This often plays out in backing down from a score a quarter- or a half-point.

⁷ On the other hand, the Facilitator may decide that splitting into homogenous groups is precisely what is needed. This could be done, for example, to contrast perceptions of senior managers to those involved in day-to-day MfDR implementation.

MfDR Pillars Components	Criteria for Each Progressive Stage			
	Awareness	Exploration	Transition	Full Implementation
Leadership				
Commitment	Top management asserts importance of MfDR. But no concrete initiatives have been initiated.	A small number of managers investigate MfDR tools, and apply them sporadically. But, initiative is not consistent, nor mandated.	Full commitment within government to MfDR. New MfDR practices are systematically adopted. Most, but not all, staff, support initiative and most, but not all units practice MfDR.	All units practice comprehensive and systematic MfDR systems. Staff report benefits outweigh costs of MfDR. Organization is learning how to use, and continuously adapt MfDR.

For instance, government could well be largely committed to MfDR, but the group would not agree that it is fully committed (*see row reproduced, above*). The group could compromise by scoring the government as a 2.5 or 2.75 for this aspect showing less than full agreement on the level of commitment. No one really “loses” in scoring this way. Such a compromise should be summarized in the text section of the MfDR Journal.

- c. Voting should not be confused with “compromise”. Voting normally plays out to a simple majority rule, where those in the minority lose. Voting is quick but does not seek to accommodate differing points of view. The “losers” in the vote are expected to support the majority opinion, like in the best of democracies. But, unfortunately, this is often not the case.
- d. The continuum presented below compares various decision-making styles in terms of the relative amount of time required to achieve a decision using each style and the degree to which the decision is likely be supported after the fact.

Decision-making Styles Continuum					
A	B	C	D	E	F
Decision achieved by unanimous approval .	Decision achieved by total group consensus ¹ . This style offers the possibility of achieving SYNERGY in group decisions	Decision achieved by compromising to find a “ win/win ” solution that accommodates dissenting opinion	Decision by vote to achieve a “ majority rule .” Typically these decisions represent the LOWEST COMMON DENOMINATOR agreement.	Decision made by the boss after surveying group opinion . (Participatory Management style)	Target group informed of the boss’s decision (decree)
← <i>Relative amount of time required to achieve an operable decision</i> →					
5 days > <5 mins	5 hours > <5 mins	2 hours > < 15 mins	15 mins	5 hours > <5 mins	5 mins
← <i>Level of shared responsibility for implementation of the decision</i> →					
100%	< 90%	< 70%	< 60%	< 30%	< 20%

¹ The basic rules for testing whether there is a real consensus are: 1) The decision may not be everyone’s 1st choice but it is the best possible group decision, and 2) Each person can commit to “live with” the decision, and 3) Each person is prepared to “support the decision tomorrow”.

4. Maintaining a productive pace in the assessment process

- a. For anyone going through the thirty or so rows of the CAP-Scan Matrix the task can seem long and daunting. The sense of laboriousness tends to increase as group size increases. The role of the Facilitator in maintaining the pace of the assessment is important to help

participants keep up enthusiasm for the task. There are several ways that the Facilitator can help maintain a positive attitude and pace.

- b. First, it is important that the Facilitator seek to “demystify” the tool as well as some of the denser language used in the Matrix. Encourage the group to “own” the tool by modifying the language. Even small changes bring home to participants that this is their assessment.
- c. In addition to explaining the terms and concepts, practical examples really help make the CAP-Scan more accessible to people. Facilitators can help demystify the Matrix by introducing examples of governments (especially in highly-developed economies, such as the USA) that make plans – only to put them on the shelf and not use them; or governments that put energy into programs – but then don’t evaluate their impact. The importance of being able to marshal relevant practical examples from elsewhere that illustrate in practice the various CAP-Scan MfDR components is one of the reasons we favor selection of facilitators who have experience working with governments on MfDR.
- d. Establishing and maintaining momentum that encourages enthusiasm is critical in the assessment process. This may require temporarily skipping over rows that provoke significant disagreement to avoid bogging down the process. There is no rule that you need to go through the rows in a specific order; you can progress through easier parts of the matrix and then come back to areas of divergence later.
- e. Providing printouts of the modified tools during the course of a workshop helps to increase dynamism and sense of achievement in the process. This is especially useful if the process has been broken up into a series of shorter sessions spread over several days. Regardless of the CAP-Scan process design, distributing the revised matrix with the government’s name in the title advances the ownership of the product. Providing printouts of the completed CAP-Scan Journal and CAP-Scan Profile prior to the prioritization phase of the workshop helps focus the group on the specific results of the assessment.
- f. One way of maintaining momentum during the process is to frequently update the CAP-Scan Journal and CAP-Scan Profile to demonstrate the progress in the assessment. This is easily done when using a computer and LCD projector to show the Matrix, Journal and Profile, but the same updating can be done using flipcharts to record progress on the IDP in front of the group.

5. Analyzing the results

Introduction

This chapter focuses specifically on how to facilitate a group in analyzing its CAP-Scan assessment data, already recorded in the CAP-Scan Journal. This most critical part of the CAP-Scan workshop consists of two steps: analyzing strengths and weaknesses to identify MfDR needs, followed by prioritizing those needs to clarify objectives for an MfDR Capacity Improvement Plan. The improvement planning phase of the CAP-Scan workshop is the subject of the section on MfDR Capacity Improvement Planning, later in this manual.

Facilitation note: Participants must have ready access to completed versions of the MfDR CAP-Scan Matrix, Profile and Journal, or the analysis will be superficial and inconclusive.

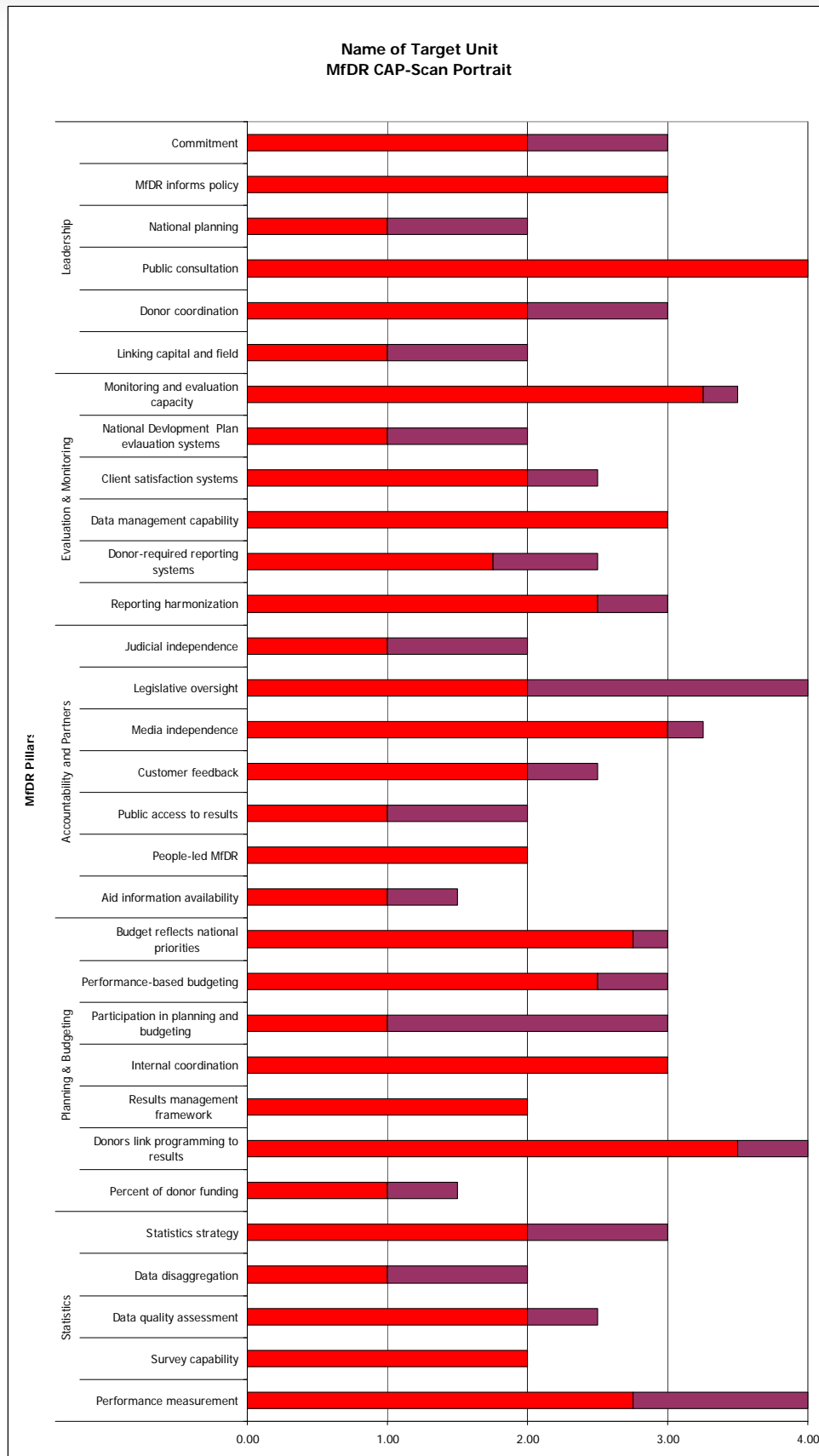
This chapter provides practical suggestions of what to say and what to avoid when guiding the participants through the analysis and prioritization process.

Analyzing the Results

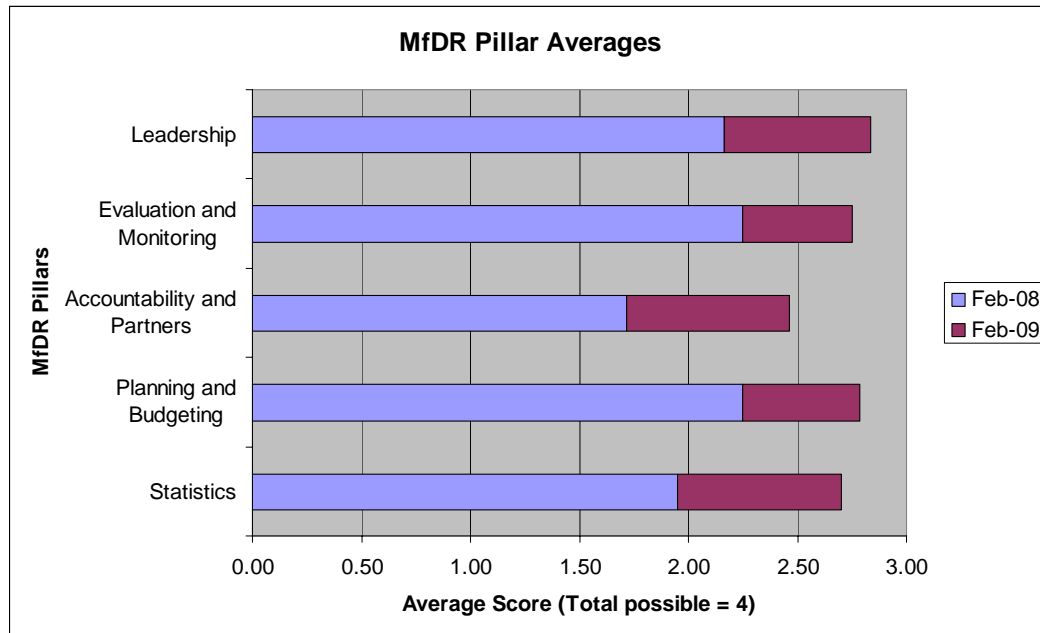
Once the CAP-Scan Matrix has been adapted, the scores and descriptive comments have been recorded on the Journal (*Annex E*), and the Profile (*Annex F*) has been finalized, it is time to step back and take stock of the relative strengths and weaknesses in MfDR.

The Facilitator must make all three documents available to the participant group. This can be done by making copies for everyone, projecting the final documents on a screen and/or displaying each on flipcharts in full view of the participants. When using a computer and LCD projector, we find distributing hard copies of the Matrix and Journal and projecting the CAP-Scan Profile works best. Toggling between the CAP-Scan Profile, Journal and Matrix can facilitate the analytical discussion. It is critical that the group can readily refer to all three group products (Matrix, Profile and Journal); otherwise the analysis will be superficial and inconclusive.

An illustrative CAP-Scan Profile appears on the following page:



Please note that the second tab of the Excel file containing the Journal also averages scores by MfDR Pillar (see figure below). Data presented in this format may also support analysis.



It is in helping participants interpret such data where Facilitators can often add significant value and help the group “connect the dots”. This requires the Facilitator to use his/her analytic skills, informed by the dynamics of the previous days’ discussions, to help bring the CAP-Scan Profile, Journal, and overall experience to life in a way that will motivate change. The ability to interpret such data is not something that can be taught in this manual. Rather, it is a skill that Facilitators must already possess and bring to the exercise. But, in general, Facilitators can help groups understand which areas are relatively strong and weak, indicating the average stage of MfDR development in which various components reside, and tying these data to observations of recurring themes during the workshop discussion. Often, it is useful to “tell the story” that the data reveal regarding the emerging MfDR implementation process.

Tips for facilitating the discussion of organizational strengths and weaknesses

- Be careful not to rush to a conclusion. This session is at a minimum a half-hour discussion with a small group. Discussion could easily go on for two hours in a larger group.
- This is intended as a holistic analysis, not a listing exercise of obvious conclusions. Immediate conclusions about what scored high and low may not indicate much about the future of MfDR. You need to help the group to “connect the dots,” meaning to see how the various progress scores inter-relate and add up to develop a snapshot of current local MfDR status.
- Look for relationships among the rows. Encourage the group to think about how one score relates to another on the CAP-Scan Profile.
- Encourage participants to consult and discuss the CAP-Scan Journal and go back to the adapted CAP-Scan Matrix to narrow the definition of the problem being discussed.
- The group will not be able to do this analysis effectively without access to the revised Matrix and the participants’ comments on the CAP-Scan Journal.

- The following are some facilitation probes⁸ that may help you lead the analysis of organizational results.

Ask:

- Why the MfDR Progress Score for certain rows are low? Do these low scores directly relate to any other low scores?
- Are there any high scores that essentially compensate for particularly low scores?
- Yes, this is a low score but how does this present a problem for MfDR?
- Yes, it is great that this particular score is high, but is it sufficient to ensure progress in MfDR implementation?
- Are any of these scores – especially ones on which we averaged or compromised – destined to shift in the short term?
- As a culminating step in the analytical discussion, ask someone to describe the CAP-Scan Profile picture in 100 words or less, highlighting how the CAP-Scan Profile’s high and low points relate to each other. This “story” is best if it describes these factors in terms of the desired MfDR evolutionary path. The value of the story is to get the group to “get out of the leaves and talk about the forest” – move from the details of the rows to the big picture on MfDR implementation.

Prioritizing Needs

The next step is to determine which among the MfDR Components are most important to the future. A number of approaches can be used to facilitate this process. One that has proven useful is to draw up summarized “flip cards” for each of the MfDR Components included in the CAP-Scan, such as Commitment, MfDR Informs Policy, Results Related to Budget, etc. Then list in a flip chart paper on a wall or floor a ranking guidance scale, as illustrated in the figure below.⁹

In a relatively short time, a group can place all the MfDR Components on the wall and determine each one’s relative importance to implementing MfDR. Using phrases such as “Make or Break MfDR” and “Not Important to Us in the Near Future” (left column in *Figure 4*), may be useful to help the group decide where to place each Characteristic. Once again, the cards may be precisely on an integer spot, or in between (that is, scores such as 1, 4, 3.5, or 2.25 are acceptable). These priorities should be established *regardless of whether or not there are currently problems in these areas*. Facilitators may need to remind participants to avoid considering Progress Scores in doing this ranking.

Facilitation Note: Please tailor the descriptors of the level of prioritization to suit the group with which you are working. For example, the list could reflect the degree to which an MfDR component is stressed in national plans, it could reflect how fundamental a component is to systemic MfDR success (i.e. that could be “choke point”), how urgent an item is, or some combination of the above. Adjust it to suit your needs

⁸ A “probe” in the context of group facilitation is a question that the facilitator uses to generate deeper thought or get more information from the participants.

⁹ You may find it useful to use different colored Post-Its for each Pillar so that participants can notice any Pillar-wide dynamics in the prioritization process. Alternatively, ½ A-4 paper could have different-colored borders (via magic marker) to fulfill the same purpose and perhaps be easier on the eye.

To conduct this exercise the Facilitator will need paper, tape and markers. The words describing each MfDR component of the modified CAP-Scan Matrix (the left-most cell of each row of the CAP-Scan Matrix) should be written clearly on an individual paper (1/2 of an A-4 Paper with tape or Post-its work well) so that it can be read from ten feet away. The MfDR Progress Cell Placement score resulting from the assessment process should be written on the reverse side of each paper for future reference. These will be used to help the group prioritize which MfDR components to prioritize in their MfDR Capacity Improvement Plan. Be sure that you have adequate wall space for the thirty-odd pieces of paper (two standard flip charts, taped together lengthwise should do the trick). You could save time by preparing the row titles on the papers in advance (but not before the participants have validated the rows).

The objective is to reach consensus on the relative importance of each MfDR component to MfDR implementation. This can be an enjoyable process and works best if “playful” elements are introduced. We suggest varying the manner in which the cards are placed on the priority flip charts on the wall: sometimes an individual will tape only a single card up; another person may be allowed to put two up; another individual will put no cards up, but be allowed to change the order of existing cards. This is done both to change the rhythm and to intentionally make the process seem “unfair”: “why does *he* get to change the order and not me?” This can lead to some laughter and – with luck – help the group not take this too seriously. At the end, we will wind up with a consensus on ranking and all voices will be heard. Often it is best to have the group pull their chairs in a semi-circle around the work area, away from their tables.

Prioritization of MfDR Components

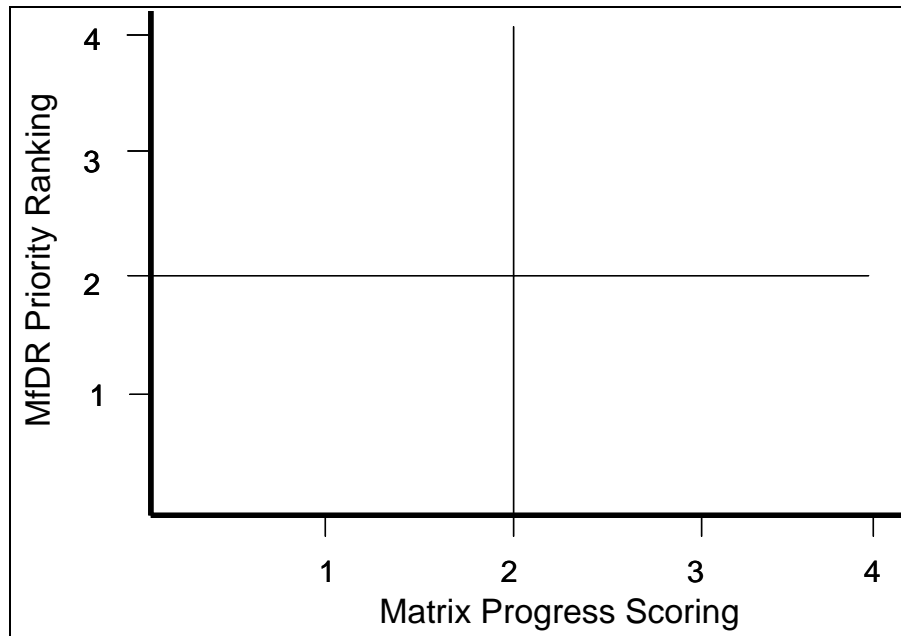
	<u>Ranking</u>		
Makes or Breaks MfDR	4	Donors & Results	Commitment
Crucial to MfDR	3	M&E Capacity	
Priority Area of Concern	2		Public Consultation
Significant, not a Priority	1	Results Related to Budget	MfDR Informs Policy
Not Significant to us in Near Future	0		

As with the analysis session described above, participants will need to refer to the comments in the CAP-Scan Journal and they may wish to alter the text on each paper to reflect their interpretation of the MfDR Component. For instance, instead of writing “Donors link programming to results,” the phrase “donors integrate programs to Government Results Framework” might resonate more with participants.

Once the papers have been arranged in priority order you can move to narrowing down the MfDR needs to be addressed in the immediate term. This involves placing each item on a grid along two axes:

- The MfDR Component priority ranking that you determined in the step above, with the lowest rating of 0 at the axis point on the left going upward to the highest ranking (4) on the right (i.e. the vertical axis); and
- The progress placement (left to right on the matrix) for each item as determined in the validating and scoring phase, with the lowest score of 0 at the axis point on the bottom going to the highest rating of 4 at the right (i.e. the horizontal axis).

Facilitation Note: To be used effectively a large scale is needed in the quadrant below. You may find it will take four flip charts, taped together into a square, to provide ample space to distinguish among the placements.



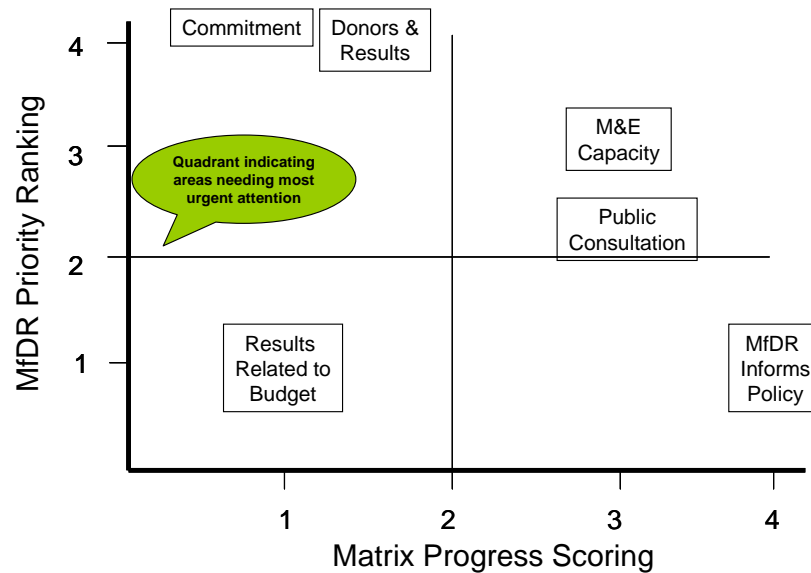
At this point, the group has noted in the CAP-Scan Journal where each Component is relatively stronger (further to the right on the Matrix) and weaker (further to the left on the Matrix). It has also determined which of the characteristics are most important to the success of the organization (relatively higher on the Priority Ranking Table). Now we need to convert these discoveries into a plan for improvement.

Go ahead and list the cards in order of priority and progress. The simplest approach, shown below, would be to write on the back of each flip card the “progress score” recorded in the CAP-Scan Journal and on the front the Priority Ranking, just determined with flip cards (as described above.)

Those cards that end up in the upper-left-hand corner represent the characteristics that are both most important to MfDR and are the least progressed in MfDR implementation. These are the items with a Priority Ranking of 2 or higher AND Matrix Progress Scores of less than 2. These will most likely be carried over to the improvement planning phase of the workshop. It is also possible that groups will be attracted to items in the upper-right hand corner of the quadrant – that is, items which are very important and where a little improvement could be obtained quickly (“quick wins”.) Prioritization is the

participants' choice; the Facilitator's role is simple to help them with analytic frameworks to consider the options.

Most urgent targets for strengthening



Feasibility

Facilitation note: Each time that some MfDR Components are “removed” from consideration as being less critical, they should be placed in a “holding” space on the wall. These are out of the running – for now – but could be reconsidered later on if the group feels that they are critical, despite the logic of the process followed.

Another dimension of prioritization will be to help groups determine the relative feasibility of the various tasks. “Feasibility” is likely to be as critical a factor as “Importance” in the context of government implementation. Some dimensions of feasibility include:

- Financial cost
- Labor demands
- Political challenges
- Administrative demands
- Timing/phasing; and
- Capacity to manage the change required.

Participants will be asked to incorporate the various components of feasibility – almost at a gut level – in making a preliminary estimate of feasibility of each of the remaining MfDR Component snow cards at this point. Determination could be made via small groups or individuals, depending on the group and time

constraints. The group needs to incorporate all these variables at once in gauging relatively feasibility of obtaining MfDR capacity improvement results.¹⁰

We propose facilitating incorporation of feasibility issues into the analysis process by having the group determine the likelihood that a particular MfDR Component could “Produce tangible progress in one year.” Participants will be asked for each Component Flipcard that is deemed at least a “2” in priority ranking to rate that likelihood as being “High”, “Medium”, or “Low”. The Facilitator could use “traffic lights” to indicate this on the snow cards by affixing colored stickers as follows:

- Green sticker for “high” feasibility;
- Yellow sticker for “medium” feasibility; and
- Red sticker for “low” feasibility.

Single stickers could be affixed to each snow card that attempts to integrate all feasibility dimensions noted above. Alternatively, groups could arrive at such summary understanding via using multiple stickers on the same snow card – one for each of the feasibility dimensions noted above. We strongly encourage facilitators and groups to identify no more than six priority challenges or actions at this point for the simple reason that creating an exhaustive list of actions reduces the chance of making progress on any one change. The target number for the final number of activities is three, but we are assuming that some suggested activities may drop from the running as being unfeasible once the group has detailed what must be done to achieve the desired results. Other activities might be combined.

In the final stages of prioritization, the group will have a great deal of data to help them prioritize, as follows:

1. A number of snow cards will already have been placed in a “holding area” to the side of the quadrant, indicating that they seem less of a priority;
2. Cards from the same MfDR Pillar will be noted by common colors;
3. Those that are important, but less developed will be in the upper-right corner of the quadrant;
4. Potential “quick wins” will be in the upper-left corner of the quadrant;
5. Relative feasibility will be indicated by the color of sticker(s) affixed to each snow card.

The role of the Facilitator is to help participants appreciate the significance of these data so that they can make informed prioritization decisions. Facilitators can also put participants at ease by telling them they can always reconsider a decision if they are uncomfortable with the result at a later time.

¹⁰ NOTE: It is likely that as a group moves towards finalizing work plan for selected activities (discussed in greater detail below), they may need to revise their color coding – and hence adjust their decisions on which activities to pursue. For example, it may turn out – after more careful consideration of the work plan – that arranging for performance-based budgeting is more arduous than had been previously thought and it would shift from a “yellow” to a “red” in feasibility. That may take it out of the running as an action item. Thus, the process is somewhat iterative.

6. MfDR Capacity Improvement Planning

Introduction

This chapter picks up where the Chapter “Analyzing the Results” left off. Here we focus on how the Facilitator leads the group in action planning to remedy the priority improvement areas identified in analyzing the CAP-Scan assessment results. This is the critical deciding moment where the organization moves from analysis to action.

This chapter addresses the essential elements of an operational plan and offers facilitators ways of dealing with resistance to getting serious about planning for organizational change.

Moving from Priorities to Planning

The final phase of the CAP-Scan workshop is the “deciding moment”, when the participants’ investment of time and energy pays off in practical solutions or actions that will lead to lasting improvements in MfDR capacity.

We cannot overemphasize the importance of doing well in this phase. Up until this point in the CAP-Scan process, few concrete practical results have been achieved to help participants to recognize the value of the time and investment of energy spent in the process. If the Facilitator does not bring the group to the practical implications of the CAP-Scan, the group will inevitably conclude that the CAP-Scan was an onerous and academic activity that needs not be repeated. Worse than undermine the value of the CAP-Scan assessment, participants may conclude that such introspection is not a good use of time and resources, thereby weakening the group’s ability to use data for improvement in the future – the very crux of MfDR.

Facilitation Note: In working with groups, it is likely that the same tool developed to measure success during a period of MfDR improvement could also be used up-front to build consensus within an organization around possible routes to improvement; to help them develop a plan to help themselves; and to set in motion a process that can foster the kind of participatory process that is essential to improvement. At the same time, the process followed in applying the Toolkit can build *esprit* in the organization and galvanize leadership.

It is expected that two types of actions could emerge from this final phase. The first is best described as important consensus that the group can use to make consensual decisions and move forward. These are group recognitions or agreements that typically don’t require a lot of action planning, but rather require simple behavioral modifications and discipline.

The second type of actions to emerge, point to the need to undertake an improvement project of one sort or another to improve MfDR functioning. By “project” we simply mean a set of actions that lead to the achievement of a specific result or objective. In this case, the responsibility of the CAP-Scan is to help the group develop an improvement plan that is clear and operational. By “operational” we mean a plan that is ready to implement because the resources, responsibilities and results are clearly identified. The remainder of this chapter will deal with steps and recommendations for facilitating MfDR Capacity Improvement planning.

Steps in Action Planning

The seven-step problem solving process presented below outlines the sequence for effective problem solving and action planning. The CAP-Scan analysis and prioritization process essentially satisfies the first

step in the planning process by identifying the priority needs for improvement. For each of the priority needs, the facilitator will need to lead the group through clarification of the:

- End results (objectives);
- Measures by which you'll know the improvement has been made;
- Actions (solutions) needed to make the desired changes; and
- Who (or what position) is responsible for each action? What are the completion deadlines? And what resources will be needed?

In considering what to do next, participants should be made aware of other assessment tools which may constitute part of the next steps. A format for developing a simple plan that includes all of these indispensable parameters is provided below.

Seven steps in the Problem Solving Process

STEPS	KEY QUESTIONS	TIPS	WHEN TO MOVE TO THE NEXT STEP
# 1 Problem Identification	What is the problem?	<ul style="list-style-type: none"> • Select significant problems and prioritize them (this comes from the prioritization process described earlier) • Be clear & concise • Spend time on this - it's a critical step 	<ul style="list-style-type: none"> • Agreement on problem selection • The problem is not too broad or narrow
# 2 Result Clarification	What do we want to achieve? How will we know the problem is solved?	<ul style="list-style-type: none"> • Express objectives as final outcomes = results • Results = observable developmental change • Do not confuse ends and means (the implementation process) • Identify measures (indicators) that demonstrate the result is achieved 	<ul style="list-style-type: none"> • Desired results are clear and sufficient and there is adequate agreement on them
# 3 Analysis	Why is it a problem? What's causing the problem?	<ul style="list-style-type: none"> • Do not be impatient • Gather facts for better understanding • Look at root causes of the problem 	<ul style="list-style-type: none"> • Problem is adequately analyzed • Key causes are identified and confirmed

<p># 4</p> <p><u>Develop Alternative Solutions</u></p>	<p>How can the problem be solved? What needs to change to solve the problem?</p>	<ul style="list-style-type: none"> • Encourage new ideas • Look for more than one way to achieve the result • Be creative – think “outside the box” 	<ul style="list-style-type: none"> • Alternative solutions listed and understood
<p># 5</p> <p><u>Choose Solution and Action</u></p>	<p>What is the best solution? How can it be implemented?</p>	<ul style="list-style-type: none"> • Choose the best actions using selection criteria (cost effective, readily manageable, equitable) • Identify contingencies and prioritize alternatives • Strive for consensus 	<ul style="list-style-type: none"> • Consensus on chosen solution, actions, implementation plan, measurements
<p># 6</p> <p><u>Implementation</u></p>	<p>Who does what? when? where? What resources are needed?</p>	<ul style="list-style-type: none"> • Assign responsibilities and monitor • Use measurements throughout implementation • Determine necessary contingencies 	<ul style="list-style-type: none"> • When plan is implemented
<p># 7</p> <p>Evaluation</p>	<p>What happened? Did it work? What was the feedback?</p>	<ul style="list-style-type: none"> • Check performance against criteria • Use measures • Identify next steps 	<ul style="list-style-type: none"> • Problem has been solved • Confirmed by measurements

Writing up the plan

Filling out the following simple format may be all that is needed to clarify an operational action plan for each priority organizational need.

- The development or improvement activities should be listed in sequential order.
- For each activity the group should identify what resources – financial, human and equipment – will be need to implement the respective activities.
- The columns for “available resources” and “sources” would not be needed if government has all the resources necessary. If not, filling out these two columns will clarify what resources are currently available and sources of each.
- Each activity should list someone who is responsible for implementing the action. You may want to include more than one person and reference their particular roles, for instance, for a

research activity you could have “planning – Issa; data collection – Indira; analysis and report preparation – Jean.”

- The activity completion date is important and should be made in consideration of the available resources and in consultation with the persons responsible for implementation.

Capacity Improvement Result 1: <i>[enter priority capacity result improvement desired]</i>				
Performance Indicator(s):				
<i>Activities</i>	<i>Resources needed</i>	<i>Sources</i>	<i>Completion date</i>	<i>Person Responsible</i>
1.				
2.				
3.				
4.				
5.				

What are minimum requirements for a quality improvement plan

The following are observations and recommendations for facilitating the improvement planning:

- Be clear with the group that this is not an academic or theoretical exercise. This is meant to be very serious and there is no value in making plans that won't be implemented.
- Don't assume that the group will have the time or attention to finish the plan later. This is the perfect moment to get real and concrete about improving MfDR. Resist complying with participants' suggestions that the plan can wait until another day; in most cases the chances that they devote the time another day to develop an operational plan without your assistance are low.
- We recognize that “Rome was not built in a day”. If the plan development proves to be too complicated given the size of the group, turn the action plan into a schedule for developing the improvement plan. Assign someone to develop activity plan for review in a day to two and then come back to help facilitate that meeting.
- The group is simply better off planning and achieving one action – no matter how small - that it is sure to achieve in the short term than developing an ambitious plan that may or not get the time, attention and resources it requires. Too many action plans stay “on the shelf.” Starting small and having success increases the confidence to take on other improvement actions. Starting big and failing only discourages self-reliance and enthusiasm.
- Focus first on articulating the results. We define a result as a significant and observable development change. Be careful not to confuse means (training, research, hiring, meetings, etc) with ends (skilled staff, new knowledge, new staff, decisions, etc). The best way to define the result statement is to clarify the performance indicator at the same time. The indicator is the simple data that tells me if the change has happened or not. If people are having a problem articulating the result, ask them “What do I see now that tells me it's a problem? And what would I see differently if the problem was fixed? OR, “How would I know that our efforts were successful?” The change is the desired result and what I would see is the indicator of success.
- Certain parameters may not be available to complete every part of the plan; for instance, the group may need to do some homework to determine the level of financial resources and their

availability. However if specific information is lacking, rather than leave it blank, have the group assign someone to get the information by a specific date.

- Regardless, many of the parameters on the plan should be considered immutable. These include:
 - Performance indicators: A result that is not measurable is simply a wish – not a result. In most cases the definition of the result and the indicator can be lifted out of or inferred from the CAP-Scan matrix. If the group can tell you what success will look like, they can identify the indicator of that change.
 - Remember that “what gets measured and reported is what gets done”. The value of the indicator is not just that it shows progress; it also clarifies what is expected from whom by when.
 - Person Responsible: Don’t let the group list activities without stating who will be responsible (it could be either a person’s name or the title of a post responsible for the work). If no one is responsible it won’t get done. If the group can’t say who will take responsibility, consider taking the activity off the list.
 - Some groups will try to finesse the question of “who is responsible” by putting two or more names, or worse the name of an office (as opposed to a specific post in an office). Don’t accept this because “split” responsibility is almost always “no one’s” responsibility. Each individual can claim that someone else was in charge.
 - Activity completion date: No time frame means it may never get done – consider taking it off the list. It is acceptable to offer a range.

7. Participant Feedback on the CAP-Scan

At the end of the improvement planning process, and before the meeting breaks up, the Facilitator should be sure to distribute to participants the CAP-Scan Evaluation Form (*Annex I*). Facilitators should request that participants take the time to complete the forms fully, explaining to them the scoring system. Our objective is to continuously improve the CAP-Scan process, and their feedback is essential to guide those improvements. Participants may include their names or fill the forms anonymously.

Once the forms are gathered the Facilitator can use the MfDR CAP-Scan Workshop Evaluation Calculation Sheet (*Annex J*) to compile the data. The Excel sheet will automatically develop average scores for each of the quantitative fields. The Facilitator will need to summarize the qualitative responses by reading each one and emphasizing especially those comments that are raised by more than one respondent. These data will be presented in the CAP-Scan Report document described in the next section of this manual.

8. CAP-Scan Report Template

Annex H provides a preliminary draft of a template for reports summarizing the results of a CAP-Scan exercise. The report's focus should be on presenting the group's learning – not the Facilitator's point of view. It should present a snap-shot of the MfDR status as of the time of the exercise. It should be written so that it can be shared directly with government officials and – possibly – other governments and donors. The draft table of contents is presented below to provide a sense of what should be covered.

CAP-Scan Report Template Table of Contents

1. Summary findings and conclusions.....	2
2. Background	3
CAP-Scan Pilot Application.....	3
CP-Scan Application in {CAP-Scan Subject Name}	4
3. Process and Products	4
4. Dissemination Strategy.....	5
5. Results of Facilitator Training.....	5
6. Capacity to conduct follow-on CAP-Scan assessment.....	5
7. Next Steps	5
8. Workshop Rating.....	5
9. Lesson Learned to improve future CAP-Scan Applications.....	6

The heart of the report consists of the various products of the exercise – the Matrix, Journal, Profile, and MfDR Improvement Plan – with just enough text to put them in context and explain the process and any relevant dynamics. The emphasis is on generating an accurate summary of the outcomes so that action can be taken on them as soon as possible.

As with other elements of the CAP-Scan toolkit the report template can be adapted to suit a particular application. It is presented in the hopes that it will save time in the field. In the interest of compressing the assessment-to-solution process into one event, the Facilitator should ensure that the report is finalized before departing the country.

Annex A. Introduction to MfDR Capacity Assessment Toolkit (CAP-Scan)

Introduction to MfDR Capacity Assessment Toolkit (CAP-Scan):

World Bank, Washington, D.C.
12-13 May 2008

The guy in front

- Can't "teach" this group; only share
- Lots of "results experience at project, NGO and Mission levels
- Hate boxes/Love boxes
- Prefer to "do" than "think"
- Invented and applied similar tool all over
- ImPerFect, so HELP

Origins of this pilot ...

- OECD/DAC Joint Venture support to implement results-based approaches
- Tool Development Supporters: ADB, CIDA, MCC, UNDP, WB, GoM, GoPNG
- CAP-Scan modeled on successful organizational capacity self-assessment tool applied "everywhere"
- Lessons learned to feed into Accra High Level Forum

MfDR Capacity Assessment (CAP-Scan) Windows to Learning

1. Realistic: What can it do for us?
2. Theoretical: How does it work?
3. Practical: How do we get it done?

4. Additional Tools

1. Realistic

What can the CAP-Scan do for us?



What is MfDR?

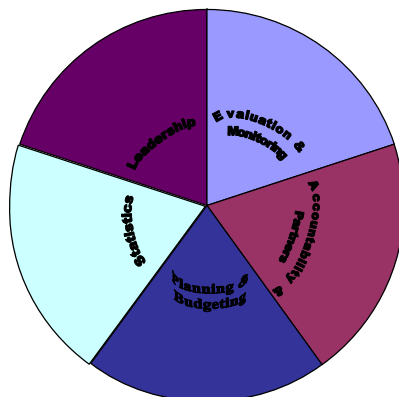
Why the CAP-Scan?

Liking CAP-Scan to other tools

MfDR

- Managing for Development Results (MfDR) is a process of **evidence-based decision making** in the pursuit of human development. It is a strategy that uses sound information for policymaking; it involves **practical tools** for planning, risk management, and monitoring and evaluation. In **partner countries and donor agencies**, MfDR signals **a shift from focusing on inputs and immediate outputs to performance and achievement of outcomes and long-term impacts.**

MfDR Five Pillars



The approach can...

- Raise government consciousness of MfDR and what it means, in your context
- Help government chart its own path to MfDR, based on best practices
- Facilitate cross-organizational cooperation
- Promote participation and consensus
- Be completed in a relatively short time

CAP-Scan helps government...

- Assess its own strengths and gaps in MfDR
- Consider synergies among LEAPS
- Map a prioritized plan for improvement
- Measure progress against the plan
- Communicate with potential donors
- Track improvement in MfDR practices

Concrete Products by 2-weeks' end

- Prioritized MfDR Capacity Improvement Plan
- MfDR CAP-Scan Installation Report
- Presentation to government of results (if desired)
- Ability to conduct subsequent CAP-Scans
- MfDR CAP-Scan Profile, presenting results graphically.
- Revised MfDR CAP-Scan Matrix, presenting vision of MfDR Implementation
- Systematic record of findings and conclusions

Linking Scan to Other Tools

- More in-depth analysis may be desired (described later) after CAP-Scan:
 - Focused follow-up, based on CAP-Scan results
 - CAP-Scan as introduction for broad intervention
 - As pivot to expand targeted intervention more broadly

Methodological Debts

Canada: MfDR Self-Assessment Tool	<i>Format</i>
New Zealand: Getting Better at Managing for Outcomes	<i>Format</i>
UNDP: Capacity Assessment	<i>Process understanding</i>
EC: Institutional Assessment and Capacity Development	<i>Political understanding</i>
MSI: Institutional Development Profile	<i>Group process management</i>

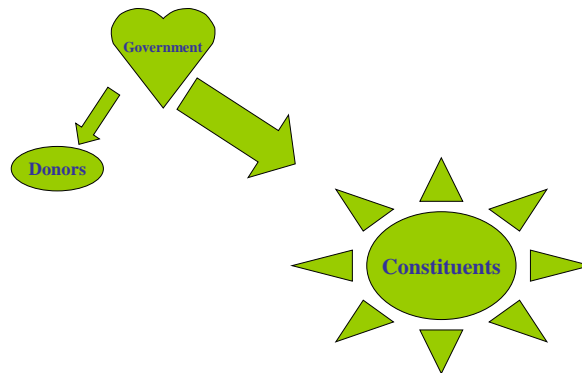


2. Theoretical

How does CAP-Scan work?

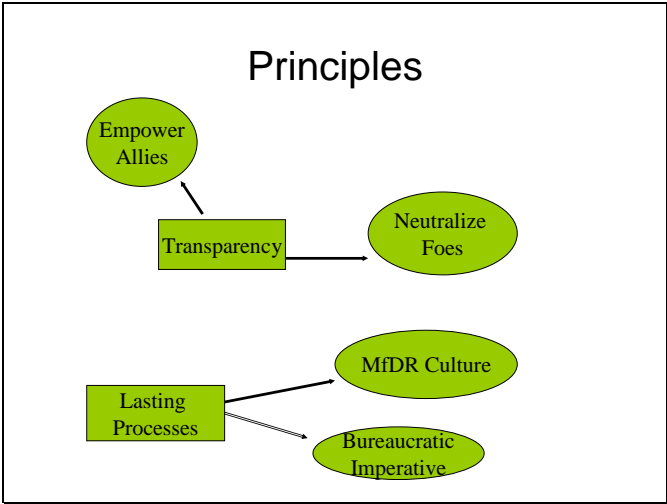
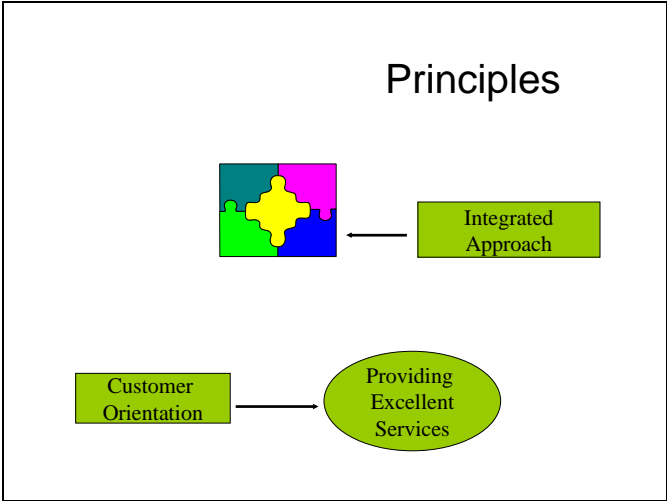
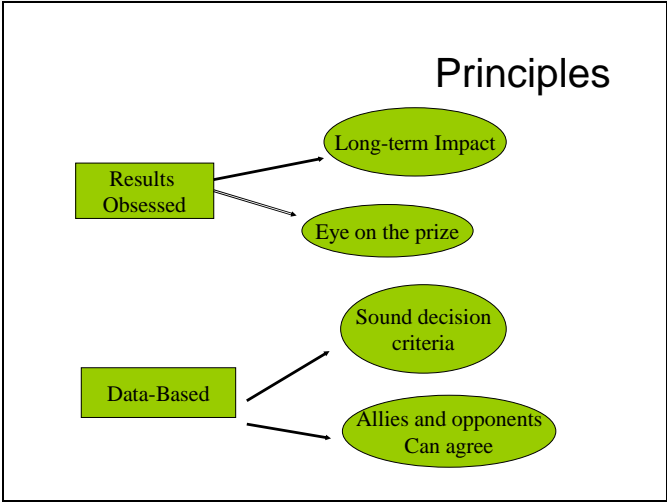
Holistic Approach
Core Principals
Setting aside time
Tools and “Objectivity”

For whom?

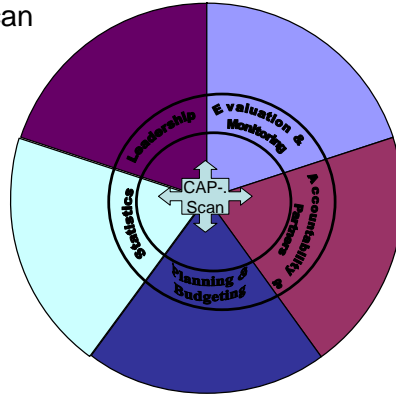


Health Analogy: Pulse isn't everything

- Vision/planning
- Financial systems
- Management Systems
- Leadership
- Information systems
- External Relations\
- Circulatory
- Respiratory
- Digestive
-



Broad Tool
J.V. Scan



Paradox of Monitoring



- ☒ People are over-worked
- ☒ Monitoring is final priority everywhere
- ☒ Data seldom collected; when collected not analyzed
- ☒ Mistrust of internal data; scorn for external
- ☒ Therefore, monitoring data is almost never used for decision making

CAP-Scan is a Special Monitoring Event

- Avoiding the “not-to-do listing”
- Compress into one event
 - data collection
 - analysis
 - decision making
 - planning



How?

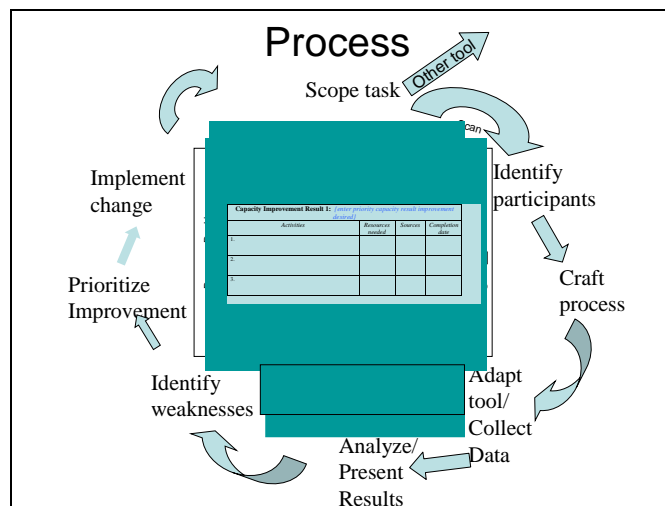
- Subjective vs. Objective
- Continuously vs. Special Events
- External vs. Internal

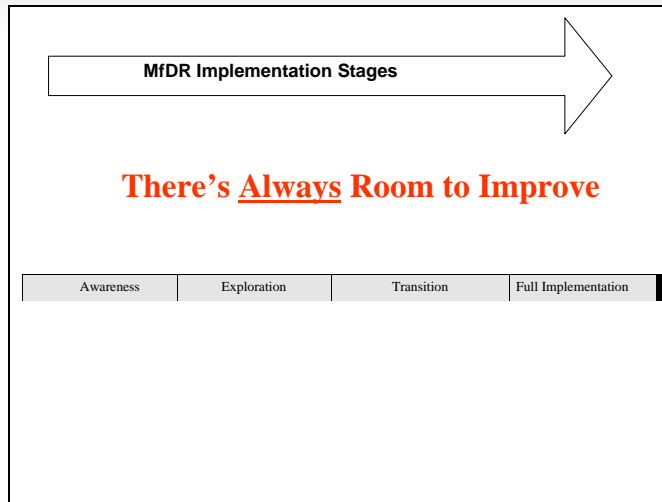
3. Practical



How does CAP-Scan work?

Overview
Tool Structure
Data Collection, Management & Analysis
Decision Making & Planning





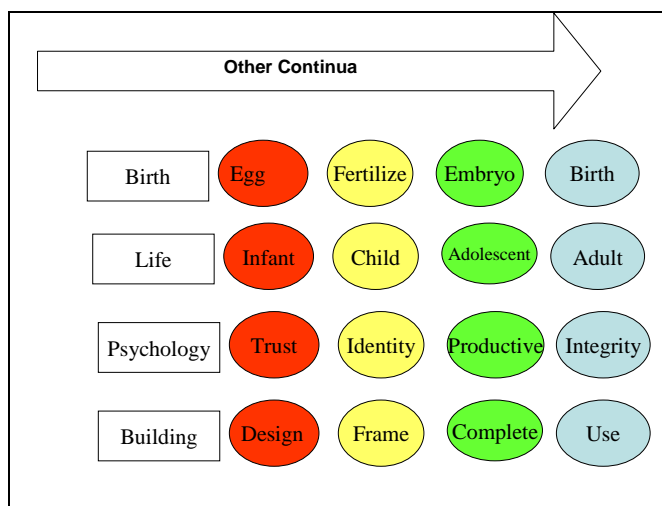
Column Descriptors

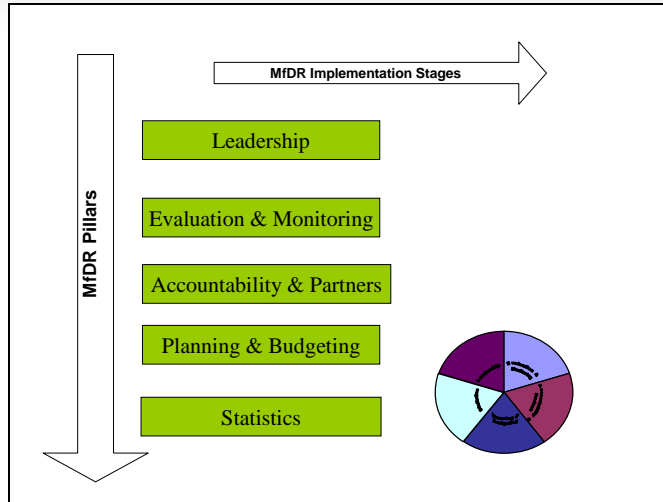
Awareness
 The organization is aware of, but not committed to, MfDR. People in the organization recognize that what they have been doing is inadequate and that there must be a better way of proceeding. Managers may express a broad commitment to MfDR, saying that they wish to be in line with broader public policy, but their statements lack conviction. This stage can involve a sense of fear, guilt and unhappiness with past performance. It can also lead to attempts to place blame, as various organizational stakeholders become frustrated with parts of the organization that do not implement MfDR-related practices. With increased exposure to the idea of managing for results, groups become more open to the possibility of change, leading to the next stage.

Exploring
 The organization begins to commit to MfDR and explores different approaches. During this stage, people begin to pick up on new ideas from a variety of sources. The exploration may take the form of learning groups, benchmarking studies and pilot projects. One problem at this stage is that people may prefer one technique or system over others, without having given them a full trial. Another problem may be that too many different ideas are tied at once, resulting in practices that are never fully explored. During the exploration stage, enough people across the organization develop a sense of the benefits of MfDR and at to explore it in a broader context. This willingness leads to the next stage.

Transition
 The organization has committed itself to MfDR and attempting to make the transition from previous systems. People begin to make a commitment to the new practices required. They drop old practices in favor of new ones because the old practices can no longer solve the organization's day-to-day problems. This stage can be characterized by hard decisions on what to keep and what to discard in terms of MfDR strategies. For example, the conversion to a set of results-oriented measures is likely to mean that some old measures need to be dropped. As more people see the benefits provided, MfDR becomes more widespread throughout the organization.

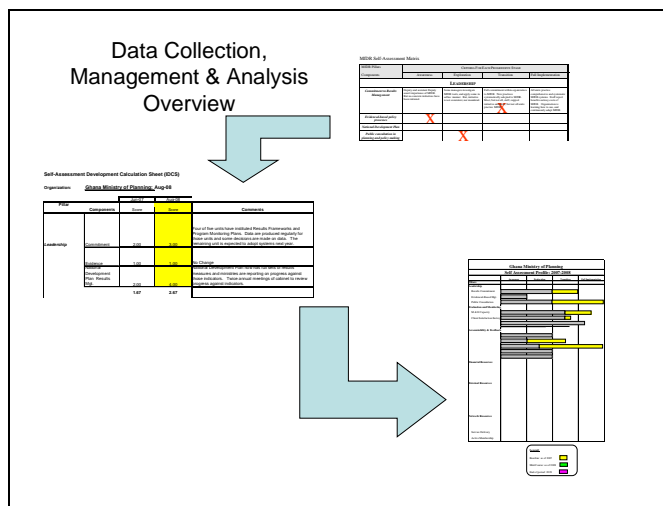
Full Implementation
 The organization fully implements MfDR in all areas. Groups across the organization begin to begin to see and look forward to the real benefits of the new management approach. Resources are allocated and plans are designed to support new practices, not to maintain old and outdated ones.





Matrix Excerpt

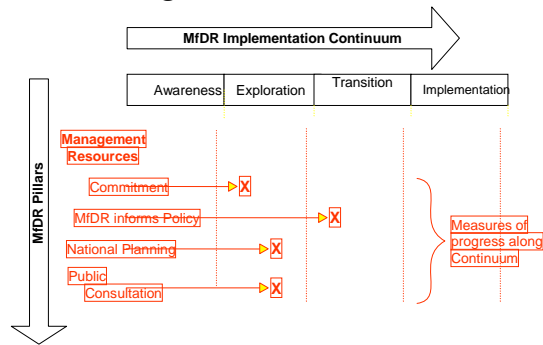
MDR Pillars Components	Criteria For Each Progressive Stage			
	Awareness	Exploration	Transition	Full Implementation
Leadership				
Commitment	Top management asserts importance of MDR. But no concrete initiatives have been initiated.	A small number of managers investigate MDR tools, and apply them sporadically. But, initiative is not consistent, nor mandated.	Full commitment within government to MDR. New MDR practices are systematically adopted. Most, but not all, staff, support initiative and most, but not all units practice MDR.	All units practice comprehensive and systematic MDR systems. Staff report benefits outweigh costs of MDR. Organization is learning how to use, and continuously adapt MDR.
MDR informs policy	Although leaders claim that evidence should be integrated into policy processes – reliable data are not collected or used.	At least a few decisions are taken based on hard data. However, these are the exceptions in an environment where data are seldom available or used.	A thorough array of results-based data-grounded decision- and policy-making support systems are installed in some units. Leadership emphasizes the importance of such systems and indicates that they should be harmonized and used universally.	Results-based management systems are utilized in virtually all relevant areas. These systems are adequately funded, staff at all levels appreciate their utility, they use data to revise policy and procedures, and systems are in place to continuously improve them.
National planning	National Development Plan exists. However, outcomes and targets – even for such areas as poverty reduction or health – are not clearly articulated.	National Development Plan articulates outcomes, and maybe even some specific targets. However, that discipline is not consistently applied throughout the Plan.	National Development Plan clearly articulates outcomes, results, and measurable targets against which programs can be measured. However, data are not systematically collected and used by decision makers. "Ownership" of the Plan and its data are not widespread.	Outcomes, results and targets are consistently and appropriately applied throughout the National Development Plan. Relevant data are collected and used to adapt implementation of the plan. Decision-makers recognize the utility of the data and ensure it is integrated into the decision-making process.



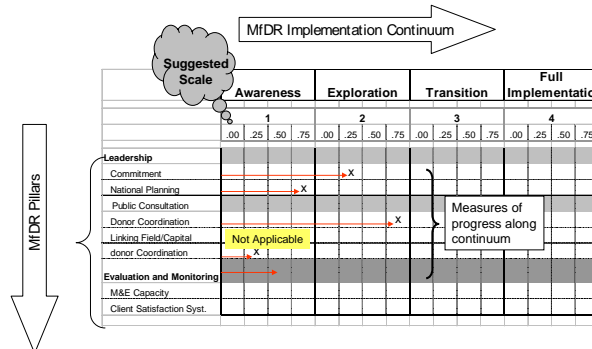
Using the Framework: “X” Marks the Spot

- Each row shows a desired path to improvement
- Determine where along the continuum you are now situated
- Mark an x on the spot
- **Be honest with yourself**

MfDR Implementation Progress Skeleton



“X” Marks the Spot



Program Note

- Research, analysis and JVMfDR Leadership went into making the cells as broadly useful as possible
- Further refinement will come from pilot experiences
- But, they will never be perfect for all applications, nor should they be
 - Keep what works for you
 - Dump what does not

Keep A Record of Your Decisions

Managing for Development Results Capacity Scan (MfDR CAP-Scan Matrix)

Dimension	Feb-08	Feb-09	Change
Commitment	2.00	3.00	1.00
MfDR informs policy	1.00	1.00	0.00
National planning	1.00	2.00	1.00

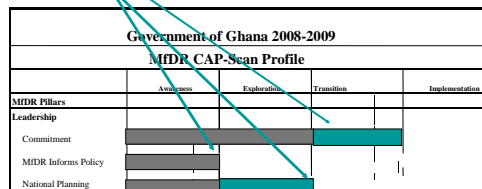
CAP-Scan Journal
Scanning Subject: Gov. of Ghana Date: Feb-09

MfDR Pillar	Dimension	Feb-08 Raw Score	Feb-09 Raw Score	Change Over Time	Comments
Leadership	Commitment	2.00	3.00	1.00	Most government leadership appreciate the importance of MfDR. Many MfDR systems and tools are being applied (such as performance based budgeting). But, significant numbers of staff have yet to fully embrace MfDR.
	MfDR informs policy	1.00	1.00	0.00	No change.
	National planning	1.00	2.00	1.00	National Plan now includes a significant number of outcomes and targets. However, this discipline is uneven, with many areas lacking results approaches.

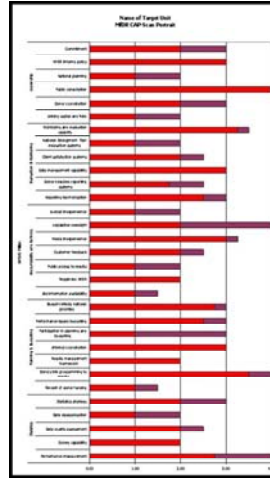
Graphing the results: The Profile

CAP-Scan Journal
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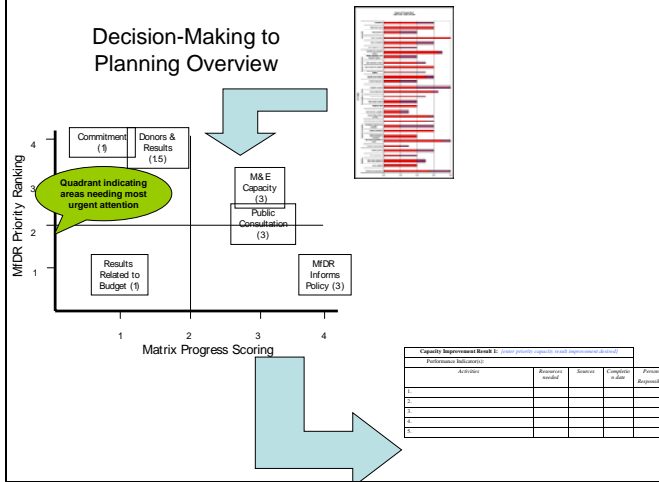
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Completed Profile



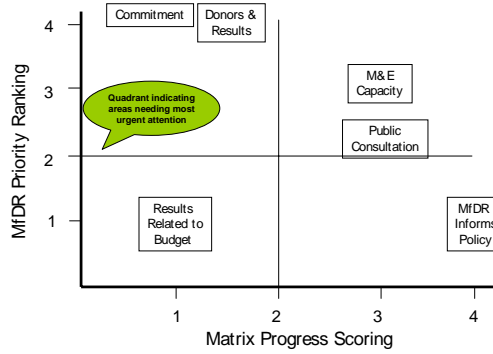
Decision-Making to Planning Overview



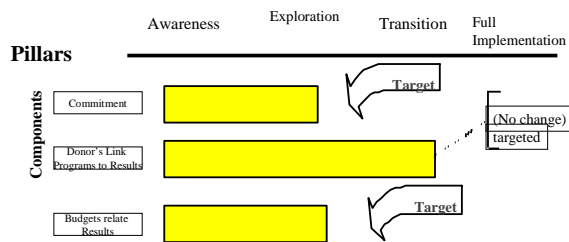
Prioritization of MfDR Components

Makes or Breaks MfDR	Ranking	Components
Makes or Breaks MfDR	4	Donors & Results, Commitment
Crucial to MfDR	3	M&E Capacity
Priority Area of Concern	2	Public Consultation
Significant, not a Priority	1	Results Related to Budget, MfDR Informs Policy
Not Significant to us in Near Future	0	

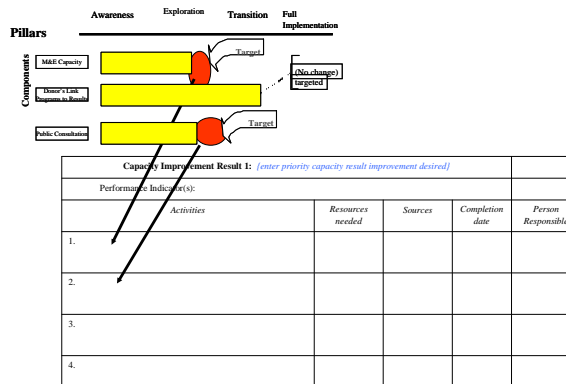
Most urgent targets for strengthening



Setting Targets

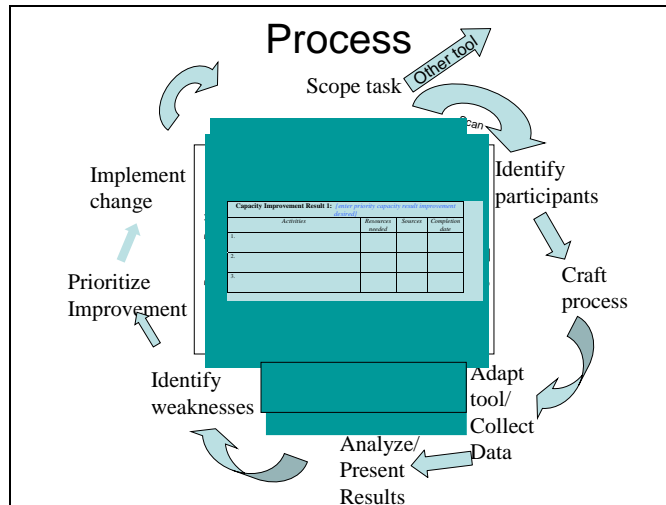


Plan to achieve targets



Tailor tool to be inspirational

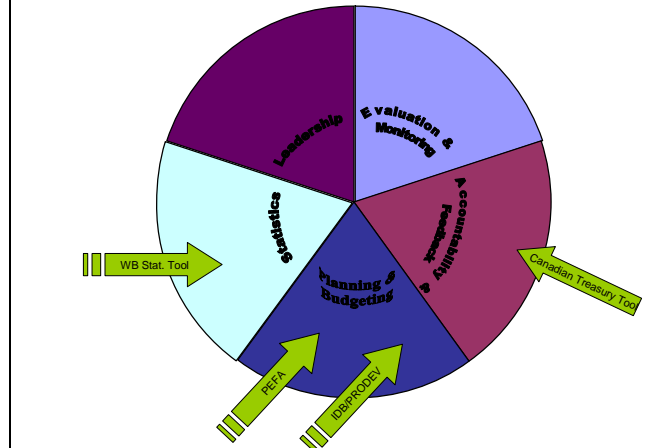
- The “progress cells” are normative -- they are meant to convey an agreed approach
- The revision process spurs consensus and reveals inconsistencies
- Only focus on what matters
- Make what you focus on matter



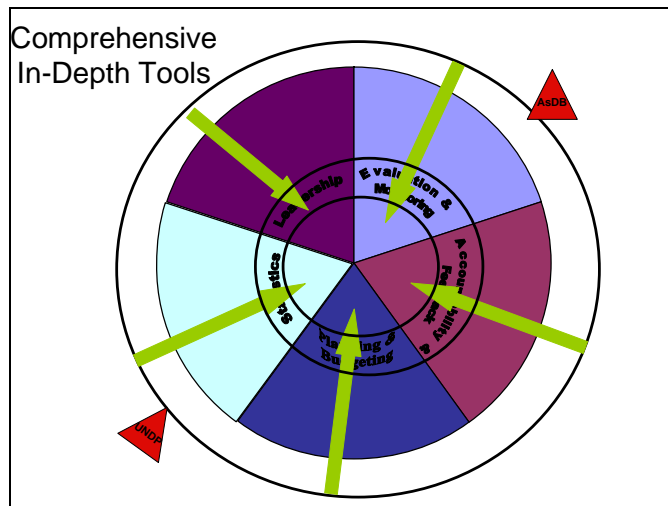
Don't Fool Yourself

4. Additional Tools

Pillar-Focused Tools (not necessarily MfDR)



Comprehensive In-Depth Tools

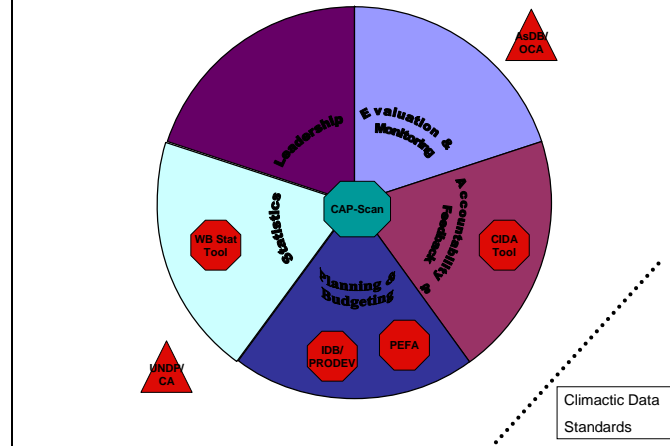


Externally-Produced Ratings

- Climactic data:
 - WB's CPIA: Country Policy and Institutional Assessment
 - WB's Kaufman-Kraay Indicators
 - WB's Doing Business and Investment Climate Surveys
 - GI: Global Integrity Index
- Standards:
 - IMF: Code of Good Practices on Transparency in Monetary and Financial Policies

Towards judgmental/black box end of spectrum. Some aspects may be useful in exploring pillars in greater detail.

Assessment Wheel Mapping



6. Discussion

Annex B. Introduction to MfDR Capacity Assessment Toolkit (CAP-Scan)

Introduction to MfDR Capacity Assessment Toolkit (CAP-Scan):

World Bank, Washington, D.C.
12-13 May 2008

Origins of this pilot ...

- OECD/DAC Joint Venture support to implement results-based approaches
- Tool Development Supporters: ADB, CIDA, MCC, UNDP, WB, GoM, GoPNG
- CAP-Scan modeled on successful organizational capacity self-assessment tool applied “everywhere”
- Lessons learned to feed into Accra High Level Forum

MfDR Capacity Assessment (CAP-Scan) Windows to Learning

1. Realistic: What can it do for us?
2. Theoretical: How does it work?
3. Practical: How do we get it done?

4. [Additional Tools](#)

1. Realistic

What can the CAP-Scan do for us?



What is MfDR?

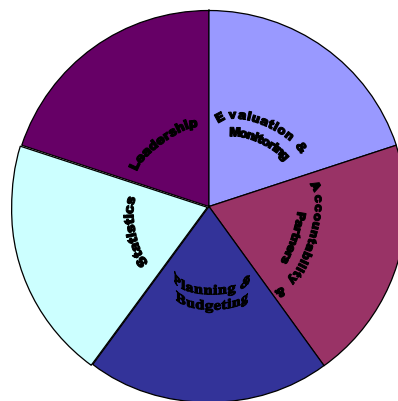
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Liking CAP-Scan to other tools

MfDR

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MfDR Five Pillars



The approach can...

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Concrete Products by 2-weeks' end

- Prioritized MfDR Capacity Improvement Plan
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- Presentation to government of results (if desired)
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- Revised MfDR CAP-Scan Matrix, presenting vision of MfDR Implementation
- Systematic record of findings and conclusions

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Methodological Debts

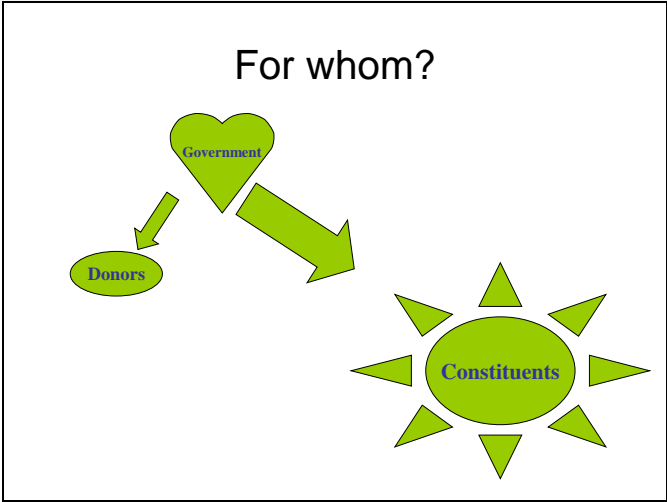
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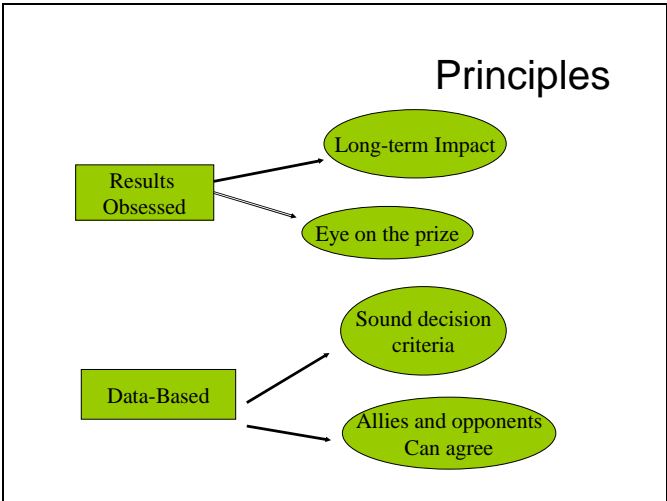
2. Theoretical

How does CAP-Scan work?

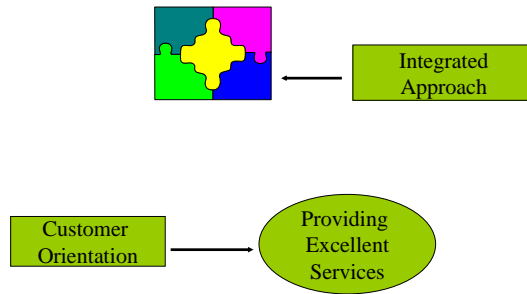
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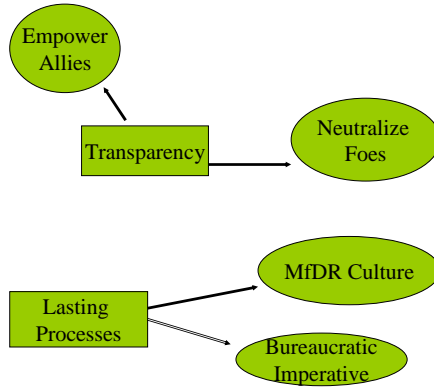
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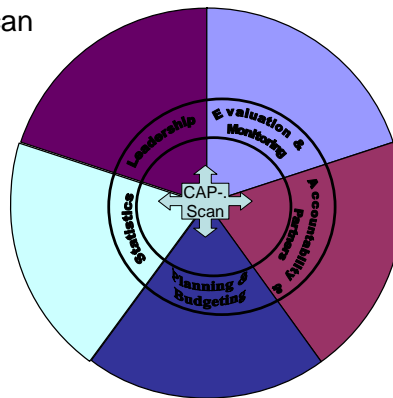
Principles



Principles



Broad Tool J.V. Scan



Paradox of Monitoring



- ☐ People are over-worked
- ☐ Monitoring is final priority everywhere
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- ☐ Mistrust of internal data; scorn for external
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CAP-Scan is a Special Monitoring Event

- Avoiding the “not-to-do listing”
- Compress into one event
 - data collection
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How?

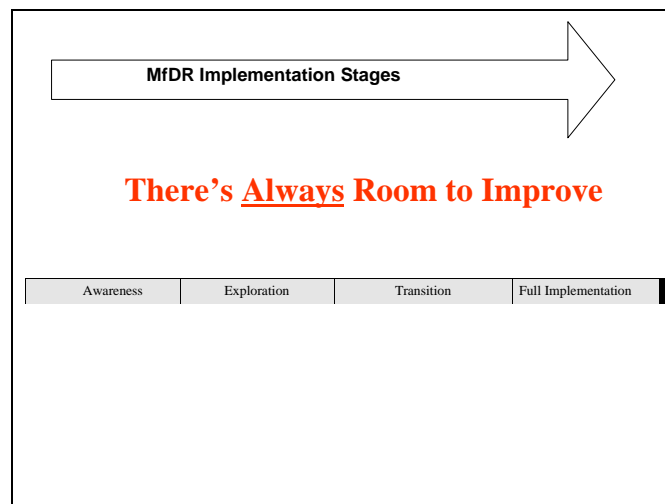
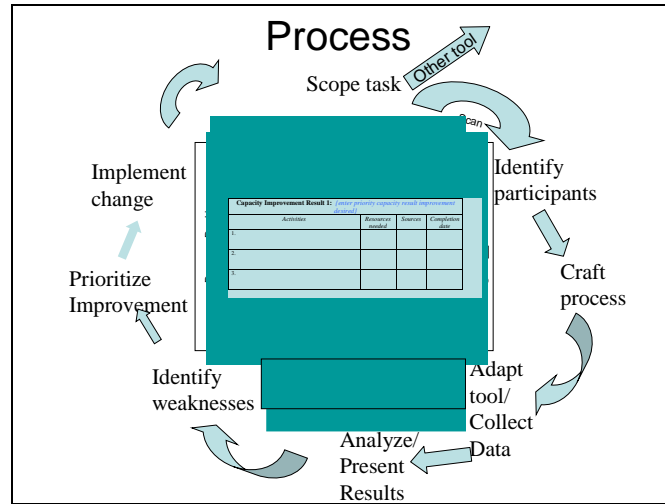
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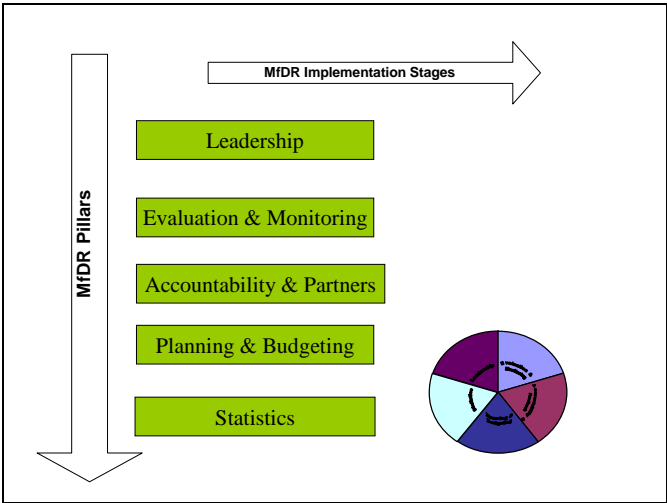
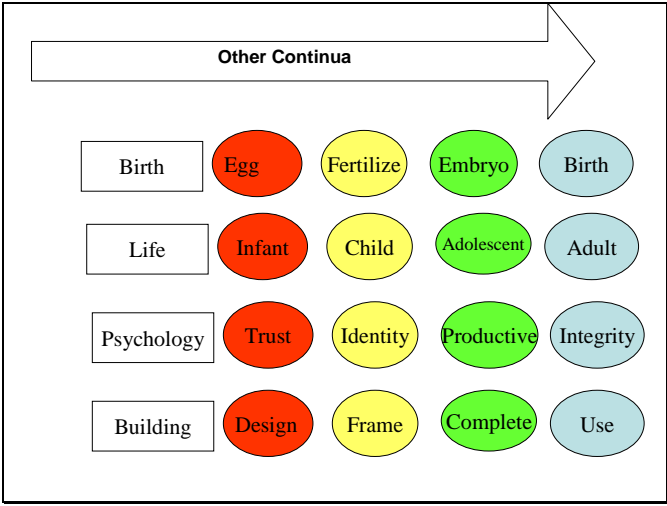


How does CAP-Scan work?

- Overview
- Tool Structure
- Data Collection, Management & Analysis
- Decision Making & Planning



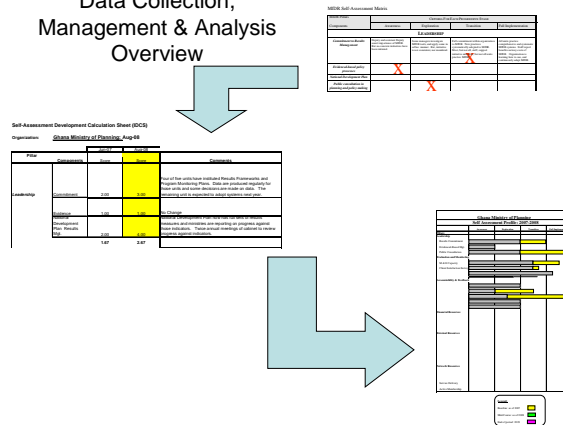
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Matrix Excerpt

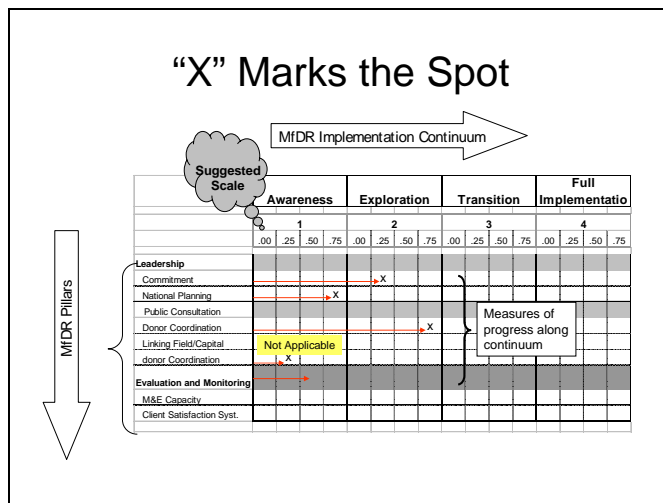
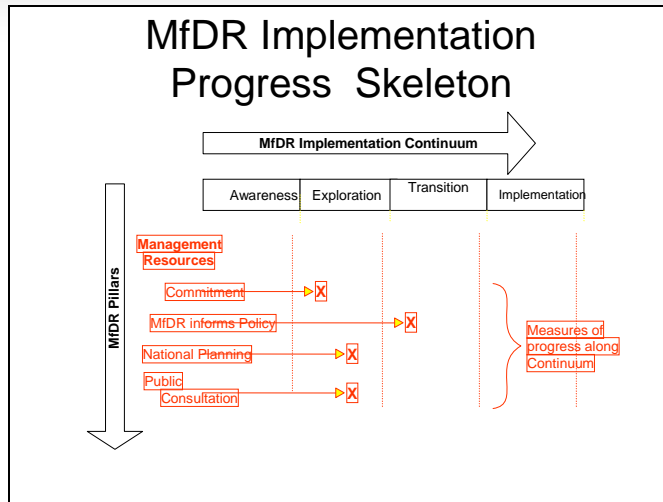
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Data Collection, Management & Analysis Overview



Using the Framework: “X” Marks the Spot

- Each row shows a desired path to improvement
- Determine where along the continuum you are now situated
- Mark an x on the spot
- **Be honest with yourself**



- ## Program Note
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 - But, they will never be perfect for all applications, nor should they be
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Keep A Record of Your Decisions

Managing Our Development Results Capacity Scan (MfDR CAP-Scan) Matrix

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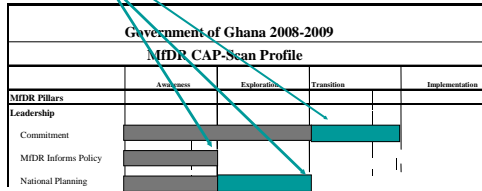
JAP-Scan Journal
 Scanning Subject: **Gov. of Ghana** Date: **Feb-09**

MfDR Pillar	Dimension	Feb-08		Feb-09		Comments
		Raw Score	Raw Score	Change	Over Time	
Leadership	Commitment	2.00	3.00	1.00		Most government leadership appreciate the importance of MfDR. Many MfDR systems and tools are being applied (such as performance based budgeting). But, significant numbers of staff have yet to fully embrace MfDR.
	MfDR informs policy	1.00	1.00	0.00		No change
	National planning	1.00	2.00	1.00		National Plan now includes a significant number of outcomes and targets. However, this discipline is uneven, with many areas lacking results approaches.

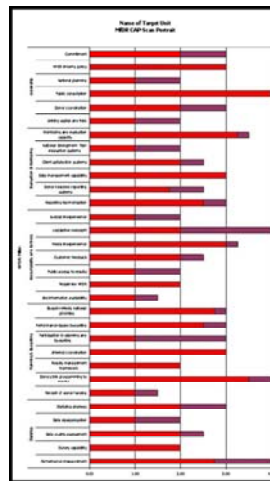
Graphing the results: The Profile

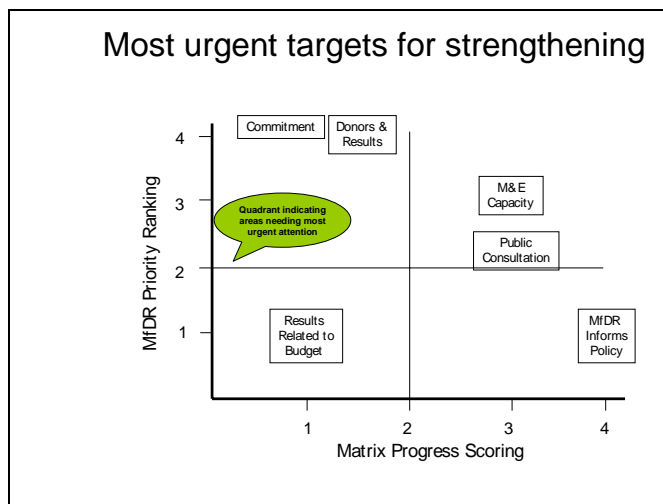
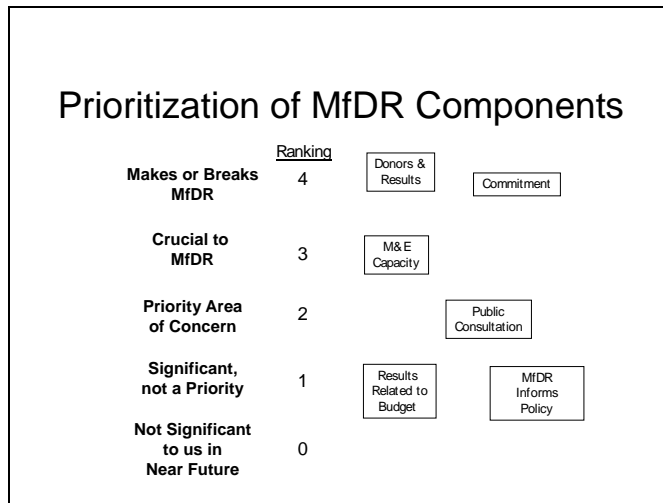
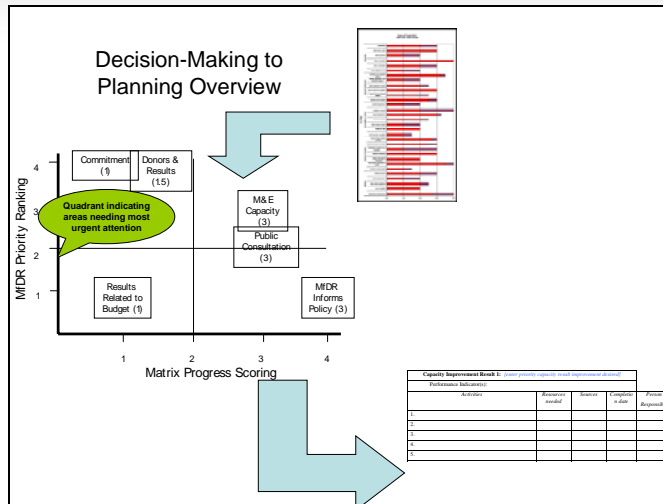
JAP-Scan Journal
 Scanning Subject: **Gov. of Ghana** Date: **Feb-09**

MfDR Pillar	Dimension	Feb-08	Feb-09	Change	Comments
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	MfDR informs policy	1.00	1.00	0.00	No change
	National planning	1.00	2.00	1.00	National Plan now includes a significant number of outcomes and targets. However, this discipline is uneven, with many areas lacking results approaches.

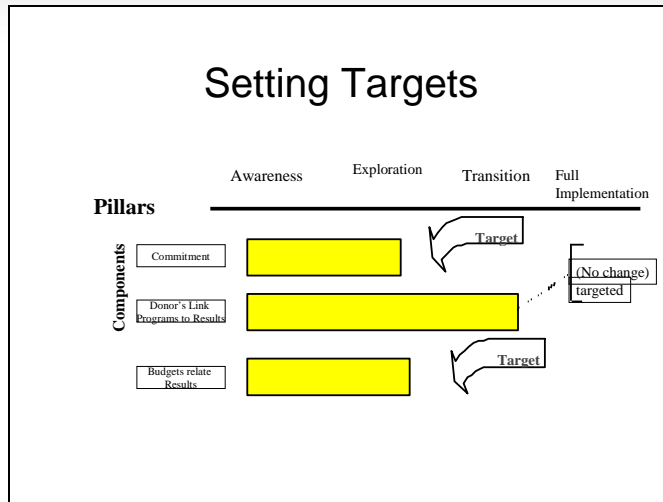


Completed Profile

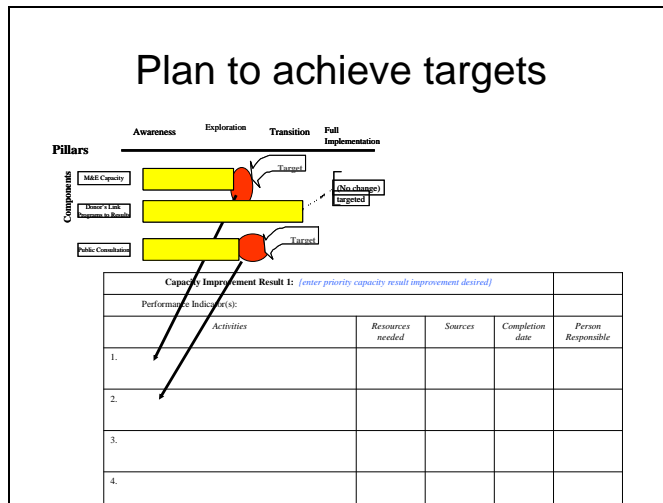




Setting Targets

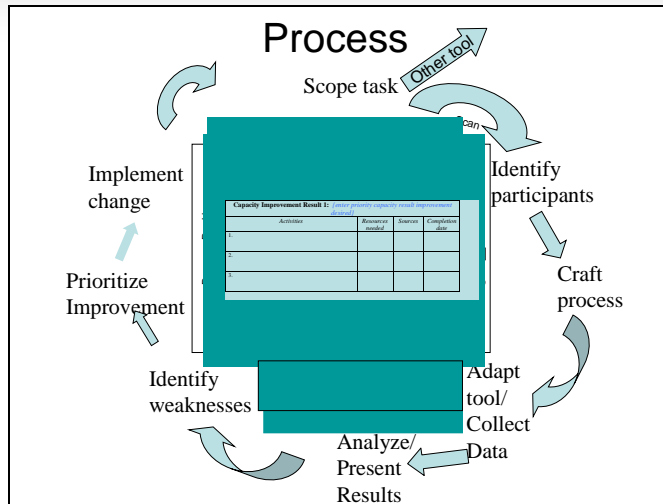


Plan to achieve targets



Tailor tool to be inspirational

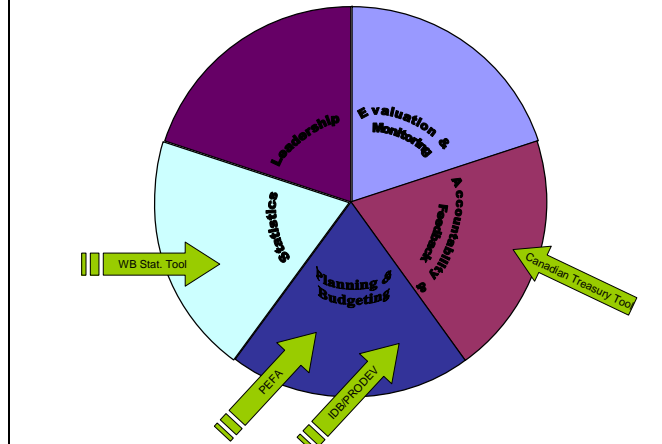
- The “progress cells” are normative -- they are meant to convey an agreed approach
- The revision process spurs consensus and reveals inconsistencies
- Only focus on what matters
- Make what you focus on matter



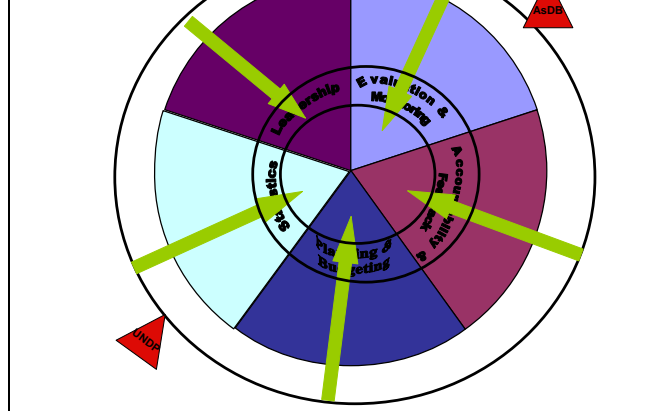
Don't Fool Yourself

4. Additional Tools

Pillar-Focused Tools (not necessarily MfDR)



Comprehensive In-Depth Tools

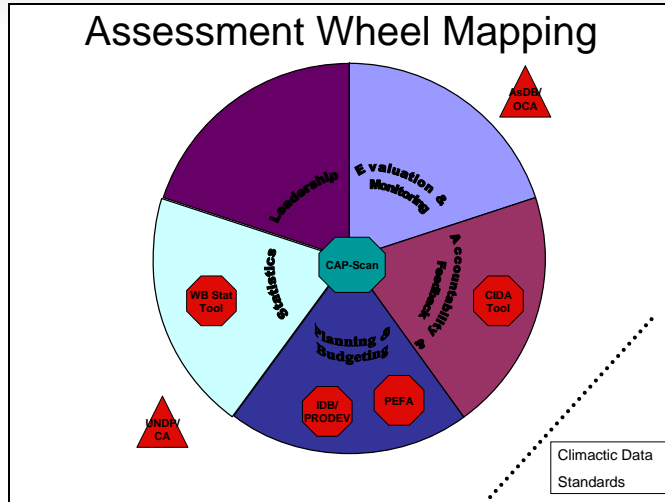


Externally-Produced Ratings

- Climactic data:
 - WB's CPIA: Country Policy and Institutional Assessment
 - WB's Kaufman-Kraay Indicators
 - WB's Doing Business and Investment Climate Surveys
 - GI: Global Integrity Index
- Standards:
 - IMF: Code of Good Practices on Transparency in Monetary and Financial Policies

Towards judgmental/black box end of spectrum. Some aspects may be useful in exploring pillars in greater detail.

Assessment Wheel Mapping



6. Discussion

Preliminary Components of CAP-Scan Manual

Why CAP-Scan?

Function:

CAP-Scan provides a country-specific analytic framework and participatory process for leaders in management units within governments to assess the unit's stage of progress in developing a culture, behaviors and systems to manage for development results (MfDR) and it helps them to prioritize concrete steps for MfDR improvement.



Outcomes:

- *Improved understanding – based on local realities – by government managers of key aspects of MfDR, based the LEAPS framework (Leadership; Evaluation and monitoring; mutual Accountability and partners; Planning; and Statistics) developed by the Joint Venture on Managing for Development Results (JV MfDR).*
- *A consensus snap shot of areas of significant MfDR implementation as well as those requiring urgent effort to implement;*
- *A prioritized MfDR Improvement Plan for strengthening targeted aspects of MfDR*
- *A methodology for monitoring progress against the MfDR Improvement Plan as well as for tracking overall MfDR capacity development.*

Purpose(s):

Enhance local insights into MfDR, provide a framework for investing in local MfDR capacity improvement, and establish an evidentiary base for increased global advocacy for MfDR.

Goal

Continuous improvement of MfDR as a world-wide approach to excellence in governance.

Process Overview

The CAP-Scan process is intended to support continuous improvement, as noted by the cyclical portrayal of the process at right.¹¹ Each step will be described briefly below, followed by more detailed descriptions in subsequent sections of this manual.

1. Scope the Task

Prior to arrival in a country, the CAP-Scan facilitator will need to:

- e. Do background reading to familiarize him/herself with the task;
- f. Interview remotely key informants to gain a sense of precisely what is to be included

within the “unit” to be assessed; logistical and political considerations; local perceptions of the unit’s MfDR strengths and weakness; any research required in advance of the CAP-Scan; and other issues relevant to the local context.

- g. Complete preliminary adaptations to the CAP-Scan template to make it appropriate to the task; and
- h. Reach preliminary agreement with the Government Contact Person (GCP) on CAP-Scan organizational scope, participants, duration, location, schedule, required materials, costs, and other logistics.

This preliminary understanding will be fine-tuned once the Facilitators arrive. However, investing the time necessary for a thorough preliminary scoping will ensure that the process gets off to a solid beginning and greatly help the GCP in making local preparations.

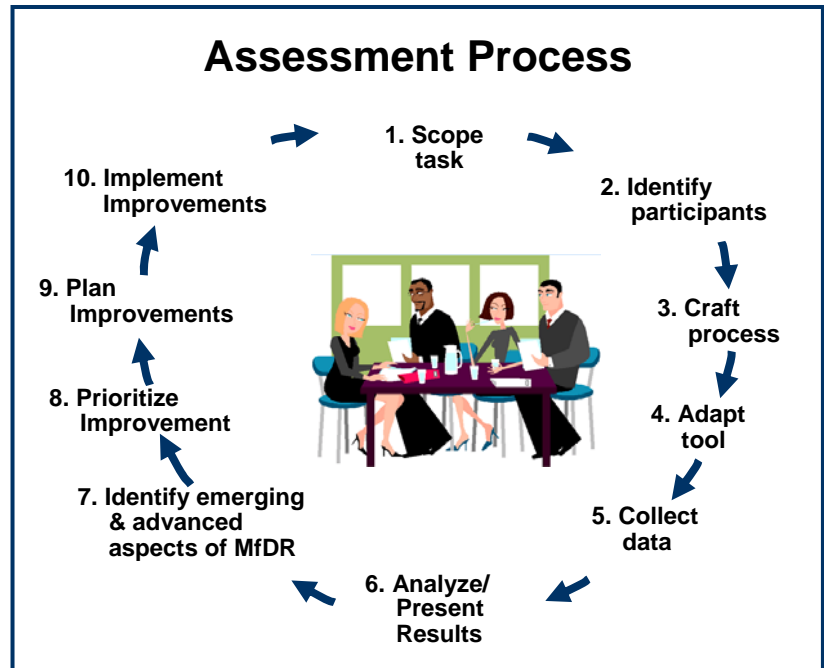


2. Identify Participants

Obtaining an appropriate composition of CAP-Scan participants is critical to ensuring an effective outcome. The challenge is casting a broad enough net so the group will be able to speak authoritatively about the LEAPS issues while keeping it small enough for effective dialogue during the workshop process. This process will commence during the remote planning stage and be finalized during the final preparations among the Facilitators and GCP in-country.

3. Craft the Process

While the analytic basis of the CAP-Scan is relatively constant, and founded on LEAPS, there are many different ways to apply the basic framework so that the government may get the most possible out of the process. Facilitators will work with the GCP to tailor the

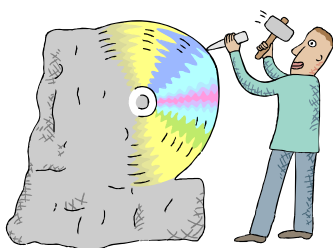


¹¹ An Illustrative CAP-Scan Schedule is presented in the Annex.

process to meet the needs of top management. Each application will have its own considerations meriting adaptations in approach. Illustrative variables follow:

- *The need to use the process to bring in stakeholders* may necessitate preliminary meetings in-country to explain the process to key stakeholders to obtain full “ownership” of the process.
- *Large numbers of participants* may necessitate dividing participants into more than one workshop cadre.
- *Need to engage very senior managers* may necessitate a process whereby mid-level participants would first complete an assessment process for later validation by senior officials.
- *Time constraints and work demands* may lead to a process that either requires an off-site retreat for two-three intense days or a process that engages participants for only a few hours each day in the capital, spread over a week.
- *Donor interest in funding quality MfDR Improvement Plans* may lead GCPs to request a process to include selected donors in the discovery, analysis or reporting stages of the CAP-Scan process.

Meta-design considerations should – if at all possible – be fleshed-out prior to the Facilitators’ arrival.



4. Adapt the Tool

The Master CAP-Scan file is written for a generic organization. Facilitators must adapt it to fit the precise application. To do so, they must really understand the nature of the organization to be assessed:

- Is it a distinct entity with its own structure and hierarchy (such as a Ministry or Department)?
- Is it a group of such entities with an intermittent common purpose (such as Ministries aligned for a Poverty Reduction Strategy)?
- Is it the entire government?

If possible, the tool should be adapted – preliminarily – to share with the GCP to orient discussion. It will then be further adapted during scoping discussions, and as part of the actual application. It is likely that no two applications will have identical CAP-Scan tools.

5. Collect Data

The CAP-Scan process is centered around participants’ reaching consensus on where the unit is in the process of implementing MfDR, using the CAP-Scan Matrix as a basis for discussion and analysis.¹² The basic process is for the Facilitators to assist the group to understand the meaning of each component of LEAPS (that is, of each row in the matrix) and then to help them agree on which cell in the row most accurately describes the current stage at of the organization’s MfDR implementation. This is an engrossing, mentally challenging, tiring, and rewarding process.



While one of the Facilitators helps participants with the scoring, the other will record the results, and the basis upon which consensus was reached, in the CAP-Scan Journal.¹³ The Journal is a record of the placement of the organization along the MfDR implementation continuum as well as the group rationale shaping the decision. Over time, it forms a time series of organizational learning.

¹² A copy of the CAP-Scan Matrix template is included in the Annex.

¹³ A copy of the CAP-Scan Journal is included in the Annex.

6. Analyze and Present Results

As much as possible, the time – all revisions to the CAP-required for the CAP-Scan Journal. This will ensure that information is transparency. Where the charts and oral techniques will be feel heard and are on the same



facilitators will record – in real Scan Matrix and information Where possible, a digital projector the information as it is recorded. accurate and promote a sense of technology is not available, flip used to ensure that all participants page.

Simple analysis of the results of the assessment process will also be provided by transforming data from the CAP-Scan Journal to the CAP-Scan Portrait, which displays graphically which aspects of MfDR are relatively further along in the implementation process than others.¹⁴ Sharing this information also provides hard-working participants a sense of the progress they are making and how their honest input is morphing into important analysis to support decision making.

7. Identifying Emerging and Advanced Aspects of MfDR

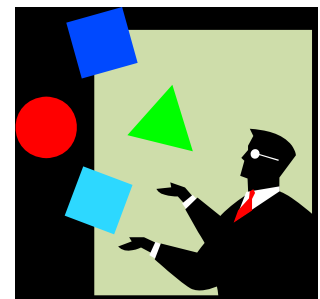


Facilitators will guide the group through analysis of the CAP-Scan Portrait to understand which dimensions of MfDR are most fully implemented and which are just beginning to be addressed. This can be an important moment of group realization. Different participants may be familiar with some aspects of MfDR, but not others. Seeing the “big picture” can help bring larger MfDR dynamics into perspective. This is particularly critical given the interdependencies essential to effective MfDR.

8. Prioritize Improvement

A key result of CAP-Scan is helping participants reach consensus on which aspects of MfDR to prioritize for improvement investments. In almost any organization there will be many worthy options. The group first ranks the aspects of MfDR (represented by rows in the CAP-Scan Matrix), according to their *relative* criticality. Typically a four-unit scale is drafted – possibly ranging from “not essential at this time” to “critical to being able to succeed.” This is most effectively done by writing the name of each row on a separate sheet of paper and then helping participants rank them using the scale described in the previous sentence.

Now comes the really fun part. An eight-cell graph is placed on a wall (made of four flip charts taped together) with the horizontal axis using the previous scale to note importance to MfDR, and the vertical indicating the scoring of each row from 1-4, as recorded in the CAP-Scan Journal. The group then places each paper on the appropriate spot on the paper, effectively graphing it in two-dimensional space.¹⁵ The papers that wind up in the “critical importance/low progress” (lower-right-hand) corner of the matrix are those requiring most urgent improvement attention.

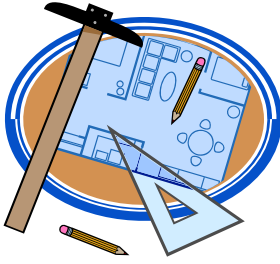


Since each participant has been deeply involved in all aspects of the discovery and analysis that got the group to this point, consensus on areas for improvement is typically virtually instantaneous once the charting session is completed. It is also quite an enjoyable process.

¹⁴ A copy of the CAP-Scan Portrait is included in the Annex.

¹⁵ A figure showing how the prioritization table might look is presented in the Annex.

8. Plan Improvements

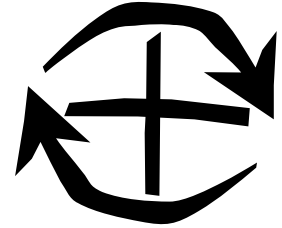


Based on the agreed-up priority areas, facilitators use a simple table format to guide participants through a process to identify next steps. The table, previously prepared in flip charts or for digital display, includes fields for area to be improved, activities to be completed, person responsible, date to be completed, and resources needed. Activities could well include further analysis using existing tools such as PRODEV, training, technical assistance, procurement, or other interventions. The plan will be time bound and include specific benchmarks for completion and results statements for how the group will know when the required degree of achievement has been achieved. Results

statements will be grounded in text from the CAP-Scan Matrix.

10. Implementation and Continuing the Cycle

The group will have the tools needed to track their progress in implementing the MfDR Improvement Plan it has drafted. They may also choose a time to conduct a follow-up assessment to see if the implementation of the MfDR Improvement Plan has resulted in improvements in their MfDR capacity overall.



Annex D. Managing for Development Results Capacity Scan (MfDR CAP-Scan) Matrix

MfDR Pillars Components	Criteria For Each Progressive Stage			
	Awareness	Exploration	Transition	Full Implementation
LEADERSHIP				
<i>Commitment</i>	Top management asserts importance of MfDR. But no concrete initiatives have been initiated.	A small number of managers investigate MfDR tools, and apply them sporadically. But, initiative is not consistent, nor mandated.	Full commitment within government to MfDR. New MfDR practices are systematically adopted. Most, but not all, staff, support initiative and most, but not all units practice MfDR.	All units practice comprehensive and systematic MfDR systems. Staff report benefits outweigh costs of MfDR. Organization is learning how to use, and continuously adapt MfDR.
<i>MfDR informs policy</i>	Although leaders claim that evidence should be integrated into policy processes – reliable data are not collected or used.	At least a few decisions are taken based on hard data. However, these are the exceptions in an environment where data are seldom available or used.	A thorough array of results-based data-grounded decision- and policy-making support systems are installed in some units. Leadership emphasizes the importance of such systems and indicates that they should be harmonized and used universally.	Results-based management systems are utilized in virtually all relevant areas. These systems are adequately funded, staff at all levels appreciate their utility, they use data to revise policy and procedures, and systems are in place to continuously improve them.
<i>National planning</i>	National Development Plan exists. However, outcomes and targets – even for such areas as poverty reduction or health – are not clearly articulated.	National Development Plan articulates outcomes, and maybe even some specific targets. However, that discipline is not consistently applied throughout the Plan.	National Development Plan clearly articulates outcomes, results, and measurable targets against which programs can be measured. However, data are not systematically collected and used by decision makers. “Ownership” of the Plan and its data are not widespread.	Outcomes, results and targets area consistently and appropriately applied throughout the National Development Plan. Relevant data are collected and used to adapt implementation of the plan. Decision-makers recognize the utility of the data and ensure it is integrated into the decision-making process.
<i>Public consultation</i>	Government tolerates civil society and private sector advocacy, as politically necessary.	Government actively pursues civil society and private sector input into the formulation of some policies and plans. But, such participation is normally the result of relatively powerful interests, donor pressure, or individual government managers.	Government has specific policies, structures, and practices for soliciting civil society and government input. These policies are often, though not always pursued. A significant number in government view these practices as burdensome and unproductive. Public increasingly feels entitled to participate.	Public consultation in policy and planning is the norm. Officials recognize that public consultation is a necessary and productive ingredient in policy setting and planning. Public feels entitled to participate and responsible for planning and policy outcomes.

MfDR Pillars Components	Criteria For Each Progressive Stage			
	Awareness	Exploration	Transition	Full Implementation
<i>Donor coordination</i>	Government extols the importance of coordination. However, real coordination is not common, even where "donor coordination forums" may exist. Government lacks the institutions, tools, data, passion, or leverage to ensure productive donor coordination.	Government has some success in promoting coordination in certain areas, such as in vertical health programs or poverty reduction strategies. However, these are isolated cases.	Government has developed clear donor coordination expectations, systems and procedures -- based on results management. Some donors follow these regimes, but many remain outside it.	The vast majority of donor inputs are programmed consistently with an overall donor coordination program linked to results-based management. Donors appreciate the coordination function and are supportive of it.
<i>Linking the field and the capital</i>	Managers report frustration that their MfDR approaches can not bear fruit due to disconnects between direct service providers and the center.	Some organizations, or departments within organizations, have developed MfDR systems that link central planning and budgeting with field operations (possibly on a pilot basis). But, these efforts remain isolated.	Vertically-integrated MfDR systems are being applied in many sectors. Appropriate training and monitoring systems are being developed. Ownership of the systems is uneven.	Virtually throughout government MfDR systems reach from the capital to the local level. Planning and budgeting systems are linked and data -- such on access, quality, and customer satisfaction -- flow from the field to the center and are used to adjust programming.
Evaluation and Monitoring				
<i>Monitoring and evaluation capacity</i>	A minimal capacity for monitoring and for evaluation exists in key units; some key units have M&E Officers on staff.	A limited number of units have developed competency in monitoring or evaluation.	Government has a program to develop monitoring and evaluation capacities in all units. Some units are implementing the systems more readily than others.	All units have the appropriate level of monitoring and evaluation capacity to support MfDR. Efforts are adequately funded and produce data that are used.
<i>National Development Plan evaluation systems</i>	A National Development Plan -- with indicators and targets to track progress -- exists. However, data are generally not collected on progress.	Performance data are collected for some components of development plan -- such as health or poverty reduction -- but data are seldom used for decision making.	Government is committed to measuring progress against virtually all aspects of Development Plan. Progress may be somewhat uneven, but information is flowing through the system and used by many managers to improve implementation..	Performance data is systematically used to gauge progress of the Development Plan. Resultant analysis is increasingly used to inform current implementation and drafting of future Development Plans
<i>Client satisfaction systems</i>	Officials give voice to the need to serve customers, but have no systems to learn whether they are succeeding.	Some units have developed formal customer satisfaction measurement systems.	Virtually all units have use customer satisfaction measurement systems. Application may be uneven and inconsistent.	Customer satisfaction systems are applied throughout units -- as appropriate. The approaches are consistent across units and data are used to improve services.

MfDR Pillars Components	Criteria For Each Progressive Stage			
	Awareness	Exploration	Transition	Full Implementation
<i>Data management capability</i>	Managers feel constrained by lack of data -- such as on outputs and outcomes; service quality; and overall program measures -- available to them to make programmatic decisions or judge progress against results.	Some organizations or departments are able to collect, manage and report on relevant management data. But, most are driving beyond their headlights.	The government has promoted specific MIS standards -- included data acquisition, storage, analysis and reporting. Skills and understanding of their utility may not yet be adequate to implement them across the government.	Managers are able to obtain data -- such as on outputs and outcomes; service quality; and overall program measures -- in a timely and useful format. Cross-organizational MIS coordination facilitates results management.
<i>Donor-required reporting systems</i>	Government is frustrated by need to respond to "x" different donor-required reporting systems.	Government must respond to "x/2" different donor reporting systems	Government must respond to "x/3" different donor reporting systems	Government must respond to "x/4" different donor reporting systems
<i>Reporting harmonization</i>	Government responds to diverse donor reporting requirements -- though doing so is time consuming and Government would prefer a more unified approach.	Government has begun dialogue with donors on ways to harmonize reporting requirements.	Government has established a policy of requiring a harmonized approach to reporting to diverse donors. Some units, and donors, remain resistant to the changes.	All units apply harmonized donor reporting procedures. All major donors comply with this policy.
Accountability and Partners				
<i>Judicial independence</i>	Government acknowledges the importance of judicial independence. However, structural or political realities prevent this.	Government is in the process of instituting structural and/or policy reform to increase judicial independence.	Formal structural and policy constraints to an independent judiciary are largely removed. However, in practice, some judicial functions and transactions appear to influenced by government and/or special interests.	The judiciary appears to operate without significant influence from government or special interests. Officials and the public take pride in this reality.
<i>Legislative oversight</i>	Legislators consider one of their key functions to be monitoring government activities. As a practical matter, they may not be as effective at this as they would like.	The Legislature has formed a structure to oversee at least some government activities. It has adequate resources to be effective in at least a portion of this mandate.	The legislature has a comprehensive structure to provide meaningful oversight over a significant range of government activities. These mechanisms are reasonably well funded. This oversight sometimes lacks "teeth" but at Legislature can report some instances of having influenced Government actions as a result of its oversight.	The legislature has the structure, resources, and acknowledged mandate to effectively oversee government activities on comprehensive scale. The legislature has had success in influencing government actions as a result of its oversight.

MfDR Pillars Components	Criteria For Each Progressive Stage			
	Awareness	Exploration	Transition	Full Implementation
Media independence	Portions of government recognize that an independent media watchdog function is necessary for effective governance. However, it is not a reality.	Government has taken specific actions -- such as reducing government media outlets, passing press freedom laws -- to reduce government control over media.	Media are increasingly independent of government and able to investigate and report on the results of government activity. However, there are still some subject, geographic, or topic areas that are considered off limits to media. Government can report on instances where policy and/or procedures have been revised as a result of media reporting	Media are largely independent of government influence and actively report on a broad range of government activity results. Government policy and/or procedures are often revised as a result of media reporting
Customer feedback	X% of units have customer feedback mechanisms.	Y% of units have customer feedback mechanisms.	Z% of units have customer feedback mechanisms. Government policies and/or procedures are occasionally adjusted in response to feedback.	XX% of units have customer feedback mechanisms. Government policies and/or procedures are frequently adjusted in response to feedback.
Public access to results	Government recognizes the need for the public to learn about the degree of government effectiveness (results data, at the least). But, public can not access important data.	Some units have established formal procedures to provide access to results data. Limited publication of results data also occurs. No consistent policy exists.	Government has a policy to provide citizens access to results data. Many have formal structures to share information. This is generally, though not universally, followed. Some units are more proactive than others in publicizing results data. Instances exist of the public using the data to work for change.	The public has access to results data in all relevant units. Government has a proactive approach to informing the public on government results on a regular basis through established structures. The public acknowledges improved access to data. Many examples can be provided by Government where the public has used the data to work for change
People-Led MfDR	Limited training on MfDR. Performance appraisal systems, including rewards and recognition, linked to the spending of resources (inputs) as well as activities and outputs.	MfDR training needs identified; training packages developed and some training provided (basic training and technical skills). Performance appraisal systems linked primarily to outputs and a few outcomes. There is a general awareness of the goals/objectives of the organization.	MfDR training provided to key managers and functional experts. Performance appraisal systems linked to outcomes in some key areas. All staff have a commonly shared vision of the results that the organization is trying to achieve.	MfDR training available to all managers and staff. Performance appraisal systems linked to outcomes in all areas. Virtually all staff have a commonly shared vision of the results of the organization and understand their role in achieving these results.
Aid information availability	Government desires -- but does not proactively solicit -- timely and comprehensive information from donors on aid flows.	Government is able to obtain comprehensive information on aid flows from a small number of donors	Government proactively requests comprehensive aid flow information from all donors. Most, but not all comply.	Government is able to receive comprehensive information on aid flows from all donors.

MfDR Pillars Components	Criteria For Each Progressive Stage			
	Awareness	Exploration	Transition	Full Implementation
Planning and Budgeting				
Budget reflects national political priorities	Government acknowledges that budget <u>should</u> reflect national political priorities, but it does not.	Government initiates process of outlining national priorities and providing a structure in the budget to address some of them.	Increasingly the budget is organized around national priorities (such as in a Development Plan) and funds are allocated according to those priorities	A transparent process is followed where national priorities are established transparently and budgets are allocated and spent according to those priorities.
Performance-based budgeting	Although staff can discuss the importance of MfDR, in fact budgets are more the result of past expenditure patterns and political performance.	A small number of units make budgetary decisions based on progress against targets and resources need to achieve results.	Most units base budgetary decisions on progress against targets (performance data) and resources needed to achieve results. Application may not be consistent across units.	Performance -based budgeting is the norm throughout government. Data are regularly gathered to support budgetary decision. Management occasionally reviews performance-based budgeting systems for continuous improvement.
Participation in planning and budgeting	Legal system provides for participation in planning and budgeting by legislature. No legal constraints exist to citizen participation in planning and budgeting processes. However, no real participation occurs and no formal structures support participation.	A limited number of structures have been established for legislative participation (such as a committees to review budget and certain planning functions) and citizen input (such as outreach for a poverty reduction strategy.)	Legislative review committees are more common, and some actively engage in the process in a mostly objective process that yields improved results. In certain sectors citizen input is intense and government has responded to concerns in and planning through formal structures.	Virtually all significant planning and budgeting is subject to substantive Legislative review. Virtually all planning activities of significant scale are subject to citizen input through established structures.
Internal coordination	While managers realize they must work together most organizational planning and budgeting is done in isolation. This is true within organizations (among departments) and across organizations (among different organizations.)	Some organizations work to align departmental objectives and budgets with overall results expectations. Some sectoral approaches are developed, with structures to support joint planning, budgeting and measurement approaches that span organizational boundaries.	Most significant sectoral efforts -- HIV/AIDS, environmental management, and poverty reduction, for example -- are pursued through integrated results processes and coordination structures to support them. Many ministry results frameworks are based on cascading results management approaches at among departments.	Virtually all significant sectoral efforts are pursued through integrated results processes and structures to support them. Departmental planning and budgeting must demonstrate effective contribution to overall organizational results frameworks.
Results management framework	Managers understand the value of MfDR, but do not manage their portfolios accordingly.	A small number of managers apply MfDR practices, such as logical frameworks, results frameworks and other tools.	A real movement is underway throughout government to practice MfDR. Some units resist the change, but substantial movement is underfoot. Most managers can articulate intended results.	The government is managed based on results. Managers can articulate intended results and adapt implementation -- based on results data -- to achieve those results.

MfDR Pillars Components	Criteria For Each Progressive Stage			
	Awareness	Exploration	Transition	Full Implementation
<i>Donors link programming to results</i>	Donors and government discuss MfDR, but donors do not link their programming to country results.	Some donors bases at least some funding decisions on country performance against development results.	Many donors base funding decisions on country performance data. These data are used to provide technical assistance.	Results management provides a critical lens for discussing funding and programmatic decisions. Both donor and country expect funding decisions to be based on performance.
<i>Percent of donor funding</i>	x% of budget comes from donor financing	Y% of budget comes from donor financing	Z% of budget comes from donor financing	xx% of budget comes from donor financing
Statistics				
<i>Statistics strategy</i>	No national strategy for the development of statistics exists.	A national strategy for development statistics exists, but is implemented to a very limited extent.	A national strategy for development statistics is implemented in many areas, with useful data emerging. Data may not be fully utilized and strategy is static.	The national strategy for development statistics is implemented fully, revised as needed, and forms the foundation of data collection in the country.
<i>Data disaggregation</i>	Policy makers and statisticians understand the importance of disaggregating gender by sex, geographic area, etc. However, few data sets are disaggregated usefully.	Some surveys and data sets are meaningfully disaggregated, but they tend to do so at the wish of donors or particular researchers.	The national strategy for developments statistics provides useful guidance on disaggregation. Most surveys and data sets are disaggregated.	Policy makers appreciate the utility of data disaggregation and can report instances where disaggregation has supported improved decision-making. Information users expect all data to be disaggregated, where appropriate.
<i>Data quality assessment</i>	Data consumers are wary of government-produced data, recognizing there are not data quality assessment (DQA) procedures.	Some units and researchers have appropriate data quality assessment protocols. These, however, are exceptions to the rule and vary in size and approach.	The government has developed standard DQA protocols. These are generally followed, though some units either skip DQAs or use their own approach.	A standard DQA approach is adopted throughout government and applied uniformly throughout. Policy makers express confidence in the DQA process and the data.
<i>Survey Capability</i>	Managers responsible for national-level results seek data on national trends -- in areas such as poverty, demographics, HIV/AIDS or environment -- but government is not yet producing quality national survey data.	Some national-level studies have been completed, but at the initiative of a single organization or in response to one-time donor funding. Ownership of data is uneven and local capacity to analyze data is not yet developed.	National level studies are conducted with some cross-sectoral coordination. But, out-year follow-up is uncertain. While some managers are able to analyze the data, some of the data are not adequately processed nor are results appropriately disseminated to other parts of government and the public.	Household income/expenditure or other national surveys are conducted regularly (at least every five years.) Relevant cross-sectoral units contribute to the content of the studies. Data are used to inform national planning and budgeting efforts through effective data analysis and dissemination of findings.

MfDR Pillars Components	Criteria For Each Progressive Stage			
	Awareness	Exploration	Transition	Full Implementation
<i>Performance Measurement</i>	Managers appreciate the utility of performance data, but little is available to them.	Some units systematically collect performance data to inform decision making. But most units do not.	Performance measurement systems are operational throughout government and data is systematically collected and reported. Some units, however, do this only as a requirement; they don't use the data.	Most managers report the usefulness of the data they get and that decisions are made based on that data.

Annex E. MfDR CAP-Scan Journal

CAP-Scan Journal

Scanning Subject: _____ Date: _____

MfDR Pillar	Dimension	Feb-08		Feb-09		Change Over Time	Comments
		Raw Score	Adjusted Score	Raw Score	Adjusted Score		
Leadership	Commitment	2.00		3.00		1.00	In these cells the Facilitators will summarize the discussion relevant to the scoring decision taken by the group. It should be brief but fully explain the discussion. Facilitators should verify the text as they put in so that there is consensus moving forward. In this way whomever participates in the next application of CAP-Scan will understand the previous logic and whether any change has occurred.
	MfDR informs policy	3.00		3.00		0.00	
	National planning	1.00		2.00		1.00	
	Public consultation	4.00		4.00		0.00	
	Donor coordination	2.00		3.00		1.00	
	Linking the field and the capital	1.00		2.00		1.00	
			2.17		2.83		

Evaluation and Monitoring	Monitoring and evaluation capacity	3.25	3.50	0.25	
	National Development Plan evaluation systems	1.00	2.00	1.00	
	Client satisfaction systems	2.00	2.50	0.50	
	Data management capability	3.00	3.00	0.00	
	Donor-required reporting systems	1.75	2.50	0.75	
	Reporting harmonization	2.50	3.00	0.50	
		2.25	2.75	0.50	

Accountability and Partners	Judicial independence	1.00	2.00	1.00	
	Legislative oversight	2.00	4.00	2.00	
	Media independence	3.00	3.25	0.25	
	Customer Feedback	2.00	2.50	0.50	
	Public access to results	1.00	2.00	1.00	
	People-led MfDR	2.00	2.00	0.00	
	Aid information availability	1.00	1.50	0.50	
		1.71	2.46	0.75	

Planning and Budgeting	Budget reflects national political priorities	2.75	3.00	0.25	
	Performance-based budgeting	2.50	3.00	0.50	
	Participation in planning and budgeting	1.00	3.00	2.00	
	Internal coordination	3.00	3.00	0.00	
	Results management framework	2.00	2.00	0.00	
	Donors link programming to results	3.50	4.00	0.50	
	Percent of donor funding	1.00	1.50	0.50	
		2.25	2.79	0.54	

Statistics	Statistics strategy	2.00	3.00	1.00
	Data disaggregation	1.00	2.00	1.00
	Data quality assessment	2.00	2.50	0.50
	Survey capability	2.00	2.00	0.00
	Performance measurement	2.75	4.00	1.25
		1.95	2.70	0.75
<hr/>				
Total Placement		64.00	83.75	19.75

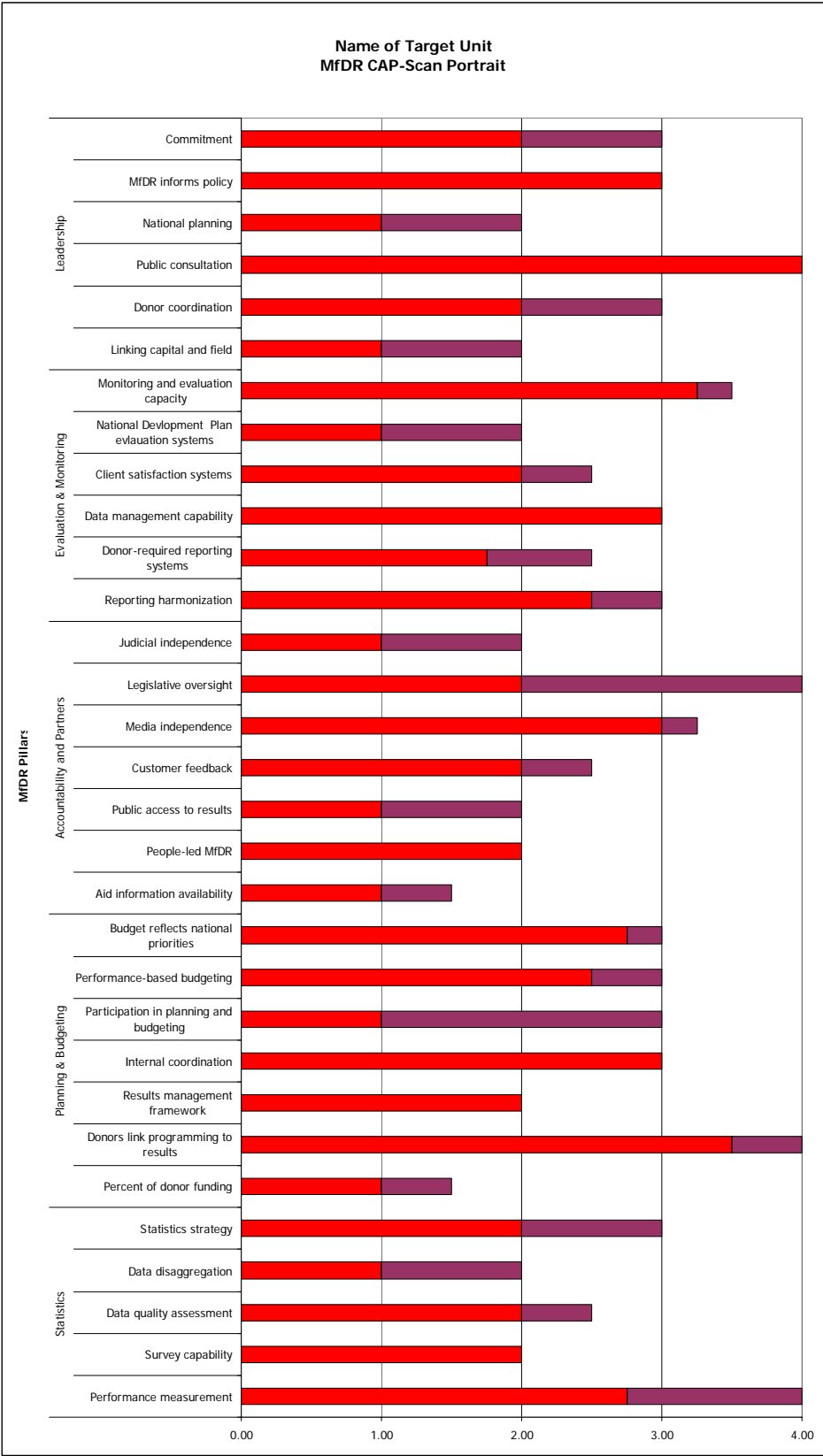
Average Placement 2.0645 2.70161 0.64

Change in

Feb-08

Statistics	1.95
Planning and Budgeting	2.25
Accountability and Partners	1.71
Evaluation and Monitoring	2.25
Leadership	2.17

Annex F. MfDR CAP-Scan Profile



Annex G. MfDR Capacity Improvement Plan Template

{CAP-Scan Subject Name} MfDR Capacity Improvement Plan: *{Insert Month}* 2008

Background and Summary

{CAP-Scan Subject Name} conducted an MfDR self-assessment at its offices in *{insert location}* on *{insert dates}* 2008. The MfDR Capacity Self-Assessment (CAP-Scan) Toolkit was used for this process, which was facilitated by staff and consultants funded by *{insert organizational support source}*. The results of the assessment are summarized in the attached report. *{CAP-Scan Subject Name}* used the results of the CAP-Scan to prioritize areas for focused improvement over the next *{insert time frame}*, as follows:

1. *{Insert First Priority}*;
2. *{Insert Second Priority}*;
3. *{Insert Third Priority}*;

{Describe relationship among the priorities, how those priorities were chosen, or any other interesting macro-level insights}

The Process

The Participants (*X* male; *Y* female) in the process included the following individuals *{this table can usually be copied from the Technical Report}*:

Name	Ministry/Dept./ Organization	Title
------	---------------------------------	-------

Planned Improvement Activities

{Fill in the following table for each Improvement Objective. Definitely complete all relevant rows, and try to complete as many of the columns as possible.}

Capacity Improvement Result 1: <i>{enter priority capacity result improvement desired}</i>				
Performance Indicator(s):				
<i>Activities</i>	<i>Resources needed</i>	<i>Sources</i>	<i>Completion date</i>	<i>Person Responsible</i>
1.				
2.				
3.				
4.				
5.				

Capacity Improvement Result 2: <i>{enter priority capacity result improvement desired}</i>				
Performance Indicator(s):				
<i>Activities</i>	<i>Resources needed</i>	<i>Sources</i>	<i>Completion date</i>	<i>Person Responsible</i>
1.				
2.				
3.				
4.				
5.				

Capacity Improvement Result 3: <i>{enter priority capacity result improvement desired}</i>				
Performance Indicator(s):				
<i>Activities</i>	<i>Resources needed</i>	<i>Sources</i>	<i>Completion date</i>	<i>Person Responsible</i>
1.				
2.				
3.				

4.				
5.				

Capacity Improvement Result 4: <i>[enter priority capacity result improvement desired]</i>				
Performance Indicator(s):				
<i>Activities</i>	<i>Resources needed</i>	<i>Sources</i>	<i>Completion date</i>	<i>Person Responsible</i>
1.				
2.				
3.				
4.				
5.				

Annex H. MfDR CAP-Scan Installation Technical Report Template

Report on *{CAP-Scan Subject Name}* MfDR Capacity Self Assessment and Improvement Process

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	CAP-Scan application in {CAP-Scan Subject Name}.....	88
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Appendices:

- A. MfDR CAP-Scan Matrix
- B. MfDR CAP-Scan Journal
- C. MfDR CAP-Scan Profile *{Tab 3 of Journal Exel file}*
- D. MfDR CAP-Scan MfDR Capacity Strengthening Plan
- E. MfDR CAP-Scan Column Descriptors

Report on {CAP-Scan Subject Name} MfDR Capacity Self Assessment and Improvement Process

{Insert month} 2008

1. Summary Findings, Conclusions, and Path Forward

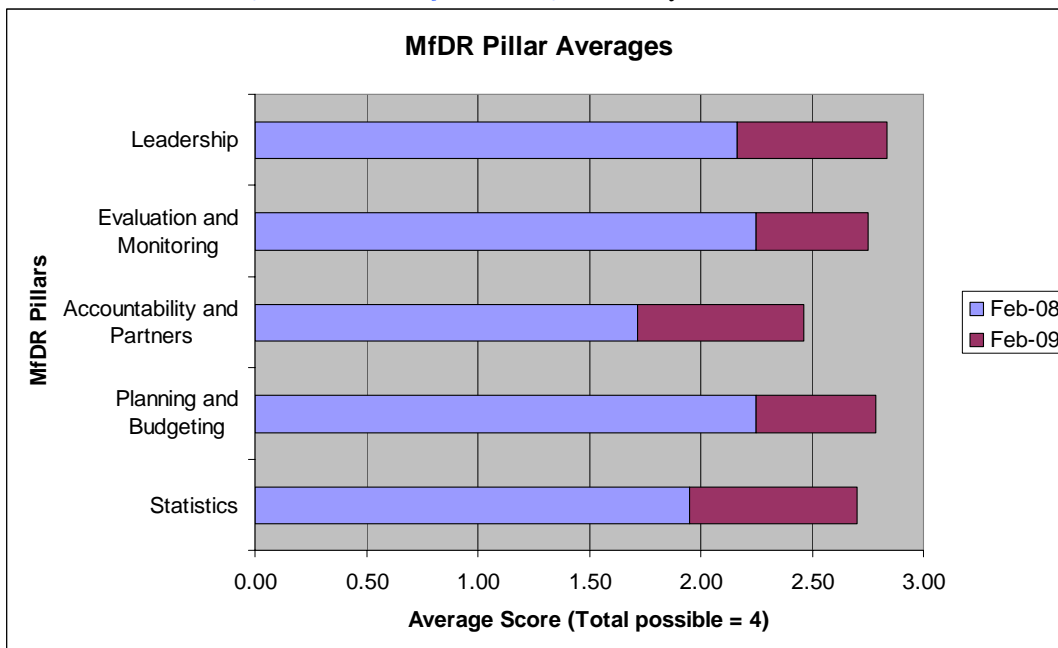
{Try to distill the findings into one or two pithy paragraphs. Act as if you were summarizing it to a meeting of senior government officials and only had a couple of minutes to speak.}

A graphic summary of the MfDR CAP-Scan application, by LEAP area, is presented graphically below: *{The chart below, should come up automatically on the second tab your MfDR CAP-Scan Journal Excel file. It may provide useful comparative insights into the relative ranking of the MfDR Pillars, which may help describe MfDR dynamics. Include some graphic analysis that supports the story you want to tell, if it adds value. If so, you may want to note the four descriptors along the MfDR continuum¹⁶:*

1. Awareness
2. Exploration
3. Transition
4. Full Implementation

There may some insightful 20,000 ft. observations to be made along those descriptors}

{CAP-Scan Subject Name} Score, by LEAP Area



{Describe the assessment results: what, in short, did we learn about the nature of the ability to MfDR? What does the government needs to work on and what it can build on? Try to describe it in a way that will resonate with the government.}

¹⁶ Appendix D presents definitions for the four stages of MfDR progression – Awareness, Exploration, Transition, and Full Implementation – that are believed to occur as governments move towards managing for development results.

{Insert a paragraph or two on what the improvement path will be. Speak broadly and provide specifics.}

2. Background

CAP-Scan Pilot Application

{CAP-Scan Subject Name} was asked by the Joint Venture on Managing for Development Results (JVMfDR) to participate in a pilot application of the CAP-Scan tool, both to bolster MfDR at *{CAP-Scan Subject Name}* and to contribute to development of a tool to assist similar bodies internationally. Managing for Development Results (MfDR) means evidence-based decision making in the pursuit of human development. It is a strategy that uses sound information for policy making; it involves practical tools for planning, risk management, monitoring and evaluation. In partner countries and donor agencies MfDR delineates a shift from focusing on inputs and immediate outputs to performance and achievement of outcomes and long-term impacts.

The OECD/DAC Joint Venture on Managing for Development Results (JV MfDR) supports the work of partner countries and donor agencies to implement result-based approaches. It focuses on country capacity to build up results systems, guidelines for agency effectiveness and mutual accountability frameworks. The Managing for Development Results Capacity Scan (CAP-Scan) is being developed under the sponsorship of the OECD/DAC and with the technical and financial support of a core working group comprised of the Asian Development Bank [ADB], Canadian International Development Agency [CIDA], Millennium Challenge Corporation [MCC], United Nations Development Programme [UNDP] and the World Bank.

The CAP-Scan is an analytical framework and participatory process that countries can employ to assess and strengthen their MfDR capacities. It anticipates a preliminary self assessment of MfDR capacity by countries as a first step, where capacity assessments will be conducted within the five central pillars of MfDR: Leadership; Evaluation and Monitoring; Accountability and Partnerships; Planning and Budgeting; and Statistics.

The MfDR CAP-Scan draws from existing tools and employs a simple methodology designed to enable countries to identify, clarify and prioritize broad, immediate needs to strengthen their results management capacity in a cost-effective process. Over a short period of time, this preliminary assessment will generate an action plan which will include a set of steps to drive change in areas prioritized for improvement. The action plan could include a variety of tasks including identification of MfDR dimensions that require further specialized, technical assessment using other capacity assessment tools already in existence.

The CAP-Scan process will be discussed at the third High Level Forum on Aid Effectiveness in Accra, Ghana on September 2-4, 2008. *{CAP-Scan Subject Name}* may submit a poster at the Forum's Marketplace of Ideas highlighting this MfDR CAP-Scan effort. *{CAP-Scan Subject Name}* may also be asked to discuss its experiences using the tool in discussions during the Forum.

CAP-Scan application in *{CAP-Scan Subject Name}*

{Describe the government/unit that was assessed and any relevant history with respect to MfDR, such as milestones in pursuing MfDR, if any. If not the entire government, indicate what portions of government are contained within the assessment group. If the unit has a specific mission (poverty reduction, for example), please indicate that.}

3. Process and Products

{Provide details on process followed, how the scoping process was pursued, what happened when, what was the order, etc.}

The Participants (X male; Y female) in the process included the following individuals:

Name	Ministry/Dept./ Organization	Title
------	---------------------------------	-------

{Edit below, as needed}

The first meeting began with an overview of the process and beginning to work on the MfDR Capacity Assessment Scan (MfDR CAP-Scan). The group began with a template that had been adapted to fit its likely requirements. {CAP-Scan Subject Name}, with facilitation assistance from the consultant, reviewed each “row” of the CAP-Scan, modified it to suit its circumstances and vision for the future, and assessed progress on the MfDR continuum expressed in the text. This process was completed by mid-day on {Insert date}. The results of this effort (reflecting {CAP-Scan Subject Name} edits) are included as Appendix A: {CAP-Scan Subject Name} MfDR CAP-Scan. The Consultant recorded the scores for each row and all necessary comments in a separate document (presented as Appendix B: {CAP-Scan Subject Name} MfDR CAP-Scan Journal.) Finally, the results of the assessment were presented to the group in a graphic form (Appendix C: {CAP-Scan Subject Name} MfDR CAP-Scan Profile.)

With the assessment process behind them, the group turned its attention to determining priority areas for improvement. This was accomplished through a facilitated process whereby the group ranked the various rows of MfDR capacity discussed in the CAP-Scan according to priority, with five gradations ranging from “Makes or Breaks MfDR” to “Not significant at this time.” The group then selected among the highest priority items those for which {CAP-Scan Subject Name} analysis indicated it was most weak. The following priorities emerged as being those areas for focus for MfDR capacity strengthening – that is, those that are absolutely essential to {CAP-Scan Subject Name} survival and in which GAPVOD is currently seriously deficient:

4. {Insert First Priority};
5. {Insert First Priority}; and
6. {Insert First Priority}.

Having brainstormed areas in urgent need of attention, {CAP-Scan Subject Name} then turned its attention to identifying activities that needed to be undertaken to get {CAP-Scan Subject Name} on a more robust MfDR track. Those are summarized in Appendix D: {CAP-Scan Subject Name} MfDR Capacity Strengthening Plan.

{Describe relationship among the improvement objectives and any other important dynamics.}

4. Dissemination Strategy

{Indicate how the results of the assessment were shared within government and, if applicable, the public, during the consultant’s visit. If any digital presentations, talking points, or documents were created for that effort, kindly attach copies in an annex. Indicate any plans for future dissemination of results.}

5. Results of Facilitator Training

{IF the Consultant trained Facilitators to execute the CAP-Scan tool, report on that process, who was trained, how to reach those individuals, and whether they are competent to move the facilitation process forward. If they are not yet competent (indicate why and what is needed to get them up to speed). These Facilitators could well do the next assessment for {CAP-Scan Subject Name}.

6. Capacity to Conduct Follow-on CAP-Scan Assessment

{Assess the capacity of the organization to conduct the next assessment – after implementation of their MfDR Capacity Improvement Plan, in about a year. The Consultant will make every effort to get them up to speed to do a self-assessment, although a local consultant may still be advisable. In some cases, the Consultant will train local Facilitators to apply the tool. In that case we need to learn about the ability of them to carry on. Now is the time to speak up if additional Training is required. Hopefully not.}

7. Next Steps

{CAP-Scan Subject Name} will first take some time to reflect on the results of its assessment, and make any modifications that may seem warranted. *{Indicate what steps have been agreed to by the group.}*

8. Workshop Rating

Post workshop evaluations of the workshop were as follows:

Question	Score 5=High; 1=Low
1. How useful do you find the CAP-Scan tool?	
2. How useful to you was the assessment of your government’s ability to manage for development results (MfDR)?	
3. How do you rate the facilitator’s ability to explain and communicate clearly?	
4. How do you rate the facilitator’s knowledge of MfDR?	
5. How do you rate the facilitator’s facilitation technique and skills?	
6. How clearly do you now understand your government’s needs to be able to manage for development results?	
7. How confident are you in your ability to repeat the CAP-Scan assessment without assistance of an outside facilitator?	
8. To what extent do you believe that using the CAP-Scan will result in improvements in MfDR?	
9. What could have improved the workshop? <i>{Summarize qualitative responses in this box}</i>	

{Summarize participant assessments, indicating any text from the assessments that adds a sense of the overall perception.}

9. Lesson Learned to improve Future CAP-Scan Applications

{Indicate what was learned about the toolkit and its application could be improved in future. We are interested in the technical aspects of the tool, the process, and the receptivity of the client. Both theoretical insights (logic of the Matrix, for example) and practical (how to make the Profile look better, for example) advice. This is a pilot effort and we need to learn from your experiences. This information will be used to improve the next application and to provide a complete CAP-Scan product at the High Level Forum in Accra.}

Annex I. MfDR CAP-Scan Workshop Evaluation Form

CAP-Scan Workshop Evaluation

Please give us your frank reactions and comments. They will help us to evaluate this workshop and improve future programs.

		Very useful				Not useful at all
1. How useful do you find the CAP-Scan tool?	5	4	3	2	1	
2. How useful to you was the assessment of your government's ability to manage for development results (MfDR)?	5	4	3	2	1	
		High				Low
3. How do you rate the facilitator's ability to explain and communicate clearly?	5	4	3	2	1	
4. How do you rate the facilitator's knowledge of MfDR?	5	4	3	2	1	
5. How do you rate the facilitator's facilitation technique and skills?	5	4	3	2	1	
		Very				Not at all
6. How clearly do you now understand your government's needs to be able to manage for development results?	5	4	3	2	1	
7. How confident are you in your ability to repeat the CAP-Scan assessment without the assistance of an outside facilitator?	5	4	3	2	1	
		A great extent				Not at all
8. To what extent do you believe that using the CAP-Scan will result in improvements in MfDR?	5	4	3	2	1	
9. What could have improved the workshop?						

Annex J. MfDR CAP-Scan Workshop Evaluation Calculation Sheet

Instructions:

1. Have each participants fill out an evaluation form and collect them
2. Number each form and enter the data on the table below, each numbered form corresponding to the numbered column
3. Enter (in the space below) the total number of completed evaluation forms contained in this effort -- Mr. Gates should calculate the average scores
4. Transfer the results of the calculation to the Report Template
5. Enter useful comments in the space below Question 9; then summarize them in the report
6. Be sure to enter into the Report Template the number of men and women participating

Inert number of respondants in next cell

CAP-Scan Workshop Evaluation Scoring Template

		1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	Total:	Average Score	
1	How useful do you find the CAP-Scan tool?																						0	
2	How useful to you was the assessment of your government's ability to manage for development results (MfDR)?																						0	
3	How do you rate the facilitator's ability to explain and communicate clearly?																						0	
4	How do you rate the facilitator's knowledge of MfDR?																						0	
5	How do you rate the facilitator's facilitation technique and skills?																						0	
6	How clearly do you now understand your government's needs to be able to manage for development results?																						0	
7	How confident are you in your ability to repeat the CAP-Scan assessment without the assistance of an outside facilitator?																						0	
8	To what extent do you believe that using the CAP-Scan will result in improvements in MfDR?																						0	
9	What could have improved the workshop?											Composite average for all Questions:												
	List Notable comments below (for Question 9):																							
a																								
b																								
c																								
d																								
e																								
f																								
g																								
h																								
i																								
j																								

Annex K. MfDR CAP-Scan Column Descriptors.doc

Column Descriptors

Awareness

The organization is aware of, but not committed to, MfDR. People in the organization recognize that what they have been doing is inadequate and that there must be a better way of proceeding. Managers may express a broad commitment to MfDR, saying that they wish to be in line with broader public policy, but their statements lack conviction. This stage can involve a sense of fear, guilt and unhappiness with past performance. It can also lead to attempts to place blame, as various organizational stakeholders become frustrated with parts of the organization that do not implement MfDR-related practices. With increased exposure to the idea of managing for results, groups become more open to the possibility of change, leading to the next stage.

Exploring

The organization begins to commit to MfDR and explores different approaches. During this stage, people begin to pick up on new ideas from a variety of sources. The exploration may take the form of learning groups, benchmarking studies and pilot projects. One problem at this stage is that people may prefer one technique or system over others, without having given them a full trial. Another problem may be that too many different ideas are tied at once, resulting in practices that are never fully explored. During the exploration stage, enough people across the organization develop a sense of the benefits of MfDR and at to explore it in a broader context. This willingness leads to the next stage.

Transition

The organization has committed itself to MfDR and attempting to make the transition from previous systems. People begin to make a commitment to the new practices required. They drop old practices in favor of new ones because the old practices can no longer solve the organization's day-to-day problems. This stage can be characterized by hard decisions on what to keep and what to discard in terms of MfDR strategies. For example, the conversion to a set of results-oriented measures is likely to mean that some old measures need to be dropped. As more people see the benefits provided, MfDR becomes more widespread throughout the organization.

Full Implementation

The organization fully implements MfDR in all areas. Groups across the organization begin to see and look forward to the real benefits of the new management approach. Resources are allocated and plans are designed to support new practices, not to maintain old and outdated ones.

Annex L. Illustrative CAP-Scan Assessment Schedule

Proposed Pilot CAP-Scan Schedule

A. Overview of timing for the CAP-Scan Process:

As described below, the CAP-Scan process – from invitation letter to completion of the CAP-Scan Report, should take at least six weeks. Total duration could be longer depending on the agreed-upon dates for in-country application of the tool and availability of key staff to engage fully in the process. Subsequent to the CAP-Scan, the Facilitators will analyze the experience – in combination with other CAP-Scan pilot applications – to improve the process and report to the MfDR High Level Forum in September 2008.

B. Preparation for the CAP-Scan Process (minimum of four weeks):¹⁷

The proposed in-country process for administering the CAP-Scan process – at least at the pilot stage – is presented in tabular form, below. Proper preparation will facilitate effective field work and optimize use of Government officials’ scarce time. This will require efforts by the Facilitators, the JV MfDR Secretariat, the Government, and a Government Contact Person (GCP).

<i>Activity</i>	<i>Estimated duration</i>	<i>Responsible Party</i>	<i>Product</i>
Offer to Government of CAP-Scan assistance	Initiates process	MfDR Secretariat	Invitation letter to appropriate official describing potential engagement and seeking commitment to full engagement
Government commits to process	One week	Government	Government commits to CAP-Scan and names Government Contact Person (GCP)
Scoping for CAP-Scan assessment	One week	GCP; Facilitators	GCP and Facilitators agree on the broad scope of the CAP-Scan process (level of government to be included, whether/how to include external stakeholders/donors, logistics approximate dates for the CAP-Scan, etc.)
Prepare for local logistics	Two Weeks	GCP	Preliminary logistics arranged (vetting process, reserving venue and equipment, identifying and inviting participants, etc.)
Facilitators arrive	Depends on timing needs	MfDR, GCP, Government, Facilitators	During the scoping exercise all parties will agree on the appropriate date to stage the CAP-Scan

¹⁷ Assumes full engagement of Responsible Parties, relatively rapid decision-making processes, and ability to mobilize participants relatively rapidly.

C. In-Country CAP-Scan Process (two weeks)¹⁸

(Please note, if possible, it would be desirable to provide advanced “lite” training in the CAP-Scan to three individuals who will be participating in the process. This should occur very early in the Consultants’ visit enabling those trained to communicate what they learned with their bosses. A more thorough understanding of the dynamics, and potential flexibility, of the tool could help country officials make more informed suggestions for how to tailor the toolkit’s application to the country’s specific needs. This eventuality is NOT included in the table below, and would likely require at least one additional day in-country for the Facilitators.)

Monday	Tuesday	Wednesday	Thursday	Friday	Saturday
Facilitators meet with Government Contact Point (GCP) to review general Government MfDR status and CAP-Scan process issues. Complete formalities with senior staff.	Meet with key CAP-Scan participants one-on-one to gain an understanding of their concerns and issues as a way to guide facilitation.	Finish one-on-one meetings with CAP-Scan participants. Meet with other government officials, civil society and private sector, as appropriate.	Complete any interviews. Make any needed logistical preparations, including preparing venue. Revise toolkit based on input during consultations.	<p><u>Morning, through lunch</u></p> <ul style="list-style-type: none"> • Introductions • Facilitators use PowerPoint to present MfDR and CAP-Scan Process • Q&A • Begin CAP-Scan application, completing Leadership and Evaluation and Monitoring sections <p><u>Afternoon</u></p> <p>Facilitators and GCP check on process and make any needed adjustments to process and toolkit.</p>	Facilitators prepare materials: <ul style="list-style-type: none"> • Complete CAP-Scan Journal • Prepare CAP-Scan Portrait • Make any adjustments to CAP-Scan Matrix

¹⁸ Assumes Monday-Friday country work week, full partnership with Government Contact Point, two-week visit by team of two Facilitators; Government supply of venue and participants, only modest interaction with non-government participants, a dissemination event of the results of the CAP-Scan to others in government and possibly donors, and that Facilitators arrive over the weekend.

Monday	Tuesday	Wednesday	Thursday	Friday	Saturday
<p><u>Morning, through lunch</u> Review Day One:</p> <ul style="list-style-type: none"> • Feedback from group on process • Share preliminary Journal and Portrait with group <p>Complete remaining sections of CAP-Scan Matrix:</p> <ul style="list-style-type: none"> • Mutual Accountability and Partners • Planning and Budgeting • Statistics <p><u>Afternoon</u> Facilitators and GCP check on process and make any needed adjustments to process. Facilitators complete Journal and Portrait.</p>	<p><u>Morning, through lunch</u></p> <ul style="list-style-type: none"> • Feedback via Journal and Portrait • Group completes MfDR prioritization • Facilitators present MfDR tools for consideration • Development of Government MfDR improvement Plan • Short-term dissemination plan of CAP-Scan results (if desired) and other immediate next steps. • Participants evaluate experience. <p><u>Afternoon</u> Facilitators and GCP check on process and agree on next steps (including short-term dissemination, if any). Facilitators complete Prioritization and Improvement Plan documentation.</p>	<p>Facilitators work with GCP to produce draft report that describes:</p> <ul style="list-style-type: none"> • Process • What was learned • Matrix • Journal • Portrait • Improvement Plan • Immediate next steps • Participants' evaluation of process 	<p><u>Morning</u> Facilitators and GCP meet to review draft report and agree on any revisions.</p> <p><u>Afternoon</u> Report finalized and shared with participants and key government officials. Facilitators and CGP make any necessary meetings to prepare for dissemination.</p>	<p><u>Morning</u> CAP-Scan participants present results to targeted audience. Receive feedback and consensus reached on next steps.</p> <p><u>Afternoon</u> Facilitators and GCP make any final adjustments to report. Draft Final Report left with Government.</p>	<p>Facilitators depart.</p>

(Please note: The above schedule is based on governments deciding on selecting a few “quick wins” as activities for improvement. If more comprehensive actions are selected, planning is likely to take longer and the schedule will need to be extended.)

D. Post CAP-Scan Activities (one week)

The Facilitators’ top priority will be providing an excellent CAP-Scan assessment for participants. During that effort they will note areas where the tool and process functioned well and areas that require improvement. The toolkit and manual will be adapted to reflect lessons learned in time to be used in the subsequent pilot. Cumulative lessons learned will be synthesized among all pilots for presentation at the 2008 High Level Forum in Accra.

Annex M. Illustrative CAP-Scan Workshop Agendas

Illustrative CAP-Scan Workshop Agendas

(Please note, the schedules below are notional only, as the CAP-Scan has yet to be applied. We fully expect more accurate time frames to be developed as the Toolkit is applied. At this point, it would seem that the Prioritization may take one hour more than anticipated below and that the Planning may also run an additional hour or two. These have not been adapted at this point as we lack concrete data on likely timeframes)

The following five illustrative CAP-Scan workshop agendas are provided for working with various group sizes. Our preference in conducting the CAP-Scan self-assessment is for involving the most representative sample of a Government's staff and key stakeholders. The more people involved in the assessment, the more accurate and powerful the results will be in enabling the Government to improve its effectiveness. However, the larger and more diverse the group of participants in your CAP-Scan workshop, the longer the assessment process will take.

Illustrative CAP-Scan schedules for: see page...

Workshops for Groups Of Fewer Than Twelve Participants	100
Workshops for Groups Of Twelve To Sixteen Participants	101
Workshops for Groups Of Seventeen To Twenty-Four Participants.....	102
Workshops for Groups Of Twenty-Five To Thirty-Two Participants	103
Workshops for Groups Larger Than Thirty-Two Participants	104

SESSION TIMING AND DURATION:

Note that the session durations provided below are listed as elapsed time and will need to be adjusted relative to the desired start and end time of each workshop. Organizers will need to adjust the timing of the workshop sessions depending on chosen start times and local practices, for instance, you see that the lunch break is scheduled to occur 4 hours and 15 minutes into the program. If you were to start the CAP-Scan workshop before 8 AM or after 9:30 AM, you will want to shift the lunch and coffee breaks within the sequence of work sessions, otherwise these breaks will come too early or too late. The lunch break is planned for an hour and 15 minutes, but should be stated as one hour in duration to ensure a timely start time. Similarly the coffee breaks should be stated as fifteen minutes but planned for 25 to 30 minutes. In some contexts longer break times may be needed, especially when working with large participant groups.

The illustrative schedule may not represent the optimal duration for a day's work with selected participants. In many cases, the optimal duration will be less than 7 or 8 hours and facilitator's will want to break up the schedule over two or more days.

The duration of each session is our best estimate at the time needed to work through the specific task with the given number of participants. Certain groups may need more time than allotted to discuss and debate the content of the CAP-Scan before deciding on a score. Rushing the assessment merely skews the conclusions toward the most assertive participants. However, this does not imply that you should work non-stop with groups until each session is completed. Group efficiency and creativity declines if worked too long and the facilitator will not have time to prepare the documents needed for analysis by the group.

One option for organizing the CAP-Scan workshop is to split up the sessions into a series of half-days, for instance working from 9 am until a late lunch. Breaking up the work into several days also provides the facilitator an opportunity to type up revised versions of the CAP-Scan, CAP-Scan Journal, and even the CAP-Scan Profile in the afternoons to be shared in hard copy with the group prior to the next following day. This feedback can breathe life into the tables and charts, provides a sense of progress, and grounds the group in the process. A potential downside to this option is the possible difficulty of maintaining the constant and full participation of the group over a several-day period.

Workshops for Groups Of Fewer Than Twelve Participants

Hour Session

- 0:00..... Participant introductions
- 0:15..... Presentation of the CAP-Scan, using the PowerPoint presentation, with participant questions. Clarify desired outcomes and the assessment process.
- 1:00..... Application of the CAP-Scan to the host institution, noting any suggested revisions to the framework language and developing a consensus score (noted on the CAP-Scan Journal) Work through Leadership and Evaluation & Monitoring Pillars of the Matrix
- 2:30..... Coffee break (stated as 15 minutes)
- 3:00..... Work through Accountability & Partners and Planning & Budgeting Pillars
- 4:00..... Lunch break
- 5:00..... Work through Statistics Pillar
- 6:00..... Coffee break (stated as 15 minutes)
- 6:30..... Review CAP-Scan Profile based on final CAP-Scan Journal calculations and introduce and apply weights to produce revised scores
- 7:00..... List strengths and weaknesses, identify development needs
- 7:30..... Facilitate prioritization of needs
- 8:00..... Develop MfDR Capacity Improvement Plan (identify activities leading to desired MfDR changes)
- 8:45..... Recap major conclusions and next steps
- 9:00..... Evaluate workshop
- 9:15..... End of workshop

Post session: Produce final revised CAP-Scan matrix

NB: With fewer than eight participants the sessions could go much more quickly than presented above. It could be possible to conduct the workshop in six to seven hours with small groups. For workshops with eight or more participants, this agenda would make for a very “long day”; and is not really practical. Organizers should plan to split the work into at least two days, starting with the listing of strengths and weaknesses on day two. This also provides time for the Facilitator to prepare necessary materials.

Workshops for Groups Of Twelve To Sixteen Participants

** Requires two small group facilitators

Day One Agenda

Hour Session

0:00..... Participant introductions

0:30..... Presentation of the CAP-Scan, using the PowerPoint presentation, with participant questions. Clarify desired outcomes and the assessment process.

1:30..... Application of the CAP-Scan to the host institution, noting any suggested revisions to the framework.

- Work through Leadership Pillar of the Matrix in plenary

2:30..... Coffee break (stated as 15 minutes)

3:00..... Divide into two groups of six to eight persons, simultaneous group work sessions on:

- Evaluation & Monitoring Components:
 - Monitoring and evaluation capacity;
 - National Development Plan evaluation Systems; and
 - Client satisfaction systems.
- Evaluation & Monitoring Components:
 - Data management capability;
 - Donor-required reporting systems; and
 - Report harmonization.

3:45..... Present and validate small group conclusions in plenary

4:15..... Lunch break (stated as 1 hour)

5:30..... Second set of simultaneous group work sessions on:

- Accountability and Partners Pillar and
- Planning and Budgeting Pillar

6:15..... Present and validate small group conclusions in plenary

7:00..... Coffee break (stated as 15 minutes)

7:30..... Third set of simultaneous group work sessions on Statistics Pillar

8:15..... End of day one

Post session: Produce final revised CAP-Scan matrix

Day Two

0:00..... Recap of progress from Day One – Distribute revised CAP-Scan matrix

0:15..... Present and validate small group conclusions in plenary from third small group session

1:00..... Review final revised CAP-Scan matrix and completed scoring (using CAP-Scan Journal)

2:30..... Coffee break (stated as 15 minutes)

3:00..... Review CAP-Scan Profile based on final CAP-Scan Journal calculations

3:30..... List strengths and weaknesses, identify development needs

4:15..... Lunch break (stated as 1 hour)

5:30..... Facilitate prioritization of needs

6:00..... Develop MfDR Capacity Improvement Plan (identify activities leading to desired MfDR changes)

7:00..... Recap major conclusions and next steps

7:15..... Evaluate workshop

7:30..... End of workshop

Workshops for Groups Of Seventeen To Twenty-Four Participants

** Requires three small group facilitators

Day One Agenda

Hour Session

0:00..... Participant introductions

0:30..... Presentation of the CAP-Scan, using the PowerPoint presentation, with participant questions. Clarify desired outcomes and the assessment process.

1:30..... Application of the CAP-Scan to the host institution, noting any suggested revisions to the framework.

- Work through Leadership Pillar of the Matrix in plenary

2:30..... Coffee break (stated as 15 minutes)

3:00 Divide into three groups of six to eight persons, simultaneous group work sessions on:

- Evaluation & Monitoring Components:
 - Monitoring and evaluation capacity; and
 - National Development Plan evaluation Systems;
- Evaluation & Monitoring Components:
 - Client satisfaction systems and
 - Data management capability;
- Evaluation & Monitoring Components:
 - Donor-required reporting systems; and
 - Report harmonization.

3:45..... Present and validate small group conclusions in plenary

4:30..... Lunch break (stated as 1 hour)

5:45..... Second set of three simultaneous group work sessions on:

- Accountability & Partners
- Planning & Budgeting
- Statistics

6:30..... Coffee break (stated as 15 minutes)

7:00..... Present and validate small group conclusions in plenary

7:45..... End of day one

Post session: Produce final revised CAP-Scan matrix

Day Two

0:00..... Recap of progress from Day One – Distribute revised CAP-Scan matrix

0:30..... Review final revised CAP-Scan matrix and completed scoring (using CAP-Scan Journal)

2:00..... Review CAP-Scan Profile based on final CAP-Scan Journal calculations

2:30..... Coffee break (stated as 15 minutes)

3:00..... List strengths and weaknesses, identify development needs

3:30..... Facilitate prioritization of needs

4:00..... Lunch break (stated as 1 hour)

5:15..... Develop MfDR Capacity Improvement Plan (identify activities leading to desired MfDR changes)

6:30..... Recap major conclusions and next steps

6:45..... Evaluate workshop

7:00 End of workshop

Workshops for Groups Of Twenty-Five To Thirty-Two Participants

** Requires four small group facilitators

Day One Agenda

Hour Session

0:00..... Participant introductions

0:30..... Presentation of the CAP-Scan, using the PowerPoint presentation, with participant questions. Clarify desired outcomes and the assessment process.

1:30..... Application of the CAP-Scan to the host institution, noting any suggested revisions to the framework.

- Work through Leadership Pillar of the Matrix in plenary

2:30..... Coffee break (stated as 15 minutes)

3:00..... Divide into four groups of six to eight persons, simultaneous group work sessions on:

- Evaluation & Monitoring Pillar
- Accountability & Partners Pillar
- Planning & Budgeting Pillar
- Statistics Pillar

4:30..... Lunch break (stated as 1 hour)

5:45..... Present and validate small group conclusions in plenary

7:15..... Coffee break (stated as 15 minutes)

7:45..... Review accomplishments of day and cross check other groups' work

8:30..... End of day one

Post session: Produce final revised CAP-Scan matrix

Day Two

0:00..... Recap of progress from Day One – Distribute revised CAP-Scan matrix

0:30..... Review final revised CAP-Scan matrix and completed scoring (using CAP-Scan Journal)

2:00..... Review CAP-Scan Profile based on final CAP-Scan Journal calculations

2:30..... Coffee break (stated as 15 minutes)

3:00..... List strengths and weaknesses, identify development needs

3:30..... Facilitate prioritization of needs

4:00..... Lunch break (stated as 1 hour)

5:15..... Develop MfDR Capacity Improvement Plan (identify activities leading to desired MfDR changes)

6:30..... Recap major conclusions and next steps

7:45..... Evaluate workshop

8:00..... End of workshop

Workshops for Groups Larger Than Thirty-Two Participants

Our recommendation for larger groups is to split participants into small groups of seven to nine participants as in the agendas provided above. This could create simultaneous work group sessions with five or more small groups. Each small group will need a facilitator, although often groups will include members capable of facilitating the small group work. Rather than assigning each group with just a few rows of the CAP-Scan matrix we encourage organizers not to break up the matrix into too many small parts. There is value in having participants assess complete Pillars in the CAP-Scan at a time in order to take stock of the synergies among them. Instead, have two groups each work on the same CAP-Scan Pillars and then blend their modifications and average their scores during in the plenary review session following the group work. This will lengthen the time spent in plenary discussions reviewing the work groups' conclusions. You will need to adjust the length of the agenda accordingly.

Another way to accommodate larger groups is to conduct two, shorter, CAP-Scan workshops for half the group. In this case, organizers would conduct the CAP-Scan validation and scoring in smaller workshops and without completing the prioritization of needs and improvement plan. A "conclusions workshop" with representatives would then be organized to combine the scores, identify strength and weaknesses, prioritize needs and outline the Government's improvement plan. This conclusion workshop could follow the agenda for Day Two provided on page 103.