Enquiry Framework for Reviewing Capacity Development – A List Of Possible Questions

The grid presents a number of questions that could form the basis for an organisation to review or evaluate its capacity development (CD) work with partners. 'Specific topics' are organised in relation to a number of over-arching '*broad areas*' which correspond to the CD stages, as well as to different levels of change (i.e., immediate changes, short term/longer term outcomes and impact). Each 'specific topic' has a number of '*essential questions*' that are necessary for a review of any type of CD and a number of more 'specific *'probing' questions*' which provide opportunities to probe deeper into various aspects of some, but not all, of the 'essential questions'. The 'probing' questions were chosen from a range of possible questions at this level, with a view to illustrating enquiry around the <u>most important</u> aspects of a CD process.

Broad Area	Specific Topic	Essential Questions	Specific 'Probing' Questions
INITIAL ENGAGEMENT AND OVERALL DESIGN	Initial engagement with partners about the initiative	• In what ways, if at all, were the design, implementation or results of the initiative influenced by the way the initial engagement took place?	• How was the engagement with the partner's CD work initiated? • How far was any guidance or 'good practice' on engaging followed? • To what degree was there a shared understanding of the nature of the *existing* relationship between you/partner? • Were any criteria (pre-conditions) for collaboration on the CD initiative established and reviewed? • In relation to the CD support, to what degree were underlying principles, mutual expectations, roles and risks discussed and agreed? • Were any formal agreement and relationship monitoring mechanisms established?

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	Overall design (this refers to the identification of the purpose and overall understanding on how capacity change emerges)	• How relevant, realistic and appropriate was the overall design? • How robust were any assumptions you had made about how capacity change might contribute to the partner's (and your) Mission/programme goals/strategy?	• What were the original drivers/motives for the change and how far were they clearly understood by all parties? • How far was there clarity on how change in individual and organisational capacity might contribute to increased capacity in responding to needs/advocacy/implementing partner's organisational strategy or Mission? • How clear and transparent was communication to key stakeholders about the reasons for the CD initiative? • How far was the 'value-added' of your support effectively identified in the design of the initiative? • Was there any mapping of other relationships that could have been relevant to the initiative?
CAPACITY DIAGNOSIS	Data collection	• How effective and appropriate were the data collection methods, tools and processes?	• Were the parameters for the assessment clearly understood by all? Were the right things assessed? • Were the right people involved in the data collection process?
	Analysis	• How effective was the analysis process – were the outputs relevant to the needs of the initiative/overall design objectives? • Did the analysis process *in itself,* contribute in any way to strengthening capacity?	• Were the right people involved in the analysis process? • How far was the management of this diagnosis stage effective, efficient and appropriate? • Any comments on 'value for money' of the way the diagnosis phase was designed and implemented?

Broad Area	Specific Topic	Essential Questions	Specific 'Probing' Questions
PRIORITISING AND PLANNING	Prioritisation of areas for attention and production of a CD Action plan	• How relevant and realistic was the CD Action plan? • How far was the plan of 'good quality'?[1]	• To what degree was there a clear, shared vision of what might emerge from the CD work? • How far did the CD Action plan cover the right areas/respond to the partner's development needs? • How far was there clarity about the desired changes and what type of CD activities and methods might be most appropriate? • To what degree was the sustainability of outcomes addressed in the plan? • How far was the CD Action plan realistic in terms of resource requirements, timescales and energy required for the work? • How flexible and responsive was the plan? • Was the plan 'owned' and understood adequately within the partner organisation? • How far did relevant staff in your organisation engage with, and commit to, the partner's CD Action plan?
IMPLEMENTATION + IMMEDIATE OUTPUTS & OUTCOMES	The implementation process (the overall fulfilment of the CD Action plan & specific activities)	• How far was the CD Action plan put into practice? • What worked well, or could have been better, in terms of the overall implementation process?	• If certain planned activities did not occur, what were they and why was this? • If certain unplanned activities took place, what were they and why was this? • How much did learning (and subsequent adjustment) take place during implementation?

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[1] See Checklist for Assessing CD Action Plans for ideas of quality factors for consideration.

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	The immediate outputs or changes such as: new systems or policies in place workshops and courses delivered exposure visits successfully completed immediate changes in understanding, skills etc.	• To what extent were planned immediate outputs or changes achieved? • What unplanned/unexpected immediate outputs or changes occurred? (positive *and* negative) • To what degree did the processes used to produce the outputs reflect general good practice and/or your own CD principles? • What were the views of the participants, or the partner's stakeholders, concerning the outputs or immediate changes?	• To what degree did the outputs that were achieved reflect the desired quality? • How far was there systematic monitoring and review of the quality and appropriateness of the CD work? • What levels of participant/partner satisfaction was there with the outputs? • What was the nature of any *immediate* changes reported by participants/partner/your staff e.g. in understanding, skills etc? • Any major differences of perspective amongst the participants/partner/your own stakeholders?

Broad Area	Specific Topic	Essential Questions	Specific 'Probing' Questions
SHORT TERM OUTCOMES	Consistent capacity changes such as: sustained change in understanding, skills, behaviours consistent use of new systems and processes changes in relationships Changes in the internal 'health' of the partner	• To what extent were planned short-term sustained changes achieved? • What unplanned/unexpected changes have occurred? (positive *and* negative) • Overall, how has the partner been strengthened by these changes?	• Were there any noticeable differences in degree/type of change amongst different categories of participants/partner stakeholders? • What evidence is there to illustrate the degree to which the CD work that you supported has contributed to the changes (planned/unplanned)? • What other factors/actors contributed to these changes? • What external/internal factors (including relationships) enabled or inhibited the achievement of these changes? • How sustainable are the changes? • In what ways, if any, have these changes led to an overall 'strong and healthy organisation'? (for holistic CD work particularly)

| LONGER TERM² OUTCOMES | The results of the short-term changes such as: Changes in quality of partner services and programmes (including advocacy) Changes in quality of relationships and collaborative work with others Changes in overall organisational resilience | • To what extent were planned longer term changes achieved?
• What unplanned/unexpected changes have occurred? (positive *and* negative)
• How, if at all, is the overall partner organisation benefiting from these longer-term changes? (e.g. from the increased effectiveness + efficiency in programme or service delivery or more effective external collaborative work due to increased trust levels)
• To what degree did the CD work contribute to these longer-term changes | • What evidence is there that the longer-term outcomes are sustainable?
• How evenly spread are the benefits from these longer-term changes e.g., across all levels of operation (national/local etc) or areas of work?
• What evidence is there to illustrate the degree to which the CD work contributed to the longer-term changes (planned/unplanned)?
• What CD support activities were particularly significant and influential?
• What other factors/actors/relationships (internal and external) *contributed* to these longer-term changes?
• What other factors/actors/relationships (internal and external) *inhibited* the achievement of these longer-term changes?
• If there were any undesired/negative changes, what (if any) aspects of the CD work contributed to them? |

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[2] It is important to recognise that in some cases longer term outcomes might emerge within a relatively short timeframe. The main characteristic of longer term outcomes is that they come about as a result of the *application* of the short term outcomes. '

| IMPACT | Achievement of programme goals or Mission objectives e.g. Improvements in livelihoods | • Is there any link between changes (positive/negative) in the situation of the people you work with and the CD work?
• Is there any link between the achievement of the partner's organisational strategic objectives (in any sphere) and the CD work?

• If there is any identified link, what helped this? | • What has changed, and for whom?
• What evidence is there of any CD contribution to the achievement of the positive changes, or the strategic objectives? Would the changes have happened anyway?
• What factors enabled that CD contribution? These could include design, resources, human factors, external factors, relational etc.
• Are there any specific activities or processes used during the CD work that stand out as having made a particularly strong contribution to this change?
• Is there any identifiable *chain* of changes that could be said to have played a key role? i.e. any specific immediate/short term changes that generated longer term outcomes that contributed to impact?
• Were there any factors that may have inhibited the CD effort from contributing to impact? |