



Inside the Black Box of Capacity Development for Development Effectiveness

JICA/CSIS Seminar

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Contents of this presentation

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- Inside the black box of CD for development effectiveness
- Comparative analysis of cases
- Conclusion: The case for further CD mainstreaming in a changing world

MDGs, Paris Process and CD: Why CD now?

- *Outcome document of UN MDGs Summit in Sept. 2010 repeatedly feature the CD centrality in achieving and sustaining MDGs*
- *Paris Declaration (PD), the principal framework for aid reform in support of MDGs,:*
 - ✓ PD further mainstreamed CD: CD was highlighted as one of the key cross-cutting themes for aid effectiveness
 - ✓ In Accra Agenda of Action (AAA), with emphasis on result, CD was featured even more strongly

Next step: From CD perspective to operational practice

- As CD is at the center of the global agenda incl. Paris agenda, the next challenge will be to **translate CD meaningfully into operational practice.**
- **This paper tries to make a step forward to more informed CD practices and CD support based on insights from past and recent CD studies as well as comparative analysis of selected cases**

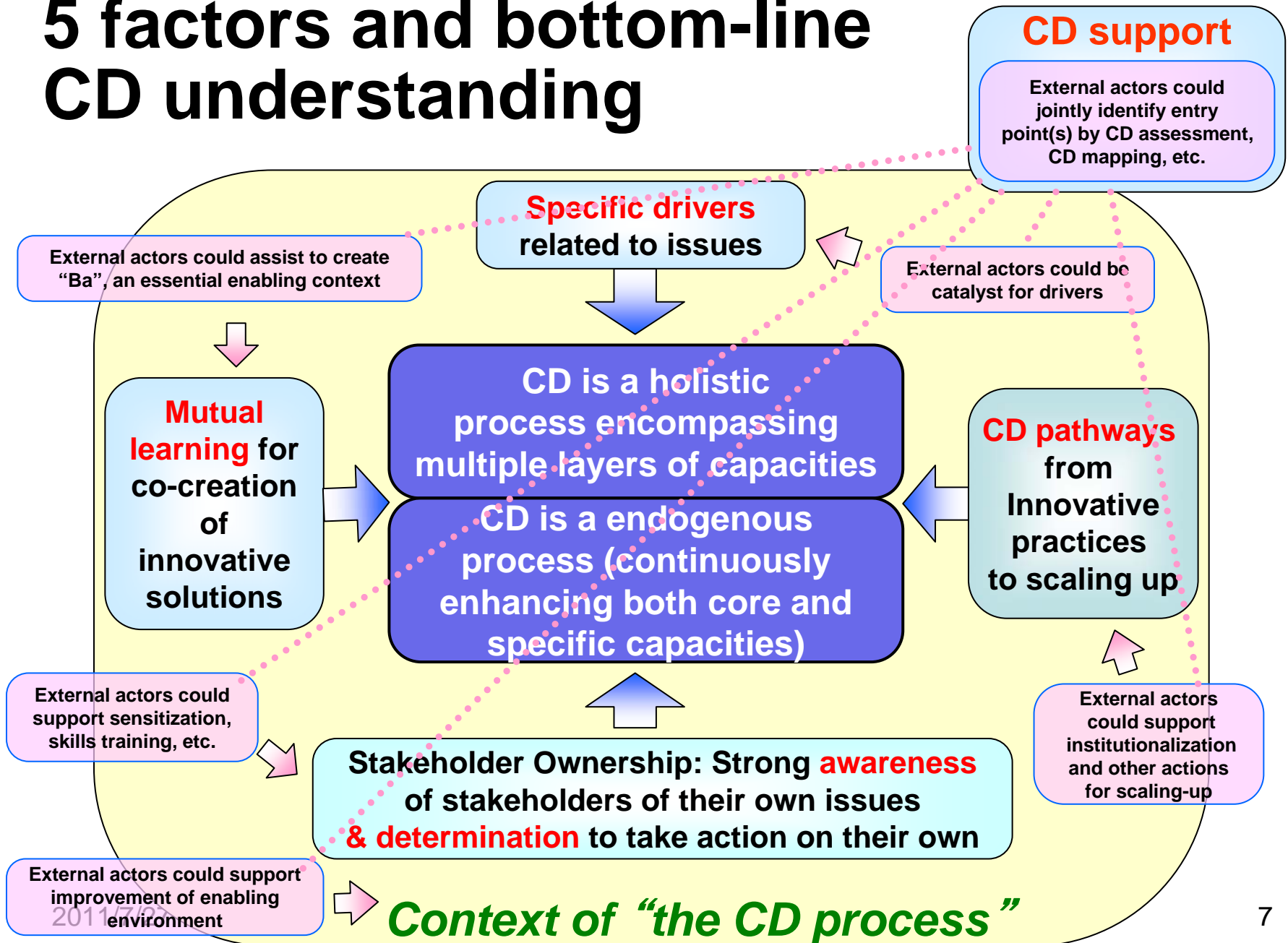
Bottom-line understanding of CD: the basis of our comparative analysis

- CD is a continuous and **endogenous** process
- CD is a holistic and **multi-layered** process
- **Capacity as a legitimate end** and not simply a means to an end; Capacity includes both cross-cutting capacity (functional, **core** or generic **capacity**) and **specific capacity** linked to certain issues
- **Donors** as external, but active players can **provide CD assistance only**, not CD itself

Looking Inside the black box of CD for development effectiveness

- The bottom-line understanding on CD is widely accepted and, therefore, is the basis of our comparative analysis
- However, within this conceptual framework, CD appears to be a black box, as it has been in most previous studies
- Accordingly, it is essential to look inside and **open the black box in order to operationalize the CD perspective/concept into workable practices** in the field

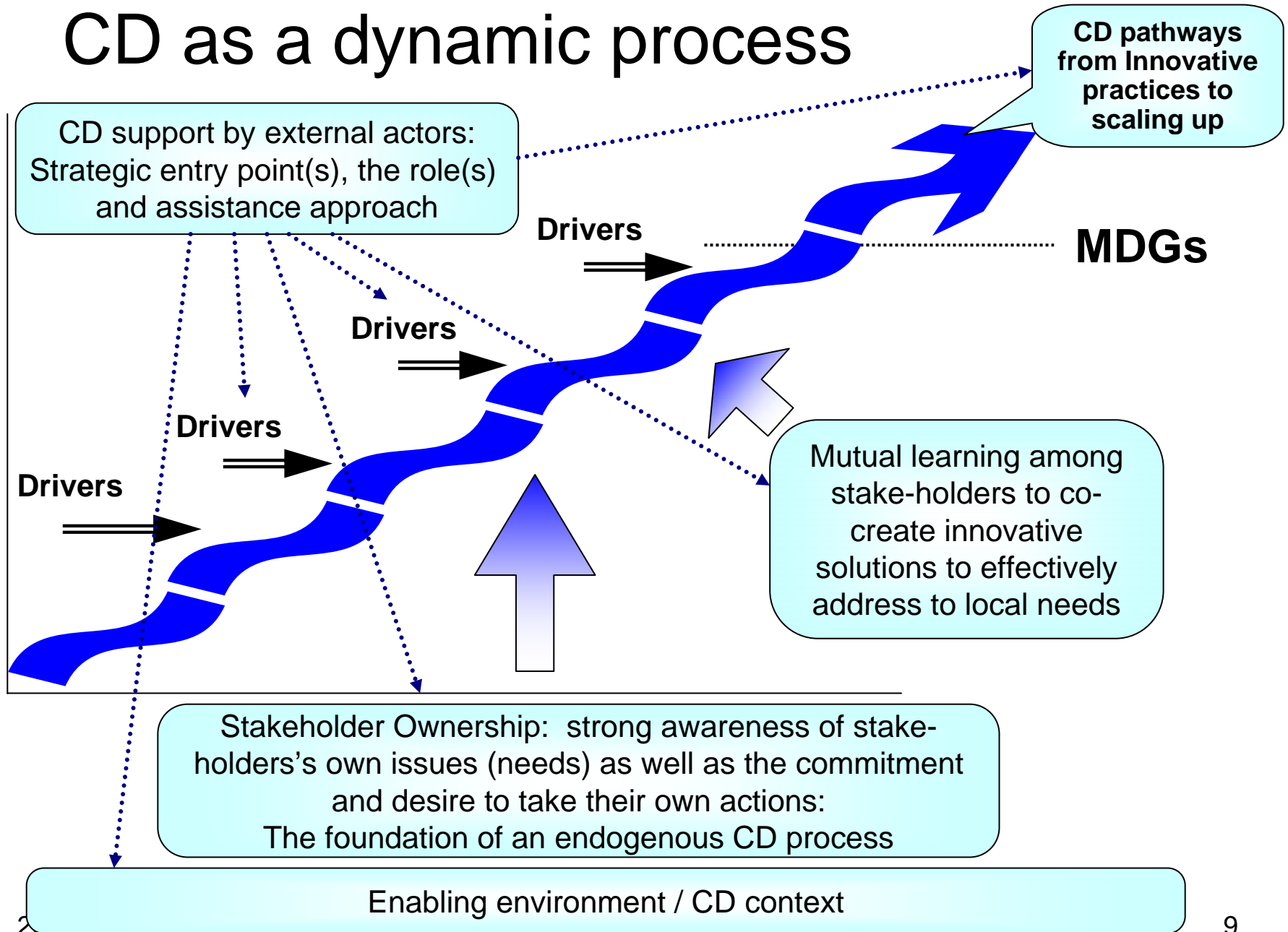
5 factors and bottom-line CD understanding



Key 5 factors and role of external actors: in “catalyzing development” effectively with CD mainstreaming (some examples)

Mutual learning/mutual trust for co-creation	External actors could assist to create “Ba”, an essential enabling context
Stakeholder ownership: awareness, determination and commitment	External actors could support sensitization, skills training, etc.
Drivers for specific situation in CD process	External actors could be catalyst for drivers
CD pathways from innovative practices to scaling up	External actors could support institutionalization and other actions for scaling-up
CD support: Strategic entry point(s), the roles and approaches of CD support	External actors could assist to identify entry point(s) by CD assessment, CD mapping, etc.

CD as a dynamic process



Multi-layered CD perspective: Selected case studies

Niger

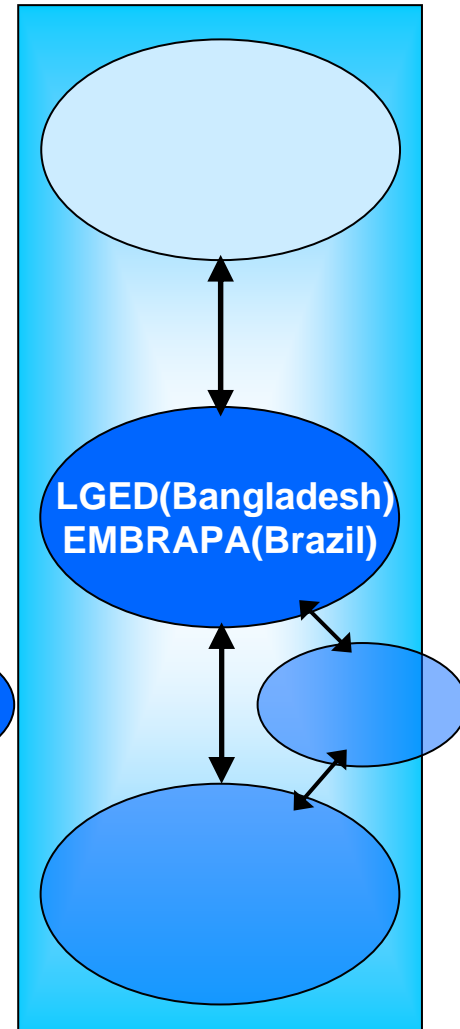
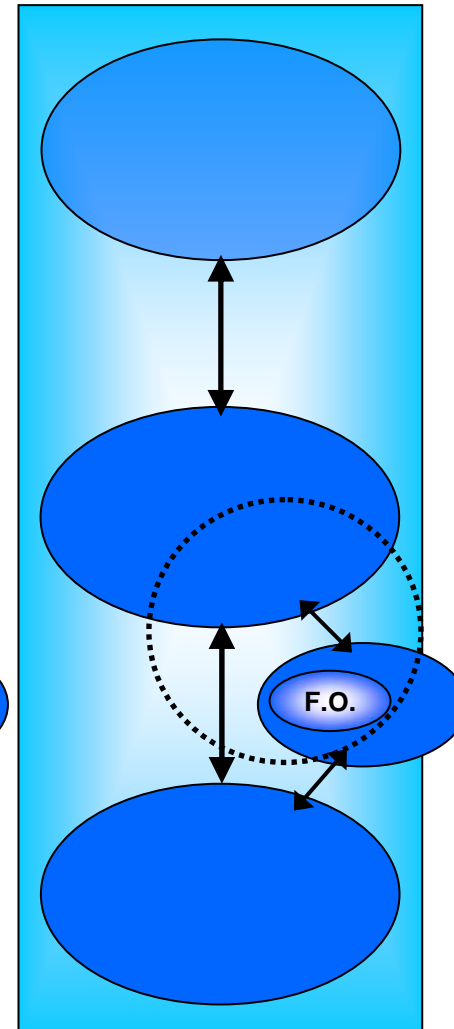
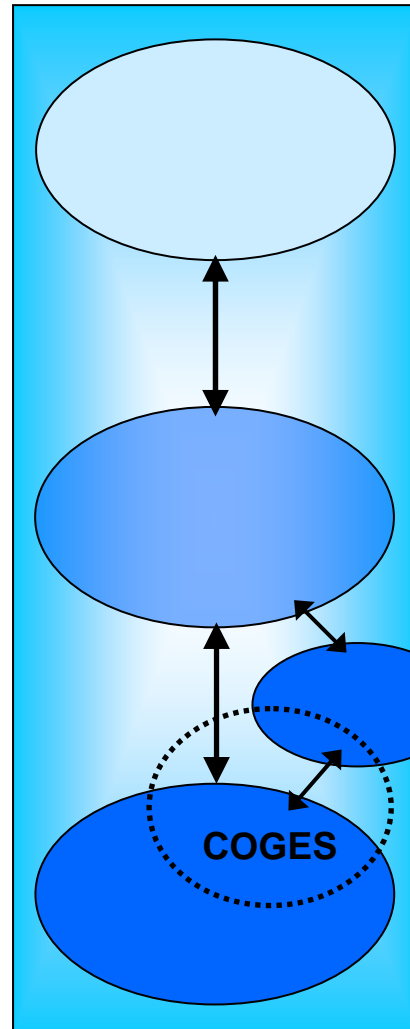
Indonesia (Sulawesi) Colombia (Medellin)

Bangladesh: LGED Brazil: EMBRAPA

Society/
State

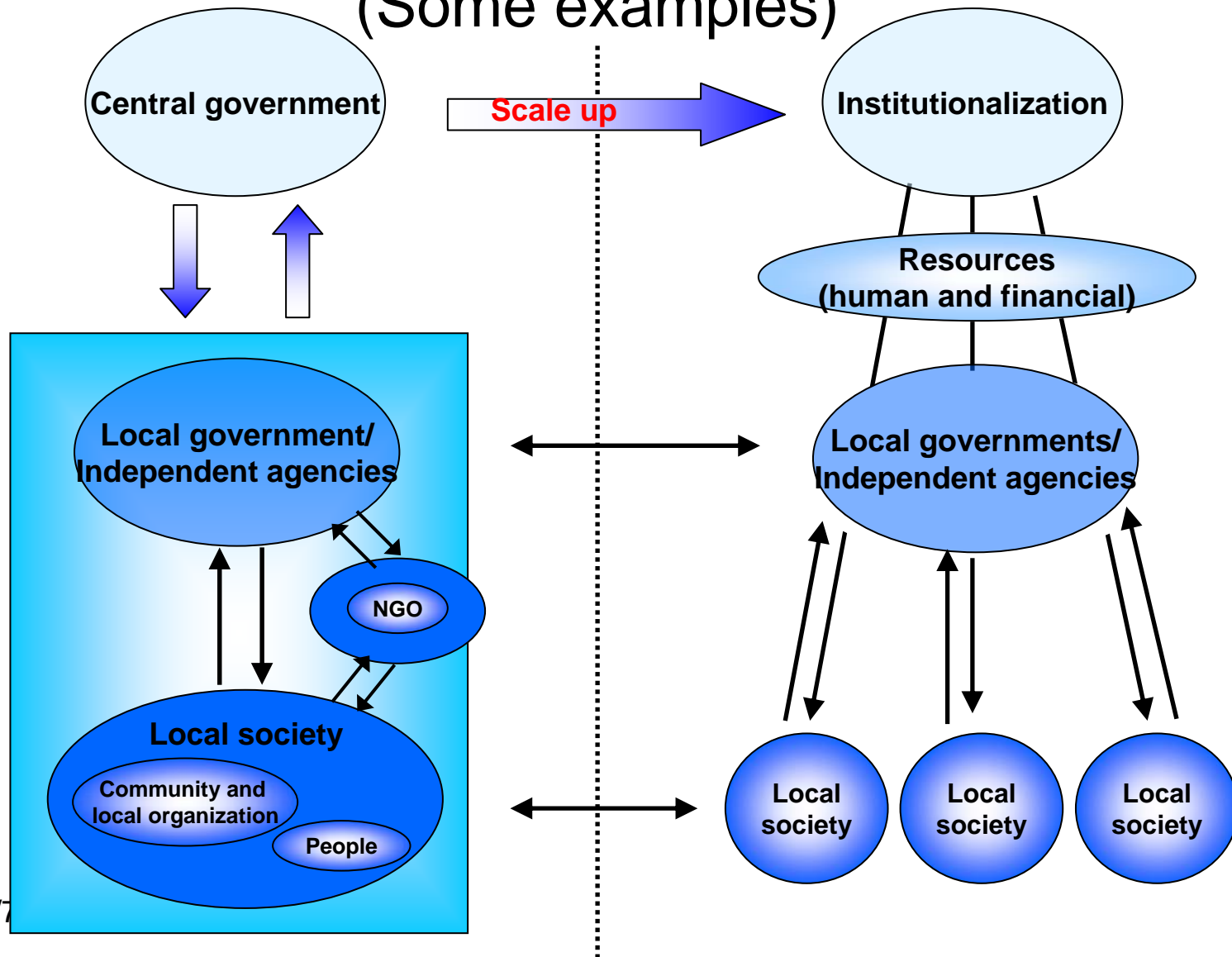
(public service
delivery organizations)
Local government/
Independent agencies

(beneficiaries)
People/
Community



● Entry points
2011/7/27
● F.O.: Field Officer

CD pathways from innovative practices to scaling up (Some examples)



EMBRAPA: Brazilian Agricultural Research Corporation

- Starting from practically zero, it is now one of the largest research institutes in the world of agriculture, especially tropical agriculture
- It's starting point was EMBRAPA Cerrado: Research Institute specialized in Cerrado (Brazilian tropical savanna) agriculture

43 Research Centers and Services Units

Research Network

- ✓ 3 Virtual Laboratories Abroad (Labex)
- ✓ Offices for Technology Transfer: 14 in Brazil and 2 abroad (Africa and Venezuela)

North

- Embrapa Acre
- Embrapa Amapa
- Embrapa Western Amazon
- Embrapa Eastern Amazon
- Embrapa Rondonia
- Embrapa Roraima

Northeast

- Embrapa Mid-North
- Embrapa Tropical Semi-Arid
- Embrapa Coastal Tablelands
- Embrapa Goat and Sheep
- Embrapa Cassava & Tropical Fruits
- Embrapa Cotton
- Embrapa Tropical Agroindustry

Mid-West

- Embrapa Agrienergy
- Embrapa Western Region Agriculture and Livestock
- Embrapa Rice & Beans
- Embrapa Coffee
- Embrapa Cerrados
- Embrapa Beef Cattle
- Embrapa Vegetables
- Embrapa Technological Information
- Embrapa Pantanal
- Embrapa Genetic Resources & Biotechnology
- Embrapa Technology Transfer

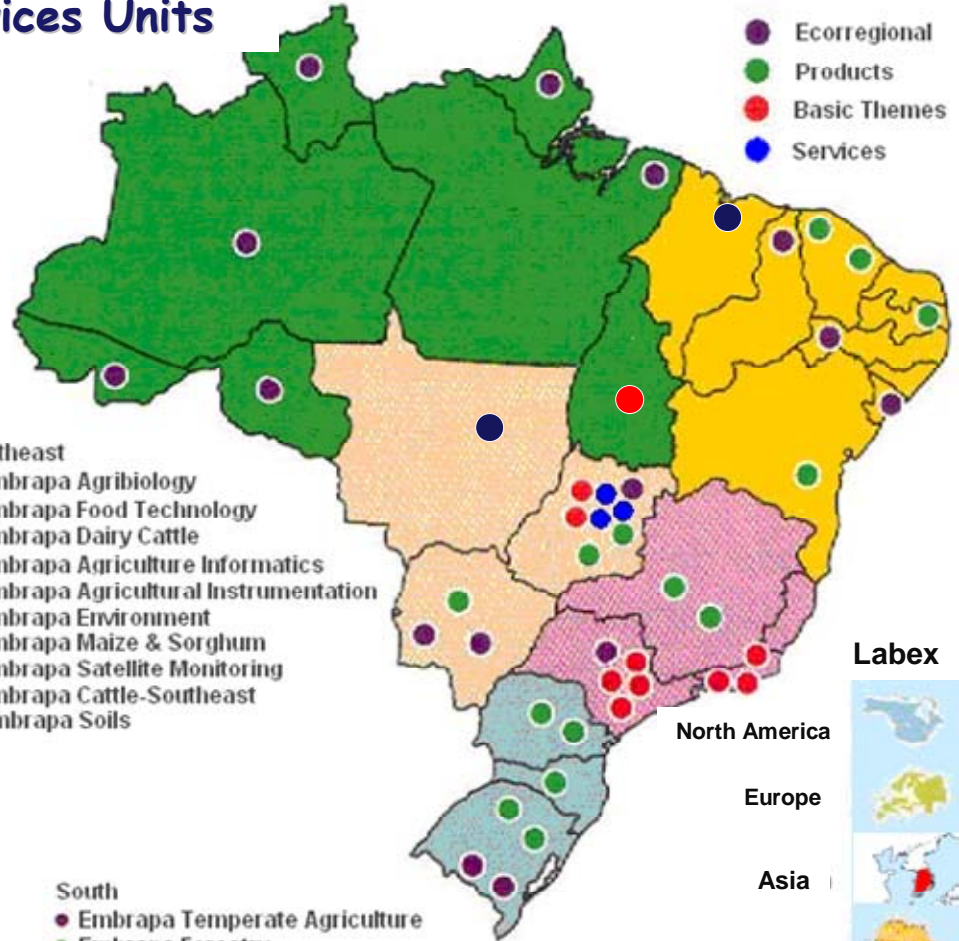
Southeast

- Embrapa Agribiology
- Embrapa Food Technology
- Embrapa Dairy Cattle
- Embrapa Agriculture Informatics
- Embrapa Agricultural Instrumentation
- Embrapa Environment
- Embrapa Maize & Sorghum
- Embrapa Satellite Monitoring
- Embrapa Cattle-Southeast
- Embrapa Soils

South

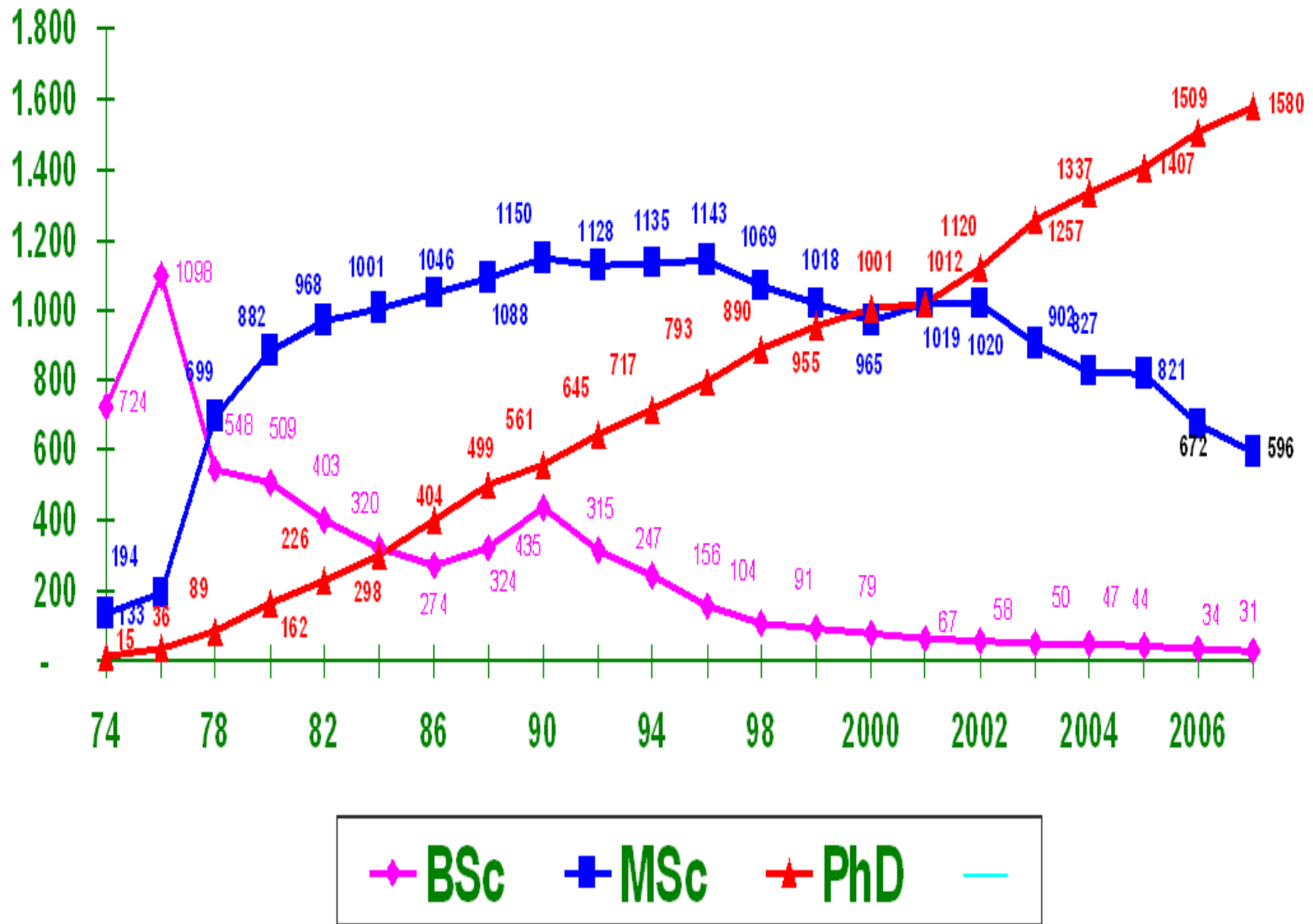
- Embrapa Temperate Agriculture
- Embrapa Forestry
- Embrapa South Animal Husbandry & Sheep
- Embrapa Soybean
- Embrapa Swine and Poultry
- Embrapa Wheat
- Embrapa Grape & Wine

- Ecorregional
- Products
- Basic Themes
- Services



Labex





EMBRAPA: Number of PhD Researchers increased from 5 to 1800

Cerrado Miracle

- **Brazil revolutionalized its own firms**
(*Economist*, August 26, 2010)
- Cerrado, Tropical Savanna of Brazil, was warren land , with sterile soil, which is now converted into one of the most productive agricultural regions in the world
- “The *cerrado* was regarded as unfit for farming”. Norman Borlaug, the father of the Green Revolution, told the *New York Times* that “nobody thought these soils were ever going to be productive.” They seemed too acidic and too poor in nutrients. (*Economist*, *op.cit.*)
- This dramatic change took place in last 30 years

Cerrado **Miracle** (continued)

- New varieties and soil improvement were “break through innovation” for Cerrado, tropical savanna of Brazil
- “.....the availability of farmland is in fact only a secondary reason for the extraordinary growth in Brazilian agriculture. If you want the primary reason in three words, they are **Embrapa, Embrapa, Embrapa.**” (*Economist*, August 26, 2010)



CPAC (former EMBRAPA, Cerrado, Brasilia, Brazil

<http://www.cpac.embrapa.br/>

Cerrado **Miracle** (continued)

- Brazil, with its strong ownership, established EMBRAPA (Empresa Brasileira de Pesquisa Agropecuária, or the Brazilian Agricultural Research Corporation)
- “EMBRAPA Cerrado” started its research since 1974
- JICA and JIRCAS supported “EMBRAPA Cerrado” from its beginning: Soil improvement and development of varieties of grains adapted to tropical climate; one of such varieties of soybean is called “Doko” after the name of the President of Japanese Federation of Enterprises (Keidanren)



Revolutionary soybean variety Doko named after a Japanese who worked for Japan-Brazil cooperation

2006 World Food Prize Laureates



2006 World Food Prize Laureates Edson Lobato of Brazil, Alysson Paolinelli of Brazil, and Dr. A. Colin McClung of the USA



World Food Prize Founder Dr. Norman E. Borlaug, who is credited with saving more than one billion lives as the Father of the Green Revolution, called the development of the Cerrado “one of the great achievements of agricultural science in the 20th century,” which, over the past 40 years, “has transformed a wasteland into one of the most productive agricultural areas in the world.”

出所 : <http://www.worldfoodprize.org/laureates/Past/2006.htm>

- ⑤ 2006年、パウリネリ元農相とCPAC土壌研究者ロバット博士が、「World Food Prize」を授賞。（同賞はノーマン・ボローグが創設者）



Cerrado : Scenery before the Cooperation for
Cerrado Agricultural Development 21
(Source : JICA's World, May 2010)

2011/7/27



2011/7/27

Cerrado : Scenery during the Cooperation for
Cerrado Agricultural Development 22
(Source : JICA's World, September 2010)



Cerrado : Scenery after the Cooperation for
Cerrado Agricultural Development

(Source : JICA's World, May 2010)



Agricultural Products in a market of Brazilia after the Cooperation for Cerrado Agricultural Development

2011/7/27

(Source : JICA's World, May 2010) 24

Development of EMBRAPA from CD perspective

- Human resource development: incentive system, open recruiting system, etc.
- R&D in the field: Research centers according to geo-climatic conditions, cross-cutting themes and other criteria taking into account the diversity of Brazilian agriculture
- Demand-driven research based on active interaction with farmers
- Independent, transparent corporation insulated from political changes
- International cooperation

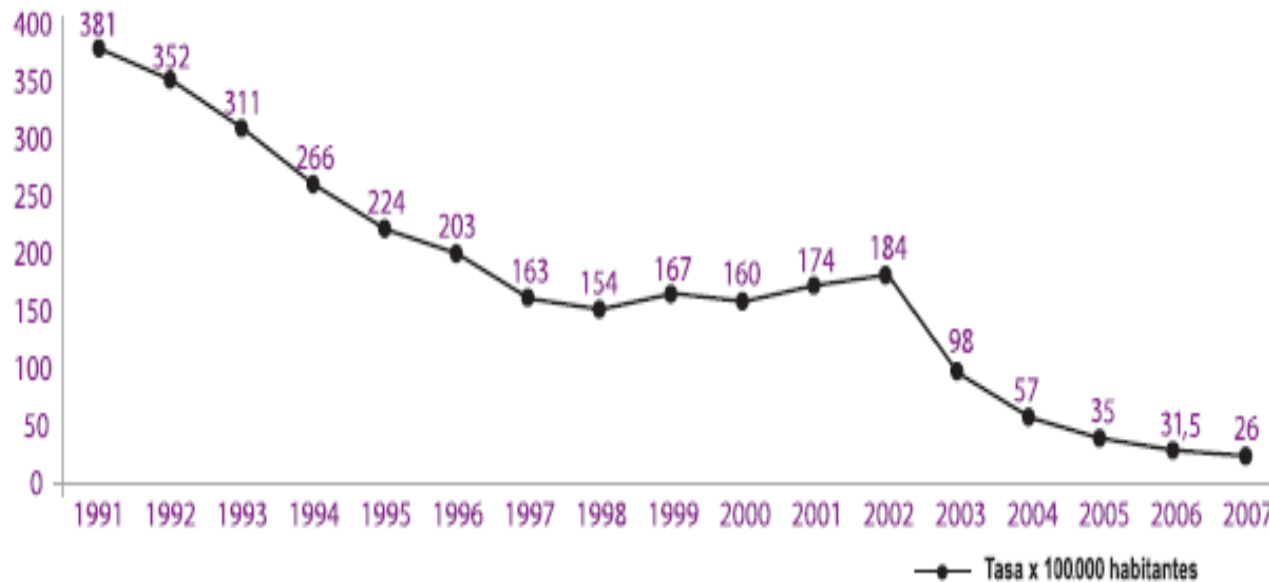
Urban development in Medellin in Colombia

- Capacity development of both local governments and urban local communities appears to be crucial for a successful urban development of areas close to Metrocable in Medellin, Colombia

Medellin Miracle

In 1991, Medellin was considered the most violent city of the world. Homicides per 100.000 habitants decreased from 381 in 1991 to 26 in 2007. (En 1991 fuimos la ciudad más violenta del mundo. De 381 homicidios por cada 100.000 habitantes en 1991 pasamos a una tasa de 26 en 2007.)

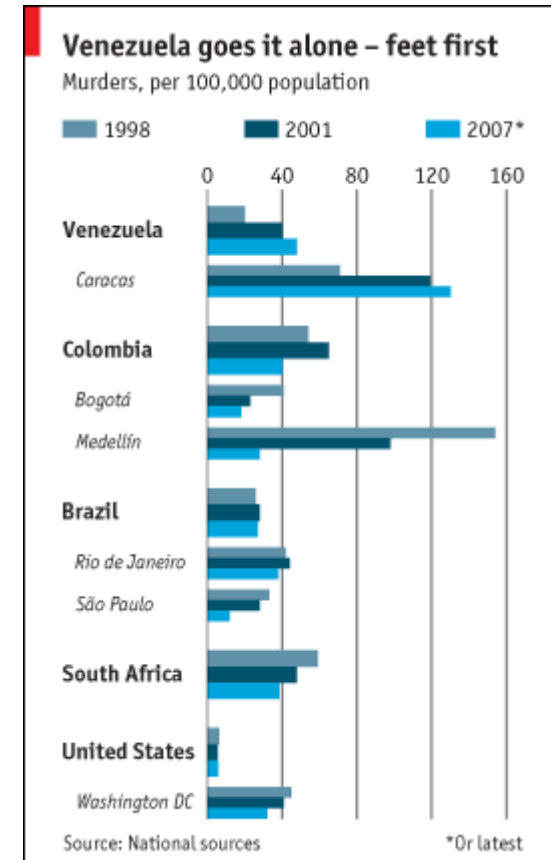
EVOLUCIÓN TASA DE HOMICIDIOS
MEDELLÍN POR CADA 100.000 HABITANTES



Fuente: Secretaría de Gobierno.

VOLVER

ボゴタ市都市開発公社 (Empresa de Desarrollo Urbano, EDU) 資料



Source: National sources

*Or latest

MIB es la estrategia municipal para acompañar la formación de barrios y evitar su deterioro mediante el establecimiento de mecanismos y herramientas adecuadas de gestión



Quebrada Juan Bobo

PROYECTO PILOTO

ボゴタ市都市開発公社 (Empresa de Desarrollo Urbano, EDU) 資料



Alcaldía de Medellín
Alcaldía de Medellín

2006



2008



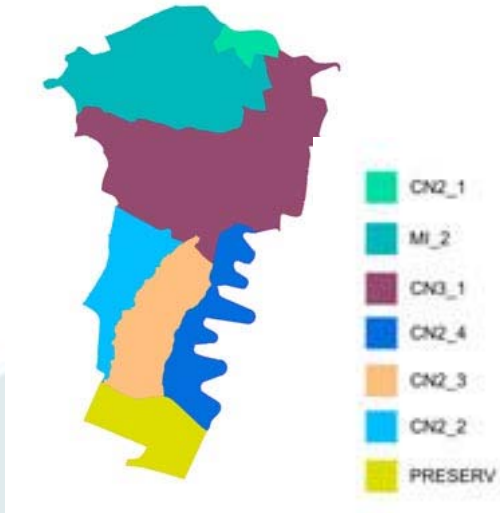
ボゴタ市都市開発公社 (Empresa de Desarrollo Urbano, EDU) 資料

Nuevo Sol de Oriente

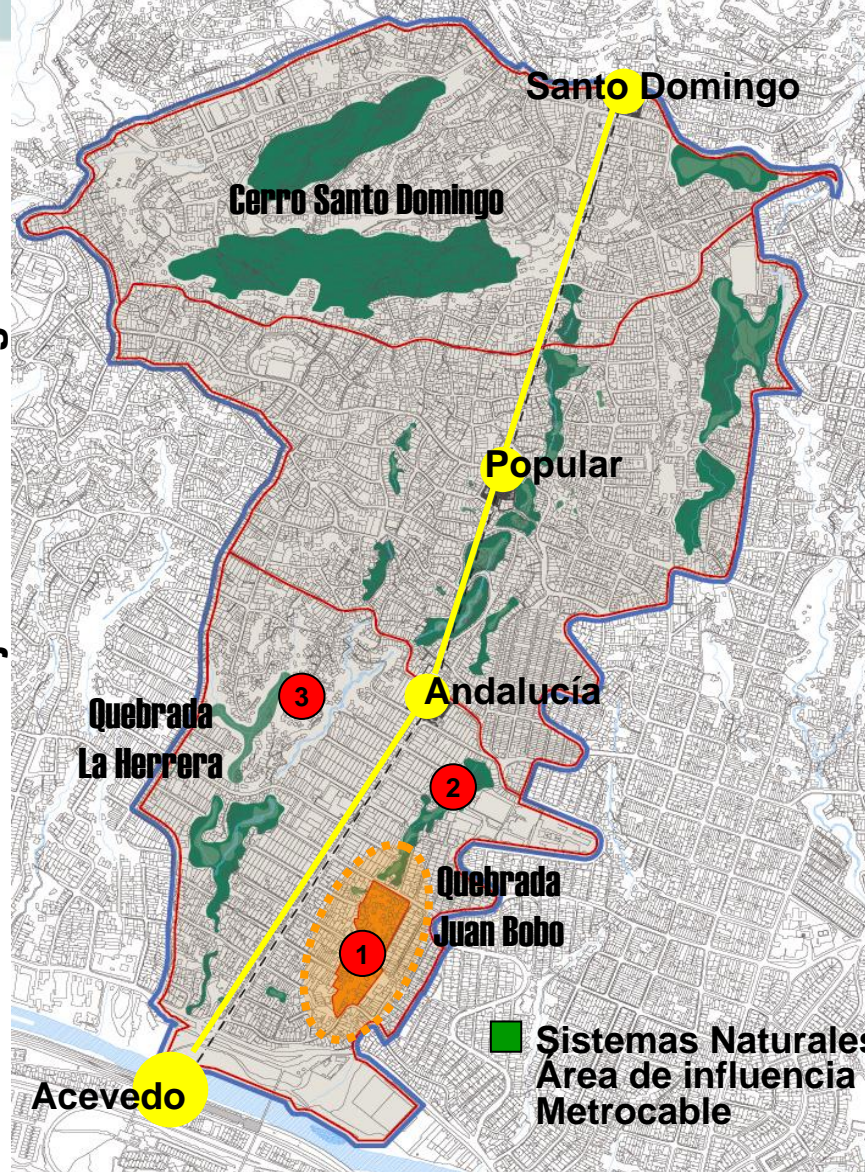
Hecho físico: METROCABLE



Tratamientos urbanos



MIB NORORIENTAL: Mejoramiento Integral de Barrios



Enfoque de hábitat



Microterritorio

Enfoque de espacio público



Acción zonal

GEOREFERENCIACION Localización



Alcaldía de Medellín
Alcaldía de Medellín

Plan of sidewalks and emblematic streets”
Connecting the city”

Medellín Transformation, a social action.



PUI

ポコタ市都市開発公社 (Empresa de Desarrollo Urbano, EDU) 資料



Alcaldía de Medellín

CD and emerging issues

- Emerging issues such as climate change, prevention of natural disasters, etc.
- CD perspective can be extended to emerging issues and can provide insights into the issues that can be addressed sustainably by ensuring and supporting local CD processes.

An example : *Disaster prevention initiatives in the Caribbean and Central American countries*

- CD process both at community and local government levels strengthened
 - Their capacity to effectively respond to various disasters including earthquake, flooding and landslides
 - Integrated community-based disaster prevention management with the government support have provided a space (or “*Ba*”) for country
 - Stakeholders to experiment and learn improved risk communication techniques using various concrete actions such as **hazard maps, early warning system and disaster prevention plans.**

Bosai Project in Central America

- *Mutual learning and co-creation of innovative solutions: An example*
- Used tires to avoid land-slide (an innovative practice developed in Costa Rica, El Salvador and Honduras)



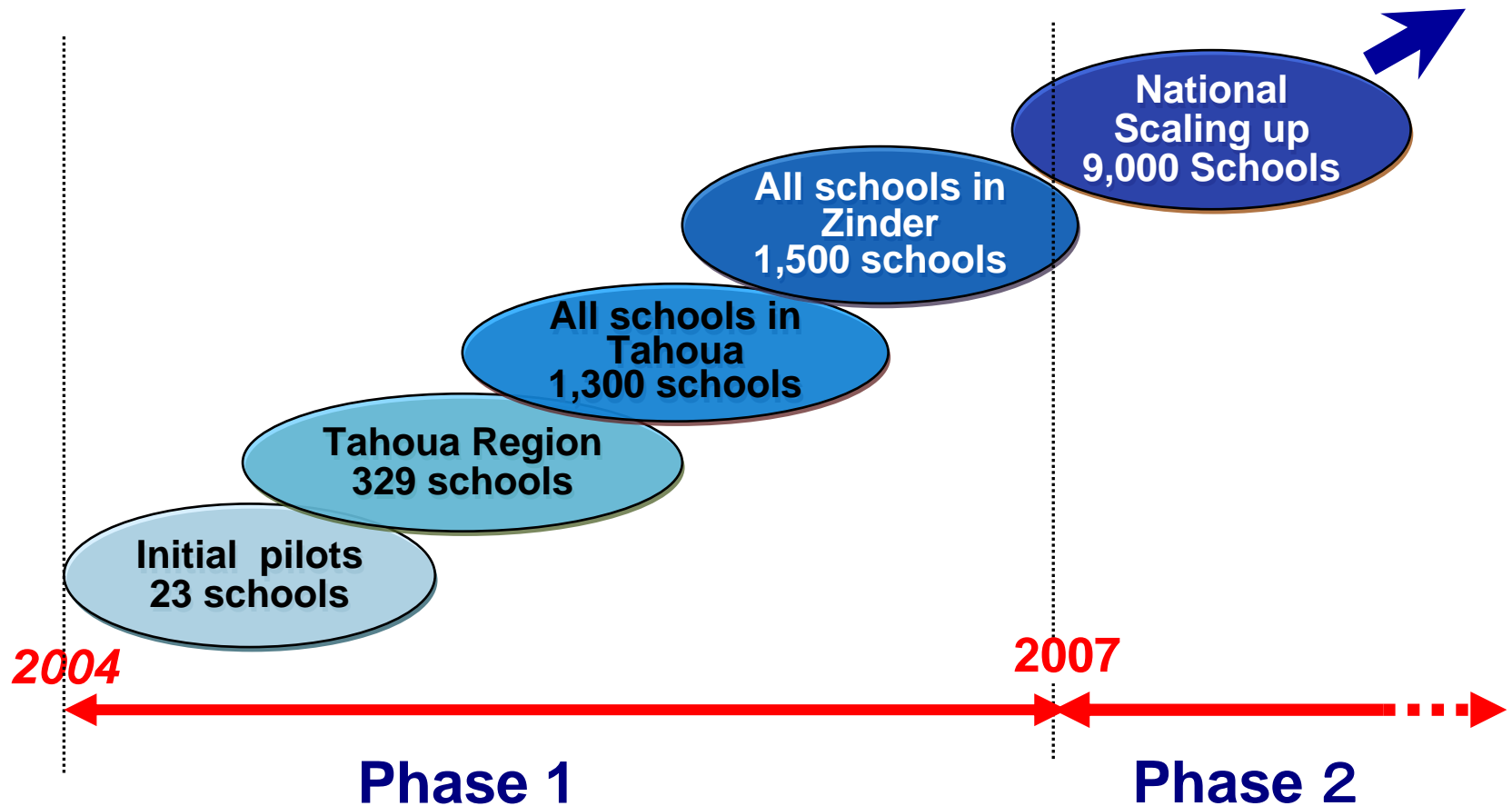


School for All project in Niger

- *A ongoing technical cooperation project since 2004 in support of local adaptation and national scaling-up of School-Based Management (COGES) at primary school level in fragile Niger country context*
- *An initiative within Niger's Education Sector-Wide Program (SWAps) linked to EFA Fast Track Initiative*
- *Supporting the policy learning process for SBM localization (Piloting for scale, locally developed training programs & monitoring mechanism aligned to education administration)*
- *Strategic collaboration with other donor and INGO partners including the World Bank and UNICEF etc.*

School for All process (an image)

Scaling-up of COGES model



COGES & its monitoring mechanism (Stylized image)

Education Sector Development Program (PDDE)
Primary Education Sub-Sector

Financing thru.
EFA-FTI framework

Decentralization
Education Deconcentration

Education Ministry

Ministry HQs

Regional Office

COGES Focal Point

Inspector

COGES Officer

School Adviser

Inspectors Meeting

COGES Officers Meeting

Regional Education Forum

Commune Office

COGES Federation

COGES

COGES

COGES

COGES

Primary Sch.

Parents Assoc .etc.

Local communities

Project Team

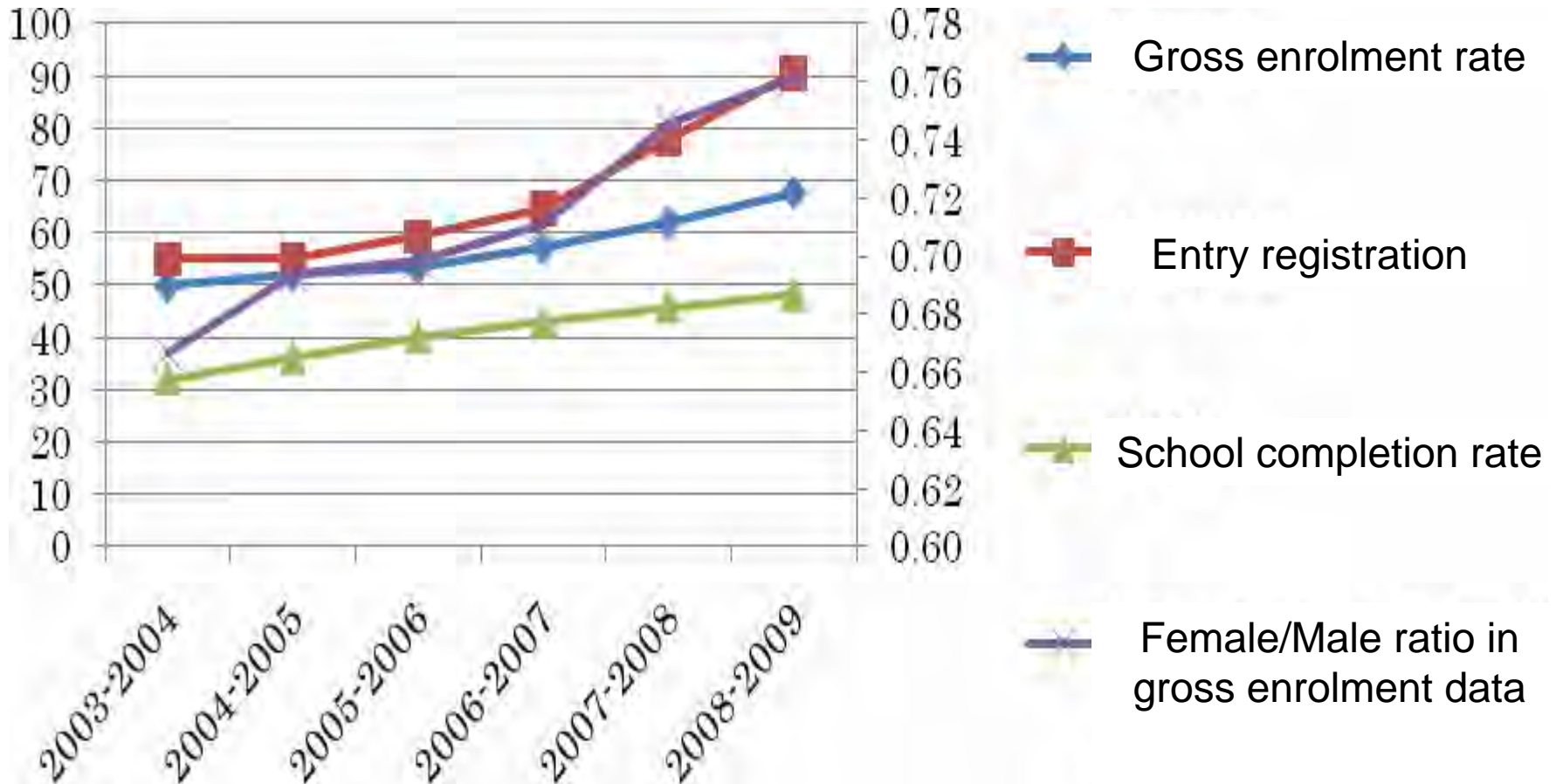
JICA Advisers

Local NGO



2011/7/27

Achievements thus far



Source: JICA Project Completion Report: February 2010 / MEN statistics

Likely to have contributed to the issue of education access & currently further refining SBM model towards quality

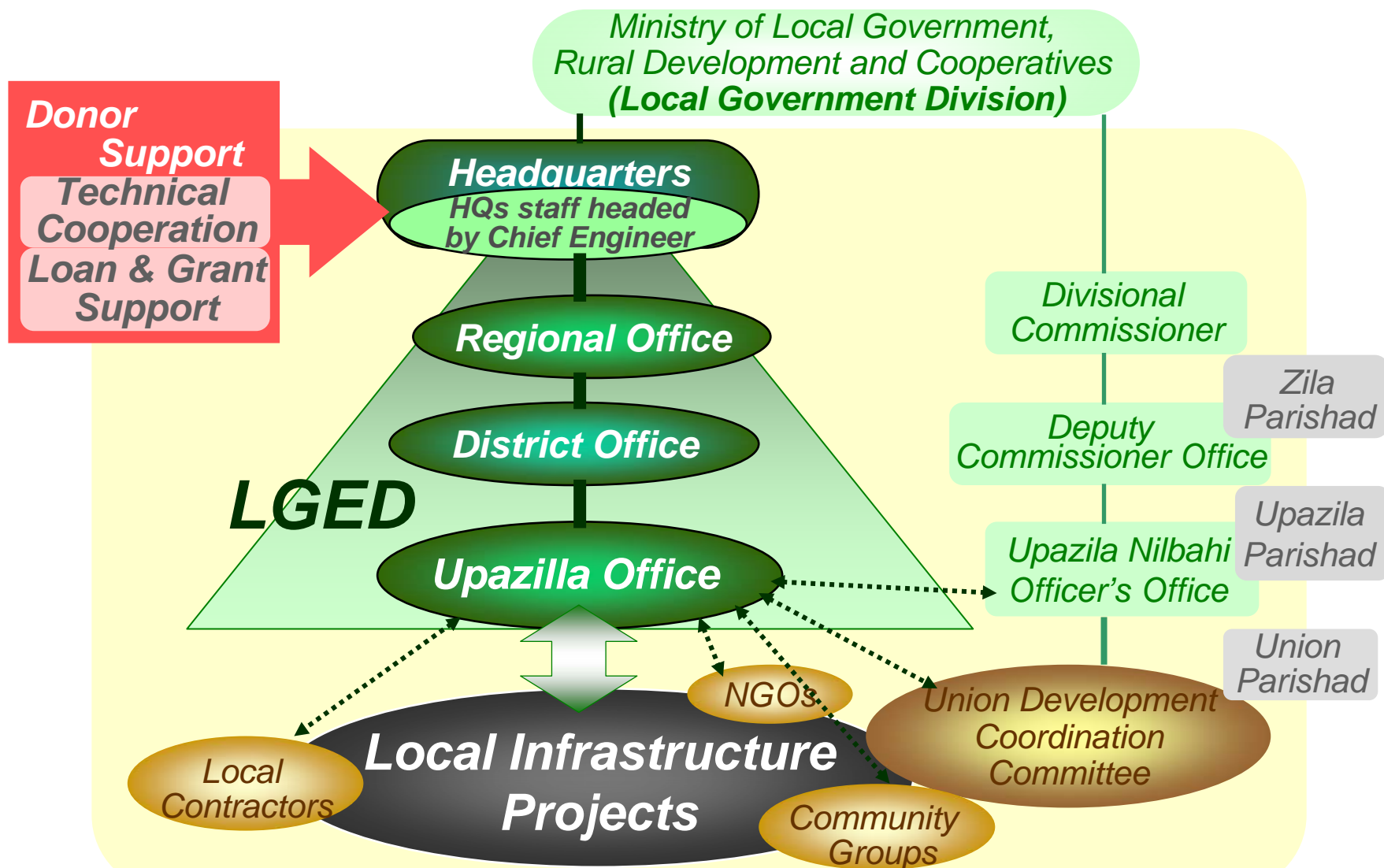
The case of Niger “School for All “ from CD perspective

- An integral part of a coordinated sector-wide program
- A generally supportive policy & institutional setting
- A well-designed instruments in enhancing collaborative practices in school improvement (eg. Democratic election of school management committee members)
- Building on local resource mobilization
- Full engagement of local education administration
- Creation of inter-connected spaces for learning and exchange
- The catalytic role of JICA project team throughout the COGES policy process

Bangladesh local infrastructure case

- A CD case of an large government organization (Local Government Engineering Department/LGED)
 - ✓ Local infrastructure development and maintenance
 - ✓ Technical support to local government etc.
- An organizational excellence in Bangladesh context
- Using participatory infrastructure planning approach

Bangladesh Local Infrastructure Local Government Engineering Department



Road construction and Road Side Tree Plantation



Women Labourers Engaged in Road Maintenance

The case of Bangladesh LGED from CD perspective

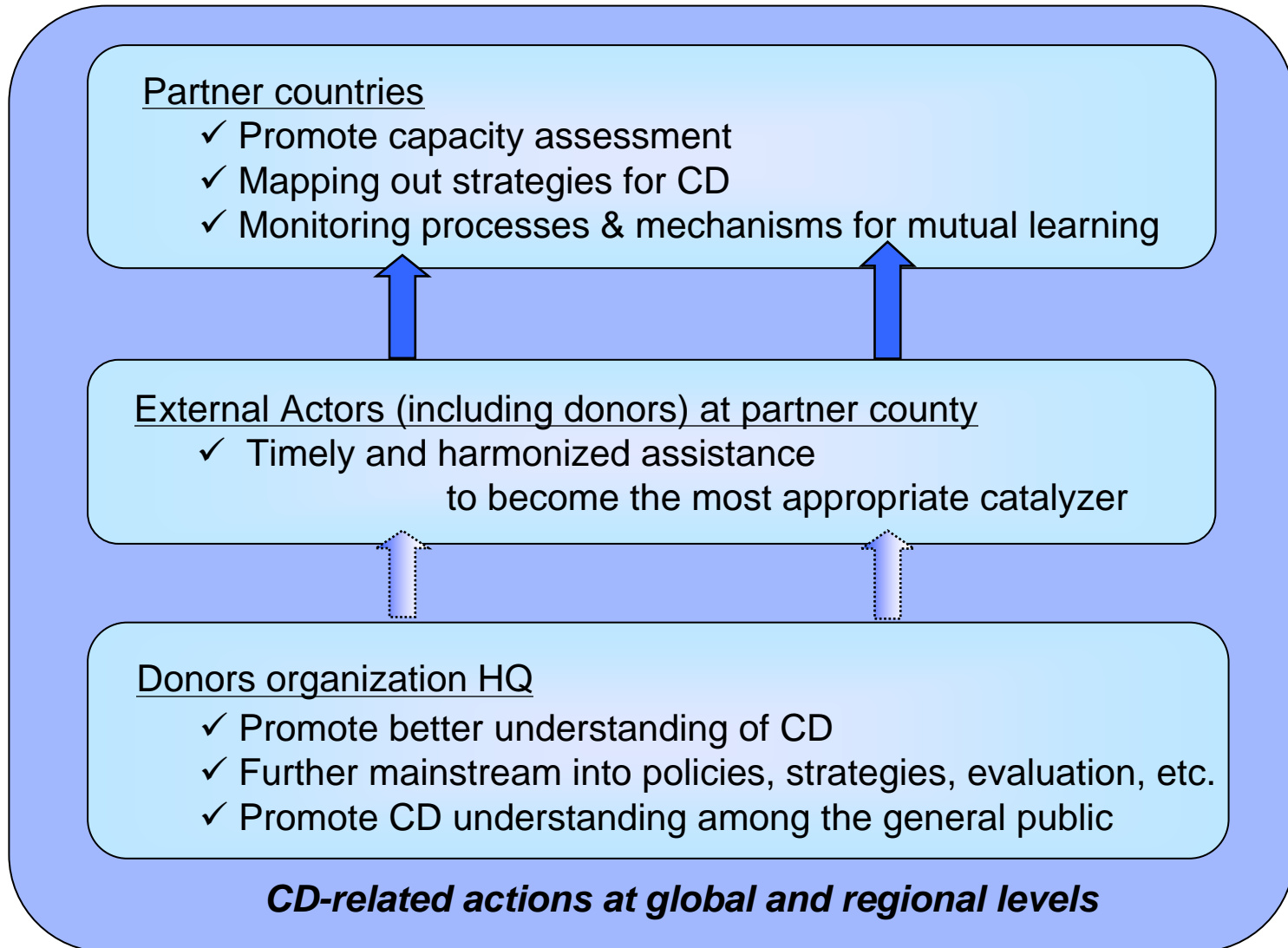
- High demand of local infrastructure in the context of flood-prone Bangladesh
- Continuing tradition of integrated participatory rural development
- Enthusiasm and leadership of founding chief executive and his management team
- High performance organizational culture
- A highly decentralized organizational structure coupled with the series of organizational re-engineering efforts
- Timely financial and technical assistance from various donors (& LGED manage those assistance quite well)

Research implications1: CD mainstreaming

Suggested actions at global and regional level

- Ensure that the **CD perspective and approach are prominent in both discussions and activities** pertaining to attainment and maintenance of the **MDGs – and beyond** – as well as for coping with **emerging challenges**.
- Strengthen global CD networks with broader stakeholders participation
- Further promote global CD learning with better access to innovative practices
- Promote joint global effort in enhancing and strengthening CD methodologies, tools, benchmarks and indicators for capacity assessment, monitoring and evaluation of CD support practices

Toward further CD mainstreaming



Research implications2: CD mainstreaming

Suggested actions by donor organization HQs

- **Promote better understanding of CD among staff**, including those in leadership positions, by providing adequate learning opportunities.
- **Further mainstream CD** into policies, strategies, guidelines, aid delivery procedures, monitoring and evaluation
- **Promote CD understanding among the general public**

Research implications3: CD mainstreaming

Suggested actions at partner country level

(Actions to be taken mainly by partner country actors, particularly by their governments)

- **Promote capacity assessments** for identifying “capacities for what for whom and in what context”
- **Mapping out strategies for CD**, including how to scale up in conjunction with other development interventions. Whenever possible, work jointly with other stakeholders, including external actors.
- **Devise adequate monitoring processes & mechanisms**, which will ensure “*Ba*” for mutual learning among country stakeholders & external actors.

Research implications4: CD mainstreaming

Suggested actions at partner country level

(Actions to be taken by external actors)

- **Deploy timely and harmonized assistance** including both financial and technical support instruments, which are carefully programmed to enhance local CD.
- Consider what **the most appropriate roles are for external actors to play**, given the local context, in order to enhance CD and produce sustainable results.

Final reflection 1: JICA on CD

Achievements and opportunities

- TC approach more oriented towards CD support away from simple technical and skill transfer model
- Long experiences in South-South and Triangular cooperation
- JICA's shift to more integrated assistance approach with broader range of aid menu incl.;
 - ✓ investment finance (loan & grant)
 - ✓ programmatic aid (loan & grant)
 - ✓ technical cooperation schemes

Final reflection2: JICA on CD

Partnering with global network

- JICA as an active player in CD-related global fora & networks
 - ✓ Learning Network on CD (LenCD)
 - ✓ CD Alliance
 - ✓ Regional network on aid effectiveness and CD (eg. Capacity Development for Development Effectiveness in Asia)
 - ✓ Paris process and upcoming Busan HLF 4

Final reflection3: JICA on CD Challenges

- Further refinement and development of aid approaches and tools for more effective CD assistance incl. capacity assessment
- Addressing capacity issues (esp. systemic capacity etc.) in closer collaboration with other development partners
- How do we effectively incorporate “capacity” aspects into “results” (evaluation) framework?

Thank you very much

- Comments welcome
- For further details, see Akio Hosono, Shunichiro Honda, Mine Sato and Mai Ono (2011), “Inside the Black Box of Capacity Development for Development Effectiveness” in Kharas et.al 2011, *Catalyzing Development*, Brookings Institution Press
- See also JICA (2006), “Towards Capacity Development (CD) of Developing Countries Based on their Ownership—Concept of CD, its Definition and its Application in JICA Projects —” and other references included in Hosono, Akio et al.(2010) which can be accessed from;
 - <http://www.jica.go.jp/english/publications/reports/study/capacity/index.html>
 - <http://www.jica.go.jp/cdstudy/index.html>