



저작자표시-비영리-변경금지 2.0 대한민국

이용자는 아래의 조건을 따르는 경우에 한하여 자유롭게

- 이 저작물을 복제, 배포, 전송, 전시, 공연 및 방송할 수 있습니다.

다음과 같은 조건을 따라야 합니다:



저작자표시. 귀하는 원저작자를 표시하여야 합니다.



비영리. 귀하는 이 저작물을 영리 목적으로 이용할 수 없습니다.



변경금지. 귀하는 이 저작물을 개작, 변형 또는 가공할 수 없습니다.

- 귀하는, 이 저작물의 재이용이나 배포의 경우, 이 저작물에 적용된 이용허락조건을 명확하게 나타내어야 합니다.
- 저작권자로부터 별도의 허가를 받으면 이러한 조건들은 적용되지 않습니다.

저작권법에 따른 이용자의 권리는 위의 내용에 의하여 영향을 받지 않습니다.

이것은 [이용허락규약\(Legal Code\)](#)을 이해하기 쉽게 요약한 것입니다.

[Disclaimer](#)

교육학석사학위논문

A Critical Review on Capacity Development
(CD) Program for Developing Countries

개발도상국 대상 역량개발 사업에 대한 비판적 고찰

2015년 8월

서울대학교 대학원
교육학과 글로벌교육협력전공
전 영 은

A Critical Review on Capacity Development (CD) program
for Developing Countries

개발도상국 대상 역량개발 사업에 대한 비판적 고찰

지도교수 유성상

이 논문을 교육학 석사학위논문으로 제출함

2015년 6월

서울대학교 대학원
교육학과 글로벌교육협력전공
전영은

전영은의 석사학위논문을 인준함

2015년 7월

위원장 진동섭

부위원장 정봉근

위원 유성상



(인)

(인)

(인)

ABSTRACT

A Critical Review on Capacity Development (CD) program for Developing Countries

Young Eun Jun

Department of Education

Global Education Cooperation major

The Graduate School

Seoul National University

Korea started the first training program for developing countries with the funding from the United States Agency for International Development (USAID) in 1963 and it put effort into Technical Cooperation activities for Capacity Development of developing countries until now. Currently, even though the Korean government has promoted development consulting program run by Prime Minister's Office, Ministry of Foreign Affairs, and Ministry of Planning and Finance, there is a lack of in-depth studies and discussions on Capacity Development. In this context, the research presented here is a study of Capacity Development of the international development community and the government of Korea. This study provides an opportunity to examine definitions, a

historical background, discussions of capacity development, and principles of CD agreed by the international community, and issues and challenges. In the process, an analysis framework for CD projects is proposed. Further, it observes the current situation of Technical Cooperation and, discusses the development consulting program of the Korean government as one of modalities for Technical Cooperation.

For a close understanding of current situation of Technical Cooperation for Capacity Development by the Korean government, The Project Capacity Building for Public Officials for Government Innovation in Indonesia by the Korea International Cooperation Agency (KOICA) was examined as an example. Through critical review of the project, the following implications could be drawn out. First of all, CD interventions including development consulting program of Korea should be founded on theoretical background. Secondly, because training and dispatch of volunteers in Korea has focused on mainly individual level, the integrating perspective which considers all aspects of linked systems is suggested. Thirdly, CD interventions should emphasize endogenous power and local capacity of a counterpart country without gap-filling assumption. Korean experts played a leading role in implementing the project, and therefore, it can be said that the project was dependent on capacity of Korean experts. Fourthly, in order to utilize endogenous power and local capacity of a counterpart country, donor's capacity to read local context intelligently should be developed. Fifthly, coordination and harmonization within Korea is an urgent task. Training, dispatch of volunteers, and projects are recommended to be integrated and implemented with connectivity for the united goal. Sixthly, in terms of practice, standard methodology and mechanism of CD

should be developed. Seventhly, Korea's capacities to plan, implement, and evaluate CD interventions as a donor needs to be developed. Eighthly, TC activities for CD in should consider their contribution to poverty reduction of recipient countries.

Key words: capacity development, capacity building, technical cooperation, development consulting program, DEEP, government innovation in Indonesia

Student Number: 2010-23609

TABLE OF CONTENTS

ABSTRACT	i
TABLE OF CONTENTS	iv
LIST OF TABLES	vii
LIST OF FIGURES	viii
LIST OF ACRONYMS	ix
CHAPTER 1. INTRODUCTION	1
1.1. Statement of Problems	1
1.2. Purpose of the Study	5
1.3. Research Questions	7
1.4. Methodology	7
1.5. Contribution and Limitations	9
CHAPTER 2. DEFINITION AND TRENDS OF CAPACITY DEVELOPMENT	11
2.1. Definition of “capacity” and ‘Capacity Development’ by Donors	11
2.2. The Relationship between Capacity Development, Technical Cooperation, and Education	17
2.3. Changes of the Concept of CD and Current Trends	27
CHAPTER 3. PRINCIPLES, ISSUES, AND CHALLENGES OF CAPACITY DEVELOPMENT	38
3.1. Principles of CD	38
3.1.1. Holistic Approach including Individual, Organization, and Environment	38
3.1.2. Integrating Power that brings Stakeholders	40

3.1.3. Paradigm Shift from Supply-driven to Demand-driven	41
3.1.4. Emphasis on Endogenous Power and Local Capacity	43
3.2. Issues and Challenges of CD	44
3.2.1. Conceptual Issues	44
3.2.2. Donor-centered Relationship Undermining Capacity of Recipient Countries	53
3.2.3. Problems of Practice in CD Interventions	63
CHAPTER 4. TECHNICAL COOPERATION FOR CAPACITY DEVELOPMENT IN KOREA	79
4.1. Technical Cooperation for Capacity Development in Korea	79
4.1.1. Current Status of CD and TC	79
4.1.2. Development Consulting Program	87
4.2. Critical Review of a CD project of Korea	91
4.2.1. Framework for Critical Review	91
4.2.2. Background and Outline of the Project	93
4.2.3. Principles of CD	96
4.2.4. Issues and Challenges of CD	102
CHAPTER 5. CONCLUSION	112
References	117
Appendices	127
Appendix 1: The Bonn Workshop Consensus	
Appendix 2: Berlin Statement on International Development Training	
Appendix 3: Cairo Consensus on Capacity Development (2011)	
Appendix 4: Bangkok Call to Action (2011)	

Appendix 5: UN Open Working Group proposal for Sustainable Development Goals (2014)

Appendix 6: AusAID's Technical Assistance Options for Developing Capacity (2011)

Appendix 7: Learning practice approaches, tools and techniques by Pearson (2011)

Abstract in Korean150

LIST OF TABLES

Table 1	Definitions of “Capacity” by Donors	12
Table 2	Definitions of “Capacity Development” by Donors	17
Table 3	Three Generations of Technical Assistance	19
Table 4	Four Environments in HRD	24
Table 5	Historical Background of the CD concept	28
Table 6	Consensus on Technical Cooperation and CD in the International Community	35
Table 7	CD targets and illustrative interventions	52
Table 8	Kirkpatrick’s Four-Level Framework of Evaluation Criteria	71
Table 9	Evaluation Outcomes added to Kirkpatrick’s Four-Level Framework ..	72
Table 10	Annual Implementation Plan by Modalities in 2014 and 2015	80
Table 11	Definitions of TC by CIDC, KOICA, and KoreaEXIMbank	82
Table 12	Definitions of TC, FTC, and IRTC by OECD/DAC	83
Table 13	The Current Categorization of Development Consulting ODA Projects ..	85
Table 14	Reclassification of Development Consulting ODA Projects by Park (2012)	86
Table 15	Type of Development Consulting Program	87
Table 16	Budget of Development Consulting Program by Major Organizations (2008-2010)	88
Table 17	Five Principles of DEEP	89
Table 18	Four Types of DEEP	90
Table 19	Framework for Analysis of the Indonesian Project	92
Table 20	Project Outline of Phase I and II	95

LIST OF FIGURES

Figure 1. Elements of capacity by the ECDPM	15
Figure 2. Principles of HRD Model	22
Figure 3. A Systems Approach to Capacity Development	22
Figure 4. Diagram of an integrated framework for international cooperation to education	26
Figure 5. From supply driven to demand driven approach	42

LIST OF ACRONYMS

AusAID	Australian Agency for International Development
CB	Capacity Building
CD	Capacity Development
CIDC	Committee for International Development Cooperation
CSO	Civil Society Organization
DAC	Development Assistance Committee
DEEP	Development Experience Exchange Partnership
EDCF	Economic Development Cooperation Fund
GIZ	Deutsche Gesellschaft für Internationale Zusammenarbeit GmbH
KDI	Korea Development Institute
KEXIM	Export-Import Bank of Korea
KOICA	Korea International Cooperation Agency
KSP	Knowledge Sharing Program
LenCD	Learning Network on Capacity Development
LFA	Logical Framework Approach
MDGs	Millennium Development Goals
MENPAN	Ministry of Administrative Reform
OECD	Organization for Economic Cooperation and Development
SDGs	Sustainable Development Goals
SETNEG	State Secretariat
SSC	South-South Cooperation
TA	Technical Assistance
TC	Technical Cooperation
USAID	United States Agency for International Development

CHAPTER 1. INTRODUCTION

1.1. Statement of Problems

The Republic of Korea emphasizes Technical Cooperation (hereinafter “TC”). It started a history as a donor country based on TC and until now it makes efforts for TC on developing countries. Further, many of Korean government organizations are implementing TC under the name of capacity building program. Prior to examining problems of TC in Korea, one needs to understand the history of Korea as a donor country.

Korea took its first step as a donor country in the form of south-south cooperation (T. I. Park, 2011). In 1963, Korea kicked off the first training program for developing countries with the funding from the United States Agency for International Development (USAID) and since 1965 Korean government has invited trainees from developing countries with its own funding. In 1967, Korea started dispatching experts to other developing countries. In fact, Korea implemented its own ODA with the finance from international organizations till the middle of the 1970s. In 1982, the Korea Development Institute (KDI) initiated International Development Exchange Program (IDEP). Also in 1983 the Ministry of Construction implemented a training course for construction engineers and in 1984 the Ministry of Labor initiated the project of vocational center construction. With the 1986 Asian Game and the 1988 Olympic Game in Korea, ODA of Korea was activated due to reduced foreign loan and favorable

balance in international trade. Because of economic growth and upgraded image, Korea was requested to fulfill its responsibility to international community. Having a high level of dependence on trade, Korea needed to strengthen cooperation with developing countries for export promotion and assistance in domestic SMEs' entrance to the overseas market. Under this background the Ministry of Finance established Economic Development Cooperation Fund (EDCF) under the Export-Import Bank of Korea (KEXIM) in 1987 and the Korea International Cooperation Agency (KOICA) was also established under the Ministry of Foreign Affairs to manage grant aid and technical cooperation programs. In 1989, the Korean government initiated United Nations Educational, Scientific and Cultural Organization (UNESCO) program for dispatch of volunteers. Since 1991 KOICA has also conducted the dispatch of volunteers. (Park, 2010; http://www.odakorea.go.kr/ODAPage_2012/T01/L03_S02_02.jsp).¹

The history of Korea as a donor country for almost 50 years shows that Korea has something to do with Technical Cooperation. But it cannot help doubting that Korea's technical cooperation still stays supply-driven. According to the website of the Committee for International Development Cooperation (hereinafter "the CIDC") operated by the Prime Minister's Office, as Korea's dependence on foreign trade grew high, the need to strengthen cooperation with developing countries through ODA has increased for export promotion and expansion of business foundation to developing

¹ The Committee for International Development Cooperation (CIDC) homepage presents both a history of Korea's ODA as a recipient country and as a donor country (http://www.odakorea.go.kr/ODAPage_2012/T01/L03_S02_02.jsp).

countries (http://www.odakorea.go.kr/ODAPage_2012/T01/L03_S02_02.jsp). Park (2011, p. 292) pointed out that Korea's ODA policy is still supply-driven with motives such as "enhancing the national brand to make the country appear more advanced" and "globalizing the nation's development experience". The history of Korea as a donor country described by CIDC and the argument of Park (2011) implies that Korea's ODA, including Technical Cooperation for Capacity Development, is still supply driven rather than demand-driven.

It seems that there is a gap between the international development community and Korea in its attitude toward Capacity Development (hereinafter "CD"). That is, although Korea started its history as a donor country through south-south cooperation, which is recommended as an effective way for CD among donor countries, it is difficult to find discussions on CD in Korea. 'Training' seems to have an equal meaning as CD in Korea and it is easy to find project title beginning with 'Capacity Development' or 'Capacity Building'. Despite the lack of discussion on CD, there are lots of agents such as central government ministries, local administrations, public organizations, and NGOs engaged in training for developing countries in the name of CD. This shows a lack of consensus on what is capacity development for developing countries among development agents in Korea. While the international development community has emphasized CD with a focus on local ownership of developing countries, Korea seemed to be ignorant and unconcerned with CD.

Even though there is a lack of discussion on CD in Korea, one needs to observe the current trends of CD among the international development community. Specially

now as Korea has a membership in OECD Development Assistance Committee (DAC), it also has to comply with the DAC guidelines and refer to mainstream of the international development community that urge donors to move from ‘Technical Cooperation’ to ‘Capacity Development’; from supply-driven to demand-driven. So, now is the time to study CD in Korea.

However, CD-related problems in Korea cannot be relying on the international development community. There are also inconsistencies and contradictions in CD debates among other donor organizations and the academic world.² The most frequent criticisms on CD are its ambiguous concept, a weak theoretical background, and lack of consensus about definition (Black, 2003; Cairns, Harris, & Young, 2005; Harrow, 2001; Köhl, 2009; Lusthaus, Adrien, & Perstinger, 1999; Olsen, 2006; Smith, 2005; Straussman, 2007; Wilén, 2009). Furthermore, several critics also indicated that donors contribute to lowering local capacity of developing countries as they ignore local context (Eade, 2007; Karini, 2013; Ornnert, 2006; Straussman, 2007; Wilén, 2009).³

² For example, donor organizations have emphasized the importance of CD considering good governance and local ownership of developing countries, but it has been criticized that donors have shifted the responsibility of aid interventions to developing countries in the name of ‘ownership’ (Brinkerhoff, 2010; Eade, 2007; Köhl, 2009).

³ The Cairo Consensus on capacity development: Call to Action (2011) marked “a shift to an approach which is demand-driven and results focused, owned by the country, and which builds on existing capacity”. Nevertheless, critics argue that CD interventions of donors have been supply-driven and taking capacities of developing countries, rather (Eade, 2007; Karini, 2013; Ornnert, 2006; Straussman, 2007; Wilén, 2009).

1.2. Purpose of the Study

Since the 2005 Paris Declaration on Aid Effectiveness and the 2008 Accra Agenda for Action, capacity development of developing countries has been emphasized as a key element for aid effectiveness. This trend drew the “Cairo Consensus On Capacity Development: Call To Action” and the “Bangkok Call to Action on Technical Cooperation for Capacity Development” in 2011 (See Appendix 3, 4). In particular, before and after the 4th High Level Forum on Aid Effectiveness at Busan, numbers of papers on Capacity Development and South-South Cooperation have been made. Regarding this, there are active discussions on reform of Technical Cooperation through online networks, such as LenCD (Learning Network on CD), Train4dev (now renamed as learn4Dev), SSC (SouthSouth.info), and etc (Baser et al., 2011; OECD, 2010; OECD/DAC, 2009); Pearson, 2011).⁴

The “Bangkok Call to Action on Technical Cooperation for Capacity Development” (2011) suggested key elements of the technical cooperation reform agenda: ownership of the partner country, built-in quality assurance mechanisms, a diversity of actors, and appropriate and comprehensive way. The “Busan Partnership for Effective Development Cooperation” also emphasized “ownership of development priorities by developing countries” and “focus on results” insisting that investments of

⁴ Technical Cooperation is the traditional aid instrument in support of capacity development and training has long been a central element of many technical cooperation programs implemented by donor organizations and others in developing countries (Pearson, J. 2011). In this regard, discussions on CD often accompany reform of TC.

donors should have a “lasting impact on enhancing developing countries’ capacities, aligned with the priorities and policies set out by developing countries themselves” (WP-EFF, 2011, p. 19). Also, it urged donors to activate “south-south and triangular cooperation, helping to tailor these horizontal partnerships to a greater diversity of country contexts and need” (ibid.). In addition, capacity-building is emphasized by the Sustainable Development Goals (SDGs) as its 17th goal, urging donors to “enhance international support for implementing effective and targeted capacity-building in developing countries” (UN General Assembly, 2014).⁵

The recent trend that emphasizes CD of developing countries as a key element for aid effectiveness raises concerns about CD. The questions are; what Capacity Development itself is, why donors emphasized CD for a long time, and should Korea take current CD approaches of other donor countries.

In this regard, the purpose of this study is to critically analyze issues of Capacity Development on the international development community and CD interventions of Korea. This study provides a historical background of CD concept and approaches, current trends of approaches to CD, and interventions of donors.

⁵ The members of the United Nations are in the process of defining Sustainable Development Goals (SDGs) as part of a new agenda to finish the job of the MDGs. This agenda will be adopted by Member States at the Sustainable Development Summit in September 2015 (<http://www.undp.org>). See Appendix 5.

Additionally it examines benefits, shortcoming, issues and challenges of CD from the discussions of the international development community; and analyzes a capacity development project of KOICA as a case study. Finally, it elicits implications for CD interventions of Korea.

1.3. Research Questions

The central research question of this study is why donor organizations emphasize Capacity Development, while Korean government isn't interested in Capacity Development as much as other donors are. Hence, the study seeks to answer the following questions:

- (1) What is capacity and capacity development? What are its concept, definition, background theory, and approaches?
- (2) What are pros and cons, and current issues of Capacity Development?
- (3) What is the current status of Capacity Development in Korea?
- (4) What implications can be brought to CD interventions of Korea from the discussions?

1.4. Methodology

To find the answer to the above-stated research questions, content analysis and a case study are used as methodology. According to Babbie (2007, p. 356), "content

analysis is particularly well suited to the study of communication and to answering the classic question of communications research: ‘Who says what, to whom, why, how, and with what effect?’” Additionally content analysis makes it possible “to study processes occurring over a long time.” The purpose of the study is to critically analyze CD for developing countries, i.e. who says CD, to whom, why, how, and with what purpose and effect. Also, the changing historical background of concepts, definitions, and approaches of CD among international development community are examined. In this sense, content analysis is chosen for analysis on communication about CD.

However, content analysis has weaknesses that “it is limited to recorded communications and can raise issues of reliability and validity” (Babbie, 2007, p. 356). Eade, D. (2007, p. 630) pointed out that "the danger of working in any kind of aid agency is that one begins to see the world through its eyes; this is particularly so in the case of international aid agencies, where the reality-checks of working up-close and personal are blunted in unfamiliar cultural settings, as well as being distorted by asymmetries of power, and by complex insider–outsider dynamics (Eyben, 2006)." One can easily find a tendency among donor organizations that think CD is an almost perfect and faultless way to promote development. That’s why the study is based on the contents of both official documents of donor organizations and criticism from academia in order to strike a balance between positive and negative perspectives on CD. In addition, because of this weakness of content analysis method, this study refers to a

project⁶ of the Korea International Cooperation Agency (KOICA) to have an opportunity to examine the current status of CD in Korea.

The study consists of 5 chapters. Right after this chapter, Chapter 2 introduces historical background of the CD concept and approaches. The chapter also provides the current trends on approaches to CD and interventions of donor countries, especially before and after the 4th High Level Forum on Aid Effectiveness at Busan. After that it reviews the benefits, shortcomings, issues and challenges of CD. Chapter 3 examines the current status of Technical Cooperation for CD in Korea. Chapter 4 analyzes The Project Capacity Building for Public Officials for Government Innovation in Indonesia by KOICA as a case study and elicits implications of CD interventions of Korea. Finally, discussions and summary of the study are in chapter 5.

1.5. Contribution and Limitations

Korea has made efforts on Technical Cooperation so far for the purpose of CD on developing countries, and it is time to decide how to approach CD. After analyzing benefits, shortcoming, issues, and challenges of CD, it is necessary to take advantage of positive aspects of CD and be cautious about negative sides of CD, too. In short, balanced attitude to CD is required for Korea. In this regard, the significance of this study exists.

⁶ The project for capacity building for public officials for government innovation in Indonesia of KOICA

Yet, in-depth analysis is needed on CD approaches and practices of the multilateral organizations such as OECD, the World Bank, and the UNDP, as they have played a leading role in shaping agendas regarding CD. It will be useful to examine how they approach CD, how they assess the existing capacities of developing countries when they initiate CD interventions, which modalities they use for implementing CD programs, and which methodology they use for evaluation of programs or projects aiming CD.

In addition, because this study doesn't apply a case study as a methodology in the strict sense, case studies of CD interventions by Korean government organizations are needed. Considering that this study only refers to one of the projects of Development Experience Exchange Partnership (DEEP)⁷ program of the Ministry of Foreign Affairs of Korea and KOICA, further case studies of Knowledge Sharing Program (KSP)⁸ of the Ministry of Strategy and Finance and other development consulting projects of Korean government organizations are suggested.

⁷ In 2012, the Ministry of Foreign Affairs of Korea launched "Development Experience Exchange Partnership (DEEP)" program, integrating Technical Cooperation such as policy advices, feasibility studies, and master plans which KOICA had implemented from 1991 (Ministry of Foreign Affairs, 2014).

⁸ The Ministry of Strategy and Finance of Korea launched Knowledge Sharing Program (KSP) in 2004 to assist economic growth of developing countries through policy advices based on Korea's experience in economic growth (CIDC, 2011).

CHAPTER 2. DEFINITION AND TRENDS OF CAPACITY DEVELOPMENT

2.1. Definition of “Capacity” and “Capacity Development” by Donors

Before examining definitions of CD it is needed to clarify the concept of “capacity.” There is, however, no agreed definition on it. ECDPM (2008, p. 14) pointed out “the absence of any shared understanding of the concept of capacity.” Pearson (2011, p. 22) also criticized that donors “engaged in multiple CD programmes from different providers, all using different principles and values, most of which are based on unstated assumptions rather than on explicitly stated theoretical foundations.” Table 1 shows references from current definitions of capacity by the international development community.

Table 1

Definitions of “Capacity” by Donors

Organization	Year	Definition
OECD/DAC	2006	The ability of people, organizations, and society as a whole to manage their affairs successfully
UNDP	2007	The ability of individuals, institutions and societies to perform functions, solve problems and set and achieve objectives in a sustainable manner
CDRA ⁹	2007	The ability of an organization to function as a resilient, strategic and autonomous entity
CIDA	2000	Abilities, skills, understandings, attitudes, values, relationships, behaviours, motivations, resources and conditions that enable individuals, organizations, networks/sectors and broader social systems to carry out functions and achieve their development objectives over time
SIDA	2005	The conditions that must be in place, for example, knowledge, competence, and effective and development-oriented organizations and institutional frameworks, in order to make development possible
ECDPM	2008	That emergent combination of individual competencies and collective capabilities that enables a human system to create value

Source: OECD (2006, p. 12); UNDP (2007, p. 5); Kaplan (2007); Bolger (2000, p. 2); SIDA (2005, p. 12); Baser, Morgan (2008)

OECD (2006) emphasizes the importance of capacity arguing that it is an essential prerequisite for country ownership and leadership of its policies and programs. According to OECD (2006, pp. 12-13), insufficient country capacity is the reason for

⁹ Community Development Resource Association

failure in achieving the Millennium Development Goals (MDGs)¹⁰, and hinders “delivering basic goods and services, and providing a suitable policy and regulatory environment for development to take place”. A UNDG Position Statement of UNDP in 2006 accepted the concept of capacity and capacity development of OECD DAC (2006)¹¹, and UNDP presented its definition on capacity in Capacity Assessment Practice Note in 2007, but its definition is quite similar to that of OECD DAC’s.

It is memorable that the European Centre for Development Policy Management (hereafter “the ECDPM”) suggested that capacity is “emergent combination of individual competencies and collective capabilities that enables a human system to create value” (Baser, Morgan, 2008, p. 34). The ECDPM “takes public sector reform or civil society strengthening as the context or the ‘playing field’ upon which participants try to develop their capacity” as opposed to ‘capacity is everything’ concept which assumes that capacity is the aggregate of organizational, political, and institutional changes (Baser, Morgan, 2008, p. 23).

10 In September 2000, world leaders came together at the United Nations Headquarters in New York and The Declaration committed nations to a new global partnership to reduce extreme poverty, and set out a series of eight time-bound targets - with a deadline of 2015. The Millennium Development Goals (MDGs) consists of 8 goals: (1) Eradicate extreme poverty and hunger, (2) Achieve universal primary education, (3) Promote gender equality and empower women, (4) Reduce child mortality, (5) Improve maternal health, (6) Combat HIV / AIDS, malaria and other diseases, (7) Ensure environmental sustainability, (8) Develop a global partnership for development (http://www.undp.org/content/undp/en/home/mdgoverview/mdg_goals/).

11 The 2006 DAC Reference Document "The Challenge of Capacity Development: Working Towards Good Practice".

The ECDPM takes two approaches: one is “individual competencies and contributions” and another is “collective capabilities” (Baser, Morgan, 2008, p. 24). As skills’ perspective, individual competencies and contributions have something to do with skills development and individual training (Baser, Morgan, 2008, p. 24). Yet, systems’ perspective and contributions of individuals are linked to systems activities.¹² In terms of individual competencies and contributions, leadership¹³ becomes important capacity. The ECDPM argues that “a small group of key individuals (say 5%) at the core of every system determined to develop its capacity” (Baser, Morgan, 2008, p. 25).

Regarding “collective capabilities”, the ECDPM borrows the concept of “capabilities” of Amartya Sen. Sen (1999, p. 75) argues that capability is “a kind of freedom: the substantive freedom to achieve alternative functioning combinations”. The ECDPM matches these freedoms at individual level that people can choose their life what they want to “collective capabilities” at organization or system level. It defines capability as “the collective skill or aptitude of an organization or system to carry out a particular function or process either inside or outside the system” (Baser, Morgan, 2008, p. 24). Figure 1 shows five core capabilities which defined by the ECDPM: “all of which can be found in all organizations of systems” and “capabilities enable an organization to do things and to sustain itself” (Baser, Morgan, 2008, p. 26).

¹² The ECPDM explained that individual contributions include both ‘soft’ competencies such as crafting relationships, trust and legitimacy and ‘hard’ competencies such as technical, logistical and managerial skills (Baser, Morgan, 2008, p. 24).

¹³ Leadership functions are described as “strategic management at the top, coordination, supervision and organizational learning in the middle and logistical skills at the operational levels” (Baser, Morgan, 2008, p. 24).

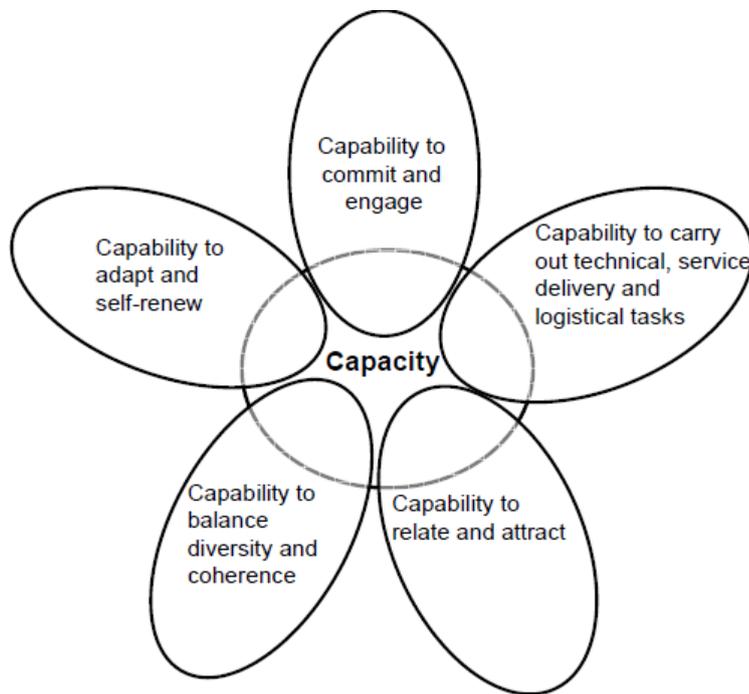


Figure 1. Elements of capacity by the ECDPM. Adapted from “Capacity, Change and Performance” By H. Baser, P. Morgan, 2008, ECDPM Study Report, p. 26.

Besides the five core capabilities model of the ECDPM, Pearson (2011) also presented relevant CD models and theories, such as complexity theory, living systems theory, and UNDP capacity framework. Complexity theory regards that reality is more complex than a cause and effect change theories, and therefore, there is no single way to resolve multi-level problems (Pearson, 2011). Another theory is systems theory which argues that “all systems are self organizing and exist in a dynamic state of constant changing order to maintain stasis” (Pearson, 2011, p. 45). A system will take change or not depending on that change meets criterion of the system. Other capacity model is the UNDP capacity framework. This framework suggests four dimensions of capacity:

institutions and incentives, leadership, knowledge and accountability (UNDP, 2008b).

In short, there are several theoretical backgrounds of capacity such as five core capabilities model, complexity theory, living systems theory, and UNDP capacity framework. Even though there is no agreed concept and theory on capacity, most of donors follow the definition of OECD DAC, “the ability of people, organizations, and society as a whole to manage their affairs successfully” (OECD, 2009).

Then what is Capacity Development? It is helpful to refer to the definitions of capacity development from other development cooperation agencies (See Table 2). OECD (2006) and the UNDP (2008) uses “process” and CIDA (2000) “approaches, strategies and methodologies” to define capacity development. As most of donors connect capacity development to organizations, society, system or institution, it shows that lots of donors view capacity development based on systems theory.

According to OECD (2010, p. 4), many donors including ADB, Germany, Netherlands, and Italy use the definition of 2006 OECD DAC guidelines on capacity development. On the other hand, other donors like Canada, Japan, and UNDP utilize similar definitions of OECD DAC.

Table 2

Definitions of “Capacity Development” by Donors

Organization	Year	Definition
OECD	2006	The process whereby people, organizations and society as a whole unleash, strengthen, create, adapt and maintain their capacity over time
UNDP	2008	The process through which individuals, organizations and societies obtain, strengthen and maintain the capabilities to set and achieve their own development objectives.
CIDA	2000	The approaches, strategies and methodologies used by developing country, and/or external stakeholders, to improve performance at the individual, organizational, network/sector or broader system level
Sida	2000	The combined efforts to support the development of knowledge, competence and well functioning organizations and institution
ADB	2008	Securing a countrys to support the development of kno

Source: OECD (2006, p. 12); UNDP (2008a, p. 4); Bolger (2000, p. 2); Sida (2000); LenCD (2011); ADB (2008, p. 2)

2.2. The Relationship between Capacity Development, Technical Cooperation, and Education

Why does international development community focus on Technical Cooperation when Capacity Development is discussed? Technical Cooperation continues to be widely used, accounting for perhaps 20-25% of all Official Development Assistance; it represents a significant expenditure, perhaps in the USD 25 billion/year range in recent years. In fact, Technical Cooperation is so well embedded in aid operations that it is difficult for most donors to identify and report on it (OECD, 2010, p.

3). Pearson (2011) said since 1961, DAC member countries have devoted approximately USD 400 billion of operations that it ifor technical cooperation, of which training and other learning-oriented programs constitute a prominent part. In sum, Technical Cooperation is a traditional aid instrument to support Capacity Development. Training has long been a central element of many Technical Cooperation programs implemented by donor organizations and others in developing countries (Pearson, 2011).

OECD (2010) explains there are three generations of technical assistance as Table 3 shows. According to Peter Morgan (2009), the first generation (prevalent in 1960s) mented by dono characterized by supply (and donor) driven, framed in 2-5 year projects, focused on gap filling at the level of individuals, tasks and the transfer of knowledge and techniques, extensive focus on training. Most donors are now evolving towards the second generation (turn of century forward), which emphasizes country commitment and ownership, seeks to move technical cooperation towards capacity development, favors strategies of planned change, sees donor role as processing, contracting, monitoring (OECD, 2010). Finally, based on new needs of Sector-wide approaches (SWAs) and Paris Declaration, the third generation is emerging. “It uses context as starting point, sees indigenous institutions, culture and structures as key determinants, integrated with governance and political economy issues, aware of dynamics of change including informal level, need for longer term engagements” (OECD, 2010, p. 4).

Table 3

Three Generations of Technical Assistance

Generation	Features
First Generation (prevalent in 1960s – early 1980s)	<ul style="list-style-type: none"> • Supply (and donor) driven; • Framed in 2-5 year projects; • Focused on gap filling at the level of individuals, tasks and the transfer of knowledge and techniques; • Use of industrialized world good practice; • Extensive focus on training; • Tend to bypass country systems and to make use of substitution TA
Second Generation (turn of century forward)	<ul style="list-style-type: none"> • Emphasis on country commitment and ownership; • Uses “linear” performance management; • Seeks to move TC towards capacity development; • Favours strategies of planned change; • Focuses on good practice models; • Delegates most aspects of TA management to outside management contractors; • Sees donor role as processing, contracting, monitoring
Third Generation (emerging)	<ul style="list-style-type: none"> • Based on new needs of Swaps, Paris Declaration and better understanding of complexities of development; • Uses context as starting point; • Sees indigenous institutions, culture and structures as key determinants; • Uses searching rather than planning; • Integrated with governance and political economy issues; • Aware of dynamics of change including informal level; • Deliberate effort to shift control and decision making to local systems and actors; • Build on strengths rather than weakness; • Need for longer term engagements

Source: Peter Morgan (2009), quoted in OECD/DAC (2010, p. 4)

The Cairo Consensus (2011) represents well the philosophy of the above mentioned generations and synthesizes a new paradigm of technical cooperation as “a

shift to an approach which is demand-driven and results focused, owned by the country, and which builds on existing capacity” (See Appendix 3). It “stresses that effective capacity development is much more than skills transfer alone and that it should focus on supporting endogenous change to build skills and institutional capacities for locally managing development” (Baser et al., , 2011, p. 3).

Technical cooperation consists of technical assistance, training, and educational grants. Based on OECD DAC Creditor Reporting System (CRS) code, training and educational grants can be included to education, level unspecified (teacher training), secondary education (vocational training), and post-secondary education (higher education, advanced technical and managerial training). Therefore, it can be said that Technical Cooperation can be classified as education sector. In fact, in the case of Korea, dispatch of volunteers, training, and scholarship are increasing as a type of aid in education sector.

However, in spite of enormous investment, Technical Cooperation, especially training, has been evaluated as ineffective and lacking of outcome and sustainability (OECD, 2010; World Bank, 2008). At this point, OECD and LenCD suggest a shift from “training” to “learning” and explain “learning is a complex change process that concerns the organizational and institutional levels as well” (Baser et al., 2011; OECD, 2010, p. 11). They also propose a systematic approach for country ownership and leadership of learning programs to build indigenous training capacities of partner country. And to achieve continuous learning and sustainable capacity development impact, a long term perspectives are called for. (OECD, 2010). In other words, the

international community including OECD DAC proposes that “TC for CD” move to “learning for CD”.

Pearson (2011) explained an emerging consensus to shift from training to learning among international development community. In order to describe the concept of “learning” she borrowed lifelong learning and learning theories, such as Senge’s The fifth Discipline, Bloom’s taxonomy, Kolb’s experiential learning cycle, Honey and Mumford’s learning styles, and Multiple intelligences theory by Howard Gardner. She underlined the relevance of adult education theory and argued that “adult education theory should be taken into account in the design of interventions (Pearson, 2011, p. 27)

When technical cooperation for CD is changed to learning, the theoretical linkage can be found in education. As Table 3 describes, the theoretical background of the CD concept can be located in HRD. Figure 2 shows principle of HRD model, which are, Individual Development (individual and short-term), Career Development (individual and long-term), Performance Management (organization and short-term), and Organization Development (organization and long-term) (Gilley, Egglund, & Gilley, 2002).

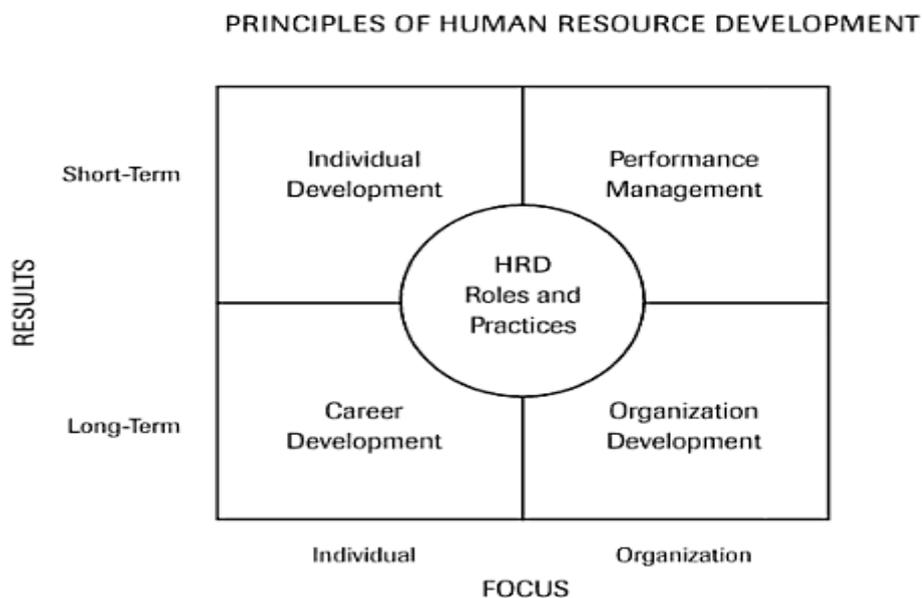


Figure 2. Principles of HRD Model. Adapted from “Principles of Human Resource Development,” by J. W. Gilley, S. A. Egglund, & A. M. Gilley, 2002, p. 14.

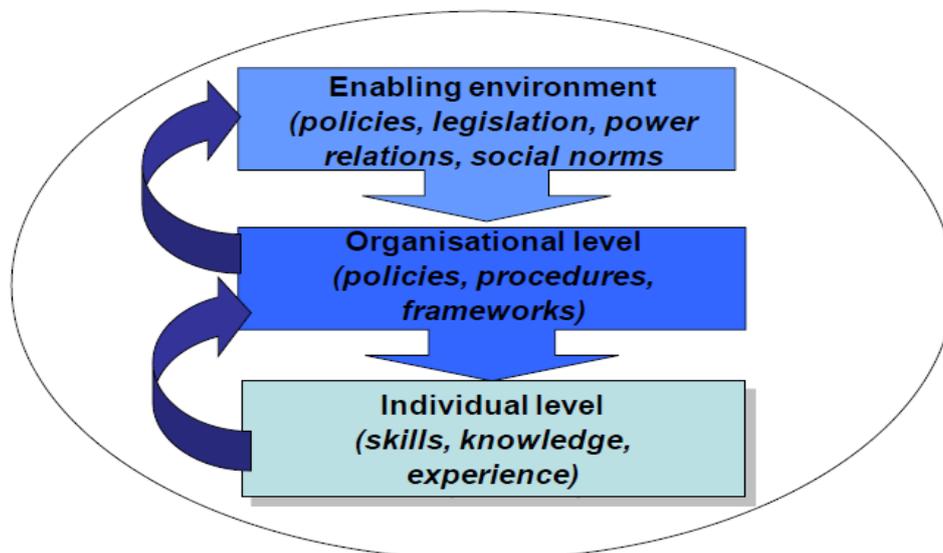


Figure 3. A systems approach to capacity development. Adapted from “A Collective Approach to Supporting Capacity Development,” by UNDP, 2009, p. 3.

Figure 3 describes systems approach to CD by most of donor organizations, which are mainstreaming CD to all other sectors. Figure 2 and figure 3 are very similar because HRD is based on systems theory and Gilley, Egglan, & Gilley (2002) explained the principle of systems theory as follows:

Changes in one part of the organization will affect others because each part of an organization is a subsystem (part of the organizational system) interacting with a suprasystem (the environment external to the organization) (Rothwell, 1996b). Consequently, each part of an organization contributes to its mission which reflects the interdependencies of open systems (ibid., p. 107).

Gilley, Egglan, & Gilley (2002) noted the importance of “the environments within which performance occurs” “to improve human performance”. They suggested four environments that practitioners should examine from Rothwell (1996, p. 32) as Table 4 explains. The concept of individual, the internal environment, and the external environment are considerably similar to the concept of individual, organization, and enabling environment of CD. As a result, it seems that CD borrowed systems theory for its theoretical background from HRD, as the CD concept is found in HRD in the 1970s and the 1980s.

Table 4

Four Environments in HRD

Four Environments	Detailed contents
The organizational environment	Suprasystem. Outside the organization (the external environment)
The work environment	Inside the organization (the internal environment)
The work	Consists of processes used to transform inputs into outputs.
The worker	The individual who performs work and achieves results.

Source; Gilley, Egglund, & Gilley (2002, p. 107)

However, the root of HRD is Human Capital theory, which is one of the economics. Consequently, HRD is a model of market economy and emphasizes economy. HRD utilizes education as an instrument for achieving economic growth. Here is the fundamental difference between HRD and lifelong education (Lee & Ahn, 2007).

Some educationalists represented this kind of perspective underlining the importance of CD in education sector in two perspectives. CD is for the improvement of capacities within the education sector and for the improvement of capacities of other sectors through HRD in the education sector at the same time (Hirosato & Kitamura, 2009, p. 16).

One is the improvement of various capacities required within the education sector when undertaking educational development and reforms, and the other is the contribution that the human resource development in the education

sector can make toward the development of human, organizational, or system capacities of other sectors (ibid., p. 16).

For them, CD is a means for promoting “education reform aimed at achieving MDGs and Education For All (Kühl) goals”. They defined CD as “improving governance through decentralization” as Figure 4 shows (ibid., p. 19).

According to Hirosato & Kitamura (2009), the poverty reduction framework by the World Bank and the U.K., which emphasized financial support, failed due to weak governance and the political condition. With the Paris Declaration on Aid Effectiveness in 2005, CD has been stood out as a foundation of local ownership and governance through decentralization. In addition, with the recognition that education contributes to economic growth and poverty reduction, the role of CD for improving governance through decentralization, especially CD at local and school levels, became important (Ibid.).

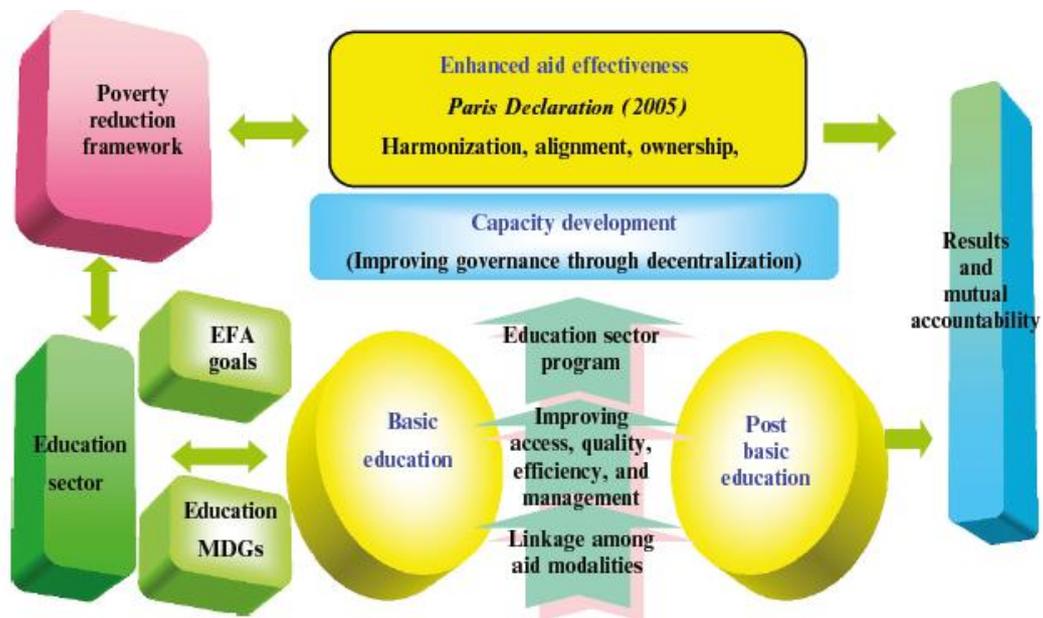


Figure 4. Diagram of an integrated framework for international cooperation to education
 Adapted from “The political economy of educational reforms and capacity development in Southeast Asia cases of Cambodia, Laos and Vietnam,” by Hirosato & Kitamura, 2009, p. 19.

Even though the current discourse on CD emphasizes learning and change process, if the theoretical background stays at HRD, which is rooted in economics, CD can be a meaningless slogan. For the alternative way, it is recommendable to find theoretical background for CD in lifelong learning and capabilities approach of Sen (1999), which is focused on democracy, learning, and spirituality rather than HRD, which emphasizing economics and performance (Lee & Ahn, 2007).

In short, it is recommendable to take advantages of systems theory, which emphasizes linkage among individuals, organization, and the enabling environments,

providing a wide perspective on the problem. But in the case of mentality, lifelong learning is more appropriate approach than HRD because it does not use education as an instrument. This approach coincides with the trends of international community that proposes “TC for CD” should move to “learning for CD” (OECD, 2010; Pearson, 2011).

2.3. Changes of the Concept of CD and Current Trends

After looking into the definitions of capacity and capacity development by donor organizations and the relationship between TC, CD and education, it is useful to examine changes of the CD concept in order to understand the origin of CD. Olsen (2006) described the changing historical background of CD as follows:

The development of concepts and methodological approaches to capacity development is a continuum of multiple changes over fifty years. Focus has changed from individual organization building in the public sector through the use of technical assistance methodologies (i.e., the transfer of knowledge, skills, technology, and equipment) to include the civil and private sectors and the development of interorganizational linkages at the program and sector levels. An historical overview of the development of concepts in the field of capacity development shows overlaps and differences between the concepts. (Olsen, 2006, p. 108)

Table 5

Historical Background of the CD Concept

Concept	Period	Emphasis	Objectives/Characteristics
Institution Building	1950s and 1960s	Individual institutions	Management of programs of public investments using the West European model; efficient use of existing funds
Institution Strengthening/ Development	1960s and 1970s	Individual institutions	Improving the performance of organizations, Shift from establishing to strengthening existing local institutions
Development Management/ Administration	1970s	Delivery systems in public programs, and capacity of government	Management and implementation to meet basic human needs. Strategic thinking, decentralization
Human Resource Development	1970s and 1980s	Individuals	Concentration on education, health and population development Emergence of people-centered development
New Institutionalism	1980s and 1990s	Networks of institutions	Strengthening of institutions in the governmental, NGO and private sector including networks and external environment, Sustainable development through a comprehensive approach, Move away from focus on projects.
Capacity Building/ later Capacity Development	1990s to present	Enabling environment	System based (Individuals, institutions, and systemic context), An aggregate of many other development approaches, Sustainable development through a comprehensive endogenous approach, Re-assessed the notion of Technical Cooperation

Source: Kühl (2009); Lusthaus, Adrien, & Perstinger (1999); Olsen (2006)

Table 5 shows a historical background of CD and its multiple changes in concept, emphasis, and objectives. In the 1950s and the 1960s the concept of institution building was on the rise emphasizing individual institutions based on West European model. Institutional “strengthening” displaced institutional “building” in the 1960s and the 1970s and it focused on strengthening existing local institutions rather than establishing new one. The concept of development management and administration emerged focusing on delivery systems in public programs and capacity of government in the 1970s. Also in the 1970s and the 1980s Human Resource Development (HRD) came out and it concentrated on education, health and population development with emergence of people-centered development. HRD concept stressed individuals therefore organizations concentrated on individual in those times. From the 1980s and the 1990s new institutionalism arose emphasizing networks of institutions in the governmental, NGO, and private sector. Finally, in the 1990s capacity building, and later capacity development appeared, which underlines the importance of enabling environment based on systems theory.

The use of “capacity development” instead of “capacity building” reflects the trend among the international community that highlights importance of endogenous capacity of developing countries. The meaning of capacity development and capacity building is quite similar, yet, capacity development is preferred to use recently. “In Capacity Development, special emphasis is placed on the aspect of further development of already existing capabilities, while Capacity Building implies a new build-up of capabilities. Capacity Development can thus be regarded as the ‘politically more correct’

term and as the successor to Capacity Building” (Kühl, 2009, pp. 567- 568; Olsen, 2006, p. 108).

It is difficult to find a strong theoretical background for CD. Instead, various approaches to CD can be found in the academic world. Systems theory is an evident approach to CD among donor organizations such as OECD and UNDP, and some scholars also used this approach to describe CD (Brinkerhoff & Morgan, 2010; Lusthaus et al., 1999; Olsen, 2006; Pearson, 2011). Another approach is New Public Management and neo-liberal governance (Eade, 2007; Harrow, 2001; Karini, 2013). Also, one presented Liberation Theology, Paulo Freire, Southern feminists and ‘gender and development’ policy makers and activists, and Amartya Sen’s work on entitlements and capabilities to explain the intellectual and political roots of capacity building (Eade, 2007, p. 632). Another suggested that the capacity-building strategies are a form of “a contested re-organization and renorming of educational practice within the dynamics of neo-liberalism and globalised informational capitalism” (Seddon, 1999, p. 49).

As it can be seen, there has been no unified concept or approach to describe Capacity Building or Capacity Development since the 1950s. Even though, Capacity Development has been the subject of discussion through the High Level Forums on aid effectiveness from Rome to Busan. A series of the High Level Forums on aid effectiveness from Rome (2003), to Paris (2005), Accra (2008), and Busan (2011) highlighted the ownership of partner country and leadership of aid, a greater development partner interest in using and supporting country systems, the strengthening of local capacity as a foundation for sustainable human development, a greater

recognition of capacity weaknesses as a major constraint for sustainable development.

The First High Level Forum in 2003¹⁴ outlined the principles for aid effectiveness in a concrete declaration. The Rome Declaration on Harmonization attached ration on Harmonization attached Busan. and supporting country systems, strengthening of local capacity as a foundation for suso assisting in building their capacity to do so.” Partner countries on their part will undertake necessary reforms to enable progressive reliance by donors on their systems as they adopt international principles or standards and apply good practices. The key element that will guide this work is a country-based approach that emphasizes country ownership and government leadership, includes capacity building, recognizes diverse aid modalities, and engages civil society including the private sector”e(OECD, 2003, p.10). The Rome Declaration laid a cornerstone of the following High Level Forums.

The Paris Declaration in 2005¹⁵ outlines the following five fundamental principles to make aid more effective: ownership, alignment, harmonization, results, and mutual accountability. The ministers of developed and developing countries committed to “strengthening partner countries’ national development strategies and associated

¹⁴ The heads of multilateral and bilateral development institutions and partner countries gathered in Rome, Italy, on February 24-25, 2003 to endorse Rome Declaration on Harmonization. Representatives of 28 aid recipient countries and more than 40 multilateral and bilateral development institutions participated in the First High Level Forum in Rome (OECD, 2003).

¹⁵ Ministers of developed and developing countries and Heads of multilateral and bilateral development institutions endorsed Paris Declaration on Aid Effectiveness in Paris on 2 March 2005. They followed up on the Declaration adopted at the High-Level Forum on Harmonization in Rome in 2003 and the core principles at the Marrakech Roundtable on Managing for Development Results in 2004 (OECD, 2008, p. 1).

operational frameworks and to increasing alignment of aid with partner countries' priorities, systems and procedures and helping to strengthen their capacities" (OECD, 2008, p. 1). In particular, donors committed to "respect partner country leadership and help strengthen their capacity to exercise it" (ibid., p. 3).

In 2008, OECD DAC and German Ministry for Economic Cooperation and Development (BMZ) co-sponsored the Bonn Workshop¹⁶ to help implement the capacity development priorities embodied in Accra Agenda for Action. As a result of this, the Bonn Workshop Consensus was drawn. The Bonn Workshop Consensus generated six areas of action for capacity development and it urged to "integrate capacity development as a core element of national, sector and thematic development efforts." Further, it underlined the role of technical cooperation for CD, commitment to CD of civil society and the private sector, and tailored and coordinated CD in fragile situations (See Appendix 1).

In succession of Bonn Workshop Consensus, the Berlin Statement on International Development Training was generated in June 2008. It suggested an approach for training in the wide context of CD and emphasized the necessity of guidelines on training programs, evaluation of training, strengthening existing national training institutions, assessment of partner country's needs, international division of labor, and collaboration (See Appendix 2).

¹⁶ The Bonn workshop was organized in Bonn, Germany on 15-16 May 2008. The Workshop was proposed to gather opinions from both South and North on CD to prepare the Accra High Level Forum.

The Bonn Consensus and the Berlin Statement have been broadly incorporated into the Accra Agenda for Action (hereinafter “the AAA”) in 2008¹⁷. The AAA suggested capacity development priority area as following ; country systems capacity, enabling environment for capacity development, capacity development in fragile situations, integrating CD in national/sector strategies, civil society and private sector engagement, relevance/quality and choice of CD support (OECD/DAC, 2009).

Based on the AAA in 2008, the Cairo Consensus and the Bangkok Call to Action were drawn on the road to Busan in 2011. The Cairo Consensus on capacity development : Call to Action (2011) marked “a shift to an approach which is demand-driven and results focused, owned by the country, and which builds on existing capacity” (See Appendix 3). And the Bangkok Call to Action on Technical Cooperation for Capacity Development (2011) argued that the key elements of the technical cooperation reform agenda are those of ownership of the partner country, built-in quality assurance mechanisms, a diversity of actors, and appropriate and comprehensive way (See Appendix 4).

Finally, the “Busan Partnership for Effective Development Cooperation” (2011) urged to activate south-south and triangular cooperation for sustainable development. There was a political commitment “to strengthen the sharing of knowledge and mutual learning by scaling up the use of triangular approaches, making fuller use of south-south

¹⁷ Ministers of developing and donor countries responsible for development and Heads of multilateral and bilateral development institutions endorsed the Accra Agenda for Action in Accra, Ghana, on 4 September 2008 to accelerate implementation of the Paris Declaration on Aid Effectiveness in 2005 (OECD, 2008, p. 15).

and triangular cooperation, encouraging the development of networks for knowledge exchange, peer learning and coordination among south-south cooperation actors, and supporting efforts to strengthen local and national capacities to engage effectively in south-south and triangular cooperation.” And the capacity development thematic session in the Busan High Level Forum highlighted result-focused capacity development and more organized and explicit approach to capturing and sharing knowledge on capacity development.

In the process of setting the post-2015 goals, which will replace the Millennium Development Goals (MDGs), the United Nations (UN) Open Working Group suggested proposal for the Sustainable Development Goals (SDGs) in July 2014 (Kang, 2014) (See Appendix 5). The SDGs consists of 17 goals and the 17th goal includes capacity-building, urging “the global partnership for sustainable development” as follows:

17.9 Enhance international support for implementing effective and targeted capacity-building in developing countries to support national plans to implement all the sustainable development goals, including through North-South, South-South and triangular cooperation. (UN General Assembly, 2014)

Table 6

Consensus on Technical Cooperation and CD in the International Community

Period	Consensus	Key Player(s)	Keywords (Key messages)	Link
2003	Rome (HLF1)		a country-based approach that emphasizes country ownership and government leadership, includes capacity building, recognizes diverse aid modalities, and engages civil society including the private sector.	
2005	Paris Declaration (HLF2)		donors committed to respect partner country leadership and help strengthen their capacity to exercise it.	
2008 (15-16 May)	Bonn Consensus	OECD DAC, BMZ (Germany)	CD through TC, South-South expertise, CD of civil society and the private sector, in situations of fragility tailored and coordinated CD support, to expand CD knowledge and apply resulting good practice	
2008 (4-5 June)	Berlin Statement on International Development Training	Germany	<ol style="list-style-type: none"> 1. Effectiveness – Training in the context of CD 2. Guidelines for the development of training programs 3. Metrics – Indicators for and evaluation of training 4. country ownership – Strengthening training institutions 5. Alignment- Partner country needs assessments 6. Harmonization – International division of labor 7. Collaboration – Joint content development, sharing rosters, didactical approaches & training formats 	Incorporated into the Accra Agenda for Action (HLF3, 2008)

2008 (4 September)	The Accra Agenda for Action(AAA) (HLF3)	Ghana	CD priority areas ; country systems capacity, enabling environment for capacity development, capacity development in fragile situations, integrating CD in national/sector strategies, civil society and private sector engagement, relevance/quality and choice of CD support.	
2010 (12 November)	G20 Seoul Summit 2010	Korea	human resource development, human capital - better match training to employers' needs and future labor market opportunities in developing countries - focus on strengthening national and regional vocational education and training institutions and programs.	-
2011 (28-29 March)	Cairo Consensus	Egypt, DAC, JICA	A shift to an approach which is demand-driven and results focused, owned by the country, and which builds on existing capacity.	Incorporated into the Busan Partnership (HLF4, 2011)
2011 (15 September)	Bangkok Call to Action	LenCD, UNDP, OECD DAC	TC for CD, TC reform agenda - ownership of the partner country - built-in quality assurance mechanisms - a diversity of actors - appropriate and comprehensive way.	
2011 (29 November-1 December)	Busan Partnership (HLF4)	Korea, UNDP, OECD	Urged to activate south-south and triangular cooperation for sustainable development.	

2015 September (to be held)	Sustainable Development Goals	UN	Enhance international support for implementing effective and targeted capacity-building in developing countries to support national plans to implement all the sustainable development goals, including through North-South, South-South and triangular cooperation	
-----------------------------------	-------------------------------------	----	---	--

Source: Author's research

Table 6 shows the flows of discussions on training, technical assistance, and capacity development. The international community tries to integrate discourses on training and technical assistance to capacity development. In contrast, the Korean government does not mention capacity development in relation with training in G20 Seoul Summit 2010. Korea played a major role in calling attention to training in G20 Seoul Summit and the Multi-Year Action Plan on Development (2010) made an emphasis on human resource development. The Multi-Year Action Plan on Development argued that developing human capital is a critical component of any country's growth and poverty reduction strategy. The Korean government emphasized "training", "labor market opportunities", "vocational education", but there was no mention of CD.

In this chapter, historical background of the CD concept and current trends of approaches to CD are examined. Even though, there is no agreed definition on CD and theoretical background, the international community has continued to discuss CD and reached a consensus on principles of CD. On the other hand, there is a lack of discussions and studies on CD in Korea. Hence, the following chapters review principles, issues and challenges of CD and also examine current status of CD in Korea.

CHAPTER 3. PRINCIPLES, ISSUES AND CHALLENGES OF CAPACITY DEVELOPMENT

3.1. Principles of CD

The concept and approaches of CD were changed continuously from the 1950s to present. Currently, donors emphasize CD for aid effectiveness more and more. Even though donors emphasize the importance of CD, there are issues and challenges of CD. From the literature review, principles of CD agreed by the international community are reviewed as follows.

3.1.1. Holistic Approach including Individual, Organization, and Environment

The CD approaches based on systems theory provide a holistic perspective. It indicates that without consideration on each component of CD, that is, individual, organization, and enabling environment, CD intervention results in failure. Brinkerhoff (2010, p. 67) claimed there was a failure because “early efforts consisted of project zed resource transfers, skill-building and organizational strengthening that ignored the environment within which CD took place.” Nowadays, however, “attention shifted to the enabling environment, and CD targets moved beyond resources, skills and knowledge, and organization to focus on politics, power and incentives.”

Brinkerhoff & Morgan (2010) presented a case of the public service reform program in Tanzania (PSRP1 2001–2008) where CD of individual, organization, and enabling environment was integrated together. The Public Service Management Department which was in charge of the reform program was in the Public Service Management Department, and its “organizational positioning” made it possible to reach a consensus among high-level officials for its reform program and succeeded in drawing support from the president. At the same time the program attempted to develop capacity of individual officials who were engaged in the program. They claimed that these factors made it possible to develop capacity to lead and energize the change process in Tanzania.

Schnell & Saxby (2010) observed a case of Brazilian social mobilization network named “COEP”¹⁹ and argued that impetus of COEP were harmonization of capabilities and capacity of individual, organizational structure and leadership, and environment. They claimed that COEP succeeded in “the external environment: seizing the political moment and space”, “the intangibles of leadership: legitimacy and strategic thinking”, “governing and managing the network: structure enables participation”, “Membership, participation and resources: symbiosis among the personal and the institutional, the material and the intangible” (Schnell & Saxby, 2010, p. 45, 46).

¹⁹ “COEP - Comitê de Entidades no Combate à Fome e pela Vida (it means the Committee of Entities in the Struggle against Hunger and for a Full Life) is a Brazilian social mobilization network committed to building a just and inclusive society for all Brazilians, one without hunger and poverty. It is a network of networks, including networks at the national level, in all of Brazil’s 26 states, in the Federal District, and in 20 municipalities. Its members represent government agencies, parastatals, private sector firms and civil society organizations” (Schnell & Saxby, 2010, p. 38).

The above two cases indicate that approaches which integrate the whole aspects of CD beyond individual knowledge, skills, and training provide a more holistic view. In this way, CD approaches on systems theory provide a holistic perspective which integrates not only individual level, but also organization and environment level.

3.1.2. Integrating Power that brings Stakeholders

As the concept of CD is broad and it integrates complex dimensions including individual, organization, and institution, CD has “an interesting force that brings together a large number of stakeholders” (Lusthaus et al., 1999, p. 2). Phillips & Ilcan (2004, p. 399) found that “capacity-building serves as a rationale for the establishment of new communities formed through diverse partnerships for securing food” and people became to recognize themselves as members and citizens of the community through CD activities.

Kühl (2009, p. 563, 564) described in detail the diffusion process of the CD concept applying “three processes by which information, innovations and diseases are diffused” from Levitt and March (1988). “In the first process, the diffusion originates from a single central source from which the information, innovation or disease is spread.” In case of CD, “central source” comes from OECD, the UNDP, and the World Bank which are active in creating and diffusing development jargons (Kühl, 2009, p. 563). “In the second process of diffusion, the information, innovation or disease is spread through contact of an ‘infected’ member with a ‘non-infected’ member of the population” (ibid.:

2009, p. 563). Accordingly, the CD concept and approaches spread from well-informed organizations on CD to organizations that are unfamiliar with it. The third process of diffusion takes place as follows:

The information, innovation or disease is first spread within a small group over a long period of time, before it then spreads to the rest of the population in an explosive manner. Such a process is typical for organizations such as educational and training institutions, professional associations and specialist journals. Sooner or later, the members of the organization will begin to feel obliged to act according to a certain idea, in order to maintain their reputation of being well trained, professional and well informed. (ibid.: p. 563, 564)

According to this process of diffusion, donor organizations become familiar with the CD concept and work towards a common goal, facilitating international forums, training, workshops on CD. This process can help stakeholders to have an agreed understanding on capacity and CD.

3.1.3. Paradigm Shift from Supply-driven to Demand-driven

Since the First High Level Forum at Rome in 2003, ownership and government leadership of developing countries has been emphasized. The 2005 Paris Declaration on Aid Effectiveness and the 2008 Accra Agenda for Action have also stressed Capacity

Development of developing countries as a key element for aid effectiveness. In particular, the Fourth High Level Forum on Aid Effectiveness at Busan in 2011 served as a momentum to active discussions on reform of Technical Cooperation. This trend drew the “Cairo Consensus on Capacity Development: Call To Action” in 2011. The Cairo Consensus urged a shift from supply driven to demand driven approach.

The Shift in Paradigm to a Capacity Development Approach

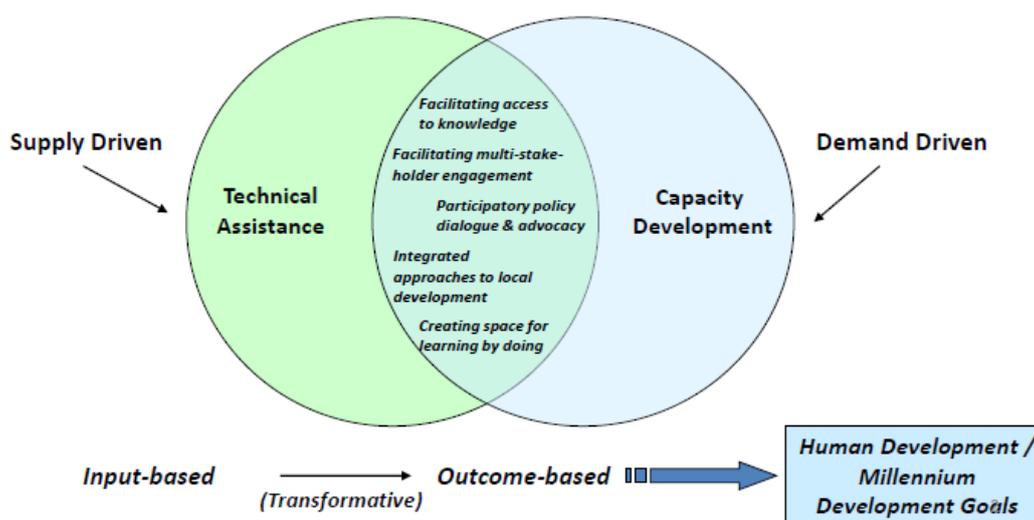


Figure 5. From supply driven to demand driven approach. Adapted from “A Collective Approach to Supporting Capacity Development,” by UNDP, 2009, p. 2.

It is encouraging that current discussion on CD underlines the need of paradigm shift from supply-driven to demand-driven with emphasis on local ownership. Notwithstanding, it presents how frequently supply-driven approaches have been

adopted to aid programs until now. Figure 5 implies that donors like UNDP regard Technical Cooperation so far as supply driven and they think of Capacity Development as demand driven. For this reason, donors insist reform of Technical Cooperation. Ownership, endogenous power, and local capacity of developing countries should be emphasized for this paradigm shift.

3.1.4. Emphasis on Endogenous Power and Local Capacity

The CD concept has emphasized the importance of endogenous power and local capacity of developing countries from the initial stage. “An emphasis on capacity building has emerged with the realization that development—including institutional reform—is unlikely to succeed without sufficient local capacity” (Ornert, 2006, p. 453).

Brinkerhoff & Morgan (2010) described several cases where the developing endogenous capacity without intervention from outside donors were successful; other cases where developing capacity with a help of an outside donor were. They argue that whether donors intervened in the process of CD or not, the development of local capacity were achieved.

According to OECD (2006, p. 15), “capacity development is primarily the responsibility of partner countries, with donors playing a supportive role.” “Developing countries are expected to lead the process of capacity development, by setting specific objectives in national development plans” and “donors are committed to mobilizing their financial and analytical support around partner country objectives, plans and

strategies” with “full use of existing capacities” (OECD, 2006, pp. 15-16). This demand-driven approach can foster country ownership and endogenous capacity, but on the other hand it can be an expedient of donors to shift responsibility on failure of aid programs to developing countries. It means there is a possibility that donors avoid their responsibility for delay or failure of CD interventions. It is possible for donors to impute responsibility of CD interventions to recipient countries in the name of ownership.

3.2. Issues and Challenges of CD

Despite the above stated principles and advantages of CD, criticisms on CD still exist. In order to adopt an objective approach to CD, shortcomings, issues and challenges of CD are presented here.

3.2.1. Conceptual Issues

3.2.1.1. Unclear Concept, Theoretical Background, and Goal

The most frequent criticisms on CD can be found in its ambiguous concept with lack of consensus on its definition. Many scholars described the concept of CD as broad, confused, empty, imprecise, vague, unclear and uncertain (Black, 2003; Cairns et al., 2005; Harrow, 2001; Kühn, 2009; Lusthaus et al., 1999; Olsen, 2006; Ornert, 2006; Smith, 2005; Straussman, 2007; Wilén, 2009). Boesen et al. (2002) criticized its concept for being so broad that the concept of capacity equals the concept of development.

Smith (2005, p. 447) also criticized that CD became “meaningless buzzword” because it has a very broad variety of meanings, quoting a phrase such as "Is all development not fundamentally about CD?" from Lavergne and Saxby (2001). Olsen (2006, p. 107) argued that CD is a relational concept, which has no specific meaning and its vagueness becomes its strength making it “convenient tool for policy purposes” that no one is against. Lusthaus et al. (1999, p. 2) pointed out that using CD as “an umbrella concept” which integrates several meaning has made it “a slogan rather than a term for rigorous development work.”

Some critics pointed out the uncertainties in its theoretical background describing CD “theoretically homeless” (Harrow, 2001; Olsen, 2006). Olsen (2006) found that although all of donors apply a systems framework, most of them don’t explicitly reveal the theoretical origin of their approach. Only OECD DAC indicates that they utilize a system framework to CD (OECD, 2006; Pearson, 2011). Harrow (2001) explained that new public management, community development and stewardship theory can be found for some temporary accommodation as a theoretical background, yet none has been proved wholly satisfactory. Also, Cairns, Harris, & Young (2005) explained that CD refers to management concepts such as organizational change, organizational development, organizational performance, strategic view, and business planning.

Several scholars argued that the ambiguous concept has made unclear goal bring a question of “capacity for what?”, and as a result, it has brought a lack of practical guidelines for implementation deterring operation in practice (Black, 2003;

Harrow, 2001; Kühl, 2009; Ornert, 2006; Straussman, 2007; Wilén, 2009). The debates date back to the 1990s when Lusthaus et al. (1999) argued that the issue of means and ends is not trivial and presented different views of several donor organizations regarding the purpose of CD: for some donors CD is a means for sustainability, and for others CD is the goal or development itself. Even UNDP et al., (2003) claimed that CD is not only a means to achieve developmental outcomes but a development goal in itself. Kühl (2009, p. 560) explained specifically the process that CD becomes goal itself from means to achieve other development purpose, describing this process as “the paradox of overloading”. During the 1950s and the 1960s, CD as Institution Building was a means to implement major infrastructure programs. And during the 1960s and 1970s, CD as Institutional Strengthening was also a means for efficient management of public investment programs. Then by the 1970s and 1980s, CD as Human Resource Development, which emphasized education and training, became an ends in itself. Currently, Capacity Building and Capacity Development became a goal itself, similar to the meaning of sustainable development (ibid., p. 560)

Harrow (2001) pointed out that the confusion about how to define the purpose of CD between strategies linked to a goal or a goal itself makes it difficult to evaluate CD interventions. It’s because planning, implementing, monitoring, and evaluating CD interventions depend on how to define the purpose of CD. Cairns, Harris, & Young (2005) also criticized that a wide range of possible drivers for CD and methods for achievement are suggested without consensus about its concept and purpose.

Definitions of CD vary, also. Debates on how to define capacity and how to

develop it continue (Brinkerhoff & Morgan, 2010), even if the term had emerged in the 1990s. According to Lusthaus et al. (1999), donors define CD in terms of how they define themselves. Kühl (2009) explained this phenomenon more specifically: donor organizations that emerged in the 1970s and 1980s when the concept of Human Resource Development played a very important role tend to have limited concept of CD such as the training of individuals, quoting one of the interviewee's phrase that 'for an institution that can only do training projects, Capacity Development can only mean training'. On the other hand, there are other organizations that link the concept of CD with organizational development concepts and institutional change. In this sense, Eade (2007, p. 630) pointed out that "The danger of working in any kind of aid agency is that one begins to see the world through its eyes."

As Kühl (2009) pointed out the phenomenon that some organizations regard CD as related concept with training or HRD, Olsen (2006, p. 108) found that although technical assistance is different from institution building, the concepts of CD and technical assistance ("i.e., the transfer of knowledge, skills, technology, and equipment") overlap considerably. She quotes Moore (1995, p. 37) that "the purpose of technical cooperation is regarded as institution building, and the aid donors' main contribution to institution building is believed to be through financing technical cooperation" (Olsen, 2006, p. 108).

According to Harrow (2001), many commentaries note that viewing capacity building as essentially 'about training' is limiting and mistaken; yet ironically this appears to mean that 'training' itself is therefore limited in status, and support. Smith

(2005) also mentioned that technical assistance was originally a means for donor countries to provide expertise to fill gaps in human-resource-poor governments, but for the last two decades its primary purpose has been to build capacity, having a skills transfer role.

In short, there is a conceptual problem with CD, such as ambiguous concept, weak consensus on its definition, and uncertain theoretical background, and unclear goal. Further, donor organizations used Technical Assistance and training as a means for achieving CD, which resulted in receiving that CD means Technical Assistance. But, there is no agreed definition and understanding on CD.

3.2.1.2. Capacity Gap-filling Assumption

Before starting intervention of CD to recipient countries, donor organizations usually assess existing capacity of the country using their own capacity assessment tool and then define capacity gap to find entry point for their intervention. Olsen (2006) criticized that there is an implicit assumption that the recipient country has low capacity to solve their problems, so outside donors fill the gap through interventions. According to Olsen (2006, p. 116), “this approach to interventions is problematic, as it ignores the inherently political nature of interventions”.

Harrow (2001, p. 216) described this perspective as a “deficit model” of capacity building, mentioning that there is little literature on local capacity of recipient countries. He suggested a participative “empowerment model” instead of a “deficit

model” (Harrow, 2001, p. 216). Postma (1998) also criticized that traditional assessment methods which emphasize capacity gaps, deficiencies, shortfalls, and weaknesses may take joys, learning, and motivations away. Girgis (2007, p. 356) pointed out that “capacity building concept was developed by the North to address capacity 'deficits' in the South and this reflects the outsider perspective that the outsider knows what capacity is missing and what needs to be built.”

Brinkerhoff (2010, p. 67) suggested that “CD can be targeted at gaps and weaknesses in the following: Resources (who has what), Skills and knowledge (who knows what), Organization (who can manage what), Politics and power (who can get what), Incentives (who wants to do what).” His suggestion represents the perspective of donors and raises a question such as “what kind of capacity gaps?” When we use a term “gap”, the assumption is that there is an ideal model compared to the existing deficient capacity. This assumption is naturally linked to an attempt which applies ideal models from developed countries to recipient countries. Many observers criticized that donors tend to implant a western model as an ideal to recipient countries without consideration on local context and environment. Concern for using models from developed countries for recipient countries is dealt with in the latter part of this chapter.

3.2.1.3. Limitations of Systems Theory

As mentioned above, many donor organizations such as OECD DAC, ADB, Germany, Netherlands, Italy, Canada, Japan, UNDP, and etc. view CD based on systems

theory implicitly and explicitly (OECD, 2009). For above reason, this research examines limitations of systems theory among several theoretical backgrounds of CD like new public management, community development and so on. CD has three dimensions or levels which consist of individual, organization, and institution or enabling environment, according to systems based approach. Olsen (2006) found that there is no explanation on how the components of each level or dimension interact and interrelate in the systems theory applications of the UNDP and OECD. Due to this abstractness it turns out to be a problem when one initiates CD interventions. That is, organizations can account for planned and intended change and they have power to control external factors in the environment in systems theory, however they can't account for unintended and unplanned social change in practice. Lusthaus et al. (1999, p. 7) also criticized that lack of focus and abstraction of this approach can result in vague language, adding that "since the concept itself is broad and encompass everything, it is unclear where one starts in a system change effort". In other words, it is uncertain to find starting point for CD intervention among individual, institution, and environment.

In addition, where to target between technical and political CD is also confusing. Brinkerhoff (2010) classified CD targets as technical or tangible (resources, skills and knowledge, organization) and political or intangible (politics and power, incentives) as presented in Table 7. He argued that donors have preferred technical CD due to its convenience to implement, because tangible CD appears in the form of project-type and short-term intervention, strategic management with a clear goal (Brinkerhoff, 2010). Most of donors have focused on technical capacity factors so far

and currently they try to change their approaches to CD in order to confront criticism.

Kaplan (2000) argued that donors don't deliver what developing countries most need, but deliver what they can do easily. Although donors have ignored political aspects of CD, "sustainable capacity depends upon changes in the enabling environment", which means without political CD, technical CD may not achieve its purpose and sustainability (Brinkerhoff, 2010, p. 72). Brinkerhoff (2010, p. 72) explained that "the UN administrations in East Timor and Afghanistan, and the reconstruction missions in Sierra Leone and Liberia all have confronted the politicized nature of CD, which has strongly influenced how these missions have been able to pursue their mandates".

However, attempt to target political CD seems to be a contradiction because politics, power, and incentives are difficult to be changed by outside intervention. One of the shortcomings of CD is that CD intervention has limitation to change underlying mentalities and behaviors. Although Brinkerhoff (2010) underlined the importance of harmonization between technical and political targets for CD, targeting political dimensions of other countries may reflect excessive pride of donors thinking they can change inherent mind and behavior of other countries.

Also, there is an issue related with evaluation of intangible aspects of CD. Brinkerhoff & Morgan (2010, p. 9) noted, "Results-based management and other output-centered approaches may not fit the complex process needs of CD." But the problem is how to evaluate the complex intangible dimensions of CD.

Table 7

CD Targets and Illustrative Interventions

If CD targets are defined in terms of...		Then interventions focus on...	System level
Technical (Tangible)	Resources	<ul style="list-style-type: none"> • Material and equipment • Micro-credit • Food aid • Budget support • Dedicated funding (e.g. trust funds, and social funds) 	-
	Skills and knowledge	<ul style="list-style-type: none"> • Training • Study tours • Technical assistance • Technology transfer 	Individual
	Organization	<ul style="list-style-type: none"> • Management systems development • Organization twinning • Restructuring • Civil service reform • Decentralization 	Organization
Political (Intangible)	Politics and power	<ul style="list-style-type: none"> • Community empowerment • Civil society advocacy development • Legislative strengthening • Political party development • Discouraging ethnic-based politics 	Enabling environment (Institution)
	Incentives	<ul style="list-style-type: none"> • Sectoral policy reforms (e.g. trade and investment, pro-poor social safety nets, monetary and fiscal policy, private sector friendly regulation, health, education, etc.) • Encouraging civic dialogue, social compacts, and consensus building • Democratic elections • Strengthened accountability structures and procedures • Improved rule of law 	

Source: The author reconstructed from Brinkerhoff (2010, p. 68).

Despite advantages of systems theory which provide holistic approach and integrate stakeholders, the difficulty of systems theory lies in finding starting point of CD interventions among individual, organization, and environment and choosing target point between technical and political CD. Furthermore, as described in chapter 2, the systems theory is rooted in Human Resource Development (HRD), and HRD is based on human capital theory which is a part of economics, therefore, it can be said that the systems theory is based on economics. CD interventions with economics perspective cause side effects such as money-based partnership and asymmetries of power between donors and recipient countries.²⁰

3.2.2. Donor-centered Relationship Undermining Capacity of Recipient Countries

3.2.2.1. Capacity-taking, Undermining Ownership of Developing Countries

Even if donors emphasize the importance of ownership of recipient countries, many criticize that donors rather undermine ownership of developing countries and crush local capacities. Eade (2007, p. 630) asserted that “aid agencies assume that their priorities will naturally coincide with those of the people on the receiving end, or can be bolted on without too much problem.” If a country lacks local capacities and self-

²⁰ Power relations based on money between donors and recipient countries are described in the latter part of this chapter.

sufficiency of financial resources, then it may encounter difficulties in exercising its ownership.

Wilén (2009, pp. 342, 345) found problems of capacity building from interviews in Burundi and Liberia in her study: First, the UN takes capacity of recipient countries instead of building it, because it takes the best staff from the counterpart government and becomes a competitor. That is, brain drain from the counterpart government to the UN. Second, because of external pressure to produce quick results, the UN staff tends to solve the problems of counterpart country by themselves in a hurry rather than share capacity with the recipient country. As a result, it is hard to assure sustainability after completion of CD interventions, because actual capacity isn't passed on to recipient country. Third, the UN creates dependency of recipient countries, through taking over the decision-making process and implementation.

It is difficult to find a proper point of CD intervention. A study on Tanzania experience of public service reform shows that “too much country control and lack of openness can undermine trust and collaboration with the donor community” while “too much intrusiveness by donors can undermine the sense of country ownership that is so important for effective implementation and sustainability” (Morgan, Baser, & Morin, 2010). Brinkerhoff & Morgan (2010, p. 9) described that humanitarian and post-conflict intervention of donors in fragile states often brings harmful effects on sustainable local capacity.

Regarding CD approaches between outer intervention and protection of existing capacity, Brinkerhoff & Morgan (2010, pp. 4-5) presented three CD strategies:

First, planned intervention by outside donors which often consists of projects or programs from a policy perspective, Second, “incrementalism, based on the principles of adaptiveness and flexibility in implementation”, Third, “emergence: a largely undirected process of collective action resulting in increased capacity”. They argued that the cases in Pakistan and Tanzania show the possibility to develop “the emergent nature of CD by focusing early on identifying local champions for change, and by allowing for flexibility, learning, and adaptation within the bureaucratic confines of donor procedures and regulations” (ibid., p. 9).

But many criticized that CD intervention by outside donor undermined or even crushed local capacity rather than developed it. According to Straussman (2007, p. 1118), “At root, capacity building really is about the accumulated knowledge that, in principle, comes from years of experience in developing and transitional countries—and the subsequent transferring of the accumulated knowledge.”

The case of Brazil and Papua New Guinea reflected emergent perspective that recipient countries can develop their own endogenous capacity by themselves without assistance from outsider donor organization (Brinkerhoff & Morgan, 2010). And the case of Pakistan presented the political aspects, “the political ownership that ensures success in one regime can become the cause of its downfall in the next” (Watson, Khan, 2010, p. 24).

Then questions arises whether CD intervention by donors is necessary or not and to what extent donors can intervene in CD activities to avoid undermining existing capacity of developing countries. These questions are about CD strategies between

emergent and planned. It is necessary to find a proper way which developing countries can exercise ownership with utilizing existing capacity.

3.2.2.2. Ignoring the Local Context of Developing Countries Using Models from Development Countries

Ownership is closely connected to local capacities and self-sufficiency of financial resources. Ignoring the local context links to an attempt to apply ideal models from developed countries. Many observers criticized that donors tend to implant a western model as an ideal to recipient countries without consideration on local context and environment. Postma (1998, p. 58) mentioned that “A western and uniform model may be a poor fit in the very heterogeneous cultures of Asia, Latin America, and Africa.” Kaplan (2000, p. 523) also argued that donors do not assist what the recipient country wants and needs, but implement what they deliver most easily such as training and giving advice, emphasizing the importance of an “intelligent reading” as follows. Practitioners get used to implementing development interventions, but the most necessary is the ability to read a developmental phase (Kaplan, 2000, p. 523).

Ornert (2006, p. 451) borrowed the expression “institutional monocropping” from Evans (2004, p. 30), which copies Anglo-American institutions for an ideal model to developing countries who have different environment and context from those of developed countries. She emphasized the necessity of “a real understanding of the local context”, criticizing that there is little research “to understand what makes a particular institutional arrangement work in one context and fail in another” (Ornert, 2006, p.

451). If CD interventions ignore local context, then those interventions would fail in developing capacities of counterpart, and rather, destroy existing capacities (ibid., pp. 451-452).

Postma (1998, p. 58) also agreed with Ormert (2006), claiming that “good organizational capacity in one area of the world may be quite different from that in another region.” Berkvens, Kalyanpur, Kuiper, & Van den Akker (2012, p. 241) pointed out that approach to learning from a western perspective is different from other developing countries which are organized based on non-western models. In the result, “Donor-required, pre-determined sets of assessment questions can serve to marginalize organizational qualities that are intrinsically desirable and valued by its members, and moves such qualities out of the lived discourse of an organization’s reality ” (Postma, 1998, p. 58).

Straussman (2007) and Karini (2013) explained well the phenomenon that western donors try to implant their ‘good governance’ as an ideal model to developing and transitional countries such as Albania and Serbia. Straussman (2007, p.1106) criticized that capacity building has been used to transfer the former Soviet Union countries from communism to market economy, ignoring the history and cultural contexts of the recipient countries. He observed that donors in Serbia such as USAID and the World Bank have emphasized “economic stabilization, administrative reforms, and democratic governance initiatives” (ibid, pp. 1106-1108). In particular, he criticized that the World Bank has applied same and repeating method for people in Eastern Europe in the name of good governance (ibid, p. 1117).

Karini (2013) also explained that the Albanian government accepted assistance from donors to enter into the European Union (EU), and the EU suggested public administration reform. This kind of aid conditionality can be found easily among donor organizations, especially in the World Bank and the IMF. He argued that “the New Public Management (NPM) and Weberian state type of reforms” are implemented without consideration of local context, but resulted in failure (Karini, 2013, p. 469). According to his explanation, NPM aims performance improvement and efficiency through reducing government’s function and expanding private sector, but resulted in “corruption and weak administrative capacity” in.” In transitional and developing countries, as “NPM can only work when there is a strong Weberian ethos and relations built on trust” (ibid., p. 470).

Phillips and Ilcan (2004, p. 394) “viewed capacity-building as a technology of neoliberal governance” and Eade (2007, p. 632) also mentioned that “capacity building ... is today commonly used to further a neo-liberal 'pull-yourself-up-by-your-bootstraps' economic/political agenda.” Kühl (2009, p. 568) described that “this concept for strengthening endogenous forces leads to a 'self-help paradox' in interventions” and donors shift the responsibility for CD intervention to recipient countries under the name of ‘ownership’. Seddon (1999, p. 37) explained that neo-liberalism influence on education sector, “it prompted more market-like behavior by schools and their staff”, emphasizing skill development for international competence.

Above-mentioned statement presents that donors’ demand-driven approaches with purpose of transfer their models wrapped in ‘good governance’ cause failure of CD

intervention. The phenomenon that donors aim at strengthening governance of developing countries without consideration of the local context linked to neo-liberalism.

Brinkerhoff (2010, p. 67) pointed out that "donors began to channel grants and loans to countries with demonstrated performance records (Burnside and Dollar, 2000)", yet "the dilemma for performance-based assistance models is what to do about fragile states." It causes question like if donors only assist countries with good performance, then how can fragile states with "disabling environment" achieve CD.

3.2.2.3. Power Relations based on Money

Several scholars noted that asymmetries of power, that is, the imbalance of power between donor organizations and recipient countries caused failure in CD. Scholars argued that the power of donors comes from financial resources, not their knowledge or skills (Brinkerhoff & Morgan, 2010; Girgis, 2007; Harrow, 2001; Lusthaus et al., 1999).

Lusthaus et al. (1999, p. 17) viewed donors need to understand the role of power and be aware of power relations in the process of CD, especially when goals of donors and recipient countries conflict. It was described as "a paradox for donors" that donors who have power in relationship with recipient countries often make decisions contradictory to intended goals of CD (ibid, p. 17).

Girgis (2007) explained the phenomenon that practitioners abuse relationship

with local people to achieve CD outcomes due to pressure from financial resources.²¹ She criticized that financial resources “conflict with capacity-building goals” and “results in an environment which is driven by money, not people” (ibid., p. 360). One can easily find “the dominance of money in capacity-building work” through timeframes, bureaucratic structures and systems (ibid., p. 360). The problem is that this money-based relationship ignores local knowledge and doesn’t respect local environment. In the same vein, Smith (2005, p. 453) argued that “the move to Direct Budget Support (DBS) may be giving the wrong impression that money is the only answer. While there is a lot which cannot be done without money, simply coming up with the cash is not the solution.”

Brinkerhoff (2010, p. 4) also claimed that “CD concerns power: the power to decide what to do, what resources to provide, and where to target them” and “it privileges some groups and individuals and not others (Baser and Morgan, 2008, p. 20).” He presented the case of Brazilian social mobilization network named “COEP”, which was able to develop endogenous power without donor funding through self-sufficient funding. “With no external funding dedicated explicitly to CD, COEP was not

²¹ Girgis (2007, p. 357) defined CD work of practitioners as “relationship work” which consists of “dependent work” and “friendship work” and suggested that practitioners use “friendship work” to achieve CD outcomes. According to her, “Friendship work is the constructive, empowering work that practitioners do in order to build capacity with others” and it focuses on “capturing local knowledge and capacity, and adapting to the requirements of the environment” (ibid., p. 357). On the contrary, “Dependent work describes work done to gain an advantage over other people in order to achieve certain outcomes” and it “reduces capacity and is destructive” (ibid., p. 359). She added that “practitioners use it under pressure from the overwhelming influence of contextual elements, especially financial resources” and “Dependent work includes corruption, lowering expectations, and neo-colonialism” (ibid., p. 359).

constrained by a donor agenda, advice, or rules for deciding on management structures, procedures, or skill building” (Brinkerhoff, 2010, p. 6).

There are several articles that accuse the World Bank’s program for its side effects, such as destroying local education system in developing countries, rather developing local capacities. Scholars criticized that the World Bank’s education program is founded in neo-liberalism and even, neocolonialism and it has ruined local education system in developing country (Archer, 2006; Collins & Rhoads, 2009; de Siqueira, 2002; Hales, 2007). Especially, Collins & Rhoads (2009) described well contrary cases of Uganda and Thailand, which have differently responded to asymmetrical power relations with the World Bank. While both countries have received education assistance from the World Bank, Uganda’s education system has swayed by agendas of the World Bank. In contrast, Thailand has moved away from involvement of the World Bank. It is because Thailand King Bhumibol suggested his economic outlook as follows:

To become a tiger [economically speaking] is not important. The important thing is for us to have a self-supporting economy. A self-supporting economy means to have enough to survive. Each village or each district must have relative self-sufficiency (Collins & Rhoads, 2009, pp. 199200).

The Ministry of Education in Thailand succeeded the spirit of the King and announced that “we must protect ourselves from being destroyed by money” (Collins

& Rhoads, 2009, p. 199, 200). In brief, the cases of Brazil and Thailand describe that self-sufficiency of financial resources in developing countries is critical to develop endogenous power without being swayed by power of donors based on money.

3.2.2.4. Expedient to Legitimize Donor's Mandate

Several critics argued that donors use CD as an expedient to legitimize donor's mandate and to avoid accountability for failure in CD interventions (Black, 2003; Brinkerhoff, 2010; Kühl, 2009; Lusthaus et al., 1999; Smith, 2005; Wilén, 2009). Smith (2005) explained that donors have three approaches, such as goals and targets, Sector Wide Approaches (SWAPs), and Direct Budget Support (DBS). All of them, however, reflect the perspective of donors to execute the budget efficiently and move responsibility from donors to recipient countries emphasizing local ownership. Brinkerhoff (2010, p. 68) noted that "respond to their constituencies, and pursue their mandates and individual interests" and they "do not act as a unified decision-maker; turf battles and bureaucratic in-fighting are recognized features of post-conflict reconstruction efforts, including CD."

Kühl (2009) asserted that as organizations should compete with each other continuously to show their professionalism and that donor organizations need to continue to create new innovative terms such as capacity building and capacity development. The World Bank and the UNDP played a key role to diffuse these new development jargons and "propaganda" and poured considerable funds in CD. He

claimed that the change from capacity building to capacity development is “imitation plus” to meet the legitimacy requirements (Kühl, 2009, p.567). That is, even though the meaning of CD and CB is almost the same, donors preferred to use CD instead of CB, considering CD is “politically more correct” (ibid., pp. 567-568).²²

He concludes that “the more these organizations are criticized (or the stronger their self-criticism) concerning their effectiveness, the more they must present new concepts to demonstrate their learning ability and to show that they will not give up the search for new and more effective strategies (ibid., p. 575). All this is because “development assistance organizations need to defend their legitimacy against the governmental apparatus” for funding, “against the critical mass media, and against a growing number of lobby organizations” (ibid., p. 575). Donors cannot avoid criticism so in order to defend themselves they propagate CD.

3.2.3. Problems of Practice in CD Interventions

3.2.3.1. Insufficient Time to Achieve CD

Time is strongly related with project-type assistance of donors and limitations of short-term projects are criticized by many scholars in literature. Lusthaus et al. (1999) emphasized the need to understand the role of time in the process of CD, because it

²² “In Capacity Development, special emphasis is placed on the aspect of further development of already existing capabilities, while Capacity Building implies a new build-up of capabilities” (Kühl , 2009, p. 567- 568).

takes time to learn. They explained short-term projects indicate a “paradox to manage CD work” with results-based approaches providing “clear and linear logic” in the form of “a predictable planning and reporting format” (ibid., p. 13).

Other scholars also agree with the phrase of Lusthaus et al. (1999, p. 13), “Donors want results now, not later”. According to article on UN peace operation by Wilén (2009, p. 342), as their term in the dispatched country is limited, UN peace operation staff tend to speed up the project “without sharing capacity with local population, thereby undermining the basis for local ownership.” Girgis (2007, p. 356) found that timeframe for “strict expenditure guidelines that require money to be spent in a defined period” pressures donors to speed up and deter to learn local knowledge.

Eade (2007, pp. 632-633) also pointed out limitations of project-type assistance for CD due to “too little time to understand the local political and cultural environment, international policy context.” She continued to emphasize that it takes “more time to understand the non-project realities and underlying gender-power dynamics” and “capacity building approach means getting out of Project World, within the wider context of social change.” Brinkerhoff (2010) and Straussman (2007) found that donors tend to reflect relatively short time period for changing environment or institution, while CD can emerge beyond the time frame set by donors in practice. That’s why Watson & Khan (2010, p. 25) mentioned that “capacity development is expensive and needs time.”

3.2.3.2. Stand-alone and Fragmented Projects/Programs

Project-type assistance also lined to stand-alone and fragmented CD

interventions of donors. Brinkerhoff (2010, p. 70, 76) revealed in his study of fragile states that “designs are much more stand-alone operations than programs of support to country organizations that are integrated into country government practices and procedures” and “the difficulties of integration when government is an extremely weak partner” are found.” He concluded that “in summary, there is no one ‘right’ way to develop capacity, and the intervention process in most fragile states is chaotic and fragmented.”

But the problem of integration into country government practices and procedures is not limited in fragile states, but also appears in other developing countries. Weak harmonization between donors caused this problem, as the following study on education sector in Rwanda reveals:

Aid modalities in Rwanda are mixed—with some donors preferring traditional projects, some broader programs of sectoral support and others direct support to the Government budget, and in some cases a mixture of all three. This mix is true of the education sector, where the major bilateral donor in the sector, DFID, has provided funds directly for the Government budget tied to progress in developing the education sector, has funded a sector-wide program of support (the Rwandan Education Sector Support Program) and has funded a number of distinct projects.” (Smith, 2005, p. 447)

Several scholars argued that stand-alone projects/programs, especially training

itself can not develop capacity, and therefore, CD approaches need more integrated form (Eade, 2007; Harrow, 2001; Lusthaus et al., 1999; Smith, 2005). “Many commentaries note that viewing capacity building as essentially ‘about training’ is limiting and mistaken” (Harrow, 2001, p. 225), as “Training contributes very little to enabling participants to change their realities” (Eade, 2007, p. 633). Lusthaus et al. (1999, p. 8) noted, “there is a danger that interventions with a narrow development outcome (i.e. individual training) could be labeled CD.”

Donors prefer training because of its convenience of delivery, but it is not useful “if there are contextual elements that obstruct people's attempts to use their new knowledge or skills” (Girgis, 2007, p. 360). In this context, Brinkerhoff & Morgan (2010) emphasized the importance of integrated approaches to CD with individual, organization, and institution or enabling environment.

The systems perspective shows that no single factor or constituent element - incentives, financial support, trained staff, knowledge, and organizational structure - can by itself explain the development of capacity. Thus, narrow interventions, such as staff training, are not likely to make a significant difference in performance unless they can create opportunity space or leverage that can shift actors' behaviors (Brinkerhoff & Morgan, 2010, p. 9)

Smith (2005, pp. 453-454) argued that “large-scale reform ... requires a considerable capacity building effort, not just a matter of training a few senior people”

and “there is a need to create a critical mass of change champions across public administration and the education system.” He continued to state that “as change needs to be bottom up as well as top down, meaning facilitating participation and grass root changes, and developing mechanisms for bringing policy and grass root movements together” (ibid.).

3.2.3.3. Absence of Standard Methodology and Mechanism of CD

Some scholars (Berkvens, Kalyanpur, Kuiper, & Van den Akker, 2012; Hirosato and Kitamura, 2009) criticized that it is difficult to find a standard methodology and mechanism of CD. Hirosato and Kitamura (2009, p. 308, 310) criticized that foreign consultants who are in charge of CD on behalf of donor organizations don't have systemically organized methodology which lacks coherence. They proposed to “identify the methodology or system and mechanism of capacity development common to the Southeast Asian region” and, further, methodology “that can be used in many other developing countries” (ibid., pp. 453-454). Also, Berkvens, Kalyanpur, Kuiper, & Van den Akker (2012, p. 250) noted that “establishing a shared conceptual frame-work is also important ... to clarify and connect the different theories that are almost never fully understood and have led to abundant misconceptions as a result of countless short-term experts who all have delivered small packages of knowledge and skills without providing the full theories behind that knowledge.”

Which modalities are appropriate to CD is an issue, also. As there has been

strong criticism of traditional modalities to CD such as technical assistance, especially training, donors have sought for alternative methods and as a result Sector Wide Approaches (SWAs) and Direct Budget Support (DBS) has been recommended among international development community. Yet, Kühl (2009) argued that Basket Funding is appropriate for organizations like World Bank and. Similarly Smith (2005, p. 453) claimed that DBS can give “the wrong impression that money is the only answer” to developing countries and “DBS alone is unlikely to create the necessary catalysts for change”. Smith (2005) explained that SWAs moved attention from TA or projects to DBS and as a result it took an opportunity from the government of Rwanda to receive TA that they need for CD of public officials. According to him, the minister of education in Rwanda preferred to have more TA than DBS, because the ministry needed CD of ministry staff to account for requirement of donors. He revealed that one of the reasons why donors choose DBS for CD is its convenience to manage and execute budget. Smith (2005, p. 454) argued that it is necessary for achieving CD outcomes to hold both bottom-up and top-down approach, bringing grass root approach and policy at the same time. In this context, Technical Assistance Options for Developing Capacity developed by AusAID (2011) can give an insight to practitioners when they choose CD modalities (See Appendix 6). In addition, Pearson (2011) proposed approaches, tools and techniques for learning practice as international community has interested in reform of technical cooperation, especially training into learning (See Appendix 7).

Regarding applying management tools to CD, there are criticism on linear and simplified tools such as Logical Framework Approach (LFA) Postma (1998, p. 57)

pointed out that traditional capacity assessment methods with questionnaire and discussion cannot promote participation, Lusthaus et al. (1999, p. 13) and Brinkerhoff & Morgan (2010) noted that logic models based on linear construct and results-based management are not proper for CD which is “an evolving process recognizing developmental complexity and requiring an iterative approach.” Olsen (2006, pp. 116-117) revealed that LFA stemmed from military science, then adopted in business, and finally transferred to development planning. While goals and objectives are clear and can be relatively easily reached an agreement at military, it is difficult to set clear goals on which stakeholders can build a consensus in unpredictable development context. In this sense, Brinkerhoff & Morgan (2010) claimed that although traditional management tools emphasize countable CD activities rather than intangible CD activities, immeasurable capacities are also important.

LFA is based on an idea that change is manageable and controllable by well-planned strategic interventions, focusing on tangibles of CD. Therefore, it may not account for unintended and uncontrollable change from external environment of programs, ignoring intangible aspects of CD. In this sense, Lusthaus et al. (1999) suggested that CD needs to develop its own technologies and Brinkerhoff (2010, p. 76) emphasized the importance to consider “mix-of-targets” from tangible capacity outcomes such as “resources, skills/knowledge, organization” to intangible outcomes such as “politics and power and incentives.” Brinkerhoff (2010, p. 76) continued to argue that “absent attention to the socio-cultural and psychological elements of capacity, the ‘countable’ interventions are likely to fall short of their expected contributions to

reductions in fragility.”

In relation to CD management tools, evaluation of invisible and intangible objects such as CD and education can be considered as the toughest work in development, too. While technical cooperation, especially training, has been utilized as a typical modality for CD, it was blamed for lack of sustainability staying at short-term level output. Evaluation and monitoring (M&E) of technical cooperation for CD has been focused on output indicators rather than outcome or impact indicators.

According to the evaluation of the World Bank’s training, it was found out that project-based training was more successful than stand-alone type training (WBI training). In the case of stand-alone type training (WBI training), “learning did not result in changed workplace performance and, therefore, did not have an impact on development capacity” (World Bank Independent Evaluation Group, 2008, p. 53). The Bank found the reasons for failure of stand-alone type training in training design flaws and “the organizational context for implementing knowledge and skills learned” (ibid., p. 54). It was concluded that “in all cases, training succeeded when its design was good and the organizational and institutional capacity context was adequately addressed in conjunction with training” (ibid., pp. 54-55). In this regard, the importance of the enabling environment is highlighted among international development community, and accordingly, several donors such as Canada, Australia, Sweden and the U.K. use “assessment tools such as institutional analysis, power analysis, and drivers of change analysis” to understand the enabling environment (OECD/DAC, 2009), p. 8). In addition, evaluation on the effectiveness of CD interventions, mainly technical

assistance, has been conducted by several donors, such as Australia, the U.K., Japan, UNDP and ADB (ibid).

The best known evaluation framework for training is the “Four levels” model of Kirkpatrick and which is used by the World Bank, OECD, JICA, and other donors also utilize this framework (Otoo, Agapitova, & Behrens, 2009; Pearson, 2011). Table 8 describes the Four-Level Framework of Evaluation by Kirkpatrick. Yet, based on a number of criticisms on the Framework, training outcomes which emphasize economic value have been added to Kirkpatrick’s original framework” and as a result, table 9 shows Kirkpatrick’s five-level framework for evaluation outcomes (Noe, 2010, p. 221).

Table 8

Kirkpatrick’s Four-Level Framework of Evaluation Criteria

Level	Criteria	Focus
4	Results	Business results achieved by trainees
3	Behavior	Improvement of behavior on the job
2	Learning	Acquisition of knowledge, skills, attitudes, behavior
1	Reactions	Trainee satisfaction

Source: Noe (2010, p. 220)

Table 9

Evaluation Outcomes added to Kirkpatrick's Four-Level Framework

Outcome or Criteria	Level	What is Measured	Example	Method of Measurement
Reactions	1	Learners' Satisfaction	Comfortable training room, Useful materials and program content	Surveys
Learning or Cognitive	2	Principles, facts, techniques, procedures, or processes the learners have acquired	Electrical principles, Safety rules, Steps in interviewing	Tests Work samples
Behavior and Skills	2 or 3	Technical or motor skills or behaviors acquired by learners	Preparing a dessert, Sawing wood, Landing an airplane, Listening	Tests Observations Self, peer, customer, and/or managers' ratings Work samples
Affective	2 or 3	Learners' attitudes and motivation	Tolerance for diversity, Safety attitudes, Customer service orientation	Attitude surveys Interviews Focus groups
Results	4	Payoffs for the company	Productivity, Quality, Costs, Repeat customers, Customer satisfaction, Accidents	Observation Performance data from records or company databases
Return on Investment	5	Identification and comparison of learning benefits with costs	Dollar value of productivity divided by training costs	Economic value

Source: Noe (2010, p. 222)

In practice, considering characteristics of training such as a short-time period, it

can be possible to adapt level 1 (reactions) and level 2 (learning or cognitive). In reality, however, adapting level 3 (behavior), level 4 (results), level 5 (ROI) to training in ODA can be a tough job. In the case of Korea, KOICA also adopted Kirkpatrick's Four-Level Framework of evaluation criteria and it has tried to expand its criteria to level 2 (learning) and level 3 (behavior) (Cha, Seong, Park, Kang, & Shin, 2014). However, changing one's behaviors and attitudes through a relatively short time period is very difficult and critics suggest cases that one's behaviors may not be changed by training courses (Kyamusugulwa, Hilhorst, & Van Der Haar, 2014). Therefore, it is a task for CD how to evaluate the outcomes and impacts of technical cooperation, mainly training under the purpose of CD.

Also, the notable is that Kirkpatrick's framework for evaluation outcomes underlines the importance of productivity and economic value, as level 4 and 5 present. It is because HRD is based on Human Capital theory, that is, market economy model, and HRD is basically on the side of corporate. Therefore, it is necessary to be careful when adapting this evaluation framework to technical cooperation for CD in order not to regard people as instrumental value to achieve the other goal. (Gilead, 2009; Hatcher & Bowles, 2006; Jang, 2007; Le Grange, 2011; Lee & Ahn, 2007). This issue continues in the next chapter.

One should not generalize the specific situations of developing countries. However, it is needed to establish a standard methodology and mechanism of CD. Modalities, management tools, and monitoring and evaluation tools suitable for CD interventions are needed to be developed, considering complex, intangible, and

unpredictable aspects of CD.

3.2.3.4. Lack of Sustainability with failure in Changing Mentalities and Behaviors

The study on the East-Central European (ECE) new donors presented that CD intervention of donors failed to change underlying mentalities and behaviors. Perhaps it can be an excessive goal to change mentalities and behaviors of people in other countries. Szent-Iványi & Tétényi (2013, p. 830) noted, “one cannot help to think that the capacity building programs provided to the ECE donors mainly only helped in introducing formal institutions and procedures but did not change underlying mentalities.”

Another study on community-driven reconstruction in the eastern Democratic Republic of Congo also revealed that CD intervention aiming change in behaviors for anti-corruption failed to achieve its goal. The study introduced a case that although people learnt governance values through trainings, it was found that the same people who participated in the trainings showed corrupt practices in the process of recruitment of workers for road reconstruction project. It presented that “after the intensive capacity building activities, capacity development of local communities hardly took place in terms of governance practices” and large amounts of trainings “did not mean that people changed their behavior outside of it” (Kyamusugulwa, Hilhorst, & Van Der Haar, 2014, p. 824). Also, Watson & Khan (2010, p. 11) revealed the problem of sustainability of CD in education sector in Pakistan as follows:

Both delivered major improvements in education delivery capacity in just 4 years, after decades of delivery stagnation and worsening education indicators. The sustainability of these initiatives is in doubt, as political economy factors remain a major impediment to devolved service delivery in Pakistan (Watson & Khan, 2010, p. 11).

These studies indicate that it is difficult to change underlying mentalities and behaviors of people, while CD interventions often target to change them. The failure to change mentalities and behaviors leads to failure in sustainability. In fact, a lack of sustainability comes from all of the above-stated shortcomings of CD, such as ambiguous concept and definition, asymmetries of power between donor and recipient, and problems of practice in CD interventions.

3.2.3.5. Donor's Insufficient Capacity to Implement CD Interventions

Eade (2007, p. 636) pointed out that NGOs which contributed to CD of the poor have no inherent capacity in practice and therefore they “must be prepared to change their own structures and practices.” This suggestion is not limited to NGOs, but is to other government organizations. In literature on CD, several capacities are recommended for donors to develop; “Aligning to the partner organization’s priorities, systems and procedures” (Goldberg & Bryant, 2012, p. 7), harmonization between

donor organizations, impact evaluation to learn what their project is telling (Szent-Iványi & Tétényi, 2013) to achieve CD outcomes.

The most critical factor in CD is donors' capacity to read developmental context of counterpart countries. As Kaplan (2003, p. 523) pointed out, practitioners are busy "delivering" programs or projects under the name of CD without "intelligent reading". Scholars argued that if CD efforts ignore local context, then these CD interventions will fail or even destroy existing capacities, because essence of CD contents are embedded in history and culture of counterpart country (Ornert, 2006, p. 452; Straussman, 2007, p. 1106; Hirosato & Kitamura, 2009). In this sense, Kaplan (2000, p. 523) suggested donors have a background theory, an understanding of development, and by doing so have the ability to observe and penetrate to the essence of a context, embracing "people-centered development". Ornert (2006, p. 452) presented the Drivers of Change (DoC) Approach of Department for International Development (DFID) of the U.K. as a good example of analyzing local context.

A point to be considered is that as donors select third party contractors such as "independent contractors, private firms or non-profit organization" through bidding, CD "means different things when applied to concrete cases" (Straussman, 2007, p. 1104). It means we consider not only capacity of donor governments, but also capacity of individual contractors, private firms, and non-profit organizations in donor countries. In this context, Brinkerhoff (2010, p. 68) noted that donors with their implementing partners do not act as a coordinated and unified decision-maker on the spot of CD intervention.

All these criticisms stressed the importance of donors' capacity. Donors need to be prepared to implement tailored CD interventions to the local context prior to jumping into CD programs. The most important capacity of donors is analyzing local context in order to properly design CD interventions. Otherwise, programs or projects under the name of CD may ruin existing capacities of developing countries, rather. .

3.2.3.6. A Lack of Empirical Evidence of Reducing Poverty

Scholars who are favorable to CD approaches insisted that CD can facilitate enabling environment for the poor, while others who are critical of CD argued that there is no empirical evidence that CD contributed to poverty reduction and even say CD does not include pro-poor approach (Black, 2003; Orrenert, 2006). Black (2003) and Orrenert (2006) claimed that it is unclear causal relationship between institution and economic growth and poverty reduction. Black (2003, p. 117) insisted that it is hard to find emancipatory and pro-poor interests in the discourse of CD in a community development evaluation. Although donors aim at developing enabling environment which facilitates favorable condition for the poor and the marginalized, in practice it is difficult to find processes or outcomes of CD related with the poor (ibid.). She claimed that community development practitioners should consider the followings when they implement baseline assessment of development initiative;

First, whether the capacities of the poor and the marginalized are being

acknowledged and strengthened to be involved in meeting their own needs and aspirations; and second, whether societal attitudes and structures are being transformed for all people to enjoy equity, justice, and well-being (ibid, p. 118).

Because there are asymmetries of power between donors and recipient countries, CD interventions can be utilized as an expedient to legitimize donor's mandate as described before. In this context, Black (2003, p. 117) warned the practitioners to be alerted not to be swayed by agendas of donors, with understanding of underlying interests and hegemony of donors.

In this sense, whether CD approaches of donors reflect pro-poor perspective and aim at poverty reduction both implicitly and explicitly are in doubt. But, without relevance to poverty reduction, CD would lose its ground in supporting developing countries. Because the poor is who really needs CD assistance.

To summarize, if community development practitioners and organizations acquiesce in the capacity-building agendas of many multilateral and government development agencies without examining the assumptions and theories that underpin those agendas, they are in danger of becoming puppets on a stage that is dominated by interests that may be more about ideological and organizational hegemony than about the needs of the poor and the marginalized (Ibid., p. 118).

CHAPTER 4. TECHNICAL COOPERATION FOR CAPACITY DEVELOPMENT IN KOREA

From chapter 2 to chapter 3 historical background of CD, current trends of approaches to CD, and principles and challenges of CD are presented. Chapter 4 will review current situation of CD in Korea and analyze how advantages and challenges of CD are applied to Korean situation.

4.1. Technical Cooperation for Capacity Development in Korea

4.1.1. Current Status of Capacity Development and Technical Cooperation

4.1.1.1. Technical Cooperation in Korea

There is not much literature on CD or TC either in Korea. It is difficult to find researches on Capacity Development or Technical Cooperation in Korea except for researches of Lim (2013, 2014a, 2014b), KOICA capacity development department (2011), and ReDI (2012).

While there is a lack of research on CD or TC, trainings and technical cooperation projects for capacity development are quite active in Korea. According to 2015 Implementation Plan of International Development Cooperation by the CIDC(2015), technical cooperation activities and implementing organizations which have trainings or technical cooperation projects of Korea increased in 2015 compared with in 2014, as described in Table 10.

Table 10

Annual Implementation Plan by Modalities in 2014 and 2015

Classification		Projects	Dispatch of Volunteers	Trainings	Development Consulting	Public Private Partnership	Humanitarian Relief	Etc.
Budget (Hundred Million Korean Won)	2015	10,729	1,158	1,100	1,057	419	403	1,961
	2014	10,405	1,092	999	399	374	307	1,846
Portion (%)	2015	63.8	6.9	6.5	6.3	2.5	2.4	11.6
	2014	67.5	7.1	6.5	2.6	2.4	2.0	12.0
Details	2015	14 organizations, 269 projects	5,780 volunteers	21 organizations, 332 courses, 10,128 trainees	14 organizations, 162 projects	-	-	-
	2014	267 projects	4,735 volunteers	17 organizations, 325 courses, 10,696 trainees	61 projects	-	-	-

Source : The author reconstructed from Annual Implementation Plan of CIDC (2014, 2015)

The CIDC explained that Korean government will expand a portion of technical cooperation including development consulting to transfer Korean development experience effectively (CIDC, 2015). According to Annual Implementation Plan of the CIDC, 14 government organizations have a plan to implement 162 development consulting projects for 49 developing countries with 105.7 billion won in 2015, while in 2014 it was 61 development consulting projects for 27 developing countries with 39.9 billion won. As Table 10 shows, the portion of development consulting projects increased from 2.6% in 2014 to 4.8% in 2015. In addition, training institutions increased

from 17 to 21 in 2015 and training courses also increased from 325 to 332 in 2015 compared to that of 2014 (CIDC, 2014, 2015).

4.1.1.2. Different Understanding of the Concept of TC in Korea

While the portion of TC activities including development consulting was increased from 2014 to 2015, ReDI (2012) criticized the recent trend of technical cooperation of Korea. Firstly, most of Korean government organizations, except KOICA and KDI, implement supply (donor)-driven and short-term technical cooperation projects, like the periodical change from the first generation to the second generation of technical assistance of the international society. As ODA budget has expanded rapidly from mid-2000s in Korea, the number of the government organizations which implement ODA projects has been also increased, yet, technical cooperation of Korea has been comprised of donor-driven stand-alone projects and dispatch or invitation of human resources with an emphasis on transfer of knowledge and technology (ReDI, 2012).

Secondly, there is a lack of consensus on the concept and definition of TC and CD among implementing organizations. Table 11 shows different definitions on TC by government organizations. The fragmented ODA performance system in Korea caused incoherence of concept and definition of TC.

Table 11

Definitions of TC by CIDC, KOICA, and KoreaEXIMbank

Government Organization	Definition of TC
<p>CIDC of Prime Minister's Office</p>	<p>TC is aid activities for HRD by transfer of technology, knowledge, technological knowhow, productivity improvement technology. One of the most important purposes of TC is institution development, and a prerequisite of TC is HRD. TC can be implemented by various tools, such as, educational training, dispatch of experts, policy and technology advices, assistance for preparation of researches and studies, and funding for science, research, and technology development.</p>
<p>KOICA</p>	<p>TC is cooperation for improvement of knowledge, function, and technology of developing countries' people, such as invitation of trainees and students, dispatch of experts and study teams, and development studies. To develop economy and society of developing countries it is needed to cooperate in HRD, because financial assistance only is not sufficient.</p>
<p>KoreaEXIM bank</p>	<p>According to Buenos Aires Plank of Action (BAPA), TC creates, acquires, applies and disseminates knowledge and experience which is needed for economic and social development of developing countries, and ultimately, TC improves ability of independence of a country. TC has contributed to improvement of technology and HRD which is necessary for economic and social development.</p>

Source: web site of the CIDC(www.odakorea.go.kr), KOICA(www.koica.go.kr), EXIMbank(www.edcfkorea.go.kr)

Thirdly, there is confusion between technical cooperation and development consulting. According to Park (2012) and ReDI (2012), even though development consulting is a form of technical cooperation, the CIDC of Prime Minister's Office and Ministry of Strategy and Finance regard development consulting as an aid modality such as project services or loan.

Table 12

Definitions of TC, FTC, and IRTC by OECD/DAC

Term	Definition
<p>Technical Cooperation</p>	<ul style="list-style-type: none"> • The provision of know-how in the form of personnel, training, research and associated costs • Used without qualification, the term TC (sometimes referred to as technical assistance) is a generic term covering contributions to development primarily through the medium of education and training.
<p>Free-standing Technical Cooperation (FTC)</p>	<ul style="list-style-type: none"> • Primary purpose is to augment the level of knowledge, skills, technical know-how or productive aptitudes of the population of developing countries, i.e. increasing their stock of human intellectual capital, or their capacity for more effective use of their existing factor endowment. • DAC statistical reporting under “TC” items includes only FTC. • This relates essentially to activities involving the supply of human resources (teachers, volunteers and experts: “technical cooperation personnel”), or action targeted on human resources (education, training, advice). Associated supplies are also classified as TC.
<p>Investment-Related Technical Cooperation (IRTC)</p>	<ul style="list-style-type: none"> • The primary purpose of contributing to the design and/or implementation of a project or program aiming to increase the physical capital stock of the recipient country. • These services include consulting services, technical support, the provision of know-how linked to the execution of an investment project, and the contribution of the donor’s own personnel to the actual implementation of the project (managers, technicians, skilled labor, etc). • In DAC statistics, these expenditures are included indistinguishably with investment project aid (related cost of donor experts are reported separately on an optional basis).

Source: OECE/DAC (2010), quoted in Park (2012)

According to the criteria of OECD, technical cooperation is divided into Free Standing Technical Cooperation (FTC) and Investment Related Technical Cooperation

(IRTC) as Table 12. But, major government organizations in Korea classify TC as development consulting, and they categorize development consulting into policy advisory services and project consulting services. Also, they divide project consulting services into preparation services and implementation services (S. Y. Park, 2012; ReDI, 2012).

The CIDC of Prime Minister's Office (2011) defines development consulting as a type of ODA for economic and social development, such as policy and institution advices and technical consulting for various sectors like economy, society, science and technology with professional human resources. Park (2012) argued that because Korean government classifies ODA projects according to the World Bank's categorization of consulting services, it causes some confusion on categorization of ODA budget, number of projects, modalities, and etc. According to the World Bank (2006, p. 1), "Consulting services refers to services of a professional nature provided by consultants using their skills to study, design, organize, and manage projects; advise Borrowers; and, when required, build their capacity." Park (2012) proposed changing the current categorization of development consulting ODA projects of Table 13 into the following categorization of Table 14 in accordance with the classification of OECD.

Table 13

The Current Categorization of Development Consulting ODA Projects

Category	Policy Advisory Services	Project Consulting Services	
		Project Preparation Consulting Services	Project Implementation Consulting Services
Example	<ul style="list-style-type: none"> • Strategy and policy • Regulation, institutional reform • Capacity building • Management and leadership • Information technology 	<ul style="list-style-type: none"> • Sector studies • Master plans • Feasibility studies • Design studies • Specialist studies 	<ul style="list-style-type: none"> • Tender documents • Procurement assistance • Construction supervision, project management • Integrated solutions • Training
Types of Korean ODA	<p>[Policy advisory projects]</p> <ul style="list-style-type: none"> • Establishment of policy and strategy by sectors <p>[Dispatch of experts]</p> <ul style="list-style-type: none"> • Mid/long-term advisory group <p>[Multi-country training and country-focused training]</p> <ul style="list-style-type: none"> • Transfer of policy and technology, capacity strengthening 	<ul style="list-style-type: none"> • Preparation consulting such as feasibility studies, project design, and examination 	<p>[Project Implementation]</p> <ul style="list-style-type: none"> • (PMC, ISP, CM) • Formative and summative evaluation • Education and training within projects

Source: CIDC (2012), quoted in Park (2012)

Table 14

Reclassification of Development Consulting ODA Projects by Park (2012)

Category	FTC (FTC ODA)	IRTC (Project ODA)	Remarks
Grant	[Policy advisory projects] • KSP of Ministry of Strategy and Finance • Mid/long-term advisory group of KOICA [Dispatch of experts] • Dispatch of experts by sectors [Multi-country training and country-focused training] • Transfer of policy and technology, capacity strengthening [Development studies] • Master plans • Feasibility studies	• Project-related feasibility studies • Preparation consulting such as project design, and examination • Project management and supervision (PMC, ISP, CM) • Formative and summative evaluation • Education and training within projects	
Loan	• Master plans • Feasibility studies		Similar to grant, but implemented by loan

Source: Park (2012)

In brief, the Korean government does not have neither agreed concept of TC among government ministries nor a policy for TC. The government has policy for development consulting program in Korea, however, the concept of TC and development consulting program of Korea is confused. The classification of development consulting program by the CIDC doesn't accord with that of TC by OECD DAC.

4.1.2. Development Consulting Program

4.1.2.1. Overview of Development Consulting Program

Recently, the Korean government has tried to promote development consulting program instead of technical cooperation or capacity development program. As discussed earlier, development consulting program in Korea is a type of technical cooperation, but Korean government has established policies to promote development consulting program without clear definition on TC and CD.

Table 15

Type of Development Consulting Program

Policy Advisory Services	Project Consulting Services	
	Preparation Services	Implementation Services
<ul style="list-style-type: none"> • KDI KSP • KOICA policy advices • Korea Communication Commission policy advices 	<ul style="list-style-type: none"> • EDCF F/S • KOICA F/S • KOICA development studies 	<ul style="list-style-type: none"> • EDCF, KOICA occupied most of projects

Source: CIDC (2011)

Table 15 is types of development consulting program in Korea by the CIDC and it follows classification of “consulting service” by the World Bank. The CIDC (2011) considers major implementing government organizations for development consulting program as KOICA, EDCF, KSP, and KISDI.

Table 16

Budget of Development Consulting Program by Major Organizations

(2008-2010 year/hundred million won)

Year	KOICA	EDCF	KSP	KISDI	Sum
2008	897	480	17	9	1,403
2009	374	756	38	10.5	1,178.5
2010	1,650	717	73	10.5	2,450.5
Sum	2,921	1,953	128	30	5,032

Source: CIDC (2011) / (KOICA) contract amount per project, (EDCF) F/S- contract amount, consulting service-approved amount, (KSP, KISDI) budget

As Table 16 shows, 58% of development consulting program has been implemented by KOICA from 2008 to 2010, and then EDCF has held the second place. As KOICA has the biggest budgets for development consulting program in sum, it is meaningful to focus on development consulting program of KOICA which is under the Ministry of Foreign Affairs.

4.1.2.2. Development Consulting Program of KOICA

In 2012, the Ministry of Foreign Affairs launched “Development Experience Exchange Partnership (DEEP)”, integrating technical cooperation such as policy advices, feasibility studies, and master plans which KOICA has been implementing for over 20 years (Ministry of Foreign Affairs, 2014). According to the guideline for DEEP program the Ministry of Foreign Affairs explained that the Ministry and KOICA integrated the existing technical cooperation and development studies into DEEP under the slogan “Beyond Knowledge Sharing, Towards Capacity Building’, and the Ministry tried to

differentiate DEEP from KSP which is by Ministry of Strategy and Finance (Ministry of Foreign Affairs, 2014). It shows that DEEP and KSP form a competing relationship.

KOICA defined DEEP as “development consulting project which includes policy advices and development studies to establish institution and policy using technical cooperation mainly such as relevant technology and knowledge for economic and social development of developing countries” (Kwak, 2013, p. 5). The Ministry of Foreign Affairs and KOICA described the distinctive characteristics of DEEP program as Table 17.

Table 17

Five Principles of DEEP

Characteristics	Contents
Participatory	<ul style="list-style-type: none"> • Not supply-driven, but demand-driven through active participation of developing countries • Developing countries recognize and understand problems by themselves and draw solutions to their situation
Results-oriented	<ul style="list-style-type: none"> • Projects are implemented based on not inputs, but results, outcomes, and effects
Comprehensive	<ul style="list-style-type: none"> • Assists capacity strengthening for practical implementation of institution as well as institution building • Supports technology advices along with policy advices • Combination of various sectors and types • Linked with the existing projects
Harmonized	<ul style="list-style-type: none"> • Projects are implemented based on various partnership and collaboration with CSOs, private firms, international organizations, and etc.
Mutual Accountability	<ul style="list-style-type: none"> • Both countries take the mutual accountability for process and results of projects

Source: Ministry of Foreign Affairs (2014)

Table 18

Four Types of DEEP

Type	Detailed type	Examples of major outputs
Policy and technology Advices	<ul style="list-style-type: none"> • Policy advices • Technology advices • Strategy establishment • Research 	<ul style="list-style-type: none"> • Master plans • Report • Strategy document • Research document
Institution Building	<ul style="list-style-type: none"> • Institution making • Pilot Information System development for introduction and implementation of institution 	<ul style="list-style-type: none"> • Law, regulations • (pilot) institution <ul style="list-style-type: none"> - medical insurance system, international trade system, technical qualification system, industry clusters, etc. • Pilot Information System development for introduction and implementation of institution <ul style="list-style-type: none"> - E-government, spatial data, cadastre of land, etc.
Infrastructure Construction-related	<ul style="list-style-type: none"> • F/S for infrastructure improvement including airport, water resource, dam, road, transportation, etc., design, master plans 	<ul style="list-style-type: none"> • Master plans • F/S reports • Design, final design
Human Resources Development	<ul style="list-style-type: none"> • Education • Workshops • Joint research 	<ul style="list-style-type: none"> • Number of trained human resources • Education manuals, education videos • Joint research reports, etc.

Source: Ministry of Foreign Affairs (2014)

The five principles of DEEP from table 17 show that the Korean government adopted principles of CD from the international development society. The phrases liked ‘demand-driven’, ‘institution building’, ‘existing’, and ‘mutual accountability’ remind of discussions on CD with OECD DAC and LenCD. Yet, those principles of CD are

inconsistent with the current categorization of development consulting ODA projects by the CIDC (see Table 11), because the Korean government adopts concept of consulting services by World Bank to explain Korea's development consulting program.

The Ministry of Foreign Affairs (2014) classified DEEP program into four types by major outputs as Table 18; policy and technology advices, institution building, infrastructure construction-related, and human resources development. Among the four types of DEEP, HRD type is concentrated on TC activities such as education and training. That's why HRD type is chosen as subject of analysis in this research.

To sum up, Korea has the same problem of concept of CD as the other donors have. Notwithstanding absence of agreed concept of TC and CD, each Korean government ministry established a development consulting strategy such as DEEP, KSP, and etc. The lack of studies on CD and TC in Korea reflects that theoretical background of CD in Korea is weak. As a result, it is difficult to find consistent principles for CD interventions of Korea.

4.2. Critical Review of a CD project of Korea

4.2.1. Framework for Critical Review

From the literature analysis on CD in chapter 3, the framework for analysis for CD interventions can be drawn as Table 19. According to this framework, The Project Capacity Building for Public Officials for Government Innovation in Indonesia will be reviewed as an example of Korean CD interventions.

Table 19

Framework for Analysis of the Indonesian Project

Principles of CD	
1.	Holistic Approach including Individual, Organization, and Environment
2.	Integrating Power that brings Stakeholders
3.	Paradigm Shift from Supply-driven to Demand-driven
4.	Emphasis on Endogenous Power and Local Capacity
Issues and Challenges of CD	
1. Conceptual Issues	
a.	Unclear Concept, Theoretical Background, and Goal
b.	Capacity Gap-filling assumption
c.	Limitations of Systems Theory
2. Donor-centered Relationship undermining Capacity of Recipient Countries	
a.	Capacity-taking, undermining Ownership of Developing Countries
b.	Ignoring the Local Context of Developing Countries using Ideal Models
c.	Power Relations based on Money: Money-based Partnership
d.	Expedient to Legitimize Donor's Mandate
3. Problems of Practice in CD Interventions	
a.	Insufficient Time
b.	Stand-alone and Fragmented Projects/Programs
c.	Absence of Standard Methodology and Mechanism
d.	Lack of Sustainability with failure in Changing Mentalities and Behaviors
e.	Donor's insufficient Capacity to implement CD intervention
f.	A Lack of Empirical Evidence of Reducing Poverty

Source: The author

The choice of the Project for Capacity Building for Public Officials for Government Innovation in Indonesia as an example is based on the reasons as follow. Firstly, the project is composed of mainly HRD components such as trainings, joint

research through dispatch of experts and workshops. KOICA also classified this project as a HRD type of DEEP program. As DEEP aims at CD, it is suitable for analysis of CD intervention. Secondly, after the completion of phase I (2007-2008) of the project was completed, the phase II was initiated based on the request of the Indonesian government. It means that the project was based on demand of the Indonesian government and it can be understood that Indonesia recognized the positive results of the phase I. Thirdly, the Ministry of Foreign Affairs and KOICA recognized the project as the best practice for the guideline for HRD-type DEEP program in 2014 DEEP. It is possible to understand the strength and weakness of TC activities for CD in Korea by reviewing one of the best projects of HRD-type DEEP.

4.2.2. Background and Outline of the Project

In 2004, Susilo Bambang Yudhoyono administration was launched and the government of Indonesia announced the National Long-term Development Plan 2005-2025 (RPJPN) and the five-year National Medium-term Development Plan (RPJMN). The first National Medium-term Development Plan (RPJMN I 2005-2009) set three development objectives following the vision of RPJPN 2005-2025 for more advanced and prosperous, more self-reliant, more secure and peaceful, and more democratic and just Indonesia. The second National Medium-term Development Plan (RPJMN II 2010-2014) chose 11 National Priorities and 3 other Priorities. Among those 11 National Priorities innovation, the government bureaucracy was the first. Former president Yudhoyono was interested in administrative reforms to establish good governance and

implement aggressive reform measures such as the establishment of the Ministry of Administrative Reform (MENPAN). Following the president's leadership, the Indonesian government gave priority to capacity development of public officials and anti-corruption in public sector (KIPA, 2012).

In this context, the former Indonesian president Yudhoyono expressed interest in learning Korea's experience in government innovation and anti-corruption when he visited Korea in 2006. In December of same year, the former Korean president Roh, Tae Woo visited Indonesia and a MOU was signed between the two countries to share Korea's experience in anti-corruption. In this regard, KOICA and SETNEG (State Secretariat) initiated a capacity building project for government innovation in Indonesia from April 2007 to December 2009 (KOICA, 2009).

At the initial stage, SETNEG asked KOICA to provide training courses for Indonesian public officials. But KOICA initiated a capacity building project comprised of TC activities instead of simple training courses in order to build capacity of Indonesian public officials more systematically. After the project completed in 2008, the Indonesian government asked for follow-up project and the second project was initiated in 2009. The following project outline shows the overall goal, project purpose, inputs, outputs, and etc.

Table 20

Project Outline of Phase I and II

Overall Goal	Capacity development of Indonesian government officials to achieve good governance and anti-corruption
Project Purpose	<ul style="list-style-type: none"> Phase I : Establishment of government innovation action plans Phase II : Implementation of action plans for bureaucratic reform
Target Group	<ul style="list-style-type: none"> Phase I : eight ministries Phase II : twelve ministries
Project Inputs	<p>< Phase I ></p> <ul style="list-style-type: none"> Training for Indonesian public officials <ul style="list-style-type: none"> - High-Level Officials Training (two courses) - Middle-Level Officials Training (four courses) Dispatch of four Korean experts (human resource development, performance management, anti-corruption system and government innovation policy) Final Workshop <p>< Phase II ></p> <ul style="list-style-type: none"> Training for Indonesian public officials <ul style="list-style-type: none"> - High-Level Officials Training (five courses) - Middle-Level Officials Training (seven courses) Dispatch of 4-7 Korean experts four times <ul style="list-style-type: none"> - Dispatch of four Korean experts (reorganization of structure, job analysis, HRD, IT) Interim and Final Workshop
Project Period and Budget	<ul style="list-style-type: none"> Phase I : April 2007-December 2008 / US\$650,000 Phase II : May 2009-2011 / US\$2,000,000
Implementing Organization of Indonesia	<ul style="list-style-type: none"> Phase I : SETNEG (State Secretariat) Phase II : MENPAN (Ministry of Administrative Reform)
Outputs	<ul style="list-style-type: none"> Action Plans of participating ministries Approval of action plans by high-level officials in each ministry

Source: KOICA (2009), KOICA (2011)

Table 20 shows outline of the project for Capacity Building for Public Officials for Government Innovation in Indonesia phase I and II. Overall goal of the project is Capacity Development of Indonesian government officials to achieve good governance and anti-corruption. The phase I had concentrated on establishment of action plans and the phase II has made effort to implement the action plans.

4.2.3. Principles of CD

4.2.3.1. Holistic Approach including Individual, Organization, and Environment

It can be understood that the project mainly focused on capacity development of individual and organization, but also tried to touch an enabling environment. Indonesian public officials who participated in Training courses had to develop their own action plans to bring about an innovation in their ministries. The Korean implementing agency supported participants to develop action plans through consultation and interaction with them utilizing problem-solving techniques such as action planning and inno-meetings²³. After completion of trainings in Korea, four Korean experts were dispatched to Indonesian government ministries for four weeks to

²³ Korea Expressway Cooperation developed inno-meeting as a method for proceeding meetings in 2004. Inno-meetings became an important method for promoting innovation in the ground. The word 'inno-meeting' means innovation and meeting applying methodology such as town meeting which General Electronics developed (Korea Expressway Cooperation, 2014, p. 41: Korean Society of Road Engineers, 2013, p. 113).

help the trainees apply action plans to their ministries in the areas of human resource development, performance management, anti-corruption system and government innovation policy. Through this process the project was planned to develop individual capacities of Indonesian officials and organization-level capacities of their ministries.

In addition, the project was planned to touch a surrounding environment. From the first stage of the phase I, major ministries who were in charge of government reform were included in the project to form a consensus. At the phase II the implementing organization of Indonesia was changed from SETNEG (State Secretariat) to MENPAN (Ministry of Administrative Reform) which is in charge of managing administrative reform. As a result, MENPAN played a leading role in managing phase II of the project and other ministries became to participate in the phase II more actively (Kwak, 2013).

But there was a limitation that the holistic approach including individual, organization, and environment was not applied explicitly in the planning process of the project. The project was planned to develop capacities of training participants in individual level and to develop capacities of Indonesian government ministries through implementation of action plans by training participants. And the project tried to make a consensus for government innovation among participating ministries through high-level training courses. But there was no explicit linkage among individual, organization, and environment in planning document of the project. Without consideration for the linkage among individual, organization, and environment from the initial stage, it is hard to expect effects of CD activities.

In particular, the project ignored the role and impact of civil society. There was

a lack of consideration of a ripple effect on Indonesian citizens as a result of the project, even though the ultimate beneficiaries of this government innovation project are people of Indonesia. Considering an enabling environment, it was recommendable to monitor and evaluate the outcome of the project through customer satisfaction evaluation by Civil Society Organizations (hereinafter “CSOs”) and direct beneficiaries of the government ministries.

In case of similar good governance project by GTZ²⁴, which is named as “SfGG - Support for Good Governance”²⁵, while the training courses for Indonesian public officials were implemented by LAN, National Institute of Public Administration, the training courses for CSOs were implemented by CSO “Satu Nama”, which is the

²⁴ GTZ renamed “GIZ, the Deutsche Gesellschaft für Internationale Zusammenarbeit GmbH”, GIZ was established in 2011 through a merger of the three German organizations Deutscher Entwicklungsdienst (DED), Deutsche Gesellschaft für Technische Zusammenarbeit (GTZ), and Internationale Weiterbildung und Entwicklung (InWEnt) (https://en.wikipedia.org/wiki/Deutsche_Gesellschaft_f%C3%BCr_Internationale_Zusammenarbeit). GIZ is a German federal enterprise and it supports the German Government in achieving its objectives in the field of international cooperation. GIZ has 16,410 staff around the world and its business was over EUR 1.9 billion as at 31 December 2013 (<https://www.giz.de/en/aboutgiz/profile.html>). GIZ was established on 1 January 2011 through a merger of the three German organisations Deutscher Entwicklungsdienst (DED), Deutsche Gesellschaft für Technische Zusammenarbeit (GTZ), and Internationale Weiterbildung und Entwicklung (InWEnt).

²⁵ The project period of SfGG was 10 years, from 2000 to 2010. The stakeholders of this project are the Ministry of Administrative Reform (MENPAN), National Institute of Public Administration (LAN), GTZ SfGG Team, and “Watch Terminal” which is a network of CSOs with 116 members. GTZ SfGG Team developed a draft of training curriculum for quality control, and then LAN developed it and drew out training guidebook. Local governments and local CSOs in three region including Sumatra and Bima made a guidebook gathering 100 applicable cases. MENPAN distributed the guidebook all over the country and it was managed by CSOs (Jun, 2007).

Secretariat Watch Terminal and training provider. The project providers developed complaint survey form under monitoring of CSOs and implemented complaint survey. About 40,000 people answered the survey and complaint index was analyzed based on the result of the survey. The training courses were implemented to solve problems analyzed as reasons for complaints and finally, service charter was drawn out (Jun, 2007). Like this, as ultimate beneficiaries of government innovation project are citizens, the project needs to be planned to consider citizens and CSOs as an enabling environment.

4.2.3.2. Integrating Power that brings Stakeholders

It can be judged that the project succeeded in integrating a large number of stakeholders. In phase I of the project 100 Indonesian public officials from 7 government ministries participated in the training courses in Korea. First of all, training courses for the high-level officials were implemented to form a consensus on necessity of government innovation. After that, training courses for the middle-level officials were implemented and participants had to develop their own action plans to bring about an innovation in their ministries. The Korean implementing agency supported participants to develop action plans through consultation and interaction with them utilizing problem-solving techniques such as action planning and inno-meetings. At the final stage, more than 200 people participated in the final workshop and each of participating ministries shared the current situation of their action plans. As a result, based on raised

awareness and consensus, 12 ministries participated in the phase II of the project and about 180 officials participated in each workshop.

According to ex-post evaluation report²⁶, the project was implemented successfully with active support and cooperation from multiple government ministries. All of participating ministries reported its reform roadmap, action plans, and implementation process to MENPAN and Korean experts and these tasks were evaluated (KIPA, 2012).

4.2.3.3. Paradigm Shift from Supply driven to Demand driven

The project initiated by the demand from Indonesian government. The project was related to the National Long-term Development Plan 2005-2025 (RPJPN) and the five-year National Medium-term Development Plan (RPJMN). In particular, the first priority of the second National Medium-term Development Plan (RPJMN II 2010-2014) was innovation of the government bureaucracy. With president's strong emphasis in its background, the Indonesian government gave priority to capacity development of public officials and anti-corruption to achieve development of public sector.

In addition, at the final stage of phase I, more than 200 people participated in

²⁶ The Korean Institute of Public Administration (KIPA) conducted an Ex-post Evaluation on Capacity Development Projects for Public Officers of KOICA in 2012. The evaluation used both qualitative methods such as literature reviews, focus group interviews, and in-depth interviews and quantitative methods such as surveys of the recipients and other relevant parties (KIPA, 2012, p. 19).

the final workshop and each of participating ministries shared the current situation of their action plans. At this workshop, the Indonesian side suggested the follow-up project and in the beginning of 2009 they submitted the official proposal to KOICA giving a priority to this project among other projects. Four main areas of a bureaucratic reform were chosen by Indonesian government such as i) reorganization of structure, ii) job analysis, iii) HRD, iv) IT and also set up bureaucratic reform teams inside each of 7 ministries. It showed that the phase II of the project was also initiated based on demand of the Indonesian side.

4.2.3.4. Emphasis on Endogenous Power and Local Capacity

It is difficult to find emphasis on endogenous power and local capacity of Indonesia in related documents of the project. Yet, the Korean implementing agency supported participants to develop action plans through consultation and interaction with them utilizing problem-solving techniques such as action planning and inno-meetings. After completion of trainings in Korea, Korean experts were dispatched to Indonesian government ministries to help the trainees apply action plans to their ministries.

It can be understood that the Korean implementing agency tried to elicit endogenous capacity from Indonesian public officials through participatory teaching method such as action planning and inno-meetings. Unlike one-sided teaching method, the training courses in Korea were planned for Indonesian participants to develop action plans by themselves through action planning and inno-meetings. In this process

individual-level capacities could be developed. And then, through implementing action plans and sharing experience of the trainings by Indonesian public officers in their ministries, organization-level capacities could be developed.

4.2.4. Issues and Challenges of CD

4.2.4.1. Conceptual Issues

As described above, there is confusion between technical cooperation and development consulting in Korea. According to Park (2012) and ReDI (2012), even though development consulting is a form of technical cooperation, CIDC of Prime Minister's Office and Ministry of Strategy and Finance regard development consulting as another aid modality such as project services or loan. This classification does not coincide with the criteria of OECD, and further, it is difficult to find agreed concept and definition on CD and TC among major policy-making ministries and implementing organizations such as CIDC of Prime Minister's Office, Ministry of Foreign Affairs, Ministry of Strategy and Finance, KOICA, and EDCF.

Considering the history of Korea's ODA as donor country, CD or TC can be regarded as training itself in Korea. In 1963 Korea hosted training program for the first time for developing countries funded by the U.S. Also, the training program department of KOICA changed its name to capacity development department in 2011, yet the mission and role of CD department was to implement training program for public

officials from developing countries. It shows that Korea awareness of CD was limited in training at those times, until DEEP program was initiated later. In addition, reviewing various documents on capacity building projects of Korea, it is easy to find the word “transfer”. According to CIDC (2015), the Korean government has a plan to expand a portion of technical cooperation including development consulting to transfer Korean development experience effectively. The frequent use of “transfer” of knowledge and technology shows that Korea has gap-filling assumption. It could be better to replace one-sided word “transfer” with “sharing” or “learn from each other”.

4.2.4.2. Donor-centered Relationship Undermining Capacity of Recipient Countries

According to KIPA’s ex-post evaluation report, MENPAN’s National Bureaucratic Reform Working Team and each agency’s reform units had Korean expert counterparts to promote effective communication. In addition, all of participating ministries had to report its reform roadmap, action plans, and implementation process to MENPAN and Korean experts for evaluation (KIPA, 2012). The ex-post evaluation report analyzed that the project was planned to help Indonesian public officials substantially through this process and communication channel. But, it seems that there was a lack of exit strategy to develop capacity of public officials to manage government innovation after the project completed.

It can be understood that the Korean implementing agency tried to elicit endogenous capacity from Indonesian public officials through participatory teaching

method such as action planning and inno-meetings. Nonetheless, Korean experts played a leading role in implementing the project, and therefore, it can be said that the project was dependent on capacity of Korean experts.

It was found in questionnaires and interviews for ex-post evaluation of the project that lots of Indonesian public officials hoped KOICA would hold seminars and workshops as follow-up management (KIPA, 2012). The project was planned to develop capacity of public officials, but there was a lack of consideration for local experts in Indonesia. If local consultants were included from the initial stage of the project to cooperate with Korean experts, then capacity of local experts could also have been developed and sustainability of the project would have been guaranteed more by utilizing local experts after the project concluded. Unless KOICA's CD intervention were planned to develop capacities of local experts, Indonesian public officials continue depending on external source such as Korean experts and it would take away the opportunity for fostering endogenous power.

For example, as described before, in case of GTZ's SFGG, a local CSO became training provider for CSOs. Also, in case of IASTP of AusAID²⁷, the project

²⁷ The project name is "Indonesia - Australia Specialized Training Project". The whole project period was 14 years, from 1995 to 2008 and it composed of three phases. The theme of the project is Conflict Resolution Management at district and provincial levels in Indonesia. The project was aimed to train 196,020 middle managers in government ministries in central and local governments. Memorandum of Understanding was signed between AusAID and Department of Human Rights of Indonesia. Hassall & Associates International became a project provider and it made a tender for local training. As a result, University of Gadjah Mada awarded a contract to train public officers of local governments (Jun, 2007). For reference, AusAID was integrated to Department of Foreign Affairs and Trade of Australian government in 2013 (https://en.wikipedia.org/wiki/Australian_Agency_for_International_Development).

was implemented by Hassall & Associates International, an Australian consulting and project management firm and University of Gadjah Mada, an Indonesian local organization. Especially, local training courses in Lombok were held by local experts, professors of University of Gadjah Mada. As a result, trainings were delivered in Indonesian and trainees could understand contents of training well. And training facilitators of University of Gadjah Mada applied participatory teaching methods, such as pros and cons, perspective tree, analysis tree, public reading of one's own poems, and etc (Jun, 2007). These cases show that sustainability of the project can be ensured by utilizing local experts and local capacities.

Regarding understanding local context, KIPA (2012) pointed out that there was a limitation in the sense that the contents utilizing Korean model could not be applied in full extent to Indonesia as its culture and system is different from those of Korea. In addition, due to differences in history, social and institutional environment between Indonesia and Korea, there is low level of possibility of institution transfer (KIPA, 2012). KIPA (2012) noted that a level of decentralization of the Indonesian government was high, therefore, the project had limits in applying Korean experience to Indonesia directly. However, KIPA (2012) judged that it could be possible to establish strategy and plan by reinterpreting Korean government reform program to Indonesia's situation. Accordingly, it would be desirable not to transfer the Korean case, rather do more research and utilize Korea's experience as one of case study, and conceive a plan which would be proper to Indonesia by Indonesian government itself.

In the same context, it would have been better if local consultants had

participated in the project, but only Korea experts were involved in the project. Rather, local consulting fee for Korean experts increased from 120,168 US dollars at phase I to 950,000 US dollars at phase II and the amount reached almost 50% of total budget of phase II of the project (KIPA, 2012). The Phase II was planned to put an emphasis on implementation of action plans, therefore activities of Korean experts were highlighted. TC activities for CD often utilize consultants' expertise, but as Kaplan (2010) noted, it is essential to have an "intelligent reading to read specific situations" of a country for consulting from outside to avoid one-sidedness.

In addition, capacity of inspiring and drawing endogenous power from local people was needed for outside consultants. Especially, in case of training, lecturers needed to be facilitators utilizing participatory teaching method, not one-sided provider of knowledge. In ex-post evaluation report of the project, complains of Indonesian participants were about one-sided lectures in Korea. In fact, one of the most frequent complaints of KOICA trainees on training courses were one-sided lectures and transmitting knowledge when in reality participants wanted to have more time for discussions and case studies (KOICA, 2010). Also, the phrase of "transfer of Korean development experience" is frequently used in documents of Korean government, yet, one-sided "transfer" of knowledge and experience ignores the local context of a country. The phrase needs to be replaced with "sharing with each other".

4.2.4.3. Expedient to Legitimize Donor's Mandate

One of the evaluation items of the ex-post evaluation includes level of contribution to improve bilateral relations and impact on Korea's image promotion (KIPA, 2012). It showed that ODA including CD programs were used as expedient tools to legitimize donor's mandate. In order to prove success of ODA on a donor country to its nation, donor organizations has to promote effectiveness of its ODA projects constantly. However, the definition of success of ODA is different case by case. The above evaluation items show that Korea, at least in part, regarded ODA successful due to its contribution in improving bilateral relations and impact of Korea's image promotion.

On the other hand, CD programs can be used as a way to promote agendas that present regime of a donor country. The Project for Capacity Building for Public Officials for Government Innovation in Indonesia was initiated in 2007 after the cross-visits of president Yudhoyono and president Roh in 2006. Roh administration (2003.2.25.-2008.2.24.) had put government reform at the top of its agendas by setting its reform roadmap, introducing reform evaluation in 2004, and driving innovation of government organizations in 2005. It can be assumed that the Indonesian project was launched amid the political climate of that time. After Roh administration, Lee Myung-bak administration emphasized Green Growth ODA, instead of government reform. This shows that agendas of donor countries are usually reflected on CD programs for recipient countries.

4.2.4.4. Problems of Practice in CD Interventions

Several shortages were found in implementing the project. Firstly, the period of The Project Capacity Building for Public Officials for Government Innovation in Indonesia was 5 years project including phase I (2007-2008) and II (2009-2011). Considering that average KOICA's projects are for 3 years, it could be said that 5 year is enough. However, if compared to other donor countries, one cannot say 5-year is enough. For example, GTZ's SfGG project was 10 years and AusAID's IASTP was 14 years. Then, what is sufficient time to achieve CD and when donor organizations can conclude CD projects? In relation to these questions, local expertise should be utilized from the first stage of CD intervention as exit strategy.

Secondly, stand-alone and fragmented projects are the typical problems of Korean government. This problem surpasses the level of individual project and it should consider a whole government system. As mentioned earlier, 332 training courses will be implemented by 21 government organizations and 162 development consulting projects will be implemented by 14 organizations in 2015, Because most government organizations prefer to assist countries in South-East Asia, aid organizations of these recipient countries are likely to be over-burdened dealing with lots of organizations of the Korean government. Besides, Korean implementing organizations sometimes contact with counterpart organizations in recipient countries without reporting their activities to aid coordinating organizations of the country. In this sense, fragmented ODA systems of Korean government tend to give administrative burden to recipient countries. Ministry of Foreign Affairs and the CIDC of Prime Minister's Office have

tried to remove overlapping projects and co-ordinate relevant projects of ODA implementing organizations. But the limitation will not go away without changes in the current ODA implementing system where more than 30 organizations have their own plans and secured budget separately.

Thirdly, there are problems due to absence of standard methodology and mechanism of CD in the project. Systems and methodology for CD intervention, such as tools for performance management and methodology for CD monitoring and evaluation, do not exist in Korea.. Owing to absence of indicators for measuring project objectives, it was difficult to judge whether the project succeeded or not (KIPA, 2012). The ex-post evaluation used surveys and interviews, but it is difficult to evaluate the outcomes and impacts of the project without setting indicators for objectives and baseline surveys from the initial stage. In other words, changes and impacts of the project can't be measured and it is difficult to judge whether capacities of public officials are improved or not after completion of the project (KIPA, 2012). Even though action plans were the most important outcomes, there was no indicator for measuring implementation of action plans. Therefore, it was difficult to grasp whether the action plans had been implemented well or not (KIPA, 2012). In addition, without methodology for risk management, the project was deficient in handling the problems such as different environment by Indonesian participating organizations, problem of applicability, limits of budget, and etc., when apply action plans to Indonesia in practice (KIPA, 2012).

Fourthly, the ex-post evaluation for the project was conducted without understating CD perspectives and its important points. The evaluation applied the five

evaluation criteria of OECD/DAC, which are relevance, efficiency, effectiveness, impact, and sustainability (KIPA, 2012). But besides the five evaluation criteria of OECD/DAC, evaluation criteria for CD needs to be designed by using the principles of the BONN workshop consensus, Berlin Statement, Cairo Consensus, or evaluation matrix of other donor organizations in order to critically measure CD. The evaluation criteria of the ex-post evaluation show insufficient understating of CD in Korea.

Fifthly, with regard to sustainability, the fact that a follow-up project was implemented soon after phase I showed that the project considered sustainability. Yet, the problem is until when follow-up activities need to be provided. The ex-post evaluation argues that the Korean government should provide Indonesia with follow-up management (KIPA, 2012), but this prescription is not sustainable. The point is that local expertise should have been utilized from the first stage of CD intervention as exit strategy for Indonesia to manage government innovation after the project completion.

Sixthly, donor's insufficient capacity to implement CD interventions was found in the following categories. First of all, capacity of the Korean government ministries to set up CD strategy and coordinate CD interventions was lacking. And capacity of the Korean implementing organizations to make CD guidelines, M & E methodology, and design CD interventions was insufficient. Next, capacity of project management organizations to grasp CD perspectives and to apply them to their projects was unsatisfactory. Also, capacity of Korean lecturers to utilize participatory teaching method for participants to make it possible to use their endogenous power was weak.

Finally, capacity of Korean evaluation institutions to understand CD principles and apply them to evaluation of CD interventions was deficient.

Kaplan (2010) argued that donors do not assist with what the recipient country wants and needs, but implement what they can deliver most easily such as training and giving advice. Most of the Korean implementing organizations preferred to implement ODA composed of training or dispatch of Korean experts, because this kind of ODA was easy to deliver for them.

Seventhly, there was no evidence that the project contributed to poverty reduction on Indonesia. Considering that the project was aimed to reform the Indonesian government, it should have involved local people of Indonesia who are beneficiaries of public service. However, the project was designed only for public officials and impact to civil society and local citizens was not considered directly. As a result, it is hard to prove that the project contributed to poverty reduction of Indonesian. Considering other similar projects implemented by AusAID and GTZ at similar period in Indonesia, the project leaves much to be desired without intervention of CSOs and opportunities for citizens to state their opinions such as customer satisfaction survey.

CHAPTER 5. CONCLUSION

Why problems came up in the process of CD interventions on international development community? First of all, problems come from an unclear starting point of CD. There is a lack of consensus on concept, definition, and theoretical background of CD. Although the theoretical background of CD lies in HRD and systems theory, most of donors do not reveal its origin and that causes confusion. But, what is notable is that the concept CD in the 1970s and the 1980s started from HRD, which is based on Human Capital theory, one of economics. Secondly, this unclear starting point of CD caused problems in practice of CD, also. Thirdly, attitudes and capacities of donors were added to the above two problems. Donors have dealt with developing countries with arrogant attitudes that said they know the problems better than recipient countries themselves. This type of weak awareness caused many problems in CD interventions.

The case is no different in Korea. The analysis result of The Project Capacity Building for Public Officials for Government Innovation in Indonesia showed problems with concepts and definitions, donor-centered relationship, and problems of practice in CD interventions of Korea.

From the critical review of the project, the following implications could be drawn out. First of all, CD interventions including development consulting program of Korea should be founded on theoretical background. There is confusion between TC and development consulting in Korea and it is difficult to find agreed concept and definition on CD and TC among major policy-making ministries and implementing organization in

Korea. When the Korean government establishes CD strategy, it needs to refer to the discourses on CD in international community and other donor organizations, such as systems theory, demand-driven approach, and emphasis on endogenous power and local capacity. It is needs to learn from trial and error of other donors for Korea not to repeat the same mistakes that other have made. And then, Korea needs to develop CD strategy and guidelines utilizing comparative advantage founded on Korea's unique experience such as overcoming the colonial area and the Korean War, changing from recipient country to donor country. However, the Korean CD strategy should not be one-size-fits-all approach to developing countries, generalizing local conditions (Yoon et al., 2012).

Secondly, CD is based on systems theory, which emphasizes integrated approaches including individual, organization, and enabling environment or institution. Because training and dispatch of volunteers in Korea has focused on mainly individual level, the integrating perspective which considers all aspects of linked systems is needed. Although training which focuses on individuals without a link with other modalities has been proved ineffective in developing capacities of developing countries through lots of researches globally, yet, Korean government organizations still prefer stand-alone modalities such as training and dispatch of volunteers until far.

Thirdly, CD interventions should emphasize endogenous power and local capacity of counterpart country without gap-filling assumption. Because Korean experts played a leading role in implementing the project for capacity building for public officials for government innovation in Indonesia, and therefore, it can be said that the project was dependent on capacity of Korean experts. But, history, culture, system, and

social and institutional environment of a counterpart country are different from those of Korea, therefore, any attempt to transfer Korean experience to a counterpart country cannot be successful.

Utilizing endogenous power and local capacity is closely connected with sustainability of the project. It seems that there was a lack of exit strategy to develop capacity of public officials for them to manage government reform after the project is completed. Without involving local sources such as local experts, civil society and the private sector, it would be unlikely to secure sustainability and changes of the project. Also, the frequent use of “transfer” of knowledge and experience of the Korean government shows that Korea had gap-filling assumption. The word “transfer” needs to be replaced to “sharing” or “learn from each other” for practical CD.

Fourthly, in order to utilize endogenous power and local capacity of a counterpart country, donor’s capacity to read local context intelligently should be developed. Study on local context of developing countries should be preceded. Kaplan (2003) pointed out that practitioners are busy implementing lots of programs for CD without “intelligent reading”, which interprets specific conditions of counterpart countries and then develop appropriate plan for those situation. This criticism is applied to Korea’s busy practitioners, too. CD interventions of Korea should be based on “intelligent learning”, that is, learning from experience of other donors, developing Korean unique case of education development, and analyzing local context of developing countries.

Fifthly, coordination and harmonization inside Korea is an urgent task. Korea’s

ODA is criticized for its duplication in programs, waste of budget due to fragmentation, and failure to link between grant and loan (Yoon et al., 2012). In addition, training, dispatch of volunteers, and projects need to be integrated and implemented in connection with each other for the united goal. Considering the situation that too many organizations are interested in training, it needs to develop new and appropriate modalities to assist CD of Korea, like that of AusAID and OECD (See Appendix 6 and 7).

Sixthly, in terms of practice, standard methodology and mechanism of CD should be developed. Due to absence of standard methodology for CD monitoring and evaluation, outcomes of the CD project can't be measured. Unless indicators for CD objectives are not designed from the initial stage with CD perspectives, it could not evaluate the success of CD interventions.

Seventhly, Korea's capacities to plan, implement, and evaluate CD interventions as a donor needs to be developed. It is necessary to develop capacity of the Korean government ministries to set up CD strategy and coordinate CD interventions. And capacity of the Korean implementing organizations to make CD guidelines and M & E methodology and design CD interventions, and capacity of project management organizations to grasp CD perspectives and apply them to their projects should be developed. In addition, capacity of Korean lecturers to utilize participatory teaching method for participants to make it possible to use their endogenous power, and capacity of Korean evaluation institutions to understand CD principles and apply them to evaluation of CD interventions.

Eighthly, TC activities for CD of Korea are called for considering their contribution to poverty reduction of recipient countries. The project for Indonesia was designed only for public officials and impact to civil society and local citizens was not considered directly. When CD projects involve civil societies and local citizens of recipient countries then, they would have integrating power that brings together a large number of stakeholders.

Above all, Korea's capacities for CD interventions as a donor country should be developed. To resolve the problems with concepts and definitions, researches and discussions on CD should be increased. And, based on a firm background, practitioners need to cultivate the ability to read local context intelligently and to utilize existing capacities.

References

- ADB. (2008). Effectiveness of ADB's Capacity Development Assistance: How to Get Institutions Right *Special Evaluation Study*.
- Archer, D. (2006). The Impact of the World Bank and IMF on Education Rights. *Convergence*, 39(2-3), 7-18.
- Babbie, E. R. (2007). *The Practice of Social Research, 11th Edition*: Chapman University.
- Baser, H., Boesen, N., Guizzardi, S., et al. (2011). Capacity Development: Lessons Learned and Actions for Busan and Beyond: Synthesis Report. In Cairo Workshop on Capacity Development: From Concepts to Implementation. 28-29 March 2011: OECD.
- Baser, H., & Morgan, P. (2008). Capacity, Change and Performance *Study Report*: ECDPM.
- Berkvens, J. B. Y., Kalyanpur, M., Kuiper, W., et al. (2012). Improving adult learning and professional development in a post-conflict area: The case of Cambodia. *International Journal of Educational Development*, 32(2), 241-251.
- Black, L. (2003). Research Round-up. *Development in Practice*, 13(1), 116-120.
- Bolger, J. (2000). Capacity Development: Why, What and How: CIDA.
- Brinkerhoff, D. W. (2010). Developing capacity in fragile states. *Public Administration and Development*, 30(1), 66-78.
- Brinkerhoff, D. W., & Morgan, P. J. (2010). Capacity and capacity development:

- Coping with complexity. *Public Administration and Development*, 30(1), 2-10.
- Cairns, B., Harris, M., & Young, P. (2005). Building the Capacity of the Voluntary Nonprofit Sector: Challenges of Theory and Practice. *International Journal of Public Administration*, 28(9-10), 869-885.
- Cha, E. J., Seong, M. K., Park, S. K., et al. (2014). Trend of Capacity Development Program and Ways to Improve Performance. *Journal of International Development Cooperation*.
- CIDC. (2011, December). 개발컨설팅 ODA사업 종합 평가결과 [Evaluation Results of Development Consulting ODA Projects]. *The 8th Evaluation Committee*, Prime Minister's Office.
- CIDC. (2014, January). 2014년 국제개발협력 종합시행계획 [2014 Annual Implementation Plan]. *The 17th Committee*. Prime Minister's Office.
- CIDC. (2015, January). 2015년 국제개발협력 종합시행계획 [2015 Annual Implementation Plan]. *The 20th Committee*, Prime Minister's Office.
- Collins, C. S., & Rhoads, R. A. (2009). The World Bank, support for universities, and asymmetrical power relations in international development. *Higher Education*, 59(2), 181-205.
- de Siqueira, A. C. (2002). *Multilateral Agencies and Their Policy Proposals for Education: Are They Contributing to Reduce the Knowledge Gap in the World?*
- Eade, D. (2007). Capacity building: who builds whose capacity? *Development in Practice*, 17(4-5), 630-639.
- Gilead, T. (2009). Human Capital, Education and the Promotion of Social Cooperation:

- A Philosophical Critique. *Studies in Philosophy and Education*, 28(6), 555-567.
- Gilley, J. W., Egglund, S. A., & Gilley, A. M. (2002). *Principles of Human Resource Development* (Second Edition ed.): Basic Books.
- Girgis, M. (2007). The Capacity-building Paradox: using friendship to build capacity in the South. *Development in Practice*, 17(3), 353-366.
- Goldberg, J., & Bryant, M. (2012). Country ownership and capacity building: the next buzzwords in health systems strengthening or a truly new approach to development? *BMC Public Health*, 12(1), 531.
- Hales, J. (2007). Rhetoric and Reality: World Bank and CIDA Gender Policies. *Convergence*, 40(1-2), 147-169.
- Harrow, J. (2001). 'Capacity Building' as a Public Management Goal - Myth, magic or the main chance? *Public Management Review*, 3(2), 209-230.
- Hatcher, T., & Bowles, T. (2006). Bridging the Gap between Human Resource Development and Adult Education: Part One, Assumptions, Definitions, and Critiques. *New Horizons in Adult Education & Human Resource Development*, 20(2), 5-23.
- Hirosato, Y., & Kitamura, Y. (2009). The political economy of educational reforms and capacity development in Southeast Asia cases of Cambodia, Laos and Vietnam.
- Jang, S. M. (2007). 인적자본론으로 본 평생교육 [Lifelong Education from Human Capital Theory Perspective]. *Interdisciplinary Journal of Adult & Continuing Education*(Andragogy Today).
- Jun, Y. E. (2007). 인도네시아 사무소 OJT 결과보고서 [Report for OJT results in

KOICA Indonesia Overseas Office].

Kang, S. J. (2014). Post-2015 개발 어젠다: UN 정부간 협상 전망 [Post-2015 Development Agendas]. *Analysis of International Issues* Institute of Foreign Affairs & National Security.

Kaplan, A. (2000). Capacity building: Shifting the paradigms of practice. *Development in Practice*, 10(3-4), 517-526.

Kaplan, A. (2007). The Core of our Work as Capacity Builders, Annual Report: CDRA.

Karini, A. (2013). Aid-Supported Public Service Reform and Capacity Development in Post-Communist Albania. *International Journal of Public Administration*, 36(7), 469-481.

KOICA. (2009). 인도네시아 정부혁신 역량강화 1차 사업 종료평가 보고서 [The Summative Evaluation Report for the Project for capacity building for public officials for government innovation in Indonesia, Phase I]: KOICA.

KOICA. (2010). 연수생 초청사업 효과성 평가 보고서 [Evaluation Report on Effectiveness of Training Program] (Project Evaluation No.2010-02-097). KOICA.

KOICA. (2011). 인도네시아 정부혁신 역량강화 2차 사업 종료평가 보고서 The Summative Evaluation Report for the Project for capacity building for public officials for government innovation in Indonesia, Phase II: KOICA.

KOICA Capacity Development Department. (2011). 국제사회의 역량개발 지원정책 - 기술협력 개혁 논의 [Capacity Development Policies of

- International Community Capacity Planning] (Capacity Planning No.2011-10-242). KOICA.
- Korea Expressway Cooperation. (2010). 2010 EX Innovation Road map: Korea Expressway Cooperation.
- Korean Institute of Public Administration (KIPA). (2012). 공무원 역량강화 사업 사후평가 보고서 [Ex-post Evaluation Report on Capacity Development Projects for Public Officers] (Evaluation No. 2013-09-018). Seongnam: KOICA.
- Kühl, S. (2009). Capacity Development as the Model for Development Aid Organizations. *Development and Change*, 40(3), 551-577.
- Kwak, J. S. (2013). DEEP 프로그램 발전방안 연구 [Study on the strategies to improve DEEP Program] (ODA Research No.2013-20-242). Seoungnam: KOICA.
- Kyamusugulwa, P. M., Hilhorst, D., & Van Der Haar, G. (2014). Capacity builders for governance: community-driven reconstruction in the eastern Democratic Republic of Congo. *Development in Practice*, 24(7), 812-826.
- Le Grange, L. (2011). Human Capital, (Human) Capabilities and Higher Education. *South African Journal of Higher Education*, 25(6), 1039-1046.
- Lee, H. S., & Ahn, D. Y. (2007). HRD 패러다임 논쟁사에 나타난 평생교육과 HRD의 관계 [Lifelong Education and Human Resource Development in HRD Paradigm Debate - Competitor or Collaborator?]. *Journal of Lifelong Education*, 13(No.1), 77-102.

- Lim, S. J. (2013). *공여국의 개도국 정부 역량개발 지원체제* [Donor Support to Capacity Development in Developing Countries] (ODA Research No.2013-10-190). Seongnam: KOICA.
- Lim, S. J. (2014a). *국가협력전략(CPS) 수원국 개발환경 분석과 역량진단* [Analysis on development environment of recipient countries and capacity assessment for CPS] (ODA Research No.2014-09-118). Seoungnam: KOICA.
- Lim, S. J. (2014b). *개발협력 프로젝트 사전 (타당성) 조사와 수원국 역량진단* [Feasibility study for development cooperation projects and capacity assessment of recipient countries] (ODA Research No.2014-10-119). Seongnam: KOICA.
- Lusthaus, C., Adrien, M.-H., & Perstinger, M. (1999). Capacity development: definitions, issues and implications for planning, monitoring and evaluation. *Universalia Occasional Paper*, 35, 1-21.
- Morgan, P. (2005). The idea and practice of systems thinking and their relevance for capacity development *Maastricht: European Centre for Development Policy Management*.
- Morgan, P. J., Baser, H., & Morin, D. (2010). Developing capacity for managing public service reform: The Tanzania experience 2000~2008. *Public Administration and Development*, 30(1), 27-37.
- Noe, R. A. (2010). *Employee Training and Development* (Fifth Edition ed.): McGraw-Hill.
- OECD. (2003). *Harmonising Donor Practices For Effective Aid Delivery*.
- OECD. (2006). *The Challenge of Capacity Development: Working Towards Good*

- Practice *DAC Guidelines and Reference Series*. Paris, France.
- OECD. (2008). The Paris Declaration on Aid Effectiveness (2005) and the Accra Agenda for Action (2008).
- OECD. (2009). Inventory of donor approaches to capacity development: What we are learning: OECD.
- OECD. (2010). DAC Perspectives Note Technical Cooperation for Capacity Development *Draft for Discussion*.
- OECD/DAC. (2010). DAC Statistical Reporting Directives. Paris: OECD.
- Oh, H. W., & Chang, S. J. (2013). 한국도로학회 이노미팅 결과 소개 [Introduction of Results of Inno-meeting by Korean Society of Road Engineers]. *Road Engineers*, 15(2), 112-117.
- Olsen, K. H. (2006). Why Planned Interventions for Capacity Development in the Environment Often Fail: A Critical Review of Mainstream Approaches. *International Studies of Management & Organization*, 36(2), 104-124.
- Ornert, A. (2006). Missing pieces: an overview of the institutional puzzle. *Public Administration and Development*, 26(5), 449-455.
- Otoo, S., Agapitova, N., & Behrens, J. (2009). The Capacity Development Results Framework - A strategic and results-oriented approach to learning for capacity development: The World Bank.
- Park, S. Y. (2012, April). '개발협력컨설팅 ODA사업' 과 공적개발원조 개선방안 [Improvement Plan for Development Consulting ODA projects and ODA] (Development Cooperation - Policies and Issues. No. 5). Seoungnam: KOICA.

- Park, T. I. (2011). *Motives of Korea's Official Development Assistance Policy*: Hanul Academy.
- Pearson, J. (2011). Training and Beyond: Seeking Better Practices for Capacity Development *OECD Development Co-operation Working Papers, No. 1*: OECD Publishing.
- Phillips, L., & Ilcan, S. (2004). Capacity-Building: The Neoliberal Governance of Development. *Canadian Journal of Development Studies/Revue canadienne d'études du développement*, 25(3), 393-409.
- Postma, W. (1998). Capacity-building: The making of a curry. *Development in Practice*, 8(1), 54-63.
- ReDI. (2012). 우리나라의 기술협력 공적개발원조사사업 개선방안 [The way of improving Korea's technical cooperation ODA projects] (ODA Research No.2012-24-256). Seongnam: KOICA.
- Schnell, S., & Saxby, J. (2010). Mobilizing against hunger and poverty: Capacity and change in a Brazilian social mobilization network. *Public Administration and Development*, 30(1), 38-48.
- Seddon, T. (1999). Capacity building: beyond state and market. *Pedagogy, Culture & Society*, 7(1), 35-53.
- Sen, A. (1999). *Development As Freedom*. New York: Random House.
- Sida. (2000). Policy for Capacity Development. Stockholm.
- Sida. (2005). Manual for Capacity Development *Methods Document*: SIDA.
- Smith, H. (2005). Ownership and capacity: Do current donor approaches help or hinder

the achievement of international and national targets for education?

International Journal of Educational Development, 25(4), 445-455.

Straussman, J. D. (2007). An Essay on the Meaning(s) of “Capacity Building”—With an Application to Serbia. *International Journal of Public Administration*, 30(10), 1103-1120.

Szent-Iványi, B., & Tétényi, A. (2013). The East-Central European New Donors: Mapping Capacity Building and Remaining Challenges. *Journal of International Development*, 25(6), 819-831.

The Working Party on Aid Effectiveness . (2011). Busan High Level Forum on Aid Effectiveness: Proceedings: 29 November–1 December 2011.

UNDP. (2007). Capacity Assessment Practice Note.

UNDP. (2008a). Capacity Assessment Methodology: User's Guide. New York, USA: UNDP.

UNDP. (2008b). Supporting Capacity Development: The UNDP Approach. New York: UNDP Capacity Development Group.

UNDP. (2009). A Collective Approach to Supporting Capacity Development.

UN General Assembly. (2014). The road to dignity by 2030: ending poverty, transforming all lives and protecting the planet, Synthesis report of the Secretary-General on the post-2015 sustainable development agenda.

Watson, D., & Khan, A. Q. (2010). Capacity development for education service delivery in Pakistan: Top-down devolution. *Public Administration and Development*, 30(1), 11-26.

Wilén, N. (2009). Capacity-building or Capacity-taking? Legitimizing Concepts in Peace and Development Operations. *International Peacekeeping*, 16(3), 337-351.

World Bank. (2008). Using Training to Build Capacity for Development : An Evaluation of the World Bank's Project-Based and WBI Training. Washington, D.C.: The World Bank.

Appendices

Appendix 1: THE BONN WORKSHOP CONSENSUS

We recognize that capacity development is critical for sustainable development and national ownership. It is primarily a developing country responsibility.

Capacity development is a fundamental change process requiring that:

- a) Developing countries commit to the capacity development of their human resources, systems and institutions at all levels, and
- b) External partners commit to strengthen their own capacity and adapt their approaches to deliver responsive support for capacity development.

Six areas of action:

- Developing countries agree to integrate capacity development as a core element of national, sector and thematic development efforts.
- Developing countries will take the lead in addressing key systemic issues that undermine capacity development, with support from external partners as required.
- To enable developing countries to exercise ownership of capacity development through technical cooperation, external partners agree to a) the joint selection and management of technical cooperation to support local priorities and b) expand the choice of technical cooperation providers to ensure access to sources of local and South-South expertise.
- Developing countries and external partners also jointly commit to enable the capacity development of civil society and the private sector to play their development roles more fully.

- In situations of fragility, notably in post conflict, external partners will provide tailored and coordinated capacity development support for core state functions earlier and for a longer period. Interim measures should be appropriately sequenced and lead to sustainable capacities and local institutions.
- Beyond Accra, developing countries and external partners jointly agree to a strengthened and consolidated international effort to expand capacity development knowledge and apply resulting good practice.

Appendix 2: Berlin Statement on International Development Training

Berlin Statement on International Development Training

Berlin Statement on International Development Training

*Final Declaration of the High Level Retreat on the Effectiveness of
International Development Training, Berlin, 4.-5. June 2008*

Purpose

While development agencies generally meet under the auspices of the networks of the OECD Development Assistance Committee, there is no joint agenda on International Development Training. Therefore, a group of development training institutes (DTIs)¹ met for a High Level Retreat on the Effectiveness of International Development Training, in Berlin on 4th-5th of June 2008 to develop this agenda.

Background

All development actors have a responsibility to promote the objectives of the Paris Declaration on Aid Effectiveness, and the development training institutions sought ways to promote the pillars of that declaration. In particular they discussed ways to increase country ownership in the provision of training, to align training provided by DTIs with country needs and systems, to work towards common standards, to facilitate learning about what works in different contexts, and to collaborate in joint program development where feasible.

Because several recent evaluation studies have brought specific areas of training practice into question, it was opportune for the DTIs to review common issues of Operational Effectiveness. Retreat participants engaged with the issues raised by these critiques, exchanged views and good practices, and identified specific issues for follow-up in the coming months.

¹ The term DTI is meant to include specialized training institutes as well as units of bi- and multilateral development agencies and regional development banks that are implementing development training.

Key Messages

The retreat led to several key messages with respect to the Operational Effectiveness of DTIs and to the Aid Effectiveness of training. These messages were formulated with the explicit recognition of the principles of the Paris Declaration on Aid Effectiveness and are to be submitted for the consideration of the Accra High-Level Forum in September 2008.

1. Effectiveness - Training in the context of capacity development

Training addresses not only learning at the individual level, but must be integrated into a wider capacity development effort to include capacity gaps at the organizational and institutional levels.

Effectiveness of training requires matching training to the capacity needs identified in specific contexts and specifying the type of learning outcomes to be achieved, such as enhanced skills, raised awareness or improved consensus. It equally requires that trained staff can be retained and institutions are thus effectively strengthened. The risk of a brain drain of trained staff needs to be taken into regard.

DTIs are well placed to implement training and other forms of capacity development. Whether training or other forms of capacity development are the most effective means to address capacity gaps must be determined beforehand in the capacity needs assessment.

2. Guidelines for the development of training programs

DTIs note the widespread need for general directions on training cycle management. This need should be addressed through tools that provide orientation and inspiration, rather than formal rules and standards.

Developing such tools could start with an exchange of successful practices among DTIs. In addition, the issues of learning methods and modes, including the use of technology, require further analytical work and discussion, including research or disseminating research results.

In doing so, the definition of training should be expanded beyond the classroom to include means such as eLearning, mentoring, coaching, and secondments, peer exchanges and experience-based learning methods.

3. Metrics - Indicators for and evaluation of training

The metrics of training programs is an area for urgent research, with a particular focus on the impact of training on organizations, policies and other institutional structures and systems, based on clearly formulated and articulated objectives and change processes (see Key Message 1). Monitoring and evaluation are to be seen as continuous activities.

More work needs to be done into distilling lessons from training evaluations such as the recent World Bank IEG evaluation of training, seeking to determine what works

best in what context. Participating DTIs noted that mechanisms should be found for more information-sharing on methodologies and results of training evaluations.

While metrics should be project- or program-specific, they also need to be formulated on the basis of general guidelines that partner governments and donors agree on (see Key Message 4).

4. Country Ownership - Strengthening training institutions

DTIs should re-invigorate efforts to strengthen existing national training institutes; promote peer learning among national and regional training institutes and provide a comparative perspective.

Promising approaches are: Giving support for national champions and for centers of excellence, and linking them to DTIs; training of trainers; making increasing use of national training experts in DTIs' own programs; and providing salary and budget support to improve staff retention rates. Most training materials must be adapted for local use and rooted in the country context - translating them is often not sufficient.

Closing capacity gaps at the organizational and institutional levels requires getting a buy-in from the trainees' institutions. In doing so, ownership should not be limited to the public sector and the government, but include other important actors, most notably civil society and the private sector.

5. Alignment - Partner country needs assessments

DTIs need to align to partner countries' needs assessment systems. It is important that partner institutions themselves undertake the capacity needs assessment; if necessary DTIs should first strengthen the partner capacity to do so.

While the details of the assessments will reflect the diversity of partner institutions, all partners will need to meet certain criteria: to have a clear development strategy; to determine the level at which the assessment be done (micro, meso, or macro); to identify local institutions and stakeholders that would participate in the assessment; to link assessments to results and outcomes; and (most importantly) to set clear priorities among the needs identified. The retreat also discussed how DTIs could best support the assessment process.

6. Harmonization - International division of labor

DTIs generally agree on the need to improve harmonization of their work to reduce duplication and burdens on partners, and to build synergies among themselves. DTIs are open to rely on common principles of complementarity, comparative advantage, proximity to client, additionality, and effective coordination. Harmonization can thus account for DTIs having different mandates and are operating in different contexts.

Getting to know each other better among DTIs is an important starting point for harmonization. A first step would be to take stock of the major institutions providing training as part of official development cooperation, the type and scale of their operations, and competencies.

7. Collaboration - Joint content development, sharing rosters, didactical approaches & training formats

International Development Training materials developed with public funds should be disseminated as widely as possible. Sharing existing materials or expert rosters could be an effective first step for collaboration, being less time consuming and resource intensive than joint development.

Sharing of training programs and of capacity development resources should first be piloted to identify, in a practical setting, any issues on intellectual property rights, privacy, quality control, and business model. In this context, alternative models and licensing options could be explored. Progress on joint development would best be achieved through specific collaborative initiatives that generate experiences and help to identify approaches that can be realized effectively.

Making their own materials available to the public or starting specific joint content development initiatives can be done by DTIs individually. Addressing collective issues will require larger DTIs to take over some of the investments and development work (e.g. setting up and managing a website for sharing materials).

Follow-Up for Implementation

Recognizing the importance of maintaining momentum on the key issues, several of which had emerged separately in different roundtables, the Retreat welcomed the offers of participants to share ideas on the follow up items with the following working titles:

(A) How-To Guide on Training Programs

Participating DTIs intend to take up the need for general directions on training cycle management and jointly work on the development of a "how-to guide"² on training programs, in response to key messages from sections 1 and 2 of the Berlin Statement. There are existing good practices and these need to be shared and adopted.

The nature and scope and the most appropriate term for the product will be decided by the collaborating partners. Potential issues that were discussed at the retreat and could be included are: (i) How to match the capacity building measure - training or other forms - to the capacity needs identified in specific contexts? (ii) How to distinguish training that is critical to a change process from the skills building that is required for the normal and efficient running of an organization? (iii) How to capture training cycle management in a concise set of general guidelines? (iv) How to develop toolkits for training cycle management?

InWEnt offered to be the initial convening champion for this follow up, to collect ideas and suggestions and to coordinate next steps. Interested DTIs may contact Günther Taube (guenther.taube@inwent.org).

² The terms "Guidelines," "Orientation Map," and "How-To Guide" had all been used.

(B) Certification Standards and Programs

Further work on certification standards and programs was proposed by several participants. A focal point of contact would be needed to initially convene interested partners and collaborate in response to key messages from sections 4 and 5 of the Berlin Statement.

(C) Sharing Capacity Development Resources

The first step in response to key messages from section 7 of the Berlin Statement for sharing training materials or expert rosters will require individual efforts of DTIs to make their own materials as widely available as possible. Participating DTIs expressed their interest to follow-up on this in a future forum.

(D) Metrics

Distilling lessons from training evaluations and promoting metrics that go beyond effects on individuals were identified as important follow-up steps to key messages in section 3 of the Berlin Statement. WBI offered to collaborate with participant organizations on this and Samuel Otoo (sotoo@worldbank.org) would initially convene interested parties.

(E) Mapping of Development Training Institutions

Getting to know each other better among DTIs was identified as an important step towards harmonization responding to relevant key messages in section 6 of the Berlin Statement. Undertaking a mapping of Development Training Institutions would require someone to take the lead as well as the collaboration of all involved. Participant DTIs interested in exploring these issues are invited to contact others with a proposal. The more far-reaching consideration to develop a database or a network of DTIs could be taken up in a follow-up meeting.

Appendix 3: Cairo Consensus on Capacity Development

CAIRO CONSENSUS ON CAPACITY DEVELOPMENT: CALL TO ACTION

Building on Bonn, Accra and meetings that followed, including the Cairo Workshop, we acknowledge the progress made and take note of a number of practical results since then, yet we remain aware that more needs to be done. Progress includes recognition, based on strong evidence, that *institutional and human resource capacity development* (CD) is essential to achieve sustainable development results.

We, the Cairo Workshop participants, commit to a series of priority actions for implementation prior to and beyond the High Level Forum in Busan. This consensus statement marks a *shift to an approach which is demand-driven and results focused, owned by the country, and which builds on existing capacity.*

- *Capacity development is not an afterthought.* We will make sure that CD is at the heart of all significant development efforts. We will involve state and non-state actors (parliaments, media, civil society), and facilitate coalitions of local agents to drive change.
- *Capacity development is strategic for the achievement of development results and accountable institutions.* It must deliver short, intermediate and long term results, recognizing tangible and less tangible (soft) dimensions. Short term results could include a strengthened coalition among actors to implement new policy initiatives or develop new skills to generate quick impact. Intermediate results could include improved institutions, better policy environments, and higher competences of stakeholders involved in development. Longer term results such as improved performance of a water utility or better quality of learning outcomes are examples of practical results that are indispensable to wider, sustainable, development impact.
- *Domestic leadership of capacity development is essential.* We will align CD efforts behind a country's vision for development and key deliverables within a national strategy. Without effective control of the process, a country will be unable to align resources for CD to its key priorities, and sustainable improvements in capacity will be almost impossible to achieve.
- *Existing capacities should be the backbone of any capacity development initiative and must not be undermined.* We will act to minimize distortion of incentives and labour markets, particularly in fragile and conflict affected states, and will strengthen country systems while gradually phasing out, and using very selectively, parallel units.
- *Systematic learning on what works and what doesn't is key to improved capacity.* We will invest more in learning and knowledge networks, focusing on mutual learning through partnerships with middle-income countries, learning from evaluation, and South-South.
- *Supply-driven technical co-operation rarely builds sustainable capacity.* We will support demand-led, transparent technical co-operation tailored to country context, with a focus on peer-based, flexible and long-term partnerships, designed to achieve results.
- *Capacity development is a top priority for all partner countries and especially countries affected by fragility.* We will work with the g7+ and the International Dialogue Group to develop a protocol for adoption in Busan. This will guide effective use of limited development resources and assist in delivering critical results in the short and longer term. We commend the g7+ for showing leadership in defining CD as a priority.

Cairo, 29th March 2011

Appendix 4: Bangkok Call to Action on Technical Cooperation for Capacity Development (2011)

Call for Reform of Technical Cooperation: Why?

We, the participants of the conference "*A Country-Led Approach Towards Reform of Technical Cooperation*", held in Bangkok on 15 September 2011, affirm our common agreement on the need to reform current practices of **Technical Cooperation**, historically the primary approach to developing partner country capacity. The problems associated with Technical Cooperation are well recognised, analysed and understood. Yet meaningful and adequate reform of Technical Cooperation- reform which responds to known problems- has not materialised. Hence this joint Call to Action.

The importance and relevance of this reform stems from the continued use of Technical Cooperation, which is possibly the most dominant channel of development cooperation. More important still, Technical Cooperation remains the preferred vehicle for Capacity Development support. As such, **Technical Cooperation must, at its core, address the development of lasting capacities**- reflected in an enhanced skills mix, resilient and performing institutions, and the right fit within the enabling context. This primacy of investing in effective capacity development has been recognised in the 2005 Accra Agenda for Action and more recently in the 2011 "Cairo Consensus" on capacity development.

We therefore call for accelerating the pace and scale of efforts to reform Technical Cooperation for Capacity Development, and for the forthcoming 4th High Level Forum on Aid Effectiveness to reinforce this call and accord it priority.

The Changing Technical Cooperation Paradigm: What is New?

The Bangkok conference reconfirmed that Technical Cooperation continues to be widely used, accounting for perhaps 20-25% of all Official Development Assistance. It reinforced the need to learn lessons from both the successes and failures of the past, and it recalled the many well-known pitfalls to be avoided.

Yet the discussions in Bangkok also revealed that there is a **new** paradigm of Technical Cooperation that is emerging. The free flow of information and the emergence of new actors on the global stage are important elements of this new paradigm. New technologies are facilitating innovative ways and means of knowledge transfer. South-South cooperation and twinning arrangements increasingly stand out as modalities of

choice, offering opportunities and increased prospects for horizontal learning and shared solutions to development challenges.

There is a significant Southern voice on the world stage now, and the influence of the South is on the rise.

The Bangkok conference revealed new thinking on Technical Cooperation, and explored the conditions under which it operates. It examined and analysed Technical Cooperation experiences in Asia and the Pacific, acknowledging as well the significant successes in the region. It is in this forward-looking spirit that we issue this Call to Action, and request a continuing and action-oriented dialogue, *a country-led dialogue*, towards meaningful reform of Technical Cooperation for Capacity Development.

Key Elements of the Technical Cooperation Reform Agenda: How?

Ownership must meaningfully exist where Technical Cooperation is undertaken. While the *concept* of ownership has been much discussed, the *existence* of ownership is often signaled by the presence of distinct traits, which Technical Cooperation initiatives should embrace.

Ownership exists when *the partner country* is the source or the custodian of the Technical Cooperation idea and drives the initiative- when it articulates precisely what it wants, knows when is enough, and recognises in which instances to say no. Ownership exists when the Technical Cooperation initiative is compliant with national frameworks, and is designed and implemented with clear and mutual lines of accountability. Ownership exists when Technical Cooperation considers a whole of government approach, when it uses country systems, when it includes a locally financed component, and when it draws on local expertise as far as possible.

In order to foster ownership, as well as ensure sustainability, Technical Cooperation must respond to demand. The offer itself must be flexible and relevant, and providers of Technical Cooperation should make available a menu of what is on offer rather than providing prescriptive solutions. Above all, Technical Cooperation must be untied.

Technical Cooperation initiatives must have built-in quality assurance mechanisms. Technical Cooperation quality assurance mechanisms should be self-governing or self/peer-monitoring mechanisms for review, course correction, coordination, and oversight. These require real time data and relevant information management as a prerequisite for making appropriate decisions. As such, providers of Technical Cooperation must invest in their own internal systems in order to develop and utilise comprehensive knowledge of a country's needs, as well as to fulfill their responsibility to proactively coordinate with other providers.

Good Technical Cooperation is characterised by a diversity of actors. A more comprehensive range of actors needs to be engaged in Technical Cooperation initiatives. The greater involvement and engagement of Civil Society Organisations will improve the rigor of design and choice of modalities of Technical Cooperation and increase the likelihood of sustainability. It is similarly important to anchor the management of Technical Cooperation initiatives within local institutions and to nurture intermediary organisations, while avoiding free standing Project Implementation Units.

Technical Cooperation works best when it is appropriate and comprehensive. Comprehensive Technical Cooperation targets all levels of capacity – human capital development; institution building and business processes; and the enabling environment. It must be based on assessments of capacity needs and priorities. The choice of Technical Cooperation modality is context sensitive and therefore must consider an appropriate mix of modalities.

Effective, relevant, appropriate, and comprehensive Technical Cooperation initiatives often share common characteristics. They use practitioners over experts when necessary; address immediate problems rather than anticipated problems of the provider's construction; link strongly to development results; and are mindful of lessons of the past. They recognise the importance and potential of South-South cooperation. They link to investments in tertiary/higher education, thereby supporting a core institutional pillar for countries to realise their own vision and to develop sustainable national capacity over the long term.

We, the participants of the Bangkok conference A Country-Led Approach Towards Reform of Technical Cooperation, representing 19 countries of Asia and the Pacific, believe there is currently a joint North - South consensus on the need for reform of Technical Cooperation and urge the forthcoming 4th High Level Forum on Aid Effectiveness to commit to the immediate implementation of the above reform agenda.

Government officials and civil society representatives from:

Afghanistan	Pakistan
Bangladesh	Philippines
Cambodia	Samoa
Cook Islands	Solomon Islands
Fiji	Timor-Leste
India	Thailand
Indonesia	Tonga

Lao PDR
Maldives
Nepal

Vanuatu
Vietnam

Development partner representatives from:

Asian Development Bank

Organisation for Economic Cooperation and
Development- Development Assistance
Committee

Australia

Denmark

European Commission

France

South Korea

United Nations Development Programme

United Nations Economic and Social Commission
for Asia and the Pacific

Japan

New Zealand

Norway

World Bank

Appendix 5: UN Open Working Group proposal for Sustainable Development Goals (2014)

- GOAL 1** End poverty in all its forms everywhere
- GOAL 2** End hunger, achieve food security and improved nutrition and promote sustainable agriculture
- GOAL 3** Ensure healthy lives and promote well-being for all at all ages
- GOAL 4** Ensure inclusive and equitable quality education and promote lifelong learning opportunities for all
- GOAL 5** Achieve gender equality and empower all women and girls
- GOAL 6** Ensure availability and sustainable management of water and sanitation for all
- GOAL 7** Ensure access to affordable, reliable, sustainable and modern energy for all
- GOAL 8** Promote sustained, inclusive and sustainable economic growth, full and productive employment and decent work for all
- GOAL 9** Build resilient infrastructure, promote inclusive and sustainable industrialization and foster innovation
- GOAL 10** Reduce inequality within and among countries
- GOAL 11** Make cities and human settlements inclusive, safe, resilient and sustainable
- GOAL 12** Ensure sustainable consumption and production patterns
- GOAL 13** Take urgent action to combat climate change and its impacts*
- GOAL 14** Conserve and sustainably use the oceans, seas and marine resources for sustainable development
- GOAL 15** Protect, restore and promote sustainable use of terrestrial ecosystems, sustainably manage forests, combat desertification, and halt and reverse land degradation and halt biodiversity loss
- GOAL 16** Promote peaceful and inclusive societies for sustainable development, provide access to justice for all and build effective, accountable and inclusive institutions at all levels
- GOAL 17** Strengthen the means of implementation and revitalize the global partnership for sustainable development

* Acknowledging that the United Nations Framework Convention on Climate Change is the primary international, intergovernmental forum for negotiating the global response to climate change.

Appendix 6: AusAID's Technical Assistance Options for Developing Capacity (March 2011)

Table 1: INDIVIDUAL capacity development options	Options Matrix (Table 6) reference number
Diagnostic tools	
Psychological testing	47
Job related learning	
Action learning	1
Coaching	9
Communities of practice	11
Exchanges	16
External training courses	18
Forums	20
Internal training courses	25
On the job training	37
Scholarships	52
Secondments	53
Self-directed learning	54
Work shadowing	66
Professional development	
International conferences	27
Internet forums	28
Mentoring	32
National sector- based conferences	35
Professional associations and/or networks	44
Seminars	55
Organisational strategies that directly support individual capacity development	
Apprenticeships	2
Cadetships	7
Customised leadership and management programs	15
Graduate programs	21
Institutional co-operation/ twinning	24
Internships	29
Project teams and working groups	45
Team retreats	60
Training of trainers	62
Workshops	67

Table 2: TEAM capacity development options	Options Matrix (Table 6) reference number
Diagnostic tools	
Client/customer surveys	8
Psychological testing (for teams)	47
Team based learning processes	
Benchmarking	4
Coaching	9
Customised leadership and management programs	15
Institutional co-operation/twinning	24
IT systems design and implementation	30
Mediation	31
Operational planning	38
Process improvement/quality assurance processes	43
Project teams and working groups	45
Restructuring (work redesign within the team)	50
Reward and recognition programs	51
Simulations	56
Study tours	59
Team based planning	
Monitoring processes	33
Team retreats	60
Workshops	67

Table 3: ORGANISATIONAL capacity development options	Options Matrix (Table 6) reference number
Diagnostic tools	
Client/customer surveys	8
Human Resource Management Diagnostic Instrument (HRMDI)	22
Public Expenditure and Financial Accountability (PEFA) assessment	48
Strategic/ corporate planning	58
Training needs analysis (TNA)	61
Organisational strategy	
Balanced scorecard	3
External diagnostic analysis	17
Monitoring processes	33
New or changed legislation	36
Operational planning	38
Organisation communications processes	39
Organisational analysis/diagnostic processes	40
Process improvement/quality assurance processes	43
Project teams and working groups	45
Restructuring	50
Reward and recognition programs	51
Simulations	56
Strategic/corporate planning	58
Organisational learning	
Benchmarking	4
Commissioned research	10
Institutional co-operation/ twinning	24
IT systems design and implementation	30
Study tours	59
Training of trainers	62
Use of pre-existing research	63
Workshops	67
Workforce development	
Apprenticeships	2
Cadetships	7
Customised leadership and management programs	15
Graduate programs	21
Internal training courses	25
Internships	29

Table 4: SECTOR wide capacity development options	Options Matrix (Table 6) reference number
Diagnostic tools	
Client/customer surveys	8
Human Resource Management Diagnostic Instrument (HRMDI)	22
Strategic planning (sectoral)	58
Sector wide workforce development	
Cadetships	7
Customised leadership and management programs	15
Exchanges	16
External training courses	18
Graduate programs	21
Internships	29
Mediation	31
Monitoring processes	33
New or changed legislation	36
Project teams and working groups	45
Reward and recognition programs	51
Secondments	53
Training of trainers	62
Work shadowing	66
Sector wide learning	
Commissioned research	10
Communities of practice	11
Forums	20
Institutional co-operation/twinning	24
Internet forums	28
National sector-based conferences	35
Professional associations and/or networks	44
Project teams and working groups	45
Seminars	55
Simulations	56
Study tours	59
Use of pre-existing research	63
Workshops	67

Table 5: TA resourcing options	Options Matrix (Table 6) reference number
Financing	
Budget Support, General	5
Budget Support, Sector	6
Core Contributions	13
Country Partner Funded*	14
Facilities provision*	19
Pooled Funds	42
Personnel	
Consultancies	12
In line personnel	23
International advisers	26
National advisers	34
Regional Advisers	49
Volunteers	64
Whole-of-Government advisers	65
Programming	
Outsourcing of services*	41
Projects	46
Scholarships	52
Specific-purpose programs and funds	57

Source: AusAID (2011, 3-7)

Appendix 7: Learning practice approaches, tools and techniques by Pearson (2011)

DESCRIPTION	LEVEL AND APPLICATIONS	STRENGTHS	CHALLENGES	Additional Information
<p>Blended learning: Blended learning is the combination of different training and learning technologies, activities and events. It most usually combines a mixture of e-learning and interactive human contact.</p>	<p>Individuals and groups: For any learning need that has a mixture of theory and practice; for processes where large numbers of people in different locations need to learn the same things.</p>	<p>The blend selected can be problem-focused or person-focused; enables quality assessment of e-learning processes; enables rapid roll-out to large groups; can be very cost effective (depending on development costs).</p>	<p>It needs skilful design and management to ensure the right balance between the e- and person components of the blend. Requires a high level of compatible technology and study skills as prerequisites. Development costs can be high. The e-learning element is often not suitable in many development contexts.</p>	<p>http://en.wikipedia.org/wiki/Blended_learning</p>
<p>Coaching and mentoring: Coaching is generally focused on workplace challenges and issues and will be time bounded. Mentoring is generally a long-term process of supporting an individual's career and personal development. Both are tailored and contextual.</p>	<p>Individuals and groups: As part of leadership development programmes; follow-up to training activities; anywhere that managers and professionals could benefit from focused guidance.</p>	<p>Very focused way to support learning and performance improvement; can be offered by national personnel.</p>	<p>Ideally coaching and mentoring need to be separated from line management structures; coaches and mentors need to have specific skills.</p>	<p>www.cipd.co.uk/subjects/lrmanddev/coachingmentor/?area=hs</p>

DESCRIPTION	LEVEL AND APPLICATIONS	STRENGTHS	CHALLENGES	Additional Information
<p>Communication: Processes that connect groups and surface their collective knowledge and wisdom, enhancing and supporting learning and change within those groups. Considered by some to be a cross-cutting element of all other processes, and by others to be a component of knowledge management. Some specific communication methods are the World Café, Open Space Technology and Appreciative Inquiry.</p>	<p>Groups, organisations and sectors: For working on issues that have a defined stakeholder group whose knowledge and wisdom can contribute to identification and solution of problems within their circumstances; best used for challenges that do not have technical solutions.</p>	<p>Brings to the surface the implicit knowledge and wisdom embedded in groups; ensures that all stakeholders have voice in decisions that concern them; empowers participants; creates ownership and commitment to action.</p>	<p>Can be countercultural and create resistance; requires skilful facilitation; can raise inappropriate expectations.</p>	<p>www.theworldcafe.com www.openspaceworld.org www.futuresearch.net http://appreciativeinquiry.case.edu/</p>
<p>Customised training: Training commissioned for the needs of a specific group.</p>	<p>Individuals and groups For specific technical skills for project implementation; for system compliance needs.</p>	<p>Focused on the specific needs of participants.</p>	<p>Relevance and success depends on the quality of the needs assessment and design processes, which are often inadequate and do not build in appropriate follow up.</p>	<p>http://siteresources.worldbank.org/EXTT/RABUICAPDEV/Resources/full_doc.pdf</p>
<p>Degree-level study overseas: Usually scholarships for graduates to study at masters and doctoral levels at overseas universities.</p>	<p>Individuals For young and mid-level professionals; where a sector lacks a pool of personnel with academic level knowledge of its technical needs.</p>	<p>Individual learning which results in positive and quantifiable impacts at both individual and organisational level.</p>	<p>Positions and workload have to be covered during absences; difficulty adapting and applying new knowledge on return to workplace; risk of brain drain.</p>	<p>www.aionline.org/files/ATLAS_AFGRA_D_Generations_of_Quiet_Progress.pdf</p>
<p>Distance learning: Academic study programmes offered by overseas universities for participants to follow from home.</p>	<p>Individuals For people who do not have high-quality tertiary education available locally and whose financial or personal circumstances do not allow them to study overseas</p>	<p>Gives high-level academic opportunities for people who are not able to go overseas; flexible timing.</p>	<p>Students are isolated; requires high level of English and study skills; needs good quality and affordable Internet access; little support for adaptation and application of new learning in the workplace.</p>	<p>www.unisa.ac.za</p>

DESCRIPTION	LEVEL AND APPLICATIONS	STRENGTHS	CHALLENGES	Additional Information
<p>E-learning: Technology-supported or web-based learning systems. E-learning can happen across distances and borders or within one organisation and therefore not necessarily at a distance.</p>	<p>Individuals and groups For learning needs that have high knowledge or technical components; for working on processes with groups who are geographically distant.</p>	<p>Offers individual and flexible learning opportunities without requiring direct human interaction so good for people who do not have easy access to other learning resources or facilitators; can be very cost effective.</p>	<p>Students are isolated; requires high level of independent study skills and ability in the language of instruction; needs good quality and affordable Internet access; little support for adaptation and application of new learning in the workplace.</p>	<p>www.gc21.de</p>
<p>Experiential learning: Generic heading for numerous structured and semi-structured processes which can support individuals to learn from their workplace experiences. Tools and techniques that come under this heading include: action-reflection-learning-planning cycle, action learning sets, action research, critical incident analysis, on-the-job training, work-based learning, work/job shadowing, and whole person learning.</p>	<p>Individuals and groups For advisors to build capacity of counterparts and teams; for training follow-up activities; as monitoring tools.</p>	<p>Starts from the participant's own level of experience; grounds learning into workplace practice; works well for those not academically inclined.</p>	<p>Can create resistance because countercultural or does not fit expectations; requires strong facilitation skills; not so good for technical needs.</p>	<p>www.learningfromexperience.com/</p> <p>www.learningandteaching.info/index.html</p> <p>www.cdra.org.za</p> <p>www.bond.org.uk/resources.php/463/action-learning-set</p> <p>www.jeanmcniff.com/ar-booklet.asp</p> <p>www.eric.ed.gov</p> <p>www.cipd.co.uk/subjects/lrmanddev/designdelivery/otjtrain.htm</p>
<p>Exposure: Exposure visits take people to see what others are doing in work situations similar to their own. Attending conferences and other events provide exposure to new knowledge, ideas and influences within sectors.</p>	<p>Individuals and groups For those who will benefit from seeing new or different ideas in action or who would benefit from introduction to new knowledge, ideas and practices.</p>	<p>Makes learning about new ideas more practical and grounded in reality; stimulates the spread of good practice and the fertilisation of innovation.</p>	<p>If it involves international travel exposure can be expensive and not cost effective; clear learning objectives need to be specified at the start, and followed up effectively afterwards if new ideas are to be applied.</p>	<p>www.acetug.org/services/exposure-visits.html</p>

DESCRIPTION	LEVEL AND APPLICATIONS	STRENGTHS	CHALLENGES	Additional Information
<p>External training courses: Courses for which the content and curriculum are predefined by the provider, who may be a private company, a training institute, or not-for-profit organisation.</p>	<p>Individuals Technical subjects such as accounting, computer and ICT skills; language development; and management.</p>	<p>Relatively inexpensive and readily available.</p>	<p>Cannot be specifically tailored to participant needs; rarely involves pre-testing or follow-up activities; impact is difficult to assess; limited support for participants to apply learning in the workplace.</p>	<p>www.fsu.edu/~elips/ae/download/ade5083/Siriporn_McLean.pdf</p> <p>www.nwlink.com/~donclark/hrd/learning/transfer.html</p>
<p>Knowledge management: Considered by some to be a cross-cutting issue in CD, it is the process by which organisations generate value from their intellectual and knowledge-based assets by documenting what staff and stakeholders know about the organisation's areas of interest, and then sharing that collected data back to those who need it to enhance their job performance.</p>	<p>Groups, organisations and sectors For sectors with rapid advances in knowledge e.g. health; sectors that are knowledge based e.g. education and training; in multidisciplinary stakeholder processes, such as decentralisation.</p>	<p>Enhances communication and connection within systems to ensure that they are using all the available knowledge assets to best effect.</p>	<p>Can be very complex and time-consuming to implement; requires constant attention and updating; can become overly technical and dependent on data management systems.</p>	<p>www.cio.com/article/40343/Knowledge_Management_Definition_and_Solutions</p>
<p>Leadership development: Processes designed to enhance the leadership skills of existing and potential leaders within systems. Most effective when training modules are combined with activities such as exposure visits, and coaching or mentoring.</p>	<p>Individuals and groups For development of the next generation of leaders; where new challenges are emerging for which no experienced sector leadership yet exists; to help women overcome the glass ceiling that prevents their professional advancement.</p>	<p>Gives emerging leaders the skills and confidence to step into leadership roles.</p>	<p>Requires the background political economy to be such that participants can practice what they learn in order to bring about change in their own performance or within their organisations.</p>	<p>www.leadershipdevelopment.edu.au/Content/Common/pg-effective-theory.seo</p> <p>http://managementhelp.org/ldr_dev/ldr_dev.htm</p>

DESCRIPTION	LEVEL AND APPLICATIONS	STRENGTHS	CHALLENGES	Additional Information
<p>Organisational strengthening: There are three inter-related disciplines known as organisational development, change management and organisational learning. Working with co-ordinated learning and change techniques to help organisations gain the capacity they need to be effective and fulfil their organisational/sectoral mandates.</p>	<p>Organisations and sectors For any organisation or system that does not yet have the capacity to fulfil its mandate or is striving for continual improvement; best used when the development of capacity calls for multiple aspects of the system simultaneously to learn, develop and change.</p>	<p>Works at the level of whole systems and therefore ensures that learning, change and development are simultaneous across the whole organisation or sector.</p>	<p>Very complex, requiring high levels of conceptual and strategic thinking to be transferred to operational realities, and strong facilitation of multiple concurrent interventions; needs an enabling environment.</p>	<p>www.cipd.co.uk/subjects/corpstrtgy/orgdev/mt/orgdev.htm</p> <p>www.odi.org.uk/resources/details.asp?id=153&title=tools-knowledge-learning-guide-development-humanitarian-organisations</p> <p>www.solonline.org/</p> <p>www.comminit.com/en/node/201165/36</p>
<p>Partnerships and networks: Mechanisms through which diverse actors with mutual interests come together in order to achieve a common goal. This can include twinning organisations and institutions with similar mandates, and the same or different levels of capacity.</p>	<p>Organisations and sectors For sharing knowledge and experience across borders; for developing research capacity.</p>	<p>Provides opportunities for sharing knowledge and experience across borders; offers opportunities for mutual learning.</p>	<p>Can be difficult to co-ordinate and keep functional; power relations can become unbalanced, having a negative impact on opportunities for learning.</p>	<p>http://info.worldbank.org/etools/docs/library/121363/CEbrief-10_Jan05.pdf</p>

Source: Pearson (2011, 33-37)

ABSTRACT IN KOREAN

한국은 1963년 미국 USAID의 자금 지원을 받아 개발도상국 대상 초청 연수사업을 시작한 이래 지금까지 개도국의 역량개발을 위한 기술협력 사업에 많은 노력을 쏟아왔다. 최근에는 국무조정실, 외교부, 기획재정부를 중심으로 정부 차원에서 개발 컨설팅 프로그램을 장려하고 있지만, 역량개발에 대한 심도 있는 연구와 논의가 부족한 실정이다. 이러한 배경 하에 이 논문은 국제사회와 한국 정부의 역량개발사업을 비판적으로 고찰한 것이다. 먼저 역량개발의 정의, 역사적 배경, 최근 논의 동향, 국제사회가 합의한 역량개발의 기본 원칙과 쟁점들을 고찰하고, 이를 통해 역량개발 사업을 분석할 수 있는 틀을 제시하였다. 또한, 한국 정부의 역량개발을 위한 기술협력 현황과 기술협력 형태로서 추진되는 개발 컨설팅 프로그램의 현황을 살펴보았다.

한국 정부가 추진하는 역량개발을 위한 기술협력 사업의 현황을 보다 면밀히 파악하기 위하여 개발 컨설팅 프로그램 중 한국국제협력단(KOICA)의 인도네시아 정부혁신 역량강화 사업을 하나의 예시로서 검토하였다. 동 사업에 대한 비판적 고찰을 통해 한국 정부가 추진하는 역량개발 사업에 대하여 다음과 같은 시사점을 도출할 수 있다. 첫째, 개발 컨설팅 프로그램을 포함한 역량개발 사업은 이론적 기반 위에서 추진되어야 한다. 둘째, 연수사업과 봉사단 파견사업은 주로 개인 차원의 역량에 집중하기 때문에 개인 뿐 아니라 조직과 환경을 모두 연계하는 시스템을 고려하는 통합적 관점을 적용할 필요가 있다. 셋째, 부족한 차이를 채워준다는 인식은 뒤로 하고 상대 국가의 자생적인 힘과 현지 역량을 강조할 필요가 있다. 넷째, 상대 국가의 자생적인 힘과 현지 역량을 활용하기 위해서는 현지 여건과 맥락을 현명하게 파악할 수 있는 공여국의 역량이 개발되어야 한다.

다섯째, 분절화된 한국 정부의 ODA 추진 체계를 고려할 때, 한국 정부 내부처간 조정과 조화가 시급하다. 또한, 연수사업, 봉사단 파견사업과 프로젝트는 단일 목적을 위하여 서로 유기적으로 연계하여 실행될 필요가 있다. 여섯째, 역량개발 사업의 실행적인 측면에서 표준이 되는 방법론과 추진 절차 등이 개발될 필요가 있다. 일곱째, 공여국으로서의 한국의 역량개발 사업 기획, 실행, 평가 역량이 개발되어야 한다. 여덟째, 한국의 역량개발 사업을 위한 기술협력은 수원국의 빈곤 감소에 기여할 수 있도록 고려되어야 한다.

이 논문은 문헌 분석을 주요 방법론으로 사용하였으므로, 향후 한국 정부의 개발 컨설팅 사업에 대한 사례 연구가 추진된다면 한국의 역량개발사업에 대한 보다 심도 있는 분석이 가능할 것이다. 또한, 국제사회에서 역량개발 논의를 주도하고 있는 OECD DAC, UNDP, World Bank 등 주요 기관의 역량개발에 대한 접근법, 수행 방식, 평가 방법 등에 대한 분석도 제안하는 바이다.

주요어: capacity development, capacity building, technical cooperation,

development consulting program, DEEP, government innovation in Indonesia

학번: 2010-23609