Sustainable Capacity Building:

Guidelines for Planning and Project Design Communities

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The Elusive Search for Impact: Rethinking Capacity Building

Introduction

The United States and its key allies contribute a significant portion of their annual budgets to assisting foreign countries across the globe.[1] Imagine a map, with each program marked by a pin where this assistance is deployed across the globe. In some parts of the map, these pins are densely concentrated. Elsewhere, they are more thinly spread. But the sheer number of pins provides a comprehensive picture of the more than $90 billion the United States and its allies expend annually on foreign assistance.[2] Now imagine this same map, with pins marking where these programs have built measurable and sustained human and institutional capacity. Far fewer pins remain.

Despite the significant resources devoted to improving human and institutional capacity across the globe, the vast majority of the programs they fund do not to fully achieve their intended outcome. Of course, all missions have their successes. In both small and large missions, as varied as Afghanistan, Kosovo, and Tunisia for example, creative and entrepreneurial mission personnel have implemented programs that have and continue to make a difference. But it is the big successes in terms of mission impact—the pins on the map that reflect *measurable and sustained human and institutional capacity*—where concerted and systemic change is achieved, that continue to prove ephemeral. Even in some of the places that have received the largest assistance packages, such as Afghanistan and Iraq, neither security nor capacity has measurably improved. Despite more than a decade of effort to develop new approaches to building capacity overseas and to identify and adopt lessons learned, the United States and its allies continue to struggle with how to design and deliver programs that achieve their intended outcome in the short term and their impact in the long term. A number of aspects and assumptions that underpin the current model for capacity building hamper this effort.

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[1] United States "foreign assistance" is a broad category of programs and funds that includes military and police aid, humanitarian and development aid, arms sales, training, foreign operations appropriation programs, Department of Defense programs, Foreign Assistance Act (FAA) and Arms Export Control Act (AECA) programs, and counternarcotics programs. These total some $40 billion in 2014. For a complete listing of programs, authorities and funds, see "Programs," *Security Assistance Monitor*, http://www.securityassistance.org/programs?flb=is_DOD&form_build_id=form-eAQ1nGEQ37Zp6XWP40W6QeLujVFQcbkrcfIEMyn0zzY&form_id=programs_listing_form. (Accessed 15 Oct. 2015). See also Congressional Budget Justification. *Foreign Assistance: Summary Tables*. Web. 2016. Available: http://www.state.gov/documents/organization/238223.pdf. Referenced: October 15, 2015. For OECD Development Assistance Committee (DAC) members, foreign assistance is expressed as a percentage of national income. For example, the United Kingdom donated 0.71% of its national income in foreign aid in 2014. For Germany, foreign aid donations amount to 0.41% of national income. France contributed 0.36%, Australia contributed 0.27% and Canada contributed 0.24%. In dollars, this aid totals $19 billion (UK), $16 billion (Germany), $10 billion (France), $4.2 billion (Canada) and $4 billion (Australia). See Naomi Larsson, "Foreign Aid: Which Countries Are the Most Generous?" *The Guardian* (September 9, 2015). http://www.theguardian.com/global-development-professionals-network/2015/sep/09/foreign-aid-which-countries-are-the-most-generous. (Accessed October 26, 2015). See also Mike Blanchfield, "Canadian Foreign Aid Spending Among Lowest of OECD Countries," The Canadian Press (April 8, 2015). Available at: http://www.huffingtonpost.ca/2015/04/08/oecd-says-canadian-foreig_n_7027722.html. (Accessed October 27, 2015).

[2] Ibid.

Providing Capabilities vs. Building Capacity

First, *very few of the programs designed to enhance the capacity of foreign governments actually do capacity building*. Although many of these programs are classified as being capacity building programs—and thus intend to achieve capacity building outcomes—few actually build human and institutional *capacity*.

The vast majority of U.S. security assistance and cooperation programs are designed to provide training and equipment. After 9/11, many new programs where added to the U.S. toolkit with a focus not only on enhancing the operational effectiveness of countries' security and defense sectors but also on improving their ability to support U.S. forces or interests.[3] But the provision of equipment—even with the training how to use it—does not build capacity. At best, it improves the technical and tactical proficiency of the beneficiaries for so long as they are in those positions and the equipment remains functional.

Capacity building is a crucial and widely defined term. It refers to the process by which people or institutions are taught capacity—the knowledge of how to deploy a *capability* effectively. Whereas a capability is something tangible, like an armored personnel carrier, logistics database, or a system or process captured in doctrine or a Standard Operating Procedure (SOP), *capacity refers to the know-how to use capabilities*. Individual or human capacity is the knowledge and skills people acquire by study or years of application and problem solving experience. Institutional capacity, on other hand, refers to embedded management structures, processes and practices. Capacity building, as used in this handbook, includes both human and institutional capacity building.

Capacity building should focus on building capacity. In other words, the many programs that are classified as assistance programs actually build human and institutional capacity. Capacity building involves transferring knowledge of how to deploy a capability effectively but also to integrate the use of tools, knowledge, and skills. This knowledge transfer needs to take place at both the individual level to transfer skills that build human capacity. And it needs to take place at the institutional level to develop systems, processes, and practices that translates into government services.

Providing Assistance vs. Embedding Capacity in Institutions

Second, other assistance programs do go beyond solely transferring equipment, materials and equipment but impact remains at best uncertain. Training key societal actors—such as police, teachers, judges, or ministry officials—on principles or tools to shape their future actions does not build capacity if those principles and tools are not *embedded in practice* and the training is not *institutionalized so that it can be replicated or sustained*. "One off" engagements do not build capacity in the long term.

Another category of foreign assistance programming that aims at capacity building outcomes focuses on promoting more robust, transparent, or accountable governance structures by empowering civil society actors to place more effective pressure on their governments. Various

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[3] After 9/11, new programs and funding authorities were created to address a range of new security assistance, capacity building and reform needs arising from the wars in Iraq and Afghanistan and the global counterterrorism campaign. Examples include Section 1206 Global Train and Equip, Section 1207 Reconstruction and Stabilization, Afghanistan Security Forces Fund (ASFF), Iraq Security Forces Fund (ISFF), Pakistan Counterterrorism Capabilities Fund (PCCF), and the Global Security Contingency Fund (GSCF).

advocacy initiatives may build the capacity of civil society institutions or their personnel, but such efforts do not build *institutional* capacity if the steps these actors advocate are not *adopted and embedded in institutional practices*. Similarly, assessments conducted by expert teams suffer from the same limitations. Identifying human and institutional capacity gaps—and even offering solutions, will not build capacity if this assessment is neither shared nor acted upon by recipient stakeholders. Advocating for better processes does not build capacity if those processes are not adopted, or if they are adopted by a few individuals but not institutionalized.

Assistance that aims to earn the good will of the government or its population by, for example, offering tangible goods such as schools, wells, or roads, may open the door to greater access and influence, but these activities do not build capacity. Herein lies a fundamental difference between mere assistance and sustainable capacity building: whereas the first provides short term aid to fill a key gap or critical need, the second embeds new processes and practices that can be replicated and sustained after assistance ends. This handbook offers a new approach to foreign and security assistance—one that can guide practitioners to design and implement programs which build true human and institutional capacity that can be sustained in the long term.

Holistic Capacity Building by Happenstance vs. Design

A third reason why the U.S. and its allies struggle to design and deliver programs that achieve their intended outcome in the short term and their impact in the long term is that *few programs to enhance the capacity of countries overseas are designed and delivered around gaps in capacity. Rather they are driven by tools of specific agencies.*

So capacity building requires a holistic dimension. *Holistic* refers to the comprehensiveness of approach—in identifying capacity gaps (assessment), in conceptualizing a response (design), and in the number of participating agencies or partners (implementation).

Indeed, the design of capacity building programs of the US government and its partners intended to address gaps in capacity need to reach across capabilities. Here the comprehensiveness refers to the programmatic interventions and the way these are interrelated and correlated. Although an individual activity may be narrow (for e.g. reforming police practices), *holistic* programmatic design leverages a broader set of programs and tools.

It is key to plan across programs in order for implementation to be holistic as key endeavors of the US interagency and proponents of international cooperation. Implementation requires multiple interagency actors and multiple Partner Countries[4] that coordinate the implementation of their capacity building activities. Ideally, activities are sequenced, and Partner Countries contribute to the effort based on their comparative advantage. Close coordination also ensures that there is no unnecessary and wasteful overlap and better guards against overwhelming the absorptive capacity of the Host Country.

The reality is that capacity building missions are undertaken not by one but by many agencies within one government and often across governments. Indeed, neither the U.S. nor its key allies—Australia, Canada, France, Germany, or the United Kingdom—have the ability to meet global assistance needs alone. Budgetary constraints and narrowing definitions of interests have prompted each of these countries to develop expertise in sector specific assistance, for example

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[4]Partner Country is defined as a government which has agreed to work with another government to achieve a common objective.

policing, or in certain regions, such as Africa. Partnering to offer coordinated assistance offers the potential to increase how much and for how long such assistance can be provided. Capacity building that is *not* holistic—in design, delivery or implementation—risks addressing only part of the larger problem that often led to creating assistance activities around a program rather than a need.

There are numerous past cases of redundancy and partners working at cross purposes dating back over two decades or more. There has been a degree of coordination with different allies offering programs and training, but often their efforts were limited to the region in which they operated. In several instances during the past 15 years, the U.S. and various partners have shared responsibility for police training by parsing out north, south, east and west. This leaves the supported country with a patchwork of policing policies, procedures, and training. Partnering to offer coordinated assistance limits the potential for redundancy and overlap while increasing how much and for how long such assistance can be provided.

One key obstacle to closer coordination and integration—at least among donor countries—is the simple lack of knowledge. Working through stove-piped approaches, U.S. military and civilian practitioners are often unaware of the full range of available programs and funds that could be employed to address capacity gaps. This effort is further complicated by the lack of information about similar programs and funding authorities in the capacity building toolkits of key allies. This handbook addresses this gap.

Supply-driven vs. Need-based Assistance

A fourth major limitation of the current capacity building model is that the type of assistance provided is often determined *by what assistance programs offer and not by what the recipient country actually needs*. In other words, the current model tends be "supply driven" rather than "demand driven." Demand-driven solutions are solutions that *respond to the needs or gaps identified by local stakeholders and employ their potential solutions to these gaps, augmented by external expertise*. The combination of local knowledge and external expertise provides the best approach to ensuring that real capacity gaps are identified and that capacity building solutions are developed so they can be sustained.

The current supply driven approach tends to assume that solutions to the capacity gaps or needs in potential recipient country are best identified and addressed by external experts. But more often than not, local stakeholders do know what the problems are, can identify and prioritize their needs, and may even have solutions in mind. What they often lack is the know-how to implement these solutions or to develop them more fully. They may also lack the appropriate financial or human resources to implement their solutions, and their ability to address needs may also be limited by political resistance or other, higher priority concerns that relegate their potential solutions to a lower tier. This does not mean that external expertise is not necessary or beneficial, only that it is not the only source for solutions to the gaps or needs in a potential recipient country.

Another limitation of supply driven solutions is that these tend to miss identifying critical capacity gaps. In the existing model, the decision to provide a particular type of assistance is shaped by many factors, some of which may be only tangentially related to the recipient institution. For example, the donor's regional strategy or interests may prioritize building the capacity of the recipient country to participate in regional operations. Or donor monitoring and evaluation results of past assistance programs may conclude that the expected impact has not been realized because the recipient lacks sufficient numbers of forces. These "supply driven" factors will shape

assumptions about recipient human and institutional gaps that may or may not coincide with capacity gaps on the ground—*as defined by the recipient stakeholders themselves*.

Moving from a supply to a demand driven approach will not require a wholesale redesign of existing planning and program design processes; rather, it will require *a new way of thinking* about how assistance programs engage Host Country counterparts.

Another way to shift this approach is to include recipient stakeholders in the process through which capacity gaps are identified. This helps ensure that any activities that follow are "owned" by those responsible for their long term institutionalization and that any gaps addressed are gaps that stakeholders themselves identify and agree to. Addressing gaps on the ground, and doing so in partnership with local stakeholders, further enhances the likelihood of sustainable and impactful outcomes.

The Host Country is not merely a recipient, but a partner in the capacity building activity. Host Country stakeholders will need to be involved in the initial conceptualization and design of the capacity building activity, and that engagement will need to continue throughout the capacity building process if the change is to be institutionalized so that the new activities, processes and systems can be replicated and sustained by the Host Country after assistance ends. To do so, capacity builders will also need to rethink how they engage with Host Country counterparts.

A New Approach: Sustainable Capacity Building

Without substantial improvements in the way foreign assistance is conducted, the U.S. and its partners will continue to expend limited resources with marginal effect. It is the purpose of these *Guidelines*—designed as a practical guide for the planning and design communities—to propose a new approach. Quite simply, this handbook aims to put more pins on the map—not to grow the number of assistance programs or the amount of aid but to increase the number of places where these programs build measurable and sustainable human and institutional capacity.

In place of the current model, this guidebook offers an alternate approach—one that increases the likelihood of measurable and sustainable improvement in the targeted capacity of the recipient. This is what we call *Sustainable Capacity Building,* an approach many aspire to but few processes embrace. Implementing a sustainable approach will require a redefinition of *what we do* and *how we do it* as a community—and create the basis for a new theory of change for capacity building: *If we do sustainable capacity building, we can expect outcomes and impacts that measurably improve the capacity of the targeted function and/or recipient and that can be sustained long after assistance ends.*

In other words, more pins can be put on the map when the assistance meets the needs of the recipient country. Of course national interest will shape where and how much assistance is provided by a donor country. And this is unlikely to change. But what can change is how we define the goal of that assistance: strengthening the capacity of a host nation government to counter security challenges, respond to natural disasters or humanitarian crises, and meet the needs of their populations will do more to secure the interests of donor countries than shorter term assistance programs for more narrowly defined interests. Assistance programs that aim to build stable and effective institutions and the human capacity to manage them are more likely to achieve measurable and sustainable change in those countries. This has been argued in many doctrines and initiatives including SGI, DIB, BPC, and others. Ultimately, national interest is better served by programs that achieve their broader systemic impact and return on investment.

It is important to recognize that despite a commitment to providing assistance to meet Host Country needs, there may be circumstances where the sustainable capacity building approach is not feasible. Non-permissive environments that feature high levels of violence or ongoing conflict will admittedly limit capacity building opportunities. So too will the absence of a legitimate authority in the Host Country that can define the country's needs on behalf of its citizens and commit to the human and institution building required to achieve true capacity building outcomes. In such constrained circumstances, any assistance provided should establish the foundations for a more robust capacity building approach when circumstances permit. Such an approach requires an honest assessment of what is feasible in terms of the mission's outcome and impact.

The Purpose of these Guidelines

These *Guidelines* are meant to serve as a useful roadmap and resource for capacity builders at all levels—from the senior political and strategic levels to the implementers on the ground. It is not meant to be an academic treatise, nor is it written to be highly conceptual in content. Rather, it is explicitly designed for the practitioner and can be read in parts or in its entirety, depending on the needs of the reader.

The chapters that follow define a new Sustainable Capacity Building Approach and offer specific guidance for how to operationalize it. Section I introduces the new model for Sustainable Capacity Building. Chapter 2 defines general principles and identifies six conditions to achieve Sustainable Capacity Building on the ground (chapter 2). Chapters 3 and 4 operationalize this guidance, developing decision making guidelines for the policy making community (chapter 3) and for the planning and programming communities (chapter 4). Because there are existing processes in place to guide policymaking and the planning and design of capacity building programs, these guidelines will serve as an overlay. This overlay can be used like the old transparency sheet and superimpose on existing processes. This will prompt capacity building professionals to ask questions at each step of their existing process, leading to a new way of thinking about and doing capacity building.

Sustainable Capacity Building requires that we work better together as a community—either within or across governments. Section II provides specific guidance for building sustainable capacity holistically. To do this, we need to speak a common language. Chapter 5 offers a lexicon of terms to help capacity builders work together. Chapters 6-13 identify the tools we have as a community for building sustainable capacity. These chapters are not meant to be definitive—programs and funding levels change annually. Instead, these are meant to prompt policymakers and planners and program managers to reach out to their capacity building counterparts and to explore how these tools can be combined and harnessed to build sustainable capacity.

Finally, Section III focuses on learning to apply the Sustainable Capacity Building Approach. Chapter 14 offers a training curriculum for policymakers and for planners and program managers. Drawing on extensive engagement with U.S. and allied practitioners, these *Guidelines* incorporate key lessons and findings for Sustainable Capacity Building from strategic conceptualization to implementation.

SECTION I: A NEW APPROACH FOR SUSTAINABLE CAPACITY BUILDING

These *Guidelines* offer an alternate approach to the current model—one that increases the likelihood of measurable and sustainable improvement in the targeted capacity of the recipient. This is what we call *Sustainable Capacity Building*.

Implementing a sustainable approach will require a redefinition of *what we do* and *how we do it* as a community. The chapters that follow define this new approach and offer specific guidance for how to operationalize it. Chapter 2 defines general principles and identifies six conditions to achieve Sustainable Capacity Building on the ground. Chapters 3 and 4 operationalize this guidance, developing decision making guidelines for the policy making community (chapter 3) and for the planning and programming communities (chapter 4). These are designed to prompt policymakers, planners and program managers to ask questions at each step of their existing process to prompt this new way of thinking about and doing capacity building.

Chapter 2

Sustainable Capacity Building: Defining a New Theory of Change

Introduction

Despite more than a decade of effort to develop new approaches to foreign and security assistance overseas and to identify and adopt lessons learned, the United States and its allies continue to struggle with how to design and deliver programs that achieve their intended outcome in the short term and their impact in the long term. Without substantial improvements in the way foreign assistance is conducted, the U.S. and its allies will continue to expend limited resources with marginal effect. It is the purpose of this handbook to offer policymakers and practitioners a new solution to the enduring challenge of how to plan, design and implement impactful and sustainable capacity building.

But what does it mean to *do* sustainable capacity building? What principles should guide the effort? And how can these principles be operationalized, or put into practice, to effect the outcomes that a sustainable capacity building approach promises? It is the purpose of this chapter to introduce the Sustainable Capacity Building approach by introducing three principles to guide capacity building planning and six defining conditions which plans need to meet to achieve Sustainable Capacity Building on the ground.

The Principles of Sustainable Capacity Building

Because donor countries employ different models for their capacity building assistance that reflect varying bureaucratic structures, doctrine, budgetary and planning processes, and foreign policy interests, implementing the Sustainable Capacity Building approach requires that planning, policy, and practitioners adhere to a common set of principles to guide the design and implementation of capacity building activities. Although these principles are widely accepted, they have not been systematically and consistently integrated in activities, projects, programs and/or mission plans. They include promote *local ownership*, *do no harm*, and *integrate sustainability*. Together, adhering to these three principles ensures that any capacity building activity also respects *local context*.

Promoting *local ownership* requires that local actors play a central role in planning and implementing foreign assistance missions. This means that local actors should be central participants in "the identification, design, and implementation of reform processes and the policies and procedures they generate."[5] Ownership requires meaningful inclusion in the process of planning and implementation so that the capacity building needs and priorities of local actors are incorporated throughout the process. Instead of telling local actors what they need, capacity building that adheres to the principle of local ownership *responds to local needs as they are defined by Host Country stakeholders and are augmented by external assistance that is required to make change a reality*.

The principle of *do no harm* acknowledges that some actions, although well intended, can carry unforeseen negative consequences. A widely accepted maxim of foreign assistance overall,

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[5] Nadia Gerspacher, *Effective Advising for Better Foreign Assistance Missions* (Boulder, CO: Lynne Rienner Publishers, 2016).

"do no harm" is especially relevant to capacity building because so much of the activities requires integrating new solutions that originate from other contexts. It is also highly relevant to capacity building because it is difficult to discern which components of an idea will have the intended impact and which may have unforeseen or unintended consequences. For example, something as simple as discarding an overly cumbersome procurement process in favor of a more efficient one can open opportunities for corruption. Even though problematic consequences may only be obvious in hindsight, early analysis and subsequent monitoring and evaluation are essential components of programs that minimize harm.[6] Policymakers, program managers, and implementers need to make every attempt to identify individuals, groups, issues, and dynamics that could generate undesirable change as a result. The idea is to anticipate and mitigate, rather than to react once harm is done or to be paralyzed by the fear of doing harm. A program's theory of change and its impact on society must be continuously reevaluated, and strategies may need to be changed. Flexibility, responsiveness, and adaptability are key.[7]

Integrating sustainability requires that capacity building activities aim to result in a "new normal" that remains in place even after assistance ends. Implementing sustainable programs is a complex undertaking. There is a constant balance between addressing short-term goals, such as immediate security, and long-term objectives, such as institution building or reform. In order for a program to be sustainable, it must resolve these often conflicting priorities. Sustainable capacity building requires that policymakers, planners, program managers, and implementers carefully identify the viability of capacity building ideas and models. For example, assistance that aims to create a new and more effective department or system will require that the Host Country has the resources necessary to maintain these in the absence of international funding. Similarly, if numeracy or literacy is not widespread in a society, then an inventory system which depends on the ability of local operators to count would not be viable past the supply of international advisors, trainers, or mentors. Evaluation is also an essential aspect of sustainability in that progress must be continually observed, analyzed, assessed, and revised. For a process to be continually effective, the ongoing and future impact on the population cannot be ignored.

One of the key lessons of the past fifteen years has been to prioritize *local context* over the importation of ready-made systems or approaches. An awareness and understanding of local context can be understood as information about the dynamics, processes, individual attributes, and even power relations. It also includes cultural considerations and other more abstract but important information. This requires a much deeper understanding of local context than is possible through mere familiarization of culture and attitudes. By observing the principles of *local ownership*, *do no harm,* and *integrate sustainability*, capacity building efforts can reflect and adhere to local context. Capacity building that adheres to these principles and prioritizes a deep understanding of the local context will increase the likelihood that assistance is impactful and sustainable.

Although there is widespread acceptance that these principles should guide capacity building efforts, they have not been operationalized. In other words, there is widespread agreement

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[6] The Collaborative for Development Action, Inc. (CDA), *The 'Do No Harm' Framework for Action: The Impact of Assistance on Conflict, A Handbook* (2004), http://www.cdacollaborative.org/media/52500/Do-No-Harm-Handbook.pdf.

[7] United States Institute for International Development (USAID), Office of Conflict Management and Mitigation (USAID/DCHA/CMM), *People-to-People Peacebuilding: A Program Guide* (2011).

that these principles *should* guide capacity building but a lack of understanding *how* to put these principles into practice.

Redefining *What We Do* and *How We Do It*: Six Defining Conditions for Sustainable Capacity Building

The first step in operationalizing these principles is to define what Sustainable Capacity Building means in practice. What does the approach require? If the capacity building principles are to be applied to practice, what does that require of each capacity building effort? The answers to these questions are found in six defining conditions—all of which must be met to achieve Sustainable Capacity Building on the ground.

Human and Institutional Gap Condition

First, sustainable capacity building addresses human and institutional gaps. Although at first glance it may seem obvious that capacity building is about individuals—enhancing their knowledge, skills, and competence to make both big and small decisions, in practice, existing capacity building approaches prioritize the provision of equipment or tools and often treat skills building and knowledge transfer as an attendant activity. Much like the old adage—if you build it, they will come—the current approach to capacity building largely assumes that, by providing a new human resources database, new human resources processes for recruitment, retention, and promotion will naturally follow. Sustainable capacity building is explicitly designed and implemented to build that human capacity—through knowledge transfer and skills building and in accordance with the principles of Sustainable Capacity Building. Building human capacity—and in the aggregate institutional capacity—enhances the likelihood of impactful and sustainable assistance.

A second important aspect of this condition is that institution building should address *gaps*. This too seems to be obvious guidance. But what are gaps? How do planners and program managers know what these gaps are? And how can those gaps best be addressed? For example, how is the decision to provide a human resources database and to build the human and institutional capacity to implement and sustain it reached? Here lies a critical difference between the existing model and the new approach. In the existing model, the decision to provide a particular type of assistance is shaped by many factors, some of which may be only tangentially related to the recipient institution. For example, the donor's regional strategy or interests may prioritize building the capacity of the recipient country to participate in regional operations. Or donor monitoring and evaluation results of past assistance programs may conclude that the expected impact has not been realized because the recipient lacks sufficient numbers of forces. These "supply driven" factors will shape assumptions about recipient human and institutional gaps that may or may not coincide with capacity gaps on the ground—*as defined by the recipient stakeholders themselves*.

Sustainable capacity building addresses gaps that are identified both by donor and other experts and by recipient stakeholders in accordance with the principle of local ownership. Including recipient stakeholders in the process through which capacity gaps are identified helps ensure that any activities that follow are "owned" by those responsible for their long term institutionalization and that any gaps addressed are gaps that stakeholders themselves identify and/or agree to. Addressing gaps on the ground, and doing so in partnership with local stakeholders, further enhances the likelihood of sustainable and impactful outcomes.

Embed Knowledge Condition

Second, sustainable capacity building embeds relevant knowledge in institutions and processes. Even where skills building is part of the capacity building program, merely training a group of individuals to use the new equipment will contribute to the capacity of those individuals—but only those individuals. Ensuring that this new capacity is embedded in the institution so that it can be replicated and sustained after assistance ends—and after the original group of trainees are promoted, removed, or retired, requires that the new tools and knowledge are made part of policies, practices, and procedures. To build capacity that can be sustained, it must be institutionalized.

Again there are stark differences between the current model and the approach offered herein. In the current model, institutionalization is often viewed as a by-product or logical outcome of capacity building activities. In the Sustainable Capacity Building approach, institutionalization is central to the original planning and project design. This is hard to do. And the effort is complicated by short term project funding cycles. Truly embedding new processes and knowledge into existing institutions takes a great deal of time. In the Security Sector Reform (SSR) literature, for example, real institutionalization is often seen as generational in scope. But this does not mean that it is unachievable. Designing uptake of new concepts and approaches by embedding them into standard practices and procedures, and further embedding these through new training processes and curricula, helps ensure that the new processes become standardized and that personnel learn how to adhere to these new standards through professional training and development. Indeed, embedding relevant knowledge in institutions and processes is essential for ensuring that capacity building is sustainable and for the achievement of intended outcomes.

Successfully embedding new knowledge requires that the planning and design processes adhere to the principles of Sustainable Capacity Building. One way to enhance this processes of embedding new knowledge is to ensure that the capacity building activity and outcomes are also locally owned—that local stakeholders play a central role in how this information is embedded to ensure that it *responds to local needs as they are defined by Host Country stakeholders*. In accordance with the principle "do no harm," steps taken to embed this knowledge need to be carefully designed to ensure that these do not create unintended consequences or second order effects. Finally, the process of embedding new knowledge serves the goal of integrating sustainability if, for example, the recipients have the resources to sustain the new processes generated by the new knowledge being embedded. Together, these ensure that any efforts to embed new capacity are carefully implemented to ensure that they fit within the local context.

Meld Knowledge Condition

Third, sustainable capacity building melds local knowledge with external resources and expertise to solve problems on the ground in the long term. The current approach to capacity building tends to assume that solutions to the capacity gaps or needs in potential recipient country are best identified and addressed by external experts. This is perhaps not surprising. At first glance it would seem to be a logical conclusion that if a gap or need exists, then the potential recipient country must lack the expertise or resources to address it. Perhaps in some cases this is true. But more often than not, there are individuals or teams on the ground who do know what the problems are, can identify and prioritize their needs, and may even have solutions in mind. What they often lack is the know-how to implement these solutions or to develop them more fully. They may also lack the appropriate financial or human resources to implement their solutions, and their ability to address needs may also be limited by political resistance or other, higher priority concerns that relegate

their potential solutions to a lower tier. This does not mean that external expertise is not necessary or beneficial, only that it is not the only source for solutions to the gaps or needs in a potential recipient country.

A Sustainable Capacity Building approach creates "demand-driven" solutions—solutions that respond to the needs or gaps identified by local stakeholders and employ their potential solutions to these gaps, augmented by external expertise. This augmentation of external expertise may involve substantial technical assistance and guidance, possibly with the addition of key tools and resources, or may be less substantial but nonetheless vital advice and guidance to help local stakeholders design and develop their solutions. In the Sustainable Capacity Building approach this advice is melded to the local knowledge that exists on the ground. The combination of local knowledge and external expertise provides the best approach to ensuring that real capacity gaps are identified and that capacity building solutions are developed so they can be sustained.

How should this external expertise be "melded"? What does this mean in practice? How do donors provide such expertise in ways that local recipients will use and employ it? Herein lies another key element of the Sustainable Capacity Building approach. External experts should view themselves as a resource—like an encyclopedia or database—to which local stakeholders and capacity building recipients can turn for advice or information, technical standards, procedural guidance, or sample policies, practices, and systems. Their expertise can help enhance systems or enable systems to function, or function better. Such a role requires external experts to develop a relationship with the recipient stakeholders—one that is based less on securing leverage and more on promoting a partnership—one in which both parties together seek to find sustainable and implementable solutions to needs and gaps.

Partnership Condition

Fourth, sustainable capacity building requires developing and maintaining relationships with recipient stakeholders founded on partnership. The current approach tends to view relationships with stakeholders as a tool for leverage rather than partnership. This approach leads to missed opportunities and can even increase the likelihood of greater unforeseen or bad consequences. Donors may miss critical or underlying capacity gaps in related functions or systems that could undermine the effectiveness of their proposed assistance. Equally important, donors may fail to generate a real commitment to change on the part of recipient stakeholders because a basic level of trust is missing. Furthermore, donors may also miss identifying local ideas and solutions that could provide a better or alternate approach to the one they develop.

In the Sustainable Capacity Building approach, relationships founded on a real partnership—the underlying sense and open commitment that both donors and recipients share to working together collaboratively and productively to identify capacity gaps and develop and implement solutions. In this approach, such relationships are developed at the very outset of the capacity building process, during the first engagements between donors and potential recipient stakeholders. Building relationships founded on partnership will set the tone for the remainder of the capacity building mission and will significantly increase the likelihood that appropriate solutions—those that meld local solutions with external know-how—are defined and that outcomes and impact will be achieved. Through such partnerships, donors will also be better able to serve as a resource—and be perceived as a resource by their counterparts, increasing the likelihood that their expertise will be welcomed and utilized.

As we noted in our introduction to the *Guidelines*, Sustainable Capacity Building seeks to put "more pins on the map" to mark where foreign assistance has built measurable and sustained human and institutional capacity. One key way to achieve this goal is to create solutions in partnership with recipient stakeholders to ensure that those solutions meet real needs identified by the recipients themselves and that will work on the ground—not in the donor country. In the current model, too often solutions are provided that work in host institutions but not in the recipient. Often referred to as "cookie cutter" solutions, the assumption that drives this approach is that what works for one ministry of finance will work for another, regardless of local needs and local context. In the Sustainable Capacity Building approach, solutions that can work on the ground are those that are developed in partnership with local stakeholders—and in accordance with the other conditions defined above—by melding local solutions with external knowledge and by embedding these solutions in institutions so that they can be replicated and sustained after assistance ends.

Systemic Context Condition

Fifth, sustainable capacity building accounts for the larger systemic context in which the solution will be embedded and weighs the impact of the proposed solution on the existing system to militate against unintended consequences. This is an essential condition of Sustainable Capacity Building—one that differs from the current model. In the current model, a capacity building solution is developed to address a particular gap in an institution or function. With good program design, attention is paid to the second order effects within the broader system in which that institution or function sits. But often, good program design depends on the knowledge of the individual planner or program designer. It is not a requirement across all programing. The result is often uneven attention to the broader, system-wide impact of the intended capacity building mission, which can lead to unforeseen or bad consequences.

In the Sustainable Capacity Building approach, the system and the impact of the intended capacity building activity on that system and related processes is considered at the very outset of the capacity building activity, when it is first conceptualized. It is also a key factor in the engagement with local partners, who will know better how the recipient function or institution is situated in the broader system and can identify ways in which the intended activity can have impacts that resonate throughout it. For example, if the intended capacity building activity seeks to improve processes for evidence collection in the justice sector, then in the design of that activity, careful attention is paid to the potential impact of more prisoners on the prison system. Is there sufficient capacity? Can the prison system handle more terror suspects and convictions without risking greater radicalization among prison populations? Are there enough prison guards to manage the larger population? What about classification systems?

Understanding the potential system-wide impact is not easy to do. It will require robust assessments that reach much farther into the system than the planned capacity building activity would suggest at first glance. In the example above, it would require looking at legal frameworks, the capacity of the judiciary and of judges to handle the new evidence, of clerks to processes it, of investigators to understand best practices for collection and handling, but it would also require investigating the resource implications, perhaps within the ministry of finance and the legislature, and within the police for their investigative functions, as well as within the prison system to understand its existing capacity for expansion. What sets the Sustainable Capacity Building approach apart from the current model, is that the identification of potential system-wide effects would be required of all capacity building activities, no matter how narrowly focused, rather than

leaving it to the individual program manager or planner who happens to understand the value of such an approach.

Leverage Capabilities Condition

Finally, sustainable capacity building requires that Partner Countries leverage the programs and authorities of each other. Indeed, if capacity building activities need to be driven by the existing gaps and needs in the host country, it is imperative that the appropriate means of addressing the gap(s) is/are identified across all capabilities of the US and its 5 key Partners. This refers to the old adage that if you have a hammer, everything is a nail. The Sustainable Capacity Building approach is one which identifies the vulnerabilities of a system, process or practice, seeks to select the most appropriate means of addressing the weakness and then seeks the most adequate program to address the specific need. This will often require a much wider array of capabilities, both in terms of resources and authorities as well as expertise than any one country's agency may be entrusted with. Indeed, many of the problems that arise and which require enhanced capacity will be addressed with a multi-faceted program of assistance which will need to leverage several interdependent capabilities for assistance.

The reality is that capacity building missions are undertaken not by one but by many agencies within one government and often across governments. Indeed, neither the U.S. nor its key allies—Australia, Canada, France, Germany, or the United Kingdom—have the ability to meet global security assistance needs alone. Budgetary constraints and narrowing definitions of interest have prompted each of these countries to develop expertise in sector specific assistance, for example policing, or in certain regions, for example, Africa. Partnering to offer coordinated assistance offers the potential to increase how much and for how long such assistance can be provided. In other words, it can measurably enhance the outcomes and impact of capacity building.

The lack of communication, coordination and/or cooperation about programming on the ground is a problem that is well known and has crippled the international assistance community in its collective ability to have impact, even individually. While a quick fix may be to enhance communication and coordination to reduce the negative consequences that include redundancy, getting in each other's way, sending confusing and dissonant messages to host country counterparts and wasting funding, time and risk. A new, longer term approach is to begin communication, coordination and especially cooperation at the planning levels. Indeed, at the point at which an agency or group of agencies have been tasked to develop a strategy and then plans for assistance in a country or region, is the opportunity to enhance the match of needs and gaps in capacities identified through assessments, scoping visits and key leader engagements and a much wider compilation of capabilities. This handbook offers a thorough map of the capacity building capabilities of the US and its five key partners later on in Part II.

A New Theory of Change

Each of these conditions contribute to a new theory of change for capacity building, detailed below:

Human and Institutional Gap Condition:

If capacity building transfers knowledge and skills to address gaps in existing capacity, then the intended outcome and impact of the capacity building function or recipient can be measurably and sustainably enhanced.

If local stakeholders are included in the process of identifying real gaps in existing capacity on the ground, then recipient stakeholders and institutions will be more likely to "own" the intended change and to advocate for its institutionalization.

Embed Knowledge Condition:

If capacity building embeds relevant knowledge in institutions and processes so that these can be replicated by the recipient over time, then the intended outcome and impact of the capacity building function or recipient can be measurably and sustainably enhanced.

Meld Knowledge Condition:

If capacity building melds local knowledge with external resources and expertise to solve problems on the ground, then the then the intended outcome and impact of the capacity building function or recipient can be measurably and sustainably enhanced.

If local knowledge and external expertise can be combined to address real capacity gaps on the ground, then the capacity building activity or function has a greater likelihood of building capacity in the long term.

If external experts share their expertise with local stakeholders as a resource, rather than a pre-packaged, externally developed solution, then local stakeholders will be more likely to draw on this expertise to develop solutions that improve capacity.

Partnership Condition:

If donor countries develop and maintain relationships with recipient stakeholders founded on partnership, then recipient stakeholders are more likely to commit to the proposed capacity building solution and its institutionalization in the long term.

If donor countries work in partnership with recipient stakeholders, then donor capacity builders will be less likely to miss identifying local ideas and solutions that provide a better or alternate approach that can work on the ground in the long term.

Systemic Context Condition:

If capacity building planning and design account for the larger systemic context in which the capacity building solution will be embedded, then there is less likelihood that the proposed activity will produced unintended or bad consequences.

Leverage Capabilities Condition:

If capacity building policy making, planning, and program design leverages the capabilities of partner donor countries to address capacity gaps sector wide, then the intended outcome and impact of the capacity building function or recipient can be measurably and sustainably enhanced.

If we depict this new approach to Sustainable Capacity Building—with each of the conditions detailed in this chapter—in a diagram, it would highlight that Sustainable Capacity Building can only take place if all six conditions are met.

Six Conditions for Building Sustainable Capacity

Embed knowledge in institutions and processes

Develop partnership with recipient stakeholders

Meld local knowledge with external expertise

Building Sustainable Capacity

Address human and institutional gaps

Understand the systemic context

Leverage Partner Country capabilities
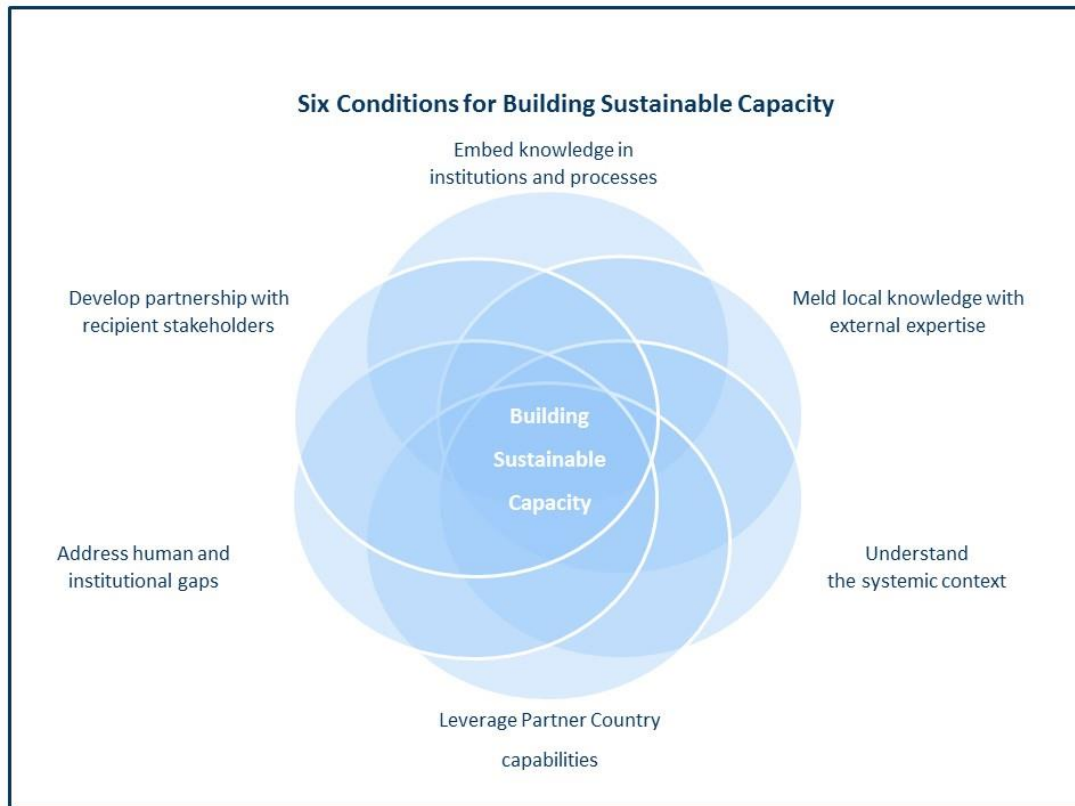
The diagram further highlights how difficult this may be to do in practice. In the two chapters that follow, this approach is used to frame a decision-making overlay that can be superimposed over existing policy making and planning and design processes to prompt each capacity building community to begin thinking differently to build sustainable capacity.

Sustainable Capacity Building Guidelines for Policymaking

Introduction

This chapter provides detailed guidance for policymakers—those with responsibility for setting the goals for policy at the strategic, country-specific, and operational levels and for leading engagement with counterparts from recipient countries, as well as their policymaking staff. This guidance is designed to prompt the policy community to make decisions, to question prevailing assumptions, and to set guidance and standards for subsequent planning, programming, and implementation. It is not meant to replace existing guidance, policy, or doctrine. Instead, this guidance should serve as an *overlay* to those processes.

This *overlay* includes a series of questions for the policymaking community, organized around the six conditions for sustainable capacity building outlined in Chapter 2. These questions are meant to prompt policymakers to frame their engagement with Partner Country agencies and Host Country interlocutors and their goal setting for activities that follow that engagement. Ideally, these six conditions guide policymaking from the initial conceptualization of the capacity building engagement to its outcome.

In practice, however, policymakers often receive specific direction about the type and nature of the capacity building activity, the lead agency, the target recipients of the proposed assistance, the timeline for implementation, or the countries or regions of focus. The "snapshot

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Table 3.1. A Snapshot Scenario

*In August 2015, President Obama announced the **Security Governance Initiative (SGI)**, a new joint endeavor between the United States and six African partners—**Ghana, Kenya, Mali, Niger, Nigeria, and Tunisia**—to improving security sector governance and capacity to address threats. In the initial year, the President announced that **$65 million would be dedicated to the initiative**. In subsequent years, the United States would provide additional funding commensurate with maturing program needs and expansion to additional countries.*

*Partnership and results are at the core of SGI. **Together with our SGI partner countries, the United States will assist in developing joint strategies based on assessments and the determination of priorities and objectives**.*

*To execute the initiative and ensure maximum effectiveness of U.S. assistance, **the United States will form a dedicated SGI team to be housed at the Department of State** with support from the Department of Defense, the United States Agency for International Development, the Department of Justice, and the Department of Homeland Security.*

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scenario" in Table 3.1 offers an example of this direction from the announcement of the USG Security Governance Initiative.[8]

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[8] The White House, "FACTSHEET: Security Governance Initiative," August 6, 2015, https://www.whitehouse.gov/the-press-office/2014/08/06/fact-sheet-security-governance-initiative.

In recognition of these policymaking realities, the guidance developed in this chapter is based on two key assumptions—(1) that the **Host Country(ies)** for the capacity building activities have been **identified**—at the senior political, interagency, or agency level or by the legislature, and that the (2) **targeted** capacity building activity has been broadly identified. These are depicted in Table 3.2 below, with examples from the snapshot scenario.

Table 3.2. Key Assumptions for Policymaking Guidance	
Assumptions	SGI
The host **country(ies)** for the capacity building activities have been **identified**—at the senior political, interagency or agency level or by the legislature.	*Announced by **President Obama** for six African partners—**Ghana, Kenya, Mali, Niger, Nigeria, and Tunisia**.*
The **targeted** capacity building activity has been broadly identified	*Improve **security sector governance and capacity** to address threats.*

With these assumptions in the mind, the guidance in this chapter can help prompt policymakers to frame their engagement and goal setting to meet the six conditions of sustainable capacity building and to guide the activity to achieve true capacity building outcomes that can be sustained.

The Sustainable Capacity Building Framework

Capacity building refers to the process by which people or institutions acquire new skills and knowledge to deploy existing or new capabilities or programs effectively. Meaningful change is dependent on understanding and observing the principles of *local ownership*, *do no harm,* and *integrate sustainability.* Capacity building that adheres to these principles is more likely to be impactful and sustainable. Although there is widespread acceptance that these principles and conditions should guide capacity building efforts, the operationalization of these is challenging and requires targeted reflection and actions. In other words, there is widespread agreement that these principles *should* guide capacity building but a lack of understanding *how* to put these principles into practice. The six defining conditions—all of which must be met to achieve Sustainable Capacity Building on the ground—frame the sustainable capacity building guidance for policymakers.

Guidance for Defining a Sustainable Capacity Building Mandate

One of the key tasks for the policymaking community is to define the capacity building mandate. A capacity building mandate is derived from a number of sources, including policy initiatives, government strategies, and directives as well as country plans that reflect the national interests of the participating Partner Countries and guide the types of activities a proposed capacity building mission can undertake in a Host Country. The capacity building mandate is further informed by the types of funds, or in the case of the United States, funding authorities, and other programmatic requirements of the various ministries and departments that oversee them. Finally, the capacity building mandate is shaped by the political interests and constraints of the Host Country. Put simply, the capacity building mandate defines the "art of the possible" for a proposed capacity building mission or activity. In so doing, it narrows the focus of the proposed activity and provides clear guidance for capacity building personnel, from the most senior level policymakers in national capitols to the implementers on the ground in the proposed recipient country.

Once complete, the capacity building mandate guides the initial planning and program design processes and sets the parameters for plans, programs, and implementation. Even though the specifics of the proposed capacity building activities are detailed by the planning and programming community, the mandate is critical in shaping the context of the planning and design process and the final plan to be implemented. A well-crafted mandate can both meet policy needs and lay a foundation for effective planning and program design. A poorly-crafted capacity building mandate can handicap planners and program designers and limit the impact of activities on the ground. By providing a strategic mandate, the policy community can support and guide those who identify subsequent activities. Conversely, an overly broad mandate can leave planning and program design with little frame of reference, prompting the planning and program communities to adopt the existing model of supply driven assistance that focuses more on what can be provided to the Host Country rather than on what the Host Country needs. A clearly articulated mandate is critical to achieving sustainable capacity building outcomes.

Operationalizing Sustainable Capacity Building: Guidance for Policymaking

The following guidance is organized around the six sustainable capacity building conditions. Each condition has a set of considerations associated with it that can inform the engagement and goal-setting by the policymaking community. This will in turn guide the activities of planners and program managers addressed in Chapter 4.

Human and Institutional Gap Condition

First, sustainable capacity building addresses human and institutional gaps. Sustainable Capacity Building is explicitly designed and implemented to build that *human capacity*—through knowledge transfer and skills building and in accordance with the principles of Sustainable Capacity Building. Building human capacity—and in the aggregate institutional capacity—enhances the likelihood of impactful and sustainable capacity building. Sustainable Capacity Building should also address *gaps that are identified both by donor and other experts and by recipient stakeholders in accordance with the principle of local ownership.* Including recipient stakeholders in the process through which capacity gaps are identified helps ensure that any activities that follow are "owned" by those responsible for their long term institutionalization and that any gaps addressed are gaps that stakeholders themselves identify and agree to. Addressing gaps on the ground, and doing so in partnership with local stakeholders, further enhances the likelihood of sustainable and impactful outcomes.

Human and Institutional Gap Condition: Overlay questions to guide policymakers

➢ How do Host Country policymakers define their capacity gaps and what ideas exist for addressing those gaps?

➢ Which institutions and/or actors are the likely targets of the capacity building assistance and which of these should be the primary targets?

➢ What types of capacity building activities are possible given the opportunities and challenges, and the resources and existing capacity, of the Host Country?

➢ Who in the Host Country should be included in defining the institutional and human targets of the proposed capacity building activity?

> ➢ What are objectives, outcomes, and intended impact of the needed capacity building activities?

> ➢ Where are the points of resistance to change?

Embed Knowledge Condition

Second, sustainable capacity building embeds relevant knowledge in institutions and processes. Ensuring that new capacity is embedded in the institution so that it can be replicated and sustained after assistance ends—and after the original group of trainees are promoted, removed or retired, requires that the new tools and new knowledge are made part of policies, practices and procedures. Embedding relevant knowledge in institutions and processes is essential for ensuring that capacity building is sustainable and for the achievement of intended outcomes.

Embed Knowledge Condition: Overlay questions to guide policymakers

> ➢ What expertise and knowledge would respond to the capacity needs?

> ➢ What is the ideal profile for implementers who can build institutions and embedded knowledge?

> ➢ Based on these profiles, in what institutions should the implementer be embedded?

> ➢ What other related institutions in the Host Country are going to be the target of change?

> ➢ What other institutions have capacity gaps that could undermine the intended change if they are not addressed?

Meld Local Knowledge with External Expertise

Third, sustainable capacity building melds local knowledge with external resources and expertise to solve problems on the ground in the long term. A Sustainable Capacity Building approach creates "demand-driven" solutions—solutions that respond to the needs or gaps identified by local stakeholders and employ their potential solutions to these gaps, augmented by external expertise. This augmentation of external expertise may involve substantial technical assistance and guidance, possibly with the addition of key tools and resources, or may be less substantial but nonetheless vital advice and guidance to help local stakeholders design and develop their solutions. The combination of local knowledge and external expertise provides the best approach to ensuring that real capacity gaps are identified and that capacity building solutions are developed so these can be sustained.

Meld Local Knowledge with External Expertise: Overlay questions to guide policymakers

> ➢ What knowledge and expertise can the donor bring to the capacity building activity that the Host Country values and/or needs?

> ➢ What knowledge and expertise can the host bring to the capacity building activity that the donor country values and/or needs?

➢ What are the opportunities to team with local stakeholders to formulate the assessment, to develop the capacity building activities, and to implement them while leveraging each other's comparative advantage?

➢ What trust deficits exist that impede knowledge sharing and collaboration?

➢ Do Host Country counterparts have the authority to share knowledge and expertise with the donor?

Partnership Condition

Fourth, sustainable capacity building requires developing and maintaining relationships with recipient stakeholders founded on partnership. In the Sustainable Capacity Building approach, relationships founded on a real partnership—the underlying sense and open commitment that both donors and recipients share to working together collaboratively and productively to identify capacity gaps and develop and implement solutions. In this approach, such relationships are developed at the very outset of the capacity building process, during the first engagements between donors and potential recipient stakeholders. Building relationships founded on partnership will set the tone for the remainder of the capacity building mission and will significantly increase the likelihood that appropriate solutions—those that meld local solutions with external know how—are defined and that outcomes and impact will be achieved. Through such partnerships, donors will also be better able to serve as a resource—and be perceived as a resource by their counterparts, increasing the likelihood that their expertise will be welcomed and utilized.

Partnership Condition: Overlay questions to guide policymakers

➢ Why is the Host Country willing to contribute to the proposed capacity building activity?

➢ How do the donors and Host Country stakeholders define the intended beneficiaries of the change?

➢ To what level and how broadly should the capacity building activity be socialized to enable the collaboration of the planning and design communities?

➢ How will each partner communicate the details of the capacity building mandate and mission to relevant institutional actors in each of their countries?

➢ How will the donor and host frame the partnership and activities?

➢ At what level and from what actors is resistance and pushback anticipated?

Systemic Context Condition

Fifth, sustainable capacity building accounts for the larger systemic context in which the solution will be embedded and weighs the impact of the proposed solution on the existing system to militate against unintended consequences. In the Sustainable Capacity Building approach, the system and the impact of the intended capacity building activity on that system and related processes is considered at the very outset of the capacity building activity, when it is first conceptualized. It is also a key factor in the engagement with local partners, who will know better how the recipient function or institution is situated in the broader system and can identify ways in which the intended activity can have impacts that resonate throughout it. Understanding the potential system-wide

impact will require robust assessments that reach much farther into the system than the planned capacity building activity would suggest at first glance.

Systemic Context Condition: Overlay questions to guide policymakers

- ➤ What is the role of the target institution in the broader system?
- ➤ How does the existing system perpetuate the identified gap?
- ➤ What other systemic actors contribute to the identified gap?
- ➤ Do the processes exist to sustain the proposed change?
- ➤ How culturally/socially/politically flexible is the Host Country to change and how flexible are existing processes to incorporating change?
- ➤ What impact will the capacity building activity have on other institutions?
- ➤ What are the potential risks and unintended consequences of the capacity building activity?

Leverage Capabilities Condition

Sixth, sustainable capacity building leverages the capacity building capabilities of Partner Countries to build capacity holistically. Much attention has been paid in recent years to the importance of working holistically when building capacity overseas. In this handbook we use the term holistic to refer to the how many different actors are involved in the capacity building process—from conceptualization, planning and design, to implementation. *Holistic* implementation would involve multiple interagency actors and multiple Partner Countries that coordinate the implementation of their capacity building activities. Ideally, activities are sequenced, and Partner Countries contribute to the effort based on their comparative advantage. Close coordination also ensures that there is no unnecessary and wasteful overlap and better guards against overwhelming the absorptive capacity of the Host Country. Therefore, *holistic capacity building* is the comprehensive process, from assessment and design through implementation, by which people or institutions are provided with the knowledge to deploy a capability.

Leverage Capabilities Condition: Overlay questions to guide policymakers

- ➤ Which Partner Countries can be included in the proposed capacity building effort?
- ➤ Which Partner Countries have capacity building capabilities that could address needs identified?
- ➤ What have the Partner Countries previously tried and what lessons can help this current effort?
- ➤ What are the challenges to working with these partners?
- ➤ What are the common objectives that leverage comparative advantage and meet Host Country human and institutional gaps?
- ➤ How is the proposed capacity building effort led and coordinated, and who implements what?
- ➤ Is there any overlap and, if so, it is useful?

These guidelines for the policymaking community are not meant to replace existing guidance or policymaking practices. Instead, they should serve as an *overlay* to those processes to shape the policy goal setting at the strategic, country-specific, and operational levels and for leading engagement with counterparts from recipient countries, as well as their policymaking staff. For each of the six conditions, these questions are designed to enable the policymaking community to make decisions, to question prevailing assumptions, and to set guidance and standards for subsequent planning, programming, and implementation. In other words, using these guidelines as an overlay to existing processes will significantly contribute to the creation of a new model or approach to Sustainable Capacity Building.

Chapter 4

Sustainable Capacity Building Guidelines for Planning and Programming

Introduction

This chapter provides detailed guidelines for planners and programmers—those who have responsibility for implementing the capacity building mandate, designing and planning the activities that will achieve the goals identified by the policy community, and guiding the selection and overseeing the execution of activities. It is not meant to replace existing guidance, policy or doctrine. Instead, these guidelines should serve as an *overlay* to those processes.

This *overlay* includes a series of questions for the planning and programming community, organized around the six conditions for sustainable capacity building outlined in Chapter 2. These questions are meant to prompt planners and program managers to design and implement activities and select appropriate implementers to achieve sustainable capacity building outcome. Ideally these six conditions guide planners and programmers from the initial conceptualization of the capacity building activity to its outcome.

In practice, however, planners and program managers often receive specific direction about the type and nature of the capacity building activity, the lead agency, the target recipients of the proposed assistance, the timeline for implementation, or the countries or regions of focus. The

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Table 4.1 Snapshot Scenario

In March 2016, Africa Command (AFRICOM) released the new Theater Campaign Plan (TCP) for the AFRICOM AOR. It recognizes that "small but wise investments in African security institutions today offer disproportionate benefits to Africa, Europe, and the United States in the future, creating mutual opportunities and reducing the risks of destabilization, radicalization, and persistent conflict." It also echoes the Security Governance Initiative (SGI), recognizing that "African solutions to African problems are, in the long run, in the best interest of Africans, Americans, and indeed the world."

The approach calls for security assistance, exercises, and institution building to build partner capacity. To accomplish this, the TCP identifies five lines of effort (LOEs):

- *Neutralize al Shabaab and transition the African Union Mission in Somalia to the Federal Government of Somalia,*
- *Degrade violent extremist organizations in the Sahel Maghreb and contain instability in Libya,*
- *Contain and degrade Boko Haram,*
- *Interdict illicit activity in the Gulf of Guinea and through central Africa with willing and capable African partners, and*
- *Build African peacekeeping, humanitarian assistance, and disaster response capacity.*

The TCP also calls for "Synchronization with Partners," including key interagency partners and other countries, like the UK and France, and organizations like the African Union (AU).

"snapshot scenario" in Table 4.1 offers an example of this direction from a Combatant Command Theater Campaign Plan.

In recognition of these planning and programming realities, the guidelines developed in this chapter are based on four key assumptions—(1) there is a **capacity building mandate** that defines the purpose, scope and desired end state of the proposed capacity building mission or activity, (2) the **targeted** capacity building activity has been broadly identified, (3) **Partner Countries** have been identified and are in general agreement about the capacity needs discussed at the policy level, although others may still be identified, and (4) specific **offices, departments, and policymaking bodies** have been given the task to execute this guidance These are depicted in Table 4.2 below, with examples from the snapshot scenario.

Table 4.2 Key Assumptions for Planning and Programming Guidance	
Assumptions	Title
The **Host Country(ies)** for capacity building activities have been **identified**—at the senior political, interagency or agency level or by the legislature.	*TCP LOEs prioritize the following countries: **Somalia**, countries facing violent extremism and instability in the **Sahel and the Maghreb**, countries facing the threat from Boko Haram (**Cameroon, Chad, Niger, Nigeria**), Gulf of Guinea countries (**Nigeria, Benin, Togo and Ghana**), and Central African countries (**Uganda, CAR, South Sudan**). Also included are countries engaged in African peacekeeping initiatives, such as **Senegal and Ghana**. Additionally, **United States Africa Command and the Department of State** are supporting partnerships with **Ghana, Kenya, Mali, Niger, Nigeria, and Tunisia** to strengthen governance across the security sector with the **Security Governance Initiative (SGI)**.*
The capacity building **need** has been broadly identified	*The TCP calls for building the capacity of African recipient countries to **neutralize, degrade, contain or interdict threats** and to develop recipient country capacity for **peacekeeping, humanitarian assistance, and disaster response**.*
Planning and design of specific activities are the next step.	*Planners* *have been tasked to identify which activities can be developed and implemented to meet the goals identified in the five LOEs.*
Relevant **offices, departments, and policymaking bodies** have been given the task to execute this guidance.	*Under the leadership of AFRICOM, capacity building efforts are coordinated through the **Africa Strategic Dialogue,** an annual meeting of United States Africa Command and its interagency partners. This collaborative forum fosters a comprehensive approach by including Assistant Secretary-level leaders in the **Department of Defense, Department of State, and USAID** and provides the guidance to improve the alignment of resources to the U.S. strategy and informs our annual budget planning cycles. AFRICOM also works with key partners, like the UK and France, and organizations like the AU.*

With these assumptions in the mind, the guidelines in this chapter can help prompt planners and program managers to frame their plans and programs to meet the six conditions of sustainable capacity building and to guide their implementation to achieve true capacity building outcomes that can be sustained.

The Sustainable Capacity Building Framework

Capacity building refers to the process by which people or institutions acquire new skills and knowledge to deploy existing or new capabilities or programs effectively. Meaningful change is dependent on understanding and observing the principles of *local ownership*, *do no harm,* and *integrate sustainability.* Capacity building that adheres to these principles is more likely to be impactful and sustainable. Although there is widespread acceptance that these principles and conditions should guide capacity building efforts, the operationalization of these is challenging and requires targeted reflection and actions. In other words, there is widespread agreement that these principles *should* guide capacity building but a lack of understanding *how* to put these principles into practice. The six defining conditions—all of which must be met to achieve Sustainable Capacity Building on the ground—frame the sustainable capacity building guidance for planning and programming.

Operationalizing Sustainable Capacity Building: Guidance for Planning and Programming

The following guidance is organized around the six sustainable capacity building conditions. Each condition has a set of considerations associated with it that can inform the plans and programs of the planning and programming community and set the guidelines for implementation to achieve sustainable capacity building outcomes.

Human and Institutional Gap Condition

First, sustainable capacity building addresses human and institutional gaps. Sustainable Capacity Building is explicitly designed and implemented to build that *human capacity*—through knowledge transfer and skills building and in accordance with the principles of Sustainable Capacity Building. Building human capacity—and in the aggregate institutional capacity—enhances the likelihood of impactful and sustainable outcomes. Sustainable Capacity Building should also address *gaps that are identified both by donor and other experts and by recipient stakeholders in accordance with the principle of local ownership*. Including recipient stakeholders in the process through which capacity gaps are identified helps ensure that any activities that follow are "owned" by those responsible for their long term institutionalization and that any gaps addressed are gaps that stakeholders themselves identify and agree to. Addressing gaps on the ground, and doing so in partnership with local stakeholders, further enhances the likelihood of sustainable and impactful outcomes.

Human and Institutional Gap Condition: Overlay questions to guide planners and program managers

➢ Which Host Country actors and points of contact should be engaged?

➢ How do Host Country counterparts define their capacity gaps?

➢ What ideas do Host Country counterparts have to address their individual and system gaps?

➢ What are the challenges, obstacles, or points of friction that have prevented the adoption of those ideas?

➢ What information is available about the existing capacity of the Host Country?

➢ What is the existing capacity and what opportunities does it provide for strengthening or expanding that capacity?

➢ What are the expected results, desired solutions, and/or intended outcomes of the proposed capacity building activities?

➢ How do the proposed solutions to the human and institutional gaps positively impact Host Country capacity?

➢ How do the proposed solutions fall within the identified needs of the counterparts?

Embed Knowledge Condition

Second, sustainable capacity building embeds relevant knowledge in institutions and processes. Ensuring that new capacity is embedded in the institution so that it can be replicated and sustained after assistance ends—and after the original group of trainees are promoted, removed or retired, requires that the new tools and knowledge are made part of policies, practices, and procedures. Embedding relevant knowledge in institutions and processes is essential for ensuring that capacity building is sustainable and for the achievement of intended outcomes.

Embed Knowledge Condition: Overlay questions to guide planners and program managers

➢ What are the characteristics and areas of expertise needed to implement the proposed capacity building activity?

➢ What kind of implementers are best suited to implement these capacity building activities?

➢ Where can this expertise be accessed from across the broader donor community?

➢ How can activities be designed to contribute new tools and knowledge to improve existing policies, practices, and procedures for the long term?

➢ How will capacity be embedded in related institutions that could undermine the proposed change if not addressed?

➢ How can the embedded knowledge and tools be integrated and sustained?

Meld Knowledge Condition

Third, sustainable capacity building melds local knowledge with external resources and expertise to solve problems on the ground in the long term. A Sustainable Capacity Building approach creates "demand-driven" solutions—solutions that respond to the needs or gaps identified by local stakeholders and employ their potential solutions to these gaps, augmented by external expertise. This augmentation of external expertise may involve substantial technical assistance and guidance, possibly with the addition of key tools and resources, or may be less substantial but nonetheless vital advice and guidance to help local stakeholders design and develop their solutions. The combination of local knowledge and external expertise provides the best approach to ensuring that real capacity gaps are identified and that capacity building solutions are developed so these can be sustained.

Meld Knowledge Condition: Overlay questions to guide planners and program managers

➢ How is the implementer's role defined to facilitate knowledge sharing and encourage collaborative problem-solving?

- How can external expertise be formulated and presented to encourage local actors to capitalize on this expertise?

- What specific *functional* and *technical* expertise will be accepted by Host Country counterparts?

- What is an appropriate and realistic timeline and what is the right deployment length to build the relationships, understand the problem, share and transfer the knowledge, guide the implementation, and problem-solve after implementation?

- Given this timeline, what are realistic interim outputs (e.g. activities, milestones, deliverables, activities, etc.) that provide sufficient space for building relationships?

Partnership Condition

Fourth, sustainable capacity building requires developing and maintaining relationships with recipient stakeholders founded on partnership. In the Sustainable Capacity Building approach, relationships founded on a real partnership—the underlying sense and open commitment that both donors and recipients share to working together collaboratively and productively to identify capacity gaps and develop and implement solutions. In this approach, such relationships are developed at the very outset of the capacity building process, during the first engagements between donors and potential recipient stakeholders. Building relationships founded on partnership will set the tone for the remainder of the capacity building mission and will significantly increase the likelihood that appropriate solutions—those that meld local solutions with external know-how—are defined and that outcomes and impact will be achieved. Through such partnerships, donors will also be better able to serve as a resource—and be perceived as a resource by their counterparts, increasing the likelihood that their expertise will be welcomed and utilized.

Partnership Condition: Overlay questions to guide planners and program managers

- With which specific Host Country counterparts do partnership relationships need to be developed and what are the necessary lines of communication?

- What are Host Country expectations of the nature of its relationship with implementers?

- What benefits do Host Country counterparts expect to gain from collaborating with implementers?

- What are the comparative advantages that the capacity builder and their Host Country counterparts can contribute to the effort?

- Where within the target organization(s) is resistance and pushback likely to originate?

- How can this resistance be addressed?

- How can resistance to change be militated for?

Systemic Context Condition

Fifth, sustainable capacity building accounts for the larger systemic context in which the solution will be embedded and weighs the impact of the proposed solution on the existing system to militate against unintended consequences. In the Sustainable Capacity Building approach, the system and

the impact of the intended capacity building activity on that system and related processes is considered at the very outset of the capacity building activity, when it is first conceptualized. It is also a key factor in the engagement with local partners, who will know better how the recipient function or institution is situated in the broader system and can identify ways in which the intended activity can have impacts that resonate throughout it. Understanding the potential system-wide impact will require robust assessments that reach much farther into the system than the planned capacity building activity would suggest at first glance.

Systemic Context Condition: Overlay questions to guide planners and program managers

➢ Who in the Host Country can help define the role of the target institution in the broader system?

➢ How can local knowledge be leveraged to identify unintended consequences?

➢ Who will conduct systemic impact analysis assessments and how will this assessment be conducted?

➢ Who in the Host Country can describe the systemic impact(s) of the identified gaps?

➢ What other programs have been implemented by donors and what were their impacts?

➢ Who in Host Country can identify other systemic actors who can contribute to addressing the identified gap?

➢ Who in the Host Country understands where and if processes exist to sustain the proposed change?

Leverage Capabilities Condition

Sixth, sustainable capacity building leverages the capacity building capabilities of Partner Countries to build capacity holistically. Much attention has been paid in recent years to the importance of working holistically when building capacity overseas. In this handbook we use the term holistic to refer to the how many different actors are involved in the capacity building process—from conceptualization, planning and design, to implementation. *Holistic* implementation would involve multiple interagency actors and multiple Partner Countries that coordinate the implementation of their capacity building activities. Ideally, activities are sequenced, and Partner Countries contribute to the effort based on their comparative advantage. Close coordination also ensures that there is no unnecessary and wasteful overlap, and better guards against overwhelming the absorptive capacity of the Host Country. Therefore, *holistic capacity building* is the comprehensive process, from assessment and design through implementation, by which people or institutions are provided with the knowledge to deploy a capability.

Leverage Capabilities Condition: Overlay questions to guide planners and program managers

➢ What does the capacity building activity require each of the Partner Countries to do?

➢ Given the capacity gaps, what capabilities do Partner Countries have that could be leveraged to address those gaps?

➢ Which Partner Countries have a comparative advantage for designing and/or delivering which specific capacity building activity?

➢ How will each Partner Country contribute to this capacity building activity?

➢ How will Partner Countries coordinate during the design, planning, and implementation phases?

➢ What mechanism can be created to coordinate implementer activities on the ground?

These guidelines for planners and programmers are not meant to replace existing guidance, policy, or doctrine. Instead, they should serve as an *overlay* to those processes. For each of the six conditions, these questions are designed to prompt planners and programmers to plan and design capacity building activities—and to guide the work of implementers on the ground—to build sustainable capacity that can achieve intended capacity building outcomes and impacts. In other words, using these guidelines as an overlay to existing processes will significantly contribute to the creation of a new model or approach to Sustainable Capacity Building.

Tools for Sustainable Capacity Building

Despite the significant resources devoted to improving human and institutional capacity across the globe, the vast majority of the programs they fund fail to fully achieve their intended outcome. Of course, all missions have their successes. But it is the big successes in terms of mission impact—where concerted and systemic change is achieved—that continue to prove ephemeral. There are many reasons why the foreign assistance programs of the United States and its key partners—Australia, Canada, France, Germany and the United Kingdom—struggle to deliver their intended results. One key reason, but certainly not the only one, is that the planning for coordinated capacity building happens so late in the process—or not at all. Too often, capacity builders "meet in the field." There are numerous examples where co-location or personal relationships produce coordinated holistic capacity building activities on the ground.

Imagine what could be achieved if that coordination were not the result of happenstance but were *planned*. In other words, can the coordination of capacity building be moved further up in the process to the initial conceptualization, planning, and design stages, and not just in the final implementation phase? And can the coordinated capacity building result from intent and not merely happenstance?

Purpose and Structure

The Chapters in Section II provide the tools and guidelines to enable coordinated Sustainable Capacity Building with other donor countries from the outset. Among the challenges the U.S. government and Partner Countries face when planning and implementing capacity building missions is the absence of a shared language to support holistic policymaking, planning, and programming. Chapter 5 offers common lexicon of working definitions—a shared set of terms and concepts which Partner Countries can use to communicate effectively when they plan and act in concert.

A second challenge U.S. government and Partner Countries face when planning and implementing capacity building missions is the lack of knowledge about what capacity capabilities exist to support holistic policymaking, planning, and programming. Chapters 6-13 provide an exhaustive, but by no means definitive, list of the numerous capabilities that each of the six countries surveyed—the United States and its five key partners, Australia, Canada, France, Germany, and the United Kingdom—have for building capacity. Each chapter is organized around a specific capacity building sector—such as the capabilities for training and equipping operational forces or the capabilities for institution building. The eight categories were selected in close consultation with the capacity building communities—the "end users"—in each of the six countries surveyed. Because they reflect the ways in which capacity building programs are currently categorized in each of the 6 countries, these categories have been replicated here to help the users of this manual quickly find the types of capabilities they might need to employ to plan, design, and implement capacity building activities or missions and to do so holistically.

The capabilities or programs for all six countries surveyed are profiled by capability type, with a separate chapter for each of the eight capability categories as follows:

    Chapter 6: Capabilities for Training and Equipping Operational Forces
    Chapter 7: Capabilities for Training and Technical Assistance for Judicial Actors

Chapter 8: Capabilities for Training Civil Society
Chapter 9: Capabilities for Institution Building
Chapter 10: Capabilities for Oversight and Governance
Chapter 11: Capabilities for Crisis Response and Disaster Preparedness
Chapter 12: Capabilities for Infrastructure Development
Chapter 13: Capabilities for Economic Development

Some programs identified by the six-country survey have a much broader mandate and can be classified in multiple capability categories. These programs are classified as "multi-sector" and will appear in each relevant capability chapter within Section II.

The chapters in Section II are written for practitioners. Each capability chapter provides an overview of the capability profiled—such as the capabilities for training and equipping operational forces—and defines which host country actors, institutions or sectors are meant to be the recipients. This approach serves a number of capacity building purposes:

- By listing the capabilities in each chapter in alphabetical order, rather than by country, the organization of the chapter reflects the holistic intent of the manual. This allows the reader to have a comprehensive view of available capabilities across the U.S. agencies and Partner Countries, a useful presentation when designing country/region plans. At the end of each chapter, there is also a list of the program names by country for easy cross-reference.
- The information provided under each program gives a brief overview of the program and identifies for which actors (e.g. only maritime forces) or countries (e.g. only West Africa) it can be used. Each of these entries is meant to help the different capacity building communities better understand the kinds of capabilities that can be harnessed to address Host Country capacity gaps and to identify which partners could support the effort to build capacity holistically.

Of course the material in the capabilities chapters is necessarily brief—the intent is not for this manual to serve as the definitive source for all programs across each country. There are guiding documents referenced in this manual that can provide more detail. More detail can also be provided by the personnel in each of the relevant departments and agencies that plan for and manage these programs. These entries are designed to provide the users of this manual with a comprehensive mapping of capabilities that could be tapped—and thus of potential partners that can be approached to plan, design, and implement a sustainable capacity building activity or mission in a host country.

Chapter 5

The Capacity Building Lexicon

Understanding the Need

Among the challenges the U.S. government and Partner Countries face when planning and implementing capacity building missions is the absence of a common lexicon of working definitions—a shared set of terms and concepts that can serve as a tool for policy and planning communities to better plan and operate in concert.[9] Simple terms like "assessment" and even "capacity" can mean very different things to different people across and even within governments.

Imagine a scenario in Washington in which program managers from different agencies are meeting to discuss programming to address the security sector challenges in a particular country. The State Department participant argues that one of the first steps is to conduct an assessment of the country's security sector. There is agreement around the table that an assessment is necessary. But it quickly becomes apparent that each participant's understanding of "assessment" varies widely. For the Defense Department, an assessment is a measure of the existing systems and practices of an institution, like the military, with an emphasis on *how those systems and practices can be strengthened to support U.S. operations and interests*. The evaluation framework for such an assessment thus closely mirrors that of the United States. For the State Department program manager, however, an assessment requires mapping the host country's systems and practices to meet various U.S. foreign policy objectives for that country. Here the emphasis can vary widely—from infrastructure development, community policing, or enhanced Human Rights standards and processes. This process often requires closer interaction with numerous host country stakeholders to identify and define gaps. The differences in approach may seem minor, but the implications are quite significant.

First, because the initial questions are different, the analysis itself is also very different, yielding very different findings. Second, these findings lead to very different policy decisions and thus different programming. Although it is possible that these different approaches to assessment may produce complementary programming, such an outcome is not by design. It is more likely that the assessment outcomes lead to interventions that are at odds—and run the risk of violating the principle of "do no harm" (for further discussion of this and other principles of Sustainable Capacity Building, see Chapter 2).

Another source of confusion when agencies and partners attempt to coordinate is between the terms "capability" and "capacity." For example, imagine an individual who is an expert in logistics management. He or she has the *knowledge and understanding* to manage and control the flow of goods, information, and services. In other words, he or she has logistics management *capacity*. The logistics management *computer system* he or she uses to move the goods, information, and services is the *capability*. This distinction seems quite simple, but for some agencies and partners, the meaning of the terms is actually reversed: capability as we have defined it means capacity, and a capacity is a capability. The confusion these terms generate illustrates perfectly why this lexicon is needed. How can we determine the goal or target of a capacity

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[9] Russell M. Frazier, "A Cannon for Cooperation: A Review of the Interagency Cooperation Literature," *Journal of Public Administration and Governance* 4:1 (2014): 14.

building mission if we do not even define "capacity" in the same way? Without a lexicon, policymakers, planners, and program managers might as well be speaking different languages.

The diversity of terms and labels between agencies is not a new problem nor is it specifically an American challenge. Diplomats and soldiers have long used different languages for their craft. Just as the U.S. interagency is seeking to learn from the lessons of their experiences building capacity in Afghanistan, so too are Partner Countries reassessing how they provide foreign assistance. The U.S. and allied experience in Afghanistan provides numerous lessons that point to the costs of miscommunication.[10] Although there are examples of successful coordination and communication, this is often the exception rather than the rule. Interviews conducted by the USIP project team highlight that these questions posed in Washington reflect similar efforts in London, Berlin, and elsewhere. An underlying theme of all of these efforts is to improve how capacity building is designed and delivered to have lasting and measurable impact.[11] This lexicon of working definitions is key to the planning and design process of capacity building efforts.

This chapter offers a glossary of terms that are meant to serve as a Sustainable Capacity Building Lexicon of working definitions, to be used in policymaking, planning, and programming across the U.S. interagency and with Partner Countries. It was designed to be used in concert with the Sustainable Capacity Building approach and guidance in Section I.

Although this glossary offers new definitions for some common terms, the lexicon is not intended to replace any ministry or department's official language. This lexicon is intended *for use within the shared capacity building sphere*. This is an important caveat. In creating this lexicon, it is not our intent that U.S. and allied agencies and departments change their policies or doctrines to incorporate this new language. Instead, this lexicon is offered to enable collaboration by providing a shared language that all actors engaged in a Sustainable Capacity Building effort can use to communicate effectively when they plan and act in concert.

Introducing the Lexicon

A common lexicon is a critical tool for simplifying the process of collaboration, facilitating clear communication that can increase the effectiveness and impact of foreign assistance. This is not a simple exercise. Doctrine and tradition are built around clearly defined terms, and these may not coincide with the definitions included in the lexicon. But we urge the reader to consider accepting the new lexicon and reassessing their understanding of how they—and interagency counterparts and partners—understand these terms when operating together. If Sustainable Capacity Building is to be successful, policy makers and planners from different agencies and countries must be able to communicate clearly and efficiently to avoid costly confusion and mistakes.

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[10] "Decade of War, Volume 1: Enduring lessons from the Past Decade of Operations," *Joint and Coalition Operational Analysis (JCOA)*, (15 June 2012), 26.
[11] See for example Christopher Paul, Colin P. Clarke, Beth Grill, Stephanie Young, Jennifer D. P. Moroney, Joe Hogler, and Christine Leah, *What Works Best When Building Partner Capacity and Under What Circumstances?* (Rand: National Defense Research Institute, 2013); James Dobbins, "Civil-Military Roles in Post Conflict Stabilization and Reconstruction," in *Mission Creep: The Militarization of U.S. Foreign Policy?,* Gordon Adams and Shoon Murray, eds., 46-59 (Washington, DC: Georgetown University Press, 2014; Government of Canada, *Independent Panel on Canada's Future Role in Afghanistan* (Ottawa, Canada: Minister of Public Works and Government Services, 2008); International Security Advisory Board (ISAB), *Report on Security Capacity Building* (Washington, DC: Department of State, January 7, 2013).

The terms were selected for very specific reasons. Some were included, like "capacity" and "capability," because their usage brings challenges to communication, coordination, and cooperation in any foreign assistance mission. Others were selected because their meanings are vague, or agency or country-specific. The lexicon includes terms used by everyone but which may have different meanings to the users. It also includes key terms associated with foreign assistance and capacity building. Many were selected following a careful review of sources that include DOD publications, USAID documents, State Department policy, and USIP *Peace Terms: Glossary of Terms for Conflict Management and Peacebuilding*. Others were added upon the recommendation of end users who represent capacity building professionals from across the U.S. government and five key Partner Countries – Australia, Canada, France, Germany, and the United Kingdom.

Finally, the purpose of the lexicon is not to create a definitive dictionary of terms for all foreign assistance and capacity building activities. The glossary does not include terms unique to individual departments and agencies. Also excluded were terms that are not directly relevant to capacity building. Although there are many terms that are peripheral or indirectly related to capacity building, the lexicon includes only those terms that are relevant when different agencies and countries work together. It provides a glossary of key words and concepts to enable capacity builders at the policy, strategy, planning, and implementation stages to work together to design and implement Sustainable Capacity Building.

The long term goal is for this lexicon to be continually updated as a collection of working definitions. Just like any other language, terms can be added and modified over time to reflect the ever-changing needs and realities of the foreign assistance landscape. As it evolves and adapts, we hope that the Sustainable Capacity Building lexicon will serve as a conduit for more effective communication and collaboration across the USG and its partners.

Glossary of Terms

A

Absorptive Capacity is the amount of new information or assistance that a government can effectively use given its existing infrastructure as well as its human and institutional capacity.

Accountability is the principle that individuals, including public officials, are held responsible for their actions. Such obligations are imposed by law, regulation, or practice.[12]

Advisor is a capacity builder who is called upon to assist host country or supported country counterparts and their institutions to address gaps in capacity that impact the ability of a government to provide services. Advisors are usually technical experts with significant experience in their field. Due to cultural sensitivities, the term mentor is sometimes used in place of advisor.

Agency is an organization, office, or bureau that is responsible for the oversight and administration of specific functions for a government.

Appropriation is authority given to U.S. federal agencies to incur obligations and to make payments from the U.S. Department of Treasury for specified purposes. An appropriation act, the most common means of providing budget authority, usually follows the enactment of authorizing legislation. In some cases, the authorizing legislation itself provides the **budget authority**.[13]

Authorization creates or continues the operation of a U.S. federal program or agency, either indefinitely or for a specific period of time. It can also sanction a particular type of obligation or expenditure within a program.[14]

Armed Groups are armed non-state actors that include insurgents, terrorists, militias, and criminal organizations. Unlike the police or armed forces, which are sanctioned by the laws of a government, armed groups are nonstatutory forces that have at least a minimum degree of independence from state control. They employ a clandestine infrastructure as their key organizational method, although they may maintain overt political fronts. Armed groups operate within and across state boundaries and may exercise some degree of territorial control.[15]

Assessment is both an activity and a product in Sustainable Capacity Building. As an activity, it involves a survey of existing capacities that identifies gaps. As a product, an assessment is usually a written report of the activity or survey, which can include recommendations informed by the survey. The use of the term in Sustainable Capacity Building should not be confused with other, sector specific uses, such as the assessment of the effectiveness of employing military force during

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[12] See Dan Snodderly, ed., *Peace Terms: Glossary of Terms for Conflict Management and Peacebuilding*. Washington, DC: United States Institute of Peace, 2011, 9.

[13] See General Accounting Office (GAO), *A Glossary of Terms Used in the Federal Budget Process,* (GAO-05-734SP (Revised January 2005), 21. Available at: http://archive.gao.gov/t2pbat6/148403.pdf.

[14] See General Accounting Office (GAO), *A Glossary of Terms Used in the Federal Budget Process,* (GAO-05-734SP (Revised January 2005), 17. Available at: http://archive.gao.gov/t2pbat6/148403.pdf.

[15] See Roy Godson and Richard Shultz, *Adapting America's Security Paradigm and Security Agenda,* (Washington, DC: National Strategy Information Center, 2010), 33.

operations, a threat assessment, or a judgement of the motives and qualifications of potential intelligence sources.[16]

B

Best Practices are the methods, approaches or tools that have been demonstrated to be effective, useful, and replicable.[17] Also referred to as **good practices.**

Budget Authority is the authority conferred by law to borrow or contract funds of the U.S. Federal Treasury. The U.S. Congress provides this authority through annual appropriations acts and substantive legislation which authorizes direct spending.

Building Partnership Capacity (BPC) is a U.S. Department of Defense policy to enhance both the capacities and capabilities of host country military and security forces.

Buy-in is a termed frequently used to describe willingness of recipient institutions or stakeholders to engage in a particular **foreign assistance** activity that aims to generate change in their institutional systems, processes, or practices.

C

Campaign Plan is a joint operation plan that serves as a primary vehicle for designing, organizing, prioritizing, integrating, and executing U.S. Department of Defense **Security Cooperation** activities.

Capability is a resource that a government, institution, or security actor possesses. It can be either a material tool (e.g. armored personnel or logistics database) or a system or process (e.g. doctrine, practice, or Standard Operating Procedure (SOP)).

Capacity is the knowledge of and ability to deploy a capability effectively. The term was originally applied to institutions – hence the related term institution building – but more recently it has been applied to a wide range of stakeholders, including individuals. At the individual level, capacity refers to the knowledge and skills that people have acquired by study or experience. At the organizational level, capacity refers to management structures, processes, systems, and practices as well as an institution's relationship with other organizations and sectors including public, private, and community organizations.[18]

Capacity Building is a process by which people institutions and societies can develop, strengthen, and expand their ability to meet their goals or fulfill their mandates. Typical approaches to capacity building includes the deployment of trainers, advisors, mentors, and expert teams.

Capacity Development is often used as a synonym for **capacity building**.

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[16] U.S. Joint Chiefs of Staff, *Joint Operations,* Joint Publication 3-0, Washington, DC: U.S. Joint Chiefs of Staff, August 11, 2011, GL-5. Available: http://www.dtic.mil/doctrine/new_pubs/jp3_0.pdf.
[17] U.S. Department of State, "Guidance for Planning and Conducting Evaluations," December 11, 2013, 24.
[18] See Dan Snodderly, ed., *Peace Terms: Glossary of Terms for Conflict Management and Peacebuilding* (Washington, DC: United States Institute of Peace, 2011), 12.

Chief of Mission (COM) is the principal officer in charge of a U.S. diplomatic mission to a foreign country, foreign territory, or international organization. COM is usually but not always the U.S. ambassador.[19]

Civil-Military describes the relationship between the civil authority of a given society and its military. In conflict environments, the term is used to describe the relationships among civilian and military actors working in the same space. In the U.S. interagency it is often used as synonym for "comprehensive," "whole-of-government," or "holistic". For the purpose of this lexicon it is recommended that the term **interagency** be used.

Civil Society is a collective term for nongovernmental and nonprofit groups (often referred to as Civil Society Organizations or CSOs) that include civic, educational, trade, labor, charitable, media, religious, recreational, cultural, and advocacy groups, as well as informal associations and social movements.

Counter Insurgency (COIN) is an integrated and comprehensive set of political, economic, social, and security efforts to end an insurgency and to create and maintain stable political, economic, and social structures to prevent its recurrence.[20]

Combatant Command (CCMD) is a U.S. Department of Defense unified command with responsibility for a geographic region or functional area in support of U.S. strategic objectives. Each CCMD maintains command and control of U.S. military forces, regardless of branch of service, in a geographic Area of Responsibility (AOR) or functional area in peacetime as well as in conflict. There are nine unified combatant commands: Northern Command, Southern Command, Africa Command, European Command, Central Command, Pacific Command, Transportation Command, Special Operations Command, and Strategic Command.

Community policing is a philosophy that promotes organizational strategies that support the systematic use of partnerships and problem-solving techniques to proactively address the immediate conditions that give rise to public safety issues such as crime, social disorder, and fear of crime.[21]

Contractor is a private company that produces goods or services under contract. Contractors range from individuals and small businesses to multi-billion dollar global corporations.

Conventional Forces are military forces that are capable of conducting operations using nonnuclear weapons. The term is also used to denote forces other than designated special operations forces.

Coordination is harmonizing efforts among multiple organizations working toward a similar goal. Also called "unity of effort" within the U.S. Department of Defense.

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[19] See Matthew C. Weed and Nina M. Serafino, "U.S. Diplomatic Missions: Background and Issues on Chief of Mission (COM) Authority," *CRS Report for Congress* R43422 (March 10, 2014), i. Available at: https://www.hsdl.org/?view&did=751906.

[20] See Scott Moore, "The Basics of Counterinsurgency," *Small Wars Journal,* (May 2007), 14. Available at: smallwarsjournal.com/documents/moorecoinpaper.pdf.

[21] U.S. Department of Justice, "Community Policing Defined," *Community Oriented Policing Services (COPS)*, Revised 2014, 1. Available at: http://www.cops.usdoj.gov/pdf/vets-to-cops/e030917193-CP-Defined.pdf.

Countering Violent Extremism (CVE) is a conceptual approach for preventing violence motivated by political, social, cultural, and/or religious ideologies and grievances.

Counter-Narcotics (CN) is a conceptual approach for preventing, managing, and mitigating illicit drug economies.[22]

Counterterrorism (CT) is a conceptual approach for neutralizing terrorists, their organizations, and networks.

Country Team is an operational decision-making group in an embassy, consulate, or overseas post that guides the mission and coordinates all agency programs and priorities within the context of the strategic plan for that country.[23]

Crisis Management is the process by which an organization deals with a major event such as a natural disaster, epidemic, or large scale violence that threatens to harm a society and/or its government.

D

Democracy is a system of government in which power is vested in the people who rule either directly or through elected representatives.

Disaster Preparedness is measures taken to prepare for and reduce the effect of disasters, including preventive efforts to mitigate the impact of disasters on vulnerable populations and to effectively manage their consequences.

Do No Harm is a principle that acknowledges that any intervention carries with it the risk of unintended consequences. It requires that all planned programs consider the full range of possible consequences of any intervention through inclusive consultations.

Doctrine is formal guidance issued by a government institution for a specific set of activities.

Donor Country is a country that is engaged in providing **Foreign Assistance**. The recipient of that assistance is often referred to as the **Host Country.**

E

Emergency Response is the organizing, coordinating, and directing of available resources to respond rapidly to an event to ensure basic humanitarian needs are met.[24]

End State is the stated outcome or goal of a particular endeavor or activity.

Evaluation – See Monitoring and Evaluation.

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[22] See "Counternarcotics Policy," Brookings: Law and Justice, January 1, 2015, Accessed March 10, 2015. Available at: http://www.brookings.edu/research/topics/counternarcotics.

[23] See "Introduction to Department of State Agency Culture: Country Team," U.S. Department of State, Accessed March 3, 2015. Available at: http://www.state.gov/courses/rs401/page_25.htm.

[24] See National Institute of Health, "Emergency Response," National Institute of Environmental Health Science, May 23, 2014. Accessed March 11, 2015. Available at: http://www.niehs.nih.gov/health/topics/population/response/.

Export Control is the enforcement of laws and regulations governing the trade of certain equipment, software, and technology.[25]

F

Facilitator is an individual who takes a neutral role in a formal or informal discussion between two or more groups, parties, or interests that aims to identify common objectives and to help participants develop a plan of action in response.

Foreign Assistance is aid provided to foreign governments. For the U.S., there are five categories of foreign assistance. These include bilateral economic assistance, multilateral economic assistance, humanitarian assistance, security assistance, and law enforcement assistance. The two primary Acts of Congress that authorize U.S. foreign assistance are the **Foreign Assistance Act** and the Arms Export Control Act.[26]

Foreign Assistance Act (FAA) of 1961 is a United States Act of Congress that serves as the cornerstone of U.S. foreign assistance policies and programs. It assigns the Secretary of State with responsibility for the "continuous supervision and general direction of economic assistance, military assistance, and military education and training programs, including but not limited to determining where there shall be a military assistance (including civic action) or a military education and training program for a country and the value thereof."[27] Since 1985, the last year Congress passed a comprehensive reauthorization of the FAA, both Congress and the President have promoted a variety of specialized authorities in freestanding legislation, such as the Millennium Challenge Act of 2003.

Foreign Policy is the instrument by which governments promote their interests and engage with other countries and international organizations.

Funding Authority – See Budget Authority.

G

Gender Mainstreaming is a programmatic approach to enhance the inclusivity of both men and women in any planned activity or policy.

General Purpose Forces (GPF) are armed forces capable of conducting conventional military operations. In the U.S., GPF includes all military combat and support forces in the Army, Navy, Air Force, and Marines but does not include Special Operations Forces. Also known as **conventional forces**.

Governance is a concept that promotes the inclusion of all members of society in determining how laws are formulated and enforced and how resources are allocated through enhanced accountability and transparency measures. It also requires respect for the rule of law by both government and citizens.

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[25] See U.S. Department of State, "Overview of U.S. Export Control System," A Resource on Strategic Trade Management and Export Controls. Accessed March 11, 2015. Available at: http://www.state.gov/strategictrade/overview/.

[26] See USDOS and USAID, *U.S. Foreign Assistance Reference Guide, (*Washington, D.C.: U.S. Department of State, January 2005). Available at: http://pdf.usaid.gov/pdf_docs/PNADC240.pdf.

[27] Section 622(a) and (c) (22 U.S.C. 2382(a), (c)) of the FAA.

Government is a set of executive, legislative, judicial, and administrative institutions that direct and manage the functions of a country.

Grant is a sum of money given by a government or private organization for a specified purpose.

H

Holistic refers to the comprehensiveness of approach and of impact. For example, a **holistic assessment** is one that takes a systemic approach to understanding all of the functions of a state, its society, and the broader environment with respect to the core problem and how each of these functions are correlated and integrated. **Holistic implementation**, also known as **whole-of-government** or whole-of-community**,** refers to the comprehensiveness and/or magnitude of participation in the activity in terms of agency partners or in terms of Partner Countries.

Host Country is a term used is used to describe a country that is the recipient of foreign assistance or the target of a capacity building effort by one or more **donor countries**. See also **Supported Country**.

Human Security is a concept that emerged in the 1990s to focus not on the security of a government but on the protection of the individual. It is a very broad term that includes welfare, education, health, and environment alongside more traditional elements of security.

Humanitarian Relief is aid that seeks to save lives and alleviate the suffering of a crisis-affected population.[28]

I

Impact is the result from or effect of a project or program. It is often used to refer to the higher level effects of a program or project in the medium or long term. Impact can be intended or unintended. It can also be positive or negative.[29]

Implementer is the individual or organization with responsibility to deliver a program or action.

Infrastructure is the physical facilities and organizational elements in a country including roads, bridges, power plants, transportation, and communication systems.

Infrastructure Development is the creation or reinforcement of sustainable infrastructure using human, material, and financial resources.

Insurgency is the organized use of subversion and violence to challenge, nullify, or seize a government.

Instability is a state of weakened political institutions which can result in social unrest, increased violence, and criminal activities.

Intelligence is the collection of information of political, military, or economic value which is analyzed and refined for use by policymakers. The term can be used to refer to a product that consists of synthesized information intended for policymakers or to the process through which that

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[28] See *Glossary of Humanitarian Terms,* ReliefWeb Project, 2008, 31-32.
[29] US Department of State, "Guidance for Planning and Conducting Evaluations," (December 11, 2013), 26.

information is identified, collected, and analyzed. It can also refer to the organizations and larger community that collect, analyze and disseminate this information.[30]

Interagency refers to multiple agencies or institutions of a government working in concert to achieve a common objective. Synonyms include **holistic, whole-of-government, "joined up" or comprehensive approach**.

Intergovernmental Organization (IGO) is an organization composed primarily of sovereign states (referred to as member states) or of other intergovernmental organizations.

Internally Displaced Person (IDP) is a person who has been forced to flee or leave their home, but without crossing an internationally recognized border, as a result of, or in order to avoid, the effects of conflict, violence, or natural disaster.

Institution Building is a capacity building activity that aims to strengthen the systems, processes, policies, and practices of government institutions with the goal of enabling them to provide systematic and consistent service to their populations.

Institutional Capacity is the ability of an institution to harness financial, human, and technological resources to carry out its mandate effectively and efficiently.

Institutional Culture refers to the set of shared assumptions, values, and beliefs that govern how an institution carries out its mission.

Institutionalization refers to the process whereby a concept, role, or practice within an organization is integrated and becomes standardized.

J

Judicial Actors are individuals who work in or are associated with the **judiciary**, the ministry or department of justice, and other justice institutions.

Judicial Independence is the concept that the judiciary or courts are free from improper influence by other branches of government or private interests.

Judicial system is the infrastructure of justice institutions and actors and the legal mechanisms for adjudication that uphold the rule of law.

Judiciary is the branch of government which administers justice and adjudicates laws. It includes courts of law and judges.

K

Knowledge Transfer is the process of sharing information and skills with a target audience to enable them to integrate that knowledge into daily practice. Knowledge transfer can be accomplished by such methods as education, training, mentoring, and **advising**.

L

Legitimacy is the acknowledgement that an actor has, is recognized as having, a legal or moral claim to rule or act on behalf of a relevant population. A government's legitimacy is founded on a

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[30] See "Intelligence Defined," The Federal Bureau of Investigation. Accessed March 12, 2015.
http://www.fbi.gov/about-us/intelligence/defined.

shared consensus about the political and moral values that define the state and its society. It is also derived from the government's ability to perform core functions for its citizens – functions such as infrastructure, health, food, education, as well as safety and border security.[31] In terms of an intervention, legitimacy refers to the degree to which an operation is authorized by an appropriate international or regional body and that the operation's mandate and conduct are accepted by the affected population and the Host Country government.

Lessons Learned are generalized findings from the evaluation of specific circumstances that highlight strengths or weaknesses in preparation, design, and implementation affecting the performance, outcome, or impact of a program or project.[32]

Letter of Agreement (LOA) is a written list of goods or services to be provided at the agreed-to price, terms, and time. It becomes a binding contract when signed by the associated parties. Also known as a Letter of Offer and Acceptance, which specifically refers to defense articles and services the U.S. government proposes to sell to another country.[33]

Local Actor is an individual, organizations, or government in a Host Country.

Logistics is the planning, management, and movement of goods and other support from its origin to a point of consumption, usually referring to the transport of personnel, weapons, vehicles, foodstuff, and equipment.

Local Ownership is the principle that local actors should control the identification, design, and implementation of capacity building activities in their country so that those activities can be locally implemented and sustained when foreign assistance ends. Local ownership attempts to bridge the asymmetries inherent in the donor-recipient relationship.

M

Mandate is an official statement of purpose that guides the nature, type, and length of a proposed capacity building activity(ies) or mission. It derives from a number of sources, including policy initiatives, government strategies, and directives as well as country plans that reflect the national interests of the participating donor countries and guide the types of activities a proposed capacity building mission can undertake in a Host Country. A capacity building mandate is also shaped by the political interests and constraints of the Host Country.

Ministerial Capacity – See Institutional Capacity.

Ministry is a government institution (in the U.S., a department) responsible for administering a specific sector.

Monitoring is the observation of an activity or process, usually by an independent party.

Monitoring and Evaluation is a process through which information is systematically gathered to measure the outcome, impact, and effectiveness of an intervention in a host country.

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[31] See Roy Godson and Richard Shultz, *Adapting America's Security Paradigm and Security Agenda,* (Washington, DC: National Strategy Information Center, 2010), 34-35.

[32] Department of State, "Guidance for Planning and Conducting Evaluations," (December 11, 2013), 27.

[33] See "The Letter of Offer and Acceptance (LOA)," Defense Security Cooperation Agency, October 1, 2014. Accessed March 9, 2015. Available at: http://www.dsca.mil/2014-foreign-customer-guide/letter-offer-and-acceptance-loa.

Monopoly of Force is a concept in which a state has a monopoly over the legitimate use of coercive force when the forces and institutions of the security sector are under government control. In practice, this means that all forces that operate within the territorial confines of a sovereign state are sanctioned by law and are led, managed, provisioned, trained, and deployed by the state (ministries of defense or interior, the executive authority, and ultimately, the people they serve). This category can also include various private security actors provided the state permits them to wield force but ultimately retains "the sole right to use [or authorize the use of] physical violence."[34]

N

National Defense Authorization Act is a U.S. federal law, passed by Congress, which establishes the budget and expenditures of the Department of Defense each year.

National Security is the protection and preservation of a government, its citizens, and interests through the use of political, diplomatic, economic, and military power.

Non-Governmental Organization (NGO) is a private, usually non-profit entity that provides political and social services. NGOs may work independently or in concert with government and international organizations.

Nonproliferation is the effort to prevent the spread, development, sale, and/or use of major weapons technology, usually referring to chemical, biological, radiological, or nuclear weapons, collectively known as weapons of mass destruction (WMD). The Department of Defense uses the term **Counter-WMD,** which encompasses nonproliferation efforts but includes strategies for managing the consequences of WMD use.

O

Operational Capacity is the ability of security forces to deploy force to deter threats and to defend and protect the population and its government appropriately and accountably, under civilian oversight, and in accordance with human rights standards and the rule of law.[35]

Operational Forces are the security forces of a government. They can include the military and the police as well as specialized units such as border guards, coast guards, and prison guards.

Outcomes are the observable impacts and/or changes of capacity building activities on society-at-large. Outcomes are different than outputs as they focus on impact rather than process.

Oversight is the internal and external processes whereby the actions of a government are reviewed, monitored, and evaluated.

P

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[34] Herbert Wulf, "Challenging the Weberian Concept of the State: The Future of the Monopoly of Violence," *Australian Centre for Peace and Conflict Studies Occasional Paper*, no. 9 (December 2007), 10.

[35] See Querine Hanlon and Richard Shultz, *Prioritizing Security Sector Reform: A New U.S. Policy and Approach,* (Washington, DC: USIP Press, 2016).

Partner Country is a government which has agreed to work with another government to achieve a common objective.

Partnership is a term used in capacity building to describe the type of relationship that exists between a donor country and a host country. Such a partnership can exist between donor country and a host country governments, institutions, and/or individuals. In the U.S. Department of Defense usage, partnership specifically refers to building capacity of supported countries so that systems, process and institutions are capable and willing to cooperate with host country requests in the future.

Peacekeeping is the maintenance of international peace and security through the deployment of security forces to provide security and the political and peacebuilding support necessary to help countries make the early transition from conflict to peace. UN Peacekeeping is guided by three basic principles: consent of the parties; impartiality; non-use of force except in self-defense and defense of the mandate.[36]

Permissiveness is the degree to which an environment is open to or welcoming of foreign assistance activities. It is often used to refer to the level of violence, political instability, and consent of the host country government. Generally an environment is labeled as permissive or non-permissive.

Planners develop mission and/or country plans to guide the activities of foreign assistance missions including the use of resources, and formulate the details of a program of action to achieve the desired objective.

Policymakers are government officials who devise high level strategies and goals which will be turned into action through a planning and programming process.

Political Will is the commitment on the part of politicians and government officials to invest the political resources necessary to achieve a specific objective. This is also referred to as **National Will**.

Post-Conflict is used to describe the phase immediately following after active conflict. The term is a misnomer because post-conflict environments tend to feature low level and sporadic violence. A post-conflict environment is often characterized as a hostile or non-permissive.

Practitioner is a professional who designs, manages, implements and/or evaluates foreign assistance activities for the U.S. or Partner Countries' government institutions, NGOs, and other implementers of foreign assistance programs.

Prevention is the activities that take place to prevent violence or instability. In U.S. military parlance, prevention activities are often referred to as "phase zero." In the UK, the term "upstream" is also used.

Program Managers develop country and/or regional programs to build the capacity and capabilities of recipient institutions, identify and align resources, and formulate the details of program activities and selection of implementers to achieve the desired objective or **end state**.

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[36] See "Principles of UN Peacekeeping," United Nations Peacekeeping. Accessed March 10, 2015. Available at: http://www.un.org/en/peacekeeping/operations/principles.shtml.

Q

R

Reform is the process whereby change is made to improve the function and efficacy of an institution or practice in accordance with established principles and norms.

Rule of Law is a concept that defines the rights and obligations of citizens and the government. Most definitions contain the following elements: every citizen has an opportunity to participate in making, overseeing, and modifying the laws and the legal system; the laws apply to everyone, including the rulers; and laws protect each individual as well as society as a whole.[37]

Rules of Engagement (ROE) are directives issued by a military authority specifying the circumstances and limitations under which forces conduct their mission.

S

Security is the quality or state of being safe from harm.

Security Assistance (SA) refers to a group of programs, authorized by the Foreign Assistance Act of 1961, as amended, the Arms Export Control Act of 1976, as amended, Title 22, United States Code (USC), as amended, or other related statutes, by which the U.S. provides defense articles, military training, and other defense-related services to foreign nations by grant, loan, credit, or cash sales in furtherance of national policies and objectives.[38] Security assistance activities administered by the U.S. Department of Defense are called **Security Cooperation**.

Security Cooperation (SC) refers to activities undertaken by the U.S. Department of Defense to enable international partners to work with the United States to achieve strategic objectives. SC includes all interactions with foreign defense and security establishments to build defense and security relationships that promote specific U.S. security interests.

Security Forces are duly constituted statutory military, paramilitary, police, and constabulary forces of a state.[39]

Security Sector includes all security forces and relevant government institutions charged with the provision of security for a government and its population.

Special Operations Forces (SOF) are those active and reserve component forces of the military services designated and specifically organized, trained, and equipped to conduct and support special operations. United States Special Operations Command (USSOCOM) has command over all U.S. SOF.

Stability Operations are various military missions, tasks, and activities conducted outside the United States in coordination with other instruments of national power to maintain or reestablish

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[37] See Roy Godson and Richard Shultz, *Adapting America's Security Paradigm and Security Agenda,* (Washington, DC: National Strategy Information Center, 2010), 35.
[38] See Department of Defense, Joint Chiefs of Staff, *Security Force Assistance: Joint Doctrine Note 1-13,* (2013). I-2. Available at: http://www.dtic.mil/doctrine/notes/jdn1_13.pdf.
[39] U.S. Joint Chiefs of Staff, *Foreign Internal Defense,* Joint Publication 3-22, Washington, DC: U.S. Joint Chiefs of Staff, July 12, 2010, GL-11. Available at: http://www.dtic.mil/doctrine/new_pubs/jp3_22.pdf.

a safe and secure environment, provide essential governmental services, emergency infrastructure reconstruction, and humanitarian relief.[40]

Stabilization and Reconstruction (S&R) is the application of stability operations and reconstruction activities in a coordinated fashion in countries experiencing internal conflict or international military intervention.[41] Stabilization refers to efforts to end conflict. Reconstruction refers to the process of developing or redeveloping structures that permit sustainable governance.[42]

Stakeholder is a person or organization that has a vested interest in the policy being promoted.

Standard Operating Procedures (SOPs) are a set of general instructions that describe who, what, where, when, and how to operate in a functional area.[43]

Supported Country is a state which has entered into an agreement to receive assistance from one or more Partner Countries. Synonyms include supported nation, **host country** or recipient country.

Sustainability means creating capacity that a host country can maintain after assistance ends.

T

Technical Assistance is a programmatic approach to share knowledge, skills, and information between Partner Country individuals and institutions and their Host Country counterparts.

Theory of Change articulates how a given action or actions will lead to a specific change.[44]

Train and Equip is a capacity building approach to enhance the capabilities of Host Country operational forces through tactical training and the provision of equipment for operational readiness.

Train-the-Trainer is an approach to build or enhance the capacity of host country trainers and training institutions to deliver new training content.

Transition is the process or period of change from one phase of conflict to another. Often, this refers to a shift from authoritarian to democratic government systems. Transitional states are viewed as particularly fragile and susceptible to instability, unrest, and violence due to the lack of government services and security.

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[40] See U.S. Department of the Army, *Stability Operations: Field Manual 3-07,* (October 2008), vi. Available at: http://usacac.army.mil/cac2/repository/FM307/FM3-07.pdf.

[41] See McNerney, Michael J., "Stabilization and Reconstruction in Afghanistan: Are PRTs a Model or a Muddle?" *Parameters,* 35, no. 4, 34.

[42] See Nora Bensahel, Olga Oliker, and Heather Peterson, "Why Stabilization and Reconstruction?" In *Improving Capacity for Stabilization and Reconstruction Operations*, 3-4, Santa Monica, CA: RAND Corporation, 2009.

[43] Defense Health Agency, "Standard Operating Procedures," Health.mil, accessed Aug. 3, 2016. Available: http://health.mil/Military-Health-Topics/Health-Readiness/Immunization-Healthcare/Education-and-Training/Guidelines/Standard-Operating-Procedures

[44] Danielle Stein and Craig Valters, "Understanding Theory of change in International Development," Asia Foundation Justice and Security Research Program (JSRP) Paper 1 (August 2012), 2. http://www.theoryofchange.org/wp-content/uploads/toco_library/pdf/UNDERSTANDINGTHEORYOFChangeSteinValtersPN.pdf.

Transparency is the degree to which information is available regarding official government actions including decision-making, budget and resource allocation, policies, doctrines, manpower, and operations.

U

V

Vetting is the process of ensuring that an individual or organization is a suitable partner. This is most often used in foreign assistance to ensure the suitability of aid recipients.

W

Whole-of-Government is an approach that integrates the collaborative efforts of the departments and agencies of a government to achieve unity of effort toward a shared goal. Also known as interagency approach.

X, Y and Z

Chapter 6

Capabilities for Training and Equipping Operational Forces

Introduction

The largest category of capabilities that can be used to build the capacity of host countries are the programs for training and equipping operational forces. *Operational forces* is a broad category that includes statutory forces with a formal mandate to ensure the safety of the state and its citizens. These include the armed forces (e.g. army, navy, air force, and marines) and the various internal security forces, such as the police, militarized police or gendarmerie, and the national guard. Also included in this category are paramilitary forces, intelligence forces, the secret service or presidential guard, and border, customs and forest guards. Some nonstatutory forces may also fall under this category, such as private security companies, militias, citizen self-defense forces, and other local security actors.

Each of the six countries surveyed—the United States and its five key partners, Australia, Canada, France, Germany, and the United Kingdom—have numerous programs for providing host country forces and institutions with equipment and training to build their capacity. Each of these programs is detailed in the sections below. Some of the programs stipulate the provision of training and equipment for a *type of actor* from among those listed under "operational forces." Others are defined by the *type of activity*—such as marine and coastal patrol, counterinsurgency, special operations, countering violent extremism, counterterrorism, anti-corruption, counternarcotics, criminal investigation, border patrol and interdiction, and community policing. Regardless of how the program is defined, those included in this section focus their capacity building activities and funding on enhancing the effectiveness, through training and equipment, of forces. Capabilities for building the capacity of institutions, such as the ministry of defense, or of building infrastructure—such as the construction of barracks or runways—fall under a separate category and are listed in a subsequent chapter.

As this chapter details, there are multiple programs for some actors and fewer programs for others. For example, in the United States alone, there are seven federal agencies (DOS, DOJ, DOE, USAID, Treasury, DHS, and DOD) and 24 components within them that fund or implement "police assistance" activities.[45] Alternatively, there are also programs that have a much broader mandate than merely building the capacity of operational forces. These programs are classified as "multi-sector," and they appear in each relevant capability chapter within this manual.

How to Use the Capabilities for Better Outcomes and Impacts

The capabilities for Training and Equipping Operational Forces provide "capacity builders"—the policymakers, planners, and program managers—with information with which to develop policy guidance and plan, design, and implement holistic capacity building activities in a Host Country. These capabilities are provided not just to increase access to information about the capabilities that can be utilized to do sustainable capacity building, but also to enable capacity builders to plan, design, and implement activities or missions that can achieve their intended outcomes and impact.

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[45] GAO, *Foreign Police Assistance* (April 27, 2011), 4. The data in the report is from FY 2009. Police assistance is defined in the report to include activities to train and equip foreign police (see p. 1). For updated data, see also GAO, *Foreign Police Assistance* (May 2012).

Readers of this manual should first think about the assets they currently have for supporting capacity building activities in the Host Country. Framed by the capacity building mandate for the host country, planners and program managers should inventory the tools they can employ and identify gaps. For example, their agency may have programs to build a more operationally effective military, but lack the capabilities for building defense institutions or for enhancing the operational effectiveness of militarized police or gendarmerie. The capabilities included in this chapter provide a comprehensive catalogue of available capabilities in their home agency or country and among their Partners. They also provide a starting point for capacity builders to begin planning and designing holistic capacity building activities and missions.

With this information at hand, capacity builders can reach out to their interagency and partner nation counterparts at the policy, planning, and design stages to develop a holistic capacity building response—at the outset—and not on the ground, where holistic capacity building takes place currently. Using the example of a capacity building mission that aims at enhancing operational effectiveness of the armed forces, a capacity building response that addresses both the capacity of armed forces and the ministries that oversee them, and that provides assistance to enhance the capacity of military education and training institutions to embed and sustain that new capacity, is more likely to achieve its intended outcome and longer term impact. It also guards against the likelihood that capacity building efforts delivered by Partner Countries overlap—for example, three capacity building programs aim to enhance the capacity of special forces—and of missed opportunities (none of the programs address the capacity of regular ground forces or of other elite units with whom these special forces may have to operate). Such instances of costly and duplicative overlap, and of missed opportunities, are far too common. At best, efforts are made by implementers to coordinate delivery on the ground. The approach in these *Guidelines* is to move this coordination to the very beginning of the policymaking, planning, and design stages to better husband resources and to increase the likelihood of outcomes and impacts. When countries work holistically from the outset of the capacity building mission, it increases the likelihood that their activities will be more comprehensive in scope—further enhancing the impact of any assistance provided.

Finally, policymakers, planners, and program managers need to rethink how to use these capabilities to build *sustainable* capacity. Capacity building is not just about providing capabilities. *Capacity building* refers to the *process* by which people or institutions are taught capacity—the knowledge of how to deploy a *capability* effectively. In other words, capacity is "how something is done" whereas a capability is a "tool" used to get it done. Working holistically with interagency and partner counterparts, policymakers, planners, and program managers can use these capabilities to support capacity building activities that go beyond merely providing capabilities.

It is the purpose of this chapter to help policymakers, planners, and program managers to know more about what capabilities exist to build the capacity of operational forces. But it has a larger purpose as well—to guide them to work holistically and to build sustainable capacity to enable the foreign assistance programs they manage to better achieve their intended outcomes and impact.

Programs for Training and Equipping Operational Forces

The assessment of the programs for building the capacity of operational forces yielded 69 programs. For each of the programs detailed below, the following information is provided:

1. Name of Program
2. Country
3. Multisector (if applicable)
4. Name of Authority (if applicable)
5. Overseeing Agency, Department, or Ministry
6. Implementing Agency, Department, Ministry or Contractor
7. Budget (estimate or actual amount from latest budget year available)
8. Summary of the program and its purpose or intended use.
9. Guiding documents (policy documents, manuals and directives relevant to the program).
10. Source[46]

These programs are listed alphabetically by program name below. At the end of the chapter, all the programs are also listed by donor country.

Academy for Crisis Management, Emergency Planning and Civil Protection (AKNZ)

Country:	Germany
Multisector:	Training and Equipping Operational Forces, Crisis Response and Disaster Preparedness
Authority:	[none found at time of report]
Overseeing Agency:	Bundesministerium des Innern (BMI) (Federal Ministry of the Interior)
Implementing Agency:	Bundesamt für Bevölkerungsschutz und Katastrophenhilfe (BBK) (The Federal Office of Civil Protection and Disaster Assistance)
Implementing Personnel:	[none found at time of report]
Budget:	[none found at time of report]
Capability:	To train international partners in crisis management and emergency planning. Seminars and courses are geared toward executive roles in the five pillars (civil protection, police, the armed forces, services, critical infrastructure companies) of civil safety precaution at the national level.
Guiding Documents:	None
Source:	BKK, *Academy for Crisis Management, Emergency Planning and Civil Protection* (BBK, 2013), accessed January 16, 2016.

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[46] Primary sources are listed for each programmatic entry. Additional sources include: Querine Hanlon and Richard H. Shultz, Jr., eds., *Prioritizing Security Sector Reform: A New U.S. Approach* (Washington, DC: USIP Press, March 2016), 211-234; Nate Wilson, Eric Loui, and Seth Maddox. "U.S. Security Assistance: Interagency Cross-Cut Briefing Book," (Unpublished Report, American University, 2012); Department of Defense, Defense Security Cooperation Agency (DSCA) Defense Institute of Security Assistance Management (DISAM), "Security Cooperation Programs: Through Fiscal Year 2015," accessed Jan. 28, 2016. Available: http://www.disam.dsca.mil/documents/pubs/security_cooperation_programs_20150108.pdf; Kathleen J. McInnis and Nathan J. Lucas, "What Is 'Building Partner Capacity?'" Congressional Research Service, R44313, (Dec. 18, 2015), accessed Jan. 28, 2016. Available: https://www.fas.org/sgp/crs/natsec/R44313.pdf

Available:
http://www.bbk.bund.de/SharedDocs/Downloads/BBK/EN/booklet
s_leaflets/Flyer_AKNZ-en.pdf?__blob=publicationFile

Afghanistan Security Forces Fund (ASFF)

Country:	United States
Multisector:	Training and Equipping Operational Forces, Infrastructure Development
Authority:	Public Law 113-291. Created through the 2005 Emergency Supplemental Appropriations Act for Defense, the Global War on Terror and Tsunami Relief.
Overseeing Agency:	Department of Defense, with concurrence of the Secretary of State
Implementing Agency:	Combined Security Transition Command - Afghanistan (CSTC-A)
Implementing Personnel:	U.S. Army, General Purpose Forces
Budget:	$4.1 billion (FY2015)
Capability:	To train the Afghanistan National Security Forces (ANSF), including the Afghan National Army, the Afghan National Police and the Afghan Local Police, including funding infrastructure, equipment, transportation, and operations.
Guiding Documents:	None
Source:	Defense Security Cooperation Agency, "BPC Programs and Authorities" *Security Assistance Management Manual* (accessed February 24, 2015). Available: http://www.samm.dsca.mil/table/table-c15t2#ASFF.

African Peacekeeping Rapid Response Partnership (A-PREP)

Country:	United States
Authority:	August 6, 2014 White House Initiative
Overseeing Agency:	Department of State
Implementing Agency:	U.S. Africa Command (AFRICOM)
Implementing Personnel:	AFRICOM personnel
Budget:	$110 million per year for 3-5 years
Capability:	To train Senegal, Ghana, Ethiopia, Rwanda, Tanzania, and Uganda to rapidly deploy peacekeepers in response to emerging conflict through military training, equipment maintenance and repair, institutional support, and interoperability with other Africa-based peacekeeping forces.
Guiding Documents:	None
Source:	The White House Office of the Press Secretary, "FACT SHEET: U.S. Support for Peacekeeping in Africa," (Office of the Press Secretary, 2014), accessed February 19, 2015. Available:

http://www.whitehouse.gov/the-press-office/2014/08/06/fact-sheet-us-support-peacekeeping-africa.

Anti-Crime Capacity Building Program (ACCBP)

Country:	Canada
Multi-sector:	Training and Equipping Operational Forces, Training of Judicial Actors, Institution Building, Oversight and Governance
Authority:	Created under the International Assistance Envelop 5th pillar: Promote Stability and Security
Overseeing Agency:	Global Affairs Canada
Implementing Agency:	Receives priorities through annual interagency process defining program engagement
Implementing Personnel:	[none found at time of report]
Budget:	Up to CAD 15 million per year
Capability:	To train government personnel, agencies, international organizations, and non-governmental entities to prevent and respond to threats posed by transnational criminal activity throughout the Americas using a variety of bilateral and multilateral project-delivery mechanisms.
Guiding Documents:	n/a
Source:	Foreign Affairs, Trade and Development, "Anti-Crime Capacity Building" (November 10, 2015), accessed January 20, 2016. Available: http://www.international.gc.ca/crime/accbp-prclc.aspx?lang=eng.

Antiterrorism Assistance (ATA)

Country:	United States
Authority:	Foreign Assistance Act of 1961, as amended by the International Security and Development Assistance Authorization Act of 1983
Overseeing Agency:	Department of State, Bureau of Counterterrorism
Implementing Agency:	Bureau of Diplomatic Security, Office of Antiterrorism Assistance (DS/T/ATA)
Implementing Personnel:	Contractors (DECO Security Services, TAC Technologies; US Investigations Services Inc., Orion Management LLC, Commonwealth Trading Partners Inc., and the U.S. Training Center
Budget:	Funded through Nonproliferation, Anti-Terrorism, and Demining and Related Programs (NADR)
Capacity:	To train and equip foreign law enforcement agencies to assist in detecting and eliminating terrorist threats and in protecting facilities, individuals, and infrastructure. ATA courses focus on tactical and operational training for bomb detection, crime scene

investigation, airport and building security, border security, critical infrastructure protection, maritime protections, and VIP protection.

Guiding Documents:	[none found at time of report]
Source:	U.S. Department of State Office of Inspector General, "Evaluation of the Antiterrorism Assistance Program for Countries under the Bureaus of Near Eastern Affairs and South and Central Asian Affairs" AUD/MERO-12-29 (April 2012). U.S. Department of State, "Antiterrorism Assistance Program," (accessed May 25, 2014), accessed January 20, 2016. Available: http://www.state.gov/m/ds/terrorism/c8583.htm.

Appui à la Direction Générale des Douanes du Mali

Country:	France
Multisector:	Training and Equipping Operational Forces, Institution Building
Authority:	n/a
Overseeing Agency:	Ministère des Affaires Étrangères et du Développement international - Ministry of Foreign Affairs and International Development (MAEDI)
Implementing Agency:	Douanes françaises
Implementing Personnel:	[none found at time of report]
Budget:	€1.4 million
Capability:	To creating a control and safety station including video surveillance systems and training of customs officers of Mali in control and safety techniques.
Guiding Documents:	None
Source:	Ministère des Affaires Étrangères et du Développement international, "L'aide française au Mali," (April 2, 2015), accessed February 3, 2016. Available: http://mali.transparence-aide.gouv.fr/projects/appui-a-la-direction-generale-des-douanes-du-mali/

Australian Defence Force Warfare Centre (ADFWC) Program

Country:	Australia
Authority:	[none found at time of report]
Overseeing Agency:	Department of Defence
Implementing Agency:	Vice Chief of Defence Force (VCDF) Group
Implementing Personnel:	ADFWC Training Staff
Budget:	[none found at time of report]
Capacity:	To train the Australian Defence Force (ADF) and foreign partners through the review and development of joint doctrine, development and delivery of joint individual training (including

	peace operations training), and provision of simulation support to selected stakeholders.
Guiding Documents:	None
Source:	Australian Department of Defense. "Australian Defense Force Warfare Centre" (accessed January 20, 2016). Available: http://www.defence.gov.au/ADFWC/about.asp

British Military Advisory and Training Team (BMATT)

Country:	United Kingdom
Authority:	n/a
Overseeing Agency:	Ministry of Defense (MOD) International Plans and Policy (IPP)
Implementing Agency:	BMATT, BPSTs and STTT from UK (plus others)
Implementing Personnel:	Training is delivered by an In-Country Training Team (ICTT)
Budget:	[none found at time of report]
Capability:	To train Partner Countries to improve their indigenous training capabilities for developing their professional armed forces and their capabilities to participate in multinational Peace Support Operations (PSO), through military training courses, training assistance, and advice. Currently, there are some 35 Partner Countries from Central Asia, the Caucasus, Central and Eastern Europe, the Balkans, the Baltics and North Africa involved.
Guiding Documents:	None
Source:	"British Military Advisory Training Team (Czech Republic)," Gov.uk, accessed January 20, 2016. Available at: https://www.gov.uk/british-military-advisory-training-team-in-the-czech-republic.

Building Partnership Capacity – Yemen and East Africa

Country:	United States
Authority:	Under section 1207(n) of the National Defense Authorization Act for FY12. Funds managed by Defense Security Cooperation Agency (DSCA)
Overseeing Agency:	Department of Defense
Implementing Agency:	DSCA
Implementing Personnel:	[none found at time of report]
Budget:	Est. $150 million FY2014
Capability:	To train and equip forces in Yemen and East Africa to provide transitional authorities and to build partner nation capacity.
Guiding Documents:	None
Source:	Defense Security Cooperation Agency (DSCA). Fiscal Year 2015 Budget Estimates DSCA-425 (March 2014.)

Burundi - Appui aux secteurs universitaire, recherche, gouvernance, culture, médias et police (Support for the University, Research, Governance, Cultural, Media, and Police Sectors)

Country:	France
Multi-sector:	Training and Equipping Operational Forces, Training Civil Society, Oversight and Governance
Authority:	[none found at time of report]
Overseeing Agency:	MAEDI (Ministère des Affaires étrangères et du Développement international / Ministry of Foreign Affairs and International Development)
Implementing Agency:	Various Burundian ministries
Implementing Personnel:	International experts
Budget:	€498,104
Capability:	To provide technical assistance and funding for four international technical experts (on governance, police, media, francophonie).
Guiding Documents:	[none found at time of report]
Source:	[none found at time of report]

Canadian Police Arrangement (CPA)

Country:	Canada
Multi-Sector:	Training and Equipping Operational Forces, Training of Judicial Actors, Institution Building
Authority:	[none found at time of report]
Overseeing Agency:	Partnership between Global Affairs Canada, Public Safety Canada, and the Royal Canadian Mounted Police (RCMP)
Implementing Agency:	RCMP
Implementing Personnel:	National, Provincial, and Municipal Police Forces within Canada
Budget:	Funded through the International Police Peacekeeping (IPP) Program
Capability:	To train, mentor, and build police institutions in foreign countries. The CPA serves as the policy framework to guide the Canadian government's response to foreign requests for police assistance.
Guiding Documents:	None
Source:	GOV, 2006-2008 Biennial Review: International Peace Operations Branch (Ottawa: RCMP, 2008), 8.

Center of Excellence for Stability Police Units (CoESPU)

Country:	United States
Authority:	Created in 2005 by the Carabinieri in Vicenza, Italy with U.S. funding through PKO
Overseeing Agency:	Department of Defense
Implementing Agency:	U.S. Army

Implementing Personnel:	Italian Carabinieri
Budget:	$3.4 million (FY2011)
Capability:	To train gendarme forces.
Guiding Documents:	[none found at time of report]
Source:	Interview, US Department of State, Office of Plans and Initiatives (PM/PI), February 25, 2015.

Coalition Readiness Support Program (CRSP)

Country:	United States
Authority:	Public Law 113-66
Overseeing Agency:	Department of Defense with concurrence of the Secretary of State
Implementing Agency:	Defense Security Cooperation Agency (DSCA)
Implementing Personnel:	Contractors and other implementers TBD
Budget:	Sub program within the Coalition Support Funds (CSF)
Capability:	To train and procure supplies and specialized equipment. Supplies and equipment are loaned on a non-reimbursable basis to coalition forces supporting U.S. military operations in Afghanistan.
Guiding Documents:	None
Source:	Defense Security Cooperation Agency, "Security Assistance Management Manual: Table C15.T2.BPC Programs and Authorities," accessed February 24, 2015. Available: http://www.samm.dsca.mil/table/table-c15t2#ASFF Stuber, Michael. Department of Defense. European Command Office of the Comptroller. Special Funding and Authorities Available to the Combatant Command, (2011), accessed Feb. 25, 2015. Available: http://www.asmconline.org/wp-content/uploads/chapters/eruopeanpdi2011/D1_W3_Mike_Stuber_Special_Funding_and_Authorities_Available_to_the_COCOM_APR%202011.pdf

Coalition Support Funds (CSF)

Country:	United States
Authority:	FY 2002 Supplemental Appropriations Bill
Overseeing Agency:	Secretary of Defense
Implementing Agency:	Department of Defense
Implementing Personnel:	Security assistance officials at U.S. embassy in partner nation
Budget:	$1.6 billion (FY2012)
Capability:	To reimburse coalition countries (primarily Pakistan and Jordan) for logistical, military, and other expenses incurred in supporting U.S. military operations. These payments are made to cooperating nations in amounts as determined by the Secretary of Defense.
Guiding Documents:	None

Source:	Department of Defense. Defense Security Cooperation Agency. Operations and Maintenance, Defense Wide Budget Activity 04, Administrative and Service-Wide Activities. DSCA-73, accessed Feb. 26, 2015. Available: http://comptroller.defense.gov/Portals/45/Documents/defbudget/fy2008/fy2007_supplemental/FY2007_Emergency_Supplemental_Request_for_the_GWOT/pdfs/operation/21_DSCA_Supp_OP-5.pdf

Combatant Commander's Initiative Fund (CCIF)

Country:	United States
Authority:	10 U.S.C. 166a
Overseeing Agency:	Department of Defense
Implementing Agency:	Joint Staff (J-7). Projects submitted by the COCOMs and approved by the Chairman, JCS.
Implementing Personnel:	Country teams, Combatant Commands, and DSCA
Budget:	$15 million (FY2015)
Capability:	To fund trainings, joint exercises, operations, or education to improve a partner nation's capacity to address internal threats. Provides funds for individual projects submitted by CCMDs and approved by the Chairman, JCS.
Guiding Documents:	None
Source:	Admiral M.G. Mullen, CJCS, "Senate Report 110-335 for FY 09 Combatant Commander Initiate Fund (CCIF)," CM-0935-09 (30 November 2009). Stuber, Michael. Department of Defense. European Command Office of the Comptroller. Special Funding and Authorities Available to the Combatant Command. (2011), accessed Feb. 25, 2015. Available: http://www.asmconline.org/wp-content/uploads/chapters/eruopeanpdi2011/D1_W3_Mike_Stuber_Special_Funding_and_Authorities_Available_to_the_COCOM_APR%202011.pdf Joint Chiefs of Staff. Fiscal Year (FY) 2015 Budget Estimates. TJS-1077 (March 2014)

Combating Terrorism Fellowship Program (CTFP)

Country:	United States
Authority:	Created in Section 1221 of the 2004 NDAA, authorized in 10 U.S.C. Section 2249c
Overseeing Agency:	Department of Defense
Implementing Agency:	Defense Security Cooperation Agency (DSCA)
Implementing Personnel:	Professional military education schools such National Defense University and Naval Postgraduate School as well as non-degree granting training programs such as the Defense Language Institute
Budget:	$32 million (FY2013)

Capability:	To fund training of mid- to senior-level military and civilian counterterrorism officials from CCMD priority countries in Africa, the Asia Pacific, South and Central America, the Middle East and North Africa, and Eastern Europe.
Guiding Documents:	Annual policy guide developed by Special Operations/Low-Intensity Conflict (SOLIC). Program guidance by DSCA
Source:	Defense Security Cooperation Agency, "Combating Terrorism Fellowship Program (CTFP), accessed January 20, 2016. Available: http://www.dsca.mil/programs/combating-terrorism-fellowship-program

Complex Crisis Fund (CCF) (Replacing Section 1207)

Country:	United States
Multisector:	Training and Equipping Operational Forces, Training Judicial Actors, Training Civil Society, Institution Building, Oversight and Governance, Crisis Response and Disaster Preparedness, Infrastructure Development, Economic Development
Authority:	Established through Consolidated Appropriations Act, 2010, H.R.3288, 111th Congress (2010)
Overseeing Agency:	Department of State
Implementing Agency:	U.S. Agency for International Development (USAID), Office of Program, Policy and Management (PPM)
Implementing Personnel:	Contractors and other implementers TBD
Budget:	$40 million (FY2014)
Capability:	To fund projects aimed at addressing and preventing the root causes of conflict and instability through a whole-of-government approach, including host government participation, as well as other partner resources. CCF can also be used to support sustainable programs that help to create the conditions for longer-term development. Meant to replace Section 1207 which authorized the Department of Defense to transfer funds to the Department of State for stabilization and reconstruction activities.
Guiding Documents:	[none found at time of report]
Source:	Consolidated Appropriations Act, 2010, H.R.3288, 111th Congress (2010) Department of State. Fiscal Year 2016 Congressional Budget Justification: Foreign Operations, and Related Programs. (pp. 82) Web. 23 Feb. 2015. Available: http://www.usaid.gov/results-and-data/budget-spending

Conflict, Stability and Security Fund (CSSF)

Country:	United Kingdom

Multi-sector:	Training and Equipping Operational Forces, Training of Judicial Actors, Training Civil Society, Institution Building, Oversight and Governance, Crisis Response and Disaster Preparedness
Authority:	National Security Council and the Building Stability Overseas Board (BSOB), a tri-departmental board chaired on a rotating basis by DFID, FCO and MOD and includes representatives from the Cabinet Office and Stabilisation Unit (SU)
Overseeing Agency:	National Security Council
Implementing Agency:	National Security Secretariat Joint Hub
Implementing Personnel:	UK delivers directly or through third parties; also for contributions to multilateral interventions overseas to help prevent conflict and instability and to support post-conflict stabilization.
Budget:	£1.3 billion in 2016-17
Capability:	To fund a broad range of activity (military training, human rights training, security and justice sector reform, and facilitating political reconciliation and peace processes) to help prevent conflict that affects vulnerable people in the world's poorest countries and tackle threats to UK interests from instability overseas. This will include actions the UK delivers directly or through third parties and its contribution to multilateral interventions overseas to help prevent conflict and instability and support post-conflict stabilization.
Guiding Documents:	None
Source:	United Kingdom, HM Treasury, "Spending Round 2013", Cm 8639, (June 2013), 45, accessed January 20, 2016. Available: https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/209036/spending-round-2013-complete.pdf See also http://um.dk/en/~/media/UM/Danish-site/Documents/Danida/Resultater/Eval/201404AnnexF.pdf

Counter-Proliferation Program

Country:	United Kingdom
Multi-sector:	Training and Equipping of Operational Forces, Institution Building
Authority:	[none found at time of report]
Overseeing Agency:	Foreign Commonwealth Office (FCO)
Implementing Agency:	FCO Security Programme
Implementing Personnel:	[none found at time of report]
Budget:	£2 million (2013-14)
Capability:	To support projects around the world which increase political will or technical capacity to reduce the threat of weapons proliferation.
Guiding Documents:	UK National Counter Proliferation Strategy
Source:	United Kingdom Government. "Policy: Countering Weapons Proliferation." (January 14, 2016), accessed January 20, 2016.

Available: https://www.gov.uk/government/policies/countering-weapons-proliferation

Counter-Terrorism Capacity Building (CTCB) program

Country:	Canada
Multisector:	Institution Building, Training and Equipping Operational Forces
Authority:	Created under the International Assistance Envelop 5th pillar: Promote Stability and Security
Overseeing Agency:	Global Affairs Canada
Implementing Agency:	Global Affairs Canada
Implementing Personnel:	International organizations like Interpol and UN Office on Drugs and Crime
Budget:	CAD 13 million a year
Capability:	To train and advise in areas such as border security, transportation security, anti-terrorism financing, legislative drafting, legal policy and human rights, and counter-terrorism training, law enforcement, security, military and intelligence training, CBRN terrorism response, cyber-security, and critical infrastructure protection.
Guiding Documents:	None
Sources:	Foreign Affairs, Trade and Development Canada, "Counter-Terrorism Capacity Building Assistance," (April 26, 2013), accessed January 20, 2016. Available: http://www.international.gc.ca/crime/ctcb-rcat.aspx?lang=eng

Counter Terrorism and Extremism Liaison Officers (CTELOs)

Country:	United Kingdom
Multi-sector:	Training and Equipping Operational Forces, Institution Building
Authority:	[none found at time of report]
Overseeing Agency:	Foreign Commonwealth Office (FCO)
Implementing Agency:	[none found at time of report]
Implementing Personnel:	[none found at time of report]
Budget:	[none found at time of report]
Capability:	To mentor and build effective and human-rights-compliant CT capability within foreign police agencies, to provide assistance in efficiently progressing CT-related enquiries from the UK and Europol, and to act as the forward deployment for UK CT police in respect of terrorist incidents.
Guiding Documents:	[none found at time of report]
Source:	United Kingdom House of Commons. Home Affairs Committee. "Counter-Terrorism." 17th Report of Session 2013-14 HC231. (April 30, 2014) 25-26, accessed January 20, 2016. Available: http://www.statewatch.org/news/2014/may/uk-hac-report-counter-terrorism-may-2014.pdf

Counter Terrorism Finance (CTF)

Country:	United States
Multisector:	Training and Equipping Operational Forces, Training Judicial Actors
Authority:	Nonproliferation, Anti-Terrorism, and Demining and Related Programs (NADR)
Overseeing Agency:	Department of State
Implementing Agency:	Department of State Bureau of Counterterrorism (CT) working with the Department of Justice (DOJ)
Implementing Personnel:	Primarily NADR/CTF-funded Resident Legal Advisors (RLAs) from the Department of Justice Office of Overseas Prosecutorial Development, Assistance, and Training (DOJ/OPDAT).
Budget:	In FY 2013, CTF funded $15 million in capacity-building programs using NADR funds.
Capability:	To support and deliver technical assistance and training to governments around the world in investigation and to identify and interdict the flow of money to terrorist groups. The focus is on building comprehensive and effective legal frameworks and regulatory regimes, strengthening the investigative skills of law enforcement entities, bolstering prosecutorial and judicial development, and sustaining designated training and technical assistance programs.
Guiding Documents:	None
Source:	Department of State, "Annual Report on Assistance Related to International Terrorism: Fiscal Year 2013," *Bureau of Counterterrorism* (Feb. 11, 2014), accessed January 20, 2016. Available: http://www.state.gov/j/ct/rls/other/rpt/221544.htm Department of State, "Programs and Initiatives," *Bureau of Counterterrorism*, accessed Feb. 19, 2015. Available: http://www.state.gov/j/ct/programs/index.htm#CTF

CT Programme Fund

Country:	United Kingdom
Multisector:	Training and Equipping Operational Forces, Training Judicial Actors, Institution Building
Authority:	[none found at time of report]
Overseeing Agency:	Managed jointly by Foreign and Commonwealth Office (FCO), the Department for International Development, the Ministry of Defence, the Home Office, and other agencies
Implementing Agency:	Range of departments and agencies, including the Ministry of Defence, Department for Transport, Crown Prosecution Service, and the Metropolitan Police Service

Implementing Personnel:	Counter-Terrorism and Extremism Liaison Officers (CTELOs) posted overseas
Budget:	£30m
Capability:	To train overseas security services to improve compliance with the law and human rights and to make them more effective, to improve the ability of local investigators to build cases based on evidence rather than confession, to ensure prosecutors and judges are capable of processing terrorism cases through the court systems, effectively, fairly, and in line with the rule of law, and to improve conditions in detention facilities to meets international standards.
Guiding Documents:	None
Source:	United Kingdom Government. "Transparency data: Official Development Assistance (ODA) FCO Programme Spend - 2013." (January 17, 2014). Available: https://www.gov.uk/government/publications/official-development-assistance-oda-fco-programme-spend-2013 "Counter-terrorism - Home Affairs Committee" United Kingdom Parliament, (July 2011), accessed January 20, 2016. Available: http://www.publications.parliament.uk/pa/cm201314/cmselect/cmhaff/231/23106.htm

Defence Cooperation Programme (DCP)

Country:	Australia
Authority:	n/a
Overseeing Agency:	Department of Defence
Implementing Agency:	Australian Defence Force (ADF)
Implementing Personnel:	ADF trainers, advisors, and other personnel
Budget:	AUD 79.2 million (2012-13)
Capability:	To train international partners, with a focus on practical engagement, to help build capacity and professionalism, foster transparency and mutual understanding, and to improve the ability of regional defense and security forces to better work together and with Australia.
Guiding Documents:	None
Source:	Australian Department of Defence. "Agency Resources and Planned Performance," Defence PBS 2014-15, accessed January 20, 2016. Available: http://www.defence.gov.au/Budget/14-15/2014-2015_Defence_PBS_03_Defence.pdf Australian Department of Defence. "Vol. 1, Part 2: Performance. Program 1.1: Defence Cooperation Program." Defence Annual Report 2013-14, accessed January 20, 2016. Available: http://www.defence.gov.au/annualreports/13-14/part-two/program-1-01.asp

The Defence International Training Centre (DITC)

Country:	Australia
Authority:	n/a
Overseeing Agency:	Department of Defence
Implementing Agency:	Vice Chief of the Defence Force Group
Implementing Personnel:	DITC instructors
Budget:	[none found at time of report]
Capability:	To provide training and support that enhances defense cooperation and cross cultural awareness between members of the Australian Defence Organisation and foreign militaries.
Guiding Documents:	None
Source:	Australian Department of Defence. "Program 1.1 – Office of the Secretary and CDF," Defence Annual Report 2012-13, accessed January 20, 2016. Available: http://www.defence.gov.au/annualreports/12-13/part_two/program_1_1.asp Australian Department of Defence. "Defence International Training Centre," (accessed January 20, 2016). Available: http://www.defence.gov.au/ditc/

Department of Defense Counternarcotics Authority

Country:	United States
Authority:	Public Law 105-85, Section 1033, as amended
Overseeing Agency:	Department of Defense
Implementing Agency:	Deputy Assistant Secretary of Defense for Counternarcotics and Global Threats (DASD-CN)
Implementing Personnel:	Contractors, Special Operations Forces, and General Purpose Forces
Budget:	$1.5 billion (FY2014)
Capability:	To train and support security personnel, law enforcement, drug detection, and reconnaissance with the provision of equipment, training, facilities, and communications. The Department of Defense supports training, education, equipment, and coordination with other countries' counternarcotics efforts.
Guiding Documents:	None
Source:	Defense Security Cooperation Agency, "Security Assistance Management Manual: Table C15.T2.BPC Programs and Authorities," accessed February 24, 2015. Available: http://www.samm.dsca.mil/table/table-c15t2#ASFF Executive Office of the President. "National Drug Control Budget: FY 2015 Funding Highlights," (2014), accessed Feb. 25, 2015.

Available:
http://www.whitehouse.gov/sites/default/files/ondcp/about-content/fy_2015_budget_highlights_-_final.pdf

European Reassurance Initiative (ERI)

Country:	United States
Multisector:	Training and Equipping Operational Forces, Infrastructure Development
Authority:	Public Law 113-291
Overseeing Agency:	Department of Defense
Implementing Agency:	Defense Security Cooperation Agency (DSCA)
Implementing Personnel:	General Purpose Forces, Contractors, and NATO allies
Budget:	$985 million (FY2015)
Capability:	To train and provide bilateral and multilateral exercises with allies and partners, improved infrastructure to allow for greater responsiveness, enhanced prepositioning of U.S. equipment in Europe, and intensified efforts to build partner capacity for newer NATO members and other non-NATO partners like Georgia, Moldova, and Ukraine.
Guiding Documents:	None
Source:	Department of Defense, Office of the Under Secretary of Defense (Comptroller), United States Department of Defense Fiscal Year 2016 Budget Request: Overview, (2015), accessed Feb. 26, 2015. Available: http://comptroller.defense.gov/Portals/45/documents/defbudget/fy2016/fy2016_Budget_Request_Overview_Book.pdf Defense Security Cooperation Agency, "Security Assistance Management Manual: Table C15.T2.BPC Programs and Authorities," accessed February 24, 2015. Available: http://www.samm.dsca.mil/table/table-c15t2#ASFF

European Union Mission on Regional Maritime Capacity Building in the Horn of Africa (EUCAP Nestor)

Country:	Germany
Authority:	[none found at time of report]
Overseeing Agency:	EU Mission on Regional Maritime Capacity Building in the Horn of Africa (EUCAP Nestor)
Implementing Agency:	Bundeswehr (German Military)
Implementing Personnel:	Bundeswehr (German Military) soldiers, police officials, and civilian instructors and staff
Budget:	[none found at time of report]
Capability:	To train Somalia, Djibouti, Kenya, and the Seychelles to improve their ability to combat piracy successfully for coastal protection.

Guiding Documents:	None
Source:	German Missions in South Africa, Lesotho and Swaziland, "Germany's Bundeswehr – an army in service," (Feb 17, 2015), accessed January 20, 2016. Available: http://www.southafrica.diplo.de/Vertretung/suedafrika/en/__pr/__Embassy/2015/1st__Q/02-Bundeswehr-in-Africa.html

European Union Training Mission in Mali (EUTM Mali)

Country:	France
Authority:	[none found at time of report]
Overseeing Agency:	EUTM Mali
Implementing Agency:	[none found at time of report]
Implementing Personnel:	[none found at time of report]
Budget:	[none found at time of report]
Capability:	To train and support the internal security forces in Mali. The mission will help the Malian state to maintain constitutional and democratic order, to create the conditions for lasting peace, and to maintain its authority throughout the entire territory. France contributes forces.
Guiding Documents:	None
Source:	"EU Training Mission in Mali (EUTM Mali)," (December 2015), accessed January 20, 2016. Available: http://eeas.europa.eu/csdp/missions-and-operations/eutm-mali/pdf/factsheet_eutm_mali_en.pdf

European Union Training Mission in Mali (EUTM Mali)

Country:	Germany
Authority:	[none found at time of report]
Overseeing Agency:	European Training Mission in Mali (EUTM Mali)
Implementing Agency:	Bundeswehr (German Military)
Implementing Personnel:	Bundeswehr (German Military) instructors
Budget:	[none found at time of report]
Capability:	To train the Malian defense and security forces. The aim is to ensure that the Malian military is capable of stabilizing the country under its own responsibility.
Guiding Documents:	None
Source:	German Missions in South Africa, Lesotho and Swaziland, "Germany's Bundeswehr – an army in service," (Feb 17, 2015), accessed January 20, 2016. Available: http://www.southafrica.diplo.de/Vertretung/suedafrika/en/__pr/__Embassy/2015/1st__Q/02-Bundeswehr-in-Africa.html

European Union Training Mission in Somalia (EUTM SOM)

Country:	Germany
Authority:	[none found at time of report]
Overseeing Agency:	European Union Training Mission Somalia (EUTM SOM)
Implementing Agency:	Bundeswehr (German Military)
Implementing Personnel:	Bundeswehr (German Military) soldiers
Budget:	[none found at time of report]
Capability:	To train Somali military leaders, advise the Somali General Staff and the Defence Ministry, and provide consulting services to the Somali high command in order to empower the Somali government and to ensure safety and order.
Guiding Documents:	None
Source:	German Missions in South Africa, Lesotho and Swaziland, "Germany's Bundeswehr – an army in service," (Feb 17, 2015), accessed January 20, 2016. Available: http://www.southafrica.diplo.de/Vertretung/suedafrika/en/__pr/__Embassy/2015/1st__Q/02-Bundeswehr-in-Africa.html

Foreign Internal Defense (FID)

Country:	United States
Authority:	U.S. Title 10
Overseeing Agency:	Department of State is generally the lead agency
Implementing Agency:	Combatant Commands
Implementing Personnel:	U.S. Special Operations Forces (SOF)
Budget:	[none found at time of report]
Capability:	To train host country forces in anticipating, precluding, and countering threats or potential threats, to address the root causes of instability in order to promote a host country's growth and ability protect itself, and to free and protect its society from subversion, lawlessness, insurgency, terrorism, and other threats.
Guiding Documents:	Joint Publication 3-22 *Foreign Internal Defense*
Source:	Chairman of the Joint Chiefs of Staff, Foreign Internal Defense, Joint Publication 3-22 (July 12, 2010), x, accessed January 20, 2016. Available at: http://www.dtic.mil/doctrine/new_pubs/jp3_22.pdf.

Foreign Military Financing (FMF)

Country:	United States
Authority:	Authorized by the Foreign Assistance Act of 1961 and the Arms Export Control Act (AECA) of 1976 and U.S.C. 22
Overseeing Agency:	Secretary of State
Implementing Agency:	Defense Security Cooperation Agency (DSCA)
Implementing Personnel:	DSCA Security Cooperation Officers

Budget:	$5.9 billion (FY2014)
Capability:	To fund the purchase, through grants or loans, of U.S. defense equipment, services, and training for foreign governments.
Guiding Documents:	The Management of Security Cooperation (Green Book)
Source:	Department of State, "Congressional Budget Justification, Foreign Operations, and Related Programs," (2015), accessed Feb. 23, 2015. Available: http://www.state.gov/documents/organization/236395.pdf

German Police Project Team (GPPT) - formerly German Police Project Office (GPPO)

Country:	Germany
Authority:	Created following the Bonn Conference in 2001 with police being the German "pillar" of responsibility
Overseeing Agency:	Bundesministerium des Innern (BMI) - Federal Ministry of the Interior
Implementing Agency:	[none found at time of report]
Implementing Personnel:	German Police Trainers
Budget:	€77 million (2012)
Capability:	To conduct basic and advanced training and mentoring courses in Kabul and northern Afghanistan.
Guiding Documents:	None
Source:	Nicolas Fescharek, "The German Police Project Team (GPPT) and the 'capacity to do capacity building,'" Fondation pour la Recherche Strategiqu. (2013). Markus Feilke, "German Experiences in Police Building in Afghanistan," (January 27, 2010), accessed January 20, 2016. Available: http://www3.grips.ac.jp/~pinc/data/10-02.pdf

Global Peace Security Fund (GPSF)

Country:	Canada
Multi-sector:	Training and Equipping Operational Forces, Institution Building, Oversight and Governance
Authority:	GPSF was created out of a Memorandum of Cabinet (MC) process
Overseeing Agency:	Global Affairs Canada
Implementing Agency:	The Stabilization and Reconstruction Task Force (START)
Implementing Personnel:	START personnel and implementing partners from other government agencies on a case by case basis
Budget:	CAD 1.13 billion (2013-14)
Capability:	To fund security sector assistance, including post conflict stabilization and reconstruction, for failed and fragile states.
Guiding Documents:	[none found at time of report]

Source:	Treasury Board of Canada Secretariat. "Global Peace and Security Fund (GPSF): Plans, Spending and Results," accessed February 23, 2015. Available: http://www.tbs-sct.gc.ca/hidb-bdih/initiative-eng.aspx?Hi=27 GOC, Canada's International Policy Statement: A Role of Pride and Influence in the World: Overview (Ottawa: Department of Foreign Affairs and International Trade, 2005), accessed January 20, 2016. Available: http://publications.gc.ca/collections/Collection/FR4-3-2005E.pdf

Global Peace and Security Program

Country:	Canada
Multi-sector:	Training and Equipping Operational Forces, Training of Judicial Actors, Training Civil Society, Institution Building, Oversight and Governance
Authority:	[none found at time of report]
Overseeing Agency:	Global Affairs Canada
Implementing Agency:	The Stabilization and Reconstruction Task Force (START)
Implementing Personnel:	START personnel and implementing partners from other government agencies on a case by case basis
Budget:	CAD 100 million 2010-2011
Capability:	To support timely, coherent, and effective programming in priority fragile states in security sector reform and rule of law, to reinforce international best practices, norms, and standards, to build capacity of NGOs, promote respect for human rights and refugee law, and to promote conflict resolution through dialogue and reconciliation. GPSP is currently supporting activities in countries and regions such as Afghanistan, Colombia, the Democratic Republic of Congo, Guatemala, Haiti, the Horn of Africa, Sudan, and the Middle East.
Guiding Documents:	None
Source:	Global Affairs Canada. "Evolution of Global Peace and Security Fund," (February 2011), accessed January 20, 2016. Available: http://www.international.gc.ca/department-ministere/evaluation/2011/gpsf_fpsm11.aspx?lang=eng

Global Peacekeeping Operations Initiative (GPOI)

Country:	United States
Authority:	FAA Section 551 for Peacekeeping Operations and the Global Peacekeeping Operations Initiative (GPOI), FY 14
Overseeing Agency:	State Department
Implementing Agency:	Department of State Bureau of Political-Military Affairs works in close coordination with the Department of State regional bureaus, as well as the Office of the Secretary of Defense, the Joint Staff,

	Regional Combatant Commands, and other DOD organizations, to develop regional program plans and execute training and equipping activities.
Implementing Personnel:	Bureau of Political-Military Affairs and PKO teams
Budget:	$75 million (FY2013) appropriated from PKO account
Capability:	To train and sustain peacekeeping proficiencies, increasing the number of capable military troops and formed police units available for deployment, and facilitating the preparation, logistical support, and deployment of military units and police units to effectively conduct United Nations and regional peace support operations.
Guiding Documents:	[none found at time of report]
Source:	Defense Security Cooperation Agency, "Security Assistance Management Manual: Table C15.T2.BPC Programs and Authorities," accessed February 24, 2015. Available: http://www.samm.dsca.mil/table/table-c15t2#ASFF Department of State. Bureau of Political-Military Affairs. Global Peace Operations Initiative (GPOI): Fact Sheet, (2013), accessed February 26, 2015. Available: http://www.state.gov/t/pm/rls/fs/2013/208094.htm

Global Security Contingency Fund (GSCF)

Country:	United States
Authority:	Created in FY2012 National Defense Authorization Act (P.L. 112-81), Section 1207
Overseeing Agency:	Approved by the Secretary of State, with the concurrence of the Secretary of Defense, excluding the justice sector, rule of law, and stabilization activities, which require only consultation with the Secretary of Defense, rather than concurrence.
Implementing Agency:	Department of State is responsible for the supervision and general direction with the Combatant Commands guiding implementation
Implementing Personnel:	Country teams, combatant commands, and Department of State regional bureaus
Budget:	$200 million (FY2015), 20% from Department of State and 80% from Department of Defense
Capability:	To train partner nation military forces, security forces and government agencies responsible for border and maritime security, internal defense and counterterrorism operations as well as for the justice sector, including law enforcement and prisons, and for stabilization efforts.
Guiding Documents:	None
Source:	Serafino, Nina M. "Global Security Contingency Fund: Summary and Issues Overview." Congressional Research Service R42641 (April 4, 2014)

State Department FY2012 Congressional Budget Justification (CBJ), February 2011, p. 161.
Department of State, "Congressional Budget Justification, Foreign Operations, and Related Programs," (2015), accessed Feb. 23, 2015. Available: http://www.state.gov/documents/organization/236395.pdf

International Criminal Investigative Training Assistance Program (ICITAP)

Country:	United States
Multisector:	Training and Equipping Operational Forces, Training Judicial Actors, Institution Building
Authority:	Exception to Section 663 of the Foreign Assistance Act of 1961 as amended in 1975
Overseeing Agency:	Department of Justice with policy goals coming from the Department of State, Bureau of International Narcotics and Law Enforcement Affairs (INL)
Implementing Agency:	Department of Justice Criminal Division
Implementing Personnel:	ICITAP personnel and contractors
Budget:	Funded through the (INL INCLE Fund and other interagency agreements. Majority of funding comes from INL.
Capability:	To train law enforcement personnel in emerging democracies and developing countries, assist partner nations to counter terrorism, and develop law enforcement institutions in post conflict reconstruction or international peacekeeping operations.
Guiding Documents:	None
Source:	Richard Downie and Jennifer G. Cooke, *A More Strategic U.S. Approach to Police Reform in Africa* (Washington, DC: Center for Strategic and International Studies, April 2011), 21.

International Law Enforcement Academies (ILEA)

Country:	United States
Authority:	Foreign Assistance Act of 1961 (P.L. 87-195), §481
Overseeing Agency:	Department of State, Bureau of International Narcotics and Law Enforcement Affairs (INL)
Implementing Agency:	Department of Homeland Security
Implementing Personnel:	Department of Homeland Security's Federal Law Enforcement Training Center (FLETC) provides training and technical assistance.
Budget:	Funded by Department of State, Bureau of International Narcotics and Law Enforcement Affairs (INL) administered INCLE funds.
Capability:	To train and share information and best practices for combatting terrorism, improving public safety, and contending with transnational crime in an academic setting with U.S. personnel and

	foreign law enforcement counterparts. Students are mid-to-senior level foreign law enforcement officers who are selected by U.S. embassies.
Guiding Documents:	None
Source:	Department of State, "US Agency for International Development. U.S. Foreign Assistance Reference Guide," (2005), accessed Feb. 26, 2015. Available: http://pdf.usaid.gov/pdf_docs/PNADC240.pd Stephen Johnson, Johanna Mendelson Forman, and Katherine Bliss, Police Reform in Latin America: Implications for U.S. Police (Washington, DC: Center for Strategic and International Studies, February 2012), 18.

International Military Education and Training (IMET)

Country:	United States
Authority:	Arms Export Control Act of 1976 and the Foreign Assistance Act of 1961, P.L.87-195, §541, and U.S.C. 22
Overseeing Agency:	Department of Defense and Department of State
Implementing Agency:	Department of State Bureau of Political Military Affairs and Department of Defense, Defense Security Cooperation Agency (DSCA)
Implementing Personnel:	Professional military education schools and other Department of Defense training programs
Budget:	$106.1 million (FY2015)
Capability:	To train partner country personnel in U.S. military doctrine, strategic planning, and operational and logistical procedures. IMET is intended to build relationships between civilian and military officials from foreign countries with counterparts in the United States.
Guiding Documents:	None
Source:	Department of State, "U.S. Foreign Assistance Reference Guide," US Agency for International Development, (2005), accessed February 26, 2015. Available: http://pdf.usaid.gov/pdf_docs/PNADC240.pdf Department of State, "Congressional Budget Justification, Foreign Operations, and Related Programs," (2015), accessed Feb. 23, 2015. Available: http://www.state.gov/documents/organization/236395.pdf

International Narcotics and Law Enforcement (INCLE)

Country:	United States
Multisector:	Training and Equipping Operational Forces, Training Civil Society
Authority:	FAA Section 481 (22 U.S.C. Section 2291 et seq.)

Overseeing Agency:	Department of State Bureau of International Narcotics and Law Enforcement Affairs (INL)
Implementing Agency:	Bureau of International Narcotics and Law Enforcement Affairs (INL) and occasionally DSCA
Implementing Personnel:	Partners like the DEA, FBI and ICITAP
Budget:	$1.3 billion (FY2015)
Capability:	To fund training for Partner Countries in counter-narcotics, intelligence, border patrol, and interdiction activities to enhance the law enforcement capabilities of foreign governments in combating criminal, drug, and terrorist threats. INCLE can be used for national or global programs. INCLE funds can support capacity building of civil society actors for activities that relate to INCLE's mission.
Guiding Documents:	None
Source:	Defense Security Cooperation Agency, "Security Assistance Management Manual: Table C15.T2.BPC Programs and Authorities," accessed February 24, 2015. Available: http://www.samm.dsca.mil/table/table-c15t2#ASFF Department of State, "Congressional Budget Justification, Foreign Operations, and Related Programs," (2015), accessed Feb. 23, 2015. Available: http://www.state.gov/documents/organization/236395.pdf

Iraq Train and Equip Fund (ITEF)

Country:	United States
Authority:	Public Law 113-291
Overseeing Agency:	Department of Defense in coordination with Department of State
Implementing Agency:	Defense Security Cooperation Agency (DSCA)
Implementing Personnel:	General Purpose Forces
Budget:	$1.6 billion (FY2015 Req.)
Capability:	To train and assist military and other security forces associated with the Government of Iraq, including Kurdish, tribal, and other local security forces with a national security mission, to counter the Islamic State in Iraq and the Levant.
Guiding Documents:	None
Source:	Defense Security Cooperation Agency. "Security Assistance Management Manual: Table C15.T2. BPC Programs and Authorities," accessed Feb. 24, 2015. Available: http://www.samm.dsca.mil/table/table-c15t2#ASFF Office of the Secretary of Defense. "Department of Defense Budget Fiscal Year (FY) 2015 Budget Amendment: Justification for FY 2015 Overseas Contingency Operations Iraq Train and Equip Fund (ITEF)," (2014), accessed Feb. 25 2015. Available: http://comptroller.defense.gov/Portals/45/Documents/defbudget/fy

Justice and Human Rights Partnership (JHRP) Programme

Country:	United Kingdom
Multi-sector:	Training and Equipping Operational Forces, Institution Building, Training and Technical Assistance for Judicial Actors, Oversight and Governance
Authority:	[none found at time of report]
Overseeing Agency:	Foreign Commonwealth Office (FCO)
Implementing Agency:	[none found at time of report]
Implementing Personnel:	[none found at time of report]
Budget:	[none found at time of report]
Capability:	To train in investigation and prosecution of terrorists with full respect of human rights. Program focuses on foreign countries from which terrorist operate and pose the greatest threat.
Guiding Documents:	[none found at time of report]
Source:	United Kingdom. Secretary of State for the Home Department. "The Government Response to the Seventeenth Report from the Home Affairs Select Committee Session 2013-14 HC 231: Counter-terrorism." Cm 9011. (February 2015) 6-7, accessed January 20, 2016. Available: https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/403109/46905_Cm_9011_print.pdf

Law Enforcement Cooperation Program (LECP)

Country:	Australia
Multisector:	Training and Equipping Operational Forces, Training Judicial Actors, Infrastructure Development
Authority:	Established in 1997 and funded from allocations in the National Illicit Drugs Strategy until 2007. Now funded under existing AFP allocation in the Serious and Organised Crime Portfolio
Overseeing Agency:	Australian Federal Police (AFP)
Implementing Agency:	Australian Federal Police (AFP) Serious and Organized Crime
Implementing Personnel:	LECP staff in coordination with AFP international liaison officers
Budget:	AUS 1.2 million (2012)
Capability:	To train foreign law enforcement agencies to gather information and evidence against illicit drug traffickers, to provide equipment, improve infrastructure of foreign law enforcement agencies, improving operational understanding dealing with international crime, fostering closer personal and institutional linkages.
Guiding Documents:	None

Source: Australian Federal Police, "Law Enforcement Cooperation Program," *International Liaison*, (2015), accessed January 28, 2016. Available: http://www.afp.gov.au/policing/international-liaison/law-enforcement-cooperation-program
Australian Parliament, "Senate Standing Committee on Legal and Constitutional Affairs: Australian Federal Police," (October 18, 2011), accessed January 28, 2016. Available: http://www.aph.gov.au/~/media/Estimates/Live/legcon_ctte/estimates/sup_1112/ag/QoN_32_AFP.ashx
Australian Federal Police, "Law Enforcement Cooperation Program," *International Liaison*, (2015), accessed January 28, 2016. Available: http://www.afp.gov.au/policing/international-liaison/law-enforcement-cooperation-program

Military Training and Cooperation Program (MTCP)

Country:	Canada
Authority:	[none found at time of report]
Overseeing Agency:	Department of National Defense
Implementing Agency:	Directorate - Military Training & Cooperation (DMTC)
Implementing Personnel:	[none found at time of report]
Budget:	CAD 15.5 million (2014-2015)
Capability:	To train in language and professional development, including courses in command and staff instruction, and peace support operations training.
Guiding Documents:	None
Source:	National Defense and the Canadian Armed Forces. "Department of National Defence - Departmental Performance Report 2013-14," (November 7, 2014), accessed January 20, 2016. Available: http://www.forces.gc.ca/en/about-reports-pubs-departmental-performance/2014-section-iii-details-transfer-payment-programs.page

Nauru Police Force Police Capacity Program

Country:	Australia
Multisector:	Training and Equipping of Operational Forces, Institution Building
Authority:	n/a
Overseeing Agency:	Australian Federal Police (AFP)
Implementing Agency:	International Deployment Group (IDG)
Implementing Personnel:	AFP Advisors
Budget:	Part of the International Police Assistance Budget, A$312 million (2013-14)
Capability:	To develop and implement a professional, contemporary, and competent policing organization assisted through the development

	of governance instruments and systems, training, and the provision of necessary physical resources.
Guiding Documents:	None
Source:	Australian Attorney-General's Office, "Australian Federal Police, Section 1.3 Budget Measures," In Portfolio Budget Statements 2014-15, 139, Commonwealth of Australia, (2014), accessed February 3, 2016. Available: http://www.ag.gov.au/Publications/Budgets/Budget2014-15/Documents/00%20Attorney-General%20s%20portfolio%20PBS%202014-15%20full%20book.PDF Australian Federal Police, "International Deployment Group," (2015), accessed February 3, 2016. Available: http://www.afp.gov.au/policing/international-deployment-group.

Nonproliferation, Anti-Terrorism, and Demining and Related Programs (NADR)

Country:	United States
Authority:	Foreign Assistance Act of 1961 (P.L. 87-195), Part I, §301 & Part II, Chapters 8-9, and U.S.C. 22
Overseeing Agency:	Secretary of State
Implementing Agency:	Department of State Bureau of International Narcotics and Law Enforcement Affairs (INL) and Bureau of Counterterrorism (CT), U.S. Agency for International Development Office of Transition Initiatives (OTI), and Defense Security Cooperation Agency (DSCA)
Implementing Personnel:	Contractors and other USG partners
Budget:	$686 million (FY2015)
Capability:	To train and assist Partner Countries in nonproliferation, demining, antiterrorism, export control assistance and other related activities. Funds will support CT capacity building efforts in areas such as the Middle East, North Africa and the Sahel, the Horn of Africa, and South and Central Asia, and globally as required to protect national security of the United States and its allies.
Guiding Documents:	None
Source:	Department of State and US Agency for International Development, "US Foreign Assistance Reference Guide," (2005), accessed Feb. 26, 2015. Available: http://pdf.usaid.gov/pdf_docs/PNADC240.pdf Defense Security Cooperation Agency. "Security Assistance Management Manual: Table C15.T2. BPC Programs and Authorities," accessed Feb. 24, 2015. Available: http://www.samm.dsca.mil/table/table-c15t2#ASFF Department of State, "Congressional Budget Justification, Foreign Operations, and Related Programs," (2015), accessed Feb. 23,

2015. Available:
http://www.state.gov/documents/organization/236395.pdf

Pacific Police Development Program (PPDP) and Pacific Police Development Program – Regional (PPDPR)

Country:	Australia
Multisector:	Training and Equipping Operational Forces, Institution Building
Authority:	n/a
Overseeing Agency:	Australian Federal Police (AFP)
Implementing Agency:	International Deployment Group (IDG)
Implementing Personnel:	AFP Advisors
Budget:	Part of the International Police Assistance Budget, A$312 million (2013-14)
Capability:	To train police, build leadership, increase operational capacity, and enable services to improve the rule of law. The program is operating a regional component, as well as country-specific bi-lateral programs in Vanuatu, Samoa, Tonga, Papua New Guinea, Nauru, Kiribati, Niue, Tuvalu, the Republic of Marshall Islands, Palau, Cook Islands and the Federated States of Micronesia.
Guiding Documents:	None
Source:	Australian Attorney-General's Office, "Australian Federal Police, Section 1.3 Budget Measures," In Portfolio Budget Statements 2014-15, 139, Commonwealth of Australia, (2014), accessed February 3, 2016. Available: http://www.ag.gov.au/Publications/Budgets/Budget2014-15/Documents/00%20Attorney-General%20s%20portfolio%20PBS%202014-15%20full%20book.PDF Australian Federal Police, "International Deployment Group," (2015), accessed February 3, 2016. Available: http://www.afp.gov.au/policing/international-deployment-group

Pacific Women Shaping Pacific Development

Country:	Australia
Multi-sector:	Training and Equipping Operational Forces, Training and Technical Assistance for Judicial Actors, Training Civil Society, Institution Building, Oversight and Governance
Authority:	n/a
Overseeing Agency:	Department of Foreign Affairs and Trade
Implementing Agency:	Department of Foreign Affairs and Trade/Australia Aid
Implementing Personnel:	[none found at time of report]
Budget:	Up to AUS 320 million, 2012-2013 – 2021-2022

Capability:	To building the capacity of Pacific women MPs, parliamentary staff and the institutions in which they work to better address gender inequalities, to improving infrastructure and management of produce markets in PNG, Fiji, Vanuatu, and Solomon Islands, to improvement of law enforcement, justice systems and the coordination of service providers, and to strengthen the collection and analysis of data to better track outcomes.
Guiding Documents:	None
Source:	Australian Department of Foreign Affairs and Trade, "Pacific Regional—Empowering women and girls," Web. 26 Feb. 2016. Available: http://dfat.gov.au/geo/pacific/development-assistance/Pages/gender-equality-pacific-regional.aspx

Pakistan Counterinsurgency Capability Fund (PCCF)

Country:	United States
Multisector:	Training and Equipping Operational Forces, Infrastructure Development
Authority:	Public Law 112-74
Overseeing Agency:	Department of State with concurrence of the Secretary of Defense
Implementing Agency:	Department of State Regional Bureaus and Defense Security Cooperation Agency (DSCA)
Implementing Personnel:	[none found at time of report]
Budget:	$850 million (FY2012)
Capability:	To train and assist Pakistan security forces, including the provision of equipment, supplies, services, training and funds, facility and infrastructure repair, and renovation and construction to build the counterinsurgency capabilities of Pakistani military and Frontier Corps.
Guiding Documents:	None
Source:	GAO, Foreign Police Assistance (May 2012), 46 Department of State, "Congressional Budget Justification: Foreign Assistance - Summary Tables," (2014), accessed Feb. 25, 2015. Available: http://www.state.gov/documents/organization/208292.pdf

Papua New Guinea Australia Policing Partnership

Country:	Australia
Multisector:	Training and Equipping Operational Forces, Institution Building, Infrastructure Development
Authority:	n/a
Overseeing Agency:	Australian Federal Police (AFP)
Implementing Agency:	International Deployment Group (IDG)
Implementing Personnel:	AFP Advisors

Budget:	Part of the International Police Assistance Budget, A$312 million (2013-14)
Capability:	To enhancing professional development, logistics and infrastructure, project management development, professional standards along with fraud and anti-corruption, including financial intelligence. Program operates only with the Royal Papua New Guinea Constabulary (RPNGC) service.
Guiding Documents:	None
Source:	Australian Attorney-General's Office, "Australian Federal Police, Section 1.3 Budget Measures," In Portfolio Budget Statements 2014-15, 139, Commonwealth of Australia, (2014), accessed February 3, 2016. Available: http://www.ag.gov.au/Publications/Budgets/Budget2014-15/Documents/00%20Attorney-General%20s%20portfolio%20PBS%202014-15%20full%20book.PDF Australian Federal Police, "International Deployment Group," (2015), accessed February 3, 2016. Available: http://www.afp.gov.au/policing/international-deployment-group

Partnership for Regional East Africa Counterterrorism (PREACT)

Country:	United States
Authority:	PREACT activities are funded by four Department of State-managed U.S. foreign assistance accounts: Economic Support Fund (ESF), International Narcotics Control and Law Enforcement (INCLE), Nonproliferation, Antiterrorism, Demining, and Related Programs (NADR), and Peacekeeping Operations (PKO).
Overseeing Agency:	Department of State Bureau of African Affairs
Implementing Agency:	Bureau of African Affairs in partnership with other State bureaus like International Narcotics and Law Enforcement Affairs (INL), Counterterrorism, and Political-Military Affairs, as well as USAID, DSCA, and AFRICOM.
Implementing Personnel:	USAID country and regional missions and U.S. country missions.
Budget:	From 2009 through 2013, PREACT has been allocated $104 million. $42.3 million had been disbursed by Nov. 2013.
Capability:	To train and assist with counterterrorism efforts in East Africa by improving partner nations' military capacity, rule of law, border security, ability to counter violent extremism, and ability to counter terrorist financing.
Guiding Documents:	None
Source:	U.S. Government Accountability Office, "Combating Terrorism: State Department Can Improve Management of East Africa Program," GAO-14-502 (June 2014), accessed January 21, 2016. Available: http://www.gao.gov/assets/670/664126.pdf

Peace and Security in Africa Programme

Country:	Germany
Authority:	[none found at time of report]
Overseeing Agency:	Auswärtiges Amt (AA) - Federal Foreign Office
Implementing Agency:	[none found at time of report]
Implementing Personnel:	[none found at time of report]
Budget:	Since 2008, the program has had an annual budget of between €25 and €30 million.
Capability:	To train African countries to prevent or successfully manage African crises, if necessary through the deployment of African peacekeepers.
Guiding Documents:	[none found at time of report]
Source:	Embassy of the Federal Republic of Germany, "Support for the African Peace and Security Architecture," accessed January 20, 2016. Available: http://www.kampala.diplo.de/Vertretung/kampala/en/03_20Politics/Peace_20and_20Security.html

Peacekeeping Operations (PKO)

Country:	United States
Authority:	Title 6 of the Foreign Assistance Act of 1961; International Security Assistance Act of 1978, Section 551, and U.S.C. 22, Section 2348
Overseeing Agency:	Department of State
Implementing Agency:	Department of State Bureau of Political Military Affairs, Department of Defense, and Combatant Commands
Implementing Personnel:	Department of State Bureau of Political Military Affairs and PKO teams
Budget:	$474 million (FY2015)
Capability:	To train the military forces of foreign states and regional organizations to participate in multilateral peacekeeping, counterterrorism and regional peace support operations that are not funded or mandated through the UN.
Guiding Documents:	
Source:	Defense Security Cooperation Agency. "Security Assistance Management Manual: Table C15.T2. BPC Programs and Authorities," accessed Feb. 24, 2015. Available: http://www.samm.dsca.mil/table/table-c15t2#ASFF Department of State, "Congressional Budget Justification, Foreign Operations, and Related Programs," (2015), Feb. 23, 2015. Available: http://www.state.gov/documents/organization/236395.pdf

Police Programme Africa

Country:	Germany
Multi-sector:	Infrastructure Development, Institution Building, Training and Equipping of Operational Forces
Authority:	Commissioned by: Auswärtiges Amt (AA) - Federal Foreign Office
Overseeing Agency:	GIZ (Gesellschaft für internationale Zusammenarbeit) - German international development organization
Implementing Agency:	National ministries for internal security and national police structures; regional organizations
Implementing Personnel:	[none found at time of report]
Budget:	[none found at time of report]
Capability:	To train and advise for improving training, infrastructure, and equipment levels and to strengthen the capacities of national police structures in seven countries of sub-Saharan Africa and the Sahel.
Guiding Documents:	[none found at time of report]
Source:	Gesellschaft für internationale Zusammenarbeit, "Police Programme Africa," accessed Jaury 20, 2016. Available: http://www.giz.de/en/worldwide/15637.html

Regional Assistance Mission to Solomon Islands (RAMSI)

Country:	Australia
Authority:	n/a
Overseeing Agency:	Australian Federal Police (AFP)
Implementing Agency:	International Deployment Group (IDG)
Implementing Personnel:	AFP Advisors
Budget:	Part of the International Police Assistance Budget, AUD 312 million (2013-14)
Capability:	To train and assist the Royal Solomon Islands Police Force (RSIPF) to produce an independent force capable of maintaining law and order.
Guiding Documents:	None
Source:	Australian Attorney-General's Office. "Australian Federal Police, Section 1.3 Budget Measures." In Portfolio Budget Statements 2014-15, 139. Commonwealth of Australia, (2014), accessed January 20, 2016. Available: http://www.ag.gov.au/Publications/Budgets/Budget2014-15/Documents/00%20Attorney-General%20s%20portfolio%20PBS%202014-15%20full%20book.PDF

Australian Federal Police, "International Deployment Group," accessed January 20, 2016. Available: http://www.afp.gov.au/policing/international-deployment-group

Section 1206 Train and Equip – (Replaced by 2282, see page 82)

Country:	United States
Authority:	Section 1206 of the 2006 NDAA as amended, through P.L. 109-163 as amended, and U.S.C. 10
Overseeing Agency:	Secretary of Defense with concurrence of Secretary of State
Implementing Agency:	Department of Defense, DSCA, Combatant Commands, and joint implementation with the Department of State
Implementing Personnel:	Contractors
Budget:	$350 million annual cap $273 million (FY2013)
Capability:	To train and equip foreign military forces for the purpose of counterterrorism efforts. The largest recipients during the first seven years have included Yemen, Pakistan, Lebanon, and the Philippines. In later years, Mauritania, Uganda and Burundi, Romania, Tunisia, Georgia, and Yemen.
Guiding Documents:	None
Source:	Defense Security Cooperation Agency. "Security Assistance Management Manual: Table C15.T2. BPC Programs and Authorities," accessed Feb. 24, 2015. Available: http://www.samm.dsca.mil/table/table-c15t2#ASFF Defense Security Cooperation Agency (DSCA). Fiscal Year 2015 Budget Estimates DSCA-425 (March 2014.) Nina M. Serafino, "Security Assistance Reform: 'Section 1206' Background and Issues for Congress," CRS Report for Congress RS22855 (April 19, 2013): 15.

Section 1208 Support to Military Operations to Combat Terrorism

Country:	United States
Authority:	Section 1208 of the 2005 NDAA and U.S.C. 10
Overseeing Agency:	Department of Defense, with Chief of Mission concurrence (added 2009 NDAA)
Implementing Agency:	SOCOM, and/or geographic Combatant Commands
Implementing Personnel:	Special Operations Forces and contractors
Budget:	$40 million
Capability:	To reimburse foreign forces, irregular forces, groups, or individuals that assist or facilitate ongoing U.S. military operations conducted by SOF to combat terrorism. Section 1208 is not limited to supporting military forces but authorizes support for other internal security forces and actors.
Guiding Documents:	None

Source:	Nina M. Serafino, "Security Assistance Reform: 'Section 1206' Background and Issues for Congress," CRS Report for Congress RS22855 (April 19, 2013): 15. See also "DOD Authorities for Foreign and Security Assistance Programs" Stimson (July 20, 2009), accessed January 20, 2016. Available: http://www.stimson.org/images/uploads/research-pdfs/DOD_security_assistance_authorities.pdf

Section 2282 of Title 10, U.S. Code (Replacing section 1206)

Country:	United States
Authority:	FY 2015 NDAA Congress and the President enacted legislation that codified, extended and enhanced the Global Train and Equip Program (formerly 1206). Enacted under section 1205(a) of the FY 2015 NDAA, P.L. 113-291, section 2282 of title 10, U.S. Code now provides the Department of the Defense with the authority to build the capacity of foreign security forces
Overseeing Agency:	Programs are co-formulated, reviewed, and vetted by Defense and State and approved by the Secretary of Defense and the Secretary of State
Implementing Agency:	Defense Security Cooperation Agency (DSCA)
Implementing Personnel:	Contractors
Budget:	[none found at time of report]
Capability:	To train and equip foreign military, maritime, border security, and national level security forces to conduct counterterrorism operations.
Guiding Documents:	None
Source:	Defense Security Cooperation Agency (DSCA), "Fiscal Year 2016 Budget Estimates DSCA-425," (February 2015), 11, accessed January 20, 2016. Available: http://comptroller.defense.gov/Portals/45/Documents/defbudget/fy2016/budget_justification/pdfs/01_Operation_and_Maintenance/O_M_VOL_1_PART_1/DSCA_PB16.pdf Defense Security Cooperation Agency, "Security Assistance Management Manual: Table C15.T2.BPC Programs and Authorities," accessed February 24, 2015. Available: http://www.samm.dsca.mil/table/table-c15t2#ASFF

Security Force Assistance (SFA)

Country:	United States
Authority:	P.L. 87-195; 22 U.S.C. 2151
Overseeing Agency:	Department of Defense
Implementing Agency:	U.S. Special Operations Forces (SOF)
Implementing Personnel:	Special Operations Forces and General Purpose Forces
Budget:	[none found at time of report]

Capability:	To organize, train, equip, rebuild, and advise foreign security forces.
Guiding Documents:	Security Force Assistance JDN 1-13
Source:	Thomas K. Livingston, "Building the Capacity of Partner States Through Security Force Assistance," CRS Report for Congress R41817 (May 5, 2011) Department of Defense, "Commander's Handbook for Security Force Assistance," *Joint Center for International Security Force Assistance* (2008), accessed February 27, 2015. Available: http://usacac.army.mil/cac2/Repository/Materials/SFA.pdf

Security Governance Initiative (SGI)

Country:	United States
Multisector:	Training and Equipping Operational Forces, Institution Building, Oversight and Governance
Authority:	August 6, 2014 White House Initiative
Overseeing Agency:	Department of State with support of the Department of Defense, U.S. Agency for International Development, the Department of Justice, and the Department of Homeland Security
Implementing Agency:	SGI Office, Department of State, with support of the Department of Defense, U.S. Agency for International Development, the Department of Justice, and the Department of Homeland Security
Implementing Personnel:	[none found at time of report]
Budget:	$65 million 2014
Capability:	To train security forces and build security sector institution capacity to protect civilians and confront challenges and threats with integrity and accountability. Program began with six countries: Ghana, Kenya, Mali, Niger, Nigeria, and Tunisia.
Guiding Documents:	None
Source:	The White House. "FACT SHEET: Security Governance Initiative," *Office of the Press Secretary*, (2014), accessed February 19, 2015. Available: http://www.whitehouse.gov/the-press-office/2014/08/06/fact-sheet-security-governance-initiative

Support for Peace, Security, and Good Governance in the Southern African Development Community (SADC) region

Country:	Germany
Multi-sector:	Training and Equipping Operational Forces, Institution Building
Authority:	Commissioned by: Bundesministerium für wirtschaftliche Zusammenarbeit und Entwicklung (BMZ) - German Federal Ministry for Economic Cooperation and Development
Overseeing Agency:	GIZ (Gesellschaft für internationale Zusammenarbeit) - German international development organization

Implementing Agency:	SADC Secretariat, Organ on Politics, Defense and Security Cooperation
Implementing Personnel:	[none found at time of report]
Budget:	[none found at time of report]
Capability:	To train civilians for international peace missions, supporting the training of police officers from across the region, and developing resources for mediation in political conflicts. Training topics include gender mainstreaming as well as operations against human trafficking, the illegal arms trade, document forgery, and money laundering.
Guiding Documents:	[none found at time of report]
Source:	Gesellschaft für internationale Zusammenarbeit, "Support for peace, security and good governance in the SADC region," accessed January 20, 2015. Available: http://www.giz.de/en/worldwide/15730.html

Trans-Sahara Counterterrorism Partnership (TSCTP)

Country:	United States
Authority:	Various authorities including the Economic Support Fund (ESF); Development Assistance (DA); International Narcotics Control and Law Enforcement (INCLE); Nonproliferation, Antiterrorism, Demining and Related Programs (NADR) – Anti Terrorism Assistance (ATA); and Peacekeeping Operations (PKO)
Overseeing Agency:	Department of State, Bureau of Counterterrorism (CT)
Implementing Agency:	Africa Bureau, Department of State
Implementing Personnel:	The country team, comprising personnel from the State Department and other U.S. government agencies, coordinates and executes TSCTP at each embassy.
Budget:	As a whole, TSCTP receives between $90M and $160M per year Fellowship Program (CTFP).
Capability:	To train and equip security forces to counter terrorism, build regional security cooperation, and build the resilience of marginalized communities so that they can resist radicalization and terrorist recruitment. The program covers ten countries in the Sahel and Maghreb: Algeria, Burkina Faso, Chad, Mauritania, Mali, Morocco, Niger, Nigeria, Senegal, and Tunisia.
Guiding Documents:	None
Source:	Department of State, "Programs and Initiatives," *Bureau of Counterterrorism*, accessed Feb. 19, 2015. Available: http://www.state.gov/j/ct/programs/index.htm#CTF Lesley Anne Warner, The Trans Sahara Counterterrorism Partnership: Building Partner Capacity to Counter Terrorism and Violent Extremism (Washington, DC: Center for Naval Analysis, March 2014), 33.

Timor Leste Police Development Program (TLPDP)

Country:	Australia
Multisector:	Training and Equipping of Operational Forces, Institution Building, Infrastructure Development
Authority:	n/a
Overseeing Agency:	Australian Federal Police (AFP)
Implementing Agency:	International Deployment Group (IDG)
Implementing Personnel:	AFP Police Officers, unsworn AFP staff, civilian specialists and locally employed staff
Budget:	AUS 7.9 million (2014-2015)
Capability:	To assist the Government of Republica Democratica de Timor-Leste to build the foundations of an effective and accountable police service. The program focuses on the provision of advice, training, infrastructure, and enabling tools.
Guiding Documents:	None
Source:	Australian Attorney-General's Office, "Australian Federal Police, Section 1.3 Budget Measures," In Portfolio Budget Statements 2014-15, 139, Commonwealth of Australia, (2014), accessed February 3, 2016. Available: http://www.ag.gov.au/Publications/Budgets/Budget2014-15/Documents/00%20Attorney-General%20s%20portfolio%20PBS%202014-15%20full%20book.PDF Australian Federal Police, "International Deployment Group," (2015), accessed February 3, 2016. Available: http://www.afp.gov.au/policing/international-deployment-group

Trilateral Police Development Program

Country:	Australia
Authority:	n/a
Overseeing Agency:	Australian Federal Police (AFP)
Implementing Agency:	International Deployment Group (IDG)
Implementing Personnel:	AFP Advisors
Budget:	[none found at time of report]
Capability:	To train and professionalize police and to promote safety and security through improved police operational effectiveness. The AFP deployed to Tonga in 2008 as part of a Trilateral Police Development Program commitment with New Zealand and Tonga.
Guiding Documents:	[none found at time of report]
Source:	Australian Federal Police, "International Deployment Group," (2015), accessed January 20, 2016. Available: http://www.afp.gov.au/policing/international-deployment-group

Vanuatu Australia Police Project (VAPP)

Country:	Australia
Authority:	n/a
Overseeing Agency:	Australian Federal Police (AFP)
Implementing Agency:	International Deployment Group (IDG)
Implementing Personnel:	AFP Advisors
Budget:	Fully funded by Australian Overseas Development Aid funds through AusAID
Capability:	To advise law enforcement and support law enforcement capacity building initiatives focusing on the recruit training and professionalism of the VPF, infrastructure, workforce renewal, and improvement to internal governance. This program works with only the Vanuatu Police Force.
Guiding Documents:	[none found at time of report]
Source:	Australian Federal Police, "International Deployment Group," (2015), accessed January 20, 2016. Available: http://www.afp.gov.au/policing/international-deployment-group

Vanuatu Policing and Justice Support Program

Country:	Australia
Multi-sector:	Training and Equipping Operational Forces, Training and Technical Assistance for Judicial Actors, Institution Building, Oversight and Governance
Authority:	n/a
Overseeing Agency:	Department of Foreign Affairs and Trade
Implementing Agency:	Department of Foreign Affairs and Trade/Australia Aid
Implementing Personnel:	[none found at time of report]
Budget:	Up to AUS 18.6 million, 2012-2016
Capability:	To advise and support the justice sector of Vanuatu, including community services agencies, and a police capacity-building component.
Guiding Documents:	None
Source:	Australian Department of Foreign Affairs and Trade, "Improving community safety and resilience in Vanuatu," Web. 26 Feb. 2016. Available: http://dfat.gov.au/geo/vanuatu/development-assistance/Pages/improving-community-safety-resilience-vanuatu.aspx

Western Hemisphere Institute for Security Cooperation (WHINSEC)

Country:	United States

Authority:	Established in 2001 to replace the U.S. Army's School of the Americas. Authorized by the US Congress through 10 U.S. Code § 2166 in 2001
Overseeing Agency:	Department of Defense
Implementing Agency:	U.S. Army Training and Doctrine Command (TRADOC)
Implementing Personnel:	[none found at time of report]
Budget:	$8.4 million (FY2013)
Capability:	To train and educate military, law enforcement, and civilian personnel in the Western Hemisphere.
Guiding Documents:	None
Source:	Cornell University Law School. "10 U.S. Code § 2166 - Western Hemisphere Institute for Security Cooperation," accessed Feb. 19, 2015. Available: http://www.law.cornell.edu/uscode/text/10/2166 US Army, "Welcome to WHINSEC," *Western Hemisphere Institute for Security Cooperation*, accessed Feb. 20, 2015. Available: http://www.benning.army.mil/tenant/whinsec/index.html

Programs by Country

Australia
Australian Defence Force Warfare Centre (ADFWC) Program
Defence Cooperation Programme (DCP)
The Defence International Training Centre (DITC)
Law Enforcement Cooperation Program (LECP)
Nauru Police Force Police Capacity Program
Pacific Police Development Program (PPDP) and Pacific Police Development Program – Regional (PPDPR)
Pacific Women Shaping Pacific Development
Papua New Guinea Australia Policing Partnership
Regional Assistance Mission to Solomon Islands (RAMSI)
Timor Leste Police Development Program (TLPDP)
Trilateral Police Development Program
Vanuatu Australia Police Project (VAPP)
Vanuatu Policing and Justice Support Program

Canada
Anti-Crime Capacity Building Program (ACCBP)
Canadian Police Arrangement (CPA)
Counter-Terrorism Capacity Building (CTCB) program
Global Peace Security Fund (GPSF)
Global Peace and Security Program
Military Training and Cooperation Program (MTCP)

France

Appui à la Direction Générale des Douanes du Mali

Burundi - Appui aux secteurs universitaire, recherche, gouvernance, culture, médias et police (Support for the University, Research, Governance, Cultural, Media, and Police Sectors)

EUTM Mali (European Union Training Mission in Mali)

Germany

Academy for Crisis Management, Emergency Planning and Civil Protection (AKNZ)

EU Mission on Regional Maritime Capacity Building in the Horn of Africa (EUCAP Nestor)

European Training Mission in Mali (EUTM Mali)

European Union Training Mission Somalia (EUTM SOM)

German Police Project Team (GPPT) - formerly German Police Project Office (GPPO)

Peace and Security in Africa Programme

Police Programme Africa

Support for peace, security, and good governance in the Southern African Development Community (SADC) region

United Kingdom

British Military Advisory and Training Team (BMATT)

Conflict, Stability and Security Fund (CSSF)

Counter-Proliferation Program

Counter Terrorism and Extremism Liaison Officers (CTELOs)

CT Programme Fund

Justice and Human Rights Partnership (JHRP) Programme

United States

Afghanistan Security Forces Fund (ASFF)

African Peacekeeping Rapid Response Partnership (A-PREP)

Antiterrorism Assistance (ATA)

Building Partnership Capacity – Yemen and East Africa

Center of Excellence for Stability Police Units (CoESPU)

Coalition Readiness Support Program (CRSP)

Coalition Support Funds (CSF)

Combatant Commander's Initiative Fund (CCIF)

Combatting Terrorism Fellows Program (CTFP)

Complex Crisis Fund (CCF) (Replacing Section 1207)

Counter Terrorism Finance (CTF)

Department of Defense Counternarcotics Authority

European Reassurance Initiative (ERI)

Foreign Internal Defense (FID)

Foreign Military Financing (FMF)

Global Peacekeeping Operations Initiative (GPOI)

Global Security Contingency Fund (GSCF)

International Criminal Investigative Training Assistance Program (ICITAP)
International Law Enforcement Academies (ILEA)
International Military Education and Training (IMET)
International Narcotics and Law Enforcement (INCLE)
Iraq Train and Equip Fund (ITEF)
Nonproliferation, Anti-Terrorism, and Demining and Related Programs (NADR)
Pakistan Counterinsurgency Capability Fund (PCCF)
Partnership for Regional East Africa Counterterrorism (PREACT)
Peacekeeping Operations (PKO)
Section 1206 Train and Equip
Section 1208 Support to Military Operations to Combat Terrorism
Section 2282 of Title 10, U.S. Code
Security Force Assistance (SFA)
Security Governance Initiative (SGI)
Trans-Sahara Counterterrorism Partnership (TSCTP)
Western Hemisphere Institute for Security Cooperation (WHINSEC)

Chapter 7

Capabilities for Training and Technical Assistance for Judicial Actors

Introduction

A second category of capabilities that can be used to build the capacity of host countries are the programs for training judicial actors and providing these actors with technical assistance. *Judicial Actors* is a broad category that includes investigators, court personnel, prosecutors, and judges. Given the overlap in functions, some law enforcement personnel, such as prison guards and officials and police investigators included in the category of Training and Equipping Operational Forces (Chapter 6) could also receive training and technical assistance under the programs in this chapter.

Five of the six countries surveyed—the United States and four key partners, Australia, Canada, France, and the United Kingdom—have programs for providing judicial actors with training to build their capacity. Each of these programs is detailed in the sections below. Some of the programs stipulate the provision of training and technical assistance for a *type of actor* from among those listed under "judicial actors." Others are defined by the *type of activity*—such as criminal investigation; money laundering; human rights law compliance; transnational criminal activity; financing, evidence collection and handling, and prosecution of terrorists; refugee/migration law; and evidence collection and prosecution of drug-traffickers. Regardless of how the program is defined, those included in this section focus their capacity building activities and funding on enhancing the effectiveness, through training and technical assistance, of judicial actors. Capabilities for building the capacity of institutions, such as the ministry of justice, or of building infrastructure—such as the construction of prisons—fall under a separate category and are listed in a subsequent chapter.

As this chapter details, there are multiple programs for some actors and fewer programs for others. Alternatively, there are also programs that have a much broader mandate than merely building the capacity of judicial actors. These programs are classified as "multi-sector," and they appear in each relevant capability chapter within this manual.

How to Use the Capabilities for Better Outcomes and Impacts

The capabilities for Training and Technical Assistance for Judicial Actors provide "capacity builders"—the policymakers, planners, and program managers—with information with which to develop policy guidance and plan, design, and implement holistic capacity building activities in a Host Country. These capabilities are provided not just to increase access to information about the capabilities that can be utilized to do sustainable capacity building, but also to enable capacity builders to plan, design, and implement activities or missions that can achieve their intended outcomes and impact.

Readers of this manual should first think about the assets they currently have for supporting capacity building activities in the Host Country. Framed by the capacity building mandate for the host country, planners, and program managers should inventory the tools they can employ and identify gaps. For example, their agency may have programs to build a more responsive justice system by training judges, but lack the capabilities for training prosecutors or enhancing a host country's document retention system. The capabilities included in this chapter provide a comprehensive catalogue of available capabilities in their home agency or country and among their

Partners. They also provide a starting point for capacity builders to begin planning and designing holistic capacity building activities and missions.

With this information at hand, capacity builders can reach out to their interagency and partner nation counterparts at the policy, planning, and design stages to develop a holistic capacity building response—at the outset—and not on the ground, where holistic capacity building takes place currently. Using the example of a capacity building mission that aims at enhancing access to justice, a capacity building response that address both the capacity of judges and prosecutors, and that provides technical assistance to enable justice institutions to better manage case files, is more likely to achieve its intended outcome and longer term impact. It also guards against the likelihood that capacity building efforts delivered by partner nations overlap—for example, three capacity building programs aim to enhance the capacity of judges—and of missed opportunities (none of the programs address the capacity of prosecutors or the management of case files). Such instances of costly and duplicative overlap, and of missed opportunities, are far too common. At best, efforts are made by implementers to coordinate delivery on the ground. The approach in this manual is to move this coordination to the very beginning of the policymaking, planning, and design stages to better husband resources and to increase the likelihood of outcomes and impacts. When countries work holistically from the outset of the capacity building mission, it increases the likelihood that their activities will be more comprehensive in scope—further enhancing the impact of any assistance provided.

Finally, policymakers, planners, and program managers need to rethink how to use these capabilities to build *sustainable* capacity. Capacity building is not just about providing capabilities. *Capacity building* refers to the *process* by which people or institutions are taught capacity—the knowledge of how to deploy a *capability* effectively. In other words, capacity is "how something is done" whereas a capability is a "tool" used to get it done. Working holistically with interagency and partner counterparts, policymakers, planners, and program managers can use these capabilities to support capacity building activities that go beyond merely providing capabilities.

It is the purpose of this chapter to help policymakers, planners, and program managers to know more about what capabilities exist to build the capacity of judicial actors. But it has a larger purpose as well—to guide them to work holistically and to build sustainable capacity to enable the foreign assistance programs they manage to better achieve their intended outcomes and impact.

Programs for Training and Technical Assistance of Judicial Actors

The assessment of the programs for building the capacity of judicial actors yielded 11 programs. For each of the programs detailed below, the following information is provided:

1. Name of Program
2. Country
3. Multisector (if applicable)
4. Name of Authority (if applicable)
5. Overseeing Agency, Department, or Ministry
6. Implementing Agency, Department, Ministry or Contractor
7. Budget (estimate or actual amount from latest budget year available)
8. Summary of the program and its purpose or intended use.
9. Guiding documents (policy documents, manuals and directives relevant to the program).

10. Source[47]

These programs are listed alphabetically by program name below. At the end of the chapter, all the programs are also listed by country.

Anti-Crime Capacity Building Program (ACCBP)

Country:	Canada
Multi-sector:	Training and Equipping Operational Forces, Training of Judicial Actors, Institution Building, Oversight and Governance
Authority:	Created under the International Assistance Envelop 5th pillar: Promote Stability and Security
Overseeing Agency:	Global Affairs Canada
Implementing Agency:	Receives priorities through annual interagency process defining program engagement
Implementing Personnel:	[none found at time of report]
Budget:	Up to CAD 15 million per year
Capability:	To train government personnel, agencies, international organizations, and non-governmental entities to prevent and respond to threats posed by transnational criminal activity throughout the Americas using a variety of bilateral and multilateral project-delivery mechanisms.
Guiding Documents:	n/a
Source:	Foreign Affairs, Trade and Development, "Anti-Crime Capacity Building" (November 10, 2015), accessed January 20, 2016. Available: http://www.international.gc.ca/crime/accbp-prclc.aspx?lang=eng.

Burkina Faso - Appui à la modernisation de l'institution judiciare (Support for Modernizing the Judiciary)

Country:	France
Multisector:	Training of Judicial Actors, Institution Building
Authority:	[None found at time of report]
Overseeing Agency:	Ministère des Affaires Étrangères et du Développement International (MAEDI) - Ministry of Foreign Affairs and International Development
Implementing Agency:	[None found at time of report]
Implementing Personnel:	[None found at time of report]
Budget:	€485,000

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[47] Primary sources are listed for each programmatic entry. Additional sources include: Querine Hanlon and Richard H. Shultz, Jr., eds., *Prioritizing Security Sector Reform: A New U.S. Approach* (Washington, DC: USIP Press, March 2016), 211-234; Nate Wilson, Eric Loui, and Seth Maddox. "U.S. Security Assistance: Interagency Cross-Cut Briefing Book," (Unpublished Report, American University, 2012);

Capability:	To train the judiciary in Burkina Faso to promote access to justice, to support prosecution of organized crime and terrorism in compliance with fundamental rights, to improve supervision of the activities of judicial personnel, and to support the modernization of the penitentiary system.
Guiding Documents:	None
Source:	

Canadian Police Arrangement (CPA)

Country:	Canada
Multi-Sector:	Training and Equipping Operational Forces, Training of Judicial Actors, Institution Building
Authority:	[none found at time of report]
Overseeing Agency:	Partnership between Foreign Affairs, Global Affairs Canada, Public Safety Canada, and the Royal Canadian Mounted Police (RCMP)
Implementing Agency:	Royal Canadian Mounted Police (RCMP)
Implementing Personnel:	Royal Canadian Mounted Police (RCMP)
Budget:	[none found at time of report]
Capability:	To train and build police and judicial institutions in foreign countries. The CPA serves as the policy framework to guide the Canadian government's response to foreign requests for police assistance.
Guiding Documents:	None
Source:	GOV, 2006-2008 Biennial Review: International Peace Operations Branch (Ottawa: RCMP, 2008), 8.

Conflict, Stability and Security Fund (CSSF)

Country:	United Kingdom
Multi-sector:	Training and Equipping Operational Forces, Training of Judicial Actors, Training Civil Society, Institution Building, Oversight and Governance, Crisis Response and Disaster Preparedness
Authority:	National Security Council and the Building Stability Overseas Board (BSOB), a tri-departmental board chaired on a rotating basis by the Department for International Development (DFID), Foreign and Commonwealth Office (FCO), and the Ministry of Defense (MOD), that includes representatives from the Cabinet Office and Stabilisation Unit (SU)
Overseeing Agency:	DFID, FCO, and MOD
Implementing Agency:	[none found at time of report]
Implementing Personnel:	UK delivers directly or through third parties; also for contributions to multilateral interventions overseas to help prevent conflict and instability and to support postconflict stabilization.

Budget:	£1 billion in 2015-16
Capability:	To fund a broad range of activities (military training, human rights training, security and justice sector reform, and facilitating political reconciliation and peace processes) to help prevent conflict that affects vulnerable people in the world's poorest countries and to tackle threats to UK interests from instability overseas. These activities include actions the UK delivers directly or through third parties.
Guiding Documents:	None
Source:	United Kingdom, HM Treasury, "Spending Round 2013", Cm 8639, (June 2013), 45, accessed January 20, 2016. Available: https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/209036/spending-round-2013-complete.pdf See also http://um.dk/en/~/media/UM/Danish-site/Documents/Danida/Resultater/Eval/201404AnnexF.pdf

Counter Terrorism Finance (CTF)

Country:	United States
Multisector:	Training and Equipping Operational Forces, Training Judicial Actors, Institution Building
Authority:	Nonproliferation, Anti-Terrorism, and Demining and Related Programs (NADR)
Overseeing Agency:	Department of State
Implementing Agency:	Department of State Bureau of Counterterrorism (CT) working with the Department of Justice (DOJ)
Implementing Personnel:	Primarily NADR/CTF-funded Resident Legal Advisors (RLAs) from the Department of Justice Office of Overseas Prosecutorial Development, Assistance, and Training (DOJ/OPDAT).
Budget:	In FY 2013, CTF funded $15 million in capacity-building programs using NADR funds.
Capability:	To support and deliver technical assistance and training to governments around the world in investigation, identification, and interdict of the flow of money to terrorist groups. The focus is on building comprehensive and effective legal frameworks and regulatory regimes, strengthening the investigative skills of law enforcement entities, bolstering prosecutorial and judicial development, and sustaining designated training and technical assistance programs.
Guiding Documents:	None
Source:	Department of State, "Annual Report on Assistance Related to International Terrorism: Fiscal Year 2013," *Bureau of Counterterrorism* (Feb. 11, 2014), accessed January 20, 2016. Available: http://www.state.gov/j/ct/rls/other/rpt/221544.htm

Department of State, "Programs and Initiatives," *Bureau of Counterterrorism*, accessed Feb. 19, 2015. Available: http://www.state.gov/j/ct/programs/index.htm#CTF

CT Programme Fund

Country:	United Kingdom
Multisector:	Training and Equipping Operational Forces, Training Judicial Actors, Institution Building
Authority:	[none found at time of report]
Overseeing Agency:	Managed jointly by Foreign and Commonwealth Office (FCO), the Department for International Development (DFID), and the Ministry of Defence (MOD)
Implementing Agency:	Various departments and agencies, including the Ministry of Defence (MOD), Department for Transport, Crown Prosecution Service, and the Metropolitan Police Service
Implementing Personnel:	Counter-Terrorism and Extremism Liaison Officers (CTELOs) posted overseas
Budget:	£30m
Capability:	To train overseas security services to improve effectiveness and compliance with the law and human rights, to improve the ability of local investigators to build cases based on evidence rather than confession, to ensure prosecutors and judges are capable of processing terrorism cases through the court systems, effectively, fairly, and in line with the rule of law, and to improve conditions in detention facilities to meet international standards.
Guiding Documents:	None
Source:	United Kingdom Government. "Transparency Data: Official Development Assistance (ODA) FCO Programme Spend - 2013." (January 17, 2014). Available: https://www.gov.uk/government/publications/official-development-assistance-oda-fco-programme-spend-2013 "Counter-terrorism - Home Affairs Committee" United Kingdom Parliament, (July 2011), accessed January 20, 2016. Available: http://www.publications.parliament.uk/pa/cm201314/cmselect/cmhaff/231/23106.htm

Global Peace and Security Program (GPSP)

Country:	Canada
Multi-sector:	Training and Equipping Operational Forces, Training of Judicial Actors, Training Civil Society, Institution Building, Oversight and Governance
Authority:	[none found at time of report]
Overseeing Agency:	Global Affairs Canada
Implementing Agency:	The Stabilization and Reconstruction Task Force (START)

Implementing Personnel:	START personnel and implementing partners from other government agencies on a case by case basis
Budget:	CAD 100 million 2010-2011
Capability:	To support timely, coherent, and effective programming in priority fragile states in security sector reform and rule of law, to reinforce international best practices, norms, and standards, to build capacity of NGOs, promote respect for human rights and refugee law, and to promote conflict resolution through dialogue and reconciliation. GPSP is currently supporting activities in Afghanistan, Colombia, the Democratic Republic of Congo, Guatemala, Haiti, Sudan, the Horn of Africa, and the Middle East.
Guiding Documents:	None
Source:	Global Affairs Canada. "Evolution of Global Peace and Security Fund," (February 2011), accessed January 20, 2016. Available: http://www.international.gc.ca/department-ministere/evaluation/2011/gpsf_fpsm11.aspx?lang=eng

Justice and Human Rights Partnership (JHRP) Programme

Country:	United Kingdom
Multi-sector:	Training and Equipping Operational Forces, Institution Building, Training of Judicial Actors, Oversight and Governance
Authority:	[none found at time of report]
Overseeing Agency:	Foreign Commonwealth Office (FCO)
Implementing Agency:	[none found at time of report]
Implementing Personnel:	[none found at time of report]
Budget:	[none found at time of report]
Capability:	To train foreign countries from which terrorist threats originate to investigate and to prosecute terrorists with full respect for human rights.
Guiding Documents:	[none found at time of report]
Source:	United Kingdom. Secretary of State for the Home Department. "The Government Response to the Seventeenth Report from the Home Affairs Select Committee Session 2013-14 HC 231: Counter-terrorism." Cm 9011. (February 2015) 6-7, accessed January 20, 2016. Available: https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/403109/46905_Cm_9011_print.pdf

International Criminal Investigative Training Assistance Program (ICITAP)

Country:	United States
Multisector:	Training and Equipping Operational Forces, Training Judicial Actors, Institution Building

Authority:	Exception to Section 663 of the Foreign Assistance Act of 1961 as amended in 1975
Overseeing Agency:	Department of Justice with policy goals coming from the Department of State, Bureau of International Narcotics and Law Enforcement Affairs (INL)
Implementing Agency:	Department of Justice Criminal Division
Implementing Personnel:	ICITAP personnel and contractors
Budget:	Funded through the Bureau of International Narcotics and Law Enforcement Affairs (INL) INCLE Fund and other interagency agreements.
Capability:	To train law enforcement personnel in emerging democracies and developing countries, assist partner nations to counter terrorism, and develop law enforcement institutions in post conflict reconstruction or international peacekeeping operations. ICITAP also runs programs to develop corrections facilities and train prison staff.
Guiding Documents:	None
Source:	Richard Downie and Jennifer G. Cooke, *A More Strategic U.S. Approach to Police Reform in Africa* (Washington, DC: Center for Strategic and International Studies, April 2011)

Law Enforcement Cooperation Program (LECP)

Country:	Australia
Multisector:	Training and Equipping Operational Forces, Training Judicial Actors, Infrastructure Development
Authority:	Established in 1997 and funded from allocations in the National Illicit Drugs Strategy until 2007. Now funded under existing Australian Federal Police (AFP) allocation in the Serious and Organised Crime Portfolio
Overseeing Agency:	Australian Federal Police (AFP)
Implementing Agency:	Australian Federal Police (AFP) Serious and Organised Crime
Implementing Personnel:	LECP staff in coordination with AFP international liaison officers
Budget:	AUS 1.2 million (2012)
Capability:	To train foreign law enforcement agencies to gather information and evidence against illicit drug traffickers, to provide equipment, to improve infrastructure of foreign law enforcement agencies, and to improving operational understanding dealing with international crime.
Guiding Documents:	None
Source:	Australian Federal Police, "Law Enforcement Cooperation Program," *International Liaison*, (2015), accessed January 28, 2016. Available: http://www.afp.gov.au/policing/international-liaison/law-enforcement-cooperation-program

Australian Parliament, "Senate Standing Committee on Legal and Constitutional Affairs: Australian Federal Police," (October 18, 2011), accessed January 28, 2016. Available: http://www.aph.gov.au/~/media/Estimates/Live/legcon_ctte/estimates/sup_1112/ag/QoN_32_AFP.ashx

Australian Federal Police, "Law Enforcement Cooperation Program," *International Liaison*, (2015), accessed January 28, 2016. Available: http://www.afp.gov.au/policing/international-liaison/law-enforcement-cooperation-program

Strongim Gavman Program

Country:	Australia
Authority:	n/a
Overseeing Agency:	Department of Foreign Affairs and Trade (DFAT) in collaboration with the Australian Agency for International Development (AusAID)
Implementing Agency:	Attorney-General's Department implements Law and Justice (non-policing) components
Implementing Personnel:	Australian Government officials. Deployments are generally for two to three years
Budget:	AUS 35.6 million (2012-2013)
Capability:	To train in law and justice (non-policing). This program is limited to the Papua New Guinea law and justice sector.
Guiding Documents:	"Strongim Gavman Program: Management Framework." (June 2009). Available: http://dfat.gov.au/about-us/publications/Documents/strongav-manage-frame.pdf
Source:	Australian Attorney-General's Department, "Papua New Guinea-Strongim Gavman Program," *International Legal Assistance*, accessed January 28, 2016. Available: http://www.ag.gov.au/Internationalrelations/InternationalLegalAssistance/Pages/PapuaNewGuineaStrongimGavmanProgram.aspx

Programs by Country

Australia
Law Enforcement Cooperation Program (LECP)
Strongim Gavman Program

Canada
Anti-Crime Capacity Building Program (ACCBP)
Canadian Police Arrangement (CPA)
Global Peace and Security Program (GPSP)

France

Burkina Faso - Appui à la modernisation de l'institution judiciare (Support for Modernizing the Judiciary)

Germany
None

United Kingdom
Conflict, Stability and Security Fund (CSSF)
CT Programme Fund
Justice and Human Rights Partnership (JHRP) Programme

United States
Counter Terrorism Finance (CTF)
International Criminal Investigative Training Assistance Program (ICITAP)

Chapter 8

Capabilities for Training Civil Society

Introduction

A third category of capabilities that can be used to build the capacity of host countries are the programs for training civil society actors. *Civil Society* is a broad category that includes individuals, groups, and institutions the monitor and report on the activities of the government and its oversight institutions and hold them accountable for their actions. These include the media, nongovernmental organizations, academia, and advocacy institutions.

Five of the six countries surveyed—the United States, Australia, Canada, France, and the United Kingdom—have programs for providing civil society actors with training to build their capacity. Each of these programs is detailed in the sections below. Some of the programs stipulate the provision of training and technical assistance for a *type of actor* from among those listed under "civil society actors." Others are defined by the *type of activity*—such as developing and strengthening civil society institutions for sustainable democracy and respect for human rights, media skills building, and conflict resolution. Regardless of how the program is defined, those included in this section focus their capacity building activities and funding on building civil society and enhancing its effectiveness. Capabilities for building the capacity of institutions, such as the ministry of education, or of building infrastructure—such as the construction of university facilities or refugee centers—fall under a separate category and are listed in a subsequent chapter.

As this chapter details, there are multiple programs for some actors and fewer programs for others. Alternatively, there are also programs that have a much broader mandate than merely building the capacity of judicial actors. These programs are classified as "multi-sector," and they appear in each relevant capability chapter within this manual.

How to Use the Capabilities for Better Outcomes and Impacts

The capabilities for Training Civil Society provide "capacity builders"—the policymakers, planners, and program managers—with information with which to develop policy guidance and plan, design, and implement holistic capacity building activities in a Host Country. These capabilities are provided not just to increase access to information about the capabilities that can be utilized to do sustainable capacity building, but also to enable capacity builders to plan, design, and implement activities or missions that can achieve their intended outcomes and impact.

Readers of this manual should first think about the assets they currently have for supporting capacity building activities in the Host Country. Framed by the capacity building mandate for the host country, planners, and program managers should inventory the tools they can employ and identify gaps. For example, their agency may have programs for specific civil society organizations, such as building the capacity of the media to report accurately on government activities, but lack the capabilities to train other civil society organizations to exercise their oversight functions or to engage in advocacy for reform. The capabilities included in this chapter provide a comprehensive catalogue of available capabilities in their home agency or country and among their Partners. They also provide a starting point for capacity builders to begin planning and designing holistic capacity building activities and missions.

With this information at hand, capacity builders can reach out to their interagency and partner nation counterparts at the policy, planning, and design stages to develop a holistic capacity building response—at the outset—and not on the ground, where holistic capacity building takes place currently. Using the example of a capacity building mission that aims at enhancing good governance, a capacity building response that address both the capacity of media and other civil society organizations, such as human rights NGOs to engage in oversight activities and advocate reform, is more likely to achieve its intended outcome and longer term impact. It also guards against the likelihood that capacity building efforts delivered by partner nations overlap—for example, numerous capacity building programs that aim to enhance the capacity of the same media organizations—and of missed opportunities (none of the programs address the capacity of human rights or other NGOs). Such instances of costly and duplicative overlap, and of missed opportunities, are far too common. At best, efforts are made by implementers to coordinate delivery on the ground. The approach in this manual is to move this coordination to the very beginning of the policymaking, planning, and design stages to better husband resources and to increase the likelihood of outcomes and impacts. When countries work holistically from the outset of the capacity building mission, it increases the likelihood that their activities will be more comprehensive in scope—further enhancing the impact of any assistance provided.

Finally, policymakers, planners, and program managers need to rethink how to use these capabilities to build sustainable capacity. Capacity building is not just about providing capabilities. Capacity building refers to the process by which people or institutions are taught capacity—the knowledge of how to deploy a capability effectively. In other words, capacity is "how something is done" whereas a capability is a "tool" used to get it done. Working holistically with interagency and partner counterparts, policymakers, planners, and program managers can use these capabilities to support capacity building activities that go beyond merely providing capabilities.

It is the purpose of this chapter to help policymakers, planners, and program managers to know more about what capabilities exist to build the capacity of civil society. But it has a larger purpose as well—to guide them to work holistically and to build sustainable capacity to enable the foreign assistance programs they manage to better achieve their intended outcomes and impact.

Programs for Training Civil Society

The assessment of the programs for building the capacity of civil society yielded 13 programs. For each of the programs detailed below, the following information is provided:

1. Name of Program
2. Country
3. Multisector (if applicable)
4. Name of Authority (if applicable)
5. Overseeing Agency, Department, or Ministry
6. Implementing Agency, Department, Ministry or Contractor
7. Budget (estimate or actual amount from latest budget year available)
8. Summary of the program and its purpose or intended use.
9. Guiding documents (policy documents, manuals and directives relevant to the program).

10. Source[48]

These programs are listed alphabetically by program name below. At the end of the chapter, all the programs are also listed by country.

Appui aux radio communautaires et à la maison de la presse / Projet d'appui aux médias centrafricains II (PAMCA II)   - Support for Community Radio and for the 'Maison de la Presse' (Press and Journalists' House) / Project to support Central African Media (PAMCA II) (CAR)

Country:	France
Authority:	n/a
Overseeing Agency:	Ministère des Affaires Étrangères et du Développement international (MAEDI) - Ministry of Foreign Affairs and International Development
Implementing Agency:	Institut Panos Europe
Implementing Personnel:	Institute Panos Europe, l'Association des Radios communautaires de Centrafrique (ARC-Centrafrique)
Budget:	€200,000
Capability:	To train and support actors in the Central African media sector to implementing projects and produce content aimed at improving the self-management of communities and citizens in local development and governance and defending human rights, especially in a rural context.
Guiding Documents:	None
Source:	Institut Panos Europe, "Projet d'appue aux medias centraficains II (PAMCA II)," accessed January 29, 2016. Available: http://www.panoseurope.org/projets/projet-dappui-aux-medias-centrafricains-ii-pamca-ii

Burundi - Appui aux secteurs universitaire, recherche, gouvernance, culture, médias et police (Support for the University, Research, Governance, Cultural, Media, and Police Sectors)

Country:	France
Multi-sector:	Training and Equipping Operational Forces, Training Civil Society, Oversight and Governance
Authority:	[none found at time of report]
Overseeing Agency:	MAEDI (Ministère des Affaires Étrangères et du Développement international / Ministry of Foreign Affairs and International Development)

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[48] Primary sources are listed for each programmatic entry. Additional sources include: Querine Hanlon and Richard H. Shultz, Jr., eds., *Prioritizing Security Sector Reform: A New U.S. Approach* (Washington, DC: USIP Press, March 2016), 211-234; Nate Wilson, Eric Loui, and Seth Maddox. "U.S. Security Assistance: Interagency Cross-Cut Briefing Book," (Unpublished Report, American University, 2012);

Implementing Agency:	Various Burundian ministries
Implementing Personnel:	International experts
Budget:	€498,104
Capability:	To provide technical assistance and funding for four international technical experts (on governance, police, media, francophonie).
Guiding Documents:	[none found at time of report]
Source:	[none found at time of report]

Burundi - Appui à la gouvernance démocratique au Burundi (Support for Democratic Governance in Burundi)

Country:	France
Multi-Sector:	Institution Building, Training of Civil Society Actors
Authority:	n/a
Overseeing Agency:	Ministère des Affaires Étrangères et du Développement international - Ministry of Foreign Affairs and International Development (MAEDI)
Implementing Agency:	Ministry of Good Governance (Burundian)
Implementing Personnel:	[none found at time of report]
Budget:	[none found at time of report]
Capability:	To build institutional mechanisms and authorities to increase the efficacy of public policies and to train civil society on issues pertaining to reconciliation and promoting human rights.
Guiding Documents:	None

Source:

CIPEDSC (Consolidation des institutions publiques, de l'état de droit et de la société civile) (Mali)

Country:	France
Multisector:	Institution Building, Training Civil Society
Authority:	n/a
Overseeing Agency:	Ministère des Affaires Étrangères et du Développement international - Ministry of Foreign Affairs and International Development (MAEDI)
Implementing Agency:	Commissariat au développement institutionnel, Ministères concernés, agences nationales et organisations de la société civile diverses (Commissioner for Institutional Development, ministries, national agencies and organizations of various civil society)
Implementing Personnel:	[None found at time of report]
Budget:	€2 million
Capability:	To rebuild public institutions, strengthening the rule of law, and support for civil society in Mali.
Guiding Documents:	None

Source:	Ministère des Affaires Étrangères et du Développement international, "L'aide française au Mali," (April 2, 2015), accessed February 3, 2016. Available: http://mali.transparence-aide.gouv.fr/projects/consolidation-des-institutions-publiques-de-letat-de-droit-et-de-la-societe-civile-cipedsc/

Conflict, Stability and Security Fund (CSSF)

Country:	United Kingdom
Multi-sector:	Training and Equipping Operational Forces, Training of Judicial Actors, Training Civil Society, Institution Building, Oversight and Governance, Crisis Response and Disaster Preparedness
Authority:	National Security Council and the Building Stability Overseas Board (BSOB), a tri-departmental board chaired on a rotating basis by the Department for International Development (DFID), Foreign and Commonwealth Office (FCO), and the Ministry of Defense (MOD), that includes representatives from the Cabinet Office and Stabilisation Unit (SU)
Overseeing Agency:	DFID, FCO and MOD
Implementing Agency:	[none found at time of report]
Implementing Personnel:	UK delivers directly or through third parties; also for contributions to multilateral interventions overseas to help prevent conflict and instability and to support post-conflict stabilization.
Budget:	£1 billion in 2015-16
Capability:	To fund a broad range of activity (military training, human rights training, security and justice sector reform, and facilitating political reconciliation and peace processes) to help prevent conflict that affects vulnerable people in the world's poorest countries and to tackle threats to UK interests from instability overseas. These activities include actions the UK delivers directly or through third parties.
Guiding Documents:	None
Source:	United Kingdom, HM Treasury, "Spending Round 2013", Cm 8639, (June 2013), 45, accessed January 20, 2016. Available: https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/209036/spending-round-2013-complete.pdf See also http://um.dk/en/~/media/UM/Danish-site/Documents/Danida/Resultater/Eval/201404AnnexF.pdf

Economic Support Fund (ESF)

Country:	United States
Multisector:	Training Civil Society, Economic Development
Authority:	Foreign Assistance Act of 1961 (P.L. 87-195), Part II, Chapter 4
Overseeing Agency:	Department of State
Implementing Agency:	U.S. Agency for International Development (USAID)

Implementing Personnel:	USAID, under the foreign policy guidance of DOS, implements most ESF-funded programs.
Budget:	$4.8 billion (FY2015)
Capability:	To fund countries in transition to democratic rule, to support Middle East peace negotiations, and to finance economic stabilization programs, frequently in coordination with other donors. The top five recipient countries have been Afghanistan, Egypt, Israel, Jordan and Pakistan. ESF cannot be used for military or paramilitary purposes nor can they be used for certain kinds of police assistance. ESF can be used for police assistance in Latin America and the Caribbean, which is authorized "notwithstanding the FAA prohibitions."
Guiding Documents:	None
Source:	US DOS and USAID, "U.S. Foreign Assistance Reference Guide," (Washington, DC: U.S. Department of State Publications, January 2005), 7, accessed January 20, 2016. Available: http://pdf.usaid.gov/pdf_docs/PNADC240.pdf Department of State, "Congressional Budget Justification, Foreign Operations, and Related Programs," (2015), accessed Feb. 23, 2015. Available: http://www.state.gov/documents/organization/236395.pdf

Fonds Social de Développement (Social Development Fund)

Country:	France
Authority:	n/a
Overseeing Agency:	Ministère des Affaires Étrangères et du Développement international - Ministry of Foreign Affairs and International Development (MAEDI)
Implementing Agency:	Embassies
Implementing Personnel:	Embassies, Various contracting NGOs
Budget:	€20,000,000
Capability:	To fund small projects of local associations and generally to support actors and initiatives of civil society in the countries of the Priority Solidarity Zone (ZSP)
Guiding Documents:	None
Source:	Ministère des Affaires Étrangères et Européennes, "Étude sur le fonds social de development," (2009), accessed January 29, 2016. Available: http://www.oecd.org/derec/france/48468349.pdf

Formation de journalistes de la radio et de la télévision nationale (Training for Radio and National Television Journalists - CAR)

Country:	France
Authority:	n/a

Overseeing Agency:	Ministère des Affaires Étrangères et du Développement international - Ministry of Foreign Affairs and International Development (MAEDI)
Implementing Agency:	France Média Monde
Implementing Personnel:	France Média Monde
Budget:	€100,000
Capability:	To train radio and national television journalists and to install a transmitter.
Guiding Documents:	None
Source:	None

Global Peace and Security Program (GPSP)

Country:	Canada
Multi-sector:	Training and Equipping Operational Forces, Training of Judicial Actors, Training Civil Society, Institution Building, Oversight and Governance
Authority:	[none found at time of report]
Overseeing Agency:	Global Affairs Canada
Implementing Agency:	The Stabilization and Reconstruction Task Force (START)
Implementing Personnel:	START personnel and implementing partners from other government agencies on a case by case basis
Budget:	CAD 100 million 2010-2011
Capability:	To support timely, coherent, and effective programming in priority fragile states in security sector reform and rule of law, to reinforce international best practices, norms, and standards, to build capacity of NGOs, promote respect for human rights and refugee law, and to promote conflict resolution through dialogue and reconciliation. GPSP is currently supporting activities in Afghanistan, Colombia, the Democratic Republic of Congo, Guatemala, Haiti, Sudan, the Horn of Africa, and the Middle East.
Guiding Documents:	None
Source:	Global Affairs Canada. "Evolution of Global Peace and Security Fund," (February 2011), accessed January 20, 2016. Available: http://www.international.gc.ca/department-ministere/evaluation/2011/gpsf_fpsm11.aspx?lang=eng

International Narcotics and Law Enforcement (INCLE)

Country:	United States
Multisector:	Training and Equipping Operational Forces, Training Civil Society
Authority:	FAA Section 481 (22 U.S.C. Section 2291 et seq.)
Overseeing Agency:	Department of State Bureau of International Narcotics and Law Enforcement Affairs (INL)

Implementing Agency:	Bureau of International Narcotics and Law Enforcement Affairs (INL) and occasionally DSCA
Implementing Personnel:	Partners like the DEA, FBI and ICITAP
Budget:	$1.3 billion (FY2015)
Capability:	To fund training for Partner Countries in counter-narcotics, intelligence, border patrol, and interdiction activities to enhance the law enforcement capabilities of foreign governments in combating criminal, drug, and terrorist threats. INCLE can be used for national or global programs. INCLE funds can support capacity building of civil society actors for activities that relate to INCLE's mission.
Guiding Documents:	None
Source:	Defense Security Cooperation Agency, "Security Assistance Management Manual: Table C15.T2.BPC Programs and Authorities," accessed February 24, 2015. Available: http://www.samm.dsca.mil/table/table-c15t2#ASFF Department of State, "Congressional Budget Justification, Foreign Operations, and Related Programs," (2015), accessed Feb. 23, 2015. Available: http://www.state.gov/documents/organization/236395.pdf

Middle East Partnership Initiative (MEPI)

Country:	United States
Authority:	P.L. 108-458, the FY2004 Intelligence Reform and Terrorism Prevention Act
Overseeing Agency:	Department of State
Implementing Agency:	Department of State, Bureau of Near Eastern Affairs
Implementing Personnel:	International and local NGOs and other implementers TBD
Budget:	Economic Support Fund (ESF)
Capability:	To training and support to groups and individuals striving to create positive change in the society. MEPI works in 18 countries and territories, partnering with civil society organizations (CSOs), community leaders, youth and women activists, and private sector groups to advance their reform efforts.
Guiding Documents:	[none found at time of report]
Source:	Sharp, Jeremy M. "The Middle East Partnership Initiative: An Overview." Congressional Research Service RS21457. (February 8, 2005) Department of State, "Middle East Partnership Initiative," Bureau of Near Eastern Affairs, (July 23, 2010), accessed Feb. 19, 2015. Available: http://www.state.gov/mepi/ Department of State, "About MEPI," Bureau of Near Eastern Affairs, accessed Feb. 19, 2015. Available: http://mepi.state.gov/about-us.html

Regional HIV Capacity Building Program

Country:	Australia
Authority:	n/a
Overseeing Agency:	Department of Foreign Affairs and Trade (DFAT)
Implementing Agency:	[None found at time of report]
Implementing Personnel:	[None found at time of report]
Budget:	AUS 7 million, for 2012-2014
Capability:	To develop of civil society organizations who support the HIV/AIDS response with a focus on key affected populations in Asia and the Pacific.
Guiding Documents:	Godwin, Peter, and Clare Dickinson, "HIV in Asia - Transforming the Agenda for 2012 and Beyond," *Health Resource Facility*, (June 2012), accessed February 3, 2016. Available: http://dfat.gov.au/about-us/publications/Documents/hiv-strategic-assessment-report.pdf
Source:	Australian Department of Foreign Affairs and Trade, "Global Health Initiatives," *Education and Health Aid*, accessed February 3, 2016. Available: http://www.dfat.gov.au/aid/topics/investment-priorities/education-health/health/Pages/global-health-initiatives.aspx

Support to the African Capacity Building Foundation - Phase III

Country:	Canada
Multi-Sector:	Economic Development, Institution Building, Oversight and Governance, Training Civil Society
Authority:	[none found at time of report]
Overseeing Agency:	Department of International Affairs, Trade and Development (DFATD) – now called Global Affairs Canada
Implementing Agency:	African Capacity Building Foundation (ACBF)
Implementing Personnel:	African Capacity Building Foundation (ACBF) staff with state and non-state actors
Budget:	Maximum DFATD Contribution: CAD 18 million
Capability:	To fund a multi-donor trust fund in support of the African Capacity Building Foundation (ACBF) in six areas (1) Economic policy analysis and management; (2) Financial management and accountability; (3) Public administration and management; (4) National statistics and statistical systems; (5) National parliaments and parliamentary institutions, including the Pan-African Parliament; and (6) Professionalization of the voices of civil society and the private sector. The ACBF works with state and non-state actors throughout sub-Saharan Africa.
Guiding Documents:	None

Source: Foreign Affairs, Trade and Development Canada. "Project profile:
                               Support to the African Capacity Building Foundation - Phase III."
                               (January 29, 2016), accessed January 29, 2016. Available:
                               http://www.acdi-
                               cida.gc.ca/cidaweb/cpo.nsf/vWebMCSAZEn/756E9D5C3F2399E6
                               8525728A003C8995

Programs by Country

Australia
Regional HIV Capacity Building Program

Canada
Global Peace and Security Program
Support to the African Capacity Building Foundation - Phase III

France
Appui aux radio communautaires et à la maison de la presse / Projet d'appui aux médias
        centrafricains II (PAMCA II)   - Support for Community Radio and for the
        'Maison de la Presse' (Press and Journalists' House) / Project to support Central
        African Media (PAMCA II) (CAR)
Burundi - Appui aux secteurs universitaire, recherche, gouvernance, culture, médias et
        police (Support for the University, Research, Governance, Cultural, Media, and
        Police Sectors)
Burundi - Appui à la gouvernance démocratique au Burundi (Support for Democratic
        Governance in Burundi)
CIPEDSC (Consolidation des institutions publiques, de l'état de droit et de la société
        civile) (Mali)
Fonds Social de Développement (Social Development Fund)
Formation de journalistes de la radio et de la télévision nationale (Training for Radio and
        National Television Journalists - CAR)

Germany
[None found at time of report]

United Kingdom
Conflict, Stability and Security Fund (CSSF)

United States
Economic Support Fund (ESF)
International Narcotics and Law Enforcement (INCLE)
Middle East Partnership Initiative (MEPI)

Capabilities for Institution Building

Introduction

The fourth category of capabilities that can be used to build the capacity of host countries are the programs for institution building. The institution building category is a broad one that includes both public and private sector institutions. These include central government institutions such as government ministries and agencies, as well as regional and local government institutions, such as civic centers, schools, and various local agencies and departments. Also included in this category are a broad range of private institutions and private-public partnerships.

Each of the six countries surveyed—the United States and its five key partners, Australia, Canada, France, Germany, and the United Kingdom—have numerous programs for providing host country institutions with tools and skills to build those institutions' capacity. Each of these programs is detailed in the sections below. Some of the programs stipulate institution building for a *type of institution*, such as the ministry or defense, department of education, or the judiciary. Others are defined by a *type of institution building activity focused on improving a specific process or system*—such as enhancing customs control, building institutional capacity for video surveillance or criminal proceedings, improving the administration of secondary education, enhancing neonatal and maternal health care, creating appropriate regulatory regimes, or building a human resources management system. Still others are categorized by a *broader or cross-sector functional activity*, such as enhancing the capacity to prevent and respond to transnational criminal activity or building mechanisms for government-civil society partnerships.

As this chapter details, there are multiple programs for some institutions and fewer programs for others. Alternatively, there are also programs that have a much broader mandate than institution building. These programs are classified as "multi-sector," and they appear in each relevant capability chapter within this manual.

How to Use the Capabilities for Better Outcomes and Impacts

The capabilities for institution building provide "capacity builders"—the policy makers, planners and program managers, and implementers—with information with which to plan, design and implement holistic capacity building activities or mission in a host country. These capabilities are provided not just to increase access to information about the capabilities that can be utilized to do sustainable capacity building, but also to enable capacity builders to plan, design, and implement activities or missions that can achieve their intended outcomes and impact.

Readers of this manual should first think about the assets they currently have for supporting capacity building activities in the Host Country. Framed by the capacity building mandate for the host country, planners, and program managers should inventory the tools they can employ and identify gaps. For example, their agency may have programs to build a human resources management system by providing embedded advisors to assist government personnel to put more effective and efficient human resources systems in place in the ministry of defense, but lack the capabilities for building similar capacity in other government institutions, such as the ministry of health or education. The capabilities included in this chapter provide a comprehensive

catalogue of available capabilities in their home agency or country and among their Partners. They also provide a starting point for capacity builders to begin planning and designing holistic capacity building activities and missions.

With this information at hand, capacity builders can reach out to their interagency and partner nation counterparts at the policy, planning, and design stages to develop a holistic capacity building response—at the outset—and not on the ground, where holistic capacity building takes place currently. Using the example of a capacity building mission that aims at building an institutional capacity to manage human resources, a capacity building response that builds more effective and efficient human resources systems in the ministry of defense and in other government ministries to standardize government human resources processes, that ties these human resource systems to pay and promotion systems of ministry personnel and forces, and that utilizes both technical assistance and management processes to ensure that such practices can be replicated and sustained after assistance ends is more likely to achieve its intended outcome and longer term impact. It also guards against the likelihood that capacity building efforts delivered by partner nations overlap—for example, three capacity building programs aim to provide a database system for human resources management—and of missed opportunities (none of the programs address the capacity of government personnel to translate these new processes into systems for promotion and pay). Such instances of costly and duplicative overlap, and of missed opportunities, are far too common. At best, efforts are made by implementers to coordinate delivery on the ground. The approach in this manual is to move this coordination to the very beginning of the policymaking, planning, and design stages to better husband resources and to increase the likelihood of outcomes and impacts. When countries work holistically from the outset of the capacity building mission, it increases the likelihood that their activities will be more comprehensive in scope—further enhancing the impact of any assistance provided.

Finally, policymakers, planners, and program managers need to rethink how to use these capabilities to build sustainable capacity. Capacity building is not just about providing capabilities. Capacity building refers to the process by which people or institutions are taught capacity—the knowledge of how to deploy a capability effectively. In other words, capacity is "how something is done" whereas a capability is a "tool" used to get it done. Working holistically with interagency and partner counterparts, policymakers, planners, and program managers can use these capabilities to support capacity building activities that go beyond merely providing capabilities.

It is the purpose of this chapter to help policymakers, planners, and program managers to know more about what capabilities exist to build institutional capacity. But it has a larger purpose as well—to guide them to work holistically and to build sustainable capacity to enable the foreign assistance programs they manage to better achieve their intended outcomes and impact.

Programs for Institution Building

The assessment of the programs for institution building yielded 44 programs. For each of the programs detailed below, the following information is provided:

1. Name of Program
2. Country
3. Multisector (if applicable)
4. Name of Authority (if applicable)
5. Overseeing Agency, Department, or Ministry
6. Implementing Agency, Department, Ministry or Contractor

7. Budget (estimate or actual amount from latest budget year available)
8. Summary of the program and its purpose or intended use.
9. Guiding documents (policy documents, manuals and directives relevant to the program).
10. Source[49]

These programs are listed alphabetically by program name below. At the end of the chapter, all the programs are also listed by country.

Academy for Crisis Management, Emergency Planning and Civil Protection (AKNZ)

Country:	Germany
Multisector:	Training and Equipping Operational Forces, Crisis Response and Disaster Preparedness, Institution Building
Authority:	n/a
Overseeing Agency:	Bundesministerium des Innern (BMI) (Federal Ministry of the Interior)
Implementing Agency:	Bundesamt für Bevölkerungsschutz und Katastrophenhilfe (BBK) (The Federal Office of Civil Protection and Disaster Assistance)
Implementing Personnel:	[none found at time of report]
Budget:	[none found at time of report]
Capability:	To train international partners in crisis management and emergency planning. Seminars and courses are geared toward executive roles in the five pillars (civil protection, police, the armed forces, services, critical infrastructure companies) of civil safety precaution at the national level.
Guiding Documents:	None
Source:	BKK, *Academy for Crisis Management, Emergency Planning and Civil Protection* (BBK, 2013), accessed January 16, 2016. Available: http://www.bbk.bund.de/SharedDocs/Downloads/BBK/EN/booklets_leaflets/Flyer_AKNZ-en.pdf?__blob=publicationFile

Anti-Crime Capacity Building Program (ACCBP)

Country:	Canada
Multi-sector:	Training and Equipping Operational Forces, Training of Judicial Actors, Institution Building, Oversight and Governance
Authority:	Created under the International Assistance Envelop 5th pillar: Promote Stability and Security
Overseeing Agency:	Global Affairs Canada

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[49] Primary sources are listed for each programmatic entry. Additional sources include: Querine Hanlon and Richard H. Shultz, Jr., eds., *Prioritizing Security Sector Reform: A New U.S. Approach* (Washington, DC: USIP Press, March 2016), 211-234; Nate Wilson, Eric Loui, and Seth Maddox. "U.S. Security Assistance: Interagency Cross-Cut Briefing Book," (Unpublished Report, American University, 2012);

Implementing Agency:	Receives priorities through annual interagency process defining program engagement
Implementing Personnel:	[none found at time of report]
Budget:	Up to CAD 15 million per year
Capability:	To train government personnel, agencies, international organizations, and non-governmental entities to prevent and respond to threats posed by transnational criminal activity throughout the Americas using a variety of bilateral and multilateral project-delivery mechanisms.
Guiding Documents:	n/a
Source:	Foreign Affairs, Trade and Development, "Anti-Crime Capacity Building" (November 10, 2015), accessed January 20, 2016. Available: http://www.international.gc.ca/crime/accbp-prclc.aspx?lang=eng.

Appui à la Direction Générale des Douanes du Mali

Country:	France
Multisector:	Training and Equipping Operational Forces, Institution Building
Authority:	n/a
Overseeing Agency:	Ministère des Affaires Étrangères et du Développement international - Ministry of Foreign Affairs and International Development (MAEDI)
Implementing Agency:	Douanes françaises
Implementing Personnel:	[None found at time of report]
Budget:	€1.4 million
Capability:	To creating a control and safety station including video surveillance systems and training of customs officers in Mali in control and safety techniques.
Guiding Documents:	None
Source:	Ministère des Affaires Étrangères et du Développement international, "L'aide française au Mali," (April 2, 2015), accessed February 3, 2016. Available: http://mali.transparence-aide.gouv.fr/projects/appui-a-la-direction-generale-des-douanes-du-mali/

Appui à la modernisation de la police nationale, de la protection civile et à l'amélioration du système pénitentiaire (Djibouti)

Country:	France
Authority:	n/a
Overseeing Agency:	Ministère des Affaires Étrangères et du Développement international - Ministry of Foreign Affairs and International Development (MAEDI)
Implementing Agency:	Ministry of the Interior and Ministry of Justice (Djiboutian)

Implementing Personnel:	[None found at time of report]
Budget:	€400,000
Capability:	To strengthen the operational capacities of the national police and the judicial police. Projects focus on both the criminal proceedings and the development of policy and scientific techniques.
Guiding Documents:	None
Source:	

Appui à PISE III (Programme d'Investissement du Secteur de l'Education au Mali)

Country:	France
Multisector:	Institution Building, Infrastructure Development
Authority:	n/a
Overseeing Agency:	Agence Française de Développement - French Development Agency (AFD)
Implementing Agency:	AFD, Malian Ministry of Education
Implementing Personnel:	[None found at time of report]
Budget:	€8 million
Capability:	To support the construction and equipment of three public high schools in Bamako and to strengthen the capacities of actors in secondary education institutions to improving the quality of science education.
Guiding Documents:	http://www.afd.fr/base-projets/downloadDocument.action?idDocument=567
Source:	Agence Française de Développement, "Note De Communication Publique d'Operation," accessed February 3, 2016. Available: http://www.afd.fr/base-projets/downloadDocument.action?idDocument=567

Burkina Faso - Appui à la modernisation de l'institution judiciare (Support for Modernizing the Judiciary)

Country:	France
Multisector:	Training of Judicial Actors, Institution Building
Authority:	[None found at time of report]
Overseeing Agency:	Ministère des Affaires Étrangères et du Développement international - Ministry of Foreign Affairs and International Development (MAEDI)
Implementing Agency:	[None found at time of report]
Implementing Personnel:	[None found at time of report]
Budget:	€485,000
Capability:	To train the judiciary in Burkina Faso to promote access to justice, to support prosecution of organized crime and terrorism in compliance with fundamental rights, to improve supervision of the

activities of judicial personnel, and to support the modernization of the penitentiary system.

Guiding Documents:	None
Source:	

Burundi - Appui à la gouvernance démocratique au Burundi (Support for Democratic Governance in Burundi)

Country:	France
Multi-Sector:	Training of Civil Society Actors, Institution Building
Authority:	n/a
Overseeing Agency:	Ministère des Affaires Étrangères et du Développement international - Ministry of Foreign Affairs and International Development (MAEDI)
Implementing Agency:	Ministry of Good Governance (Burundian)
Implementing Personnel:	[none found at time of report]
Budget:	[none found at time of report]
Capability:	To build institutional mechanisms and authorities to increase the efficacy of public policies and to train civil society on issues pertaining to reconciliation and promoting human rights.
Guiding Documents:	None
Source:	None

Canada-Caribbean Leadership Program (CLP)

Country**:**	Canada
Multi-Sector:	Institution Building, Oversight and Governance
Authority:	n/a
Overseeing Agency:	Department of International Affairs, Trade and Development (DFATD) – now Global Affairs Canada
Implementing Agency:	Canada International Development Agency (CIDA)
Implementing Personnel:	Canada School of Public Service
Budget:	CAD 19.8
Capability:	To provide institutional assessments, more effective human resource policies, technical assistance, networking, and sharing international best practices to support regional institutions in developing leadership training programs. These programs will strengthen the next generation of Caribbean leaders to inspire and guide governance reforms and regional development in a gender and environment-sensitive manner.
Guiding Documents:	None
Source:	Foreign Affairs, Trade and Development Canada, "Project profile: Canada-Caribbean Leadership Program (CLP)," (Feb. 3, 2106),

accessed Feb. 3, 2016. Available: http://www.acdi-cida.gc.ca/cidaweb/cpo.nsf/projen/A033472001

Canadian Police Arrangement (CPA)

Country:	Canada
Multi-Sector:	Training and Equipping Operational Forces, Training of Judicial Actors, Institution Building
Authority:	[none found at time of report]
Overseeing Agency:	Partnership between Foreign Affairs, Global Affairs Canada, Public Safety Canada, and the Royal Canadian Mounted Police (RCMP)
Implementing Agency:	Royal Canadian Mounted Police (RCMP)
Implementing Personnel:	Royal Canadian Mounted Police (RCMP)
Budget:	[none found at time of report]
Capability:	To train and build police institutions in foreign countries. The CPA serves as the policy framework to guide the Canadian government's response to foreign requests for police assistance.
Guiding Documents:	None
Source:	GOV, 2006-2008 Biennial Review: International Peace Operations Branch (Ottawa: RCMP, 2008), 8.

CIPEDSC (Consolidation des institutions publiques, de l'état de droit et de la société civile) (Mali)

Country:	France
Multisector:	Institution Building, Training Civil Society
Authority:	n/a
Overseeing Agency:	Ministère des Affaires Étrangères et du Développement international - Ministry of Foreign Affairs and International Development (MAEDI)
Implementing Agency:	Commissariat au développement institutionnel, Ministères concernés, agences nationales et organisations de la société civile diverses (Commissioner for Institutional Development, ministries, national agencies and organizations of various civil society)
Implementing Personnel:	[None found at time of report]
Budget:	€2 million
Capability:	To rebuild public institutions, strengthening the rule of law and support for civil society in Mali.
Guiding Documents:	
Source:	Ministère des Affaires Étrangères et du Développement international, "L'aide française au Mali," (April 2, 2015), accessed February 3, 2016. Available: http://mali.transparence-aide.gouv.fr/projects/consolidation-des-institutions-publiques-de-letat-de-droit-et-de-la-societe-civile-cipedsc/

Comoros - Projet d'Appui à l'amélioration de la qualité des soins et au renforcement des capacités de la caritas Comores (Project to Support the Improvement of the Quality of Healthcare and Capacity-Building for Caritas Comoros)

Country:	France
Authority:	n/a
Overseeing Agency:	Agence Française de Développement - French Development Agency (AFD)
Implementing Agency:	Caritas Comoros
Implementing Personnel:	Caritas Comoros
Budget:	€750,000
Capability:	To build the healthcare institution of Caritas Comoros, improving the conditions of consultation and hospitalization, and strengthening the capacities of Caritas Comoros on institutional and organizational levels.
Guiding Documents:	Agence Francause de Development "Note de Communication Publique D'Operation," accessed January 29, 2016. Available: http://www.afd.fr/base-projets/downloadDocument.action;jsessionid=D71E6C28E77B5339706E970ADE36E508?idDocument=1664
Source:	Ministère des Affaires Étrangères et de Développement International, "Projet d'appui à l'amélioration de la qualité des soins et au renforcement des capacités de Caritas Comores," L'aide française au Comores, (April 2, 2015), accessed January 29. 2016. Available: http://comores.transparence-aide.gouv.fr/projects/projet-dappui-a-lamelioration-de-la-qualite-des-soins-et-au-renforcement-des-capacites-de-caritas-comores/#data

Comoros - Projet d'Appui au Secteur de la Santé aux Comores (PASCO) (Project to Support the Healthcare Sector in Comoros)

Country:	France
Authority:	n/a
Overseeing Agency:	Agence Française de Développement - French Development Agency (AFD)
Implementing Agency:	Comoran Ministry of Health
Implementing Personnel:	Comoran Ministry of Health, Santé Sud (French NGO), CAP (Collaboration - Action - Pérennisation, a Comoran NGO)
Budget:	€10 million
Capability:	To strengthen the institutional capacities of the Comoran Ministry of Health, by increasing the availability and quality of care, focusing especially on maternal and neonatal health on the islands of Anjouan and Mohéli.

Guiding Documents:	Ministère des Affaires étrangères et du Développement, "Note De Communication Publique d'Operation," accessed February 3, 2016. Available: http://www.afd.fr/base-projets/downloadDocument.action?idDocument=1661
Source:	Agence Française de Développement, "Note De Communication Publique d'Operation," accessed February 3, 2016. Available: http://www.afd.fr/base-projets/downloadDocument.action?idDocument=1661

Conflict, Stability and Security Fund (CSSF)

Country:	United Kingdom
Multi-sector:	Training and Equipping Operational Forces, Training of Judicial Actors, Training Civil Society, Institution Building, Oversight and Governance, Crisis Response and Disaster Relief
Authority:	National Security Council and the Building Stability Overseas Board (BSOB), a tri-departmental board chaired on a rotating basis by DFID, FCO, and MOD and includes representatives from the Cabinet Office and Stabilisation Unit (SU)
Overseeing Agency:	DFID, FCO and MOD
Implementing Agency:	[none found at time of report]
Implementing Personnel:	UK delivers directly or through third parties; also for contributions to multilateral interventions overseas to help prevent conflict and instability and to support postconflict stabilization.
Budget:	£1 billion in 2015-16
Capability:	To fund a broad range of activity (military training, human rights training, security and justice sector reform, and facilitating political reconciliation and peace processes) to help prevent conflict that affects vulnerable people in the world's poorest countries and tackle threats to UK interests from instability overseas.
Guiding Documents:	None
Source:	United Kingdom, HM Treasury, "Spending Round 2013", Cm 8639, (June 2013), 45, accessed January 20, 2016. Available: https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/209036/spending-round-2013-complete.pdf See also http://um.dk/en/~/media/UM/Danish-site/Documents/Danida/Resultater/Eval/201404AnnexF.pdf

Counter-Proliferation Program

Country:	United Kingdom
Multi-sector:	Training and Equipping of Operational Forces, Institution Building
Authority:	[none found at time of report]
Overseeing Agency:	Foreign Commonwealth Office (FCO)
Implementing Agency:	FCO Security Programme
Implementing Personnel:	[none found at time of report]

Budget:	£2 million (2013-14)
Capability:	To support projects around the world which increase political will or technical capacity to reduce the threat of weapons proliferation.
Guiding Documents:	UK National Counter Proliferation Strategy
Source:	United Kingdom Government. "Policy: Countering Weapons Proliferation." (January 14, 2016), accessed January 20, 2016. Available: https://www.gov.uk/government/policies/countering-weapons-proliferation

Counter-Terrorism Capacity Building (CTCB) program

Country:	Canada
Multisector:	Institution Building, Training and Equipping Operational Forces
Authority:	Created under the International Assistance Envelop 5th pillar: Promote Stability and Security
Overseeing Agency:	Global Affairs Canada
Implementing Agency:	Receives priorities through annual interagency process defining program engagement
Implementing Personnel:	International organizations like Interpol and UN Office on Drugs and Crime
Budget:	CAD 13 million a year
Capability:	To train and advise in areas such as border security, transportation security, anti-terrorism financing, legislative drafting, legal policy and human rights, and counter-terrorism training, law enforcement, security, military and intelligence training, CBRN terrorism response, cyber-security, and critical infrastructure protection.
Guiding Documents:	None
Sources:	Foreign Affairs, Trade and Development Canada, "Counter-Terrorism Capacity Building Assistance," (April 26, 2013), accessed January 20, 2016. Available: http://www.international.gc.ca/crime/ctcb-rcat.aspx?lang=eng

Counter Terrorism and Extremism Liaison Officers (CTELOs)

Country:	United Kingdom
Multi-sector:	Training and Equipping Operational Forces, Institution Building
Authority:	[none found at time of report]
Overseeing Agency:	Foreign Commonwealth Office (FCO)
Implementing Agency:	[none found at time of report]
Implementing Personnel:	[none found at time of report]
Budget:	[none found at time of report]
Capability:	To mentor and build effective and human-rights-compliant CT capability within foreign police agencies, to provide assistance in efficiently progressing CT-related enquiries from the UK and

Europol, and to act as the forward deployment for UK CT police in respect of terrorist incidents.

Guiding Documents:	[none found at time of report]
Source:	United Kingdom House of Commons. Home Affairs Committee. "Counter-Terrorism." 17th Report of Session 2013-14 HC231. (April 30, 2014) 25-26, accessed January 20, 2016. Available: http://www.statewatch.org/news/2014/may/uk-hac-report-counter-terrorism-may-2014.pdf

Counter Terrorism Finance (CTF)

Country:	United States
Multisector:	Training and Equipping Operational Forces, Training Judicial Actors, Institution Building
Authority:	Nonproliferation, Anti-Terrorism, and Demining and Related Programs (NADR)
Overseeing Agency:	Department of State
Implementing Agency:	Department of State Bureau of Counterterrorism (CT) working with the Department of Justice (DOJ)
Implementing Personnel:	Primarily NADR/CTF-funded Resident Legal Advisors (RLAs) from the Department of Justice Office of Overseas Prosecutorial Development, Assistance, and Training (DOJ/OPDAT).
Budget:	In FY 2013, CTF funded $15 million in capacity-building programs using NADR funds.
Capability:	To support and deliver technical assistance and training to governments around the world in investigation, identify, and interdict the flow of money to terrorist groups. The focus is on building comprehensive and effective legal frameworks and regulatory regimes, strengthening the investigative skills of law enforcement entities, bolstering prosecutorial and judicial development, and sustaining designated training and technical assistance programs.
Guiding Documents:	None
Source:	Department of State, "Annual Report on Assistance Related to International Terrorism: Fiscal Year 2013," *Bureau of Counterterrorism* (Feb. 11, 2014), accessed January 20, 2016. Available: http://www.state.gov/j/ct/rls/other/rpt/221544.htm Department of State, "Programs and Initiatives," *Bureau of Counterterrorism*, accessed Feb. 19, 2015. Available: http://www.state.gov/j/ct/programs/index.htm#CTF

CT Programme Fund

Country:	United Kingdom
Multisector:	Training and Equipping Operational Forces, Training Judicial Actors, Institution Building

Authority:	[none found at time of report]
Overseeing Agency:	Managed jointly by FCO, the Department for International Development and the Ministry of Defence
Implementing Agency:	Range of departments and agencies, including the Ministry of Defence, Department for Transport, Crown Prosecution Service, and the Metropolitan Police Service
Implementing Personnel:	Counter-Terrorism and Extremism Liaison Officers (CTELOs) posted overseas
Budget:	£30m
Capability:	To train overseas security services to improve compliance with the law and human rights and to make them more effective; to improve the ability of local investigators to build cases based on evidence rather than confession; to ensure prosecutors and judges are capable of processing terrorism cases through the court systems, effectively, fairly, and in line with the rule of law; and to improve conditions in detention facilities to meets international standards.
Guiding Documents:	None
Source:	United Kingdom Government. "Transparency data: Official Development Assistance (ODA) FCO Programme Spend - 2013." (January 17, 2014). Available: https://www.gov.uk/government/publications/official-development-assistance-oda-fco-programme-spend-2013 "Counter-terrorism - Home Affairs Committee" United Kingdom Parliament, (July 2011), accessed January 20, 2016. Available: http://www.publications.parliament.uk/pa/cm201314/cmselect/cmhaff/231/23106.htm

Defense Institution Reform Initiative (DIRI)

Country:	United States
Authority:	Foreign Assistance Budget
Overseeing Agency:	Department of Defense
Implementing Agency:	Defense Security Cooperation Agency (DSCA)
Implementing Personnel:	Partner nation personnel execute the implementation plan with U.S. assistance through contractors and program officers from the Center for Civil-Military Relations (CCMR)
Budget:	$10.9 million (FY2013)
Capability:	To support defense institutions through the deployment of teams of subject matter experts to work with a partner nation on a periodic, sustained basis, addressing specific capability needs or gaps, such as a personnel systems or a strategic plan.
Guiding Documents:	[none found at time of report]
Source:	Defense Security Cooperation Agency (DSCA), "Fiscal Year 2015 Budget Estimates," DSCA-425, (March 2014).

U.S. Department of Defense, "Performance Framework and Better Management of Resources Needed for the Ministry of Defense Advisors Program," *Inspector General*, Report no. DODIG-2013-005 (October 23, 2012), accessed February 3, 2016. Available: http://www.dodig.mil/pubs/documents/DODIG-2013-005.pdf

Energy Sector Capacity Building

Country:	Canada
Multisector:	Institution Building, Oversight and Governance, Economic Development
Authority:	[None found at time of report]
Overseeing Agency:	Department of International Affairs, Trade and Development (DFATD) – now Global Affairs Canada
Implementing Agency:	Canada International Development Agency (CIDA)
Implementing Personnel:	World Bank through the Ministry of Energy and Minerals, the Tanzania Electric Supply Company Limited, the Tanzania Petroleum Development Corporation, and the Energy and Water Utilities Regulatory Authority
Budget:	CAD 15.5 million
Capability:	To build institution capacity by: 1) developing a petroleum policy and legal framework; 2) providing strengthened sector coordination and governance; 3) preparing and implementing a vocational education and skills development plan; 4) developing and implementing a public-private partnership action plan; and 5) providing technical advice related to the oil and gas sector. It also supports the Government of Tanzania in developing and implementing clear and comprehensive policies and regulatory frameworks in its energy sector.
Guiding Documents:	None
Source:	Foreign Affairs, Trade and Development Canada, "Project profile: Energy Sector Capacity Building," (Feb. 3, 2106), accessed Feb. 3, 2016. Available: http://www.acdi-cida.gc.ca/cidaweb%5Ccpo.nsf/projEn/A035511001

Expertise des finances publiques (CAR)

Country:	France
Authority:	n/a
Overseeing Agency:	Ministère des Affaires Étrangères et du Développement international - Ministry of Foreign Affairs and International Development (MAEDI)
Implementing Agency:	Expertise France
Implementing Personnel:	[None found at time of report]
Budget:	€134,000

Capability:	To train in human resources management organized around four priority areas: knowledge and expertise base relating to career management, management of jobs and skills, training, and the role and positioning the Director of Human Resources.
Guiding Documents:	None
Source:	Ministère des Affaires Étrangères et du Développement international, "L'aide française au RCA," (April 2, 2015), accessed February 3, 2016. Available: http://rca.transparence-aide.gouv.fr/projects/expertise-des-finances-publiques/

Export Control and Related Border Security (EXBS) Program

Country:	United States
Authority:	Sections 582 of the Foreign Assistance Act and Section 503 of the FREEDOM Support Act
Overseeing Agency:	Department of State
Implementing Agency:	Department of State
Implementing Personnel:	U.S. Government agencies, the private sector, and U.S. and international non-governmental organizations
Budget:	$55 million (FY2013)
Capability:	To provide technical assistance to help U.S. partner nations to develop and improve their strategic trade and related border control systems. The goal is to ensure conformity with international standards for regulating trade in items on the control lists of the multilateral export control regimes, to prevent the authorization of transfers to end-uses and end-users of proliferation concern, and to detect and interdict illicit transfers at the border.
Guiding Documents	None
Source:	Department of State, "Export Control and Related Border Security Program: Strategic Plan," *Bureau of International Security and Nonproliferation (ISN),* (September 15, 2006), accessed February 25, 2015. Available: http://fas.org/asmp/resources/govern/109th/EXBS_Strategic_Plan.htm Department of Homeland Security, "Export Control and Related Border Security (EXBS) Program Overview," *U.S. Customs and Border Protection*, accessed Feb. 25, 2015. Available: http://www.cbp.gov/border-security/international-initiatives/international-training-assistance/exbs Department of State, "The EXBS Program," *Bureau of International Security and Nonproliferation (ISN)*, accessed Feb. 25, 2015. Available: http://www.state.gov/t/isn/ecc/c27911.htm

German Partnership Program for Excellence in Biological and Health Security

Country:	Germany

Multi-Sector:	Institution Building, Crisis Response and Disaster Relief
Authority:	[None found at time of report]
Overseeing Agency:	Auswärtiges Amt (AA) - Federal Foreign Office
Implementing Agency:	Implemented around the world in cooperation with German institutions like Robert Koch Institute (RKI), Bernhard Nocht Institute for Tropical Medicine (BNI), Friedrich Loeffler Institute, and Federal Research Institute for Animal Health (FLI)
Implementing Personnel:	[None found at time of report]
Budget:	€23 million over three years (2013‑2016)
Capability:	To strengthen health services and health systems in dealing with infectious agents through raising awareness, biosafety and biosecurity, surveillance, detection and diagnostics, and networking.
Guiding Documents:	None
Source:	Auswärtiges Amt (AA) - Federal Foreign Office, "German Partnership Program for Excellence in Biological and Health Security," (Feb. 18, 2015), accessed Feb. 3, 2016. Available: http://www.auswaertiges-amt.de/EN/Aussenpolitik/Abruestung/BioChemie/Biosicherheitsprogramm.html

Global Peace Security Fund (GPSF)

Country:	Canada
Multi-sector:	Training and Equipping Operational Forces, Institution Building, Oversight and Governance
Authority:	GPSF was created out of a Memorandum of Cabinet (MC) process
Overseeing Agency:	Global Affairs Canada
Implementing Agency:	The Stabilization and Reconstruction Task Force (START)
Implementing Personnel:	START personnel and implementing partners from other government agencies on a case by case basis
Budget:	CAD 1.13 billion (2013-14)
Capability:	To fund security sector assistance, including post conflict stabilization and reconstruction, for failed and fragile states.
Guiding Documents:	[none found at time of report]
Source:	Treasury Board of Canada Secretariat, "Global Peace and Security Fund (GPSF): Plans, Spending and Results," accessed February 23, 2015. Available: http://www.tbs-sct.gc.ca/hidb-bdih/initiative-eng.aspx?Hi=27 GOC, Canada's International Policy Statement: A Role of Pride and Influence in the World: Overview (Ottawa: Department of Foreign Affairs and International Trade, 2005), accessed January 20, 2016. Available: http://publications.gc.ca/collections/Collection/FR4-3-2005E.pdf

Global Peace and Security Program

Country:	Canada
Multi-sector:	Training and Equipping Operational Forces, Training of Judicial Actors, Training Civil Society, Institution Building, Oversight and Governance
Authority:	[none found at time of report]
Overseeing Agency:	Global Affairs Canada
Implementing Agency:	The Stabilization and Reconstruction Task Force (START)
Implementing Personnel:	START personnel and implementing partners from other government agencies on a case by case basis
Budget:	CAD 100 million 2010-2011
Capability:	To support timely, coherent, and effective programming in priority fragile states in security sector reform and rule of law, to reinforce international best practices, norms, and standards, to build capacity of NGOs, promote respect for human rights and refugee law, and to promote conflict resolution through dialogue and reconciliation. GPSP is currently supporting activities in countries and regions such as Afghanistan, Colombia, the Democratic Republic of Congo, Guatemala, Haiti, the Horn of Africa, Sudan, and the Middle East.
Guiding Documents:	None
Source:	Global Affairs Canada, "Evolution of Global Peace and Security Fund," (February 2011), accessed January 20, 2016. Available: http://www.international.gc.ca/department-ministere/evaluation/2011/gpsf_fpsm11.aspx?lang=eng

Good Financial Governance

Country:	Germany
Multi-Sector:	Institution Building, Oversight and Governance
Authority:	Commissioned by: German Federal Ministry for Economic Cooperation and Development (BMZ)
Overseeing Agency:	Ministry of Finance (MoF)
Implementing Agency:	African Organisation of Supreme Audit Institutions (AFROSAI)
Implementing Personnel:	Contractors: Particip GmbH and GOPA GmbH
Budget:	[None found at time of report]
Capability:	To improve Ghana's public finances in three core processes of the sector: revenue management (tax administration and policy); budget management (budgeting and budget processes); and domestic accountability and transparency in the extractive industries.
Guiding Documents:	None

Source:	Gesellschaft für internationale Zusammenarbeit (GIZ), "Good Financial Governance," accessed Feb. 3, 2016. Available: https://www.giz.de/en/worldwide/19422.html

Illegal Logging: Regional Capacity Building Partnership

Country:	Australia
Authority:	n/a
Overseeing Agency:	Department of Agriculture and Water Resources
Implementing Agency:	Funding goes to the implementing organizations: Nature Conservancy and the International Tropical Timber Organization
Implementing Personnel:	Nature Conservancy and the International Tropical Timber Organization personnel
Budget:	AUS 8 million total program budget
Capability:	To engage governments and industry on timber legality verification systems and provide technical support to forest managers in the Asia Pacific region.
Guiding Documents:	None
Source:	Australian Department of Agriculture, "Illegal Logging: Regional Capacity Building Partnership," *International Forestry*, accessed February 25, 2015. Available: http://www.agriculture.gov.au/forestry/international/reg-cap-bldg-pship

International Criminal Investigative Training Assistance Program (ICITAP)

Country:	United States
Multisector:	Training and Equipping Operational Forces, Training Judicial Actors, Institution Building
Authority:	Exception to Section 663 of the Foreign Assistance Act of 1961 as amended in 1975
Overseeing Agency:	Department of Justice with policy goals coming from the Department of State, Bureau of International Narcotics and Law Enforcement Affairs (INL)
Implementing Agency:	Department of Justice Criminal Division
Implementing Personnel:	ICITAP personnel and contractors
Budget:	Funded through the Bureau of International Narcotics and Law Enforcement Affairs (INL) INCLE Fund and other interagency agreements.
Capability:	To train law enforcement personnel in emerging democracies and developing countries, assist partner nations to counter terrorism, and develop law enforcement institutions in postconflict reconstruction or international peacekeeping operations.
Guiding Documents:	None

Source:	Richard Downie and Jennifer G. Cooke, *A More Strategic U.S. Approach to Police Reform in Africa* (Washington, DC: Center for Strategic and International Studies, April 2011), 21.

Justice and Human Rights Partnership (JHRP) Programme

Country:	United Kingdom
Multi-sector:	Training and Equipping Operational Forces, Institution Building, Training of Judicial Actors, Oversight and Governance
Authority:	[none found at time of report]
Overseeing Agency:	Foreign Commonwealth Office (FCO)
Implementing Agency:	[none found at time of report]
Implementing Personnel:	[none found at time of report]
Budget:	[none found at time of report]
Capability:	To train foreign countries from which terrorist threats originate to investigate and prosecute terrorists with full respect for human rights.
Guiding Documents:	[none found at time of report]
Source:	United Kingdom. Secretary of State for the Home Department. "The Government Response to the Seventeenth Report from the Home Affairs Select Committee Session 2013-14 HC 231: Counter-terrorism." Cm 9011. (February 2015) 6-7, accessed January 20, 2016. Available: https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/403109/46905_Cm_9011_print.pdf

Ministry of Defense Advisor (MoDA)

Country:	United States
Authority:	Foreign Assistance Act of 1961, as amended
Overseeing Agency:	Department of Defense (DOD)
Implementing Agency:	Defense Security Cooperation Agency (DSCA)
Implementing Personnel:	Civilian DOD personnel
Budget:	$2.2 million FY2013
Capability:	To provide technical assistance and advising to strengthen the capacity of the Ministry of Defense and Ministry of Interior of U.S. partner nations.
Guiding Documents:	None
Source:	Defense Security Cooperation Agency (DSCA), "Fiscal Year 2015 Budget Estimates," DSCA-425, (March 2014). U.S. Department of Defense, "MoDA Program Overview," accessed February 3, 2016. Available: http://archive.defense.gov/home/features/2011/0211_moda/ U.S. Department of Defense, "Performance Framework and Better Management of Resources Needed for the Ministry of Defense

Advisors Program," *Inspector General*, Report no. DODIG-2013-005 (October 23, 2012), accessed February 3, 2016. Available: http://www.dodig.mil/pubs/documents/DODIG-2013-005.pdf

Nauru Police Force Police Capacity Program

Country:	Australia
Multisector:	Training and Equipping of Operational Forces, Institution Building
Authority:	n/a
Overseeing Agency:	Australian Federal Police (AFP)
Implementing Agency:	International Deployment Group (IDG)
Implementing Personnel:	AFP Advisors
Budget:	Part of the International Police Assistance Budget, A$312 million (2013-14)
Capability:	To develop and implement a professional, contemporary, and competent policing organization assisted by the development of governance instruments and systems, training, and the provision of necessary physical resources.
Guiding Documents:	None
Source:	Australian Attorney-General's Office, "Australian Federal Police, Section 1.3 Budget Measures," In Portfolio Budget Statements 2014-15, 139, Commonwealth of Australia, (2014), accessed February 3, 2016. Available: http://www.ag.gov.au/Publications/Budgets/Budget2014-15/Documents/00%20Attorney-General%20s%20portfolio%20PBS%202014-15%20full%20book.PDF Australian Federal Police, "International Deployment Group," (2015), accessed February 3, 2016. Available: http://www.afp.gov.au/policing/international-deployment-group

Pacific Police Development Program (PPDP) and Pacific Police Development Program – Regional (PPDPR)

Country:	Australia
Multisector:	Training and Equipping Operational Forces, Institution Building
Authority:	n/a
Overseeing Agency:	Australian Federal Police (AFP)
Implementing Agency:	International Deployment Group (IDG)
Implementing Personnel:	AFP Advisors
Budget:	Part of the International Police Assistance Budget, A$312 million (2013-14)
Capability:	To train police, build leadership, increase operational capacity, and enable services to improve the rule of law. The program is operating a regional component, as well as country-specific bi-

lateral programs in Vanuatu, Samoa, Tonga, Papua New Guinea, Nauru, Kiribati, Niue, Tuvalu, the Republic of Marshall Islands, Palau, Cook Islands, and the Federated States of Micronesia.

Guiding Documents:	None
Source:	Australian Attorney-General's Office, "Australian Federal Police, Section 1.3 Budget Measures," In Portfolio Budget Statements 2014-15, 139, Commonwealth of Australia, (2014), accessed February 3, 2016. Available: http://www.ag.gov.au/Publications/Budgets/Budget2014-15/Documents/00%20Attorney-General%20s%20portfolio%20PBS%202014-15%20full%20book.PDF Australian Federal Police, "International Deployment Group," (2015), accessed February 3, 2016. Available: http://www.afp.gov.au/policing/international-deployment-group

Papua New Guinea Australia Policing Partnership

Country:	Australia
Multisector:	Training and Equipping Operational Forces, Institution Building, Infrastructure Development
Authority:	n/a
Overseeing Agency:	Australian Federal Police (AFP)
Implementing Agency:	International Deployment Group (IDG)
Implementing Personnel:	AFP Advisors
Budget:	Part of the International Police Assistance Budget, A$312 million (2013-14)
Capability:	To enhancing professional development, logistics, and infrastructure; project management development; and professional standards along with fraud and anti-corruption, including financial intelligence. Program operates only with the Royal Papua New Guinea Constabulary (RPNGC) service.
Guiding Documents:	None
Source:	Australian Attorney-General's Office, "Australian Federal Police, Section 1.3 Budget Measures," In Portfolio Budget Statements 2014-15, 139, Commonwealth of Australia, (2014), accessed February 3, 2016. Available: http://www.ag.gov.au/Publications/Budgets/Budget2014-15/Documents/00%20Attorney-General%20s%20portfolio%20PBS%202014-15%20full%20book.PDF Australian Federal Police, "International Deployment Group," (2015), accessed February 3, 2016. Available: http://www.afp.gov.au/policing/international-deployment-group

Police Programme Africa

Country:	Germany
Multi-sector:	Infrastructure Development, Institution Building, Training and Equipping of Operational Forces
Authority:	Commissioned by: Auswärtiges Amt (AA) - Federal Foreign Office
Overseeing Agency:	Gesellschaft für internationale Zusammenarbeit - German International Development Organization (GIZ)
Implementing Agency:	National ministries for internal security and national police structures; regional organizations
Implementing Personnel:	[none found at time of report]
Budget:	[none found at time of report]
Capability:	To train and advise for improving training, infrastructure, and equipment levels and to strengthen the capacities of national police structures in seven countries of sub-Saharan Africa and the Sahel region.
Guiding Documents:	None
Source:	Gesellschaft für internationale Zusammenarbeit (GIZ), "Police Programme Africa," accessed Jaurary 20, 2016. Available: http://www.giz.de/en/worldwide/15637.html

Productive Safety Net Program: Technical Assistance and Capacity Building Component

Country:	Canada
Authority:	n/a
Overseeing Agency:	Department of International Affairs, Trade and Development (DFATD) – now Global Affairs Canada
Implementing Agency:	Canada International Development Agency (CIDA)
Implementing Personnel:	Contractors from Agriteam Canada
Budget:	CAD 15.2 million
Capability:	To enhance the technical, administration, and management capacity of government partners to deliver multi-year transfers of either food or cash to Ethiopia's most impoverished people in the time between harvests. This is achieved by strengthening institutional systems, processes, and coordination mechanisms.
Guiding Documents:	None
Source:	Foreign Affairs, Trade and Development Canada, "Project profile: Productive Safety Net Program: Technical Assistance and Capacity Building Component," (Feb. 3, 2016), accessed February 3, 2016. Available: http://www.acdi-cida.gc.ca/cidaweb/cpo.nsf/vWebCSAZEn/418960E5D6768CCD85257E9E0037ECFE

Renforcement de la gouvernance démocratique (Mali)

Country:	France
Authority:	n/a
Overseeing Agency:	Ministère des Affaires Étrangères et du Développement international - Ministry of Foreign Affairs and International Development (MAEDI)
Implementing Agency:	French technical expert, supported by a steering committee to perform all activities and share the Malian Alliance for Rebuilding Governance in Africa (AGRA) regarding the implementation of the Multi-Stakeholder Forum
Implementing Personnel:	[None found at time of report]
Budget:	€1.35 million
Capability:	To train civil servants and territorial agents to increase the capacity of institutional governance actors and to establish a space for dialogue on democratic governance issues in Mali, le Forum Multi-Acteurs (FMA).
Guiding Documents:	None
Source:	Ministère des Affaires Étrangères et du Développement international, "L'aide française au Mali," (April 2, 2015), accessed February 3, 2016. Available: http://mali.transparence-aide.gouv.fr/projects/renforcement-de-la-gouvernance-democratique/

Security Governance Initiative (SGI)

Country:	United States
Multisector:	Training and Equipping Operational Forces, Institution Building
Authority:	August 6, 2014 White House Initiative
Overseeing Agency:	Department of State with support of the Department of Defense, U.S. Agency for International Development, the Department of Justice, and the Department of Homeland Security
Implementing Agency:	[none found at time of report]
Implementing Personnel:	[none found at time of report]
Budget:	$65 million 2014
Capability:	To train security forces and build security sector institutional capacity to protect civilians and confront challenges and threats with integrity and accountability. Program began with six countries: Ghana, Kenya, Mali, Niger, Nigeria, and Tunisia.
Guiding Documents:	None
Source:	The White House. "FACT SHEET: Security Governance Initiative," *Office of the Press Secretary*, (2014), accessed February 19, 2015. Available: http://www.whitehouse.gov/the-press-office/2014/08/06/fact-sheet-security-governance-initiative

State-Building through Taxation

Country:	Germany
Authority:	Commissioned by German Federal Ministry for Economic Cooperation and Development (BMZ)
Overseeing Agency:	Gesellschaft für internationale Zusammenarbeit - German International Development Organization (GIZ)
Implementing Agency:	African Tax Administration Forum (ATAF)
Implementing Personnel:	[None found at time of report]
Budget:	[None found at time of report]
Summary:	In January 2011, GIZ started the Supporting the Establishment of the African Tax Administration Forum (ATAF) project which offers multilayered support in three areas to assist ATAF with the achievement of its goals. The project concentrates on the establishment of the organizational structure of the secretariat, including the organizational design, the processes and procedures of decision-making, as well as evaluation mechanisms. It supports ATAF in establishing itself as a technical organization by assisting the development of its research capacity. The GIZ supported research guides the organization's work and members' reform attempts, and serves as a basis for an African agenda on tax issues. Finally, the project seeks to strengthen ATAF`s capacity to facilitate reforms in its member countries through tailored capacity development measures. The project works closely with the ATAF Secretariat and offers strategic as well as technical advisory services in all three support areas.
Guiding Documents:	None
Source:	Gesellschaft für Internationale Zusammenarbeit (GIZ), "State-Building through Taxation," accessed Feb. 3, 2016. Available: http://www.giz.de/en/worldwide/15810.html

Support for peace, security, and good governance in the Southern African Development Community (SADC) region

Country:	Germany
Multi-sector:	Training and Equipping Operational Forces, Institution Building
Authority:	Commissioned by: Bundesministerium für wirtschaftliche Zusammenarbeit und Entwicklung (BMZ) - German Federal Ministry for Economic Cooperation and Development
Overseeing Agency:	Gesellschaft für internationale Zusammenarbeit - German International Development Organization (GIZ)
Implementing Agency:	SADC Secretariat, Organ on Politics, Defense and Security Cooperation
Implementing Personnel:	[none found at time of report]
Budget:	[none found at time of report]
Capability:	To train civilians for international peace missions, supporting the training of police officers from across the region, and developing

	resources for mediation in political conflicts. Training topics include gender mainstreaming as well as operations against human trafficking, the illegal arms trade, document forgery, and money laundering.
Guiding Documents:	[none found at time of report]
Source:	Gesellschaft für internationale Zusammenarbeit (GIZ), "Support for peace, security and good governance in the SADC region," accessed January 20, 2015. Available: http://www.giz.de/en/worldwide/15730.html

Support for the Education Sector in Senegal - Capacity Building

Country:	Canada
Authority:	[None found at time of report]
Overseeing Agency:	Department of International Affairs, Trade and Development (DFATD) – now Global Affairs Canada
Implementing Agency:	Canada International Development Agency (CIDA)
Implementing Personnel:	CRC Sogema Inc.
Budget:	CAD 11 million
Capability:	To provide technical and management expertise to ministries involved in implementing budget support in the education sector in Senegal and to build technical and management capacities, mainly in education, but also in public-sector financial management reform.
Guiding Documents:	None
Source:	Foreign Affairs, Trade and Development Canada, "Project profile: Support for the Education Sector in Senegal - Capacity Building," (Feb. 3, 2016), accessed Feb. 3, 2016. Available: http://www.acdi-cida.gc.ca/cidaweb/cpo.nsf/projen/A032121002

Support to the African Capacity Building Foundation - Phase III

Country:	Canada
Multi-Sector:	Economic Development, Institution Building, Oversight and Governance, Training Civil Society
Authority:	[none found at time of report]
Overseeing Agency:	Department of International Affairs, Trade and Development (DFATD) – now called Global Affairs Canada
Implementing Agency:	African Capacity Building Foundation (ACBF)
Implementing Personnel:	African Capacity Building Foundation (ACBF) staff with state and non-state actors
Budget:	Maximum DFATD Contribution: CAD 18 million
Capability:	To fund a multi-donor trust fund in support of the African Capacity Building Foundation (ACBF) in six areas (1) Economic policy analysis and management; (2) Financial management and

accountability; (3) Public administration and management; (4) National statistics and statistical systems; (5) National parliaments and parliamentary institutions, including the Pan-African Parliament; and (6) Professionalization of the voices of civil society and the private sector. The ACBF works with state and non-state actors throughout sub-Saharan Africa.

Guiding Documents:	None
Source:	Foreign Affairs, Trade and Development Canada. "Project profile: Support to the African Capacity Building Foundation - Phase III." (January 29, 2016), accessed January 29, 2016. Available: http://www.acdi-cida.gc.ca/cidaweb/cpo.nsf/vWebMCSAZEn/756E9D5C3F2399E68525728A003C8995

Support to the Kofi Annan International Peacekeeping Training Centre (KAIPTC)

Country:	Germany
Authority:	Commissioned by: German Federal Ministry for Economic Cooperation and Development (BMZ)
Overseeing Agency:	Gesellschaft für internationale Zusammenarbeit - German International Development Organization (GIZ)
Implementing Agency:	Economic Community of West African States (ECOWAS), Ghanaian Ministry of Foreign Affairs and Regional Integration
Implementing Personnel:	[None found at time of report]
Budget:	[None found at time of report]
Capability:	GIZ supports KAIPTC in four priority areas: (1) strengthening the efficiency and sustainability of institutional structures and processes; (2) strengthening regional cooperation with client organizations; (3) increasing the efficiency and results-orientation of civilian training courses; and (4) improving the management and results-orientated monitoring of KAIPTC-alumni with a Learning Management System
Guiding Documents:	None
Source:	Gesellschaft für Internationale Zusammenarbeit (GIZ), "Support to the Kofi Annan International Peacekeeping Training Centre (KAIPTC)," accessed Feb. 3, 2016. Available: http://www.giz.de/en/worldwide/15641.html

Timor Leste Police Development Program (TLPDP)

Country:	Australia
Multisector:	Training and Equipping of Operational Forces, Institution Building, Infrastructure Development
Authority:	n/a
Overseeing Agency:	Australian Federal Police (AFP)

Implementing Agency:	International Deployment Group (IDG)
Implementing Personnel:	AFP Police Officers, unsworn AFP staff, civilian specialists, and locally employed staff
Budget:	AUS 7.9 million (2014-2015)
Capability:	To assist the Government of Republica Democratica de Timor-Leste to build the foundations of an effective and accountable police service. The program focuses on the provision of advice, training, infrastructure, and enabling tools.
Guiding Documents:	None
Source:	Australian Attorney-General's Office, "Australian Federal Police, Section 1.3 Budget Measures," In Portfolio Budget Statements 2014-15, 139, Commonwealth of Australia, (2014), accessed February 3, 2016. Available: http://www.ag.gov.au/Publications/Budgets/Budget2014-15/Documents/00%20Attorney-General%20s%20portfolio%20PBS%202014-15%20full%20book.PDF Australian Federal Police, "International Deployment Group," (2015), accessed February 3, 2016. Available: http://www.afp.gov.au/policing/international-deployment-group

Treasury International Affairs Technical Assistance (TIATA)

Country:	United States
Multisector:	Institution Building, Economic Development
Authority:	Section 129 of the Foreign Assistance Act of 1961, as amended
Overseeing Agency:	Department of Treasury
Implementing Agency:	Treasury Office of Technical Assistance (OTA)
Implementing Personnel:	OTA Advisors
Budget:	25.6 million (FY2013)
Capability:	To advise in economic policy and financial management reforms, focusing on the functional disciplines of budget, taxation, government debt, financial institutions, and financial enforcement. Treasury assistance focuses on strengthening the financial and economic management capacity of aid recipient countries in order to make effective use of foreign assistance, to reduce their vulnerability to economic shocks, terrorist financing and financial crime, and ultimately to eliminate their dependence on aid.
Guiding Documents:	Office of Technical Assistance Booklet 2015 http://www.treasury.gov/about/organizational-structure/offices/Documents/FINAL%20-%20OTA%20Booklet%202015%20for%20Web.pdf
Source:	Department of Treasury, "International Affairs Technical Assistance 2013 Report To Congress," (2013), accessed Feb. 26, 2015. Available: http://www.treasury.gov/about/organizational-

structure/offices/Documents/2013%20OTA%20Report%20to%20Congress%20-%20FINAL.pdf

Department of State, "Congressional Budget Justification: Department of State, Foreign Operations, and Related Programs," (2015), accessed Feb. 25, 2015. Available: http://www.usaid.gov/sites/default/files/documents/9276/222898.pdf

Program by Country

Australia

Illegal Logging: Regional Capacity Building Partnership

Nauru Police Force Police Capacity Program

Pacific Police Development Program (PPDP) and Pacific Police Development Program – Regional (PPDPR)

Papua New Guinea Australia Policing Partnership

Timor Leste Police Development Program (TLPDP)

Canada

Anti-Crime Capacity Building Program (ACCBP)

Canada-Caribbean Leadership Program (CLP)

Canadian Police Arrangement (CPA)

Counter-Terrorism Capacity Building (CTCB) program

Energy Sector Capacity Building

Global Peace Security Fund (GPSF)

Global Peace and Security Program

Productive Safety Net Program: Technical Assistance and Capacity Building Component

Support for the Education Sector in Senegal - Capacity Building

Support to the African Capacity Building Foundation - Phase III

France

Appui à la Direction Générale des Douanes du Mali

Appui à la modernisation de la police nationale, de la protection civile et à l'amélioration du système pénitentiaire (Djibouti)

Appui à PISE III (Programme d'Investissement du Secteur de l'Education au Mali)

Burkina Faso - Appui à la modernisation de l'institution judiciare (Support for Modernizing the Judiciary)

Burundi - Appui à la gouvernance démocratique au Burundi (Support for Democratic Governance in Burundi)

CIPEDSC (Consolidation des institutions publiques, de l'état de droit et de la société civile) (Mali)

Comoros - Projet d'Appui à l'amélioration de la qualité des soins et au renforcement des capacités de la caritas Comores (Project to Support the Improvement of the Quality of Healthcare and Capacity-Building for Caritas Comoros)

Comoros - Projet d'Appui au Secteur de la Santé aux Comores (PASCO) (Project to Support the Healthcare Sector in Comoros)

Expertise des finances publiques (CAR)
Renforcement de la gouvernance démocratique (Mali)

Germany
Academy for Crisis Management, Emergency Planning and Civil Protection (AKNZ)
German Partnership Program for Excellence in Biological and Health Security
Good Financial Governance
Police Programme Africa
State-Building through Taxation
Support for peace, security, and good governance in the Southern African Development
      Community (SADC) region
Support to the Kofi Annan International Peacekeeping Training Centre (KAIPTC)

United Kingdom
Conflict, Stability and Security Fund (CSSF)
Counter-Proliferation Program
Counter Terrorism and Extremism Liaison Officers (CTELOs)
CT Programme Fund
Justice and Human Rights Partnership (JHRP) Programme

United States
Counter Terrorism Finance (CTF)
Defense Institution Reform Initiative (DIRI)
Export Control and Related Border Security (EXBS) Program
International Criminal Investigative Training Assistance Program (ICITAP)
Ministry of Defense Advisor (MoDA)
Security Governance Initiative (SGI)
Treasury International Affairs Technical Assistance (TIATA)

Chapter 10

Capabilities for Oversight and Governance

Introduction

The fifth category of capabilities that can be used to build the capacity of host countries are the programs for enhancing oversight and governance. *Oversight and Governance* is a broad category that includes government and private sector institutions that exercise oversight over the functions of government and the provision of services to the population and holds these institutions and actors accountable. These include the institutions of executive government, such as the presidency, the cabinet or privy council, and the national security council; government ministries, departments and agencies such as the ministries of defense, economic development or education; parliament and its various subcommittees, such as the subcommittee for defense and intelligence or education; and various ombudsmen and other specialized offices, such as anti-corruption authorities, human rights offices, or transitional justice advisors and other specialized appointees. Also included in this category are private sector and nongovernment actors who have a mission to enhance government accountability and transparency, who serve in various "watchdog" functions, or who publish information about the provision of government services or the fulfillment of legislative mandates. Each of the capabilities included in this chapter aims to enhance the capacity of these institutions to fulfill their oversight and governance functions.

Each of the six countries surveyed—the United States and its key partners, Australia, Canada, France, Germany, and the United Kingdom—have programs for enhancing the oversight and governance capacity of public and private sector institutions and actors. Each of these programs is detailed in the sections below. Some of the programs stipulate the provision of oversight and governance capacity building for a *type of actor* such as government personnel from a particular department or agency, specific government institutions, such as parliaments, or nongovernmental organizations. Others are defined by the *type of activity*—such as the provision of technical expertise, embedded advisors, leadership training activities, the sharing of international best practices, or the creation of processes or regulatory frameworks. Regardless of how the program is defined, those included in this section focus their capacity building activities and funding on enhancing oversight and governance. Capabilities for building the capacity of institutions, such as the human resources for financial management—fall under a separate category, although these programs may overlap when institution building also aims to enhance oversight and governance, as many of the capabilities listed in Chapter 9 do.

As this chapter details, there are multiple programs for some actors and fewer programs for others. Alternatively, there are also programs that have a much broader mandate than merely building the capacity for oversight and governance. These programs are classified as "multi-sector," and they appear in each relevant capability chapter within this handbook.

How to Use the Capabilities for Better Outcomes and Impacts

The capabilities for enhancing oversight and governance capacity provide "capacity builders"—the policymakers, planners, and program managers—with information with which to develop policy guidance and plan, design, and implement holistic capacity building activities in a Host Country. These capabilities are provided not just to increase access to information about the capabilities that can be utilized to do sustainable capacity building, but also to enable capacity

builders to plan, design, and implement activities or missions that can achieve their intended outcomes and impact.

Readers of this manual should first think about the assets they currently have for supporting capacity building activities in the Host Country. Framed by the capacity building mandate for the host country, planners, and program managers should inventory the tools they can employ and identify gaps. For example, their agency may have programs to build the capacity of parliament to exercise oversight over government appropriations in certain sectors—for example the defense or internal security sectors—but lack capabilities for enhancing the capacity of ministry staff to engage with and provide appropriate levels of information to parliamentary subcommittees or for civil society organizations to participate in oversight functions to support the objective of good governance. The capabilities included in this chapter provide a comprehensive catalogue of available capabilities in their home agency or country and among their Partners. They also provide a starting point for capacity builders to begin planning and designing holistic capacity building activities and missions.

With this information at hand, capacity builders can reach out to their interagency and partner nation counterparts at the policy, planning, and design stages to develop a holistic capacity building response—at the outset—and not on the ground, where holistic capacity building takes place currently. Using the example of a capacity building mission that aims at enhancing parliamentary oversight, a capacity building response that addresses both the capacity of members of parliament to exercise their oversight function and the capacity of members of government to provide appropriate and timely information on their activities and expenditures as well as the role of civil society in establishing good governance is more likely to achieve its intended outcome and longer term impact. It also guards against the likelihood that capacity building efforts delivered by partner nations overlap—for example, three capacity building programs aim to enhance the capacity of a particular parliamentary subcommittee—and of missed opportunities (none of the programs address the capacity of other members of parliament or of their ministerial counterparts to engage in the reporting functions that are so critical to securing effective oversight). Such instances of costly and duplicative overlap, and of missed opportunities, are far too common. At best, efforts are made by implementers to coordinate delivery on the ground. The approach in this manual is to move this coordination to the very beginning of the policymaking, planning, and design stages to better husband resources and to increase the likelihood of outcomes and impacts. When countries work holistically from the outset of the capacity building mission, it increases the likelihood that their activities will be more comprehensive in scope—further enhancing the impact of any assistance provided.

Finally, policymakers, planners, and program managers need to rethink how to use these capabilities to build sustainable capacity. Capacity building is not just about providing capabilities. Capacity building refers to the process by which people or institutions are taught capacity—the knowledge of how to deploy a capability effectively. In other words, capacity is "how something is done" whereas a capability is a "tool" used to get it done. Working holistically with interagency and partner counterparts, policymakers, planners, and program managers can use these capabilities to support capacity building activities that go beyond merely providing capabilities.

It is the purpose of this chapter to help policymakers, planners, and program managers to know more about what capabilities exist to build the capacity for oversight and governance. But it has a larger purpose as well—to guide them to work holistically and to build sustainable capacity

to enable the foreign assistance programs they manage to better achieve their intended outcomes and impact.

Programs for Building Oversight and Governance Capacity

The assessment of the programs for building the capacity for oversight and governance yielded 22 programs. For each of the programs detailed below, the following information is provided:

1. Name of Program
2. Country
3. Multisector (if applicable)
4. Name of Authority (if applicable)
5. Overseeing Agency, Department, or Ministry
6. Implementing Agency, Department, Ministry or Contractor
7. Budget (estimate or actual amount from latest budget year available)
8. Summary of the program and its purpose or intended use.
9. Guiding documents (policy documents, manuals and directives relevant to the program).
10. Source[50]

These programs are listed alphabetically by program name below. At the end of the chapter, all the programs are also listed by country.

Anti-Crime Capacity Building Program (ACCBP)

Country:	Canada
Multi-sector:	Training and Equipping Operational Forces, Training of Judicial Actors, Institution Building, Oversight and Governance
Authority:	Created under the International Assistance Envelop 5th pillar: Promote Stability and Security
Overseeing Agency:	Global Affairs Canada
Implementing Agency:	Receives priorities through annual interagency process defining program engagement
Implementing Personnel:	[none found at time of report]
Budget:	Up to CAD 15 million per year
Capability:	To train government personnel, agencies, international organizations, and non-governmental entities to prevent and respond to threats posed by transnational criminal activity throughout the Americas, using a variety of bilateral and multilateral project-delivery mechanisms.
Guiding Documents:	n/a

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[50] Primary sources are listed for each programmatic entry. Additional sources include: Querine Hanlon and Richard H. Shultz, Jr., eds., *Prioritizing Security Sector Reform: A New U.S. Approach* (Washington, DC: USIP Press, March 2016), 211-234; Nate Wilson, Eric Loui, and Seth Maddox. "U.S. Security Assistance: Interagency Cross-Cut Briefing Book," (Unpublished Report, American University, 2012);

| Source: | Foreign Affairs, Trade and Development, "Anti-Crime Capacity Building" (November 10, 2015), accessed January 20, 2016. Available: http://www.international.gc.ca/crime/accbp-prclc.aspx?lang=eng. |

Australia-Asia Program to Combat Trafficking in Persons (AAPTIP)

Country:	Australia
Multi-sector:	Training and Technical Assistance for Judicial Actors, Training Civil Society, Oversight and Governance
Authority:	n/a
Overseeing Agency:	Department of Foreign Affairs and Trade
Implementing Agency:	Department of Foreign Affairs and Trade South East Asia Regional Office
Implementing Personnel:	[none found at time of report]
Budget:	AUD 50 million, 2013-2018
Capability:	To strengthen the criminal justice response to trafficking at national levels in Cambodia, Indonesia, Laos, Burma, Philippines, Thailand and Vietnam. The program will increase effective and ethical investigation of human trafficking cases, improve prosecutorial effectiveness and ethics, improve fairness and timely adjudication with judges and court officials, and enhance regional cooperation and leadership on the criminal justice response to human trafficking.
Guiding Documents:	None
Source:	Australian Department of Foreign Affairs and Trade, "Enabling regional economic cooperation and inclusive growth in South-East Asia," Web. 26 Feb. 2016. Available: http://dfat.gov.au/geo/east-asia/development-assistance/Pages/enabling-regional-economic-cooperation-south-east-asia-region.aspx

Burundi - Appui aux secteurs universitaire, recherche, gouvernance, culture, médias et police (Support for the University, Research, Governance, Cultural, Media, and Police Sectors)

Country:	France
Multi-sector:	Training and Equipping Operational Forces, Training Civil Society, Oversight and Governance
Authority:	[none found at time of report]
Overseeing Agency:	MAEDI (Ministère des Affaires étrangères et du Développement international / Ministry of Foreign Affairs and International Development)
Implementing Agency:	Various Burundian ministries
Implementing Personnel:	International experts
Budget:	€498,104

Capability:	To provide technical assistance and funding for four international technical experts on governance, police, media, and francophonie.
Guiding Documents:	[none found at time of report]
Source:	[none found at time of report]

Canada-Caribbean Leadership Program (CLP)

Country**:**	Canada
Multi-Sector:	Institution Building, Oversight and Governance
Authority:	n/a
Overseeing Agency:	Department of International Affairs, Trade and Development (DFATD) – now Global Affairs Canada
Implementing Agency:	Canada International Development Agency (CIDA)
Implementing Personnel:	Canada School of Public Service
Budget:	CAD 19.8
Capability:	To provide institutional assessments, more effective human resource policies, technical assistance, networking, and sharing of international best practices to support regional institutions in developing leadership training programs. These programs will strengthen the next generation of Caribbean leaders to inspire and guide governance reforms and regional development in a gender and environment-sensitive manner.
Guiding Documents:	None
Source:	Foreign Affairs, Trade and Development Canada, "Project profile: Canada-Caribbean Leadership Program (CLP)," (Feb. 3, 2106), accessed Feb. 3, 2016. Available: http://www.acdi-cida.gc.ca/cidaweb/cpo.nsf/projen/A033472001

Complex Crisis Fund (CCF) (Replacing Section 1207)

Country:	United States
Multisector:	Training and Equipping Operational Forces, Training Judicial Actors, Training Civil Society, Institution Building, Oversight and Governance, Crisis Response and Disaster Preparedness, Infrastructure Development, Economic Development
Authority:	Established through: Consolidated Appropriations Act, 2010, H.R.3288, 111th Congress (2010)
Overseeing Agency:	Department of State
Implementing Agency:	U.S. Agency for International Development (USAID), Office of Program, Policy and Management (PPM)
Implementing Personnel:	Contractors and other implementers TBD
Budget:	$40 million (FY2014)
Capability:	To fund projects aimed at addressing and preventing the root causes of conflict and instability through a whole-of-government approach, including host government participation, as well as other

partner resources. CCF can also be used to support sustainable programs that help to create the conditions for longer-term development. Meant to replace Section 1207 which authorized the Department of Defense to transfer funds to the Department of State for stabilization and reconstruction activities.

Guiding Documents:	[none found at time of report]
Source:	Consolidated Appropriations Act, 2010, H.R.3288, 111th Congress (2010). Department of State. Fiscal Year 2016 Congressional Budget Justification: Foreign Operations, and Related Programs. (pp. 82) Web. 23 Feb. 2015. Available: http://www.usaid.gov/results-and-data/budget-spending

Conflict, Stability and Security Fund (CSSF)

Country:	United Kingdom
Multi-sector:	Training and Equipping Operational Forces, Training of Judicial Actors, Training Civil Society, Institution Building, Oversight and Governance, Crisis Response and Disaster Preparedness
Authority:	National Security Council and the Building Stability Overseas Board (BSOB), a tri-departmental board chaired on a rotating basis by DFID, FCO and MOD and includes representatives from the Cabinet Office and Stabilisation Unit (SU)
Overseeing Agency:	National Security Council
Implementing Agency:	National Security Secretariat Joint Hub
Implementing Personnel:	UK delivers directly or through third parties; also for contributions to multilateral interventions overseas to help prevent conflict and instability and to support post-conflict stabilization.
Budget:	£1.3 billion in 2016-17
Capability:	To fund a broad range of activity (military training, human rights training, security and justice sector reform, and facilitating political reconciliation and peace processes) to help prevent conflict that affects vulnerable people in the world's poorest countries and tackle threats to UK interests from instability overseas. This will include actions the UK delivers directly or through third parties and its contribution to multilateral interventions overseas to help prevent conflict and instability, and support post-conflict stabilization.
Guiding Documents:	None
Source:	United Kingdom, HM Treasury, "Spending Round 2013", Cm 8639, (June 2013), 45, accessed January 20, 2016. Available: https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/209036/spending-round-2013-complete.pdf See also http://um.dk/en/~/media/UM/Danish-site/Documents/Danida/Resultater/Eval/201404AnnexF.pdf

Energy Sector Capacity Building

Country:	Canada
Multisector:	Institution Building, Oversight and Governance, Economic Development
Authority:	[None found at time of report]
Overseeing Agency:	Department of International Affairs, Trade and Development (DFATD) – now Global Affairs Canada
Implementing Agency:	Canada International Development Agency (CIDA)
Implementing Personnel:	World Bank through the Ministry of Energy and Minerals, the Tanzania Electric Supply Company Limited, the Tanzania Petroleum Development Corporation, and the Energy and Water Utilities Regulatory Authority
Budget:	CAD 15.5 million
Capability:	To build institution capacity by: (1) developing a petroleum policy and legal framework; (2) providing strengthened sector coordination and governance; (3) preparing and implementing a vocational education and skills development plan; (4) developing and implementing a public-private partnership action plan; and (5) providing technical advice related to the oil and gas sector. It also supports the Government of Tanzania in developing and implementing clear and comprehensive policies and regulatory frameworks in their energy sector.
Guiding Documents:	None
Source:	Foreign Affairs, Trade and Development Canada, "Project profile: Energy Sector Capacity Building," (Feb. 3, 2106), accessed Feb. 3, 2016. Available: http://www.acdi-cida.gc.ca/cidaweb%5Ccpo.nsf/projEn/A035511001

Global Peace Security Fund (GPSF)

Country:	Canada
Multi-sector:	Training and Equipping Operational Forces, Institution Building, Oversight and Governance
Authority:	GPSF was created out of a Memorandum of Cabinet (MC) process
Overseeing Agency:	Global Affairs Canada
Implementing Agency:	The Stabilization and Reconstruction Task Force (START)
Implementing Personnel:	START personnel and implementing partners from other government agencies on a case by case basis
Budget:	CAD 1.13 billion (2013-14)
Capability:	To fund security sector assistance, including post conflict stabilization and reconstruction, for failed and fragile states.
Guiding Documents:	[none found at time of report]

Source:	Treasury Board of Canada Secretariat. "Global Peace and Security Fund (GPSF): Plans, Spending and Results," accessed February 23, 2015. Available: http://www.tbs-sct.gc.ca/hidb-bdih/initiative-eng.aspx?Hi=27 GOC. *Canada's International Policy Statement: A Role of Pride and Influence in the World: Overview* (Ottawa: Department of Foreign Affairs and International Trade, 2005), accessed January 20, 2016. Available: http://publications.gc.ca/collections/Collection/FR4-3-2005E.pdf

Global Peace and Security Program

Country:	Canada
Multi-sector:	Training and Equipping Operational Forces, Training of Judicial Actors, Training Civil Society, Institution Building, Oversight and Governance
Authority:	[none found at time of report]
Overseeing Agency:	Global Affairs Canada
Implementing Agency:	The Stabilization and Reconstruction Task Force (START)
Implementing Personnel:	START personnel and implementing partners from other government agencies on a case-by-case basis
Budget:	CAD 100 million 2010-2011
Capability:	To support timely, coherent, and effective programming in priority fragile states in security sector reform and rule of law; to reinforce international best practices, norms, and standards; to build capacity of NGOs, to promote respect for human rights and refugee law; and to promote conflict resolution through dialogue and reconciliation. GPSP is currently supporting activities in countries and regions such as Afghanistan, Colombia, the Democratic Republic of Congo, Guatemala, Haiti, the Horn of Africa, Sudan, and the Middle East.
Guiding Documents:	None
Source:	Global Affairs Canada. "Evolution of Global Peace and Security Fund," (February 2011), accessed January 20, 2016. Available: http://www.international.gc.ca/department-ministere/evaluation/2011/gpsf_fpsm11.aspx?lang=eng

Good Financial Governance

Country:	Germany
Multi-Sector:	Institution Building, Oversight and Governance
Authority:	Commissioned by: German Federal Ministry for Economic Cooperation and Development (BMZ)
Overseeing Agency:	Ministry of Finance (MoF)
Implementing Agency:	African Organisation of Supreme Audit Institutions (AFROSAI)
Implementing Personnel:	Contractors: Particip GmbH and GOPA GmbH

Budget:	[None found at time of report]
Capability:	To improve Ghana's public finances in three core processes of the sector: revenue management (tax administration and policy); budget management (budgeting and budget processes); and domestic accountability and transparency in the extractive industries.
Guiding Documents:	None
Source:	Gesellschaft für internationale Zusammenarbeit (GIZ), "Good Financial Governance," accessed Feb. 3, 2016. Available: https://www.giz.de/en/worldwide/19422.html

Justice and Human Rights Partnership (JHRP) Programme

Country:	United Kingdom
Multi-sector:	Training and Equipping Operational Forces, Training and Technical Assistance for Judicial Actors, Institution Building, Oversight and Governance
Authority:	[none found at time of report]
Overseeing Agency:	Foreign Commonwealth Office (FCO)
Implementing Agency:	[none found at time of report]
Implementing Personnel:	[none found at time of report]
Budget:	[none found at time of report]
Capability:	To train in investigation and prosecution of terrorists with full respect of human rights. Program focuses on foreign countries from which terrorist operate and pose the greatest threat.
Guiding Documents:	[none found at time of report]
Source:	United Kingdom. Secretary of State for the Home Department. "The Government Response to the Seventeenth Report from the Home Affairs Select Committee Session 2013-14 HC 231: Counter-terrorism." Cm 9011. (February 2015) 6-7, accessed January 20, 2016. Available: https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/403109/46905_Cm_9011_print.pdf

Mauritania - Soutien à la société civile en vue des prochains scrutins électoraux

Country:	France
Authority:	n/a
Overseeing Agency:	MAEDI (Ministère des Affaires étrangères et du Développement international)
Implementing Agency:	[none found at time of report]
Implementing Personnel:	[none found at time of report]
Budget:	€500,000
Capability:	To effectively encourage citizen participation in the electoral process. The program aims to identify and promote the priorities of

	Mauritanian voters in terms of public policy, to support the efforts of civil society, and to strengthen the capacity of CSOs in compliance and evaluation of the electoral process.
Guiding Documents:	None
Source:	Ministère des Affaires étrangères et de Développement International, "Soutien à la société civile en vue des prochains scrutins électoraux," (April 2, 2015), L'aide française en Mauritanie, accessed January 29, 2016. Available: http://mauritanie.transparence-aide.gouv.fr/projects/soutien-a-la-societe-civile-en-vue-des-prochains-scrutins-electoraux/#data

Pacific Women Shaping Pacific Development

Country:	Australia
Multi-sector:	Training and Equipping Operational Forces, Training and Technical Assistance for Judicial Actors, Training Civil Society, Institution Building, Oversight and Governance
Authority:	n/a
Overseeing Agency:	Department of Foreign Affairs and Trade
Implementing Agency:	Department of Foreign Affairs and Trade/Australia Aid
Implementing Personnel:	[none found at time of report]
Budget:	Up to AUD 320 million, 2012-2013 – 2021-2022
Capability:	To building the capacity of Pacific women MPs, parliamentary staff, and the institutions in which they work to better address gender inequalities, to improve infrastructure and management of produce markets in PNG, Fiji, Vanuatu, and Solomon Islands, to improve law enforcement, justice systems, and the coordination of service providers, and to strengthen the collection and analysis of data to better track outcomes.
Guiding Documents:	None
Source:	Australian Department of Foreign Affairs and Trade, "Pacific Regional—Empowering women and girls," Web. 26 Feb. 2016. Available: http://dfat.gov.au/geo/pacific/development-assistance/Pages/gender-equality-pacific-regional.aspx

Papua New Guinea Australia Law and Justice Partnership (PALJP)

Country:	Australia
Multi-sector:	Training and Technical Assistance for Judicial Actors, Institution Building, Oversight and Governance
Authority:	n/a
Overseeing Agency:	Department of Foreign Affairs and Trade
Implementing Agency:	Department of Foreign Affairs and Trade/Australia Aid
Implementing Personnel:	[none found at time of report]

Budget:	Up to AUD 90 million, 2016-2019 for the Justice Services and Stability for Development Program
Capability:	To (1) improved policing, security, safety and crime prevention; (2) increase access to justice and just results; (3) improve reconciliation, reintegration, and deterrence; (4) improve accountability and reduced corruption; and (5) improve ability to deliver law and justice services.
Guiding Documents:	[none found at time of report]
Source:	Australian Department of Foreign Affairs and Trade, "Promoting effective governance in Papua New Guinea," Web. 26 Feb. 2016. Available: http://dfat.gov.au/geo/papua-new-guinea/development-assistance/Pages/governance-assistance-png.aspx

Philippines Australia Human Resource and Organisational Development Facility (PAHRODF)

Country:	Australia
Multi-sector:	Institution Building, Oversight and Governance
Authority:	n/a
Overseeing Agency:	Department of Foreign Affairs and Trade
Implementing Agency:	Department of Foreign Affairs and Trade/Australia Aid
Implementing Personnel:	[none found at time of report]
Budget:	AUD 73 million, 2009-2019
Capability:	To provide a variety of short-term training, together with long-term scholarships for post-graduate study in Australia. This support helps an agency to become more efficient and effective in doing business. It also helps forge enduring people-to-people links between Australia and the Philippines.
Guiding Documents:	"Design document, Philippines Australia Human Resource and Organisational Development Facility" (2009) Available: https://dfat.gov.au/about-us/publications/Documents/pahrodf-design-document-pd.pdf
Source:	Australian Department of Foreign Affairs and Trade, "Development Assistance to the Philippines," Web. 26 Feb. 2016. Available: http://dfat.gov.au/geo/philippines/development-assistance/Pages/building-stronger-institutions-for-transparent-accountable-governance-philippines.aspx

Security Governance Initiative (SGI)

Country:	United States
Multisector:	Training and Equipping Operational Forces, Institution Building, Oversight and Governance
Authority:	August 6, 2014 White House Initiative

Overseeing Agency:	Department of State with support of the Department of Defense, U.S. Agency for International Development, the Department of Justice, and the Department of Homeland Security
Implementing Agency:	[none found at time of report]
Implementing Personnel:	[none found at time of report]
Budget:	$65 million 2014
Capability:	To train security forces and build security sector institution capacity to protect civilians and confront challenges and threats with integrity and accountability. Program began with six countries: Ghana, Kenya, Mali, Niger, Nigeria, and Tunisia.
Guiding Documents:	None
Source:	The White House. "FACT SHEET: Security Governance Initiative," *Office of the Press Secretary*, (2014), accessed February 19, 2015. Available: http://www.whitehouse.gov/the-press-office/2014/08/06/fact-sheet-security-governance-initiative

Solomon Islands Democratic Governance

Country:	Australia
Multi-sector:	Institution Building, Oversight and Governance
Authority:	n/a
Overseeing Agency:	Department of Foreign Affairs and Trade
Implementing Agency:	Department of Foreign Affairs and Trade/Australia Aid
Implementing Personnel:	Australian Electoral Commission, Australian Civilian Corps
Budget:	Up to AUD 10.9 million, 2012-2017
Capability:	To provide strategic advising to the Solomon Islands Electoral Commission to support electoral system strengthening and governance in Solomon Islands.
Guiding Documents:	None
Source:	Australian Department of Foreign Affairs and Trade, "Supporting stability in Solomon Islands," Web. 26 Feb. 2016. Available: http://dfat.gov.au/geo/solomon-islands/development-assistance/Pages/objective-1-supporting-stability.aspx

Solomon Islands Economic and Public Sector Governance Program

Country:	Australia
Multi-sector:	Oversight and Governance, Economic Development
Authority:	n/a
Overseeing Agency:	Department of Foreign Affairs and Trade
Implementing Agency:	Department of Foreign Affairs and Trade/Australia Aid
Implementing Personnel:	Royal Australasian College of Surgeons
Budget:	Up to AUS 42.7 million, 2013–17

Capability:	To provide training and technical assistance in fiscal and human resource management to improve the performance of central ministries; to enable effective service delivery and support economic growth; to identify and remove systemic obstacles to service delivery and the creation of an enabling environment for growth; and to mitigate fiduciary challenges for the Solomon Islands.
Guiding Documents:	"Solomon Islands Governance Program Delivery Strategy." (2013). Available: http://dfat.gov.au/about-us/publications/Pages/solomon-islands-governmance-program-delivery-strategy.aspx
Source:	Australian Department of Foreign Affairs and Trade, "Supporting stability in Solomon Islands," Web. 26 Feb. 2016. Available: http://dfat.gov.au/geo/solomon-islands/development-assistance/Pages/objective-1-supporting-stability.aspx

Solomon Islands Justice Program

Country:	Australia
Multi-sector:	Training and Technical Assistance for Judicial Actors, Institution Building, Oversight and Governance
Authority:	n/a
Overseeing Agency:	Department of Foreign Affairs and Trade
Implementing Agency:	Department of Foreign Affairs and Trade/Australia Aid
Implementing Personnel:	[none found at time of report]
Budget:	Up to AUD 40.2 million, 2013-2017
Capability:	To provide training, technical assistance, and infrastructure development to improve the delivery of justice services through institutional and individual capacity development (e.g. legal advisers, human resource and finance advisers) and infrastructure maintenance. The program works in the Solomon Islands.
Guiding Documents:	None
Source:	Australian Department of Foreign Affairs and Trade, "Supporting stability in Solomon Islands," Web. 26 Feb. 2016. Available: http://dfat.gov.au/geo/solomon-islands/development-assistance/Pages/objective-1-supporting-stability.aspx

Support to the African Capacity Building Foundation - Phase III

Country:	Canada
Multi-Sector:	Economic Development, Institution Building, Oversight and Governance, Training Civil Society
Authority:	[none found at time of report]
Overseeing Agency:	Department of International Affairs, Trade and Development (DFATD) – now called Global Affairs Canada
Implementing Agency:	African Capacity Building Foundation (ACBF)

Implementing Personnel:	African Capacity Building Foundation (ACBF) staff with state and non-state actors
Budget:	Maximum DFATD Contribution: CAD 18 million
Capability:	To fund a multi-donor trust fund in support of the African Capacity Building Foundation (ACBF) in six areas (1) economic policy analysis and management; (2) financial management and accountability; (3) public administration and management; (4) national statistics and statistical systems; (5) national parliaments and parliamentary institutions, including the Pan-African Parliament; and (6) professionalization of the voices of civil society and the private sector. The ACBF works with state and non-state actors throughout sub-Saharan Africa.
Guiding Documents:	None
Source:	Foreign Affairs, Trade and Development Canada. "Project profile: Support to the African Capacity Building Foundation - Phase III." (January 29, 2016), accessed January 29, 2016. Available: http://www.acdi-cida.gc.ca/cidaweb/cpo.nsf/vWebMCSAZEn/756E9D5C3F2399E68525728A003C8995

Supporting the Organisation of Latin American and Caribbean Supreme Audit Institutions

Country:	Germany
Multi-sector:	Institution Building, Oversight and Governance
Authority:	n/a
Overseeing Agency:	German Federal Ministry for Economic Cooperation and Development (BMZ)
Implementing Agency:	Organización Latinoamérica del Caribe y de Entidades Fiscalizadores Superiores (OLACEFS); chair: Tribunal de Contas da União, Brazil
Implementing Personnel:	[none found at time of report]
Budget:	[none found at time of report]
Capability:	To advise the president's office, secretariat, committees and commissions of Latin American countries to strengthen institutional, technical, and organizational capacities with a view to improving external financial control mechanisms in the region.
Guiding Documents:	None
Source:	Gesellschaft für internationale Zusammenarbeit, "Supporting the Organisation of Latin American and Caribbean Supreme Audit Institutions," Web. 25 March. 2016. Available: https://www.giz.de/en/worldwide/12723.html

Vanuatu Policing and Justice Support Program

Country:	Australia

Multi-sector:	Training and Equipping Operational Forces, Training and Technical Assistance for Judicial Actors, Institution Building, Oversight and Governance
Authority:	n/a
Overseeing Agency:	Department of Foreign Affairs and Trade
Implementing Agency:	Department of Foreign Affairs and Trade/Australia Aid
Implementing Personnel:	[none found at time of report]
Budget:	Up to AUD 18.6 million, 2012-2016
Capability:	To advise and support the justice sector of Vanuatu, including community services agencies and a police capacity-building component.
Guiding Documents:	None
Source:	Australian Department of Foreign Affairs and Trade, "Improving community safety and resilience in Vanuatu," Web. 26 Feb. 2016. Available: http://dfat.gov.au/geo/vanuatu/development-assistance/Pages/improving-community-safety-resilience-vanuatu.aspx

Program by Country:

Australia
Australia-Asia Program to Combat Trafficking in Persons (AAPTIP)
Pacific Women Shaping Pacific Development
Papua New Guinea Australia Law and Justice Partnership (PALJP)
Philippines Australia Human Resource and Organisational Development Facility (PAHRODF)
Solomon Islands Democratic Governance
Solomon Islands Economic and Public Sector Governance Program
Solomon Islands Justice Program
Vanuatu Policing and Justice Support Program

Canada
Anti-Crime Capacity Building Program (ACCBP)
Canada-Caribbean Leadership Program (CLP)
Energy Sector Capacity Building
Global Peace Security Fund (GPSF)
Global Peace and Security Program
Support to the African Capacity Building Foundation - Phase III

France
Burundi - Appui aux secteurs universitaire, recherche, gouvernance, culture, médias et police (Support for the University, Research, Governance, Cultural, Media, and Police Sectors)
Mauritania - Soutien à la société civile en vue des prochains scrutins électoraux

Germany
Good Financial Governance
Supporting the Organisation of Latin American and Caribbean Supreme Audit
Institutions

United Kingdom
Complex Crisis Fund (CCF) (Replacing Section 1207)
Conflict, Stability and Security Fund (CSSF)
Justice and Human Rights Partnership (JHRP) Programme

United States
Security Governance Initiative (SGI)

Chapter 11

Capabilities for Crisis Response and Disaster Preparedness

Introduction

The sixth category of capabilities that can be used to build the capacity of host countries are the programs for Crisis Response and Disaster Preparedness. This category is a broad one that includes both public and private sector institutions. These include central government institutions such as the ministry of defense, ministry of interior and ministry of health, local and regional government organizations and agencies, as well as organizations like national Red Cross societies and other civil society organizations.

Each of the six countries surveyed—the United States and its five key partners, Australia, Canada, France, Germany, and the United Kingdom—have programs for providing host country institutions with tools and skills to build those institutions' capacity for crisis response and disaster preparedness. Each of these programs is detailed in the sections below. Some of the programs stipulate institution building for a *type of institution*, such as the ministry of health or the Red Cross. Others are defined by a *type of capacity building activity focused on improving a specific process or system*—such as enhancing health services and systems to deal with infectious agents, technical assistance for planning and response, improving emergency preparedness response support systems, or to develop national policies for crisis response and disaster preparedness.

As this chapter details, there are multiple programs for some institutions and fewer programs for others. Alternatively, there are also programs that have a much broader mandate than institution building. These programs are classified as "multi-sector," and they appear in each relevant capability chapter within this manual.

How to Use the Capabilities for Better Outcomes and Impacts

The capabilities for crisis response and disaster preparedness provide "capacity builders"— the policymakers, planners, and program managers—with information with which to develop policy guidance and plan, design, and implement holistic capacity building activities in a Host Country. These capabilities are provided not just to increase access to information about the capabilities that can be utilized to do sustainable capacity building, but also to enable capacity builders to plan, design, and implement activities or missions that can achieve their intended outcomes and impact.

Readers of this manual should first think about the assets they currently have for supporting capacity building activities in the Host Country. Framed by the capacity building mandate for the host country, planners, and program managers should inventory the tools they can employ and identify gaps. For example, their agency may have programs to build a more responsive health system by training personnel for handling infectious agents but lack the capabilities for putting systems in place for diagnostics or detection or for developing a national response strategy and associated processes. The capabilities included in this chapter provide a comprehensive catalogue of available capabilities in their home agency or country and among their Partners. They also provide a starting point for capacity builders to begin planning and designing holistic capacity building activities and missions.

With this information at hand, capacity builders can reach out to their interagency and partner nation counterparts at the policy, planning, and design stages to develop a holistic capacity

building response—at the outset—and not on the ground, where holistic capacity building takes place currently. Using the example of a capacity building mission that aims at building a more responsive health system, a capacity building response that addresses both the capacity for handling infectious agents, provides technical assistance to enable personnel to diagnose and detect infectious agents and that supports the development of a national response strategy is more likely to achieve its intended outcome and longer term impact. It also guards against the likelihood that capacity building efforts delivered by partner nations overlap—for example, multiple capacity building programs aim to enhance the capacity of one health agency or group of specialized personnel—and of missed opportunities (none of the programs address the capacity of senior government officials to develop a national strategy). Such instances of costly and duplicative overlap, and of missed opportunities, are far too common. At best, efforts are made by implementers to coordinate delivery on the ground. The approach in this manual is to move this coordination to the very beginning of the policymaking, planning, and design stages to better husband resources and to increase the likelihood of outcomes and impacts. When countries work holistically from the outset of the capacity building mission, it increases the likelihood that their activities will be more comprehensive in scope—further enhancing the impact of any assistance provided.

Finally, policymakers, planners, and program managers need to rethink how to use these capabilities to build sustainable capacity. Capacity building is not just about providing capabilities. Capacity building refers to the process by which people or institutions are taught capacity—the knowledge of how to deploy a capability effectively. In other words, capacity is "how something is done" whereas a capability is a "tool" used to get it done. Working holistically with interagency and partner counterparts, policymakers, planners, and program managers can use these capabilities to support capacity building activities that go beyond merely providing capabilities.

It is the purpose of this chapter to help policymakers, planners, and program managers to know more about what capabilities exist to build the capacity for crisis response and disaster preparedness. But it has a larger purpose as well—to guide them to work holistically and to build sustainable capacity to enable the foreign assistance programs they manage to better achieve their intended outcomes and impact.

Programs for Crisis Response and Disaster Preparedness

The assessment of the programs for crisis response and disaster preparedness yielded 17 programs. For each of the programs detailed below, the following information is provided:

1. Name of Program
2. Country
3. Multisector (if applicable)
4. Name of Authority (if applicable)
5. Overseeing Agency, Department, or Ministry
6. Implementing Agency, Department, Ministry or Contractor
7. Budget (estimate or actual amount from latest budget year available)
8. Summary of the program and its purpose or intended use.
9. Guiding documents (policy documents, manuals and directives relevant to the program).

10. Source[51]

These programs are listed alphabetically by program name below. At the end of the chapter, all the programs are also listed by country.

"1204" Authority to Conduct Activities to Enhance the Capability of Foreign Countries to Respond to Incidents involving Weapons of Mass Destruction

Country:	United States
Authority:	Section 104, NDAA, FY2014, P.L.113-66, 26 December 2013
Overseeing Agency:	Department of Defense
Implementing Agency:	Department of Defense and Department of State
Implementing Personnel:	Country team (SCO), CCMDs, any in-theater military commanders
Budget:	Department of Defense Operations & Maintenance funds are annually appropriated for the Defense Threat Reduction Agency (DTRA)
Capability:	To enhance the capacity of countries that share a border with Syria to respond effectively to potential incidents involving WMD in Syria and the surrounding region.
Guiding Document:	[none found at time of report]
Source:	Department of Defense. Defense Security Cooperation Agency (DSCA) Defense Institute of Security Assistance Management (DISAM). Security Cooperation Programs Through Fiscal Year 2015. Web. 28 Jan. 2016. Available: http://www.disam.dsca.mil/documents/pubs/security_cooperation_programs_20150108.pdf

Academy for Crisis Management, Emergency Planning and Civil Protection (AKNZ)

Country:	Germany
Multisector:	Training and Equipping Operational Forces, Crisis Response and Disaster Preparedness
Authority:	n/a
Overseeing Agency:	Bundesministerium des Innern (BMI) (Federal Ministry of the Interior)
Implementing Agency:	Bundesamt für Bevölkerungsschutz und Katastrophenhilfe (BBK) (The Federal Office of Civil Protection and Disaster Assistance)
Implementing Personnel:	[none found at time of report]
Budget:	[none found at time of report]

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[51] Primary sources are listed for each programmatic entry. Additional sources include: Querine Hanlon and Richard H. Shultz, Jr., eds., *Prioritizing Security Sector Reform: A New U.S. Approach* (Washington, DC: USIP Press, March 2016), 211-234; Nate Wilson, Eric Loui, and Seth Maddox. "U.S. Security Assistance: Interagency Cross-Cut Briefing Book," (Unpublished Report, American University, 2012);

Capability:	To train international partners in crisis management and emergency planning. Seminars and courses are geared toward executive roles in the five pillars (civil protection, police, the armed forces, services, critical infrastructure companies) of civil safety precaution at the national level.
Guiding Documents:	None
Source:	BKK, *Academy for Crisis Management, Emergency Planning and Civil Protection* (BBK, 2013), accessed January 16, 2016. Available: http://www.bbk.bund.de/SharedDocs/Downloads/BBK/EN/booklets_leaflets/Flyer_AKNZ-en.pdf?__blob=publicationFile

Australian Civilian Corps (ACC)

Country:	Australia
Authority:	n/a
Overseeing Agency:	Department of Foreign Affairs and Trade
Implementing Agency:	Australian Civilian Corps (ACC)
Implementing Personnel:	Australian Civilian Corps (ACC) specialists
Budget:	AUS 7.9 million (2014-2015)
Capability:	To provide Australian specialists, primarily to help countries in the Indo-Pacific region, to prevent, prepare for stabilize and recover from disasters and conflict.
Guiding Documents:	[none found at time of report]
Source:	Australian Department of Foreign Affairs and Trade. "Overview of the Australian Civilian Corps." Australian Civilian Corps. Available: http://dfat.gov.au/aid/topics/investment-priorities/building-resilience/acc/Pages/australian-civilian-corps.aspx

Building resilience and adaptation to climate extremes and disasters programme (BRACED)

Country:	United Kingdom
Multisector:	Institution Building, Crisis Response and Disaster Preparedness
Authority:	The International Development Act of 2002 and the International Development (Reporting and Transparency) Act of 2006.
Overseeing Agency:	Department for International Development (DFID)
Implementing Agency:	Non-governmental organizations (NGOs)
Implementing Personnel:	NGO personnel and local partners
Budget:	[none at time of report]
Capability:	To improve national policies and institutions to better integrate disaster risk reduction (DRR), climate adaptation and development approaches, and to build the resilience of people to extreme climate events. Countries include: Burma, Nepal, Ethiopia,

	Pakistan, Kenya, Sudan, South Sudan, Uganda, Mozambique, Sahel, Burkina Faso, Chad, Mali, Mauritania, Niger and Senegal.
Guiding Documents:	Humanitarian and Emergency Response Review
Source:	Department for International Development, "Building resilience and adaptation to climate extremes and disasters programme (BRACED)," UK.gov, (Aug. 26, 2014), accessed Feb. 18, 2016. Available: https://www.gov.uk/international-development-funding/building-resilience-and-adaptation-to-climate-extremes-and-disasters-programme

Capacity Building for Emergency Response in Africa

Country:	Canada
Multisector:	Institution Building, Crisis Response and Disaster Preparedness
Authority:	[none found at time of report]
Overseeing Agency:	Department of International Affairs, Trade and Development (DFATD)
Implementing Agency:	Canadian Red Cross Society
Implementing Personnel:	Canadian Red Cross Society
Budget:	Maximum DFATD Contribution: CAD 9.9 million
Capability:	To provide training and technical assistance to strengthen the institutional capacity of the four targeted Red Cross National Societies in Africa based on their identified needs in three areas: (1) improving emergency preparedness and response practices and support systems; (2) improving leadership in emergency response; and (3) improving resource mobilization for emergency response.
Guiding Document:	[none found at time of report]
Source:	Foreign Affairs, Trade, and Development Canada, "Project profile: Capacity Building for Emergency Response in Africa," (March 25, 2015), accessed Feb. 18, 2016. Available: http://www.acdi-cida.gc.ca/cidaweb/cpo.nsf/vLUWebProjEn/7E1DF906D3F3CD7F85257CA70035ADA5?OpenDocument

Capacity Building for Emergency Response in the Americas

Country:	Canada
Multisector:	Institution Building, Crisis Response and Disaster Preparedness
Authority:	[none found at time of report]
Overseeing Agency:	Department of International Affairs, Trade and Development (DFATD)
Implementing Agency:	Canadian Red Cross Society
Implementing Personnel:	Canadian Red Cross Society
Budget:	Maximum DFATD Contribution: CAD 9.9 million
Capability:	To provide training and technical assistance to improve the capacity of five Red Cross National Societies in the Americas to

respond to disasters and emergencies in an effective and timely manner. The project focuses on strengthening the institutional capacity of the five targeted Red Cross National Societies in the Americas based on their identified needs in three areas: (1) improving emergency preparedness and response practices and support systems; (2) improving leadership in emergency response; and (3) improving resource mobilization for emergency response.

Guiding Document:	[none found at time of report]
Source:	Foreign Affairs, Trade and Development Canada, "Project profile: Capacity Building for Emergency Response in the Americas," (March 25, 2015), accessed Feb. 18, 2016. Available: http://www.acdi-cida.gc.ca/cidaweb/cpo.nsf/vWebCCEn/3942A842D17314D885257C6E003B2352

Civil Peace Service (CPS): Crisis prevention and conflict transformation in the area of cross-border transhumance

Country:	Germany
Authority:	Commissioned by: German Federal Ministry for Economic Cooperation and Development (BMZ)
Overseeing Agency:	Gesellschaft für internationale Zusammenarbeit (GIZ) - German international development organization
Implementing Agency:	[none at time of report]
Implementing Personnel:	Civil peace service and state and civil society actors
Budget:	[none at time of report]
Capability:	To strengthen the responsible institutions and existing mechanisms for crisis prevention and conflict prevention. CPS also supports the active lobbying work of competent civil society organizations to ensure that the concerns of migratory herders are firmly incorporated into local, regional, and national development and decision-making processes. The program operates in Niger, Burkina Faso, and Benin.
Guiding Documents:	None
Source:	Gesellschaft für internationale Zusammenarbeit (GIZ), "Civil Peace Service: Crisis prevention and conflict transformation in the area of cross-border transhumance," accessed Feb. 18, 2016. Available: https://www.giz.de/en/worldwide/31624.html

Complex Crisis Fund (CCF) (Replacing Section 1207)

Country:	United States
Multisector:	Training and Equipping Operational Forces, Training Judicial Actors, Training Civil Society, Institution Building, Oversight and Governance, Crisis Response and Disaster Preparedness, Infrastructure Development, Economic Development

Authority:	Established through: Consolidated Appropriations Act, 2010, H.R.3288, 111th Congress (2010)
Overseeing Agency:	Department of State
Implementing Agency:	U.S. Agency for International Development (USAID), Office of Program, Policy and Management (PPM)
Implementing Personnel:	Contractors and other implementers TBD
Budget:	$40 million (FY2014)
Capability:	To fund projects aimed at addressing and preventing the root causes of conflict and instability through a whole-of-government approach, including host government participation, as well as other partner resources. CCF can also be used to support sustainable programs that help to create the conditions for longer-term development. Meant to replace Section 1207 which authorized the Department of Defense to transfer funds to the Department of State for stabilization and reconstruction activities.
Guiding Documents:	[none found at time of report]
Source:	Consolidated Appropriations Act, 2010, H.R.3288, 111th Congress (2010) Department of State. Fiscal Year 2016 Congressional Budget Justification: Foreign Operations, and Related Programs. (pp. 82) Web. 23 Feb. 2015. Available: http://www.usaid.gov/results-and-data/budget-spending

Conflict, Stability and Security Fund (CSSF)

Country:	United Kingdom
Multi-sector:	Training and Equipping Operational Forces, Training of Judicial Actors, Training Civil Society, Institution Building, Oversight and Governance, Crisis Response and Disaster Preparedness
Authority:	National Security Council and the Building Stability Overseas Board (BSOB), a tri-departmental board chaired on a rotating basis by DFID, FCO and MOD and includes representatives from the Cabinet Office and Stabilisation Unit (SU)
Overseeing Agency:	National Security Council
Implementing Agency:	National Security Secretariat Joint Hub
Implementing Personnel:	UK delivers directly or through third parties; also for contributions to multilateral interventions overseas to help prevent conflict and instability and to support post-conflict stabilization.
Budget:	£1.3 billion in 2016-17
Capability:	To fund a broad range of activity (military training, human rights training, security and justice sector reform, and facilitating political reconciliation and peace processes) to help prevent conflict that affects vulnerable people in the world's poorest countries and tackle threats to UK interests from instability overseas. This will include actions the UK delivers directly or through third parties

and its contribution to multilateral interventions overseas to help prevent conflict and instability and support postconflict stabilization.

Guiding Documents:	None
Source:	United Kingdom, HM Treasury, "Spending Round 2013", Cm 8639, (June 2013), 45, accessed January 20, 2016. Available: https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/209036/spending-round-2013-complete.pdf See also http://um.dk/en/~/media/UM/Danish-site/Documents/Danida/Resultater/Eval/201404AnnexF.pdf

Cyclone Pam Recovery Effort

Country:	Australia
Multi-sector:	Crisis Response and Disaster Preparedness
Authority:	n/a
Overseeing Agency:	Department of Foreign Affairs and Trade
Implementing Agency:	Department of Foreign Affairs and Trade/Australia Aid
Implementing Personnel:	[none found at time of report]
Budget:	Up to AUD 1 million, 2015-2016
Capability:	To support Tuvalu's long-term recovery and reconstruction efforts. This includes support to improve health services, re-establish crops and to strengthen the operations of the Tuvalu Red Cross and Tuvalu Government Disaster and Relief Coordination Unit.
Guiding Documents:	None
Source:	Australian Department of Foreign Affairs and Trade, "Environment and climate change in Tuvalu," Web. 26 Feb. 2016. Available: http://dfat.gov.au/geo/tuvalu/development-assistance/Pages/objective-3-environment-and-climate-change.aspx

Disaster-preventive reconstruction and livelihood stabilisation in Haiti, with a particular focus on persons with disabilities

Country:	Germany
Multi-sector:	Crisis Response and Disaster Preparedness
Authority:	n/a
Overseeing Agency:	German Federal Ministry for Economic Cooperation and Development (BMZ)
Implementing Agency:	Ministère de la Planification et de la Coopération Externe (MPCE)
Implementing Personnel:	[none found at time of report]
Budget:	[none found at time of report]
Capability:	To build the capacity of, and support local authorities in developing, the local economy, improving disaster risk

management, and improving waste management in four municipalities of the Région de Palmes of Haiti.

Guiding Documents:	None
Source:	Gesellschaft für internationale Zusammenarbeit, "Disaster-preventive reconstruction and livelihood stabilisation in Haiti, with a particular focus on persons with disabilities," Web. 25 March. 2016. Available: https://www.giz.de/en/worldwide/22399.html

German Partnership Program for Excellence in Biological and Health Security

Country:	Germany
Multi-Sector:	Institution Building, Crisis Response and Disaster Preparedness
Authority:	[None found at time of report]
Overseeing Agency:	Auswärtiges Amt (AA) - Federal Foreign Office
Implementing Agency:	Implemented around the world in cooperation with German institutions like Robert Koch Institute (RKI), Bernhard Nocht Institute for Tropical Medicine (BNI), Friedrich Loeffler Institute, and the Federal Research Institute for Animal Health (FLI)
Implementing Personnel:	[None found at time of report]
Budget:	€23 million over three years (2013‐2016)
Capability:	To strengthen health services and health systems in dealing with infectious agents by raising awareness, increasing biosafety and biosecurity, surveillance, detection and diagnostics, and networking.
Guiding Documents:	None
Source:	Auswärtiges Amt (AA) - Federal Foreign Office, "German Partnership Program for Excellence in Biological and Health Security," (Feb. 18, 2015), accessed Feb. 3, 2016. Available: http://www.auswaertiges-amt.de/EN/Aussenpolitik/Abruestung/BioChemie/Biosicherheitsprogramm.html

Global Partnership Program (GPP)

Country:	Canada
Multisector:	Institution Building, Crisis Response and Disaster Preparedness
Authority:	[none found at time of report]
Overseeing Agency:	Global Affairs Canada
Implementing Agency:	[none found at time of report]
Implementing Personnel:	[none found at time of report]
Budget:	CAD 73.4 million per year, over 5 years (2013-2018)
Capability:	To strengthen institutions around the world and prevent the proliferation of Weapons of Mass Destruction (WMD) in four main areas: Nuclear and radiological security, chemical weapons destruction, redirection of former weapons scientists, nuclear-

powered submarine dismantlement, and biological non-proliferation.

Guiding Document:	None
Sources:	Global Affairs Canada, "Global Partnership Against the Spread of Weapons of Mass Destruction (GP)," (Aug. 11, 2015), accessed Feb. 18, 2016. Available: http://www.international.gc.ca/gpp-ppm/global_partnership-partenariat_mondial.aspx?lang=eng

Program for the Enhancement of Emergency Response (PEER)

Country:	United States
Authority:	[none found at time of report]
Overseeing Agency:	US Agency for International Development (USAID)
Implementing Agency:	**Office of U.S. Foreign Disaster Assistance (OFDA)**
Implementing Personnel:	Asian Disaster Preparedness Center (ADPC) and the Kathmandu-based National Society for Earthquake Technology (NSET)
Budget:	$500,000 FY2015 for Phase 4
Capability:	To train and develop professional emergency responders and instructors to promote disaster preparedness and to assist local, regional, and national disaster management agencies in 10 Asian countries. In previous phases, PEER has organized and conducted standardized trainings for more than 4,000 disaster response professionals in medical first response, collapsed structure search and rescue, and hospital preparedness for mass casualties.
Guiding Document:	None
Sources:	US Agency for International Development (USAID), "Disaster Risk Reduction Information Resources," (Jan. 11, 2016), accessed March 24, 2016. Available: https://www.usaid.gov/what-we-do/working-crises-and-conflict/disaster-risk-reduction/resources

Programme d'Appui à la Consolidation de la Décentralisation au Mali (PACDM)

Country:	France
Authority:	n/a
Overseeing Agency:	Agence Française de Développement (ADF)
Implementing Agency:	Ministère des Collectivités Territoriales et des Collectivités Locales (MATCL) - Malian ministry
Implementing Personnel:	[none found at time of report]
Budget:	€5.5 million
Capability:	To provide technical support in Mali to develop the capacities of local authorities in sustainable economic development and to develop and implement regional development policy and spatial planning.

Guiding Documents:	"Programme d'Appui à la Consolidation de la Décentralisation au Mali," accessed Feb. 18, 2016. Available: http://www.afd.fr/base-projets/downloadDocument.action?idDocument=1577
Source:	"Programme d'Appui à la Consolidation de la Décentralisation au Mali," accessed Feb. 18, 2016. Available: http://www.afd.fr/base-projets/downloadDocument.action?idDocument=1577

Regional Disaster Assistance Program (RDAP)

Country:	United States
Authority:	[none found at time of report]
Overseeing Agency:	US Agency for International Development (USAID)
Implementing Agency:	**Office of U.S. Foreign Disaster Assistance (OFDA)**
Implementing Personnel:	International Resources Group (IRG) /Engility
Budget:	$5.1 million FY2015
Capability:	To train and expand local and regional capabilities, improved intra- and inter-governmental coordination, and to strengthen disaster preparedness, mitigation, and risk management activities in the Latin America and Caribbean regions.
Guiding Document:	None
Sources:	US Agency for International Development (USAID), "Disaster Risk Reduction Information Resources," (Jan. 11, 2016), accessed March 24, 2016. Available: https://www.usaid.gov/what-we-do/working-crises-and-conflict/disaster-risk-reduction/resources

Rescue Program for National Development (RESPOND)

Country:	United States
Authority:	[none found at time of report]
Overseeing Agency:	US Agency for International Development (USAID)
Implementing Agency:	**Office of U.S. Foreign Disaster Assistance (OFDA)**
Implementing Personnel:	[none found at time of report]
Budget:	$1 million FY2015
Capability:	To train and build the emergency response capacity of countries in southern Africa. The program offered accredited rescue training courses and other capacity-building measures to first responders in Botswana, Malawi, Namibia, and Zambia, forming teams able to handle sudden-onset disasters both locally and across the region.
Guiding Document:	None
Sources:	US Agency for International Development (USAID), "Disaster Risk Reduction Information Resources," (Jan. 11, 2016), accessed March 24, 2016. Available: https://www.usaid.gov/what-we-do/working-crises-and-conflict/disaster-risk-reduction/resources

Programs by Country

Australia
Australian Civilian Corps (ACC)
Cyclone Pam Recovery Effort

Canada
Capacity Building for Emergency Response in Africa
Capacity Building for Emergency Response in the Americas
Global Partnership Program (GPP)

France
Programme d'Appui à la Consolidation de la Décentralisation au Mali (PACDM)

Germany

Academy for Crisis Management, Emergency Planning and Civil Protection (AKNZ)

Civil Peace Service (CPS): Crisis prevention and conflict transformation in the area of cross-border transhumance
Disaster-preventive reconstruction and livelihood stabilisation in Haiti, with a particular focus on persons with disabilities
German Partnership Program for Excellence in Biological and Health Security

United Kingdom
Building resilience and adaptation to climate extremes and disasters programme (BRACED)
Conflict, Stability and Security Fund (CSSF)

United States
 "1204" Authority to Conduct Activities to Enhance the Capability of Foreign Countries to Respond to Incidents involving Weapons of Mass Destruction
Complex Crisis Fund (CCF) (Replacing Section 1207)
Program for the Enhancement of Emergency Response (PEER)
Regional Disaster Assistance Program (RDAP)
Rescue Program for National Development (RESPOND)

Chapter 12

Capabilities for Infrastructure Development

Introduction

A seventh category of capabilities that can be used to build the capacity of host countries are the programs for infrastructure development. This is a broad category that includes many sectors with institution building needs, including agriculture, education, military and internal security, and economic development.

Five of the six countries surveyed—the United States and four key partners, Australia, France, Germany and the United Kingdom—have capacity building programs for infrastructure development. Each of these programs is detailed in the sections below. Some of these programs stipulate the provision of infrastructure development for a *type of actor,* such as the military, the internal security forces, secondary education institutions, or the ministry of agriculture. Others are defined by the *type of activity*—such as infrastructure development to support primary crop and livestock production, aquaculture, food security and nutrition, quality of science education, transportation of security forces, water and sanitation, electricity, healthcare, and secondary and post-secondary education. Regardless of how the program is defined, those included in this section focus their capacity building activities and funding on infrastructure development. Capabilities for training actors, such as the armed forces or the police, or of institution building, fall under a separate category and are listed in separate chapters.

As this chapter details, there are multiple programs for some actors and fewer programs for others. Alternatively, there are also programs that have a much broader mandate than merely building capacity through infrastructure development. These programs are classified as "multi-sector," and they appear in each relevant capability chapter within this manual.

How to Use the Capabilities for Better Outcomes and Impacts

The capabilities for infrastructure development provide "capacity builders"— the policymakers, planners, and program managers—with information with which to develop policy guidance and plan, design, and implement holistic capacity building activities in a Host Country. These capabilities are provided not just to increase access to information about the capabilities that can be utilized to do sustainable capacity building, but also to enable capacity builders to plan, design, and implement activities or missions that can achieve their intended outcomes and impact.

Readers of this manual should first think about the assets they currently have for supporting capacity building activities in the Host Country. Framed by the capacity building mandate for the host country, planners, and program managers should inventory the tools they can employ and identify gaps. For example, their agency may have programs to build the capacity of the agriculture sector for livestock and crop rotation, but lack the capabilities for water and sanitation, or electricity development. The capabilities included in this chapter provide a comprehensive catalogue of available capabilities in their home agency or country and among their Partners. They also provide a starting point for capacity builders to begin planning and designing holistic capacity building activities and missions.

With this information at hand, capacity builders can reach out to their interagency and partner nation counterparts at the policy, planning, and design stages to develop a holistic capacity

building response—at the outset—and not on the ground, where holistic capacity building takes place currently. Using the example of a capacity building mission that aims at enhancing the agricultural sector, a capacity building response that addresses both the capacity to develop and manage livestock and crop rotation and one that addresses water, sanitation, and electricity generation, is more likely to achieve its intended outcome and longer term impact. It also guards against the likelihood that capacity building efforts delivered by partner nations overlap—for example, multiple capacity building programs to enhance the capacity for growing a particular crop—and of missed opportunities (none of the programs address the infrastructure for water or electricity). Such instances of costly and duplicative overlap, and of missed opportunities, are far too common. At best, efforts are made by implementers to coordinate delivery on the ground. The approach in this manual is to move this coordination to the very beginning of the policymaking, planning, and design stages to better husband resources and to increase the likelihood of outcomes and impacts. When countries work holistically from the outset of the capacity building mission, it increases the likelihood that their activities will be more comprehensive in scope—further enhancing the impact of any assistance provided.

Finally, policymakers, planners, and program managers need to rethink how to use these capabilities to build sustainable capacity. Capacity building is not just about providing capabilities. Capacity building refers to the process by which people or institutions are taught capacity—the knowledge of how to deploy a capability effectively. In other words, capacity is "how something is done" whereas a capability is a "tool" used to get it done. Working holistically with interagency and partner counterparts, policymakers, planners, and program managers can use these capabilities to support capacity building activities that go beyond merely providing capabilities.

It is the purpose of this chapter to help policymakers, planners, and program managers to know more about what capabilities exist to build the capacity for infrastructure development. But it has a larger purpose as well—to guide them to work holistically and to build sustainable capacity to enable the foreign assistance programs they manage to better achieve their intended outcomes and impact.

Programs for Infrastructure Development

The assessment of the programs for building the capacity infrastructure development yielded 18 programs. For each of the programs detailed below, the following information is provided:

1. Name of Program
2. Country
3. Multisector (if applicable)
4. Name of Authority (if applicable)
5. Overseeing Agency, Department, or Ministry
6. Implementing Agency, Department, Ministry or Contractor
7. Budget (estimate or actual amount from latest budget year available)
8. Summary of the program and its purpose or intended use.
9. Guiding documents (policy documents, manuals and directives relevant to the program).
10. Source[52]

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[52] Primary sources are listed for each programmatic entry. Additional sources include: Querine Hanlon and Richard H. Shultz, Jr., eds., *Prioritizing Security Sector Reform: A New U.S. Approach* (Washington, DC: USIP Press,

These programs are listed alphabetically by program name below. At the end of the chapter, all the programs are also listed by country.

The Agri-Tech Catalyst

Country:	United Kingdom
Multi-Sector:	Infrastructure Development, Economic Development
Authority:	The International Development Act of 2002 and the International Development (Reporting and Transparency) Act of 2006.
Overseeing Agency:	Department for International Development (DFID
Implementing Agency:	Non-governmental organizations (NGOs), Companies, and Educational institutions
Implementing Personnel:	NGO personnel and local partners
Budget:	£70 million
Capability:	To fund collaborative projects, taking innovative ideas from any sector or discipline, to tackle challenges in agriculture. Funds available for: Afghanistan, Bangladesh, Burma, Democratic Republic of Congo, Ethiopia, Ghana, India, Kenya, Kyrgyzstan, Liberia, Malawi, Mozambique, Nepal, Nigeria, Pakistan, Rwanda, Sierra Leone, Somalia, South Africa, Sudan, South Sudan, Tajikistan, Tanzania, Uganda, Yemen, Zambia, and Zimbabwe. The Agri-Tech Catalyst funds proposals relating to primary crop and livestock production, including aquaculture; non-food uses of arable crops (for example, biomass); food security and nutrition challenges in international development; and challenges in downstream food processing, provided the solution lies in primary production.
Guiding Documents:	None
Source:	"International Development Funding: The Agri-Tech Catalyst," gov.uk, (July 31, 2015), accessed Feb. 19, 2016. Available: https://www.gov.uk/international-development-funding/the-agri-tech-catalyst

Appui à PISE III (Programme d'Investissement du Secteur de l'Education au Mali)

Country:	France
Multisector:	Institution Building, Infrastructure Development
Authority:	n/a
Overseeing Agency:	Agence Française de Développement - French Development Agency (AFD)
Implementing Agency:	AFD, Malian Ministry of Education

March 2016), 211-234; Nate Wilson, Eric Loui, and Seth Maddox. "U.S. Security Assistance: Interagency Cross-Cut Briefing Book," (Unpublished Report, American University, 2012);

Implementing Personnel:	[None found at time of report]
Budget:	€8 million
Capability:	To support the construction and equipment of three public high schools in Bamako and to strengthen the capacities of actors in secondary education institutions to improving the quality of science education.
Guiding Documents:	http://www.afd.fr/base-projets/downloadDocument.action?idDocument=567
Source:	Agence Française de Développement, "Note De Communication Publique d'Operation," accessed February 3, 2016. Available: http://www.afd.fr/base-projets/downloadDocument.action?idDocument=567

Afghanistan Security Forces Fund (ASFF)

Country:	United States
Multisector:	Training and Equipping Operational Forces, Infrastructure Development
Authority:	Public Law 113-291. Created through the 2005 Emergency Supplemental Appropriations Act for Defense, the Global War on Terror and Tsunami Relief.
Overseeing Agency:	Department of Defense, with concurrence of the Secretary of State
Implementing Agency:	Combined Security Transition Command - Afghanistan (CSTC-A)
Implementing Personnel:	U.S. Army, General Purpose Forces
Budget:	$4.1 billion (FY2015)
Capability:	To train the Afghanistan National Security Forces (ANSF), including the Afghan National Army, the Afghan National Police and the Afghan Local Police, including funding infrastructure, equipment, transportation, and operations.
Guiding Documents:	None
Source:	Defense Security Cooperation Agency, "BPC Programs and Authorities" *Security Assistance Management Manual* (accessed February 24, 2015). Available: http://www.samm.dsca.mil/table/table-c15t2#ASFF

Commander's Emergency Response Program (CERP)

Country:	United States
Authority:	Foreign Assistance Act of 1961, 22 USC. §2151.1. Humanitarian Assistance Authorizations and Appropriations exception.
Overseeing Agency:	Department of Defense
Implementing Agency:	Combatant Commands
Implementing Personnel:	General Purpose Forces, Contractors, NGOs, and other implementers TBD

Budget:	$6.5 million (FY2014)
Capability:	To fund small scale humanitarian relief and reconstruction needs in Iraq, Afghanistan, and the Philippines. The program is to be used specifically for development and stabilization projects and is restricted to certain project categories such as water and sanitation, electricity, healthcare, and education
Guiding Documents:	The Commanders' Emergency Response Program (CERP). ATP 1-06.2 (2013). http://armypubs.army.mil/doctrine/DR_pubs/dr_a/pdf/atp1_06x2.pdf
Source:	Headquarters Department of the Army. The Commanders' Emergency Response Program (CERP). ATP 1-06.2 (2013). Web. 26 Feb. 2015. Available: http://armypubs.army.mil/doctrine/DR_pubs/dr_a/pdf/atp1_06x2.pdf Department of Defense. Office of the Under Secretary of Defense (Comptroller). Operation and Maintenance Programs (0-1) Revolving and Management Funds (RF-1). 2015. Web. 26 Feb. 2015. Available: http://comptroller.defense.gov/Portals/45/documents/defbudget/fy2016/fy2016_o1.pdf Gregory Johnson, Vijaya Ramachandran, and Julie Walz, "The Commanders Emergency Response Program in Afghanistan: Refining U.S. Military Capabilities in Stability and In-Conflict Development Activities," *CGD Working Paper* 265 (Washington, DC: Center for Global Development, 2011), 6.

Complex Crisis Fund (CCF) (Replacing Section 1207)

Country:	United States
Multisector:	Training and Equipping Operational Forces, Training Judicial Actors, Training Civil Society, Institution Building, Oversight and Governance, Crisis Response and Disaster Preparedness, Infrastructure Development, Economic Development
Authority:	Established through: Consolidated Appropriations Act, 2010, H.R.3288, 111th Congress (2010)
Overseeing Agency:	Department of State
Implementing Agency:	U.S. Agency for International Development (USAID), Office of Program, Policy and Management (PPM)
Implementing Personnel:	Contractors and other implementers TBD
Budget:	$40 million (FY2014)
Capability:	To fund projects aimed at addressing and preventing the root causes of conflict and instability through a whole-of-government approach, including host government participation, as well as other partner resources. CCF can also be used to support sustainable

programs that help to create the conditions for longer-term development. Meant to replace Section 1207 which authorized the Department of Defense to transfer funds to the Department of State for stabilization and reconstruction activities.

Guiding Documents:	[none found at time of report]
Source:	Consolidated Appropriations Act, 2010, H.R.3288, 111th Congress (2010) Department of State. Fiscal Year 2016 Congressional Budget Justification: Foreign Operations, and Related Programs. (pp. 82) Web. 23 Feb. 2015. Available: http://www.usaid.gov/results-and-data/budget-spending

European Reassurance Initiative (ERI)

Country:	United States
Multisector:	Training and Equipping Operational Forces, Infrastructure Development
Authority:	Public Law 113-291
Overseeing Agency:	Department of Defense
Implementing Agency:	Defense Security Cooperation Agency (DSCA)
Implementing Personnel:	General Purpose Forces, Contractors, and NATO allies
Budget:	$985 million (FY2015)
Capability:	To train and provide bilateral and multilateral exercises with allies and partners, improved infrastructure to allow for greater responsiveness, enhanced prepositioning of U.S. equipment in Europe, and intensified efforts to build partner capacity for newer NATO members and other non-NATO partners like Georgia, Moldova, and Ukraine.
Guiding Documents:	None
Source:	Department of Defense, Office of the Under Secretary of Defense (Comptroller), United States Department of Defense Fiscal Year 2016 Budget Request: Overview, (2015), accessed Feb. 26, 2015. Available: http://comptroller.defense.gov/Portals/45/documents/defbudget/fy2016/fy2016_Budget_Request_Overview_Book.pdf Defense Security Cooperation Agency, "Security Assistance Management Manual: Table C15.T2.BPC Programs and Authorities," accessed February 24, 2015. Available: http://www.samm.dsca.mil/table/table-c15t2#ASFF

Food For Progress Program (FFPr)

Country:	United States
Authority:	7 U.S.C. 1736o; and 15 U.S.C. 714b and 714c
Overseeing Agency:	Department of Agriculture
Implementing Agency:	Foreign Agricultural Service (FAS)

Implementing Personnel:	Foreign Agricultural Service personnel
Budget:	$126.7 million
Capability:	To develop, strengthen, and modernize emerging democracies' agricultural sectors.
Guiding Documents:	Food Assistance Program Implementation Guidebook. Available: http://www.fas.usda.gov/sites/default/files/fas_food_assistance_programs_guidebook.pdf
Source:	Department of Agriculture. Foreign Agricultural Service. Food For Progress. Web. 25 Feb. 2015. Available: http://www.fas.usda.gov/programs/food-progress

Human Development Innovation Fund of Tanzania

Country:	United Kingdom
Authority:	The International Development Act of 2002 and the International Development (Reporting and Transparency) Act of 2006.
Overseeing Agency:	Department for International Development (DFID)
Implementing Agency:	Non-governmental organizations (NGOs), Companies, and Educational institutions
Implementing Personnel:	NGO personnel and local partners
Budget:	£30 million competitive challenge fund
Capability:	To fund grants to organizations driving innovative approaches which aim to improve the quality, value-for-money, and sustainability of basic services across Tanzania.
Guiding Documents:	None
Source:	"International Development Funding: Human Development Innovation Fund of Tanzania," Human.gov. Available: https://www.gov.human/international-development-funding/human-of-tanzania

Indonesia Infrastructure Initiative (IndII) Phase II

Country:	Australia
Multisector:	Infrastructure Development, Economic Development
Authority:	n/a
Overseeing Agency:	Department of Foreign Affairs and Trade
Implementing Agency:	Australian Aid
Implementing Personnel:	SMEC International
Budget:	AUS 336 million, for 2005-2014
Capabilities:	To promote economic growth by working with the Government of Indonesia to enhance infrastructure policy, planning, and investment.
Guiding Documents:	"Indonesia Infrastructure Initiative Phase II Implementation Document July 2011 - June 2015," Available: http://www.dfat.gov.au/about-

us/publications/Documents/infrastructure-imp-doc-annexes-ipm.pdf

Source:	Australian Aid "Indonesia Infrastructure Initiative." March 19, 2015. Available: http://www.indii.co.id/
	Australian Department of Foreign Affairs and Trade. "Infrastructure Assistance in Indonesia". Development Assistance in Indonesia. Available: http://www.dfat.gov.au/geo/indonesia/development-assistance/Pages/infrastructure-assistance-in-indonesia.aspx

Law Enforcement Cooperation Program (LECP)

Country:	Australia
Multisector:	Training and Equipping Operational Forces, Training Judicial Actors, Infrastructure Development
Authority:	Established in 1997 and funded from allocations in the National Illicit Drugs Strategy until 2007. Now funded under existing AFP allocation in the Serious and Organised Crime Portfolio
Overseeing Agency:	Australian Federal Police (AFP)
Implementing Agency:	Australian Federal Police (AFP) Serious and Organized Crime
Implementing Personnel:	LECP staff in coordination with AFP international liaison officers
Budget:	AUS 1.2 million (2012)
Capability:	To train foreign law enforcement agencies to gather information and evidence against illicit drug traffickers; to provide equipment; improve infrastructure of foreign law enforcement agencies; improve operational understanding dealing with international crime; and foster closer personal and institutional linkages.
Guiding Documents:	None
Source:	Australian Federal Police, "Law Enforcement Cooperation Program," *International Liaison*, (2015), accessed January 28, 2016. Available: http://www.afp.gov.au/policing/international-liaison/law-enforcement-cooperation-program Australian Parliament, "Senate Standing Committee on Legal and Constitutional Affairs: Australian Federal Police," (October 18, 2011), accessed January 28, 2016. Available: http://www.aph.gov.au/~/media/Estimates/Live/legcon_ctte/estimates/sup_1112/ag/QoN_32_AFP.ashx Australian Federal Police, "Law Enforcement Cooperation Program," *International Liaison*, (2015), accessed January 28, 2016. Available: http://www.afp.gov.au/policing/international-liaison/law-enforcement-cooperation-program

McGovern-Dole International Food for Education and Child Nutrition Programs

Country:	United States
Authority:	7 U.S.C. 1736o-1

Overseeing Agency:	Department of Agriculture
Implementing Agency:	Foreign Agricultural Service
Implementing Personnel:	Non-profit charitable organizations, cooperatives, the United Nations World Food Program and other
Budget:	$174 million (FY201)
Capability:	To provide training for teachers with the goal of boosting school enrollment and academic performance in low-income countries around the globe. The program also supports food security by providing school meals and by offering nutrition programs for pregnant and nursing women, infants, and preschoolers with the goal that targeted communities continue the sponsored activities on their own or with support from other sources such as the host government or local community.
Guiding Documents:	Food Assistance Program Implementation Guidebook. http://www.fas.usda.gov/sites/default/files/fas_food_assistance_programs_guidebook.pdf
Source:	Department of Agriculture. Foreign Agricultural Service. McGovern-Dole Food for Education Program. Web. 25 Feb. 2015. Available: http://www.fas.usda.gov/programs/mcgovern-dole-food-education-program Department of State. Congressional Budget Justification: Department of State, Foreign Operations, and Related Programs. 2015. Web. 25 Feb. 2015. Available: http://www.usaid.gov/sites/default/files/documents/9276/222898.pdf

Pacific Islands Program

Country:	Australia
Multi-sector:	Institution Building, Infrastructure Development
Authority:	n/a
Overseeing Agency:	Department of Foreign Affairs and Trade
Implementing Agency:	Department of Foreign Affairs and Trade/Australia Aid
Implementing Personnel:	Royal Australasian College of Surgeons
Budget:	AUS 8 million, 2001-2016
Capability:	To train and strengthen the capacity of local medical staff and improve hospital planning and management of clinical services in 11 Pacific Island Countries. The initiative also strengthens local capacity to provide specialist medical services and promotes national ownership of health planning and management.
Guiding Documents:	None
Source:	Australian Department of Foreign Affairs and Trade, "Pacific Regional—Healthy and resilient communities," Web. 26 Feb. 2016. Available: http://dfat.gov.au/geo/pacific/development-assistance/Pages/health-assistance-pacific-regional.aspx

Pacific Women Shaping Pacific Development

Country:	Australia
Multi-sector:	Training and Equipping Operational Forces, Training and Technical Assistance for Judicial Actors, Training Civil Society, Institution Building, Oversight and Governance
Authority:	n/a
Overseeing Agency:	Department of Foreign Affairs and Trade
Implementing Agency:	Department of Foreign Affairs and Trade/Australia Aid
Implementing Personnel:	[none found at time of report]
Budget:	Up to AUS 320 million, 2012-2013 – 2021-2022
Capability:	To build the capacity of Pacific women MPs, parliamentary staff, and the institutions in which they work to better address gender inequalities, to improve infrastructure and management of produce markets in PNG, Fiji, Vanuatu, and Solomon Islands, to improve law enforcement, justice systems and the coordination of service providers, and to strengthen the collection and analysis of data to better track outcomes.
Guiding Documents:	None
Source:	Australian Department of Foreign Affairs and Trade, "Pacific Regional—Empowering Women and Girls," Web. 26 Feb. 2016. Available: http://dfat.gov.au/geo/pacific/development-assistance/Pages/gender-equality-pacific-regional.aspx

Pakistan Counterinsurgency Capability Fund (PCCF)

Country:	United States
Multisector:	Training and Equipping Operational Forces, Infrastructure Development
Authority:	Public Law 112-74
Overseeing Agency:	Department of State with concurrence of the Secretary of Defense
Implementing Agency:	Department of State Regional Bureaus and Defense Security Cooperation Agency (DSCA)
Implementing Personnel:	[none found at time of report]
Budget:	$850 million (FY2012)
Capability:	To train and assist Pakistan security forces, including the provision of equipment, supplies, services, training and funds, facility and infrastructure repair, and renovation and construction to build the counterinsurgency capabilities of Pakistani military and Frontier Corps.
Guiding Documents:	None
Source:	Department of State, "Congressional Budget Justification: Foreign Assistance - Summary Tables," (2014), accessed Feb. 25, 2015.

Papua New Guinea Australia Policing Partnership

Country:	Australia
Multisector:	Training and Equipping Operational Forces, Institution Building, Infrastructure Development
Authority:	n/a
Overseeing Agency:	Australian Federal Police (AFP)
Implementing Agency:	International Deployment Group (IDG)
Implementing Personnel:	AFP Advisors
Budget:	Part of the International Police Assistance Budget, AUS 312 million (2013-14)
Capability:	To enhance professional development, logistics, and infrastructure; project management development; and professional standards along with fraud and anti-corruption, including financial intelligence. Program operates only with the Royal Papua New Guinea Constabulary (RPNGC) service.
Guiding Documents:	None
Source:	Australian Attorney-General's Office, "Australian Federal Police, Section 1.3 Budget Measures," In Portfolio Budget Statements 2014-15, 139, Commonwealth of Australia, (2014), accessed February 3, 2016. Available: http://www.ag.gov.au/Publications/Budgets/Budget2014-15/Documents/00%20Attorney-General%20s%20portfolio%20PBS%202014-15%20full%20book.PDF Australian Federal Police, "International Deployment Group," (2015), accessed February 3, 2016. Available: http://www.afp.gov.au/policing/international-deployment-group

Papua New Guinea Education Program

Country:	Australia
Multi-sector:	Institution Building, Infrastructure Development
Authority:	n/a
Overseeing Agency:	Department of Foreign Affairs and Trade
Implementing Agency:	Department of Foreign Affairs and Trade/Australia Aid
Implementing Personnel:	[none found at time of report]
Budget:	Up to AUS 243.93 million, 2011-2016
Capability:	To improve the quality of teaching and learning, to increase access to education, and to build infrastructure of schools at the primary school level and in higher education with universities, colleges, and vocational schools.

Guiding Documents:	"Papua New Guinea Education Program Education Delivery Strategy" (2012). Available: http://dfat.gov.au/about-us/publications/Pages/papua-new-guinea-education-program-education-delivery-strategy.aspx
Source:	Australian Department of Foreign Affairs and Trade, "Enhancing human development in Papua New Guinea," Web. 26 Feb. 2016. Available: http://dfat.gov.au/geo/papua-new-guinea/development-assistance/Pages/enhancing-human-development-png.aspx

Police Programme Africa

Country:	Germany
Multi-sector:	Infrastructure Development, Institution Building, Training and Equipping of Operational Forces
Authority:	Commissioned by: Auswärtiges Amt (AA) - Federal Foreign Office
Overseeing Agency:	Gesellschaft für internationale Zusammenarbeit - German International Development Organization (GIZ)
Implementing Agency:	National ministries for internal security and national police structures; regional organizations
Implementing Personnel:	[none found at time of report]
Budget:	[none found at time of report]
Capability:	To train and advise for improving training, infrastructure, and equipment levels and to strengthen the capacities of national police structures in seven countries of sub-Saharan Africa and the Sahel region.
Guiding Documents:	None
Source:	Gesellschaft für internationale Zusammenarbeit (GIZ), "Police Programme Africa," accessed January 20, 2016. Available: http://www.giz.de/en/worldwide/15637.html

Timor Leste Police Development Program (TLPDP)

Country:	Australia
Multisector:	Training and Equipping of Operational Forces, Institution Building, Infrastructure Development
Authority:	n/a
Overseeing Agency:	Australian Federal Police (AFP)
Implementing Agency:	International Deployment Group (IDG)
Implementing Personnel:	AFP Police Officers, unsworn AFP staff, civilian specialists and locally employed staff
Budget:	AUS 7.9 million (2014-2015)
Capability:	To assist the Government of Republica Democratica de Timor-Leste to build the foundations of an effective and accountable

	police service. The program focuses on the provision of advice, training, infrastructure, and enabling tools.
Guiding Documents:	None
Source:	Australian Attorney-General's Office, "Australian Federal Police, Section 1.3 Budget Measures," In Portfolio Budget Statements 2014-15, 139, Commonwealth of Australia, (2014), accessed February 3, 2016. Available: http://www.ag.gov.au/Publications/Budgets/Budget2014-15/Documents/00%20Attorney-General%20s%20portfolio%20PBS%202014-15%20full%20book.PDF Australian Federal Police, "International Deployment Group," (2015), accessed February 3, 2016. Available: http://www.afp.gov.au/policing/international-deployment-group

Program by Country

Australia
Indonesia Infrastructure Initiative (IndII) Phase II
Law Enforcement Cooperation Program (LECP)
Pacific Islands Program
Pacific Women Shaping Pacific Development
Papua New Guinea Australia Policing Partnership
Papua New Guinea Education Program
Timor Leste Police Development Program (TLPDP)

Canada
None

France
Appui à PISE III (Programme d'Investissement du Secteur de l'Education au Mali)

Germany
Police Programme Africa

United Kingdom
The Agri-Tech Catalyst
Human Development Innovation Fund of Tanzania

United States

Afghanistan Security Forces Fund (ASFF)

Commander's Emergency Response Program (CERP)
Complex Crisis Fund (CCF) (Replacing Section 1207)
European Reassurance Initiative (ERI)
Food For Progress Program (FFPr)

McGovern-Dole International Food for Education and Child Nutrition Programs
Pakistan Counterinsurgency Capability Fund (PCCF)

Chapter 13

Capabilities for Economic Development

Introduction

The final category of capabilities that can be used to build the capacity of host countries are the programs for economic development. This is a broad category that includes many sectors within a Host Country's economy, including agriculture, the financial sector, and private enterprise. It also encompasses particular segments of the economy, including youth, small or family owned businesses, private education enterprises, and the petroleum industry.

All of the six countries surveyed—the United States and five key partners, Australia, Canada, France, Germany and the United Kingdom—have programs for building capacity through economic development. Each of these programs is detailed in the sections below. Some of the programs stipulate the economic development for *a specific sector,* such as agriculture, the financial or petroleum industries, mining, the food and hotel industries, transportation, or trades (e.g. carpentry, mechanics, welding, and masonry). Others are defined by the *type of activity*— such as youth employment programs, the provision of loans or grants to support economic development, the promotion of private industry or the private sector, or the commercialization of certain foodstuffs. Regardless of how the program is defined, those included in this section focus their capacity building activities and funding on economic development. Capabilities for building infrastructure, such as transportation or irrigation, or for institution building, such as the creation of regulatory systems, fall under separate categories and are listed in a separate chapters.

As this chapter details, there are multiple programs for some actors and fewer programs for others. Alternatively, there are also programs that have a much broader mandate than merely building capacity through economic development. These programs are classified as "multi-sector," and they appear in each relevant capability chapter within this manual.

How to Use the Capabilities for Better Outcomes and Impacts

The capabilities for economic development provide "capacity builders"— the policymakers, planners, and program managers—with information with which to develop policy guidance and plan, design, and implement holistic capacity building activities in a Host Country. These capabilities are provided for the readers of this manual not just to increase access to information about the capabilities that can be utilized to do sustainable capacity building, but also to enable capacity builders to plan, design, and implement activities or missions that can achieve their intended outcomes and impact.

Readers of this manual should first think about the assets they currently have for supporting capacity building activities in the Host Country. Framed by the capacity building mandate for the host country, planners, and program managers should inventory the tools they can employ and identify gaps. For example, their agency may have programs to build the capacity for youth employment programs, but lack the capabilities for job development programs for other age groups or for specific industries. The capabilities included in this chapter provide a comprehensive catalogue of available capabilities in their home agency or country and among their Partners. They also provide a starting point for capacity builders to begin planning and designing capacity building activities and missions.

With this information at hand, capacity builders can reach out to their interagency and partner nation counterparts at the policy, planning, and design stages to develop a holistic capacity building response—at the outset—and not on the ground, where holistic capacity building takes place currently. Using the example of a capacity building mission that aims at enhancing youth employment, a capacity building response that addresses both the capacity to expand youth employment opportunities in private industry and in the public sector, is more likely to achieve its intended outcome and longer term impact. It also guards against the likelihood that capacity building efforts delivered by partner nations overlap—for example, multiple capacity building programs to develop youth employment opportunities in the agricultural sector—and of missed opportunities (none of the programs address public sector employment or promote the development of small family-owned businesses or youth entrepreneurship). Such instances of costly and duplicative overlap, and of missed opportunities, are far too common. At best, efforts are made by implementers to coordinate delivery on the ground. The approach in this manual is to move this coordination to the very beginning of the policymaking, planning, and design stages to better husband resources and to increase the likelihood of outcomes and impacts. When countries work together from the outset of the capacity building mission, it increases the likelihood that their activities will be more comprehensive in scope—further enhancing the impact of any assistance provided.

Finally, policymakers, planners, and program managers need to rethink how to use these capabilities to build sustainable capacity. Capacity building is not just about providing capabilities. Capacity building refers to the process by which people or institutions are taught capacity—the knowledge of how to deploy a capability effectively. In other words, capacity is "how something is done" whereas a capability is a "tool" used to get it done. Working holistically with interagency and partner counterparts, policymakers, planners, and program managers can use these capabilities to support capacity building activities that go beyond merely providing capabilities.

It is the purpose of this chapter to help policymakers, planners, and program managers to know more about what capabilities exist to build the capacity for economic development. But it has a larger purpose as well—to guide them to work holistically and to build sustainable capacity to enable the foreign assistance programs they manage to better achieve their intended outcomes and impact.

Programs for Economic Development

The assessment of the programs for building the capacity for economic development yielded 24 programs. For each of the programs detailed below, the following information is provided:

1. Name of Program
2. Country
3. Multisector (if applicable)
4. Name of Authority (if applicable)
5. Overseeing Agency, Department, or Ministry
6. Implementing Agency, Department, Ministry or Contractor
7. Implementing Personnel
8. Budget (estimate or actual amount from latest budget year available)
9. Summary of the program and its purpose or intended use.

10. Guiding documents (policy documents, manuals and directives relevant to the program).
11. Source[53]

These programs are listed alphabetically by program name below. At the end of the chapter, all the programs are also listed by country.

The Agri-Tech Catalyst

Country:	United Kingdom
Multi-Sector:	Infrastructure Development, Economic Development
Authority:	The International Development Act of 2002 and the International Development (Reporting and Transparency) Act of 2006.
Overseeing Agency:	Department for International Development (DFID
Implementing Agency:	Non-governmental organizations (NGOs), Companies, and Educational institutions
Implementing Personnel:	NGO personnel and local partners
Budget:	£70 million
Capability:	To fund collaborative projects, taking innovative ideas from any sector or discipline, to tackle challenges in agriculture. Funds available for: Afghanistan, Bangladesh, Burma, Democratic Republic of Congo, Ethiopia, Ghana, India, Kenya, Kyrgyzstan, Liberia, Malawi, Mozambique, Nepal, Nigeria, Pakistan, Rwanda, Sierra Leone, Somalia, South Africa, Sudan, South Sudan, Tajikistan, Tanzania, Uganda, Yemen, Zambia, and Zimbabwe. The Agri-Tech Catalyst will fund proposals relating to primary crop and livestock production, including aquaculture, non-food uses of arable crops (for example, biomass), food security and nutrition challenges in international development, and challenges in downstream food processing, provided the solution lies in primary production.
Guiding Documents:	None
Source:	"International Development Funding: The Agri-Tech Catalyst," gov.uk, (July 31, 2015), accessed Feb. 19, 2016. Available: https://www.gov.uk/international-development-funding/the-agri-tech-catalyst

Amélioration de la Compétitivité des Entreprises par la Formation professionnelle dans les régions de Sikasso et Ségou (Mali)

Country:	France
Authority:	n/a

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[53] Primary sources are listed for each programmatic entry. Additional sources include: Querine Hanlon and Richard H. Shultz, Jr., eds., *Prioritizing Security Sector Reform: A New U.S. Approach* (Washington, DC: USIP Press, March 2016), 211-234; Nate Wilson, Eric Loui, and Seth Maddox. "U.S. Security Assistance: Interagency Cross-Cut Briefing Book," (Unpublished Report, American University, 2012);

Overseeing Agency:	Agence Française de Développement (AFD) - French Development Agency
Implementing Agency:	Ministère de l'Emploi et de la Formation Professionnelle (MEFP) (Malian)
Implementing Personnel:	[none at time of report]
Budget:	€9 million
Capability:	To promote economic development and employment in two major agricultural regions of Mali by developing vocational training offering better adapted skills to the needs of formal and informal businesses and the agricultural sector for better competitiveness. Specific objectives include (1) to enhance regional training on farm-related businesses by creating two new specialized centers to accommodate 500 learners each year; (2) to develop, especially from these two centers, engineering and information services that can improve the effectiveness of existing training services and businesses, and (3) to strengthen the various institutions involved as well as their collaboration in the service of economic actors.
Guiding Documents:	None
Source:	Ministère des Affaires Étrangères et du Développement international, "Amélioration de la Compétitivité des Entreprises par la Formation professionnelle dans les régions de Sikasso et Ségou," accessed February 19, 2016. Available: http://www.afd.fr/base-projets/downloadDocument.action;jsessionid=7C58ED56A8AA1AEA2A1D85F1B8566BC4?idDocument=1574

Benin - Projet d'appui aux dynamiques productives (Project to Support Production Dynamics)

Country:	France
Authority:	n/a
Overseeing Agency:	Agence Française de Développement (AFD) - French Development Agency
Implementing Agency:	[none at time of report]
Implementing Personnel:	[none at time of report]
Budget:	€10 million
Capability:	To advise successful family enterprises and transparent growers' organizations in sustainability and to strengthen the production dynamics of cotton in a sustainable manner. This program is for the Beninese cotton producing regions.
Guiding Documents:	None
Source:	Ministère des Affaires Étrangères et du Développement international, "L'aide française au Bénin," (April 14, 2015), accessed February 19, 2016. Available: http://benin.transparence-

Burkina Faso - Agriculture durable et Sécurité Alimentaire (Sustainable Agriculture and Food Security)

Country:	France
Authority:	n/a
Overseeing Agency:	Agence Française de Développement (AFD) - French Development Agency
Implementing Agency:	Ministère de l'Agriculture et de l'Hydraulique (Burkinabé Ministry of Agriculture and Hydraulics)
Implementing Personnel:	SOS SAHEL International (French NGO)
Budget:	€1 million
Capability:	To train and strengthen the capacity of local actors to improve soil fertility and agricultural systems, facilitate the procurement of high-quality inputs, and to improve the management and commercialization of cereal stocks.
Guiding Documents:	None
Source:	Ministère des Affaires Étrangères et de Développement International, "Agriculture durable et Sécurité Alimentaire," accessed Feb. 19, 2016. Available: http://www.afd.fr/base-projets/downloadDocument.action?idDocument=1616

Capacity Building for Sustainable Irrigation and Agriculture

Country:	Canada
Authority:	[none at time of report]
Overseeing Agency:	Department of International Affairs, Trade and Development (DFATD) – now Global Affairs Canada
Implementing Agency:	[none at time of report]
Implementing Personnel:	Government of the Netherlands – Ministry of Foreign Affairs
Budget:	Maximum DFATD Contribution: CAD 15 million
Capability:	To instruct Ethiopian public and private institutions, including colleges, to better design, build, and manage small-scale irrigation and micro-irrigation systems. The project also aims to promote the role of the private sector as a key provider of services relating to irrigation.
Guiding Documents:	None
Source:	Foreign Affairs, Trade, and Development Canada, "Project profile: Capacity Building for Sustainable Irrigation and Agriculture," (March 25, 2015), accessed Feb. 19, 2016. Available: http://www.acdi-cida.gc.ca/cidaweb/cpo.nsf/vLUWebProjEn/8F6F77BEA9BDEF9285257BF10035A1F7?OpenDocument

Capacity-Building of Youth to Grow the Economy: a Public-Private Partnership

Country:	Canada
Authority:	[none at time of report]
Overseeing Agency:	Department of International Affairs, Trade and Development (DFATD) – now Global Affairs Canada
Implementing Agency:	Plan International Canada
Implementing Personnel:	Plan International Canada
Budget:	Maximum DFATD Contribution: CAD 5.6 million, co-financed by IAMGLOD
Capability:	To train and develop the job skills of approximately 9,000 young people to grow the economy in Burkina Faso with the goal of making young people more employable in occupations directly related to various sectors, including mining, sales and supply, the food and hotel industries, transportation, and trades (carpentry, mechanics, welding, and masonry).
Guiding Documents:	None
Source:	Foreign Affairs, Trade and Development Canada, "Project profile: Capacity-Building of Youth to Grow the Economy: a Public-Private Partnership," (March 25, 2015), accessed Feb. 19, 2016. Available: http://www.acdi-cida.gc.ca/cidaweb/cpo.nsf/vLUWebProjEn/20C477E0EDCA3CE6852579450037F6DF?OpenDocument

Comoros - Appui au secteur de la microfinance par le renforcement de la MECK-Moroni (Support for the Microfinance Sector by Strengthening MECK-Moroni)

Country:	France
Authority:	n/a
Overseeing Agency:	Agence Française de Développement (AFD) - French Development Agency
Implementing Agency:	Mutuelle d'Épargne et de Crédit Ya Komor - Moroni (MECK-Moroni) - Mutual Savings and Credit of Comoros - Moroni
Implementing Personnel:	MECK-Moroni as the primary contractor
Budget:	€650,000
Capability:	To assist in developing and professionalizing the financial sector of Comoros in order to ensure financial viability and sustainability.
Guiding Documents:	http://www.afd.fr/base-projets/downloadDocument.action?idDocument=1726
Source:	Ministère des Affaires Étrangères et du Développement international, "L'aide française au Comores," (April 2, 2015), accessed February 19, 2016. Available: http://comores.transparence-aide.gouv.fr/projects/appui-au-secteur-de-la-microfinance-par-le-renforcement-de-la-meck-moroni/#data

Comoros - Projet Appui au Renforcement des Administrations financières de l'Union des Comores (PARAF) (Project to Support the Strengthening of Financial Administration in the Union of Comoros)

Country:	France
Authority:	n/a
Overseeing Agency:	Ministère des Affaires Étrangères et du Développement international (MAEDI) - Ministry of Foreign Affairs and International Development
Implementing Agency:	[none at time of report]
Implementing Personnel:	[none at time of report]
Budget:	€500,000
Capability:	To strengthen the financial sector through public financial reform, increasing the ability to counter customs fraud, improving fiscal mobilization, and modernizing management of financial administrations.
Guiding Documents:	None
Source:	Ministère des Affaires Étrangères et du Développement international, "L'aide française au Comores," (April 2, 2015), accessed February 19, 2016. Available: http://comores.transparence-aide.gouv.fr/projects/projet-appui-au-renforcement-des-administrations-financieres-de-lunion-des-comores-paraf/#data

Complex Crisis Fund (CCF) (Replacing Section 1207)

Country:	United States
Multisector:	Training and Equipping Operational Forces, Training Judicial Actors, Training Civil Society, Institution Building, Oversight and Governance, Crisis Response and Disaster Preparedness, Infrastructure Development, Economic Development
Authority:	Established through: Consolidated Appropriations Act, 2010, H.R.3288, 111th Congress (2010)
Overseeing Agency:	Department of State
Implementing Agency:	U.S. Agency for International Development (USAID), Office of Program, Policy and Management (PPM)
Implementing Personnel:	Contractors and other implementers TBD
Budget:	$40 million (FY2014)
Capability:	To fund projects aimed at addressing and preventing the root causes of conflict and instability through a whole-of-government approach, including host government participation, as well as other partner resources. CCF can also be used to support sustainable programs that help to create the conditions for longer-term development. Meant to replace Section 1207 which authorized the

	Department of Defense to transfer funds to the Department of State for stabilization and reconstruction activities.
Guiding Documents:	[none found at time of report]
Source:	Consolidated Appropriations Act, 2010, H.R.3288, 111th Congress (2010). Department of State. Fiscal Year 2016 Congressional Budget Justification: Foreign Operations, and Related Programs. (pp. 82) Web. 23 Feb. 2015. Available: http://www.usaid.gov/results-and-data/budget-spending.

Economic Support Fund (ESF)

Country:	United States
Multisector:	Training Civil Society, Economic Development
Authority:	Foreign Assistance Act of 1961 (P.L. 87-195), Part II, Chapter 4
Overseeing Agency:	Department of State
Implementing Agency:	U.S. Agency for International Development (USAID)
Implementing Personnel:	USAID, under the foreign policy guidance of DOS, implements most ESF-funded programs.
Budget:	$4.8 billion (FY2015)
Capability:	To fund countries in transition to democratic rule, to support Middle East peace negotiations, and to finance economic stabilization programs, frequently in coordination with other donors. The top five recipient countries have been Afghanistan, Egypt, Israel, Jordan and Pakistan. ESF cannot be used for military or paramilitary purposes, nor can it be used for certain kinds of police assistance. ESF can be used for police assistance in Latin America and the Caribbean, which is authorized "notwithstanding the FAA prohibitions."
Guiding Documents:	None
Source:	US DOS and USAID, "U.S. Foreign Assistance Reference Guide," (Washington, DC: U.S. Department of State Publications, January 2005), 7, accessed January 20, 2016. Available: http://pdf.usaid.gov/pdf_docs/PNADC240.pdf Department of State, "Congressional Budget Justification, Foreign Operations, and Related Programs," (2015), accessed Feb. 23, 2015. Available: http://www.state.gov/documents/organization/236395.pdf

Energy Sector Capacity Building

Country:	Canada
Multisector:	Institution Building, Oversight and Governance, Economic Development
Authority:	[None found at time of report]

Overseeing Agency:	Department of International Affairs, Trade and Development (DFATD) – now Global Affairs Canada
Implementing Agency:	Canada International Development Agency (CIDA)
Implementing Personnel:	World Bank through the Ministry of Energy and Minerals, the Tanzania Electric Supply Company Limited, the Tanzania Petroleum Development Corporation, and the Energy and Water Utilities Regulatory Authority
Budget:	CAD 15.5 million
Capability:	To build institution capacity by: (1) developing a petroleum policy and legal framework; (2) providing strengthened sector coordination and governance; (3) preparing and implementing a vocational education and skills development plan; (4) developing and implementing a public-private partnership action plan; and (5) providing technical advice related to the oil and gas sector. It also supports the Government of Tanzania in developing and implementing clear and comprehensive policies and regulatory frameworks in its energy sector.
Guiding Documents:	None
Source:	Foreign Affairs, Trade and Development Canada, "Project profile: Energy Sector Capacity Building," (Feb. 3, 2106), accessed Feb. 3, 2016. Available: http://www.acdi-cida.gc.ca/cidaweb%5Ccpo.nsf/projEn/A035511001

Global Innovation Fund (GIF)

Country:	United Kingdom
Authority:	The International Development Act of 2002 and the International Development (Reporting and Transparency) Act of 2006.
Overseeing Agency:	The GIF is a collaboration between Department of International Development (DFID), the United States Agency for International Development (USAID), the Omidyar Network, the Swedish International Development Cooperation Agency (Sida), and Global Affairs Canada. It was launched at the United Nations General Assembly (UNGA) meetings in 2014
Implementing Agency:	Non-governmental organizations (NGOs), UK-based non-profit organizations, UK-based small and diaspora organizations, Companies, Local government, and Educational institutions
Implementing Personnel:	Listed organizations and local partners
Budget:	USD $200 million from 2014-2019
Capability:	To provide grants, loans, and equity for social innovations to transform the lives and opportunities of people living in poverty.
Guiding Documents:	None

Source:	"Global Innovation Fund," gov.uk, (Oct. 14, 2014), accessed Feb. 19, 2016. Available: https://www.gov.uk/international-development-funding/global-innovation-fund

Global programme: innovation centres for the agriculture and food sector

Country:	Germany
Authority:	Commissioned by: Bundesministerium für wirtschaftliche Zusammenarbeit und Entwicklung (BMZ) - German Federal Ministry for Economic Cooperation and Development
Overseeing Agency:	Gesellschaft für internationale Zusammenarbeit - German International Development Organization (GIZ)
Implementing Agency:	Different in each country
Implementing Personnel:	Local ministries and the Global Programme on Soil Protection and Rehabilitation for Food Security
Budget:	[none at time of report]
Capability:	To promote networking between local innovation partners and to promote knowledge building and dissemination by providing advice, training, and access to loans to support innovations. The Global Programme on Innovation Centres works in the following countries: Benin, Burkina Faso, Cameroon, Ethiopia, Ghana, India, Kenya, Malawi, Mali, Nigeria, Togo, Tunisia and Zambia.
Guiding Documents:	None
Source:	"Green Innovation Centres for the Agriculture and Food Sector," GIZ, accessed Feb. 19, 2016. Available: http://www.giz.de/en/worldwide/32209.html

Indonesia Infrastructure Initiative (IndII) Phase II

Country:	Australia
Multisector:	Infrastructure Development, Economic Development
Authority:	n/a
Overseeing Agency:	Department of Foreign Affairs and Trade
Implementing Agency:	Australian Aid
Implementing Personnel:	SMEC International
Budget:	AUS 336 million, for 2005-2014
Capabilities:	To promote economic growth by working with the Government of Indonesia to enhance infrastructure policy, planning, and investment.
Guiding Documents:	"Indonesia Infrastructure Initiative Phase II Implementation Document July 2011 - June 2015," Available: http://www.dfat.gov.au/about-us/publications/Documents/infrastructure-imp-doc-annexes-ipm.pdf

Source:	Australian Aid "Indonesia Infrastructure Initiative." March 19, 2015. Available: http://www.indii.co.id/ Australian Department of Foreign Affairs and Trade. "Infrastructure Assistance in Indonesia". Development Assistance in Indonesia. Available: http://www.dfat.gov.au/geo/indonesia/development-assistance/Pages/infrastructure-assistance-in-indonesia.aspx

International Mining for Development Centre (IM4DC)

Country:	Australia
Multisector:	Institution Building, Economic Development
Authority:	n/a
Overseeing Agency:	Department of Foreign Affairs and Trade
Implementing Agency:	Australian Aid
Implementing Personnel:	University of Western Australia and the University of Queensland
Budget:	AUS 31 million, for 2011-2015
Capability:	To provides education and training, fellowships, research, and advice in order to build knowledge, skills, and institutional capacity within resource-rich developing countries. It aims to support developing countries to manage their natural resources well, maximize the opportunities from resource production, and minimize undesirable impacts.
Guiding Documents:	International Mining for Development Centre AusAID Activity Proposal by UWA and UQ Available: http://www.dfat.gov.au/about-us/publications/Pages/international-mining-for-development-centre-ausaid-activity-proposal-by-uwa-and-uq.aspx
Source:	Australian Department of Foreign Affairs and Trade. "Extractives sector development assistance initiatives". Extractives sector development assistance. Available: http://www.dfat.gov.au/aid/topics/investment-priorities/infrastructure-trade-facilitation-international-competitiveness/extractives-sector-development-assistance/Pages/extractives-sector-development-assistance-initiatives.aspx

New Partnership for Africa's Development (NEPAD)/Comprehensive Africa Agriculture Development Programme (CAADP): Adaptation of agriculture to climate change

Country:	Germany
Authority:	Commissioned by: Bundesministerium für wirtschaftliche Zusammenarbeit und Entwicklung (BMZ) - German Federal Ministry for Economic Cooperation and Development
Overseeing Agency:	Gesellschaft für internationale Zusammenarbeit - German International Development Organization (GIZ)

Implementing Agency:	African Union, represented by the AU Commission
Implementing Personnel:	[none at time of report]
Budget:	[none at time of report]
Capability:	To assists the AU member states in designing more effective agricultural policies, strategies, and investment programs with the focus being on adaptation measures for poor people in rural areas, and activities that promote the inclusion of climate issues in national policies.
Guiding Documents:	[none at time of report]
Source:	"NEPAD/CAADP: Adaptation of agriculture to climate change," GIZ, accessed Feb. 19, 2016. Available: http://www.giz.de/en/worldwide/15891.html

New Partnership for Africa's Development (NEPAD)/Comprehensive Africa Agriculture Development Programme (CAADP): Supporting vocational training in agriculture

Country:	Germany
Authority:	Commissioned by: Bundesministerium für wirtschaftliche Zusammenarbeit und Entwicklung (BMZ) - German Federal Ministry for Economic Cooperation and Development
Overseeing Agency:	Gesellschaft für internationale Zusammenarbeit - German International Development Organization (GIZ)
Implementing Agency:	African Union, represented by the AU Commission.
Implementing Personnel:	The NEPAD Planning and Coordinating Agency (NPCA), based in Midrand, South Africa, is responsible for implementing this project.
Budget:	[none at time of report]
Capability:	To provide training at continental, regional, and national levels to enable participants to integrate agricultural vocational training measures; to prepare and disseminate best practice examples with respect to agricultural training measures; to develop approaches for the reform of vocational training systems in the agricultural sector; to advise and support state and private-sector agricultural training institutions; and to develop pilot vocational training courses for "agri-preneurs," geared to market needs and aimed at young people.
Guiding Documents:	None
Source:	Gesellschaft für internationale Zusammenarbeit (GIZ), "NEPAD/CAADP: Supporting vocational training in agriculture," accessed Feb. 19, 2016. Available: http://www.giz.de/en/worldwide/15974.html

Newton Fund

Country:	United Kingdom

Authority:	[none at time of report]
Overseeing Agency:	Department for International Development (DFID)
Implementing Agency:	The Department for Business, Innovation and Skills (BIS) will administer the fund.
Implementing Personnel:	Governance board chaired by the Minister for Universities and Science
Budget:	£75 million each year from 2014 for 5 years
Capability:	To develop science and innovation partnerships that promote the economic development and welfare of developing countries.
Guiding Documents:	None
Source:	Department for Business Innovation & Skills, "Newton Fund: building science and innovation capacity in developing countries," gov.uk, (March 23, 2015), accessed Feb. 19, 2016. Available: https://www.gov.uk/government/publications/newton-fund-building-science-and-innovation-capacity-in-developing-countries/newton-fund-building-science-and-innovation-capacity-in-developing-countries#overview

Projet d'appui à la filière thé (Burundi)

Country:	France
Authority:	n/a
Overseeing Agency:	Agence Française de Développement (AFD) - French Development Agency
Implementing Agency:	L'Office du thé du Burundi
Implementing Personnel:	[none at time of report]
Budget:	€1.2 million
Capability:	To reinforce and strengthen the tea production and pricing of Burundian tea through improving quality along the "tea field to customer chain" and improve marketing practices.
Guiding Documents:	None
Source:	Ministère des Affaires Étrangères et du Développement international, "L'aide française au Burundi," (April 2, 2015), accessed February 19, 2016. Available: http://burundi.transparence-aide.gouv.fr/projects/projet-dappui-a-la-filiere-the/#data

Solomon Islands Economic and Public Sector Governance Program

Country:	Australia
Multi-sector:	Oversight and Governance, Economic Development
Authority:	n/a
Overseeing Agency:	Department of Foreign Affairs and Trade
Implementing Agency:	Department of Foreign Affairs and Trade/Australia Aid

Implementing Personnel:	Royal Australasian College of Surgeons
Budget:	Up to AUS 42.7 million, 2013–17
Capability:	To provide training and technical assistance in fiscal and human resource management to improve the performance of central ministries to enable effective service delivery and support economic growth, to identify and remove systemic obstacles to service delivery, to create of an enabling environment for growth, and to mitigate fiduciary for the Solomon Islands.
Guiding Documents:	"Solomon Islands Governance Program Delivery Strategy." (2013). Available: http://dfat.gov.au/about-us/publications/Pages/solomon-islands-governmance-program-delivery-strategy.aspx
Source:	Australian Department of Foreign Affairs and Trade, "Supporting stability in Solomon Islands," Web. 26 Feb. 2016. Available: http://dfat.gov.au/geo/solomon-islands/development-assistance/Pages/objective-1-supporting-stability.aspx

Strengthening the microfinance sector in the Middle East North Africa (MENA) region

Country:	Germany
Authority:	Commissioned by Bundesministerium für wirtschaftliche Zusammenarbeit und Entwicklung (BMZ) - German Federal Ministry for Economic Cooperation and Development
Overseeing Agency:	Gesellschaft für internationale Zusammenarbeit - German International Development Organization (GIZ)
Implementing Agency:	Egypt: Egyptian Financial Supervisory Authority, The Microfinance Network of Arab Countries (SANABEL), Ministry of Insurance and Social Affairs, Social Fund for Development, Central Bank of Egypt; Jordan: Ministry of Planning and International Cooperation, Central Bank of Jordan; Palestinian territories: Palestinian Monetary Authority
Implementing Personnel:	[none at time of report]
Budget:	[none at time of report]
Capability:	To train and support organizational development involving the use of experts, study trips and roundtables, as well sensitization of the partners in order to strengthen the legal frameworks and supervisory functions in the microfinance sector in the Middle East North Africa (MENA) region.
Guiding Documents:	None
Source:	"Strengthening the microfinance sector in the MENA region," GIZ, accessed Feb. 19, 2016. Available: http://www.giz.de/en/worldwide/15967.html

Treasury International Affairs Technical Assistance (TIATA)

Country:	United States
Multisector:	Institution Building, Economic Development
Authority:	Section 129 of the Foreign Assistance Act of 1961, as amended
Overseeing Agency:	Department of Treasury
Implementing Agency:	Treasury Office of Technical Assistance (OTA)
Implementing Personnel:	OTA Advisors
Budget:	$25.6 million (FY2013)
Capability:	To advise in economic policy and financial management reforms, focusing on the functional disciplines of budget, taxation, government debt, financial institutions, and financial enforcement. Treasury assistance focuses on strengthening the financial and economic management capacity of aid recipient countries in order to make effective use of foreign assistance, to reduce their vulnerability to economic shocks, terrorist financing and financial crime, and ultimately to eliminate their dependence on aid.
Guiding Documents:	Office of Technical Assistance Booklet 2015 http://www.treasury.gov/about/organizational-structure/offices/Documents/FINAL%20-%20OTA%20Booklet%202015%20for%20Web.pdf
Source:	Department of Treasury, "International Affairs Technical Assistance 2013 Report To Congress," (2013), accessed Feb. 26, 2015. Available: http://www.treasury.gov/about/organizational-structure/offices/Documents/2013%20OTA%20Report%20to%20Congress%20-%20FINAL.pdf Department of State, "Congressional Budget Justification: Department of State, Foreign Operations, and Related Programs," (2015), accessed Feb. 25, 2015. Available: http://www.usaid.gov/sites/default/files/documents/9276/222898.pdf

UK Aid Match

Country:	United Kingdom
Authority:	The International Development Act of 2002 and the International Development (Reporting and Transparency) Act of 2006.
Overseeing Agency:	Department for International Development (DFID)
Implementing Agency:	Non-governmental organizations (NGOs), UK-based non-profit organizations, and Humanitarian relief organizations
Implementing Personnel:	NGO personnel and local partners
Budget:	£120 million in grants over 3 years from 2013 to 2016.
Capability:	To provide grants to UK-based NGOs for poverty reduction projects in developing countries. For 25 countries, including: Afghanistan, Bangladesh, Burma, Democratic Republic of Congo, Ethiopia, Ghana, Kenya, Kyrgyzstan, Liberia, Malawi, Mozambique, Nepal, Nigeria, The Occupied Palestinian

	Territories, Pakistan, Rwanda, Sierra Leone, Somalia, Sudan, South Sudan, Tajikistan, Tanzania, Uganda, Yemen, Zambia, and Zimbabwe
Guiding Documents:	[none found at time of report]
Source:	"International Development Funding: UK Aid Match," gov.uk, (Feb. 15, 2016), accessed Feb. 19, 2016. Available at: https://www.gov.uk/international-development-funding/uk-aid-match

Volet alphabétisation du Projet d'appui à l'amélioration de la gouvernance et des systèmes d'exploitation en zone cotonnière (PASE II) (Mali)

Country:	France
Authority:	n/a
Overseeing Agency:	Agence Française de Développement (AFD) - French Development Agency
Implementing Agency:	Union Nationale des Coopératives de production de coton
Implementing Personnel:	Assemblee Permenente des Chambres d'Agriculture Mali
Budget:	€12.4 million
Capability:	To train reading instructors to establish a functional literacy program for members of the cooperative network of cotton producers in Mali.
Guiding Documents:	http://www.afd.fr/base-projets/downloadDocument.action?idDocument=1579
Source:	Ministère des Affaires Étrangères et du Développement international, "L'aide française au Mali," (April 02, 2015), accessed February 19, 2016. Available: http://mali.transparence-aide.gouv.fr/projects/volet-alphabetisation-du-projet-dappui-a-lamelioration-de-la-gouvernance-et-des-systemes-dexploitation-en-zone-cotonniere-pase-2/

Program by Country

Australia
Indonesia Infrastructure Initiative (IndII) Phase II
International Mining for Development Centre (IM4DC)
Solomon Islands Economic and Public Sector Governance Program

Canada
Capacity Building for Sustainable Irrigation and Agriculture
Capacity-Building of Youth to Grow the Economy: a Public-Private Partnership
Energy Sector Capacity Building

France
Amélioration de la Compétitivité des Entreprises par la Formation professionnelle dans les régions de Sikasso et Ségou (Mali)

Benin - Projet d'appui aux dynamiques productives (Project to Support Production Dynamics)

Burkina Faso - Agriculture durable et Sécurité Alimentaire (Sustainable Agriculture and Food Security)

Comoros - Appui au secteur de la microfinance par le renforcement de la MECK-Moroni (Support for the Microfinance Sector by Strengthening MECK-Moroni)

Comoros - Projet Appui au Renforcement des Administrations financières de l'Union des Comores (PARAF) (Project to Support the Strengthening of Financial Administration in the Union of Comoros)

Projet d'appui à la filière thé (Burundi)

Volet alphabétisation du Projet d'appui à l'amélioration de la gouvernance et des systèmes d'exploitation en zone cotonnière (PASE II) (Mali)

Germany
Global programme: innovation centres for the agriculture and food sector

New Partnership for Africa's Development (NEPAD)/Comprehensive Africa Agriculture Development Programme (CAADP): Adaptation of agriculture to climate change

New Partnership for Africa's Development (NEPAD)/Comprehensive Africa Agriculture Development Programme (CAADP): Supporting vocational training in agriculture

Strengthening the microfinance sector in the Middle East North Africa (MENA) region

United Kingdom
The Agri-Tech Catalyst
Global Innovation Fund (GIF)
Newton Fund
UK Aid Match

United States
Complex Crisis Fund (CCF) (Replacing Section 1207)
Economic Support Fund (ESF)
Treasury International Affairs Technical Assistance (TIATA)

Learning to Use the Guidelines

Throughout the period in which the project team engaged with various policymakers, planners and program designers both across the U.S. interagency and with the five key partners—Austria, Canada, France, Germany and the UK—a key question was consistently raised: How can we learn to implement the Sustainable Capacity Building approach? Although there was wide acceptance of both the framework and tools that make up the *Sustainable Capacity Building Guidelines*, understanding something conceptually and translating it into practice are two separate steps.

To address the question raised by the community for whom these guidelines were designed, a curriculum was developed and piloted to an international community of capacity building professionals. In developing the guidelines and content of this course, the project team worked closely with government entities and international organizations to help establish key lessons learned that policymakers and planners and programmers can apply during the conceptualization, design, and implementation phases of capacity building projects. Incorporating lessons learned from the pilot implementation, the concluding chapter of the *Guidelines* offers users a curriculum and guidance for how to deliver it.

Chapter 14

A Curriculum for Sustainable Capacity Building

Introduction

The final chapter in the *Guidelines* offers a comprehensive curriculum package—including a course overview, a detailed training agenda or syllabus, and instructor guidance. This is meant to serve as a template and to be adjusted to meet the training and professionalization needs of the various capacity building communities both in the U.S. and among the five key partner countries. Although the agenda provided is based on a three-day course, it can be expanded or shortened to meet the needs of the capacity building communities for which it is designed.

Two versions of the course can be taught—one for the policymaking community and one for the planning and programming community (in the detailed capstone scenario and training agenda below, variations to the agenda for these different communities are highlighted).

Sustainable Capacity Building Course

Course Overview

With international missions around the globe, the United States and its allies continue to look for ways to improve the design and delivery of programs aimed at capacity building. Despite more than a decade of effort to develop new approaches to identify and adopt lessons learned, countries and organizations are still looking to achieve the intended outcome in the short term and sustain the impact of capacity building in the long term. Without substantial improvements in the way foreign assistance is conducted, the U.S. and its allies will continue to expend limited resources with marginal effect. The purpose of this course is to offer policymakers and practitioners new solutions to the enduring challenge of how to better plan, design, and implement impactful and sustainable capacity building efforts.

Defining a New Theory of Change

The Sustainable Capacity Building course offers practical guidance for planning and decision making for building the capacity of host country institutions while ensuring that lasting capacity is built and new processes remain in place over time. The guidance is meant to offer the policy community and planners and program managers an approach to ensure that foreign assistance missions are targeted, efficient, cost effective, and more likely to have lasting impact. The curriculum is designed to be practitioner-centered, participatory, and elicitive, based on lessons learned and lessons shared among senior practitioners and experts. Course instructors will prompt participants to share experiences and lessons learned. The curriculum derives from:

- specialists focused on sustainable capacity building for security sector reform, countering violent extremism, crisis management, and humanitarian assistance;

- lessons learned from planners, collected through post-mission debriefs, interviews and lesson learned studies;

- collaborative work with deploying organizations working on effective capacity building; and

- the experience of practitioners on how to sustain capacity building projects by "transferring" them to the host country

A. Principles of Sustainable Capacity Building

Donor countries employ different models for capacity building assistance, reflecting varying doctrine and foreign policy interests. By exploring how all involved in capacity building approaches can adhere to a common set of principles to guide the design and implementation of capacity building activities, capacity builders can avoid many of the unintended consequences that result from the current models for capacity building.

To conduct capacity building missions effectively and achieve sustainable impact, policy makers and planners and program managers must grasp and respect local perspectives and ideas for change and/or reform; plan for the impact of capacity building mission in a foreign environment, in a different organizational culture and system governed by different laws, rules, and regulations; and reflect on how their intervention in a given process or system will impact the individual, institutional, and societal context of a host country.

To achieve this, key principles for sustainable capacity building must be integrated into the capacity building project from its initiation phase: First, local ownership – putting the host nation in the driver's seat to play a central role in the planning and implementing of the missions by identifying, designing, and implementing necessary reforms driven by the host nation and ultimately, responding to local needs as they are defined by host country stakeholders and augmented by external assistance. Second, do no harm – accounting for the unintended effects of a capacity building mission and ensuring that these are anticipated and mitigated at the planning of any mission. Third, integrating sustainability – ensuring the balance between addressing short-term goals and long-term objectives, which requires that policymakers, planners, program managers, and implementers analyze the viability of the capacity building project.

B. Redefining What We Do and How We Do It: Six Defining Conditions for Sustainable Capacity Building

In order to operationalize these guiding principles, there are six main conditions which research from the field shows "need to be met" during the policymaking, planning and design phases of any capacity building project.

Human and Institutional Gap Condition: To address human and institutional gaps by transferring knowledge and skills-building in accordance with the principles of sustainable capacity building. This condition also addresses the critical difference between the existing model and the new approach, or what the donor entity sees as a priority versus what the recipient nations perceive to be as such. This condition speaks to the "supply driven" factors which shape assumptions about recipient human and institutional gaps and how these must be defined by the recipient stakeholders themselves.

Embed Knowledge Condition: To embed knowledge in institutions and processes by institutionalizing capacity as pre-cursor to the end state of the capacity building initiative. This condition puts sustainability at the forefront, veering away from the notion that institutionalizing capacity is merely a byproduct of the provision of such capacity and instead addresses the enhancement of processes by embedding new knowledge up front. A means for this approach is responding to local needs and gaps as they are defined by the host country.

Meld Knowledge Condition: To meld local knowledge with external resources and expertise to solve problems on the ground in the long term by enhancing the current state of capacity through partnership. This condition drives the notion that there is "ground truth" knowledge of existing gaps, but a lack of the know-how in implementing it, and away from the notion that solutions are best identified and addressed by external experts. Through this condition, sustainability of capacity building is achieved by combining local knowledge and external expertise, allowing the donor country to help enhance existing functions or systems rather than replace them, as well as securing leverage as a partner and not as an intervener.

What	How
1. Address human and institutional gaps	Transfer knowledge and build skills
2. Embed knowledge in institutions and processes	Institutionalize capacity
3. Meld knowledge with external expertise	Jointly address gaps
4. Develop a partnership with recipient stakeholders	Collaborate to identify gaps
5. Understand the systemic context	Consider wider impact
6. Leverage partner country capabilities	Coordinate toward a holistic approach

Partnership Condition: To develop a partnership with recipient stakeholders by collaboratively and productively identifying gaps and relevant solutions. This condition calls for the development of partnerships not only as a pre-requisite for developing sustainable capacity but also as a continuous effort throughout the life of the capacity building project and beyond. Although developing partnerships is a simple concept, this condition can be difficult to achieve because donors often use a "supply driven" approach, failing to work jointly from the outset of the partner relationship. This approach is further exacerbated by the assumption that models which work in donor countries are equally applicable in host country institutions. Finding a joint approach which balances melding local solution with external knowledge is the genesis of sustainable capacity building.

Systemic Context Condition: To understand the systemic context by considering the wider impact of the proposed solution. This condition calls on policymakers, planners, and program managers to look beyond the immediate impact which a capacity building initiative seeks to achieve, and adjust the capacity building plan according to the second and third order effects of any given activity. Considering such impact during the concept design, jointly with the host country, allows for the ability to identify functions or institutions as they are situated in the broader system, signaling what resource implications may exist. Identification of potential system-wide effects during the planning process assesses the impact upfront and allows readjustments of the approach, as opposed to mitigating for unintended consequences post-factum.

Leverage Capabilities Condition: To leverage partner country/agency capabilities by coordinating a holistic approach. This condition encourages planners to include other partners into the capacity building design process as part of the solution. Because most capacity building frequently involves more than just one partner, a holistic approach which involves consultation with multiple actors would allow for close coordination,

What…	…to ask?
1. Address human and institutional gaps	Policy, actors, activities, targets, outcomes, resistance
2. Embed knowledge in institutions and Processes	Expertise, knowledge, profile of implementers, intended change
3. Meld local knowledge with external expertise	Host country values, donor country values, joint opportunities
4. Develop a partnership with recipient stakeholders	Political will, collaboration, design
5. Understand the systemic context	Role of target institution, broader system
6. Leverage partner country capabilities	New partnerships, preventing overlap

with the recipient in mind, and prevent duplicative efforts from the onset. Partnering to offer coordinated assistance, and more importantly, accounting for such from the start, can avoid duplicative effort, enhance outcomes, and make for more efficient deliverables to the host nation.

D. Common Lexicon

The lack of common working definitions is one of the challenges faced by capacity building professionals. Thus, a shared set of terms and concepts is a critical tool for sustainable capacity building. A common lexicon is also one of the key tools in conducting analysis, concluding and translating findings into programs which are consultative and collaborative in nature. Finding a

"common way" for using different teams is key for clear and effective communication between agencies, organizations, and host countries.

E. Capabilities Tools

Part of acquiring a more holistic view is having a better understanding of the existing capabilities within the U.S. government and among partner countries to build capacity. Acquiring a better understanding of existing capabilities, such as the equipping of operational forces, judicial actors, civil society, institutional building, oversight and governance, crisis response, disaster preparedness, infrastructure and economic development – allows for these capabilities to be utilized and for existing capacity efforts to be leveraged when planning for new capacity building missions.

Recommended Capstone Exercise Scenario

Sample Scenario: Security Sector Reform (SSR): Oversight, Accountability, and Democratic Governance

Overview

Using the case of Razinga, this scenario will enable capacity building planners and mission personnel to support the capacity building needs of a state that is transitioning from an authoritarian to a democratic system. The principal challenge in an SSR scenario is supporting the host country to develop effective and accountable security sector institutions and forces that operate in accordance with the rule of law.

Mapping Capacity Building Needs

In Razinga, the SSR challenge is to transform the old institutions and practices of an authoritarian apparatus of control into transparent, accountable, and effective institutions of democratic governance and service to the people of Razinga. Razinga's security apparatus is ill suited due to a number of human and institutional capacity gaps.

There are five broad categories of security sector capacity gaps that need to be addressed in an SSR scenario. These include:

Statutory Forces:
Statutory forces include the operational actors with a formal mandate to ensure the safety of the state and its citizens (e.g. armed forces, police, gendarmerie, paramilitary forces, intelligence, secret services, and border and customs guards). There are six critical areas where human and institutional capacity building are likely priorities in Razinga:

a. *Reform of Police Practices, Procedures and Operations:* Police practices, procedures and operations must be replaced or reformed to reflect the standards and practices of democratic policing so that the police become part of the new democratic Razinga rather than remaining a vestige of the Dar Salam regime.

b. *Reform of Police Training and Recruitment*: Reforming the training and recruitment of the internal security services is a critical priority. Across police and gendarme training programs, new curricula will need to be developed that focus on educating and training police throughout the ranks on the roles and responsibilities of a police *service*. Curricular reform will need to focus on updating the content of courses that deal with

general police skills as well as specialized skills, such as crowd control. As new policies and procedures are designed and implemented, continued training will be essential for ensuring that Razinga's police understand the new policies and procedures and know how to implement them in the field.

c. ***New Equipment:*** Although the internal security forces were at the apex of the security apparatus under the Dar Salam regime, these forces were poorly paid and working conditions were quite dismal. The police also lack basic equipment. Combined with the derision with which police are generally treated by ordinary Razingan citizens, morale among police officers is understandably low.

d. ***Legal Reform:*** A critical reform priority for internal security forces is the revision of police laws and other legal statutes governing the internal security sector. These laws are also complex and ambiguous, and absent clear instructions from police leadership and the MOI, Razinga's police are struggling to interpret them.

e. ***Intelligence Reform:*** A fifth priority is reform of Razinga's intelligence capabilities. These reform tasks are likely significant given the importance intelligence—notably internal intelligence—played in controlling the population and coup proofing the Dar Salam regime.

f. ***Armed Forces Reform:*** Because the armed forces were among the least privileged of Dar Salam' security forces, they are the best positioned to assume their new role in a democratic Razinga. But any reform of the armed forces is intimately tied to reforms of the internal security forces. While major organizational, structural or doctrinal changes may be premature, the armed forces will need training, education and advising to transition to a democratic system of government and to parliamentary oversight.

g. ***Joint Operations:*** By design, the Dar Salam security apparatus discouraged coordination among security forces even within the same agency. Interagency collaboration was also largely nonexistent, although there was, by necessity, some operational coordination in the field. (Re)building these relationships and addressing the trust deficit that is a Dar Salam legacy are critical challenges for SSR given limited resources and emerging threats, particularly for maritime and border security and counterterrorism that require closer coordination at the tactical, operational and strategic levels.

Nonstatutory Forces. Nonstatutory forces include armed groups, non-state paramilitary organizations, militias, and private security companies. The troubling emergence of armed groups in last few years has increased Razinga's SSR challenges by an order of magnitude.

a. ***Enhancing the capacity and capabilities of the military and the internal security services*** to combat terrorist attacks and cross border infiltration and to counter violent extremist organizations and other armed actors.

b. ***Strengthen the judicial system*** to respond more efficiently and more effectively to cases stemming from better law enforcement responses to the threat.

c. ***CVE efforts focused on Razinga's marginalized populations*** can address the recruitment and radicalization threats as well as the growing number of Razingan Foreign Fighters.

Justice Institutions. Justice institutions, including ministries of justice, the judiciary, criminal

investigation and prosecution services, and prison regimes, are essential to ensuring that the provision of security is accountable, equitable, effective, and in accordance with the rule of law. There are five critical areas that are likely SSR priorities in Razinga:

   a. ***Judicial Independence:*** Although the provisions in the new constitution are a significant step toward real judicial independence, there are critical tasks remaining. These include ensuring that the Ministry of Justice adheres to the new legal framework and that the coterie of corrupt judges, lawyers and prosecutors are held accountable or otherwise dismissed.

   b. ***Case management:*** A second and related priority is to ensure that the new legal system functions appropriately, accountably and effectively. Reforms will need to focus on bringing cases to trial in a timely manner, which may include hiring more magistrates or finding efficiencies in how cases are assigned.

   c. ***Judicial competence:*** Under the Dar Salam system, magistrates (prosecutors, trial judges, and investigative judges) were appointed for their loyalty, not their competence. Under the Dar Salam system, judges were also accustomed to following orders in deciding high profile or complicated cases. Judges will need the competence to prosecute, investigate and rule on cases without guidance from the executive. They will also need training to handle specialized corruption and terrorism cases.

   d. ***Legal Reform:*** Laws are frequently not being followed (because judges are unfamiliar with the laws) or they are not being enforced (because the laws are not in accordance with the new democratic system of government).

   e. ***Reform of the Prison System:*** The prison system is seriously overcrowded. Senior prison staff are well-educated, but they are not trained in modern corrections management and leadership. Infrastructure is poor, there are serious safety hazards, and there insufficient numbers of qualified and trained staff.

Formal Oversight Institutions. Formal oversight institutions exercise the state monopoly over coercive power. These include, for example, executive government, ministries of defense and interior, and parliament and its specialized committees. In Razinga, the oversight institutions of the security sector include the Executive Authority (the president and the head of government), the Ministries of Defense and Interior, as well as the Ministries of Justice and Customs, and the Assembly of the Representatives of the People. Razinga's new oversight structures were promulgated in the Razingan constitution of June 2014 and have not been fully implemented. The following are likely priority capacity building tasks in Razinga:

   a. ***Restructure the Ministry of Interior:*** A clear priority for reform of the MOI is the reorganization of the ministry to break the siloed structure and remove duplicative functions. This reform would also need to address divesting the MOI of control and intelligence functions.

   b. ***Strategic Planning, Policy Implementation and Execution, and Change Management:*** Additional reform priorities include enhancing ministerial level functions like strategic planning, policy implementation and execution, and change management—skills that were neither valued nor promoted in Dar Salam's security apparatus.

   c. ***Reforming Institutional Culture:*** Reorienting an institutional culture requires transformative measures across the internal security sector and at all levels—from the most junior police recruit to the most senior operational and civilian leaders. At

all levels of the security sector, personnel must embrace a new culture of service, transparency, and accountability both to the democratically elected government that oversees them and to the population whom they serve.

d. ***Enhancing Transparency:*** Razinga's government, any future parliamentary oversight committees, as well as the population itself, should have access to basic information. They should also have information about the ministry's plan for reform as well as the process by which they intend to design and implement reform. Will this process involve closed door meetings with select individuals? Or will the process be a transparent one? Will civil society organizations be able to influence the process? Will rank and file police officers be able to participate in designing a reform agenda?

e. ***Overcoming Distrust***: There is deep distrust of outsiders—particularly the public and civil society organizations.

Civil Society. Civil society organizations include the media, academia, Non-Governmental Organizations (NGOs), trade unions, and human rights advocacy institutions that monitor and report on the activities of the security services and their oversight institutions and hold them accountable for their actions. Civil society also plays a role in the informal oversight of the security sector.

a. ***Build Trust***: There is a clear perception, among civil society and members of the government, that civil society organizations are viewed as being not trustworthy, subversive, or even outright threats. The government does not recognize that civil society can be an ally in the reform process, particularly in helping the government communicate with the population and build trust.

b. ***Generate Knowledge and Skills***: Civil society organizations that focus on the security sector are few in number and those that exist lack skills to advocate for effective reform.

Identifying Capacity Building Capabilities

Using the list of identified needs, [policymakers will use the Razinga case to develop policy guidelines OR planners and program managers will use the Razinga case to develop a capacity building plan] to address the SSR needs identified in 2. Mapping Capacity Building Needs. Specifically, this will involve:

- [For Policymakers: Identifying the capacity building priorities, goals and objectives to guide planners and program manager] OR [for Planners and Program Mangers: Identifying the capabilities needed] to address the identified capacity gaps in each of the six SSR categories.
- Identifying [for Policymakers: which agency or department(s)] OR [for Planners and Program Managers: which agency, department, or Security Assistance program and funding sources] are best suited to addressing the identified needs.
- Identifying which [for Policymakers: partner countries] OR [for Planners and Program Managers: which allied program or funding sources] are best suited to help in addressing the identified needs.
- Establishing criteria for choosing among the available capabilities to address the

identified capacity building needs.

- Identifying risks and challenges in the selection and prioritization of which needs to address.

Developing Capacity Building Policy Guidelines or a Mission Plan

The final component of the scenario will involve [for Policymakers: applying the SCB principles and conditions to develop policy guidelines for the SSR scenario] OR [for Planners and Program Managers: applying a mission planning or program design process to the SSR scenario]. This exercise will enable participants to practice the steps involved in Sustainable Capacity Building using the example of Razinga and, in the facilitated discussion following the exercise, to explore how lessons learned from the scenario can inform their capacity building activities for real world cases.

Training Agenda

The following agenda is designed for a 2 and a half-day training course, taught by a two person team of instructors for a group of about 20 participants. Two versions of the course can be taught—one for the policymaking community and one for the planning and programming community (in the detailed training agenda below, variations to the agenda for these different communities are highlighted).

Day 1

0900-0945	Session 1: Introduction
0945-1000	Break (or extended Session 1)
1000-1100	Session 2: Challenges in Capacity Building Missions Icebreaker
1100-1200	Session 3: Key Principles and Conditions for Building Sustainable Capacity
1200-1300	Lunch
1300-1345	Session 4: The Sustainable Capacity Building Lexicon
1345-1430	Session 5: Guidelines for Planning and Programming
	OR
	Session 5: Guidelines for Policymaking
1430-1445	Break
1445-1615	Session 6: Gap Condition
1615-1700	Day 1 Wrap Up

Day 2

0900-0930	Session 7: Day 2 Overview and Recap of Day 1
0930-1100	Session 8: What to Ask During Policymaking: Embed Knowledge and Partnership Conditions
	OR
	What to Ask During Planning and Programming: Embed Knowledge and Partnership Conditions
1100-1115	Break
1115-1215	Session 9: What to Ask During Policymaking: Systemic Context and Leverage Capabilities Conditions
	OR

	What to Ask During Policymaking: Systemic Context and Leverage Capabilities Conditions
1215-1315	Lunch
1315-1345	Session 9 continued
1345-1500	Session 10: What to Ask During Policymaking: Meld Knowledge Condition
	OR
	What to Ask During Planning and Programming: Meld Knowledge Condition
1500-1515	Break
1515-1630	Session 11: Tools for Sustainable Capacity Building
1630-1700	Day Two Wrap Up

Day 3

0900-0930	Session 12: Day 3 Overview and Recap of Day 2
0930-1045	Session 13: Capstone Exercise
1045-1100	Break
1100-1200	Session 14: Capstone Presentations
1200-1300	"Working Lunch," Course Wrap-up, and Evaluations

Detailed Training Agenda

DAY 1

| 0900-0945 | **Session 1: Introduction** |

Overview

The introduction will include a brief course introduction by the instructional team. Participants will be asked to (1) introduce themselves, (2) give a brief summary of their experience with capacity building, and (3) share why they are in the course and what they hope to learn from it.

After introductions are completed, the instructors will provide a brief overview of the rationale for the course: Why what is currently being done is not working in the way it should (for material for these remarks, refer to Chapter 1 of the *Guidelines*) and why the course is being offered (here an agency/community specific purpose can be shared). Instructors should explain that this course aims to create a "shift in mindset" in how capacity builders view their role and how they practice capacity building to achieve sustainable results.

Suggested Handouts

1. Course folder with agenda, course instructor bios and/ or copy of *Guidelines*

Exercise

None

| 0945-1000 | **Break (or extended Session 1)** |

| 1000-1100 | **Session 2: Challenges in Capacity Building Missions Icebreaker** |

Conducted in small groups, this icebreaker will allow participants the opportunity to discuss their experience with capacity building missions specific to their agency. The instructor will introduce a series of questions to facilitate the discussion. The purpose of this exercise is to get participants to "own" the key themes which come from the discussion and refer to them throughout the duration of the course. Instructors should ensure that the focus of the discussion stays on identifying "impact", not process. The outcome of the icebreaker is the identification of 3 to 5 challenges which each group shares with the group as a whole.

Suggested Handouts

None

Exercise

Participants will inventory a list of the challenges they face during capacity building missions, then select the top 3-5 challenges. At the conclusion of the exercise, each group will share those top challenges with the group as a whole. Instructor will close with a facilitated wrap-up discussion.

1100-1200 **Session 3: Key Principles and Conditions for Building Sustainable Capacity**

Overview

The instructor will provide a detailed overview of the three key principles and six conditions for Sustainable Capacity Building (for material for these remarks, refer to Chapter 2 of the *Guidelines*). This will *not be an interactive session.* During the presentation, the instructors will apply these elements in the context of the challenges identified by the participants in the Session 2 exercise.

Suggested Handouts

1. *Six Conditions for Building Sustainable Capacity* (or Chapter 2 of the *Guidelines*)
2. *Three Principles for Building Sustainable Capacity* (Graphic)

Exercise

None

1200-1300 **Lunch**

1300-1345 **Session 4: The Sustainable Capacity Building Lexicon**

The instructors will provide an overview of the Lexicon and why holistic capacity building requires an agreed upon set of terms (for material for these remarks, refer to Chapter 5 of the Guidelines).

Handout

1. "Lexicon" or Chapter 5 of the *Guidelines*

Exercise

This exercise session will break up the participants into groups (preferably small groups with members from different capacity building agencies/countries in each). Each group will be tasked to choose a term (or alternatively, instructors can assign

a term to each group), define it, and then come up with a common definition. At the conclusion of the exercise, the Instructor will ask each group to discuss the term they selected (or were assigned), what difficulties that term presented to the group, and what definition they proposed to facilitate working in a holistic setting. The instructor will then record the terms on a whiteboard or other medium that will remain visible throughout the course. As additional terms emerge throughout the course, these should be added to the list.

1345-1430	**Session 5: Guidelines for Planning and Programming OR Guidelines for Policymaking**

In this session, the instructor should provide a presentation that details each of the questions to be posed during the policymaking or planning and programming of a capacity building mission under each of the six conditions. Instructors should emphasize that these conditions need not be applied in any order and that some of the questions will be more useful than others depending on the nature of the capacity building activity (for material for this presentation, refer to Chapter 3 (for policymaking) and Chapter 4 (for planning and programming)). This will *not be an interactive session,* although instructors may use examples from their own experience, or alternatively ask participants to share their own experiences, as appropriate, throughout the presentation.

Suggested Handouts

1. *Policy Guidelines: A Matrix of Questions (or Chapter 3 of the Guidelines) OR Planning and Programming Guidelines: A Matrix of Questions (or Chapter 4 of the Guidelines)*

Exercise

None

1430-1445	**Break**

1445-1615	**Session 6: What to Ask During [Policymaking OR Planning and Programming]: Human and Institutional Gap Condition**

In this session and the four that follow, participants will focus on each of the six conditions with the purpose of exploring how to achieve those conditions through their policymaking or planning and program design activities.

Suggested Handouts

1. *Six Conditions for Building Sustainable Capacity* (or Chapter 2 of the *Guidelines*)
2. *Three Principles for Building Sustainable Capacity* (Graphic)
3. *Policy Guidelines: A Matrix of Questions (or Chapter 3 of the Guidelines) OR Planning and Programming Guidelines: A Matrix of Questions (or Chapter 4 of the Guidelines)*
4. "Lexicon" or Chapter 5 of the *Guidelines*

Exercise

Participants will be divided into small groups and tasked with applying the three guiding principles and condition guideline questions to develop a 3-5 sentence statement that could be included in a policy statement (for the Policy course) or plan/program design (for Planners and Programmers course). In developing this statement, participants should think through why the condition is important and how it can help address the challenges the group identified in Session 1. Participants should not attempt to develop concrete answers to the questions. Instead, the questions for the condition should be used as a tool to develop policy or planning/programming guidance. Instructors should prepare a list of prompts to help facilitate the discussion and to ensure that the questions are used as a tool. The first hour should be devoted to the exercise, with the remaining 30 minutes for each group to present their statements to the group as a whole.

1615-1700   **Day One Wrap Up**

Instructors should use this session to bring together the themes of the day and facilitate a debriefing of the major topics which were raised during the discussion and how the principles and the questions for the Human and Institutional Gap Condition can help solve some of the challenges identified in Session 1.

Suggested Handout

None

Exercise

None

DAY 2

0900-0930   **Session 7: Day 2 Overview and Recap of Day 1**

The Instructor will provide a brief overview of the day's activities and a recap of major themes from Day 1. This session can also be used to revisit questions from Session 6 since this exercise will be repeated for the remaining six conditions in Day 2.

Suggested Handout

None

Exercise

None

0930-1100   **Session 8: What to Ask During [Policymaking OR Planning and Programming]: Embed Knowledge and Partnership Conditions**

In this session, participants will focus on two of the six conditions with the purpose of exploring how to achieve those conditions through their [policymaking or planning and program design] activities.

1. *Six Conditions for Building Sustainable Capacity* (or Chapter 2 of the *Guidelines*)
2. *Three Principles for Building Sustainable Capacity* (Graphic)
3. *Policy Guidelines: A Matrix of Questions (or Chapter 3 of the Guidelines) OR Planning and Programming Guidelines: A Matrix of Questions (or Chapter 4 of the Guidelines)*
4. "Lexicon" or Chapter 5 of the *Guidelines*

Exercise

Participants will be divided into small groups and tasked with applying the three guiding principles and two condition guideline questions to develop a 3-5 sentence statement for each condition that could be included in a policy statement (for the Policy course) or plan/program design (for Planners and Programmers course). In developing these statements, participants should think through why the conditions are important and how they can help address the challenges the group identified in Session 1. Participants should not attempt to develop concrete answers to the questions. Instead, the questions for the conditions should be used as a tool to develop policy or planning/programming guidance. Instructors should prepare a list of prompts to help facilitate the discussion and to ensure that the questions are used as a tool. The first hour should be devoted to the exercise, with the remaining 30 minutes for each group to present their statements to the group as a whole.

1100-1115   Break

1115-1215   **Session 9: What to Ask During [Policymaking OR Planning and Programming]: Systemic Context and Leverage Capabilities Conditions**

In this session, participants will focus on two of the six conditions with the purpose of exploring how to achieve those conditions through their [policymaking or planning and program design] activities.

1. *Six Conditions for Building Sustainable Capacity* (or Chapter 2 of the *Guidelines*)
2. *Three Principles for Building Sustainable Capacity* (Graphic)
3. *Policy Guidelines: A Matrix of Questions (or Chapter 3 of the Guidelines) OR Planning and Programming Guidelines: A Matrix of Questions (or Chapter 4 of the Guidelines)*
4. "Lexicon" or Chapter 5 of the *Guidelines*

Exercise

Participants will be divided into small groups and tasked with applying the three guiding principles and two condition guideline questions to develop a 3-5 sentence statement for each condition that could be included in a policy statement (for the Policy course) or plan/program design (for Planners and Programmers course). In developing these statements, participants should think through why the conditions

are important and how they can help address the challenges the group identified in Session 1. Participants should not attempt to develop concrete answers to the questions. Instead, the questions for the conditions should be used as a tool to develop policy or planning/programming guidance. Instructors should prepare a list of prompts to help facilitate the discussion and to ensure that the questions are used as a tool. The first hour should be devoted to the exercise, with the remaining 30 minutes for each group to present their statements to the group as a whole.

1215-1315 **Lunch**

1315-1345 **Session 9 continued**

1345-1500 **Session 10: What to Ask During [Policymaking OR Planning and Programming]: Meld Knowledge Condition**

In this session, participants will focus on the last of the six conditions with the purpose of exploring how to achieve those conditions through their policymaking or planning and program design activities.

1. *Six Conditions for Building Sustainable Capacity* (or Chapter 2 of the *Guidelines*)
2. *Three Principles for Building Sustainable Capacity* (Graphic)
3. *Policy Guidelines: A Matrix of Questions (or Chapter 3 of the Guidelines) OR Planning and Programming Guidelines: A Matrix of Questions (or Chapter 4 of the Guidelines)*
4. "Lexicon" or Chapter 5 of the *Guidelines*

Exercise

Participants will be divided into small groups and tasked with applying the three guiding principles and condition guideline questions to develop a 3-5 sentence statement that could be included in a policy statement (for the Policy course) or plan/program design (for Planners and Programmers course). In developing this statement, participants should think through why the condition is important and how it can help address the challenges the group identified in Session 1. Participants should not attempt to develop concrete answers to the questions. Instead, the questions for the condition should be used as a tool to develop policy or planning/programming guidance. Instructors should prepare a list of prompts to help facilitate the discussion and to ensure that the questions are used as a tool. The first forty-five minutes should be devoted to the exercise, with the remaining 30 minutes for each group to present their statements to the group as a whole.

1500-1515 **Break**

1515-1630 **Session 11: Tools for Sustainable Capacity Building**

In this session, participants will become familiar with the range of tools available to build sustainable capacity holistically with partner agencies and countries. Instructors should review the capabilities chapters in the *Guidelines* to provide a brief overview for how they are organized by type of capacity building activity. For material for these remarks, instructors should refer to the introductory material in chapters 6-13 of the *Guidelines*.

1. Chapters 6-13 of the *Guidelines*

Exercise
Participants will be divided into small groups and tasked with a specific category of capabilities. Each group will be asked to identify at least three complementary programs within that category of capabilities. At the conclusion of the exercise, each group should brief their findings to the group as a whole.

1630-1700 **Day Two Wrap Up**

Instructors should use this session to bring together the themes of the day and facilitate a debriefing of the major topics which were raised during the discussion and how the principles and the questions for each of the conditions can help solve some of the challenges identified in Session 1.

1. Scenario for capstone (to be studied overnight)

None

DAY 3

0900-0930 **Session 12: Day 3 Overview and Recap of Day 2**

The Instructor will provide a brief overview of the day's activities and a recap of major themes from Day 2.

None

None

0930-1045 **Session 13: Capstone Exercise**

The final course exercise provides an opportunity for participants to integrate the learned tools with their own [policymaking OR planning and program design] methodology, leaving the course with a concrete understanding of when and how these tools can be used within their established processes. Instructors should begin the scenario by highlighting the following question: how will you use the tools you learned (principles, conditions) in the process you know and do to develop [policy guidelines OR a plan or program design] that fulfills the scenario objectives while avoiding the challenges identified in Session 1.

1. *Six Conditions for Building Sustainable Capacity* (or Chapter 2 of the *Guidelines*)
2. *Three Principles for Building Sustainable Capacity* (Graphic)
3. *Policy Guidelines: A Matrix of Questions (or Chapter 3 of the Guidelines) OR Planning and Programming Guidelines: A Matrix of Questions (or Chapter 4 of the Guidelines)*
4. "Lexicon" or Chapter 5 of the *Guidelines*
5. Chapters 6-13 of the *Guidelines*
6. Capstone Scenario

Participants will be divided into groups and assigned a capstone scenario. Drawing on the presentations made by the participants on the questions for the Sustainable Capacity Building Conditions, groups will work to identify opportunities to build capacity for the scenario using the learned tools from the course. Particular attention should be paid to linking the proposed solutions to the challenges identified during Session 1.

1045-1100 **Break**

1100-1200 **Session 14: Capstone Presentations**

At the conclusion of the Capstone Exercise, each group will present their Sustainable Capacity Building [Policy Guidelines OR Plan or Program Design] for the scenario, followed by an instructor-led facilitated discussion.

None

None

1200-1300 **"Working Lunch," Course Wrap-up, and Evaluations**
In the final course session, instructors and participants will engage in an informal wrap up discussion focused on the key themes of the course and key take-aways. Instructors can ask participants to identify how what they learned during the course will change the way they think about or do capacity building.

After the discussion, instructors can distribute course evaluation forms.

1. Course evaluation

None

END OF COURSE