



US Army Corps of Engineers

U.S. Army Corps of Engineers

Capacity Development

White Paper

DRAFT

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Executive Summary

Capacity Development (CD) has increasingly gained world-wide recognition as being fundamental to effective governance, capability enhancement, enhanced ownership, and successful program and project operation and sustainability. Recent events in Iraq and Afghanistan as well as Hurricane Katrina have resulted in similar lessons learned that has helped raise the issue of CD to the forefront of United States Government (USG) policy. Both U.S. civilian and military agencies are revising their methods to increase the level of focus on CD as an integral part of planning for and responding to domestic and international all-hazard events.

This CD White Paper addresses how the U.S. Army Corps of Engineers (USACE) can incorporate CD principles by laying out a series of recommendations that would provide the foundation for establishing a comprehensive CD program, where CD planning, integration and implementation would be applied consistently across all USACE domestic and international mission areas. These recommendations are based on the following analysis discussed in Section 2 of the White Paper, which are: 1) identification of current CD practices within USACE, 2) definition of existing requirements and best management practices that lead to desired end-state conditions, 3) listing the challenges that now prevent USACE from achieving the end-state conditions, and 4) provision of recommendations for a way ahead to address the challenges and take advantage of current and future CD-related opportunities.

The definition of CD, as authored by LTG Henry J. Hatch (Ret.) and as used in this White Paper is as follows:

“Capacity Development is the building of human, institutional and infrastructure capacity to help societies develop secure, stable and sustainable economies, governments and other institutions through mentoring, training, education, and physical projects, the infusion of financial and other resources, and most importantly, the motivation and inspiration of people to improve their lives.”

CD, as a management principle, has gained support within USACE over the past few years due to successful outcomes where CD has been applied and due to the less than successful outcomes where CD was not used. CD became an integral component of the USACE Readiness XXI Initiative in September 2007 and a multi-disciplined Project Delivery Team (PDT) was formed to support development of a formal CD program for application by USACE domestically and internationally. The PDT has provided input to the proposed CD framework for USACE and has provided input, review, and comment on the CD White Paper.

CD is driven by a combination of specific requirements, authorizing documents, and best management practices. Specific CD requirements typically exist within the framework of program or project level documents and pertain only to the scope of the program or project. Authorizing document, as listed in Section 1.7 and Appendix A, provide broader sanctions to implement CD as appropriate within mission areas. Best management practices are adopted from prior experiences within USACE and elsewhere, with incorporation of lessons learned to optimize CD implementation.

The use of CD in this White Paper is tied to the spectrum of conflict, as described in the U.S. Army’s Full Spectrum Operations (FSO) Field Manual (FM) 3-0. Limited aspects of CD can be



accomplished during offensive and defensive operations; however, the areas of stability operations and civil support operations present an array of opportunities for the application of CD. Water Resources is used as an example of how CD can be planned and integrated into a program and implemented throughout the conflict spectrum.

The White Paper includes a series of recommended actions that should be considered by USACE senior management. The following summarized recommended actions, organized by topic, are also contained in Section 3.0, along with additional explanation.

CD Framework: Establish and institutionalize a CD framework for USACE domestic and international application that is based on: 1) the USACE missions; and 2) successful framework models developed by other organizations for international assistance. USACE will have a consistent, proven frame of reference from which staff can implement the CD program under FSO within the U.S. and abroad.

CD Program and Structure: Establish formal CD program to manage and oversee USACE CD activities in a comprehensive, consistent manner across all USACE mission areas. The CD program will provide the necessary structure for successful planning, integration, and implementation of CD.

Incorporate the CD program into the existing scope of the Interagency/International Services (IIS) Community of Practice (CoP), to oversee and administer the program domestically and internationally. The IIS CoP will provide a permanent organizational structure from which the CD program can operate within USACE and the CD program can leverage off the existing IIS domestic and international relationships.

Interfaces, Partners and Stakeholder Involvement: CD should be formally coordinated between all participants. Effective coordination between participants will lead to less redundancy, fewer gaps, lower costs, increased efficiency, and more sustainable endpoints.

Planning and Budgeting: CD should be included as a standard element in the USACE planning and budgeting process for programs and projects. CD will become an integral part of programs and projects and will not have to be added later on an emergency or contingency basis.

Acquisition Strategy and Private Sector Involvement: Determine the extent to which the private sector should be used to supplement the in-house capabilities of USACE to carry out effective CD and how to access external resources. Balance of CD resources between USACE and private sector is optimized and methods for accessing external CD resources are readily available.

CD objectives should be considered in the acquisition strategy development process and develop CD requirements as appropriate into procurements for goods and services to ensure that CD performance standards are met during implementation. Enforceable contractual requirements for CD will be built into procurements for goods and services as appropriate; thereby eliminating confusion on expectations related to CD performance.

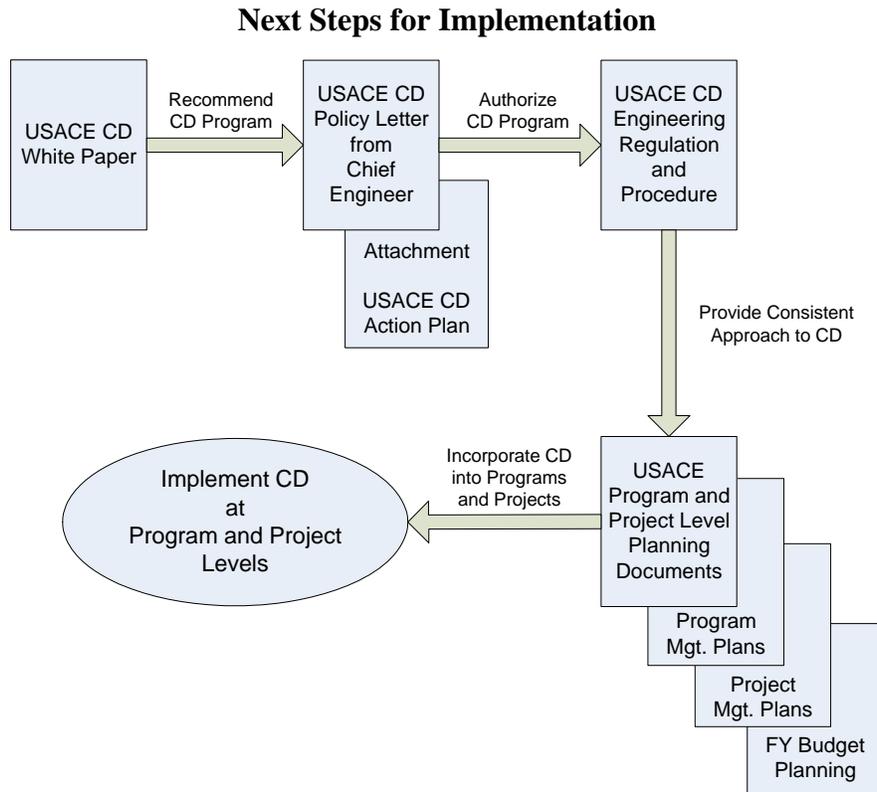
Tracking and Reporting: Establish a tracking and reporting system, based on defined metrics, to document progress in implementation of CD activities. USACE will have a readily available record of its completed activities that will aid in planning and refining future CD efforts and in responding to inquiries about the program.



Assessments and Continuous Improvement: Participate in external assessments and conduct periodic self-assessments of CD performance, based on metrics, and incorporate assessment recommendations and lessons learned into the CD program. Assessment findings, recommendations, and lessons learned regarding CD will provide valuable feedback as USACE incorporates this information to continually increase the effectiveness of the CD program.

The next steps toward implementation are for USACE senior management to review this CD White Paper and determine the way ahead. The recommendations shown above provide guidance on how to proceed with establishing a formal CD program, where the program would fit within current organizational structure, and the general roles and responsibilities of the CD program staff and the USACE staff that would be responsible for detailed planning and implementation of CD for programs and projects.

Figure 4-1 of the CD White Paper, as shown below, is a graphic proposal of how USACE senior management might proceed to establish the CD program and how the program staff would prepare the necessary guidance and requirement documents to institutionalize the CD program.



The recommendations in this White Paper reviewed by the Readiness XXI Senior Review Committee and summarized into a policy letter and action plan to be issued by the USACE Chief Engineer. This will provide authorization to proceed with a comprehensive CD program and the appropriate documents will be prepared as directives for implementation. The key document may be in the form of an Engineering Regulation or other format, as determined in the policy letter and action plan. Program and project level documents will be prepared with CD as a standard element to be considered in the planning and budgeting processes leading to the implementation of USACE programs and projects with the appropriate level of CD.