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**LEADERSHIP DEVELOPMENT:  
LEADING TRANSFORMATIONS AT THE LOCAL LEVEL**

**A UNDP CAPACITY DEVELOPMENT RESOURCE**

**Capacity Development Group  
Bureau for Development Policy  
United Nations Development Programme**

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## ACRONYMS AND ABBREVIATIONS

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<b>ADB</b>	<b>Asia Development Bank</b>
<b>CAP2015</b>	<b>Capacity 2015</b>
<b>CDG</b>	<b>Capacity Development Group</b>
<b>DFID</b>	<b>Department for International Development (UK)</b>
<b>ECDPM</b>	<b>European Centre for Development Policy Management</b>
<b>FAO</b>	<b>Food and Agriculture Organization</b>
<b>GEF</b>	<b>Global Environment Facility</b>
<b>ILO</b>	<b>International Labour Organization</b>
<b>INTRAC</b>	<b>International NGO Training and Research Centre</b>
<b>LENCD</b>	<b>Learning Network on Capacity Development</b>
<b>NORAD</b>	<b>Norwegian Agency for Development Cooperation</b>
<b>OECD /DAC</b>	<b>Organisation for Economic Cooperation and Development/Development Assistance Committee</b>
<b>UNDG</b>	<b>United Nations Development Group</b>
<b>UNDP</b>	<b>United Nations Development Programme</b>
<b>UNESCO</b>	<b>United Nations Educational, Scientific, and Cultural Organization</b>
<b>UNEVOC</b>	<b>United Nations International Centre for TVET</b>
<b>UNHABITAT</b>	<b>United Nations Human Settlements Programme</b>
<b>UNICEF</b>	<b>United Nations Children Fund</b>
<b>USAID</b>	<b>United States Agency for International Development</b>
<b>WBI</b>	<b>World Bank Institute</b>

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### Contact Information:

Conference Paper series Production team, Capacity Development Group/BDP, UNDP:

Editor: Kanni Wignaraja, [kanni.wignaraja@undp.org](mailto:kanni.wignaraja@undp.org)  
Researcher: Dalita Balassanian, [dalita.balassanian@undp.org](mailto:dalita.balassanian@undp.org)  
URL: [www.capacity.undp.org](http://www.capacity.undp.org)

## EXECUTIVE SUMMARY

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The concept behind leadership as a capacity development strategy derives from the desire to promote the capacity of a human collectivity to drive the decisions, actions and changes necessary to further the pursuit of human development goals. The ultimate objectives of leadership development include more inclusive participatory governance, improved aid effectiveness, and increased efficiency and value-added for organizations, programmes and projects at all levels. This vision of leadership focuses attention on the relationship of individuals to the group, emphasizing the development of the collectivity. In this context, leadership's relationship to capacity development is examined on three different levels: individual, organizational and societal. Of these, the societal level offers the most potential for widespread sustainable change, but it is the most difficult to reach, monitor and evaluate. Most of the initiatives analyzed in this document are tied more closely to the individual and organizational levels and results achieved within the local context.

This document provides specific evidence of existing leadership programmes, primarily within international multilateral, bilateral and non-governmental, and examines the array of methodologies and materials currently in use. It also focuses predominately on local leadership development since this is the level for which more evidence exists and which coincides best with UNDP strategic opportunity.

General lessons learned from programming experience include the importance of defining clear target populations, the inclusion of appropriate educational designs and pedagogical methods, the extension of training and instruction beyond a single event, and the necessity for working within the context and culture of the target population for achieving sustainable results. Additionally, the inclusion of a knowledge management platform insures the creation of a database system that facilitates the warehousing, replicability, and dissemination of good practice. Challenges and opportunities inherent in leadership development as a capacity development tool are often tied to the forging of leaders for 1) building the capacities of their own constituencies; b) heading management, institutional reform and transparency initiatives, and c) driving local development.

While measurement of the longer-term impact of these programmes and the indicators affecting impact are just beginning, there are nevertheless strong signals that leadership development is a powerful vehicle for developing capacity at all levels and stages of the developmental process. With regard to UNDP future investment in leadership capacity development--based on the available evidence, the UNDP mandate of fostering democratic governance, and UN experience in leadership training--UNDP is currently positioned to achieve the most impact in leadership capacity development in the area of local governance. Specifically, the following areas offer most immediate potential:

- **A focus on local elected officials** capabilities in the areas of enforcing transparency, managing institutional reform and facilitating a more inclusive decision making process in local governance (through local councils and local government).
- **A focus on civil society organizations leaders'** ability to manage development projects and administration, to expand and diversify networks, to guide and effect change both within organisations and in their environments.
- **A focus on emerging groups** with a view to strengthening community leaders' capacity for representing their particular groups' interests in the local and national development dialogue and resource allocation agenda (this is particularly true for indigenous, rural and HIV-affected populations), with particular emphasis on gender equality and non discrimination.

Within these areas of focus, some of the key lessons learnt from a capacity development perspective in this field are clear, and need to influence programming development and

implementation to better ensure success over the longer term: a) interventions and support must be designed within a 10-15 year long term vision; b) programming design needs to link to the greater societal sphere, which defines the political economy context and space for local leaders; c) regional and sub-regional Trainer to Trainer (TtT) strategies must be implemented as a means to driving and sustaining the overall process of enhancing specific skills, knowledge and overall leadership capabilities; d) monitoring and evaluation tools, that are independent and validated by stakeholders is key, to keep leadership work in objective perspective and validated.

## **I. A Conceptual Framework**

### ***Why leadership?***

The current interest in leadership as a capacity development strategy is intrinsically linked to the desire to promote the capacity of a human collectivity, not simply that of isolated individuals, to bring about the necessary decisions, actions and changes that further the pursuit of common human development goals. It seeks to strengthen group capacity to stimulate initiatives and effect influence over leaders at all levels of society. Leadership capacity strives to achieve better and more inclusive participatory governance, improved aid effectiveness, and increased efficiency and value-added for organizations, programmes and projects. This expanded concept attempts to bring more of the “wisdom of the whole”<sup>1</sup> to the process of sustainable human development.

### ***The leadership concept***

This vision focuses attention on the relationship of individuals to the group, concentrating on the development of the collective rather than on a single individual’s role within the whole. Its participatory emphasis is critical for promoting participatory democracy and more inclusive processes for decision-making and implementation. It calls for a “participatory” leadership to reorient current systems, methods and actors—both authorities and followers—in the processes of planning, budgeting and resource distribution. This concept of leadership development confronts a variety of challenges depending upon the local environment, the culture and the stage of development found within the group and the society. Consequently, leadership programmes must be customized in accordance with histories, cultures and levels of organizational development to meet the particular capacity development requirements of a given situation since different leadership qualities will be necessary for different circumstances.

### ***Power vs. Authority***

Leadership depends on both *power*--the ability to influence people--and *authority*--the ability to influence decision-making and resource allocation.<sup>2</sup> Ideally, leadership programmes encompass both, and they build on an individual leader’s innate power as well as the leader’s capacity to properly serve his or her constituency—a process that should ultimately serve to further legitimate both the leader’s authority and the influence of the collectivity as a whole. Leadership initiatives must be owned by the group. Creative, participative planning initiatives must also be linked to budgetary authority to be functional—or else not depend upon it for financing. To be effective, leadership development should be set within and effect influence over the decision-making context.

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<sup>1</sup> Surowiecki, James. (2005). *The Wisdom of the Crowds*. New York: Anchor.

<sup>2</sup> UNDP, BDP-CDG. 2005. *Leadership for Human Development: A UNDP capacity development resource*. New York: UNDP.

## **Leadership and Capacity Development**

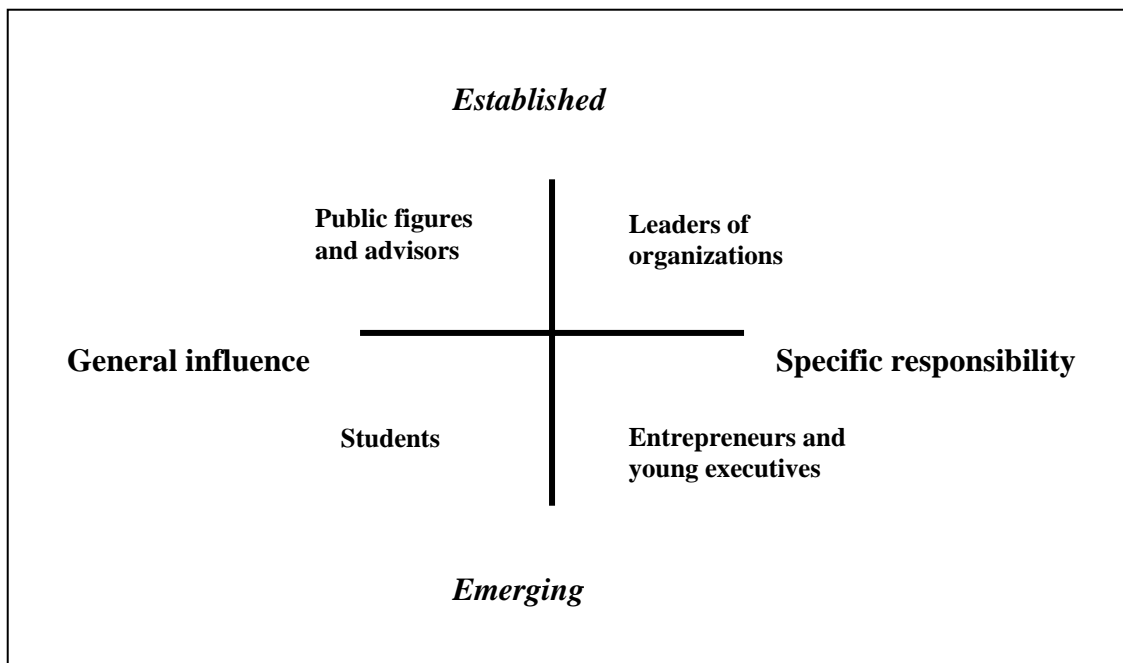
Leadership's relationship to capacity development can be examined on three different levels: individual, organizational and societal. At the individual level, initiatives usually focus on developing a range of abilities (interpersonal, communication, negotiation and analytical skills, for example) and core values. At the organizational level, the focus is on coaching for institutional reform and change through improved approaches to doing business. At the societal level, the emphasis is on bringing together the governing body and the community in an effort to change norms and processes in a way that furthers the common good. While this last level offers perhaps the most potential for sustainable, broad-based change, it is often the most difficult to reach and measure.

It is also important to mention that while this concept of leadership development stresses the importance of the collectivity as a whole, individuals in certain circumstances can act in ways that strongly influence others to follow suit and in ways that actually alter official or organizational norms. These individuals can be powerful agents of change, serving as catalysts for organizational and societal change as well. The reverse is also true: organizational and societal change can bring about transformations toward more participatory individual leadership styles and decision-making. Thus, it is important to note the fluid, dynamic and often synergistic relationship between these three levels of leadership development.

## **Leadership Typology**

The Netherlands Development Organization (SNV) presents a useful typology for visualizing the different types of leaders that emerge from different circumstantial contexts. Isolating two issues crucial for distinguishing between target groups for leadership development, the typology presents 1) the dimension of having an *established status* (or not) for the body to be led, and 2) the dimension of *specificity of responsibility* within the leadership post. Combining the two dimensions, four types of leaders emerge as indicated in the diagram below:

### **SNV Contextual Leadership Typology**



Source: Eggink, Jan Willem. *Some Notions on Leadership Development and Capacity Development*. SNV: 2005.

These different types of leaders require distinct types of support. Younger, emerging leaders tend to require more training, mentoring and information, while established and experienced leaders require more peer-related feedback, coaching and consulting. Leaders with more specific responsibilities require assistance that addresses the specific problems they encounter within their organizations, while more generally influential people with less specific responsibilities tend to benefit more from coaching for personal growth. These trends are reflected in the range of concentrations and methods offered by leadership development programmes worldwide at varying levels.

### ***Local leadership***

While all leadership development initiatives aim to develop leaders worldwide in different areas at different levels--and equip them with the necessary skills to explore their own potential and transform their organizations, institutions and societies--more work is done and more impact achieved at the local level. The local level of society is where most of the world's people live and die. It is the "political sphere" where many of the maladies of development (poverty, malnutrition, environmental degradation, inequality, gender discrimination, etc) manifest most severely. Thus, the local level warrants concentrated attention and the same level of programming commitment as the national and meso levels.

In most developing countries, there is a disconnect between the national and the local levels. For this reason, micro/macro links connecting the upstream with the downstream deserve special attention for development initiatives. When this is not achieved, the local level is often left forgotten and unattended, fostering less effective overall development progress. Within this scenario, a more mature type of development tends to be promoted at the national levels, while a weaker type of development is evident at the local levels. In spite of this, the local level may actually experience a deeper, more focused and impacting development evolution, but due to limitations in the micro/macro national/local links, this development will not be coordinated with, or be able to influence, national development initiatives.

For more effective, complete and synchronized development at every level--given that attention is already focused on the national—more systematic consideration needs to be directed at the local level. Aid effectiveness needs to be increased, development investments need to be augmented; and existing projects need to be interlinked, and innovative strategies need to be conceived and implemented.

Local leadership for human development is a catalyst for good governance and human development. It is a driver that has the potential to directly advance on-going processes; create links between existing levels; negotiate on behalf of local interests and connect them with the national; advocate for increased investments; and plan constructively for the medium and long term. Effective local leadership is a key strategic component for democratic governance, inclusion and human development.

Given this conceptual framework with its emphasis on local governance, the rest of this document provides specific evidence of existing leadership programmes that operate primarily at the local level and utilize a wide array of methodologies and materials. This paper also analyzes the evidence for what these programmes are achieving in terms of capacity development at the individual, organizational and societal level and the implications this has for future UNDP strategy and investment. While measurement of the longer-term impact of these programmes and the indicators affecting impact are just beginning to be developed, there are nevertheless strong signals that leadership development is a powerful vehicle for developing capacities at all levels and stages of the developmental process, particularly when applied at the local level.

## II. Local Leadership Development Strategy in Application

### 2.1. Capacity context

Leadership development as a capacity development strategy strives to achieve better and more inclusive participatory governance, better utilization of resources, more effective management, and increased efficiency and value-added for programmes and projects at all levels of society: individual, organizational and societal. Evidence of leadership development exists in various forms and generally comes from programmes aimed at training individuals or groups of individuals to generate change at the individual and organizational levels, most often within the local context. While the final objective of leadership development is often one of effecting societal change, it is much more difficult to secure concrete evidence for this type of transformation. This does not mean, however, that change is not occurring at the societal level.

The most tangible evidence of local leadership development comes from non-governmental, multilateral and bilateral organizations that have developed specific methodologies, materials, services and programmes for training leaders and organizations. While the target groups of these initiatives vary, many of the methods and materials are similar, as are the lessons learned in the capacity development process. Though some private sector examples of leadership development have been incorporated into this analysis, the bulk of the input for the conclusions reached in this document comes from the experience of a collection of development organizations' application of leadership development as a capacity development tool. The initiatives reviewed include 1) UN programmes, such as UN Habitat's local governance capacity development, UNDP's HIV/AIDS leadership programme, and Capacity 2015's LEAD-UPEACE local indigenous programmes; 2) NGO leadership/organizational development programmes such as those established by AVINA, Ashoka and Synergos; and 3) bilateral agency interventions, such as those of the Netherlands Cooperation Organization (SNV).

Even at the local level, leadership development is such a broad category of capacity development that it is difficult to think of a context in which it is not applicable. Better questions to formulate for considering--and then tailoring--the application of a leadership development strategy are the following:

- *For what **type of sector** are we developing leaders?*  
(business, civil society, government)
- *For what **level of interaction** are we developing leaders?*  
(community, municipal, sub-regional, meso)
- *What are the **key capacities** that need to be developed in local leaders (resource mobilization, financial management, communication, negotiation, strategic planning, education, empowerment, etc.)*

The extent to which the various groups working with local leadership development as a capacity development strategy have answered the questions presented above is reflected in the specificity of the group's vision on leadership development, the methodologies it employs, and the materials it uses in its programming. A range of alternatives is available in each of these areas. The following sections provide summaries of leadership development application in the areas of local government, civil society and excluded groups. Leadership development is currently applied in many more areas; however, these three embody the applications for which most evidence is currently available and which appear to offer the greatest potential for future UNDP involvement.

### 2.2 Leadership and Local government

#### ***Relevance of local governments***

Local governments are strategic actors in the development process for a number of reasons. First, the process of decentralization is a global phenomenon and regardless of whatever initial

resistance to change they may have experienced, central governments are now immersed in the distribution of power, responsibilities, decision-making and budgets that must accompany such a process. Secondly, moving away from the hegemony of central economies, local economies have come to be recognized as fully legitimate nodes of production that function as the core providers of wealth development. Thirdly, local governance is where citizenship expresses itself. Recently promoted concepts of increasing “inclusion”, “participation” and “growing citizenship” will be tested first and most importantly at the local level. And finally, local governments are the closest “state agency” to the people. Given their responsibility to provide basic public health and education services, they are under increasing pressure to deliver these necessities effectively and efficiently.

Although the pace of decentralization is accelerating and increasing responsibility is accruing to local governments, these governments tend to be historically weak. Capacity development, therefore, becomes a key strategy for local governments--one that can be approached in many different ways. Most approaches, however, include a major component of leadership development.

### ***Evidence of local government leadership development***

The UN, through various agencies, is involved in a number of different programmes that strive to develop leadership in local government. UNDP Regional Project for Local Governance in Latin America promotes five key capacities: strategic long term vision; transformational leadership; harmonious inter-sectoral relationships; development of institutional capacities; and increased citizen participation.<sup>3</sup> UNDP-CDG also claims five functional capacities from the project management perspective: long term strategic vision; capacity for policy formulation; inter-sectoral relationships; capacity for programme or project implementation; and effective monitoring and evaluation.<sup>4</sup> UN Habitat works directly with skills development of publicly elected officials, concentrating heavily on the official’s role as power broker and negotiator for institutional reform. And UNDP Costa Rica has been more involved with leadership development for institutional reform, procurement and transparency<sup>5</sup> and has designed and validated a holistic approach to municipal capacity development. It has also developed a manual for transparent procurement and anti-corruption, validated it in four municipalities in Huetar Norte, and is currently in the process of generalizing the experience in an effort to facilitate achievement of the MDGs at the local level.

Accumulated assets, lessons learned and experiences of the examples detailed above coincide in three key capacities that need to be furthered and developed:

- Long term vision and participatory planning
- Institutional change and reform
- Procurement and transparency

Leadership development for local governance focuses on advancing both the leadership training of individuals and the institutional reform of organizations. It is the synergy between these two parallel actions that most contributes to successful outcomes. As an approach, working exclusively on individual training can breed highly dynamic, effective individuals; however, if these individuals are constrained by the environment of their organizations, they will likely accomplish relatively little. Working on the organizations as well helps to create a more fertile environment for both individual and collective action. Consequently, leadership development directed at both individual leaders and organizations creates a combination of capacity that is more likely to be productive over the medium and long term.

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<sup>3</sup> PNUD-RBLAC, Agenda para el Fortalecimiento de la Gobernabilidad Local en América Latina. Diciembre 2004

<sup>4</sup> UNDP-CDG, Capacity Assessment Practice Note, July 2006.

<sup>5</sup> UNDP CO Costa Rica, Capacity 2015 Preparatory Asistense in Huetar Norte, 2004-2006

## 2.3 Leadership and Civil society

### *Relevance of civil society*

There are certain elements that contribute to civil society's increasing relevance in the development scheme. In terms of moral and ethical status, civil society is anchored in the paradigm in favor of justice and equality, proclaiming inclusion and denouncing poverty and inequality, particularly for excluded populations (women, rural peasants, indigenous and HIV-affected populations, among others). It focuses on the lacks and needs of emerging and marginal populations, making it the ideal development actor for promoting capacity development. Civil society is also characterized as the "civil organization" closest to the people, able to concentrate on implementation and balancing the "what" and the "how" of development. And civil society has benefited greatly from technology, which has facilitated the establishment of local, regional and national networks and platforms for political action and advocacy.

Despite these strengths, however, civil society continues to face a number of serious capacity development challenges, among them those of a) going beyond the isolated local arena; b) solving the micro/macro riddles of development; c) developing strong organizations; d) achieving economic sustainability; and e) going beyond the private/public debate. Civil society is known for its effectiveness at the local level; the challenge now is to convert effective local solutions into more generalized, less isolated answers. Similarly with the micro/macro issue, while solutions are frequently achieved at the micro level there is limited know-how for connecting the micro to macro, the downstream to the upstream. A good example of this is found in the multiple dilemmas of connecting ongoing decentralization processes that attempt to link the national, regional and local arenas. From the standpoint of organizational strength, solid long term planning, human resource development, robust accounting systems, and securing sufficient funding all remain demanding priorities. Most civil society organizations are plagued by financial constraints and depend on 3-5 year project cycles. Finally, in reference to the private/public debate, civil society is an expression of private citizenship whose voice is beginning to be heard, yet it has not acquired the necessary tools and instruments for entering the public debate and converting its knowledge into public policy. This is perhaps the most significant of the capacity development challenges facing civil society and among the many reasons that leadership development is so critical.

### *Evidence of civil society leadership development.*

The application of leadership development as a strategy for the capacity development of civil society takes a variety of forms and is directed toward a wide selection of actual and potential leaders, including NGO heads, youth, entrepreneurs, philanthropists and social activists. Initiatives are generally conducted at the local level with the aim of strengthening civil society leaders' ability to manage administratively, network, effect change and promote institutional reform. The major promoters of local civil society leadership development tend to be global or regional NGOs that effect training, either directly or through other local NGOs, that is directed at developing 1) specific organizational and individual skills, and 2) collective dialogue and bargaining power.

#### *Development of skills*

Civil society initiatives that revolve around the development of specific organizational and individual skills generally seek to develop capacities in one or more of the following categories:

**Administrative** – these focus on strengthening leaders' capacities in areas such as accounting, organizational strategy, fund raising, human resource development and knowledge management;

**Networking** – these focus on strengthening leaders' abilities to tap into other CSO leaders' experience, funding sources and informational references;

**Advocacy** – these focus on strengthening leaders' abilities to negotiate, advocate and influence policy-making.

Specific examples of these initiatives are found in the activities of international NGOs such as Synergos, INTRAC and Ashoka. Synergos' Strengthening Bridging Organizations Program provides leadership capacity building services to local organizations through a combination of peer-learning and technical support in the areas of program development, fundraising and asset building, communications, administration and advocacy. Many of the resources associated with these services are available online through Synergos' Foundation Building Library.<sup>6</sup> INTRAC offers something similar through its series of Open Training Courses, Customized Consultancies and research publications. Much of this information is also available online.<sup>7</sup> Ashoka initiatives are more targeted toward youth and social entrepreneur leadership development, but many offer the same mix of administrative, networking and advocacy oriented skill development. Ashoka programmes such as the Citizen Base Initiative, Social Financial Services and Changemakers serve, respectively, to educate leaders in ways to broaden a civil society organization's citizen base, diversify the financial structure to promote sustainability, and advocate for collective social gain.

#### *Development of collective dialogue/bargaining power*

Initiatives that strive to develop local leaders' capacity for collective dialogue, negotiation and policy influence have typically worked through scenarios that involve the coordination of multi-stakeholder discussions and problem solving around a specific issue. These exercises are usually led by experienced professionals who bring together key local leaders and direct step-by-step problem solving exercises geared toward the particular issue in question with the goal of formulating policy recommendations and collective action plans. These dialogue initiatives serve to facilitate local leader networking and capacity building for collective bargaining and policy recommendation.

Synergos has been successful with the application of this leadership development strategy through its Multistakeholder Partnerships programme, which aims to catalyze partnerships between government, business and civil society to solve more complex development challenges. This programme has been utilized for various community related initiatives in conflict situations in both South Africa and Colombia, and has also been applied to local child nutrition and sustainable food supply problems in India and elsewhere. In Latin America, Avina has also used a variation of this approach with its Interregional Dialogue programme, through which it has been effective mobilizing local leaders in Brazil to promote new coastal legislation and regulatory action. Avina has also utilized this programme to bring together leaders in the Amazon and Patagonia to advance measures for sustainable development related to water and forest resource management. Ashoka, too, has undertaken several initiatives of this nature, particularly through its Youth Venture programme. This programme educates, networks and invests in young leaders to enable them to start and lead their own social ventures and lobby for social change. Youth Venture is currently operating in Mexico, Argentina, Brazil, India, South Africa and Thailand.

## **2.4 Leadership and Emerging groups**

### ***Relevance of emerging groups***

Dealing with the development issues of emerging groups and excluded populations is relevant to development in the modern world for many reasons. With regard to the indigenous, it is estimated that there are over 350 million worldwide, representing some 4,000 languages in more than 70 countries. In Latin America alone are an estimated 50 million indigenous people who

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<sup>6</sup> See the Synergos Global Philanthropy and Foundation Building website: <http://www.synergos.org/globalphilanthropy/>.

<sup>7</sup> See the INTRAC Training website: <http://www.intrac.org/training>.

make up 11% of the region's population. In Guatemala and in Bolivia--where the indigenous movement just won the presidency of the republic with Evo Morales--indigenous people make up more than half the population. Recently, indigenous political issues have begun to be recognized at national and global levels as an intrinsic part of modernization that demand attention and inclusion.

Gender is widely acknowledged as a critical issue in international development and has begun to focus attention on the issue of gender-equality with a view to increasing both participation and economic security for women. Numerous studies and measures indicate that poverty and gender are closely correlated; in fact, UNDP has reported that a full 70 percent of those living in poverty are women.<sup>8</sup> In recent years, more development programming has begun to recognize the need for mainstreaming a gender perspective, though far more remains to be done. HIV-affected populations are another emerging group deserving of attention with over 40 million people worldwide estimated to be living with the disease.<sup>9</sup> Though significant strides have been made with research and treatment, considerably less has been accomplished with regard to the stigma and discrimination people living with HIV AIDS continue to struggle against.

Technology has worked in favor of many emerging group movements that have been systemic in their integration of well-coordinated national and international networks and it promises to be a tool that will continue to enable and empower these populations. Women's groups, indigenous and rural populations, and those living with HIV/AIDS have begun to network extensively and connect nationally, regionally and globally. In Latin America, for example, even many indigenous groups are organized by political networks and supported by electronic platforms such as the Confederación de los pueblos indígenas de Bolivia (CIDOB); Movimiento indígena de Nicaragua (MIN); and the Asociación de Mujeres Indígenas de la Costa Atlántica (AMICA).

Capacity development is a key component toward furthering the autonomy and well being of emerging groups. Those perceived as "emerging" social groups for whatever reason are often offered humanitarian assistance, but are less often offered an opportunity to further their own capacities. Integral individual, organizational and societal capacities need to be constructed with these populations for them to be in a position to increase their participation and advocacy.

### ***Evidence of emerging groups' leadership development***

With all emerging groups, from an individual perspective, skills need to be built in the areas of systemic long term planning; negotiation with governments; ethics and decision making; deeper understanding of sustainable development; and gender issues. The relationship between vision, objectives, organization and resources needs to be made clear. From a societal perspective, political skills need to be reinforced in the development of leadership for emerging groups, as do the capacities for building local/national links, negotiating with national and international institutions, and defining relevant policy.

As part of the evidence for leadership development with emerging groups, UNDP-Capacity 2015, LEAD international (Leaders for Environment and Development) and UPeace have joined forces in a regional programme for local indigenous and peasant leadership in Latin America. The training programmes have started in Central America with the training of leaders from Guatemala, El Salvador and Costa Rica. The main thrust of the programme is the development of skills in long-term vision, negotiation, culture, and systems thinking; the establishment of sub-regional networks; and concentration on the individual/organizational change management scheme.

UNDP has been progressive in its development of local leadership within the HIV/AIDS programme and has produced significant instructional material and programming documentation.

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<sup>8</sup> UNDP. 1999. Meeting on Women and Political Participation: 21st Century Challenges UNDP, 24-26 March 1999. New Delhi, India.

<sup>9</sup> UNAIDS. 2006. Uniting the World Against AIDS. <http://www.unaids.org>.

The programme has also chosen to operate through various different publics (arts and media, local leaders, women, etc.), which has broadened both the range of activities involved and the kinds of results achieved. With gender, local leadership initiatives have at times been directly targeted, as with some of the UNDP/UNIFEM programmes to increase women's participation, though often they have been more indirect, targeting instead women's ability to become more economically secure. This has been the case with certain community NGO interventions, such as some of Ashoka's and AVINA's micro-business oriented programming.

### III. Operational Implications

As with the strategies in application, for the operational aspects of programming, a number of generalizations can be made across programmes and organizations about general lessons learned, knowledge management, and the major challenges and opportunities now facing those involved in the utilization of leadership development as a capacity development strategy. Below, some of the more predominant findings in the current literature are presented.

#### 3.1 Vision statements

What organizations actually set out to do and how they attempt to do it begins with a statement of vision. Some organizations are very specific about what they are trying to accomplish through leadership development—with regard to the sector, the level of interaction, the thematic areas covered, the nature of the interventions provided, or all of the above.

SNV presents a strong vision statement about “achieving the “golden mix” between organizational, societal and individual coaching, training and networking of leaders for sustainable development in a coordinated way.”<sup>10</sup> Capacity 2015 is also quite clear with its LEAD-C2015-LA-UPEACE programme in that it proposes to transform local peasant and indigenous leaders into effective activists through training on leadership “meta-disciplines” such as systems thinking, negotiation and ethics.<sup>11</sup> UN Habitat is focused, as well, in its vision to “strengthen the capacity of local governments through the introduction of good local leadership practices.”<sup>12</sup> And the UNDP HIV/AIDS Leadership Capacity Development is another example of an explicitly defined leadership development vision as it states that the group “supports the implementation of approaches and methodologies that embody governance in action: bringing together leaders from government, civil society...and the business sector to generate individual and collective commitment and sustainable action in response to the underlying causes of the epidemic.”<sup>13</sup>

Other groups are less specific, either with regard to their visions overall or else with regard to how their visions incorporate leadership development. This does not mean, however, that they are necessarily less effective leadership developers. The NGO Synergos, for instance, has a clear vision of aiming to bridge divides that emerge from separated sectors, levels of society and cultures by bringing the various actors together to build common ground and joint action to reduce poverty and inequity.<sup>14</sup> The vision is less specific about local leadership development, yet various Synergos' initiatives—the Strengthening Bridging Organizations Program, for one, which provides for the continuous development of community civil society organizations—are oriented directly toward local leadership development.

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<sup>10</sup> Eggnik, Jan Willem. *Some Notions on Leadership Development and Capacity Development*. SNV: 2005.

<sup>11</sup> Romero, José. An overview of the LEAD-C2015-LA-UPEACE local leadership process. C2015-LA August 2006

<sup>12</sup> UN-Habitat (2006). Training and Capacity Building Branch (TCBB). Local Elected Leadership Series. <http://hq.unhabitat.org/programmes/tcbb/LEL.asp>.

<sup>13</sup> UNDP HIV/AIDS. (2006) Leadership Capacity Development. [http://www.undp.org/hiv/focus\\_lcd.htm](http://www.undp.org/hiv/focus_lcd.htm).

<sup>14</sup> Synergos. (2006). Programs and Places. <http://www.synergos.org>.

Ashoka, an NGO committed to youth and social entrepreneurship, also has a vision statement that is clear, but not directed specifically toward local leadership development: “to shape a citizen sector that is entrepreneurial, productive and globally integrated, and to develop the profession of social entrepreneurship around the world.”<sup>15</sup> Nevertheless, the overall goal of Ashoka’s Innovative Learning Initiative (ILI), for example, is to educate and empower youth in an effort to change fundamentally the role of young people such that society values youth as a powerful agent for social change. By encouraging young people to take active roles in addressing local social problems, learning and leadership skills are significantly fostered and developed.

### 3.2 Methods and materials

If the vision statement sets the stage for the direction of an organization’s activities, then the methods and materials it utilizes to further its objectives are what define its role as a development player. And generally, the degree of specificity of the vision will determine the degree of specificity of the particular methods, materials, tools and even partners the organization employs in pursuit of its goals. Those with clearly defined leadership visions have developed similarly precise materials and ways of working.

The UNDP HIV/AIDS programme stands out noticeably in this regard. Along with its clearly defined vision, it has produced a well-defined set of tools for the implementation of the vision. The group begins with published Strategy Notes for its Leadership Development programme, Community Capacity Enhancement programme, and Arts and Media initiatives, which serve to outline the rationale and strategy behind each of these endeavors. The Strategy Notes are accompanied by Implementation Guides or Handbooks, which serve as practical tools with useful information for the various HIV/AIDS group members, coaches and partners who will be involved in the logistics of rolling out the programmes.<sup>16</sup>

In addition to the Strategy Notes and Implementation Guides, the UNDP HIV/AIDS group has also produced a Measuring Results publication that provides a framework for monitoring and measuring results on a variety of fronts from addressing stigma and discrimination to increasing treatment and mitigating social and economic impacts—all of which serve to further the Millennium Development Goals and the UNGASS targets as well.<sup>17</sup> The group has further produced a Compendium of Resources that offers a collection of published documents and other strategic programme and policy related material.<sup>18</sup> These materials include such diverse tools as booklets, reports, magazines, films and posters. By creating methods and materials that take the initial vision through every stage of conceptualization, implementation, measurement and documentation, the UNDP HIV/AIDS group has accomplished what very few others have for leadership development as a capacity development strategy.

UN Habitat has created a series of handbooks and manuals for training local government officials. It has produced eleven specialized manuals that have been translated into 25 languages and used to professionalize the work of local public figures. The topics and titles of these manuals in the UN-Habitat *Training for Elected Leadership Series* correspond to the various skills required of these local leaders and define the scope of the interventions.<sup>19</sup> UN Habitat has

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<sup>15</sup> Ashoka. (2006). Innovators for the Public. <http://www.ashoka.org>.

<sup>16</sup> UNDP HIV/AIDS. (2006) Leadership Capacity Development. [http://www.undp.org/hiv/focus\\_lcd.htm](http://www.undp.org/hiv/focus_lcd.htm).

<sup>17</sup> UNDP HIV/AIDS. (2006) Leadership Capacity Development. *Responding to HIV/AIDS: Measuring Results*. [http://www.undp.org/hiv/docs/prog\\_guides/measurement.pdf](http://www.undp.org/hiv/docs/prog_guides/measurement.pdf).

<sup>18</sup> UNDP HIV/AIDS. (2006) Leadership Capacity Development. *UNDP HIV/AIDS Practice: Compendium of Resources*. [http://www.undp.org/hiv/docs/alldocs/catalog.pdf?d\\_id=268684&q11n.enc=ISO-8859-1](http://www.undp.org/hiv/docs/alldocs/catalog.pdf?d_id=268684&q11n.enc=ISO-8859-1).

<sup>19</sup> UN-Habitat. (2006). Training and Capacity Building Branch (TCBB). Local Elected Leadership Series. <http://hq.unhabitat.org/programmes/tcbb/LEL.asp>.

- Handbook 1 *Perspectives on Training Elected Leaders*
- Handbook 2 *The Councillor as Policy-maker*
- Handbook 3 *The Councillor as decision-maker*
- Handbook 4 *The Councillor as Communicator*

incorporated a Best Practices and Local Leadership Programme as well in an attempt to document and disseminate particularly successful initiatives.<sup>20</sup>

The Capacity 2015 LEAD-UPEACE programme has also produced a wealth of validated educational materials for the training of local leaders in systems thinking, negotiation skills, ethics, cultural aspects of leadership, group dynamics and networking. These LEAD-UPEACE manuals on leadership for local sustainable development currently exist in Spanish.<sup>21</sup> Synergos, too, has developed a number of in-house training and knowledge management materials directed at NGOs operating at the local level, most of which it makes accessible through its website. In contrast to the UNDP HIV/AIDS group, however, none of these other programmes have incorporated the same degree of measurement and/or documentation/dissemination of best practice along with their implementation materials, and therefore do not offer quite as complete a spectrum of tools.

At the opposite end of the spectrum are the organizations that are actively involved in local leadership development initiatives but that operate primarily through partner organizations and, therefore, do not have proprietary leadership development material production as one of their priorities. AVINA and SNV fall into this category.

### 3.3 Programming and lessons learned

#### ***Definition of clear target-populations***

The definition of clear target populations makes for much more focused projects and programmes and generally makes it easier to judge results. LEAD-C2015-UPEACE works with local leaders, specifically peasant and indigenous leaders in Latin America. The programme has precise criteria for participation candidates, which must be 1) of rural peasant or indigenous origin; 2) aged 18-30; 3) primary school education certified; and 4) involved in local political movements and active in an ongoing productive project for sustainable development. This clear definition of participants allows for focused and effective training in terms of language, politically and culturally relevant examples, and thus more communicative and effective training. The SNV typology referred to earlier also emphasizes the necessity of defining target populations—in this case, students, public figures, leaders of organizations, and young entrepreneurs involved in business—and tailoring the type of support to correspond with the type of leader targeted.<sup>22</sup>

UN-Habitat, to give another example, works with elected local public officials. The main functions and roles of local public officials have been identified in terms of policy and decision-making, communication, conflict management, negotiation, power brokering, financing, and institution

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- Handbook 5      *The Councillor as Facilitator*
  - Handbook 6      *The Councillor as Enabler*
  - Handbook 7      *The Councillor as Negotiator*
  - Handbook 8      *The Councillor as Financier*
  - Handbook 9      *The Councillor as Overseer*
  - Handbook 10     *The Councillor as Power Broker*
  - Handbook 11     *The Councillor as Institution-Builder*

<sup>20</sup> UN-Habitat. (2006). Best Practices and Local Leadership Programme. <http://hq.unhabitat.org/programmes/bestpractices/default.asp>.

<sup>21</sup> LEAD-UPEACE manuals on leadership for local sustainable development currently available in Spanish:

- *System's Thinking- Facilitator's Manual-Participants Handbook*
- *Negotiation- Facilitator's Manual-Participants Handbook*
- *Ethics and Decision-making-- Facilitator's Manual-Participants Handbook*
- *Culture and Leadership.-Facilitator's Manual-Participants Handbook.*
- *Groups and Networking .-Facilitator's Manual-Participants Handbook.*

<sup>22</sup> See SNV reference to "Some Notions on Leadership Development and Capacity Building," page 5.

development. Eleven specialized manuals have been developed and translated into 25 languages to professionalize local public figures in these roles. This specificity allows for focused education.

Ashoka dedicates its efforts to the empowerment of youth worldwide, though it works through organizations active at the local level. Ashoka identifies NGOs with innovative local social projects and supports the individual leaders within these institutions. Youth empowerment, civil participation and social entrepreneurship are the primary areas in which Ashoka works in an effort to direct local youth talent toward social good.

Clear target populations allow for adequate language, concepts and relevant examples to be utilized in specialized training programme and materials. This, in turn, facilitates and nurtures learning.

### ***Pedagogical considerations for programming***

A number of pedagogical considerations also apply to successful programming:

- ***The right educational design*** - This refers to understanding how central the scope of the leadership training programme is in terms of individual, organizational or societal breadth. It implies defining whether the programme will focus on developing individual skills, training the leader for organizational change, or procuring ample influence of societal trends. A clear scope defines clear educational objectives.
- ***Pedagogical method*** - In an evolutionary continuum, there is evidence that stand-alone training does not have as much impact as integrated processes. This mix of training, coaching and networking seems to be an effective combination for more effective production of leadership schemes.
- ***Inclusion of more than a single event*** - For learning purposes, time for application of new knowledge and time for assimilation appears as a critical element in most existing programmes.

To give some examples of these considerations in application, SNV in Niger proposes a 9-month period with three four-day sessions of face-to-face trainings. SNV in Albania proposes five master sessions of two days each on the following topics: *Lead yourself, lead others, lead society and stay in the lead*. LEAD-C2015-LA-UPEACE proposes a 3-month period with two five-day face-to-face trainings and a strong, well planned inter-sessional period where knowledge is tested. The UNDP HIV/AIDS programme has designed and validated a six-to-nine month programme, with three sessions of three days each.

### ***Working within the context and culture of the target population***

Understanding the particular context and culture of a programme's chosen target population and working within it to create a realistic operating scenario seems to be another important lesson learned for leadership development programming, particularly at the local level. Different initiatives manifest this lesson in their respective programmes in different ways:

The UNDP HIV/AIDS leadership programme appreciates culture as an inherent part of all its trainings. The HIV/AIDS pandemic, in its societal expression, is a cultural phenomenon. HIV/AIDS educational interventions work directly with behavioral change that focuses on death, sexuality, and gender issues, the most intimate elements of human nature. It is not possible to practice prevention, attention or leadership programming without considering the most intimate cultural aspects of people's beliefs.

The LEAD-C2015-UPEACE leadership programme specializes in local rural peasant and indigenous populations in Latin America. The local level has its own culture, just as the peasant and indigenous people each have their own diverse and rich cultures. These elements demand that cultural aspects be taken into account when working with leadership. As an inherent part of the method, LEAD-C2015-UPEACE proposes a “cultural mediation and adaptation workshop” as a required step. During this workshop, three fundamental issues—simplicity of concepts, language, and relevant best-case practices—are defined and channeled into the training process.

UN-Habitat is committed to the development of capacities of the local governments. As the “excluded” actor of public development, this marginality generates cultural and political demands in terms of “inclusion, participation, bottom-up approaches, and negotiation” with the national level. The 11 manuals for local elected leaders deal with specific topics that build empowered action.

### ***The leader’s environment and the environment/leader virtuous cycle***

Given the natural relationship between the leader, his group and the environment, it becomes imperative to work with the leader’s environment in a way that augments his influence. Ashoka, for example, identifies innovative leaders within NGOs performing groundbreaking work. It supports leaders in the implementation of their dreams, thus developing their capacities to further influence their natural environment. UN-Habitat extracts local authorities from their local government environments, trains them, increases their skills, professionalizes them, and returns them to their natural local government environments. LEAD-C2015-LA-UPEACE, sets as a prerequisite for enrollment of local leaders direct involvement in local sustainable projects. During the inter-session periods they apply new knowledge and skills to their sustainable projects; during the second round of training, they consolidate their new skills through an action plan.

There is a virtuous cycle between the context, the natural environment, the growth of leaders, and their return to his/her context. Leaders do not perform in a vacuum. Leadership training cannot limit itself to individual skills that premise a distance between the individual and the group. Working the natural relationship between the leader, his constituency, and the environment strengthens all components of this systemic whole.

### **3.4 Knowledge Management**

More lessons learned need to be captured, systematized and developed to provide a more direct means of nurturing existing leadership programmes and networks. To this end, UN-Habitat established The Best Practices and Local Leadership Programme (BLP) in 1997 in response to the call of the *Habitat Agenda* to make use of information and networking in support of its implementation. It is a global network of government agencies, local authorities and their associations, professional and academic institutions and grassroots organizations dedicated to the identification and exchange of successful solutions for sustainable development. The objective of the BLP is to raise awareness of decision-makers on critical social, economic and environmental issues and to better inform them of the practical means and policy options for improving the living environment. It does so by identifying, disseminating and applying lessons learned from Best Practices to ongoing training, leadership and policy development activities. Best Practices are actions that have made a lasting contribution to improving the quality of life and the sustainability of our cities and communities. BLP partners are specialized in such areas as housing and urban development, urban governance, environmental planning and management, architecture and urban design, economic development, social inclusion, crime prevention, poverty reduction, women, youth, cultural heritage, municipal finance and management, infrastructure and social services.

Synergos has also dedicated a fair amount of resources to knowledge management. One example of this is the organization’s Foundation Development Library, an online database for disseminating a variety of organizational capacity development tools and references. AVINA, too,

has recently moved in the direction of knowledge management with its *Let's Share* database and forum for exchange of information and experience among practitioners. With 500 registered users, AVINA reports over 7,000 exchanges during the past year.

C2015-LA has developed the Information Learning Network for Latin America (ILN-LA).<sup>23</sup> It maps regional capacities in strategic topics for local sustainable development in the fields of local governance, local leaderships, environment-poverty links, and indigenous capacities. It focuses on capturing existing formal courses, in all its formats, face-to-face, on-line, etc. making relevant information available, and thus increases the supply of available courses in the region. As an example for formal university courses on indigenous affairs, the ILN has identified 17 universities in the region that offer formal courses on law and human rights, culture and language issues, autonomous development.

### **3.5 Challenges and opportunities**

#### ***The time element***

As we have evidenced most of the local leadership programmes run for a 3-5 year period; their existence is determined by the duration of available financing; during this time line programmes can consolidate and measure behavioral changes at the individual level, but is it too soon to adequately measure sustainable results in organizations and societies. In this regard, the design and implementation of leadership programmes need to be conceived, planned and projected in a 10- to 15-year timeframe. This is the time period necessary for observing how individual behavioral change affects organizational reform, and how this in turn affects societal change. Behavioral change, institutional reform, and societal transformation taken together as a whole can take years to effect. The longer-term time element is necessary to monitor change in a reliable manner. It is unfair to monitor behavioral change without allowing enough time to witness the potential outcome or impact this has had at the societal level.

#### ***Forging local leaders for management, institutional reform and transparent procurement practices***

Management, institutional reform and transparent procurement practices have been identified as three core areas requiring leadership development. Good training and coaching programmes that focus on developing the theory and practice of these key areas are a challenge that still needs to be addressed in terms of leadership development for both government officials and civil society leaders. Relevant, replicable programmes still need to be designed, validated and scaled up.

#### ***Forging the capacities of local leaders' constituencies***

Most of the programmes that were reviewed for the preparation of this document focus on individual leadership skills and the increased influence they can exercise in a group, but they do not seek to develop the capacities of the group/constituency. Developing the capacities of the group/constituency implies a capacity development assessment/strategy exercise that will allow the leader to discover capacity assets, needs and gaps so that he and the group may develop individual, institutional and societal capacities. The development of a leadership training programme to achieve this and put it into practice has yet to be constructed. UN-Habitat has begun to move in this direction with some of its achievements. One of their local government training manuals focuses on the relationship between the leader and institutional development, though much remains to be developed and validated.

#### ***Instructional design***

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<sup>23</sup> For additional information, please refer to the ILN-LA website: <http://iln-la.nivel7.net/>.

During this review, we have seen that most leadership training programmes have strong components in individual training and its influence in their organizations, yet they are fragile when confronted with their design and practice towards influencing societal enabling environments. Nurturing the virtuous link between the leader and his environment is certainly a step forward; training leaders for societal capacity development represents another important step. Now, these elements need to be incorporated into a curricular design structure, systematized, and validated in diverse contexts.

### ***Monitoring and evaluation tools***

Capacity development has done limited rigorous work in the field of evaluation of capacities and leadership. From a methodological standpoint, Results Based Management contributes with setting the capacity development context and then defining the capacity development output and outcome indicators, but not much experience has been accumulated. Proposed general indicators for measuring behavioral and organizational changes in leadership programmes are yet to be designed and validated.

From a local participatory perspective, IDRC has developed the Outcome Mapping methodology, which systematizes bottom-up, participatory approaches with the rigor of ad hoc progress indicators. Unfortunately, Outcome Mapping has not yet been linked to RBM and applied to leadership training programmes. Overall, few institutions set aside the necessary funds for monitoring and evaluation purposes. As a result, few formal evaluations are available for existing leadership programmes with which to derive lessons learned.

## **IV. Final Comments**

From a development perspective, the ultimate objectives of leadership development include more inclusive participatory governance, improved aid effectiveness, and increased efficiency and value-added for organizations, programmes and projects at the individual, institutional and societal levels. The initiatives analyzed in this document have been associated more with development at the individual and organizational levels and results achieved within the local context, since this is the level for which more evidence exists and which coincides best with UNDP strategic opportunity.

In terms of lessons learned for programming, the following stand out as indispensable: definition of a clear target population; utilization of a method that includes a good mix of training, coaching and networking; inclusion of more than one single training event; the appreciation of context and culture as crucial elements in the training programme; and the nurturing of the virtuous cycle between the leader and his environment.

Institutional profiles highlight the existence of strong, clear visions; a wide array of methodological alternatives and materials; a strong focus on individual development of traits and skills, with relevant connections to organizational reform; and a strong need to overcome the rather weak evidence for societal influence.

Given the abovementioned programming evidence and the importance of UNDP's mandate for fostering democratic governance, UNDP is strategically positioned to further local governance-directed leadership training. "Governance" here is understood in the broader sense of the word and incorporates all development actors including government, civil society and excluded social groups. Much can be accomplished utilizing existing programming knowledge (such as that developed internally with the HIV/AIDS programme, as well as that developed in conjunction with partners--such as with the C2015-LEAD programme—or in other UN agencies, such as with UN Habitat) and adapting it to new contexts. Based on the evidence examined, specific areas of focus within the governance spectrum that particularly warrant exploration for applying existing programming knowledge are the following:

- **A focus on local elected officials** capabilities in the areas of enforcing transparency, managing institutional reform and facilitating a more inclusive decision making process in local governance (through local councils and local government).
- **A focus on civil society organizations leaders'** ability to manage development projects and administration, to expand and diversify networks, to guide and effect change both within organisations and in their environments.
- **A focus on emerging groups** with a view to strengthening community leaders' capacity for representing their particular groups' interests in the local and national development dialogue and resource allocation agenda (this is particularly true for indigenous, rural and HIV-affected populations), with particular emphasis on gender equality and non discrimination.

Within these areas of focus, specific conditions should be met in programming development and implementation to better insure success over the longer term: a) interventions and support must be designed within a 10-15 year long term vision; b) programmes need to link to the greater societal sphere, which defines the political economy context and space for local leaders; c) regional and sub-regional Trainer to Trainer (TtT) strategies must be implemented as a means to driving and sustaining the overall process of enhancing specific skills, knowledge and overall leadership capabilities; d) monitoring and evaluation tools, that are independent and validated by stakeholders is key, to keep leadership work in objective perspective and validated.

a) **Vision and designs over a 10-15 year horizon.**

Leadership capabilities take time to nurture and grow. It is also rarely a quick fix as local leaders need to build and deepen relationships and networks of trust over time. As evidenced, one of the main drawbacks of current leadership development work is that the design, implementation and evaluation processes do not have enough breadth in terms of the timeframe to allow for initiatives to move from the individual to the organizational and social spheres; and to evaluate them adequately and learn from them. Facilitation and support in this field needs a process perspective, where long- and medium-term partnerships support the process, regardless of the more limited project timeframes.

b) **Programmes need to link to the societal sphere in which the space for leadership development is defined (or confined).**

Pedagogically speaking, most of the reviewed leadership initiatives do not link the individual with the other social spheres. Understanding and using the political economy as context, often determines the success or failure of a leadership support effort. Developing the capacities of the group, or the community, is therefore as essential a part of this process, as a focus on the leader as individual. Working with the social and cultural environment, clarifying the ways in which the environment can propel and support the leader—all of these need to be fed into the design and implementation or leadership development processes.

c) **Implementation of regional and sub-regional Trainer to Trainer (TtT) strategies.**

Programming guidelines and lessons learned are relevant if they can be put into practice. Theory is important, but more relevant is its validation or adaptation in practice. We know the "what's". We need to invest more in the "how". Becoming true experts in the "implementation" realms is part of the development challenge and way forward. Horizontal coaching and learning among trainers and organisations working in this field are key.

d) **Independent Monitoring and Evaluation tools that cover leadership processes.**

As has been evidenced throughout this document, there have been a number of important but rather weak efforts to design, and validate sensitive tools for M&E of capacity development and leadership processes. This is a field that is as subjective as it is political. The more transparent the monitoring and review processes, the more multi stakeholder the engagement on feedback, the more rigorous and systematic the interventions and support. If results (both good and bad) are substantiated with evidence; methodologically framed and

clearly documented and communicated, the process could become less “sensitive” and politicized.

UNDP investment in the above areas could serve to accomplish a great deal for advancing the niche of Leadership Development as a capacity development strategy. This investment will contribute significantly to strengthening democratic participatory governance, particularly at the local level.

## ANNEXES

### ANNEX 1. Case Studies.

In accordance with the organizational methodology developed to measure the impact of the leadership development programming of each of the organizations studied, we selected the highest scorers for developing three case studies. These are the UNDP HIV/AIDS Leadership Development Programme, the UN-HABITAT Local Elected Leadership programme, and the Capacity 2015 Latin America LEAD-UPEACE local leadership programme. The full case studies are presented below.

#### **Case Study 1. UNDP HIV/AIDS Leadership Capacity Development Programme**

The UNDP HIV/AIDS Leadership Capacity Development Programme is one of UNDP's most thoroughly developed leadership development initiatives. Since 2002, it has been applied in over 30 countries around the world to scale-up and lead change in the national responses. The vision aims to bring together leaders from government, civil society and the private sector to generate individual and collective commitment and sustainable action in response to causes of the epidemic. The strategy is composed of mutually reinforcing programmes that progressively build leadership and institutional capacity over a three-year period:

#### Leadership for Results: A Set of Synergistic Initiatives



Methods and materials for the programme include Strategy Notes and Implementation Guides for each of the programmes mentioned above, along with a measurement framework, *Responding to HIV/AIDS: Measuring Results*, and a *Compendium of Resources* that offers a collection of specific documents, reports and strategic materials for practitioners.

While the programme has been most active in Sub-Saharan Africa (Botswana, South Africa, Ghana and Ethiopia, for example) and Asia (Cambodia, China, India and Papua New Guinea, among others), it is also being implemented in Eastern Europe, the Arab States, nearly all of the Caribbean islands (Haiti, Jamaica and the Dominican Republic among them), and several countries in Latin America (El Salvador, Mexico and Bolivia). The transformation oriented Leadership Development Programme (LDP) brings together leaders from all levels of society to participate in action learning sessions held over the period of a year in which they discuss the factors influencing the spread of the epidemic and develop new strategies for implementation. Working in groups, they develop breakthrough initiatives designed with several key criteria: leverage, visibility, measurability, and the demonstration of short-term results, as well as

sustainability. These initiatives are put into action between sessions and it has been demonstrated that this individual empowerment leads to increasingly effective organization and institutional responses as participants bring their insights back to their working environments.

Partnerships—with other UN agencies such as UN-Habitat, CSOs, governments, businesses and arts and media—form another integral part of the leadership programme and enable projects to catalyze actions that stimulate sustainable action beyond the life of the project. Nevertheless, while some degree of evidence exists for examples of societal change, documentation in this area is still weak, partly as a result of the fact that the programme has only been in operation for less than four years.

### **Case Study 2. UN-Habitat Local Elected Leadership Programme**

Guided by the assumption that many of the problems facing local elected leaders are so complex that they require leadership strategies as opposed to mere administrative solutions, the United Nations Human Settlements Programme (UN-Habitat) has developed a Local Elected Leadership programme through which it aims to strengthen the capacity of local governments through the introduction of good local leadership practices. UN-Habitat has developed and tested a series of training handbooks to assist councillors to represent the citizens, provide civic leadership and effectively work with central government and with the management, technical, and professional staff in local authorities and other local institutions. These handbooks cover policy and decision making, communication, negotiation and leadership, attending, managing and conducting meetings, councillors' enabling and facilitating activities, financial management and other related needs. Additional assistance for trainers using these handbooks has been published in the companion *Trainer's Guide for Training of Elected Officials*.

UN-Habitat has also incorporated a knowledge management aspect by establishing The Best Practices and Local Leadership Programme (BLP), a global network of government agencies, local authorities and their associations, professional and academic institutions and grassroots organizations. The objective of the BLP is to raise awareness of decision-makers on critical social, economic and environmental issues and to better inform them of the practical means and policy options by identifying, disseminating and applying lessons learned from Best Practices to ongoing training, leadership and policy development activities.

Training focuses on challenging the processes for getting things done by constantly questioning the size of, and need for the varying bureaucratic mechanisms a given government has developed over the years. Attention is also given to the creation and inspiration among others of constructive visions. Enabling others to act is another strategy employed for achieving many of the programme's objectives and is probably the most valuable training for helping leaders to get things done in the local environment. The programme has carried out a couple of pilots in most regions—Costa Rica and El Salvador in Latin America, Kenya and Uganda in Africa, Lithuania and Romania in Eastern Europe and Vietnam in Asia—and has translated the materials into 25 languages to enable replication of programming across the globe, which is now beginning to take shape.

By influencing local elected officials to become more knowledgeable about an increasingly complex set of interrelated issues through developing competencies in decision making, communication, facilitating, overseeing and empowering, UN-Habitat produces these individuals with broader vision and capacity. By taking this back to their governing environment, local leaders better represent citizens, provide civic leadership and more effectively work with central government and with the technical and professional staff in local institutions. Evaluation and documentation of the impact of the programme at the societal level, however, is still sparse.

### **Case Study 3. LEAD-C2015-UPEACE project- Peasant and Indigenous Leadership in Latin America.**

Capacity 2015 in Latin America has partnered with the LEAD International (Leaders on Environment and Development) and UPEACE (University of Peace, based in Costa Rica) with the launch a local leadership training programme that supports the vision that it is possible to “transform local peasant or indigenous leaders into effective activists through training on leadership metadisciplines<sup>24</sup>, in order to strengthen their on going local sustainable projects and processes”.

The following disciplines are included in the modules taught<sup>25</sup>:

- Systems thinking, the art of going from short term to long term vision.
- Negotiation, the power to influence others.
- Ethics and decision making, integrity as the core to transparent procurement.
- Leadership and cultural affairs, or learning to respect and negotiate with diverse groups.
- Networking, the promise of nurturing the group and creating sustainability of local sustainable development projects.

The selected target population is that of peasant or indigenous leaders in Latin America, 18 to 30 years of age, who have completed primary school education, are involved in on-going local sustainable projects, and participate in active local political movements. The methodology is composed of four main steps: 1) a cultural mediation and adaptation workshop, 2) a first training session of five days on skill building, 3) an inter-sessional period (going back to the governing environment), and 4) a second training on consolidation and networking.

During the “cultural mediation and adaptation workshop” the LEAD materials mentioned above are reviewed. The method demands the reconsideration by 5 local leaders, 5 academics dedicated to local sustainable development and 2 LEAD facilitators. Each module is reviewed by all three groups from the perspective of its application to the target population, selection of core concepts, simplicity of language, cultural and politically relevant case studies.

Once the materials have been adapted, the first training sessions takes place during 5 full days. Paulo Freire’s participatory teaching techniques<sup>26</sup> are used to guarantee assimilation of knowledge. At the end of the programme, and action plan for the application of “new knowledge and skills” in the context of their local sustainable projects is defined. Once this takes place, student/leaders come back for a three day training, where “consolidation” of knowledge is emphasized, and the group as a whole, works on team building and networking. The over all process lasts 3-months. Five days (or 40 hrs) of presential training; one and a half months of application to local sustainable projects during the intersessional period (with 5 hrs a week average, times 6 weeks, equals, 30 hrs of applied work), plus three days (25 hrs of presential work) for review of work planes, consolidation of knowledge and setting up of the network. This generates a total of 100 hrs for the full process.

During 2006, this process was validated with local leaders from the GEF-SGP from Costa Rica, El Salvador and Guatemala. The process was formally evaluated, base line information was set, and the process will be monitored over the next five years. Major lessons learned derived from the process include the following:

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<sup>24</sup> A metadiscipline is a core, essential, cross-practice that is necessary to leadership, regardless of the level and setting.

<sup>25</sup> LEAD launched an in depth questionnaire to 300 of its LEAD fellows and interviewed them in order to define the “MAIN” disciplines, all leaders need to go through regardless of level and setting. These modules are a result of this future vision evaluation process.

<sup>26</sup> Paulo Freire, *Pedagogía del Oprimido*, Siglo XXI.

- When working with local leaders in Latin America, whether peasant or indigenous, the cultural mediation workshops are fundamental. They allow for the adaptation of materials, language, and the selection and usage of culturally and politically relevant case studies for educational purposes.
- Training materials need to be adapted in terms of selection of concepts, simplicity of language, and relevant case studies.
- Freire's participatory teaching method is very useful to maintain the interest of the group, participation and effective learning.
- A curricular design that allows for the application (inter-sessional period) and consolidation (second participatory workshop) seems necessary.
- The formal evaluation will show whether the above combination of elements is sufficient to impact societal spheres.

Current challenges for the programme include designing and validating Trainers-to-Trainer modules, taking the vision from the pilots to the regional level, designing and validating Monitoring and Evaluation mechanisms, and securing funds for the regional programme and formal evaluations.

## Annex 2 - Measuring Impact

### *Organizational Profiles on Leadership Development Programmes*

Given the relative dearth of monitoring and evaluation tools available for accessing existing leadership development programmes, this study began its investigation into the impact of the various organizations reviewed by developing the following methodology: 1) information gathering/inventorying of relevant leadership development documentation from multilateral, bilateral and non-governmental organizations; 2) development of a rough scale with which to profile each organization in terms of its vision, methods, materials, effect on individual behavior change, effect on organizational change, and influence over societal change; 3) revision by an internal panel for objective organizational comparison.

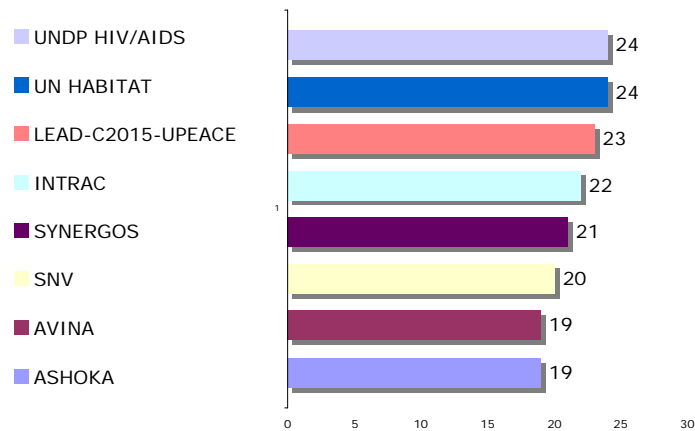
The ranking of each organization represents the total score of the six categories of analysis mentioned above. Each category was ranked from 1 to 5 (5 reflecting the highest score), for a possible overall total of 30, in accordance with ranking criteria listed in the table below:

### Ranking criteria

- 1 - No evidence or only anecdotal evidence of capacity development
- 2 - Capacity development is being planned
- 3 - Capacity development plan is being implemented
- 4 - Capacity development plan is being implemented and includes a review
- 5 - Capacity is fully exhibited and reviewed on the basis of benchmarking data

This exercise represents what would be carried out, ideally, as an evaluation including input from the actors of all the relevant organizations.

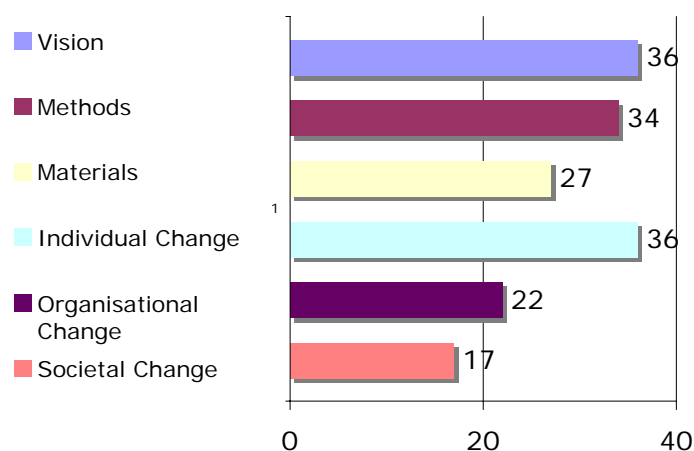
## Organizational Profiles



Organization	Vision	Methods	Materials	Individual Change	Organizational Change	Societal Change	Total
UNDP HIV/AIDS	4	5	5	4	3	3	24
UN Habitat	5	5	5	4	3	2	24
C2105 LEAD-UPEACE	5	4	5	5	2	2	23
INTRAC	5	5	3	4	3	2	22
Synergos	4	4	4	4	3	2	21
SNV	5	5	1	5	2	2	20
AVINA	3	3	3	5	3	2	19
Ashoka	5	3	1	5	3	2	19

This exercise is structured to add individual averages toward a general goal, which is projected as societal influence. A cumulative sequence is set up whereby vision plus methods plus materials plus individual change of behavior taken together contributes to organizational and, ultimately, societal change. Based on this, the UNDP HIV/AIDS leadership programme shows the highest individual ranking per category plus the highest total. UN-Habitat also scores high because of its strong contribution in materials for leadership development. SNV does not have a high cumulative score, largely because it does not produce its own leadership materials. AVINA and Ashoka also have relatively low ratings, explained by the fact that they do not demonstrate such explicit leadership visions, methods or materials. More detailed information on each organization is provided in the subsequent sections. The following graphic presents the cumulative results for each of the six categories of analysis across the organizations reviewed.

### Cumulative Categorical Scores



The graphic highlights the following tendencies among organizations with programming in leadership development: strong, clear visions; an extended menu of methodological contributions; a need to move forward with broader alternatives in terms of materials; a strong focus on individual development of traits and skills; a relevant connection with organizational reform; and weak evidence of measurable societal influence.

The information in the subsequent sections is based on the analysis of the six categories introduced previously, which were rated from 1 to 5 for each organization reviewed.

# 1. UNDP HIV/AIDS Leadership Capacity Development Programme

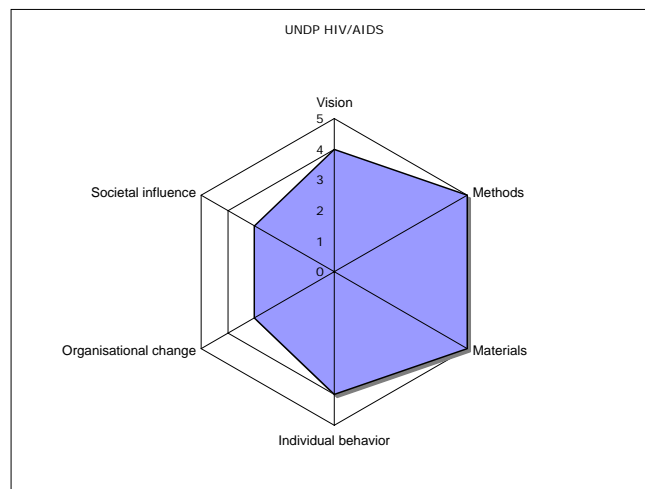
## Commentary

- The UNDP HIV/AIDS Leadership Capacity Development programme has a clearly defined vision stating that the group “supports the implementation of approaches and methodologies that embody governance in action: bringing together leaders from government, civil society...and the business sector to generate individual and collective commitment and sustainable action in response to the underlying causes of the epidemic.”
- In terms of method and materials, it has produced a well-defined set of tools including Strategy Notes and Implementation Guides in addition to Measuring Results frameworks and such knowledge management devices as the Compendium of Resources.
- All initiatives aim to develop a multitude of leaders worldwide, in different areas and at different levels, and equip them with the necessary skills to explore their own potential and to transform their organizations, institutions and societies.

## Geographic areas of validation

- Sub-Saharan Africa
- Asia Pacific
- Eastern Europe
- Arab States
- Caribbean
- Latin America (El Salvador, Mexico, Bolivia)

## Hexagon representation of organizational profile



# 2. UN-HABITAT

## Commentary

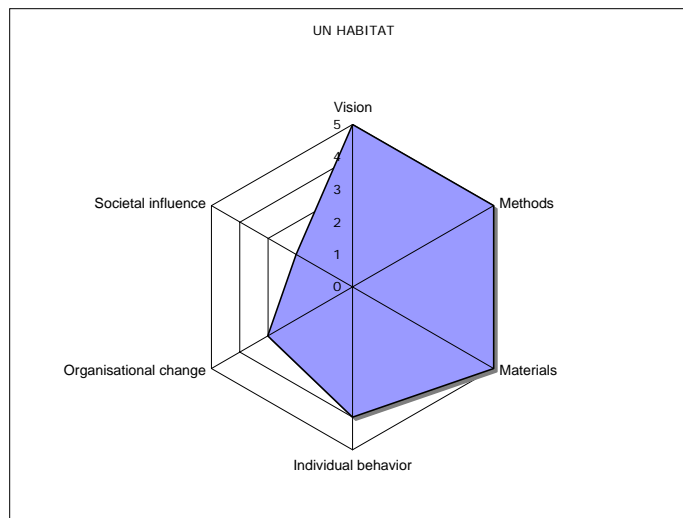
- The vision is to “strengthen the capacity of local governments through the introduction of good local leadership practices.”
- Materials are plentiful, mostly in manual form, and specifically directed at strengthening elected officials at the local level. Titles include handbooks on training for financial management, power brokering, negotiations, policymaking and communications, among other topics.

- Methods are mostly linked to 1) training sessions for particular topics in a variety of local settings and 2) dissemination of best practice information through the Best Practices and Local Leadership Programme (BLP).
- Evidence of change at all levels –individual, organizational and societal—is weak due a lack of available documentation on the training and application of best practice in the BLP.

### Geographic areas of validation

- Costa Rica
- El Salvador
- Kenya
- Lithuania
- Romania
- Uganda
- Vietnam

### Hexagon representation of organizational profile



## 3. LEAD-C2015-UPEACE

### Commentary

- C2015 has a clear vision that proposes transforming local peasant or indigenous leaders into effective activists through training on leadership metadisciplines<sup>27</sup> (systems thinking, negotiation, ethics, cultural affairs and networking) in order to deepen the sustainability of ongoing local sustainable development projects.
- In terms of method it has a very clear target population: peasant and local leaders in Latin America. From an educational standpoint it mixes training with networking.
- Based on LEAD-C2015 global partnership, educational materials have been developed and validated for local leaders in systems thinking, negotiation skills, ethics, cultural aspects of leadership, group dynamics and networking.
- The focus of the educational programmes is individual behavioural change.

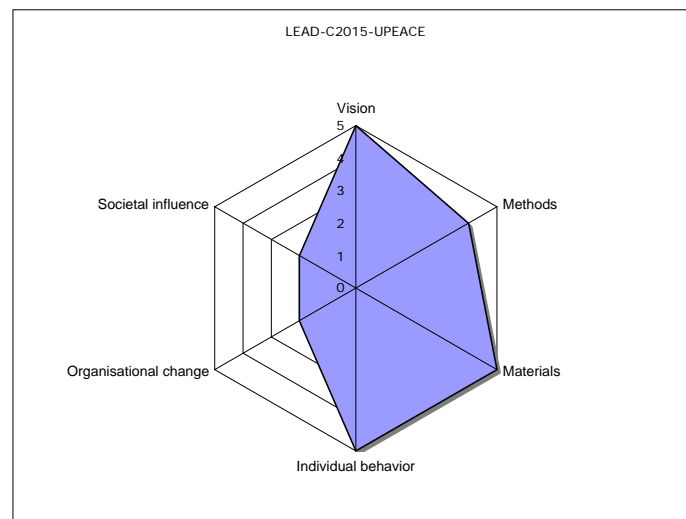
<sup>27</sup> A metadiscipline is core, essential, substantive. It is a cross practice discipline that is necessary to leadership, regardless of the level and setting. Examples of such are: systems thinking, negotiation, ethics, cultural affairs and networking.

- Given that criteria for participation is a) working in a sustainable development programme, and b) being part of a local political movement, the positioning itself allows for influence at the organizational level.
- It is too early to determine whether there is influence at the societal level.

#### Geographic areas of validation

- Guatemala
- El Salvador
- Costa Rica

#### Hexagon representation of organizational profile



## 4. INTRAC

#### Commentary

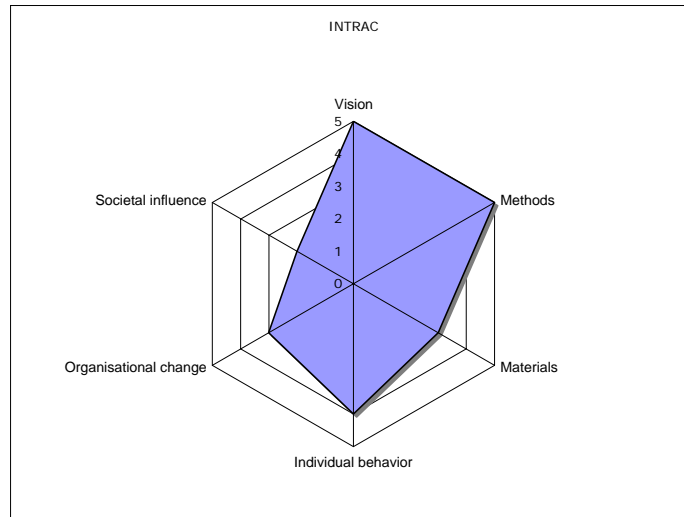
- INTRAC aims to improve civil society performance through NGOs worldwide in an effort to advance their capacity development.
- Leadership is one area in which INTRAC focuses, along with many others such as advocacy and policy influencing, impact assessment, creative and strategic thinking, rights-based approaches and participatory management.
- Its methodology refers to the selection of leading organizations and individuals and working through them on specific initiatives.
- According to available materials, the organization offers a range of research-based publications and best practices.
- Leaders of civil society and organizations utilize many of the programs and trainings provided by INTRAC for strengthening specific skills, though solid evidence of societal change is not available.

#### Geographic areas of validation

- Malawi
- Kazakhstan, Kyrgyzstan and Tajikistan
- Central and Eastern Europe (Roma populations)
- Lebanon

- Jordan
- Oman

## Hexagon representation of organizational profile



## 5. SYNERGOS

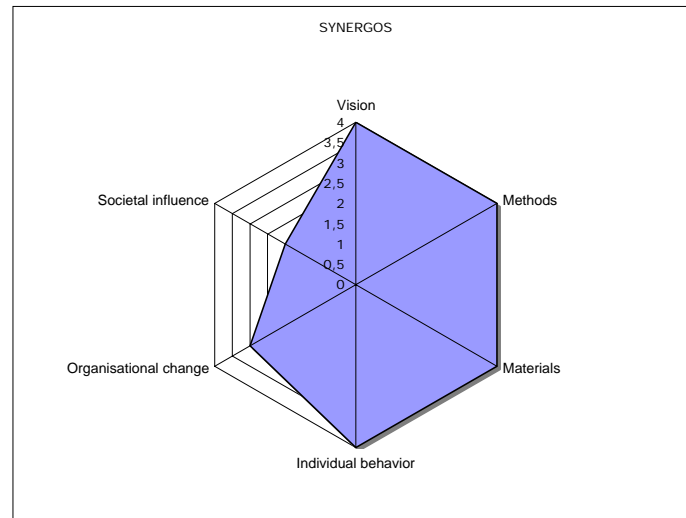
### Commentary

- Synergos vision is clear, though not purely leadership oriented, with a focus on the building of common ground and joint action to reduce poverty and increase equity in all sectors of society.
- Its methodologies refer to the selection of leading organizations and individuals and working through them to effect change.
- Synergos develops a range of materials on technical capacity building, which includes books, case studies, articles, toolkits, linked databases and contact references.
- The focus is organizational change through individual leadership training.
- Evidence of societal change is just beginning as Synergos gets into scaling up activities with its Multi-stakeholder Partnerships.

### Geographic areas of validation

- Brazil
- Ecuador
- Mexico
- India
- Indonesia
- Thailand
- Philippines
- Mozambique
- South Africa
- Zimbabwe

## Hexagon representation of organizational profile



## 6. SNV

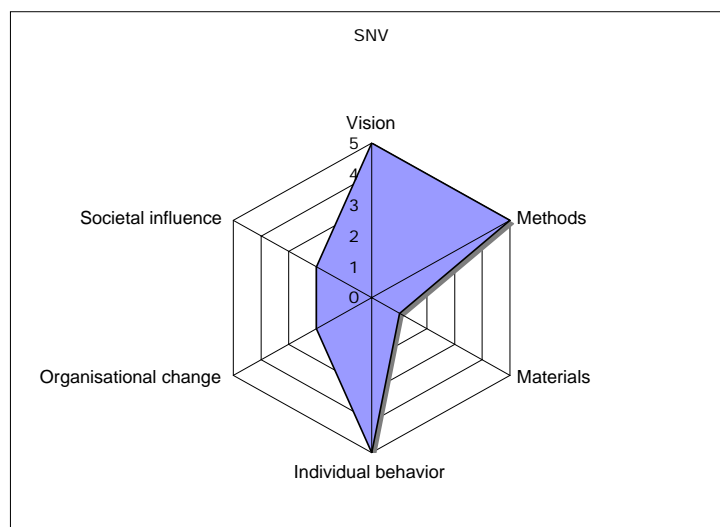
### Commentary

- SNV has a strong vision as it proposes “achieving the “golden mix” between organizational, societal, and individual coaching and training of leaders for sustainable development, in a coordinated way”.
- In terms of method, it works with a mix of training, coaching and networking.
- It has developed no proprietary materials of its own.
- It strongly focuses on specific individual behavioral change.
- Given leaders are set in a political context and go on to influence their particular organizations; however, there is no clear documentation of this as yet.
- SNV recognizes that it is too early to know whether societal change can be derived from their leadership strategies.

### Geographic areas of validation

- Niger
- Albania

## Hexagon representation of organizational profile



## 7. AVINA

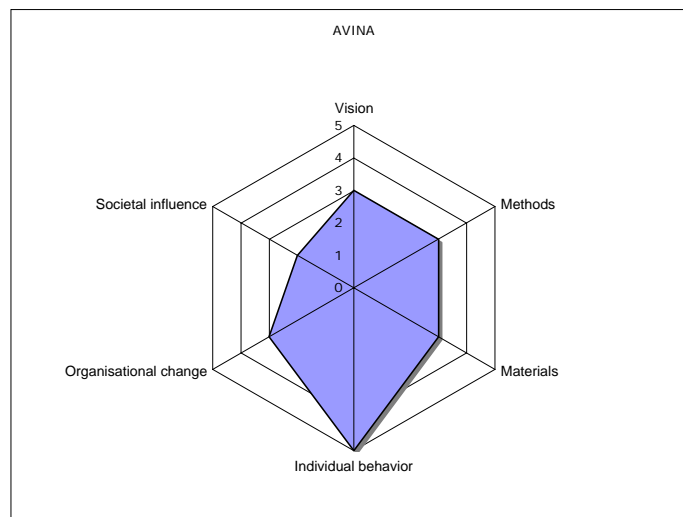
### Commentary

- The vision is vague, due to its objective of contributing to an “integrated, compassionate, and democratic Latin America that is inspired by its own diversity and built on a civic-mindedness that positions it globally according to its own model of sustainable and inclusive development.”
- Methods are also vague as they depend largely on the partner organization’s implementation; those mentioned as specific to AVINA are Inter-regional dialogue, Knowledge Management, Publications, Communications (electronic bulletin), and Capacity Development workshops.
- Materials available are minimal and not useful for discerning leadership training specifics: several books, project specific videos and links to the *Let’s Share* database and the *Inforum Patagonia* bulletin.
- Individual change is evident in AVINA initiatives.

### Geographic areas of validation

- Spanish speaking nations of Latin America
- Brazil
- Iberian Peninsula (Spain and Portugal)

### Hexagon representation of organizational profile



## 8. Ashoka

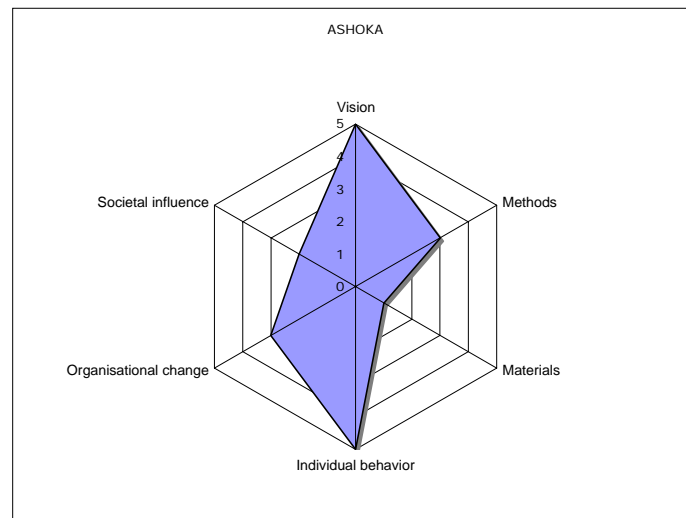
### Commentary

- In terms of vision, ASHOKA is committed to youth and social entrepreneurship.
- Methods have to do with the selection of leaders at the individual level.
- No proprietary materials have been developed
- The training focus is individual behavioral change.
- Given positioning of the leader in the context of its organization, support and strengthening of the leaders is targeted in an effort to directly impact the organization.
- No formal evaluations have been made to detect influence at a societal level.

## Geographic areas of validation

- Africa,
- Botswana, Burkina Faso, Cameroon, The Gambia, Guinea-Bissau, Egypt, Ivory Coast, Kenya, Mali, Mozambique, Nigeria, Senegal, South Africa, Tanzania, Uganda, and Zimbabwe
- Asia
  - Bangladesh, India, Indonesia, Nepal, Pakistan, Sri Lanka, Thailand
- Central Europe
  - Czech Republic, Hungary, Latvia, Lithuania, Poland, Slovak Republic, Turkey
- Latin America
  - Argentina, Bolivia, Brazil, Chile, Colombia, Costa Rica, Ecuador, El Salvador, Guatemala, Nicaragua, Mexico, Paraguay, Peru, Uruguay, Venezuela
- North America
  - Canada and the United States of America

## Hexagon representation of organizational profile.



### ANNEX 3. Costing: Methodologies and Implications

#### Average cost per type of service across sectors

Compared to the information available on methodologies and materials, relatively little on costing data is accessible for leadership development programmes presently in operation. To compensate somewhat for this information gap, our costing research and analysis focused on the major categories of leadership development reflected in current supply side tendencies in both the private sector and civil society: 1) coaching services, 2) management training services, and c) development programme training services.

**1) Coaching services** refer to personalized training based on monitoring and analysis of client performance in his/her job. Two main coaching modalities have been observed from the available information: **face-to-face**, where the personal coach follows every one of the client's actions on a daily basis, and by **telephone**, where a personal coach is available every time the client needs a specific consultation. Six institutions were researched yielding the average costs presented in the table below.

#### *Average Costs for Coaching Services (2006)*

Modalities	Average cost per hour per person (US\$)
Face to face	\$ 351.5
Telephone	\$ 240.5

Face-to-face training showed an overall average investment of \$ 2,196.60 per person over an average timeframe of 6.25 hours, whereas telephone training showed an average investment of \$1,346.60 over an average timeframe of 5.6 hours. The target population for these types of services are generally businessmen, entrepreneurs, and young corporate executives; the main topics to be addressed are usually related to financial management, human resources administration, and various commercial concerns.

**2) Management training services** include courses, workshops, and group oriented seminars that run from short one-day conferences to large university-style training processes. The main topics covered in these training modalities are generally project management, business management, and organizational leadership; target populations are predominately entrepreneurs. Six institutions were researched yielding the average costs presented in the table below.

#### *Average Costs for Management Training Services (2006)*

Modalities	Range (days)	Average cost per person (USD)	Average cost per day per person
Short term training	1	\$ 550	\$ 550
Medium term training	2 – 5	\$ 1,122.5	\$ 374
Long term training*	6 – 30	\$ 15,133	\$ 1,260

\* University-style training process

**3) Development programme training services** tend to be more comprehensive than either of the other categories of training mentioned and generally include in the overall price the cost of

design, implementation, materials, processes and prototype validation. As a result, analysis of this category shows that training programmes for local leaders tend to be more expensive than general management leadership training courses. Primarily NGOs or international development organizations are the implementers of this kind of training service. Four organizations' services in this category were researched yielding the average costs presented in the table below.

**Average Costs for Development Programme Training Services (2006)**

<b>Projects</b>	<b>Target population</b>	<b>Project duration</b>	<b>Project budget (USD)</b>	<b>Training length</b>	<b>Number of people</b>	<b>Average cost per person (USD)</b>
Social Artistry	UNDP COs and partners	1 month	\$ 79,480	1 week	150 people	\$ 530
C2015/UPEACE/LEAD	Local leaders	12 months	\$ 75,000	12-22 weeks	25 people	\$ 3,000
LEAD/C2015/UPEACE Training of Trainers	Local leaders	3-5 months	\$ 25,000	1 week	10-12 people	\$ 2,500
INTRAC / Vision Quest	Local leaders	---	\$ 22,000	5 weeks	20 people	\$ 1,100

Though, as mentioned initially, limited costing information is available, certain trends can be noted across training programmes. For example, the average hourly rate for leadership coaching varies within the range of US\$250-350 USA per hour. For training sessions and courses, university-style training costs (per day) generally fell within the range of US\$ 500-1200 per day, or roughly 50% less than personalized coaching services. Development leadership programmes that incorporate the design, materials, implementation, validation and evaluation stages are unquestionably the most expensive, ranging in cost between US\$1,000 and US\$3,000 per person per day. (For more detailed information on costing, see Annex 2).

**Key variables in costing**

From the analysis reviewed above, a number of factors surface as key variables affecting the costing decision-making. In the area of on-the-job coaching services, these variables are primarily 1) the *modality* (face-to-face versus telephone coaching, with face-to-face services being more expensive) and 2) the number of *hours engaged* in the coaching—as interventions tend to be short-term and punctual, fees and costing are generally calculated on an hourly basis. For training services, the variables are typically 1) the *modality* (a general preference is noted for classroom or university-style context) and 2) the number of *days or weeks engaged* in the training, thus costing tends to be done on a per-person-per-day basis.

As development programmes often include more extensive processes in their training, they often have more variables affecting their costing. These can include 1) *programme length* (days, weeks, months, years), 2) *development of materials* (and how numerous and/or complex the materials are), 3) *validation of materials*, 4) *validation of process*, 5) *validation of prototype* and 6) *elaboration of formal evaluations*. With regard to these last four variables involving validations and evaluations, much depends upon the length and complexity of the process involved for each. Since development programme training tends to involve a more complex process, costing tends to be done on an overall, per person basis for the entire programme.

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