

# Workshop on Capacity Development

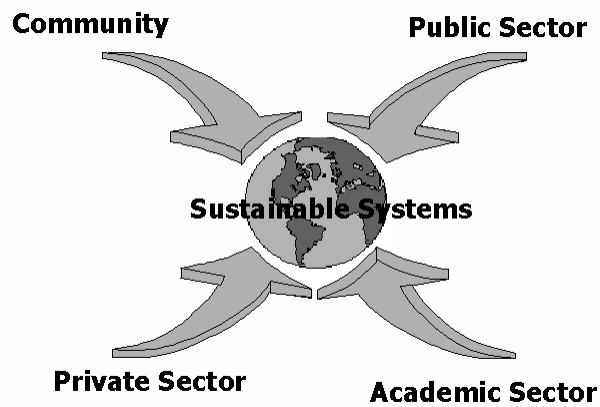
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<http://www.inweh.unu.edu>

## The Four Stakeholder Groups



■ **The public sector**

**Within a specific community, the water supply and sanitation agency has the direct responsibility to ensure that a sustainable urban water cycle is in place. This includes quantity and quality protection as well as provision of efficient and effective services to users.**

**Officials can also play a facilitating role in non-technical areas such as public awareness building and education.**

■ **Academia.**

**Academic institutions make an essential contribution to the capacity building component in the areas of applied research, education and training, and develop community awareness on water issues.**

**Academics are trusted by the community and provide a measure of credibility to the capacity building efforts and to the goal of sustainability.**

■ **Community-based organizations.**

**NGO's and other less formal, community-based organizations can directly reflect the aspirations and concerns of the people and are often created out of a need to solve a problem or have a voice on an issue that directly affects them.**

**These organizations are important because they can serve as bi-directional channels providing information to the people and input into the decision-making process.**

**Generally, the more information provided to, and input received from the community, the greater the commitment of citizens and the more successful the program.**

■ **The private sector**

**The private sector has a large vested interest in sustainability. Permanent water management systems and practices create stable markets and support informed clients for sales of products and services.**

**Effective systems and practices reduce risk, improve the return to investors and generate locally-available commodities needed to sustain the urban water cycle.**

## **The Four Stakeholder Groups**

**Experience has shown that a top-down approach to water stewardship is, at best, limited in its effectiveness.**

**Sustainable, responsible use of water begins in the hearts and minds of individuals, who make up neighborhoods, communities, cities, states and nations.**

**The cumulative impact of their attitudes and actions ultimately determines whether or not sustainability is achieved.**

## **The Four Basic Requirements:**

**Any nation, state or city planning to develop a sustainable water system needs to satisfy four essential prerequisites.**

**These are:**

- **The awareness, understanding and commitment of citizens to the goal of sustainable water stewardship,**
- **The human resources available to be educated and trained in the principles and practices of sustainable water stewardship,**
- **The financial resources needed to pay for the development and operation of the capacities and enabling systems, and**
- **The commitment of the political system to the goal of sustainability and the continuity needed to achieve that goal.**

# **The Water Sector - Capacity Development**

## **The Four Pillars of Capacity Development**

- **Pillar 1 - the capacity to educate and train, including community awareness building, adult training and formal education, so as to provide sufficient numbers of competent human resources to develop and apply enabling systems,**

## **The Four Pillars of Capacity Development**

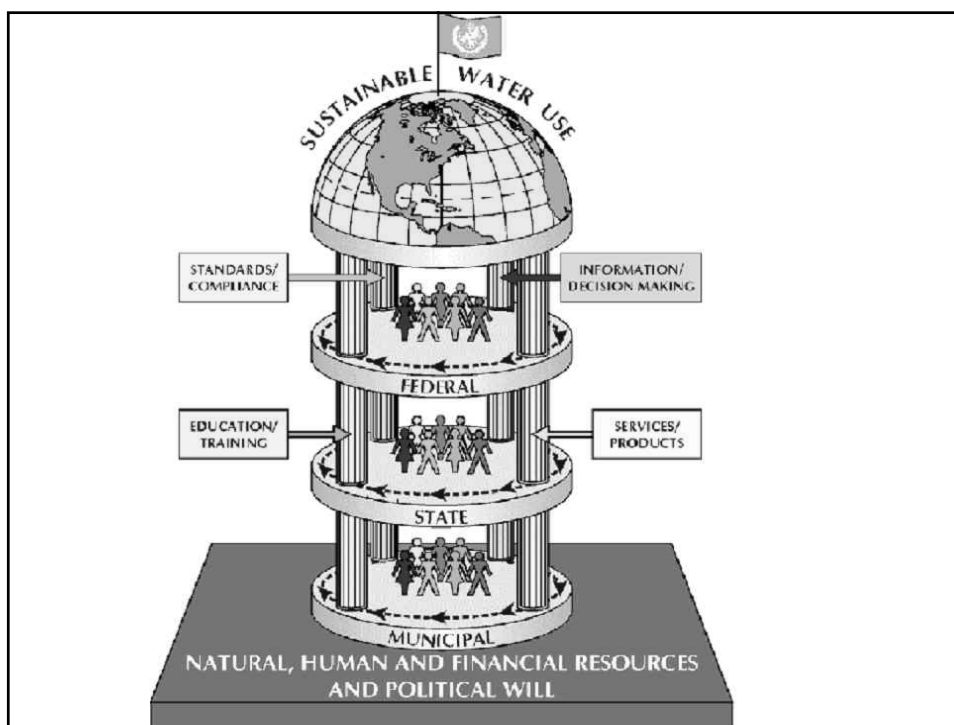
- **Pillar 2 - the capacity to measure and understand aquatic systems, through monitoring, applied research, technology development and forecasting, so that reliable data is used for analysis and decision-making.**

## **The Four Pillars of Capacity Development**

- **Pillar 3 - the capacity to legislate, regulate and achieve compliance through effective governmental, non-governmental and private sector institutions and through efficient enforcement and community acceptance.**

## The Four Pillars of Capacity Development

- **Pillar 4 - the capacity to provide appropriate, affordable water infrastructure, services and products through sustained investment and management.**



## **Three levels of capacity development:**

### **■ Individual**

Enables individuals to embark on a continuous process of learning – building on existing knowledge and skills, and extending these as opportunities appear.

### **■ Institutional**

Involves building on existing capacities, encouraging existing institutions to grow.

### **■ Societal**

This involves capacities in society as a whole, or a process of transformation to assist development. An example is creating the kinds of opportunities, whether in the private or public sector, that enable people to use and expand their capacities to the fullest. Without this, skills rapidly erode, or become obsolete.

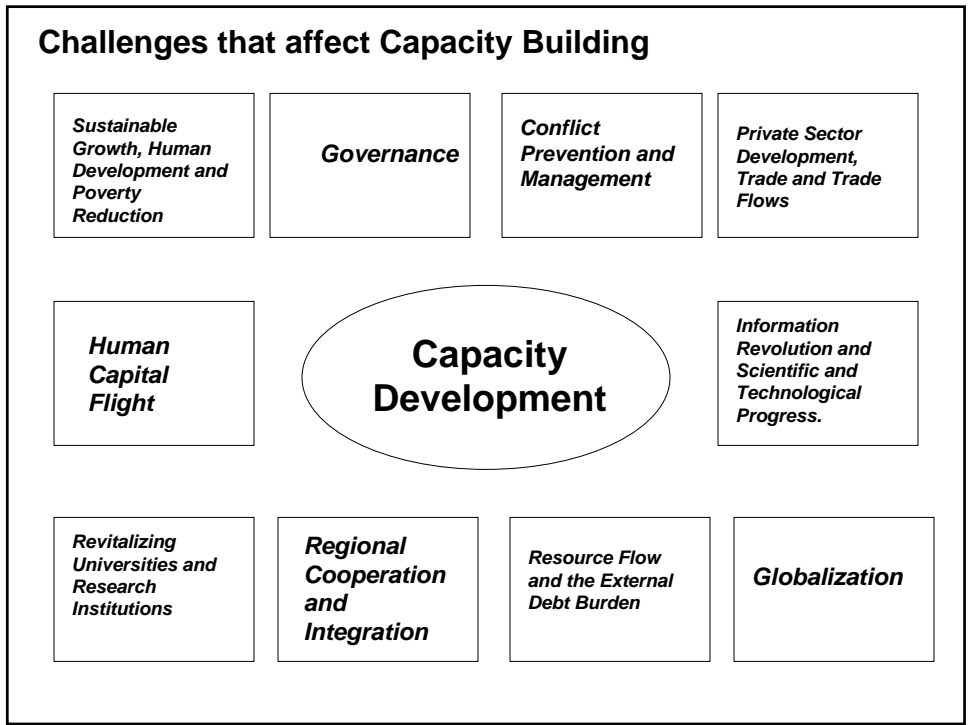
**“Capacity development is not simply human resource development – it is much larger than that. It is not merely the acquisition of skills but also the capacity to use them. This in turn is not only about employment structures, but also about social capital and the different reasons why people start engaging in civic action”<sup>1</sup>**

**This means that capacity retention in the long-term is equally important.**

<sup>1</sup>From: Mark Malloch Brown – Foreword in Capacity for development - New Solutions for Old Problems Edited by Sakidko Fukuda-Parr, Carlos Lopes and Khalid Malik. Earthscan/UNDP 2002



**Capacity development does not exist in a vacuum, but is affected by many of the challenges that face any development efforts .....**



***Just one example - The Challenge of Human Capital Flight.***

Human capital flight or brain drain from Africa is one of the continent's major development constraints. The loss of trained and highly skilled Africans to the industrialized countries has intensified the capacity constraints facing the public and the private sectors and thus the deficit of skilled manpower, which African countries so badly need for poverty reduction and sustainable development.

It is estimated that between 1960 and 1975, about 27,000 high-level Africans left the continent for the West. Between 1975 and 1984, this number increased to about 40,000 and then almost doubled by 1987, representing 30 per cent of the highly skilled manpower stock. Africa lost 60,000 professionals (doctors, university lecturers, engineers, etc.) between 1985 and 1990 and has been losing an average of 20,000 annually ever since.

AFRICA: MAJOR DEVELOPMENT CHALLENGES AND THEIR CAPACITY BUILDING DIMENSIONS\* The African Capacity Building Foundation Occasional Paper #1 , 2002

**Possible Items for Discussion**

## **Issues in Capacity Development in the Water Sector**

- **What is it? Why is it important?**
- **What levels (individual, institutional or societal) should it be targeted at? How should this be decided?**
- **How can it contribute to an organization's performance?**
- **How does an organization develop its capacities?**
- **What tools are available and how are they to be chosen?**
- **What are the "conditions for success"?**
- **How should it be planned, managed and evaluated?**
- **How long should a program be supported?**

Modified from: ISNAR Briefing Paper 50, July 2002

### **What is it?**

- **Obviously a very flexible concept**
- **Peter Morgan 1997 defined capacity development as " the process by which individuals, groups and organizations improve their ability to carry out their functions and achieve desired results over time"**
  - **It is an internal process**
  - **It is results oriented**

### **Why is capacity development important?**

- **Development efforts often failed because local capacities were not developed to manage, operate and maintain the facilities.**
- **Local groups were not empowered to implement new development activities after the initial round of funding finished.**
- **The technical cooperation efforts of the past are declining as are overall budgets for development aid. This has led to a new emphasis on management and governance coupled with results-based management and assessment protocols – not necessarily leading to improved results.**
- **The rate of technological change has increased**

### **The Era of Technical Cooperation:**

**From 1950 to the 1980s, capacity development efforts focused on training individuals, building facilities and infrastructure and organizational development.**

### **The Era of the Management Consultant:**

**In the 1990s to today, they have focused on capacity development in the economic, governance and legal structures at the national level thought to be required for better private sector involvement (in water and many other areas)**

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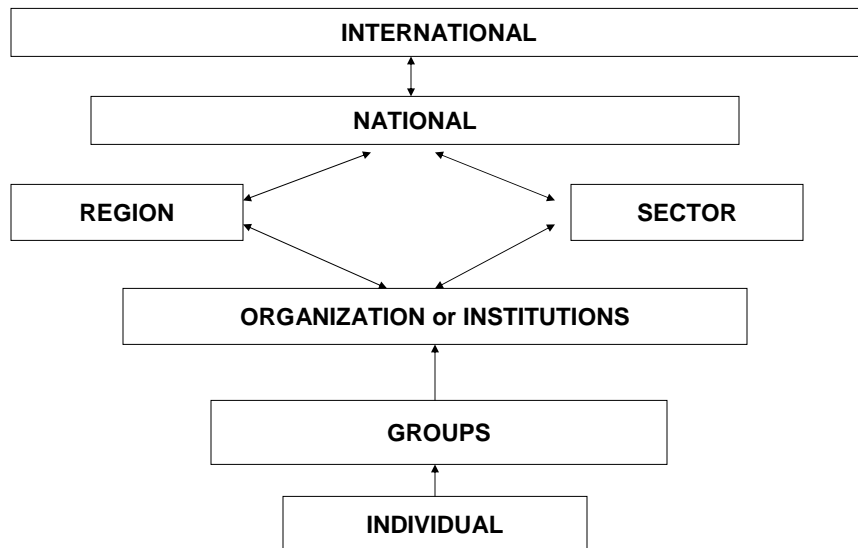
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Technical Cooperation → Partnerships → Ownership

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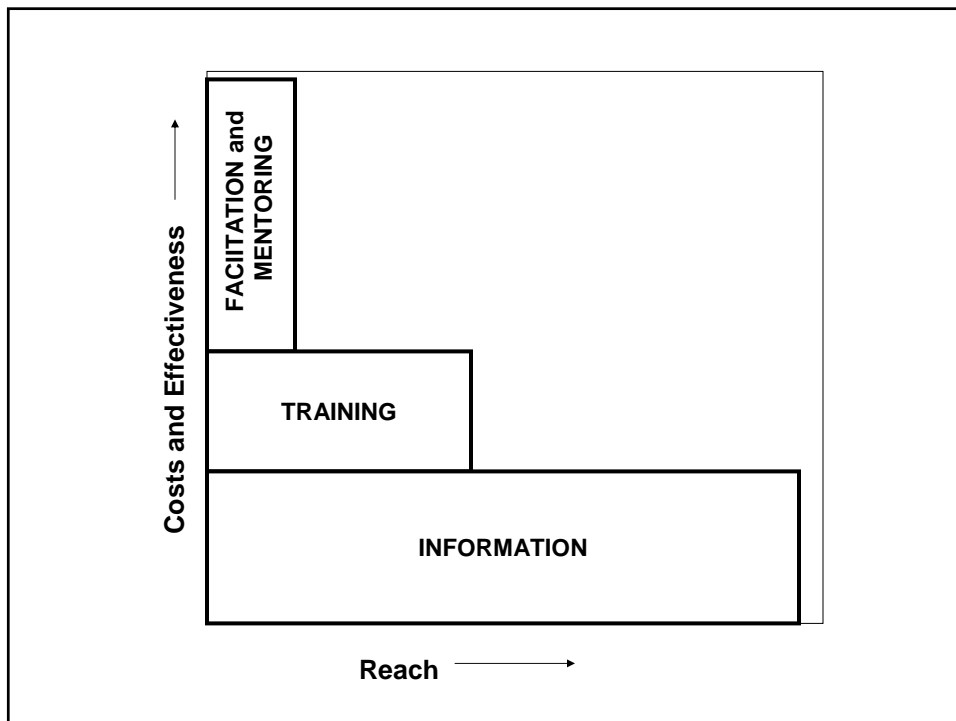
**The simple (simplistic?) answer to the question is:**

**“All levels need to be addressed”**

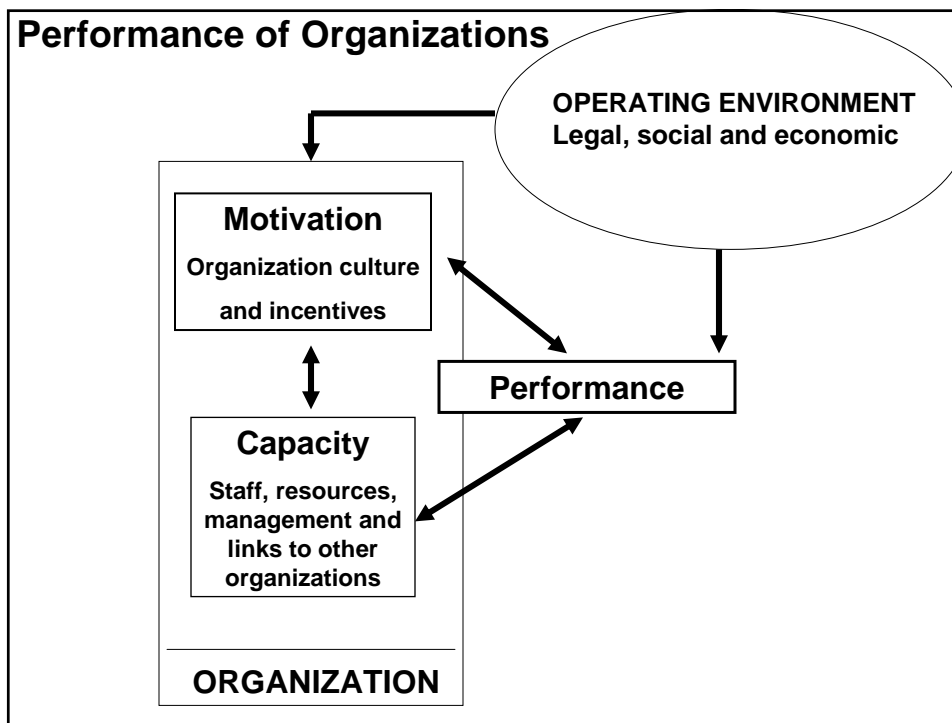
**Providing technical and management training for middle managers has seldom led to better management unless the top levels of management put in place planning and management changes throughout the organization to make this happen.**

**What tools are available and how are they to be chosen?**

- Information provision and dissemination
- Education and training
- Mentoring and facilitation
- Networking (personal or technological)
- Feedback and experiential learning



- There is no single format or method that is appropriate in all cases
- Managers need to do an organizational analysis to assess “gaps” and limiting factors and address those by choosing the types of capacity building
- All types of tools can fit into such a scheme, but must be chosen according to local circumstances – (ie NOT a supply-driven model)
- Capacity development cannot be “done” by outsiders. External advice and expertise (if used) must lead to the organization’s own personnel or other local institutions doing the work and driving the process.





## **What are the “Conditions for Success” in Capacity Development?**

Experience over many years shows that the following are the main “conditions for success”:

- Top managers who provide leadership for institutional change
- Critical mass of participants involved and committed to the change process
- Availability (or development) of appropriate institutional innovations
- Adequate resources for capacity development and implementing changes
- Adequate management of the capacity development process

## **How should it be planned, managed and evaluated?**

### **How long should a program be supported?**

- Most capacity building efforts reflect the priorities, assumptions and capabilities of the external agencies
- No easy formula that is appropriate for all situations. Assessment by the managers, support by top management and identification of the lack of capacities that are most constraining are all important.
- Accept that change and redefinition of goals is inevitable and desirable.

### **Evaluations:**

- Evaluations can be for accountability or improvement; the first is much more common than the latter – but is less useful!

### **Duration:**

- Capacity development cannot be a “one-off” event – it is an on-going process that needs to be supported and managed over time.

# Summary

**Q - How can more effective, efficient and sustainable capacity development initiatives be designed for the public utility sector?**

**Possible Stages:**

**Analysis**

**Specifications**

**Funding**

**Sustainability**

**Analysis –**      **Local analysis of gaps in required capacities**  
**Analysis of regional, national and local capabilities to address those gaps**  
**Overview and analysis of potential integration with other efforts in related fields, regions or sectors**

**Specifications –**

- What methods should be used to address these gaps?**
- Who should prepare and present the tools to address the gaps?**
- How will local knowledge be incorporated?**
- If external personnel are used, how is the knowledge transferred?**
- Who should evaluate progress and results?**
- How should the process and results be evaluated?**
- What other systems, institutions, processes, capacities, personnel, management, etc also need to be in place?**

### **Funding -**

- What type and amount of funding is required?**
- What should the donor-recipient relationship be?**
- What accountability systems (both ways) should be present?**

### **Sustainability –**

- Will the capacity development process lead to a sustained capability to continue that process? How?**
- How will such a continuous process be managed, modified and financed?**
- Is there a role for current or new information and knowledge networks in the process?**
- What other factors or requirements need to be addressed to make the process sustainable?**

## **What can go wrong?**

- **Undermining of local capacities by displacing or inhibiting local alternatives. Donors may require funds to be spent in their country even though cheaper local resources are available and would be strengthened by inclusion**
- **Trained personnel can leave for the private sector or international opportunities**
- **It can distort and modify priorities simply because it can be outside of normal budget processes and does not necessarily have the discipline of a formal review process**
- **Donors can choose projects to fund based on their priorities – financing and personnel for other, more routine, but essential, capacity development efforts and normal operations then has to be found**
- **Donors can demand substantial but different types of reporting and accountability**

Partially from: Institutional Innovations for Capacity Development  
Sakiko Fukuda-Parr, Carlos Lopes and Khalid Malik –In Capacity for Development: New Solutions for old problems – EarthScan/UNDP

**How could the proposed WOP help ?**

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## **How could WOP help ?**

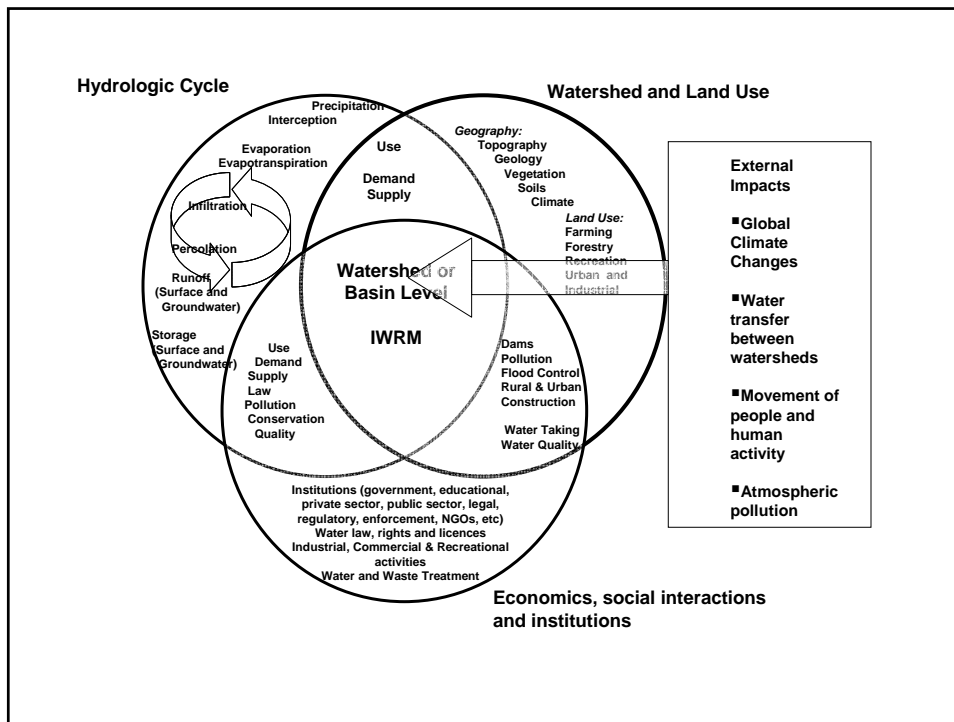
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### **Other more specific WOP functions?**

- General Clearinghouse for information (Water Operators Portal)**
- Question and Answer Forum (post a question, receive answers)**
- Bibliographic and Best Practices Source**
- RFPs for Capacity Development (pooled efforts)**
- RFPs for Materials (pooled requests – cooperative purchasing)**
- Returning Nationals – Employment Opportunities**
- Google for African Water Utilities**
  
- Many others**

Extra Slides



- **Integrated water resources planning and management aims to take appropriate account of important physical, social, economic and cultural linkages within a water resources system.**
- **These linkages may include**
- ***physical linkages* between land use and surface and groundwater quantity and quality,**
- ***economic linkages* between various, and sometimes competing, water uses,**
- ***social linkages* between water development schemes and potential beneficiaries or those adversely affected, and**
- ***institutional linkages*, both horizontally and vertically, among various formal and non-formal stakeholder institutions.**