

Lesson 4: Capacity Development in IWRM

Capacity Development versus Capacity Building

Capacity Development is now considered to be a key requirement and prerequisite for many implementations of IWRM

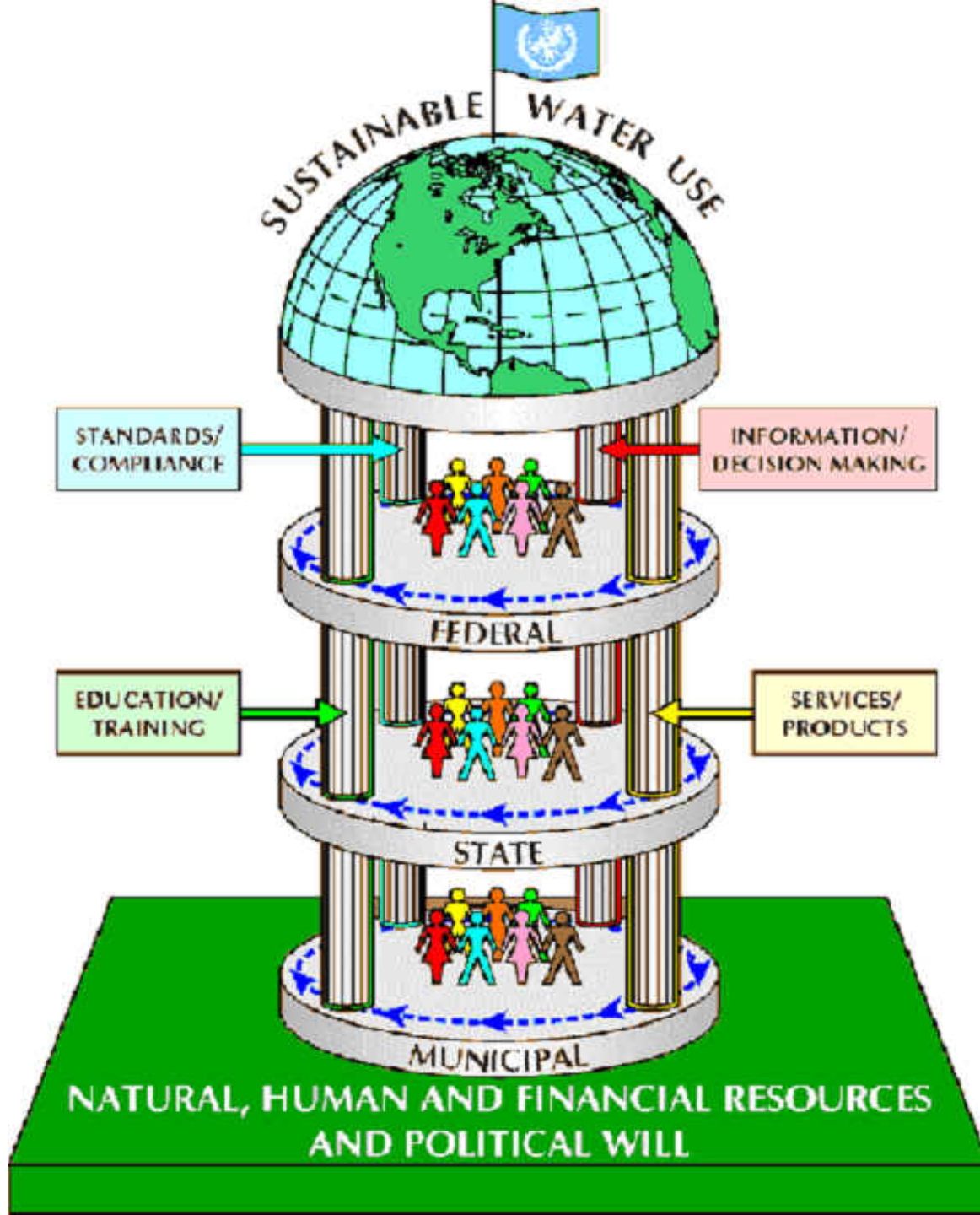
Capacity development is not the older view that capacities can be transferred by courses given by “experts” to the people involved in IWRM (capacity building)

Although the older view of capacity building (short workshops, courses, etc) can still be useful in restricted cases, the newer view is that development of the capacities and the education/training component must be done locally so that it is sustainable.

The newer view of capacity development includes much more than just transfer of technical skills; it also includes improving the capacities in various sectors such as academia, the private sector, the public sector and the community.

The Four Pillars of Sustainable Water Use

- 1. Standards/Compliance**
- 2. Information/Decision Making**
- 3. Services/Products**
- 4. Education/Training**



■ The public sector

Within a specific community, the water supply and sanitation agency often 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.

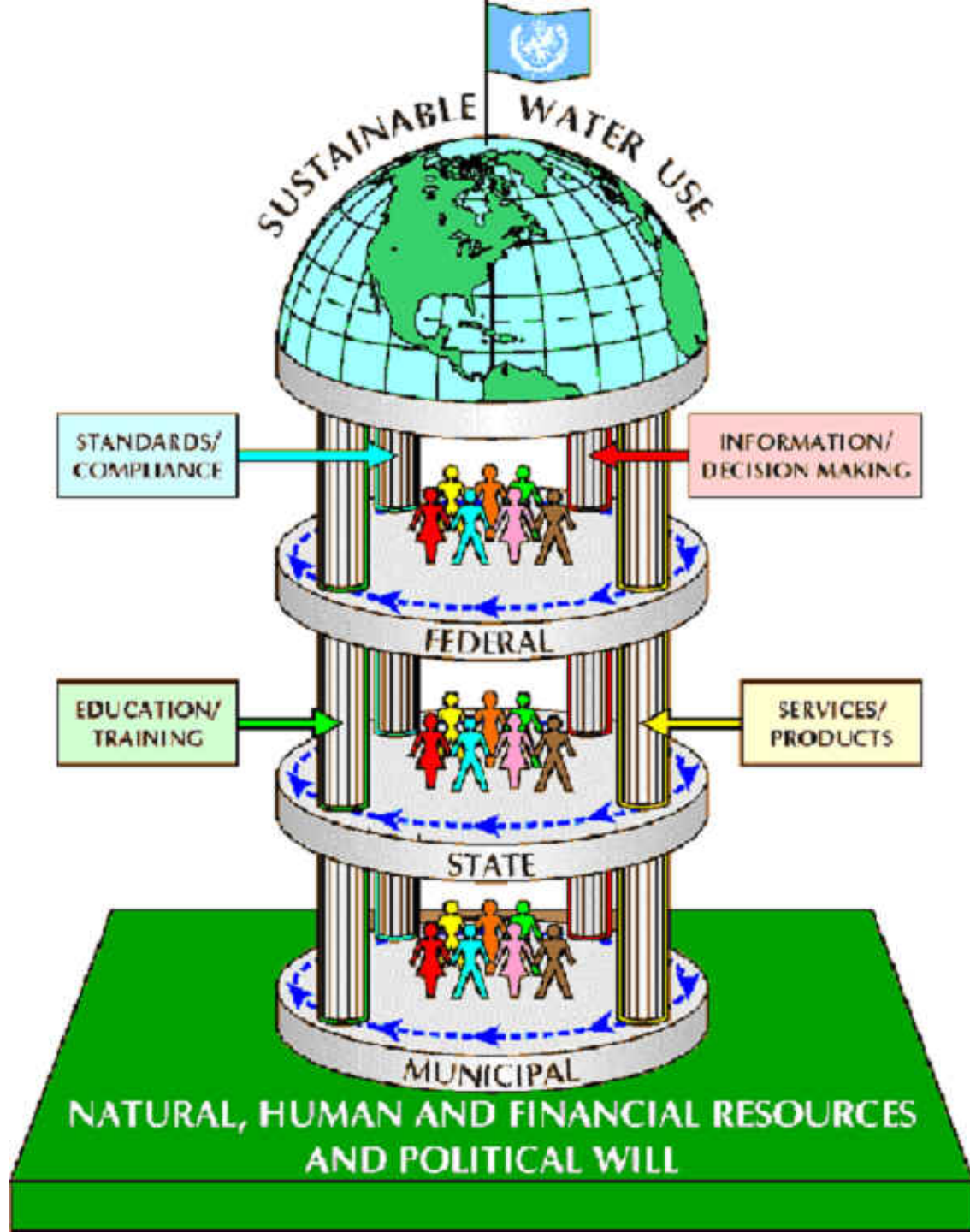
Generally, the more information provided to, and input received from the community, the greater the commitment of citizens and the more successful the program.

■ 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.

Given the vitally important role of the private sector, it is important that they have a voice in the development of the systems for which they will provide essential products and services.



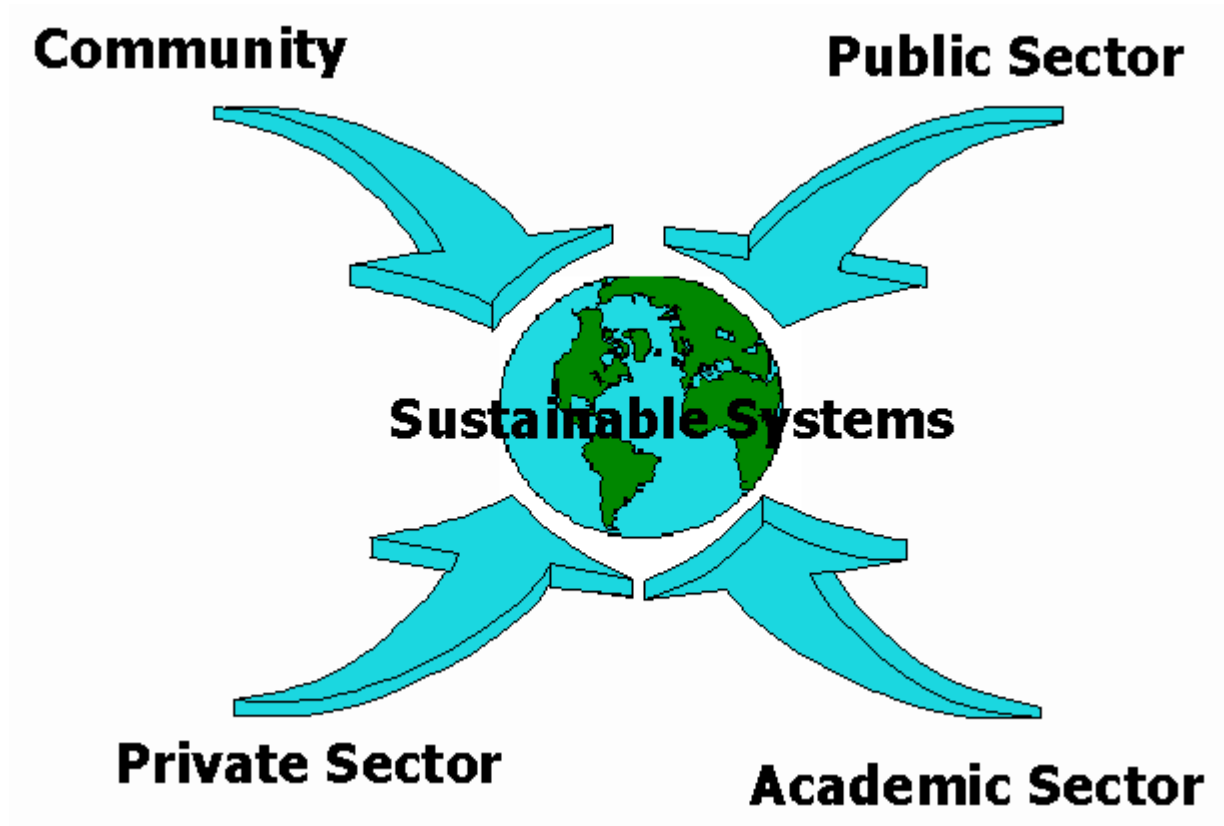
The Four Basic Requirements:

Any nation, state or city planning to develop a water stewardship system needs to satisfy four essential prerequisites for sustainability.

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 Four Stakeholder Groups



The Four Stakeholder Groups

Community

Public Sector

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.

Private Sector

Academic Sector

The Water Sector - Capacity Building

The Four Pillars of Capacity Building

- **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 Building

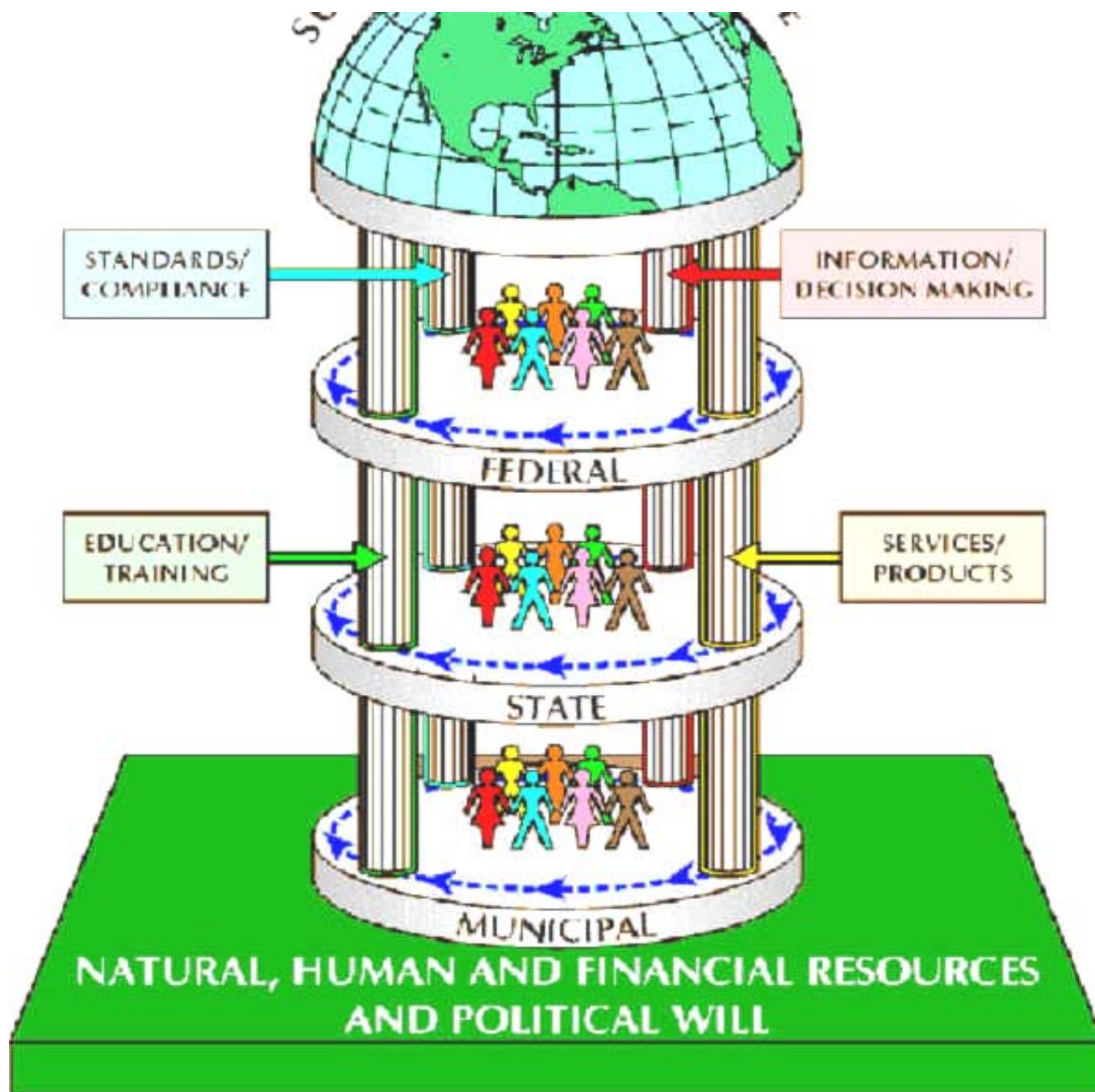
- **Pillar 2 - the capacity to measure and understand aquatic systems, through monitoring, applied research, technology development and forecasting, so that reliable data is used for analysis and decision-making.**

The Four Pillars of Capacity Building

- **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 Building

- **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”

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

Walkerton, Ontario, Canada

- ❑ Seven people died and thousands became ill with water-borne infection by *Escherichia coli* O174
- ❑ The immediate cause was a manure pile on a cattle farm leaching into one of the groundwater wells for the town
- ❑ The real cause was the totally inadequate management structure, lack of training and knowledge in the case of the people responsible for the water system
- ❑ Chlorination was checked improperly (if at all) and low chlorine levels allowed *E coli* to enter the whole water system
- ❑ The managers then “covered up” the problem by faking logbook entries for chlorine levels and giving false information to the Medical Officer of Health.
- ❑ The Ministry of the Environment shared some of the blame for not regulating the plant properly

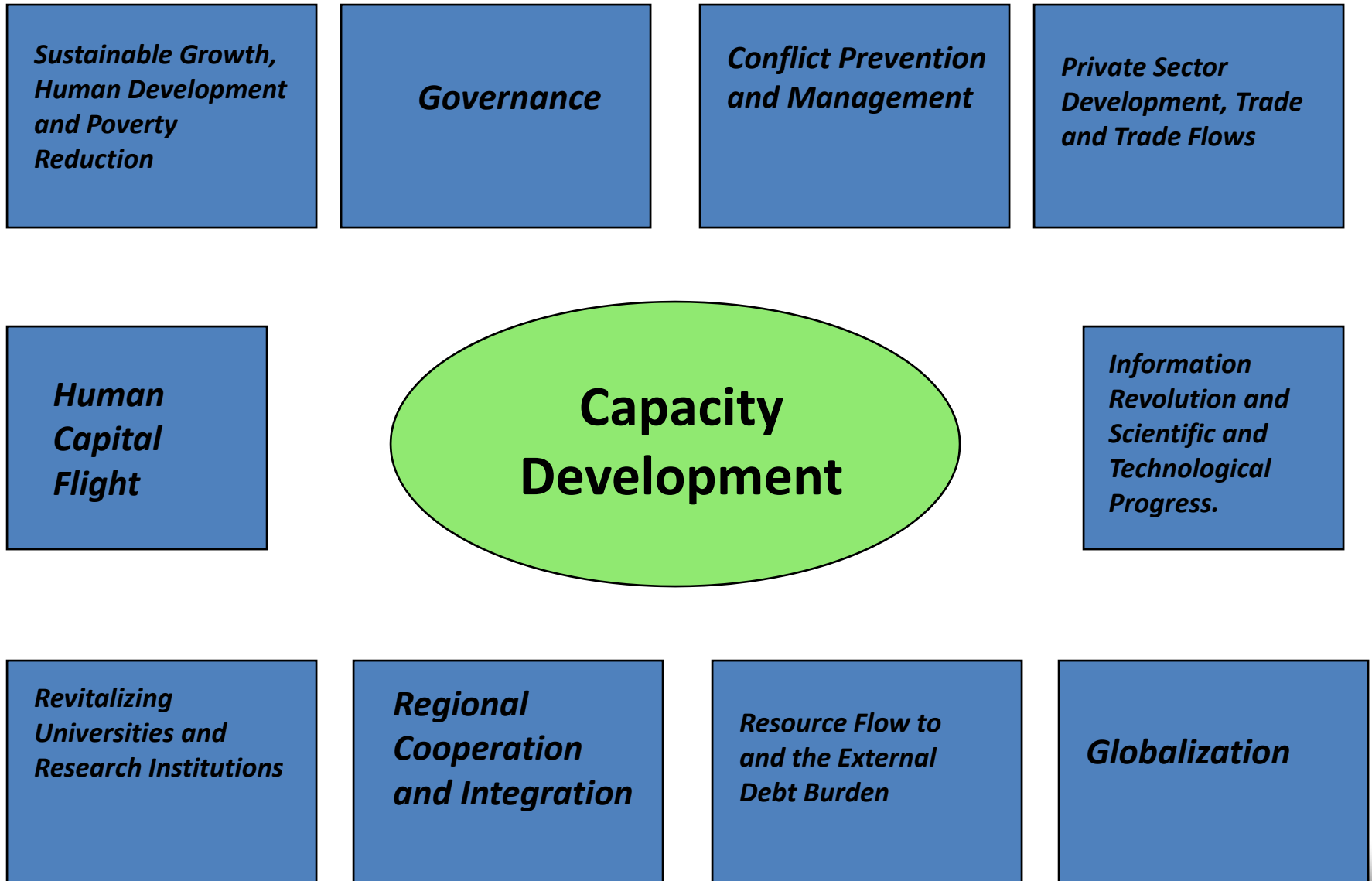
The Walkerton outbreak led to a complete revision of the management of water utilities, laboratory qualifications and practices, reporting requirements and training schemes for all water utilities and operators in Ontario.

The water manager went to jail

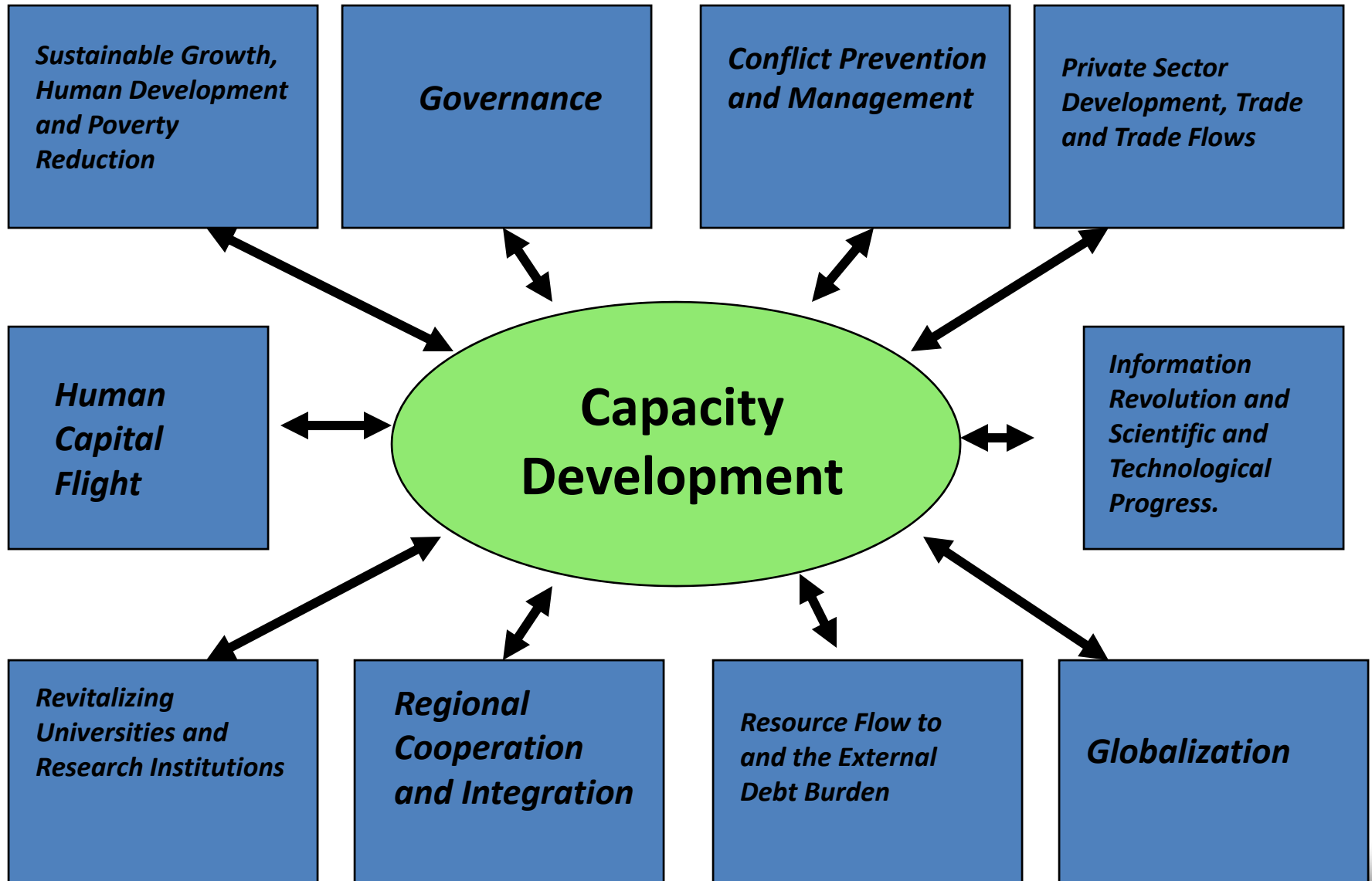
Capacity development does not exist in a vacuum, but is affected by many of the challenges that face any development efforts

.....

Challenges that affect Capacity Building



Challenges that affect Capacity Building





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.

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?**



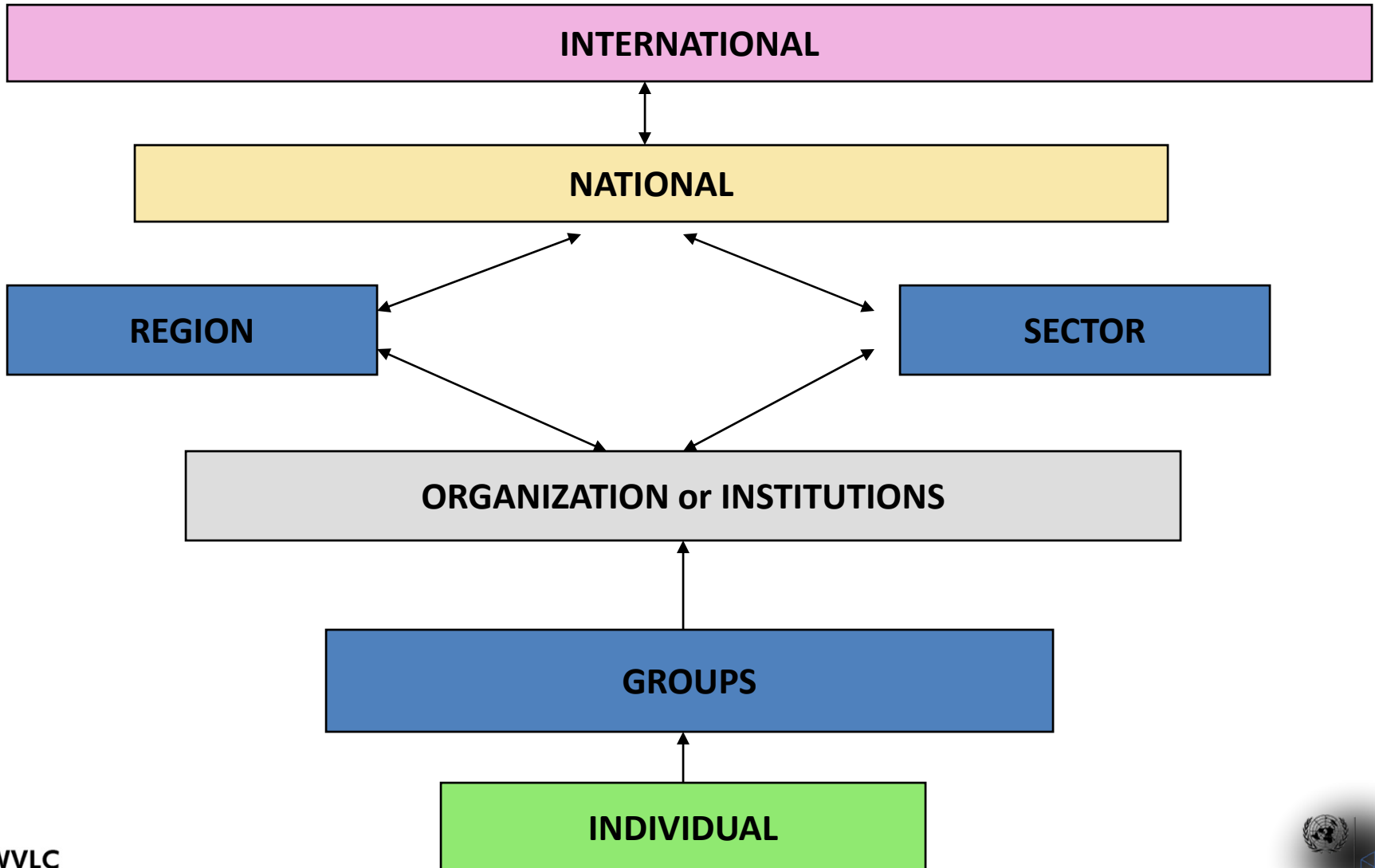
What is it?

- Obviously a very flexible concept
- Capacity development versus capacity building
- 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**

What levels (individual, institutional or societal) should it be targeted at?
How should this be decided?



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)

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)

Technical Cooperation

Partnerships

Ownership

Capacity development is also required at the meso-level of research and development organizations, academia, public sector governance, regulatory and monitoring activities and others (The Four Pillars).

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 levels (individual, institutional or societal) should it be targeted at? How should this be decided?

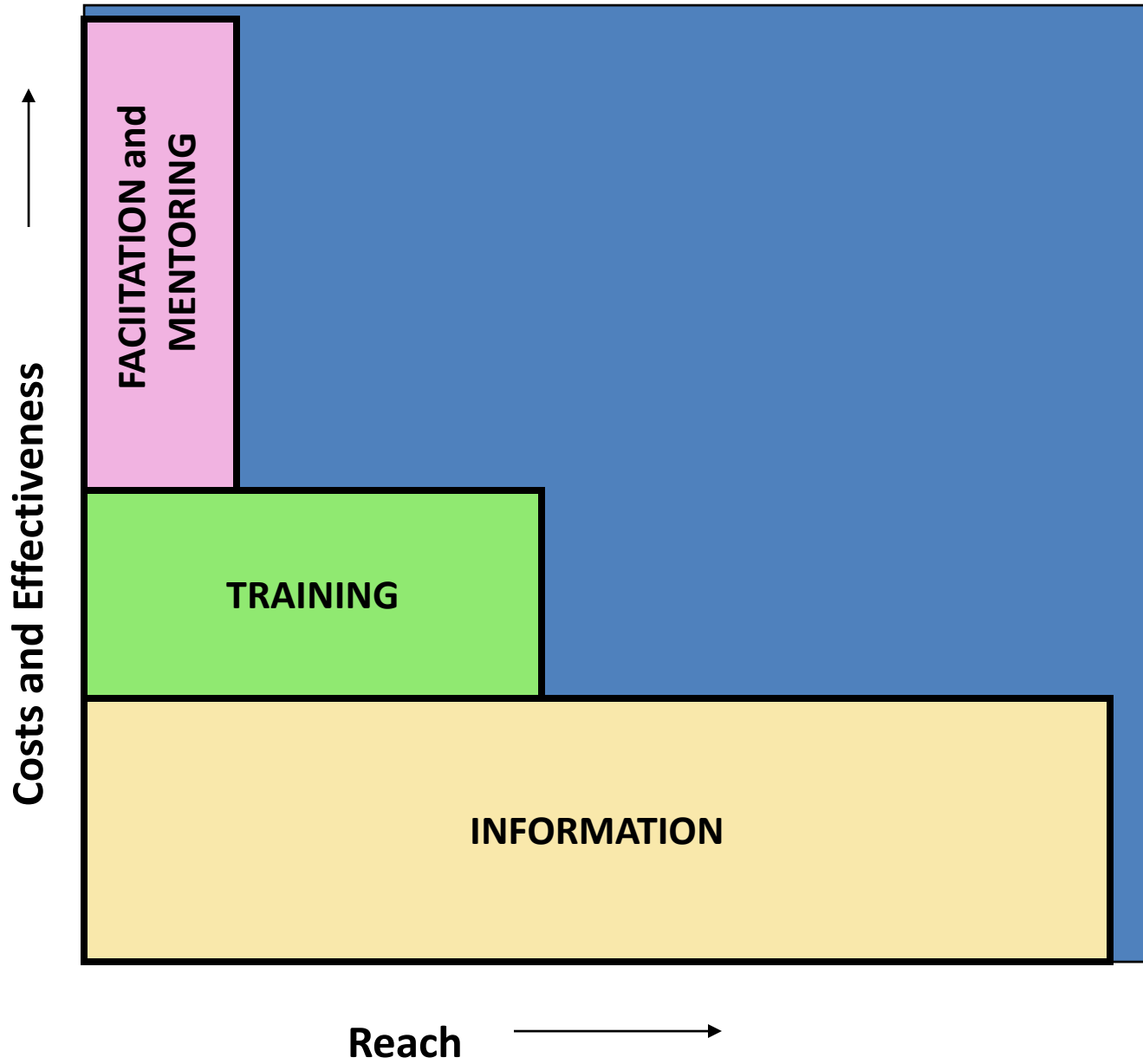
The simplistic answer to the question is:

“All levels need to be addressed”

- the individual (micro-level),
- the meso-level (organizations, institutions, NGOs, communities, etc)
- the macro-level (government, policy development, societal changes)

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

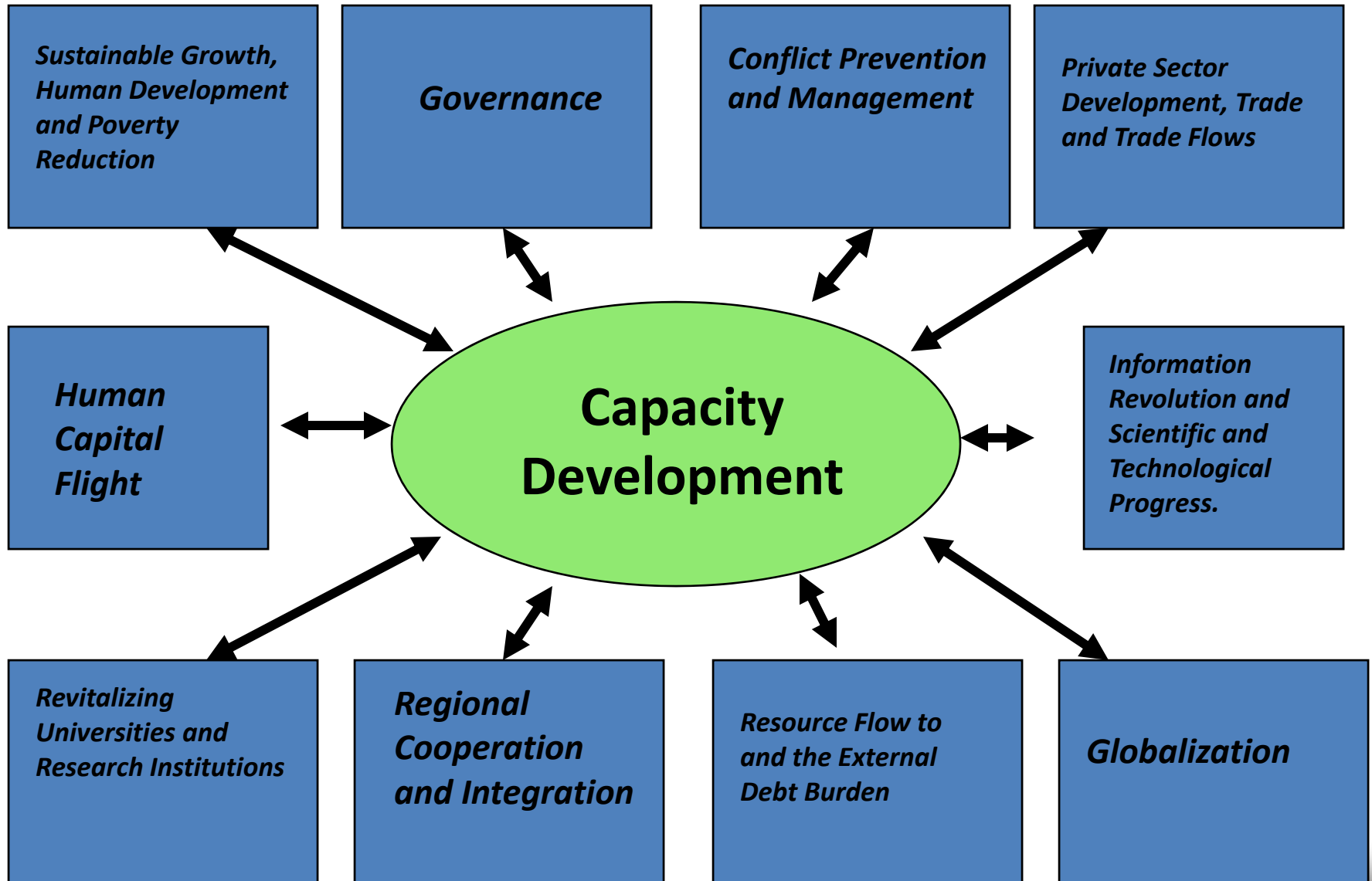
- **Information provision and dissemination**
- **Education and training**
- **Mentoring and facilitation**
- **Networking (personal or technological)**
- **Feedback and experiential learning**



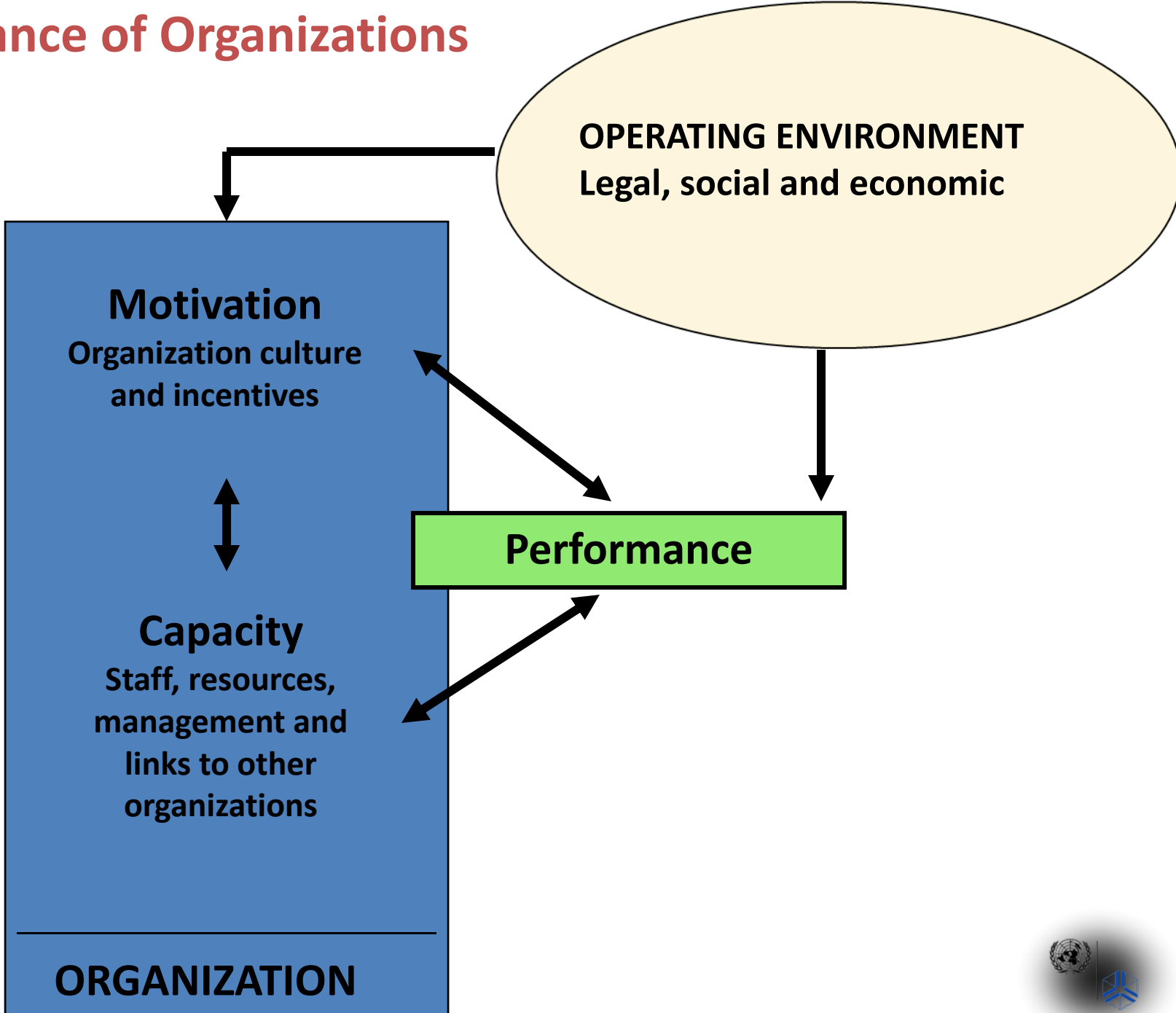


- **There is no single format or method that is appropriate in all cases**
- **Managers need to do an organizational analysis to assess “gaps” and limiting factors and address those by choosing the types of capacity building**
- **All types of tools can fit into such a scheme, but must be chosen according 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 doing the work and driving the process.**

Challenges that affect Capacity Building



Performance of Organizations





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 building 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.



Evaluations can serve two purposes: accountability and improvement.

- Accountability:

This refers to the obligation of reporting on or justifying a particular activity. Most evaluations are carried out to meet government or funding-agency accountability requirements. These evaluations are generally conducted to determine whether objectives have been achieved and resources have been used appropriately.

- Improvement:

Evaluations carried out to learn lessons that can be used to improve ongoing or future capacity-development efforts are of potentially greater value. Unfortunately, improvement-oriented evaluations are seldom carried out