

METHODOLOGY

# Capacity Development for Water

Step-by-step guide from individual  
to sector wide capacity development

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### **Editing & Layout**

SIWI

### **Contact**

Stockholm International Water Institute  
[siwi@siwi.org](mailto:siwi@siwi.org)

### **Visiting address:**

Hammarbybacken 31  
120 30 Stockholm  
Sweden

### **Postal address:**

Kabyssgatan 4D  
120 30 Stockholm  
Sweden

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## List of Acronyms

<b>CAEPA</b>	Water Supply and Sanitation Committees (Haiti)
<b>CD</b>	Capacity Development
<b>CPE</b>	Water Point Committee (Haiti)
<b>CT</b>	Local Authorities (Haiti)
<b>CTE</b>	Technical Centers for implementation (Haiti)
<b>CDNA</b>	Capacity Development Need Assessment
<b>CReSEA</b>	Environmental Health and Sanitation Regulatory Framework (Haiti)
<b>DINEPA</b>	National Directorate of Water and Sanitation in Haiti
<b>DM</b>	Decision Makers
<b>IWRM</b>	Integrated Water Resources Management
<b>JMP</b>	UNICEF / WHO Joint Monitoring Programme
<b>LAC</b>	Latin America and the Caribbean
<b>OECD</b>	The Organization for Economic Cooperation and Development
<b>OREPA</b>	Regional Authority of water and sanitation in Haiti
<b>SDG</b>	Sustainable Development Goal
<b>SDOFP</b>	Self-defined Optimal Feasible Performance
<b>SIWI</b>	Stockholm International Water Institute
<b>TG</b>	Target Group
<b>TEPAC</b>	Municipality Technical Unit for Drinking Water and Sanitation (Haiti)
<b>UNDP</b>	United Nations Development Programme
<b>URD</b>	Departmental Rural Units (Haiti)
<b>UNICEF</b>	United Nations Fund for Children
<b>WASH</b>	Water, Sanitation and Hygiene
<b>WRM</b>	Water Resources Management

# Foreword

Capacity development and education make a difference to development by increasing efficiency and effectiveness of societies, organizations and individuals. Assessing capacity development needs, help them to identify their strengths and weaknesses and develop strategies to improve their performance that ultimately will result in better water security by improving water resources management, water and sanitation services delivery and water related disaster risk reduction.

The improved governance of water is critical to water security because of its crucial role for economic growth, social inclusion, and environmental sustainability. Water security is seen as the reliable availability of an acceptable quantity and quality of water for health, livelihoods and production, coupled with an acceptable level of water-related risks. Consequently, improved capacities to perform a range of water governance functions, such as regulation of services, allocation of water, financing, and coordination and cooperation across sectors and stakeholders – will be even more critical to build social inclusion, economic development and environmental resilience.

This report forms part of SIWI's work to offer a range of capacity development tools, services and opportunities to low and middle-income countries around the world. It is also contributing to international agendas of accelerating the implementation of the Sustainable Development Goal (SDG) 6, the Paris Climate Agreement and the Sendai Framework on Disaster Risk reduction, through capacity development. The importance of capacity development for governance and improved water security was reaffirmed in the closing session of the UN Water Conference, 24 March 2023, by highlighting the Global Water Education Network to build capacity of institutions and people, especially to support developing countries, as a key game-changer. SIWI is a partner to this Global Water Education Network (GWEN) by being a founding partner of the Capacity Development Alliance with UNESCO, IHE-Delft and UNDP Cap-Net.

SIWI targets to strengthen water governance capacities among key water organizations - targeting key middle and higher-level public and private sector water officials and decision-makers at international, national and sub-national levels, including river basin organizations. It also leverages capacities from civil society, academia, media and private sector. A multistakeholder perspective and strong local ownership of capacity development strategies are critical since effective policy implementation is about building trust and stakeholder coalitions for joint actions.

**Håkan Tropp, PhD**

Programme Director Capacity Development  
Office of the Chief Operating Officer  
Coordinator GoWATER Programme  
Stockholm International Water Institute



# I. Background and scope

Capacity Development is described as the process through which individuals, organizations and societies obtain, strengthen, and maintain the capabilities to set and achieve their own development objectives over time (UNDP, 2008<sup>1</sup>. The term of capacity development, previously defined as capacity building, evolved since 1970s, incorporating the development of organizations and the broader social environment into the initial focus on strengthening only the individual capacities and human resources (Bester, 2015; Lusthaus et al., 2002).

During the last decades, consensus has emerged on understanding capacity development as a multidimensional and systemic set of interrelated processes, combining activities focused on strengthening individual skills and abilities, with interventions at a larger scale, giving greater attention to the broader social, economic, and political environment (Morgan, 2006).

In the water sector, during the symposium ‘A Strategy for Water Sector Capacity Building’, organized by the United Nations Development Programme (UNDP) and the International Institute for Hydraulic and Environment Engineering (IHE) in 1991, the importance of capacity development processes for ensuring a sustainable development (IHE/UNDP, 1991) were recognized. Since then, several initiatives have been developed to assess and strengthen capacity development needs of countries and institutions, including the individual, the organizational and the enabling environment levels (SIWI, 2023).

To contribute to the discussions and application of the concept of capacity development in water, SIWI has developed, through a process of literature review and consultation with experts, a framework for capacity development in water (SIWI, 2023), as well as this Step-by-Step Guide for its application.

This document is intended to provide water practitioners with a stepwise approach for intervening in capacity development programs. We define practitioners as water professionals implementing practical interventions in the sector, as opposed to performing academic or research work. Practitioners may play different roles in different stages of the process described in this guide: such as design the development of the intervention, support certain aspects of it, or facilitate some sections.

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<sup>1</sup> Capacity development has been defined in multiple ways in the literature, and the most relevant definitions are presented and discussed in the concept note developed by SIWI (SIWI, 2023).

The Step-by-Step Guide is built both from literature review, consultation with experts and experiences on the ground. The design and testing of this guide drew upon specific examples from the Water, Sanitation, and Hygiene (WASH) and the Water Resources Management (WRM) fields. It's important to note that while the methodology is tailored to water sector interventions, it is sufficiently broad. With some adjustments, it can be effectively applied to various interventions requiring CD in other fields.

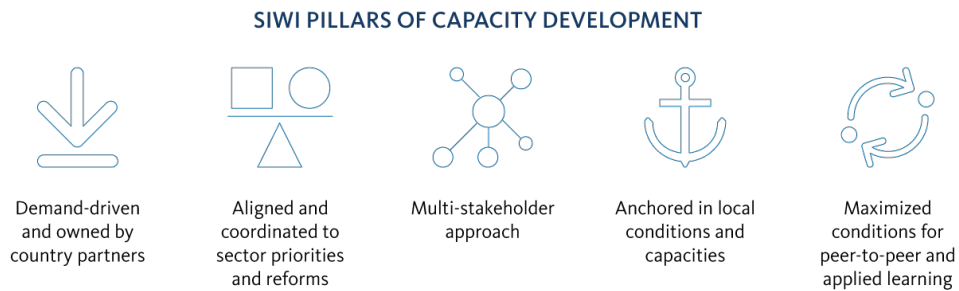
After this introduction, chapter 2 presents SIWI's approach to CD, where the CD framework shows the determinants of performance of a system, institutions, organizations or individuals working in the water sector. Chapter 3 explains the step-by-step methodology proposed, based on the UNDP CD approach and adapted to the water sector. It comprises the engagement of key stakeholders and defining the scope (step 1), the realization of a capacity development needs assessment (step 2), the design of a CD action plan (step 3), its implementation (step 4) and its evaluation (step 5). This guide finalizes with chapter 4, where it shares a case study on the implementation of the step-by-step methodology in Haiti.

## II. SIWI's pillars and approach to capacity development

SIWI's interventions on CD are rooted in five pillars (shown in figure 1). The pillars guide SIWI's work on CD and consolidate the specificities of CD interventions. The pillars indicate that CD programs need to be demand-driven and owned by country partners (pillar 1), aligned and coordinated with sector priorities and reforms (pillar 2); designed as a multistakeholder approach (pillar 3); anchored in local conditions and capacities (pillar 4), and should maximize conditions for peer to peer and applied learning.

Following the principles embedded these pillars, CD programs should be designed together with the relevant stakeholders (as per principle 1), and in the perspective of an “self-assessment” as opposed to other approaches – which can be perceived more as an audit rather than as support. By working on a self-assessment perspective, the CD practitioner facilitates a process in which the same interested actors map their capacity gaps and envision how they would increase their performance. In some cases, ensuring the confidentiality of the exercise can be key to a reliable and trustworthy result. Building on SIWI's lessons learned principle 1 includes “Capacity development planning ownership”, meaning that key government agencies and partners own their capacity development vision, objectives, and roadmap, with milestones lined up along the roadmap as desired and planned progress. As pillar 2 highlights the importance of alignment and coordination with sector priorities and reforms, in-country needs and demands should be explored beforehand, to respect the principles of the Paris Declaration on Aid.

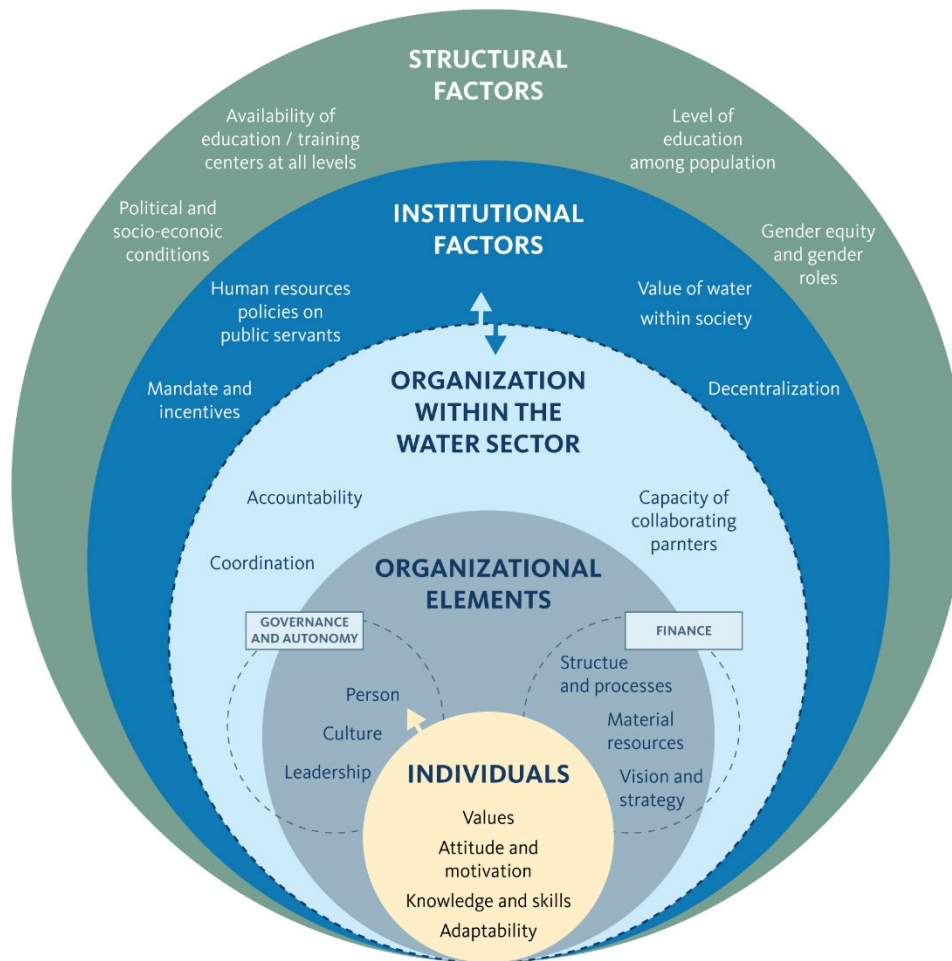
Effectiveness and the Accra Agenda for Action (OECD, 2005). It is recommended that all the steps of the intervention, especially the CD needs assessment, are developed and implemented as a multi-stakeholder process and anchored in local conditions and capacities (implementing in practice pillars 3 and 4). Finally, to implement pillar 5, priority should be given in the action plan to peer-to-peer and applied learning approaches, as in the water-related CD programs the stakeholders have different levels of capacities and there are certainly opportunities to learn from peer professionals.



**Figure 1:** SIWI Pillars of Capacity Development.

**Source:** SIWI's 'Building Governance Capacity for Improved Water Security, GO-WATER program', final report, to be provided upon request.

Based on the five pillars, SIWI's framework for capacity development identifies and lists determinants of organizational performance (SIWI, 2023) and organizes them in different levels. SIWI's framework of determinants of organizational performance accounts for the complexity of the water environment where organizations operate. Four interconnected levels are described: from individual employees to the organizations, how these relate to other organizations within the water sector, how the water sector sits within the wider institutional framework, and the context of the country where it operates (structural context). The framework can be seen in figure 2. A thorough explanation of the dimensions and the determinants within dimension can be found in annex 1.



**Figure 2:**SIWI’s capacity development framework.  
**Source:** SIWI Capacity Development. Concept Note.

In SIWI’s CD approach, capacity is a relative and dynamic term, as it is measured against the individual or organizational ability to perform certain functions. Therefore, whether a human or an institutional system has capacity or not, it will depend on the expected functions or mandate. In turn, as these functions or mandates can change over time, so CD programs need to be adaptive and flexible to cover the new contexts.

### III. Five-step methodology for capacity development

The methodology aims at providing water practitioners with a step-by-step process to design a participatory CD intervention. The process starts with an adequate engagement with the right stakeholders (target group and decision makers), continues by facilitating the target group’s self-assessment of their capacity needs against their optimal performance, includes the formulation of a CD plan to satisfy those needs, continues with its implementation and finalizes with the monitoring, evaluation, and learning from the experience.

Individual, organizational or institutional CD is not a one-off intervention but an iterative process of design, application, assessment, learning, and adjustment. The UNDP captures capacity development in a five-step process cycle. SIWIs approach follows this process cycle.

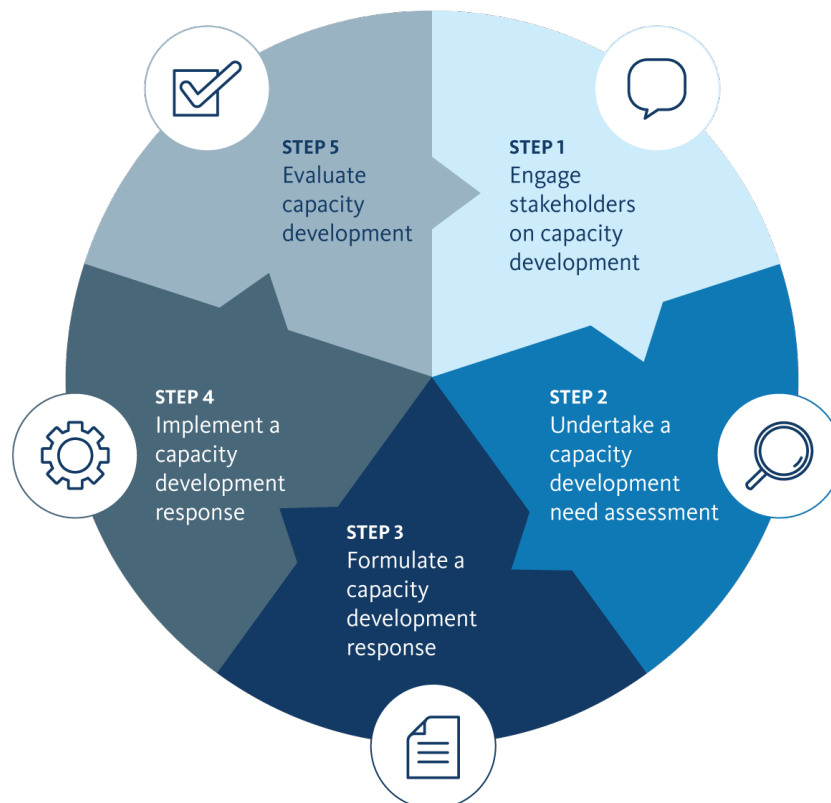
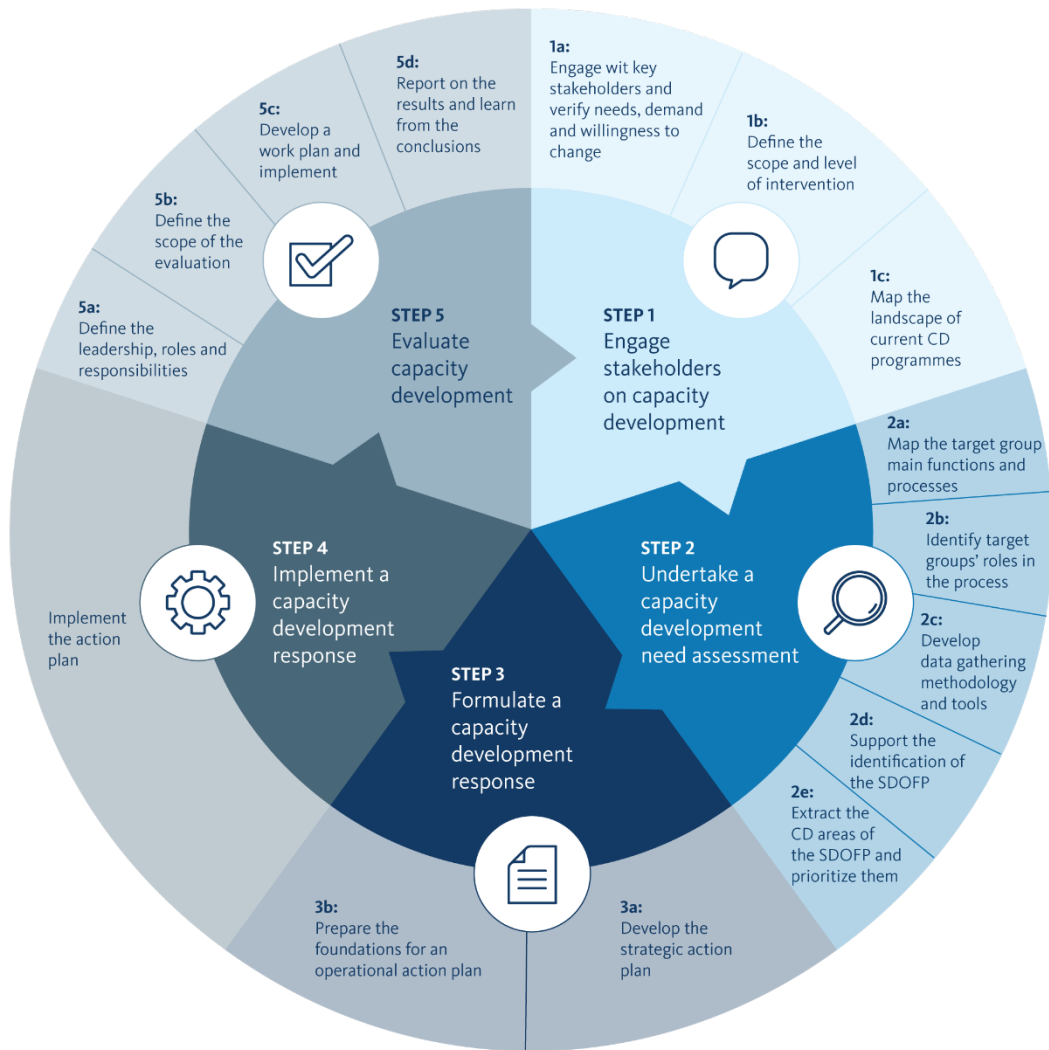


Figure 3: Capacity assessment steps as defined by UNDP (2008).

The proposed methodology builds on the UNDP capacity development process (UNDP, 2008). UNDP's methodology is a reference for different UN agencies and the European Commission, among others.

The five-step methodology proposed for creating the CD response is graphically shown in figure 3. Step 1 is about the definition of the entry point, where key stakeholders and the scope are outlined, based on the CD framework. In this step, CD needs and demands are assessed, and motivation to change from the potential target group of the intervention is confirmed. Here, the landscape for CD programs is also mapped, identifying other active CD programs, donors and service providers in the field (technical schools, universities, consultancies, among others). Step 2 develops the approach for a CD Needs Assessment (CDNA). It consists of five sub-steps that guide the practitioner - together with the key stakeholders identified in step 1 - on a self-assessment of individual, organizational and / or sectoral capacities to perform certain functions. This is done by mapping the main actors, functions and processes (step 2.a); identifying the target group's specific roles in the selected processes (step 2.b) developing data gathering tools (step 2.c), supporting the target group identification of their desired performance (step 2.d); and extract the CD areas of their identified desired performance (step 2.e). Step 3 guides how to create CD plans (whether strategic or operational), based on the information and commitment gathered in steps 1 and 2. Step 4 dives into the implementation process and finally, step 5 indicates some parameters for monitoring and evaluation of the implementation of the action plan. Figure 4 below shows a graphical representation of the five steps and their sub-steps.

The following sections of the document describe these steps one by one. The details of each step include setting its particular objective, describing the process to complete the step, and defining the outputs expected. At the end of the description of the five steps, in section IV, there is a case study from Haiti, to show a practical application of the approach. The guide is also accompanied by a series of checklists to support the control of the completion of each sub-step, which can be found in Appendix 2.



**Figure 4:** Steps for Development of a Capacity Development Action Plan





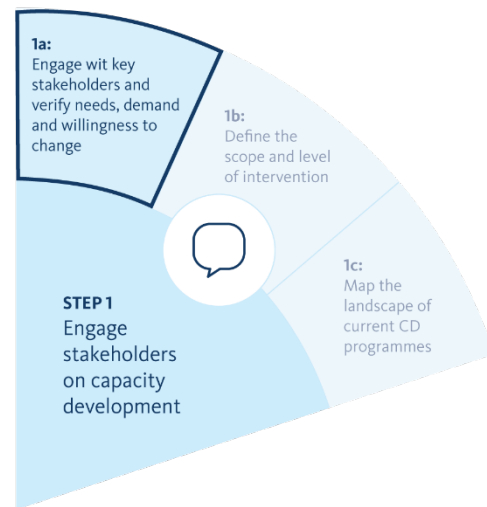
## Step 1: Engage with key stakeholders and define the scope of the exercise.

**Objective:** to ensure the exercise is demand-driven and owned by country partners

Step 1 establishes the intervention's ambition by determining whose capacity will be developed, at what level, in what thematic area, and where in the country. It also encourages conducting a mapping of other CD initiatives and actors present in the field. This step comprises three sub-steps: a) engaging with relevant stakeholders to verify needs, demands, and willingness to change, b) defining the scope and level of intervention based on the CD framework, and c) mapping the landscape of CD interventions and actors, to understand the broader context. The first two sub-steps are to be accomplished iteratively, as one conversation influences the other; identifying key actors is determined by selecting the components of the framework to focus on; and by doing so, some additional actors would need to be invited to the conversation. For simplicity, this document describes them subsequently.

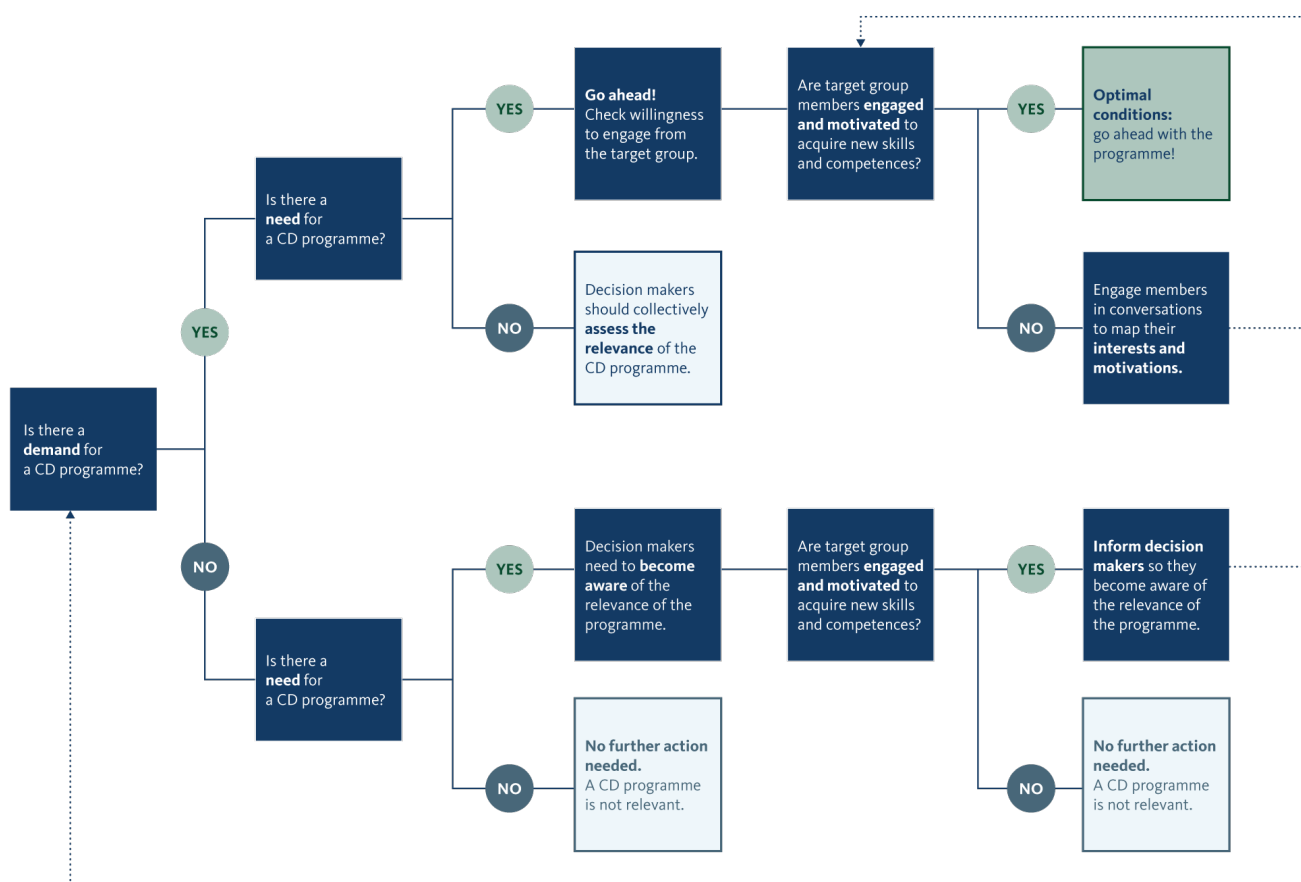
### Step 1.a. Engage with key stakeholders and verify need, demand and willingness to change.

Developing capacities is an intensive exercise that requires consensus and trust between practitioner (performing here as the facilitator) and two levels of relevant stakeholders: decision makers and target group. On the one hand, decision-makers need to agree and support the process, and allocate time and resources for it. On the other hand, the target group (recipients of the CD interventions) should have sufficient motivation and willingness to engage. For that reason, before embarking in the development of a capacity strengthening program there is the need to check the “needs” and the “demand” from the decision makers and the “motivation to change” from the target group. “Demand” in this document is understood as a decision from an organization to allocate resources to satisfy a need. There could be the case that there is a perceived “need” for the CD program but there is no “demand” for it. In this case, it would be that there is no governmental body or partner willing to invest time and / or resources on it. It could also be that there is no willingness or motivation of the target group to engage in a CD process. Alternatively,



there could be a demand for the program but no need for it (for example, if there is an existing program on CD that would cover the demands raised).

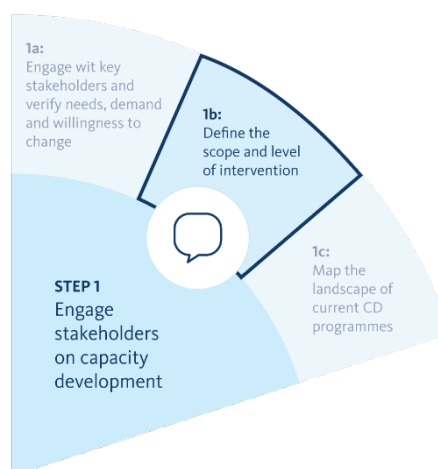
Figure 5 describes a flow chart to map the needs, demands and willingness to change. When the three elements are present, the conditions are optimal for running a CD process. Where there is a need with limited demand, then the decision makers must be engaged for a better understanding of the benefits of the CD intervention, so that they are convinced and can deploy resources to design it. This would increase the likelihood of implementation of the CD plan too. When demand is shown but with limited need, stakeholders should further assess the relevance of the intervention at that time. If need and demand are present, but there is no motivation to acquire new skills and competencies or develop new processes from the target group, it is important to engage in discussions to better understand the motivations and interests of the stakeholders and evaluate if the CD effort can be aligned to those. In case of the absence of the three aspects, there are no further actions to be undertaken, as the context is not conducive to a positive change.



**Figure 5:** Decision making flow diagram for needs, demand and motivation to acquire new skills and competences.

## Step 1.b. Define the scope and level of intervention based on the CD framework.

Once the decision-makers have confirmed their interest in starting the process and the target group has confirmed their willingness to change, they should agree on the scope and level of intervention of the exercise. They could also constitute a CD taskforce that would lead this process and bring it forward, step by step. By analysing the CD framework shown in Figure 1, the taskforce defines:



1. The geographical scope of the exercise.
2. The desired level of the interventions.
3. The main determinants of capacity to address within the levels, and the interconnections.
4. The specific organizations whose performance would be assessed.

### Hereby these dimensions are explained:

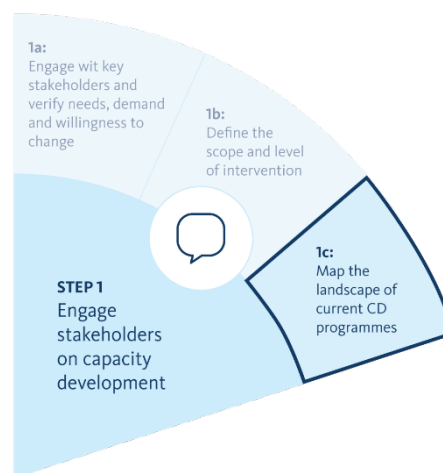
1. **The geographical scope.** This refers to the specific municipality, province, region, or national sphere where the key stakeholders operate. Defining this in advance is key to map other actors active in the specific geographic area together with the accountability lines of relevant authorities within and across the respective geographical or administrative regions.
2. **The desired level of the intervention.** As it is portrayed in the framework, an organization is inserted into a larger context, within which it operates. There, the organization interacts with peer organizations, responds to demands from others of higher hierarchies and it is subject to structural and institutional factors that have an effect on its performance but in which it has little influence. In this step, key stakeholders should be able to select the level of analysis they would like to bring to the CD intervention vis-à-vis the place the organization is occupying in this wider context. This determines different levels of interventions, depending on the interest of the key stakeholders and the expected results (as described further in Step 3).
3. **The determinants within a certain level.** The framework shows that each level of intervention contains “boxes” listing the main determinants of organizational performance. In some cases, not all of these determinants could be critical for the specific intervention. For instance, the exercise may assess some individual determinants such as motivation or skills, but set aside values and attitudes, or focus on some organizational ones such as vision or structure and set aside leadership and culture of the organization. Interconnections across levels also need to be assessed. A complete list and description of all determinants per level can be found in Appendix 1 of this guide.

4. **The specific organizations whose performance would be assessed.** To define whose capacities would be assessed, it is necessary to identify the specific organization / set of organizations and institutions that will be part of the exercise.

### Step 1.c. Map the landscape of current CD programs and service providers.

#### a) Additional information if needed: complementing the scene.

Once the levels of intervention have been defined, additional information could be required, such as what actors active in CD are intervening in the sector, and what kind of CD programs are being implemented.



#### B) Mapping CD active programs, donors and service providers in the thematic and geographic areas.

For better understanding of the landscape of CD programs in the country, it would be relevant to collect a baseline of such programs and donors that are active in the country, together with available service providers (such as universities, research centers, professional education institutions, technical high schools, consultancy firms, Non-Governmental Organizations, among others). It is also important to identify how these actors define CD, and the type of programs in place, together with the lessons learned during their implementation. This step is relevant to develop synergies to avoid duplication of efforts, and to ensure a realistic CD plan, based on the current context and available CD service providers.

#### c) WASH, WRM and climate change policies and documents.

Finally, to ensure alignment and coordination of the intervention with sector priorities and existing reform efforts it would be necessary to map out existing national development priorities, policies and strategic documents, in particular in the water-related sectors (WASH, WRM, climate change), and in particular if there is any policy or plan related to CD in the country concerning water and environment. This exercise would be performed to understand national priorities and their level of ambition. Depending on the selected scope, some documents to be reviewed may include National Development Policies, sectoral strategies and action plans, National Adaptation Plans (NAP), National Determined Contributions (NDC), Policies and Strategies guiding IWRM, WASH, Agriculture, Energy, Environment, etc. They may also include understanding the current SDG 6 implementation situation, including national monitoring and information systems, as well as international indicators available for SDG 6 monitoring, and other national and international monitoring instruments, in aspects related to water, capacity, and governance.



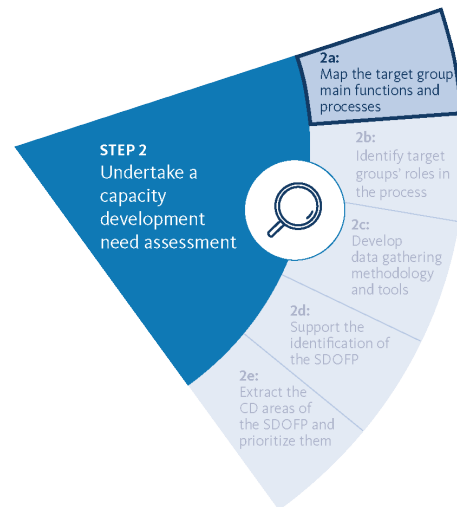
## Step 2: Undertake a Capacity Development Need Assessment (CDNA).

**Objective:** to identify the target groups' capacity gap, defined in terms of the current level of capacities to perform their functions vs. their optimal feasible performance.

Step 2 guides us through a process to assess the baseline status of capacities. This is accomplished via a Capacity Development Needs Assessment (CDNA). The CDNA is a key exercise to understand the target group's level of capacities (including their assets) and their gap to satisfactorily perform their expected functions and roles. Elaborating a CDNA implies going through five different sub steps, as shown in Figure 6, such as: mapping the main functions and processes (step 2.a), identifying target group specific roles in the selected functions in each process (step 2.b), developing data gathering methodology (step 2.c) supporting the identification of the Self-Defined Optimal Feasible Performance (step 2.d), and extracting the capacity-related areas of the Self-Defined Optimal Feasible Performance (step 2.e).

### Step 2.a. Map the target group's main functions and processes.

As it has been described, "capacity" is a relative term, it depends on the target group's mandate and on its expected performance to fulfil certain functions (in other words, to answer the question "capacity to do what?"). Then, it is key to have clarity on the organization's mandate within the water sector, and to refine it, its key functions and processes are mapped. The list of functions will vary substantially depending on the focus of the CD assessment. An indicative list of water governance functions and management processes can be found in table 1. In this list, the functions are based on the water governance framework for practitioners. They will be relevant for sectoral CD assessments like the one performed in Haiti and described as a case study in section 4 of this guide. In its second column, the table lists the management processes derived – as a general note – from each water governance function. This indicative and non-exhaustive list of management processes should be adapted to the context and the scope of the CD exercise. It would be useful to assess internal processes within one organization.



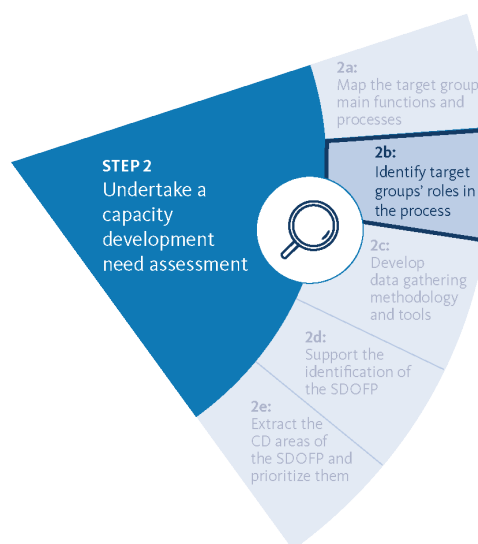
**Table 1:** Water governance functions and key management processes within.

Governance Function	Management Process (Sample list, to be adapted to the local context)
<b>Policy and Strategy</b>	<ul style="list-style-type: none"> <li>• Collecting baseline information</li> <li>• Consulting relevant stakeholders</li> <li>• Setting sectoral priorities and targets</li> </ul>
<b>Coordination</b>	<ul style="list-style-type: none"> <li>• Setting up and facilitation coordination mechanisms</li> <li>• Sharing information</li> <li>• Participating in joint reviews and other coordination mechanisms</li> <li>• Reporting back to sector stakeholders</li> </ul>
<b>Service Delivery</b>	<ul style="list-style-type: none"> <li>• Planning service delivery / operations</li> <li>• Financing service delivery</li> <li>• Implementing service delivery / operations</li> <li>• Monitoring, evaluation and review how service / operations have been delivered</li> </ul>
<b>Regulation</b>	<ul style="list-style-type: none"> <li>• Defining rules, roles and standards</li> <li>• Monitoring</li> <li>• Information sharing with stakeholders</li> <li>• Defining enforcement rules, sanctions and rewards</li> </ul>
<b>Budgeting</b>	<ul style="list-style-type: none"> <li>• Preparing budget</li> <li>• Defining and adjusting through approval process</li> <li>• Following up, correcting deviations and being able to justify them.</li> </ul>
<b>Financing</b>	<ul style="list-style-type: none"> <li>• Ensuring funding for the objectives set</li> <li>• Recording financial transactions and reporting according to standards.</li> </ul>
<b>Planning</b>	<ul style="list-style-type: none"> <li>• Setting targets, allocating resources and defining timeline</li> <li>• Conducting multistakeholder discussion for adjusting plans</li> <li>• Defining Key Performances Indicators</li> </ul>
<b>Monitoring, evaluation and learning</b>	<ul style="list-style-type: none"> <li>• Collecting information about performance vs. indicators</li> <li>• Tracking implementation of the plan</li> <li>• Correcting deviations if needed</li> <li>• Drawing lessons from implementation and feedback inputs to next cycle</li> </ul>

The actors and scope for this exercise should have been defined in step 1. So, this sub-step ends when the functions or management process are mapped for those actors. In the following step, this information will be further analyzed.

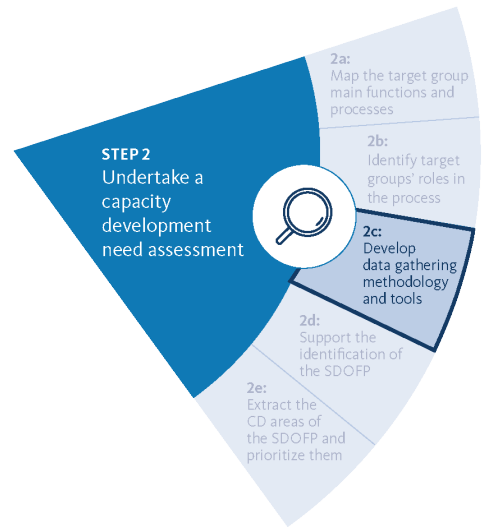
### **Step 2.b. Identify target group's specific roles in the selected management processes.**

At this stage, clarity should be established in both the list of organizations and the description of processes. Now the focus shifts to clarifying the specific role of each actor within each process. A useful tool for achieving this clarity is creating a matrix that intersects actors with the management process. This exercise serves to identify the key role of the actor (or organization) in each process, according to its official mandate. This aspect is crucial, as in the matrix actors/processes serve as a constructive exercise to identify areas of institutional overlaps and gaps where no institution assumes responsibility for a particular function. In this regard, the matrix actor/process maps the roles and responsibilities in an ideal scenario. When, in the subsequent step (2.c), this ideal scenario is compared with the actual performance of the organization, as defined by its own members, and a comprehensive overview of the deviations (or matches) emerges. For a practical demonstration of a matrix actor/process in action refer to Table 7 in section 4 of this document, where the case study from Haiti is explained. The matrix also serves as a basis to plan for the data-gathering methodology and tools.



### Step 2.c. Develop data-gathering methodology and tools

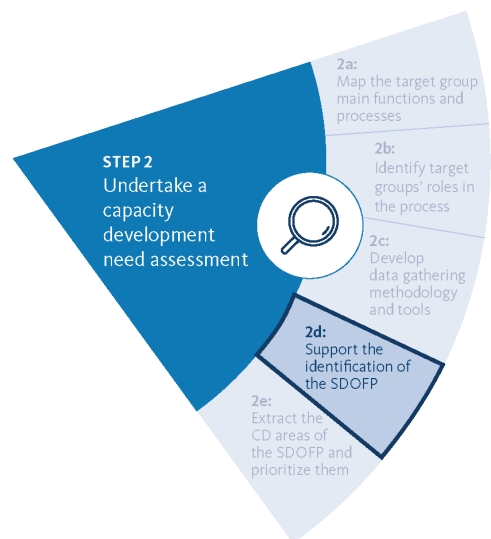
The methodologies and tools for data gathering need to be carefully crafted based on the insights derived from the actor/process matrix, specifically focusing on capturing capacity gaps. The primary objective is to identify disparities between an actor's desired and actual performance within their designated functions and discrepancies between an organization's official mandate (established in step 2.b) and its real-world operations. The design of the instruments, then, needs to guide the practitioner during the subsequent step, aiding them to capture the target group's self-defined perceived current performance and their feasible optimal one.



For instance, to gather information on their performance on policy development or strategy setting, interviews with the government's top managers using open and qualitative questions can be appropriate. On the other hand, for group performance such as in identifying an agency's mandate, it would be more recommended to use focus groups with the relevant agencies. Finally, to gather quantitative information on human or material resources within a more extended group of people, such as district staff, a survey would be needed; statistical design and sampling might be needed depending on the level of accuracy desired for the quantitative information. Once this strategy for data gathering is defined, the last part of this step is to develop the instruments. Annex 1 shows some examples of interviews scripts, questionnaires for focus groups, quantitative questionnaires, and surveys for a sectoral CDNA.

### Step 2.d. Support the identification of Self – Defined Optimal Feasible Performance (SDOFP)

The ultimate goal of this step is to identify the target group's Self-Defined Optimal Feasible Performance (SDOFP). SDOFP is a concept that captures the participants' vision of their potential best performance judged as realistic to achieve within a certain period, under current circumstances. The identification of the SDOFP is done through a visioning exercise. Table 2 shows the definitions that this guide uses for each of the parameters of the SDOFP together with some guiding questions to add to the data collection instruments.





**Table 2:** Definitions used by this guide for the SDOFP’s parameters.

Parameter	Definition	Guiding questions
<b>Self -defined</b>	Agreed upon by the target group. This agreement can be by consensus or by vote of the majority.	<ul style="list-style-type: none"> <li>• How would you define/see the following aspects....?</li> </ul>
<b>Optimal</b>	Best, most favourable	<ul style="list-style-type: none"> <li>• What is the best work/services you (your organization, etc) can deliver?</li> </ul>
<b>Feasible</b>	possible to do easily or conveniently.	<ul style="list-style-type: none"> <li>• Please redefine your previous responses considering that in 5 or 10 years the base conditions of your work (your organization’s work) will be similar to today’s or within a realistic/foreseeable progress. Some conditions are: <ul style="list-style-type: none"> <li>– financial and human resources,</li> <li>– available time to perform tasks,</li> <li>– target group’s willingness to change,</li> <li>– their baseline capabilities,</li> <li>– their potential to lead change,</li> <li>– their position in the decision-making process availability of CD service providers at an affordable cost.</li> </ul> </li> </ul>
<b>Performance</b>	the action or process of performing a task or function.	<ul style="list-style-type: none"> <li>• How does the organization/sector/ you perform its mandate in practice?</li> <li>• Do you see any gap between the organization’s mandate as per law and its implementation in practice?</li> <li>• Are all functions of the organization being implemented in practice?</li> </ul>

**Source:** author’s elaboration, adapted from Cambridge Dictionary. (2023)

The exercise prompts participants to assess their present performance level and subsequently envisage their Self-Defined Optimal Performance (SDOFP) over the medium and long term, typically designated as 5 and 10 years, respectively. Depending on the scope, the level of intervention and the target group defined in step 1, this exercise can be worked with a group of individuals, (sections of) an entire organization, or a group of organizations. The concept of SDOFP departs from the target group assessment of their own current performance and includes – to the largest extent possible – their level of ambition, adaptation to context and engagement. The assumption is that by having the target group think about what is feasible, they will assess aspects that foster and hinder capacity development in that specific context and avoid discussing objectives that are just

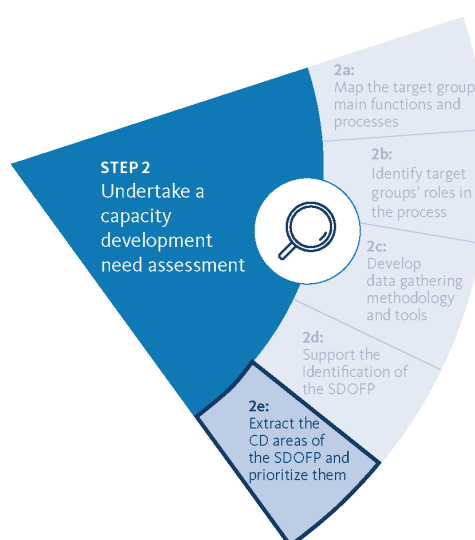
“ideal” and would be out of reach. So, as Figure 4 shows, aspects such as their available time and willingness to change, the financial and human resources that they count on, their baseline capabilities, their leverage potential to lead change, the availability of CD service providers at an affordable cost, their position in the decision-making process, among other factors, will be considered and contribute to the feasibility of the CD process.

This step will also serve to identify the extent to which the organizations are complying with their official mandate (identified in step 2b) and see relevant deviations from it in practice. These deviations will be key for identifying the CD gaps and needs, and for the development of corrective measures in the CD plan.

### **Step 2.e. Extract the capacity-related areas of the SDOFP and prioritize them.**

The information gathered so far would allow a clear understanding of the baseline situation, especially in the gap between the organization’s current performance and their desired SDOFP and also on the deviation between the official mandate and the role it plays in practice. However, it should be evident by now that not all the underperformance of the (set of) organization could be attributed to a lack of capacities. Then, after the visioning exercise, it is necessary to identify which areas of the SDOFP are capacity related. This means that they are caused by and derived directly from lack of capacities, and that they would be substantially improved by CD interventions. There are many manners to do this categorization: it can be undertaken through a collaborative exercise during some workshops (so the target group’s participants would do it themselves) or it can be also performed by the CD facilitators through a desk review. In the latter case, some sort of validation by the target group should be ensured before moving forward with the CD plan. If conducted in a workshop, a participatory decision making on the selection, listing and prioritization of the CD areas for improvement will be facilitated. Overall, the level of priority of these areas will depend on a variety of parameters, including the relevance of the CD need to unblock progress in the sector, the level of engagement of internal champions; the willingness to support the change by government and donors and the existence of institutions providing CD services (in the case of strengthening individual capacities through building skills and competences).

This will give a clear picture of the capacity gap and the prioritized areas, which will be the main inputs for the CD action plan.





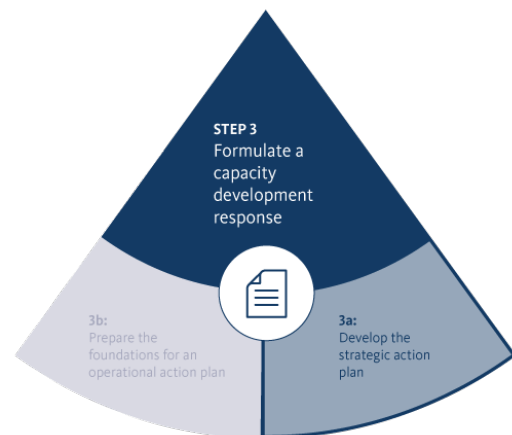
### Step 3: Design the Capacity Development action plan.

Objective: to develop a capacity development plan that meets the needs and priorities identified in the CDNA.

The information derived from the analysis conducted in the previous step serves as the foundation for the formulation of the CD program and plan. The structure of the CD action can vary significantly, according to the objective and the complexity of the undertaking. There is likely necessity to originally create a strategic plan that summarizes the main findings and recommendations from the exercise before embarking on the design of a more detailed, operational plan. This operational plan can be devised at a later stage, particularly after securing funding for specific activities. Then, step 3 is subdivided into two sub-steps: 3.a) develop a strategic action plan and 3.b) prepare the foundations for an operational action plan. The necessity for both steps will be contingent on a case-by-case basis, taking into account its specific circumstances, objectives, and complexities.

#### Step 3.a. Develop the strategic plan.

The main findings of the study can be put together at this stage in a strategic plan that sets the groundwork for implementation of the CD program. It is recommended that the strategic plan would be summarized in a Theory of Change, which can pave the way of how the intervention will guide the steps until the desired outcome. In addition to the theory of change, the strategic plan should take into consideration the following information:



- a) Level of intervention of the exercise (whether structural, institutional, interorganizational, organizational and/or individual), and the connections across them.
- b) The particular function or management processes identified: this summarizes the decisions made in step 1.b
- c) The result of the visioning exercise for each actor involved: here the focus is on summarizing the desired SDOFP specific to the actor and the designated management process.
- d) The capacity gap identified, articulated into a specific CD need for support. Here, there is the need to translate the gap into certain actions that will fill that gap. For

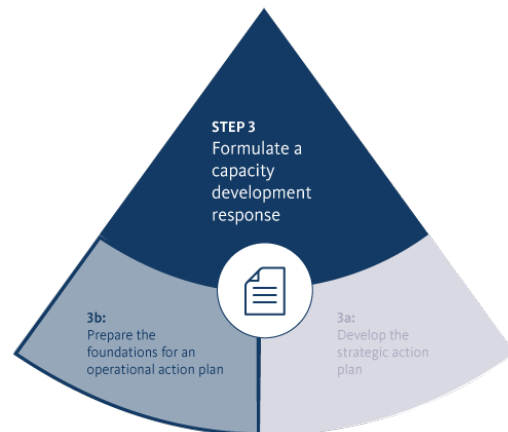
instance, if the Ministry of Water underperforms in their procurement processes, the CD need for support could be to develop capacities in procurement rules (which could be filled by e.g. undertaking trainings, and putting in place new IT procedures). Another practical example can be seen in table 9. in section 4, when explaining the case study in Haiti.

- e) A quick assessment of the level of difficulty to implement. It is recommended to establish a simple rating system (such as 1=low level of difficulty and 5= high level of difficulty) in order to have an initial idea of the prioritization for the operational plan.
- f) Underlying opportunities: under this category it is suggested to list some outstanding opportunities that may exist in the context and favour the possibility to advance on this specific set of actions.
- g) Quick wins: finally, this category invites to analyze if there are “low hanging fruits” or prospects of existing conditions that can be extremely conducive for quick results and have a positive effect on the motivation of the intervening actors.

A final factor to consider when developing the strategic action plan is to draw upon the information collected in sub-step 1.c while mapping the landscape of CD programs and service providers. It would indeed be helpful to understand the types of CD programs active in the country, their definition of CD, the interventions they undertake, and identify synergies with the strategic action plan under development. Also, the information regarding the existence and quality of CD service providers will support the design of interventions that can potentially make good use of this local knowledge and resources. The existence of local universities, consultancy firms, research institutes, governmental agencies mandated to enhance technical and professional capacities and networks of professionals -among others, facilitates an intervention grounded in local knowledge and involves local partners, aligning with Pillar IV of SIWI's CD approach.

### Step 3.b. Prepare the foundations for an operational action plan.

Some interventions outlined in the strategic action plan may be more readily operationalized than others. This ease of implementation could be attributed to factors such as low complexity, underlying opportunities, or the presence of potential quick wins, such as the interest of a particular funder in these types of interventions. For these interventions, it is advisable to develop an operational plan.



The format of the operational plan will vary depending on the specific case, but it is recommended to include, at least, the formulation of the proposed action, definition of roles and responsibilities of key stakeholders (leaders and supporters), estimation of a timeline, and a resource plan. The plan should be accompanied by a set of key performance indicators, a reporting system, and means of verification (further details provided in step 5, evaluation of the action plan). Indicators must be specific, measurable, achievable, relevant and time-bound (SMART), and refer to activities/inputs, outputs, outcomes and impacts. The definition of the indicators will differ based on the type of intervention defined in the action plan. Table 4 presents a template for an operational action plan.

**Table 3:** Template for a CD action plan, with an example.

Level of intervention / Process	Gap Identified	Action	Leader	Supporting actors	Timeline	Cost	Indicators
<b>Level of intervention: Institutional</b>							
<b>Process: regulation</b>	Human Resources policies are updated	Advocate for updated regulation the water professionals	Ministry of Water / ministry of education		June 2023-Dec 2030	X USD	Draft proposal developed.
<b>Level of intervention: inter-organizational</b>							
<b>Process: Coordination</b>	There is no coordination among actors	Leading ministry would organize monthly meetings with rotating secretariat	Ministry of Water		From January 2024	X USD	Number of meetings undertaken
		Participating sector organizations should be prepared and bring relevant information	Each member organization		From January 2024	X USD	Number of briefs presented by organizations in each meeting.
<b>Level of intervention: organizational</b>							
<b>Process: Strategic development</b>	Strategy does not respond to mandate	Organize visioning workshops with top management and develop a new strategy (including matching resources)	Water service provider		June 2023 – Dec 2023	X USD	Number of meetings organized (as proved by meeting minutes) <i>Draft strategic document available.</i>



## Step 4: Implement the Action Plan

**Objective:** to conduct interventions and activities identified in the CD action plan

Capacity needs to be developed using existing local knowledge, structures and processes. The external role can facilitate and trigger learning, innovation and knowledge, but integrating local knowledge is essential for a sustained development (UNDP, 2015).

Suggested CD interventions can vary significantly based on the scope that is undertaken during the exercise. Consequently, the CD plan may encompass a range of actions at various levels (refer to Figure 6 below).

If the scope of the exercise is at structural level, some CD interventions can be aiming at structural reforms in the education and water sector, such as the creation of new rules and standards for vocational or higher education, new gender policies favouring women inclusion in the professional market, or increasing prioritization of financial support for education.

If the scope of the exercise is at institutional level, some examples of interventions can be changes in the mandate and incentives scheme of the sector, remuneration and other conditions of the professionals of the water sector, progress on the decentralization programs to favour placement of high qualified staff in rural areas, or entrepreneurship programs that promote the creation of employment opportunities in the water sector. These are long term programs (no less than 10 years) and need thorough engagement of recognized opinion leaders (if, e.g a change in social norms is pursued) or high-level governmental agencies (e.g. the finance or local government ministries).

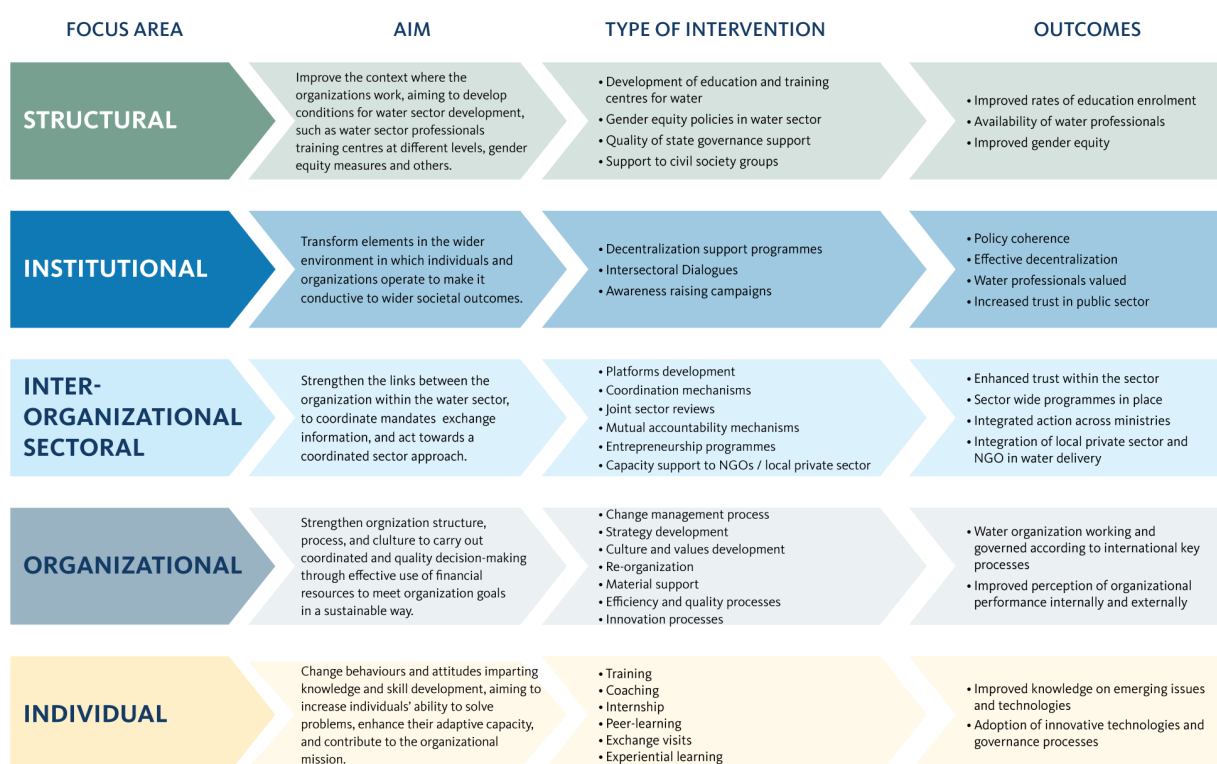
Some examples of CD interventions at inter-organizational level or sectoral are improving sectoral communication, creating inter-ministerial coordination mechanisms and strategies, creating a sectoral CD strategy and plan, introducing CD mandates and responsibilities into pre-existing water sectoral authorities, linking CD institutions with water institutions through different partnership schemes, creating water curricula into existing CD institutions, among others. Some examples of CD interventions at this level include the Ethiopia's One WASH National Programme which, by creating a Multi-Stakeholder Platform (MSF), coordinated sector actors and conducted, among other activities, Joint Technical Reviews (JTR) or the Suriname Inter Ministerial Water Platform, the multi-stakeholder coordination platform for the water sector.

Within the organizational level, typical CD interventions include change-management processes, organizational re-structuring, strategic development, optimization of processes, efficiency improvements, or accreditation or standardization (such as the programs towards achieving standards set the by International Organization for Standardization ISO, or eco-labels).

Capacity development at this level can also cover organizational cultural determinants, such as leadership or working on internal values and culture. They are medium to long term processes, and typically require commitment at the highest level of the organization

Other set of CD interventions can target more the individual or group of individuals, and then they will aim at developing skills and competences. In this case, some intervention can include training, internships or on the job training through rotation of workstation or exchanges such as those organized by the Water Operators Partnership, WOP). Training courses can be implemented through face to face or online interventions such as Massive Open Online Courses

Figure 6 illustrates how different focus areas of intervention require different types of interventions (with some examples) and aim to achieve quite different outcomes.



**Figure 6:** Focus area, type of interventions and expected outcomes of a CD intervention.

**Source:** Author's own elaboration based on Asian Development Bank (2014), DfID (2013), FAO (2010), OECD (2006), UNDP (2010), WaterAid (2021), World Bank Institute (2012).

This extensive range of interventions aimed at developing capacity in the sector emphasizes, once again, that the concept and definition of capacity are complex and should not be limited solely to skill development.





## Step 5: Evaluate implementation of the CD Action Plan

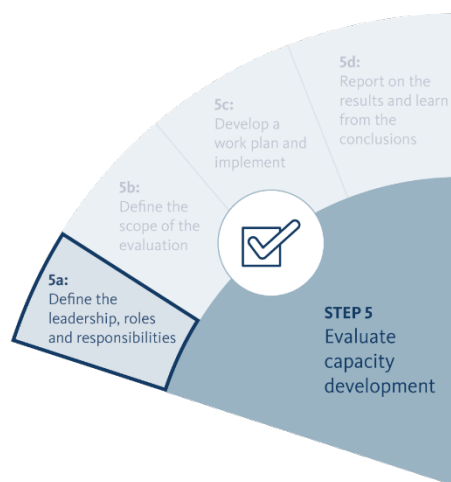
**Objective:** to evaluate the implementation of CD action plan to learn from results and improve.

Lessons learnt from implementation of CD plans, in general, highlight the need to remain flexible and adaptable to circumstances, the importance of national/local champions (as emphasized in the beginning, when ensuring target's group "willingness to change"), and the need to balance sustainability versus speed: CD takes time and is normally at odds with the pressure to demonstrate progress to stakeholders and donors. Therefore, this guide proposes undertaking continuous monitoring of the implementation of the action plans but evaluating its outcomes every 5 to 10 years.

Several organizations have developed evaluation frameworks to measure CD activities and programs, and this guide compiles some of them, condensing them in the following sub steps:

### Sub step 5.a. Define leadership, roles and responsibilities.

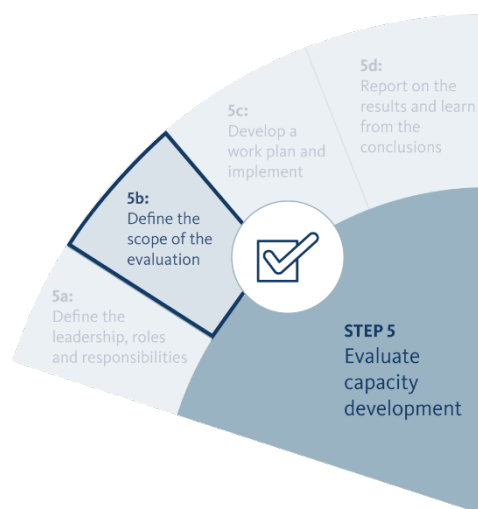
The leadership and roles in the evaluation process will vary significantly depending on whether it is an internal/operational evaluation or an external evaluation with characteristics resembling an audit. Both approaches can be valid, contingent upon the specific objectives of the exercise. In this sub-step, this guide works under the assumption that evaluation is undertaken as a regular and recurrent internal process. For an internal evaluation, then, the first sub step is to define who will lead it, among the actors composing the taskforce that has been conducting the intervention. Equally important is to agree on supporting roles and responsibilities for all interested parties.



### Sub step 5.b. Define the scope of evaluation.

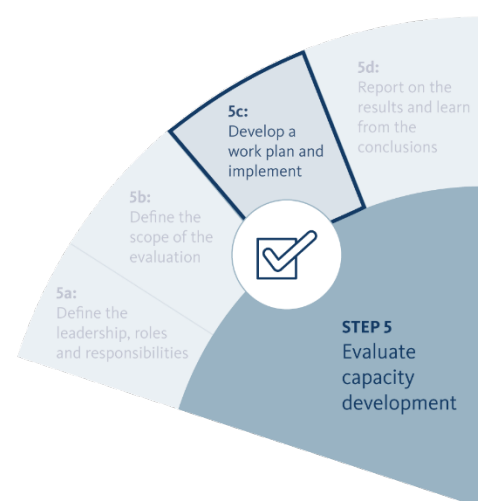
This sub-step involves clarifying the matter that will be evaluated and how, by defining the evaluation questions and incorporating additional indicators if necessary. It is crucial to evaluate the extent to which the theory of change developed in the strategic plan has been followed to underpin the evaluation. In principle, the scope of the evaluation will be shaped by the action plans, and particularly by revisiting the key performance indicators, reporting systems and means of verifications established in them.

Therefore, it is necessary to determine whether the focus will be on the strategic plan, operational plans, or potentially both. The scope of the evaluation also encompasses identifying the primary intended users and understanding the purpose they will derive from it. Other aspects to define are the resources available, the timing of the evaluation. The evaluation should be anchored in the OECD criteria for evaluation of development programs, encompassing effectiveness, relevance, efficiency, impact, sustainability and coherence.



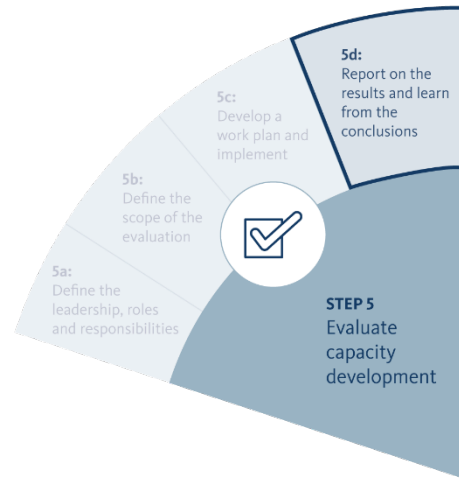
### Sub step 5.c. Develop work plan and implement.

The evaluators should, according to the evaluation design and scope, set out a workplan with a specific timeline with activities, outputs expected, responsible for each activity, etc., to ensure results within the established deadlines. In the implementation of the evaluation work plan, the evaluators should consider the constraints and gather the key information to answer the questions proposed. They should also collect and analyze data, keeping the rest of the designed stakeholders (here acting as evaluation team) informed and involved.



### Sub step 5.d. Report and learn.

Once the evaluating team had found conclusive results, (clear, relevant, and comprehensive, and available and accessible for primary intended users), they can draw recommendations to improving the implementation of specific parts of the CD plan for maximizing the results of the CD intervention.



## IV. CASE STUDY: The sectoral Capacity Development Intervention in Haiti

This section provides a practical example of the application of the methodology described in steps 1 to 3 for assessing the capacity of the Water, Sanitation and Hygiene sector in Haiti. The exercise was undertaken under the umbrella of the partnership between SIWI and the UN agency for children (UNICEF) Latin America and the Caribbean Regional Office (LACRO). It was conducted by SIWI jointly with EXSSA, a Haitian organization acting as consultant. It lasted for a year (counted from agreement on a working plan until the approval of the final report in December 2022) and it included six months of fieldwork.

In February 2019, and under the leadership of the Haitian National Directorate of Drinking Water and Sanitation (DINEPA), UNICEF Country Office organized a workshop on the bottleneck analysis tool for Water, Sanitation and Hygiene (WASH BAT). The workshop was moderated by SIWI and counted with a broad participation of actors from the sector. The WASH BAT process is a multi-stakeholder sector assessment that addresses the bottlenecks that undermine universal access to Water, Sanitation and Hygiene (WASH) services, and tailor makes an action plan to overcome them. In Haiti, the exercise focused on WASH at the national and subnational (rural and urban) levels, as well as in WASH in institutions (schools and health care facilities).

During this assessment, two of the main bottlenecks identified were the low human resource capacities and a mismatch between the supply and demand of CD services in the country. As a result, one of its main recommendations was to strengthen the WASH sector capacities so that they can operationalize WASH sector strategies, which were designed some time back but have never been implemented.

As a follow-up activity, DINEPA requested UNICEF's support to undertake a sectoral Capacity Development Needs Assessment (CDNA), followed by a CD action plan for the WASH sector.

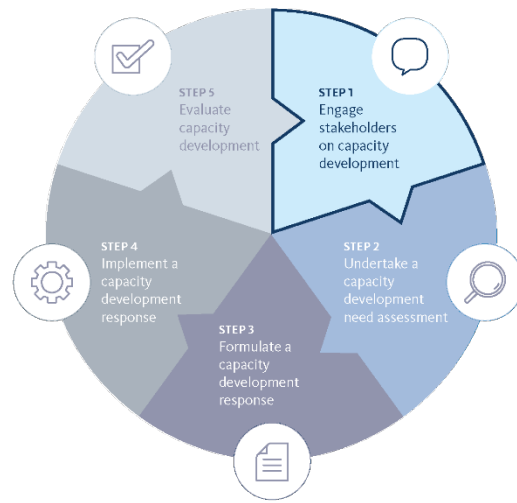
The first three steps of the CD methodology were implemented in this process and are described in the section below. The implementation of the action plan (step 4) and its monitoring and evaluation (step 5) are expected to occur as this document is being prepared.

## Step 1: Engage with key stakeholders and define the scope of the exercise.

From its onset, the CD exercise was demanded by DINEPA, based on the need identified in the WASH BAT exercise. The commitment of the organization was explicit from the start, having the Secretary-General assigned three top management directors as focal points to tailor make the terms of references and to accompany the implementation of the study. DINEPA led the process from the start until the end, clearly allocating resources and time throughout it. It is important to highlight that DINEPA was, simultaneously, a decision maker and a target group, as their own capacities would be mapped and eventually strengthened. This was a crucial aspect, and the exercise has always been portrayed as a support for DINEPA and other sector actors to self-assess their capacities. During the initial conversations, DINEPA and other decision-makers define the geographical scope of the exercise at the national level. Then, other target groups were explored and their willingness to change was confirmed. This was ensured, for instance, with the Regional Offices of Drinking Water and Sanitation –(OREPAs), and some implementing agencies at a lower level.

After getting that confirmation, an early version of the framework was presented to DINEPA, sparking a thorough discussion on the potential of the different levels of intervention. The agency finally decided to focus on the inter-organizational level, choosing four Water Governance functions: 1) Sector Policy and Strategy development; 2) Regulation; 3) Planning, Monitoring and Evaluation and 4) Service Delivery. Then, for the first two functions, DINEPA was the main actor whose capacities would be assessed; for the third, all four OREPAs were looked upon; while for service delivery, a sample of different local implementing governmental and non-governmental organizations was selected. The sample consisted of elements of the Service Delivery (CTE), private operators and Drinking Water and Sanitation Technicians for Municipalities (TEPAC) of the four regions of the country.

Finally, the consultant completed a desk review to understand the wider landscape of CD interventions and actors in Haiti and complemented it with individual interviews. The study indicated that there were two universities and three technical schools providing water / WASH-related training programs, mainly with content on environment and natural resources management. It also indicated that nearly 70% of the CD institutions contacted by the study had already carried out any sort of CD activities related to the WASH sector at the time of the study. The most frequent interventions were applied research, water treatment research, awareness-raising activities, organizational support and specific courses on water-related matters. All the interviewed institutions expressed their

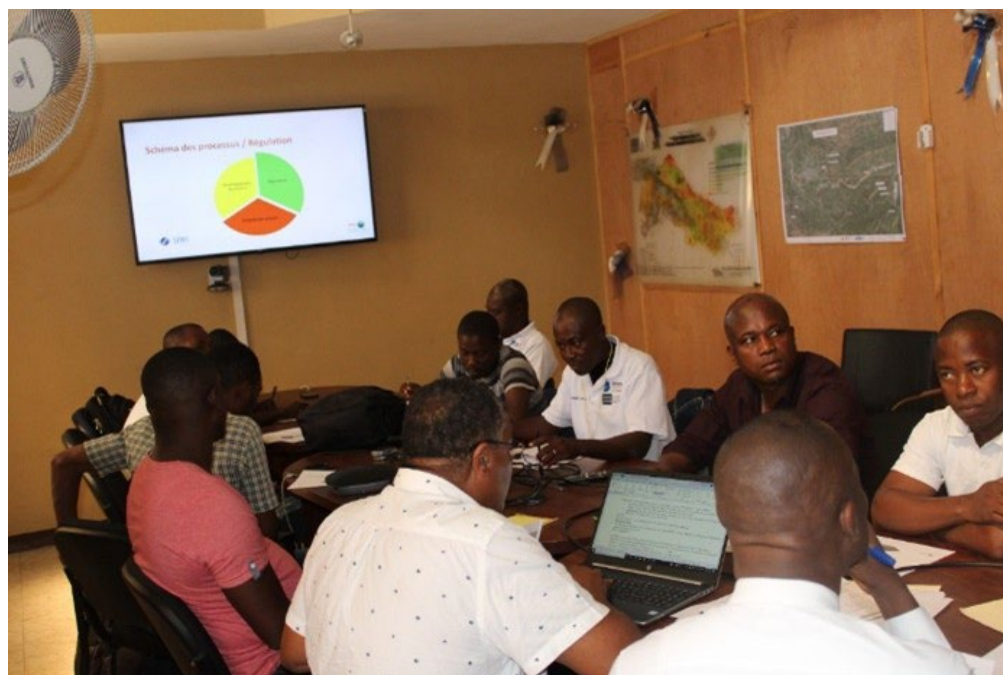


interest in supporting capacity building programs for the sector (of which 61% expressed a high interest). With regards to the technical support and financial aid agencies, the study found nine foreign agencies that supported the sector in different ways: providing technical assistance (63%), training (44%) institutional strengthening (44%), scholarships for studying abroad (5%) and assistance to the regulator (5%).

With this information, the starting point was set, and the process was ready to go to the second step.

## Step 2: Undertake a Capacity Development Need Assessment (CDNA)

The Capacity Development Needs Assessment (CDNA) was the core of the CD intervention in Haiti. Once the geographical level, the desired level of intervention and the main determinants of capacity to be addressed were identified, the specific organizations selected for each of these components were listed. They can be seen in table 5 below.



Focus group discussion - **Credits:** EXSSA (Experts en Systèmes Structures et Associés)

**Table 4:** Organizations engaged in the CDNA.

Level of Competence	Function: Policy and Strategy Development	Function: Regulation	Function: Planning, monitoring and evaluation	Function: Service Delivery
National	National Authorities, DINEPA	DINEPA		
Regional / Provincial			OREPAs	
Local (municipal, rural)				<ul style="list-style-type: none"> <li>• Municipalities</li> <li>• Municipalities from the SDC-funded REGLEAU program</li> <li>• CTE (Technical Centers for implementation)</li> <li>• CPE (Water Point Committee)</li> <li>• Urban CAEPAs (Water Supply and Sanitation Committees)</li> <li>• Rural CAEPA</li> <li>• private operators</li> </ul>

Once the specific organizations were identified, the next step was to determine which processes would be relevant to map these organizations' performances. In this case study, the main processes were identified per level of intervention: for policy and strategy development, the three main processes defined were: a) Definition of the mandate of sectoral actors; b) Development of public policies, and c) Promotion of Private-public partnerships. For the function regulation, the processes were also three: a) Regulation stricto sensu, b) Information Management, and c) Control and enforcement. For the other two functions (planning, monitoring and evaluation, and service delivery), the basic program management processes were mapped: a) Planning, b) Budgeting c) Implementation, d) Monitor and Evaluation.

At this point in time, the information is ready to fill in the actor/ process matrix, and therefore to identify the specific role of each organization in each management process (as per step 2.b). The actor/process matrix can be seen in Table 5 below.

**Table 5: Matrix Actor/Process**

Process	Government	Dinepa	Orepa	Other sector organizations (URD, CTE, TEPAC, CAEPA, municipalities)
<b>Function policy and strategy development<sup>2</sup></b>				
<b>Definition of mandate of sectoral actors</b>	Creates and promulgates law.	Creates Enforcement mechanisms		
<b>Development of public policies</b>	Develops Guidelines	Decides on implementation strategy		
<b>Promotion of Private-public partnership</b>	Creates regulatory framework	Defines contracting mechanisms	Monitoring and control of contracts	
<b>Function regulation</b>				
<b>Regulation per se</b>		Defines rules and regulations		
<b>Information Management</b>		Collects information		
<b>Control and enforcement</b>		Supervises the enforcement of rules and regulations		
<b>Function planning, monitoring and evaluation</b>				
<b>Planning</b>		Plans the WASH National Strategy	Prioritizes and owns, implements the activities at its level	Implements at local level and defines a local tariff (for rural and decentralized systems)
<b>Budgeting</b>		Advocates for its budget	Implements activities, Monitors and control allocated budget depletion	
<b>Implementation</b>		Coordinates support with Technical and Financial partners	Coordinates support at regional level	
<b>Monitor and Evaluation</b>		Monitors implementation of its own plan	Monitors implementation of its own plan	

<sup>2</sup>The Function Policy and Strategy Development was called “sector development” in the original exercise, run in French. It introduces in the matrix DINEPA’s specific responsibility as leader of the sector, alongside with the primary role of the National Government on that matter.



Function service delivery				
Planning (short term)				Plans and executes construction and Rehabilitation of WASH infrastructure
Budgeting / Business management				Sets Tariffs
Implementation				Provides services to customers. Assures customer relations / Complaints
Monitoring and Evaluation				Monitors implementation of their own (local) plan



Participants discuss their role in the main processes selected

**Credits:** EXSSA (Experts en Systèmes Structures et Associés)

Once the matrix actor/processes were completed, various tools and methodologies were developed to gather information about the actors' performances in the specific processes. In this case study, the information was collected through a combination of interviews, focus groups, and surveys. Over slightly more than six months of fieldwork, the consultants conducted 13 direct interviews, facilitated 19 focus groups, scattered over the four regions of Haiti, and received 16 survey questionnaires. The response rates for the questionnaires varied, with a 64% response rate for the WASH sector actors, 50% for the CD institutions, and 27% for the technical and financial partners.

The main purpose of the data gathering was to support actors define their Self-Defined Optimal Feasible Performance (SDOFP). This was clear in each group of actors and in table 6 can be seen some examples for the function “sector development”.

**Table 6:** Self-Defined Optimal Feasible Performance for DINEPA for Sector Development

Policy and Strategic Development				
Process	DINEPA	Current Performance	Optimal performance in the medium term	Optimal long-term performance
<b>Definition of law</b>	<ul style="list-style-type: none"> <li>• Law enforcement</li> </ul>	<ul style="list-style-type: none"> <li>• Environmental Health and Sanitation Regulatory Framework (CReSEA) preliminary draft is established following the development of the regulatory framework.</li> </ul>	<ul style="list-style-type: none"> <li>• The Environmental Health and Sanitation Regulatory Framework (CReSEA) is produced and adopted.</li> </ul>	
<b>Establishment of public policies</b>	<ul style="list-style-type: none"> <li>• Propose national policy.</li> <li>• Develop Implementation Strategy.</li> </ul>	<ul style="list-style-type: none"> <li>• The National Hydraulic and Sanitation Plan (PHAN) is drawn up.</li> <li>• The Sector Strategic Plan (PSS) is currently being updated (25%).</li> </ul>	<ul style="list-style-type: none"> <li>• The PHAN is voted, published, and implemented.</li> <li>• The PSS is updated and implemented 75%.</li> </ul>	<ul style="list-style-type: none"> <li>• The progress of the PHAN is periodically evaluated.</li> <li>• The PHAN and the PSS are implemented (100%) on a regular basis.</li> </ul>
<b>Private public partnership</b>	<ul style="list-style-type: none"> <li>• Contracting mechanisms</li> <li>• Develop the criteria to be met.</li> <li>• Assign operating permits.</li> <li>• Approve management, and concession contracts.</li> <li>• Act as a referee.</li> </ul>	<ul style="list-style-type: none"> <li>• A draft of the PPP regulatory framework is developed within the PHAN.</li> <li>• Contracts/permits are awarded by DINEPA for DWSS services.</li> <li>• Protocols are signed with some Private Operators (PO).</li> <li>• Arbitration is effective with the establishment of the Legal Affairs Department.</li> <li>• Monitoring and control are carried out by the OREPAs.</li> </ul>	<ul style="list-style-type: none"> <li>• The PPP regulatory framework is developed.</li> <li>• The management criteria in the Environmental Health and Sanitation Regulatory Framework (CReSEA) are validated and introduced.</li> <li>• More contracts, permits and protocols are awarded for WSS services.</li> <li>• The delegation of EPA services is regularly evaluated.</li> <li>• The strengthening of the Legal Affairs Department is ongoing.</li> <li>• DINEPA is gradually disengaging from the monitoring of project management contracts in favour of OREPAs.</li> </ul>	<ul style="list-style-type: none"> <li>• The contracting mechanisms are updated regularly.</li> <li>• More contracts, permits and protocols are awarded for WSS services.</li> </ul>

Following the identification of the SDOFP, the information was analyzed in the light of detecting the areas where the development of certain individual, organizational or sectoral capacities would be required to attain their desired optimal feasible performance, within a horizon of 5 and 10 years.

With this analysis, some conclusions emerged: on the institutional level, there was a necessity to further the efforts to start the implementation of the decentralization law, which was passed 13 years back; and the urgency of passing a new law formally creating the OREPA, as they are organizations functioning without a clear constitution. The gap between the supply of CD programs (those offered by universities and other training centers) and the needs of the sector was also confirmed, so more collaboration, dialogue and adjustment is needed on that front. The fact that both the academic organizations and the donors active in the area, together with DINEPA were willing to collaborate closely to close that gap served as a promising opportunity.

**On the organizational level, the main findings were:**

**For DINEPA:**

- The sector is strongly dependent on external funding, as only 5% of DINEPA's employees are paid by the state budget. The agency needs to create capacity to advocate for more internal funding and for its appropriate management.
- Its role as regulator (refraining from acting as an implementing agency) needs to be strengthened and the resources allocated for that.
- Improving the agency's access and capabilities to use modern tools and technologies to assure its role, especially in terms of data management and monitoring and evaluation of the sector.

**For OREPAs:**

- There is a strong need to strengthen technical capacities in WASH-related aspects for OREPA staff and related organizations.
- Work together with academic institutions, specifying the aspects where they need support and specialized staff, so that they can create WASH-related degrees in vocational and university training courses.
- Adopt a uniform financial management system that systematizes the invoicing, collection, expenditure, and disbursement mechanisms including data processing and production of financial statements that is used by all the services concerned (OREPA, CTE)
- Provide OREPAs with staff (human resources) with adequate profiles and capacities to provide the necessary technical support.
- Strengthen the capacities of OREPAs and associated structures by setting up regional water quality control laboratories, control tools and staff training in quality control.



OREPA discussing the SDOFP - **Credits:** EXSSA (Experts en Systèmes Structures et Associés)

### For the local actors:

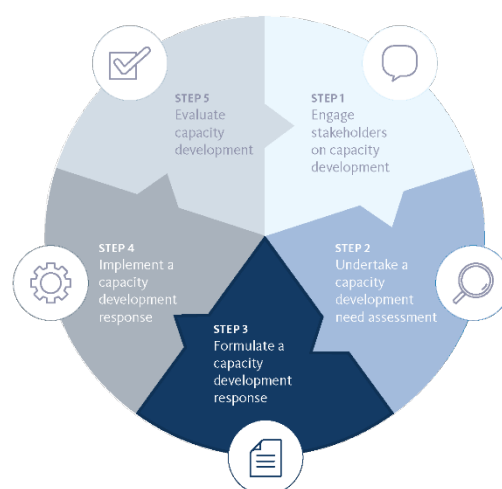
- Make manuals/orientation guides available to URDs as well as appropriate work resources and equipment (URD, TEPACs)
- Equip the TEPACs quantitatively and qualitatively to ensure the planning, coordination and monitoring of WASH activities in their respective municipality, work on fruitful relations between TEPACs and municipal actors
- Provide CTEs with staff with adequate profiles and capacities to properly manage SAEPs, promote young professionals within the CTE, introduce new technologies (CTE)
- Connect better the municipalities with the Ministry of Interior, including a regular allocation of funds (Municipalities)

### Finally, at the individual level, the main conclusions were:

- Less than 5% of staff have a permanent contract with DINEPA. 95% of staff is funded by sectoral donors and partners, mostly international. This provides a sense of insecurity by staff and with inability to plan to a medium to long term career in their organizations.
- There are very few opportunities to learn and grow within the positions in the sector.
- It is a clear asset that there is a strong presence of a female managers at the central level.
- Most of the workers in different organizations expressed a strong feeling of frustration.
- The main reasons for this feeling seem to be:
  - The confusion of roles or DINEPA and OREPA
  - The recruitment and promotion processes and systems
  - Low salaries and wages
  - The lack of coordination and articulation among organizations in the sector.

## Step 3: Design the Capacity Development action plan.

With the conclusions that emerged from the analysis of the information gathered in the previous step – the CDNA -, the CD action plan was developed. As the information gathered is extensive and at a high level, this action plan will need to be divided into smaller fundable projects and therefore construct a more operational plan with a budget and a specific timeline, key performance indicators, and means of verification. Table 7 shows some lines of the (strategic) action plan developed in Haiti.



**Table 7:** Strategic Action Plan developed in Haiti.

Institutional level: Sector development						
Process	Proposals to achieve the SDOFP	Capacity Development Needs	By whom? (responsible)	Level of difficulty to implement (1=low, 5= high)	Opportunities	Quick wins
<b>Law definition</b>	<ul style="list-style-type: none"> <li>Develop and implement an advocacy campaign for the vote on the law to establish the final status of OREPAs and associated structures</li> </ul>	Communication Advocacy strategy and tactics	Supervising Ministry (MTPTC),  DINEPA and Partners 1	1	<ul style="list-style-type: none"> <li>Existence of advocacy materials produced by the Sanitation and Water for All (SWA/AET) partnership x</li> </ul>	<ul style="list-style-type: none"> <li>Develop an updated overview of the sector and produce an advocacy brochure</li> </ul>
<b>Development of public policies</b>	<ul style="list-style-type: none"> <li>Seek technical and financial assistance to support the improvement of the sectoral environment.</li> <li>Align existing strategies and plans with the SDGs.</li> </ul>	EPA and Climate Change EPA, New technologies and Innovation IWRM Governance of the EPAH sector Negotiation	Conseil d'Administration, DINEPA et Partenaires  Techniques Board of Directors, DINEPA and Partners	1	<ul style="list-style-type: none"> <li>Availability of guides and training modules at SWA level</li> </ul>	<ul style="list-style-type: none"> <li>Possibility of technical assistance at or through the SWA Actively integrate the SWA partnership</li> </ul>
<b>Private public partnership</b>  <b>Procurement and Contracting</b>	<ul style="list-style-type: none"> <li>Contracting mechanisms</li> <li>Define an appropriate regulatory framework for the development of PPPs in the provision of EPA services.</li> <li>Strengthen the staff of the Legal Affairs Department.</li> <li>Strengthen the capacities of OREPAs and related structures to engage POs and monitor the execution of contracts.</li> </ul>	<ul style="list-style-type: none"> <li>Arbitration and Conflict Management</li> <li>Management and monitoring of DINEPA contracts,</li> <li></li> </ul>	DINEPA,  Central Management Unit for Public Private Partnerships – UCG PPP <ul style="list-style-type: none"> <li>Partners</li> </ul>	2  2  2	<ul style="list-style-type: none"> <li>Availability of PPP case studies at SWA level</li> <li>Availability of toolboxes and documents on the PPP from the World Bank (Legal Resource Center)</li> </ul>	<ul style="list-style-type: none"> <li>Organize an information session on the PPP</li> <li>Document experiences under implementation in the EPA: CTE/OP</li> </ul>

Some prioritization was done in different encounters followed by a webinar with DINEPA, where the plan was presented, discussed and validated by them. The plan included an analysis of opportunities and challenges for a timely implementation (at 5 and 10 years), as well as the identification of specific opportunities “(low hanging fruit)” that were set as the outmost priority.

The implementation of the CD action plan and its monitoring and implementation rely on DINEPA, and it is expected to be started in 2024.

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## VI. Appendix 1. Determinants of performance for the water sector

According to SIWI's Capacity Development Concept Note, the different interconnected levels and the determinants for performance proposed in the CD Framework (Figure 2 of the main text) are the following:

### Individuals

Any organization is composed at the base of individuals. The performance of individuals within an organization is determined by the following:

- **Values** | Understood as the individual beliefs that motivate people to act one way or another and guide their behaviour. In particular, when values of the individual are aligned with the purpose of the organization they work for, a higher degree of commitment and motivation can be expected, and vice versa.
- **Attitude and motivation** | Attitude is understood as the overall way of relationship of the individual at work. Within this determinant we include the willingness to collaborate, the openness to give and receive feedback, politeness, and friendliness in the interaction. A negative attitude will influence how the individual relates to others, and the capacity to cooperate, and work in teams. Attitude is also connected to the motivation, understood as the engagement at work. This is influenced by tangible measures, such as a competitive pay rate, an adequate work environment, human resources policies and conditions, work-life balance, as well as from less tangible elements, such as the inspiration and appreciation that the person receives from colleagues and leaders, having a meaningful work, as well as the personal aspirations of the individual within the professional career.
- **Knowledge and skills** | Under this determinant we include the understanding and capacity to apply the main concepts, theories, methodologies, and processes related to the domain of work (also named as professional skills); the ability to perform functional and managerial tasks (e.g., budgeting, planning, reporting, etc.), and the ability to establish and keep relationships both internally and with external partners (relational skills).
- **Adaptability** | Described as the ability and willingness to perform different tasks, the flexibility to take on unplanned tasks, and the capacity to change priorities in the short term. This also includes the ability to learn and apply new concepts and ideas. This determinant is particularly important in scenarios of unpredictability and shocks.

## Organization elements

Like all organizations, water institutions and companies are made up of people. These organizations have a structure in place, where people interact in a certain way, through what are typically called the cultural dimensions of an organization.

The determinants to consider in the performance of a public organization are those that constitute its architecture, typically:

- **Structure and processes** | An organizational structure is a system that outlines how staff is organized and activities are directed in order to achieve the goals of an organization. The structure determines how people are placed within the organization, their roles and responsibilities, as well as the information flows and the decision making within the organization. A process is a series of actions that produce something or that lead to a particular result. The organization achieves its goals through a series of interrelated processes. The design and implementation of these processes are key for the efficiency of the organization. Key processes within an organization include strategic and management processes (planning, financial, budgeting, research and development, decision making), operational processes (procurement, monitoring, evaluation and learning, customer services) and support processes (human resources, administration, communication, maintenance).
- **Vision and strategy** | The vision of an organization can be defined as a statement that shows the organization's aspirations for the future. It can also be understood as the purpose of the organization. It serves to guide and motivate all members of the organizations towards the same direction. A strategy provides a more detailed plan, typically with objectives and means, to advance towards the vision. A strategy aims to guide organizational activities and resources to meet the identified objectives.
- **Finance** | Refers to the available financial resources for the organization to use. It includes the volume of funds available, but also its predictability (stability over long term), and composition – whether it is dependent on a single source or diverse sources of funding, and how it can be diversified, if needed. This determinant sits partially outside the organization itself, as it the public organizations might be given budget limits or restrictions from other parts of the public administration.
- **Material resources** | By material resources we refer to the infrastructure, equipment, materials, and software that the organization can use to carry out their mission.

## Cultural dimensions

These dimensions speak to how the organization works to deliver on their mission, including the daily communication, decision making, participation, and interaction among its members. These elements require a higher degree of understanding of the organization to be transformed. These are also often called soft elements or org-ware (Garret et al., 2018).

- **Governance and autonomy** | The mechanisms set up to take strategic decisions and control the performance of the organization from outside are typically referred to as governance mechanisms. This includes, as well, the level of autonomy or protection of the entity from pressures of other actors (SIWI/UNICEF/WHO/IADB, 2021). Within this determinant, we include the nomination of the top management, the accountability and control procedures for the organization. This determinant sits partially outside the organization itself, as it is typically decided by a different body within the public administration and might also include the legislative power.
- **Leadership** | Leadership is defined as the act of directing and managing a project, group of people, or an organization. At the highest level, leadership has been defined as consisting of three main elements: (i) instilling a sense of purpose, creating a common vision and goal; (ii) aligning efforts and resources; and (iii) unleashing the motivation, talent and creativity of individuals and organizations (I et al., 2013). However, in modern organizations, leadership is not solely the responsibility of those who reside at the higher levels of the hierarchy. Instead, it's an activity in which anyone who's interested in the success of an organization can take part, also mentioned as self-leadership. Champions are often mentioned as key determinants of change processes within the organizations, and not always need to be at the highest level.
- **Culture** | Organizational culture includes an organization's expectations, experiences, philosophy, as well as the values that guide members' behaviour. Culture is based on shared attitudes, beliefs, customs, and written and unwritten rules that have been developed over time and are considered valid. Within these, there are management and communication styles, teamwork procedures, degree of consultation, deliberation and organization's wider involvement in decision making and quality control, among others.
- **Personnel** | People within the organization are the main performers of its activities. The knowledge, skills, attitudes, adaptability, motivation and values are determinants of their performance, as explained in detail above.

## Institutional factors

The organizations operate within a network of stakeholders: citizens, partners, civil society and other institutions. In this regard, we distinguish two sublevels: first, the organization within the water sector- meaning the group of stakeholders that are part of or are affected by the ultimate mandate of the organization (e.g., delivery of water and sanitation services); second, at a higher level, the water sector sits within a wider institutional framework. The determinants on each level are described below:

## The organization within the water sector

- **Coordination (formal and informal) |** Coordination understood as the set of mechanisms, instruments and platforms that ensure multilevel, multisectoral, and multistakeholder cooperation among actors. Coordination requires information sharing, dialogue and collaborative decision-making; it consists of a set of formal and informal mechanisms (Jiménez et al 2020). The degree of coordination among institutions that operate in the same “sector” (e.g. organizations dealing with water issues), can vary greatly. At the extreme, when organizations do not speak to each other but work on similar issues, overlapping and duplication of activities might occur- which hinder effectiveness of each of the organizations involved.
- **Capacity of collaborating partners |** Any organization needs others to fulfil their mandate; research studies, supplies, technical assistance by experts, introduction of new processes might be needed. Hence the capacity of other stakeholders within the water sector, such as other governmental departments, local private sector, academia and others affect the ability of any organization to perform its duties.
- **Accountability |** Accountability refers to the principle whereby elected officials and those that have a responsibility account for their actions and answer to those they serve. It includes the dimensions of responsibility, answerability and enforcement (UNDP-SIWI Water Governance Facility and UNICEF, 2015). At the organization level, it refers to how the organization presents and justifies their decisions, and performance to others, and the mechanisms in place allowing stakeholders to demand information or redress, correct any misconduct, or reward performance. From a capacity development perspective, in the WASH area the focus is on the interface between public service providers and its clients or service providers and oversight bodies. More specifically, it is about the willingness and abilities of public institutions to put in place systems and mechanisms to engage citizen groups, capture and utilize their feedback as well as the capacities of the latter to make use of such platforms. In the Water Resources Management arena, accountability aims to create trust between organizations deciding on and implementing a common socio-economic and environmental development roadmap.

## The organization within the wider institutional set up

- **Mandates and incentives |** Mandates entail the definition of roles of the different institutions in the public sector to perform certain actions. Lack of clarity and overlapping mandates are often hindering the performance of public institutions, as these can lead to competition, mistrust, fragmented information collection, among others. Often overlapping can also occur among different levels of government (local, regional, national). Incentives are external elements that encourage a person or organization to act in a certain way. Important organizational incentives to

continuously develop are incentives to cooperate openly with others, to innovate, to increase efficiency; however, many public organizations might not be incentivized for this. Sometimes, narrow mandates, control mechanisms focused on the processes rather than on the performance, hinder these incentives.

- **National human resource policy on public servants** | This entails the aspects of staff recruitment, remuneration, promotion, and development within the public service. This might affect either positively or negatively the performance. For example, where education levels do not match the requirements of the post, or the remuneration is too low compared to the private sector, then the public organizations might struggle to retain talented and motivated staff.
- **The value of water (and its professionals) within society** | This determines the willingness of individuals to join their professional career. The value of the sector and its professionals within society is part of social norms which evolve over time. A society that value water, will also value the professionals that deal with it. As an example, well respected professions worldwide today include medical doctors, and scientists (Smith et al., 2021)
- **Decentralization** | The degree of devolution of responsibilities at different levels of government has an influence on the mandates and roles of organizations. Often, roles are transferred but are not matched with sufficient human and organizational capacities, at least in the short term. In addition, different service delivery models will require different capacities. Sometimes new models are decided (e.g. private sector participation), but the shift of capacities needed from the public sector (for management to regulation) is not put in place.

## Structural factors

The organizations sit in a wider context, which we call structural factors. For a public organization, there are elements that affect its performance:

- **Level of primary, secondary and tertiary education among population** | A lower level of general education in the country, will increase the demand for individuals with higher education; this can make difficult to recruit and retain for a public institution, as international private companies might be in better position to attract them.
- **Political and socio-economic conditions** | For example, low living standards, limited connectivity, remoteness, lack of access to good quality basic services such as health or education, or security issues hinder the willingness of qualified staff to move to remote areas. Similarly, security aspects, excessive prices and limited housing options in some cities might not be attractive for professionals. These aspects will influence the capacity of an organization to deploy staff in certain areas, and thus, its performance.
- **Availability of higher education/training centers** | In occasions insufficient higher education and training centers mean that qualified staff need to be trained abroad, or be brought from other countries, with the associated costs and challenges to retain staff in the organization.
- **Gender equity and gender roles** | The overall level of gender equity and the gender roles in the society might limit the level of integration of women in the work force, which will hinder the performance of the organization.

While these aspects will evolve over time, it takes significant time to change them substantially; that is why we include them as structural elements.

## VII. Appendix 2. Checklist for the step-by-step process.

### Step 1: Engage with key stakeholders and define the scope of the exercise.

Expected output of step 1: Engage with the key stakeholders and define the scope of the exercise.

**Table 8:** Checklist for sub- step 1a

Checklist for sub-step 1a:	Y/N
1. Identification of key decision makers and potential target group	
2. Confirmation of stakeholders (both decision makers' and target groups) needs and demands	
3. Check on plausible evidence of the target group's motivation for acquiring new skills and competences, new organizational processes and ways of engagement.	

**Table 9:** Checklist for sub- step 1cb

Checklist for sub-step 1b:	Y/N
1. Identification of the exercise geographical scope	
2. Discussion on the CD framework and agreement on the levels of intervention	
3. Selection of determinants	

**Table 10:** Checklist for sub- step 1c.

Checklist for subs-step 1c:	Y/N
1. Additional information on the CD landscape on CD is gathered (institutions, CD providers, program, donors)	
2. WaSH, WRM and climate change main policy documents are mapped	



## Step 2: Undertake a Capacity Development Need Assessment.

**Expected output of step 2:** Target groups' capacity gap, is identified and defined in terms of current level of capacities to perform their functions vs. their optimal feasible performance.

**Table 11:** Checklists for sub-step 2a

Checklist for sub-step 2a	Y/N
1. The target group's main function and management processes are clear	
2. The functions and management processes are listed	

**Table 12:** Checklists for sub-step 2b

Checklist for sub-step 2b	Y/N
1. The matrix actor/process is created and filled in	
2. The main roles and responsibilities of the target in the specific projects are identified	

**Table 13:** Checklists for sub-step 2c

Checklist for the sub-step 2c	Y/N
1. The approach for data gathering is defined	
2. Tools for data gathering are prepared	
3. If a local partners for data gathering is requested, the contract is signed	
4. The local partner is familiar with the data gathering tools and methodology	

**Table 14:** Checklist for sub-step 2d

Checklist for the sub-step 2d	Y/N
1. Gathering of information at all desired levels (interviews, focus groups, questionnaires, etc)	
2. Identification of gaps and overlaps between mandate and current performance	
3. Identification – by target group - of their SDOFP, for the medium and long term	

**Table 15:** Checklist for sub-step 2e

Checklist for the sub-step 2e	Y/N
1. Analysis of all gathered information	
2. Areas of underperforming (overlaps, lacunes, others) are identified	
3. From those areas of underperforming, capacity-related ones are extracted and listed separately	
4. This list is validated by the actors whose capacities were assessed.	
5. The capacity-related areas for improvement listed and validated are prioritized based on available resources, feasibility and other parameters pre-defined by decision-makers and main stakeholders	

### Step 3: Design the Capacity Development action plan.

Expected output of sub-step 3. A comprehensive and realistic CD strategic and operational plan that meets the needs identified in the CDNA and the vision in the SDOFP

**Table 16:** Checklist for step 3a

Checklist for Sub-step 3a	Y/N
1. Extraction of CD related areas of the SDOFP	
2. Development of proposals of interventions for CD	
3. Validation or adjustments of the proposal by local actors	

**Table 17:** Checklist for step 3b

Checklist for Sub-step 3b	Y/N
1. Identification of operational activities under the relevant strategic lines	
2. Preparation of validated and agreed operational action plan, which includes leader per (group of) activity, a timeline, costing estimates and performance indicators	

## Step 4: Implement the Action Plan

Expected output of the step 4 : CD plan successfully implemented.

**Table 18:** Check list for step 4

Checklist for the step 4:	Y/N
1. Operational Plan being implemented and funded	
2. Decision makers identified in step 1.a leading the process	
3. Organizations identified in 1.b enrolled in implementation when relevant, for using local knowledge and structures	
4. Reporting on changes and progress made	

## Step 5: Evaluate implementation of the CD Action Plan

Expected output of the step 5: an evaluation of the CD Action Plan, with clear results and recommendations to improve the Plan.

**Table 19:** Check list for step 5

Checklist for the step 5:	Y/N
1. Scope of evaluation defined and leadership in place	
2. Evaluation design in place, with SMART indicators set	
3. Evaluation plan in place and funded	
4. Results assessed, based on evidence	
5. Timely reporting on results and recommendation shared and discussed with key stakeholders	

## VIII. Appendix 3. Data gathering tools: interview, focus groups and individual questionnaires

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### WASH Sectoral Study: NATIONAL LEVEL

**Interview with high level decision maker at the national ministry with competence in water and sanitation (Minister / Executive Secretary, or similar)**

**Date:**

**Meeting place:**

**Name:**

**Contact:**

**Interviewer:**

Introduction to the background, why this interview is taking place.
What do you think are the developments in your sector strategic area, (for instance: “in the rural water sector / IWRM) that can be expected for the next 10 years?
How would the ministry look if performing optimally in 5 years? And in 10 years? Please consider that the context does not suffer any substantial change (in terms of available funding, technological development, etc)
What steps should be taken to attain that feasible optimal performance?
How do you think the ministry should be structured to achieve this feasible optimal performance?
What strategy has the ministry developed or intends to develop to achieve this feasible optimal performance?
What are the main strengths you found in the Ministry?
What are the main weaknesses you found in the Ministry?

## Meeting with the head of a ministry's directorate (2nd level of hierarchy)

**Suggested: thematic directorates (Drinking Water, Sanitation, Water resources, climate, education, health, environment, emergencies, etc).**

**Date:**

**Meeting place:**

**Name:**

**Contact:**

**Interviewer:**

How do you think your directorate is operating currently?
What is your directorate's Mandate?
How is your directorate structured to fulfil its mandate?
In addition to the internal structure of your directorate, with which other directorates do you maintain continuous working relationships? (Detail the type of existing relationship).
How does your directorate support and inspire the subnational levels / provinces in the various aspects?
What is your vision of the department's optimal feasible performance in 5 years? And in 10 years?
Is there at your directorate any (annual) plan for building staff's and partners capacities in the area of your sub-sector (e.g., water supply, sanitation, ..)?
What are the main challenges related to staff capacity development activities?
What are the department's main strengths?
What are the department's main weaknesses?
Is there at department undertaking capacity development activities for staff and partners?
Does your directorate document your experiences on your sub-sector (e.g., water supply, sanitation, .. )?? If so, how?
What are the typical and regular tasks of your directorate to fulfill its mandate?
In the formulation of the Annual Sectoral Plan, what were the criteria used in the distribution of the budget?
How is your department managing information? What kind of Information management system is used for monitoring?
How is collaboration between the various organizations working in your sub-sector (e.g., water supply, sanitation, .. )??

## Meeting with the head of the department of administration and finance

Date:

Meeting place:

Name:

Contact:

Interviewer:

What is the department's mandate?
Does the department make a Treasury Plan?
What are the main findings of the audits?
How does the department participate in the preparation of the annual sectoral plan?
How does the department monitor and supervise?
What do you consider the department's strengths in the provision and promotion of water supply and sanitation services?
What do you consider the department's weaknesses in the provision and promotion of water supply and sanitation services?
How many employees does the department have? (women/men)

## Meeting with the head of procurement unit

Date:

Meeting place:

Name:

Contact:

Interviewer:

What is your vision of the unit's optimal feasible performance in 5 years? And in 10 years?
What are the main findings of the audits?
How is coordination implemented with other departments?
What do you consider to be unit's strengths to fulfill its mandate?
What do you consider to be unit's weaknesses to fulfill its mandate?

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## WASH Sectoral Capacity Development Study: SUBNATIONAL LEVEL

### Interview with the subnational director (management, political) of the authority with mandate on water and sanitation

Date:

Meeting place:

Name:

Contact:

Interviewer:

What is your department's mandate?
How is your department structured to fulfill its mandate?
How does it assure coordination with other relevant departments?
How would you define the unit's optimal feasible performance in 5 years? And in 10 years?
What steps should be taken to have optimal feasible performance?
How is your department structured to support districts / municipalities (local level of administration)
What do you consider to be unit's strengths to fulfill its mandate?
What do you consider to be unit's weaknesses to fulfill its mandate?
Which information system would be needed for an evidence-based planning?
How do you see that coordination with other sectors (e.g. education, health, nutrition, environment) should be?

## Interview with the subnational director of departments related to but not exclusively focused on water and sanitation

**Suggested: climate, education, health, environment, land use, emergencies, etc.**

**Date:**

**Meeting place:**

**Name:**

**Contact:**

**Interviewer:**

Contextualization of the Program
What is your view of your sector in relation to programs on water / WASH?
What specific programs are there related to water / WASH within the sector you are leading?
How would you define the unit's optimal feasible performance in 5 years? And in 10 years?
What is your vision of your department performing optimally ?
How does your sector coordinate interventions with the WASH sector?
What do you think should be done to improve to maximize existing resources and results in your department?
What are the capacity development needs that your sector has, with a view to better implementing water / WASH programs?
What do you recommend for the best implementation of the program?



## Interview with the subnational authorities with competence in climate change / environment / emergencies

Date:

Meeting place:

Name:

Contact:

Interviewer:

Contextualization of the Program
What is your view, from the Climate Change / environment / emergencies sector in relation to the WASH sector or programs?
What specific programs are there related to WASH within your sector?
What level of coordination is planned and implemented between your sector and the WASH programs?
What do you think should be done to improve to maximize existing resources and results?
What are the capacity development needs that your sector has, with the intention to better implementing water programs?
How would you define the unit's optimal feasible performance in 5 years? And in 10 years?

## Interview with the subnational authority for budgeting and financial management

**Date:**

**Meeting place:**

**Name:**

**Contact:**

**Interviewer:**

Contextualization of the Program
What is your view, from your sector, on the WASH sector / programs?
How is, in general, the WASH sector being coordinated with the financial sector? Which are the points of contact?
How are activities planned for the WASH sector integrated into the financial planning?
What has been the role of your direction in the financial implementation of the WASH programmes?
What are the capacity development needs of your department at provincial and district levels?
How would you define your department's Optimal Feasible Performance related to the implementation of programs in water in 5 years? And in 10 years?

## Interview with head of subnational department of wash (technical department)

### Organizational structure

- What is the Department of WASH mandate?
- What are Department of WASH s main specific activities/services?
- What is the structure (organization chart) of the Department of WASH?
- With which other departments and sectors does the department maintain regular working relationships?
- Who are the main beneficiaries of the department's activities/services?
- How many technical staff does the department have? (Men/Women).

Staf No.	H	M	Academic level	Technical/ specialty training	Years of experience in the area

### General issues in the provision and promotion of WASH

- Does the department have a strategy/approach to implement WASH programs?
- If yes, does this strategy also consider promoting the sustainability of WASH infrastructure?
- What do you consider as strengths in the provision and promotion of WASH services?
- What do you consider as weaknesses in the provision and promotion of WASH services?
- Is there any capacity development plan for personnel and partners in the area of WASH in your department?
- When was the latest training on water and sanitation led by the department:

Target group	Year of capacity development intervention	Capacity development topic	Partners involved (organization)

- What were the main results and successes that were recorded in the water and sanitation programs, resulting from the capacity development intervention carried out?
- What are the main challenges related to personnel capacity development activities?
- What are the lessons related to staff capacity development programs?
- To what extent does your department assist/coach districts about the implementation of WASH programs?
- Are there reports related to the coaching or supervising missions carried out?
- Is there evidence of the level of compliance with the recommendations left during supervisory missions?
- Are internal meetings held at your department for regular planning and monitoring of activity progress? (If yes, indicate the frequency: Weekly, monthly, quarterly).
- Are there minutes of these meetings? (If yes, ask for permission and request documentary evidence and take a picture or save a copy)
- What is the frequency of sending your department's progress reports to the national ministry?
  - Does your department comply with the expected frequency?
  - What has been the feedback from the ministry regarding their quality/usefulness?

### Technical capacity of staff

- How many technicians do work for the WASH component in the following areas?
  - In rural WASH? (H/M)
  - In periurban / urban WASH? (H/M)
  - Water resources? (H/M)
  - In sanitation and hygiene promotion? (H/M)
  - In monitoring and evaluation / Data Management? (H/M)
  - Other relevant area (H/M)
- What kind of capacity building support have staff received during the last 2 years?
- How does the department facilitate the staff's learning experiences?
- Does the department have a resource center/library with material on WASH promotion programs where technical personnel and partners can update or consult?
- Does the department document its experiences?
  - If so, is there evidence from the last two years?
  - If so, are these experiences shared with other institutions/organizations?

### Means and Equipment

- What equipment does the department have?

Equipment	Number	Operating	Damaged	Observations
Car				
Motorbike				
Desktop computer				
Laptop computer				
Landline telephone				
Mobile phones				
Printer				
Internet				
Photocopying machine				
Scanner				

### **Data management**

- Does the department have a database on WASH?
- Does this database have a district-level entry point?
- Does it have an interconnection with the national database?
- What is the expected periodicity for updating the information?
- In practice, what is the regularity of updating the information?
- What is the level of reliability of the information provided by the districts for the system?
- What aspects should be improved for the full functioning of the information system?

### **Procurement**

- What is the responsibility of the WASH department in the processes of procurement WASH infrastructure?
  - At subnational level
  - At local level
  - Others ?
- How it assesses the outcome of these processes in terms of the final impact of the products/infrastructures/activities developed.

### **Resources**

- How does the department finance the staff capacity-building activities?
- How many computers are there in the department? How are they allocated?
- Does the department have internet access?
- How many vehicles have been purchased for the department in the last three years?
- How many of these vehicles are operational?
- Which of these are being used exclusively by the department?

### **Partnerships & Coordination with other organizations**

- Is there a platform for organizations working in the WASH sector?
- If so, which organizations are part (list of organizations)?
- How collaboration is done between organizations (e.g. planning meetings, joint development of activities, celebration of world water day.....)
- What is the WASH department's role in this platform?
- What is the role of other organizations?
- What is the frequency of meetings?
- Does the department have Memoranda of Understanding with its partners (If yes, provide documentary evidence).

## Survey with the procurement management unit

Date:

Status - institutional

Capacity of human resources and equipment

### General Performance

- What would be feasible optimal performance of the procurement unit?
- In your view, what's left to get there?
- Taking into account the current Human Resources of the procurement unit; how many additional HR do you estimate would be needed to achieve a feasible optimal performance and in what areas do you need?
- In terms of Capacity Development, what areas would you need to be strengthened to achieve that feasible optimal performance?

### Human Resources

- How many technicians does the unit have? Total: (Men) (Women) .
- How long have these technicians been in the area

Technician No.	H	M	Academic level	Technical/specialty training	Years of experience in the area

- How many of these technicians are specific to Procurement (Men/Women)
- How long have these technicians been in the area

Technician No.	H	M	Academic level	Technical/specialty training	Years of experience in the area

- How many technicians are specific to the Area of Contract Management (Men) (Women)
- How long have these technicians been in the area

Technician No.	H	M	Academic level	Technical/specialty training	Years of experience in the area

- How many technicians are specific to **Other areas**:  
\_\_\_\_\_ (Men) \_\_\_\_\_ (Women)
- How long have these technicians been in the area

Technician No.	H	M	Academic level	Technical/ specialty training	Years of experience in the area

- Do all the technicians in the office have an individual job description?
- If not, what types of task descriptions do you have?

### Means and Equipment

- What equipment does the department have?

Equipment	Number	Operating	Damaged	Observations
Car				
Motorbike				
Desktop computer				
Laptop computer				
Landline telephone				
Mobile phones				
Printer				
Internet				
Photocopying machine				
Scanner				

- Are there monthly plans?
  - o Yes
  - o No
- Is there a discussion of the monthly activity plan between the director and the Staff?
  - o Yes
  - o No

- What determines the execution of activities on a daily basis?
  - o Weekly meetings
  - o Implementation of existing plans
  - o Orders of what to do daily
  - o Depends on existing work or demand
  
- Are there individual activity plans?
  - o Yes
  - o No
  
- If so, is there a format of monthly and annual plans at the individual level for performance control? (Document the evidence)
  - o Yes
  - o No
  
- What are the measures taken based on the performance of the Staff? Give some examples.
  
- Does the unit know the budgetary limits of each procurement need?
  - o Yes
  - o No
  
- If so, how do you know?
  - o Written communication
  - o Verbal information
  - o Other. What?
  
- When the unit receives a request to initiate a procurement process, what is the first step?
  - o Preparation of a procurement plan (for this specific acquisition)
  - o Preparation the ad for publication
  - o Preparation the Tender Documents
  - o Application for authorization to initiate proceedings.
  
- If the answer is a) you can request to see the procurement plan that unit has used. Take a picture.
  
- Is there a preparation of the Procurement Plan?
  - o Yes
  - o No



- How are the respective departments involved or informed about the Procurement Plan drawn up? N/A
  - o Written communication/internal memo
  - o Verbal communication/at a collective meeting
  - o Verbal communication from manager to manager
  - o Other manner \_\_\_\_\_
  
- Is there anything to improve on how budget limits and procurement plans are made and communicated?
  
- Whose responsibility is the preparation of the specifications of works of contracting needs?
  
- What is your opinion on the length of a Procurement process for building WASH infrastructure counting from the date of publication until the company is selected?
  - o It's not much
  - o It's reasonable
  - o It is too much
  - o It's excessive
  
- What would be the ideal time in your opinion?
  - o 30 days
  - o 45 days
  - o 60 days
  - o 90 days
  - o + 90 days
  
- How long has it taken a Process of Procurement to hire small works, counting from the date of communication to the procurement unit, of the need for acquisition? For example, rehabilitation of boreholes or wells.
  - o 15 days
  - o 25-30 days
  - o 45 days
  - o 60 days
  - o +60 days

- What are the stages of the contest where there are delays?
    - o Preparation and launch
    - o Presentation and opening of proposals and qualification document
    - o Evaluation and sanitation
    - o Classification and recommendation of the jury
    - o Award
    - o Complaint and appeal
    - o Document update
    - o Signing of the contract
    - o Approval of the contract by the respective authority (if needed, e.g. no objection from the Administrative Court)
  
  - Explain how you can overcome these delays on the basis of your experience?
  - Regarding the start of activities. What is the practice of the sector after the signing of the contract?
    - o Awaiting the official authorization is expected to initiate the activities / supply of the object (for instance, in case of the need of a no-objection or authorization from an administrative court)
    - o The activities / supply of the object are started immediately after the signing of the contract.
    - o It is awaited by tacit approval and begins if the activity / supply of the object without however having the response of the administrative court.
    - o Before no objection
    - o Yes
    - o No
  
  - Is there involvement of other employees outside the procurement unit in the evaluation process?
    - o Yes
    - o No
-

## WASH Sectoral Study: LOCAL LEVEL

### Interview with local authority (water and sanitation / education)

Name:

Position:

Years in position:

District \_\_\_\_\_ Data \_\_\_\_\_/\_\_\_\_\_/\_\_\_\_\_

### People interviewed

Name	Function	Academic Level/Training Area	Years of experience in position

### Capacities

- What is your department's feasible optimal performance in 5 and 10 years?
- What is it needed to achieve it, in terms of capacity development?

### Infrastructure:

- How many schools are there at district level and how many have access to water and sanitation?

Type of schools	Total schools	Number of students (H/M)	With access to water less than 200 m	With improved school toilet	Observation
Pre-school					
Primary School					
High School					
Technical School					
Total					

- How at district level has been ensured the management of water and sanitation infrastructure in schools. Are there specific programs for school health management?
- What kind of problems have been encountered/faced in this school health component?
- What has been the coordination with planning, water and sanitation / public works and the health departments?
- Are there partners who collaborate with your department in this component? If Yes which and in what areas?
- What to improve ?

## Interview with health department

Name:

Position:

As for in position:

District: Data \_\_\_\_\_/\_\_\_\_\_/\_\_\_\_\_

### People interviewed

Name	Function	Academic Level/Training Area	Years of experience in position

- How many health facilities (health centers) exist at district level and how many have access to water and sanitation ?

Administrative Post	N. Sanitary units	With access to water less than 200 m	With improved sanitation infrastructure	Observation

- What are the main water-source in health care facilities at district level? If you have updated a database or other information system, can you share it with us?.
- How is the district organized to improve sanitation?
- What has been the coordination with the planning and education district authorities?
- Is there equipment to control water quality at district level?
- If so, water tests have been performed and what the results have been. What measures have been taken?
- Are there partners who collaborate with the health district authority in promoting the sanitation? If yes who are they?
- What would be the department optimal feasible performance in 5 and in 10 years?
- What are the capacity development needs that you have to achieve that performance?

## Interview with water and sanitation technician

### CAPACITY OF HUMAN RESOURCES AND EQUIPMENT

#### Planning

- There are individual monthly activity plans:
  - Yes
  - No
  
- If so, is there a format of annual plans and individual activities? Documentary evidence
  - Yes
  - No
  
- Is there a discussion of the monthly plans between the technicians and the Director or Head of the Division?

#### Procurement and contracting

- Does the district launch or have already launched procurement for works (new or rehabilitation)?
  - Yes
  - No
  
- If so, what regulation is used for procurement?
  
- Are there any monitoring of the works?
  - Yes
  - No
  
- If so, documentary evidence?

#### Implementation

- Is there a discussion of a monthly activity plan between the Director and staff?
  - Yes
  - No
  
- How many scheduled missions for monitoring do you perform per month?
- What kind of activities?

- What determines the execution of activities on a daily basis?
  - o Weekly meetings
  - o Implementation of existing plans
  - o Orders of what to do daily
  - o Depends on existing work or demand

### Monitoring and evaluation

- Does the district have a regular activity monitoring plan? If so, please share documentary evidence.
  - o Yes
  - o No
    - If yes, how is the monitoring of activities done?
    - If so, is there a technician responsible for Monitoring and Evaluation in the district?
      - o Yes
      - o No
        - If so, does this technician respond exclusively to this area?
          - o Yes
          - o No
- Is there any difficulty in monitoring activities more effectively and efficiently?
  - o Yes
  - o No
    - If so, what are the main constraints and/or difficulties faced by the district for more effective monitoring?
- Is the district-level database updated regularly?
  - o Yes
  - o No
    - If yes, the researcher should check the operation on the computer, and completed monitoring forms
    - If yes, what is the frequency with which the data management system is updated? If it doesn't work, why?
- What are the main constraints and/or difficulties faced in the operation of the system?
- Is information in the database disaggregated by gender?
  - o Yes
  - o No

- In the data management system, how is data collected for system update (information flow)?
  
- Is the information currently available up-to-date?
  - o Yes
  - o No
    - If not, when was the last update made?