



WATER AND SANITATION
FOR HEALTH PROJECT

HUMAN RESOURCES AND INSTITUTIONAL DEVELOPMENT

by

Fred Rosensweig

Associate Director for
Institutional Development
and
Human Resources Development

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CENTRE FOR COMMUNITY WATER SUPPLY
AND SANITATION (WASH)
Box 93180, 2300 AD The Hague
T (070) 814211 ext 141/142

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HUMAN RESOURCES AND INSTITUTIONAL DEVELOPMENT

Introduction

One of the major areas of activity of the USAID-funded Water and Sanitation for Health (WASH) Project is human resources development (HRD) and institutional development (ID). Since its inception, WASH has undertaken many activities in these two areas. These activities have focused not only on supporting projects in the field, but also on developing generic products that will have widespread applicability both for those development projects that WASH directly serves and for the wider international community that deals with water and sanitation. This short paper will briefly summarize a few selected activities which provide examples of the most significant work that WASH has carried out.

To provide a framework for the kinds of activities that WASH has undertaken, we will first offer a definition of human resources development and institutional development. Institutional development refers to the organization, management, financing, staffing, training, design, construction, operation and maintenance of water and sanitation programs and facilities. Human resources development relates to the human resources needed to carry out these activities and includes training, management, and planning, as well as the creation of organizations that will supply the personnel. HRD also refers to the use of the range of approaches that come out of the field of HRD that can be used to improve project management and technical assistance.

Following is a summary of selected WASH activities. They represent the range of typical WASH HRD/ID activities.

Generic Documents

- Guidelines for Institutional Assessment
- Managing Institutional Development Projects
- Guidelines for HRD Planning in the Water Supply and Sanitation Sector
- Technical Training Guides
- Guide for Conducting a Team Planning Meeting
- Guide for Conducting a Project Start-up Workshop

Field Activities

- Developing a National Training Team for Rural Water Supply and Sanitation in Zaire
- Developing an O&M capability for the National Rural Water Supply Agency in Bolivia
- Management Development Program for the National Water Supply and Drainage Board in Sri Lanka

GENERIC PRODUCTS

1. Guidelines for Institutional Assessment

Over the last six years WASH has had a number of requests to assist AID missions in assessing a variety of institutional problems. These have ranged from broad sectoral assessments to trouble-shooting a specific function within an institution (e.g. operations and maintenance). As a result of these requests and because of the growing recognition of institutional development as one of the keys to the delivery of services, WASH has developed guidelines for assessing the effectiveness of a water and sanitation institution. These guidelines focus on identifying the strengths and weaknesses of an institution. The guidelines point to nine performance categories that provide a framework for assessing the effectiveness of an institution. The nine categories are organizational autonomy, leadership, management and administration, commercial orientation, consumer orientation, technical capability, developing and maintaining staff, organizational culture, and interactions with key external institutions. The guidelines offer a conceptual framework and a systematic process for assessing the performance of an institution.

Reference: Guidelines for Institutional Assessment: Water and Wastewater Institutions, WASH Technical Report No. 37, March 1986 (Final Draft).

2. Managing Institutional Development Projects

WASH has acquired significant experience in the implementation of institutional development projects. This experience has indicated that even when such projects are well designed, they often suffer from poor implementation. Based on the experience of WASH and field practitioners and project managers in the international donor community, WASH has collected the lessons learned for effective management of ID projects. The manual provides practical information about developing and managing institutional change projects. The document discusses the elements of effective project design and implementation. Institutional strengthening is viewed as an integrated, cross-cutting activity which requires dealing with the larger institution as well as the outside environment on which the institution depends.

Reference: Managing Institutional Development Projects, WASH Technical Report No. 49, August, 1987 (first draft).

3. Guidelines for Human Resources Development Planning in the Water Supply and Sanitation Sector

Many water and sanitation institutions in the developing world suffer from poor planning for the human resources required to plan, design, manage, operate, and maintain the systems that are built. In recognition of this problem, WASH has developed a systematic approach for HRD planning in the water and sanitation sector. A four-phase process is suggested: background procedures, steps for estimating demand, ways to estimate supply, and synthesis of demand/supply information and the development of an HRD plan. These guidelines are designed to be used by an experienced multi-disciplinary team having expertise in planning water supply programs and designing HRD programs. These guidelines could be used as part of a project development effort or in what has traditionally been called manpower planning. WASH will revise these guidelines in fall 1987 based on experience in using them over the past four years. A revised version will be available by January 1988.

Reference: Guidelines for Human Resources Development Planning in the Water Supply and Sanitation Sector, WASH Technical Report No. 20, October 1983.

4. Technical Training Guides

WASH has developed four and is currently developing two other training guides for use in rural water supply and sanitation projects. The training guides which have been completed center on the following technologies: latrine construction, handpump installation and maintenance, rainwater roof catchment, and spring capping. The ones currently being developed include improving open, shallow wells and community participation. These guides have been developed in response to two problems: (1) the barrier to effective training presented by the lack of well designed training materials and (2) the high cost of preparing and producing effective training materials. These training guides contain all the information a trainer needs to plan and conduct a comprehensive two-week workshop, including training designs, participant handouts, and trainer reference materials. The guides are designed for use in training fieldworkers with responsibility for water and sanitation. These guides can be used as the basis for a complete rural water and sanitation training curriculum.

References:

A Workshop Design for Latrine Construction, WASH Technical Report No. 25, June 1984.

A Workshop Design for Handpump Installation and Maintenance, WASH Technical Report No. 26, June 1984.

A Workshop Design for Rainwater Roof Catchment, WASH Technical Report No. 27, June 1984.

A Workshop Design for Spring Capping, WASH Technical Report No. 28, September 1984.

A Workshop Design for Community Participation, WASH Technical Report No. 33 (draft).

A Workshop Design for Well Improvement, WASH Technical Report No. 34 (draft).

5. Team Planning Meeting

Many WASH assignments are carried out by a team of two or more individuals. WASH staff is fully aware of the importance of preparing these short-term consultant teams so they are able to function more effectively. Patterned after the work of the Development Project Management Center of USDA, WASH has developed a two-day model where the team members come together in a focused effort to plan for their assignment. Led by the Activity Manager from WASH, the two-day meeting reviews the background of assignment, identifies the clients, carefully reviews the scope of work, clarifies the end product which is expected, develops norms for working together, and develops a detailed work plan. WASH has been systematically using this process since August 1984 and has produced a guide for conducting a team planning meeting. WASH is also developing an approach for conducting a debriefing following a field activity. This approach is meant to complement the team planning process by systematically debriefing the consultants and capturing the key lessons learned.

References:

Facilitator Guide for Conducting a Team Planning Meeting, WASH Technical Report No. 32, November 1985.

Guide for Conducting a Debriefing, WASH Technical Report No. 32 Supplement, September 1987 (Draft).

6. Project Start-up Workshops

Since the beginning of WASH, WASH staff and consultants have interacted with a great many development projects in a variety of settings. There is a qualitative difference between projects which get started well and those which take the first year to sort out roles and responsibilities. The first months are critical because they establish patterns and understandings about the project's purpose and goals, roles of project staff, expectations of the various actors, and agreements about how the project will be managed. To address the needs to improve the

performance of projects during the start-up period, WASH has developed a workshop model to get a project up and running and to forestall typical implementation problems. This is accomplished by bringing together all of the project's major stakeholders in a workshop setting and systematically addressing the major issues. The workshop is a 3-4 day event which brings together the government implementing agencies, the donor(s), and the long-term advisory team. The workshop addresses the development of a project team, management, and start-up planning. WASH has carried out project start-up workshops in Nepal, Sri Lanka, and Benin. WASH has also used a similar design in conducting annual project monitoring workshops.

Reference: Facilitator Guide for Conducting a Project Start-up Workshop, WASH Technical Report No. 41, June 1987 (Final Draft).

FIELD ACTIVITIES

7. Developing a National Training Team for Rural Water and Sanitation in Zaire

Since 1985 WASH has assisted USAID/Zaire in developing a national training team for rural water supply and sanitation. The team consists of 12 individuals representing a range of disciplines essential to water and sanitation. The team comes from six different Zairian agencies which are all directly involved in the water supply and sanitation sector. The core of the strategy has been a series of three training of trainers (TOT) workshops which took place at six-month intervals. In between the workshops, the members of the training team have had the opportunity to practice their training skills in workshops supported by the AID-funded SANRU II Project. WASH provided two training consultants to conduct each of the three workshops. The result of this effort is the development of a national resource which is available not only to the SANRU II Project, but also to other projects in Zaire.

References:

Training Plan for the Water and Sanitation Component of SANRU II, WASH Field Report No. 160, November 1985.

Training of Trainers Workshop and Training Materials for the Water and Sanitation Component of SANRU II in Zaire, WASH Field Report No. 177, April 1986.

Training of Trainers Workshop II and Training Materials Development for the Water and Sanitation Component of SANRU II, WASH Field Report No. 198, October 1986.

Training of Trainers Workshop III and Training Materials Development for the Water and Sanitation Component of SANRU II, WASH Field Report No. 216, September 1987 (Draft).

8. Developing an O&M Capability for the National Rural Water Supply Agency in Bolivia

In December 1985, USAID/Bolivia requested WASH assistance in strengthening the operations and maintenance (O&M) capability of the rural sanitation department (DSA) of the Ministry of Health. Specifically, the USAID mission asked for assistance in providing training to approximately 18 technicians (paraprofessional technicians) who supervise rural water supply systems in 150 communities. WASH assistance consisted of four activities. The first was a three-week course on general concepts of O&M, including the various components of an O&M system. The second activity was a three-week workshop on the operations and maintenance of a variety of pumps. The third was a two-week training of trainers workshop and the development of a draft training course for the training of community operators. The fourth activity was the pilot testing and revision of the training course for community operators. The outcome of these activities is a core group of technicians with a sound awareness of O&M and the ability to help communities set up an O&M system and train them in its use.

References:

Training Workshop in Operations and Maintenance for Rural Potable Water Systems in Bolivia, WASH Field Report No. 194, August 1986.

Training in Operations and Maintenance of Pumps for Rural Water Systems in Bolivia, WASH Field Report No. 195, September 1986.

Training of Trainers in Operations and Maintenance, Rural Potable Water Systems in Bolivia, WASH Field Report No. 202, January 1987.

Training of Community Operators in Operations and Maintenance for Rural Potable Water Systems in Bolivia, WASH Field Report No. 204, February 1987.

9. Management Development Program in Sri Lanka

In the past year WASH has designed and delivered a three-phase management development program for the top 25 managers of the National Water Supply and Drainage Board in Sri Lanka. The program has consisted of three workshops at an interval of six months. The first workshop was 10 days in length and the second and third were five days. The workshops have focused on such management skills as the organization and monitoring of work, conflict resolution, running effective meetings, development of performance indicators, coaching, and feedback. Between the workshops, the participants have had specific action plans to

apply the new skills they have learned. WASH is documenting the program in two ways. The first will be a summary description of the Sri Lanka management development program. The second will be a generic management development program which could be used in other countries. Both documents will be available by January 1988.

BASIC PRINCIPLES

In the last seven years, WASH has developed and applied several basic principles in its HRD and ID activities. These principles are as follows:

- HRD activities such as workshops, manpower planning and materials development can only be effective when directly tied to the larger insitutional setting. For example, training will not be effective if personnel do not have adequate incentives, the necessary tools and equipment, adequate working conditions, and good supervision. In addition, training must be directly related to the overall goals of the institution or it will not be relevant. Without sufficient attention to the institutional context, HRD activities, especially training, will be nothing more than a series of ad hoc events with little long range impact.
- HRD approaches can be of great benefit to the water and sanitation sector. The field of HRD offers some of the most modern thinking in such areas as management, assessing organizational needs, career development, organizational change, improving performance of staff, and developing instructional materials. Too often, the water and sanitation sector does not take advantage of this area of expertise and relies on subject matter expertise to solve problems which are not related to technical matters.
- To truly benefit from the expertise offered to us by the field of HRD, we must practice on ourselves what we preach. We must manage ourselves using some of the principles that we suggest to others. We must use outside consultants to help look at our own development. And we must think about our own performance in the same terms as we advise developing country agencies to think about their performance.
- Experiential learning is a highly effective training approach. It is an approach which is based on the principles of adult learning and encourages active participation and involvement in the learning process. The experiential learning model, which puts the responsibility for learning on the participant, is consistent with the long-term goal of sustainability.