Appendices

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Appendix 1. Logical framework (original proposal)

Narrative Summary	Verifiable Indicators	Means of Verification	Important Assumptions
Goal: **Reduction in the gap between the skills and knowledge of engineering and other water and sanitation sector graduates and the demands of sector employers.**			(Goal to Super goal):
Purpose: Motivated and responsive HRD and training providers better equipped to provide employer relevant professional development of water and sanitation sector staff.	Professionals in water and sanitation sector meet required task profiles to fulfil objectives of sector Demonstrated shift in the approach to professional work-related HRD, curriculum and course development by participating institutions		Employers, educational establishments, professional institutions & associations are willing and able to support TFR development initiatives at a managerial and operational level. Low salaries of training and academic staff do not adversely affect motivation to participate. Participating institutions are able to work strategically to develop partnerships and secure funding to enable the delivery of demand relevant HRD.
Key Outputs: PHASE 0: INCEPTION (3 months) Inception Report [3]	a) Draft operational guidelines identified for Phase 1 TFR demand stimulation and network development activities [3] b) Findings and recommendations of initial stakeholder/ institutional mapping to identify c) [3] c) 2-3 institutional secretariat options identified to support future TFR stakeholder network (for further investigation and testing during Phase 1: start-up) [3] d) TFR Steering Committee in place: chair identified, TOR/MOU, programme milestones and meeting schedule agreed [3] e) Local TFR facilitation (national consultants) identified and orientated in conjunction with WEDC, UK		Stakeholders buying in to TFR and network ideas at concept stage remain committed to participation in its development Stakeholders willing to share HRD information in objective manner Suitable institutions can be identified in Uganda SWAp partners are able to identify suitable existing and functioning institutional 'home' for Steering Committee Suitable consultants can be sourced and are available

Narrative Summary	Verifiable Indicators	Means of Verification	Important Assumptions
	based TFR facilitation team in time for Phase 1 [3]		
	f) Commissioning fund for local stakeholder facilitation of TFR activities and associated allocation norms agreed [3]		Regional stability and UK government travel advice allows WEDC staff to work in Uganda and region.
PHASE 1: START-UP (12 months)			
Output 1: HRD activity-to-impact mapping (mapping of recent HRD/training practice and delivery and stakeholder assessment of impact against sector objectives)	1a) TFR stakeholder database established in updateable format to support HRD mapping exercises and other TFR activities [4] 1b) Survey results and Uganda water and sanitation sector HRD activity to impact report [6]		Institutions are able to provide information. Respondents open to survey investigation.
Output 2: Post Phase 1 secretariat (identified and agreed)	2) Analysis report for each institutional option presented to key stakeholders (to coincide with annual Joint Sector Review (2004)) [14]		PMC continues current reporting arrangements
Output 3: Strengthened HRD capacity at a national level in DWD.	3a) DWD HRD activity to impact mapping: analysis, recommendations and action plan (% of Activity 1 above) [6-8] 3b) DWD key HRD personnel: outcome based skill & knowledge enhancement coaching planned and implemented [to 15]		DWD able and willing to participate given pressure of ongoing workload. Key DWD mangers and staff see relevance of professional development of own staff in context of achieving sector objectives.
Output 4: Sector objective based task development framework (demand-side)	4a) joint (employer/HRD provider) training needs assessment procedure piloted [12] 4b) Thematic classification of sector performance challenges in place (thematic) [10] 4c) Criterion framework for human resource planning and development piloted [15] 4d) Re-orientated HRD approach to inform sector HRD longer term strategy [for 15] 4e) Demand for re-orientated training & HRD expressed [by 15]		Reliable and collaborative partnerships can be forged between supply and demand side institutions Sector commitment to the development of a long-term strategy for HRD.
Output 5: Sector HRD information and knowledge management framework (supply-side)	5a) x information and knowledge management scans (supply-side) [by 10] 5b) x KM action plans & KM leader/team in each participating institution (supply-side) [by 15] 5c) Document (key sector relevant regional and global research outputs, learning material) matching		Supply side institutions willing to commit to investigating and acting upon this new, and often poorly -understood area of work Documents exist and can be tailored to Uganda context

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Narrative Summary	Verifiable Indicators	Means of Verification	Important Assumptions
	and sourcing service piloted [by 15]		
Output 6: Management Development Training	6a) x supply and demand sector staff trained and orientated through WEDC facilitated course *(NB: participation and modalities, including budget to be agreed during Inception Phase)* [by 8]		Agreement can be reached about objective recruitment for participation in course.
	6b) Uganda sector relevant composite management development training programme drafted and 2 'modules' piloted [by 15]		
Output 7: TFR Guidelines: employee development profiling	7) Diagnostic tool piloted for at least two of the following professional positions:-manager; engineer; social scientist/planner; sanitation officer; health inspector, borehole maintenance officer [by 18]		Commitment can be secured for post course participation in TFR activities and development of modules. Pilot institutions can be identified
PHASE 2: INSTITUTIONALISATION (3 months) 8) Phase 1 review and recommendations report agreement to establish a TFR network in Uganda	8a) Report presented to TFR Steering Group [15] 8b) Steering Group approved position paper disseminated to all key stakeholders [18] 8c) Agreed plan for WEDC support in conjunction with previously agreed local institutional arrangement (preferred secretariat) to establish TFR network and associated activities (e.g. change management forum, newsletter, seminars, launch of composite training modules, HRD activity to impact tracking, regional linkages) [18]		All participating institutions willing and able to contribute to joint evaluation of TFR activities, impact and potential
9) 'TFR: learning from the water and sanitation sector, Uganda' dissemination strategy	9a) Jointly devised and agreed dissemination strategy 9b)Jointly authored academic and/ or professional paper(s) for presentation to selected conference (s) (e.g. WEDC conference) and journals [18]		SWAp partners and associated stakeholders remain committed to managing change in the watsan sector, the TFR concepts of excellence in ongoing professional development and relevance in Uganda watsan sector context Motivation of participating institutions to share learning

Timings are in brackets e.g. [2] = month 2

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Appendix 2. Minutes of initial round table meetings

Training for Real
Round table meeting 1 – Fairway Hotel, 14/8/2003
Minutes

Copied to DWD director, Technical Advisors and Development Partners.

Present

Sue Coates	WEDC	Gaddi Ngirane-Katashaya	MUK
Richard Cong	DWD	Jacob Nyende	Kyambogo
Ronald Kasozi	UIPE	Ishmael Omara	DWD
Amos Lapenga	NWSC	Brian Reed	WEDC
Victor Male	WEDC	Albert Rugumoyo	MoES
Sam Mutono	DANIDA	J B Turyagyenda	MUK

Introduction

The meeting marks the beginning of the inception stage for the "Training for Real" Project. This was based on work carried out in Uganda last year as part of a wider international scoping study on links between trainers (Universities, colleges) and employers (e.g. DWD, NWSC, private sector), to see if there was adequate input by employers into curricula and programmes for HRD and CPD. The project is aiming to harmonise the process of HRD, formalise relationships and result in outputs that can be used in the field.

Employers are organizing training for increasing numbers of staff, with initiatives such as the UIPE training objectives developing students to be professionals. The sector is vibrant and well supported by donors. Looking at HRD has a history in Uganda, with work done by MoES and individual stakeholders – such as Kyambogo's work in 1998 on "what is a technician"

DWD has hosted the start of the project, with support of Mr Omara.

Meeting purpose

After introducing all present, Sue Coates described the inception phase of 3 months leading onto a 2 year programme under the SWAp. The meeting is primarily for information, identification of roles, consultation and ensure the major stakeholders are aware of the outputs and milestones.

Training for Real

Background

There is a long history of WEDC working in Uganda and this exciting project on capacity development moves beyond technical aspects. WEDC has been working in this area in Uganda and other parts of the world – for instance India and Nigeria

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(where WEDC has been looking at the effectiveness of capacity building in UNICEF and government programmes). Often there is a lack of connection between investments in capacity building as there are lots of stakeholders, but who brings it together nationally and looks at the long-term aspects?

A project in India brought employers and trainers together to make sense of their rapidly changing sector, looking at skills, experience, and knowledge in the sector. This moved activity from 'fire fighting' to actions that moved the sector forward by maintaining a strong human resource base, from undergraduates to the whole of a career. Whilst this type of activity needs to involve a wide range of sector professionals, it is mainly engineers that manage the watsan sector with the support of NGOs, the health sector, social mobilisers etc. and it is the managers who need to make sense of the sector and bring things together.

A DFID funded study looked at these issues in South Africa, India, East and West Africa. Uganda has many pieces of the 'jigsaw' that are required for a strong human resource, with lots of initiatives and organizations working in the field but is not necessarily bringing them all together. The study demonstrated the need for co-ordination and Uganda has the opportunity to provide a lead internationally and influence wider sectors.

Roles

The WEDC team (which includes local consultants), will facilitate the process and write the project reports, but will not be doing all the work. Funds will be available to enable stakeholders to organise other activities. WEDC has the responsibility to make sense of the current state of capacity building in the sector, apply theory and experience to make assessments and then formulate a methodology for developing a national strategy (on a sector basis rather than individual organizations). Although the contractual link is to DFID, the responsibility for guidance, direction and setting priorities lies with the stakeholders. DWD have provided support initially but eventually a project steering group will evolve, perhaps based on the people at this initial meeting.

There are no fixed institutional arrangements as such for TFR, with a fluid approach, but a plan to move forward steadily.

Phased approach

The inception stage will map what is going on in the sector in terms of capacity building and HRD. This will take a sector-wide approach, not just focussing on technical issues, identifying strategic priorities for the future. Whilst this will concentrate on engineers to start with it will take an holistic view to identify broad needs. The inception report will go to the sector for approval for the first stage of the project, which is envisaged to take a year. This will be activity based to enable connections to be made. After a year the process will be institutionalised to make the network of connections sustainable. The project may not be entirely clear at this stage to stakeholders as it is about developing a process, but it does have milestones that give the project structure and sets out the outputs. So, for example, the project is not about developing at national HRD strategy, but contributing to determining if one is

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required and assisting the process through which a national strategy could be developed. The process is not pre-determined; the direction may have been set by WEDC but control needs to be transferred to the stakeholders. The project proposal sets out a detailed plan, but the inception phase is needed to confirm that this is correct, by examining what is going on, who is doing what, who makes decisions etc.

Using information collected in the inception phase, concrete connections can be made to link various initiatives and consolidate activities strategically by managing capacity building. There is no international blue print, but Uganda can produce guidelines that may have a global/regional influence as it has the skills and opportunities to contribute to understanding of this field. Individual actions can contribute to the whole process.

Funds come from the donor basket, with money released in stages to provide transparency and ensure the direction of the project. The anticipated funding stages are after 3 months (current) and then after one year.

There is a large amount of money for capacity building, so the stakeholders may want to see this project taking a wide approach, looking strategically, and acting as a catalyst for HRD in the sector. Various institutions have provided information that evidence is needed to show that capacity building gives value for money in developing skills in the sector.

There may be conflicts of direction – for example the policy of privatisation may put private operators out of the reach of a HRD plan, as training may not be a priority for them and contracts may not enforce training activities. Expertise may be imported to fill short-term needs, rather than HRD being accepted by management through evidence of the value of training.

More capacity building initiatives are not needed in the sector; what is needed is co-ordination – for example Mbale School of Hygiene has problems setting up a long-term programme of work placements. There is a need to ensure money is spent wisely rather than scattered. For example projects have to train hand-pump mechanics as this is not in the curriculum of craftspeople. The problems need to be identified and addressed.

The project has made a good start by bringing employers and educators together, as have other initiatives, such as the widening of membership of the MUK Faculty of Technology Board or the Kyambogo assessments of student employment that took place in the past. Lots of re-training has taken place in the past or graduates being sent on projects without basic skills.

Confirmation of stakeholders

Lists of stakeholders had been prepared in advance and these were both confirmed and added to in the meeting.

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Supply side – educators etc.

These are listed in the order of qualifications – from degree level via diplomas and certificates to no formal qualification. For a more complete list consult the MoES.

- Universities
  - Makerere University
  - Kyambogo University
  - Overseas universities
  - Distance learning
- Schools and Technical Colleges
  - UMI Kampala
  - Mbale School of Hygiene
  - Nsamizi Training Institute of Social Development (Mpigi)
  - Aduku Technical College (Lira)
  - Mbale Elgon Technical College (Mbale)
- Community Polytechnics
- Technical Schools
- Technical Institutes
  - St Joseph's Technical Institute, Kibuli
  - Kichwamba Technical Institute, Bundibugyo
- Trainers
  - NGOs
  - NETWAS (Especially Kenya)
  - Consultants
  - UIPE
  - In-house
    - NWSC training centre
    - UWASNET working groups
    - DWD
  - On the job
- Resource centres
  - DWD library
  - NWSC training centre
  - Proposed IRC/SNV resource centre
- [*Hand books and guidance manuals*]

Demand side – employers etc.

These are listed in the order of focus on the watsan sector – from organisations whose only focus is watsan to those who employ sector staff but whose primary focus is outside the sector.

- DWD
  - National

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- Regional Technical Support Units (TSU) (also see Consultants and NGOs)
- [*On-going project activities*]
- NWSC
  - National
  - Local (e.g. Kampala, Jinja, Tororo)
- Local government
  - Water Officers
  - Health Officers
  - Social Mobilisers
  - Education
- Operators
  - Private
  - NGOs
  - Community groups
- Consultants
  - Designers
  - Planners
  - Studies
  - Trainers
  - TSUs
- Contractors
  - Builders
  - Drillers
- NGOs
  - [*Social mobilisation*]
  - [*physical implementation*]
  - [*advocacy and lobbying*]
  - TSU
- Industrial and domestic employers
  - Factories
  - Plumbers
- All other stakeholders
  - All other organisations listed under "supply" and "other stakeholders"

Other stakeholders

Listed in no particular order.

- Regulators and policy makers
  - MWLE
  - MoES
  - MoH

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- o MoLG
- o DWD
- o NEMA
- o Ministry of Gender, Labour & Social Development
- o National Bureau of Standards
- o Uganda National Industrial Research Centre
- o Ministry of Tourism, Trade & Industry
- o National Council of Science and Technology (Nakawa)
- o National Council for Higher Education
- Accreditation

  - o Universities etc.
  - o MoES
  - o Engineering Registration Board
  - o UIPE
- Finance

  - o MoFPED
  - o Development Partners
  - o NGOs
  - o Income from services
- Other

  - o UWASNET
  - o UIPE
  - o Researchers
  - o Politicians (from LC1 to President)
  - o Unions/ employees
  - o International organisations (WHO, UNICEF, WB, WSP)
  - o The customer

Confirmation of drivers of change

A list of drivers of change had been prepared in advance and this was both confirmed and added to in the meeting.

- Decentralisation
    - o Impact on location of staff
    - o Impact on skills needed
- Privatisation/ commercialisation
- Move to assets holding authority
- Move to regulator
- Value for money
    - o Need a "product" of a training course to indicate impact
    - o Repeating training is wasteful
- Fee-paying students
- Changing skills and knowledge on:
    - Sustainability
    - Environment
    - Social
    - Gender
    - Appropriate technology

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- Regulation
- Movement from projects to programmes to services
- Political goals
  - Sector reform
  - Legal developments
- Financial goals
- SWAp/ increasing number of stakeholders
- Globalisation and the MDGs
- WHO standards
- Public service reforms
  - Good governance
  - Payment levels with respect to private sector
- Donor influence
- Poverty alleviation
- Rights-based approach
- HIV/ AIDS and the need for a critical mass of staffing to ensure robustness
- Budgeting
  - DWD has budget for training of DWD staff and other sector staff
  - NWSC has pressure on funds and has to demonstrate value for money
  - Funds may be project based and limited
  - Private sector may not invest in HRD
- Labour may be imported in the short term – e.g. France, South Africa
- Current pattern of low staff turnover may be changing
  - Pay differentials between employers
  - Staff may move but still remain in the sector
  - Institutional memory and knowledge management may be effected

Missing is a champion for HRD

Identification of initiatives and strengths

A general discussion identified the following initiatives and strengths within the sector. These are not listed in any particular order.

- Result Oriented Management
- Objective Output Budgeting
- Stretch Out NWSC
  - A management programme with short term look at they way the organisation operates. Individuals set "dream" targets – that may be unobtainable but in trying to reach them, services improve and the benchmark is raised. This covers all areas of the organization and aims to go beyond customer expectations in satisfying their demands. This emphasises self capacity building and setting your own target, giving ownership and avoiding a top-down approach. "Failure" is not condemned as any progress is good. The supervisor takes on a counsellor role, recognising what other factors are required to meet the target advice, finance, materials etc.). "One minute management" is also being used. Time bound, monthly goals are listed and linked to incentives. This is changing attitudes of what individuals can deliver. The limit to productivity may not be skills and knowledge.
- DWD graduate training scheme

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- o This attaches graduate to DWD for one year (paid), leading to experience and a job in the sector. This has been running for three years and has provided experience for over 50 people so far over a range of disciplines.
- Technical Support Units (TSUs), providing HRD for Districts.
- SWAp
- Leadership
- Council reform of technical curricula
- Faculty Board membership widened to include employers (Makerere)
- Faculty restructuring to form School with departments of Water Resources, Environmental Engineering etc.
- Kyambogo technician training programme
- Industrial training programme at NWSC
  - o This provides placements for 11 students and provided some industry based training. The impact on the development of the student is obvious as the performance of employees who passed through this scheme appear better than those with no industrial experience (but perhaps a higher class degree). Students do not get paid for working under this scheme.
- Development of performance indicators
  - o This project is currently looking at the performance of the sector. Possible indicators of HRD are the percentage of post filled with adequately qualified staff.
- Transient training not tracked (e.g. workshops)
  - o This requires an indicator of impact.
- Performance measurement at District level (RUWASA) – Sam Mutono
- Local government development fund
- Ministry of Gender, Labour & Social Development training of extension workers
- DWD funding research at Makerere
- Makerere University placement of students at district level (Rockefeller foundation funding)
- UIPE professional development objectives
  - o These require a mentor and there may be problems with the private sector being able to provide time and support to graduates.
- NWSC links with IHE Delft for engineering and water quality staff.
- NWSC employees gaining MBAs (4 complete, 2 nearing completion)
- UWASNET capacity development framework
- Private sector capacity development framework
- There is a (DWD/SIDA) initiative for NGOs to act as change agents on behalf of DWD
- There is a proposal for an IRC/SNV resource centre(s).
- There is a paper being prepared for the joint sector review on the balance between "outputs" and "capacity building" required for rural sector service delivery
- [*Development of literature; handbooks, guidance notes etc.*]
- [*Ministry of Public Service are considering different management options for district water activities*]

A weakness identified at the start of this discussion was the lack of a process and definite purpose for HRD for professionals after their degree.

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A policy by the people around the table could form a strategy for the whole sector, focussing on providing a service. Practitioners can determine policy and strategy as they have the ability and strengths required.

Indicators of HRD were mentioned but not identified.

Questions were raised over the selection and placement of students for work experience, with regards to transparency, the issue of privately funded students and who selects people.

The sustainability of training courses was raised, with respect to on-going financial viability, institutional knowledge management and self-sustaining potential.

Inception phase

This 3 month phase is designed to:

- Check that the direction in the proposal is correct;
- Ask for assistance in the project: and
- Address practical aspects of the project.

There is a general feeling in the meeting that things are moving ahead. In this stage the meetings will have a purpose, to tighten the network and to disseminate information. Most of the meetings will be bilateral, but there is the opportunity for a larger meeting at the end of the inception phase.

WEDC staff have two visits under this phase, supported by Victor Male over the next two months, with additional support by Albert Rugumoyo. Activities will include desk studies of relevant literature and reports, interviews and mapping the extent of capacity building activities in the sector. To support this work, documents and reports on funding, initiatives, programmes etc. will be required – even if they appear obvious (such as the NWSC stretch out programme). The project staff may need help in making some connections and contacts to get a picture of the complex arrangement of sector and organizational capacity building.

The project is output based and this phase should produce:

- Draft guidelines for phase 1 activities
- Research into the relationship between capacity building activities and impact on sector activities (this should allow HRD to be reported and its impact assessed – for example what is the evidence for the benefit of a particular workshop?)
- Identify 2-3 options for institutional arrangements for any potential network
- A steering committee (with a schedule, a "home" and rationale)
- Ideas on how to operate a commissioning fund

This will be written into a report. Before this report is available however, a fortnightly email update will be circulated, in which any new information can be shared (to submit information contact WEDC).

The chairman thanked everybody for attending the meeting and re-iterated the need for support over this and future stages. This project has the potential for making an impact on the ground and make efficient use of funds.

[*Information in square brackets [ ] was supplied after the meeting to clarify issues*]

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Training for Real
Round table meeting 2 – Fairway Hotel, 12/11/2003
DRAFT Minutes

A project under the Uganda Water and Sanitation Sector Programme Management Committee

Present:

Albert Rugumayo	MoES
Amos Lapenga	NWSC
Brian Reed	WEDC
Ishmael Omara	MWLE
Jacob Nyende	Kyambogo University
John Pinfold	DWD TA
Joseph Epitu	MWLE
Patrick Sempala	MoES
Richard Cong	DWD
Ronald Kasozi	UIPE
Sam Mutono	Danida
Simon Mugayo	DWD
Sue Coates	WEDC
Victor Male	WEDC

Distribution of minutes: as above, plus DWD director, Technical Advisors and Development Partners

Introductions

Sam Mutono (DANIDA) chaired the meeting and welcomed participants, who introduced each other.

Sue introduced the agenda: reporting back, discussion and questions; before an exploration of the possibilities and actions for phase 1

Project team report

Summary of aims

The project was presented three months ago to the PMC as a staged project, with the following purpose:

Motivated and responsive HRD and training providers better equipped to provide employer relevant professional development of water and sanitation sector staff.

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The project team was reintroduced. Victor Male had done the majority of the inception fieldwork. Albert Rugumayo had written a series of case studies. Brian Reed and Sue Coates had supported the process from WEDC, UK and had undertaken further stakeholder interviews while in Uganda.

The original idea for the TFR project was explained. The current TFR project had been designed in 3 phases to ensure better project responsiveness. Milestones exist at the end of each phase and are monitored via regular stakeholder consultation and reporting to the PMC before the next stage is agreed.

A draft executive project summary was presented to the meeting. This contained information about the inception phase process, the findings and the suggested ways forward.

The current structure and timing of the project was determined by original expectations and funding (DFID). As the project is under the joint sector funding arrangement continuation in the longer term would depend on the PMC, local ownership, motivation and the nature of demand as the project develops over phase 1.

Summary of progress

Victor Male explained the process followed during the inception phase. The key activity had been a 'stakeholder mapping exercise'. It had been agreed at the first stakeholder roundtable meeting that the project should look broadly across the sector; develop interest and identify concrete HRD activities of all stakeholders.

The following list contains examples of the range of stakeholders interviewed:

Government:
- DWD urban and rural and the TSUs;
- NWSC corporate, training and local;
- Districts DE, DWO, TSU;
- Suppliers Makerere University, Mbale School of Hygiene, Kyambogo University;
- Government: MWLE; MGLSD; MoES; MLG; MPS; NCDC;
- Private sector contractors;
- SNV; Netwas;
- Busoga Trust (in transition to private sector and need skills);
- JICA (supporting vocational institutions);
- GTZ (looking at HRD but not in water and sanitation).

Case studies to confirm interview information and to triangulate information were also commissioned. These include case studies of UIPE, DWD at Entebbe, NCHE, MUK, UWASNET, Private sector and the IRC/SNV supported resource centre development initiative.

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At the time of the meeting Information about HRD in the sanitation sub sector was still to be completed. Early consultation had been held in the Ministry of Health and the team now wished to consult Anthony Waterkyne, the recently appointed sanitation technical advisor. Anthony is funded through WSP - World Bank.

The team also said that efforts had been made to engage local government in the consultation phase, indeed representatives had been invited to the meetings but had to date not attended.

It was also stressed that although many stakeholders had been consulted TFR is a process project and the mapping of activities in the sector would continue during Phase 1.

Findings and analysis

Brian Reed presented a brief overview of the main findings. Fuller details could be found in the distributed draft executive summary, while a comprehensive picture would be presented in the final inception report.

Brian said that there were 3 main issues:

capacity building is required
coordination and direction is required
No sector wide HRD strategy exists

A broad consultation with many diverse stakeholders identified the following findings.

Capacity building is needed

There is a clear need for staff development. Specific issues include:

- Contract management skills across the whole sector (client, consultants and contractors)
- Awareness and understanding of socio-economic issues by technical staff (and vice versa)
- Management and team leadership skills
- Structured professional development to ensure a mix of theory and practical experience
- Strategic thinking and planning (for managers in all sectors)
- The need to develop underpinning generic skills across the sector (report writing and analytical skills as examples)
- Customer awareness (particularly in the rural and peri-urban context)
- General capacity building for contractors.
- Imbalances between public and private sector

Co-ordination and direction required

There is also a clear lack of planning and strategic direction, with "fire-fighting" and supply led, short-term interventions. It takes over 10 years to develop some sector

professionals and, in a changing institutional environment, continued availability of qualified, experienced staff is likely to be more of a barrier to success than financial or other material constraints. Educational organisations will not be able to provide support to the sector unless there is a clear direction.

There are examples of good practice and innovative professional development. This needs to be shared and expanded.

Measure performance

The value of any investment in professional development is currently difficult to quantify and therefore justify. Just as with investments in physical infrastructure, money spent on staff training should be planned, designed, implemented and evaluated. This should be standard practice and not subject to one-off initiatives. There is evidence across the sector of HRD and training lacking in value for money. There is no systematic way to measure impact of value added.

Examples of each of the above main areas were given.

A specific question from John Pinfold: did the team see TFR as being able to improve opportunities for on the job training? The team answered positively and cited the WELL experience of mentored distance learning as being a possible option for cutting downtime. The example of report writing and report reading was given. A discussion was also held about the value of linking learning to doing and ways to encourage different learning models. It was thought that the supply-side stakeholders were willing to pilot new training delivery modes, especially through the development of short courses.

Discussions

The following *points were drawn from the discussion.*

The issue of no HRD STRATEGY

Currently all training and HRD is done through an ad hoc process. Value for money and impact monitoring does not really exist in any form that is useful to strategic planning.

A key problem in moving towards a strategy is that sector employers are unable to articulate what they require in HRD and training. The supply-side, initially thought to be the problem, is generally willing and reasonably able to respond.

It was noted that although there is a sector wide approach to targeting of objectives and planning for inputs and broad activities there is no SWAp for HRD.

The development of a strategy needs better coordination with the education suppliers, particularly undergraduate and post-graduate teaching. There is a need for graduates that are able to work effectively in the sector. Although there is a volume of graduates to recruit little is known about their skills for work, only the theory that each is taught. Which jobs are there for which graduates? Professors need to meet

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with graduates and conduct follow-up once each is at work. The whole area of report back needs looking at. Various systems used to exist (e.g. at DWD) but people lack interest. The MoES vocational training is beginning to work in this area. This might help the fact that in terms of industrial training the 'end users' (employers).

There needs to be a better system of identifying career paths for new graduates so that HRD can assist the process.

It is difficult to influence under graduate and post-graduate teaching. One way forward is to provide a market for short courses that can be delivered by the universities. This would come under the auspices of 'continuing professional development' and not education as such. Such short course development would allow for a dialogue that hopefully would lead to curriculum development in the wider sense. Better to influence at this early stage than attempt to radically change.

Once again this pointed to the need for more on the job training to develop specific skills. There was also a need to look at the incentives for training. (e.g. stretch out at NWSC is evidence of how incentives can be integrated). It was decided that one question that needs investigation is whether on the job training be done at all levels.

Currently a 'menu' of options does not exist for the delivery of training and HRD. For example,

    Learning by doing
    Post-graduate qualifications
    Workshops
        Distance learning
        Etc.

Again although managers have strategy that adheres to the SWAp, PEAP and JSR there is yet to be a link made to training and capacity development. This extends to recruitment and selection and the appraisal of staff. All of this should be better linked to the sector's overall goals.

Currently barriers exist between general managers and HRD managers. If this relationship was developed then perhaps HRD can influence the supply-side. Better-targeted course would then result in managers being more satisfied with the HRD function. The profile of HRD could be raised.

The profile of HRD is currently problematic. HRD is not a recognised as a profession in the way engineering is. The HRD function should be a main management function, or at least there should be a HRD person in a senior position. This raised the question of HRD professional prerequisites and skills expected of HRD managers. It was noted that of the current HRD managers only NWSC had a person with HRD/M in place. The presence of such people should help HRD to stop being sidelined. It was noted that HRD managers themselves need training.

It was agreed that people are the sector's first resource ad that all need exposure to practice – as students and employees. Perhaps the objectives for gaining professional recognition (charted civil engineer) by the UIPE could be investigated?

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It was noted that the development of a strategy should include districts and NGOs etc. The role of the TSUs is important. How will it be known when capacity is sufficiently developed? Often experienced people have to repeat training rather than building on existing knowledge, wasting money.

It was agreed that there is some innovative work in HRD however it is not documented, there is some duplication of effort and lessons and experience is not shared.

There is a pressing need to develop strategic partnerships. This includes the need to match skills – progress determined by slowest partner. Coordinate trainings locally to invite all stakeholders

As stated earlier, what role should the MWLE play?

The issue of training the private sector was discussed at length. How much investment should the public sector make here? Who is responsible for what aspect of training? Can the private sector be forced in to investing in its people? There is a need for policy and principles in this area. Could contracts stipulate skill requirements? Need to be pragmatic and aware of limited skills in private sector – look at long run of benefit of training everybody. The issue of cost sharing might be worth looking at.

Need HRD policy for DWD <u>and</u> sector. There is a range of things going on, different directions, suggestions on policy, different levels of operation etc

OPTIONS

Given the inception phase findings the following 3 options were presented:

Option A
Continue the Training for Real project as planned, meeting immediate demands, but not necessarily meeting longer-term objectives

Option B
Concentrate on developing a longer-term HRD strategy, but not producing any immediate outputs

Option C
Adapt the existing proposed Phase 1 to reinforce the strategic component, combining a longer-term view with some immediate visible outputs and improvements.

Option C was recommended by the TFR team and accepted by the stakeholders as the most sensible and appropriate way forward for the following reasons.

- There is a need to align all HRD, training and capacity development with SWAp priorities and planning

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- There is a need to strengthen the skills and strategic management capacity of those responsible for devising and implementing well targeted and effective HRD across the sector

- There is a need to bring together the above people with those responsible for managing human resources (allocation, appraisal) to ensure improved interpretation of the sector's requirements for skills, how performance is measured and the continuing professional development of its people

- There is a need to agree methods and systems to effectively forecast human resource requirements and to retain highly skilled people in the sector

- There is a need to make sure that the sector can adequately articulate its HRD, training and capacity development needs to those who can provide it

- There is a need to not repeat the efforts and mistakes of the past by recognising past weaknesses and improving collaboration and coordination across the HRD function, sector wide.

It was stressed that although the sector (or one of its institutions) could hire a consultant to develop a strategy this would probably do little to help the situation. Most likely a glossy report would be produced and still the sector would not own the strategy.

The issue of who 'owns' HRD strategy in the sector was discussed and it was agreed that at the moment strategy was largely the domain of the sector's institutions. It was likely that the Ministry should have some role in guiding strategy, as would the joint sector working group and the PMC. No final decisions were taken in the meeting in relation to this discussion.

The following comments were noted:

- Is strategy organisation specific or national?

- Is there a need for a coordinating unit?

- Sector made up of institutions – this is confusing in terms of HRD strategy

- The sector needs some direction as far as HRD is concerned

- There is a need for a framework of some description

- Perhaps there is a need to identify general principles for HRD at the national sector level

- Does Ministry impose or listen and share?

- Overall there is a real urgency for someone/something to steer HRD and investment in capacity development along right road.

- If we can have a rural plan for finance do we need to plan the staff as well?

Detail in option C

The plan is to take the best of phase 1 (see project documentation) and also facilitate a strategic HRD direction for the sector.

The team explained that currently 5 outputs were being considered for Option C. These would be refined following the meeting.

Output 1:

HRD activity-to-impact mapping (mapping of recent HRD/training practice and delivery and stakeholder assessment of impact against sector objectives)
This would involve continuing to take data collected and complete an activity to impact mapping exercise. This is a 'value for money' component; thus a functional analysis can lead through training and measurement indicators to assist in performance appraisal of HRD. Links with MPS CaPEP (Capacity and Performance Enhancement Programme). Water sector is ahead of MPS and can contribute to this exercise

Output 2:

Post Phase 1 secretariat

Establish a home for co-ordination. Too soon to say where but need to see what emerges over a year. In the interim leave things as they stand, reporting to PMC via liaison with DWD Training staff.

Output 3:

Strengthened HRD capacity to develop improved sector wide HRD strategy (new output)

Strengthening HRD capacity to develop the sector-wide HRD strategy. (new component). Use a tool similar to previous "HRD club" – hosted by NETWAS, included WHO etc. A similar temporary "HRD forum" would be set up at a national level (but not just for national players). This is to accelerate overall strategy. Model would be thematic, such as looking at the JSR objectives seen from an HRD perspective, to develop strategy, using a series of seminars, output orientated. Demand and supply and ministry and local government would all be involved and then put lessons learnt into practice between seminars. This would develop skills to in turn enable professionals to develop strategy. Additional benefits would be raising the profile of HRD and setting up a partnership between supply and demand.

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Output 4:

<u>Piloted tools and approaches to strengthen HRD practice at a national level</u>

Pilot HRD tools, approaches, methods of delivery at a national level. Although there are real concerns about districts, there is a need at national level to rationalise training that influences things further down the line. This keeps the operation of training continuing but moving towards best practice. Partnership between supply and demand

Output 5:

<u>Sector HRD information and knowledge management support</u>

Support for quality up to date knowledge and information. Working with suppliers to access global best practice.

Missing from the proposed phase 1 are things to do with management development training. It was agreed that this element could wait and that in any case the proposed phase 1 took the management development of HRD post holders in to account.

A discussion was held about why the original 'HRD club' had failed. It was agreed that this was because it was donor lead and funded with no local ownership or motivation. Any new HRD would need to be output based with clear TOR. Before a demand-side, supplier-side HRD network can exist the HRD forum can help to shape direction. The Forum may become a network but in the meantime it can provide foundation to future developments.

It was agreed that the sector needed to demonstrate impact from HRD investment in time for the next JSR. The TFR project could assist with this.

The issue of piloting was raised in terms of types of tools and why piloting was important. DWD was used as the example. DWD is restructuring however this is not in place yet. TNA is clearly difficult as there is no clear strategy, so who does DWD train now, who later? There is recognition that all training activity cannot just stop. HRD provision should be able to meet the needs of dynamic organisation. Piloting new approaches would help to balance investment in the skills required today with those needed for tomorrow.

The meeting agreed that the suggested way forward and the outputs were acceptable. The team was asked take them forward to the PMC via Richard Cong. The next PMC is expected during the last week of November. *[Post meeting note: the PMC meeting will now take place in December]*

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Confirmation of steering committee

The following was agreed.
- there is a need to continue the round table meetings (broader than PMC) into Phase 1. These assist to give direction and clarity and to get local stakeholders involved
- On a day-to-day basis contact with the TFR team would be through Simon Mugayo (DWD)
- There was a the suggestion (from Richard Cong) that the Sector Wide Working Group could be a 'home' for the TFR project.

The meeting came to a close with the Ministry expressing its wish to see phase 1 take place

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Appendix 3. Stakeholder interviews

Initial stakeholder interviews were designed to give an overview of the sector, for both suppliers of HRD (training institutions) and employers (users). The initial round of interviews was designed to give general information and allow more detailed information to be gathered at a later date as the project focused on specific issues. A range of institutions was selected, with the interviews piloted initially with smaller stakeholders, before moving on to the larger institutions. Organisations outside Kampala were selected where possible to balance the general bias towards activities in the capital and reflect the national picture more accurately.

Note: the information provided was provided freely from the *perspective* of the informant and is not a criticism of any individual or organisation. People's perceptions are valid and useful in promoting dialogue within the sector.

The interview format

Following a brief introduction to the interviewers, WEDC and the TFR project (including the provision of literature as appropriate), the following questions were used to guide the discussion about HRD activities, opportunities and constraints. Breaks were taken at various stages to allow questioning by the interviewee and enable them to clarify issues or provide additional information.

Questions

- Name of Institution
- Name of key informant
- Introduction to the organisation
- What are the main activities of the institution? (include indicators of scale)
- Who are the employees (number and qualifications/ grades)?
- Are there job descriptions?
- Where do students go after their course? / Where did the employees receive their training?
- What HRD practices are carried out?
- What indicators are used for HRD (both institutionally and individually)?
- What budget is there for HRD (perhaps as % of total budget)?
- What partners are involved in HRD?
- What future plans are there for HRD?
- What constraints exist for current/ future activities?

Information gaps

Information not obtained or unavailable is highlighted at the end of the particular interview.

Directorate of Water Development

Person interviewed: Patrick Okuni,
                        <u>*Senior Engineer, Planning and Quality Assurance*</u>
Name of Interviewer: Victor Male
Date of interview: 28-8-03
Venue: Kampala

Give an overview of your Division/Department in DWD
The planning and quality assurance department is responsible for research and development of innovative approaches based on best practices for the various departments in DWD. For the rural section specifically the following projects have been completed or are on-going.

- Development of a national framework for O & M

- Development of a workable mechanism for an improved supply chain for hand pump spare parts.

- Technical guidelines for procurement by the districts.

- Appropriate water treatment technologies

- Documentation of rainwater harvesting design methodology.

The department is employs temporary contract staff. Their availability depends on funding which is problematic because of the inadequate cash flows.

What is your view about TSUs and how does your department link with them?
TSUs are useful to bring districts up to capacity. Most districts recruited young personnel who are inexperienced. However, initially the TSUs themselves lacked capacity because of the shortage of senior engineers (only 5 available at the headquarters, yet there are 8 TSUs). However this is being bridged with the recruitment of consultants (who took on some of the old TSU staff).

What capacity building activities are undertaken in your department?
The following projects are on-going:

- Development of guidelines for the training of handpump mechanics

- Various approaches are being explored: working through technical colleges (Iganga and Butalega Technical Institutes in eastern Uganda); training through the TSUs; the use of DWD staff on projects; or the use of the private sector.

- Development of district tools for procurement and contract management.

Although the most districts have some materials developed from previous projects, there is a need for harmonized guidelines hence the project.

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Constraints

Software sidelined

The outputs required by Ministry of Finance are hardware oriented, which relegates software issues such as hygiene promotion and community management of projects. There is inadequate staff and little time is allocated for their implementation. There are no benchmarks that would enable the fitting of activities into the SWAP financing cycle. DWD is lobbying for the ring-fencing of software funds within the SWAP basket.

No total picture

Many projects have been carried out by DWD with many successes, but the complete picture of achievements is not available.

Scale of task

The unit is stretched considering that there are 56 districts of varying capacity for whom they have to provide services. The TSUs are useful, but are themselves handicapped by the cash flow problems. Funding to the sector has stagnated and in some cases reduced. This has resulted in low volume of work yet overheads remain high which makes doing business with the district water office unattractive to the private sector. For example, Yumbe district in the last financial year advertise 4 boreholes 4 times and no contractor turned up!

One eyed among the blind

The water and sanitation sector is one of the best facilitated by GoU. This has resulted in the encroachment by other departments (both technical and political) in the districts on the Watsan resources.

Unsuitably trained personnel

Most personnel in the unit are learning on the job. DWD and the districts organize training courses to address this gap but these are not well coordinated, and impact is difficult to measure. The capacity building plan by DWD and Ministry of Local Government (MOLG) need to be coordinated.

Information still required
Budgets

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Person interviewed: Disan Ssozi,
         Senior Engineer, Rural Water and Sanitation Department
Name of Interviewer: Victor Male
Date of interview: 01-9-03
Venue: Kampala

Is there an HRD policy /strategy?

The department is supposed to develop a strategic capacity building plan from a training needs assessment to be carried out.

What activities are being undertaken?

The main activity of the department is capacity building in the districts. District staff are being given training in planning, project management and contract management, through the Technical Support Units. Specialized training such as water quality testing or management information systems is provided through relevant departments but coordinated by the RWSD. The link with the Planning and Quality Assurance Division is not strong yet it has the responsibility of developing materials and modules for the district.

What is the practice? What are the norms?

Gaps are identified from Capacity Needs Assessments (CNAs) and depending on the nature of training required, the following options are used:

- In-house training

- Mentoring (on-the-job-training)

- Use of specialist institutions (UMI, MTAC~ Management Training and Advisory Centre)

Information still required

Information on the review of the training programme for Engineers by Makerere University supported by DANIDA

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Please give an overview of your department

Since decentralization, roles have now changed, from hardware orientated implementation to regulation, monitoring and capacity building. The department staff needs strengthening in strategic management, and in policy development and monitoring. Even though numerous needs assessments have been carried out and followed through with training ranging from basic computer skills to PhDs, there is no basic "skeleton" on how to go about capacity building in DWD or the sector.

What can you say about capacity building

Capacity building is now very important to DWD and the donor community. Looked at in many ways, DWD's role is now mainly capacity building with activities such as capacity needs assessments, supervision, monitoring, evaluation and technical support to districts. Departments such Water Resources Assessments have capacity building as the major component (workshops and software training). Even the 17 projects that are on-going managed directly by DWD were justified as necessary to build the capacity of the districts (in the form of on-the-job-training).

In addition, there is capacity building being carried out by the Ministry of Local Government (MOLG), specifically the 25 capacity building modules which also target the district water offices. On the other hand DWD includes the district tender board members for some training. All this multi-agency training needs to be coordinated better in order to avoid conflict. The link between MOLG and DWD needs to be clarified because MOLG is a big user of the DWD capacity building budget.

What capacity building activities have been carried out by your department?

Human Resource Development is aimed at improving performance and there has been a lot of training for staff both general and tailor made carried out as follows:

- Research with Makerere University (rainwater harvesting, iron removal etc)

- Short courses at WEDC, UMI and MTAC

- In-house training including evaluation of projects as a capacity building activity

What are the constraints you face?

There is little effort geared towards gathering evidence to justify continuous capacity development. Some of the activities are intangible and indicators have not been developed for them, for example indicators currently include the number of trained water use committees (WUC) but no reliable information exists on the measurement their performance yet hundreds have been trained using enormous budgets? This is a distinctly software problem because the hardware indicators are easier ~ impact of

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training for hand pump mechanics can be assessed from the functioning water supplies.

Insecurity in the northern and the north eastern districts (Pader, Gulu, Kitgum, Moroto, Katakwi

The new DWD role has not been grasped by the existing staff. There are no links within departments because of the projects mentality. A coherent strategy on how the centre will handle new responsibilities is needed. (Compare to Ministry of Finance which used a consultant to prepare a strategy on their changed mandate).

Generally there DWD is weak in monitoring, quality assurance and policy development.

In the long term, capacity building can be seen as a temporary measure. What happens when the districts have attained the necessary capacity?

Information still required
Specific Ministry of Local Government training modules for rural growth centres

Give an overview of the your section

There are 15 large towns under the jurisdiction of NWSC. The remaining 58 towns urban water supplies are no longer managed by DWD but by the urban authorities. Currently construction of new urban water supplies is still directly under DWD but will be passed on to the local governments (to deal directly with the private sector) in accordance with decentralization, with improved capacity.

The centre support to private operators in DWD was set up to work with urban authorities with a view to building their capacity to manage their water utilities. It is managed under the urban water supplies department that has 2 principal engineers, 4 senior engineers and 4 junior engineers (who are straight from university and learn on the job). Clearly there are problems with the staffing because all these are responsible to oversee capacity building of 58 urban authorities.

What capacity building activities are undertaken in this section?

Assessment of DWD staff is incomplete because of the new structure. However an elaborate training plan was developed by COWI consulting engineers, based on a capacity needs assessment of town engineers and urban water officers. Activities include the following:

- Learning-by-doing (On the job training).

- Tailor made courses at the NWSC training centre (e.g. on the operation of water supply systems). There is however no joint training with NWSC staff.

Constraints

- Political interference (in the procurement process)

- Departments competing for funds under SWAp

Information still required
Training plan developed by COWI consult

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Person interviewed: *Eng. P.K Kagoro,*
                              <u>*Assistant Commissioner Urban Water Supply*</u>
Name of Interviewer: *Victor Male*
Date of interview: *02-9-03*
Venue: *Kampala*

What is the responsibility of the urban water department

The UWS department is charged with developing policy in the urban water sector for the following:

- Private Sector

- Partnerships and NGO participation

- Research and innovations

The main thrust now for the department is to tap on efficiencies of the private sector, promoting best practices (regarding metering, reducing unaccounted for water and management arrangements for private operators).

What capacity building activities are being undertaken?

The skills and knowledge required by engineers in the department are now different. Economics related skills are now more important, especially in the areas of

- financial analysis of investments,

- development of water saving devices

- analysis of urban poor issues (Cost elements~ expansion of demand with minimal social costs).

- business orientated utilities management

- policy development, planning and budgeting

- documentation

As a minimum, engineers should appreciate the above. But most do not have practical experience. On the job training is the major vehicle for strengthening the department. Formal training is still on an individual basis, and is managed by the training officer (Omara), ranging from 6 months courses to PhDs. Sometimes it is supply driven (not according to the training needs assessment) and sometimes its demand driven. In addition there are seminars and workshops.

Other aspects of capacity building include retooling (purchase of computers and vehicles).
$17 per capita is used on capacity building.

What strategies are being applied to meet your goals?

The strategy of the department is to become more efficient in an environment of limited financing for competing needs. The major issue is to stimulate demand for urban water services. Towns have been clustered; large (lease), small (private operator) and rural growth centres (water authorities under local governments) for easy manageability.

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Person interviewed: *Sabino Okello,*
                           <u>*Personnel Officer*</u>
Name of Interviewer: *Victor Male*
Date of interview: *21-10-03*
Venue: *Kampala*

What are the employee number and gender in DWD?

There are 3 kinds of employees in DWD as shown below

Established staff (134) — Project (Contract) staff (242) — Trainees (change every year depending on demand)
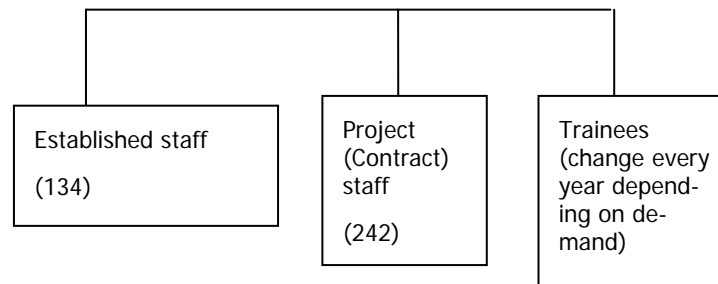
How are employees selected and recruited?

The established staff is recruited by the public service commission, through the Permanent Secretary of the Ministry of Lands Water and Environment

The project staff are recruited by the personnel officer according to demand from project coordinators. They may also be moved between projects according to demand.

Trainees are also recruited through the personnel office. Every project has a vote for training on their budgets. They may later be taken on as project staff depending on their performance as trainees. The rest are recommended to districts for possible recruitment.

Existing function and task requirements for all posts

Every section / project develops its own set of objectives.

Existing performance appraisal procedures

The established staff fills in appraisal forms every financial year, so that deficiencies with financial implications are budgeted for. The project staff fill appraisal forms every 6 months. The trainees are assessed by their supervisors at the end of the training period

Staff turnover and promotion?

There is no room for promotion. Vacancies are filled through competitive selection in which outsiders compete with existing staff interested in the posts. Project staff leave when funds run out.

Regarding turnover of established staff, the most common cause is retirement. But this has not happened in the last 5 years since most of them are young.

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Existing training needs assessment?

Each year, during the appraisals, staff discuss with their supervisors performance gaps and possible training activities to fill them. Training plans are developed from these.

Capacity building activities
- Induction for newly recruited staff, as part of the ministry procedure.
- Co-fund MSc courses, with clearance from the permanent secretary.

Information still required
Capacity building activities and events from the past three years

Please give a general background to the TSUs

TSUs are convenient temporary structures through which the Ministry of Water Lands and Environment (MWLE) assists local governments to plan and implement water and sanitation projects. They were set up in 2000-2001 about the same time that the Ministry of Finance was demanding for value for money from the conditional grants in the water and sanitation sector. The district water office is a new establishment in the districts, (around three years old) and at the time of set up, most were manned by fresh engineering graduates vulnerable to political interference and lacking in planning, budgeting, procurement and contract management skills in a decentralized environment.

However the TSUs could not function properly because DWD did not have enough senior engineers to cover all 8 TSUs. Many of the senior engineers were winding up projects managed by DWD and were reluctant to go back and be stationed up country.

There was also resistance from other departments (such as District Medical Office, and District Health Inspector, who is charged with water quality monitoring) in the districts which wanted to take over the district water office, fearing that this was a ploy by DWD to hold onto responsibilities transferred to the districts under decentralization.

Eventually, Consultants were called in to take over with the view that they would solve the issue of technical capacity as well as convince stakeholders of the temporary nature of the TSUs. The Consultants have not performed well technically, although they are gradually engaging with their tasks. They have also been bogged down by administrative shortcomings from DWD; specifically, operational funds and fees do not come on time.

What is the structure of the TSUs?

The TSUs are set up in the Rural Water and Sanitation Division (RWSD) of the Water Supply Department of DWD. There are responsible to the Commissioner Water Supply. Day- to- day contact is with the Principal Engineer Planning. The TSUs provide advice and support to the district water office on a demand driven basis. Materials and training are developed by the Planning and Quality Assurance Division but are passed onto the TSUs through the RWSD. Consultants are monitored periodically by the RWSD.

Functional relations at the district as follows;
▪ Chief Administrative Officer

Periodic update and discussions on water and sanitation plans, budgets and projects.

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- District Water Officer

Communication of best practices, learning-by-doing training and cross exchanges between districts.

- Collaborating departments

Information sharing.

- Lower local governments (sub-county to village levels)

Train and monitor through the district water office.

- NGOs/ CBOs and, private sector organizations

Ensure increased communication and collaboration between the district water office and NGOs and PSOs

- Donors

Ensure compliance with SWAP at the district level through integration of all WES projects into district plans

- Institutions

Regular liaison and collaboration

Staffing
The TSU team comprises of the following core staff:
- Water and Sanitation Specialist
- Public Health Specialist
- Community development/gender specialist.

Depending on the needs of particular districts, other specialist staff is brought in from time to time. Areas include financial management, institutional development, appropriate technology, monitoring and evaluation and ecological sanitation.

Capacity building activities

An organizational self-assessment has been carried out to identify capacity needs. This culminated into a capacity building plan and strategy for the RWSD.

Information still required
Capacity building plan/ strategy for the rural section

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SNV

Person interviewed: *Isaac Mutenyu,*
                        <u>*Water Engineer*</u>
Name of Interviewer: Victor Male
Date of interview: 05-9-03
Venue: Kampala

Give an general background of the programme
SNV has been implementing a water and sanitation programme from 1990-2001. In 2001 there was a shift with the following changes:

- Broader consideration of the natural resource utilization and management issues moving from specific focus on water and sanitation .This is being implemented through support to district environment departments. Participating districts are Kasese, Kabarole,Kyenjojo, Bundibugyo, Kamwenge, Arua, Moyo, Adjumani, Nebbi and Yumbe.

- Provision of staff to manage TSU1 and TSU6 (11 districts) defined in an MoU with DWD.

- SNV is in the process of developing a new programme in Karamoja (northeastern Uganda)

The programme staff consists of 4 social workers, 1 civil engineer and 2 environmental managers. Two extra staff are collecting baseline information for the Karamoja programme

How and what capacity development activities undertaken by your programme?
Capacity needs in the TSUs are generated from annual self-assessments by the districts and an centre assessments by DWD which are incorporated into district Poverty Alleviation Fund (PAF) work plans.

Support is by learning-by-doing under the supervision of SNV staff. Coordination is done by the TSU secretariat at DWD, and meetings with all TSUs are held every quarter to share experiences, and present accountability of funds.

Hiring consultants may not be suitable for long term capacity development, due to the large overhead costs involved (set up of offices , motor vehicles capital and running costs, fees) Already there are cash flow problems associated with the government procedures for disbursement of funds.

Information still required
Budgets

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Ministry of Education and Sports

Details of meeting

Person interviewed: Eng. H.F. Okinyal,
        Commissioner Business, Technical Vocational Education & Training (BTVET)
Name of Interviewer: *Victor Male*
Date of interview: *17-9-03*
Venue: *Kampala*

What is the role of this ministry in developing curricula for higher education?

Curriculum development is the legal responsibility of the National Curriculum Development Centre. The Uganda National Examinations Board (UNEB) is responsible for exams but can only examine courses developed by NCDC which is semi autonomous from MoES but has budget and manpower problems. That is why the curriculum for technical colleges has not changed. A review is being done for one or two colleges although this is not nationwide (e.g. Bushenyi Technical College).

What is your comment on capacity building in the water and sanitation sector?

Water is still problematic. There is no certificate level (below diploma in water engineering) and water resources and energy issues are not covered at the lower levels. The Health and Agriculture sectors are in the process of reviewing curricula MoES is supporting this by providing funds for stakeholder workshops and involvement of NCDC and UNEB and Kyambogo Institute for Teacher Education (ITEK).

Budgets?

The National Council for Higher Education is responsible budgets for higher education. Under BTVET, institutes make budgets that are submitted to the department.

Accreditation

The interested institution/ college approaches Makerere University (MUK), which sends in a mission to assess possibilities according to set out criteria. Curriculum is discussed between the college and MUK and examinations are prepared by Makerere.

How about capacity building regarding sanitation in schools?

This is being undertaken through AMREF with support from Ireland Aid. The role of the MoES is to oversee and regulate.

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National Curriculum Development Centre

Person interviewed: Mr. Mathew Mutto,
                       <u>Senior Curriculum Specialist BTVET</u>
Name of Interviewer: Victor Male
Date of interview: 22-9-03
Venue: Kampala

Give an overview of the mandate of NCDC
NCDC is a semi autonomous (moving towards autonomy) body set up in 1973 to initiate, develop and evaluate curriculum for pre-primary, primary, secondary and post secondary levels, develop specimen exams for UNEB and to train teachers on methodology and content awareness.

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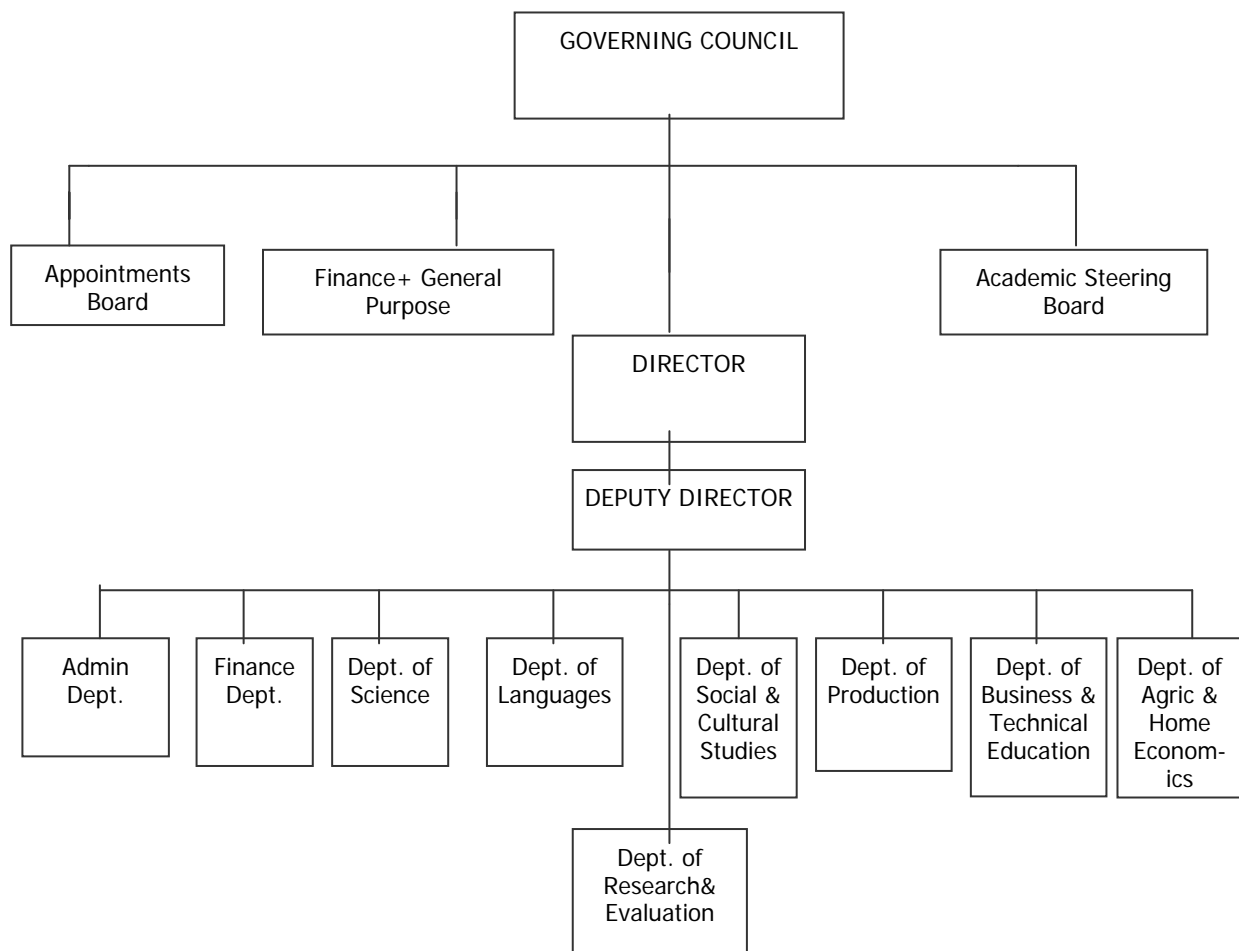
What is the process of curriculum development?
NCDC has been using the "British" city and guilds system where questionnaires are sent out to industry to determine relevance of curricula, content etc., with associated problematic results. However there is a shift to the so called DACUM system adopted from Canada in which stakeholders (supply and demand) come together in a workshop setting to discuss key issues and content of curriculum every five years. This however has not been happening due to funding constraints. In the case of wa-

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ter, in 1990, there was a review, in which WaterAid, NWSC and RUWASA came together to discuss the content of the diploma in water engineering course, specifically some of the mathematics was removed.

What are the activities being undertaken presently?

A new policy is being developed (it is in draft form now). Key features are the involvement of stakeholder in curriculum development, and in contributing funds towards the continued development of curriculum in a form of education tax for industries.

NCDC is developing a qualifications framework with support from German Development Cooperation (GTZ) and Japan International Cooperation Agency (JICA). This is intended to guide all providers of capacity building outside the formal government set up (NGOs, private sector). Experiences from Zimbabwe are being used to inform this.

The primary curriculum is being reformed. Main change is the introduction of Integrated Production Schemes (IPS) which involves the inclusion of the following subjects:

- Agriculture,

- Entrepreneurship skills and

- Art and Technology

Sixteen community polytechnics are being piloted in different districts. These offer informal education ranging from one day courses to three months or more in the following areas:

- Bricklaying and concrete practice

- Ceramics

- Agriculture.

Interestingly no water related course (e.g. hand pump maintenance) is being offered in these community institutions

What constraints do you face in delivering your services?

- Poor facilitation (funding). Consumers will have to come in contribute towards this.

- Technical education is expensive and its difficult to obtain equipment for training students

- The quality of teaching staff is poor there are many cases of higher diploma teaching   ordinary and higher diploma students. These need training in teaching.

Japan International Cooperation Agency

Person interviewed: *Mr. Nao Yoshikawa,*
                         Education Advisor
Name of Interviewer: *Victor Male*
Date of interview: *25-9-03*
Venue: *Kampala*

Give me an overview of JICA support to NCDC
JICA has not done much yet but is looking at supporting the qualification framework, whose main support comes from GTZ.

How about the qualification framework?
Since 1998, the Directorate of Industrial Training (DIT), which was responsible for vocational institutions, was transferred from the Ministry of Labour to the Ministry of Education. This has caused some redundancy in the DIT because its mandate in the Ministry of Labour was similar to that of National Curriculum Development Centre (NCDC) and the Uganda National Examinations Board (UNEB), but DIT was responsible for vocational colleges, and NCDC/ UNEB responsible for technical schools[1]. JICA is supporting the reorganization of this so that the market focus is not lost.

GTZ and JICA are trying to form a third independent body which will continue to be market oriented. The initial step is to develop a qualification framework with which this body will work with. In connection to this is the poor funding of the BTVET department in MoES. The framework will be driven by employers who will contribute to activities with periodic stipends. The framework is focusing on vocational, training.

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[1] **Technical College**

More theoretical and supply driven; offers courses which trainees can choose from. Students are willing to study further and attain higher qualifications.
Vocational College

More engaged with the labour market needs. Train students according to demand from employers, so they go off and work immediately

A 42

German Technical Cooperation (GTZ)

Person interviewed: Mr. Tom Buringuriza,
                        Programme Officer, Promotion of Employment Oriented Vocational
                        Training (PEVOT)
Name of Interviewer: Victor Male
Date of interview: 25-9-03
Venue: Kampala

What is the PEVOT project all about?

The German government is providing technical assistance in a number of areas, including water. GTZ has provided T.A. in water, DED provides development workers and KFW has funded water works.

The PEVOT project has been upgraded into a programme, is in its 5th year. Its focus is on output based vocational training and skills development. Currently the education system treats curriculum as an input in the same way as classroom buildings, and text books as opposed to what knowledge and skills the labour market wants. Assessment is eliminative (the so called unfortunate majority) and certification does not require demonstration of skills. This is because the whole education system has always been producing for government which was the major demand centre, and government owned the schools anyway. Because of government's mandate of service delivery, the education system is geared towards the social demand (where trainees determine what they want to pursue) and not the economic demand or the employers and product users demand. Therefore the focus has been on increasing access to this system and not reforming it to be responsive to the market.

PEVOT is designed to equip the unfortunate majority ejected by the assessment mechanisms with skills required by the market with employers and product users as the drivers. Starting from the tasks and duties being performed in the market, the requisite skills, knowledge and attitudes to perform these are used to design curricula and competences in a standard qualification framework recognized by all users which the vocational schools or any other training institution can use to equip trainees with skills. This is being piloted in the ICT sector. PEVOT is willing to cooperate and profile water engineering in the same manner

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Information still required

Reports and TFR relevant documents

A 43

Ministry of Local Government

Person interviewed: Andrew Kizza,
                            <u>National Coordination Unit</u>
Name of Interviewer: Victor Male
Date of interview: 29-9-03
Venue: Kampala

What are the roles and responsibilities of the ministry regarding capacity building at the district level?

The ministry coordinates and develops procedures and systems for capacity building in the districts and their lower local governments (LLGs) under the Local Government Development Programme, which is in its second phase now (LGDP II).

What about the LGDP?

LGDP I (1999-2003) was formulated and implemented to build the local government capacity to manage its function under decentralization. Many activities were implemented, towards capacity building but they were not uniform across districts, making it difficult to monitor and measure impact. Under LGDP II (2003-2006) the ministry is moving towards harmonizing initiatives and making training more effective in local governments.

Under the programme, a budget of 150 million US dollars is planned to be spent on 5 priority programme areas (PPAs) identified in the Poverty Eradication Action Plan (PEAP):

- Roads
- Water Supply
- Education
- Production and
- Health

The district allocation is divided up as follows: 65% goes to the lower local government (sub-county or town council) and 35% remains at the district (local government). For both the LG and LLG, 20% of their respective budgets are stipulated for training. Plans are developed by the districts and sub-counties (in parish development committees) in a participatory manner are funded directly from the ministry.

The Ministry is concerned with the whole district, and capacity building activities are carried out for the politicians and technical personnel, the private sector, and communities. Areas include human resource development, procurement, good governance. The ministry's capacity building unit has developed a standard framework for the training and the production of training materials for Local Governments. In here 26 were identified and clustered into themes to ensure uniformity in training as shown on the table below.

A 44

Clustered Skills Development Training Courses for Local Governments

Cluster	Course No.	Course Titles
1. Management, Leadership and HRD in LGs		
	1	Management and Leadership skills in LGs
	2	Human Resources Management in Local Governments
	20	Training of Trainers
	24	Ethics and Integrity
2. Financial Management and Revenue Mobilisation		
	10	Financial Management for Non Finance Managers
	11	Financial Management: Budgeting & Accounting
	12	Financial Management: Internal control Audit
	13	Revenue Enhancement
3. Procurement, Contract Management, Project Implementation, Supervision and Monitoring		
	7	Procurement and Contract Management
	8	Supervision of Project Implementation
	9	Project Monitoring and Evaluation
4. CSO, Public-Private Sector Partnership and Community Mobilisation		
	4	CSOs and Public/Private sector Partnerships
	16	Community Participation and Mobilization
	18	Computer Skills (ICT)
	19	Data Collection, Records and Data Management
6. Legislation in Local Governments		
	3	LG – Responsibilities in Communication and Information Flow
	15	Decentralization – Local Governments Act and systems
	17	Legislation in Local Councils
7. Development Planning		
	5	Development Planning for HLGs and LGs
	6	Investment Appraisal/Project Appraisal
	23	Urban Management and Planning
	25	Organizational Assessment and Institutional Development
8. Gender Awareness and Training		
	21	Gender Awareness Training
	22	Gender Training (for Gender Focal Point Persons and Community Service Departments (CSDs)
9. Environment Management		
	26	Environment Management

Under LGDP, LLGs have an opportunity to plan, procure and prepare accountabilities for water sources under set guidelines and procedures. Three-year develop-

ment plans or wish lists are made and funded. What is not funded rolled over to the following year. Staffing positions are being filled according to minimum qualifications stipulated by the ministry. Engineers prepare contracts and supervise the development of all civil works. Where staff are unavailable, or when the existing staff are stretched (the district can have up to 200 projects running concurrently) the budget provides for 10% Technical Investment Costs for LGs and LLGs to outsource technical assistance, and 5% for monitoring. Districts and lower local governments are assessed every year by the ministry which uses a 20% "reward or penalty" system to boost budget absorption capacity.

Information still required

Budgets

Kyambogo University

Person interviewed: *Daudi Mugisa,*
                        Ag. Dean, Faculty of Engineering
Name of Interviewer: *Victor Male*
Date of interview: *30-9-03*
Venue: *Kampala*

How is the institution structured?

Kyambogo University is a merger of three former institutions; Uganda Polytechnic Kyambogo (UPK), Institute of Teacher Education Kyambogo (ITEK) and the Uganda National Institute for Special Needs Education (UNISE). It was set up in 2001 under the management of a task force management committee which also provided the Vice Chancellor, Deputy Vice Chancellor, University Secretary and Academic Registrar i.e. the chairman of the task force committee is the VC, and his deputy is the DVC, the 2 members are the university secretary and the registrar respectively. The university council is composed of former councillors of the three institutions. Plans are underway to fill vacant positions.

The university comprises 5 faculties:

- Engineering
- Education
- Arts and Social Sciences
- Business and Vocational Studies and
- Science

Funding is from the Ministry of Finance and private students. An estimated USh 1.6 billion is obtained from private students, USh 1 billion of which is raised from business studies.

How many students?

There are approximately 10,000 students, but this could be lower because students fill in multiple applications (one person may apply for two or more courses or institutions).

What is offered?

The courses that were assessed by UNEB in UPK were semesterised, revised and updated to Kyambogo University diplomas and certificates.

How is the faculty of engineering organized?

There are 3 departments in the faculty:

- Civil Engineering and Building
- Mechanical Engineering
- Electrical and Electronic Engineering

Specifically for the water sector, there is only an ordinary diploma in water engineering but the higher diploma in civil engineering and the Bachelor of Engineering Civil and Building have some water aspects taught. The certificate in plumbing was scrapped.

A 47

How is curriculum decided?

The department may conceptualise a programme based on demand, which is then tabled and justified to the faculty, which in turn passes it to the programmes committee and on to the senate and the council ultimately. Programmes that have maintained or increased student enrolment are more attractive to the faculty because of the funds coming in from private students. However, even though government funding is reducing, government continues to fund some courses which it deems important, even if there is low demand (such as refrigeration and air conditioning) or courses, which are expensive to conduct (in terms of equipment used).

Although programme reviews with key stakeholders are supposed to be carried out every year, this has only been done for the B. Eng due to funding constraints.

Post graduate courses and short courses offered to the water sector?

The changes in status of the institutions, which make KU, necessitated change in the qualifications of the manpower to manage the university. This has not happened for the faculty of engineering, which only has one staff at PhD level. So the post-graduate courses are not offered because of the lack of capacity. Related to this is the non-existence of research programmes in water or any other sector by the faculty.

Parting shot?

With more interaction (with the TFR team), the project is now more comprehendible. The flyer had a lot of jargon making it difficult to understand.
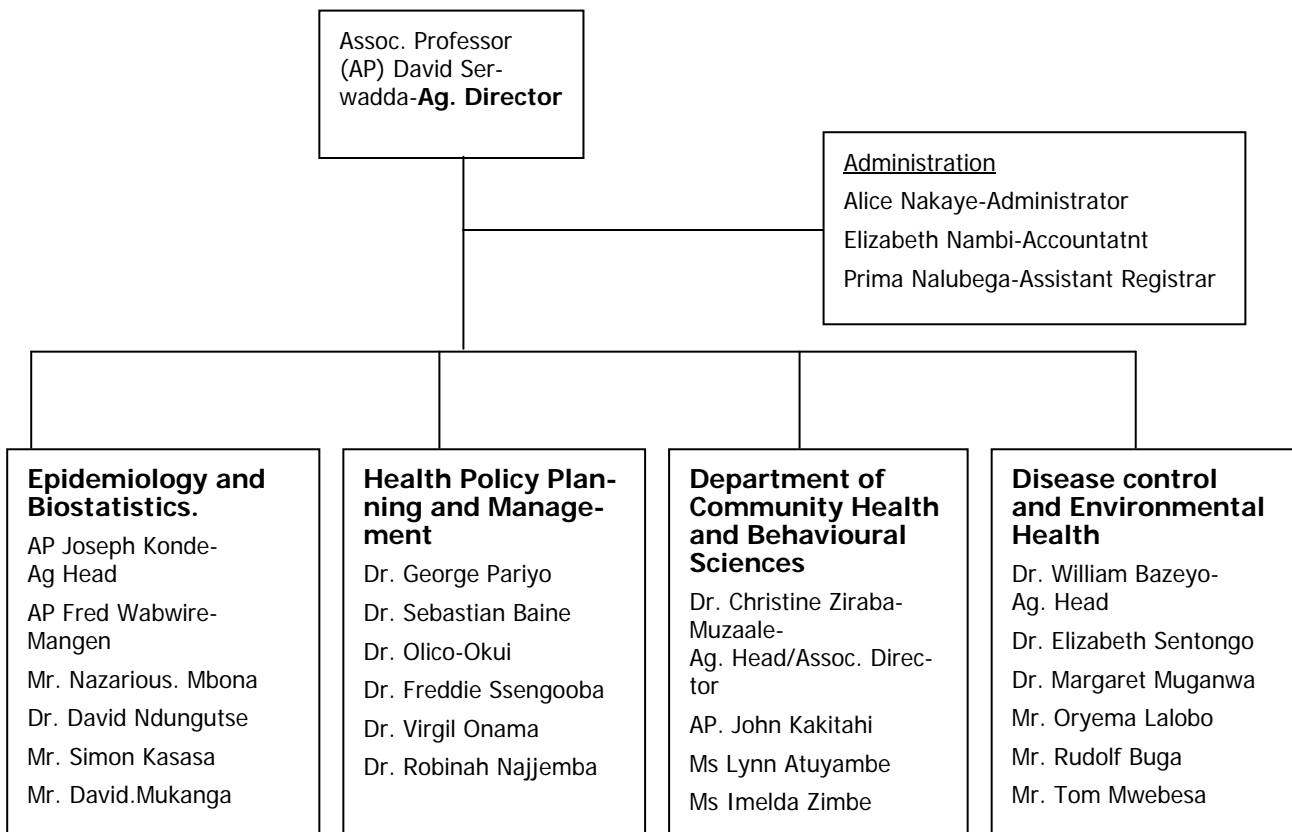
Information still required
Number of staff and gender Course list

Makerere University, Institute of Public Health

Person interviewed: *David Serwadda,*
                             Director, Associate Professor
Name of Interviewer: Victor Male
Date of interview: 04-10-03
Venue: Kampala

How is the institution structured?

The institute gained autonomy from the Faculty of Medicine in 2001 with the mandate of training and research collaboration with the Ministry of Health, other universities, NGOs and the community. It is headed by a Director, and has 4 departments supported by Administrative staff.

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                    ┌─────────────────────┐
                    │ Assoc. Professor    │
                    │ (AP) David Ser-     │
                    │ wadda-Ag. Director  │
                    └─────────────────────┘
                                      ┌──────────────────────────────┐
                                      │ Administration               │
                                      │ Alice Nakaye-Administrator    │
                                      │ Elizabeth Nambi-Accountatnt  │
                                      │ Prima Nalubega-Assistant     │
                                      │ Registrar                     │
                                      └──────────────────────────────┘
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Epidemiology and Biostatistics.
AP Joseph Konde-Ag Head
AP Fred Wabwire-Mangen
Mr. Nazarious. Mbona
Dr. David Ndungutse
Mr. Simon Kasasa
Mr. David.Mukanga

Health Policy Planning and Management
Dr. George Pariyo
Dr. Sebastian Baine
Dr. Olico-Okui
Dr. Freddie Ssengooba
Dr. Virgil Onama
Dr. Robinah Najjemba

Department of Community Health and Behavioural Sciences
Dr. Christine Ziraba-Muzaale-Ag. Head/Assoc. Director
AP. John Kakitahi
Ms Lynn Atuyambe
Ms Imelda Zimbe

Disease control and Environmental Health
Dr. William Bazeyo-Ag. Head
Dr. Elizabeth Sentongo
Dr. Margaret Muganwa
Mr. Oryema Lalobo
Mr. Rudolf Buga
Mr. Tom Mwebesa

Also located in the institute in the Regional Centre for Quality of Health Care (with 5 staff). It is charged with regional promotion of best practices through networking and short courses in quality assurance, logistics management, and health economic evaluation and a post graduate diploma in Quality of Health Care.

How many staff?
29

What courses are offered?
- Epidemiology
- Biostatistics

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- Demography and population dynamics
- Research methodology and computer applications
- Health Systems Management
- Public Health Policy
- Health Planning
- Public Health Administration
- Public Health Legislation
- Health Promotion and Health Economics

Short courses are offered to districts and health agencies on demand (these have not been started yet). Areas include Planning and Budgeting, Monitoring and Evaluation, Personnel Management and Hospital Management, 9-month Diploma in Health Services Management. The institute is in the process of developing a pro-spectus

Any courses developed for the watsan sector?
None

Any links to the supply side~ knowledge of employment destination data?
Ministry of Health participates in the selection of students, and gives input on the teaching methods and material for ministry staff intending to upgrade. Also students go on placements in the abattoirs, garbage collection departments, and NWSC (sewerage). However, there are no links between other stakeholders such as city council or sanitary engineers in the Civil Engineering Department.

Digest on watsan /community public health research
Research is mainly in the rural areas in the following fields:
- Morbidity and Mortality associated with poor waste disposal
- Impact of improved sanitation on health indicators

Cross departmental initiatives
Very limited

Documents obtained
Bachelor of Environmental Health Science Curriculum

Information still required
Job descriptions of key staff.

A 50

Ondeo Services Uganda Limited (OSUL)

Person interviewed: Margaret Laki,
                      <u>Human Resources Manager</u>
Name of Interviewer: Victor Male
Date of interview: 22-9-03
Venue: Kampala

Give an overview of the technical staffing in this company

Staff category	Number
Engineers	4
Surveyors	3
Technical Supervisors	14
Plumbers	68

What capacity building activities are carried out?

Although there is a training plan, it cannot be implemented because training is longer term than the present contract period. The current contract ends in February 2004. For this reason, the main focus of Ondeo was on other sections of the contract: reducing unaccounted for water, meeting collection targets, and improving the billing system. Training programme is being revised to fit into the short term nature of the contract.

Documents provided
- Job descriptions of technical staff
- Training programme

Information still required

Contract details, especially HRD requirements.

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Ministry of Gender, Labour and Social Development

Person interviewed: *Beatrice Ayikoru,*
Name of Interviewer: *Victor Male*
Date of interview: *08-10-03*
Venue: *Kampala*

What is the structure of the ministry?
(Provided)

What activities does the ministry in regard to water and sanitation undertake?
The ministry is concerned with two components:
- Gender mainstreaming; ensuring that gender issues are included in water and sanitation programmes
- Community participation; ensuring that beneficiary communities actively participate in projects

This is being carried out at all levels. At the national level, dialogue is with the Ministry of Water, Lands and Environment, (MWLE), specifically with DWD the lead sector agency. At the district, a community development office coordinates this function. There are community development assistants, voluntary Women and Youth councils which are charged with mobilization

What is the process for the development of participatory materials for the water and sanitation sector?
Currently the sector utilizes 2 hand books (copies provided). One deals specifically with technical issues, and the other with software issues. The Ministry took the lead in their development. A technical committee consisting of UNICEF, DWD, Ministry of Health, SNV district representatives and UWASNET supervised a Consultant to develop the hand books. The books contain materials harmonized for coherent intervention into communities by NGOS, private sector and local governments. The review period is 5 years. But currently the Ministry is in the process of developing standards for the materials development to avoid conflict in the communities by the different actors. At the moment, no framework exists, for review and quality assurance. Yet some NGOs are using materials developed 20 years ago! An inventory of materials in circulation is being carried out coordinating through the water sector working group.

Documents provided:
- Draft inventory of materials
- Water Supply and Sanitation Handbooks Volumes I & II
- Structure on the Ministry
- Structures of Women and Youth Councils
- Guidelines to operations of Youth Councils

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Faculty of Technology, Makerere University

Person interviewed: *Michael Kizza, Department Civil Engineering,*
                        Water Resources and Environmental Engineering Section
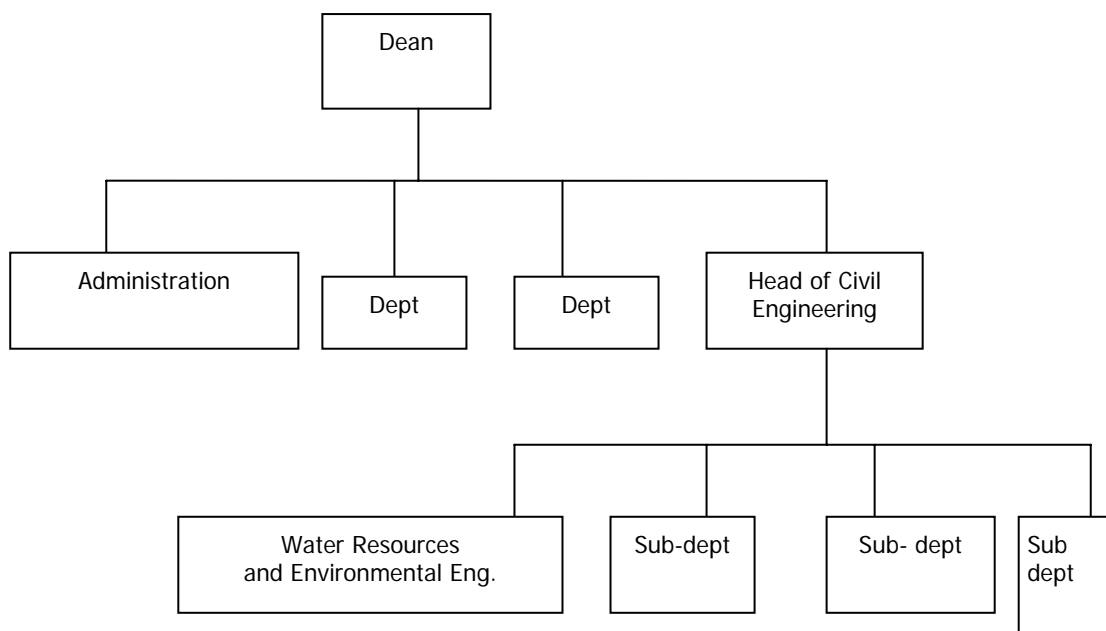*Name of Interviewer:* *Victor Male*
Date of interview: *13-10-03*
Venue: *Kampala*

How is the faculty organized by department?
The faculty has departments of Civil, Electrical and Mechanical Engineering as well as Architecture.

The faculty is structured as follows:

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                          │  Dean   │
                          └─────────┘
           ┌──────────────────┬──────────┬──────────────┐
    ┌──────────────┐    ┌────────┐  ┌────────┐  ┌────────────────┐
    │Administration│    │  Dept  │  │  Dept  │  │ Head of Civil  │
    └──────────────┘    └────────┘  └────────┘  │  Engineering   │
                                                └────────────────┘
                   ┌────────────────────┬──────────┬──────────┐
          ┌───────────────────┐  ┌──────────┐ ┌──────────┐ ┌──────┐
          │ Water Resources   │  │ Sub-dept │ │ Sub- dept│ │ Sub  │
          │and Environmental  │  └──────────┘ └──────────┘ │ dept │
          │      Eng.         │                            └──────┘
          └───────────────────┘
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The civil engineering department is has 20 staff 4 of whom are women.

Mission, objectives regarding water supply and sanitation
Main activities given instead: To teach under and graduate levels, post graduate research and provision of consultancy services.

There about 300 students (all years) on the civil engineering course 50% are private students.

How is curriculum decided?
For major changes in curriculum, the section/sector/ sub department generates changes, stemming from experiences, in the lecture room and from experiences outside the university. Proposals are tabled to the departmental board, on to the faculty board and then to the senate. Minor changes such as sequence of modules and course content are dealt with at the sub department and department levels.

A 53

What is the range of watsan courses?
- Fluid mechanics
- Hydraulics
- Hydrology
- Water Resources Engineering (1) and (2)
- Environmental Chemistry
- Public Health Engineering
- Public Health Engineering practice

Main Civil Engineering curriculum for graduate and post graduate courses
(to be provided)

Published thesis and journal papers
(to be provided)

Short courses developed for the watsan sector
These are being planned at the moment and will include certificate courses (2-3 months), post graduate diplomas in various fields including: Environmental Impact Assessments, integrated water resources management and water quality management. These are planned to target districts and practitioners in the field. There are thoughts to move to electives for the main course in the near future.

Research
Currently Ph. D research is being undertaken in the following areas
- Monitoring water levels in Lake Victoria using remote sensing
- Development of a regulation model in private-public partnerships
- Planning for sustainable sanitation coverage in peri-urban areas and anthropogenic pollution sources.

Other research interests include:
- Dams and Valley dams
- Water lifting device improvement
- Water management at districts
- Flood and drought management in Uganda
- Water treatment for domestic use
- Solid waste and wastewater treatment
- Industrial wastewater pilot projects

DWD also sponsors innovative applied research from time to time. An links are being developed with researchers in Sweden, Egypt, Netherlands and Tanzania on up coming research projects.

Job descriptions for staff members
Referred to contracts, which are not comprehensive.

Information still required
Published journals and papers

A 54

National Water and Sewerage Corporation

Person interviewed: *Atanasio Tugume,*
                          Principal Training Officer
Name of Interviewer: *Victor Male*
Date of interview: *16-10-03*
Venue: *Kampala*

How is the training function organized in NWSC?
Training in NWSC is coordinated the human resource manager's office through the principal training officer. The principal training officer sits at the training centre and is supported by an administrative officer and a librarian.

What is the process for identifying training needs in NWSC?
In conjunction with heads of departments and area managers, training needs are identified once a year using the following methods:
- Direct interviews with staff
- Questionnaires
- Assessment by area manager/head of department

From these assessments, training plans are drawn up.

How and what capacity development activities undertaken by the centre
A training policy is being developed by the organization. However, NWSC emphasizes multi-skilled nature of staff so that the absence of key staff does not bog down operations. Staff in an area office is trained on all aspects of operations by rotating them through the different sections.

For the needs identified in the annual assessment, training may be decentralized into zones, to cut costs and enable the training of more staff. Headquarter staff are trained at the centre.

Training is carried out on the following:
- Financial planning
- Quality control
- Supervisory skills
- Result oriented management
- Firefighting

Training methods include: Conferences, workshops, seminars and MSc courses.
Training staff come from within NWSC, but outsourcing is carried out as well.

The centre also provides both short and long term training for other organizations such as DWD. NWSC bids competitively for these contracts. Training areas include induction of newly recruited engineers, financial planning and quality control.

Other activities include industrial training for Makerere and Kyambogo Universities and other technical schools and institutes (About 200 students per year). Some of these students may be taken on to work for NWSC. Preference is on Kyambogo students who fit in well in the practical aspects compared to their Makerere counterparts.

A 55

Training impact assessment is done at the end of each training by assessing views of trainees expressed through filling of questionnaires.

Links with Ondeo Services Uganda Limited (OSUL)

Former NWSC staff from the technical areas in the OSUL contract (such as billing, maintenance) was passed on to OSUL. NWSC provides funds ~1.5 million shillings per month for training (for example of plumbers) but this is not being carried out. OSUL is not interested in training. NWSC is pushing for these aspects of the contract to be fulfilled by Ondeo. In some cases staff passed on to OSUL are in fact more technically competent than their managers and that training may increase this gap. All OSUL staff need training in customer care.

Budgets?

The centre receives about 180 million shillings every year. Staff training is also funded by the World Bank and GTZ on specific projects.

Person interviewed: Nelson Okwir,
                         <u>Area Manager Tororo Town NWSC</u>
Name of Interviewer: *Brian Reed/ Victor male*
Date of interview: *08-03*
Venue: *Tororo*

Background

Tororo is a medium-sized town in the Southeast of the Country. The town water supply is managed by the parastatal National Water and Sewerage Corporation (NWSC). It is one of the smaller towns managed by NWSC, although recently the Corporation has taken on additional towns that used to be under the care of DWD. Tororo has a population of about 45,000 (?), with 1,725 water connections and 147 sewerage connections. The water comes from the river and both water and wastewater receive treatment.

The Organisation has 26 employees locally. The Area Manager has an MSc and the Accountant is a graduate. There is no engineer. Staff have received in-house courses – for example on TQM. The Water Supply Superintendent and the Lab Technician have diplomas from Kyambogo and the Shift Overseer and Senior Commercial Assistant also have diplomas in electrical engineering and accountancy respectively. Eight technicians have craftsmen certificates and three plumbers have certificates as well as receiving training on the job. Plant operators are trained in house at Bugolobi Training Centre. Job descriptions are available for each member of staff[2].

There is no local budget for HRD, but USh 150,000,000/= is allocated nationally for training and training does take place locally – for example a course on safety and fire fighting is being prepared. The HRD manager does visit Tororo.

Future plans and constraints

Areas requiring development are water distribution management, general managerial capabilities for heads of sectors (diploma level staff), such as supervision of staff and a general upgrading of financial management. A major constraint to the organisation locally is the narrow revenue base, with low demand for water. The organisation does not break even but does meet the full operating cost. This is due to a mixture of factors, such as the presence of alternative water sources, economic activity and general poverty. Only 40% of water supply capacity is used. Current efforts to expand the distribution system, especially to low-income communities, do not provide much tangible, economic benefit. A possibility is to provide bulk water supply across the border to Kenya.

Marketing training would be useful; at the moment this is part of the commercial and customer care division and little support is available. However activities are being tried to boost connection rates, with public announcements (using a music system on a pick-up truck) and raffles for people who are connected (recently a kiosk operator won a bicycle). It is recognised that disconnections are not a useful activity.

There is a general need to be made aware of what other organisations are doing in this field.

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[2] See NWSC Job Descriptions Vol 1 (Finance and Management) and Vol 2 (technical) by George Ayee, June 2000. Subsequently it was found out that these are being superseded by the "Stretch Out Programme".

A 57

Mbale School of Hygiene

Person interviewed: *Paulo O Oluka,*
                            <u>Principal Mbale School of Hygiene</u>
Name of Interviewer: *Brian Reed/ Victor Male*
Date of interview: *08-03*
Venue: *Mbale*

Background

The school is located on a purpose-built campus outside the town of Mbale, in the East of the country and was founded in 1959. It trained students for the qualification of "East African Health Inspector" – accredited under the colonial administration and, after independence, under the East African Community. In 1967 the graduates received an internationally recognised qualification under the UK Royal Society of Health. In 1971 the qualifications came under the East African University Council, but after the breaking-up of the East African Community in 1977, the accreditation was transferred in practice (if not in writing) to Makerere University in Kampala. In 1992/3 the University withdrew accreditation as there had been no formal agreement, but, after complaints from the students, this was reinstated in practice, although the situation has still not been settled administratively with legal affiliation. The Head of the Civil Engineering Department of Makerere University sits on the School board (?).

The Ministry of Finance fund the School directly (except when funds were diverted because of President Bush's visit!), with policy in theory under the Ministry of Education and Sport. Lack of expertise in the Ministry limits activity in this area.

The School currently trains 60 students a year for the diploma for Health Inspectors and 60 students for the certificate for Health Assistants. Copies of the curriculum are with the Ministry of Health. Although no records of where students go to after graduation are kept, they are mostly employed by district authorities, NGOs, private consultants (who are in turn employed by districts) and health training institutions.

Recently partnerships have been set up with WaterAid and the Austrian-funded South-West Towns Water and Sanitation Project in Kabale to provide funds and opportunities for practical experience.

The school has five teaching staff, including the Principal. The Principal has a Master of Public Health Degree and one other staff member is currently studying for a degree. All staff have Health Tutor Diplomas from Arusha (Tanzania), which provides a teaching qualification.

Future plans and constraints

The School currently has no laboratory facilities. At the moment students are trained at the government health lab., which costs USh 120,000/= per pupil. A submission is being presented to WHO. The lecture rooms also need to be enlarged, as they were designed for 20 rather than the current 60 students. Books and computers are in short supply.

A 58

Funding is a general constraint, especially for the final exams, as money has to be reserved from the monthly income to pay for the end of year exam and accreditation expenses.

Whilst the opportunity with WaterAid is providing practical experience at the moment, this activity needs to be put on a more sustainable footing.

With respect to staff development, diploma graduates should not be teaching diploma students, so HRD is needed in this area.

There is also a desire to share knowledge and experience with similar institutions (for example in Kenya or South Africa), in order to improve practice.

St Joseph Technical Institute, Kisubi

Person interviewed: Nsubuga Kimeze Lawrence[3],
 <u>Principal</u>
Name of Interviewer: Brian Reed/ Victor Male
Date of interview: 08-03
Venue: Kisubi

Background
St Joseph's Technical Institute was founded in 1911 in Kisubi, between Entebbe and Kampala. It has capacity for 550 students, with 30 teaching staff and 20 non-teaching staff. The teaching staff have teaching certificates, with 5 holding diplomas in teaching and one with a degree in education.

The Institute offers courses in block laying, concreting, electrical work, motor vehicle maintenance and plumbing. The full courses last two years, for students who have completed "O" level (senior 4) or senior 6, with craft level in the first year and advanced craft in the second year. The curriculum is covered under the Ugandan National Examination Board.

Funding is both public and private, with a 50:50 split in theory, but currently "window 1" (government sponsored pupils) provide USh 74,000/= a term and "window 2" (privately sponsored – often by parents) provide USh 120,000/= a term.

No record is kept of where students go after training, but it is believed that they work at community level and are often self-employed.

Efforts to set up a partnership with a Norwegian college were frustrated by slow government accounting procedures. There are no formal industrial links, but students are expected to find a work placement between craft 1 and craft 2 training.

The institute is now mixed, welcoming girls onto its courses since 2001

Future plans and constraints
The Institute has plans to up grade to a college with a wider variety of courses such as decorating and electronics, and to improve its dining facilities.

Evening courses have recently started.

Production units have been established, to put student skills into practice. For example the carpentry unit now produces beds for sale to the public. This improves income generation and allows facilities to be upgraded.

Apart from financial constraints there are few constraints. Investments are required to provide tools, a vehicle and a dormitory for girls. The institute has plenty of land available for expansion.

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[3] Additional information was taken from the 2002 prospectus of the Institute, edited by Ngolobe Francis

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Ministry of Public Service

Person interviewed: *Adah Kabarokore Muwanga*
                                 <u>Commissioner HRD</u>
Name of Interviewer: *Brian Reed/ Victor Male*
Date of interview: *10-11-03*
Venue: *Kampala*

Mandate

The Ministry operates under government Standing order Chapter 1, Section J, but this is being revised and currently under review by cabinet. The revisions emphasise a systematic approach, bringing in a new policy that is more organised and fills gaps.

Emerging initiatives

Examples include bonding of public officers so sponsorship or grants for training would have to be refunded if the recipient leaves the civil service before three years after the training.

HRD needs to be seen to make a difference, with reports via the line manager and through implementation that can be evaluated before, during and after the training. Performance appraisals will assess officers on set targets.

CaPEP

The Capacity and Performance Enhancement Programme (CaPEP) is due to start in July 2004 following publication of details by March 2004. A centralised fund for all ministries in central government will enable demand driven training based on PEAP objectives. This takes a broad approach, not just focusing on training but reviewing structures as well. Funds will be available to allow consultant support.

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M&E Associates (Private sector consultants)

Person interviewed: *Nelson Doruga*
                        <u>*Director*</u>
Name of Interviewer: *Brian Reed/ Victor Male*
Date of interview: *05-11-03*
Venue: *Kampala*

Staffing
Of the 24 staff, 12 are involved in the water sector. Of these 1 has an MSc (Michigan, Water Resources), 6 have Bachelors degrees (4 Makerere, 1 Loughborough UK and 1 Nairobi) and 6 have technical qualifications (OND and HND from (Kyambogo). Three are also members of UIPE with one attending meetings regularly. Two of the technical staff are going to evening classes to upgrade their qualifications to degree level.

No training is provided and there is no training budget. However staff who leave to upgrade their qualifications are guaranteed a job on return. Currently former members of staff are studying in the UK, Ireland and South Africa.

Technician level staff from Kyambogo perform satisfactorily after some initial orientation, mainly working on ACAD. Staff joining the company at this level normally have work experience elsewhere so know the job before starting.

Capacity building
Graduate staff from Makerere however take one or two years to get onto the right track, as their work needs to be checked, tasks explained and work in the field is unfamiliar and bewildering. They learn and adapt quickly. They cannot just be given a TOR and expected to do the work. The know the technical side but are not very familiar with Bills of Quantity, Contracts and specifications.

They have to learn these on the job, but there is often not time to explain and check contract work, so there are few learning opportunities.

Other areas that could do with improvement is a knowledge of economics and finance. This would be a priority for training. Socio-economic work is normally sub-contracted to social scientists, but there are poor links with engineers and so the younger members of staff have difficulty in relating to the subject. Environmental issues are understood but engineering staff do not have a great interest in the area so work is sub-contracted. The level of understanding however is acceptable.

Courses for members of staff should be short (one week) or evening classes, as commercial realities mean staff cannot be spared for long periods.

Comments on other institutions
Client organizations seem to have staff who are managers before they have learn the "nuts and bolts", so are making decisions without relevant (design) experience. They have plenty of access to training and conferences but need to get their feet dirty.

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Pearl Engineering Company Ltd (private sector contractors)

Person interviewed: Gumisiriza Birantana
<u>*Managing Director*</u>
Name of Interviewer: Brian Reed/ Victor Male
Date of interview: 07-11-03
Venue: Kampala

Staffing

The firm has 32 staff but up to 187 employees depending on workload. 30% of this work is in the water sector. There are 4 engineers with Bachelors degrees from Makerere University, 3 higher Technical diploma holders and 4 ordinary level technical holders (2 from Nairobi and 5 from Kyambogo). One member of staff belongs to UIPE. There is no formal training, but an employee is taking accounting evening classes.

Staff are not recruited straight from university but even those with 2 or 3 years experience need on the job training. Recruitment is normally made on a basis of experience, qualifications and tests. A graduate has been working for 6 months on a private placement, receiving some remuneration. Technicians normally are experience when they start work; graduates are less well prepared but learn fast.

Capacity needs

Experience before university would be useful. Universities teach research and laboratory practice, not site realities. Knowledge of finance, management, economics and business management would be useful. Work does not really include community involvement.

A training course on site management is needed.

Views about the sector

Consultants are well qualified but need experience as consultants and need accreditation for quality, so a graduate with only 3 or four year's experience is recognised as such.

Clients; local government are poor payers, so more work is done for petrol stations at the moment. Only a limited experience on central government contracts, but need to be more aware of the sustainability of schemes – they appear expensive.

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District Engineer

Person interviewed: *Joseph Buyinza,*
                        District Engineer Jinja District
Name of Interviewer: *Victor Male*
Date of interview: *20-8-03*
Venue: *Jinja*

Give an overview of the district engineering department
There are two sections in this department namely Works and the National Mechanical Workshop.
The works department is responsible for rehabilitation of district roads, water works and construction and rehabilitation of buildings. The mechanical workshop carries out mechanical repairs (motor vehicles and road equipment) for 22 eastern districts of Uganda.

The works department has the following technical staff:

Staff category	number
Engineering degree	2
Higher diploma (HD)	4
Ordinary diploma (OD)	3
Artisans (learned on the job)	6

Staff at HD and OD level carries out day to day supervisory tasks, overseeing the work of the artisans. They do not perform any managerial duties. Artisans are mainly roads inspectors, and mechanics.

Because of privatisation, all works are contracted out. This reflected in the new approved structure from the Ministry of Public Service which is smaller, some departments such as urban and land offices have been scrapped. Privatisation requires that the district engineer's office require new skills.

The district engineer is funded through three main routes
- By the Ministry of Finance through the Ministry of Works for roads rehabilitation
- Directly by the Ministry of Finance for periodic and routine maintenance of roads.
- Some activities (small budgets)are funded from local revenues collected by the district

What Human resource development activities are carried out by you department?
Seminars and workshops at the Training School (Mbale Elgon Technical College ~ METC) under the following subject areas: Estimation and execution of labour based methods, and contracts management.

DANIDA has funded training to the water office in water quality monitoring

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Water office is also supported by the TSUs from DWD on surveying of water sources.

The water office trains hand pump mechanics at the community level, but these sometimes hold communities at ransom.

METC, Kyambogo University and Wairaka Technical College send students for industrial training (placement) annually in mechanical and civil works.

Future plans
- Increase the number of computers (from three) in the department
- Train accounts assistants (who are at diploma level) in advanced financial management
- Train engineers in contract management

Constraints
- Political interference in the procurement process. The district tender board awards tenders to companies of low capability, which necessitates increased supervision from the engineering department.
- Generally low contracting capacity of private firms; many local firms lack even basic equipment such as mixers, vibrators. This results in overloading of the few capable contractors, which slows the rate of implementation.
- A lot of time is spent attending workshops.
- Ministry of Finance is not consistent in the timing of releases to the district. Coupled with the long procurement process, the result is rushed implementation, or under implementation.

District Water Office

Persons interviewed: *Alfred Wambuzi,*
                            <u>*Water Engineer Jinja District*</u>
                            David Mwase,
                            <u>*Assistant District Water Officer in charge of Water Supply*</u>
Name of Interviewer: *Victor Male*
Date of interview: *20-8-03*
Venue: *Jinja*

Give an overview of the Jinja District Water Office

The water office is responsible for the planning and provision of rural water supplies in the district's rural communities. The main technologies are boreholes, hand dug wells, auger wells, motorized drilled wells, springs and rain water harvesting. Actual construction is carried out by private contractors who are awarded the jobs by the district tender board and are supervised by the district water officer.

The office is staffed as follows:

staff category	number
Engineering degree	1
Advanced diploma	2
Ordinary diploma	3 (secretary, store keeper and accounts assistant)
Other degree	1 (BSc Economics) planning and monitoring officer

What human resource activities are carried out by the office?

- Workshops by DWD, Ministry of Finance (budget framework), Ministry of Local Government and TSUs (contracts management), SWIPCO (contracts management)
- Occasionally, DWD gives scholarships to the water officers to pursue MSc courses
- Individual /personal initiatives by the staff.

Constraints

- Congested office- however a new office is being constructed with funds from DWD.
- Inadequate social mobilization skills. There is no sociologist or sanitation specialist employed by the office. This has led to poor community management of installed facilities and their eventual breakdown.
- No county water officers- which make supervision of contractors and community management difficult
- Inadequate transport
- Unaware of what NWSC is doing yet in Budondo, Kakira and Mafubira subcounties NWSC and DWD have projects there.
- Funding~ who decides how much the district ends up getting? Because approved budgets are sometimes cut which affect operations. For instance there are 700 safe water sources and all of these have to be monitored at least twice a year but there are no logistics, reagents and staff to do this.

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Busoga Trust

Persons interviewed: *Fred Bangu, <u>Project Manager</u>*
                        Johnson Waibi, <u>Operations Manager</u>
Name of Interviewer: *Victor Male*
Date of interview: *20-8-03*
Venue: *Jinja*

Give an Overview of Busoga Trust

Busoga trust is a Christian Charity registered in the UK and Uganda. In 1999, Busoga trust evolved into an NGO, from the development arm of the Busoga diocese, which had been providing safe water and improved sanitation to rural communities since 1982. The links with the Church of Uganda are still strong as portrayed in the mission statement.

Activities are carried out in Luweero, Nakasongola, Kamuli, Jinja, Bugiri and Mayuge and include the following:

- Hydrogeological survey
- Shallow well construction
- Drilling boreholes
- Hand augured wells
- Supply and installation of hand pumps
- Organising replacement parts and local mechanics for their on-going maintenance
- Rehabilitation of failed wells and boreholes
- Spring protection
- Water quality analysis
- Rain water harvesting (both roof and rock catchment
- Pit latrine construction
- Building construction (schools, health centres etc)

Staffing in the Jinja project office is as follows:

staff category	number
Engineering degree	1 (Project Manager)
Advanced diploma	1 (Operations Manager)
Ordinary diploma	1 (Technician)

Responding to the changes in the sector

Until 2001, Busoga trust depended entirely on donors such as EU, DFID and other Christian groups for direct funding. Since the sector wide framework was put in place, all donors put all their funds in one pot at the Ministry of Finance (basket funding). Busoga trust adjusted to these changes by registering a company (Multi Development Consultancy and Technical Services) to bid competitively with other private sector players for SWAP funds at the district. There are problems associated with this move. An audit carried out on the company revealed operational losses.

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The project manager specifically mentioned the lack of contract and business project management skills.

Human resource development activities
Before SWAP HRD was not popular with donors except for short courses for secretaries and the accounts staff (financial management). The focus now is on competing for contracts under SWAP and capacity building is not planned for although Busoga Trust can now apply for NGO capacity building funds through participation in UWASNET activities.

Partners
There is a placement programme for sociologists from Scotland (who fund the construction of 4-5 wells through the community management process) and Makerere University. Industrial training for students from technical institutions including Kyambogo University, Iganga Technical Institute, Mbale Elgon Technical College and Wairaka Technical Institute.

Future Plans
- Develop technical capacity in borehole drilling technology, and purchase drilling rigs. Develop capacity in gravity water supply technology, under ground tanks, ferro cement tanks, water quality testing and structural works.
- Continue to lobby for funds for the NGO arm by submitting proposals to the board of trustees. Operate the company profitably so that it can fund the NGO community activities.

Constraints
- Transparency in the procurement process-discounts reduce profits
- Poor contract and project management
- Company paying the high overheads of an NGO.

NETWAS -U

Person interviewed: *Janet Elogu*
                          <u>*Senior Programme Assistant*</u>
Name of Interviewer: *Brian Reed/ Victor Male*
Date of interview: *07-11-03*
Venue: *Kampala*

Staffing

The staff consist of 2 contract staff, 2 casual staff, 2 associate trainers and a director (post currently vacant). The director is expected to have a degree in civil engineering/ social science or health and water, NGO or government experience. The senior programme assistant (admin) has a diploma in business administration and certificates. Trainers have degrees and experience in the water sector and are normally drawn from other organisations (e.g., DWD, MoH, Mbale)

Activities

The organization carries out training, consultancy, dissemination, resource centre work, research and advocacy.

Training includes both scheduled and tailor-made courses based on local versions of NETWAS international work. They target district water officers, community workers, health officers, NGOs and sometimes DWD staff. Some courses are poorly attended and they need more than 10 attendees to break even. Last year 60 people were trained, 40 for the Lutheran World Federation

Gaps in capacity

Trainers' skills are generally OK, but full time trainers would be more cost effective. Trainers go to Kenya for experience and use Kenyan training manuals. Where skills are missing, expertise can be brought in from Kenya. Participants need practical experience, as their theoretical knowledge is not too bad. Field trips are used to explain safe water chains.

Plans

Planning is made through a strategic planning workshop with staff from branches in Kenya and Tanzania. Some local needs are now being filled by TSUs so plans need to reflect this.

Appendix 4. Case studies

These case studies provide an alternative view of capacity building initiatives, from an initiative rather than an organizational perspective.

The National Council for Higher Education

Rationale

Uganda is seen as a trendsetter in reform and modernization, through the policies of liberalization privatisation and decentralization. This is evident by the dramatic downsizing of civil service, selling off of government owned enterprises, promotion and growth of the private sector, foreign investment and decentralization, of both service delivery and administration. The broad and rapid changes that have been brought by these policy initiatives, have led to general apprehension about the quality and integrity of the results.

In the field of higher education, there have been enormous changes involving expansion and diversification. Some of these changes include; the increase in the number of students from 252 in one institution in 1950, to 55,000 students in 50 institutions, in 2000 and finally to 74,000 students in over 70 institutions in 2003. In qualitative terms this is the creation of new public and private institutions; the establishment of secular private universities, which are for profit; the extension of operations of public universities and many online universities.

Global forces impacting higher education include, the entrance of market forces in higher education provision and the development of digital technology. Globalisation has also blurred national boundaries, making it difficult for countries to design independent national education reforms and initiatives.

The entrance of market forces into higher education has meant that Government's role in providing services has been reduced, the private sector increased and higher education has become increasingly commodified. Students are regarded as consumers and institutions as suppliers. Consequently, thousands of suppliers have come into the business of selling a commodity. As a result, traditional institutions are now facing competition and government or philanthropic organizations, no longer have the monopoly of higher education provision. There is therefore a need for a regulatory framework to protect the quality of higher education provision. This is the rationale of the establishment of the National Council for Higher Education.

Mandate

The National Council for Higher Education is established by the Universities and other Tertiary Institutions Act 2001, with a purpose of streamlining standards of universities and other institutions of higher learning in Uganda.

The objectives of the Act, are to establish and develop a governance of institutions of higher education in order to equate qualifications of the similar courses offered by different institutions, while at the same time respecting the autonomy and academic freedom of the individuals institutions so as to widen the accessibility of high quality standards to students, wishing to pursue higher education courses.

The enactment of the law, was in line with the Government policies of liberalization, decentralization and privatisation. The functions of the Council are thus to:

- Promote and develop the processing of information on higher education.

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- Advise the Minister on the establishment and accreditation of public and private institutions.
- Review applications for the establishment of institutions of higher learning.
- Monitor and regulate institutions of higher education
- Evaluate national manpower requirements
- Ensure minimum standards for courses of study, promote national interests in courses of study and professional qualifications among different type of educational institutions.

Education and National Development

Ugandan policy makers have linked education, particularly higher education to all social and economic development strategies. Education is integral to the following major development plans.

- The Poverty Eradication Action Plan. (PEAP)
- The Vision 2025, which seeks to create a resilient dynamic, integrated diversified and competitive economy; eradicate mass poverty, transform the rural areas and build a critical mass in science, technology, research and development.
- The sectoral plans such as the Plan for the Modernization of Agriculture (PMA) the Health Sector Strategic Plan (HSSP), the Education Strategic Investment Plan (ESIP), the Road Sector Development Plan (RSDP) the Water Sector Reform (WSR) and Energy for Rural Transformation (ERT).

In all these plans, education is regarded as the main instrument for providing the human resources, necessary for the realization of the respective objectives. Although these plans stress the importance of higher education, few if any, define the type of education that is capable of producing the human resources that can contribute effectively to national development.

The National Council for Higher Education is expected to define the type, quality and hence relevance of education. The Council Curriculum Committee is specifically mandated with the task of linking education curriculum with the labour market.

Membership

Members who have been called upon to regulate higher education represent different constituencies and come form diverse social backgrounds. Section 7 of the Universities and other Tertiary Institutions Act, 2001 stipulates that the membership must be constituted as follows:

- A Chairperson of the National Council elected by the Membership and confirmed by the President.
- A Vice Chairperson of the National Council elected by the Membership.
- One representative of the Vice Chancellors of public universities elected from among themselves.
- One representative of the Vice Chancellors of private universities elected from among themselves.
- One representative of Public Universities Senates elected from among themselves;
- One representative of Private Universities Senates elected from among themselves;

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- Two students, one representing Universities and one representing tertiary institutions of whom one shall be a female.
- Four members of religious non-degree awarding institutions appointed by the Minister
- Three representatives, one each from commerce, industry and agricultural sectors;
- Four persons representing other sectors of higher education, at least one of whom shall be a woman, and one a person with disability appointed by the Minister;
- The officer in charge of higher education or his or her representative, from the Ministry responsible for education,
- The Executive Director of the National Council for Higher Education; and
- One person from the public appointed by the National Council for Higher Education.

Planned Activities

The mission of the National Council for Higher Education is to support the provision of quality higher education through teaching and research using modern technologies. This will be achieved by creating a diversified, integrated higher education sector capable of managing the required curricula changes.

The Strategic Plan is premised on ten strategies which include: reform of the tertiary curriculum; increase in ICT capacity and usage, restructuring the higher education sector, developing facilities to cope with surging numbers, establishing a liberal financing mechanism and diversification of resource base. It also includes, quality regulation in the tertiary sector, a functional research program increased access, attraction and retention of staff and putting in place management and governance structures for higher education.

Funding

So far, the funding is by Uganda Government and the activities are still limited. However, several proposals have been written and sent to donors. The response is so far positive.

Leadership

The Executive Director is Prof. Abdul Kasozi was appointed early this year. He will be joined by two Assistant Executive Directors in the last quarter of the year. They are Dr. Joseph Oonyu and Eng Albert Rugumayo. Their brief profiles are as follows:

Prof. Kasozi is Professor of History and was the Vice-Rector of the Islamic University in Uganda. He is a well-known educationalist who has lectured internationally and written several books on history and education, which include the latest one on *University Education in Uganda*.
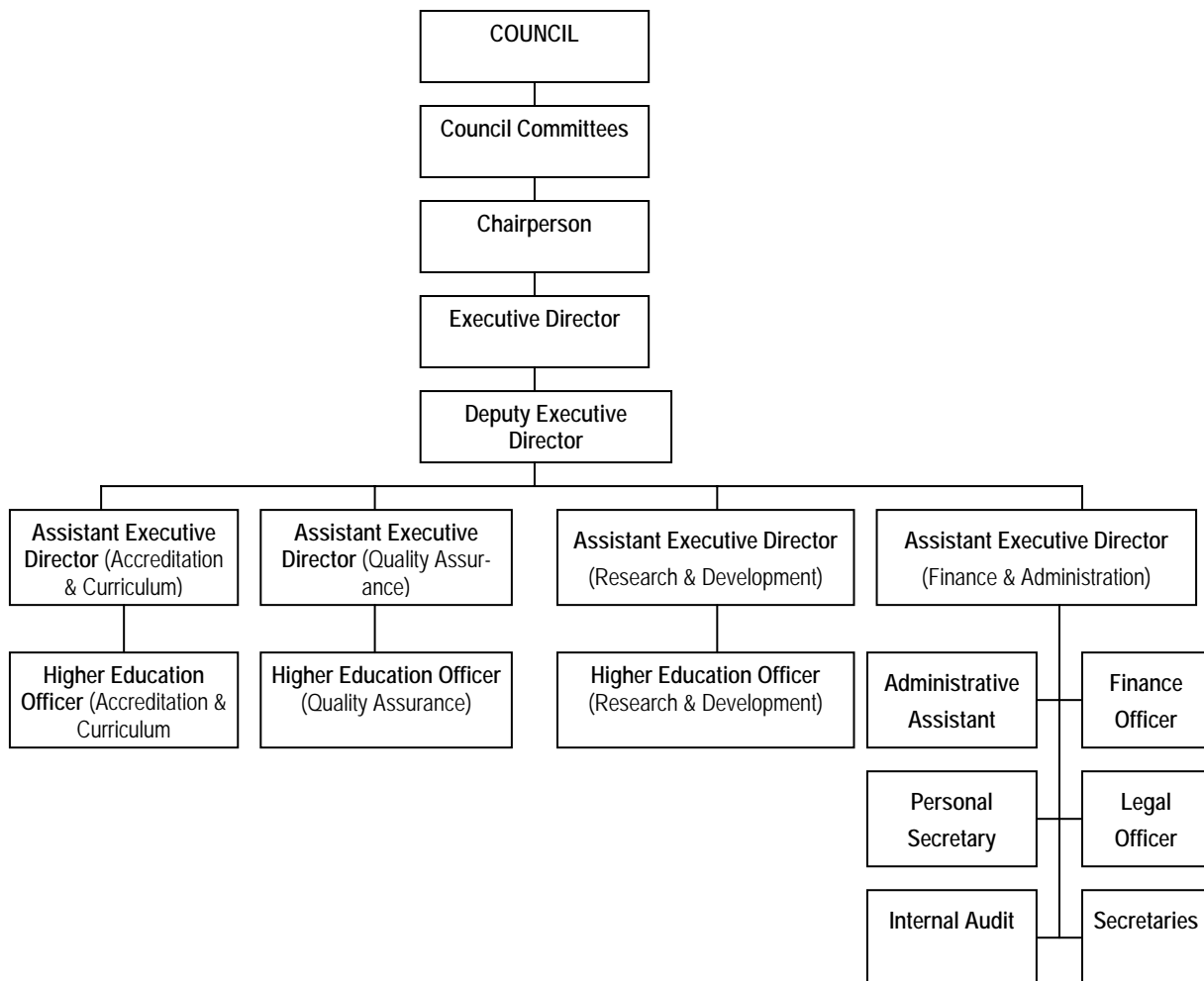
Dr. Oonyu is a Senior Lecturer, Department of Science and Technical, Education Makerere University who specializes in environmental and science education. He has published widely in science and environmental education and curriculum studies.

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Eng. Rugumayo is a Coordinator, Technical Education Project, Ministry of Education and Sports. He is also a Part-Time Lecturer in the Department of Civil Engineering, Makerere University where he teaches water resources engineering, hydrology and professional affairs. He has published several papers nationally and internationally. He is a Past President of the Uganda Institution of Professional Engineers, a Chartered Engineer and a Fellow of the Institution of Civil Engineers U.K
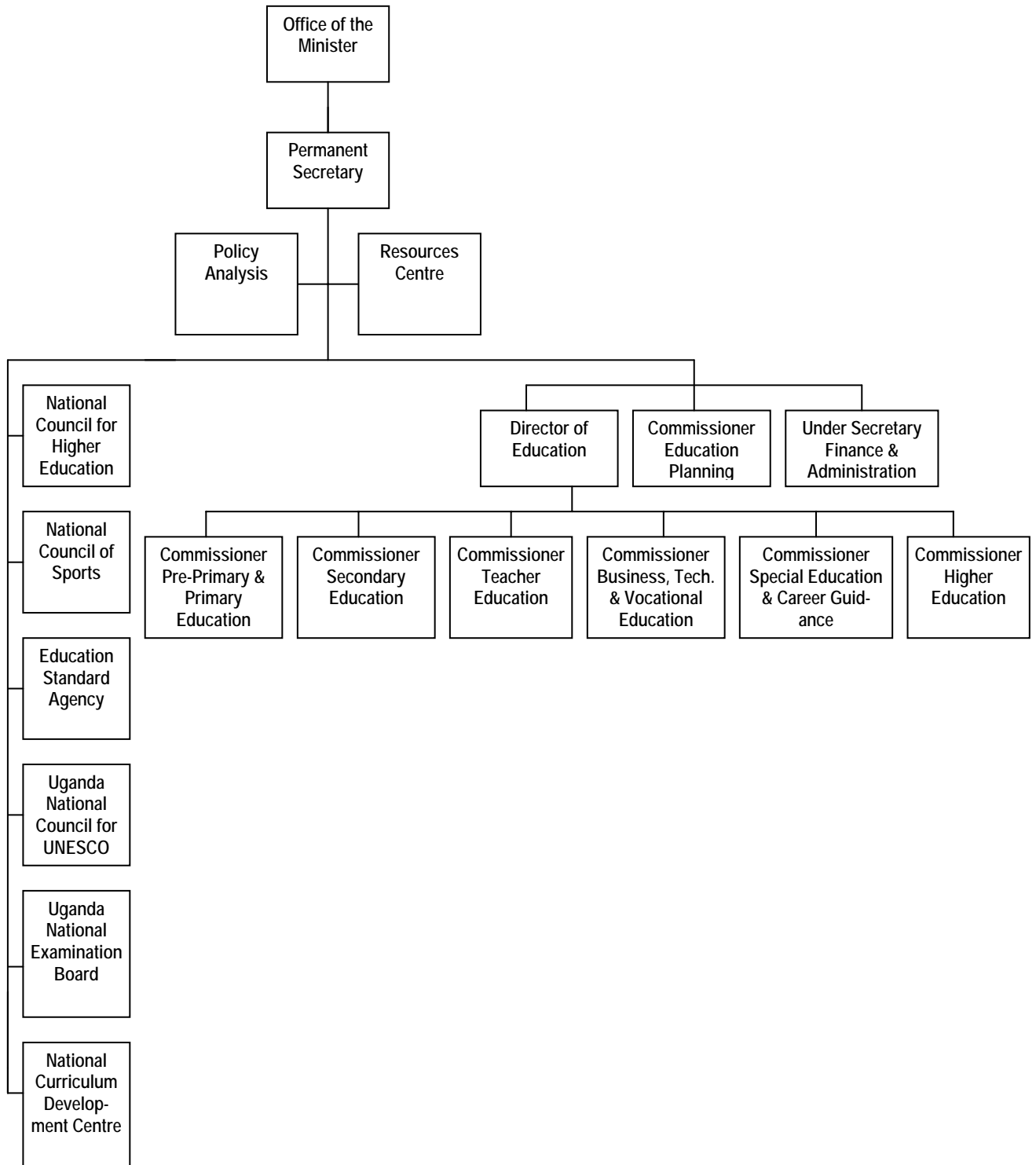
Potential as Institutional Home

As mentioned earlier, the National Council for Higher Education is expected to define the type and quality and relevance of education at tertiary level and consequently, the Council Curriculum Committee is mandated with the task of linking education curriculum to the labour marker. Training for Real is at the forefront of linking education with the needs of the water sector and the NCHE would therefore be its natural home within the existing institutional framework. This model is ideal and should be replicated in other sectors as well.

Organizational Chart for National Council for Higher Education

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                        │     COUNCIL      │
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                        │ Council Committees│
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                        │   Chairperson    │
                        └──────────────────┘
                        ┌──────────────────┐
                        │ Executive Director│
                        └──────────────────┘
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                        │ Deputy Executive │
                        │     Director     │
                        └──────────────────┘
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Assistant Executive Director (Accreditation & Curriculum)	Assistant Executive Director (Quality Assurance)	Assistant Executive Director (Research & Development)	Assistant Executive Director (Finance & Administration)	
Higher Education Officer (Accreditation & Curriculum	Higher Education Officer (Quality Assurance)	Higher Education Officer (Research & Development)	Administrative Assistant	Finance Officer
			Personal Secretary	Legal Officer
			Internal Audit	Secretaries

The National Council for Higher Education within Structure of the Ministry of Education and the Latter's Departments and Agencies

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                          ┌─────────────────┐
                          │ Office of the   │
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        │     Policy      │  │  Resources  │
        │    Analysis     │  │   Centre    │
        └─────────────────┘  └─────────────┘
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National Council for Higher Education		Director of Education	Commissioner Education Planning	Under Secretary Finance & Administration
National Council of Sports				
Education Standard Agency				
Uganda National Council for UNESCO				
Uganda National Examination Board				
National Curriculum Development Centre				

Commissioner Pre-Primary & Primary Education	Commissioner Secondary Education	Commissioner Teacher Education	Commissioner Business, Tech. & Vocational Education	Commissioner Special Education & Career Guidance	Commissioner Higher Education

Training for Decentralization; District Focused Internships

Introduction

Training for Decentralization or Innovations at Makerere (I@mak.com) is a result of extensive planning for higher education by both Government of Uganda and Makerere University. It is based on primary research carried out on the "demand" for human resources from the perspective of the District. I@mak.com was developed out of a grant from the Rockefeller Foundation and the World Bank. The primary outcomes of the project will be enhanced by human capital currently managing decentralized government units, improved graduates from Makerere; capacity development within Makerere, greatly expanded research, all with a primary focus on decentralization. The following is a report on the experience of the Department of Civil Engineering in executing the Training for Decentralization through District Focused Internships.

Background

Basing on the findings from the feasibility study carried out in 2001 in the districts of Apac, Hoima, Kabale, Kamuli and Mpigi, there was both the need and opportunities for training of future district technical staff in all the districts visited. All the named districts had planned and ongoing projects involving building of schools, education resource centres, health units, feeder roads, construction of water supply schemes (GFS, spring protection, shallow wells, rainwater harvesting tanks). Practical training opportunities were therefore available in all the districts. However, due to the diversity and abundance of projects in the many parishes/sub-counties in the districts, it was agreed by the team to concentrate efforts in one pilot district so as to maximize benefits from the learning phase of the project. The pilot project was undertaken in Kabale District. It was realized that the district staff were very willing to participate in the project. Full implementation of the project was required involving other districts.

Objectives

The overall objective of this project is to produce civil engineering graduates that are better suited to meet the evolving technical needs of the districts. In addition, it is anticipated there will be enhanced delivery of technical services at district level through the implementation of the project and subsequent interaction with the district staff.

The specific objectives are:

- To improve the capacity of civil engineering graduates to appreciate the needs and conditions of operation at the decentralized levels through focused practical training that will improve their innovative and problem solving skills;
- To improve the problem-solving capacity (and research) in the districts through enhanced collaboration between the trainers (from Makerere), the students and district stakeholders;
- To generate new knowledge thereby possibly come up with justification for improved curriculum through the interaction.

Outputs/Products and Impact

The following are the expected outputs/products and impacts:

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- An enhanced appreciation of the technical requirements within districts by the University staff through the linkage;
- A spin-off will be the identification of relevant research aimed at solving the problem at the districts.
- Better graduates with experience in the operation and solving of problems at the districts, with improved ability to work with other professionals and communities;
- Improved appreciation of the training needs of the graduate engineer by the district administrators (for future professional growth);
- Joint workshops that will be facilitated by both Makerere staff and the district staff;
- Involvement of undergraduate students in the development planning of the districts; thereby benefiting from and instigating their ingenuity
- A training manual for structured industrial training developed;
- Improved efficiency of service delivery in the districts especially by technical staff.

The pilot project was successfully implemented in Kabale District. Because of the similarity in the mode of implementation of decentralization countrywide, it is believed that such a training programme can be replicated in all other districts in Uganda. Training areas identified in the districts during the feasibility phase, were incorporated in the training programme that was implemented in the pilot phase. The training areas included ongoing and planned projects under the five Priority Programme Areas (PPA's) of the Poverty Education Action Plan.

Methodology
The selection of the districts was based on representation of the four regions in Uganda. Furthermore during the feasibility stage, a significant amount of information was obtained from these districts above all they offer training opportunities. Other factors considered were finance, travel distance and security.

Initial contacts were made with the District Local Governments and companies, NGOs involved in civil works. The purpose was to have an idea on student numbers and to organize the logistics of hosting students. These include accommodation, transport, medical facilities. The selection of participants was from 2nd and 3rd year Civil Engineering students. Priority was given to privately sponsored students because of their limited opportunities. In total 80 students were selected.

An introductory workshop was held in each of the districts facilitated and organized by Department of Civil Engineering staff and the District staff. The purpose being to introduce the players involved and discuss the training programme and the roster with district stakeholders. The final agreed programme was made available to all participants to ease monitoring and follow up.

Students are involved in day-to-day civil engineering activities in the districts and are expected to participate in planning and community mobilization, finance and administration. They are expected to keep a daily roster and will be assigned problems from which they are expected to develop solutions with assistance from the district staff and sometimes staff from the civil engineering department. At the end of their stay, they are expected to produce a report.

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After the training is completed, an evaluation workshop will be held to learn from experiences in the different districts. Recommendations will also be made regarding sustainability and gender issues. Based on the different experiences, a Draft Training Manual will be developed, which will also incorporate comments from the Districts. The Training Manual will provide guidance for future training.

The time frame of the project is 28 weeks running from July 2003 to February 2004. The inputs are stationary, transport allowances first and kit and medicine, batteries for the digital camera and prize awards for the best performing students and superiors.

A simple cost benefit analysis was carried out based on an audit report for Kabale District. This report stated that the amount lost with respect to civil works in the water and sanitation sector stood at USh 165,494,670. One of the reasons was the inadequate orientation of district staff to supervise the works. The total cost of the project in one district is about USh 13,800,000. This means that a high benefit cost ratio is achieved.

Sustainability
It was emphasized during the Pilot Phase that in order for the project to be sustainable, the districts should allocate some funds specifically for training. This should also cater students from other institutions apart from Makerere. Once Districts are convinced, students will be motivated to join the programme.

Gender
By involving a proportionate number of female students, it is expected that female students who have undergone this training will be advantaged especially when they seek employment. Such students would also have a more positive attitude towards employment in the districts.

Innovations
The project will provide opportunity for a more structured industrial training programme. It novel in the sense that for the first time students are attached to districts for focused industrial training and are supervised by both departmental staff and district staff. It will also provide an opportunity to focus training and research at Makerere to district needs. The programme will also be evaluated and the best performing students and district staff recognized. This will provide additional opportunities to district staff since promotion is performance based.

The indicators of success will be:
- The number of students successfully trained
- An appreciation of the training based on student's evaluation
- Full participation of the district staff
- The number of workshops considered
- A compilation of district training needs which provide an input into curriculum reform.
- A realization that Makerere University is producing better graduates.
- A matrix of different research topics in their order of priority so that districts may select.
- The formulation of joint research proposals.

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Monitoring and Evaluation

Monitoring and Evaluation will be follows:

- One in training valuation meeting between unit members and students.
- Field assessments by District and Departmental staff.
- 6 No. Introductory workshops and 1 No Evaluation workshop
- Assessment of student's industrial training reports by Departmental Supervisors and District Staff.
- Evaluation of the programme by all stakeholders by filling in questionnaires at the end.

The training areas included projects under the five-priority programme areas mentioned earlier namely, Water and Sanitation, Primary Health Care, Food Security, Universal Primary Education, Construction and maintenance of feeder roads.

It is hoped that students will appreciate conditions in the rural areas more, departmental staff will be better equipped to design curricular and research which address the needs of the districts and challenges of decentralization. Furthermore, it is hoped that district staff will see this as an opportunity of working together to solve common problems.

Training for Real has the same philosophy as Training for Decentralization through District Focused Internships. In both cases, because the training addresses the particular needs of the Client, it becomes more relevant and is better appreciated.

The Uganda Institution of Professional Engineers Development of Training Guidelines and Standards

Introduction

The process of developing new training guidelines by the Uganda Institution of Professional Engineers UIPE is part of the process of upgrading of the UIPE so that it can contribute more effectively to national development and meet international standards.

This is an initiative taken by the UIPE Council in 1998 and was supported by a study prepared by DFID consultants in 1999. A more comprehensive project was formulated in 2001, to address the development of the engineering profession in Uganda. However, this was not recommended for financing by DFID. Nevertheless, the UIPE continued to develop these initiatives through its own resources and these new Combined Training Objectives have been approved by the UIPE Council. They are therefore ready for publication and use before the end of this year.

The following discussion provides the highlights of the process in light of the development of the engineering profession in Uganda in respect to international standards.

International Standards

International standards for the engineering profession are currently being established by a number of organizations. Most significant among these are the APEC (Asia Pacific Economic Cooperation) and EMF (the Engineers' Mobility Forum. The EMF is formed from the leading professional engineering institutions around the developed world and is expanding all the time as national professional bodies make a commitment to meet the standards.

The EMF sets out the criteria which individual engineers must meet to be recognized as international Engineer. These criteria are:

- Academic achievement equivalent to the engineering degree standards of the Washington Accord (a body set up under the WTO to agree such standards.
- A minimum of seven years' practical experience since graduation in the relevant field of engineering.
- At least two years in responsible charge of significant engineering work (which period may be concurrent with the post-graduate experience).
- A competence-based assessment within one's own country to judge eligibility for professional practice, including the competence to apply engineering knowledge to the analysis and solution of engineering problems.
- Provide technical and managerial leadership
- Use effective communication and interpersonal skills.
- The maintenance of continuing professional development at a satisfactory level

There is a growing awareness worldwide, that these elements are vital to the development of competent engineers. This has significance, not just in the West but also in developing countries. The General Agreement on Trade and Services (GATS

2000), being negotiated by the World Trade Organization (WTO), will require all participating nations to allow free movement of professional engineers across national boundaries and, under the Terms of the Agreement, they will be required to meet standards set to address these three key elements. The term international Engineer will be used to indicate engineers who meet these standards. The two key elements of the International engineer are academic and professional qualifications. Academic qualifications are being harmonized under the Washington Accord while Professional Qualifications are harmonized under the Engineers Mobility Forum. The main Western countries and an increasing number of countries in the developing world, support these two categories of qualification.

The responsibility for implementing systems and procedures for these requirements will normally be for the national engineering organizations, who will then be subject to audit, by EMF to ensure standards are being maintained. The parallel arrangement for harmonizing academic qualifications is the Washington Accord.

The Institution of Civil Engineers Report of 1999
The Institution of Civil Engineers carried out a study of the UIPE in December 1999 and a report and recommendations was produced. The main issues that emerged from the 1999 report are indicated below together with a brief description of progress made to date.

i) Low number of registered engineers compared with the numbers working in engineering positions. Lack of enforcement of the registration process.

The Engineers Registration Act is still under review. A stakeholder's workshop was held in April 2003 to discuss the proposals. A bill will be submitted to Parliament before the year ends. The Engineers Registration Board has been reconstituted with a full time Registrar.

The new Board has been operating more proactive and the number of registrants has increased over the same period. Significant progress has been made on improving the enforcement of the Engineers Registration Act. Members of the public and employers are appreciating the importance of registration.

ii) The UIPE membership process duplicates the process for registration and the narrow criteria used by the ERB for assessment of professional competence discourages engineers from registering.

The UIPE and ERB agreed at a seminar in March 2003 to make the assessment of a candidate for both membership and registration as a single process. A Committee was constituted in order to harmonize the process. The proposal is now awaiting approval of both Councils. The criteria of assessment is now based on the training objectives. These were initially for the different categories of membership separately. Now they have been combined based on the ICE document.

iii) Many technicians and technologists are performing competent professional engineering functions and are unable to obtain UIPE Corporate membership and there is no provision in the Engineers Registration Act for them to register.

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The UIPE has introduced two new classes of membership. These being Technician and Technologist members and the criteria for membership has been defined. The new bill has provision for technician and technologist registration.

iv) The financial health of the UIPE was fragile and the resources available to it were sparse.

UIPE has increased the number of members in all categories. Space for the UIPE library facilities has been found in the premises of the Ministry of Works Housing and Communications in Kyambogo. UIPE revenue has improved as a result of the increase in members and an increase in commercial sponsorship. A baseline survey was carried out to establish the views of engineers in Uganda.
Attendance at meetings and seminars has increased.

v) The opportunities available to technicians and technologists to upgrade to Corporate membership were limited. A full 4-year degree course at Makerere would be required.

The Faculty of Engineering at Kyambogo University has been started and offers engineering degrees, which give credit for previous learning like ordinary or higher diplomas.

vi) The links between UIPE and employers were fragile and strengthening was recommended.

There has been some effort to forge however, stronger links with employers. The framework has to be better defined.

The Development of the Professional Engineer in Uganda

The Accredited Academic Course
Makerere University Faculty of Technology, is in the process of preparing itself for an accreditation visit. This will be achieved through international professional societies, the Uganda Institution of Professional Engineers(UIPE), the Engineers Registration Board (ERB) and the National Council for Higher Education (NCHE), fielding a joint mission.

The courses at Kyambogo University have developed along the lines at Makerere. As soon as the first cohort graduate, the process of accreditation can be initiated.

Initial Professional Development
This is a period of structured training that enables a graduate engineer prepare for a professional review and would minimally take four years. Unstructured training means the graduate engineer takes more time. The training follows the Training Objectives of the UIPE, which have been recently revised to incorporate new international thinking on the subject. The new combined Training objectives were recently approved by UIPE Council and will soon be available for members.

The Professional Review
This is a culmination of the initial professional development, whereby the graduate member of the institution is subjected to a professional review in order to achieve Corporate Membership of the institution (MUIPE) and professional registration (Reg.Eng). The combined assessment procedures for membership to the two bodies already shows the new thinking in this direction.

Continuous Professional Development (CPD)
This is a process whereby after an individual achieves his professional registration he continues to keep up to date with developments in his field of interest. So far there are three bodies that have been actively involved in engineering related CPD. These are the UIPE, the Uganda Management Institute (UMI) and more recently Makerere University.

Training for Real has the potential of supporting both the Initial Professional Development and Continuous Professional Development of engineers. This would be very significant in supporting their contribution to national development

Resource Centre Development

Introduction

A concrete example of a current capacity building initiative is the proposal for a resource centre. This proposal illustrates the state of capacity building initiatives in the country. A mixture of good work coupled with a lack of co-ordination sector-wide and a failure to learn from the past means that a potentially good initiative fails to take a strategic, long-term approach to the issue of knowledge sharing.

A brief history

In 1993 IRC International Water and Sanitation Centre published occasional paper 19 on *"Information management in the water and sanitation sector".* This reported on two assignments in 1990 and 1991 organising management and technical information. The Uganda Water Information and Documentation Centre and Network were assessed and a direction set out. These had been set up with the assistance of a consultant and practical support paid for by AMREF. The report concluded that *"A key problem is the lack of central responsibility for information management at a sufficiently senior level."* and ended with the statement *"The progress made in Uganda shows what can be achieved when the authorities take information management seriously".*

A subsequent publication by the IRC *"Organizing Local Documentation Services for the Water and Sanitation Sector: guidelines"* provides basic guidance on how to organize collections of documents in sector institutions in such a way as to be able to find information quickly and easily, without the help of professional librarians.

In 1999 NETWAS Uganda published a directory of institutions, sources of information and documentation. NETWAS has a mandate to *"promote information networking amongst sector professionals and users to ensure the sustainability of water and sanitation programmes".* This directory has a list of over 100 NGO, government and private sector sources of information.

The 2002 UWASNET capacity building framework found that access to information and documentation was required by NGOs, but suggested that, rather than UWASNET setting up yet another information resource centre, it work for better access by NGOs to existing sources of information (e.g. an MOU with DWD for access to the Luzira library, providing information about NETWAS etc).

There are resource centres at a variety of institutions. The DWD library at Luzira contains a range of reports and textbooks, including a wide range of IRC publications, but does lack some basic texts and appears to be in no particular order. This however is a more complete resource than some of the other facilities in the country. The NWSC training centre has a more specialised collection relating to urban water.

The current initiative

The current proposal comes from IRC International Water and Sanitation Centre in collaboration with SNV Uganda. The study objectives did include establishing existing knowledge sources, although the analysis of existing sources is not included in the report. One of the recommendations was to carry out research on how resource

centres locally, regionally and internationally have managed to remain successful., however this was not covered by the report. Institutional and economic issues were not discussed in any detail. The questionnaire used was skewed towards the recommendation for a Resource Centre, rather than finding out why existing centres are not meeting demands.

The report makes recommendations, but the evidence and analysis for these conclusions is not clear – e.g. "*The centre should be easily accessible, therefore the establishment within a Government organisation such as DWD should be discouraged".* No evidence is given of problems in accessing Government organisations in the text, and, as the largest institutional stakeholder, would be the main user of such a resource centre.

Discussion
The current proposal appears to display some common features that relate to capacity building in Uganda.

- Duplication; a "new" resource centre is being proposed, when numerous other resource centres already exist
- Repetition; the series of reports found in this admittedly brief survey indicate that this is a recurring theme, yet wheels are being reinvented and lessons not learnt.
- Narrow sector appraoch; the general sector-wide approach, managed through sector working groups and the Joint Sector Review, does not seem to be used. Major institutions, such as the lead government agency, do not appear to have a significant role.
- Mandate; whose responsibility is this project – DWD as lead government institution with a legal mandate, NETWAS, with a mission statement that indicates it should be doing this work or SNV, whose core business is capacity development at the meso level?
- Long-term plan; the report admits that there are concerns about long-term viability, but these are not being investigated or resolved before the next stage.
- Donor led; the proposal is the acceptance of an external offer, rather than one of the sector-wide priorities developed at the JSR.
- Indicators; what are the indicators of demand and performance?

> *To move forward a resource centre requires*
> *to clearly define its strategic focus*
>
> *Resource Centre Development Process and Experience*
> *– Challenges to Resource Centres in their Role as Capacity Builders*
> *L.R. Sally and T Bastemeijer*

This pattern is not unique to this initiative, but the example serves to show how a potentially good project does not exist in isolation and may waste resources through lack of strategic fit, duplication, repetition and fixed direction rather than through any inherent problem with the project itself.

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UWASNET Capacity Building Framework

Introduction
One long term strategic capacity building initiative is the UWASNET capacity building framework. This concentrates on a single sub-sector (NGOs) but does recognise the links with other institutions in the sector – especially district officials. The framework was developed through a consultative process, mainly carried out by members of NGOs themselves, supported by external facilitators.

Consultation
The framework was developed through a series of activities, starting with an inception phase that devised the methodology for the project. This inception phase prepared a series of consultation exercises, both with NGOs and other stakeholders. These were carried out using a team of sub-consultants, some of whom worked for UWASNET members.

The consultation stage raised many issues (sometimes by omission) and reinforced the original picture of rapidly changing institutional arrangements and an clear need for increased capacity in the NGO sector. From this consultation stage a draft framework was drawn up.

The framework
The framework consists of a series of annual evaluations carried out on regional basis (with eight regions linking to the DWD TSUs). Capacity development needs are identified and prioritised from this exercise and bids are made to a central fund to carry out a variety of activities to increase NGOs' ability to contribute to the targets of universal access to water and sanitation by 2015. The framework is based on underlying principles of flexibility, evidence base and ownership.

The draft framework was presented to a national workshop of NGOs and other stakeholders. This explained the factors that influenced the development of the framework and discussed specific issues where decisions were required. The framework was then developed in more detail.

Recommendations
The following is a summary of the recommendations made.
Getting started
- UWASNET Committee appoint 4-8 organizations to assist in running district level meetings.
- Meetings held in each district (or pair of districts) to:
  - explain the framework to members and secure their engagement;
  - to gather information about members;
  - to assist NGOs in formulating short mission statements and forward plans, in order that they can identify where they are going and what capacity they will need; and
  - initiate communication with district level local government and NGOs to explain the process to local officials.
- UWASNET secretariat enters information about member organizations in database or filing systems as necessary.

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- The sub-consultants prepare a joint report on the meetings and submit this to the executive and trustees.

Setting up the framework

- The management structure for the capacity building framework is agreed by the Executive Committee of UWASNET.
- The Executive Committee identify a fund manager to administer the funds available to UWASNET members for capacity development.
- The trustees appoint a fund manager.
- The Executive Committee identify 8 regional coordinators (one regional coordinator may cover more than one region).
- The fund manager appoints the regional coordinators.
- The fund manager sets up accounting and reporting procedures.

Implementation of the framework.

An annual cycle based on the following steps is proposed:

1. Individual NGOs complete a checklist of objectives to be reached, providing evidence to show what level they have reached and what their targets are.

2. A regional coordinator holds a meeting for:
- NGOs to present and approve each others checklists;
- district officials to hear what progress has been made and what resources are available;
- NGOs to list suitable capacity building activities to help them reach their targets; and
- NGOs to prioritise these activities.

3. The regional coordinator submits a report to the fund manager and board of trustees containing:
- a summary of the regional meeting;
- a summary of progress in building capacity over the last year;
- a detailed submission of proposed activities for the coming year; and
- any other issues that may need to be addressed nationally (i.e. very common problems, advocacy issues and need for specialist training).

4. UWASNET Executive Committee carry out a similar needs assessment for both the executive and the secretariat.

5. The fund manager and trustees consider all the submissions and allocate funds to each region (or UWASNET centrally).

6. Regional coordinators arrange to carry out the capacity building activities either directly or using third parties.

Evaluating progress

The framework requires a variety of reports and evidence of capacity development to be produced. This will need collating annually by the fund manager to give an ongoing picture of the NGOs in the water and sanitation sector. For an independent view of the process, the UWASNET Executive Committee should schedule reviews, for example, prior to the national joint sector reviews.

Work has started on implementing the framework, but is behind schedule due to delays in releasing funds, changes in personnel and problems with procuring the services of organizations to carry out the initial stages of work.

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Private Sector Support[4]

Introduction

A study by Cranfield University, Silsoe looked at the effectiveness of Uganda's private sector in rural water and sanitation, based on a long-term awareness of weaknesses in the private sector and its operating environment. The report presented a strategy through which private sector effectiveness can be enhanced. This was not strictly limited to capacity building but other aspects of performance as well.

The terms of reference of the study required the consultants:
- to generate in-depth understanding of the private sector, its operating environment, and the support services available to it;
- to analyse the factors within the private sector, its operating environment, and support services, which present opportunities and constraints to high performance;
- to generate a working strategy (including action plan and investment plan) for support to the private sector, including attention both to the operating environment and to the relevant support services which can bring about beneficial change.

The study concentrated on smaller contractors working on rural schemes, rather than larger contractors working on projects in small towns and rural growth centres.

Findings (related to capacity development)

The study findings are based on fieldwork in 8 Districts, supplemented with numerous further discussions and a National Workshop, in order to ensure country-wide applicability.

1. Contractor skills and knowledge and links to business development services

Private sector water contractors vary widely in technical and business competence, wealth, ethos, and performance. In each of the study districts there is a handful of competent companies, and perhaps ten times that number of other contractors who lack competence and/or are motivated more by access to income than by the satisfaction of high quality performance. Many companies appreciate the benefits of training and support in the area of business management, pricing, tendering, and financial planning. Although many such services are available in Uganda, they fail to link with the District-based water sector contractors.

2. Contractor networks and associations

Few District-based contractors are members of formal Associations, although some belong to informal networks with a few closely related suppliers of goods and services.

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[4] This is an edited and annotated version of the project's executive summary, written by R Carter et al

3. Business viability

Many of the factors which make life difficult for contractors go as far as threatening the very viability of their businesses. The corruption involved in winning business, in unfair competition with large numbers of rivals; the limited number of very small work packages available; the low reserve prices at District level; and the short working year; all weaken the private sector.

4. Procurement and contract management

The relevant Act, Regulations and Guidelines for local Government procurement of goods and services are interpreted in a variety of ways by different Districts. There is a certain degree of inconsistency and opportunity for confusion which needs to be addressed.

5. Quality assurance

Quality of construction is determined by the amount and quality of supervision and the sanctions applied in the case of poor work; the fair treatment of artisans by contractors; the price paid for contracts by the District; the quality of community mobilisation work; and the extent of corruption and abuse of office. Best practices need to be disseminated, and where weaknesses are widespread, reform is needed.

6. Local Government staffing and resources

Current District staffing levels are barely adequate for fulfilment of the existing spending levels, with significant weaknesses in community mobilisation and contract supervision.

7. Community participation and partnerships

The sustained operation and maintenance of new works depends on each of the key stakeholders playing their part. Communities interface with the private sector during construction, and in the subsequent maintenance phase. The establishment and maintenance of social infrastructure is just as important as the physical infrastructure, and yet it is a neglected element within the sector. Long term support for both physical and social infrastructure is virtually non-existent. The system is in decline.

8. Corruption and abuse of office

This affects the tendering process, from advertisement to award; contract management, including supervision and approval of completed works; payment of contractors; and misuse of position for personal gain. It threatens business viability, the quality of works, the transparent operation of the procurement procedures, community ownership of infrastructure, and sustainability.

9. NGO involvement

NGOs are ineligible to compete for PAF funds alongside private contractors, and so they can only contribute to the sector if they bring their own funding. Given the important contribution which NGOs can and do make despite this restriction, ways need to be sought of utilising their skills more extensively. Like the commercial private sector, NGOs vary widely in competence and experience. It is a caricature to picture NGOs as either generally weak, or only competent in the area of software. Some are highly competent in both hardware and software. Several NGOs are setting up, or have already established, commercial arms, in order to compete for PAF funds.

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10. Insecure districts

One third of Uganda is affected by the insecurity caused by the cattle-raiding Karamajong and/or the LRA. Over one million people are estimated to be internally displaced, and many more are affected by these chronic and acute problems.

Strategy

In order to address the key issues arising from the findings, the ten themes above have been reduced to four strategic themes and two areas for special consideration. These are:

Strategic themes:

- Procurement and contract management
- Contractor skills, networks and links to business development services
- Quality assurance
- Community participation and partnerships

Areas for special consideration

- NGO involvement
- Insecure Districts

Purpose: To bring about an effective and competitive private sector in rural water and sanitation in Uganda.

Objectives

1 Procurement procedures and guidance reformed to promote fair competition based on price and quality, so enhancing business viability and value for money.

2 Business skills, private sector associations, and uptake of formal and informal support services enhanced.

3 Key measures in place to ensure high quality of construction of rural water and sanitation services.

4 Financial and management measures in place to ensure community ownership, sustainable maintenance, and on-going backup of social and physical infrastructure for rural water and sanitation.

Outputs (capacity building issues underlined)

1.1 Revisions to Public Procurement and Disposal of Public Assets Act and Local Govt Financial Regulations developed and advocated.

1.2 Model pre-qualification, tender evaluation and contract documents developed and disseminated.

1.3 Reserve prices reviewed to allow for regional variations and regular updating.

1.4 Training and sensitisation programmes for District Water Offices, Technical Evaluation Committees, District Tender Boards and Contractors carried out.

2.1 Appropriate Business Development Services (BDS) products (training, mass media, credit, consultancy and advice) for rural watsan sector developed through existing formal and informal providers.

2.2 BDS products being effectively and widely used by private sector.

2.3 Viability and benefits of contractors' associations established, existing associations strengthened and/or new associations formed.

2.4 Pool of competent artisans preserved and developed (attention to numbers and trends in numbers as well as skills and trends in quality).

3.1 Roles and agreed procedures for site supervision at district/sub-county & community level clearly set out and taken up progressively by districts.

3.2 Minimum standards for contractor supervision of artisans agreed and practised.

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3.3 Improved treatment of artisans by contractors.

3.4 Agreed monitoring and sanctioning of districts by centre in place.

3.5 Increased mutual understanding and respect between local Government, private sector, NGOs and communities.

4.1 Stakeholders at all levels sensitised to the importance of pre- and post-construction social infrastructure development and long-term community support (community mobilisation, CM).

4.2 Districts encouraged to experiment with innovative O&M systems.

4.3 Ongoing monitoring and ex-post evaluation of piloted models of O&M carried out.

Strategy implementation

The study recommended that an authority acceptable to DWD is appointed to implement the strategy. Funds should be managed by an agent external to Government. A high level Advisory Group drawn from the lead organisation and key partners should be appointed. The Acceptable Authority will have the task of coordinating, motivating, training, capacity building, documenting, and monitoring progress of the strategy, over a five year period

Policy Issues

Three final policy issues are raised and discussed, each of which has important implications for sector performance:

- VAT and the widespread confusion over its operation;
- District Tender Board composition, and its implications for vested interests;
- Relative emphasis in PAF on spending for new works versus maintenance of existing physical and social infrastructure.

Sector wide capacity building implications

The above case study has implications beyond just the private sector contractors. Many of the issues not underlined as being directly related to capacity building within the private sector are however related to wider capacity issues – such as the development of contracts. This should be a core skill for engineers and the state of procurement identified in this report demonstrates a lack of capacity within local and national government institutions in this area.

The report also repeats the need for a sector-wide approach – for example stressing the roles of NGOs and district officials, indicating that training cannot be expected to produce results if it is addressed in a piecemeal manner.

Water Resources Department, DWD

Introduction

The Water Resources Department in Entebbe has reported a high level of staff qualifications in the last two Joint sector reviews, with over 70% of professional staff have post-graduate qualifications. A cross section of staff was interviewed to confirm this picture and assess the HRD of the department.

A profile of the department is available at:
http://www.dwd.co.ug/Documents/wrmdprofile.pdf

This broad assessment is true, but nevertheless there were capacity gaps, due to both career developments and changes in technology. Training is mostly technical and related to tasks in hand (e.g. isotope hydrology), with only a small amount of management or other training. This balance in training did not seem to reflect work responsibilities.

University experience

The staff came from a variety of university backgrounds, but with a large proportion doing BSc.s in Chemistry and Geology. These were generally felt to cover a wide range of subjects, but often did not provide enough detail for the job. However, as few of the interviewees had considered a career in the water sector, the range was probably correct. There was a lack of practical work, for instance exposure to well drilling. There were also some very non-vocational aspects – such as rock types on Mars! One interview stated that practical skills had to start from zero, with little confidence due to lack of exposure to basic tools.

University courses were seen aimed at passing exams not applying practical skills. For example modelling at university did not introduce some of the day-to-day problems of limited data etc. Limited work experience by lectures was often quoted.

Capacity gaps

Work skills such as report writing were repeatedly mentioned. Management was also included – either as a future need for junior staff in order to progress their careers or to cope with existing tasks (although this was sometimes seen as necessary rather than desirable). Where management skills were mentioned they included; office management, work skills, interpersonal relationships, research, analytical capacity (not just observing), reporting writing and presentation. Interaction was seen as a challenge. Planning skills also needed to be built. However the ongoing technical nature of the job meant that technical knowledge had to be kept up to date. One interviewee, who "was almost an accountant" based on their job still wanted training in WRM, interpretation and analysis.

A particular area was support in the decentralisation of water resource management, which is being carried out in a slow but steady incremental fashion. Sensitisation and informed discussion preceded more active local involvement.

Work was seen as technical, so community issues such as gender was not seen as relevant (but this conflicts with the decentralisation experience).

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A predictable job market would allow graduates to plan their learning and their careers, in order to make the most of their university experience.

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Appendix 5. Issue paper for Joint Sector Review

This issues paper was prepared before the September 2003 Joint Sector Review to promote discussion on capacity building within the sector.

Sector-wide Capacity Building

**A discussion paper on making investments in training
address the real needs of the sector**

Brian Reed and Sue Coates

September 2003

WEDC

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The Water, Engineering and Development Centre (WEDC) is one of the world's leading institutions concerned with education, training, research, and consultancy relating to the planning, provision, and management of infrastructure for development in low- and middle-income countries.

Acknowledgements

1.   Introduction

The 2002 water sector overview paper identified financing mechanisms for five areas: rural water, urban water, water resources, water for production, and capacity development. The first four areas were discussed in the overview paper and in separate issue papers. This paper brings a sector-wide approach to the fifth area, the development of the people who work in the sector. The issues are found to varying degrees across the sub-sectors.

1.1   Resources for delivery

Water and sanitation service delivery requires the management of resources, such as:

- Financial resources (capital and recurrent);
- Natural resources (water, basic building materials);
- Physical resources (drill rigs, transport);
- Social (communities willing to pay for water and aware of good hygiene behaviour); and
- Human resources (skilled, motivated workforce and other stakeholders).

Managers at all levels will need to forecast, allocate and control these resources. Investments are required to develop their full potential. Limited human resources (in number, attitude, focus, skill, knowledge or experience) can lead to poor productivity, resulting in higher unit costs in water and sanitation services. From the level of local operators deciding on the daily tasks to senior civil servants tackling national goals, human resources need to be strategically managed. Meeting the sector goals will involve not only increasing the number of schemes constructed but ensuring the on-going operation of existing services efficiently and effectively.

An integrated approach to managing resources
A lack of one resource requires increased inputs from other sources. Poor natural resources, such as a thin aquifer with low recharge will need skilled staff to carry out surveys, more boreholes drilled, and cost more to produce the same productivity as a more favoured area. The effectiveness resulting from each input of resources will relate to the quality and quantity of the other resources available.
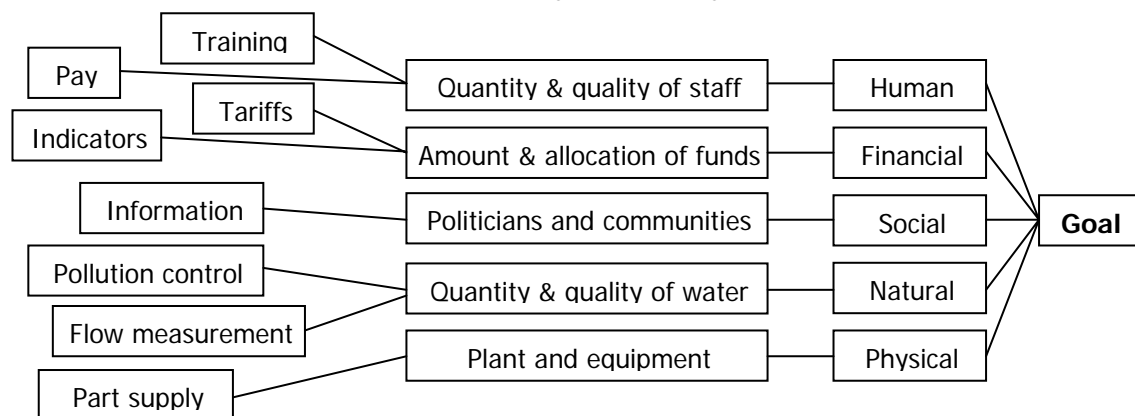

Figure: Each input into the sector contributes strategically to reach the goal

1.1.1   The human resource

The quality of the human resource is often called its *capacity*. This has three components;

1. Group factors (the working environment, institutional arrangements, organisational structures);
2. Individual factors, such as attitudes, skills, knowledge and experience; and

3. How the individual relates to the group (social environment, motivation, views of the rewards and leadership the organisation offers).

1.2 The water and sanitation sector

The 2002 sector review provided ample evidence that building the capacity of stakeholders is a recognised issue, for example:

- In the rural water and sanitation paper, of the 12 log frame outputs, four directly address capacity building and it is implicit in four more outputs.

- The paper on small towns focuses on the changing institutional environment to develop the sector's use of resources rather than specific training (e.g. using private operators, setting up an Asset Holding Authority, recognising the importance of gender).

- NWSC shows the importance of Human Resource Management (HRM) in large towns, with the "Stretch Out" programme to motivate staff and increase organisational performance.

- Water for production is still in a state of flux, with debate over the next steps, but the need for assessing the sector's human resource has been identified.

- Water resource management recognised human resource development in 1994, so now 70% of technical staff are postgraduate level, with continuing professional development.

1.2.1 The challenges for 2003

In the 2003 rural water supply and sanitation paper, three emerging issues are identified:

1. The staff structure of the District Water Office
2. The balance between capacity building and service delivery
3. Emergency services.

These all have implications for the deployment of the human resources in the sector.

The development of performance measurement and output based working will focus attention on the inputs, financial, physical and human, required to meet sector goals. These indicators will provide evidence to drive the sector strategy, showing what works and what needs more attention.

2. Developing the human resource

2.1 What is capacity building?

Despite the common use of the term "capacity building" a common level of understanding is needed if activity is to result in a sustained, cost-effective improvement in the workforce.

Whilst training (often a one-off event or a 'workshop') is the usual activity accepted as increasing people's skills and knowledge; capacity building is about more than this. It involves a strategic view of the development of the human resource, in the context of organisation and sector targets. Effective capacity building relates to the role the individual is meant to be filling within an organisation and how that individual contributes to the goals of the organisation. In identifying what capacity needs to be improved, individual job descriptions and organisational structure need to be in place.

Capacity strengthening or *capacity development* is sometimes referred to, recognising that staff already have skills and that development is required by staff at all levels and all situations if an organisation is not to stand still. Recognising the importance of staff's contribu-

tions to an organisation's success introduces the concept of the human resource (HR) and human resource development (HRD) as an integral part of management.

Increasing resources in parallel

An investment in computing training will only be effective if staff also have computers to work on. It will only increase performance if the work requires computers. It will only contribute to reaching the goal if other factors, such as data for analysis or funds for delivery, are also available.

2.1.1 Whose capacity?

If managers are focusing on results, they need to consider all inputs into the process. Here the concept of the human resource needs to be taken as wide as necessary.

"*HRD ...* conveys *a sense of developmental policy that can extend beyond those who work in the organisation to those who, although not legally its 'employees', none the less make an* essential *contribution to its success – for example [non-governmental organisations] ,[private operators] and suppliers*"[5]

When a task is examined, many people will be involved. Training district officials in contract management will not meet the desired results of contracted out services if private and NGO institutions do not understand their role. If the outcome is a functioning community water supply, then capacity of the community has to be developed . The body of people whose capacity needs to be developed is a mix of individuals, groups and communities all leading to a successful outcome.

2.1.2 The changing workforce in the sector

The sector is now involving people from diverse organisations and wider professional backgrounds. This is due to an increase in the activity in the sector and also an expansion of the range of institutions involved. Decentralisation has given responsibility to local districts; privatisation is bringing in the private sector; NGOs are active in everything from advocacy to the delivery of services. The work is also changing; technical staff are working as contract managers, planners, regulators and facilitators. Outputs are changing from physical indicators, to a demand-led service. Increased activity and decentralisation means that technicians now have more management responsibility, for financial, human and physical resources.

The staffing arrangements for DWO offices puts human resources in the centre of service delivery. The role expected of staff will determine both the quantity and quality of the people employed. The decentralization to sub-county level will require local staff to be able to manage their own work to a greater degree than in a centralised management system. Staff employed at each level need to have some guarantee that they have the skills, experience and motivation to deliver. The wage bill not only relates to the money spent, but the value for money that the staff investment can provide.

Change is not unique to the water sector. Any sector that is not stagnating will be developing, with new technologies, more efficient practices and staff joining, gaining experience and learning skills.

2.2 Factors in building capacity

Staff require three factors to be in place if they are to work to their full potential:

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[5] Adapted from R Harrison quoted in *Introducing Human Resource Management* Foot & Hook, Pearson Education Ltd 2002
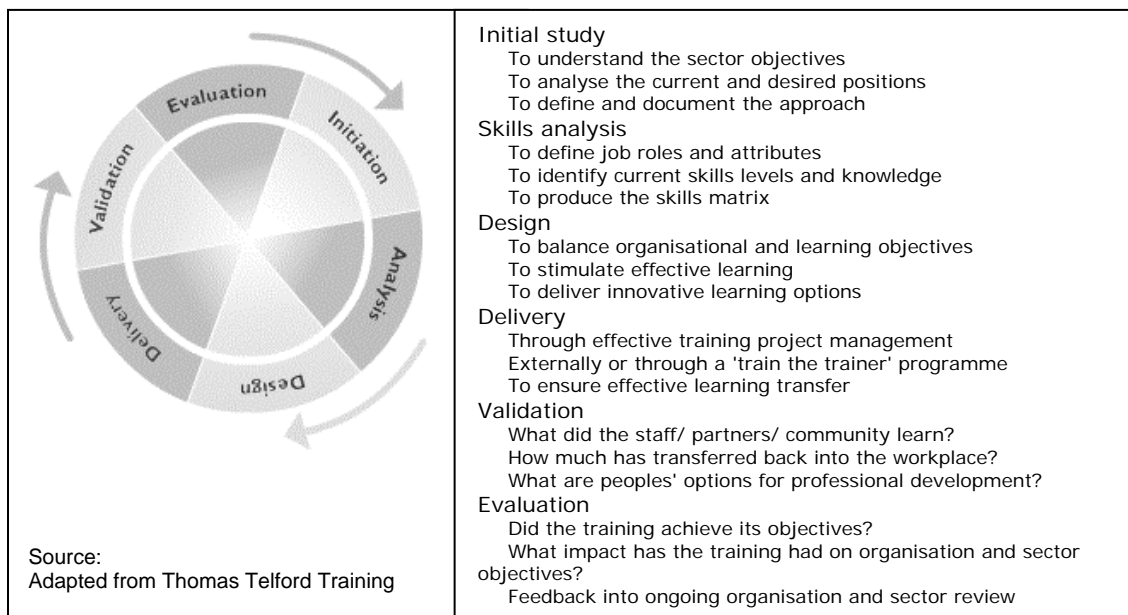
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- The work environment must be right (such as management structures, institutional arrangements, allocation of responsibilities);

- The staff need to be motivated to work (adequate rewards (e.g. financial, career paths, recognition) and working conditions, leadership, social environment and enthusiasm); and

- The staff need the correct attitudes, skills, knowledge and experience for the job (which requires the job to be adequately understood and described).

Considering people as a vital resource has led institutions to move from addressing administrative "personnel issues" to "human resource management" (HRM) and the trend from "training" to "human resource development" (HRD), recognising that staff need just as much management to maximise their potential as more tangible assets, such as financial or material resources. Accounts are audited and vehicles serviced according to plans, but the development of staff can easily be piecemeal or taken for granted.

2.2.1 Changing the model of Human Resource Development

Just as technical delivery of water and sanitation services has changed to take a more demand-led approach, human resource management has also been developing its approach to meet the needs of organisations. Professional development has to be put into the business context to ensure that investments in staff are targeted to meet institutional strategies. This approach can also be applied to groups of separate institutions to determine a sector-wide strategy, such as the method UWASNET has taken in developing the whole of the NGO sector working in water and sanitation.

Staff development is a cycle of assessment within an organisational strategy, followed by actions to enhance the resource and finally by assessing the impact and the areas in need of further development. This change moves from a one-off "training needs analysis" exercise to on-going "skills analysis" – centring the development of people in their job, the organisation and the sector objectives. Evaluation of need and impact occur at the start and finish of the development cycle.

Initial study
   To understand the sector objectives
   To analyse the current and desired positions
   To define and document the approach
Skills analysis
   To define job roles and attributes
   To identify current skills levels and knowledge
   To produce the skills matrix
Design
   To balance organisational and learning objectives
   To stimulate effective learning
   To deliver innovative learning options
Delivery
   Through effective training project management
   Externally or through a 'train the trainer' programme
   To ensure effective learning transfer
Validation
   What did the staff/ partners/ community learn?
   How much has transferred back into the workplace?
   What are peoples' options for professional development?
Evaluation
   Did the training achieve its objectives?
   What impact has the training had on organisation and sector objectives?
   Feedback into ongoing organisation and sector review

Source:
Adapted from Thomas Telford Training

Example of a training model – an on-going process of professional development

3.   Managing capacity building

3.1   Establishing the need

One of the problems is measuring the value of the human resource. HRD is just a tool in HRM and so the quality and quantity of the human resource is the primary measurement, not the tools used to develop it. As elsewhere, HRD is moving from measuring the quantity of the input (e.g. numbers of training days) to trying to quantify the outcome.

3.1.1   HRD indicators

The development of indicators for human resource development have to be based close to the subject being measured (i.e. focusing on the individuals groups and communities involved and the tasks that each is performing). Unless this assessment is part of a sector-wide or organisational strategy that incorporates milestones, the assessment will result in loss of meaning. For example an indicator such as number of training days a year gives a measure of the amount of activity but not the quality or impact of the work. Training can even have negative impacts on an organisation's goals, if time and money are spent on inefficient training rather than more important work.

Measuring and managing resources

The primary indicator of transport facilities are the number and types of vehicles available. A secondary indicator is the amount of maintenance needed to keep the vehicles working. Knowing the state of the transport facilities allows the correct amount of maintenance to the planned, rather than waiting for vehicles to break down. The development of a Performance Measurement Framework allows the tracking of the inputs that contribute towards a target and identifies where extra resources are required.

3.1.2   Setting the level of investment in the human resource

Lack of an adequate HR indicator means that the impact of HRD cannot be measured, so:

the value of the human resource is underestimated;
the value for money of training and workshops cannot be adequately assessed;
the decision to buy-in skills or retrain workers cannot be made;
the correct amount of investment required in HRD is difficult to quantify; and
reporting on HRM/ HRD in the context of the sector's achievements is impossible.

The 2003 rural water and sanitation issue paper raises the valid concern that the money being spent on capacity building may or may not have the same impact on services as investment in direct implementation. Issues of sustainability of the human resource and the sustainability of the physical infrastructure are interrelated. The importance of communities is well recognised, but again, what level of investment is cost-effective? The quantity of investment has to be closely related to the quality of the investment.

"… capacity building has to be effective and well coordinated. USD 27 million can easily be wasted in training programmes, workshops and seminars of little use and where the bulk of the cost is spent on allowances, food and conference facilities. This is the real challenge; i.e. to provide relevant cost-effective training, eventually resulting in the assumed sustainability

improvements. A certain amount spent on a training programme requires a lot more personnel resources than the same amount being spent on hardware."[6]

3.2   Internalising HRD

If managers cannot measure a resource, it is difficult to control. Costs and benefits of training, the long-term strategic development of skilled personnel and the interrelationship between expenditure on staff and expenditure on activities can be undervalued.

3.2.1 Management responsibility

In the water and sanitation sector engineers fill many of the management positions. Technical training gives these people an excellent foundation in dealing with management of physical resources, with budgets, construction timetables and deployment of machinery. However, engineering training has often neglected developing managers' ability with more abstract matters. For example sustainability, poverty, gender, inter-disciplinary approaches and environment are diffuse subjects, engineers' ability to deal with them still requires improvement. Technically focused staff try to constrain these "softer" issues, looking at membership of committees, out-sourcing implementation, checklists for EIAs or strict pollution standards, rather than taking a more holistic view. The development of staff has a similar pattern, where 'engineer-managers' can easily identify technical training (such as operation of treatment plants), they tend to be weaker with less tangible professional skills, such as getting the best out of people at work. This leads to a vicious circle of devaluing management skills and other hard-to-measure attributes.

Outsourcing or mainstreaming?

One option often used is to externalise the issue, separating out the job descriptions – so for example "gender" is often dealt with by gender experts rather than technical experts. Gender activity is considered to be dealt with by ensuring women attend meetings rather than through reducing the burden on women and children through the design of water and sanitation facilities. HRM is also often treated as an external issue, unlike financial management, which is recognised as a core responsibility. Identifying staff's on-going training needs is just important as developing annual budgets and cannot be divorced from the planning. If managers are to maximise the performance of their staff they need to take responsibility for staff development and HRM themselves rather than delegating control to an expert who may not appreciate the work priorities. Recognising the value of staff leads to further investment and a virtuous circle of continuing professional development.

3.2.2   Impact on outcomes

The undervaluing of the human resource has less obvious impacts. Lack of an institutional memory (relying on individual staff experience and informal communication) means that work (and mistakes) is often repeated, leading to wastage. Reliance on project-based work tends to mean that each project starts again on a cycle, rather than building on experience and existing knowledge. Inadequate staffing (both in quantity and quality) can result in real financial losses. A study noted that 33% of expenditure on water and sanitation services was wasted due to poor value for money, partly due to "*inadequate orientation of the district staff to effectively supervise the works*" . (Directorate of Water Development - Technical Audit/Value for Money in TSU 8 Districts for FY2001/2002. Kabale District Report, 2003.)

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[6] Draft issues paper no. 2 (version 15 August 2003)

3.3 Changing how we think and act

Good practice in human resource development is easily explained and generally makes sense. However, it is more difficult to take responsibility and action. It is clear that a financial manager has prime responsibility for the work performance of accountants and book-keepers (and takes steps to manage and improve their performance), so all managers should accept responsibility for the training and development of their staff. This does not mean acting in isolation but rather working directly with other managers, training and personnel staff to identify and prioritise HRD needs and contribute to the shaping of cohesive corporate human resource strategies. This is particularly challenging where heavily centralised decision-making procedure is being thrust into a decentralised structure.

All this points toward the need for a shift in the way we think and act in relation to HRD. Attitudes towards training and the prevailing organisational culture regarding learning and access to it, risk undermining the skills people have and their willingness and ability to participate in change.

3.3.1 Taking responsibility

Although organisations have book keepers and accountants to support financial matters, the prime financial responsibility lies with management at every level. Similarly, although assessing and managing the human resource is a skilled task, it is the responsibility of each manager. Support may be given by a human resource professional and administration of training can be carried out by dedicated staff, but supervision and development of individuals is a core management activity.

Subsidiarity is moving management responsibility down to the lowest reasonable level. The different aspects of HRM and HRD need to be developed to different extents at different levels; technical staff are being given more responsibility so need the skills to manage delivery. Sector wide and strategic responsibilities cannot be delegated and there is an argument for giving HRM a higher status within the organisational structure to reflect its importance. For example, for NWSC, staff costs are one of the biggest areas of operational expenditure[7], exceeded only by plant costs. Managing that expenditure is a key activity if the organisation is to produce value for money.

Decentralisation and fragmentation of the sector will mean that it is becoming more difficult to provide HRM support, hence district engineers being provided with interim support through the TSUs. Increasing private involvement may promote a short-term approach to staff training and lead to qualified and experienced staff being poached from government and NGO organisations The human resource of the sector is a common resource and may be vulnerable to market forces.

Supply and demand

The demand responsive approach recognises the role the consumer of a service has in demanding how it is delivered, rather than just accepting what a supplier offers. Assessing the human resource will enable managers to demand investments in their staff and provide evidence for that demand. The suppliers of capacity development are organisations that can deliver individuals with increased skills, knowledge and experience, such as universities and colleges.

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[7] In the budget for financial year 2002-3, staff costs were 26% of the operating expenses, plant costs 29%, admin was 24%, supplies and services 10%, premises 3% finance 1%.

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3.4   Meeting demand

Uganda does have a wide range of educational establishments catering for the water and sanitation sector, from technical institutes to post-graduate courses at university, including specialist organisations such as the Mbale School of Hygiene. Beside the formal educational establishments, there are NGOs, in-house training centres, consultants and trainers available to run courses and workshops. However the supply side of the sector can only provide relevant staff development if it knows what is required by the industry.

Although the parallel with demand responsive approaches is useful, caution must be used. Provision of demand-led professional development needs to consider *whose demand?* Individuals may have different priorities to an organisation, especially when an organisation is trying to re-train technical staff so they can take on more commercial, regulatory or facilitation roles, rather than direct implementation. Informing demand should align personal career development with the aims of the organisation and the sector.

3.4.1   Bringing supply and demand together

International research by the UK Water, Engineering and Development Centre (WEDC) has shown that the water sector in various countries is under-going institutional change. This change needs to be managed, with attention being paid to the changing needs of the sector's human resources. Educational establishments can provide support with both expertise and training to meet changing circumstances but only if they have the right communication with the employers to understand the needs of the workforce in a changing environment. However, educators in turn need support to respond to the changes in their work – in terms of training material and modes of delivery. Some efforts have been made to establish networks of capacity building organisations, but these have not always proved to be effective or sustainable. However, lessons can be learnt from successful examples, to improve the contribution all stakeholders can make to the goals of the sector.

4.   Current activities

At the moment an assessment of HRD activities in the Ugandan water sector is being facilitated by WEDC[8]. Consultations have identified many worthwhile HRD activities within the sector, examples of which are given below.

4.1.1   Creating the institutional environment: UWASNET capacity building framework:

This framework was developed by local consultants co-ordinated under WELL[9]. It has taken a process-based approach to help individual and groups of NGOs to clarify their role in the sector and identify human (and other) resource limitations that limit them from fulfilling their role. The first stage has two strands, one facilitating NGOs to determine their vision, mission and organisational structure as a precursor to identifying their resource weaknesses. The second strand sets up a framework for NGOs to work together on capacity building activities, locally, regionally and nationally, prioritising needs, identifying capacity building opportunities and accessing funding.

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[8] The Training for Real project is being carried out under the SWAp and involves staff in the UK and Uganda.
9 WELL is a DFID funded resource centre, providing information and advice to governments (national and local), and NGOs working in water, sanitation and environmental health. See www.lboro.ac.uk/well for more information

4.1.2 Motivating staff: NWSC stretch out programme

The core strategy for meeting NWSC's key targets is centred on good management, such as "one minute management". This has placed managers at the centre of meeting the organisation's goals. The Corporation's "stretch out programme" has incentives to motivate staff in meeting operational and financial targets. This recognises the staff's key role in maximising the return on the other (financial and technical) resources and rewards them when targets are met.

4.1.3 Developing skills to meet emerging needs: Makerere University

The Faculty of Technology is running a scheme to train engineering students through district focused internship attachments. This is designed to give students some practical experience to complement their theoretical training. It will also help them understand the needs of future employers – especially in rural areas were there is a need for suitably qualified and motivated staff. For the employer, the presence of skilled staff will improve the supervision of construction of water and sanitation facilities. This project has the additional benefit of bringing university staff into contact with engineers in the field, enabling lecturers to understand the needs of district engineers more comprehensively and adjust teaching to suit the requirements.

4.2 Initiatives

The current consultation is identifying a wide range of initiatives and activities, from universities, colleges, employers, donors, international organisations and NGOs. These cover all aspects of capacity building, from resources centres to curriculum change. The number of sector-based workshops is an indicator of the quantity of capacity building activities, but obscure the direction and impact of all the separate initiatives. Funding does not seem to be the barrier to improving human resources in the sector, rather the need for the level of co-ordination that has been developed in technical areas under the sector-wide approach.

5. Training for Real

In recognition of the needs and problems associated with capacity building, a project focusing on the sector-wide issues of capacity building was started in July 2003. It aims to look at the foundations of human resource development, rather than a piecemeal review of curricula, courses or workshops. By improving the communication and mutual understanding of organizations supplying and demanding capacity building, the targeting of activities could be improved and a more focused, sustainable and cost-effective workforce should emerge – for the whole sector. One round table meeting of key personnel has already taken place and a further is planned for the end of October, building on the findings of the consultation stage and the Joint Sector review.

5.1 Issues arising

The consultation stage of the training for real project has identified a range of questions besides the more fundamental questions of the quality and quantity of the investment required.

What the consultations are showing

- There are many capacity building initiatives; are they all necessary? Should they be co-ordinated? Can the stakeholders retain ownership of shared initiatives? Who should champion capacity building in the sector and at what level? Should this be organised at MWLE, DWD or sub-sector level?
- The various asset holding, regulatory, enabling, co-ordinating and monitoring roles that are emerging within the sector mainly focus on concrete activities, financial issues, contractual and perform-

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ance monitoring. Human resources can form the major asset of some organisations, so should human resource development be added to the regulation remit?

- Each sub-sector and organisation has highlighted the need for capacity development. Is a human resource development strategy needed for each sub-sector? How should a sector-wide strategy be developed? Can the process move from isolated training-needs analysis to skills analysis and continuous professional development?
- Training materials: recent initiatives such as the MoH/ SIDA/ UNICEF booklets on sanitation promotion have provided good material for advocacy and training. What other material is needed? Who should provide it and how they can be adopted sector-wide?
- Training formats: are workshops the best way to develop staff? What is the most efficient way to provide effective training?
- Incentives for training; how can short-term financial remuneration (e.g. workshop allowances) be adapted to motivate individuals towards long-term career growth and organisational development?
- In order to provide targeted training, task allocation and job descriptions are required. Increasing movement of staff between institutions will require understanding, recognition and acceptance of work experience throughout the sector. Is some sort of common understanding needed in order that educational establishments and professional institutions can provide managers, engineers, socio-economists and technicians for the whole sector?
- Resource centres: DWD has a library at Luzira, water resources information is held at Entebbe, NWSC has a vocational training centre at Bugolobi; universities have libraries and laboratories for training students; the UWASNET consultation on capacity building noted the need for accessing resource materials. IRC/SNV are facilitating the development of a further resource and information centre network. How should resource centre initiatives be rationalised, co-ordinated and monitored?
- The Performance Measurement Framework will have an impact on how resources are allocated. What indicators of HRM and HRD will best suit the sector?

5.2   Future work

The training for real project is still gathering information and opinions from stakeholders in the sector, indeed monitoring the discussions of the Joint Review is part of that consultation process. However some indications of what is required are beginning to emerge.

- There is clear demand for an improvement in the management of capacity building sector-wide – in terms of content, delivery and value for money of training and related activities.

- A human resource strategy is needed to provide direction and co-ordination. Strategy has been developing through the sector wide approach for the delivery of water and sanitation services, but has not extended to the management and development of human resources.

- Communication between capacity development providers and employers in the sector is vital and appears feasible with the correct facilitation.

- What are the real incentives for training and drivers for change?

Whilst there are many other detailed points that could be addressed, these need to be placed in a wider strategic context. The original proposal for the *Training for Real* project focused on the issue of improving the demand and supply of capacity building, to provide

"*Motivated and responsive HRD and training providers, better equipped to provide employer* relevant *professional development of water and sanitation sector staff*"

However the first stage of the project has identified that HRD suppliers can only meet the needs of the sector if the sector knows what those needs are. This requires a sector-wide HR strategy. Whilst a dialogue between the different stakeholders is still essential, this will only provide part of the action needed to streamline training initiatives. The previous research done in this area demonstrates that there is no simple blue-print for HRM and HRD.

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The methods and tools required will need to be selected to suit the local situation and need to be selected by the people who will use them. A "standard solution" will not work effectively – just as demand responsive approaches have demonstrated in water supply design.

Putting human resources the foundation of strategy

The development of a performance measurement framework offers an ideal opportunity for a strategic look at how capacity development and training fit into the overall sector. This will allow investments in staff to be placed alongside other investments, to ensure it is adequately resourced and prioritised.

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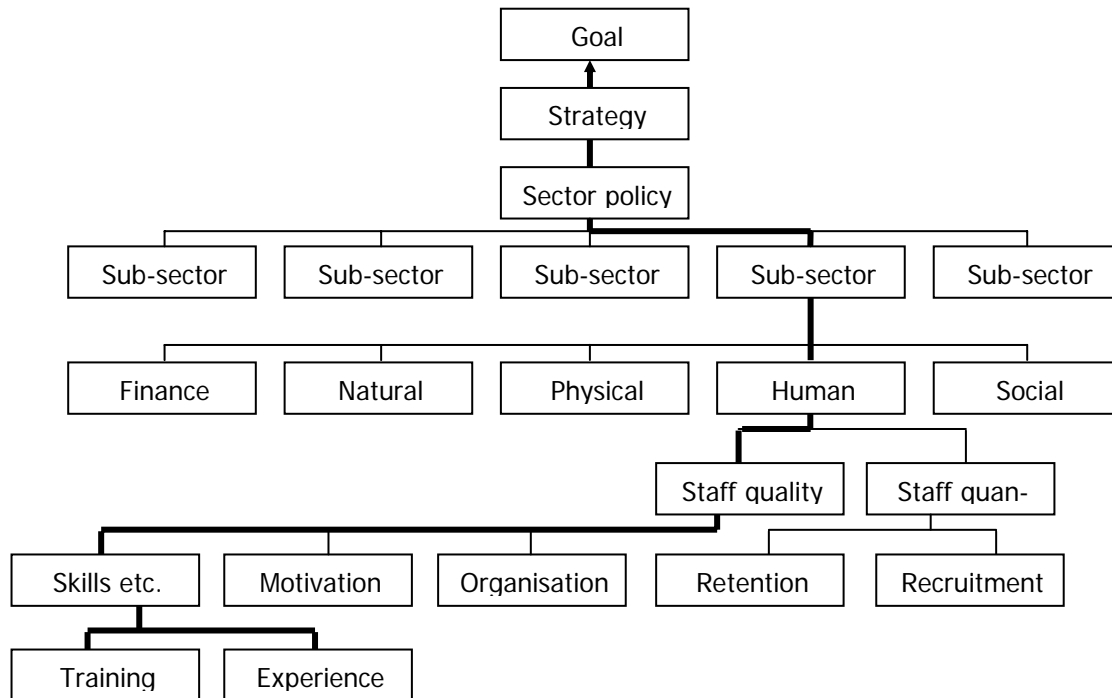
Although staff form the foundation of an organization, responsibility for HRM needs to be at the top level.

5.2.1 Next steps

The initial stage of the *Training for Real* project was designed to verify if the activities planned for the main part of the project were required and feasible. Whilst this is appears to be the case, the questions about value of capacity building investments have broadened the requirements from just promoting dialogue to the need for a common human resource strategy for the sector, bringing together the different components (sub-sector managers and training suppliers) in a co-ordinated fashion. However, in order to develop a such strategy, the process needs to be agreed by the stakeholders, the need for a strategy accepted and appropriately championed.

The project offers an ideal opportunity to build on the current dialogue on capacity building in a changing institutional environment and move towards the development of an appropriate strategy, but this will require alterations to the original proposal for the next project stage. Depending on the discussions at the sector review, the project team will propose that the next stage is altered to not only work on improving the dialogue between capacity building suppliers and employers, but that a process is developed to formulate a human resources strategy for the rapidly evolving water and sanitation sector. This will be tabled at the next *Training for Real* round table meeting in October.

Appendix 5. Documentation

Publication/ report	Author/ institution
DWD	
Joint GOU/ Donor review 2002 – paper 1 - overview	DWD
Joint GOU/ Donor review 2002 – paper 2 - rural	DWD
Joint GOU/ Donor review 2002 – paper 3a – Small towns	DWD
Joint GOU/ Donor review 2002 – paper 3b – large towns	DWD
Joint GOU/ Donor review 2002 – paper 4 – Water for production	DWD
Joint GOU/ Donor review 2002 – paper 5 – Water resources Management	DWD
Joint GOU/ Donor review 2003 – paper 1 – General Sector Issues and Reform	DWD
Joint GOU/ Donor review 2003 – paper 2 – rural water supply and sanitation	DWD
Joint GOU/ Donor review 2003 – paper 3b – urban water supply and sanitation	DWD
Joint GOU/ Donor review 2003 – paper 4 – Water for production	DWD
Joint GOU/ Donor review 2003 – paper 5 – Water resources Information	DWD
Joint GOU/ Donor review 2003 – Memorandum of Understanding	DWD
Function description, organisational structure and job descriptions for Water Resources Management Department	PEM Consult/ DANIDA
Function description, organisational structure and job descriptions DWD draft final	PEM Consult/ DANIDA
Current Status on the Analysis of the Findings of the District Capacity Needs Assessment/Organisational Self Assessments and Value for Money/Technical Audit of the District Rural Water Supply and Sanitation Programmes	
Summary Report On Value For Money/Technical Audit, Districts Capacity Needs Assessment And A Review Of Ministry's Monitoring And Evaluation Function – FY 2000/01	
Function Description, Organisational Structure and Job Descriptions Draft Final Reports Dec 2001	DWD
NWSC	
Stretch-out programme for Mbarara area: evaluation for Sept and Oct 2002	Group To Consult
Stretch-out programme for Jinja area: evaluation for Sept 2002	Group To Consult
One-Minute Appraisal System Form B and C	NWSC
Corporate Organogram 31-12-01	NWSC
Corporate Plan 1-7-03 – 30-6-06	NWSC
Job Descriptions Vol 1 June 2000	Mr George Ayee, NWSC
Job Descriptions Vol 2 June 2000	Mr George Ayee, NWSC

Publication/ report	Author/ institution
MoH	
Program of Capacity Building Support in Environmental Health and Sanitation in Uganda – inception report	EHD/ WSP
MWLE	
Submission to MoPS for the reorganisation of DWD of the MWLE	MWLE
A Tracking Study of the Water Sector Conditional Grants March 2003	MWLE, International Development Consultants
Guidelines for Planning and Operation of District Water and Sanitation Development Grant 2002/03	Directorate of Water Development
Development of a Strategy for Support to Private Sector Organisations Participating in Rural Water and Sanitation Programmes in Uganda; Final Report September 2003. R Carter et al	Cranfield University Silsoe
Submission to Ministry of Public Service for the Reorganisation of The Directorate of Water Development	MWLE
Donors	
Institutional, organisational and financial assessment of DWD/ MWLE	DANIDA
A study report for the development of Resource/ Knowledge Centres in Uganda: Water and Sanitation Sector. Dec 2002	R Glotzbach, I Mutenyo and E Rwamwanja IRC Water and Sanitation Centre/ SNV
Establishment of Knowledge/ Resources Centre in Uganda Water and Sanitation Sector; Concept paper	
Project Appraisal Document on a Proposed Credit … for a Second Environmental Management and Capacity Building Project	The World Bank
Assessment of the Capacity Building Process 1995-2000	GoU UNICEF
8th Assignment Report RUWASA phase IIA	N Carefoot HRD-ID Advisor
9th Assignment Report RUWASA phase IIA	N Carefoot HRD-ID Advisor
Educational Organisations	
Training of engineering students through district focussed internship attachments – proposal	Dept of Civil Eng MUK
Capacity building programme for decentralisation	Dept of Civil Eng MUK
Training of Engineering Students through District-Focused Internship Attachments	Dept of Civil Eng Fac of Tec MUK
Training of Engineering Students through District Focused Internship Attachments Final Report of the Activities for the Pilot Phase	Dept of Civil Engineering Fac of Tec MUK
Organizing Local Documentation Services for the Water and Sanitation Sector: guidelines. RS9	S Parker, IRC Water and Sanitation Centre
Information management in the water and sanitation sector, Lessons learned from field assignments in Africa an Asia. OP19	S Parker, IRC Water and Sanitation Centre

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Publication/ report	Author/ institution
Water Supply and Sanitation: Directory of institutions, sources of information and documentation in Uganda 1999	NETWAS/ SDC
UWASNET and NGOs	
Capacity Development Framework ~ for NGOs and CBOs in the Ugandan Water and Sanitation Sector. Reed, Male and Gomme	WELL

Appendix 6. Revised proposal