



2 hours 25 minutes
total

Module Plan

Capacity Development

Overview of Activities

1. Introduction
2. What is Capacity Development
3. Analyze Capacity Development Needs
4. Design Capacity Development Plan
5. Implement and Monitor
6. Review

Learning Outcomes

At the end of this session, the participants will be able to:

1. Explain the concept of capacity development
2. Assess capacity needs
3. Select appropriate capacity development activities for latrine program stakeholders

Materials

- Participant workbook (1 per participant)
- PowerPoint (PPT): Capacity Development (optional)
- Sticky Notes
- Flip chart paper and markers
- Prepare: 4 Placemat flip charts
- Handout: Capacity Assessment Role Cards (1 role per participant), print and cut out
- Handout: Capacity Assessment Interview Guide (1 per participant)
- Prepare: Paper Cabbage (see instructions under “Paper Cabbage: Review” in lesson)
- Music (on computer or other device) for paper cabbage activity

Recommended Reading

- Technical Brief: Capacity Development
- Sanitation Case Studies



Introduction

If using PowerPoint, start on **PPT Slide 4** for this lesson.

1. Instruct participants to listen carefully to the situations of two individuals from “Panau”.
Read the following excerpts:
 - My name is Sofia, I am a mason. I work for myself and build all kinds of structures. I received specialized training in latrine design and construction a few years ago when there was a sanitation program run by Helping Hands of Dignity. I have built latrines for households and schools in my community.

Customers are satisfied with my latrines, but I am still struggling to get more customers. How do I promote my services and build my business? I’ve already built latrines for all the households I know personally.

I am thinking of just focusing on building houses rather than latrines. There is a big government program in place with a focus on improving housing that would subsidize my work. There is no such incentive for sanitation. No one seems to care that much about it. **(PPT Slide 5)**
 - My name is Mohammed, I am a volunteer community health worker. My aim is to improve the health of individuals in my community. I visit many households and promote the need for latrines and good hygiene. Most households like it when I visit and usually invite me for tea. They can repeat back to me the reasons why having and properly using a latrine can improve their health.

I don’t understand why, even with this knowledge, they continue to practice open defecation. How can I motivate them to change their behaviour? I can’t visit the households any more frequently because I also have to work to support my family. **(PPT Slide 6)**
2. Ask: “What skills, knowledge, resources or attitudes would each of these individuals need to succeed in our latrine program?” Record their responses on flip chart paper or whiteboard. Possible answers:
 - Behaviour change
 - Demand creation
 - Marketing
 - Securing finances
 - Enabling environment: government initiatives
 - More support: more workers
 - Need to get paid for their work

Trainer Tip: Keep this information as it will be used later in the workshop.
3. Present the learning outcomes or an overview of the lesson. **(PPT Slide 7)**

What is Capacity Development?



1. Ask: “how would you define capacity development?” (PPT Slide 8)
2. Review the definitions of capacity and capacity development.
 - a. **Capacity** is “the ability of individuals, organizations, and societies to perform functions, solve problems, and set and achieve objectives in a sustainable manner” (UNDP, 2009a).
 - b. **Capacity development** is “the process through which individuals, organizations, and societies obtain, strengthen, and maintain the capabilities to set and meet their own development objectives over time” (UNDP, 2009).
3. Explain that capacity is developed on three different levels - individual, organizational and enabling environments. All people function within each of these levels, therefore capacity development needs to be addressed on each of these levels. Define the three levels. (PPT Slide 9)
 - **Individual** – includes the experience, skills, knowledge, attitudes, capabilities, or competencies of people that allow them to function successfully within organizations and the enabling environment.
 - **Organizational** – are the internal systems and structures that allow an organization to function effectively. Includes policies and procedures, human resources, physical structures, and benefits.
 - **Enabling environment** - is the social and political system in which individuals and organizations function. Includes laws, policies, social norms, traditions, rules, politics.
4. Explain that latrine program implementers should partner with other stakeholders to address capacity gaps within all three levels, recognizing that the ultimate goal of capacity development is:
 - Individuals gaining skills and knowledge, in functional and adequately resourced organizations being able to work effectively within the local and national operating environment. (PPT Slide 10)
5. As a large group return to the flip chart paper from the introductory activity and review the list of capacity needs created by the group for Mohammed and Sofia. Review the list with the group and ask: “which levels of capacity does this need belong to?”
 - Sofia (mason) - individual capacity level: marketing; and enabling environment: government support
 - Mohammed (community health worker) – individual capacity level: behaviour change strategies; and organizational capacity level: more community health workers to allow for more follow-up
6. Have participants return to their Panau groups.
7. Explain that groups will brainstorm two or more potential capacity development needs within their latrine program for each level (individual, organizational, enabling

environment). Have each group write down their ideas on sticky notes – one need per sticky note (for example, math skills, project management, policies). **(PPT Slide 11)**

Trainer Tip: For more examples of capacities that fall within each level see Technical Brief: Capacity Development section 2.1.

8. Draw the capacity levels diagram (below) on flip chart paper or a whiteboard. Instruct all groups to place their sticky notes within the right level.



60 minutes

Analyze Capacity Development Needs



1. Explain that analyzing what is already known about stakeholders' capacity and capacity development in the context of the program is vital to the development of a successful capacity development strategy. **(PPT Slide 12)**
2. Ask: "What questions could a latrine program designer ask to analyze capacity development needs?" Possible answers:
 - What capacity already exists that can be built on?
 - What are the key capacity gaps?
 - Why are we trying to develop this capacity?
 - Whose capacities need to be developed?
 - Who here is offering capacity development within the sanitation sector?
 - What capacity development activities have already been tried?
 - Were they successful or not?
 - What gender inequality exists in ongoing capacity development activities?

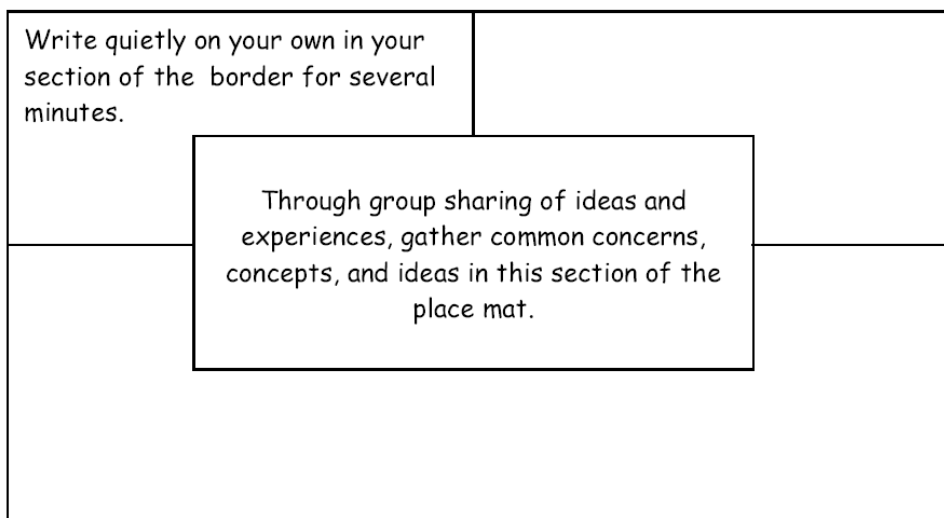
Trainer Tip: Refer to Capacity Development Technical Brief section 3.1 Analyze Context.

3. Explain that a **capacity assessment** is the analysis of the desired capacity an individual or an organization would like to have against the capacity they currently have. The goal is to identify any gaps. **(PPT Slide 13)**

4. Explain that both formal and informal methods should be used to identify capacity strengths and gaps, such as: surveys, focus groups, interviews, polls, face-to-face conversations, and assessments or evaluations.
5. Explain that often programs focus primarily on individual and organizational capacity development because intervening in the enabling environment often means getting involved in the social and political systems. This can be difficult, costly, and time consuming. However, it may be necessary to achieve your program goals.
6. Ask participants to form pairs.
7. Explain that they will receive role cards. They will be given 3 minutes to read their card and become familiar with their role.
8. Explain that one member of the pair will take a turn interviewing the other using the interview questions provided.
9. Explain that the purpose of the activity is for each participant to try and identify potential capacity development gaps or needs. They can take notes to help them later to share the information they collect. **(PPT Slide 14)**
10. Handout the Capacity Assessment Role Cards and Capacity Assessment Interview Guide. Ensure that 1 person receives a mason card and 1 person receives a SaniBiz card.
11. Instruct the mason in the pair to interview first. Give participants 5 minutes.
12. Ask partners to switch roles. The SaniBiz person will now interview the mason. Give participants 5 minutes.
13. Regroup the participants into groups of 5, with those who interviewed the masons in one group of 5, and those who interviewed AguaBiz employees in another.
14. Explain that each group will use the placemat layout to analyze the interviews. Distribute the Placemat flip charts to each of the groups. Have each group draw a medium-sized circle in the middle of their paper. Then draw lines from the circle to the edge of the paper to

Trainer Tips

- Encourage a relaxed atmosphere.
- Stress that the role on each card does not necessarily reflect the personal experience or perspective of that person.
- When questions require information that is not provided in the character card, encourage the interviewees to improvise.



make a section for each person to write notes from their interview. **(PPT Slide 15)**

15. Instruct participants to start by quietly writing the capacity needs they identified during the interview into their assigned section of the placemat. Give participants 3 minutes.
16. Invite each participant to give a quick 30 second summary of their interview within their small groups.
17. Instruct groups to analyze their placemat and to prioritize 4 common capacity needs and record them in the central circle.

Trainer Tip: If participants are struggling to agree on the top 4 capacity needs, remind them to reflect on the goals of the Panau latrine program, possible costs, value and impact of their chosen capacity needs, ways to connect the needs.

Trainer Tip: Hold on to these placemats as they will be used in later activities.

40 minutes

Design Capacity Development Plan



1. Invite participants to take a few minutes to think about the different ways that they have learned the knowledge, skills, and attitudes they have that help them complete their current job responsibilities. **(PPT Slide 16)**
2. Have participants turn to their neighbor and give them 1-2 minutes to share their thoughts.
3. Explain that capacity development must consider factors such as cross-cultural perspectives and context if a program intends to empower and be sustainable. Identifying local customs, beliefs and practices related to teaching and learning will allow a program to find ways to incorporate them into capacity development strategies. This not only lessens power struggles but enhances trust, and strengthens partnership.
4. Ask: “What are other factors that could impact the effectiveness of capacity development activities?” **(PPT Slide17)**

Possible answers:

- Literacy
- Gender
- Power discrepancies
- Learning preferences or styles
- Available time, space, and access to technology

Trainer Tip: For more information on this topic refer to the Capacity Development Technical Brief section “3.1 The role of culture and context” and “3.3.1 Success factors in capacity development”.

5. Ask: “How could identifying or ignoring these factors impact a capacity development strategy?”
6. Explain that capacity development can be accomplished through formal learning and non-formal activities. **(PPT Slide 18).**
7. Share the following definitions:

- **Formal Learning:** Follows a defined curriculum with specific objectives and results, including certification. (For example, public education, post-secondary education, vocational institutions)
 - **Non-formal Learning:** May have a defined curriculum with objectives, but does not result in certification (For example, training programs (non-accredited), on-the-job training, webinars, online courses and instructional videos, coaching and mentoring)
8. Ask: “Why do you think that using a combination of formal and non-formal training could be more effective than just one?”
 9. Explain that multiple methods are likely needed to develop one capacity need, using a mixture of activities reinforces knowledge, understanding, and skill level and increases long-term outcomes.
 10. Ask: “Who facilitates capacity development?” (**PPT Slide 19**) Possible answers:
 - Government
 - Nongovernmental organizations
 - Private sector
 - Community-based organizations
 - Educational institutions
 - Subject matter experts
 - Self-led (individuals or groups)
 11. In their ‘Mason’ or ‘SaniBiz’ groups invite participants to fill in the Action Planning Matrix (question 1) in their workbook under capacity development. Remind groups to consider how the factors they brainstormed earlier might impact the capacity development activities they choose.
 12. They will need to list 2 examples of capacity needs with the following information: desired outcomes, activities, who will carry them out, and a timeline for when each activity should be done. Give groups 20 minutes.
 13. Ask each Panau group to present their action plan for capacity development activities and have the other participants provide feedback. For example,
 - Was the needs assessment accurate?
 - Was anything missed?
 - Does this capacity development strategy meet the capacity needs?
 - Is it realistic?
 - Why do you think gathering feedback was important?”

5 minutes

Review



1. Add capacity development activities to workflow table on wall (**PPT 20**).

Review

1. Write the following questions on individual pieces of paper:
 - What are the 3 levels of capacity development?
 - Give 2 examples of possible capacity needs for masons?
 - Give 2 examples of possible capacity needs for a sanitation business owner?
 - Give an example of a group that would facilitate capacity development activities for masons.
 - Give an example of a group that would facilitate capacity development activities for an accountant?
2. Crumple the pieces of paper one at a time and place around each other to form a layered “**paper cabbage.**”
3. Ask the participants to stand in a circle and pass the paper cabbage around while you play music. When you stop the music, whoever has the cabbage should peel off a piece of paper, read the question, and give an answer.
4. Continue playing until all the questions have been answered.

This resource is open content and licensed under a [Creative Commons Attribution-ShareAlike 4.0 International License](https://creativecommons.org/licenses/by-sa/4.0/). Refer to CAWST’s guidelines for distributing, translating, adapting, or referencing CAWST resources (resources.cawst.org/cc).



Capacity Assessment Interview Guide

Handout

What is your job / role?

What - if any - formal training (school or courses) have you had?

What – if any – on the job training (mentoring / coaching) have you had?

How do you usually learn new skills?

What issues / challenges do you face in your work?

What tools, resources, and support do you need?

Would you like formal training?

What time would you have available for training?

Are you comfortable reading and writing? Yes/No

Are you comfortable using computers? Yes/No

Are you comfortable using a smart phone? Yes/No

Are there resources, skills or procedures that other members of your organization are lacking that would make your work easier / more successful?

Do you feel supported by your organization? How? or Why not?

Capacity Assessment Role Cards

Handout

Stakeholder group: Masons

Mason 1	<p>I've been a mason for over 10 years and building latrines for 5 years. I was trained in 2012 by Helping Hands of Dignity on technical skills for building pit latrines. Back then, we did not have to promote our services; promotion was done by community health workers. Now that the program is finished my sales have decreased, I know I should market my own services, but I am not very good at it. It feels like people don't trust me because I work in a sector that is considered to be dirty.</p> <p>Most of my customers are happy, but I've had a few conflicts that were difficult to resolve. For example, some customers still owe me money for work I've completed. They don't see the value of the work I do. I don't know what to do, I can't afford to work for free.</p> <p>It is hard to work in the sanitation sector. There are so many new design regulations and I can't keep up with them all. If I miss one I could get fined by the government.</p> <p>I work long hours; it is hard for me to attend formal training sessions. I cannot miss work or pay for training or my family will not have enough money.</p>
Mason 2	<p>I've been a mason for over 15 years, I went to a vocational school for general masonry and I was also trained by Helping Hands of Dignity 5 years ago on technical skills for building pit latrines. When Helping Hands of Dignity were still here we did not have to promote our services; promotion was done by community health workers. Now that the program is finished, I have to market my own pit latrine services. I am the most experienced mason in the area, but my sales have decreased because people don't feel like they can afford my services. Usually they try to negotiate the price or they offer to help so they don't have to pay. I have heard that when owners help build their own latrines they take better care of it and the family use them more; however, it takes longer when they help and they still blame me if there are any mistakes. To be honest, I can't afford to lower my prices, so I prefer if they don't offer to help. I just need the money.</p> <p>It might be good if I could offer more latrine choices to the household. I have heard many families comment that they wanted fancier looking latrines like they have seen in the shopping malls. But those designs would not work in Panau because there is no sewage network. This just tells me that maybe my clients don't really know what they need. Also I am not familiar with other latrine systems that might work.</p> <p>I doubt there is a useful training available for what I need to learn and I don't want to waste time learning something I already know, I already have lots of experience.</p>

Mason 3	<p>I've been a mason for over 5 years, I work on any type of concrete project I can find. I was trained by sanitation NGO called Helping Hands of Dignity 5 years ago on technical skills for building pit latrines. Back then, we did not have to promote our services; promotion was done by community health workers. Now that the program is finished, I am struggling to market my own services. It takes too much time and if I waste my time marketing then I miss out on other high demand and better paying work like constructing houses and public facilities.</p> <p>Maybe if I had more latrine options it would be easier to create demand for latrines.</p> <p>The sanitation sector is difficult because most people consider it to be lowly work and they don't see the value of latrines, so they try to lower the price or don't pay me on time. I'm also concerned that there are so many new design regulations, so I am not sure how to keep up with the changes. I don't want to be fined by the government.</p> <p>Between the time it takes to market my services and all the regulatory changes, I'm considering just working in other projects not related to sanitation.</p>
Mason 4	<p>I've been a mason for just 1 year. I was taught by my uncle and cousin. I only built three latrines with their help and supervision and then they told me I was good enough to work on my own. I'm not very good at getting new customers. I don't really understand how to convince clients to pay a fair price for a latrine, so it is hard to sell them what they want. I think people can sense my hesitance and don't trust me because I am so young.</p> <p>Customers always want to pay me when the work is finished instead of before I start. Without the money first, I have to use my own money to buy all the products I need for building.</p> <p>Two of the latrines I built have been of good quality, but one recently collapsed and I don't know why – I did everything the same way the only difference was that this one was in a sandier location. I had to rebuild it free of charge. Thankfully, no one got hurt.</p> <p>I am very embarrassed about my education; I did not finish school and only read at a first-grade level.</p>
Mason 5	<p>I've been a mason for 3 years. I went to a vocational school for masonry and then worked with family for my first year. Most of my latrines have been of good quality, but a few have collapsed, and I have had to rebuild those latrines free of charge. No one got hurt, but the households were very unhappy and they told their friends and families not to trust me. I am so angry because these people are ruining my reputation and my livelihood.</p> <p>I do good quality work, the latrines collapsed because of unstable soil. But what am I supposed to do when the household only has a certain space for me to site their latrine? I don't know if there are better ways to build pit latrines in sandy soil. I also think it would be good to learn about and offer other styles of latrines. I work long hours; it is hard for me to attend formal training sessions. I do not want to miss work for training or I won't make enough money to support my family.</p>

Capacity Assessment Role Cards

Handout

Stakeholder Group: SaniBiz

Business Owner/Director	<p>When I started in sanitation I worked as a mason, I knew all the technologies and had many skills. Eventually I started SaniBiz, it focuses on latrine construction and manufacturing concrete slabs. I used to work on my own, but over the past 5 years, my business has grown. We have 21 people working in the business now, I even hired two women. They are paid less than the others because they physically can't do the same amount of work, but I don't think it bothers them, they are just happy to be working in such a respected company.</p> <p>I am very friendly and like to talk with my employees, however I don't always know how to get everyone working as a team. Sometimes my employees approach me with new ideas – such as manufacturing plastic slabs. I don't know very much about this process and the idea of such a big change in my business makes me nervous. I know as the director it is my job to create a strategic business plan but I don't even know where to start.</p> <p>I want to keep growing but first I need to understand the new sanitation regulations, potential technologies, designs and techniques. This is a lot for me to learn and my employees would have to learn all of this too. I think the best way for my workers to learn is through on-the-job experience because training days cost too much money and time is money.</p>
Accountant	<p>This is my first job and I was put in charge of finances. My uncle (the owner of the business) says I am responsible for budgeting and finding funding. I have been trying to find grants but writing proposals seems really complicated, they want us to show how we are accomplishing our goals and want us to monitor so much I have asked to see our quality control records but they are inconsistent and disorganized. I did an online course to learn the basics of accounting, but I worry I might be doing it wrong. The human resources person keeps telling me to find money to hire new people or to pay are staff better or they are going to want to find other jobs. But this is very hard so far when we do the budget at the end of the year, many times nothing adds up.</p> <p>My uncle says he wants to grow the business more but he does not seem to know exactly what his long-term vision is. He just hired someone to market the company, she wants more money to start creating demand for our products and services but I am worried that the money will be wasted if we don't have a solid plan. In my course</p>

	<p>about raising funds, the instructor said we should have a plan or a strategy. I wish I knew what SaniBiz strategic plan is, so I can try to find resources for it locally.</p> <p>I just need more guidance and mentorship so I could understand better how to manage the money and find funding support. My supervisor doesn't have time to mentor me, at least that is what he says. I have a lot of responsibilities and no one to help me improve my skills.</p>
<p>Administration and Human Resources</p>	<p>Including me there are 21 staff in this business. I am in charge of human resources (HR), that means I am responsible for making sure people get paid on time. I recruit new staff and help with interviewing. We are a small business so I also help with other administrative duties and marketing. Our new marketing person told me her ideas to try and get more public support and awareness, she has some strange ideas – she thinks we should market to women! How could that help us? I think the men are the ones who decide how to spend money.</p> <p>I have been trying to learn more on my own time about marketing strategies and what kind of products people want, so we can get more business. I am beginning to realize how important customer service and user education is in creating demand and growing our business. This should be a priority in our staff training and marketing plan.</p> <p>I am worried even if we get more business our staff might not have the customer service skills or technical knowledge to do the work. Also, if we don't do regular updates and training on the new regulations they might just do it the way they want I wish the director would recognize that staff training is important. We need to budget time and money to ensure we have capable staff and make sure we are staying current with best practices.</p> <p>It is a lot to manage and I worry that sometimes I don't have enough time or money to make it all work. I know some of our staff deserve to be paid more and I need to adjust their salaries but I am not sure what the current market trends are or how to determine what is fair for everyone. If we don't do something soon, I am worried we will start losing staff.</p>
<p>Factory Worker</p>	<p>I work in the factory manufacturing concrete slabs to be used in latrine construction. We only make one kind of slab, but we are really good at it! One of my duties is quality control I have a whole system for how I record and test our slabs. No one else understands it, so I am the only one that can do this task. The director was asking me to show him how it is done so we can report what we do to the government, but I am worried that maybe what I do won't meet the standards. I try to stay updated on all the new sanitation regulations, technologies, designs</p>

	<p>and skills needed, but there is a lot and I have been told there is not enough time or money for training.</p> <p>I have heard recently about plastic slabs coming into high demand I think it is important for us to explore alternative technologies to stay current, give our customers choices and build demand. The marketing lady needs to get us more clients, but it's very hard to convince our boss to try something new, he seems stuck in the past.</p> <p>Another responsibility I have is to mentor new staff, so they learn what we do and they can do it well. Sometimes I get carried away talking and showing them what to do, that I am late with some of the other work I have to do. I need to learn how to manage all of my responsibilities more effectively. I am good at my job and have been told that many times by other staff members.</p> <p>I have the same pay and position as the other factory workers but have been given more responsibility. I am supposed to be in charge of their work, but they don't respect me as a supervisor. I need them to see that I am their leader. When I try to implement best practices many of my co-workers don't understand or care that if they don't follow the regulation we could get fined, I am worried if something goes wrong I will be blamed.</p>
<p>Marketing and Customer Services</p>	<p>I was just hired three months ago because the company wants to grow and they need someone to focus on marketing, getting contracts and strengthening public support and awareness. I have experience in marketing for a pharmaceutical company, but I don't honestly know much about sanitation. I am worried there are a lot of differences and I won't know how to get people interested in our products.</p> <p>One area I am excited to focus on is user education, once they get their latrines it will be important for them to know how to use it, empty it, repair it and keep it clean. We don't have anyone who does this now, so I am not sure how we will be able to do all this, but I feel it should be part of our strategic plan.</p> <p>The other day a factory work told me that he has been hearing a lot about plastic slabs, I need to figure out what other technologies are out there and then figure out how we can get the director to start offering them as well. Maybe he is right and maybe people want more options, but I am not sure how to figure this out.</p> <p>I am worried that as one of the only women in this company the director and other staff won't want to hear or accept my ideas. I have heard negative talk and attitudes about my capabilities because I am a woman so I want to work extra hard to prove that I can do it. I know from my previous work that women want to take care of their families and generally are in charge of cleaning and maintaining their homes. I</p>

	<p>believe if we start marketing and educating the women we will have more success. I am not sure how to discuss this topic with my boss, he seems to think that only men are involved in household decisions.</p>
--	--

Capacity Needs of Masons and SaniBiz

Trainer Answer Key

	Mason 1	Mason 2	Mason 3	Mason 4	Mason 5
Capacity needs	Marketing	Marketing	Marketing	Marketing	Conflict resolution / Customer service
	Conflict resolution / Customer service	Financial management and financing options	Understanding regulations	Latrine specific technical skills: site selection and soil considerations	Latrine specific technical skills: site selection and soil considerations
	Understanding regulations	Alternative design and technology options	Alternative design and technology options	Financial management and financing options	Alternative design and technology options
Potential barrier to capacity development	Lack of time and personal finances	Attitude about learning more	Lack of time, sees other work as more profitable	Reading level and finances	Lack of time and personal finances

Capacity Needs of Masons and SaniBiz

Trainer Answer Key

	Business Owner/Director	Accountant	Human Resources and Administration	Factory Worker	Marketing and customer services
Capacity needs	Gender Sensitivity	Financial management and Fundraising	Marketing strategies - user preference, behaviour change	Technical capacity	Leadership, networking and collaboration
	Strategic Planning	Strategic Planning	Financial Management	Leadership, Mentoring and Project management	Marketing strategies - user preference, behaviour change
	Leadership and Management	Monitoring and Evaluation	Gender Sensitivity	Monitoring and Evaluation for Quality control	Technical capacity
Potential barrier to capacity development	Lack of understanding employees learning needs and styles Gender Bias	No one available to mentor them	Lack of financial support and high staff turnover Gender Bias	Their product may no longer be in demand Lack of power and respect.	Lack of financial and strategic support from the company Gender stereotypes work against her