Enhancing the Wise Use of Wetlands

A Framework for Capacity Development

Ingrid Gevers
Esther Koopmanschap

The Centre for Development Innovation (CDI) works on processes of innovation and change in the areas of secure and healthy food, adaptive agriculture, sustainable markets and ecosystem governance. It is an interdisciplinary, internationally focused unit of Wageningen University and Research Centre within the Social Sciences Group.

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Ingrid Gevers
Esther Koopmanschap

In collaboration with:
Wageningen UR Centre for Development Innovation colleagues
Caroline Desalos
Pepijn Jansen
Simone van Vugt
Jim Woodhill

Deltares
Bouke Ottow

UNESCO-IHE
Anne van Dam

June 2012
Wageningen UR Centre for Development Innovation

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Gevers, G.J.M. [1] and Koopmanschap, E.M.J. [1]

In collaboration with:
Desalos, C.B. [1], Jansen, P. [1], Vugt, S.M. van [1], Woodhill, A.J. [1],
Ottow, B.W. [2] and Dam, A. van [3]

[1] Wageningen UR Centre for Development Innovation
[2] Deltares
[3] UNESCO-IHE

To be effective in implementing the Ramsar Convention on Wetlands, you need to have a good balance between theoretical background and the available methods for capacity development interventions on the one hand and personal facilitation, leadership and communication skills on the other. This guide provides a stepwise approach for developing and implementing capacity development initiatives to achieve the wise use of wetlands.

Photos
Nepal, Kamal Rai

Illustrations
Auke Herrema
http://aukeherrema.nl

Orders
+ 31 (0) 317 486800
info.cdi@wur.nl

Foreword

The current Advisory Board on Capacity Building for the Ramsar Convention has been in operation since 2005, generously organized, sponsored and hosted by the Netherlands Government. It has been my pleasure to Chair this Board since 2007. The recognized need to more clearly define the scope of capacity building for the Convention and develop an appropriate framework has been helpfully addressed by the Board since this time.

Ramsar's current Strategic Plan identifies, through Goal 4 focussed on institutional capacity and effectiveness, the need "To progress towards fulfilment of the Convention's mission by ensuring that it has the required mechanisms, resources, and capacity to do so". This is addressed in rather more detail through the Conventions' Communication, Education, Participation and Awareness (CEPA) Programme yet there is no guidance on this topic available to the Contracting Parties.

Indeed through the national reports to the 11th Conference of the Parties a significant number of Parties noted the need for assistance at national and regional levels in capacity building and training especially for site managers and

Managing wetlands in order to protect whole ecosystems, support agricultural productivity and improve people's livelihoods is an issue of vital importance. It will become more so as we face greater pressure on land and water resources and try to make our food systems more resilient in the face of climate change. What capacities are needed to manage wetlands effectively?

This guide takes the position that managing our natural resources requires social and political change. What this really means is that we want various 'institutions' - laws, people's attitudes, decision-making processes - to be altered. However, institutional innovation is not an easy business. In the first place, institutions are not easy to see. If we talk about building roads or schools, constructing irrigation schemes, breeding better crops and livestock or creating a new medicine, everyone immediately understands what we mean. It is also pretty clear what sorts of technical skills and capacities are needed to do these things.

Many capacity development interventions have therefore been driven by the needs of technological innovation rather than the

local communities. Such investments in people are every bit as essential as on-the-ground wetland management measures. During this last triennium of the Convention, there have been four Ramsar Regional Centres for capacity building in operation, two in Asia, one in the Neotropics and one in Africa. These are mostly still in a developing phase and have expressed the need for further development of their own training and capacity building skills.

I see therefore a broad and on-going need within the Convention for capacity building and this Capacity Development Framework will be a valuable tool for the Convention, providing our Contracting Parties with the knowledge, understanding and tools to initiate capacity development programmes at national, regional and local levels to support the wise use of wetlands and the implementation of the Ramsar Convention.

I wish to encourage all Ramsar Contract-ing Parties and all stakeholders within the Ramsar family to make the best use of this new tool, especially in the implementation of our CEPA Programme.

needs of institutional innovation. Moreover, capacity development has been viewed mainly as a technical process, involving simply the 'transfer' of knowledge. However, the global challenges of the twenty-first century call for innovation that involves different societal dynamics. Whether we look at climate change, natural resource degradation, poverty, terrorism, unsustainable food systems or health issues, the early part of the twenty-first century will be a time of fundamentally reassessing how we govern ourselves as nations and as a global community.

For societies to prosper, adapt and cope with problems and crises they need both 'hardware' and 'software'. When the United States failed to deal effectively with the aftermath of hurricane Katrina, it was not because of a lack of machinery, military transport, or communications equipment - it was the 'software' - the institutional arrangements - that were the problem. Similarly, when poor farmers in Africa want to improve their farming, they do not just require better varieties of crops. Issues of land tenure, lack of knowledge about markets or an inability to access financial services are often the real barriers. For a good education system, you need not only good school buildings,

Finally, I would like to take this opportunity to thank the Netherlands Government and the Advisory Board members for their support over many years for the Ramsar Convention and the wise use of wetlands.

Anada Tiéga
Secretary General of the Ramsar Convention

books and computers. What really makes the difference is the incentives teachers have to help them be good teachers and the attitudes parents have about supporting their children's development.

Changing institutions, be it related to societal norms and values, government policies, market incentives, political system or organisational processes, requires the 'soft' capacities of communication, building trust, diplomacy, networking, making sense of messy social situations, political advocacy and leadership.

This Capacity Development Framework aim at understanding capacity development as process of strengthening relationships to enable innovation and resilience in communities, organisations and societies.

I wish those who use this guide, and who are hopefully greatly inspired by it, much success in their endeavors to create sustainable resource management systems based on the critical functions of wetlands.

Dr. A.J. Woodhill
Director Wageningen UR Centre for Development Innovation

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1   Capacity Development Framework for the Wise Use of Wetlands

1.1   Why such a framework?

The aim of the framework is to support the implementation of the Ramsar Convention by providing a stepwise approach for developing and implementing capacity development initiatives to achieve the wise use of wetlands.

The long-term success of wetland programmes, wetland management planning processes or wetland projects depends on the degree to which the people owning, living in and depending on wetland resources are able to make informed decisions that result in sustainable management and lasting economic viability. To achieve long-term goals and objectives, 'investments in people' are as critical as investments in on-the-ground measures. Without this investment in people at all levels (from government staff to wetland users), there will be little chance of securing the wise use of wetlands. In essence, long-term sustainable wetland use and management depend largely on building human and social capital.

The Ramsar Convention recognises that stakeholder involvement and participation in the management and decision-making of Ramsar sites and other wetlands is essential. In response to this, Recommendation 6.3 of Ramsar COP6 (1996) called upon the Contracting Parties "to make specific efforts to encourage active and informed participation of local and indigenous people at Ramsar listed sites and other wetlands and their catchments, and their direct involvement, through appropriate mechanisms, in wetland management". Of course, it is not only about the participation of local people: the wise management of wetlands requires the involvement and support of all those who have a stake in the wetlands.

The Ramsar Secretariat underscores that capacity development is required to ensure that stakeholders are able to deal with the complex requirements of a wetland management planning process. The importance of capacity development is stressed again in the Strategic Plan of 2009-2015: "To ensure that the Convention (160 Contracting Parties) has the required mechanisms, resources and capacity to achieve its mission, capacity needs to be developed."

Although the Ramsar Convention supports capacity development through its Communication, Education, Participation and Awareness (CEPA) Programme, little guidance on this topic is available to the Contracting Parties. Therefore, this framework on capacity development for the wise use of wetlands has been developed on behalf of *the Advisory Board on Capacity Building for the Ramsar Convention* by Wageningen UR Centre for Development Innovation in collaboration with UNESCO-IHE and Deltares. The basis of this Capacity Building Framework has been laid out in document 'Ramsar COP10 DOC. 33' and was discussed at a side event at Ramsar's 10th meeting of the Conference of the Contracting Parties in November 2008 in Korea.

1.2 The Advisory Board on Capacity Building for the Ramsar Convention

The Advisory Board on Capacity Building for the Ramsar Convention was established in 2006 and succeeded the Advisory Board on International Courses for Wetland Management and Development (RIZA/Rijkswaterstaat, the Netherlands 1996-2005). This new Advisory Board was to provide advice to the Ramsar Convention through the Secretary-General. The Netherlands Government hosted the Advisory Board as part of its contribution to the Ramsar Convention.

During the 9th Conference of Parties to the Ramsar Convention, the parties decided that the Advisory Board on Capacity Building for the Ramsar Convention should co-operate closely with the Ramsar Communication, Education and Public Awareness (CEPA) Oversight Panel to "identify priorities in recognition of the gaps between capacity building opportunities and needs for the broad range of wetland professionals and stakeholders" (Resolution IX 18). The establishment of this Advisory Board was endorsed by the Standing Committee of the Ramsar Convention at its meeting in April 2006.

It was commonly agreed by the various parties involved that the Advisory Board should play an important role in bringing together the needs and resources in capacity building for wetlands. This could partly be done through membership of the board, which represents a broad network in the wetland world. But it also needed to be done through clear (long-term) agendas, procedures and links to the relevant institutions. Furthermore, a task of the Advisory Board could be to promote a strategy for capacity building for wetlands, including financial means. The basis for such a strategy would be

a clear framework to which all the different parties involved can refer and which would give a common understanding of capacity building concepts. In 2007, the Advisory Board made the development of such a framework a priority.

UNESCO-IHE, Rijkswaterstaat, Centre for Water Management/ Deltares and Wageningen UR Centre for Development Innovation took on the task of developing this framework. Not only was the framework developed, but these organizations also responded to a request from the board to organize a workshop on capacity building, together with the CEPA Oversight Panel at the COP 10. The workshop at the same time provided relevant input for the framework. Finally, the Advisory Board evaluated the contents of this final framework.

With the completion of the Capacity Development Framework the key work of the present Advisory Board on Capacity Building for the Ramsar Convention has now also been completed. As a final task, the Board will work with the Convention's CEPA Panel to consider the need for, and subsequent development of, a more international Board that can assist the Convention in capacity building for wetlands.

1.3   What exactly is this Capacity Development Framework for the Wise Use of Wetlands?

It is a guide for those of you wanting to design a capacity development initiative to support the wise use of wetlands.

What is wise use of wetlands?

"Wise use of wetlands is the maintenance of their ecological character, achieved through the implementation of ecosystem approaches, within the context of sustainable development."

Please find more information at:
http://www.ramsar.org/handbooks4/

This document introduces a framework for initiating capacity development programmes at national, regional and local levels to support the wise use of wetlands and the implementation of the Ramsar Convention. It can and should be applied and adapted to your local and regional conditions and needs. It does not pretend to lay down the latest concepts of capacity development for the wise use of wetlands but is meant as a guiding document helping you to address capacity development issues and needs more efficiently. It gives suggestions not only for possible capacity development activities but also for the identification of relevant stakeholders in the wetland management process. Tools and other resources that can assist the capacity development process at individual and organisational level are included.

This guiding document builds consistently on lessons learned and best (sometimes worst) practices in wetland management and includes sources of information, examples of capacity building initiatives, relevant websites, tools and reference materials.

After this short introduction about the reasons why this guide has been developed, Chapter 2 provides background on capacity development in general and for the wise use of wetlands in particular. This chapter also presents the Capacity Development Framework. In Chapter 3 you will be shown how to make the step from theory to practice. This chapter explains the phases of the capacity development cycle in detail and includes a stepwise approach to making assessments and informed decisions. Examples of tools that can support you while implementing the different phases are also provided.
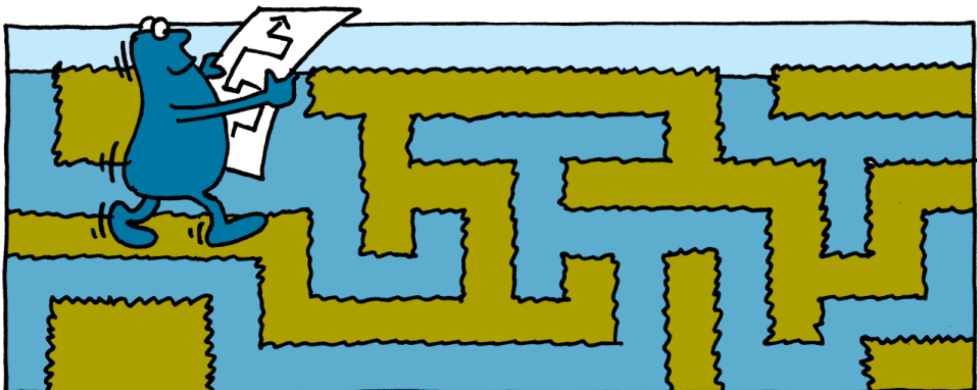
The Capacity Development Framework for Wetland Wise Use is a guiding document

In Chapter 4 you can find a list of references to background information, resources, methods and tools that can assist you in your capacity development endeavours.

1.4   For whom was this framework developed?

This guide has been developed in the first place for you, Ramsar Administrative Authorities, and for all stakeholders wanting to build capacity to enhance the wise use of wetlands.

For you, as an Administrative Authority, to be effective in implementing the Ramsar Convention, you need a good balance between theoretical background and the available methods for capacity development interventions on the one hand and personal facilitation, leadership and communication skills on the other. This guide can help you to achieve these skills.

This guide may not only be used by Administrative Authorities of the Ramsar Convention but also by a wider range of stakeholders involved in wetland management, such as civil servants, training institutes, resource users, NGOs, or facilitators of wetland management planning processes.

What is a stakeholder?

Key actors or stakeholders are individuals, groups or organisations:
- having a direct or indirect interest in what happens in the wetland (or, for example, what happens in wetland management at a national level) and/or;
- who affect or are affected positively or negatively by the implementation of interventions in the wetland and the outcome of it.

Source: International Training of Trainers on Wetland Management, a course focusing on the facilitation of multi-stakeholder processes and curriculum development.

1.5　When and how should the framework be used?

The framework can support you in the development and implementation of your capacity development activities (e.g., training courses, policy dialogues, web-based modules).

If you are planning a capacity development initiative… this guide is for you!

It will help you to identify the existing capacities of stakeholders so that you can further strengthen them. It can offer you guidance in identifying capacity gaps and developing effective and relevant capacity development and training activities to fill these gaps. Furthermore, the framework can help you decide which format to use for the capacity development of your target group, for example a week's training, a lobby event or a field visit.

Capacity development is done together!

Of course you do not have to do everything on your own. Work in a team or contract independent facilitators/ consultants (who may not necessarily have a direct stake in the wetland) to support the capacity development process. Recognise that there is much experience, material and information 'out there'. We can learn from our own experience as well as that of others. This guide should therefore be dynamic, include the lessons you learned and applied to suit your own context.

We (the authors, the Ramsar Secretariat, the Advisory Board on Capacity Building for the Ramsar Convention) hope that this framework will motivate you to take action when facing challenges in the wise use and/or management of wetlands.

2 Capacity Development for the Wise Use of Wetlands

2.1 What is capacity development?

The process by which individuals, groups and organisations, institutions and countries develop, enhance and organise their systems, resources and knowledge; all reflected in their abilities, individually and collectively, to perform functions, solve problems and achieve objectives (OECD, 2006).

Capacity development means different things to different people. When one thinks about capacity development, courses or training programmes often come to mind. Training is certainly an important component of capacity development, but not all training interventions have the desired result. Training can enhance knowledge, strengthen skills or influence changes in attitude, but long-term solutions to wetland issues require more than training alone. Having the capacity is actually the same as having the ability to perform.

Box 1 - A few examples of capacity development activities

- Analysis and planning with key stakeholders for wise use of wetlands
- Designing, supporting and facilitating multi-stakeholder learning and change processes
- Training and training-of-trainer programmes
- Organisational development support
- Facilitating policy dialogue (even lobbying policy makers)
- Action research or action learning with key stakeholder groups
- Mentoring processes and coaching
- Advisory support
- Study tours
- 'Farmer field schools'
- Production of written resource materials that make research findings accessible to key audiences
- Establishment of web-based resource portals and e-learning activities (including e-coaching)

Capacity is the ability of people, organisations and the society as a whole to manage their affairs successfully. Therefore, capacity development efforts can comprise a variety of activities, as outlined in Box 1, that aim to stimulate learning.

Capacity development takes place within people or organisations and cannot be forced upon them: you cannot 'do' capacity development for others. People and organisations can have strong or weak incentives to change, develop, and learn, but ultimately the change is an internal process. Your role will be to support capacity development processes but you will have to take into consideration the needs of stakeholders and to engage them closely in order for change to happen. To be effective, your skills in facilitation, lobbying and advocacy, leadership and communication need to be adequate. Keep in mind that:

The capacity development process must be **owned** (thus wanted and managed) by those who develop their capacities, otherwise it simply will not happen. Ownership is everything!

External partners such as funding agencies cannot design and implement capacity building trajectories or drive and push capacity development. What they can do is support - or support the facilitation of - capacity development processes, or help create the right external incentives for capacity development processes to happen.

2.2   When is capacity development likely to happen?

Capacity development does not occur spontaneously and cannot be forced upon people. The need for capacity development has to be felt.
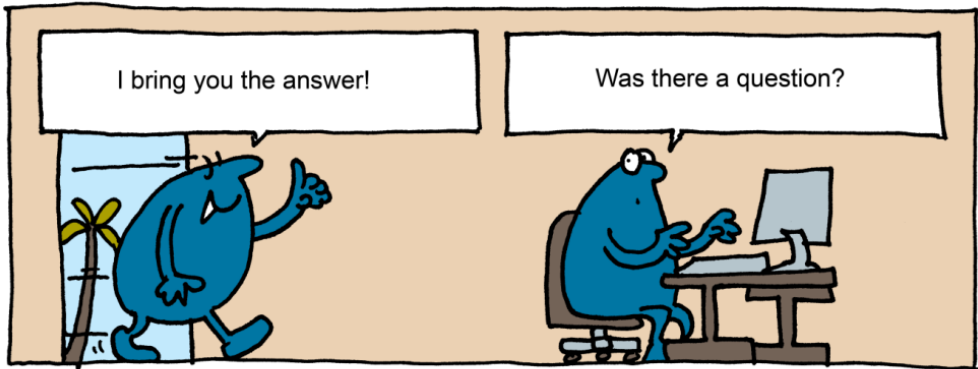
Common practice

Capacity development occurs if stakeholders are not satisfied with a present situation, if they have a vision for the future, and if a credible change process to get from the present situation to a future state is likely to be initiated. As Beckhard and Harris explained in the formula for change, three ingredients are essential for capacity development to happen:

Basic elements for capacity development to 'happen'

1. *Dissatisfaction with the present situation* Some stakeholders inside and/or around an organisation involved in wetland management must find the current capacity to be too low, incomplete, or misdirected to deal with the current situation in the wetland(s).
2. *A shared vision about the future* Stakeholders need to think or believe that the situation can realistically improve in the future if capacity is enhanced. Without this shared brighter vision of the future, dissatisfaction with the current situation will only lead to frustration and passivity.
3. *An initiated credible change process to get from the present situation to a future state* The connection between the present dissatisfying situation and a vision for the future is a credible change process.

Source: "The formula for change" published by Beckhard and Harris (1987), created by Gleicher.

These three elements are dependent on one another and must be balanced:

- If the dissatisfaction with the present situation exists but is not very strongly felt, then a very ambitious vision about the future may be beyond what stakeholders will support.
- If the capacity to manage change processes is limited, then deeply felt dissatisfaction will not easily be transformed into an inspiring vision.
- New information and data about the existing situation can change the level of dissatisfaction. Most stakeholders will be satisfied with some aspects and dissatisfied with others, and this may change over time.
- An overambitious vision can be adapted so that it appears more realistic to those who must support it.
- Local capacity to manage change processes needs be strengthened through carefully-crafted support.

2.3   What are key factors for successful capacity development?

Key factors for successful capacity development include integration, integration, integration and integration

To fully understand capacity development, there are four concepts that you need to familiarise yourself with:

1. Linking individuals, organizations and institutions

To enhance the wise use of wetlands it is important that capacity development takes place not only 'within' individuals, but also between them, as well as within and between their organisations, institutions and networks. Each level represents a possible entry point for starting a capacity development initiative. All levels have in common that learning consciously from experience in order to improve future practice is essential for the development of capacity. This process is called experiential learning and is explained below. Recently, organisational capacity development has been a key concern of much donor assistance (in the form of technical assistance, budgetary or infrastructure support or support for organisational linkages and network development) rather than just building capacity at the individual level.

But capacity is not just the sum of individual, organisational and institutional capacities. It also includes the opportunities and incentives that people use to extend their skills, as well as limiting factors. Such opportunities and incentives are part of the enabling environment or a supportive institutional setting. An institutional setting can be explained as the 'rules' that make a society run, be it effectively or ineffectively: for instance the agreements we have made together, whether informal or formal, and the beliefs that we have. Institutions help individuals know how to behave in given situations, such as when driving in traffic, bargaining at a market or attending a wedding (Woodhill, 2010).

Capacity development initiatives for the wise use of wetlands should comprise a combination of strengthening the legal system, restructuring of the prevalent institutional settings, redesign of some of the agencies and training of personnel in the sector. In Chapter 3 we present some useful tools that can help build an enabling environment.

2. Knowledge, skills and attitudes

Capacity development programmes often focus on strengthening or improving the technical knowledge and skills of people. Questions such as 'Can your target group do the job, or change certain practices for the better?' and 'Does your target group have enough knowledge, understanding and theoretical background to do the job well?' need to be addressed. To achieve the wise use of wetlands, it is also essential that stakeholders become convinced of the need to support the protection and sustainable management of wetlands: this is what we refer to as attitude or beliefs. The right attitude means that people will believe in the improvements suggested, rather than just carrying them out. It important to remember that when people have changed their attitude in support of wetland wise use, they also need to behave according to these beliefs, which might require additional knowledge or skills.

Sustainable wetland management requires a broad knowledge base that includes many subjects and fields of expertise. **Knowledge** consists of the data, information, models and theories related to that subject. One individual does not need to master this complete knowledge base. A wetland management team or partnership should aim at collectively having this knowledge available and, if possible, filling any knowledge gaps. Some examples of knowledge that could be build to achieve the wise use of wetlands are given in Box 2. It is important to emphasise that dynamic, evolving management processes should always be open to new information, understanding and concepts.

Skills, knowledge and attitude are the basis for capacity development

The list in Box 2 is just a very short list. The Ramsar handbooks (http://www.ramsar.org/handbooks4/), and especially Handbook no. 18 'Managing wetlands', give you much more information on what knowledge is actually needed to manage wetlands and use them wisely.

However, knowledge alone is not enough to successfully initiate and sustain efforts at wise management of wetlands. Applying the knowledge is equally important. And for this, **skills** are needed. Skills help to transform theory and knowledge into action. Skills involve the performance of mental or physical tasks, and they can be learned. A skill is the ability to undertake a task competently - it is not about luck or a one-time effort. As with knowledge, it is not necessary for each individual to possess all the skills but he or she should understand the importance of the wise use of wetlands.

The wise use of wetlands calls for more than only technical (e.g., biological and ecological) wetland skills (see Box 3). As a wetland professional, you are increasingly being called upon to bring stakeholders together, design and lead processes of critical reflection and change, help stakeholders understand each other's perspectives on wetland use and to manage conflicts.

Box 3 - A few examples of skills needed for the wise use of wetlands

- 'Technical' skills, such as analysis of water quality, vegetation monitoring, stock assessment
- Facilitation skills, including good communication, encouraging participation of relevant stakeholder groups, coaching and team-building
- Management and leadership
- Planning, monitoring and evaluation
- Problem solving and conflict resolution
- Analytical skills, e.g., analysis of issues, stakeholder analysis, analysis of the institutional setting, analysis of soil data, assessment of wetland uses

You may sometimes have to assist in the negotiation of agreements and actions between diverse groups within the wetland sector and you will have to operate far outside what you may have thought to be your field.

In other words, you are a facilitator: in this role, you will need to understand and improve the dynamics of how individuals communicate, how people learn and how groups function. Specific competencies and personal skills are required for that (Box 4). A facilitator should be able to understand the culture and politics of a situation and to design and manage a long-term learning process. As a facilitator you need a good grasp of the theoretical, methodological and institutional aspects of learning. You also need to be knowledgeable about the wetlands-related issues concerned.

Box 4 - What do you need to be a good facilitator in the wise use of wetlands?

- A clear vision of what you are trying to achieve
- A set of theories, assumptions and values about how to achieve changes (including institutional change)
- A set of methodologies that will guide your actions
- A set of techniques and tools to put the methodologies into practice
- The personal qualities and skills needed to take on a facilitation role

Box 5 - Examples of attitudes and behaviours supporting the wise use of wetlands

- Respect for the individuals and stakeholder groups involved in wetland management planning
- Strong sense of responsibility and commitment
- Empathy (understanding where others are coming from)
- Openness to alternate solutions, new opportunities and improvements
- Patience, persistence and endurance
- Creativity, innovation and intuition
- Willingness to participate without always having the urge to lead)
- Trust in others
- Self-confidence

In the end what you aim for is improved engagement, leading to changes in the practice of wise wetland use. Your capacity development efforts should therefore not only include enhancing knowledge and skills, but also address the will, **attitude and behaviour** of individuals involved in wetland wise use. Attitude is the outlook of an individual or organization concerning issues, challenges, events or people. It is the spirit and perspective from which an individual, group or organisation approaches sustainable wetland use (see Box 5). Attitude shapes all decisions, actions and behaviour. Attitude is very difficult to define precisely as it includes values and beliefs within the minds of people that are mostly intangible and individuals themselves are not always consciously aware of the paradigms that drive them. Although attitude often refers to individuals, it is important to recognise that organisations also have attitudes. An organisation's attitude is often described by the term 'organisational culture'.

Constantly keeping 'attitude' and 'behaviour' in mind in capacity development processes and actions can be quite difficult. It is important for both individuals and organizations to check from time to time how well their attitude is reflected in their actions.

3. Capacity development: an integrated, measured long-term effort

Capacity development requires an integrated set of activities at various levels (institutional, organizational and individual) over a longer period of time, following a structured capacity development strategy or action plan.

Given the complexity of wetland systems, positive ecological change will only be evident in the long term. Therefore, it is important that you identify and thoroughly describe intermediate capacity development results, and 'on the ground actions' that contribute directly to longer-term goals. For example: changes in attitude, behaviour, and practice, or improved skills and knowledge on the part of stakeholders. Better skills and knowledge will enable the stakeholders to be pro-active and to direct change, rather than being 'overtaken' by the changes themselves. It takes time to create an enabling environment, for individuals to change their attitudes and to change an organisational culture. It also takes time to change from traditional top-down management approaches to more participatory management and collaborative learning. Therefore, for you as facilitator, trainer, implementing or coordinating agency, but also for donors and other stakeholders it is important to realise that capacity development programmes need a long-term commitment in order to be successful.

4. Recognising existing experience in capacity development efforts

People who are able to learn together …
… are also much more effective when working together.

Starting up activities for enhancing the wise use of wetlands cannot wait until all facts have been analysed in detail. Encouraging actual learning in wetland management planning processes means engaging stakeholder groups who have often not been involved in hands-on management, such as local communities, researchers, or higher level government officers. Stakeholders have to start acting, learning, monitoring and adapting together. This is what we call experiential learning. Experiential learning acknowledges the fact that the various stakeholders have had different experiences when it comes to wetlands. Each stakeholder group's strengths, skills, knowledge, and experiences can be shared and be built upon, which will improve the quality and scope of capacity development efforts in wetland management planning.
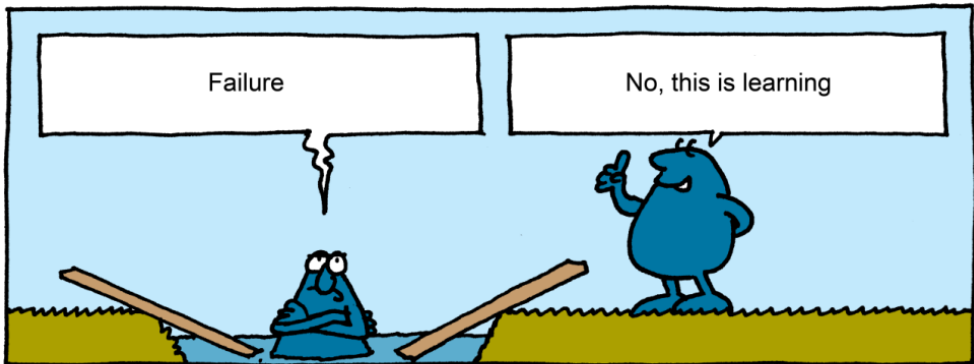
The process of learning from experience is key to capacity development

Remember that although close collaboration between stakeholder groups brings great -or even the greatest- benefits, it is often at the same time the biggest challenge, given the different backgrounds, perspectives, ways of thinking and practices of each group. However, addressing these different views is a fundamental component of wetland management planning, or, in other words, of experiential learning.

2.4   How can the framework help you build capacity?

The framework aims to support you in the capacity development process, by explaining the different phases and steps of the approach and providing you with practical tools.

Multiple and often competing demands on wetlands from various stakeholder groups put an intense pressure on the wetland resources, both in terms of quantity and quality. Yet when considering the wise use of wetlands, most mechanisms for policy development, consultation between government ministries and conflict resolution among stakeholders are weak. Capacity development for wetland wise use, therefore, should go beyond the traditional approach of enhancing skills and knowledge through training and providing technical advice. It should focus on enhancing stakeholder engagement in all aspects of wetland management, from planning to on-the-ground actions.

This link between capacity development and your wetland management planning process (Figure 1) or national wetland management strategy development process is crucial. In fact, the capacity development process needs to be part of your wetland management planning process. The ultimate aim is to build up the capacity of relevant stakeholders to enable them to deal with issues and challenges faced in the field.

Developing the capacities of these stakeholders should not depend on what you think a capacity development activity or initiative should focus on but should actually be based on the current situation in your wetland site or the current situation of wetland management in your country. Capacity development is, therefore, not just done for its own sake, but it should rather be related to the issues 'felt' in the field and be part of the wetland management planning process, wetland restoration process or the national wetland strategy development process. So capacity development can be looked at as one of the strategies taking you from the current situation of your wetland or river basin to your vision, or ideal, for your wetland, basin, country or region. Capacity development, however, is often a cross-cutting strategy rather than one with clear boundaries.
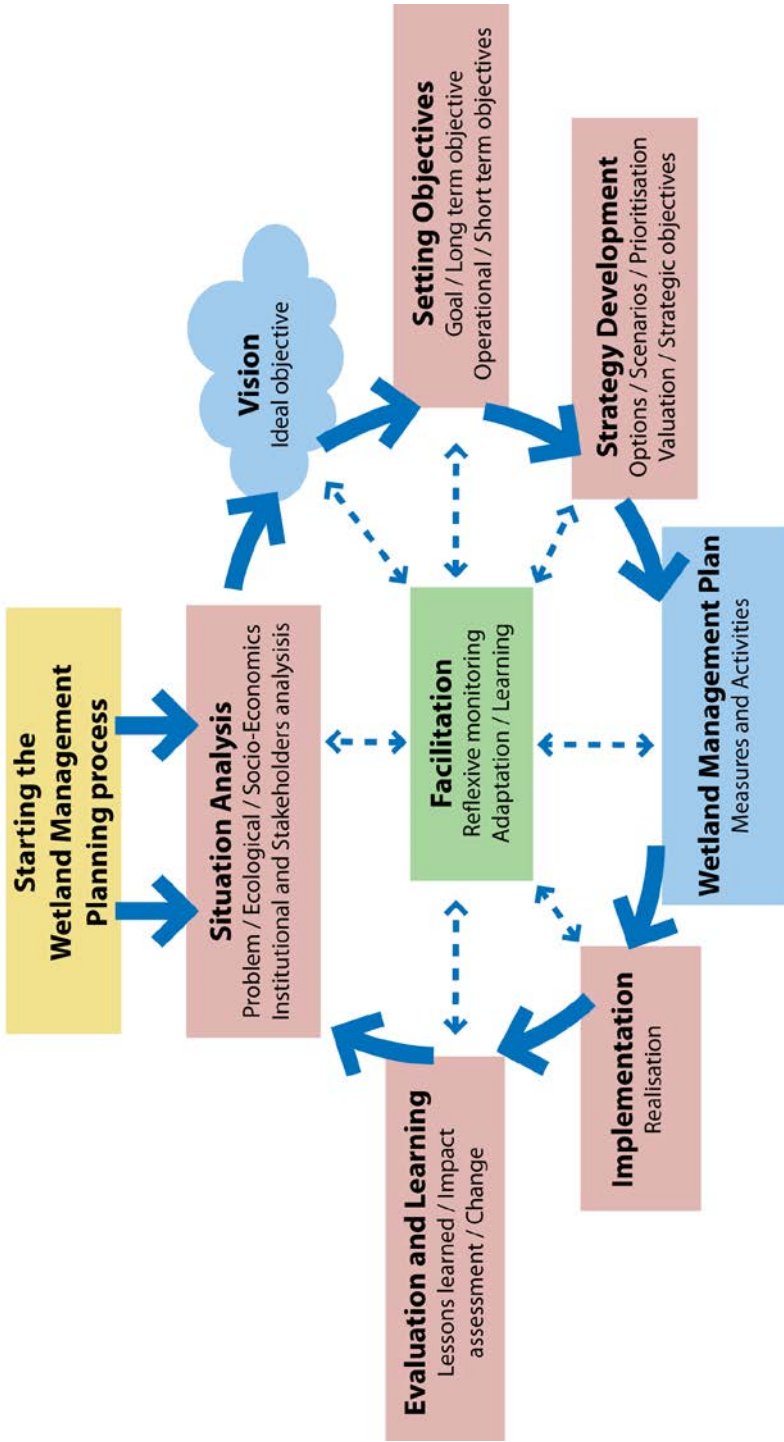
Figure 1 - The Wetland Management Planning cycle

Consequently, this capacity development framework is entirely linked to the steps of wetland management planning and follows a similar cycle of planning, implementation, monitoring and evaluation. Taking you from an analysis of actual capacities (**"Where are we now?"**) to the formulation of capacity development objectives (**"Where do we want to be?"**) to the identification of suitable capacity development initiatives (**"How do we get there?"**). It also takes into consideration sustainability issues (**"How do we stay there?"**).

This framework for capacity development consists of seven phases which are visualised in Figure 2. The figure shows the interconnection of the various phases as well as the links between the capacity development framework and wetland management planning or national wetland strategy development processes. The capacity development framework allows for a vision of the future: where do you see your wetland, or wetland management in your country as a whole, 15, 20 or 30 years from now? This vision needs to be developed together with your stakeholders. The capacity development vision and your capacity development objectives are specifically focussed on the status of your wetland or on the wetland management situation in your country. Phase 7 is a cross-cutting phase and should not be interpreted as being the final phase. It focuses on facilitation of your capacity development event, on reflexive monitoring of the planning process and its implementation, on adaptation where and when needed and on learning from the process as a whole by linking it with the evaluation phase.

The phases described in this framework can guide you in designing capacity development initiatives:
- At different levels (e.g., local, national, or regional);
- For certain stakeholder groups in particular (e.g., fishermen, wetland managers, civil servants at national level) or for multiple stakeholders;
- For the development of a wetland management plan or strategy (because the capacity for wetland management planning is not always 'ready-at-hand').

The content and detailed description of each of the seven phases of the capacity development framework are described in Chapter 3. Each phase is further sub-divided into various steps and is supported by examples, good, best (or worst) practices, and recommended methods and tools. In Chapter 4 references, additional recommended tools, suggestions for further reading can be found.
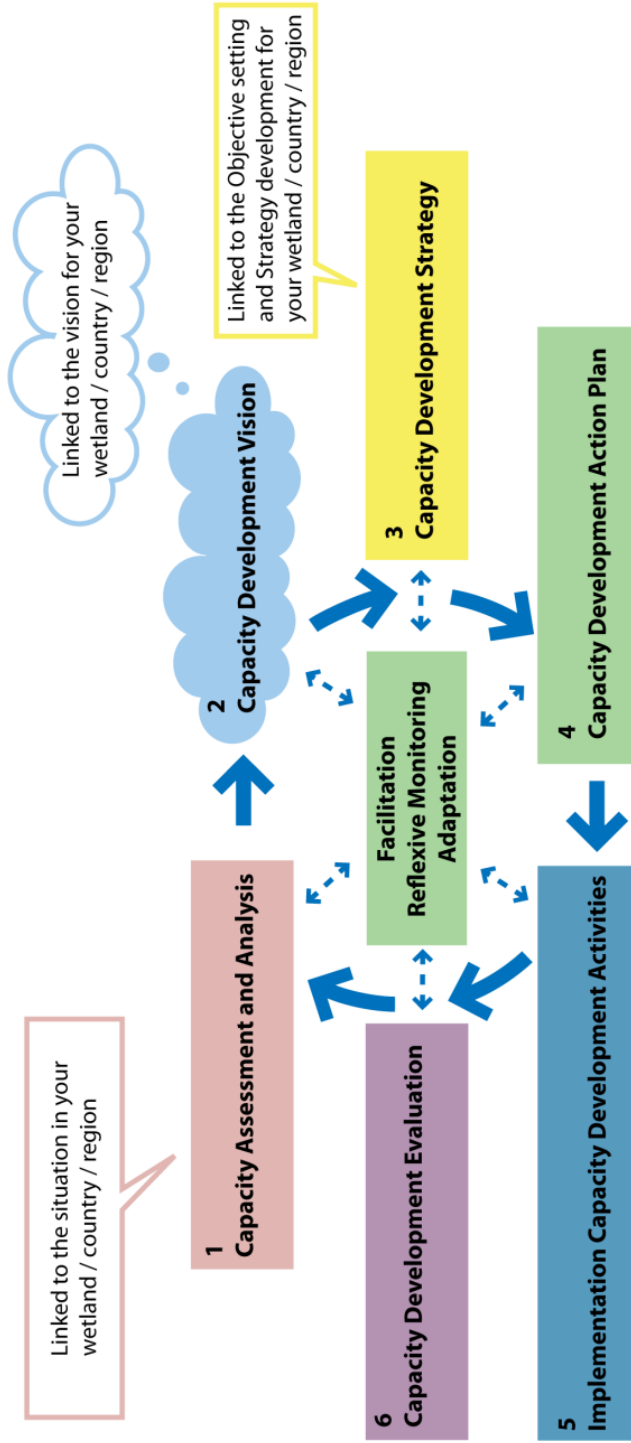
Figure 2 - Framework for capacity development

Linked to the vision for your wetland / country / region

Linked to the Objective setting and Strategy development for your wetland / country / region

Linked to the situation in your wetland / country / region

1 Capacity Assessment and Analysis

2 Capacity Development Vision

3 Capacity Development Strategy

4 Capacity Development Action Plan

5 Implementation Capacity Development Activities

6 Capacity Development Evaluation

Facilitation Reflexive Monitoring Adaptation

2.5 When should you start a capacity development initiative?

You first need to clearly understand the situation in your wetland, basin or country, which is the first step of your wetland management planning cycle.

A real capacity development initiative never just starts with developing a training programme for a certain target group in your wetland area. The first step would be a situation analysis, even if there is no wetland or river basin management plan or national wetland strategy.

In addition to the situation analysis, a vision agreed to by stakeholders is needed for the wetland (or the basin, the country, etc.) to give you a solid base for beginning the steps of the capacity development framework.

Now, let's get started!

3   Stepwise Approach to Capacity Development for the Wise Use of Wetlands

3.1   Zooming in to the capacity development framework

This chapter outlines the phases of the capacity development framework and discusses the different steps necessary to complete each phase of the capacity development process (see Table 1). Reference to background material, relevant websites and portals including practical methods and tools is made so as reader you can immediately start with the formulation of your capacity development strategy.

Before you can actually start Phase 1 of the capacity development framework, it is crucial to review your wetland management planning process (at site level or at national or regional level). Capacity development needs to be related to the issues 'felt' and experienced in the field and should be closely linked with the wetland management (or restoration) planning process or the national wetland strategy development process. In particular, Phases 1, 2 and 3 need to be associated to the situation in the wetland(s) actually concerned. Within each phase, there is a strong focus on 'checking' whether the capacity development planning process aims to build and develop capacity of those stakeholders that play a role in achieving the overall wetland management planning or the wetland restoration objectives. Although all steps are described in sequence, please keep in mind that this sequence often includes going 'back' in the sense that continuous critical reflection is needed (Phase 7). It does not matter whether you consider one single wetland, a whole basin, a country or a region, the capacity development framework and the capacity development process as a whole remain the same.

The capacity development framework, therefore, focuses constantly on the following question:

'How can developing the capacity of stakeholders help you to move forward from the current situation towards your vision for the future for your wetland/ basin/ country/ region?'

Table 1 - The steps of each phases of the capacity development framework		
Phase		**Steps**
1.	**Capacity assessment and Analysis**	1. Review results of the situation analysis and identify target groups 2. Prepare your capacity assessment and analysis 3. Assessing existing capacities 4. Assess capacity needs 5. Analyse, interpret and review capacity assessment results
2.	**A vision for capacity development**	6. Formulate the vision
3.	**Capacity development strategy**	7. From vision to objectives 8. From capacity development objectives to proposed activities 9. Setting SMART objectives
4.	**Capacity development action plan**	10. Prepare the action plan
5.	**Implementation**	11. Implement interventions
6	**Evaluation**	12. Identify the level of evaluation 13. Identify success criteria 14. Choose methods to evaluate and gather information 15. Feed lessons learned into new strategies
7	**Facilitation, reflective monitoring and adaptation**	16. Create a learning environment 17. Build in moments for monitoring and reflection 18. Define methodologies 19. Analyse external and internal factors 20. Communicate findings and adapt

To illustrate the link between capacity development for the wise use of wetlands and the wetland management planning process in general, many of the examples used in the framework are built around a hypothetical wetland: the so-called Wetland X.

Wetland X in Basin Y

The hypothetical vision for Wetland X is formulated as follows: '*Wetland X, green lung of Basin Y in 2032!*' The idea behind this is that Wetland X provides oxygen for the people (Wetland X benefits the well-being of people), for the planet (Wetland X is one of

biodiversity-rich ecosystems in Basin Y) and for profit (Wetland X offers opportunities for sustainable economic development). Wetland X will be used to illustrate the various steps of each phase in the framework.

Capacity development goes further than developing a training programme for a group of individuals, designing a brochure for school children to raise the awareness on wetland values or organising a training course for NGO staff in the steps of wetland management planning. It is a series of activities or interventions that take into account that:

1. Capacity development should take place at different levels (individual, organizational and institutional)
2. The process of learning from experience (experiential learning) is key to capacity development
3. Competencies (skills, knowledge and attitude) are the basis for capacity development
4. Capacity development should be looked at as an integrated set of activities over a longer period in time

The framework presented here addresses these four issues. It addresses capacity development as a broader initiative and will help you to make deliberate choices from selecting the issues to address, the right target group and the necessary capacity development activities.

With this introduction in mind, we can now start our journey towards the development of a capacity development strategy and action plan!

3.2   Phase 1. Capacity assessment and analysis

In Phase 1 you identify existing capacity gaps relating to institutional, organisational and individual performance and provide information on how these gaps could be addressed. Such an assessment of capacity needs determines the purpose and lays the basis for the learning objectives of your capacity development programme.

Phase 1	Steps
Capacity Assessment and Analysis	1. Review results of the situation analysis and identify target groups 2. Prepare your capacity assessment and analysis 3. Assess existing capacities 4. Assess capacity needs 5. Analyse, interpret and review capacity assessment results

Step 1: Review results of the situation analysis and identify target groups

The capacity assessment and analysis phase starts with understanding and reviewing the current situation in your wetland/ country/ region. The first important step is to look back at the situation analysis of your wetland (e.g., in the context of a wetland management planning process), of your country (e.g., in the context of national wetland strategy development) or of a region (e.g., in the context of transboundary river-basin management planning).

Reviewing the situation analysis includes checking the ecological or cultural assessments that have been carried out, as well defining the problem(s)and identifying the stakeholders. These reviews are essential and will help you to target the right stakeholder group(s).

But how now to select the right target group(s)? Who are actually these stakeholders having a specific interest in Wetland X, and how do they affect the wetland and its management, and how are they themselves affected by it?

The importance of your stakeholder analysis

Stakeholder analysis is the identification of individuals, groups or organisations that have a specific interest in the wetland and are likely to affect or be affected by proposed interventions in the wetland. Your stakeholder analysis results show the way stakeholders interact, the tasks they perform, the challenges they face in performing their tasks, their impact on the wetland resources, and their potential role in wetland conservation and wise use of wetlands, etc. This information is used to assess how the interests of those stakeholders should be addressed in a project plan, policy, program, or other action and the ways in which these interests affect riskiness and viability of the planned goal (wise use of Wetland X). The stakeholder analysis can also help to identify conflicts of interests between stakeholders, or identify relationships between stakeholders that can be built upon. It can indicate those stakeholders with whom 'coalitions' could be built for, e.g., project sponsorship. The stakeholder analysis is a crucial step in any planning process and is at the same time indispensable in capacity development planning processes.

Capacity development actually starts with bringing stakeholders together and by having them define the wetland situation together. Just bringing stakeholders together in a dialogue, however, is not enough, even though it is an important first step. Many people (whether they are policymakers, hydrological engineers, nature conservationists, fishermen, farmers, housewives, schoolteachers, etc.) often do not have (enough) basic knowledge, skills or the attitude needed for enhancing the wise use of wetlands.
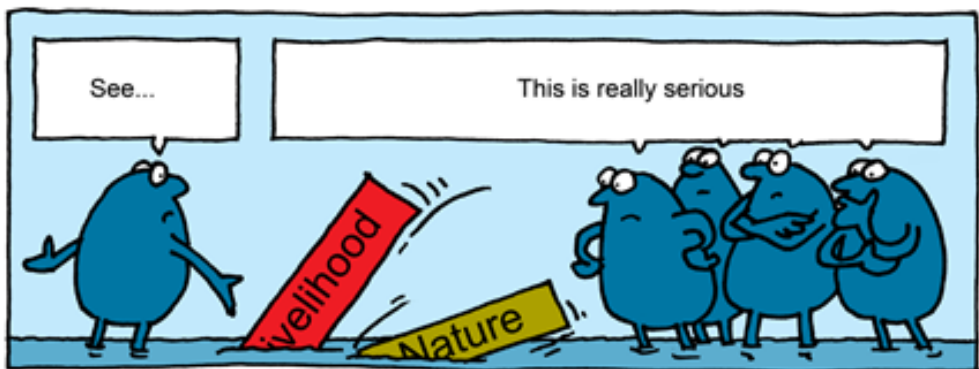
Ensuring stakeholders involvement

The 'right' target groups for your capacity development interventions are those groups (check your stakeholder analysis results) that positively or negatively affect your wetland ecosystem. Negatively affecting the ecosystem includes activities such as overfishing, hunting rare bird species, or discharging waste water directly into the wetland. You would certainly wish to enhance the knowledge of those negatively affecting the wetland by providing them with the right skills, for example to apply sustainable fishing techniques or otherwise address the behaviour of certain stakeholders so that they see the importance of using wetlands wisely. Positively affecting the wetland site could mean activities such as farming organically, stimulating eco-tourism, or national support for the celebration of World Wetlands Day. If you analyse what is already happening in the wise use of wetlands and who is actually responsible for that, you could link up capacity development interventions to existing activities to help attain your goal. For instance, capacity development interventions could target (groups of) farmers, ensuring an exemplary role in an area in the further shift towards environmentally-friendly farming practices. A local government could be targeted to increase its competences towards wise use of wetlands because it focuses on eco-tourism initiatives. An NGO could be an important target group to further enhance its educational skills because it is already active in nature protection education. But whom to address first?

Do not forget to analyse power relationships between stakeholders and analyse which stakeholders decision-making positions. Changing the mindset of powerful stakeholders could be of utmost importance in making the shift towards using wetlands wisely, and therefore they might be a target group high on a priority list. Also, if you are working at site level do not forget to analyse what is happening at national level or regional level: those stakeholders working for instance on a national wetland strategy might affect what happens in your specific area in the future.

Your stakeholder analysis (and the situation analysis of your wetland X as a whole) is never finished. Keep updating your stakeholder analysis, adding results and adjusting the outcomes; it is a continuous process of monitoring, reflecting and adapting!

For wetland conservation and management, a wide variety of stakeholders can be identified. As an example, we refer to the stakeholder groups identified as part of Ramsar Resolution VIII.31, i.e. Ramsar's Programme on Communication, Education, Participation and Awareness (CEPA).

The problem analysis

An important part of the situation analysis of your wetland management planning process is the problem analysis. This is the process of identifying and analysing which problems affect people (or organisations, or institutions) and ecosystems (or even the whole river basin) in a given geographical context at any level (local, national, regional, international) and is closely related to the stakeholder analysis.

A tool that has been used successfully for years to analyse situations is the development of a problem tree. The problem tree maps out core problems along with their causes and effects, thus helping project planners to identify clear and manageable objectives. Like any other tree, the problem tree has three parts: a trunk, roots, and branches. The trunk is the core problem. The roots represent the causes of the core problem and the branches represent its effects. Like the roots of a tree, the causes of the core problem are not always immediately apparent, but if we do not understand the causes there is little we can do to address the problem.

The next page shows an example of a problem tree (Figure 3). It is an imaginary tree for Wetland X, part of the imaginary River Basin Y. For example 'Farming practices around Wetland X have a negative impact on biological diversity, but the impact level is unknown' is caused by the fact that 'Many farmers do not know the negative impact of their farming practices on Wetland X' but also by the fact that 'No measures are taken against bad farming practices and there are no incentives to stimulate good farming practices'.

The problem tree provides a good overview of the main challenges faced in Wetland X, after which it is time to identify how a project or intervention might make a difference. In other words, it is time to turn the problem tree into an objectives tree (Figure 4): For each negative statement, come up with a positive statement that describes a solution to the problem. For example, 'Many farmers do not know the negative impact of their farming practices on Wetland X' could be turned into, 'Farmers know the negative impact of their own farming practices on Wetland X and understand the impact on their livelihood'. These positive statements provide a basis for selecting project objectives - the specific goals that your project will aim to achieve. While the problem tree identifies causes and effects, the objective tree describes means (activities) and ends (the results that the project plans to achieve).

Diminishing livelihood options for farmers and other stakeholders in the long term

Biodiversity is declining in Y River Basin

Biodiversity is declining in Wetland X at an unknown rate

Farming practices around Wetland X have a negative impact on biodiversity, but the impact level is unknown

No measures are taken against bad farming practices and there are no incentives to stimulate good farming practices

The existing draft wetland management plan for Wetland X is not implemented

Ministry of Water Resources does not value the draft management plan as the planning process was facilitated by an NGO

Lack of trust between NGOs and Government

The facilitating NGO did not communicate regularly with the ministry

Farmers are against the finalisation and implementation of the plan

The draft wetland management plan focuses on measures against farmers rather than on the role of farmers in management

The draft wetland management plan was not developed in a participatory way

Lack of capacity in participatory wetland management planning of policy makers and NGOs

Stakeholder participation and participatory planning is not seen as important by many policy makers

There is no good assessment of the impact of farmers' practices on Wetland X's biodiversity

Limited data sharing between Ministry of Water Resources and the Ministry of Agriculture

Lack of common monitoring system

Lack of recent ecological and agricultural data on Wetland X

Ministry of Water Resources and Ministry of Agriculture do not monitor frequently

Ministries do not cooperate with each other and share tasks

Ministries pursue their own agenda

Low quality of ecological and agricultural data on Wetland X

Limited capacity in data collection and analysis

Ministries have a limited number of staff members

Limited communication and networking skills within the government

Many farmers do not know the negative impact of their own farming practices on Wetland X

Some farmers do not care about the negative impact of their own farming practices on Wetland X's biodiversity

A limited number of awareness raising programmes is being implemented

Awareness raising programmes are not focused on farmers

Farmers have no access to information on good farming practices

School curricula do not include the importance of the services provided by ecosystems

Figure 3 - The imaginary problem tree for imaginary wetland X located in imaginary river basin Y

Figure 4 - The imaginary objective tree for imaginary wetland X located in imaginary river basin Y

Again, one thing leads to another, from actions to outputs (immediate results in improved communication and networking skills within the government), to outcomes (changes in better farming practices that have no negative impact on biodiversity in Wetland X), to impact (long-term changes such as improving biodiversity in Basin Y and better livelihood for farmers).

Besides helping planners to come up with concrete activities or interventions, the problem and objective tree also provides a strong baseline for your capacity assessment, as it gives the first indication of capacities that stakeholders may be lacking to perform certain tasks. For example 'Lack of capacity in participatory wetland management planning of policy makers and NGOs'. Because problems always have an 'owner', the problem tree allows you to 'read' potential target groups for your capacity development interventions, e.g., farmers, researchers, research institutes, policy makers (even from different ministries), and NGOs. Do not, however, limit yourself to these potential target groups at this stage! Perhaps (and most probably) more or even other target groups may need to be included in order to achieve wise use of your Wetland X and eventually your Basin Y. For example, it may be better not to target

farmers directly, as we might be more effective in reaching our objectives by building the capacity of extension workers in the Ministry of Agriculture first.

A review of your problem and objective tree will give you an excellent starting point to understand the need for capacity development and to (initially) understand how and where capacity development can play a role to reach these (not yet very specific) objectives and help achieve the vision. For Basin Y this vision could be described as something like: *an ecological, social and economically healthy Basin Y*

Step 2: Prepare your capacity assessment and analysis

Step 2 of the first phase of the framework helps you to prepare for a capacity assessment. Box 6 below provides guiding questions to prepare you for the capacity assessment and to stimulate your thoughts about stakeholder engagement by indicating which additional information needs to be collected. Some of these guiding questions will be discussed in more detail.

Box 6 - Questions that can generate information to prepare for a capacity assessment

1. What is the evidence for a lack of capacity for certain issues and challenges in the wise use of wetlands?
2. Does awareness of the need for capacity development in wise use of wetlands exist?
3. Is leadership committed to capacity development in wetlands?
4. What shall be the scope of the capacity development process?
5. Which objectives shall be achieved during this phase?
6. Who are the stakeholders? *(Update stakeholder analysis results regularly)* Which stakeholders should be actively involved, and how to involve them? And which stakeholders should be just informed?
7. Which tools and methods shall be applied to collect the information?
8. What resources are needed to conduct the capacity assessment?
9. How will the operational structure be established (roles, tasks, responsibilities)?
10. Which external support is required and where can it be acquired?
11. What is the timing and duration of the capacity assessment?
12. How can the process be institutionalised (funding, staffing etc.)?

Ensuring stakeholder involvement

Stakeholder groups such as communities, government officials, civil society representatives, the private sector, academia, etc., play a variety of roles in wetland management and interact in their own way in the day-to-day practice of wetland management. Stakeholder engagement in the capacity assessment and analysis phase can facilitate the preparation of a realistic design by identifying local sources of information and insights on what works and what does not. It will generate commitment and ownership of the assessment and its results. At the same time, it allows for the identification of potential sources of support as well as resistance to change. Involving stakeholders helps to promote ownership over the process and can then translate more smoothly into a commitment towards implementing results A capacity assessment that is driven from the inside and conducted as an integral part of a capacity development process offers participants the opportunity to learn from each other and from the process itself.

Furthermore, by involving stakeholders in the process, the capacity assessment may also generate more valuable information for the capacity development process as a whole. Do not underestimate the importance of leadership amongst stakeholders. If the need for change is being felt, the ownership and leadership will be there.

The assessment can involve a range of stakeholders that can further drive the assessment process: those initiating the assessment, civil society representatives, private sector partners, political, economic and social leaders, employees, development partners, scholars, the media, and various public interest groups. Each stakeholder (group) will provide a different perspectives on the situation: some might provide a political and administrative overview; others could assist in designing the assessment or conduct the research. The results need to be analysed together with stakeholders; certain stakeholders could therefore be instrumental in disseminating the results.

It might be difficult to find the right level of involvement of stakeholders (and some relevant stakeholders might not wish to be very much involved). Ongoing dialogue is essential and opportunities for providing feedback to stakeholders about the emerging findings should be found. Stakeholders need to play a role in setting the priorities for follow-up action to ensure that the capacity assessment process is well adapted to local needs and that its results are relevant and useful.
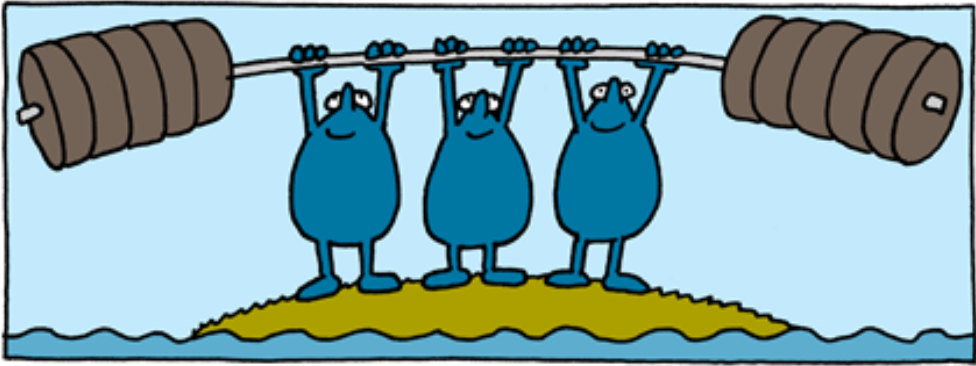
Capacity is stakeholders working together

Setting objectives and clarifying expectations of capacity assessment

The objectives of the capacity assessment have to be clear to the main stakeholders and engaging them throughout the process will not only result in a successful capacity needs assessment but also offer opportunities to learn from each other and from the process itself. You could start the capacity assessment process with a clear and open dialogue with the primary 'clients' of the assessment in order to articulate: 1) priorities for capacity assessment and development; 2) the goals of the exercise;
3) expectations regarding the output of an assessment; and 4) identify and agree who the 'owner' of the assessment will be. This person or entity is responsible for managing the overall process, facilitating dialogue around assessment findings and serving as a liaison between the assessment team and the stakeholders.

Answering the question **'Why do we need to build or develop capacity?'** can clarify capacity development priorities and the role that capacity assessment can play in meeting them. This is frequently the most important question to answer. Capacity assessments can serve a number of purposes, such as:
- Offer a platform for dialogue amongst stakeholders;
- Confirm priorities for action;
- Provide a starting point for the formulation of capacity development strategy and interventions;
- Promote learning and empowerment;
- Build political support;

- Enhance monitoring and evaluation by providing a baseline;
- Initiate a process of change.

The answer to the question 'why build or develop capacity?' affects the design, cost and duration of the capacity assessment. For example, getting stakeholders on the same line in terms of the concepts of wise use of wetlands may require a one-day session. Conversely, identifying specific capacities that block the implementation of a sustainable wetland programme may take several months. Box 7 provides some benefits and limitations of capacity assessments in general, which can help you to formulate realistic capacity development objectives.

Define the scope and scale of the capacity assessment

After discussing why capacity needs to be built it is important to define the broad scale and scope of the capacity assessment in order to avoid confusion, frustration and dissatisfaction. There is a tendency for capacity assessment teams to overextend their focus. To define the scale and scope of the capacity assessment it is not only important to know **whose capacities need to be assessed** but also to understand **for what purpose** the assessment is being done, e.g., to build political will, to formulate a policy, or to source for funds. For example, will the assessment only focus on the Ministry of Environment responsible for wetland management, or several ministries that are related and deal with wetland matters from a different perspective such as the Ministry of Agriculture and the Ministry of Fisheries? Is the goal to assess the capacity to formulate a wetland policy (which may be more important at national level) or the capacity to implement a wetland conservation project (which may be more important at local level) or both? Clearly, defining the purpose, scope and scale of the assessment will shape which capacities and core issues should be assessed. And finally, realise that the rationale for conducting an assessment and the scope of the assessment will determine the design, cost and duration of the capacity assessment and analysis phase.

Benefits
- It brings structure, overview and credibility and provides a systematic yet flexible method to:
    - Assess capacity assets and needs
    - Establish capacity development priorities
    - Sequence capacity development interventions (as opposed to wishful shopping lists)
- It provides the starting point for the formulation of a capacity development response. It helps prioritize capacity needs at two levels: a) strategic initiatives and b) quick impact initiatives that demonstrate results to political constituencies and help win fast-track approval.
- It establishes capacity baselines against which to measure, monitor and evaluate progress in capacity development.
- It is often based on self-perception: stakeholders have to convene and 'conduct' the assessment exercise themselves. Of course, the assessment might be facilitated but it is based on people's own perception of what they think they can contribute in terms of knowledge and skills towards reaching the vision. It is not (and should not be) intrusive in the sense that 'assessors' go, e.g., into an organization to find facts and report. Hence, it is not perceived by people as an assessment of (their current) performance.

Limitations
- A capacity assessment is a tool, not a solution in itself.
- A capacity assessment does not necessarily generate 'surprises', but rather provides a basis for confirmation and consensus.
- The 'desired' capacities (referring to Phase 2 of our Capacity Development Framework) do not emerge from the capacity assessment but must be 'defined' during the capacity assessment process. In other words, the inputs into a capacity assessment will determine the assets and needs identified. Inappropriate inputs and in appropriate identification of desired capacities will limit the value of the Capacity Assessment phase for the design of a solution.
- A capacity assessment requires an understanding of the political context (and this refers to the review of our situation analysis in step 1) within which capacity is put to use and a clear rationale for why certain capacities are desired.

Adapted from UNCP Capacity Assessment, Practice Note (2008).

Step 3: Assess existing capacities

In order to avoid repetition, always start by checking if other capacity assessments have been conducted recently. This can provide useful information on capacity development gaps, whereas the results of earlier-implemented capacity development interventions could be further built upon.

An assessment of existing capacity can be conducted at **institutional, organisational and individual levels**. Capacity assessments that cover all three levels provide a far more comprehensive view of capacity constraints, leading to more complete capacity development interventions. Especially understanding the existing institutional capacity of a system is essential to preparing and designing more effective capacity development interventions to reach your goal: the wise use of Wetland X, or even better, the wise use of water resources in the whole of Basin Y, or the wise use of all wetlands in your country.

Individual and organisational capacity assessments are by far easier to understand, and often also easier to measure, than institutional ones. For wise use of wetlands, capacity assessments are mainly conducted at the individual level, often within the context of an organisational structure. The introduction of integrated (river basin) management programmes has, however, generated renewed interest in capacity assessments at institutional level. These assessments do not focus on the performance and related capacity of a single organisation, but on development challenges that depend on the participation and capacities of multiple organisations or stakeholders within a sector.
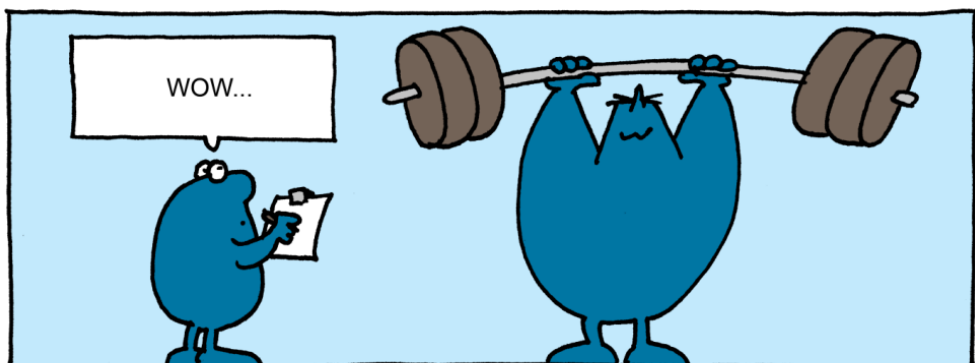
Assessing existing capacity

Assessment of existing institutional capacity

We start with the most difficult level in terms of capacity assessment: the assessment of institutional capacity. An institutional capacity assessment reviews, among others, existing wetland-related formal and informal institutional arrangements, wetland-related legislation, policies and programmes, as well as the effectiveness of the implementation of international conventions to which countries have committed themselves. In other words: which structures, relationships, and systems already exist and enable the wise use of wetlands (in the basin, in your country or in a certain region)?. Which of these block the road to a more integrated approach in the management of wetland and water resources?

Before we start our assessment, we first of all have to understand what exactly institutions are, especially because the word institution is very often misleadingly interchanged with the word organisation. In Box 8 you will find several descriptions and definitions of 'institutions' that can be found in the literature.

Woodhill (2010) explains institutions as follows: Institutions are understood to be the 'rules of the game' that make ordered social life possible. But the definition also involves 'how the game is played' in the end and how people think or believe the game should be played (for instance, this is what we have always done, so it is fine). A good institutional analysis also looks into the players of the game (which organisations, their relationships, the influence they can have in decision-making processes, etc.). In an institutional analysis, you could say you link the 'players' or stakeholders (check your stakeholder analysis results), with existing beliefs, norms, values ('how people think the game should be played'), patterns of behaviour and regular practices ('how people play the game') and the official and informal rules of the game, i.e., the policies, treaties between countries, conventions, etc.

Box 8 - Several definitions and descriptions of institutions

- Habits of a group or the customs of a people (Hamilton 1932)
- Conventions, rules of action, embedded in social structure, locally specific (Krätke 1999)
- Settled habits of thought common to the generality of men (Veblen 1919)
- Collective action exercised by different types of organization (family, corporation, trade union, state in control of individual action (Commons 1924)
- Convenient term for the more important among the widely prevalent, highly standardized social habits (Mitchell 1950)
- Sets of rules of the game or codes of conduct defining social practices (Young 1994)
- Formal organizations, patterns of behaviour, negative norms and constraints (Coriat and Dosi 1998)
- Mental constructs (Neale 1987)
- Rules of the game (North 1990)
- How the game is played (Nelson and Sampat 2001)
- A set of socially prescribed patterns of correlated behaviour (Bush 1986)
- Prescribed or proscribed patterns of correlated behaviour (Tool 1993)
- Constitutional rule systems for society, collective choice rules governing different kinds of
- organization, operational rules of organizations (Ostrom 1999)
- Norms that regulate relations among individuals (Parsons 1990)

Source: Parto (2005)

Understanding what institutions are and being able to assess the existing institutional setting affecting your wetland means in fact being able to grasp the complexity and dynamics of society (its patterns, systems, sub-systems, networks, rules, behaviours, and its ability to change). What makes social systems complex is the multitude of interacting institutions, combined with the often unpredictable nature of human behaviour. We must understand two points. First, no one has consciously designed the main institutional frameworks of our societies such as the whole set of rules and agreements about the use of currency, patterns of inflation and deflation, agreements on the basis of virtual money, market-oriented societies, etc. These institutions have evolved, over long periods of time, by adapting and responding to all sorts of experiments, cultural values, new ideas, power plays and external shocks. Second, changing institutional arrangements is a difficult task. The results are often unpredictable, with some expected outcomes not occurring and other unplanned changes happening instead. If we wish to achieve 'wise use of wetlands' we do have to

think about the institutional framework or setting in which the concept of wise use can evolve, be accepted and flourish.

But... what is institutional capacity?

Institutional capacity can best be explained as an institutional setting that enables and supports the wise use of wetland ecosystems. Examples of elements determining institutional capacity are: the fact that your country has a national wetland policy; the religious beliefs of those people living close to the wetland involving a deep-rooted respect for water and all living organisms; a government that works closely together with the civil society; an education system that is adaptive and responsive to societal issues; a society that agrees with the principle that the polluter pays; money, etc.

Institutions cannot be effectively changed in a neatly planned, top-down manner, and there is a limited role for outsiders. In all projects, programmes or interventions we keep trying to focus on achieving specific predetermined results. This, unfortunately, does not fit the realities of how institutions evolve and therefore has a huge impact on planning your capacity development initiatives!

To better understand the institutional framework and to be able to optimally predict its behaviour, it is necessary to understand and study the institutional setting and prepare capacity development interventions that fit the system. Realise that 'amending' the system through your capacity development intervention in one place can have an impact on the system as a whole.

A tool for institutional analysis

Woodhill (2008) has developed a framework (see Figure 5) to explore the complexity of institutions. This framework can help you to better understand the existing institutional capacity. The tool is best applied in communication with different stakeholder groups.
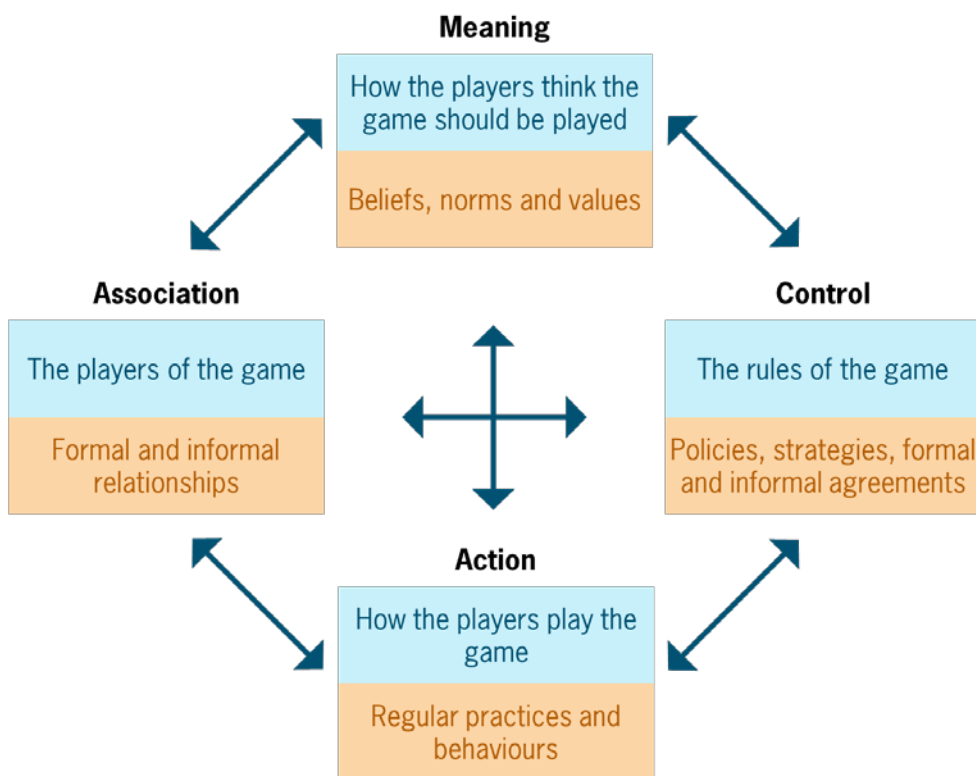
Figure 5 - A framework for exploring the complexity of institutions

To assess the institutional capacity in your own work setting the steps below can be applied:

Step 1: Discuss and write down the central issue in your wetland or the context that you are working in: e.g., the wise use of your Wetland X, developing a wetland management strategy for your country, or creating an integrated approach for the management of River Basin Y.

Step 2: Brainstorm together with your stakeholders the institutions that influence (positively or negatively) this central issue. Split your discussion in the following four categories of: 1. Meaning and 2. Action, 3. Control and 4. Association. For each category the points of discussion need to be documented on a flipchart paper. To

understand these four categories better we included some examples for you that might help you when you are applying the tool:

1. Meaning: 'how players think the game ought to be played'

What are the norms, values and beliefs that influence what people understand? For example:
- 'The wetland is a sacred area';
- 'Water resources can only be managed wisely by developing river basin management plans';
- 'Raising awareness is a task of the government only';
- 'Without the use of pesticides, agricultural production levels will drop drastically';
- 'Economic development will eventually lead to better conditions for nature conservation');
- 'Markets and the rules of supply and demand are the most solid basis for governance'.

2. Action: 'how the players play the game'

What are regular practices that occur and which behaviour patterns can you distinguish?
- No public rainwater harvesting;
- Tax collection and administration;
- Waste water discharged directly into the river without treatment;
- Adoption of new irrigation technologie;
- Resistance to laws and regulations in general;
- How people greet each other;
- How public servants interact with the public;
- How people behave in markets.

3. Control: the 'formal and informal rules of the game'

What are the formal and informal rules: existing mandates, policies, laws, regulations, and strategies? Some examples:
- 'Your country being a contracting party of the Ramsar Convention' (but 'your country not being part of the Ramsar Convention' would also be a relevant point in your institutional analysis);

- 'A wetland policy at national level';
- The EU Water Framework Directive (this is binding legislation for the Member States of the European Union);
- A communication strategy supporting the implementation of the Convention on Biological Diversity;
- Agreements made in support of the Kyoto Protocol;
- Regulation 19/2035 on prohibiting the hunting of migrating geese from 1 October to 1 April;
- Official agreement that the Ministry of Environment, Department of Wildlife manages Wetland X, but the Ministry of Water Resources develops the water policies;
- Although Wetland X is located in two districts (35% in district U and 65% in District V), the agreement that District V manages the area as whole;
- Decentralisation of decision making (and level of autonomy) in your country, from central level to province, to district, to sub-district, to municipality, to village, to hamlet;
- Local structures of governance, through village leaders, religious leaders, community chiefs, etc., and customary laws and regulations;
- The mayor's agreement to inform the board of the Union of Rural NGOs every month about construction and expansion of the urban area';
- National poverty-reduction strategies

4. Association: the players of the game and their relationships (check your stakeholder analysis results)

What are existing or emerging organisations, groups, networks, and formal and informal relationships? The way in which these players have evolved relates closely to existing norms, values, rules and regulations, and common practices. In turn, the players of the game also affect norms, rules, etc.
- Ministry of Agriculture
- Local and national NGOs and CBOs
- Municipalities
- Established partnerships, e.g., Associations of Water Users
- A multi-stakeholder platform for the protection of the beaver
- Markets

After listing down the key points of discussion of each of the four categories on a flipchart you can now reflect on these findings. You can use the questions listed under step 3 to guide you.

Step 3: Reflect (guided by the questions below)
- What are implications for your wetland and its wise use?
- What are the key constraining institutions to achieve wise use of wetlands?
- How can we change or reduce their constraining effect?
- What are the key supportive institutions?
- How can we build on and strengthen the supportive institutions?
- Which institutions can we influence, and which not?
- Which other stakeholders do we need to bring on board to make the MSP work in light of this institutional context?

The outputs of this assessment will help you understand the institution setting better and serve as a basis to identify gaps where capacity needs to be developed to ultimately achieve the wise use of your wetland area or river basin.

Assessment of existing organisational capacity

An organisational capacity assessment looks at the effectiveness of organisations. Organisations provide the framework for individuals to work together and achieve goals beyond their individual capacities; as such, they are a collective manifestation of individual capacities. Capacity assessments are most commonly conducted at the organisational level, as the boundaries are generally well delineated and the capacity issues straightforward. A capacity assessment at the organisational level usually focuses on the internal workings of an organisation and may be motivated by the need to establish or improve specific capacities. Box 9 gives an overview of the different areas that can be looked at when assessing organisational capacity.

- **Mission and strategy:** role, mandate, description of services, clients/customers, interactions within the sector and its stakeholders, measures of performance and success, presence of core strategic management capacities.
- **Culture, structure and competencies:** organisational and management values, management style and standards, organisational structures and designs, core competencies.
- **Processes:** supporting such functions as planning, client management, relationships with other entities, research/policy development, monitoring and evaluation, performance/quality management, financial and **human** resources management, etc.
- **Human resources:** the most valuable of organisations' resources - upon which change, capacity and **development** primarily depend.
- **Financial resources:** both operating financial resources as well as financial capital.
- **Information resources: access** to information resources and how these resources (all media, electronic and paper) are managed to support the mission and strategies of the organisation.
- **Infrastructure:** physical assets such as property, building(s), productive work environments (computer and online network facilities, communication facilities)

Adapted from UNDP (1998) Capacity assessment and development in a systems and strategic management context.

Methods and tools for assessing organisational capacity

A number of tools and methods can be used to gather information on the current capacity of an organisation or of an individual: self-assessment, interviews, focus-group discussions, surveys (e.g., through questionnaires) etc. Each methodology has its advantages and disadvantages, which should best suit the context. Make sure to collect a range of perspectives, by interviewing representatives of a broader group of stakeholders. Also think of talking to people who view the existing capacities of this particular stakeholder from outside (what is the farmers' view on the capacity of the governmental extension workers; what do tourist agencies think of the competencies of construction companies; how would the Ministry of Agriculture assess the capacity of the Ministry of Environment regarding the wise use of wetlands, etc.). Also try to gather a multi-perspective view within organisations, by consulting with office and field

staff of ministerial bodies or talking not only to the director of a textile factory but also with the staff.

The category of 'Association' from the tool introduced on existing institutional capacity can help you to assess organisational capacity in more detail (see Step 2, above).

A SWOT analysis is also often used to identify internal and external factors that affect the position of an organisation, its performance and the quality of its services. SWOT stands for the analysis of : internal **S**trengths and **W**eaknesses of an organization/ programme/ project and the external **O**pportunities and **T**hreats that it faces. A SWOT analysis can be divided into five steps: 1) preparation of a SWOT session, 2) identification of strengths and weaknesses, 3) identification of opportunities and threats, 4) ranking of strengths and weaknesses, 5) analysis of strengths and weaknesses. For more information on this tool, please have a look at the web portals that Wageningen UR Centre for Development Innovation has developed: http://portals.wi.wur.nl/msp/ and http://portals.wi.wur.nl/ppme/

Dividing participants into small groups to do the analysis, and then comparing the group results during a joint session can illustrate the various perspectives of an organisation. This allows for an exchange of opinions and creates a learning opportunity for the participants. However, SWOT matrices capture opinions and perceptions of the participating individuals, and as such can produce biased, subjective results. More empirical work may be necessary to balance such biases with other data.

Assessment of existing individual capacity

When we zoom in to the category of human resources of Box 9, we focus on assessing the level of individual capacity. Capacity assessments at the individual level are generally conducted within the context of organisational assessments, but ultimately concentrate on the individual, including small interpersonal networks of individuals (UNDP, 1998). This includes individuals both within organisations involved in the management and delivery of a capacity initiative, as well as those who are beneficiaries or are otherwise affected by the initiative (which could be specific stakeholder groups, segments of society, or the civil population at large, depending on the scope of the initiative). This level addresses the individual's capacity to function

efficiently and effectively within their organisation and within the broader 'system' (or institutional setting) as a whole.

Often, capacity assessments of individuals are based on an established "job description" or some other format which lays out the performance and skill requirements of the position. An individual capacity assessment provides the information on how well an individual is doing the job and it determines that individual's learning needs (which we will discuss in the next step).

Methods and tools for assessing individual capacity

Conducting the actual capacity building assessment can be done by using a variety of methodologies depending on the scope of the assessment and of the issues under review. Methods range from focus group discussions to more elaborate empirical research methods such as questionnaire-based surveys and participatory learning and action (PLA) tools.

Some examples of tools that can be used to assess individual capacity, as well as their advantages and disadvantages are given in Table 2 below. For more background information please see the references and websites in Chapter 4.

Table 2 - Methods and tools for individual capacity assessment		
Tool	**Advantage**	**Disadvantage**
Questionnaire	- Allows 'interviewing' of all members of a stakeholder group individually	- Preparation and analysis of questionnaires is often time consuming - Non participatory - Often delivers an excess of information - Differences in perception of persons that develop questionnaire and the respondents about the questions asked - Not transparent about the end use of its outcome

Table 2 - Methods and tools for individual capacity assessment (continued)		
Tool	**Advantage**	**Disadvantage**
Focus group discussions	- This method is more participatory and less time consuming than the questionnaire	- Requires good guiding questions and careful facilitation and analysis for relevant results
Tests or exams of job performance		- Requires involvement of "experts" and therefore considered costly - Participants often feel very disadvantaged when such a method is applied and may become uncooperative and demotivated in their overall job performance
Participatory tools	- Stimulate active exchange between participants and facilitators: a relationship is established whereby they become partners in determining the content and design of a capacity building programme - Better understanding of respondents' answers and ideas - In the end less time consuming and more indicative of the organisational culture - Easy to understand and can be used with participants having low levels of reading and writing skills - Most important of all, these tools empower and motivate learning	- Considered 'non-scientific' - Appropriate use of the tools depends on the skills of the facilitator

Step 4: Assess capacity needs

The next step aims to make the leap from current capacity to future capacity: What capacity already exists and **what capacity is actually needed**? What institutional capacity needs to be developed, what is the gap regarding organisational capacity, what individual capacity gaps need to be addressed to move towards your vision? Following the identification of existing capacities in step 3, step 4 assesses the capacity needs of the various stakeholder to ensure a more effective wise use of wetlands and to design supportive procedures and suitable policies.

To know which capacities are needed to move towards the vision for your Wetland X, a review of your wetland management planning process is required (or a review of the situation in River Basin Y, or a review of the wetland management status in your country if that is the level of your focus):

- You need to understand the situation in Wetland X (in the context of Basin Y)
- You need to be aware of the vision that has been drawn out for your Wetland X (or the whole Basin Y, or for wetland management planning at country level) by stakeholders;
- You need to have a thorough overview of your stakeholders (this you achieved partly through step 1 and the update in step 2 where you prepared for your capacity assessment with stakeholders). Remember that a stakeholder analysis (and in fact the situation analysis of your Wetland X as a whole) is an ongoing process of monitoring, reflecting and adapting.

Target groups

Let's look at the capacity development process more closely (see also Box 10). You and your stakeholders aim to reach or get as close as possible to the agreed vision for Wetland X (or Basin Y or national wetland situation) as shown on the next page.
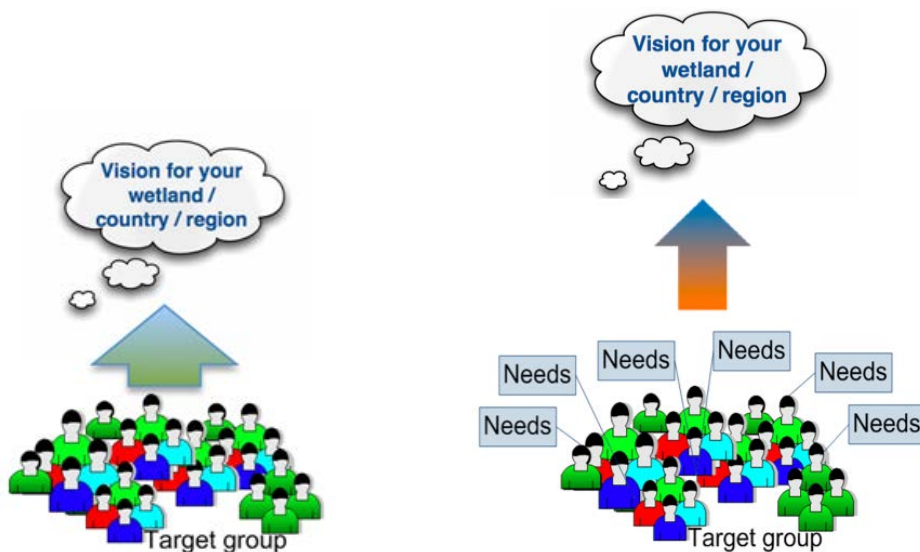
Some stakeholders or stakeholder groups may have very strong and useful competences for the wise use of wetlands (as you found out during Step 3: the assessment of existing capacities). Some stakeholders may not have (all of) the necessary capacity to support this 'journey towards wise use'. Different stakeholders or stakeholder groups will have specific needs in terms of capacity development. A target group is what we call a certain group of stakeholders or people engaging in specific capacity development activities, for example farmers, fishermen or extension officers from the ministry). We will come back to the identification of target groups later in Phases 2 - 4.

Box 10 - Capacity needs assessment is a process of:

- Identifying capacity gaps influencing current results and desired ones (*situation analysis for Wetland X and vision for Wetland X*);
- Making a first selection of the most important needs to address within your capacity development initiative by prioritising the capacity gaps (*needs*).

Adapted from the RECOFT website (2008)

Table 3 - Needs assessment matrix						
Stake-holders	Current capacity	Desired capacity	Estimated capacity gaps in knowledge, skills, attitude			Proposed strategies and required procedures
			Knowledge	Skills	Attitude	

A tool for the identification of capacity needs

Table 3 shows a matrix that can help us to move forward from existing capacities to 'desired' capacities and helps to list what each stakeholder (or target) group needs to contribute to the wise use of Wetland X.

The matrix can be filled in using information gathered during the previous steps (the situation analysis: the stakeholder analysis, problem analysis, institutional analysis). However, for the future capacities just initial ideas and thoughts of what is needed can be given at this stage. These proposed ideas will becomes strategies after Phase 2 and Phase 3 are completed. Below we have worked out an example so that you can see how the matrix can be used (Tables 4 and 5).

In the first table (4), we listed the following stakeholder groups for wetland wise use, and their interests and roles in the management process:
- Policy makers
- Implementing agencies (including NGOs)
- Communities and community-based organisations (CBOs)
- Private sector
- Research and academia

For each stakeholder group, we then applied the matrix tool to define the competencies needed for the wise use of wetlands in terms of knowledge, skills and attitudes (Table 5). For your own wetland situation you will have to identify all stakeholders that have a link with the wise (or unwise) use of the wetland. You have to know the interests, roles and current competencies of each stakeholder group upon which you will base your capacity development programme.

Keep in mind that Tables 4 and 5 are just examples and must be adapted to your own situation: there are differences between countries, or even between provinces or districts. When you do an assessment of competencies currently available and competencies needed for a wetland capacity development event, make sure that you adapt such a table to each new event that you plan. There is no harm in being very specific. For your own situation it might be necessary to go a level deeper within the different stakeholder groups (not just academia for example, but which specific research institutes).

Stakeholder competence requirements (as formulated in Table 5), not only consist of what needs to be learned to improve the 'functioning' of stakeholders, but also looks at what is needed to improve the role they play within the multi-stakeholder environment of sustainable wetland management. Therefore, apart from filling specific knowledge and skills gaps, capacity development should also include the strengthening of communication and collaborative skills such as facilitation and conflict management skills. In addition, capacity development often plays a role in strengthening the motivation and attitude of stakeholders to work collectively towards a common goal (wise use of wetlands) in a multi-stakeholder setting. Having the motivation to reach this higher goal together, is key to having a positive impact!
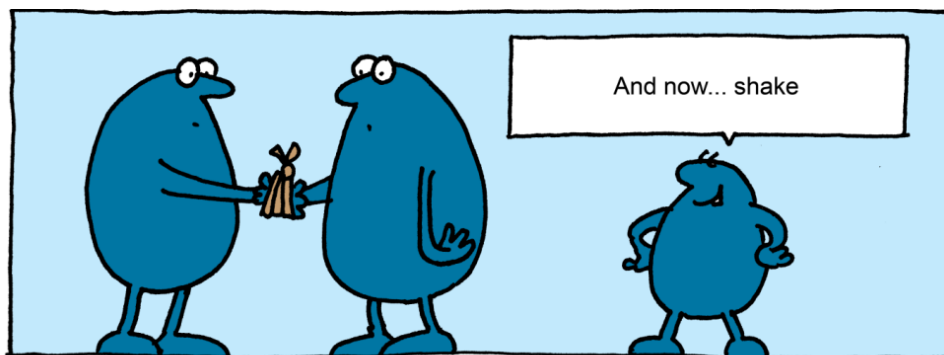
Cooperation between stakeholders is very important.

Table 4 - Stakeholder groups, their interests and roles in wise use of wetland

Stakeholder groups	Description	Main wetland-related interest and activity	Role in wise use of wetland
Policy makers	Often (but not always) government institutions, at levels ranging from local, regional to national. Examples: - ministries and their departments, (water, environment, agriculture, public works, tourism, etc.) - districts and town councils - environmental management authorities - water management authorities	Develop policy in line with existing (higher level) policies. They balance the needs of people (socio-economic) and nature. For this they analyse, formulate, evaluate policies, support politicians, achieve policy targets.	They provide background and rationale for management, legal framework/justification and institutional context.
Implementing agencies/ wetland managers (incl. NGOs)	Often these are governmental bodies from various departments and sectors. Examples: - agricultural extension services - water and sanitation departments or corporations - bureau of tourism - wildlife service	Develop policies into strategies and management plans (objectives, activities and budgets) and implement them, e.g.: - enforce protected areas, - manage irrigation systems, - build water supplies or sewage systems, - enforce fishing regulations They are responsible for implementing policies for the common good and the interests of the state.	They know a lot about the wetland and its context and can provide important knowledge and data to the wetland management plan. They can actively contribute to the development, monitoring and enforcing of the management effort.

Table 4 - Stakeholder groups, their interests and roles in wise use of wetland (continued)			
Stakeholder groups	**Description**	**Main wetland-related interest and activity**	**Role in wise use of wetland**
Communities and CBOs	People living in or close to the wetland and often depending on the wetland for part or all of their livelihoods. Sometimes they are organized into community-based organizations (CBOs) Examples: - farmers - fishermen - women groups	They benefit from the wetland services. This can be in the form of products (food, water, other materials) harvested from the wetland or other services (e.g., flood protection, water purification, recreation, religion).	They know a lot about the wetland, therefore they can contribute to the planning process. They also need to stand up for their interests in the wetland as a support for their livelihoods, i.e., their role is to negotiate with the other stakeholders so that a reasonable portion of their claims are honoured;
Private sector	Individuals or companies with a commercial interest in the wetland. Examples: - commercial farms - tourism operators and hotels - mining companies	They want to use the wetland for an economic activity - they may harvest products from the wetlands or make use of unique features of the wetland turning them into a service for other people. Their attitude towards the wetland depends on whether they have a short-term (quick profit) or long-term vision (sustainable profit).	They have an interest in wetlands for their economic activities. Their role is to negotiate with the other stakeholders so that they can get a reasonable part of their claims honoured and respect the other interests in the wetland and become an active partner in the wise use of wetlands.

Stakeholder groups	Description	Main wetland-related interest and activity	Role in wise use of wetland
Research and academia	Faculty and students of universities or staff of government or private research institutions. Examples: - universities - fisheries institutes - agricultural research stations - biological research stations - national statistics bureau	They do research in the wetland and use the results for teaching programmes or for publications.	They know a lot about the wetland therefore they can contribute to the planning process. They can even generate new knowledge based on the requirements of the management process. They can share knowledge about the wetland with different stakeholder groups in the appropriate form. They can also play a role in facilitating the management process and in monitoring the management process once a plan is being implemented.

Table 5 - Competencies needed for wise use of wetland				
Stakeholder group	**Tasks in the wetland management process**	**Competence requirements**		
		Knowledge	Skills	Attitude/behaviour
Policy makers	Define wetland policies Understand and relate to other policies and/or policy makers Provide the rationale and background for the planning process	Importance and value of wetlands Awareness of multi-sectoral character of wetlands Awareness of pre-requisites for successful planning (e.g., stakeholder involvement, funding)	Communication and negotiation	Openness, transparency Sense of common interest Service-oriented Reliable Willing to do their best for wise use of wetlands
Wetland managers	Facilitate planning process Collect and analyse knowledge about wetland site and share with other stakeholders Develop and implement wetland management plan	Functioning of the wetland ecosystem Sustainable use of wetlands Wetland management planning process (including writing of plan) Stakeholder analysis Facilitation of stakeholder processes Conflict resolution	Communication and negotiation Wetland management planning process (including writing of plan) Facilitation of planning process Facilitation/chairing of meetings and workshops Fund raising Facilitation of stakeholder processes Conflict resolution	Service-oriented Willing to do their best for wise use of wetlands

Table 5 - Competencies needed for wise use of wetland (continued)

Stakeholder group	Tasks in the wetland management process	Competence requirements		
		Knowledge	Skills	Attitude/behaviour
Communities and CBOs	Make use of wetland services	Importance and value of wetlands	Communication and negotiation	Willing to do their best for wise use of wetlands
	Contribute local knowledge to management plan	Functioning of the wetland ecosystem	Facilitation of stakeholder processes (some CBOs)	
	Participate in formulating management objectives	Sustainable use of wetlands	Conflict resolution (some CBOs)	
	Participate in implementing management plan (actions, monitoring, evaluation)	Wetland management planning process		
	Organize communities and create awareness			
Private sector	Make use of wetland services	Importance and value of wetlands	Communication and negotiation	Willing to do their best for wise use of wetlands
	Create awareness in private sector about importance of wetlands	Functioning of the wetland ecosystem		
		Sustainable use of wetlands		
		Wetland management planning process		

Stepwise Approach to Capacity Development for the Wise Use of Wetlands

Table 5 - Competencies needed for wise use of wetland (continued)

Stakeholder group	Tasks in the wetland management process	Competence requirements		
		Knowledge	Skills	Attitude/behaviour
Research and academia	Collect and disseminate knowledge about wetlands Provide answers to questions arising from planning process Provide alternative management options	Importance and value of wetlands Functioning of the wetland ecosystem Sustainable use of wetlands Wetland management planning process	Communication and negotiation Wetland research techniques Stakeholder analysis Facilitation of stakeholder processes Conflict resolution Communication of knowledge to general public	Openness, transparency Sense of common interest Service-oriented Reliable

Step 5: Analyse, interpret and review capacity assessment results

To finish the first phase, you will need to analyse and compare the results of the needs assessment to the actual situation and the vision you have developed in your wetland/country/region. In short:

- Make stakeholder groups: which stakeholders could be combined and addressed as one target group for your capacity development intervention; target groups may change after further analysis, so keep your tools always dynamic and adapt them to the ongoing situation.
- Select target groups on the basis of the combined analysis of stakeholders, problems, institutional settings, etc.
- Make an initial characterisation of target groups: which target groups block the way towards your vision and which stakeholders could support you but need additional skills in order to do that?
- Describe your target groups and include their interests, their role in wetland management, etc. as in Table 4. Remember that this table is an example, showing very broad stakeholder groups- make sure your stakeholders are described in detail before you identify target groups for your capacity development interventions.
- Develop a matrix as in Table 3 which also includes information on the current capacity of your target groups. It is ok to first focus on specific stakeholder groups and later on target groups
- Describe what support is needed for each stakeholder group from an institutional point of view. Private-sector stakeholders may have the right knowledge and skills and even their attitude might be supportive towards wise wetland use, but if certain policies block their way to being supportive, then they need to be addressed as well. This information can be included in the last column of Table 3.
- Deduct from your points outlined in that last column of Table 3 what the new target groups are for capacity development interventions. For example, if the private sector stakeholder you are aiming at has the right knowledge, skills and the right attitude to contribute to the wise use of wetlands, but certain policies or regulations prevent him or her from doing so, then the policy makers, for example from the Ministry of Agriculture or the Ministry of Nature Conservation become a new target group. These policy makers then need to become aware of the need to work together and address the relevant legislation.

Please realise that at all times and in all phases of this work, 'reflect and adapt' is the golden rule.

The final outcome of Phase1, Capacity Assessment and Analysis, is a preliminary list of existing capacities and capacity development needs suitable for the stakeholder groups involved.

3.3 Phase 2. A vision for capacity development

Phase 1and 2 of the Capacity Development Framework are closely connected in the sense that the 'gap' between Phase 1 "what is" (the current capacity available for the wise use of Wetland X) and Phase 2 "what should be" (the desired capacity of your stakeholders for your Wetland X) form the structure you need for planning your capacity interventions.

Phase 2 'simply' answers the question '**Where do we want to go?**'. To be able to make a plan together with your stakeholders, you need to have a shared goal or vision to work towards. This second Phase consist of only one step, **Step 6; formulate the vision.**

What is a vision?

A vision is a statement that describes a future state. It answers the question "Where do you want to go"? In the visioning phase, you ask yourself what the status of the wetland will be like in 15 to 50 years from now. How will decisions be made? Who will be involved? What will be happening then? What will it look like? And how will the wetland be managed? Now close your eyes and dream of the future, then ask yourself how you can best attain your dream.

"There are many paths to the top of the mountain, but the view from the top is always the same" **(Chinese Proverb)**	"Vision without action is a daydream. Action without vision… a nightmare!" **(Japanese Proverb)**

Visioning is a collective process through which stakeholders involved in the wise use of wetlands imagine the future they would like to have and how to achieve it. Visioning can provide guidance to stakeholders who are unclear about a future course. Shared visioning, rather than that of an individual, fosters increased ownership at all levels, thereby increasing the likelihood of achieving the objectives. Through participation, stakeholders can share their interests, core values, and ideas for the future, which are then transformed into a manageable and feasible set of objectives and an action plan (see Box 11 for the strengths and weaknesses of visioning).

Box 11 - Strengths and weaknesses of visioning

Strengths
- Visioning creates a 'motivating view of the future' for a group of people, it gives direction, it provides the source of inspiration;
- Visioning provides understanding of what stakeholders *really* want to achieve;
- Visioning helps to define the problem as a vector towards a desired future;
- Visioning encourages participation towards the development of a strategic plan;
- Visioning uses participation as a source of ideas in the formulation of the capacity development strategy and planning.
- Visioning creates ownership about the planning process;
- Visioning provides a *positive* outlook and helps avoid reactionary approaches to addressing problems;
- When completed, visioning presents a democratically-derived consensus;
- When using interactive and visual tools (e.g. a 'rich picture') visioning offers the following advantages:
- It can involve stakeholders who are often disempowered in traditional consultative processes;
- It can be used to assess willingness to 'pay' to preserve specific environmental attributes or willingness to accept the loss of these attributes.
- It can involve a broad range of participants (in demographic terms).

Weaknesses
- Organisation of visioning exercises can be costly (in terms of bringing people together)
- It might be difficult to translate visioning into a strategy and/or policy (because many interventions may be needed to achieve the vision)

After having analysed each stakeholders' views on the current situation, try to work towards an agreed vision: What would the stakeholders' shared dream look like? This is an important step in each planning process. If you have a vision shared by most of your stakeholders, it helps you to focus everybody in your planning process. Getting from vision to concrete action will then be much more effective: 'A vision without action is a daydream, but action without a vision is a nightmare…'

You probably already know that when you want to move from the current situation towards the vision you will not follow a straight road as shown in Figure 6 below.
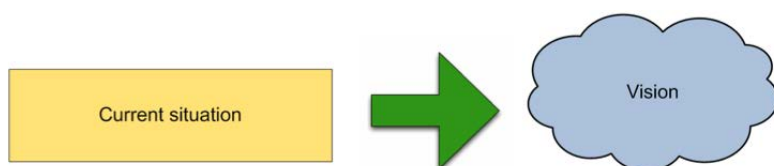
Figure 6 - From current situation to vision: the non-realistic picture

Figure 7 - From current situation to vision: the more 'realistic' picture

Instead it is often a very challenging road where one step forward might sometimes be followed by two steps back… (see Figure 7). It is a road that needs critical reflection and adaptation. It is a road that requires all your stakeholders working and learning together. Moreover, such a process needs professional facilitation.

We already have a vision for our Wetland X, which was developed during the wetland management planning process. Do we now need another vision in this phase of the capacity development framework? The answer is no and yes: we do not need a new vision for the wetland, but yes, we need **an additional vision for capacity development**.

Let's assume that the stakeholders have described their wetland site and have formulated a vision showing what the area will looks like 20 years from now, what its specific features are and what the role is that each stakeholder plays in that 'dream'. Your capacity development vision then goes much further in envisioning the roles different stakeholder groups will ideally play in developing the wise use of the wetland: for each stakeholder group, illustrate or outline what knowledge, skills and what behaviour they will develop in the future. This capacity development vision also shows how they operate in society, how they operate on institutional level, with whom they cooperate and their linkages with other stakeholder groups. You can ask yourself questions such as: 'Which capacities to achieve wetland wise use need to be in place 8 years from now and 15 years from now'.

So in short, in Phase 1 of the capacity development framework, you analysed the existing capacities and the areas in which capacities could be strengthened. In this Phase 2 you are going to think much more deeply about **the desired capacities needed to reach the vision** that was developed with your stakeholders for e.g., Wetland X. We will now complete the identification of target groups and what their desired capacities are, using the information from Phase 1. Remember, the structure of the 'current situation-dream situation' define our capacity development strategies!

Tools for visioning

Stimulate visualisation: 'A picture is worth a thousand words'.

Guided visioning exercises have become popular in many fields as a way of defining and achieving a desirable future. In a typical visioning exercise for a certain area, a facilitator will ask participants to close their eyes and imagine they are walking through their wetland area as it would be 15 years from now. What do they see? What does the wetland look like? Where do people gather? Are there new/more/other buildings? What industry do they see in the area? How are decisions made about the area? What are they eating? Where are they working? How are they travelling? What is happening in the area? How is water used? What do you see when you walk around after dark? People are then asked to record their visions in written or pictorial form; in diagrams, sketches, models, photo montages, and in texts. Sometimes a professional illustrator helps turn mental images into drawings of the area, which people can then extend and modify.

Where do we want to go? A vision.

In a visioning exercise focussed on capacity development, prior to conducting the 'guided dreaming' or visioning, information is needed about the current capacities available. You have gathered this information during Phase 1. Such information helps the visioning stakeholders understand the context and constraints under which they are operating. Stakeholders should be asked to go back to their vision for Wetland X (Basin Y, their country) and then enter the visioning exercise related to the desired and essential capacities stakeholders will have 5, 10, 15 years from now that are needed to reach that common vision for their Wetland X (basin Y, their country).

Stakeholders can visualise their own capacities (what they would like to be able to do better) but it would be better to work together and visualise future capacities from stakeholder group to stakeholder group. You can ask them to share ideas: to be able to reach your vision for Wetland X in 15 or 20 years, what does stakeholder group A need to know to help achieve that vision, what skills do they need? And what about stakeholder group B? And C? etc.. Imagine the future. Look around and see what is there. Step into the shoes of others and see, hear and feel as they do. Walk a mile with them…Discuss whether the desired capacities for each stakeholder group are achievable and realistic for them to obtain. And if not why not? What is the hindrance?

Another very helpful exercise is to ask stakeholders to draw out the current situation and let them visualise what are the issues currently at stake and identify the competencies and skills that are lacking. Stress that you are interested to know if they

feel that a lack of capacity of certain stakeholders causes problems in the wetland area. A few examples they may come up with are:

- "These environmental NGOs only care about protecting the area for birds, but we live here and we have to earn our living!" "They are not able to see beyond the wings of bird migration!"
- "The government is too much focused on economic development and construction is too close to the core areas of Wetland X, which should be under strict protection!"
- "These different departments within the ministry do not know about each others' legislation."
- "What can we contribute? We are simple farmers and of course we need to use pesticides."

This view of the interests of different stakeholders provides valuable information about existing capacity, and is telling of desired capacities: "If farmers know how to farm differently of course that would help to solve the problem".

For more information see the web platforms: http://portals.wi.wur.nl/msp/ and Chapter 4.

To summarise

- A capacity development vision features a compelling picture or image (could be in words or in the form of a story) of desired capacities
- A vision is connected to and articulates deeper values and hopes for the future
- Visioning works because we are an imaginative species and are motivated by what we perceive as a possible or desired future
- A vision can be 'fuzzy' but it needs to be translated into actions and plans that can be and are implemented
- A vision too far into the future cannot help to pull us forward… a vision too close to today is just another plan...
- A vision needs to be easy to remember and associated with emotions, to make it easier to recall fully when it is needed
- A vision will die if it is not regularly communicated!

Switching Phase 1 and 2 around

Instead of starting the capacity development planning with capacity assessment and analysis, you can also start the capacity development process with the visioning phase. This will help you to not focus on the issues and problems at stake but more on the positive changes you are trying to realise. Visioning is like dreaming, it is the nicer, prettier world you would like to live in. It encourages stakeholders at all levels to actively participate and it incorporates feedback from all concerned parties. In addition, visioning helps to avoid stagnation by promoting thinking "outside the box," identifies previously ignored structural weaknesses, establishes a framework for continual development toward identified objectives, and builds confidence in the system.

Starting the capacity development process with Phase 2 of the capacity development framework would mean to first discuss of all the skills, knowledge and capacities needed for stakeholders to be able to use Wetland X wisely. Generally speaking, however, if you start your capacity development process with Phase 2 (developing a capacity development vision), remember that visioning does require assembling a group of stakeholder(s) committed to affecting change. Stakeholders are in general 'ready' for a visioning process when there is some dissatisfaction with the present situation, when there is a sense that they must pursue a different future than the one suggested by the present approach, without having discussed issues and problems in detail.

After a thorough review of the results of Phase 1 and Phase 2, it is time to set capacity development objectives and further define our capacity development strategy. It is time to discuss the question of '**How do we get there…?**'

3.4   Phase 3. Capacity development strategy

Integrated water resources management or integrated natural resources management already provide principles for the sustainable management and the wise use of wetlands. Can we not simply implement those principles and in that way reach our vision for Wetland X? Because each wetland is different, the difficulty lays in how to decide what measures to put in place for your Wetland X in order to address the specific problems and issues of Wetland X. What should be changed in the way we

manage Wetland X and what are the implications of the proposed changes? Our focus in this is of course how capacity development can support such processes. These are not easy questions to answer and it may in fact take many years before the right knowledge, skills and behaviour are available to complete wetland reforms, to have them implemented and work effectively… We hope that you find the capacity development framework useful for answering such questions.

So, back to the framework: the capacity assessment and analysis phase and the visioning phase provide the basis for Phase 3, the capacity development strategy phase. But before you actually start this phase, make sure that you first go back to Phase 1. Check whether your steps of Phase 1 need to be updated (in particular the matrices and tables), especially after the visioning exercise of Phase 2.

The capacity development strategy defines the overall goal and long-term impact for your capacity development intervention and describes step-by-step what your capacity development initiatives will accomplish. The capacity development strategy will outline the process of change in which various stakeholders are stimulated to take on new responsibilities, skills, behaviours, values, and policies. This process of change addresses specific development problems or content areas.

To make sure that Wetland X is wisely used and forms the green lung of Basin Y (the vision of Wetland X) there are several pathways, roads or strategies you can choose to get you there.
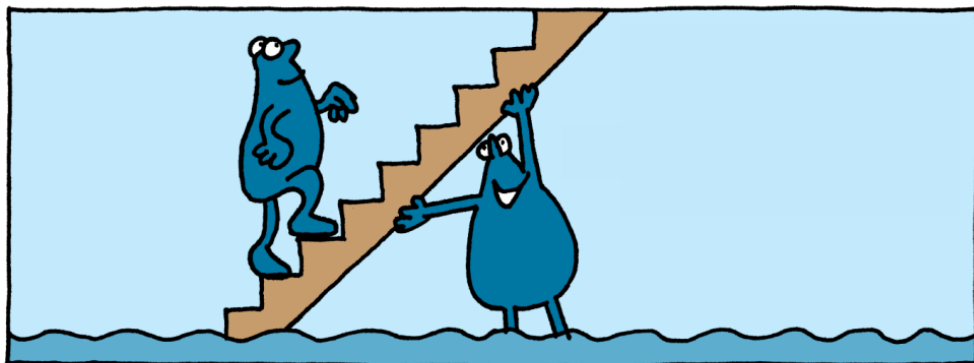
Capacity is also investing in people

If you look back at the problem (Figure 3) and the objectives tree (Figure 4) for Wetland X, you see that change is needed in more than one field or content area:
- Environmental awareness
- Environmental education
- Farming practices
- Environmental monitoring and data management
- Cooperation between stakeholders
- (participatory) wetland management planning processes
- Law enforcement

These content areas are the strategies you need in order to reach or approach your vision for Wetland X. They are your tactics to address each major challenge or issue that you have identified. And now you see that capacity development reappears in all the major topics that we identified in the problem and objectives tree! To be sure, environmental awareness and environmental education are in itself already forms capacity development. However, capacity development is a necessary component of all other content areas as well (e.g., environmental monitoring, data management, participatory wetland management planning).

As such, capacity development forms another pathway leading from the current situation to the vision, but the road of capacity development is a cross-cutting strategy. Often, however, the integration of capacity development strategies into wetland management plans or into broader country development plans has not been carried out adequately. Some lessons have been learned regarding capacity development processes over time:
- Many were not, and did not aim to be, integrated into larger planning cycles
- Very many were 'wish-lists', lacking clear and especially SMART (Specific - Measurable - Achievable (or Acceptable) - Realistic (or Relevant) - Time bound) objectives;
- They often had a very narrow base of participation which did not represent a partnership of key stakeholders;
- They were not supportive to and building on existing processes, strategies, capacities and strengths but attempted to start something new;
- A large number were not region or country-led but were induced and/or imposed by external agencies (especially in developing countries).

Again, it is important to remember, therefore, that the capacity development strategy (and the capacity development process as a whole) is, as explained above, an integral part of your overall wetland management planning process, your river basin management plan or your national wetland (management) strategy!

This third phase follows three steps which are presented and discussed in more detail below.

Phase 3	Steps
Capacity development strategy	7. From vision to objectives 8. From capacity development objectives to proposed activities 9. Setting SMART objectives

Step 7: From vision to objectives

As the vision of your wetland management planning process was translated into an overall goal, so too is your capacity development strategy guided by an overall objective. Your overall capacity development objective is formulated by translating your capacity development vision (Phase 2) using the results of Phase 1.

An example for an overall **capacity development (learning) objective,** for the case of Wetland X, could be:

By the year 2032, relevant stakeholder groups have the necessary knowledge and the essential skills for the wise use of Wetland X and are motivated to act for the wise use of wetlands.

This is an example of an overall objective or a long-term objective; it is more or less the translation of the capacity development vision. This long-term objective needs to be complemented by short-term objectives (sometimes called operational objectives). For the operational objectives, we need to go back to our analysis results of Phase 1. Per stakeholder group or per target group, we need to formulate SMART objectives.
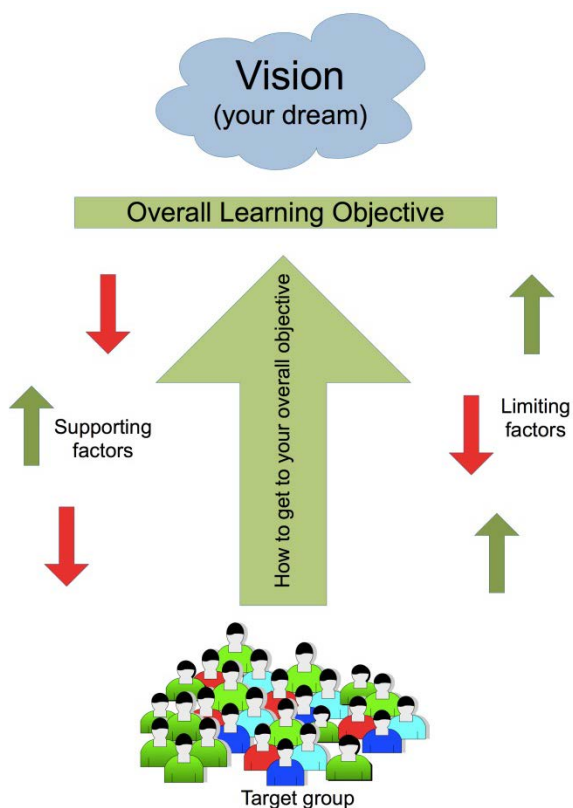
Figure 8 - Towards the overall learning objective of the target group

The matrix that was developed during Phase 1 (Table 3) can be used as a starting point for the formulation of learning objectives (see Table 6). In that case, stakeholder groups became target groups for whom you wish to build capacity. Learning objectives are formulated by looking at their needs. During the identification of supporting and limiting factors, it might become clear that a limiting factor is the lack of capacity of a stakeholder that was not yet included in your analysis. It is important to add this new stakeholder as a target. From our example in Table 6, high-level policy makers became a new target group to make sure they will support their staff in their participatory wetland management planning activities.

Table 6 - Formulating learning objectives per target group					
Target group	**Estimated capacity gaps (needs) - knowledge, skills, attitude**			**Supporting and limiting factors (institutional set-up)**	**Specific learning objectives**
	Knowledge	**Skills**	**Attitude**		
Farmers (of municipality M)	..	..	..	..	..
Staff of local NGOs	..	..	..	..	..
Local government officers (Ministry of Water Resources and Ministry of Agriculture)	Lack of knowledge about the steps involved in wetland management planning	Lack of skills on partici-patory wetland manage ment planning	Lack of trust in the capacity of other stake-holders	Policy and regulations do not support participatory wetland management planning processes	To understand the importance and the steps of participatory wetland management planning To become capable of facilitating participatory wetland management planning processes
Local government officers - technical staff	..	..	..	..	..
High-level policymakers of the Ministry of Environment	..	..	..	..	..

Table 6 - Formulating learning objectives per target group (continued)					
Target group	**Estimated capacity gaps (needs) - knowledge, skills, attitude**			**Supporting and limiting factors (institutional set-up)**	**Specific learning objectives**
	Knowledge	**Skills**	**Attitude**		
High-level policymakers of the Ministry of Agriculture	..	..	..	..	..
High-level policy makers of the Ministry of Water Resources	..	..	..	..	..
..	..	..	..	..	..
..	..	..	..	..	..
..	..	..	..	..	..
(Schoolchildren)	..	..	..	..	..
..	..	..	..	..	..
..	..	..	..	..	..

Step 8: From capacity development objectives to proposed activities

In Table 7 we continue to think about possible **capacity development activities** that will help to achieve specific learning objectives. What can we concretely do to make sure that the specific learning objectives for our target groups are reached? To begin with, try to think without considering limitations such as budget, policy support, level of difficulty of implementation and any other possible hitches or snags you can imagine.

Table 7 - Proposed activities to reach capacity development objectives						
Target group	Specific learning objectives	Proposed activity, methods, tools, media	Expected impact	Cost effec-tive-ness	..	..
Farmers (of municipality M)	..	..	..	..	..	..
Staff of local NGOs and Local govern-ment officers (Ministry of Water Resources and Ministry of Agriculture)	To understand the importance and the steps of participatory wetland manage-ment planning	3 workshops (2 of 3 days and 1 of 2 days); interactive discussions, presentations, lectures, group work, exercises.	High, or ++, or 5 points out of 5)	Good, or +, or 4	..	..
	To become capable of facilitating participatory wetland management planning processes	1 training programme of 10 days; interactive discussions, presentations, lectures, group work, exercises	High (especially for NGO staff as they seem motivated)	Average, or +/-, or 3	..	..
Local govern-ment officers - technical staff	..	..	..	..	..	..
High-level policymakers of the Ministry of Environment	..	..	..	..	..	..
High-level policymakers of the Ministry of Agriculture	..	..	..	..	..	..

Table 7 - Proposed activities to reach capacity development objectives (continued)						
Target group	**Specific learning objectives**	**Proposed activity, methods, tools, media**	**Expected impact**	**Cost effec-tive-ness**	**..**	**. .**
High-level policy makers of the Ministry of Water Resources	..	..	..	..	..	..
..	..	..	..	..	..	..
..	..	..	..	..	..	..
..	..	..	..	..	..	..
(School-children)	..	..	..	..	..	..
..	..	..	..	..	..	..
..	..	..	..	..	..	..

Then include your indicators of 'success', for example expected impact and cost effectiveness and simply add columns to your table to indicate whether your indicator is met to a high level, low level, etc. Think of other indicators that are important in relation to your wetland: overall costs, policy support, short-term benefits, etc. When refining the level of desired future capacities you set in Phase 1 of the capacity development framework, it is important to take into account the time needed to build the capacities of the various target groups. With help of the indicators you can compare the desired future capacity with the existing capacity and then determine the effort that is required to bridge the gap.

Based on your 'indicators of success' you might want or need to prioritise which of the proposed activities you can finally work out in your capacity development action plan.

Some additional remarks

The dots in the tables above (..) simply mean that in a real situation, this table should be filled in completely. In the table you also see schoolchildren as a suggested target group but between brackets. Children are often chosen as a target group in capacity

development programmes. Of course it is nice to develop initiatives for children, as they are a very nice target group to work with! And yes, they are the possible wetland planners of tomorrow, the users of our wetlands and as such an extremely important target group; but in case of our Wetland X (based on the situation explained), they are not a first-priority target group. To address education and enhance nature conservation education is something that needs to be addressed at a national level, which means that you could include as an additional objective to lobby your ministry of education to include environmental issues in the school curricula.

Step 9: Setting SMART objectives

From the learning objectives, SMART objectives need to be developed. SMART stands for Specific - Measurable - Achievable (in some documents referred to as Acceptable) - Realistic (or Relevant) - Time bound. On the basis of these SMART objectives we can move from the current situation towards the vision (e.g., in year 1 of our capacity development initiative activity, A will be implemented, which will form the basis for activity B in year 2).

Remember that your SMART objectives have to be defined in close association with wetland management planning objectives. If your wetland management planning objectives will at this moment in time (for budgetary reasons, policy priority agendas, etc.) only focus on the content areas of data management and on an enhanced environmental monitoring, then check how capacity development can support achieving those objectives set. **Capacity development supports your wetland management planning process** (or your river basin management planning process or your national wetland strategy development process) **and not the other way around**! Make sure that the capacity development process remains an integral part of the wetland management planning process!

If you and your team of stakeholder representatives think that it is of utmost importance to first build capacity in the field of wetland management planning, then include first of all an activity such as the lobbying of your high-level policy makers to raise their awareness on the need for participatory wetland management planning processes. And go back to Phase 1, check your stakeholder analysis results again. It could be that other stakeholder groups should be approached together with high-level policy makers to be more effective. For example, if university staff think that participatory wetland management planning leads to non-scientific results, and are

influencing your high level policy makers, then you need to include the university staff in your capacity building efforts to change their view on the power of participatory planning processes.

Back to setting SMART objectives.

Examples of SMART capacity development objectives:
- By the end of 2015, 75% of the farmers of municipality M will be aware of the negative impact of growing sugar beet on the biodiversity of Wetland X and Basin Y as a whole; we will achieve this by organising field visits to the South East of country C and by organising farmer field schools.
- By July 2014, local staff of the Ministry of Environment and the Ministry of Agriculture in District D and staff of local NGOs in District D, E and F will understand the importance and the steps of participatory wetland management planning, after attending three workshops in the first half of 2014.
- By July 2015, local government staff of District D and staff of local NGOs in District D, E and F will be able to facilitate a participatory wetland management planning process.

Try to also think about specific capacities that might be needed 'on the road' to the vision. Which team of stakeholder representatives will facilitate the capacity development process? Does this team actually have the capacity for facilitation, and for adaptation of planning processes? Do they have supportive communication skills, leaderships skills, etc.? Who will actually train the local NGO staff and the local government officers in wetland management planning? This might lead again to new essential SMART objectives.

Finally, the output

The output of this stage of the framework is a **capacity development strategy** with a clear and attractive overall (long-term) goal and SMART operational (short-term) objectives. The strategy goes beyond the actions needed to solve current problems and issues or achieving short-term objectives. These actions or activities will be defined in Phase 4, the capacity development action plan. Instead it establishes a clear, long-term frame or roadmap of how the capacity development process supports the route to the overall vision for Wetland X.

Keep in mind that goals drive the selection of strategies. Alongside the issues and problems identified in the situation analysis, solutions are suggested. There may be varying degrees of consensus around these proposed solutions but they reflect (and have to reflect) the wishes of the stakeholders consulted. Thus, resolving conflicts, averting potential new ones, facilitating and building capacity for negotiation, bargaining and effective inclusion must be central elements of Phase 3.

3.5   Phase 4. Capacity development action plan

Phase 4 consist of only **Step 10, the formulation of an overall capacity development action plan.** The action plan is developed on the basis of and derived from the outcome of the strategy development phase. There is an inseparable link that refers the plan back to Phase 3, as further assessments and adjustments take place. The capacity development strategy, accompanied by an indicative budget and a detailed timetable, forms your capacity development action plan and includes annual action plans and simple project plans. It provides the basis for the annual programming and budgeting of your capacity building actions and interventions. The capacity development action plan should become part of your wetland management plan and/or strategic development plan.
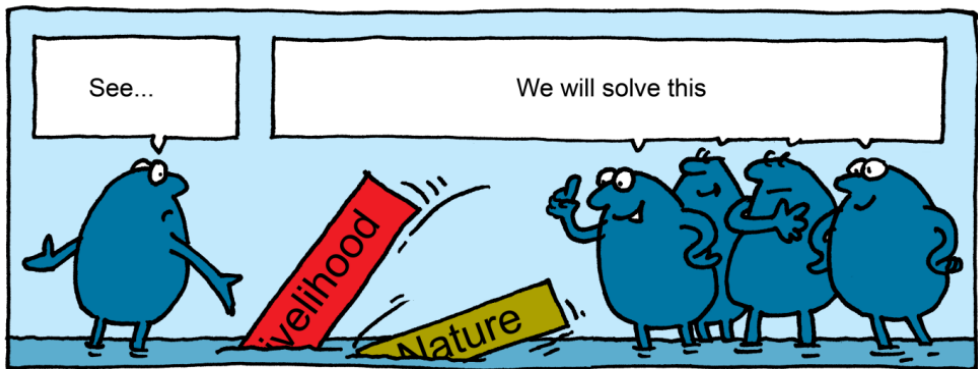
Ensuring stakeholders involvement

The action plan should include several types of activities geared towards the different levels of capacity (Box 12). It could range from individual skill- and competency-training programmes for government officials to new operational and decision-making procedures for national, regional and local government institutions. It can comprise activities to improve communication and coordination between government institutions, as well as streamlining of wetland policies and regulatory frameworks and integration of wetland issues into strategic development objectives. Activities can (of course) also focus on staff or individuals of non-governmental organisations, restaurant owners, local travel agencies, etc. It all depends on the situation in your wetland!

At this stage you also need to start to think about who will be responsible for which part of the plan and who will carry out activities in detail. At the same time, it is necessary that you distinguish between the capacity development activities that need external support and those that can be implemented through existing means. That means that you will need to identify external service providers and assess the nature and quality of their services and products. When searching for services to satisfy capacity development needs, solutions should first of all and as much as possible be sought at local or national level, as this will engage local actors, your stakeholders, and enhance their capacity to innovate and perform. Tendering of capacity building services is another approach you can follow to strengthen competition among service provider organisations from both the public and private sectors, thereby improving the quality of products.

Please check Chapter 4 for suggestions for further reading focussed on how to move from strategy to action!

Box 12 - The action plan will:

- Describe the major capacity development activities
- Formulate learning objectives for the target group per activity
- Identify learning strategies and delivery mechanisms
- Specify the intermediate targets (= milestones) forming the basis for monitoring
- Determine the timing and duration of each activity
- Assign responsibilities for the implementation
- List resources (materials, equipment, etc.) Required;
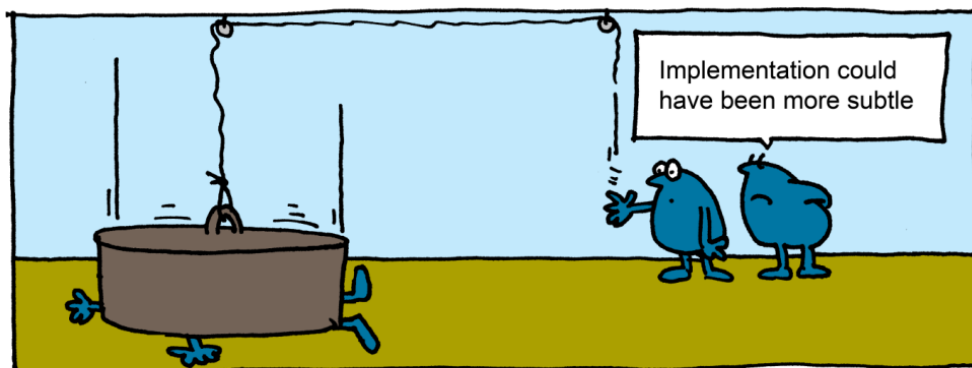- Specify the costs for each activity

3.6   Phase 5. Implementation phase

The implementation phase of the capacity development process comprises a variety of **capacity building interventions (Step 11).** It is important that this phase outlines activities in sufficient detail. As conditions may have changed since the formulation of your strategy and plan, a verification of the strategy and an update of the underlying capacity problems and needs should take place regularly, but especially before the actual implementation of activities; this reviewing and updating process should continue even during the implementation phase itself.

3.7   Phase 6. Evaluation phase

'Evaluation is the occasional assessment of the overall value and progress of a project' (OECD/DAC, 2000).

In what way does the evaluation, in Phase 6 phase differ from monitoring, in Phase 7? Evaluation includes monitoring the achievement of intermediate outcomes, monitoring certain targets or objectives and adapting your actions and practices based on monitoring. The evaluation phase as we outline it here in Phase 6, however, is not focused on evaluating whether we are on track, whether we are making progress, but whether after implementation **'we did things right'**. And perhaps even more important: '**did we do the right things?**'

Implementation and evaluation

That means you should not only check whether you did a good job in relation to the planned activities (were participants of your capacity development initiative happy and satisfied? Did they increase their knowledge?

Could they enhance their skills? Are they motivated to contribute to the wise use of wetlands? This shows whether you did things right. But for the sake of learning at a more conceptual level, together with your stakeholders, it is also important to reflect on whether you actually chose the right activities. Did you focus on the right target groups? Did you make the right assumptions about supporting and limiting factors? Were there other target groups that should have been addressed first to have more and a better impact? Did your wetland management planning process as a whole also focus on the right content areas or strategies to approach your vision?

(Multi-stakeholder) learning about whether you did things right is called single-loop learning. Participatory learning about whether you did 'the right things' is called double-loop learning. You could even go a step further and discuss and have an evaluation with your stakeholder(s): Are we all still on the same track when discussing the wise use of Wetland X; does wise use mean the same thing to all of us; do we need to adapt or change our principles or our assumptions when we talk about the 'wise use of

Wetland X'. Ramsar has well-defined principles for the wise use of wetlands (Please check: the conceptual framework for the wise use of wetlands and the maintenance of their ecological character (2005) explained in Handbook 1 at http://www.ramsar.org/pdf/lib/hbk4-01.pdf) but, what do stakeholders actually have in mind when discussing wise use? Discussing wise use at regular intervals is of utmost importance! This is what we call 'triple loop' learning.

Phase 6 can help you get a better understanding of some conceptual issues, not only for your wetland management planning team, but for all stakeholders involved. Learning is of central importance in Phase 6 and in the cross-cutting Phase 7, and is an important part of any evaluation. Without learning, it would be very difficult for change to take place at any level.

The concrete output of this phase could be: **lessons learned**, but more importantly, the feedback of lessons learned into the new capacity development cycle.

What are the steps of Phase 6?

Phase 6	Steps
Evaluation	12. Identify the level of evaluation
	13. Identify success criteria
	14. Choose methods to evaluate and gather information
	15. Feed lessons learned into new strategies

Step 12: Identify the level of evaluation

Evaluation of activities are set moments in time for critical reflection on the activities as well as the outcome and the impact of these activities. You will have to divide your evaluation into different levels, which are based on the five evaluation criteria adopted by the OECD/DAC (see Box 13):

1. **Evaluation of outputs**: This is the evaluation of the capacity development activities themselves. This evaluation can be done immediately after the activities, or even during the activities as a more formalised way of monitoring (with the difference being that the evaluation is a snapshot, while monitoring is continuous), giving you the possibility to adapt the strategies and management. Important questions you should ask are:

- How do outputs relate to inputs (efficiency)? To what extent do the least costly resources achieve the desired results? This normally requires comparing alternative approaches for achieving the same outputs.
- Were the activities suited to the priorities and policies of the target group, recipient and donor (i.e., what was their relevancy)?

2. **Evaluation of outcomes**: Of course, with capacity development it is of critical importance that your efforts translate into learning as well as individual and organisational change. Getting back to the original capacity assessments and going through the same steps again afterwards **provides** you with insights on how, and even if, the people and organisations have learned throughout the process. "Are capacities improved?" is the main question here.

3. **Evaluation of impact**: The final step in evaluation will be the measurement of the impact of your capacity development. Even if people or organisations have learned and changed, it might well be that **these** changes do not translate into actual practice. You should do this level of evaluation somewhat later, after the activities have ended (can be up to several years), as it may take a while for these changes to occur. This is also the hardest part to evaluate, as it is difficult to distinguish between what your own programme has contributed to changes, and what other factors may have contributed. Key criteria are:
- What impact did the capacity development have on the wise use of wetlands?
- Are these effects sustainable? Do the effects last after the activities have ended?

Step 13: Identify success criteria

The use of indicators will help you to see what has changed, improved or declined during and after the capacity building project. The outcomes of the capacity needs assessment you performed at the beginning of the project are very useful assets to guide the evaluation, and can be used as a baseline. The main question you ask yourself is: Did the capacity development lead to the desired changes in capacity? The indicators you use will have to follow certain principles:
- Be clear about what you want to evaluate and why you want to measure this;
- Select indicators for output, outcome and/or impact;
- Adopt the indicators to the needs and requirements of different stakeholders;
- Use SMART indicators: indicators that are Specific (and even Simple), Measurable, Accessible (for objectives you mostly use Achievable, for indicators it is important that they are Accessible), Relevant and Timely.

Step 14: Choose methods to evaluate and gather information

For all these levels of evaluation, you can use certain methods and tools (see Box 14 and Chapter 4). Most importantly, evaluation should be a collective exercise. Involving the key stakeholders into your evaluation is just as important a feature of capacity development as involving them in the rest of the process. Evaluation itself is also a learning exercise, whereby people learn and possibly change their behaviour because of the change (or absence of change) they see that their activities have brought about. Ideally, you should combine several different methods for the evaluation to ensure reliability and validity of the evaluation data. After having defined your criteria and methods, you can carry out your evaluation with the key stakeholders.

Step 15: Feed lessons learned back into new strategies

Although your evaluation will be partly based on the capacity needs assessment and the expected results, it is important to keep in mind that evaluation is more than just the measuring and reporting of results. Both context and content of your project have

probably changed during the process of capacity development. Therefore, evaluation is also to show how things have changed, and how this has influenced the possible results of the project. As opposed to clinging to pre-determined results, you should evaluate your project on the basis of guidance towards the best achievable results, given possible changing contexts, unexpected events, etc. This will also provide you with insights on how new strategies and activities can be implemented. In other words: make sure to learn from your evaluation. To make sure that lessons learned will not be lost, the reporting and communication of the evaluation must be done in a transparent and accessible way, and future strategies and activities will have to be adopted to the lessons learned.

3.8   Phase 7. Facilitation, reflective monitoring and adaptation

The various phases in capacity development do not necessarily follow a logical order. Phase 7 is a cross-cutting phase and definitely not just the last one. It focuses on the facilitation of your capacity development event, on reflexive monitoring of the planning process (not just the capacity development plan, but the planning process as a whole), on the implementation of the plan and on adaptation where and when needed. Given that effects of your wetland measures are only visible after a longer period of time, monitoring intermediate outcomes of your capacity development interventions, such as attitude, practice and behaviour changes, is critical in assessing the impact of short-term investments of your wetland programmes. Because capacity development activities are key mechanisms through which these intermediate outcomes can be realised, monitoring (and evaluation) of the effectiveness of these activities in bringing about the desired change is an integral component of the development and implementation of your capacity development initiative or plan.

Monitoring is the key mechanism for revising the progress towards your targets. A sound monitoring system enables you to review the level to which your targets are realistic and achievable given the time-frame you are working with. Each phase of the capacity development should be continuously monitored and, if necessary, adapted according to the outcomes of the monitoring. This means that you do not try to reach your original targets despite changing circumstances, but that you aim the capacity development towards the targets as well as possible given the circumstances.

Adapting actions or intervention requires careful facilitation. Facilitation is needed to encourage stakeholders to reflect upon the relationships between the capacity development process and its context, between capacity development initiatives, and between short-term objectives and long-term ambitions.

Facilitation, reflexive monitoring and adaptation are essential for:
- Creating a learning environment that stimulates the engagement of all stakeholders of your wetland management planning process
- Assessing the success of various capacity building initiatives and revising the approach towards capacity development accordingly;
- Reporting activities against expenditure;
- Ensuring progress towards targets reviewing the degree to which targets are (really) realistic and achievable in the given time-frame;

There is much to say about this cross-cutting phase, but please find below the most essential points:

Phase 7	Steps
Facilitation, reflective monitoring and adaptation	16. Create a learning environment 17. Build in moments for monitoring and reflection 18. Define methodologies for data gathering and processing 19. Analyse external and internal factors 20. Communicate findings, learn and adapt

Step 16: Create a learning environment

For a monitoring system to be successful, people and organisations will have to be open to learning, questioning their own assumptions and reflecting on what is happening. People should be encouraged to raise questions and to challenge established thinking. You will need to allow for time and resources for this to happen. Also, building trust between people is of critical importance for them to be open towards each other and to learn from each other!

Step 17: Build in moments for monitoring and reflection

To effectively monitor your project, various systems need to be in place. You will need procedures for monitoring various indicators, ways of storing and analysing this

information and meetings to discuss the implications of the results. In practical terms, monitoring and critical reflection can be seen as an early warning system, enabling the capacity development process to be re-thought and modified. Considering it in these terms helps establish its relevance to what you are working to achieve. Some basics of the mechanisms to be put in place are:

- **Monitor whilst 'doing'** - it works best if it is an integral part of the capacity development initiative or process as a whole;
- Determine and communicate the monitoring responsibilities of individuals, groups and agencies. Regular updates can be useful;
- Provide opportunities for stakeholders to understand what information is being collected, how it is being assessed and how it can guide future action;
- **Allocate time for critical reflection**. Building moments and mechanisms (using various methods and tools) of critical reflection into your capacity development process is essential for an effective process and for learning; strangely enough, this rarely happens!
- Allocate time and resources to do so.

Adapted from: Woodhill, J. 2005. *Facilitating Complex Multi-stakeholder Processes, A Societal Learning Perspective Working Draft*, Wageningen International, Wageningen. http://jimwoodhill.files.wordpress.com/2010/01/msp-document-v3-april-06.pdf

Step 18: Define the methodologies

As is the case with evaluation, you can use different methods for your monitoring. Most importantly, monitoring is a collective, learning exercise, whereby all stakeholders should be involved. You will thus have to choose your methods so that they contribute to the learning process; qualitative methods are most suitable for this. This can involve both individual level methods (such as interviewing) and group exercises (such as participatory workshops).

Step 19: Analyse external and internal factors

Besides the general development and proceedings of the capacity development initiatives, other factors might also influence the capacity development process. Make sure you keep track of any internal and external factors that might affect the capacity development and the wetland management planning process as a whole. Think back to the situation of Wetland X: new organisations might unexpectedly have become more

important in relation to your capacity interventions, new stakeholders may surface during the process and others might become less important, policy developments could positively or negatively affect your interventions. Observe and reflect! Analyse, prioritise, decide and adapt according these factors. Make necessary changes to your planned capacity development interventions. Make use of new institutions and new institutional frameworks!

Step 20: Communicate your findings. learn and adapt

Step 20 focuses on communicating your findings This is not only about reporting, but even more about responding to the lessons learned. Making necessary changes in some or all of the different elements of the capacity development framework and ensuring that the lessons are understood, shared and internalised is of critical importance. If stakeholders do not see or understand why changes are made, they may become disillusioned. Some key elements with regard to communicating findings and facilitating adaptation are:

- Extend the adaption to all parts of your programme if necessary: capacity analysis, vision, strategy, the action planning, implementation, evaluation and also the monitoring itself.
- Tell the story! Share your understanding with stakeholders;
- Feed the lessons learned back into your current and future practices!

Stepwise Approach to Capacity Development for the Wise Use of Wetlands
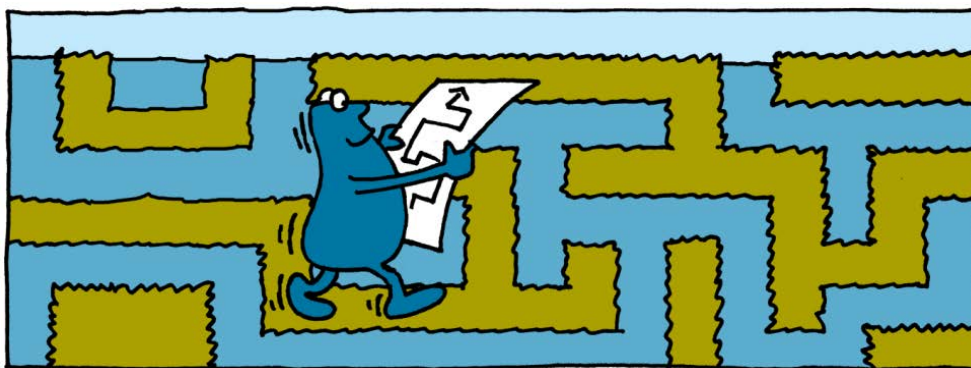
4   References and Resources

References from Chapter 1

About the Wise Use of Wetlands

http://www.ramsar.org/cda/en/ramsar-pubs-handbooks/main/ramsar/1-30-33_4000_0__

International Training of Trainers on Wetland Management, a course focusing on the facilitation of multi-stakeholder processes and curriculum development. Wageningen UR Centre for Development Innovation.
http://www.cdi.wur.nl/UK/newsagenda/agenda/International_training_of_trainers_on_wetland_management.htm

On-line course on Wetland Management. UNSECO-IHE.
http://www.unesco-ihe.org/Education/Short-courses/Online-courses/Wetland-Management

Experience of the WetCap partnership
http://www.wetlands.org/Whatwedo/Projects/WetlandsandPovertyReductionProjectWPRP/tabid/165/Default.aspx

Ramsar Convention - Strategic Plan 2009-2015
http://www.ramsar.org/pdf/key_strat_plan_2009_e.pdf

References from Chapter 2

Definition of 'capacity development' by the UNDP
http://www.beta.undp.org/undp/en/home/ourwork/capacitybuilding/approach.html
PDF document that can be found on internet:
UNDP_Frequently_Asked_Questions_on_Capacity_Development_June_2009_with_book marks

Definition of 'capacity development' by OECD
http://stats.oecd.org/glossary/detail.asp?ID=7230

Capacity development: Accra and beyond. Summary conclusions of the Bonn
workshop, 15-16, May 2005 - DAC 2006.
General background and policies on harmonization and coordination of capacity
development.

About "the formula for change"

http://alumnus.caltech.edu/~rouda/background.html

To provide more insight in the topic

Organization Development: Strategies and Models
Beckhard, R. (1969), Addison-Wesley, Reading, MA, USA.

Changing the way organizations change: A revolution of common sense
Dannemiller, K. D., and Jacobs, R. W. (1992), The Journal Of Applied Behavioral
Science, 28(4), 480-498.

**Real-time strategic change: How to involve an entire organization in fast and
far-reaching change**
Jacobs, R. W. (1994), Berrett-Koehler, San Francisco.

Experiential learning

**Experiential Learning: Experience As the Source of Learning and
Development**
Kolb, D.A. (1984).
This is the classic text on experiential learning. It provides a good theoretical
foundation on how people learn and implications for education and training: important
background for facilitators.
Topic: Learning (organisational, societal)
Also on: http://www.businessballs.com/kolblearningstyles.htm

Co-management experience in the fishery sector

The Fisheries Governance Network
The Fisheries Governance Network website provides a rich source of experience, practice and opinion for those interested in fisheries governance. Contributors include all manner of stakeholders, and the Fisheries Governance Network invites contributions from those wishing to share their views and experiences.
http://www.marecentre.nl/fishgovfood/
Topics: Examples & Case Studies, Facilitation & Leadership Skills, Governance & Democracy

A Manual for the Co-Management of Commercial Fisheries in the Pacific
Watt, P. (2001)
The guidelines and suggestions that are presented in this manual are intended to assist government agencies and fisheries resource user groups to promote and facilitate stakeholder involvement in the development and management of commercial fisheries in the Pacific region.
http://portals.wi.wur.nl/files/docs/msp/manual_comanagement_watt_en.pdf
http://www.spc.int/Coastfish/fishing/Comanagement_E/ComanageE.htm
Topics: Natural Resources Management, Sustainable Development

Co-management experience in the forestry sector

Initiating Coordination Platforms for Forest Management in the Terai
van Schoubroeck, F. & Karna, A.L. (June 2003). Banko Jankari
Over the last two decades, promising models for Terai forest management (parks, community forestry, scientific) have been designed, proposed, and then failed to develop into modalities powerful enough to halt deforestation. Yet, the area is full of opportunities for synergy between ecological, economical and equity agendas. In the present Nepali socio-political reality, one needs the support of essential stakeholders for any management model to become successful. An open and democratic debate for forestry sector planning and credible monitoring are essential to build support and trust needed to start forestry sector development. To this end, the Ministry of Forests and Soil Conservation is piloting so-called District Forestry Coordination Committees through two innovative programmes in 11 Terai districts, under legal provisions in the Local Self-Governance Act.
Topics: Multi-Stakeholder Processes, Natural Resources Management

Forest management learning group. Trainers' manual
Miagostovich M., Braakman L., Edwards K. & Triraganon R. (2002).
Clear manual for facilitation of groups. Maximizing impact, setting the context, concepts and steps, facilitation, methods, reflection, and schedules for training workshops
Topics: Facilitation & Leadership Skills, Participation, Tools & Methods

Social learning in community forests
Wollenberg E., Edmunds D., Buck D., Fox J. & Brodt S. (eds). (2001).
Worldwide experiences, linking observations to concepts of social learning and multi-stakeholder processes in forest management
Topics: Learning (organizational, societal), Multi-Stakeholder Processes, Natural Resources Management, Social Science and Change

Wetland management planning cycle

Managing wetlands: Frameworks for managing Wetlands of International Importance and other wetland sites
Ramsar handbooks for the wise use of wetlands, 4th edition, vol. 18. Ramsar Convention Secretariat, Gland, Switzerland (2010)
http://www.ramsar.org/pdf/lib/hbk4-18.pdf

A Guide for Site Managers (2008)
A co-production of WWF, IUCN, Wetlands International and Ramsar
http://www.unwater.org/downloads/wetlands_management_guide_2008.pdf

International Training of Trainers on Wetland Management, a course focusing on the facilitation of multi-stakeholder processes and curriculum development
Wageningen UR Centre for Development Innovation
http://www.cdi.wur.nl/UK/newsagenda/agenda/International_training_of_
trainers_on_wetland_management.htm

Other references of Chapter 2

Organization development at work: conversations on the values, applications, and future of OD
Wheatley, M. J., Tannebaum, R., Yardley, P. Y., and Quade, K. (2003). San Francisco: John Wiley & Sons.

Capacities for Institutional Innovation: A Complexity Perspective Woodhill, J. (2010, May). IDS Bulletin (3), 47-59.
http://onlinelibrary.wiley.com/doi/10.1111/j.1759-5436.2010.00136.x/abstract

Ramsar Resolution VIII.31
http://www.ramsar.org/cda/en/ramsar-documents-resol-resolution-viii-31-the/main/ramsar/1-31-107^21446_4000_0__

References and suggestions for further reading from Chapter 3

Phase 1 - Step 1

Situational analysis with the problem tree analysis and the objective tree
An introduction to the problem tree by Wageningen UR Centre for Development Innovation:
http://portals.wi.wur.nl/ppme/?page=1136

An introduction to the objective tree by Wageningen UR Centre for Development Innovation:
http://portals.wi.wur.nl/ppme/content.php?ID=353&IDsub=336

The manual/toolkit from ODI (Overseas Development Institute) on Problem Tree Analysis, January 2009
http://www.odi.org.uk/resources/details.asp?id=5258&title=problem-tree-analysis

Tools for Development - a handbook for those engaged in development activity
DFID (UK Aid - Department For International Development). 2002. See Chapter 3
http://portals.wi.wur.nl/files/docs/ppme/toolsfordevelopment1_DFID.pdf

Example of a step approach to problem analysis from CERTI (Linking Complex Emergency response and Transition Initiative) 's Crisis and Transition Tool Kit

Rapid Assessment Procedures (RAP): Addressing the Perceived Needs of Refugees & Internally Displaced Persons through Participatory Learning and Action - *Second Edition.* Weiss W., Bolton P., Shakar A., (2000, September). Johns Hopkins University School of Public Health
http://www.certi.org/publications/Manuals/rap-16-section3.htm

A short description of the steps to be included in a problem analysis provided by FAO as part of their course 'participative project formulation':
http://www.fao.org/Participation/english_web_new/content_en/problem_tree.html

Further reading on stakeholders analysis

An introduction to stakeholder analysis by Wageningen UR Centre for Development Innovation:
http://portals.wi.wur.nl/ppme/content.php?ID=394&IDsub=583

Tools for Development - a handbook for those engaged in development activity. DFID. (2002). See Chapter 2
http://portals.wi.wur.nl/files/docs/ppme/toolsfordevelopment1_DFID.pdf

The manual/toolkit from ODI (Overseas Development Institute) on Stakeholder Analysis, January 2009
http://www.odi.org.uk/resources/details.asp?id=5257&title=stakeholder-analysis

The six-step process of 'Stakeholder Power Analysis' as developed by IIED (International Institute for Environment and Development)

Stakeholder power analysis
Mayers J. (2005). Power tools series. International Institute for Environment and Development, London, UK.
http://www.policy-powertools.org/Tools/Understanding/SPA.html

http://www1.worldbank.org/publicsector/anticorrupt/PoliticalEconomy/PDFVersion.pdf

The 'Stakeholder influence mapping' power tool as developed by IIED (International Institute for Environment and Development)

Stakeholder influence mapping
Mayers J., and Vermeulen S.(2005). Power tools series. International Institute for Environment and Development, London, UK.
http://www.policy-powertools.org/Tools/Understanding/SIM.html

An example of a "stakeholder grid" with prior background on stakeholder analysis:
http://portals.wi.wur.nl/files/docs/ppme/BobCavana.pdf

Phase 1 - Step 2

Guidelines on Capacity Building in the Regions
Module B: Methods and Instruments for the Capacity Building Cycle („Toolkit"). GTZ. (2005).
http://cap-net.org/sites/cap-net.org/files/CB_Guidelines_GTZ_Module_B.pdf

Guideline on Capacity Building in the Regions
Module C: Supplementary Information and References. GTZ. (2005).
http://cap-net.org/sites/cap-net.org/files/CB_Guidelines_GTZ_Module_C.pdf

Capacity Assessment
Practice note. UNDP (2008).
http://www.beta.undp.org/content/dam/aplaws/publication/en/
publications/capacity-development/capacity-assessment-practice-
note/Capacity%20Assessment%20Practice%20Note.pdf

Phase 1 - Step 3

"Good" Governance and Policy Analysis: what of Institutions?
Parto S., (2005).
http://arno.unimaas.nl/show.cgi?fid=999

How institutions evolve. Shaping behaviour
Woodhill J. (2008). The Broker, Issue 10, October 2008.
http://www.thebrokeronline.eu/Articles/Shaping-behaviour

Phase 3

Capacity assessment and development in a systems and strategic management context
United Nations Development Programme (UNDP). Technical Advisory Paper No. 3 Management Development and Governance Division Bureau for Develo= pment Policy. January 1998.
http://www.pogar.org/publications/other/undp/governance/capsystech3-98e.pdf

Phase 6

Evaluating development cooperation, summary of key norms and standards
OECD DAC Network on Development Evaluation. (2000). OECD DAC Paper.

Evaluating development co-operation, summary of key norms and standards
OECD DAC Network on Development Evaluation. (2010). OECD DAC Paper.
http://www.oecd.org/dataoecd/12/56/41612905.pdf

Further reading on capacity development

Interested in the dimension attitude/belief/behaviour?
Check the 'Johari window', the symbol of the 'onion' used in anthropology, Leary's rose, …

Organizational Behavior - an experimental approach
David A. Kolb A.D., Osland J.S., Rubin I.M. (1939). Prentice Hall

Cultures and Organizations - Intercultural Cooperation and its importance for survival; software of the mind
Hofstede, G. (1994). Harper Collins.

A manager's guide to self-development
The learning company - a strategy for sustainable development
Pedler M., Burgoyne J., Boydell T. (1996). The McGraw-Hill Companies

Power, Process and Participation - Tools for Change
Slocum R., Wichhart L., Rocheleau D., Thomas-SlayterB. (1995). Intermediate Technology Publications

Agricultural extension
A.W. van den Ban & H.S. Hawkins *1992*, Longman Scientific & Technical (ed)
For an example of attitude changes, see pages 154-155 and for a definition of attitude see page 308

Leary's rose:
http://www.testjegedrag.nl/tjg/zelftest/engels/index.htm

Capacity Building for Sustainable Development Partnerships; A Template for Stakeholders, Governments, and Agencies Hemmati, Minu & Whitfield R. (2003).
http://portals.wi.wur.nl/files/docs/msp/CB_for%20SDPartnerships_April03.pdf
http://www.minuhemmati.net/...ubli/CB_for%20SDPartnerships_April03.pdf
Topics: Capacity Building, Multi-stakeholder Partnership, Sustainable Development

Organisational Learning in NGOs: Creating the Motive, Means and Opportunity
Britton (2005, March).
This Praxis Paper explores the importance of organisational learning in NGOs, drawing on examples gathered from interviews mainly with Northern NGO staff and from an extensive review of the literature.
http://portals.wi.wur.nl/files/docs/msp/Organizational_learning_in_NGOs.pdf
http://www.intrac.org/pages/PraxisPaper3.html
Topics: Capacity Building, Knowledge Management, Learning (organisational, societal), Managing Change (organisational, societal), Multi-stakeholder Partnership

The Adaptive Learning Web Site: Learning and Fishing
This site is for the promotion of techniques developed under the UK Government's Department for International Development (DFID) Fisheries Management Science Programme (FMSP). This website is an output of the FMSP project R8292 Uptake of Adaptive Learning funded by the UK Department for International Development (DFID) for the benefit of developing countries. The views expressed are not necessarily those of DFID.
http://www.adaptivelearning.info/
Topics: Capacity Building, Learning (organisational, societal), Natural Resources Management

Striking a balance. A guide to enhancing the effectiveness of Non-Governmental Organizations in International Development
Fowler A. (1997).
A book for NGOs on how to achieve effective sustainable people-centered development, what capacities are needed and how they can be assessed and improved.
Topic: Capacity Building

Capacity Development Resource Book
UNDP (1997).
This resources book presents the lessons learned from four decades of technical cooperation and the fundamental changes that UNDP has instituted to capitalize on the potential contributions of capacity development. These processes are designed through facilitative and participatory approaches, and they are responsive and accountable to national priorities and objectives. The aim is to renew the main goals of development co-operation: long-term sustainability and an enabling environment to facilitate human development. This document is available in English, French and Spanish (PDF)
http://mirror.undp.org/magnet/cdrb/
Topics: Capacity Building, Participation

A Results-oriented approach to capacity change
Boesen, N. (2005). Danida.
http://www.nilsboesen.dk/uploads/docs/A%20Results-Oriented%20Approach%20to%20Capacity%20Change.pdf

ECDPM - a gateway on capacity development
Site on capacity development. Issues of a newsletter, selected bibliography, news & events, views, theme areas
http://www.capacity.org
Topic: Capacity Building

Capacity development in fragile states
Brinckerhoff, D.W. (2007). ECDPM, Maastricht.
Useful for complex countries/situations

Capacity, change and performance - recent comprehensive studies:
Baser, H., Morgan, P. (2008). ECDPM, Asian Development Bank. 2008. Capacity assessment and capacity development in a sector context.
http://siteresources.worldbank.org/INTCDRC/Resources/CapacityChangePerformance Report.pdf

Capacity assessment and capacity development in a sector context
Toolkit (draft). Asian Development Bank. 2008.ADB.
http://www.adb.org/Documents/Books/Capacity-Development-Practical-Guide/CD-Practical-Guide.pdf

ADB Resource center on capacity development
http://www.adb.org/Capacity-Development/resource.asp

Checklist for Capacity Development Support
European Commission - EuropeAid Cooperation Office. (2006).
http://ec.europa.eu/europeaid/multimedia/publications/documents/tools/europeaid_adm_concept_paper_en.pdf
This checklist is intended for national authorities, development partners and consultants involved in assessing institutional capacity and designing of support to capacity development.

General background and policies on harmonisation and coordination of Capacity Development:

The Challenge of Capacity Development: Working Towards Good Practice
Organisation for Economic Co-operation and Development (OECD). (2006). Paris, France.

Worldbank perspectives on Capacity Development in Development Outreach (2005)
http://www1.worldbank.org/devoutreach/september05/

Donor harmonisation and Capacity Development:

Harmonising donor practices for effective aid delivery. Vol 2: Budget support, sector wide approaches and capacity development in public financial management
OECD. (2004). A DAC reference document
http://www.oecd.org/dataoecd/53/7/34583142.pdf

A new paradigm for capacity development in Africa
Worldbank (2005). Building effective states, forging engaged societies. Report of the World Bank Task Force on Capacity Development in Africa.
http://siteresources.worldbank.org/EXTAFRDEVOPRTSK/Resources/acdtf_report.pdf

Capacity building in Africa
An OED evaluation of Worldbank support: http://lnweb18.worldbank.org/oed/oeddoclib.nsf/24cc3bb1f94ae11c85256808006a0046/5676a297fe57caf685256fdd00692e32/$FILE/africa_capacity_building.pdf

State building as the core of capacity development, a DfID and World Bank perspective
Capacity development and state building. Issues, evidence and implications for DFID. (2005). http://www1.worldbank.org/devoutreach/september05/

Conceptual framework on Capacity Development from EU perspective
EU (2005). Institutional Assessment and Capacity Development, Why, What and How.
http://ec.europa.eu/europeaid/multimedia/publications/documents/tools/
europeaid_institutional_assessment_capacity_devlpmt_2006_en.pdf

Further reading on facilitation and multi-stakeholders processes

Manual for community-based planning, draft 1
Khanya
Manual written after action-research on community-based planning in Africa. Explains
general facilitation issues, planning cycle and tools.
khanya_manual_community_based_planning.doc (362kB)
Topics: Facilitation & Leadership Skills, Participation, Planning, Tools & Methods

Facilitator's guide to participatory decision-making
Kaner S., Lind L., Toldi C., S. Fisk. & Berger, D. (1998).
Clear principles and outlines on facilitating skills for building sustainable agreements
through e.g., open discussion, chart writing techniques, brainstorming, listening.
Topics: Facilitation & Leadership Skills, Participation, Tools & Methods

Participatory methods in community-based coastal resource management
IIRR (1998).
Introductory papers and practical participatory tools and methods for facilitating
community-based planning, analysis, monitoring and evaluation.
http://www.iapad.org/cbcrm.htm
Topics: Facilitation & Leadership Skills, Participation, Tools & Methods

The Essence of Facilitation
Hunter D., Bailey A., and Taylor B. (1999).
This book presents a fresh approach to facilitation. Its purpose is to introduce the user
to a way of assessing the essence of facilitation. It deals with: purpose and culture;
safety and trust; powerful listening and speaking; intentionality; power; fearlessness
and ruthless compassion; emotional competence; intuition; affirmation and celebration;
authentic community; ethics; transformation; and group learning.
Topics: Facilitation & Leadership Skills, Learning (organisational, societal)

Bridges Not Walls. A book about interpersonal communication
Steward J. (ed). (1973).
Book about verbal and non-verbal codes, self-disclosure, empathic listening, conflict and different approaches.
Topic: Facilitation & Leadership Skills

Participatory Learning and Action. A trainer's guide
Pretty J.N., Guijt I., Thompson J. & Scoones I. (1995).
A classic and must-have for facilitators. Clear guide (nicely illustrated) with backgrounds on adult learning, training methods and many tools and exercises for energizing, group dynamics, listening, analysis and evaluation.
Topics: Facilitation & Leadership Skills, Learning (organisational, societal), Methodologies, Participation, Tools & Methods

Helping groups to be effective. Skills, processes and concepts for group facilitation
Dick B. (1984).
Planning, problem-solving and decision-making in small group settings. Principles, skills and techniques of facilitation.
Topics: Facilitation & Leadership Skills, Participation, Planning, Tools & Methods

Participatory workshops. A sourcebook of 21 sets of ideas & activities
Chambers R. (2002).
Workbook with many participatory tools: energizers, evaluation, mistakes, groups, PRA mini process, self-organising systems, processes, feedback, facilitating skills, tips and sources
Topics: Facilitation & Leadership Skills, Participation

The art of building facilitation capacities
Braakman L. & Edwards K. (2002).
Training manual, training video and self-learning CD-ROM for developing facilitation skills. Focused on the facilitation of groups and group processes in meetings in the context of community forestry development, but also meant for other development sectors.
0115_Facilitation.pdf (743kB)
Topics: Facilitation & Leadership Skills, Participation

Training Modules for Community Empowerment
Training modules and workshop ideas for trainers
http://cec.vcn.bc.ca/cmp/modules/a-mod.htm
Topics: Facilitation & Leadership Skills, Learning (organisational, societal),
Participation, Tools & Methods

Participatory evaluation for land care and catchment groups. A guide for facilitators
Woodhill J. & Robbins L. (1998)
Clear and easy-to-use guide on project monitoring and evaluation, the learning cycle,
facilitation tips, participatory techniques.
Topics: Facilitation & Leadership Skills, Learning (organisational, societal),
Participation, Tools & Methods

Facilitation resources
Facilitation Resources, available as a set of eight volumes, is an effort to enhance
volunteers' group facilitation techniques. The participants will be able to use the skills
in facilitating non-profit groups and organisations through important discussions vital to
the organisation and to the community.
http://www.extension.umn.edu/distribution/citizenship/DH7429.html
Topics: Facilitation & Leadership Skills, Tools & Methods

Mapping Dialogue. A research project profiling dialogue tools and processes for social change
Pioneers of Change Associates (2006).
This report, or toolkit, is divided into three parts. Part I is called 'Foundations'. It offers
a brief "Dialogue Dictionary" to help distinguish the term dialogue from other concepts
such as discussion, debate, and negotiation. Part II is the actual tool kit. This is where
you will find the in-depth explanation of 10 methods as well as shorter descriptions of
an additional 14. Part III offers initial guidelines on how to assess which method to use
in a given situation. There is an outline of a series of different purposes a dialogue may
have as well as a series of contextual factors, and some pointers are given on which
tools are most suited to different aims and situations. Moreover, different types of
facilitation are described, offering points to consider in choosing a facilitator for a
dialogue. As you read, you may want to flip back and forth between sections II and III.
http://portals.wi.wur.nl/files/docs/msp/Mapping%20Dialogue.pdfTopics: Examples &
Case Studies, Facilitation & Leadership Skills, Multi-Stakeholder Processes

Facilitation Points, The 5 Principles of facilitation
Bressen, T.
The five points are: 1. You are the servant of the group, the steward of the process;
2. Plan ahead and work outside the meeting; 3. Help each person to feel
heard;4. Work with all of what's in the room; 5. Listen for common ground and reflect
it back to the group, as often as necessary.
http://portals.wi.wur.nl/files/docs/msp/Tree%20Bressen%20-%20Toolbox%20-
%20Facilitation%20Points.htm
Topics: Facilitation & Leadership Skills, Multi-Stakeholder Processes

The Art of Facilitation
Facilitation is truly an art. It forces those involved in the process to become experts
while the lead facilitator guides the discussion. The following information is provided
from Like Minded People, a corporate training form based in Indianapolis.
http://portals.wi.wur.nl/files/docs/msp/Facilitation.pdf
Topic: Facilitation & Leadership Skills

**Seminar Power & Partnership: Dealing with Power, Conflict and Learning in
the Facilitation of Multi-Stakeholder Processes**
Woodhill J. (2004)
Introductory powerpoint presentation by Jim Woodhill
http://portals.wi.wur.nl/files/docs/msp/Woodhill_Intro_Partnerships.ppt
Topics: Facilitation & Leadership Skills, Governance & Democracy, Multi-Stakeholder
Processes

Consensus Building
Consensus building (also called collaborative problem solving or collaboration) is
essentially mediation of a conflict which involves many parties. Usually, the conflict also
involves multiple, complex issues. Examples of consensus building efforts include the
international negotiations over limiting chlorofluorocarbons (CFCs) to protect the ozone
layer, or negotiations about limiting the emission of greenhouse gases. While consensus
building is probably most often used in environmental disputes, it is applicable to many
other kinds of public policy disputes as well, at the community, state, and international
levels.
http://www.colorado.edu/conflict/peace/treatment/consens.htm
Topics: Examples & Case Studies, Facilitation & Leadership Skills, Governance &
Democracy, Learning (organisational, societal), Multi-Stakeholder Processes, Participation

Learning and teaching participation. PLA notes no. 48
IIED, various authors. (2003).
Participatory Learning and Action (PLA)notes are published three times a year. PLA notes enable practitioners of participatory methodologies from around the world to share their field experiences, conceptual reflections, and methodological innovations. This issue addresses 'participatory modes and programmes of teaching and learning', 'university-community partnerships' and 'learning networks and methods for institutionalizing and mainstreaming learning and teaching participation'.
http://www.planotes.org/pla_backissues/48.html
Topics: Facilitation & Leadership Skills, Learning (organisational, societal), Participation

100 Ways to energise groups: Games to use in workshops, meetings and the community
The International HIV/AIDS Alliance. (2002).
Short description of 100 energizers for workshops and trainings.
http://portals.wi.wur.nl/files/docs/msp/100energizers.pdf
Topic: Facilitation & Leadership Skills

The human rights education handbook, Part II: The Art of Facilitation
Part II, 'The Art of Facilitation' describes personal challenges facing the human rights educator and discusses the theory and practice of facilitating learning, especially as it applies to human rights.
http://www1.umn.edu/humanrt...reduseries/hrhandbook/part2contents.html
Topics: Facilitation & Leadership Skills, Learning (organisational, societal)

Multi stakeholder processes for governance and sustainability. Beyond deadlock and conflict
Hemmati M. (2002).
Concepts, research and many practical examples of multi-stakeholder processes for sustainable development; a guide and checklist on how to design MSPs.
Topics: Governance & Democracy, Multi-Stakeholder Processes

The Winning Trainer: Winning Ways to Involve People in Learning
Eitington, J. (1996).
A real encyclopedia for any facilitator, full of tools and techniques to aid learning and planning in many different contexts.
Topics: Learning (organisational, societal), Planning, Tools & Methods

Facilitating Complex Multi-stakeholder Processes, A Societal Learning Perspective - Working Draft

Woodhill, J. (2005). Wageningen International, Wageningen.

http://jimwoodhill.files.wordpress.com/2010/01/msp-document-v3-april-06.pdf

Further reading on learning

Double Loop Learning

Argylis C. (1976).

Argyris (1976) proposes the double loop learning theory which pertains to learning to change underlying values and assumptions. The focus of the theory is on solving problems that are complex and ill-structured and which change as problem-solving advances.

http://portals.wi.wur.nl/files/docs/msp/DoubleLoopLearning.doc

Topics: Learning (organisational, societal), Methodologies

Collective learning: a system framework and some evidence from two local systems

Gambarotto, Rangone, Solari. (2001).

The present paper proposes a study on collective learning (CL), a concept which, despite its acquired popularity, remains theoretically rather unspecific.

http://portals.wi.wur.nl/files/docs/msp/Collective_learning.pdf

http://www.decon.unipd.it/assets/pdf/dp/0027.pdf

Topic: Learning (organisational, societal)

Social learning towards a sustainable world

Wals A.E,J, (editor). (2007).

This comprehensive volume - containing 27 chapters and contributions from six continents - presents and discusses key principles, perspectives, and practices of social learning in the context of sustainability. Social learning is explored from a range of fields challenged by sustainability including: organisational learning, environmental management and corporate social responsibility; multi-stakeholder governance; education, learning and educational psychology; multiple land-use and integrated rural development; and consumerism and critical consumer education. An entire section of the book is devoted to a number of reflective case studies of people, organisations and communities using forms of social learning in moving towards sustainability. "This

book brings together a range of ideas, stories, and discussions about purposeful learning in communities aimed at creating a world that is more sustainable than the one currently in prospect. ...The book is designed to expand the network of conversations through which our society can confront various perspectives, discover emerging patterns, and apply learning to a variety of emotional and social contexts." From the Foreword by Fritjof Capra, co-founder of the Center of Ecoliteracy. http://www.wageningenacademic.com/sociallearning
Topics: Learning & Cognition (theory), Learning (organisational, societal), Sustainable Development

The Fifth Discipline. The art and practice of the learning organization
Senge P. M. (1990).
Very readable book in which Senge sets out the five 'competent technologies' to build and sustain learning organisations. Some interesting details at http://www.infed.org/thinkers/senge.htm
Topics: Learning (organisational, societal), Managing Change (organisational, societal)

Wheelbarrows full of frogs, social learning in rural resource management
Leeuwis C. & Pyburn R. (eds). (2002).
Scientific contributions and world-wide practices on shared learning of interdependent stakeholders in complex problems in rural environments.
Topics: Learning (organisational, societal), Multi-Stakeholder Processes, Social Science and Change

Developing Critical Thinkers - Challenging Adults to Explore Alternative Ways of Thinking and Acting
Brookfield S.D. (1987).
A classic on adult learning and how to facilitate critical thinking. Practical and easy to read.
Topic: Learning (organisational, societal)

Further reading on water management

From paradigms to practice: foundations, principles and elements for dialogue on water, food and environment
Roling N. & Woodhill J. (2001, December). Background document for National and Basin Dialogue Design Workshop in Bonn. Extensive paper on social learning and dialogue between multiple stakeholders in the context of integrated water resources management
http://portals.wi.wur.nl/files/docs/msp/rolingwoodhill_dialogueWFE.pdf
Topics: Learning (organisational, societal), Multi-Stakeholder Processes, Natural Resources Management, Social Science and Change

Further reading on institutional development

Institutional Development: Learning by Doing and Sharing. Approaches and tools for supporting institutional development
ECDPM. (2003).
Booklet with tools and methods for organisational, institutional and stakeholder analysis.
http://portals.wi.wur.nl/files/docs/msp/Institutional_dev_tools_ECDPM.pdf
Topics: Learning (organisational, societal), Managing Change (organisational, societal), Tools & Methods

To be effective in implementing the Ramsar Convention on Wetlands, you need to have a good balance between theoretical background and the available methods for capacity development interventions on the one hand and personal facilitation, leadership and communication skills on the other. This guide provides a stepwise approach for developing and implementing capacity development initiatives to achieve the wise use of wetlands.

The guide will help you to identify the existing capacities of stakeholders so that you can further strengthen them. It can offer you guidance in identifying capacity gaps and developing effective and relevant capacity development and training activities to fill these gaps. Furthermore, the framework can help you decide which format to use for the capacity development of your target group, for example a week's training, a lobby event or a field visit.

The guide has been developed in the first place for you, Ramsar Administrative Authorities, and for all stakeholders wanting to build capacity to enhance the wise use of wetlands, such as civil servants, training institutes, resource users, NGOs, or facilitators of wetland management planning processes.

More information: www.cdi.wur.nl and www.ramsar.org