

TRAINING

FOR BETTER CITIES

UNHABITAT
FOR A BETTER URBAN FUTURE



TRAINING

FOR BETTER CITIES

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UN  HABITAT

Training for Better Cities

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Contents

	List of Acronyms	4
	List of Figures	4
	List of Tables	4
	List of Appendices	4
	Foreword	5
	Introducing More Effective Training Practices	6
	Conceptualizing Capacity for Training	8
	Training in the UN-Habitat Context	10
	Partnerships for Urban Capacity Development	13
	Training Cycle and Transfer of Learning	15
	Assessment	18
	Design	20
	Delivery	27
	A. Training Events	27
	B. Follow-Up Activities	28
	Monitoring and Evaluation	30
	Learning for improved organizational performance	33
	The Action Learning Cycle	34
	Checklist for Training Project Design	35

List of Acronyms

GLTN	Global Land Tool Network
WAC	Water for African Cities

List of Figures

FIGURE 1: Poor assessments and lack of follow-up lead to poor training results	7
FIGURE 2: Situating training in the capacity development context	11
FIGURE 3: The traditional training cycle	15
FIGURE 4: The training cycle, incorporating elements for effective training and transfer of learning	16
FIGURE 5: Best practice training cycle	17
FIGURE 6: The action learning cycle	34

List of Tables

TABLE 1: Application levels for frameworks	12
TABLE 2A: Approaches and tools for technical knowledge and skills	22
TABLE 2B: Approaches and tools for needs beyond technical knowledge and skills	24
TABLE 2C: Approaches and tools for organization and system level needs	25

List of Appendices

APPENDIX 1: Assessment Tools & Resources	37
APPENDIX 2: Design Tools & Resources	41
APPENDIX 3: Delivery Tools & Resources	45
APPENDIX 4: Follow-Up Tools & Resources	50
APPENDIX 5: Evaluation Tools & Resources	55

Foreword

With the world's population having just reached seven billion and an expected population of six billion to be living in cities by 2050, cities are becoming arguably the most complex and important development context.

Cities are already home to half of humankind, with urbanization occurring in both the developed and developing world. More than 50 per cent of the population in many of the developing country cities are slum dwellers, who have little or no access to shelter, water, and sanitation, education or health services. Couple this with the constantly growing and changing nature of cities as a whole, makes it imperative for UN-Habitat to have a holistic understanding of their operating context. This is especially important when engaged in training for capacity development, an expenditure which is modestly estimated between 15-20 per cent of all UN-Habitat activities.

While training has the potential to develop the capacity of individuals, organizations, networks, and institutions, the most recent theories and studies by the *Organisation for Economic Co-operation and Development/Development Assistance Committee, Learning Network on Capacity Development, World Bank Institute* and other prominent institutions have revealed that the contrary is increasingly common. This Practice Note, explores the reasons why this trend is emerging and will guide UN-Habitat and other agencies that engage in training with local, national, and regional training organizations to better, more effective training practices.

Developing an individual's capacity is not a result of the acquisition of new knowledge alone. What results in increased capacity is the ability to apply that knowledge. To train means that there must be something learned; that there must be something changed in the trainees' understanding, application and behaviour; that there must be space within their organization for them to freely apply their new knowledge. Effective training looks not only at the individual, but at their organization and even institutional policies within which they operate under and abide by.

This Practice Note encourages UN-Habitat to look at when, why and how training is conducted. It indulges to know if training is the best solution change and not a habitual process. If training is the best option, it becomes important to determine how that training should be conducted to ensure effective application of the trainees' new capacities once they return to their place within the greater city as a whole. It is imperative to look not only at the individual level, but the entire environment, stakeholders and linkages, of which the trainees are surrounded.

Understanding the greater context will confirm if training is the most appropriate response and assist in answering key questions, such as determining who should be involved as trainees. Knowing these will enable the training to be designed in the most effective way, ensuring that training entry points and delivery will have an optimal effect in transferring learning to trainees' as individuals and members of their organizations. Furthermore, by adapting these cutting edge theories into training, UN-Habitat's contribution of resources, such as finances and staff time, will be maximized, earning it the reputation of a leader in effective and efficient training.

Taking cutting edge theory in training for capacity development and making it practical, this Practice Note highlights the best practices within all aspects of effective training: assessing, designing, following up, monitoring and evaluating. Specifically engaged in the debate of training effectiveness, this Practice Note has been written clearly with plenty of practical, successful and challenging examples, lessons learned, expert opinions and advice from professionals in the field. For a list of practical questions that help guide through the training process, please see page 35-36. This is followed by appendices of suggested resources and specific tools for each stage of the training process. Each tool has practical steps outlining how to use it; however, like any tool the templates will need to be slightly modified to the specific context for valuable results.

Engage with us in the capacity development training debate and make training for our cities more effective.



Introducing More Effective Training Practices

The 21st century is seeing a rapid increase in urbanization worldwide, illustrated by the fact that in 2008, for the first time in history, more than half the world's population was living in urban areas. Trends such as 90 per cent of new urban development in Africa taking the form of slums are of particular concern among the current escalation of major issues, including the threats of climate change, that need to be taken into account by all concerned with urban environments and how they function. UN-Habitat's pro-poor work in urban systems is frequently in post-disaster and post-conflict situations, which massively complicates already complex issues. The agency's multi-dimensional programmes are striving to respond to the constantly changing complexity of multi-level and multi-sectoral challenges against the trend of limited, and in some cases shrinking, resources. In order to fulfil its mandate as a change agent within this demanding environment UN-Habitat needs to be able to do more with less and must, therefore, constantly review and adapt its practices so that it not only keeps pace with change but also achieves maximum impact through effective and efficient use of all resources. Training is one of the core institutional practices that must be kept under constant review for optimum effectiveness.

Training is the subject of much discussion within the broader capacity development for aid effectiveness discourse prompted by the Paris Declaration and Accra Agenda for Action. As noted in the OECD working paper "*Training and Beyond: Seeking better practices for capacity development*"¹ despite what is known about the limitations of training as an approach to developing sustainable capacity, many agencies have yet to change their way of doing things.

Important documents like the "*Berlin Statement on International Training Development*"² have noted that all relevant institutions need to make the shift from seeing themselves as expert providers of learning for others, to seeing themselves and their partners travelling together on a shared learning journey. Their role should increasingly become that of facilitator, supporting Southern providers as they provide support to others. Donors and development training institutes are increasingly acknowledging that technical skills alone are insufficient to address organizational and institutional constraints to sustainable capacity development. Their staff now need the skills to work with a broad range of approaches to support the development of sustainable learning, capacity and change.

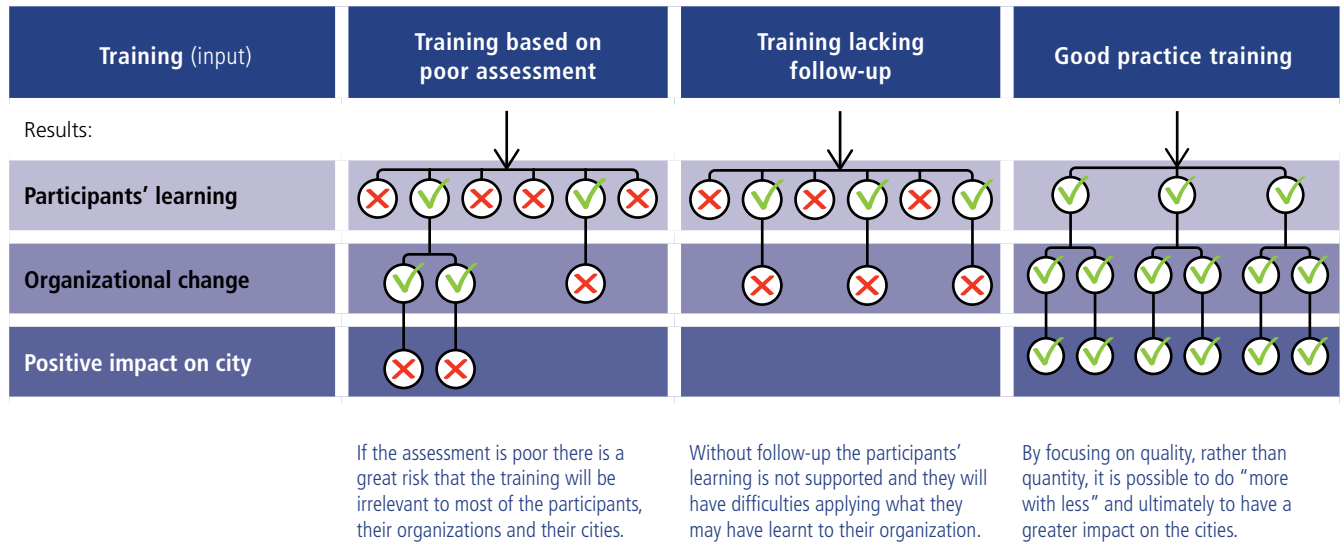
UN-Habitat is currently searching for 'smarter' ways of working and this involves looking at all aspects of its functioning, including achieving an increased and improved rate of return on the substantive investment in training: this is not sector specific - it applies to all areas of operational activity. Training has been one of the core approaches to the agency's work, accounting for at least 15 per cent of annual project budget expenditure.³ The agency opened discussions on its training and capacity building practices as far back as 1996 at the Istanbul Conference, and revisited the issues during a learning event at the 2006 World Urban Forum entitled "*Building Capacity for Better Cities: What have we learned?*"

¹ Pearson, Jenny (2011) *Training and Beyond: Seeking Better Practices for Capacity Development*, of OECD/DAC and LenCD. Accessed from OECD iLibrary www.oecd-ilibrary.org/content/workingpaper/5kgf1nsnj8tf-en on 27 January 2012.

² Berlin Statement (2008), *Berlin Statement on International Development Training: Final Declaration of the High Level Retreat on the Effectiveness of International Development Training*, Berlin, 4-5 June 2008, World Bank. Accessed from <http://siteresources.worldbank.org/WBI/Resources/BerlinStatementonInternationalDevelopmentTraining.pdf> on 27 January 2012.

³ This is a conservative estimate based on analysis of the budgets of 11 projects approved in 2010, all of which had a training budget, many of which were higher than 15 per cent. This figure does not include any costs such as fees for consultants hired to support delivery; however the true cost was higher.

FIGURE 1: Poor assessments and lack of follow-up lead to poor training results



The conclusion in 2006 was that the majority of the recommendations from Istanbul were still relevant. In 2011, a further five years on, because long-established training practices remain unchanged, with few attempts to work differently, the same challenges still exist in that training does not often lead to sustainable capacity. Part of the challenge is to be able to judge when training is **not** the right approach because others would be more effective. If training is the right approach then the next challenge is to find the right entry points, and potential change agents, and through them introduce ways of making some very sophisticated concepts practical and applicable for multiple needs and circumstances. In line with the changes identified as necessary within the development sector generally UN-Habitat's training performance must also become more effective through improved quality and relevance. This requires a concerted effort to learn from past experiences within UN-Habitat and Habitat Agenda Partners about which practices are effective, and then move beyond those that do not achieve their goals to develop new ones that do.

Despite the success of some training activities, within UN-Habitat there are no formalized approaches that can guarantee consistent positive impact at the level of whole city systems or the institutional environment (i.e. enabling policy and legislation). Figure 1 illustrates that fewer inputs, if effectively targeted at appropriate entry points and following good practice principles – particularly in terms of follow-up to all training activities, could result in much more impact. Such changes would serve to improve effectiveness in all the substantive focus areas of UN-Habitat's Medium-Term Strategic and Institutional Plan.

This paper has been produced to assist UN-Habitat in the process of moving its training to the cutting edge of good practice. It is written primarily for UN-Habitat staff and their partners who are using training as a component of project and programme implementation. It is also likely to be helpful for anyone in the group of Habitat Agenda Partners, and in national and local governments, who are working with urban issues and interested in improving their own practices.



Conceptualizing Capacity for Training

Capacity

Traditionally UN-Habitat has followed a general trend in training, in that it has focused on developing the knowledge, skills and attitudes of individuals. The assumption that usually underpins this focus is that improved individual capacity will generally lead to enhanced capacity at organizational and sector levels. It is now known that this assumption is flawed. Current understanding is that capacity development is a much more complex issue that requires activities not only focused on individuals, but also on organizations and their institutional environment and, very importantly, the linkages between the different levels. The Water for African Cities (WAC) programme recognised the importance of these linkages and developed a 'cascade' approach to training, which involved different training content and activities for different levels of managers and policy makers in water utilities and regulatory bodies.

Capacity Building vs. Capacity Development

There are many different theories about capacity and its growth in use by different disciplines and agencies relevant to their particular context. Some conceptions of capacity, such as those in adult education pedagogy, are organic, with a focus on learning. Others, such as those originating in the large aid institutions, are highly structured around pre-defined frameworks of institutional functioning. In addition, capacity is often referred to as being built or developed. While these terms are often used interchangeably, there is a distinct difference that must be understood. *Capacity building* implies creating something from where there was nothing; acknowledging no pre-existing capacity. *Capacity development* implies identifying existing capacities and putting forth efforts to further establish and grow those which already exist. These terms are not just a debate about discourse. They are concepts which can greatly affect the way individuals and teams think about the

beneficiaries they are engaged with, and how they do their work. In the midst of these definitions of capacity and capacity growth, there are no current no definitions of capacity specific to the urban context that can give a guiding framework for UN-Habitat's work.

Complexity

UN-Habitat's work is complex as are cities not only growing at a very fast rate, but they require working in coordination across many sectors. Due to this, it is important to keep in consideration a holistic perspective; the city as a whole. Working in these contexts it is important to have a solid comprehension of Complexity Theory. Complexity Theory stresses the importance of understanding how systems function as a series of interrelationships and patterns between people, groups, structures and ideas. It is the interrelationships and patterns that drive behaviours and events.

For example, a city is struggling with a high rate of unemployment. If a new manufacturing business opens up and employs a large number of the population, there will be a ripple effect across the city. Some of these effects will take place immediately, such as the changes noticed in transportation. More people with work mean more people going to and from work. This mobility creates new patterns within the city and provides additional revenue for those in the transportation sector. Other effects will take a longer time to be noticed, such as employees having an increase in spending or saving habits. This may result in more children attending schools and increased investment into businesses. Each of these, in turn, has another effect. Increased education often leads to a skilled and innovative population, while increased investment into business often leads to economic growth. Once each effect manifests, there are additional effects created. It is clear that a single change has an effect along each of the interrelationships and patterns

that already exist within the city. A single change can disrupt the patterns, affecting them either positively or negatively. Due to the fast rate at which cities are growing, it is clear that they are constantly changing. Complex systems are difficult to work in because the constant changes rippling along the existing patterns and interrelationships are continuous.

In such complex situations, it is difficult to affect change and develop capacity when only focused on one actor or linkage. This is because capacity is not only inherent in each individual or group, but it is also embedded within the interrelationships and linkages between how these relate to each other. From these interrelationships patterns are derived, and from these, various behaviours are caused. Urban systems will be best developed when each stakeholder, process and pattern is recognized as having a different but equally important role in the function of the interrelationships; which are the foundation of whole urban system.

Training for complex situations must be carefully planned so that it can be adapted to and flourish amongst the continuous exchange and new patterns developing within the specific context. Asking how this knowledge can be included in the design of training for all projects and programmes is key. This is important because it ensures that the training will be established on a foundation which understands the whole complex system. This will not only avoid the unintentional undermining of other stakeholders, processes, patterns or sectors in the long-term when trainees apply what they have learned, but it will also work to ensure relevancy of training.

A UN-Habitat project which has been successfully designed, by taking into consideration the complexities found within a city, is the *Strategic Urban Planning for Small Cities Project in Egypt*. Commencing in 2007, this UN-Habitat project, in collaboration with Egypt's General Office for Physical Planning, began assisting 50 small cities in developing a new strategic plan for their futures. Understanding that each plan would need to reflect the whole city and the interrelations within to be effective in the long-term, professionals with differing relevant experiences were specifically trained to develop the strategic urban plans. In small groups these professionals bring their different perspectives and expertise together, contributing to the design of each city's specific strategic plan in a holistic way. Professionals represent the shelter, local economic development, basic urban services, social services, population, urban planning, governance, environment, and vulnerability sectors. Continued monitoring and follow-up of this project has already resulted in some lessons learned. These lessons have led to re-assessments and design reformation along the way. As in this project, those operating in complex situations require additional follow-up and monitoring in order to maintain relevancy and a holistic perspective to the continuously changing environment within which the project operates. Due to this, projects in complex systems provide some of the best examples in understanding that development is not a linear process that can be replicated in other contexts. Taking the time specifically to assess and re-assess will improve the project's effectiveness, success, and ability to endure in the long-term.



Training in the UN-Habitat Context

The overall purpose of UN-Habitat's training is to support the capacity development component of programmes and projects within multiple levels of urban contexts and processes. The training is intended to achieve positive change in the quality of individual lives, in organizational capacity to function and deliver, and within the enabling policy and legal frameworks. Historically UN-Habitat has used the word 'training' to describe how it works to address the needs of many different groups and partners through a range of activities intended to enhance knowledge and skills. In this approach training might be defined as:

Activities designed to help individuals acquire new knowledge and skills in order to improve their performance of specific tasks or roles.

However, as noted above, it is now understood that this approach is not sufficient to lead to sustainable capacity or change in any context, and especially not in complex systems such as cities. So an essential starting point is for UN-Habitat to change its conception of training to one that better reflects the cutting edge of practice for capacity development, for example:

Facilitated learning processes that support individuals, organizations and sectors in urban systems to develop the capacity they need to grow into leaders of their own particular contexts.

WATER FOR AFRICAN CITIES, UN-HABITAT: CASCADE APPROACH TO TRAINING

Throughout this document there are excerpts illustrating the Cascade Approach to training as designed by UN-Habitat's Managing Water for African Cities (WAC) Programme in coordination with UNESCO-IHE. The programme was implemented in 2002-2005 and the unique strategy to capacity development remains one of the most effective training approaches.

UN-Habitat's Water for African Cities (WAC) programme and UNESCO-IHE developed a Training and Capacity Building programme to recognize and create linkages between the various levels of capacity development: individual, organizational and the enabling environment. This programme contributed to WAC's goal of addressing

the urban water crisis by improving water management and reducing the environmental impact of urbanization. Known as the Cascade Approach to training, trainees of different knowledge and skill levels were encouraged to learn from each other as they participated in practical activities which combined their professional experiences in the water utility, environment and public relation sectors together. Supported by two regional training institutions, Centre de Formation Continue and Network for Water and Sanitation, trainees represented cities across the Western, Eastern and Southern African regions: Abidjan (Côte d'Ivoire), Accra (Ghana), Addis Ababa, (Ethiopia), Dakar (Senegal), Lusaka (Zambia), and Nairobi (Kenya).

GLOBAL LAND TOOL NETWORK, UN-HABITAT: CHANGE AGENTS FOR TRANSPARENCY

UN-Habitat's Global Land Tool Network (GLTN) and Faculty of Geo-information Science and Earth Observation (ICT) of the University of Twente developed a Transparency in Land Administration training programme out of a 2007 meeting entitled '*Transparency in Land Administration: A Capacity Building Agenda for Africa*'. The meeting, funded by the GLTN and the University of Twente, assessed the state of corruption in land administration and determined it should to be addressed through the promotion of transparency with use of Change Agents.

The training officially began in 2008 and had two training objectives. First, to create Change Agents within the land sector who are sensitive to the corruption in pressing issues, such as securing land rights. Second, to equip the

Change Agents with knowledge, skills and country-specific action plans, enabling them to reduce corruption in their respective country following the training. The training was designed and facilitated in cooperation with University of Twente, and in partnership with Kwame Nkrumah University of Science and Technology, the Polytechnic of Namibia, Ardhi University of Tanzania and, ENDA Ecopop of Senegal. The training occurred at four locations across Sub-Sahara Africa with representatives from 19 countries: Benin, Chad, Burkina Faso, Democratic Republic of the Congo, Ethiopia, Ghana, Kenya, Lesotho, Liberia, Malawi, Mozambique, Namibia, Nigeria, Senegal, Sierra Leone, South Africa, Uganda, United Republic of Tanzania, and Zambia.

Capacity development is not the training of individuals for knowledge acquisition. It is ensuring they know *how* to apply that knowledge. It is not only about teaching individuals a technical skill. It is also ensuring they are given the space required to *practice* and correctly adopt the new techniques into their workplace and lives. Capacity development is not a training programme. It is the lessons learned and their ability to be practically adopted into the individuals' lives. Successful training cannot solely be measured by the number of trainees who attended a training event, or how the trainees felt about the event. The success of a training programme must be determined by what the trainees have learned and how their behaviours have changed, reflecting the lessons learned.

Furthermore, effective training should result in benefits to the trainees' workplaces. If individuals' capacities have been developed, but their workplace capacities have not, the capacity of the organization has not developed. A failure of training for capacity development has been that training programmes are

often too narrowly focused on the trainee; that they do not look at their role within their organization. It is imperative for the training programme and trainee to have the full support of the trainees' organizations, ensuring that the organization will support the implementation of the trainees' new skills, and for training of capacity development to include how to apply the trainees' skills post-training, to their workplace.

The definitions of training and capacity development, as previously described, cover many different types of activity; however, it must be remembered that within complex systems all approaches and activities have their limitations. There are some capacity challenges, for example those of a large city after a natural disaster, that need responses in multiple levels and dimensions, and there are some capacity challenges that are beyond the scope of any training or learning intervention. Figure 2 shows the relevance of different approaches to different levels of capacity need and complexity.

FIGURE 2: Situating training in the capacity development context



The table that follows gives some more detail of what this means in practice, including an example of how the frameworks apply within the different levels of a sector and its surrounding environment.

TABLE 1: **Application levels for frameworks**

Level	Relevance of frameworks	Example: a slum water and sanitation project
Beyond capacity development	Some issues within an urban system and how it connects with other systems in its external environment are beyond the reach of any capacity development approach. Complexity theory tells us that nothing can be predicted at this level of systems, so there can be no relevant capacity development frameworks.	Political will to improve living conditions in slums is not a matter of capacity, it is the result of many other factors such power, political relationships, corruption, and local traditions of governance. Unregistered slum communities with no right to vote rarely attract significant political support or enough government resources to meet their needs.
Broad capacity development approaches	Complex challenges require broad capacity development approaches that have multiple elements, including learning practices. At this level the overall goals need to be defined flexibly but some constituent parts of capacity could be specified through a Results Based Management style LogFrame.	Establishing essential infrastructure requires several types of capacity at different levels within an urban system, including: secure financial resources; policy and legislation frameworks; municipal finance and planning systems; technical expertise; and change management skills. Training and learning practices alone would be insufficient to establish all these capacities.
Learning	Learning practices (including training) can be helpful for challenges that have social change and empowerment dimensions. The usefulness of Results Based Management is directly related to the appropriateness of trying to predict outcomes and the ability to define specific component parts of overall capacity needs.	Needs for sustainable community water systems include: local agreement and ownership for community-led installation, management and maintenance of latrine and washing facilities; and the ability to negotiate with authorities. This cannot be 'trained'. The relevant capacity will only come into place through facilitation of community dialogue and empowerment, possibly including conflict resolution.
Training	Traditional training approaches are very relevant for technical knowledge transfer and skills development. At this level Results Based Management is helpful to define and measure specific necessary outputs and outcomes.	Developing the technical skills needed to build and maintain latrine and washing facilities.



Partnerships for Urban Capacity Development

Partnerships are critical to UN-Habitat's training agenda because they are integral to all aspects of how training is conceived and implemented. Much of the agency's knowledge and many of the associated tools are created within and disseminated through multiple partnerships of different natures. It is, therefore, through its work in partnership with others that UN-Habitat is able to extend the scope and impact of its training. Recognizing that we rely on partnerships to effect large-scale change, it is important to understand not only the types of partnerships UN-Habitat is engaged in, but also how to determine their capacities and when it is appropriate to engage in the various types of partnerships.

UN-Habitat's training partnerships can be broadly categorised into four groups of partnerships. To use each partner effectively, it is important that we can distinguish not only what UN-Habitat's strengths are, but also what the strengths of each partner are, and how the two can best complement each other.

1. Internal Capacity, partners working at UN-Habitat

These are the working relationships between the teams found in divisions and branches of the agency. These partnerships take many forms, and often involve multiple groups. As a unified agency, UN-Habitat needs to work with the professionals across its own agency.

Key Strengths: Sharing and understanding the immense knowledge found within both headquarters and the field offices, across each sector and division, will provide opportunity to not only share knowledge but also contacts, projects and lessons learned. Such team work, used for the duration of a project or for cross-checking purposes, can also provide a measure to ensure that programmes are fundamentally sound, work strategically together, and do not undermine or duplicate the efforts of colleagues'.

2. Influential & High Capacity, partners from large professional organizations

These are partners such as universities, international professional institutes, and local authorities with recognised good practice. These partnerships also take multiple forms and they are often used as the mechanism for UN-Habitat to take its tools to scale.

Key Strengths: The key feature of this group is that they already have high knowledge and skills in the relevant subject areas so the partnership can focus solely on the shared work. Partnering with these individuals and organizations provides UN-Habitat the opportunity to build an extensive network and relationships with key, specifically trained individuals who may continue to support or work alongside UN-Habitat, helping achieve the organizations' future goals.

3. Local Capacity, partners who know the local context

These are partners such as national training institutes. These are the UN-Habitat partnerships for training at regional or national level. While these partners bring an unparalleled strength in terms of understanding the local context they often require support to acquire sufficient capacity for independent delivery or the ability to deliver at scale.

Key Strengths: These partners are an invaluable source of local knowledge about culture and context and can, therefore, contribute a great deal to the success of any training project.

4. Consultants and Contractors, partners who focus on performing specific activities

These are partners such as independent individuals, NGOs, for-profit consulting firms, or staff contracted from any of the other partner groups specified above.

Key Strengths: This partner group is essential to enabling UN-Habitat to be able to deliver training at scale.

It is also important to understand that being engaged in a partnership includes working with the partners' weaknesses, local reputation, and often means that productivity will take a much longer time. Remember, each individual will have their own perspective and contributions to be discussed and included throughout the process. If the project relies on the partnership and what each organization is providing to be successful, it is essential to prioritize communication. No matter what type of partnership engaged in, ensure that all training methods, responsibilities and budgets are clearly discussed and written in detail before signing the memorandum of understanding.

Some partnerships are permanent, some are short-term and very focused, while others may exist for years during the life of a project. A common feature of them all is that they are dynamic - forming, changing and adapting over time in response specific needs and interests. There are many different activities and mechanisms for working in partnership: co-delivery, training of trainers, research, visiting experts, expert group meetings, world urban forums, workshops, Urban Gateway and sub-contracting, to name but a few.



Training Cycle and Transfer of Learning

Training practice, even though described as a cycle, traditionally follows four sequential steps that conclude at the end of the training event, as shown in Figure 3 below.

FIGURE 3: The traditional training cycle

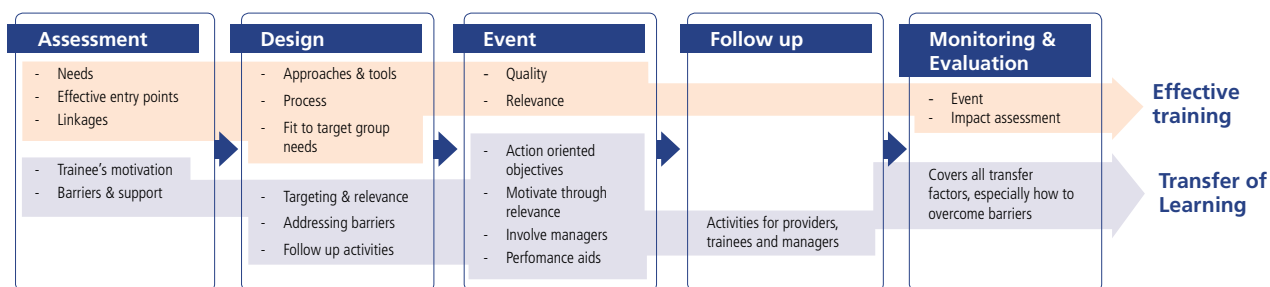


However, within industry, government and education, awareness has long been growing about the serious limitations of this approach to training as the mechanism to bring about sustainable change in workplace practices. This is especially true in urban contexts where the inherent complexities make a linear process impossible to be effectively applied to the variety of problematic issues that arise. Increasing awareness of the limitations of training has led to the identification of a new dimension in the training cycle, namely the *'Transfer of Learning'*, which is generally defined as *'the application of learning acquired in one setting to another setting'*.⁴

Indicators of successful transfer include both positive changes in performance on specific tasks and an enhanced ability to learn, and to learn more quickly, in response to other workplace challenges and opportunities. Taking as an example training personnel in a municipal planning department to work with the transport department on a roads improvement scheme, if transfer of learning has been successful participants from the planning department would not only be able to complete the current planning exercise, they would later also be able to apply the new learning about planning to working with police on crime prevention, or with the sanitation department on water distribution.

⁴ A helpful summary and guide to this subject is available from Human Resources and Social Development Canada: "Transfer of Learning: Planning Workplace Education Programs" available at <http://www.nald.ca/library/research/nls/inpub/transfer/cover.htm>.

FIGURE 4: The training cycle, incorporating elements for effective training and transfer of learning



Successful transfer depends on integrating appropriate elements and activities into every step of the training cycle, as follows:

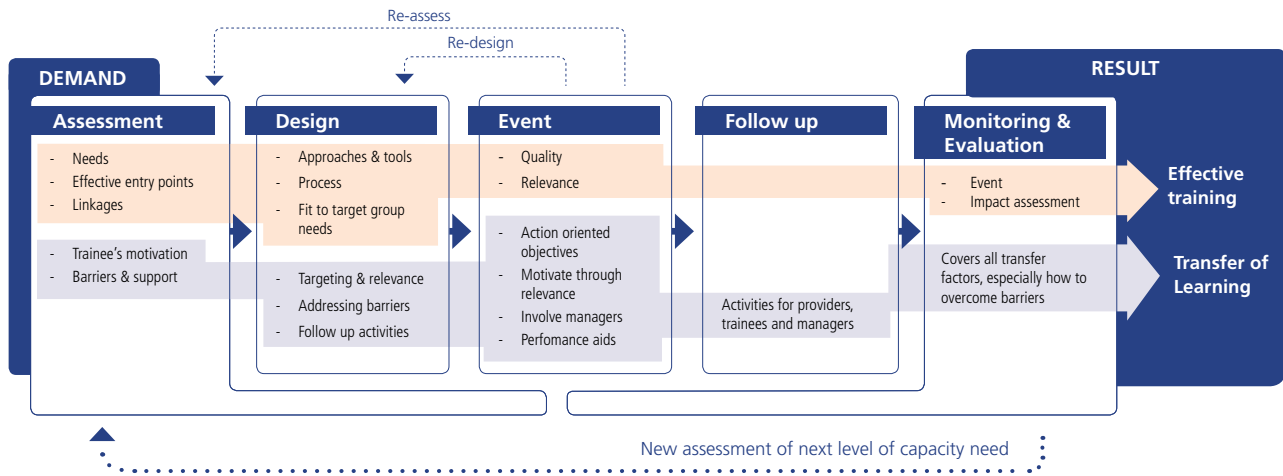
- **Assessment** of trainee characteristics such as motivation to learn and apply their learning, and of barriers to transfer and ways to overcome them. (Commonly found barriers are: lack of management interest and or understanding; lack of supporting systems and resources; and, the trainee's inability to control or influence factors relevant to transfer.)
- Important **design** considerations are: ensuring relevance so that content builds on existing knowledge and experience; careful targeting of activities to the specific knowledge, attitude or skills needed; addressing the identified barriers; and building in follow-up activities.
- For successful transfer to happen **delivery** will: keep focused on action oriented objectives; keep trainees motivated by constant attention to relevance; involve trainees' managers; and, provide performance aids.
- Attention to all of the above points need to be incorporated into **monitoring and evaluation** activities in order to ensure that factors to support transfer of learning remain appropriately integrated into all steps in the cycle.

There are three additional points of introduction that should be noted before considering the specific stages of the training cycle. First, training should be provided in response to demand rather than because of supply driven initiatives. UN-Habitat gets its information about demands in many different ways with the majority of information about specific needs coming from projects or other operational initiatives. Messages about broader trends and needs that could represent demand for training come to UN-Habitat through multiple channels such as the world urban forum, expert group meetings, Habitat Programme Managers, co-working with other United Nations agencies and other networks, and so on. While these mechanisms and opportunities can never be the source of information about specifics, they should be used systematically to gain understanding about emerging issues that may result in new training needs.

The second point is that although there are some clear distinctions between the key steps in the training cycle it should not be considered a linear process. Figure 5 shows two key features of application of best practice to the training cycle. The first is that the training event is not the end of the training, there is still much work to be done after the event concludes. The second is that implementation should be approached flexibly, with the understanding that there will be many times when it will be necessary to loop back to previous steps in response to changing circumstances and understanding. For example, if monitoring of delivery shows that some aspects of design are not the most effective approach to a particular aspect of the capacity need then the implementers should return to the design stage and make the necessary adjustments.

The third point is that UN-Habitat may not be directly involved in all steps in the cycle. Working in multiple partnerships may mean that different partners work on different parts of the cycle. This calls for both flexibility and for effective means of communication, coordination and information sharing, in order to ensure that the whole cycle is implemented efficiently and effectively across the partners.

FIGURE 5: Best practice training cycle





Assessment

For additional assessment tools and resources please see Appendix 1: Assessment Tools & Resources on page 37.

The quality of assessments is fundamental to the quality, and therefore the impact, of the entire training cycle. There is a growing understanding that specific areas of capacity need should always be assessed within the context of larger system capacity. This means, for example, ensuring that assessment of a department is relevant to a goal for developing the capacity of the whole ministry or municipal department, and also to broader strategies for the sector or theme. Consideration of individuals should be in terms of what their enhanced capacity would contribute to higher level goals. What, for example, is it expected that training locally elected leaders would contribute to the functioning capacity of decentralisation structures and systems within any given city? It also means incorporating an appropriate time perspective and recognising that very few elements of capacity can be developed within a two or three year project. The 'from fear to safety' initiative in a Colombian city took nearly three decades to achieve its goals, which is a good illustration of the time perspectives that need to be taken into account when assessing and planning some types of change initiatives in urban systems. This is not to say that all change initiatives will take decades to be realized, but that it is important to have a realistic understanding of the scope and commitments required during the process. Even when aiming for long-term changes, such as developing an active and engaged civil society, there should always be short and mid-term outcomes expected as well, such as enhancing the quality of decision making or increasing civic engagement within the election term.

Assessments are also necessary to understand the opportunities for and limits of any type of intervention, particularly in the barriers that will prevent transfer of learning. Assessment of environmental factors, especially power dynamics and resource

availability, will provide invaluable guidance about effective entry points, appropriate means of intervention (which might not be training), and the likelihood of new learning being implemented to achieve sustainable change. This includes assessing the organization's attitude and ability towards allowing their trainees to implement changes post-training. Without the full support of the organization the resources spent, the time allocated, and the efforts dedicated in the training may not result in an effect at the organizational level. The limits of training and learning interventions can only be understood through the identification of contextual constraints in the environment. For example,

WATER FOR AFRICAN CITIES: ASSESSING THE CONTEXT

Before the WAC Training and Capacity Building programme began, surveys were distributed to identify local training institutions and national kick-off workshops were held for stakeholders to help assess the training needs. Through the assessments the trainees' working context, existing capacities, and level of existing knowledge on key water sector issues was better understood by UN-HABITAT and UNESCO-IHE. This information was used to determine which elements the training programme should prioritize, and where the starting point should be in designing the Cascade Approach for maximum impact in building on trainees' existing knowledge. It was determined that the training needed to address the inadequate communication and shared knowledge between organizations operating within the urban water management sector.

UN-Habitat recognises the need to address gender issues in all aspects of its work, but staff who try to do so in their training frequently run into substantive challenges stemming from deep cultural norms and beliefs which work powerfully to constrain women and block any attempt to change their circumstances. Such constraints are generally beyond the scope of any learning or training practice that UN-Habitat could appropriately offer as part of its work.

Listed below are some features of best practice for assessments, all of which are interlinked in several ways.

Demand Driven Self-Assessments

The most informative and accurate assessments are by local stakeholders, because they have the most knowledge about the specific areas of need under consideration and are also unlikely to let technical considerations drive the assessment agenda. For example the community living in a settlement will have far greater understanding of the crime they experience, its causes and its impact, than any outsider could possibly have. While this is true of all contexts, it is crucial to keep in mind when dealing with especially complex contexts, such as in cities. It has been shown that having too heavy a focus on technical issues tends to lead to a focus on skills development, which alone is insufficient for sustainable capacity development. The role of external experts is, therefore, to facilitate internal assessment processes and provide technical knowledge as required.

Starting with Existing Capacity

Identification of existing capacity is the essential prerequisite for understanding what individuals, organizations or sectors need to move forward to the next level or stage of performance. Using a 'gap analysis' as the primary assessment tool does not pay sufficient attention to the capacity that already exists, or to other important factors like key change agents and previous or current processes on which new intervention should build. Additionally, in the gap analysis approach the definition of required capacity is often too ambitious, based on international standards, rather than achievable next steps relevant to the local context. A newly established commune council of first time councillors in a Central American city should not, for example, be assessed and found wanting against the functioning capacity of a long-established council in the USA. Such new entities need to be assessed for what they already know about governance and what would help them deepen their understanding to get all the basics in place, and then move step by step towards higher levels of functioning.

Local Culture and Context

Analysing culture and context – at organizational, sector and institutional levels as needed – is the only effective way to ensure that all enabling and constraining factors are taken into account and understood. In particular this means paying attention to cross cutting issues, such as gender, power and the environment. Analysis of local factors is particularly relevant in the UN-Habitat context of post-conflict or post-disaster cities, where existing capacity may be particularly fragile. Assessment tools should be adapted to take account of the fact that the starting point of any intervention might be an urgent need protect the capacity that already exists.

Purposeful Analysis

Assessments need to have a clear purpose specifying how the information and analysis will contribute to a larger capacity development agenda. The purpose should then guide evaluation and analysis of the data, including the cross cutting issues, in ways that will inform the design of an effective capacity development process.

Many helpful tools are available for different levels of assessment and analysis. The assessor's challenge is to know which tool will work best for any particular need and context, because no one size fits all. Some tools, for example SWOT analysis, are in common usage in both the corporate and development worlds. Others are now available from development agencies that have tried to find ways to improve their approaches to assessment. Appendix 1 gives a list of some tools that are available from different agencies and sectors.

GLOBAL LAND TOOL NETWORK: ASSESSING THE CONTEXT

In January 2007 a meeting consisting of 40 professionals representing academia, civil society, public and private institutions within the land sector, from across Sub-Sahara Africa and around the world, met to discuss corruption in land issues. They agreed that a lack of training in transparency contributed to the large problem of corruption in land administration. They began formulating a process focused on transparent land management that was later developed into the Change Agents training event. Initial steps prioritized the need to understand the Sub-Sahara African context and define what capacities were required for Change Agents to excel. Their assessments revealed two key focuses. One, to sensitize key decision makers about the value that transparency adds. Two, assist them to acquire and develop the skills and competencies necessary to successfully handle situations where land corruption is present. A cautious discourse was strategically used to avoid off-putting potential trainees, therefore making transparency the core of the programme, instead of corruption.



Design



For additional design tools and resources please see Appendix 2: Design Tools & Resources on page 41.

Design of a training intervention to meet capacity needs is a series of decisions. The quality of the decisions made depends largely on two factors:

- The quality of information produced in the assessment process; and
- How the designer understands capacity and its development, and important aspects of training like the transfer of learning.

These are important considerations for those concerned with maximising impact from the effective use of limited resources because poor design results in waste, not only of resources, but also of opportunities that cannot be recreated.

Putting learning central to design, by thinking in terms of a 'learning plan' rather than about training activities can be a very effective approach. Specifying broad organizational or sector learning objectives that will result in the necessary capacity will guide the choice of topics, methods, content and objectives for individual activities within the plan. If well designed and well implemented such a learning plan not only guides entry and implementation, but also embodies all that is needed for an appropriate exit strategy.

Learning from recent studies shows that whatever the subject of the training, good design incorporates some key features, as follows:

Linking All Organizational Capacity Goals

The design should establish clear links between different levels of organizational or sector needs, which often need to be considered in different timeframes. There is a difference between long-term goals and component parts that can be achieved in the shorter term – sometimes thought of as 'quick wins'. If it is decided that the activity will focus on individuals, the objectives for the training should clearly represent contributions to the organizational or sector level outcomes being sought.

As mentioned in the assessment section above, time factors are important. Taking account of the time realistically needed to bring about substantive change might result in new thinking about appropriate target groups and entry points. For example municipal planning and management is traditionally addressed through work with local government, which is often stuck and unable to embrace change because multiple constraints are at work at individual, organizational and institutional levels. In the longer term it might be more effective to target the young professionals who will become the next generation of manager and planners.

WATER FOR AFRICAN CITIES: DESIGN OF THE CASCADE APPROACH

WAC's Cascade Approach was designed in three parts: cycle one, the inter-cycle period, and cycle two. Cycle one established clear linkages between related disciplines within the water sector and three staff levels: senior level managers, middle level managers and junior level managers. Trainees were taught about key issues: water demand management, pollution prevention control, and public awareness. All trainees were encouraged to share what they learned and work together, particularly the junior managers, and to develop an Action Plan for their city. Action Plans outlined a step-by-step process of how trainees would promote and adopt sustainable processes in their work. The Action Plans of the junior managers were then vetted by the middle managers before informing the senior managers for the formulation of their individual Action Plans. The inter-cycle period was six months where trainees implemented the Action Plans. During the second cycle trainees reunited to share their implementation experiences, challenges and successes. At this time WAC assisted trainees to identify and address the obstacles faced during implementation, and facilitated learning on additional issues, such as gender.

Relevant Targeting of Participants

The important Independent Evaluation Group 2008 study of the World Bank's training found that *"targeting of training content was found to be the most important training design factor driving training success."*⁵ This involves analysis of specific training needs related to organizational capacity needs, the strategic selection of participants, and making sure that the content is relevant to the participants and their needs. The Capacity Development unit works with Local Elected Leaders over more than a decade is an example of how targeting the right content to a specific participant group leads to success. Targeting is also relevant to work with partner organizations that are not so strong. The Capacity Development unit found it made a big and important difference to the quality of delivery of the Local Economic Development programme when they customised the training process for trainers in local partner institutes.

Local Culture and Context Relevancy

The benefits of training will be limited if generic tools are not appropriately adapted to local culture and context, which is about much more than simple translation into the local language. The conceptual understanding and implementation of the training will be significantly enhanced if the content has been adapted to reflect local beliefs, customs, social norms, etc. The GLTN's Transparency in Land Administration training addresses this need by taking a 'problem based learning' approach, in which participants contribute their own case studies to use as part of the training materials.

Another aspect of relevance concerns moving away from the idea that all training has to be delivered by designated providers. Some UN-Habitat programmes have found it very effective to work with the idea that transfer of learning is easier among colleagues – *'When mayors speak other mayors listen'*. This has, for example, worked when mayors in weaker cities have been paired with mayors from high capacity cities. The WAC also organise an annual 'learning forum' for city managers to discuss what they have done during the year, and what they can learn from each other.

Appropriate Integration of Cross-Cutting Issues

Part of the adaptation to local culture and context requires attention to cross cutting issues such as gender and the environment. Gender needs to be taken into account not only for the development of content, but also to ensure that the process is gender sensitive within the culture. The Oxfam Gender Training Manual provides a lot of useful tips about how to do this.⁶

A 'Best Fit' Selection

Very few capacity needs can be fully met through one single activity. The development of skills and capabilities usually calls for a selection of methods to be used over time. In particular a training activity should always be followed up with other activities to support the transfer of learning. This might be on-the-job training, individual or group coaching, or perhaps a follow-up learning forum for all the participants. The GLTN work with the Gender Evaluation Criteria tool in Brazil was a good example of using mixed methods. Working with a small group of carefully selected grassroots women's organizations the team decided not to do a formal training but to work instead through on-the-job training, coaching and follow-up e-support. This was successful and enabled the participants to use the tool widely in their networks.

⁵ IEG (Independent Evaluation Group) (2008). *Using Training to Build Capacity for Development: An Evaluation of the World Bank's Project-Based and WBI Training*. The World Bank. Accessed from http://siteresources.worldbank.org/EXT/TRADE/ICAPDEV/Resources/full_doc.pdf on 27 January 2012.

⁶ Williams, Suzanne with Janet Seed and Adelina Mwau (1994). *The Oxfam Gender Training Manual*. Oxfam: Policy and Practice, Publications. Accessed from <http://policy-practice.oxfam.org.uk/publications/the-oxfam-gender-training-manual-141359> on 27 January 2012.

GLOBAL LAND TOOL NETWORK: DESIGNING THE CHANGE AGENT TRAINING PROGRAMME

The Transparency in Land Administration training programme was held over three days. During the first two days, trainees were introduced to the issues, such as access to land, as well as key concepts and principles through short case studies. They compared experiences of anti-corruption agencies and the tools each use to reduce corruption through discussions and interactive sessions. During day three, trainees analyzed long case studies where they had to identify ways to resolve the problems by using corruption reducing tools to improve transparency. Most case studies were culturally appropriate and represented real experiences, while others were written to demonstrate positive practices when engaged in land-related corruption. Based on this new knowledge, trainees wrote individual and country level action plans that clearly demonstrate the steps they would take to reduce corruption in their country's land sector. These plans were peer reviewed. UN-Habitat assisted in identifying and recruiting specific male and female trainees of high-level and influential positions, believing in their strengthened ability to implement the country level action plans.

Not only is it important to use a combination of activities to support the transfer of learning, but it is also important to understand how each training activity relates to the ways in which trainees learn, absorb, maintain and adapt the lessons. The most effective training programmes will be designed with this in mind and include various types of activities that will specifically aid trainees in remembering and applying the lessons learned at their specific workplaces.

UN-Habitat's Training and Technical Support to Participatory Planning and Budgeting in

Mozambican Municipalities was effectively designed for trainees to learn, understand, and start acting on their new knowledge. Training activities included presentations, large and small group discussions, breakout groups, brainstorming, field visits, and case studies with comparable cultural contexts. These methods taught the trainees all the necessary background information about what participatory budgeting was and how to conduct it, as well as how to address various perspectives and challenges, such as the inclusion of women. However the training activity to be highlighted was their use of a simulation. Simulations are a great way for trainees to bring all their newly learned skills together and practically use them; supporting the transfer of learning. The advantage of simulation-based training is that it affects all senses, and often leaves trainees feeling much more confident in their understanding of the lessons learned, and more likely to apply them to their workplace. The trainees' new knowledge from the Training and Technical Support to Participatory Planning and Budgeting in Mozambican Municipalities programme was reinforced through a simulation which presented different situational challenges. Trainees were able to experience what the participatory budgeting process was like, develop their negotiation and communication skills, promote successful cooperation during the implementation process, and explore how to include marginalized groups, such as women, as they encountered potential cultural hesitations and had to address different understandings of the participatory method.

The following pages give some ideas about the methods that work best for different types of capacity needs. Appendix 2 gives resource references for some of these methods for design and delivery.

TABLE 2A: Approaches and tools for technical knowledge and skills

DESCRIPTION (including UN-Habitat example)	STRENGTHS	CHALLENGES
Academic study programmes Academic study programmes offered by overseas universities for participants to follow from home. Ex. Many universities which are members of the Habitat Partner University Initiative have specific study programmes whereby their students engage with local communities to learn first-hand about demand-driven projects and the importance of having both the global north and south perspectives.	Individual learning which results in positive and quantifiable impacts at both individual and organizational level.	Communication can be challenging, especially when combining the various hierarchies and academic systems found in different countries and cultures. Unfortunately it can sometimes be difficult to connect the larger context.

DESCRIPTION (including UN-Habitat example)	STRENGTHS	CHALLENGES
<p>Blended learning</p> <p>The combination of different training and learning technologies, activities and events. It most usually combines a mixture of e-learning and interactive human contact.</p> <p>Ex. The <i>Localizing Agenda 21 Programme (LA21)</i> works alongside cities and towns which lack the competencies needed to deal with their evolving environmental problems, and may not be benefiting from international support. Activities included city-to-city co-operation initiatives.</p>	<p>The blend selected can be problem-focused or person-focused; enables quality assessment of e-learning processes; enables rapid roll-out to large groups; can be very cost effective (depending on development costs).</p>	<p>It needs: skilful design and management: a high level of compatible technology and study skills. Development costs can be high. The e-learning element is often not suitable in many development contexts.</p>
<p>Didactic or participatory training</p> <p>Training offered for the delivery of specific content, often technical knowledge or skills, in a predefined curriculum and process.</p> <p>Ex. In the <i>Strategic Urban Planning for Small Cities Project in Egypt</i> trainees from various professional backgrounds were specifically trained to design strategic urban plans for 50 small cities in Egypt.</p>	<p>Relatively inexpensive and readily available. Focused on content.</p>	<p>Relevance and success depends on the quality of the needs assessment and design processes, which are often inadequate and do not build in appropriate follow-up. Difficult to tailor to specific participant needs; rarely involves pre-testing or follow-up activities; impact is difficult to assess.</p>
<p>Distance learning</p> <p>Academic study programmes offered by overseas universities for participants to follow from home.</p> <p>Ex. The Cities and Climate Change Academy is a current programme established under the <i>Habitat Partner University Initiative</i> which focuses on making global and local knowledge relevant to cities as they realize their developmental potential.</p>	<p>Gives high-level academic opportunities for people who are not able to go overseas; flexible timing.</p>	<p>Students are isolated; requires high level of English and study skills; needs good quality and affordable Internet access; little support for adaptation and application of new learning in the workplace.</p>
<p>E-learning</p> <p>Technology-supported or web-based learning systems. E-learning can happen across distances and borders or within one organization and Ex. <i>The Urban Gateway</i> held online training so that professions around the globe could learn to navigate through its new online platform. The site enables individuals in urban planning, urban management, policy makers, academics and neighbourhoods to communicate about urban development internationally.</p>	<p>Offers individual and flexible learning opportunities without requiring direct human interaction so good for people who do not have easy access to other learning resources or facilitators; can be very cost effective.</p>	<p>Students are isolated; requires high level of independent study skills and ability in the language of instruction; needs good quality and affordable Internet access; little support for adaptation and application of new learning in the workplace.</p>

TABLE 2B: Approaches and tools for needs beyond technical knowledge and skills

DESCRIPTION (including UN-Habitat example)	STRENGTHS	CHALLENGES
<p>Coaching and mentoring</p> <p>Coaching is generally focused on workplace challenges and issues and will be time bounded. Mentoring is generally a long-term process of supporting an individual's career and personal development.</p> <p>Ex. The Youth Fund supports youth-led initiatives by funding their projects and developing the youth's management and personal leadership skills. The Fund works alongside the youth to ensure success in their endeavours.</p>	<p>Very focused way to support learning and performance improvement; can be offered by national personnel.</p>	<p>Ideally coaching and mentoring need to be separated from line management structures; coaches and mentors need to have specific skills.</p>
<p>Communication</p> <p>Processes that connect groups and surface their collective knowledge and wisdom, enhancing and supporting learning and change within those groups.</p> <p>Ex. The Water for African Cities programme used the Cascade Approach to improve communication within and between various actors in the urban water management sector.</p>	<p>Brings to the surface the implicit knowledge and wisdom embedded in groups; ensures that all stakeholders have voice in decisions that concern them; empowers participants; creates ownership and commitment to action.</p>	<p>Can be countercultural and create resistance; requires skilful facilitation; can raise inappropriate expectations.</p>
<p>Experiential learning</p> <p>Generic heading for numerous structured and semi-structured processes which can support individuals to learn from their workplace experiences.</p> <p>Ex. Training and Technical Support to Participatory Planning and Budgeting in Mozambican Municipalities included a simulation which enabled trainees to experience what the participatory budgeting process would be like, and to identify potential challenges.</p>	<p>Starts from the participant's own level of experience; grounds learning into workplace practice; works well for those not academically inclined.</p>	<p>Can create resistance because counter-cultural or does not fit expectations; requires strong facilitation skills; not so good for technical needs.</p>
<p>Exposure</p> <p>Exposure visits take people to see what others are doing in work situations similar to their own. Attending conferences and other events provide exposure to new knowledge, ideas and influences within sectors.</p> <p>Ex. The We Are the Future initiative's goal was to mobilize global resources for the benefit of children in post-conflict cities through the creation of municipally-owned We Are the Future Child Centres that focused on youth-led activities. Peer representatives were able to visit other participating sites and conduct their own assessment of the WAF programs, while identifying the needs and possible future interventions.</p>	<p>Makes learning about new ideas more practical and grounded in reality; stimulates the spread of good practice and the fertilisation of innovation.</p>	<p>If it involves international travel exposure can be expensive and not cost effective; clear learning objectives need to be specified at the start, and followed up effectively afterwards if new ideas are to be applied.</p>

DESCRIPTION (including UN-Habitat example)	STRENGTHS	CHALLENGES
<p>Leadership development</p> <p>Processes designed to enhance the leadership skills of existing and potential leaders within systems. Most effective when training modules are combined with activities such as exposure visits, and coaching or mentoring.</p> <p>Ex. The Capacity Development unit has successfully created the <i>Locally Elected Leadership</i> programme. It offers many different exercises to develop leadership skills through experiential learning, to facilitate the participants' development in 12 core roles and competencies for effective leadership.</p>	<p>Gives emerging leaders the skills and confidence to step into leadership roles.</p>	<p>Requires the background political economy to be such that participants can practice what they learn in order to bring about change in their own performance or within their organizations.</p>

TABLE 2C: **Approaches and tools for organization and system level needs**

DESCRIPTION (including UN-Habitat example)	STRENGTHS	CHALLENGES
<p>Knowledge management</p> <p>Considered by some to be a cross-cutting issue in capacity development, it is the process by which organizations generate value from their intellectual and knowledge-based assets by documenting what staff and stakeholders know about the organization's areas of interest, and then sharing that collected data back to those who need it to enhance their job performance.</p> <p>Ex. The Best Practices and Local Leadership Programme was designed to facilitate the sharing of knowledge within and between key decision makers and their organizations; enabling them to operate more effectively according to the best practices identified.</p>	<p>Enhances communication and connection within systems to ensure that they are using all the available knowledge assets to best effect.</p>	<p>Can be very complex and time-consuming to implement; requires constant attention and updating; can become overly technical and dependent on data management systems.</p>
<p>Organizational strengthening</p> <p>There are three inter-related disciplines known as organizational development, change management and organizational learning. Working with co-ordinated learning and change techniques to help organizations gain the capacity they need to be effective and fulfil their organizational/sectoral mandates.</p> <p>Ex. Building capacity to build capacity: Strengthening training institutions, was a conference aimed at building the skills, expertise and knowledge of training institutions so as to enable them to better respond to the needs of their government counterparts.</p>	<p>Works at the level of whole systems (organizations or sectors) and therefore ensures that learning, change and development are simultaneous across the whole organization or sector.</p>	<p>Very complex, requiring high levels of conceptual and strategic thinking to be transferred to operational realities, and strong facilitation of multiple concurrent interventions; needs an enabling environment.</p>

DESCRIPTION (including UN-Habitat example)	STRENGTHS	CHALLENGES
<p>Partnerships and networks</p> <p>Mechanisms through which diverse actors with mutual interests come together in order to achieve a common goal. This can include twinning organizations and institutions with similar mandates, and the same or different levels of capacity.</p> <p>Ex. <i>Water Operators' Partnerships</i> is a network based on the premise of facilitating the "learning by doing" process amongst operators at global, regional and sub-regional levels.</p>	<p>Provides opportunities for sharing knowledge and experience across borders; offers opportunities for mutual learning.</p>	<p>Can be difficult to co-ordinate and keep functional; power relations can become unbalanced, having a negative impact on opportunities for learning.</p>



Delivery

For additional delivery tools and resources please see Appendix 2: Delivery Tools & Resources on page 45.

Delivery is the stage of the training cycle where the participants and providers come together. In the UN-Habitat context delivery can be undertaken directly by staff either alone, with partners such as training institutions, or delegated to partner agencies or consultants. Current thinking about good practice is very clear that follow-up to support transfer of learning is not an optional extra but an integral part of delivery.

The following factors are critical to the success of any training initiative:

A. Training Events

Targeted Selection of Participants

Participant selection is critical to the success of the training activity, but because providers are very often from a different agency than the participants they rarely have control over the choice of who will participate. For example, when UN-Habitat, or one of its partners, offers training on Participatory Budgeting for government officials the target participant group will likely have been identified in advance as part of project planning agreed with the government and donor, and the specific participants will be selected by more senior government officials. This is one of the factors that make assessment processes really important. The more that is known about the intended participants in advance the more it is possible to target the content to their needs. Providers need to do all they can to get the right information, and if necessary, to influence those who make the decisions to send the right people to the training. It is a huge waste of resources to have a mismatch between the training content and process and the people who participate. If necessary providers need to adapt what they are offering during delivery in order to maximise potential impact.

WATER FOR AFRICAN CITIES: THE TRAINING EVENT

Training was provided by two regional training institutions who selected local trainers within each city based on their previous experiences and knowledge of the local context and language. Most training and materials were available in French or English to accommodate trainees. Senior and middle level staff were consulted in deciding which junior level staff should participate in the training. The national kick-off workshops prepared the trainees by outlining the training objectives. While participating in site visits, brainstorming, and developing their Action Plans, trainees began to realize the importance and benefit of understanding each other's roles and working together, regardless of staff level. The training reiterated the need to work more directly with the regional training centres and local trainers in order to establish a common training curriculum and supporting materials. Additional time during cycle two to discuss the experiences of the inter-cycle period would have further benefitted trainees.

Preparation of Participants

Many people automatically think training means either a lecture or perhaps a participatory workshop using methods like small group work, role plays and so on. As the design section above describes there are many other methods that can be much more effective for different capacity needs. But participants will not get the best out of different methods, such as reflective

experiential learning approaches, or understand how to transfer their new learning to the workplace, if the activities do not match their expectations. Getting people to take risks and participate fully with new approaches calls for them to know what to expect and to trust the trainers, both of which call for the trainers to take time to establish good relationships and prepare participants before delivery.

Adaptation and Relevance

Mixed participant groups for global, regional, and maybe even some national level training activities make it impossible to achieve the ideal of having all training content and delivery in the participants' first language. Nevertheless there are various ways in which the training can be made relevant for the participant group. For example, tools about good governance are often written in very high level, academic language and introduce concepts that will be unfamiliar to participants. Trainers tasked with using those tools when training newly elected municipal leaders would find them difficult to use if the participants only have experience of tribal models of leadership. Even if translation is not possible the content should be adapted for relevance by working with local resource people to ensure that the language and concepts are appropriate for the context and level of application. Working with local resource people in this way has the dual benefit of sharing learning in two directions, and building local capacity to build capacity.

GLOBAL LAND TOOL NETWORK: THE TRAINING EVENT

Trainees represented 19 countries in Sub-Saharan Africa. Training and materials were provided in English and French. A total of 114 Change Agents were trained. There was an average of 28 professional trainees at each of the four training sessions. Women accounted for a total of 41 trainees. The training was conducted by the University of Twente, GLTN and UN-Habitat, as well as experts from regional training institutions. A large part of the training programme success was due to the careful selection of trainees. Women were underrepresented in the Transparency in Land Administration training programme, yet those present were of high positions and raised their points vocally and convincingly. Flexibility of trainers during the training events led to continued refinement of the training programme, and created time for trainees to present on how the new tools compared to anti-corruption practices in their own countries. These sessions were a place where trainees could debate the pros and cons of each method based on their own experiences. Lessons learned are to ensure that all trainees can relate to the case studies, especially those from remote and under-represented areas.

Quality Standards

Quality in training has many aspects including the relevance of concepts and materials, as discussed above. Other aspects of good quality training delivery include:

- The trainers being skilful in the training methods and having sufficient knowledge of the subject to support the participants resolve their questions and challenges while learning and then applying their learning
- The process and content of both individual sessions and the whole event being framed around appropriate learning objectives and the time available for delivery
- Having appropriate and well prepared materials available on time
- Listening to feedback from participants and or their managers and responding with adaptations as necessary
- Completion and dissemination of relevant documentation post training

B. Follow-Up Activities

For additional follow-up tools and resources please see Appendix 2: Follow-Up Tools & Resources on page 50.

Establishing Support for Transfer of Learning

Providers need to prepare support for transfer of learning and get stakeholders' commitment to follow-up activities, in whatever form will work best for the participants and content.

WATER FOR AFRICAN CITIES: FOLLOW-UP ACTIVITIES

Inclusion of follow-up activities can be found throughout WAC's programme design. Having trainees write an Action Plan was an effective way to do immediate follow-up on whether or not they learned the concepts, and provided opportunity to follow-up on application. The approach adopted for the training and capacity building was to create a healthy organizational environment for trainees to implement their Action Plans by including senior level staff in the early training programme decision-making process. The Addis Ababa Water and Sewerage Authority represented the greatest number of trainees at both cycles. In total, a combined 141 trainees attended training cycle one and two, with 22 professionals from different cities attending both cycles. Cycle one was attended by 73 trainees, and cycle two by 68.

This starts with including the follow-up activities in the planning and budget for the training to ensure that the necessary time and other resources are available. A further key preparation step in advance of the training activity is talking to participants' managers to ensure that they are fully aware of the training content and understand the best ways to help support transfer of learning back in the workplace.

Follow-Up on Transfer of Learning

Providers, managers and trainees can all take steps that will facilitate the transfer of learning after the training activity. Even if providers cannot be directly involved in follow-up activities they can still influence what happens if they take time, before the training event concludes, to set up whatever needs to happen. This might include ideas such as: discussing transfer techniques and challenges with the trainees and helping them develop transfer plans; providing managers with information about actions plans and issues from the training so they can discuss them with the trainees; helping the trainee group set up their own support mechanisms such as peer coaching; setting up an e-forum for the trainee group to share their experiences; providing small grant funding for follow-up workshops or other catalytic activities and incentives; and many others. For those participants where it is not possible to involve a line manager the providers should establish other means to conduct follow-up activities, like coaching sessions or a call-back learning forum.

GLOBAL LAND TOOL NETWORK: FOLLOW-UP

Immediately following the Transparency in Land Administration training programme the GLTN maintained correspondence with trainees for 6 months, to provide support and ensure Change Agents remained engaged and networking. In addition, many trainees, including a representative from Senegal, personally followed up to thank their local organizers for engaging in such a sensitive yet important initiative. Three days is short to create Change Agents. Recommendations included an official follow-up activity to provide additional advice on tool use, while continuing to develop the Change Agents' individual capacities, and to encourage them in the application of their action plans post training. While the GLTN supported Change Agents with advice and training materials during the implementation of their country action plans, many trainees required additional resource support in order to stay engaged or replicate the training. While some country action plans could cause potentially huge and positive changes, such as a Tanzanian government official's request that Ardhi University hold a similar programme for his ministry staff, immense resource restraints did not make this possible. Difficulties encountered include both financial and time restraints, as well as a lack of coordination between trainees post training.



Monitoring and Evaluation

For additional evaluation tools and resources please see Appendix 2: Evaluation Tools & Resources on page 55.

As with all development activities there are many reasons to monitor and evaluate training. In the context of training monitoring can be defined as an ongoing and systematic process of gathering and analysing information about design and delivery in progress, and especially about any problems arising, in order to keep implementation on track and continually improve quality. Monitoring can also be a very effective tool for identifying emerging learning about all aspects of the training and the content. There is a tendency to use the word evaluation to describe activities, such as getting trainees' feedback at the end of each training day, that should more accurately be described as monitoring.

In contrast with monitoring, evaluation is more usually a one-time event. Evaluation of training is necessary to show whether or not activities have achieved the desired results and to understand the key factors that were influential in achieving success or otherwise, as the case may be. End of training evaluations can provide data that are helpful for improving the quality of the training next time it is delivered. The monitoring and evaluation of many training projects end at this point.

However, monitoring and evaluation of transfer of learning can only begin when the training event has ended. Putting in place mechanisms to monitor how trainees are doing back in the workplace can provide information that is vital to ensuring they get the support they need to transfer their learning and that they have the means, for example through access to a technical expert, to solve any problems they encounter. Such mechanisms, when appropriately structured, are very helpful in supporting performance improvement through transfer of learning and should therefore become effective immediately after the training event. Evaluation of the impact of the training is a different type of exercise that needs to be conducted after

sufficient time has elapsed for the results of implementation of learning to have emerged. Thus different monitoring and evaluation activities for each stage in the cycle should be built into all training plans.

A helpful standard framework, known as the '*Kirkpatrick model*⁷', identifies four levels to be assessed, namely:

- **Level 1 Reaction:** the immediate impressions of the participants and trainers, what they thought and felt about the training.
- **Level 2 Learning:** the developments in knowledge, skills and attitudes resulting from the training.
- **Level 3 Behaviour:** the extent of behaviour and capability improvement, and demonstrated application of the new learning within the work setting.
- **Level 4 Results:** the impact on work results; the return on the training investment.

Assessments are rarely done at levels three and four because it is an acknowledged fact that they are very difficult to do, for two main reasons. First is the problem of attribution i.e. assessing any change in the participant's performance can be attributed specifically to the training. The further away from the training activity, in time and areas of work, the greater the influence of other factors in changing or preventing change in participants' workplace behaviours, so the attribution factor diminishes with every increment of time and distance. Secondly, it might be necessary to undertake activities in multiple locations, work disciplines and contexts in order to evaluate participants' application of learning after a training event.

⁷ Donald Kirkpatrick was Professor Emeritus at the University of Wisconsin. He first published his ideas about evaluation of training in 1959, in a series of articles in the *Journal of American Society of Training Directors*. He has subsequently written other significant works about training and evaluation. A brief summary of the model is available at <http://www.kirkpatrickpartners.com/OurPhilosophy/tabid/66/Default.aspx>.

WATER FOR AFRICAN CITIES: MONITORING, EVALUATING AND LESSONS LEARNED

There were planned monitoring and evaluations throughout the WAC training programme. The first evaluation occurred at the end of cycle one and results were addressed in combination with the results of the monitoring of trainees' challenges and successes during the inter-cycle period. Information gathered was used to modify cycle two for maximum benefit to trainees. The final evaluation found the Cascade Approach to be effective and determined it should be replicated. Trainees were creating positive impacts in water management within their city. An example in Lusaka was a community-based groundwater strategy to protect and prevent contamination of the city's main water supply, while also improving community health. In Addis Ababa the creation of a leakage control programme and pressure regulation system reduced the amount of wasted and unaccounted for water. Key lessons learned include: the implementation phase being in sync with the budget cycle, enabling funding to be allocated; placing future emphasis on training junior level staff to avoid the high rate of senior and middle level staff turnover; and, clearer definitions of roles and responsibilities outlined in contracts between UN-Habitat, UNESCO-IHE, and the regional training centres. Furthermore, the Cascade Approach should include identifying and equipping Change Agents with specific skills and space within their organizations to effect greater change.

GLOBAL LAND TOOL NETWORK: MONITORING, EVALUATION AND LESSONS LEARNED

Monitoring occurred each day with a simple feedback form and through daily exercises including input discussions with trainees. It is clear that the training was relevant and well accepted, with trainees actively engaged in a highly sensitive issue, corruption. An event evaluation form designed by UN-Habitat's Capacity Development unit was used to evaluate the training programme. Sessions and logistics were measured with an elaborate grading system, open-ended questions were asked which provided further insight for future Transparency in Land Administration training, and individuals were asked for their feedback. Overall the evaluation determined that the training programme was very effective with its focus on developing, supporting and following up with local Change Agents. Positive feedback included the opportunity to learn who the trainees' counterparts in neighbouring countries were, providing a space for dialogue between government officials and civil society leaders, and educating trainees that the role of corruption reduction was not limited to judiciary, law enforcement and anti-corruption agencies but that land administrators and others could play leading roles as well. **A key lesson learned was that the training would have benefited by inviting additional politicians as trainees.** While there was much support and strong results with the use of Change Agents, it is obvious that addressing structural change within land management systems would require much more attention and specific training at organizational and institutional levels.

This would apply for example to all of UN Habitat's regional training activities. Both factors result in the need for sophisticated, time consuming tools, which mean a lot of resources are necessary to get clear information about the impact of training.

UN-Habitat follows a standard practice of getting daily feedback from participants, and then conducting some form of evaluation at the end of the event. Those activities address levels one and two, but provide very little information about the overall effectiveness and impact of the training. If the original training investment was not large it is acceptable to monitor and evaluate only at those levels. In other cases, for example if the training represents a large investment of resources or is the pilot of a major new tool or approach, then the usefulness of the information to be gained from monitoring and evaluation at levels three and four would possibly justify the costs. An example of an attempt to assess impact is the '*web of institutionalization*' tool developed by the Capacity Development unit to help them assess transfer of learning. The tool produced some very interesting results, but it proved to be too complex to be practical for frequent use.

Many agencies and disciplines are trying to find effective ways to evaluate and assess the impact of capacity development processes. This is difficult because the impact of the capacity development processes, as all other projects, can also be affected by numerous external variables, often making it difficult to evaluate the result of a singular project. As mentioned with the Kirkpatrick Model, evaluating level 4, or impact, is difficult for numerous reasons; however, this does not mean that projects or programmes do not have an impact.

Another tool used to assess the impact of a programme, particularly by looking at the change in behaviours, attitudes and activities instead of assessing the result of a program, is a tool called *Outcome Mapping*. This has been researched extensively by the International Development Research Centre and has been applied to many projects. It has proven useful to many organizations which struggled to measure the extent of their organization, their programme, and trainings' impact. Since this tool looks at the holistic perspective, when used correctly, it can also be an effective way to monitor changed behaviours at individual and organizational levels within complex urban contexts.

Many agencies and donors, including UN-Habitat, are now using the Results Based Management framework; a tool which builds on a series of goals resulting in a specific objective and desired impact. Using the Framework requires a thorough understanding of the results to be achieved, and accountability to achieving each of the projects' pre-set results. A specific focus is on determining what the short, medium, and long-term goals and objectives of the project will be. With this knowledge, inputs and activities are carefully designed to result in the desired outputs and outcomes. Understanding the results desired, and being accountable to achieving the results, requires careful planning or the specified goals and objectives will not be met. Through a process of careful monitoring, to ensure that each input and activity achieves the desired output and outcome, the logical flow of how an impact can be created becomes clear with each step of the project. Evaluating a project against pre-set objectives generally means that much more time and attention is spent ensuring that each step of the way achieves the desired result, making the objective achievable, and thus impact, possible.

While the Framework may provide additional motivation for properly conducted assessments, programme design, delivery, follow-up, and evaluations, it is not always effective in complex situations where the final results cannot necessarily be pre-planned or predicted. Each programme must be designed and managed in a style that reflects the context. Programmes in urban centres will benefit from an understanding of both Results Based Management and complexity or systems theory, in which it is understood that everything is related. UN-Habitat has to demonstrate that their results continue to be achieved due to a thorough and holistic understanding of its complex working context: growing and changing urban centres. Nonetheless, UN-Habitat must continue, along with a number of agencies, to apply Results Based Management formats to capacity development practices in order to ensure that short and medium-term outputs and outcomes contribute towards sustainable long-term capacity goals.



Learning for improved organizational performance

As noted above UN-Habitat performance needs to be 'smart' in order to ensure maximum impact with limited resources. It is also a recognised fact that being at the cutting edge of effective practice in complexity requires constant learning. Evaluations, being done for other purposes, rarely capture important learning, so learning from experience needs specific attention over and above evaluation processes. Thus the wealth of experience and substantive knowledge within the agency is not yet being captured in a systematic way and organizational learning remains fragmented and largely unacknowledged. Introducing systems to facilitate embedding and sharing agency-wide learning could help to improve performance in multiple ways.

Learning can happen at two key levels. The first is the level of individual activities or projects in order to consolidate learning from implementation as a way of improving operational performance. This type of learning can be done by the people actually involved in the activity or project, and the timing might simply involve sitting down together for an hour at the end of an activity to jointly reflect and identify their learning. Some UN-Habitat processes include regularly conducting short reflection exercises during project implementation to identify emerging issues and learning by looking at the strengths and weaknesses of the work done so far. These short reflections are later used as the foundation for more comprehensive learning exercises. For bigger initiatives it might mean organising something like a half-day workshop after all the project activities have been completed. The 'Best Practice' seminars the Capacity Development unit built into the follow-up for Participatory Budgeting and Gender Mainstreaming training for municipalities in three African countries is a good example of this type of learning activity.

WATER FOR AFRICAN CITIES: PERFORMANCE RESULTS

As a result of the Cascade Approach to training, professionals returned to their work places, implemented their action plans and experienced positive changes in urban water management. All cities reported awareness levels increasing and the amount of Unaccounted For Water decreasing. Additional results found as a direct result from the Cascade Approach and Action Plans were: an improved revenue and billing system in both Addis Ababa and Nairobi; implementation of water education classrooms in Addis Ababa; over 20,000 trees planted in Addis Ababa part of a reforestation programme to improve water catchment systems; waste disposal sites for solid and liquid waste identified in Addis Ababa and Accra; establishment of the multi-stakeholder Densu River Board in Accra; identification of Public Private Partnerships as potential resources for the WAC initiatives in Lusaka; and, informal settlements in both Lusaka and Nairobi experienced an increased supply of water due to WAC's efforts in addressing pro-poor issues. These results occurred because WAC's Cascade Approach focused not only on training, but specifically on how trainees, as individuals and organizations, would implement their newly gained knowledge.

GLOBAL LAND TOOL NETWORK: RESULTS

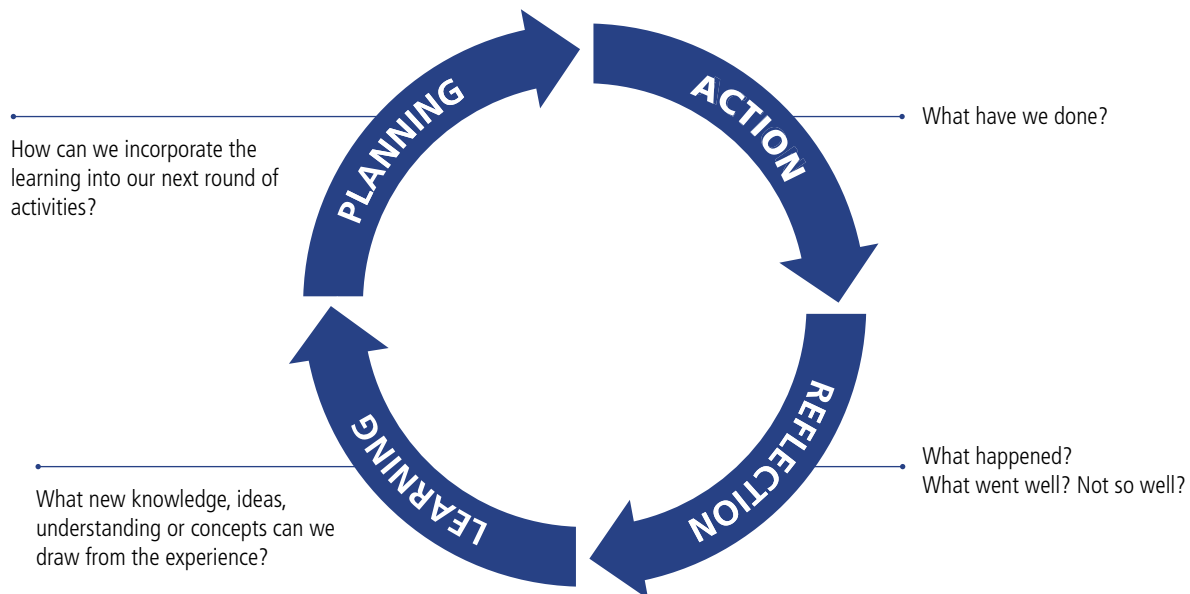
The Transparency in Land Administration training programme had many direct results as Change Agents successfully adapted their country action plans. In Lagos, Nigeria trainees held a workshop where over 120 professionals learned about transparent land administration. This workshop was adopted as a Mandatory Continuous Professional Development course, and was accompanied by demand to write a position paper on transparency and anti-corruption conduct. A similar training programme occurred for surveyors in Malawi, and Senegal's Mediator of the Republic requested transparency training for public and civil society officials. Ardhi University designed a comparable course in Tanzania. In Sierra Leone changes began to make transparency the centre of the land information system. National media was used by a trainee in Namibia to inform the greater public about how to navigate Namibia's land issues using key concepts and tools learned in the training programme. Furthermore, academics had committed to incorporating elements of the training in their courses and did so, thus educating future land administrators. The Transparency in Land Administration training programme was recommended and has been replicated in other regions after hosting their own context-specific expert group meeting, emphasizing the importance of cultural context in land issues and case studies, etc.

The second level is that of aggregated activities in order to identify emerging trends and issues for strategic responses. This might involve a branch review of all activities completed in the preceding year, or the members of a partnership coming together to review and reflect on how they have collaborated together to conduct different activities over time. Adopting and integrating such learning practices into UN-Habitat's ways of working would contribute to the quality and effectiveness of performance in many areas of work.

The Action Learning Cycle

The action learning cycle is a popular tool because its basic form can be adapted and applied to many different levels and needs. At its simplest, using the basic questions in the diagram below, it can be used as a 'quick and dirty' review of a short activity. With more time allowed and questions adapted to reflect different considerations the action learning cycle can be used for all levels of need and complexity, up to and including deep analytical assessment of multi-dimensional operations.

FIGURE 6: The action learning cycle





Checklist for Training Project Design

Questions	Yes/No
<p>Assessment</p> <ul style="list-style-type: none"> • Have you conducted comprehensive assessments, involving key stakeholders? • Does the assessment provide: <ul style="list-style-type: none"> - Analysis of capacity needs at organizational/sector level? - Specification of who is best placed to meet organizational capacity goals? - The present capacity of those to be trained? - Analysis of the most appropriate approaches to training for capacity development in this culture and context? - Understanding of the relevance of cross-cutting issues such as gender? - Analysis of factors that will supports or block transfer of learning? 	
<p>Design</p> <ul style="list-style-type: none"> • Have you identified and collaborated with appropriate partners to ensure maximum impact from the training activities? • Have you established capacity goals and related learning objectives? • Can you justify training as the best method of achieving the goals and learning objectives? • Will the process and content ensure that participants contribute to the achievement of broader development goals? • Are participatory methods or practical exercises necessary in order to achieve sustainable learning? • Can any of the goals and objectives be achieved by distance or e-learning? 	

Questions	Yes/No
<ul style="list-style-type: none"> • Have you built follow-up activities into the design? • Is the delivery time frame appropriate for the needs? • Have you identified and challenged the assumptions informing your choices? • Have you reviewed decisions about the choice of approach with the key stakeholders? 	
Delivery <ul style="list-style-type: none"> • Did you work with local experts/trainers/institutes to ensure the relevance of your content and process? • Have you involved participants' managers in advance of the training in order to get their support for transfer of learning? • Are your activities appropriately gender sensitive? • Do you have your process planned and content materials prepared before delivery starts? • Do you have in place all the resources, systems and procedures needed to support activities and follow-up so that participants will be able to transfer learning? 	
Monitoring and evaluation <ul style="list-style-type: none"> • Have you built monitoring and evaluation activities into all steps of your training project? • Do you have mechanisms for changing the content and process in response to participant feedback during delivery? • Have you identified indicators for enhanced performance at different levels of capacity – individual, organizational and sector? 	



APPENDIX 1: Assessment Tools & Resources

For information on the importance of effective training assessment, [please see page 18](#).

1.1 Five Whys

What is it?

This is a process of asking five times, why the problem exists. Think of the problem from different perspectives, and gather all the information you can to determine what the root of the problem is.

When to use it?

Use this tool to determine if training is the most effective approach to solving the problem. It will determine existing knowledge of the problem, and what needs to be further researched.

How to use it?

Ask why the problem exists, five different times in five different ways. Each answer leads to a new question so that the questions build successively on the answers to the previous question.

In the example below, the Five Whys tool is being used to help determine why a certain population is increasingly ill.

1. Ask a question to identify the initial problem.

Question: Why is the population increasingly ill?

Answer: ... *Because they are drinking unclean water*



2. Use this answer to build your next question.

Question: *Why are they drinking unclean water?*

Answer: ... *Because they are drinking from the same pond as their livestock.*



3. Use this answer to build your next question.

Question: Why are they drinking from the pond?

Answer: ... *Because the borehole is not accessible.*



4. Use this answer to build your next question.

Question: Why is the borehole not accessible?

Continue until you have discovered the root of the problem.

Go into as much detail as necessary.

1.2 Problem Tree Analysis

What is it?

A Problem Tree Analysis illustrates the linkages between a series of problems. It is used to understand the underlying problems and identify key areas to address the problem.

When to use it?

This tool should be conducted before designing a project or conducting training. When an issue or problem is presented, the analysis will help better understand the context, potential problem areas to address, and how addressing specified problem areas will contribute to reducing the root cause of the problem and its effects. Remember, the best method may be approaches other than training, such as supporting community-developed and led solutions.

How to use it?

Creating a Problem Tree Analysis is like solving a puzzle. Use the following key steps as guidelines to conduct an effective Problem Tree Analysis.

1. Determining the Problem-Areas

Mark down all related problems. It is important to be inclusive across various sectors as many problems can be cross-cutting and are often related. Do this over some time to ensure that all key pieces of information are marked. Work with others; the more perspectives the better.

2. Classify Each Problem

It is important to determine what the root cause of the problem is and which factors can be addressed. Problems can be classified three ways: Environment, Causes, and Effects.

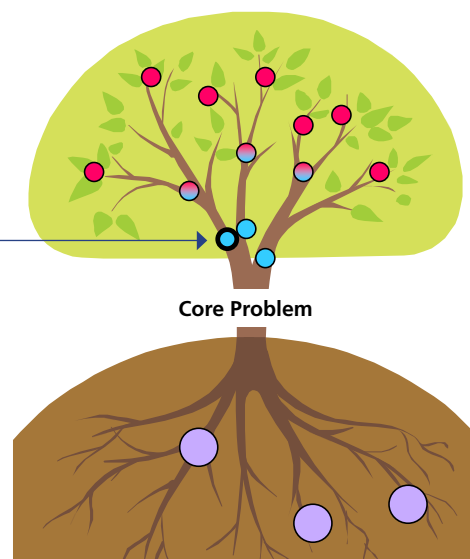
3. Arranging the Problem Tree

Arrange the Problem Tree to make the most sense with environmental factors at the bottom, causes in the middle and effects at the top. To determine the Core Problem, ask which problem is a result of the environment, yet affects all causes?

4. Determining How & Where to Address the Problem

Identify key problem areas that the organization can best address. Ask the following questions:

- How can this organization reduce the problems and their effects?
- Is training the best method or most appropriate method?
- What other activities can be taken reduce the problem?
- Which problems do this organization's strengths relate to?
- Which problems can this organization effectively address?
- Is it certain that this organization's strengths will produce positive impacts?
- What are the assumptions and risks involved?



Visualizing the Classification of Problems

Effects

- Exist as a result of the causes.
- Some effects are also causes, influencing or affecting further problems. Ex. Unclean drinking water.

Causes

- These cause other problems to exist, and often directly correlate to the environment. Ex. Poor infrastructure.

Environment

- Underlying factors that are beyond control and cannot change. Ex. Political conflict, poverty, colonial legacy.

1.3 SWOT Analysis

What is it?

Useful to screen the context surrounding the problem, the SWOT Analysis can help determine whether or not training can solve the issue. This tool determines the internal Strengths and Weaknesses of an organization, while analyzing external Opportunities and Threats effecting the organization. This information is used to understand how these factors play a role in the way the organization performs.

When to use it?

When presented with a problem or training opportunity, conduct a SWOT Analysis to understand the context surrounding the organization and how to respond. The knowledge gathered will enable trainers to make appropriate decisions that will build upon the strengths and opportunities of trainees, while addressing their weaknesses and focusing on their ability to perform in light of the threats they face. Most importantly, the SWOT Analysis will help determine whether or not training will solve the problem at all.

How to use it?

Work through the key questions in the diagram below to make sure all the necessary information is collected to produce an effective training strategy. Ask additional questions as needed.

SWOT ANALYSIS

Strengths

- What do the trainees already know?
- What do the trainees do well?
- What unique resources are available?

Ex. Trainee's organization has:

- Good internal communication
- Respect in the field
- Many local partners

Weaknesses

- What could trainees improve?
- Where do trainees have fewest resources?
- What do the trainees see as weaknesses?

Ex. Trainee's organization has:

- Irregular annual funding
- Lack of resources
- Few personnel

Internal

Characteristics of the Organization

Opportunities

- What good opportunities are open to the organization?
- What trends can the organization become involved in?
- How can the organization's and trainees' strengths be turned into opportunities?

Ex. The Organization can:

- Meet new potential partners
- Meet new potential donors

Threats

- What trends could harm the organization?
- What is the competition or other organizations doing?
- What threats do the organization's weaknesses expose it to?

Ex. The Organization may face:

- Security threats
- Increasing cost of operation
- Changing donor preferences

External

Characteristics of the Environment

Positive Effect

Towards achieving the objective.

Negative Effect

Towards achieving the objective.

Additional Assessment Tools and Resources

Five Whys

Asian Development Bank

- Knowledge Solutions: <http://www.adb.org/Documents/Information/Knowledge-Solutions/The-Five-Whys-Technique.pdf>

Mind Tools: Essential Skills for an Excellent Career

- Five Whys: Quickly getting to the root of the problem: http://www.mindtools.com/pages/article/newTMC_5W.htm

Six Sigma: Quality Resources for Achieving Six Sigma Results

- Determine the Root Cause: 5 Whys: http://www.isixsigma.com/index.php?option=com_k2&view=item&id=1308:determine-the-root-cause-5-whys&Itemid=200

JISC InfoNet: Good Practice and Innovation

- Tools & Techniques: 5 Whys: <http://www.jiscinfonet.ac.uk/tools/five-whys>

SWOT Analysis

Overseas Development Institution (ODI): Research and Policy in Development

- Context Assessment: SWOT Analysis: <http://www.odi.org.uk/resources/details.asp?id=5876&title=swot-analysis-context-mapping>

Mind Tools: Essential Skills for an Excellent Career

- SWOT Analysis: Discover new opportunities. Manage and eliminate threats: http://www.mindtools.com/pages/article/newTMC_05.htm

JISC InfoNet: Good Practice and Innovation

- Tools & Techniques: PESTLE and SWOT Analysis: <http://www.jiscinfonet.ac.uk/tools/pestle-swot>

Problem Tree Analysis

Overseas Development Institution (ODI): Research and Policy in Development

- Planning Tools: Problem Tree Analysis: <http://www.odi.org.uk/resources/details.asp?id=5258&title=problem-tree-analysis>
- Research and Policy in Development: http://www.cpc.unc.edu/measure/training/materials/basic-me-concepts-portuguese/problem_tree.pdf

Additional Assessment Tools

I-TECH Training Toolkit

- Training Needs Assessment: <http://www.go2itech.org/HTML/TT06/toolkit/assessment/index.html>



APPENDIX 2: Design Tools & Resources

For information on the importance of effective training design, [please see page 20](#).

2.1 Objective Tree

What is it?

The Objective Tree is a series of objectives that build upon each other towards meeting the single overall objective of the training.

When to use it?

Use the Objective Tree when planning how to design the training programme. It will help trainers determine how to reach the ultimate objective of the training programme through a process of smaller, more tangible objectives.

How to use it?

Follow the below example to determine the impact your training will have, and what activities are necessary to achieve them.

Overall Objective (Impact)*

What is the impact of the training?

Ex. To increase trainees knowledge on the key issues and improve their ability to apply the new knowledge into their workplace.

***Remember, there it is very difficult to prove and measure the impact of training because the ability to apply training and lessons learned will be effected by other positive and negative variables.**

Immediate/Learning Objective (Outcome)

What is the outcome of the training?

Ex. Trainees produce plans to apply their new learning to their workplace.

Specific Objective (Output)

What will the training do?

Ex. Trainees knowledge of the key issues will increase.

Specific Objective (Output)

What will the training do?

Ex. Trainees learn how to use specific tools.

Start here!

Read the chart from the bottom to the top.

2.2 Results Chain

What is it?

Similar to the Objective Tree, the Results Chain is about determining the specific training actions required to meet the objectives of the training.

When to use it?

Use the Results Chain when designing the training programme. This tool will help determine how each step contributes to achieving the desired impact on trainees.

How to use it?

Follow the below example to determine the impact training will have, and what activities are necessary to achieve them.

IMPACT*

Example:

There is increased awareness and improvement in the way the trainees' organization works.

****Remember, there it is very difficult to prove and measure the impact of training because the ability to apply training and lessons learned will be effected by other positive and negative variables.***

OUTCOME (Learning Objective)

Example:

Trainees are effectively applying the lessons learned to their workplace.

OUTPUTS

Example:

- Trainees have increased knowledge and understanding of the key issues
- Trainees have Action Plans that will enable them to effectively apply the lessons learned to their workplace.

ACTIVITIES/RESOURCES

Example:

- Educate the trainees on key issues
- Provide material to support the learning (graphs, documents, visuals, PowerPoint, etc.)
- Reinforce the lessons learned through exercises where the trainees can tangibly experience their learned activities (site visits, participant demonstrations, etc.)
- Support and encourage trainees to determine how they will apply the lessons learned (ex. trainees write an Action Plan demonstrating how they will incorporate their new learning into their workplace).

Start here!

Read the chart from the bottom to the top.

2.3 Prioritizing Matrix

What is it?

This tool helps trainers identify which topics and training activities are necessary, from those that are desirable. This is done based on the previously conducted training assessments. * Priority is given to the topics which are essential and which the trainees have the least knowledge on. Training programmes can be quite extensive and may overwhelm trainees. This tool ensures that trainers can briefly address what the goals of the training programme are, and to be able to prioritize them to the level of the trainees.

When to use it?

Use the Prioritizing Matrix when deciding which of the key topics and training activities are most important for the trainees given their current level of knowledge. This also helps prioritize in case the training programme runs out of time.

How to use it?

Use a template similar to the one below to determine which key topics and training activities are most important for the specific trainees. This can be done for the set of trainees as a group, or individually. Remember to base the use of this tool off of the previously conducted assessment.

**See the assessment tools on the above pages in order to conduct an effective assessment for this tool to build upon.*

Sample Priority Matrix

Key Discussion Topic	Training Activity	Existing Knowledge Level (Low - Medium -High)	Essential	Desirable	Prioritization
What is Land Readjustment?	Draw what "land readjustment" is without using words. Explain someone else's drawing.	Medium	?		3
When do you use Land Readjustment?	Facilitate an open discussion.	Low	?		1
Who are the Stakeholders and Why are they Important?	Break-out sessions into branches; define who the stakeholders are, and the importance of consulting them.	Low	?		2
Question and Answers	Facilitate questions and discussions throughout.	N/A	?		(Throughout)
Shared Experiences	Invite trainees to share their related experiences. Facilitate sharing.	High		?	4

Additional Design Tools and Resources

Objective Tree

Naukribub

- Training Design: <http://traininganddevelopment.naukrihub.com/training-design.html>
- See the **Problem Tree Analysis** in the Additional Assessment Tools and Resources on page #.

Priority Matrix

(check the similar Urgent/Important Matrix)

JISC InfoNet: Good Practice and Innovation

- Tools & Techniques: Prioritisation Matrix: <http://www.jiscinfonet.ac.uk/tools/prioritisation-matrix>

Mind Tools: Essential Skills for an Excellent Career

- Prioritization: Making the Best Use of Your Time and Resources: http://www.mindtools.com/pages/article/newHTE_92.htm

Simulation

Competitive Edge Group Pty Ltd: Work Transformation Learning Solutions.

- Simulation Training: http://www.competitiveedgegroup.com.au/html/simulation_training.html

Mind Tools: Essential Skills for an Excellent Career

- InBox/In-Tray Assessment: Uncovering How an Employee Will Perform on the Job: http://www.mindtools.com/pages/article/newTMM_75.htm

Additional Design Tools

General

I-TECH Training Toolkit

- Training Design: <http://www.go2itech.org/HTML/TT06/toolkit/design/index.html>
- Training Development: <http://www.go2itech.org/HTML/TT06/toolkit/development/index.html>

Urgent/Important Matrix

(similar to the Prioritization Matrix)

Mind Tools: Essential Skills for an Excellent Career

- The Urgent/Important Matrix: Using Time Effectively, Not Just Efficiently: http://www.mindtools.com/pages/article/newHTE_91.htm
- Prioritization: Making the Best Use of Your Time and Resources: http://www.mindtools.com/pages/article/newHTE_92.htm

Improvement Network:

- <http://www.improvementnetwork.gov.uk/impl/aio/11282>

JISC InfoNet: Good Practice and Innovation

- Tools & Techniques: Urgent/Important Matrix <http://www.jiscinfonet.ac.uk/tools/urgent-important-matrix>



APPENDIX 3: Delivery Tools & Resources

For information on the importance of effective training delivery, [please see page 27](#).

While the design and delivery for training programmes may seem inherently linked, it is important to recognize them for their differences. Delivering a training programme well will have weak results if the training programme is not designed well.

3.1 Active Learning

What is it?

Active Learning is a tool that stimulates the individuals' brains as well as their bodies. Encouraging trainees to be active in their learning of the lessons will provide a way for them to clearer understand the key topics and how to apply them.

When to use it?

Use Active Learning when the comprehension of a lesson and how to apply the lesson to the trainees' workplace should be understood in depth. This tool is best used when the number of trainees will not exceed the ability of the trainer to facilitate, control and keep the activity focused.

How to use it?

Active Learning must relate directly to aiding the trainees in understanding a key concept or in applying the key concepts to their workplace. A variety of methods that stimulate the brain and body can be used.

Some examples of Active Learning are listed below:

- having trainees engaged in role play or in a simulation.
- putting trainees into small group discussions and having a representative present their findings to the reconvened whole.
- having trainees practice a specific task (often useful for technical training).
- conducting site visits.
- having trainees participate on job shadows or apprenticeships.
- conducting learning games.

An Example: Aiding trainees in applying their new knowledge through Role Play.

1. Distribute roles representing typical positions found in a workplace to each trainee (supervisor, co-worker, subordinate, etc). Make sure that each role includes a personality type or character traits (optimistic, pessimistic, eager for new change, likes it the way it is, set in their ways, etc).
2. Present the context. Consider the following examples: 1) The trainee returns to work and wants to apply their new knowledge but their co-worker is against it; 2) The trainee applies their new learning and while one supervisor likes it better, the other does not.
3. Have trainees find ways to explain what they learned at the training, why it is important, and how it can benefit their workplace.

3.2 Coaching and Mentoring

What is it?

This is a flexible process where time is spent one on one with the trainee, often at their workplace. This may occur numerous times over a week, month, numerous months, etc. This tool can be very effective in both the short-term and the long-term. Spending focused time allows for the trainee's individual needs to be addressed and understood. This enables the trainer to modify examples and priorities to the trainee's situation, thus includes some built in monitoring and follow-up processes.

When to use it?

Use this tool when individuals require specific training that will greatly influence their work or way they handle situations, in either the short or long-term.

How to use it?

Meet with the trainee numerous times, at their workplace if possible, to best understand their situation. Work with the trainee to determine what competencies and skills should to be developed and how they can apply these to their career.

Successful Coaching and Mentoring starts by asking the right questions.

It is important to understand who the trainee is, where they are, and where they want to be. Work with them to determine a realistic goal, and what capacities to develop in order to get them to their goal/ideal position.

Ask questions such as:

- What is it that you really want to be and do? What is your goal/ideal position?
- What are your strengths?
- What are you doing well that is helping you reach your goal?
- What are your weaknesses?
- What are you not doing well, that is preventing you from reaching your goal?
- What is your motivation to reach this goal?
- What can you do differently, to help you reach that goal?
- What will you do differently in the next month?
- How can I, as a coach/mentor, be of greatest assistance to you, in helping you meet that goal?

Sometimes it may be necessary to modify advice depending on how the trainees' context may change or be affected by external factors. Remember to follow-up and ask many questions to see how the trainee is doing, and to encourage them every step of the way. Schedule the next appointment with your trainee before concluding each meeting. Establish specific things for the trainee to work on in the interim period.

3.3 Exposure Visit

What is it?

Also known as a site visit, exposure visits are great way of having trainees learn from what others are doing in similar situations. They are influential tools that effectively facilitate a transfer of learning through demonstrating shared experiences and good practices.

When to use it?

Exposure visits are used during training. They are most effective when trainees will benefit from seeing how their new learning can be applied or how the application may function within a similar system.

How to use it?

To establish an effective exposure visit, use the following five key steps as guidelines.

- **1: Determine the interest and expectations of both parties**

The more each party is committed to the learning process and willing to share and learn from each other, the more effective the process will be.

- **2: Understanding expectations and objectives**

Make sure each party understands the other's objective in participating in the visit. Knowing these desires will assist in the preparation of information to be shared.

- **3: Roles and Responsibilities**

Have all parties agree ahead of time on their responsibilities, making sure that they understand what each entails. Ask many questions: What are the host and visiting parties each responsible for? Remember, site visits provide two-way learning.

- **4: Reflect on Learning**

Set aside a specific time for each party to reflect on what they learned (daily). Encourage them to share (within their respective party/organization) key learning, what surprised them, if they thought the visit was effective, and to ask questions. Deconstructing the day will help reinforce key concepts learned and provide an opportunity to further learn from each other.

- **5: Shared Learning**

Provide an opportunity for each party to share with each other how the site visit was effective for them and what they learned from the other party.

ACET Uganda (2011), Exposure Visits. Accessed from <http://www.acetug.org/services/exposure-visits.html> on 7 September 2011.

3.4 Focus Groups

What is it?

Focus Groups are learning activities that encourage an exchange of information and understanding about a central topic. They are narrow in scope and often include key concepts, examples, and case studies. The trainer encourages trainees to share their perspectives and experiences around the specific training topics and concepts.

When to use it?

Use Focus Groups when a topic needs to be understood in depth by a small number of trainees. Each trainee should be comfortable to speak.

How to use it?

Effective Focus Groups are facilitated by an individual who effectively shares while also fostering a discussion around key concepts. The trainer should encourage trainees to exchange information and keep the conversation focused. Effective focus groups include a group of trainees that are comfortable together to ensure that the trainees are comfortable enough to ask questions and share. This may mean holding multiple focus groups.

Example One:

In gender-segregated societies, to ensure effectiveness, it may be necessary to hold one Focus Group for men, and another Focus Group for women.

Example Two:

In hierarchical societies, it may be more effective to have multiple Focus Groups based on age. If so, use age categories that are reflective in the culture involved.

In some cases, it may be necessary to abide by the gender and age hierarchies involved in the local culture. This information will have been gathered in a properly conducted baseline or needs assessment. Remember, no culture is static and other factors may also be variables affecting the success of the Focus Group such as religion or social class, etc.

3.5 Participatory Methods

What is it?

Participatory Methods are inclusive and provide opportunity for everyone to be engaged in the process, sharing their ideas. By actively participating, trainees are more likely to understand and remember a training event and the lessons learned. Including practical work helps trainees visualize themselves adapting their learning into their workplace.

When to use it?

Use Participatory Methods when wanting to challenge the traditional divide between a lecturer and listeners, and when it is crucial for trainees to understand the new concepts. Trainees are more likely to understand and remember something they are physically involved in. Furthermore, if working with a group of trainees from diverse professional backgrounds, the Participatory Methods are a good way of encouraging trainees to share their perspectives and learn from each other.

How to use it?

Participatory Methods need many visuals so that everyone, including those who are illiterate or who do not know the jargon, can equally participate and share their opinions. This tool requires a trainer who can ask simple guiding questions, while allowing trainees to lead the discussion.

Participatory Methods include:

- opening the training floor for discussion.
- incorporating creativity such as artistic interpretations.
- putting trainees into small groups for discussions or artistic interpretations of the new knowledge (and having a representative present their findings to the reconvened whole).

Example: Trainee participation through incorporation of creativity.*

1. Help trainees understand the mobility and transportation issues of the city by having them dictate and point on a map where the city's mobility problems are. (Perhaps community mapping will be a good place to start – having trainees create their own city map by use of landmarks.)
2. Ask comparative questions such as "Is this area (point to a place on the map) worse or better than this area (point to another area on the map)" to determine which areas present the greatest problem.
3. Work towards an agreement with the trainees about the order of priority once all problem areas are highlighted on the map.

** Throughout this example you will see comparative questions and many visual directions (such as pointing to various objects). This is important because the Participatory Method is meant to include all people, regardless of literacy and knowledge of sector jargon, etc.*

Additional Delivery Tools and Resources

Active Learning

National Teaching and Learning Forum

- Active Learning: Creating Excitement in the Classroom: <http://www.ntlf.com/html/lib/bib/91-9dig.htm>

Coaching and Mentoring

Chartered Institute of Personnel and Development (CIPD) CIPD

- HR Topics: Coaching and Mentoring: <http://www.cipd.co.uk/hr-topics/coaching-mentoring.aspx>

Harvard Business Review

- Five Questions Every Mentor Must Ask: <http://blogs.hbr.org/tjan/2009/03/five-questions-every-mentor-mu.html>

Focus Groups

OMNI Institute

- Focus Group Toolkit: <http://www.omni.org/docs/FocusGroupToolkit.pdf>

Participatory Methods

Participatory Training

- <http://www.participatorytraining.co.uk/>

UNESCO

- Participatory Training Methodology and Materials: http://www.unesco.org/education/aladin/paldin/pdf/course01/unit_12.pdf

Additional Delivery Tools

General

I-TECH Training Toolkit

- Training Delivery: <http://www.go2itech.org/HTML/TT06/toolkit/delivery/index.html>

Action Plans

Mind Tools: Essential Skills for an Excellent Career

- Action Plans: Small Scale Planning: http://www.mindtools.com/pages/article/newHTE_04.htm

Workshops

Mind Tools: Essential Skills for an Excellent Career

- The Role of a Facilitator: Guiding an event through to a successful conclusion: <http://www.mindtools.com/pages/article/RoleofAFacilitator.htm>
- Jargon Busting: Communicating without barriers: <http://www.mindtools.com/CommSkill/JargonBusting.htm>
- Planning a Workshop: Organizing and Running a Successful Event: <http://www.mindtools.com/pages/article/PlanningAWorkshop.htm>
- Running Effective Meetings: Establishing an Objective and Sticking to It: <http://www.mindtools.com/CommSkill/RunningMeetings.htm>



APPENDIX 4: Follow-Up Tools & Resources

For information on the importance of effective training delivery, [please see page 28](#).

4.1 Follow-Up Plan

What is it?

This tool is used in conjunction with the tools used to design the training programme. It compares the expectations of each learning exercise and their specific learning lessons with its performance and what trainees actually learned.

When to use it?

Develop the Follow-Up Plan before implementing the training. Use this tool when determining if the training methods were effective and benefited the trainees, helping them meet their learning objectives.

How to use it?

When determining what exercises will be used during the training period to teach key lessons, write down the expectation of each exercise into the Follow-Up Plan. After conducting each exercise, see how it compares to what was expected. Did the exercise run smoothly? Did trainees respond positively? Did trainees remember the lesson by the end of the training? Did trainees incorporate the learning into additional elements of the training programme? How can the trainers further enhance the learning exercises?

FAO (2011), "Learning Module 3, Toolbox 6: Provide follow up support." In Good Learning Practices for Effective Capacity Development. 8 August 2011 – draft.

Please see example template on the following page.

Sample Follow-Up Plan (to be started during the Design phase)

Learning Initiative: Training for Community Entry into communities with different customs and values.		
Delivery Date: 7-April-2011		
Identified Learning Exercises		
1. Open Discussion	2. Site Visits	3. Role Play
Lessons to be Learned		
1. There are many different definitions of community entry and values, etc.	2. The many different ways of application (community entry), hence the different definitions.	3. Trying to implement some of the different techniques based on randomly drawn community characteristics, or on case studies.
Trainees Response to Learning Exercise		
1. Moderately Engaged	2. Actively Engaged, very positive feedback in the moment.	3. Most trainees were actively engaged, less than one quarter of trainees responded negatively.
What was the Culminating Activity? Trainees wrote individual Action Plans for how they could share the lessons learned into their workplace.		
Did Trainees Remember and Correctly Apply the Lessons Learned from each Learning Exercise in the Culminating Activity? Explain key strengths and weaknesses.		
How can the Learning Exercises be Further Enhanced? Explain where trainees specifically struggled and what tactics were successful in helping them understand.		
Timeframe: When Is Additional Follow-Up Provided to Trainees at Their Workplace? Follow-up at two times: 6 months and 9 months. Final evaluation: 1 year.		
Budget: Have the Appropriate Allocations Been Approved? Check for approval of division and of donors.		

4.2 Five “W” Interview

What is it?

Semi-structured Five “W” Interview is used to gather information from trainees. The individual conducting the follow-up asks trainees, one on one, to answer simple (non-leading and unbiased) questions about the effectiveness and usefulness of the training.

When to use it?

Use this tool after the training has taken place and once trainees have had a chance to being implementing the lessons learned.

How to use it?

Ask questions about the training and lessons learned using the Five “W” Interview structure. Remember that the Five “W”s are often complimented by asking “How?” Be patient and ask for honest answers.

Some example questions include:

1. **WHY** did you attend the training event?
2. Did you do learn at the training event? If yes, **WHAT** did you learn?
3. **WHEN** did you understand the lessons being taught? (The whole time/most of the time/half of the time/part of the time? During which activities?)
4. **WHO** benefited from your being trained?
5. Did you apply what you learned to your workplace? If yes, **HOW** did you apply is? Did it change the way you and/or your colleagues work?

4.3 Performance Contracts

What is it?

This tool is used to help the trainee and trainer agree upon learning objectives and specific outcomes of the training programme before it begins. It is used before conducting the training in order to develop and ensure that both parties have a common understanding of the training programme goals, each other’s expectations and responsibilities. After the training programme concludes, the trainee and trainer see if and how the training achieved its goals.

When to use it?

This tool is used before the start of the training programme, during the design phase, so that the evaluation can be based on the contract or agreement between the trainee and trainer. The second part must be done after the training programme ends.

How to use it?

Develop a contract similar to the example below, before the training begins. Have both the trainee and trainer agree to their responsibilities and the objective.

Please see example template on the following page.

Sample Performance Contract (to be started during the Design phase)

Before Conducting the Training
What does the trainee and their workplace expect the trainee to learn from the training programme?
How will the training programme improve the trainee's performance at their workplace?
Why does the trainee's participation in this training programme seem to be a good investment of time and money for their organization?
How will the trainee's participation contribute to the training programme?
Stated Agreement:
<p>I <u>(the trainer)</u> promise to do my best within the training programme and identified training themes to help the trainee attain the above stated expectations.</p> <p>Trainer Signature _____ Date _____</p>
<p>I <u>(the trainee)</u> promise to attend, participate and apply to the best of my abilities the knowledge gained in the training programme to attain the above stated expectations.</p> <p>Trainee Signature _____ Date _____</p>
After Conducting the Training
How has the trainee's specific areas of knowledge, skill, attitude and behaviour changed as a result of the training programme?
What did the trainee learn that they did not know before?
In what specific ways did the trainee's workplace benefit from the trainee's participation in the training programme?
What are the trainee's challenges to implementing their new learning, into their workplace?
In what specific way can the trainer further support the trainee?

Additional Follow-Up Tools and Resources

The 5 “W” Interview

Asian Development Bank

Knowledge Solutions: <http://www.adb.org/Documents/Information/Knowledge-Solutions/The-Five-Whys-Technique.pdf>

Additional Follow-Up Tools

I-TECH Training Toolkit

Business Training Works, INC.: Inspire-Energize-Learn

- Five Fantastic Ways to Follow-Up on Training: http://www.sswm.info/sites/default/files/reference_attachments/BUSINESS%20TRAINING%20WORKS%20ny%20Five%20Fantastic%20Ways%20to%20Follow%20Up%20on%20Training.pdf

The Masie Centre: Learning Lab and Think Tank

- Ken Blanchard – Follow-Up on the Training You Deliver! <http://www.masie.com/Attic/ken-blanchard-follow-up-on-the-training-you-deliver.htm>



APPENDIX 5: Evaluation Tools & Resources

For information on the importance of effective training evaluation, [please see page 30](#).

5.1 Post Training Evaluation Sheet

What is it?

This measures how trainees react to the training programme. This is important to learn if the trainees like the training and if they found it relevant. This is also their opportunity to provide feedback for improvements to the training programme.

When to use it?

Use this tool throughout the training programme or at the conclusion of key sessions, and when wishing to solicit the trainees' responses to the training.

How to use it?

Deliver this to the trainees upon completion of the training. Add as many trainers as necessary. Change the headings and self-assessment topics as needed so that they relate directly to the training programme. Remember to adapt the questions to the specific training event.

For example, if operating online training, or training with an online component, make sure to ask about the ease of the training. Was it difficult or easy? In which ways?

Please see template on the following page.

Sample Post Training Evaluation Sheet⁸

1. Please rate this training according to the headings and provide additional feedback in the comments section. Please circle the appropriate numbers.

RATING SCALE: 1 = LOW

3 = MEDIUM

5 = HIGH

Trainer Name(s)	Expertise					Clarity					Culturally Appropriate					Time Management					Responsiveness to Your Needs				
	1	2	3	4	5	1	2	3	4	5	1	2	3	4	5	1	2	3	4	5	1	2	3	4	5
	1	2	3	4	5	1	2	3	4	5	1	2	3	4	5	1	2	3	4	5	1	2	3	4	5
Comments:																									

2. Give some thought to what you knew before this training and what you learned during the training. Please circle the number that best represents your knowledge and skills before and after the training.

RATING SCALE: 1 = LOW

3 = MEDIUM

5 = HIGH

Before Training					Self-assessment of Knowledge and Skills Related to:	After Training				
1	2	3	4	5	Understanding of the key topics.	1	2	3	4	5
1	2	3	4	5	Application of the key topics in trainee's job and workplace.	1	2	3	4	5
1	2	3	4	5	Designing an appropriate (including proper timeline) plan to implement the key topic.	1	2	3	4	5
1	2	3	4	5	...	1	2	3	4	5
1	2	3	4	5	...	1	2	3	4	5
1	2	3	4	5	...	1	2	3	4	5

3. Was the training relevant?
4. Do you feel confident in the issues?
5. How will you apply the lessons from the training to your work?
6. What were the strengths of the training?
7. What were the weaknesses of the training?
8. How can we improve the training?
9. Was the training an appropriate length? If no, was it too long or too short?
10. What did you think of the interactive exercises?

⁸ I-TECH (2006) Training Evaluation - Forms and Questionnaires: Training Evaluation and Learning Self Assessment. Accessed from <http://www.go2itech.org/HTML/TT06/toolkit/evaluation/forms.html> on 30 September 2011.

5.2 Written/One-on-One Learning Evaluation

What is it?

This measures what trainees have learned during the training programme based on what they knew before the training started. The information can be gathered through distributed feedback forms, or through one-on-one discussions or semi-structured interviews.

When to use it?

This tool is used before the start of the training programme so that material can be adjusted based on the trainees' existing knowledge. The second part must be done after the training programme ends.

How to use it?

Meet with trainees one-on-one to conduct the discussion or semi-structured interview, or distribute a feedback form to the trainees before they leave the training programme. The feedback form should include questions similar to those below. The discussion or semi-structured interview will be based around the same questions.

1. Questions that focus on the primary course objectives.

- Develop a question that relates to the trainees' knowledge on each of the core training objectives.
- Develop additional questions directly relating to the key concepts or skills that individuals who complete this training should know.

Ex. What does the Gini coefficient measure? How does it work?

2. Develop a short test to be completed before and after the training programme.

- These tests should only reflect the most common concepts and skills covered in the course.
- It is suggested that the short test should take no longer than 15 minutes.
- Ask questions that are a combination of True/False and Multiple Choice. Not only will this make the test more interesting for the trainee, but it will provide clear feedback about whether or not the trainee knows the correct answer.
 - True/False questions provide two answers. Make sure that one is clearly correct and one is clearly false.
Ex. Which is the correct?
The Gini coefficient measures a country's inflation rate.
The Gini coefficient measures a country's inequality.
 - Multiple Choice questions can be used to demonstrate trainee's existing knowledge on details. Sometimes a context is given and detailed questions are asked in relation to the context. Remember, the majority of the information should be in the question, not the answers.

5.3 Job Shadow Performance Testing

What is it?

This tool is a test that allows the individual conducting the follow-up to determine if the trainee remembers and applies the lessons from the training into their daily life at the workplace.

When to use it?

Use this tool after the training has taken place and once trainees have had a chance to begin implementing the lessons learned.

How to use it?

Unlike written tests, the individual conducting the follow-up does not reveal what they are looking for to the trainee. Instead, they join the trainee on the job, and observe how they work. Remember to look at behaviour and for application of the lessons learned, not just whether or not the trainee understands the concepts.

Look for answers to questions such as:

- Does the trainee remember the lessons learned?
- Does the trainee apply the lessons learned from the training programme into their workforce?
- Has the trainee shared about the lessons learned from the training programme to colleagues?
- If the trainee wrote an action plan, has the action plan been implemented? If so, has it been successful? If not, has the trainee modified it, or given up on the concepts?

5.4 Post Training Organizational Change Assessment

What is it?

This tool is designed to specifically determine if trainees were able to adopt the learning from the training into to their workplace. It asks the trainee (and their co-workers) a series of detailed questions to determine how implementing these changes have affected the workplace.

When to use it?

Use this tool after the training has taken place and once trainees have had a chance to begin implementing the lessons from the training.

How to use it?

Meet with the trainee and ask specific questions to determine whether or not they adopted the lessons from the training. Focus on what aspects were adopted, how they were specifically implemented, and what the results of the implementation were. It may be useful to discuss this with the trainees' co-workers as well. This can be done with individuals independently or as a group.

Ask questions such as:

Have you been able to adopt any lessons from the training?

If NO...

- Why not?
- Was the training unclear?
- Did you try to implement changes?
- How did your managers/co-workers/organization's partners respond to the new idea or attempt to implement changes?
- How would you improve the training?

If YES...

- Which lessons?
- How did you implement them?
- How did your managers, co-workers, clients and organization's partners respond?
- What has the effect been? Are there specific results?
- Would you have implemented things differently?
- Is there any advice or changes you will make?
- How would you improve the training?

REMEMBER

Ask questions specifically relating to the training and to the organization's workplace.

Example:

- Do your co-workers understand why coordinating with the utility sector may be a good idea?
Do they understand the benefit it may have to the organization?
- What has been your experience using the new approach to urban planning?
What do your co-workers and clients think?

Additional Evaluation Tools and Resources

Outcome Mapping

Overseas Development Institution (ODI): Research and Policy in Development

- http://www.odi.org.uk/rapid/tools/toolkits/Outcome_Mapping/Index.html

International Development and Research Committee (IDRC)

- Outcome Mapping: Various documents about IDRC's Outcome Mapping model are available at: http://web.idrc.ca/en/ev-26586-201-1-DO_TOPIC.html
- Outcome Mapping: Building Learning and Reflections into Development Programs. <http://web.idrc.ca/openbooks/959-3/>

Additional Monitoring and Evaluation Techniques

I-TECH

- Training Evaluation: <http://www.go2itech.org/HTML/TT06/toolkit/evaluation/index.html>

International Development and Research Committee (IDRC)

- Evaluation: www.idrc.ca/en/ev-26266-201-1-DO_TOPIC.html. This webpage provides access to publications, programmes, methodologies, tools and links related to IDRC's work on evaluation.

International NGO Training and Research Centre (INTRAC)

- The below listed articles can be found at this website: <http://www.intrac.org/>
 - Simister, Nigel 2010. *Monitoring and Evaluating Capacity Building: Is it really that difficult?*
 - James, Rick 2009. *Just do it. Dealing with the Dilemmas in Monitoring and Evaluating Capacity Building*
 - James, Rick 2009. *'Quick and Dirty' Evaluation of Capacity Building Using Participatory Exercises*. Oxford: INTRAC.

UNDP Capacity Development Group:

- Capacity Development: <http://www.undp.org/capacity/>
- 2010. *Defining and Measuring Capacity Development Results*: <http://www.beta.undp.org/undp/en/home/librarypage/capacity-building/undp-defining-and-measuring-capacity-development-results---one-page-summary.html>

World Bank: Working for a World Free of Poverty

- Capacity Development Resource Centre: <http://web.worldbank.org/WBSITE/EXTERNAL/TOPICS/EXTCDRC/0,,menuPK:64169181~pagePK:64169192~piPK:64169180~theSitePK:489952,00.html>
- 2010. World Bank Institute *Capacity Development and Results Framework: Resource to Guide the Assessment, Design, Monitoring, and Management of Capacity Development Efforts*: http://siteresources.worldbank.org/EXTCDRC/Resources/CDRF_Paper.pdf?resourceurlname=CDRF_Paper.pdf
- Independent Evaluation Group website has a section with materials on M&E of training, available at <http://web.worldbank.org/WBSITE/EXTERNAL/EXTOED/EXTEVACAPDEV/0,,menuPK:4585748~pagePK:64829575~piPK:64829612~theSitePK:4585673,00.html>

Training for better cities is a UN-Habitat practice note exploring the role of training in capacity development. While training continues to be a frequent activity it has over the last years become evident that these investments often are not very effective in increasing the capacities of the individuals, organizations, networks, and institutions who are recipients of training. This practice note will guide UN-Habitat, and other agencies that engage in training, to better and more effective training practices. It is taking cutting edge theory in training for capacity development and making it practical; providing best practices, tools and resources to support implementation. Moreover, this practice note is recognizing the limitations of training and presenting other options for development of capacities related to sustainable urban development.

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