SWP Institutional Capacity Assessment Template

BACKGROUND INFORMATION

Name of Institution:

Address of Institution:

Institution Type:

1. Identify or assign key individuals responsible for guiding water security institutional improvement

Name and contact information for individuals responsible for guiding water security institutional capacity improvement:

Name:

Title:

Phone Number:

Email:

2. Determine areas for capacity development in collaboration with identified staff and based on mandate and anticipated SWP assistance

Working with the identified contact person, select 2-5 sub-functions that will be areas for water security capacity development. Alternately, you may identify additional areas not listed in the table.

WATER GOVERNANCE FUNCTION	SUB-FUNCTION
Organization	Clarifying Roles and Responsibiliites
	Ensuring internal and external Coordination
	Raising Public and Political Awareness
	Communicating with water users (notably customers or members when relevant)
	Securing, Managing, and Allocating Funding
	Developing Staff Capacity on Technical Water Issues
	Improving Leadership and Management Skills
	Financial Management
	Other:
Planning	Collecting, Managing, and Using Data
	Projecting Future Supply and Demand
	Designing Long-Term Strategies
	Developing Climate-Sensitive Scenario Assessments
	Developing Planning and Management Tools for Decision-Making
	Other:

WATER GOVERNANCE FUNCTION	SUB-FUNCTION
Allocation	Awarding and Recording Water Rights and Responsibilities
	Establishing Rights Transfer Mechanisms
	Developing Cost and Fee Collection Mechanisms
	Adjudicating Disputes
	Assessing Third Party Impacts
	Other:
Management	Constructing, Operating, and Maintaining Public Water Infrastructure
	Forecasting Seasonal Supply and Demand
	Integrating Climate Risks into Management
	Forecasting and Mitigating Impacts from Floods, Droughts, and other water-related events
	Ensuring Water Source and Ecosystem Protection
	Enforcing Fee Collection
	Other:
Regulation	Authorizing Private Infrastructure
	Issuing and Monitoring Operating Concessions
	Monitoring and Enforcing Water Service Standards
	Regulating Quality
	Other:
Other	Other:
	Other:

3. Determine the objective(s) or desired end result of capacity development process

Working with the identified contact person, determine objectives or desired end result of capacity development process. Below are illustrative options, but the organization should not feel limited to only these aspects of improvement. When determining objectives, consider the amount of time SWP will work with the organization, and the financial and human resources available. Objectives should be ambitious but reasonable.

WATER GOVERNANCE FUNCTION	SUB-FUNCTION & ILLUSTRATIVE OBJECTIVES
Organization	Developing Organizational Structure:
	Adequate legal framework to organize, fund, and empower water governance
	Other:
	Establishing Roles and Responsibilities:
	Organizational mandates clearly defined within agencies and between national/regional/local offices
	Staff have clearly defined roles and responsibilities, and annual goals/targets
	Other:

WATER GOVERNANCE FUNCTION	SUB-FUNCTION & ILLUSTRATIVE OBJECTIVES
Organization	**Facilitating Coordination/Integration:** Awareness and explicit coordination with other water agencies to enhance efficiencies and reduce duplication Other: **Raising Public and Political Awareness:** Reports prepared and disseminated to public or stakeholders Other: **Securing, Managing, and Allocating Funding:** Funding defined and budget information accessible Other: **Workforce Capacity on Technical Water Issues:** Staff have skills to fulfill their responsibilities Other: **Improving Leadership and Management Skills:** Institution leadership has management skills to lead the institution Other:
Planning	**Collecting, Managing, and Using Data:** Regular data collection, data publicly available, Other: **Projecting Future Supply and Demand:** Adequate information available for projections Projections made and disseminated Other: **Designing Long-Term Strategies:** National/Regional/Local plans completed Plans include flood, drought, water quality, ecosystem protection, environmental flows Plans include input/hearings from public (especially marginalized groups) Plans have adequate monitoring; Other: **Developing Climate-Sensitive Scenario Assessments:** Plans developed that explicitly consider climate risks and vulnerabilities into consideration Other: **Developing Planning and Management Tools for Decision-Making:** Plans available to stakeholders for use Other:

WATER GOVERNANCE FUNCTION	SUB-FUNCTION & ILLUSTRATIVE OBJECTIVES

Allocation

Awarding and Recording Water Rights and Responsibilities:

Rights clearly defined; clear processes for awarding and enforcing rights;
Rights records available
Water use groups can bid
Other:

- -

Establishing Rights Transfer Mechanisms:

Processes and responsibilities defined for transfer mechanisms
Other:

- -

Developing Cost and Fee Collection Mechanisms:

Tariffs developed to reflect allocations
Other:

- -

Adjudicating Disputes:

Processes transparent and publicly presented
Penalties are clear and fair
Rights are equally applied
Other:

- -

Assessing Third Party Impacts:

Impacts for marginalized groups assessed
Ecosystems impacts are assessed
Other:

Management

Constructing, Operating, and Maintaining Public Water Infrastructure:

Clear roles and responsibilities to manage with adequate capacity to do so
O&M policies and reports established
Water users can build and operate small-scale infrastructure
Budget management systems established
Other:

- -

Forecasting Seasonal Supply and Demand:

Forecasts communicated
Water users involved in communicating allocation demands and communicate when actual allocations don't align with forecast
Allocations adjusted for needs and weather
Other:

- -

Integrating Climate Risks into Management:

Allocations adjusted to be sensitive to anticipated climate impacts
Other:

WATER GOVERNANCE FUNCTION	SUB-FUNCTION & ILLUSTRATIVE OBJECTIVES
Management	**Forecasting and Managing Floods, Droughts, and Impacts:**
	National flood protection policy/strategy established
	EWS in place and communicated
	Drought response policy established
	Other:
	Ensuring Water Source and Ecosystem Protection:
	National ecosystem protection policy/strategy established
	Behavior change programs on ecosystem protection
	Environmental flows enforced
	Other:
	Enforcing Fee Collection:
	Tariffs implemented; fees collected on a regular and timely basis
	Other:
Regulation	**Authorizing Private Infrastructure:**
	Clear roles and policies for private water infrastructure
	Other:
	Issuing and Monitoring Operating Concessions:
	Quality and service regulations
	Other:
	Monitoring and Enforcing Water Service Standards:
	Adequate monitoring capacity with indicators, targets, and penalties
	Data collected and disseminated to public;
	Other:
	Regulating Quality:
	Reporting mechanism for quality issues
	Pollution incidents and offenders publicized
	Polluter penalties established
	Other:
Other	Other:
	Other:

4. For each objective, establish final goals and intermediate milestones

For each identified objective from Step 3, establish intermediate milestones and final goals using the final table. Please add lines to the table as necessary. For example milestones please see the Methodology document.

OBJECTIVE	MILESTONE	COMPLETION DATE

5. Establish monitoring mechanisms and schedule

Using the milestones and timeline identified in Step 4, identify how SWP will monitor progress. Methods may include deliverable review (for a policy or plan), monitoring indicators (number of households demonstrating improved WASH behaviors), or qualitative methods such as key informant interviews or focus group discussions. With the key contact at the institution, agree upon a meeting or review schedule.

OBJECTIVE	MILESTONE	MONITORING METHOD	MONITORING DATE

6. Identify and allocate resources to support and monitor the capacity development process

With the key contact at the institution, identify what steps and resources (financial, human, technical) are necessary to reach the goal. Resources may be provided by SWP or generated from within the institution. For some illustrative examples of the steps please see the methodology document.

OBJECTIVE	MILESTONE	RESOURCES REQUIRED

7. Evaluate and reiterate

At the mid-point and end point of the capacity development timeline, SWP and the key contact at the institution should pause and evaluate the capacity development process and results using the prompts below.

Mid-Point:

PROMPT	RESPONSE
What progress has been made relative to goals set at this time in the process?	
What challenges have been encountered in the capacity building process?	
What approaches have been successful and why?	
What changes should be made at this juncture?	

Final:

PROMPT	RESPONSE
Has the capacity development process accomplished its goals? Why or why not?	
What challenges have been encountered in the capacity building process?	
What approaches have been successful and why?	
What are the lessons learned from the capacity development process?	