



# Lessons Learnt & Tools Applied

## A Working Book on Capacity Building Approaches in India

Human Resource Development in the Environmental Sector  
in India 2000–2010

## Imprint

### Publisher

Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH  
Friedrich-Ebert-Allee 40  
53113 Bonn, Germany  
www.giz.de

Division for Environment, Energy and Water  
Lützowufer 6–9  
10785 Berlin, Germany

Dr Christina Kamlage  
Senior Project Manager  
T +49 30 25482-117  
E christina.kamlage@giz.de

Steffi Mallinger  
Project Manager  
T +49 30 25482-116  
E steffi.mallinger@giz.de

### Authors

Florian Bemmerlein-Lux, Peter Bank, (ifanos concept&planning)  
E flo@ifanos-concept.eu

Sebastian Hoffmann (SNTL Publishing GmbH)  
E shof@hoffmann-reif.com

Sandhya Chatterji (ifanos India)  
E sandhya@ifanos-concept.eu

Ulrike Killguss (GIZ)  
E ulrike.killguss@giz.de

### Design

EYES-OPEN, Berlin

### Photos

F. Bemmerlein-Lux (p.17, 69, 78), joerg boethling/agenda (p.52, 122),  
CIMMYT (p.100), R. Dubey (p.109, 117), Kennet Havgaard/Getty Images (Cover Photo),  
© iStockphoto.com/VikramRaghuvanshi (p.10)

All photos selected by Steffi Mallinger (GIZ).

### Realisation

Domenica Edriss  
E domenica.edriss@googlemail.com

## I Guiding Words and Acknowledgements

For more than ten years the Indian Government's Ministry of the Environment and Forests and the German Federal Ministry for Economic Cooperation and Development have supported human resource development programmes as part of Indo-German cooperation. These programmes focus on sustainable development through environmental planning for industrial estates, energy efficiency, disaster risk management, adaptation to climate change and natural resource management. They are closely linked to other programmes like the World Bank's "Environmental Management Capacity Building" programme, two Indo-German bilateral projects on environmental quality assessment and control, and the ongoing "Advisory Services in Environmental Management – ASEM" programme.

Several thousand participants involved in hundreds of hands-on and advanced training programmes, national and international conferences, structured dialogue events and study tours have profited directly from these efforts. Many more have indirectly benefited indirectly, as the activities have contributed to improving human resource development planning and creating an information platform on capacity building in environmental management accessible to all partner organisations.

Capacity building involves much more though than just conducting training courses and workshops. It implies a multi level system to develop networks, institutional systems, organisations and individuals. Without awareness, without a basis for new approaches, and without better skills for using new tools and instruments in urban planning, industrial development, environmental governance, disaster preparedness and consumer protection, development for sustainability cannot be achieved.

This requires a lot of coordination and cooperation. There will always be a variety of institutions to handle training needs at all the necessary levels – whether local, regional, national or international, whether technical, institutional, educational or political. This is why the GIZ also supports the creation and strengthening of inter-institutional networks for capacity building.

A rich range of experience has been gathered during these ten years of intensive cooperation. The purpose of this book is to share it with experts and the interested professional public, thus helping to spread best practices and prevent mistakes from being repeated. This book is a collection of tools and approaches that have been used successfully. We hope both project managers and operational staff from project units responsible for human resource development programmes and systems will find it meaningful and helpful.

Although it is primarily written for an Indian audience, most of the material presented is culturally independent. Each institution has its own proper culture, language and approach to transparency or hierarchy. However, benchmarking and learning from best practices can improve competences across sections and borders. The GIZ is dedicated to providing any and all assistance it can to support this venture.



Dr Christina Kamlage  
Senior Project Manager  
Division Environment, Energy and Water  
Deutsche Gesellschaft für Internationale  
Zusammenarbeit (GIZ) GmbH

The 'Lessons Learnt & Tools Applied – A Working Book on Capacity Building Approaches in India' is a joint product of key persons of the HRD Programme components.

**Word of thanks:**

We would like to give our thanks to *Dr Jürgen Bischoff*, Director ASEM, who initiated and institutionalised the Human Resource Development thrust area in the GTZ-ASEM programme, and established Training Management as a cross-cutting activity. Without the constant support of *Mr N. Raghu Babu*, project officer of the Central Pollution Control Board, Delhi and now ASEM coordinator, the implementation of an effective capacity building system would have been impossible. *Dr Rakesh Dubey*, director of the Disaster Management Institute, Bhopal, contributed with ideas and guides the internet-based training management platform for iDRM. We would also like to thank the Training Management Unit in ASEM, *Dr Rachna Arora*, *Mr Rahul Dixit* and *Mr Uttam Prasad*, content manager and Training Management Unit, ASEM. Our colleagues *Dr Gerhard Werner*, *Mr Sönke Birk*, and *Mr Fenno Brunken* contributed with examples and international experience.

## II Navigator through the Book

The Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH was established on 1 January, 2010. It brings the long-standing expertise of the Deutscher Entwicklungsdienst (DED) gmbH (German Development Service), the Deutsche Gesellschaft für Technische Zusammenarbeit (GTZ) GmbH (German Technical Cooperation) and InWEnt – Capacity Building International, Germany together under one roof.

Since this handbook explores past years of cooperation of InWEnt and GTZ in India, their “old” names have been used in the chapters of this working book.

### Chapter 1: The Management of Human Resource Development Programmes in India

Against the background of today’s global challenge of sustainable development this chapter focuses on the central importance of a professional training management in the field of development cooperation. The major steps and processes of the capacity building process are explained. InWEnt’s contributions to Indo-German cooperation regarding human resource development (HRD) in India are shown.

### Chapter 2: The Development of a Human Resource Development Programme

It is demonstrated how a comprehensive Human Resource Development (HRD) Programme can be developed and different possibilities of a training needs assessment are outlined. How can these training needs assessments be translated into operation plans to guide the implementation of the HRD Programme? Regular planning and evaluation workshops are used to monitor the project process and adapt the planning and the operation plan.

### Chapter 3: Design and Preparation of HRD Events

Each training or workshop requires careful preparation and should be based on modern learning principles. The methodology and the type of training have to be adapted to the target groups. InWEnt has a classification of the types of human resource development events and a standard form to characterise and announce training events in a ‘Course Characterisation Format’ (CCF). The selection of training providers is guided by a particular set of criteria. If training events are outsourced, the selection and evaluation of training

proposals needs to be conducted along defined processes and standards.

### Chapter 4: Implementation of the Human Resource Development Programme

The implementation of the operation plan has to be managed systematically. A complete life-cycle of a training event is discussed and necessary tools are introduced such as trainer handbooks, reports from participants and training providers, the assessment of training providers and the evaluation of workshops or training courses by the participants.

### Chapter 5: Managing Intellectual Capital Developed during Training Projects

Methods and tools to secure the investment in training projects through an appropriate management of intellectual capital (knowledge management) by means of information technology (IT) is discussed using current examples developed in India. Internet-based training management platforms represent the possibility of electronic knowledge management specialised in the documentation and reporting of training events. Methods of non-digital knowledge management of training projects, such as consolidated evaluation reports and the newsletter Knowledge & Skills for Development, are also presented.

### Chapter 6: Impacts and Impact Measurement

Impacts and impact measurement represent a challenging task in capacity building projects. This chapter discusses different approaches for the monitoring of results and impacts, and introduces the tool of ‘work history’ documentation.

### Chapter 7: The Process of Quality Assurance and Control (QuAC)

Any capacity building project requires quality control and quality assessment processes. This chapter focuses on the problems of introducing and operating a quality control system and gives a sequence of tasks to implement basic steps for the implementation of a quality control and assessment system of HRD Programme measures.

### Chapter 8: Lessons Learnt

A brief review of the ‘lessons learnt’ summarises the main experiences of nearly ten years of capacity building projects in the Indo-German Development Cooperation.

### III Acronyms

ACPL	Action Planning
AGM	Assistant General Manager
AP	Andhra Pradesh
APIIC	Andhra Industrial Infrastructure Cooperation
ASEM	Programme: Advisory Services in Environmental Management (GTZ, MoEF)
CB	Capacity Building
CB-CM	Capacity Building Cycle Management
CB-MP	Capacity Building Master Plan
CB-OP	Capacity Building Operation Plan
CBU	Capacity Building Unit
CPCB	Central Pollution Control Board
DGM	Deputy General Manager
DMI	Disaster Management Institute, Bhopal
EIE	Eco-Industrial Estates
ETU	Environmental Training Unit
ExV	Exposure visits
FS	Feasibility Study
GIZ	Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH
GoAP	Government of Andhra Pradesh
GoI	Government of India
GTZ	Gesellschaft für Technische Zusammenarbeit (GTZ) GmbH
HRD	Human Resource Development
InWEnt	Capacity Building International gGmbH (Internationale Weiterbildung und Entwicklung)
KfW	Kreditanstalt für Wiederaufbau (German Development Bank)
M&E	Monitoring and Evaluation
MoEF	Ministry of Environment and Forests, Government of India
MoU	Memorandum of Understanding
NGO	Non-Governmental Organisation
NRM	Natural Resource Management
QuAC	Quality Assessment and Control
R&D	Research and Development
SPCB	State Pollution Control Board
TCM	Training Cycle Management
TIE	Training Impact Evaluation
TMU	Training Management Unit
TNA	Training Needs Assessment
ToRs	Terms of Reference
ToT	Training of Trainers (teaching and mobilisation skills)
WBPCB	West Bengal Pollution Control Board

## Table of Contents

I	Guiding Words and Acknowledgements .....	1
II	Navigator through the Book .....	3
III	Acronyms .....	4
<b>1</b>	<b>The Management of Human Resource Development Programmes in India .....</b>	<b>10</b>
1.1	The Need for a Professional HRD Management and Training Management Units .....	11
1.2	The Contribution of InWEnt to a Professional Human Resource Development Management in India .....	14
<b>2</b>	<b>The Development of a Human Resource Development Programme .....</b>	<b>17</b>
2.1	The HRD Programme Development .....	18
2.2	The Training Needs Assessments .....	22
2.3	Types of Training Needs Assessment .....	25
2.4	Data Analysis – Derived Training Objectives and Expected Results .....	28
2.5	The Training Needs Assessment Report .....	30
2.6	Overview and Process of the Applied Target Group Portfolio Analysis .....	35
2.7	Repetition of a TNA within the Training Cycle .....	40
2.8	Planning the Operation .....	40
2.9	The Process of Operation Planning .....	43
2.10	Coding of Human Resource Development Events .....	49
2.11	The Planning and Evaluation Workshop .....	50
<b>3</b>	<b>Design and Preparation of HRD Events .....</b>	<b>52</b>
3.1	Learning Approaches – Background for the Design of HRD Events .....	53
3.1.1	Domains of Learning: Awareness – Knowledge and Skills .....	53
3.1.2	Difficulty and Efficiency of Learning .....	53
3.2	Training Types and their Characteristics .....	55
3.3	Process: Event Characterisation, Announcement and Training Providers .....	57
3.3.1	Course Characterisation Format and Preparation of Terms of Reference .....	58
3.3.2	Process: Selection and Evaluation of Proposals .....	60
3.4	Selection of Training Providers .....	61
3.4.1	The Selection Process .....	61
3.4.2	The Network of Training Providers (Nodal Training Institutions) .....	67

<b>4</b>	<b>Implementation of the Human Resource Development Programme</b>	69
4.1	Management of the Implementation of the HRD Operation Plan	70
4.1.1	Training Implementation Process	71
4.2	Trainers' Handbooks	73
4.3	Report compiled by Training Participants	73
4.4	The Evaluation of Workshops and Training Courses by Participants	74
4.4.1	Rapid Daily Assessment of Training Sessions	74
4.4.2	Self-evaluation of Workshops and Courses	75
4.5	Training and Workshop Reports and their Assessment	76
<b>5</b>	<b>Managing Intellectual Capital Developed during Training Projects</b>	78
5.1	The Big Void in Large-scale Training Projects	79
5.2	The Management of the Training Project Knowledge	80
5.3	Reports on Training Management Progress	84
5.4	Documentation Flow from Course Announcement to Completion	85
5.5	Master Lists	88
5.6	Knowledge & Skills Newsletter	90
5.7	One-stop Shop for Stakeholders: The Internet-based Management Platform for Human Resource Development	91
5.7.1	Planning and Installation of an HRD Platform	92
5.7.2	The Structure of the HRD Platform	95
5.7.3	Summary of the HRD Platform Benefits	98
<b>6</b>	<b>Impacts and Impact Measurement</b>	100
6.1	The Monitoring Process	101
6.2	Evaluation of Impacts	102
6.3	The Documentation of Impacts – the 'Work History'	106
<b>7</b>	<b>The Process of Quality Assurance and Control (QuAC)</b>	109
7.1	The Concept of Quality Assessment and Control (QuAC)	110
7.2	A Task Sequence of Quality Assessment and Control	115
<b>8</b>	<b>Lessons learnt</b>	117

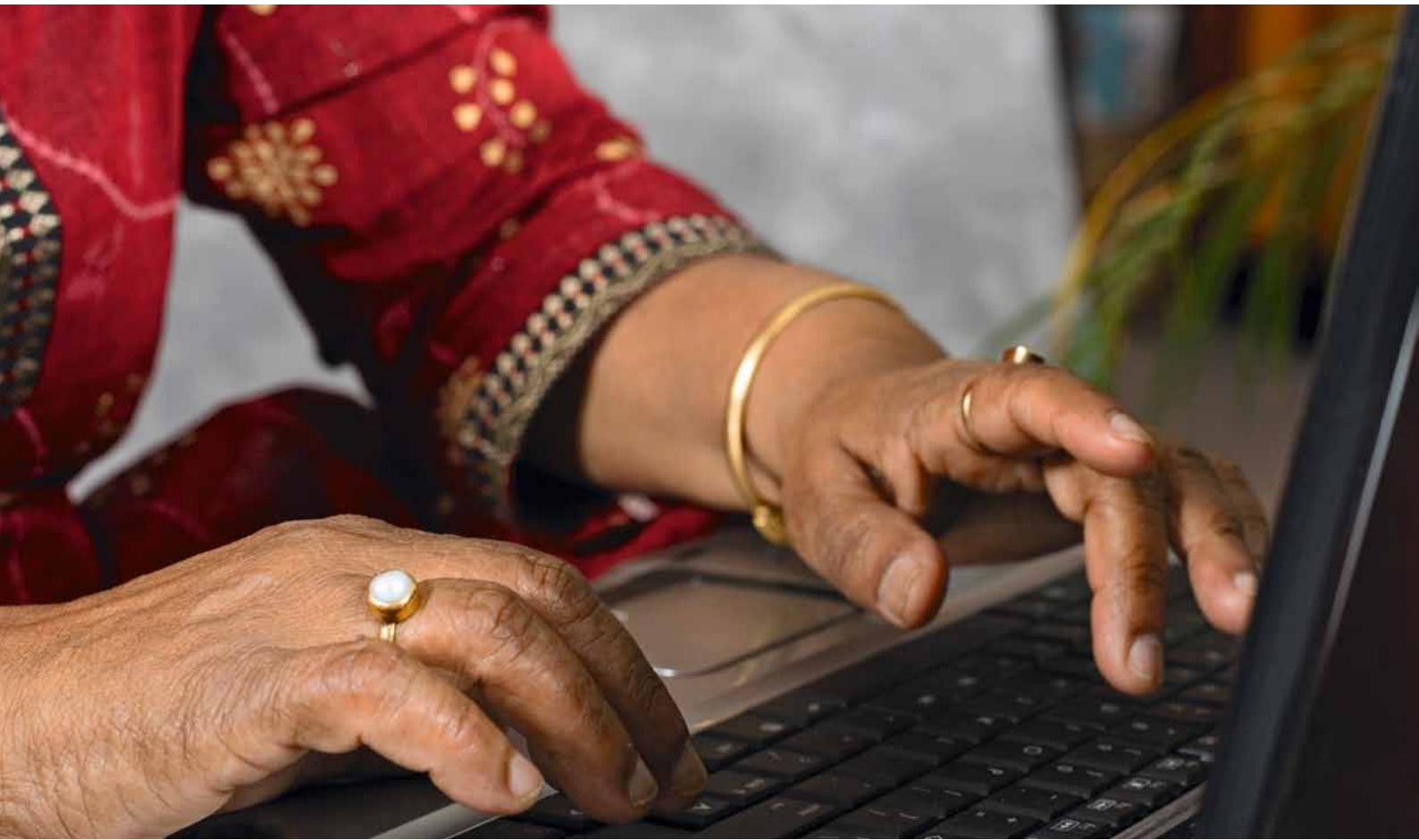


<b>9</b>	<b>Annexes</b> .....	122
9.1	Terms of Reference for the Training Management Unit .....	123
9.2	Forms and Material for Training Needs Assessment .....	126
9.3	Example of a Questionnaire/Interview .....	127
9.4	Table of the Questionnaire for the Target Group Portfolio Analysis .....	130
9.5	Report on the Evaluation of Training Course Proposals .....	132
9.6	Selection of Training Providers .....	134
9.7	Training Report Checklist .....	135
9.8	CCF – Course Characterisation Format for Announcement and Completion .....	136
9.9	Template for List of Participants .....	137
9.10	Template for list of Trainers and Resource Persons .....	137
9.11	Checklist of Issues necessary for Contract with Training Providers .....	138
9.12	The Evaluation of Training Courses/Workshops .....	138
9.12.1	Questionnaire to be completed by the Participants .....	139
9.12.2	Training/Workshop Follow-up Assessment by Participants .....	140
9.12.3	Evaluation Sheet for Impact Monitoring by Institutions (EIP) .....	141
9.12.4	Automatic Analysis of Participant Evaluations .....	142
9.12.5	Explanations of the Evaluation Process .....	144
9.13	Training/Workshop Report Assessment .....	145
9.14	The Authors – Brief Profiles .....	147
9.15	Resource Documents and Links .....	149

## List of Figures

Figure 1-1:	Processes, work flows and tools .....	12
Figure 1-2:	The position of the training management in a project .....	13
Figure 1-3:	The steps of the training management process .....	14
Figure 1-4:	Training offers for training managers .....	16
Figure 2-1:	Change process on the level of the organisations & institutions .....	19
Figure 2-2:	Change process on the level of the involved persons and their responsibilities and tasks .....	19
Figure 2-3:	Steps for a Human Resource Development concept and strategy .....	21
Figure 2-4:	The TNA data analysis model – the process of work from target groups to training objectives ...	24
Figure 2-5:	Recommendation for the type of training needs assessment .....	25
Figure 2-6:	Decision help for the selection of TNA approach .....	26
Figure 2-7:	Definition of target groups and Gap Analysis: Input for development of training events .....	27
Figure 2-8:	General training fields .....	28
Figure 2-9:	TNA process from target groups to expected results .....	29
Figure 2-10:	Outline of a TNA report .....	30
Figure 2-11:	Example of results from a TNA workshop with target groups and experts in industrial estate planning .....	32
Figure 2-12:	Overview of the proposed training programmes and identified joint activities for the different target groups .....	33
Figure 2-13:	Strategic considerations for the training component of the human resource development programme.....	35
Figure 2-14:	The Target Group Portfolio Analysis .....	36
Figure 2-15:	Institutions and their competence level .....	37
Figure 2-16:	Normalised competence deficits for target groups/institutions .....	37
Figure 2-17:	Task and performance – training needs in different task areas .....	38
Figure 2-18:	Normalised needs in different task areas .....	38
Figure 2-19:	Training types and target groups .....	39
Figure 2-20:	Planned numbers of courses and numbers of participants .....	39
Figure 2-21:	Ideal steps in a human resource development programme .....	41
Figure 2-22:	Coordinated implementation, awareness building, training and project/programme activities ...	42
Figure 2-23:	The process of operation planning .....	43
Figure 2-24:	Work process for the design of a human resource development operation plan .....	45
Figure 2-25:	Example of a chart for the operation plan .....	46
Figure 2-26:	Components of a capacity building programme .....	48
Figure 2-27:	Process from training needs assessment to capacity building programmes .....	49
Figure 2-28:	Work process for the preparation of a yearly human resource development planning and evaluation workshop .....	51
Figure 3-1:	Complexity of the tasks the participant has to perform .....	54
Figure 3-2:	Correlation of activities in the three domains of learning .....	54
Figure 3-3:	Teaching method and learning efficiency .....	55
Figure 3-4:	Training types and teaching methods .....	55
Figure 3-5:	Workflow of designing the course characterisation and announcement .....	57
Figure 3-6:	Course Characterisation Format – CCF .....	58
Figure 3-7:	Guidelines for ToRs for training course development and implementation .....	60
Figure 3-8:	Process for the evaluation of proposals .....	60
Figure 3-9:	Checklist for the assessment and evaluation of training providers .....	62
Figure 3-10:	Detailed evaluation grid for potential training institutions .....	63
Figure 3-11:	Schematic structure of the network of Nodal Training Institutions .....	67

Figure 3-12: Distribution of Nodal Training Institutions in India .....	68
Figure 4-1: The responsibilities of the main actors in the implementation process .....	70
Figure 4-2: The implementation process .....	71
Figure 4-3: Ideal timeframe for preparation, implementation and follow-up of a training event .....	72
Figure 4-4: Outline of the participant report .....	73
Figure 4-5: Picture for rapid assessments of course modules .....	74
Figure 4-6: Example analyses of a series of rapid assessments of course modules .....	75
Figure 4-7: Content of a comprehensive training report .....	77
Figure 4-8: Criteria for the evaluation of training reports .....	77
Figure 5-1: The big void .....	79
Figure 5-2: Categorisation of capital .....	80
Figure 5-3: What should be documented .....	81
Figure 5-4: Sitemap of ASEM HRD Platform with 1st level (channels) navigation .....	81
Figure 5-5: Utilised forms and templates for documentation .....	82
Figure 5-6: Outline of a monthly/quarterly report .....	84
Figure 5-7: Outline of an annual report .....	85
Figure 5-8: Automated documentation workflow from course announcement to completion .....	86
Figure 5-9: Semi-automated documentation workflow from course announcement to completion .....	87
Figure 5-10: Master list record for participants .....	88
Figure 5-11: Master list record for events .....	88
Figure 5-12: Master list record for trainers and resource persons .....	88
Figure 5-13: Status list of training events (completed example) .....	89
Figure 5-14: Planning and installation of an HRD Platform in 7 steps .....	92
Figure 5-15: Ideal process of a skills training process for HRD Platforms .....	93
Figure 5-16: Roles, tasks and qualification requirements for operating the HRD Platform .....	94
Figure 5-17: Structure of the HRD Platform .....	95
Figure 6-1: Examples of impact monitoring of skills training courses and workshops .....	101
Figure 6-2: The impact chain for capacity development .....	103
Figure 6-3: Definition of terms of the impact evaluation .....	104
Figure 6-4: Impact evaluation scheme .....	105
Figure 6-5: Sources of Information for 'work history' .....	107
Figure 6-6: The project event history (example) .....	108
Figure 7-1: Possibilities and limitations of training measures .....	110
Figure 7-2: Problems of introducing and operating a quality management system .....	111
Figure 7-3: Tasks of quality control and assessment for the implementation of HRD measures .....	116
Figure 8-1: Knowledge management as intersection of key persons, management and technologies .....	118
Figure 8-2: Supply-driven vs. demand-driven training .....	119
Figure 8-3: Tools for a capacity building system .....	120
Figure 9-1: Tasks of the Training Management Unit .....	124
Figure 9-2: Tasks and activities for the TMU for the organisation of a conference or workshop .....	125
Figure 9-3: Job Description Form .....	126
Figure 9-4: Example of a questionnaire/interview for training needs .....	127
Figure 9-5: Evaluation summary for the selection of training institutions .....	134
Figure 9-6: Deliverables (content of comprehensive report/supervisor of the contract/sanction order) .....	135
Figure 9-7: The Course Characterisation Format .....	136
Figure 9-8: List of participants .....	137
Figure 9-9: List of trainers and resource persons .....	137
Figure 9-10: Main content of a contract or sanction order for training providers .....	138
Figure 9-11: Format for training/workshop report assessment .....	145



# 1 The Management of Human Resource Development Programmes in India

## Summary

Against the background of today's global challenge of sustainable development this chapter focuses on:

- The central importance of a professional training management in the field of development cooperation,
- The major steps and processes of the capacity building process,
- InWEnt's contribution to Indo-German cooperation regarding Human Resource Development (HRD).

## 1.1 The Need for a Professional HRD Management and Training Management Units

When an entrepreneur buys a new and complicated machine he is well aware that he needs workers and managers who are skilled and prepared to use this new investment. Nevertheless, not only workers will need training to be able to use the machine properly, but also managers, planners and marketing experts in order to understand and incorporate the emerging possibilities of the new technology.

The entrepreneur will understand that the development costs for human and managerial resources have to be integrated into the total investment. If he wants to invest resources in human capital effectively and wisely, he will have to answer the following main questions:

- What kind of awareness, knowledge and skills are necessary to use the new machine effectively?
- What quality and intensity of training is necessary for which target group?
- Who will train the staff?
- What is the cost/benefit ratio to develop the human resources?

Thus, the entrepreneur will definitely know that training measures which fail to train the staff properly are a waste of resources.

Of course, the challenge of sustainable development and the chances and threats of increasing economic progress, such as emerging social and ecological problems, are issues of greater complexity than changing production processes with a new machine and trained personnel. However, in principle, the same questions remain essential.

The difference is that the improvement of natural resource management is a complex process involving many target organisations and groups and interacting in many aspects with economic, social and ecologic

processes. Improved and stricter rules for environmental protection and changing attitudes and requirements in resource management are all issues that need to be considered in the context of a more sustainable form of development that requires capacity building as an essential component for solving future challenges.

The whole range of interventions and implementations requires a change in attitudes, technical skills, and managerial capacities, as well as effective institutional approaches. The development of human resources needs proper coordination and planning, which depends on the type of intervention programme, the organisations and personnel involved, the number of capacity building events needed, the duration and timing of the programme phases and, of course, on the emerging training needs.

Nevertheless, training is often considered as an investment that does not require careful consideration of the needs of human resources. Frequently, training is seen either as part of a reward system, or the contrary, as punishment for those members of staff that did not fulfil their particular tasks well. In addition, the selection of those who are trained is determined neither by their job descriptions nor by their potential for improving the effectiveness of the programmes.

Thus, the answer to the diverse tasks of Human Resource Development (HRD) within the programmes under the Indo-German cooperation is the development of training management procedures and tools, combined with hands-on support. The main focus lies on the capacity building for Training Management Units (TMU) that are responsible for the organisation of the entire HRD process. **Figure 1-1** gives a detailed overview of each step of the capacity building process and the connected management tools that should be applied.

Figure 1-1: Processes, work flows and tools

Responsibilities and work flows	Management tools
Planning and development of an HRD programme: From training needs to a training calendar	<ol style="list-style-type: none"> <li>1. Training needs assessment</li> <li>2. Operation plan</li> <li>3. Planning and evaluation workshop</li> </ol>
Design and preparation of measures: From announcement to completion of training events	<ol style="list-style-type: none"> <li>1. Learning principles</li> <li>2. Types of Human Resource Development events</li> <li>3. Event characterisation and announcement</li> <li>4. Selection of training providers</li> <li>5. Selection and evaluation of proposals for training events</li> </ol>
Implementation of training and workshops: Management responsibilities and tasks during the implementation of workshops and training	<ol style="list-style-type: none"> <li>1. Trainers' handbooks</li> <li>2. Participant evaluation and feedback</li> <li>3. Training reports</li> <li>4. Assessment of training reports</li> </ol>
Documentation: Processes for the knowledge management of the Human Resource Programme	<ol style="list-style-type: none"> <li>1. Documentation of event completion</li> <li>2. Master lists</li> <li>3. Consolidated evaluation reports</li> <li>4. Archives of training material</li> <li>5. Knowledge &amp; skills newsletter</li> <li>6. Internet Platform (Business Process Automation – BPA)</li> </ol>
Follow-up	<ol style="list-style-type: none"> <li>1. Evaluation of impacts</li> <li>2. Work history</li> <li>3. Networking</li> </ol>
Quality assurance and control: From the selection of training providers to useful follow-up	<ol style="list-style-type: none"> <li>1. Characterisation of training or a workshop</li> <li>2. Selection of training providers</li> <li>3. Assessment of training/workshop proposals</li> <li>4. Training/workshop announcement and closure</li> <li>5. Training/workshop report and its assessment</li> <li>6. Evaluation of training courses and workshops by participants</li> <li>7. Assessment of the participants by the trainer or course provider</li> <li>8. Assessment of the participants by the their institutions after returning from a skills training course</li> <li>9. Follow-up assessment of impacts of skills training courses (six months after the event)</li> </ol>

The training management is the interface in the triangle of target institutions and groups, the trainers and training institutions that carry out the deliverables of the HRD Programme (e.g. training and workshops), and the project management, the administration and decision-making key persons. **Figure 1-2** shows the central role of the training management in projects

with a large capacity building component. Complex development programmes, such as ASEM, need a training management unit to organise the human resource development professionally. The terms of reference of the ASEM Training Management Unit are listed in the **Annex 9.1**.

Figure 1-2: The position of the training management in a project



The training management unit needs a clear position in the human resource development programme (ASEM) and adequate competencies for HRD-related decision-making. The TMU must be able to perform its central tasks such as reporting, documentation and monitoring of the project. In general, the responsibilities of the TMU include the following tasks:

- **Coordinate** all HRD activities of the long-term environmental training system within the framework of an *operation plan and training calendar*;
- **Create a network** of the training providers and the participants of the training courses for most efficient and effective use of human and financial resources and to create synergies for the use of accumulated procedural knowledge;
- **Develop** the necessary tools and instruments for the quality control of training courses;
- **Assure and control** the quality of the training courses and workshops, and the processes of the HRD programmes;
- **Organise** feedback in the learning processes that assures constant improvement of the training programmes;
- **Document** all training and workshop results, such as reports, training material, best practice examples and case studies in a regularly updated *knowledge management system*;
- **Administer** the list of participants, trainers and resource persons, and available training material;

- **Support** projects in the organisation of workshops and conferences;
- **Disseminate** relevant results to those who need them for further learning and improvement;
- **Facilitate** the publication of documents, reports, brochures and public relation material.

*'In the context of development cooperation, 'Capacity Building' encompasses advanced professional training, as well as human resources and organisational development. Its aim is to enhance the partners' capacities to plan and implement viable development strategies and policies. Advanced professional training is perceived as part of human resource development, which consequently shapes the development of organisations.'*

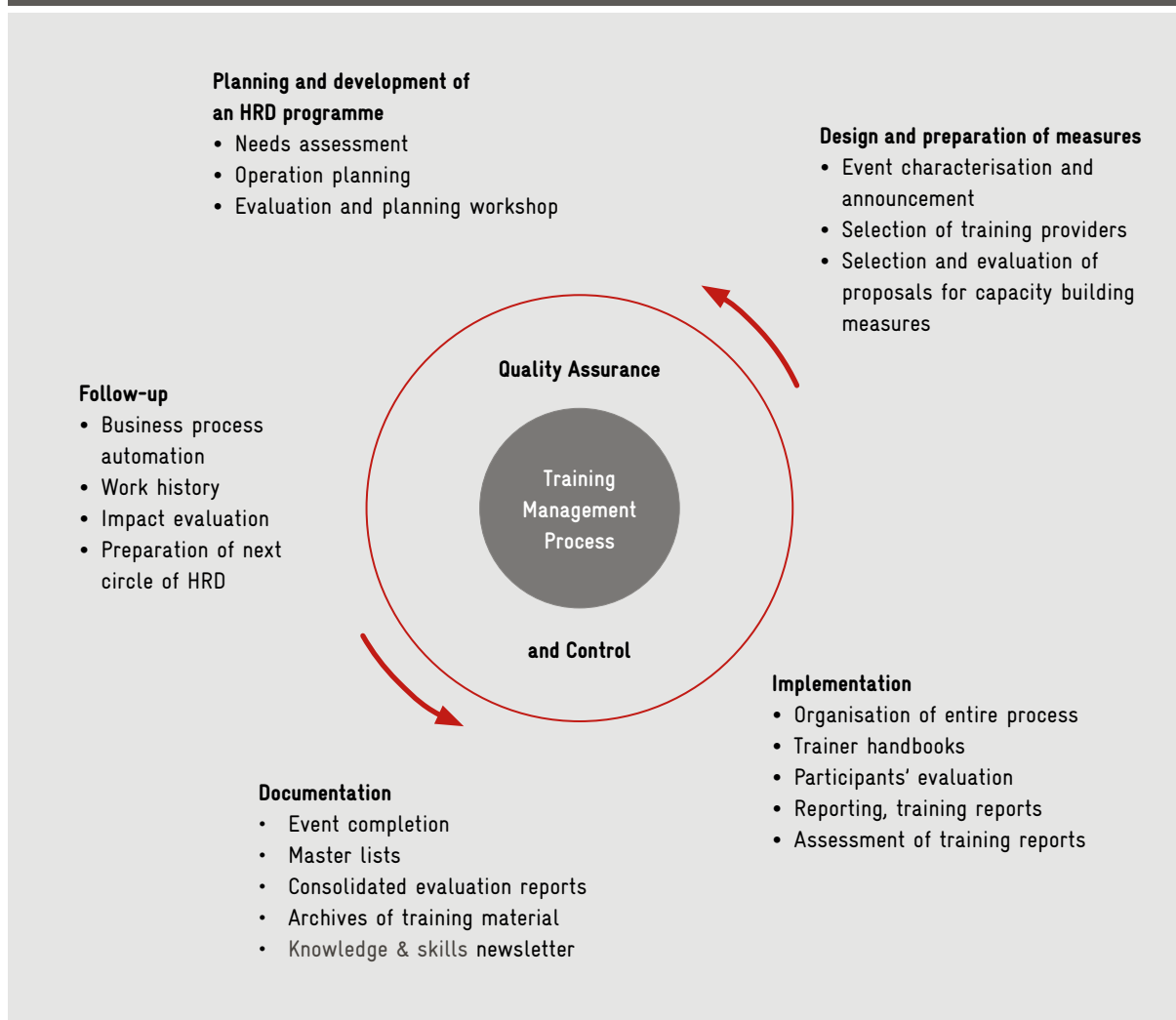
InWEnt (2006) Capacity Building Concept

According to the InWEnt Capacity Building Concept human resource development is a central measure of capacity building and includes skills and knowledge-based training, awareness raising, and organisational and planning skills. The support for training management is one of the main mandates and responsibility of InWEnt. It includes joint work in the development of the necessary tools and procedures and advisory services for training cycle management. Face-to-face and online cooperation are the main means of interaction between InWEnt staff and advisors and training management-related persons.

In order to be effective, all HRD activities need both central and decentralised training cycle management structures. As a prerequisite, a detailed needs assessment should be conducted and training impact indicators should be developed. These can serve as a base for a continuous quality control and evaluation.

Embedded in a project or programme that requires major human resource development activities for many stakeholders and result users, the training management has to be understood as an ongoing process rather than a single activity. The different steps in this process are summarised in **Figure 1-3** below. These steps are also central topics in the remaining chapters.

Figure 1-3: The steps of the training management process



## 1.2 The Contribution of InWEnt to a Professional Human Resource Development Management in India

InWEnt supports capacity building activities in India at all process stages by applying a wide range of its formats. These include different concepts of advanced training management, the development of management tools, such as comprehensive operation planning, quality control and impact assessments, the establishment of training management units, the installation of internet-based HRD platforms, training of trainers courses and the dissemination of modern participative training methodologies.

The close cooperation with programmes of the Deutsche Gesellschaft für Technische Zusammenarbeit (GTZ) provides the basis for the efficient and effective implementation of the customer-tailored and demand-driven capacity building processes of a large number of key partner organisations.

There are four major projects/programmes of the Indo-German Cooperation that have established a professional HRD management and management information system with support from InWEnt (from 1996 to 2012).



Theme/project	Time	HRD Size	Project background
<b>Zoning Atlas of the environmental cell in the Central Pollution Control Board (CPCB)</b> with an Environmental Training Unit (ETU)	1996 – 2004	Teams of the State Pollution Control Boards and result users under the 'Zoning Atlas for Siting of Industries' in 14 states  Approx. 500 participants per year	World Bank programme 'Environmental Management Capacity Building Project' and the environmental planning programme known as 'Zoning Atlas for Siting of Industries' under the Indo-German Bilateral Programme (GTZ project with CPCB)
<b>ASEM Programme</b> (Advisory Services in Environmental Management) of the Ministry of Environment and Forests and GTZ with a national Training Management Unit	2003 – 2012	All HRD activities for more than 30 ASEM projects  More than 1000 participants per year all over India	'Technical Human Resource Development' Group with a Training Management Unit (TMU) under the Ministry for Environment and Forests (MoEF).
<b>Eco Industrial Estate Management and Planning</b> – ASEM project in the thrust area of Environmental Planning – Sustainable Industrial Development	2005 – 2012	The local partner, the 'Andhra Pradesh Industrial Infrastructure Cooperation' is responsible for more than 280 industrial estates and two pilot industrial parks in the transition to Eco-Industrial Parks.  Approx. 200 participants per year	The ASEM project 'Developing Pilot Eco-Industrial Estates in Andhra Pradesh' had a special orientation with the 'Andhra Industrial Infrastructure Cooperation – APIIC' and their request to design a training programme for entrepreneurs, estate managers and training providers.
<b>(Industrial) Disaster Risk Management</b> – an InWEnt project with the Disaster Management Institute, Bhopal, the National Institute of Disaster Management, GTZ-ASEM and the National Disaster Management Authority (Dubey et al. 2008)	2008 – 2012	With the focus on the states with a high number of Major Accident Hazard Industries, such as Andhra Pradesh or Gujarat, a network of trainers and a training management and information platform professionalize the capacity building efforts.  Approx. 500 participants per year	The project is implemented under the ASEM thrust area of Sustainable Industrial Development on the basis of the 'National Disaster Management Guidelines', which requires a major endeavour in Capacity Building.

The core contributions of InWEnt to professionalizing the human resource development include:

- Training of management skills needed for the implementation of capacity building programmes – Training (Cycle) Management
- Development of tools (quality assessment and control, training evaluation, impact assessment, documentation, training needs assessment, operation plan design)
- Support for a system of quality assessment and control incl. the evaluation of courses
- Documentation and training impact evaluation
- Conducting 'Training of Trainers' courses based on up-to-date didactical approaches
- Support for international 'Training cum visit' study tours
- Development of the internet-based HRD management platforms ([www.hrdp-net.in](http://www.hrdp-net.in) and [www.hrdp-idrm.in](http://www.hrdp-idrm.in)) and training in their use
- Networking among training institutions and trainers/resource persons
- Dissemination of material: Brochures, bags and posters for the capacity building activities

A series of practical courses and workshops concerning elements of HRD were offered within the framework of the implemented projects. One of the goals was to establish a network for 'human resource development officers' who use the same standardised instruments and understand the same concepts for training implementation and management.

The main types of courses are listed in **Figure 1-4** with a short description of contents and objectives. They were conducted according to the demands and requirements which emerged during the courses.

Figure 1-4: Training offers for training managers

Title of training area and training type	Content
Training Cycle Management (hands-on skills training)	Training management including all steps of the training management cycle, basic concepts and tools for planning and supervising HRD measures, programme design, reporting, operation planning, coordination with implementation measures
Quality Assessment and Control (QuAC) – documentation of training material, evaluation tools and procedures for proposals and training reports (hands-on and managerial skills training)	Training management including all issues related to quality of courses and programmes in HRD, procedures for quality assurance, documentation and use of tools for documentation (part of knowledge management), course assessment by participants, by trainers and by institutions with hands-on for the available tools
Training Impact Evaluation and indicators (hands-on and managerial skills training)	Training management including the impact chain for all targeted levels (individual, organisation and system), the construction of indicators for impacts, their observation, reporting and formulation of achievements in relation to project implementations, long- and short-term impacts, direct and indirect impacts
Standardisation of training course design and manuals (development workshops)	Training management including criteria for and construction of a good training course, design of good courses, criteria for standard development, trainers' manuals and course material, templates and forms for effective and efficient work and control, report formats
Training of Trainers (content and teaching methods)	The training courses developed (especially 20 modules on different aspects of industrial Disaster Risk Management) are the basis of the Training-of-Trainers courses
Coordination and planning for project managers – work flow organisation (development workshops)	Agreement on standards, formats, information flow and the development of useful instruments for training management
Training for the development and the implementation of an internet-based HRD management platforms (hands-on and 'voice over IP')	Definition of work processes and translation into workflows, using a content management system as authors, different functions of authors and editors, responsibilities and tasks of different participants, wording for the public section of internet presentation, all authoring tools and their efficient use



## 2 The Development of a Human Resource Development Programme

### Summary

Chapter 1 described the importance and need for training management units for organising professional human resource development projects and took a closer look at:

- The specific tasks of the training management unit in a project
- The specific steps of the training management process.

This chapter covers the topics:

- HRD programme development
- Training needs assessments
- Operation plans
- Planning and evaluation workshops

## 2.1 The HRD Programme Development

Major change projects, such as the implementation of sector reforms or other medium to large scale changes in a society, can pose a significant social and economic challenge. It is a process of development that will affect many levels:

- Public sector institutions and organisations, civil society and private enterprises are involved and affected, for they may have to change or adapt their functions and their performance.
- Key persons in the administration and professionals at different levels within government institutions and other line departments may all need new skills or have to supplement their existing ones.
- People in communities, professional groups, the civil society and state employees have to participate in and understand the change processes which will influence their work, their daily business and their economic assets.

The active and open-minded participation of all stakeholders can and will change the path and modalities of the implementation process to their advantage. Quite a few of them will be actively involved in different stages of the implementation process.

The members of the target group and the beneficiaries of a project or an intervention may need a change in attitude and may have to take on the responsibility of managing their own resources. The state administrations may have to develop awareness that existing supplybased approaches should be replaced by the demand-based services of a provider that will meet the current needs.

Consequently the importance of human resource development becomes evident. As projects and programmes aim at changing processes, they must be mindful of the development of human resources of the different stakeholders and other target groups.

New attitudes and awareness, knowledge in new fields, new capacities and skills do not emerge from changing

rules and structures. They need to be supported – and sometimes initiated. New approaches have to be explained and promoted. Hence, the spreading of information is necessary and essential.

This working book aims to provide a structured and comprehensive framework for many activities and tools in the field of awareness building, sensitisation, knowledge transfer and skills training necessary for project implementation.

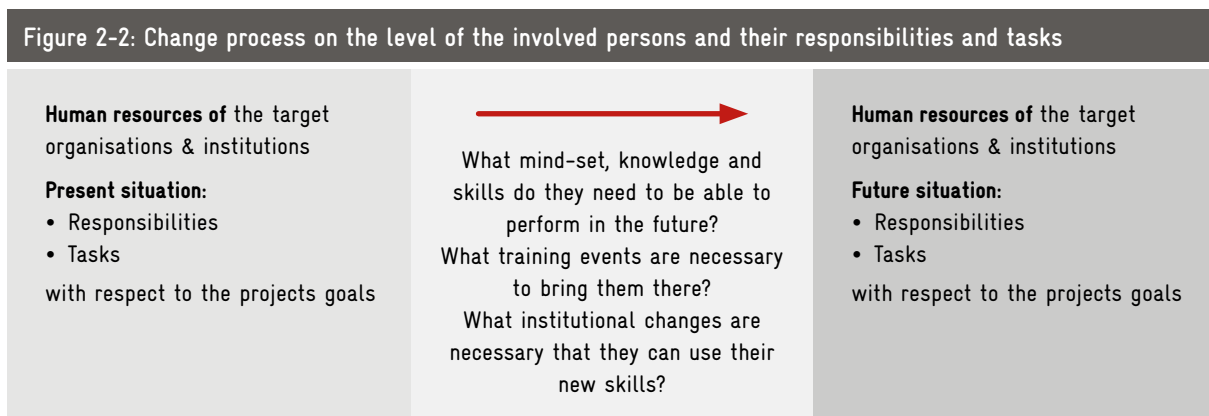
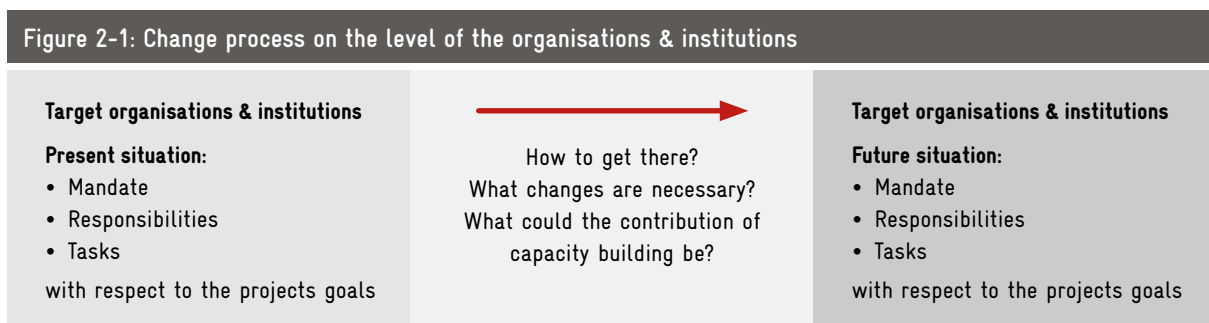
Following a set of given questions can help us to understand and organise the concept of a change process:

1. **Question (Q):** Who has to be informed about and accept a project or programme that leads to change processes?  
**Answer (A):** The target groups and involved target institutions and organisations.
2. **Q:** What do the target groups need to know and what kind of skills are required in order to be able to perform in the future?  
**A:** The contents and objectives for awareness and mind-set, the new knowledge and technical and managerial skills.
3. **Q:** What are the human resource development measures necessary to satisfy the needs?  
**A:** The measures are derived from a needs assessment, planned in a participatory process and compiled in a HRD calendar.
4. **Q:** Who will explain and teach them?  
**A:** The system of trainers, training providers, disseminators, facilitators and resource persons.
5. **Q:** How and when will the different target groups be addressed most efficiently?  
**A:** An analysis of the target group is necessary to find out their absorption capacity and their time and organisational constraints.
6. **Q:** What institutional changes are necessary so that trained participants can use their new skills?  
**A:** The capacities of the target institutions must be developed in order to adapt them to the new situation.

**Figure 2-1** illustrates the role of capacity building and human resource development as an integral part of the change process on the level of organisations and institutions.

It shows the crucial questions and problems that the training providers and resource persons have to face in order to provide adequate guidance and supervision of the change process

Subsequently, **Figure 2-2** visualizes the change process on the level of the involved persons and target groups.



The main purpose of the HRD process is to support the individual and the institutional/organisational changes needed for successful project implementation. The goal is to enable people to fulfil their responsibilities and tasks within emerging structures. Nevertheless, the building of awareness and the development of human resources is not the whole story. Successful implementation also requires appropriate institutional structures and procedures and political will on all levels: the individual, the organisational and the systems level. A human resource development programme can only contribute to the change process.

It is very important that this process goes hand in hand with the acceptance of the affected local population

and community. The process requires not only new skills, but also new awareness and behavioural change regarding the issues of a project or programme and their management in qualitative and quantitative aspects. Two aspects are essential:

- The development of different training and awareness building concepts and the role they play in the capacity building process;
- The integration of single training courses, workshops, conferences, seminars or campaigns into capacity building programmes and the modular design of the HRD offers.

### Change processes need a comprehensive and integrated design.

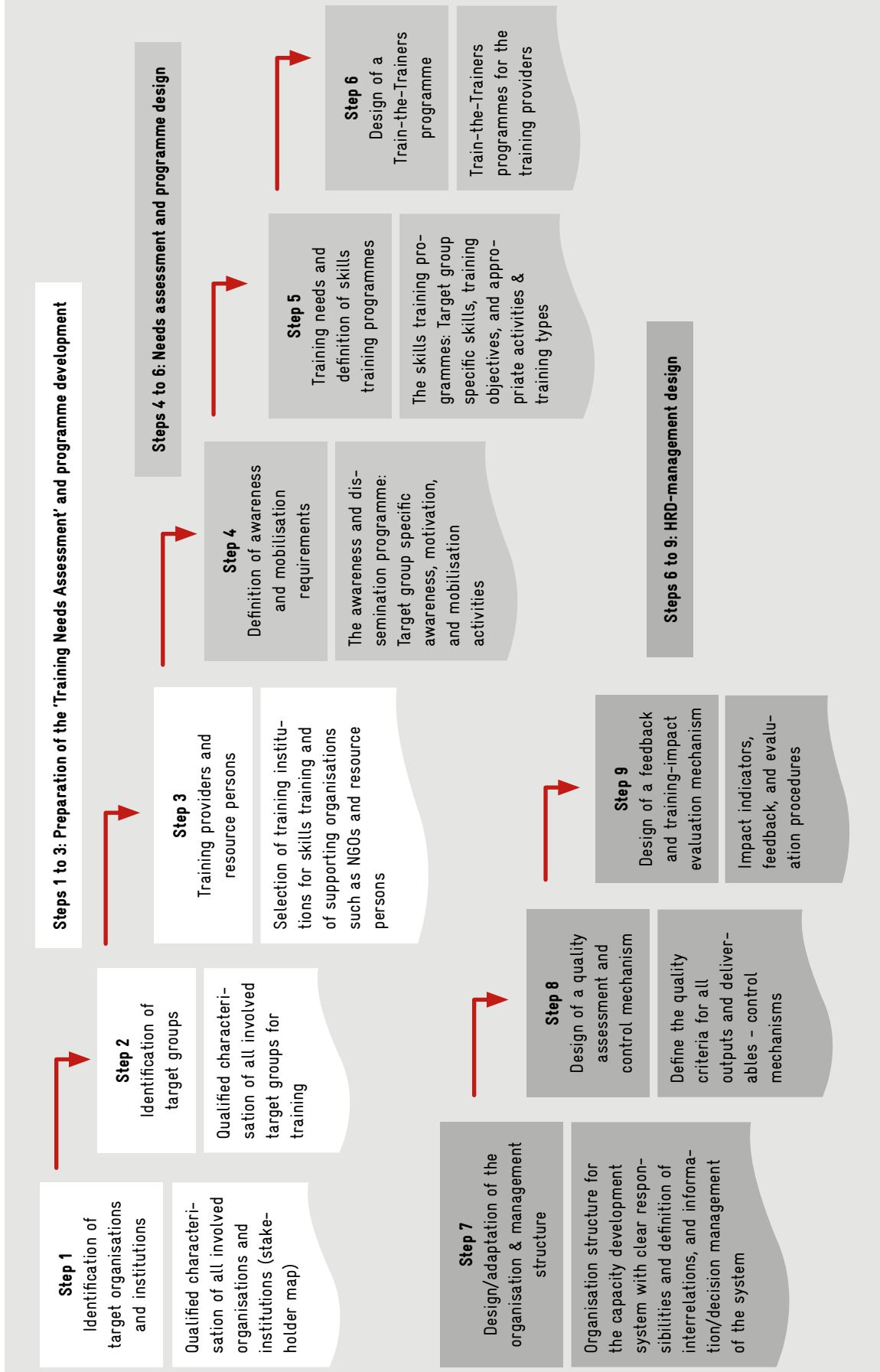
The development of an integrated design with all its dimensions/elements is based on InWEnt's approach of training needs assessment (TNA), advanced training, networking, dialogue and advisory service. In detail that includes:

- Focus on process-oriented concepts for awareness raising, knowledge transfer and skills training with transparent and ownership-oriented objectives and realistic impacts;
- The combination of training needs assessments with the institutional set up and operation planning (comprehensive and integrated approach);
- Use of a multi-level approach through the differentiation of target groups from different sectors and levels (decision makers, managers and relevant operational levels);
- Combining training needs with institutional capacity building needs;
- Understanding of planning as a learning process;
- The integration of training providers into the development of a programme through a process-oriented cooperation: the involvement of training providers is considered as a capacity building process for the providers themselves;
- Advanced teaching methods that focus on participatory learning processes and result-oriented learning objectives;
- Systematic development of tools for training management (assessments, impact evaluation, design, documentation, quality control and knowledge management);
- Networking of all target institutions with the exchange of experience and resources, institutional twinning and interinstitutional cooperation, planning and evaluation workshops and joint operation planning;
- Integration of sustainability and marketing aspects in all concepts and training programmes.

**Figure 2-3** summarises one of InWEnt's core approaches of the development of an HRD concept in a nine-step schematic overview.

Steps one to three are concerned with the preparation of the training needs assessment and programme development; steps four to six represent the training needs assessment itself including the design of train-the-trainers programmes. Steps seven to nine deal with the establishment of a management for the HRD programme.

Figure 2-3: Steps for a Human Resource Development concept and strategy



## 2.2 The Training Needs Assessments

### Introduction to the concept of training needs assessment

A training needs assessment (TNA) is the basis for efficient and objective-oriented human resource development. It has to be based on a good understanding of the targeted institutions, the challenges and the desired changes or improvements, and the persons that are involved in these processes.

Human resource development always aims at the individual in the context of his/her job, tasks, and responsibilities. And in this manner it aims at changing the individual's performance. HRD considers individuals as representatives of organisations or institutions. They are the ones who will need new skills to handle new situations or to initiate them.

For a TNA this has three consequences:

1. At a *personal level*: a TNA looks into the performance and potentials of the individuals involved, as well as their responsibilities, and assesses the gap between the current situation and the desired performance.
2. At an *institutional level*: a TNA looks at the gap between the existing responsibilities and tasks of the target organisations and the desired, future responsibilities.
3. At a *systems level*: a TNA looks at the interinstitutional networks and operating conditions for the institutions by influencing performance rules and responsibilities in a systems context.

Consequently, the TNA result is twofold: A description of the capacity needs of the institutions/organisations involved (the target organisations) and a description of the training needs for groups of participants (the target groups).

The five major phases of a TNA:

1. **Preparation**: identification of the target organisations, design of the work process and approach (e.g. interviews, workshops, expert input, etc.) and the organisation of all important stakeholders.
2. **Scanning**: collect data on the institutions and the persons with their existing and desired (future) responsibilities, tasks and skills.

### 3. Data analysis that involves

- a review of the data gathered to determine whether training is the right tool to bridge the gap between the existing and the desired status, or if actions not related to skills improvement are more appropriate;
- a definition of awareness and mobilisation requirements and the formulation of the objectives and expected results and impacts;
- a definition of the skills training requirements and the formulation of the objectives and expected results and impacts.

The process of the phase of data analysis is shown in **Figure 2-4**.

### 4. Design of HRD programmes involving

- the development of a (modular) programme for each target group considering their absorption capacity and the type of approach to address the groups most effectively;
- the design of a train-the-trainers programme (only relevant in some cases);
- the design of a training programme (an HRD operation plan in larger projects).

### 5 Design of an HRD Programme managing structure that involves

- a selection of the training providers and resource persons;
- the design of the organisation & management structure of the HRD programme;
- the design of a quality assessment and control mechanism;
- the design of a feedback and training impact evaluation mechanism.

Since the TNA is the basis of any effective and result-oriented change process the project management will have a vital interest in obtaining results that can be implemented. It is not necessary to have an academic masterpiece as long as the reasoning in the analysis is sound and realistic, and as long as the results can be used for the further steps under the given constraints of management power, financial resources, qualification of available training capacities, and the timeframe of a project.



**Please note:**

In order to conduct an efficient TNA the following preconditions are of primary importance:

- Although the participation of target groups is indispensable, a needs assessment **is not** only asking the target groups: 'What do you need?' If new skills are required because of changing circumstances, such as implementation of a new process, new tasks and responsibilities or new instruments, the 'individual needs' are interesting, but only of secondary importance.
- The management that has to coordinate and guide the TNA should know the future requirements in order to define what objectives and expected outcome skills training and awareness building ought to have.
- Resource persons (such as experts) are necessary to define the procedural, technical, managerial, financial or sociocultural knowledge and skills required from the target groups in the future.

A TNA therefore has to consider these needs in the following order:

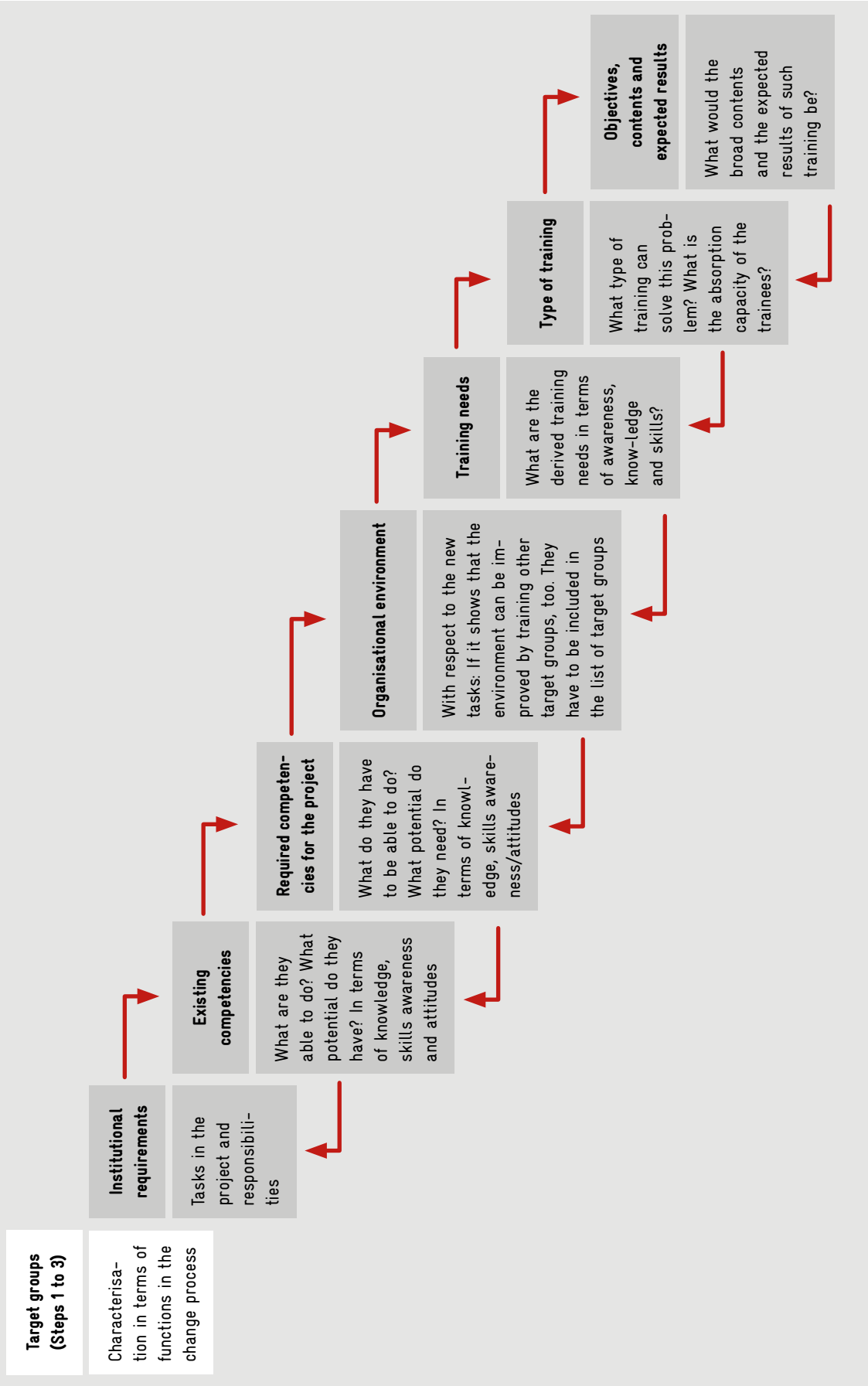
1. The professional skills required;
2. The requirements of the superiors, or project requirements (the context of the change process);
3. The individually expressed needs of the target group (needs felt).

(Example: Someone is used to working with a text programme, but does not know about text design styles provided by the text programme which help speeding up complicated formatting procedures: If asked what he needs, a likely answer will be 'more time'. However, the software has the potential to save time by providing the right tool. Instead of 'more time', the need is to be trained in better programme-handling skills).

After the thorough definition of the target groups and institutions, the central points are the characterisation of the future requirements for the project or the institution(s), the existing and the required skills and responsibilities related to different functions (jobs).

**Figure 2-4** defines the steps necessary for the critical reflection of the organisational environment that assists in detecting gaps of awareness, knowledge and skills expected in the future.

Figure 2-4: The TNA data analysis model – the process of work from target groups to training objectives



## 2.3 Types of Training Needs Assessment

In order to make a training needs assessment manageable, certain conditions must be considered:

- A needs assessment should support the local project or programme planning, development and implementation. The TNA is a qualitative guide for institutions and individuals to compare existing performance with possible improvements in order to plan training programmes.
- The TNA is a specific procedure in the training and project cycle and has to be updated periodically, based on evolving needs and trends.
- A needs assessment should not be stifled by an over-emphasis of analytical details.
- (Skills-)Training should not be confused with awareness building, mobilisation or education. The distinction is important when considering how to carry the training needs assessment process into effect. *Training* is concerned with the competency of people who already are part of the workforce, *Awareness building* is about sensitising people, orienting them, and finally motivating and mobilising them. Nevertheless, every training course has some aspects of awareness building.

- *Education* is concerned with providing basic knowledge and thinking capacity needed by men and women to be productive members of the workforce at some future time.
- Training needs assessment should not be confused with workforce planning or workshops.
- Strong institutional support is required for a TNA.

Training is designed to lead to competent behaviour that will result in accomplishments that have an impact on society and its institutions. However, training is an expensive investment. There are seldom enough resources to meet every detected training need. However, the consequences of 'no training' may be far more expensive than the costs of training in terms of failure to develop the potential of a country's human capital. Training needs assessments, based on an identification of critical competencies, can bring both precision and direction to training investments.

To implement the training needs assessment InWEnt primarily uses three approaches:

1. Expert workshops
2. Interviews
3. Questionnaires

**Figure 2-5** differentiates the TNA-approaches by project size, targeted stakeholders and estimated time needed.

Size of project	Approach and stakeholders	Estimated time
<b>Small scale</b> <ul style="list-style-type: none"> <li>• 1 to 5 training courses</li> <li>• up to 100 trainees</li> <li>• 2 weeks</li> </ul>	<b>Rapid TNA: Workshop</b> Project manager, training manager with the support of a training expert and the targeted institutions	1 week (incl. preparation)
<b>Medium scale</b> <ul style="list-style-type: none"> <li>• 6 to 15 training courses (a training programme)</li> <li>• more than 100 trainees</li> </ul>	<b>TNA workshop and interviews:</b> Project manager, training manager with the support of a training expert and representatives of the targeted institutions and concerned authorities	2 to 5 weeks (incl. preparation)
<b>Big scale</b> <ul style="list-style-type: none"> <li>• 16 to 100 training courses,</li> <li>• up to several thousand trainees including various training programmes (Human Resource Development Programmes with total costs of more than 1 million EUR)</li> </ul>	<b>TNA workshops, interviews and questionnaires:</b> Project manager, training manager with the support of a training expert and representatives of the targeted institutions and authorities concerned	One to several months

**Figure 2-6** serves as a checklist to help select the suitable TNA approach. The checklist will provide some criteria for the type of TNA needed. Combinations of approaches can be used, for instance, an expert workshop in combination with questionnaires.

Figure 2-6: Decision help for the selection of TNA approach

	Expert workshops	Interview	Questionnaires
<b>Characteristic</b>	Work meeting of representatives of stakeholders of the project activities	Information is gathered through direct personal interaction	Questionnaires will be designed according to the requirements of the project activities and sent to a selected target group
<b>Advantages</b>	Participation of specialists who know the deficiencies of the human resources and the requirements of the project activities; they can effectively and quickly determine the needs for specific target groups	The target group as well as their managers/ decision-makers can be directly approached; direct interaction with great flexibility which can reveal new insights	A large numbers of target group members can be approached in a short period; they are relatively inexpensive; enable the respondents to answer questions without fear or embarrassment; they produce information that can be processed easily
<b>Disadvantages</b>	This set-up or procedure does not include the majority of the people to be trained (target group of the training)	Very time consuming; skilled interviewers are necessary; the amount of interviews that can be conducted is limited	No possibility to find out if all questions are understood and properly answered; not as flexible as interviews since there is little or no opportunity to elaborate on responses
<b>What is needed</b>	Good preparation and structure, the support of a moderator, key questions and a clear vision of the future tasks, responsibilities and the desired structure	Careful selection of the target group and support of the heads of departments; skilled interviewers	Tested and unambiguous questionnaires; support of decision-makers
<b>Recommendation</b>	Workshop should be prepared with key questions and performed with a good moderator; visualisation and a summary report of the workshop is essential	Conduct interview-tests before starting the interviews	Combine the questionnaire with introduction through personal contact or telephone; test the questionnaire with representatives of the different target groups

For small training programmes with a limited scope and clearly predefined training objectives (e.g. a project needs new accounting skills, presentation skills for managers, etc.) an elaborate and complex TNA is NOT necessary. Well prepared and documented workshops are sufficient.

**Figure 2-7** is a central tool for a ‘Gap Analysis’ that is to be conducted for each of the target groups concerned – either in a needs assessment workshop or by using interviews and questionnaires. It will help to structure the needs with respect to the gaps. Drawing

from these gaps, ‘objectives’ and ‘expected results’ for any skills training or awareness creating measure have to be derived. **Section 2.4** explains the objectives and expected results.

Figure 2-7: Definition of target groups and Gap Analysis: Input for development of training events	
Item	Explanation
<b>Thrust area</b>	Name of the thrust area or field of activity (e.g. waste management, urban renewal, spatial planning, etc.)
<b>Project</b>	Name of specific project (e.g. identification of safe dump sites for hazardous solid waste, etc.)
<b>Target institution</b>	List of the addressed target institution(s) (or groups of target institutions)
<b>Target group within the institution</b>	Choose the level of the target group, for example: Level 1: Head of the organisation (e.g. chairman) Level 2: Executive head of the organisation (e.g. member secretary) Level 3: Divisional heads (e.g. director/additional directors) Level 4: Heads of individual units within each division (e.g. senior engineers, senior scientists) Level 5: Supporting staff of unit heads (e.g. assistant engineers, scientists) Level 6: Assisting staff to supporting staff Level 7: Junior staff below assisting staff (e.g. lab assistants)
<b>Current Mandate/Function/Responsibilities/Tasks</b>	With respect to
<b>Future Mandate/Function/Responsibilities/Tasks</b>	<ul style="list-style-type: none"> <li>• Administrative/managerial competence</li> <li>• Technical competence</li> <li>• Interpersonal skills</li> <li>• Competence for implementation and execution of core work</li> </ul>
<b>Overall HRD objectives for each target group (with priorities)</b>	To close the gaps, the participants have to <ul style="list-style-type: none"> <li>• be aware of ...</li> <li>• gain knowledge in ...</li> <li>• acquire the following skills ...</li> </ul> (it is important to be very specific and detailed concerning the objectives)
<b>Expected results</b>	After working through this module (course/package, etc.), the participant/target group will be (better) able to: ...

The results of the ‘Gap Analysis’ are the input for the design of human resource development activities described in **Section 3.3**.

At this step the derived objectives can be translated (summarised) into general training fields. An example of a list of training fields of the thrust area ‘environ-

mental planning’ shows areas with substantial deficits of staff from the level of divisional heads to the level of supporting staff in the Central Pollution Control Board of India (**Figure 2.8**). The priorities are indicated by numbers (1=highest and 3=lowest priority).

Figure 2-8: General training fields

1. Administrative competence	
1a General administration (priority 2)	1d Human resource and welfare management (priority 3)
1b Staff/Work management (priority 1)	1e Coordination, networking and public relation (priority 1)
1c Crisis management (priority 1)	
2. Technical competence for environmental planning	
2a Advisory function (priority 1)	2e Information management and documentation (priority 1)
2b Implementation and enforcement of laws and rules (priority 1)	2f Reporting and dissemination of results (priority 1)
2c R&D, review, validation and approval of methodologies, etc. (priority 1)	2g Professional exchange (priority 3)
2d Ability to use latest tools and techniques (priority 2)	2h Organisation and implementation of training (priority 1)
3. Interpersonal skills	
3a Communication skills (priority 2)	3d Teamwork, behaviour, attitude (priority 1)
3b Writing skills (priority 1)	3e Conflict management (priority 2)
3c Leadership (priority 2)	
4. Competence for the implementation and execution of core work in environmental planning	
4a Application of planning tools (priority 1)	4d Implementation of plans (priority 1)
4b Environmental assessment and database models (priority 3)	4e Technical support for stakeholders and partners (priority 2)
4c Environmental management and action plans (priority 2)	

## 2.4 Data Analysis – Derived Training Objectives and Expected Results

The training needs should be reflected in terms of awareness, knowledge and skills necessary to overcome the deficiencies through training.

The goal of the analysis is to provide the material for the development of:

- Training objectives for the courses;
- Expected results with respect to the training needs;
- The relevance of training needs;
- The training types and training methods most adequate to meet the training needs;
- The contribution of training towards the institutional capacity development.

As a bridge between training needs and the training itself, learning objectives and expected results are statements about what participants will know or be able to do when they return from the training. Objectives and expected results have various functions that have to be considered during the assessment of training needs:

- They provide the trainee with a specific focus during the training;
- They help to choose the appropriate learning contents;
- They are indicators to determine whether or not the training has achieved the intended learning result.

The following overview in **Figure 2-9** structures the steps of the TNA process from the target group analysis to derived human resource development programmes and their expected results.

Generally, there are four main areas for training or awareness building:

- Administrative/managerial competence;
- Technical competence;
- Interpersonal skills;
- Competence for implementation and execution of tasks and meeting new responsibilities.

The objectives have to be specific for each target group. The fundamental question to be answered by the course objective is: *‘What is the purpose of the training course?’* In general terms, this question can be answered thus: *‘To strengthen the competence of the institution/group in ...’*

Consequently, the training should provide:

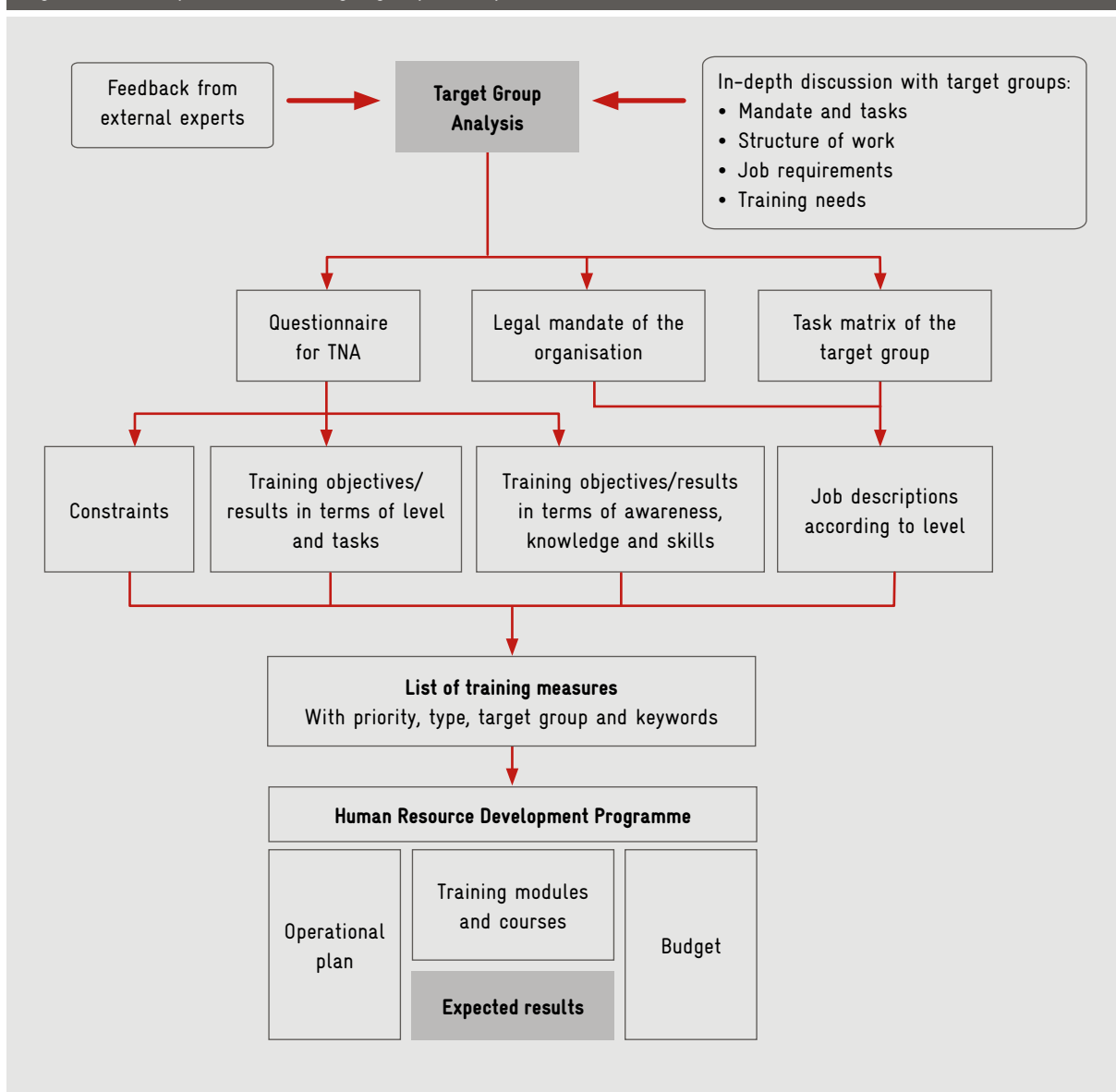
- Practical solutions;
- Theoretical concepts as tools;
- Skills to manage, moderate, mediate, coordinate, and to transfer or put into practice what has been learnt.

Expected results should be phrased in the following way:

*‘After completing this module (course/package, etc.), the participant/target group will be (better) able to: ...’*

The TNA report should also clearly define which ‘needs’ cannot be satisfied by training and why.

Figure 2-9: TNA process from target groups to expected results



## 2.5 The Training Needs Assessment Report

Independent of the type of training needs assessment, the results are documented and summarised in a TNA report. The report has three main messages:

1. Characterisation of the target institutions and their change requirements;

2. Characterisation of the target groups and their change requirements;
3. The training needs with objectives of future measures.

The report is the input for the human resource development operation planning and therefore of great importance. **Figure 2-10** shows a possible outline.

**Figure 2-10: Outline of a TNA report**

This report is a document which is the basis of the development of training courses and programmes.

A suggested outline is:

- Title, date
- Executive summary
- Objectives
- Methods used
- Difficulties encountered and how these difficulties were resolved
- Requirements and structure of the target institutions addressed, their profiles, their work processes and interconnections, and their required performance and capacities
- Hierarchical levels, status, profile and requirements of the target groups, and their required performance
- Comprehensive results and trends
  - Training needs in terms of skills, awareness, knowledge, sector fields of activity (managerial, technical skills, teaching, etc.), and the current performance (competencies, job requirements and work environment)
  - Assessment of the training types appropriate to overcome the deficiencies
  - Suggestions for the training objectives necessary for each group of potential trainees
  - The absorption capacities of the target group for training (when/how long they are available for training measures)
  - Clear statements concerning which deficiencies cannot be overcome by training measures within the time frame given by the project implementation phase
- Further steps to be taken and recommendations
- Annex
  - List of activities
  - Detailed explanations (if necessary to understand the method)
  - Data collected



### Example 1: TNA for a sector group (eco-industrial estates – rapid TNA)

The development of industrial areas to ‘Eco-Industrial Estates’ plays an important role within the activities of the Central Pollution Control Board (CPCB) and the Andhra Pradesh Pollution Control Board (APSPCB). That implies, first and foremost, the reduction of pollution loads and the increase in quality and efficiency of production in the context of environmentally friendly estate management.

The GTZ-ASEM entered into a Memorandum of Understanding (MoU) with the CPCB, the Andhra Pradesh Industrial Infrastructure Corporation Ltd. (APIIC) and the APSPCB to develop pilot eco-industrial estates in the state of Andhra Pradesh (AP), India. A newly emerging industrial estate and two existing industrial estates (IDA Nacharam and IDA Mallapur) are covered under the pilot project.

A capacity building programme was planned to support the stakeholders significantly in achieving their goals of transforming industrial estates into eco-industrial estates in order to accomplish a more environmentally friendly and sustainable industrial production.

As it is InWEnt’s core competence to develop customer-tailored capacity building programmes based on a comprehensive training needs analysis (TNA), InWEnt contributed to the project with the execution of TNAs, the development of marketable and target group-tailored training programmes and the provision of specialised training (management) inputs. The outputs of the activities in Andhra Pradesh are applicable nationwide and initiated a closer cooperation with the states and play an important role in the strengthening of the environmental training network. The process adapted was:

1. Discussion and brainstorming with representatives of the client institution on their institutional development needs identified  
↓
2. Preparation of a rapid but comprehensive institutional analysis with the purpose of identifying further institutional-strengthening needs  
↓
3. Identification of institutional development objectives and targets  
↓
4. Identification of the different specific target groups  
↓
5. Presentation of the results to the client institution and discussion and finalisation of institutional development objectives in a workshop including external expertise  
↓
6. Identification of the measures individually required and activities including suitable training institutions and institutional development experts, as well as appropriate collaboration partners  
↓
7. Identification of necessary inputs in the form of training, advisory services, etc., and preparation of a coherent institutional development concept and plan including required resources for implementation  
↓
8. Ensuring sustainability by establishing institutional development as a continuous process

The **Figures 2-11** and **2-12** are summaries of the results from a TNA workshop.

Figure 2-11: Example of results from a TNA workshop with target groups and experts in industrial estate planning

Target groups	Senior management of industries of an industrial park	All members of the notified municipal industrial areas service society
<b>Characteristics/ Background</b>	<ul style="list-style-type: none"> <li>Private companies</li> <li>197 property-tax assessed units = members of the service society</li> <li>50 of these were chemical units</li> <li>6 companies were recently shut down by the authorities because of violation of environmental standards</li> <li>A significant number of the companies are willing to improve the situation</li> </ul>	<ul style="list-style-type: none"> <li>The service society was founded in 2003 as a separate entity</li> <li>197 member units</li> <li>Providing services to the Industrial Areas Local Authority (IALA) and involving the entrepreneurs in the self-governance of industrial estates</li> </ul>
<b>Current role</b>	<ul style="list-style-type: none"> <li>Users of the estate and its resources</li> </ul>	<ul style="list-style-type: none"> <li>Acting together with the IALA as local authority (providing services)</li> </ul>
<b>Current tasks</b>	<ul style="list-style-type: none"> <li>Running the companies in an economically viable manner</li> </ul>	<ul style="list-style-type: none"> <li>Collecting taxes</li> <li>Approving construction plans for buildings</li> <li>Implementing infrastructure works</li> <li>Managing common utilities (roads, street lightning, etc.)</li> </ul>
<b>Vision</b>	<ul style="list-style-type: none"> <li>To use the estate, the resources and the environment in the most sustainable manner</li> </ul>	<ul style="list-style-type: none"> <li>To act together with the IALA as the local authority</li> <li>To be a communication centre, service provider and nucleus of the sustainable development of the estate</li> <li>A coordinator of further activities and development</li> <li>'Custodian of the environment in their own house'</li> </ul>
<b>Future tasks</b>	<ul style="list-style-type: none"> <li>To operate the companies in an economically viable manner</li> <li>To identify and realise economical and ecological improvement potential</li> <li>To build staff capacities in terms of awareness, knowledge and skills in order to identify and realize improvement potential in a sustainable manner</li> </ul>	<ul style="list-style-type: none"> <li>To collect taxes</li> <li>To approve construction plans for buildings</li> <li>To implement infrastructure works</li> <li>To manage common utilities (roads, street lightning, etc.)</li> <li>Either to operate &amp; maintain wastewater and waste utilities, or to supervise the service providers</li> <li>To push the transformation process forward and coordinate the activities necessary for the process</li> <li>To supervise the environmental performance of the estate</li> </ul>
<b>Training objectives and expected results (After training, the participants are able to ...)</b>	<ul style="list-style-type: none"> <li>Best examples in waste and wastewater management, including assessment of the particular situation and potentials in the company</li> <li>Best practices in waste minimisation/ source reduction, including assessment of the particular situation and potentials in the company</li> <li>Implementation of an environmental management system, or relevant parts of it</li> <li>How to create staff ownership at the implemented measures</li> <li>Basic skills in communication and team building</li> <li>Best practices in risk management and emergency response, including assessment of the particular situation and potentials in the company</li> </ul>	<ul style="list-style-type: none"> <li>Awareness, knowledge and skills in management and administration of an (eco)-industrial estate including infrastructure and services (waste, wastewater, etc.)</li> <li>Understanding of the Eco-Industrial Estate (EIE) -approach</li> <li>Process and project management, including communication skills in order to be capable of steering and coordinating the transformation process</li> <li>Knowledge of environmental management systems</li> <li>Appropriate staffing</li> </ul>

Training types, relevance and numbers are not specified in this table.

A list of human resource development activities was generated with all stakeholders from the Andhra Pradesh Industrial Infrastructure Corporation (APIIC), Andhra Pradesh Pollution Control Board (APSPCB), GTZ-ASEM and InWEnt. **Figure 2-12** includes the broad topics of planned events. For each

topic a detailed course characterisation was prepared and sent for approval to the political partner, the Ministry of Environment and Forests, and, after approval, announced on the Human Resource Development management platform [www.HRDP-net.in](http://www.HRDP-net.in).

Figure 2-12: Overview of the proposed training programmes and identified joint activities for the different target groups

Target groups	Industries from the Industrial Development Area Mallapur	MNMIASS Mallapur Notified Municipal Industrial Areas Service Society	APIIC Andhra Pradesh Industrial Infrastructure Corporation	APSPCB Andhra Pradesh State Pollution Control Board
<b>Kick-off training</b>		One-day training to build awareness and knowledge	One-day training to build awareness and knowledge	One-day training to build awareness and knowledge
<b>Orientation phase</b>	Up to two 10 day visits cum exposure to China and Europe			
<b>Group training</b>	Waste and wastewater management Risk management and emergency response Source reduction, waste minimisation Environmental management Communication skills	Awareness and knowledge on operation and maintenance of waste and wastewater management systems Risk assessment and emergency response Environmental management Communication, information and coordination skills Industrial estate management, eco-industrial estate approach Project and process management Estate management system	Industrial estate management, eco-industrial estate approach Identification, planning and design of new eco-industrial sites Marketing of eco-industrial sites	Industrial estate management, eco-industrial estate approach
<b>Individual consultancy</b>	Up to 10 days per company and year			
<b>Weekly jour fix</b>	Weekly fixed consultation hours including discussions			
<b>Hands-on training</b>		Management skills Communication and interpersonal skills Estate information system Risk management and emergency response Supervision of waste and wastewater management	Identification, planning and design of new eco-industrial estates Planning tools Legal and formal requirements	Comprehensive monitoring and controlling mechanism Case study on wastes

Ctd. Figure 2-12

Target groups	Industries from the Industrial Development Area Mallapur	MNMIASS Mallapur Notified Municipal Industrial Areas Service Society	APIIC Andhra Pradesh Industrial Infrastructure Corporation	APSPCB Andhra Pradesh State Pollution Control Board
Observation and reflection on the transformation process at Mallapur		Can participate in APIIC measures	Work group at APIIC Participation in selected group training at Mallapur (industries) Participation in selected consultancy sessions Regular participation in the weekly jour fix	Can participate in APIIC measures

**Example 2: TNA on a national level – refinement in a participative process of planning with training providers**



Human resource development has been considered an essential component to ensure sustainability of the spatial environmental planning programme (Zoning Atlas for the Siting of Industries) supported by the GTZ and the World Bank. All the proposed measures were intended to strengthen the awareness of the need for and usefulness of the programme results, and to gain knowledge and skills necessary to carry out the work and contribute to a sustainable development. The overall objective was to support the institutional capacities of institutions in India directly or indirectly involved in environmental planning in the performance of their tasks by incorporating environmental considerations effectively and efficiently.

The concept of the Human Resource Development Programme was established on the basis of:

- Previous working and training experience of the Environmental Planning Cells at the Central Pollution Control Board
- A thorough training needs assessment and the identification of the main target groups
- An assessment of existing training institutions in India capable of offering training courses in the context of the SEP-net.

Due to the acceptance and success of the results of the Zoning Atlas programme, activities and implementation have reached a level that opens the perspective for introducing the concept of spatial environmental planning into various other planning levels and into

sectoral planning. This step forward was only feasible because appropriate ‘human resources’ within the Zoning Atlas programme as well as within the result user’ institutions were available. All stakeholders were motivated and well trained.

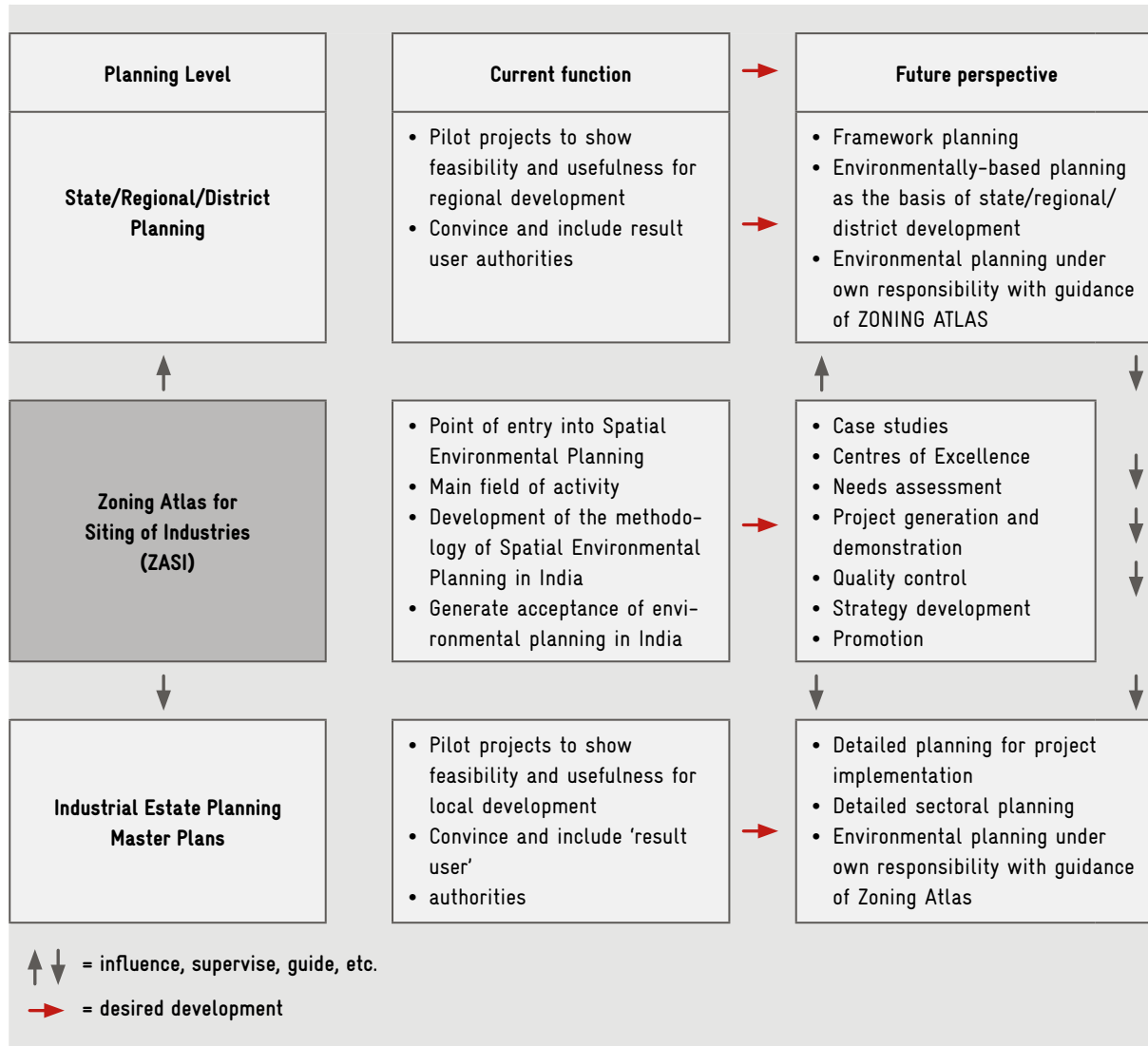
Training and capacity building were embedded in a strategic programme to avoid simple ad-hoc addition of training measures. It was expected that the concerned institutions (the environmental administration as well as other authorities and institutions) would increase their competence significantly after the end of the HRD training programme (in 2005) and would incorporate environmental considerations in their programmes, plans and projects.

The underlying strategic considerations of the training component of the Human Resource Development Programme are summarised in **Figure 2-13**.

The Zoning Atlas programme initiated and guided the district level planning at a state level, as well as the detailed master planning of estates at an implementation level. It was the task of the SEP-NET Human Resource Development to strengthen the current functions and to prepare the stakeholder for future perspectives, such as framework planning, at state level and detailed planning for project implementation at the site level. The latter was included in the thrust area Sustainable Industrial Development of the Indo-German Programme ASEM (Advisory Service for Environmental Management) in 2003.

Based on these strategic considerations, a detailed national training needs analysis was prepared in 2000 using a target group portfolio analysis.

Figure 2-13: Strategic considerations for the training component of the human resource development programme



## 2.6 Overview and Process of the Applied Target Group Portfolio Analysis

A target group portfolio analysis was conducted by using a questionnaire based on a table of required tasks in spatial environmental planning of the targeted institutions. The 50 experts (representatives of the institutions addressed, such as central and state pollution control boards, municipal corporations, training providers or independent experts) had to complete tables stating for defined target groups or institutions the

desired role/performance and the current role/performance on a scale between 0 (no role/performance) and 3 (high role/performance). Subsequently the current performance was compared with the desired performance for the defined target groups. The results of this analysis for the institutions concerned and the related areas for training and awareness building are shown in **Figures 2-14 to 2-18**.

A completed performance table is attached in the **Annex 9.4**. The results of this analysis are shown in **Figures 2-15 and 2-16**.

Figure 2-14: The Target Group Portfolio Analysis

A 'target group portfolio analysis' is based on an estimation of the performance of different target groups/institutions with respect to different tasks/responsibilities.

Experts estimate the current role/performance and the desired/necessary role/performance with scores between 0 (no performance) and 3 (highest performance) in a questionnaire. The differences are then analysed:

- To calculate the value of 'tasks and performance' the sum of the actual institutional performance is plotted against the desired one (row sum 'actual' against row sum 'target');
- To get the 'institutional competence' the sum of the current performance related to one task/function is plotted against the desired one (column sum 'actual' against column sum 'target').

If data tables of several experts are available, their estimates are added up and normalised to produce an overall picture.

Functions and tasks for spatial environmental planning/development	actual	target	actual	target	...	row total
Promotion of spatial environmental planning concepts	2.00	3.00	0.75	2.25	...	8
Strengthening of awareness in user institutions	1.50	3.00	0.25	2.00	...	6.75
Strengthening of awareness of key persons	2.00	3.00	0.75	1.50	...	7.25
Plan preparation by skilled staff	2.00	3.00	1.25	2.75	...	9
...	...	...	...	...	...	...
<b>column total</b>	7.5	12	3	8.5	...	...
Identified institutions/ groups directly and indirectly connected to spatial environmental planning/development	Zoning Atlas teams		Consultants and		...	

**Interpretation**

- If the current performance/competence matches the desired one, the points in the plot would be located on the diagonal.
- For the 'task and performance' graph, the y-axis represents the number of functions and tasks expected to be performed by the target group. Institutions placed at the top of the graph have to fulfil many tasks, those at the bottom only a few (see illustration).
- For the 'institutional competence' graph the y-axis represents the number of institutions/target groups. Tasks that have to be fulfilled by many institutions are placed at the top of the graph; those at the bottom are limited to a few.

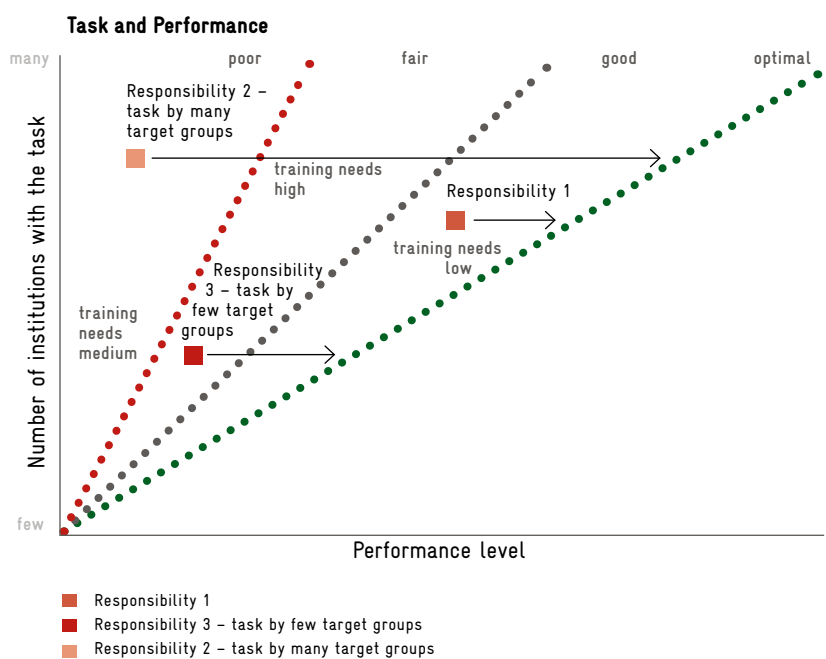


Figure 2-15: Institutions and their competence level

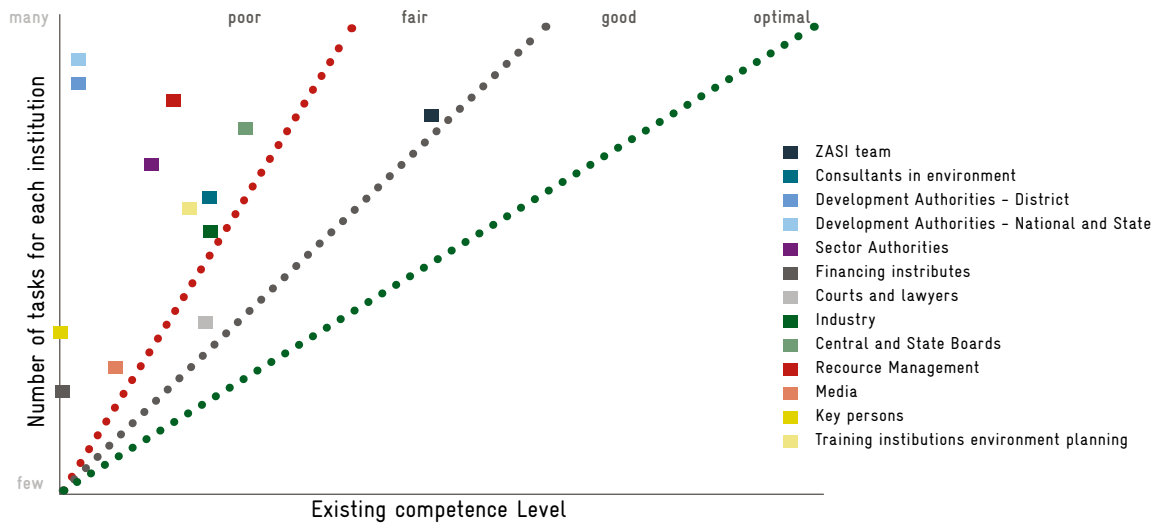
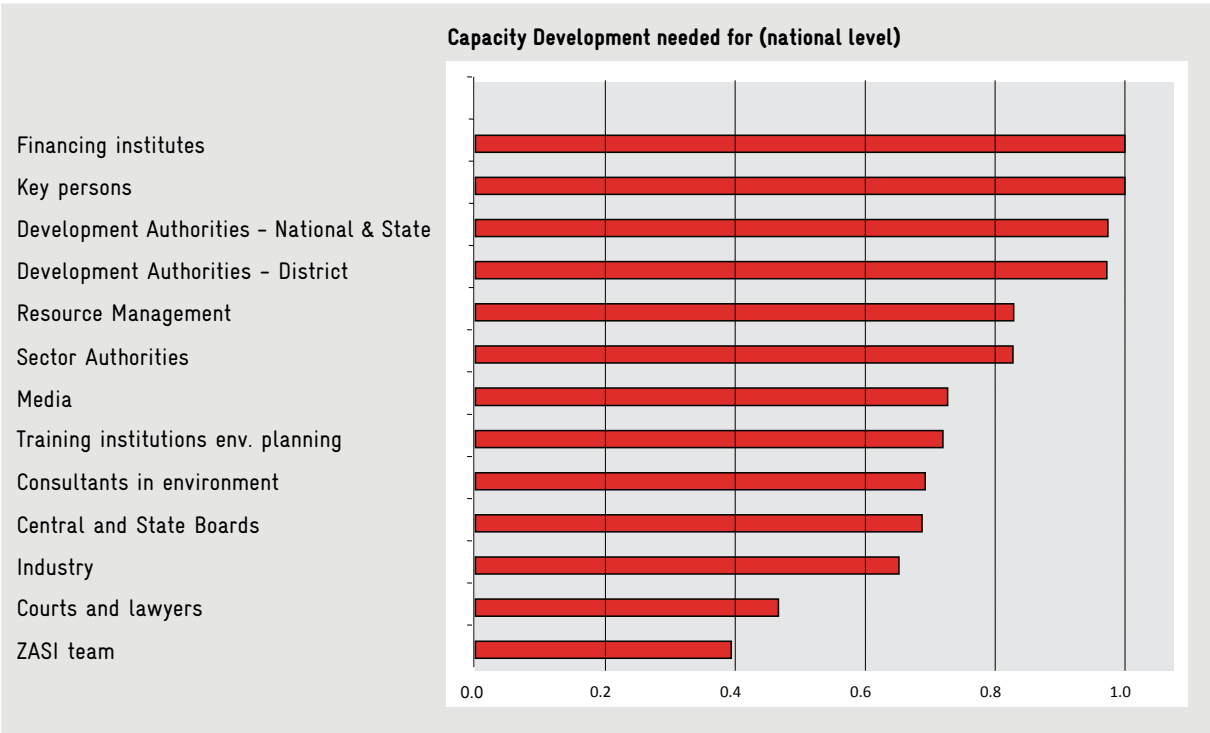


Figure 2-15 depicts the overall ranked training needs for the different target institutions. The (normalised) distance can be plotted into a bar graph, as in Figure 2-16. Key persons (decision-makers in the institutions

analysed) and financing institutions have the highest need for training, the 'zoning atlas teams' in the pollution control boards (ZASI-Team) have the lowest need.

Figure 2-16: Normalised competence deficits for target groups/institutions



Figures 2-17 and 2-18 show the deficits related to the main tasks of planning and implementation processes of the siting of industries. The task areas indicate the topics that need to be focused on in training activities.

Figure 2-17: Task and performance – training needs in different task areas

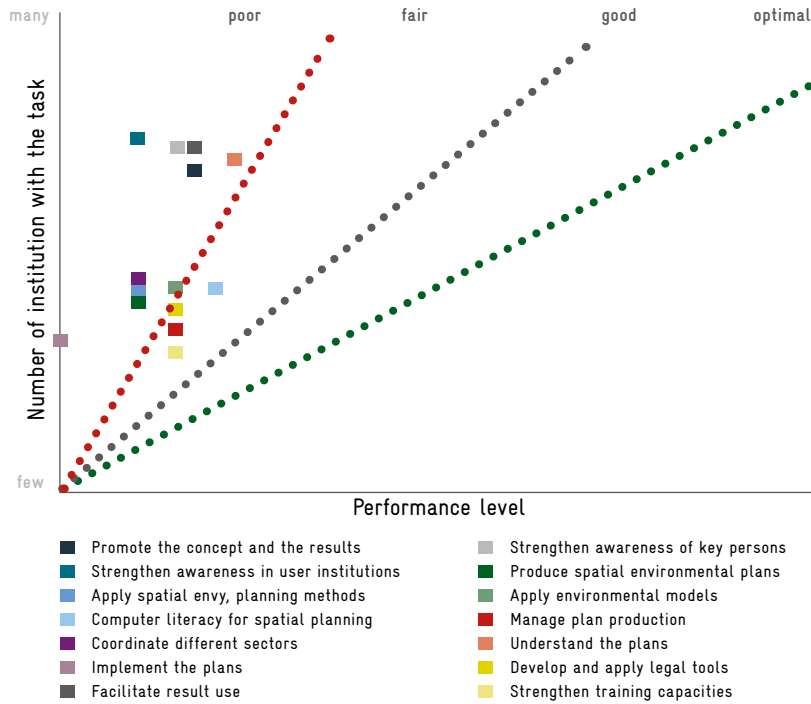
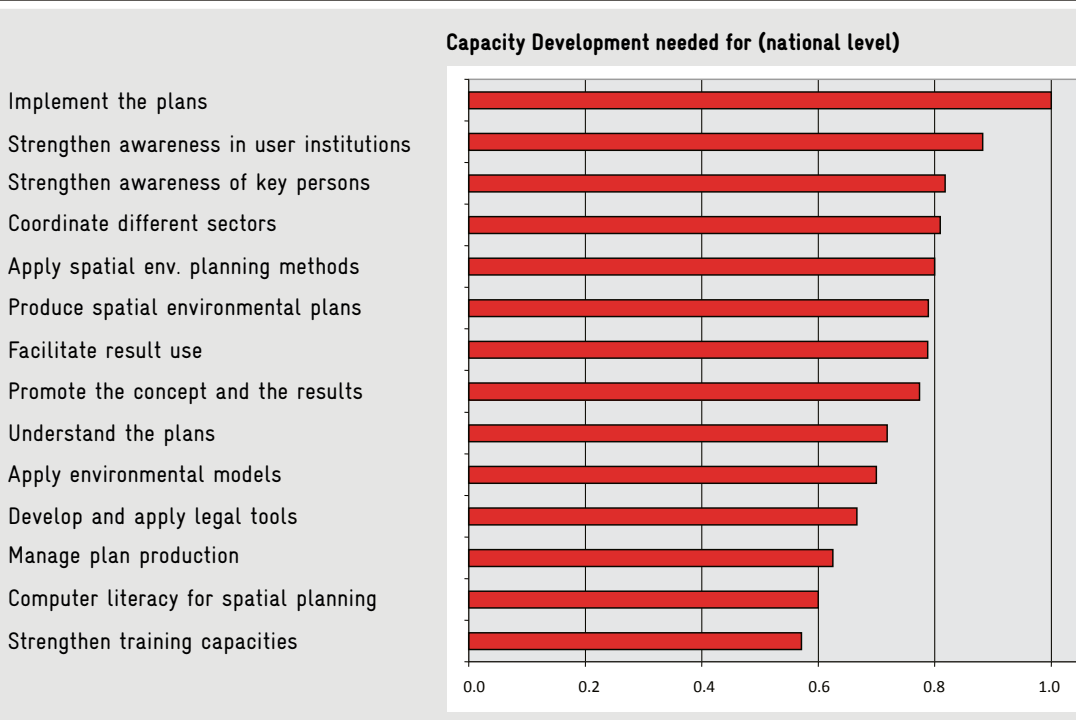


Figure 2-18: Normalised needs in different task areas





**Interpretation and consequences** The highest training need applies to the ‘implementation of plans’, the lowest to the ‘strengthening of training capacities’. Nevertheless, the graphs clearly visualise that there is an urgent training need in spatial environmental planning as well. Awareness (second and third row) and understanding of spatial environmental planning (fifth and sixth row) turn out to be poor and thus necessary for most of the target groups.

Skills for plan preparation/production (sixth row) and implementation (first and seventh row) are only rele-

vant for some of the target groups, but there is still an obvious need for skills training.

For the final decision on the allocation of resources, strategic considerations have to be included. For example: the Zoning Atlas team has a relatively good performance, but the consequence cannot be to stop improving its competence and instead concentrate on target groups performing worse. Further improvement is still necessary. The consequences can be summarised as shown in the **Figure 2-19**.

Figure 2-19: Training types and target groups

Training types	Target groups
Awareness building	Key persons, industry, media and public, judiciary, financing institutes
Technical skills for plan preparation	CPCB/SPCBs, planning departments, district and state authorities, sectoral authorities and consultants
Skills and awareness for plan implementation	Development authorities, planning authorities, industry and sectoral authorities
Training of trainers and training methods	Training institutions, academic institutions

The data was used to derive objectives of training and awareness measures. **Figure 2-20** gives an overview of the maximum number of training courses and trainees

in the HRD Programme until the end of the programme 2004.

Figure 2-20: Planned numbers of courses and numbers of participants

Type	No. of courses	Desired no. of trainees	Implemented between 2001 to 2004 for no. of trainees
Awareness building	105	4005	4750
Skills training	82	1850	1577
General training ‘Spatial Environmental Planning (SEP)’	13	1200	235
Train-the-trainers	13	1200	195
<b>Total</b>	<b>213</b>	<b>7055</b>	<b>6757</b>

## 2.7 Repetition of a TNA within the Training Cycle

The repetition of a TNA may have two functions. It can be a contribution to the training impact evaluation process and/or it can be an essential contribution to increase the improvement of or widening the project activities in a project learning process.

Further TNA might be necessary for the following reasons:

- The project itself has changed and widened or shifted its scope and new activities have emerged;
- The target group changed, following experiences in the first project steps;
- During the training activities it became clear that additional training efforts are necessary;
- A fluctuation of involved personnel occurred, and new persons and responsibilities evolved.

When conducting projects, one can frequently observe that the first ideas for training needs concentrate on technical skills improvement (such as monitoring schemes, computer handling or planning skills). However, during the project implementation it may turn out that there are other problems regarding the proper management of the available financial and human resources, or the lack of motivation of the employees.

During the activities of the Human Resource Development Programmes, a TNA was repeated during a sequence of planning and evaluation workshops. These workshops were based on the discussion of training reports, the evaluation of the experiences and the outcomes of conducted training events and interaction with selected participants, experts and training providers.

The results of the planning and evaluation workshops are used to develop and update the operation plans, which we will take a closer look at in the following **Section 2.8**.

As soon as the TNA report is available, training courses and/or programmes can be derived and designed. In **Chapter 3**, 'Design and Preparation of HRD Events', more details are given.

## 2.8 Planning the Operation

Awareness building and mobilisation, as well as training programmes, are sequences of activities or modules for different target groups. They are an integration of social, technical and managerial modules, as well as awareness and motivation workshops, according to the demands of the target group. The implementation of these programmes is expected to lead to the capacity building of the stakeholders and beneficiaries. Capacity building involves a series of sequenced human resource development events and is not achieved by implementing just a single event. Therefore it is important that these awareness building and training activities are launched at the right time when they are most required and effective. The sequencing and coordination of subprogrammes is one of the most important factors for success.

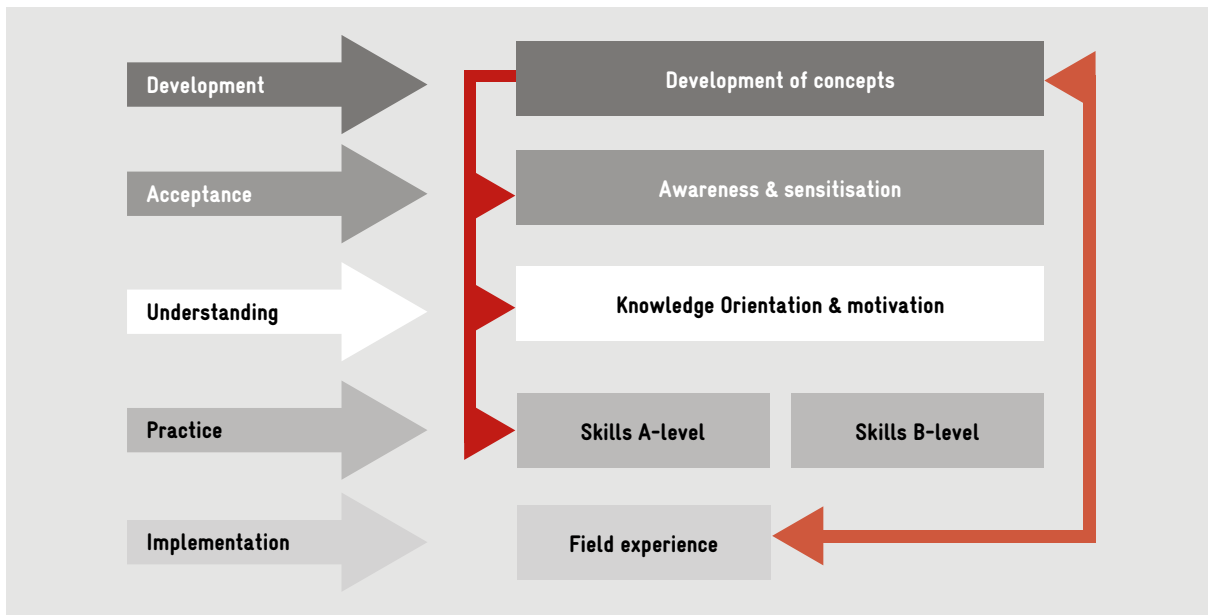
It involves, for one or more target groups, the following:

1. The sequence of awareness building activities
2. The sequence of training activities, the order in which the courses should flow and be interlinked
3. The project or programme implementation schedule:  
The awareness building activities and the skills training courses for each target group have to be adjusted against other project implementation activities. The awareness building and training activities should precede the activities for which they are needed, with the time lag between the two kept such that it is not too short to internalise the information and the messages and not too long for the concepts and skills to be forgotten.
4. The sequencing should also consider the seasonal time calendar of the target group so that the activities can be launched at the appropriate time
5. The sequence of the activities for a particular target group will depend on the sequence for others

As illustrated in **Figure 2-21**, an ideal series of an HRD programme should have:

- 1) A **development** phase;
- 2) A phase with focus on **awareness** and **knowledge**;
- 3) A **skills training** phase and the **implementation** of results.

Figure 2-21: Ideal steps in a human resource development programme

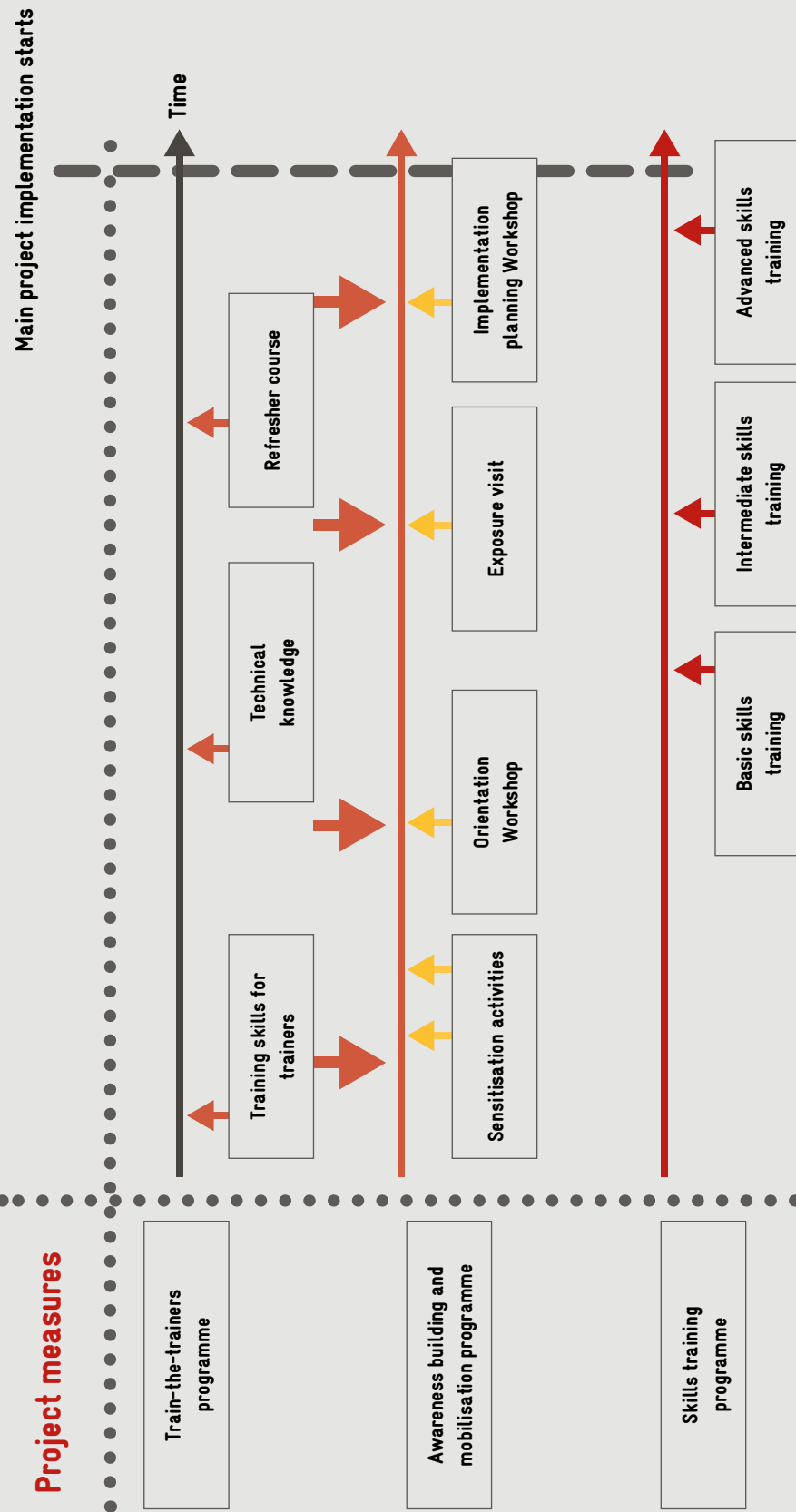


**Figure 2-22** gives an idealised example of three programmes: *the training-of-trainers programme* of the target group, the *awareness building programme* and the *skills training* necessary to implement concrete measures.

In practice, the coordination of different human resource development measures and programmes is a

complex structure to plan. All implementation steps are greatly dependent on administrative procedures and consent, which usually leads to considerable delay. Nevertheless it is important for a project that an overview is maintained, as well as the awareness that each activity has a predecessor and a successor.

Figure 2-22: Coordinated implementation, awareness building, training and project/programme activities

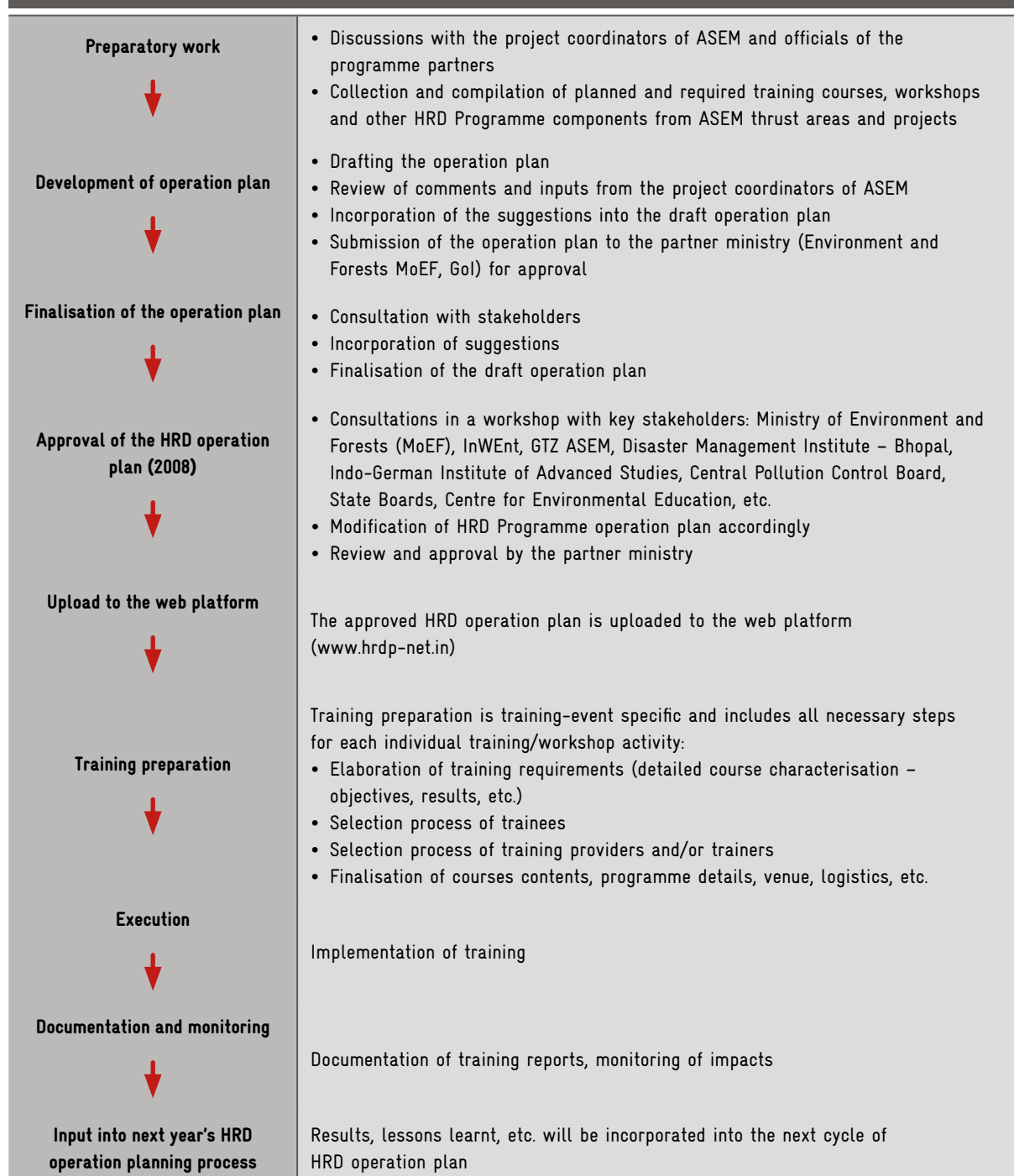


## 2.9 The Process of Operation Planning

The operation planning starts with the sequential compilation of the training requirements, normally derived from a training needs assessment. The plans and programmes define the context within the human resource

development process and are presented to and discussed with the project stakeholders (such as the steering committee, advisory board, etc.). The sequence of work can be illustrated as shown in the table below (example of the ASEM HRD programme 2003-onward, source: Operation plan 2008 ASEM programme with small changes).

Figure 2-23: The process of operation planning



The operation plan provides the basis for successful implementation and performance. It has to have the necessary flexibility to adapt and adjust to changing demands and to incorporate the experience gained during the different phases of the programme.

The HRD operation plans have two parts:

1. The textual aspect consists primarily of the description of different training events (workshops, hands-on, train-the-trainers, skills training, training-cum-visit, international study tours, etc.).

The training events are coded and given the full title. In addition their scope is described as well as the target groups. Comments on sequence, duration and other characteristics are also included.

2. The chart aspect contains Gantt Charts for each training area, with information on time and sequence, preparation phase, mile-stones, the project they are related to, and the project contact person.

In **Figure 2-24** the work process for designing a human resource development plan and its time flow are shown.


**Figure 2-24: Work process for the design of a human resource development operation plan**

Each project starts to prepare a project operation plan in December/January. Most of the project operation plans have workshops, training courses, visits and conferences (HRD events) – these events are compiled and joined and an overall HRD programme for each year is derived and managed by a training management unit (TMU).

**Preparation**

1. The thrust areas and the list of projects are updated.
2. The TMU provides each project coordinator (and others that design/compile project operation plans) with HRD Programme standard announcement forms and guides them in filling them out with their HRD Programme needs.
3. The TMU discusses the inputs and tries to understand the whole project process.

**Input from project coordinators (and others) about HRD needs in their projects**



**Textual aspect of HRD operation plan**

1. The first section is concerned with the HRD organisation (meetings, coordination, reports) and the internal TMU capacity building.
2. All collected announcements are sequenced according to their thrust areas and projects.
3. Each project is described briefly.
4. Codes are given to each event/sub event (code list to avoid duplication).
5. Each event is classified according to the tasks in which TMU is involved in the organisation (inhouse, training providers, study tours, etc.).


**Chart aspect of HRD operation plan**

1. All codes with title, type and responsible project coordinator are put into a Gantt Chart.
2. Potential training providers and planned time are added.
3. Check with project coordinators.

**Non thrust area related HRD events CHECK numbers?**

1. Through interaction with the project coordinators and training providers, more ideas emerge for proposals.
2. Input from stakeholders and forwarded requests from others are discussed and evaluated – they are included in the operation plan either under the corresponding thrust area or under a subsection 'Environmental Policy'.


**Input from other sources:**

1. Additional stakeholder requirements
  2. New ideas from project implementers
  3. Requested outside proposals
- 

**Finalisation:**


Draft HRD operation plan documents should be checked by the project coordinators. The yearly Evaluation and Planning Workshop can be called for discussion and approval.

See Figure 2-22: Work process for the preparation of the yearly Evaluation and Planning Workshop



An example for the possible design of an integrated operational plan is given in **Figure 2-25**. It is visualised in the form of a Gantt Chart giving the different tasks (and groups of tasks), and a time schedule. Milestones, periods of implementation of tasks, preparation phases, meetings, and interrelations can be displayed.

Figure 2-25: Example of a chart for the operation plan



Organisation and coordination		2008				
		March	April	May	June	July
<b>Code</b>	<b>Planning and coordination HRD Programme</b>					
HRDP-ORGA-1	Planning and evaluation workshop HRD Programme (national)					
HRDP-ORGA-2	Standing committee "Technical Group HRD"					
ORGA-3	Planning and Review Workshops on CPCB-ASEM Projects to work out operational plans for 2006-07 (End of June)					
<b>Operation and action planning</b>						
HRDP-OP-1	Weekly interaction with project coordinators					
HRDP-OP-2	Adaptation and revision of operation plan					
HRDP-OP-3	Training Action Plans					
<b>Reporting</b>						
HRDP-REP-M	Monthly brief activity report		■	■		■
HRDP-REP-Q	Quarterly short activity report to technical group members	■			■	
HRDP-REP-Y	Yearly report					
<b>Dissemination and visibility</b>						
HRDP-DIS-1	Newsletter					
HRDP-DIS-2	Web site					
HRDP-Disk 4+5	WEB-content management and system development		Develop-ment			1st training
HRDP-DIS-3	Visibility and branding					
Internal Capacity Building: Training Management		2008				
		March	April	May	June	July
<b>Code</b>	<b>Training Management Skills Training</b>					
HRDP-TCM -2	Documentation and course evaluation - evaluation tools/ procedures for proposals and training reports - <b>hands-on skills training</b>					
HRDP-TIE-1	Training Impact Evaluation and indicators - <b>hands-on and managerial skills training</b>					
HRDP-ToT-CD-2	Workflow management: for project managers (ASEM for coordination tools and standards) - <b>Coordination and planning workshop</b>					
TNA	<b>Training needs assessment</b>					
TNA-0	Training Needs Assessment - upcoming needs					



Ctd. Figure 2-25

Skills training courses and workshops		2008				
Code	Environmental Planning	March	April	May	June	July
EP-EIE	Developing pilot eco-industrial estates in AP					
EP-EIE-1a	Awareness meeting at Mallapur					
EP-EIE-1f	One-day programme on managerial skill improvement at Mallapur					
EP-EIE-1g	One-day programme on managerial skill improvement at Nacharam					
EP-EIE-1i	One-day workshop on productivity awareness for Human Resource Development in the identified industrial clusters in Andhra Pradesh					
EP-EIE-1j	Advanced programme for leadership in industrial environmental management					
EP-EIE-15	Dissemination workshop highlighting success stories of IDA Mallapur & IDA Nacharam					
EP-EIE-4a	Individual consultancy session for the chosen industry at IDA Mallapur					
EP-EIE-8n	Eco Club meet at IDA Nacharam					
EP-EIE-13e	(Eco-) industrial estate planning & management - training of stakeholder institutions, associated with industrial estate planning & development					
EP-EIE-13f	Training on (Eco-) industrial estate base line survey and information system - training for IALA Nacharam, IALA Mallapur, APIIC, APPCB					
EP-EIE-13g	Water & waste water management for industrial estates for IALA Nacharam, IALA Mallapur, APIIC, APPCB					

The general approach of capacity building should be conducted through a sequenced set of courses and activities, the capacity building programmes. These CB programmes consist of a standardised series of courses, seminars, conferences, workshops, etc. Each of these courses will be composed of modules (a modularised approach) as illustrated in **Figure 2-26**.


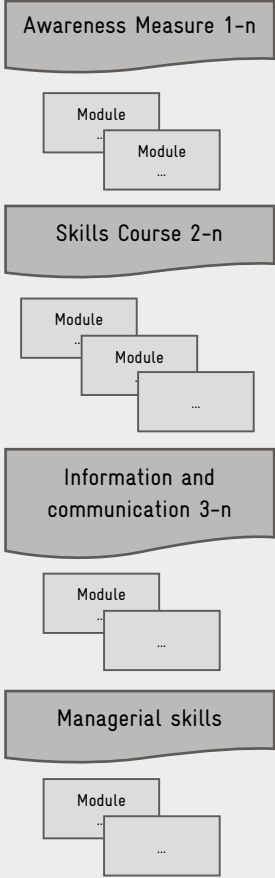
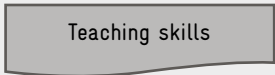
Such a modularised approach is an important pre-requisite for:

- A performance-based assessment of the participants
- A standardised structure that allows the development of e-learning modules

- The flexibility to adapt to new developments by adding or replacing single modules without changing the whole structure of the capacity building programmes.

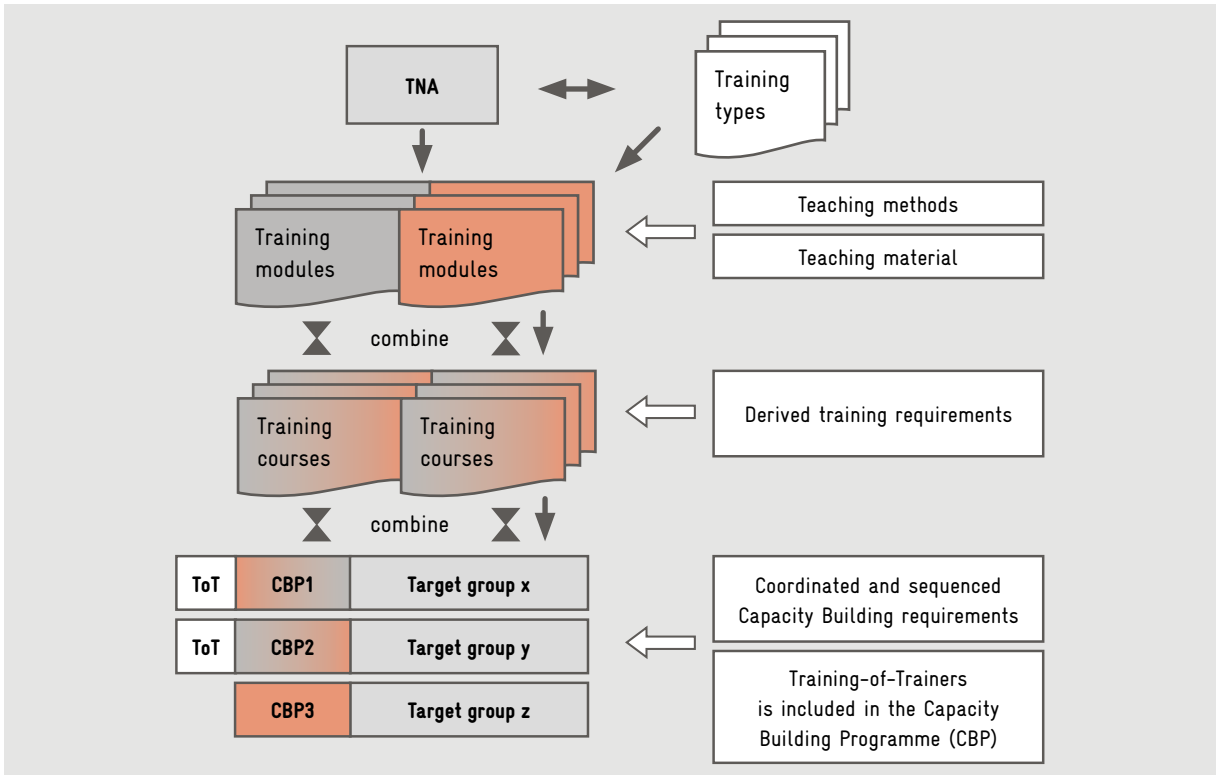
See also Disaster Management Institute, Bhopal (2009 and 2010) for developed training modules.

Figure 2-26: Components of a capacity building programme

	<p><b>Capacity building programmes</b> are a combination of the modules with input from development workshops, and consist of a target group-specific sequence of courses and, if necessary, awareness building measures. They also include other organisational development measures, such as networking, setting rules and enforcement, defining and implementing responsibilities, and planning and maintenance.</p>
	<p>The <b>type of course</b> (e.g. awareness building measure, skills training, information and communication workshop, managerial skills course, mock drills, etc.) depends on the content and the target group.</p> <p>The basic units of all different training courses are the <b>modules</b>. A module can be used in different courses. The aim is to create a 'supermarket of modules' that allow the adaptation to new requirements in courses or programmes.</p> <p>There are obligatory and specialised modules and courses. Their combination determines the course level (basic – intermediate – advanced).</p> <p>The modules can also be easily disseminated among other stakeholder institutions, to ensure reaching a wide group of stakeholders.</p> <p>Each capacity building programme should include courses on soft skills such as management, information and communication, relations to media and the organisation/evaluation of awareness campaigns</p>
	<p>Training-of-trainers courses will additionally contain the practise of presentation skills, group work competencies, and teaching skills.</p>

A summary of the capacity building process, from the training needs assessment to the programmes developed for and offered to the different target groups, is shown in **Figure 2-27**.

Figure 2-27: Process from training needs assessment to capacity building programmes



## 2.10 Coding of Human Resource Development Events

For the knowledge management of a HRD programme, a unique **CODE** is required for each activity. This code will be used for the documentation in hard-copy, softcopy and the *internet platform* storage. The

training management keeps a master code list and provides the codes during the planning and updating process. The CODE is obligatory.

General structure of the code:

```
<Thrust area abbreviation>|<year>|<project abbreviation>|<number>
```

SID|2009|iDRM|15

Examples:

Code	Title
SID 2007 EP-EIE 16	Sustainable Industrial Development: Eco-Industrial Estate Management and Planning for Industrial Estate Developers and Industrial Park Management
SID 2008 EP-EIE 13	Sustainable Industrial Development: (Eco-) Industrial Estate Planning & Management - Training of stakeholder institutions, consultants associated with industrial estate planning & development in Andhra Pradesh
SID 2007 CP-WB 1	Sustainable Industrial Development: Stakeholder Discussion on West Bengal Pollution Control Board - GTZ ASEM Project-Textile Cluster

## 2.11 The Planning and Evaluation Workshop

The final planning and agreement stage of one year's human resource development activities takes place in a yearly 'Planning and Evaluation Workshop'. This workshop has the task to coordinate the different capacity building programmes and to discuss and evaluate the structure for the HRD approach, to draft changes and to add new activities. One of the most important issues of discussion is the harmonisation and adequate timing and sequencing of the training plan with the technical project implementation needs.

The planning workshop will create control and ownership from all the stakeholders and might include additions and corrections to the programme.

Key questions of planning workshops are:

1. Are the developed training approaches and the skills training courses adequate and do they find approval?
2. Is there a need for change in the programmes and their sequencing with respect to the technical implementation of the project?
3. What can be changed now and what will be changed in the process of implementation?

As a central result a training programme and strategy are presented, adjusted and agreed upon and can be announced and implemented.

**Figure 2-28** shows the process for the preparation of a yearly workshop.

Figure 2-28: Work process for the preparation of a yearly human resource development planning and evaluation workshop

#### One month in advance

1. TMU drafts an action plan including all prospective steps and responsibilities of the operation planning
2. Interaction with project coordinators (and others involved) on special requirements inputs for the HRD Planning and Evaluation Workshop and date
3. Draft agenda and list of invitees
4. Project coordinators are informed to give presentations of HRD results of their area (who is doing what and when)
5. Meeting with all stakeholders (first MoEF then ASEM and others) is fixed

Project coordinators (and others) deliver planned HRD events for their projects.

Yearly HRD Programme Planning and Evaluation workshop - 1 month before end of fiscal year

#### Technical Preparation

1. Fix a venue
2. Prepare a budget
3. Make a detailed workshop plan (opening lectures, work groups, presentations, and expected results)
4. Have it approved
5. Send first invitations and call possible participants
6. Put announcement on the internet platform
7. Prepare banner, folders and usual workshop utensils
8. Identify moderator
9. Make detailed programme
10. Find out who will come
11. Consider lunch and teas
12. Print papers

#### Preparation of Content

1. Update the 'event list' (= project history)
2. Prepare yearly report (text and presentation, incl. statistics)
3. Presentations on:
  - a. Content management system (HRD Platform)
  - b. Statistics
  - c. Work history and Impacts
  - d. New HRD operation plan
4. Identify who else will give a presentation (i.e. representatives of training institutions, technical group members, HRD Programme coordinator)
5. Formulate expected outcomes
6. Preformulate minutes

#### Finalise

1. Write minutes
2. Prepare final draft of HRD operation plan (text and chart)
3. Submit to ministry for approval
4. Support fast processing



## 3 Design and Preparation of HRD Events

### Summary

Chapter 2 described and discussed:

- **Training needs assessments** that provide the input for training programmes in terms of customer tailored needs
- **Human resource development operation plans** that integrate all human resource development requirements of projects into training programmes and calendars
- **Planning and evaluation workshops** that ensure the stakeholder agreement for HRD concepts and operation plans, evaluate past achievements, and contribute to future capacity building efforts

This chapter covers the topics:

- Learning principles
- Types of human resource development events
- Event characterisation and announcement
- Selection of training providers
- Selection and evaluation of training proposals

### 3.1 Learning Approaches – Background for the Design of HRD Events

Concepts and tools such as the TNA, operation plans and training calendars are the basis for the development, design and preparation of executable HRD measures. Training providers and trainers are responsible for designing the measures.

The design process

- is based on basic principles of learning and understanding;
- starts with a detailed characterisation of the course that defines the requirements with respect to formulated awareness, knowledge and skills components;
- is, whenever possible, designed in a modular form;
- should be guided by already existing and standardised training materials;
- has to start with well-defined and detected training needs translated into objectives and expected outcomes;
- is target group specific and addresses their qualification level and absorption capacity.

Different objectives and course content, different levels of target groups as well as different stages of the capacity building processes need special approaches in teaching and learning. Moreover, the design of training courses or workshops has to be based on basic principles of learning and understanding.

#### 3.1.1 Domains of Learning: Awareness – Knowledge and Skills

To effectively reach the targeted groups and individuals and to facilitate the formulation of executable learning concepts three basic ‘domains’ are considered:

The affective domain:

**Awareness/attitudes**

To open minds, raise consciousness and commitment and to change attitudes

The cognitive domain:

**Knowledge**

To acquire the relevant knowhow, information and orientation to enable understanding

The psychomotor domain:

**Skills**

To develop competence and ability to transform knowledge into practice

Further, the identification of workable and realistic objectives, the transposing of objectives into content combined with adequate teaching methods and finally the composition of single learning steps into courses and programmes need consciousness about the properties and characteristics of learning and change processes.

#### 3.1.2 Difficulty and Efficiency of Learning

All learning objectives are normally directed towards changes in perception, the development of the trainees’ ability to perform and even change their value systems. Therefore any design and approach of capacity building events has to carefully consider the degree of difficulty linked to the ‘domains’ and the difficulties with respect to the change process. **Figure 3-1** shows the degree of difficulty for the participant when faced with change requests and their challenges.

Figure 3-1: Complexity of the tasks the participant has to perform

Main domain	The capacity building activity has to	Participant has to	Degree of difficulty
Knowledge	pass on information and facts	perceive	easy
Skills	present new tools	accept	moderately difficult
Skills and awareness (motivation)	stimulate the change of behaviour, provide new tools	react	difficult
Skills and awareness (mobilisation)	introduce new ways of planning and management	change something	very difficult
Intense change of awareness, sufficient skills and an adequate working/living environment	change value systems	change oneself	extremely difficult

However, each task (such as 'to analyse' or 'to recall') has a correlation in each of the learning domains. For example: the task of 'recalling' allows 'to choose' (= a function of awareness), 'to list' (= a function of knowledge), and 'to point to' (= a function of skills).

**Figure 3-2** illustrates the relation between the different levels of tasks and the activity outcome for the learning domains. It helps to formulate the objectives and expected results of HRD measures realistically.

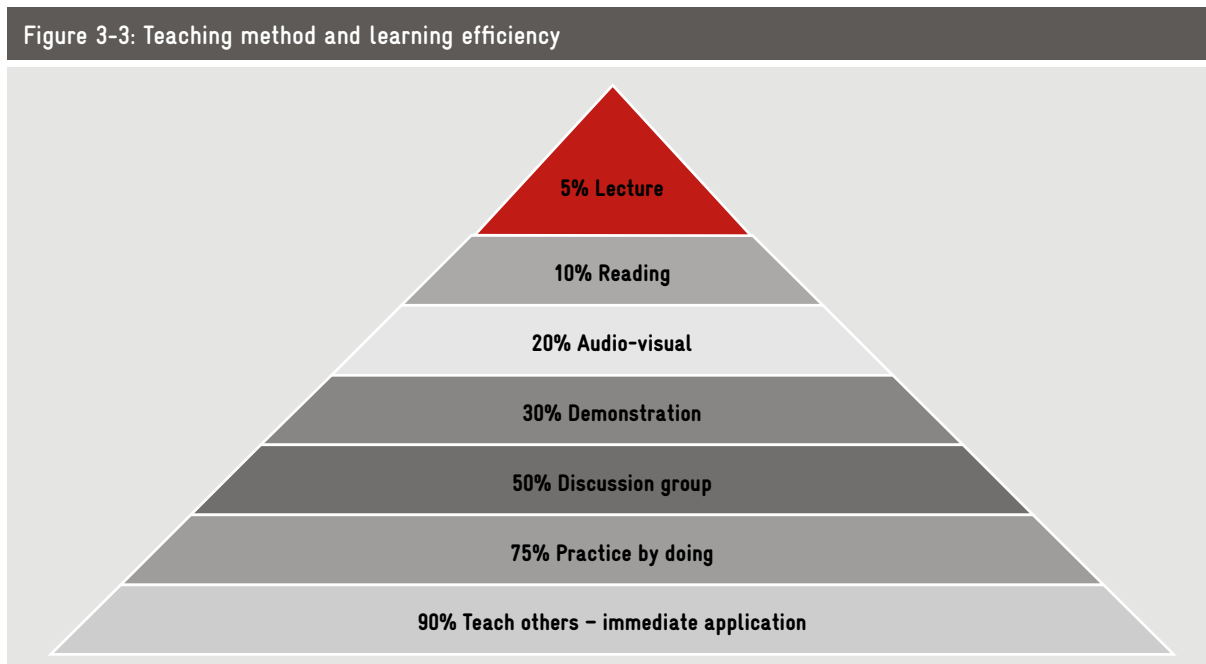
Figure 3-2: Correlation of activities in the three domains of learning

Level of increasing complexity of an activity	Awareness allows to	Knowledge allows to	Skills allow to
recall	choose	list	point to
comprehension	respond	name	demonstrate
application	accept	classify	construct
analysis	organise	define	assemble
synthesis	characterise	summarise	draw
evaluation	justify	criticise	measure

Additionally, the efficiency of learning and remembering has to be thoroughly considered in the design of training methods. In **Figure 3-3** you find an approximation of different levels of 'learning efficiency' for the

different teaching methods indicating the approximate amount of content that will be remembered by participants. These methods will be reflected and combined in the training types in **Section 3.2**.





### 3.2 Training Types and their Characteristics

A list of training types was characterised according to the main learning domain, the pedagogic approach/teaching methods, the intensity and the duration of a training event. These training types are used for planning the compilation of training calendars, for the

definition of capacity building programmes, and as instructions for training providers and for calls for proposals.

Each training type has to be carefully selected in order to produce optimal results with respect to the target group, their absorption capacity and the expected results of the planned event.

**Figure 3-4: Training types and teaching methods**

Training type	Focus on target groups	Main teaching methods required	Characteristics/time
<b>Awareness</b>			
<b>Visit cum Exposure (VcE)</b>	Officers and managers	<ul style="list-style-type: none"> <li>Lecture</li> <li>Audio-visual</li> <li>Demonstration</li> <li>Discussion groups</li> </ul>	Field visits to 'Best Practice Examples': The objective is to understand existing initiatives with their achievements, problems and solutions. (1 to 2 weeks, national or international)
<b>Exposure to Best Practices (EXP)</b>	Field level result users/beneficiaries	<ul style="list-style-type: none"> <li>Lecture</li> <li>Demonstration</li> <li>Discussion groups</li> </ul>	Visits to examples of all kinds of successful/unsuccessful interventions. These exposures are valuable because they involve all senses and increase the experience of the participants. (1-3 days)

Ctd. Figure 3-4

Training type	Focus on target groups	Main teaching methods required	Characteristics/time
<b>Skills Training</b>			
<b>Training cum Visit (TcV)</b>	Officers and managers	<ul style="list-style-type: none"> <li>• Lecture</li> <li>• Audio-visual</li> <li>• Demonstration</li> <li>• Discussion groups</li> <li>• Practice by doing (immediate application)</li> </ul>	Training with visits to 'Best Practice Examples': The objective is to understand existing initiatives with their achievements, problems and solutions and to gain new skills in adapting new concepts and experiences for the own working environment. (2 to 5 weeks, national or international)
<b>Technical and Social Skills (ST)</b>	All agents and levels, depending on the content	<ul style="list-style-type: none"> <li>• Lecture</li> <li>• Audio-visual</li> <li>• Demonstration</li> <li>• Discussion groups</li> <li>• Practice by doing</li> </ul>	Skills-based short courses on all kinds of technical and social issues necessary for the daily work. These courses should make up the majority of the training activities and <b>always minimise classroom lecturing and maximise practical doing</b> . The acquired skills should be applied in the same course. (1 day to 2 weeks)
<b>Managerial Skills (SM)</b>	All managerial staff of all levels	<ul style="list-style-type: none"> <li>• Lecture</li> <li>• Audio-visual</li> <li>• Demonstration</li> <li>• Discussion groups</li> <li>• Practice by doing</li> </ul>	Skills-based short courses in promotion of results, managerial and moderating abilities, project planning and management with a <b>maximum of practical exercises</b> . The acquired skills should be applied in the same course. (1 day to 2 weeks)
<b>Hands-on Training (HoT)</b>	Field level result users/beneficiaries	<ul style="list-style-type: none"> <li>• Lecture</li> <li>• <b>Demonstration</b></li> <li>• <b>Discussion groups</b></li> <li>• <b>Practice by doing</b></li> </ul>	Courses with working exposure for all kinds of subjects and topics (planning, accounting, book writing, technical practice, etc.). Hands-on can and should also be part of other skills-based training courses, whenever feasible. Working exposure is extremely valuable because it involves all senses and increases the experience of the trainees. (1 to 15 days)
<b>On-the-Job Training (OJOT)</b>	All levels	<ul style="list-style-type: none"> <li>• Demonstration</li> <li>• Discussion groups</li> <li>• Practice by doing</li> <li>• (immediate application)</li> </ul>	Guided practical working in a normal working environment over a longer period of time to master and improve practical skills. The participant has the role of a practitioner. (more than 3 weeks)
<b>Training of Trainers</b>			
<b>Training of Trainers (ToT)</b>	Trainers, training managers	<ul style="list-style-type: none"> <li>• Lecture</li> <li>• Demonstration</li> <li>• Discussion groups</li> <li>• Practice by doing</li> </ul>	Qualification of trainers and training managers for designing and conducting training courses. It includes contents of the training course as well as methods of presentation and basic didactical skills, group dynamics and motivation techniques, the guidance of hands-on training and basic principles of training needs and quality assessment. (1 to 15 days)
<b>Coaching (CO)</b>	Experienced trainers and experts	<ul style="list-style-type: none"> <li>• Lecture</li> <li>• Reading</li> <li>• Demonstration</li> <li>• Discussion groups</li> <li>• Practice by doing</li> <li>• (immediate application)</li> </ul>	Trainers and teachers are guided by a coach during their normal activities. Improvements are achieved by the coach's input and intensive, joint analysis of the contents and performance during work. (3 days to 3 weeks)
<b>Others</b>			
<b>Workshops (WS)</b>	All levels	<ul style="list-style-type: none"> <li>• Lecture</li> <li>• Discussion groups</li> </ul>	Workshops have the objective of working collectively and in a participatory way on a defined theme. They always have a strong aspect of 'hands-on' exercises in the field of project planning, brainstorming, coordination, etc. if well prepared and if follow-up is carefully done (such as distributing the results, checking if commitments are followed, etc.). (1-2 days)

### 3.3 Process: Event Characterisation, Announcement and Training Providers

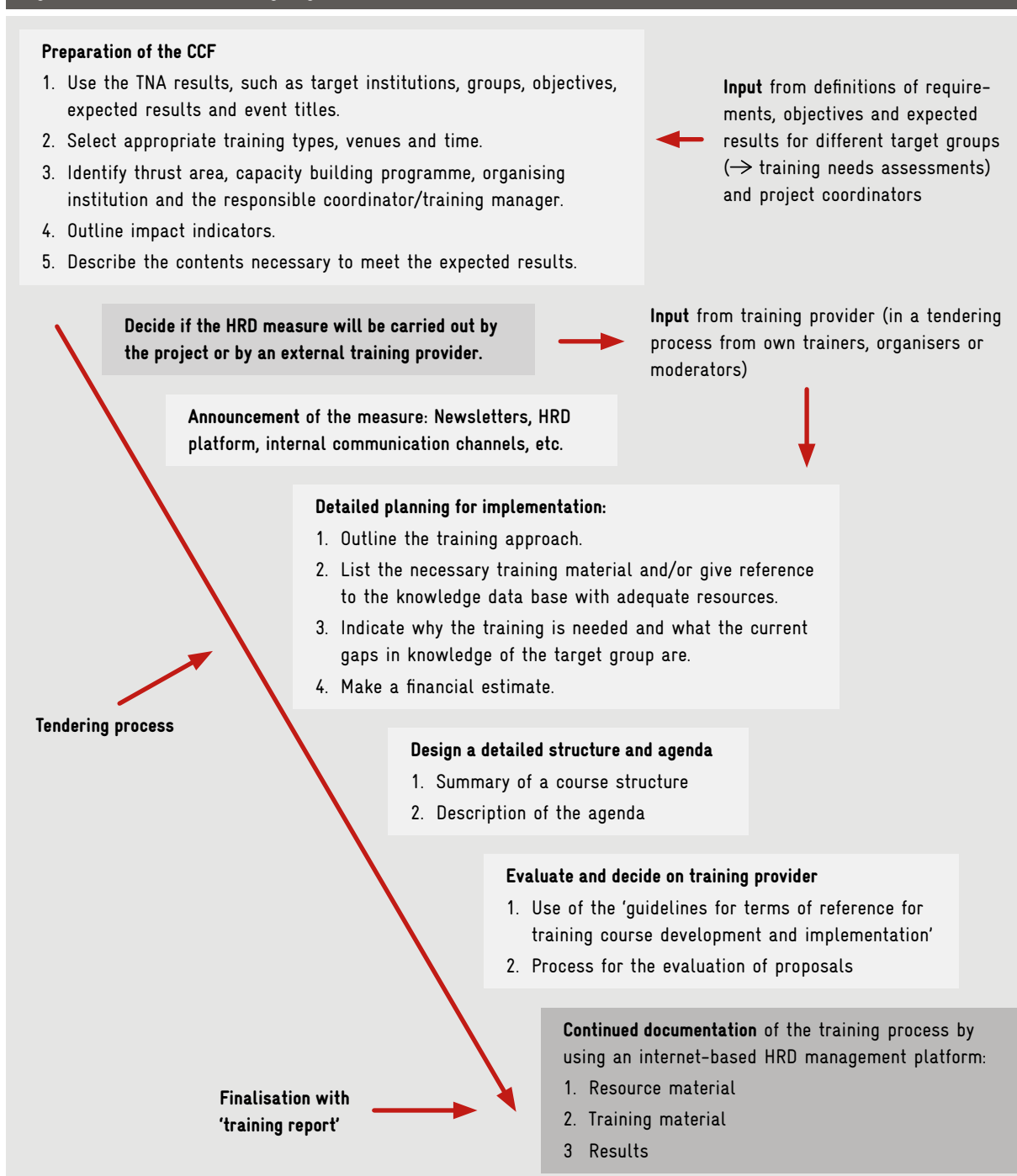
The next steps of the preparation of an HRD event is the detailed characterisation of the planned events in a course characterisation format (CCF), and, if necessary, the design of the terms of reference for the course developers.

Finally, the selection process and evaluation of course offers from potential training providers is a last step before events can be implemented.

This work is based on the definitions of the human resource development requirements discussed in the training needs assessment (see **Section 2.4**)

The work flow is shown in **Figure 3-5**.

Figure 3-5: Workflow of designing the course characterisation and announcement



### 3.3.1 Course Characterisation Format and Preparation of Terms of Reference

The detailed planning of the form and content of a measure is done with a standardised course characterisation format (CCF). The format is used for two purposes:

1. Input for the course developers to design a course (it can be used as part of the terms of reference for training providers).
2. Announcement on the internet-based training management platform, for invitation letters or publication in other media.

The information on 'Methods', 'Results – use of results' and 'Summary of course structure' is the input by the

training provider (either in a tendering process or from internal project providers).

The CCF summarises the information about each event in five sections: the classification and content, the technical details, the methodological approach, the expected results, and the description of the course structure. Part of this data is the standard for the information documents in the HRD platforms (see **Chapter 5** for more details).

The example given in **Figure 3-6** is from the ASEM programme (Advisory Services for Environmental Management) implemented under Indo-German cooperation.

Figure 3-6: Course Characterisation Format – CCF

Item	Explanation
<b>Code</b>	Every HRD event has a unique code given by the Training Management Unit (and is listed in the operation plan).
<b>Title</b>	Title taken from the operation plan and a short title for an entry on the web platform
<b>Type</b>	Training type as shown in <b>Figure 3-4</b>
<b>ASEM thrust area</b>	Name of the ASEM thrust area
<b>ASEM project/Capacity Building Programme</b>	Name of ASEM project in the thrust area
<b>Organising Institution</b>	Training provider
<b>Coordinating agency and responsible coordinator</b>	Name of the institutions or agencies that are coordinating or responsible for the training (such as GTZ, InWEnt, CPCB, APIIC, etc.) and the responsible ASEM coordinator
<b>Target Group</b>	List of target groups in detail
<b>Overall course objectives</b>	Objectives and the expected results
<b>Expected results in terms of</b>	<ul style="list-style-type: none"> <li>• Awareness</li> <li>• Knowledge</li> <li>• Skills</li> </ul>
<b>Indicators to measure success/impact</b>	List of main indicators that will be used to test whether the results are being achieved
<b>Detailed contents</b>	Lists of content structured with reference to the criteria given in <b>Section 2.1</b>
<b>Technical details</b>	
<b>No. of participants foreseen</b>	
<b>Start, end and duration</b>	
<b>Venue</b>	

Ctd. Figure 3-6

Item	Explanation	
<b>Methods</b>		
Training approach	Short description of the training methods	
Training materials to be delivered	List of the training material that has to be produced/delivered such as presentations, reading material, task sheets for group work, etc.	
<b>Results – use of results</b>		
What are the current gaps in knowledge of the target group? Why is the training needed?	Brief description of why the event is necessary (if the training needs assessment exists, it should include this information).	
How will the training programme be used by the participants?	Short outline	
What positive side effects might the training produce?	List positive side effects, such as teaching skills, synergies with other activities and courses, if they exist.	
Financial proposal	Financial proposal as in the regulations	
<b>Summary of course structure</b>	To be completed by the training provider	
Description of agenda	The detailed agenda for each day	
	Title and lists of lectures and group work	
	Lectures and presentations	Group work
Module I <sup>2</sup> :		
Module II:		
Module III:		
...	...	...

2 All skills training courses should be of a modular structure as this enables the projects to use individual modules for other training purposes.

Terms of reference (ToRs) are the main instrument to define what deliveries are wanted and needed. If the ToRs are too detailed, they do not allow flexibility but constrict new ideas and approaches. If ToRs are too general, the desired service cannot be offered.

In **Figure 3-7** guidelines and advice for drawing up ToRs are presented.

**Figure 3-7: Guidelines for ToRs for training course development and implementation**

Terms of reference should include:

- The characteristics of the training event as described in **Figure 3-6**
- The request to construct a (customised) course outline and the method of delivery
- The required format of the training course such as:
  - Introduction
  - Methods of teaching and use of facilities
  - Tutors and students
  - Student assessment (the planned methods and procedures of quality assessment and control and follow-up)
  - Course publicity and advertising
- A statement of the contribution towards sustainability development within the project
- The qualification of the trainer or the trainers/lecturers and their availability
- A description of the facilities and the venue
- Own suggestions, innovative ideas
- Financial quotation

### 3.3.2 Process: Selection and Evaluation of Proposals

Usually more than one training provider is asked to prepare a proposal for most of the HRD activities.

The proposals are then assessed by the training management unit and/or a committee of experts, including

the different project coordinators and the financial group. The specific steps of this evaluation process are explained in **Figure 3-8**.

A template for a report of the assessment can be found in **Annex 9.5**.

**Figure 3-8: Process for the evaluation of proposals**

Step	Description
1	The proposal is received and the training management unit (TMU) files the proposal, informs the responsible coordinator and organises a proposal evaluation expert group and the responsible financial assessors.
2	The proposal evaluation experts evaluate the proposal and take action as described in step 3.
3a	If approved by the experts:
i	Approval without any change in recommendations: <ul style="list-style-type: none"> <li>• Recommendation for formal approval and the issue of the sanction order</li> </ul>
ii	Approval with minor changes: <ul style="list-style-type: none"> <li>• List of suggestions for improvement</li> <li>• Recommendation for formal approval and the issue of the sanction order, subject to incorporation of suggestions for improvement</li> </ul>
3b	If not recommended for approval:
i	Advice and suggestions to the training provider to change the proposal and resubmit
ii	On resubmission of proposal, start at step 1.

Ctd. Figure 3-8

Step	Description
4	The TMU prepares the proposal for final and formal decision, including the financial part.
5	Training coordinator submits the proposal for final and formal approval to the competent authority, or passes it back to proposal evaluation experts (step 2).
6	Sanction order is issued (evaluation experts will be informed about the final results).
7	In the case of approval, the training provider sends a formal letter of acceptance, including the incorporation of any suggestions in the course, to the TMU for information and to be recorded.
8	The TMU publishes the course announcement in the delivered format and takes the next steps for implementation.

The criteria for evaluation include:

1. Fulfilment of the objective of ASEM/InWEnt/MoEF and its projects;
2. Incorporation of professional and technical requirements in the course contents;
3. Relevance of contents and effective sequencing of course modules;
4. Incorporation of site visits (if necessary), exposure to projects (case studies), group work and other participatory teaching approaches.

- To enhance the effectiveness of the training management;
- To take an important step towards the sustainability of training measures.

### 3.4.1 The Selection Process

The selection process of potential training providers consists of three essential steps:

1. Expert knowledge is used to compile a list of training institutions according to their fields of expertise and service offers on the basis of technical competence and general performance criteria (as shown in the checklist in **Figure 3-9**). The sources result from the experience of the experts regarding previous performances. This long list is ranked including the geographical distribution.
2. The top-ranking institutions are interviewed and the response of former participants as well as existing course material are analysed. The criteria from the evaluation as shown in **Figure 3-10** are used. After the interviews and visits, a summary table is completed. Scores are summarised and a ranking list is produced. A template form for the summary is provided in **Annex 9.6**.
3. New training providers apply for the training network and are evaluated using the same evaluation table.

## 3.4 Selection of Training Providers

The selection of training providers is fundamental in order to reach a high quality of planned workshops and training courses. The idea behind the establishment of a network of training providers, called 'Nodal Training Institutions' (NTIs), as a project component is to strengthen the capacity and the quality of training services. Connected to this component are the following aims:

- To reach an agreement on selection criteria for high-quality deliveries before tasks are given;
- To develop the process of creating a shared quality standard;
- To set up a shortlist of providers to speed up tendering processes;
- To facilitate the creation of cooperation and synergies among the network participants;
- To use communication standards for the distribution of information;

Figure 3-9: Checklist for the assessment and evaluation of training providers

Criteria of excellence	Criteria and tools of assessment
The training provider masters his field of specialisation (sector).	<ul style="list-style-type: none"> <li>• Curriculum of the institution</li> <li>• Records of past training courses conducted</li> <li>• References</li> <li>• Personnel record sheets of trainers</li> </ul>
The training provider has the necessary experts on the staff at their disposal, or is able to organise them. The course coordinator must have appropriate training, and the ability and experience to assemble a suitable training team. Tutoring abilities must include a training qualification or experience, plus qualifications, knowledge and practical experience in professional or technical disciplines.	<ul style="list-style-type: none"> <li>• Interview with key persons and trainers</li> <li>• Reference persons</li> <li>• Personnel record sheets</li> <li>• Feedback from extrainees</li> </ul>
The training provider must have a local or even national reputation and should be well known for their effectiveness.	<ul style="list-style-type: none"> <li>• Interview with key persons and trainers</li> <li>• Reference persons</li> </ul>
The training provider should have practical experience with a variety of teaching methods (participatory, output-oriented).	<ul style="list-style-type: none"> <li>• Examples of courses (programme, structure)</li> <li>• Interviews</li> </ul>
The training provider possesses training-programme design competence.	<ul style="list-style-type: none"> <li>• Self-presentation of training institutions</li> <li>• Examples</li> </ul>
The training provider is able to offer applied courses.	<ul style="list-style-type: none"> <li>• Examples of courses and similar events</li> </ul>
An established system of quality control (not necessarily certified) exists.	<ul style="list-style-type: none"> <li>• Course evaluation is a standard and is practiced (see also <b>Figure 3-10</b>)</li> </ul>
The training provider must offer training facilities that meet modern standards.	<ul style="list-style-type: none"> <li>• Lecture rooms with overhead, LCD-projector, and other electronic equipment, whiteboard or blackboard, flip charts</li> <li>• Extra rooms for group work</li> <li>• In special cases: laboratories and similar technical equipment for the relevant sectors/areas</li> </ul>

The detailed evaluation grid as presented in **Figure 3-10** is a comprehensive compilation of evaluation criteria used in the selection processes. Marked fields indicate immediate exclusion criteria. However, in certain cases these exclusion criteria can be overlooked, depending on specific purposes of the situation. For

instance, even if there is 'no experience in custommade training courses', it may still be useful to include this institution (for instance, if proper project support is feasible and if the expertise in other fields is of high quality and required).



Figure 3-10: Detailed evaluation grid for potential training institutions

The marked fields are immediate exclusion criteria, irrespective of the rest of the scores given						
No.	Evaluation Criteria	Very positive (2)	Positive (1)	Indifferent (0)	Negative (-1)	Very negative (-2)
1	<b>Practical experience</b> in the fields of specialisation (which have to be predefined)	Extensive experience with high practical and applied emphasis; learning objectives and expected results are defined.	Experience with some practical and applied emphasis; learning objectives and expected results are defined	Some experience with practical and applied emphasis; learning objectives and expected results are not defined	Mostly theoretical experience and not aimed at capacity building (practical experience is lip service)	Purely theoretical experience
2	Familiarity with <b>modern forms of interactive training courses and adult education</b> , including use of modern teaching equipment	High importance of interactive training, existing facilities and regular exposure to practical exercises and projects; training material of high quality	Interactive training and practical exercises exist, but are not frequently performed; existing facilities and course material are of medium quality	Hardly any experience with interactive training and practical exercises; existing facilities and course material are of medium quality	No experience with interactive training and practical exercises; existing facilities and course material are of low quality	Only academic classroom teaching without use of communicative tools; course material lacking or of insignificant quality
3	<b>Motivation</b> , including openness for new ideas, contribution to the process of capacity development and willingness to see and change shortcomings	Actively seeking new ideas and willing to learn and improve own capacities; critical and positive contribution to the development of HRD	Open to new ideas and critical about own capacities; participating in the development of HRD	Business as usual with no obvious effort to adopt new concepts and ideas or contribute to the HRD	New ideas are seen as disturbing; no or disturbing efforts to contribute to the HRD	No openness to new ideas; convinced of being the best; only money-based motivation
4	<b>Commitment</b>	Willing to take a risk, do marketing for the courses, motivate teaching staff to participate in train-the-trainers courses and to guarantee the implementation of HRD courses	Willing to take a risk, do marketing for the courses, request teaching staff to participate in train-the-trainers courses and consider the implementation of HRD courses	Doubtful about taking a risk, doing marketing for the courses, requesting teaching staff to participate in train-the-trainers courses, and only vaguely considering the implementation of HRD courses	Doubtful about taking a risk, doing marketing for the courses, inactive in supporting the teaching staff to participate in train-the-trainers courses, and only vaguely considering the implementation of HRD courses	No willingness to take a risk, do marketing for the courses, is opposed to and/or not supportive of the teaching staff participating in train-the-trainers courses, and/or is doubtful about the implementation of HRD courses

Ctd. Figure 3-10

The marked fields are immediate exclusion criteria, irrespective of the rest of the scores given						
No.	Evaluation Criteria	Very positive (2)	Positive (1)	Indifferent (0)	Negative (-1)	Very negative (-2)
5	<b>Reputation</b> (Assessed through discussions with key persons of the Ministry, State, etc.)	Very high standard of management, training and performance is verified by all discussion partners.	High standard of management, training and performance is verified by most discussion partners.	Average standard of management, training and performance is verified by most discussion partners.	Low standard of management, training and performance is verified by most discussion partners.	Low standard of management, training and performance is verified by all discussion partners.
6	Experience in the field of developing <b>custom-made comprehensive courses:</b> structure and contents for different groups of clients and trainees	Custom-made courses in the specialised fields are part of the daily work.	Regular experience in custom-made training courses exists.	Experience in custom-made courses in different fields from the required ones exists.	Little experience in custom-made training courses	No experience in custom-made training courses
7	Experience in the field of <b>training programme management</b> including individual training module development, course organisation and financial management	The management for training programmes is professional and effective; trainers are well guided and clear about their tasks and requirements of performance.	The management for training programmes is standard; trainers receive a minimum of guidance and have some idea about their tasks and requirements of performance.	The management for training programmes is of low quality; trainers receive only little guidance and have some idea about their tasks and requirements of performance.	The management for training programmes is chaotic; trainers receive little guidance and have no idea about their tasks and requirements of performance.	No or insufficient experience in course management; trainers receive no guidance.
8	Experience in collaboration and <b>networking</b> (national and/or international); capability to establish a communication structure (other institutions, participants)	Diverse network structures exist and are part of the daily working experience; innovative approaches.	Network structures exist.	Network structures have become more important in recent times and are being established.	Only sporadic and punctual contacts and collaboration	No networking or active contact to other institutions
9	<b>Course quality assessment &amp; management</b>	Assessment for course conduct and quality is established and feedback to improve courses is collected.	Assessment for course conduct and quality is established and feedback to improve courses is established.	Assessment for course conduct and quality is established.	Assessment for course conduct and quality is weak and superficial	No assessment
10	<b>Price level for training courses</b>	Prices within the quota prescribed	Prices not more than twice as high as the quota prescribed	Prices not more than three times as high as the quota prescribed	Prices not more than four times as high as the quota prescribed	Prices more than five times as high as the quota prescribed

Ctd. Figure 3-10

The marked fields are immediate exclusion criteria, irrespective of the rest of the scores given						
No.	Evaluation Criteria	Very positive (2)	Positive (1)	Indifferent (0)	Negative (-1)	Very negative (-2)
11	<b>Residential facilities</b>	Residential facilities are excellent (either in-house or out-of-house) and stimulate communication between the participants.	Residential facilities are good (either in-house or out-of-house) and allow communication between the participants.	Residential facilities are acceptable (either in-house or out-of-house); participants have the possibility to communicate.	Residential facilities are available (either in-house or external) but of low quality (comfort, communication, working facilities).	No residential facilities can be offered or organised within reasonable distance from the training location.
12	<b>Training reports</b>	For each training course, reports are produced and include an assessment of the course quality, the teaching quality and suggestions for improvement.	For each training course, reports are produced which briefly mention assessment of the course quality and/or the teaching quality and/or suggestions for improvement.	For each training course, reports are produced but they do not include an assessment of the course quality, the teaching quality or suggestions for improvement.	For each training course, rudimentary reports are produced, which do not include an assessment of the course quality, the teaching quality or suggestions for improvement.	No training reports are documented.
13	<b>Quality of teaching staff (internal and external)</b>	Clear criteria for the teaching staff exist; the selection criteria include theoretical as well as practical experience (professional as well as teaching skills); regular assessment of the quality is made and exclusion criteria exist.	Some (but not very clear) criteria for selection of teaching staff exist; the criteria are theory-based but have some practical parts; assessments may be done, but have no consequences.	Some (but not very clear) criteria for selection of teaching staff exist; the criteria are not applied; teaching is lecture- and theory-based; assessments may be done, but have no consequences.	No criteria for assessment of the teaching staff exist, and the selection is not transparent; teaching skills are considered to be important.	No criteria for assessment of the teaching staff exist and the selection is not transparent; teaching skills are considered not important.
14	<b>Documentation of participants</b>	Documentation on the participants is well structured and kept in order and updated; alumni contact exists and is kept up.	Documentation (beyond lists) about the participants is made, but not structured; it is not consequently updated; some contact to alumni exists.	Documentation about the participants consists of structured lists only, no alumni contact.	Documentation about the participants consists of lists only, which are not clearly structured; no alumni contact.	No documentation on the participants exists.

Ctd. Figure 3-10

The marked fields are immediate exclusion criteria, irrespective of the rest of the scores given						
No.	Evaluation Criteria	Very positive (2)	Positive (1)	Indifferent (0)	Negative (-1)	Very negative (-2)
15	Quality of training course material (examples from other courses)	The participants are supplied with well-structured course handouts and resource material; the material is clear, understandable and adapted to the course and target group	The participants are supplied with course handouts and resource material; the material is understandable and relevant for the course contents (not specially adapted <sup>3</sup> to the target group).	The participants are supplied with some course handouts; the material is not consequently adapted to the objectives and requirements of the course and target group.	The participants are supplied with low quality course handouts; the material is sparse and not necessarily related to the course topics.	No course material is provided.

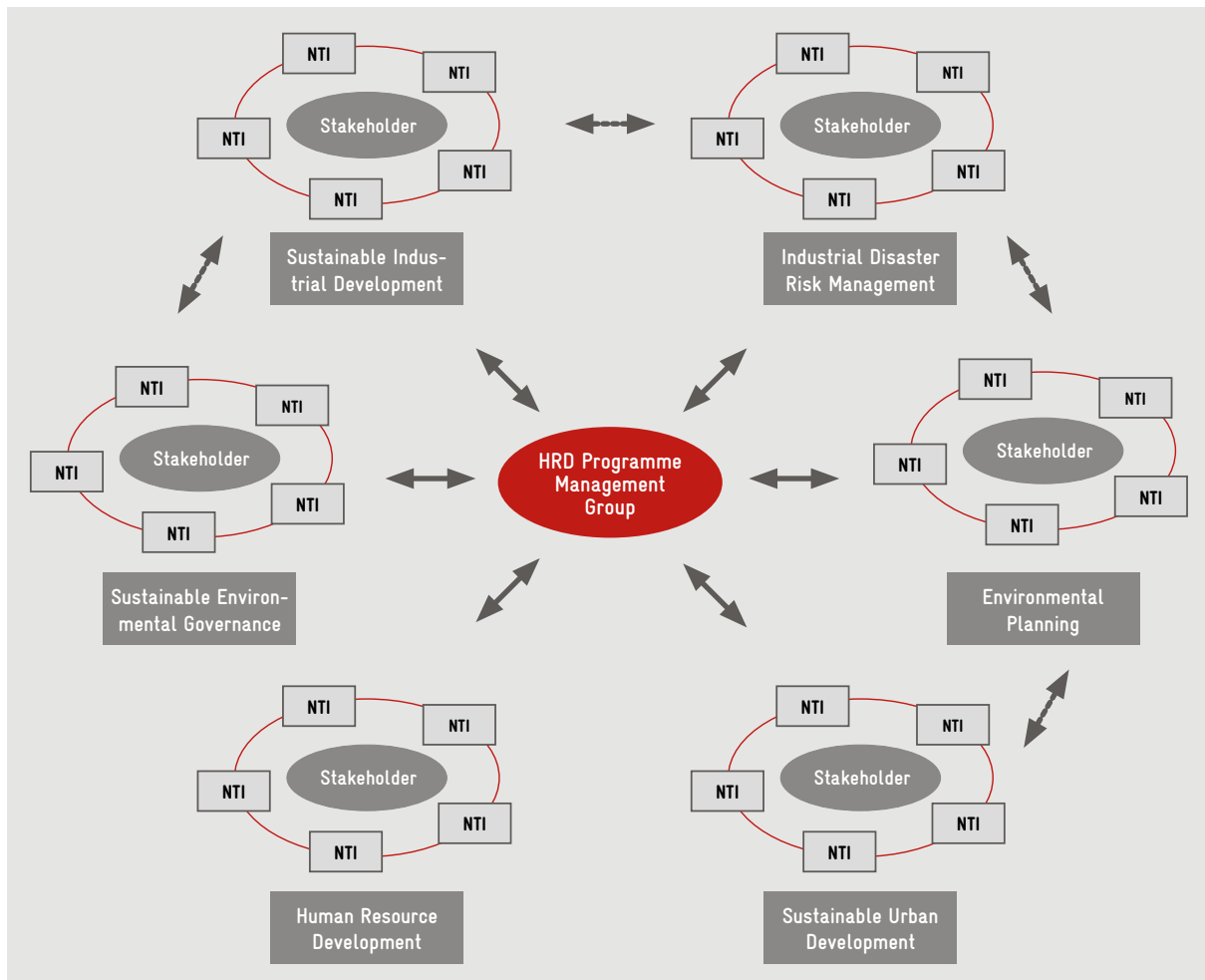
<sup>3</sup> 'Adapted' can also mean translated into a local language.

### 3.4.2 The Network of Training Providers (Nodal Training Institutions)

One result of the last ten years of activities is a network of training providers. The network of the Nodal Training Institutions (NTIs) can be schematised as shown in **Figure 3-11**.

Each main area of the implementation projects, such as Environmental Planning or Industrial Disaster Risk Management refers to a special set of institutions. The NTIs for different content areas may be identical.

Figure 3-11: Schematic structure of the network of Nodal Training Institutions

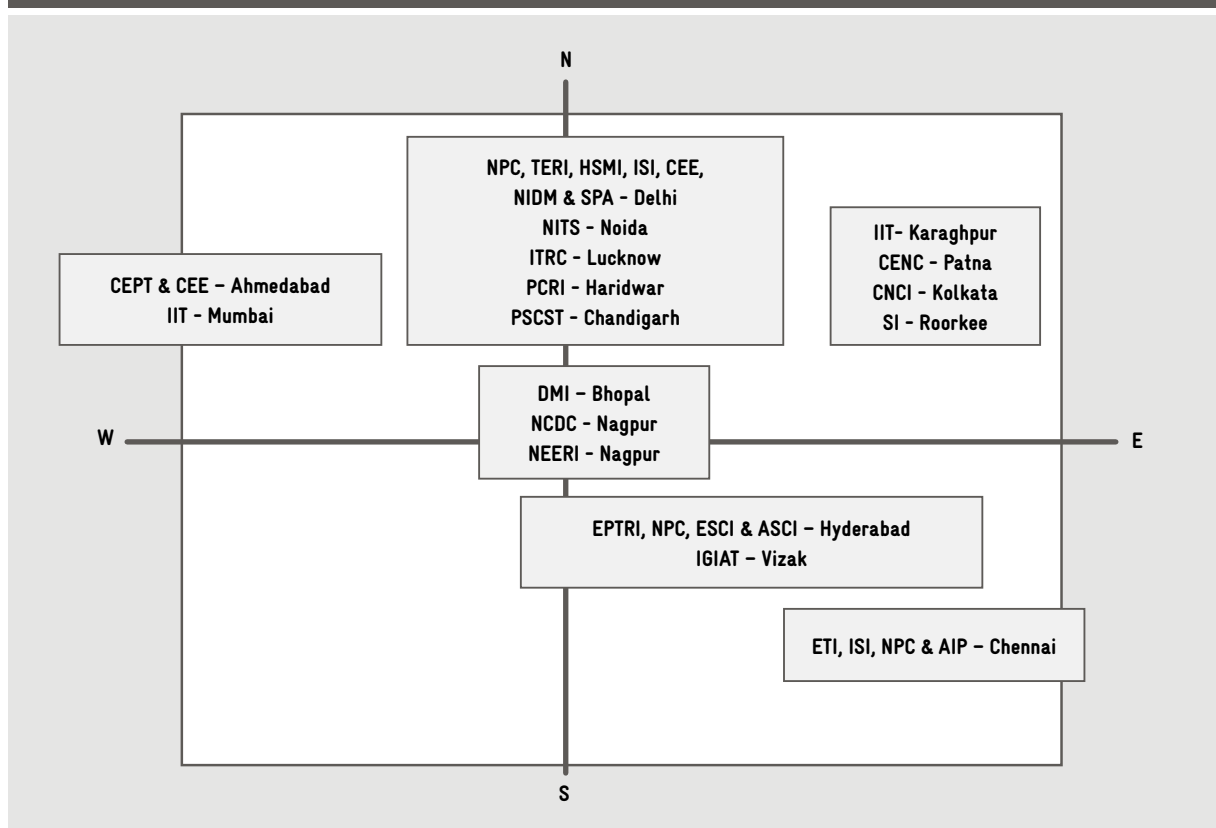


The list of NTIs started with 8 members in 2001 and had expanded to more than 20 members by 2010. Interested institutions were actively invited to join or applied for membership. Selection was made according to the criteria outlined in **Figure 3-10**. A letter of intent was signed with those NTIs who were involved into the implementation of a large number of training courses under the World Bank programme 'Environmental Management Capacity Building Project' (1995–2003):

- CENC – Centre for Environment and Nature Conservation, Patna;
- CEE – Centre for Environment Education, Ahmedabad, Delhi;
- CEPT – Centre For Environmental Planning and Technology, Ahmedabad;
- CNCI – National Cancer Institute, Kolkata;
- DMI – Disaster Management Institute, Bhopal;
- EPTRI – Environmental Protection and Training Research Institute, Hyderabad;

- ESCI – Engineering Staff College of India, Hyderabad;
- ASCI – Administrative Staff College of India, Hyderabad;
- ETI – Environmental Training Institute, Chennai;
- IGIAT – Indo-German Institute for Advanced Training, Vizak;
- IIT – Indian Institutes of Technology, Bombay, Karaghpur, Madras and Roorkee;
- ISI – Indian Statistical Institute, Delhi;
- ITRC – Industrial Toxicology Research Centre, Lucknow;
- NEERI – National Environmental Engineering Research Institute, Nagpur;
- NCDC – National Civil Defence College, Nagpur;
- NIDM – National Institute of Disaster Management, Delhi;
- NITS – National Institute of Training for Standardization, Noida;
- NPC – National Productivity Council Andhra Pradesh and Tamil Nadu;
- PCRI – Pollution Control Research Institute, Haridwar;
- PSCST – Punjab State Council for Science & Technology, Chandigarh;
- SAIL – Management Training Institute, Steel Authority of India, Ranchi;
- SPA – School of Planning and Architecture, New Delhi;
- TERI – The Energy Research Institute, New Delhi.

Figure 3-12: Distribution of Nodal Training Institutions in India





## 4 Implementation of the Human Resource Development Programme

### Summary

Chapter 3 discussed

- Learning principles
- Types of human resource development events
- Event characterisation and announcement
- Selection of training providers
- Selection and evaluation of proposals

This chapter covers the topics

- Management of the operation plan implementation
- Training implementation process – the complete life-cycle of an event
- Trainers' handbooks
- Reports by training participants
- Evaluation of a workshop/training course by participants
- Training and workshop reports
- Assessment of reports

## 4.1 Management of the Implementation of the HRD Operation Plan

Implementation mechanisms are based on all rules, processes and tools that are necessary to organise and conduct capacity building measures in a structured

and comprehensive way. They also include all the responsibilities of the training management unit appointed with the core task of keeping track of and controlling the progress of the implementation. The responsibilities of the main actors in the implementation process are listed in **Figure 4-1**.

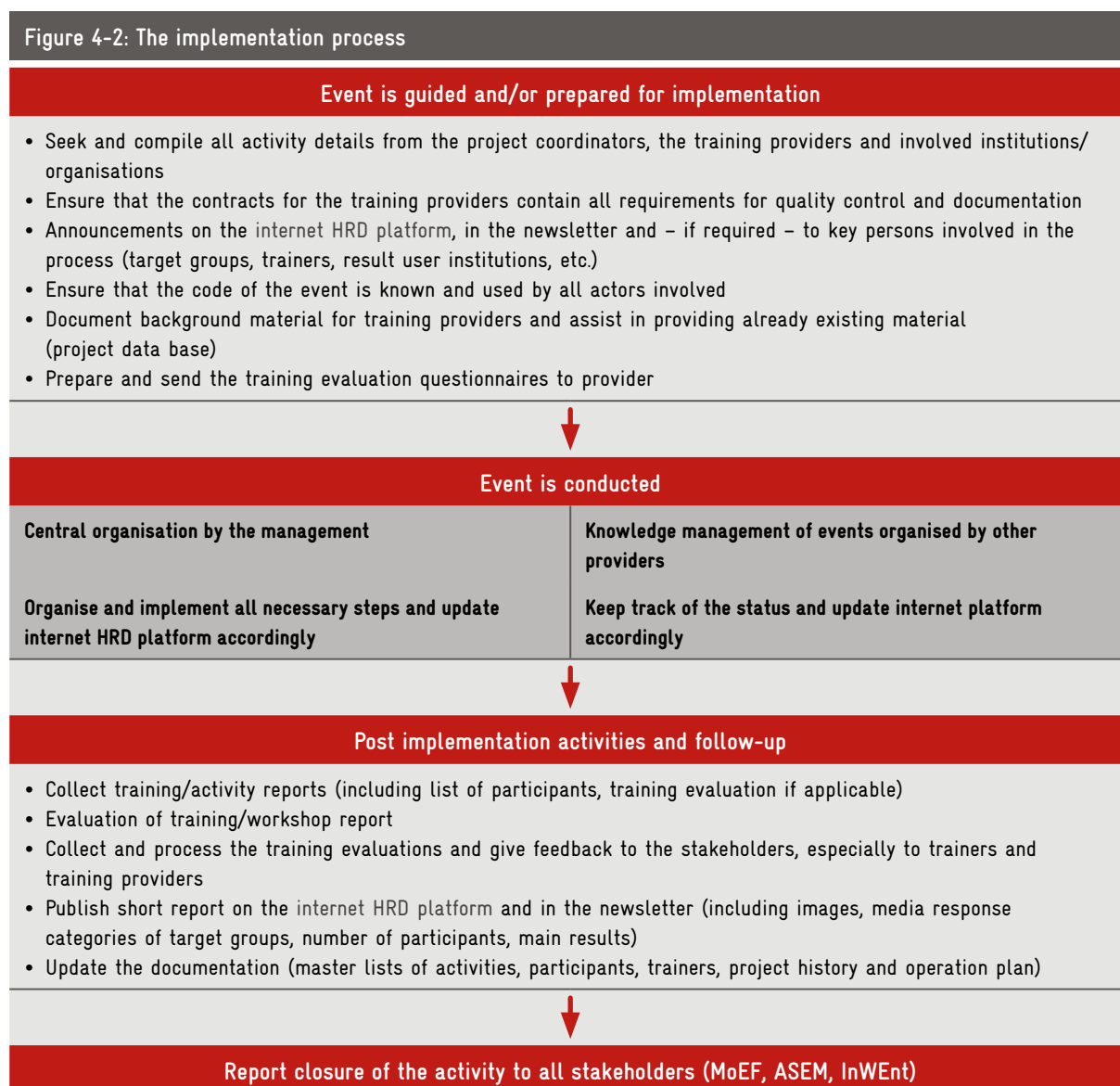
Figure 4-1: The responsibilities of the main actors in the implementation process

<b>Training management</b>	<ul style="list-style-type: none"> <li>• To keep track actively of each event planned (status/track database)</li> <li>• To integrate all changes of activities, objectives and measures into the future planning</li> <li>• To update the internet HRD platform regularly</li> <li>• To document material and keep the 'master lists' for training material and reports, evaluations, participants, events, trainers, and resource persons</li> <li>• To publish information about the event (internet platform, brochures, papers)</li> <li>• To keep regular contact with all stakeholders</li> <li>• To maintain an overview and initiate quality control and feedback of the training events and to analyse the feedback</li> <li>• To keep contact with the training providers and key-resource persons</li> </ul>
<b>Project coordinators</b>	<ul style="list-style-type: none"> <li>• To use the HRD codes for communication</li> <li>• To communicate modifications and changes to the training management</li> <li>• To inform about start and finalisation</li> <li>• To send material for documentation</li> <li>• To contribute to the newsletter and brochures</li> <li>• To make sure that contracts contain the necessary deliverables</li> </ul>
<b>Training providers</b> (defined in detail by contract or sanction order)	<ul style="list-style-type: none"> <li>• To name contact person for technical coordination</li> <li>• To deliver services according to the contract</li> </ul>



### 4.1.1 Training Implementation Process

The implementation process (**Figure 4-2**) describes the complete life-cycle of a training event and the various roles of training management units (TMU), coordinators and other actors at each stage.



The time for the implementation of the different tasks of the workshops and courses can be estimated at 9 to 12 weeks, depending on the complexity and character of the measures and on the approval time of all stakeholders. **Figure 4-3** provides a schematic overview of a

possible timeframe, showing the chronological sequence of 8 work periods. The time needed for each step depends on the complexity and character of the measure.

Figure 4-3: Ideal timeframe for preparation, implementation and follow-up of a training event

Coordination = Coordination with the project in need of training		<input checked="" type="checkbox"/> meeting	Work periods							
	Coordination	Duration	1	2	3	4	5	6	7	8
<b>Develop ToRs for each training course</b>										
	1 week									
Training details	<input checked="" type="checkbox"/>									
Trainer requirements										
Institutional requirements										
Approval of ToRs										
<b>Identify potential training institutions</b>										
Seek proposals from training institutions		3 weeks								
Evaluation of proposals	<input checked="" type="checkbox"/>	2 days								
Prepare sanctions		1 day								
Recommend to responsible project implementer for approvals		1 day								
Issue sanction order to the implementing institution		1 day								
<b>Participants &amp; approval</b>										
Seek participant lists		2 weeks								
Seek approvals		1 week								
Convey approvals to institutions		1 day								
<b>Course content, schedules &amp; approvals</b>										
Seek details from institutions		2 weeks								
Seek approvals		1 week								
Convey approvals to institutions		1 day								
<b>Implementation</b>										
		variable								
<b>Post-training measures</b>										
Obtain training report		3 weeks								
Review reports		1 week								
Seek approval of training report		1 week								
Update Master Lists		1 day								
<b>Impact assessment</b>	<input checked="" type="checkbox"/>	open								→

## 4.2 Trainers' Handbooks

The trainers' handbooks for (modularised) training courses contain a detailed description of the structure, the methodology and the contents of courses for trainers and training providers. The preparation of these guidelines is an option that can be relevant in those cases when the aim is to commercialise and repeat the course frequently for different stakeholders or target groups. For specialised courses with only one repetition, the effort to develop a trainers' handbook is not effective.

During the programme period, 15 standardised courses were developed. Two of the handbooks had a detailed description of the methodology according to the following scheme:

A trainers' handbook provides:

1. A general introduction to the course with overall learning objectives and structure
2. For each of the modules:
  - An overview of the different training sessions that make up the module (for each session a 'screenplay' is provided)
  - The expected results
  - The indicators to observe and describe the results (impact)
  - Preparation tasks
  - Didactical guidelines and hints on how to teach/what to do
  - The contents with summaries, presentations, reading texts (presentations, checklists, exer-

cise descriptions, plans and other material for trainers and participants) in separate files

- Resource and reading material for participants and for trainers
  - Task sheets for participants defining the tasks of group work during the training and instructions for the trainer to help guide the users
  - Test questions to control the learning effect
3. General instructions on how to prepare the participants
  4. Checklists for course preparation and organisation
  5. Annexes with:
    - Training tools
    - Training reports
    - Template for fast and final evaluation
    - Glossary
    - Literature

## 4.3 Report compiled by Training Participants

For a series of courses the organisation or institution involved asks the participants to write their own report (see **Figure 4-4**). For instance, a participant report (or group report) is required for the training courses abroad, such as 'training cum visit' or 'visit cum exposure'. The following outline can be used for the reports.

**Figure 4-4: Outline of the participant report**

1. Title, organiser, name and address, etc.
2. Summary and objectives of training
3. Sponsoring institutions and their coordination
4. Major contents of the programme
5. Organisation
6. Experience and observations
  - a. Appropriateness of training concept and structure
  - b. Usefulness of the training for work
  - c. Experience with the organisation of the training
  - d. Competence of trainers and technical qualification
  - e. Major shortcomings
7. Conclusions and recommendations
  - a. Recommendations for future training programmes
    - i. Training programme enhancement
    - ii. Organisational recommendations: location, time, duration, conduct
  - b. Recommendations for follow-up activities
    - i. Streamlining technical preparation
    - ii. Information dissemination
    - iii. Human resource development
    - iv. Result use and sustainability assurance
8. Annexes

## 4.4 The Evaluation of Workshops and Training Courses by Participants

Attaining feedback from participants of training courses and workshops is part of standard procedure for quality control and feedback. The two types of self-evaluation in the training activities are a rapid daily assessment

- by an evaluation table;
- by a questionnaire for course modules or workshops.





### 4.4.1 Rapid Daily Assessment of Training Sessions

The rapid evaluation uses a simple graphic form drawn on a flip-chart at the end of a workshop day or at the

end of a module. Without the trainer or course coordinator being present, the participants distribute one point each for each of the topics included (**Figure 4-5**).

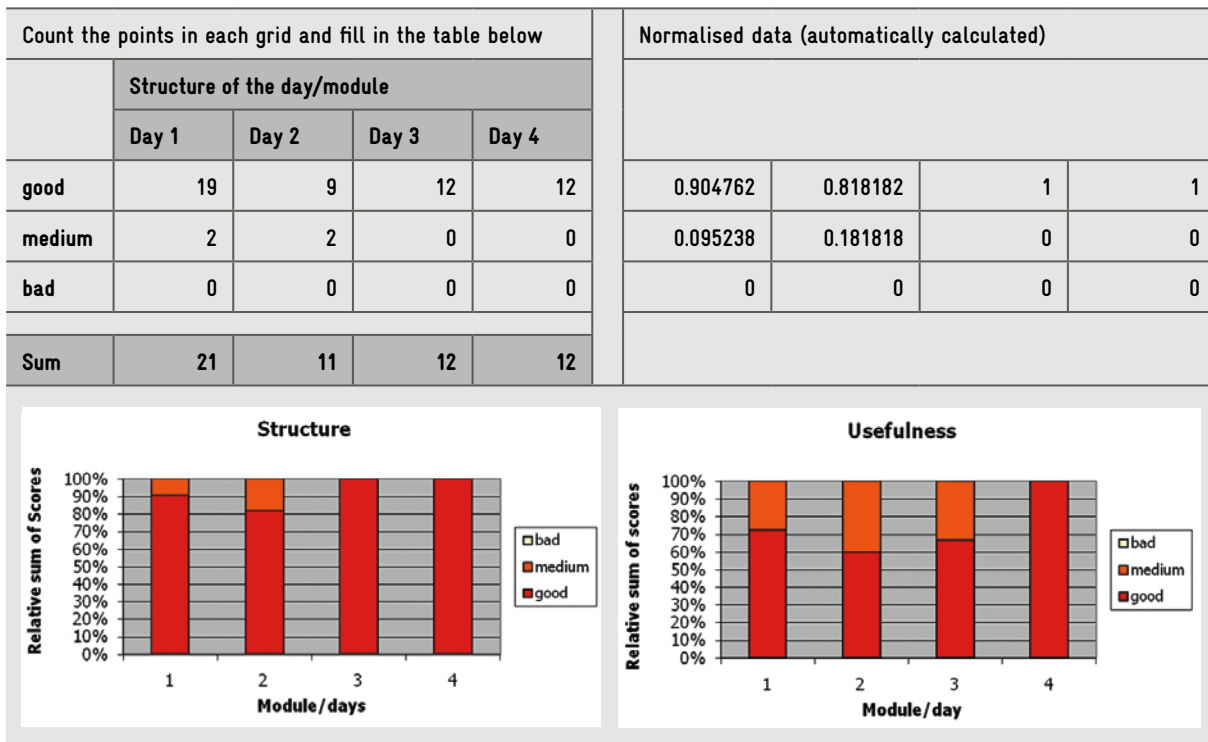
If this method is used in a structured workshop after each session or in a training course after each day or module, the results can be analysed and discussed at the end of the workshop/training. For each topic (e.g. structure, content, etc.) and day, the frequency of points for each quality category is listed in a table. Afterwards the data is normalised. Consequently the score of each quality category per day is divided by the column sum (**Figure 4-6**)<sup>4</sup>.

Figure 4-5 Picture for rapid assessments of course modules

				
Structure of the day/module/event				
Content				
Usefulness for work				
Atmosphere during work				
Performance of trainers				

<sup>4</sup> The frequency analysis was developed by the authors in the EU-China Environmental Management Cooperation Programme EMCP in the mponent DISC (Development of Institutions for a Sustainable China) – Bemerlein-Lux et al. 2005.

Figure 4-6: Example analyses of a series of rapid assessments of course modules



#### 4.4.2 Self-evaluation of Workshops and Courses

Self-evaluation is a must in training courses of a capacity building programme where courses are developed to be repeated several times and where training courses are part of a more complex training programme and build on each other.

The terms of reference for trainers or other training providers include the obligation to deliver the evaluation results in their training report.

Although course evaluation is not the task of the training manager, he/she has to discuss with the course provider how the evaluation will be done. Finally the training manager has to evaluate and control the outcome and draw the necessary conclusions for future courses, needs assessments and the project itself. The questionnaires are designed to find out:

1. Did the participants achieve the course objectives and the expected results?
2. Did the participants learn what they were supposed to learn?
3. What unexpected positive outcomes have occurred that can be incorporated in the future courses?

4. What are the strengths, weaknesses, opportunities and threats of the course?
5. Is the work performance likely to improve after training?

The aim of this evaluation is to find whether the objectives of the training course or workshop are met. Additionally, it helps to continuously improve the quality and the relevance of the training measures. General questionnaires, i.e. those not specific to the type of training module, ensure standardised evaluation criteria for the entire training programme.

Each training course can be evaluated on three levels

1. Participants evaluate the trainer and the course;
2. The trainer evaluates each participant;
3. Institutions evaluate the impact of the training course on the institute. (This evaluation should be done after some time has passed and not immediately after the training.)

Two different types of questions are included in the questionnaires:

- Quantitative (closed) questions – where the potential answers are already given and one answer must be chosen.
- Qualitative (open) questions – where no pre-formulated answers exist.

The questions have to meet the international standards used by InWEnt. Thus, the formulation of the closed questions needs to consider the following rules:

- The language should be easily understandable and should match the linguistic habits of the target group.
- The questions should be short and clear.
- The questions should not be suggestive.
- The questions should be specific enough to facilitate the interpretation of the answers.

For skills-based training courses on one hand and for workshops, conferences and seminars on the other, there are two different questionnaires available. All forms can be downloaded as MS-excel files from [www.hrdp-net.in](http://www.hrdp-net.in). Each of the MS-excel spreadsheets has a series of work sheets for print-out, data input, analysis of the data, and the results of the evaluation analysis.

There are two types of questions in the sheets – multiple choice and narrative ones.

The questionnaire has to be prepared by the trainer/training provider, collected at the end of the activity and turned in with the final report.

For workshops/conferences and for skills training there are separate forms. The forms and a short guideline are available for download on the HRD internet platform.

The questionnaires and an example of an analysis of the evaluation data is in **Annex 9-12**. The analysis is done automatically after inserting the scores (for the excel template see: <http://www.hrdp-net.in/e199/> and <http://www.hrdp-idrm.in/e5785/e12236/>). The questions can be changed as necessary without influencing the analysis.

## 4.5 Training and Workshop Reports and their Assessment

It is obligatory for trainers and training providers to write and deliver a training/workshop report after completion. This responsibility as well as the following checklist (**Figure 4-7**) is part of the contract with the training provider. The report and other training material have to be delivered in hard copy, and also in correctly labelled soft copy.

The function of the report is:

- To receive an overall documentation of the event
- To control the quality of the event
- To collect training material for further use and make it available in the system
- To receive a rational basis for the remuneration of the training provider
- To draw conclusions for other activities and reuse the developed material.

Figure 4-7: Content of a comprehensive training report

(Not all topics are always needed. The list can be adapted for each agreement with the training provider.)

1. Title, date and course code
2. Correct description of the programme (GIZ-ASEM and/or MoEF and/or other involved institutions and organisations with logo and address)
3. **Course characterisation (CCF) – completed version used as an ‘executive summary’** (→ provided as download form HRD Platform (download section))
4. Objectives and expected outcome (with reference to the ToRs)
5. The programme and themes covered – including a description:
  - What was done and when (agenda)?
  - How it was done (description of the method)?
  - Which results were achieved (including group work results)?
  - What impact could be observed?
  - Difficulties encountered and how these difficulties were resolved.
6. Observations and experience, conclusions and recommendations for the project and future activities, further steps to be taken and recommendations for follow-up courses
7. A brief evaluation of the work
8. Annex
  - List of participants according to the format provided → provided as download form HRD Platform (download section)
  - List of trainers and resource persons → provided as download form HRD Platform (download section)
  - List of all course material and the course material in soft and hardcopy
  - Photo and media documentation (with date and newspaper/media specification)
  - Course brochures or flyers
  - The workshop or course evaluation forms in original and as softcopy in the provided Excel sheet → provided as download form HRD Platform (download section)
9. The necessary documents for settling the accounts

Incoming reports are assessed by the training management in communication with the project coordinators and, if possible and necessary, with a selection of participants according to the criteria presented below in **Figure 4-8**. An assessment template for the training report is in **Annex 9.13** (Training/Workshop Report Assessment).

Figure 4-8: Criteria for the evaluation of training reports

- Is the report delivered in time?
- Is it provided in hard and soft copy?
- Does it cover all the topics prescribed in the terms of reference (ToRs)?
- Does it have a clear structure?
- Is the list of participants, trainers, visits, etc. complete?
- Are observations commented and are the suggestions for improvement realistic?
- Are graphic elements used?
- Is the evaluation of the training and trainer by participants included and is it complete?
- Are improvements suggested in case the evaluation shows that results were not optimal?
- Is the settling of accounts correct and complete?



## 5 Managing Intellectual Capital Developed during Training Projects

### Summary

Chapter 4 described the implementation process of a human resource development programme covering in detail

- Management of the operation plan implementation
- Training implementation process – the complete life-cycle of an event
- Trainers' handbooks
- Reports by training participants
- Evaluation of a workshop/training course by participants
- Training and workshop reports
- Assessment of reports

This chapter covers methods and tools which are to secure the investment in training projects. This is done through appropriate management of intellectual capital (knowledge management) by means of information technology (IT) such as:

- Documentation and reporting of training events
- Documentation of event completion
- Master lists
- Consolidated evaluation reports
- Archives of training material
- The *Knowledge & Skills* newsletter



## 5.1 The Big Void in Large-scale Training Projects

Training development and delivery is a costly endeavour. Donors and investors spend a lot of money on assessing needs, finding experts, developing the courseware, and running the courses.

It seems that large-scale training projects are hard to standardise and unique training requirements automatically result in unique project implementation models – dependent on those who are in charge of the training project. Most training institutions do have guidelines. However, these guidelines frequently turn out to be rather general recommendations and do not precisely guide the training project team and can be compared e.g. to a visa application form guiding a visitor to fill in content which is used to generate relevant decision-making information for tourism, industry and immigration policy.

In this chapter we will show the methodology with which many large-scale training projects have been developed based on applicable operational standards, and also how mass customisation approaches as applied in manufacturing industry (e.g. car industry, clothing industry) are applicable and much needed in large-scale training projects. When implementing the methodology, the internet will play a key role as enabling infrastructure to facilitate the building up of intellectual capital and delivery of instructional services.

The educational paradigm shift in the internet age is frequently related to the instructional delivery modes (face-to-face instruction shifting towards e-learning or blended instruction). However, and even more relevant for today's practice, it should be also relate to the management of educational projects and face-to-face training as such. It has never been easier to constantly build intellectual capital out of educational projects.

Why is it beneficial to put information online about people involved, project knowledge and standardised procedures for cooperation and interaction?

Let's start with an example and assume you have participated in a one-week professional development on *seismology and disaster risk management in areas of volcanic activity* 24 months ago. Now, two years later, you want to run a similar course and check the former

agenda, training storyline, learning objectives, the participant and expert list who delivered the course and which results were achieved. It is highly likely that the search will become a time consuming activity. In the worst case this type of volatile information might be lost completely. Before reinventing the wheel in your training project, contacting the training organisers and asking about course material could save time. However, you might receive great amounts of unsorted material.

First, you lacked information and now you may be suffering from information overkill. Finding the information you need to gain a quick orientation as a project manager of your training project will require a lot of time. The right dose of content describing the courses is usually not accessible. It is the content about the training event (in contrast to the training content) which is most helpful when planning and implementing a training project and which is most frequently lacking.

If – after investing great amounts of money to plan, design and implement courses – the contents about the training event are dumped on hard drives of different personal computers, which are not even immediately accessible to the participants, the investments have not been secured properly during the training project.

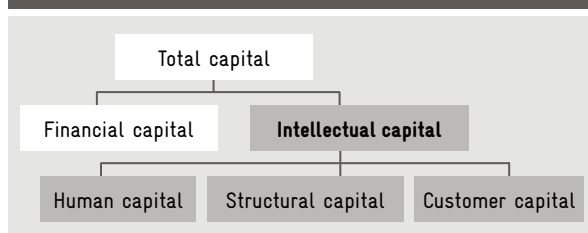
Figure 5-1: The big void



A proper rescue mission for the intellectual capital built would certainly take only a small portion of the amount invested in the training project itself if clear standard operating procedures were in place and mandatory to follow by applying an easy-to-use system.

In practice, there is a big void when it comes to proper life-cycle management of intellectual capital built. Among the reasons are low awareness, unclear development procedures and little appreciation for content and people networks.<sup>5</sup> The misleading part may be the wording itself. The general terms *content/knowledge* and *people network* are used whereas what is meant is intellectual capital, representing the unique selling points of an institution (see **Figure 5-2**, which categorises the different forms of institutional capital).

Figure 5-2: Categorisation of capital



The value of a training institution is linked to how well its portfolio is documented and business processes are managed time-efficiently, i.e. electronically. Imagine a car manufacturing company neither standardising nor maintaining the production chain or the machines. It would only be a matter of time until this company needs to adapt or dissolve. It's a matter of institutional survival for a training institution to deal with the development of intellectual capital in a proper way.

In this chapter a comprehensive and multidisciplinary methodology is presented that has been implemented as a solution for building intellectual capital, to make it available for internal and external (re)use, and to manage its life cycle. It goes far beyond the deployment of an IT system, whereas the methodology requires IT infrastructure to become efficient in 21<sup>st</sup> century training management.

## 5.2 The Management of the Training Project Knowledge

Knowledge management requires a structured documentation and is a vital part of a Human Resource Development (HRD) Programme. It includes the documentation of achieved results and impacts, the contents of training courses, the concepts and strategies, the procedures and tools as well as the experience with the participants. The documentation is of great importance because it allows the reuse of content, training courses and procedures:

- It provides the possibility to learn from experience;
- It reduces the initial time for adjustment for new staff;
- It makes training project management more effective and transparent;
- It serves as a basis for any presentation of achievements in reports;
- It helps the learning process, serving as the memory of the project.

A structured documentation parallel to the training management and performed by those who manage the training project is much more than filing data and information. Since the task is comprehensive, a specifically tailored IT solution for knowledge management is needed. Out-of-the-box IT solutions do not usually serve the purpose well. The documentation should describe the mechanisms and the success of the training process since this is absolutely necessary if audits or reviews take place at a later stage. When designing a knowledge management system it is necessary to define how the relevant information is to be delivered to an editor and who the target group of that information is. Any kind of published information needs to be authored with the target group in mind.

With about 150 training events per year, the ASEM HRD programme is large and complex enough to utilise an IT-based as well as a manual filing system. Both systems are maintained meticulously. That helps the convenient locating of reports when needed as an aid to decision-making. **Figure 5-3** gives a brief overview which type of information should be documented.

<sup>5</sup> See also the discussion about intellectual capital as a public good, e.g. **Berlin Declaration**, Open Access to Knowledge in the Sciences and Humanities <http://oa.mpg.de/lang/en-uk/berlin-prozess/berliner-erklarung/>

Figure 5-3: What should be documented

- Training and programme characterisations
- Past training reports
- Training course material
- Master lists of events and participants
- Master lists of trainers and resource persons and information about trainers or instructor teams
- Workflow and procedures
- Operation plans and concepts
- Reports of the training management
- Impact documentation and HRD programme work history
- Evaluations (from participants and trainers) and evaluation reports, feedback, complaints and appeals
- Formats, templates and forms

The combination of documentation, reporting, updating, backup information and the information production work flow represents the knowledge management system for HRD programmes. The documentation is part of the quality control for HRD programmes. The programme developed and applied a series of documentation areas listed in the **Figure 5-5**. The documentation areas contain references to the HRD-ASEM platform (see sitemap **Figure 5-4**) (InWEnt 2010).

Figure 5-4: Sitemap of ASEM HRD Platform with 1st level navigation (channels)

### Sitemap










- ▲  HRDP - ASEM Home
  - ▷  About us
  - ▷  Thrust Areas
  - ▷  Events
  - ▷  Download
  - ▷  HRDP Concept
  - ▷  Important Links
    -  Who-is-Who
    -  Contact

Figure 5-5: Utilised forms and templates for documentation

Contents and function	Link or reference
<p><b>Training event characterisations, reports and materials</b></p> <ul style="list-style-type: none"> <li>• Course Characterisation Format (CCF), announcement and completion, agenda</li> <li>• Training or workshop report</li> <li>• All lectures, presentations, charts and background material</li> </ul>	<p><b>Figure 3-6:</b> Course Characterisation Format</p> <p><b>Figure 4-7:</b> Content of a comprehensive training report</p>
<p><b>Responsibility:</b> Training manager and training provider</p>	
<p><b>Result:</b> Collection of training and workshop material that can be made available for the public or for the stakeholders only with restricted access in the programme's intranet; it is a main prerequisite for the standardisation of courses.</p>	<p>On <a href="http://www.hrdp-net.in">www.hrdp-net.in</a> see: 'Upcoming events' 'Past events' and access code protected in the intranet personalized view on CCF pages</p>
<p><b>Status of HRD measures</b></p> <p>Spreadsheet about status of training or workshop (what was done when, what is completed, etc.)</p>	<p><b>Figure 5-12:</b> Status list of training events</p>
<p><b>Responsibility:</b> Training manager (status master)</p>	
<p><b>Result:</b> Documentation of ongoing proposals and reports incl. payment for management purposes; the information is part of the updating procedure of the HRD operation plan.</p>	<p>On <a href="http://www.hrdp-net.in">www.hrdp-net.in</a> see: Only access code protected in the intranet of the HRD Platform</p>
<p><b>Operation plans and concepts</b></p> <ul style="list-style-type: none"> <li>• HRD Programme concept and strategies</li> <li>• Quality package and instructions</li> <li>• Operation plans (approved)</li> </ul>	<p><b>Chapter 2:</b> The Development of an HRD Programme</p> <p><b>Chapter 7:</b> The Process of Quality Assurance and Control</p> <p><b>Section 2.8:</b> Planning the operation</p>
<p><b>Responsibility:</b> Training manager (operation plan master)</p>	
<p><b>Result:</b> All background information about the HRD Programme approach, a list of tools and the approved working basis (such as the operation plan) are available; they provide orientation and an overview of the 'philosophy' of the human resource development of the programme.</p>	<p>On <a href="http://www.hrdp-net.in">www.hrdp-net.in</a> see:</p> <ul style="list-style-type: none"> <li>• Download section for the approved plan and the tools for management of the HRD process</li> <li>• Download section for HRD Programme concepts</li> <li>• Concepts for the approach in HRD</li> <li>• Intranet for updated operation plans and lists</li> </ul>
<p><b>Workflows and procedures</b></p>	
<p><b>Responsibility:</b> Training manager</p>	
<p><b>Result:</b> All workflows of the HRD Programme are available to the public and create the transparency needed to support the ownership creation of the programme.</p>	<p>On <a href="http://www.hrdp-net.in">www.hrdp-net.in</a> see: Concepts and Downloads</p>

Ctd. Figure 5-5

Contents and function	Link or reference
<p><b>Master Lists for events and participants</b>            Searchable list of all implemented training courses, workshops, seminars and awareness building measures in table form            Searchable list of participants including the possibility to record institutions, functions, addresses and contacts</p>	<p><b>Figure 5-9:</b> Master list record for participants  <b>Figure 5-10:</b> Master list record for events</p>
<p><b>Responsibility:</b> Training manager (operation plan master)</p>	
<p><b>Result:</b> Overview of implemented training courses with all details and participant lists including personal data (this information is accessible only to persons with designated permissions)</p>	<p>On <a href="http://www.hrdp-net.in">www.hrdp-net.in</a> see:            monthly update in the intranet            personalized view on CCF pages</p>
<p><b>Master Lists of trainers and resource persons</b></p> <ul style="list-style-type: none"> <li>• Searchable list of trainers</li> <li>• Searchable list of training providers</li> <li>• Searchable list of experts and other resource persons with addresses and keywords of their main fields of expertise</li> </ul>	<p><b>Figure 5-11:</b> Master list record for trainers and resource persons</p>
<p><b>Responsibility:</b> Training manager (operation plan master)</p>	
<p><b>Result:</b> Collection of trainers' resources to facilitate the exchange of qualified staff for training modules (this information is accessible only to persons with designated permissions)</p>	<p>On <a href="http://www.hrdp-net.in">www.hrdp-net.in</a> see:</p> <ul style="list-style-type: none"> <li>• monthly update in the intranet</li> <li>• personalized view on CCF pages</li> <li>• direct access to the databases (admin account required)</li> </ul>
<p><b>Reports of the training management</b>            Monthly, quarterly and annual reports            Minutes of meetings</p>	<p><b>Figure 5-5:</b> Outline of a monthly/quarterly report  <b>Figure 5-6:</b> Outline of an annual report</p>
<p><b>Responsibility:</b> Training management</p>	
<p><b>Result:</b> Ongoing documentation of the entire process of HRD implementation</p>	<p>On <a href="http://www.hrdp-net.in">www.hrdp-net.in</a> see: intranet (forms)</p>
<p><b>Impact documentation and HRD Programme work history</b>            Record of all direct and indirect effects, activities, highlights and events in connection with capacity building and training events, especially those training events that may influence the performance of the project.</p>	<p><b>Figure 6-6:</b> The project event history (example)  <b>Section 6.2:</b> The impact chain for capacity development</p>
<p><b>Responsibility:</b> Training management</p>	
<p><b>Result:</b> Documentation of all successful and unsuccessful activities in the form of a 'work history protocol' – this is non-systematic data, but essential for assessing the impact of the HRD measures.</p>	<p>On <a href="http://www.hrdp-net.in">www.hrdp-net.in</a> see:            monthly update in intranet</p>
<p><b>Evaluations of participants and trainers</b></p> <ul style="list-style-type: none"> <li>• Evaluation reports</li> <li>• Feedback</li> <li>• Complaints and appeals</li> </ul>	<p><b>Figure 4-5:</b> Picture for rapid assessments of course modules  <b>Figure 4-6:</b> Example analyses of a series of rapid assessments of course modules</p>
<p><b>Responsibility:</b> Training manager and training provider</p>	
<p><b>Result:</b> Collection of all evaluations of HRD measures which allows an assessment of trainers and training providers and gives suggestions for improvement</p>	<p>On <a href="http://www.hrdp-net.in">www.hrdp-net.in</a> see:            Download of the forms and instructions in the intranet as results</p>

Ctd. Figure 5-5

Contents and function	Link or reference
<b>Newsletter, brochures, flyers</b> ASEM human resource development programme Knowledge & Skills 4 D Other published material, such as brochures and flyers related to the HRD Programme	<b>Section 5.6:</b> Knowledge & Skills Newsletter
<b>Responsibility:</b> Project coordinators and training manager	
<b>Result:</b> Up-to-date information on background and concepts from ASEM and the HRD Programme efforts and hardcopy announcement and experience	On <a href="http://www.hrdp-net.in">www.hrdp-net.in</a> see: Download section with archive
<b>Forms</b> <ul style="list-style-type: none"> <li>• Checklists for reports and procedures</li> <li>• Forms for quality control</li> <li>• Definition of terms and concepts</li> </ul>	The most important forms for the training management are included in this work book.
<b>Responsibility:</b> Training manager	
<b>Result:</b> Up-to-date collection of useful and necessary forms and tools which contribute to a harmonisation of working approaches and facilitates the communication in the project team	On <a href="http://www.hrdp-net.in">www.hrdp-net.in</a> see: Download provides public up-to-date templates, forms and instructions. The intranet provides those for internal tasks and processes.

### 5.3 Reports on Training Management Progress

The stakeholders of the HRD project, such as the Ministry of Environment and Forests with the HRD steering committee or the ASEM steering committee, need frequent information about the status of the project implementation.

Although the planned and conducted HRD measures are documented on the HRD platform, a concise and regular summary on a monthly, quarterly and annual basis is essential and has several important functions in the management process:

- Performance control of training management progress by the stakeholders
- Detection of emerging difficulties well in advance
- Transparency of the work process
- Input for future planning
- Systematic documentation

**Figure 5-6** and **Figure 5-7** present example checklists for monthly, quarterly and annual reports.

Figure 5-6: Outline of a monthly/quarterly report

1. General overview with reference to the deliverables according to the terms of references (ToRs)
2. Incoming work tasks
3. Training courses and workshops conducted
4. Organisation, coordination and internal capacity building (training management)
5. Status of the HRD platform (with activities and access profiles)
6. Status of the newsletter (articles present, still lacking, outline of next newsletter, feedback received)
7. Summary of achievements
  - 7.1 Observed impact of work
  - 7.2 List of delivered and produced material
8. Difficulties and divergence from plan
9. Outlook for the next month
10. Annexes

Figure 5-7: Outline of an annual report

1. Introduction
2. Executive summary
3. Activities according to the ToRs – coordinating tasks
4. Activities according to the ToRs – documentation tasks
  - 4.1 Master lists of events
  - 4.2 Impact documentation
  - 4.3 Discussions, meetings and decisions
  - 4.4 TMU reports
5. Workshops & conferences
6. Training courses conducted
7. Internal capacity building
8. Difficulties, recommendations & reflections
9. Conclusions and outlook
10. Annex
  - 10.1 Minutes and agreements
  - 10.2 Actual HRD operation plan
  - 10.3 Material produced
    - 10.3.1 TMU reports
    - 10.3.2 Events reports
    - 10.3.3 Master lists
    - 10.3.4 Course evaluations
  - 10.4 Pictures and press coverage
  - 10.5 Course brochures and flyers

## 5.4 Documentation Flow from Course Announcement to Completion

The central coordinative training management task is the systematic organisation of scheduled training courses, workshops, round tables and conferences. This is the core work process, in which most of the intellectual capital is generated. Project knowledge management must be focused on this core work process and cause supportive effects on each work step/task (e.g. by providing standardised forms which can be filled in quickly to make tacit training project knowledge explicit).

The events are planned, approved and the resulting list or course calendar is prepared for implementation. **Figures 5-8** and **5-9** show the workflow from a list of foreseen courses and workshops to completed ones. **Figure 5-8** describes an automated workflow as practised and implemented on the HRD Platform. Event tables are updated automatically according to the dates of event performance for example, and past events are archived to the past-event list without manual effort.

**Figure 5-9** describes a workflow which involves more manual effort (semi-automated). It works on the basis of printed documents and is supported by a web-based documentation system.

An HRD event is completed as soon as the report and the training material have been received and documented.

The operation plan has to be updated and the master lists have to be completed parallel to the process from announcement to completion.

Figure 5-8: Automated documentation workflow from course announcement to completion

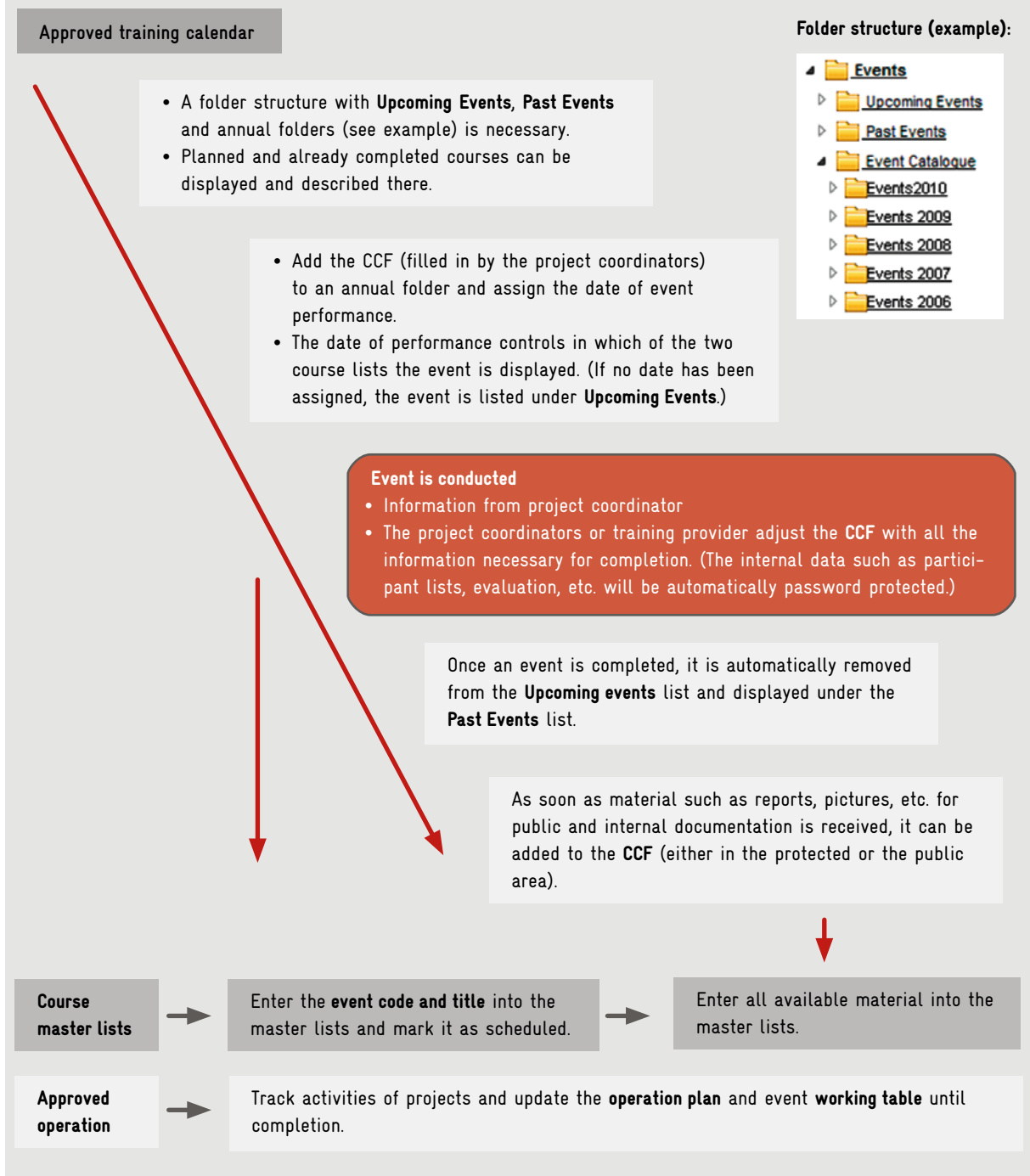
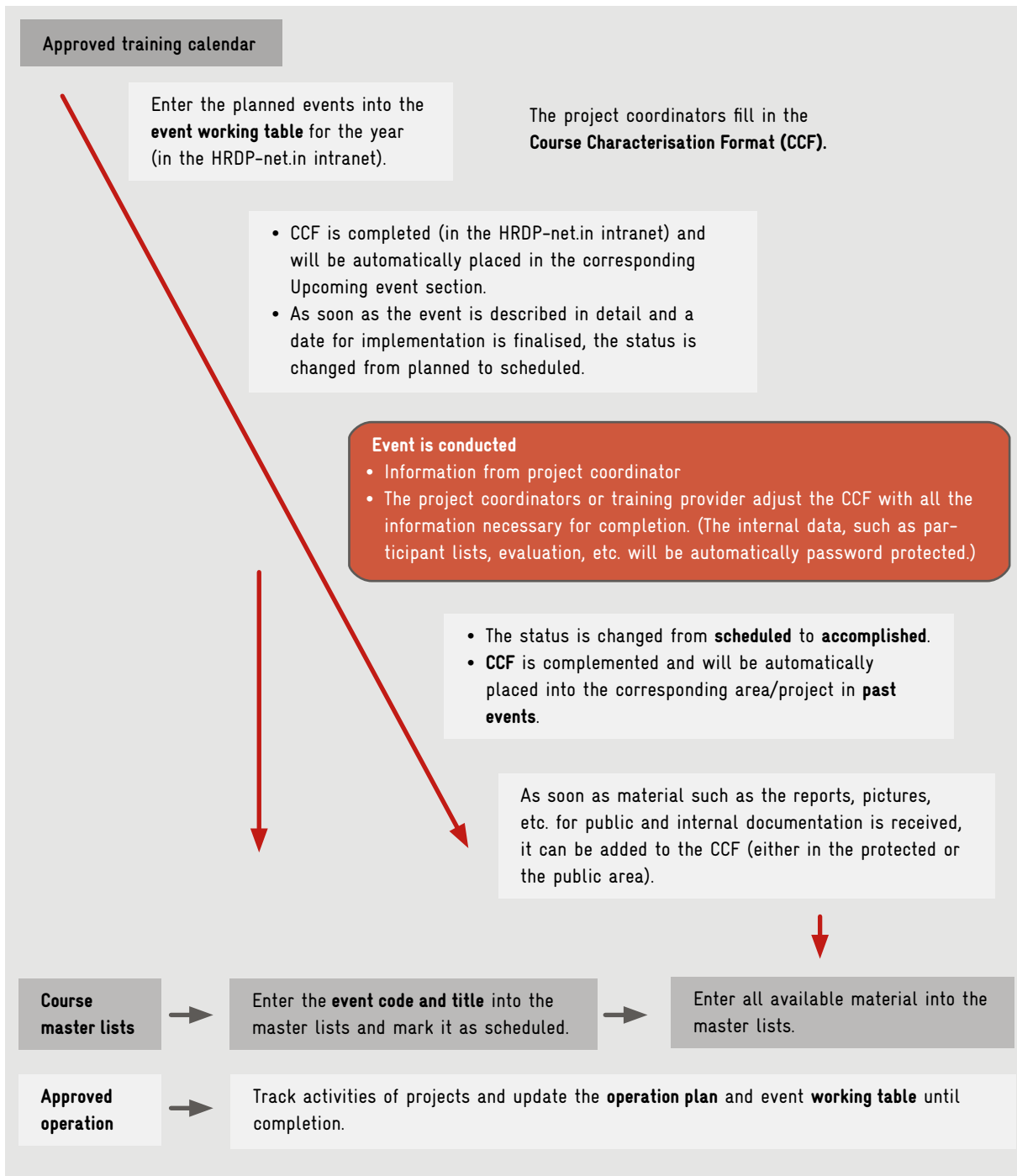




Figure 5-9: Semi-automated documentation workflow from course announcement to completion



## 5.5 Master Lists

The concept of master lists is based on the idea that all information that is relevant for the project results (e.g. training courses conducted, people trained, or capacities built) has to be managed by a single person responsible. Past experience shows that in larger programmes the project coordinators have an immense workload. Consequently, essential data might get lost easily because reports are not properly monitored and lists are not adequately and consistently stored.

Therefore, responsibilities are concentrated in one hand with adequate tools and reporting structures that help to organise the multiple data and to collect the data in time. Training management units have the responsibility to document all relevant information. They keep and maintain the project knowledge base.

The TMU maintains the master lists as a continuous task for the training management. Master lists allow the fast elaboration of participants' statistics, target organisations, function of the participants and status of the documentation. **Figures 5-10 to 5-12** show examples of master lists and included information. **Figure 5-13** shows a working table that contains information on the status of the process of each planned and organised event. This would usually be a simple table from a word processing programme.

Figure 5-10: Master list record for participants

Code  
 Training name  
 Dates  
 Location  
 Name  
 Male  
 Female  
 Department/organisation  
 Designation  
 Address  
 Official phone  
 Residential phone/Fax  
 Mobile phone  
 Email  
 Specialisation

Figure 5-11: Master list record for events

Date  
 Duration (No. of Days)  
 Training title  
 ASEM thrust area  
 Target group  
 Place(s)  
 No. of registered participants  
 Female, male, gender not known  
 Organised by  
 No. of overseas experts  
 Website updated  
 Report hard copy available  
 Report soft copy available  
 Participant list available  
 Participants' feedback available

Figure 5-12: Master list record for trainers and resource persons

Name  
 Qualification  
 Area of specialisation  
 Institution  
 Address  
 Telephone  
 Email

Figure 5-13: Status list of training events (completed example)

SL	Steps	Trainer/Course providers		
		Training provider No 1		Trainer x
1	Code	S-10	S-20	S-7
2	Proposal received on	08.04.01	25.02.03	21.09.01
3	Internal evaluation sent to evaluators on	12.04.01	27.02.03	18.11.2002
4	Evaluation report received from evaluators on	20.04.01	5.03.03	11/22/2002
5	Evaluate by evaluators (A/PA/NA) (A = approved, PA = partially approved, NA = not approved)	PA	PA	NA
6	Approval/Modifications sent on	15.08.01	-	20.03.03
7	Revised proposal received on for resubmission	19.09.01	-	21.03.03
8	Evaluation report received from evaluators on	21.09.01	6.03.03	21.03.03
9	Result by evaluators	Approved	Approved	Approved
10	Dispatch of sanction order on	08.04.02	by Email & fax	26.03.03
11	(a) Total amount (INR)	2650	2306	2590
	(b) 1st instalment (INR)	2120	1844	2072
	(c) 2nd instalment (INR)		46120	
	(d) Balance (INR)	53000	0	51800
12	Request for 1st instalment	30.07.02	31.03.03	21.03.03
13	1st instalment sent on	27.09.02	Decision to provide	03.04.03
14	Period of training	5-9.08.02	10-14.03.03	24-28.03.03
15	Training materials received on	15.09.02	waiting	19.05.03
16	Deficiency in training material communicated on	10.10.02	NA	NA
17	Additional training material received on	20.02.02	NA	NA
18	Training materials sent for evaluation to EE on	21.02.02	-	20.05.03
19	Evaluation by evaluators (A/PA/NA)	Approved	Approved	Approved
20	Request for 2nd instalment received on	decision to release final instalment	decision to release final instalment	in progress
21	<b>FINAL CHECKLIST</b>			
	(a) Hard copy of report	yes	yes	yes
	(b) Soft copy of report	yes	yes	yes
	(c) Original evaluation sheets	yes	yes	yes
	(d) Summary of evaluation sheets	yes	yes	yes
	(e) Expenditure details	yes	yes	yes
	(f) Any others	NA	NA	-
22	Release of 2nd instalment on	in progress with Accounts	in progress with Accounts	trainer has to refund INR 5800
23	Remarks			

## 5.6 Knowledge & Skills Newsletter

In addition to the detailed documentation and information on an HRD Platform and the intranet, the information about all the ASEM HRD initiatives is actively spread by a regular publication – the *Knowledge & Skills for Development ASEM* hard copy newsletter.

The editorial is a core responsibility of the training management unit. Each newsletter has the following sections:

- An editorial highlighting latest developments and introducing the volume and its content
- Guiding words from representatives of the stakeholders giving comments on the special theme of the volume

- Features and new functions of the HRD Platform, explaining some aspects of its use and (new) information available
- Background material on capacity building to instruct the readers
- Information about tools and instruments for capacity building
- Summaries from the training work and workshop results

If possible each volume should have a special theme. Starting as a quarterly publication, a higher frequency of publication is now planned. With a starting edition of 1000 it reaches all stakeholders and target groups.





## 5.7 One-stop Shop for Stakeholders: The Internet-based Management Platform for Human Resource Development

The intellectual capital built under ASEM activities represents a great potential for reassuring an efficient future performance and for streamlining the approach and appearance of ASEM.

The **ASEM HRD Platform** (Management Platform for Human Resource Development) was set up to automate training management processes and improve team performance, and to achieve the following objectives:

- Fast and efficient access to information for the target groups and the stakeholders of HRD measures: the HRD Platform is a comprehensive content pool dealing with the subject of environmental sciences displaying planned as well as accomplished courses.
- Ownership of the compiled and produced contents of the HRD Programme: the contents are to be managed and shared by the stakeholders and producers and structured for future (re)use.
- Fast updating and administration of the contents (finding, changing, classifying, etc.) should contribute considerably to the efficiency and usefulness of results of capacity building activities.

The HRD Platform has been designed as a tool for managing project knowledge. It is a project performance tool to make work processes more efficient. An authoring team has the publishing rights whereas all authors publish directly on their own and without technical support (self-publishing). After publishing, they can modify and review the contents. No specific programming skills or advanced IT skills are needed. After two days of training, authors are able to handle the system independently.

Nevertheless a communication officer (also known as chief knowledge officer or editor) has to maintain the overview, guide the publishing process and check the content consistency on the HRD Platform. Clear rules and processes are necessary and have to be predefined by the stakeholders.

That means the project has to define these processes and workflows before operating the HRD Platform.

The major functions of the HRD Platform are:

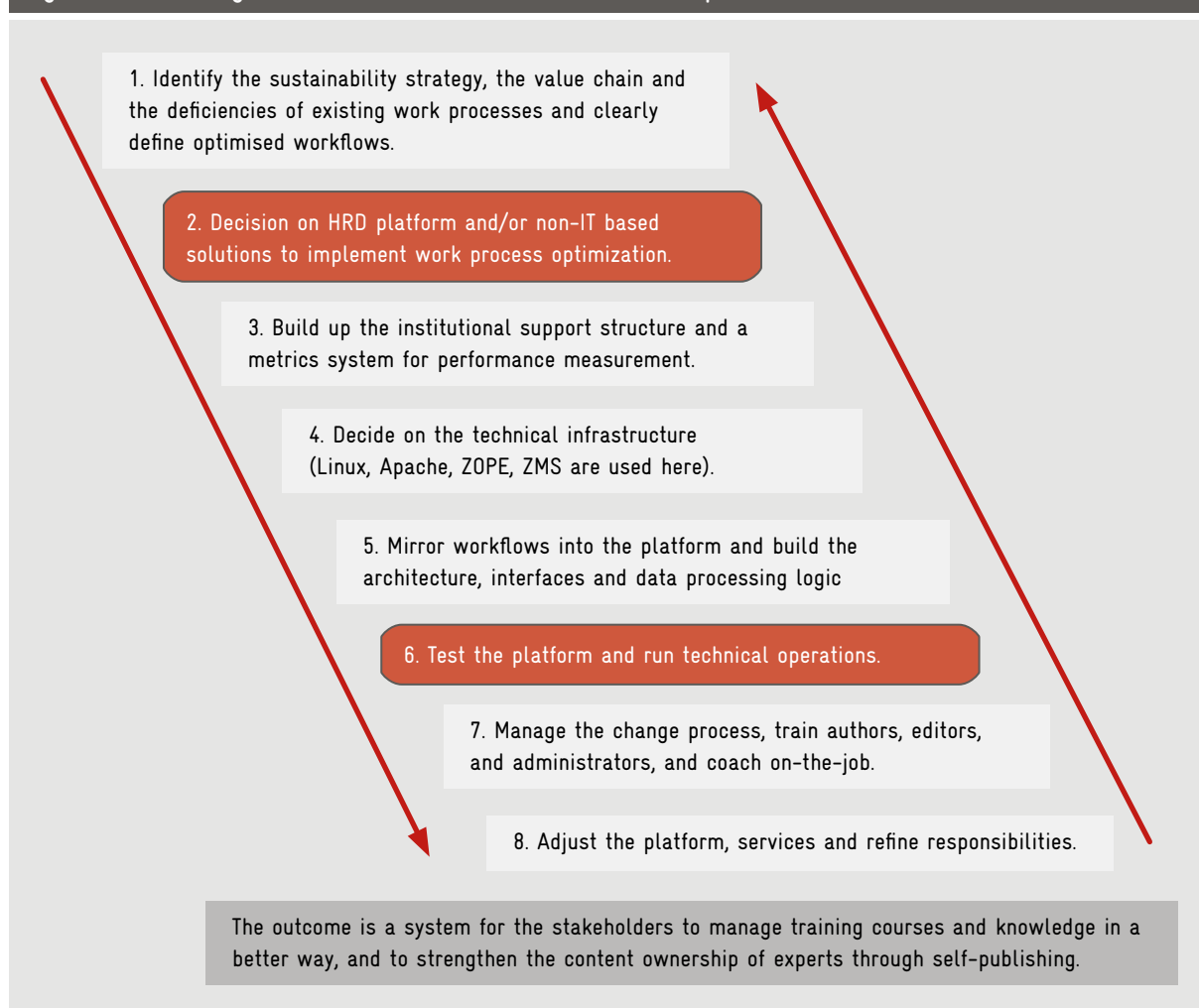
1. It is the 'business card' of the ASEM-HRD Programme thrust area and should give information about events, the success story, the approach and the partners, and provide professional background and conceptual material on capacity building.
2. It automates processes of the training management and contributes significantly to the efficiency of training organisation and management.
3. Material that is not for public access but for internal use and documentation only can be organised in a selectively accessible intranet area.
4. The platform provides the opportunity for the staff to publish (internally or publicly) approved material in an easy way. Thus, project knowledge about the HRD Programme activities is made available as far as possible. Additionally, the platform is a tool to manage the entire intellectual capital built up in HRD Programmes.
5. It is an instrument for sharing information and a storage place for announcements, material and results of training/workshops including reports, presentations, background information, pictures or response by the media. It allows for a quick follow-up of activities.
6. It aligns processes and activities such as reporting or evaluating.
7. It sets standards for training, documentation and performance and adds to the capacity building of stakeholders and training providers (increase in professionalism).

8. As an integrated solution, it provides training management concepts, instruments and tools for the stakeholders and the public that are relevant and interesting for their work. It facilitates the change processes within the institution which deploys the HRD Platform.
9. It triggers new perspectives in the preparation of training courses and the follow-up of activities.

### 5.7.1 Planning and Installation of an HRD Platform

The starting point for the development of the HRD Platform is the identification of the existing workflows and their potential improvements (action-oriented platform design). In that way, activities of the HRD training and service management improve in quality, become faster and lead to a higher satisfaction on the participant side. The process is summarised in **Figure 5-14**.

Figure 5-14: Planning and installation of an HRD Platform in 7 steps



The HRD Platform for training management facilitates easy to handle publishing and provides content import and export facilities to any other system. The technological basis is the open source Content Management System ZMS<sup>6</sup> (ZMS = ZOPE based Content Manage-

ment for Science, Technology and Medicine, whereby ZOPE means *Z Object Publishing Environment*<sup>7</sup>), which is widely used in the science sector (e.g. NASA, US Navy) and best fits the requirements for content authoring and editing.

6 For further information see [http://www.zms-publishing.com/index\\_eng.html](http://www.zms-publishing.com/index_eng.html)

7 For a quick technology introduction see <http://www.zope.org/Members/mcdonc/HowTos/gainenlightenment>

The HRD Platforms require skilled personnel that have to be identified and trained in the process of establishment and improvement of the platform. A series of workshops and skills training sessions has the function of making internal work processes more transparent and to look for possibilities to optimise them (see **Figures 5-15** and **5-16** for the roles, tasks and requirements of staff for platform management).

**Figure 5-15: Ideal process of a skills training process for HRD Platforms**

Skills training course title	Explanation/comments
Development workshop for basic workflows and requirements Target group: head of training management unit, information officer, authors	<ul style="list-style-type: none"> <li>Two-day development session to define and formulate the workflow that is the basis of the business process automation</li> <li>The different tasks of stakeholders and involved personnel, their responsibilities and accountabilities as well as the different functions of normal websites platform are included</li> </ul>
Voice over IP hands-on training and coordination of adjustments in the development process of the platform	<ul style="list-style-type: none"> <li>Online guidance and advice during the development process</li> <li>The process is iterative and will actively include the developers, the information officer and the authors.</li> </ul>
Introduction to the content management system Target group: head of training management unit, information officer, authors	<ul style="list-style-type: none"> <li>Three-day course to introduce the operating mode of the site and to train the handling/authoring</li> <li>Afterwards, the platform can be filled with contents</li> </ul>
Voice over IP hands-on training to assist the first steps in using of the platform	<ul style="list-style-type: none"> <li>Online guidance and advice</li> </ul>
Advanced skills training to the content management system Target group: information officer, authors, public relation officers	<ul style="list-style-type: none"> <li>Four-day course after first experience with the system, the course not only introduces more details concerning handling and authoring, but also readjusts the site according to better adjustments of the workflow (after exposure to real operation, there will most likely be a necessity to adapt the internal workflow and its implementation on the internet platform)</li> </ul>
Voice over IP hands-on training to assist advanced steps in operation of the platform	<ul style="list-style-type: none"> <li>Online guidance and advice</li> </ul>
Development workshop for the adjustments and amendments of workflows and requirements Target group: head of training management unit, information officer, authors, project coordinators	<ul style="list-style-type: none"> <li>One-day workshop to evaluate the experience, to prepare possible new functions and to plan the use of the platform for marketing and profile definition (e.g. experts, institutions)</li> </ul>
Voice over IP hands-on training to assist advanced steps in operation of the platform	<ul style="list-style-type: none"> <li>Online guidance and advice</li> </ul>
Refresher skills training courses Target group: information officer, authors, project coordinators	<ul style="list-style-type: none"> <li>The refresher courses are necessary because changes and new settings have to be shared and practised</li> <li>In the beginning these courses should be after two months, later every six months</li> </ul>
Development workshop for the development of online training sessions Target group: head of training management unit, information officer, authors, project coordinators	<ul style="list-style-type: none"> <li>Three-days development workshop to start new offers for capacity building as online services; this workshop is a start to expand the range of capacity building instruments and should be followed by another set of design and training activities (not outlined further)</li> </ul>

Figure 5-16: Roles, tasks and qualification requirements for operating the HRD Platform


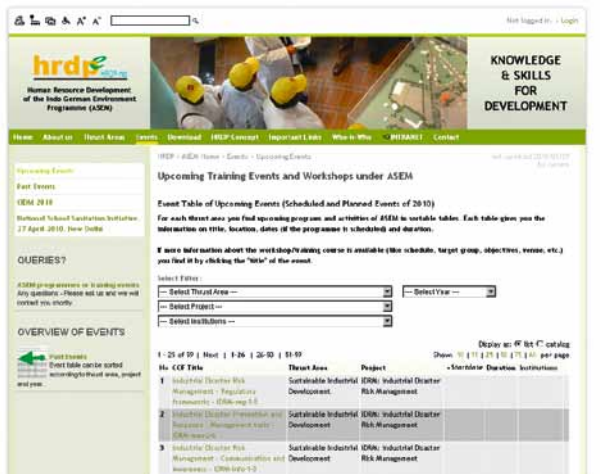
Roles	Tasks	Qualifications
<b>1. System manager</b>	<ul style="list-style-type: none"> <li>• Securing performance of the technology-based services and managing the support infrastructure</li> <li>• Setting up and maintenance of Linux, Apache, Zope and ZMS server</li> </ul>	<ul style="list-style-type: none"> <li>• System management skills at a professional level (WWW-Server, Firewall, Linux-OS); preferably skills in Zope application server management</li> <li>• Experience in software engineering</li> <li>• Very good skills in using recent server maintenance tools</li> </ul>
	<ul style="list-style-type: none"> <li>• Organisation and realisation of technical support for staff</li> </ul>	<ul style="list-style-type: none"> <li>• Ability to coordinate staff</li> <li>• Strong communication skills and service orientation</li> <li>• Experience in solution strategies for technical problems</li> </ul>
<b>2. Template developer and media producer</b>	<ul style="list-style-type: none"> <li>• Needs assessment and use case development</li> <li>• User interface conceptualisation and development</li> <li>• Software development of applications</li> <li>• Multimedia production</li> </ul>	<ul style="list-style-type: none"> <li>• Experience in content management systems</li> <li>• Professional skills in software development (preferably DTML/Zope/Python)</li> <li>• Very good skills with internet software tools</li> <li>• Very good skills in the production of digital media</li> <li>• Experience in solution strategies for technical problems</li> </ul>
	<ul style="list-style-type: none"> <li>• Preferably audio-/video- and multimedia production</li> </ul>	<ul style="list-style-type: none"> <li>• Practical experience in audio-/video production</li> </ul>
<b>3. Graphic designer</b>	<ul style="list-style-type: none"> <li>• Photo/picture selection and processing</li> <li>• Layout/design adaptation</li> <li>• Design consistency &amp; usability checks</li> <li>• Graphic design of digital media resources</li> </ul>	<ul style="list-style-type: none"> <li>• Several years of experience in graphic/design work and digital media development (e.g. image processing)</li> <li>• Experience in graphic design of print, offline, online and broadcast media</li> </ul>
<b>4. Technical writer/editor</b>	<ul style="list-style-type: none"> <li>• Publication planning, authoring/editing and quality assurance</li> <li>• Author/contributor network management</li> <li>• ePublishing of documents, articles</li> <li>• Content Management System configuration</li> </ul>	<ul style="list-style-type: none"> <li>• At least three years of experience in authoring and editing (e.g. texts for websites, brochures, broadcasting media)</li> <li>• Subject matter expertise</li> <li>• Strong communication skills and service orientation</li> <li>• Strong computer skills and professional internet user</li> </ul>
<b>5. Communication manager</b>	<ul style="list-style-type: none"> <li>• Editing process and team management</li> <li>• Overall content quality assurance</li> <li>• Reporting to the decision makers</li> <li>• Website marketing</li> </ul>	<ul style="list-style-type: none"> <li>• Experience in corporate/institutional communications</li> <li>• Subject matter expertise</li> <li>• Team and project management experience</li> <li>• Marketing experience (preferably web marketing)</li> </ul>






### 5.7.2 The Structure of the HRD Platform

The main sections and sub-sections are briefly described in **Figure 5-17** and illustrated by screenshots to give an overview of the platform content.

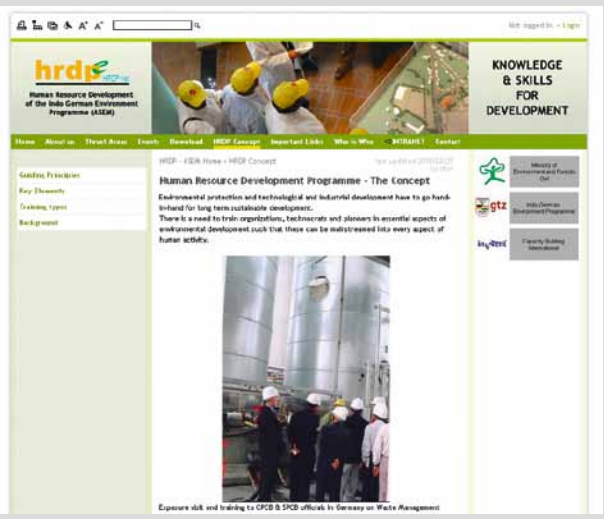
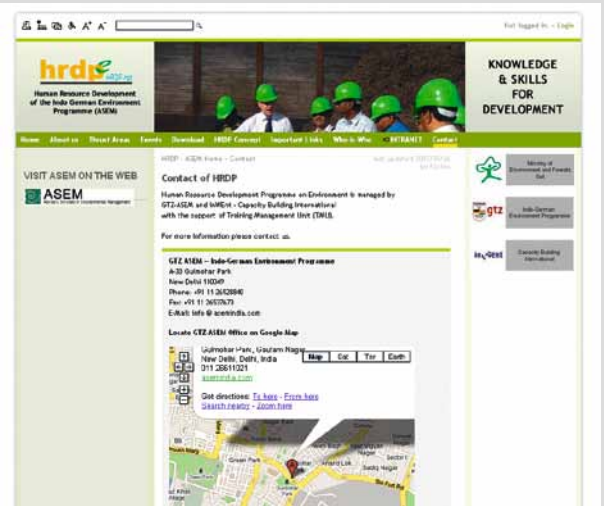
Figure 5-17: Structure of the HRD Platform

Main Section	Sub-Sections	Explanation/Contents
Home	 <p>Left and right 'teasers' for</p> <ul style="list-style-type: none"> <li>• Latest News</li> <li>• Latest in Downloads</li> <li>• Stakeholders</li> </ul>	<ul style="list-style-type: none"> <li>• General introduction of the ASEM Human Resource Development Programme with links to the main information sections</li> <li>• Constantly updated 'News' and 'Downloads'</li> </ul>
upcoming training courses	 <p>• Folders for descriptions of the main areas of training</p> <p>• Each area contains the course characterisations</p>	<ul style="list-style-type: none"> <li>• Training calendar in a table with all upcoming events according to the current HRD Programme operational plan that can be interactively sorted</li> <li>• All training courses are coded.</li> <li>• Links to the detailed announcements (course characterisation) are given for scheduled events.</li> <li>• Links to additional information that require access code</li> </ul>

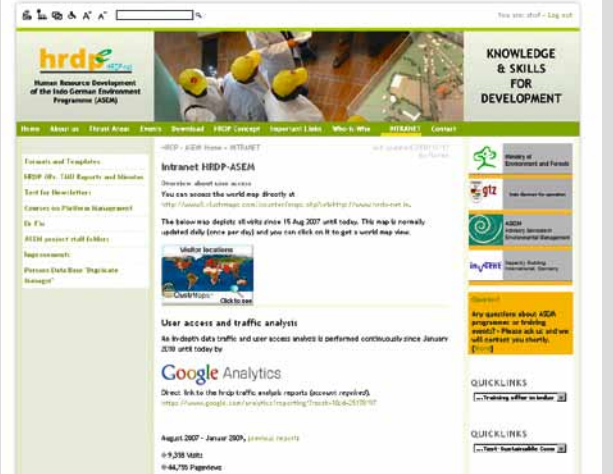
Ctd. Figure 5-17

Main Section	Sub-Sections	Explanation/Contents
<p><b>Past Training Courses</b></p>	 <p>The screenshot shows a detailed course page with the following information:</p> <ul style="list-style-type: none"> <li><b>Code:</b> EE   2009   EE   10</li> <li><b>Short title:</b> EE:EE-2009 Certificate Course on Eco Industrial Estates</li> <li><b>Title:</b> TdF for Management and Operation of an EEP - Certificate Course Part for 210</li> <li><b>Threat Area:</b> SEI: Sustainable Industrial Development</li> <li><b>Project:</b> EE: Eco Industrial Estates in Andhra Pradesh</li> <li><b>Persons:</b> (Dr. Gert Peter Jansen) (Coordinator)</li> <li><b>Event Details:</b> <ul style="list-style-type: none"> <li><b>Date:</b> Max. 14.01.2009</li> <li><b>Place:</b> Visakhapatnam</li> <li><b>Details:</b> Sorry, no online application available for this event.</li> <li><b>Application:</b> Contact Name: Dr. Venu Gouda - IGAT, Peter Bern, Email: vbu</li> </ul> </li> <li><b>Participants:</b> Total: 4, Female: 1, Male: 3</li> <li><b>Target Group:</b> IGAT Trainers for Eco Industrial Estates Management and planning (postage)</li> <li><b>Training Provider:</b> IGAT, Essen rdby, Germany</li> <li><b>Trainers:</b> Andra Pradesh Industrial Infrastructure Corporation, GTZ-ASEM, IGAT</li> <li><b>Course objectives:</b> <ul style="list-style-type: none"> <li>Concepts, approaches and models for the EE training courses EE 210 and EE 120, 4. All Trainers finalized the design of the state-of-the-art training modules that fulfill the following conditions:                     <ul style="list-style-type: none"> <li>They are need oriented and demand driven</li> <li>They substantially contribute to capacity building of the target groups</li> <li>The trainer's handbook for the EE 210 course module is finalized and can be used also for the other courses of the EE training package.</li> </ul> </li> </ul> </li> <li><b>Achieved results/Impacts:</b> <ul style="list-style-type: none"> <li>Indicators to measure success/Impact:                     <ul style="list-style-type: none"> <li>Finalize Agenda for 120, 4. a special skills course in February and March</li> <li>Finalize Training handbook amendments</li> <li>Prepare Practical exercises (not yet defined)</li> <li>Prepare presentations: Planning, Financing, Mechanisms, CDM Process</li> </ul> </li> </ul> </li> <li><b>Photos:</b> <ul style="list-style-type: none"> <li>Venu Gouda (Trainer-IGAT)</li> <li>Andra Prasad (Trainer-IGAT)</li> <li>Alexander Charalambos</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>Calendar in a table with all past events that can be interactively sorted</li> <li>Links to all publicly available material of the training with summary sheet (containing links to report, programme, picture gallery, presentations, press clippings)</li> <li>Links to additional information that require access code</li> </ul>
<p><b>Download</b></p>	 <p>The screenshot shows the 'Download' section of the HRDP website. It includes:</p> <ul style="list-style-type: none"> <li><b>Download Approved HRDP Operation Plan 2010</b> (22.02.2010)</li> <li><b>Download HRDP 2010</b> (22.02.2010)</li> <li><b>Download HRDP Quality Assurance Process</b> (Status)</li> <li><b>Download HRDP Evaluation</b> (NEW)</li> <li><b>Download HRDP Evaluation Form</b> (NEW)</li> <li><b>Download HRDP Evaluation Report</b> (NEW)</li> <li><b>Download HRDP Evaluation Form</b> (NEW)</li> <li><b>Download HRDP Evaluation Report</b> (NEW)</li> <li><b>Download HRDP Evaluation Form</b> (NEW)</li> <li><b>Download HRDP Evaluation Report</b> (NEW)</li> <li><b>Download HRDP Evaluation Form</b> (NEW)</li> <li><b>Download HRDP Evaluation Report</b> (NEW)</li> <li><b>Download HRDP Evaluation Form</b> (NEW)</li> <li><b>Download HRDP Evaluation Report</b> (NEW)</li> </ul>	<ul style="list-style-type: none"> <li>All material available for downloading</li> <li>General information on ASEM, InWEnt, GTZ (brochures, newsletter, concepts of HRD Programme)</li> <li>Workflows, quality package, general forms</li> <li>Publications (newsletter, brochures)</li> </ul>
<p><b>About us</b></p>	 <p>The screenshot shows the 'About us' section of the HRDP website. It includes:</p> <ul style="list-style-type: none"> <li><b>Human Resource Development Programme (HRDP) is a cross cutting thrust area under ASEM</b></li> <li><b>Overview of Events Conducted in 2009 under work Threat Area of ASEM</b></li> <li><b>Event Overview Under HRDP in 2009</b> (Bar chart showing the number of trainings and participants)</li> <li><b>The Human Resource Development activities of all the different projects under ASEM are collected and structured by the Training Management Unit, as per the needs of various stakeholders. Training courses, workshops and conferences are organized in a yearly HRD Operation Plan that is coordinated by the projects and with the support of a specialised Training Management Unit. UNICEF Capacity Building for essential is guiding and advising the training management.</b></li> </ul>	<ul style="list-style-type: none"> <li>Presentation of the main actors with respect to the human resource development programme</li> <li>Tasks and responsibilities</li> </ul>

Ctd. Figure 5-17

Main Section	Sub-Sections	Explanation/Contents
<p><b>HRD Programme Concept</b></p>	 <ul style="list-style-type: none"> <li>• Guiding principles</li> <li>• Key elements of capacity building</li> <li>• Training types</li> <li>• Background information</li> <li>• ASEM thrust areas</li> </ul>	<ul style="list-style-type: none"> <li>• Description of the approach and concepts of capacity building</li> <li>• Explanations of standards and tools for human resource development</li> <li>• Background information on the policy of the HRD stakeholders</li> </ul>
<p><b>Important Links</b></p>	<ul style="list-style-type: none"> <li>• National and international organisations with interesting offers in capacity building</li> </ul>	<ul style="list-style-type: none"> <li>• Commented links</li> </ul>
<p><b>Contact</b></p>		<ul style="list-style-type: none"> <li>• Contact details of ASEM, GTZ, InWEnt and the TMU</li> <li>• All staff involved in HRD</li> </ul>

Ctd. Figure 5-17

Main Section	Sub-Sections	Explanation/Contents
<p><b>Intranet</b></p>	 <ul style="list-style-type: none"> <li>• Forms and outlines</li> <li>• Event working table</li> <li>• Each author has a work in progress folder</li> <li>• Course development folders</li> <li>• Master tables, operation plans, internal reports</li> <li>• Collection of all training material</li> </ul>	<ul style="list-style-type: none"> <li>• The intranet is a dynamic working platform for the management and contains the 'events working table', which is to be updated constantly.</li> <li>• Each upcoming and past project is documented in a folder with all material (the links in the other sections refer to this information).</li> <li>• All operation plans, master lists, internal reports and minutes, work-flows and standards are collected.</li> <li>• Collection of forms and templates</li> <li>• Web platform access statistics</li> </ul>

### 5.7.3 Summary of the HRD Platform Benefits

Project coordinators and the TMU use the public area:

- To structure the course development process and to build a common understanding between all active parties involved on the course development and the final product
- To inform about upcoming training courses and workshops
- To provide the calendar of all training programmes, workshop events and conferences of the ASEM programme with convenient sorting options by date, topic or area to have access to training reports from past events
- To upload reports and material of selected training courses
- To provide tools for training course design and management (such as evaluation questionnaires and analysis programmes)
- To manage the online application for training courses
- To inform about concepts and capacity building initiatives and publications.

Project coordinators and the TMU use the intranet and restricted CCF fields:

- To coordinate their training activities and contents
- To document disclosed material, reports, evaluations and tools
- To provide restricted access to reports, participant lists and background information.

In general, the HRD-ASEM management platform facilitates:

- The efficient preparation of large scale capacity building programmes
- The comprehensive documentation of status and outcomes through easy-to-handle tools (e.g. reporting, documentation, training evaluation and impact analysis)
- Restricted access to reports, participant lists and background information
- The possibility of feedback and comments in discussion forums
- The fast generation of training project reports.

The following key features support the project coordinator to produce and manage the intellectual capital in a training project:

- An easy publishing system managed by experts and/or the training programme coordinator that allows for quick documentation
- Convenient content import and export facilities to any major software system (investment security assured)
- A single source publishing process (e.g. contents are automatically (re)used for newsletter, reports, websites or books)
- Professionally licensed opensource technology that is free of charge; widely used in the scientific, technology and medical sector, the system has been adapted by the open source community specifically to the needs of efficient scientific electronic publishing.



## 6 Impacts and Impact Measurement

### Summary

Chapter 5 covered the management of intellectual capital (knowledge management) by focusing on the following topics

- Documentation and reporting of training events
- Documentation of event completion
- Master lists
- Consolidated evaluation reports
- Archives of training material
- The *Knowledge & Skills* newsletter

This chapter focuses on evaluation and monitoring processes building on **Section 4.4**. It consists of the elements

- Monitoring process
- Evaluation of impacts
- Work history

## 6.1 The Monitoring Process

The instruments for course evaluation presented in **Section 4.4** (Evaluation of Workshops and Training Courses by Participants) give immediate feedback from the participants of a training course or a workshop. Such feedback is normally greatly biased by the euphoria of the moment and the fresh motivation to use the new knowledge and skills. However, it hardly allows any statement about the future use of the output and the impact of the training and it does not give any chance to assess the sustainability of the results of a training programme.

Training always deals with individuals but the impact is generally expected to be found at the organisational or institutional level. Therefore, the participants of training courses are considered in terms of their func-

tion in the system and as representatives of the client organisations.

To assess the longterm impact and the changes (personal and institutional) affected by any HRD measure, systematic monitoring is necessary. Usually the time, energy and financial resources for such monitoring are not available within a project.

If human resource development is seen in the context of the implementation of specific technical or financial project activities, the impact of training or a workshop can be traced more easily, because it is linked to concrete activities (e.g. developing a concept, mastering a machine). **Figure 6-1** presents examples of such impacts.

Figure 6-1: Examples of impact monitoring of skills training courses and workshops

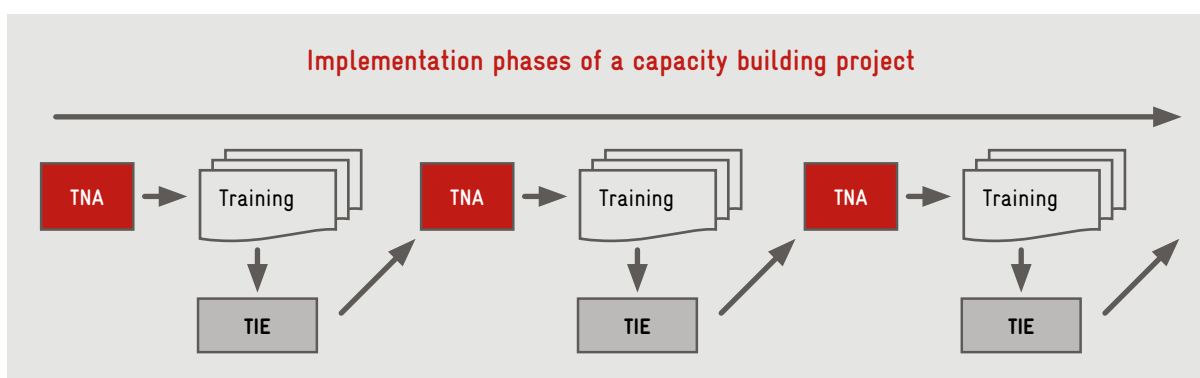
Type	Impacts	Example	Ways of monitoring
<b>Skills training</b>	<ul style="list-style-type: none"> <li>• Participants perform better in specific tasks.</li> <li>• Standards are improved and lead to a more effective performance.</li> <li>• Activities are launched because of better awareness, knowledge and skills.</li> <li>• The vision of future work is broadened and new approaches for the own work are taken.</li> <li>• Decisions are taken faster because of better understanding.</li> </ul>	<ul style="list-style-type: none"> <li>• The training management unit operates the HRD Platform independently.</li> <li>• The zonal managers of eco-industrial estates improve the writing of terms of reference.</li> <li>• New teaching methods improve the quality of training courses.</li> </ul>	<ul style="list-style-type: none"> <li>• Alumni contact system</li> <li>• Feedback and assessment of the client institution after the training</li> <li>• Assessment of reports reflecting new or improved activities and concepts</li> <li>• Observation of outputs of routine work (see <b>Section 6.3</b>)</li> </ul>
<b>Workshop</b>	<ul style="list-style-type: none"> <li>• Plans and concepts are shared and understood.</li> <li>• Agreement of a concept or strategy is reached.</li> </ul>	<ul style="list-style-type: none"> <li>• A new approach is shared and decisions are made to implement and finance it.</li> <li>• The operation plan of HRD is approved and can be implemented.</li> </ul>	<ul style="list-style-type: none"> <li>• Assessment of memorandum of understanding or letters of intent</li> <li>• Less time and fewer complications in getting approvals</li> </ul>

Most of the human resource development measures are project-related. It has proven appropriate for the training management and the project coordinators to explicitly and implicitly use two tools to assess the training impact:

- 1) The 'work history' approach, which uses project reports and presentations and is presented at annual planning and evaluation workshops (see **Section 6.3**)

- 2) Different models of training impact evaluation (TIE) (see **Section 6.2**)

The training impact has to be seen in the context of the on-going chain that starts with the training needs assessment (TNA) followed by the actual training course or programme (Training) and that is finally concluded by the training impact evaluation (TIE) before it might start over again as illustrated beneath.



A training needs assessment is followed by the implementation of a training course or a whole capacity building programme. The evaluation of the training course is documented through the direct effect on the project or through observing performance improvement of the partners and stakeholders.

## 6.2 Evaluation of Impacts

The evaluation approach introduced is based on an 'impact chain', assuming that activities or events produce an output, that the output is used and therefore finally produces direct and indirect benefits for the target group, the target institution and ultimately for the country and its people as a whole. This approach makes the simplifying assumption that cause and effect of activities build a linear relationship.

As we will see later, this weakness can be compensated to some extent with qualitative observation, documentation and evaluation of 'work history'.

However, this approach has the advantage that it is easy to understand and to apply. Indicators play an important role in the evaluation process.

Each course characterisation includes the necessary indicators to detect the use of output and its benefits. In a closed system of monitoring and evaluation the indicators are defined during the design process.

In a feedback-oriented open system, which is the usual approach in project-related HRD activities, there is a strong self-reference structure. Observation and description of changes and behaviour are used and collected. The feedback-oriented approach is rather narrative and is referred to as 'event history' or 'work history'.

**Figure 6-2** shows an impact chain for capacity development. Different chains of impact can be interrelated or dependent on each other. **Figure 6-3** defines the terms used for the impact evaluation.



Figure 6-2: The impact chain for capacity development

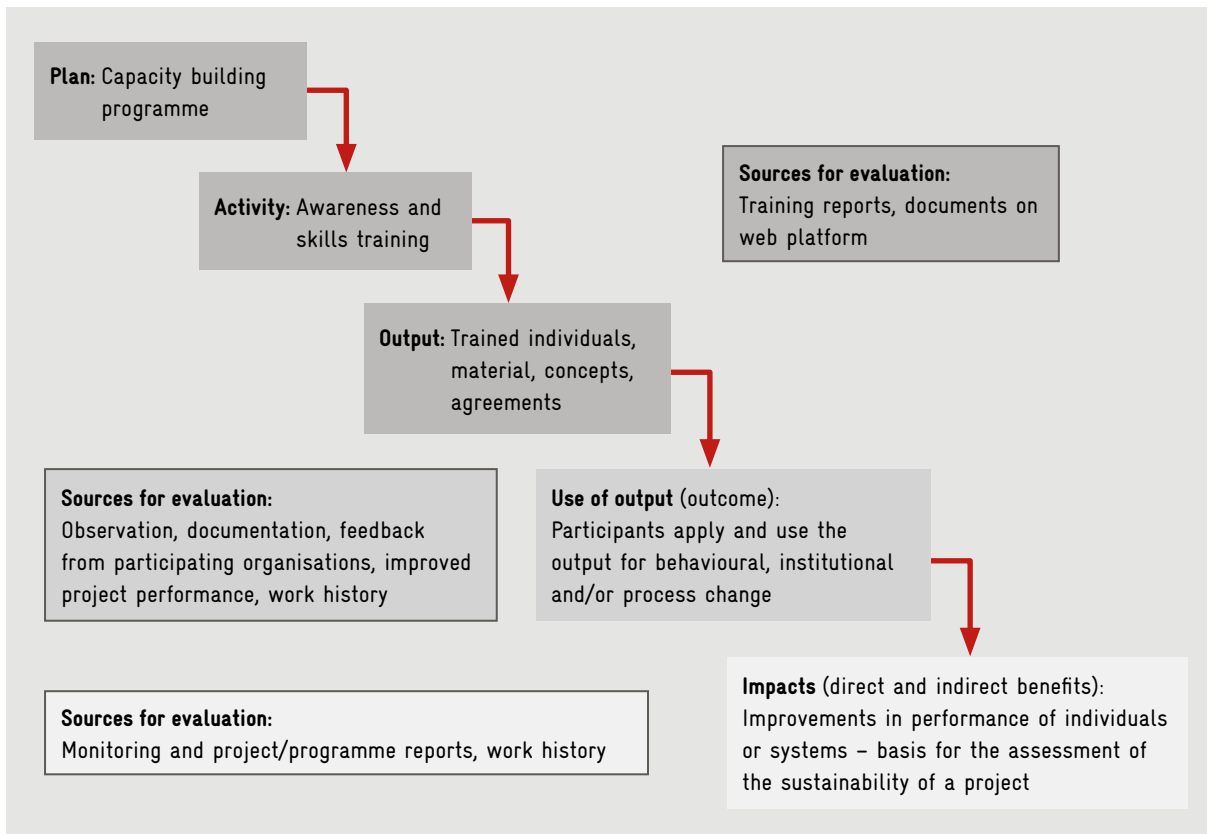


Figure 6-3: Definition of terms of the impact evaluation

Terms used	Definition and explanation
<b>Goal</b>	A broad statement of condition which is aspired towards in the long term; a general statement that sets the desired direction of progress. Goals are a reflection of the operating values and are usually abstract and not directly measurable. However, in assessing progress, they provide the starting point from where everything else will follow. Goals become operational with development of specific objectives so that progress can be measured by indicators.
<b>Objective</b>	A desired, specific, achievable condition that will contribute towards a goal. Objectives are measurable or potentially measurable and provide an explicit link between goal and system components. Objectives are achieved with specific actions that are grouped within a strategy.
<b>Plan</b>	A plan is referred to as the result of a process of anticipating and organising a set of particular actions and activities with the aim of achieving selected objectives in the light of available resources. Planning is organising and structuring in advance everything that guides a future action. Project management and implementation is normally based on an operation plan which gives activities, tasks, responsibilities and the time frame for future implementation.
<b>Activity</b>	An activity is an action or a set of actions performed in order to reach goals and objectives. Behind an activity there is a series of tasks. Activities can be hierarchically structured and divided into sub-activities. The implementation of a workshop is an activity, the preparation of a workshop, the follow-up, etc. would be sub-activities. For our purpose it is important to determine the appropriate level of differentiation. Usually we would like to evaluate the activity 'workshop' and not the sub-activities.
<b>Output</b>	Outputs are the direct and concrete results of an activity. The output of the activity 'planning' is a plan, the output of a training course are trained participants, a course manual ready to be used, etc. The output of an activity can be further used (and thus have an influence on future activities) or it is not used (which normally would be a sign of no success). For evaluation purposes it is therefore necessary to proceed to the 'use of output'.
<b>Use of Output (Outcome)</b>	Outcome is the immediate profit achieved by single events or activities of all of the projects activities. The use of output refers to the application of products, skills, knowledge or awareness of an activity but beyond this activity. If in a training course the output is that the participants learn something, the use of output would mean the application of what has been learnt.
<b>Impacts</b>	Impacts are the long term benefits (profits) and the lasting changes reached through activities. Some impacts are direct and some are indirect. If it is useful, one can differentiate between direct and indirect impact. An impact should be positive, so we speak of benefit.
<b>Direct Benefit</b>	A direct benefit is the improvement of conditions for a target group or institution as a direct result of the outcome (output use). It can be an improved organisation, the improvement of living conditions, better informed and more effectively working staff, etc. The measurement of a benefit is often a qualitative task where the situation must be described in comparison to a previous situation. Often benefits cannot be assessed completely because the amount of information needed to assess everything would be much too great to be collected and analysed completely.
<b>Indirect Benefit</b>	Indirect benefits are those benefits which are not explicitly intended but are results (or partly results) of the activities. Again, they cannot be assessed systematically without spending more time on assessment than on activities.
<b>Indicator</b>	An indicator is a parameter or variable that characterises a qualitative or quantitative aspect of the issue of interest. The indicator points to or stands for the issue to be measured or described. Some indicators might belong to the characterised factor or sector (e.g. SO <sub>2</sub> as indicator for air pollution from combustion processes), others do not (e.g. plants whose damage rate indicate air quality in general but are not part of an air quality parameter).

The assessment of the 'use of outputs' (outcome) can be assisted by the active feedback of the institution/organisation of the participants and/or by contacting participants some months after the course. Three tools are available:

1. Questionnaire for the participant that should be sent some months after the training course. The file named '*Questionnaire for exparticipants to assess the impact of a training course on their performance*' can be downloaded on the HRD-ASEM Platform (<http://www.hrdp-net.in/e199/e25462>) and is added in the **Annex 9.12**. It contains a MS-Excel spreadsheet for analysis.
2. Questionnaire for the institution of the participant(s) that should also be sent some months after the training course has been completed. The file named '*Questionnaire to ask institutions to assess the impact of a training course for their personnel*' can be downloaded on the HRD-ASEM Platform (<http://www.hrdp-net.in/e199/e25462>) and is added in the **Annex 9.12**. It contains a MS-Excel spreadsheet for analysis.
3. A form that can be used during an interview or as a stand-alone questionnaire as presented in **Figure 6-4**. Defined indicators should be completed before the interview.

Figure 6-4 Impact evaluation scheme

Code		
Activity/Event		
Reference to plan		
	List the indicators before sending the questionnaire.	
Output Indicators		
Output Use Indicators		
Benefit Indicators		
Impact Chain	Complete according to the answers of the institution or person	Date
Output		
Use of Output		
Direct Benefit		
Indirect Benefit		
	Further comments and explanations	
Venue		
Duration		
Month		
No. of Participants		
Target Group		
Trainer		
Total Cost		

### 6.3 The Documentation of Impacts – the 'Work History'

Reports, articles, documents and online documentation often have the limitation that they refer mainly to limited and direct project-related activities. But the results and impacts of capacity building activities can be much more complex, often indirect and surprising. This 'documentation gap' can be bridged by collecting experiences and results of capacity building activities from a variety of sources and discussions with people directly and indirectly involved.

This '*work history*' approach is based on the collection of 'stories' in the area of influence of the capacity development project. It is an open process of collection of events and their impacts that can be linked to training and awareness building efforts.

It depends on a conscious and motivated network of people who observe and collect the 'stories' and transmit their information. Work progress and important events in project history are generated by different actors and stakeholders of a capacity building project. They also include non-formal events.

Requirements for the use of the 'work stories' approach are:

- The consequent collection of information by closely observing all kinds of formal and informal events
- One responsible 'story' or communication manager who motivates the network of observers and others and asks them actively about observations
- A documentation system which is updated systematically
- A multi-level and multi-instrument-based feedback system, a newsletter and website, special status

reports as well as installations and facilities to inter-actively involve result-users and participants and to constantly motivate stakeholders to participate in the follow-up process

- The assignment of clear responsibilities to one person to keep track and collect/document
- To prepare a list of key persons (connectors in the stakeholder community)
- A motivating response space in the HRD Platform
- A regular feedback to the stakeholders on progress (to motivate and stimulate contribution).

Possible options to systematise the data are listed in **Figure 6-5**.

The main advantage of the 'work history' approach is that the method is holistic and can capture the real life impacts in the whole area of influence. Additionally, it can trigger identification, participation and interest because the communication of (positive) stories is motivating and induces associations ('unlocking passion'). The process of data collection is principally participatory.

The main limitations are that the approach is non-systematic and the collected information is not automatically integrated in a cause and effect context (e.g. It is not clear that a person changed or improved by attending a specific training, or that a policy was changed exclusively because of a specific project intervention). The observations are not as objective and independent of the observer as measurements with pre-defined indicators.

Figure 6-5: Sources of Information for 'work history'

Source	Comments
Workshops	Observation of behavioural change of participants (better presentation, way of behaviour) or better or more contributions
Meetings	
Field visits	Observation and comments of people, local key persons and accomplished installations
Documents	Reference in documents to the project activities
Applications	Observation of application of what has been learnt
Formal decisions	The impacts of training can be reflected in formal decisions (minutes of meetings, etc.).
Personal contacts and remarks of participants	One of the main sources (during workshops, etc.) is the personal contact. Information either by direct questions or indirect comments and stories
Personal contacts and remarks of indirectly involved people	
Media and publication	Press clippings and reference to the context of the project
Formal interviews and/or questionnaires/evaluations	More formalised method that requires adequate questions (e.g. Can you say where you could use what you have learnt?)
Staff/team meetings	Question and answer section about project progress and experiences

The 'stories' can be generated by different actors and stakeholders of the areas of influence of a capacity building project. They can serve as means to vividly illustrate the direct and indirect impacts of activities.

For future classification and analysis a category referring to the *impact*, *effect* and *story* should be given. The most practical way is to start categorising when the list has accumulated some inputs.

In the example of **Figure 6-6** the following ways to categorise/systematise the observations are used:

- Major steps in planning
- Important concepts
- Changes in individual behaviour and performance
- Changes in institutional performance
- Changes in policy decisions and strategic settings
- Events in the project history, milestones
- Important human resource development (HRD) event.

Figure 6-6: The project event history (example)

Date of observation	Event (keyword)	Impact, effect, story	Category
October–November 2000	Elaboration of HRD Programme concept	In cooperation between the Zoning Atlas Unit of the Central Pollution Control Board (CPCB), the Ministry of Environment and Forests, InWEnt and GTZ, a comprehensive HRD Programme concept was produced which included nine nodal course providers. The approach was highly participative.	Concept
November 2000	Planning workshop	The HRD Programme concept was discussed with all stakeholders and accepted as a working basis for the programme.	Planning
January 2001	Final version of HRD Programme concept	Issue of the final HRD Programme document	Concept
January–March 2001	First awareness courses in districts	Awareness courses in districts, introducing Zoning Atlas unit in Orissa and Assam	HRD
February 2001	Tripura regional plan information brochure	Information brochure of Tripura State about the progress of the regional plan is published.	Publication
Since March 2001	Pressure from Nodal Training Institutions	Nodal Training Institutions start calling to inform themselves regularly when clearance is given to start with a training programme.	Performance
June 2001	Final approval of the concept by the World Bank	This was a precondition to start the study tours abroad and to start the necessary clearance for inland training courses.	Decision
Etc.	...	...	...



## 7 The Process of Quality Assurance and Control (QuAC)

### Summary

Chapter 6 covered the topics

- Monitoring process
- Evaluation of impacts
- Work history

This chapter focuses on quality assurance methods and discusses

- The concept of quality assessment and control
- The quality management package

## 7.1 The Concept of Quality Assessment and Control (QuAC)

The implementation of a fully fledged quality management system is resource-intensive and requires a clearly defined plan and detailed quality goals. As training and capacity building systems can be characterised as processes, the same is valid for the development of a quality management system. Its success depends on the agreement and active involvement of all stakeholders.

Quality management systems that are designed only on the basis of theoretical assumptions tend to evolve into self-centred activities taking up too much energy that could be used to fulfil the core tasks of a project.

Of primary importance for the establishment of a quality management system is the consideration of the capacities that can be trained and those that are more internally driven and where training would be ineffective. **Figure 7-1** presents a list of possibilities and limitations of training measures.

Figure 7-1: Possibilities and limitations of training measures

Field	Cannot be trained	Can be trained
<b>Profession</b>	Training cannot replace education. It cannot turn a bus driver into an engineer.	Training can add new skills if there is already a professional basis. The bus driver can learn to operate a new type of vehicle safely.
<b>Management</b>	Someone who is not capable of taking decisions will not change their character through training alone. Training cannot replace personal development and psychological help.	Training can improve management capabilities by explaining tools and their application in realistic situations such as setting priorities, structuring ideas, decision-making skills, etc. A timid person can be trained to overcome the fear of public speaking by learning about and practising tools for moderation and presentation.
<b>Problem-solving</b>	Willingness to tackle problems	If there is a professional basis and an individual willingness to understand basic structures, an interested person can be trained to turn problems into activities and solutions.
<b>Sustainable development</b>	Sustainable development as such	Understanding of the concept of sustainable development and the systemic prerequisites and environment required
<b>Wisdom</b>	The path towards wisdom	Insights from new exposures can be recognised, and examples and new experiences can be added to the process of achieving wisdom.
<b>Wealth</b>	How to become rich	How to invest money wisely
<b>Resources</b>	Change resource-wasting trends in society	Tools and methods to use existing resources efficiently as well as to recognise and to use alternative resources
<b>Observation</b>	The willingness to observe	Observation skills can be part of exposure and discussions.
<b>Ideas</b>	Willingness to have an open mind	How to design and apply training approaches and formats (such as development workshops, group work, role play, brainstorming) which allow a communicative and stimulating atmosphere; skills to structure own ideas
<b>Life</b>	Happiness	How to adjust one's way of thinking to different situations can be practiced in open and participatory training events.



To establish an adequate quality management process the following elements should be considered and discussed in the team:

- A clear and shared vision of quality (in the context of understanding clients, products and service delivery) that has to be integrated into each training proposal
- Clear responsibilities and sufficient and adequately skilled manpower agreed on in the proposals of training providers and included in agreements and decisions for implementing an HRD event
- Practical guidelines for the different working areas (training, advisory service, communication, documentation, feedback, staff performance, etc.)
- A quality management system connected with the training needs assessment process and the training impact evaluation that goes far beyond the training efforts and includes the whole system at work
- A realistic implementation plan (with enough time and defined milestones) that can be implemented under the constraints of human and financial resources (the cost-benefit ratio has to be favourable)
- A clear and reliable communication and reporting structure between all actors relevant for the implementation of the training

This quality assessment and control package, discussed and approved in the HRD planning and evaluation workshops, can be illustrated as a sequence (in detail in **Section 7.2** 'A Task Sequence of Quality Assessment and Control').

The basic guidelines for the quality management of the HRD programme of ASEM/InWEnt are:

- 1) Simple and easy to use rules for each task
- 2) Clear prescriptions and agreements of all quality-relevant deliveries in a contract and sufficient quality control of deliveries
- 3) Detailed description of objectives and expected results
- 4) Agreement on consequences for not meeting necessary deliveries

Problems with the establishment of an effective quality management system for capacity building measures are often related to deficient or lacking workflows or bad implementation and follow-up. The main challenges of an effective quality control for capacity building measures are summarised in **Figure 7-2**.

Figure 7-2: Problems of introducing and operating a quality management system

Problem area	Description, consequences and comments
<b>Enabling organisational environment</b>	
<b>No professional training system in place</b>	<p><u>Problem description:</u> The capacity building system consists of single and sporadic workshops or training courses based on ideas or initiatives of individuals. No consistent problem and needs analysis has been made and candidates for training courses are selected unsystematically, and not according to the development needs of the client institution. No quality criteria and no awareness of synergies and potentials of a coherent professional training system exist. Knowledge management is weak or non-existent. A strategy of human resource development is lacking.</p> <p><u>Consequences:</u> Intellectual capital is not systematically developed and financial and human resources are not used efficiently. Training courses or workshops are produced without context for the development of the institution/organisation or with insufficient guiding and management power.</p> <p><u>Solution:</u> Awareness raising by showing the potentials and gains of a consistent HRD strategy. Development of a tailor-made and customer-oriented capacity building system. Development of tools and instrument for knowledge management and its efficient use.</p>

Ctd. Figure 7-2

Problem area	Description, consequences and comments
<b>Enabling organisational environment</b>	
<b>No adequate and timely needs analysis; mismatch between training courses and existing or emerging problems</b>	<p><u>Problem description:</u> Training courses and workshops are not well linked to capacities that need to be developed. The client organisation does not provide an enabling environment to allow the trainees to use their acquired skills, although new skills usually need new structures, resources and work processes.</p> <p><u>Consequences:</u> Training has no direct effect on professional performance of trainees.</p> <p><u>Solution:</u> Appropriate needs analysis and problem-oriented training design that is relevant to the needs of the parent institution; a needs analysis also has to focus on the enabling environment (capacity assessment of the institutions).</p>
<b>Poor linkage between training and practical work</b>	<p><u>Problem description:</u> Training is not sufficiently oriented/focused on acquisition of skills and mainly delivers knowledge; no connection between knowledge and skills established. The skills are not sufficiently rooted in daily work; hands-on training courses are rare. Training is not geared to requirements of practical daily work in the institution.</p> <p><u>Consequences:</u> Skills acquired cannot be applied in daily work and do not contribute to optimising performance and efficiency of the institution and the individuals.</p> <p><u>Solution:</u> Training design based on a proper analysis of work processes and requirements and on a training needs analysis.</p>
<b>Misconception of time, costs and efforts for skills training</b>	<p><u>Problem description:</u> Inadequate allocation of resources to enable efficient skills training; insufficient number of days allocated for skills training; no consideration of longer and well structured training sequences/refresher courses; confusion between knowledge and skills.</p> <p><u>Consequences:</u> Little direct effect of training on work processes and performance.</p> <p><u>Solution:</u> Clearly define deficits in skills regarding the organisation's human resources; properly design skills training courses and ensure common understanding between client and training provider; apply a systems approach to skills training considering the environment, the trainee and the job to be done.</p>
<b>Little support from decision-makers and management structure</b>	<p><u>Problem description:</u> Key persons in the client institution delegate their complete area of responsibility to the training institution and do not want to be involved in further development and problem solving.</p> <p><u>Consequences:</u> The trainee may be trained successfully, but will not be able to apply the new knowledge and skills efficiently as neither the institutions nor the key persons are ready or willing to adjust their points of view and make relevant organisational changes.</p> <p><u>Solution:</u> Create understanding within the client institution that training and human resource development always requires inputs from all levels of the institution including management and decision-making.</p>
<b>Trainees are not properly selected</b>	<p><u>Problem description:</u> Target groups/trainees are not defined adequately or not selected consistently along defined terms.</p> <p><u>Consequences:</u> Trained knowledge and skills are not applied properly in the institutions or in daily work. Effects of training are very limited.</p> <p><u>Solution:</u> Define target groups adequately, design training as required for the selected target groups and ensure that the right persons are selected. This requires a strong commitment on the level of the decision-makers.</p>

Ctd. Figure 7-2

Problem area	Description, consequences and comments
<b>Enabling organisational environment</b>	
<b>Little benefit of trained persons to client organisation</b>	<p><u>Problem description:</u> Frequent turnover of trained personnel; trained employees often leave their job/institution.</p> <p><u>Consequences:</u> No impact of the training on the client institution; waste of institutional resources.</p> <p><u>Solution:</u> Agree with client institutions that trainees will stay in their jobs for a fixed time after having received training.</p>
<b>Consequences of new attitudes, knowledge and skills for managers and colleagues are not considered</b>	<p><u>Problem description:</u> Group dynamics that can lead to conflicts within the team between the newly trained staff and the other colleagues are not sufficiently considered or acknowledged.</p> <p><u>Consequences:</u> The rest of the team rejects the newly acquired knowledge and skills of the trainees; they are not able to apply acquired knowledge and skills properly and efficiently.</p> <p><u>Solution:</u> Consider these consequences when planning the HRD measures; allocate adequate resources to establish working internal structures for including new skills and ideas properly in the work processes.</p>
<b>Lack of appropriate indicators</b>	<p><u>Problem description:</u> Success indicators are often designed and used for reporting to the administration. They rarely illustrate real impacts but are rather meant to fulfil only formal requirements and focus on outputs (spent allocated budgets, preparation of reports).</p> <p><u>Consequences:</u> No way of assessing the impact and effectiveness of training programmes.</p> <p><u>Solution:</u> Foster proper understanding and awareness in the client institutions and design/redesign indicators to measure impacts.</p>
<b>Individual learning level</b>	
<b>Absorption capacity of participants is not well considered</b>	<p><u>Problem description:</u> Absorption capacities of trainees as well as their availability in regard to their profession are not considered well (e.g. scheduling training courses for farmers during harvest periods). Training programmes can be overloaded in content and complexity and not sufficiently related to the available time.</p> <p>The reverse situation is equally true as training courses can be too basic in content thus participants get bored.</p> <p><u>Consequences:</u> Participants lose interest or do not attend the entire course.</p> <p><u>Solution:</u> Good knowledge about the participants (detailed training needs assessment); interviews with the participants and/or their superiors prior to the training course; adapt training duration to the content as well as to the available time of the participants.</p>
<b>Lack of participatory teaching methods – no involvement</b>	<p><u>Problem description:</u> Traditional training methods such as lectures over-loaded with lengthy presentations do not create a learning environment conducive to interaction with trainees. The existing knowledge and skills of trainees are not considered as valuable course inputs.</p> <p><u>Consequences:</u> Information overload that can not be absorbed and internalized properly.</p> <p><u>Solution:</u> Establish common understanding of teaching methods and standards for participatory training; ensure that these approaches are applied during training; offer training-of-trainers programmes.</p>
<b>No hands-on exercises included in the course design – lecture-based training</b>	<p><u>Problem description:</u> Learning-by-doing methods are rarely included in standard training programmes (see also <b>Figure 3-3: Teaching method and learning efficiency</b>).</p> <p><u>Consequences:</u> The learning capacities of participants are not well considered; acquired skills and knowledge are quickly forgotten and not used.</p> <p><u>Solution:</u> Include hands-on training modules and refresher courses in the programme design.</p>

Ctd. Figure 7-2

Problem area	Description, consequences and comments
<b>Individual learning level</b>	
<p><b>Confusion between skills training courses and events focused on awareness building</b></p>	<p><u>Problem description:</u> Awareness can be raised within a few days or at a single training event. A skills training course usually requires more than a couple of days to master a complex subject (e.g. to understand the basic structure and use of a GIS system can be taught in a week, to operate the system requires more time).</p> <p><u>Consequences:</u> Programmes generate awareness but cannot teach appropriate skills.</p> <p><u>Solution:</u> Adequate planning of skills training courses including the appropriate amount of time, resources and methods; establish a clear focus on acquiring relevant skills rather than on a superficial understanding of relevant skills.</p>
<p><b>Awareness raising for attitudinal change is not connected to tools for taking relevant action</b></p>	<p><u>Problem description:</u> Awareness raising aims at the life experience of the participants of the target group. But awareness without having the tools to change one's behaviour is only an emotional exercise (e.g. if there are no financial resources provided to finance adequate measures).</p> <p><u>Consequences:</u> If the examples used to raise awareness by trainers do not match the reality of participants, the effectiveness of the training is reduced. If the conditions do not allow behavioural change or if the tools needed to achieve that change are not provided, the gained awareness is useless.</p> <p><u>Solution:</u> Trainers should know and understand the issues and be able to communicate them in a comprehensible manner to their particular audiences. Awareness raising always has to be combined with tools to translate awareness into action.</p>
<p><b>Low quality of trainers</b></p>	<p><u>Problem description:</u> Often trainers are not trained in teaching skills; training programmes are based on outdated course materials, which reduces the efficiency of training courses. As teaching and learning of skills are very challenging tasks, the quality of trainers is essential to inspire trainees to absorb the new awareness and to motivate them to improve their skills.</p> <p><u>Consequences:</u> Poor quality of trainers will reduce the overall effectiveness and impact of training programmes.</p> <p><u>Solution:</u> Carefully consider the evaluation of the trainers and their performance; show willingness to change trainer/training provider in the case of low results; offer train-the-trainer courses and intensive coaching to trainers; use trainers' handbooks with 'screenplays' for each training session; prepare standardised modular tool kits for trainers.</p>
<p><b>Lack of or appropriate training material</b></p>	<p><u>Problem description:</u> Inappropriate training material is used that does not provide trainees with up-to-date information or knowledge, e.g. regarding best practices.</p> <p><u>Consequences:</u> The capacities of trainees are not developed effectively.</p> <p><u>Solution:</u> Conduct inventories of training material; prepare case studies and monographs; assess PR material; identify best practices to provide inputs to courses; prepare modular training programmes (basic to specialised courses); design courses using multi media and blended learning elements combining class room training and online courses.</p>
<p><b>Low commitment of trainees to perform follow-up course work and to apply acquired knowledge and skills</b></p>	<p><u>Problem description:</u> Trainees often only have low commitment to using the acquired knowledge/skills or to improving their performance after completing a course. The follow-up of training courses is rarely implemented. Sometimes trainees do not get permission to implement process changes or to apply new techniques in their daily work.</p> <p><u>Consequences:</u> Acquired skills/knowledge are not applied effectively in the client institution.</p> <p><u>Solution:</u> Creation of an enabling environment that promotes networking and follow-up to training programmes by the management of the client institution; the time between a training course and the application of the learnt skills should be as short as possible so that progress can be experienced immediately.</p>

Ctd. Figure 7-2

Problem area	Description, consequences and comments
<b>Impact level</b>	
Course evaluation/feedback is not conducted adequately	<p><u>Problem description:</u> Evaluation of training courses is rarely done; evaluation results are not used effectively. This holds especially true for short training courses.</p> <p><u>Consequences:</u> Without sound evaluations, a constant improvement of training courses is difficult; the potential of direct feedback from participants and the client institutions to the training providers remains unused.</p> <p><u>Solution:</u> Adequate time and financial resources need to be allocated for the follow-up process. A short daily evaluation (see <b>Section 4.4.1</b>) and discussion allow for quick feedback. The complete course evaluation, including the analysis of the questionnaire (see <b>Section 4.4.2</b>), provides essential information for the trainers and client institutions. The systematic documentation of training results supports the follow-up process. Online feedback possibilities are necessary.</p>
Trainers/training institutions do not stay in contact with the client institution; no real feedback is provided	<p><u>Problem description:</u> Close contact between the client institutions and the training provider after the training is scarce. Thus, the assessment of any impact of the training is hardly possible, nor is the improvement of future training courses (content, focus, method).</p> <p><u>Consequences:</u> Trainers/training institutions can not support the application and implementation processes of new skills and techniques. Without carefully monitored follow-up processes, client institutions have great difficulties to use and integrate the trainees and their new skills and knowledge.</p> <p><u>Solution:</u> Continued contact between trainers and client institutions (see also questionnaire at <a href="http://www.hrdp-net.in/e199/e25462">http://www.hrdp-net.in/e199/e25462</a> and <b>Section 4.4.2</b>). Involve trainers in follow-up activities.</p>
No follow-up activities; no impact assessment	<p><u>Problem description:</u> Follow-up activities are conducted in only a few cases. Often the trainers/training providers and the client institution are not interested in doing so (it is frequently not part of the ToRs).</p> <p><u>Consequences:</u> Without agreed follow-up activities, trainers/training providers can not be held responsible for the training impact. Real training impacts can hardly be assessed, thus no learning process for the client institution or the trainers can occur.</p> <p><u>Solution:</u> The training impact can only be measured some time after the training and has to include participatory assessments in cooperation with the client institution (see <a href="http://www.hrdp-net.in/e199/e25462">http://www.hrdp-net.in/e199/e25462</a>). The evaluation of impacts at least six months after the training course is necessary and provides the basis for a new training needs assessment. An impact-oriented training design and the assessment of changes and newly emerging challenges allow for an effective long-term cooperation - 'After the training is before the training'.</p>

## 7.2 A Task Sequence of Quality Assessment and Control

To establish a system of quality assessment and control requires major efforts in the organisation of HRD processes. Some of the quality management instruments developed and applied in InWEnt's capacity building programmes in India are shown in **Figure 7.3**. Ranging from the planning stage of a course to the evaluation of training results, the displayed task sequence does not include the training needs assessment.

Not all steps are always relevant for all types of activities and have to be selected and eventually adapted to specific conditions.

The different instruments mentioned in **Figure 7-3** are compiled in a quality management handbook for reference downloadable from the HRD platforms <http://www.hrdp-net.in/e199/e25462>.

Figure 7-3: Tasks of quality control and assessment for the implementation of HRD measures

Implementation steps	Necessary quality control (relevant quality assurance tools in other sections)
Preparation for implementation ↓	<ul style="list-style-type: none"> <li>• Check if the description of the activity is complete (see <b>Figure 3-6</b>)</li> <li>• The preparation of the course design should lead to a training course profile that establishes standards for the course developer and has to include the appropriate training types (see <b>Figure 3-3</b>)</li> </ul>
Identification of training provider/trainer ↓	<ul style="list-style-type: none"> <li>• Assessment matrix for training providers (see <b>Figure 3.9</b>)</li> <li>• Evaluation grid of potential training providers, resource persons (incl. trainer) for dissemination/training (see <b>Figure 3-10</b>)</li> <li>• The selection criteria are to assure basic quality standards and can be seen as a system of basic quality standards</li> </ul>
Call for proposals ↓	<ul style="list-style-type: none"> <li>• Needs to include all prerequisites and the course characterisation based on <b>Figure 3-6</b></li> </ul>
Decision on proposals ↓	<ul style="list-style-type: none"> <li>• Thorough assessment of proposals (see <b>Figure 3-8</b>)</li> </ul>
Contract ↓	<ul style="list-style-type: none"> <li>• Checklist of essential contract elements (see <b>Annex 9-11</b>: Checklist of issues necessary for contract with training providers)</li> </ul>
Announcement in HRD platforms (events) and newsletters ↓	<ul style="list-style-type: none"> <li>• Assessment and control of documentation (see <b>Annex 9-8</b>: CCF Course Characterisation Format for announcement and completion)</li> </ul>
Implementation ↓	<ul style="list-style-type: none"> <li>• Train-the-trainer courses</li> <li>• Trainers' handbooks (<b>Section 4-2</b>)</li> <li>• Guides addressing difficulties and efficiency of learning (<b>Sections 4.1.1 and 4.1.2</b>)</li> </ul>
Feedback from participants & trainer ↓	<ul style="list-style-type: none"> <li>• Evaluation forms and instruments for participants</li> </ul>
Report of the activity ↓	<ul style="list-style-type: none"> <li>• Checklist for reports (see <b>Figure 4-7</b>)</li> <li>• Training reports have to meet a quality standard</li> </ul>
Acceptance of report ↓	<ul style="list-style-type: none"> <li>• Report assessment (see <b>Figure 4-8</b>)</li> </ul>
Documentation ↓	<ul style="list-style-type: none"> <li>• HRD platforms, reports and print media (see <b>Figure 5-4</b>)</li> <li>• The documentation system and its contents are part of the 'memory' of the capacity building system</li> </ul>
Training impact feedback ↓	<ul style="list-style-type: none"> <li>• Questionnaires and/or interviews with participants and client institution/organisation some time after the training course (see <b>Figure 6-2</b>)</li> </ul>
Closure	<ul style="list-style-type: none"> <li>• Assessment and control of documentation (see <b>Annex 9-8</b>: CCF Course Characterisation Format for announcement and completion)</li> </ul>

The quality control process not only depends on the trainers and the organising staff but on the entire system of the project or programme of which the HRD activities are part. Any quality management system will be ineffective and eventually fail if the pressure to fulfil

a tight time schedule is too high, if the only applied 'indicator' is the number of training courses or participants, or, even worse, if an unrealistic budget is provided.



## 8 Lessons learnt

### Summary

Chapter 7 covered the topics

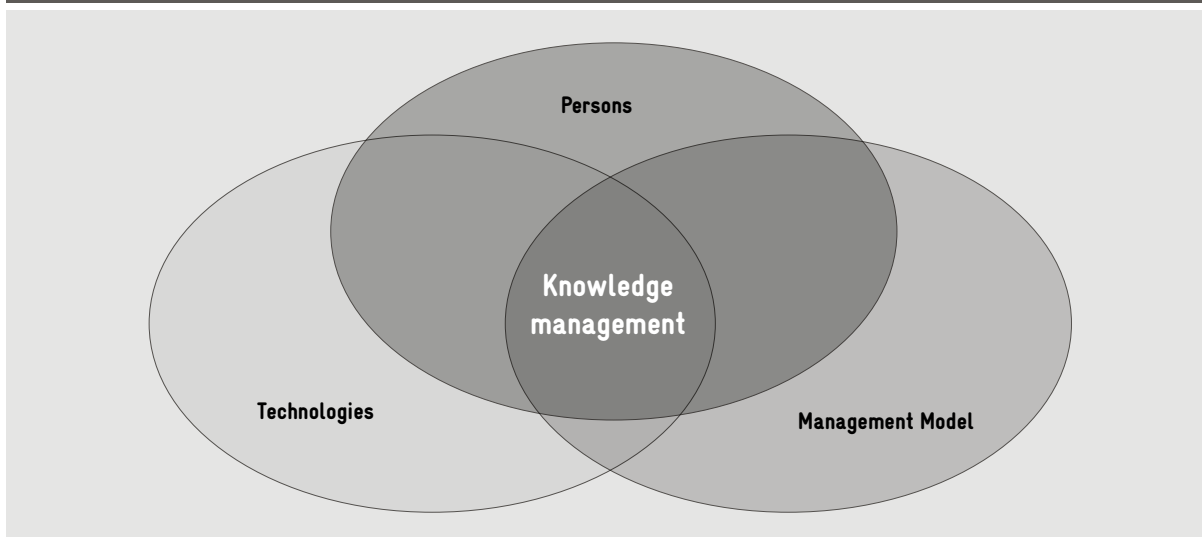
- The concept of quality assessment and control
- The quality management package

The final chapter summarises the central lessons learnt in conducted capacity building programmes and gives concluding advice.

InWEnt's 10 years of experience in the development of training programmes in India have facilitated a learning process for the German Development Cooperation. This chapter will highlight the conclusions:

1. The development of all training programmes must consider the programme context, and needs to be based on practical aspects:
  - a. All InWEnt activities outlined in the previous chapters were conducted in close coordination and complementary to GTZ projects and programmes (ASEM).
  - b. Each training programme was developed in the context of technical and institutional projects; isolated training activities without connection to the implementation context were avoided.
  - c. The training programmes had the approval of the political partner institutions.
  - d. The programmes were developed jointly with the partners at the relevant level.
  - e. The programmes had a strong component of institutional development.
2. The underlying approach for the development of the knowledge management of HRD programmes has to be based on three integrated components:
  - a. A sound management model (incl. work processes for training management, standards for training and documentation, quality standards)
  - b. The availability of experienced staff over a long period of time (continuity is a key factor), and the training of the staff enabling them to use the management model (internal project capacity development)
  - c. The development of the required technologies: The management model is implemented by means of information technology (the HRD platforms [www.HRDp-net.in](http://www.HRDp-net.in) and [www.HRDp-iDRM.in](http://www.HRDp-iDRM.in)). The involved persons responsible for the management (authors and editors) need to be trained in applying the technology with a special focus on institutional processes and the quality control of capacity building activities.

Figure 8-1: Knowledge management as intersection of key persons, management and technologies



3. The guiding principles for the implementation of capacity building programmes need to aim at the effectiveness of the activities:
  - a. The scheduled time for a training course is appropriate (e.g. mastering a GIS system beyond the understanding of the basic structure cannot be taught in a week).
  - b. The trained person is strongly supported by his/her supervisors, decision-makers and other key persons of the client institution.
  - c. The time between training and the application of the skills learnt is kept as short as possible; progress can be experienced immediately.



- d. The training programmes contribute to the creation of corporate identity in the client institution.
- e. Awareness building is accompanied by the introduction of relevant tools to translate the skill into action.
- f. Awareness-building activities are adapted to the context and experience of the target group. Thus, the trainers need to know and understand the relevant issues and have to be able to communicate them in a comprehensible manner.
- g. Training involves all senses; the trainee plays an active role in the training (participatory training, group work, exposure, role play, visualisations).
- h. Training results and material are documented and available for the client institution and the trainees after the training.
- i. The training contents are directly applicable for the trainee and for the client institution; the training courses are demand-driven (see **Figure 8-2**).

Figure 8-2: Supply-driven vs. demand-driven training

Supply-driven training	Demand-driven training
Target institutions and target groups are not well defined.	Close coordination with the client institution to maximise the desired impact of the training is necessary.
The training is not well-linked to the specific development project and the involved institutions.	The training is designed to have the greatest possible impact on the client organisation's goals in the context of the specific development project.
Training needs assessments are not conducted.	A systematic assessment of the training needs belongs to the standard procedures of the programme design.
The learning objectives are not performance-based.	The development of measurable, performance-based learning objectives is part of the HRD activities.
Data concerning the training results is not collected systematically.	Data on training results is collected continuously and analysed to support decision-making.
No efforts are made to prepare work processes and the workplace for the practical application of the skills learnt.	Measures to encourage the immediate application of new skills and knowledge are carried out.
An impact evaluation of the training on the job or organisational performance is not relevant.	Performance changes on the individual and organisational level connected to training courses are measured and analysed.

Modified according to: UNCHS United Nations Centre for Human Settlements (Habitat), Fred Fisher and David W. Tees (2000): Manual for Evaluating Training's Impact on Human Settlements. Nairobi - HS/457/97E, ISBN 92-1-131336-8

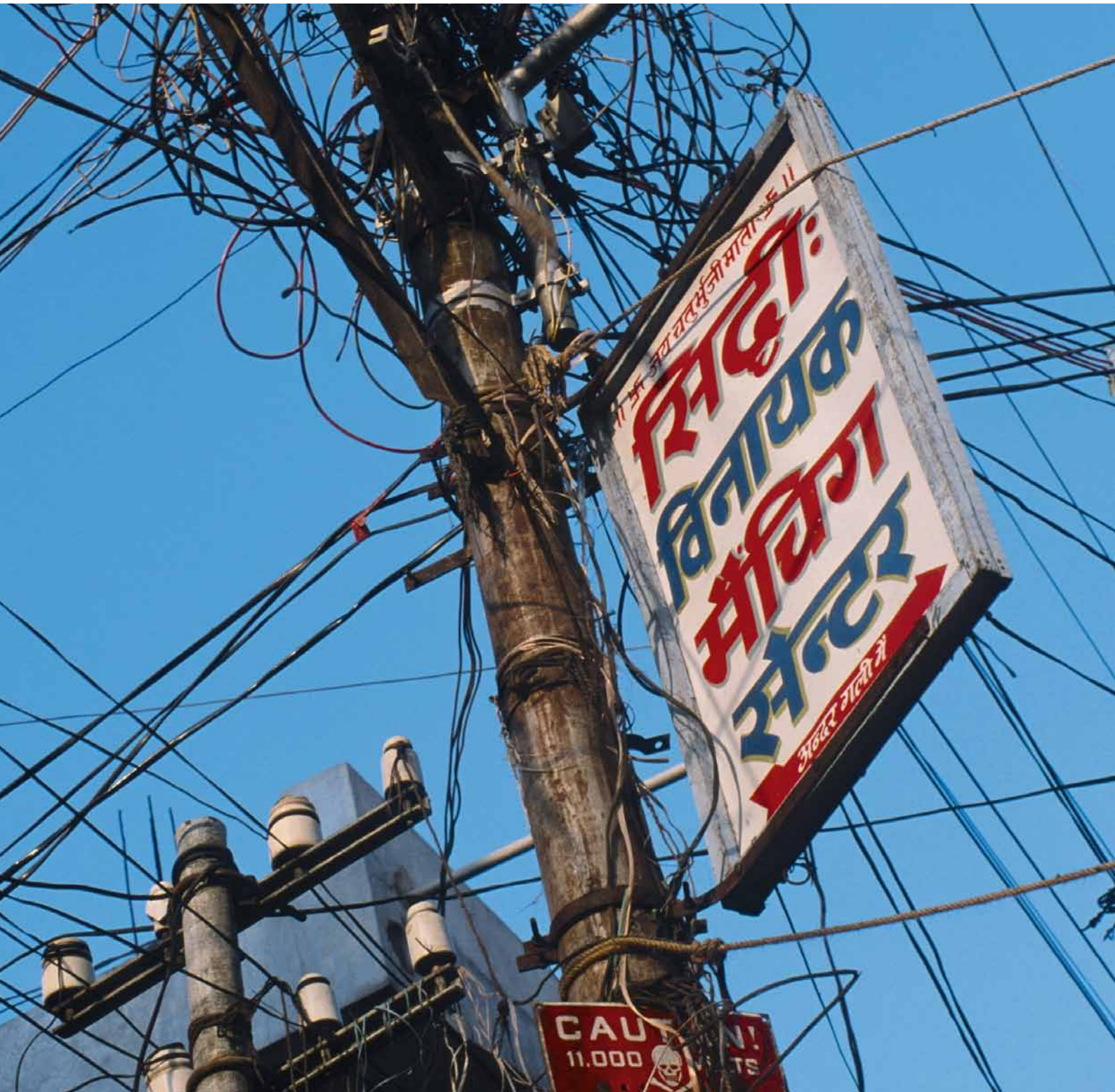
4. The necessary tools for the management model have to be developed in cooperation with the targeted institutions according to the development phases of the project and the preferences of the client institutions as shown in **Figure 8-3**.

Figure 8-3: Tools for a capacity building system

Tool/instrument	Function/purpose	Comments
Mandate and its interpretation	Provide a common understanding and the basic setting for tasks, responsibilities, quality goals and limitation for all stakeholders.	All stakeholders need to agree on the interpretation of the mandate and to explicitly formulate its degrees of freedom as well as its limits.
Management handbook with guidelines	Create a common understanding of all management issues, e.g. information flow, reporting, documentation, conflict resolution, responsibilities; clarify the rights of the partners and stakeholders, decision-making powers and competencies as well as job and task descriptions of key players.	All stakeholders should agree on the content; management training is needed for all key persons to understand and apply all elements.
Institutional development plan (master plan)	Set concrete goals and objectives for future development.	The plan should be realistic and construct a vision of the system; it has to be integrated into official governmental policies and development schemes (state and national).
Guidelines and institutional policies regarding personnel identification, allocation and promotion	Create a transparent system of personnel policy and define the institution's profile and interests.	A quality-based personnel policy concerning managers and trainers is a cornerstone for success and an incentive for highly qualified staff. The development of such a policy is relatively easy in NGOs and commercial institutions but could prove difficult in governmental and semi-governmental institutions.
Management platform for human resource development	Workflows for training management and standards for knowledge management are translated into internet-based technological solutions; content management systems allow for decentralized authoring and effective implementation of a knowledge base for training events; e-learning can be conducted.	The management of human resource development consists of a management model (incl. workflows), trained persons and tools; thus, the internet-based technology/platform is to be understood as an integral HRD tool.
<b>Standards and guidelines for the programme design</b>	Specific standards such as efficient planning, accountability, result testing and transparency provide a high quality that is independent of specific staff.	Standards should not regulate all details; they have to be flexible and transparent enough to support a dynamic process of adaptation to the changing demands of operation.
Training course material for participants	High quality and reusable course material is part of the capital of a training institution; trainers need to be required to produce and use material as a teaching aid; the course material should include an added value for participants and go beyond printouts of presentations.	The course material (type, form, and amount) depends on the type of course and the target group; trainers should be able to compile the material for the target groups.
Layout of course publications	A uniform appearance of products and services of a training system increases the acceptance (target groups, customers and clients).	Recognisable layout and design is not only part of a marketing concept and marketing tool but also increases the identification (corporate identity) and the efficiency of work processes.

Ctd. Figure 8-3

Tool/instrument	Function/purpose	Comments
Training courses and course calendars	A uniform system of course planning, course description (such as the CCF) and the construction of course calendars is a prerequisite for the efficient coverage of the training needs and the coordination of training activities.	Course calendars are an important planning tool (resource allocation, consideration of the training needs analysis, base of impact assessment) and marketing factor.
Minimum standards for the qualification of trainers and resource persons	Standards increase the quality of teaching (contents, didactics, performance), and are part of the job requirements for trainers.	Training activities are often not considered as part of human resource development. Thus, an effective and qualitatively high training system can only work if clear and quality-oriented rules and standards are implemented.
<b>Guidelines and handbooks for training needs assessment</b>	Tools to standardise the training needs analysis for all relevant actors and to integrate the TNA into the routine procedures of capacity building and training; a sound TNA is a prerequisite for any training impact evaluation and feedback within the capacity building process.	Forms, questionnaires, interview guidelines, guidelines for need-assessment workshops and analysis tools have to be compiled; if the TNA and the training impact evaluation is to be outsourced, a process standardisation is required; the introduction to TNA needs to be part of the training of training managers.
<b>Training course design handbook</b>	Provides training managers, trainers and resource persons with the necessary information for didactically balanced and content-oriented course design; disseminate training material; serves as part of the quality management system.	Checklists, good practice examples and design guidance serve as a link between training needs and course delivery; if course development is outsourced, the handbook will help to maintain defined quality standards.
<b>Training course evaluation</b>	A course evaluation is necessary for immediate feedback of the training course performance and acceptance.	The course evaluation (different from training impact assessment) is part of the quality monitoring; it helps to improve the quality of the trainers' performance and the course material, as well as the style in which the course is conducted; the analysis of the data has to be standardised.
<b>Guidelines and handbook for training impact assessment</b>	Any capacity building programme must include an impact assessment; with the help of indicators and internal/external observations, the output of activities, the use of output and the benefit for the target group (beneficiaries) has to be documented and assessed; the training impact assessment must be linked to training needs analysis and course design.	Indicators and assessment procedures for the different levels (output, use of output, benefits) need to be developed; responsibilities, feedback pathways and observation/assessment tools have to be defined and explained.



## 9 Annexes

## 9.1 Terms of Reference for the Training Management Unit

### Background and Introduction

Under thrust area Human Resource Development (HRD) Programme of the Advisory Service in Environmental Management (ASEM), all capacity building and human resource development activities from the other thrust areas of ASEM are compiled each year in a comprehensive training concept and an HRD operation plan.

After coordination and approval through the Ministry of Environment and Forests (MoEF), and the Government of India, and with the assistance of an HRD Programme technical group, the planned events can be implemented. For 2007/2008 the available HRD operation plan (HRD-OP) has a volume of approximately 130 workshops, conferences and skills training courses that can be characterised into 3 types:

1. ASEM project-related events (there are more than 30 projects in the thrust areas): Normally these events are directly implemented through the projects.
2. Training courses and visits abroad: All need specific approval of the MoEF.
3. Conferences and workshops of national importance or cross-sectoral character: Usually completely organised by a Training Management Unit (TMU).

It was decided by the MoEF/GTZ-ASEM/InWEnt to select an organisation for the training management unit (TMU) for the tasks described below.

In the past years substantial instruments and workflows for a professional 'training management' were developed and tested. These include:

- 'Work Platform' with the most important workflows
- 'Quality Package' with the most important tools for quality assurance
- Templates and procedures for HRD-OP design, reports, master lists, etc.
- Website (content management system with intranet) for dissemination and internal documentation ([www.HRDP-net.in](http://www.HRDP-net.in))

### Tasks of TMU (specified in the annexed tables)

1. The main tasks concerning types 1 to 3 HRD Programme events viz. coordinative, documentation and dissemination activities as listed in detail in **Figure 9-1** include:
  - Writing a quarterly newsletter on HRD Programme activities and results
  - Constant update of the web-based content management system (training calendar, course announcements, course completion, training material)
  - Keeping and maintaining the "training master lists" and keeping track of the development of events according to the HRD OP
  - Organising and managing the quality control system for courses and reports
  - Monthly, quarterly and yearly reporting
2. To provide full organisation of type 3 'Conferences and workshops' mentioned above according to the tasks detailed in **Figure 9-2**.
3. To provide partial organisation for up to 10 training courses conducted by external training providers according to the list.

### Requirements for the TMU

1. The team leader should have at least 10–15 years of relevant experience for overall quality assurance.
2. The TMU should provide a qualified person to work full time in the ASEM offices in Delhi (GTZ, ASEM, MoEF, CPCB) as a training manager.

#### Qualification profile:

- Relevant postgraduate degree in environmental sciences/engineering/planning
  - At least 5 years of relevant experience
  - Good writing skills (English)
  - Excellent communication skills
  - Structured thinking
  - Software knowledge of MS office, basic knowledge of website publishing (an intensive course on content management systems handling will be given to the successful candidate by InWEnt specialists)
3. The TMU should have the necessary organisational/administrative/technical team (up to 3 members of staff according to the required man

- days) for full and partial organisation of type 3 events (conferences and workshops with national importance or of cross-sectoral character).
4. The TMU should provide the training manager with his/her own laptop with WLAN.

The HRD Programme thrust area of ASEM is implemented by GTZ in cooperation with InWEnt Capacity Building International under the Indo-German Environment Programme.

**Figure 9-1: Tasks of the Training Management Unit**

<b>1 Coordinative tasks of the TMU</b>	
1-1	Coordinate with all relevant ASEM project coordinators and all direct (MoEF, ASEM, InWEnt, Technical Group members) and indirect stakeholders (training providers, CPCB, SPCB) in all training, workshop and conference-related matters.
1-2	Compile a comprehensive framework HRD Operation Plan with coded training course calendar (once a year January-February), constantly update the plan and communicate it to the stakeholders (MoEF, ASEM, InWEnt).
1-3	If necessary, support ASEM cell in MoEF in obtaining the necessary clearances from the Ministry for overseas training courses and exposure visits supported by InWEnt, GTZ-ASEM or others.
1-4	Initiate, coordinate and assure Quality Assessment and Control (QuAC) procedures and provide the tools, incl. manuals (approved by InWEnt and GTZ-ASEM), to trainers and training providers. Main elements of the QuAC process are: Course and participant evaluation, training methods and material, tests, training report review and selection of trainers, resource persons and training providers. Adapt the tools to the requirements.
1-5	Organise a mid-term review meeting for HRD Programme and an annual Planning and Evaluation Workshop on Training and Capacity Building with all relevant agencies and institutions. The Planning and Evaluation workshop is the platform for agreement on the next financial year HRD Operation Plan.
1-6	Develop and document procedures for Training Cycle Management and organise internal Capacity Building measures for all key persons involved in training/workshop management, planning and implementation.
<b>2 Dissemination tasks of the TMU</b>	
2-1	Facilitate timely communication of all relevant information to ASEM cell in MoEF, InWEnt/GTZ-ASEM and InWEnt and to others as the necessity arises.
2-2	Organise a consultative/review meeting with various professional institutes and bodies to incorporate the outcomes or products of the HRD Programme initiatives into the technical/academic training and research.
2-3	Develop, manage and update an HRD Programme Website ( <a href="http://www.hrdp-net.in">www.hrdp-net.in</a> ) with complete information on the HRD Programme (update training calendar, intranet and visible website, instruments, training reports and material, etc.). After an introductory course by InWEnt, the Training Manager will take on editorial competencies for the system.
2-4	Collect, compile and document training reports, the proceedings of the conferences, case studies, best practices, etc., in paper and digital form (incl. website). Assure the quality and standard of reports and training material developed in the HRD process.
2-5	Publish a quarterly newsletter on the HRD Programme and facilitate publications of documents, reports, brochures, public relation materials, etc., and prepare and follow-up press releases after obtaining necessary approvals from the reporting authority. The format and design for the 'Knowledge & skills 4 development' newsletter exists and is approved.

Ctd. Figure 9-1

3 Documentation task of the TMU	
3-1	<p>Operation of training databases (set of master lists) for all the training courses conducted within ASEM with constant updating (on line and working copy). These master lists include:</p> <ul style="list-style-type: none"> <li>• Status of training courses (also to be reflected in the www.HRDP-net.in site)</li> <li>• Training code master list (to maintain uniqueness of the event codes)</li> <li>• List of participants (with institution, function and contact information)</li> <li>• Evaluation and feedback incl. newspaper articles, etc.</li> <li>• List of resource persons and institutions</li> <li>• Impacts ('work history approach' i.e. 'calendar of events and results', narrative documentation)</li> <li>• Available training materials</li> </ul> <p>The database is part of the monthly or quarterly progress reports.</p>
3-2	Documentation of all relevant discussions, meetings and decisions
4 Reports	
4-1	Short and fact-oriented monthly report to the Technical Group HRD (every 7th workday of each month) via ASEM and InWEnt.
4-2	Quarterly progress report with annexed status of training course, updated operation plan, master lists and quality report with short evaluation
4-3	Yearly completion report to be presented at the planning and evaluation workshop

Figure 9-2: Tasks and activities for the TMU for the organisation of a conference or workshop

Task	Activity
Assist in all the preparatory work to organise the workshops	<ul style="list-style-type: none"> <li>• Assist in finalizing the dates, programme details, resource persons/faculty, list of participants, seeking nominations and confirmation of participation, etc.</li> </ul>
Follow-up with the invitees/ participants to seek confirmation of their participation	<ul style="list-style-type: none"> <li>• Write reminder letters to participants and resource persons/faculty based on InWEnt/GTZ-ASEM letters.</li> <li>• Write invitation letters to guests of the inaugural session and seek confirmation.</li> <li>• Follow up their confirmation with phone calls and emails.</li> <li>• Confirmation letters to participants along with details of accommodation, etc.</li> <li>• Assistance to participants for arrival at the venue</li> </ul>
Seek conformation from the speakers and seek presentation material in advance	<ul style="list-style-type: none"> <li>• Coordinate with InWEnt/GTZ-ASEM to establish in detail what is expected of each speaker.</li> <li>• Write letters to speakers informing them about what is expected and submission of presentation material.</li> <li>• Compile presentation material and make copies for circulation at the conference.</li> </ul>
Compile conference materials	<ul style="list-style-type: none"> <li>• Compile presentation material, brochures, etc., and make sufficient copies for distribution to the participants.</li> <li>• Procure folders, pens, notepads, etc. for distribution to participants.</li> </ul>

Ctd. Figure 9-2

Task	Activity
Logistics arrangements	<ul style="list-style-type: none"> <li>Organise and confirm InWEnt/GTZ ASEM on logistics:                             <ul style="list-style-type: none"> <li>Accommodation arrangements</li> <li>Lunch, dinner, tea/coffee/snacks during conference</li> <li>Conference hall, computer, projector, screen, backdrop, etc.</li> <li>Local transport – pick-up from and drop-off at airport, etc. (vehicles for local conveyance)</li> </ul> </li> <li>Finalisation of sites for field trips wherever required in consultation and arrangements for local conveyance, etc. for field visits</li> <li>Ensure arrangements at the venue</li> <li>Assistance to participants for arrival at venue</li> <li>Propose contents of backdrop at workshop venue and seek approval</li> </ul>
To coordinate with the local organisations and appraise them periodically about the conference	<ul style="list-style-type: none"> <li>Interact with the responsible persons and periodically appraise them about the activities.</li> </ul>
Communications	<ul style="list-style-type: none"> <li>All communications with participants/invitees/InWEnt/GTZ</li> <li>Submission of budget estimates and obtaining of approval from InWEnt/GTZ-ASEM</li> <li>Propose contents of backdrop at conference venue and seek approval from InWEnt/GTZ-ASEM</li> </ul>
Collection of all presentations, minutes of discussions, reports, etc.	<ul style="list-style-type: none"> <li>Write report with all material annexed</li> <li>Pictures</li> <li>Press clippings (organise and annex)</li> <li>Hardcopy and digital copy, with labelled CD</li> <li>WEB information and dissemination</li> <li>Settling of accounts according to InWEnt/GTZ rules</li> </ul>
Any other relevant task as assigned by MoEF/InWEnt/GTZ-ASEM	

## 9.2 Forms and Material for Training Needs Assessment

Figure 9-3: Job Description Form

Date .....	
Prepared by .....	
Unit .....	
Department .....	
Job Description	
Job Title:	Reports to:
Job Summary:	



Ctd. Figure 9-3

Major Duties	
Description	Required knowledge and skills

Minor Duties	
Description	Required knowledge and skills

Relationships	
People supervised/advised:	
Supervised/advised by:	

## 9.3 Example of a Questionnaire/ Interview

(Taken from work with the HRD Programme in co-operation with the Central and State Pollution Control Boards)

Figure 9-4: Example of a questionnaire/interview for training needs

### Guidelines for completing the questionnaire for Training Needs Assessment (TNA) survey

Please read carefully before completing the questionnaire

This questionnaire is for the analysis of the training needs of your organisation/institution in the fields of (as applicable):

1. Environmental Monitoring and Assessment (1 Questionnaire)

The questionnaire covers the job requirements of the staff working in the relevant field.

As the requirements of the single task for different staff levels and position generally vary, separate questionnaires have been provided for 7 levels of the officers/employees in the organisation including:

1, 2, 3, 4, 5, 6, 7

You may complete the questionnaire for your level or below

#### Instructions pro column to complete the questionnaire:

##### Staff Levels

Level 1: Organisational Head/Chairperson

Level 2: Executive Head/Member Secretary

Level 3: Directors/Management/Divisional Head (Director/Additional Director)

Level 4: Head of Unit

Level 5: Scientific and Technical Staff – middle level (Research Scientists, Project Associates, Environmental Planner)

Level 6: Supporting Scientific and Technical Staff

Level 7: Assistants and Field Staff

Ctd. Figure 9-4

Guidelines for completing the questionnaire for Training Needs Assessment (TNA) survey		
<b>Column 2:</b> Please rate all the tasks listed in column 1 so that we can analyse the training needs in depth.		
<b>Value 1 (V1): 'Degree of importance of the relevant staff level for the execution of the indicated task'</b>		
Importance of the staff level within the work of the organisation/institution in fulfilling the legal obligation	3	high
	2	medium
	1	low
	0	not applicable
<b>Column 3:</b>		
<b>Value 2 (V2): Degree of training needs of the particular staff level to improve the execution of the indicated task</b>		
Training needs of the staff level to improve performance in the particular task	3	high
	2	medium
	1	low
	0	not applicable
<b>Column 4 to 9: Constraints</b> As moderate performance in task execution may not only be caused by inadequate staff performance, but also by existing organisational constraints, please indicate which constraints you can identify. Please only tick the most relevant items and leave the non-relevant cells blank. Explanation: Column 4: Inadequate organisational structure Organisational structures that do not allow efficient implementation of the tasks required.		
<b>Column 10 to 12: Training domain</b> Please indicate in which field you can identify training needs of the relevant staff level to improve performance in executing the given task. Please only tick the most relevant and leave the non-relevant cells blank.		

Draft Questionnaire for TNA Survey - Environmental Planning and Management												
Organisation, Institution or Group of:												
1	Core Tasks for Level 5: Scientific and technical staff (middle level) Give number of staff:	Importance of staff for the task	Training need of staff	Existing Organisational Constraints					Training Domain			
				Inadequate organisational structures	Lack of finances	nadequate infrastructure and equipment	Inadequate staff	Lack of proper organisational environment	Lack of administrative support	Awareness	Knowledge	Skills
2		V1	V2	4	5	6	7	8	9	10	11	12
3	1	2	3	4	5	6	7	8	9	10	11	12
4	Administrative competence											

Ctd. Figure 9-4

Draft Questionnaire for TNA Survey - Environmental Planning and Management												
Organisation, Institution or Group of:												
5	Administration, finances, controlling, procurement and office management											
6	Staff management, work management and internal supervision											
7	Crisis management											
8	Human resources and welfare management											
9	Coordination with internal/external divisions/bodies, Public Relations											
<b>10</b>	<b>Technical Competence</b>											
11	Advisory function											
12	Implementation and enforcement of relevant laws and rules											
13	Development, review, validation and approval of methodologies, env. standards and techniques, R&D											
14	Ability to use latest tools and techniques											
15	Information management and documentation											
16	Reporting and dissemination of results											
17	Professional exchange, events, meetings, etc.											
18	Organisation and implementation of training courses											
<b>19</b>	<b>Interpersonal skills</b>											
20	Communication skills											
21	Writing skills											
22	Leadership											
23	Teamwork, behaviour, attitude											
24	Conflict management											
<b>25</b>	<b>Competence for implementation and execution of core work</b>											
26	Application of planning tools: Environmental mapping, GIS, cartography											
27	Environmental assessments, database, models											
28	Environmental management and action plans											
29	Implementation of plans											
30	Technical support to participating teams											

These fields have to be completed.

## 9.4 Table of the Questionnaire for the Target Group Portfolio Analysis

This analysis is based upon 8 matrices completed by local experts and then put together to provide an average value for each field (see data matrix next page). The experts answered the following questions:

### For the 'actual' columns:

1 (actual):

Present performance of the identified institutions/groups according to the enclosed table in fulfilling the functions and tasks with respect to spatial environmental planning. Your response may be categorised as follows:

- 0 = no or very low performance
- 1 = low performance
- 2 = medium performance
- 3 = high performance

### For the 'target' columns:

2 (target):

Expected contribution of the identified institutions/groups so that they are able to fulfil the functions and tasks: Your response may be categorised as follows:

- 0 = no or minor contribution
- 1 = low contribution
- 2 = medium contribution
- 3 = high contribution

Rows and column totals were calculated for the 'actual' and the 'target' values.

'Actual' and 'target' row totals were plotted against each other to compose the graph 'Institutions and their Competence Level'. Then 'actual' and 'target' column totals were plotted against each other to compose the graph 'Task and Function Performance'.

The maximum value of the axis is the maximum possible value for each of the axes.

### Key Persons:

Key persons are senior officers, politicians and outstanding persons of public life with influence on media, political processes and administrative procedures.

### Facilitate result use:

Support of result use without being directly involved in the actual process of planning or plan preparation through:

- helping in administrative processes
- information of potential result users
- providing linkages to related projects and programmes

<b>Functions and tasks for spatial environmental planning/development</b>	actual	target	actual	target	actual	target	actual	target	actual	target	actual	target	actual	target	actual	target	actual	target	actual	target	actual	target	actual	target			
	2.00	3.00	0.75	2.25	0.75	2.75	0.50	2.75	0.50	2.75	1.00	1.25	0.50	2.75	1.00	3.00	0.25	2.75	0.50	2.75	0.50	2.00	2.25	1.00	2.50		
	1.50	3.00	0.25	2.00	0.50	2.50	0.00	2.50	0.00	2.50	1.00	0.25	0.50	2.75	1.00	2.75	0.50	2.75	0.25	2.75	0.50	1.25	0.25	0.75	1.00	2.25	
	2.00	3.00	0.75	1.50	0.25	2.75	0.25	2.75	0.25	2.50	0.75	0.75	0.25	2.75	0.50	2.75	0.50	2.75	0.50	2.75	0.50	2.25	0.25	0.75	1.00	2.25	
	2.00	3.00	1.25	2.75	1.00	3.00	0.50	2.75	0.50	2.50	0.25	0.00	0.25	2.75	1.00	2.00	1.25	2.75	0.00	2.75	0.50	0.50	0.00	1.00	2.00	2.00	
	1.75	3.00	1.25	2.75	1.00	2.50	0.75	2.00	1.00	1.50	1.00	0.25	0.25	2.00	1.00	3.00	1.00	2.00	0.00	2.00	0.00	0.00	0.25	1.25	1.50	2.50	
	2.25	3.00	1.00	2.75	0.25	2.75	0.25	2.25	0.25	1.50	1.00	0.00	0.00	2.50	1.00	2.50	0.75	2.00	0.00	2.00	0.00	0.00	0.25	1.00	2.50	2.50	
	1.50	2.75	1.50	3.00	1.00	2.75	0.50	2.75	0.50	2.50	0.50	0.00	0.25	2.25	0.50	1.50	0.50	2.00	0.00	2.00	0.00	0.50	0.00	0.75	2.00	2.50	
	1.25	2.75	0.25	0.75	0.75	2.75	0.75	2.75	0.75	2.75	0.75	0.00	0.25	2.50	0.50	2.50	0.50	2.25	0.00	2.25	0.00	0.50	1.75	0.00	0.75	1.25	
	2.50	3.00	1.25	2.75	1.25	3.00	0.75	2.75	0.75	2.50	1.25	0.75	0.25	2.50	1.25	3.00	0.75	2.75	0.00	2.75	0.00	1.25	2.75	1.25	2.50	2.75	
	1.75	3.00	0.50	1.75	0.25	2.75	0.00	2.50	0.00	1.50	1.50	0.00	0.25	2.50	1.50	3.00	0.50	2.50	0.25	2.25	0.25	0.25	2.25	0.50	2.25	1.75	
	0.50	1.00	0.25	0.75	0.75	2.25	1.50	2.25	1.50	2.50	0.50	0.00	0.25	2.00	2.00	2.00	0.75	2.25	0.00	2.00	0.00	0.25	2.00	0.00	0.25	0.50	
	1.75	2.00	0.00	1.50	1.00	2.75	1.25	2.50	1.00	2.25	0.75	0.25	0.75	2.75	0.75	3.00	0.75	2.75	0.25	2.00	1.00	1.00	2.00	0.50	1.75	1.50	
	1.25	2.00	0.25	1.75	1.25	3.00	1.25	3.00	1.25	3.00	1.00	1.25	3.00	3.00	1.00	3.00	1.00	2.00	0.00	0.00	0.00	0.00	9.25	0.25	1.00	1.75	
	1.75	2.50	0.75	2.00	0.50	2.25	0.25	2.00	0.25	2.25	1.00	0.25	0.25	2.00	1.00	2.25	0.75	2.00	0.00	0.50	0.00	0.50	1.25	0.75	3.00	3.00	
	<b>column total</b>	<b>23.75</b>	<b>37.00</b>	<b>10.00</b>	<b>28.25</b>	<b>10.50</b>	<b>37.75</b>	<b>8.50</b>	<b>35.25</b>	<b>7.75</b>	<b>34.00</b>	<b>2.00</b>	<b>8.25</b>	<b>3.75</b>	<b>9.75</b>	<b>4.50</b>	<b>25.25</b>	<b>36.25</b>	<b>9.75</b>	<b>33.50</b>	<b>1.75</b>	<b>12.00</b>	<b>2.00</b>	<b>29.75</b>	<b>9.50</b>	<b>26.50</b>	<b>29.00</b>
	<b>Identified institutions/groups directly and indirectly connected to spatial environmental planning/development</b>	actual	target	actual	target	actual	target	actual	target	actual	target	actual	target	actual	target	actual	target	actual	target	actual	target	actual	target	actual	target	actual	target
		23.75	37.00	10.00	28.25	10.50	37.75	8.50	35.25	7.75	34.00	2.00	8.25	3.75	9.75	4.50	25.25	36.25	9.75	33.50	1.75	12.00	2.00	29.75	9.50	26.50	29.00

## 9.5 Report on the Evaluation of Training Course Proposals

Training provider		Course code		
Date of receipt of proposal				
Course title				
ASEM Thrust Area				
ASEM Project				
		yes	partially yes	no
1	Does the proposal fulfil the objectives of thrust area and project?			
2	Does the proposal incorporate specific objectives and desired impacts of project activities?			
Brief justification - if the answer is 'partially yes' or 'no', write specific recommendations for modification:				
3	Is the content the course (modules) effective and appropriate?			
Brief justification - if the answer is 'partially yes' or 'no', write specific recommendations for modification:				
3	Is the course adequately structured and clear in its methodology?			
Brief justification - if the answer is 'partially yes' or 'no', write specific recommendations for modification:				
4	Does the course require site visits, exposure to projects/case studies or group work?			
If the answer is 'yes', does the course provide for:				
Site visits				
Exposure to projects/case studies				
Group work				
Brief justification - if the answer is 'partially yes' or 'no', write specific recommendations if exposures, etc. are necessary:				

### Recommendations of the proposal evaluation experts

The training course proposal, submitted by:

has been examined as above and it is recommended that the training course:

Tick if true

- |   |  |  |
|---|--|--|
| a | May be approved as it is.  |  |
| b | May be approved with minor modifications as given in (2) and (3).  |  |
| c | May not be approved, and the Training Provider is to be asked to resubmit proposal, incorporating observations given in (2) and (3) above. |  |

**Budget analysis**

The following observations were made:

**Budget analysis results**

The proposed budget

has been examined according to the valid budget norms and		Tick if true
a	May be approved as it is.	
b	May be approved as soon as all formal requirements are met.	
c	May not be approved, and the Training Provider is to be asked to resubmit, incorporating observations given above.	

## 9.6 Selection of Training Providers

Form for the scores given to the potential training institutions with respect to the evaluation criteria

**Figure 9-5: Evaluation summary for the selection of training institutions**

Institution	Preselection	Experience	Teaching methods	Motivation	Commitment	Reputation	Experience custom-made courses	Training programme management	Networking	Course quality assessment	Price level	Residential facilities	Training reports	Quality of teaching staff	Documentation	Quality of training course material	Sum of scores



## 9.7 Training Report Checklist

Figure 9-6: Deliverables (content of comprehensive report/supervisor of the contract/sanction order)

(Not all topics are always needed!)

- Title, date
- Executive summary (fit for internet publishing in provided template\*)
- Objectives and expected outcome (with reference to the ToRs)
- The programme and themes covered – incl. a description
  - What was done and when (agenda)?
  - How it was done (description of the method)?
  - Which results were produced (incl. group work results)?
  - What impact could be observed?
  - Difficulties encountered and how these difficulties were resolved.
- Observations and experience, conclusions and recommendations for the project and future activities – further steps to be taken and recommendations for follow-up course
- A brief evaluation of the work
- Annex (all in soft and hardcopy – softcopy to be properly labelled)
  - List of participants (according to the format provided \*\*)
  - List of trainers and resource persons (format provided \*\*\*)
  - List of all course material and the course material itself in soft and hardcopy
  - Photo and media documentation (with date and newspaper/media specification)
  - Course brochure or flyer
  - The workshop or course evaluation forms as the original and as softcopy in the provided Excel sheet \*\*\*\*
- The necessary documents for settling the accounts

The report should not have more than 20 pages, not counting the annex, and has to give substantial information as a stand-alone document.

Templates provided

- \* Combined Course Announcement and Completion Form (= executive summary of report)
- \*\* Template for list of participants.doc
- \*\*\* Template for list of trainers and resource persons.doc
- \*\*\*\* Download from [www.hrdp-net.in](http://www.hrdp-net.in)

## 9.8 Course Characterisation Format (CCF) for Announcement and Completion

Figure 9-7: The Course Characterisation Format

(After the event, this is the executive summary of the event report.)	
Yellow: to be filled after the event	Orange: to be filled for non-public information like: participant lists, trainers' material, etc. Access will only be given through intranet
Code	If no code given, leave open.
Title	
Short title	Give a short name to the event.
Training type	Refer to the list under <a href="http://www.hrdp-net.in/e199/e25462">http://www.hrdp-net.in/e199/e25462</a>
ASEM thrust area	
ASEM project	
Training provider	Your institution
Institutions involved	Others involved (sponsors, donors, other secondary training institutions, authorities)
Target group	
Course objectives	
Expected or achieved results/impacts Expected results in terms of	
<ul style="list-style-type: none"> <li>• Awareness</li> <li>• Knowledge</li> <li>• Skills</li> </ul>	
Indicators for success/impact	
Description of contents /agenda	
Participants numbers	Total ...      male ...      female ...
Start dd/mm/yy	
End dd/mm/yy	
Duration	
Venue	
Pictures	give file names in JPG format
Press clippings	give file names in JPG format
Event report and material	give files in MS office formats and/or pdf
Contact for more information	
More information with access code (give list of filenames of training material, schedules, participant lists, evaluations, etc.)	Give filename and deliver softcopy

## 9.9 Template for List of Participants

**Figure 9-8: List of participants**

Participant List		Serial No	
Training name:			
Code:			
Date:			
Location:			
Name		Sex	
Dept. /Org		Designation	
Address (es)			
Phone no. (office)		Res. phone no.	
Email		Mobile	
Specialisation			
Name		Sex	
Dept. /Org		Designation	
...			

Please no paragraph-return within the textboxes!

## 9.10 Template for list of Trainers and Resource Persons

**Figure 9-9: List of trainers and resource persons**

Resource person list							
Training name:							
Date:							
Code:							
Location:							
Sex	Name	Area covered, specialisation	Educational qualification	Designation, organisation and address of work	Phone no. (office)	Mobile	Email

## 9.11 Checklist of Issues necessary for Contract with Training Providers

Responsibility:

- Project coordinator or technical coordinator of the project/activity, and/or
- The one who writes the contract
- The one who signs the contract

Figure 9-10: Main content of a contract or sanction order for training providers

- Title(s) of the training event(s) and event code
- Scope of the course
- Course contents
- Target group/participants
- Venue and dates
- Tasks and deliverables (not all may be relevant in a specific situation):
  - Prepare a 'course characterisation' sheet for the announcement and WEB publishing.
  - Develop course modules according to the course content described in the proposal.
  - Organise and conduct the event.
  - Obtain feedback from the participants at the end of the training programme or workshop, and suggest further measures and training modules to be developed on the basis of this feedback.
  - Submit a **training report in hard and soft copy** within 15 days of the date of completion of the event in a prescribed format which includes providing full details of the event.
  - **Evaluation by the participants** (and in special cases, evaluation of the participants by the trainers). The provided formats have to be used. The completed forms have to be submitted in **hard and soft copy** together with the training report.
- Budget
  - Mode of payment
  - Settlement of accounts

## 9.12 The Evaluation of Training Courses/Workshops

The following templates were developed for the evaluation process of training courses and workshops.

1. Participants evaluate a workshop or training course
2. Training/workshop follow-up assessment by participants

3. Evaluation sheet for impact monitoring by institutions (EIP)

The analysis is done automatically after inserting the scores (for the excel template see: <http://www.hrdp-net.in/e199/e25462>). The questions can be changed as required without influencing the analysis.

### 9.12.1 Questionnaire to be completed by the Participants

<b>1</b>	<b>General information</b>					
	<b>Programme/Course/Workshop title</b>	<b>Enter title:</b>				
	<b>Duration</b>	<b>From</b>	<b>Enter date</b>	<b>to</b>	<b>Enter date</b>	
	<b>Country of origin</b>	<b>Enter country of origin of participants</b>				
	<b>Code</b>	<b>Enter training event code</b>				
	<b>Training institution</b>	<b>Enter training Institution</b>				
	<b>Please name module trainer:</b>	...				
<b>2</b>	<b>Impact on daily work routine</b>	<b>yes</b>	<b>mostly yes</b>	<b>can't say</b>	<b>mostly not</b>	<b>no</b>
2-1	Were topics in the course and on the curriculum relevant to your work?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2-1-1	Please name topics that were <b>not</b> covered, but would have been important for your work!					
2-2	Can you apply your newly acquired skills to your work?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2-2-1	If you can't apply the new skills, please give your reasons.					
2-3	Do you have any concrete plans to implement your newly acquired skills?	<input type="checkbox"/>				<input type="checkbox"/>
2-3-1	Please explain the plans for implementation of your skills in brief.					
2-3-2	What support do you need for efficient implementation?					
2-4	Can you pass on your new expertise to colleagues and others in your working environment?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2-4-1	If you can't pass your new expertise to colleagues, please give the reason.					
<b>3</b>	<b>Methodology/learning effect Your assessment:</b>	<b>Excellent</b>	<b>Good</b>	<b>Fairly good</b>	<b>Could be improved</b>	<b>Poor</b>
	Etc. (for the complete questionnaire, see <a href="http://www.hrdp-net.in/e199/e25462">http://www.hrdp-net.in/e199/e25462</a> )					

### 9.12.2 Training/Workshop Follow-up Assessment by Participants

<b>Name of Institution/organisation</b>				
<b>Title of training</b>				
<b>Duration</b>	<b>From</b>		<b>To</b>	
<b>Code</b>				
<b>Training Institution of the course</b>				

<b>A. Assessment of the participant:</b>					
	With regard to the objectives of this training module...	correct	rather correct	rather incorrect	incorrect
1.	... your <b>awareness</b> was improved.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.	... you gained new <b>knowledge</b> .	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.	... you improved your <b>abilities</b> and <b>skills</b> .	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4.	... you are now able to work with higher <b>awareness</b> than before.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>B. Assessment of effects for the institution:</b>					
	After participation in the programme ...				
5.	... you acted as disseminator (colleagues can learn, on-the-job training, etc.).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.	... new fields of work and/or responsibility were created.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7.	... new fruitful connections and cooperation with other organisations/institutions were established (network).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8.	... other positive side-effects, such as new points of view, exchange of ideas, increased motivation, etc. occurred.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
9.	... training on this subject will be useful and necessary for other employees also.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
10.	... in general, the capacity of the institution/organisation increased through the effects of this training module (and similar modules in the past).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
11.	... the training did not cause negative side-effects (moving into different jobs, rotation to other institutions).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
12.	... your absence from work due to the training module did not cause problems.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
13.	... did you find time to write the training report, if not, why not?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>C. Your analysis and conclusion:</b>					
14.	Strengths of the training module along with specific actions you have taken in your institution/organisation:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
15.	Weaknesses of the training module:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
16.	Suggestions for improvement:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

### 9.12.3 Evaluation Sheet for Impact Monitoring by Institutions (EIP)

<b>Name of Institution/organisation</b>					
<b>Title of training</b>					
<b>Duration</b>	<b>From</b>		<b>To</b>		
<b>Code</b>					
<b>A. Assessment of the participant:</b>					
	With regard to the objectives of this training module...	correct	rather correct	rather incorrect	incorrect
1.	... the participant's <b>awareness</b> was improved.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.	... the participant gained new <b>knowledge</b> .	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.	... the participant improved his abilities and <b>skills</b> .	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4.	... the participant is now able to work with higher qualifications than before.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>B. Assessment of effects for the institution:</b>					
5.	The participant acts as disseminator (colleagues can learn, on-the-job training, etc.).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.	As a result of the training module, new fields of work and/or responsibility were created.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7.	New fruitful connections and cooperations with other organisations/institutions could be established (network).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8.	Other positive side-effects, such as new points of view, exchange of ideas, increased motivation, etc., occur.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
9.	Additional training on this subject is useful and necessary also for other employees.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
10.	In general, the capacity of the institution increased through the effects of this training module (and similar modules in the past).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
11.	The training of employees caused negative side-effects (moving into different jobs, rotation to other institutions).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
12.	The participant's absence from work due to the training module caused problems.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>C. Your analysis and conclusion:</b>					
13.	Strengths of the training module:				
14.	Weaknesses of the training module:				
15.	Suggestions for improvement:				

### 9.12.4 Automatic Analysis of Participant Evaluations

The scores of the participants are inserted into a matrix and the analysis is produced automatically. The follow-

ing document can be copied into reports and evaluation documents.

Narrative comments have to be inserted manually into the yellow fields.

Consolidated Summary Sheet for Participant Evaluation of the Workshop – CSPT Overall Summary						
Meeting/Symposia/Conference/Dialogue event – Title				Give title as in operation plan		
Code				Give code as in management platform		
Training Institution				Name of implementing institution		
Duration				From dd.mm.yyyy		To dd.mm.yyyy
Overall training course and objectives						(Q: 9-1, 9-2, 6-1)
Number of questions (3) where response rounded average is equal to:					Evaluation Index (EI)	Rating
1	2	3	4	5		
0	0	0	0	0	0	no data
Objectives:						
6-1-1	Space for the objectives					
6-1-2						
6-1-3						
Remarks						
9-3	I liked especially:					
9-4	I disliked especially:					
9-5	What kind of awareness did you gain through this event?					
Organisation and venue						(Q: 7-1 to 7-10)
Number of questions (10) where response rounded average is equal to:					Evaluation Index (EI)	Rating
1	2	3	4	5		
0	0	0	0	0	0	no data



### Consolidated Summary Sheet for Participant Evaluation of the Workshop – CSPT Overall Summary

Analysis & conclusions by participants						
Follow-up						
8-1	Which follow-up activities would you recommend? (e.g. further specialist events, e-Learning courses, etc.)					
8-2	Further comments and suggestions for improvements:					
The moderator/facilitator and methods						(Q: 4-1 to 4-4)
Number of questions (4) where response rounded average is equal to:					Evaluation Index (EI)	Rating
1	2	3	4	5		
0	0	0	0	0	0	no data
Participants - How do you assess						(Q: 3-1 to 3-5)
Number of questions (5) where response rounded average is equal to:					Evaluation Index (EI)	Rating
1	2	3	4	5		
0	0	0	0	0	0	no data
Relevance and impact of the work						(Q: 2-1 to 2-2)
Number of questions (2) where response rounded average is equal to:					Evaluation Index (EI)	Rating
1	2	3	4	5		
0	0	0	0	0	0	no data
Please name topics that were not covered but would have been important for your work.						
Please name topics that were not on the agenda but would have been relevant to achieve event's objectives.						
2-2-1	If it is not possible for you to pass your new expertise on to colleagues, please give reasons.					

## 9.12.5 Explanations of the Evaluation Process

Explanations of the evaluation process		
The Evaluation Index is calculated by giving a weight to each frequency of answer scores (rounded from values between 1 and 5) 'FRAAS'.		
<b>Relative weight of mode for Evaluation Index (EI) calculations:</b>		
Average rounded	weight	The Evaluation Index is the sum of weighted frequencies of the answer scores (rounded from values between 1 and 5): ("FRAAS =1" *1)+("FRAAS =2"*0.75)+("FRAAS =3"*0.5)+("FRAAS =4"*0.25)+("FRAAS =5"*0)  Frequency of rounded average answer score = FRAAS These weights will automatically be applied in the analysis.
1	1.00	
2	0.75	
3	0.50	
4	0.25	
5	0,00	
For each category of questions, the intervals of the Evaluation Index are translated into the following verbal values. The intervals depend on the number of questions in the category. The ranges and verbal values for each category of questions:		
<b>Overall training course and objectives</b>		<b>(Q: 9-1, 9-2, 6-1)</b>
Range of EI scores	Rating	3 Questions
2.4-3 (>80%)	very successful	
1.5 to 2,3 (>50%)	successful	
1.4 or below (<50%)	unsuccessful	
<b>Organisation and venue</b>		<b>(Q: 7-1 to 7-10)</b>
Range of EI scores	Rating	10 Questions
9-10 (90%)	excellent	
7-8.9 (70%)	very good	
5-6.9 (50%)	good	
below 5	poor	
<b>The moderator/facilitator and methods</b>		<b>(Q: 4-1 to 4-4)</b>
Range of EI scores	Rating	4 Questions
3.6-4 (90%)	excellent	
2.8-3.5 (70%)	very good	
1.6-2.7 (40%)	good	
below 1,6	poor	
<b>Participants – How do you assess</b>		<b>(Q: 3-1 to 3-5)</b>
Range of EI scores	Rating	5 Questions
4.4-5 (90%)	excellent	
3.4-4.4 (70%)	very good	
2-3.4 (40%)	good	
below 2	poor	
<b>Relevance and impact of the</b>		<b>work (Q: 2-1 to 2-2)</b>
Range of EI scores	Rating	2 Questions
1.8-2 (90%)	excellent	
1.4-1.7 (70%)	very good	
1-1.3 (50%)	good	
below 1	poor	

## 9.13 Training/Workshop Report Assessment

Responsibility:

- Project coordinator or technical coordinator of the project/activity, and/or
- An appointed evaluation team

Figure 9-11: Format for training/workshop report assessment					
Date of receipt of proposal					
Course provider			Course code:		
Course title					
Date of receipt of report					
				Obligatory	
<b>Formal criteria</b>				yes	no
1	Course material in hardcopy				
2	Course material in softcopy (labelled and identifiable)				
3	Evaluation sheets of participants (in hard or softcopy)				
4	List of participants with institution and professional addresses in soft and hardcopy				
5	Expenditure details in order and complete				
If not complete, please resubmit.					
<b>Training report form and contents</b>				yes	no
6	Does the training report reflect the contents of the training course?				
7	Is the content of the course/modules sufficient and correct?				
8	Voluntary topics (desirable)	yes	no		
i	Are the modules in the report well structured and usable for other course providers?				
ii	Is there a summary of the trainer's observations?				
iii	Are suggestions for further improvements and changes given?				
If not complete, please resubmit.					
<b>Suggestions for improvement of the training report</b>					
<b>Suggestions for improvement of the training content for future courses</b>					

Ctd. Figure 9-11

The observations of the report review were communicated and discussed with the responsible training officer of the course provider the ...		
<b>Annex:</b>		
Participant training course evaluation analysis		
<b>Recommendations of the Report Evaluation</b>		
The training course report, submitted by		
has been examined as above and it is recommended that the training course report:		Tick if correct
a	May be approved as it is.	
b	May be approved as soon as all formal requirements are met.	
c	May not be approved, and the course provider should be asked to resubmit, incorporating observations given above.	
Date and signature of the Member of the Report Evaluation		
<b>Expenditure Analysis</b>		
Course provider		Course code:
Course title		
The following observations were made:		
<b>Expenditure Analysis Results</b>		
The proposed budget		
has been examined according to the project budget norms and		Tick if correct
a	May be approved as it is.	
b	May be approved as soon as all formal requirements are met.	
c	May not be approved, and the course provider should be asked to resubmit, incorporating observations given above.	
Date and signature		

## 9.14 The Authors – Brief Profiles

### Florian Bemmerlein-Lux

Mr Florian Bemmerlein-Lux (Dipl.-Biol.) is a senior advisor working in Europe, Asia – with a special focus on India, Afghanistan, Indonesia, China – southern Africa and Latin America. He is the director of the consulting firm ifanos concept & planning. He is Adjunct Professor of the Institute of Environmental Engineering of the University of Beijing. His main area of expertise is the field of Human Resource Development and Integrated Capacity Development of Organisations (Capacity Assessment), covering Disaster Risk Management and Prevention, sustainable development, rural electrification, natural resource management, ecosystems and landscape ecology, spatial environmental planning (zoning concepts) and watershed development. He is specialised in the design of management information systems and knowledge management (training needs assessment, development of curricula, internet-based HRD management platforms).

### Peter Bank

Mr Peter Bank (Dipl.-Biol.) is a senior advisor working in Europe, Asia – with the focus on India and the Philippines – Southern and Eastern Africa, and Latin America. He is the codirector of the consulting firm ifanos concept&planning. He is a trained moderator with 15 years' experience. His main area of expertise is the field of water resources management including: implementation of the European Water Framework Directive, cross-border cooperation of authorities, data management and implementation of river basin information systems, natural resources management, and planning and Eco-Industrial Estate management. He is specialised in energy efficiency, rural electrification and capacity development, including comprehensive training needs assessment, building and organisation of institutional cooperation, and collaboration and concepts for eLearning media.

### Sebastian Hoffmann

Mr Sebastian Hoffmann (Media Computer Scientist) is the director of the consulting firm Hoffmann & Reif. He has been responsible for project management, coaching, and strategic consultancy in Hoffmann & Reif's eLearning projects for public sector customers, NGOs as well as for local Ministries and private sector companies. His field of occupation is management of intellectual capital, cross-media publishing, and eLearning in the context of international business development projects. He has been developing management solutions in these areas since the mid-90s. As a shareholder of the German ePublishing Consultancy Company SNTL, he consults companies and institution in the science, technology and medicine sectors. He has specialised in the area of ICT management, instructional design and psychometrics applied for educational controlling.

### **Sandhya Chatterji**

Dr Sandhya Chatterji (PhD Regional Planning) is a senior advisor with GTZ/InWEnt with experience of working in India and other Asian and African countries. She is the Director of the consulting firm ifanos concept&planning India and Vice President of the NGO INDCARE Trust. Dr Chatterji has extensive experience in environmental and gender/social development issues. Her areas of expertise include social development, community participation and institutional development in the sectors agriculture, waste management, disaster risk reduction, watershed and natural resource management, livelihood development, micro finance and micro enterprises for Self Help Groups, and forestry, health, education. She is specialised in social and institutional development, including programme planning and evaluation.

### **Ulrike Killguss**

Ulrike Killguss holds a Master's degree in Environmental Technology from Imperial College, University of London, UK. She is an advisor in the Indo-German Environment Programme, a joint programme of the Indian Ministry of Environment and Forests and the Deutsche Gesellschaft für Technische Zusammenarbeit (GTZ) GmbH. Set up in August 2002, ASEM constitutes a new phase of the Indo-German development cooperation. ASEM supports and coordinates projects that focus on eliminating or reducing urban and industrial pollution and hence improve living conditions and build capacities. The aim is to provide environmentally, economically, and socially viable solutions which create winning situations for all involved parties. Her expertise lies in the field of urban and industrial environmental management, with special focus on electronic waste management, industrial development, cleaner production in SMEs and arsenic mitigation. Ms Killguss has shortterm experience working in Indonesia, Costa Rica and Brazil. Since January 2005 she has been working for the Indo-German Environment Programme.

## 9.15 Resource Documents and Links

- ASEM – Advisory Service in Environmental Management (2009): The Human Resource Development Programme – Brochure
- Bemmerlein-Lux, F.A, M. Born, T. Mao, T. Li, P. Han (2005): Manual on Capacity Building and Training Management for Local Initiatives. Social Science Documentation Publishing House (Chinese).
- Bemmerlein-Lux, F.A, M. Born, T. Mao, T. Li, P. Han (2005): Guide to Capacity Building and Professional Exchange in Sustainable Development, Social Science Documentation Publishing House (Chinese).
- Disaster Management Institute, Bhopal (2009): ‘Confined Space Safety’ Brochure and Training Module. DMI/InWEnt/GTZ-ASEM 28p
- Disaster Management Institute, Bhopal (2010): ‘Safety in Transportation of Hazardous Substances by Road’ Brochure and Training Module. DMI/InWEnt/GTZ-ASEM 40p
- Disaster Management Institute, Bhopal (2010): ‘Hazards Identification and Control Measures in chemical (industrial) workplaces’ Brochure and Training Module. DMI/InWEnt/GTZ-ASEM 40p
- Disaster Management Institute, Bhopal (2010): ‘Accident Causation Models and Theories’ Brochure and Training Module. DMI/InWEnt/GTZ-ASEM 40p
- Disaster Management Institute, Bhopal (2010): Consequence analysis: application in emergency planning. DMI/InWEnt/GTZ-ASEM 40p
- Disaster Management Institute, Bhopal (2010): Human Factors in Accidents and prevention. DMI/InWEnt/GTZ-ASEM 40p
- Disaster Management Institute, Bhopal (2010): Key concepts in Emergency management plans. DMI/InWEnt/GTZ-ASEM 40p
- Disaster Management Institute, Bhopal (2010): Job safety analysis. DMI/InWEnt/GTZ-ASEM 40p
- Disaster Management Institute, Bhopal (2010): What should I Know as District Collector and Why? DMI/InWEnt/GTZ-ASEM 40p
- Disaster Management Institute, Bhopal (2010): Mock drill: concept, organisation and limitations. DMI/InWEnt/GTZ-ASEM 40p
- Disaster Management Institute, Bhopal (2010): Community consultation. DMI/InWEnt/GTZ-ASEM 40p
- Disaster Management Institute Bhopal, InWEnt, GTZ-ASEM (2009): Posters – approaches and concepts in iDRM – <http://www.hrdp-idrm.in/e5785/e7397/>
- Dubey R., Ch. Kamlage, J. Bischoff, F. Bemmerlein-Lux, S. Chatterji (2008): Toe the Line for Behavioural Change – a Capacity Building System for Disaster Risk Management. RiskWise UN Publication p. 73–76.

InWEnt (2006): Capacity Building Concept – Personnel and Organisational Development in International Co-Operation. InWEnt – Internal Strategy Paper Written by: Ingrid Jung and Hinrich Mercker.

InWEnt (2009): Managing Collaboration – Management Model for Successful Collaboration in the Public Sector Management Model for Successful Collaboration in the Public Sector.

InWEnt (2010): The Human Resource Development Platform – Uses and advantages – Brochure

UNCHS United Nations Centre for Human (Habitat) Fred Fisher and David W. Tees (2000): Manual for Evaluating Training's Impact on Human Settlements. Nairobi – HS/457/97E, ISBN 92-1-131336-8

[www.HRDP-net.in](http://www.HRDP-net.in)

The Human Resource Development (HRD) Platformnetwork of ASEM is a web-based system with tools to support planning, implementation, delivery and monitoring of large scale capacity development programmes. Staff in the key training institutions use the HRD Platform to manage the programme. It is designed according to the training management model of InWEnt in India and a prerequisite of the yearly HRD operation plan for ASEM. The platform is supported by InWEnt under the ASEM Programme.

[www.HRDP-iDRM.in](http://www.HRDP-iDRM.in)

The Human Resource Development (HRD) Platform-industrial Disaster Risk management of DMI (Disaster Management Institute, Bhopal) is a web-based system with tools to support planning, implementation, delivery and monitoring of training programmes in Disaster Risk Management. It includes training modules for iDRM, key concepts of industrial risk management and a communication platform for the National Action Plan for chemical/industrial Disaster Management. The platform is supported by InWEnt under the ASEM Programme.

<http://oa.mpg.de/openaccess-berlin/berlindeclaration.html>

Discussion about intellectual capital as a public good – e.g. Berlin Declaration, Open Access to Knowledge in the Sciences and Humanities

[http://www.zms-publishing.com/index\\_eng.html](http://www.zms-publishing.com/index_eng.html)

Information about the applied content management and authoring system of the HRD platforms. For a quick technology introduction see <http://www.zope.org/Members/mcdonc/HowTos/gainenlightenment>





Deutsche Gesellschaft für  
Internationale Zusammenarbeit (GIZ) GmbH  
Friedrich-Ebert-Allee 40  
53113 Bonn  
T +49 228 4460-0  
F +49 228 4460-1766  
I [www.giz.de](http://www.giz.de)