

**MANAGEMENT DEVELOPMENT FOR SENIOR  
URBAN PUBLIC HEALTH OFFICIALS  
(MDSUPHO - INDIA)**

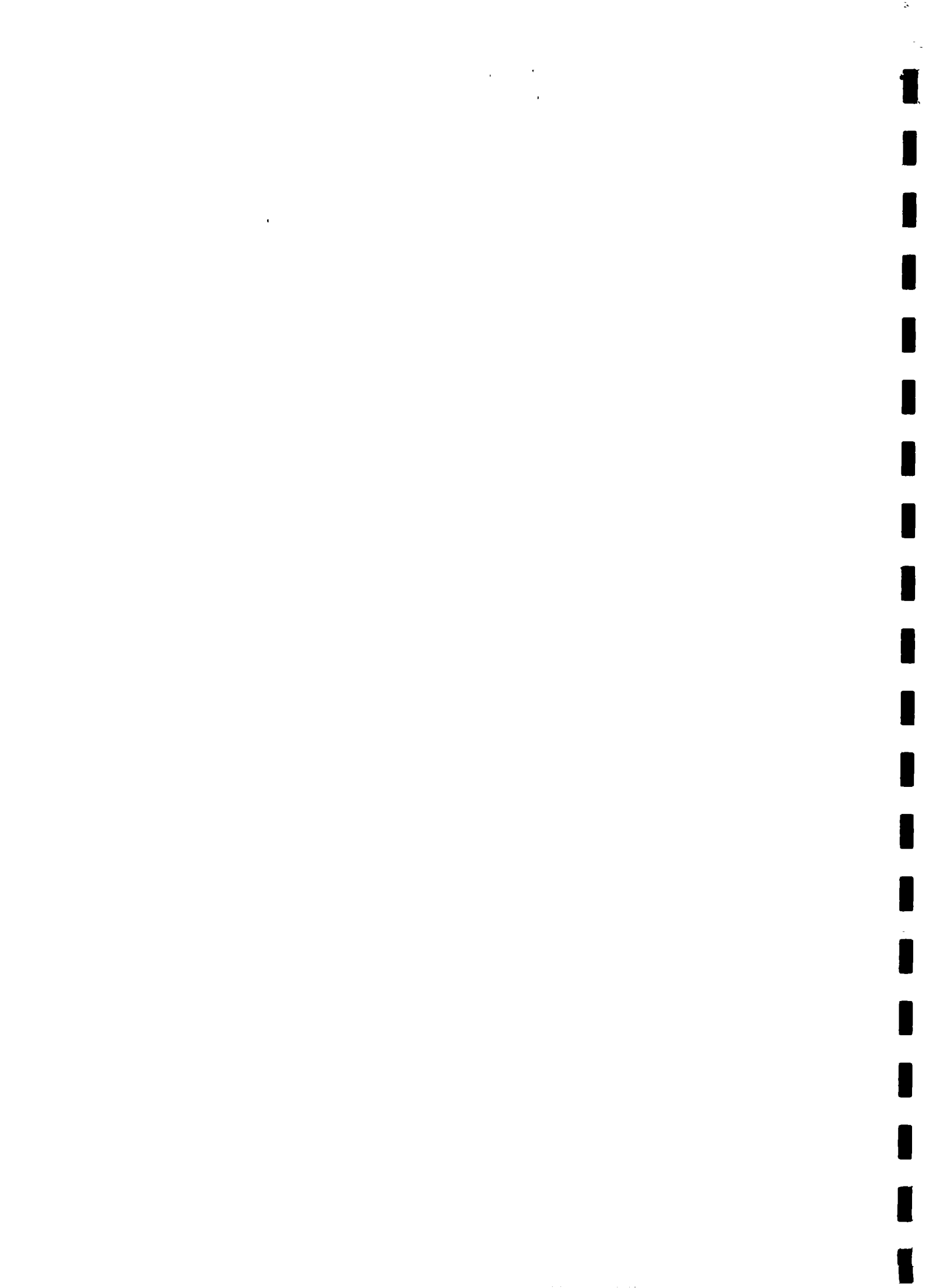
**PROJECT REVIEW**

**FINAL REPORT**

**February 1998**

**Under Assignment to Department for International Development**

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## ACRONYMS USED:

AE	Assistant Engineer
AIILSG	All-India Institute of Local Self Government
AIHPH	All India Institute of Hygiene and Public Health
ASCI	Administrative Staff College Of India
BCD	British Council Division, New Delhi
CE	Chief Engineer
CMDA	Calcutta Municipal Development Agency
CMDC	Calcutta Municipal Development Corporation
CPHEEO	Central Public Health Engineering & Environmental Organisation
DEA	Department of Economic Affairs
DFID	Department for International Development, UK
EDI	Economic Development Institute, World Bank
EE	Executive Engineer
EIC	Engineering in Chief
FIRE	Financial Institutions Reform & Expansion
GOI	Government of India
GOM	Government of Maharashtra
GOWB	Government of West Bengal
HRD	Human Resource Development
HUDCO	Housing & Urban Development Corporation of India
IAS	Indian Administrative Service
ILGUS	Institute of Local Government and Urban Studies
IT	Information Technology
JE	Junior Engineer
LJN	Lucknow Jal Nigam
LJS	Lucknow Jal Sansthan
MED	Municipal Engineering Directorate
MIS	Management Information Systems
MJP	Maharashtra Jeevan Pradhikaran (Water Supply Board)
MUAE	Ministry of Urban affairs and Employment
MP	Madhya Pradesh
NRTC	Nashik Regional Training Centre
PHED	Public Health Engineering Department
RWSG-SA	Regional Water and Sanitation Group for South Asia
SE	Superintending Engineer
UP	Uttar Pradesh
UPJN	Uttar Pradesh Jal Nigam
UWSS	Urban Water Supply and Sanitation
VJTI	Victoria Jubilee Technical Institute
WSO	Water and Sanitation Office, ND
WSSD	Water Supply & Sanitation Department



## EXECUTIVE SUMMARY

### A. Narrative

The review of the Management Development for Senior Urban Public Health Officials was conducted in three phases. The first phase resulted in an Aide Memoire, produced in early January. The second phase of the review concentrated on research, benchmarking meetings, participant interviews/questionnaire follow-up, etc. The third phase in January concentrated on consolidating the results of the impact assessment, planning for 1998 and drawing up a phased proposal for transfer to ASCI. The review was completed at the end of January 1998

The process adopted by the team was to translate findings, in a prioritised manner, into action plans, proposals and decisions by arranging consultative meetings between the different stakeholders. The outcomes of the different phases were as follows:

1. The MDSUPHO project logframe defines 3 outputs: i) Senior sector staff (mainly engineers) trained as managers ii) A local training institute strengthened to conduct programmes similar to MDSUPHO and iii) Public Health Engineering Courses revised to include management and finance topics. Phase I of the review concluded that only the first of these envisaged outputs was achievable.
2. At the commencement of the review there was no plan of action in place to carry out the transfer of the programme to ASCI by 1999, as per the original target. As such, this target is not achievable. This prompted the review team during Phase III of the review, to facilitate a joint effort between ASCI and WEDC to draw up a detailed plan for transfer of MDSUPHO to India over 3 years. The plan is included in Annex 10.
3. Reviewing options for the MSc courses and given that there had been no initiative on this front from any of the stakeholders, the review team concluded that the third logframe output should be treated as an entirely separate project. The project design will need to confirm how the MSc programme feeds into MUAE's strategic objectives
4. The findings of the review team call for caution against drawing up an over ambitious logframe. In order to ensure that outputs are achievable, the revision of the logframe must check feasibility of outputs against resources offered by the consultants (WEDC & ASCI)
5. Roles and responsibilities of the different stakeholders were never clearly defined. This led to several shortfalls in achieving outputs.





- 6 MDSUPHO started off as a supply driven national programme. The opportunity to test the market, check the programme and review whether it was meeting sector needs has not been seized by DFID, WSO or MUAE. The result is that too little has been done in an informed manner. The programme has also suffered from uncertainty, because of the lack of obvious success stories in the WSS sector. Training after all, can only act as a kick-start to change
7. The original target group of superintending engineers (SE) has been confirmed by the review team to be at the right level in the organisational hierarchy to initiate change. However, the impact assessment has revealed that the lack of critical mass within an organisation, is a serious impediment to the change process. Were DFID to consider increased support to maximise the benefits of the programme by creating a critical mass at the organisational or regional level, the following options are possible:
  - i) MDSUPHO – in its current form, with an overseas and Indian leg should continue to target superintending engineers.
  - ii) Following successful transfer of MDSUPHO to India, the programme could expand its target group to include participants from Sri Lanka, Pakistan, Bangladesh, Indonesia, Malaysia, etc. and reposition itself as a regional programme. The overseas leg, if retained, would then be a visit within South/ South-East Asia.
  - iii) MDSUPHO modified for delivery in India at the state level, perhaps as phased modules, targeting executive engineers.
  - iv) Basic management development courses targeting assistant engineers. These could be offered by MUAE as part of their existing technical refresher courses
8. Participants for MDSUPHO are SEs, who have been drawn mainly from State Water Boards or Public Health Engineering Departments. The nominations process has failed to target SEs from municipalities or municipal corporations. In the light of the 74<sup>th</sup> Constitutional Amendment and the devolution of responsibilities for water supply services to urban local bodies, this is a critical area for improvement.
- 9 MDSUPHO is a well designed and skilfully delivered product, that has been continuously modified by WEDC in response to perceived training needs of UWSS in India. The reinforcement of learning objectives and regular assessment of participant progress through the programme have resulted in a quality programme that is very highly thought of by participants



10. There are still some outstanding questions on transfer that need to be addressed:

- i) MUAE's position on the choice of ASCI as the Indian training provider for transfer of MDSUPHO to India
- ii) ASCI's willingness to invest the effort and money required to successfully take over and deliver a premier management programme that will help ASCI to position itself strategically in the water sector.
- iii) Whether or not ASCI can demonstrate commitment through investment (human, financial, other resources) and performance in 1998, in order to convince other stakeholders that further support is well advised.

11. The evaluation of impact has revealed that typically, past participants saw themselves as managers and leaders who had been enlightened by the MDSUPHO experience on the personal and attitudinal front and equipped with essential project planning, MIS and analytical tools on the professional front. Several MDSUPHO fellows gave examples of instances where they had acted as agents of change in their organisation. A large number of participants saw themselves as trainers and resource persons who could cascade the benefits of the training to their subordinates.

12. MDSUPHO is an expensive programme. The review team is persuaded, however, that the cost of the overseas leg is justified by the very positive findings of the impact evaluation. The cost per participant could be significantly reduced to a more acceptable level by assisting returning fellows in cascading training benefits within their organisation.

13. MDSUPHO is positioned as a sector-tailored management development programme emphasizing finance, institutional strengthening and private sector participation. The review team was unable to identify any nationally recognised Institute that is ideally positioned to take on MDSUPHO, i.e. one that combines management development skills with water sector expertise. In addition, training is a low priority in the water sector, which urgently requires capacity building at all levels in order to deliver quality services.

14. Lessons from the transfer of three other DFID -supported programmes to India<sup>1</sup> reveal that the transfer process needs to be carefully planned, proactively managed, documented and regularly reviewed in the interest of long-term sustainability. Additional factors to be considered are the complexities of managing a national programme, which is more or less supply driven, as opposed to a state-level programme which may be designed to suit particular demand.

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<sup>1</sup> Solid Waste Management, Management for Sustainability and Groundwater Management for Rural Water Supply



15. This assessment presents DFID with three options:

1. Stop support to MDSUPHO in 1998 or 1999 following a token attempt at transfer.
2. Extend support along the lines of the transfer proposal and concentrate on transferring a modified MDSUPHO and no more. Enable ASCI/WEDC to develop a market.
3. The third option is based on extended support to the current programme in order to maximise benefits derived from the programme as well as to create a critical mass that will drive the process of change in the water sector. Opportunities to be considered-
  - Retain the national programme
  - Expand the target group to include participants from south and south-east Asian countries
  - Support demand-based short programmes at the state-level
  - Consider new programmes at different levels (administrators, politicians, medical officers, engineers, etc.)
  - Develop the MSc option along with refreshers
  - Consider the creation of an alumni network
  - Develop the HUDCO link
  - Support the creation of a forum for the water sector

#### **B. Summary of Recommendations**

1. It is recommended that the detailed plan for the 1998 programme (including final nominations, dates, and identification of the field-leg venue) be agreed to by all stakeholders by the end of February 1998 to ensure adequate time for preparation.
2. The team recommends that the project logframe be jointly revised by WEDC and DFID and vetted by MUAE.
3. It is recommended that a detailed Terms of Reference for the transfer process be drawn up, specifying the time frame, roles and responsibilities and contractual obligations of all stakeholders involved.
4. DFID needs to draw up a contract with ASCI, following endorsement of ASCI as the Indian training provider by MUAE/DFID.
5. The detailed proposal for transfer, as set out in Annex 10, needs to be reviewed and agreed upon by all stakeholders as soon as possible. While agreement on the proposal for 1998 must be sought without any further delay, the proposals for support to



MDSUPHO for 1999 –2000 and beyond must be presented in detail, discussed and finalised by December 1998.

6. The team recommends that DEA/MUAE review the nominations process, keeping in mind the preferred target group of municipalities and municipal corporations
7. It is recommended that DFID reviews the various proposals for further support to MDSUPHO, decides on the way forward together with the MUAE and communicates its strategy to the training providers.
8. The team also recommends that DFID and WSO together, review WSO's mandate for human resource development, in view of the various opportunities for furthering DFID's strategic objectives in the water sector.
9. The MDSUPHO programme responds to a key HRD need in the sector today. However, the review team is of the view, that the impact of the programme would be further multiplied by taking advantage of some opportunities for expanding the basic target group. This would create the critical mass required to support and sustain any change process. As such the team recommends:
  - Adaptation of the MDSUPHO programme for executive engineers.
  - Basic management development courses for assistant engineers.
  - Exposure visits, in India, for a composite group (elected officials, bureaucrats, engineers, public health officers).
  - Courses for municipal commissioners/chairpersons of municipalities.
  - Orientation programmes/exposure visits for IAS officers in WSS.
  - On-the-job training opportunities for key functionaries in municipalities and corporations
  - Creation of an alumni network for communicating change management case studies and promoting follow-up refresher courses on demand.
10. ASCI has been identified as the partnering institute for the transfer process of a national MDSUPHO programme. It is recommended, however, that should DFID wish to multiply impact, it should further investigate the possibility of collaborating directly with regional institutes such as AILSG (Maharashtra), ILGUS and AIIHPH (West Bengal). These institutes have excellent links with local bodies and state governments and are well positioned to target executive engineers and local administrators





11. Opportunities for practitioners, professionals and academics in the urban water supply and sanitation sector to consult and exchange ideas are rare. The team recommends that DFID consider supporting the setting up of a forum that would meet such a need. This forum can also serve as networking opportunity for alumni of other DFID-supported WSS programmes in UWSS. The Regional Water and Sanitation Group for South Asia in New Delhi (RWSG-SA) has expressed a keen interest in playing the lead role in organising and co-ordinating such a forum, were resources to be earmarked for this purpose.
12. The Ministry sponsored 18-month masters programme offers 100 places at 12 institutes and universities in the country. There are opportunities for upgrading the courses to include management/finance techniques and experiences. The Institutes attending the MUAE-sponsored meeting expressed interest in discussing this further. The team recommends that a separate project memorandum be prepared to define this project



## 1. BACKGROUND & INTRODUCTION

This report summarises the main findings, recommendations and conclusions of the review team comprising of Mr. Rodney Amster, Human Resources Development Consultant and Ms. Archana Patkar, Social Development Consultant. The team reported to Ms. Andrea Cook, Field Manager, WSO, DFID - the Task Manager for the review, who co-ordinated and participated actively in review meetings and kept the team on track. The team met regularly with and was guided by Mr. Piet Van Heesewijk, Institutional Adviser, DCOD, DFID.

The Review was carried out in three phases:

- Phase I from 27 November to 7 December, 1997
- Phase II from 8 December, 1997 to 11 January, 1998 for research and investigation
- Phase III from 12 January to 31 January, 1998

Phase I was dedicated to meetings and forward planning with key stakeholders in New Delhi and Hyderabad and resulted in an Aide-Memoir in early January.

Phase II was dedicated to research and further investigation of different arrangements for water and sanitation services at the state-level, consultation with past participants, investigation of management training institutes, state-level meetings and collating of questionnaires from MDSUPHO fellows.

In Phase III, the review team members, consolidated findings in report form, concretised the 1998 programme through planning sessions and meetings and presented options for future support.

The Terms of Reference for the Review are set out in Annex 2.

A total of thirteen groups of tasks were identified in the scope of work as summarised below:

1. Original project aims and objectives; the logframe
2. Roles and responsibilities of secondary stakeholders i.e. DEA/MUAE, DFID/DCOD, WSO, BCD, WEDC and ASCI
3. MUAE, State Water and Sanitation Boards and Municipalities: the training and development needs of their staff
4. Masters Degree Programme in Public Health Engineering
5. Target participant group
6. Nomination and selection process
7. Programme design and delivery
8. The Transfer Process



9. Evaluation of Impact
10. Assessment of Value for Money
11. Capacity of Indian training institutions to become lead programme training provider, administrator and champion
12. Benchmarking against other DFID-funded training programmes in India
13. Assessment of present MDSUPHO Programme
14. Conclusions and Recommendations

## 2. ACKNOWLEDGEMENTS

The review team is indebted to all the past participants of MDSUPHO, who gave freely of their time and whose views, opinions and recommendations have informed this report.

Special thanks go to all those who helped arrange state-level meetings, often at very short notice and in spite of imminent elections.

The team is grateful to Nigel Kirby of the WSO for his support to the team and help in completing the final report, following the departure of the review task manager.

Thanks are due to WSO and DCOD staff for their interest in and support to the review

The Consultants are grateful to the WSO support-staff for logistical and other help.

## 3. CONSTRAINTS

The timing of the review coincided with preparations for the national elections to be held in the month of February 1998.

The review team was unable to arrange and follow-through with several state-level meetings due to approaching Lok Sabha elections. Thus, for example, the team was compelled to call off a meeting of MDSUPHO fellows from the North Eastern States

Mr. Tripathi, Deputy Secretary, Ministry of Urban Affairs and Environment, GOI, has been closely involved in the review since Phase I. However, during Phase II and the final stages of the review, the team was unable to consult with him as he was away on election duty



## 4 KEY ISSUES

### 4.1. Original Project Aims and Objectives; the Logframe

The programme began in 1991 as a national technical and management skills training programme and continued to be delivered on an annual basis under contract by WEDC until 1995 when a major review was carried out. The review team concluded:

1. The programme should be projectised over a 4-year period
2. The programme design refocused towards change management
3. The programme should be transferred to an Indian institution, which should be responsible for delivery, administration and championing the programme
4. Nominations should be targeted at superintending engineer or equivalent public health specialists particularly from municipalities. Women would be encouraged to attend;
5. Partnerships would be developed with the 11 Indian universities who provide a masters public health engineering degree course sponsored by MUAЕ with the idea of introducing management theories and techniques into their technically-focused syllabi;
6. Collaboration should be established between the UK training provider, WEDC (who were awarded the project following a competitive tendering procedure) and ASCI, who were considered to be a leading Indian management institution and a likely contender to take over the running of the programme.

These intentions were built into the logframe, which is attached as Annex 3

1996 was the first year that the new programme was provided with the modified overall objective of preparing senior engineers and other professionals to be able to analyse their institutions and assist senior management to initiate change to meet technical and institutional challenges in public health.

There were three separate but integral parts to the programme.

1. 5 week UK foundation and awareness leg based at WEDC with a study visit to France
2. 10-day Indian case study in different states to give a practical application of techniques and a comparative exercise for participants
3. 2 week review and reinforce leg based at ASCI in Hyderabad

As a starting point, the review team examined the project aim, objectives and logframe and with the benefit of hindsight noted the following observations:

- a. The purpose of MDSUPHO was to develop a cadre of managers and sector trainers who are committed to change. Changes might include institutional in its broadest sense, financial viability (tariffs and cost control), privatisation and contracting-out,





better communication, delegation and team building etc. Success is dependant on candidate selection and their ability to initiate and facilitate some of these changes in their own organisations after completing the programme. Candidates have between 5 and 10 years to achieve this before retirement.

- b. With MDSUPHO support alone the verifiable indicators of achieving semi-autonomous institutions with viable tariffs and significant contracting out of activities by the end of the project were always going to be unattainable and particularly without the political will and support.
- c. Out of three key outputs i.e. cadre of trained senior staff, local training institute strengthened and revising of public health course syllabi only one, the first, was likely to be achieved. How a local training institution should be strengthen to conduct a similar programme was unclear and also how public health engineering courses could be revised to include management and finance topics was never properly spelt out.
- d. The specified means of verification to achieve purpose to output could not be guaranteed since they were tasks expected to be carried out by others
- e. Although not mentioned in the logframe, one specified project objective was to involve women as participants on the course. Unfortunately, the possibility of selecting women was never verified from the target group of superintending engineers. The review team estimates that there are about 5 women in post out of a total of perhaps 400 to 500 superintending engineers.

***In the opinion of the review team the project aims and objectives were well intentioned and appropriate but the project logframe could not reliably meet the goal to purpose through specified inputs and outputs.***



## 4.2 Roles and Responsibilities of Secondary Stakeholders

The secondary stakeholders included the following organisations.

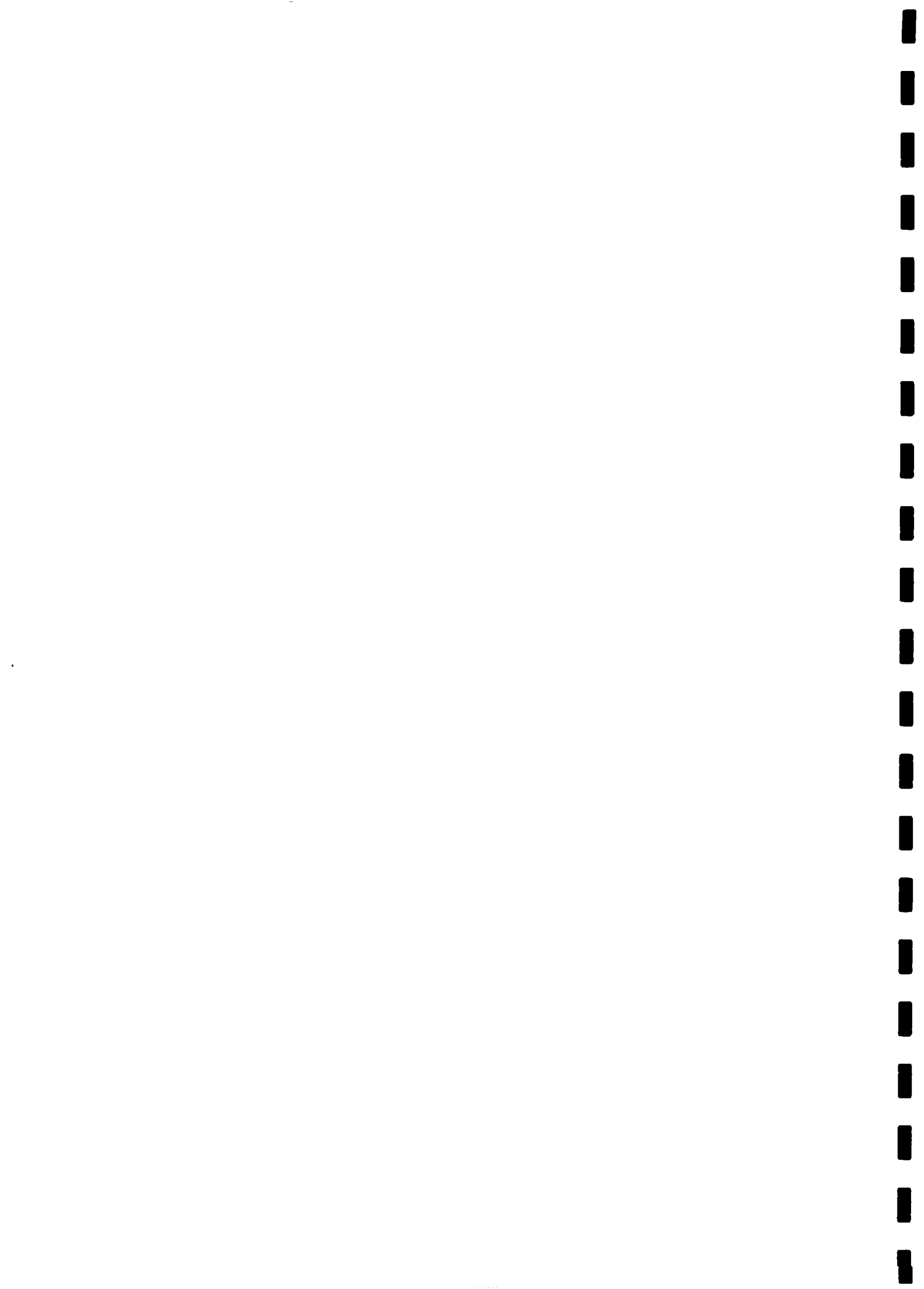
Indian Institutions - DEA/MUAE and ASCI

UK Institutions or *their Indian representative offices* - DFID/DCOD, WSO, BCD and WEDC

In principle, their roles and responsibilities were as follows:

- DEA/MUAE National Indian sponsoring organisations that administered and approved the selection of candidates from states and municipalities. MUAE sponsored MSc academic courses that were expected to benefit from the programme. MUAE engaged ASCI as a training partner to WEDC and assisted in the selection of the location of the second leg of the programme. MUAE partly sponsored the India 1 case study and India 2 review and reinforce legs.
- ASCI Nominated Indian training institution to whom the training programme would be transferred in 1999. ASCI was expected to increasingly take over responsibility for different parts of the programme from WEDC.
- DFID UK sponsoring organisation that delegated its responsibilities to DCOG-India.
- WSO Indian water sector champion, that project managed the programme on behalf of DCOG and monitored it's progress.
- BCD Indian representative office, that provided administrative support in India to the participants and WEDC. They had the pivotal role of overseeing the nomination process, preparation for India 1 and India 2, spotting where things were going wrong and stepping in to correct them. This in effect was the quality assurance responsibility mentioned in their contract.
- WEDC Programme champion, that planned, designed and delivered the programme in 1996. In subsequent years supported ASCI (to ensure a smooth transfer process) and supported the academic providers of MSc public health courses in India (by seeking university lecturers to attend course but no other activities suggested) to modify their syllabi. In the UK, WEDC offered to provide the candidates with the necessary personal support

In the opinion of the review team, there were a number of shortfalls by the secondary stakeholders in carrying out their roles and responsibilities. These shortfalls (listed below) arose in part, because no one stakeholder had a clearly written list of their own role and responsibilities and certainly no comprehensive summary of what the other stakeholders roles and responsibilities were and their interactions. The shortfalls included:



1. Inadequate targeting and a just-in-time system of administration of the nomination process by DEA/MUAE resulting in insufficient numbers of candidates, unrepresentative spread of candidates nationally, ill-prepared candidates for the UK leg and no MSc course lecturers. MUAE do not appear to have officially informed the MSc course providers of the opportunity to benefit from the programme. According to ASCI, MUAE have not appointed them to transfer MDSUPHO to India.
2. ASCI have not demonstrated their commitment to take over as the primary training institution to ownership and market the programme after 1999. Three lecturers have attended the programme and administered the Hyderabad leg. None of them have lead or participated in programme delivery.
3. DFID/DCOD have not obviously sought the views of WSO to use the short and longer term benefits of this national programme as an important mechanism in the process of developing a water sector policy in India. DCOD have not kept WSO informed about changes in their overarching enabling contract with BCD and how it affected the specific contract of BCD services awarded by WSO
4. Up until 1996, WSO appointed a field officer to take responsibility for the prime WSO project management responsibility. There was no subsequent internal appointment. WSO attended some of the progress meetings up until 1996, but since then it has not regularly monitored progress or intervened when things appeared to be going wrong. It has not promoted the short and longer-term benefits of the programme within DFID/DCOD.
5. There is no evidence that BCD carried out a quality assurance function nor did they effectively communicate recurrent problems in the nomination process to the other stakeholders.
6. At the commencement of the review, WEDC had not promoted the programme by clearly stating in detail what will be the benefits and learning intentions to individual participants when they have completed the programme. They had not prepared an operating guide nor a transfer plan to assist ASCI to eventually assume its role of lead training provider. They had not promoted the benefits of assisting MSc academic providers to modify their course syllabi

The review team has prepared a set of roles and responsibilities for the secondary stakeholders, which is set out in Annex 4.



### 4.3 The Training Needs of MUAE, State Water Boards & Municipalities

The review team conducted state-level workshops and meetings to ascertain human resource development priorities of state water boards, municipalities and corporations and water supply and sanitation departments. These are summarised in Annex 5.

The team concluded the following:

- There is no formal training needs analysis of the water sector at the national or state level.
- MUAE offer to the state governments a system of short technical refresher courses which are delivered by state training institutes/universities and partly subsidised by MUAE. They do not offer any management development short courses. General degree or diploma programmes in management are offered by the Indian Institutes of Management or other private and semi-autonomous institutes.
- At state and municipal level, public health infrastructure services are delivered primarily by engineers supported by other specialists such as accountants and administrators. The softer public health services are provided separately by medical specialists, trained as public health officers, financial managers and administrators.
- State organisations have set up HRD cells in some places. These are very weak, poorly resourced and with no professional capacity. They only carry out an administrative function. They would need external support, capacity building and advice to be able to discharge HRD functions effectively.

*The development needs of State Water & Sanitation Boards & Municipalities must be seen in the light of the peculiar institutional and organisational problems of the sector.*

- Promotion to senior management posts is on the basis of length of service and seniority rather than on skills and aptitude. In effect, this translates into senior managers who are incapable of managing the complex financial and institutional problems that face the Water Authority, Board or Department.
- These managers often report to IAS officers who are new to the Water Supply & Sanitation sector.
- State Water Boards and Authorities have traditionally been charged with building and hand over of water supply systems, with no long-term stake in the sustainability of the system. Responsibility for operations and maintenance lies with another agency
- Engineers have traditionally dominated urban WSS organisations, with finance in second place. There is little dialogue with public health officers while planning new schemes
- Government subsidies are often a bigger source of revenue than paying customers, leading to poor customer service.





- Overstaffing and wastage of human resources is endemic
- Most UWSS providers are not autonomous but part of a local or state government. They are thus not free from political interference and unable to function independently as good managers.

### **The Impact of the 74<sup>th</sup> Constitutional Amendment**

- With the 74<sup>th</sup> Constitutional Amendment laying the foundation for the devolution of financial and administrative powers to municipalities throughout India, it is likely that water supply for domestic, industrial and commercial purposes and public health, sanitation and solid waste management will fall under the purview of the municipalities.<sup>2</sup>
- The review mission's meetings at state and municipal level, have confirmed that there is widespread recognition of the urgent need for capacity building of key administrators (municipal commissioners, chief executive officers, councillors) to enable them to understand and discharge their new responsibilities effectively.
- By the same token, executive engineers will need to be equipped to take on increased management responsibilities in the new institutional set-up
- To appreciate fully the implications of the constitutional amendment, state government departments, water boards and public health engineering departments will have to be oriented in their new role of facilitator.
- Human resource development has assumed increasing significance, with some organisations beginning to take a hard look at staffing requirements, personnel policies and training needs.
- It should be noted however, that the pace and shape of change differs for different states.

### **Recommendations**

1. Undertake a pragmatic national training needs analysis and at state level in a select number of states
2. Introduce short management development courses by modifying generic courses currently offered by Indian Institutes of Management.
3. External support is needed for HRD cells to help them establish themselves and define their role at state level as well as their place in the national institutional setting.

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<sup>2</sup> UWSS Review, World Bank-DFID, Vol 1, October 1997, pg 19



#### 4.4 Masters Degree Courses in Public Health Engineering

MUAE recognises and supports various post graduate public health engineering courses in India. For details of the institutions offering these courses refer Annex 6.

Representatives from the review team, WEDC and ASCI held discussions at MUAE with representatives of a number of the above institutions, to explore the possibilities of including more management related topics into their course syllabi.

The institutions responded positively and set out possible options for consideration as follows:

1. University procedures for modifying course syllabi are bureaucratic in most cases and can take at least three to four years to approve.
2. Specialised lectures could be incorporated into the first two semester sessions quite easily
3. Optional or elective modules do exist particularly in the second semester so by adding optional management modules this may prove to be an alternative possibility. The main debate centred on whether or not non-MUAE graduates should be offered these new options. It was felt that this option needs further consideration
4. During the final 10 months of the postgraduate courses, a thesis is prepared and two options were discussed - i) the thesis topics could include or be based on management issues ii) a short course (2 weeks), open to all graduates, could be incorporated into the thesis time period
5. A series of management courses could be developed along the same lines as the refresher courses which MUAE already offers states. There was quite a lot of support for this particular option since it could be set up relatively easily

The meeting went onto explore the mechanics of the proposals and concluded that

1. MUAE would set up an informal group of academics with an ASCI representative to explore the options in more detail.
2. The facilitation of the process would require orientation visits to WEDC by selected academics to determine which parts of the MDSUPHO programme are suitable for transfer.
3. ASCI could act as the nodal institution for the management initiatives with the academic institutions. This would be possible so long as the management inputs did not exceed 25% of the total teaching on the course so as not to violate internal academic institutional



arrangements with their own management schools. In return, ASCI could look to the academic institutions to offer technical sectoral inputs to the MDSUPHO programme

- 4 Although the present DFID funded, BCD managed project between the Northern University consortium and Regional Engineering Colleges is now drawing to a close, it may be possible to extend the project to incorporate a review of the options resulting in a recommended action plan

*In view of the lack of progress to date and the uncertainty of how this initiative may fit into the MUAE training policy and strategy, the review team considers that the MDSUPHO linkages with the Master degree courses should be examined as a separate project, with its own terms of reference and log frame. The likely time period of the project could be quite significant and go beyond the present 1999 date for completion of the present MDSUPHO programme. DFID may wish to respond to a request from MUAE for further assistance, after a detailed terms of reference is drawn up following meetings of the informal group of academics and ASCI representative.*

#### 4.5 Target Participant Group

- The MDSUPHO project logframe aims to develop a cadre of sector managers and trainers. This target group has been drawn almost entirely from state water boards or authorities, public health engineering departments and municipal directorates. The research undertaken by the review team has revealed that several municipal corporations and some larger municipalities do have a good number of engineers of the SE rank on their staff, but that these have not been effectively targeted.
- Contrary to the title of the course, which implies a representation of senior urban public health officers, the current target group is restricted to senior urban public health *engineers* only. Health, revenue and administrative functionaries within the public health domain are excluded by the current nomination method.
- The target group for the course is Superintending Engineers or similar rank. The review team believes that SEs form the key target group in the WSS organisational hierarchy. However, other engineering grades or equivalent are also important. For example EEs as



project implementers and zone managers and AEs as team leaders. Finance and revenue officers will also play a key role in sector reform.

- Personnel policies are designed so that an EE is promoted to SE around the age of 50. This means that the DEA eligibility criterion of 52 effectively rules out significant numbers of SEs from going on the course. It also means that by targeting the SE grade, there is a window of opportunity of no more than 8 years before retirement.
- In some states (e.g. MP, UP) there has been a ten-year moratorium on recruitment of Assistant Engineers. This will no doubt have a negative long-term effect on the available pool of superintending engineers for future courses. It also makes a case for training other grades such as EEs, to be more effective at a younger age.
- The project logframe aims to have 6 trained lecturers from MUAE sponsored MSc programmes, trained as resource persons on the course. These colleges had not been intimated about the programme thus far. However, at the recent meeting called by the MUAE in response to a recommendation by the review team, Professors and Directors of the participating Universities and Institutions expressed interest in exploring ways of including management and finance topics in their courses.
- The current target group i.e. that of superintending engineers excludes women from participating on the course as there are no women SE's available in the northern states and few, if any in the southern states e.g. Kerala. There are women at Assistant Engineer level in some of the states who could be targeted along with Executive Engineers and Revenue/Finance officers if the MDSUPHO course is adapted for other levels in the sector.

#### 4.6 Nomination and Selection Process

The stated aim of the programme is to target participants at superintending engineer grade or above with operational and maintenance responsibilities. However, there appears to be some confusion about the make up of the participant target group emanating from the words *public health officials* in the course title.

- Participants for MDSUPHO have been drawn largely from the superintending engineer level working in State PHEDs, WSSDs and occasionally Municipalities but non-engineering officials such as medical officers, have not been targeted.
- Superintending engineers often occupy a pivotal role in water sector organisations between their teams of executive engineers who are primarily project managers and chief





engineers who discharge their delegated powers by spending most of their time approving and signing documents and have little time available to develop their strategic thinking

- In some cases superintending engineers act as technical quality control advisers, trainers and facilitators of teams of executive engineers, they generate ideas to feed into other senior managers and depending on the structure of their own organisation, they may also occupy management posts with personnel, administration or even financial responsibilities.
- The annual letter from the MUAE to the States inviting nominations for the MDSUPHO course is addressed to the Principal Secretary (Water Supply) who directs it either to the State Water Board/Authority or Public Health Engineering Department. Information is then supposed to flow to the Municipal Corporations or Municipalities in order to solicit nominations from these local bodies. This process has not been effective in encouraging nominations from municipalities or corporations for three reasons: i) poor flow of information ii) delays at the state level in disseminating this information to the local bodies iii) absence of a comprehensive computerised database/personnel records from which the state can access information in an efficient manner. It should be noted that the MUAE has no access to state-level personnel records.
- State Governments are invited to nominate one person for the course every year. In the event that there are insufficient nominations, as has been the case every year to date, it is then rather late in February to invite additional nominations from the States.
- There is some resistance at the State level to the MUAE inviting nominations directly from municipalities, corporations. MUAE informs the Principal Secretary of the Department (Public Health, Urban Development or Water Supply). While direct communication with the local bodies would no doubt facilitate information flows, protocol requires that these nominations be invited and then vetted at the State level.

A detailed picture of the different institutional arrangements for providing water and sanitation services at the state level and best state-wise estimates of the target participant group are provided in Annexe 7.



#### 4.7 Programme Design and Delivery

- Meetings with past participants on the course during and between the two phases of the review, have confirmed the team's view that the MDSUPHO programme is a thoughtfully designed and skilfully delivered product with a number of evaluation benchmarks built into the programme.
- Apart from the deliberate change in direction in MDSUPHO after 1995, WEDC have continuously modified and developed the programme in response to participant's suggestions and based on the perceived changing training needs of water sector organisations in India. The modifications have been made in the context of changes in water sector practices internationally and based on information gleaned during the previous Indian MDSUPHO case studies and separate research and development contracts carried out by WEDC in India and elsewhere. A summary of the 1997 programme contents can be found in Annex 8.
- The WEDC project leader and course champion since its inception. Richard Franceys has been mainly responsible for the skilful planning and delivery of the course and has been the project leader and champion since its inception in 1997 right upto the 1997 programme.
- The programme design and method of delivery has been documented on different occasions over the years. The first comprehensive summary of the MDSUPHO programme has been compiled by the review team, including all the component parts (see Annex 9).
- WEDC have initiated a series of continuous evaluation techniques and methods at different times during the programme. This very much supports the key purpose of the programme to review and reinforce key management and financial principles. Participants are not given a pre-course review to assess their knowledge, capabilities and experience at entry point. This limits the benchmarking opportunities of the evaluation process. Also, there is no formal tutor evaluation carried out of the participants.
- As regards content, several participants recommended strengthening the gender and environmental components of the programme. MUAE stressed the importance of adding *community participation* to the course content, as this would be key factor in supporting change and ensuring sustainability. The review team also felt that an appreciation of how individuals learn and the softer skills of the workplace mentor or trainer could usefully be added.



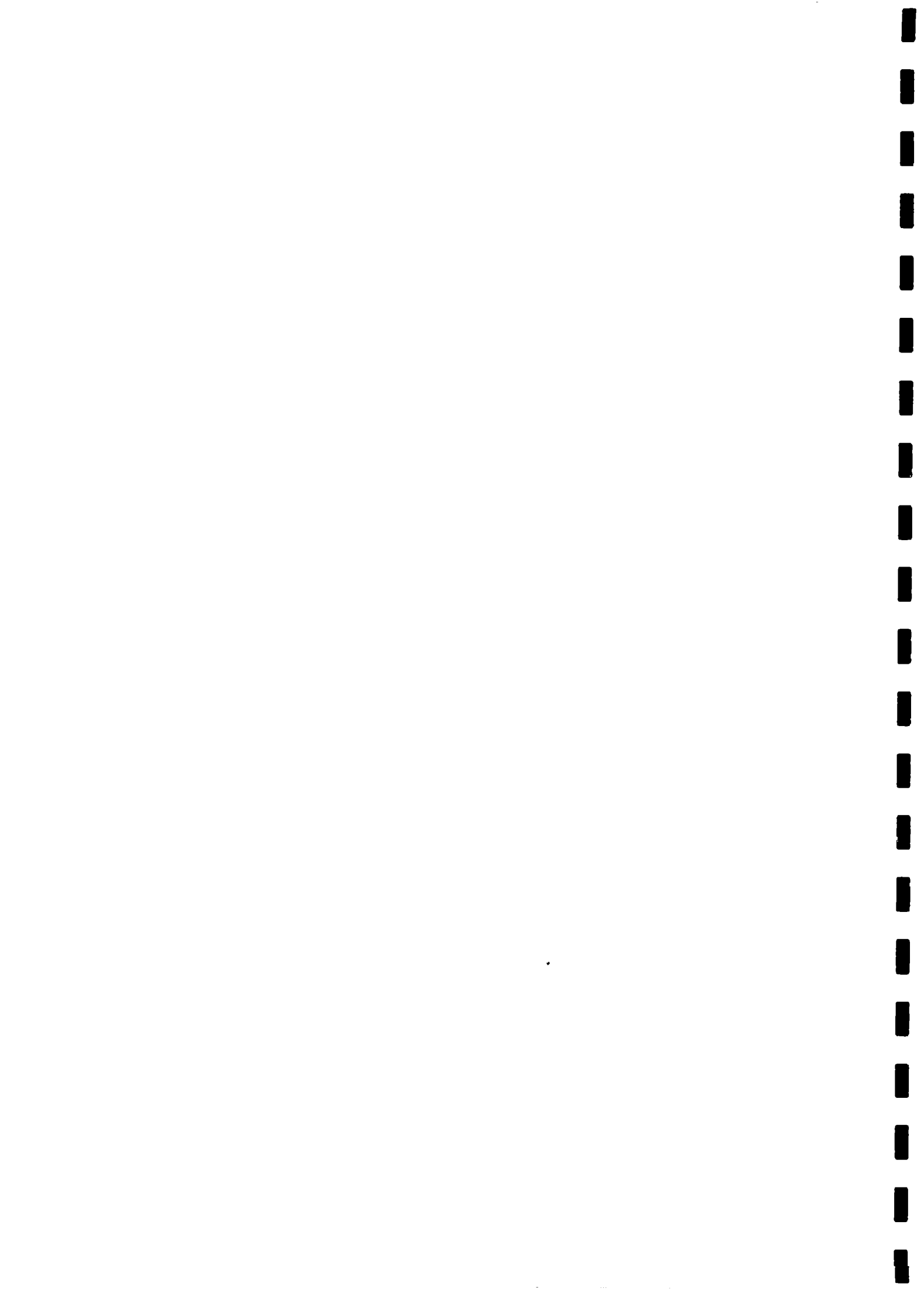
#### 4.8 The Transfer Process

The transfer of MDSUPHO to an Indian Provider had been initiated in 1995 by inviting three ASCI lecturers to attend the programme as participants. Unfortunately, for various reasons, little else had been done to develop a detailed plan of action to transfer the programme. It was therefore impossible to achieve the originally target, as proposed by WEDC, to effect a satisfactory transfer by 1999.

As a result, when the review team investigated and assessed the present state of transfer, it was agreed that the training providers, WEDC and ASCI should meet in Delhi to jointly draw up a costed course transfer action plan for further consideration by the key stakeholders. Details of the proposed plan are given in Annex 10.

The key points arising from this proposal are as follows:

- 1 The transfer will commence in 1998 and continue in earnest in 1999 with a decreasing level of support from WEDC over subsequent years.
2. In 1998, ASCI will contribute to the Phase I leg at WEDC, UK, take responsibility for the phase 2 Fieldwork leg in India and have an increasing involvement in Phase 3 at ASCI.
3. The additional cost estimates for MDSUPHO in 1998 are approximately £ 20, 000.
4. Key outputs planned as activities of the 1998 transfer process are:
  - Exchange of Phase I training notes/materials between WEDC and ASCI
  - Development of session plans and delivery of some of the Phase 1 lectures by two ASCI staff
  - Phase 2 case study prepared by ASCI
  - Orientation of ASCI trainers to Indian WSS sector in Phase 3
  - Preparation of outline of training manual to be used in transfer process
  - Preparation of training packs for past participants
- 5 Important components of the transfer process to be considered in future years include:
  - Update of detailed costed transfer programme
  - Development of MDSUPHO marketing strategy
  - Training of trainers course for ASCI staff
  - Preparation of joint training manual, session plans, Indian case studies
  - Promotion of water sector change management workshop at ASCI



6. The team recommends that the transfer process be carefully monitored through a combination of participant observation and external moderation. This is important not only as a quality control mechanism but also to enable and assist ASCI in the transfer process. The moderation inputs should be available long after the programme has been taken over completely by ASCI.

#### 4.9 Evaluation of Impact

An assessment of the benefits and impact of the programme was undertaken by the review team using the following approach:

1. **MUAE** - By discussion with key officials, to determine the perceived success factors and to assess and quantify the benefits.
2. **State Water and Sanitation Organisations, Municipal Corporations and Municipalities** - By discussion with key officials from a cross-section of different organisations, to determine the success factors and quantify the benefits. Also examples of organisational impact was obtained from past participants and independently from their managers. Information was also provided by WEDC.
3. **Past Participants** - Feedback from past participants was obtained using a questionnaire (Refer Annex 11). The 1996 and 1997 participants were taken to be the target group because the 1991-1995 annual programmes were designed differently. Wherever it was practical, systematic feedback was also sought from pre-1996 participants. Documentary evidence was also provided by WEDC.

Out of a total of 81 past participants, 35 or 43% of the total were asked to complete the questionnaire. Of these, 75% were 1996 and 1997 participants. Follow up face-to-face interviews, group interaction and telephone interviews were also made with about 20 participants. Unfortunately, only one past participant from the North East states completed a questionnaire, because the timing of the review also coincided with the preparation for national and state elections and visits to/communication with that region were not possible.

A summary of the main points arising from the assessment of impact concerning the three key beneficiaries are given below:

##### **MUAE**

- MUAE regard MDSUPHO as their premier programme because it is national, has an overseas component and is tailored to meet Indian senior management development





requirements in the urban sector.

- Key officials are aware of the programme and its benefits and methodology
- MUAE have sent 1 past participant from CPHEEO, its advisory wing. Stated benefits gained include contributions to training course development, design and delivery for state programme and internal cascading and dissemination of information particularly Information Technology and systems.

*Demonstrable impact has been derived by MUAE. However, greater impact at MUAE could be derived by*

- *Taking a greater participatory role in MDSUPHO reviews and the direction in which the programme should develop, in order to reflect the urban sector priorities as perceived by MUAE*
- *Reviewing and discussing the common rural and urban sector human resources needs and interventions with appropriate Ministries and other interested parties such as DFID*
- *Critically reviewing nominations received from the states*
- *Identifying weaknesses in the nomination process, consulting other stakeholders and taking action as necessary*

### **State Water and Sanitation Organisations, Municipal Corporations and Municipalities**

1. MDSUPHO is known and promoted in certain states particularly for engineers. It is considered to be a very worthwhile programme.
2. The candidate selection process is usually by seniority and not always by merit.
3. Few municipal corporations or municipalities have been able to nominate candidates because they are not informed and due to other inadequacies in the nomination process
4. There were instances given where senior managers had resisted the transfer of MDSUPHO candidates to other posts so that they could put their new ideas and skills into practice



5. Many examples were given of impact upon the state water and sanitation organisations that have been promoted and implemented by MDSUPHO candidates which include:

- introducing new systems such as project management, MIS, materials management
- initiating private sector participation by awarding service contracts or term contracts
- changing attitudes at senior management level related to improving the performance of the organisation, introducing customer surveys, systems to disseminate key information and accountability etc
- cascading information and techniques and participating in team training
- identification of future training needs

6. There are a number of examples where MDSUPHO candidates and others have identified organisational constraints to change management, many of which are neither new nor confined to the situation in India. These include:

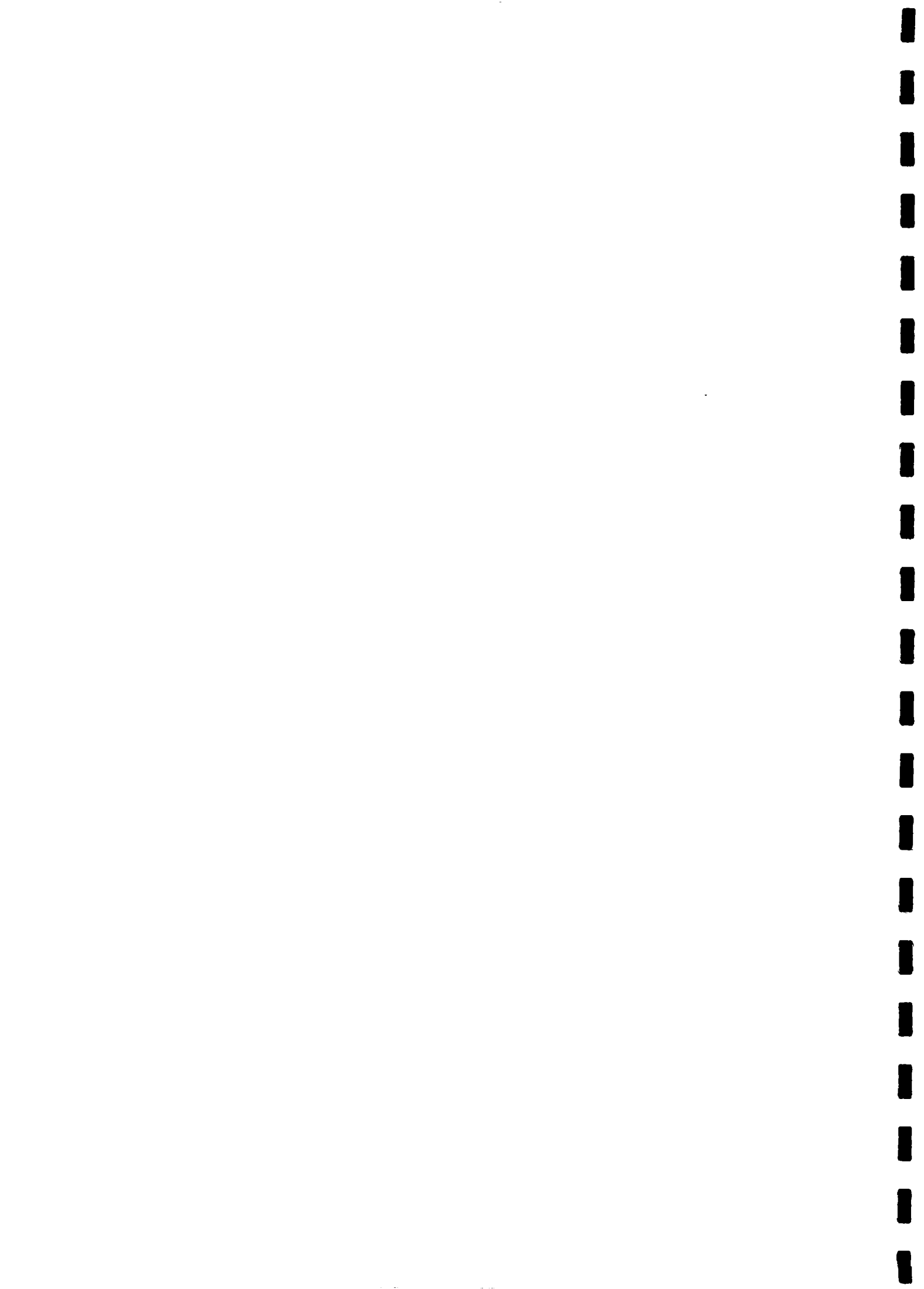
- bureaucracy
- unions
- political will
- resistance to change through a general negative attitude, individual conflicting interests and unwillingness to take risks
- lack of understanding of performance indicators and impact/sensitivity of policy decisions by politicians, IAS officers and other professionals such as finance, administrative and public health officers
- lack of critical mass of change agents in an organisation to trigger change
- lack of a performance and incentive-based career structure

Generally, the pace of internal change in these organisations is slow. The same applies to external interventions where in many cases private participation is only just beginning. Change often takes place on a pilot basis and only in those instances where some of the constraints outlined above do not apply e.g. new sewage treatment works.



*There are many examples where benefits have been accrued by State Water and Sanitation Organisations but much less so by Municipal Corporations and Municipalities. However, greater impact could be derived by*

- Raising awareness of what financial viability and sustainability means. The different types of private sector participation, their strengths, weaknesses and appropriateness and what internal systems need to be in place to manage and monitor them. The target groups for short interactive workshops are politicians, IAS officers and senior managers*
- Improving the candidate selection process by MUAE issuing selection guidelines and the state department of urban affairs offering places accordingly.*
- Compiling MDSUPHO trainer's resource packs including tips and hints on good presentations Available on demand. All past participants should be informed of their availability*
- Examining ways of creating, by demand, a critical mass of change agents within a state or individual organisation. Trigger mechanisms might include raising capital investment loans with HUDCO and similar financial organisations where organisational efficiency gains are one of the conditional terms.*
- Reviewing how a performance and incentive-based career structure can be introduced.*



## **Past Participants**

- Areas which were found to be particularly valuable included project planning, economics, performance indicators, inter-personal and management skills, MIS - financial analysis and data handling and human resources development.
- They found the informal interactions between each other and the tutors to be very beneficial.
- Many past participants saw their main contribution in the role of internal trainer and the disseminator of ideas and information about new systems and good practices. There were many examples of how this had been done.
- They also were able to improve the individual performance of their staff. Typically they felt that they had influenced or cascaded information to between 10 and 100 staff and many requested help to do more.
- About 25% of the past participants gave concrete examples of where they had contributed to internal and external interventions which had changed working practices or improved the responsiveness of their organisation.
- Some participants had identified possible areas for change which they were willing to pursue but needed further advice from/interaction with experienced practitioners on risk-related matters such as setting up performance contracts and legal considerations and on tried and tested technology before they could start to take the next steps.
- About 75% of past participants had not been promoted since attending MDSUPHO. A large percentage were still working in posts of influence including two examples of working in training organisations where they recognised that they were in a position to influence a large number of professionals.

*Typically past participants now saw themselves as managers and leaders who felt they had been enlightened by the MDSUPHO experience, pointing to the structured overseas visit and thought provoking delivery methods as the most valuable part of the programme.*

*At least 15% of past participants contacted found that they were unable to act as change agents at the present time because of the constraints imposed on them by their organisation.*

*Experience shows that it is often difficult and potentially a high-risk strategy for one person in an organisation to suggest changes on their own initiative without a senior manager endorsing these initiatives.*





*Interaction with a large sample of past MDSUPHO participants provided many examples where benefits have been accrued by them as change agents in their organisations. Possibilities to make greater impact include:*

- An alumni network of past MDSUPHO participants to exchange information, act as a forum for consultation and possible future collaboration. To encourage ownership, a prospective membership workshop should be arranged to discuss the aims and objectives and explore/agree detailed resources and working arrangements if an Indian co-ordinated and managed alumni network is to be formed. The network could also act as a way of promoting MDSUPHO to prospective future participants*
- Development of short refresher courses or briefing notes to satisfy the training needs of past participants. Topics identified include systems to manage and monitor the performance of contracts, training of trainers, personal management skills, financial management systems and management accounting, customer survey techniques, solid waste management and low cost sanitation and new ideas and lessons learnt from private sector participation*
- Developing a self-financing database of experts with a range of technical and managerial skills and expertise who could be consulted to assist and interact with past participants to support their management of change agendas*
- Added support for MDSUPHO trainer's resource packs.*



#### 4.10 Value for Money

Detailed cost estimates were prepared to determine the annual fixed and variable MDSUPHO costs. The summary is given below. Refer Annex 12, for details on fixed and variable costs

Item	Total Costs Pounds Sterling
Annual Fixed Costs	60800.00
Annual Variable Costs	70070.00
Grand Total	130870.00

Note. All costs are based on 1997 rates

1. These costs indicate that for a programme of 12 participants (the average number in the previous years), the programme costs are £ 10 906 per participant. Of this about 95% of the total cost is borne by DFID
2. The unit costs for this programme are high. However, in addition to the evaluation of impact detailed above, it would be instructive to consider spreading the costs by taking account of the information cascading opportunities that past participants avail of.
3. Past participants have teams of between 5 and 100 people working directly for them. The average number is approximately 20. If it is assumed that 50% of the past participants cascade information to their team of 20 and assuming there is a 5 % success rate in information transferred then this shares the programme cost per participant with the equivalent of a further half person and hence reduces the cost to £ 7 270 per participant.
4. This is a far more acceptable unit cost which can be made even more cost-effective by:
  - Developing training resource packs to be made available on request to past participants
  - Including in MDSUPHO a session on how people learn and good presentation and delivery techniques
  - Considering alternative ways of using course materials to offer short refresher courses or tailored, demand-led training interventions where MDSUPHO resources are used as source material



#### **4.11 Capacity of Indian training institutions to become lead programme training provider, administrator and champion.**

1. The purpose of the present stage of MDSUPHO was to transfer the programme to an Indian training institution, which would develop the programme in the future. The intention was to manage the transfer process progressively over four years.
2. The project had been set up on the assumption that ASCI would assume this role and take over the programme from WEDC.
3. ASCI had been identified by the project as the Indian institution that would potentially, take over the course from WEDC. ASCI is a respected training institution in the management sector but with no demonstrated experience in the water and sanitation sector.
4. At the commencement of the review, the team found no evidence of any plans for transfer or for the development of ASCI as a partner for transfer of the course. In response to the prioritising of these issues by the team, ASCI together with WEDC have subsequently detailed their plans for capacity building and transfer of the programme. (See Annex 10)
5. Although the review team still has doubts about ASCI's ability to develop this sectoral expertise, it is nevertheless encouraged by the demonstrated commitment of the identified ASCI course champion, Mr. Srinivas Chary and the Dean, Dr. Raju on this front. ASCI's learning experience and capacity building initiatives in positioning itself as a prime training provider in the power sector should also prove invaluable. ASCI has the reputation of being a leading management training organisation which in the past focused on the public sector but now has a significant number of private sector clients. They intend to market a sectoral approach to management training, research and consultancy and have started this process in the power sector.
6. The review team was unable to identify any alternative Indian institution, which combines management training skills with sectoral expertise. Sustained support will be required to develop the unique blend of skills required for successful delivery of this course.
7. There are a number of water-sector, training institutions at state level and these tend to focus mainly on technical training programmes. Preliminary investigations have also revealed that there are some state-level institutes that are well-poised to deliver an adapted version of the MDSUPHO programme. During meetings organised by the review team in Maharashtra and West Bengal, interest was expressed in adapting the MDSUPHO course for executive engineers and in transferring this course to the regional training institutes (NRTC and AILSG - Maharashtra and AIIPH and ILGUS - West Bengal).

The review team undertook a preliminary investigation of various management/WSS training providers in different states. The details are set out in Annexe 13.



#### **4.12 Benchmarking against other DFID-funded training programmes in India**

The project team investigated the lessons learnt in two other DFID-funded training programmes that have been transferred to India. DFID has also commissioned a review of the Ground Water Development Course, the findings of which will be available shortly.

##### **A. Solid Waste Management**

The SWM course was transferred from WEDC, Loughborough University, UK to All-India Institute of Local Self-Government, Andheri, Mumbai, over a period of four years. The course director is Ms. Sneha Palnitkar (AIILSG faculty).

##### Transfer Process

- DFID support, assured for a period of 4 years facilitated transfer.
- Ongoing support from Adrian Coad (who designed the original course).
- Local course champion at AIILSG, Ms. Palnitkar.
- Excellent co-operation between MUAE, BMC, AIILSG, BC & DFID.
- The Institute is able to assure participation from all over the country for its annual ministry-sponsored national SWM programme.

##### Success Factors

- A critical mass of trained engineers available, who act as on-going trainers.
- A dynamic and well-connected course co-ordinator who is a specialist in SWM
- One or two SWM fellows in influential positions (e.g. CE-BMC)
- AIILSG maintains close contacts with local bodies all over the country. This network and current database helps guarantee good numbers on all its courses.

##### What could be improved

- Residential facilities at AIILSG are not of the highest standards.
- Insufficient resources with AIILSG to develop case studies, resource packs/audio-visual material to support the course.
- Lack of interest from DFID in post-handover phase.

##### Positioning

- AIILSG is completely autonomous in its functioning.
- Training is a not-for-profit activity.
- Demand-led approach to training. Today it caters mainly to government and NGO needs but is open to more interaction with the private sector.
- Participants are charged Rs. 3,000 for 10 days. The shortfall is subsidised by MUAE
- SWM course is delivered in an adapted form to suit local conditions (e.g. Nagpur, Pimpri-Chinchwad, Thane, etc.)





## **B. Management for Sustainability**

The MFS course was transferred from IRC (The Hague) and MDF (Ede) in the Netherlands, to Nashik Research and Training Centre, Nashik, Maharashtra. NRTC runs two courses a year with the help of external course facilitators. The course is run over three weeks for about 22 participants.

### Transfer Process

- IRC has been involved in an on-going support role over three years.
- Inneke von Hoof (IRC) has been the overseas champion for effective transfer.
- There is no local champion who can manage the course on behalf of NRTC.
- There was an attempt to create a pool of resource persons for the MFS through a series of DFID sponsored TOT in the Netherlands
- Only 2 of the 6 persons trained have been available for facilitation of courses.
- The course is designed for executive engineers, medical officers, etc. It is however, proving difficult to attract participants of the desired level.
- The course is sponsored by the GOM for participants from the State. It is now proposed to market the course to other State Governments and donor organisations.

### Success Factors

- Sustained support from DFID to the transfer process over three years.
- Simultaneous to the transfer process, a pool of trainers was built up
- Recognition and appreciation within the GOM of the strategic importance of the course and its potential benefits.
- Good support within NRTC for all logistical arrangements

### What could be improved

- Residential facilities at NRTC are not of the desired standard.
- The process of nomination has not produced candidates of the level for which the course was designed.
- There is a need for a course –in-charge with the vision to shape the course and continually revise and update content as and when required.
- Consultants are appointed only to deliver. No additional inputs are solicited
- Marketing of the course has been half-hearted and unprofessional.
- NRTC's strength lies in delivery of training of a technical nature. It has failed to appreciate the interdisciplinary nature of the MFS course. As such the innovative and challenging aspects of the course have not had any spin-off effects on other existing or new courses.



### C. Groundwater Management for Rural Water Supply

The GMRWS programme was transferred from Scott Wilson Kirkpatrick/Thames Water to the Gujarat Jalseva Training Institute ( GJTI) in 1997. The transfer process commenced in 1993 with a training of trainers programme. In 1997 the joint course directors were Messrs Bhatnagar and Shukla assisted by Mr Baldwin of SWK.

#### Transfer Process

- DFID support was provided over the five year transfer period. Support included formal and hands-on training of trainers programme, marketing, course design and development to change to All India programme, course management, presence and contribution of UK trainers and SWP UK based advisory service.
- The local course champion is Mr Bhatnagar at GJTI. UK course champion is Mr Jim Baldwin which is highly motivated and willing to devote SWP time and effort to ensure a successful and sustainable transfer
- Good co-operation between the primary stakeholders - Ministry of Rural Affairs and Employment, Rajiv Gandhi Drinking Water Mission, DFID/WSO, Gujarat Water Supply (GWSSB) and Sanitation Board, SWP and also secondary stakeholders such as BCD.
- The target group was Executive Engineer level. However, since the programme has been modified from a UK/India design, there has been a lowering of the age and seniority of the participants.
- GWSSB and influential past participants have continued to promote and support GMRWS.
- During the transfer process. GMRWS became a regional programme with about 75% of participants coming from Gujarat state or neighbouring states. It is debatable whether it has ever been a national programme.

#### Success Factors

Participants are regularly drawn from a number of key organisations working in the groundwater sector including public health engineering departments, groundwater survey and development departments, central groundwater board and the space application centre.

The transfer process has produced a small team of highly motivated GJTI trainers built up and supported by a large group of associates who are practitioners and participants.

The all India programme continues to emphasise a group field leg where an integrated approach to catchment management can be demonstrated.

GWRS continues to be sponsored by both MRAE and GWSSB. In the case of GWSSB, the sponsorship given, is within the overall financial support of GJTI



Past participants have given a number of examples of how they have been able to increase their awareness of integrated catchment management in rural development programmes;

There are a number of past participants who now occupy senior positions of influence in their organisations in different states.

### Enhancement and Multiple Effect

GJTI affairs are managed by GWSSD and it does not operate as an autonomous body. There are positive and negative sides to this. If GJTI wishes to grow to a centre of national technical excellence, it needs to examine different ways in this can be achieved and the risks and opportunities that this goal may attract. Issues that will have to be addressed include:

- Training and development continues to be considered to be in the backwoods and therefore GJTI cannot attract the right people to join.
- Insufficient GJTI senior management vision to take the organisation forward.
- Lack of career opportunities offered for staff who are transferred to GJTI and limited prospects of internal career progression;
- Insufficient motivated trainers and support staff to develop new capacity to meet future demand.

If there is a commitment to change within GJTI and GWSSD, it will be necessary to attract donors for them to work in partnership to increase institutional capacity. Inevitable business plans must be drawn up and implemented.

Irrigation is probably the largest user of groundwater resources which continue to be developed in an unregulated manner. More professionals need to be aware of the integrated catchment approach particularly those working in the irrigation sector. One contribution would be to consider whether GWRWS could be transferred to an organisation such as the new Groundwater Management Training Institute at Indore run by the irrigation sector.

Past participants recognised the value of a number of initiatives that would be of benefit to their own alumni group e.g.

- Forming an alumni network to exchange ideas and keep in touch
- Developing refresher courses on a demand basis to meet special state level technical groundwater needs
- Short course (2-day) courses for senior staff such as superintending engineers to raise awareness of groundwater related issues
- Better ways of preparing project proposals to win funding to implement catchment management schemes

Implementing some of these initiatives may require further DFID support.



## 5. Assessment of Present MDSUPHO Programme

1. The decision to carry out a formal project review of MDSUPHO to coincide with the 1997 programme review and reinforce leg was very timely considering the initial findings of the review team.
2. The overall project aims and objectives are considered to be well intentioned and are still appropriate although the project logframe should be revised since in its present form the goal to purpose through specified inputs and outputs cannot reliably be met.
3. There have been a number of shortfalls in the performance of the secondary stakeholders caused in part by the lack of a comprehensive set of roles and responsibilities communicated to each other.
4. Since 1991, the programme has been thoughtfully designed, delivered in a responsive, interactive manner with a number of evaluation benchmarks built into the programme
5. There is strong, positive participant support over a number of years, which demonstrates the quality of delivery and appropriateness of content.
6. The MDSUPHO programme responds to a critical demand for capacity building in the Indian water sector. Recent initiatives in the water sector for cost recovery and private sector participation in different states, underline the value of this HRD initiative
7. The transfer process has been set in motion with the preparation (by ASCI and WEDC) of a four-year proposal for transfer, detailing out costs, roles and responsibilities of all stakeholders concerned.
8. Steps were taken to manage the nomination process more effectively for 1998, through meetings with MUAE, DEA, state governments and some municipal corporations and municipalities.





## 6. Conclusions and Recommendations

*The review team concluded that MDSUPHO is an excellent product that fulfils a critical human resource development need in relation to water sector reform in India. As such, the team is persuaded that a continued high level of support to this programme and/or similar initiatives is well advised.*

1. It is recommended that DFID meet with the DEA and the MUAE to present the review team's findings and recommendations and discuss the options for the way forward. The options are:
  - a. Stop support to MDSUPHO in 1998 or 1999, following a token attempt at transfer.
  - b. Extend support along the lines of the transfer proposal and concentrate on transferring a modified MDSUPHO and no more. Enable ASCI/WEDC to develop a market.
  - c. The third option is based on extended support to the current programme as well as to potential spin-offs and opportunities for cascading benefits:
    - Retain the national programme
    - Expand the target group to participants from south and south-east Asian countries
    - Support demand-based short sub-programmes at the state-level
    - Consider new programmes at different levels
    - Develop the MSc option along with refreshers
    - Consider the creation of an alumni network
    - Exploring the HUDCO and other links
2. Subject to recommendation No. 1 above, the project logframe should be revised jointly by DFID, WEDC and ASCI so that outputs are realistic and achievable. It is recommended that the MUAE confirm its commitment to the revised logframe.
3. The team recommends that precise Terms of Reference for the transfer process be drawn up, specifying the time frame, roles and responsibilities and contractual obligations of all stakeholders involved.
4. A contract should be drawn up between DFID and ASCI incorporating if possible, a Memorandum of Understanding between WEDC and ASCI specifying the main areas for collaboration.
5. The proposed plan for transfer, prepared by ASCI and WEDC (see Annex 11) is finalised by, and receives the commitment of, DFID and MUAE at the earliest.
6. It is recommended that the detailed plan for the 1998 programme be finalised and agreed to by all stakeholders by 10 March, 1998.



7. The nomination process has not been effective in targeting municipalities and municipal corporations. It is recommended that the DEA/MUAE review the nomination process, keeping in mind this *preferred* target group. The team reiterates the original project target of filling a minimum number of 14 places on the programme every year.
8. With a view to improving the nomination process from a qualitative as well as quantitative point of view, it is recommended that MUAE request the States to develop, maintain and update regularly a computerised database of eligible candidates for training.
9. The team recommends that DFID continue its discussions with the DEA and MUAE on improving the quality and quantity of nominations. The advice of other stakeholders such as BCD, ASCI and WEDC may also be sought in this regard.
10. The team recommends that joining instructions be sent to participants immediately following confirmation of candidature. The team endorses ASCI's recommendation of holding a briefing meeting in Delhi, prior to departure for all participants.
11. The team recommends that at the end of the third phase in Hyderabad every year, two days be allocated by WEDC and ASCI to reviewing the past years' programme and preparing the action plan for the following year.
12. The team also recommends a meeting between all the stakeholders (DFID, MUAE, BC, ASCI & WEDC) in New Delhi, following the Hyderabad leg in December 1998, to discuss the forward programme and review the past years course.
13. It is recommended that ASCI and WEDC prepare a forward plan for 1999-2000 including a detailed budget (proposal for additional support where required).
14. The team recommends that WEDC and ASCI also outline the components of the envisaged transfer for the period 2000 - 2005 and prepare a proposal, detailing support where required from the MUAE and DFID.
15. The second logframe output specifies the strengthening of a local institute to conduct programmes similar to MDSUPHO. This will require sustained support and collaboration. The team recommends that DFID and MUAE review their strategic interests in this regard and make a decision on the length and level of support they are prepared to commit to realise this objective, on the basis of the proposals submitted by ASCI and WEDC.
16. The current target group for MDSUPHO is almost entirely restricted to SEs. The team recommends that thought be given to including finance and revenue officials in water Boards, corporations or departments on the course. Additionally, thought may be given in



the future to adapting the course to accommodate medical officers and other non-engineering public health officials.

17. There are few, if any women at the superintending engineer level. The team recommends that, if the course is broad based to include medical and revenue officers, women be given preference as participants on the course.
18. It is recommended that the third logframe output i.e. the revision of Public Health Engineering Courses to include management and finance topics, be treated as a separate project with its own scope, design and time frame. The team feels that if a long-term view of the change process is taken, the MSc programmes are a key area for multiplying impact.
19. The team is of the view that trainers resource packs for cascading the benefits of training to colleagues are an urgent need. It is recommended that WEDC and ASCI put together the same in response to the repeated demand of past participants. The suitability of off-the-shelf packs, produced by EDI or other organisations may also be reviewed in this regard.
20. The evaluation of impact has shown that it is very difficult for returning fellows to initiate change in isolation, within an organisation. The team recommends that the issue of critical mass be seriously considered in i) the nomination process ii) targeting within an organisation, state, region iii) providing opportunities for on-going sharing, support and feedback for MDSUPHO alumni.
21. The roles and responsibilities of each stakeholder must be communicated, agreed upon and signed into contracts or terms of reference. It is recommended that WSO play a more proactive and monitoring role in this regard.
22. It is recommended that DFID and WSO review the latter's mandate for human resource development including training with a view to furthering DFID's strategic objectives in the sector
23. The team recommends that DFID undertake a training needs analysis of the water sector for its focus states and states of current interest in order to better understand urban and rural HRD needs.
24. The review team interacted with several government and external funding agencies that are currently looking at HRD for the water sector. It is strongly recommended that DFID maintain close contact and share information and experiences with DANIDA, the Netherlands Assisted WSS Training Initiative, the Rajiv Gandhi Drinking Water Mission, UNICEF, RWSG – SA and others in the sector



## Recommendations for Transfer

1. Thus far there was no clear understanding of the transfer process, what it entails and how it would be undertaken. The team recommends that the providers (WEDC & ASCI) understand and set out in detail the process of transfer of i) the content ii) the pedagogical approach of the course. (See also Annex 14 – points for transfer)
2. It is recommended that ASCI adapt the material for transfer by developing and incorporating more Indian case studies and experiences.
3. ASCI will also need to adapt the course structure over a five-year period in order to ensure long-term financial sustainability (initially reducing the length of the UK leg and later transferring the course completely to India).
4. The team also recommends that ASCI recognise the need for ongoing development and adaptation of the programme to respond to changing circumstances or demand
5. The team is of the view that the success of the MDSUPHO programme is in no small part due to the skilful course facilitation that ensures a mix of lectures visits, interactive sessions and simulation exercises. The training methodology has been instrumental in sustaining the interest of the participants. As such, the team recommends that a Training of Trainers component be developed and conducted by WEDC, for the group of six designated resource persons at ASCI (in the latter half of phase III, in Hyderabad). The TOT would look at course planning and content, pedagogical approach and methodologies.
6. The team recommends that a training manual be developed as an ongoing guide with sections relating to both tutors and participants. This would not be a blueprint document but rather a working reference tool for facilitators of the MDSUPHO programme. It is suggested that the outline for this manual be developed in November 1998, at ASCI during Phase III of the programme this year.
7. The nomination process as detailed earlier has been unable to fill the optimum number of places on the course. The team feels that an effective marketing strategy would help in disseminating information about the course as well as attracting non-governmental candidates on the course. With a view to long-term financial sustainability of the programme, the team recommends that this be explored further. It has been suggested that state governments could eventually sponsor their respective candidates in addition to ASCI inviting NGOs and the private sector to sponsor nominations.
8. The team recognises that for a training institute to fully realise the benefits and opportunities generated by one training programme, it must develop into a centre of excellence, in this case, for the Water sector. This would imply that training links into on-





going action research, consultancies which in turn feed back into programme development. The team recommends, that following the December 1998 review meeting, ASCI's proposals in this regard be reviewed further.

### **Other Opportunities for Support**

1. The team also recommends the setting up of an alumni network to facilitate communication and interaction between past participants. This would be a stimulating follow-up to the actual training programme.
2. The DFID sponsored British Council-regional engineering colleges initiative supports the development of facilities, course materials etc To 8 regional engineering centres. This could prove a valuable link with the MDSUPHO programme and the team recommends that it be investigated further
3. The MUAE sponsors and promotes technical refresher courses that are delivered by various academic institutions. The team endorses the Ministry's suggestion that there are opportunities here to supplement these refreshers to include management inputs.
4. HRD cells are being developed in all states. The profile of these cells needs to be raised at the state level so that they are more than administrative bodies that maintain records. These HRD cells could play a pivotal role in emphasizing the importance of human resource management systems to :-
  - raise the status of government officers
  - reduce hierarchies
  - motivate and improve performance
  - develop career structures based on skill
  - restructure organisations where necessary.



**ANNEXURES**



## **Annex 1. Persons Met**

1. Dr G Gujral, Environment Projects Manager, BCD
2. Dr Archana Walia, Assistant Project Manager, BCD
3. Mr Piet Van Heesewijk, Senior Institutional Development Advisor, BDCOD
4. Mr T N Shankar, Principal , ASCI
5. Mr K S Ramesh, Dean. ASCI
6. Dr. B. Yerram Raju. Dean of Studies, ASCI
7. Mr N S L Kumar, Registrar and Secretary, ASCI
8. Mr Tripathi, Deputy Secretary, Urban Development, MUAE
9. Mr B S Minhas, Joint Secretary (WA), MUAE
10. Mr R Bhatnagar, Director, Dept. of Economic Affairs
11. Mr Sudhir Kumar, Under Secretary, Dept of Economic Affairs
12. Ms Ann Bailes, First Secretary, Development Services, BCD
13. Dr Richard Franceys, WEDC, Loughborough University, UK
14. Mr. Kevin Sansom. Programme Manager (Institutional), WEDC
15. Dr Bowonder, Dean of Research and ITC Chair Professor. ASCI
16. Mr. Srinivasa Rao, Engineering Consultant, Urban Poverty Office
17. Ms. Alison Barrett, Head, Urban Poverty Office, DFID, New Delhi
18. Ms. Kamal Singh, Management Projects Manager, British Council, New Delhi
19. Mr. Piers Cross, Regional Manager, RWSG-South Asia, New Delhi
20. Ms. Barbara Evans. RWSG-South Asia, New Delhi
21. Dr. Meera Mehta, Senior Urban Finance Advisor, FIRE, New Delh
22. Mr. Ramnath Jha, Municipal Commissioner, Pune Municipal Corporation
- 22.Mr. Kerkar, Training Officer, PPMU, GOM, Mumbai
- 23.Ms. Yogini Deokule, Accounts Officer, MJP, New Bombay
- 24.Ms. Sneha Palnitkar, Faculty, All India Institute of Local Self Govt., Mumbai
25. Mr P K Pradhhan. Calcutta Metropolitan Development Authority
26. Prof R G Choudhary, Technical Teacher's Training Institute, Bhopal
27. Mr. K B Patel, Gujarat Water Supply and Sewerage Board
- 28 Mr. Arvind Malhotra, Housing and Urban Development Corporation Ltd.
29. Dr Vinod Tewari, National Institute of Urban Affairs
30. Mr. V Channa, Ex Chairman, Uttar Pradesh Jal Nigam
31. Mr. S.Dhadopkar, Chief Engineer, Training, PHED, Bhopal
- 32 Dr John Calvett, Loughborough University Business School
33. Dr Jeremy Parr, WEDC. Loughborough
34. Mr. Alistair Wray. DFID, London
35. Mr. Mark Harvey, Engineering Field Manager, DFID, London
36. Dr Rana. Director, HUDCO
- 37 Mr Sunder Burra, Society for Promotion of Area Resource Centres, Mumbai
38. Mr. Anoop Kumar, Yashada, Pune
- 39 Mr. G. C. Sharma, Principal, Nashik Research & Training Centre, Maharashtra



- 40 Prof. K. J. Nath, Director, National Institute of Hygiene & Public Health, Calcutta
41. Dr. J. C. Agarwal, Dean – Academic, Motilal Nehru Regional Engineering College, Allahabad, Uttar Pradesh
42. Dr. Reema Devi, Indian Institute of Technology, Civil Eng. Dept. New Delhi
43. Dr. Hallada Gowda, Prof. Jai Maichandra College Of Eng. Mysore, Karnataka
44. Dr. Jai Deva, Head, Civil Eng. Dept. Jai Maichandra College of Eng.. Mysore
45. Dr. S. R. Shukla, Adviser Central Public Health & Environmental Engineering Organisation, MUAE
46. Mr. B. B. Uppal, Dy. Advisor (Training), CPHEEO, MUAE
47. Mr. Sukante Icar, Scientific Officer, CPHEEO, MUAE
48. Mr. Ben Mellor, development Officer, DCOB-DFID, New Delhi
- 49 Mr. Brian Baxendale, Head, WSO, DFID, ND
50. Mr. Ian Curtis, Head (upto 16/01/98), WSO, DFID, ND
51. Mr. Debashish Bhattacharjee, Project Co-ordination Manager, WSO, DFID, ND
52. Mr. Nigel Kirby, Field Manager, WS Engineer, WSO, DFID, ND

#### **MDSUPHO Fellows Met:**

1. Mr V Subbarao, Chief General Manager, HMWSSB
2. Mr A K Gupta, Chief Engineer(E&M), Civil Lines , New Delhi
3. Mr R Sethuraman, Depy Advisor, MUAE
4. Mr A K Bhandari, Director, Punjab Water Supply and Sewerage Board
5. Mr S K Bhattacharya, Depy Director, Calcutta Metropolitan Dev Authority
6. Mr B K Chowdhary, Superintending Engineer ( PHE), Shillong
7. Mr S K Kulshetra, Addl, Chief Engineer ( PHED) Govt of Rajasthan
8. Mr H B Munjal, Superintending Engineer Public Health, Ambala Cant
9. Mr P M Mohandas , Superintending Engineer, Kerala Water Authority
10. Mr Narasimhan Pappu, Member of Faculty, ASCI, Hyderabad
11. Mr Mupalla Narasa Raju, Superintending Engineer, PWD, Goa
12. Mr Gouri Hari Roy, superintending Engineer ( PHE) Govt of Assam
13. R N S Singh, Sup. Engr., Chennai Water Supply & Sewerage Board
- 14 Mr. A.N. Alawani, Superintending Engineer, MJP, Mumbai
15. Mr. Srinivas Chary, Faculty, ASCI, Hyderabad, AP
16. R.K. Sengupta, MED, Superintending Engineer, GOWB
17. Mr. P. K. Mitra, Chief Engineer, Mech. & Eléc., PHED, GOWB
18. Mr. P.K. De, Public Health Engineering Department, GOWB, Sup. Engineer
19. Mr. AK Gupta, Chief Engineer (E&M), Civil Lines, New Delhi
20. Mr. Sethuraman, Deputy Advisor, MUAE
21. Mr. Sudhir Saxena, Superintending Engineer, PHED, Indore
22. Mr Ranjit Kumar Sen Gupta, Municipal Engineering Directorate, Govt. West bengal
23. Mr. Surinder Kumar Khanna, Public Health Dept. Haryana
24. Mr. Avinash Narain Srivastava, Executive Engineer, Lucknow





25. Mr. Vedala Srinivas Chary, Administrative Staff College, Hyderabad
26. Mr. Sudhir Kumar Saxena, Govt of Madhya Pradesh
27. Mr. Bachan Singh Gill, Punjab WS&Sewerage Circle
28. Mr. Vijay Kumar Gupta, Govt of Haryana
29. Mr. Balasubramanyam Muralidharan, Lecturer, ASCI
30. Mr. Triloki Nath Widhani, Manager Training/ Superintending, Lucknow
31. Mr. Prasanta Kumar Mitra, Superintending Engineer, Govt of West Bengal
32. Mr. Udai Vir Singh, Public Health Dept, Haryana
33. Mr. Rajendra Prasad Agarwal, Deputy Manager, Uttar Pradesh
34. Mr. Pradip Kumar De , Executive Engineer, Calcutta Metro Water Board
35. Mr. D R Singh, Executive Engineer, Uttar Pradesh Water Corporation
36. Mr. G C Sharma, Executive Engineer, Maharashtra WSSB
37. Mr V Vikramaditya, Executive Engineer, Ghaziabad Water Dept, Uttar Pradesh

#### **Maharashtra HRD Meeting, Nashik, 8/01/98**

- 1 Mr. A.N. Alawani, Superintending Engineer, MJP, Mumbai (MDSUPHO Fellow)
2. Mr. V. Ranganathan, Chief Secretary, WSSD, GOM, Mumbai
3. Mr. Sanjay Ubale, Deputy Secy., WSSD, GOM, Mumbai
4. Mr. Sagne, Member Secretary (Technical), MJP, Mumbai
5. Mr. K. P. Bakshi, Municipal Commissioner, Nasik Municipal Corporation, Nasik
6. Mr. Pravin Pardeshi, Municipal Commissioner, Pimpri-Chinchwad Municipal Corp.
7. Mr. S. K. Patil, Chief Engineer (WB cell), MJP, Thane
8. Mr. Rajgopal Devara, Chief Executive Officer, Nasik Zilla Parishad
9. Mr. Pol. Executive Engineer, Nasik Research & Training Centre, Nasik
10. Mr. V. S. Rajabhoj, Superintending Engineer, WSD, Nashik Municipal Corporation
11. Prof. Lakshmipathy, Regional Centre for Urban & Environmental Studies, Hyderabad
12. Mr. P. M. Belapurkar, Consultant, DFID
13. Mr. Atul Shahade, Consultant, JPS Associates, Mumbai
14. Mr. Nitin Shitole, CD Advisor, Tata Institute of Social Sciences, Mumbai
15. Mr. Debashish Bhattacharjee, Field Coordinator, WSO, DFID, New Delhi
16. Mr. Vijay Gawde, Field Representative, Engineering, DFID, Nasik
17. Mr. Baban Gharat, Field representative, Community Development DFID, Nasik
18. Mr. James Samuel, Field Representative, Health, DFID, Nasik

#### **West Bengal Meetings, 21/01/98**

- 1) Mr. R.K. Chowdhury, Calcutta Metropolitan Development Authority, Executive Engineer, Water Supply
- 2) Mr. B. K. Sengupta, CMDA, Director General of Operations (Public Health)
- 3) Mr. G. C. Sarker, CMDA, Director, Water Supply



- 4) Mr.S. Chatterjee, Chief Engineer, Calcutta Metropolitan Water & Sanitation Authority
- 5) Mr. Gopal Chandra Banerji, Municipal Engineering Directorate, Sup. Engineer
- 6) Mr. R.K. Sengupta, MED, Superintending Engineer
- 7) Mr. P.K. De, Public Health Engineering Department, GOWB, Sup. Engineer
- 8) Mr. P. K. Mitra, Chief Engineer, Mech. & Elec., PHED, GOWB
- 9) Mr. M.K. Majumdar, Calcutta Municipal Corporation, Chief Municipal Engineer, Planning & Development
- 10) Mr. D. Roy Chowdhury, CMC, Chief Municipal Engineer, Water Supply
- 11) Ms. Ranu Ghosh, Principal Secretary, PHED, GOWB

### **Telephone/E-Mail Discussions**

1. Ms. Sharadabala Joshi, Programme Officer, GTZ, Nagpur
2. Mr Dipak Roy, Project Director, CDD-WATSAN, UNICEF-Bhubhaneshwar
3. Dr. Adrian Coad, IHE, The Netherlands
4. Ms. Christine van Wijk-Sijbesma, IRC, The Hague
5. Mr. Sahariya, Municipal Commissioner, Nagpur Municipal Corporation
6. Mr. G. C. Sharma, MDSUPHO fellow, 1991, Director, NRTC, Nasik
7. Ms. Seema Dhamdhere, Dy. Secretary, Public Health Dept., GOM, Mumbai
8. Mr. D. P. Agarwal, Jt. Education Advisor, Ministry of Human Resource Development
9. Mr. Lal Mal Sawma, Director UGC, Dept. Of Education, MHRD



## **Annex 2      Terms of Reference**

**DEPARTMENT FOR INTERNATIONAL DEVELOPMENT (DFID)**

**T/MDO/122**

**WATER AND SANITATION OFFICE (WSO), NEW DELHI**

### **Terms of Reference for Management Development for Senior Urban Public Health Officials - Project Review**

Draft: FINAL    Authors: Ian Curtis/Andrea Cook      Date: 17 November 1997

#### **1. Background**

The MDSUPHO course is run jointly by WEDC(UK) and ASCI(Hyderabad) and aims 'to develop a cadre of sector managers and trainers who are aware of, and committed to, the need for change management in the sector with a focus on a new commercial and customer orientation'      A logical framework for the training project is attached.

The course is structured around (1) a five week programme in UK followed immediately by (2) an 8 day study visit at a different Indian location each year and followed up later by (3) a review and reinforce leg at ASCI.

WEDC has been involved in running management development courses for Indian water sector professionals for over 10 years. The MDSUPHO project started in 1991 and ran for three years      It was extended by one year in 1994 in order to experiment with a split schedule which included a review and reinforce leg in India some months after the first UK leg.      This one year experiment undertook the field leg component in Madras and the later Review and Reinforce leg at ASCI Hyderabad

In 1995 it was proposed that the project should be taken forward as a 4 year project. There would be a review after completion of the 1995 programme, to help inform the involved organisations and shape the subsequent three years

Out of the first year review came agreement that the course would be progressively transferred to the Indian partner training institute (ASCI). The Ministry of Urban Affairs and Employment expressed their commitment to supporting a transferred training programme. It was agreed that the programme should continue for the planned three years with declining inputs from the UK course provider. The intention is that the programme will achieve a successful handover to ASCI for the 1999 programme to be run entirely by ASCI      In the final year, 1998, following a shortened UK component the fieldwork will include a visit to Malaysia and Singapore (rather than Europe as previously).



## 2. Purpose of Project Review

The main purpose of the review is to assess the impact of the course, and through this to consider progress towards the meeting of project objectives (Purpose and Goal) and a check on the continuing validity of assumptions made at the time the project was designed.

The review team should also consider this training project in the context of DFID's strategic objectives in the water sector in India, and make recommendations for future support to training in the sector

## 3. Outputs of the Review

A review report outlining findings, conclusions, lessons learnt and recommendations, covering inter alia :

### Impact Assessment

- an assessment of the benefits and impact of the course:

*The consultant should develop an approach to a systematic assessment of the impact of this training in terms of stimulating management change, and impact on improved utility performance. This may include interviewing study fellows at the Review and Reinforce leg of the course, or arranging a workshop of past study fellows ( as was done for the Groundwater Management Training Course). An alternative approach would be to use questionnaires or telephone interviews. The training providers (WEDC & ASCI) should be asked to provide examples of impact of which they are aware*

- the extent to which the course is being successfully transferred to ASCI, the process of the transfer, and the underlying philosophy of ASCI should be considered. This should include consideration of capability and commitment of an adequate core group of ASCI staff, transfer and adaptation of training materials, and use of past case studies. It should also examine the extent to which ASCI's plans for running the programme in India are realistic and sustainable.
- the potential for developing this training programme to orientate the next generation of managers of urban environmental service provision. It was intended that this programme would in some way strengthen the management component of Indian specialist courses. To what extent has this been addressed and what possibilities exist? Has there been any impact on the curricula of other courses? i.e. MPHE syllabus. Preparedness to involve Ministry of Human Resource Development?





## Review

- the extent to which the project outputs have been met
- the validity of the original design and in particular whether the linkage between outputs and purpose continues to be sound
- the extent to which risks and assumptions within the logframe, and others that have become apparent during implementation, have affected the success of the project
- the significance of the course in the context of the DFID's water sector strategy for India
- an assessment of costs and value for money
- the process for nomination, selection and attendance of study fellows (N.B. there has been concern that there has not been full take up of places available on the course and proposals for improving course attendance), and identifying any specific constraints to attendance (particularly by women and also by Northern and Central States; which tend to be underrepresented in relation to North Eastern States for example)
- the extent to which the programme has been successful in targeting study fellows (male and female) that will benefit from the programme, and act as agents for change in their own organisations
- the relevance and perceived need for this sort of training to the Ministry, state water boards and municipalities
- the support role of the British Council
- the support role of DFID including integration into WSO activities (level of WSO involvement in programme activities, communication of DFID's strategic objectives to course providers and sponsors)
- use of course to support other WSO projects and generate networks and contacts including ASCI
- recommendations regarding possible future DFID involvement:
  - support to the transferred programme beyond 1998
  - wider support to the dissemination of management training related to urban environmental services
  - national, state or project level focus?
  - opportunities for increasing the participation of female water and sanitation professionals
- the training providers have adopted an innovative approach to this training programme. The consultant should also comment the overall form of the training in the context of current HRD methodologies
- assessing ASCI's capability and the support given to them so far; including investment in trainers and intentions beyond 1999



#### 4. Tasks for the Review

##### **Prior to Meetings in India**

- Review available resource materials
- Communicate with Senior Water Resources Adviser (A.Wray) and HRD Adviser (G.Marr) at DFID, London
- develop and agree a methodology for a systematic assessment of impact

##### **In India**

- Participate as observer(s) at two days of the Review and Reinforce leg of this year's course at ASCI, Hyderabad, 24 November - 4 December 1997
- Implement the process for assessment of impact

Meet with:

- WEDC faculty responsible for the programme
- members of ASCI faculty
- current study fellows, and communicate with earlier course participants
- Mr B.S. Minhas at the Ministry of Urban Affairs and Employment, Delhi
- Department of Economic Affairs
- British Council, (Mr White, Dr Gujral)
- DCOD - Programme Manager and water sector advisory team
- DCO - Water and Sanitation Field Management Office
- DCO - Urban Poverty Field Management Office (UPO), in order to explore relevance of course to UPO projects and
- Obtain views of state water boards and municipal corporations

#### 5. Resource Materials available to Reviewer

Review Report of training in the Water Sector in India - December 1994  
MDSUPHO Project Document  
MDSUPHO reports 1995-97  
DCOD Water Sector Strategy Papers --August and October 1997  
World Bank Urban Water Supply and Sanitation Sector Review, 1997  
ESCOR/ DAG Role of Government in Adjusting Economies Paper - India: Urban Water Supply

#### 6. Duration and Timing

The following schedule should be adhered to:



- a Input for up to ten days in India in 1997; including two to four days during the period 24 November - 4 December 1997 to participate as an observer at the Review and Reinforce component of the 1997 course in Hyderabad;
- b Input for up to ten days in India in January/February 1998 (to be confirmed during first visit to Delhi);
- c Input for up to four days in the UK (November 1997 - February 1998).

**7. Management Arrangements of the Consultancy**

The point of contact in the WSO for contractual matters will be Andrea E. Cook, Field Manager (Urban Development and Community Planning).

The review will be undertaken by a small DFID team supported by up to three person weeks of consultancy inputs from an HRD specialist and up to three person weeks of research support from a locally engaged consultant.

It is expected that the British Council will also participate in the review, and provide logistical support in arranging communication and/or a review workshop with past study fellows and meetings with the Ministry, and other agencies

**8. Location of the Consultancy**

Work will be carried out in Hyderabad and Delhi as appropriate; with limited inputs in the UK.

**9. Reporting**

The consultant will produce six bound and one unbound copy of the interim report by 12 December 1997 and the final report by 30 January 1998, supported by one copy on disk (Microsoft Word).

*end of ToR*



## Annex 3 Project Logframe

### MANAGEMENT DEVELOPMENT FOR SENIOR URBAN PUBLIC HEALTH OFFICIALS, INDIA: 1996-98: Project Logframe

<b>Narrative Summary</b>	<b>Objectively verifiable indicators</b>	<b>Means of Verification</b>	<b>Important Assumptions</b>
<p><b>Programme or sector objective</b>  <b>Goal</b>            Commercially sustainable urban water and sanitation operations</p>	<p><b>Measures of objective</b></p> <p>ROFA greater than 5% declining cholera, typhoid and diarrheal morbidity in urban areas</p>	<p><b>Sources of information and methods used</b></p> <p>Utility financial statements and reports of Medical Officers</p>	<p><b>Assumption for achieving objectives</b></p> <p>Continuing commitment of centre and state / governments toward increasing autonomy for 'public goods' service providers</p>
<p><b>Purpose</b></p> <p>Develop a cadre for sector managers and sector trainers who are aware of and committed to the need for change management in the sector with focus on a new commercial and consumer orientation</p>	<p><b>Conditions expected at end of project</b></p> <p>Developing trend towards semi-autonomous watsan institutions with viable tariffs and significant contracting out of various activities</p>	<p><b>Source of information and methods used</b></p> <p>Watsan utility annual reports            Customer satisfaction surveys</p>	<p><b>Assumptions for achieving purpose</b></p> <p>Acceptance by government of increased use of private contractors and reduction in institutional staff numbers            Willingness of management to use trained staff in appropriate positions</p>
<p><b>Outputs</b></p> <p>Technical managers with skills of institutional and financial development to strengthen public health operation. A local training institute strengthened to conduct similar programmes and meet sector management needs. Public health engineering courses revised to include management and finance topics</p>	<p><b>Magnitude of outputs</b></p> <p>ASCI providing a viable institutional and management development programme for the water and sanitation sector.</p> <p>36 trained senior sector staff            6 trained lecturers preparing future managers on MUA&amp;E sponsored MSc programmes</p>	<p><b>Sources of information and methods used</b></p> <p>Participants' evaluations            Post-programme appraisals of participants by own institution            Triennial participants' review meeting</p>	<p><b>Assumptions for achieving outputs</b></p> <p>Sector staff Preparedness to support institutional change against habits of self-aggrandisement            MSc courses open to syllabus adjustment</p>
<p><b>Inputs</b></p> <p>Management Development Programme with UK and India components of lectures, discussions, case studies, projects, video presentations, visits, computer skills and fieldwork for sector managers and sector trainers, including review and reinforce phase after home based work</p>	<p><b>Implementation target</b></p> <p>Three annual training programmes of 5 weeks in-UK followed 1 week later by 1½ weeks in Indian case study city followed five months later with a two week review and reinforce as in India; programme to be managed with increasing Indian institute participation.</p>	<p><b>Sources of information and methods used</b></p> <p>Programme providers' reports            British Council and DFID staff reports</p>	<p><b>Assumptions for providing inputs</b></p> <p>Use of experienced training institution with skills in management development and public health technology for low-income countries            Sector managers selected at Superintending Engineer level or above            MSc lecturers selected for interest in subject development outside traditional boundaries.</p>





#### **Annex 4. Roles and Responsibilities of Secondary Stakeholders**

The review team has prepared the following set of roles and responsibilities for each primary stakeholder in order to correct the shortfalls of the past and facilitate programme functioning and transfer.

##### **DEA**

1. The role of DEA is to ensure compliance by MUAE for nominations.
2. DEA's responsibility is also to review the proposed nomination list from MUAE and to issue it to BCD in a timely manner.

##### **MUAE**

The role of MUAE is to sponsor and promote MDSUPHO as a national, water sector, management development opportunity as part of their training and development policy and strategy

MUAE's responsibilities are to:

1. Act as the GOI inter-government programme sponsor and actively support and assist the other stakeholders to achieve the project logframe goals and outputs.
2. Budget for and fund the GOI elements of the programme.
3. Be fully conversant with the objectives, programme structure and methodology of MDSUPHO.
4. Promote MDSUPHO and inform state level governments about the programme.
5. Manage the nomination process in a timely manner. Seek Nominations in accordance with the selection criteria given in the project logframe and memorandum and select a short list of candidates to submit to DEA.

##### **DFID**

The role of DFID is to act as the UK Government MDSUPHO sponsor and to ensure that sufficient UK funds are available to implement the programme.

DFID's responsibilities are to:



1. Act as the UK inter-government programme sponsor and actively support and assist the other stakeholders to achieve the project logframe goals and outputs in the context of DFID's water sector policies and GOI's sector priorities.
2. Delegate the project management of the programme to WSO.
3. Conduct review and evaluation missions on a regular basis.
4. Monitor UK-based training activities where necessary and maintain contact with UK training providers and provide advice to WSO and BCD as required.

### **WSO-DFID/India**

The WSO role will be to take a lead in monitoring and developing training initiatives in the water sector including the MDSUPHO programme.

WSO's responsibilities are to.

1. Monitor and evaluate various water sector, training programmes including MDSUPHO and prepare brief reports.
2. Identify opportunities for training interventions appropriate to DFID overall water sector strategy.
3. Draft proposals for future training projects.
4. Attend appropriate training activities in India and ensure, in conjunction with BCD, that monitoring of training is adequate and that reports are produced regularly.
5. Contribute to MDSUPHO insights from DFID projects and similarly take from MDSUPHO, insights of use to DFID's activities and the sector in general.
6. Expand the WSO network of contacts in the sector, identifying key change agents for future contact and maintain a database of past MDSUPHO participants as possible resource persons
7. Ensure that interdisciplinary and crosscutting issues of key importance to the urban water sector in India, such as gender, community participation and environment are highlighted
8. Contribute to the sum knowledge within DFID/WSO/BCD, of change management needs in the urban water sector in India.



## **BCD**

BCD's role, in its capacity as India programme administrator, will be to:

1. Obtain GOI clearance for the approved MDSUPHO participants
2. Prepare and arrange the in-India programme including travel and accommodation.
3. Plan course and administrative arrangements for consultants, particularly on the India field visit.
4. Finalise, in liaison with the WSO, the Ministries and host institutions the venue, dates, facilities and accommodation, including financial arrangements.
5. Assist in the field project selection in consultation with the course providers, ensuring administrative arrangements and monitoring progress on the programme including actions arising from review seminars and workshops.
6. Prepare a brief report in conjunction with WSO, DFID with recommendations arising from each course and feedback from past participants within four weeks of the end of each programme.
7. Distribute reports on field studies once produced by training providers and participants
8. Participate in review missions and evaluation activities as requested by DFID.

## **WEDC**

The role of WEDC is to act as the UK course provider and consultant.

WEDC's responsibilities are to:

1. Provide a five-week UK training programme.
2. Liaise with the BCD regarding arrival of study fellows, delivery of the course and preparation for the in-India activities.
3. Provide an equivalent cover of two tutors full-time for the two in-India phases, total duration 3 week. The first phase will start soon after the UK phase at a venue to be agreed with the MUA. This input will involve assisting participants in a case study work of an Indian water undertaking, and include field visits and related tuition. Some time to organise the case study in India should be allowed. The second Indian phase will take



place approximately four to six months later at the Indian counterpart, training institute and will review management developments in participants own organisations.

4. Participate in a two-day workshop at the end of the programme to agree and refine the project framework and define inputs and responsibilities and advise on actions necessary to ensure smooth transfer of training over 3 years and subsequent sustainability.
5. Deliver outputs including a brief interim report, write up of case study material, including supporting notes for trainers and a report on the overall course should be prepared after the second India phase. This should include a summary of the study fellow's and course provider's assessment of the course and notes on the constraints encountered. It should also include recommendations resulting from the workshop on i) how the course might be developed to respond to the Ministry's requirements for improved management training for engineers and ii) the structure of the course in India. This would ensure, that the capability to support a wholly Indian based programme is developed. It would include a finalised project framework and terms of reference for the next three years.
6. Promote and advise on the opportunities to include management development components in the masters degree courses sponsored by MUAЕ.

#### **ASCI**

The role of ASCI is to act as the India partner course provider to WEDC as approved by MUAЕ.

ASCI's responsibilities are to:

1. Identify a faculty of trainers who could begin to form the nucleus of a MDSUPHO development team
2. Consider the implications of becoming the lead partner in the MDSUPHO transfer process including learning the Indian water and sanitation market and developing a good relationship with MUAЕ.
3. Liaise with the BCD regarding preparation for the in-India activities
4. Play a partnering role with WEDC in the two two in-India phases (case study field leg and the review and reinforce leg).





**Annex 5**

**State-level HRD Meetings  
Maharashtra  
West Bengal  
Uttar Pradesh  
Madhya Pradesh**



**5.1 Maharashtra Meeting, Nashik, 8/01/98**

**Participant Profile:** Principal Secretary-WSS. Member Secretary – MJP. Deputy Secretary - WSS, Chief Engineer, Superintending Engineer, Executive Engineers - MJP, MDSUPHO Fellow, Municipal Commissioners, Chief Executive Officer – ZP, Collector. DFID, Consultants

**MDSUPHO Impact** Very positive on the personal front, poor on the organisational front i.e. fellows are not effective in isolation.

This training is extremely relevant in the light of recent initiatives in the State (Pune, Kolhapur and MJP, Maharashtra)

**Recommendations:** Need to have a regional or even organisational focus, develop a critical mass of like-minded, equipped persons who can initiate and pursue change.

Selection of participants for the course must target either senior functionaries who can act as change agents or potential resource persons who can cascade the benefits of this training when they return.

There is a need to develop a course on the lines of MDSUPHO at NRTC, targeting executive engineers, public health and finance professionals.

**HRD Priorities** I) Identification of about 10 critical areas for capacity building which would improve overall performance by about 50%

ii) Identification of target group – administrators, operators at municipal/district level and key organisations for training in these areas.

iii) Identification of performance standards as per job charts and training needs analysis to develop individual/organisational-training plans

iv) On-the-job training for individuals to demonstrate best practice accompanied by restructuring of targeted organisations.

v) Key areas for training: water pricing, tariff-setting, cost-recovery, commercial accounting procedures, communication skills and community participation.

vi) Close interaction and exchange of ideas between academics and practitioners on new developments in the sector and on-going revision of degree courses.

vii) Evaluation and restructuring of NRTC is imminent. The HRD cell will also be located within NRTC. These activities should help position NRTC as a more responsive organisation with the capacity to link training with research and consultancy activities.



## 5.2

### West Bengal Meeting - Calcutta, 21/01/98

**Participant Profile:** Principal Secretary-PHED, GOWB, Chief Engineers & Sup. Engineer, Executive Engineers – Municipal Engineering Directorate, Public Health Engineering Department, Calcutta Municipal Development Authority, Calcutta Water Supply & Sanitation Authority and Calcutta Municipal Corporation, MDSUPHO Fellows.

**MDSUPHO Impact** Positive impact on the personal development front. Returning fellows can do little with what they learnt given the realities of working in WB.

The focus areas of the programme i.e. commercialisation of water supply have little relevance today in West Bengal.

The State is extremely slow in changing especially as regards charging for drinking water. While MDSUPHO provides good exposure and broadens the mind, there is little that can be put into practice.

**Recommendations:**

- i) There is a need to target different levels of personnel from the same organisation at the same time and create a critical mass that will support each other.
- ii) Case studies and field legs on training programmes need to have a regional focus. West Bengal is a highly litigious State with specific problems and bottlenecks, which cannot be addressed through a national training programme.
- iii) The executive engineer plays a pivotal management role and should be targeted.
- iv) In the light of the 74<sup>th</sup> Amendment the course should target key functionaries from municipalities and municipal corporations

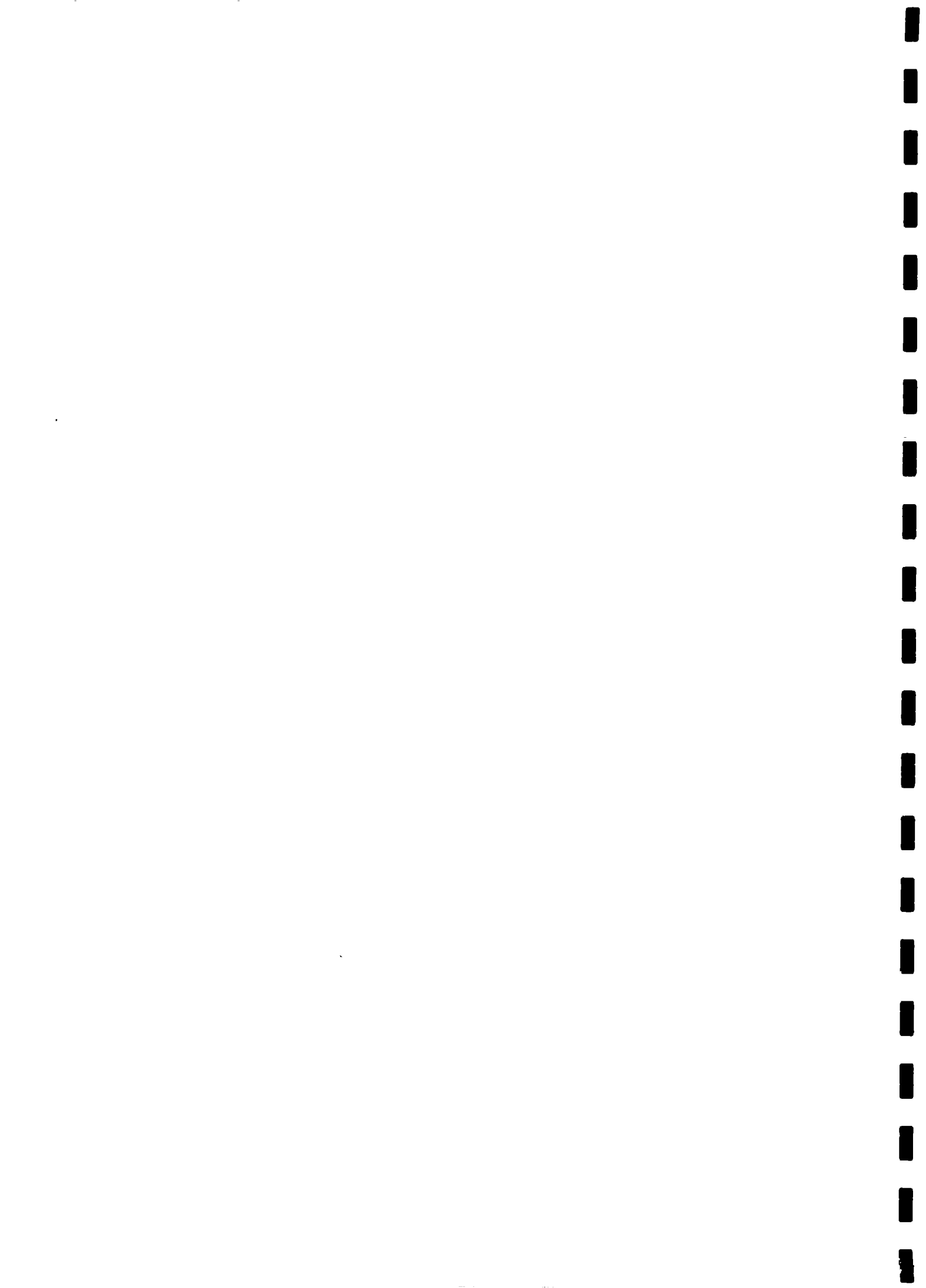
**HRD Priorities**

- i) The 74<sup>th</sup> Amendment has emphasised the need for a focus on people's participation (time, money, labour) and sustainability. Key functionaries such as chairpersons of municipalities, councillors and elected officials must be properly oriented on the implications of this for the sector.

- ii) Local bodies will need to upgrade their institutional and financial management capacities. Executive engineers are well positioned to act as key agents of change and could be targeted for training in leadership, management principles and team building.

- iii) Exposure visits for a composite group (IAS, politicians, public health officers and engineers) to see cost-effective systems ( e.g Hyderabad Metro) can be arranged.

- iv) Managers can do nothing without the consent and support of politicians in West Bengal. It is essential for all elected representatives to see systems that actually work.



- Participant Profile** Managing Director (Ex)-UPJN, Member Secretary – DUD, Chief Engineer (HRD)-UPJN, General Manager-LJS, WSO, WSO Consultant
- MDSUPHO Impact:** Very positive on the personal front, poor on the organisational front i.e. fellows are not effective in isolation.
- This training is extremely relevant to LJS where there has been one past participant (example of a Municipality attendee).
- Recommendations:** Need to have a state focus to be able to take the issues forward.
- Selection of participants for the course made by committee with no representatives from municipal councils or municipalities
- Institutional issues**
- i) UPJN plans, designs and implements water and sewerage systems throughout the state with little involvement with municipalities.
  - ii) LJS operates and maintains the services for the Lucknow municipal area. LJS understands the needs of customers (although is unable to determine and achieve a service standard). It perceives that UPJN has no accountability to customers.
  - iii) UPJN has approximately 25,000 employees with 11,000 located in offices and 14,000 field based. It employs about 4000 engineering professional staff These are graded as follows:
 

CE - 11, SE - 59, EE - 230, AE - 850 and JE - 2800.
  - iv) LJS is divided into 6 zones each headed by an EE and supported by AEs and JEs. It employs about 70 professional staff. These are graded as follows: EE - 7, AE - 18 and JE - 35.
  - v) LJS has a central finance and administrative wing with 4 professionals. All the zonal engineers are responsible for their own accounts and revenue collection.
  - vi) Key issues are lack of stability at senior levels, lack of autonomy (LJS), low morale and productivity of workforce and lack of needs based training. There has been a bar on recruitment by UPJN for the last 10 years at AE but this has now been lifted to allow at least 5 new staff to join per year.
- HRD Priorities**
- i) The 74<sup>th</sup> Amendment has emphasised the need for a focus on people's participation (time, money, labour) and sustainability. In UP this thinking may be reversed in Lucknow with UPJN and LJS being formed into one large vertically integrated organisation.
  - ii) A HRD cell has been formed in UPLN but it has very limited capacity.
  - iii) There are a number of local training institutes, which UPJN use locally. They include the UP Academy of Administration, Nainital. Institute of





Management Development and the Advanced Training Institute in Lucknow

- iv) There is a need for training in leadership, management principles and team building but without the commitment to introduce new financial, accounting and other MIS systems, the timing is not right at present.



**5.4 Madhya Pradesh Meeting - Bhopal/Indore 23/01/98**

**Participant Profile:** Member Secretary – PHED - MP, Engineer in Chief - PHED, Superintending Engineers - PHED and Indore Municipal Corporation, MDSUPHO Fellow

**MDSUPHO Impact.** Very positive on the personal front and reasonably effective on the organisational front. This training is extremely relevant in the light of recent initiatives in the State (Indore and other cities).

**Recommendations:** 1) Need to have a regional focus. No critical mass because MP has few MDSUPHO fellows, so there are only a small number of persons equipped to initiate/pursue change.

ii) Selection of participants for the course must target senior functionaries who can act as change agents.

iii) There is a need to provide expertise with a range of technical and managerial skills for consultation on a number of change management and efficiency issues in Indore.

v) There may be a case for targeting executive engineers, public health and finance professionals to offer management training using sections from the course.

**Institutional Priorities:**

1) Progress has been made in MP to act upon the 74<sup>th</sup> Constitutional Amendment. Staff has been transferred from the PHED to the municipal corporations and municipalities. The state government continues to pay their salaries since the new organisations are unable to raise revenue locally to meet basic costs. The PHED offers planning, design and construction engineering services in the urban and particularly the rural water sector in the state.

ii) The fact that the transferred staff is all ex-PHED, means that the training and skills invested in the past still remains in the system

vi) At the present time there are approximately 1500 professional staff working in the PHED. Their grades are as follows. 2 - EICs, 12 - CEs, 31 - SEs, 82 - EEs, 395 - AEs and approximately 1000 - JEs. A training needs analysis is required to develop individual/organisational-training plans.

**HRD Priorities**

1) Identification of performance standards in PHED as per job charts and training needs analysis to develop organisational -training plans This should be done in conjunction with the HRD cell in the PHED



ii) Identification of target group—administrators, operators at municipal/district level and key organisations for training in these areas

iii) Key areas for training: water pricing, tariff- setting, cost-covery, commercial accounting procedures, communication skills and community participation.

iv) Very good close interaction and exchange of ideas with academics in MP and practitioners on new developments in the sector particularly in local community participation issues.



## Annex 6 Masters Degree/Diploma Courses in Public Health Engineering

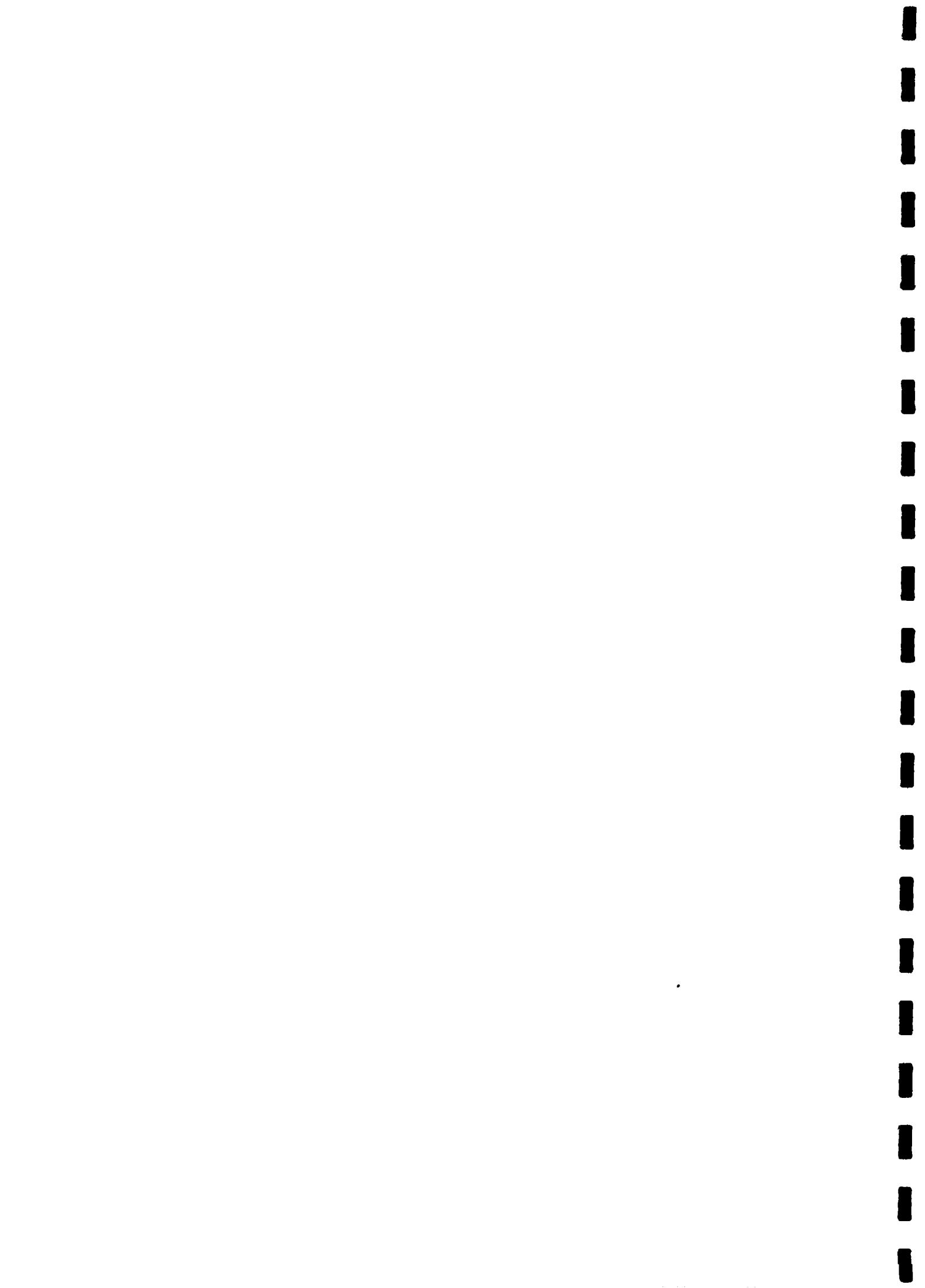
In 1997-1998, MUAE reserved a total of 98 places at 12 academic institutions throughout India. Details are given below:

	<u>Institution</u>	<u>Places</u>
1.	All India Institute of Hygiene and Public Health, Calcutta (WB)	15
2.	Victoria Jubilee Technical Institute, Bombay (Mah)	10
3.	Visvesvaraya Regional College of Engineering Nagpur (Mah)	10
4.	Birla Viswakarma Mahavidyalaya, Vallabhydyanagar (UP)	10
5.	Sri Jayachamarajendra College of Engineering, Mysore (Kar)	10
6.	Motilal Nehru Regional College, Allahabad (UP)	5
7.	Shri G.S.I of Technology and Science, Indore (MP)	10
8.	Indian Institute of Technology, Bombay (Mah)	2
9.	Malviya Regional Engineering College, Jaipur (Raj)	10
10.	Anna University, Madras (TN)	10
11.	Indian Institute of Technology, Kharagpur (WB)	1
12.	Indian Institute of Technology, Delhi (D)	5

State Governments are sent copies of this list of places by MUAE and invited to put forward candidates for particular courses. Most of the places are open to candidates with Bachelor Degrees in Civil Engineering. A small number of places are open specifically for Electrical/Mechanical/Chemical engineers and Architects.

The applications are screened by MUAE and the selected candidates are informed. Candidates contact the particular institute to register on the course.

MUAE offer the candidates a stipend for the duration of the course, which is refundable in the event of failure. Course fees are also paid for by MUAE.





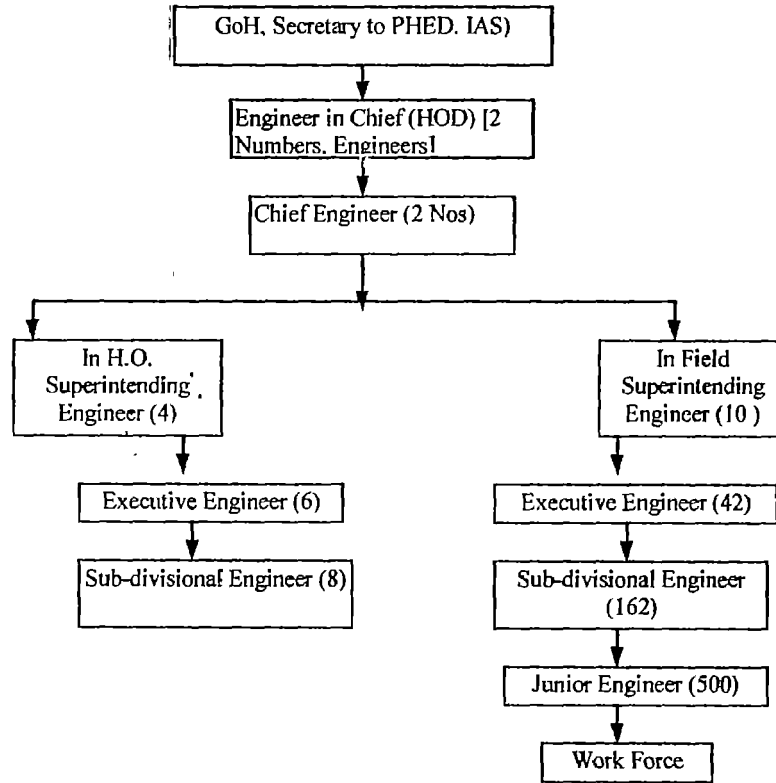
**Annex 7**

**Examples of :  
UWSS Institutional Arrangements & Target Groups**

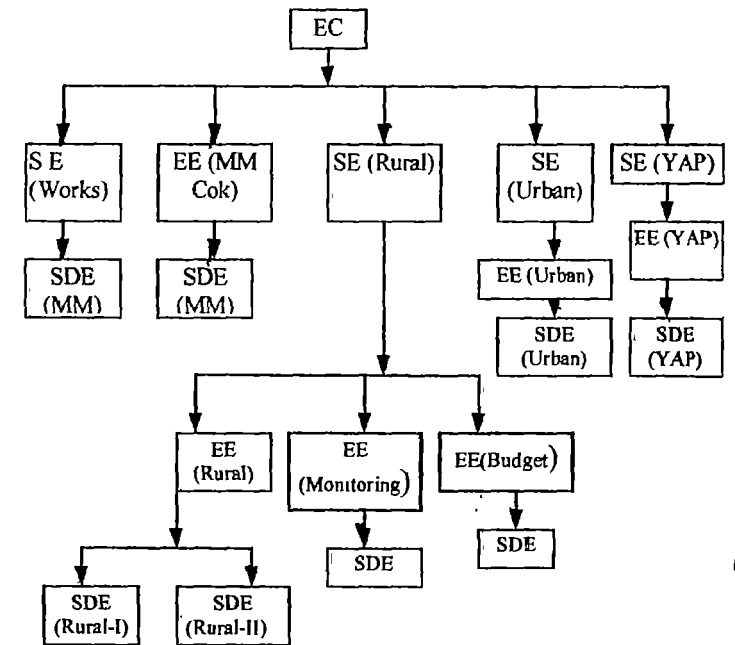
**Haryana  
Rajasthan  
Maharashtra  
Uttar Pradesh  
Gujarat  
West Bengal**



**ORGANISATIONAL CHART FOR PUBLIC HEALTH HARYANA**

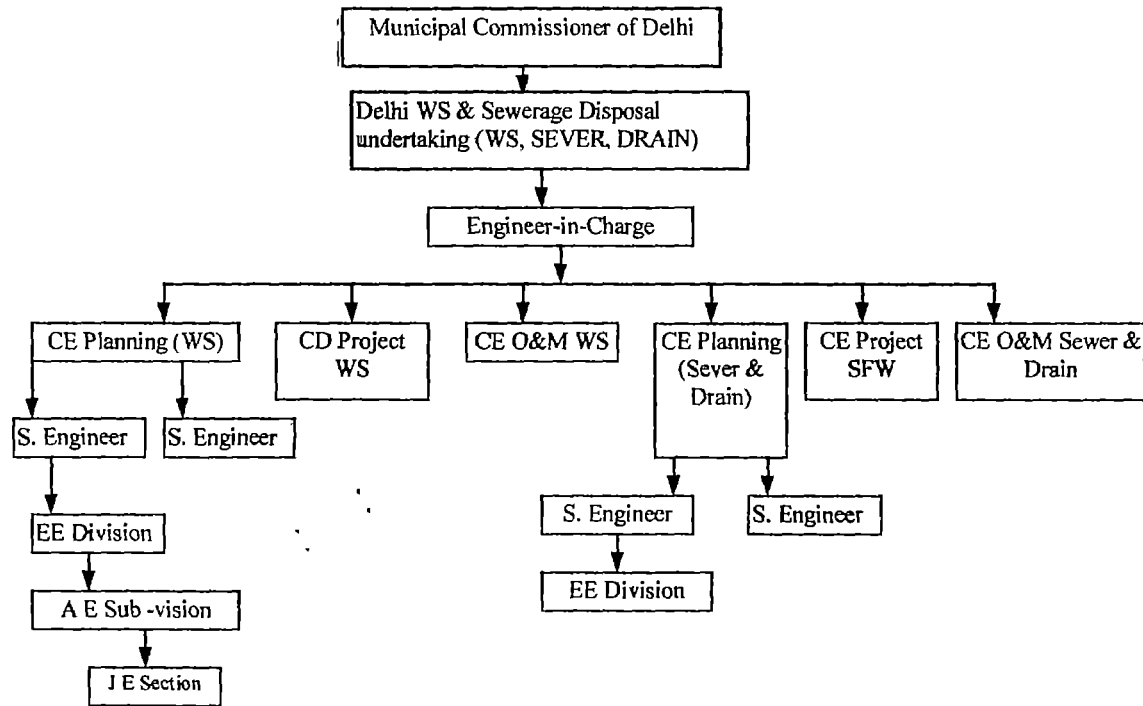


**HEAD OFFICE DETAILS**





## ORGANISATIONAL CHART FOR RAJASTHAN



### Broader Functions

Commissioner-IAS, Overall in charge policy & Administration.

E-in-Charge Engr. - Tech; Plg. Proj. O&M.

CE WS Plg. - Proj - O&M

**SE (ESW + design Implementation budget, Bill & collection Local detection**

EE

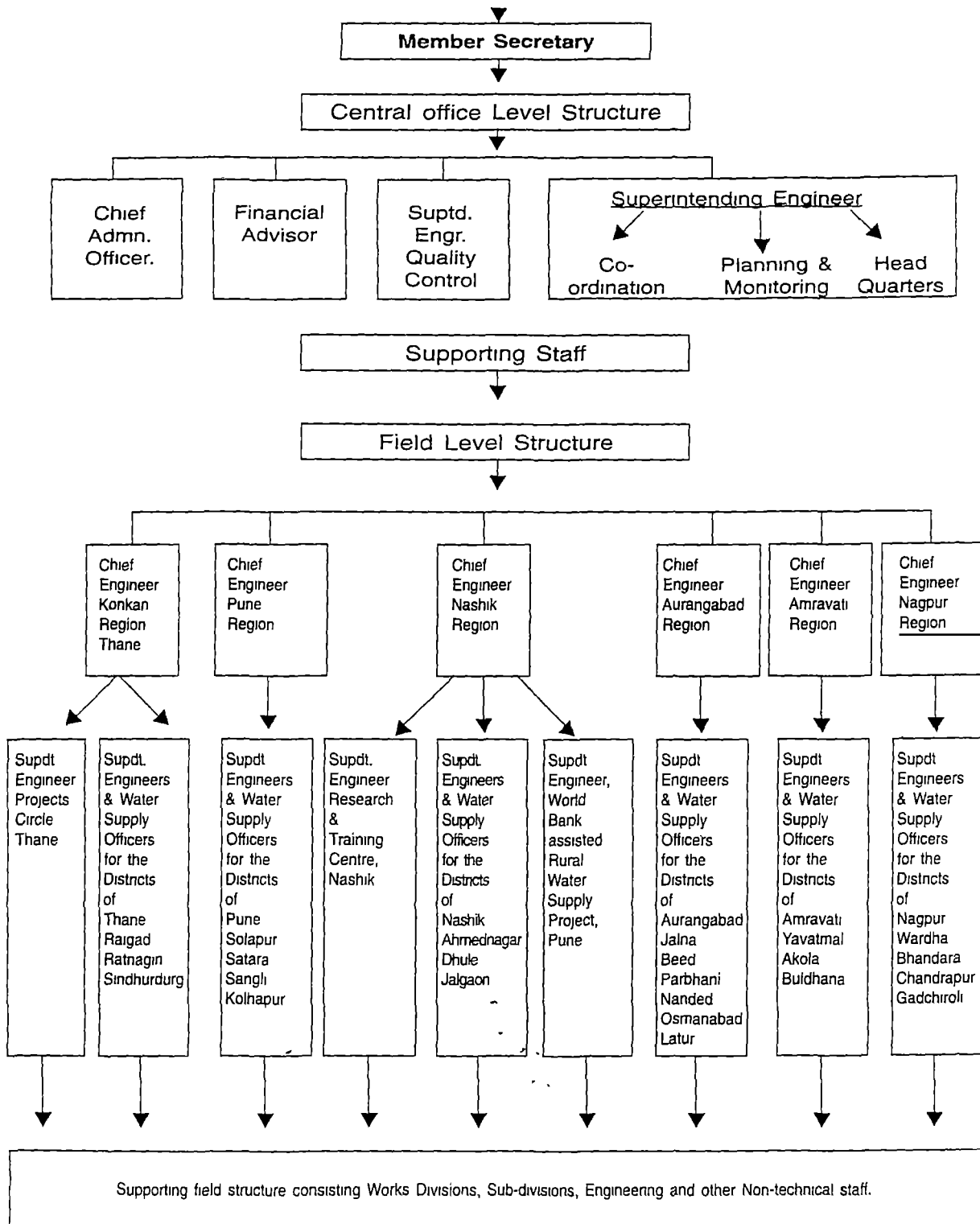
AE Repair

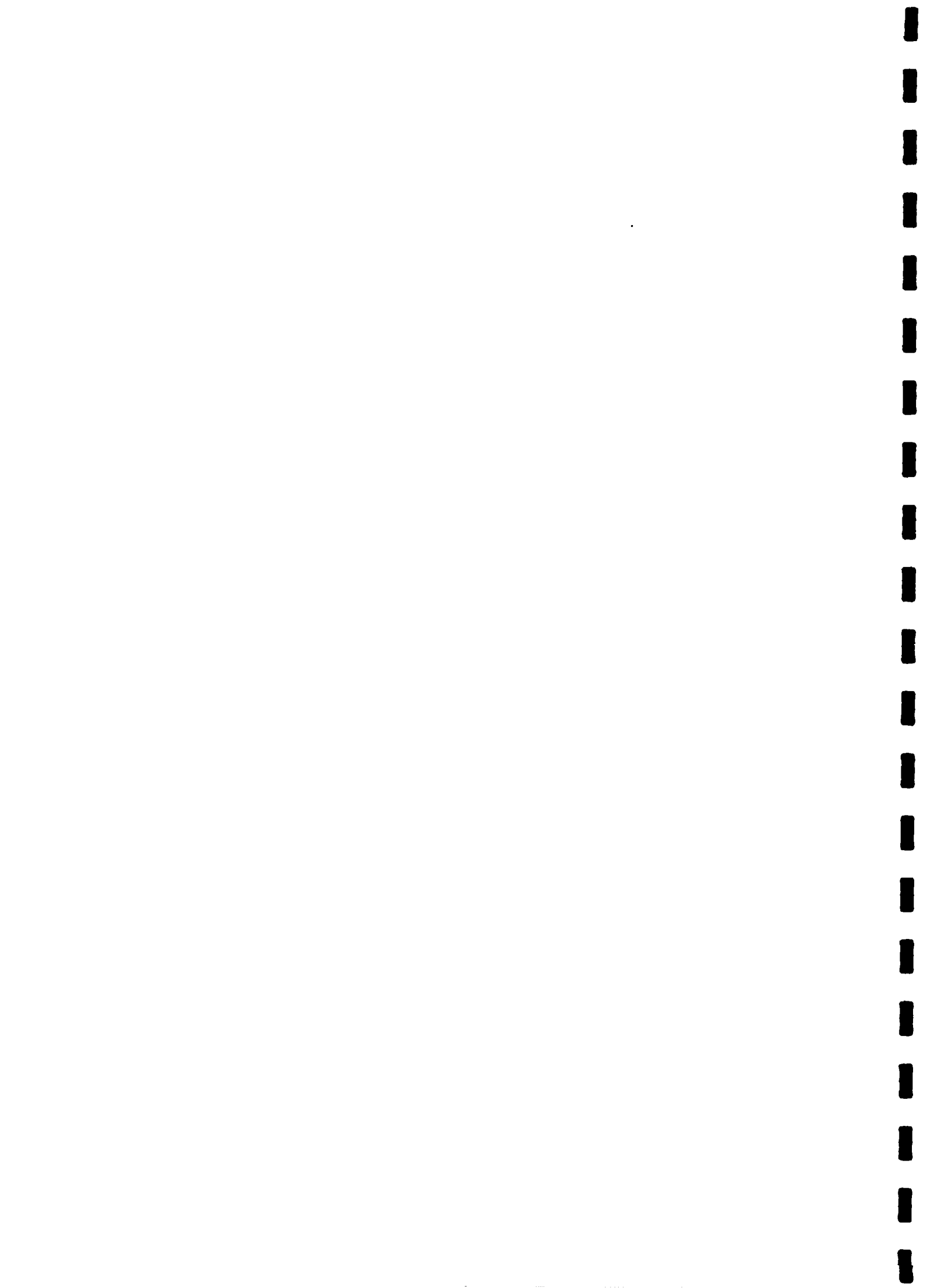
JE Quality Control

<b>HIERARCHY</b>		
LEVEL		REPORTS TO
E-in-Charge	1	Commissioner
CE	6	E-in-Charge
SE	24	CE
EE	72	SE
AE	216	EE
JE	648	AE

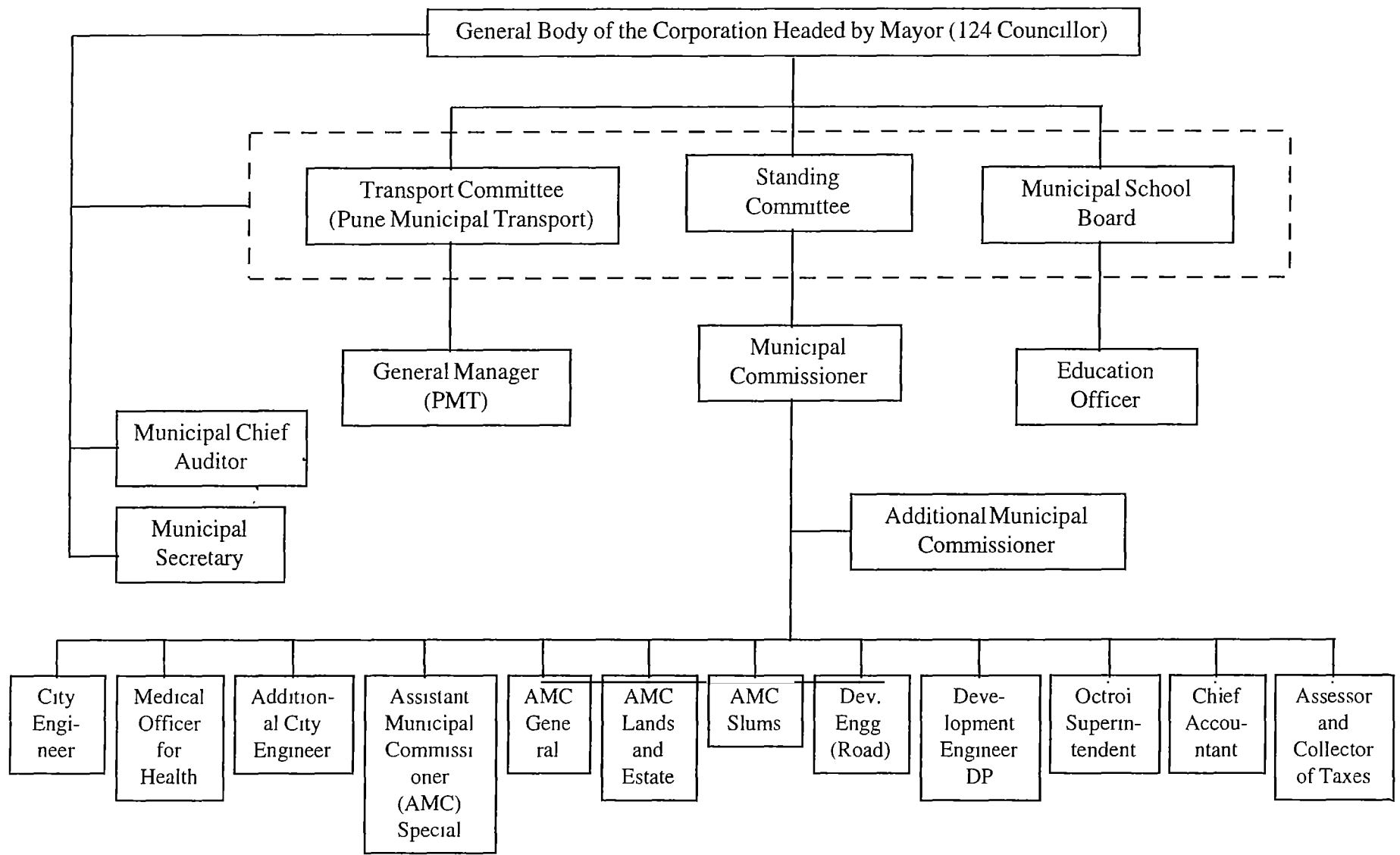


# MAHARASHTRA JEEVAN PARDHIKARAN



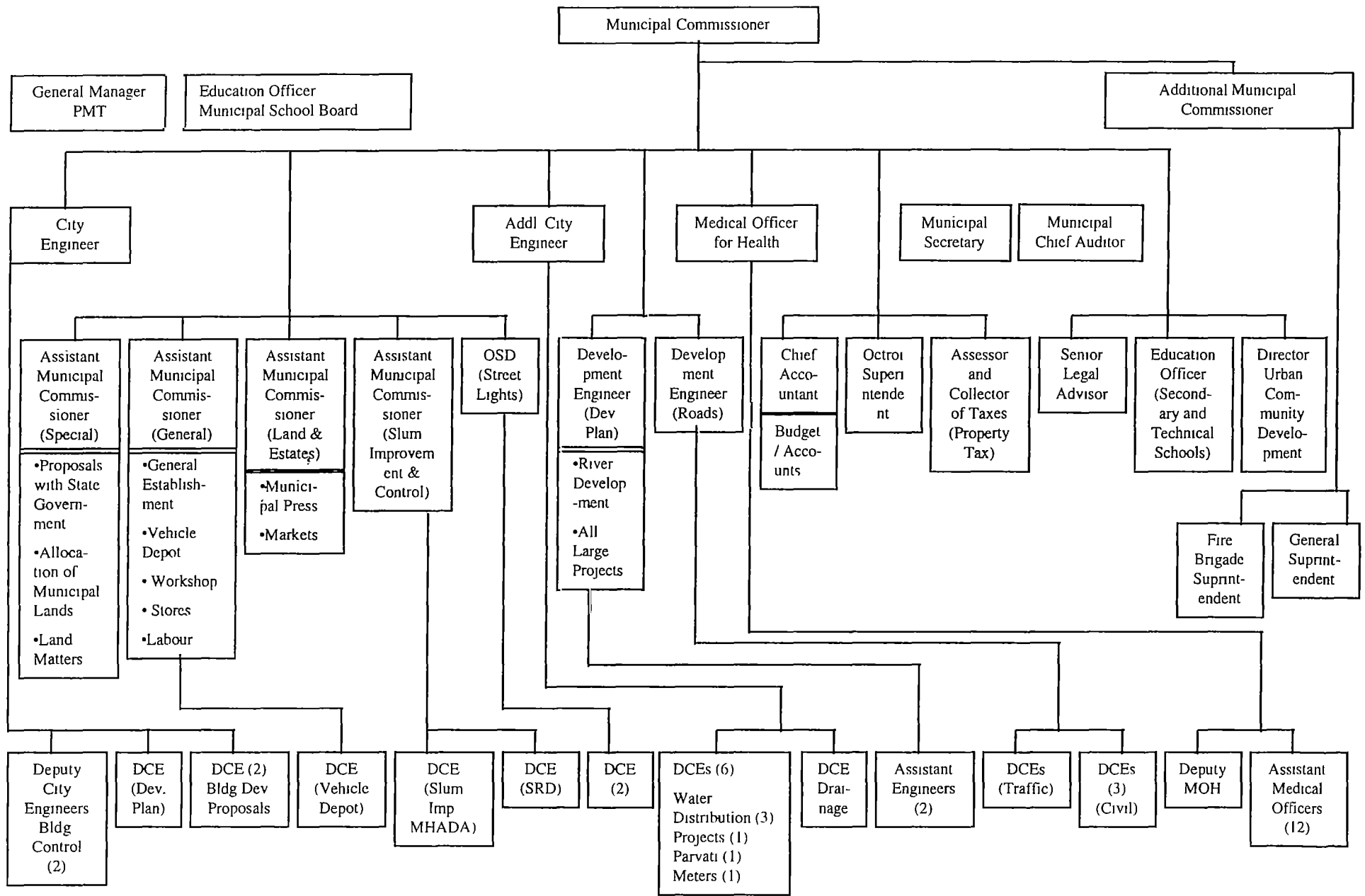






**Figure : Pune Municipal Corporation Administrative Structure**







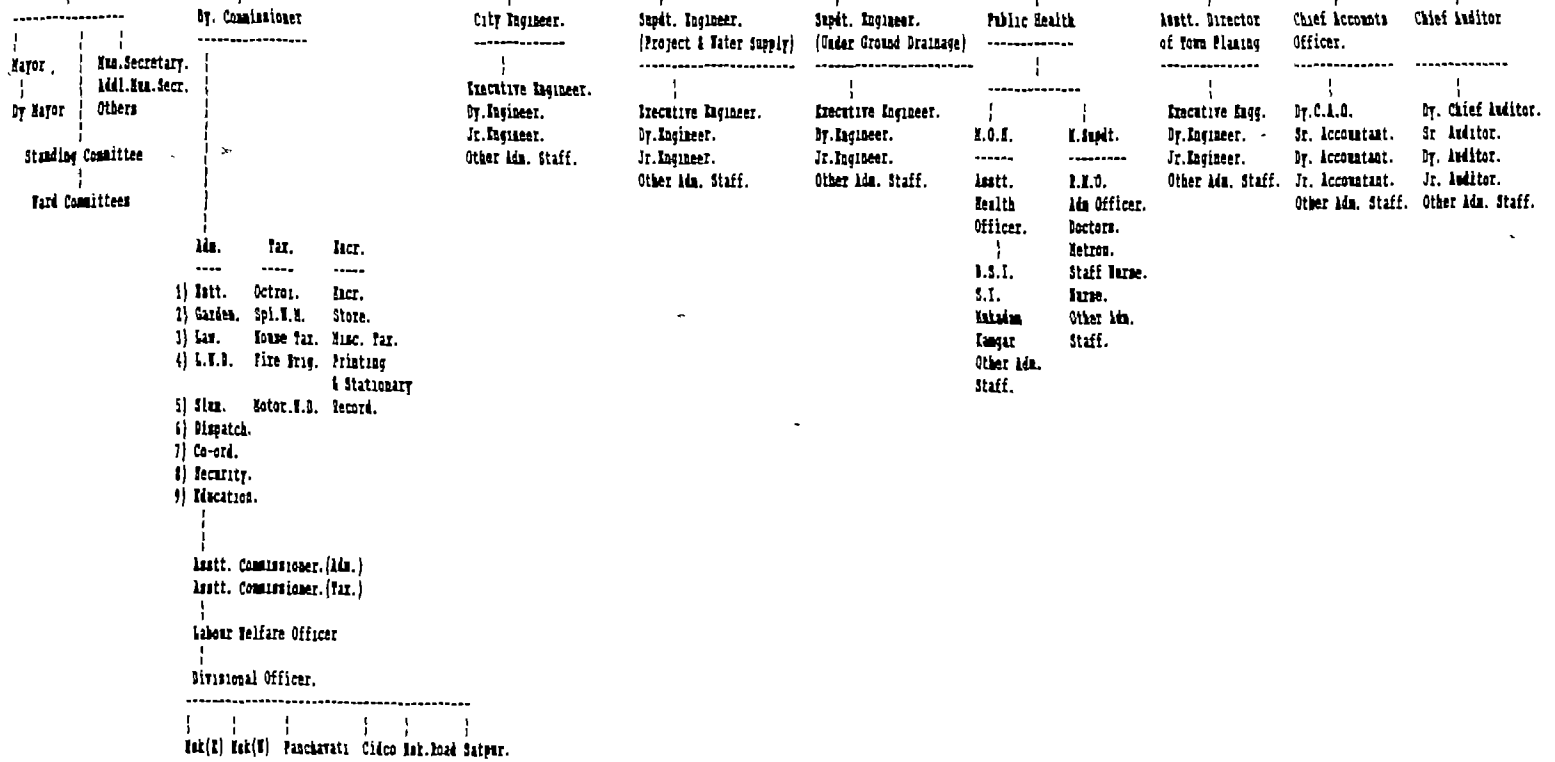
ORGANISATIONAL SET-UP OF HANBIT MUNICIPAL CORPORATION.  
 ( Governed under M.P.M.C. Act, 1949 )

Deliberative Wing.  
 (Policy Making Executive)

Administration Executive Wing.

Corporate Body  
 (87 elected +  
 5 Co-Op. Members)

Commissioner.





NASHIK MUNICIPAL CORPORATION, NASHIK.  
WORKING STAFF STRENGTH

SR.NO.	DESIGNATION	NO. OF POSTS
1)	Commissioner	1
2)	Dy. Commissioner	3
3)	Asstt. Commissioner	2
4)	City Engineer	1
5)	Supdt. Engineer	2
6)	Asstt. Devl.Town-planner	1
7)	Medical & Health Officer	1
8)	Medical Supdt.	1
9)	Chief Accountant	1
10)	Chief Auditor	1
11)	Executive Engineer	9
12)	Municipal Secretary	1
13)	Divisional Officer	6
14)	Administrative Officer School & Hospital	2
15)	Labour Welfare Officer	1
16)	Public Relation Officer	1
17)	Dy. Engineer	42
18)	Asstt. Engineer	28
19)	Jr. Engineer	39
20)	Supdt., Project Officer, Sr.Auditor Sr. Accountant.	27
21)	Fire Suptd.	1
22)	Asstt. Suptd., Steno. Account & Audit	43
23)	Food Inspector, Tax Inspr., Property Inspr. DSI, SI, Malaria Sup.	43





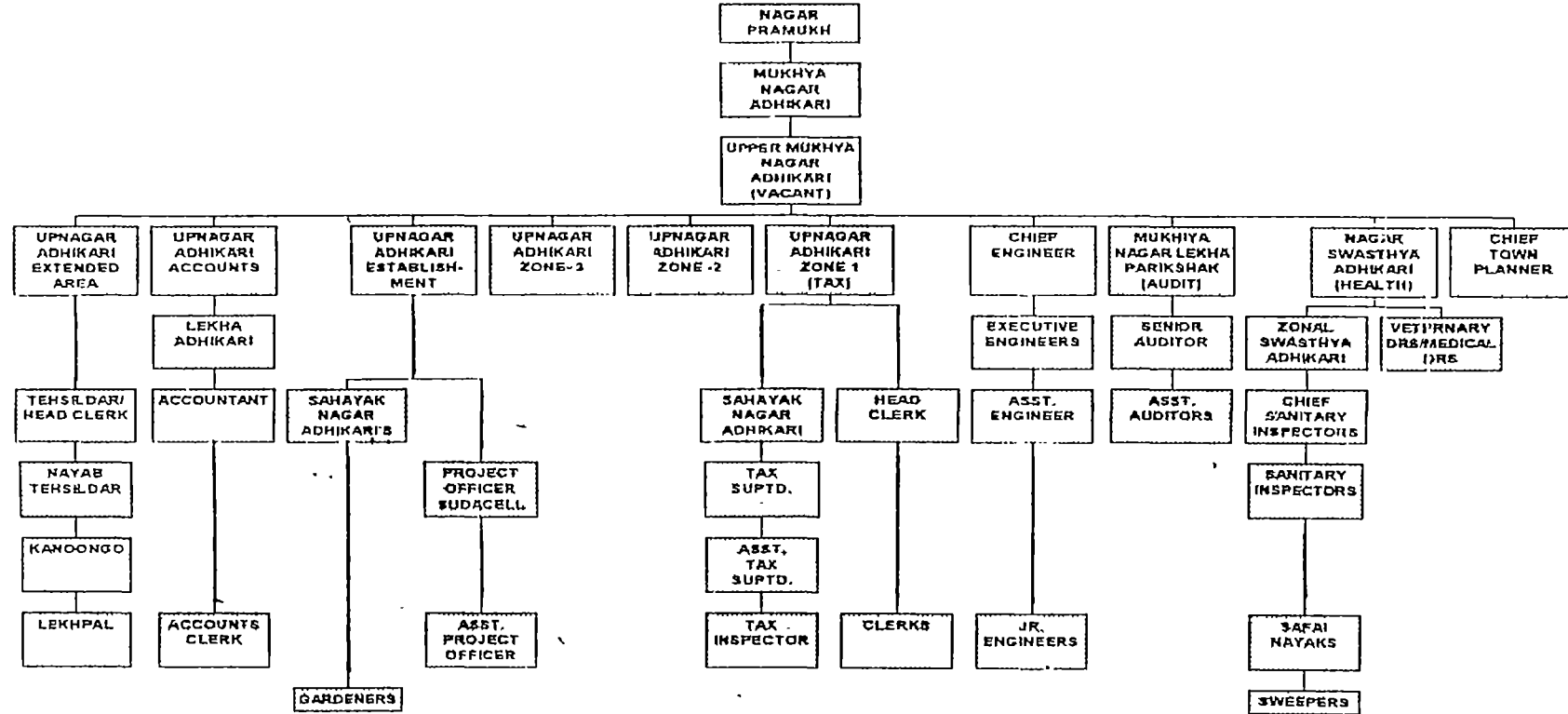
NASHIK MUNICIPAL CORPORATION, NASHIK.  
WORKING STAFF STRENGTH

SR.NO.	DESIGNATION	NO. OF POSTS
24)	Sr. Clerk	126
25)	Jr.Clerk, S.F.W., M.F.W., Mont.Teacher, Asstt.Rangmanchak, U.B.S.P., Lohar, Mistry, Carpenter, etc.	649
26)	Doctor's, R.M.O.	52
27)	Metron, Asstt.Metron, Nurse, Sister, ANM.	184
28)	X.Ray Tech., Lab.Tech., Asstt.Tech. etc.	21
29)	Fire Officer	1
30)	Station Officer, Sub Officer	10
31)	Firemen, L.Fireman	160
32)	MPW, Pharmacist, Projectnist, L.Tech.	55
33)	Workshop Manager	1
34)	Mechanic, Foreman, Auto Elect., M.Cleaner Head Mech. Welder, S.S. Operator	18
35)	Driver	147
36)	Road Mukadam, Sani.Mukadam	91
37)	Peon, Ward Boy, Aaya, Valveman, Boar Atdt. Chemical Mazd., Helper, Bigari, Kamathi, Dresser, Ganga Patewale, Lab Att., Filter Plant Att., Watchman, M.Sevika.	1595
38)	Sweeper	1042
39)	Schools -----	
a)	Secondary School	
	Head Master	3
	Teachers	85
b)	Primary School	
	Head Master	130
	Teacher	1025



EXHIBIT - 3.02

LUCKNOW NAGAR NIGAM - INDICATIVE ORGANISATION STRUCTURE



- NOTES
- (1) LNN is divided into 3 zones for tax collection, engineering and health sections
  - (2) The structure under upnagar adhikari, zones 1 and 2, is similar to that shown under upnagar adhikari zone 1
  - (3) The chief engineer has 5 executive engineers reporting to him viz - 1 each for 3 zones, 1 for traffic and 1 for electrical and mechanical maintenance. Under the JE's are the supervisors, skilled technicians and unskilled labour
  - (4) The health structure shown is repeated for each zone under a zonal swasthya adhikari
  - (5) The veterinary and medical infrastructure has hardly any support staff
  - (6) The number of personnel in each section are detailed in Appendix - III/2

March 1996





EXHIBIT 3.03

LUCKNOW NAGAR NIGAM

SECTIONS AND THEIR FUNCTIONS

UP NAGAR ADHIKARI EXTENDED AREA	UP NAGAR ADHIKARI ACCOUNTS	UP NAGAR ADHIKARI ESTABLISHMENT	UP NAGAR ADHIKARI ZONE 1 TO ZONE 3 (TAX)	CHIEF ENGINEER (ENGINEERING)	MUKYA LEKHA PARISHAK (AUDIT)	NAGAR SWASTHA ADHIKARI (HEALTH)	CHIEF TOWN PLANNER
Extended area functions	Preparation of budgets Passing bills Maintaining account books	Establishment Rent SUDA Law record office	Tax assessment Billing Collections	Construction & maintenance of roads Construction and cleaning of large drains Street lighting Building maintenance Solid waste collection and disposal including maintaining a workshop for rubbish removal vehicles	Internal audit	Solid waste sweeping Sanitation Enforcement of food adulteration act Birth & death registration Markets licencing Trade licencing Hospitals, dispensaries, maternity homes	Currently does not seem to have any function

10



## DETAILED SECTIONWISE MANPOWER BREAKUP — Lucknow Nagar Nigam (L.N.N.)

	ACCOUNTS	ESTABLISHMENT	TAX ASSESSMENT & COLLECTION	ENGINEERING	INTERNAL AUDIT	HEALTH & CONSERVANCY
Centralised	UP Nagar Adhikari 1 Accounts Officer 1 Accountant 4 Sub-Total 6	UP Nagar Adhikari 1 Sahayar Nagar Adhikari 3 Inspector (Garden) 2 S.M.A cell officer 2 8	UP Nagar Adhikari 3 Sahayar Nagar Adhikari 6 Tax supdt. 8 Asst tax supdt. 2 Tax inspector 35 Head clerk 1 57	Chief Engineer 1 Exc Engineer 5 Asst Engineer 11 Junior Engineer 27 14	Chief Auditor 1 Sr Auditor 4 Asst Auditors 7 12	Zonal health officer 5 Chief sanitary inspector 9 Sanitary inspector 26 Medical Chief medical officer 1 Medical officer 3 Vaid 2 Vet doctor 2 Hakim 1 49
Non-centralised	Accounts Clerk 69 Sub-Total 69	Gardners 223 Bhisti 306 529	Tax collectors 48 Moheer 64 Pound Moheer 42 Clerks 120 Peons 90 364	Light inspector 3 Mate 37 Beldar 222 Mason 13 Gangmen 68 Fitter 7 Electrician 11 Sr Lineman 6 Lighter 40 Switchman 10 Lineman 18 Workshop staff 396 Fuseman 13 846	N.A.	Safai nayaks 45 Sweepers (regular) 3282 3327
Daily wage	N.A. Sub-Total	N.A.	N.A.	Jr Electrician 4 Lineman 4 Switchmen 2 Mate 5 Supervisor 18 Misc 12 45	N.A.	Sweepers 560 560
	GRAND TOTAL 75	537	421	935		3936

Source: 11-14

- Notes: (1) Total centralised staff 176 non-centralised staff 5135, daily wagers 673  
(2) Detailed break up of non-centralised and daily wage staff was available only for engineering and health section  
(3) Detailed staff break up for Chief Town Planner and UP Nagar Adhikari extended area has not been provided

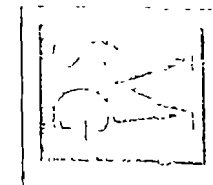
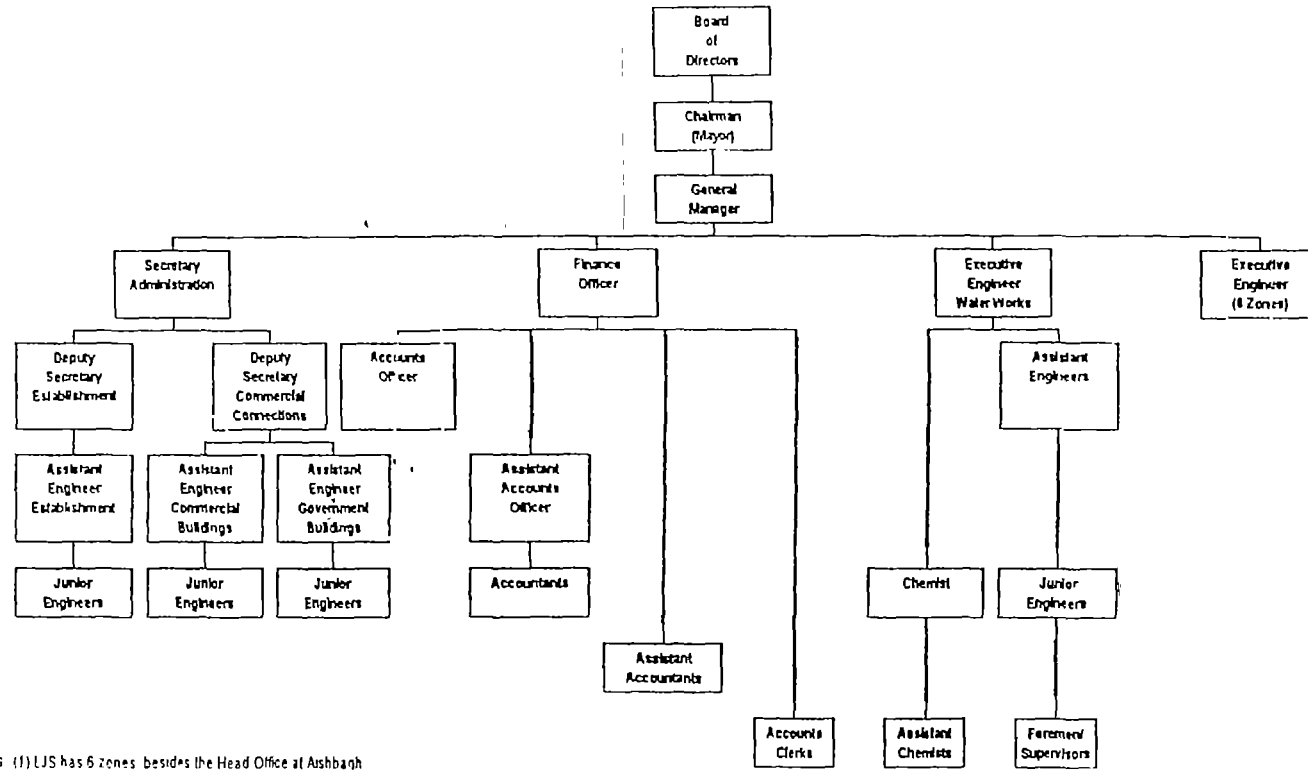






EXHIBIT 4 02

LUCKNOW JAL SANSTHAN ORGANISATION STRUCTURE AS AT FEBRUARY 1996

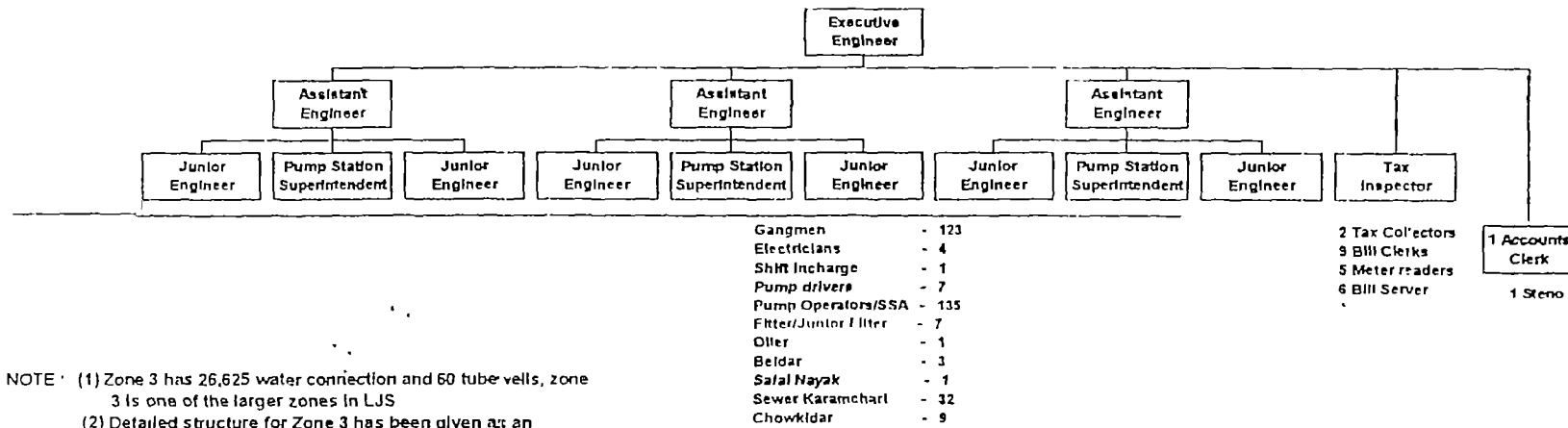


- NOTES (1) LJS has 6 zones besides the Head Office at Ashbagh  
 (2) Typical zonal structure has been shown in Exhibit 4 03  
 (3) Detailed manpower breakup is provided in Exhibit 4 04 LJS has a total of 1907 regular employees and 714 daily wage employees



EXHIBIT - 4 03

LUCKNOW JAL SANSTHAN - ZONE 3 ORGANISATION STRUCTURE

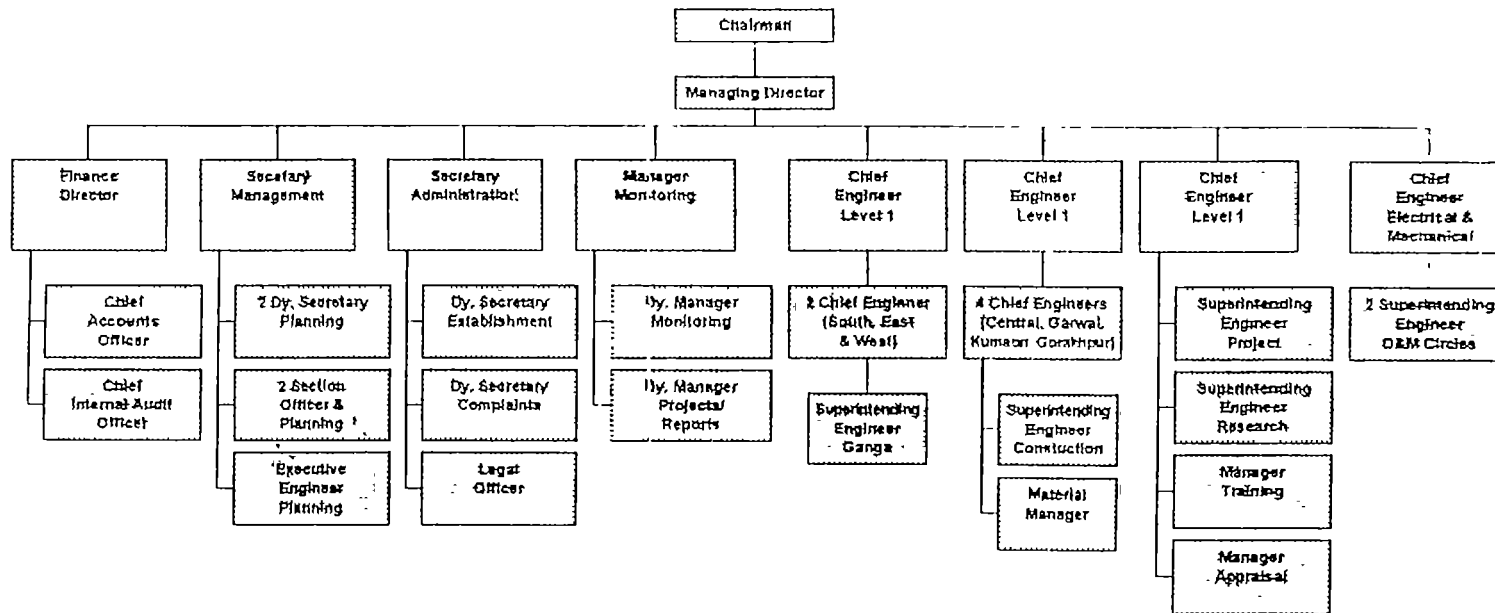


- NOTE : (1) Zone 3 has 26,625 water connection and 60 tube wells, zone 3 is one of the larger zones in LJS
- (2) Detailed structure for Zone 3 has been given as an illustration of Zonal structure. Though the numbers may vary across the zones, the structure remains the same.
- (3) The above numbers include daily wage staff. Total regular staff in Zone 3 is 307 and daily wage staff is 58.



EXHIBIT - 6.01

INDICATIVE ORGANISATION STRUCTURE OF UPJN



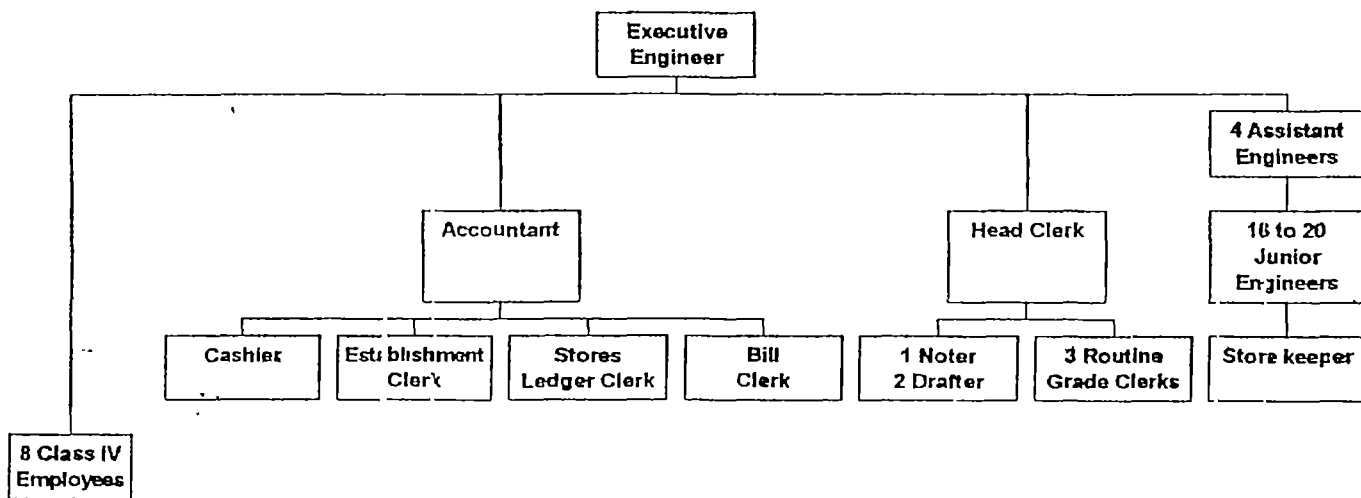
- NOTES (1) Only 2 levels below the Managing Director have been given above  
 (2) Typical divisional level structure is provided in the next Exhibit  
 (3) The above chart does not reflect the levels of personnel

March 1996



EXHIBIT - 6.02

TYPICAL DIVISIONAL LEVEL STRUCTURE - UPJN



NOTE The number of staff may vary from one division to the other, but the basic structure is as above

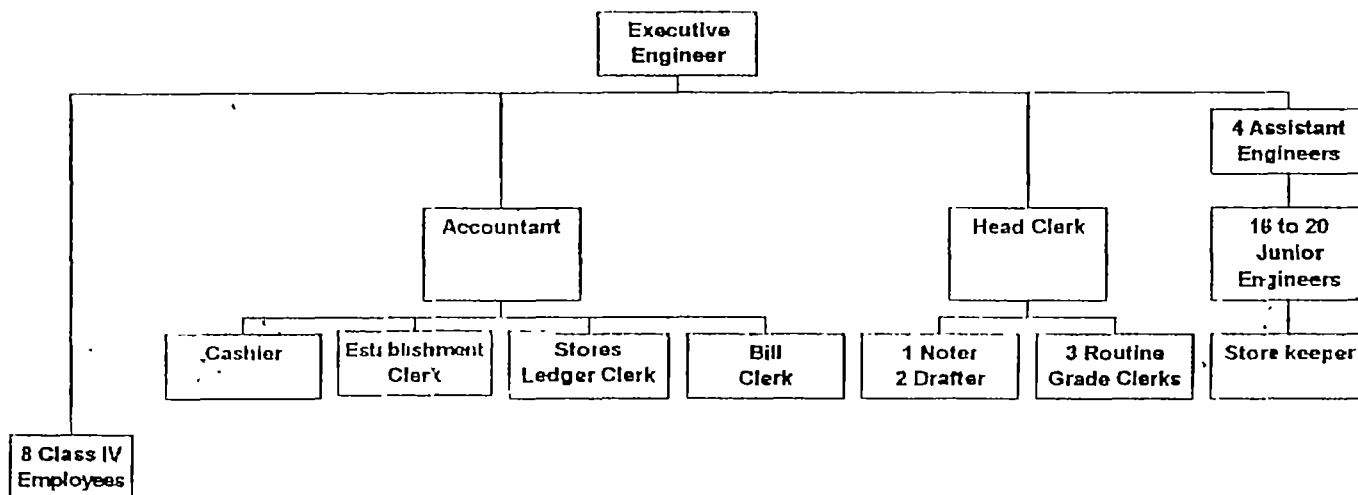
March 1996





EXHIBIT - 6.02

TYPICAL DIVISIONAL LEVEL STRUCTURE - UPJN



NOTE The number of staff may vary from one division to the other, but the basic structure is as above

March 1996



FIGURE 3.3.1

# AHMEDABAD MUNICIPAL CORPORATION Engineering Department

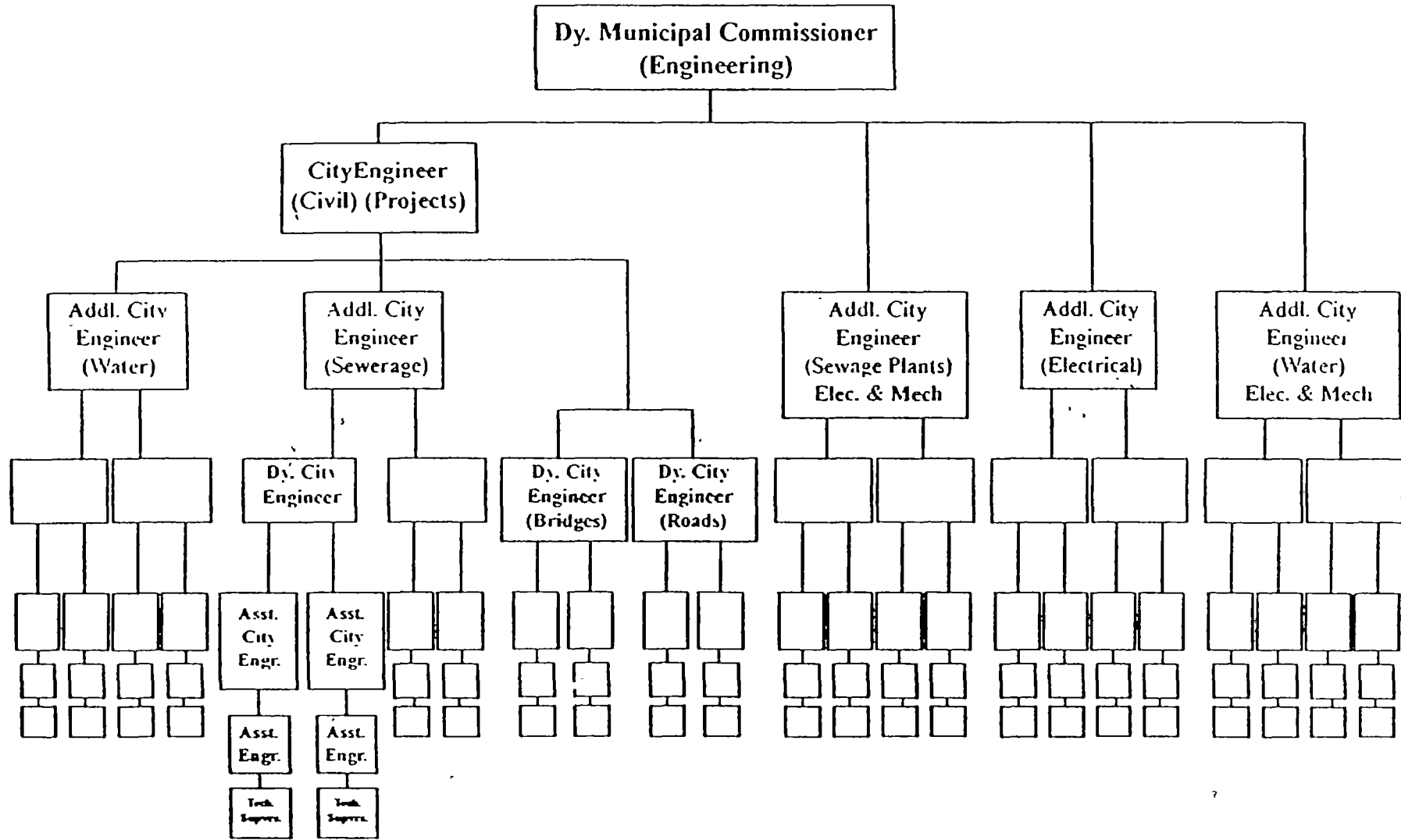




FIGURE 3.3.2

**AHMEDABAD MUNICIPAL CORPORATION**  
**Engineering Department**  
**Operations and Maintenance — Five Zones**

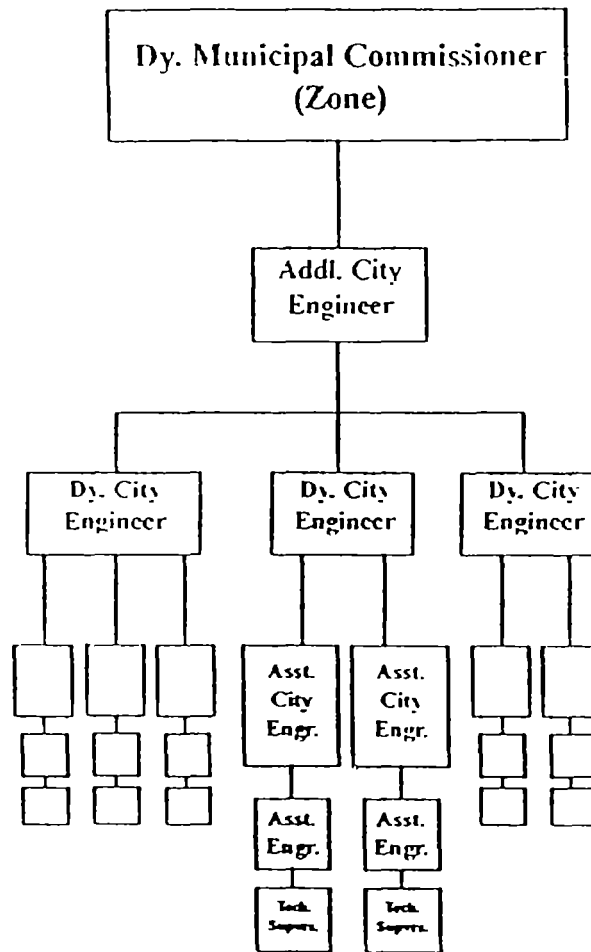
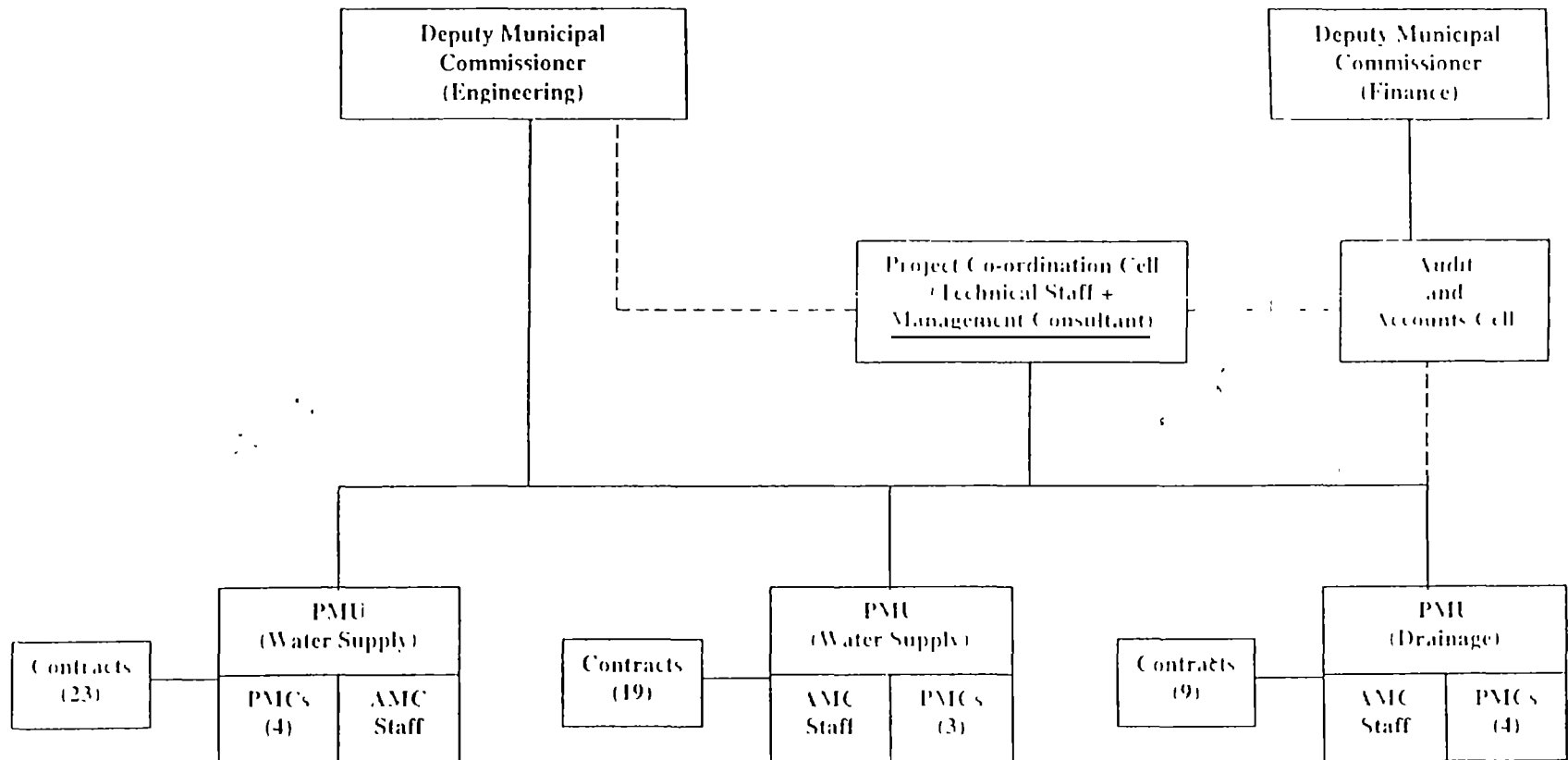




Figure : 3.5.1 Proposed Project Implementation Structure

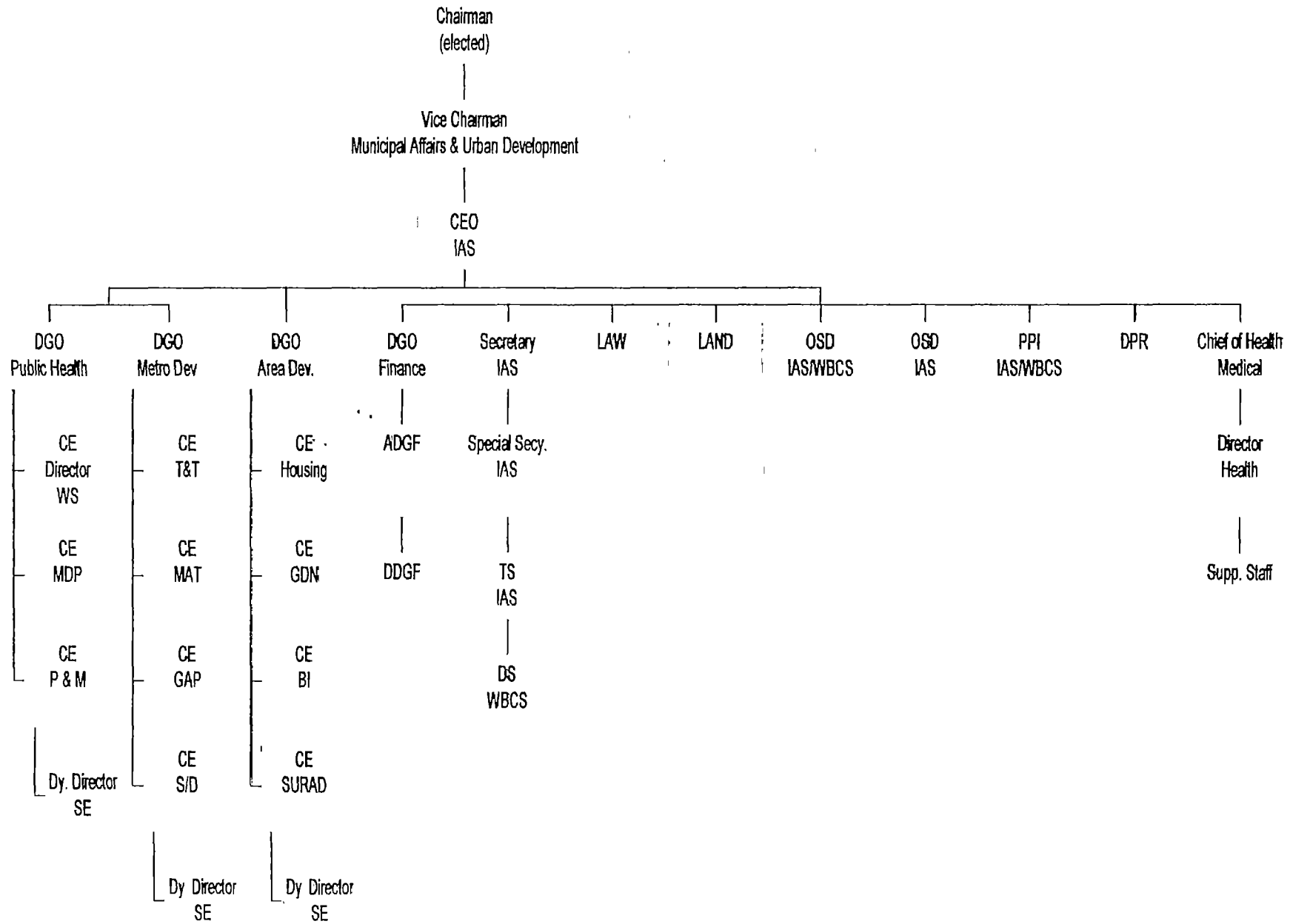


PMU - Project Management Unit  
 PMC - Project Management Consultant



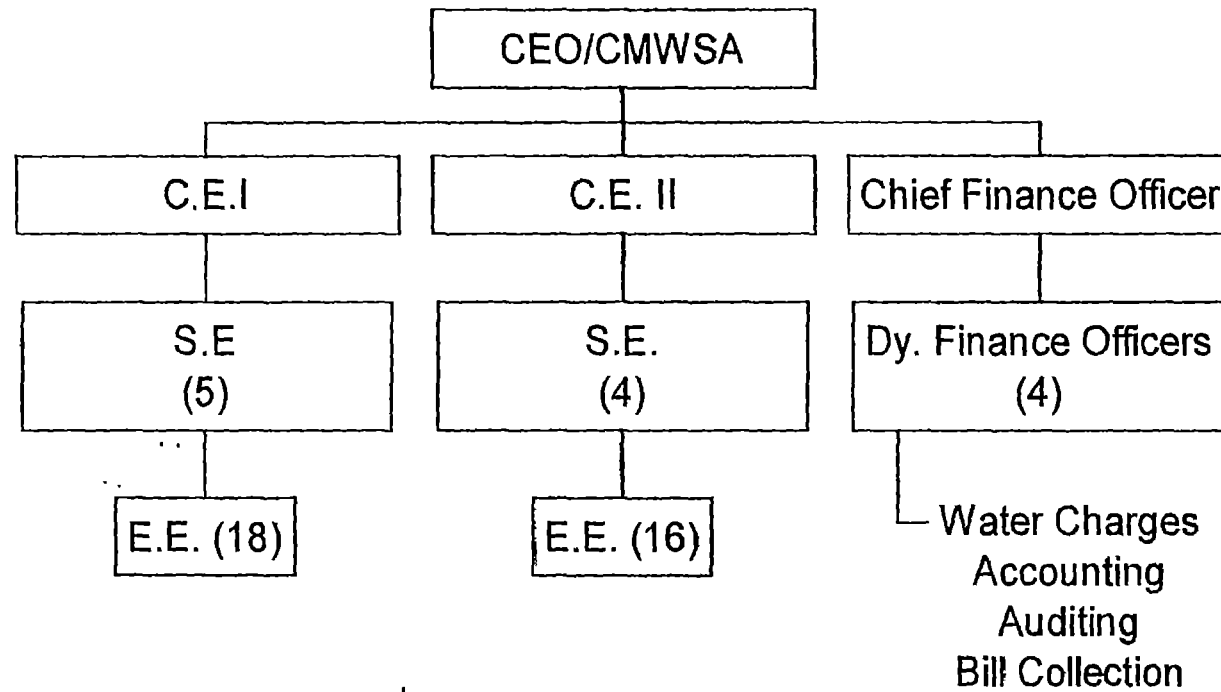


Calcutta Metropolitan Development Authority (CMDA - West Bengal)





# Calcutta Municipal Water and Sanitation Authority

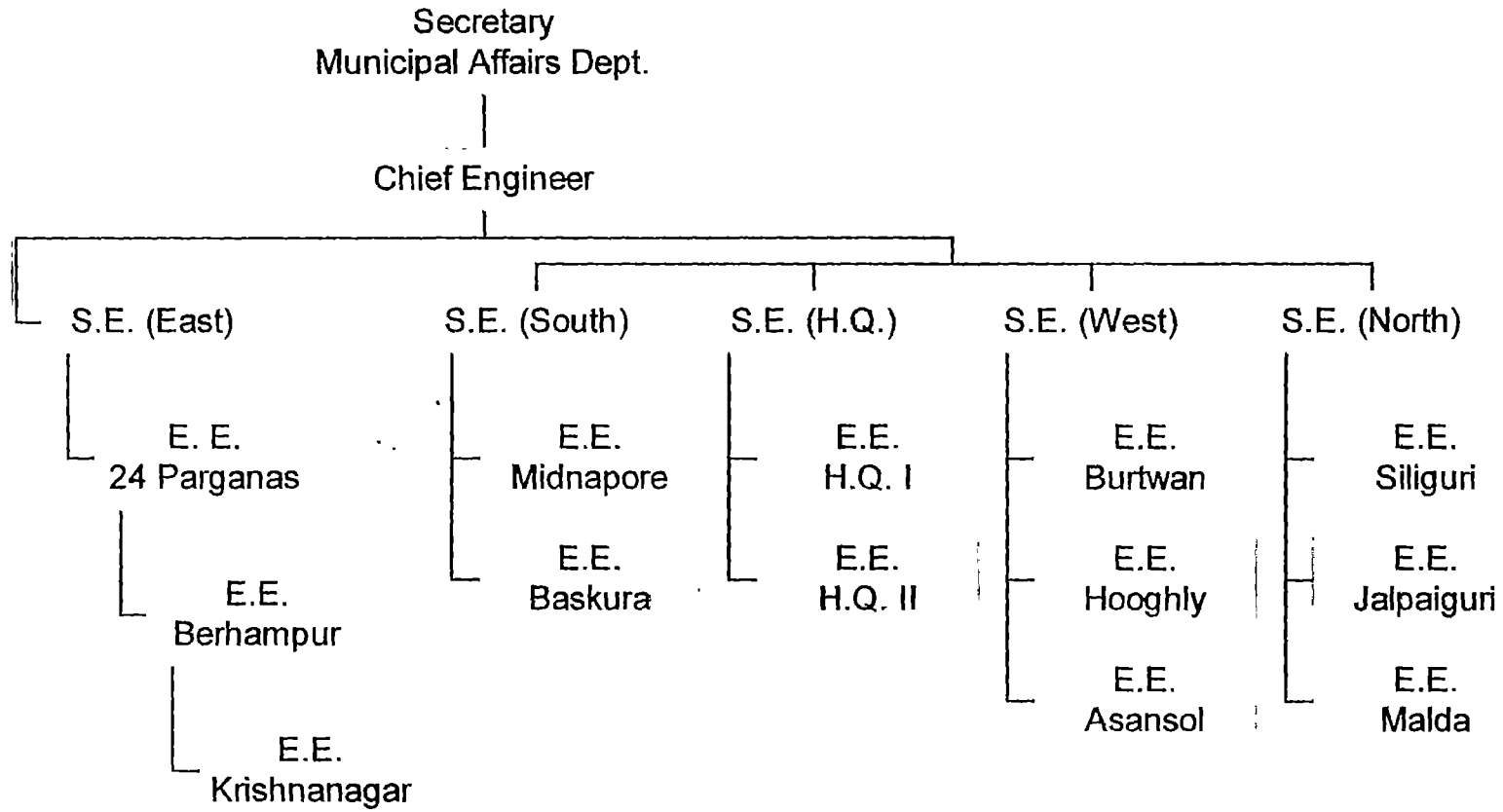


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Functions for Greater Calcutta  
Water supply  
sewerage  
drainage  
solid waste management



Organisational Set-Up of Municipal Engineering Directorate





## Annex 8 Summary of 1997 Programme Contents

Module Topic and Content	Phase
<b><i>Water and Environmental</i></b>	
Water, sanitation and health	1
Environmental impact	1
Social awareness and gender issues	1
Urban upgrading and slum movement	1
Water treatment	1 / 4
Water distribution	1
Water quality monitoring	1
Urban sanitation	1
Sewerage and sewer renovation	1
Solid waste management	1
Waste water treatment	1
<b><i>Management</i></b>	
Management, managing people and leadership	1
Motivation and empowerment	1 / 4
Delegation and team-building	1 / 4
Communication skills and presentations	1 / 4
Meetings, interviews and appraisal	4
Comparative management	1 / 4
Quantitative management information, use of personal computers	1 / 4
<b><i>Planning</i></b>	
Project planning, project cycle, logical frameworks and critical path analysis	1
Economics and cost benefit analysis	
Finance for non-financial managers	1
Tariffs and accounting for utilities	1
	1
<b><i>Institutional Development</i></b>	
Institutional analysis, institutional models and development	1 / 3
Privatisation and contracting out	1 / 4
Change management	1 / 4
Personal Institutional Development Plans	1 / 2 / 3 / 4
Fieldwork Institutional Development Plan	3
WATERMAN Management Exercise	4
India Management Case Studies	1 / 4
<b><i>Site Visits</i></b>	
Various sites and organisations in the UK, France and India	1 / 2 / 3 / 4





Recent key studies have contributed to the growing awareness of the value of commercialisation and a consumer oriented approach in the water and sanitation sector in India. To bring about the necessary changes, the water sector requires the development of a cadre of proactive managers. Substantial human resources development interventions are therefore required, of which MDSUPHO is potentially one of the key ones.

MDSUPHO is designed to consider the broad range of technical, financial, institutional, environmental and social issues associated with public health engineering in urban development. A variety of conventional and new, high and low-cost water and sanitation technologies are considered in the context of management and social issues to enable the participants to become better equipped to plan and supervise the operations and maintenance programmes of public health institutions. Management development is seen as a key to progress in water institutions and this along with institutional development will be at the heart of the programme.

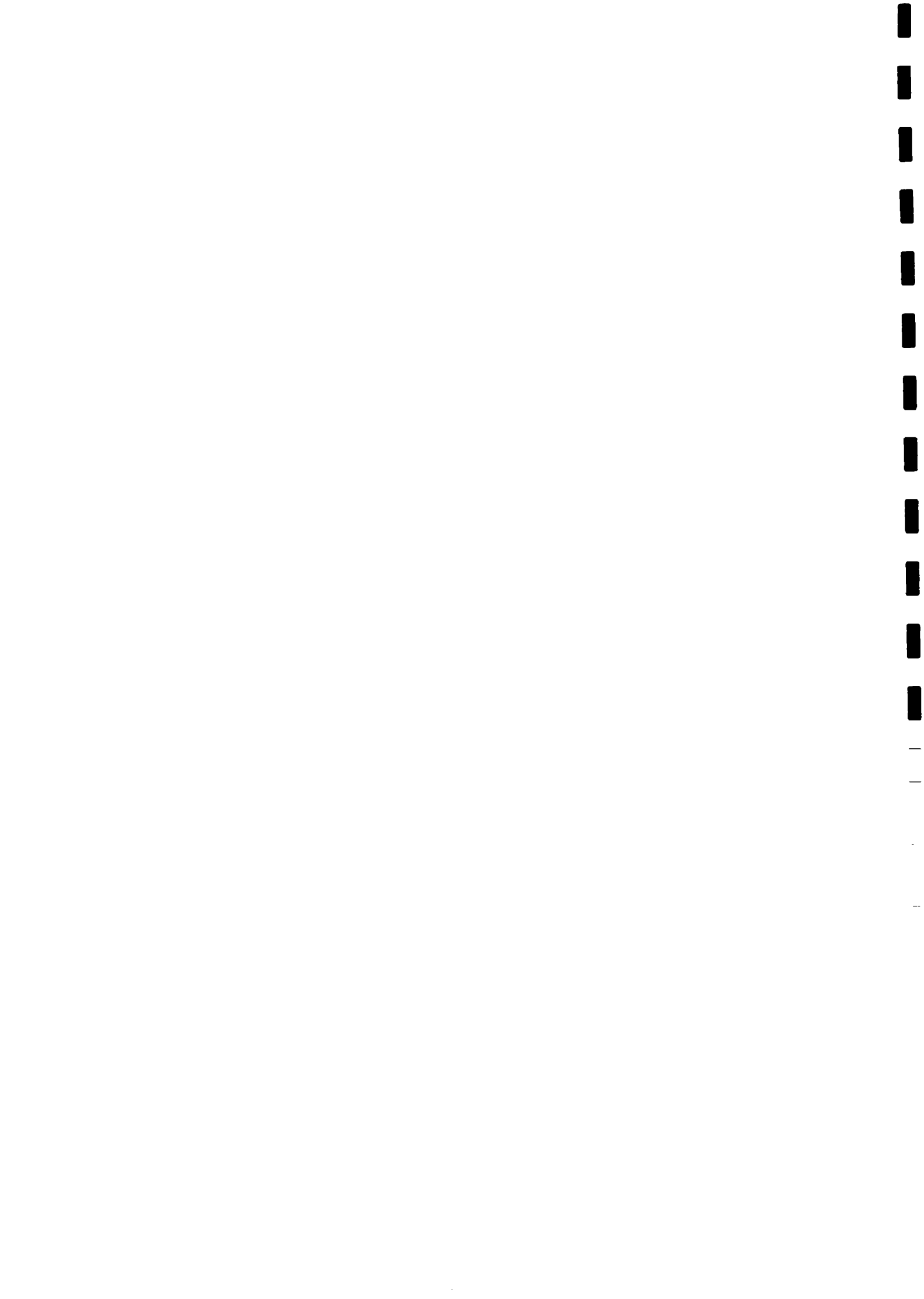
#### Learning Objectives

The key course learning objectives are as follows:

- a. To begin to change the approach and perspective of participants towards their customers i.e. communities, commercial users and individuals.
- b. To enable participants to understand the potential benefits and opportunities of a consumer-oriented and financially self-sustaining approach to water utilities management.
- c. To enable participants to use financial and institutional analysis tools in the Indian water sector.
- d. To provide participants with the skills to apply the commercial principles to their own work situation and thus bring about a change in themselves and potentially their organisations
- e. To enable participants to develop, implement and review their Personal Institutional Development Plans.
- f. To enable Senior Public Health Engineering Officials to be aware of the broader range of issues involved in Water Utilities Management, including technology choice, environment and gender.

#### Programme Structure

To bring about the necessary change to the participant's working approach, they invariably need to change their attitudes and practices and this takes time. It requires well-designed, supportive and participative training using a variety of training techniques, with time for



reflection, review and reinforcement. This is achieved on the MDSUPHO programme by 4 phases of training over the course of a year.

- Phase 1 at WEDC in the UK: where concepts are introduced and participants are exposed to examples of best practice and different technology options.
- Phase 2 in France – Study Visit: comparative site visits are made to a French operating company to experience alternative technical, managerial and institutional aspects of water management in France.
- Phase 3 in an Indian Case Study City: where participants systematically undertake institutional and financial analysis and apply these to the Indian context. This is followed by opportunities to reflect and apply the concepts in their workplace before phase 3.
- Phase 4 at ASCI, Hyderabad: is an opportunity to reinforce concepts and techniques, to review progress on their personal institutional development plans and to draw out lessons learnt.

### Methodology and Content

In running a management development programme, WEDC has designed a methodology to change behaviour and attitudes in course participants. This is done by transferring knowledge about alternative means of water and sanitation provision and different approaches to managing that provision. Changing attitudes includes aspects such as customer care and especially commercial orientation. The overriding goal is to change behaviour in the workplace as a result of the programme.

For that reason, WEDC employ a variety of training techniques which place a low emphasis on lectures and a strong emphasis on practise, whether through discussion or case study or simulation exercise or role play.

Throughout Phases 1 and 2, there is an emphasis on the technical part of the programme. This acts as a comfort entrée for participants, most of who usually have a strong technical engineering background. It also aims to engage and retain their interest.

There are two key technology elements to be considered. The first is of most interest to participants and that is to learn about and see the latest developments in water supply and treatment, sewerage technology and wastewater treatment in Europe,. This includes exposure to the latest technologies with emphasis on techniques and processes applicable in India. This is achieved through discussion-based learning periods at WEDC and site visits. Use is made of video and other visual material. Participants are encouraged to seek out issues, which are of particular technological interest to them and to use the WEDC Resources Centre.

There is some limited exposure to computer packages for design of technical aspects as this is a particularly dynamic area of development. This is done in a controlled manner, designed to increase the awareness of participants not only to the application potential of such tools, but



also to the practical implementation difficulties which will arise in many situations. This aspect of the programme complements the general computer awareness components of the course and seeks to increase the familiarity of the participants with information technology.

Site visits are made to different types of technological components relevant to public health services, particularly in the urban context in developing countries. On full day per week is dedicated to site visits to gain direct exposure to latest developments and thus enhance the material covered in Phase 1. Site visits also give the participant a chance to establish contacts with professionals within the water industry in the UK and France. In addition the visits complement the management and institutional issues involved with the implementation of the scheme as they are concurrently learnt during Phase 1. Visits are made to different types of water and wastewater treatment plants run by different water utilities.

During Phase 2, exposure to the latest techniques in Europe is a major justification for part of the programme being run in the UK. This element is enhanced by a two days visit to Lyonnaise des Eaux in France. This incorporates technical visits and also has the added advantage of exposing participants to French styles of institutional development, particularly the use of *affermage*, (a form of leasing) which is becoming popular in many low-income countries.

Participants work in groups and individually on case studies taken from commercial enterprises in Europe and North America (video based e.g. ABB, Otican, Lane Group, Service Master, Ocean Spray, Texaco, ICL, BAA, Royal Mail, Customs and Excise) and from water institutions world wide including WEDC research in Hyderabad, Nagpur, Bangalore and Chennai. From each of the cases studied, participants draw out lessons learnt in discussions and presentations.

Each participant has access to a personal computer (one computer exclusively assigned to two participants for the duration of the five weeks in the UK). For many participants this is their first introduction to computers and this is an opportunity to learn and practise keyboard skills in word processing and subsequently to prepare spreadsheets to analyse management information.

Personal computers are becoming increasingly available to managers in India. However, senior managers rarely have the time or opportunity to learn to use them. Participants also have the opportunity to develop familiarity with commonly used software. In addition, working with computers helps develop a more rational approach to decision-making and encourages more thorough and useful data collection.

The use of computers is enhanced by the use of Computer assisted Learning Packages. By this method participants are able to study at their own speed, subjects such as Leadership, Empowerment and Team-building. The interactive nature of the exercises and the self-testing



element, as well as the attractive displays all lead to better retention of the material than through conventional lectures.

The acquisition of skills is also complemented by the use of a number of video training programmes. Particular programmes are chosen with an emphasis on improving management effectiveness for water managers from different cultures. The main learning intentions are reinforced by group discussion and application to the home situation.

Finally, lectures and seminars on financial and strategic management of water utilities are complemented by a WEDC produced Simulation Exercise entitled WATERman.

### Participant Outputs

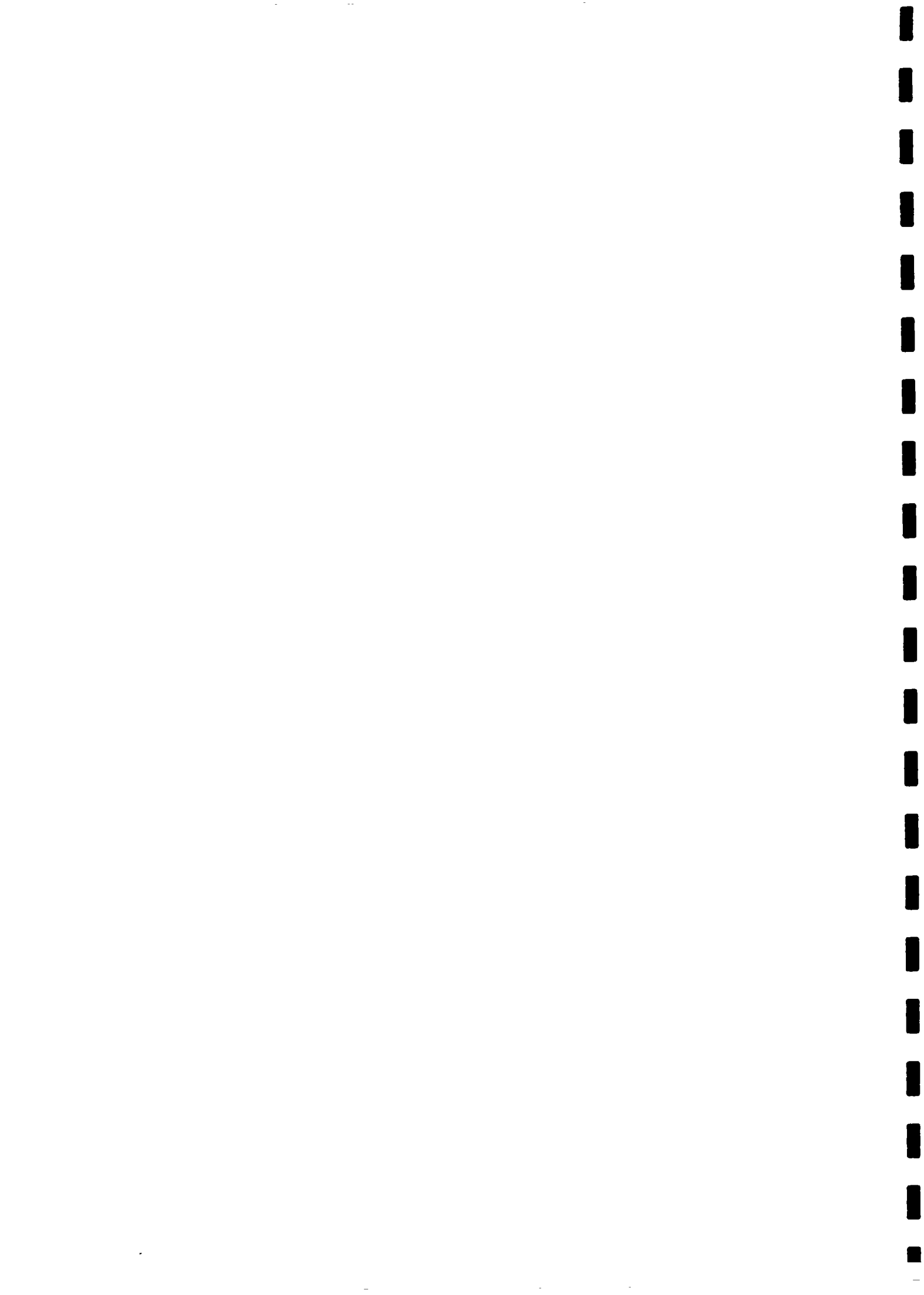
Each participant is required to complete an Individual Project during the five weeks in Loughborough. This provides a unique opportunity for private research and so each study fellow is asked to investigate a management problem that they have come across in the course of their work.

At the end of the project, the participant prepares an Institutional Development Plan for his/her own organisation, which is made more specific by the use of Project Frameworks. The plan is prepared by the participants on a personal computer, thus acquiring and sharpening new tools, which will provide further benefits by improving MIS skills.

Each participant is required to complete a Personal career development Planner during Phase 1 at Loughborough, which has to be discussed with the course tutors before returning to their place of work. At the end of each phase of the course, Personal Action Plans are prepared both for the individual's skill acquisition and for the workplace activities. The plans are used by participants to consider their current professional responsibilities, strengths and weaknesses and objectives and strategies for achieving these objectives.

Underpinning the preparation of these plans is the use of Daily Learning Logs which requires the participants to spend fifteen minutes at the end of each day reflecting on the highlights of the day's activities and learning. They then write a brief summary of what struck them as most interesting and describe how that activity could be implemented in their workplace.

These daily learning logs are summarised in a Weekly Action Plan. This plan is presented orally to colleagues, thus reinforcing lessons learnt and reminding each other of useful ideas whilst practising important presentation skills. These weekly plans then form the basis for the Personal Action Plans.





## Assessment

The basis of assessment focuses on management skills, techniques, external awareness and management performance of the participants as individuals and in the group situation. Some of these are assessed directly and some are assessed indirectly.

Written evidence that is available includes:

- Worksheets showing participants' analysis of case studies
- Worksheets showing their performance using particular techniques
- WATERman performance, numerically and in terms of their stated strategy
- Personal development Action Plans, initial and revised
- Organisational development action Plans, initial and revised
- Institutional Development Action Plans
- Individual projects

Tutor evidence is also available and this includes.

- Impressions of performance in case studies
- Discussions of techniques
- Debates
- Discussions of guest sessions



**Annex 10**

**MDSUPHO Course Transfer Action Plan**  
**Transfer Plan 1997-1998**  
**Outline Action Plan for 1999 to 2004**  
**Additional Cost Estimates Compared to 1997**  
**Beyond 2004**

**Prepared by WEDC and ASCI**  
**January 1998**



## Annex 10.1 MDSUPHO Course Transfer Action Plan 1997 - 1998

Key Activities	1997	1998
1. Briefing by ASCI and BCD at ASCI Delhi Centre (between 9-11 <sup>th</sup> April 1998)	-	ASCI
2. Joining instructions to be issued early after confirmation of nominations	-	WEDC and BCD
3. <b>Phase I at WEDC (13/4/98 – 15/5/98)</b> Initiating transfer of Phase I including: a) Exchange training material, plan sessions b) Early arrival for pre-course planning between ASCI and WEDC c) Two ASCI staff to take over some lectures d) Inclusion of France visit (to be confirmed) e) Ongoing joint planning review of lectures	-  -  WEDC	WEDC/ASCI  Mr Chary of ASCI Mr Chary & Mr. Pappu WEDC/ASCI WEDC/ASCI
4. <b>Phase II Fieldwork in India (20/5 – 4/6?)</b> Ongoing transfer of Phase II including: a) Field visit preparation b) India field work organisation c) Case study report prepared and issued by:	BCD/ASCI WEDC/ASCI WEDC	ASCI led/BCD ASCI led/WEDC ASCI reviewed by WEDC
5. <b>Phase III at ASCI, Hyderabad (24/11-3/12)</b> Ongoing transfer of Phase III including: a) Organise and facilitate Phase III sessions b) Orientation of ASCI trainers to India Water Sector with specific seminars and prepare outline of training manual c) <b>MDSUPHO Programme Review</b>	WEDC led  -	ASCI led  WEDC/ASCI  Joint review after Phase III with: ASCI, DFID, Ministry and WEDC

### Additional Inputs

In order to maximise potential benefits and enhance the sustainability of the course the following additional inputs should be considered:

- Marketing strategy developed and implemented
- Training of Trainers course for ASCI MDSUPHO staff
- Training Manual to be jointly developed by ASCI and WEDC
- Training material (videos, etc.) for past participants to use
- Water Sector Change Management Workshop to consider management development issues for the Indian water sector and to promote the MDSUPHO course
- Further Collaboration between ASCI, WEDC and DFID on other work



## 10.2 MDSUPHO Outline Action Plan for 1999 to 2004

Key Activities	1999	2000-2004
1. Briefing by ASCI & BCD at ASCI Delhi centre	ASCI	ASCI
2. Joining Instructions to be issued early following confirmation of nominations	To be agreed	To be agreed
<b>3. Phase I</b> Ongoing transfer of Phase I including.		
a) training at ASCI	2 weeks	3 weeks
b) training and field visits at WEDC, UK	3 weeks	
c) overseas study tour and training (note the study tour will include training sessions)		2 weeks
<b>1. Phase II Fieldwork in India</b> Ongoing transfer of Phase II including:		
a) field visit preparation	ASCI/BCD	ASCI led/BCD
b) manage India Field work	ASCI, supported by WEDC	ASCI with support to be agreed
c) case study report prepared and issued by:	ASCI, reviewed by WEDC	ASCI with support to be agreed
<b>1. Phase III at ASCI in Hyderabad</b> Ongoing transfer of Phase III including:		
a) Organise and facilitate Phase III sessions	ASCI supported by WEDC	ASCI with support to be agreed
b) Orientation of ASCI trainers to India water sector with specific seminars	ASCI/WEDC	To be agreed
c) Alumni workshop	To be agreed	To be agreed
d) <b>MDSUPHO Programme Review</b>	To be agreed	To be agreed





### 10.3 Additional Cost Estimates Compared to 1997

Key Activities	1998	1999
1. K Sansom's time in January 1998 review	£ 4,600	
2 Briefing by ASCI and BCD at ASCI Delhi Centre <ul style="list-style-type: none"> <li>• Conference hall &amp; faculty participation</li> <li>• Travel cost</li> </ul>	free £ 250	
3. Phase I at WEDC (13/4 – 15/5/98) Initiating transfer of Phase I including:		
a) exchange of training material and begin session plans	Costs included	
b) pre-course planning in UK between ASCI & WEDC for session transfer: WEDC faculty costs	£ 2,000	
c) 2 ASCI staff to take over some lectures Mr. Chary 6 weeks expenses in UK Mr Pappu. 3 weeks expenses in UK Flights for 2 persons	£ 3,986 £ 2,093 £ 2,000	
d) ongoing joint planning of review lectures	Costs included	
4. <b>Phase II Fieldwork in India (20/5 – 4/6?)</b> Ongoing transfer of Phase II including:		
a) ASCI Field visit preparation costs	£ 750	
b) ASCI off campus fees. travel and accommodation expenses	£ 5,300	
c) Case Study Report prepared & issued by ASCI	£ 850	
5. <b>Phase III at ASCI, Hyderabad (24/11 – 3/12)</b> Assume MUAE will pay ASCI's costs K. Sansom's participation in fieldwork, ASCI staff orientation in water sector. training manual outline and MDSUPHO programme review:		
• Staff costs for 14 days	£ 5,600	
• Travel and subsistence	£ 3,040	
• R Franceys participation in Review	£ 1,000	
This equates to John Calvert's time spent at ASCI in 1997	£ 9,640	
<b>Additional Costs compared to 1997</b>	<b>£ 19,829</b>	



#### 10.4 Beyond 2004

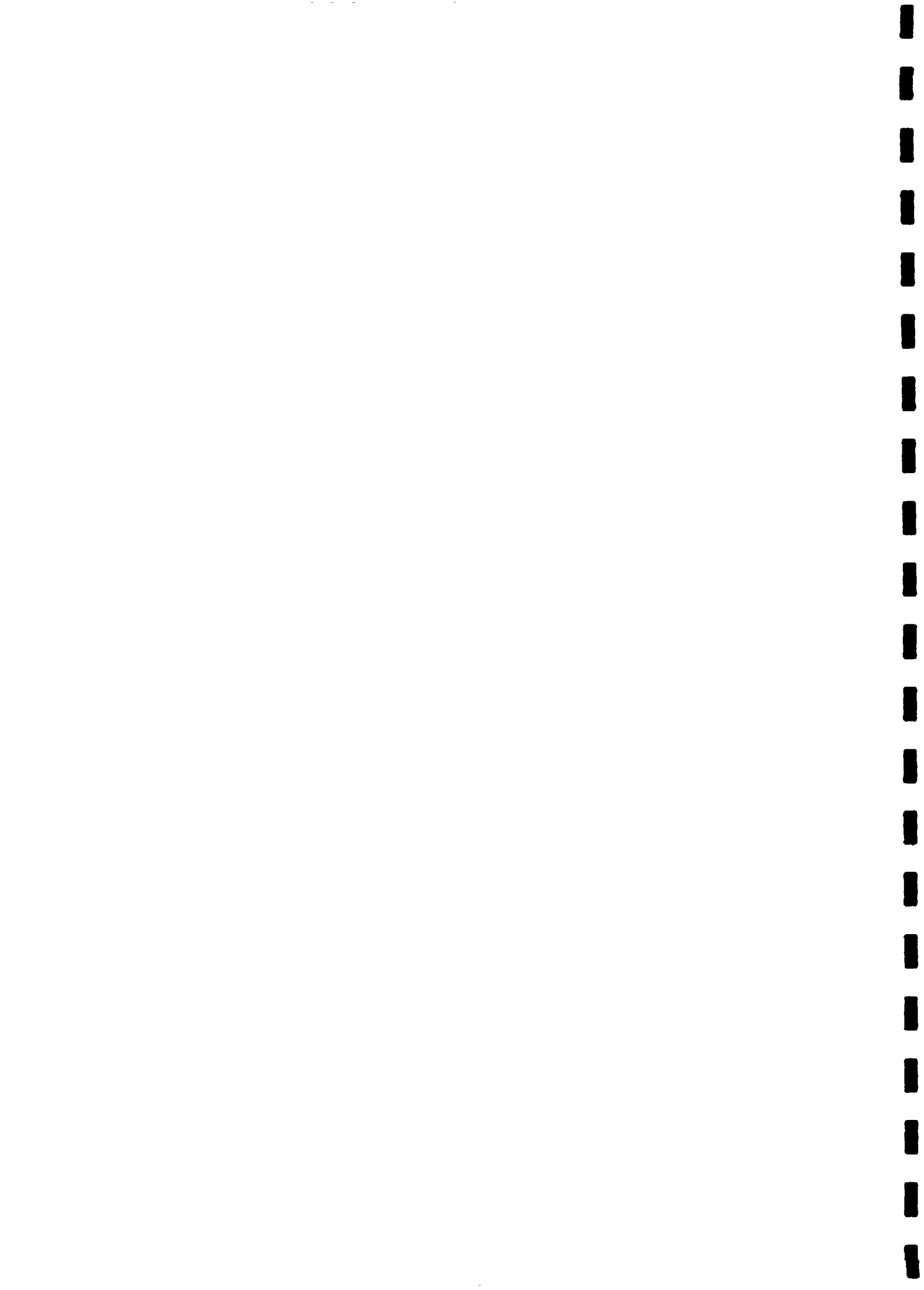
Possibilities for the development of the MDSUPHO course and ASCI's involvement in the sector could include the following:

- Market maturity-demand driven approach to participant selection
- Cost sharing between State Governments and Municipalities
- Widening the client base
- Overseas component preferable?
- Refinement in methodologies
- Regional focus
- Increased collaboration with WEDC and DFID
- Water sector complementary training, consultancy and research work
- Replication of course in other institutions/countries
- Capacity building of institutions in the water sector
- ASCI emerges as a policy support for water sector reform

Prepared by:

Dr. Raju, Dean of Studies, ASCI  
Mr. Srinivas Chary, Programme Coordinator, ASCI  
Mr. Kevin Sansom, Programme manager, WEDC

28 January, 1998



## Annex 11 Questionnaire used for Assessment of Impact

### Questionnaire for MDSUPHO review

As a past participant on the **Management Development for Senior Public Health Officials Course**, we value your views and suggestions on the course and request you to spend a few moments answering the following questionnaire.

Name	Age	Year Attended	Ref. No
------	-----	---------------	---------

#### BACKGROUND INFORMATION

1. Who was your employer when you attended the course? Have there been any changes in your circumstances since then?
2. What value does your employer put on the course ? Any past /future participants?
3. What was your government grade then and what is it now? If different, when were you promoted?
4. Were you offered a new post when you returned? If so what post?
5. Give details of the structure of your organisation and other water/sanitation parastatals who may be involved in operations/maintenance activities in your state? (If possible please draw an organisational chart and attach to questionnaire)
6. How many people work for you directly?
7. How many male/female superintending engineers & executive engineers work in your organisation?

#### PROGRAMME SPECIFIC INFORMATION

8. How did you hear about the MDSUPHO course?
9. How were you nominated and what was the nomination process for you ? What improvements could be made?
10. Looking back, what were the aspects that you valued most about the course?
11. What did you learn about, which you could easily apply to the Indian situation?
12. What topic areas would add or give more time to ?



13. What changes would you make to the whole programme -start date, timing of three legs. delivery, size of group, logistical arrangements, etc.?
14. Would you see any value in public health officials such as non engineers coming on the course? What impact might they have had?
15. If the course was changed to be delivered by an India training provider, without an UK leg would you still have attended?
16. Give examples of how you have introduced change management in your organisation . Have you introduced any new management techniques to your organisation?
17. Have you introduced any improvements which particularly benefit your staff?
18. How many people have directly benefitted from you spreading good practice?
19. Can you give any examples of changes in attitude by your senior managers which have brought about privatisation or outsourcing measures in your organisation?
20. Are there any constraints to introducing change in your organisation? If yes, please explain

CONCLUDING REMARKS

21. Give four words that sum up overall opinion about the learning experience?
22. Do you have any other comments or suggestions as to how the programme can be improved?
23. Do you get the opportunity to meet or keep in touch with colleagues who you met on the programme? Would there be any benefit to setting up an alumni network?
24. Do you feel the need for any additional courses or programmes addressing your specific management development requirements? If yes, please specify.
25. Any other comments or suggestions?





## 12.1 Annual Fixed Costs

Item	Unit Cost Pounds Sterling		No.	Total Cost Pounds Sterling
	DFID	India		
Int Training fees – UK	2565.00	Zero	12	30780.00
Int Training fees – Case Study – India 1	11600.00	Zero	1	11600.00
India Training fees – Case Study – India 1	Zero	Zero	-	Zero
Int. Training Fees – Reinforce leg – India 2	11600.00	Zero	1	11600.00
India Training fees – reinforce leg – India 2	Zero	Zero	-	Zero
Training Resource Materials*	1600 00	Zero	1	1600 00
Management Fee – B. Council	4500.00	Zero	1	4500.00
<b>Total</b>				<b>60800.00</b>

Notes

All costs are based on 1997 rates

\* Total cost spread equally over 4 years of the programme



## 12.2 Annual Variable Costs

Item	Unit Cost Pounds Sterling		No.	Total Cost Pounds Sterling
	DFID	India		
<b>UK Trainers</b>				
Travel Costs – International	2260.00	Zero	4	9040.00
Travel Costs – India	70.00	Zero	4	280 00
Subsistence Costs – India	90.00	Zero	48	4320 00
<b>Participants</b>				
Time spent in the UK	Zero	175.00	12	2100.00
Time spent in India	Zero	160.00	12	1950.00
Travel Costs – International	800.00	Zero	12	9600 00
Travel Costs – India	90 00	90.00	12	2160.00
Subsistence Costs – International	3185 00	Zero	12	38220.00
Subsistence Costs – India	Zero	200 00	12	2400.00
<b>Total</b>				<b>70070.00</b>

**Notes:**

All costs are based on 1997 rates



## Annex 13 Institutes investigated

The team undertook a preliminary investigation of alternative training providers for MDSUPHO. It should be noted however that this investigation was restricted to information gathered over the telephone and through discussions. Due to time constraints, the review team was unable to undertake a systematic analysis of management training and water sector training institutes. The methodology of investigation is indicated in parenthesis.

1. **Symbiosis Institute of Management, Pune** – offers degree/diploma courses, brochure enclosed, no interest in the WATSAN sector, no short courses offered. (**visited**)
2. **Centre for Development Studies & Activities, Pune** offers a degree course in Development Studies. no short courses, no expertise in the water sector (**meeting** with faculty member)
3. **IIT-Powai, Mumbai** - offers degree and diploma courses, no interest in developing different short courses, no specific sectoral interest (**telephone research**). Recently the Institute offered a solid waste seminar for municipal commissioners, also attended by Chief Secretary (**HRD Meeting, Nashik**).
4. **Bajaj Institute of Management Studies, Mumbai**– no sectoral interest, offers an MBA
5. **SP Jain College of Management Studies, Mumbai** – management diploma, degree with a rural development component (mandatory field work and action research), no short courses in water sector, no demonstrated sectoral interest (**telephone research with ex-students**)
6. **Indian Institute of Management, Ahmedabad, Gujarat** Offers a general management diploma. Has recently started offering short courses such as Small & Medium Enterprise Development (**Economic Times/Discussion with ex-students**)
7. **Gujarat Jal Seva Training Institute, Gujarat** Mainly a technical training institute, GJTI does not at present have the capability to run change management programmes such as MDSUPHO. However, based on past performance, and with external support and assistance, they are a good choice for a regional MDSUPHO programme. (**Visited**)
8. **Indian Institute of Technology – Delhi** offers degree/diploma course, no short courses, No demonstrated interest in the water sector. Offers the MSc in Public Health Engineering. (**visited**)
9. **India Training Network** Not very active for various reasons. (Meetings/Discussions - RWSG-SA, IRC, member institutes).



10. **All India Institute of Local Self Government, Mumbai, Maharashtra** – Director, Ms. Sneha Palnitkar. The Institute offers courses for all levels of government officers India-wide (AIIILSG has several branches) in solid waste management, O&M related issues in water supply, waste water management, WQM, community management of services, etc. (visit to the Institute, meeting with Ms. Palnitkar and Chief Engineer- BMC- Mr. Vohra). The institute presents possibilities for the development of a state-level or western region targetted MDSUPHO programme. **The team recommends further investigation.**
11. **Nashik Research & Training Centre, Maharashtra** – offers a host of technical courses and caters mainly to WSS project training needs (IDA & DFID). GOM has commissioned a study of NRTC to examine its strengths and weaknesses and reformulate its mandate. MDSUPHO fellows and Chief Secretary WSSD, GOM, have expressed interest in adapting MDSUPHO for executive engineers at NRTC.
12. **Yeshwantrao Chavan Academy of Development Administration, Pune**- no water sector expertise but a well-known centre for learning enjoying a rather privileged status in Maharashtra. Excellent facilities, offers lots of courses in gender and community participation. (visit and meeting)
13. **Institute of Local Government and Urban Studies- Calcutta, West Bengal.** A team member was able to visit this institute briefly. ILGUS is involved in the FIRE programmes sponsored by the National Institute of Urban Affairs and runs several short courses for executive engineers and administrators from municipalities.
14. **All India Institute of Hygiene & Public Health, Calcutta, WB**– The team strongly recommends that this institute be investigated further. Discussions in West Bengal with CEs and SEs of the PHED and corporation, revealed that AIIHPH is very highly thought of and is considered a premier and unique organisation. Alumni from AIIHPH speak very highly of the interactive course content, the dynamic institute director and the unique blend of technical and other disciplines. The team was, however, unable to visit the Institute. Prof. Nath, the director participated in the MUAE sponsored, MSc meeting in New Delhi and met with review team members.
15. The team was unable to visit the **Housing Settlements and Management Institute, New Delhi** (sponsored by HUDCO). It is strongly recommended that this be investigated further given that HUDCO has been at the forefront of financing urban infrastructure and in introducing better cost recovery measures for the water sector in various states.
16. There are several other institutes that the team was unable to investigate. A thorough investigation of management training and sector-focussed institutes is required in order to explore further the possibility of maximising impact through courses delivered in different states





## Annex 14 Some Points to Consider for Effective Transfer

1. Identification of potential pool of resource persons to run the course. These could, in effect, be past participants who are identified, based on -
  - expressed interest
  - demonstrated aptitude
  - sector knowledge/exposure
  - ability to be associated with the course on an on-going basis
  - willingness to make a commitment to the course for a given time frame
2. Training of selected persons in :
  - methodologies
  - course design and content
  - annual course planning
  - sector specific issues
3. Handover of course delivery:
  - Identification of local course-in-charge
  - 4-year plan for handover of responsibilities agreed upon by stakeholders
  - year 1: ASCI trainers to have clear roles as resource persons in all legs
  - Year 2: WEDC as co-trainers (sharing of responsibilities ASCI: WEDC::80:20)
  - Year 3: No delivery inputs from WEDC (moderator's role)
  - Year 4; Supportive role by WED (observer)
4. Process of handover to ASCI
  - Clear agreement on handover timeframe and detailed schedules
  - Roles/commitments/action points spelt out for each stakeholder
  - Responsibility for local arrangements specified and agreed to by ASCI & BC
  - Budget drawn up detailing who will pay for component/how
  - Time budgeted for forward planning (all parties together) on an annual basis
  - Individuals identified at WEDC, ASCI and DFID responsible for MDSUPHO
  - Arrangements for moderation (including financial support) through the extended handover phase agreed upon
  - Marketing strategy for the course developed and implemented
  - Plan prepared for long-term financial sustainability of the course
5. DFID's role and long-term interests in the programme
  - A firm mandate from DCO to WSO emphasizing its role in quality control
  - Designated WSO contact point with responsibility for the programme
  - More active promotion of the benefits of the course by WSO to DCO and within DFID
  - Focused efforts by DFID to effectively utilise contacts/opportunities generated



## **Annex 14     Some points to consider for effective handover:**

1. Identification of potential pool of resource persons to run the course. These could, in effect, be past participants who are identified, based on -
  - expressed interest
  - demonstrated aptitude
  - sector knowledge/exposure
  - ability to be associated with the course on an on-going basis
  - willingness to make a commitment to the course for a given time frame
  
2. Training of selected persons in :
  - methodologies
  - course design and content
  - annual course planning
  - sector specific issues
  
3. Handover of course delivery:
  - Identification of local course-in-charge
  - 4-year plan for handover of responsibilities agreed upon by stakeholders
  - year 1: ASCI trainers to have clear roles as resource persons in all legs
  - Year 2: WEDC as co-trainers (sharing of responsibilities ASCI: WEDC::80:20)
  - Year 3: No delivery inputs from WEDC (moderator's role)
  - Year 4; Supportive role by WED (observer)
  
4. Process of handover to ASCI
  - Clear agreement on handover timeframe and detailed schedules
  - Roles/commitments/action points spelt out for each stakeholder
  - Responsibility for local arrangements specified and agreed to by ASCI & BC
  - Budget drawn up detailing who will pay for component/how
  - Time budgeted for forward planning (all parties together) on an annual basis
  - Individuals identified at WEDC, ASCI and DFID responsible for MDSUPHO
  - Arrangements for moderation (including financial support) through the extended handover phase agreed upon
  - Marketing strategy for the course developed and implemented
  - Plan prepared for long-term financial sustainability of the course
  
5. DFID's role and long-term interests in the programme
  - A firm mandate from DCO to WSO emphasizing its role in quality control
  - Designated WSO contact point with responsibility for the programme
  - More active promotion of the benefits of the course by WSO to DCO and within DFID.
  - Focused efforts by DFID to effectively utilise contacts/opportunities generated

