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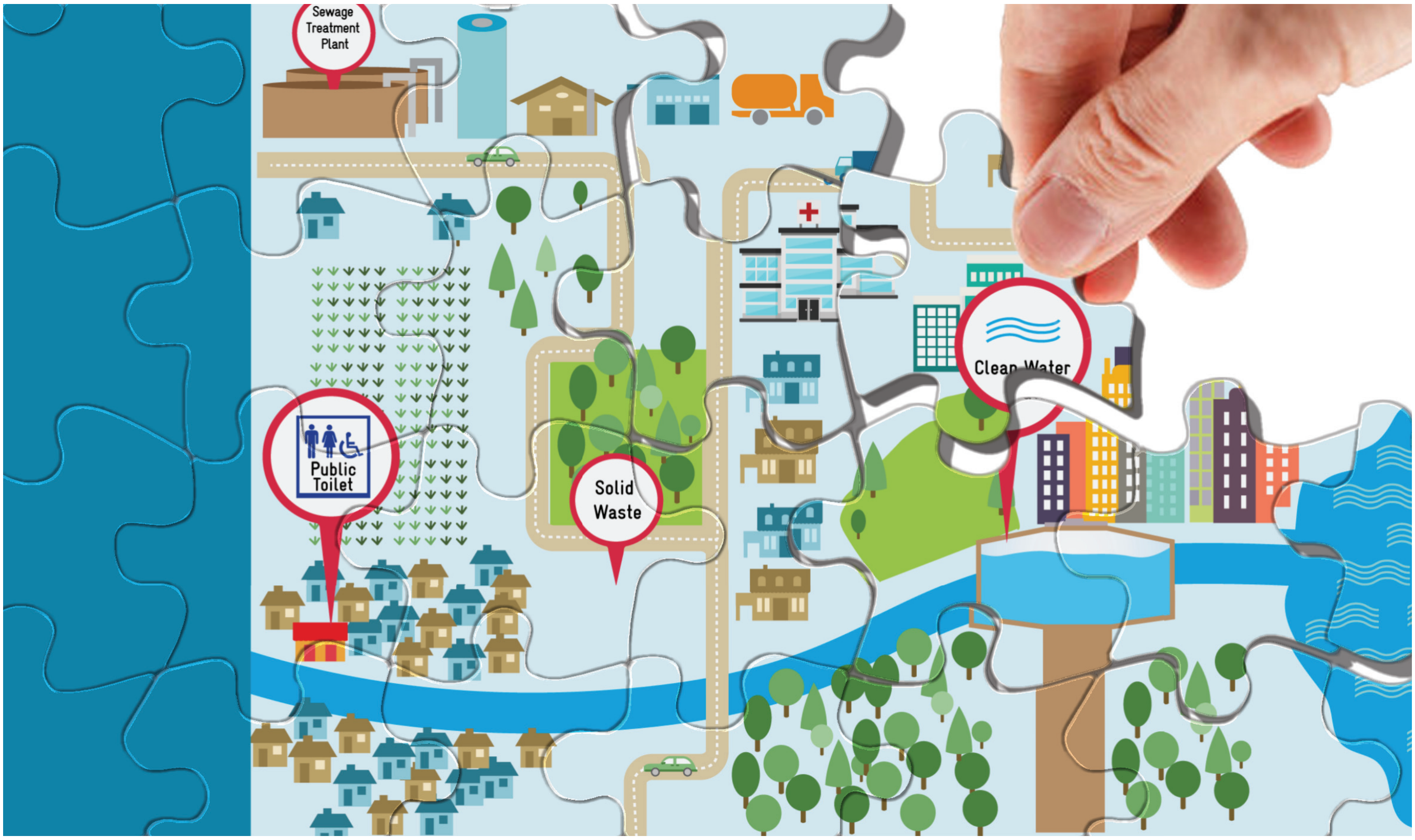


Preparing City Sanitation Plan

Trainer's Manual

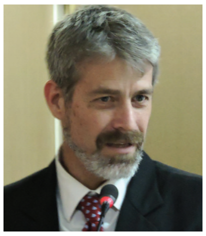
About GIZ India

Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH is owned by the German Government and works in the field of international cooperation for sustainable development. GIZ is also engaged in international education work around the globe and currently operates in more than 130 countries worldwide.

Germany has been cooperating with India by providing expertise through the organisations now forming GIZ, for more than 50 years. To address India's priority of sustainable and inclusive growth, GIZ has been implementing efforts along with the partners in India on the Sustainable Urban and Industrial Development; among others.

Support to National Urban Sanitation Policy (SNUSP) Project – II, as part of Indo-German Co-operation, supports Indian government in implementation of its sanitation improvement schemes and missions such as National Urban Sanitation Policy (NUSP), Swachh Bharat Mission (Clean India Mission) and Atal Mission for Rejuvenation and Urban Transformation (AMRUT). The objective of the project is to support Indian government in making all Indian cities and towns totally sanitised, healthy and livable and ensuring sustainable good of public health and environmental with special focus on the urban poor and women.

Foreword



During the past decade, the number of Indian towns and cities with over 5,000 inhabitants has grown rapidly. A major component of the infrastructure and services, the water supply and waste water management system, has not been able to keep pace with the needs of the rising urban population. Looking to address such challenges, in 2008, India's Ministry for Urban Development launched the National Urban Sanitation Policy (NUSP), a comprehensive policy framework for municipal sanitation systems facilitating their improvement. In 2014, the central government reinforced its commitment by launching the *Swachh Bharat Mission (Clean India Mission)*. The ministry also launched *Atal Mission for Rejuvenation and Urban Transformation (AMRUT)* and *Smart Cities*, the two other important missions targeted to urban development, which focus on improving infrastructure and services in Indian cities. In all these initiatives, emphasis has been given on planning and monitoring for better implementation of the projects. City Sanitation Plan (CSP) is one such tool; CSP is both a planning tool and a vision document for city-wide sanitation recognised by the National Urban Sanitation Policy in 2008 and The Swachh Bharat Mission (SBM). MoUD, recognized the importance of CSPs for achieving significant improvements in the urban sanitation sector. They made the preparation and implementation of CSP a priority in the Indo-German technical cooperation project "Support to the National Urban Sanitation Policy II (SNUSP II)" with Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH.

For facilitating and strengthening this process, GIZ in cooperation with Centre for Science and Environment (CSE) has developed an innovative and unique training and handholding programme on 'Preparation of City Sanitation Plans' which makes an attempt to link trainings to achievement of concrete results on the ground and capacitating states to become the agent of change in the sanitation sector. For the training sessions on Municipal Finances, GIZ has collaborated with Centre for Good Governance (CGG), who contributed with their vast experience in financial management of Urban Local Bodies. The structure and modules of the training were developed based on the experiences of GIZ – SNUSP during the first phase of the project (2011-2014) in preparing CSPs.

This Training of Trainers (TOT) manual has been designed to aid the trainers to prepare themselves on the specific tools of CSP preparation. From developing vision and strategy for cities to action plan and budget plan; various aspects of CSP preparation have been detailed here in the manual. This will help trainers prepare well for conducting the training. The TOT will help the trainers to learn how to use this training as a tool for implementation of city-wide sanitation planning at a large scale. The aim of the training programme is to upscale a structured and systematic approach towards preparation and implementation of CSP through the state and local trainings institutes reaching every city in the state fostering know-how and ownership.

I congratulate my team and partners for developing a very good document which will contribute to the larger goal of improving the sanitation sector at city level and making India healthy, hygienic and an environment friendly place liveable for all.

Dirk Walther
Project Director
Support to the National Urban Sanitation Policy II

Contents

Introduction & Framework of Training and Handholding Process

THE CSP PREPARATION TRAINING AND HANDHOLDING PROGRAMME

Ensuring citywide sanitation is challenging and needs strategic planning as well as involvement of various stakeholders, such as decision makers at state and city level, city engineers and technical experts in areas of urban planning, sanitation, technical infrastructure and financing.

Important requirements in establishing a citywide sanitation system on the ground are strong institutions and technical as well as managerial capacities at state and city level. For this, among other objectives, Ministry of Urban Development (MoUD) and Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH have joined hands and started the project "Support to the National Urban Sanitation Policy II – SNUSP II". As part of this project GIZ together with partner states and the Centre for Science and Environment (CSE) has developed a stepwise training and handholding programme to capacitate urban local bodies (ULB) in preparing and implementing their City Sanitation Plan.

The training programme is a unique blend of training courses for participants coupled with additional handholding support through various mechanisms in a step-wise manner. This is a distinguishing feature from other stand-alone training programmes and ensures that the participants are themselves capacitated through the training. Handholding support leads to transfer of knowledge on the ground for achieving actual change in their respective cities

This training programme has been divided into two parts: the first part 'Introducing City Sanitation Plans' gives an overview of the CSP process highlighting its importance, relevance and work-frame. The City Sanitation Plan (CSP) Preparation and Handholding Training is the second part of this training programme, giving practical insights into the actual preparation of the CSP.

Ecosan Services Foundation (ESF) has been deployed for developing the present training manual for trainers who will act as facilitators for the CSP Preparation Training and Handholding Programme. The present manual is designed for trainers covering the second part of the training consisting of 3 rounds of training.

All manuals for the two parts are available on www.urbansanitation.org

TARGET GROUP FOR THE TRAINING AND METHODOLOGY

The **methodology** of the trainings focuses on **practice-oriented and interactive learning.** It has the background of the Harvard Case Method, which conveys teaching messages mainly through interactive practical work done by the trainees. The training is usually facilitated by two or more trainers, and is offered to a range of 15 to 25 trainees.

Most of the modules/sessions follow the same sequence, including the **elements** (and complemented by games, movies, action learning exercises):

- An **introductory lecture** given by the trainer provides the necessary theoretical background and introduces participants to their task in the case work/activity.
- The **case work/activity** gives participants the opportunity to work in groups through the different aspects linked to urban sanitation.
- The **plenary/wrap-up discussion** is the space to reflect on what has been learned, to share experiences and for mutual learning. Trainers guide through questions and consequently offer alternatives and corrections where necessary. In a **final reflection**, the participants resume their own real-life position to link the gained findings into their own experience.

The target groups of the training are decision-makers and experts at city level confronted with challenges of CSP development and implementation. These include:

Target group 1: Key decision-makers like Municipal Commissioners, Senior Officers from ULB and State Departments

Target group 2: Elected Representatives

Target group 3: Technical Staff (engineers, health officers, sanitary inspectors etc.) at the middle and operational level

The entire course is designed for a timeframe of several days, which will be mainly relevant for target group 3. Due to its modular structure, the trainings can be 'tailored' for shorter training events, especially for persons from target group 1 and 2, who might be available only for shorter courses of one or half a day. An overall scheme for the training indicates in detail, which training elements are appropriate for which target group (see CD provided with document).

The course can be combined with real case examples (potentially presented by practitioners from the respective area), site visits, documentary films or other events.

To support the learning/teaching activities, a different set of **training materials** has been developed:

- A library of PowerPoint slides (to be presented by trainer) supports the introductory input for each sessions. Trainees receive print-outs of the slides as a documentation of substantial information provided during the course.
- The material to be used by participants for practical work is a Workbook, which contains the instructions and necessary information for the case-works and exercises.
- Participants are also provided with Hand-outs, which provide additional information (publications and links) as well as templates and support documents for their homework after each training, the documents are also available on the CD provided with the manual.

OBJECTIVE OF THE HANDHOLDING TRAINING

This training aims at supporting cities and towns in developing and implementing CSPs within the context of other support measures provided by the project 'Support to the National Urban Sanitation Policy (SNUSP)' run jointly by the Ministry MoUD and GIZ.

In distinction to the sensitisation training, the 'The City Sanitation Plan (CSP) Preparation and Handholding Programme' provides support directly linked to the CSP preparation process in the respective cities. Therefore, the training is closely linked to the concrete conditions and challenges in the city of application. The Handholding support is designed to link the learnings obtained in the training to implementation of the CSP in the respective cities.

The training is structured in three rounds of training with 5-6 sessions each. The Handholding Traininig Part I covers all required steps for initiating the CSP process culminating into preparation of the 'Status Report'. These steps will include:

Handholding Training Part I - Preparation of Status Report

Session 1	CSP Process
Session 2	Understanding the Water Sector
Session 3	Formation of City Sanitation Task Force (CSTF)
Session 4	Baseline Data Collection

The Handholding Training Part II entails six sessions giving a thorough analysis of the technical sectors and support dimensions and steps for prioritisation of issues along with highlighting the sanitation vision for the future. These include:

Handholding Training Part 2 - Analysis and Priority Setting (Draft CSP Development)

Session 1	Review of Homework
Session 2	Technical Sector Analysis
Session 3	Analysis of Support Pillars
Session 4	Municipal Finance Analysis
Session 5	City-wide Issues
Session 6	Vision and Road Map

The Handholding Training Part III focusses on strategy development to improve key sanitation issues identified in the CSP so far. This includes the selection of adequate technical options, development of an action plan and calculating the overall cost of CSP implementation for the respective urban local body. This training also supports the trainees in developing a necessary information, education and communication (IEC) campaign on sanitation.

Handholding Training Part 3 - Final CSP Development

Session 1	Review of Homework
Session 2	Strategy development and definition of goals
Session 3	Selecting Options
Session 4	Develop Action Plan for Implementation
Session 5	Information Communication and Awareness Raising
Session 6	Financial Analysis and CSP Investment Plan

HOW TO USE THIS MANUAL

The present document is a manual for trainers planning to conduct the CSP Preparation and Handholding Training. The learnings from the past programmes have shown that plans such as CSP or City Development Plan (CDP) will not reach implementation if they are prepared only by consultants without participation of all stakeholders and intensive steering by the ULBs.

The designing of the training programme has been undertaken concomitantly with various Test-Trainings conducted with the actual target group. The recommendations and suggestions from these trainings thus have been reflected while designing this trainer's manual. The manual therefore primarily focuses on training methodology and design of sessions so that trainers can reach out most effectively to the trainees. It is designed for trainers with some background experience and understanding of urban sanitation and City Sanitation Plans. Specifically, the Manual is designed to assist trainers to:

- Understand the needs and priorities of the specific target group
- Communicate technical contents in a comprehensive and interactive way
- Use methods that capacitate key players to become active in their work on CSPs after completing this course
- To practically assist the ULB's in CSP Process.

Overall the manual offers concepts, tools, and examples for trainers to make this training interactive, adapted to the regional context and result-oriented. It furthermore provides an overview on how to design a Handholding Process between each training round for the participants to actually use the newly gained knowledge on the ground. A range of courses can be prepared using this Manual; for instance, a short programme "Baseline Data Collection" under CSP. Alternatively, longer, step-wise training courses can be designed for practitioners and city officials who require a still more detailed understanding of development and implementation of City Sanitation Plans. The training materials consisting of Powerpoint Presentation (PPTs) and support documents on a CD can be found enclosed with the manual.

Together with this trainer's manual, a Practitioners manual, a 'Toolkit for CSP Preparation' is available on the detailed content for all sessions. This practitioner's manual gives the participants detailed guidance on how to prepare a CSP and can be used by the trainers as reference document for conducting the course.

The present manual is designed as an interactive working document composed of flexible sessions that can evolve with use and experience. Training elements, such as background materials, case studies, relevant reading materials, or training activities can be updated, revised and added as required for a specific context. Primarily, the Manual consists of Five Parts:

Part I **Course Methodology** explains the approach towards the course and gives insights on requirements of designing a course for adult learners.

Part II **Trainer's Guide** includes suggestions about what is the role of trainer and how to design the program, present the materials, lead plenary discussions, and conduct training exercises.

Part III **Introduction to Handholding Process** – highlights the process of Handholding of participating cities in between the respective trainings. Handholding is required for facilitating the process after the training, when participants need to apply the newly gained knowledge and the preparation before the next round of training.

Part IV **Session Plans** for the CSP Handholding training program compiles all detailed session plans with preparation, exercises and the wrap-up guidelines. This is the central section of this manual, which guides you stepwise through conducting the actual training on the ground.

Part V **Training Methods and Tools** showcase the overall method used for the design of the course (Harvard-Case Method) and the additional tools that can be used according to learning requirements, structure of the group, etc.

The annexes provide the detailed organisational scheme for all sessions of the course for the programmatic and logistic preparation as well as all the powerpoint presentations (see CD provided with document).

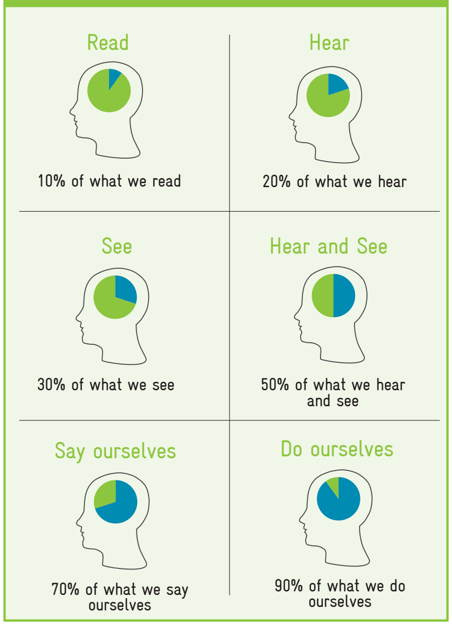
Part I – Course Methodology

The CSP Preparation and Handholding Training follows an interactive and experience-based learning approach customised for the specific target group of decision makers, bureaucrats and technical experts standing in the midst of their professional life.

HOW ADULTS LEARN?

Some conventional training approaches are not an effective methodology for training adults, as they don't sufficiently take the integral role that adults play in their own learning process into account. Adult learning is based on principles and conditions that are different from the formal set of learning principles. Adults have experience to draw from, they are internally motivated, ready to learn, self-directed in their learning, and problem oriented.

FIGURE 1 | How Adults Learn



All of these principles should be taken into account when designing a training course for adults. To be an effective trainer, it is important to understand how adults learn and recognise the main characteristics of an adult learner.

- **Adults are autonomous and self-directed:** They need freedom to direct themselves. Trainers have to act as facilitators and guide participants towards developing skills and reaching insights rather than supplying them with pre-fabricated answers.
- **Adults have a foundation of life experiences and knowledge:** The learning process should have connection between skills they are going to acquire and the life experience or knowledge they can contribute from their work and personal experience. Sharing their knowledge is one of the main ingredients for a successful adult training programme.
- **Adults are goal oriented:** Upon enrolling in training, they usually know what goal they want to attain. They, therefore, appreciate an educational program that is well organised and has clearly defined elements. Trainers must show participants how a training will help them attain their goals. This classification of goals and course objectives must be done early in the training.
- **Adult learning refers mostly to behaviour changes:** to be able to do something better or differently than before. This needs action-oriented training methods combined with intensive feedback by the trainer and the other participants

The human skill to remember

Conventional training methods are mainly based on lectures, presentations and reading material. The limits to this way of learning are shown in the graphic confirming that we remember the most if we say and do things ourselves. This is the strongest argument for the interactive and experience-based approach of this training. For trainers this means to use methods that support our skills to remember, for example ask participants to turn to their neighbour after a lecture and let them talk about what was interesting to them and they will absorb a much higher percentage of the newly presented information. The Harvard Case Method (see Part – V) starts exactly from this assumption and invites participants to work on specific cases, develop solutions, design strategies and get into a working mode instead of only listening or discussing.

EXPERIENCE BASED, INTERACTIVE LEARNING

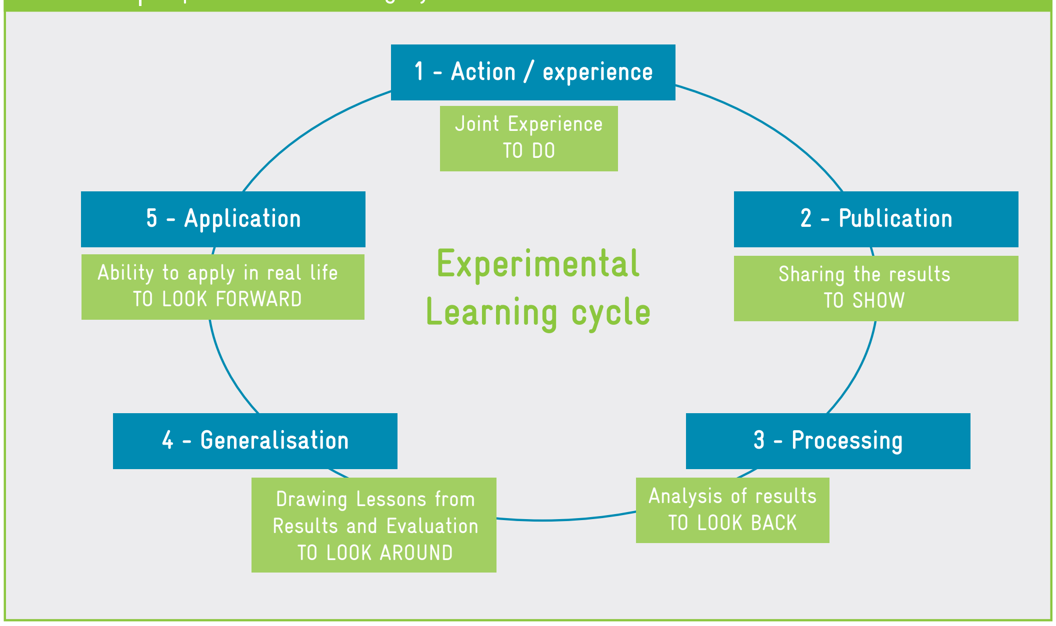
The ultimate aim of this training course is to capacitate participants to actually apply the newly gained knowledge. They have to develop a CSP on the ground and this training needs to make them fit for that. Following a so-called Experiential Learning Cycle will enable participants to go back after the training and start using their knowledge.

The basic structure of the experiential learning cycle consists of 5 phases:

- **Phase 1** starts with a concrete experience, i.e. **'action/experience' (= to do)**, which differs very much from the classical approach to kick-off of learning by a conceptual input / theoretical lecture or presentation by an expert.
- In **phase 2**, experiences made during action are described and shared with all participants, called **'publication of results' (= to show).**
- The results (success/failures) are reflected critically and compared in the following **phase 3** named **'processing' (= to look back).**
- **Phase 4** is the '**generalisation of results' (= to look around)** and serves to draw jointly general conclusions from the concrete experience and consecutive reflections with the aim of transferring these to new situations of learning and the participants' "real world".
- In **phase 5, 'application'**, this new knowledge or capacities are applied to a new situation **(= to look forward)**, either during the next exercise or after the end of the training. This application leads to a new experience which then becomes the starting point for the next cycle of learning, which should include concrete planning for the application of this newly acquired know-how in the participant's own reality (institution, country) after the end of the training.

This training approach for adults requires the trainers to adopt it only in very specific situations the role of "expert" (in our case during the content part of each session), and that they largely become a facilitator of the participants' (experiential) learning process, which will lead to the application of acquired know-how and capabilities, both within and especially after the training. The present training course follows this approach in principal, even though putting a stronger focus on conveyance of selected contents, which are required to be able to develop a CSP.

FIGURE 2 | Experimental Learning Cycle



Part II – Trainers Guide

Facilitation literally means to make things easy, so the role of a facilitator is to make things easy by creating a learning environment conducive to sharing ideas and experiences. The trainer has to have sound knowledge of the content, but the focus must lie on guiding the participants in their learning process to reach a common understanding of the key messages. As with other walks of life, in facilitation too, practice is the key to success. The most effective facilitators work hard to prepare for trainings and are always learning and improving their skills.

This training course is especially challenging for trainers since sound technical knowledge is required but as a trainer your task is not to give ready-made teachings but to capacitate the participants to make their own well-informed and analytical decisions about how to plan their sanitation system.

ROLES AND SKILLS OF A TRAINER

The success of a training greatly depends on good facilitation, which are both, a skillful craft and a creative art. Good facilitators bring a group together, develop and balance its potentials in a non-dominating way. They are knowledgeable about the issues at stake without showing this off.

Asking and formulating the right question at the right time and active listening are two of their most important tasks. Trainers master a variety of techniques to steer group dynamics and organise plenary sessions as well as group work in a well-planned but flexible way.

The main competencies of a trainer are:

- **Adults are autonomous and self-directed:** they need freedom to direct themselves. Trainers have to act as facilitators and guide participants towards developing skills and reaching insights rather than supplying them with pre-fabricated answers.
- **Interaction competence:** ensures effective communication and focused work in a relaxed and friendly atmosphere and, in turn, creates effective problem solving. Trainers should turn recipients who passively consume inputs supplied by a "master" into participants who share their ideas and outputs with others interactively. Trainers show the usefulness of content or a method not by preaching but by supporting participants to apply and to reflect on it.
- **Presentation competence:** supports general understanding and learning of new information. It includes participants and learning-oriented "power point" skills, and general rhetorical skills.
- **Visualisation competence:** supports general understanding, and serves as an external memory of topics developed and results achieved. Trainers should possess drawing and handwriting skills, and acquire a sense for arranging space, structure, colours and other moderation or presentation elements to create an attractive learning environment.
- **Participation competence:** brings out the best in a group by means of cumulative learning which all individuals contribute to. Good trainers make participants feel that "Nobody knows everything but everybody knows something". They set the tone of the event, trust in other people's intellectual and creative potential, avoid that there are winners and losers in a group, and respect the ideas, opinions and practices of others.
- **Dramaturgic competence:** arranges an event alternating between suspense and thrill, group and plenary sessions, experience and cognition. Trainers need to be able to flexibly adapt and modify moderation and visualisation methods and sequence of steps, according the group's dynamic and needs, time, space, and other framework conditions that have an influence on the design of a training.

In a nutshell: The trainer is less like a teacher or expert and more like a **facilitator of learning processes**.

Trainer as learner

Apart from all competences a trainer needs for good performance, you should never forget that you yourself are learning with every training. The most successful trainers/facilitators are those who are still willing to learn themselves and not proclaim to know it all.

To become aware of your learnings and make them useful for the next round of trainings, schedule in your training agenda a slot after each day for individual reflection and if you are working in a team, for peer-evaluation of the training performance. Analyse difficult situations you have faced and take the above mentioned competencies as a starting point for structuring your reflection.

Include a question in the overall feedback round with the participants on your performance as well. Use the collected feedback for designing the next course and defining learning objectives for yourself.

Tips for being a good trainer

PREPARE IN ADVANCE: Do your homework. Put yourself into the shoes of the participants. Come up with questions they might ask. If you are having trouble with the topic make sure to seek out someone with knowledge on the topic. You want to be sure that you are prepared and ready to discuss.

COMMUNICATE OBJECTIVES CLEARLY AND STICK TO THEM: The objectives of the trainings have to be clearly communicated at the beginning of the training. When introducing each session always establish the link to the objectives. These objectives need to be prepared along with the participants through collecting their expectations and making the choice of objectives transparent (why do we propose these objectives?). The objectives are also your orientation framework for the programme. In case timings change, activities need to be adapted, be flexible but only within the boundaries of the objectives and expectations of participants.

ASK QUESTIONS AND FACILITATE DISCUSSION: Questions are the main tools of a good trainer (see next subchapter) for facilitating discussions, steering them towards learning objectives-and guide participants in their own learning. Try to integrate all participants evenly but don't force anyone to talk. Prepare your questions well and focus on the answers for deciding which question next to use. If a participant deviates the discussion, give some space for voicing the need and then structure the discussion accordingly, e.g. put the topic on the parking lot flipchart, assign a specific time, when this will be discussed.

VISUALISE MAIN OUTCOMES: Capture the discussion results relevant for the learning objectives or for the follow-up training programmes by visualising them on flipcharts, with visual aids such as stickers, etc.

SUMMARISE THE NEXT STEPS: Just as you stated your goals at the beginning, make sure that you summarise what was accomplished and explain the next steps to the group. If there are responsibilities for the group or individuals communicate those as well.

EMBRACE SILENCE: Silence during group discussion is not a bad thing. Some people process things out loud and some people process things internally. As a facilitator, your job is not to talk the whole time or tell long stories. Your job is to create the discussion by allowing others to talk. If silence remains for a couple minutes, tell the group your impression and asked them for the reason of the silence you perceive. Allow them to talk, or remain silent. Maybe the reason why the group is silent is because the question isn't clear. Voice your doubt and ask them if they understood the questions and let them come forward. In small group settings, silence is your friend.

QUESTIONS: KEY TO UNLOCK NEW DOORS.

Asking good, precise and intelligent questions that would help participants trigger their insights and reflect on certain situations is a manifestation of an effective trainer. Asking questions is a skill that every trainer should develop and master.

Through questions, experiences and knowledge of participants are mobilised. It is useful to pretest the questions and potential answers once within the trainer team.

Types of questions

Basically, there are two types of questions: the **closed-ended** and the **open-ended** questions.

- Closed-ended questions are designed to recall facts or information or to get confirmation on suggestions/hypotheses. These questions may be one-word answers or answerable by yes or no. Examples for close-ended questions: Do you have a committee in your city, which could act as City Sanitation Task Force? Do you all agree that a building code is a good idea?
- Open-ended questions are designed to elicit more ideas and more elaboration from the person asked. It may seek to reflect or draw a conclusion. This is a preferred type of question to be asked when initiating a discussion, a conversation, and increasing participation from the team. Open-ended questions allow for a deeper understanding of the group's objectives and draw out a person's knowledge level. A overview and categorisation of open-ended questions is in the table below:

Type of question	Use	Example
Circular questions	• Change the Perspective • Introduce other perceptions	• If I asked your colleague about what made the situation so difficult, what could he say? • If you had invited a representative from civil society to your meeting, what would have been different?
Questions about behaviour	• Help to perceive what happened beyond judgement. • Promote a more detailed perception and reframing • Clarify your own contributions to a situation.	• What does Mr. Miller do exactly? What did he do to make you impatient? • What happens, when nobody takes the responsibility for ......? • How exactly you react when the team ......?
Assessment questions	• To step back and use hindsight • To draw lessons from a particular experience	• What have you learnt from....? • How can you make use of what you have learnt from....? • What was encouraging for you? • If you started again what would you do differently?
Questions about the context	• Give information on facts and figures with regard to particular situation	• How many people work in your department? • How often do you facilitate training workshops?
Differentiating questions	• To specify vague responses • To clearly state differences	• For whom is the problem bigger? • On a scale of zero to 10, how big is...? • What is the difference between your opinions as Technical director and one of the CEO?
Questions for probing reasons and evidences	• Test the validity of reasons • Put 'evidence' on solid ground	• Why is that happening? • Are these reasons good enough? • What do you think causes? • What evidences is there to support your facts?

Type of question	Use	Example
Questions for probing implications and consequences	• To discover unexpected effects • To discover alternatives that was eventually overlooked.	• What are the consequences of assumption? • What are the implications for ...? • How does it fit with what we have learned before?
Hypothetical questions	• To think, just to see, about given boundaries. • To think outside of the box • To check possible consequences jointly.	Supposing that.. • If we speculate: Given the case that you would what would be the effects? • If you wanted to change the training approach in your organisation, how could this be possible?
Questions about the Future	• Open up the mind to look beyond what the situation is like today	• What are your intentions once this difficult period is over? • What would you like to be in 2 years time?

Source of tables: adapted from PICOTeam 2003

An effective facilitator does not just end at asking effective questions. Proper timing and accurate delivery are also important. For a good and effective facilitation, the APPLE technique might work best. APPLE is the acronym for

- **A**sking the question,
- **P**ausing to allow the participants to comprehend the question and think of an answer,
- **P**icking a member to provide an answer,
- **L**istening to the answer provided, and
- **E**xpounding or elaborating more on the answers given.

More importantly, listen to the answers of the questions you asked.

ACTIVE LISTENING

Listening is one of the most important skills a trainer can have. How well he or she listens has a major impact on the training's effectiveness, and on the quality of the relationship to the participants. There are five key elements of active listening. They all help trainers to ensure that they hear the other person and that the participants feel heard.

1. Pay attention

- Give the speaker your undivided attention and acknowledge the message. Recognise that non-verbal communication also "speaks" loudly.
- Look at the speaker directly.
- Avoid being distracted by environmental factors.
- Listen to the speaker's body language.
- Refrain from side conversations when listening in a group setting.

2. Show that you are listening

- Use your own body language and gestures to convey your attention.
- Nod occasionally.
- Smile and use other facial expressions.
- Note your posture and make sure it is open and inviting.
- Encourage the speaker to continue with small verbal comments like 'yes' and 'aha'

3. Provide feedback

- Our personal filters, assumptions, judgments, and beliefs can distort what we hear. As a listener, your role is to understand what is being said. This may require you to reflect what is being said and ask questions.
- Reflect what has been said by paraphrasing. “What I’m hearing is…” and “Sounds like you are saying;.” are great ways to reflect back.
- Ask questions to clarify certain points. “What do you mean when you say…?” “Is this what you mean?”
- Summarise the speaker’s comments periodically.

4. Defer judgment

- Interrupting is a waste of time. It frustrates the speaker and limits full understanding of the message.
- Allow the speaker to finish.
- Don’t interrupt with counter arguments.

5. Respond appropriately

- Active listening is a model for respect and understanding. You are gaining information and perspective. You add nothing by attacking the speaker or otherwise putting him or her down.
- Be candid, open, and honest in your response.
- Assert your opinions respectfully
- Treat the other person as he or she would want to be treated.

To achieve the five key elements of active listening the following 6 techniques will help you as a trainer.

Technique	Example
1. **To paraphrase** Repeat with your own words the last thing or main message the dialogue partner has said.	“So you did not find adequate climate data“
2. **To mirror** You express what feeling or attitude you perceive in your dialogue partner‘s statements.	“It must have been quite frustrating to you to find no adequate solution“
3. **To summarise** Summarise in one sentence a longer explanation.	“So overall you faced quite a number of restrictions from the political level“
4. **To focus** Select an issue of particular importance of what your dialogue partner has said and invite your partner to ‘dig deeper‘.	“What was it in detail what made that decision so difficult?“
5. **To translate** Express a hypothesis what the meaning of what you heard is.	“It must have been a breakthrough to get finally the permission by the mayor“
6. **To inquire** Ask open questions following your own curiosity starting with W-Questions (Why, Where, How, Who, What, When etc.):	“Why was there so much resistance on the issue in your city?“

DESIGNING THE COURSE

This session provides an overview of what needs to be taken into consideration when designing a training programme. Regardless of whether the training is complex or not, thorough and deliberate preparation and design are indispensable. This chapter is presented in a way that it can also be helpful in designing training programmes and workshops in other fields than CSP preparation.

Training design is to be seen as a crosscutting endeavor, i.e. those certain steps and tasks are relevant for whatever content the training programme or workshop might focus on.

The CSP Preparation and Handholding Training is challenging for the trainers since it is mainly based on interactive training elements and requires familiarity of trainers with content knowledge, underlying concepts and practical approaches. Here are basic steps for designing a participatory training program. It is important to remember that since this is a participatory training, new information will appear continuously. Therefore, the training design must remain flexible to accommodate the expressed learning needs of the participants.

Clarify objectives and approach

We assume that an institution takes the initiative for a training programme and asks an internal or an external trainer - or a team of trainers – to prepare a training programme. The first question the trainers must raise is about the objectives of the institution, i.e. what the institution (client) wants to achieve. Talking about 'objectives' should include clarification on the expected outcome as well as the desired impact of a training programme. Asking the client about objectives clarifies their expectations vis-à-vis the trainers.

The trainers also need to agree with the client institution on the approach. It will be fairly difficult to find a good compromise if the client wants an input and content driven training while the trainers are in favour of a participatory training approach. Regarding the 'approach' it is also necessary to explore with the client institution how the training programme should be structured.

The following questions are most helpful in this respect:

- Will training workshops as a single event be sufficient?
- Should a modular approach be given priority, which means organising the training process as a series of several workshops, team and/or individual coaching?
- On which levels the training workshops should take place, e.g. country, regional, sub- regional, supra-regional?

At the end of this clarification the trainers need to be convinced that a training programme is the right way to achieve the client's objectives. Eventually, the trainers may suggest other capacity building measures going beyond the trainers' mandate.

Learn about participants and their needs

The agreement with the client institution will already have provided indications about the participants in the training process. For designing the programme you still need to have a clear decision on the target group and criteria how to select participants from this target group.

Examples for selection criteria are the following:

- Maximum to Minimum number of participants

- Experiences, professional background, institutional affiliation (How much mix of participants is required?)
- Gender balance
- Applicability of new learnings (Will the participants be in a position to use their newly acquired capacities and competencies in their work life?)
- Experience with participatory training approach (Is it required that the participants are familiar/open to such methodology?)
- Language skills

Once the participants are selected the next step is to collect information through different sources (participants themselves, their nominating organisation, colleagues that have worked in that field, experience of trainers themselves, etc.) on the needs and expectations of the participants but also from their sending organisation. There is sufficient evidence that it is useful to provide future participants with an opportunity to indicate what they want to happen during the training workshop in order to make it successful for them. One could also put the corresponding questions about what should not happen. Eventually potential participants can be involved in the design process of such a training. If possible a preparatory meeting with all relevant parties involved should be organised.

Define learning objectives

For defining learning objectives it is helpful to go to the very end of the learning process in answering the following question: what should participants be able to do differently/better?

The formulation of learning objectives is a key step in preparing a training workshop. It is the anticipation of what participants will take home from a training workshop in terms of newly acquired abilities and competencies. This will set the stage for how they will use these newly acquired abilities and competencies in order to achieve the expected outcome and impact of the training programme/workshop. Learning objectives already provide indications about different stages in the workshop process because some of the learning objectives might be achieved 'on the road' whereas others are only achieved at the end of the training workshop.

Arrangements for learning transfer

Training success is measured by the transfer of achieved learnings into the "real world" outside the training situation, in our case the preparation of the CSP. Learning transfer starts with the selection of participants. Conditions are favourable for learning transfer if a participant is mandated from his organisation, i.e. his/her section or his/her department. Ideally, the superior defines objectives which he/she expects the staff member to take home from this training programme. In the case of this training, the city or the state level authorities should have taken the decision to prepare or support the preparation of a CSP in advance of the training.

The more an organisation shows itself indifferent regarding one of its members participating in a training workshop the less likely effective learning transfer is.

For an integrated Training and Handholding Programme as presented in this manual learning transfer is the key for success. The objective of the Training and Handholding Programme is a concrete result, in this case the final City Sanitation Plan prepared by the city, which only will be achieved if learning transfer after and before each training is successful.

Therefore in the design of this particular type of training a session at the beginning for the review of the achieved results on the ground ("homework") and a session at the end of the training for deciding about next steps is required.

The trainer has to make sure to take care of documentation of the training and provide participants with the relevant material to be useful after the training. After a training there should be at least one more point of contact with the participants as a follow up of the learning transfer(e.g. per mail, a follow-up meeting, social media, etc.) to firstly remind them on the implementation of learnings and secondly to evaluation training impact.

Clarify budget and logistics

Organisational details of any training need to be clarified and coordinated throughout the preparation, implementation and follow-up of the training.

This includes:

- Budget
- Duration
- Number of participants
- Location and venue
- Travel
- On-site arrangements (Printed material, technical set-up, etc.)

Especially the budget, duration and number of participants have to be discussed and agreed up with all relevant parties involved. It has to be ensured that despite budgetary pressures the number of participants, duration and venue of the training is chosen according to the methodology and training objectives. For the present interactive and experience-based training the venue needs to provide enough space for group work, plenary sessions and visualisation of outcomes. The number of participants should not surpass 25 and the duration needs to be favourable to include enough time for reflection and hands-on sessions.

If trainers are unfamiliar with the venue selected, they should check it out to see whether it is suitable for a participatory workshop:

- What is the flexibility in terms of seating arrangements?
- Is there enough space to practice the mobile visualisation and to work in different arrangements?
- Is it possible to expose visualisation results on walls? How big is the seminar room and what is its shape? Are there obstructive pillars in the room?

Develop scenario of the training workshop: content, methods, process

Based on the workshop structure the trainers will sit together to work out a detailed day-to-day scenario for the workshop process. Working on such a scenario gives a good feeling of what is feasible with a particular group of participants in a limited time. Introducing the notion of 'time' makes certain methodological options more or less feasible. However, it is not recommended to overdo it in the sense of starting the scenario development with the question: what should we do on the first day at 9 o'clock? Rather start with the content and the methods and at some point check how you can bring it into a meaningful time line. There is no best practice for the structure of the scenario. Of course you need to say something about the what (= content) and the how (= methods), but if you want to add, for example, a column labelled 'material needed' you are free to do so.

The main task in scenario development is to combine certain contents with particular methods in a way that a dynamic process of joint learning can unfold. You should refer to the organisational structure (see CD provided with document) of the training to work out your day to day plan of the training.

It will be good to make sure that all the necessary things (flipcharts, color cards, audio-visual aids etc) are arranged and placed in the training room.

Clarify documentation and reporting

Trainers need to decide beforehand, in consultation with all relevant partners, how the results and the process of the training workshop are to be documented.

The documentation should be structured according to following questions:

- What is the scope of documentation (training results, photographs, handbook, PPTs, etc.)?
- Is the documentation only for participants or for a wider audience?
- Apart from the documentation of the training itself, what additional documents might be needed to support the learning transfer?

Make sure that before the training roles and responsibilities for the documentation are distributed and communicated.

Operational planning

Finally the team of trainers will divide the tasks and responsibilities among its members according to the training structure and the scenario developed. An action plan will highlight what needs to be done by whom at which level of urgency. This plan will facilitate the preparation work of the team prior to the training workshop.

Evaluating a Training Course

An evaluation at the end of the training is important in order to

- Enable a quality review and monitoring of the training courses and
- To gradually improve the training based on feedback from participants.

A short evaluation round can be scheduled after each day and one final round at the end of the overall training. The guiding questions for an evaluation need to be chosen according what trainers need to know for assessing the learning success of participants, improving the training and ensuring the learning transfer and according to the specific context of the training.

Methods for evaluation can be:

- **Smilies evaluation:** This is a quite quick, illustrative but rough evaluation. You prepare a pin wall and pin up three smilie faces (happy, neutral and sad faced). Each participant receives dots according to the numbers of criteria and may mark his / her assessment in each category.
- **Flashlight evaluation:** This is also a quick evaluation, which is a bit more interactive than the smilies evaluation. You invite every participant to give a short oral feedback to the following two categories, e.g.: What I liked and what could be improved? The facilitator visualises the answers on a flip chart (or participants put pincards on the chart).
- **Questionnaire based evaluation:** This is the most common way of evaluating a training course. Usually, the trainees receive a prepared questionnaire towards the end of the course and are invited to use 10 - 15 min. for completion and return the questionnaire to the trainer. The evaluation form may comprise a multiple-choice part and a part for free comments.

  Post-course evaluation with the request to send the questionnaire back to the organisers have the advantage to reflect also impacts of the training into day-to-day work but suffer from usually poor return rates.

Part III – Introduction to the Training and Handholding Approach

The training presented in this Trainer's Manual does not stop after the end of the last session. It is an integrated process of Training and Handholding in between the respective trainings. The Training and Handholding Programme is oriented towards achieving a clear result – the preparation of a City Sanitation Plan. During the three rounds of training participants receive information, knowledge and develop skills to take up the process for CSP preparation once they are back in their respective cities. For facilitating the process after the training, when participants need to apply the newly gained knowledge, a specific approach has to be designed and applied.

It is not sufficient to send participants back with tasks to complete, but continuous follow-up monitoring and additional support mechanisms are required. Designing of a Handholding Process requires similar steps as the design of a particular Training.

Define the tasks

The task the participants need to complete until the next training programme needs to be clearly defined. Scope and length of the task has to be designed taking into account the resources available and the time gap until the next training needs to be calculated accordingly.

Provide support documents

For each task, documents need to be provided to the participants, which will guide them through the various steps to be completed. The documents can also provide additional knowledge that could not be covered by the training itself but are still relevant to completing the task at hand. Please find examples for support documents in the CD.

Clarify roles and responsibilities

It is not only important to know, who should be in charge of completing the task, but the following questions also need to be answered:

- Who should be in charge of monitoring the progress?
- Which stakeholders should be involved for completing the task?
- Who has which formal mandate in the process (ULB, state department, parastatals, etc.)?

For successful support mechanisms during such a process, it is recommended to build on existing formal processes within a city or a state. For example, if a state department has already monitoring processes in place, it should be checked if the monitoring of the present CSP related task can be integrated in this process.

Define and communicate support mechanisms

Throughout the process between the training programmes additional support and exchange is required. This can be handled through

- a help desk,
- visits to selected cities,
- social media groups,
- review meetings, etc.

It is important to design the mechanisms in a way that they cover formal interaction (e.g. official letters with instructions from state government to ULBs) and informal interaction (e.g. Whatsapp group) according to the procedures and resources available.

Content-wise the support mechanisms have to cover provision of additional information, answers to emerging questions of participants and interim review of produced results. A selection of support mechanisms is described in Part V.

Set clear timelines

Whichever processes you follow and mechanism you design, clear timelines need to be set and communicated to the participants. For this at least one communication channel with the participants needs to be established for the time in between training programmes.

Fig 3: Steps for designing a Handholding Process

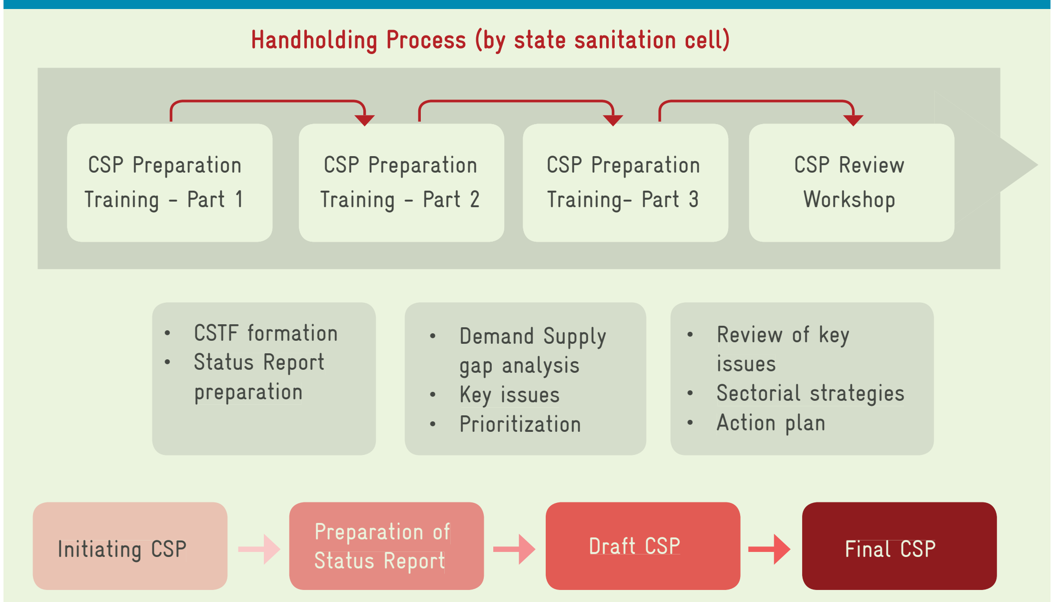
Case example: Training and Handholding Programme for selected urban local bodies in Telangana, Kerala and Andhra Pradesh

Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH and Centre for Science and Environment (CSE) jointly designed and implemented a Training and Handholding programme for CSP Preparation in cooperation with state partners from Telangana, Kerala and Andhra Pradesh. In a first step the respective partners at state level (Kerala: Suchitwa Mission, Telangana: Commissioner and Director Municipal Administrations, Andhra Pradesh: Director Municipal Administrations) nominated 10-15 cities for preparing a City Sanitation Plan in a participatory manner. The objective of this Training and Handholding Programme was to capacitate city officials to develop a comprehensive City Sanitation Plan on their own.

These cities underwent a three step training process described in this manual and after each round of training a set of actions were agreed upon by the respective state partner, the nominated cities, GIZ and CSE to be fulfilled until the next round of training to achieve the final output of a CSP prepared by the city.

Selected tools for support and handholding of cities in between the trainings were introduced. GIZ and CSE provided templates and technical input material for each city to guide them through the steps. A helpdesk manned by one expert from the respective state department and one expert from GIZ was formed to support the cities and monitor their progress. Formal communication in form of a government circular was issued after each training by the state department listing the immediate outputs to be achieved after the training to provide the formal framework for cities to comply with the requirements. In Telangana additionally a Whatsapp group was formed with all participants, in Kerala and Andhra Pradesh state officials participated in meetings of the multi-stakeholder City Sanitation Task Force.

By the time of publication of this manual 30 out of 34 cities had completed their baseline data collection and had formed their City Sanitation Task Force. Currently they are working on submitting their Draft CSP.



Overview of the Training and Handholding Process

Part IV A – First Round of Handholding Training

SESSION 01

CSP Process

Activity	Time	Materials / Methods
Introductory Lecture	20 min	Powerpoint Presentation, Flipchart, Coloured Cards
Activity: Identifying crucial support dimensions for CSP Components	40 min	Pin-up Diagram, Coloured Cards
Wrap – Up Activity	20 min	Structured Plenary Debate
Final Reflection	10 min	Personal Case Study – Open Discussion

KEY LEARNING

Getting an overall orientation on CSP as a 'systemic process' and identify crucial intervention needs

Key subjects of Session:

- What is the NUSP vision and how can its achievement be supported by the CSP?
- What is the relevance of CSP for achieving the objectives of the current Missions AMRUT and Swachh Bharat Mission?
- What are concrete challenges on the way to a CSP in your city and how to overcome them?
- What are concrete steps in the CSP process?
- How will the 'Handholding Training' support the individual CSP process?

Before you start the session, introduce the facilitator and trainers for the training. Give a brief profile of facilitator and trainers.

ELEMENTS OF THE SESSION

Introductory Lecture

The lecture will provide a general introduction on

- What is a CSP and what is its relevance?
  - An introduction to the city profile, socio-economic data, climate, demographics relevant to sanitation planning should be included herein. Refer the Introduction Chapter of 'Preparation of City Sanitation Plan - Practitioners Manual.
- What are the broad objectives the CSP needs to achieve?
  - Eight broad CSP objectives (Technical Options for addressing sanitation issues/gaps, Financial sustainability and institutional requirements, Awareness generation and community participation, Reaching to the un-served and poor households, Regulatory / legal requirements, Capacity building & training, Implementation management, Monitoring & evaluation and supervision) crucial to ensure sanitation service delivery to the citizens need to be mentioned herein
- What are the steps involved in creating a CSP?
  - The entire process from the nascent stage of CSP initiation to CSP Final Document Submission needs to be briefly mentioned herein

- What are contents of a CSP?
  - It is important that the core components of CSP (Water supply, Wastewater management, Access to toilets, Solid waste management and storm water management) well as the Supporting Factors responsible for their success are covered under this topic. While discussing core components refer to the sub-points (baseline status, demand projections, gap analysis, projections and city vision) should be mentioned. While discussing the Support Dimensions, Trainer should explain key points like existing institutional set-up, city budget trends etc. Relevant information for this part can be obtained from the Chapter 2 of the City Sanitation Plan Preparation Toolkit - Practitioners Manual.

All information will be provided through a powerpoint presentation (PPT); the trainer should prepare the same on the lines of the PPT 'CSP Preparation Process' and the CSP Toolkit.

You can adapt slides according to your context. During the presentation encourage participants to interact by posing short questions on the content linking it with their field experience.

Activity: Identifying crucial support dimensions for CSP Components

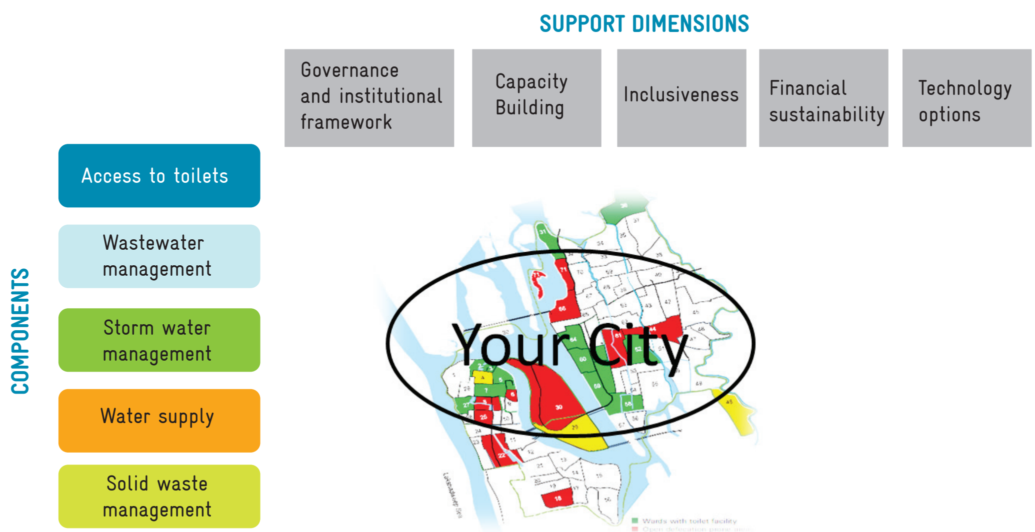
Objective of this activity: To reflect upon the interaction between 5 components of CSP and the support dimensions for its successful implementation from a birds-eye perspective with respect situation prevalent in participants' respective cities

How to instruct participants on this activity: The trainer should carry out the activity with the help of the following Fig. 4.

Divide the participants in sub-groups. Invite them to discuss the crucial challenges or interventions required in their city either for the components of CSP or the support dimensions or their intersection. The groups should focus on the main challenges and need not cover every detail. Each challenge should be noted on a square card.

A print out of the figure should be pinned on a pin-board for each sub group. The participants should be instructed to place square cards wherever they see the challenge located. The participants are expected to note down the possible solutions for the identified challenges on the round cards and place it next to the challenges.

Fig. 4: System pictures for a CSP



Wrap-Up Activity:

Wrap up the session by structured debate in plenary sessions following guiding questions

- What are the most challenging support dimensions for a successful CSP?
- Which solutions did you find to cope with the challenges?
- How 'easy' are these solutions?
- Are there any other success factors which you would like to include?

For the wrap-up it is important that the groups don't present all their results, but that it is a focused discussion steered by the above mentioned questions. Before you start the wrap-up make yourself familiar with first results and design your questions accordingly (what was surprising for you? What would bring the most benefit to discuss further?). Visualise the main results of the discussion either with stickers on the matrices or on a separate flipchart.

Final Reflection:

The trainer should bear in mind that the Handholding Training aims at imparting practical guidance for real-time implementations of the CSP in the participant cities. It is thus important that the participants reassume their own real-life position to link the gained findings into their own experience.

SESSION 02

Understanding Water Sector of your City

Activity	Time	Materials / Methods
Introductory Lecture	25 min	Powerpoint Presentation, Flipchart, Coloured Cards
Case Work – Analysis of waste flow of the city with the help of SFD	50 min	Group work in 4 mini-groups of 5-6 Trainees, A3 paper matrix
Wrap – Up Activity	20 min	Structured Plenary Discussion
Final Reflection		Personal Case Study – Open Discussion

Key subjects of Session:

- Analyse the sanitation system in your city and design a Sludge Flow Diagram (SFD)
- Take conclusions in respect to challenges, 'hot-spots' and 'red flags' (unacceptable situations)
- Understand institutional and financial framework conditions

KEY LEARNING

Understand the water sector in your city with all its dimensions and identify hot-spots / red flags

ELEMENTS OF THE SESSION

Introductory Lecture

The lecture will provide better understanding of the 'Sanitation System' as a whole and will define measures how to improve it. The trainers will educate participants about the overall water sector of the city since that is important to understand the waste-flow cycle of the city. Support tools like Urban Water Cycle and the Sludge Flow Diagram (SFD) are useful for such 'system understanding'.

Lecture will include

- What is the Urban Water Cycle?
- What are the current institutional mechanisms for water services delivery?
  - Currently prevailing institutional models for water services delivery (type wise & coverage wise)
  - Case example – Kochi city
- Which are the ways to regulate services delivery?
  - Service Level Benchmarking
  - Municipal Finances and accounting framework

- What is Sludge Flow Diagram?
  - Assumptions for developing SFD
  - Case Example – Simla, Himachal Pradesh

Case Work: Analysis of waste water flow in the city with the help of SFD

Objective of this activity: To help participants get an idea of the application of SFD to understand the waste flow of the city (For reference, see Fig.5 below).

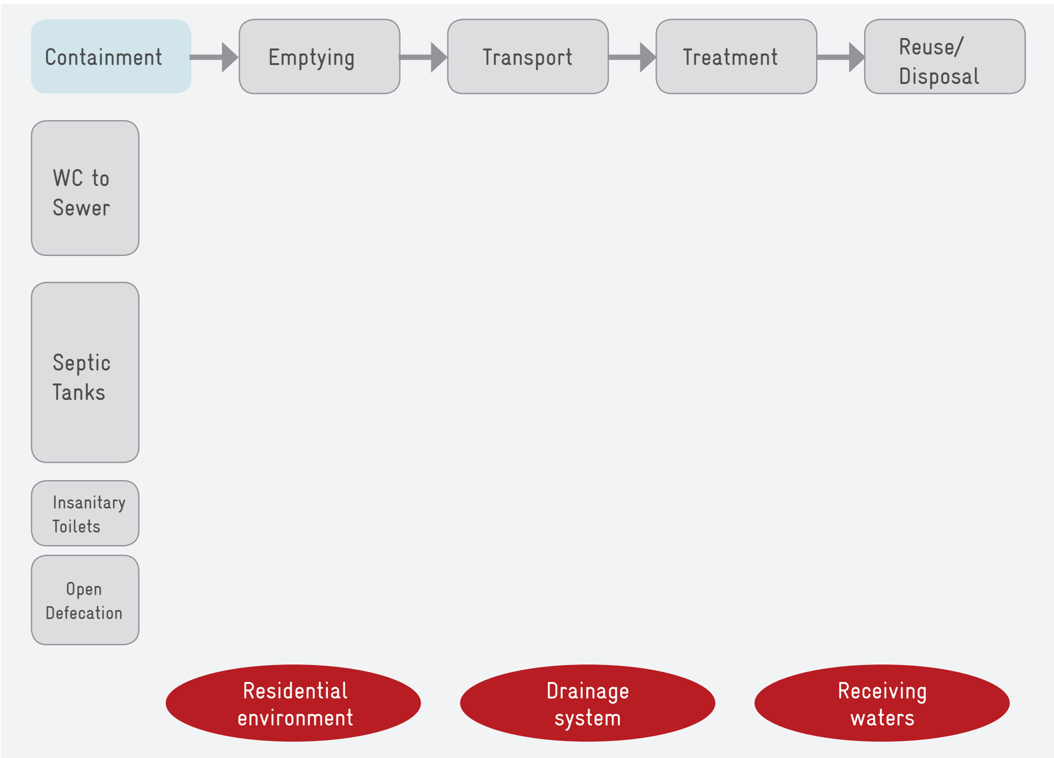
How to instruct participants on this activity: Divide the participants in mini-groups (max. 2-3 people) and instruct each group to prepare a sludge flow diagram according to the data and template provided to them. Each group needs to have one red and red green marker. With red they indicate the flows as an arrow of septage, which is not safely disposed. With green they indicate the flows which are treated and safely disposed of.

Data:

% of Households			
Practicing open defecation	Having insanitary latrines	Having septic tanks	Having sewered connections
15	5	50	30

Septic tank emptying and transportation of septage is unregulated and informally managed by local private operators. Manual scavenging is in practice. The collected septage is directly disposed in nearby water bodies / open land (without undergoing any treatment). The untreated septage is posing high health and environmental risks.

Out of 40 MLD (Million Litres per Day) of sewage generated, only 20 MLD reaches the Sewage Treatment Plant (STP). The STP treats the incoming sewage as per the required discharge standards. The treated sewage is discharged into river for further dilution.

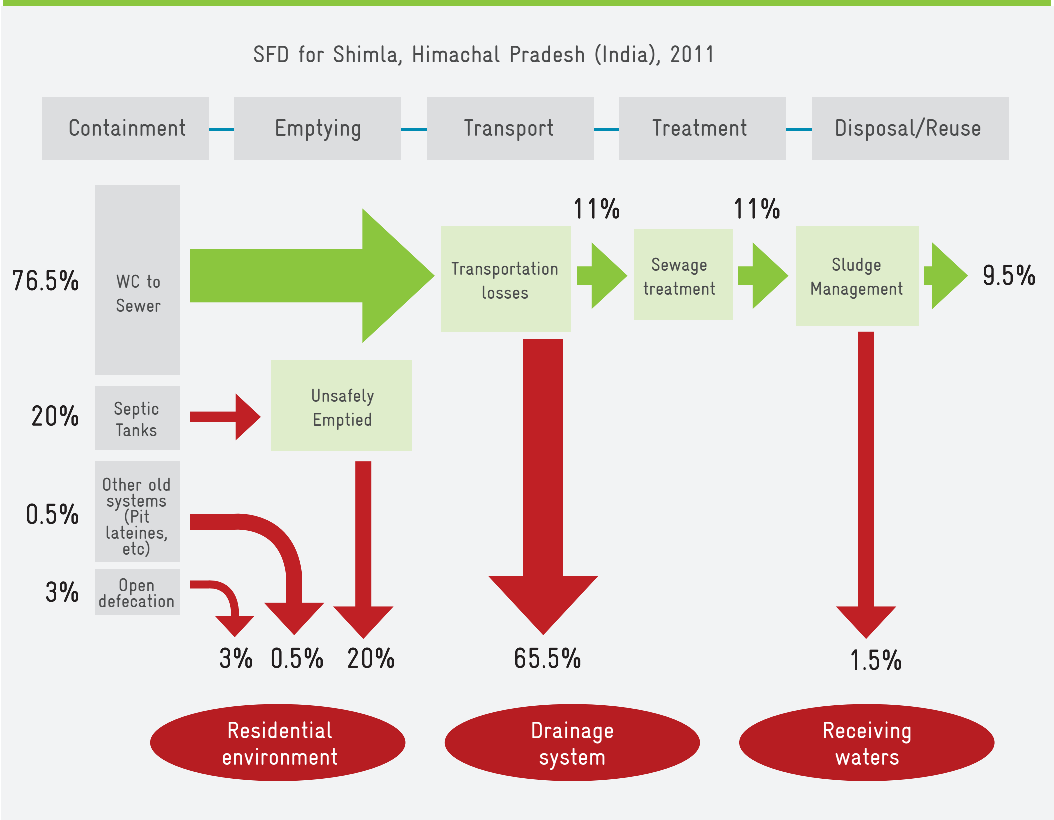


Wrap-up activity

The trainer facilitates a group discussion according to the following questions

- How easy was it to design a Sludge Flow Diagram?
- Could you develop such Diagram for your own city?
- What would be the added value of designing such Diagram? For what could you use it?

Fig. 5: Example of SFD



SESSION 03

Formation of City Sanitation Task Force (CSTF)

Activity	Time	Materials / Methods
Introductory Lecture	30 min	Powerpoint presentation
Activity I – Role-Play	20 min	Colour cards
Wrap – Up Activity I	10 min	Plenary Discussion
Activity II – Analysis of stakeholders for CSTF of participants' cities	35 min	Flipcharts, Pin-boards
Final Reflection for Activity II	20 min	

KEY LEARNING

Understand the stakeholder landscape for your city and decide about composition and tasks for CSTF

Key subjects of Session:

- What are key stakeholders for the sanitation sector in your city?
- Why and how are they concerned?
- Which role should they play in the CSTF?
- What is the role of the CSTF during the CSP Process?
- How should the CSTF operate?

ELEMENTS OF THE SESSION

Introductory Lecture

Lecture will provide better understanding about the constitution, formation and functioning of the CSTF as envisioned within the NUSP. Briefly, the following key points will be delivered during the lecture:

- Who are the stakeholders in the CSP process?
- How to conduct stakeholder analysis as 1st step for CSTF formation?
- What are essential ingredients of a CSTF?
  - Need
  - Objectives
  - Roles and Responsibilities during CSP Process
  - Possible members
  - Case Example – Nashik
- Tips and Way Forward

Activity I: Continuum Walk and Role-Play

Objective of this activity: To explore the intentions of different stakeholders during development and implementation of the CSP.

How to instruct participants on this activity: Divide the participants to represent the following categories of stakeholders:

Municipal Councilor; State Pollution Control Board; Urban Development Authority; Slum Clearance Board; CBO; Private households; Chamber of Commerce; Environmental NGO. It should not be more than 3-4 participants per stakeholder, so if the group size is bigger, one needs to include more types of stakeholders.

Prepare 5 role-cards and ask participants to select which role they believe they should be playing in the capacity of the stakeholder group they have chosen. The role-cards are –

- Get transparent information
- Get consulted
- Collaborate
- Co-decide
- Control implementation of decisions.

The idea is that trainer should also get acquainted with different view points of participants since roles can overlap for different stakeholder types. The card should be displayed in the room and the stakeholder teams should position themselves next to the card of the role, which they have chosen to play. Please ask the teams to first decide where to stand so all participants representing the same stakeholder stand at the same position.

Wrap-Up for Activity I: Plenary Discussion

The trainer should initiate discussion on the following points

- Which role do you strive for?
- Why do you want to be involved as chosen?
- Where would you see allies and conflicting parties among other stakeholders?

The wrap-up should encourage the discussion among the different stakeholders, so the trainer should guide the dialogue accordingly.

Activity Part II – Analysis of Stakeholders for CSTF formation

Objective of this activity: To guide participants through the selection of stakeholders for the CSTF of their city

How to instruct participants on this activity: Divide participants in groups according to the cities they represent. Explain to participants that for selecting appropriate members of the CSTF and ensure their effective cooperation, in-depth analysis and reflection is necessary about roles and expectations of stakeholders, ways to involve them, potentials for liaison etc.

Ask each group to analyse and reflect which of the following stakeholder categories mentioned in the NUSP document, should be involved in the CSP process with respect to their city–

- Agencies directly responsible for sanitation (sewerage, on-site sanitation, water supply, solid waste, drainage) including different divisions / departments of ULB, PHED, etc.
- Agencies indirectly involved or impacted by sanitation conditions (e.g. slum areas, civil society etc.).
- NGOs working on water and sanitation, urban development, slums, health, etc.
- Large institutions in the city (e.g. Cantonment Boards etc.).
- Unions of sanitary workers, “safaikaramcharis”, etc.

- Eminent persons and practitioners in civic affairs, health, urban poverty, etc.
  - Private firms / contractors working in sanitation sector (e.g. garbage collectors, septic tank de-sludging firms etc.).
  - Educational and cultural institutions.
  - Other significant / interested stakeholder.

Highlight the potential roles that members belonging to these categories can play, for e.g. –

- They might have important official responsibilities (service provision, regulation / planning, support, control).
- They might keep important information such as offices of statistics and planning.
- They could keep potentials to contribute to solid solutions in urban sanitation such as NGOs of educational institutions.
- They might suffer from negative impact of existing bad sanitation conditions such as slum dwellers, women etc.

Final Reflections for Activity - II

The participants should reflect on the following propositions

- Why / how is the respective group / actor concerned?
- What role of actor / stakeholder would be appropriate:

  Get informed;

  Get consulted;

  Collaborate;

  Co-decide;

  Control implementation of decisions

The participants should record their findings in the following Matrix A. The trainer should initiate a final presentation for every group of the recorded findings.

Actor / stakeholder in your city	Why / how is the stakeholder concerned?	What role of actor / stakeholder would be appropriate: • Get informed; • Get consulted; • Collaborate; • Co-decide; • Control implementation of decisions	Should the actor be part of CSTF? (Yes/no)

SESSION 04

Baseline Data Collection

Activity	Time	Materials / Methods
Introductory Lecture	20 min	Powerpoint Presentation
Activity Part I	30 min	Colour Cards, Group Discussion
Activity Part II	30 min	Brown Paper Matrix, Flipchart
Wrap – Up Activity	60 min	Plenary Discussion

Key subjects of Session:

- What are the relevant baseline data to be collected for your CSP?
- Where to get data from?
- Why are baseline data important?
- How to use support tools such as the NUSP Baseline Assessment Checklist?

KEY LEARNING

Understand which baseline data to collect as important element for the Status Report

ELEMENTS OF THE SESSION

Introductory lecture

The trainer should provide a basic introduction to baseline data collection as an important aspect of compilation of the Status Report (for e.g. it serves to understand the current system; to understand quantities of e.g. water supply, wastewater/solid waste generation etc.; to find out gaps; to base design on solid data; for overall planning and forecasting; for focusing e.g. on infrastructure development or management improvement)

The lecture should highlight –

- The Status Report's importance and role in the CSP Process
- Types of data to be collected
- Sources of collection of secondary data
- Supporting documents: Sample Baseline Assessment Checklist (MoUD) and Sample City Sanitation Plans

Activity Part I

Objective of this activity: To help participants analyse the availability of baseline information available with the city to help plan further steps in data collection

How to instruct participants on this activity: Divide the participants in groups according to their respective cities. Give them 2 colour cards of different colours each. On one card they write all maps relevant to sanitation available with the urban local body. On the second card they list all sources of data, they normally use in their urban local body for doing any kind of urban planning exercise. The findings of this activity are to be recorded in the following Matrix 1, which should be prepared in advance on a brown paper.

MATRIX 1 | Overview on data and maps available with each ULB		
Name of the City	Maps available with ULB	What source of data do you use for planning?

Activity Part II

Objective of this activity: To help participants go through every component of the CSP to understand the required data and check their availability.

How to instruct participants on this activity: Divide the participants in groups according to their respective cities. The participants are to indicate with help of small stickers, which data are available with their urban local body for each component of the CSP Process. The results are to be compiled in following matrices 2 to 5, which need to be prepared in advance on a brown paper. The trainer can ask each city for an answer and make it visible through stickers or ask participants to do it themselves.

MATRIX 2 | Data Set - Water Supply			
Data area	Data required	Is Data Available?	Comments
Access to water: Sources	• Ground water • Surface water • Treatment Plants • Water supplied		
Distribution System	• Distribution network • Pumping stations/ overhead tanks		
Household Supply	• Number of connections • Water quality • Water charges		
Maps	• Distribution network • Ground Water (borewells, etc.)		

MATRIX 3 | Data Set – Access to Toilet			
Data area	**Data required**	**Is Data Available?**	**Comments**
Access to Toilets	• Number of Toilets • Number of Community and Public Toilets		
Operation and Maintenance of Public and Community Toilets	• O&M Agency • Number and location of toilet blocks • Number of seats in each toilet block • Conditions of toilet blocks • User Charges		
Open Defecation	• Open Defecation areas		
Maps	• Maps showing OD, Community Toilets and Public Toilets		

MATRIX 4 | Data Set – Wastewater Management / Septage Management			
Data area	**Data required**	**Is Data Available?**	**Comments**
Wastewater Disposal Arrangements	• Number of Households depending on Septic Tanks, Underground Drainage System, Open drains, etc.		
Septage Management	• Design of Septic Tanks as per standards • Condition of Septic Tanks • Desludging and transportation agency • Disposal		
Sewerage System	• Sewerage Network and STP		
Maps	• Sewer Network		

MATRIX 5 | Data Set – Solid Waste Management			
Data area	**Data required**	**Is Data Available?**	**Comments**
Waste Generation	• Total waste generated (MT/Day)		
Waste Collection	• Door to Door collection • Community Bins		
Transportation	• Transport Facilities (number of trucks, etc.)		
Treatment	• Treatment Facility/Landfill • Disposal/Open Dumping		
Maps	• Route Plans, Disposal Areas, Landfill		

Wrap-Up Activity

The trainer should invite participants to undertake the following analysis in each sub-groups:

- Compare the 'Data areas' with the NUSP Checklist Baseline Data with a view to the needs and conditions in their city. Decide which data really matter for the CSP. Instruct them to add / delete data areas if required upon such comparison.
- Instruct participants to reflect where they might get them from (which institution, publication or statistics)
- Finally, trainer should invite participants to discuss possible challenges which might occur in respect to correctness, level of detail, spatial explicitness, costs etc.

These results need to presented in a plenary session. The trainer should make sure that the participants discuss at the beginning why which data matter for the CSP in the concrete case of their city.

CONCLUDING SESSION

Activity	Time	Materials / Methods
Activity – Presentation of Template for Status Report	20 min	Group discussion
Feedback round	10 min	Brown paper matrix

Key subjects of Session:

- What kind of support do the participants need after the training?
- What are tasks to be completed before the next training?
- Presentation of the template for Status Report, the main document to be prepared by the city until the next training
- What timelines need to be set before the next training?

KEY LEARNING

To agree upon the tasks to be completed before the next training

ELEMENTS OF THE SESSION

Activity

Since the training follows a training and handholding approach, it is important that the participants are made aware of the tasks they have to complete between the trainings.

The two main tasks for the participants in this case are the formation of the City Sanitation Task Force and the preparation of the Status Report. The trainer should guide them through the template for the Status Report and answer all open questions. Jointly the participants and the trainer should decide on realistic time-lines of completing of these tasks and suggest a date of the training.

Two main questions need to be discussed with the participants in the plenary:

- Do the participants feel confident for completing the tasks in the agreed time?
- What kind of support would be required for them to complete the tasks?

The concluding session activity should be in the form of a presentation which the trainer needs to prepare specific for each training.

Feedback round

The concluding session should also be used to collect feedback from the participants. Feedback tools from Part II of the Manual (Designing the course) can be used according to the group size and preferences. The main areas for which feedback should be collected are:

- Contents of the training
- Methods of the training
- Learning experience
- Facilities and overall organisation

For making the entire Training and Handholding Programme successful, it is important to take up the feedback and show in the next course, how the trainer team has responded to it.

Part IV B – Second Round of Handholding Training

SESSION 01

Review of Homework

Activity	Time	Materials / Methods
Introductory Lecture	20 min	Powerpoint Presentation
Activity Part I	30 min	Colour Cards, Group Discussion
Activity Part II	30 min	Brown Paper Matrix, Flipchart
Wrap – Up Activity	60 min	Plenary Discussion

KEY LEARNING

Critically reflect achievements and challenges of activities between Handholding 1 and Handholding 2

Key subjects of Session:

- Recapitulating Handholding Part One and what has happened in the cities since then.
- Review of Status Reports.
- What makes a good Status Report?

ELEMENTS OF THE SESSION

Activity Part I

Objective of this activity: To help participants reflect upon the process of developing the Status Report as first step of the CSP Preparation.

It is important to note here that the requirement for conducting this session successfully is for the cities to submit the Status Report before the training. These status reports then need to be reviewed and main lessons learnt need to be extracted.

How to instruct participants on this activity: Divide the participants in city-wise mini-groups and instruct them to initiate whisper group discussions on the following -

- What challenges did you face?
- What would you identify as 'positive outcomes' of the Status Report, which brought you further insight?

The participants should record one issue / challenge per colour card (one colour for challenges, one colour for positive outcomes) and the trainer should take up the issues for discussion in plenary. For documentation purposes ask the participants to mention the name of their respective city on the cards

Wrap-Up of Activity Part I

After all groups are finished, the trainer will ask each group to present both challenges and positive outcomes and pins it on a pin-board. If possible the trainer can already structure it according to the type of challenges or outcomes or according to cities.

While collecting the feedback the trainer can ideally ask the participants how they have overcome the challenges they mentioned or if other participants can offer solutions in how to overcome the presented challenges.

Activity Part II

Divide participants in two groups and ask each of them to screen a Status Report (key contents and the process of Status Report development) of one of the cities being present in the training. First they will get max. 10 minutes to go through the Status Report and then they will discuss in the group along the questions mentioned in the Matrix 6. Ask each group to document the results of their discussion in the matrix below (ideally to be prepared for them on a brown paper in advance).

MATRIX 6 | Assessment of exemplary status reports

Category of assessment	Findings in group discussion
What key messages can you draw from the Status Report?	
Which aspects of the Status Report can be helpful for other / your own reports?	
Where would you see space for improvement in the Status Report?	
What did you learn regarding the process of developing the report? Who was leading the process?	

Wrap-Up of Activity Part II

Trainer should critically guide the participants for this assessment. Make use of pin-boards and the brown paper to present findings of each group. Focus on some key learning lessons experienced by the participants during the exercise.

Review Presentation

The assumption is that the cities will have submitted the Status Report before the training. Therefore the trainers' team or technical team should conduct a review of the submitted Status Reports and prepare a short overview presentation in line with the presentation on "Review of Status Report". Facts and Figures will have to be adapted for the respective context. Areas to be covered should be:

- Short introduction to the relevance of Status Report
- Positive aspects of each status report received
- Overall shortcomings of the status reports

Achievements should be highlighted individually per Status Report. Shortcomings should be formulated generally for all submitted reports.

Bilateral session

During the training, the trainers should schedule bilateral sessions with each city

Time Required:

- Parallel session if enough trainers are available
- Minimum 15 minutes per city should be scheduled

Tasks of the Trainer:

- Conduct a more detailed review of the submitted documents by the respective cities
- Answer any case specific questions and discuss the next steps to be taken
- Hear out the participants and understand the challenges faced by the city in between the trainings
- Use this information as a monitoring tool
- Plan for next steps
- The trainer should ideally start asking the respective city for their questions and let them explain how they have gone about the various tasks. Then the trainer can give detailed feedback and jointly plan the next steps.

SESSION 02

Technical Sector Analysis

Activity	Time	Materials / Methods
Introductory Lecture I – Gap Analysis for Technical Sectors	40 min	Powerpoint Presentation
Activity Part I – Gap Analysis with examples of different town	30 min	Group Activity, Brown Paper Sketching, 3 Pin Boards, Colour Cards
Wrap – Up Activity I	30 min	Flip Chart, Matrices, Plenary Group Discussion
Activity II – SWOT analysis	20 min	Poster with SWOT Analysis
Activity Part III – Parking Lot	10 min	A3 Sheet with Parking Lot for each participating city

Key subjects of Session:

- Demographic analysis (density, growth, development)
- Gap Analysis for the following technical sectors:
  - Water supply
  - Wastewater management
  - Storm water management
  - Solid waste management
  - Access to toilets

KEY LEARNING

Understand how to conduct a gap and SWOT analysis for selected technical areas

ELEMENTS OF THE SESSION

Introductory Lecture I

Lecture will provide better understanding on the following–

- How to go about Population Projections?
  - Importance of Population Forecasting
  - Growth Drivers and methods of population projection
  - Example – Nashik City
  - Key Points and Way Forward
- Introduction to Technical Sectors
  - Solid Waste
  - Water Supply
  - Wastewater Management
  - Storm Water Management
  - Access to Toilets

- What is basis for identification of Gaps and Issues and how to conduct Gap Analysis?
  - Assimilation and structuring of data (ward-wise / zone-wise / sub-city level wise)
  - Reading your Status Report right
  - Methods of Gap Analysis (Checklist Based, Map-Based, Comparison with Standards)
  - Comparison of important Standards / Thresholds vis-a-vis Current Baseline Status

For information on each technical sector, refer to PPT on Technical Sector Analysis and to Chapter 2 of the City Sanitation Plan Preparation Toolkit - Practitioners Manual. The trainer should explain in particular the norms and standards for each of the Technical Sectors, tools (tables, matrices etc.) for effective recording of baseline data and identification of indicative key issues per technical sector.

Activity Part I – Conducting Gap Analysis

Objective of this activity: To help participants identify gaps in technical sectors through different methods.

How to instruct participants on this activity: Divide the participants in 3 groups of equal size

Group A: Gap analysis through comparison of key figures with standard or benchmark values. The group will focus on the example of cities to be provided by the trainer's team (in this case it is the example of Mavelikara, Kerala) and conduct the gap analysis according to quantitative number comparison on solid waste management. For this, the trainer should instruct the participants to take recourse to the three tables below; Table I provides some key features for the city. Table II indicates existing Service Level Benchmarks (SLB) for the solid waste management sector, whereas Table III provides the target values for the SLB as stipulated by MoUD.

The participants should record their findings in the Matrix 7 to be prepared on a brown paper beforehand for further discussion.

Table I: Key features for Mavelikara

Feature	Figures
Area	12.65 sq. km.
Population 2011	27556
Garbage generation	10 MT/day
No. of HH practicing source segregation	0

Table II: Existing SLB values for Mavelikara

SOLID WASTE MANAGEMENT INDICATORS		
Indicators	**Unit**	**Result**
Household level coverage of solid waste management services	%	15
Efficiency of collection of municipal solid waste	%	60
Extent of segregation of municipal solid waste	%	15
Extent of municipal solid waste recovered	%	15
Extent of scientific disposal of municipal solid waste	%	15
Extent of cost recovery in solid waste management services	%	40 (from commercial waste)
Efficiency in collection of solid waste management charges	%	40
Efficiency in redressal of customer complaints	%	0

Table III: Target SLB values as per MoUD		
S. No.	Proposed Indicator	Benchmark
1	Household level coverage of solid waste management services	100%
2	Efficiency of collection of municipal solid waste	100%
3	Extent of segregation of municipal solid waste	100%
4	Extent of municipal solid waste recovered	80%
5	Extent of scientific disposal of municipal solid waste	100%
6	Efficiency in redressal of customer complaints	80%
7	Extent of cost recovery in SWM services	100%
8	Efficiency in collection of SWM charges	90%

Group B: Map-based identification of hot-spots. The second group will analyse potential gaps and hot-spots in the area of access to public toilets and open defecation for an exemplary city (in this case Kochi) based on thematic maps. For this, the trainer should instruct the participants to take recourse to Fig. 6 (access to toilets) and Fig. 7 (open defecation).

Fig. 6: Public Toilets in Kochi

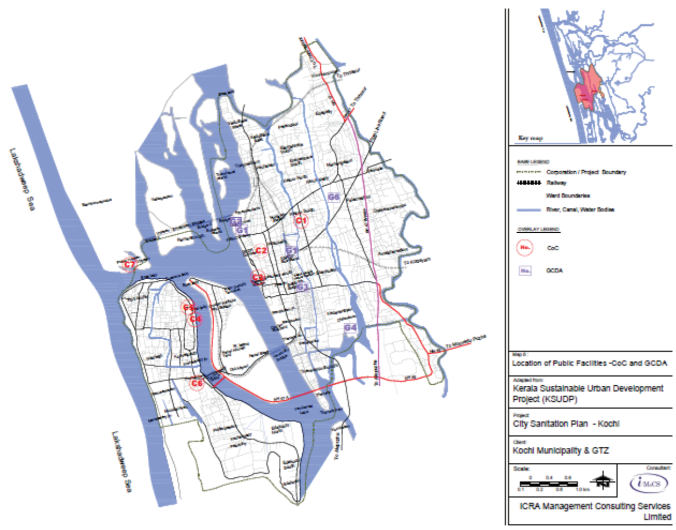
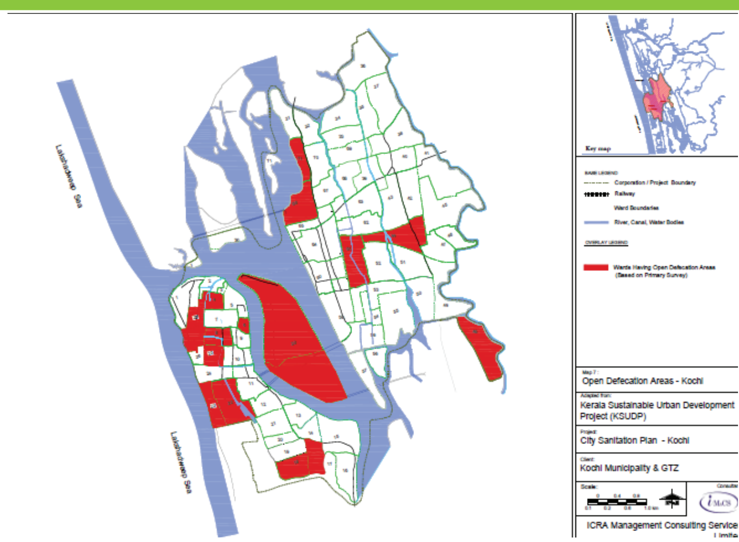


Fig. 7: Open Defecation in Kochi



Group C: Gap analysis through checklist

The third group will analyse the situation for septage management in one city selected by the participants against a checklist, which includes Indian Standard requirements (IS 2470) and other guidelines for septage management. These include:

Septic tanks

- Are the septic tanks of adequate size?
- Is grey water also entering into the septic tanks?
- Where are the septic tanks located with respect to the building? Are they accessible for cleaning?
- Is the design of septic tanks controlled through building / planning rules at ULB level?
- Does any secondary treatment system (e.g. soak pit, dispersion trench, etc.) exist for disposal and treatment of effluent (from septic tanks) and grey water?

Septage collection and conveyance

- Does data exist on private operators engaged in septage collection and conveyance activities?
- Are these private operators authorised and regulated?
- What is the desludging frequency?
- Do user charges for emptying of septic tank exist?
- Does any complaint redressal system exist?
- Are any operational, health & safety standards followed during septage collection & conveyance activity?

Manual scavenging

- No. of manual scavengers in the city?
- Reasons for manual scavenging?

Septage treatment and disposal / reuse

- Does any treatment facility exist?
- Location for disposal of untreated septage? What are the ill effects of such disposal?
- Is untreated septage reused (e.g. manure, etc.)?

Wrap Up Part I – Plenary Discussion

Each group should record their findings with respect to the key issues and challenges identified in the above activity in the following Matrix 7, which needs to be prepared on a brown paper for each group.

MATRIX 7 | Gap Analysis

Key issues/gaps identified	What additional information is required?

For the wrap-up the trainer should facilitate a plenary discussion asking the participants on their experience with the respective analytical method and if they found it useful and feasible for reaching to a better understanding of the city.

For the wrap-up it is important that the groups don't present all their results, but that it is a focused discussion steered by the trainer. Before you start the wrap-up make yourself familiar with first results and design your questions accordingly (what was surprising for you? what would bring the most benefit to discuss further?). Visualise the main results of the discussion either with stickers on the matrices or on a separate flipchart.

Activity II –SWOT analysis

A short introduction to the concept of SWOT analysis will be given by the Trainer covering:

- **Strengths**: What does the Gap Analysis show about existing strengths of the sanitation system?
- **Weaknesses:** Where did you find the main weaknesses of the sanitation system, which you should address in your CSP?
- **Opportunities:** Which opportunities for future developments did you identify?
- **Threats:** Which conditions could you identify which might threaten in future improvements of the sanitation system?

The Trainer should guide participants through a discussion exploring main conclusions from the Gap Analysis for technical areas conducted in Activity I and should collect the results from the gap analysis together with the participants in a SWOT Matrix 8.

MATRIX 8 | SWOT Analysis

Strengths	Weaknesses
Opportunities	**Threats**

Activity III – Parking Lot

Sub-divide the participants in mini-groups according to the cities present in the training, one group per city. An A3 copy of the Parking Lot in Figure 8 will be handed out to each group. This sheet will be used after the session of Analysis of Technical Sectors, Analysis of Support Pillars and Analysis of Finances. After the discussions in this session the mini-groups are asked to now list all issues in all technical sectors their city is facing. It does not yet have to be well structured and the Parking Lot will not be presented to the plenary. It is a document for the use of the respective city. After finishing the list of all issues in the technical sectors, ask the participants to keep the Parking Lot with them until the end of the Training.

Figure 8: Parking lot for issues to be considered for city-wide SWOT analysis in Session V

'Parking lot' for issues to be considered for city-wide SWOT analysis in Session V

SESSION 03

Analysis of Support Pillars

Activity	Time	Materials / Methods
Introductory Lecture	20 min	Powerpoint Presentation
Activity I – Analysis of Support Pillars for CSP implementation	40 min	Group Activity, Brown Paper Sketching, Pin-up board, Flipchart, Colour Card
Activity II – SWOT Analysis	20 min	Poster with SWOT Analysis
Activity Part III – Parking Lot	10 min	A3 Sheet with Parking Lot for each participating city

KEY LEARNING

Understand how to conduct a gap and SWOT analysis for governance, capacity and inclusiveness issues

Key subjects of Session:

- Institutional assessment
- Capacity assessment
- Gender and inclusiveness

ELEMENTS OF THE SESSION

Introductory Lecture

Lecture will provide better understanding on the following Support Pillars for CSP implementation -

- What is the relevance of identifying key issues in each support pillar for CSP implementation?
- Governance and Institutional Mechanisms
  - Key issues of governance and institutions in existing CSPs
  - Institutional Analysis (including legal framework, departmental coordination, roles and responsibilities division etc.)
- Capacity Enhancement
  - Capacity Needs Assessment (tasks to be performed, staff requirements etc.)
- Inclusiveness
  - Gender
  - Urban Poor

For information on each technical sector, refer to PPT on Analysis of Support Pillars and to Chapter 2 of the CSP Toolkit.

Activity – Analysis of Support Pillars for CSP implementation

Objective of this activity: To help participants identify and analyse gaps in governance of the urban sanitation sector.

How to instruct participants on this activity: Divide the participants in groups, each working on a particular city since the gaps and potentials will crucially depend on the concrete situation. The trainer should cluster cities according to similar features so that as far as possible, homogeneity is maintained within the group. The participants should record their findings in the Matrix 9, prepared on a brown paper for each group.

MATRIX 9 | Governance analysis for the city		
Category of governance	**Achievements in the city**	**Gaps in the city**
CSTF set-up / ownership of CSP process		
Involvement of stakeholder groups including women groups (gender) and community groups (inclusiveness)		
Quantity and qualification of staff		
Clear division of roles and responsibilities of institutions (ULB/state level)		
Rules and enforcement mechanisms in place		
Monitoring and complaint redressal adequate		
Cooperation with private sector		

Activity II – SWOT Analysis for Governance

As a subsequent step, trainer should guide participants through a discussion exploring main conclusions from the governance related Gap Analysis and the findings of the same should be recorded in SWOT analysis as in Matrix 10.

MATRIX 10 | SWOT Analysis for Governance	
Strengths	**Weaknesses**
– Bye-law for waste water recycling in place – CSTF is formed	– No clear division of responsibilities in ULB – Absence of required municipal bye-laws
Opportunities	**Threats**
– New recruitment sanctioned by state government – Slum Level Federation is part of CSTF and can provide slum perspective	– No budget available for possible projects in slum settlements – Lack of interest of other departments in cooperation

(Note: The examples mentioned above are merely as illustrations for better understanding of participants)

Activity III – Parking Lot

Ask the participants to go back in their city-wise mini groups and they should take out their Parking Lot sheet, which they have started in the session II. Now the groups should add all issues concerning governance, capacities and inclusiveness in the sanitation sector their city is facing and they would like to address in their CSP.

SESSION 04

Municipal Finance Analysis

Activity	Time	Materials / Methods
Introductory Lecture	15 min	Powerpoint Presentation
Activity – Analysis of Municipal Finances for CSP Implementation	30 min	Group Activity, Brown Paper Sketching, Pin-up board, Flipchart, Colour Card
Activity II – SWOT Analysis	20 min	Poster with SWOT Analysis
Activity III – Parking Lot	10 min	A3 Sheets with Parking Lot for each city

KEY LEARNING

Understand how to conduct a gap and SWOT analysis for financial sustainability.

Key subjects of Session:

- Understanding Municipal budgets – income and expenditures
- Steps for undertaking Financial Assessment

ELEMENTS OF THE SESSION

Introductory Lecture

Lecture will provide better understanding why analysis of municipal budget is important to achieve financial sustainability for sanitation services delivery under the CSP. The lecture will include –

- How is the urban local body budget structured?
- Case Study – Municipal Finances of Tirupati
- How to conduct Budget Analysis of Sanitation Sector?
- What are the financial requirements for different sanitation systems?
- How to conduct SWOT analysis for Municipal Finances in sanitation sector?

For information on each technical sector, refer to PPT on Municipal Finances and to Chapter 2 of the CSP Toolkit.

Activity – Analysis of Municipal Finances for CSP implementation

Objective of this activity: To help participants identify and analyse aspects for municipal finances for the sanitation sector namely; expenditures and revenues, capital and maintenance costs, revenue generating opportunities.

How to instruct participants on this activity: Trainer should divide the participants into pairs and initiate whisper-group discussions and analyse the budget situation of an exemplary city (in this case Tirupathi). Initially, the Trainer should expose participants to some revenue and expenditure arrangements for Tirupati as indicated in Table IV and V below.

Table IV: Revenue Sheet for Tirupati					
Income & Expenditure (All figures in Lakhs)	2007-08	2008-09	2009-10	CAGR%	% of income-2010
OWN INCOME - TAXES					
Property Tax & Vacant land Tax	1455	1580	2052	19%	40%
TOTAL TAXES	1455	1580	2052	19%	40%
OWN INCOME –NON TAX					
D & O Trades, Market Fees, Encroachment Fees	65	72	81	12%	2%
Betterment Charges and Building Perm Fees	129	109	97	-13%	2%
Miscellaneous receipts	246	273	255	2%	5%
Water Supply and other Charges	298	281	225	-13%	4%
Total Non-Taxes	738	735	659	-5%	
ASSIGNED REVENUE					
Entertainment Tax	32	71	54	30%	1%
Surcharge on Stamp duty	211	230	278	15%	5%
Assigned Revenue Total	243	302	332	17%	6%
Total Revenue income	2436	2617	3043	12%	59%
Other Non-Plan & Plan Grants	91	463	2097	379%	41%
Total Revenue Income (including Grants)	2528	3080	5140	43%	100%

Table V: Expenditure Sheet for Tirupati				
All figures in Lakhs	2007-08	2008-09	2009-10	CAGR%
Salaries Including Pensions	1009	980	1384	17%
Electricity Expenses(Water supply, street lighting)	240	1095	1281	131%
Operations and Maintenance	340	101	643	37%
Other expenditure	366	859	1606	110%
Revenue Expenditure	1955	3043	4919	59%

Using the above example of Tirupati, the trainer should initiate discussion on the following points:

- How would you characterise the budget situation of the city with a special view on sanitation?
- Where would you see options to improve the budget situation? How would sanitation benefit from it?

Participants should note their findings in the Matrix 11. This is to be used by the Trainer for initiating the Wrap-Up Plenary discussion.

MATRIX 11: FINANCIAL ANALYSIS OF TIRUPATI	
Category of assessment	**Findings in whisper-group discussion**
How would you characterise the budget situation of the city with a special view on sanitation?	
Where would you see options to improve the budget situation? How would sanitation benefit from it?	

Wrap-Up of Activity – Plenary Discussion

The trainer will facilitate a discussion in the plenary on the results of the activity conducted above. For the wrap-up it is important that the groups don't present all their results, but that it is a focused discussion. The Trainer should focus on key learnings incorporated by the activity to apply to their local city scenario.

Activity II – SWOT Analysis on Municipal Finances

As a subsequent step, trainer should guide participants through a discussion exploring main conclusions from activity on financial analysis conducted previously. The same should be recorded in SWOT analysis as in Matrix 12. The SWOT analysis will not focus on the exemplary case of Tirupati but on all cities of the participants. The participants can take help of the following Checklist for assessing municipals finances –

- Is the municipal budget based on single entry / double entry system?
- Has the state adopted a National Accounting Manual?
- How far is the budget / data management computerised?
- What is the role of the ULB staff in municipal budgets?
- How does the Internal / external financial control system function?
- What is the procedure for budget preparation?

MATRIX 12 | SWOT Analysis for Municipal Finances

Strengths	Weaknesses
• Well managed property tax collection system is in place • Cost recovery from water supply is more than 85%	• Low cost recovery and collection efficiency on sanitation (SWM, Sewerage) related taxes and user charges • Information discrepancies
Opportunities	**Threats**
• Implementation of reform of accrual accounting could improve financial management • High potential to improve cost recovery in SWM and sewerage • Revenue can be generated through involving private players in sectors like – SWM, public toilets etc.	• With implementation of number of capital projects under various government funding schemes resulted in sharp rise in O&M costs • Establishment costs (admin, salaries) are increasing since last 3 years

(Note: The examples mentioned above are merely as illustrations for better understanding of participants)

Activity III – Parking Lot

Ask the participants to go back in their city-wise groups and they should take out their Parking Lot sheet, which they have started in the session II. Now the groups should add all issues concerning municipal finances in the sanitation sector their city is facing and they would like to address in their CSP.

SESSION 05

City-wide key issues

Activity	Time	Materials / Methods
Introductory Lecture	10 min	PPT
Activity – Short-listing of City wide key issues	45 min	A3 Sheets of paper for each group, Group Discussion
Wrap – Up	25 min	Structured Plenary Discussion

Key subjects of session

- Formulation of key issues to be addressed by the CSP

KEY LEARNING

Understand how to identify the key issues based on the gap analysis as conducted

ELEMENTS OF THE SESSION

Introductory Lecture

The lecture will provide the following information –

- How to interlink different service sectors issues to identify key issues for the city?
- How to select 'short list' of crucial issues from the 'long list' of issues compiled in the previous exercises

Activity

Objective of this activity: To help participants identify the key issues from a city-wide perspective.

How to instruct participants on this activity: During Session II-IV, the participants identified a number of key issues to be addressed by the CSP for their respective city. These issues were extracted from the SWOT analyses and compiled on the 'parking lot lists' ('long list' of crucial issues). Some of these issues might be very specific or localised. The focus of the present session is to structure, prioritise and reformulate the sector-wise issues and develop a set of city-wide key issues.

The trainer should therefore instruct the participants to structure the issues mentioned on the long list compiled on your parking lot lists and come up with overall key issues relevant for the whole city. The trainer should clearly guide participants to formulate city-wide key issues in a broader manner (e.g. the percentage of non-revenue water is considerably high, existing prevalence of open defecation, lack of maintenance of storm water drains and considerable clogging due to solid waste littering, etc.) so that various aspects, such as water supply, solid waste management, etc. are covered.

The trainer should divide participants into city-wise groups. The participants should work on their individual city and consult the 'parking lots'. Further the participants should screen the long list of sector issues and write them into the left column of Matrix 13. Subsequently, they should narrow down the list by structuring, combining and revising these issues to finally conclude with maximum 10 city-wide key issues for their town. The trainer should seek in particular the participants understanding on inter-linkages between the different sectors and structure key issues and on formulation of rationale for each key issue based on status report.

MATRIX 13 | Priority based city wide key-issues

	Issues collected from Parking Lot per Sector		CITY WIDE KEY ISSUES
Issues for Water Supply		⇨	1
			2
Issues for Wastewater Management			3
			4
Issues for Solid Waste Management		⇨	5
			6
Issues for Access to Toilets		⇨	7
			8
Issues for Storm Water Management		⇨	9
Issues for Governance, Capacities and Inclusiveness			10
Issues for Finances			

Wrap-Up

The trainer will facilitate a discussion in the plenary on the results of the activity conducted above. For the wrap-up it is important that the groups don't present all their results, but that it is a focused discussion. The Trainer asks the participants to present 2-3 key issues that they have finally come up with. Through the discussion, the trainer must clarify if the participants are clear with the process of selecting only the most crucial issues from the long list of 'parking lot', since efficient prioritisation is a key step to ensure smooth progress of CSP implementation.

SESSION 06

Vision and Road Map

Activity	Time	Materials / Methods
Introductory Lecture Part I	10 min	Powerpoint presentation
Activity I– Vision Formulation	25 min	Colour Cards, Flipcharts Group Discussion
Wrap Up	25 min	Plenary discussion
Introductory Lecture Part II	10 min	Structured Plenary Discussion
Activity II – Road Map / Action Plan for the next steps of CSP preparation – Homework	25 min	A3 sheet paper
Wrap Up	20 min	Group discussion

Key subjects of Session:

- Introduction on how to formulate a vision with CSTF
- Development of a roadmap for next steps
- Specific definition of homework

KEY LEARNING

Being able to formulate a city-wide sanitation vision and to specify future steps of CSP development

ELEMENTS OF THE SESSION

Introductory Lecture Part I

The lecture will provide the following information –

- What is the necessity and role of vision formulation for CSP development?
- What are the tasks with the ULB and CSTF with respect to vision formulation?

Activity I – Vision Formulation

Objective of this activity: To help participants develop a 'sanitation vision' for the city.

How to instruct participants on this activity: The participants can carry out this activity in two parts.

Part A: Vision formulation- Divide participants into city-based groups and instruct them to visualise how the city sanitation situation should ideally look like in 30 years. Ask participants to imagine what they would see while walking through the city, how people would behave, what all would be available etc. The participants should prepare a flipchart each with illustrations and text to showcase their sanitation vision. After completing the flipchart, ask the participants to display the flipchart in the training hall and give the whole group at least 5 minutes to walk around and have a look at all the sanitation visions.

Part B: Vision sharing with CSTF – Trainer should explain once again the importance of the CSTF in formulating the CSP vision and the participants should be instructed to reflect upon the same. The participants should note their suggestions in the following Matrix 14.

MATRIX 14 | Options for involving CSTF in vision formulation

	Option 1	Option 2	Option 3	Your strategy
Step 1	Preparing 2-3 visions within the ULB in advance	Hold a meeting with your CSTF and form small groups	Ask each CSTF member in advance to the next meeting for sending their vision to you in writing	
Step 2	Present this proposals to the CSTF and ask for their feedback in a plenary meeting	Each groups formulates a vision and presents it to the plenary	Compile all the contributions and present 2-3 options in the CSTF meeting	
Step 3	Make changes and come to a final formulation in the CSTF meeting itself	All the visions are put together on one board and similarities and differences are discussed in the plenary	Ask for feedback and make changes and come to a final formulation in the CSTF meeting itself	
Step 4	Document this meeting and the vision and circulate it to all CSTF members afterwards	Come to a conclusion in the meeting or take the proposals and come back with the suggestion for a vision at the next meeting	Document this meeting and the vision and circulate it to all CSTF members afterwards	

Wrap Up

The trainer will facilitate a discussion in the plenary on the results of the activity conducted above. The trainer can use flashlight feedback (short feedback from selected participants) on their take-aways form this session.

Introductory Lecture II

The lecture will provide the following information –

- What are the outputs to be achieved after this training?
- What support documents are available?
- What is the road map for achieving the outputs?

Activity Part II – Future Homework

Divide the group into city-wise group and each group receives an A3 copy of the Matrix 15 below. They should fill in the matrix with steps formulated as concretely as possible to achieve the agreed upon outcomes of -

- Completion or strengthening of Status Report
- Discussion and approval of Status Report by CSTF
- Formulation of vision and goals with CSTF
- Selection and formulation of key issues and the rationale behind it
- Preparation of Status Assessment Report that consists of the Status Reports plus the outcomes of the gap analysis, the key issues and the sanitation vision.

The participants are expected to indicate who will be relevant actors for which task and add a time-line for the same.

MATRIX 15 | Roadmap for future

What?	Who?	Until when?
1. Collection of maps from Engineering and Town Planning Department	Sanitary Inspector	In 1 week
2. Brief Commissioner and Mayor about this training	Sanitary Inspector and Assistant Engineer	In first 2 days
3. Organise CSTF Meeting for presenting the Status Report and Key Issues	Commissioner	In next 15 days
Our first step when we get back: Ask for a meeting with mayor and commissioner		
Where can we get support from in this process: CSTF Members, Engineering students from local college		

(Note: The examples mentioned above are merely as illustrations for better understanding of participants)

Wrap-Up:

The trainer should wrap-up the session with a group discussion. Each group can be invited to discuss with reasons the first activity they would chose to undertake post the training session so as to move forward with their CSP. The trainer should moderate a healthy exchange of ideas and make this an interactive discussion so that groups gain insights from the other groups perspectives.

CONCLUDING SESSION

Activity	Time	Materials / Methods
Activity – Presentation of Template for Status Assessment Report (Draft CSP)	20 min	Group discussion
Feedback round	10 min	Brown paper matrix

KEY LEARNING

To agree upon the tasks to be completed before the next training

Key subjects of Session:

- What kind of support do the participants need after the training?
- What are tasks to be completed before the next training?
- Presentation of the template for Status Assessment Report (Draft CSP), to be prepared by the city until the next training
- Formulation of city-wide key issues and sanitation vision.
- What timelines need to be set before the next training?

ELEMENTS OF THE SESSION

Activity

Since the training follows a training and handholding approach, it is important that the participants are made aware of the tasks they have to complete between the trainings.

The main tasks for the participants in this case are:

- Formulation of key issues and sanitation vision with CSTF
- Strengthening of Status Report
- Formulation of Status Assessment Report (Draft CSP)

The trainer should guide them through template of Status Assessment report and answer all open questions. For discussing the city-wide key issues and sanitation vision with the CSTF, the trainer should explain the participants to focus on whether the key issues are clearly formulated and really address the significant challenges of the city and whether they are in line with the city sanitation vision. Jointly the participants and the trainer should decide on realistic time-lines of completing of this tasks and suggest a date of the training.

Two main questions need to be discussed with the participants in the plenary:

- Do the participants feel confident for completing the tasks in the agreed time?
- What kind of support would be required for them to complete the tasks?

The concluding session activity should be in the form of a presentation which the trainer needs to prepare specific for each training.

Feedback round

The concluding session should also be used to collect feedback from the participants. Feedback tools from Part II of the Manual (Designing the course) can be used according to the group size and preferences. The main areas for which feedback should be collected are:

- Contents of the training
- Methods of the training
- Learning experience
- Facilities and overall organisation

For making the entire Training and Handholding Programme successful, it is important to take up the feedback and show in the next course, how the trainer team has responded to it.

Part IV C – Third Round of Handholding Training

SESSION 01

Review of Homework

Activity	Time	Materials / Methods
Activity Part I	15 min	Colour cards, Pin Board
Wrap- Up	25 min	Group discussion
Activity Part II	30 min	Group Discussion, A3 sheet
Wrap- Up	20 min	Group discussion

KEY LEARNING

Critically reflect achievements and challenges of activities between Handholding 2 and Handholding 3 Trainings

Key subjects of Session:

- Recapitulating Handholding Part II and what has happened in the cities since then.
- Review of Status Assessment Report including Key Issues and Sanitation Vision.
- What makes a good Sanitation Vision?

ELEMENTS OF THE SESSION

Activity I – Status Assessment Report Review

Objective of this activity: To help participants reflect upon the tasks completed during after the Handholding Part II specifically with respect to developing the Status Assessment Report.

It is important to note here that the requirement for conducting this session successfully is for the cities to submit the Status Assessment Report before the training. These status reports need then to be reviewed and main lessons learnt need to be extracted.

How to instruct participants on this activity: Trainer should instruct participants to form groups. Each of the cities represented in the training will form a whisper group and discuss for 10 minutes the following questions:

- What were good experiences you made during elaboration of the Status Assessment Report?
- What were challenges which you faced during preparation?

Each whisper group should select one or two good experiences and challenges, correspondingly.

Wrap-Up:

Trainer should instruct participants to record each good experience or challenge on a card (one issue per card) and then should collect the cards which can be pinned to a brown paper. The activity should be wrapped up with each group presenting their results and trainer should moderate the session.

Activity II – City-wide Sanitation issues and Vision Review

Objective of this activity: To help participants reflect upon the tasks completed after the Handholding Part II specifically with respect to developing the city-wide sanitation issues as well as the sanitation vision.

How to instruct participants on this activity: Trainer should form whisper groups as in the previous activity representing one city each. The trainer should instruct groups to critically analyse the city-wide key issues and sanitation vision of the neighboring group.

The participants should be instructed to read the city-wide issues elaborated in the last chapter of the Status Assessment Report as well as sanitation vision carefully. Trainer should instruct participants to classify the issues as either (i) well formulated examples or (ii) examples needing improvement. These issues need to be recorded in the left column of Matrix 16 and the participants should be instructed to give their reasoned criticism or appreciation in the right column of Matrix 16 which should be provided as an A3 sheet to each group.

The participants should bear in mind the following points before making the classification –

- Does the key issue address a significant challenge in the city?
- Is it clearly formulated and specific?
- Is it in line with the Sanitation Vision of the respective city?
- Does it reflect criteria formulated in the SLB and in AMRUT?

MATRIX 16 | Assessment of selected key issues

City of assessment:

Key Issues which you would consider well formulated examples or examples which need improvement	Findings of group work: Write down positive (+) or negative (-) aspects of Key Issues formulation

Wrap Up

As a wrap-up, the two groups checking each other's key issue should sit together and give the feedback they had pre-discussed. If there are enough trainers, one can sit with each pair of cities. If not the trainer can move around and check with each pair, what results they have achieved.

Bilateral session

During the training, the trainers should schedule bilateral sessions with each city

Time Required:

- Parallel session if enough trainers are available
- Minimum 15 minutes per city should be scheduled

Tasks of the Trainer:

- Conduct a more detailed review of the submitted documents by the respective cities
- Answer any case specific questions and discuss the next steps to be taken
- Hear out the participants and understand the challenges faced by the city in between the trainings
- Use this information as a monitoring tool
- Plan for next steps

The trainer should ideally start asking the respective city for their questions and let them explain how they have gone about the various tasks. Then the trainer can give detailed feedback and jointly plan

SESSION 02

Strategy Development

Activity	Time	Materials / Methods
Introductory Lecture	15 min	PPT
Activity I – Goal Definition	20 min	Brown Paper Matrix,
Activity II – Improvement of Draft Goals	20 min	Brown Paper Matrix,
Wrap- Up	15 min	Plenary discussion

Key subjects of Session:

- Transfer key issues into CSP goals.
- Relate Vision and Goals to each other.
- What makes a well-defined Goal?

KEY LEARNING

Understand how to formulate goals for the CSP

ELEMENTS OF THE SESSION

Introductory Lecture – Process of Strategy development

Lecture will provide better understanding of how to develop a strategy for your City Sanitation Plan based on the key issues and the city's vision. It outlines the various steps in strategy development starting from translation of issues into goals, moving further by selecting an adequate option and formulating an action plan. The development of a strategy is the core of the third handholding training programme.

Activity I – Goal Definition

Objective of this activity: To help participants translate key issues formulated as an output of the Status Assessment Report into goals.

How to instruct participants on this activity: Trainer should divide participants into four mini-groups, each focusing on one selected city represented by members of the mini-group forming 4 exemplary cities. Participants should be instructed to note the key issues identified for the respective city in the left column of Matrix 17 and then draft goals in the middle column of the matrix, which would directly overcome the deficiencies as formulated by the key issues. This matrix needs to be prepared beforehand on a brown paper for each group.

MATRIX 17 | Goal Definition		
City:		
Key Issues identified	Potential Goal (Exercise Part A)	Could the goal be improved considering the SMART Rule? (Exercise Part B)

As an example, the trainer can provide the participants with the following completed matrix.

KEY ISSUE	GOAL
No coverage to sewerage system in peripheral areas and limited sewer connectivity in covered areas	Achieve 100% sewer connection in a combined mode of centralised and decentralised system
Prevalence of open defecation in certain low- income pockets	Provide adequate sanitation facilities in all slum settlements
Cost recovery levels in water supply and solid waste are very low against O&M costs.	Improve collection efficiency of solid waste and water charges
Littering and waste dumping in open storm water drains	Make open drains litter-free
Regulation and oversight of onsite sanitation and septage management is inadequate.	Implement a septage management priority project with clear roles and responsibilities

Activity II – Improvement of Draft Goals

Objective of this activity: To help participants improve upon the drafted CSP goals in Activity I.

How to instruct participants on this activity: Trainer should ask participants in existing groups to reflect back upon the SMART Goals and evaluate the draft goals drafted in Activity Part I against it. The participants should be encouraged to fine-tune goals as concrete and specific as possible since they guide selection of concrete options and actions in the subsequent steps of CSP development.

The findings of the groups should be reflected in the right most column of Matrix 17 above.

Criteria for the definition of good goals:

S	**Specific:** The goal is specifically addressing the Key Issue; it is precisely formulated.
M	**Measurable:** The goal achievement can be measured / veryfied.
A	**Attainable:** The goal can be realistically achieved by the respective city.
R	**Relevant:** The goal addresses relevant aspects of the Key Issue.
T	**Time-bound:** The goal provides a temporal reference so that progress can be measured during the course of implementation

Wrap Up

The trainer will facilitate a discussion in the plenary on the results of the activity conducted above. As an option, groups can also analyse other groups' CSP Goals and discuss critically the findings of the corresponding group. Trainer should critically guide the participants for this assessment and ensure that the process is a reasoned, well-articulated discussion.

Following questions can be used by the trainer to steer the discussion:

- What did you learn from the feedback of your peer-group?
- Which goal is the easiest to achieve? Which goal will pose the most challenges?
- How will the Mayor react when he/she sees the goals? Will there be broad acceptance?

SESSION 03

Selecting Technical Options

Activity	Time	Materials / Methods
Introductory Lecture – I	35 min	PPT
Activity Part I – Selection for appropriate sanitation options for the city	45 min	Brown Paper Matrix
Introductory Lecture – II	30 min	PPT
Activity Part II – Selection of Technical Options	45 min	Brown Paper Matrix
Wrap- Up	35 min	Plenary discussion

Key subjects of Session:

- Understand how to select appropriate options resulting from an understanding of the entire sanitation system.
- Reflect technical, institutional and financial criteria when selecting options.

KEY LEARNING

Understand how to select an adequate sanitation option for a specific city based on technical, financial and institutional criteria

ELEMENTS OF THE SESSION

Introductory Lecture I

Lecture will provide better understanding on the various options for achieving the goals as formulated in the previous session. The lecture will guide participants in taking local specificities into account while selecting options for sanitation system.

Trainer should provide a holistic perspective to the participants and ensure that options should be systematically assessed to make sure that the best choices are made for a concrete city. Each city has a unique set of problems and the options should reflect the uniqueness. The trainer should explain to the participants that technical solutions cannot be seen in isolation. Different options can be applied in parallel (e.g. for different wards of the city) or in combination with mutual support

Activity I – Selection of appropriate sanitation system for the city

Objective of this activity: To help participants select appropriate sanitation system for the city.

How to instruct participants on this activity: Trainer should ask participants to reflect on the following sanitation options:

- **Offsite centralised system:** Sewerage system combined with Sewage Treatment Plant(s).
- **On-site system:** On-site sanitation with adequate septage management and subsequent treatment of effluent and grey water.

- **Mixed system:** Combination of centralised and decentralised systems for different parts / locations of the city.

Trainer should divide participants into mini-groups, each group working on one city, i.e. total 4 groups. Participants should be then asked to select the preferred sanitation solution for their city. In the process they can take recourse to Table VI for reference.

TABLE VI: | Selection Criteria For Choosing The Appropriate Sanitation System

Key factors influencing the choice of Sanitation System	Sewerage system	On-site Sanitation
Water supplied per household	High supply (>= 135 lpcd)	Lower supply (< 135 lpcd)
Ground Water Table (GWT)	Not feasible in high GWT areas (0-3 mtrs)	Feasible in high GWT areas (comparatively) (0-3 mtrs)
Geology	Not feasible in rocky terrains	Feasible in rocky terrains (comparatively)
Financial Capacity of ULB for O&M of sanitation system	Cost Intensive for ULB; financing O&M through revenues feasible	Less cost intensive for ULB; difficulties in getting sufficient revenues
Staff and skills available for planning, implementation and maintenance of sanitation system (Managerial and technical skills)	Requires greater skills and staffing at ULB	Requires lesser skills and staffing at ULB (comparatively)
Key factors influencing the choice of Sanitation System	Sewerage system	On-site Sanitation

The participants should discuss within the group, which sanitation system is preferable for the city taking into consideration the factors in Table VI. The participants have a freedom to decide whether the city's interest is best served by one unified system or by differentiating the systems along wards or parts of the city (e.g. for certain slums).

Participants should record their findings in Matrix 18 below which will be prepared on a brown paper beforehand. They should indicate which system they would select for which area of the city. They also need to support this selection with specific arguments in the column to the right. The trainer can ask critical questions about their choice, such as:

- Did the entire group agree on this choice? If not, what were the different positions?
- How will be the acceptance by the mayor, the commissioner, the CSTF members for this selection?
- What are the challenges you might face by choosing this system?

MATRIX 18 | Selection of adequate sanitation system

City:		
Selected sanitation system(s) for your city	Indicate area: City wide or for selected wards, slums etc.	Main arguments supporting your selection

Introductory Lecture II

Lecture will provide better understanding on options for on-site sanitation and solid waste treatment. The lecture should provide criteria for selection of options.

Trainer should provide a holistic perspective to the participants and ensure that options should be systematically assessed to make sure that the best choices are made for a concrete city. Each city has a unique set of problems and the options should reflect the uniqueness. The trainer should explain to the participants that technical solutions cannot be seen in isolation. Different options can be applied in parallel (e.g. for different wards of the city) or in combination with mutual support.

Activity II – Selection of technical options

Objective of this activity: To help participants to select specific technical options (On-site sanitation and Solid Waste Management) for the city.

How to instruct participants on this activity: Trainer should divide participants into in 4 sub-groups, 2 for On-site System and 2 for Solid Waste Management (if it's a smaller group, one group for each topic is enough). Each group will focus on a particular city represented by training participants.

PART A - Onsite Sanitation System: The groups working on On-site System should be instructed to refer to the following Table VII.

TABLE VII: | Selection Criteria for Different Options of on-site Systems

Selection Criteria	Septic Tank with Soak Pit	Twin-Pit Latrine	DRDO Bio-Digester	Bio Tanks
Soil type	For soak pits to function, soil condition must be suitable	For twin pits to function, soil condition must be suitable For twin pits to function, soil condition must be suitable	For soak pits to function, soil condition must be suitable	No effect of soil type
Ground water table	Suitable in lower GWT areas	Suitable in lower GWT areas	Suitable in lower GWT areas	No effect of GWT
O & M	Reasonable attention	Reasonable attention	Minimum attention	Maximum attention
Land requirement	40-50 sq. ft	40-60 sq. ft	25 sq. ft	16 sq. ft
Approx. Cost (including toilet)	Rs. 15,000-20,000	Rs. 25,000-30,000	Rs. 24,000-37,000	Rs. 20,000

The participants should use the template of the Matrix 19 below to fill in this part of the exercise and refer to the Table VIII below.

The participants should discuss in the group which conditions characterise their city, which arguments speak in favor of or against the options listed in the Matrix 19 below depending upon the concrete conditions of the city. Trainer should instruct participants to rank the options with an overall view on all arguments. This matrix will be prepared on a brown paper beforehand.

TABLE VIII │ Parameters for different options for on-site systems	
Parameters	**Condition in your city**
How much land is available in household (HH) premises	❒ 20 sqft ❒ 20-40 sqft ❒ 40-50 sqft ❒ more than 50 sqft
Ground Water table	❒ High (0-3 mtrs) ❒ medium (5mts) ❒ low (below 5 mts)
Soil condition	❒ Permeable ❒ Semi-permeable ❒ non-permeable
Willingness to invest at HH level for toilet and substructure (funds from SBM available for new toilets and rehabilitation of toilets)	❒ 20.000 INR ❒ 20.000-30.000 ❒ 30.000-40.000
Likelihood of continuous maintenance by households	❒ very likely ❒ likely ❒ unlikely

MATRIX 19 │ Selected options for Onsite Sanitation System			
City:			
Technical option for on-site sanitation systems	**Main arguments in favor of the option**	**Main arguments against the option**	**Your preference (1 = highest preference, 4 = lowest preference)**
Septic Tank with Soak Pit			
Twin Pit-latrine			
DRDO-Bio-Digester			
Bio-Tanks			

PART B – Solid Waste Management: The groups working on Solid Waste Management should be instructed to refer to the following Table IX.

The participants should use the template of the Matrix 20 below to fill in this part of the exercise. The participants should discuss in the group which conditions characterise their city, which arguments speak in favor of or against the options listed in the Matrix 20 below depending upon the concrete conditions of the city. Trainer should instruct participants to rank the options with an overall view on all arguments.

TABLE IX: Selection Criteria for Different Options of SWM				
Selection criteria	**Windrow composting**	**Vermiculture composting**	**Refuse Derived Fuel (RDF)**	**Waste incineration**
Capital Investment	15-20 Cr for 500 TPD plant	1 Cr. per 20 TPD	17-20 Cr for 500 TPD plant	High capital + O& M cost 15 cr per MW power production
Land requirement	For 300 TPD of segregated/ pre-sorted MSW: 5 ha of land including buffer zone is required	For 20 TPD of segregated/pre-sorted: 1.25 ha; location close to quarters	For 300 TPD of segregated/ pre-sorted of MSW: 2 ha of land is required	For 1000 TPD of mixed waste: 5 ha of land including buffer zone.
O&M	Labour intensive, technically qualified staff required	Labour intensive, semi-skilled staff / care taker required	Labour intensive, technically qualified staff required	Not labour intensive, technically qualified staff required
Waste quantities which can be managed by single facility	20 TPD and above	1-20 TPD	100 TPD of segregated waste	1000 TPD and above of mixed waste
Market for product	Quality compost if compliant with standards has high potential.	Good market potential in urban and rural areas, often not adequately explored	High market potential for RDF. As a feeder in cement/ power plants.	High potential of energy generation if power purchase agreements are made.

MATRIX 20 Selected Options for Solid Waste Management			
City:			
Technical option for solid waste management	**Main arguments in favor of the option**	**Main arguments against the option**	**Your preference (1 = highest preference, 4 = lowest preference)**
Windrow composting			
Vermiculture composting			
RDF			
Incineration			

Wrap Up

The trainer will facilitate a plenary discussion at the end of the exercises. The groups should give a short presentation to the plenary indicating the most preferred and least preferred options and main arguments supporting that decision.

The trainer can ask critical questions about their choice, such as:

- Did the entire group agree on this choice? If not, what were the different positions?
- How will be the acceptance by the mayor, the commissioner, the CSTF members for this selection?
- What are the challenges you might face by choosing this system/treatment option?

SESSION 04

Developing Action Plan for Implementation

Activity	Time	Materials / Methods
Introductory Lecture	20 min	PPT
Activity – Drafting Action Plan	45 min	Brown Paper Matrix
Wrap- Up	25 min	Plenary discussion

KEY LEARNING

Understand how to develop an Action Plan which ensures achievement of Vision and Goals

Key subjects of Session:

- Different dimensions of actions (technical, governance, financial, capacity development etc.)
- Different time-scales of actions (short, medium, long-term).
- How to prioritise actions?
- Assess actions against cities' capacities and resources ('reality check')

ELEMENTS OF THE SESSION

Introductory Lecture

Lecture will provide better understanding on how to start development of an Action Plan for ensuring implementation of the goals identified in previous sessions. For this lecture, the Trainer should focus on explaining the key characteristics of the Action Plan that must be covered therein. An Action Plan should include

- What specific tasks will be done?
- By Whom will they be done?
- When will they be done?
- What supporting factors like resource allocation are necessary for the success of the Action Plan?

In general, the Action Plan–

- defines the specific actions to be taken for achieving a goal,
- undertakes further assessments for detailed action design if needed,
- develops sequences of action, e.g. tendering, DPR development etc.,
- specifies resources (personnel, funds),
- defines time-lines (which steps of actions to be completed until when),
- and nominates responsible actors (who has the lead, who is involved).

Activity– Drafting Action Plan

Objective of this activity: To help participants learn the basic tools for drafting an Action Plan specific for implementation of the sanitation goals identified for their city.

How to instruct participants on this activity: Trainer should divide participants into four mini-groups, each focusing on one selected city represented by members of the mini-group, thereby forming 4 exemplary cities as in Session II. The trainer should ask participants to refer back to Matrix 17 in which the sanitation goals were defined.

The participants should select 2 goals from the overall list of goals in Matrix 17 and place them in the leftmost column of Matrix 21. The participants should then identify one exemplary option for achieving each goal.

The trainer should further instruct the participants to specify concrete actions for each goal / option, which are necessary for implementing the goal / option and to classify these actions in distinct time lines (I – immediate i.e. within 1 year; S – short term i.e. within 4 years; M – medium term i.e. within 10 years and L – long term i.e. those actions requiring more than 10 years).

In the last step, the trainer should invite participants to identify supportive actions in the fields of governance, financing, capacity enhancement and inclusiveness they consider necessary for goal achievement. All this information needs to be recorded in the Matrix 21 below, which should be prepared on a brown paper for each group beforehand.

Wrap Up

The trainer will facilitate a discussion in the plenary on the results of the activity in which the main principles and approaches for drafting an Action Plan will be discussed since the actual development of the Action Plan can only take place after the training. As another option, groups can analyse other groups' list of activities. The groups can critically evaluate the findings of the corresponding group. Trainer should guide the participants for this assessment and ensure that the process is a reasoned, well-articulated discussion. Guiding questions for this wrap-up would be:

- What are the immediate measures you have identified and why?
- Did you find adequate actions for the achievement of each goal? Do you need some additional suggestions from the group or the trainers?
- Which goal do you think is easiest to achieve? Which is most difficult to achieve?
- What is missing in your action plan?

MATRIX 21 | Action Plan for Implementation						
City:						
Goals identified in Session 2	Options to achieve the Goal	Main actions and steps for implementation Reflect also time-frame:	Supportive Action on			
			institutional strengthening	ensuring financing	capacity enhancement	ensuring inclusive-ness
Goal 1:		Immediate: • • Short-term: • • Medium-term: • • Long-term: •				
Goal 2:		Immediate: • • Short-term: • • Medium-term: • • Long-term: •				

As an example, please refer to the table below.

Goals identified in Session 2	Options to achieve the Goal	Main actions and steps for implementation Reflect also time-frame:	Supportive Action on			
			institutional strengthen-ing	ensuring financing	capacity enhancement	ensuring inclusiveness
Goal 1: 100% ODF city	Individual Household Toilets through SBM Public Toilets at mar-ket and touristic places Commu-nity Toilets at Slum settle-ments not eligible for IHHT	Immediate: • Prepare a map and inventory for PT & CT • Complete application process for IHHT • Review existing contracts and status of existing toilets Short-term: • Prepare Project Plans for selected PTs incl. Business Model • Prepare tender and contracts & Award contract • Design Monitoring System Medium-term: • Maintain an online inventory and online monitoring system				

SESSION 05

Information, Communication and Awareness Raising

Activity	Time	Materials / Methods
Introductory Lecture	25 min	PPT
Activity – Developing communication strategy towards CSTF	30 min	Activity Matrix on A3 sheet paper
Wrap-Up	20 min	Plenary discussion

Key subjects of Session:

- Strategies for communicating the CSP to CSTF
- Steps for development of efficient IEC campaign for CSP

KEY LEARNING

Be able to design an information, education and communication (IEC) strategy for the CSP and learn how to communicate on CSP with CSTF.

ELEMENTS OF THE SESSION

Introductory Lecture

Lecture will provide a better understanding on importance of information, communication and education (IEC) for ensuring success of the CSP. Trainer should highlight the fact that CSP is not a technical document meant for technicians alone, rather its success depends on integrated coordination between all the stakeholders.

The lecture should include the following important points:

- Introduction to two types of communication: external (with respect to broader public) and internal (between the CSTF & Municipal Authorities)
- Role of IEC campaigns in sanitation sector
- Awareness raising as mandated by Govt. of India under the SBM, AMRUT, NUSP etc.
- Steps to address awareness issues in CSP implementation
- Communication Strategy with CSTF: How to raise awareness for the CSP amongst CSTF members? How to ensure their participation and increase their involvement? Which collaterals or communication documents/mediums/activities can be used for communicating the need and importance of CSP?

Activity– Developing a Communication Strategy with CSTF

Objective of this activity: To help participants plan the communication tasks on CSP with the CSTF.

How to instruct participants on this activity: Trainer should divide participants in mini-groups representing the different cities which have participated in the training. According to the list of communication tasks with the CSTF in Matrix 22, they should identify the tools for designing this communication (middle column) and propose deadlines for each tasks (right column). Participants can use the following list of communication tools as input to this activity.

- Plenary meetings
- Presentation of the main findings
- Sharing of Status Report, Status Assessment Report, etc.
- Meetings in smaller working groups
- Invitation of external experts
- Presentation of case studies
- Excursions / site visits
- Feeding in overview documents, flyers and briefs
- Press-notes and media communication
- Awards and functions of appreciation

This activity should remind participants of the importance of involving the CSTF at every step during the CSP preparation. The matrix should be provided to each city group on an A3 sheet of paper beforehand.

MATRIX 22 | Communication Tasks towards the CSTF

Key communication tasks towards CSTF	Which communication tools have you applied/ will you apply?	Time-lines of action
Receive inputs from CSTF (in total or from specific members) for status report and baseline data.		
Discuss and agree on key issues and goals		
Joint formulation of sanitation vision (see also session 6 of Handholding Part II training)		
Discuss and approve the Action Plan		
Approve the Final CSP		
Get commitment for implementation		

Wrap Up

In the wrap-up the trainer should ask each group what will be the next task after this training with the CSTF and which tools they are planning to use. Additional questions could be:

- According to your experience, what is the most feasible tool for your CSTF?
- Which step is most challenging to communicate with the CSTF?
- What have you already communicated with the CSTF? How was their response?

SESSION 06

Financial analysis and CSP investment plan

Activity	Time	Materials / Methods
Introductory Lecture - I	20 min	PPT presentation
Activity I – Cost Estimates for CSP Action Plan	60 min	A3 Paper Matrix
Introductory Lecture - II	20 min	PPT presentation
Activity II –Understanding how to prepare City Investment Plan	90 min	A3 Paper Matrix
Wrap- Up	105 min	Plenary discussion

Key subjects of Session:

- Preliminary cost estimation for the CSP Action Plan
- Development of budget projections
- Options for increase of revenue
- Compiling a City Investment Plan based on budget projections and cost estimates

KEY LEARNING

Understand how to do cost estimates for CSP and how to prepare a City Investment Plan

Introductory Lecture I:

The lecture will give a better understanding about basic how to make cost estimates for CSP Action Plan. The trainer should introduce the participants to the cost estimations under Swachh Bharat Mission and the Schedule of Rates (SoR) of the respective states. The trainer should communicate with the participants that efficient cost estimations for actions under the CSP is key to ensure sustainability of the CSP.

Activity I – Understand cost implication of CSP

Objective of this activity: To help to develop cost estimates for their CSP Action Plan

How to instruct participants on this activity: Trainer should divide participants in maximum 4 groups, with each group working on one city like previously. Trainer should instruct each group to calculate the cost of projects by refering the costing norms/estimates given in Table X below and for detailed calculation may later refer the Schedule of Rates (SoR) of the State in which the particular city is located.

TABLE X | Tentative Cost Estimation Norms

TABLE X A | Swachh Bharat estimates

#	Particulars	Unit			Cost Range
1.	Twin-Pit Latrine	Rs. / Unit			15,000 to 20,000
2.	Septic Tank	Rs. / Unit			25,000 to 30,000
3.	Bio-digester Toilet (Developed by DRDO)	Rs. / Unit			12000-15000
4.	Bio-digester Tank		Material of Construction		
		No. Of Users/ Capacity	Masonry	Precast Cylindrical Unit	Fibre reinforced plastic
		5-7 users (700 litres)	17,100	11,600	22,000
		10-12 users (1000 litres) Group/Shared Toilets	19,000	13,600	2,400
5.	Bio-Toilet including Super Structure	Rs. / Unit		20,000	
6.	Community Toilet	Rs. / Seat		65,000	
7.	Public Toilet	Rs. / Seat		75,000	

TABLE X B: Cost Estimation provided by Report on Indian Infrastructure and Services Prepared by High Powered Expert Committee (HPEC) 2011

TABLE X B.1: Classification of cities / towns

#	Category of City	Population
1.	Class IA	> 50,00,000
2.	Class IB	10,00,000 to 50,00,000
3.	Class IC	100,000 to 10,00,000
4.	Class II	50,000 to 100,000
5.	Class III	20,000 to 50,000
6.	Class IV	< 20,000

TABLE X B2 | Per capita cost for sewerage

#	Category of City	Per Capita Cost (in Rs.)			
		Network	Treatment	Total	O&M / annum
1	Class IA	2,092	1,268	3,360	414
2	Class IB	2,573	1,268	3,841	373
3	Class IC	2,338	1,073	3,411	290
4	Class II	3,246	2,070	5,316	290
5	Class III	3,637	2,012	5,649	207
6	Class IV	4,636	2,012	6,648	145

TABLE X B3 | Per capita cost for solid waste management						
#	Category of City	Per Capita Cost (in Rs.)				
		Collection & Transportation	Treatment	Disposal	Total	O&M / annum
1	Class IA	307	385	208	900	269
2	Class IB	134	168	91	393	189
3	Class IC	140	175	95	410	135
4	Class II	81	101	54	236	113
5	Class III	70	87	47	204	113
6	Class IV	70	87	47	204	113

TABLE X B4 | Per capita cost for storm water drainage			
#	Category of City	Per Capita Cost (in Rs.)	
1	Class IA	307	269
2	Class IB	134	189
3	Class IC	140	135
4	Class II	81	113
5	Class III	70	113
6	Class IV	70	113

After taking reference of the above exhibits as well as the SoR if needed, the trainer should then instruct the participants to list out the proposed projects in the Action Plan developed in the previous sessions and find out the cost estimations of the projects. These should be noted in the Matrix 23 below which will be provided to participants on A3 sheet of paper. They should also indicate the sources of funding for each action in the right most column.

MATRIX 23 | Cost estimation of projects						
S.No.	Projects	Description	Cost in Rs.			Source of Funding (ULB revenue, grants, loans, etc.)
			Short Term	Medium Term	Long Term	
1						
2						
3						
4						
5						
6						
7						

Wrap-Up: The session should be concluded with a plenary discussion and group presentation of the results.

Important questions to be asked to the participants while facilitating the discussion are:

- Do you have funding sources for all listed projects?
- How easy it will be to access the mentioned funding sources?
- What options do you have to reduce the cost?

Introductory Lecture II:

The lecture will give a better understanding about how to analyse past budgets, develop budget projections and check it against the planned activities under the CSP. These steps would finally lead the participants to preparing their CSP Investment Plan. The trainer should introduce the participants to concepts of growth rate calculations, financial ratios, calculations of income-expenditure of the city etc. which is incumbent for the Investment Plan. The trainer should communicate with the participants that an efficient City Investment Plan is key to ensure sustainability of the CSP.

Activity II – Preparing a City Investment Plan

Objective of this activity: To help participants understand how to prepare a city investment plan.

How to instruct participants on this activity: Participants should be divided into groups from the previous activity. Each group will be supplied with a categorised income and expenditure statement for a city in TABLE XI. The trainer should instruct the participants to conduct the activity in the following steps:

TABLE XI: Categorised income and expenditure

#	Particulars	Amount (Rs. in Lakhs)			
		2012-13	2013-14	2014-15	2015-16
Revenue Income					
1	Income from Taxes	55.10	140.71	199.23	161.48
2	Income from Non-Taxes	52.71	74.96	53.91	62.86
3	Income from Assigned Revenue	0.00	45.13	76.39	83.20
	Total Revenue Income (1+2+3)	107.81	260.79	329.53	224.34
Capital Income					
4	Grants and Loans	123.00	283.80	1325.91	1275.00
	Total Capital Income (4)	123.00	283.80	1325.91	1275.00
	Total Income (1+2+3+4)	230.81	544.60	1655.43	1499.34
Revenue Expenditure					
5	General, Establishment and Other Revenue Expenditure	154.68	319.36	397.97	304.21
6	O&M of Sanitation including SWM	5.18	26.96	35.89	13.94
	Total Revenue Expenditure (5+6)	159.86	346.32	433.86	318.15
Capital Expenditure					
7	Capital Expenditure	149.23	267.22	1225.75	1256.80
	Total Capital Expenditure (7)	149.23	267.22	1225.75	1256.80
	Total Expenditure (5+6+7)	309.09	613.54	1659.61	1574.95
	Revenue Surplus/Deficit (1+2+3-5-6)				
	Capital Surplus/Deficit (4-7)				
	Overall Surplus/Deficit (1+2+3+4-5-6-7)				

Step 1: Calculate and analyse the Financial Ratios (Table XII). The participants should calculate only the operating ratio, the rest is to be calculated for report purposes.

Table XII: Financial Ratios (select)

#	Particulars		Description of the Ratio
1	Tax Revenue to Total Income Ratio... (%)	Tax Revenue / Total Income X 100	These Ratios depict the share of each income in the Total Income of the ULB. Higher share of an individual income in the total income shows a high dependability on that source and probably a high risk.
2	Fees & User Charges to Total Income Ratio... (%)	Revenue from Fees & User Charges / Total Income X 100	
3	Establishment and Administrative Expenses to Total Revenue Expenditure Ratio... (%)	Establishment & Administrative Expenditures / Total Revenue Expenditure X 100	These ratios should be kept within a reasonable level after comparison with good practices, so that one source of expenditure is not abnormally high and affects the entire finances of the ULB. However, this should not be at the sacrifice of service to the residents.
4	Operations & Maintenance to Total Revenue Expenditure Ratio... (%)	Total O&M Expenditure / Total Revenue Expenditure X 100	
5	Operating Ratio _____ (%)	Total Revenue Expenditure / Total Revenue Income X 100	The ratio should be less than 1

Step 2: After calculating ratios, participants need to find the growth rate for each category (Table XIII). In the table, the participants should only calculate the growth rate for Income from Taxes and Expenditure on O&M of Sanitation including SWM, others have been provided as guiding examples.

#	Particulars	Existing Growth Percentage			
		2013-14	2014-15	2015-16	Average or CAGR
Revenue Income					
1	Income from Taxes				
2	Income from Fees, Charges, Licence	29.68	-39.05	14.24	1.62
3	Income from Properties	100.00	40.92	8.19	49.70
Capital Income					
4	Grants and Loans	56.66	78.60	-3.99	43.75
Revenue Expenditure					
5	General, Establishment and Other Revenue Expenditure	51.57	19.75	-30.82	13.50
6	O&M of Sanitation including SWM				
Capital Expenditure					
7	Capital Expenditure	44.15	78.20	2.47	41.61

Table XIII: Existing growth rate

Step 3: Participants should identify areas of improvement / of reforms and prioritise them.

Step 4: Participants should revise the growth rates taking into account the reforms identified in the previous step and note them in (Table XIV)

Table XIV: Proposed growth rates with reform measures

#	Particulars	Average or CAGR	Proposed Growth Percentage		
			2016-17	2017-18	2018-19
Revenue Income					
1	Income from Taxes				
2	Income from Fees, Charges, Licence	1.62			
3	Income from Properties	49.70			
Capital Income					
4	Grants and Loans	43.75			
Revenue Expenditure					
5	General, Establishment and Other Revenue Expenditure	13.50			
6	O&M of Sanitation including SWM				
Capital Expenditure					
7	Capital Expenditure	41.61			

The participants should further do projections for next five years and record the findings in Table XV.

Step 5: Ascertain Surplus for ULB and record the findings in Table XV.

Table XV: Projection with proposed growth rates				
#	Particulars	Amount (Rs. in Lakhs)		
		2016-17	2017-18	2018-19
Revenue Income				
1	Income from Taxes			
2	Income from Non-Taxes			
3	Income from Assigned Revenue			
	Total Revenue Income (1+2+3)			
Capital Income				
4	Grants and Loans			
	Total Capital Income (4)			
	Total Income (1+2+3+4)			
Revenue Expenditure				
5	General, Establishment and Other Revenue Expenditure			
6	O&M of Sanitation including SWM			
	Total Revenue Expenditure (5+6)			
Capital Expenditure				
7	Capital Expenditure			
	Total Capital Expenditure (7)			
	Total Expenditure (5+6+7)			
	Revenue Surplus/Deficit (1+2+3+4-5-6-7)			
	Capital Surplus/Deficit (4-7)			
	Overall Surplus/Deficit (1+2+3+4-5-6-7)			

Feedback round

The trainer should facilitate the dicussion with the following important questions:

- Do you have funding sources for all listed projects?
- How easy it will be to access the mentioned funding sources?
- What options do you have to reduce the cost?

The session should be concluded with a plenary discussion and group presentation of the results. The participants should be instructed in the wrap-up on how to conduct the same exercise for their respective cities as a homework to be done after the training. The participants need to refer to Matrix 23 on cost estimates and should fill in the Table XVI below.

Table XVI: Summary of City Investment Plan / Financial Operating Plan

Sl no	Particulars/Items	Amount (Rs. in Lakhs)				
		2016-17	2017-18	2018-19	2019-20	2020-21
1	Opening Balance					
2	Revenue Income					
3	Revenue Expenditure					
4	O&M of New Infrastructure					
5	Revenue Surplus (1+2-3-4)					
6	Capital Income (6.1+6.2+6.3)					
6.1	State Government					
6.2	Central Government					
	14 Finance Commission					
6.3	Other sources of funding					
	Beneficiary Contribution					
	Other sources/PPP					
	Loans/Borrowings					
7	Capital Expenditure of new projects					
8	Capital Surplus (6-7)					
9	Total Income (2+6)					
10	Total Expenditure (3+4+7)					
11	Closing Balance (9-10)					
12	Operating Ratio (3/2)					

CONCLUDING SESSION

Activity	Time	Materials / Methods
Activity – Presentation of CSP Template	20 min	Group discussion
Feedback round	10 min	Brown paper matrix

Key subjects of Session:

- What were the key experiences of participants from the entire Training and Handholding Process?
- What are next steps or tasks the participants will do on returning to their cities?
- Presentation of the Template for CSP
- Preparation of action plan and cost estimates
- What are the post-training tasks which the participants feel confident about?
- What are the post-training tasks that the participants probably need help for?

KEY LEARNING

Taking a round-up of the participant experience during the trainings and agreeing on tasks to be done after training

ELEMENTS OF THE SESSION

Activity

Since this the final session of the final round (Round Three) of the Training and Handholding process, it is important that the trainer seeks a constructive feedback from the participants. participants are made aware of the tasks they have to complete once the training is wrapped up.

In this case, the main task for the participants is the preparation of the CSP. The trainer should present to participants with the CSP Template and should guide them through it and answer all open questions. The trainer should engage with the participants on the following:

- Preparation of Action Plan and cost estimates
- Completion of CSP
- Council Approval of CSP
- Implementation of priority projects

The participants should be encouraged to discuss how they will execute planning and implementation of priority projects once they go back to their cities. Jointly the participants and the trainer should decide on realistic time-lines of completing of this tasks.

Two main questions need to be discussed with the participants in the plenary:

- Do the participants feel confident for completing the tasks in the agreed time?
- What kind of support would be required for them to complete the tasks?

The concluding session activity should be in the form of a presentation which the trainer needs to prepare specific for each training.

Feedback round

The concluding session should also be used to collect feedback from the participants. Feedback tools from Part II of the Manual (Designing the course) can be used according to the group size and preferences. The main areas for which feedback should be collected are:

- Contents of the training
- Methods of the training
- Learning experience
- Facilities and overall organisation

Since this is the final round of Training and Handholding Programme, the trainer should reflect on the suggestions and feedback of participants so that they can be addressed for the next batch of trainees.

Part V – Interactive Training and Handholding Methods and Tools

THE HARVARD CASE METHOD

The Harvard Case Method is a well-developed and experienced approach for practice oriented, inter-active learning. Teaching is mainly based on intensive exploration and discussion of particular case situations of relevance to the teaching objectives. This does not have to be necessarily one consistent case for the whole training but can also comprise of different cases, which are hand-tailored for each casework.

The Case Method stimulates active exploration and development of conclusions by the trainees, rather than providing ready-made teaching messages. The exploration of the case situations takes place mainly in a question-answer format between facilitator and trainees. A guiding question by the teacher might be further specified by follow-up questions based on the first answers by the trainees.

5. GOLDEN RULES OF CASE WORK

1. Don't spell out the messages of the case situation directly. Let the trainees find the conclusions out by themselves. Guide them through questions.
2. Provide enough time for the wrap-up phase where the participants intensively discuss the messages and conclusions.
3. Be very precise with your instructions for the casework. The trainees should start the casework with a clear vision on what they have to do.
4. Limit presentations. Don't talk longer than 15 minutes (except the introductory lecture). If necessary, split lectures into several shorter inputs
5. Always invite the trainees to reflect, how the lessons learnt relate to their day-to-day work or how far trained approaches should be adjusted to it

The Case Method requires intensive preparations prior to the course. Especially, case / training materials have to be elaborated to be handed out to the trainees prior to the course or at the beginning of the session. The materials usually comprise of the following issues:

- **Introduction to the case situation:** baseline situation, problems faced, challenges arising,
- **Working material:** data and specific information, partly introduced through lists, charts, maps etc. which can be attached in so called exhibits,
- **Possible information** on institutional set-ups and other relevant background information,
- **Clear instructions** on the main tasks for the trainees.

The following rules are of great importance:

- The most important rule: Get clear what message you want to convey with the casework. Organise the whole casework in a way that this message comes through.
- Make yourself familiar with the expectations, needs and 'horizons' of the trainees. Conduct the casework in a way that you are meeting the trainees where they stand.
- In particular, reflect the practical experience and the type of work the trainees are exposed to in their day-to-day work. Do not attach complex data if the trainees are usually not confronted with such information. You may provide larger amounts of information if the trainees are used to screen comprehensive sources for relevant information.
- Restrict yourself to that information which is relevant for the case.
- The casework should stimulate discussion and active examination of the subject.

How to organise a case work?

1. Provide the trainees with the training materials prior to the course.
2. For case exercises with more complex background, you should allocate a particular timeframe in the training agenda for individual reading of the case by the trainees.
3. Start each casework with a short (approx. 10 – 15 min.) introductory lecture (see prepared slides).
4. End the introduction with very clear instructions on what trainees have to do during the casework.
5. Conduct the particular workshop session either in the form of a casework, where the participants co-operate quite self-contained (either in sub-groups of approx. 10 participants or in mini-groups of 2 persons each, or in the form of a case session that is based on individual work and stronger guidance by the trainer. Allocate approx. 30 min. for the casework or 15 min. for individual work within a case session. A casework group should not comprise more than 12 people. If necessary split the trainees' group into several sub-groups. Let the trainees organise themselves and intervene only if you are asked so or if you feel that the work leads in a completely wrong direction.
6. Allocate enough time for the wrap-up session (approx. 45 min.). Don't let the trainees 'present' their results but organise the session along the guiding questions .The wrap-up session is the part where the Socratic method (see below) comes into play.
7. Ask the trainees towards the end of the wrap-up session how far the main conclusions relate to their day-to-day work.
8. Disseminate the prepared Handout sheets at the end of each session.
9. If time allows: present a short 'real-life example' which illustrates how the specific teaching point of the particular casework (not more!) was handled in practice.

SOCRATIC METHOD

The Socratic method is a teaching approach which follows a question-and-answer format.

Underlying philosophy

- Much knowledge is inherent in the trainees and can be made explicit through questions, links to other knowledge and critical reflection.
- The strongest and most stable knowledge arises if it is not provided ready-made from outside but developed by the trainee in an internal / group process.

Implications of Socratic method

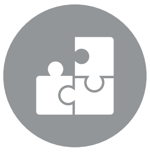
- You need well-prepared guiding questions.
- You have to be spontaneous to follow the flow of discussion.

You have to decide which issues should be further explored through subsequent questions and which should be left at the stage they are.

ACTION LEARNING EXERCISES

Beside the Harvard Case Method, selected elements of the Action Learning Concept are being used in the course. Action Learning is also a well-developed and broadly applied approach for adult education, which has similarities to the Harvard Case Method in so far, as it pursues an interactive, creative, group-based teaching approach. The method stands in contrast with the traditional teaching methods that focus on the presentation of pre- defined knowledge and skills.

The action learning exercises are used during the course for a more associative reflection of teaching messages. They play an important role as energisers and, thereby, balance the somewhat more intellectually based group work of the Harvard Case Method. Some recommended exercises are shown in the table.

Name	Short Description	Message to be conveyed	Possible application in the course
Paired interviews 	Introduction of participants to the group through paired interviews and sharing results	Warm up initiative; supports a more cohesive team	Introductory phase of the training
Corner Game 	Each trainee is invited to take a particular stand represented by one corner in the room.	Bring trainees into debate about pros and cons for certain positions.	After lecture of Session 1 of Introductory Training
Letter to myself 	Letter to be written at the end of the course on visions for the future, tasks to be accomplished, etc. The letters will be sent by trainer after one month	Supports transfer of training to the job	Support for workshop follow up and on-the-job transfer. Add in the last session
Continuum walk 	The exercise is a condensed form of a role play with different roles and stages where participants can position themselves	Trainees put themselves into somebody else's shoes to understand different perspectives on a selected issue.	Helps to practically explore the stakes of defined actors. For more information see Session 3 of Handholding Part I

REAL-TIME EXERCISES

The Harvard Case Method takes generic case examples to guide participants through a staged process of hands-on group work. Since all participants of the CSP Preparation Training and Handholding Programme are working on their own real case of their town or city, it is not necessary to always work with generic cases but exercises can be designed for the participants to work on their own city. Examples for such exercises are for example the development of an Action Plan or To Do List (Session 6 of Handholding Part II) to plan the next steps after the training programme according to the question "WHO does WHAT until WHEN?".

Another example for strong real case exercises are so-called "bilateral exchange sessions". These sessions are an offer to all participants to more one-on-one interaction with the trainers receiving feedback on the tasks they have completed and offering a platform for asking case-specific questions, which might not be relevant for the whole group and therefore would overload the plenary sessions. These "bilateral exchange session" should be scheduled either in the morning before the programme starts or in the evening after the last session. If the trainer team is big enough it can be organised parallel for all participants, if the trainer team is small, specific slots throughout the training programme can be offered to participants to register.

TRAINING TOOLS

Icebreakers

A (usually) short activity designed to help participants overcome initial anxiety in a training session, to acquaint the participants with one another and to raise the energy level during the training. An icebreaker can be a purely energising activity or can be tied to specific topics or training goals. If an icebreaker is used to convey a message or to overcome certain tensions within the group, calculate in your agenda enough time for a wrap-up.

Some Icebreakers, which can be used in the training

HandClap

This is a good in-between game for all ages. One person stands up front on a chair and explains to the large group that all they have to do is clap every time he crosses his hands. The leader should cross his hands two or three times then fake one and see how many people clap. Some people will. Then you can slow down your crossing motion or even tell them how many times you are going to cross your hands. People will still clap. Do not do it too long because it gets old pretty quick.

7-Pass

The participants stand in a circle. The trainer asks them to start counting from one, the next person in the circle saying the sequential number. The only rule is that instead of seven, they have to say pass. If they don't follow the rule, they are out of the game. The counting goes on until only one person is left in the circle (it can be also 2-3 in big groups). He/she is the winner. Attention for the trainer: The participants have to say pass instead of seven, NOT for multiples of seven. That means they have to say for 7=pass, 17=passteen, 27=twentypass, 70= passty, 77= passtypass, etc.

Game: Avalanche

Divide the whole group into 2-3 smaller groups with around 10-15 participants each, it can be also a little less. Each group gets a stick (it could also be a hoop) and the task is that they have to put down the stick on the ground together while the stick lies on the forefingers of each team member. The rule is that the team members are not allowed to ever loose contact between the stick and their forefinger. The team that manages to put the stick down on the ground the fastest, is the winner. For the trainer: It will take a little while until the team manages since at first the stick goes rather up than down. It is an exercise, which needs some wrap-up on the experience the group made and how they used strategy, innovation and group work to accomplish the task.

You can find more Icebreakers @ http://insight.typepad.co.uk/40_icebreakers_for_small_groups.pdf

Group work

Group work is an indispensable feature in participatory training workshops. Group work will have different functions according to a particular sequence: generating ideas, reflecting on particular issues, working-out solutions, preparing a planning etc. Compared to plenary sessions group work provides much more space for participants to be active.

The design of the classroom and the way people are placed inside have a great impact on the success of interactive trainings. Set-ups where people can see each other support interaction between participants. With this background, the two upper examples are less, the two lower examples more favourable.

Main features

Working in small groups provides space for intensive dialogue and reflection. Ideally, all group members contribute what they could not do in a plenary session. Group members only mobilise their energy if they have a clear common understanding of why they need to work together and where this will lead.

Working in small groups provides an opportunity for the participants to test their self-regulatory abilities. This will start with the designation of a facilitator and somebody to present the results. But according to the setting small groups (3-5 members) may even be able to proceed without a facilitator.

Settings for group work

- Participants remain in plenary setting so they don't need to move around, e.g. 'buzzing groups'
- When groups need to have quiet time for reflection or space for discussion without disturbing others, they may better use separate rooms.
- Rotating groups (in one room) is a particularly interesting setting allowing all participants to contribute to what each group is doing: A certain number of complementary tasks are assigned to different groups. Each group starts with a particular task and then moves on to the next task for commenting and complementing what the previous group has done. According to the number of participants, it may be useful to give the same task to 2 different groups and ask them to merge their findings to one presentation in the end.

Practical hints

In preparing for group work there are a number of questions the trainers need to ask themselves:

- What are the expected results from group work?
- How many groups should be formed?
- How should the groups be formed?
- Should the groups work on the same topic or on different issues?
- How should the group assignments look?
- How should the group work results be shared and discussed in a plenary session?

There are some rules of thumb for trainers/facilitators for successful group work:

- Provide detailed written instructions for group work.
- Provide enough time budget and make the rules explicit about how groups can get additional working time if needed.
- Don't compromise on the necessity of a visualised presentation of group work results.

There are a variety of **ways to form groups**. Counting "1-2-3" is the quickest way of forming groups. The most participative way is to let the group decide on the criteria of group formation at the first instance and then form groups accordingly.

Support group work

Even if the trainers trust the self-regulatory abilities of a group, they should check from time to time to see if things are going smoothly. Groups may get stuck for some reason, e.g. lack of clarity about the task or difficult group dynamics, and will welcome a well- targeted intervention from the trainer. But for the sake of enhancing self-regulation the trainers may introduce the rule that they will only intervene on request.

PowerPoint Presentations

Audiences expect high-quality presentations. They expect the presenter to know the message, deliver it with proficiency and clearly state its needs. It is of prime importance to continuously work on presentation skills in order to increase the quality of the information transfer and the interaction with the audience.

The following rules are essential for presentations / lectures:

- Never extend a presentation over 30 minutes. This timeframe is the maximum if you want to keep up attention of the trainees.
- Use the slide presentations as prepared for the course.
- Remember that your slides are only there to support, not to replace your talk!
- Never read your slides, talk freely.
- Never let the audience read the text while being quiet.
- Point to key issues of slides (by laser pointer, hand)
- Know your slides inside out (if necessary use a print-out with notes for yourself).
- Speak with confidence
- Maintain eye contact with the audience
- Ask the audience about key points in the presentation. Open small windows for dialogue.

The course materials include the collection of all necessary slides. It is possible to design additional slides if needed for a concrete course application. This could be the case if you want to refer to local cases or address contents of specific interest to your target group. When designing additional slides, follow the KISS rule: **KISS** = **K**eep **I**t **S**traight and **S**imple. Don't use sentences only keywords on your slides. Use illustrations, photos, graphs etc. to visualise your message. Highlight the take-home messages in boxes.

Visualisation might not be limited to slides. Wherever appropriate, you might use flipcharts or blackboards, e.g. when highlighting key conclusions at the end of a session

Moderation and Visualisation Tools

For a structured and result-oriented moderation, selected visualisation tools can support the interaction between trainer and trainee. The trainer can visualise main arguments or the participants can write down their contribution and share it in the plenary. The trainer can also park questions that can't be answered in that moment (Parking Lot in Session 2 of Handholding Part II) or he/she can use visual aids such as stickers to prioritise a list of options displayed on cards or a flipcharts.

Flipcharts

Flip charts are a handy, versatile tool available to trainers, facilitators, and anyone else for visualising ideas or information. They are great for quickly capturing participant comments, for creating prepared information and graphics, and for displaying material for reference later in a session. One of their greatest assets is the simplicity of use. Anyone can use them to write or draw in a session.

Color Cards

Using coloured cards is a creative mean to manage group discussions effectively. On the one hand, discussions come to results quickly with this moderation technique. On the other hand, all the participants of a training/workshop and their different opinions are included in the process, which allows finding solutions fitting to everyone. Generally, the card technique is helpful for:

- Round of introductions of participants and trainer
- Gathering ideas
- Visualisation of ideas
- Structuring of ideas and problems
- Recording of ideas
- Analysis of linkages between issues
- Analysis of causes
- Setting of priorities
- Evaluation of possible solutions
- Training evaluation

Managing coloured cards is a creative and stimulating method, where the trainer has a role as moderator but not like ex-cathedra teaching. The trainees get involved in the process and have to share their opinions. The discussion and re-structuring of the coloured cards can quickly lead to results.

TOOLS FOR HANDHOLDING

Help Desk

For a Help Desk at least 1-3 people should be identified as contact person for questions concerning technical contents as well as process steps. Ideally participants should contact the Help Desk proactively but often there is a certain barrier to get in touch especially if the people at the Help Desk are not personally known to them. Therefore the Help Desk can also get in touch with the participants at a regular basis to enquire if any further information is required. The Help Desk should also be used for monitoring the progress of each city. A monitoring sheet as illustrated below should be prepared and updated regularly

State	Name of City	Population	City Contact person	Council resolution on preparation of CSP and CSTF	CSTF	Status Report	Approval of Status Report by CSTF	Draft CSP	Approval of Draft CSP by CSTF	Approval of Final CSP by CSTF	Final CSP	Approval of Final CSP by CSTF	Approval of Final CSP by Council	Person in Charge of Monitoring
Telangana	Adilabad Municipality				x	x								
Telangana	Mancherial Municipality					x								
Telangana	Karimnagar Corporation			x	x	x								
Telangana	Jagityal Municipality			x	x	x								
Telangana	Sircilla Municipality				x	x								
Telangana	Khammam Corporation				x	x								

Social Media Groups

For informal communication and exchange between participants, social media groups such as Whatsapp, Facebook, Telegram or others can be used. Ideally groups should be formed in a media tool that is already used by most participants. Social media groups also offer the chance to participants to showcase their progress and achievements. Although social media groups are informal, proactive steering of such a group by the trainer's team will increase the communication.

Review Meetings

If participants are asked to prepare documents, such as a Status Report or a Draft CSP in the case of the present training, in advance of the following training programme, an additional review meeting either personally, via video- or teleconference can be planned. For that it is required that the participants submit the document well in advance for a substantial technical review. The results of this review can then be communicated either bilaterally via personal visits or telephonic conversations or if possible with the whole group. The logistics to have an additional meeting with the whole group are more challenging, but if possible it is recommended since the participants can learn from each other. A review of the completed tasks should also be a mandatory part of any training in such a programme.

Site Visits

If resources allow the ideal support mechanism is to pay a visit to all or selected towns of participants. That will provide the ideal chance to the trainer's team to experience ground realities and to understand in a better way, what participants are faced with while working on the indicated tasks. Site visits can then be also used for awareness raising activities with relevant stakeholders that could not participate in the training programme and ensure local knowledge transfer.

Formal instructions

One important handholding tool in the case of CSP preparation is the formal communication between the responsible state department and the ULBs. Trainers normally don't have the mandate to give mandatory instructions to participants, only to suggest what to do to increase the learning experience, skill development and achievement of results. For a result-oriented training and handholding programme it is although important to see which formal channels can be used to ensure reaching the selected result. After each training the state department (or any other department in charge of steering and monitoring such process) could therefore send formal instructions to all participants mentioning each pending task to be completed until the next round of training.

TRAINERS NOTES

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Responsible	Dirk Walther, Project Director | dirk.walther@giz.de
Contributed by	Dirk Walther, Alfred Eberhardt, Suresh Rohilla, Monika Bahl, Sarah Habersack, Soma Biswas, V. Venugopal, Esakki Raj, Jitendra Yadav, Manoj Kumar Mavuduru, Rahul Sharma, Uday Bhonde, Mahreen Matto, Bhitush Luthra, Ridhima Gupta and Shivali Jainer
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