

# Introducing City Sanitation Plan: Trainer's Manual

## About GIZ India

For over 60 years, GIZ has been working jointly with partners in India, in sustainable economic, environmental and social development. Currently, GIZ has over 300 staff in India, of whom 85% are national personnel.

India is fast emerging as an economic and industrial power. It is a member of the Group of Twenty (G20), and of the BRICS-Association of major emerging economies, named after its members Brazil, Russia, India, China and South Africa. Despite the country's rapidly growing economy, poverty and social issues remain a challenge. The burgeoning population and accelerated urbanisation in the country have resulted in an environment at risk, and greenhouse gas emissions that continue to spiral upwards. GIZ, in close cooperation with Indian partners, offers tailor-made solutions to meet local needs and achieve sustainable and inclusive growth.

The key focal areas of Indo-German cooperation are currently

- energy
- the environment
- sustainable economic development.

Our main commissioning parties are the Federal Ministry for Economic Cooperation and Development (BMZ) and the Federal Ministry for the Environment, Nature Conservation, Building and Nuclear Safety (BMUB). In addition, we work for Indian public sector clients, the European Union and foundations.

The Government of India has launched several initiatives to address the country's environmental and social challenges, and GIZ is contributing to some of the most significant. For example, it is supporting the National Urban Sanitation Policy as part of the Clean India Campaign (Swachh Bharat Abhiyaan) in partnership with the Ministry of Urban Development. GIZ is also constantly exploring how to contribute to further initiatives in India.



# Introducing City Sanitation Plan: Trainer's Manual



# Foreword



In an attempt to address the challenges posed by the unprecedented growth of urban population and inadequacy in sanitation, the National Urban Sanitation Policy (NUSP) was introduced in 2008. The importance of adequate and good quality water supply, proper sanitation services were acknowledged as drivers for social and economic development, poverty reduction and public health in the policy. In 2014 Government of India has reinforced its commitment to improve the sanitation situation by launching the Swachh Bharat Mission (Clean India Mission). The mission was launched by Ministry of Urban Development (MoUD), government of India.

City Sanitation Plan (CSP) is both a planning tool and a vision document for city-wide sanitation by the National Urban Sanitation Policy in 2008. The Swachh Bharat Mission (SBM) and Atal Mission for Rejuvenation and Urban Transformation (AMRUT) integrated this tool in its guidelines and made it mandatory for projects on individual/public/community toilets and Solid Waste Management. 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 collaboration 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. 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 get acquainted with the concept and relevance of CSP, understand the training approach, its methodology and 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 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. I would also take the opportunity to express my sincere gratitude to our partners - Suchitwa Mission, Local Self Government Department, Government of Kerala, Commissioner & Director Municipal Administration, Government of Telangana and Commissioner & Director Municipal Administration, Government of Andhra Pradesh; for all the support they extended.

**Dirk Walther**

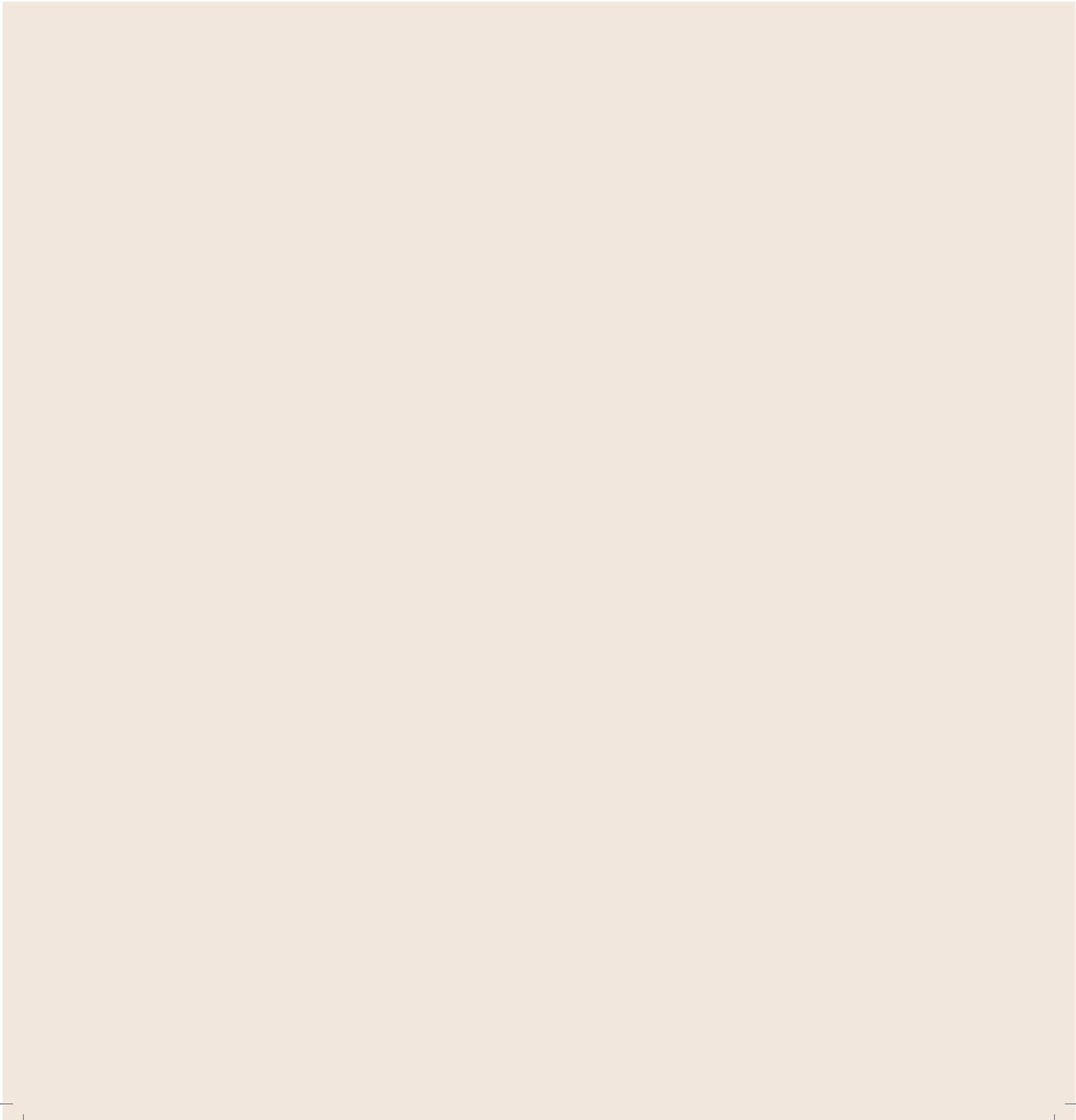
Project Director

Support to the National Urban Sanitation Policy II



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## The CSP Sensitization Training

Ensuring citywide sanitation is challenging and needs strategic planning as well as involvement of various actors /agencies, such as decision makers at state and city level, city engineers and technical experts in areas of urban planning, sanitation, technical infrastructure and financing. One of the main requirements in establishing a citywide sanitation system on the ground is 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 was tested with the trainers and officials from the partner states of - Telangana, Andhra Pradesh and Kerala. The City Sanitation Plan (CSP) Sensitization Training is the first module of this training programme.

Ecosan Services Foundation has been deployed for developing the present training manual for trainers who will act as facilitators for the CSP sensitization training program.

## Target Group for the Training

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** Municipal Engineers at middle and operational level

## Objective of the Training

This training aims at supporting cities and towns in developing and implementing CSPs. The first part of this training programme, the CSP Sensitization Training, is structured in 6 sessions, which give a comprehensive overview on key issues of urban sanitation and requirements for developing and implementing CSPs:

- Session 1** Relevance and added values of the CSP
- Session 2** How to integrate CSP into urban planning?
- Session 3** Urban Sanitation Systems and Septage Management
- Session 4** How to translate CSP into action?
- Session 5** Enabling environment for implementation of CSP
- Session 6** How to make CSP a living document

After the first training course, three more courses on the detailed steps of CSP preparation will follow:

### **Handholding Training Part 1**

Preparation of Status Report

### **Handholding Training Part 2**

Analysis and Priority Setting

### **Handholding Training Part 3**

Strategy and Action Plan Development

The final step of this training and handholding programme is a CSP Review Workshop.

## How to use this manual

The present document is a manual for trainers planning to conduct the CSP Sensitization Training. It primarily focuses on training methodology, methods, designing of the courses' sessions and recommendations for the trainer's collected through various Test-Trainings with the actual target group.

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.

Overall the Manual offers concepts, tools, and examples for trainers to make this training interactive, adapted to the regional context and result-oriented

A range of courses can be prepared using this Manual; for instance, a short programme for high-ranking government officials to introduce them to National Urban Sanitation Policy and basics of City Sanitation Plan. Alternatively, longer courses can be designed for practitioners and city officials who require a detailed understanding of development and implementation of City Sanitation Plans. The training materials consisting of Powerpoint Presentation (PPTs) in the form of a CD can be found enclosed with the manual.

Together with this trainer's manual, a second manual 'Introducing City Sanitation Plan: A Trainees Manual' is available on the detailed content of these 6 sessions. This trainee's manual serves the participants as background material and the trainers as reference document for conducting the course.

The present manual is designed as an interactive working document composed of flexible modules 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. The Manual consists of Four Parts:

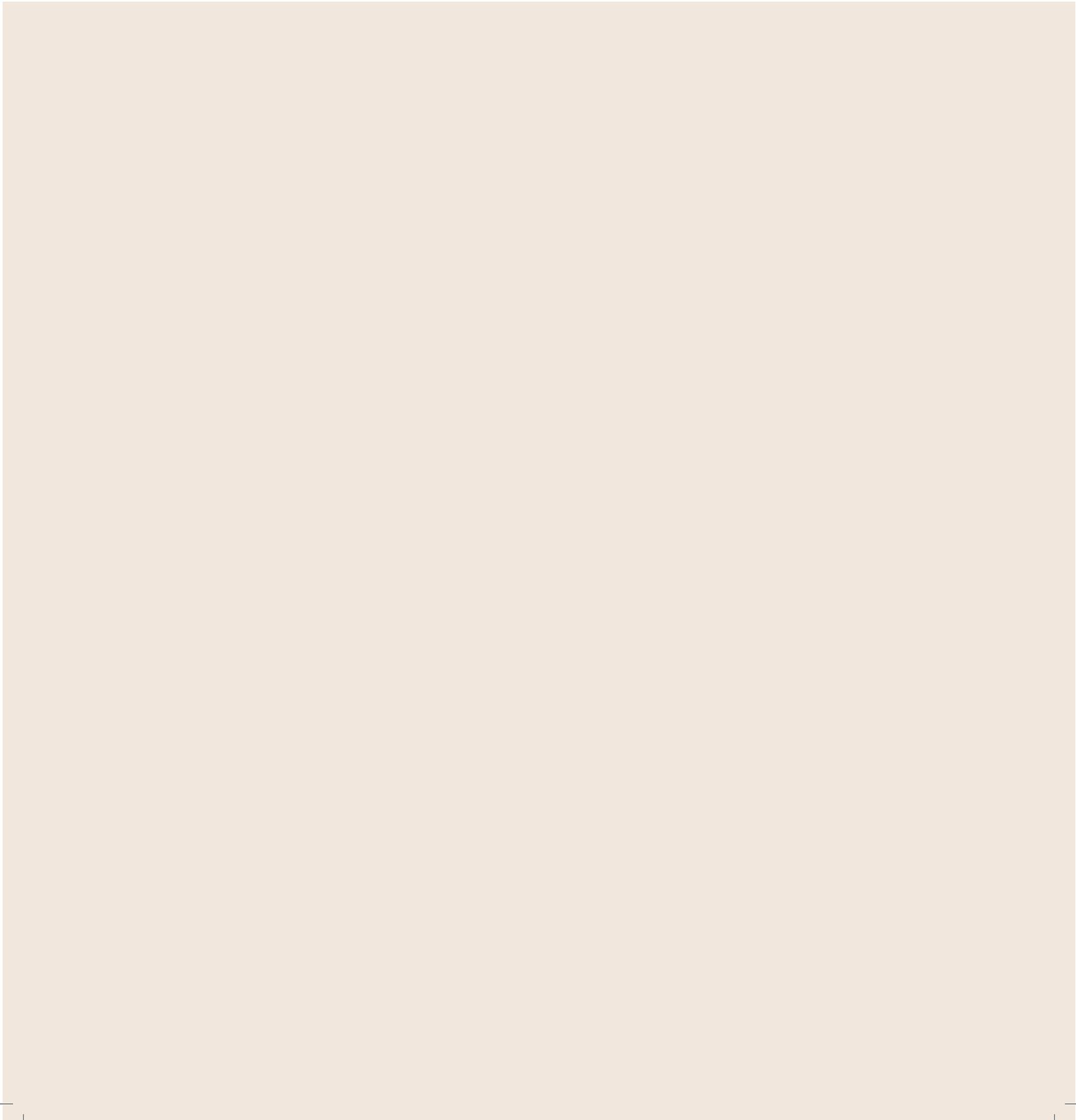
**Part I Course Methodology** explains the approach towards the course and gives insights on requirements of designing a course for adult learners.

**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 Session Plans** for the CSP sensitization training program which will have 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 IV 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 organizational scheme for all sessions of the course for the programmatic and logistic preparation.





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

## How Adults Learn?

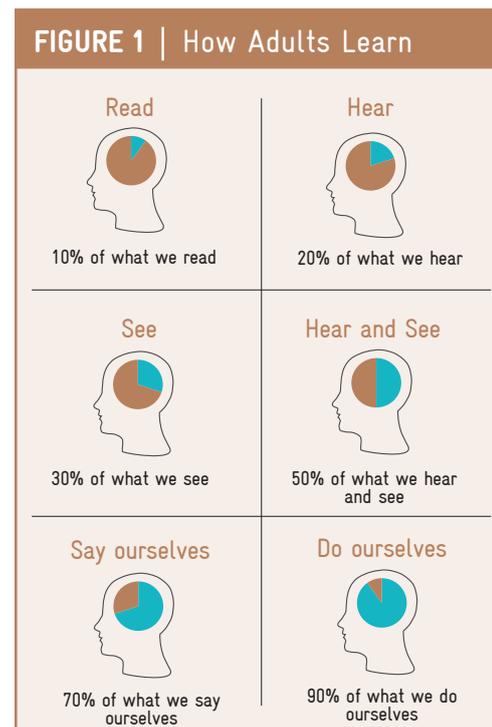
Some conventional training approaches are not an effective methodology for training adults, as they don't sufficiently take the integral role that adults play in their own learning process into account. Adult learning is based on principles and conditions that are different from the formal set of learning principles. Adults have experience to draw from, they are internally motivated, ready to learn, self-directed in their learning, and problem-oriented. 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 a training, they usually know what goal they want to attain. They, therefore, appreciate an educational program that is well organized 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 chapter IV) 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.



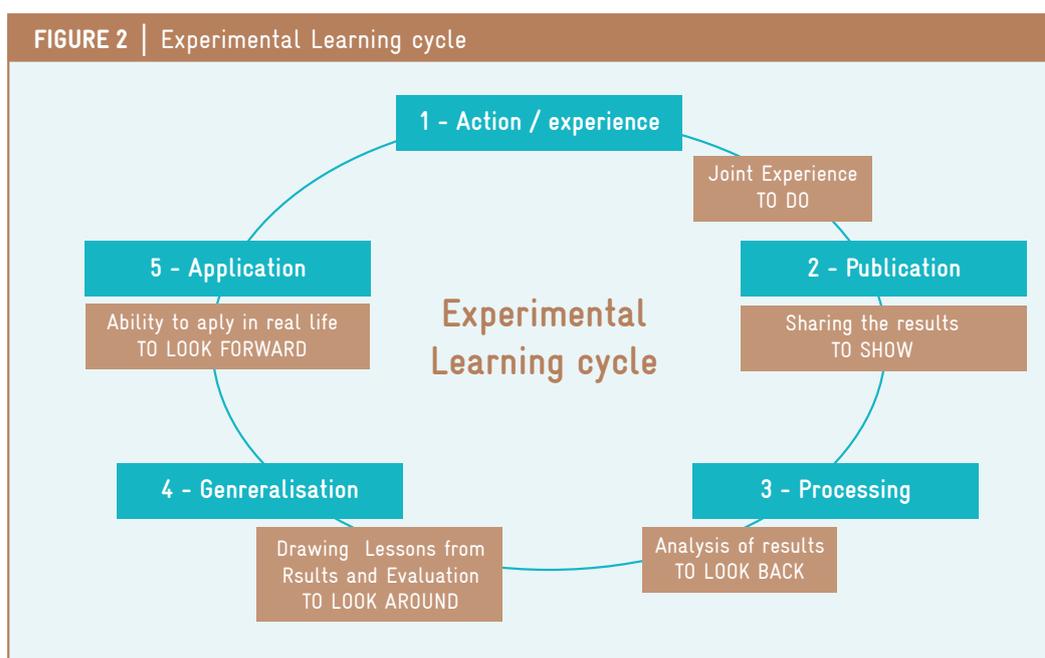
## Experience based, interactive learning

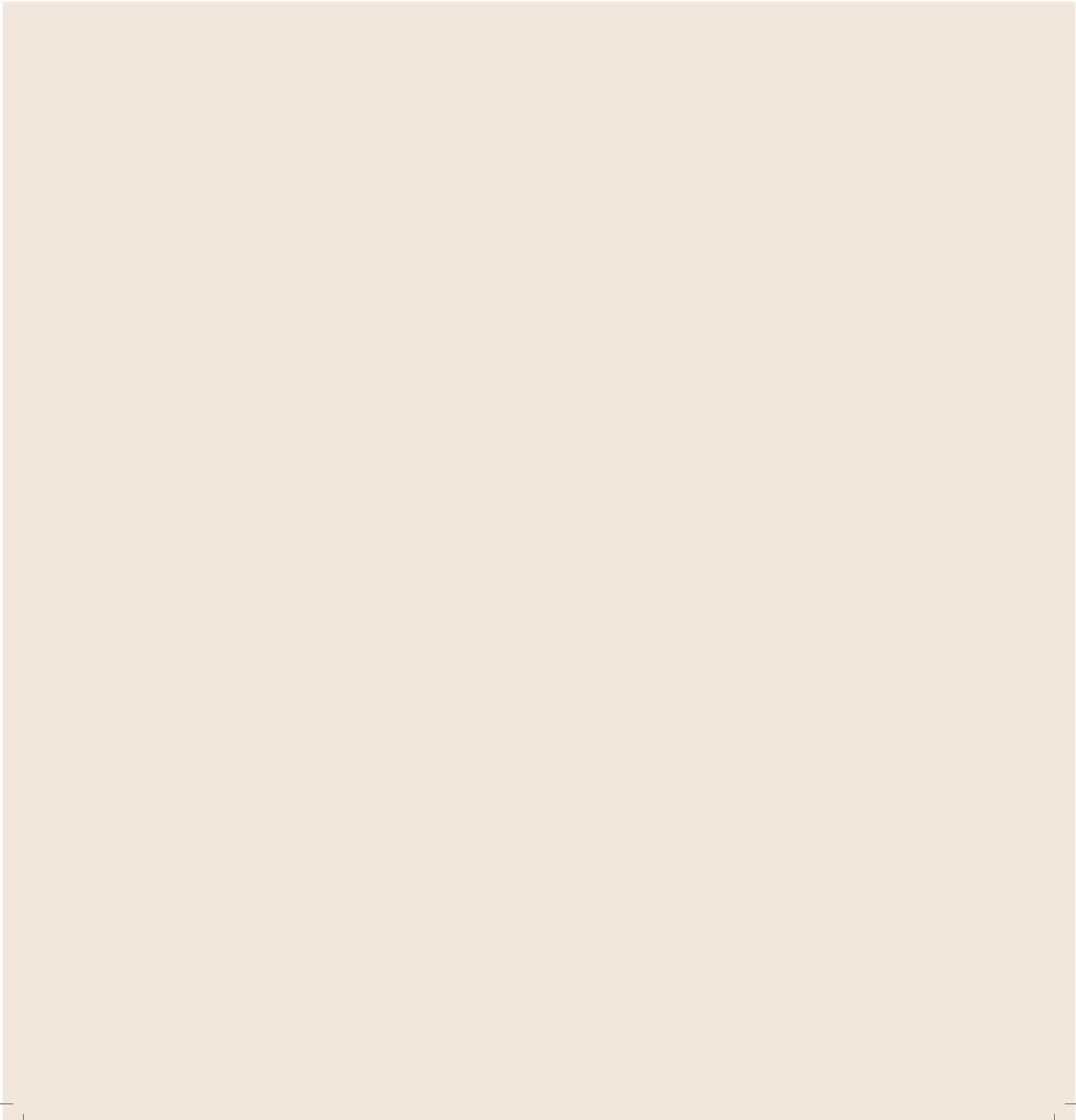
The ultimate aim of this training course is to capacitate participants to actually apply the newly gained knowledge. They have to develop a CSP on the ground and this training needs to make them fit for that. Following a so-called Experiential Learning Cycle will enable participants to go back after 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 ‘generalization 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 from the trainers that they adopt 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 City Sanitation Plan.







## Part II

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# Trainers Guide

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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 organize plenary sessions as well as group work in a well-planned but flexible way. The main competences 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. Includes participants and learning-oriented “power point” skills, and general rhetorical skills.
- **Visualization competence:** supports general understanding, and serving 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 visualization methods and sequences 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 learning's 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. Analyze difficult situations you have faced and take the above mentioned competences 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.

**Visualize main outcomes:** Capture the discussion results relevant for the learning objectives or for the follow-up training programmes by visualizing them on flipcharts, with visual aids such as stickers, etc.

**Summarise and state 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 mobilized. It is useful to pre-test 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 categorization of open-ended questions is in the table below:

Type of question	Use	Example
Circular questions	<ul style="list-style-type: none"> <li>• Change the Perspective</li> <li>• Introduce other perceptions</li> </ul>	<ul style="list-style-type: none"> <li>• If i asked your colleague about what made the situation so difficult, what could he say?</li> <li>• If you had invited a representative from civil society to your meeting, what would have been different?</li> </ul>
Questions about Behaviour	<ul style="list-style-type: none"> <li>• Help to perceive what happened beyond judgement.</li> <li>• Promote a more detailed perception and reframing</li> <li>• Clarify your own contributions to a situation.</li> </ul>	<ul style="list-style-type: none"> <li>• What does Mr. Miller do exactly? What did he do to make you impatient?</li> <li>• What happens, when nobody takes the responsibility for .....?</li> <li>• How exactly you react when the team .....?</li> </ul>
Assessment questions	<ul style="list-style-type: none"> <li>• To step back and use hindsight</li> <li>• To draw lessons from a particular experience</li> </ul>	<ul style="list-style-type: none"> <li>• What have you learnt from....?</li> <li>• How can you make use of what you have learnt from....?</li> <li>• What for you was encouraging?</li> <li>• If you started again what would you do differently?</li> </ul>
Questions about the context	<ul style="list-style-type: none"> <li>• Give information on facts and figures with regard to particular situation</li> </ul>	<ul style="list-style-type: none"> <li>• How many people work in your department?</li> <li>• How often do you facilitate training workshops?</li> </ul>
Differentiating questions	<ul style="list-style-type: none"> <li>• To specify vague responses</li> <li>• To clearly state differences</li> </ul>	<ul style="list-style-type: none"> <li>• For whom is the problem bigger?</li> <li>• On a scale of zero to 10, how big is...?</li> <li>• What is the difference between your opinions as Technical director and one of the CEO?</li> </ul>
Questions for probing reasons and evidences	<ul style="list-style-type: none"> <li>• Test the validity of reasons</li> <li>• Put 'evidence' on solid ground</li> </ul>	<ul style="list-style-type: none"> <li>• Why is that happening?</li> <li>• Are these reasons good enough?</li> <li>• What do you think causes?</li> <li>• What evidences is there to support your facts?</li> </ul>

Type of question	Use	Example
Questions for probing implications and consequences	<ul style="list-style-type: none"> <li>To discover unexpected effects</li> <li>To discover alternatives that was eventually overlooked.</li> </ul>	<ul style="list-style-type: none"> <li>What are the consequences of assumption?</li> <li>What are the implications for ...?</li> <li>How does it fit with what we have learned before?</li> </ul>
Hypothetical Questions	<ul style="list-style-type: none"> <li>To think, just to see, about given boundaries.</li> <li>To think outside of the box</li> <li>To check possible consequences jointly.</li> </ul>	<p>Supposing that..</p> <ul style="list-style-type: none"> <li>If we speculate: Given the case that you would what would be the effects?</li> <li>If you wanted to change the training approach in your organisation, how could this be possible?</li> </ul>
Questions about the Future	<ul style="list-style-type: none"> <li>Open up the mind to look beyond what the situation is like today</li> </ul>	<ul style="list-style-type: none"> <li>What are your intentions once this difficult period is over?</li> <li>What would you like to be in 2 years time?</li> </ul>

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

- Asking the question,
- Pausing to allow the participants to comprehend the question and think of an answer,
- Picking a member to provide an answer,
- Listening to the answer provided, and
- Expounding 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. Recognize 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?”
- Summarize 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
<b>1. To paraphrase</b> Repeat with your own words the last thing or main message the dialogue partner has said.	“So you did not find adequate climate data”
<b>2. To mirror</b> 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”
<b>3. To summarize</b> Summarize in one sentence a longer explanation.	“So overall you faced quite a number of restrictions from the political level”
<b>4. To focus</b> 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?”
<b>5. To translate</b> 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”
<b>6. To inquire</b> 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 of 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 Sensitization 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.

In the design of the training, a slot for preparing this learning transfer is required. This can be some kind of homework, formation of peer-groups or tandems for following up the training among participants or action learning methods such as the "Letter to myself". 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. Good experience have been made to have after a training at least one more point of contact with participants (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 visualization 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 Annexure) 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, visual media 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 according to the example as shown in the picture. 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 visualizes 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 organizers have the advantage to reflect also impacts of the training into day-to-day work but suffer from usually poor return rates.



## Part III

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# Sessions Plans

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## SESSION 01

# Orientation to the Training course



Session time  
35 minutes

Activity	Time	Materials / Methods
Opening of the training /Welcome address	10 min	Flipcharts, color cards,
Introduction of the training to provide a general understanding on concept and main contents of the training.	10 min	Power point Presentations, flipcharts, color cards
Self-introduction of participants	15 min	Room mapping



### PREPARING FOR THE SESSION

Before you go ahead with session, please prepare the following:

- Prepare well in advance the flip charts needed (welcome, signs, introduction points, expectations from the workshop, Day 01 screenplay, Parking lot, Instructions, questions etc.). Make copies of workshop agenda or you can also present the agenda in a flip chart written large enough for everyone to see.
- Prepare name tags for participants and trainers
- List first day activities in a separate flip chart with times so that participants know how day will flow.

Parking lot is a flipchart or a pin board, where questions are documented that can't be answered in the moment of asking and need to be discussed at a later stage of the training. Make sure to revert back to this flipchart before the end of the training



### TRAINING METHODOLOGIES FOR THE SESSION

#### Introduction to the training

Before you start the session, introduce facilitator and trainers for the training. Give a brief profile of facilitator and trainers. Introductory presentation should have;

- Present the overview of the training with a PPT
- Slides should not be more than 5
- After presenting the objectives of the training make sure that in this session participants can voice their expectations. This can be part of this presentation or the self-introduction of participants.
- Set the ground rules for the training



#### SOME GROUND RULES...

- Be on time
- Mobile on silent mode
- Speak loud
- Respect views...

Participants of an interactive training spend an intensive time together, full of encounters and interactions at different levels. An introductory round at the beginning of the course will support this process, so that the trainees start getting to know each other. There are different techniques for introductory rounds depending on the available time and the envisaged intensity of getting to know each other.

### Self Introduction: Room Mapping

Explain that there is a virtual map on the floor of the training room. Indicate the extreme points of this map in respect to the categories / questions in the table below.

Let the participants find their position on the map according to these categories (requires sufficient space in the training room). After each positioning: Go around and ask some participants (not all) for details regarding the respective question. Ask others after the next question so that at the end of the room mapping everybody has had a chance to say some words about his / her background.

Question	Extreme Points on the floor
Where do you come from?	Middle of the room: training venue. 4 sides of the room: north – south – east – west of present location.
Where do you work?	Extreme Points: 4 sides of the room: city administration – city politics – consultant/expert – NGOs.
How far have you been involved in CSP issues?	Extreme points: 2 sides of the room: Very much – not at all.

### Self Introduction: Paired interviews

Let the participants lead mutual interviews with their direct neighbour for 5 min. along the following questions:

- Name and organization of your neighbour?
- Your neighbour's exposure to CSP issues so far?
- What does he / she expect from this training?

Let the interviewers make notes on their findings. Then each participant will introduce his / her neighbour to the plenary according to his / her findings.



### Self-Introduction: Picture introduction

During registration of participants, keep a display of picture cards ready, which have to do with different aspects of urban sanitation. Let each participant select one picture card. During the presentation round, each participant is invited to give short statements to the following issues:

- Name and organization of participant.
- Exposure of participant to CSP activities so far.
- Why did the participant select the particular photo (show the photo)?
- Expectations to the training.

Collection of expectations of participants can take some time. Therefore it is good to first present the objectives of the training you have formulated to already frame the expectations of the participants. If you ask for expectations, do visualize them to check in the third part of the training if they have been fulfilled so far and if anything further is required. This gives you still some time to react.

## SESSION 02

### Module 1: Relevance and added values of the CSP



Session time  
130 minutes

Activity	Time	Materials/Methods
Introductory movie	5 min	Water Aid Movie for general sensitization on sanitation
Lecture I: Essentials of CSP to provide a general overall orientation on CSP	15 min	PowerPoint Presentations, flipcharts, color cards
Activity :Corner Game	20 min	Structured debate among trainees based on positioning in the room.
Lecture II: Essentials of CSP	25 min	PowerPoint Presentations, flipcharts, color cards
Case work: Support factors for CSP	35 min	Matrix based exercise in two sub-groups ,group works
Wrap-up: Support factors for CSP.	30 min	Structured debate in plenary



#### KEY LEARNING

Getting a general overall orientation on CSP

#### Key subjects of this session

- What is urban sanitation?
- What are the challenges of sanitation in Indian cities?
- Which frameworks and urban sanitation initiatives do exist at national and state level?
- What are the added values of a CSP for the various groups of urban population?



#### ELEMENTS OF THE SESSION

##### Introductory Movie

Visual information is easier to remember. It is the perfect way to start a session with an interesting movie. Make sure the copy of movie from water aid is set in the computer. Try to play it before to avoid any last minute technical issue.

##### Lecture I and II: Essentials of CSP

Lecture will provide a general overall orientation on CSP including details such as

- Definition and components of sanitation,
- Water streams to be managed,
- Existing policies etc.

Prepare your presentation with the help of the PPTs Module 1 for this training and the training Manual chapter on Module 1.

You can adapt the slides according to your context. During the presentation encourage participants to interact with some short questions on the content and their experience.

### Activity: Corner Game

**Objective of this activity:** To get participants actively involved in the training and to give space for them to voice their experience and opinion. The aim is not to reach to consensus but to collect different perspectives on the relevance of sanitation and get the participants into a discussion mode.

**How to instruct participants on this activity:** The Corner Game allows a structured discussion on the key question:

#### What do you consider being the most important benefits of urban sanitation?

Each corner of the room represents one of four possible beneficial areas improve general health conditions in the city;

- provide basis for better economic development;
- alleviate situation of vulnerable groups (Gender aspects);
- improve environmental impact.

Participants are invited to select one corner of the room (indicated by large cards naming the area), which represents best their position. Invite the first group to explain their position and then move along to the other groups. It is a structured discussion, in which participants are invited to defend their position and explain backgrounds and reasons. The task of the facilitator is to establish a debate and dialogue between the participants, so ask them to answer to statements of the other groups as well.

After the discussion, the participants can fill in the results individually in the following table. (Optional)

Improve health conditions	Better Economic development	Alleviate situation of vulnerable groups	Better environment

The corner game can be used after the part of the Lecture on impacts of urban sanitation. After the corner game the trainer resumes the lecture from the following slide.

### Case Work

(following the Harvard Case Method, see Annexure)

**Objective of this activity:** Participants will get practical understanding for the support / success factors for CSP including options to mobilize support.

**How to instruct participants on this activity:** Explain the situation of the casework to the participants. The case situation can be given as follows:

The Mayor of a city has established a City Sanitation Task Force (CSTF) to support the CSP development. You are assigned as an advisory expert group attached to the CSTF. In a first step, the Mayor asked you to provide him with an overview on which challenges he might face on the way to a CSP and what you propose to cope with these challenges. Participants will be divided into 2-3 groups and they have to organise their



results in the following matrix. Provide participants with the matrix on brown paper and pin board for presenting their results in the plenary. You can choose a city for each group as an example, so they have a concrete situation to work on. It's best if it is a city on which some of the participants have knowledge on.

MATRIX 1   Analysis of support factors for a successful CSP		
Support factors for a successful CSP	How challenging is the factor of the city?(High, Medium, Low)	Potential solutions to cope with challenges
Identify adequate technical solutions		
Ensure CSP integration into general urban planning		
Ensure sustainable financing		
Ensure proper operation and maintenance		
Coordinate with State Sanitation Planning		
Ensure citizens' participation		
Others		



#### How to wrap up this activity:

Wrap up the sessions by structured debate in plenary sessions following guideline questions

- What are the most challenging success factors for CSP?
- Which solutions did you find to cope with the challenges?
- How 'easy' are these solutions?
- Did your findings depend on the conditions of the concrete city?
- Which other important success factors did you identify?

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?). Visualize the main results of the discussion either with stickers on the matrices or on a separate flipchart.

## SESSION 03

### Module 2: How to integrate CSP into urban development?



Session time  
95 minutes

Activity	Time	Materials/Methods
Lecture: Linkage of CSP and Urban Development	35 min	Powerpoint Presentations, flipcharts, color cards
Case work: Connectivity of various urban planning systems	35 min	Matrix based exercise in two sub-groups with Pin-wall
Wrap-up: Connectivity of various urban planning systems	25 min	Structured debate in plenary

#### Key subjects of module

- How is the CSP related to other fields of urban planning and development?
- What are the interfaces to other sectors (urban sanitation, water supply and storm water management, solid waste management, livelihood)?
- How can CSP synergize with other Government Programmes e.g. Swachh Bharat Mission, Smart Cities, AMRUT, State / Centre Schemes, etc.?
- What are synergies of CSP with the goals of other Government Programmes?



#### KEY LEARNING

Understand links between CSP and other fields of urban planning and development.

#### ELEMENTS OF THIS SESSION

##### Lecture: Linkage of CSP and Urban Development

**Objective of the Lecture:** Lecture will provide a detailed understanding on interconnectedness of different urban planning mechanisms with CSP such as:

- Concrete interfaces to other sectors (urban sanitation, water supply and storm water management, solid waste management, livelihood),
- CSP synergies with Government Programmes

Prepare your presentation with the help of the PPTs Module 2 for this training and the training Manual chapter on Module 2

You can adapt the slides according to your context. During the presentation encourage participants to interact with some short questions on the content and their experience.

##### Case work: Connectivity of various urban planning systems

**Objective of the activity:** To develop concrete activities for ensuring connectivity of various urban planning systems.





## Instructions to Participants

Participants will continue to function as an advisory expert group attached to the City Sanitation Task Force (CSTF). On the way to the CSP, the Mayor wants to understand how sanitation planning correlates with other areas of city planning and development and which coordination with other city departments he has to ensure during development of the CSP. He/she appoints participants as the expert group to identify concrete technical inter-linkages and devise design options for the sanitation system to ensure connectivity. Participants work in 2-3 sub-groups and document their findings in Matrix 2. Provide participants with the matrix on brown paper and pin board so they can present their results in the plenary. You can choose a city for each group as an example, so they have a concrete situation to work on. It's best if it is a city on which some of the participants have knowledge on.

MATRIX 2   Connectivity of urban planning systems with CSP.		
Areas of urban planning	Relevant activity field connecting sanitation and the planning area	Approaches for a connective design
Roads and traffic infrastructure	Storm water collection	Ensure adequate dimension of storm water drains.
Settlement development		
Environmental Protection		
Flood Risk Management		
Business & Industries Development		
Slum Up-grading		
Public Health		
School Education		



## Wrap-up: Connectivity of various urban planning systems

Wrap up the session by stressing the importance of ensuring all aspects of CSP and urban development are integrated. Do discuss following points.

- Which activities for ensuring connectivity did you identify?
- Was it always possible to ensure connectivity?
- What would be examples for conflicting goals?
- How could conflicts be minimized?

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?). Visualize the main results of the discussion either with stickers on the matrices or on a separate flipchart

## SESSION 04

### Module 3: Urban Sanitation Systems and Septage Management



Session time  
110 minutes

Activity	Time	Materials/Methods
Lecture: Key Issues of Urban Sanitation	20 min	Powerpoint Presentations, flipcharts, color cards
Lecture: Septage management	15 min	Powerpoint Presentations, flipcharts, color cards
Case Work: Suitable Septage management system	40 min	Group work in 4 mini-groups of 5-6 trainees.
Wrap Up	35 min	Map/Matrix On pin-wall

#### Key subjects of module

- What are key elements of urban sanitation and how does the 'sanitation system' function?
- How does the overall design of a sanitation system in general and of septage management in particular depend on specific framework conditions of the city?
- What are the advantages and disadvantages of decentralized treatment systems?
- What is septage management - as a system and why is it a key issue of urban sanitation?
- What are conceptual, technical, and institutional approaches to septage management?



#### KEY LEARNING

Understand different elements and technical options of urban sanitation systems

#### ELEMENTS OF THIS SESSION

##### Lecture: Key Issues of Urban Sanitation

Lecture will provide a detailed understanding on Sanitation Systems. It will consist of

- Waste Water Value chain
- Key factors of Urban Sanitation
- Technical options of Onsite Sanitation
- Septage Management

Prepare your presentation with the help of the PPTs Module 3 for this training and the training Manual chapter on Module 3.

You can adapt the slides according to your context. During the presentation encourage participants to interact with some short questions on the content and their experience. Slides should not be more than 15- 20 slides. This is a very important session. Make it interactive with other training tools (For ideas refer Part IV: Training Tools).



## Case Work: Suitable Septage management system

**Objective of the activity:** Provide understand on how the concrete design of a septage management system depends on the specific conditions in the city.



### Instructions to Participants:

Instruct participants to take an India wide perspective and explore the best suitable septage management system under different conditions frequently found in Indian towns and cities. Participants will reflect 4 generic types of cities as follows

- **Type 1: Cities (class II or below) with hilly or mountainous topography.**
  - Subtype 1a: Arid climate, no existing sewer.
  - Subtype 1b: Wet climate, existing sewer.
- **Type 2: City (class-II or below) with flat topography.**
  - Subtype 2a: Semi-dry climate, no existing sewage management.
  - Subtype 2b: Wet climate, existing septic tanks.

Further information is provided by exemplary maps and characteristics for each type. The selection of cities can be done for the respective context. The presented example here gives indications of which data to provide on each city for conducting this case work.

Participants are invited to elaborate for each city different elements for a septage management system as listed in Matrix 3. Don't forget to ask participants to visualize their findings in the Matrix.

### 01) STUDY AREA 1A

**Population and space:** 83,000 (class II city). Fairly densely populated. Still much empty space available.

**Location and topography:** Arid environment (Close to desert area). Hill range to the west, gradual slope towards south.

**Geology:** Semi-consolidated porous formations comprising sand, conglomerate and rocks. Depth to water level 5 – 10 m.

**Climate:** Arid, erratic rainfalls, annual rainfall 160 mm.

**Existing situation of sanitation:** 60 % sanitary flushed latrines connected to septic tanks. 40 % dry latrines. No sewer system. Storm water is collected through open drains. Access to toilets is fair.

**Water supply:** Ground water; problems of scarcity; water table further decreases year by year.

FIGURE 3: TYPE 1A | Class II city with hilly topography, arid climate and no existing sewer



## 02) STUDY AREA 1B

**Population and space:** 98,000 (class II city). Areas prone for settlement are densely populated. Highly floating population from tourism.

**Location and topography:** Located in the foothills of the Himalayan ranges at an average altitude of 1,880 meters. Many streams and water bodies.

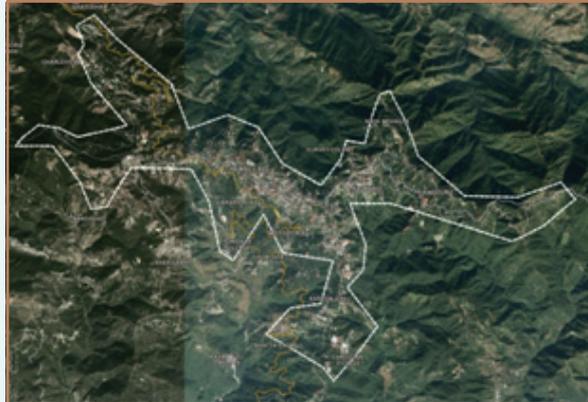
**Geology:** Rocky formations of complex geology.

**Climate:** Wet mountain climate with an average precipitation of 2,127 mm strongly influenced by monsoon. Warm summers, cooler winters that can face also snowfall.

**Existing situation of sanitation:** 60 % of city area covered by sewerage network. City divided into 8 sanitation zones, each equipped with one large septic tank, which is expected to collect all sewage of the zone. However, the carrying capacities are surpassed and overflow events are frequent. Accidental rainwater inflows contribute to that. There is no sewage treatment plant, the waste water is finally discharged into the streams. Areas non-served by sewerage are equipped with on-site septic tanks. Open defecation is limited to 3 %.

**Water supply:** Surface water from springs, much pumping energy needed.

FIGURE 4: TYPE 1B | Class II City with Mountainous topography, wet climate and existing but non-functioning sewerage system



## 03) STUDY AREA 2A

**Population and space:** 2,500. Low-income peri-urban slum area of larger city which lies beyond river and, thereby, disconnected from main settlement area. Fairly densely populated. Empty space still available around settlement. Larger agricultural areas adjacent.

**Location and topography:** Flat fluvial topography.

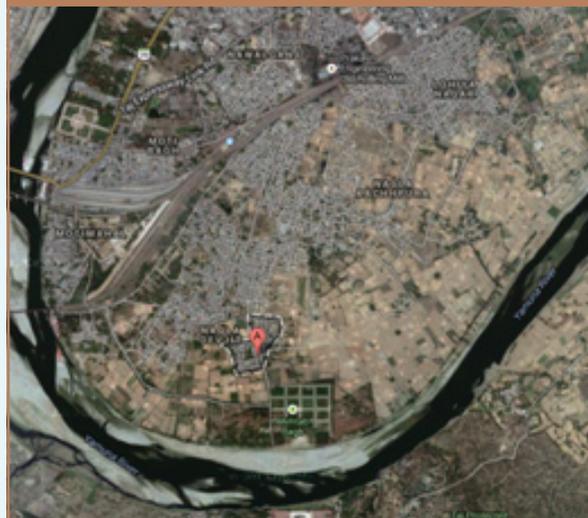
**Geology:** Unconsolidated fluvial formations containing sand, silt and clay. Partly highly permeable.

**Climate:** Typical monsoon climate, annual rainfall 700 mm.

**Existing situation of sanitation:** No sewer system. Poorly served with any sanitation system. 85 % of population practice open defecation. Community toilet exists but is unusable due to a collapsed septic tank. Open city drain collects partly waste water and runs into River.

**Water supply:** Surface water from River. Partly hand pumps from ground water.

FIGURE 5:TYPE 2A | Peri-urban slum area with flat topography and no existing sewage management



#### 04) Study area 2B

*Population and space:* 56,000 (class-II city). Floating population due to migrant workers. Only 1 % slum population. Fairly populated, empty space for settlement still available, however limited for larger sanitation infrastructure. Large agricultural areas adjacent.

*Location and topography:* Located in coastal plain attached to sea. Flat topography with an average altitude of 2 m above sea level.

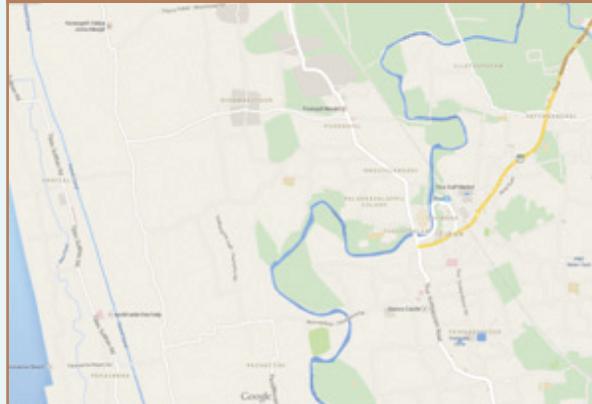
*Geology:* Laterite and sandy soils, highly permeable ground with high water table.

*Climate:* Hot and wet monsoon climate, annual rainfall 2,960 mm.

*Existing situation of sanitation:* 85 % of households have on-site facilities, 50 % comprise of alleged septic tanks, which however lack any septic action in the latrine apparatus. Many septic tanks get never cleaned. No facilities for treatment or disposal of sludge. 15 % of units connected to open storm water drains. Also waste water and solid waste enters the drains, which are frequently clogged.

*Water supply:* Wells, which face pollution problems.

FIGURE 6: TYPE 2B | Class II City with flat topography, wet climate and existing septic tanks



The participants will form 4 groups working on one case example each by developing a septage management systems with all its relevant steps. Provide participants with the following matrix on brown paper and pin board so they can present their results in the plenary. You can choose a city for each group as an example, so they have a concrete situation to work on. It's best if it is a city on which some of the participants have knowledge on.

MATRIX 3 | Elements of Septage Management for the 4 types

	OPTION 1A: Dry climate, no existing sewer	OPTION 1B: Wet climate, existing sewer	OPTION 2A: Semi-dry climate, no sewage management	OPTION 2B: Wet climate, existing septic tanks
Access to Toilets				
Onsite Storage (Primary Treatment)				
Desludging & Transport				
Treatment of Septage				
Treatment of Effluent from Septic Tanks				
Reuse / Disposal				

## How to wrap up this activity

Wrap up the sessions by structured debate in plenary sessions following guideline questions.

- Which are your findings in respect to the four options?
- Do the sub-categories a/b change a lot?
- Was there much debate around the best-suited solutions or was it quite clear to you?
- Which alternatives did you discuss discordantly?
- How may this system be linked to the overall (centralized or decentralized) sanitation system 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 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?). Visualize the main results of the discussion either with stickers on the matrices or on a separate flipchart.



## SESSION 05

### Module 04: How to translate CSP into action?



Session time  
140 minutes

Activity	Time	Materials/Methods
Lecture 1: Essentials of implementation	20 min	Powerpoint Presentations, flipcharts, color cards
Case Work: Priority setting	25 min	Group work in 2 sub-groups.
Wrap Up-Priority setting	25 min	Structured debate in plenary
Lecture 2: Community involvement	20 min	Powerpoint Presentations, flipcharts, color cards
Activity: Continuum Walk	40 min	Roleplay
Real case Community involvement	10 min	Powerpoint Presentations, flipcharts, color cards



#### KEY LEARNING

Understand the 'stakeholder landscape' of relevance for a CSP as well as strategic directions for implementation.

#### Key subjects of module

- How to derive and plan concrete projects based on CSP?
- How to prioritize and phase the relevant measures identified in the CSP
- Who are the drivers and key players for the sanitation sector in the cities?
- How to organize and manage community and stakeholder participation for implementation of CSP?



#### ELEMENTS OF THE SESSION

##### Lecture 1: Essentials of implementation

Lecture will provide to explain the process of translating CSP to Actions. Lecture will throw lights on

- Prioritising Actions prioritise the actions with respect to significance, investment and time requirements

Prepare your presentation with the help of the PPTs Module 4 or this training and the training Manual chapter on Module 4

You can adapt the slides according to your context. During the presentation encourage participants to interact with some short questions on the content and their experience.

Trainers can also try out color cards or flashy cards for this session to make the session interactive.

## Case work: Priority Setting:

**Objective of the activity:** Understand and apply a method of prioritizing actions according to selected categories.

### Instructions for Participants

Ask participants to assume that a number of actions have been proposed in a draft CSP for their home city. Mayor wants to know, which actions as specified in the CSP should be implemented with priority. Participants will work in 2-3 sub-groups and document their findings in Matrix 4.



In a first step participants will discuss adequate criteria for ranking and agreed on the following factors:

- The significance / severity of adverse impacts of the existing sanitation system, which the action envisages to address.
- The action can be directly implemented within the responsibilities of the ULB.
- The required investments for the measure are limited.
- The action can be implemented comparably quickly.

Participants are then invited to rank the actions for each criterion by the categories

- low = 1
- medium = 2
- high = 3.

Then ask participants to calculate a total score by adding the scoring values. It is always good to repeat instructions and ask if participants understand what to do. Double checking is always better. You can choose a city for each group as an example, so they have a concrete situation to work on. It's best if it is a city on which some of the participants have knowledge on.

MATRIX 4   Priority setting of proposed measures						
Actions envisaged in CSP	Priority scoring criteria				Total score	Remark
	Significance of addressed impacts	Can be handled within municipality	Low-investment measure	Quick implementation possible		
	Ranking 1 (low) – 2 (medium) – 3 (high achievement)					
Ensure proper constructed septic tanks accepting black water only						
Ensure periodic cleaning of septic tanks						
Phase out all insanitary latrines						
Ensure well-functioning storm water system						
Establish septage treatment and disposal facilities						
Establish value chain including reuse of treated septage						

## Wrap Up–Priority setting

Wrap up the activity by asking following questions:

- Which are your findings in respect to priorities?
- Are there actions which can be implemented in packages?
- Do certain actions only make sense under certain conditions?
- Do you need more criteria for identifying priorities?
- Do you need more differentiation?

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?). Visualize the main results of the discussion either with stickers on the matrices or on a separate flipchart

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## Lecture 2: Community involvement

Lecture will provide to how to engage community participation in CSP preparation. Lecture will explain the following points;

- Key players and Actors
- Community Participation

Prepare your presentation with the help of the PPTs Module 4 or this training and the training Manual chapter on Module 4

You can adapt the slides according to your context. During the presentation encourage participants to interact with some short questions on the content and their experience.



### Activity: Continuum Walk

**Objective of activity:** Learn to put yourself into the place of different stakeholders and understand the relationships and potential conflicts. This activity also aims at providing a more interactive and playful framework for engaging with the topic of community participation.

Participants have to reflect the interests and potential roles of crucial stakeholders in the form of a mini-role-play within the 'Continuum Walk'. 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. During this exercise, participants will explore the intentions of different stakeholders during development and implementation of the CSP. They will do that within a role-play. The following stakeholder groups will be represented by selected participants. There can be more than one participant per stakeholder:

- Municipal Councilor;
- State Urban Development Department;
- Urban Development Authority;
- Slum Clearance Board;
- CBO
- Private households;
- Sanitary workers/garbage collectors;
- Environmental NGO.

There are 5 potential roles that can be strived for by these groups. They are marked by cards in the room:

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

Let first the groups for each stakeholder discuss internally the following questions:

- 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?

Visualize the questions on a flipchart so they groups can refer to them during their internal discussion. Then ask the individuals/groups to position themselves in the room according to the chosen role and explain their choice. Put the different groups into dialogue and let them really step into to the role of the stakeholder and argue from their perspective. This whole exercise should be conducted while the participants are standing so they see and hear each other properly and the dynamic doesn't goes down.

### Real case Community involvement

Make a case study presentation of a succesfull process of community participation or multi-stakeholder process in the sanitation sector to emphasize the role of stakeholders and how important is this step to make CSP a reality. Check in Trainers manual or your own resources for suitable case study examples. It is always advisable to have an example from the context of the participants.

## SESSION 06

### Module 5: Requirements for implementation of a CSP



Session time  
100 minutes

Activity	Time	Materials/Methods
Lecture: Requirements for implementation of a CSP	30 min	Powerpoint Presentations, flipcharts, color cards
Case Work: Challenges in home cities of trainees along categories (way forward)	40 min	Pin-wall with prepared matrix
Wrap Up	20 min	Presentation by speakers of each sub-group and discussion in the plenary
Real case Implementation challenges	10 min	Powerpoint Presentations, flipcharts, color cards



#### KEY LEARNING

Understand the kind of framework conditions and supporting pillars that are required to implement a CSP.

#### Key subjects of module

What are requirements and framework conditions to successfully implement a CSP in respect to the

- institutional setting;
- organisational framework;
- management approaches;
- data management, MIS and SLB;
- financing conditions; as well as
- legislative framework?



#### ELEMENTS OF THE SESSION

##### Lecture: Requirements for implementation of a CSP

Lecture will give insights about requirements needed for Implementation of a CSP. Lecture will explain the following points;

- Institutional Management
- Organisational Management
- Financial Management
- Legislative conditions for implementing CSP

Prepare your presentation with the help of the PPTs Module 5 or this training and the training Manual chapter on Module 5.

## Case Work: Challenges for CSP implementation in home cities of trainees

**Objective of the activity:** Explore challenges of implementation in home cities of trainees and find ways to overcome them.

### Instructions to Participants:

Here participants are invited to reflect their real home city with its specific conditions for CSP implementation. They are invited to analyze in particular, how far a successful CSP implementation might be hampered by existing gaps in the overall framework. They also should elaborate on possible solutions how to overcome the gaps. This might lead to a sort of 'to-do-list' of actions at home to make CSP implementation really work.

Participants work in 2-3 sub-groups and document your findings in Matrix 5. The choice of city for each group can either be provided by the trainer or the participants can be asked to offer 2-3 from their home cities as examples.



MATRIX 5   To do list for overcoming challenges in the implementation process		
Category of framework condition for successful CSP implementation	Gaps and challenges in your city	Options for action to overcome gaps / challenges ('To-do-list')
Legislative framework		
Ensuring required action by private households		
Adequate involvement of private operators		
Financial management		
Monitoring and complaints readdressed		
Involvement of CBOs		

### Wrap up

Each sub-group presents the main findings in the plenary. The exercise has an important function for transferring the training knowledge back to the concrete working situation of each trainee. The trainees reflect what is important to get the training lessons implemented in their cities.



## SESSION 07

### Module 6: How to make a CSP a living document?



Session time  
80 minutes

Activity	Time	Materials/Methods
Lecture: How to make a CSP a living document	10 min	Powerpoint Presentations, flipcharts, color cards
Case work: Needs for up-dating CSP	35 min	Pin-wall with prepared matrix
Wrap Up	35 min	Structured debate in plenary



#### KEY LEARNING

Understand CSP in the context of a 'planning cycle'.

#### Key subjects of module

- What is the planning cycle and time frame of a CSP?
- What is the scope for regular CSP revision in the context of urban planning and development, climate change and other emerging requirements?
- How can the CSP implementation be monitored (SLB and City Sanitation Ranking) and experiences be used for further improvements?



#### ELEMENTS OF THE SESSION

##### Lecture: How to make a CSP a living document

Lecture will give needs and approaches for regular CSP revision. Lecture will explain the following points:

- Why revision needed?
- Scope of regular revision in the context of urban planning and development, climate change and other new requirement and monitoring options (SLB and City Sanitation Ranking).

Prepare your presentation with the help of the PPTs Module 6 or this training and the training Manual chapter on Module 6

##### Case work: Needs for up-dating CSP

**Objective of the activity:** Practically explore drivers for changing scenarios in a city that make regular updating of the CSP document necessary.

### Instructions for participants:

Instruct them to assume that a CSP has been developed in their city and entered implementation. The mayor wants to get a feeling how frequently he/she should envisage a revisions of the plan and for which reasons. Ask participants to propose timeframes for adjustments based on changes to be expected in different sectors of city development. Participants work in 2-3 sub-groups and document their findings in Matrix 6. Provide participants with the matrix on brown paper and pin board so they can present their results in the plenary You can choose a city for each group as an example, so they have a concrete situation to work on. It's best if it is a city on which some of the participants have knowledge on.



MATRIX 6   Needs for CSP revision			
Sector of city development	Which changes can be expected	Impacts on city sanitation / needs for CSP revision	Time frame for revision
Urban growth			
Industrial development			
Climate Change			
Regulatory framework			
Others			

### How to wrap up this activity:

Wrap up the sessions by structured debate in plenary sessions following guideline questions

- Which needs for CSP revision did you identify?
- How far do they depend on the city situation?
- Which changes can easily be accommodated in CSP, which not?
- Why?
- What about finances required for adjustments?
- Do you expect sufficient data and information for adequate revisions?

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?). Visualize the main results of the discussion either with stickers on the matrices or on a separate flipchart



### Feedback session

As a concluding session, it is good to have a feedback session. Trainers should ask for the evaluation of the training experience to participants and also give them a self-evaluation opportunity. It can be done by any forms of feedback session tools like Evaluation form, Peer to Peer feedback session etc. Before beginning the evaluation, ask participants to consider the process of thinking they used during the training and the kind of thinking they have done on associated discussions, assignments, projects, assessments etc. Finally, reflect on the responses and be thoughtful about your personal goals for future training opportunities aimed at improving your reasoning skills and mindset.

## SESSION 08

### Transfer and Feedback session



Session time  
135 minutes

Activity	Time	Materials/Methods
Peer-to-peer advice	90 min	Powerpoint, Flipcharts, pinwall
Letter to Myself	15 min	Envelopes sheets of A4 paper for each part
Training Evaluation	15 min	Smiley points , Pin-wall
Formal Closure	15 min	Certificates



## TRAINING METHODOLOGIES FOR THE SESSION

### Peer-to-Peer Advice

This exercise supports the participants in applying the newly learned knowledge and facilitates the transfer to their day-to-day work. To start this exercise, select 1 volunteer from the participants to become the “case-provider”. The volunteer is asked to explain a challenging case from his/her day-to-day work on urban sanitation taking not more than 10 minutes.

After the case-provider finishes the other trainees can ask questions for a better understanding of the case. In this round no advice or response is given, only questions are asked. After that either individually or in small groups the other participants go through the case and develop possible solutions, which they then share with the case-provider. For providing solutions the trainees should refer to the new things, they have learnt in the course. If smaller groups are formed, each group could focus their solution on one area (e.g. interaction with stakeholders, strategy development, technical aspects, etc.) The case provider finally gives feed-back to the plenary on the advice given and how far the advice will help him / her in solving the issue. The exercise has an important function in transferring training knowledge back to real work situations and for using peer knowledge.



### Letter to Myself

The trainer distributes envelopes and sheets of A4 size to the participants. Each participant is asked to write his/her address on the envelope. Now the participants are asked to draft a letter to themselves stating their goals/vision for their future work on sanitation and/or their key learnings and new insights. Participants are asked to put the letter in the envelope, close it and hand it over to the trainer. The trainer will then send out the letters around 1-2 months after the training.

## Training Evaluation

Main goal of this exercise is to get feedback from the participants on key aspects of training performance. You can use Smiley evaluation tool for this purpose.

### Preparation of the exercise

Cover a pinwall with brown paper and draw a table with 5 columns and 6 rows. In the left most column you list the areas of training for which you would like to receive feedback. That could be:

- Contents,
- Method,
- Relevance for my work,
- Moderation and
- Venue / organization

In the uppermost row, you indicate the type of rating they can give by Smilie Faces starting from Great 😊 to Poor 😞. You can differentiate into 4-5 categories.

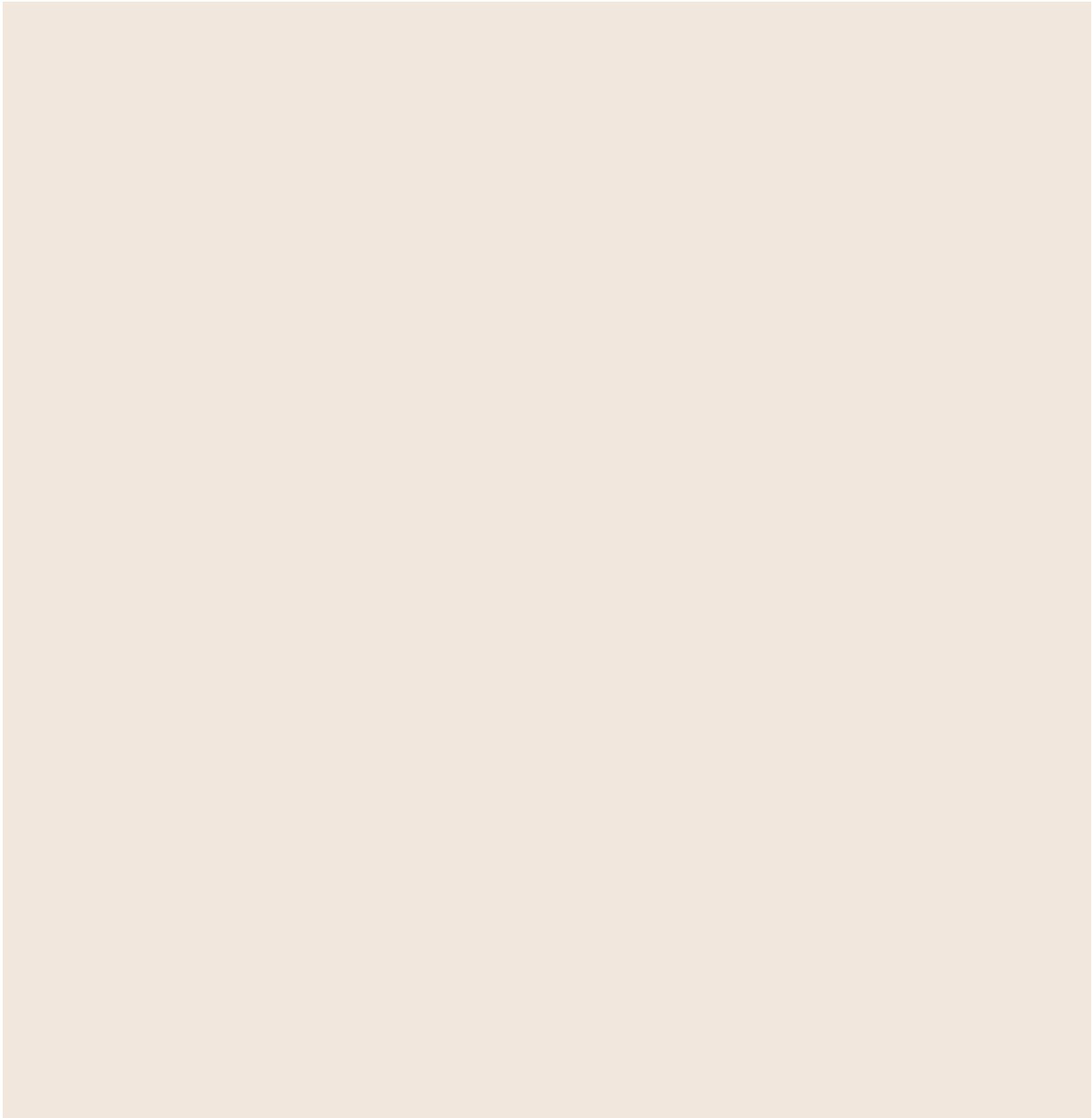
After that each participants gets 5 round stickers (according to the number of areas to be rated). The pin wall is turned around, so the participants don't have to display in front of the group and the trainer, where they put the sticker. Then they are ask to attach one sticker for each area in the column with the smileie face showing best their opinion.

After all participants have put their stickers, the trainer turns around the pinwall and in the plenary discusses the outcomes. The trainer can ask the group for further elaboration on their choice and reflect upon e.g. very good or very bad responses. This adds a qualitative feedback to the overview generated by the smileie evaluation.

### Closure

Now it is the time to formally close the training session. Such closure could be started with a feedback from the main trainer to the participants on how he/she experienced the training and the cooperation with the group. At latest at this point the trainer should also mention the next steps after the training, if any are to be taken (submit written feedback forms, dates for follow-on training programmes, homework, etc.) Then the organisers should have the chance for giving final remarks and hand out the certificates, if required.

	😊	🙂	😐	😞
Introduction of TOT & SSWM tool box	3	2	1	0
Pre-training Preparation I	4	2	1	0
Pre-training Preparation II	1	3	2	0





## Part IV

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# Interactive Training Methods and Tools

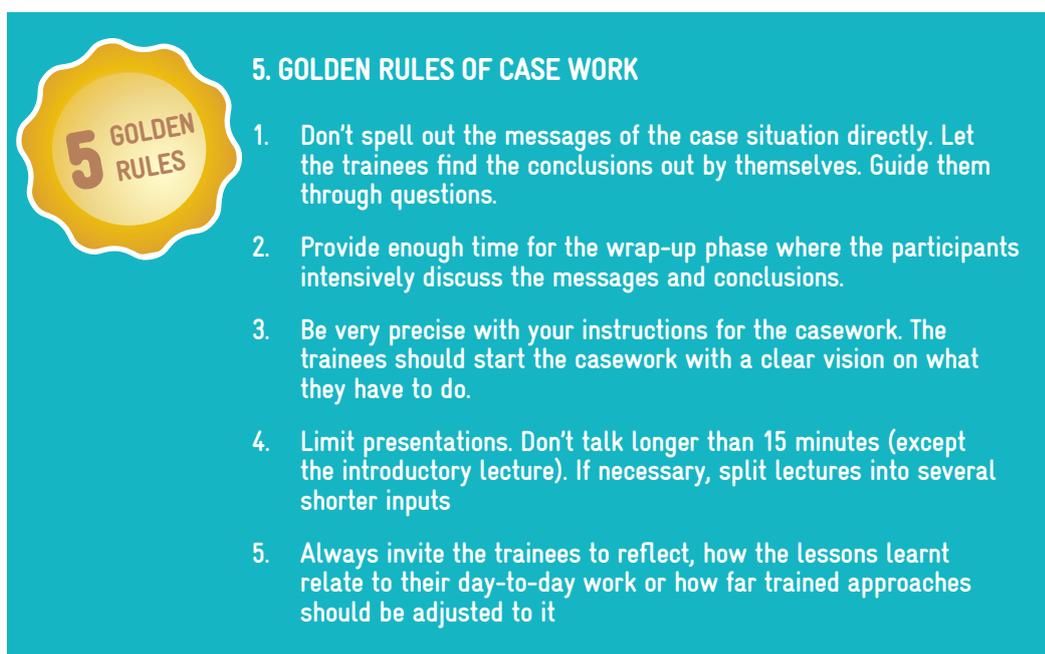
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## The Harvard Case method

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**

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. Organize 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 time-frame 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 the 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 (modules 2, 4 – 6) or in mini-groups of 2 persons each (module 3), 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 energizers 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 Module 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 6

## 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 energizing 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.

### Going down with a stick-Game: Avalanche

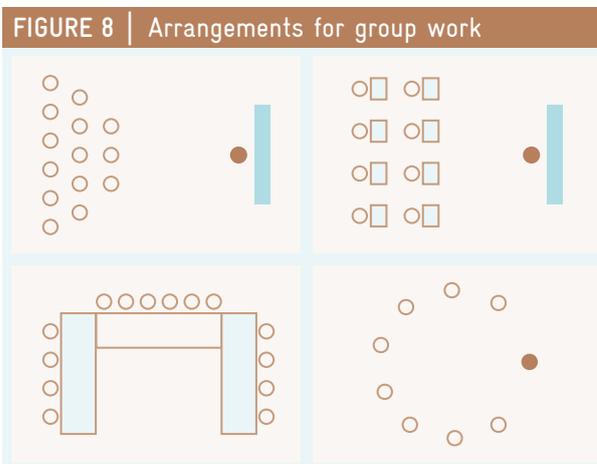
Divide the whole group into 2-3 smaller groups with around 10-15 participants each, it can be also a little less. Each group gets a stick (it could also be a hoop) and the task is that they have to put down the stick on the ground together while the stick lies on the forefingers of each team member. 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 whil 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 groupwork to accomplish the task.

You can find more Icebreakers @ [http://insight.typepad.co.uk/40\\_icebreakers\\_for\\_small\\_groups.pdf](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 visualized 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 = Keep It Straight and Simple**. Don't use sentences only keywords on your slides. Use illustrations, photos, graphs etc. to visualize your message. Highlight the take-home messages in boxes.

Visualization might not be limited through 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 visualization tools can support the interaction between trainer and trainee. The trainer can visualize 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 (see Parking Lot in Session 1) or he/she can use visual aids such as stickers to prioritize 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 visualizing 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.

### Tips for using Flipcharts

1. Using flipchart markers
2. Use big letters
3. Text: Dark colours  
Charts: Bright colours
4. Lightly write/draw in pencil in advance (if necessary)
5. 7 x 7 rule: 7 words per line, 7 lines per sheet
6. Prepare pages in advance
7. Leave 1st page blank or title
8. Leave space to add comments
9. Leave space to add comments
10. Conclusion page
11. Stand to side of stand
12. Add notes, provide charts for records

## 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

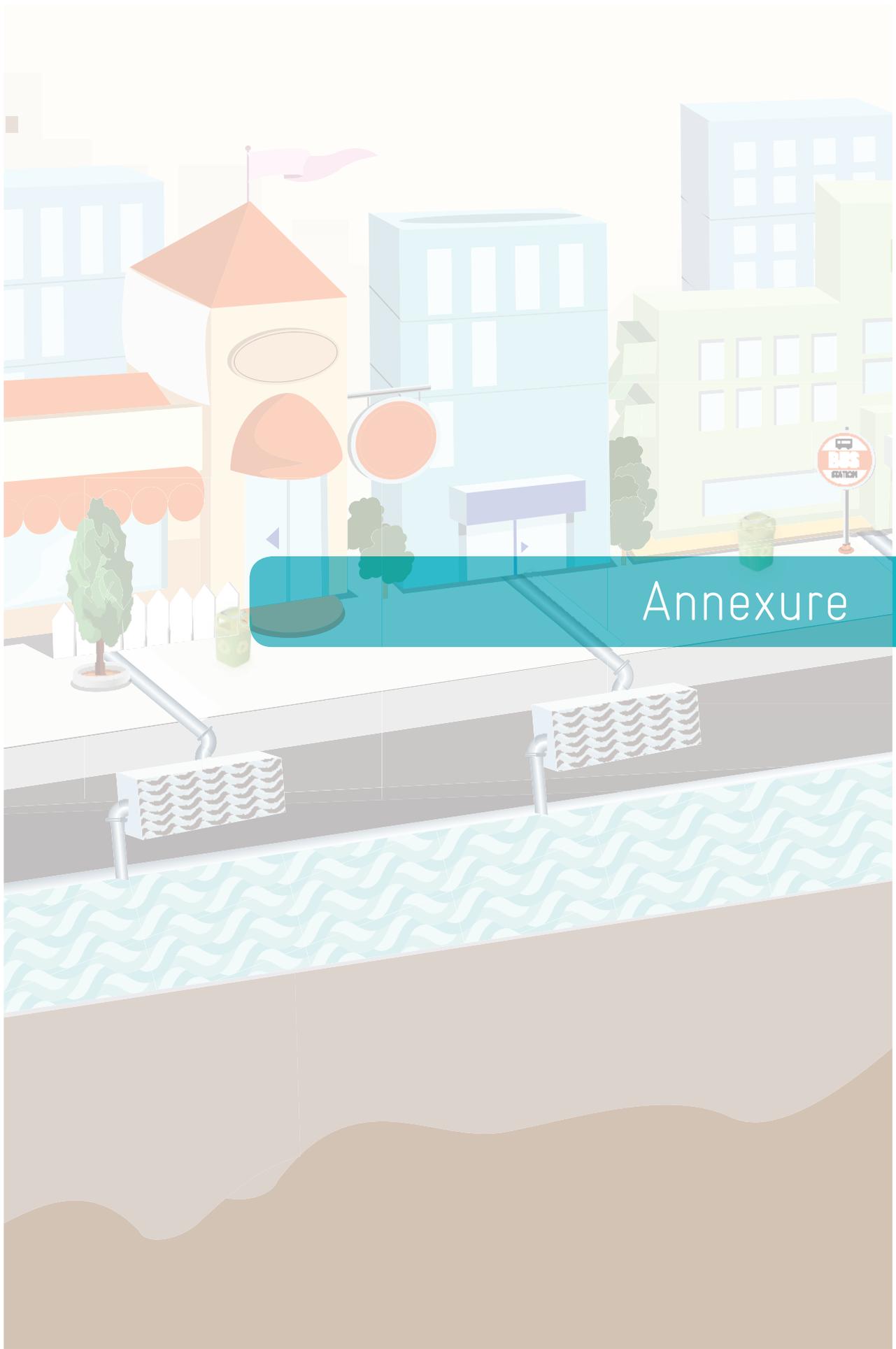
Managing coloured cards is a creative and stimulating method, where the trainer has a role as moderator but not like ex-cathedra teaching. The trainees get involved in the process and have to share their opinions. The discussion and re-structuring of the coloured cards can quickly lead to results.











## Annexure

## Annexure 1: Example for Organizational Scheme Modules 1 – 6

An organizational scheme supports the trainer's team in organizing the flow, content, time and logistics of a programme. This is one example of how such organizational scheme looks like, the trainer can adapt it to the specific training.

Duration	Topic	Main Goal of session	Method/Elements	Contents for presentations / Design and key questions for exercises	Materials	Comments / Function of the session
<b>Introduction</b> Time: 35 min.						
10 min.	Opening of the training		Welcome addresses			
10 min.	Introduction to the training	Provide a general understanding on concept and main contents of the training.	Presentation with ppt.	Concept and structure of training. Teaching method. Overview on agenda and materials.	Slides	
15 min.	Self-introduction of participants	Make the trainees familiar with each other.	Room mapping	Trainee take positions on a virtual map in the room with following guiding questions: Where are you from? Which institution do you work for (city administration, state, consultants, training institute) How far were you involved already in CSP (H – M – L)?		Participants will interact intensively during the course and should get to know each other right at the beginning
<b>Module 1: Relevance and added values of the CSP</b> Time: 130 min.						
5 min.	Introductory movie	Provide a quick 'tuning' input – not as much on the facts but on the 'emotional' side	Movie	Movie for general sensitization on sanitation		Movie Wateraid. Will provide a more 'emotional' access to the issue.
15 min.	Introductory lecture I: Essentials of CSP	Provide a general overview all orientation on CSP (also usable as short course for high-level representatives and decision-makers).	Presentation with ppt.	What is urban sanitation? Definition, components, water streams to be managed, elements of technical solutions. Impacts of inadequate sanitation: Human health, environment, economy, gender. Status and challenges for sanitation in Indian cities.	Slide presentation M.1, part I	

Duration	Topic	Main Goal of session	Method/Elements	Contents for presentations / Design and key questions for exercises	Materials	Comments / Function of the session
20 min.	Corner Game	Application of general overall information received in lecture. Bring trainees into the 'mood' for interactive work.	Structured debate among trainees based on positioning in the room.	<p><b>Key question:</b> What are the most important benefits of urban sanitation?</p> <p><b>Exercise</b> The participants go to one corner of the room which at best represents their position: (i) improve general health condition in the city; (ii) provide basis for better economic development; (iii) alleviate situation of vulnerable groups; (iv) improve environment. Trainer involves participants into discussion about the reasons for their choices and detailed arguments.</p>	Position cards in all 4 corners of the training room.	The exercise has an important function in bringing the trainees from passive 'listening mood' to active 'discussion mood', which is essential for all following exercises.
25 min.	Introductory lecture II: Essentials of CSP	Continue general overall orientation on CSP (also usable as short course for high-level representatives and decision-makers).	Presentation with ppt	<p>Regulatory framework: NUSP and other initiatives / frameworks. Requirements for a successful sanitation policy. Added values of a CSP for the various groups of urban population.</p>	Slide presentation M.1, part II	
35 min.	Case work: Support factors for CSP	Provide practical understanding for the support / success factors for CSP including options to mobilize support.	Matrix based exercise in two sub-groups	<p><b>Case construction:</b> Trainees have the role of a CSP task team supporting the Mayor in developing and implementing a CSP. As a first step the Mayor wants to get a feeling, which challenges he might face in developing and implementing a CSP and what he might do to cope with the challenges. <b>Exercise:</b> Use the matrix with contents of potential support factors (see Annex). Rank the challenges posed by the support factor in levels High – Medium – Low. Define potential solutions to cope with the challenges. Add further support factors if necessary. If results depend on specific city features mark in the text for which city you made the indications.</p>	Pin-wall with prepared matrix	The exercise will mainly support an 'analytical thinking' of trainees with an overall perspective on what makes a CSP and its implementation successful. Trainees start taking over a 'role' as CSP advisors to the Mayor.

Duration	Topic	Main Goal of session	Method/Elements	Contents for presentations / Design and key questions for exercises	Materials	Comments / Function of the session
30 min.	Wrap-up: Support factors for CSP	Critically reflect challenges and support factors.	Structured debate in plenary	<p><b>Wrap-up questions:</b></p> <p>What are the most challenging success factors for CSP? Which solutions did you find to cope with the challenges?</p> <p>How 'easy' are these solutions?</p> <p>Did your findings depend on the conditions of the concrete city?</p> <p>Which other important success factors did you identify?</p>		
<b>Module 2: How to integrate CSP into urban development?</b>						
<b>Time: 165 min.</b>						
15 min.	Exercise: Urban Planning mapping	Provide trainees with a feeling for interconnectedness of various urban planning mechanisms	Action Learning	'Map' of various planning systems is fixed on pin-wall. The types of interlinkages between CSP and other planning systems are offered: (i) consider sector planning in CSP; (ii) integrate several plans; (iii) harmonize CSP and sector plans; (iv) use resources / mechanisms of sector plans also for CSP. Participants categorize the interlinkages along these types in a moderated discussion.	Pin-wall Cards	The exercise provides an overview on interlinkages of city planning systems and CSP. This is being done in a 'game like' format.
35 min.	Introductory lecture: Linkage of CSP and Urban Development	Provide detailed understanding on interconnectedness of different urban planning mechanisms with CSP.	Presentation with ppt	<p>How is the CSP related to other fields of urban planning and development?</p> <p>Concrete interfaces to other sectors (urban sanitation, water supply and storm water management, solid waste management, livelihood)?</p> <p>How can CSP synergize with other Government Programmes e.g. RAY, JNNURM, UIDSSMT, IHSDP, SLB, State Sanitation Programme, State / Centre Plans, etc.?</p>	Slides	
35 min.	Case work: Connectivity of various urban planning systems	Develop concrete activities for ensuring connectivity of various urban planning systems.	Matrix based exercise in two sub-groups	<p><b>Case construction:</b></p> <p>As in previous exercise. Mayor wants to know, which interlinkage with other urban planning systems have to be ensured.</p> <p><b>Exercise:</b></p> <p>Use the matrix with various fields of urban planning (see Annex). Identify activity field(s), which exemplify interlinkage with sanitation. Give examples of activities which can ensure connectivity with sector plans.</p>	Pin-wall with prepared matrix	The exercise leads the overview perspective of the action learning towards in-depth analysis of connectivity of CSP with urban planning systems.

Duration	Topic	Main Goal of session	Method/Elements	Contents for presentations / Design and key questions for exercises	Materials	Comments / Function of the session
25 min.	Wrap-up: Connectivity of various urban planning systems	Critically reflect on limitations and opportunities for connecting different planning systems.	Structured debate in plenary	<p><b>Wrap-up questions:</b></p> <p>Which activities for ensuring connectivity did you identify?</p> <p>Was it always possible to ensure connectivity?</p> <p>What would be examples for conflicting goals?</p> <p>How could conflicts be minimized?</p>		
10 min.	CSP and climate change	Put a special focus on CSP and CC as an emerging challenge.	Presentation with ppt	<p>What are general links between urban sanitation and climate change?</p> <p>What are the challenges imposed on city sanitation planning by Climate Change and how to cope with them?</p>	Slides	
20 min.	CC impacts on CSP in your city	Explore relevance of CC for CSP in the concrete home cities of the trainees.	Exercise in whisper groups with wrap-up in plenary.	<p><b>Exercise:</b></p> <p>Trainees identify in whisper groups which CC impacts can be expected in their individual city and how that might affect CSP.</p> <p>Trainees write key points on cards.</p> <p><b>Wrap-up</b></p> <p>Trainer collects the cards, puts them on a pin-wall and discusses results.</p> <p>Was it clear to you which CC impacts can be expected?</p> <p>What are key CC impacts on CSP?</p> <p>Do they differ from city to city?</p> <p>What would be possible responses to make CSP more resilient?</p>	Pin-wall	The smaller groups (appr. 5 participants per group) enable more intensive discussion. The trainees reflect not a fictitious city but the situation in their own home city.
15 min.	Avalanche	Enable final reflections on interconnectedness based on game.	Action Learning	<p><b>Exercise:</b></p> <p>See instructions in the GIZ Systems Thinking Playbook.</p> <p><b>Wrap-up</b></p> <p>Link to CCA: Conflicting goals can also be observed in adaptation and sanitation: (i) Establish sufficient sewerage treatment capacities vs. (ii) leave out flood prone spaces closed to rivers etc..</p>	3 light broom sticks	Game has a strong energizing component and can be performed after a break.
10 min.	Real case Inter-connected planning	Exemplify teaching messages through real case.	Presentation with ppt.	Case selected from literature or from region where training is conducted.	Slides	

Duration	Topic	Main Goal of session	Method/Elements	Contents for presentations / Design and key questions for exercises	Materials	Comments / Function of the session
<b>Module 3: Key issues of urban sanitation</b> Time: 140 minutes						
40 min.	Introductory lecture	Provide mainly technical knowledge on key elements of sanitation systems.	Presentation with ppt.	System functioning and key elements of urban sanitation. Access to toilets. Septage management. Centralized / decentralized water treatment systems. Slum connectivity. School sanitation.	Slides	
40 min.	Case Work: Design system elements of urban sanitation depending on city features	Provide feeling on how concrete design of sanitation system depends on conditions in city.	Group work in 4 mini-groups of 5-6 trainees.	<b>Case construction:</b> On the way to a CSP, mayor wants to understand how key features of the city will influence the best suited solution for the future urban sanitation system. <b>Exercise:</b> Each mini-group works on a different option (1a, 1b, 2a, 2b) as specified in the Annex. Groups are provided with matrix and maps of their case-city.	Hard copy matrices for each mini-group; hardcopy of Google maps and factsheet of different city types from India.	The exercise puts the trainees into 'practical mood' of working with real material such as maps of model cities and lets them perform quite hands-on action.
50 min.	Wrap-up		Trainer compiles the findings of all 4 groups into one consistent scheme and discusses results in plenary.	<b>Wrap-up questions:</b> Which are your findings in respect to the four options? Do the sub-categories a/b change a lot? Was there much debate around the best-suited CSP solutions or was it quite clear to you? Which alternatives did you discuss discordantly?	Prepared matrix on pin-wall	
10 min.	Real case CSP system for city	Exemplify teaching messages through real case.	Presentation with ppt.	Case of xy or individual case selected from region where training is conducted.	Slides	
<b>Module 4: How to translate CSP into action?</b> Total time: 140 min.						

Duration	Topic	Main Goal of session	Method/Elements	Contents for presentations / Design and key questions for exercises	Materials	Comments / Function of the session
20 min.	Introductory lecture I: Essentials of implementation	Provide knowledge on key strategies for implementation: Priority setting and project development / tendering.	Presentation with ppt.	Drivers and key players for the sanitation sector in the cities. Priority setting and phasing. DPR development. CSP outputs and tendering of new projects.	Slides	
25 min.	Case work: Priority setting	Practically explore how priority setting can be conducted.	Group work in 2 sub-groups.	<b>Case construction:</b> Focus on home cities of participants Mayor wants to know, which actions as specified in the CSP should be implemented with priority. <b>Exercise:</b> Use the matrix with priority scoring criteria (see Annex). Rank the actions. Calculate a total ranking. If necessary add comments.	Pin-wall with prepared matrix	The exercise puts the trainees back into a more analytical perspective and helps to gain overview: What is more, what less important?
25 min.	Wrap-up priority setting		Structured debate in plenary	<b>Wrap-up questions:</b> Which are your findings in respect to priorities? Are there actions which can be implemented in packages? Do certain actions only make sense under certain conditions? Do you need more criteria for identifying priorities? Do you need more differentiation?		
20 min.	Introductory lecture II: Community involvement	Provide knowledge on stakeholders' interest and adequate approaches for participation.	Presentation with ppt.	Importance of community and stakeholder participation. Concepts and practical approaches for participation.	Slides	

Duration	Topic	Main Goal of session	Method/Elements	Contents for presentations / Design and key questions for exercises	Materials	Comments / Function of the session
40 min.	Continuum Walk	Understand the roles and interactions of stakeholders as well as their interests and expectations.	Interactive exercise	<p><b>Exercise:</b></p> <p>Pairs of 2 trainees are representing one of the following stakeholder groups: (I) Municipality; (ii) State government; (iii) Collectors office; (vi) Citizen NGO; (v) Chamber of Commerce; (vi) Environmental NGO; (vii) MoUD; (viii) Donor agency.</p> <p>Trainees reflect stakeholder group's expectations and find correct position in room: (A) Get transparent information; (B) get consulted; (C) collaborate; (D) co-decide based on tool outcome; (E) control implementation of decisions.</p> <p>Trainees have to justify their choice.</p> <p><b>Wrap-up questions:</b></p> <p>Which role do you strive for?</p> <p>Why do you want to be involved as chosen?</p> <p>Why is your role important in respect to establishing a good urban sanitation system?</p>	Prepared cards for participants (roles) and in training room.	The exercise is a condensed form of a role play and helps to practically explore the stakes of defined actors.
10 min.	Real case Community involvement	Exemplify teaching messages through real case.	Presentation with ppt.	Case of Alandur or individual case selected from region where training is conducted.	Slides	
<b>Module 5: Requirements for implementation of a CSP</b> Time: 100 min.						
30 min.	Introductory lecture.	Provide knowledge on key areas of implementation.	Presentation with ppt.	<p>Institutional requirements to successfully implement a CSP</p> <p>Organizational requirements to successfully implement a CSP.</p> <p>Managerial requirements to successfully implement a CSP.</p> <p>Data management, MIS and SLB.</p> <p>Financial requirements to successfully implement a CSP.</p> <p>Legislative requirements.</p>	Slides	

Duration	Topic	Main Goal of session	Method/Elements	Contents for presentations / Design and key questions for exercises	Materials	Comments / Function of the session
40 min.	Exercise: Challenges in home cities of trainees along categories (way forward)	Explore challenges of implementation in home cities of trainees and find ways to overcome them.	Case work in 2 sub-groups	<b>Case construction:</b> The trainees don't play a role in a fictitious city any more but reflect the real situation in their home city. <b>Exercise:</b> Compose the sub-groups along same home cities or comparable types of cities (large / small cities etc.). Trainees analyze the gaps in their city along the categories in the matrix (see Annex). They devise options to overcome gaps / challenges.	Pin-wall with prepared matrix	The exercise has an important function for transferring the training knowledge back to the concrete working situation of each trainee. The trainees reflect what is important to get the training lessons implemented in their cities.
20 min.	Wrap-up		Presentation by speakers of each sub-group and discussion in the plenary.	Each sub-group presents the main findings in the plenary		
10 min.	Real case Implementation challenges	Exemplify teaching messages through real case.	Presentation with ppt.	Case of xy or individual case selected from region where training is conducted.	Slides	
<b>Module 6: How to make a CSP a living document?</b> Time: 90 min.						
10 min.	1 – 2 – 3 – Clap	Reflection on teaching method	Action Learning	Action is stronger than words		Game has a strong energizing component and can be performed after a break.
10 min.	Introductory lecture	Understand needs and approaches for regular CSP revision.	Presentation with ppt-	Rationale (planning cycle) and time-frame for CSP revision. Scope for regular revision in the context of urban planning and development, climate change and other new requirements. Monitoring options (SLB and City Sanitation Ranking).	Slides	Existing slides rather short. Include also planning cycle, monitoring (partly from previous Modules).

Duration	Topic	Main Goal of session	Method/Elements	Contents for presentations / Design and key questions for exercises	Materials	Comments / Function of the session
35 min.	Case work: Needs for up-dating CSP	Practically explore drivers for regular up-dating.	Case work in 2 sub-groups	<p><b>Case construction:</b> As in Modules M.4 and M.5. Your Mayor wants to know, whether and how frequently CSP should be revised.</p> <p><b>Exercise:</b> Use the matrix with various sectors of city development (see Annex). Specify for your city which changes can be expected in these sectors and how far they require adjustments of the CSP. Estimate the timeframes for revisions.</p>	Pin-wall with prepared matrix	The exercise will put the trainees again in the mood to analyze from the distance certain aspects: In this case the needs to revise the CSP.
35 min.	Wrap-up		Structured debate in plenary	<p><b>Wrap-up questions</b> Which needs for CSP revision did you identify? How far do they depend on the city situation? Which changes can easily be accommodated in CSP, which not? Why? What about finances required for adjustments? Do you expect sufficient data and information for adequate revisions?</p>		
<b>Transfer of training to day-to-day work and closure of training</b>						
90 min.	Peer-to-peer advice	Active application of knowledge gained to practical work cases of participants.	Action Learning	<p><b>Exercise:</b> Input: 1 or 2 volunteers (to be chosen and briefed previously) present a challenging case from their day to day work; Trainees ask questions to the participant to check if they understood the case completely Trainees deliberate on possible solutions Trainees provide advice based on what they have learned during the course to the case presenter. The case presenter finally gives a feed-back to the plenary on advice given and how far the advice helped him / her in solving problems.</p>	PPT on format of exercise Pin-walls for documenting the advice.	<p>The exercise has again an important function in transferring training knowledge back to real work situations. This is being done based on real challenges faced by the case providers.</p> <p>Slides are existing which specify the time-slots for the steps of the exercise.</p>

Duration	Topic	Main Goal of session	Method/Elements	Contents for presentations / Design and key questions for exercises	Materials	Comments / Function of the session
15 min.	Letter to myself	Transfer of teaching messages to day-to-day work	Action learning	Address the envelop to you Write on the paper 3 key conclusions / proposals you would like to take home into your day-to-day work The organizer will sent you this letter in one month's time.	Envelopes Sheets of A4 paper for each part.	
15 min.	Training evaluation	Feed-back by trainees on key aspects of training performance.	Smilies evaluation	Ranking of the training along the following criteria: Contents Method Relevance for my work Moderation Venue / organization	Pin-wall Smily points	
15 min.	Closure	Formal closure	Short statement of organizer	Main conclusions after the training Forwarding of certificates to trainees.	Certificates	





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