Capacity Building Strategy

Andhra Pradesh Rural Water Supply Sector Reforms Pilot Projects

An Assessment Report

For Water and Sanitation Program - South Asia

World Bank

August 2000

Consultants:

Rakesh Sharma
Nisheeth Kumar

Centre for Development Studies
UP Academy of Administration
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EXECUTIVE SUMMARY

i The Water and Sanitation Program- South Asia (WSP-SA) are supporting the Government of Andhra Pradesh (GOAP) in its reform efforts in the water and sanitation sector, initiated as per the revised guidelines of GOI (December, 1999), primarily through institutional development and capacity-building.

ii Sector reforms seek to being about sustainable improvements in the rural water supply and sanitation services through appropriate policy shifts, institutional arrangements and capacity-building on the lines of a demand-responsive approach. Capital cost sharing, total responsibility for operation and maintenance by people and their involvement in decision-making at each stage of the project are key features of proposed sector reforms. Health, hygiene promotion, water and sanitation are viewed and addressed as an integrated issue. The ultimate objective of sector reforms is sustainable health and hygiene benefits to the rural people through improvement in water and sanitation services.

iii As per the existing institutional set-up, Panchayati Raj Engineering Department (PRED), Govt. of Andhra Pradesh is the agency responsible for construction and maintenance of water supply services in the state. The PRED works mainly through engineers in a centralized supply-driven mode, with people having no ' voice or choice' in the matter.

iv The alternative institutional arrangement being put in place for implementation of sector reforms has a registered society called District Water and Sanitation Committee at the pilot project district level for day-to-day project management and monitoring. The actual planning and implementation of the village schemes and their eventual operation and maintenance is supposed to be carried out by the Village Water and Sanitation Committee (VWSC) under the assistance and guidance of support organisations (SOs)

v At the state level, State Water And Sanitation Mission (SWSM) and State Project Support Unit (SPSU) are responsible for overall guidance, support, networking and co-ordination.

vi The suggested training plan is proposed to be used as a draft plan to be vetted and suitably modified in view of local needs and conditions with the active involvement of all the stakeholders. The revised plan should be owned by SPSU and APARD for implementation. On the lines of cascade planning, the training plan proposes to start training activities at the state level, to gradually cover all the pilot project districts, to eventually culminate in the village level training for VWSC and community members.

vii The suggested training plan is based on the implicit strategy of local capacity development by creating a critical mass of trainers within the state. Important initial activities include development of a training strategy and a training action plan.

viii Capacity building of APARD and reorganisation of HRD Cell, PRED, within APARD, needs to be taken up immediately. Creating an alternative organisational set-up, may be in the form of a registered society, and inclusion of software professionals such as community development specialist and gender issues specialist could be extremely useful in ensuring efficiency and effectiveness of capacity building efforts.

ix The monitoring plan has to be worked out with the help of all the stakeholders to include monitoring indicators, methods, activities and the related responsibility matrix. The actual monitoring on the ground should be used as an essential input into strategic decision making to enhance the quality of project performance.

Summary of Recommendations

i. Finalise the criteria for village selection, process of VWSC formation, principles of capital cost sharing, number and nature of community action plans, monitoring indicators and methods.

ii. Work out a sound strategy for institutional development and capacity building including training strategy through active consultation with all the stakeholders.

iii. Have a training plan drawn up and finalised with the help of all the stakeholders.

iv. Prepare a monitoring plan with the active assistance of all the stakeholders.

v. Identify and engage the training consultants for organizing crucial initial events (CIE) for launching capacity building activities under sector reforms pilot projects

vi. Prepare a data bank of training professionals specializing in participatory approaches and methods, available within the state.

vii. Reorganize and strengthen the HRD Cell, PR & RD department, APARD by engaging required software professionals

viii. Register a society within APARD and locate the HRD cell within the new registered autonomous society. It could be named as Centre for Participation and Development (CPD) or any other suitable name could be given after internal consultation.

ix. Organise training of trainers (TOT) in the first two months of the planning phase.

x. Start direct training of project functionaries soon after the completion of TOT and before VWSC formation.

FOREWORD

The new generation reforms and projects in the rural water supply and environmental sanitation sector presuppose a number of critical interventions such as policy shifts, institutional development and capacity building. Institutional development and capacity-building are crucial in determining the efficacy and eventual success of sector reforms, a fact duly recognized and stressed in reforms initiatives launched by GOI, through Rajiv Gandhi National Drinking Water Mission, in 58 districts across different states in India on a pilot basis.

The pilot projects for implementation of sector reforms in Andhra Pradesh are proposed to be launched in the four districts of Chitoor, Nalgonda, Prakaham and Khammam. Water and Sanitation Program- South Asia are assisting the Government of Andhra Pradesh by providing technical assistance for institutional development and capacity building. The services of the consultants were hired for making a preliminary assessment of the existing institutional capacity in the state and the related capacity building requirements.

It was, indeed, a pleasure to work on the assignment. However, as the institutional arrangements are complex systems defying easy comprehension, a rapid assessment was extremely challenging. A special care, therefore, was taken in collecting facts and information, so as to avoid errors of judgement and generalization.

It is hoped that this report would be of some practical help in planning and designing capacity building activities for Sector Reforms Pilot Projects in Andhra Pradesh.

ACKNOWLEDGEMENTS

The consultants would like to convey their thanks first to WSP-SA for offering them the opportunity to make this assessment study. A quick preliminary assessment of Andhra's institutional capacity to implement reforms in the water and sanitation sector and the related capacity-building requirements was, indeed, challenging. This obviously required a wide range of information to be collected in a very short time (in 2-3 days to be precise) due to the very nature of assignment.

The consultants are particularly grateful to Mr. S.P. Takkar, Commissioner, Rural Development, Government of Andhra Pradesh, for sparing a lot of his time in sharing information and insights into the state institutions and their functioning with the consultants.

Others who deserve special mention for their valuable contribution are Principal Secretary, PR&RD, GOAP, Mr. S. Ray, former engineer-in-chief, Panchayati Raj Engineering Department, Mr. Venkteshwarlu, Director APARD, Mr. N.K. Narsimha Rao, Dy. Director HRD Cell, APARD, Ms. K. Padmja, and IEC specialist, HRD Cell Mr. Girija Shankar.

The consultants owe a special gratitude to Mr. Mike Webster, the Task Manager from WSP-SA, for his valuable comments which have been immensely helpful in giving a final shape to the document.

ABBREVIATIONS AND ACRONYMS

AP	Andhra Pradesh
APARD	Andhra Pradesh Academy of Rural Development
APRLP	Andhra Pradesh Rural Livelihoods Project
ARWSP	Accelerated Rural Water Supply Programme
CAP	Community Action Planning
	Community Action Plan
CIE	Crucial Initial Events
CWSS	Chitoor Water And Sanitation Society
DCBC	District Capacity Building Centre
DFID	Department for International Development
DWSS	District Water and Sanitation Society
GOAP	Government of Andhra Pradesh
GOI	Government of India
HRD	Human Resource Development
HT	Hardware Training
HTP	Hardware Training Programme
IEC	Information, Education and Communication
PIP	Project Implementation Plan
PLA	Participatory Learning and Action
PMU	Project Management Unit
PRA	Participatory Rural Appraisal
PRED	Panchayati Raj Engineering Department
PR & RD	Panchayati Raj and Rural Development
RWS	Rural Water Supply
RWSS	Rural Water Supply and Sanitation
SARAR	Self-esteem, Associative Strength, Resourcefulness, Action Planning and Responsibility
SO	Support Organisation
SAC	State Advisory Council

SPSU	State Project Support Unit
ST	Software Training
STP	Software Training Programme
SWSM	State Water and Sanitation Mission
TOT	Training of Trainers
VWSC	Village Water and Sanitation Committee
WSP-SA	Water and Sanitation Program- South Asia

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Capacity Building required in Andhra Pradesh RWS Pilot Projects.

1. Background:

1.1 The Water & Sanitation Programme- South Asia (WSP-SA) are supporting the Govt. of Andhra Pradesh (GOAP) in its initiatives for implementation of reforms in the water and sanitation sector, as per the revised guidelines of Government of India (GOI). The GOI, through Rajiv Gandhi National Drinking Water Mission, have set aside 20% of its ARWSP funds for the sector reforms on a pilot basis in 58 districts in different states in the country, including four districts (Chitoor, Nalgonda, Prakasham, Khammam) in Andhra Pradesh. WSP- SA support to reforms efforts at the state level is mainly in the form of technical assistance in putting up an appropriate institutional arrangement for project management and monitoring and capacity- building of APARD.

1.2 The Government of Andhra Pradesh has issued government orders for setting up State Advisory Council, State Water and Sanitation Mission and District Water & Sanitation Missions. WSP-SA are helping the government set up a project support unit under Principal Secretary, Panchayati Raj & Rural Development for facilitation of project management through guidance, networking and co-ordination at the macro level.

1.3 The WSP-SA contracted the services of Rakesh Sharma and Nisheeth Kumar of CDS, UPAA, Nainital to carry out the needs assessment of APARD and work out the related capacity-building plan including training plan and monitoring plan for implementation of sector reforms in Andhra Pradesh.

The **objectives**, as spelt out in the terms of reference, are as follows:

1. Develop a training plan for all training needed on the project (this must include types of training modules needed by District Water and Sanitation Societies, Support Organizations, Village Water and Sanitation Committee, Training of Trainer needs, where this training can be done, by whom, cost, resources)

2. Needs assessment of APARD to meet these training needs;

3. Capacity building plan for APARD to fulfil these training requirements

4. Monitoring plan for an outside agency to monitor the performance of APARD

2. Introduction:

2.1 Sector reforms seek to bring about sustainable improvements in the water and sanitation sector through suitable policy shifts, institutional arrangements and capacity-building, based on a demand-responsive approach.

2.2 The policy shift has two basic features. One is a shift from a supply-driven to a demand-responsive approach. And the other is the focus on health, hygiene promotion, water and sanitation as a single integrated issue. Both require suitable structural changes and appropriate capacity-building interventions.

2.2.1 Key sector reform principles, as embodied in the "demand-responsive approach", are:

a) increasing the role of communities in the planning and management of their own facilities;
b) changing the role of government from provider to facilitator; and
c) increasing cost recovery from users, in particular, users paying all operation and maintenance costs and a portion of the capital cost of supply.

2.2.2 One of the key reform objectives (representing the second policy shift) is to ensure sustainable health and hygiene benefits to the rural people through improved rural water supply systems and environmental sanitation services. This objective underlines health as the ultimate end of improvements in water and sanitation services. This would require appropriate institutional arrangement to be put in place, as the existing arrangement with its sectoral approach is not particularly conducive to addressing it as intended..

2.2.2.1 The government works through departments built around a sectoral approach. In many states, including Andhra Pradesh, rural water supply and sanitation, hygiene and health are dealt with by different departments, with their own departmental budgets and agenda, working in almost total isolation of each other with no formal arrangement for any lateral communication or interaction. Hence it is extremely difficult to address them as one integrated issue in the current governmental set-up.

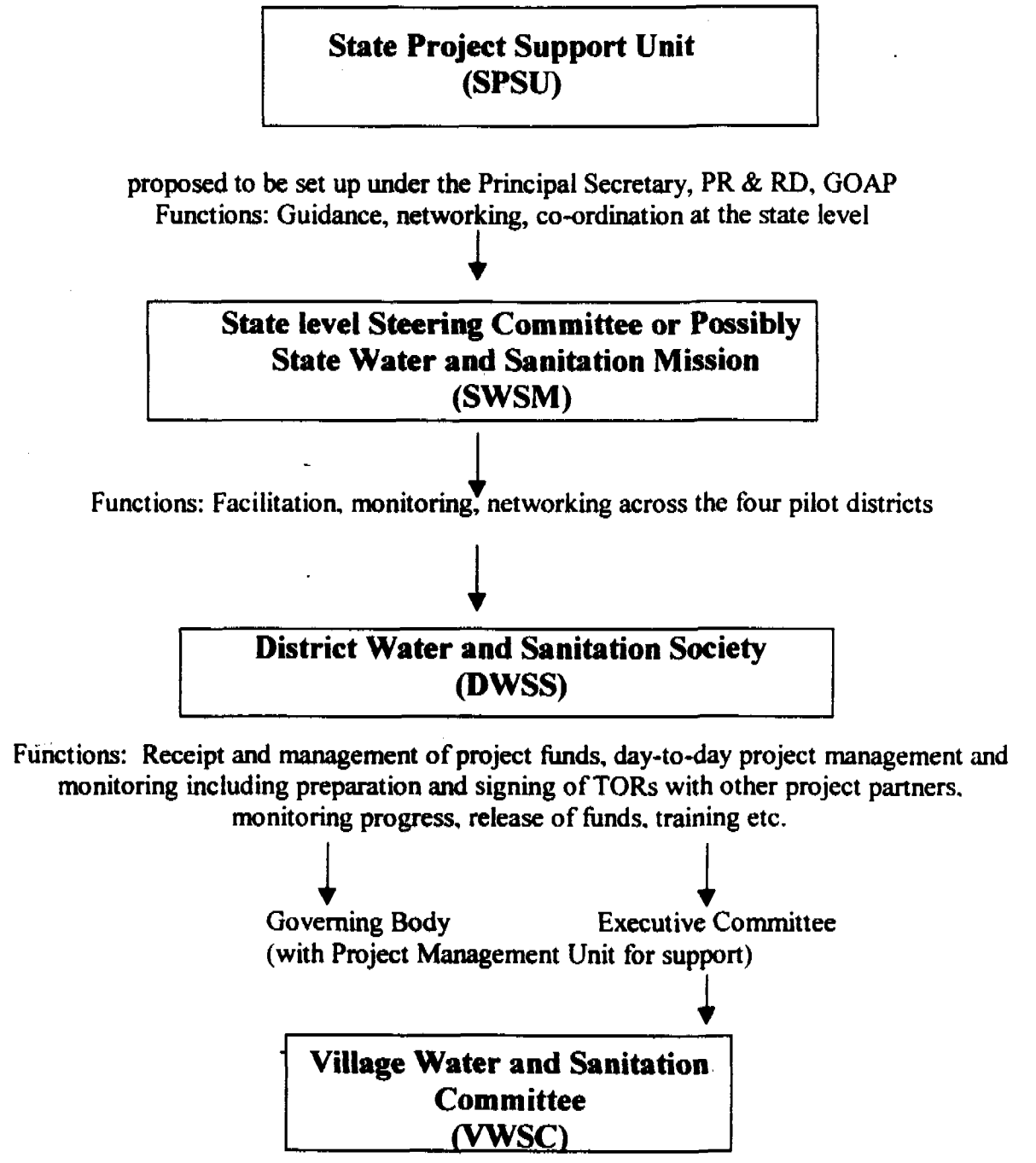
2.2.2.2 There are two possible alternative options to address them as one integrated issue. One is to create a working group/committee having representatives from all the concerned departments and making it responsible for planning, designing and monitoring. However, it might not be a very reliable proposition as the actual work would again be carried out by different departments not designed and oriented to appreciate the crucial linkages of health, water and sanitation as envisaged in the reform objective. The other option is to create an alternative organisational set-up, preferably a registered society, for actual project management and monitoring.

2.2.2.3 This is the arrangement (**Table-1 Institutional Arrangement**) being followed by GOAP for sector reforms pilot projects. However, the efficacy of this arrangement would lie in the society being functionally autonomous comprising of the best available professionals both from govt. and outside as

unit co-ordinators of the identified key functional units such as operations, HRD and community empowerment, technical, finance, monitoring and evaluation, MIS etc.

Table 1:

Institutional Arrangement being put in place for implementation of sector reforms in Rural Water Supply (RWS) sector in Andhra Pradesh



2.2.2.4 By doing this one could bring quality professionals from different critical areas and put them together to work as a team. This approach has worked very well in the Swajal experiment and experience in Uttar Pradesh and many other new generation demand-responsive projects internationally.

2.2.2.5 However, one argument against this kind of an alternative organisational arrangement is that it has to be necessarily outside the existing mainstream sectoral set-up. And, hence, it would be automatically contrary to the very spirit of sector reforms, because sector reforms must seek to introduce desired changes in the existing sectoral set-up and its functioning.

2.2.2.6 But another argument is that it offers an ingenious way of demonstrating the efficacy of an alternative approach such as that of a demand-responsive approach as against the conventional supply-driven approach characteristic of government functioning. In other words, a successful pilot experiment could be a powerful means of persuading the mainstream sectoral government department (PRED in the case of AP) to make a shift to the more effective approach for better results. This probably is the underlying logic of the sector reforms being introduced as a pilot initiative, to begin with.

2.2.2.7 Hence the most critical issue that needs to be addressed as a primary precondition of sectoral reforms is not only to work out a suitable institutional arrangement and put it in place, but also to make it truly effective through desired capacity-building.

2.3 Capacity Building

2.3.1 An essential pre-requisite for carrying out the desired capacity-building is to develop and strengthen a suitable capacity-building agency at the state level and a network of capable units and individuals at the district, sub-district and village levels. Andhra Pradesh Academy of Rural Development (APARD) has already been identified as the apex capacity-building agency for sector reforms at the state level. Assessment of capacity-building needs and designing and executing appropriate interventions, particularly training and orientation activities,would be the next most important step in this regard.

2.3.2 A series of workshops and seminars could be of immense use in designing **strategy** and action plans both for institutional development and capacity-building, to begin with (these are detailed later in the report-see 5.11)

2.3.2.1 It would be worthwhile to quickly organise a strategy workshop at the state level to arrive at a sound strategy for strengthening the institutional arrangement in place for implementation of sector reforms. The agenda should also include defining the roles and responsibilities of various categories of project functionaries, processes of communication and sharing information, modes of learning lessons and the manner of their application in project work etc.

2.3.3 In order to make the institutional arrangement function efficiently and effectively, the functionaries in the new set-up need to be trained /re-trained and re-oriented to work in a participatory, demand-responsive fashion. The common purpose of all training and orientation activities has to be to generate necessary knowledge and skills for effective and sustainable community-based participatory interventions in the water and sanitation sector based on principles of capital cost-sharing by the user community and the total responsibility of operation and maintenance by them.

2.3.4 However, this in itself is not enough. Increased awareness of the crucial linkages between water, sanitation, health and hygiene practices leading to perceptible changes in the behaviour of people related to personal and domestic hygiene and environmental sanitation is another important reform objective. This would obviously call for enhanced co-ordination amongst various actors and agencies engaged in sector reforms pilot projects, supported by suitable capacity-building interventions.

2.3.5 Capacity-building would be the key to the success of the proposed reforms. Training, as an exercise in capacity-building, is of crucial importance in ensuring the efficiency and effectiveness of the sector reforms. Reform is essentially an attempt to bring about positive changes in the existing order of things, in a concerted fashion, for producing the desired results. However, realisation of the desired outcomes would be determined both by the appropriateness and efficacy of the institutional arrangement put in place for the purpose on the one hand and the nature and quality of capacity-building of project functionaries on the other.

2.3.5.1 Training is a planned intervention for organised learning, aimed at ensuring desired performance standards resulting in the achievement of desired objectives. A training intervention seeks to build the capacities of the target functionaries through constant up-gradation of their knowledge, skills and attitude to achieve desired objectives. However, training alone is not enough. Even a highly successful training effort would be of no practical consequence, if an enabling institutional environment is not there to appreciate and promote the application of newly acquired knowledge and skills for better results.

2.3.5.2 The real results of training show through only in the actual work behaviour of functionaries which takes place within a particular organisational context and culture. Hence a truly judicious and meaningful training intervention has to necessarily take into account the organisational factors such as

- administrative and financial procedures,
- personnel and financial management
- channels of reporting and communication
- work ethos and culture

that could be critical in determining the eventual work behaviour of people.

2.3.5.3 The first step in designing an effective training intervention is to identify critical training and non-training factors likely to have an impact on the way people are eventually going to perform. A careful and critical analysis of these factors would offer valuable insights in deciding the important initial steps to be taken. Hence a needs assessment workshop would be of crucial importance, to begin with.

2.3.5.4 Some of the critical non-training issues to be addressed at the very outset are criteria of village selection, process of VWSC formation, nature and number of community action plans, monitoring indicators and methods etc. They must be finalized as quickly as possible

3. Methodology:

The methodology used for carrying out the assignment included-

- In-depth interviews
- Focus group discussion
- Study of all relevant documents and govt. orders including the papers and reports related to training programmes being currently organized by APARD
- Participant observation

4. Training Context:

4.1 In Andhra Pradesh, the Panchayati Raj Engineering Department (Orgonagram: Table-2, staffed mainly with engineers) is the agency responsible for construction and maintenance of rural water supply schemes. The Department does have a practice of hiring the services of an IEC consultant within the HRD unit of the Department at the state level. However, there is no involvement of any professional other than the departmental engineers in planning, designing and putting in place RWS schemes. Though there are many good NGOs working in RWS & S sector in various districts in the state, there is no formal interaction between these and the department.

4.2 The discussion with the former engineer-in-chief of the department Mr. Venkateshwarlu indicated that there have been some attempts in the past to involve the people by sharing information with them and appreciating and allowing innovative improvisations by them at the local level. However, there has been no systematic people's involvement in decision-making at planning, design and implementation stages.

4.3 Andhra Pradesh Academy of Rural Development (APARD) is the apex training institute for rural development including water supply and sanitation services in the rural areas in the state. The HRD wing of Panchayati Raj Engineering Department has now been shifted to and located in APARD

recently. However, all the seven members of the unit are engineers specializing in various aspects of rural water supply engineering such as design and water quality monitoring and surveillance. There is nobody specializing in community mobilisation and development or/ and participatory tools and techniques such as PRA, PLA and SARAR.

4.4 **Hence, the most important need is to strengthen the HRD Cell in APARD by reorganizing and training its professionals in participatory approaches and methods particularly with reference to water and sanitation sector.** The second step would be to create a critical mass of trainers at the level of project districts to train the project functionaries, mainly community and VWSC members in community action planning and monitoring and community empowerment strategies. However, before proceeding, one must carry out some preparatory activities crucial to the efficiency and effectiveness of proposed training. (List on 5.10)

5. Training Plan:

5.1 In order to work out a truly useful and effective training plan, one must have a training strategy. And the training strategy has to be obviously in line with the overall reforms objectives, approach and strategy. Hence, a workshop for arriving at a sound strategy based on active consultation with all the stakeholders would have been desirable, before drawing up the actual plan. However, the consultants, based on their experiences of the Swajal Project in UP, have worked out a tentative training plan.

5.2 The limitation of suggested training plan is that it is based on assumptions (drawn elsewhere) and not facts about the entry-behaviour of the participants. The actual content, methodology, material and mode of delivery can be finalised only after having a clear profile of the participants in terms of their existing levels of knowledge, skills and attitude patterns.

5.3 A participatory approach logically presupposes that all the stakeholders would actively take part in drawing up the required plan, which they can call their own and are willing to work according to it. Hence the plan being suggested by the consultants can at best serve as a draft plan to be vetted and modified by all the stakeholders so as to create a sense of ownership and commitment amongst them, before the actual implementation is carried out

5.4 **The revision of the suggested plan has to be carried out in the light of local needs and conditions through a strategy-cum-planning workshop specially organised for the purpose,** as the necessary first step in launching proposed capacity-building activities for sector reforms pilot projects, in Andhra Pradesh.

5.5 The proposed training plan is on the lines of cascade planning starting from the training and orientation at the top (i.e. at the state level.) to increasingly widen its scope to cover middle-level functionaries (at the district and block levels) to eventually cover all the village level functionaries including VWSC members representing the culmination of the cascade. This is done to ensure

the continuity and consistency in learning and action at all levels, leaving no gaps in knowledge and understanding in-between. This would help various categories of project functionaries working at various levels appreciate each other's concerns, constraints and view-points better, provide desired support and guidance, complement each other's work and work out timely and effective solutions to problems, as and when required.

5.6 **This training plan is based on the implicit strategy of building local (i.e. within the state) capacity by creating a critical mass of trainers at APARD and at the pilot project district level,** may be at the DCBCs being created by GOAP and strengthened under Andhra Pradesh Rural Livelihoods Programme (APRLP), with DFID support.

5.7 To begin with, all the project functionaries need to be thoroughly briefed and oriented about the key reform features such as objectives, approach, strategy, scheme cycle etc.

5.8 **The nature and number of community action plans (CAPs) , that need to be prepared by the community as the end outcome of the planning phase, have to be clearly spelt out.The consultants have reasons to believe that 3 CAPs instead of 9 CAPs would be a more efficient proposition.**

5.8.1 It might be worthwhile to mention that in the course of organising capacity-building activities for the Swajal Project in UP, it was found that even the trained community facilitators, at times, failed to name all the 9 CAPs supposed to be prepared by the community. As a result, in some cases, some of the CAPs, were either not made at all or practically made by the SO facilitators and not by the community. This certainly meant dilution and at times, even distortion of the very essence of community action planning central to a truly community-based intervention.

5.8.2 As planning would be an unfamiliar exercise for the community members to begin with, a lesser number of CAPs would help them focus better on key areas of planning.

5.8.2.1 The three key areas for CAPs could be-

(1) **Community empowerment CAP** including-
- formation of SHG and women development initiatives
- hygiene and environmental sanitation awareness
- functional literacy

(2) **Technical CAP** including-
- water schemes lay-out plan
- drainage and latrine plan
- village environmental action plan

(3) **Management CAP** including-
- cash and labour contribution
- monitoring and evaluation
- operation and maintenance

5.9 One of the common constraints in planning and executing training activities is their overlapping with other project activities as per the scheme cycle. As training must be organised at the beginning of each fresh scheme cycle, the action plan as per the scheme cycle must be clearly worked out and be available before planning training activities so as to avoid any lag between learning and its application in the actual project work. For example, learning about the use of SARAR tools and methods for creative investigation of problems by the community members (covered during CAP training) must precede before it is actually carried out at the village level by the facilitators.

5.10 Important Initial Activities

The list of initial activities to be carried out and completed as necessary inputs into training plan are as following

List of important initial activities

Sl.No	Activity	Responsibility
1.	Prepare a list of all the functionaries (at State, District, Mandal and Village Level) in place for RWSS sector reform pilot projects in Andhra Pradesh	State Project Support Unit
2.	Prepare a brief profile (educational background, work experience, professional skills etc.) of all the functionaries.	State Project Support Unit.
3.	Prepare a list of actual and potential trainers indicating their area of interests and expertise.	APARD
4.	Reorganizing the HRD centre, Panchayati Raj Engineering Department at APARD to include the following specialists: 1. Community Development Specialist well-versed in participatory approaches/methods such as PRA/PLA/SARAR 2. Specialist in Gender Issues, particularly women development initiatives. 3. Health and hygiene specialist. 4. Environmental specialist	State Project Support Unit, APARD
5.	PMU planning-development of scheme cycle and responsibility matrix	State Project Support Unit and CWSS supported by WSP/SA
6.	Develop Project Implementation Plans for each district.	WSP-SA to hire consultant to write PIP for Chittoor in early September

5.11 Types of Training Events

The three types of training events proposed to be organized are as follows:

- Crucial Initial Events (CIE)
- Software Training Programme (STP)
- Hardware Training Programme (HTP)

The related detailed training plans are on the following three pages:

5.12 Training Agency

As APARD needs to be suitably re-oriented and strengthened before it can actually shoulder the responsibility of required training entirely on its own, the activities as per the training plan (5.13), or as per its modified version at a later stage, would certainly require an identified external agency, particularly for the first four activities, which, in turn, would be able to support APARD by observing and hand-holding to begin with. As no agency specialising in participatory training in the water and sanitation sector could be identified within the state, a suitable agency needs to be identified and approached from outside the state or alternatively, a potentially capable agency or set of professionals from within the state could be engaged and strengthened for the purpose.

However, the preliminary assessment indicates that the second alternative might be extremely cumbersome and time-taking, delaying the initial reform activities at the very outset. Hence, identifying and engaging a suitable external agency for the purpose would be more efficient in terms of launching the capacity-building activities in time.

5.13 Training Plan

The three training plans (1 to 3) to organise the three types of training events mentioned above at 5.11 are available on the following pages. These plans are based on a rapid assessment of capacity building needs of project functionaries. However, the needs have to be clearly identified through an active interaction with various categories of functionaries yet to be fully in place.

CRUCIAL INITIAL EVENTS (CIE): TRAINING PLAN-1

Sl.no	Types of Training	Duration	For Whom	By whom	Cost*	Resources
1.	Training Strategy-cum-Planning Workshop Outline of the Workshop: Attachment-1	3 days	All HRD managers from SPSU, DWSS and APARD alongwith selected training professionals.	Training Consultants	Rs. 3,60,000.00 @ Rs. 3000 per participant per day for 40 participants for 3 days	Material and institutional support of WSP-SA, SPSU, DWSS, APARD etc.
2.	Training Needs Assessment Workshop. Outline of the Workshop: Attachment-2	4 days	Key functionaries of SPSU, DWSS and APARD alongwith selected training professionals.	Training Consultants	Rs. 4,80,000.00 @ Rs. 3000 per participant per day for 40 participants for 4 days	Material and institutional support of WSP-SA, SPSU, DWSS, APARD etc
3.	A Training of Trainers (ToT) Workshop on Community Action Planning (CAP) & Monitoring Outline of the training curriculum: Attachment-3	15 days	Identified potential and actual trainers and training managers from DWSS, SOs and APARD	Training Consultants	Rs. 13,50000.00 @ Rs. 3000 per participant per day for 30 participants for 15 days	Material and institutional support of WSP-SA, SPSU, DWSS, APARD etc
4.	A Training of Trainers (ToT) Workshop on Community Empowerment(CE) Training Outline of the training curriculum: Attachment-4	10 days	Identified potential and actual trainers and training managers from DWSS, SOs and APARD	Training Consultants	Rs. 9,00,000.00 @ Rs. 3000 per participant per day for 30 participants for 10 days	Material and institutional support of WSP-SA, SPSU, DWSS, APARD etc
Total					Rs. 3090000	

* The indicated cost includes the estimated cost generally required by the training consultants towards trainers' travel, stay, transport, communication, background material, training aids etc.
This does not include the expenses towards the venue of the events, boarding and lodging of the participants their TA & DA etc. This should be approximately Rs. 2000 per participant per day.

SOFTWARE TRAINING: TRAINING PLAN-2

Sl.no	Types of Training	Duration	For Whom	By whom	Cost	Resource
1.	CAP Training Workshop	12 days	All the project functionaries at state and district level.	ARARD	Rs. 1500 per participant per day	Material and institutional support of SPSU and DWSS
2.	CE Training Workshop	8 days	All the project functionaries working with DWSS and SOS, including all the village level functionaries.	ARARD	1500 per participant per day	Material and institutional support of SPSU and DWSS
3.	VWSC Training	12 days	VWSC members of all the selected villages	ARARD	1500 per participant per day	Material and institutional support of SPSU and DWSS

Note: Details of training curriculum of all these programmes to be worked out on the basis of the outcomes of the four Crucial Initial Events (CIE) proposed in training plan-1.

HARDWARE TRIANING: TRAINING PLAN-3

Sl.no	Types of Training	Duration	For Whom	By whom	Cost	Resources
1.	Training of Trainers on Engineering survey, feasibility study and cost estimation	10 days	Hardware trainers from HRD cell, APARD, DWSS and SOs	Training Consultants	Rs. 1500 per participants per day for 30 participants	Material and institutional support of SPSU and DWSS
2.	Training of Trainers on Construction technology and supervision	10 days	Hardware trainers from HRD cell, APARD, DWSS and SOs	Training Consultants	Rs. 1500 per participants per day for 30 participants	Material and institutional support of SPSU and DWSS
3.	Training on engineering survey and design	7 days	Engineers from DWSS and SOs	APARD	Rs. 1500 per participants per day for 30 participants	Material and institutional support of SPSU and DWSS
4.	Training on feasibility study and cost estimation	7 days	Engineers from DWSS and SOs	APARD	Rs. 1500 per participants per day for 30 participants	Material and institutional support of SPSU and DWSS
5.	Training on construction technology and supervision	7 days	Engineers from DWSS, SOs, community technicians and selected VWSC members	APARD	Rs. 1500 per participants per day for 30 participants	Material and institutional support of SPSU and DWSS
6.	Training on Procurement and storage of construction material	3 days	Engineers from DWSS, SOs, community technicians and selected VWSC members	APARD	Rs. 1500 per participants per day for 30 participants	Material and institutional support of SPSU and DWSS

Note: Details of training curriculum of all these programmes to be worked out on the basis of the outcomes of the four Crucial Initial Events (CIE) proposed in training plan-1.

6 Needs assessment of and capacity-building for APARD:

6.1 The two objectives of ToR namely the need assessment of APARD and its capacity-building plan are being taken up together as they are mutually inclusive in many ways. The capacity-building plan would be mainly in the form of activities to be put in place to respond to the identified needs, both training and non-training.

6.1.2 APARD, given its current infrastructural status and training culture, is inadequate to address the training needs under sector reforms pilot projects effectively. The underlying needs and the related activities for the capacity-building of APARD are as follows:

6.2 Infrastructural Needs

- Modernised training rooms equipped with flexible seating arrangement amenable to group formation and creation of workstations of various sizes, OHP, In-focus, LCD Projectors, Pin-boards etc.
- Film and literature on PRA, PLA and SARAR including the SARAR training tool kit. developed by PMU Swajal at Lucknow

6.3 Institutional Requirement

- HRD cell at APARD be staffed with roughly equal number of software and hardware professionals.

Software professionals	Hardware professional
Community Development Specialist well-versed in participatory approaches/methods such as PRA/PLA/SARAR: 1	Technology option and Engineering design specialist: 2
Specialist in Gender Issues, particularly women development initiatives: 1	Water quality specialist: 1
Health and hygiene specialist: 1	Operation and maintenance specialist:1
Environmental specialist : 1	

6.4 Training Needs

- training of HRD unit staff in participatory training skills, training design and management of training, to begin with
- training of HRD unit staff in sector reforms objectives, approach and strategy, community action planning & monitoring and community empowerment strategies and activities.
- Orientation of HRD unit staff in community-based village level training for community mobilization and participation in decision-making.

6.5 Institutional Alternative

6.5.1 However, the consultants are of the view that the current set-up at APARD and its functioning might not be able to address these needs very effectively due to a number and variety of organisational constraints including the inability to hire good professionals from outside the government, lack of flexibility, lack of motivation etc.

6.5.2 Hence, it is suggested that it might be a good idea to get a society registered within the fold of APARD for taking up additional work related to various externally funded aided /projects such as APRLP and innovative initiatives such as sector-reforms pilot projects etc.

6.5.2.1 A society is registered under the Societies Registration Act. Technically, it is a non government organization enjoying the attendant freedom and flexibility in operation. A registered society is a functionally autonomous entity working through an executive committee supported and guided by a selected Board of Governors.

6.5.2.2 This alternative organisational arrangement would help APARD raise funds, pay higher wages, take independent decisions regarding recruitment of required professionals and greater flexibility in organising its activities without the usual bureaucratic hassles.

6.5.3. Principal Secretary, PR&RD Govt. of Andhra Pradesh and Director, APARD also appeared to be favourably inclined to the idea and shared that they had already initiated something on similar lines which required to be pursued and given a final shape.

6.5.4. This could be extremely helpful in introducing a dynamic and competitive work environment within APARD by attracting good training professionals of diverse background and experience and by making training a truly attractive career option both in terms of remuneration and opportunities

7. Monitoring Plan:

7.1 Monitoring is basically an exercise to make sure that things are happening the way they are planned and , if not so, to introduce required changes to set things right again for moving in the desired direction Monitoring, however, in actual practice, is often carried out as an exercise in some kind of a data-collection to assess the progress of a given project or programme. It is generally not linked to strategic decision-making within the project, as the two processes often work quite independently of each other. The real logic of monitoring lies in its inherent potential to enhance the efficiency and effectiveness of the intervention being monitored by suggesting suitable mid-course corrections including additional steps to be taken, based on an informed understanding of the ground realities.

7.2 In the context of a community-based participatory development intervention designed around a demand responsive approach and based on the principles of partnership and ownership, monitoring has to be necessarily participatory

ensuring the active involvement of all the stakeholders. The stakeholders should be actively involved not only in planning and designing of monitoring indicators and methods but also in carrying out actual monitoring on the ground. 'The three key considerations that are central to a monitoring exercise on a participatory project are as follows:

- Everything should reinforce the truth that each participant is a stakeholder.
- Information should be directed towards decisions.
- A variety of methods should be employed, since each is by itself imperfect.

(Ward Christopher, World Bank, 1992)

7.3 Monitoring plan of the training activities has to be drawn around these principles. APARD would be the most appropriate agency for taking up this task. However, as APARD has no prior experience of designing and conducting monitoring, it would require the technical assistance of hired training consultants.

7.4 A monitoring plan for the proposed training activities also needs to be drawn up in active consultation with all the stakeholders. A suggested tentative monitoring plan includes the following four things:

- Monitoring Indicators
- Monitoring methods
- Monitoring activities
- Monitoring responsibility

7.4.1 Monitoring Indicators

Process Indicators

- Training activities are organised as planned
- Training programmes are attended by all the targeted participants
- At-the-end-of-the-programme feedback/ evaluation indicates learning, willingness, and commitment on the part of the participants.
- Training observers find the trainers' performance up to the mark

Outcome Indicators

Trained project functionaries are able to do the following:

- help the community carry out creative investigation of their own problems.
- help the community form VWSC in time and as intended
- help the community choose appropriate technology option
- help the community make cost contribution towards the capital cost.
- help the community prepare community action plans (CAPs)

7.4.2 Monitoring Methods

Monitoring methods must be based on participatory tools and techniques such as:

- Community mapping, particularly social and resource mapping
- Healthy home survey
- Focus group discussion
- Participant observation

7.4.3 Monitoring Activities

Monitoring activities should/ would include:

- Collecting base-line data.
- Collecting information about current status of project villages and activities therein
- Constituting a monitoring team
- Preparing points of inquiry
- Preparing a checklist
- Carrying out actual monitoring in the field.
- Preparing monitoring reports

7.4.4 Monitoring Responsibility Matrix

Sl.no.	Activity	Responsibility
1.	Development of monitoring indicators (both process and output indicators)	SPSU, APARD and Training Consultant.
2.	Selection and designing of monitoring methods and tools	SPSU, APARD and Training Consultant.
3.	Actual monitoring	APARD, training consultant

8 Appendix

8.1 Terms of Reference

Consultancy : Capacity Building required in Andhra Pradesh RWS Pilot Projects
Consultants : Rakesh Sharma, Nisheeth Kumar, CDS, Nainital
Task Manager : Mike Webster
Date : 26 July, 2000

Background

The Water and Sanitation Program- South Asia are assisting the Government of Andhra Pradesh in implementing reforms in the rural water supply sector. The Government of India, through the Rajiv Gandhi National Drinking Water Mission have set aside 20% of the Accelerated Rural Water Supply Programme to pilot sector reforms in 58 districts across India. Key sector reform principles, as embodied in the "demand-responsive approach", are :

a) increasing the role of communities in the planning and management of their own facilities;
b) changing the role of government from provider to facilitators: and
c) increasing cost recovery from users, in particular, users paying all operation and maintenance costs and a portion of the capital cost of supply.

Funds have been sanctioned for four districts in Andhra Pradesh (Chittoor, Nalgonda, Prakasam and Kammam) under the sector reform pilot project.

In order to institutionalize sector reforms, capacity needs to be built in the districts and in the state. The project will support Andhra Pradesh Academy of Rural Development (APARD) in developing training modules for district and village level training. The following capacity building activities are envisaged to take place:

i) Development of a rural water supply cell within APARD that has the capacity to support all four sector reform projects in AP;
ii) Capacity building of district training institutions;
iii) Development of training strategies, curricula, training modules and development of facilities of undertake all project training;
iv) Awareness modules for CWSS, SOs and VWSCs;
v) Training of trainers modules for SOs.

Objectives

1. Development of training plan for all training needed on the project (this must include types of training modules needed by District Water and Sanitation Societies, Support Organizations, Village Water and Sanitation Committees; Training of Trainer needs, where this training can be done, by whom, cost, resources)
2. Needs assessment of APARD to meet these training needs;
3. Capacity building plan for APARD to fulfil these training requirements.
4. Monitoring plan for an outside agency to monitor the performance of APARD.

Appendix

Staff, Outputs and Timing

The consultancy should take 8 days including 3 days in Hyderbad, 2 days writing the plans and reports and 3 days travel between 7 August and 18 August. Final report should be submitted by 18 August to WSP-SA.

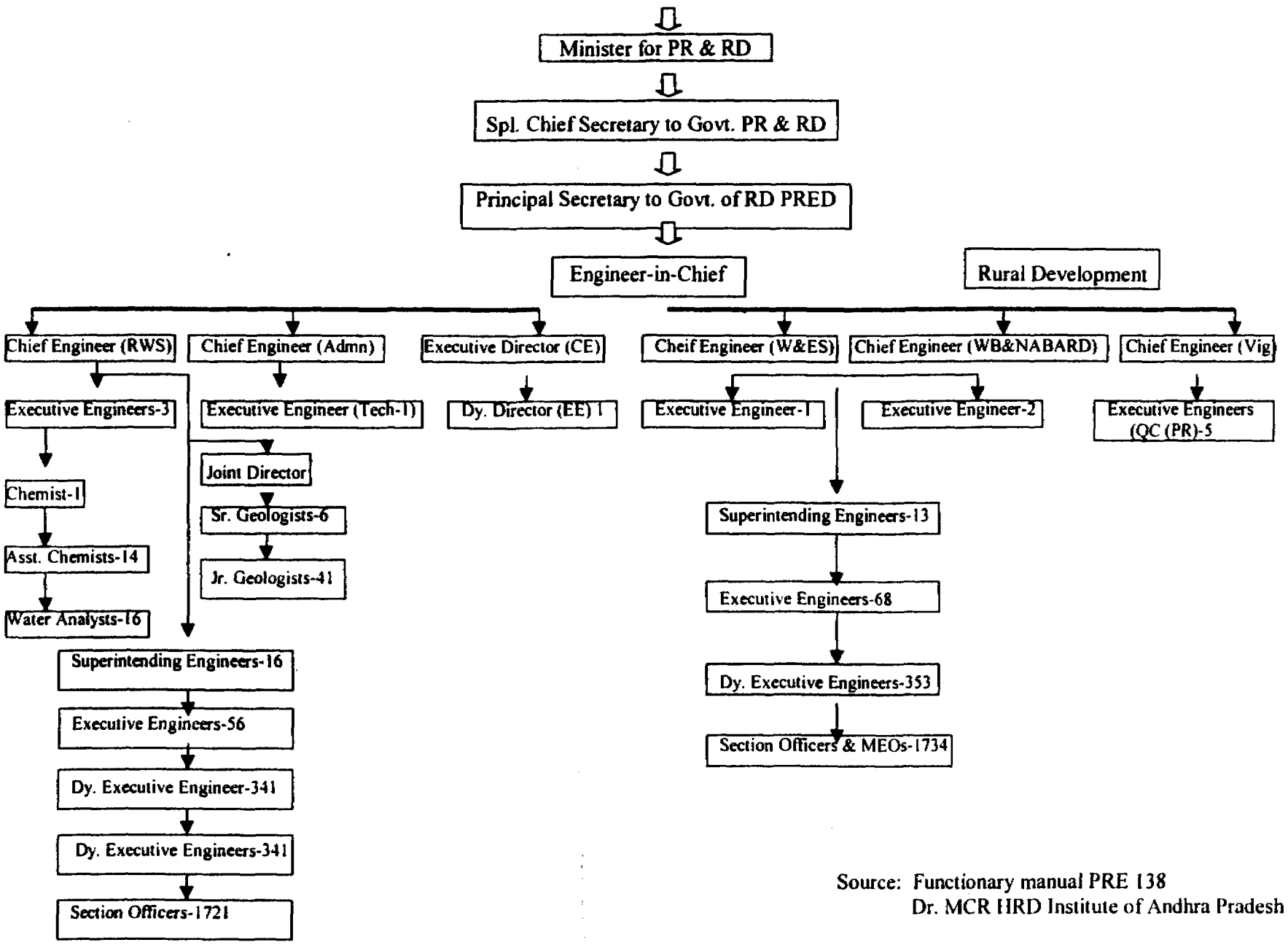
Qualification and Experience

The consultnacy will be carried out by members from a leading training institute suitable and qualified for the work.

Organogram

8.4.2

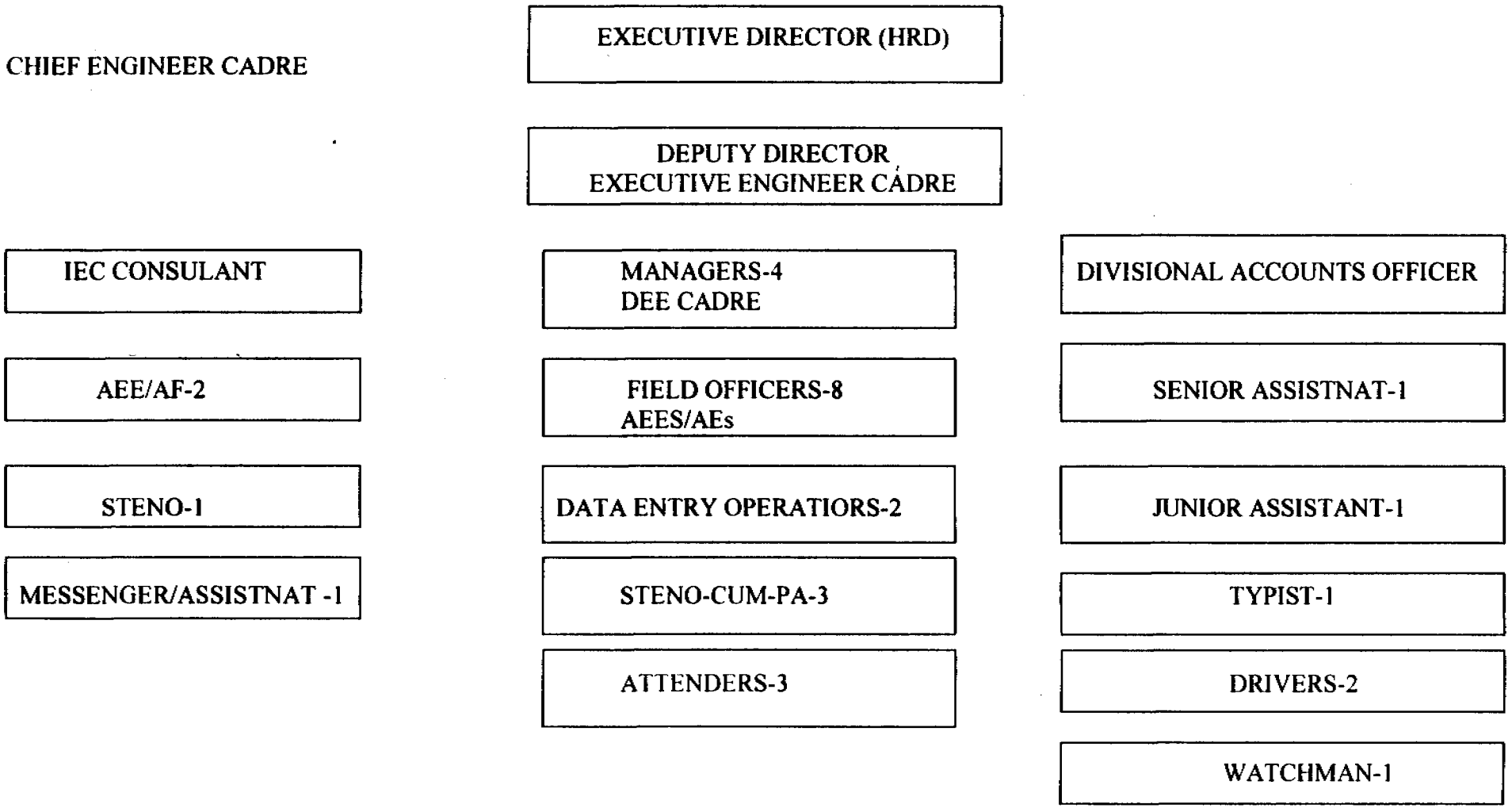
ORGANOGRAM OF PR & RD DEPARTMENT, GOVERNMENT OF A.P



Source: Functionary manual PRE 138
Dr. MCR HRD Institute of Andhra Pradesh

Workshop Outlines

8.4.3 ORGANISATIONAL SET-UP OF EXECUTIVE DIRECTOR (HRD)



8.4.1 Workshop Outline

Training Strategy-cum- Planning Workshop

Introduction:

The success of a training intervention is, to a very large extent, determined by the strategy on which it is based. However, working out a clear strategy before actually planning training activities is not a very common practice. This is responsible for a large number of irrelevant training events taking place, but not being able to produce the desired results. A training intervention makes sense only when it is informed with a sound understanding of the context in which it is made. Hence, the training strategy must seek to provide a logical direction to the training activities based on an informed understanding of the institutional context and ground realities.

Objectives

- To arrive at a sound strategy for
  - strengthening the institutional arrangement in place for implementation of sector reforms
  - capacity-building of project functionaries through appropriate training intervention
- To work out a detailed action plan to operationalize the strategy.

Participants:

All HRD managers and trainers from SPSU, DWSS, APARD, SOs (if selected) and other selected training professionals of eminence.

Resource Persons:

All the participants and the core team of the training consultants.

Facilitating Team:

Core team of the training consultant specially constituted for the purpose.

Timing:

To be organized as the first event in the series of planned training activities.

Duration: 3 days

Methodology:

Brainstorming, group exercise, discussion and presentations, open-house discussion based on a participatory approach.

Expected Outcome:

- A **strategy paper** spelling out the training strategy in terms of its underlying assumptions, the related facts, the logic of what is being proposed and the way one can go about to ensure desired outcomes.

- **A detailed training action plan** based on the chosen strategy.

8.4.2 Workshop Outline

Training Needs Assessment Workshop.

Introduction

The suitability of a training intervention stems form the quality of need assessment carried out before designing it. Training, in order to be truly effective, must target clearly identified learning needs of the participants, which from a trainer's point of view, are called training needs. The training needs must also be clearly spelt out in discrete categories of knowledge, skills and attitude requirements proposed to be addressed.

Objectives of the TNA Workshop

1. To assess the training needs.

   - of trainers form APARD, DWSS, DCBC, and SOs.
   - of project functionaries working with SPSU, SWSS, DWSS, SOs, VWSCs.

2. To develop outlines of modules for all the proposed programmes on the basis of identified training needs.

3. To finalize the list of documents and other training materials to be distributed to the participants during the CAP and Monitoring workshop.

4. To finalize the list of training materials for organizing the CAP and Monitoring workshop.

Participants:

Approximately 40 participants comprising of representatives from SPSU, SWSS, DWSS, APARD, selected SOs and selected training professionals of eminence.

Facilitating Team:

Core team of the training consultants specially constituted for the purpose.

Timing:

After the training strategy and the training action plan have been formulated and at least fifteen days before the start of the community action planning and monitoring.

Course Duration:

4 days

Methodology

Brainstorming, NGT, experience-sharing, group exercise, discussion and presentations, open-house discussion.

Expected Outcome:

- List of Identified training needs
- Rough outline of the proposed training programmes to address the identified training needs.
- List of critical non-training factors likely to influence training efforts and outcomes.

8.4.3 Workshop Outline

Training of Trainers on Participatory Community Action Planning (CAP) and Monitoring Workshop

Introduction:

During the Planning Phase SOs are required to guide, facilitate, and assist the community in developing planning, decision making and management skills and capabilities. It is also SOs responsibility to provide information and advise the community and VWSC in establishing the organizational structures and appropriate mechanisms for the water supply and environmental sanitation scheme and related activities within scheme communities.

The Training event orients those staff responsible for carrying out three major functions of the Planning Phase. It starts with:

Part 1: building a foundation of participatory skills for community action planning, monitoring and preparation of participatory CAPs

Part 2: Training of SO and DWSS staff as trainers (TOT) in organizing and training skills needed to form and strengthen VWSCs in their roles and responsibilities.

To further develop SO and DWSS staff capacities to carry out their TORs for the Planning Phase, the training consists of another step which:

Part 3: helps establish a framework for these skills for SOs and DWSS to understand their place in the Project framework and cycle, and structures activities for project participants to develop their own detailed work-plans for carrying out their SO TORs and related facilitating role for the Planning Phase.

Objectives

- To help the participants understand the meaning of demand-response approach and its implications for sector reforms pilot projects.
- To make participants understand the reforms project in terms of its approach, strategy, components, process, scheme cycle etc.
- To help them develop as effective community facilitators.
- To help the participants understand the concept of community ownership.
- To help the participants understand the outputs of the planning phase in terms of CAPs.
- To make the participants understand the process of VWSC formation and the related approach.

- To help the participants understand the crucial role of information sharing in ensuring community's continued participation and commitment.

- To make the participants Design Training Programmes for VWSC Training.

- To make the participants understand HESA/ WDI/ NFE as empowerment tools as well as activities of the planning phase.

- To make participants understand the importance of time factor (within 12months) in the planning phase.

- To enable the participants develop necessary skills to ensure total & active participation of the community for planning and implementation.

Participants:

30 per training programme

Target group:

Identified potential and actual trainers and training managers from DWSS, SO and APARD.

Timing:

These programmes should be held soon after signing of the contract for the Planning Phase.

Training Team:

The core team of APARD will conduct the training programme.

Duration: 15 days:

Methodology:

Training of Trainers (TOT) workshop Community Action Planning (CAP) and Monitoring Workshop is designed to be the key training activity aimed at preparing trainers for conducting effective CAP training programmes for all other project functionaries. This would also help participants acquire a sound understanding of sector reforms pilot projects in terms of approach, strategy and objectives with a focus on planning phase activities of the project. The training would be held in four distinct parts.:

1. The first part attempts to offer a conceptual overview of participatory approach to development including the very need of a community-based, demand-responsive view of sector reforms. This is done through a series of sessions designed around games, brainstorming, individual and group exercises, presentations and discussions. The methodology is used in such a way as to promote experiential learning.

2. The second part focuses on the skill development regarding use of participatory tools and techniques of community mobilisation. This is based on SARAR approach and involves

use of SARAR tools both in simulated situation in class room and in real situation on the ground during field -visits.

3. The third part covers the project design and cycle in terms of details such as rules, criteria, MIS and other formats and operational guidelines. The matter of the subject is done in a 'how-to-do' manner to help participants acquire functional knowledge and skills for carrying out their roles and responsibilities under the project. The methodology used is a mix of presentations and exercises including quiz to assess the learning taking place during course of the programme.

4. The fourth part is basically a training of trainers (TOT) module aimed at helping participants design training programmes for VWSCs, to strengthen VWSC functioning in the planning phase.

Expected Outcome:

At the end of the programme, the participants would be able to:

1. Spell out the essential elements of a participatory approach to development in general and demand-responsive approach to water and sanitation in particular.

2. Describe the SARAR approach and the usage of SARAR tools and also be able to actually use SARAR tools in the field situations.

3. Explain and work as per the operational guidelines of the project including MIS and other formats effectively.

4. Explain the CAP process in the planning phase of the project and describe the checkpoints in the preparation of community action plans.

5. To design the proposed VWSC training programmes alongwith their objectives, content, methodology etc.

Evaluation:

Evaluation of the training programme proposed to be carried out would be of two types- concurrent and at the end of the programme evaluation. Concurrent evaluation would be at the end of each day in the form of a prescribed evaluation format to be filled up by the participants. This would help the training team appreciate the perceived usefulness of the content of the programmes and appropriateness of the methods used on a day-to-day basis, as also to undertake mid-course corrections in the actual delivery of the programme as per participants requirements. The end of the programme evaluation would aim at eliciting participants' overall impression of the programme in terms of its relevance and usefulness.

8.4.4 Workshop Outline

Outline of the Training of Trainers (ToT) Workshop on Community Empowerment(CE) Training

Introduction:

The GOI guidelines for sector reforms in the rural water supply and sanitation sector underline the need of software activities, which aim to build the base of skills in the community, foster awareness and long-term behaviour change in hygiene and environmental sanitation practices, and promote the role of women and their ability to play a central role in project planning and implementation. The TOT on CE is a ten days module seeking to build training skills of the trainers for designing and conducting community empowerment training for project functionaries. The training will focus on empowerment tools and techniques including the role of group formation, cluster level meetings, creative investigation of problems, hygiene and environmental awareness at the community level, women development initiatives and functional literacy, along with participatory training skills.

Objectives:

1. Orient participants to the strategies and available resources for HESA, Women's Development Initiatives, and NFE. Acquaint staff with their roles in supporting these components in project communities.

2. Develop a basic understanding of HESA issues related to water supply and sanitation.

3. Strengthen and develop the skills to promote health awareness and education with the villagers at different levels (VWSC, Mother/tap-stand, Teacher/student group and female Village Health Promoters)

4. Improve and/or reinforce the participants' knowledge and understanding of key personal, domestic and environmental hygiene and sanitation problems, their causes and possible solutions.

5. Develop the skills of the participants through the use of participatory learning and action methods, tools and techniques for promoting changes in hygiene and sanitary behaviors at the village level.

6. To enable participants to understand the importance of Community Action Planning (CAP Process) and its linkages to HESA, WDI, and NFE.

7. Develop skills of participants to motivate women to participate actively in all project activities.

8. Develop Communication, Motivational and Coordination skills of the participants.

9. Develop report writing and analytical skills to monitor and evaluate HESA activities.

Participants:

30 for each training programme

Target Group:

Identified potential and actual trainers and training managers from DWSS, SO and APARD.

Training Team:

Training consultant

Timing:

The programme should be conducted as soon as the setting up of DWSS and selection of SOs are complete.

Duration:

10 days

Methodology of the Training

Will combine experiential exercises, fieldwork, audio-visual aids such as films, flash card etc. The information sharing and participatory tools simulation along with use of microteaching methods would also be used. Examples of the kind of activities to be undertaken are:

- Visual Aids --- understanding the importance of visual aids in the hygiene and sanitation awareness/ education with respect to investigation, analysis, teaching, and learning
- Creating Visual Aids --- develop simple drawing skills for creating visual aids
- Use of Flash cards, Flip charts, Posters- learning how and when to use these effectively in order to support the learning process
- Story-Telling as an Educational Tool -- learning how to use story telling in hygiene and sanitation education
- Demonstrations - developing skills in giving effective demonstrations
- Role Playing as an Educational and Awareness Raising Tool --- leaning how to use role playing in hygiene and sanitation education
- Question and Answer Skills - developing skills in asking open-ended questions that promote discussion
- Group Discussion - developing skills in conducting effective group discussions
- Games - understanding and developing skills in using SARAR games to investigate and analyze hygiene and sanitation problems, as well as to reinforce health messages

- Folkmedia/Street Drama ------ being exposed to street plays as a medium for communicating with the community about health and other problems

- For WDI ---- Visual aids on Women's involvement in community activities, use of group formation as a tool to encourage women's participation-, learning to use SARAR tools with the community to help women investigate and analyze their condition-, use of role play, folk media in facilitating women to add value to saved time.

Expected Outcome:

By the end of the training, participants would be able to acquire necessary knowledge and skills for training the project functionaries to have a clear understanding of their respective roles in the Planning Phase, manage and conduct Community Development programs in the Planning Phase, understand

- what hygiene education is and its importance in promoting health and sanitation awareness/education within the overall health picture

- be able to identify health problems in the community and know how to help villagers explore their health problems using a variety of tools

- be able to identify and prioritize health problems, utilize effective communication skills, such as use of understandable language, giving clear and specific information usable at community level

- understand the importance of monitoring and evaluation and

- exploring possible indicators for monitoring and evaluating health and sanitation education efforts, produce and follow Action Plans for Community Development components, especially HESA.

Evaluation:

Three different assessment/evaluation forms will be used:

In the beginning, the participants at the end of the each initial or follow-up/refresher training programme would be assessed/evaluated in terms of their understanding and skill performance in the course contents. Secondly, there will be a participant review of the entire programme for lessons learned and for further improvement. At the end of the session each day, participants self-assessment daily will be used to evaluate the knowledge, interest and usefulness of the contents and performance of the facilitators, her methods and use of appropriate teaching tools.

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