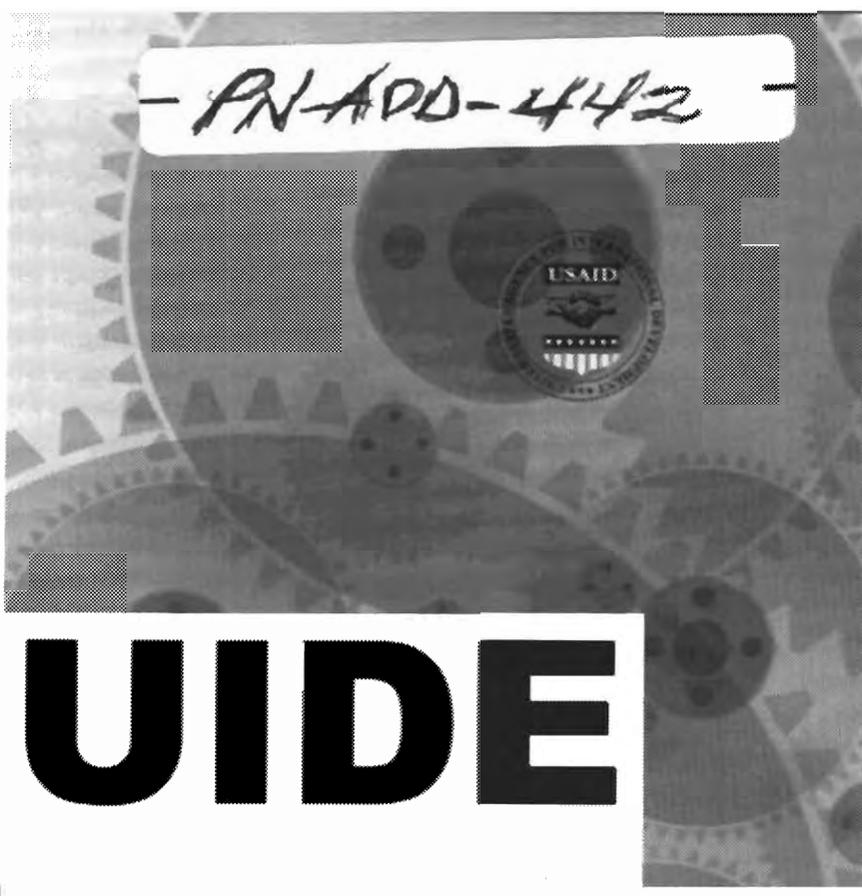


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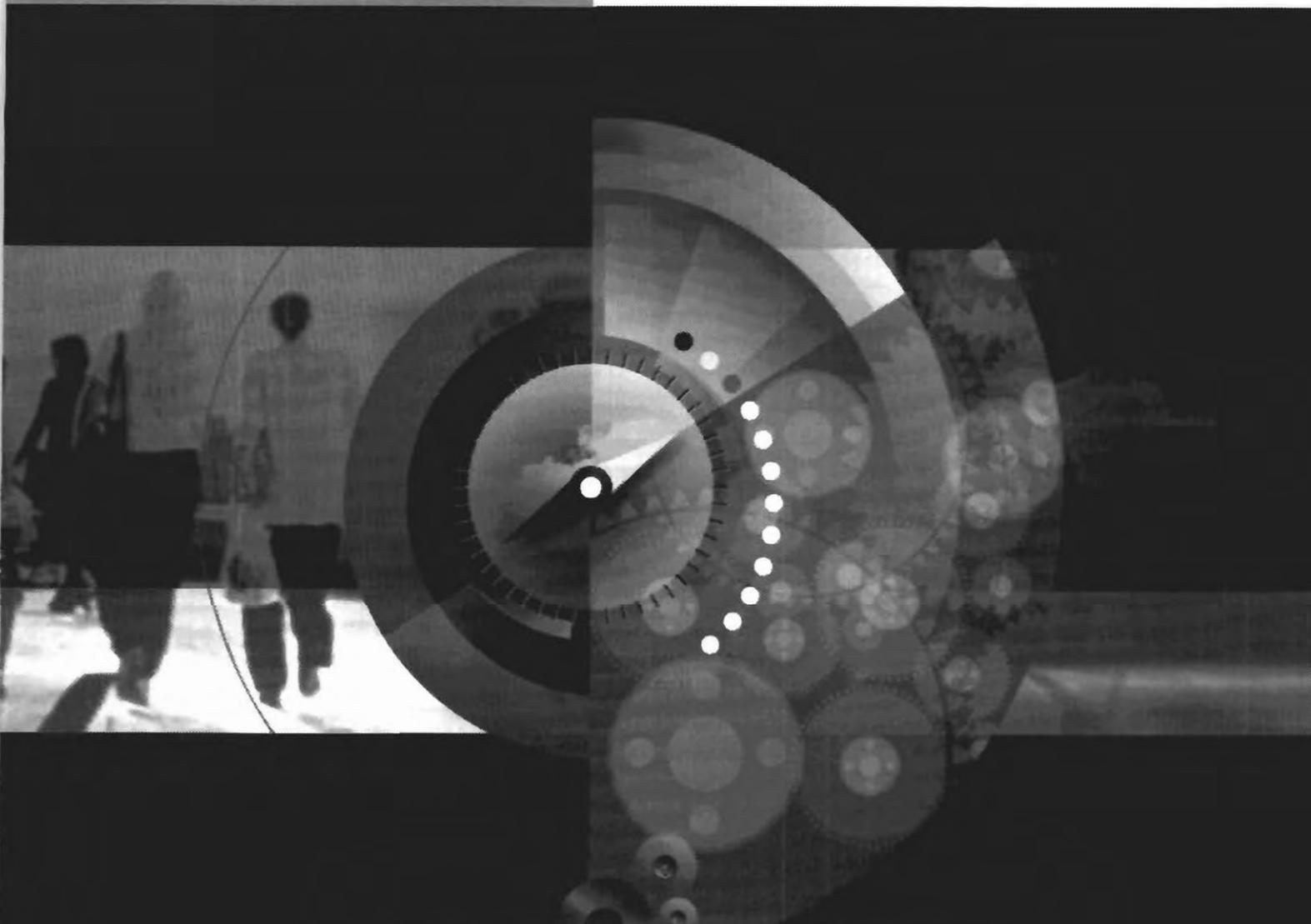


EXTENDING THE REACH OF DEMOCRACY



# A GUIDE

LOCAL SELF-GOVERNMENT IN AZERBAIJAN



IFES Azerbaijan September 2003



# **A GUIDE FOR TRAINERS**

## **LOCAL SELF-GOVERNMENT IN AZERBAIJAN**

**Ann Graham**

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## **Foreword**

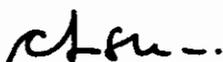
**It is with great pleasure that I have the opportunity to write a short foreword to the IFES *Guide for Trainers in Local Self Government in Azerbaijan*. This Guide is produced to assist experienced trainers with the training of councilors and staff of the municipality.**

**IFES has been working closely with nine municipalities since early 2002. Nine out of 2667 municipalities is a small number but we believe we have made a difference to the way these councils function. The training techniques outlined in the Guide have been tried and tested on the IFES municipalities. Our training methods have been appreciated by participants, showing them for the first time ideas and techniques they found very useful.**

**The guide will be a useful resource for trainers working in the field of local self governance. It is not a stand alone document. It should be used in conjunction with the *IFES Manual for Councilors in Azerbaijan*, another piece of work produced by the IFES Local Government Team.**

**IFES would appreciate any feedback from trainers using the Guide and the Manual.**

**Sincerely,**



**Charles Lasham  
Project Director  
IFES Azerbaijan**

<b>I.</b>	<b>Introduction .....</b>	<b>6</b>
	1. Purpose of Guide.....	6
	2. Background Information.....	6
	3. Use of Training Guide.....	6
<b>II.</b>	<b>Training Design Process.....</b>	<b>9</b>
	1. Training Needs Assessment .....	10
	2. Workshop Objectives.....	10
	3. Activities to Accomplish Objectives.....	11
	4. Agenda, Resources, and Time.....	11
<b>III.</b>	<b>Workshop Introduction.....</b>	<b>12</b>
	Exercise: Introductions, Objectives, Expectations and Rules.....	12
	Exercise: Vision of the City: Introduction to Brainstorming.....	13
<b>IV.</b>	<b>Local Self-Government in Azerbaijan.....</b>	<b>15</b>
	Exercise: What Makes a Successful Local Self-Government.....	15
	Exercise: What Makes an Effective Council Person?.....	17
<b>V.</b>	<b>Responsibilities of Local Self-Government.....</b>	<b>20</b>
	1. Municipal Budget and Service Delivery.....	20
	Exercise: Assessing Community Needs.....	20
	Exercise: How to Prepare an Annual Operating Budget.....	23
	Exercise: How to Write an Action Plan.....	29
	2. Citizen Participation:.....	34
	Exercise: Stakeholder Identification and Analysis.....	34
	Exercise: Problem Identification and Prioritization.....	36
	3. Strategic Planning.....	41
	Exercise: How to Conduct a SWOT Analysis.....	41
	Exercise: How to Write Goals and Objectives.....	45
	4. Municipal Associations.....	50
	Exercise: Why Municipal Associations?.....	50
	5. Grant Proposal Writing.....	52
	Exercise: What makes a Good Proposal?.....	52
<b>VI.</b>	<b>Evaluation.....</b>	<b>56</b>
	Exercise: Steps to the Future.....	56
	EVALUATION FORM.....	57
<b>Appendix A.....</b>		<b>58</b>
	Sample Agendas #1.....	58
	Sample Agendas #2.....	59
	Sample Agendas #3.....	60
	Sample Agendas #4.....	61
<b>Appendix B.....</b>		<b>62</b>
	List of Handouts.....	62

## **I. INTRODUCTION**

### **1. Purpose of Guide**

This guide is specifically intended to be used as a customizable resource for experienced trainers conducting training sessions for the councilors and members of the executive apparatus of the municipality.

### **2. Background Information**

This guide is not a stand-alone product. It must go in conjunction with the "Manual for Councilors in Azerbaijan", which provides the detailed information on each topic.

It provides trainers with guidelines on what to include, how to conduct training and how to arrange the sessions. However, the trainers can arrange the training in any order they feel is appropriate.

### **3. Use of the Training Guide**

The topical areas included in the *Manual for Local Self-Government Officials* are used in this *Guide for Trainers*.

The guide has the following components:

***Introduction*** introduces the guide.

***Training Design*** discusses a general training design process.

***Workshop Introduction*** exercises for workshop introduction and introduction to brainstorming.

***Local Self-Government in Azerbaijan*** exercises to understand the purpose of local self-government.

#### ***Responsibilities of Local Self-Government***

***Budget and Finance*** - exercises to introduce budget and finance and methods to assess local budget needs and learn the basics of the budget process.

***Citizen Participation*** - exercises to introduce and learn methods of citizen participation.

***Strategic Planning*** - exercises to introduce strategic planning and methods intrinsic to the strategic planning process.

**Communal Services** - exercises to introduce communal services and method to implement plans of action.

**Municipal Associations** - exercises to introduce municipal associations and methods to explore their potential.

**Grant Proposal Writing** - exercise on how to write a grant proposal.

**Training Evaluation** - workshop and professional evaluation.

The guide lists the primary exercises within each subject area (assessing needs, stakeholder identification, problem identification and prioritization, SWOT analysis, goals and objectives, and action plans) in an order that when used in sequence comprise a step-by-step guide to program development or strategic planning.

To design a complete training workshop, the introductory session (welcome) should be used prior to any of the topical area sessions. The Vision of the City, Local Self-Government in Azerbaijan, and Effective Councilperson may also be used prior to any of the topical workshops. With the introductory exercise, one of the latter exercises, and one or two of the topical area exercises, a workshop is complete and can last approximately 5 to 6 hours.

Each of the exercises in all of the topical sessions is adaptable to different subjects. For example, the exercises in the citizen participation session can, with a little creativity, be adapted for the strategic planning session. Techniques such as brainstorming and SWOT are always useful for any topic and, in fact, are used in different sessions in this guide.

Sections of some sessions can also be used separately. For example, discussion of the meaning and benefits of any topic can be used with another method such as goals and objectives or problem identification and prioritization.

Sessions are designed for approximately one day. If two days are needed, exercises can be adapted to continue the topic for another day. The times of all exercises are approximate. Trainers need to evaluate these times when designing workshops. Times can be shortened or lengthened by reducing the number of group presentations and shortening or lengthening group work time.

It is important, however, to ensure that trainees are familiar with initial program develop or planning steps such as assessing needs (in any topic) before attending a workshop that explains how to develop and implement action plans.

Each training session has the following components:

**Title** - identifies the primary topic of discussion.

**Learner Objectives** - describes the knowledge and skills the trainee will have at the end of the workshop.

**Time** indicates the approximate time of the session.

**Preparation and Materials** - lists what needs to be prepared prior to the workshop and what materials are necessary for the workshop. The phrase "covered flipchart" is used to note that a task, definition, or explanation written on a flipchart or board to be used in the workshop should not be revealed to the participants until the designated time.

**Process** - provides specific instructions and a step-by-step guide to the trainer.

**Trainer's Notes** - written in italics, these describe necessary key points, definitions, and possible responses to questions.

The trainer should read each session very carefully prior to the workshop and understand fully its topic, exercises, logic, steps, and preparation requirements. Particularly important is the trainer's comfort level with the exercise. Prior to completing the workshop agenda, it may be necessary to alter or redesign a session based on trainee needs or the workshop subject. Each exercise and associated handout must be reviewed to ensure they match the workshop topic.<sup>1</sup>

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<sup>1</sup> In the process of developing this guide, the following materials were consulted:

CEDPA. Project Design for Program Managers. The CEDPA Training Manual Series Volume II. Washington, D.C: Centre for Development and Population Activities, 1994.

Hinchley, Enid Blackwell and Linda Souter. Planning for Change: A Handbook for Training Workshop Leaders in Organizational Development and Strategic Planning. Geneva: International Federation of University Women, 1995.

## **II. TRAINING DESIGN PROCESS**

Successful training is well designed. Potential trainees are identified, needs are assessed, and learning methods are developed appropriate to the targeted audience. Designing successful workshops requires that the contributions, knowledge and skills of trainees be acknowledged not only by the workshop design but also throughout the workshop itself. Activities that actively involve the participants through group discussion and exercises are the most appropriate methods for adult learning. Potential trainees' professional experience affords them credibility and respect during the learning process.

Adults learn through an "experiential" learning cycle. Its elements include:

- Learning by doing and acting (exercises).
- Processing experiences by sharing, comparing, contrasting, reflecting their experiences (group discussions).
- Generalizing these experiences by generating conclusions and identifying general principles (group discussions).
- Applying the knowledge and skills after the workshop.

We remember:

- 10% of what we read
- 20% of what we hear
- 30% of what we see
- 50% of what we see  
and hear
- 80% of what we say
- 90% of what we say as we  
act

The training design process is:

1. Training needs assessment
2. Workshop learning objectives
3. Activities to accomplish the objectives
4. Resources and time

## **1. Training Needs Assessment**

Determining needs requires knowledge of the targeted audience or potential trainees. Who will be the potential audience of the training? What are their training needs? How are these needs assessed?

When contacted by a municipality or group of municipalities requesting training for a specific department, the trainers need to ask the following questions:

- Who will be trained?
- What is the precise training request?
- Who has received previous training?
- What topics were covered in the previous training and with what kind of methods?
- What are the learner objectives?
- What is the level of training required for the upcoming workshop? For example, the first level of training about the budget process or a specific focus on capital budgeting?
- What are the time limitations?
- What are the resource and space requirements?
- What knowledge and skills do potential trainees need for the job? What do they have or what do they not have?

These questions will help you decide the content of the workshop and may need to be asked through a short survey with potential trainees. It is helpful to check with the municipal officials or organization sponsoring the workshop to make sure the content is what is expected.

## **2. Workshop Objectives**

When trainers know the needs to be addressed, the workshop learner objectives should be clear. Workshop objectives state the overall level of competence the participants should have at the close of the workshop. For example, an objective may be to acquaint participants with the importance of citizen participation and to acquire the skills to use one method of gathering information from citizens.

For example: At the conclusion of the workshop, participants will be able to:

- Introduce the concept of citizen participation to municipal councilors.
- Identify the benefits of citizen participation to municipal councilors.
- Identify the types of citizen needs' assessment tools.
- Construct a citizen survey instrument.

Objectives that describe learning new knowledge or information use words such as identify, explain, and/or describe. Objectives that describe skills use such words as develop, construct, plan, examine, and analyze.

Both types should be included in all workshop agendas.

### **3. Activities to accomplish objectives**

Once you have identified the purpose and objectives based on the assessment results, the training activities or methods must be designed and selected to match trainee needs. Methods must meet the objectives and match the knowledge trainees need to learn and the skills they need to acquire. Methods must also be selected that conform to the comfort level of the participants.

Questions to ask as you design the workshop are:

- What type of group activities will they be comfortable with?
- Do they prefer problem solving and/or small or large group discussion?
- How much time is necessary for lecture or presentations?  
*Note: Lectures must be short, concise and lead to discussions.*
- How effective are case studies?

Once the activities are selected, the sequence is determined. The sequence must begin with an explanation of the objectives and go through each logical step required to achieve the knowledge and skills objectives.

### **4. Agenda, Resources and Time**

After trainers decide on objectives and methods, the trainers need to prepare an agenda that matches the issues discussed above and to calculate the time and resources required to conduct the workshop. Sample agendas are attached as Appendix A.

- Where will the training take place?
- Are the required materials already there? Items such as flipcharts, markers, space, chairs, and tables, special exercise materials or handouts, and name tags.
- Are evaluation questionnaires prepared and available?
- Are the appropriate trainers available and are roles well defined?

### **III. WORKSHOP INTRODUCTION**

#### **Exercise: Introductions, Objectives, Expectations and Rules**

**Objectives:** To welcome participants  
To introduce participants and trainers  
To understand objectives  
To clarify expectations  
To explain rules/logistics

**Time:** 30 to 45 minutes

**Preparation and materials:**

Write learning objectives and agenda on flipchart  
Mail agenda in advance  
Evaluation forms (see Handout #14)  
Flipchart paper and markers

**Process:**

1. Welcome participants and introduce trainers. Ask each participant to introduce him or herself by name, position, and city or village.
2. Distribute agenda.
3. Review learner objectives and clarify, if needed.
4. Ask participants to state their expectations. Write on a flipchart. Clarify expectations that will not be met and why. The trainer must determine if additional expectations can be included or are outside the scope of the agenda.
5. Explain rules/logistics. For example: meals, breaks, and transportation.
6. Ask participants what rules should be agreed upon.

*Note: Rules may include:*

- *Respect the views of others.*
- *Maintain a sense of humor.*
- *Opportunity for all to participate.*
- *Respect the experience and skills of others.*
- *Start on time.*

7. List on flipchart.
8. Explain that the rules listed comprise a training contract.

## **Exercise: Vision of the City - Introduction to Brainstorming**

**Exercise:** What is your vision of your city?

**Objectives:** To imagine the desired vision or future of your municipality.  
To use the brainstorming method to think creatively.

**Time:** 1 hour

### **Preparation and materials:**

Write learner objectives and agenda on a flip chart  
Write Brainstorming definition on covered flipchart  
Write Vision definition on covered flipchart  
Brainstorming Techniques (see Handout #1)  
Evaluation forms (see Handout #14)  
Flipchart paper and markers

### **Process:**

1. Welcome participants and review learner objectives.
2. Explain the technique of brainstorming by first asking participants what it is. Write down their definitions on a flip chart. Uncover the Brainstorming Technique Handout and the following definition. Build on their definitions by introducing the following:

*Brainstorming is an effective method to generate ideas and solutions through the creativity of a group. Workshop participants are invited to voice ideas in a group setting. Brainstorming must be non-judgmental (all ideas are accepted), encourage all participants to voice their opinion, stimulate and encourage new ideas, and create excitement among the participants.*

3. Explain that the exercise will use the brainstorming technique to encourage participants to envision the future of their cities.
4. Ask participants if they know what the word "vision" means. Write down ideas on a flip chart. Build on their definitions by introducing the following:

*Note: A vision is where we want to be and what we want to be in the future.*

5. Divide participants into small groups of 4 to 5 participants. Give them each flip chart paper and markers. If the entire group is small (10 to 12 participants), you may conduct this exercise with the group. Ideally, the groups should be divided by type of municipality: large, small, village.

6. **Ask each group to brainstorm the vision of their city or village and write down their ideas on the flip chart paper.**
7. **Trainer should circulate among the groups to ensure brainstorming rules are adhered to.**
8. **After 15 to 20 minutes, ask each group to share their ideas with the entire group.**
9. **When finished with each group, ask the participants about the process of brainstorming. Discuss their responses and clarify the effectiveness of brainstorming as a technique to think creatively.**
10. **Compare and contrast the visions and develop a comprehensive visionary list of how they envision the future of their municipalities.**

#### **IV: LOCAL SELF-GOVERNMENT IN AZERBAIJAN**

##### **Exercise: What makes a Successful Local Self-Government?**

**Objectives:** To explain the concept and issues of local self-government in Azerbaijan.

**Time:** 1 hour

##### **Preparation and materials:**

Write learner objectives and agenda on flipchart  
Write questions raised in point 5 below on covered flipchart  
Write headings for point 8 on covered flipchart  
Evaluation forms (see Handout #14)

##### **Process:**

1. Welcome participants and review learning objectives.
2. Give a brief introduction and discuss the concept of local self-government in general and the recent history of local-self government in countries of the former Soviet Union and Azerbaijan.
3. Discuss the concept of local self-government in Azerbaijan. Refer to legislative framework chapter.
4. Ask the participants for input and whether or not the trainer's introduction matches their understanding. Record answers on flipchart.
5. Come to an agreement on the concept and purpose of local self-government and write on flipchart.
6. Divide the participants into small groups of four or five persons and ask them to brainstorm the following questions:
  - What are the responsibilities of local self-government?
  - What are the barriers to developing effective local self-government in Azerbaijan?
  - What can be done to overcome these barriers?
7. Ask the groups to select a recorder and presenter.
8. Ask the groups to record brief answers on flip chart paper with the following headings:
  - Responsibilities of Local Self-Government in Azerbaijan

- **Barriers**
  - **How to Fix**
9. After 30 minutes, ask the group to share their responses with all workshop participants. Subsequent presenters after the first group do not need to repeat first group issues.
  10. Initiate discussion about common points, differences, and relationships among the listed items.

**Exercise: What makes an Effective Councilperson**

**Objectives:** To describe the role of an elected municipal councilperson or municipal official.

**Time:** 1 to 1½ hours

**Preparation and materials:**

- Write learner objectives and agenda on flipchart
- Write responses to point 3 below on covered flipchart
- Write answers for point 5 below on covered flipchart
- Evaluation forms (see Handout #14)

**Process:**

1. Welcome participants and review learner objectives.
2. Discuss with the participants how all elected and municipal officials bring different ideas and perceptions about their role.
3. Ask participants about their initial perception of their municipal role.
4. Initiate a discussion about their contact with citizens and whether or not the contact has affected their perception. Refer to the citizen participation chapter.
5. Divide the participants into small groups of four or five persons and brainstorm the following questions:
  - What qualities, skills, knowledge make an effective councilperson or municipal official?
  - What are councilperson's or municipal officials' responsibilities to citizens?
6. Ask the groups to select a recorder and presenter and provide each group with flipchart paper and markers.
7. Ask the groups to record brief answers to the above questions to the following headings:

<b>What Makes an Effective Council Person</b>	<b>What are councilperson's/officials responsibilities to citizens</b>
---	--

8. After 30 minutes, ask the group to share their responses with all workshop participants. Subsequent presenters after the first group do not need to repeat first group issues.
9. Place flipcharts on the wall for all to see.
10. Initiate discussion about common points, differences, and relationships among the listed items. If necessary, initiate different ideas about council's responsibilities such as promoting and protecting rights, providing information, delivering quality services, responding to citizen needs, and developing policy with citizens.

## **Handout #1**

### **BRAINSTORMING TECHNIQUES**

- 1. Generate as many ideas as possible.**
- 2. Withhold judgment on all ideas suggested by others.**
- 3. Any idea is a good idea don't prejudge your own ideas.**
- 4. Don't be bound by what is possible, reasonable, or practical.**
- 5. Crazy and/or foolish sounding ideas are often the foundation of great ideas.**
- 6. Don't feel that you have to defend your ideas. No one should ask that you do so.**

## **V. RESPONSIBILITIES OF LOCAL SELF-GOVERNMENT**

### **1. Municipal Budget and Service Delivery**

#### **Exercise: Assessing Community Needs**

**Objectives:** To examine budget purpose beyond the numbers.  
To examine why the budget process requires community input.  
To create a citizen survey to assess community needs for budget development.

**Time:** 2 ½ to 3 hours

**Preparation and materials:**

Write learner objectives and the agenda on a flipchart

Write bullets for point 2 on covered flipchart

Survey Methods (see Handout #2)

Write tasks in point 9 below on covered flipchart

Evaluation forms (see Handout #14)

**Process:**

1. Welcome the participants and review learner objectives.
2. Lead a discussion about the purpose of the budget. Refer to the budget and finance chapter. Ask participants to discuss the purposes of a budget. Facilitate the discussion to ensure participant knowledge of the following key purposes of a budget:
  - Method to develop municipal policy
  - Method to increase municipal effectiveness
  - Method to assess community needs and include citizen interest in budget deliberations and decisions.

Lead discussion about why the budget process is as important as the final product.

3. Ask the group to identify methods to assess community needs. Refer to the citizen participation chapter for detailed information.

*Possible responses: interviews, focus groups, citizen surveys, and city council meetings*

4. State that the most comprehensive method is the citizen survey. Lead a discussion of why.

***Possible responses: asks the largest number of persons, allows for a large representative sample, can be mailed or answered by telephone.***

5. **Lead a discussion about survey purpose and the importance of knowing what you want to find out.**
6. **Introduce the methods of finding out what citizens need by discussing how to develop survey questionnaires and the advantages and disadvantages of different types of questions: open/closed, Likert scale, survey administration. Refer to strategic planning and citizen participation chapters.**
7. **Ask participants to discuss whether or not they have constructed and/or used a survey method and its advantages/disadvantages.**
8. **Divide participants into small groups of 4 to 5 persons. Distribute survey methods handout.**
9. **Ask each group to complete the following:**
  - **Determine the purpose of the survey. What is it that you want to find out?**
  - **Identify the target audience from whom the municipality wants to gather information.**
  - **Prepare a draft survey. Three to five questions from each method.**
  - **Determine the method of survey administration (mail, phone, personal interviews) and who will be responsible for each task.**
10. **Ask each group to present their survey questions recorded on flipchart paper. Ask group what type of questions were the most difficult to prepare and why.**
11. **Lead a group discussion of survey purpose, construction, type of questions and why, and whether or not the survey will achieve its goals.**

## Handout #2

### SURVEY METHODS

#### Sample Survey Formats

##### Open-ended or Closed Response Questions

Closed-response questions discuss a specific issue and elicit specific attitudes, but not different interpretations. If you want to know whether or not citizens may or may not be supportive of a particular decision or service, the following questions may be asked:

1. Do you agree or disagree with the proposed xxxx decision about municipal taxes?  
Agree  
Disagree  
No opinion

##### Open-Ended Questions

Open-ended questions leave room for different interpretation by different respondents. If the council intends to survey citizen needs, a few open-ended questions are more than acceptable. Questions such as:

1. Name the three most important problems your community faces
2. What three services does the municipal council do the best job of providing?
3. What three services does the municipal council do the worst job of providing?

##### Likert Scale Questions

Likert Scale questions increase the variety of answers to closed questions.

1. The municipal bus service on line A requires a start time of 6 am rather than 7 am.

Strongly Agree Agree No Opinion Disagree Strongly Disagree

## **Exercise: How to Prepare an Annual Operating Budget**

**Objectives:** To develop a draft operating budget for your municipality

**Time:** 3-3 1/2 hours

**Preparation:** Write "Preparing an Operating Budget" and the agenda on a flipchart.  
Prepare flipchart pages for Tasks 2 and 4.  
Write examples for task 3 to discuss.  
Annual Operating Budget Worksheet Handout (# 3).  
Calculators preferably basic and one for each participant.  
Flipchart paper, markers, pencils.

### **Activities and Tasks:**

1. **Welcome the participants and review the day's objectives.**
2. **Start with the BIG picture. Discuss the importance of Financial Management and how it is the foundation of municipal government and of service delivery. Referring to Section 1 of the Budget and Finance chapter of the book review the main processes relating to financial management. Write them on the flipchart and discuss the following:**
  - **Budgeting**
  - **Safeguarding**
  - **Monitoring**
  - **Auditing**
3. **Lead a discussion about the importance of each process. Focus on the need at each step for transparency and give examples. For instance when "Safeguarding" is discussed, talk about the need to separate duties. For example, the same person who determines what the value of an individual's land is for the levying of a land tax, should not also be the same person who collects the actual money. Emphasize the need for checks and balances so that citizens and the state government have confidence in how their taxes and fees are being spent.**
4. **On a new sheet on the flip chart write "Key Dates in the Financial Year", which runs from January 1 to December 31. The budget for the financial year beginning in January 2004 must be approved before of December 2003. A draft budget should be prepared by staff by the end of October. The policy makers - the Councilors, should began their review of the budget in conjunction with the staff by November to allow them enough time for discussion and passage by December 15<sup>th</sup> in accordance with law.**

5. Refer to Section 2.1.2 "Finding Budget Staff" and have a general discussion about the types of staff that can assist in the budget process, and remember - it doesn't necessarily take an accountant.
6. Next refer to Section 2.3 of the Budget and Finance chapter of the book and discuss the difference between an Operating Budget and a Capital Budget. Give some examples of each and discuss them. For instance ongoing recurrent expenditures like staff or utilities are part of the operating budget, but building a new school would be part of the capital budget. Buying furniture or equipment may or may not be. Is it an ongoing recurrent expenditure? For example, if **each year** the municipality is buying one or a couple of computers it is probably part of the operating budget. However, if the municipality is replacing or buying new computers for all of the staff, and therefore will not be buying any in the following financial year(s), then it is part of the capital budget.
7. It is important to note that given the amount of information that goes into an Operating Budget as well as a Capital Budget there will only be time at today's workshop to create a sample Operating Budget for one financial year. Emphasize to participants that preparing and understanding a budget is **NOT** hard, it just takes some time.
8. Distribute the Annual Operating Budget Worksheet handout.
9. Ask the participants to first focus on the entire worksheet both revenues and expenditures. Remind them that they need enough revenues to support all of the planned expenditures. Provide a simple example of a single revenue item that equals several expenditures - this is a balanced budget. Now use the same example - but with the expenditures exceeding the revenue and lead a discussion on how the budget can be balanced.
10. Now you are ready to go to work. Referring to Sections 2.4 and 3.2 in the Budget and Finance chapter review and estimate each revenue category one item at a time. Add additional revenue items to tailor the worksheet to each municipality.
11. Starting with the Taxation section, discuss the importance of not overestimating any revenue source. Emphasize that it is best to be very conservative in the estimates of what will actually be collected in the upcoming budget year.
12. Initiate a brainstorming exercise on Service and User Fees. Are there any new user or service fees that can practically be adopted by the municipality to help offset the cost of providing the service? Refer in the chapter to Sections 3.2.6 to 3.3.9 for guidance.

13. **When reviewing the Intergovernmental Transfer section point out that revenue provided by the state government is the single largest source of revenue and emphasize the need to strive to be as revenue independent as possible. This will allow councilors and local officials to garner increased "local control" over their municipality in the future.**
14. **For the Nonrecurring Revenue section emphasize the need to establish proper procedures prior to the sale or leasing of any municipal assets.**
15. **Now you are ready to review the Expenditure items one at a time. With both Revenue and Expenditure items strive to select items that are germane to the individual municipality in which your conduct training and to amend/edit the worksheet accordingly.**
16. **In drafting planned Salaries and Wages expenditures emphasize that this is the single largest expenditure of municipal governments. Therefore, it is very important make the best use of existent staff and not to add new positions. It may be far more cost effective to contract out public services on a competitive basis to the private sector.**
17. **In the Good and Services section note that it is very important to check with suppliers about any projected cost increases in the upcoming financial year. Ask participants for their input. Do they think that the cost of gasoline or electricity will be going up next year? By how much? What is inflation? Brainstorm on how some of these costs can be reduced.**
18. **The Transfers section is where the municipality must "transfer" funds to pay for services provided by NGOs and other agencies for the provision of social services and such costs as transportation. How much will the municipality be asked to contribute in the upcoming year?**
19. **Other Expenditures is the category where all other expenditures go. Ask participants if additional expenditure categories should be developed. For instance, if Water and Sanitation expenditures represent a large portion of overall expenditures feel free to create a separate category for those costs. Expenditures are often grouped by function or by the department who is responsible for carrying out the functions like public works, recreation, etc.**
20. **Continually compare total Expenditures as you go along to total Revenues. Is the budget balanced? Do expenditures have to be cut? Should staffing levels be reduced? Can any Service and Users fees be increased responsibly?**
21. **Conversely, are there any new services that we should be providing our residents that we can afford to provide? Review, discuss, and revise the line items within the group.**

22. **Prioritize by consensus all items. Discuss how more citizen “stakeholders” can be made a part of the budget process. How many public hearings should be held? How can we publicize the draft budget document?**

### Handout #3

## Annual Operating Budget Worksheet

<b>REVENUES</b>	<b>Financial Year 2004</b>
<b>Taxation</b> Land tax from individuals Property tax from individuals Mine taxes for construction materials Profit tax from municipal enterprises and organizations Payment for installation and distribution of street advertisements Hotel tax Other local taxes and payments established by the law	
<b>Service and user Fees</b> Car parking fees Rental of municipal property (lands, buildings) Water Service fees Revenue from lottery Other incomes from municipal activities	
<b>Intergovernmental Transfers and Donations</b> Subsidy from government Donations and grants from legal entities Donations and grants of international organizations Donations and grants of physical entities	
<b>Nonrecurring Revenues</b> Income from sales of municipal assets Income from sales of lands Revenue from privatization of municipal property	
<b>TOTAL REVENUES</b>	

<b>EXPENDITURES</b>	<b>Financial Year 2004</b>
<b>Salaries and Wages</b> Regular Salary for staff members Overtime Benefits	
<b>Goods and Services</b> Payment for electricity Payment for gas Payment for water Office Supplies Payment for lease of buildings Repair of vehicles	
<b>Transfers</b> Payment for transportation services Payment for communal services Public Assistance to elders, war handicaps and poor families Financing social and ecological programs	
<b>Other Expenditures</b> Improvement of sports fields Organization and start of industrial enterprises Development of agriculture	
<b>TOTAL EXPENDITURES</b>	

## **Communal Services**

### **Exercise: How to write an action plan**

**Objectives:** To develop a list of tasks which need to be completed in order to achieve organizational objectives.  
To develop an action plan.

**Time:** 2 to 3 hours

#### **Preparation and materials:**

Write learner objectives and agenda on a flipchart  
Goals and Objectives (see Handouts #11 and #12)  
Action Plan (see Handout #4)  
Write sample goal and objective in #5 on covered flipchart  
Housing Construction Tasks to be done (see Handout #5)  
Write answers to point 8 on covered flipchart  
Flipchart paper and markers  
Evaluation forms (see Handout #14)

#### **Process:**

##### **A. *Activities and Tasks***

- 1. Welcome the participants and review learner objectives.**
- 2. Lead a discussion about communal services and the level of services in their community. Briefly discuss the problems and successes they have encountered.**
- 3. Discuss the development of goals and objectives and its importance in the planning process and in the project and program management. Ask participants if they are familiar with goals and objectives in the planning process. Refer to the strategic planning chapter.**
- 4. Review goals and objectives and ask participants for examples. Distribute goals and objectives handouts. Ask participants if they have examples of goals and objectives for communal services in their municipality. Discuss how they were devised.**
- 5. Provide an additional example of a goal and an objective for communal services.**

**Goal:** *To ensure the availability of quality housing in the city.*  
**Objective:** *To supervise the construction of ten two bedroom housing units in X neighborhood (define geographic area) to be owner-occupied by May of 2004.*

6. Discuss briefly the concept of an action plan. Refer to the strategic planning chapter.
7. Distribute the Housing Construction Handout and tell participants to pretend they have just been appointed supervisor of a housing project after the departure of the previous supervisor. The only information left by the previous supervisor is a list of tasks.
8. Initiate a brainstorming exercise on the information required to oversee and manage the building process. Ask the following questions:
  - What tasks are missing?
  - Are the tasks listed in the correct order?
  - Do they give you enough information?
  - As the new supervisor, what other information do you need?
9. List the responses on a flipchart.

*Possible responses: Who is responsible for each of the tasks? When will each task be completed? How long will each task take? Is the budget approved? Are the funds and personnel available?*

10. Ask participants to define and/or list characteristics of tasks or activities required to achieve an objective. Write answers on a flip chart.
11. Possible responses: Tasks or activities are a series of steps required to achieve an objective. The steps must be listed in order.
12. Divide participants into groups and complete a thorough list of tasks in sequence for the construction of the housing project. Allow ½ hour.
13. Review, discuss, and revise the tasks and sequences, if necessary, with the group.

#### **B. Writing an Action Plan**

1. Ask participants to discuss the components of an Action Plan keeping in mind the information, activities, tasks, and sequences discussed.

*Possible responses: Objectives, activities, responsibility, time period, resources, and evaluation.*

2. Ask participants why an action plan is necessary?

*Possible responses: Planning, evaluation/monitoring, and management*

3. **Distribute the Action Plan Handout and review it to ensure understanding.**
4. **Ask participants to return to their original groups.**
5. **Ask participants to refine and sequence the activities or tasks listed previously and add additional tasks, if necessary, to achieve the objective into an action plan using the format provided. Include dates and responsibilities.**
6. **Ask each group to present their plan. Discuss whether or not the activities are sequenced correctly, the resources and responsibilities are complete, and if the time frame is realistic.**
7. **Discuss the action plan process and product and its use as a workable document.  
Do the participants believe the product is beneficial? Does it provide a structure to accomplish objectives? Why or why not? What are the next steps?**

## Handout #4

### ACTION PLAN

Objective: \_\_\_\_\_

<u>Tasks</u>	<u>Task Start</u>	<u>Task End</u>	<u>Resources</u>	<u>Person</u>
	Date	Date	Needed	Responsible

## **Handout #5**

### **COMMUNAL SERVICES ACTION PLAN EXERCISE: HOUSING CONSTRUCTION**

#### **Tasks to be Done**

- 1. Order building materials**
- 2. Identify personnel responsible**
- 3. Select neighborhood building site**
- 4. Begin construction**
- 5. Hire an architect to draw plans**
- 6. Order appliances**
- 7. Meet with neighborhood citizens**

## **2.Citizen participation**

### **Exercise: Stakeholder Identification and Analysis.**

**Objectives:** To identify and analyze stakeholders.  
To develop a stakeholder list and stakeholder analysis chart.

**Time:** 2 ½ hours

**Preparation and materials:**

Write learner objectives and agenda on a flipchart.  
Write stakeholder definition on covered flipchart  
Write identification questions for point 8 below on covered flipchart  
Write stakeholder identification and analysis chart on covered flipchart  
Municipality Case Study (see Handout #7)  
Evaluation forms (see Handout #14)

**Process:**

1. Welcome the participants and review learner objectives.
2. Provide a brief introduction of citizen participation. Refer to the citizen participation chapter.
3. Ask participants about the meaning and benefits of citizen participation. Use the brainstorming technique to solicit their ideas and list them on flip chart paper.
4. Briefly discuss the meaning of stakeholders. Ask participants what the word stakeholder means to them. At the conclusion, build on their definitions by introducing and uncovering the following:

*Note: Stakeholders are citizens or specific groups or classes of people especially interested in a project or service. Their different perspectives, opinions and ideas are most likely to affect the outcome of a specific initiative, service or project because of their "stake" or interest in how the issue is addressed. If stakeholders agree that a specific problem resolution is in their interest, the resulting project, policy, or service will be more effectively realized. Examples of municipal stakeholder groups would include citizens (include all citizen groups living within the municipality), taxpayers, service recipients, governing body, employees, unions, interest groups, NGOs, the financial community, businesses and other governments (local, provincial).*

5. Explain that this exercise will use a mock community project to identify and analyze stakeholders.

**Note:** the trainer should develop a brief case study that matches the interests of trainees. E.g. communal service participants can discuss the development of a new housing project, strategic planning participants can discuss the membership of a strategic planning team. The trainer will need to prepare a written problem in the specific area to be distributed among participants. (The trainer may also use the citizen participation "Municipality Case study" and change the purpose to identify and analyze stakeholders).

6. Divide the participants into small groups of four to five persons by municipality or interest group.
7. Handout the case study and ask participants to read it.
8. To identify potential stakeholders, ask the group to brainstorm the following questions listed on flipchart:
  - Who are the citizen stakeholders affected by the potential policy, service, or project?
  - Who are the municipal official stakeholders affected by a potential policy, service, or project?
  - Who are the business and industry stakeholders? Industrial plants, retail businesses, tourism industry?
  - Any other stakeholders?
9. List potential persons or representatives of the above (depending on whether the group is from same city or different cities) on flipchart.
10. Discuss the responses from each group. Are the lists complete?
11. In each group, ask participants to use the above list to complete the following chart:

#### **Stakeholder Identification and Analysis**

Stakeholder List	Identify Role and Interest	Assess Impact of Activity on Stakeholders	Assess relative influence of Stakeholders on the activity	Determine how stakeholders can assist designing or implementing the project

12. After one hour, ask each group to share their responses with all workshop participants.
13. Initiate discussion about common points, differences, and relationships among listed items.
14. Conclude with a discussion of the merits of stakeholder identification and analysis and how it can be beneficial for citizen participation.

## **Exercise: Problem Identification and Prioritization**

**Objectives:** To obtain knowledge and skills about problem identification and prioritization.  
To identify problems that municipalities need to address.  
To build knowledge about what needs to be changed, its causes, and consequences.  
To acquire problem identification and prioritization skills.

**Time:** 3 to 4 hours

### **Preparation and materials:**

Write learner objectives and agenda on flipchart paper.  
Municipality case study (see Handout #7). Review case study handout and replace, if necessary, prior to workshop to ensure the problems are audience appropriate.  
Elements of Effective Problem Identification (see Handout #6)  
Paper for Snow Cards  
Page of sticky dots  
Flipchart paper and markers  
Evaluation forms (see Handout #14)

### **Process:**

1. Welcome the participants and review the learner objectives.
2. Ask the participants how they define the word "problem".
3. Write suggestions on a flipchart.
4. Write the following "problem" on a flip chart:  

*The number of unemployed persons is increasing in City A.*
5. Ask the participants to imagine that they are outside consultants asked to help the municipality resolve this problem. What additional questions should be asked? What additional information is needed?  

*Possible responses: How much increase? What type of employers? What sort of jobs? Population affected? Male or female? What age? What is the cause? What types of job training programs are available?*
6. Discuss with the participants why it is important to define the problem clearly.

*Possible responses: Clear problem definition provides focus on directions to a solution. It clearly designates specific areas of change.*

7. Distribute the "Elements of Effective Problem Identification" handout. Discuss the elements of effective problem identification.

8. Distribute "Municipality A & B" handout and ask participants to read it.

*Note to trainers: review the handout prior to the training session and insert problems that relate specifically to the trainees if needed.*

9. Divide the participants into related "consultant" work groups.

10. Ask participants to use the case study handout and select the problem or problems they wish to address. Using the "Elements of Effective Problem Identification" handout and flip chart paper, analyze one problem and write a brief, clear statement that explains the problem and includes all elements. Allow 1 hour.

11. After each group has developed their statement, exchange statements with another group and make sure each group's statements contain all of the elements.

12. Return the statement to its original group and make recommendations on how to improve it.

13. Each group revises its statements according to suggestions received. Allow 15 to 20 minutes.

14. After completion of statements, each group will present their written statements to the entire group.

15. Discuss with the group their opinions and feelings about the experience, what difficulties they experienced, what was useful and how they will use this skill on the job.

#### **Problem Prioritization:**

1. The group must now prioritize the problems. Hold a brief discussion about the difficulties inherent in addressing all problems at one time and the importance of prioritization.

2. Introduce the Snow Card method of problem prioritization. Refer to strategic planning chapter.

*Note: Each problem must be written on separate sheets of paper prior to the exercise. The trainer should complete this task during a break.*

3. Each piece of paper is attached to the wall by general themes. Participant(s) may be asked to complete this task.
4. Participants are asked to name the categories. For example, employment, environment, and education.
5. Participants decide together whether the categories are a good fit with one another, if there are any subcategories, and if there are any linkages from one category to another. Snow cards may be moved from one category to another.
6. Each participant is given a number of dots to designate his or her priority. Each participant places the dot by one problem on each category list that he or she feels is the top priority.
7. List the category rankings on a flipchart. Assign numerical ranking by number of dots next to each item.
8. Discuss the rankings. Changes may occur by consensus or the order of priority is set by the rankings. Problems that did not receive a dot may be discussed and given a ranking at the bottom of the list.
9. Discuss the prioritization process. Does it achieve participant preferences? Does it satisfy everyone? Why or why not?
10. Discuss methods to include citizens in the problem identification and prioritization process.

## **Handout #6**

### **ELEMENTS OF EFFECTIVE PROBLEM IDENTIFICATION**

**An effective problem identification:**

- **States concisely what needs to be changed.**
- **States who/what is affected.**
- **States how many are affected.**
- **Relates to municipal purpose/needs.**

**Causes**

**Include the following in an additional sentence:**

- **Why does the problem exist?**
- **Is there more than one cause?**
- **Are the causes related to one another?**

**Consequences**

**Include the following in an additional sentence:**

- **What are the short-term consequences of the problem?**
- **What are the long-term consequences of the problem?**
- **What are the political consequences?**
- **What are the social consequences?**
- **What are the economic consequences?**

## **Handout #7**

### **MUNICIPALITY A AND B CASE STUDY**

Municipality A is a young administrative unit established in 1996. Prior to 1996, two settlements separated and each - Municipality A and B - received independent municipal status. A is a small (18000 inhabitants) workers' settlement formed by three different enterprises into contiguous settlements. Large industrial enterprises are located in A primarily due to its proximity to the capital city. A's development is primarily housing for low level industrial workers. The development of the neighboring town of Municipality B is a challenge to A's development. Municipality B is developing into a comprehensive settlement with retail, high quality educational and cultural institutions, and improved infrastructure and housing.

The area lacks basic infrastructure to sustain the industries and basic amenities for citizens such as cultural attractions, educational institutions, economic opportunities, and retail establishments (Higher level industrial workers are primarily from Municipality B and the capital city). Local citizens are primarily employed as lower level workers at the major industries, but the unemployment rate is higher than the neighboring community. The industries are major pollutants in the area and the workers, especially the lower level workers, are at risk. Many young people do not finish higher level schooling and are not prepared for professional or working life.

The municipality needs to identify and prioritize its problems and include local citizens in that process. Local residents are unfamiliar with municipal government and its functions. The industries and other businesses are interested but do not see the whole picture.

The Council has invited all department directors to attend a special meeting to begin a planning process that will include citizens. A development plan is needed. However, the council and the municipal officials are not clear about the problems and who should be involved in the problem identification process.

### **3. Strategic Planning**

#### **Exercise: How to conduct a SWOT Analysis**

#### **SWOT Analysis - Strengths, Weakness, Opportunities, and Threats**

**Objectives:** To clarify the purpose and benefits of strategic planning  
To identify external opportunities and obstacles facing local-self government in Azerbaijan.  
To identify internal strengths and weakness.  
To construct a key information and assessment tool in strategic plan development.

**Preparation and materials:**

Write learner objectives and agenda on flipchart  
SWOT Analysis (see Handout #8)  
Write blank analysis chart on a covered flipchart.  
Sample SWOT Analysis (see Handout #9)  
Write tasks in point 7 below on covered flipchart  
Evaluation forms (see Handout #14)  
Flipchart paper and markers

**Time:** 2 hours

**Process:**

1. Welcome the participants and review learner objectives.
2. Discuss the purpose and benefits of strategic planning. Refer to the strategic planning chapter.
3. Ask participants about their opinions and experience in developing a strategic plan and its successes or failures. If no experience, discuss its purpose and benefits.

*Note: The trainer may discuss other topics such as services and budget and their planning processes if SWOT technique is used in a different topical exercise.*

4. Ask participants if they are familiar with the SWOT analysis. If any, ask them to discuss its purpose.
5. Discuss the purpose of the SWOT Analysis. Distribute SWOT Handout and Sample Analysis Handout. Introduce the analysis as a tool to help municipal officials examine the current state of the municipality/community itself and the external environment. Use the uncovered chart.

6. Divide participants into groups by municipality, if possible, or by urban, rural, village municipalities and discuss each category to ensure that participants understand internal strengths and weakness and external opportunities and threats. Discuss examples in the sample handout.
7. Give the participants the following task uncovered from the flipchart:
  - Brainstorm points to enter on the worksheets concerning external opportunities and obstacles to be faced in the next three to five years.
  - Choose four to six points that are the most important for the future of the municipality
  - Repeat the above steps for internal strengths and weaknesses
8. Allow forty-five minutes for group discussion and completion of task.
9. Each group presents findings to the entire group.
10. The trainer records common points and initiates discussion concerning common points and the utility of the SWOT analysis. What are its benefits?

## Handout #8

### SWOT ANALYSIS

**S- Strength**  
**W-Weakness**  
**O-Opportunity**  
**T-Threat**

**Internal Analysis (Strengths and Weaknesses):** Analysis of the assets and advantages and liabilities and problems of the municipal organization and community.

#### Strengths:

- What do the municipality and the community do well?
- What are the assets?
- What are you proud of?

#### Weaknesses

- What do the municipality and the community do poorly?
- What are the disadvantages of the community/municipality?
- What decisions, events, and actions should not happen again?

**External Analysis (Threats and Opportunities):** Identification and evaluation of the primary opportunities and threats of the external environment that can or cannot be influenced by the community. The external analysis examines possibilities, benefits, dangers, and unintended consequences or positive and negative assessments of the future.

#### Opportunities:

- What can be done better?
- What does the future hold in your department or field of interest?
- What changes can you influence?

#### Threats:

- What are the constraints/barriers to improved municipal performance and a livable city?
- What are areas in your municipality or community in which you have no influence?

**Handout #9**

**SAMPLE SWOT ANALYSIS**

<b>STRENGTHS</b>	<b>WEAKNESSES</b>
<p><b>MUNICIPAL GOVERNMENT ASSETS</b></p> <p><b>GOOD DECISIONS</b> Human resources: labor, family.</p> <p>Man-made resources: roads, utilities, schools, public services.</p> <p>Natural resources: land, minerals, water, relief, etc.</p>	<p>Poor decisions, infrastructure, poor planning, lack of funds.</p> <p>Lack of professional employees.</p> <p>Inability to attract outside grant funding.</p>
<p><b>OPPORTUNITIES</b></p> <p>External factors to the community, with a favorable impact. Can influence.</p> <p>National and local legislation, policy.</p> <p>Future trends to capitalize on.</p>	

## **Exercise: How to write goals and objectives**

**Objective:** To define and develop goals and objectives for your municipality.

**Time:** 2 to 3 hours

### **Preparation and materials:**

Write learner objectives and agenda on a flipchart  
Write answers to point 4 on covered flipchart  
"My Municipality" Case Study (see Handout #10)  
Goals (see Handout #11)  
Objectives (see Handout #12)  
Flipchart paper and markers

### **Process:**

#### **A. Defining and Developing Goals**

1. Welcome the participants and review learner objectives.
2. Discuss the importance of clearly understanding the problem and how it leads to achievable goals and objectives. Refer to strategic planning chapter and problem identification exercise. Review, if necessary.
3. Begin a discussion about problems and goals. Ask one participant to describe a problem in his or her community.
4. Initiate a discussion about the problem and its solutions by asking the following question:
  - What is the solution to the municipality's problem?

The trainer must ensure that the group focuses on the endpoint (improving education for young people in the community, not hiring teachers) not the specific steps the municipality can take.

Write the solutions on flipchart or chalkboard.

- How would you state the solution or endpoint as a goal?

The trainer must ensure that the goal describes the endpoint. For example, "To improve the education of young persons in the community".

5. Write the group's goal on the flipchart.
6. Ask the group to define a goal. The trainer can refer to the Goals Handout and to the Goals and Objectives discussion in the Strategic Planning Chapter.

7. Write the group's definition on the flip chart. Distribute the Goals Handout and ask participants if their goal matches the criteria.
8. Divide the participants into groups of 4 to 5 persons. Distribute Case Study: "My Municipality" and ask each participant to read the case study.
9. Give each group ½ hour to identify the problem, solution, and goal for the case study.
10. Ask each group to present their problem, solution, and goal.
11. Review goals and initiate a discussion on the ease or difficulty of writing a goal and the importance of its relationship to the problem and solution.

#### **B. Defining and developing objectives**

1. Review the goal developed by the group.
2. Ask the participants to describe the list Krakow developed in the case study conclusion. *Possible responses: A list of activities or tasks that must be completed to reach Krakow's goal.*
3. Initiate a discussion about whether or not the list is complete. Why or why not? What other activities can be taken to achieve the goal? Why?
4. Ask the group to define an objective. The trainer can refer to Objectives Handout and to the Goals and Objectives discussion in the Strategic Planning Chapter.
5. Facilitate discussion to reach the definition given in the handout.
6. Write the group's definition on the flip chart.
7. Distribute the Objectives Handout. Discuss SMART objectives.
8. Ask participants to return to their goal writing group.
9. Give the group 45 minutes to write at least 4 to 5 objectives to achieve the Krakow goal. Emphasize the use of SMART objectives.
10. Each group presents two of their objectives.
11. Ask the group as a whole to review objectives using the SMART criteria.
12. Discuss the differences between goals and objectives and why each is necessary.

## **Handout #10**

### **"MY MUNICIPALITY" CASE STUDY- LOCAL GOVERNMENT KNOWLEDGE OF THE YOUNG PEOPLE**

Krakow is a city of approximately one million people in southern Poland. Renowned as the ancient capital and former seat of Polish Kings, Krakow is now a center for tourism and a growing commercial center. Since the transition to democratic rule and the establishment of local self-government in 1989, Krakow 43 councilors are elected every four years by popular ballot through proportional representation. Executive power lies with the Mayor. In 2002, the Mayor was, for the first time, elected by popular ballot rather than elected by Council.

Research on the last two elections revealed that the youth in Krakow vote proportionally less than any other segment of the population. Krakow youth are also less knowledgeable about city government and less inclined to visit City Hall.

Krakow's municipal government wants to rectify this situation, encourage young people to become interested in city affairs, and understand the importance of voting.

A sub-committee of the City Council agrees to work on this problem and develop some ideas to resolve it. At their first meeting, the committee discusses the issue. The recording secretary writes "Youth Involvement in Krakow Municipal Government", at the top of the flip chart, and the group begins to make a list:

1. Interview youth about their needs.
2. Conduct research on what other cities are doing about this problem.
3. Study the voting patterns.
4. Collect data on the number of young people who come to city hall and why.

The first meeting ends.

## **Handout #11**

### **GOALS**

Goals are the results the municipality hopes to achieve by working to resolve the strategic issues or problems. A goal must be the solution to the problem.

Goals are long term and stated in general terms about what we hope to happen in the future. Goals, however, should be realistic.

## **Handout #12**

### **OBJECTIVES**

**Identify the objectives the municipality will pursue to work toward achieving the goal. Each goal will require more than one objective.**

**The objective answers the questions: what and when. The objective must also be SMART:**

- **S - specific/concrete (children's clothing)**
- **M - measurable by numbers (one store)**
- **A - achievable (feasible, can the community sustain the store)**
- **R - realistic (resources of the community can make this happen)**
- **T - timebound (completed by a certain date December 31, 2004)**

**Developing SMART objectives will help to determine whether they are realistic or attainable. Identify the barriers to the realization of suggested goals. However innovative and dynamic the goals may be, this step provides a "reality check." What would prevent the achievement of these alternatives or visions? Barriers could include, for example, lack of resources (economic and expertise), physical constraints, and conflicts with other municipal goals and objectives.**

## **4. Municipal Associations**

### **Exercise: Why municipal associations?**

#### **The Purpose of Municipal Associations**

**Objectives:** To gain knowledge of municipal associations.  
To understand the reasons for and advantages of municipal associations.  
To explain potential member needs and benefits.  
To analyze municipal association opportunities and constraints in Azerbaijan.

**Time:** 2 to 3 hours

**Preparation and materials:**

Write learner objectives and agenda on flipchart  
SWOT Analysis Chart on covered flipchart  
Brainstorming Techniques (see Handout #1)  
SWOT Analysis (see Handout #8)  
SWOT Analysis Chart on covered flipchart paper  
Flipchart paper and markers  
Evaluation forms (see Handout #14)

**Process:**

1. Welcome the participants and review the workshop objectives.
2. Discuss the meaning of a municipal association. Refer to chapter on municipal associations. Ask participants for their experiences.
3. Ask whether or not participants have used the brainstorming technique. If not, refer to "Vision of the City" exercise (Section III) for discussion points.
4. Distribute Brainstorming Technique Handout and review.
5. Divide participants into small groups. Give them flipcharts and markers and ask them to divide sheets into the following headings:
  - Purpose
  - Membership (geographic, type of municipality)
  - Programs
  - Information Dissemination
  - Services

- **Leadership**  
(Additional headings may be added)
6. Using the brainstorming technique, ask the groups to brainstorm their ideal of a municipal association under the above topics. Allow ½ hour.
  7. Ask each group to prepare a paragraph that succinctly describes the ideal municipal association. Allow 30 minutes.
  8. Ask each group to present their paragraph.
  9. Lead a discussion about similarities, differences, and relationships among the ideals.
  10. Using the brainstorming technique with the entire group, lead a SWOT analysis of municipal association potential in Azerbaijan. Refer to SWOT analysis exercise.
  11. Discuss the potential of establishing an association and what the next step should be.

## **5. Grant Proposal Writing**

### **Exercise: How to Write a Grant Proposal**

**Objectives:** To examine the basic requirements of a grant proposal.  
To draft an outline of a grant proposal.

**Time:** 3 to 4 hours

**Preparation and materials:**

Write learner objectives on a flip chart  
Requirements of a Grant Proposal  
"My Municipality" Case Study (see Handout #10)  
Goals and Objectives (see Handouts #11 and #12)  
Action Plan Handout (see Handout #4)

**Process:**

1. Welcome participants and review learner objectives.
2. Discuss the purpose of proposal writing.
3. Ask participants about their knowledge of and skills in proposal writing.
4. Discuss potential funding organizations for municipal governments in Azerbaijan.
5. List suggestions on flipchart.
6. Discuss the importance of strategies used to contact donors. Ask participants what strategies they have used and whether or not they were successful.
7. Ask participants to brainstorm strategies appropriate to the donors listed in point #5 above.

*Note: Introductory/Brief Proposal letter, meeting request, research about donor goals, average size of grant, deadlines, contact persons, request for introduction by previous grantee, etc.*

8. Distribute the Requirements for a Grant Proposal and the "My Municipality" Case Study. Ask participants to read each handout carefully.
9. Reemphasize the purpose of a grant proposal. Emphasize the importance of presenting a well-defined need and clear goals.
10. Ask the following questions:

- How would you describe Krakow's problem?
- What is the solution to Krakow's problem?

The trainer must ensure that the group focuses on the endpoint not the specific steps Krakow can take.

- How would you state the solution or endpoint as a goal?

The trainer must ensure that the goal describes the endpoint. For example, "To increase the interest of young persons in Krakow about local self-government".

11. Ask each group to prepare a proposal outline by writing a brief summary for each of the starred categories on the Grant Proposal Handout. Continue to use the Krakow Case as an example. Emphasize the importance of the steps required to develop problem statements, goals, objectives, and action plans. Allow 1½ to 2 hours.

*Note: The logic of a proposal follows the logic of developing a strategic plan. If participants have not participated in strategic planning training, provide them with as many handouts as needed from that chapter. The trainer may need to go through some areas in more detail depending on the audience.*

12. Ask if there are any questions.

*Note: Trainers should circulate and assist the groups.*

13. Ask two groups to present their summaries. Ask the remaining groups to act as potential donors. Would they fund this project? Why or why not? Encourage comments and discussion. If time allows, switch the roles of the groups.
14. Review the logic of each and point out areas that require improvement by asking how an issue may be better stated.
15. Review the exercise and discuss the difficulties of writing a proposal and why good proposals are more likely to be funded.

## **Handout #13**

### **PROPOSAL GUIDE**

1. Title Page
2. Summary of Proposed Program
  - To be completed after the proposal is written
  - Project/Program Title
  - Name of Organization
  - Executive Summary
  - a. Why is the project needed?
  - b. How do you know it is needed?
  - c. Who will benefit from the project? Specify age groups, gender and quantify if possible.
  - d. Who will do the planning, administering, monitoring? Who will be responsible and accountable?
  - e. What will your project achieve? Create jobs? Deliver a certain service? Increase activities for a certain population?
  - f. When will it happen and for what time period?
  - g. Will it continue after funding ends?
  - h. Where will it take place?
  - i. What will the municipality contribute? Time, money, in-kind items?
  - j. What is the funding request?
3. Proposal
  - a. Introduction to the Municipality
    - A mission statement and/ or current long term goals
    - Founding date of municipality
    - Past and present major activities and achievements
    - Population size and characteristics
    - Funding sources
    - Local NGO support
    - Current and past activities in the topic area
    - Members of Council
    - Brief History
  - b. \*Identification of Needs
    - A clear assessment of the need or problem stated in terms of citizens
    - Statistical and qualitative (from citizens) data about the problem
    - How data was collected
    - Support from experts

- Evidence that the problem can be reasonably handled
  - No assumptions
  - Information that it logically follows and relates to purpose and goals of the municipality
- c. **\*Goals and objectives to solve the above problem**  
One overall goal and as many SMART objectives as are needed to achieve the goal.
- d. **\*Methods**  
Work Plan and Timetable showing the major activities to achieve the objectives and who will do what and when.
- e. **\*Budget: Ask for exactly what you need.**
- Make sure the budget is not inflated and the donor does not have to look at the budget to determine what you want. All budget items should clearly match the goal, objectives, and activities
  - List and cost out all resources needed.
  - List and cost out all sources of revenue and in-kind contributions
  - Show clearly what you are requesting from the donor.
- f. **\*Evaluation of Project**
- When will the evaluation take place? It may be required by the donor to hire an external evaluator at the end of the project. Make sure that this cost can be requested in the budget.
  - Write an evaluation plan that clearly indicates how the project purpose and process will be evaluated. Outcomes, goals met, why or why not, the degree to which objectives were met and how the methods or activities worked or not for each necessary component.
- g. **Follow up Plans and Activities.**  
How will you continue the project when funding is ended?
- h. **Appendices**
1. Verification of tax-exempt status
  2. Listing of officers and Board of Directors
  3. Financial statements for last completed fiscal year
  4. Current general operating budget and special project budget
  5. List of clients served (if appropriate)
  6. List of other current funding sources and uses
  7. Biographies of key personnel or resumes (only if requested)
  8. Support letters or endorsements (limited number)
  9. Diagrams for equipment or building requests (if applicable)
  10. Annual reports
  11. Brochures

## **VI. EVALUATION**

### **Future Plans**

#### **Exercise: Steps to the Future**

**Objectives:** To prepare personal goals and steps for participant's work with the municipality.  
To evaluate the workshop

**Time:** 45 minutes to 1 hour

**Preparation and materials:**

Write learner objectives and workshop agenda on flipchart

Write bullets in point 3 below on covered flipchart.

Letter size paper

Flipchart paper and markers

Evaluation forms (see Handout #14)

**Process:**

1. Discuss the importance of closure in a professional training workshop.
2. Ask participants about their workshop experience and how they plan to use the information learned and skills gained in their professional work.
3. Provide paper to each participant. Uncover flipchart and ask each participant to complete the following:
  - Professional Goal for the Future: Where I want to be in five years
  - Two short term objectives: Where I want to be in 1 year, 3 years
  - Steps to achieve goal and objectives
4. Each participant is asked to share goals and objectives and discuss as a group. The participants may also choose not to share goal and objectives.
5. Distribute workshop evaluation questionnaires to each participant.
6. Ask each participant to complete the questionnaire and return to the trainer. The evaluations can be anonymous by choice of the participant.
7. Thank the participants for their participation in the workshop.



## **APPENDIX A**

### **Sample Agenda #1**

#### **LETTERHEAD**

**TITLE OF TRAINING (Citizen Participation)**

**LOCATION**

**CITY**

**DATE(S)**

**SPONSORING ORGANIZATION**

**FUNDING ORGANIZATION**

**WORKSHOP OBJECTIVES:**

#### **AGENDA**

An agenda consists of a chronological step-by-step listing of the day's activities. The activities should also include breaks and meals. -

- |          |  |
|----------|--|
| 9:00 am  | Introductions and Review of Objectives   |
| 9:30 am  | Vision of the City - Exercise  |
| 10:30 am | Introduction to Citizen Participation - (Why Citizens Matter - Brief Mini-lecture and Discussion. How Citizens contribute to the stated vision of the City - Brainstorm of Benefits of Citizen Participation.) |
| 11:00 am | Coffee Break   |
| 11:30 am | Stakeholder Identification and Analysis  |
| 2:00 pm  | Meal*  |
| 3:00 pm  | Evaluation and Future Plans  |
| 4:00 pm  | Closure  |

## **Sample Agenda #2**

### **LETTERHEAD**

**TITLE OF TRAINING (Budget Development)**

**LOCATION**

**CITY**

**DATE(S)**

**SPONSORING ORGANIZATION**

**FUNDING ORGANIZATION**

**WORKSHOP OBJECTIVES:**

- 9:00 am      Introductions and Review of Objectives**
- 9:30 am      What Makes an Effective Council Person**
- 10:30 am     Overview of the Budget Process in Azerbaijan (Mini-Lecture and Discussion)\***
- 10:45 am     Assessing Community Needs for Budget Development (Completion of step #2)**
- 11:15 am     Coffee Break**
- 11:45 am     Assessing Community Needs for Budget Development (Continued)**
- 2:00 pm      Meal**
- 3:00 pm      Evaluation and Future Plans**
- 4:00 pm      Closure**

**\*An introductory exercise about the standard municipal budget process and how it works or does not work, or how it can be improved can be inserted here.**

## **Sample Agenda #3**

### **LETTERHEAD**

**TITLE OF TRAINING (Strategic Planning)**

**LOCATION**

**CITY**

**DATE(S)**

**SPONSORING ORGANIZATION**

**FUNDING ORGANIZATION**

**WORKSHOP OBJECTIVES:**

**9:00 am      Introductions and Review of Objectives**

**9:30 am      Problem Identification**

**11:30        Coffee Break**

**12 noon      Problem Prioritization**

**1:00 pm      Meal\***

**2:00 pm      How to Conduct a SWOT Analysis**

**3:30 pm      Evaluation and Future Steps**

**4:00 pm      Closure**

## **Sample Agenda #4**

### **LETTERHEAD**

**TITLE OF TRAINING (Communal Services)**

**LOCATION**

**CITY**

**DATE(S)**

**SPONSORING ORGANIZATION**

**FUNDING ORGANIZATION**

**WORKSHOP OBJECTIVES:**

- |                 |   |
|-----------------|---|
| <b>9:00 am</b>  | <b>Introductions and Review of Objectives</b> |
| <b>9:30 am</b>  | <b>How to Develop Goals and Objectives</b>    |
| <b>11:00 am</b> | <b>Coffee Break</b>                           |
| <b>11:30 am</b> | <b>How to Develop Goals and Objectives</b>    |
| <b>12 noon</b>  | <b>How to Write an Action Plan</b>            |
| <b>2:00 pm</b>  | <b>Meal*</b>                                  |
| <b>3:00 pm</b>  | <b>Evaluation and Future Steps</b>            |
| <b>3:30pm</b>   | <b>Closure</b>                                |

**\* Mealtime can always be used to continue group work and shorten the day**

## **APPENDIX B**

### **List of Handouts**

1. Brainstorming Techniques
2. Survey Methods
3. Annual Operating Budget Worksheet
4. Action Plan
5. Action Plan Exercise: Housing Construction Tasks to be done
6. Elements of Effective Problem Identification
7. Municipality A and B case study
8. SWOT Analysis
9. Sample SWOT Analysis
10. Case Study "My Municipality"
11. Goals
12. Objectives
13. Proposal Guide
14. Evaluation Form