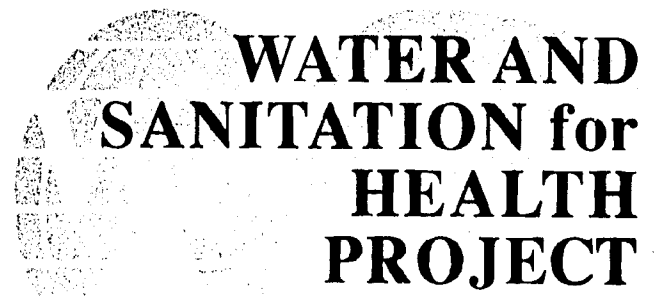


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PROJECT MONITORING REPORT 1990-91

WATER AND SANITATION FOR HEALTH AND ECUADORIAN DEVELOPMENT (WASHED)

Field Report No. 342
August 1991



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**WATER AND SANITATION FOR HEALTH
AND ECUADORIAN DEVELOPMENT (WASHED)**

Prepared for the USAID Mission to Ecuador
and the Ecuadorian Institute of Sanitary Works (IEOS)
under WASH Task No. 252

by

Daniel B. Edwards

August 1991

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Related WASH Reports

Field Report No. 311. *Project Initiation Workshop: Water and Sanitation for Health and Ecuadorian Development*. June 1990. Daniel B. Edwards. (Also available in Spanish.)

Field Report No. 288. *Pre-Implementation Workshop for the Water and Sanitation for Health and Ecuadorian Development Project, November 29-December 1, 1989*. January 1990. Scott A. Loomis. (Also available in Spanish.)

Field Report No. 245. *Social Marketing Strategies for Hygiene Education in Water and Sanitation for Rural Ecuador*. December 1988. Marco Polo Torres and Janice Jaeger Burns. (Also available in Spanish.)

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ACRONYMS

Currency	approximately 1,050 <i>suces</i> = US \$1
ESF	Economic Support Fund
IEOS	<i>Instituto Ecuatoriano de Obras Sanitarias</i> (Ecuadorian Institute for Sanitary Works)
FONASA	<i>Fondo Nacional de Agua y Saneamiento</i>
GOE	Government of Ecuador
O&M	Operations and maintenance
PRONAIIS	<i>Promoción Nacional de Educación Sanitaria</i> (National Sanitary Education Promotion Office)
PSC	Personal services contractor
TA	Technical assistance
UCETA	<i>Unidad de Coordinación de Estudios de Tecnología Apropriada</i> (Appropriate Technology Coordination and Studies Unit)
USAID	United States Agency for International Development
WASH	Water and Sanitation for Health Project
WASHED	Water and Sanitation for Health and Ecuadorian Development

EXECUTIVE SUMMARY

Introduction

This report describes the first-year results and issues raised by a project monitoring procedure for the Water and Sanitation for Health and Ecuadorian Development (WASHED) Project, a joint effort of USAID/Ecuador and the Ecuadorian Institute for Sanitary Works (IEOS). The monitoring process investigated a set of progress indicators developed in 1990 by IEOS in concert with WASH, the local technical assistance (TA) team and IEOS project component leaders. These indicators mark key milestones or results associated with major project goal areas (e.g., decentralization, institutionalization of key programs, or procedures).

Summary of Findings

On balance, the first year and a half (October 1989 to June 1991) of the project has been successful, albeit slow, and the project is in an excellent position to move ahead rapidly during the next year. There have been a mixture of successes and frustrations during this critical genesis. In the year following the project start-up workshop (held in May 1990), a number of "settling in" processes took place: contracting and hiring a technical assistance team, establishing counterpart relationships, learning about the project, and ordering project equipment. While these foundations are important for future progress, they created implementation delays in some instances. It is fair to say that the internal review processes within USAID took longer than anticipated, and IEOS needed to learn how to present specifications, budgets, and work plans in ways acceptable to USAID.

IEOS has had difficulty in meeting the full amount of planned counterpart funding. The overall project shortfall is 36 percent (\$1,544,000 of \$4,244,000); the construction budget is underfunded by \$1,200,000. While this was significant for the first year of the project, it is anticipated that the shortfall percentage will be much higher for the second project year (1991-92) because IEOS has not had an approved budget for 1991. All those interviewed complained about the lack of operational funds (e.g., travel and supplies). IEOS funding for construction had been stopped at the time of the project monitoring procedure.

On the positive side, significant progress has been made:

- To create a strong project team on all sides
- To establish a good beginning foundation of management skills among IEOS managers
- To demonstrate that female hygiene promoters are accepted and effective in working in communities

- To demonstrate that the new training function is useful and competent
- To create awareness that operations and maintenance (O&M) of systems will be the primary promotional activity of the future for system sustainability
- To build goodwill and commitment for the next year of the project

Recommendations

The following is a summary of the findings, issues, and recommendations for each technical area of the project.

Project Management

- Set up a project task force or to ensure coordination and project information flow.
- Set up a parallel provincial-level project coordinating group to coordinate the work.
- Hold a series of mini-workshops for the technical assistance team to explain the project to IEOS staff in provincial offices.
- Expedite the internal review process of USAID so that all training equipment and motorbikes are on site by October 1, 1991.
- Postpone the project evaluation (now scheduled for January 1992) until at least May 1992. This will allow more time for further implementation activities, providing greater project experience and data for evaluation purposes. This will improve the quality and usefulness of the evaluation for the project.
- Extend the project by at least two years to allow for lost time and to anticipate changes in project staff that will inevitably occur because of national elections and changes within IEOS in 1992.

Institutional Development and Decentralization

- Set up a decentralization support group as a sub-group of the project coordination task force.

- Develop better follow-up by the tA team for the management development program.
- Formally incorporate new program structures (e.g., Training and UCETA) into IEOS and assign sufficient staff to carry out the job.
- Raise the issue of counterpart funding at the necessary high levels of government to ensure that this project has a minimal chance of success. Important items are travel for promotional staff, minimal needs for office operations, and transportation.
- Hire immediately the full complement of female promoters and train them in hygiene education and promotion. By the end of the next project year, steps should be underway to convert contract female staff to IEOS permanent status at a ratio of 40 percent of all promoters.

Operations and Maintenance

- Review the draft O&M manual by bringing together selected reviewers in a conference setting.
- Produce and review a mission statement for O&M by appropriate provincial and central office levels.
- Hold workshops on the role of O&M and the duties of O&M staff for all provincial O&M staff during the next six months.
- Review the O&M survey completed last year for accuracy. A spot-check validation in at least four provinces should be conducted.
- Designate a specific budget for O&M and funds for promotional staff to allow at least one visit every two months to each community.
- Take intermediate measures regarding tariffs so that all community systems have tariff increases to account at least for inflation.
- Activate the O&M information system.
- Organize system rehabilitation needs into proposal formats and look for funding sources.
- Put the environmental impact monitoring system into practice.

- Consider use of a sanitary survey instrument and procedure for promoters' O&M routine.
- Accelerate the O&M warehousing program and stock the warehouses stocked and in operation within the next project year.

Appropriate Technology

- Develop ways for UCETA to provide more active outreach to provincial operations.
- Distribute on a monthly basis current important and useful information about community water systems, hygiene, operations and maintenance, and other relevant information (apart from any newsletter operation) throughout IEOS.
- Give UCETA more visibility within IEOS.
- Bring the current program back on schedule. Through IEOS and the TA team, address deficiencies and bring the operation current within the next six months. The water quality surveillance program and the study on construction norms are of particular importance.
- Work with university students only in very specific and limited instances. Using resources which exist within IEOS and the consulting community, deal with practical, low-cost solutions to important and recurring needs. The current trend, that all proposals come from universities, should be carefully examined. Most observers within IEOS question this strategy on the grounds that academic approaches will not address practical implementation needs.
- Implement quickly the six studies that have been approved.
- Undertake some studies within UCETA itself; its role should not be limited to research management.

Hygiene Education

- Fill the position for the full-time local consultant provided by USAID as quickly as possible. The position calls for continuous consulting assistance in planning, unit organization development, staff training, management, administration, and technical/strategic issues. These areas are critical to the success of the program in the next year.

- Support PRONAIIS in the implementation of its new strategy developed during the current review workshop. Encourage the program to work interactively in communities and to apply locally developed materials.
- Restructure the PRONAIIS unit to ensure that staff that work with provincial operations are oriented toward a "consultant" role, rather than a "supervisor" role.
- Continue the intensive training program for health promotion until all promotional staff have received training.

Training

- Encourage and reward the current direction of the training department with support by IEOS for new staff and expanded work.
- Institutionalize the unit within IEOS within the next year.
- Make official the training network at provincial levels. Officially designate and compensate the role of provincial training coordinator accordingly.
- Develop core curriculum training events, manuals, and materials with an assigned consultant, project component chiefs, and a designated training specialist from the training unit. Add appropriate staff for this effort.
- Develop a training evaluation program that provides sampling of behavioral changes and the impact on job performance at appropriate levels.
- Continue the involvement of provincial staff in training events.

Conclusions

The project monitoring exercise has served to clarify expectations, strategies, and project coordination. Considering the normal and often confusing processes of starting up a project in its first year, the WASHED Project has achieved a great deal. It is hoped that the next project year will be even more successful than the first.

Chapter 1

INTRODUCTION

1.1 Background of the Project

The primary goal of the WASHED Project (No. 518-0081) is to develop permanent systems within the *Instituto Ecuatoriano de Obras Sanitarias* (IEOS) at provincial and central office levels to strengthen and support the provision of rural water and sanitation/hygiene education to eight selected target provinces within Ecuador. When completed, the project will leave in place systems, procedures, and trained people at community levels and within IEOS so that the health status of infants and children, related to the provision and use of water, will be improved and continue to improve long after the project is over. The goal is to develop support offices at the central level which will be capable of continued extension to strengthened provincial operations.

In addition to systems and procedures development, the project seeks to directly strengthen operations and maintenance, community water boards, and health committees for provision of water and improved health. This new area of operation for IEOS includes promotion of health and hygiene messages in the communities where IEOS has already constructed systems in the target provinces. Newly constructed systems will benefit from improved procedures in promotion, operations and maintenance, and hygiene education. Expanded review and familiarity with appropriate technology options may also contribute to cost-effective solutions to recurrent problems.

Construction was the primary component of the previous USAID project. The procedures and organization for construction in that project have been successful and are to be institutionalized into the current operating procedures of IEOS. Construction activities are included in the current project so that activities that precede or follow are developed (e.g., project selection, hygiene education, and operations and maintenance). Thus, construction cost does not receive technical assistance in the current project, aside from appropriate technology innovations and development of norms. IEOS agreed to provide counterpart funding for construction costs through the Government of Ecuador (GOE) budget. Unexpended funds provided by USAID through the Economic Support Fund (ESF) have been used to complete activities programmed under the earlier project (and, incidently, have been almost the only source of construction funding due to the lack of IEOS counterpart provision this past year).

The project was scheduled to construct 80 systems in 1990 in the target provinces with IEOS funds and 80 with ESF funds. In the remaining three project years, 480 new systems are scheduled using funds from IEOS's budget (160 systems per year).

A part of the institutionalization of systems for IEOS is establishment of a delegated and decentralized provincial operation for the construction and maintenance of these systems. Increased administrative, technical, and financial delegation to the provincial chiefs and stronger provincial operations are described as outcomes in the project agreement.

Provision of technical assistance includes long-term has advisors in the following categories:

- Project coordination/management development/decentralization
- Training technology and systems development
- Operations and maintenance
- Appropriate technology and construction systems
- Hygiene education and promotion (position vacant)

This technical assistance (TA) is supplemented with international and national short-term consultants (one for each project component) provided by the WASH Project. WASH provides project strategy counterparts (one international and one local consultant) to the USAID project officer and the consultant coordinator. WASH assistance also covers strategic planning, annual project monitoring activities, and consultant services for management development in the decentralization program. The workshop and this monitoring report are part of that activity area supported by WASH.

1.2 Chronology of WASHED to Date

The following are some key events in the life of project No. 518-0081, Water and Sanitation for Ecuadorian Health and Development (WASHED):

- September 27, 1989: Project agreement signed.
- October 15, 1989: Terms of reference for long-term local advisors and WASH technical assistance drafted
- November 1989: Pre-implementation, administrative workshop conducted
- December 1989: Conditions precedent met by GOE.

- December 1989: Long-term advisor/Project Coordinator officially begins work under personal services contract (after several months of informal activity under the previous project)
- May 1990: Project start-up workshop completed
- July 1990: First annual work plan completed by IEOS and submitted to USAID
- June 1990: Contracting arrangements for hiring the local TA team approved and a contract in force with Romero and Associates
- August 1990: Long-term local advisors for the TA team hired and begin work
- October 1990: First annual project work plan approved by USAID with concomitant authority to disburse project funds to IEOS
- November 1, 1990: Funds disbursed for project advance.
- October 1990: First-phase workshop of the IEOS management development program conducted
- January 1991: IEOS changed project directors and assigned responsibility to the deputy executive director of IEOS
- February 25, 1991: Second annual project work plan submitted for AID approval
- March 26, 1991: Letter of implementation and approval of second work plan by USAID
- November 1990-July 1991: International TA in each project component provided twice by WASH
- June-July 1991: First annual project monitoring exercise is held

1.3 Terms of Reference for WASH Consultancy

An essential ingredient of the project strategy is the annual project monitoring and review procedure. A set of progress indicators is developed each year by IEOS in concert with WASH consultants, the local TA team, and IEOS project component leaders. These indicators are designed to mark key milestones or results associated with major project goal areas (e.g., decentralization and institutionalization of key programs or procedures). The project monitoring indicators are different from activity indicators, which are normally associated with a work plan or inputs; monitoring indicators provide guidance in key areas. The performance indicators used in this review were established during the project start-up procedure in May 1990. A concise summary of project progress against indicators is provided in Appendix A. New performance indicators for the upcoming year are provided in Appendix B.

The terms of reference for this procedure required that the WASH Project strategy advisors conduct wide-ranging interviews with project personnel at all levels (community, provincial, central office, TA team, USAID), read project reports, and conduct a program review workshop based upon the findings. The entire monitoring procedure is designed to involve all IEOS project participants in problem-solving and replanning strategic activities based upon self-examination and feedback from the WASH strategy advisors. The workshop and the follow-up advising, along with technical assistance follow-up by all advisors, are designed to keep the project on track and make whatever adjustments are needed to reach project goals.

1.4 Monitoring Methodology and Tasks Carried Out

The following activities were conducted prior to the workshop:

- Each IEOS project component leader and the local long-term TA team did an active internal review to compare current status against monitoring indicators for the past year.
- They then reviewed results with the WASH monitoring team to discuss progress and limitations by component.
- The consultants interviewed 89 IEOS staff, 5 local advisors, 20 community participants, and 5 WASH advisors. (See Appendix C for a list of interviewees.) These included field visits in each of the eight project provinces. Confidential interviews with the provincial chiefs, the second in charge, and the promoters and engineers working on the project were a part of the data gathering. A sample of communities was visited where hygiene education had taken place,

where systems were either under construction or recently completed, and in areas where systems had been constructed many years before.

- All project component chiefs were interviewed individually to review indicators and effectiveness in technical assistance performance. The IEOS project director, TA team coordinator, and all WASH and local TA team members were interviewed as well.
- Project documents and reports were reviewed.
- A three-day project monitoring and review workshop was held to review the findings of the monitoring procedures; to examine progress, blockages, and strategies leading to strategy adjustments for the next year; and to develop corresponding new monitoring indicators. (See Appendix D for participants, goals, schedule and workshop products.)
- Strategy sessions were held with each project component, the TA team coordinator, and the USAID project manager following the workshop. The effectiveness of technical assistance was reviewed informally and feedback was given to individual advisors, the project coordinator, and USAID.
- A one-day team building event was conducted for the local TA team and the WASH TA counterparts to review project approach and technology transfer and consulting processes.
- A draft of the report was reviewed with the USAID project advisors and the TA team coordinator.

1.5 Methodology

The two consultants who carried out the assignment are the project strategy advisors provided by WASH. This same team conducted the project initiation workshop in 1990 and provided two management training workshops to senior IEOS staff as well. The team leader, Daniel Edwards, is a management consultant who has worked on many WASH assignments. The co-consultant, Dr. Mercedes Torres, is a clinical psychologist who lives and works in Ecuador on development projects and is in private practice. Both consultants conducted all field interviews, designed and conducted the monitoring workshop, and worked with IEOS staff to design project monitoring indicators. The report was written by Mr. Edwards. Spanish language editing of the appendices was done by Dr. Torres.

Chapter 2

PRINCIPAL FINDINGS IN THE MONITORING REVIEW

2.1 Summary of Findings

On balance, the first year and a half of the project (October 1989 to June 1991) has been successful, albeit slow, and the project is in an excellent position to move ahead rapidly during the next year. A mixture of successes and frustrations have occurred. In the year since the May 1990 project start-up workshop, a number of "settling in" processes have taken place. While these foundations are important to future progress, they created implementation delays in some instances. Necessary and important achievements include the following:

- Putting a local TA team in place.
- Assigning project counterpart staff and helping them learn about the project and become committed to its goals
- Sorting out working relationships at all levels (including developing working relationships between local advisors and WASH advisors, and local advisors and counterparts within IEOS)
- Developing among IEOS staff a sufficiently broad understanding of the project concept for strategic planning and implementation
- Making changes in project staffing within IEOS, including hiring a new IEOS project director (January 1991) and new component chiefs in Appropriate Technology, and Hygiene Education and Promotion (twice)
- Convincing IEOS provincial chiefs that the project was of direct benefit to them and getting their commitment and involvement in applying new methods and procedures in a number of areas
- Specifying and ordering project equipment (vehicles and supplies and tools)
- Setting out a work plan consistent with overall project goals, getting USAID approval, and putting the plan to work
- Providing technical assistance sufficient to orient each component toward a long- and short-term strategy

These foundations were necessary building blocks for project success. It is fair to say that the project is now ready to get down to serious work in its second full year of implementation.

2.1.1 Deficiencies in Timing

The first year of project monitoring review was delayed until late June 1991 because the project was not ready to begin implementation activities until approximately nine months ago when the technical assistance team was complete and the first implementation letter was signed (about one year after project signing). Unfortunately, the accomplishments listed above have taken more time than was anticipated during the project design process. For example, it took the better part of the first year of the project to procure a local administrative services contract and to hire a local technical assistance team of four people under the PSC project coordinator. This was expected to occur during the first three to six months of the project.

The necessary project equipment was specified and ordered in January 1991 (for delivery by the end of 1991). The consequence is that O&M technicians and hygiene promoters will not have transportation for community visits for many more months (probably January 1992). It is perplexing that off-shore procurement of motorbikes requires 12 months.

Approval processes within USAID have been slow. The first work plan was submitted in early July 1990. It was approved at the end of September 1990, although there were a number of difficulties in formatting and appropriate detail in the IEOS submission that required correcting before approval. Three months to approve the project work plan and produce the first project implementation letter only added to the delay in getting started. Consequently, funds started to flow to IEOS in the thirteenth month after project signing.

2.1.2 Counterpart Funding

Counterpart funding by the GOE for IEOS has also been troubling (see Table 1). IEOS was late in submitting its annual budget, and as of July had yet to have a formally approved operating budget for FY 1991. Provincial and component managers report that they do not have funds or have extremely limited funds to pay for subsistence and vehicle travel costs for staff to visit communities. If promoter staff cannot travel to communities, all project components will eventually fail in the crucial application at the community level.

2.1.3 Construction Funding

For the most part, construction funds have been limited to previously approved USAID ESF construction projects (\$1,200,000 under budget), and a limited number of projects earmarked by the Ecuadorian Congress with the FONASA (*Fondo Nacional de Agua y Saneamiento*) budget. Despite this, IEOS's construction budget has been limited and spread over all projects in bits and pieces. Consequently all FONASA projects receive some funding, but none receives enough to finish the job. The result has been low morale for IEOS staff,

failure to complete even one IEOS-funded construction project, and a failure to meet project agreements (see Table 2). On the positive side, 20 systems were completed using ESF funds in the past year, benefiting 19,300 people directly.

TABLE 1

Counterpart Funding

Projected funding	\$2,395,000	without ESF
	3,995,000	with ESF
	249,000	5% contingency
Total projected funding	<u>\$4,244,000</u>	
1st project year		
Allocated by GOE	\$2,700,000	(includes \$1,600,000 ESF)
Shortfall	\$1,544,000	36%

TABLE 2

Construction Budget

Projected	\$3,200,000	(50% ESF, 50% GOE)
Allocated	1,600,000	ESF
	400,000	GOE
	<u>\$2,000,000</u>	Total allocated
Shortfall	\$1,200,000	37.5%

2.1.4 Positive Basis for Moving Ahead

At the same time, significant progress has been made to create a strong project team on all sides. A good beginning foundation of management skills among IEOS managers has been established. Female hygiene promoters have been accepted and are effective in community visits. The new training group has proven itself useful and competent. The project staff recognizes that operation and maintenance of systems will be the primary promotional activity of the future for system sustainability. The project has built good will and commitment for the next year of activities.

The reviews below of each project technical area are organized to indicate "requirements" (those key actions related to the performance indicators developed at the project initiation workshop [see Appendix B]), achievements, and deficiencies. Recommended actions are presented in Chapter 3.

2.2 Project Management

REQUIREMENTS

The tasks of project management established at the project start-up workshop (with indicators) were to:

- Establish mechanisms for project information and coordination.
- Carry out project administration (flow of funds, equipment specification and ordering, reporting on progress).
- Establish teamwork between the TA team and project counterparts.
- Assist provincial management with administrative strengthening, delegation, and decentralization and conduct follow-up activities for provincial management after training in management development workshops.
- Carry forward, project, and communicate a vision of what the project is and where it is going. This is the general leadership task required of project management.

ACHIEVEMENTS

Planning, Reporting, Monitoring, and Administration

- Annual project plans have been prepared in a timely manner.
- Task monitoring of work plans has taken place monthly.
- Financial reports, equipment inventories, filing systems and records, reimbursement, and flow of funds have been accomplished satisfactorily.
- Quarterly progress reports have been submitted to USAID in a timely fashion.
- All project equipment has been specified and ordered. Construction of warehouses for O&M equipment has begun and is in various stages from contract procurement to obtaining land.

Information and Teamwork

- Satisfactory team relations have been established between TA team and counterparts; there is close coordination between TA coordinator and IEOS project manager.
- Good coordination and working relationships exist between IEOS and USAID.
- There is good coordination between international and national technical assistance teams (WASH and local TA).
- At top layers of the project, an increasingly strong sense of an IEOS project team is developing, along with a sense of what the project is about.

Management Development Program

- Two highly regarded management development workshops have been conducted with managers reporting increased ability to communicate, delegate, plan work collaboratively, conduct productive meetings, develop performance indicators, and monitor staff performance.

DEFICIENCIES

Project Coordination and Information

- Component leaders report they do not know what other components are doing and do not meet as a group to discuss project progress and blockages.
- Provincial chiefs report that they have limited knowledge of project progress and events and do not feel sufficiently involved in project decisions.
- At provincial implementation levels, promoters and engineers cannot articulate what the project is or their role in it; there is a decided lack of information down to these levels in the project. Most promoters are even unaware that the project is designed to strengthen provincial operations. Confusion exists in differentiating the earlier construction project with the new institution-building project.
- The project coordination committee, agreed upon at the project start-up workshop, has yet to be formed and operational. Project management and information are vertical and primarily one way.

Provincial Management, Strengthening and Management Development

- At the provincial level, there are a number of different ways of organizing staff, each with different degrees of efficiency, motivation for promoters, and coverage to community water systems.

For example, some provinces have a promotor to act as a senior coordinator with overall work coordination of the promotion team; others have promoters divided into technical work groups (O&M, construction, hygiene promotion) with no joint planning and reporting to engineer supervisors; some provinces attempt to define the role of the promotor as multivalent (all tasks can be done by all promoters).

The consequence of this profusion of organizational forms is that some provinces have coverage ratios of one promotor to 15 communities while others have ratios of one promotor (for

O&M) to 35 or more communities. Some promoters sit idle because they cannot use the motorbike designated for construction promoters, while others have a transport rotation system.

- Provincial managers are applying or misapplying newly-learned management skills without benefit of follow-up management advising. In some cases, provincial managers are attempting excessive control measures to discipline staff, such as locking the front door and requiring a permission slip to go out the front door, or requiring that promoters sit idly at desks for weeks at a time to learn discipline.

2.3 Institutional Development and Decentralization

REQUIREMENTS

In developing institutional systems and procedures, all project components are required to work toward establishing systems and procedures that will endure within IEOS after the project concludes. There are, however, a number of very specific requirements that are especially pointed out in the project design and project agreement that require actions over the life of the project. It is the task of the IEOS project manager, assisted by the TA team coordinator and staff, to ensure that the following areas meet annual deadlines or are accomplished as soon as possible:

- Delegate technical, administrative, financial, and managerial activities to provincial level for rural water supply construction, O&M, and hygiene education; incorporate the USAID construction module methodology and procedure into the IEOS structure. Strengthen the capacity of provincial operations to operate with modern and efficient administrative and financial procedures and work towards a computerized management information system.
- Institutionalize within the official structure of IEOS new central office organizational components for Rural Water Supply and Hygiene Education Training (*Unidad de Capitación Para Agua Rural*) within a training system that reaches provincial levels, and Investigation of Appropriate Technology for Rural Water Supply and Sanitation (UCETA). Strengthen the currently existing Sanitary and Hygiene Education Promotion (PRONAS) Office and the Operations and Maintenance Office (O&M).

- Add promotional staff for hygiene education and O&M as permanent IEOS employees with a goal of reaching a balance of 40 percent female *promotoras*.

ACHIEVEMENTS

Decentralization

- The concept of decentralized construction using operational modules within a delegation scheme is well accepted within IEOS.
- Approval of plans for constructing water systems is now made by sending a central office supervisor to the provincial office. The procedure takes very little time and is considered useful and effective.
- The flow of funds for earmarked construction projects such as USAID ESF funding and FONASA funding is quick, routine, and delegated once projects are approved.
- Most provinces report that, while all staffing decisions must have central office approval, there is no overruling of provincial-level recommendations.
- Financial delegation for entering into construction contracts and procurement up to a limit of 16 million sucres (approximately \$15,500¹) has been granted and in operation within the past year. However, in practice, this delegation of spending authority is only applied to construction funds such as FONASA and USAID ESF and applies minimally to regular IEOS budget accounts.

Institutionalizing New Structures

- A new training component has been formed and provisionally staffed (although with far too few staff to do the job). Extensive technical assistance has been provided to this new unit. The unit is well regarded within IEOS and provincial staff report a high degree of acceptance.

¹ 1,050 sucres = approximately US\$1.

- The Appropriate Technology and Investigation Unit (UCETA) has been formed by administrative action with one full-time staff person assigned and a unit director who is also the head of the Department of Investigations in the National Planning Directorate of IEOS.
- The Operations and Maintenance Office and the Promotion and Sanitary Education Office (PRONASIS) were created prior to the project and are receiving technical assistance under the project.

Adding Female Staff for Promotion

- The target for the first year of the project was to add three *promotoras* per project province. The attempt to do this fell short of the goal. Of the 24 planned female staff, only 9 were hired and remain on the job. In one case, a male promotor was hired as a health educator, subverting the goal. Four *promotoras* resigned within the first month of training (January 1991). Interview data indicate that the female promoters are well accepted by IEOS colleagues, and their work as hygiene and health education professionals has been very well received in the communities. This is particularly important because much of the hygiene promotion requires contact with mothers, teachers, and community leaders.

DEFICIENCIES

Decentralization

- During the project year, an attempt was made to form a committee or work group to manage the decentralization program. This committee never was formed.
- Administrative decentralization is limited to USAID-funded contracting and project funds; provincial managers are required to seek approvals for hiring all staff (centralized personnel system) and for selection of community water systems (when not designated by Congress).
- Budgetary systems using such devices as zero-based budgeting, budgetary allocation, and expenditure in a

delegation scheme do not exist; funds are assigned on a piece-meal basis to provinces. There is no latitude for line-item shifts; accounting is centralized.

- Provincial managers report a wide range in the level of acceptance and trust for delegation from central office managers. Confusion exists as to the role of "technical supervision" from the central technical offices. It is not always clear if the chain of command is from the executive deputy director to the provincial chief or if office heads and directorate heads also have managerial authority over provincial offices.

Institutionalizing New Structures

- Training: Steps have not yet been taken to formally incorporate the training department within IEOS. The number and types of staff needed and the role of the training network with the provinces are not yet clear. A coherent training system still needs to be defined. If steps are not carried out to do so within the next year, a change of government could require the project to begin over in this critical area.
- UCETA: While IEOS contends that it is sufficient to have set up an administrative unit within an existing administrative unit, it is questionable if UCETA has been officially institutionalized within IEOS by this action. Any future administrative order could easily rescind this action and IEOS would not have a rural water supply investigation and appropriate technology unit. Formal incorporation is needed.

Adding Female Staff

- While a beginning has been made, filling only 9 of 24 targeted positions is disappointing. The goal is to have a 40 percent female promotional staff within IEOS. This first group of female promoters was hired by contract, using project funds. While it can be argued that the first step is to demonstrate the effectiveness of this new element before making this staff a permanent part of IEOS, questions are raised when female staff are added using a very temporary mechanism such as a contract.

In addition, to avoid new staff being subjected to the limitations of travel and subsistence reimbursement, the full value of all subsistence and travel has been added to the monthly contract amount. Contracts have been let across all provinces as unitary amounts without regard for the amount of travel required, distances required, or relative expenses per province. Consequently, some female promoters live in villages and travel easily to nearby communities, while others spend up to four nights a week living in various communities and paying heavy transportation costs. The range is so great that some promoters report that they only have about \$18 per month left after expenses, while their male counterparts in IEOS make about \$90 per month plus all travel and per diem expenses, which can add up to \$180 per month with overnight subsistence. The result is inequitable (even if the intent was not) and the danger is that another class of IEOS citizen/employee will be created and will leave IEOS at the first opportunity.

2.4 Project Technical Components

2.4.1 Operations and Maintenance

REQUIREMENTS

- Design an operations and maintenance system and policy complete with reporting and information forms and description of duties for all O&M personnel, from community operators to promotion and supervisory staff.
- Develop a complete O&M procedures manual that describes routine tasks and requirements for different levels of O&M for each system used in project provinces. Include all levels of staff in manual design, development, and review.
- Set up provincial-level O&M teams and operational units with clear roles for all staff and with a ratio of approximately one O&M promoter for each 15 community water systems.
- Conduct a complete O&M inventory that details current tariffs and rehabilitation and repair needs in two of the eight project provinces; conduct an inventory in the six remaining provinces.

- Develop detailed work plans in two provinces for implementation that include application of all criteria, routines, and norms in the O&M manuals. Develop similar plans for the six remaining project provinces.
- Using the results of the O&M inventory relating to tariffs, conduct a tariff study that takes into account the social, economic, cultural, and technical requirements of the communities.
- Conduct training needs assessment for O&M community boards, operators, promoters, and supervisors and determine what training is needed.
- Determine information needs for a national O&M information system.
- Design a monitoring system for environmental impact. Develop environmental protection plans for two project provinces for protection of community water systems. (Testing of these plans is in progress.)
- Construct O&M warehouses in two target provinces. (Plans are in progress for the remaining six provinces.)
- Specify materials, tools, vehicles, and motorcycles and order for all eight project provinces.

ACHIEVEMENTS

- The O&M unit at the central level has been set up and staffed.
- The O&M manual is in first draft form and is being circulated to field staff for comment.
- O&M units have been set up in all of the provinces; at least two O&M promoters have been designated in each province (these units are really a continuation of previous practice and designation of staff). Role clarity, work routines, and coverage are issues in deficit areas.
- The complete O&M inventory in two provinces was extended to all eight project provinces. It was also extended outside the project provinces for a total of 17 provinces. The inventory detailed tariff situations and needed repair. It serves as a basis for rehabilitation

funding requests as well as pointing out specific areas for follow-up actions and further studies.

- Program planning has taken place at the central office level; detailed plans for provinces have not been done.
- The detailed tariff study has reached the point of specifying the terms of reference only.
- O&M training using the new format and manual has been discussed with the training unit. There are plans to put it into action in the next year. (The training target for last year was not reached.)
- The forms for input into the O&M information system are contained within the draft O&M manual. Forms have been designed by the program but have not yet been put into use.
- Data gathering forms for environmental impact monitoring and protection of water sources have been designed, but the program has not yet been tested.
- The construction program for O&M warehouses is behind schedule; Azuay has 90 percent completion of construction, Cotopaxi 50 percent. Specifications have been written for contracting in three additional provinces, but contracts have not yet been let. The remaining provinces are in various stages of progress. The equipment needed for all warehouses has been specified and ordered (January 1991).

DEFICIENCIES

- IEOS still needs a complete policy framework with role descriptions and a clearly understood vision for O&M. The role of O&M is not yet sufficiently valued within IEOS. Policies have not been completely formed or are in various stages of development; reporting formats and definitions are contained within the O&M manual but the manual has not yet been completed or widely disseminated.
- At the provincial/implementation level, O&M promoters and their supervisors are not yet sure about what O&M is. A number of technical deficiencies exist in maintaining and/or correcting problems in the systems (particularly in slow sand filters). Promoters and

supervisors still need training in specific job tasks related to an improved O&M system.

- The issue of promotor coverage is not being faced. In some cases two promoters must visit up to 95 communities, but they cannot travel because there are no funds for subsistence. In some cases there are no motorbikes. The provincial-level organization of promoters for better coverage is confused and inconsistent.
- A comprehensive training program in O&M with a detailed needs analysis and a targeted curriculum is the goal of the next year. The needs analysis planned for last year that would have allowed this program to start by now was not conducted. This program will require another year to begin moving.
- By conducting a comprehensive O&M inventory, a great many expectations were raised in communities. Many of them believe that IEOS is now going to follow up and repair nonfunctioning or marginal systems (not a part of the current USAID project). Many of the promoters who conducted the survey also believe so and have passed this on to communities. It was not clear to many why the inventory was conducted. The data produced by the inventory may not be totally reliable because most of the promoters interviewed said they received no particular orientation about how to carry out the survey or why it was being done. The inventory was conducted on a crash basis with all promoters working at once in a short time to gather and compile data.
- In community visits, the WASH reviewers noted a number of small, easily correctable problems that the community thought IEOS should correct and IEOS thought the community should take care of. Consequently problems persist. In some cases IEOS promoters also believed that it was IEOS's job to pay for small repairs but "IEOS did not have a budget for this." Raising money at the community level was considered out of the question. The tools that are destined to communities as part of the new O&M system (with the warehouses) are believed by many to be gifts to the communities. There is confusion about where IEOS's job ends and the community's begins.
- Although some baseline data on tariffs has been gathered, the entire tariff situation is confused, inconsistent, and in need of actions that should not wait for the completion of a study (which may take a year). Some provinces have regularly raised tariffs to maintain parity with

inflation, while others have not changed the tariff in more than three years—and some in more than eight years.

2.4.2 Appropriate Technology

REQUIREMENTS

- Establish and organize the unit. Set up procedures and create a manual for the selection, approval, and monitoring steps of appropriate technology studies. Set up a review panel for studies with USAID representation.
- Establish a research program that includes a minimum of two research proposals prepared and awarded or assigned and underway.
- Define a norms and specifications study for construction and move it towards implementation.
- Define the general parameters and scope of work for a water quality control study.
- Actively manage research studies that have begun in at least two program areas during the year. Conduct follow-up with contractors or others doing studies, monitor their work, and exercise quality control over the products. Develop strategies for promulgation of study results.

ACHIEVEMENTS

- The unit for Appropriate Technology Research in Rural Water Supply (UCETA) was set up by administrative order within the Research Section of the National Directorate for Planning. The unit consists of one full-time engineer working under a part-time supervisor (the director of the Research Section).
- Of 20 research proposals received, 6 have been selected for implementation.
- Feedback on the unit's performance has been received and measures are being taken to adjust the agenda and performance strategy of the unit.

- Procedures for proposing, selecting, and approving applied research proposals have been specified.
- The unit has taken on the task of writing a newsletter for the project with current information that will be useful to field staff.
- A reference bibliography has been established.
- A request for proposals on the construction norms study has been issued.

DEFICIENCIES

- Provincial-level staff report they do not understand what UCETA is or what it is doing. They want UCETA to visit provincial operations and discuss problems with them and involve them in deciding what applications are needed.
- Not one appropriate technology study has begun in the course of more than a year.
- IEOS staff, particularly at the provincial level, fear that studies will be overly academic in nature and not applied to actual field needs.
- Prospective researchers so far are limited to university students; the full range of possible researchers within IEOS has not yet been explored.
- Specifications for the water quality systems study have not been satisfactorily written and, at the time of the monitoring review, the study design has not been completed.

2.4.3 Hygiene Education

REQUIREMENTS

- Select 12 target communities in each of the eight provinces to be used as study communities and conduct social, demographic, and economic baseline studies in 80 percent of them.
- Conduct anthropological studies to determine sociocultural profiles in all eight project provinces to adjust messages about hygiene behavior to local needs and understandings.

- Select 25 communities in each province as target communities and use these communities as a basis for intensive hygiene/sanitation promotion: form health committees, train water board members, and operators.
- Use the health committees as local structures for promotion of hygiene and sanitation messages and target at least 50 percent of them for active achievement status.
- Review past efforts and attempts at social marketing and incorporate successful elements into newly defined hygiene promotional activities; reformulate messages as appropriate.
- Redefine health/hygiene messages based upon the ethnographic studies of the eight target provinces and begin the redesign of promotional and education materials used in the program.
- Reformulate the overall hygiene promotional strategy based on all available information.

ACHIEVEMENTS

- Of the 96 baseline communities selected, 60 (64 percent) have completed studies.
- Ethnographic studies have been completed in all eight target provinces and hygiene messages have been drafted for trial and feedback in each of the provinces.
- Health committees have been formed in 80 percent of the target communities and approximately 30 target communities have been selected in each province. Sanitation promoters have been assigned in a ratio of approximately one promotor to eight communities in the target provinces. Active health committees with a well-defined program have not yet been achieved in 50 percent of the target communities.
- Sanitation and hygiene education training has been conducted for about 12 community water boards in each province using the previous health and hygiene technology (i.e., not yet incorporating new messages and approaches transferred within the project).

- In the cases where female hygiene promoters have been hired and started work, there has been very good acceptance at the community level and with IEOS colleagues.
- The general acceptance of hygiene and sanitation education/promotion within IEOS is now much higher than at the beginning of the project. The component is valued and considered important to the success of water supply systems.
- The social marketing program was reviewed and the messages for massive communication media (radio, television) have or are now being adjusted. This approach is being combined with individual contact and local educational activities in the new program design.

DEFICIENCIES

- Turnover in leadership of the component (four different component managers in the past year and a half) has created a leadership vacuum and low motivation and uncertainty within the PRONAI staff. This is now changing with a new leader for the unit (appointed in June 1991).
- The sampling procedure is incomplete with 36 baseline studies not yet finished because counterpart funds for subsistence and transportation for promoters have been deficient.
- At the community level, the formation of health committees has not received the follow-up needed; continuity has been lacking.
- Coordination with provincial leadership has been weak; provinces rely too heavily on the regional health supervisor from the central office for direction. At the same time, provincial staff believe that central office supervisors act as if they are the direct supervisors of the provincial health staff and take on more authority than is appropriate for a consultant relationship. None of the central office components have direct line authority over provincial staff, but this fact is often obscured in practice.
- Provincial leadership and hygiene promoters firmly believe that they must have audiovisual equipment (videos, slides, films) and tangible instructional aids in order to go to communities and capture interest. The understanding of techniques to involve people in self-learning

activities and the advantages of person-to-person contact so far has not been sufficiently understood.

- New health materials have not yet been designed. Programs are underway, however, to involve provincial staff and community people in the design of locally appropriate educational materials.

2.4.4 Training

REQUIREMENTS

- *Training systems development:* Set up a training unit and obtain official status for the unit as a permanent part of IEOS. Organize the unit, obtain staff, and define roles; secure office space and equipment. Set up a structure that meets the demand for training courses; form a training network.
- *Staff development:* Develop and train the personnel of the training unit and the training network with at least a beginning and intermediate training-of-trainers program. Staff should be able to conduct a needs assessment procedure and design a training course using adult learning methods.
- *Training program and training unit development:* Develop a training philosophy and a vision for the training function and communicate this vision to IEOS. Develop a specific training plan for the first and subsequent program years of the project.
- *Network:* Identify a network of training resource people within IEOS who can serve as technical trainers.
- *Conduct project training:* Carry out a program using modern training technology and use the program as a laboratory for improving training skills and effectiveness consistent with the training-of-trainers program.

ACHIEVEMENTS

- The training unit has been set up as a provisional administrative unit under the project and it has begun work. It has only a rudimentary structure of a unit chief, one secretary, and two staff members. Temporary office space has been loaned until the new IEOS office

building is completed. Training equipment has been specified but is being ordered along with all project equipment.

- A core group of trainers within IEOS has been identified by selecting one or two persons for each province to act as training coordinators and by including most of the staff of PRONAIS.
- The training core group has received two training-of-trainers courses provided through WASH. Field tasks have included beginning needs assessment assignments in core curriculum areas. The basic concepts of adult learning are being accepted and understood. The trainers are not yet able to design training programs using the methods or to conduct stand-up training using a range of techniques. They are beginning to use multiple communication techniques in sessions (such as climate setting devices and discussion).
- A preliminary training vision and philosophy has been written and a proposal to structure the training unit is now under development. This has not been circulated yet but has been reviewed by several WASH consultants and is being revised.
- Training plans were developed for the first and second years of the project. They have received favorable comment from field staff.
- A full schedule of training events using the prior technology and improvised training designs has been accomplished during the past year as follows:

Event	No. Events	No. Trained
Community-level Training		
Water boards	5	226
Sanitary education/rural teachers	8	248
Forming community leaders	7	193
Operator training in O&M	4	100
Total	24	767

Technical Training for Project Staff

Training of trainers, phase I	1	32
Training of Trainers, phase II	1	26
Project Control/management	1	22
Management Development, phase I	1	27
Management Development, phase II	1	20
Computers	3	28
Developing Sanitation Promoters	1	31
Promotion and motivation, introduction and orientation	1	30
Appropriate Technology	1	20
Research Procedures for Appropriate Technology	1	20
Total	12	256

- The new training unit and its function within IEOS are well regarded. Efforts are being made to communicate, coordinate, and involve others in training. The training-of-trainers program is popular and regarded as useful.
- Provincial staff are pleased with the efforts made to conduct training events. The use of local coordinators in each province demonstrates an intent to delegate training and make it responsive to local needs.

DEFICIENCIES

- The training unit is not adequately staffed to carry out the project mandate. The structure of the training office and system are provisional. A central office core group of training specialists dedicated to core curriculum areas is still needed
- The training department has not yet been established as an official part of IEOS.
- Because of these limitations, only 24 of 58 planned training events for community people were conducted in the past year.

- The training equipment needed for the unit was not ordered early enough for use during the past year, nor will it be ready for most of the upcoming year. Provision was not made in project planning for training equipment at the provincial levels.
- The training technology most used in the past year was the lecture method. A training-of-trainers program has yet to become integrated into the training technology applied in the field.
- Due to lack of staff in the training unit, it is nearly impossible to begin development of a series of core curriculum training manuals for instructors with training bulletins, handouts, and materials for participants. This is one of the primary goals of the training systems development component of the project.

Chapter 3

AGREEMENTS AND RECOMMENDATIONS FOR THE NEXT PROJECT YEAR

3.1 Introduction

The achievements and deficiencies listed in the previous chapter were discussed at length during the project monitoring workshop. Group analysis of these deficiencies and recommendations can be found in Spanish in the appendices. They are summarized below. Consultations by the WASH team continued after the workshop and resulted in additional recommendations. Taken together, all the recommendations are listed below. The monitoring program for the year June 1991-92 is listed in Appendix B. The indicators therein reflect agreements on changes in strategy resulting from recommendations as well.

3.2 Project Management

- A project task force or team should be set up to ensure coordination and project information flow. The task force should be composed of (at least) each project component chief, the IEOS project manager and his assistants, the technical assistance coordinator, and two representatives from provincial offices. This group should meet at least every two months and hold the meetings in the field at a provincial office to improve communication with field offices.
- To ensure that project information reaches provincial levels, a project coordinating group should be set up that includes the provincial chief, the second in command, and representatives of project components in each province. This group should meet monthly to discuss project strategies and accomplishments and coordinate the work.
- The TA team should hold a series of mini-workshops in representative regions and invite all project promoters and office staff of provincial offices. These one-day workshops should focus on desired project results (a vision of the future), project organization, and an introduction to the various project components and component strategies.
- The project equipment that was specified in January 1991 has yet to pass the internal review of USAID and be placed on order. This

process should be expedited so that all training equipment and motorbikes are on site by October 1, 1991.

- Due to time lost in the first year and a half of project life, the project evaluation (now scheduled for January 1992) should be postponed until at least May 1992. This will allow time for further implementation activities, providing greater project experience and data for evaluation purposes. This will improve the quality and usefulness of the evaluation to the project.
- USAID should consider extending the project by at least two years to allow for lost time and to anticipate changes in project staff that will inevitably occur because of national elections and changes within IEOS in 1992.

3.3 Institutional Development and Decentralization

- A decentralization support group should be set up as a sub-group of the project coordination task force. This group should develop an overall plan and program that defines exactly what is needed to expand the delegation of authority to provincial operations. The group should also consider what needs to be done to strengthen provincial operations and organize provincial teamwork for better coverage. The TA team coordinator should be part of this group.
- Improved follow-up for the management development program should be developed by the TA team. After each management development workshop (and prior to the October 1991 event) there should be a follow-up visit to each province to discuss implementation of performance indicators and mission, ways to improve the performance of the staff, and other areas of need.
- Specific steps should be taken during the next year to ensure that new program structures (e.g., Training and UCETA) are formally incorporated into IEOS and that sufficient staff are assigned to carry out the job.
- The computerized network contemplated in the project design should be set up, with a system of registering performance indicators for each province, or sufficient management information for top IEOS staff consideration. Screens for project financial information should also be included in the network.

- All administrative staff (accountants, administrative assistants) at provincial offices should be trained in improved accounting and financial reporting procedures.
- IEOS should consider developing a rationalized budgeting system that takes into account minimal needs for provincial operations and delegates use of that budget with regular budgetary transfers.
- USAID should discuss counterpart funding at the necessary high levels of government to ensure that this project has a minimal chance of success. Important items are travel for promotional staff, minimal needs for office operations, and transportation.
- Steps should be taken to immediately hire the full complement of female promoters and train them in hygiene education and promotion. By the end of the next project year, steps should be underway to convert contract female staff to IEOS permanent status in the ratio of 40 percent of all promotional staff.

3.4 Operations and Maintenance

- The draft O&M manual should be reviewed by bringing together selected reviewers in a conference setting. Community operators should be included. Sections of the manual should be written so that individuals with low literacy can understand the material.
- A mission statement for O&M should be produced and reviewed by appropriate provincial and central office levels. Specific duties of all O&M promoters and supervisors should be written and discussed and incorporated into job descriptions.
- Workshops on the role of O&M and the duties of O&M staff should be held for all provincial O&M staff during the next six months. The O&M manual should serve as an important resource to that workshop.
- The O&M survey completed last year should be reviewed for accuracy. A spot-check validation in at least four provinces should be conducted.
- A specific budget for O&M and funds for promotional staff should be assigned to allow at least one visit every two months to all communities.

- Intermediate measures should be taken regarding tariffs so that all community systems have tariff increases to account at least for inflation and to reserve 5 to 8 percent of the tariff for O&M and spare parts. The formal tariff study that will take place next year should thereafter provide formulae for adjustments. The O&M component should sponsor a "tariff conference" that includes a selection of staff and community representatives to design a strategy to accomplish tariff revision.
- The O&M information system should be promulgated. This will require specific explanations and dissemination training for provincial staff.
- System rehabilitation needs should be organized into proposal formats and funding sources sought within national and international donor sources.
- The environmental impact monitoring system should be put into practice.
- Use of a sanitary survey instrument and procedure should be considered for O&M promoters. This should be tested and incorporated into the O&M manual.
- The O&M warehousing program should be accelerated and the warehouses stocked and in operation within the next project year.

3.5 Appropriate Technology

- UCETA should develop ways to provide more active outreach to provincial operations. A regular visitation program by the unit chief and staff should be developed so that common understandings and definitions of important problems are reached.
- Current important and useful information about community water systems, hygiene, O&M, and other relevant information should be distributed on a monthly basis (apart from any newsletter operation) throughout IEOS by UCETA.
- Effort should be made to give UCETA more visibility within IEOS.

- The current program is far behind schedule with few apparent reasons except for lack of attention. Steps should be taken by IEOS and the TA team to address deficiencies and bring the operation current within the next six months. The water quality surveillance program and the study on construction norms are of particular importance.
- UCETA should consider working with university students only in very specific and limited instances. Sufficient resources exist within IEOS and the consulting community to deal with practical, low-cost solutions to important and recurring needs. The current trend, that all proposals come from universities, should be carefully examined. Most observers within IEOS question this strategy on the grounds that academic approaches will not address practical implementation needs.
- The six studies that have been approved should be implemented quickly.
- UCETA as a unit should undertake some studies itself. The role of UCETA should not be limited to research management.

3.6 Hygiene Education

- The position for the full-time local consultant provided by USAID should be filled as quickly as possible. The position calls for continuous consulting assistance in planning, unit organization development, staff training, management, administration, and technical/strategic issues. These areas are critical to the success of the program in the next year.
- PRONAIIS should be supported by IEOS in the implementation of its new strategy developed during the time of the current review workshop. The program to work interactively in communities and to apply locally developed materials should be encouraged within IEOS. The appropriate mixture of mass media and personalized promotion strategies should be continued.
- A restructuring process should take place within the PRONAIIS unit to ensure that staff that work with provincial operations are oriented toward a "consultant" role, rather than a "supervisor" role. The title of "national supervisor" should be changed to "health educator/coordinator." This is especially important because supervision in the

field is the role of provincial chiefs and delegates, not the central IEOS office. The restructuring program should review work levels and ensure that field coverage, materials development, training, and all required functions are appropriately assigned.

- The intensive training program for health promotion that has begun should be continued until all promotional staff have received training. The program should be evaluated and continued as a regular part of the IEOS core curriculum.

3.7 Training

- The current direction of the training department should be encouraged and rewarded with support by IEOS for new staff and expanded work.
- Institutionalization of the unit within IEOS should take place within the next year.
- The training network at provincial levels should be made official. The role of provincial training coordinator should be officially designated and compensated accordingly.
- Development of core curriculum training events, manuals, and materials should involve an assigned consultant, project component chiefs, and a designated training specialist from the training unit. Appropriate staff should be added for this effort.
- A training evaluation program should be developed that provides a sampling of behavioral changes and the impact on job performance at appropriate levels.
- Provincial staff should continue their involvement in training events.

3.8 Conclusions

The specific actions required to implement the above-listed recommendations were assigned to appropriate individuals during the monitoring workshop. It is important that the TA project coordinator review each recommendation, select an action follow-up item, and chart it for accomplishment.

It is also important that this report be circulated to all project staff. The indicators for next year are contained in Appendix B. These should be circulated and reviewed periodically by the coordinating task force.

The project monitoring exercise served to clarify expectations, strategies, and project coordination. Considering the normal and often confusing processes of starting up a project in its first year, the WASHED project has achieved a great deal. It is hoped that the next year will be even more productive than the first.

Appendix A

1990-91 INDICATORS

PROJECT MONITORING INDICATORS

Use of Project Monitoring Indicators

The following indicators are based upon the first year work plan of the project. They are abstracted from planned activities and goals by component. An attempt has been made to add in qualitative and quantitative measures. This instrument will serve as a rapid assessment procedure at the end of the first year of the project. For project management, these indicators can also be used as a regular system of project monitoring and benchmark.

At the end of the first year of project implementation, project staff will be asked to indicate achievements, blockages and recommended changes or modifications in project strategy. These will be reviewed and verified by interviews and project documentation during the annual project monitoring exercise conducted by WASH.

A. PROJECT MANAGEMENT AND COORDINATION

1. Project Communication, Coordination and Information

- 1.1 Has a project coordination committee been set up? yes___ No___
- 1.2 How frequently does the committee meet?_____
Comments on Meeting effectiveness:
- 1.3 How informed do project managers at provincial levels feel about project progress: Comments:
- 1.4 What means have been used to share project progress, problems, successes and issues of special interest?
Comments:
- 1.5 To what extent have IEOS managers at different levels been involved in project strategy decisions?

2. Project Planning and Plan Monitoring

- 2.1 Annual project plan submitted and agreed upon by IEOS and AID on a timely basis. Comments:**
- 2.2 Quarterly technical and administrative reports submitted on a timely basis? Comments:**
- 2.3 What steps have been followed to monitor project progress by IEOS and the TA Team? Comments:**

3. Project Administration

- 3.1 Accuracy of quarterly financial reports? Comments:**
- 3.2 How timely have internal project administrative lines and fund reimbursements been from central to provincial levels? Comments:**
- 3.3 Project Equipment: Specified, ordered and on site? Comments:**
- 3.4 Project records and Files in order? Comments:**

B. Project Decentralization Program

1. Definition, Structure and Planning of Decentralization Program

- 1.1 Decentralization task force set and functioning? Comments:**
- 1.2 Written statement of the scope, definition and goals of the decentralization program accomplished? Communicated? Comments:**

2. Decentralization Accomplishments and progress.

2.1 Delegation of authority: to what extent has authority been delegated to provincial levels for:

Technical decisions: Number of provinces_____

Comments:

Financial Authority: Number of Provinces_____

Amount of Authority:_____

Administration (hiring, personnel):

Comments:

2.2 What is the status of the development of a manual for policies and procedures for provincial managers?

3. Management Development for Decentralization

3.1 Management Development Training Program Phase I Completed?

Yes_____ No_____

Comments on Effectiveness:

3.2 To what extent can managers at different project levels in IEOS describe what a manager is supposed to be able to do?

3.3 How do managers in IEOS describe the management culture of IEOS when asked?

3.4 To what extent does top/central management express confidence in Provincial management? Comments:

B. OPERATIONS AND MAINTENANCE INDICATORS

1. Policies and System Design

- 1.1 O&M central office staffed? Comments:
- 1.2 O&M reporting forms designed and operational?
- 1.3 Decentralization policy in force that describes the degree of autonomy and duties for provincial O&M teams?
- 1.4 O&M manual for provincial and community use written?
Comments: Are there clear definitions of preventive, corrective and emergency maintenance that are understood at all provincial levels?:
 - 1.4.1 To what extent have provincial staff participated in determining and understanding these definitions?
 - 1.4.2 To what extent have community operators and board members participated in determining and understanding these definitions?

2. Provincial-level O&M Unit Formation

- 2.1 O&M modules assigned in each project province?
- 2.2 O&M module staff able to describe their roles?
Comments:
- 2.3 Work program for community visits and work routine defined and operative? Comments:
 - 2.3.1 % of community visits realized by each provincial unit (coverage)?

3. O&M Inventory

- 3.1 O&M inventory/study completed in 2 provinces?
Comments:
- 3.2 Profile of O&M status defined and analyzed in 2 provinces?
Comments:

3.3 Inventory underway in remaining 6 provinces?

4. O&M Planning

4.1 Two Provincial-level work plans designed and following criteria and established norms of O&M manuals? Comments:

4.2 50% of the remaining provinces (6) are in the process of developing full O&M system development work plans?
Comments:

5. Tariff Studies

5.1 Current Tariff situation/data compiled in 8 provinces? Comments:

5.2 Two provinces have designed alternative tariff structures? Comments:

5.3 The tariff structure exercise has designed a structure that is appropriate for social, economic, cultural and technical requirements?
Comments:

6. O&M Training

6.1 Training needs assessment completed for:

Community board members_____

Operators_____

O&M promoters_____

O&M supervisors_____

7. O&M Reporting Systems

7.1 Community-level information needs defined_____?

7.2 Provincial-level information needs defined_____?

7.3 Central Office-level information needs defined_____?

8. Community Water systems Rehabilitation Study

8.1 Those systems that need rehabilitation identified_____?

8.2 Preliminary cost estimate for rehabilitation defined by province_____?

9. O&M and Environmental Impact Management

9.1 O&M monitoring system defined_____?

Comments:

9.2 Environmental protection plan designed in two provinces_____?
Comments:

9.2.1 Testing of environmental plan in process_____?

10. Physical Construction and Equipping

10.1 Warehouses constructed in two provinces_____?

10.2 Warehousing program under development in six provinces_____?

10.3 Materials, tools, vehicles and motorcycle requisitions made and specified for all 8 project provinces_____?

C. APPROPRIATE TECHNOLOGY STUDIES COORDINATION UNIT (UCETA)

1. Establish and Organize Unit

1.1 Administrative procedural manual completed ____?

1.2 Studies review committee established_____?

2. Research Program Established

- 2.1 Two research proposals prepared_____?
- 2.2 Two research contracts awarded_____?
- 2.3 Have the scope, limits, general parameters and breakdown of the construction specifications and design norms project been defined____? Comments:
- 2.4 Have the scope and limits and general parameters of the water quality control program been defined_____? Comments:

3. Research Management

- 3.1 Research work begun in a least two approved programs_____?
- 3.2 Research follow-up: contractors work monitored, reports reviewed and commented on in the above-two programs_____? Comments on quality control of research process:

D. HEALTH AND HYGIENE/SANITATION EDUCATION AND PROMOTION

1. Baseline studies

- 1.1 80% of the 96 target new communities have had social, demographic and economic studies completed_____? Comments:
- 1.2 Socio-cultural profiles have been defined in all eight target provinces (for use in determining health messages)_____? Comments:

2. Health Promotion Activities Status in 200 communities

- 2.1 80% of the juntas administradoras have been trained _____?
- 2.2 80% of the target health committees formed_____?
- 2.3 80% of the health committee members are able to describe their tasks and duties as committee members_____?

- 2.4 50% of the committees formed are actively carrying out health promotion tasks and programs_____? Comments on the quality and process:

3. Analysis of Past Health/Social Marketing Approach

- 3.1 Program reviewed and recommendations for future success have been detailed, agreed upon within IEOS and written_____?
- 3.2 Health messages to be used in the next program reformulated as needed_____?

4. Health Educational Content

- 4.1 Based on socio-cultural studies, the specific educational content for target communities has been defined_____? Comments:
- 4.2 Materials design-re-design and development process is underway_____?

5. Health and Hygiene strategy Definition

- 5.1 Based upon an analysis of all above data, a specific, agreed-upon and feasible promotional strategy has been defined_____? Comments:

E. TRAINING SYSTEMS DEVELOPMENT/PROJECT TRAINING

1. Unit Formation

- 1.1 Training unit approved officially by IEOS_____?

2. Organization of the Training Unit

- 2.1 Training office space provided_____?

- 2.2 Training equipment in place_____?

- 2.3 Training staff hired--

- 2.3.1 A minimum of one training specialist for each two project provinces_____?

2.3.2 Training support staff hired_____?

3. Development of Training Staff; Formation of Training Specialists.

3.1 Two Training of trainers courses completed_____?

3.1.1 Staff receiving this training are able to conduct a needs assessment process_____?

3.1.2 Staff receiving this training able to demonstrate they can plan a training course using adult learning methodology_____?

4. Training Systems

4.1 A statement of training philosophy and vision for training in IEOS has been completed, distributed and commented upon_____?

4.2 The training plan for the next project year has been written, negotiated and specified_____?

4.3 A network of resource persons who will serve as technical trainers in IEOS have been identified and provincial and central office levels_____?

5. Project Training

5.1 Number of courses and persons trained in core curriculum areas:

O&M_____

Appropriate Technology_____

Community hygiene, health_____

Community juntas_____

Promoters_____

Technical training for project staff

5.1 Specify the technical training for project staff (engineers, administrators, managers) that has taken place in the past year:

Appendix B

PROJECT MONITORING INDICATORS 1991-1992

INDICADORES DE DESEMPEÑO

ADMINISTRACION Y COORDINACION DEL PROYECTO (GERENCIACION).-

1. Comunicación, Coordinación e Información del Proyecto

1.1 Se ha establecido el equipo de coordinación e información? (ECI)
SI _____ NO _____

1.2 El ECI se ha reunido seis veces al año en las provincias?
SI _____ NO _____

1.3 El ECI ha servido para comparar progresos, problemas, éxitos y temas de interés entre los componentes?
Comentarios:

1.4 El ECI ha servido para intercambiar experiencias de campo entre provincias y cuál ha sido su utilidad?
Comentarios:

1.5 Se han establecido los ocho ECIP
si _____ no _____ parcialmente _____
Comentarios:

1.6 Han servido los ECIP para difundir el alcance del Proyecto e impulsar sus actividades y coordinar el trabajo en provincias?
Comentarios:

2. Planificación del Proyecto y Monitoreo del Plan

2.1 Se Aprobó el Plan de Implementación para el año 1992, en diciembre de 1991-
si _____ no _____

2.2 Se enviaron los informes técnicos trimestrales y los informes financieros mensuales?

si _____ no _____

2.3 El Plan de Monitoreo ha servido para efectuar un seguimiento adecuado a las actividades del Proyecto?

A nivel Central si _____ no _____

A nivel Provincial si _____ no _____

Comentarios:

2.4 Se ha instalado la red de comunicación interprovincial (Informática) y se la ha utilizado para el intercambio de Información gerencial?

si _____ no _____

2.5 La Gerencia tiene conocimiento de la aplicación de los indicadores de desempeño provinciales?

Comentarios:

3. Administración del Proyecto

3.1 Los informes financieros fueron aprobados por USAID?

si _____ no _____

3.2 USAID ha reembolsado fondos oportunamente?

si _____ no _____

3.3 Están los registros y archivos en orden?

si _____ no _____

Comentarios:

3.4 Los equipos de trabajo provinciales, están debidamente conformados y utilizando procedimientos adecuados?

si _____ no _____

4. Programa de descentralización

4.1 Se ha establecido el equipo de apoyo para la descentralización?

si _____ no _____

4.2 Se ha planteado e iniciado el proceso de institucionalización de la descentralización?

Comentarios:

4.3 Se ha cumplido el programa de Desarrollo Gerencial?

si _____ no _____

4.4 Se ha establecido un plan de monitoreo de la aplicación del programa de Desarrollo Gerencial?

si _____ no _____

4.5 Están los Gerentes del Proyectos utilizando las destrezas y las técnicas impartidas en el programa de Desarrollo Gerencial?

Comentarios:

4.6 Está el nivel Central de IEOS brindando la oportunidad de aplicar la descentralización en el Proyecto?

Comentarios:

COMPONENTE DE OPERACION Y MANTENIMIENTO.

PLAN NACIONAL DE OPERACION Y MANTENIMIENTO.-

1. Se elaboró el estudio, análisis, impresión y difusión del Plan Nacional de O&M ?

MANUAL DE OPERACION Y MANTENIMIENTO.-

2. Se realizó la revisión técnica y pedagógica del Manual de O&M.

2.1 Se aprobó y aplicó el Manual de Operación y Mantenimiento?

ASIGNACION DE FONDOS

3. Se asignó y entregó los recursos económicos para Operación y Mantenimiento?

VISITAS DE OBSERVACION

4. Se preparó y realizó un calendario de visitas a los sistemas de agua potable en cada provincia?

TARIFAS

5. Se realizó la contratación, ejecución y aprobación del estudio tarifario?

5.1 Se aplicó el nuevo Estudio Tarifario en las provincias?

CAPACITACION

6. Se realizaron cuatro Talleres de Capacitación del personal directivo y promotores en las provincias?

6.1 Se coordinó la preparación de Talleres con el Componente de Capacitación?

7. Se preparó formularios para las pequeñas Juntas Administradoras de Agua Potable?

8. Se entregó a provincias la información computarizada del inventario de Sistemas de Agua Potable y Saneamiento?

9. Se consiguió financiamiento para el Plan de Rehabilitación de los Sistemas de Agua Potable en las provincias?

10. Se Construyeron las ocho bodegas provinciales?

11. Se mantuvo seguimiento en la adquisición de Equipos y Materiales para Operación y Mantenimiento?

12. Se ha informado y analizado datos sobre vigilancia ambiental?

13. Se ha realizado el monitoreo de calidad de agua en coordinación con UCETA?

14. Se ha realizado el análisis de la situación actual sobre eliminación de excretas en provincias?

14.1 Se ha coordinado con UCETA y Educación Sanitaria sobre el uso y mantenimiento de letrinas?

COMPONENTE DE TECNOLOGIA APROPIADA (UCETA) Y CONSTRUCCION

1. **CONFORMACION Y ORGANIZACION DE LA UNIDAD**

1.1 Se completó el Manual de Procedimientos?

2. ESTABLECIMIENTOS DEL PROGRAMA DE INVESTIGACIONES

- 2.1 Se iniciaron tres programas de investigación?
- 2.2 Se ejecutó la revisión de normas de diseño para el área rural?
- 2.3 Se revisaron los planos tipo y especificaciones técnicas de construcción en base a los resultados de la revisión de normas?
- 2.4 Se inició el plan piloto de muestreo de calidad de agua en dos provincias en coordinación con Operación y Mantenimiento.

3. CAPACITACION

- 3.1 Se capacitó al personal de UCETA ?
- 3.2 Se capacitó a Promotores de Operación y Mantenimiento para el Monitoreo de calidad de agua?

4. DIVULGACION DE RESULTADO

- 4.1 Se ha publicado los tres temas de investigación preparados por UCETA?
- 4.2 Se ha publicado la revista de UCETA?
- 4.3 Se ha evaluado la utilidad en provincias de los temas publicados?

COMPONENTE DE EDUCACION SANITARIA

1. DIRECTORES PROVINCIALES.

- 1.1 Se han realizado las reuniones semestrales de trabajo del monitoreo y retroalimentación del avance del Programa?
Si _____ No _____
Comentarios:
- 1.2 Se han distribuido boletines bimensuales sobre el avance del programa?
Si _____ No _____
Comentarios:

1.3 Se han realizado visitas semestrales a provincias por parte del jefe del componente?

Si _____ No _____

Comentarios:

1.4 El desarrollo del Programa cuenta con el respaldo de los Directores Provinciales?

Si _____ No _____

2. SUPERVISORES

2.1 Se han detectado las necesidades de capacitación?

Si _____ No _____

2.2 Se ha realizado el tercer Taller de Capacitación a Capacitadores?

Si _____ No _____

2.3 Se elaboró la guía sobre supervisión, monitoreo y evaluación participativa?

Si _____ No _____

Comentarios:

2.4 Se organizó la biblioteca especializada a nivel central?

Si _____ No _____

2.5 Se efectuaron reuniones mensuales para retroalimentar el avance del programa con el equipo de supervisores y jefe de componente?

Si _____ No _____

Comentarios:

2.6 Se definió y delegó funciones específicas a cada supervisor?

Si _____ No _____

2.7 Hay una apreciación favorable a nivel de Directores Provinciales y Promotores del trabajo del Supervisor?

Si _____ No _____

Comentarios:

3. PROMOTORES

- 3.1 Se realizó la detección de necesidades de capacitación del grupo de promotores?
Si _____ No _____
- 3.2 Se seleccionó a treinta promotoras nuevas a nivel provincial?
Si _____ No _____
- 3.3 Se capacitó a las nuevas promotoras?
Si _____ No _____
- 3.4 Se ha distribuido una colección básica de libros especializados en cada provincia?
Si _____ No _____
- 3.5 Se revisó y amplió el manual del promotor?
Si _____ No _____

4. COMUNIDAD

- 4.1 Se produjeron programas radiales con la participación de promotores y comunidad a nivel provincial?
Si _____ No _____
Comentarios:
- 4.2 Se produjo material impreso con la participación de promotores y comunidad a nivel provincial ?
Si _____ No _____
Comentarios:
- 4.3 Se elaboró material impreso para maestros y alumnos?
Maestros: Si _____ No _____
Alumnos: Si _____ No _____
Comentarios:
- 4.4 Se elaboró material impreso para madres analfabetas y quichua parlantes?
Si _____ No _____
Comentarios:

- 4.5 Cuántas sesiones educativas se realizaron No.____
 -líderes formales e informales No.____
 -líderes mujeres No.____
 - Maestros rurales No.____
 Comentarios:
- 4.6 Se realizó el seguimiento educativo de:
 -líderes formales e informales Si____No____
 -líderes mujeres Si____No____
 - Maestros rurales Si____No____
 Comentarios:
- 4.7 Se realizaron monitoreos y evaluaciones de las actividades realizadas en las comunidades?
 Si_____No_____
- Comentarios:
- 4.8 Se ha realizado la encuesta C.A.P. en el 25% de 260 comunidades del Programa?
 Si_____No_____
- Comentarios:

COMPONENTE DE CAPACITACION

1. La Unidad de Capacitación está ya establecida oficialmente?
 si _____ no _____
2. **Sistema de Capacitación**
- 2.1 Fue aprobado oficialmente?
 si_____ no _____
- 2.2 Está funcionando de acuerdo a las políticas y normas establecidas?
 si_____ no_____
- Comentarios:

3. Coordinadores de Capacitación Provincial

3.1 Existen en todas las provincias? si___ no___

3.2 Qué porcentaje de su tiempo cumplen funciones de capacitación? _____%

4. Definición de funciones del Coordinador de Capacitación provincial

4.1 Están definidas y distribuidas?
si_____no_____

4.2 Cada Coordinador realiza la funciones determinadas?
si_____no_____

5. Detección de necesidades

5.1 La detección de necesidades fue ejecutada antes de todo el Proyecto?
si_____no_____

5.2 Existe un Plan de Capacitación para 1992 basado en detección de
necesidades?
si_____no_____

6. Diseño de Cursos de Capacitación

6.1 Cuántos eventos realizados cuentan con un diseño completo? _____

7. Evaluación y Seguimiento

7.1 Se elaboraron el proceso y los instrumentos de seguimiento y evaluación?

7.2 Qué cursos recibieron seguimiento y/o evaluación de impacto?

7.3 Con qué resultados?

IMPLEMENTACION EN PROVINCIAS

1. Cualitativos

- 1.1 Grado de conocimientos de misión por parte del personal provincial
- 1.2 Grado de delegación de funciones
- 1.3 Grado de motivación para cumplimiento de la misión

2. Cuantitativos

- 2.1 Cobertura de servicio
- 2.2 Grado de eficiencia de reuniones
- 2.3 Grado de aceptación de comunidades a IEOS provincial

RECOMENDACIONES DE LA REUNION PLENARIA

SOBRE LOS INDICADORES DE DESEMPEÑO

- EL PROGRAMA DE GERENCIA DE IEOS CENTRAL NECESITA COORDINARSE CON LOS PROGRAMAS DE GERENCIA PROVINCIALES
- ES URGENTE UNA REUNION ENTRE LOS COMPONENTES DE CAPACITACION Y EDUCACION SANITARIA PARA DEFINIR EL DOBLE PAPEL DE LOS PROMOTORES DE EDUCACION SANITARIA Y COORDINADORES DE CAPACITACION.
- EL PROBLEMA DE SUPERPOSICION DE ROLES EN EL CASO DE LOS PROMOTORES SANITARIOS PODRIA ANALIZARSE AL INTERIOR DEL ECI.
- LA DETERMINACION DE TRABAJO DE LOS PROMOTORES DEPENDE PRINCIPALMENTE DEL DIRECTOR PROVINCIAL Y NO DE LAS JEFATURAS A NIVEL CENTRAL
- ES CONVENIENTE ANALIZAR LOS INDICADORES DEL " PROGRAMA PROVINCIAL" CON EL PERSONAL DE CADA DIRECCION PROVINCIAL

- INCLUIR DENTRO DEL PROGRAMA PROVINCIAL, LA EVALUACION DEL TRABAJO EN BASE A LOS INDICADORES DE DESEMPEÑO PLANTEADOS EN EL CURSO DE DESARROLLO GERENCIAL FASE II
- ES NECESARIO INCLUIR EN EL PROGRAMA PROVINCIAL LA COORDINACION CON UCETA Y NOMBRAR UN COORDINADOR EN CADA DIRECCION

Appendix C

PERSONS INTERVIEWED

PERSONAS ENTREVISTADAS DURANTE EL PROCESO DE MONITOREO DEL PROYECTO

PROVINCIA DE EL ORO.-

FREDY AGUIRRE	INGENIERO JEFE DE MODULO
ALFREDO LOPEZ	INGENIERO SEGUNDO DE A BORDO
BOLIVAR JARAMILLO	PROMOTOR EDUCACION SANITARIA
ALFONSO FERNANDEZ	SUPERVISOR DE EDUC. SANITARIA
CARMEN SALAZAR	PROMOTORA EDUCACION SANITARIA
SANDRA POLO	PROMOTORA EDUCACION SANITARIA
LUIS VANEGAS	PRESIDENTE JAAP TORATA
ANGEL TENESACA	OPERADOR SIST.A.P. DE TORATA

VISITAS Y ENTREVISTA EN LAS COMUNIDADES DE:

TORATA, EL CARMEN Y ZARACAY.

PROVINCIA DEL AZUAY.-

GUILLERMO CORDERO	DIRECTOR PROVINCIAL
EDUARDO VELEZ	INGENIERO SEGUNDO DE A BORDO
MARCELO ALVARADO	PROMOTOR EDUC. SANITARIA
VICENTE LUNA	
VICTOR GUANGA	
TERESA MARQUINA	
PATRICIA GARZON	
LUCAS ORTIZ	COMP. OPREC.Y MANTENIM.
ROLANDO ARMIJOS	
MANUEL VICUÑA	
RAFAEL NAJERA	CONSTRUCCIONES
CARLOS TORRES	
FERNANDO CORELLA	

PRONVINCIA DEL CHIMBORAZO.-

CARLOS VALLEJO
VINICIO BURGOS
ADRIANO BRIVIO
JOSE OROZCO
HERNAN MALDONADO
FRANKLIN ESTRELLA
MARCO CEVALLOS
HERNAN SAMANIEGO
ANIBAL ARMJOS
JORGE GUERRERO
IVAN GUEVARA
NELSON BAYAS
JOSE DAVILA
LUIS LARREINA
LUIS ALTAMIRANO

DIRECTOR PROVINCIAL
INGENIERO JEFE DE MODULO
PROMOTOR EDUC.SANITARIA

PROMOTOR OPERAC.Y MANTEN.

CONSTRUCCIONES

PROVINCIA DE TUNGURAHUA.-

GERMAN ANDA
MARCO ALTAMIRANO

DIRECTOR PROVINCIAL
INGENIERO JEFE DE MODULO

PROVINCIA DEL COTOPAXI.-

CARLOS PAZMIÑO
HECTOR REINOSO
NEPTALI ANGULO
GUALBERTO GOMEZ
GUSTAVO GORDON
FRANCISCO VALLEJO
BENITO ALMACHE
WASHINGTON SALGADO
ROSALINO DEL HIERRO
FRANCISCO GARCIA
FERNANDO QUIMBITA
PABLO ROSERO
OSCAR ALVEAR
ROCIO COKE
JAQUELINE ESCOBAR
GUSTAVO SOLIS
BOLIVAR RIVADENEIRA
RENE BASTIDAS

DIRECTOR PROVINCIAL
INGENIERO SEGUNDO DE A BORDO
INGENIERO JEFE DE MODULO
PROMOTOR. OPERAC.Y MANT.

PROMOTOR CONSTRUCCIONES

PROMOTORA EDUC.SANITARIA

VISITA Y ENTREVISTAS EN LAS COMUNIDADES DE:

ZUMBALICA Y TANDACATO

PROVINCIA DEL CARCHI.-

ROMULO AGUIRRE
RAMIRO POZO
GALO BENALCAZAR
ALVARO FRANCO
LUIS ALVAREZ
WILMER VILLARREAL
GERMANICO CUAICAL
JORGE CHAMORRO
VINICIO SALAZAR
WILSON REINOSO
MAURICIO NARVAEZ

DIRECTOR PROVINCIAL
INGENIERO JEFE DE MODULO
PROMOTOR EDUCACION SANITARIA

PROMOTOR OPERAC.Y MANT.

PROMOTR CONSTRUCCIONES

VISITA Y ENTREVISTA EN LAS COMUNIDADES DE:

CHILES, ALOR-EL ROSAL

PROVINCIA DE IMBABURA.-

RAMIRO ACOSTA
RAMIRO ZAVALA
ALFREDO IZA
GERMAN MUÑOZ
HUGO VALENCIA
MIRIAM TORO
RICARDO ARIAS
YANA DE LA TORRE
GONZALO RUBIO

DIRECTOR PROVINCIAL
INGENIERO SEGUNDO DE A BORDO
INGENIERO JEFE DE MODULO
COORDINADOR DE PROMOTORES
PROMOTOR OPERAC. Y MANTEN.
PROMOTORA EDUCAC.SANITAR.

PROMOTORA CONSTRUCCIONES

IEOS CENTRAL

MIGUEL ARIAS OSEJO
ADALID ARRATIA M.
VICTOR PESANTEZ
FRANCO NARVAEZ
DIEGO CONZALES
JOSE PILAMUNGA
MAGNO PEREZ

GERENTE DEL PROYECTO
COORDINADOR DEL PROYECTO
ASISTENTE DEL GERENTE
JEFE COMP. OPERAC. Y MANT.
JEFE COMP.CONSTRUCCION
JEFE COMP. TECNOLOGIA APROP.
JEFE COMP. EDUCACION SANITARIA

CLEMENTE BONE
HECTOR ORQUERA

SEGUNDO DE A BORDO COMP.ED.SAN.
JEFE COMP.CAPACITACION

Appendix D

**MONITORING WORKSHOP PRODUCTS AND AGREEMENTS
(In Spanish)**

**NOMINA DE PARTICIPANTES EN EL TALLER DE MONITOREO
PROYECTO USAID-IEOS 518-0081**

USAID

Mario Vergara
Patricia Rodríguez

IEOS

Miguel Bucheli
Héctor Orquera
Iván Ruiz
Elena Parra
Franco Narvárez
Victor Pesántez
Miguel Arias
Magno Pérez
Clemente Bone
Guillermo Cordero
Eduardo Vélez
José Pilamung
Carlos Orozco
Ramiro Acosta
Ramiro Zabala
Rómulo Aguirre
Wilson Guerra
Carlos Vallejo
Francisco Hernández
Germán Anda
Marco Salazar
Carlos Pazmiño
Hector Reinoso
J. Oliva

**Equipo de Asistencia Técnica
de Largo Plazo**

Juan Carlos Bermeo
Jorge Echeverría
Marcelo Piedra
Adalid Arratia

Asesores WASH

Donald Graybill
Mercedes Torres
Judy Aibel
Fred Rosensweig
Oscar Larrea
Octavio Córdón
Daniel Edwards

HORARIO AGENDA

HORA	DIA I	DIA II	DIA III
08:30	ARRANQUE RESULTADOS DE ENTREVISTAS	LOGROS LIMITACIONES Y RECOMENDACIONES POR COMPONENTE DE PROYECTO	REVISAR PLAN DE TRABAJO ELABORAR NUEVOS INDICADORES
10:00		R E C E S O	
10:15	TEMAS GLOBALES		
12:30		A L M U E R Z O	
14:00	INFORMES DE GRU- POS DE TRABAJO	PRESENTACIONES POR COMPONENTE	ACUERDOS Y CONCLUSIONES
15:30		R E C E S O	
17:30	18:00	17:00	15:30 CLAUSURA

**TALLER DE MONITOREO
PUEMBO, 8 AL 10 DE JULIO DE 1991**

**OBSERVACIONES DE LOS CONSULTORES SOBRE
LA IMPLEMENTACION DEL PROYECTO**

A.- TEMAS GLOBALES

1.- COORDINACION E INFORMACION DEL PROYECTO.-

- No existe un Comité de Coordinación del Proyecto
- Falta de comunicación entre componentes a nivel central
- Información parcial de la oficina central hacia provincias
- No existe reuniones periódicas entre Jefes de Componentes y Directores Provinciales
- No existe una información global del Proyecto hacia diferentes niveles.
- Desconocimiento del Proyecto por parte de ingenieros y promotores.

2.- ORGANIZACION DE EQUIPOS DE TRABAJO A NIVEL PROVINCIAL

- Existen diferentes formas de organización de los promotores en las provincias
- Organización de promotores dirigidos por uno de ellos
- Separación de los promotores en pequeños grupos dirigidos por un Ingeniero
- Tendencia a trabajo plurifuncional de los promotores
- Cobertura inadecuada
- Falta de conocimientos técnicos sobre todo en O&M

3.- DELEGACION - DESCENTRALIZACION - DESARROLLO GERENCIAL.-

- Delegación técnica exitosa en el área de estudios y diseño de sistemas
- Se ha ampliado el margen de gasto provincial
- No se ha formado un Comité de descentralización
- La descentralización administrativa es limitada a módulos USAID
- Existe confusión en los mecanismos para ciertos gastos
- La selección de comunidades tiene una delegación variable
- En general la delegación está entregada a la provincia pero se mantiene la necesidad de aprobación central

4.- INSTITUCIONALIZACION DE NUEVAS ESTRUCTURAS ORGANIZACIONALES.-

- Incorporar a las mujeres como promotoras de planta
- Incorporación de la Unidad de Capacitación
- Legalización de UCETA dentro de la división
- Incorporación de módulos operativos USAID a IEOS

5.- ADMINISTRACION Y FLUJO DE FONDOS.-

- El flujo de fondos AID es ágil
- El flujo de fondos de FONASA es ágil
- El flujo de fondos IEOS no tiene delegación ni agilidad
- Existe una aparente diferencia de criterios sobre autorización de gastos
- La contraparte financiera no se está cumpliendo hasta la fecha

6.- EQUIPAMIENTO

- Los equipos por componentes están en trámite de compra
- No se ha determinado la red de información computarizada
- La construcción de bodegas están en proceso aunque en diferentes etapas

B.- COMPONENTES DEL PROYECTO

1.- OPERACION Y MANTENIMIENTO.-

- Existe un inventario en las ocho provincias: tarifas, sistemas y juntas.
- Se ha elaborado un manual, el mismo que será revisado a diferentes niveles
- No existe una clara definición de Operación y Mantenimiento a varios niveles
- Existe confusión entre mantenimiento preventivo,correctivo, de emergencia y rehabilitación de los sistemas.
- No existen repuestos ni accesorios
- Falta de conocimiento de rutinas de trabajo por parte de los promotores incluyendo temas administrativos de las J.A.A.P.
- Falta de comprensión y delimitación de responsabilidades de IEOS y Comunidad.
- En general no existe cobertura por parte de los promotores debido al número de personal y a la deficiencia de transporte.
- Existen muchas expectativas, algunas de ellas sobredimensionadas sobre el programa de O&M y disposición para ejecutarlo.
- Los procedimientos de operación con filtros, necesitan atención
- Fallas de diseño en algunos sistemas viejos

2.- CONSTRUCCION.-

- El programa de módulos operativos ha sido exitoso: gran agilidad y efectividad.
- Conviene incorporar estos aprendizajes a IEOS

3.- TECNOLOGIA APROPIADA.-

- Se ha seleccionado 6 de 20 propuestas de investigación
- No hay ningún estudio en proceso

- Se está replanteando nuevas estrategias de trabajo
- Se está elaborando el primer número de una revista
- Falta de coordinación y comprometimiento para detectar necesidades
- Se ha formulado los procedimientos para seleccionar y aprobar los proyectos.

4. EDUCACION SANITARIA.-

- Muy buena aceptación de las promotoras por parte de la comunidad y de los compaeros de trabajo
- Conciencia del valor de este componente a todo nivel
- El proceso está avanzado a pesar de los limitantes existentes
- Se ha organizado un componente de Educación Sanitaria en cada provincia
- Se ha iniciado el proceso de capacitación
- Gran apertura de la Comunidad a los Programas de Educación Sanitaria
- Existen limitantes para el desarrollo de programas: actitudes autoritarias, transporte, tipo de material, etc.

5.- CAPACITACION.-

- Muy buena imagen de la Unidad
- Valoran los eventos realizados
- Existe una coordinación de la Unidad con otros Componentes y las provincias
- Eficiencia del sistema de capacitación
- Se siente una delegación provincial
- Falta articular el Sistema de Capacitación
- Falta definición y legalización del rol de los capacitadores en las provincia y a un nivel central.
- Se ha cumplido con una gran parte de los eventos previstos del Cronograma

ANALISIS DE TEMAS GLOBALES

GRUPO 1

COORDINACION E INFORMACION DEL PROYECTO

- 1.- Debe establecerse El Equipo de Coordinación e Información (ECI) como un mecanismo válido para el éxito el Proyecto.

2.- ROL DEL EQUIPO DE COORDINACION E INFORMACION.-

- A) Asegurar la comunicación entre el Equipo de Coordinación Central y los Equipos de las Provincias
- B) Coordinar entre Componentes el avance del Proyecto
- C) Asegurar mecanismos de información entre las provincias
- D) Compartir experiencias del desarrollo del proyecto
- E) Proponer soluciones compartidas a los problemas

3.- CONFORMACION DEL EQUIPO DE COORDINACION E INFORMACION._

- 3.1. - Gerente IEOS
 - Asistente Gerencia (Secretario)
 - Coordinador Programa
 - Jefes de Componentes
 - Delegados por provincias (dos rotativos)
- 3.2. Equipo de apoyo
 - Asesores
 - Encargado Financiero
 - Otros
- 3.3. Lugar de reunión: Dirección Provincial
Frecuencia: Bimensual (1er viernes cada dos meses)

4.- FUNCIONES DEL EQUIPO DE COORDINACION E INFORMACION PROVINCIAL.-

- Asegurar comunicación entre Dirección Provincial y Jefes de Componentes
- Coordinar y evaluar la marcha de los componentes
- Solucionar problemas detectados
- Analizar el desarrollo del Proyecto en la provincia, en forma periódica.

APORTE DE LA REUNION PLENARIA

1.- ACUERDOS

- Se acordó conformar el "Comité de Coordinación del Proyecto"

2.- SUGERENCIAS

- A.-** Determinar los mecanismos y las estrategias específicas para la información central hacia las provincias.
- B.-** Incluir en la información la "participación" de las provincias para la toma de decisiones.
 - Revisar el número de personas que conformarán el Comité
 - Tomar en cuenta el objetivo del comité para determinar el número de miembros.
 - Utilizar la estructura orgánica que tiene el IEOS
 - Ampliar las funciones del "Comité de Gerencia" con información y coordinación

GRUPO 2

ORGANIZACION DE EQUIPOS DE TRABAJO A NIVEL PROVINCIAL

CONCLUSIONES.-

- **DOS FORMAS DE ORGANIZACION:**
 - . Equipo de promotores con un coordinador -líder-; diferenciados por la especialización (O&M, E.S.y OONSTR.)
 - . Grupos de promotores por áreas (*) trabajando aisladamente
- **FALTA DE NORMATIZACION** (Descripción de funciones y/o responsabilidades, estrategias de coordinación entre componentes.
- **FALTA DE CONOCIMIENTO DE LOS PROMOTORES EN LAS DIFERENTES ESPECIALIDADES O AREAS.**
- **LIMITACION DE RECURSOS ECONOMICOS**
- **MALA DISTRIBUCION DE FUNCIONES, QUE NO PERMITE UNA COBERTURA ADECUADA**

RECOMENDACIONES.-

- Se recomienda que el equipo de trabajo de promotoras, cuente con un coordinador líder
- Identificar los vacíos de sistematización, normatización y desarrollar estrategias de funcionamiento, apropiadas.
- Implementar un plan de capacitación permanente y básica , por áreas ; para el equipo de promoción por provincia.
- Asignación de recursos suficientes
- Replanificación en la distribución de funciones
Mejor coordinación entre áreas de trabajo

APORTE DE LA REUNION PLENARIA

ACUERDOS.-

Formar un solo equipo con todos los promotores

SUGERENCIAS.-

A) Decidir en cada provincia el líder del equipo de promotores.

Alternativas:

- Un coordinador promotor
- Un coordinador ingeniero
- El coordinador promotor es el enlace directo con un ingeniero, quien da las directrices de trabajo

B) La capacitación debe ser para todos los promotores de las 8 provincias

El programa de capacitación debe incluir:

- Informe y comprensión global del proyecto
- Aspectos básicos sobre construcción, O&M y Educación Sanitaria.
- Profundización de cada área de acuerdo con su responsabilidad.

GRUPO 3

DELEGACION-DESCENTRALIZACION-DESARROLLO GERENCIAL

FORMAR EL COMITÉ DE DESCENTRALIZACIÓN

Recomendación a los miembros.-

1. Gerente del Proyecto IEOS
2. Director de Planificación (Secretario Ejecutivo)
3. Representante de la Dirección Provincial
4. Observador, Delegado de USAID

Responsabilidades del Comité:

1. Evaluación de logros del Proyecto
2. Establecer acciones
3. Plantear el proceso de institucionalización
4. Impulsar el proceso

TAREAS INMEDIATAS DE GERENCIA

- Desarrollar una cultura y memoria institucional para una continuidad de funciones
- Comunicación: difundir a todo nivel los alcances de la descentralización (Establecer Talleres y Reuniones)
- Fortalecer Dirección Administrativa y Financiera
- Impulsar el trabajo de componentes con las provincias (proceso multiplicador en sistema de información)

APORTE DE LA REUNION PLENARIA

ACUERDOS.-

- Formar el "Comité de Descentralización"

SUGERENCIAS.-

- A) No incluir al Director Nacional de Planificación en el "Comité de Descentralización"
- B) "El Comité de Coordinación" tendrá el mismo personal que el "Comité de Descentralización"
- C) El "Comité" presentará sugerencias y/o propuestas al Director Ejecutivo y Junta Directiva para ponerlas en práctica en las 8 provincias del proyecto, después de haber sido aprobadas.

GRUPO 4

INSTITUCIONALIZACION DE NUEVAS ESTRUCTURAS ORGANIZACIONALES

- Promotoras como personal de planta:
 - . Selección en provincias (respeto)
 - . Agilidad y legalización contractual
 - . Cumplir con el Convenio (# de promotoras)

ACUERDOS.-

- Incorporación de la Unidad de Capacitación
 - . Integrarse al organigrama IEOS (Div. RR.HH.) (H.J.D.) - Registro Oficial.
 - . Capacitación a todo nivel
 - . Descentralización - unidades Provinciales más ágiles .
 - . Asignación de recursos: Coordinar Plan Operativo
 - . La normatividad debe impartir el Civel Central
- Legalización de UCETA
 - . Incorporar a UCETA en la Dirección Nacional de Planificación Div. de Investigación e Información aprovechando los recursos existentes.
- Incorporación del Módulo Operativo USAID a IEOS
 - . Comprobado el éxito de los Módulos Operativos USAID debe ponerse en vigencia lo establecido en el Convenio (normar mecanismos)
 - . Tecnología Apropiada debe investigar a qué áreas puede aplicarse Módulos Operativos.
 - . Cumplimiento de IEOS en el Convenio sobre todo financiamiento de contraparte
 - . USAID debe ejercer buenas relaciones para coordinar con las autoridades IEOS la consecución de fondos de contraparte.

APORTE DE LA REUNION PLENARIA

ACUERDOS.-

- A) Iniciar el proceso de institucionalización durante el presente año.
- B) Entregar a IEOS los beneficios de la metodología de trabajo de "Módulos Operativos"

OBSERVACIONES.-

- A) La inclusión de nuevo personal (promotoras) depende de la Dirección Nacional de Personal y Ministerio de Finanzas y rebasa la autoridad de IEOS
- B) Se está creando la conciencia de la necesidad de capacitación dentro del IEOS

GRUPO 5

ADMINISTRACION Y FLUJO DE FONDOS

Recorte y/o cambio de presupuesto sin conocimiento de provincias y sin coordinación a nivel central.

Los recortes o cambios presupuestarios se deberán hacer en estrecha coordinación con las Direcciones Provinciales y con la debida agilidad.

Incumplimiento en la entrega oportuna de los informes técnico-financiero por las Direcciones Provinciales (Riobamba. Febrero 21/91)

Demandar de las Direcciones Provinciales el estricto cumplimiento de los compromisos adquiridos, so pena de la suspensión del flujo de fondos.

Falta de clarificación y unificación de criterios para la aplicación de procedimientos Administrativo-Financieros

Recomendar al Instituto la unificación de criterios a ser aplicados

Desconocimiento del alcance o facultad del tipo de gasto por parte de las Direcciones Provinciales.

La facultad de gasto deberá dar la gerencia y el tipo de gasto únicamente el Dirección Financiera

COROLARIO.-

No se puede cumplir con la contraparte financiera debido a la falta de transferencias por parte del Ministerio de Finanzas.

APORTE DE LA REUNION PLENARIA

SUGERENCIAS.-

- Participación de las provincias para la toma de decisiones en los "recortes"

OBSERVACIONES.-

- La entrega de informes no es un problema administrativo, sino financiero. Insisten en solicitar el cumplimiento del acuerdo de (Riobamba, Febrero 21 de 1991)

ANALISIS DE COMPONENTES DEL PROYECTO

COMPONENTE DE OPERACION Y MANENIMIENTO

INDICADOR	LOGROS	RECOMENDACIONES
1)Política y Diseño	.Conformación de U.C. .Descentralización parcial y elaboración manual (borrador)	Recibir, analizar e incluir observaciones para elaboración del -manual definitivo
	.Participación a todo nivel	
2)Conformación U. O&M provinciales	Conformadas 100%	Asignación de recursos para funcionamiento
3)Inventario de O&M	Previsto en 8 Prov. Ejecutado en 17 Logro del Proyecto	Cobertura nacional Delegar Prov.actualización y uso inventario (sistema cómputo)
4)Planificación O&M Nivel Central	Aplicación en Provincias	
5)Estudio tarifas	Datos 8 provincias	Contratación dise;o plan tarifario acorde nivel socio-económico

6)Capacitación O&M	Coordinación con C.de Capacitación Delegación de capacitación a nivel provincial	Continuidad en capacitación a comunidades, promotores y personal ejecutivo
7)Sistemas Inform.	Definido sistemas Formularios Sistema nac. de informática	Mayor difusión y aplicación
8)Rehabilitación Sist. A.P.	Identificación y costos	Asignación de recursos: Financiamiento externo Utilización saldos Construc. Marco legal utilización saldos de bodega Aporte comunitario Reprogramación convenio 518-0081
9)Impacto Ambiental	Plan de monitoreo	Elabor.e impl. planes prov.
10)Contruc.y Equipamiento	Bodegas 3 prov. Específic.listado de materiales e equipos	Completar bodegas y agilizar adquisiciones

LIMITANTE GENERAL: RECURSOS ECONOMICOS

RECOMENDACIONES DE LA REUNION PLENARIA

1. Que las autoridades del IEOS tomen en cuenta las propuestas de financiamiento e inicien los trámites lo más rápido posible
2. Delimitar la rehabilitación y el mantenimiento de sistemas
3. Estudiar las estrategias para recuperar las inversiones realizadas en rehabilitación
4. Posibilidad de incluir una variable de recuperación de rehabilitación
5. Organizar un "Taller" específico para tratar temas sobre tarifas y rehabilitación

COMPONENTE TECNOLOGIA APROPIADA Y CONSTRUCCIONES

TECNOLOGIA APROPIADA.-

LOGROS.-

- . Establecimiento de UCETA en DNPLA
- . Inicio de acopio de información bibliográfica
- . Formulación de procedimientos para selección y aprobación de proyectos de investigación
- . Selección de temas 6 de 20
- . Revista UCETA No. 1
- . Invitación a la Revisión de Normas

LIMITANTES.-

- . Insuficiencia de personal: equipos, espacio físico.
- . Falta de agilidad en adquisiciones de la contraparte
- . Poco interés de participación

RECOMENDACIONES.-

- . Mayor promoción de las actividades de UCETA
- . Difundir a corto plazo artículos técnicos
- . Detección de necesidades a nivel provincial (Información y/o Investigación)
- . Coordinación con los demás componentes y provincias
- . Plan de Monitoreo: O&M, Capacitación
- . Iniciar las 6 investigaciones
- . Concluir las investigaciones existentes

COMPONENTE CONSTRUCCIONES

LOGROS.-

- . Cumplimiento del programa establecido con agilidad y efectividad
- . Confirmación de la efectividad del sistema de construcciones mediante módulos
- . Localización directa y efectiva para localidades pequeñas

LIMITANTES.-

- . Incumplimiento económico de la contraparte
- . La inflación modifica los presupuestos iniciales de los proyectos

Clemente Bone
Guillermo Cordero
Eduardo Vélez
José Pilamung
Carlos Orozco
Ramiro Acosta
Ramiro Zabala
Rómulo Aguirre
Wilson Guerra
Carlos Vallejo
Francisco Hernández
Germán Anda
Marco Salazar
Carlos Pazmiño
Hector Reinoso
J. Oliva

No existen normas acordes con la realidad nacional

RECOMENDACIONES.-

- . Los presupuestos de los proyectos deben sujetarse al inicio y durante la ejecución de la obra.
- . Que los logros sean extensivos a programas similares del IEOS
- . Conclusión total de los sistemas, previo a la entrega
- . Liquidación económica de los proyectos
- . **NORMAS:-** Limitación de normas a lo necesario y preparación de guías orientadoras de diseño
- . **GUIAS:-** Investigaciones de campo flexibles, prácticas, económicas de acuerdo a la realidad nacional.

RECOMENDACIONES DE LA REUNION PLENARIA

- Aplicación práctica de las investigaciones en los sistemas
- No sólo ser un organismo intermediario entre IEOS y otras organizaciones que realizan investigaciones
- Que UCETA sea ejecutor de las investigaciones tomando como base las necesidades planteadas por las provincias
- Coordinación de UCETA con O&M y Capacitación para determinar las necesidades de adiestramiento de los promotores para la ejecución del Programa de monitoreo de la calidad del agua mediante la preparación de un temario de contenido técnico.
- Difundir tecnologías existentes en el país y fuera de él para ser aplicadas inmediatamente en las provincias

COMPONENTE DE EDUCACION SANITARIA

LOGROS.-

- Se han efectuado 60 encuestas sanitarias básicas y socio-económicas de las 96 nuevas comunidades
- Se ha realizado el 100% del estudio socio-cultural en 8 provincias y se han definido los contenidos de los mensajes educativos en base a los resultados del estudio
- Se realizó la capacitación a 100 JAAP en contenidos de educación sanitaria La cobertura es del 100%
- Se conformaron los comités locales de Educación Sanitaria (CLES) en el 80% de las comunidades seleccionadas

- Existe muy buena aceptación de las promotoras por parte de la comunidad y compañeros de trabajo
- Se tiene conciencia del valor e importancia de este componente a nivel institucional y comunitario
- Se revisó el programa anterior de mercadeo social y se diseñó un nuevo programa compatible con la realidad socio-cultural
- Se rediseñó el material educativo escolar.

LIMITACIONES.-

- No se realizaron 36 encuestas sanitarias básicas por falta de recursos
- No se realizó seguimiento por las interrupciones del programa
- No hubo seguimiento permanente para asesorar y motivar a los CLES
- No se realizó diseño de nuevos materiales debido a la reformulación del programa
- Varios de los limitantes del programa obedecen a los cambios frecuentes del Jefe del Componente y Asesores

RECOMENDACIONES

- Que los supervisores de Educación Sanitaria sean mantenidos en una zona de trabajo
- Que el componente de Educación Sanitaria tenga el apoyo administrativo y político y la estabilidad en la Jefatura del componente
- Que en los niveles de supervisión se ubique a personal con experiencia y conocimientos inherentes a su área de trabajo.

PROGRAMA ANTERIOR DE EDUCACION SANITARIA

LINEAMIENTOS

- Basado en 12 metas de cambios de comportamiento en hábitos de higiene a nivel comunitario. 5 metas a nivel escolar
- Se tomaron dos estrategias de comunicación: masiva e interpersonal
- Se dio más énfasis a la comunicación masiva
- El programa estaba dirigido a la comunidad en forma uni-direccional

LIMITANTES.-

- Falta de involucramiento efectivo de los niveles correspondientes
- Mayor dependencia de la comunicación masiva
- Económico

- Cobertura inadecuada
- Falta de conocimientos técnicos sobre todo en O&M

3.- DELEGACION - DESCENTRALIZACION - DESARROLLO GERENCIAL.-

- Delegación técnica exitosa en el área de estudios y diseño de sistemas
- Se ha ampliado el margen de gasto provincial
- No se ha formado un Comité de descentralización
- La descentralización administrativa es limitada a módulos USAID
- Existe confusión en los mecanismos para ciertos gastos
- La selección de comunidades tiene una delegación variable
- En general la delegación está entregada a la provincia pero se mantiene la necesidad de aprobación central

4.- INSTITUCIONALIZACION DE NUEVAS ESTRUCTURAS ORGANIZACIONALES.-

- Incorporar a las mujeres como promotoras de planta
- Incorporación de la Unidad de Capacitación
- Legalización de UCETA dentro de la división
- Incorporación de módulos operativos USAID a IEOS

- No hubo mayor participación de la comunidad en la elaboración del programa
 - . Mensajes radiales
 - . Material impreso

LINEAMIENTOS DEL NUEVO PROGRAMA DE EDUCACION SANITARIA

NIVELES	OBJETIVOS
1. DIRECTOR PROVINCIAL	Informar y asegurar el apoyo para el programa de Educación Sanitaria
2. SUPERVISORES	Reforzar sus conocimientos, habilidades y metodologías de trabajo, relacionados con educación sanitaria
3. PROMOTORES	Reforzar los conocimientos y las metodologías de trabajo de los promotores con la comunidad
4. COMUNIDAD	Reforzar los contenidos y metodologías pedagógicas de trabajos relacionados con las actividades educativas comunitarias.

RECOMENDACIONES DE LA REUNION PLENARIA

- Dotar de material audio-visual a las provincias
- Tener una capacitación corta sobre "lectura de imágenes"

COMPONENTE DE CAPACITACION

LOGROS.-

- Estructuración de la unidad
 - . Aprobación de la Unidad a nivel de proyecto
- Espacio físico
 - . Se consiguió espacio físico provisional

- **Equipamiento**
 - . En proceso de compra
- **Recurso humano**
 - . Se consiguió traslados administrativos
 - . Apoyo provincial
- **Sistema de Capacitación**
 - . Elaborado y distribuido
- **Eventos planificados**
 - . (58) Eventos. Realizados (28)
 - . Personas capacitadas (1037)

LIMITACIONES.-

- Falta la aprobación IEOS de la estructuración de la unidad
- Insuficiente espacio físico
- El equipamiento para 1991, es a nivel central, no a nivel provincial
- No se contrató personal de planta
- El apoyo provincial se proveerá a través de un oficio del Director Provincial al Delegado de Capacitación (No existe estatus legal)
- Nivel académico insuficiente excepto en 4 eventos

RECOMENDACIONES.-

- Estructuración de la unidad, requiere legalización inmediata
- Se requiere más espacio físico
- Conseguir presupuesto, para equipamiento a nivel provincial
- Asignar personal de acuerdo a estructura presentada en el Plan de Implementación
- Delegación oficial y definición de funciones a nivel provincial
- Se esperan comentarios al documento en análisis
- Asignar personal de acuerdo a estructura

RECOMENDACIONES DE LA REUNION PLENARIA

- Que la unidad de capacitación inicie la elaboración de documentos (orgánico-estructurales, orgánicos funcionales, descripción de trabajos)
- Enviar solicitud a las autoridades para la legalización, adjuntando los documentos anteriormente citados.
- Definir lineamientos para evaluar la aplicación de la capacitación en la comunidad.
- Que los compromisos y la coordinación para los eventos de capacitación incluyan a los Directores Provinciales o el segundo de a bordo.
- El proceso de legalización de capacitación convendría hacerlo conjuntamente con UCETA

GERENCIACION DEL PROYECTO

LOGROS

PLANIFICACION Y MONITOREO.-

- Planes anuales de Implementación
- Plan de monitoreo del proyecto

ADMINISTRACION.-

- Informes financieros, equipos administrativos en provincias, registros y archivos
- Desembolsos a provincias a satisfacción

DESARROLLO GERENCIAL.-

- Continuación del programa de Desarrollo Gerencial (III Fase)
- Plan de Monitoreo

APOYO GERENCIAL.-

- Relaciones IEOS-USAID
- Fortalecimiento de relaciones internas y externas
- Dinamización de procedimientos
- Coordinación con Asistencia Técnica Internacional y Nacional

RECOMENDACIONES

- Se establecerá el Equipo de Coordinación e Información (ECI), como un mecanismo válido para el éxito del Proyecto

3.3. Lugar de reunión: Dirección Provincial
Frecuencia: Bimensual (1er viernes cada dos meses)

4.- FUNCIONES DEL EQUIPO DE COORDINACION E INFORMACION PROVINCIAL.-

- **Asegurar comunicación entre Dirección Provincial y Jefes de Componentes**
- **Coordinar y evaluar la marcha de los componentes**
- **Solucionar problemas detectados**
- **Analizar el desarrollo del Proyecto en la provincia, en forma periódica.**

APORTE DE LA REUNION PLENARIA

1.- ACUERDOS

- **Se acordó conformar el "Comité de Coordinación del Proyecto"**

ROL DEL ECI

- Asegurar la comunicación entre el ECI del nivel central y de las provincias
- Coordinar entre los componentes el avance del Proyecto
- Asegurar mecanismos de información entre las provincias
- Compartir experiencias del desarrollo del Proyecto
- Proponer soluciones compartidas a los problemas presentados

CONFORMACION DEL ECI

- El ECI estará conformado de la siguiente manera:
 - . Gerente del IEOS (nivel directivo)
 - . Asistente de Gerencia (secretario)
 - . Coordinación del Programa IEOS-USAID
 - . Jefes de Componentes
 - . Delegados provinciales (2 rotativos)
 - . Lugar de reunión: Direcciones provinciales

- Frecuencia: Bimensual (1er. viernes de cada dos meses)
- Equipo de Apoyo: Asesores, Enc. Financiero, otros

- Se conformará el equipo de Coordinación e información provincial: ECIP.
Director Provincia; Segundo de a bordo, Jefes de componente

- Información gerencial a provincias
Se implementará a través de:
Mecanismos permanente del IEOS
Subdirector(Gerente)
Asistentes del Proyecto
Directores Provinciales

- Reuniones de componentes en provincias
Jefes de componentes, ECIP
Reuniones de Proyecto
Jefes de componentes
Directores provinciales
Jefe componente provincial

DESCENTRALIZACION

Se conformará un grupo de apoyo para descentralización con las siguientes características:

- Dependencia del ECI

-Conformación: Asistente del Gerente(permanente)
Jefe del Componente
Director Provincial
Rep. Dir. Nac. Planificación (Desarrollo administrativo)
Delegado Asistencia Técnica

LIMITANTES.-

- Flujo de las finanzas
- Falta de información oportuna nivel de IEOS Central
- Cambio de los Jefes de los Componentes

RECOMENDACIONES DE LA REUNION PLENARIA

- Tomar en cuenta la red de computación para desarrollar acciones gerenciales
- Responsabilizar del desarrollo del Programa a:
 - Gerente del Proyecto IEOS
 - Coordinador del Proyecto
 - Asistente del Gerente IEOS