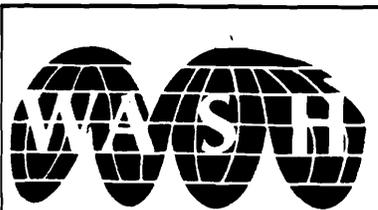


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WATER AND SANITATION
FOR HEALTH PROJECT

Operated by
CDM and Associates

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1611 N. Kent Street, Room 1002
Arlington, Virginia 22209 USA

Telephone: (703) 243-8200
Telex No. WUI 64552
Cable Address WASHAID

**PREIMPLEMENTATION WORKSHOP
ON THE WATER SUPPLY
AND SANITATION SECTOR PROJECT
NATIONAL WATER SUPPLY
AND DRAINAGE BOARD OF SRI LANKA**

26-29 APRIL, 1985

WASH FIELD REPORT No. 151

AUGUST 1985

The WASH Project is managed by Camp Dresser & McKee International, Inc. Principal cooperating institutions and subcontractors are: Associates in Rural Development, Inc.; International Science and Technology Institute, Inc.; Research Triangle Institute; Training Resources Group; University of North Carolina at Chapel Hill.

Prepared for the
USAID Mission to the
Democratic Socialist Republic of Sri Lanka
Activity No. 151

BEST AVAILABLE

WASH FIELD REPORT NO. 151

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SECTOR PROJECT
NATIONAL WATER SUPPLY AND DRAINAGE BOARD
OF SRI LANKA
26 - 29 APRIL, 1985

Prepared for the USAID Mission to the Democratic Socialist
Republic of Sri Lanka
under WASH Activity No. 151

by

Daniel B. Edwards
and
John H. Austin

August 1985

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TERMS USED

AGM (O&M)	Associate general manager for operations and maintenance; chief technical officer in the O&M branch
ARM	Assistant regional manager (there is an ARM for maintenance and an ARM for operations)
Chairman	Chief executive officer of NWSDB
DGM	Deputy general manager
GM	General manager; second in command of the NWSDB, reports to the chairman
MLGHC	Ministry of Local Government, Housing and Construction
NGO	Non-governmental organization
NGOWSS	Decade Service Non-governmental Organizations Water Supply and Sanitation Decade Service - promoting NGO's participation in achieving water supply and sanitation goals in rural and urban Sri Lanka.
NWSDB	National Water Supply and Drainage Board
OIC	Officer in charge, responsible for the operation of a water treatment plant
RM	Regional manager (O&M); in charge of all activities at the regional level relating to the operation and maintenance of water plants and distribution systems
Technical Officer	Technician, paraprofessional; i.e., a non-engineer carrying out technical work, including OICs, technical assistants, and engineering assistants
UNDP	United Nations Development Program
USAID	United States Agency for International Development

ACKNOWLEDGEMENTS

Many persons contributed to the organization and success of this workshop. The workshop committee within the NWSDB provided valuable assistance in setting up meetings, distributing reading material, and making countless logistical arrangements. For this, the following persons should be thanked: Messrs. M. Wickramage, W.A. Karunaratne, and P. Abhayagoonewardhena.

Extremely valuable workshop support, arrangements, and supervision of typing and copying were provided so efficiently that workshop participants received all small group work products neatly typed, copied, and bound within minutes of the last session of the workshop. This excellent work should be credited to Mr. B.L.C. de Silva and his crew of helpers.

The importance of the workshop was communicated to all participants by the active participation and strong support given from NWSDB top management. For this, Messrs. N.D. Peiris and S.B. Boyagane are to be thanked. Similarly, the strong active support of Eric Loken, USAID, was greatly appreciated by those involved in this effort.

Finally, the overall success of the workshop must be credited to the excellent participation and hard work of all the participants.

EXECUTIVE SUMMARY

A request for technical assistance was issued by the USAID Mission in Sri Lanka in December of 1984 to the Water and Sanitation for Health (WASH) Project for the design and implementation of a start-up workshop for the Water Supply and Sanitation Sector Project of the National Water Supply and Drainage Board (NWSDB) of Sri Lanka. This report details the background, planning, conduct, and results of the workshop which took place April 26-29, 1985, for this institutional development project.

The purpose of the Water Supply and Sanitation Project is to develop systems, procedures, and skills so the NWSDB is financially, administratively, and technically self-sufficient in four years. The workshop was requested as a way to get things moving to reduce project start-up time.

Fifty persons consisting of NWSDB top and middle-level staff, USAID, Ministry of Local Government, Housing and Construction (MLGHC) representatives, and the contractor's (Engineering Science) team attended the three-and-a-half-day workshop.

The workshop was carefully planned. Interviews were conducted with all persons attending, a two day mini-workshop was conducted with the contractor's staff to orient and prepare them for the project, and a one-half day meeting was conducted with NWSDB staff to explain the workshop and the project. A workshop steering committee, under the direction of the chairman and general manager of the NWSDB assisted in all phases of workshop preparation.

The goals of the workshop were as follows:

- To exchange basic information about the USAID/NWSDB institutional development project.
- To provide an opportunity for the project team to become acquainted with each other and to begin to build a working team.
- To clarify expectations for working together and agree upon procedures for project management and counterpart working relationships.
- To develop draft action/work plans for project start-up.

The workshop was designed as a team-building event. The majority of the workshop time was spent working in small groups on project issues: how to work together, how to manage the project, assignment of responsibilities, clarification of roles, and start-up project planning. Activities were action-oriented and highly participatory.

Outcomes

The response of the participants during the workshop was positive and highly productive. Evaluations indicate that most participants felt the workshop to be highly successful. The following is a list of the most important outcomes:

- A series of specific, written agreements were reached for how work units will work together. These agreements included the role of the consultants, the responsibilities of NWSDB staff, counterpart relations, the preferred mode for technology transfer, and procedures for conflict management.
- Major project management issues were discussed and procedures were agreed upon and recorded for monitoring, coordination, communication, frequency of meetings, reporting relationships, contractual relations, and tracking of project targets.
- The key issue of the reorganization and decentralization of the NWSDB was raised and explored as a project task. Significant problem areas and concerns were surfaced and a reorganization task force was organized as a vehicle for staff participation in decision-making and reorganization management.
- All participants became considerably more informed about the background, purposes, methodology and scope of the institutional development project.
- Action/work plans were developed for the first four months of the project in each of the seven project areas (management, training/personnel, financial/commercial, operations and maintenance, engineering, supplies and stores, and health education).
- Significant team-building and team learning were accomplished, and collaborative planning procedures and methods for clarifying expectations and roles and responsibilities were demonstrated.

Conclusions/Recommendations

- The project team should capitalize on the momentum created at this workshop by informing others at the NWSDB of the results and carry forward the agreements and action plans made.
- Workshops of this nature should be repeated at least once a year with outside consultant assistance; in-house review of project management and team relations should take place at least every six months and be monitored continuously.
- Careful management of the reorganization and decentralization will require a series of information meetings, team-building within new units, and communications among units over the next two years. It is highly recommended that organizational development experts (preferably consultants who are outside the system) be used to assist top management in carrying out this delicate task.
- An institutional development project of this nature will require significant change in managerial behavior at all levels. Current plans within the project for executive management development do not address this need directly (although the project paper does). It is recommended that this component be added to the project.

Chapter 1

BACKGROUND

1.1 Request for Assistance

The preimplementation workshop discussed in this report* represents the first major event in starting up a new water and sanitation sector project designed to provide comprehensive and systemic institutional development for the National Water Supply and Drainage Board (NWSDB). This workshop was designed to acquaint all parties with the background, qualifications, previous efforts, and working styles of other organizations. In this way the project start-up time would be shortened and draft action plans could be developed for the first few months of the project.

A request for technical assistance for the NWSDB of Sri Lanka was issued by USAID/Sri Lanka in December 1984. The assistance requested was for the design and implementation of a start-up workshop for the new project. Participants were to include staff of the NWSDB, USAID and the prime contractor that would be awarded the contract for the new water and sanitation sector project. For the chronology of project development, refer to Appendix A.

Procurement for the contract followed the planned schedule and a contractor was selected in February 1985. Dates for the workshop were set for late April to allow some time for project mobilization. John H. Austin of AID's Office of Health, Bureau for Science and Technology, and Daniel B. Edwards, a Water and Sanitation for Health (WASH) Project consultant, carried out this assignment.

1.2 Events Leading to the Request

Prior to the involvement of USAID in developing this project a series of related efforts helped set the stage. Advisors provided by the World Health Organization provided assistance in operations and maintenance, training department development, financial planning, manpower studies, and appropriate technology (1980-1984). The International Reference Center for Community Water Supply in the Hague provided funding for human-resource development studies and operations and maintenance. The World Bank provided a management study and the development of a strategic plan. The British Council and the U.N. Development Program assisted in providing offshore training and training materials.

1.3 USAID Involvement

The involvement of USAID in this project included the following major steps:

1. WASH workshop for the NWSDB to provide operations and maintenance problem-definition and action-planning. June 1983

*See the Supplement to WASH Field Report No. 151 for the written materials resulting from this workshop.

2. Development of a project identification document (PID) Fall 1983
3. Detailed technical analyses by WASH team to outline specific needs to be addressed by the project. Spring 1984
4. A project development team worked with NWSDB staff to outline each area of project activity. May 1984
5. Project paper drafted and approved. August 1984
6. Contract procurement and award. November 1984 - March 1985
7. Preimplementation workshop. April 1985

Chapter 2

WORKSHOP PREPARATION AND PLANNING

2.1 Data Collection and Needs Assessment

The first stage in developing the workshop focuses on data collection and needs assessment. Information was exchanged between the WASH consultants and the three major actors concerned with project start-up: USAID, the NWSDB, and the contractor. Meetings were held with the USAID project manager to determine the specific interests and concerns which related to project requirements so that these could be built into the workshop design. A workshop review committee was set up with designated staff from the NWSDB. The committee, which served as a reference group within the NWSDB to verify the data and to coordinate workshop logistics and planning, organized a series of meetings for the WASH consultants to interview all workshop participants in advance. In addition, a large group meeting was set up with staff who were not attending the workshop (middle-level staff and regional managers) to solicit their input. A two-day orientation and data gathering meeting was also conducted with the contractor's staff.

2.1.1 Meetings with the NWSDB Staff

Data collection and preparation tasks for the workshop were accomplished by holding a series of meetings. Each work unit within the board attending the workshop received an individual briefing and instructions for workshop preparation. Input for workshop design was collected in each meeting. The goals and desired outcomes of the workshop were explained as essentially a process in which information would be exchanged about the project and expectations for working together would be clarified. All persons attending were asked to discuss unit work problems with their colleagues in order to select priority issues for project start-up. It was explained that during the workshop, start-up planning would be conducted in order to develop four-month action plans for each technical work unit participating in the project.

During this needs-assessment process it became clear that the majority of the persons who would attend the workshop were unclear about the goals and activities of the project. Some individuals had knowledge about project activities in their own work area but few had a comprehensive idea of the entire project. In order to prepare for the workshop, background information was distributed. This consisted of copies of the project paper, the contractor's statement of work, a summary table of project targets, and a short project description.

A half-day large group meeting was held for middle-level management and representatives of regional offices who were not invited to the workshop. A total of approximately 40 persons attended this meeting, 30 percent of whom were individuals who had been invited to the workshop but wanted to attend this meeting to learn more about the project.

During this large group meeting, a complete overview of the project was presented by the USAID project officer. Then the participants met in small groups and discussed the following questions:

- What questions do you have about the project?
- What problems do you foresee in the project?
- How do you want the consultants to work with you?
- What work-related problems do you want the project to address during the first four months of the project?

The questions people had about the project illustrate their concerns. For example, all groups asked about the proposed reorganization of the NWSDB. Their questions were wide-ranging:

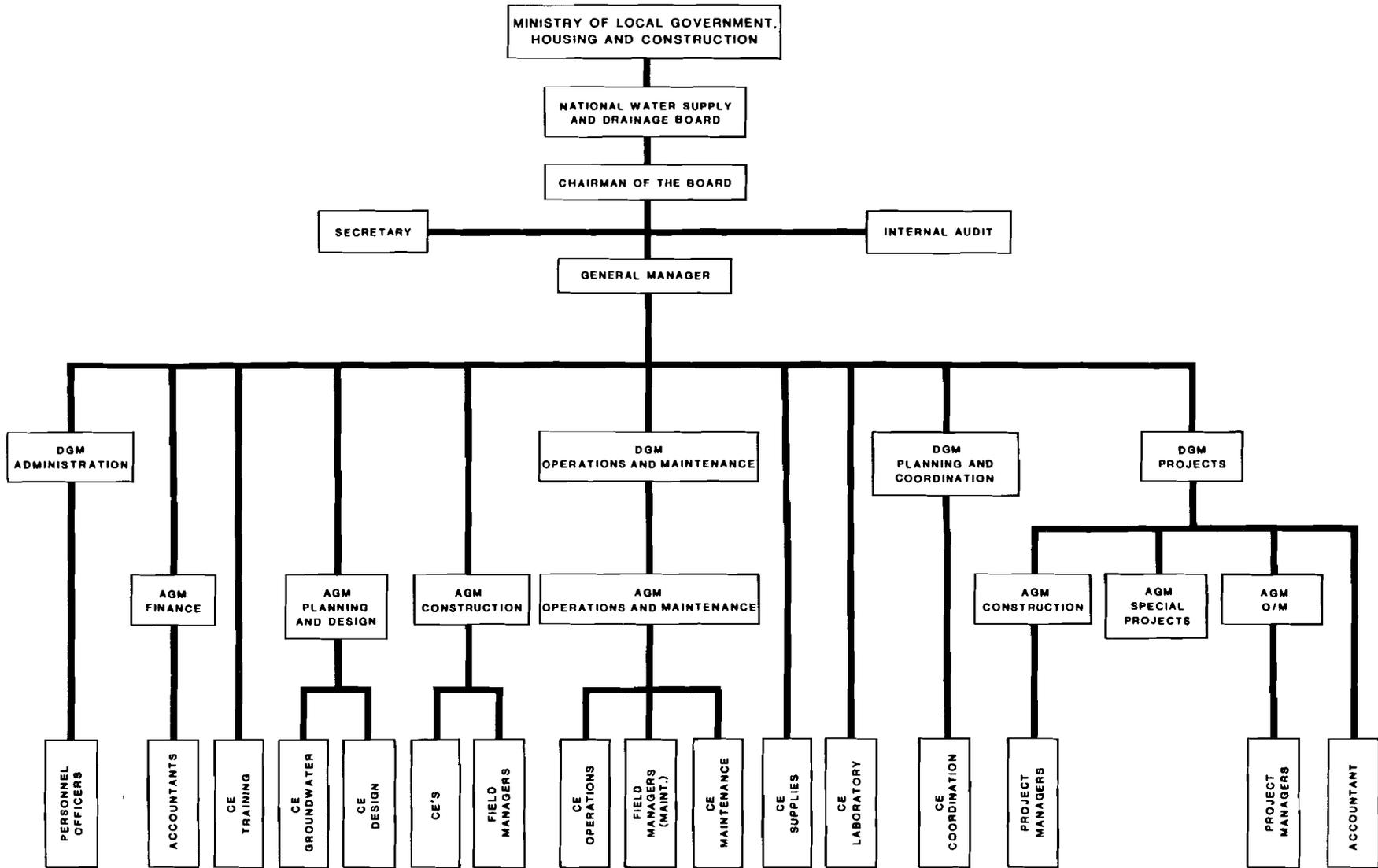
- What is the proposed table of organization?
- What will be the extent of regional-level authority (technical, political and financial)?
- What regional-level facilities will be provided (staff, housing, transport)?
- What changes will be effected in the regional-office set up?
- How much detail has been worked out in the proposed organizational structure?
- How does the present construction branch fit into the project?
- What incentives will be provided for officers to work in the regions?
- In the decentralization program where does the design and construction branch fit?
- What will be the staff structure of the Regional Services Centers?

It was clear from these questions that a great deal of concern was felt about the reorganization of the NWSDB. During the response time, the thinking behind the reorganization was explained and reference was made to the Government of Sri Lanka's policy of decentralization and the five-year strategic plan approved by the Ministry of Local Government, Housing and Construction (MLGHC). At the end of the meeting, the proposed table of organization was distributed for study. Because of the importance attached to reorganizational issues, it was decided to include a half day session on it in the workshop. (See Figures 1 and 2.)

The needs-assessment question relating to how the NWSDB staff wanted to work with the consultants received an overwhelming response from each group: "We want the consultants to work with us, not apart." Discussion of this point indicated that the NWSDB expected the consultants to work under the direction

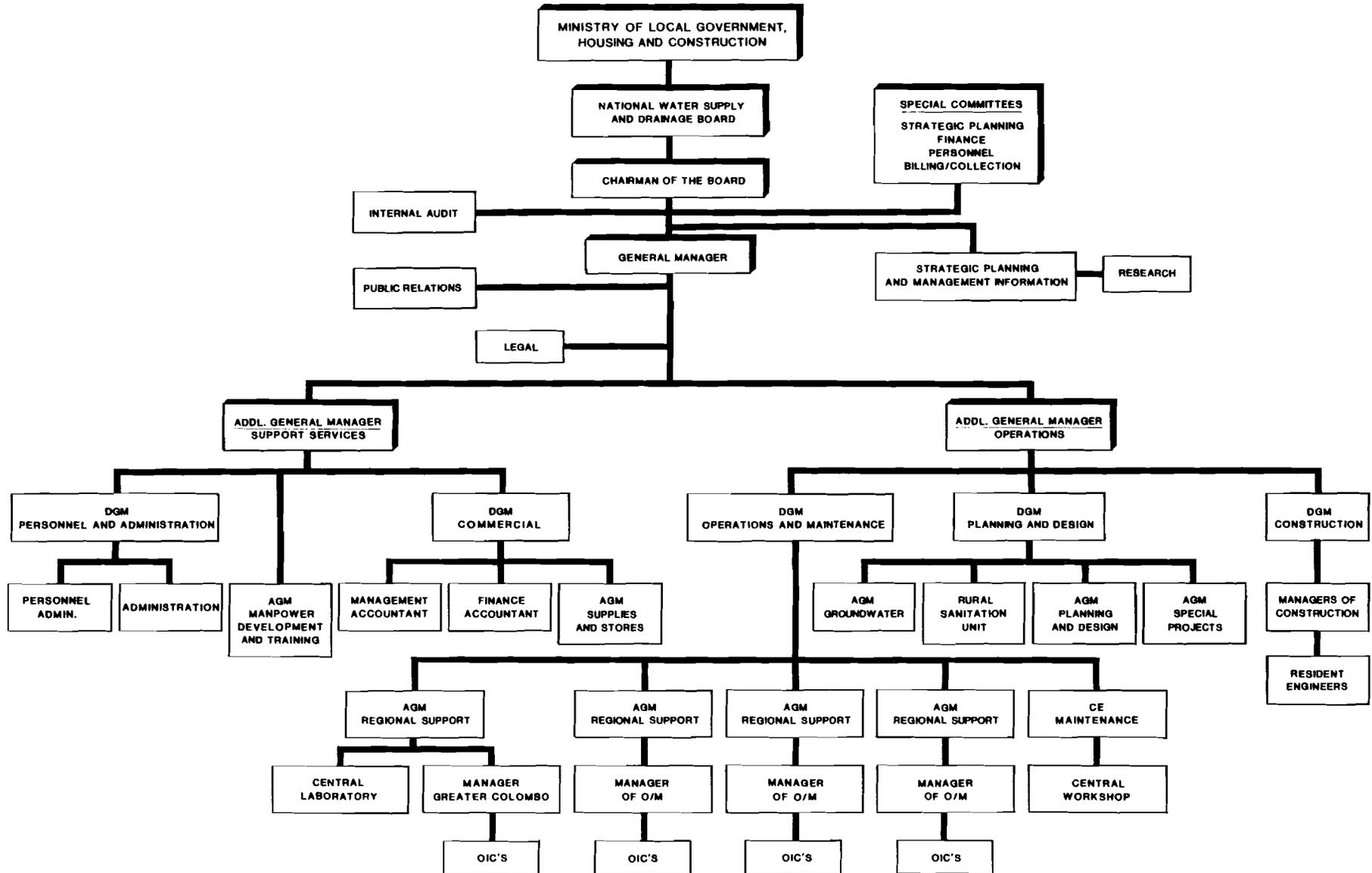
EXISTING TABLE OF ORGANIZATION NATIONAL WATER SUPPLY AND DRAINAGE BOARD

FIGURE 1



RECOMMENDED TABLE OF ORGANIZATION NATIONAL WATER SUPPLY AND DRAINAGE BOARD

FIGURE 2



of their counterparts and consult with them every step of the way. There was some concern that, because the consultants' contract was with USAID, the NWSDB would have little leverage over the contractor in cases of disagreement.

Discussion revealed that the following technical work areas were of most concern for the first four months of the project: revenue collections for supplying water and improving the supplies section, transport facilities and contracting procedures.

After the round of individual, small group, and large group interviews, it became clear that the NWSDB participants in the project wanted the workshop to address the following concerns:

- To understand more about the project and what is expected of employees in implementing it.
- To learn more about the goals of the reorganization process and have the opportunity for substantive input into it.
- To begin to work with the consultants and establish procedures for working with them -- making clear that their role is to work with the NWSDB staff.

2.1.2 Needs-Assessment Workshop for the Contractors

The needs-assessment process with the contractors consisted of a two-day workshop. This was held on Monday and Tuesday prior to the four-day workshop for all the groups which started on Friday. The WASH consultants structured a process which would provide orientation to the project, begin to build a consultant team, and solicit input for the four-day workshop. The process was also designed to allow time for the contractor's staff to become acquainted with the USAID project manager and become clearer about USAID's expectations in the project.

On the first day of the needs-assessment workshop, questions were generated about the project from the contractor staff, using a small group process. These were then discussed by the USAID project manager and the WASH consultants. Most questions were on the project's goals, how to work with counterparts, logistics and project support (office space, equipment), and project management.

The USAID project officer provided a comprehensive overview of the project (using the same material presented to NWSDB officials). The WASH consultants presented ideas on skill transfer and discussed the project design as an institutional learning process. Specific logistical questions were answered and follow-up agreements were made between USAID and the contractor.

On the second day of the needs-assessment workshop the contractor staff were asked the following questions:

- What do you want the pre-implementation workshop to address?
- How do you want it to be organized?
- What specific preparation do you need at this point?

Based on their answers, these are the goals they wished to see accomplished during the workshop:

- to develop working relationships with counterparts,
- to agree on specific work objectives,
- to identify problem areas and priorities,
- to explore expectations and commitments on both sides, and
- to learn more about the NWSDB.

Contractor staff members expressed the hope that the workshop would be action-oriented and allow time for informal and small-group sessions with counterparts, but felt that in order to prepare for the workshop, they would need to read more about the project. A bibliography was developed and sources of reading material were identified and delivered to the contractor several days prior to the workshop.

2.2 Workshop Design

From the data collected in the processes described above, a workshop design was drafted. The draft design was reviewed point by point by both the USAID project officer and a five-person NWSDB workshop review committee. The design was also reviewed by the chairman of the NWSDB and a briefing was conducted on particular concerns of the participants which the chairman could address during his opening remarks and participation.

2.2.1 Workshop Goals

The following overall goals were developed for the workshop:

- To exchange basic information about the USAID/NWSDB institutional development project.
- To provide an opportunity for the project team to become acquainted with each other and begin to build a working team.
- To clarify expectations for working together and agree upon procedures for project management and counterpart working relationships.
- To develop draft action/work plans for project start-up.

2.2.2 Workshop Schedule

April 26 - Friday

- 9:30 a.m. Registration
- 10:00 a.m. Tea
- 10:30 a.m. Introductions/Opening Remarks:
Workshop facilitators: John H. Austin, Daniel Edwards
NWSDB Chairman: N.D. Peiris
USAID Project Officer: Eric Loken
- 11:00 a.m. Getting to Know Each Other
Introduction of each person to members of his/her technical work group followed by the introduction of all non-NWSDB persons to the entire workshop audience.
- 12:30 p.m. Lunch
- 2:00 p.m. Overall Project Information
- What USAID and NWSDB have agreed upon and expect to accomplish
- Project management issues
- Group reactions
- 5:30-6:30 p.m. Social Hour

April 27 - Saturday

- 8:30 a.m. Chairman's Certification of Agreements
- 9:00 a.m. NWSDB Reorganization
- Concepts and goals of reorganization and consolidation; results of the technical studies: Eric Loken
- Plans in process; draft organization chart: N.D. Peiris
- Group discussion
- 12:30 p.m. Lunch
- 2:00 Expectations for Working Together
- Small group activity
- Full group discussion
- 5:30-6:30 p.m. Social Hour

April 28 - Sunday

- 8:30 a.m. Project Work/Action Planning
Small group activity
- 12:30 p.m. Lunch

3:00 p.m. Project Work/Action Planning Reports
Full group presentations, discussion and agreements

5:30 p.m. Social Hour

April 29 - Monday

8:30 a.m. Planning Reports, continued

10:30 a.m. Reorganization Task Force Report

11:00 a.m. Evaluation

11:30 a.m. Closing Remarks:
Daniel Edwards; John H. Austin
Eric Loken
N.D. Peiris
Richard A. Smith
Participant's representative
Evaluation

12:00 p.m. Lunch
- Departure

Chapter 3

THE WORKSHOP PROCESS

3.1 Organization

The workshop was designed as a teambuilding and planning exercise. The staff consisted of two workshop leaders who directed all activities. The support staff included a logistics coordinator, two typists, and a general support person. The workshop facility provided a residential setting with sleeping quarters and meals (and tea breaks) provided for all participants. The residential setting encouraged interaction of the participants after hours and enabled participants to give their undivided attention to the proceedings. They were free from office distractions. Many participants said that it would have taken them months to get as much accomplished if they had not isolated themselves from their daily work activities. The conference facilities consisted of a large, well lighted room with chairs arranged in a large U-shape facing a stage. Breakout space for small groups was provided in the lobby and extra rooms right next to the conference room.

3.2 The Participants

A total of 50 persons attended the workshop (for a list of participants refer to Appendix B). Thirty-two participants attended from the NWSDB. These included all the top management (chairman, general manager, and associate and deputy general managers), and those middle-level managers, section and office heads who would work directly in counterpart relationships with the consultants. The contractor's staff consisted of 11 persons who were listed as full-time or long-term staff on the project (the one long-term staff person not present was the supplies and stores specialist). The Ministry of Health sent one representative and the Ministry of Local Government, Housing and Construction sent two consultants. One NGOWSS Decade Service representative also attended. USAID was represented by three persons, including the project and assistant project managers.

3.3 Background Reading

In order to prepare participants for the workshop, reading materials were distributed a week in advance. These were designed to provide as much information as possible about the project. Copies of the following documents were distributed: the USAID project paper, a ten-page summary table of project targets and activities, a short project summary, a list of participants (including the contractor's staff), and a summary of the contractor's proposed work plan. On the first day of the workshop brief resumes of the contractor's staff were distributed. In preparation for the session on NWSDB reorganization, copies of the current and proposed table of organization, along with a summary of proposed changes and the rationale for each change, were distributed at the end of the first day.

3.4 Description of the Process

In general the workshop was designed to build relationships and advance the process of project implementation to a point of first actions. The structured activities requiring the project team to work on issues which would normally be raised in the first few months of the project were intended to accelerate the project start-up period. More important, a carefully designed series of specific tasks for counterpart teams would provide models for interaction and problem-solving which could be used throughout the life of the project. It was also assumed that clear understandings about procedures, responsibilities, and working relationships would shorten the learning curve on teamwork and avoid (or minimize) costly misunderstandings later on. These general objectives were interwoven throughout the workshop in the following manner:

To Develop a Basis for Working Together

- Day 1: Establish a basis of common information about the project and composition of sub-teams. This was designed to establish a general framework for the project/workshop and who would be interacting with whom.
- Day 2: Develop key understandings about roles and expectations for working together and managing a project of this nature. Specifically, establish who is going to play what role in the project and what the overall team should expect of its members to get project work done.
- Day 3: Surface the issue of institutional change as a cornerstone to the project and explore the consequences for the team as a whole. Specifically, lay all the cards on the table about the issue of reorganization and engage the group in working with the central issue of the project; establish that the team has a common problem to solve if they are to be successful. Establish that change is going to occur.
- Day 4: Determine and agree upon how consultants and counterparts (as sub-teams of the project) will interact as partners in learning and institutional change. Establish specific understandings of how technical teams will work together. Establish that teamwork requires communication about team relationships in open dialogue.

To Test Understandings with Actual Project Work

- Day 3: Conduct technical work planning needed for the first four months of project work in project sub-teams. Use work tasks as a device for engaging in immediate project work; test the agreements made about working as a team; establish that it is time for action.

To Coordinate Project Work: Pool Information for Start-up

- Day 4: Review all work/action plans for technical soundness and consequences for other units (timing, resources, commitments). Specifically, establish that the way to work together is to make all project information commonly shared data. At the same time,

begin the project and work out any interunit conflicts in advance of action; set a tone of action, coordination and problem solving.

The following briefly describes the mechanics of each session and summarizes specific session objectives.

3.4.1 Day One -- Morning Session: Opening Ceremonies/Getting to Know Each Other

This session occupied the first morning; its goals were as follows:

- To introduce participants to the workshop goals, agenda, and working procedures.
- To provide an opportunity for the chairman of the NWSDB and the USAID project manager to communicate to the group their expectations for the workshop and the project.
- To enable all participants to become acquainted with each person at the workshop who would be working in a technical sub-team and to introduce all non-NWSDB participants.
- To enable all participants to share specific information about each other including name, title, background, and personal information.

Introductions/Opening Remarks

After brief welcoming remarks and an introduction by the workshop leaders, the chairman addressed the group. He stressed his support for the project and spoke of the new directions which he intended the NWSDB to take with the assistance of the project (an increased emphasis on commercial functions and operations and maintenance, reorganization and consolidation, developing administrative systems, and greater delegation of authority). He charged the group with the necessity of working together to make the necessary changes and to support the project.

The USAID project officer explained the history of the project as a joint effort between USAID and the NWSDB. He spoke of the commitment of other agencies to the success of the project and their contributions (in particular the parallel efforts of the World Bank). Finally, he charged the group with the need to move towards action and explained that the time for reports and studies was over.

The workshop leaders then reviewed the goals, schedule, and logistical arrangements of the workshop.

Getting to Know Each Other

In this segment, the group met in pre-assigned groups. These were the technical work teams which would work together throughout the workshop and the project; they consisted of contractor staff and counterparts. Group members

interviewed each other and prepared themselves to present information to the full group about newcomers or outsiders to the NWSDB.

3.4.2 Day One -- Afternoon Session: Overall Project Information

This session was three and one-half hours long; its goals were as follows:

- To review key project information.
- To present and review project commitments made to date.
- To enable the NWSDB, USAID, and the contractor to exchange overall expectations for project management.
- To develop agreements and a work plan for completing project "conditions precedent" and overall project management.

This session was divided into two parts. The first part dealt with project information. The group was asked to review all the project information they had received to date. In addition, key project facts were posted around the room on flipcharts. The group was asked to walk around, read the information, review the written material, and then write down any questions they had about the project. These written questions were collected and collated. The facilitators then read each question in turn and referred it to a knowledgeable person in the room for an answer. Misinformation was cleared up and the intentions of the project were explained in some depth.

After a break, the focus was changed to an expectations exercise. In this exercise, the group was divided into an "active portion" and an observer group. The active portion consisted of three subgroups: the NWSDB project committee (the group responsible for overall project management within the NWSDB), USAID, and the heads of the contractor team (project team leader and deputy team leader). These subgroups were given the task of meeting and writing their expectations of the other two groups. They were to list what they expected of the other two groups in the following areas:

- How do you expect the others to meet the commitments they have made to date on the project? (Review commitments.)
- What actions and roles do you expect of the others for project management (e.g., who does what, how often to meet, etc.)?
- How do you expect project working relationships to be managed and how do you expect project information to be shared?
- What do you expect the other groups to do in order to meet the goals of the project?

After each group had made its list of expectations, all the subgroups were brought together and the expectations were read and clarified by presenters from each group. The subgroups were then instructed to caucus, review what was expected of them and decide whether they agreed, disagreed, or would modify each expectation. After this, each group sent one representative to act as a

negotiator. This negotiation session was arranged as a fishbowl (i.e., representatives sat in a circle with the rest of the group acting as observers). One chair in the fishbowl was left open as a "free" chair for any observer to use to comment or add input into the negotiations if they so desired. The facilitators managed the negotiation session to ensure that agreements and disagreements were fully aired and satisfactory resolutions were reached. These agreements are documented in the Supplement to WASH Field Report No. 151.

After the group concluded the negotiations and reached agreement on all points, the session was opened up for full group discussion and comment. This session achieved its objectives well. A working set of project management agreements was reached.

3.4.3 Day Two -- Morning Session: Reorganizational Issues

The goals for this half day session were as follows:

- To share and discuss the rationale and goals of the planned reorganization.
- To communicate any plans in progress and to explain the proposed organization chart.
- To solicit group reactions, ideas, and input for reorganization.
- To develop an action plan for implementation and necessary follow-up after the workshop.

The activities of this session were in the following sequence. First, the results of the technical studies which provided the rationale for reorganization were presented by the USAID project manager. This was followed by a presentation of the proposed organization chart by the chairman of the NWSDB. After this information was presented, the participants were randomly divided into small groups and given the task of listing their reactions on a flipchart for review in the full group. They were given the following questions to answer:

- What do you see as the strengths of the proposed reorganization?
- What do you see as the weaknesses?
- What questions do you have about the reorganization?
- What suggestions do you have about the reorganization?

The information generated by the small groups was organized by question area and posted on the wall. The facilitators then managed a discussion by reviewing all comments and questions. As the person with the most information and authority about the reorganization, the chairman played an active role in responding to concerns. When questions or suggestions were raised which could not be resolved, they were listed separately for follow-up by a task force which was assigned by the chairman.

This session was successful in raising the full range of issues and concerns about the proposed reorganization. It was less successful in answering all of the concerns raised; at times the group demonstrated they were unclear about (or substantially in disagreement with) the reasons and intended results of the reorganization. For many, this was the first time they had grappled with the consequences of organizational change for their work units. It became clear in this session that substantial follow-up and discussion would be necessary to resolve issues and agree upon the reorganization within the management of the NWSDB. (See Chapter 6, Conclusions and Recommendations.)

At the end of the session, the chairman announced that he would assign a task force to work on the issues that had been brought up. The names of task force members would be announced at the beginning of the afternoon session.

Time was subsequently given in the late afternoons and evening for the task force to meet. It was given the mandate to 1) develop an action plan to obtain approval for the reorganization of the NWSDB by August 31, 1985; and 2) develop a program to manage the implementation of the reorganization. The task force members were requested to develop the action plan as "far as possible" within the time available at the workshop and to report their progress to the full group on the last day of the workshop. The facilitators met with the task force to assist in managing the process and to serve as a technical resource for the group.

3.4.4 Day Two -- Afternoon Session: Expectations for Working Together

This three-and-one-half-hour session had the following goals:

- To agree upon expectations for working together in technical work teams including:
 - procedures and responsibilities for accomplishing project tasks;
 - procedures for transferring knowledge and skills; and
 - expectations for working relationships within work teams and with other units in the NWSDB and with non-governmental organizations, and other donors.

The group was divided into the technical work teams corresponding to project task areas (management, commercial, operations and maintenance, training and personnel, engineering, and health education). Each group was requested to have its members separately develop written expectations of the corresponding counterpart (consultant or work unit) relating to the above listed goals. These expectations were exchanged and agreements negotiated. At the end of the exercise, each group was to produce a written set of working agreements to be typed and distributed to the full group on the last day of the workshop. The facilitators monitored each of the six groups.

3.4.5 Days Three and Four: Project Work/Action Planning

This exercise was designed to work on practical outcomes for the first four months of the project. It was expected to take a full work day of the conference with time allowed to continue into the last day if needed (the reporting of the results of this action by each group did, in fact, require three hours of the final day). The goals of this session were as follows:

- To discuss unit work problems and decide priority actions.
- To develop work/action plans for the first four months of the project.
- To assign roles and responsibilities for work tasks.
- To coordinate project start-up activities.

The group was divided into technical work units and given the task of 1) discussing current work activities and problems (NWSDB); 2) discussing the resources and proposed actions which the consultants were able to offer (contractor); 3) discussing and agreeing upon priority work tasks; and 4) developing action plans together using the "action-responsibility" planning forms provided (see the Supplement to this report for examples of this planning chart).

After a day of small-group work, the full group was assembled. Each technical work group presented its action plan to the full group for review, comments, and modifications based upon coordinative or technical considerations by the other work units. Modifications were made and the agreed upon workplans were recorded for typing and presentation in the conference report.

Chapter 4

WORKSHOP OUTCOMES

4.1 General Outcomes

The workshop process provided a series of useful exchanges and information to each of the three major groups. An analysis of the specific written comments on the evaluation forms, observations made by the workshop leaders, and conversations with participants indicate the following overall workshop outcomes:

4.1.1 Outcomes for NWSDB Personnel

Related to the Project

- Increased knowledge of the project background.
- Familiarity with the contractor staff and a beginning understanding of their capabilities.
- A better understanding of the background of and rationale for the reorganization of the NWSDB and its relation to the government of Sri Lanka policy and the project.
- Experience with the working styles of the contractor staff.
- An appreciation for the overall scope of the project and the consequences for individual work units.
- An accelerated project start-up.

Related to Learning and Increasing Experience

- Improved skills in collaborative work planning.
- Increased experience in sharing information.
- Increased experience in selling ideas and expressing them in large and small groups.
- Increased experience in negotiating differences.
- Increased experience in using planning formats, setting goals and objectives, and using a framework for accountability for work tasks.

4.1.2 Outcomes for Contractor Personnel

Related to the Project

- Increased understanding of project background.

- A beginning appreciation for the working styles, technical expertise, personality, and backgrounds of counterparts.
- Increased understanding of the work and work-related problem areas of the NWSDB.
- Increased understanding of the relationship of the project to other bilateral and multilateral projects within the NWSDB.
- A clearer understanding of what will be expected of them for project performance, reporting and administrative relationships, and evaluation on the part of both the NWSDB and USAID.

Related to Learning and Increasing Experience

- Increased experience in developing collaborative relationships and carrying out collaborative work planning.
- Increased experience in sharing information and coordinating with others.
- Increased awareness of the techniques of team building and a better appreciation for its value in a development project.
- Increased skills in negotiating and developing action/work plans.
- Increased ability to follow local English pronunciation.
- Increased experience in negotiating with USAID.

4.1.3 Outcomes for USAID

Related to the Project

- Increased knowledge of the working styles, personalities and performance capabilities of contractor personnel.
- Increased awareness of NWSDB staff concerns with the proposed reorganization and increased appreciation of the difficulties and time required to implement it.
- Increased understanding of the information flow within the NWSDB and the consequences of not sharing information during the project.
- Increased understanding of the management style of the NWSDB leadership and an appreciation for the forces surrounding management decision-making.

Related to Learning and Increasing Experience

- Increased knowledge of the technique of conducting project preimplementation workshops.

- Increased skills in negotiating differences with host country personnel and contractors.
- Increased understanding of effective communication mechanisms and techniques.
- Increased knowledge of team building as a strategy for project start-up and project maintenance.

4.2 Specific Outcomes

Each workshop session produced specific outcomes in the form of written agreements or action plans. These are included in their entirety in the Supplement to this report and in synopsis form below.

4.2.1 Expectations and Agreements for Project Management

The working session on project management yielded the following understandings between the NWSDB, USAID, and the contractor (see Section 1 in the Supplement):

- USAID agreed to the following NWSDB expectations:
 - To seek the NWSDB's approval before commencing any project activities; to submit copies of invoices jointly to the NWSDB and USAID for approval; to remove any contractor personnel found unacceptable to the NWSDB; to give a signed copy of the contract agreement to the NWSDB; to obtain concurrence from the NWSDB on all project-related procurement; to decide project priorities with the concurrence of the NWSDB project committee; and to be flexible about changing the project if necessary.
- USAID also agreed to the following contractor expectations:
 - To make available to the contractor vehicles and air conditioners; to exchange information with the contractor openly; to provide frequent and informal feedback to the contractor; to process invoices expeditiously; to resolve problems relating to project changes as quickly as possible; and to assist the contractor with USAID regulations.
- The NWSDB agreed to the following USAID expectations:
 - To meet all of the project conditions precedent and covenants on schedule; to ensure project success by providing a wider participation of NWSDB personnel in the management of project tasks; to communicate and work with the contractor based upon a mutually agreed-upon work plan; to work actively with other agencies; to make timely project decisions; to supply formal project reports on a quarterly basis; and to communicate problems and recommendations for improved project and contractor performance as needed (assuming USAID would do the same through the proper channels).

- NWSDB also agreed to the following contractor expectations:

To assign principal counterparts; to exchange information and views openly; to make office/work facilities available on schedule; to set and meet short-term goals for the project; to make NWSDB personnel available for project work on a mutually agreeable time and qualification basis; to agree upon work timetables; to arrange for the participation of other agencies; to commit firmly to project objectives; and not to change counterparts without discussion with the contractor.

- The contractor agreed to the following USAID expectations:

To fulfill the technical assistance, training, and commodity procurement commitments in their contract; to provide project coordination by meeting with their own staff at least weekly and to arrange for monthly project meetings with all participating institutions; to be prepared to discuss the status of project components and problems and to propose solutions; to hold weekly meetings with key project management staff (USAID and the NWSDB); to meet all reporting requirements; to focus on the measurement of project progress in qualitative terms in addition to recording data which can be quantified; to provide vouchers in a clear presentation with all backup documentation; and to work on the basis of action plans which are updated annually.

- The contractor also agreed to the following NWSDB expectations:

To provide technical assistance in job/task analysis, developing job descriptions, selecting personnel to be trained, identifying potential trainers in functional work areas and to participate in performance review committees; not to change any personnel already committed to the project unless there is a reasonable justification and a discussion with the NWSDB; to clear all recommendations for project action with the NWSDB coordinating committee; to work together with NWSDB staff; to clear any changes in the work plan or the introduction of any technology with the NWSDB; to work to transfer skills and technology to NWSDB staff; to explain the need for organizational changes to all levels of NWSDB staff (with the collaboration of the NWSDB); and to arrange all project review meetings.

4.2.2 Expectations and Agreements of Working Groups

The series of agreements in this category relate to the question: How do we agree to work together? All specific agreements made by each working group are listed in Section 2 of the Supplement to this report. Considering the agreements as a whole, all groups agreed on some common working norms. These are listed as follows.

- Any problems in achieving project goals are to be discussed and solved as they arise.

- Changes in current systems will be made in consultation with the corresponding counterparts and the cognizant deputy general manager or other area supervisor (and not be imposed by the contractor).
- All work is to be done in a strictly collaborative mode in each work activity (problem identification, formulation, implementation, evaluation).
- The contractor is to be an advisor as opposed to the primary doer (unless a specific task is assigned and agreed upon to be a contractor responsibility).
- The primary mode of achieving technology and skill transfer in the project is by working together (on-the-job) and being aware of (and agreeing upon) what is to be transferred.
- Project work is to be accomplished by working in the same office space, or in close proximity.
- Overall coordination among work units is to take place through regular meetings with the project coordinating committee.
- Work is to be defined and monitored through the development of collaboratively designed work/action plans.
- Each work unit will hold regular meetings to discuss project progress and monitor the technology transfer process.

4.2.3 Action/Work Plans of Working Groups

Each technical work group developed a series of specific tasks, assigned responsibility and identified who would assist and/or collaborate in each task. Target dates were set within the time frame of project start-up (generally the first four months of the project). For a detailed listing of each activity, refer to the action/work planning charts compiled in Section 3 of the Supplement to this report. A summary of the major outcomes of each work group is listed below.

Management

Start-up Activities:

- Develop and carry out a short-term plan for public relations.
- Develop the first draft of a comprehensive public relations plan.
- General Administration: Develop an upgraded system of mail and paperwork processing; begin the implementation and carry it out through January 31, 1986.
- Personnel Administration: Prepare and begin the implementation of an upgraded personnel policy to include staffing, recruitment,

policies and procedures, manpower planning and development, internal relations, employee motivation, and disciplinary methods.

- Organizational Structure: Develop and approve a program to accomplish organizational decentralization, delegation of authority, consolidation of functions, and rationalized reporting relationships (by August 1985); implement the plan thereafter.
- Management Information Systems: Develop a plan for an improved system for reporting and monitoring information flow.
- Communications: Carry out an ongoing program of improved information flow through dialogue, meetings, conferences and workshops.
- Management Planning: Improve management use of time, management styles, work organization, and meeting effectiveness by developing a program for executive management (timing and implementation to be determined within the first four months);
- Strategic Planning: Develop macro-investment, technical, and financial priority strategies (micro) on an ongoing basis and carry out (using the current strategic plan).
- Policymaking: Review and organize all existing policies (by June 1); develop policy modifications and new policies as required (ongoing); compile policies in manual form.
- Legal: Analyze existing laws and legal status (contractual, arbitration, land acquisition, labor, tribunals) by September 1985; establish a new legal unit within the NWSDB by October 1, 1985.
- Internal Audit: Develop a plan for improved internal audit systems by August 31, 1985; establish a reorganized internal audit unit by September, 1985.
- Information Management: Review all existing needs and develop a plan for improving data processing, library, and statistical management by December 31, 1985; implement the plan thereafter.
- Research: Identify priority needs for technical, socio-economic, financial, appropriate technology, energy, sources of supply and other research by the end of 1985; establish a research unit in-house.

Engineering

Start-up Activities:

- Planning and Design: Collect/review existing water use data; develop water use projections; review planning and design criteria.

- Well Drilling: Review current well drilling program, procedures for latrine location and construction, and current construction and rehabilitation procedures.
- Cost Estimating: Review cost estimating procedures; assess research needs and current programs.
- Project Planning: Collect a list of all water supply, sewerage and sanitation projects in all stages of development and identify possible demonstration projects; develop a format for monitoring construction works; review rehabilitation projects and identify possible demonstration projects.

Commercial

Start-up Activities:

- Billing and Collection: Determine the organization of the billing and collection unit; list major tasks for metering, billing, and collection; assign responsibilities; determine detailed systems; detail resources needed, with management agreement; recruit and appoint staff; begin implementation of new systems in 1986.
- Procurement and Inventory Control: Review and assess needs for manpower and equipment; design improvements; determine implementation needs; obtain staff by September 31, 1985; and implement improved system thereafter.
- Accounting: Review and assess needs for improvement; design improvements; review and determine viability of compensation; prepare standard operating procedures by October 15, 1985; and implement thereafter.
- Budgeting: Review and assess needs; design improvements; select budget committee by August 10, 1985; and implement thereafter.
- Five Year Financial Plan Strategy: Discuss with the treasury division of the Ministry of Finance and Planning to determine the basis; prepare plan and precast; obtain approval from the Ministry of Finance and Planning, the NWSDB, and the World Bank by July 15, 1985; implement thereafter.
- Inventory: Review existing fixed-asset inventory procedures; develop improved procedures; prepare standard operating procedures by August 31, 1985; implement thereafter.

Operations and Maintenance

Start-up Activities:

- Communications with Regional Staff: Set up meetings with regional chemists and regional O&M staff.

- Review all existing O&M information (field research, data collection); review current data-collection systems.
- Liaison: Set up meetings to determine current problems with other units: commercial, training, management, construction, design, Ministry of Health and bilateral and multilateral agencies.

Training and Personnel

Start-up Activities:

- Departmental Organization: Finalize manpower development and training department organization; screen and select potential new staff.
- Planning: Design and install training needs-assessment system; begin implementation of the new information system for training needs by August 31, 1985.
- Facilities: Finalize plan, award contract, determine equipment requirements, and order by August 20, 1985.
- Curriculum Development: Standardize the format and content of the first-draft training core curriculum (August 31, 1985); prepare training literature by December 31, 1985.
- Manpower Planning: Finalize manpower requirements, prepare draft personnel policy manual, develop job descriptions, design manpower information system, and develop career advancement paths by December 31, 1985.
- Staff Incentives: Develop incentive package to accompany regionalization-decentralization by August 31, 1985 (first draft).

Health Education

Start-up Activities:

- Prepare memorandum of agreement between the Ministry of Health and the NWSDB; sign agreement; establish Rural Sanitation Unit; form joint committee for determination of project areas; develop an implementation plan; prepare for training of Rural Sanitation Unit staff by August 31, 1985.

4.2.4 Reorganization Task Force

The activities of the task force were important because for the first time a wide cross section of NWSDB personnel was included in the discussion of the reorganization and new roles. Section 4 in the Supplement indicates the planned actions.

Chapter 5
EVALUATION

5.1 Overall Results

The participants had mixed feelings about the potential impact of the workshop. A few were pessimistic about the ability of the contract to impact the NWSDB and bring about any successful institution-building. However, the majority of the participants were positive and felt that definite success could be achieved in a number of areas.

Most were favorably impressed with the team-building techniques in the workshop and felt they had definite application in future aspects of the project. Communication, negotiating, and action-planning techniques were practiced by the participants and requests made for future workshops to perfect these skills.

Forty participants completed the evaluations. They rated each of the four major goals as to the degree of achievement as follows:

<u>Goal</u>	<u>Percent Achieved</u>
Project Information	68
Team Building	77
Expectations/Agreements	66
Action/Work Plans	69

Particular sections of the workshop were also evaluated as to the degree of achievement. The results were as follows (based on a scale of 1 to 10, with 10 high):

<u>Session Topic</u>	<u>Ranking</u>
Goals, Agenda, Working Procedures	7.2
Getting to Know Each Other	7.6
Project Background Information	5.8
Reorganizational Issues	4.6
Expectations	6.1
Working Plans	6.3

The complete workshop evaluation form is included here as Appendix C.

5.2 Specific Evaluation Results Summarized

The following is a list of some of the more salient questions from the evaluation along with the responses most often selected (based on 40 respondents).

What have been the most positive things about the workshop?

- An overall appreciation of the depth and breadth of the project (13 respondents).

- Getting to know each other (12 respondents).
- Communication (9 respondents).
- Stress on action/work plans (9 respondents).
- Team building (8 respondents).
- Enhanced commitments (5 respondents).

What have been the most negative things about the workshop?

- Intimidation of superiors (8 respondents).
- Inability of some to express themselves adequately (4 respondents).
- Lack of prior knowledge of workshop agenda (4 respondents).
- Bad acoustics (3 respondents).
- Work groups too close together (3 respondents).

What one thing stands out as important to you in this workshop?

- Need for team work (7 respondents).
- Opportunity to develop work plans (6 respondents).
- Clarification of roles and responsibilities (5 respondents).
- Need for improved communications (4 respondents).
- The positive response of participants to the workshop (4 respondents).
- Seeing how another culture thinks and reasons (4 respondents).
- Getting to know each other (3 respondents).
- Learning of current NWSDB activities (3 respondents).

What things have you learned?

- Need for teamwork (10 respondents).
- The magnitude of the task to be undertaken by the project (9 respondents).
- Details of the personalities of consultants and counterparts (6 respondents).
- Techniques in conducting workshops (6 respondents).

What comments do you have about the way the workshop was planned and organized?

- Well done (17 respondents).
- Satisfactory (10 respondents).
- An excellent beginning for the project (5 respondents).
- Insufficient prior notice and background given to participants (3 respondents).

What can be done in the future to improve a workshop like this?

- Provide handouts ahead of time (15 respondents).

In addition to the action plans developed in the workshop, what specific things do you suggest that each of the following should do as follow-up to the workshop?

- NWSDB
 - Inform other NWSDB staff who did not attend about the workshop goals and outcomes (10 respondents).
 - Establish a systematic review, evaluation, and reprogramming capability for the project (8 respondents).
 - Implement action plans (4 respondents).
 - Obtain offices and vehicles and assign counterparts for consultants (4 respondents).
 - Maximize use of consultants (3 respondents).
 - Set priorities and goals (3 respondents).
 - Meet information needs of the contractor (3 respondents).
 - Monitor NWSDB staff commitments to the project (3 respondents).
- Contractor
 - Impart skills to counterparts (6 respondents).
 - Establish a systematic review, evaluation, and reprogramming capability for project (3 respondents).
 - Program activities to achieve some early successes (3 respondents).
 - Get consultants on line quickly (3 respondents).

- USAID
 - Establish a systematic review, evaluation, and reprogramming capability for project (9 respondents).
 - Monitor contractor commitments to keep them on track (3 respondents).

What will you do personally to use the things you learned in the workshop in your daily work?

- Use techniques demonstrated by workshop facilitators (7 respondents).
- Improve coordination in my unit and between my unit and other units (5 respondents).
- Apply myself more diligently in my work (4 respondents).
- Implement action plans (3 respondents).

Chapter 6

CONCLUSIONS AND RECOMMENDATIONS

6.1 Concept of Project Preimplementation Workshops

The major purpose of the preimplementation workshop was to shorten the project start-up time by giving contractor staff a chance to

- review and assimilate critical background information on the project;
- review current NWSDB activities and problems;
- become acquainted with key staff of the NWSDB and go through a series of team building exercises with them; and
- develop an action/work plan collaboratively with NWSDB counterparts for the first four months of the project.

Both NWSDB and contractor staff felt that the series of events which took place over the four-day period were very beneficial for a quick and efficient project start-up. A number noted that this was the first time that they had been associated with a start-up mode such as this and felt that it would shorten start-up considerably.

It is suggested that modifications for this procedure be considered for other project start-ups in the future.

6.2 General Recommendations

1. The project team should capitalize on the momentum created at this workshop by informing others at the NWSDB of the results and carry forward the agreements and action plans made.
2. Workshops of this nature should be repeated at least once a year with outside consultant assistance; in-house review of project management and team relations should take place at least every six months and be monitored continuously.
3. Careful management of the reorganization and decentralization will require a series of information meetings, team building within new units, and overall interunit communications management over the next two years. It is highly recommended that organizational development experts (preferably consultants who are outside the system) be used to assist top management in carrying out this delicate task.
4. An institutional development project of this nature will require significant change in managerial behavior at all levels. Current plans within the project for executive management development do not address this need directly (although the project paper does). It is recommended that this component be added to the project.

6.3 Recommendations for the NWSDB

1. It was evident that a number of management skill areas would be useful to NWSDB staff on the basis of their participation in the workshop. It is therefore recommended that senior staff set up seminars and workshops for NWSDB staff to improve the following management skills:
 - listening
 - verbal communication
 - written communication
 - negotiating
 - delegating authority
 - giving feedback
 - time management
 - setting priorities
 - evaluating
 - conducting meetings
 - establishing agendas
2. It is recommended that all levels of staff be kept informed on project needs, priorities, plans, problems, accomplishments, and outputs through meetings, announcements, bulletin boards, newsletters, and other communication mechanisms.
3. Schedules should be developed for project activities including:
 - start-up and duration for each activity
 - persons responsible for carrying out activities
 - outputs of activities
 - performance standards for persons working on project activities
 - quality standards of project outputs
 - monitoring and evaluation mechanisms.

6.4 Recommendations for the Contractor

1. Design and implement a series of seminars and workshops outlined in item 1, Section 6.3 in collaboration with NWSDB staff.
2. Collaborate with the NWSDB on establishing and implementing communication mechanisms outlined in item 2, Section 6.3.
3. Collaborate with the NWSDB on the design and implementation of activities outlined in item 3, Section 6.3. This will necessitate revision of the contractor's final proposal submitted to USAID/Sri Lanka (Chapter 4 and Figure 4.2 "Detailed Activity Program," "Proposed Technical Workplan" in Volume 1 - Technical and Management Proposal of the Contractor).

6.5 Recommendations for USAID

1. Assist the contractor to understand and implement AID regulations pertaining to the project.

2. Work with the NWSDB and the contractor in identifying problem areas and rectifying them as quickly as possible.
3. Evaluate the preimplementation workshop and consider whether or not this type of effort might be applicable for other USAID projects.

6.6 Conclusions

This workshop was felt to be successful by a majority of the participants. The participative management techniques used in the workshop were well received by the participants, as they were in the earlier workshop on O&M Improvement (WASH Field Report No. 94, August, 1983). A number of participants expressed the desire to apply these techniques in their daily work in the NWSDB.

Interaction among staff members of the NWSDB, the contractor, and USAID indicated the need for mechanisms to improve the following:

- communications
- information-sharing
- information flow
- establishing action/work plans
- team-building
- feedback mechanisms
- clarification of roles and responsibilities
- setting standards for performance
- evaluating performance.

Key conclusions of the participants include:

- A preimplementation workshop is useful for learning about the proposed project and getting to know the personalities and competencies of contractor and NWSDB staffs.
- The techniques used in the workshop can be used in everyday activities on the job.
- All NWSDB staff must be informed about the nature, content, and outcomes of the workshop.
- All activities must be carried out collaboratively.

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APPENDIX A

History of Water Supply and Sanitation Sector Project

HISTORY OF WATER SUPPLY AND SANITATION SECTOR PROJECT

A. BACKGROUND HISTORY :

(i) Decade planning outlined broad needs and problems in Sector

1. 1979 - Government Decade Plan Development - Sectoral Needs review
2. WHO Team to assist NWSDB in moving Decade Plan along
3. USAID Decade Planning Team - developed the first plan

(ii) Prior efforts to assist NWSDB in institutional systems

1. WHO Advisors : (3 years 1980 - 84)
 - (a) Training in O & M
 - (b) Management Advisor
 - (c) Training Advisor
 - (d) Appropriate Technology
 - (e) Financial Advisor
 - (f) NBA Manpower study
2. IRC Efforts :
 - (a) Human Resources Development Studies
 - (b) O & M Studies
3. World Bank Projects :
 - (a) Ernst & Whinney Management Study
 - (b) Advisor
4. UNDP :
 - (a) Training Materials/Supplies
5. British Council :
 - (a) Training courses by Loughborough
6. USAID Sponsored Study Tours

B. PROJECT DEVELOPMENT INITIATIVES / USAID AND OTHERS :

- (i) Discussions and exchanges by AID Washington Health Office (Dr Austin) leading to an Action Plan
- (ii) O & M problem solving workshop
- (iii) Conduct Project Research to define needs and problems
- (iv) Demonstration hand-pump training project
- (v) Review Financial and Commercial situation : WHO and World Bank Strategic Plan
- (vi) Rehabilitation Programme : Needs Analysis (never started)

C. SPECIFIC STEPS TO DEVELOP INSTITUTIONAL DEVELOPMENT PROJECT :

- (i) Background / Technical analysis of major elements of the WATER BOARD (WASH)
 - (a) O & M
 - (b) Finance
 - (c) Design
 - (d) Supplies & Stores
 - (e) Training
 - (f) Construction
 - (g) Management
 - (h) Planning
- (ii) Development of specific Project Plans and Project Technical analysis (ISTI Team)

(iii) Writing and agreeing on a Project : Project Paper

(iv) Approval of the Project

D. PROJECT START-UP :

(i) Procurement of Contractor and Award

(ii) Procurement of commodities

(iii) Preimplementation Workshop - Project Start

E. PROJECT OUTCOMES :

(i) Overall Goal :

(a) Develop systems, procedures and skills so that NWSDB is financially and administratively and technically self sufficient in four years

(ii) Major Project outputs / activities (see listing in PP)

* * * * *

APPENDIX B
Participant List

AID PROJECT 383-0088

Preimplementation Workshop 26 thru 29 April 1985
List of Participants

USAID

Eric Loken, Project Officer
Dr. J. Thanarajah

Ministry of Health, GOSL

Dr. E. Rayanathan

Ministry of Local Government, Housing, and Construction, GOSL

T.B. Madugalle
Dewey Bryant

NGOWSS Decade Service

Henry De Mel

Consultant Participant list

<u>Name</u>	<u>Group</u>	<u>Title/Specialty</u>
R.A. Smith	I	Management/Commercial
H.C. Collings	VI	Human Resource Development/Training
G.A. Bridger	II	Environmental/Sanitary Engineer
S.A. de Saram	IV	Water Supply Operations and Maintenance
D.E. Batchelor	IV	Water Quality Monitoring/Process Control
W.C. Gilbert	V	Public Health
L.V. Smith	III	Financial Planning, Management and Commercial Systems
A.D.B. Talwatte	III	Accounting Systems and Billing and Collection
H.G. Fonseka	I	Budgeting and Management Information Systems
N. Corea	III	Accounting Systems and Billing and Collection Specialist

<u>Name</u>	<u>Group</u>	<u>Title/Specialty</u>
K. Nadarajah	VII	Commodity Procurement (In-Country)
A.L.B.K. Perera	VI	Personnel Management
H. Alagaratnam	III	Data Processing Specialist (Data Management and Accounting System)

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19 April 85

WATER SUPPLY & SANITATION SECTOR AID PROJECT
NO.383 - 0088 - PRE - IMPLEMENTATION WORKSHOP
26-29 APRIL 1985 AT TRITON HOTEL, AHUNGALLE

PARTICIPANTS (NATIONAL WATER SUPPLY & DRAINAGE BOARD)

GROUP NO: (I) (MANAGEMENT)

- (1) Mr. N.D. Peiris (Chairman)
- (2) Mr. S.B. Boyagane (General Manager)
- (3) Mr. G.E. Kumarage (D.G.M. - Construction)
- (4) Mr. W.A.D. Silva (D.G.M. - Administration)
- (5) Mr. C.J.Goonatilleke (Secretary)

GROUP NO: (II)(ENVIRONMENTAL ENGINEERING)

- (1) Mr. G.E. Kumarage (D.G.M. - Construction)
- (2) Mr. S. Nagarathnam (A.G.M. - Project Construction)
- (3) Mr. P.M.R. Pathiraja (A.G.M.-- Ground Water)
- (4) Mr.,K.M.N.S. Fernando (Project Manager - C.S.)
- (5) Mr. P.U. Gunasinghe (Chief Engineer - Designs)
- (6) Mr. H. Pinidiya (Chief Engineer - Designs)
- (7) Mr. M.D.T. Perera (Chief Engineer- Statistics & Co-ordination)
- (8) Mrs. G.S. Munasinghe (Chief Engineer - Project)
- (9) Mrs. J.M.D. Withana (Chief Engineer - Construction)

GROUP NO: (III) (MANAGEMENT COMMERCIAL)

- (1) Mr. E.D. Ratnayake (D.G.M. - Finance)
- (2) Mr. M. Wickramage (Project Manager - WS & SS)
- (3) Mr. M.O. Fernando (A.G.M. - O & M)
- (4) Mr. W.A. Karunaratne (D.P.M. - WS & SS)
- (5) Mr. W.K. Ruberu (Chief Internal Auditor)
- (6) Mr. T.M.M. Modiwaka (Accountant - Revenue)

GROUP NO. (IV) (OPERATION & MAINTENANCE)

- (1) Mr. M. Wickramage (Project Manager - WS & SS)
- (2) Mr. M.O. Fernando (A.G.M. - O & M)
- (3) Mr. W.A. Karunaratne (D.P.M. - WS & SS)
- (4) Mr. S.R.J.R.Senanayake (Chief Engineer - Project)
- (5) Mr. H.D.R.A. Pathirana (Chief Engineer - Maintenance)
- (6) Mr. Sunil de Silva (Chief Mechanical Engineer - Workshop)
- (7) Mr. H.G. Tilakaratne (Electrical Engineer)
- (8) Mrs. Sivabalasundaram (Chief Chemist)

GROUP NO. (V) - (HEALTH EDUCATION)

- | | |
|---------------------------|----------------------------|
| (1) Mr. H. Pindiya | (Chief Engineer - Designs) |
| (2) Mr. P.M.R. Pathiraja | (A.G.M. Ground Water) |
| (3) Mr. H.A. Karunadasa | (Project Officer - I.R.C.) |
| (4) Mrs. Sivabalasundaram | (Chief Chemist) |

GROUP NO. (VI) (TRAINING)

- | | |
|-----------------------------|-----------------------------|
| (1) Mr. W.A.D. Silva | (D.G.M. - Administration) |
| (2) Mr. S.K.H. Perera | (Chief Engineer - Training) |
| (3) Mr. P. Abeyagunawardene | (Engineer - Training) |
| (4) Mr. P. Weeratunga | (Personnel Officer) |

GROUP NO. (VII) (SUPPLY & STORES)

- | | |
|----------------------------|--|
| (1) Mr. G.D.A. Alwis | (Chief Engineer - Supplies) |
| (2) Miss. S.R. Dias | (Asst. Secretary- Tender & Contracts) |
| (3) Mr. Sunil de Silva | (Chief Mechanical Engineer - Workshop) |
| (4) Mr. H.D.R.A. Pathirana | (Chief Engineer - Maintenance) |
| (5) Mr. H.G. Tilakaratne | (Electrical Engineer) |

1/1/52
General Manager

APPENDIX C
Workshop Evaluation Form

5. The following list itemizes key sessions of the workshop .
Using the indicated number that most closely fits your opinion,
indicate how effective the session was. Make any additional
comments you wish.

- (1) Was not effective
(5) OK
(10) Was very effective

CIRCLE THE NUMBER OF YOUR CHOICE

A. Goals, Agenda's working procedures 1 2 3 4 5 6 7 8 9 10

B. Getting to know each other 1 2 3 4 5 6 7 8 9 10

C. Project background information 1 2 3 4 5 6 7 8 9 10

D. Reorganisational issues 1 2 3 4 5 6 7 8 9 10

E. Expectations 1 2 3 4 5 6 7 8 9 10

F. Working plans agreements 1 2 3 4 5 6 7 8 9 10

G. Summary session 1 2 3 4 5 6 7 8 9 10

6. *What comments do you have about the way the workshop was planned and organised ?*

7. *What can be done in the future to improve a workshop like this ?*

8. *The four major goals of the workshop are listed below. Please rate each one to indicate how well you feel the goal has been achieved.*

A. *To exchange basic information about the USAID/NWSDP Institutional Development Project*

1 2 3 4 5 6 7 8 9 10

B. *To provide an opportunity for the project team to become acquainted with each other and begin to build a WORKING TEAM*

1 2 3 4 5 6 7 8 9 10

C. To clarify expectations for working together and agree upon procedures for Project Management and counterpart working relationships

1 2 3 4 5 6 7 8 9 10

D. To develop draft Action / Work Plans for Project Start-up

1 2 3 4 5 6 7 8 9 10

Comments :

9. In addition to the action plans developed in the workshop, what specific things do you suggest that each of the following should do as follow-up to the workshop ?

N W S & D B :

ES / EN / RDC :

USAID :

10. What will you do personally to use the things you learned in the workshop in your daily work ?