

PN-ABG-759

693.8

PROJECT INITIATION WORKSHOP  
WATER AND SANITATION FOR HEALTH  
AND ECUADORIAN DEVELOPMENT

FIELD REPORT NO. 311  
JUNE 1990



Sponsored by the U.S. Agency for International Development  
Operated by CDM and Associates

**WASH Field Report No. 311**

**PROJECT INITIATION WORKSHOP  
WATER AND SANITATION FOR HEALTH  
AND ECUADORIAN DEVELOPMENT**

**Prepared for the USAID Mission to Ecuador  
WASH Task No. 147**

**by**

**Daniel B. Edwards**

**June 1990**

**Water and Sanitation for Health Project  
Contract No. 5973-7-00-8081-00, Project No. 836-1249  
is sponsored by the Office of Health, Bureau for Science and Technology  
U.S. Agency for International Development  
Washington, DC 20523**

# CONTENTS

CHAPTER	Page
ACRONYMS .....	iii
EXECUTIVE SUMMARY .....	v
1. INTRODUCTION .....	1
1.1 Background .....	1
1.2 WASHED Project Description .....	2
1.2.1 Technical Assistance .....	3
1.3 WASH Terms of Reference .....	4
1.3.1 Scope of this Report .....	4
2. WORKSHOP PREPARATION AND PLANNING .....	5
2.1 Information Collection and Needs Assessment .....	5
2.2 Workshop Themes and Issues Derived From Interviews .....	5
2.2.1 Project Management and Administrative Issues .....	5
2.2.2 implementation Issues .....	6
2.2.3 Project Work Plan Issues .....	7
2.3 Workshop Objectives .....	7
2.4 Workshop Schedule of Activities .....	8
3. WORKSHOP PROCESS .....	11
3.1 Organization .....	11
3.2 Participants .....	11
3.3 Description of the Process .....	11
3.3.1 Day One .....	11
3.3.2 Day Two .....	12
3.3.3 Day Three .....	12

4.	WORKSHOP RESULTS . . . . .	15
4.1	General Outcome . . . . .	15
4.2	Participant Evaluations . . . . .	15
4.3	Specific Outcomes . . . . .	16
	4.3.1 Project Structure . . . . .	16
	4.3.2 Agreements for Working Together . . . . .	17
	4.3.3 Project Strategy . . . . .	20
4.4	Recommendations for Follow-up . . . . .	23
	4.4.1 Immediate Action Items for IEOS and Project Coordination . .	23
	4.4.2 Important Project Management Follow-up Issues . . . . .	24
4.5	Conclusions and Final Recommendations . . . . .	24
	4.5.1 Recommendations on Project Monitoring . . . . .	24
	4.5.2 Conclusion . . . . .	25

## APPENDIXES

A.	Workshop Participants and Persons Interviewed . . . . .	27
B.	Workshop Evaluation . . . . .	33
C.	Project Structure, Discussion/Results . . . . .	39
D.	Agreements for Working Together Between IEOS, AID and the TA Team . . . . .	43
E.	Project Implementation, Discussion/Results . . . . .	49
F.	Project Monitoring Indicators . . . . .	65

## ACRONYMS

ESF	Economic Support Fund
IEOS	<i>Instituto Ecuatoriano de Obras Sanitarias</i>
GOE	Government of Ecuador
O&M	Operations and Maintenance
TA	Technical Assistance
TAT	Technical Assistance Team
UCETA	<i>Unidad de Coordinación de Estudios de Tecnología Apropriada</i>
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

### BACKGROUND

The project agreement for the Water and Sanitation for Health and Ecuadorian Development (WASHED), signed by the relevant governmental agencies in September 1989, required that a number of preparation tasks be completed prior to the disbursement of funds for project initiation. The Water and Sanitation for Health (WASH) Project, under a buy-in with the United States Agency for International Development (USAID) Mission in Quito to provide on-going short-term technical assistance (TA) over the life of the project, conducted a pre-implementation workshop in November 1989. That workshop defined the tasks remaining for both AID and the *Instituto Ecuatoriano de Obras Sanitarias* (IEOS) prior to project implementation.

As a follow-up to that activity, a project initiation workshop was planned and conducted in Quito, Ecuador (May 2-4, 1990), to begin detailed project activities and to develop a one-year work plan. Activities leading to the initiation workshop determined the current status of project pre-implementation, areas of potential confusion and information voids, and the need for conflict resolution. The design and conduct of the initiation workshop addressed those needs and assisted IEOS in developing work plans for the project.

### WORKSHOP THEMES AND ISSUES DERIVED FROM INTERVIEWS

Interviews were conducted with IEOS staff and management, four provincial chiefs, AID project staff, and short-term consultants. The interviews provided the following types of issues for attention in the initiation workshop:

- **Project Management and Administrative Issues**
- **Implementation Issues**
- **Project Work Plan Issues**

### WORKSHOP OBJECTIVES

On the basis of the findings during the interviews, the following workshop goals were established:

- **Build a project work team.**

- Clarify expectations between the consultants and their counterparts for working together.
- Broaden and deepen the general understanding of the project with respect to project structure and project management.
- Draft short-term (one-year) project implementation plans for each component.
- Discuss project implementation issues.

## **WORKSHOP ORGANIZATION**

The workshop was designed to allow maximum participation and wide discussion of issues. The general design of the workshop placed emphasis on small group discussion and team-building activities.

Participants: A total of 42 participants attended, representing all project components within IEOS, the WASH consultants, the long-term Technical Assistance Team leader, AID project personnel, and invited guests from the Peace Corps and the Ministry of Health (see Appendix A for a list of participants).

## **WORKSHOP RESULTS**

### *General Outcome*

The most important outcome of the workshop was the fact that approximately 40 individuals in IEOS, AID, and the Technical Assistance Team were able to sit together in the same room for three days and focus solely on understanding what they were going to do as a team to implement a very difficult and important institutional development and community promotion project in rural water and sanitation. Primary results were:

- Increased clarity about the project design, strategy, roles, and goals was achieved.
- Teambuilding—getting people to know each other and find out about differences and similarities.
- Define actions to move the project along and start seeing some results.

### *Specific Outcomes*

The workshop resulted in specific outcomes in the following areas:

- Project structure.
- Agreements for working together.
- Project strategy (philosophy, project coordination, decentralization, management development, and health education).

### **RECOMMENDATIONS FOR FOLLOW-UP**

#### *Immediate Action Items for IEOS and the Project Coordination*

There are a number of items that will require quick follow-up and resolution to move the project forward. They are:

- The local TA team hiring process must be expedited.
- The project structure, particularly with respect to the reporting responsibility of the project accounting and administration unit, should be ratified by the Executive Director of IEOS.
- IEOS has agreed to staff the training, promotion, education and appropriate technology units with appropriate personnel. Individuals heading those units have not yet received final notice of transfer or assignment from IEOS. Other staff have not been nominated. The project agreement stipulates staff for these functions. This process should be completed by early June 1990. Counterpart structures are very weak in these areas.
- IEOS needs to put together O&M and health promotion teams at the provincial level in accord with the work plan of each province. This has not been fully completed.
- The Technical Assistance Team needs an office to work in with enough space for the local advisors, a conference room, and a private office for the project coordinator.

### *Important Project Management Follow-up Issues*

The following items will require attention by AID, IEOS, and the Technical Assistance Team:

- The project's annual plan document should be submitted by May 21 so that AID can release funding.
- The first project coordinating committee meeting should take place by June 1. This report should be reviewed with the major workshop action items accounted for by section. The project monitoring scheme should be distributed for study and subsequent comment and review.
- Environmental impact considerations should be extracted from the project plans and attached as a separate item for monitoring purposes.

### *Project Monitoring*

The project management cycle has begun with this workshop. In six months the GOE budget cycle will be repeated. The project paper and agreement contemplated an annual planning cycle that coincided with the January-December calendar year.

- It is recommended that the annual exercise that WASH conducts include all of the WASH Technical Assistance Team and that the exercise occur annually in the March-April time period. Implementation planning should follow this cycle.
- Project budgeting can be managed separately from this cycle and be normalized within the calendar year.

### **CONCLUSION**

The project start-up workshop has been a success. A project team has begun to be assembled and its roles and objectives are well on the way to being understood. Greatly increased understanding has been gained in project scope, strategy, and purpose. A detailed project workplan has been developed with the complete participation of IEOS. The major challenge now is to implement the project and follow up on workshop agreements.

## Chapter 1

### INTRODUCTION

#### 1.1 Background

The project agreement for the Water and Sanitation for Health and Ecuadorian Development (WASHED), signed by the relevant governmental agencies in September 1989, required that a number of preparation tasks be completed prior to the disbursement of funds for project initiation. The Water and Sanitation for Health (WASH) Project, under a buy-in arrangement with the United States Agency for International Development (USAID) Mission in Quito to provide ongoing technical assistance (TA) over the life of the project, conducted a pre-implementation workshop<sup>1</sup> in November 1989. That workshop assisted IEOS and the existing project TA coordinator in defining the tasks remaining for both AID and the *Instituto Ecuatoriano de Obras Sanitarias* (IEOS) prior to project implementation.

Key activities for pre-implementation preparation included:

- Technical Assistance Team (TAT) in place and a contract let for long-term technical assistance—AID's responsibility (by 12/89).
- Procurement of vehicles and tools underway.
- Detailed training plan prepared for the first year (by 3/90).
- Critical review of current IEOS training program conducted (by 3/90).
- Appropriate Technology Studies Coordination Unit (UCETA) established and staffed (by 3/90).
- Central Operations and Maintenance (O&M) Unit established (by 3/90).
- Selection, training, and evaluation of IEOS hygiene promoters in target provinces (by 6/90).
- Evaluation and review of the social marketing health promotion campaign, conducted under the previous project completed (by 2/90).

---

<sup>1</sup> Refer to WASH Field Report No. 288, *Pre-implementation Workshop for the WASHED Project, November 29-December 1, 1989.*

- Criteria for selection of rural water projects and communities revised and adopted (by 3/90).
- Two IEOS operational modules established with personnel hired and/or contracted in each project province (by 3/90).
- A training department with counterpart personnel established.<sup>2</sup>
- A general life-of-project work plan and a detailed first-year work plan prepared and submitted to AID for approval (by 3/90).

Upon completion of the majority of the above tasks (or tasks considered sufficient for detailed project planning), a project initiation workshop was programmed to start in February 1990. That workshop (managed and facilitated by WASH) was to assist IEOS and the TAT in completing detailed project implementation planning, determine and set up project management procedures, and build a working team. Because of a number of difficulties in completing essential parts of the agenda listed above, the project initiation workshop was postponed until May 2-4, 1990. This report is the record and detailed memory of that workshop, which was held in Quito, Ecuador, and the agreements reached by all the concerned parties.

## **1.2 WASHED Project Description**

A complete description of the WASHED project (No. 518-0081) is provided in the Project Paper and the Project Agreement, signed on September 22, 1989. Briefly stated, the primary thrust of the WASHED project is to develop institutionalized systems within IEOS at provincial and corresponding central office levels that directly support the provision of rural water and rural sanitation and hygiene 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, as it relates to the provision and use of water, will be improved and continue to be improved long after the project is over.

In addition to systems and procedures development, the project seeks to directly affect operations and maintenance by strengthening community water boards for the provision of

---

<sup>2</sup> This requirement was added as a task subsequent to the pre-implementation workshop. In the project agreement in section B.5 of Annex I, page 11, IEOS agrees to establish a "new Training Unit" to manage the volume of training required in the project. IEOS had originally planned to expand the education and promotion unit because it had coordinated training activities under the prior project. But, it was agreed by all concerned that the small department could not manage both an ambitious hygiene and health promotion program and conduct a very heavy load of project-related training. It was also proposed and agreed that a local long-term TA consultant be provided to support the development of this new function within IEOS.

water and hygiene services. The project also seeks to promote health and hygiene messages in the communities where IEOS has already constructed systems in the target provinces. All newly formed community water boards and newly constructed systems also are included in this effort.

A construction component is provided as a complement to the other activities. This is financed by IEOS through a series of sources including the regular Government of Ecuador (GOE) budget and funds provided by AID through the Economic Support Fund (ESF). Using remaining ESF funds from prior years, the project is scheduled to construct 80 systems in 1990 in the target provinces. In the remaining three project years 480 new systems are scheduled, using funds from the IEOS budget.

A part of the institutionalization of systems for IEOS is the establishment of a delegated and decentralized provincial operation for the construction of these systems. Full administrative, technical, and financial delegation to the provincial chiefs is described in the project agreement. The provincial chiefs, in turn, delegate the planning and construction of these systems to two work teams, consisting of one engineer, three construction promoters, and an administrator.

### **1.2.1 Technical Assistance**

The project strategy includes the incorporation of all of the above-described elements into annual work plans. While IEOS has ultimate responsibility for meeting the project goals, a technical assistance component provides for a long-term TA team working with counterparts in each of the project components. Long-term advisors include a project coordinator and advisors for construction engineering/appropriate technology, operations and maintenance, health and hygiene education, and training systems development. Each of the long-term advisors is assigned to work with section heads or other IEOS managers at central office and regional levels to plan and carry out the project strategy.

The long-term TA team is supplemented with corresponding international and national short-term consultants provided by the WASH project. Additionally WASH provides project strategy advice and annual monitoring activities as well as consultant services for management development in the decentralization program. WASH supports the local TA team and IEOS counterparts in:

- Decentralization and Management Development
- Hygiene Education Systems and Programs
- Operations and Maintenance Systems
- Appropriate Technology Research

- Training Systems Development
- Project Strategy and Monitoring

### **1.3 WASH Terms of Reference**

During the three-week period of the preparation, conduct, and follow-up of the project initiation workshop, the full complement of the WASH TA support team was in Ecuador. Each WASH advisor was requested to establish working relations with their IEOS counterparts and their counterparts on the long-term TA team and to assist them with an initial needs assessment and project work planning. Each section of the project submitted detailed plans to the coordinator of the TA team as a part of this assignment. Additionally, all were requested to participate in the project initiation workshop and become part of the IEOS-TA project team.

The primary WASH mandate for the initiation workshop was to determine the current status of project pre-implementation, to determine areas of potential confusion and information voids, and to discover where needs for conflict resolution exist. Once these needs were identified, WASH was required to design and conduct a workshop that addressed those needs.

#### **1.3.1 Scope of this Report**

This report describes the workshop and its results. Detailed workshop documentation is provided in the appendices in Spanish. The detailed project planning documentation submitted by the WASH consultant team is under separate cover and has been submitted in draft form to the Project Coordinator to be included in the IEOS final submission to AID for approval. Annex G provides indicators for project monitoring derived from the detailed work plans. Prior to the next annual project review and monitoring workshop, these indicators will be reviewed in order to assess project problem areas and obstacles to be addressed in the annual review workshop.

## Chapter 2

### WORKSHOP PREPARATION AND PLANNING

#### 2.1 Information Collection and Needs Assessment

Interviews were conducted with a cross section of IEOS and consultant staff. Four provincial chiefs, all heads of project components, IEOS top management, and AID project staff were interviewed. The line of inquiry followed was to determine:

- The level of project understanding
- Project management and administrative issues
- Project strategy and implementation issues
- Understanding of the technical assistance structure and requirement
- The current commitment to major project goal areas (such as decentralization, hygiene education, and operations and maintenance)

#### 2.2 Workshop Themes and Issues Derived From Interviews

##### 2.2.1 Project Management and Administrative Issues

**Project Structure:** What will be the project structure? How will we be able to set up a project structure so that lines of decision-making and command are clear? Can all of the project be housed under one administrative roof?

**Decision-Making:** How will decisions be made in the project? Examples: What are the decision-making mechanisms related to planning, project strategy, and implementation policies? Who will and how will decisions be made about all of the training that needs to be done in different project areas?

**Coordination:** How will the different project components be coordinated? Examples: How will we know what the other project components will be doing? How will training be integrated with promotional strategies and construction?

**Relations Between the Technical Assistance Team and Counterparts:** What do the consultants expect of their counterparts? What do counterparts expect of consultants?

**Flow and Administration of funds:** What mechanisms exist or should exist for the flow of funds? Example: Forms, lines of flow and procedures for funds, regulations for procurement for equipment and services? How are budgets formed and determined (in both AID and IEOS)? What guarantee do we have that budgets will remain stable once decided.

**Staff Selection:** What is the procedure and the criteria for selecting promoters and construction staff in the project?

**Project Equipment:** What is the current status of equipment for the project?

### **2.2.2 Implementation Issues**

**Basic Project Strategy and Orientation:** What is the global vision of the project regarding its institutional development agenda and the relationship between project components? Examples: How will IEOS staff acquire new skills in the project? What is the proportion of self-directed learning vs. skill and knowledge transfer from the consultants?

**Implementation Philosophy:** How will self-sufficiency be achieved in the target communities for continued operations and maintenance; how will community water boards be maintained? What is the balance between construction of physical works and promotion and education within the target communities?

**Decentralization:** What does decentralization mean in the project? What does the leadership of IEOS believe and want, and what is their degree of commitment to decentralization? What is the final purpose of decentralization? To what extent does this component contemplate a participatory management process and structure?

**Management Development:** The project design specifies a management development program as part of decentralization. What will be needed by project participants in the area of management in this program? Who should participate in management training?

**Promotion and Education Policies:** What norms and policies should be followed in the design of the promotion and hygiene education program? How should the program be conducted? How can community water boards formed in past projects be included in this program? Can hygiene education approaches be integrated with the O&M component? How will these activities be evaluated? How will people who carry them out receive feedback about their successes and failures?

### **2.2.3 Project Work Plan Issues**

**Amount of Detail and Responsibilities:** How detailed should the work plans be? Should the provincial work plans include promotional and training activities along with construction? Should the provinces include training in the plans for community water boards or will that be done by central office units?

**Presentation Format:** What is the final format in which work plans should be presented? What is the definition of objectives, goals, purpose, activities, time lines, and how should they be organized in the work plan presentation?

**Collaboration and Monitoring:** How will the activities of the different project components be communicated within the project? How will follow-up and monitoring of work plans be accomplished?

## **2.3 Workshop Objectives**

On the basis of the above findings during interviews, the following workshop goals were established:

- 1) Build a project work team.
  - Clarify expectations for working together between the consultants and their counterparts.
- 2) Broaden and deepen the general understanding of the project with respect to project structure and project implementation strategies.
  - Agree on the project structure and the role of each component. Define lines of communication and decision-making.
- 3) Detail how decisions will be made in the project.

- 4) Come to agreement on policies of project management.
- 5) Draft short-term (one-year) project implementation plans for each component.
  - Share and discuss draft project plan summaries for purposes of collaboration and coordination.
- 6) Discuss project implementation issues.
  - Come to agreement about project implementation philosophy.
  - Understand what the decentralization program is about and the management development program within it.
  - Agree on policies for implementation of the health and hygiene promotion component.

## **2.4 Workshop Schedule of Activities**

The schedule of workshop activities is shown in block calendar form on the next page



## Chapter 3

### WORKSHOP PROCESS

#### 3.1 Organization

The workshop was designed to allow maximum participation and wide discussion of issues. The general design of the workshop followed the format of the *Facilitator Guide for Conducting a Project Start-up Workshop* (WASH Technical Report No. 41, March 1988). This format places emphasis on small group discussions and teambuilding activities.

The workshop was facilitated by two WASH consultants, one from the U.S. and one from Ecuador, in Spanish. Administrative support was provided by IEOS, and a full-time workshop secretary was available to record and transcribe presentations and agreements.

#### 3.2 Participants

A total of 42 participants attended, representing all project components within IEOS, the WASH consultants, the technical assistance team leader, AID project personnel, and invited guests from the Peace Corps and the Ministry of Health (see Appendix A for list of participants).

#### 3.3 Description of the Process

The workshop was designed to allow for maximum participation and discussion. The basic format for most sessions was an introduction to the topic, followed by small group discussion, plenary discussion, and agreements. All presentations and agreements were recorded on flipcharts and transcribed to become part of the workshop report.

##### 3.3.1 Day One

A brief welcome was given by the Project Coordinator, the IEOS Project Director, and the AID Project Manager. This was followed by explanations of workshop themes and discussion issues derived from the interview process. A workshop rationale was provided, along with workshop goals, agenda, and norms for working together. An exercise was conducted at small work tables to introduce those individuals from the previous workshop who were new to the group.

An overview of the project that linked previous project efforts to the current one was briefly presented by the Project Coordinator. This served to introduce the overall theme of project structure. The IEOS Project Director presented an overview of the modified organization chart of the project (see Appendix C). An exercise followed that allowed small groups to examine the proposed structure, to make general observations, and to ask questions. The questions were pooled and recorded. They were addressed by the presenters, and agreements were reached where possible. Where agreements could not be reached, they were recorded and formed part of the workshop follow-up for which IEOS and others were responsible.

The discussion on project structure was followed by two expectation exercises that consumed the remainder of the day. This exchange required that IEOS, AID, and the TA team define expectations for working together and managing the project. The procedure allowed each sub-group to list expectations, present them, clarify them, decide if they were acceptable, and finally to reach agreements. All of these expectations are listed in Appendix D and form part of the record of the workshop.

The intergroup expectations exchange was followed by a consultant-counterpart meeting. In this meeting, specific lists of expectations for interpersonal and project relations were exchanged in writing and agreed upon. These personal exchanges were retained by the participants and do not form part of the official workshop record.

### **3.3.2 Day Two**

All of Day Two was devoted to discussions of project implementation and philosophy. The first exercise of the day was conducted on the theme of implementation philosophy. The plenary group was divided into four sections. One question was given to two sections regarding how to achieve self-sufficiency. The other two sections were asked to discuss how to balance community education and promotion against the need to construct physical works. These small group discussions were followed by plenary presentations and discussions.

The remainder of the day was devoted to self-selected discussion groups on project implementation themes and a presentation by each group of their conclusions and recommendations for plenary review. The topics of these discussions are listed in the workshop schedule.

### **3.3.3 Day Three**

The third day began with a panel on administrative matters. The group generated questions for the panel (composed of representatives of the AID Controllers Office and IEOS Administrative Division). The questions were systematically reviewed and addressed.

The remainder of the day was dedicated to modifying and developing project implementation plans. A brief introduction was given on how to use the planning format for the project. This was followed by planning activities in each project component group. After this, each component was given about 30 minutes to present their draft plans for review and comment by the plenary.

At the conclusion of the workshop an evaluation form was distributed and completed by most participants.

A closing ceremony was held. Guest speakers included the Secretary and Sub-Secretary of the Ministry of Health, the Director of the AID Mission, and a representative of the participants.

## Chapter 4

### WORKSHOP RESULTS

#### 4.1 General Outcome

The most important feature of the workshop was the fact that approximately 40 individuals from IEOS, AID, and the Technical Assistance Team were able to sit together in the same room for three days and focus solely on understanding what they were going to do as a team to implement a very difficult and important institutional development and community promotion project in rural water and sanitation. Results include:

- Increased clarity regarding the project design, strategy, roles and goals was achieved.
- Teambuilding—getting people to know each other better and find out about differences and similarities—was accomplished.
- Actions in order to move the project along and start seeing some results were defined.

#### 4.2 Participant Evaluations

At the end of the workshop a participant questionnaire was distributed. It contained a 1-5 ranking scale for all workshop objectives and two open-ended questions regarding workshop results and suggestions for improvement. All workshop objectives were ranked on the high end of the scale (3.6 and up). The three highest ranked (4.17 and 4.0 and 3.8) were "increasing understanding of the project's general concept, structure, strategy and goals; forming a work team; and discussing project implementation themes." The two lowest-ranked objectives (3.6 and 3.65) were "designing short-term work plans" and "agreeing on policies and strategies for project management."

The ranking of the work plan, although within a satisfactory range, would have been better if more time had been devoted in the workshop to this work. Many of the participants were learning how to define and write general and specific objectives, goals, and activity lines. The ranking of project management was due to the fact that there was not a clear, direct and sustained sense of leadership in the project management ranks during the workshop.

When asked "What was the most important result that the workshop has accomplished?" the responses were:

- "Clarifying what the project really is." (14 responses)
- "Conducting teambuilding, bringing us all together, and helping us see that we need to work together." (7 responses)
- Equally important to participants was the fact that "the workshop allowed for a great deal of participation and open discussion in areas that needed attention." (7 responses)

In order to improve the workshop, five people suggested that more time be allowed for the workshop so that we would not feel so pressured to get it all done in three days. Four people suggested that it was very important for top management to be more involved and understand the importance of the workshop.

A complete summary of the workshop results is found in Appendix B.

## **4.3 Specific Outcomes**

### **4.3.1 Project Structure**

The project structure that was proposed at the administrative workshop in November had been reviewed within IEOS over the past several months (see Appendix C). During the review period, objections were raised within IEOS as to permitting the project's appropriate technology and the training units (and accounting/finance unit) to be located within the Directorate for Rural Sanitation under the project structure. The logic of the objection was that this would require IEOS to set up new units where none now existed (even though this was agreed to in the project agreement).

If new units were set up, those interested in maintaining technical direction over these matters at National Directorate levels believed that the Rural Directorate should not have a training unit, an appropriate technology unit, or a finance and accounting unit because it had not been within the IEOS mandate in the past for the Rural Directorate to have these functions. Rather these functions were believed to better fit into other National Directorates so they could serve all of IEOS instead of only the rural sector.

A modified project structure was proposed and accepted as a compromise. It allowed all project management to be housed within the National Directorate for Rural Water and Sanitation with advisory services provided in planning, finance, and human resources

development only during the project period of four years. After the project period was completed, IEOS could, if it wished, incorporate the project training unit and appropriate technology unit into the National Directorate of Human Resources Development and Planning. But during the project's life, these units would remain within a unified project structure for purposes of development, strengthening, and project management.

After a great deal of debate about whether the project finance department should be allowed to operate directly under the IEOS project manager and free of direct supervision of the National Finance Directorate, it was decided to let the top management of IEOS decide how they wanted the line of command to be for project finance and accounting.

#### **4.3.2 Agreements for Working Together**

Specific agreements for working together among AID, IEOS, and the Technical Assistance Team were exchanged (see Appendix D for all specific agreements in Spanish). A summary of these agreements follows.

AID agreed to the following expectations of IEOS (i.e., what IEOS expects of AID):

- To reimburse project expenditures quickly, if IEOS submits its reports on time.
- To be flexible in implementation strategy and approach for the health education and promotion component of the project, taking into account the social structure of the country and the reality of IEOS.
- To define coordination mechanisms and unify criteria for financial management of the project.

AID agreed to the following expectations of the Technical Assistance Team (i.e., what the Technical Assistance Team expects of AID):

- To provide administrative support.
- To participate in project coordination.
- To be responsive with project financial support when project documentation and requests arrive as required.

IEOS agreed to the following expectations of AID (i.e, what AID expects of IEOS):

- To follow the same procedures within IEOS for different sources of project funds and use the funds to support and strengthen its procedures.
- To incorporate sound finance and administration planning within its implementation procedures.
- To carry out and meet project agreements regarding financial and technical reporting.
- To let AID know if it has any concerns about technical assistance.
- To meet periodically with AID for follow-up discussions to review work plans and discuss progress and problems.

IEOS agreed to the following expectations of the Technical Assistance Team (what the TAT expects of IEOS):

- To participate in project coordination.
- To be as clear as possible with the Technical Assistance Team about what they want.
- To be open to the assertion of new ideas.
- To develop a reasonable project strategy.
- To participate with enthusiasm and devotion.
- To provide trained human resources.
- To carry out the work plan, within reason.
- To promote and maintain high team spirit for carrying out the project.
- To provide sufficient and timely financial resources.

The Technical Assistance Team agreed to the following expectations of IEOS (what IEOS expects of the TAT):

- To help in the final presentation of project planning documents for submission to AID.
- To provide very specific assistance for the training and appropriate technology components.
- To advise us on the final form of the project organization chart.
- To provide project communication and coordination mechanisms.
- To clarify WASH's scope of work to us by providing copies of their scope of work.
- To provide a unified set of forms to be used in conducting the operations and maintenance inventory.
- To provide TA at the central and provincial levels and for specific work groups.

The Technical Assistance Team agreed to the following expectations of AID (what AID expects of the TAT):

- To work side-by-side with IEOS and not apart.
- To accept the counterparts they are given to work with.
- To meet weekly with the TA team coordinator.
- To provide AID with copies of all project communications.
- To provide quarterly technical and administrative project reports (that include the activities of both WASH and Romero Associates).
- To let AID know if possible problems are arising that will need AID's intervention.
- To work together with IEOS to identify needs for technical assistance.
- To be willing to change an advisor if the work is not satisfactory.

### **4.3.3 Project Strategy**

Small group discussions were conducted in the following areas of project implementation:

- Project implementation philosophy
- Project coordination and monitoring
- Decentralization
- Management development to achieve decentralization
- Health education and promotion procedures

Appendix E contains the complete results of the workshop on project implementation.

Results on the project philosophy were as follows:

It was generally agreed that the way to develop self-sustaining community structures in the project was through a series of community involvement activities that balanced construction and promotional activities. Specific suggestions were:

- Continue to promote community water organizations.
- Train community leadership.
- Initiate and intensify hygiene education.
- Provide permanent technical assistance to community water boards and operations and maintenance systems.
- Turn over well-designed and well-constructed systems in optimal conditions.
- Institute realistic tariffs.
- Ensure that water sources belong to the community.
- Adjust upwards the amount that the community contributes to the cost of construction and charge appropriate and realistic amounts for new connections.
- Avoid paternalistic support approaches.

- Strengthen consortia of community organizations so they can share warehouses and supplies, and share experience in technical assistance.
- Involve a wider range of sectoral organizations.

Results on the discussion of project coordination and monitoring were:

- Periodic meetings of all project component representatives should be held.
- A newsletter reporting project achievements and news should be circulated periodically.
- Provincial chiefs should submit monthly reports.
- Regular IEOS reporting to AID should take place as stipulated in the project agreement.
- Field visits should take place.
- Annual project monitoring activities will be provided by WASH.

Results on the discussion of decentralization were:

- Decentralization will allow top management to delegate functions and authority to the operational areas of the project in order to achieve a quicker response to project initiatives and activities.
- To define how decentralization will be achieved, it will be necessary to consider current institutional norms and regulations within IEOS as a public entity and make changes using appropriate procedures. Delegation should be used in order to support:
  - Technical implementation: to construct, operate and maintain potable water and sanitation systems
  - Financial systems: legal or administrative regulations
  - Administrative systems: legal or procedural systems

- Delegation should be structured in such a way that it becomes a permanent feature of IEOS's administrative structure. It should be done so that information, coordination, and communication at all levels is maintained.
- Within the constraints and conditions listed above, the decentralization process should be carried out with complete interaction and consultation with the field (operational) level, top management, and the consultant team assisting us in the process. This will allow us to select the best alternatives for decentralization.
- It is suggested that a decentralization mechanism, such as a task force, be set up to include provincial chiefs and the head of each project section in the central office. This group's charge would be to manage and define the process and to ensure that the goals listed above are achieved in practical ways. A decentralization task force chairman will need to be designated.

Results on the discussion of management development to achieve decentralization were:

- The basic need for management development is to create a "managerial culture" throughout IEOS.
- As we go about the process of defining delegation of authority, we need to clearly define roles and responsibilities for managers.
- We need to develop operational procedures for the administrative, financial, and legal aspects of our work.
- We need to develop flexible communication systems and management information systems.
- When we begin the management development program and training workshop, we should include provincial chiefs and their seconds-in-command, all project section heads in the central office, top project management and executives, and the executive director of IEOS.

Results on the discussion on health education and promotion procedures were:

- Emphasis should be placed on interpersonal communication strategies in order to have the best multiplier effect.

- This step (above) should be supported by mass communication techniques, primarily local radio.
- Everybody in IEOS should get involved in health education and promotion and become aware of what it is through training.
- Training should be provided to all IEOS field promotional staff in order to reach all groups in the communities.
- Educational materials should be adapted to socio-cultural realities.
- Community participation should form an essential part of the strategy.
- The strategy should include: search for informal community leadership, such as mothers; recruiting and training of health education promoters from local communities; and strengthening and reinforcing leadership within community water boards so that local health education committees can spin off from them.

## **4.4 Recommendations for Follow-up**

### **4.4.1 Immediate Action Items for IEOS and Project Coordination**

There are a number of items that will require quick follow-up and resolution to move the project forward. They are:

- The local Technical Assistance Team hiring process must be expedited.
- The project structure, particularly with respect to the reporting responsibility of the project accounting and administration unit, should be ratified by the Executive Director of IEOS.
- IEOS has agreed to staff the training unit, the promotion and education, and the appropriate technology units with qualified personnel. Individuals heading those units have not yet received final notice of transfer or assignment from IEOS. Other staff have not been nominated for staff jobs. The project agreement stipulates staff for these functions. This process should be completed by early June 1990. Counterpart structures are very weak in these areas.

- IEOS needs to begin putting together O&M and health promotion teams at the provincial level in accord with the work plan of each province. This has not been fully completed.
- The Technical Assistance Team needs an office to work in with enough space for the local advisors, a conference room, and a private office for the project coordinator.

#### **4.4.2 Important Project Management Follow-up Issues**

The following items will require attention by AID, IEOS, and the TA team:

- The project's annual plan document should be submitted by May 21 so that AID can release funding.
- The first project coordinating committee meeting should take place by June 1. This report should be reviewed, with the major workshop action items accounted for by section. The project monitoring scheme provided in Appendix F should be distributed for study and subsequent comment and review.
- Environmental impact considerations should be extracted from the project plans and attached as a separate item for monitoring purposes.

### **4.5 Conclusions and Final Recommendations**

#### **4.5.1 Recommendations on Project Monitoring**

The project management cycle has begun with this workshop. In six months the GOE budget cycle will be repeated. The project paper and agreement contemplated an annual planning cycle for the project that coincided with the January-December calendar year. Because the project is about five months late in getting started, it would be premature to conduct the project monitoring review procedure in October of 1990 (less than six months hence). It is recommended that the annual exercise that WASH is scheduled to conduct include all of the WASH TA team and that the exercise occur annually in the March-April time period. Implementation planning should follow this cycle. Project budgeting can be managed separately from this cycle and be normalized within the calendar year.

A project monitoring framework is provided in Appendix E. The indicators listed therein are derived from the first annual project implementation plan. They also have been derived from the project paper and the logical framework of the project. These indicators are designed for use at the annual project review/planning workshops. They may also be used as a guide to the TA team and the project coordinator and IEOS project director for regular monitoring.

#### **4.5.2 Conclusion**

The project start-up workshop has been a success. A project team has begun to be assembled and roles and objectives are well on the way to being understood. Greatly increased understanding has been gained in project scope, strategy, and purpose. A detailed project workplan has been developed with the complete participation of IEOS. The major challenge now is to implement the project and consistently follow up on workshop agreements.

**APPENDIX A**

**Workshop Participants  
and  
Persons Interviewed**

# INSTITUTO ECUATORIANO DE OBRAS SANITARIAS

## PROGRAMA AID 518-0081

### PARTICIPANTES EN EL SEMINARIO DE INICIACION DE PROYECTO

#### A. Invitados Especiales

- |    |                      |                                     |
|----|----------------------|-------------------------------------|
| 1. | Dr. Plutarco Naranjo | Ministro de Salud                   |
| 2. | Ing. Marco Morillo   | Subsecretario Saneamiento Ambiental |
| 3. | Ing. Miguel Loayza   | Director Ejecutivo IEOS             |
| 4. | Sr. Frank Almaguer   | Director AID                        |
| 5. | Sr. Scott Smith      | Subdirector AID                     |
| 6. | Sr. William Goldman  | Jefe de la Oficina de Salud de AID  |

#### B. Participantes

##### IEOS

- |     |                        |                                      |
|-----|------------------------|--------------------------------------|
| 1.  | Ing. Miguel Arias      | Subdirector Ejecutivo                |
| 2.  | Ing. Julio Ayala       | Director Saneamiento Básico Rural    |
| 3.  | Econ. Fabián Suárez    | Director Financiero                  |
| 4.  | Ing. Daniel Polo       | Director del Medio Ambiente          |
| 5.  | Ing. Diego González    | Unidad de Construcciones             |
| 6.  | Ing. Augusto Armijos   | Unidad de Operación y Mantenimiento  |
| 7.  | Ing. Jorge Erazo       | Unidad de Tecnología Apropriada      |
| 8.  | Lic. Homero Morales    | Jefe Programa de Educación Sanitaria |
| 9.  | Dra. Marcia Jácome     | Unidad de Capacitación               |
| 10. | Ing. Jorge Mayorga     | Asesor de la Dirección Ejecutiva     |
| 11. | Ing. Rómulo Aguirre    | Jefe Provincial IEOS Carchi          |
| 12. | Ing. Fernando Oliva    | Jefe Provincial IEOS Pichincha       |
| 13. | Ing. Ramiro Acosta     | Jefe Provincial IEOS Imbabura        |
| 14. | Ing. Carlos Pazmiño    | Jefe Provincial IEOS Cotopaxi        |
| 15. | Ing. Carlos Vallejo    | Jefe Provincial IEOS Chimborazo      |
| 16. | Ing. Germán Anda       | Jefe Provincial IEOS Tungurahua      |
| 17. | Ing. Guillermo Cordero | Jefe Provincial IEOS Azuay           |
| 18. | Ing. Carlos Orozco     | Jefe Provincial IEOS El Oro          |
| 19. | Econ. Eduardo Vacas    | Asistente Jefe de Proyecto           |

- |     |                    |   |
|-----|--------------------|---|
| 20. | Lic. Eduardo Coral | Jefe División de Promoción y<br>Educación Sanitaria |
| 21. | Arq. Ruffo Veloz   | Director de Planificación                           |

## **AID**

- |     |                             |                          |
|-----|-----------------------------|--------------------------|
| 22. | Sra. Katherine Jones-Patrón | Gerente de Proyecto      |
| 23. | Dr. Ken Yamashita           | Asesor de Salud del MSP  |
| 24. | Srta. María Rivadeneira     | Oficina de Planificación |
| 25. | Srta. Inés Jácome           | Contadora de Proyectos   |
| 26. | Srta. Patricia Rodríguez    | Secretaria               |

## **SUPERVISORES**

- |     |                     |                                      |
|-----|---------------------|--------------------------------------|
| 27. | Ing. Adalid Arratia | Coordinador del Proyecto             |
| 28. | Ing. Jorge Castillo | Supervisor de Construcciones         |
| 29. | Ing. Marco Rueda    | Supervisor Administrativo-Financiero |

## **ASESORES A CORTO PLAZO**

- |     |                      |                                      |
|-----|----------------------|--------------------------------------|
| 30. | Dra. Judi Aubel      | Educación Sanitaria y Comunicación   |
| 31. | Ing. Oscar Larrea    | Operación y Mantenimiento            |
| 32. | Ing. Octavio Cordón  | Tecnología Apropriada y Construcción |
| 33. | Dr. Donald Graybill  | Capacitación                         |
| 34. | Lcda. Genny Iglesias | Antropóloga                          |

## **INVITADO ESPECIAL**

- |     |                   |                                 |
|-----|-------------------|---------------------------------|
| 35. | Napoleón Cevallos | Representante del Cuerpo de Paz |
|-----|-------------------|---------------------------------|

## **C. ENTRENADORES**

- |     |                      |                |
|-----|----------------------|----------------|
| 36. | Dr. Daniel Edwards   | Consultor WASH |
| 37. | Dra. Mercedes Torres | Consultor WASH |
| 38. | Srta. Elena Parra    | Secretaria     |

**D. COORDINADOR SEMINARIO**

39. Dr. Galo Guasapaz

Dirección de Planificación

**PERSONS INTEVIEWED**

**IEOS- Central Office**

1. Ing. Marco Murillo
2. Ing. Julio Ayala
3. Ing. Diego González
4. Ing. Augusto Armijos
5. Ing. Jorge Erazo
6. Lic. Homero Morales
7. Dra. Marcia Jácome
8. Ing. Jorge Mayorga
9. Lic. Edward Corral
10. Econ. Eduardo Vacas
11. Dr. Galo Guasapaz

**IEOS- Principal Office**

- |                        |            |
|------------------------|------------|
| 1. Ing. Carlos Pazmiño | Cotopaxi   |
| 2. Ing. Germán Anda    | Tungurahua |
| 3. Ing. Fernando Oliva | Pichincha  |
| 4. Ing. Ramiro Acosta  | Imbabura   |

**AID**

1. Mrs. Katherine Jones-Patrón
2. Mr. William Goldman

**Technical Assistance**

- |                    |                      |
|--------------------|----------------------|
| 1. Adalid Arratia  | Projecto Coordinator |
| 2. Judi Aubel      | WASH                 |
| 3. Oscar Larrea    | WASH                 |
| 4. Octavio Córdón  | WASH                 |
| 5. Donald Graybill | WASH                 |
| 6. Genny Iglesias  | WASH                 |

**APPENDIX B**

**Workshop Evaluation**

## WORKSHOP EVALUATION

### I. OBJECTIVES: (please indicate the rating)

1. Build a project work team. 4.0  
1\_\_\_\_ 2\_\_\_\_ 3\_ (9) \_ 4\_ (11) \_ 5\_ (9) \_ (alcanzado muy bien)
2. Broaden and deepen the general understand of the project with respect to project structure and implementation strategies. 4.17  
1\_\_\_\_ 2\_\_\_\_ 3\_ (4) \_ 4\_ (16) \_ 5\_ (9) \_
3. Define the lines of communication and how decisions will be made. 3.89  
1\_\_\_\_ 2\_ (3) \_ 3\_ (14) \_ 4\_ (9) \_ 5\_ (3) \_
4. Come to agreement on project management policies. 3.65  
1\_\_\_\_ 2\_ (2) \_ 3\_ (8) \_ 4\_ (15) \_ 5\_ (4) \_
5. Draft short-term workplans (one year) for each component. 3.60  
1\_\_\_\_ 2\_ (2) \_ 3\_ (11) \_ 4\_ (12) \_ 5\_ (5) \_
6. Discuss project implementation issues. 3.79  
1\_\_\_\_ 2\_\_\_\_ 3\_ (12) \_ 4\_ (11) \_ 5\_ (6) \_

## II. GENERAL OBSERVATIONS

A. Indicate your personal observations on the most important results of this workshop.

### # Respondents

- 14 Clarify what the project really is
- 7 Teambuilding: Bring us all together to understand that we need to work together
- 4 Clarifying project management and coordination
- 7 The involvement of everybody
- 3 Developing, coordinating short-term work plans
- 2 Discussing decentralization

B. What suggestions do you have to improve this workshop—feedback to the facilitators.

- 5 The need for more time and less pressure in the workshop, especially the last day
- 4 The need to get IEOS top management more involved and aware of the importance of the project
- 3 More direct problem solving by the facilitators- The group could not do the work alone
- 3 Earlier notice of workshop themes
- 2 Ensure that the project monitoring and follow-up is done

## APPENDIX C

### **Project Structure, Discussion/Results**

## **PREGUNTAS CON RESPECTO AL ORGANIGRAMA DEL PROYECTO**

1. La Dirección Nacional Financiera y la División de Recursos Humanos, serán de apoyo a la Unidad Gerencial del proyecto?
2. Cómo funciona el módulo antiguo?
3. Las Jefaturas serían parte del Nivel Operativo o parte del Nivel Gerencial?
4. Por qué la Unidad Financiera tiene dos líneas de mando?
5. La Dirección Nacional de Saneamiento Rural, puede cumplir la Gerencia del Proyecto junto a sus otras responsabilidades?
6. Se necesitan la descripción de cada nivel del Proyecto?
7. Las Jefaturas Provinciales mantendrían una línea directa a la Gerencia de Proyecto?
- 8.Cuál es la función de la Sección Financiera a Nivel Provincial?
9. Cómo debería ser el manejo de fondos a Nivel Provincial?
10. Cómo se organizan y definen a Nivel de Jefaturas Provinciales las secciones de Operación y Mantenimiento, Promoción y Educación Sanitaria?
11. Por qué no existe una relación directa de Capacitación y Tecnología Apropriada en las Jefaturas Provinciales?
12. Por qué no hay un ente representativo de las Jefaturas Provinciales en el nivel gerencial?
13. De qué manera se realizará la inversión? tal vez como fondo rotativo?
14. Qué líneas de comunicación existirán entre la dirección de planificación y la unidad de tecnología apropiada?

## **ASUNTOS PENDIENTES SOBRE LA ESTRUCTURA DEL ORGANIGRAMA**

- Revisar funciones del Asistente Administrativo de provincias, con participación de Jefes Provinciales.
- Consultas a nivel administrativo central IEOS para unidad financiera, componente capacitación y tecnología apropiada.
- Realizar una consulta con el nivel ejecutivo del IEOS, relacionada con la unidad financiera y sus líneas de mando.
- Elaborar un manual de descripción de funciones y entregar a cada miembro del equipo.
- Entregar el manual de descripción de funciones y entregar a cada miembro del equipo.
- Entregar el manual de función financiera, a los Jefes Provinciales.
- Realizar una reunión para discutir la posibilidad de organizar comités con la participación de un representante de provincias.



**APPENDIX D**

**Agreements for Working Together  
Between IEOS, AID, and the Technical Assistance Team**

## ACUERDOS DE AID CON EL IEOS

### CUERPO DE PAZ.

1. Que existan los proyectos en que pueden trabajar los voluntarios:
  - Financiados
  - Contrapartes
  - Participación Comunitaria (A)
2. Que exista una coordinación adecuada entre Jefe Provincial-Voluntario-Director Programa Cuerpo de Paz y también a Nivel Central (A)
- 3.- Que exista transportación disponible (tanto para movillización de técnicos como de materiales (A)
4. Incluir a los Voluntarios como recurso humano en el Plan Operativo (Ejem. Operación y Mantenimiento) (A)
5. Que haya continuidad y fluidéz de fondos (A)

### A.I.D.-

6. Que utilicen los recursos de AID y otras organizaciones para formar y apoyar el "modo de trabajar del IEOS". No uno diferente para cada fondo (A)
7. Incorporar el aspecto administrativo financiero en el equipo de planificación e implementación (A)
8. Que cumplan con las cláusulas del convenio (Informes técnicos y financieros) (A)
10. Que hagan conocer a la AID cualquier inquietud sobre la Asesoría Técnica (A)
11. Tener reuniones de seguimiento con AID periódicamente para revisar planes, progreso, problemas, etc. (A)

## **ACUERDOS DEL EQUIPO DE ASISTENCIA TECNICA CON IEOS**

- Que participen en la coordinación del proyecto (A)
- Que formulen las expectativas del equipo Asistencia Técnica en la forma más clara posible (A)
- Que estén abiertos al planteamiento de ideas nuevas (A)
- Que formulen una estrategia razonable del proyecto (A)
- Que participen con entusiasmo y mística (A)
- Asignación de Recursos Humanos capacitados (A)
- Que cumpla razonablemente la programación de trabajo (A)
- Promover y mantener un alto espíritu de equipo para el desarrollo del proyecto (A)
- Disponibilidad oportuna y suficiente de Recursos Financieros (A)

## **ACUERDOS DEL IEOS CON EQUIPO DE ASISTENCIA TECNICA**

1. Apoyo en la elaboración del documento definitivo, Programación para presentarlo a la A.I.D. (A)
  - 1.1. Revisar y proponer aspectos específicos
2. Asesorar en la definición del organigrama funcional del proyecto.
  - 2.1. Líneas de comunicación (A)
  - 2.2. Mecanismos de coordinación (A)
3. Aclarar responsabilidades y compromiso de WASH con la ejecución del proyecto (A)
4. Definición de formularios del componente Operación y Mantenimiento (A)
5. Esperamos la Asistencia Técnica a varios niveles: Central-Provincial y Grupos de Apoyo (A)

## ACUERDOS DE AID Y CUERPO DE PAZ CON ASISTENCIA TECNICA

### CUERPO DE PAZ

- Entrenamiento en Servicio dentro de los planes de capacitación (A)
- Información técnica actualizada (A)
- Que participen en el diseño del entrenamiento de actualización técnica con relación al proyecto del período del pre-servicio (A)

### A.I.D

- Que trabajen con los de IEOS a su lado no solos (A)
- Que acepten que las contrapartes existen (A)
- Reuniones semanales con el Coordinador de la Asistencia Técnica (A)
- Copias de toda comunicación a IEOS (A)
- Informes trimestrales técnicos y administrativos (WASH y ROMERO) (A)
- Avisar sobre condiciones de posibles problemas que requieren intervenciones (A)
- Una planificación de trabajo de Asistencia Técnica con el IEOS según las necesidades identificadas conjuntamente (A)
- Estar dispuesto a cambiar un asesor si su trabajo no es satisfactorio (A)

### ACUERDOS DE IEOS CON AID

1. A Agilidad en los desembolsos económicos
2. A Ajuste en los mecanismos de implementación del Programa del componente Educación Sanitaria de acuerdo con la estructura social del país y realidad del IEOS.

3. A Definir los mecanismos de coordinación financiera (unificación de criterios) entre el IEOS y la AID.

ACUERDOS DEL EQUIPO DE ASISTENCIA TECNICA CON AID

- A Apoyo Administrativo
- A Participación en la coordinación del proyecto
- A Disponibilidad oportuna de recursos financieros depende de la oportunidad con que lleguen los documentos

## APPENDIX E

### **Project implementation, Discussion/Results**

## FILOSOFIA DE IMPLEMENTACION DEL PROYECTO

### TAREA DE GRUPO No.1

1. Nombrar un coordinador del trabajo.
2. Nombrar un portavoz para transmitir la información a la reunión general.
3. Discutir acerca de la pregunta "Cómo se va a lograr la autoqestión dentro de las comunidades"?
4. Escribir las conclusiones en el rotafolio.

### ANALISIS DEL GRUPO 1.A

AUTOGESTION.- Es un proceso participativo para que las comunidades se sientan dueñas de sus sistemas.

- Evaluación histórica social económica de la comunidad para identificación de líderes (buscar nuevos líderes)
- Incluir a la gente para que sean semillas de contacto desde el inicio del proyecto y así no crear falsas expectativas ni sospechas (Capacitación del promotor)
- Capacitación a pobladores, Juntas y líderes para la disminución gradual de la dependencia extrema a la comunidad.
- Buena formación de los promotores para vender la idea de los beneficios que la comunidad a de obtener.

### ANALISIS DEL GRUPO 1.B

1. ORGANIZACION de la Comunidad y conformación de las Juntas Administradoras de Agua Potable.

2. Iniciar y/o intensificar el programa de Educación Sanitaria Rural.
3. CAPACITAR a líderes comunitarios
4. CAPACITAR a Operadores y Administradores de Sistemas
5. Supervisar y dar Asistencia Técnica PERMANENTE a las Juntas Administradoras de Agua Potable por parte del IEOS.
6. Entregar Sistemas de Agua Potable en óptimas condiciones de funcionamiento.
7. Analizar y aplicar sistemas tarifarios reales para agua potable.
8. Realizar la gestión pertinente para legitimar la propiedad de la fuente de agua en favor de la comunidad.
9. Revalorizar el aporte comunitario (Incremento de Jornal) y actualizar los costos de nuevas instalaciones domiciliarias de agua potable.
10. Evitar formas de apoyo del IEOS que constituyan paternalismo.
11. Fortalecimiento de los Consorcios para el cumplimiento de sus objetivos.
  - Almacen
  - Intercambio de experiencias y Asistencia Técnica entre Juntas.
12. Involucrar a Organismos que trabajen en el sector.

### TAREA DE GRUPO No.2

1. Nombrar un coordinador del trabajo.
2. Nombrar un portavoz para transmitir la información a la reunión general.
3. Discutir acerca de la pregunta "Cuál debería ser el balance entre la construcción de obras vs. la educación y promoción en las comunidades"?
4. Escribir las conclusiones en el rotafolio.

## ANALIS DE GRUPO 2.A

1. En la actualidad el IEOS se ha constituido en ente constructor, utilizando en parte la promoción y dejando de lado la Educación Sanitaria.
2. Educación Sanitaria debe realizarse antes y durante la construcción y luego en forma permanente.
3. IEOS debe dar lineamientos de Educación Sanitaria para su aplicación a través del Ministerio de Educación. (Responsabilidad IEOS)
4. Educación Sanitaria es un proceso permanente de concientización.

## ANAISIS DE GRUPO 2.B

1. Todo el Equipo de Trabajo debe hacer labores de Promoción y Educación Sanitaria en su oportunidad.
2. Preparar al Promotor y lider comunitario en técnicas educativas.
3. El 50% del tiempo dedicar a promoción dentro de la comunidad y el otro 50% en Educación Sanitaria.
4. Mayor asignación presupuestaria para actividades de Promoción y Educación Sanitaria.
5. Coordinación en otras entidades que trabajen en programas de Desarrollo Comunitario.
6. La actividad de Promoción Sanitaria debe ser realizada en un proceso continuo.

## RESUMEN: PRINCIPIOS DE CAMBIO Y AUTOSUFICIENCIA

- |   |                              |
|---|------------------------------|
| 1. Reconocer y querer el cambio                           | Apertura al cambio           |
| 2. Reconocer que se necesita ayuda                        |                              |
| 3. Participar y ser dueño del cambio con Agente de Cambio | Educación y Experimentación. |

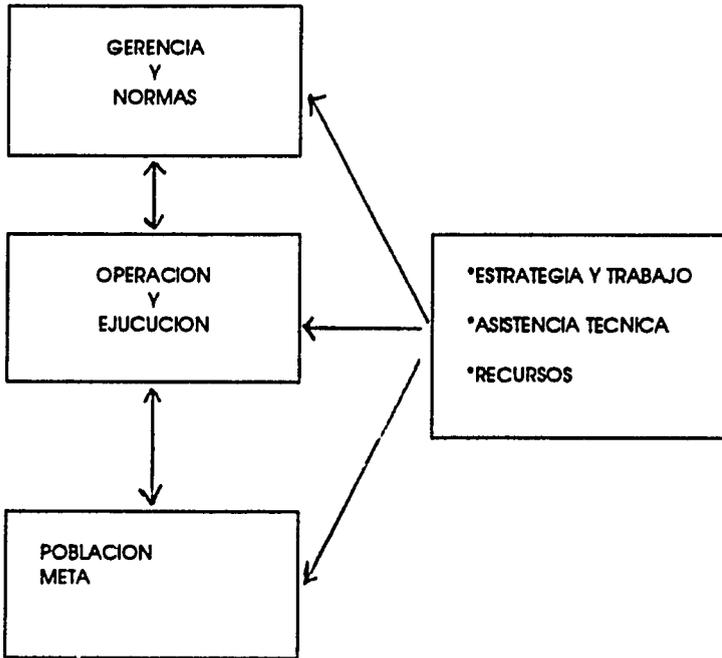
4. Reforzar y sostener el cambio con acciones continuas para nuevos miembros de las comunidades y los que han cambiado.

Seguimientos

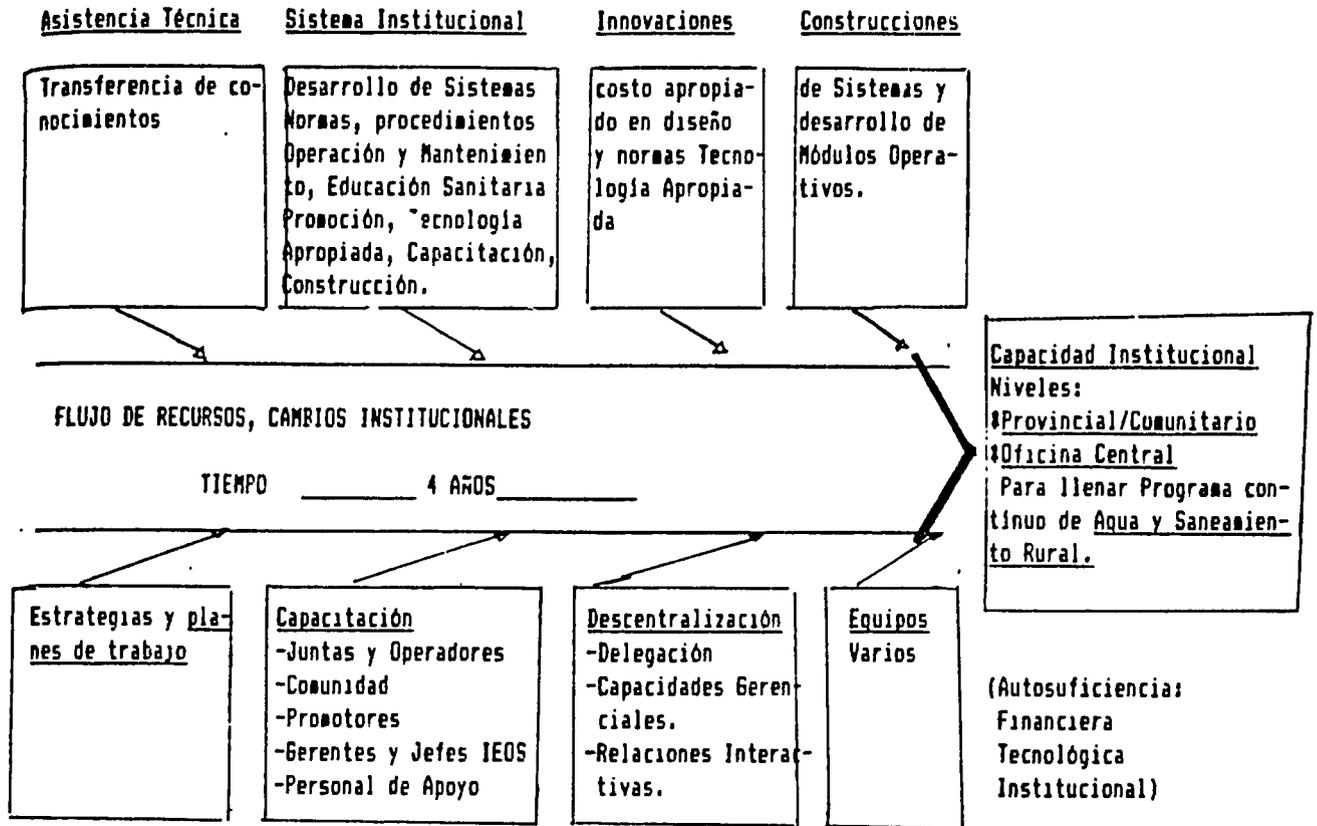
OFCINA  
CENTRAL

PROVINCIAL

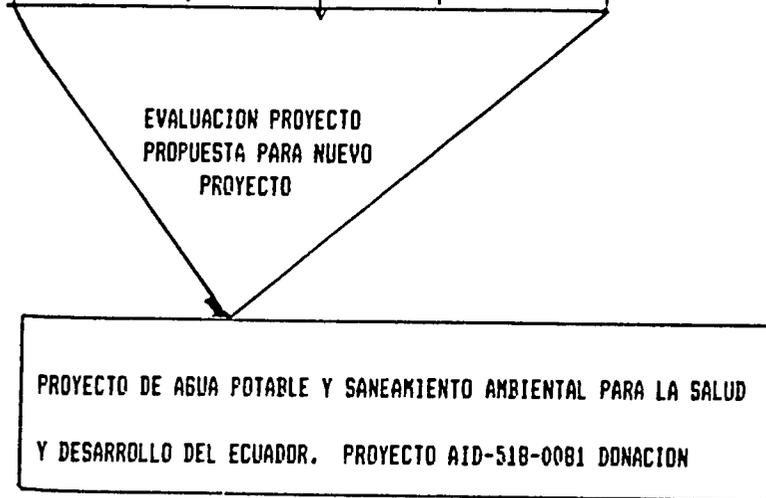
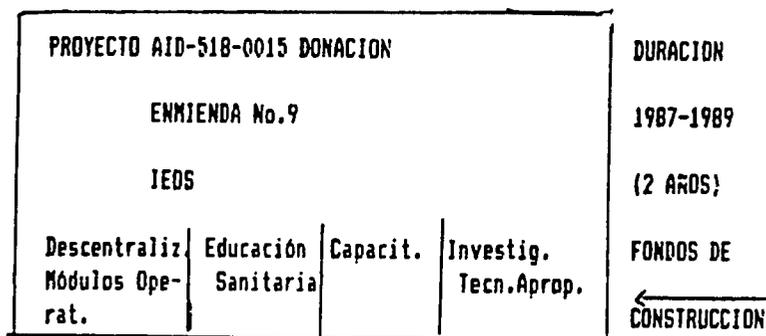
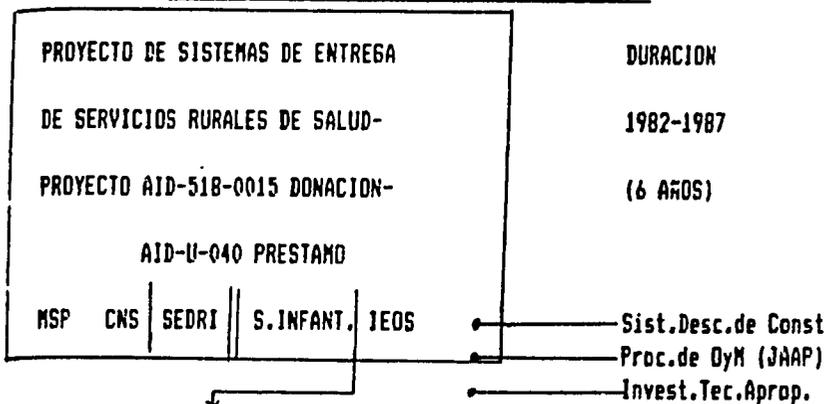
COMUNIDAD



**ESTRATEGIA GLOBAL DE IMPLEMENTACION**



**ACTIVIDADES DE ASISTENCIA TECNICA AID/IEOS**



PROYECTO DE AGUA POTABLE Y SANEAMIENTO AMBIENTAL PARA LA SALUD  
Y DESARROLLO DEL ECUADOR. PROYECTO AID-518-0081 DONACION

COORDINACION Y MONITOREO

TAREA DE GRUPO

1. Nombrar un coordinador
2. Nombrar un portavoz para transmitir la información a la reunión general.
3. Discutir acerca de las preguntas:
  - Como se va a conocer lo que otras unidades y oficinas haciendo en el proyecto?.
  - Cuál va a ser la manera de monitoreo y seguimiento al plan trabajo?
4. Escribir las conclusiones en el rotafolio.

COORDINACION Y MONITOREO GRUPO #1

1. Reuniones periódicas de los responsables del Proyecto según las necesidades.
2. Boletín Informativo de Oficina Central a Provincias: Quién?

COORDINACION Y MONITOREO GRUPO #2

1. Informes mensuales de las Jefaturas Provinciales
2. Reuniones trimestrales entre nivel central y provincial previa a la presentación del informe a la AID.
3. Informe del IEOS a la AID
4. Evaluaciones anuales
5. Visitas de campo.

## ACTIVIDADES PENDIENTES MONITOREO

1. Decidir quién va a hacer el boletín; con un formulario? diagramarlo.
2. Definir mecanismos de descentralización.
3. Mantener niveles de descentralización  
IEOS Central - Jefes Provinciales  
Jefes Provinciales - Jefe de Módulo  
Jefes de Módulos - Juntas Administradoras
4. Mecanismo .- Formar un Comité para descentralizar
5. Responsabilidad de monitoreo y planificación de descentralización.
  - Director de Proyecto/IEOS y Coordinador del Equipo de Asistencia Técnica.

## TAREA DE GRUPO

### DESCENTRALIZACION

1. Nombrar un coordinador
2. Nombrar un portavoz para transmitir información a la reunión general.
3. Discutir acerca de las preguntas
  - Qué se entiende por descentralización en el proyecto?
  - Se incluye la gerencia participativa en cuánto a decisiones?
4. Escribir las conclusiones en el rotafolio.

### RECOMENDACIONES DEL GRUPO: DESCENTRALIZACION.-

- 1.. **CONCEPTO.-** Es un proceso que permitirá delegar funciones y autoridad de los niveles directivo y ejecutivo a las áreas operativas y de apoyo del Proyecto, con la finalidad de lograr más agilidad a la gestión y actividades que realicen.

2. Para definir EL COMO se va a lograr la descentralización se debe tener en cuenta aspectos institucionales que norman y regulan la acción del IEOS como entidad de derecho público; tales como:

TECNICOS: Capacidad para construir, operar y mantener Sistemas de Agua Potable y Letrinización.

FINANCIEROS: Leyes y Reglamentos

ADMINISTRATIVOS: Leyes y Reglamentos

- La Delegación de funciones y autoridad debe mantener información, coordinación, valoración y comunicación entre todos los niveles y elementos que intervengan, a fin de que el Proyecto tenga el carácter de permanente.

Si se aceptan las limitaciones anteriores, la descentralización debe ser en forma participativa entre el nivel asesor, gerencial y operativo, a fin de seleccionar la mejor alternativa que defina el alcance que deba dársele al proceso.

3. Este proceso debe iniciarse creando mecanismos de coordinación directa entre Jefes Provinciales, Jefes de Componentes, Asesoría Técnica y Gerente, a fin de asegurar que los objetivos y metas del proyecto sean conducidos a través de acciones prácticas.

## DESARROLLO GERENCIAL

### TAREA GRUPO

1. Nombrar un coordinador
2. Nombrar un portavoz para transmitir la información a la reunión general.
3. Discutir acerca de las preguntas:
  - Cuáles son las necesidades de los participantes con respecto al programa de desarrollo gerencial?
  - Qué personal del IEOS debe participar en el programa?
4. Escribir las conclusiones en el rotafolio

## RECOMENDACIONES DEL GRUPO: DESARROLLO GERENCIAL

1. Desarrollar Cultura Gerencial en todos los ámbitos de la Institución.- Actividades.
2. Definir las funciones y responsabilidades de los participantes en todos los niveles, tendiente a crear procesos de delegación y autoridad.
3. Desarrollar métodos operativos para el sector administrativo.- financiero y jurídico.
4. Desarrollar sistemas ágiles de comunicación e información gerencial.

## PERSONAL RECOMENDADA DE PARTICIPACION EN EL PROGRAMA

### IEOS

1. Nivel Directivo
2. Nivel Ejecutivo
3. Nivel de Apoyo
4. Jefes Provinciales  
(+ 2do. de a bordo)

### COMO?

1. Capacitación sistematizada.
  - Promoción de personal a través de un eficiente sistema de evaluación.
2. A través de la elaboración de un Manual de Funciones del proyecto, (organización y métodos) Manual de Procedimientos.

## DESARROLLO GERENCIAL.- SUGERENCIAS DE LA PLENARIA

### MANUAL DE FUNCIONES Y MANUAL DE PROCEDIMIENTOS

#### EDUCACION SANITARIA

##### TAREA GRUPO No.4

1. Nombrar un coordinador
2. Nombrar un portavoz para transmitir la información a la reunión general.
3. Discutir acerca de las preguntas:
  - Cuáles deben ser las políticas y normas para el diseño del programa de promoción y educación de higiene y salud?
  - Cómo se debe llevar a cabo este programa?
4. Escribir las conclusiones en el rotafolio.

#### EDUCACION SANITARIA

##### POLITICAS Y NORMAS- ESTRATEGIAS

1. Debe darse énfasis en la educación interpersonal, para obtener efectos multiplicadores.
2. Apoyarse en medio de comunicación masivos principalmente radios locales.
3. Utilizar y potenciar todos los recursos humanos de otras Instituciones para reforzar la Campaña de Educación Sanitaria, el IEOS debe coordinar estas acciones.
4. Capacitación.- Seguimiento a los Promotores Sanitarios en técnicas de educación interpersonal para llegar a todos los grupos de la comunidad.
5. Emplear materiales educativos acorde a las realidades socio-culturales.
6. Incentivar la participación comunitaria para promover prácticas de higiene y mantenimiento de obras básicas de saneamiento.

## COMO?

1. Reclutamiento y capacitación en Educación Sanitaria de nuevos promotores o promotoras locales.
2. Búsqueda y capacitación de líderes informales (Ejm. madres)
3. Reforzar y ampliar el liderato de la Junta de Agua Potable para la organización y capacitación de comités locales de Educación Sanitaria.
4. Visitas Domiciliarios del Promotor y otros recursos humanos de la comunidad para difundir mensajes educativos.
5. Capacitación.- Seguimiento a los maestros rurales.
6. Organizar sesiones educativas con grupos de la comunidad.
7. Organizar trabajos de mejoramiento sanitario de la comunidad
8. Promover concursos sobre uso y mantenimiento de Obras Sanitarias a nivel de escuelas.

## SUGERENCIAS DE LA PLENARIA PARA LA EDUCACION SANITARIA.-

1. Mecanismos para evaluar el proceso y reajustar planes de acción.
2. Que se contemple una coordinación y búsqueda de ayuda de todas las Instituciones y elementos posibles Interacción y plan interactivo.
3. Buscar uno o dos indicadores de éxito para el personal y el programa en sí.

## PREGUNTAS SOBRE EL FLUJO FINANCIERO

1. Qué tipo o modalidad de contrato y procedimiento se va a utilizar para el personal de los módulos?
2. Cada componente va a tener una asignación presupuestaria?Cuál va a ser su administración?
3. Cuánto tiempo aproximado utilizará AID para conocer y aprobar una solicitud del IEOS?

4. Con qué reglamento de adquisición de bienes y contratación de obras se operará en el proyecto? (descentralización)
- 5.Cuál va a ser el mecanismo para la transferencia oportuna de fondos de AID a IEOS.
6. Cómo se efectuarán los pagos del personal contratado para el proyecto?
  - Con cargo a los proyectos?
  - Rol de pagos central (IEOS) ?
7. Se puede reprogramar la asignación dentro del componente Operación y Mantenimiento para el primer año en rubro construcción.
8. Podría AID darnos asesoramiento a fin de preparar adecuadas solicitudes de desembolso (transferencia)
9. Cuáles serán los mecanismos de transferencia de fondos a las Jefaturas Provinciales:
  - Fondo rotativo?
  - Asignación por Proyectos?
10. Cuál va a ser el monto de la capacidad de contratación en provincias?
11. Cómo se ha previsto financiar la conformación física, equipos, recursos humanos, instructores nacionales y extranjeros y material del Componente Capacitación?
12. Por qué sólo la Jefatura Provincial del Azuay tiene una infraestructura completa y ordenada?
13. La contratación de la firma privada de auditoría será autorizada o no por la Contraloría del Estado?
14. Cómo y en qué nivel se resolverán los problemas legales derivados de la contratación de obras y adquisición de bienes?
15. Qué grado de responsabilidad en el manejo de recursos financieros AID/IEOS?
 

NOTA: Presupuesto preliminar  
Presupuesto final
17. Qué tipos de equipos va a permitir adquirir AID?
18. Los proyectos del Módulo AID exigen contraparte del IEOS?

## APPENDIX F

### **Project Monitoring 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:

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 Equipment

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, 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 at 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

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