MDF Management for Development Foundation

Panchayati Raj Engineering Department
(PRED), Hyderabad, Andhra Pradesh, India

OOPP WORKSHOP

on

INSTITUTIONAL DEVELOPMENT FOR
SUSTAINABILITY OF INTEGRATED APPROACH
TO RURAL WATER SUPPLY AND SANITATION PROGRAMMES

Hyderabad, 29 Sept. to 5 Oct 1991

MISSION REPORT

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Erik Kijne
Ede, November 1991

CONTENTS MISSION REPORT

REPORT ON OOPP WORKSHOP FOR PRED, ANDHRA PRADESH, INDIA

1. Introduction and background

Due to encouraging results during the Objective Oriented Project Planning (OOPP) Workshop organized with the Netherlands Assisted Programme Support Unit (NAPSU) in Lucknow, Uttar Pradesh by March 1991 the participatory OOPP analysis and planning method was considered to be useful to apply also with the Panchayati Raj Engineering Department (PRED), the technical implementing agency for all Water and Sanitation programmes in Andhra Pradesh as one of the preparatory steps for the start of AP-III projects.

The need to organize a participatory workshop evolved from the fact that problems are being anticipated upon during the implementation of the third phase of the Netherlands Assisted Programme which will take off by 1993. This programme will focus on Nalgonda District and is supposed to be addressed through an integrated approach involving several organizations and institutions covering the different sectors water, sanitation, health education, institutional development as well as income generation aiming at the poorer strata of the communities and particularly the women.

Problems are expected in future within PRED particularly with the handing over of most of the following activities carried out temporarily within NAP-office.
Examples of the most critical activities are a.o.:
Assistance with:
- preparation of integrated project proposal,
- preparation of Operational Plans,
- selection of Voluntary Organizations,
- identifying income generating activities,
- institutional development activities (HRM, MIS).

In order to prepare the PRED for a coordinating role of above activities that are required for the implementation of such an integrated programme a strengthening and broadening of existing expertise is essential. Next to additional technical aspects on e.g. Operation & Maintenance of water supply systems much effort is required to incorporate the uplift of planning, coordination and managerial skills, sociological knowledge and attitudes, as well as human resource development within its own organization.

A briefing document on the workshop was prepared by the NAP-office and has been annexed to this report in Annex 2.

After initial discussions in Hyderabad between PRED and NAP-office and supported by the First Secretary (RWS) of the Netherlands Embassy the Netherlands Directorate General for International Cooperation (DGIS-DAL/ZZ) commissioned MDF by letter DAL-177927 dated 11 September 1991 to organize such an OOPP workshop for the PRED and NAP-office in Hyderabad particularly also to prepare the staff on the appraisal mission which would take place immediately following the workshop.

The OOPP workshop was organized by Erik Kijne from MDF and took place from Sunday 29th September to Saturday 5th October 1991.

2. Determination of the Entity of the OOPP workshop

The 'entity' of an OOPP Workshop is the topic of the workshop, which will be analyzed by the participants aiming at an improved planning of detailed activities to solve the problems that prevail in relation to the 'entity'. Commitment to the implementation of such plan is achieved through the participation in the workshop of all parties concerned with the implementation of the activities.

After arrival in India it seemed that small differences in perceptions of the entity to be analysed prevailed with DGIS/DAL-ZZ, the Netherlands Embassy, NAP-office and the participating Engineers of PRED in Hyderabad.

The official request from DGIS/DAL-ZZ stated that the mission should contribute to an improved planning, coordination and implementation of the NAP III programme in Nalgonda District, Andhra Pradesh.

In discussions with the First Secretary (RWS) specific interest was expressed in the analysis of problems related to the coordination and monitoring of the different aspects of the integrated programme to be implemented by different organizations in NAP III, Nalgonda, c.q. the institutional set-up of the total programme.

After having arrived in Hyderabad PRED and NAP-office expressed their wishes to analyse the problems related to the successful implementation of the integrated Water Supply and Sanitation Programme (WS&S) in the State of Andhra Pradesh as a whole by PRED and to plan for the institutional and organizational requirements within PRED in particular.

Based upon the above perceptions of the 'entity' the following 'entities' were potential options and were proposed to the participants:
a. Implementation of the integrated (NA)Programme AP-III in Nalgonda,
b. Implementation of WS & S programmes by PRED in general, taking into account the case of Nalgonda District,
c. Performance of the engineers of PRED in general.

The option a. would focus on the problems identified with the management and particularly the coordination of the multi-organizational aspects of AP-III.
Option b. would focus on technical and non-technical aspects affecting the implementation of the WS & S programme by PRED (internal and possibly also perceptions of PRED engineers of external factors).
Option c. would concentrate on the different problems affecting the performance of the PRED engineers (mainly internal aspects but possibly also some external aspects.

After discussions with the PRED engineers they preferred to focus on the functioning of PRED in general, As PRED has been assigned the authority to carry out all WS&S programmes in the State they considered it essential to prepare PRED adequately in order to manage successfully the implementation of the total WS & S programme in an integrated manner in the whole State.

This workshop was officially referred to as: Workshop on Institutional Development for Sustainability of Integrated Approach to Rural Water Supply and Sanitation Programmes.

The 'entity' to be analysed in this workshop was:
Problems related to the implementation of water supply and sanitation programmes in Andhra Pradesh by PRED through an integrated approach.

The focus of the workshop would benefit primarily the organization of PRED in a more sustainable way, as is in line with the Institutional Development component proposed in the Nalgonda project document.
Consequently the planning for organizational strengthening of PRED would benefit the integrated Nalgonda project through a more effective and efficient PRED organization.

3. Participation

According to the memorandum on this workshop compiled by the Netherlands Embassy the PRED would participate with the following people, most of whom are working in the Netherlands Assisted Programme and have been or will be involved in the Nalgonda scheme:
- Engineer-in-Chief (1),
- Superintending Engineer (1 or 2),
- Executive Engineers (3),
- Deputy Executive Engineers (3),
- NAP-office (3),
- A.P. Dairy (1),
- One person from an involved NGO (1).

As the organizers of the workshop perceived the need to improve on the functioning of PRED in the first instance, in line with the Institutional Development component in the project document, it was decided to invite only PRED engineers from different hierarchical levels together with some of the staff of the NAP-office, a representative from the Project Review Mission and the First Secretary (RWS) in order to allow open discussions on this internal aspect regarding the functioning of the PRED. It was found to be premature to involve 'outsiders' at this stage as PRED wanted to improve its own organization first before talking to other involved parties. It was expected, that the workshop would offer suggestions and an approach on how to involve the other institutions and organizations adequately. In this context 'adequately' means that the other parties will have to be involved at an earliest stage after this workshop and as such become fully committed towards their responsibilities and implementation of their own activities.

Participation of PRED officials in the workshop was officially sanctioned by a Government order addressed to the individual participants to guarantee their full participation.
The following nineteen functionaries from PRED, the NAP-office, the Review Support Mission (RSM) and the Netherlands Embassy, whose names appear in Annex 3, participated during the workshop:

PRED:	- the Engineer-in-Chief,
	- Chief Engineers, (PR, CERP),
	- Joint Secretary to the Gvt. of Andhra Pradesh (PR&RD),
	- Superintending Engineers, (CERP, NAP (2), PR,),
	- Executive Engineers, (NAP, CERP, RWS),
	- Dy. Executive Engineer (NAP, PRED),
	- Liaison Officer (NAP),
NAP-office:	- Socio-Economist,
	- Community Development Specialist,
RSM:	- Mission Leader,
RNE:	- First Secretary (RWS) (last 2 days).

Participation was enhanced by the fact that all participants were accommodated very satisfactorily in the same hotel, which also facilitated participants to have informal discussions after the workshop sessions.
Unfortunately, but understandably the very most senior participants were called upon sometimes for official duties at their office, which caused some inconveniences for the other participants and the moderator to proceed. At some instances when the workshop had to proceed while some participants were absent discussions had to be repeated with those participants after they had joined again.

Particularly after the first few days of the workshop when the problem analysis of the internal PRED organization took place some participants felt somewhat uneasy. They probably had some hesitations about the open discussions on internal problems in the presence of officers of lower ranks and maybe also the mission leader of the Project Review Mission. It must be noted, that this feeling is common to the dynamics of the O.O.P.P. method and originates from the negative feelings discussion on internal problems may cause. As expected, enthusiasm for participation boomed after the start of the Objective Analysis, whereby problems appear as positive reached conditions which can be achieved by the project and which appear as concrete activities in the Matrix.

During the last two days of the workshop the First Secretary (RWS) from the Netherlands Embassy participated. His participation was very constructive as he particularly could add his contributions to the discussions on the proposed activities in the Management Planning Matrix.

4. Approach of the workshop
The workshop applied the participatory Objective Oriented Project Planning (OOPP) analysis and planning technique. This method has been described in Annex 6: Principles of OOPP, stipulating the steps involved as well as clarifying the dynamics created in the group. The description also elaborates on the strengths and weaknesses of this method as well as on the role of the moderator.
In short the method applies brain-storm techniques and group discussions guided by the moderator, who visualizes the products of discussions.

Normally an OOPP workshop will take some 10 full days. Because for this workshop only 6 days were available some shortcuts in the procedures had to be taken in order to achieve a satisfactory product.

Based upon the expectations of the participants expressed in the 'Entity' most effort was spent on the development of a Management Planning Matrix aiming at strengthening of the PRED organization to operate satisfactory in the integrated project approach. In other words little time was spend on **what** the PRED is supposed to do in relation to the external Parties Involved (PPM) in contrast to **how** internally the PRED should become capable in doing their activities described in the above 'what' (MPM).

One important shortcut made because of the time factor was the abolishment of a discussion on Assumptions, i.e. critical factors affecting the success of the project, but which are outside the control of the project.

During this workshop the following steps were followed:
- Presentation of Project Planning Matrix (PPM) of Nalgonda Scheme by the moderator according to the information presented in the AP-III project document.
- Identification of Parties Involved related to the different Results in PPM.
- Determination of the 'Entity'.
- Analysis of problems related to the 'Entity'.
- Analysis of Objectives.
- Development of Management Planning Matrix (MPM).
- Identification of objectives most difficult to achieve and most important to achieve.
- Determination of MPM Purpose, Overall Objective, Assumptions and Results.
- Brain-storm on Activities for each Result.
- Discussions on proposed Activities.
- Discussion on Organizational structure.
- Identification of most important Activities ('biggies').
- Preparation of Activity Schedule indicating responsibilities.

5. Proceedings of the workshop

Preparation on the 'Entity' by workshop organizers
Following a briefing session with the First Secretary (RWS) at the Netherlands Embassy, PRED and NAP-office in Hyderabad a clearer picture on the 'Entity' to be analysed was developed. Details have been described in chapter 2 of this report.

Logistical check and welcome of participants
After a check on the logistical arrangements and workshop accommodation the workshop took off when all participants had arrived in Hotel Nalgonda on Sunday 28th of September with an informal get-together during a dinner offered by the organizers.

Introductions

After a welcome by Mr. Kurian Katticaren from NAP-office short individual introductions and a briefing on the objectives of the workshop placed the context of the workshop. A short briefing on the O.O.P.P. technique was given by the moderator.

Presentation of AP III Project Planning Matrix

The session proceeded with a presentation of the Project Planning Matrix (PPM) as the moderator had developed this from the information presented in the NAP-III project documents for Nalgonda District. The Project Purpose was stated to aim at *improved living conditions*. The different sections in the project documents were reformulated into **Results** and placed next to each other in the PPM as can be observed from the enclosed PPM.

The Results thus formulated were:

WATER SUPPLY	- Proper investigations carried out,
	- Adequate construction of Water supply systems,
	- Adequate operation of water supply system,
	- Adequate maintenance of water supply system,
	- Water quality monitored,
	- Awareness created on the use and sanitation of water supply systems,
SANITATION	- Awareness created on the proper use of latrines,
	- Appropriate site selection for latrines,
	- Appropriate latrines constructed,
WELFARE	- Mother & child welfare achieved,
INCOME GENERATION	- Women dairy cooperatives functioning adequately,
	- Silk producing cooperatives functioning adequately.

Identification of Parties Involved

In a plenary session the group identified the different Parties Involved in each of the different Results, which were placed under each Result as is shown in the PPM presented on next page. Through this presentation it became clear that PRED is mainly involved in the water supply aspects (construction) of the programme. To assist in the implementation of the other aspects like *sanitation, welfare and income generation* other parties would be responsible for the implementation. It was through the visualization of this simple analysis that it became clear how important but how difficult the coordination activities by PRED would be to successfully implement this integrated programme. Of course the consequences of PRED assuming to become the nodal agency in this programme were later explicitly discussed during the activities proposed to improve on the coordination role in the Management Planning Matrix (MPM).

PROJECT PLANNING MATRIX AP-III, NALGONDA,

SHOWING ALL PARTIES INVOLVED IN ACHIEVING THE RESULTS

OVERALL OBJECTIVE	Rural Development
PROJECT PURPOSE	Improved living conditions

RESULTS	Proper investigations.	Adequate construction of WS system	Adequate operation of WS system	Adequate maintenance of WS system	Water quality monitored	Awareness created on use and sanitation of WS system	Awareness created on proper use of latrines	Appropriate site selection for latrines	Appropriate latrines constructed	Mother & child welfare achieved	Women dairy coops functioning adequately	Silk producing coops functioning adequately
PARTIES INVOLVED	PRED	PRED	PRED	PRED	IPM	GP		NGO (ASM)	PRED (Division)	Women Welfare Dept.	NARMUL (APDDCFL)	SERIFED
	Local: SE, EE, DEE, AE.	Executing Agencies	GP	Suppliers of equipment / spares	PRED	Women Welfare Dept.		Beneficiary (GP)	Beneficiary (GP)	Medical & Health Dept.	Distr. Rural Dv. Agency / Banks	Sericulture Dept.
	Geologist (PRED)		APSEB (Elect. Board)	Private workshops	Health Dept.	NGO		PRED (DIVISION)		Integrated Child Dev. Services	Animal Husbandry Dept.	DRDA / Banks
	GP		Telecom Dept.	GP	GP	Health Dept.				NGO	Cooperative Societies	Silk producing Coops.
	NGO		Irrigation Dept.			Educ. Dept.				District Rural Dev. Agency / Banks		
	District Administration									ZPP		

Determination of 'Entity' by participants
As reported in chapter 2 the participants were more interested to analyse the problems and plan for a strengthened PRED organization than concentrate on the required activities that should be carried out by PRED in the NAP-III project in Nalgonda Scheme. As a result of the focus on Institutional Development for PRED no attention was paid to the relevance of the activities listed in the project document aiming at each of the above mentioned individual Results in the PPM.

The different options for the 'entity' to be analysed in this workshop were discussed by the participants, who ultimately agreed on the following description:
Problems related to the implementation of water supply and sanitation programmes in Andhra Pradesh by PRED through an integrated approach.

Expectations of workshop by participants
Before starting with the problem analysis the participants were requested to formulate their expectation of the workshop. These expectations have been incorporated in the evaluation of the workshop which has been presented in Annex 4.

Problem Analysis
Participants were requested to formulate as many problems as possible, each on a yellow card, related to the 'Entity' resulting ultimately in some 97 problems of different order.
All these problems were discussed at length before all participants agreed on the presence of those problems. They did not have to agree on the problems but merely agree on their existence. These discussions enhanced the mutual understanding about the working environment and conditions between the officers from different ranks.

Analysis of Objectives
After the problems had been placed in a cause-effect relationship forming the 'Problem Tree' all problems were reformulated into positive reached conditions, which were written on green cards. In this way all problems were transformed into objectives, which were checked in their 'means-end' relationship and placed on a wall chart Objectives covering a similar topic were clustered and given a name. The number of objectives in a cluster can be an indication of the interest and importance for that issue among the participants

IMPROVED HEALTH

IMPROVED INCOME

IMPROVED WATER SUPPLY

COMMUNITY LATRINES MAINTAINED

ALLOCATIONS FOR SANITATION FULLY SPENT

PEOPLE COLLECT WATE FROM WS SYSTEM

SAFE PIPED WATER SUPPLY

INCOME GENERATING AGENCIES UTILYZE EXISTING RESOURCES

SMOOTH IMPLEMENTATION OF LOANING PROGRAMMES

SCHEMES COMPLETED

REDUCED DELAY IN COMPLETION

REGULAR WATER SUPPLY

PROJECT IMPLEMENTATION BY OTHER AGENCIES

REDUCED COST OVERRUN

HOUSE CONNECTIONS ALLOWED TO THE EXTEND OF DESIGN

VILLAGERS COOPERATE IN HP REPAIRS

ENGINEERS MOTIVATED IN O & M FIELD LEVEL

REGULAR POWER SUPPLY

DELAY IN IMPLEMENTATION REDUCED

CONSTRUCTION

CLEAR POLICY ON HOUSE CONECTIONS

ADEQUATE RESOURCES FOR O & M

EFFECTIVE FEEDBACK ON O & M

ADEQUATE SKILLS OF O & M AT VILLAGE LEVEL

IMPROVED CONSTRUCTION PLANNING

ALL DIVISIONS IMPLEMENT SCHEMES

SUFFICIENT CONTRUCTION MAT. AVAILABLE

INCREASED CAPABILITY TO IMPLEMENT SCATTERED WORKS

AVAILABILITY OF SUFFICIENT CONSTRUCTION

TIMELY DECISIONS

SUFFICIENT CONTRACTORS AVAILABLE

CONTRIBUTIONS PAID BY G.P./VILLAGERS

SANITATION

ADEQUATE FUNDS FROM COMMUNITY

ADEQUATE FUNDS FROM GVT

DIVERSION OF FUNDS CONTROLLED

REALISTIC GOVT. SCHEDULE OF RATES

FINANCIAL MANAGEMENT

PROJECT DESIGN

CORRECT DESIGNS

BETTER CONTROL OVER EXPENDITURE

REDUCED INTERFERANCE OF POLITICIANS IN EXECUTION

COMMITMENT OF VILLAGERS ACHIEVED

BENEFICIARIES MOTIVATED ON SANITATION

WILLINGNESS TO COST SHARING

CLEAR ADM. ARRANGEMENTS B/T PRED AND GP

ADEQUATE DESIGNS CRITERIA DEVELOPED

IMPROVED FINANCIAL PLANNING

IMPROVED ACCOUNTING SYSTEM

INCREASED AWARENESS CREATED

COMMUNITY RESPONSIBLE FOR MAINTENANCE

IMPROVED INCOME

O & M SYSTEM AVAILABLE

PROPER PROJECT FORMULATION

POLITICAL INTERFERANCE

ENOUGH GENUINE NGO'S FOR CP

PROPER STRATEGIES FOR SANITATION

ADEQUATE NUMBER OF GENUINE NGO'S

PROJECT FORMULATION

ADEQUATE ATTENSION OF STAFF FOR IMPORTANT FUNCTIONS IN SANITATION

PROPER INVESTIGATIONS ACHIEVED

PROPER ANALYSIS OF DATA

ADEQUATE COOPERATION WITH OTHER AGENCIES

SUFFICIENT NR. OF EXECUTIVE STAFF

IMPROVED FACILITIES TO HANDLE ALL DATA

STAFF CAPABLE TO HANDLE DATA EFFECTIVELY

EFFECTIVE FUNCTIONING OF STAFF

MOTIVATION

DATA ANALYSIS

GOOD UNDERSTANDING AMONG IMPL. AGENCIES

ADEQUATE NUMBER OF ENGINEERS WITH SPECIALIZED SKILLS

IMPROVED TEAM SPIRIT

MORE STAFF STAYING AT PLACE OF WORK / ATTENDANCE

LOWER LEVEL ENG. WILLING TO CONCENTRATE ON RWS

REDUCED PAPER WORK

ESTIMATES ONLY IN RELATION TO BUDGET

MORE EFFECTIVE AND REDUCED NR. OF MEETINGS

CREATED ENVIRONMENT INDUCIVE TO GROWTH OF TALENTS

PRED HAS OTHER THEN ENGINEERING EXPERTISE

TECHNICAL EXPERTISE

INTER AGENCY COORDINATION

ENGINEERS OPEN TO NEW IDEAS

SATISFACTORY KNOWLEDGE IN TECHN. OF L.P.I.

SATISFACTORY KNOWLEDGE IN GROUND WATER HYDROLOGY

ADEQUATE CONSTRUCTION MANAGEMENT SKILLS

ADEQUATE KNOWLEDGE IN MATERIAL MANAGEMENT

IMPROVED COMMUNICATION SKILLS

PROPER COMMITMENT OF STAFF

FACILITIES IMPROVED AT FIELD

PLANNING DISCIPLINE IN Z.P.P.

DEFINITE GUIDELINES FOR PRIORITY RWS

ADEQUATE EXPOSURE TO MANAGEMENT & SOCIAL SCIENCEC

ENGINEERS ADEQUATELY EXPOSED TO PARTICIPATORY APPROACHES

IMPROVED FACILITIES FOR WOMEN STAFF

ENOUGH POWERS DELEGATED & RESPONSIBILTIES FIXED

REDUCED FRUSTRATION S IN STAFF

REDUCED POLITICAL INTERFERANCE

CONCENTRATE TASKS ON RWS & SANITATION

OPERATIONS & MAINTENANCE

ADEQUATE POLICY FOR OPERTIONS & MAINTENANCE

RECRUITMENT PROCEDURES IMPROVED

BETTER TRAINING FACILITIES

IMPROVED PROMOTION AVENUES FOR AE'S / AEE'S

SKILLS/ KNOWLEDGE / EXPERIENCE IN MIDDLE LEVE. ENG. RECOGNIZED

PERFORMANCE REWARDED

TIMELY DECISIONS ON PROMOTIONS TAKEN

AWARENESS CREATED

ORGANIZATIONAL STRUCTURE

SINGLE LINE OF CONTROL

STAFF RECRUITMENT

PERSONNEL MANAGEMENT

PERSONAL MANAGEMENT IMPROVED

POLITICAL INTERFERANCE

PROPER IDENTIFICATION & ANALYSIS OF ISSUES / PROBLEMS ACHIEVED

FUNDS

SUFFICIENT FUNDS MADE AVAILABLE

The following clusters had been identified incorporating the following number of objectives:

CLUSTERS	NR. OF OBJECTIVES
Operation & Maintenance	20
Income generation	3
Construction	11
Sanitation	6
Design	2
Financial management	5
Political interference	2
Project formulation	2
Data	3
Coordination	6
Staff recruitment	2
Technical expertise	6
Motivation of staff	20
Political interference	2
Organizational structure	2
Personnel management	2
Funds	1

Prioritizing objectives

Based upon the information presented in the Objective Tree the participants were requested to identify those objectives that are most difficult to achieve and those that are considered to be most important to achieve. This simple scoring mechanism was carried out anonymously and resulted in the following scoring :

Cluster (total score on importancy/difficulty)		Objectives in Objective Tree	Score most important to achieve	Score most difficult to achieve
Technical expertise	12	Technical expertise	7	
		Training facilities	5	
Pers. management	5/5	Personnel management	5	5
Motivation of staff	18/7	Team spirit	4	
		Facilities at field	4	2
		Functioning of staff	3	2
		Sufficient staff	2	
		Commitment of staff	2	1
		Performance rewarded	2	
		Planning disc. in ZPP	1	2
Coordination	3/1	Coop. with other agencies	3	1
Operation & Maint.	3/3	Policy for O&M	3	1
		Communities cost sharing		2
Organizational struc.	3/5	Single line of control	3	5
Funds	2/7	Sufficient funds available	2	7
Data	2/1	Data analysis	2	1
Political interference	0/11	Political interference		11
Construction	0/3	Comm. of villagers		3
Sanitation	0/2	Genuine NGO's		2

The above scoring gives an indication of the expectations among the participants, of which the difficulty to implement these is indicated by the scoring in the second column. It is clear that major expectations for improvements have been indicated in the fields of *Motivation of staff* (18/3) and *Technical expertise* (12).

Normally an Objective Tree can be devided into a top half and a bottom half. The objectives in the top half mostly deal with the **what** the organization or project should achieve, while the objectives in the bottom half deal with the **how** the organization or project should achieve the 'what' objectives. In other words the top half deals with the external products, while the bottom half deals with the internal products.

Determination of Purpose MPM

Most objectives selected by the participants originated from the lower half of the Objective Tree. As said before these objectives deal with the internal aspects of the organization and as such aim at organizational strengthening of the PRED. This coincides with the aim of the workshop.
From this discussion the Purpose of the Management Planning Matrix was formulated as follows:

> PURPOSE MPM:
> - *PRED strengthened for the implementation of integrated WS&S programmes*

Identification of Results

Based upon the above priority ranking of objectives from the Objective Tree and additional discussions the following independent Results were identified and placed in the Management Planning Matrix.

> RESULTS:
> - *1. Adequate policy for O&M formulated,*
> - *2. Adequate coordination with other agencies,*
> - *3. Sufficient executive staff available,*
> - *4. Adequate specialized skills with engineers,*
> - *5. Proper analysis of data achieved,*
> - *6. Improved team spirit achieved,*
> - *7. Personnel management improved,*
> - *8. Sufficient funds made available,*
> - *9. Tasks engineers concentrate on rural water supply & sanitation,*
> - *10. Adequate plans of operation prepared,*
> - *11. Facilities at field improved.*

Identification of Activities

Following the determination of the Results in the Management Planning Matrix participants were each assigned one or more Results to do a brain-storm in small groups on possible activities leading to each Result. After the groups had exhausted their brain-storm and discussions each group presented their suggestions to all participants. Extensive discussions on those activities led to reformulation and additional suggestions of activities. After the whole group agreed upon the proposed activities these were placed in the order of priority under each respective Result in the MPM.
The Management Planning Matrix of the PRED is presented on next page.

MANAGEMENT PLANNING MATRIX
ORGANIZATIONAL STRENGTHENING P.R.E.D. AP, INDIA

OVERALL OBJECTIVE	EFFECTIVE IMPLEM. OF INTEGR. PROGR.
PROJECT PURPOSE	PRED STRENGTHED FOR IMPLEM. OF (INTEGR.) PROGR.

RESULTS / ACTIVITIES

ADEQUATE POLICY FOR O&M FORMULATED	ADEQUATE COORD. WITH OTHER AGENCIES	SUFFICIENTS EXEC. STAFF AVAILABLE	ADEQUATE SPECIALIZED SKILLS WITH ENG.	PROPER ANALYSIS OF DATA ACHIEVED	IMPROVED TEAM SPIRIT ACHIEVED	PERSONNEL MANAGEMENT IMPROVED	SUFFICIENT FUNDS MADE AVAILABLE	TASKS ENGINEERS CONCENTRATE ON RWS & S	ADEQUATE PLANS OF OPERATIONS PREPARED	FACILITIES AT FIELD IMPROVED
CONTINUATION AND COMPLETION OF VLWSM STUDY	DEFINE ROLE / FUNCTIONS OF NODAL COMM.	SENIORITY LISTS OF AEE's, DyEEs TO BE FINALIZED BY PRED / GOAP	IDENTIFY NEW CE (HRD) AND TRAIN HIM	FORM DESIGN & PLANNING WING HEADED BY CE WITH TEAM OF EXPERTS	CREATE BETTER FACILITIES FOR WOMEN STAFF	STRENGTHEN THE PERSONNEL MANAGEMENT UNIT (Dy CE WITH POWERS)	ORGANIZE SEMINARS WITH Z.P.P. GENERAL BODY	STUDY CONSEQUENCES AND FEASIBILTY OF SEPARATRTE RWS & S DEPT. / BOARD	FORM A DESIGN & PLANNING WING HEADED BY CE WITH TEAM OF EXPERTS	DESIGN AND PROPOSE SOFT LOAN SYSTEM FOR TWO-WHEELERS UNDER GEN. DEPT.
STUDY PRIVATISATION OF PUMP MAINTENANCE	MAKE SE HEAD OF NAP CELL (CREATION OF POST)	STAFF COSTS FOR PROJECTS TO BE INCREASED FROM 7.5%	SET UP A HRD COORD. AND MONITORING TEAM	STUDY THE NEED FOR TECHNICAL ASSISTANCE	FORMULATE POLICY FOR INCENTIVES	ORGANIZE TRAINING IN PERSONNEL MANAGEMENT FOR Dy CE	PREPARE ART. AND TV TALKS TO CREATE AWARENESS ON COST SHARING & TARIFF	PREPARE AND PRESENT PROPOSAL FOR SEPARATE RWS & S DEPT.	ORGANIZE TRAINING FOR THE PLANNING & DESIGN TEAM	DESIGN LOANS FOR TWO-WHEELERS UNDER BI-LATERAL PROJECT
DIALOGUE WITH LOCAL BODIES ON O&M POLICY	PROVIDE ADEQUATE INFR. / EQUIP TO NAP CELL	SANCTION ADD. STAFF BY GOAP FOR PROJECTS AS PER NORMS	DEPLOY CONSULTANT ON HRD TO ADVISE TEAM	DEFINE DATA REQUIRED BY TEAM OF CE's	IDENTIFY TASKS THAT ARE TYPICALLY TEAM ORIENTED	DESIGN A SYSTEM ON HOW PREFERENCES CAN BE HONOURED	MOTIVATE PEOPLE / GP TO CONTRIBUTE FOR CAPITAL COST OF PWS	IDENTIFY PERSONNEL FOR RWS /S	ORGANIZE MONTHLY COORDINATION MEETINGS OF CEs	RECOM. TO GOAP FOR SPECIAL ALLOWANCES FOR INVEST. / DESIGN / EXEC. STAFF
UNDERTAKE INITIATIVES TO PROMOTE AWARENESS OF POLITICIANS	RECRUIT ADD. STAFF FOR NAP CELL (ENG.,SOCIAL, ECON.)	REQUEST GOAP FOR TEMP. RECRUITEMENT OF AE's / AEE's	FURTHER ASSESSMENT OF TRAINING NEEDS	ORGANIZE SUITALE STAFF TRAINING	ORGANIZE TRAINING ON COMMUNICTION SKILLS	OBTAIN GVT SUPPORT FOR PREFERENCE SYSTEM	MOTIVATE GP TO OPTAIN LOANS FROM FIN. INSTITUTIOINS		PLAN FOR EQUIPMENT / MATERIALS / LITERATURE / RESOURCES FOR CAPACITY BUILDING	RECOM. TO GOAP TO PROVIDE FUNDS FOR INCIDENTAL EXP. FOR INVESTIGATIONS
DEVELOP EFFECTIVE SYSTEM OF REALISTIC TARIFF COLLECTION	SET UP A NODAL COMM. FOR OPERA. PLANNING CHAIRED BY SECR. PR&RD		STUDY TRAINING FACILITIES OUTSIDE PRED	DEVELOP SUITABLE FORMATS	ORGANIZE TRAINING ON PERSONALITY DEV. / GROUP DYNAMICS	ESTABLISH A PLATFORM TO MEET REPRESENTATIVES FROM ASSOCIATIONS	FORMULATE AND PROPOSE PROJECTS FOR FUNDING BY LOANING AG. / EXT. AG.			PROPOSAL TO GOAP TO PROVIDE TRANSPORT AND CAMP FAC.
IDENTIFY SEPARATE STAFF & EQUIP FOR MAINT. IN NALGONDA/ PRAKASAM DISTRICTS	COOPT OTHER MEMBERS TO APEX STEERING COMM.		IDENTIFY TRAINING TEAM AND ORGANIZE TRAINING FOR THEM	DEVELOP A MECHANISM TO COLLECT DATA	ORGANIZE TRAINING ON LEADERSHP FOR TEAM LEADERS	FORMULATE TASKS ON ADM. , TECHN., NON-TECHN. AT DIFFERENT LEVELS	DEVELOP CROSS SUBSIDY MODELS FOR CAPITAL COST SHARING			
STUDY PILOT DIVISION FOR RWS/S IN PRED	ORGANIZE TRAINING TO NAP CELL		DEVELOP SUITABLE TRAINING MODULES, MATERIALS, APPROACH	PURCHASE HARD- SOFTWARE FOR DATA ANALYSIS	DRAWING UP SUITABLE WORKPLANS WITH TEAMS	CREATE A DATA BASE ON PERSONNEL	INVESTIGATE FEASIBILITY OF PRIVITIZATION OF CONSTUCTION & O&M			
PRESENT PROPOSAL FOR O&M DIVISION EXCL. FOR RWS/S	CREATE DISTR.COORD. COMM. CHAIRED BY COLLECTOR		DEVELOP MECHANISM TO EVALUATE FEED-BACK ON TRAINING	ANALYSE DATA		DESIGN A SYSTEM TO MONITOR PERSONNEL PERFORMANCE AND TRAINING NEEDS				
ORGANIZE STATE LEVEL WORKSHOP FOR FIN. OF PLICY DRAFT	CONDUCT TRAINING TO DIST. LEVEL COMM.		BUILD NEW TRAINING CENTER	BUILD UP AN INFORMATION RETRIEVAL SYSTEM		CREATE A LEGAL CELL IN CE's OFFICE				
	PLAN FOR EFFICIENT FUND FLOW		SET UP REGIONAL TRAINING CENTERS			CONSIDER TO APPOINT EFFICIENT PLEADER FOR CRITICAL CASES				
	PREPARE FORMATS PROCEDURES FOR FIN. / PROGRESS REPORTS					PREPARE MANUAL ON PROCEDURES WITHIN PRED				
	ORGANIZE WORKSHOPS FOR EACH PARTICIPATING AGENCY									
	ESTABLISH ADVISORY TEAM TO NAP CELL (SOCIAL)									

Major discussions took place regarding the following activities:

RESULTS	ACTIVITIES
1. Adequate policy for O&M formulated	1.2 Study privatisation of pump maintenance.
	1.4 Undertake initiatives to promote awareness of politicians.
	1.5 Develop effective system of realistic tariff collection.
	1.6 Identify separate staff for maintenance in Nalgonda & Prakasam districts.
	1.8 Present proposal for O&M division at state level workshop (1.9)
2. Adequate coordination with other agencies	2.1 Define role / functions of nodal committee
	2.2 Make Superintending Engineer Head of NAP Cell.
	2.4 Recruit additional staff (Eng., Socio, Econ.) for NAP Cell.
	2.5 Set up a nodal committee for Operational Planning chaired by the Secr. PR&RD.
	2.7. Organize training to NAP Cell.
	2.8 Create District Coord. Committee chaired by collector.
	2.9 Conduct training to Distr. level Committee.
	2.10 Plan for efficient fund flow.
	2.12 Organize workshops for each participating Agency.
	2.13 Establish advisory Team (social) to NAP Cell.
3. Sufficient executive staff available	**3.1 Seniority lists of different ranks finalized.**
	3.2 Staff costs for projects to be increased from 7.5%.
	3.3 Sanction additional staff for projects as per norms.
	3.4 Request GOAP for temp. recruitment of AE's / AEE's.
4. Adequate specialized skills with engineers	**4. 1 Identify new Chief Engineer (HRD) and train him.**
	4.2 Set up a HRD coord and monitoring Team.
	4.3. Deploy consultant on HRD to advise Team.
	4.4 Further assessment of training needs.
	4.5 Study training facilities outside PRED.
	4.6 Identify training team and organize training for them.
	4.7 Develop training modules.
	4.8 Develop mechanism to evaluate feed-back on training.
	4.9 Build new training centre.
	4.10 Set up regional training centres.

RESULTS	ACTIVITIES
5. Proper analysis of data achieved	5.1 Form design and planning wing headed by Chief Eng. with team of experts.
	5.2 Study the need for technical assistance.
	5.3 Define data required by team of CE's.
	5.4 Organize staff training.
	5.6 Develop a mechanism to collect data.
	5.7 Purchase hard / soft ware for data analysis.
	5.9 Build up an information retrieval system.
6. Improved team spirit achieved	6.2 Formulate policy for incentives.
	6.4 Organize training on communication skills / personality dev. / group dynamics (6.5).
	6.6 Organize training on leadership fo team leaders.
7. Personnel management improved	7.1 Strengthen the personnel management Unit.
	7.2 Organize training in Personnel management.
	7.3 Design a system on how preferences can be honoured. (obtain Gvt. support).
	7.5 Establish a platform to meet repres. from associations.
	7.6 Formulate tasks on Adm. / Tech. / Non-tech. at different levels.
	7.7 Create a data base on personnel.
	7.8 Design a system to monitor personnel performance and training needs.
	7.9 Create a legal cell in CE's office.
	7.10 Consider to appoint a pleader for critical cases.
	7.11 Prepare manual on procedures within PRED.
8. Sufficient funds made available,	8.1 Organize seminars with ZPP general body.
	8.2 Prepare articles and TV talks to create awareness on cost sharing & tariff.
	8.3 Motivate people / Gram Panchayat to contribute for capital costs of RWS.
	8.4 Motivate GP to obtain loans from Fin. institutions.
	8.5 Formulate and propose projects for funding by loaning agencies / Ext. Ag's.
	8.6 Develop cross subsidy models for capital cost sharing.
	8.7 Investigate feasibility of privatisation of construction and O&M
9. Tasks engineers concentrate on rural water supply & sanitation,	9.1 Study consequences and feasibility of separate RWS & S Dept / Board.
	9.3 Identify personnel for RWS & S.
10. Adequate plans of operation prepared,	10.1 Form a design and planning wing headed by CE with team of experts.
	10.2 Organize training for the planning & design team.
11. Facilities at field improved.	11.1 Design and propose soft loan system for motorbikes for Gen. Dept. and bilateral projects (11.2).
	11.3 Recom. to GOAP to provide funds for investigation / design / exec. staff.
	11. 5 Proposal to GOAP to provide transport and camp facilities.

Identification of 'Biggies' among Activities and Activity Schedule

The bold printed activities were considered in the first instance to require major effort in terms of resources to achieve them. In the OOPP terminology these are called 'Biggies'. Although of course all proposed activities were considered important and have to be implemented after approval of this plan only the 'Biggies' have been incorporated in the Activity schedule. This Activity Schedule, however, has not been included in this report as the product prepare in the workshop needed further detailed discussions to finalize it. The senior management of PRED promised to take up this activity planning at short notice with the Chief Engineers and other responsible officers.

Proposals for organizational adjustments

From the above activities it can be observed that major changes in the organizational structure were proposed. Those changes in the organizational structure within PRED would involve the following additional elements:

- The establishment of a nodal committee, headed by the Secretary PR&RD,
- The creation of a District Coordinating Committee chaired by the Collector,
- The strengthening of the Personnel management Unit, headed by Dy. CE,
- The strengthening of the NAP-Cell, headed by CE,
- Setting up of a HRD coordination and monitoring team, headed by new CE,
- Form design and planning wing, headed by CE,
- Establish a platform to meet representatives from associations,
- Create a Legal Cell in CE's office,
- Prepare a proposal for a separate RWS & S Department or Board,

In the organizational structure of PRED those changes are presented in the following organigram through shaded fields:
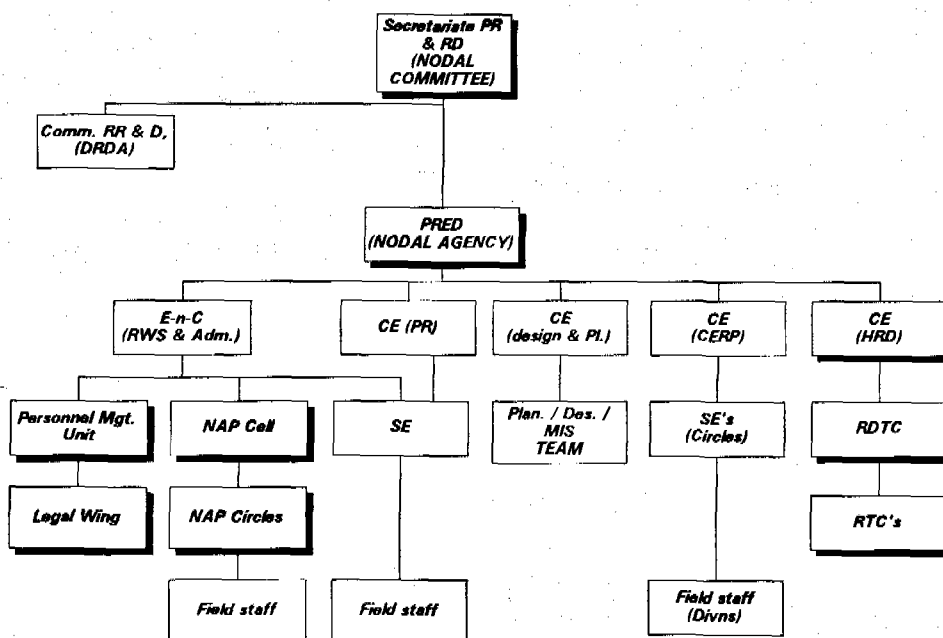
Valedictory Function

On the afternoon of the last day of the workshop a presentation of the findings of the workshop was given to Mr. T. Gopal Rao, IAS the Secretary to the Government, PR & RD.

Each product of the workshop was presented by one of the participants themselves. The programme was:

1.	Opening remarks:	Mr. R. Kondala Rao, Engineer in Chief, PRED.
2.	Introduction:	Mr. P.M. Flik, First Secretary (RWS),RNE.
3.	Presentations:	
	a. Workshop methodology:	Mr. Erik Kijne, MDF.
	b. AP III - Nalgonda, components and agencies:	Mr. G. Narayana Reddy.
	c. Problem Tree:	Mrs. K. Padmaja.
	d. Objective Tree:	Mr. K. Sadasivulu.
	e. Management Planning Matrix:	Mr. K. Thirupathiah.
	f. Proposed Org. Structure:	Mr. R.P. Nanda.
	g. Activity Schedule:	Dr. M. Venkateswaralu.
4.	Response to Presentation:	Mr. T. Gopal Rao, Secretary PR & RD.
5.	Vote of thanks:	Mrs. Rebecca Katticaren.

Farewell dinner

Following the closing ceremony a farewell dinner was offered by the organizers to the Chief Guest Mr. T. Gopal Rao, Secretary PR & RD and all participants of the workshop. The warm atmosphere and enthusiasm among the participants on the results of the workshop was very encouraging. Particularly the present offered to the moderator was very much appreciated.

6. Achievements of the workshop

The opinions expressed in the evaluations by the participants at the end of the workshop, presented in Annex 4 demonstrate that the participants increased their awareness on a large number of critical issues that are important to the strengthening of the PRED.

The following questions are of particular interest to this impact from the workshop:

- 8: List 3 topics discussed of interest to you?,
- 9: Mention 5 activities from the matrix which you consider most important PRED to implement successfully?,
- 10: Mention the issues which you consider to be new important issues within PRED,
- 11: List 3 actions you will now implement in your job.

Regarding the above questions some of the most important issues mentioned sorted under main headings were :

A. Functioning of staff:
- Human Resource Development (HRD) as linked to personnel management,
- Rewarding system of good performance,
- Consulting support for the development of an HRD programme,
- Development of training policy,
- Training engineers in specialized skills,
- Multi-disciplinary skills within PRED,
- Team spirit,
- Recruitment of additional staff,

B. Coordination:
- Role and functions of a Nodal agency,
- Create District Coordination Committee,
- Importance of inter-agency coordination,
- Role of NGO's for effective motivation of users,

C. Operation & Maintenance:
- Policy for Operations and Maintenance (O & M),

D. Organization:
- Single line of control,
- Organizational structure,
- Proposal to create separate RWS department or Board,
- Strengthening of NAP cell,
- A separate Planning and Designs wing,
- Establishment of a legal cell in PRED,

E. Management Information System:
- Formation of a good data base,
- Consulting support for the development of a Management Information System (MIS),

F. Funds:
- Creation of sufficient funds,
- Privatisation of construction and maintenance,
- Facilities for engineers at field improved,

G. Political interference:
- Political interference and awareness raising,

DISCUSSION ON ACHIEVEMENTS

A. Functioning of staff
Mutual understanding of motivation problems among staff
The open discussions enhanced by the OOPP methodology particularly on motivation problems between officers of different ranks created an understanding of the

relevance and importance of those problems and consequently created a willingness to plan for improvements. Although the ultimate implementation of suggested improvement will demonstrate their commitment to implement those proposals the initial discussions during the workshop will have initiated a thought provoking atmosphere.

Importance of relation between personnel management and training
Long discussions were held on the importance of an adequate personnel division within PRED to identify training needs and other measures to improve the performance of the staff.

B. Coordination
Consequences of PRED as being the nodal agency
From the discussions it became more clear that the tasks of PRED becoming the nodal agency in the implementation of such an integrated programme are not easy. The major problem boiled down to the authority question of PRED in relation with other and fully independent agencies. It was for this reason that the role of the nodal agency was laid down with the Secretariate PR & RD in the position of the overall responsible institution for rural development. However, the PRED would still be the secretary and implementing agency of the nodal committee. In the Districts this coordinating task would be strengthened through the establishment of a District Coordinating Committee headed by the collector. He would be responsible to the Nodal Committee seated in the Secretariate PR & RD.

Created awareness of need for participatory planning
Although the workshop was referred to as an Institutional Development workshop for an improved functioning of PRED the analysis touched other aspects then those internal ones affecting PRED. Obviously the effective functioning of PRED engineers is also affected by the functioning of other actors in the development process related to WS & S.
However, planning to solve those external problems will not be realistically possible as only engineers from PRED and members of the NAP-office had been invited to participate excluding the other parties involved.
The participants became aware of the importance of organizing participatory workshops with other implementing agencies also.
Suggestions from the workshop on improving particularly also the functioning of other actors will be discussed with them afterwards, probably also in a participatory workshop. This awareness was expressed with the incorporation of such an activity in the MPM. This will give the other involved parties the required respect needed for commitment towards the implementation of their tasks.

C. Operation & Maintenance:
During the problem analysis a lot of effort was spend on the possible reasons why PRED did not have a policy on O&M, however without getting to it. The proposals generated during the Activity session on *Policy for O&M formulated* a lot of valuable ideas were discussed and give a better insight in the concept.

D. Organization:
The senior participants became convinced of the need to add organizational elements into the structure of the PRED. Although some improvements might not need

sanctioning by the Government of AP, still some reservations should be made to allow their approval of the different proposals.

E. Management Information System:
Although such a system had been proposed in the project documents few participants really were aware of the usefulness of such a system. An extensive discussion was held on the importance of an effective MIS system incorporating an effective data base. Although the clarifications and discussion on that issue brought some light in the darkness the expertise within PRED was considered to be insufficient. For that reason the participants proposed to study the need for technical expertise on MIS.

F. Funds
After the senior management of PRED stated that no additional funds could be made available from Government side it was very interesting to experience the creative ideas generated by the participants on how more funds for construction and maintenance could be made available. Ideas about which many participants had never thought of before.

G. Political interference:
In the Problem Tree the *political interference* cropped up as a problem affecting both the internal functioning of the staff as also at the field level during implementation of the programmes. During the scoring of objectives *Political interference* was considered impossible to change, however during the activity generation aiming at *Adequate policy for O&M formulated* the discussion repeated itself, however with the effect that a constructive and realistic activity into that direction with accepted. Seemingly the participants gained confidence that something must have to be done about it.

7. Logistical support to workshop

Workshop facility
The room in which the workshop was organized did qualify according to the requirements of empty walls to stick the visualization sheets on and temperature control. However, the group was slightly too large to be arranged in a half circle facing all working walls in order that all participants could read the text at the cards satisfactorily. Lighting facilities during late afternoon and evening sessions were insufficient.

Hotel accommodation and catering facilities
Hotel Nalgonda was selected to accommodate the workshop. Although facilities generally were fine a location at some distance from Hyderadad would most probably not have disturbed participants with office duties.

Logistical support
The staff from PRED and NAP-office were very efficient in handling logistical problems in organizing this workshop. I am most grateful for the services rendered.

8. Observations on the contents by the moderator

Context
It should be understood, that the moderator of an OOPP workshop has solely the task to guide the group through the process of participatory analysis and planning. As he by principle must remain an independent mediator he must refrain from interfering with the contents of the discussions. For that reason he preferably should not be a subject specialist, and as such he is not in the right position to advise the project accordingly. However, from the point of view of the professional experience in project management and project formulation the moderator can distantiate himself from his role as moderator and make some suggestions on possible further steps which might have to be taken.

Multi-disciplinary concern within PRED
From the identified areas in the problem and objective analysis it became clear, that the activities as perceived in the AP III project, involving additionally to the water sector, e.g. the sectors sanitation, health education and income generation were not surprisingly of less concern to the participants from PRED. As such it demonstrated some weaknesses to realistically perceive the consequences to initiate such an integrated programme involving different sectors and actors.
Only when the suggested staff with other then water expertise has been added to the PRED, this organization may become properly equipped to deal adequately with the more social aspects of project implementation.
Related with this aspect there is some doubt whether the PRED is really able to take up the role of a Nodal Agent in an integrated programme as AP-III Nalgonda is supposed to become without much strengthening.
The proposals to solve hiërarchycal problems of PRED being the Nodal Agent in relation with other organizations and institutions by institutionalizing a Nodal Committee within the Secretary PR & RD office and to form a District Coordination Committee may be feasible.

Relation between Personnel Management and Training
During the discussions on the subject of personnel management and training it became clear that very little thought had been given on their interlinkages. It was only during this discussion that the moderator felt the need to step out of his role as moderator and clarified the importance of matching *aspects of personnel management* such as: job descriptions, staff assessments cum performance appraisals, and training needs analysis with *aspects of training* such as, identification of available adequate training facilities, curriculum development, design of training modules, establishment and management of training centres.
The awareness among the participants on the lacking expertise on these issues resulted in the suggestion by the participants to deploy a consultant on HRM and to organize training for the staff in the Personnel Management Unit.

ANNEXES

## ANNEX 1: Photographs of workshop
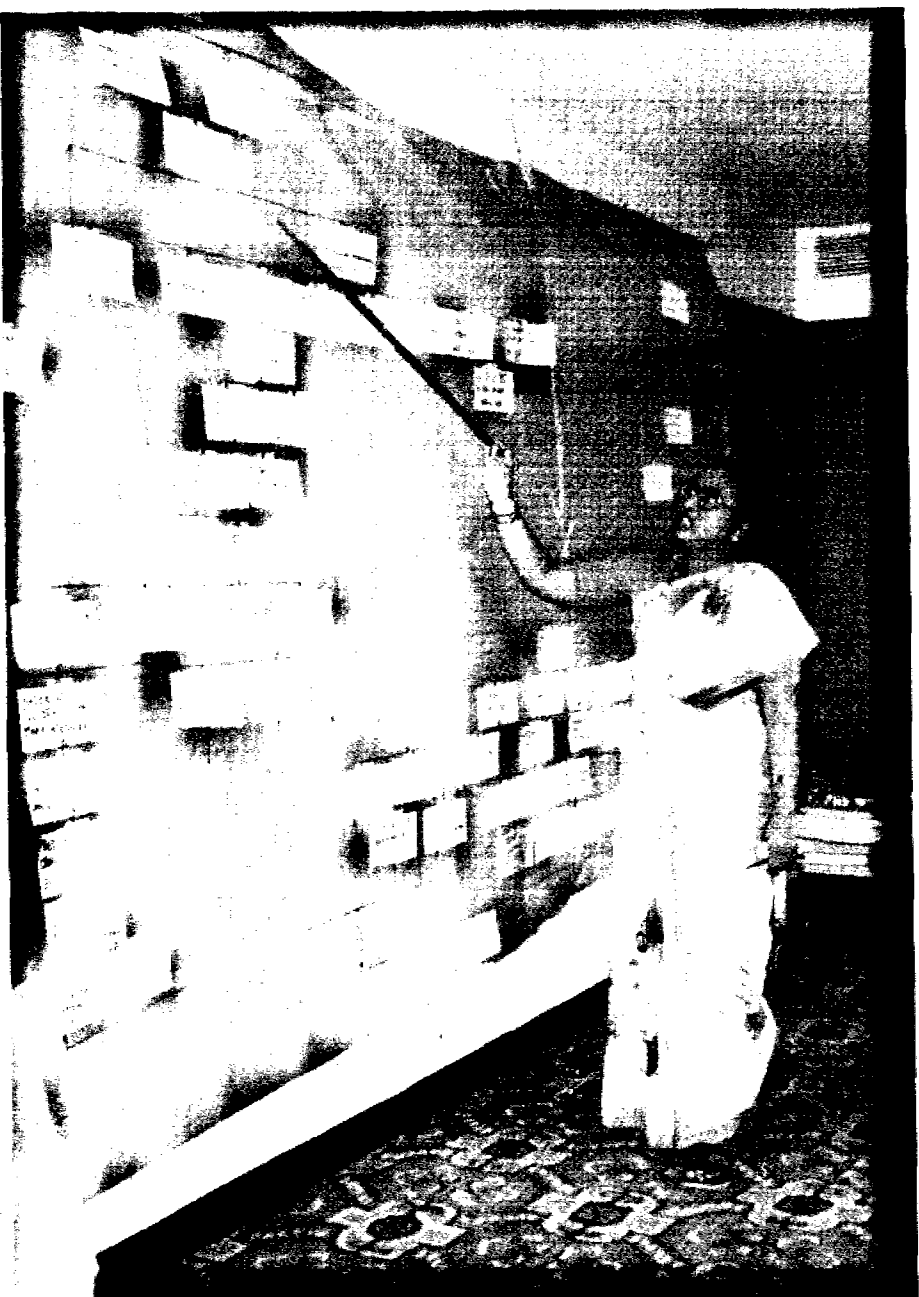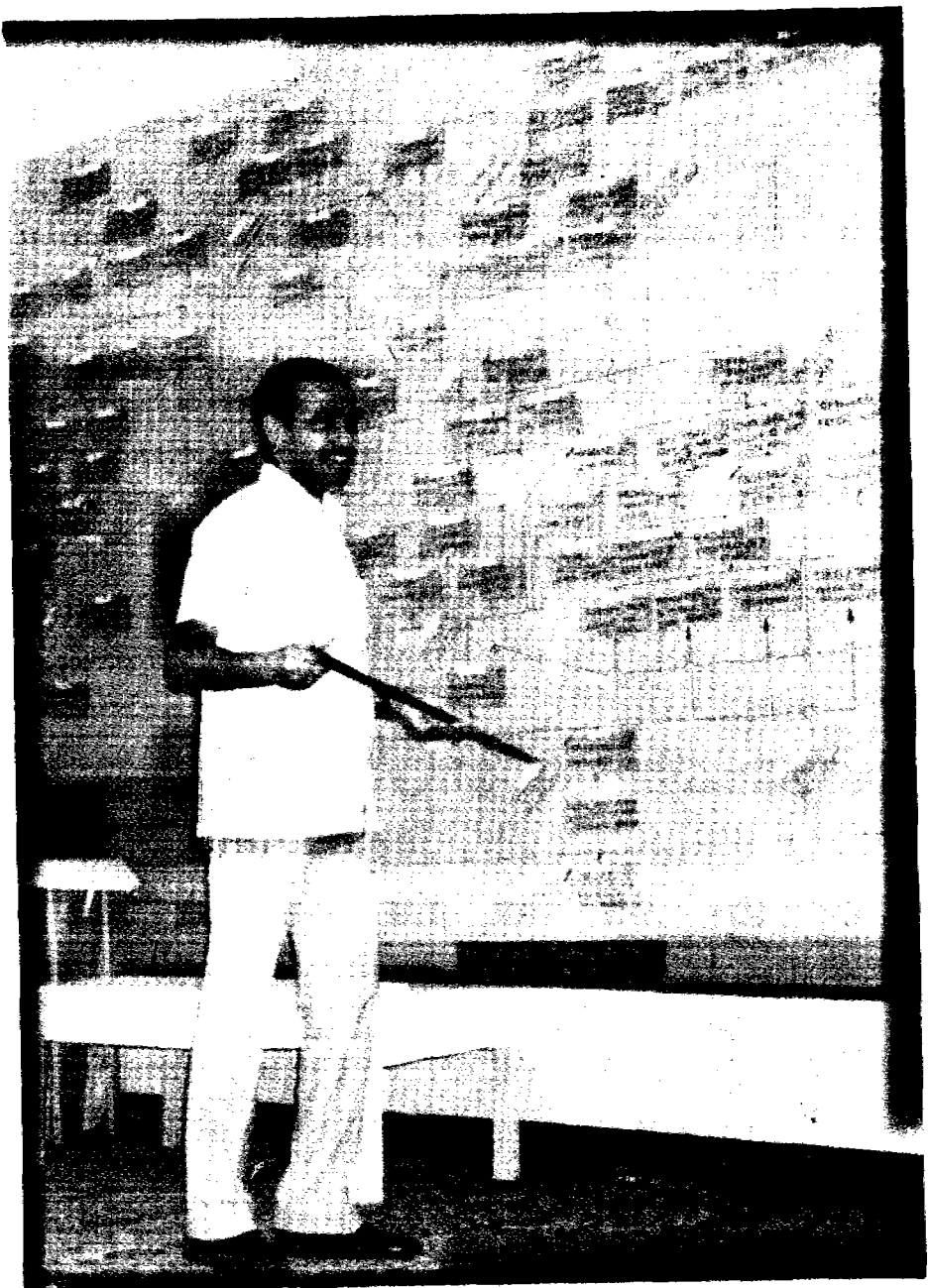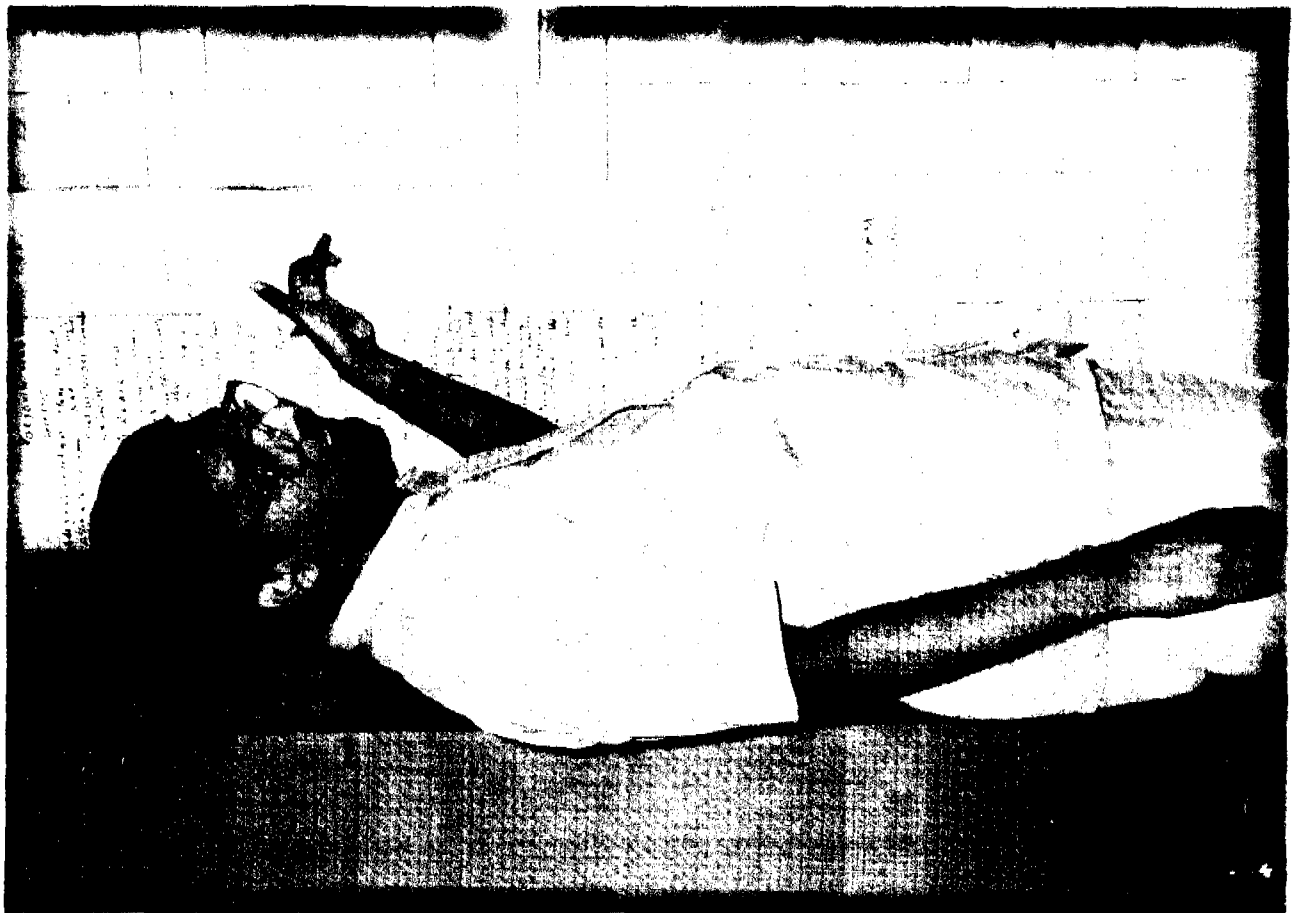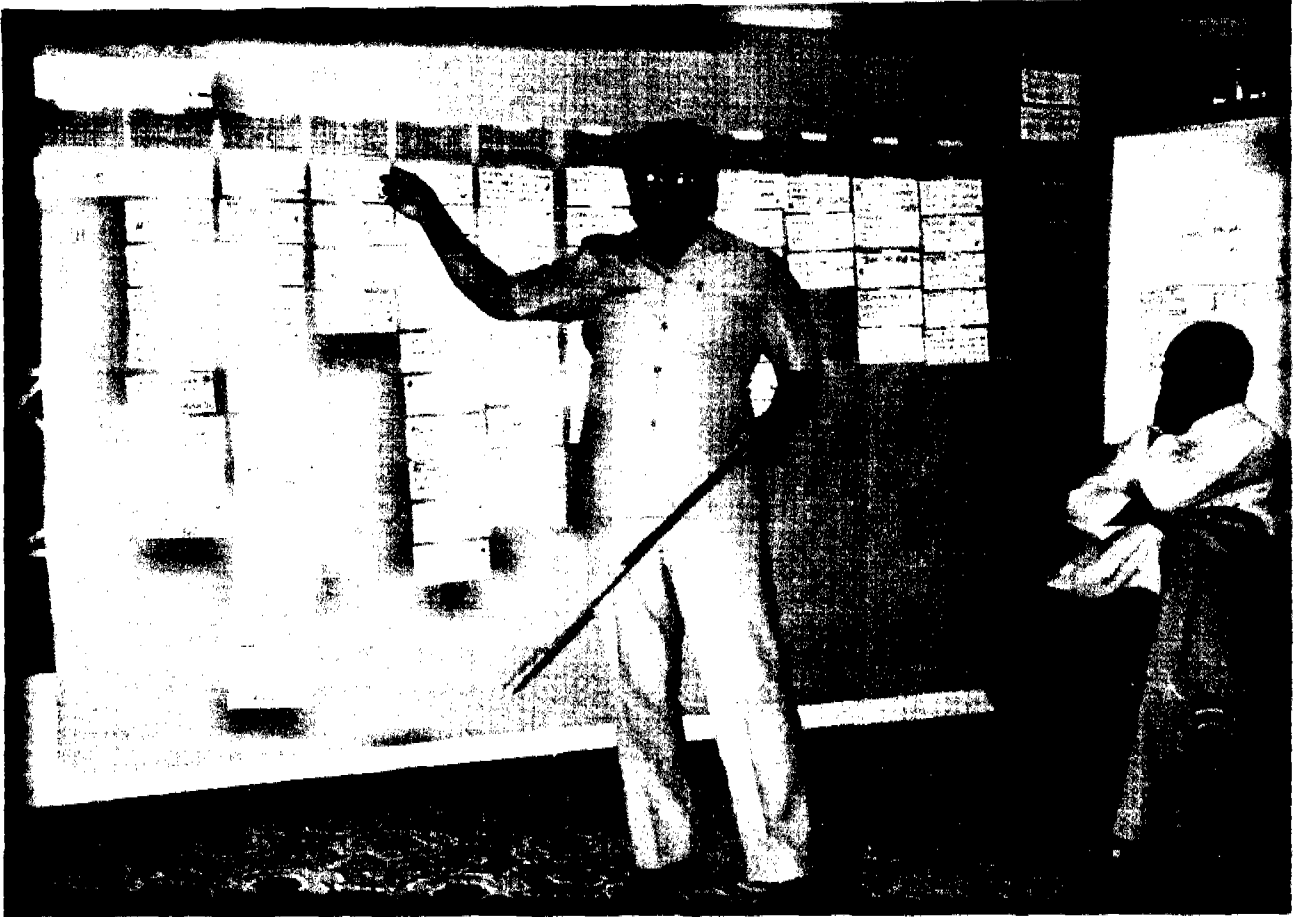
ANNEX 2: Introductory note to the workshop by the NAP office

PANCHAYATI RAJ ENGINEERING DEPARTMENT:
INSTITUTIONAL DEVELOPMENT FOR SUSTAINABILITY IN
INTEGRATED APPROACH
TO RURAL WATER SUPPLY AND SANITATION PROGRAMMES

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1. **Background:**

    a.   The International Drinking Water Supply and Sanitation Decade (1981 - 1990) had advocated an integrated approach as the strategy for the planning, execution and operation/maintenance of rural water supply and sanitation programmes. The Delhi Declaration has further underlined the need for such an approach to rural water supply and sanitation.

    b.   The integrated approach requires that the modal activity of providing water and sanitation infrastructure be coordinated and supported by a spectrum of complementary activities, health and hygiene education, awareness regarding water collection/ storage/ use, effective operation and maintenance, O/M cost sharing, water quality surveillance, sanitation activities around water supply widening out to cover personal, domestic and environmental hygiene, income generation and other women and children oriented development programmes, organisation and education of the people all designed to ensure the responsible participation of the community, particularly of women.

    c.   This community involvement will have two benefits: sustainable and efficient O/M of assets, and optimum utilisation of the services, which will ultimately contribute to improved health and quality of life of the people. These would also help to create platforms for more equitable women participation in, and their access and control of the resources/forces that shape their lives.

    d.   The sector agency responsible for water and sanitation is to take the initiative to develop the strategies and operational plans for such integrated approach, identifying and involving various specialist agencies (governmental and non-governmental) and co-ordinating, monitoring this inter-agency intervention.

    e.   The Delhi Declaration of 1990 (some for All Rather Than All for Some) has again underlined the validity of this approach further, the governments of India and Andhra Pradesh have taken policy decisions to adopt this integrated approach for the total rural water/sanitation sector.

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f.   The Royal Netherlands Government, one of our major external support agencies, has been advocating and funding the integrated approach for the last 3 to 4 years. RNG has now made it mandatory for further projects to be eligible for support that they have an integrated character and an explicit orientation towards community participation in project planning, execution and subsequent maintenance. Though the NAP office will continue to support PRED in these areas, the draft policy framework for the 1991 - 2000 decade stipulates that, within a mutually agreed to time schedule, the department take over the primary responsibility planning, executing, co-ordinating and monitoring the integrated approach.

g.   However, the RNG has also indicated that PRED may seek financial and technical support for enhancing its capability for functioning as the pivotal agency for the integrated approach to water and sanitation. Areas where support could be availed of have been indicated in the discussion paper on "Institution Development Support". The "Draft Policy Framework" indicates technical and programme support funds that may be tapped towards institution development. On an average 25% of the cost of all future projects posed to RNG is to be earmarked for complementary activities, which may include apart from community based development programmes, institution development for the department and other partner agencies.

h.   In the project proposal for AP III - NALGONDA, the department has indicated two areas for institution development: human resources development through in-house training (Rs. 894.88 lakhs) and support for management information system development (Rs. 125.00 lakhs). The GOAP is to share 25% of the cost of these projects.

2.   The Challenges Ahead:

a.   Apart from the limited objective of taking full advantage of the support offered by RNG, the sector realities and the challenges that lie ahead should be the real motivator for launching into an institution development project:

-        a growing shift from simple handpump technology to more complicated comprehensive piped water supply schemes, necessitated by: falling ground water tables, problems of fluoride and salinity in ground water and by the demand from the public for higher levels of service/house connections

-        increased consciousness on the quality and reliability of the services being provided

-       increased sector budget allocation and consequently the growing number and diversity projects and assets to be maintained

-       the departmental responsibility for proper operation, up-keep, replacement and upgrading of services provided, and for maintenance of water quality through internal and external surveillance

-       the absolute need to involve the gram panchayats/community and particularly women in cost/responsibility sharing for execution and O/M, involving them right from project planning

-       the need to address sanitation issues much more seriously, to ensure that the health benefits of improved water supply really reach the people

-       the need for efficient, reliable and update information and data management for planning, monitoring, execution and operation/maintenance of schemes

-       the need to involve the Health, ICDS, Women Welfare, DRDA and other such agencies/departments and NGOs to ensure increased impact/health benefits from water/sanitation programmes

3.   A Task Force for Institution Development:

a.   In the context these challenges, PRED needs to assess its existing capabilities in terms of personnel, skills, attitudes, knowledge, resources, organisation, procedures, institutions and identify the gaps and evolve plans for bridging the gaps, so that it is geared to the tasks ahead.

b.   Personnel involved in the day to day running of the department, do have valuable insights into the areas where PRED needs to enhance its capabilities. But they may have little time to articulate these perceptions, and much less to evolve strategies and plans to actually take on this institution development.

c.   Hence the need to constitute a special tack force for institution development, charged with the responsibility for linking the ground realities to the challenges ahead.

4.   The Mandate of the Task Force:

a.   The team will identify areas where the department requires to change/modify/further develop procedures, systems and institutions and where engineering personnel and ground level operators require in service and specialised training. Once key problem areas are identified, the team should also come up with specific and viable strategies for responding to the problems.

b. Once the strategies are approved by the department, the team shall also evolve operational plans and project proposals for the same, discuss the plans with the donor agency(s) and do the needful for their positive appraisal and funding. Once the projects are funded, the team shall also guide their efficient *implementation and post* implementation follow up.

c. The task force shall also work to generate ground level support for institution development, by organising workshops, training programmes, etc.

d. In short the task force is to act as initiators of new ideas and work to convert them into reality.

In fact, given the challenges involved, institution development is to be considered as a project in itself, even if for practical reasons, funds are mobilised as part of the various water supply projects.

5. Some Specific Areas for Institution Development:

The following areas have been tentatively identified as indicative of the tasks of the team:

- human resources development project posed to the RNE and areas where the resources available from GOI can be pooled.

- development of an effective and efficient MIS, with the EE in the field as the modal officer and proposing appropriate institutions for MIS management, upgrading, training of personnel, trouble shooting.

- organising an effective coordinated approach with emphasis to O/M of commissioned schemes, water quality surveillance and women participation.

- developing strategies for community/women participation through NGOs and other peoples organisations and connected line departments.

- developing an effective project planning/investigation/designs cell with capability for planning integrated projects involving district level agencies, NGOs, women groups, district administration.

- strategies for community based O/M, including the on-going village level water supply management study.

Apart from this, the task force may come up with proposals for enhancing the efficiency of the task force itself.

6.   **Institution Development Planning Workshop:**

This five day workshop has been planned through consultations between NAPO/RSM/RNE, with resource support from Mr. Erik Kijne of Management for Development Foundation (MDF), the Netherlands, to evolve the concepts, strategies and operational plans for going about this institution development.

This workshop will explore the following areas:

a.   How are we to plan for an integrated approach and women orientation to AP III Programmes?

b.   How can we ensure the sustainability and replicability of the approach within the sector?

c.   Should PRED assume the modal responsibility for this approach? If yes, how? What institutional arrangements and human capacity building programmes should we take up?

On the final day, the findings/recommendations and action plans as formulated by this workshop shall be presented to GOAP/RNE for approval and for follow up.

ANNEX 3: List of participants

A	From Panchayat Raj and Rural Development Department:		
1	MR. D. BHASKER RAO,	Joint Secretary to the Government of Andhra Pradesh	The Secretariat, HYDERABAD
B	**From Panchayati Raj Engineering Department:**		
2	MR. R. KONDALA RAO	Engineer-in-Chief	10th Floor, Gaganvihar M.J. Road, Hyderabad 500001
3	DR. M. VENKATESWARLU,	Chief Engineer (PR)	10th Floor, Gaganvihar,M.J. Road HYDERABAD 500001
4	MR. C.N. SURESH,	Chief Engineer (CERP)	10th Floor, Gaganvihar M.J. Road, HYDERABAD 500001
5	MR. S. BALAKRISHNA	Superintending Engineer (CERP)	Ongole, PRAKASAM DISTRICT 523001
6	MR. K. THIRUPATHAIAH,	Superintending Engineer (NAP),	Near Venkateshwara Talkies,Ongole, PRAKASAM DISTRICT 523001
7	MR. G. NARAYANA REDDY	Superintending Engineer (NAP)	10th Floor, Gaganvihar M.J. Road, HYDERABAD 500001
8	MR. K. SADASIVULU,	Superintending Engineer (TM)	MEHABUBNAGAR
9	MR. D. RAGHUPATHI REDDY	Superintending Engineer (PR)	16-8-238, New Malakpet Kaladeva Colony Road HYDERABAD
10	MR. A.P.S.T. SAI,	Executive Engineer (NAP)	Opp. APSRTC Bus Stand Parchur, PRAKASAM DISTRICT
11	MR. M. SUBHA RAO	Executive Engineer (CERP)	ZPP Compound Vijayawada, KRISHNA DISTRICT
12	MR. K. KRISHNAMACHAR	Executive Engineer (RWS)	10th Floor, Gaganvihar,M.J. Road HYDERABAD 500001
13	MR. R.P. NANDA	Liaison Officer (NAP)	10th Floor, Gaganvihar M.J. Road, HYDERABAD 500001
14	MRS. K. PADMAJA	Dy Executive Engineer	10th Floor, Gaganvihar M.J. Road, HYDERABAD 500001
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ANNEX 4: Evaluation versus expectations of workshop

1.Give 3 Positive experiences on the workshop

a.   A complex area of ID was well handled.
b.   Gained new insights into linkages between HRD & Personnel Management.
c.   Good interaction between PRED and NAD office (especially at SEs/EEs level).
a.   Personal contacts with participants.
b.   Openness of discussions.
a.   Technique is useful for application in any situation.
b.   It allows or ratter insists personnel for effective participation in planning
c.   Lead to scientific approach as it is purely based on logic.
a.   The problems were stated clearly.
b.   Participants gained insight in problems.
a.   The workshop gave an opportunity for awareness into the problems of the PRED.
b.   It gave an insight into the possibility of finding solutions to existing problems.
c.   A clear idea on the Project Planning and Management Planning was developed.
a.   Gaining experience to identify the various needs of an integrated project.
b.   Planning to achieve the targets.
c.   Experience to evolve policy for O/M.
a.   Most Educative.
b.   Move Practical Approach.
c.   Useful to PRED to implement schemes.
a.   Interaction with PRED Engineers.
b.   Internalised the whole process (personal feeling).
c.   My ideas accepted.
a.   Problems in PRED could be spelt out.
b.   Fair discussions on in adequate O/M of RNS schemes.
c.   To admit short falls in Personnel Management.
a.   Everyone expressed views very frankly.
b.   Group discussion was fruitful.
c.   Out come of such an exercise builds confidence to go ahead in implementation as this is formulated with the participation of all.
a.   Workshop was efficiently handled.
b.   Moderator handled the workshop so efficiently that participants could derive the benefits.
c.   Training was purposeful.
a.   Active participation without hesitation.
b.   How an idem is a problem to one and it is not to others.
c.   Approach to solutions differ from one another.
a.   Inculcating team spirit.
b.   Eliminating impracticable alternatives.
c.   Step by step analysis of problems to be tackled.
a.   Facilitates to understand agencies with exchange of views.
b.   How to involve in achieving the results with study on overall objective and purpose.
c.   How to analyse this issues.

2. Give 3 Negative impressions on the workshop.

a.   Some people felt very threatened by the participants style.
b.   Authoritative interventions of some participants.
a.   Not enough time.
b.   Too much details discussed.
a.   It requires large area to display the training components.
b.   All problems should be posed in totality in order to evalue consistent planning. The problems are inefficiency projected, we will have incomplete and insufficient planning.
c.   Moderator should be from outside the organization to have an unbiased planning.
a.   Role of PRED in coordinating could have been more precise.
b.   Same for NAP cell.
a.   NIL
a.   This is an assumption technique.
b.   The difficult sector achievement not solved.
c.   No formulation for achievement of resources
a   More actions at Government level.
b.   Awareness creation among political Bodies is very unfeasible.
c.   O/M Policies by Government is very difficult to implement fully and satisfactory.
a.   Chief Engineers partial participation due to calls from Minister(s).
b.   Negative reactions (sometimes) of It Secretary.
c.   Seriousness of some participants.

a.   Nil.
a.   PRED not open for new ideas.
b.   Personnel in fight among top people.
c.   Field level staff not involved.
a.   Participants took the work shop carnally.
b.   Other parties such participatory dept were not involved (other dept).
c,   The engineers from field level were a few.
a.   Too much discussions about very small problems.
a.   Nil
a.   Nil

3. How did you experience the OOPP technique?

- A good methodology.
- A good participatory, breaking down of hierarchy experience.
- Very useful as analytical instrument.
- Not yet clear whether effective for project implementation (real impact?).
- Gives opportunity to know real problems being encountered by personnel of the entire organisation.
- Logical connection eliminates loose ends.
- Very useful to systematize ideas of proposals and view them in their mutual relationships.
- Good.
- Technique to tackle links involved in management, planning and implementation.
- Better technique to solve ticklish problems involved in any sector.
- Very interesting and useful.
- In practise it may be difficult to formulate due to financial constraints.
- A very practical and "involved" technique.
- Increased participation and broke down hierarchies to a certain extent.
- Useful in project planning specially integrated approach
- Useful to identify the real problems/set-backs and solutions.
- Unique.
- Draws every one of the participants to come out and participate in the work shop.
- The technique is purposeful.
- The technique is effective.
- Very much interesting.
- Good.
- Useful.
- A means for rationalizing the thinking process.

4. Were you allowed enough participation.

- Yes, too much.
- Yes (9x)
- Not enough.
- Yes, interventions encouraged.
- Satisfactory.
- Every participants were allowed enough participation

5. Which session did you experience most participatory?

- Activity Planning.
- Making the management matrix.
- Yes.
- All.
- The preparation of the "solution tree" where all the problems are solved, along with preparation of Management Planning Matrix were most participatory.
- Preparation of Management Planning Matrix. (4x)
- Formulation of problem tree and objective tree.
- Session on building problem tree. (2x)
- I felt every session participatory.
- Formulation of objectives and Activities.

6. Which session did you experience least participatory

- Activity scheduling. (3x)
- Introduction.
- Project Planning Matrix. (2x)
- Management planning matrix. (2x)
- None. (5x)

7. What suggestions can you give to improve on such workshop?

- More time for activity scheduling.
- Insist that workshop prepare a draft report & recommendations & action schedule during workshop itself.
- More attention for gender issues.
- Duration of workshop should be minimum 10 days. (2x)
- The workshop could be better if some literature./references were also provided.
- Educate the participants involved in explaining the sectors of participating department of integrated projects.
- Workshop to be conducted in 15 days instead of a short duration.
- For organizing the workshop for department (gvt) personnel it is important that anonymity be maintained.
- To provide opportunity to all cadres & people involved in PRED.
- Could be formulated/conducted in different levels within an organisation any time.
- It should be conducted at a far off place (away from Hyderabad).
- The timing need to be reduced.
- None (3x)

8. List 3 topics discussed of interest to you.

a. HRD as linked to personnel management.
b. Exclusive RWS/S.
c. Inter-agency coordination.
a. Cultural aspects of INDEV?
b. Views of financial funding problems.
c. Political interference.
a. Evolving problem tree.
b. Evolving objective tree.
c. Evolving management planning matrix.
a. Coordination
b. O&M.
c. Personnel Management.
a. The topics of Personnel Management, and provision of sufficient staff.
b. Proposals for rewarding the good staff.
c. Formation of a good data base and data analysis were of great interest.
a. Discussion on political interference.
b. Discussion on setting up of training to departmental staff.
c. Discussion on O/M Policy.
a. Single line of control.
b. Effective functioning of staff.
c. Adequate policy for O/M.
a. Personnel management and training.
b. Coordination with other agencies.
c. Organisation structure.
a. Problems in PRED.
b. Personnel management in PRED.
c. O/M of RWS schemes.
a. Effective functioning of staff.
b. Data.
c. Coordination.
a. Listing our problems.
b. Linking problems.
c. Analyzing difficult problems.
a. Personnel management.
b. Adequate number of Engineers with specialised skills.
c. Tasks Engineers concentrate on RWS&S.
a. All objectives.
b. Purpose.
c. Activities.
a. O & M
b. Adequate funds made available.
c. Team spirit.

9. Mention 5 activities from the Matrix which you consider most important PRED to implement successfully.

a. Interagency coordination (NAP cell + social scientists).
b. MIS with consulting support.
c. HRD as linked to personnel management with consistency support.
d. O & M Policy development.
e. Separate RWS & S Department.
a. Develop training policy.

b.   Find good solution for coordination problem.
c.   Develop O & M policy/strategy.
d.   remove constraints in staffing.
e.   Activities directed on awareness raising of politicians.
a.   Adequate policy for O & M.
b.   Personnel management.
c.   Adequate Planing of Operations.
d.   Facilities are improved.
e.   Adequate knowledge in specialized skills.
a.   Effective functioning of staff.
b.   Proper organizational structure.
c.   Proper Project formulation.
d.   Construction planning.
e.   Proper training facilities.
a.   Training to NAP cell in E-n-c office.
b.   Personnel identification for RWS/S.
c.   Efficient funds flow.
d.   Proper project formulation.
e.   O & M policy defined.
a.   Sufficient executive staff provided.
b.   Adequate no of Engineers with specialised skills.
c.   Personnel management improved.
d.   Sufficient funds made available.
e.   Facilities improved in field.
a.   Organization of the Personnel management Unit.
b.   For AP III Nalgonda - SE to head NAP Cell.
c.   Adequate policy for O & M to be follow up formulated of VLWSH study workshop.
d.   Create District Coordination Committee.
a.   Sufficient executive staff.
b.   Create data base on personnel.
c.   Preference system.
d.   Feasibly of separate RWS dept or Rural Water Board.
e.   Allowances for Investigation/Design staff.
a.   Adequate policy on O & M.
b.   Adequate coordination with other agencies.
c.   Personnel management improved.
d.   Facilities.
e.   Team spirit trainings.
a.   Development of MIS system.
b.   Development of training centres (HRD)
c.   Development of O & M policy by gvt. for defining job of PRED.
d.   Development of personnel management skills in E-n-c office.
e.   Providing facilities at field level.
a.   Dialogue with local bodies on O & M policy.
b.   To sanction additional staff for the projects as per norms.
c.   Set up HRD coordination team.
d.   Design system an now preferences can be honoured.
e.   Prepare and present proposals for separate RWS wing.
a.   Incentives to employees.
b.   Training to employees at different levels.
c.   Study on the coordination with other agencies.
d.   Study on improving team spirit.
e.   Study on providing sufficient funds.
a.   Team spirit.
b.   Facilities for field staff.
c.   Better O & M
d.   More funds.
e.   Single line of control.

10. Mention the issues which you consider to be new important issues within PRED.

a.   Personnel management.
b.   Multi disciplinary skills in PRED.
c.   MIS development.
d.   New role of CE. (designs & planning)
a.   Modernize on personnel management.
b.   Training policy integrated with (pers. man).
c.   New options for funding of RWS/O&M.
d.   Develop capacity as nodel agency.

a.   Proper analysis of data.
b.   Adequate coordination with other agencies.
c.   Role of personnel management to strengthen the organization.
d.   Role of NGO's for effective motivation of users.
a.   A separate Planning & Designs wing.
b.   Privatisation for construction & O&M.
c.   Legal cell in CE's office.
d.   Personnel Management.
a.   Development of training modules.
b.   Building up information retrieval system.
c.   Creation of legal cell in CE's office.
d.   Staff cost increase from 7,5%.
a.   Adequate Policy for O & M.
b.   Project design.
c.   Proper project formulation.
d.   Reduction of cost overruns.
a.   Organization structure of PRED.
b.   Personnel Management Unit which would lead to a change in the work culture of the organisation leading to efficiency of the organisation itself.
a.   Training communication skills.
b.   To create legal cell in CE's office.
c.   Investigate feasibility of privatisation for construction and O&M of RWS schemes.
d.   To identity right person to right job.
a.   Coordination with other agencies.
b.   Adequate no of engineers with specialized skills.
c.   Single line of control.
a.   Development of MIS.
b.   Acting as Nodal agency for integrated approach.
c.   Development of personnel management unit in E-n-C's office.
d.   Providing legal cell in PRED.
a.   Personnel management.
b.   Proper analysis of data.
a.   Personnel management.
b.   Analysis of data.
c.   Up-dating skills.
d.   Integrated approach.
a.   Enhanced attention for personnel management.
b.   Relationship between personnel management & Training.
c.   Need for assistance consistency for MIS & HRD.
a.   Identification of personnel for RWS & Sanitation.
b.   Creation of separate RWS department/Board.
c.   Study on privatisation of main tenance of water supply schemes and hand pumps.
d.   Training to improve personnel management.

11.List 3 actions you will now implement in your job.

a.   Get E-n-C to prepare follow-up plan.
b.   Plan OOPP training of trainers.
c.   Conduct OOPP at field level.
a.   Identify more specifically to the short term needs for technical assistance (external).
b.   Investigate consequences of workplan that resulted from workshop,review the same in next review mission.
c.   Compare highlights of objective tree with other NAP 's in other states.
a.   Improve team spirit.
b.   Facilities to be improved in the field.
c.   Adequate coordination with other agencies.
a.   Improve Finance & Planning.
b.   Improve Project formulation.
c.   Improve Team spirit.
a.   Estimates only in relation to budget.
b.   More staff stay at work places.
c.   Proper strategy for sanitation.
a.   Team spirit.
b.   Effective functioning of staff.
c.   Timely decisions for the plan implementation.
a.   Use OOPP technique as a training tool for other participating agencies.
b.   Follow up of the activity schedule with PRED.
a.   Team spirit.
b.   Open minded ness.
c.   To interact with staff.

a.   Team spirit improvement.
b.   Adopt results of this technique in NAP-cell in working-out monitoring, coordination etc.
a.   Training of my field staff in technical skills
b.   Provide facilities to them.
c.   Train mechanics for maintenance of hand pumps and RWS schemes.
a.   Personnel management.
b.   Team spirit.
a.   Team spirit
a.   Give even more attention than before to the institutional aspects.
a.   Adequate policy for O&M.
b.   Adequate coordination with other agencies.
c.   Personnel management.

12. Describe in a few words how you personally have benefited from this workshop.

- More insight into how bureaucracy works and how large systems need to be addressed without bullying
- Improved view on complexity of INDEV problems of PRED.
- This has given an exposure to plan any problems of the organisation.
- Duly involving all the connected people
- Applying the logic.
- Since, I am presently involved in the Project formulation & Project preparation, this workshop has given me the necessary impetus required for the job.
- To plan matrixes for various activities involved in preparing a project report for any project.
- Concepts on technical expertise, personal management, functioning of staff, date processing, project formulation are well understood.
- Understood the approach that a moderator need to take in such organisation. Which includes my personality too as a moderator.
- I feel it is good opportunity for having learnt OOPP procedure. Logical arrangements of objectives and preparation of project and planning matrix are quite useful to identify the actual bottle-neck and plan for solutions.
- Could grasp the need for involvement/coordination/commitment of all agencies to advice an objective.
- I could know that planning of action plans should be object oriented and planning should by persons involved.
- To discuss issues openly.
- Better interaction with others and improved team spirit
- Rational analysis of problems and arriving at viable solutions.
- Non conventional methods explored for financing water supply schemes.
- Pleased in the one hand with the ideas given by engineers, disappointed, on the other hand as the PRED still is monolithic in the sense that any engineer can be heads of dept 's and there does not seem to be a wish to change this. (There seems to be no realization that the set up/staffing is outdated.
- The main concept of what we have to do, how to do, and how to involve necessary funds for achieving the objectives.

13. How far have your earlier expressed expectations of the workshop been fulfilled?

- To large extent.
- Good.
- Far above my own expectations.
- Fine general to purpose, though I would have liked to see a somewhat different outcome regarding the coordination role.
- To the fullest extent.
- Expectations of the previous workshops are analyzed properly.
- To some extent.
- Expectations fulfilled.
- To a large extent.
- Anticipated expectations of workshop have been fulfilled.
- Satisfactory.
- Fully.
- Satisfactory.
- For 90%(-10% left is activity scheduling).

Expectations of the participants.

- Since the present workshop is aiming at Institutional Development Planning, strategies are to be developed for exploring the possibility of building up a plan, that would be operational in implementing the future programmes of Panchayat Raj Engg Dept.
  Precisely a working programme that is practicable to be evolved at the end.
  GN Reedy. The result depends upon the inputs given by the coach or the teacher.
- Expect Pred staff to improve their understanding of complexities of planning and awareness

about importance of proper planning.
- Improve planning efforts on AP-III.
- Enhance my own knowledge about OOPP.
- Learn more (myself) about PRED-staff 's feelings about integrated approach.
- I expect this workshop will help us to evolve an operation plan for institutionalising integrated approach to WS and sanitation.
- How to gear up the functions of different level officers and at different locations in the institution (PRED) to handle any project right from planning stage to completion with a   thought brought on Operation and maintenance.
- A basic introduction to management techniques.
- A comprehensive coverage of concepts, principles, and methodology of OOPP.
- Its application, in some detail, to the institutional development. (participants HRD and MIS).
- Each trainer in this workshop should be able to train his subordinates as Mr Erik did.
- All the participants should peruse the RNE & GO X AP till our final recommendations are accepted.
- Successful project.
- Planning and implementation.
- Plan for successful operation and maintenance of the project.
- The outcome of workshop would be to orient the officer to the planning of project for better results at implementation level.
- To have clarity for co-ordinating.
- The various agencies for various tasks.
- To have involvement of all concerned (that is all agencies) at planning level.
- OOPP techniques practicable to Indian organisation al conditions.
- Techniques for effective community participation.
- Methodology of OOPP will help PRED to view I.A. more realistically.
- PRED may be able to formulate projects/policy to institutionalise integrated approach.
- Working environment within PRED under I.A. will have to change.
- A good understanding in PRED regarding concept/strategy problems etc in adopting an integrated approach and in institutionalizing it.
- An operational plan for institutionalisations of I.A. in PRED.
- It helps in proper planning, execution in implementation or AP III.
- To know about the OOPP technique and its applicability and limitations.
- The result depends upon the imports given by the coach or the teacher.

ANNEX 5: Itinerary

ITINERARY OOPP WORKSHOP MISSION PRED/NAP ANDHRA PRADESH, INDIA

Period: 26th of September - 7th of October 1991.

26 Sept. Thursday	- Flight Amsterdam - Delhi
27 Sept. Friday	- Meeting with WACO, at Netherlands Embassy. - Dinner and social gathering at residence Peter Flik.
28 Sept. Saturday	- Flight Hyderabad. - Reception by Mr. Kurian and first discussions on entity of the workshop and participants invited. - Courtesy call at Dr. Venkateswarlu, Chief Engineer, PRED and other participants of the OOPP workshop. - Visit NAP office for documentation.
29 Sept. Sunday	- Short tour around Hyderabad. - Reception of participants and cocktail dinner.

30 Sept.
Monday
	- Welcome of the participants, individual introductions,
	        Background of request for the O.O.P.P.-workshop.
	- Explanation on the procedures of the Objective Oriented Project Planning technique.
	- Presentation of the Project Planning Matrix of the AP III, Nalgonda programme, as was developed by
	        the moderator from the project documents. (see PPM AP III, Nalgonda, page:).
	- Identification of Parties Involved in the different Results listed in the PPM.
	- Determination of the 'entity' for this workshop.
	- Expectations of this workshop by participants.
	- Determination of programme workshop and time table.
	- Start identification of problems related to the 'entity'.

1 Oct. Tuesday	- Problem identification continued. - Discussions on the problems formulated. - Reformulation of vaguely formulated problems
2 Oct. Wednesday	- Discussions on problems continued. - Building of the Problem Tree. - Reformulation of problems into objectives. - Building of the Objective Tree.
3 Oct. Thursday	- Checking the logic of the Objective Tree. - Development of the Management Planning Matrix (MPM) (presented on page). - Identification by participants of objectives that are most difficult to achieve. - Identification by participants of objectives that are most important to address. - Determination of MPM Purpose and Results to achieve from the Objective Tree. - Brain-storm in separate groups on Activities to undertake in order to achieve the different Results.
4 Oct. Friday	- Presentation of suggested Activities by the groups. - Discussions on the suggested Activities, reformulations and additional activities from other participants.

5 Oct.
Saturday
	- Discussion on the organizational structure of PRED (see organigram on page).
	- Discussion on the relation between personal management and training.
	- Identification of most important activities in the MPM (indicated by shaded activities in the MPM).
	- Preparation of Activity Schedule indicating responsibilities.
	- Official presentation of findings workshop by moderator (methodology), participants (products of
	        workshop) and the WACO (Netherlands aid policy) to Mr. T. Gopal Rao, IAS, Secretary to
	        the Government, PR&RD, GOAP.
	- Official dinner with Chief guest, participants, WACO and moderator.

6 Oct. Sunday	- Flight Hyderabad - Delhi. - Discussions with WACO on monitoring system.
7 Oct. Monday	- Flight Delhi - Amsterdam.

ANNEX 6: Principles of the Objective Oriented Project Planning

A Guide to OOPP

More realistic planning for development projects is called for. Objective Oriented Planning (OOPP) is an effective technique in assisting through a participatory communication process all parties involved to identify & analyse those problems they see as inhibiting progress and prepare a concrete and realistic plan.

The idea for a project or programme often comes from a desire to improve an unsatisfactory situation. Although the idea may be realistic, the initial plans may not meet the approval of the project staff and target groups want. If plans are prepared by one person only, there is often no commitment to implementation by other parties. For a project to succeed, it's essential that all those involved accept the plans and are committed to implementing them... This is where Objective Oriented Project Planning (OOPP) comes in.

How does OOPP work?

OOPP brings together representatives of all parties. By discussing the problems and possible solutions, the participants can come to a mutual understanding of one other's viewpoints. Once some form of consensus is reached, these problems are organized into a logical sequence. They are then reformulated into objective to be attained in order to solve problems. On the basis of a number of criteria, objectives are selected which now serve to focus the project.

The planning phase, which follows, a logical framework technique is used to prepare a Project Planning Matrix (PPM) and Management Planning Matrix (MPM). This is done by partly drawing on what has been learnt in the earlier analysis. The PPM shows information about the objectives of different levels, a description of these objectives by means of Objectively Verifiable Indicators, assumptions at various levels and the activities required to reach the different results. The planning session is rounded off by drafting time schedules of the most important activities, indicating the responsibilities of all parties at the same time.

What are the relevant problems?

Information about particular problems can be collected from surveys, interviews, reports, statistical data and other sources. The objectiveness, reliability and completeness of these data though is often doubtful. Bringing together representatives from all parties is an additional opportunity for gathering information.

So how can information be collected? The participants write their problems anonymously on cards which are then displayed on a wall. In this way, difficulties some people feel in expressing problems in front of others with conflicting interests can be overcome. The session moderator then leads a group discussion to clarify the issues. Sometimes, the problems need to be specified more clearly in order to

uncover more underlying difficulties. The moderator avoids linking what is written on the cards with either the originator or the source of the problems.

It's obviously not possible to represent all parties in the workshop, but each one is identified, noted on cards and categorized under main headings. The relationships with the subject are identified by means of the products the party (or organization) should supply and receive from other parties, preferably in relation to the party organizing the workshop and drafting the plan. All the participants then identify problems in relation to a clearly described entity, such as problems of effective functioning. Problems of those not represented have to be considered too and discussed thoroughly. Data collected by the more usual roots mentioned earlier may be of help here.

Steps in OOPP

Analysis phase

- Bring together representatives of the most relevant parties.
- Determine the topic for the workshop (entity).
- Discuss problems related to the entity.
- Build a 'problem tree' organizing the problems in 'cause-effect' relation to one other.
- Build an 'objective tree' by reformulating problems into objectives and checking the 'means-end' relationships.
- Select objectives based on predetermined criteria, and determine the project focus.

Planning phase

- Prepare a Project Planning Matrix and/or a Management Planning Matrix using information from the analysis phase.
- Draft time schedules of activities.
- Indicate the responsibilities of all parties in implementing activities.

Building 'trees'

The next step is to select a starter problem, for which both causes and effects can be identified. The 'causes' are identified from the cards displayed on the wall, and placed in a 'cause-effect' relationship underneath the starter problem. Problems identified as an 'effect' are placed above the problem causing it. A 'problem tree', will gradually emerge as each problem is related to other problems. The logic is rechecked later. Lines are drawn to show the relationships between problems, and arrows mark the direction of effects.

Participants are then helped to reformulate the problems into realistic objectives. These objectives are then displayed on another wall. The sequence is checked, and some reorganization may be needed. Once the sequence is acceptable to all participants, lines are drawn to visualize the 'means-end' relationships. Groups of related objectives dealing with a similar topic are clustered and are named with the topic or expertise required to address it.

The last step of the analysis phase is to make an initial selection of clusters to be included in the project. A 'project purpose and overall objective' can then be selected or reformulated.

Planning Matrix

The Planning Matrix, also known as the Logical Framework, is used in the planning phase It's square in format, with four vertical columns and four horizontal rows. The 'project purpose and overall objective' is transferred to the first vertical column of the matrix. Next, objectives directly leading to the project purpose on the objective tree are entered into the matrix as 'results' or 'outputs'. Indicators of the project purpose and each result are formulated in measurable terms: quantitatively, qualitatively, place, and time.

Clusters of objectives not to be addressed by the project are written on cards. Other additional conditions are identified, and then assessed as to whether they are important or likely to cause problems during implementation. If the project has no authority to address these crucial conditions, they become 'assumptions' and are placed in the fourth vertical column at the respective levels in the matrix. 'Assumptions' may become 'additional results' if acted upon during the project. Then they are moved to the first column.

In a brainstorming session ideas are brought to light on activities to the various results. Participants discuss these ideas and put them in order of priority under the respective results. Possible donor input can be estimated initially by marking the respective activities. A rough estimate of costs and inputs can be added to the matrix.

A distinction can be made between a Project Planning Matrix (PPM) and a Management Planning Matrix (MPM).
The PPM is showing the output of the project in terms of **what the** project should achieve externally in relation to the outside world. However, more pressing issues often deal with internal problems of the project organization and management. A plan to address those problems can best be formulated in a **how** the project will become capable to efficiently and effectively achieve the results described in the PPM (the what).

Time schedule

Only the 'biggies', the activities requiring considerable resources, are listed and their duration estimated. The activities are shown on a bar chart covering the total project period, taking resource availability into account. The time of participation of the various parties is indicated in the schedule. It's essential that the responsibilities set out in the time schedules are clearly understood and agreed upon. This is the way to understanding and commitment of the actors to project implementation.

Some OOPP limitations

OOPP poses several practical problems. The visualization method and the intensive interaction between participants calls for specific seating and room arrangement. This limits the optimal number of participants to 15. We therefore have to select

participants for each workshop, thus creating a bias in the criteria used for problem selection. It may be possible sometimes to organize more workshops and integrate the findings during a plenary session.

It could also be difficult for illiterate people to participate, as visualization is the core of the OOPP method. Other ways of gathering information may then be more applicable. The environment of such a workshop may make such people feel uneasy too, as well as the presence of senior officials. Although OOPP tries to assure an anonymous presentation of viewpoints, discussion on problems may still be difficult. A similar constraint may also arise in cultures where strong adherence to hierarchical order inhibits open discussion.

Approval by the decision makers, who didn't join in the workshop, is a more serious constraint. They may disagree with a plan developed by the participants, and may not support it. But how can these kinds of disappointment and frustrations with workshop members be avoided? Frank discussions in advance of the workshop or even during the workshop may be needed to identify the project mandate.

The success of OOPP also depends on the moderator, whose has the task to guide participants through each stage. Open-minded communication is a complex process, requiring a strong and determined, but flexible, creative, objective and independent person. Preferably an 'outsider' adequately trained to conduct a successful OOPP workshop. Mismanagement could create chaos, conflicts, disappointments and demoralize participants.

Better communication better understanding

Bringing together people from different social, cultural, economical, technical and hierarchical backgrounds, as well as from different organizations, gives opportunities to share views and perceptions. A good moderator should stimulate those who keep a low profile, and control the more dominant participants. Participants are 'forced' to listen, to hear the reasons behind one another's perceptions. A feeling of mutual understanding can be created. The bond established by a workshop will mean improved communication and cooperation during the implementation phase.

Clashes and conflicts about individual views and aspects of the project's future are not unusual either, because OOPP is about what people really think. All too often in project planning, people fail to take a stand on what they really feel about a situation and what ought to happen. This can lead to ongoing hidden agendas and chronic 'sleeping conflicts'. OOPP channels these legitimate emotions into functional discussions, at the end of which some form fo consensus can be reached. Participants often feel a sense of relief after such sessions. They have been able to discuss pressing issues in an open atmosphere, often for the first time.

Many fo those working at the implementation level think planning is only for senior planning officials. They are accustomed to receiving directives, not to participating in planning. But cooperative planning will considerably enhance the commitment of the project staff, target groups and the related organizations. Participants now begin to understand the WHAT, WHY, HOW, WHO, WHERE, and WHICH of their project. This will help to clarify their own responsibilities and those of others, thus bringing to an end confusion about the many things are done. Clarification of job descriptions and improved organizational structures may be a start in this direction.

Streamers

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2. Participants suddenly understand the WHAT, WHY, HOW, WHO, WHERE, and WHICH of their project.