WASH Technical Report No. 41

Facilitator Guide for Conducting
a Project Start-Up Workshop

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March 1988

Prepared for the Office of Health
Bureau for Science and Technology
U.S. Agency for International Development
under WASH Task No. 013

Environmental Health Project
Contract No. HRN-5994-C-00-3036-00, Project No. 936-5994
is sponsored by the Bureau for Global Programs, Field Support and Research
Office of Health and Nutrition
U.S. Agency for International Development
Washington, DC 20523

WASH and EHP

With the launching of the United Nations International Drinking Water Supply and Sanitation Decade in 1979, the United States Agency for International Development (USAID) decided to augment and streamline its technical assistance capability in water and sanitation and, in 1980, funded the Water and Sanitation for Health Project (WASH). The funding mechanism was a multiyear, multimillion-dollar contract, secured through competitive bidding. The first WASH contract was awarded to a consortium of organizations headed by Camp Dresser & McKee International Inc. (CDM), an international consulting firm specializing in environmental engineering services. Through two other bid proceedings, CDM continued as the prime contractor through 1994.

Working under the direction of USAID's Bureau for Global Programs, Field Support and Research, Office of Health and Nutrition, the WASH Project provided technical assistance to USAID missions and bureaus, other U.S. agencies (such as the Peace Corps), host governments, and nongovernmental organizations. WASH technical assistance was multidisciplinary, drawing on experts in environmental health, training, finance, epidemiology, anthropology, institutional development, engineering, community organization, environmental management, pollution control, and other specialties.

At the end of December 1994, the WASH Project closed its doors. Work formerly carried out by WASH is now subsumed within the broader Environmental Health Project (EHP), inaugurated in April 1994. The new project provides technical assistance to address a wide range of health problems brought about by environmental pollution and the negative effects of development. These are not restricted to the water-and-sanitation-related diseases of concern to WASH but include tropical diseases, respiratory diseases caused and aggravated by ambient and indoor air pollution, and a range of worsening health problems attributable to industrial and chemical wastes and pesticide residues.

WASH reports and publications continue to be available through the Environmental Health Project. Direct all requests to the Environmental Health Project, 1611 North Kent Street, Suite 300, Arlington, Virginia 22209-2111, U.S.A. Telephone (703) 247-8730. Facsimile (703) 243-9004. Internet EHP@ACCESS.DIGEX.COM.

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* Handouts to be prepared for each individual project

SECTION ONE

INTRODUCTION

The Water and Sanitation for Health (WASH) Project provides short-term technical assistance to U.S. Agency for International Development (USAID) missions and bureaus as well as to private voluntary and other organizations involved in water and sanitation in developing countries. This technical assistance often takes the form of assisting projects in management, evaluation, and short-term technical inputs. Over the past six years WASH has become increasingly aware of the needs and potential problems that projects have in the critical period of project start-up.

In April 1985, WASH assisted the USAID mission in Sri Lanka in launching a project aimed at institutional strengthening for the National Water Supply and Drainage Board (NWSDB). This was a large project. More than 70 individuals involved in direct project activities attended a four-day project start-up workshop. Again, in September 1986, WASH assisted the USAID mission in Nepal in a start-up workshop for the Irrigation Management Project. On the basis of that experience, WASH developed a working model for conducting a project start-up workshop which addresses the practical operational needs of getting a project up and running. This model was then used in the Benin Rural Water Project in May, 1987.

This document is a guide for conducting a project start-up workshop according to the Sri Lanka and the Nepal models. It is divided into three sections: a **concept section**, which describes what the workshop is, who should attend, and what outcomes should be expected; a workshop **development section**, which describes all the steps necessary to prepare for a workshop; and an **implementation section**, which provides designs for each session and detailed instructions for the facilitator.

THE NEED FOR A PROJECT START-UP WORKSHOP

Over the life of the WASH Project, WASH staff and consultants have interacted with a great many development projects in a variety of settings. There is a qualitative difference between projects which get started well and those which take the first year (or more) to sort out roles and responsibilities. The first month’s of a project’s life are critical because they establish the management pattern. It is during this time that understandings are reached (or not reached) at various implementation and management levels about the project’s purpose and goals, roles of the project staff, expectations of the various actors, and agreements about how the project will be managed.

During the first year of a development project implementation problems often emerge. No matter how thoroughly a project is planned it does not become a reality until the money is in hand. Then those who have agreed to the project (the government ministry) and those who are carrying it out begin to understand that the purpose of a project is to change something and that change requires action or new/different behaviors.

A number of **typical problems** surface in the first phase of a project:

Insufficient host government support for the project: Strong government support is required in projects, but it is especially critical in the early stages. When a project starts up, a chain of event is triggered and agreements for action are put in motion. Typically, these are covenants and conditions precedent to disbursement of funds (at various points), hiring of staff, counterpart funding, and provision of local resources.

  Each action is a potential point of resistance within a project, and strong government support is required to overcome that resistance. Unless potential points of resistance are surfaced early and dealt with satisfactorily, project objectives may suffer, delays may occur, and resources may be wasted.

Unclear roles: Who reports to whom is often an issue. Does this USAID project officer decide on project staffing or does the host country agency? Who has veto power over unsatisfactory staff? Are the consultants expected to support their counterparts in their jobs as trainers or are they expected to produce products? What is the hob of the consultant team leader and how is it different from the host country project director? These questions and many more like them often go unanswered for months. They are often answered through trial and error with great potential for confusion and serious misunderstanding.

Unclear expectations for performance: How are the consultants supposed to work with their counterparts? Do their counterparts want them to work in the office space of the project or adjacent to it? How often should consultants meet with their counterparts? Who is responsible for getting a job done or a product completed? What do people expect of each other? To what extent have they thought about their expectations? If expectations are not made explicitCas frequently is the caseCmisunderstanding and sometimes hostility are the result, especially in a cross-cultural setting.

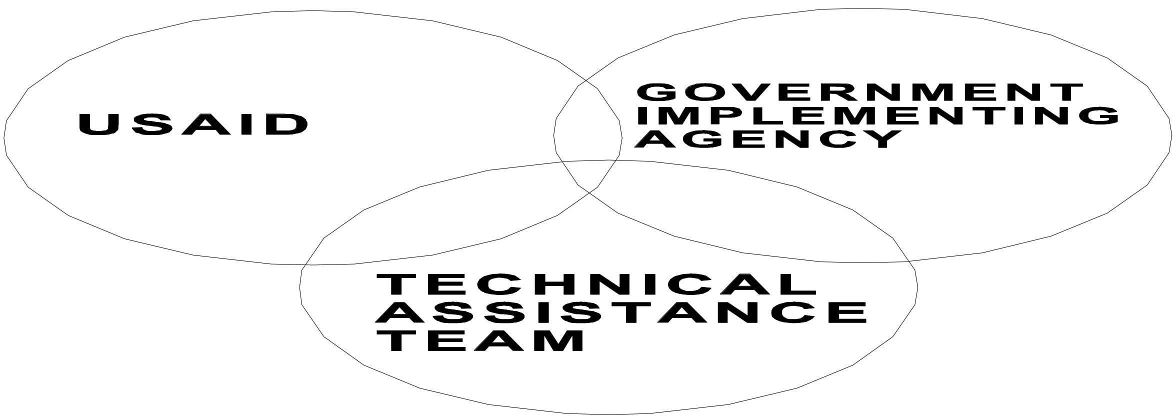
Team strife and low trust: The conditions for developing a relationship of trust require that people get to know each other and appreciate each other’s talents and abilities. During the first few months of a project ground rules for working relationships are set (usually in unspoken ways). If this process is not handled carefully, the normal issues inherent in managing a project and people can lead to conflict.

Lack of direction: Projects often flounder during the first year due to the lack of a set of clear goals and an action plan which is understood and to which all parties are committed.

The project start-up workshop, described in the next section, is designed to address these typical problems before a project starts.

THE WORKSHOP CONCEPT

The project start-up workshop is designed to shorten the time needed to get a project up and running and to forestall typical implementation problems. This is accompanied by bringing all of the project's major stakeholder's together in a retreat setting and systematically addressing each issue. In a typical project, three groups are involved: USAID, the implementing agency of the government, and the technical assistance team. Each of these groups must relate to the other two id the project is to be successful.
The workshop addresses three basic project activities:



development of a team

management

start-up planning

A series of team-building activities are conducted to explore people's expectations for working together and to initiate project team development. Understandings are reached on roles, project goals, project communications, and reporting requirements. Procedures are defined for project management; responsibilities are assigned. The first six to twelve months of the project are planned by the project team, using action-responsibility planning charts.

Because the goal of the workshop is to forestall implementation problems, timing is important. The project start-up workshop should be conducted early in the life of a project, but not before three essential pre-conditions are met:

Key staff should be in place (on-site). This includes both contractor and major counterparts. It does no good to reach agreements between the USAID project officer for example, and one or two implementing agency personnel in the absence of the full project team. If work is to be carried out by staff who have not yet been named or who have not yet arrived on site, it is preferable to wait for them before holding the workshop.

- # **The statement of work for technical assistance and the project** should be basically agreed upon by the host ministry and USAID. Detailed project negotiations and project agreements should have been made prior to this time. The workshop is designed to focus on issued of implementation, not on basic agreements such as project scope or the level of effort for the technical assistance team.

- # **Funding** at agreed-upon levels (from both the sponsoring agency and the donor/lender) should be in place for the first year of the project.

WORKSHOP PARTICIPANTS

There are essentially two levels of participants, project implementers and important interested parties. Project implementers include staff of the government implementing agency or agencies, the technical assistance team (this may range from a single contractor to individuals on personal service contracts to private voluntary organizations), and the donor (usually the project officer and the assistant). Important interested parties include high-level ministry officials, the USAID mission director or other leaders, representatives from collaborating ministries and agencies, and other influential persons (political representatives, representatives from other donor groups, etc.).

Most of the workshop is designed for the project working group or the implementers. However, the last half day serves an informational and public relations need by including the important interested parties in a review of workshop agreements. The number of workshop participants may vary from 10 or 12 as many as 60, depending upon the nature of the project. For example, in a large institutional development project that will affect an entire institution the number of participants will be higher.

SYNOPSIS OF WORKSHOP PREPARATION AND DELIVERY

In order to produce a well developed and successful project start-up workshop, a number of tasks need to be accomplished. They can be divided into two phases: **workshop preparation** and **workshop delivery**. (These are explained in detail in Sections Two and Three.)

The preparation phase is as important as or perhaps more important than the workshop itself. A well prepared and briefed group of participants is much more cooperative in a workshop setting. Preparation consists of interviewing each participant in advance (if the number of participants is not too great), analyzing the interview data to determine current project issues, and thoughtfully arranging the workshop agenda and design so that it will address those areas which most concern the participants.

The workshop is delivered in three-and-a-half to four days, depending upon the number of project issues addressed. It systematically addresses each area of need. This document provides a session-by-session guide for the facilitator.

THE ROLE OF THE FACILITATOR

This workshop is designed to be managed by a professional facilitator/consultant who is skilled in working with groups and in third-party consultation. Depending upon the number of participants, two (or more) facilitators may be required. If the group has approximately 15 to 25 participants, one facilitator should be sufficient. If the number of participants exceeds 25, an additional facilitator should be added.

The primary role of the facilitator is to act as a neutral third party who is trusted by all and who will ensure that important issues are raised and addressed. In addition, a number of other important duties are required of the facilitator:

- **Gathering information:** the facilitator should ensure that the necessary information is collected through interviewing in order to determine the major issues.

- **Analyzing information:** the facilitator should assemble all of the information gathered and organize it by issue to be addressed.

- **Adjusting the basic design:** Section Three of this guide provides a basic design for the start-up workshop; however, the facilitator will need to tailor that design to the needs of the particular project, the number of participants, and the number of issued to be addressed. Additional sessions may need to be added to cover special interests.

- **Managing the workshop process:** It is very important that the sessions start on time and achieve their stated goals within the time available. This means that the facilitator must be able to move the group along tactfully. He or she must also intervene when small group activities reach an impasse and provide assistance in making notes on flipcharts and managing full group discussions so that a few individuals do not dominate. The facilitator will also have to track agreements and monitor the secretarial support staff, who will type up the group's products.

- **Monitoring the process:** Often the facilitator will need to act "behind-the-scenes" as a conduit of information, peace-maker, influencer, encourager of the timid, problem-solver, or go-between. It is important to consider the dynamic of the relationships among the different interest groups in a start-up workshop. The staff of the host country and USAID and the technical assistance team may not have worked together before. Cross-cultural misunderstandings may easily occur. Individuals may be suspicious or may attempt to be overly polite or deferential. Consequently, the facilitator will need to circulate constantly while small groups are working in order to keep current on the direction of the discussions. After the sessions, on breaks, and during social interactions it may be necessary to find out what people are thinking that they are not actually saying. This information may be useful in helping the group move toward the desired outcomes.

- **Consulting on workshop follow-up:** As the workshop moves toward its conclusion, a number of loose ends are apt to be left. These will need to be tied up in follow-up actions. Issues which may require special attention after the workshop should be identified (flagged) for special attention by the

USAID project officer (e.g., external consultants may not appear to be appropriate for the identified job, particular personalities may not mesh, special follow-up in technical areas may be needed, etc.). The facilitator should keep track of these areas and be prepared to assist USAID in identifying them for the workshop debriefing. To identify the next steps (in addition to the forward action plan produced during the workshop) additional consultant assistance or other actions by USAID may be required.

OUTCOMES

By the end of the workshop, a number of "outcomes" should have been achieved. Many of these are written products; some are intangibles, such as increased understanding and relationship-building, which cannot be documented. The expected outcomes of this process are as follows:

Outcome	Product
A common basis of information about the background, scope, and purpose of the project	
A better understanding of roles, responsibilities, and authorities	
Improved relationships and understandings for working together	
Increased commitment and inclusion of all participants and senior officials in supporting the project	
Agreements on major product issues	Written agreements on the issues*
Agreements on how the project will be managed	Written agreements on project management
Work plans for the first six to twelve months of the project	Written work plans

* If key decision-makers are not available or are unable to attend the workshop, then the group should develop recommendations to present to the decision-makers after the workshop.

SECTION TWO

WORKSHOP DEVELOPMENT

In preparing the workshop, the facilitator will need to make time for carrying out a number of activities. These can be grouped into three major areas of work:

- **Data gathering:** interview workshop participants to define current issues.
- **Data analysis:** analyze the information and prepare it for the workshop committee review.
- **Final preparation:** make final preparations for conducting the workshop in terms of both logistics and the final workshop plan. These tasks are detailed below.

DATA GATHERING

Managing the Relationship with USAID and the Project Institution

It is important for both USAID and the project institution to be clear about what the project start-up workshop is and how many steps are involved in preparing for it. It is suggested that at the beginning the facilitator set up meetings separately with both the USAID project officer and the project institution to explain the scope of work and what expectations the facilitator has for actions on the part of each. A rationale for conducting information gathering interviews should be established, and the support of USAID and the project institution should be enlisted in setting up interviews and managing arrangements.

Before the facilitator arrives in country, he or she should have carried out advance work, through cables or telephone conversations, on reserving the workshop site, notifying the workshop participants of times and dates for interviews and workshop participation, and arranging administrative and logistic support. Appendix A provides a checklist of the planning issues that should be resolved before the facilitator arrives in country. Appendix B is a model letter that should be sent to all the participants before the workshop to give them an idea of what to expect.

It is suggested that a reference group or workshop steering committee be set up consisting of the USAID project officer and selected persons from the project institution who can guide the facilitator during the planning, execution, and follow-up of the workshop. In initial meetings, representatives from USAID, the workshop steering committee, and perhaps the director of the agency or project, and the facilitator should reach agreement on the following matters:

- The overall purpose of the workshop: its benefits, and expected outcomes
- The role of the facilitator: who he is, and what he brings to the process
- The tasks required to prepare the workshop

- # The interview process: explanation of the questions and the way in which the interviews will be set up

- # Logistical arrangements

- # Who the participants should be

- # Times for follow-up meeting or information updates

Developing a Data-Gathering Strategy

Before the interviews are conducted, a data-gathering strategy should be developed. This includes deciding who should be interviewed, when they will be interviewed, and what questions to ask. If the group is large and it is not possible to interview everybody, it is important to select a good cross-section of the participants. An interview schedule should be worked out with the steering committee. The interviews can take from two to five days. If the potential participant group is very large (say 60 to 80 participants), it may be advisable to conduct some group interviews. The facilitator should be sure to come to an agreement with each person on how much time is available for each interview. Generally 30 to 45 minutes is recommended.

The following is a beginning list of questions that could be asked in the interviews:

- # What do you expect from this workshop?

- # What do you expect your role will be in the project? What is your current role?

- # In your viewpoint, what difference do you think this project will make?

- # To what extent do you think the project has the commitment and agreement of the (organization, agency, consumers, your colleagues)?

- # What do you expect of the technical assistance team and/or your counterpart? How should they work with you?

- # What do you see as the major concerns and problems facing the project?

- # How can we structure the workshop so that your concerns are met?

- # Are there any other major concerns or problems that you feel should be addressed during the workshop?

DATA ANALYSIS AND REVIEW

Selection of Issues

It is important to realize that, at this point in the process, the facilitator will probably have more information about the attitudes of the project implementers and potential issues concerning project start-up than any other one person. This confers a special responsibility upon the facilitator and puts him or her in a position to be a key resource to both USAID and the project institution. However, because the facilitator will seek to establish trust with a range of actors, he or she must take care not to attribute specific comments to individuals. (The interviews are considered confidential and should be explained as such to the interviewees.) The data should be presented in such a way that the findings are not linked to a person. If the facilitator makes it known that this is the way he is going to proceed, individuals will probably be more forthcoming, and the facilitator will be seen as a trustworthy resource to all parties.

Upon completion of the interviews, the facilitator should review all of the notes and sort through them for trends in what people are saying. If a good number of individuals express the same concerns or demonstrate the same confusion or misconception, these should be flagged. Some of these concerns will be met by the basic workshop design, others will not. All of the issues, concerns, and expectations of the participants should be summarized. Brief issue statements or paragraphs should be put together and displayed on flipcharts to review with the workshop steering committee or the primary client in advance of the workshop. These issue statements will be used later in the workshop also. Since they may well form an important part of the workshop, they will need to be carefully selected and clearly and accurately worded. If possible, the number of issues should be limited to eight to ten so that there are not too many to work on during the workshop.

For example, a typical issue statement might look like this...

> Most participants interviewed indicated that they are unclear about the consequences to their current jobs in the proposed decentralization and reorganization program for the upcoming project. They have raised a number of questions: is the reorganization decision open to input from us; will senior office heads be required to serve away from headquarters; if so, will they be given special allowances for the education of their children; what will be the duties of new positions in the reorganization, and how will they be determined?”

During the workshop, a special working group should meet to make recommendations on the reorganization and begin to provide answers to the questions raised during the interviews.

Preparatory Meeting with Steering Committee

Following this analysis and summary process, a final working agenda needs to be organized by the facilitator and cleared by the steering committee (or workshop decision-makers). It is suggested that the facilitator organize the issue areas into draft problem statements (such as the above example), list them for inclusion in the workshop sessions, and prepare a draft workshop agenda. Then the facilitator and the steering committee should meet to discuss the issues and clear them for final inclusion on the agenda. At this meeting, a list of final arrangements also should be reviewed with the logistics coordinator. Arrangements should be made for final copying of the workshop agenda and preparation of the workshop information packets.

Other Meetings

Depending upon the circumstances, other preparatory meetings may need to be conducted. For example, a technical assistance contractor may be providing a long-term advisory team. It may be advisable for the facilitator to work with that team for a day to prepare them for their role in the workshop. They should be prepared to answer a number of questions about their role (e.g., what they have to offer, what their approach to development work is, etc.). The technical assistance team may also have a number of questions which they want answers for prior to the workshop (for example, what should they read prior to the workshop, what is culturally inappropriate, etc.). Frequently, new technical assistance groups which consist of foreigners will have arrived in country only a few days prior to the workshop. This may be a good opportunity to get them started.

It is also possible that a number of people who are important to the success of the project may not be attending the workshop, due to limitations on numbers or other considerations. It may be advisable to meet with those individuals or groups, get their input on possible project issues, and later inform them of the project and/or the workshop outcomes.

For example, in one of the pilot workshops, a sizable number (40) of host country agency staff who would not be attending the start-up workshop did not understand the goals and purposes of the project. Yet these individuals would be affected by institutional changes in the project. A special meeting was set up with this group and their input was solicited. At the same time they were oriented to the goals of the project. Such special meetings are important and may need to be managed by the facilitator in order to assist USAID or host country project personnel. The skills of professional management/training consultants are often very useful in setting up and running meetings of this nature.

FINAL WORKSHOP PREPARATION

Workshop Site

It is suggested that the workshop facilitator arrive at the workshop site at least a day prior to the start of the workshop in order to review the final arrangements and complete final preparations. Arrangements for appropriate facilities should have been made well in advance of the arrival of the workshop facilitator. The requirements for the workshop site are listed here.

- **Residential Site:** The best working environment requires that the site be away from offices and interruptions. The team-building goals of the workshop are greatly enhanced if the participants have the opportunity to socialize in the evenings. Often working groups will decide they need to work into the evenings. A self- contained conference site which provides sleeping quarters, meals, recreation potential, and an adequate number of meeting rooms is essential.

- **Adequate Meeting Space:** Care should be taken to select a site which has a large, well lighted, and acoustically viable meeting room for the plenary sessions. This room must be large enough to allow participants to be seated in different configurations. For example, many of the plenary sessions are "working and discussion" sessions. The room will need to be set up so people can see each other and talk. Configurations such as a large U shape, or a hollow square are recommended. At times, the plenary session may ask people to briefly discuss an idea in groups of six to ten people. For that a group of tables can be set up in a fan shape, with the narrow end of the fan facing the head table or flipchart. If the group is large and the room is very large with sound interference (such as tropical storms or open windows with outside noise), a good sound system with multiple microphones is recommended.

  "Break-out" space (a number of small meeting rooms) will also be required for working groups. Break-out rooms which can accommodate up to ten people seated in a circle will be needed. The exact number of break-out rooms will depend on the number of participants.

Administrative Support

An administrative/secretarial staff and copying equipment will be needed so that the products developed during the sessions can be typed and duplicated. If support is adequate, it is quite possible (and highly recommended) to produce a draft workshop report while the workshop is taking place. Working groups record their recommendations on flipchart paper and present them to the plenary for review and adoption or modifications. These products should then be given to the secretarial staff for typing and copying.

At least two full-time secretaries and a copy machine operator will be needed in order to ensure speedy turnaround on typing and duplicating for groups up to 25. For larger groups additional administrative support should be planned for. If documents must be prepared in more than one language, translation services and more secretarial staff will be needed.

Participant Workbooks and Materials Needed

It is recommended that conference notebooks or folders be assembled in advance. They should contain the following important written information:

- a summary of project goals
- background reading on the project
- the proposed workshop agenda, objectives, and expected outcomes
- a list of participants
- bio-data summaries on the technical assistance consultants
- a welcome note which explains per diem, travel reimbursement, and any other pertinent logistical issues

Materials such as writing paper, pencils, and pens should also be included in the notebooks or folders.

In addition, the following materials will be needed to run the workshop: magic markers, four to six flipchart stands, flipchart paper, typing and copying paper and basic office supplies, masking tape (to hang flipchart paper on the wall), and audio-visual equipment as necessary (an overhead projector or slide projector may be needed if presentations using projected tables or figures are made).

Facilitator Preparation

The day before the workshop, the facilitator should complete the final preparation of any visual material needed (such as the flipcharts for instructing groups, issues summary, large block schedule, workshop goals, etc.). The workshop design (Section Three) will suggest where prior preparation of flipcharts is required. If there is a team of facilitators, they should agree upon their roles in the workshop.

If individuals are to make presentations to the full group, it is recommended that their talking points be written down in advance, reviewed by the workshop facilitator, and then rehearsed. This will usually improve the quality of the presentations and help speakers to stay within the allocated time. Visual material used for these presentations should be prepared in advance. It is a good idea for speakers to arrive at the workshop site a day ahead of time for a “dry run.”

If the workshop is to be conducted in a language other than English, then a number of handouts in this guide should be translated in advance. A list of these items is provided in Appendix C.

The administrative staff for the workshop should arrive the afternoon before the workshop in order to set up. Whoever is coordinating logistics and managing the administrative staff should also be there to recheck arrangements with the hotel staff.

Timing the Arrival of Participants

Participants should arrive enough in advance so that they are ready to work the entire first day of the workshop. If the workshop site is several hours away from the normal work place of the participants, they probably should arrive the late afternoon or evening before the first full day of the workshop. During the evening the first session of the workshop could be held.

SECTION THREE

INTRODUCTION

This section provides a session-by-session design for the workshop. The design for each session contains an overview and step-by-step procedures with suggested times. The overall workshop design is presented below.

ORGANIZATION OF THE WORKSHOP

The three-and-a-half to four days are organized into ten separate sessions. Each session is designed to achieve specific purposes and contains activities that will produce the desired outcomes for that session. Most of the sessions are working meetings. In all sessions participants are engaged in discussing issues, solving problems, and planning actions.

The project start-up workshop follows accepted practice in workshop sequencing:

- **Getting Started:** setting the work climate and agreeing on the objectives and agenda

- **Working Session:** working through a carefully scheduled sequence of sessions designed to achieve the goals and objectives

- **Wrapping Up:** closing the workshop and evaluating its results against the agreed upon objectives

Each session also uses accepted practice for workshop design:

- **Session Purpose:** the session begins with a clear statement of purpose and an overview of what will take place

- **Activities:** individual and group activities designed to achieve the goals of that session and are organized and directed by the facilitator

- **Session Closing:** a closure activity recaps the session, links it to the next session, and places it in the context of the whole program

SCHEDULE OF SESSIONS

The timing and duration of the sessions presented below is meant to be a guide and not a prescription. Travel to the site of the workshop and other logistical considerations can influence when the workshop actually begins on the first day. Also, the particular circumstances of the project may determine the among of content covered in any given session. For example, if there are only a few key issues to consider, Session 7 may not take up most of the second day, and the schedule will have to be adjusted accordingly.

The recommended agenda/schedule for a four-day workshop is as follows:

Day One

9:00 - 9:45	Session 1: Opening and Introduction to the Workshop
9:45 - 10:45	Session 2: Getting to Know Each Other
10:45 - 11:00	Break
11:00 - 1:00	Session 3: Sharing Project Information
1:00 - 2:30	Lunch
2:30 - 3:00	Session 4: Overview of Facilitator's Findings
3:00 - 6:00	Session 5: Expectations and Agreements about How to Manage the Project

Day Two

8:30 - 10:30	Session 5: Continued
10:30 - 10:45	Break
10:45 - 12:30	Session 6: Discussion of Key Project Issues
12:30 - 2:00	Lunch
2:00 - 4:00	Session 6: Continued
4:00 - 4:15	Break
4:15 - 6:00	Session 6: Continued

Day Three

8:30 - 10:30	Session 6: Continued
10:30 - 10:45	Break
10:45 - 12:30	Session 7: Developing a Work Plan for the Project
12:30 - 2:00	Lunch
2:00 - 4:00	Session 7: Continued
4:00 - 4:15	Break
4:15 - 6:00	Session 7: Continued

Day Four

8:30 - 10:30	Session 7: Continued
10:30 - 10:45	Break
10:45 - 12:45	Session 8: Presentation of Agreements and Work Plans to Senior Officials
12:45 - 2:00	Lunch
2:00 - 4:00	Session 8: Continued
4:00 - 5:00	Session 9: Closing and Evaluation of Workshop

SESSION 1: OPENING AND INTRODUCTIONS

OVERVIEW AND PURPOSE

Total time: 45 Minutes

The purpose of this session is to establish the basis for what will happen during the next four days. It also provides an opportunity for key individuals involved with the project to explain what they would like the workshop to achieve. Finally, the participants are introduced to the objectives, agenda, and overall approach of the workshop.

PROCEDURES

1. Introduction/Welcome

Time: 5 Minutes

As the facilitator you may introduce yourself or be introduced by the USAID project officer. You should also welcome the group to the workshop.

Explain that the purpose of the introductory session is to review the goals and purpose of the workshop and to hear the views of the keynote speaker. Then introduce the speaker.

2. Opening Address

Time: 20 Minutes

The keynote speaker briefly charges the group with its mission and what he or she expects to result from the workshop. If the speaker is to return for the plenary meeting on the last day he or she should mention looking forward to meeting with the participants again or, at the very least, to reviewing their project plans for the next six to twelve months.

While the content and tone of this opening is very much in the hands of the speaker, it is important that some time be spent before the workshop briefing him or her on the purpose and intent of the workshop.

3. Objectives and Schedule

Time: 15 Minutes

a. Present the objectives, schedule, and expected outcomes of the workshop on **Flipcharts 1, 2,** and **3**. These should be prepared in advance. **Handout 1** (Objectives), **Handout 2** (Schedule), and **Handout 3** (Expected Outcomes) may be distributed here or may be inserted in advance in the participants' folders. In reviewing the schedule, note where certain objectives will be covered. For example, you might say, "As you can see we will be spending all day Thursday on developing project work plans."

b. Present the norms of the workshop, i.e., how participants can work together to have a successful workshop. Make clear to the participants that the approach used in this workshop will allow for maximum involvement on their part and that a minimum amount of time will be spent in plenary sessions listening to people talk. This will require that everyone participate. Write the norms of the workshop on **Flipchart 4**.

Norms for Working Together

- # Giving everyone a chance to speak (not dominating the group discussions)
- # Participating actively
- # Starting and ending session on time
- # Asking questions if you don't understand
- # Respecting the opinions of others

4. Link to Next Session Time: 5 Minutes

Lead into Session 2 (Getting to Know Each Other) by noting that, while all participants have a sense of the purpose and timing of the workshop, they need to get to know the people involved.

MATERIALS

Flipchart 1, Procedure 3a (Objectives)

Flipchart 2, Procedure 3a (Schedule)

Flipchart 3, Procedure 3a (Expected Outcomes)

Flipchart 4, Procedure 3b (Norms for Working Together)

Handout 1 (Objectives of the Project Start-up Workshop)

Handout 2 (Project Start-up workshop Schedule)

Handout 3 (Expected Outcomes)

OBJECTIVES OF THE PROJECT START-UP WORKSHOP

1. Exchange current information about the project that is essential to start up.

2. Achieve agreement on and commitment to project goals and activities.

3. Provide an opportunity for the project team to become acquainted.

4. Agree on the management roles and responsibilities of the contractor, USAID, and the host country agency.

5. Agree on procedures for managing the project.

6. Improve the ability to work together as a team.

7. Discuss and develop strategies for the most important issues that will affect the project.

8. Develop work plans for the first six to twelve months of the project.

PROJECT START-UP WORKSHOP SCHEDULE

Day One

9:00 - 9:45	Session 1: Opening and Introduction to the Workshop
9:45 - 10:45	Session 2: Getting to Know Each Other
10:45 - 11:00	Break
11:00 - 1:00	Session 3: Sharing Project Information
1:00 - 2:30	Lunch
2:30 - 3:00	Session 4: Overview of Facilitator's Findings
3:00 - 6:00	Session 5: Expectations and Agreements about How to Manage the Project

Day Two

8:30 - 10:30	Session 5: Continued
10:30 - 10:45	Break
10:45 - 12:30	Session 6: Discussion of Key Project Issues
12:30 - 2:00	Lunch
2:00 - 4:00	Session 6: Continued
4:00 - 4:15	Break
4:15 - 6:00	Session 6: Continued

Day Three

8:30 - 10:30	Session 6: Continued
10:30 - 10:45	Break
10:45 - 12:30	Session 7: Developing a Work Plan for the Project
12:30 - 2:00	Lunch
2:00 - 4:00	Session 7: Continued

4:00 - 4:15	Break
4:15 - 6:00	Session 7: Continued

Day Four

8:30 - 10:30	Session 7: Continued
10:30 - 10:45	Break
10:45 - 12:45	Session 8: Presentation of Agreements and Work Plans to Senior Officials
12:45 - 2:00	Lunch
2:00 - 4:00	Session 8: Continued
4:00 - 5:00	Session 9: Closing and Evaluation of Workshop

EXPECTED OUTCOMES

Outcome	Product
A common basis of information about the background, scope, and purpose of the project	
A better understanding of roles, responsibilities, and authorities	
Improved relationships and understandings for working together	
Increased commitment and inclusion of all participants and senior officials in supporting the project	
Agreements on major product issues	Written agreements on the issues*
Agreements on how the project will be managed	Written agreements on project management
Work plans for the first six to twelve months of the project	Written work plans

* If key decision-makers are not available or are unable to attend the workshop, then the group should develop recommendations to present to the decision-makers after the workshop.

SESSION 2: GETTING TO KNOW EACH OTHER

OVERVIEW AND PURPOSE

Total time: 60 Minutes

The purpose of this session is to provide an opportunity for the staff of the newly formed project to get acquainted with one another and to begin to build good working relationships. The intent is also to set an interactive and participative tone for the workshop and to demonstrate to the participants the importance of knowing more about the people they work with. During the session each participant is asked to spend some time interviewing another participant he or she does not know very well and then to tell the plenary group a little about that person.

A note about timing: If the group is very large (e.g., 70 people), there will not be enough time for each participant to make an introduction. In that case, the facilitator should choose a sample of people to be presented that provides a cross-section of the group (e.g., some of the foreigners, some field people, some central office people). Those not introduced in this manner may simply state their names and position at the end. (If participants arrive the night before, the get-acquainted task can be included in the welcome packet and drawn to the participants' attention so they will be ready to introduce someone during this session the following morning.)

PROCEDURES

1. Project Staff Interviews and Introductions

Time: 20 Minutes

a. Explain that the purpose of this session is for the participants to get to know one another better. Experience with similar projects has underscored how important it is for the staff to know more about each other in both a professional and personal way.

b. Ask the participants to pair up with someone they would like to know better and to take turns interviewing each other. Each person will then use the data from the interview to introduce the other person to the large group. Write the instructions for this activity on **Flipchart 5** in advance.

Small Group Activity: Interviews and Introductions

- Pair up with someone you want to know better.
- Find out the following information about the person:
- Name and organizational affiliation.
- Parts of his or her background relevant to the project.

- # Number of people in his or her immediate family.

- # Favorite hobby or leisure time activity.

- # Prepare to introduce the person to the large group.

Fifteen minutes is allotted for the two participants to interview each other.

2. Presentation in Large Group Time: 35 Minutes

a. Provide a model of how to introduce someone in a succinct way by going first. The introduction should be light and easy with frequent humor. The purpose is not to produce a set of talking resumes but rather to give people an opportunity to find out some interesting things about one another.

b. When the introductions are finished ask the following questions:

- # Are there any general observations you could make about the type of people working on this project?

- # What, if any, were some of the things you were surprised about?

- # If you could use only one word to sum up this group what would it be?

3. Summary and Link to Next Session Time: 5 Minutes

Comment briefly on the characteristics of the group and how they as a team will be absorbing a lot of new information about the project and its current status in Session 3 (Sharing Project Information).

MATERIALS

Flipchart 5, Procedure 1b (Small Group Activity: Interviews and Introductions)

SESSION 3: SHARING PROJECT INFORMATION

OVERVIEW AND PURPOSE *Total Time: 2 Hours*

The purpose of this session is to let each person know what USAID and the host government have agreed to in this project. It also provides an opportunity to raise and resolve questions about the purpose, goals, outputs, general strategy, and history of the project. People knowledgeable about the project should attend the session and be prepared to brief participants and answer questions on the above-mentioned subjects.

PROCEDURES

1. Introduction Time: 5 Minutes

a. Explain the purpose of the session and how it will be organized. The following overview should be presented on **Flipchart 6** so the participants understand how the session will be organized.

Overview of Session 3

- Presentation by:
- (Name of host government official)
- (Name of USAID representative)
- (Other names as appropriate)
- Small groups develop questions
- Question-and-answer session between groups and a panel of the presenters

b Acknowledge that, depending on how long people have been involved, they may be at different points in their understanding of the project. This session is an opportunity to begin to achieve a common level of understanding among all the participants.

2. Panel of Speakers about the Project Time: 30 Minutes

a. Assist the speakers in getting ready. Prior to this session you should have met with them and explained what should be covered in their presentations.

Preparation Notes: If at all possible, the key points of the speakers' talks should be outlined on flipcharts and referred to during their presentations. The speaker most knowledgeable about the history of the project should present the most significant project events up to then or over the life of the project. These should be listed in advance on **Flipchart 7** and explained in enough detail to adequately update the workshop participants. Other visual material may include project area maps, graphs, budget summaries, and/or other project information.

b. Explain to the participants that although they will be meeting later to develop group questions for the panel, they should still feel free to ask clarifying questions if they wish.

c. Introduce each speaker on the panel and manage the time and flow of clarifying questions.

3. Groups Develop Questions Time: 30 Minutes

a. Divide the participants into groups of four to seven and ask them to formulate questions they want to address to the panel about the project.

b. Use **Flipchart 8** to review this activity and distribute **Handout 4** on the objectives, and possible inputs and outputs of the project. This information should be readily available from the project paper and/or log frame for the project. If the information is not easily duplicated, write it on **Flipchart 9** in advance.

Small Group Activity: Developing Questions about the Project

- Meet in your group. Review **Handout 4** or other materials.
- Write up a list of questions you want to address to the panel.
- Agree on the five questions that your group most wants to ask.

4. Question-and-Answer Session Time: 50 Minutes

Set up the panel members at the front of the room. Post a blank flipchart that can be used to record key issues or questions which arise during the discussion so that you can go back to them at a later point. Explain that each group of participants will get to ask one question before going on to the next group. Move from group to group until everyone's questions have been answered.

Note: Depending on time constraints and the familiarity of the participants with the background of the project, it may be preferable to modify procedures 3 and 4. The change would be to give the participants five minutes of individual time to come up with questions and then to move directly to questions for the panel.

5. Summary and Link to Next Session Time: 5 Minutes

Thank the panel members for their participation. Review the list of issues and questions generated during the panel discussion and show on the schedule where they will be addressed. While referring to the schedule, link this session to Session 4 (Overview of the Facilitator's Findings).

MATERIALS

Flipchart 6, Procedure la (Overview of Session 3)

Flipchart 7, Procedure 2a (Significant Project Events)

Flipchart 8, Procedure 3a (Small Group Activity: Developing Questions about the Project)

Flipchart 9, Procedure 3a (Project Objectives and Inputs and Outputs)

Handout 4 (Project Objectives and Inputs and Outputs)

Project Objectives and Inputs and Outputs

(To be prepared for each individual project.)

SESSION 4: OVERVIEW OF FACILITATOR'S FINDINGS

OVERVIEW AND PURPOSE

Total time: 30 minutes

The purpose of this session is to present the key issued, problems, and concerns that should be discussed and resolves (if possible) before the workshop ends. During the week prior to the workshop, the facilitator conducts an in-depth interview with most of the participants, analyzes the data from those interviews, and organizes it in a systematic way so that the key issues are identified. "Issue statements" should have been written prior to this session and reviewed by the project/workshop steering committee. During this session the facilitator presents the issues to the participants, acting as a neutral third party. The issues should be limited to the eight to ten that have the highest priority.

PROCEDURES

1. Explanation of the Data-Gathering Process Time: 5 Minutes

Explain how the data-gathering process was carried out and, if it is appropriate, mention the people you interviewed. Point out how important it is in a workshop of this type to get the views of all the major figures involved with the project.

Comment briefly on how the interviews went and state some of your overall impressions.

2. Presentation of Key Issues Time: 10 Minutes

a. Tell the group that the issues you are about to present are essentially a reflection of their concerns.

Your explanation might go something like this. . .

> "What I am attempting to do is hold up a mirror and reflect back to you what most of you told me was on your minds about the project.
>
> "Any time somebody tries to retell someone else's concerns there is room for inaccuracy or misrepresentation. However, these issues are mentioned because during the interviews, a number of you said these were your concerns.
>
> "This review then is an opportunity for all participants to be sure that their concerns are accurately represented in the workshop proceedings.
>
> "…In addition, this review is also a time to hear what others are concerned about."

b. Review the list of concerns. These should be listed in advance on **Flipchart 10**. The flipchart should be entitled "Key Project Issues." Each issue should be explained briefly but in enough detail so everyone understands it. Distribute the list of issues to participants (**Handout 5**) so they can follow along.

c. Check for understanding throughout the presentation.

3. Clarification and Agreement on Key Issues Time: 15 Minutes

Once the issues are stated, check to see if any clarifications are in order. This must be done carefully to insure that an issue does not become "one person's axe to grind" and to keep unrepresentative new issues from being raised.

Note: It is important to avoid *discussing* the issues at this time. The intent here is to simply identify the issues that will be addressed. Show the participants that one-and-a-half days are scheduled for discussion of the issues. State that the first issues to be dealt with relate to project management which will be covered in Session 5.

MATERIALS

Flipchart 10, Procedure 2b (Key Project Issues)

Handout 5, Procedure 2b (Key Project Issues)

Handout 5
Session 4

Key Project Issues

(To be prepared for each individual project)

SESSION 5: PROJECT MANAGEMENT

OVERVIEW AND PURPOSE

Total Time: 3 Hours

The purpose of this session is to provide an opportunity for members of each of the principal groups associated with the project to share their expectations about how the project should be managed. Once all of the parties have presented their expectations in terms of the six aspects of project management, each group has a chance to review and clarify the others' expectations. Finally the groups develop and agree on a working set of project management guidelines.

PROCEDURES

1. Introduction and Overview of Session Time: 5 Minutes

a. Introduce the session by referring back to the list of issues (**Flipchart 10**) and point out those that relate to project management. Give some examples of what happened in other settings when such issues were not addressed. Your introduction could include the following points:

   # Many projects flounder when it is unclear who makes decisions.

   # What happens when a project consultant is unacceptable? What is the procedure for documenting the problem and changing staff?

   # How often should USAID, the host agency project managers, and the technical assistance team leader meet?

   # What are the procedures for letting people know of changes or important project information?

   # What are the reporting requirements? In what form should reports be submitted? How should the technical assistance team leader divide his time between writing reports and managing the staff?

   Many problem areas such as these can cause a project to get into trouble.

b. Use **Flipchart 11** (prepared in advance) to present the following overview of the session.

Overview of Session 5

Presentation on the management picture of the project

Presentation on the six aspects of project management

Groups develop their expectations

Clarification of expectations

Response to expectations

Develop working agreements

2. Lecturette on Management Picture of Project Time: 15 Minutes

a. Develop a simple visual to explain the overall management picture of the project. This should include the key government agencies, USAID, the contractor, and any other organizations, such as private voluntary organizations or multilateral agencies. The visual should show how the project is structured. It should be prepared in advance on **Flipchart 12**.

b. Discuss the visual in a brief lecturette that might go like this

> The management of this project is complicated by the fact that there are at least three distinct groups (USAID, the contractor, and the implementing government agency) with major responsibilities for the successful completion of this project. Each of these groups is usually coordinated by one individual.
>
> In order to keep the project running smoothly and to satisfy the management requirements of each of the above groups, there are six critical aspects of project management that must be considered.
>
> As you consider how you plan to manage this project, we suggest that you decide how you will account for the following aspects of project management. (Use **Flipchart 13** and **Handout 6** to present the six aspects of project management.)

Aspects of Project Management

1. Sharing information
2. Organizational Relationships (who is responsible to whom)

3. Formal Reporting Requirements (frequency and format of written reports)
4. Decision Making
5. Monitoring Performance
6. Planning

The most effective way for us to consider the management of this project is to find out what each of us expects of the other in terms of each aspect. Then we can discuss and reach agreements. For example...

- USAID may want to make it clear that they have/do not have concurrence on changes in the long-term technical assistance staff.

- The (implementing government agency) may want to make it clear that final approval for implementation of project activities is its responsibility and not the responsibility of the technical assistance team leader.

- The technical assistance team leader may want to make it clear that the project cannot work unless counterparts are assigned in a timely manner and given the freedom to spend time on project activities.

3. Small Groups Develop Management Expectations Time: 45 Minutes

a. Assign people to meet in the project groups with which they are affiliated. Usually the affiliations are with the host government, the contractor or the technical assistance team, and the USAID staff. Because the number of people representing these groups will vary you may have to use subgroups in order to include everyone in the discussions. (Assign no more than eight or ten participants in each subgroup for the best exchange of views.) Try to have no more than four project groups or the exercise will become very complicated.

Note: If the group is large (over 25), individuals who are not in leadership positions need not participate actively in this session but could act as observers.

b. Write the instructions on **Flipchart 14** in advance. Distribute **Handouts 7** (Questions: Management Expectations) and **8** (Sample Matrix: Management Expectations). Then explain the group activity using a flipchart and the handouts.

Small Group Activity: Management Expectations

Meet and discuss the responses to the following questions (Handout 7):

- How do you expect the other two groups to share project-related information with you? (What type, how much, how often?)
- What would be an ideal working relationship with the other project entities (technical assistance team, government agency, USAID, etc.)?
- What kind of written reports do you expect to prepare or receive from the others?
- How do you expect to make decisions that involve the other two groups?
- How do you expect to monitor individual and overall project performance? (and give feedback?)
- To what extent will you involve the other two groups in planning project activities?
- What other expectations do you have of the other entities? List them separately.

Write your responses to the questions on a flipchart. Use **Handout 8** (Sample Matrix) as a model to format your responses on a flipchart. Make sure you consider the questions for all of the affiliated project groups.

4. Clarification of Project Management Expectations Time: 30 Minutes

Have representatives from each group use the flipcharts to present their expectations. There should be no discussions about these. That will come in the next step.

5. Groups Review and Discuss Each Other's Expectations Time: 20 Minutes

Have the same groups meet again to review what the other groups expect of them and to decide whether or not they agree with the expectations. If they disagree they should indicate how they would modify the expectation.

6. Groups Reach Agreement about Expectations Time: 75 Minutes

Let each of the groups present their item-by-item reactions to the expectations. Help the groups reach agreement and record any modifications.

7. Closing and Link to the Next Session Time: 5 Minutes

Refer back to **Flipchart 10** (Key Project Issues) and note which of the issues concerning project management have been discussed and resolved. Then tell the participants that the agreements worked on that day will be typed and duplicated and given back to them before they leave. If there are any unresolved issues that need to be discussed, point out when this might occur in the schedule. One obvious opportunity is during Session 8 (Presentation of Agreements and Work Plans to Senior Officials).

MATERIALS

Flipchart 11, Procedure lb (Overview of Session 5)
Flipchart 12, Procedure 2a (Management Picture of the Project)
Flipchart 13, Procedure 2b (Aspects of Project Management)
Flipchart 14, Procedure 3b (Small Group Activity: Management Expectations)

Handout 6 (Aspects of Project Management)
Handout 7 (Questions: Management Expectations)
Handout 8 (Sample Matrix: Management Expectations)

FACILITATOR NOTES

1. One issue not addressed here is how the technical assistance team can meet to consider the same management issues internally. If there are a large number of contractor staff, a separate team-building event could be held. This matter may need to be addressed before the workshop as part of the preparation for the technical assistance team.

2. the number of participants is large or if there are more than three affiliated project groups, an alternate design may be appropriate for this session. The alternative would be to extend the time for Procedure 4 (Clarification of Project Management Expectations). This would allow time to assure that everyone understands the rationale that went into the written expectations of each group. Then a synthesis group, comprised of one representative from each of the subgroups, could be given the task of reviewing the expectations of each group and formulating overall recommendations for project management. This synthesis group could meet while the others begin Session 6. They would then present their recommendations for discussion at the end of Session 6.

   A second option, if there are more than three affiliated project groups, is to have each group post, rather than present, its expectations. Then you as the facilitator ask the participants to mill around and read the flipcharts, noting any questions or clarifications. After the participants have read all the charts, ask for questions, discussion, and appropriate modifications. This would replace Procedures 4 through 7.

ASPECTS OF PROJECT MANAGEMENT

1. Sharing Information
2. Organizational Relationships (who is responsible to whom)
3. Formal Reporting Requirements (frequency and format of written reports)
4. Decision-Making
5. Monitoring Performance
6. Planning

QUESTIONS

Management Expectations

1. How do you expect the other two groups to share project-related information with you? (What type, how much, how often?)

2. What would be an ideal working relationship with the other project entities (technical assistance team, government agency, USAID, etc.)? What kind of relationship should consultants have with counterparts? Where should the consultant's office be located? etc.

3. What kind of written reports do you expect to prepare or receive from others?

4. How do you expect to make decisions that involve the other two groups?

5. How do you expect to monitor individual and overall project performance?

6. To what extent will you involve the other two groups in planning project activities?

7. What other expectations do you have of the other project entities?

SAMPLE MATRIX

Management Expectations

Government Agency Expects of

Expectations	USAID	Technical Assistance Team
1. Sharing information		
2. Ideal working relationship		
3. Written reports		
4. Decision-making		
5. Monitoring performance		
6. Involvement in planning		
7. Other		

SESSION 6: DISCUSSION OF KEY PROJECT ISSUES

OVERVIEW AND PURPOSE

Total time: 7-8 Hours

The purpose of this session is to discuss key project issues, concerns, and problems and come up with ways of resolving them. Since the number and complexity of issues will vary according to a particular project, the amount of time spent on this session will vary. If there are many issues, this session may take a day, thus making the workshop a full four-day event.

The session begins with a quick restatement of the issues reviewed and clarified during Session 4. Then the issues are assigned to small work groups to draft recommendations to be discussed in a plenary meeting. How the participants are assigned to particular work groups will depend on the number of issues, the nature of the issues, and the people available to discuss them. It is suggested that the facilitator work with the workshop steering committee or leadership to pre-select assignment to issue groups. Examples of issues are discussed in Section Two of this guide and a list of typical project issues appears at the end of this session. The basic design allows for two rounds or about eight to ten issues to be discussed. It probably will be appropriate to form new groups for the second and third rounds.

PROCEDURES

a. Begin this session by linking it to the three previous sessions, in which project issues related to management and approaches for working together were identified and discussed. Your comments might go something like this...

> "This session is a continuation of the process we began yesterday of addressing and resolving key issues related to the start-up of this project. As the key implementers of the project, you should feel a real sense of accomplishment for coming to terms with these most pressing issues. (Refer to the issues covered in Session 5.)
>
> "By spending the rest of the day addressing the remaining issues, you will be able to make a list of action items. Some of these may be built into the work plans you will do tomorrow."

b. Quickly review the remaining issues that need to be discussed. Refer to **Flipchart 10** (Key Project Issues).

c. Explain how the session will be conducted. (The following overview of the session should be prepared in advance on **Flipchart 16**.)

Overview of Session 6

1. Round One: (45-60 Minutes)

   Three or four different groups address a different issue.

2. Plenary Meeting: (45-60 Minutes)

   # Each group presents its recommendations

   # Total group discusses, modifies, and agrees.

3. Round Two: (45-60 Minutes)

   Three or four different groups each address a different issue.

4. Plenary Meeting: (45-60 Minutes)

   # Each group presents its recommendation.

   # Total group discusses, modifies, and agrees.

Note: The most complex and potentially difficult issues should be scheduled for round one so that if there is a need to spend more time on an issue, it can be dealt with further in round two.

2. Develop Draft Recommendations: Round One Time: 50 Minutes

Assign issues to appropriate pairs or trios, depending on the size of the group and the nature of the issues. (Write the following directions on **Flipchart 17** in advance.)

Small Group Activity: Developing Draft Recommendations

Meet in your assigned group and develop answers to the following questions:

1. Why is this issue important?

2. What can be done to resolve the issue?

Select a person to lead the discussion, watch the time, and list the recommendations on a flipchart.

Prepare to present the recommendations to the full group.

3. Plenary Presentations Time: 45-60 Minutes

Let each group post its flipchart and explain its recommendation(s). Facilitate a large group discussion on the merits of the recommendations and check for overall group agreement on the recommendations and/or modifications.

4. Develop Draft Recommendations: Round Two Time: 45-60 Minutes

Assign the next set of issues to appropriate groups and let them develop draft recommendations. The composition of the groups may change according to the nature of the issues.

5. **Plenary Presentations: Round Two** Time: 45-60 Minutes

See Procedure 3 above.

Note: If necessary, set up additional rounds to resolve any remaining issues. Remember that by expanding this session, the workshop will end later on the fourth day. If the issues are particularly complex, you may decide to extend the small group or the plenary time accordingly.

MATERIALS

Flipchart 16, Procedure 1c (Overview of Session 6)

Flipchart 17, Procedure 2 (Small Group Activity: Developing Draft Recommendations)

Handout 9 (Small Group Activity: Developing Draft Recommendations)

FACILITATOR'S NOTES

Typical Issues

1. How do we assure the smooth interface between the technical and institutional development aspects of the project?

2. What should the relationship be between the major divisions of the project?

3. How can we demonstrate a sense of accomplishment (in the institutional development area of this project) to a ministry which is used to dealing with (physical) construction projects?

4. What ministry (agency) or other staff does this project need for the implementation team? What is the process for getting this staff on board?

5. How can we inform other government officials (those outside the ministry affiliated with this project) about what this project is about?

6. What is the process for involving community people, other organizations, other ministries, etc., in this project from the very beginning?

7. How will we phase in or out new procedures or equipment?

SMALL GROUP ACTIVITY

Developing Draft Recommendations

Meet in your assigned group and develop answers to the following questions:

1. Why is this issue important?

2. What can be done to resolve the issue?

Select a person to lead the discussions, watch the time, and list the recommendations on a flipchart.

Prepare to present the recommendations to the full group.

SESSION 7: DEVELOPING A WORK PLAN FOR THE PROJECT

OVERVIEW AND PURPOSE

Total time: 7-8 Hours

The purpose of this session is to develop action plans for the first six to twelve months of the project. In order to continue the team-building aspect of the workshop and insure the development of practical, useful plans, the participants meet in project subgroups or areas, depending upon the project organization (e.g., project management team, engineering group, training group, etc.).

In the first part of the session the facilitator explains how the planning will be done and the format that will be used. The participants then meet to review the major tasks outlined in the proposal and the official project documents for the first year of project activity. However, realistic planning will need to take into account current conditions and personnel. Appropriate changes are made where necessary and a final agreed-upon list of tasks is presented for each project area. Each group presents its list in a plenary session for review and discussion.

The groups then meet again and develop a set of action steps for each major task in their area. These actions steps are listed on a flipchart and, if time permits, shared in another plenary meeting. The revised tasks and action steps for each project area are turned over to a typist and reproduced in the proper planning format.

PROCEDURES

1. Introduction — Time: 15 Minutes

a. Introduce the session by explaining its purpose and how it will be carried out. (The following overview of the session flow should be prepared in advance on **Flipchart 18**.)

Overview of Session 7

1. Meet in project subgroups or areas to

    # Review the original tasks listed in the proposal/project paper.

    # Develop an up-to-date list of realistic project tasks.

2. Plenary Meeting

    # Each group presents its list of tasks for review

    # The full group discusses, modifies, and agrees.

3. Project area groups meet to

    # Plan action steps for each task.

    # Assign resources, responsibility, and dates for each task.

4. Plenary meeting

    # Each group presents its action plan for each task.

    # The full group discusses, modifies, and agrees.

5. Tasks, action steps, resources, person(s) responsible, and dates are type and duplicated in action-planning format.

Note: Because the number of project areas and workshop participants vary, it will be necessary to adjust the time for each of the above steps. Most groups will be able to agree on a set of general-level tasks for their area in about 45 to 60 minutes. With about four or five groups reporting back the plenary meeting could take up to an hour-and-a-half. The planning of action steps for each task could take five or six hours. The wrap-up plenary meeting could take anywhere from one-and-a-half to two hours.

b. Give examples of the type of tasks and the level of specificity expected. **Handouts 10 and 11** are two sample formats for developing a work plan. Handout 10 has only one locus of responsibility, while Handout 11 provides a more complex breakdown of the various roles for participants in an action step. Distribute the format which you prefer and make sure everyone understands the format. Of you choose Handout 10, be sure to point out the difference between tasks and action steps for each area. (A task is broad and the action steps are what is required to accomplish the task.) Generally, the work planning format should be agreed upon prior to the start-up workshop.

2. Develop Tasks for Each Project Area Time: 60-90 Minutes

a. Often there is new information about budget and staffing that is not included in the proposal or project paper. This is a good time for someone to present and explain the latest data available. Such information should be prepared in advance and the highlights listed on **Flipchart 19** or passed out as **Handout 12**.

b. Use **Flipchart 20** to review the group activity. Before the workshop it should be decided what period of time the work plan will cover. The range is six to twelve months, with the exact timing depending on such factors as the fiscal year, government planning cycle, etc.

Small Group Activity: Identifying Major Tasks

- # Meet in project area groups.
- # Review the work plan in the project proposal for your area.
- # Identify 10 to 15 major tasks in your area that can realistically be done by a given date.
- # List these on a flipchart.
- # Prepare to present them to the full group.

3. Plenary Presentation of Project Area Tasks Time: 60-75 Minutes

a. Have each group post its flipcharts and explain its list of tasks.

b. Facilitate a large group discussion on how realistic each set of tasks is. Let the participants suggest modifications where necessary.

4. Develop Action Plans for Project Area Tasks Time: 5 Hours

a. Explain that the next step is to develop complete action plans for each task. Use an example from one of the groups to explain how to fill out the form.

b. Use **Flipchart 21** to explain how the next level of action planning will be carried out.

Small Group Activity: Developing Action Plans

- # Meet in the same project area groups.
- # Assign certain tasks to individuals or pairs within each group.
- # Each pair or individual should identify the activities required to complete their assigned tasks.
- # Meet together in order to
- # Agree on the action steps for each task.
- # List the resources and starting and ending dates and assign responsibility for each task.

5. Plenary Presentation of Action Plans for Each Area's Tasks Time: 90 Minutes

Facilitate each group's presentation and check for overall agreement. Look for possible scheduling conflicts.

6. Wrap Up Time: 5 Minutes

Explain to the participants that all work plans will be typed up and returned the next day. Review the next day's schedule and remind participants about the need to meet early in order to prepare for Session 8 (Presentation of Agreements and Work Plans to Senior Officials).

MATERIALS

Flipchart 18, Procedure 1a (Overview of Session 7)

Flipchart 19, Procedure 2a (Update of Project and/or Budget Information)

Flipchart 20, Procedure 2b (Small Group Activity: Identifying Major Tasks)

Flipchart 21, Procedure 4b (Small Group Activity: Developing Action Plans)

Handout 10 (Sample Work Plan Format)

Handout 11 (Work Plan Activities List and Coordination Chart (Alternative Format))

Handout 12 (Update of Project and/or Budget Information)

SAMPLE WORK PLAN FORMAT

Area ____

GROUP MEMBERS

1.
2.
3.
4.
5.

Action Steps	Resources Required	Who is Responsible	Date	
			Start	End

			Date	

WORK PLAN ACTIVITIES LIST AND COORDINATION CHART

ACTION STEPS	START DATE	END DATE	ORGANIZATION/INDIVIDUAL RESPONSIBILITY										

Code for Organization/Individual Responsibilities

C = Coordinates
S = Supervises
R = Responsible
P = Plans
A = Authorizes

M = Monitors
R = Reports
RR = Receives Report
I = Initiates

Update of Project and/or Budget Information

(To be prepared for each individual project.)

SESSION 8: PRESENTATION OF AGREEMENTS AND WORK PLANS TO SENIOR OFFICIALS

OVERVIEW AND PURPOSE

Total Time: 4 Hours

The purpose of this session is to share the results of the workshop with a wider audience. The session also provides an opportunity for senior decisionmakers to discuss project issues and endorse participants' plans. It is the last opportunity in the workshop to ensure that everyone concerned understands and agrees with the plans and the decisions made about key issues.

The first part of the session is set aside for the participants to organize an agenda and decide who will be involved in the presentations to the senior officials. The final two to three hours of the session is a large group meeting with senior officials to cover the following agenda items: reports on key project issues, overview of the project work plans for the next six to twelve months, and concluding remarks by the attending senior officials.

Suggested senior officials to invite to this session include the USAID mission director or designate, the minister or permanent secretary of the sponsoring ministry, representatives of other international donors, local directors of private voluntary organizations, and other governmental representatives who will collaborate in the project in some way (finance or budget, etc.).

PROCEDURES

1. Overview of the Session and Group Task Time: 60-90 Minutes

a. Give a quick overview of how the morning will be organized. The session will begin with one hour of preparation; the remainder of the morning will be used for the meeting itself.

Note: It may be possible to instruct the group on how to prepare for the meeting the day before in the late afternoon. This would allow presenters to work on their presentations the evening before.

b. Present the following agenda as a suggested outline for what will be covered in the meeting. The list of issues on the agenda should be cleared beforehand with the USAID project manager, project director, and the team leader. As the agenda is reviewed, individuals should decide who will present specific parts. Once that decision is made, participants should meet in appropriate work groups to develop a brief one-page summary on a flipchart of their points or work plans. (Write the agenda on **Flipchart 22** in advance.)

Overview of Session 8

- **#** Overview of Workshop and Today's Agenda
- **#** Discussion of Key Project Issues

  (List of five to ten issues most critical to the project and the names of the persons who will be presenting them.)

- **#** Tea and Coffee Break
- **#** Overview of Work Plans for Six to Twelve Months
- **#** Concluding Remarks by Senior Officials

2. Presentations and Large Group Meeting Time: 2-3 Hours

The USAID Project Manager or agency Project Manager should probably lead the meeting by introducing each of the presenters and keeping the discussions short and timely. The group should try to reach a decision on as many items as possible.

3. Wrap Up Time: 5 Minutes

Following the concluding remarks by senior officials, the leader of the meeting should thank everyone and make any personal observations he or she chooses. If a closing ceremony is culturally a requirement, it may be conducted at the end of this session. Otherwise the closing remarks of the senior officials should serve to officially close the workshop.

Note: the final activity in the workshop is to complete an evaluation form. This should take about 20 minutes. The facilitator has the option of either doing this at the end of this session or waiting until after lunch. This depends entirely on the timing of the presentations.

MATERIALS

Flipchart 22, Procedure 1b (Overview of Session8)

Note: If senior officials cannot attend, then a review panel of the most senior staff present at the workshop should be formed to respond to the presentations.

SESSION 9: CLOSING AND EVALUATION OF WORKSHOP

OVERVIEW AND PURPOSE

Total Time: 30-60 Minutes

The purpose of the evaluation session is to provide feedback to the workshop organizers and the facilitator on the effectiveness of the proceedings. The information gained may also point out unresolved or difficult issues which will need to be dealt with after the workshop.

PROCEDURES

1. Instructions

Time: 5 Minutes

Explain to the group the purpose of the evaluation. Stress that it is very important to the organizers and the facilitator to know how effective the workshop has been and if there are things which are still on the participants' minds which may need to be addressed in follow-up activities.

Ask the participants to take all of the time they need to be thoughtful about the evaluation questions. Point out that the evaluation is set up with two types of questions: numeral ranking questions to determine the extent to which the participants felt the goals of the workshop were achieved; and open-ended questions to find out their opinions on a number of issues.

Explain that the questionnaire is anonymous. No names are required.

2. Fill Out Questionnaire

Time: 25 Minutes

The participants are given the questionnaires (a suggested format is included as **Handout 13**) to fill out. The participants hand them in as they leave the room.

MATERIALS

Handout 13 (Evaluation Form)

Handout 13
Session 9

PROJECT START-UP WORKSHOP EVALUATION FORM

A. Workshop Goals

The goals of the workshop are listed below. Mark the number that most closely indicates how you feel each goal has been achieved. The scale is from 1 (low, goal not achieved) to 5 (high, goal achieved very well).

Not Achieved   Achieved Very Well

1. To exchange current project information that is essential to beginning the project.

   1   2   3   4   5

2. To gain agreement on and commitment to project goals and activities.

   1   2   3   4   5

3. To provide an opportunity for the project team to become acquainted.

   1   2   3   4   5

4. To agree on the roles and responsibilities of the technical assistance team, USAID, and the project sponsoring agency.

   1   2   3   4   5

5. To agree on procedures for managing the project.

   1   2   3   4   5

6. To clarify expectations for working together.

   1   2   3   4   5

7. To discuss and develop strategies for the most important issues that will affect the project.

   1   2   3   4   5

8. To develop work plans for the first six to twelve months of the project.

1	2	3	4	5

B. Opinions and Feedback

Please answer the following questions as thoughtfully as you can within the time. Your answers will help us plan other conferences in the future and will also indicate if there are concerns which need to be addressed in follow-up activities.

1. What do you think has been the primary benefit of this workshop?

2. What workshop activity could have been done better?

3. Do you believe there are unresolved issues that should be dealt with in follow-up activities? What are they, and what should be done about them?

4. What comments do you have about the workshop arrangements and accommodations?

5. What final comments do you have for the workshop facilitator on his or her performance?

APPENDIX A

Pre-planning Issues

Pre-planning Issues

Before the facilitator begins his or her work, a number of planning issued should be addressed. These issues should be resolved prior to interviewing the major stakeholders. If USAID is sponsoring the workshop, the items would probably be cabled to the USAID mission. These planning issues are as follows:

1. Tentative agreement on the overall workshop goals as suggested in this guide.

2. Agreement on the exact date.

3. Approximate number of full-time participants.

4. Schedule of individual interviews the week before the workshop.

5. Identification of a workshop site, preferably residential, with adequate meeting space for plenary and break-out sessions.

6. Appointment of a steering committee that the workshop facilitator can work with. The steering committee's role will be to clear the final agenda, provide guidance, be responsible for final logistic arrangements, and solve problems.

7. Provision of workshop materials, including flipchart easels, flipchart paper, markers, participant notebooks, a duplicating machine, and routine office supplies.

8. Arranging for at least one full-time on-site secretary, who will be responsible for typing up the group's products each day and making copies.

APPENDIX B

Model Letter to Send to the Participants before the Workshop

Model Letter to Send to the Participants before the Workshop

(This letter should be modified as appropriate and sent to all participants prior to the workshop to give them a good idea of what the workshop will be about.)

Dear Participant:

The project start-up workshop for the new ________________________________ Project
(Name)

will take place from ____________________ to ________________________.
(Date) (Date)

We expect that this workshop will help us get off to a good start on the new project. This letter is intended to tell you a little about what you can expect at the workshop.

In general, the workshop is intended to help us reach a common understanding about the project's purpose and goals, the roles of the project staff, the expectations of the various actors, and agreements about how the project will be managed. The workshop should enable us to shorten the time needed to get the project up and running and to anticipate key implementation issues. The three aspects of the workshop are as follows:

- development of a project team
- project management, and
- start-up planning.

Specifically, the goals of the workshop are to

- exchange current project information that is essential to start-up,
- gain agreement on and commitment to project goals and activities,
- provide an opportunity for the project team to become acquainted,
- agree on the roles and responsibilities of USAID, the contractor team, and

  ____
  Host Government Agency

- agree on procedures for managing the project

- clarify expectations for working together,

- discuss and develop strategies for dealing with the most important issues that will affect the project, and

- develop work plans for the first year of the project.

The workshop will be led by ________________________. He (or she) is an experienced workshop
(Name)

leader who will assist us in achieving the workshop goals. He (or she) will interview a number of the participants before the workshop to determine what the key issues and concerns are for this project.

The workshop will start at __________________ on ________________________________.
(Time) (Date)

We expect to finish at __________________ on ________________________________. (Include
(Time) (Date)

transportation arrangements if applicable.)

We are confident you will find the project start-up workshop useful and enjoyable. We are looking forward to your participation.

Sincerely

Name
Title

APPENDIX C

Items to Translate

(If the workshop is conducted in a language other than English)

Items to Translate

If the workshop is to be conducted in a language other than English, a number of items should be translated in advance. These items are listed below.

1. Workshop Objectives (Handout 1)
2. Workshop Schedule (Handout 2)
3. Expected Outcomes (Handout 3)
4. Aspects of Project Management (Handout 6)
5. Management Expectations (Flipchart 14)
6. Working-Styles Questionnaire (Handout7)
7. Sample Work Plan Format (Handout 8)
8. Evaluation Form (Handout 10)