



GOVERNMENT OF THE REPUBLIC OF MALAWI

# **Ministry of Irrigation and Water Development**

## **Water Supply and Sanitation District Operational Manual**



**July 2010**

# **Water Supply and Sanitation District Operational Manual**

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# FOREWORD

The overarching objective of Malawi's Growth and Development Strategy (MGDS) is to reduce poverty by enhancing rapid economic growth while at the same time improving service delivery. Water and sanitation are among the key sectoral measures and crosscutting issues to be addressed. The MGDS targets for the medium and long term are consistent with the Millennium Development Goals (MDGs). For water supply, the MDGs target is to halve, by 2015, the proportion of people without sustainable access to safe drinking water and sanitation.

The primary objective of the water supply and sanitation programmes is to support the implementation of the National Water Policy (2005) and National Sanitation Policy (2008). The aim of the Policies is to guide the country in the management and development of its water resources using the Integrated Water Resources Management principles; improving the institutional and legal framework; ensuring sustainable delivery of water supply and sanitation services; effective involvement of the private sector and protection of the environment among others.

The water supply and sanitation Programmes aims at addressing constraints in service delivery, by developing district-based, community-managed approach to rural water supply and sanitation services; constructing/rehabilitating piped and point source water supplies; promoting hygiene and sanitation. This is to ensure convenient access to safe water and improved sanitation to the community to underpin economic development.

The Ministry responsible for water affairs and other stakeholders consolidated experiences in implementing water supply and sanitation programmes at district level to develop this operational manual. Therefore this manual provides operational guidelines for implementation of water supply and sanitation programmes at district level.

Hon. Richie B. Muheya, M.P.

**MINISTER OF IRRIGATION AND WATER DEVELOPMENT**

## List of Abbreviations/Acronyms

ADC	Area Development Committee
AEC	Area Executive Committee
AEHO	Assistant Environmental Health Officer
CBM	Community Based Management
CLTS	Community Led Total Sanitation
DC	District Commissioner
DCT	District Coordination Team
DDF	District Development Fund
DEC	District Executive Committee
DEHO	District Environmental Health Officer
DESC	District Environment Sub Committee
DoF	Director of Finance
DPD	Director of Planning and Development
DRA	Demand Responsive Approach
DWO	District Water Officer
DWSP	District Water & Sanitation Plan
ESA	External Support Agency
EW	Extension Worker
EWT	Extension Worker Team
FMP	Facility Management Plan
IEC	Information, Education and Communication
IPC	Internal Procurement Committee
LA	Local Authority
LDF	Local Development Fund
LSP	Local Service Provider
LUO	Local Utility Operator
MASAF	Malawi Social Action Fund
M&E	Monitoring & Evaluation
MIS	Management Information Systems
MoIWD	Ministry of Irrigation and Water Development
NGO	Non Governmental Organisation
NWDP	National Water Development Programme
O&M	Operation and Maintenance
PHAST	Participatory Hygiene and Sanitation Transformation
RBM	Reserve Bank of Malawi
RWSSP	Rural Water Supply and Sanitation Programme
TA	Traditional Authority
VAP	Village Action Plan
VDC	Village Development Committee
VHWC	Village Health and Water Committee
VLOM	Village Level operation and Maintenance
WMA	Water Monitoring Assistant
WUA	Water Users Association
W&S	Water and Sanitation
WPC	Water Point Committee
WSH	Water/Sanitation/Hygiene

## Preface

The Government of Malawi is committed to reduce poverty especially for the rural people through the provision of adequate social, education and health services. As one way of improving health, government has placed provision of potable water supply and sanitation services high on the agenda.

Water supply and sanitation services are crucial to a country's socio-economic development. However, service provision in the rural and low income areas, has not been satisfactory. The piped water supply systems that exist in the rural areas cannot cope with the growing population if these are not rehabilitated, expanded and left to work beyond their economic life span. On the other hand, most boreholes experience frequent breakdowns due to ineffective village level operation and maintenance structures.

This District Operational Manual has been developed to harmonise and standardise approaches for carrying out water supply and sanitation services at district level. The manual highlights the roles and responsibilities of the District Council and other stakeholders in planning, implementation, monitoring and evaluation of water supply and sanitation activities to ensure sustainable management of the services.

The Government of Malawi through the Ministry of Irrigation and Water Development would like to acknowledge the assistance received from various individuals and organizations that made it possible for this manual to be developed and produced. The individuals and organizations are too many to mention. However, special gratitude is due to the various Development Partners for providing the necessary support and guidance towards this noble initiative.

It is the hope of the Ministry of Irrigation and Water Development that stakeholders will make use of this District Operational Manual in implementing water supply and sanitation programmes to ensure not only uniformity of approaches but also sustainability of the constructed facilities.

Sandram C. Y. Maweru

**SECRETARY FOR IRRIGATION AND WATER DEVELOPMENT**



# Chapter 1: Introduction

The Government of Malawi through the Ministry responsible for water affairs is responsible for the provision of safe water and improved sanitation and promotion of hygiene practices. The sector aims to ensure that all people have convenient access to water in sufficient quantity and of acceptable quality for basic use and that adequate sanitation is provided to all households and individuals for improved health.

The National Water Policy (2005) recognizes that management of the water facilities could best be done at the lowest appropriate level possible. In this respect, Local Authorities (LAs) and communities are to be involved in all stages of the implementation cycle from needs identification, choice of technology, levels of service, design, construction, mobilization of contribution towards capital costs, operation, maintenance and management of the systems.

This manual has been prepared, primarily, to guide the implementation of the Rural Water Supply and Sanitation Programme in Malawi. The manual mainly focus on the Local Authority and the institutions at both district and community levels especially the District Coordinating Team (DCT) that has been assigned by the Local Authority to plan and manage the rural water supply and sanitation programmes at district level.

The manual has been developed to assist LAs and other stakeholders in the effective implementation of Water Supply and Sanitation Programmes (WSSPs). It will provide LAs and various stakeholders including District Coordinating Teams (DCTs) with an overview of the WSSP and an outline of what is involved in implementing water supply and sanitation programmes, how it is done and who does what. The manual will serve as reference in the implementation of WSSP.

The users of the Manual may range from community, district, Non-Governmental Organizations to development partners. It is expected that the users will find this Manual very useful in the implementation, monitoring and evaluation of RWSSP at all levels.

This Manual shall be used alongside water and sanitation sector policies, strategy documents, guidelines and other manuals such as the following:

- Malawi Growth & Development Strategy;
- National Sanitation Policy;
- National Water Policy;
- Implementation Guidelines for Rural Water Supply and Sanitation;
- Implementation Manual for Piped Water Supply Systems and Point Water Sources;
- WUA formation guidelines;
- Various Technical Manuals for training and construction of water and sanitation systems/facilities.

## 1.1 Strategies for Water Supply and Sanitation Programmes

In WSSPs, the communities are at the centre of the process – they select, plan, site and help build their new water system or sanitation facility. Once it is built they own it and are responsible for maintaining it. If it breaks down, they repair it and pay for the spare parts, repairs and service providers.

The key strategies for WSSP are as follows:

- **Responding to demand:** The programme only assists communities, which express a demand. Communities make a written request for a new facility and are assisted to develop a detailed proposal for this facility and then how to construct it.
- **Cost Sharing:** Communities contribute to the capital cost (up front contributions in cash) of water supply facilities to demonstrate a sense of ownership of their ability to cover costs; government or External Support Agencies (ESAs) provide most of the funds for the capital cost (at a basic level); Communities cover 100% of operation and maintenance costs.
- **Public Private Partnership:** to encourage public private partnership in water supply and sanitation infrastructure development and management in collaboration with other stakeholders including community, central government, local authorities and NGOs.
- **Central Government as a Facilitator:** Government role is to facilitate the involvement of all stakeholders and their capacity building and monitor the quality of work done by the private sector.
- **Local Authorities as the focal point for decentralised implementation:** LAs, as the arm of government at the district level, have a pivotal role to play in planning, supporting and monitoring project implementation.
- **Private Sector as provider of goods and services:** Private companies, local artisans or NGOs are expected to provide various services e.g. mobilization, training, siting, construction, spare parts supply, repair and maintenance.
- **“Some for all” not “all for some”.** The objective is to ensure that all communities have access to a minimum standard of water supply. Those communities that want higher standard are expected to cover extra costs.
- **Women’s Involvement:** Women are the major users of water in the community so they should take a lead role in planning and managing the new community water systems. Women will be represented equally on all management committees.
- **Promotional of behavioural change:** rural water supply and sanitation programmes will not stop with the construction of water and sanitation facilities. Through hygiene education, it will also encourage the hygienic use of these facilities in order to maximize health benefits.
- **Capacity Building:** The rural water supply and sanitation programmes involve development of capacities of various stakeholders.

## **1.2 Implementation Approach**

WSSP is implemented through a partnership in which:

- Communities plan, finance, own and manage their water and sanitation facilities.
- Private companies assist in infrastructure development and management as well as provision of goods, works and services.
- NGOs provide services in community mobilization, training, design, construction maintenance and repairs.
- LAs plan and manage implementation at the district level.
- Ministry responsible for water affairs provides policy direction, national planning, coordination, training management, regulation, quality control and monitoring.
- Other Line Ministries responsible for gender and community services, health, rural development and environment provide backup technical support.

## **1.3 WSSP Programmes**

The integrated approach to WSSP should comprise.

### **Water Supply**

There are various technologies that are used for the provision of safe water to the communities. Some of the technologies include piped water supply systems, boreholes fitted with hand pumps, protected shallow wells and springs. Criteria used for selection of a particular technology are based on the following:

- Type of water source;
- Target population;
- Catchment conditions;
- Ease of operation and maintenance.

When installing a chosen type of water point, the following is recommended:

- Boreholes fitted with hand pumps should serve maximum number of 250 people per borehole within the radius of 500 metres;
- A communal tap point is designed to serve a maximum number of 120 people within the radius of 500 metres;
- Water quality testing should be done before a water point is rendered for use.

### **Sanitation Improvement**

There are various sanitation technology options one can install for disposal of faecal matter or solid waste. Each community or household should choose the sanitation option they can afford and manage given the resources available. This approach moves away from a narrowly defined sanitation with a single target and allows everyone to participate, even with limited resources.

When providing a pit latrine or solid waste management system, the following is recommended:

- Install san plats on pit latrines in areas where soils are stable for household use;
- Install dome/flat slabs on pit latrines in areas where soils are loose;

- Provide Ventilated Improved latrines (VIPs) and other improved ecosan facilities in schools and in health facilities;
- Provide ordinary refuse pits at household level;
- Provide lined refuse pits and incinerators at institutions;
- Install hand washing facility close to each latrine/pour flush toilet.

## **Hygiene Promotion**

Behavioural change will depend on the commitment and initiative of each household and individual who will decide what forms of change they want to make and how they are going to do it.

Basic knowledge about hygiene is relatively high but practice tends to be poor. When carrying out hygiene promotion, the following is, therefore, recommended:

- Promote hygiene using participatory approaches such as Participatory Hygiene and Sanitation Transformation (PHAST) and Community Led Total Sanitation (CLTS);
- Promote access to Information, Education and Communication (IEC) materials on sanitation and hygiene.

## Chapter 2: Implementation Arrangement

In the past, central government and development partners took the lead in developing water and sanitation programmes. In line with the decentralisation Policy (1998), LAs take the lead to initiate water and sanitation programmes in the councils rather than waiting for central government or donors.

This new approach involves a commitment to the water and sanitation agenda. This commitment will be shown by:

- The seriousness taken by the LAs in developing its own W&S programme;
- The priority commitment to W&S within the district's own development plan;
- How much of the Local Development Fund (LDF) is committed to W&S development.

The overall aim is to build strong commitment to and a sense of responsibility for water and sanitation by the LA. This helps to put the communities in the lead as the major force for water and sanitation development at the council level.

To achieve this, the implementation arrangement is as follows:

### 2.1 Community Promotion

The first step in the implementation of RWSSP is to inform communities about the programme – both opportunities and responsibilities and to encourage them to participate. This involves an information campaign of community meetings and flyers reinforced with mass media both print and electronic. Before community sensitisation starts, there is need to orient the facilitators about the programme. Some of the facilitators are DCT and Extension Workers. The extension workers should facilitate community sensitisation and mobilisation meetings supervised by the DCTs.

The main objectives of community promotion process are as follows:

- Raise awareness about RWSSP;
- Promote interest in and demand for improved W&S facilities;
- Disseminate information and application forms;
- Encourage communities to complete the application form;
- Enhance community participation in water supply and sanitation;
- Facilitate self-assessment of the water, sanitation and hygiene situation by the community.

#### Steps

Common steps used for community promotion are as follows:

#### *Orientation of DCT and EWT*

The first activity for community promotion is the orientation of the DCT and EWT members on the key principles of the programme. The orientation aims at explaining the basic principles and strategies for the programme and to help them prepare for the community sensitisation and mobilisation meetings.

### ***Conduct community meetings***

EWTs supported by DCTs should organise community meetings at ADC, VDC and community levels. To prepare for each meeting there is need to:

- Invite all stakeholders including chiefs;
- Make a special effort to invite and involve women and other vulnerable groups;
- Ensure representation from all geographical sections of the village;
- Reinforce public meetings with other forms of communication of such messages over radio or in local newspapers, printed and verbal information delivered through school children, and announcements through the church or other community gatherings.

### ***Action by Community***

The next step is for the community to meet on their own, discuss the issues and how they are to satisfy the conditions, and complete the application form. This meeting would be organized by the residents of the target village involving all community members and other stakeholders with support from EWT.

The main objectives of such meetings are as follows:

- To increase awareness of the community management concept and what it means.
- To facilitate discussion and decision-making on how the community is to meet the initial conditions (committees formation, raising of upfront contributions and opening of bank account etc).
- To complete the Application Form.

### **Steps**

Common steps used to ensure action by community are as follows:

#### ***Community Meeting(s)***

The community hold meetings on their own to discuss how they can participate in RWSSP and complete application form with support from EWT. The two initial conditions for participation include: forming a Water User Committee and raising commitment fees.

#### ***Water User Committee Meeting***

The Water User Committee, once elected should meet to:

- Complete the application form (based on decisions at community meetings);
- Organise the collection of the capital contribution (commitment fee);
- Open a bank account and deposit the money raised.

After the meeting, the Water User Committee should forward the application form to the Local Authority through the Village/ Area Development Committees.

## 2.1 Verification

Once application forms have been received from WUC/VDC, DCT should verify each application form. This involves a desk assessment by the DCT and a visit together with EWTs to the community to check that the information in Application Form is correct and complete.

**The main objectives of community verification are to check the following:**

- Information in the application form is correct and complete;
- A large group of community members participated in the decision-making;
- Community has demonstrated its commitment/capability by taking action i.e. forming WUCs, raising upfront contributions and opening bank account.

### **Steps:**

Common steps used for community verification are as follows:

#### ***Desk Assessment***

DCT members should review the applications and identify gaps in information and details to be verified in the field together with EWTs.

#### **a. *Field Verification***

Extension workers should visit the community and hold a meeting with community members and community leaders (VDC, Water User Committee) to verify that the information is correct and complete – and that the requirements (Water User Committee formation and fund raising) have been completed using the following checklist:

#### **Verification Checklist**

- All items on the Application Form have been completed.
- Information has been discussed with and agreed by a representative body of community members (who are aware of its contents).
- Water supply is a priority need their VAP.
- Democratic election and gender balanced Water User Committee in place.
- Upfront contributions collected and deposited in the bank account.
- Community is committed to planning, building and managing the new/rehabilitated facilities.

## 2.3 Pre-Selection

Once the application forms have been verified, the LA selects a number of communities to be assisted in order of priority.

### **Steps:**

The common steps to follow when conducting pre-selection of communities are as follows:

#### **a. Decision on Scale of Programme and Selection Criteria**

DCT holds a meeting and decides on:

- Scale of programme – proposed number of communities to be assisted (based on its financial and staffing capacity);

- Assessment criteria to be used in selecting communities.

#### **b. Preparation of Short List**

Using the above criteria, they assess each application e.g. high, medium or low. They draw up a shortlist of communities to be assisted.

#### **c. Approval by LA**

- DEC reviews DCT's report and endorses it or sends it back for more work;
- LA reviews the list of priority communities and conforms or modifies the list;
- LA gives final approval to the list of prioritised communities.

#### **d. Official Notification**

Communities are informed about the results of the selection by a letter from the LA. Other notices can be placed on the notice board at the district, town, municipal, city council or TAs offices.

*For criteria on scale of programme, community selection and checklist for community selection refer to **Annex 1**.*

### **2.4 Community Mobilisation and Planning**

Community mobilisation and planning is the stage at which community facilitators i.e. DCTs/EWTs are able to:

- Deepen community understanding of basic concepts and conditions RWSSP.
- Strengthen representation of all potential beneficiary community members and capacity of the established/existing water and sanitation committees.
- Develop an FMP for managing the new/existing water and sanitation facilities.
- Agree on how to raise upfront contributions and funds for O & M.
- Agree on plans for operation and maintenance covering costs in full with some savings for future expansions and rehabilitations.
- Start discussions with the beneficiary community on promotion of sanitation and hygiene and mainstreaming of other cross cutting issues including gender, HIV and AIDS and environment.

#### **Steps**

The common steps to follow when conducting community mobilisation and planning are as follows:

a. Facilitators conduct one day orientation meeting of Water User Committee (s) on:

- Roles, organization (how they will work together and conduct meetings);
- Technical issues – choice of technology, siting and construction;
- How to prepare Facility Management Plan (FMP) for the new/existing facility;
- Raising and banking of funds for capital contribution or upfront contributions;
- Hygiene education, sanitation promotion, HIV and AIDS prevention, gender mainstreaming and environment.



- b. Water User Committee and community meet on their own.
- c. Water User Committee (WUC) meets with the community members to discuss issues in FMP e.g. how to raise O&M funds and capital (upfront contributions).
- d. WUC prepares draft FMP.
- e. Review of FMP with EWT.
- f. DCTs/EWTs hold meetings with WUC and community members to review FMP – money, choice of technology, siting, construction, operation, maintenance, hygiene & sanitation, gender, HIV and AIDS, environment).

## **2.5 Implementation**

Implementation should start with the DCT preparing an implementation plan as follows:

- a. Group target communities into a number of operational areas (e.g. wards) to be provided with services.
- b. Decide on the type of service provider or organisations for each type of service.
- c. Decide on the number of service providers needed for each operational area.
- d. Draw up a flow chart or activity schedule.

## **2.6 Construction**

During construction, the following process is done:

### **2.7.1 Contracting**

After drawing up an implementation plan, the next step is to organise construction. The councils should award the contracts with the community as co-signee to some of the contracts e.g. shallow wells and hand drilled boreholes. All procurement and contracting should follow government procurement procedures.

### **Steps**

The common steps to follow when contracting goods, works and services are as follows:

- DCT prepares tender documents;
- Tenders are advertised through notice board, circulars, local/national newspapers;
- Pre-qualification of Service Providers – in some cases;
- Service Providers prepare and submit tenders;
- Opening of tenders by IPC;
- IPC reviews tenders and awards of tender;
- Notification of contract award;
- Negotiating of contract;
- Award and signing of contract;
- Commencement of construction/service provision Completion of contract;
- Defects liability period of 6 – 12 months.

### 2.7.2 Supervision

DCT/EWTs/WUCs should supervise and monitor the performance of the service providers supported by the Ministry to ensure that contractual obligations are met.

During supervision, the DCT/EWT should be able to:

- Check on the work completed on a scheduled basis;
- Check on the quality of construction;
- Keep track of progress and help to resolve bottlenecks;
- Develop capacity of service providers through supportive supervision;
- Empower communities to supervise work on their own projects.

#### Steps

The common steps to follow during supervision are as follows:

- Advance discussions with community/WUC about their roles in construction;
- Meeting between contractors and WUC to review construction timetable and agree on forms; of community support e.g. materials, access road, labour, etc.
- Construction – supervised by community, DCT,EWTs and other stakeholders;
- Community certifies that contract has been completed.

### 2.7 Operation and Maintenance

Once the construction of a water supply and sanitation system is completed, the system enters the longest phase of the project cycle, which is Operation and Maintenance (O&M) Phase. Operation is the process of the safe, reliable and economic use of a facility over its life span. The life span of a system is the number of years that the facilities are expected to operate. It can be 10 to 100 years. Maintenance is the process of keeping or restoring optimal and reliable functionality of a facility through the set of measures and activities.



Figure 2.1: Maintenance of a water point

In RWSSP, there is need for water users with support from service providers to operationalise a system for O&M to ensure that the new water and sanitation facilities continue working after installation for continued benefits. The user community should cover the O&M costs in full with some savings for replacements and extensions.

However, different operational activities are performed depending on the type and complexity of the facility. Operational guidelines as laid down by designers and manufacturers should be followed in specific components of the system.

### 2.8.1 Types of Maintenance

There are two main types of maintenance:

#### Preventive Maintenance

Preventive maintenance refers to measures that are taken before major problems or breakdowns occur. Preventive maintenance is the most reliable and economic maintenance strategy to adopt. It requires a qualified local maintenance structure and skilled personnel.

#### Corrective Maintenance

Corrective Maintenance is a reaction to a problem such as a breakdown or reduced supply. Corrective maintenance is expensive. Continued corrective maintenance leads to frequent breakdowns, unreliable supply, poor service levels and long interruptions of service as well as lack of user confidence. Corrective maintenance may ultimately lead to complete system failure. Therefore, preventive maintenance is important in RWSSP since prevention is better than cure.

When maintenance is no longer technically feasible or economically viable to keep the facility in working condition or the system has reached its design lifespan, rehabilitation should be done.

### 2.8.2 Spare parts Supply Chain

Unreliable supply of spare parts affects the operation and maintenance of water and sanitation facilities. Spare parts availability should be one of the main factors in deciding the suitability of a particular technology. A supply system should be identified including storage of fast wearing parts. Spare parts and repair services should be met by the beneficiary communities from private sector suppliers and mechanics/operators using their own funds.

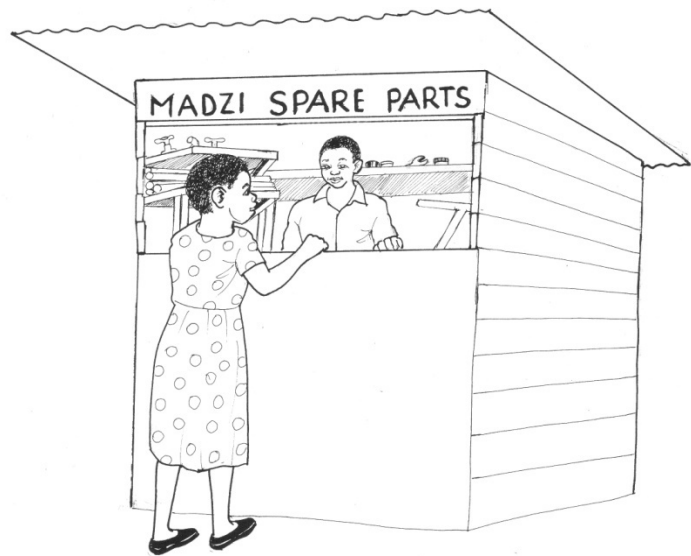


Figure 2.2: Spare parts Shop

#### Steps

The common steps to follow when establishing a spare parts supply chain are as follows:

- DCT compiles a list of spare parts needed for different types of water systems;
- DCT informs suppliers about the expected demand for different parts and the expected quantity needed over given period;
- DCT collects price data on specific items at specified locations on a quarterly basis;
- DCT analyses data and compares it with data on prices in other parts of country. If there is a significant increase, DCT tries to promote more competition;
- DCT ensures that Area Mechanics (AM)/Local Operators source spare parts.

## ***Follow up Support***

Once the water and sanitation facility has been provided in the community, the DCT and EWTs should provide ongoing support. Follow up support is important in order to:

- Assist communities in problem-solving (e.g. conflicts or mismanagement of funds);
- Provide technical advice (e.g. how to deal with major breakdowns);
- Update communities on new procedures, guidelines, etc.
- Motivate communities to continue to improve their water supply, sanitation and hygiene promotion activities;
- Promote continued revitalisation of water user committees ( fresh elections);
- Promote networking among water user committees within the same area.

## **Steps**

The common steps to follow **carrying out follow up support activities** are as follows:

- Get reports on progress about how the community is managing the water supply and sanitation system;
- Review the performance results of WUCs using results based monitoring system and its results;
- Observe community water, sanitation and hygiene meetings, and community action;
- Identify and help to solve problems and provide advice;
- Get feedback from community and suggestions for improvement.

## Chapter 3: Stakeholder Involvement

There are various stakeholders involved in the Rural Water Supply and Sanitation Programme (RWSSP) at different levels with their own roles and responsibilities and reporting relationships with other collaborating stakeholders. RWSSP is implemented more effectively and efficiently in close collaboration with these stakeholders. Therefore, it is important to recognise them to ensure successful and sustainable RWSSP.

### 3.1 Stakeholders and their Roles

The following are some of the stakeholders and their roles and responsibilities:

#### 3.1.1 Local Authority

Local Authority (LA) is a government structure established within the Local Government Act to run the affairs of the authority at district, town, municipal and city council levels. The LAs comprise elected members of council at ward level, Members of Parliament (MP) and Traditional Authorities (TA) in the district, town, municipal or city councils. District Commissioner (DC)/Chief Executive Officer (CEO) is the Secretariat of the Council.

Councils play two roles in RWSSP – as community leaders in their own areas and as policy makers in the council. As community leaders they help to explain RWSSP, encourage communities to participate, deliver community applications and proposals to the authorities, support community efforts to develop their own W&S facilities. As policy makers, they help to develop W&S plans and bye-laws, select communities to be assisted and monitor progress.

Specifically, district, town, municipal and city councils perform the following roles and responsibilities:

- Participating in framing policies and bye-laws on water and sanitation.
- Approving District Water and Sanitation Plan and annual W&S plans.
- Informing Communities about W&S programme and how they can participate.
- Distributing application forms and help communities complete them.
- Advising on community planning of W&S facilities and proposal writing.
- Encouraging communities to raise funds and open bank accounts to run their water and sanitation systems.
- Monitoring progress at the community level and help to resolve conflicts.
- Serving as role models promoting the adoption of the hygiene practices.
- Organising follow-ups at the district, town, municipal and city levels on behalf of the community.
- Assisting the communities to develop Village Action Plans (VAPs) that include issues of water and sanitation.

#### 3.1.2 District Coordination Team

District Coordinating Team (DCT) is the technical arm of the District Executive Committee (DEC) on matters of water and sanitation in the district. The membership of DCT includes the Director of Planning and Development (DPD) as Chairperson, the Director of Public Works (DPW), District Water Officer (DWO) as Secretary and as members, the District Environmental Health Officer (DEHO), District Community Development Officer (DCDO), Environmental District Officer (EDO) or District Forestry Officer (DFO), the Monitoring and Evaluation

Officer (M&EO), NGO representative working in water and sanitation in the district. When need arises, implementing entity can co-opt other members into DCT.

DCT is responsible for providing the day-to-day leadership and coordination for W&S activities in the district. DCTs plan and manage the Council's W&S programme, carry out planning and administrative tasks to support the programme, serve as the communication link with all stakeholders in the district, town, municipality or city and supervise and support private sector service providers and suppliers. DCTs perform the following specific roles and responsibilities:

- Informing and consulting council structures e.g. District Executive Committee (DEC), District Environment Sub Committee (DESC), Internal Procurement Committee (IPC), etc.
- Coordinating and liaising with parent Ministry, line Ministries, NGOs, development partners and other external partners' agencies.
- Collecting and analysing data on W&S service levels, water points and needs.
- Keeping records and developing data base/inventory on all W&S facilities.
- Preparing District Water and Sanitation Plans (DWSPs) and annual plans.
- Promoting awareness on RWSSP and facilitate community demand.
- Appraising applications and proposals/FMPs produced by the community.
- Consolidating community proposals and prepare consolidated budget.
- Planning, coordinating and managing financing of sub-project implementation.
- Organising training of extension workers, service providers, communities.
- Facilitating the contracting of service providers – adverts, technical evaluation, preparation of tender documents and contracts and support to IPC Meetings.
- Supervising and monitoring service providers and extension workers.
- Supervising and certifying construction works and ensure quality standards.
- Administration e.g. contracts, progress reports, bid evaluation reports.
- Troubleshooting – help resolve conflicts and problems at different levels.
- Organising monitoring and evaluation of W&S projects.
- Providing continuous backup support to communities.
- Approval of certificates of completion for payment.

### 3.1.3 Extension Workers Team

Extension Workers Team (EWT) is the technical arm of the Area Executive Committee (AEC) on water and sanitation in the traditional authority area. The recommended membership of EWT is Water Monitoring Assistant (WMA), Assistant Environmental Health Officer (AEHO), Community Development Assistant (CDA), Primary Education Advisor (PEA), Forestry Assistant (FA) and an NGO representative from among the NGOs working in the area on water and sanitation.

EWT performs the following roles and responsibilities in RWSSPs:

- Sensitising and mobilising communities on W&S programme.
- Collecting baseline data on water and sanitation.
- Supporting the development of community managed water and sanitation facilities.
- Supporting hygiene promotion and other cross cutting issues including gender, environment, HIV and AIDS.
- Monitoring, evaluating and supporting the work of service providers and help communities to resolve conflicts.
- Producing monthly reports to DCT.

### 3.1.4 Area Development Committee

Area Development Committee (ADC) is a forum of elected members at Traditional Authority's level who play a link role between the village and the Local Authority and a planning and support role for W&S initiative within the TAs area. The ADC, council and VDC members assist to identify water and sanitation development needs, which they present to the council for assistance and monitor its implementation.

ADC performs the following roles and responsibilities:

- Assisting in the sensitisation and mobilisation of communities on W&S programmes and how they can participate.
- Receiving W&S applications from the VDCs and forward them to the Council.
- Helping to facilitate inter-village meetings needed to plan piped water supply schemes.
- Assisting in the formation of various water and sanitation committees.
- Assisting to monitor progress of water and sanitation activities in the community and help to resolve conflicts.

### 3.1.5 Village Development Committee

Village Development Committee (VDC) members, like the ADC play an important link between the beneficiary communities and the council and a planning, monitoring and support role for W&S initiative at community level.

VDC performs the following roles and responsibilities:

- Fostering community participation and mobilization.
- Informing user communities about RWSSP and how to participate.
- Assisting communities to prepare applications and proposals for W&S activities.
- Assisting in the formation various water and sanitation committees.
- Presenting applications and proposals to the council for assistance through ADC.
- Signing project agreements with the authorities.
- Helping mobilize community labour and financial contributions for W&S activities.
- Monitoring and evaluating progress of W&S activities at community level and help to resolve conflicts.

### 3.1.6 Village Health and Water Committee

Village Health and Water Committee (VHWC) is a sub-committee of the VDC responsible for promoting water and sanitation activities at village level. In a village with more than one water point, VHWCs form WPCs to oversee a particular water point.

VHWC performs the following roles and responsibilities:

- Facilitating community meetings on water, sanitation, hygiene, and other cross cutting issues including gender, environment and HIV and AIDS identifying needs for water and sanitation facilities in the community and help “user communities” to prepare applications and proposals.
- Helping to facilitate the formation of WPCs.
- Monitoring and evaluating progress of W&S activities at community level and help to resolve conflicts.



- Setting and monitoring village bye-laws on water, sanitation and hygiene.

### 3.1.7 Water Point Committee

Water Point Committee (WPC) is a sub-committee of VHWC responsible for managing a single water point. It is elected by and accountable to the users of the water point – the “user” community. The WPC works with “user” community. The WPC works with the “user” community to plan and build the new facility and once it is built to maintain and operate it, using funds raised from the users themselves.

WPC performs the following roles and responsibilities:

- Conducting community meetings to brief them on plans or problems.
- Leading the community in planning and helping to build W&S facilities.
- Taking responsibility to operate and maintain new and existing facilities.
- Raising and managing funds and other resources.
- Keeping records on meetings, money raised and spent and repairs.
- Signing contracts with service providers, supervise and monitor their activities and sign off on completed work.
- Organising maintenance and repair carried out by caretakers and other service providers.
- Hiring area mechanics and other service providers.
- Organising communal labour for site cleaning and maintenance.
- Facilitating education and planning on water, sanitation and hygiene and other cross cutting issues including HIV and AIDS, gender and environment.
- Monitoring and evaluating activities and results and use this to improve management.

### 3.1.8 Piped Water Supply Committees

Piped water supply systems apply Water Users Association (WUA) approach. WUA is a community management structure instituted by the user community responsible for facilitating and overseeing water supply services in market centres, groups of villages sharing rural piped systems and in some low income areas in the urban areas.

WUAs perform the following roles and responsibilities:

- guiding the planning of their water supply and sanitation system.
- Contracting and supervising a local utility operator (LUO) to handle routine operations and maintenance.
- Arranging for long term technical assistance to assist local utility operators to improve efficiency, resolve problems.
- Expanding the system over time.

LUOs are accountable to WUAs for:

- Operating and maintaining water supply and sanitation facilities ensuring a good quality water and sufficient quantity at all times.
- Collecting water tariffs and managing accounts.
- Providing regular, accurate monitoring reports on performance to WUAs.
- Expanding distribution and adding house/individual connections.



Refer to WUA guidelines and training manuals for more details on application of WUA in the implementation of piped water supply and sanitation systems.

### 3.1.9 User Communities

User Communities are households in the area whose members use the facility. In the case of a point source (single borehole/pump) the “user community” will consist of a cluster of households or a sub-village. In the case of piped water supply scheme the user community might cover several villages.

- They are the primary stakeholders for the community W&S development process. They make a demand for new W&S facilities and are then assisted to develop and manage these facilities. User Communities perform the following roles and responsibilities:
- Identifying and making formal request for assistance from LA.
- Forming management committees (e.g. WPC, WUA, VHWC).
- Participating fully in planning, designing and constructing water and sanitation facilities.
- Contributing in cash and kind to capital and maintenance costs.
- Preparing a Facility Management Plan.
- Choosing type of water technology and assist with site selection.
- Entering into agreement with LA and Service Providers.
- Contributing labour and materials for construction.
- Monitoring and evaluating the work of service providers.
- Owning and being responsible for water and sanitation facilities.
- Electing and supporting caretakers and other service providers.
- Constructing sanitation facilities to promote their hygiene practices.
- Monitoring and evaluating water and sanitation projects.

### 3.1.10 Service Providers

Service providers are companies or NGOs who deliver goods and services to communities to support development of community managed water and sanitation facilities. There are two types of Service Providers:- Facilitation Service Providers (FSPs) and Technical Service Providers (TSPs). FSPs specialise in ‘software’ services (i.e. community mobilization and training). TSPs specialise in ‘hardware’ services (i.e. borehole, scheme construction, pump, spare parts supply and civil works).

Service Providers perform the following roles and responsibilities:

- Facilitating active community participation in planning, and implementation of water supply and sanitation activities.
- Facilitating formation and training of water user committees.
- Facilitating community planning of W&S facilities and preparation of FMP.
- Collecting baseline data on community with help from WPC.
- Facilitating development of system for raising and managing money.
- Facilitating community awareness & planning on hygiene, sanitation and other cross cutting issues including HIV and AIDS.
- Facilitating training for community managed system for operation and maintenance.
- Supporting development of community managed monitoring & evaluation.
- Producing and submitting monthly reports to DCT.
- Designing and planning water supply and sanitation facilities.
- Siting and surveying for installation of water and sanitation facilities.

- Constructing water supply and sanitation facilities.
- Supply of equipment and materials for constructing water supply and sanitation facilities.
- Training of various stakeholders in water supply and sanitation.
- Operating and maintaining water supply and sanitation facilities.

### **3.2 Financing institutions**

Financing Institutions are all cooperating partners/donors which support water and sanitation programmes. They need to be kept updated about investment requirements on Water and Sanitation Programmes.

Financing institutions perform the following roles and responsibilities:

- Providing financial support.
- Providing technical assistance (TA).
- Monitoring standards and guidelines.
- Fostering accountability, transparency, rights based programming, good governance and mainstreaming of cross cutting issues.

## Chapter 4: Sanitation and Hygiene Promotion

Rural Water Supply and Sanitation Programme (RWSSP) is more than water supply. It is a health improvement programme covering water supply, sanitation and hygiene. Water supply alone will not effectively improve health of the people unless combined with sanitation and hygiene.



Figure 4.1: Good hygiene practice

Sanitation is a process of demanding, developing and sustaining barriers or structures such as latrines, hand washing facilities, bath shelters, dish racks, refuse pits, water storage containers, soak ways, used to prevent the transmission of diseases.

Hygiene is the practice of keeping oneself and one's surroundings clean in order to prevent illness or the spread of disease. The practices include the proper and consistent use of safe water and sanitation facilities latrines, and hand washing facilities.

However, sanitation and hygiene faces a number of challenges such as:

### *Sanitation*

- Many latrines are poorly built, maintained and used.
- High water tables in some areas results in latrines filling up quickly or collapsing.
- Appropriate technologies for latrine improvements, including the use of sanplats and materials to line pits, are generally not known in the rural areas or not affordable.
- Lack of privacy for women.
- Men have less problem using the bush so they have less interest in using latrines.

### *Hygiene*

- There is limited demand for hygiene – people do not see the effort involved in improving hygiene practices as important.
- Basic knowledge about hygiene is relatively high but practice tends to be poor.
- Hand washing at other critical times (apart from washing before eating) is relatively low.
- Children's stools are seen as harmless so people take little care in handling them.
- People know many of the basic messages on hygiene but lack the resources to apply them e.g. buying necessary materials and facilities.
- Women are often so busy with domestic chores that they do not have the time to do things practice hygiene.
- Men's control over household resources also block hygiene practices at home.

## **4.1 Sanitation and Hygiene Promotion Strategies**

### **4.1.1 Integration**

Sanitation and Hygiene promotion should be integrated with water supply activities. It is difficult to practise hygiene without safe water.

### **4.1.2 Equal Attention to Hardware and Software**

RWSSP must promote both “hardware” – construction of water and sanitation facilities; and “software” – promotion of new habits and behaviours. For example, households will be encouraged to improve their latrines while at the same time improving their hygiene.

### **4.1.3 Building Demand**

One of the basic aims of RWSSP should be to get villagers to see action as a serious issue in their lives and something they are committed to and capable of doing. At present, Sanitation and Hygiene is seen as something imposed by outsiders and not for survival. There is no sense of responsibility or commitment to this sanitation and hygiene issue. A dynamic approach is required to build commitment and a sense of ownership on hygiene activities.

### **Avoid Lecturing**

The common approach is a message delivery approach – field workers tell the community what to do through talks. They deliver a lot of information, but allowed little time for discussion. Villagers are expected to listen passively, swallow the messages, and put them into practice – and their own ideas and experience are often ignored. The messages are a set of rules to be blindly followed, not a set of actions which they had planned themselves. People, for example, build latrines because they are told to do so by extension workers or local leadership, but do not use them or maintain them.

### **Participation**

The participatory approach is necessary in implementing all sanitation and hygiene activities. This approach should move communities out of the passive role into an active role of discussing and analysing their situation, deciding what needs to be done, planning for change, taking action and then monitoring their action. Communities will be able to discuss why poor faecal disposal is risky behaviour to their health, how this affects their lives, and what they can do practically to minimise these risks (affordable and appropriate solutions). Since they are coming up with their own solutions, decisions and plans based on their own understanding, they will be more committed to taking serious action.

Women have the most to gain from Sanitation and Hygiene action and are often more receptive to these changes than men. But women often need the cooperation of men to take action e.g. releasing funds to buy latrine materials and providing labour for digging and construction. Men in the past have been left out of discussions on sanitation and hygiene. There is need to involve both men and women in planning and decision-making for these improvement and behavioural changes

#### **4.1.4 Household at the Centre**

Behavioural change starts at household level. Hence, it will depend on the commitment and initiative of each household who will decide what forms of change they want to make and how they are going to do it. Each household, for example, will decide on the type of latrine they want to build or how to improve their existing latrine based on costs, willingness and ability to pay, preferences, soil types, etc.

#### **4.1.5 Community Support for Household Action**

While households will make their own decisions (e.g. type of latrine) they will need to be supported by the community. The educational process will involve peer group discussions where neighbours analyse problems and work out solutions. The discussions will produce common thinking and commitment to action and individuals will get encouragement and support from friends.

#### **4.1.6 Water User Committee Takes the Lead**

In the past Water User Committees focused primarily on water issues and had little interest in sanitation and hygiene. In the advocated approach the Water User Committee's role should be broadened to include sanitation and hygiene and other cross cutting issues including gender, environment, HIV and AIDS. The challenge will be to build a strong commitment to these tasks and get the Water User Committees to see these activities as an important part of the job.

#### **4.1.7 Extension Worker Team Plays Facilitation Role**

EWTs require an improved role for field work – a facilitating and capacity building role, rather than “telling” role. Their role should be to form and train Water User Committees to facilitate this process on sanitation and hygiene promotion themselves. Once WUC members have developed the skills and confidence, the facilitators should take a backseat, monitoring and play a supporting role. To implement this approach, EWTs will need to learn new skills and attitudes, including respect for communities, ability to solve problems, make decisions, plan and act.

### 4.1.8 No Blanket Solutions

No single set of solutions should be uniformly imposed. The contexts vary widely and different solutions are needed in different areas. Blanket solutions imposed from the top will not bring about effective change. Each community and each household will choose the sanitation option they can afford and manage given the resources available. This approach moves away from a narrowly defined sanitation with a single target and allows everyone to participate, even with limited resources. This concept is represented in the Sanitation Ladder. The sanitation ladder is based on the idea of helping households to improve their sanitation on a gradual ongoing process. For example, a household who have no latrine might start by building a traditional pit latrine. Later, when funds permit, they may improve it by adding a concrete slab. At a later stage, they may build a VIP latrine-hand washing facility. Figure 4.1 below illustrates the sanitation ladder.

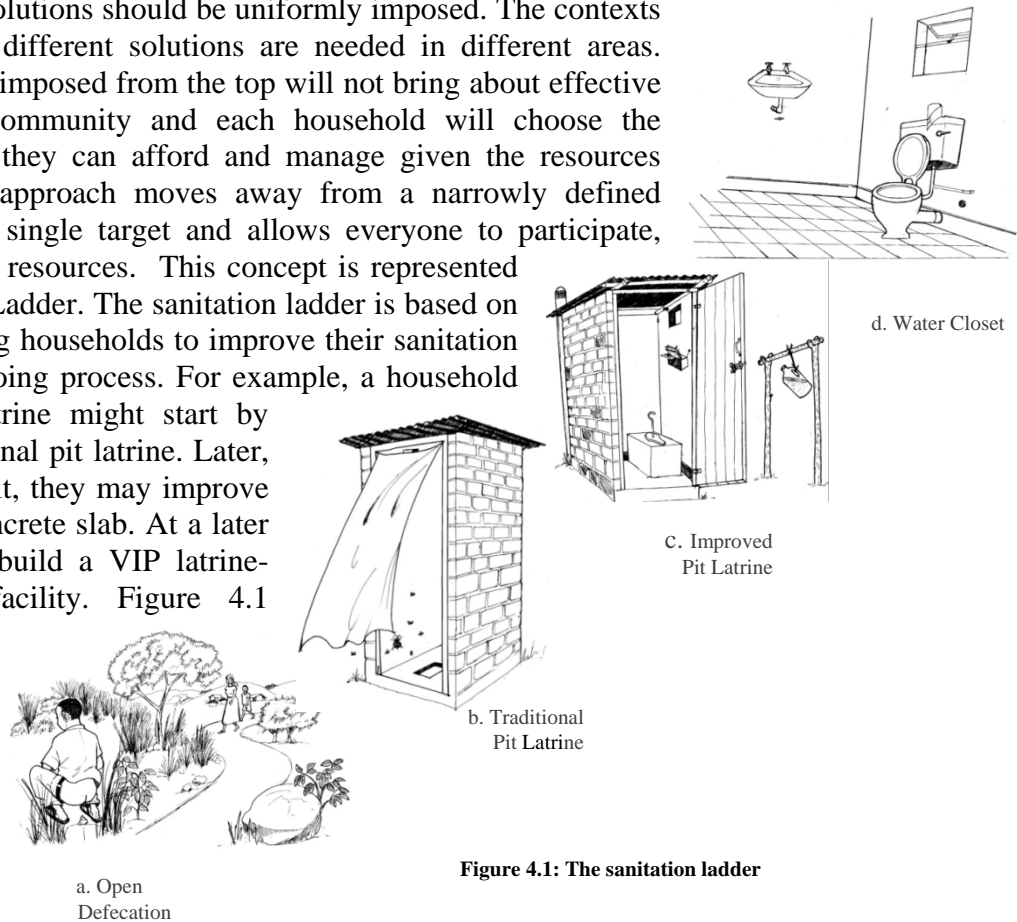


Figure 4.1: The sanitation ladder

### 4.1.10 Reduce Women's Workload

Generally, women have little time to apply hygiene practices because of their heavy workload in the home and the farm. There is need to promote analysis of gender roles in relation to hygiene and advocate for changes in work division within the household as a way of improving sanitation and hygiene.

### 4.1.11 Focus on Schools

Targeting schools at the same time as communities helps to reinforce household action. Schools provide an excellent opportunity to encourage positive behaviour change. Children can learn new habits and then set examples at home. The RWSSP should, therefore, support the development of sanitation facilities in schools and practical education on hygiene.

### 4.1.12 Bye-laws and Codes of Conduct

Bye-laws and codes of conduct introduced by WUCs are aimed at promoting exemplary behaviour and stopping bad practices. These will reinforce behavioural change.

#### **4.1.13 Community Based Monitoring**

Communities keep records of those households who have, for example, built latrines. This can motivate large-scale change. Common steps which are followed in monitoring sanitation and hygiene promotion activities are:

##### **Data Collection and Planning**

The DCT will collect baseline information on sanitation and hygiene action and use this to develop a district sanitation and hygiene strategic investment plan. The plan should include an assessment of the targets for change, the major obstacles to sanitation and hygiene action improvement, and strategies and resources to overcome them.

##### **Advocacy and Creating Demand**

The plan needs to be more than a paper plan. It needs to be owned by all stakeholders at the district level, including LA members, ward and village leaders, religious leaders and NGOs. So there is a need for advocacy workshops and joint planning at the district level, using the same participatory process and tools.

##### **Train Extension Workers in Participatory Approaches**

Extension workers will need to learn the new skills and attitudes for facilitating participatory discussion and planning and the use of PHAST and CLTS tools. The DCT will be trained first in these approaches. Once they have learned these methods, they will organise the training of extension workers.

##### **Supervise and Support**

After being trained, extension workers need to be supported and supervised through visits and debriefing or review meetings.

##### **Establish Monitoring Systems.**

There is need for monitoring at all levels, including at community level. People will define indicators to show improvements, collect data on regular basis, and use the information to make improvements.



## Chapter 5: Procurement and Contract Management

Procurement is a process of acquiring the right quantity and quality of goods, works or services at the right time from the right source at the right price. LAs in RWSSP will be responsible for procurement of these services in close collaboration with beneficiary communities – who will be the managers of the new facilities – under the supervision of Ministry responsible for water affairs. LAs will also be responsible for managing RWSSP funds in a transparent manner.

### 5.1 Types of Procurement

The common types of procurement are as follows:

#### 5.1.1 Open Tendering

This method is used for large volume contracts. Tenders are advertised for bidding using standard bidding documents. A minimum of 21 days be provided from the date of invitation to date of submission. In this method, bids are submitted in sealed envelopes and are opened in public in the presence of representatives of the bidders who may choose to attend as shown in the figure 5.1 below. Minutes of bid opening are promptly prepared and sent to the bidders.

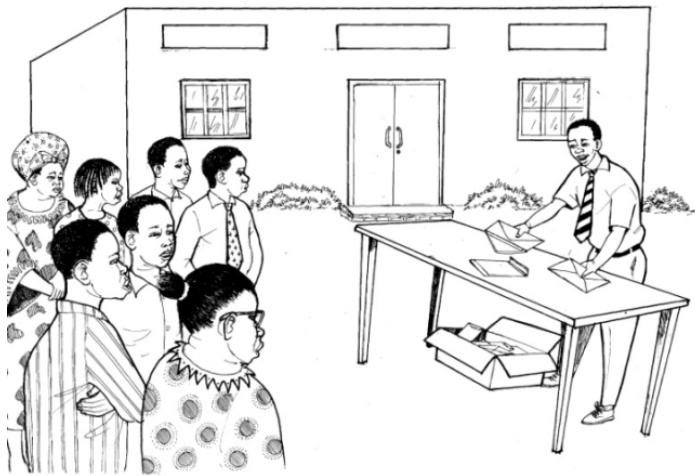


Figure 5.1: Opening of Tender

#### 5.1.2 Shopping or Quotation

In this method, the purchaser is required to obtain and compare at least three quotations to establish reasonableness of price.

Shopping method is used to procure small amounts of off-the-shelf goods or standard specification commodities for which more competitive methods are not justified on the basis of cost or efficiency.

#### 5.1.3 Individual Consultants (Qualification and cost based QCBs)

Individual consultants are selected on the basis of their qualifications for the assignment. Consultants shall be selected through comparison of qualifications of at least three candidates among those who have expressed interest in the assignment or have been approached directly by the organisation.

### 5.2 Procurement Procedures

The common procurement procedures are as follows:

- a. Needs Identification - the client identifies the need for a service, good or work.
- b. Preparation of Bidding Document.



- c. Advertising – client invites bidders through advertisement placed in newspapers, LA notice boards or letter to pre-qualified Service Providers to tender for the item. Once informed, potential bidders collect tender documents (which usually include: instruction to bidders, conditions of contract, contract date, specification, bills of quantities and form of security).
- d.

**e. Figure 5.2: Tender Evaluation**

- f. Preparation & Submission of Bids - Bids are prepared by Service Providers and delivered in sealed envelopes to the LA – there is a deadline for delivery; any bids received after this deadline are returned unopened to the bidder. Service Providers must be given at least 30 days notice to prepare tenders.
- g. Bid opening – the client invites bidders for the opening of the bids
- h. Evaluation –Bids are evaluated first on technical criteria, then on price. The criteria to be used in evaluating the bids should be given to potential bidders at the time of invitation to bid.
- i. Review of evaluation report – Internal Procurement Committee reviews the evaluation report and recommends the successful bidder.
- j. No Objection – IPC seeks a “no objection” from the Office of Director of Public Procurement (ODPP).
- k. Award of Contract– The tender is awarded by the IPC to the bidding company whose tender is assessed to be technically and financially superior.
- l. Contract Negotiations– The contract is signed by LA’s Chairperson and DC (on behalf of the LA); one WUC member (on behalf of the community) and the winning Service Provider. A standard contract is given in Annex E.
- m. Circulation of Contract– The contract is distributed to successful Service Provider, Water User Committee, DC, DoF, Contract Supervisor, DCT and Financier.



**Figure 5.2: Tender Evaluation**

### 5.3 Packaging Contracts

Most of the contracts procured at LA Level can be “packaged” so that the Service Provider provides goods or services for a number of communities as part of the same contract. For example Community Mobilisation & Training (CMT) work can be packaged in clusters of roughly 10 communities. A Facilitation Service Provider will be contracted to provide CMT services to 10 or 20 or 30 communities depending on the number of qualified facilitation teams they have available. (Each Facilitation Team would be assigned to work in 10 communities.) Similarly a Borehole Siting Service Provider would be contracted to site 10 – 50 boreholes depending on the requirement.

Contracts procured at the community level, for example, service contract for a local utility operator on a gravity fed scheme would be issued as individual contracts. Each scheme would identify and sign a contract with a Local Utility Operator.

### 5.4 Combinations of Services

Some services can be contracted out in combination as a “package”. For example, the pump supplier can be encouraged to supply the pump, arrange for its installation, provide maintenance during the warrant period and provide spare parts. Area Mechanics may be contracted to install pumps and train caretakers as a “package”, and in addition can be encouraged to provide repair services and spare parts to communities as separate contracts.

### **5.5 Pre-qualification – Use of a Tender List**

The LA’s Internal Procurement Committee (IPC) should “pre-qualify” Service Providers to ensure that those who submit tenders are capable of completing the works in a satisfactory manner. Only those who are certified should be allowed to bid on RWSSP contracts.

The IPC draws up a Tender List for each major category of service required. Service Providers will be assessed on the basis of:-

- Technical skills and past performance;
- Management capacity;
- Equipment needed to do the job;
- Financial Capability.

Those who are certified will be included in the Tender List

The performance of each Service Provider will have to be reviewed on a regular basis and new Tender Lists produced. Those who fail the quality standards should be dropped from the list. In this way it will be possible to keep a check on Service Providers and ensure high levels of workmanship.

The Tender Lists should be reviewed and updated once every two years. Service Providers should be notified when new Tender Lists are compiled, inviting application for inclusion in the list. A public notice should be circulated in the LA’s area at least 20 working days before the list is prepared.

### **5.6 District procurement of Goods and Works**

At the district level, contracts for goods and works can be awarded through 3 different levels of procurement, depending on the price range of the contract.

#### **5.7.1 National Competitive Bidding (NCB)**

National Competitive Bidding is based on the principles of adequate competition, openness, and fair and equal treatment of all bidders according to pre-disclosed criteria. Advertisements will be placed in national or regional newspapers; and the LA will post invitations on local notice boards or distribute invitations directly to potential bidders. Time for the preparation and submission of bids will not be less than four weeks. The Invitation will indicate date, time and place for public opening (same date as the deadline for submission of bids).

The procedure for **NCB procurement of works** will be the following:

- Pre-qualification and advertisement.
- Receipt and Evaluation of pre-qualification responses.
- Preparation of schedule of requirements.
- Preparation of bidding documents.

- Advertisements for bids (in case of no pre-qualification), or invitation for bids (in case of pre-qualification).
- Public Bid Opening.
- Evaluation of bids.
- Approval of contract award (as specified in procedures).
- No objection from Financier or Office of Director of Public Procurement (if required).
- Notification of contract award.
- Negotiation and signing of contract.
- Performance of contract.
- Contract Supervision.

### **5.7.2 Local Shopping**

Local Shopping is a procurement method based on comparing price quotations or proposals obtained from several local suppliers, usually at least three, to ensure competitiveness. It requires no formal bidding documents or use of Tender Committee and is used when contract values are small or when works are fairly simple.

The date of submission of quotations or proposals should be set ahead of time. Quotations or proposals must be opened at the same time in the presence of at least three senior officers of the LA or Water User Committee. Suppliers should be invited to attend the opening.

The procedure for Local Shopping will be as follows:

- a) Consult work plan and budget and determine works or goods to be procured;
- b) Prepare specifications;
- c) Invite bids from a minimum of 3 selected Suppliers/Contractors;
- d) Set date for submission of bids;
- e) Open bids;
- f) Examine bids for completeness;
- g) Choose responsive bids;
- h) Evaluate and select lowest price bid;
- i) Award contract;
- j) Monitor contract performance.

### **5.7.3 Direct Purchase**

Direct Purchase is a method of negotiating a contract directly with a Service Provider. Direct Purchase will be used in the following situations:

- Very small value contracts;
- Contracts in remote villages, where it is difficult to obtain competitive proposals;
- Only one service provider is available;
- There is a need for continuity of work;
- Community wants to contribute directly to implementing their own project;
- Emergency procurement;
- Any other mitigating factor(s) approved by the responsible Tender Committee.

An example of “need for continuity” is the rehiring of Facilitation Service Provider who has already completed the first contract to assist a number of communities to prepare their Facility Management Plans (Planning Phase). Assuming that the FSP has done a good job, the FSP would be rehired to continue this work during the Implementation and O&M Phases – and the contract would be negotiated as a Direct Purchase Contract.

#### **5.7.4 Community Managed Procurement**

In addition to participating in LA managed procurement, communities will carry out procurement on their own when they have developed the necessary skills; and initially for simpler works and goods such as tap points construction, hand dug wells, springs protection, pumps and spare parts supplies, and civil works. Once the water facilities are completed, the community will also negotiate directly with Service Providers (e.g. Area Mechanics/Local Utility Operators) for major or routine repairs.

Water User Committee will manage the procurement process on behalf of the community and will be advised by the DCT.

Community managed Local Shopping will take the following steps:

- Service Providers (e.g. artisans, mechanics) promote services to the community;
- Water User Committee selects at least 3 Local Service Providers;
- Water User Committee negotiates with LSPs (advised by DCT);
- Contract is recommended for award based on evaluation;
- Recommendation for award forwarded to LA (IPC);
- Contract is signed by Water User Committee and copy sent to LA;
- Construction/Implementation.

#### **5.7 District Procurement of Consultancy Services**

LAs will be expected to contract consultants in the following situations:

- Preparation of designs for piped water supply systems.
- Supervision of the work of major contractors (e.g. borehole, piped schemes contractors).
- Training consultants – to train DCT and other Service Providers.

The aim in procuring consultants is to hire professional expertise to advise the LA so that the work is completed in a timely manner to a satisfactory standard.

The procedure for contracting consultants involves the following steps:

- Identify need for consultant services;
- Review and establish work plan setting targets of services;
- Prepare Terms Of Reference (TORs);
- Advertise for expression of interest;
- Evaluate expression of interest;
- Short-list qualified firms;
- Send invitation to short-listed firms;
- Receive proposals;
- Evaluate technical proposals;
- Clear proposals with financier (if applicable);
- Notification to open financial proposals (2 weeks);

- Open financial proposals;
- Evaluate financial proposals (jointly);
- Select the winning firm/consultant;
- Negotiate contract;
- Sign contract;
- Start up;
- Monitor implementation/receive report;
- Pay invoices when due.

Selection of consultants will be on a technical evaluation of the proposals. The Technical Evaluation will focus on:

- Experience of the firm.
- Adequacy of the proposed work plan and approach.
- Qualifications and competence of the firm's personnel.

As a guide to evaluate proposals, numerical ratings are used for each category on a scale of 1 – 100. However, the relative importance of these three categories will vary with each type of assignment and will be weighted accordingly. Below are the typical factors evaluated in consultant contracts.

The firm that scores the highest marks, taking into account combined technical and financial evaluation will be selected to negotiate a contract.

The evaluation of the Financial Proposal will check the following:

- Quoted price – if there are mistakes for correction.
- Estimates- if estimates are realistic and within the budget.

If a quotation is judged to be too low, the same procedure will be followed, as in bullets 1 – 2 above. If estimates are judged not to be realistic:

- The bidder will be notified of other bids and given a chance to make a decision to withdraw the bid.
- If the bidder insists on going ahead, the bidder will be asked to put up a security of the difference between his bid and the estimated price.

## **5.9 Contract**

Contract is a legally binding agreement which sets out the following:

- Detailed specifications of the works, goods or services.
- Timing by which goods or services are to be provided.
- Specified costs, including agreed bases for changes due to inflation, etc.
- Specified dates for payment (including instalments).
- Procedures to be followed if one party feels that the other has broken the contract, including use of arbitration, and procedure for discharge of contract.
- Damages to either party due to breach the contract.
- General conditions of the contract.

Where contracts provide for payments made in instalments the Director of Finance (DoF) for the LA will open a CONTRACT REGISTER, showing the state of the account on each contract.

### **5.9.1 Contract Management**

The following procedures for contract management should be followed:

- Water User Committee calls for inspection of construction by DCT consultant.
- DCT/Consultant and Water User Committee sign completion certificate/report.
- Water User Committee recommends payment by LA (or asks LA for balance to be paid into community account so that WUC can pay Service Provider.
- LA (or Water User Committee) pay Service Provider.
- Water User Committee records transaction in cashbook.
- Water User Committee prepares monthly statements of expenditure.

### **5.8 Procurement Rules**

All procurement will follow the Standard Government procurement guidelines for works goods and services. In other cases these Government Procurement guidelines will be used in conjunction with other development partners' guidelines depending on financing agreements.

### **5.11 Receiving, inspection of Goods, Works and Services**

DCT and Water User Committee will separate duties so that no one person or group is responsible for more than one of the following functions associated with the procurement:

- Requisitioning.
- Procurement.
- Receiving and verifying stores.
- Verifying invoice.

When materials are delivered and works are completed, stores personnel or the person in-charge of receiving will inspect condition, quantity and quality to determine that it meets contract specifications. Once accepted, final payments are made.

At the time of delivery, if the services or goods are rejected, a notification to that effect will be placed on the Service Providers (SP) delivery slip or rejection letter written immediately to the SP.

Receipt of goods or Certification of completion of services or consultancy report is the only authority for making a receiving report, which in the case of goods will include the issue of Goods Received Note (GRN).

### **5.12 Splitting Contracts**

Contracts should not be split into smaller units just to get them to fall within the threshold or to merit the use of procedures such as Local Shopping or Direct Purchase.

### **5.13 Contract Modifications**

Requests for any variation to the contract should be referred to ODPP.

## Chapter 6: Financial Management

One of your major tasks as a District Council is to manage the resources for Water and Sanitation to achieve the desired project development objectives. There is need to establish an effective financial management system.

Financial management entails planning, organizing, controlling and monitoring the financial resources of a project or an organization to achieve its objectives. Management and accounting of resources for the Water Supply and Sanitation Programmes shall be in compliance with the general framework of the Government Financial Management System, which is governed by the Public Finance Management Act (2003), Public Audit Act (2003), Public Procurement Act (2003) and other relevant Acts. Financial guidelines from the associated development partners and Treasury Circulars and Instructions should also be used. The objective is to achieve financial prudence, transparency and accountability in the management and accounting of the project resources.

### 6.1 Principles of Financial Management

The following principles will guide and help the LA project teams in the implementation and discharging of the Water and Sanitation activities:

- **Custodianship** - refers to the stewardship or safekeeping of the project's resources. Custodians hold the assets and funds in trust and must make sure that they are used in accordance with the Acts and any contractual agreements entered into.
- **Accountability** – refers to the moral or legal duty, placed on an individual, group or organization, to explain how funds, equipment or authority given by a third party has been used.
- **Transparency** - all financial information must be recorded accurately and presented clearly, and can be easily disclosed to those who have a right to request it.
- **Consistency** - the systems employed should be consistent over the years so that comparisons can be made, trends analyzed and transparency facilitated.
- **Integrity** - honesty and reliability of an organization, and the individuals within it, have to be beyond question. There must be no doubts about how funds/resources are being utilized, the records must be a true reflection of reality and proper procedures set up and followed by all staff.
- **Non-Deficit Financing**-do not borrow or undertake an activity when there are no funds.
- **Standard Documentation** - the system of maintaining financial records and documentation should observe accepted accounting standards and principles. Financial records should be able to be understood by any relevant person and/or accountant.

The system of maintaining financial records and documentation should observe accepted accounting standards and principles. Financial records should be able to be understood by any relevant person and/or accountant.

#### 6.1.1 Who Are Involved?

Financial Management and accountability involves four major players within Council – District Commissioner, Director of Finance, Internal Auditor, District Finance Committee.



**District Commissioner** serves as the Controlling Officer under the Local Government Finances Account. S/he will be responsible for

- The overall strategic planning and management of the project funds.
- Monitoring the financial system and ensuring that financial guidelines are followed. He or she ensures that the financial reports and accounts are produced on time, accounting procedures and internal control systems are complied with.

**Director of Finance** will play the key role in setting up a financial and accounting system. S/he will be responsible for:

- Preparations of Budgets after Facility Management Plans have been received.
- Maintenance of a safe accounting system including safekeeping of all accounts records.
- Preparation of quarterly financial reports (as described below).
- Disbursements to projects as well as from the financier.
- Replenishments and maintenance of Bank accounts.

**Internal Auditor** will carry out regular audit verification, review Statement of Expenditures (SoE) and after completion of the sub-project will check whether individual expenditures are fully supported by adequate documentation and ensure that procedure were followed.

**District Finance Committee** will control and supervise the finances of the LA and review each Project Procurement Plan and budgets produced by the LA.

## **6.2 Planning and Budgeting**

Financial planning is both a strategic and operational process linked to the achievement of objectives. It involves building both longer term funding strategies and shorter-term budgets and forecasts.

Financial planning does not start with budgets and numbers. Effective budgets can only be produced as a result of good underlying plans. It is impossible to start a financial forecast without a clear idea about what is it that you want to do and how you intend to do it.

### **6.2.1 Plans**

Plans may be sub-divided into several, more specific and detailed plans for each activity, function or project. Plans should have a shorter time focus (about one year) and are the basis for budgets.

### **6.2.2 Budget**

‘A budget describes an amount of money that an organization or one has or plans to raise and spend for a set purpose over a given period of time.’

A budget has several different functions and these include:

- Planning.
- Fundraising.



- Project implementation.
- Monitoring and evaluation.

### **Types of Budget**

Two main types of budget that are being used:

- The Income and Expenditure Budget.
- The Capital Budget.

### **Income and Expenditure Budget**

The income and expenditure budget sets out the anticipated running costs (also referred to as recurrent costs) of the organisation and shows where the funds will come from to cover the costs. The annual income and expenditure budget is often broken down into shorter periods (half yearly, quarterly, or even monthly) to assist with monitoring progress.

### **Capital Budget**

A capital budget lists the expenditure you intend to make for the coming years on capital projects and one-off items of equipment that will form part of the organization's *Fixed Assets*. As these usually involve major expenditure and non-recurrent costs, it is better to list and monitor them separately. Examples of capital expenditure include:

- Building construction.
- Major renovation works.

### **Approaches to Budgeting**

There are several different approaches to build a budget. Some of the approaches that can be used are:

#### **Incremental budgeting**

This approach bases any year's budget on the previous year's actual, or sometimes budgeted, figures with an allowance for inflation and known changes in activity levels.

A frequent criticism of this approach is that it does not encourage fresh thinking and may perpetuate existing inefficiencies.

## **Zero-based budgeting**

An alternative approach is to start with a clean sheet – a zero base. Zero-base budgeting (or ZBB) ignores previous experience and starts with next year's targets and activities. ZBB requires justification of all the resource requirements.

This process may suit projects whose income is activity-based. Zero-based budgets are said to be more accurate since they are based on the detail of planned activities (recommended to be used).

## **Activity-based budgeting**

This describes an approach to budgeting where the budget is built up from a detailed activity plan. It is similar to ZBB. This describes an approach to budgeting where the budget is built up from a detailed activity plan. It is similar to ZBB (also recommended to be used).

## **6.3 Key Factors in Community Financial Management**

Proper management of funds at community level will ensure that facilities operate sustainably and create trust. The following are some of the key factors to be considered in community financial management:

### **Accountability**

Handling of funds should be as transparent as possible to build confidence of the people in the management of their funds. Bank statements, water supply financial account should be available for people to see. Independent committee of user representatives should be established to audit the accounts.

### **Accurate costing**

Accurate estimating of cost of activities should be worked out. This is important because it will give realistic costs for budgeting and tariff setting. The following costs should be considered:

- Personnel – management, technical, administrative staff, caretakers, operators etc.
- Materials and spare parts
- Transport
- Private contractors – repairs, rate collection, private artisans
- Other expenses – office and administrative overheads such as stationary, bank fees etc

## Collection of payments

Contributions should be collected when people are able to pay and may therefore be irregular. The method of collection should not be disproportionately costly to the revenue collected.

## Safe keeping of money

To ensure safety of money collected from users, Bank accounts must be opened and maintained.

## Fund administration

The administration of funds requires issuing of receipts for payments and expenditure and careful keeping of records.

## Financial and administrative skills

The administration of funds will require men and women with administrative skills. Retired officers have some administrative skills which can be utilized in the communities. Women have shown to be good treasures.

### 6.4 Tariff Setting

A water tariff is a rate at which users are charged for water. If cost recovery aims at satisfying an increasing demand for water then the tariff should reflect the cost of operation and maintenance (O&M) as well as the cost of the expansion of water supply facilities. However many water supply tariffs do not even achieve the costs for O & M.

A community needs the costs of running their water supply system to set a water tariff and draw a budget.

#### 6.4.1 Tariff Formulae

Particular formula may be used depending on what costs are intended to be recovered. The choice of one tariff will depend on the technology used, but mostly on the capacity and willingness to pay of the communities.

**Minimum Tariff** =  $\frac{\text{[Operation costs + Administrative costs + Maintenance Costs (Functional costs)]}}{\text{No. of people served.}}$

**Efficiency Tariff** – this will include costs of replacement or extension of the services. An agreed percentage in many cases 25% is used:

$$= \frac{(\text{Functional costs} + 0.25 \text{ Functional costs})}{\text{No. of people served.}}$$

**Environmental Tariff** – This tariff will include cost for the protection of the water sources.

$$= \frac{(\text{Functional costs} + 0.25 \text{ Functional costs} + \text{Cost of Protection environment})}{\text{No. of people served.}}$$

**Total Efficiency Tariff** – This tariff includes recovery of all the above cost and the initial investment costs. This is usually done by the community reimbursing

an agreed percentage every year. The initial capital contribution by the communities can be used for this purpose for the first years.

$$= (\text{Functional costs} + 0.25 \text{ Functional costs} + \text{Cost of Protection environment} + \text{Investment recovery}) / \text{No. of people served.}$$

Additional costs such as depreciation or inflation can be included in this if the project decides to recover them as well and the communities agreed to it.

## 6.5 Accounting and Bookkeeping

Accounting is the art of communicating financial information about a project to users such as stakeholders, Government, Development Partners and Managers. The communication is generally in the form of financial statements that show in money terms the economic resources under the control of management during implementation of the project.

Bookkeeping is the recording of transactions in a book. It originates from manual record keeping (transactions recorded in books) although it also applies to electronic recording of transactions.



Figure 6.1: Finance Officer recording funds

## 6.6 Travel, Workshops and Training expenses

For all practical purposes, Government circulars and travel policy shall be used including allowance rates as determined by the GoM from time to time.

All travel payments shall include a list of beneficiaries/payees by name or in its absence the number of expected participants/beneficiaries/payees and an amount to be received which shall be supported by beneficiaries' signature upon receipt of payment.

The person paying participants shall account for money paid to participant immediately **within 7 working days**. One shall state the amount advanced, amount used per expense line, account codes, receipts for other transactions, General Receipt for the amount returned. The District Commissioner shall discipline a member of staff that fails to account for the float within the required period.

No new temporary float should be issued when there is still one outstanding unless there is a justified reason. The reason must be documented and approved by the District Commissioner.

## 6.7 Funds Flow and Reporting Mechanism

### Step1: Special Project Account

The LA will open a Project bank account for each source of funding and notify the ministry responsible for water affairs of the details including authorised signatories. The signatories to the project account should include at least one from each category. Three signatories at a time shall authorise each payment.

## **Step 2: Community Contributions**

The communities will open a separate project (subproject) bank account to which they will pay their contributions and provide evidence (bank statement) to the LA. Communities will make their cash contribution at the time of signing Subproject Agreement with the LA.

## **Step 3: Preparation of Procurement Plan and Budget**

After approving individual FMPS submitted by communities, the LA will prepare a procurement plan and budget covering all FMPs and submit this to the ministry responsible for water affairs. The plans and budgets should be within the resources allocated to the LA.

## **Step 4: Approval of Plan and Budget by the ministry responsible for water affairs**

The ministry responsible for water affairs will review and approve the procurement plan and budget. The ministry responsible for water affairs will check on technical details such as feasibility, timing, compatibility with unit costs, database, etc.

## **Step 5: Subproject Agreement**

Once the plan is approved, the LA will sign a Subproject Agreement with Communities.

## **Step 6: Request for Funds**

Once the Subproject Agreement has been signed, the District Council will submit a request to the ministry responsible for water affairs for the release of funds.

## **Step 7: First Allocation by the ministry responsible for water affairs**

Based on the budget and agreement, the ministry responsible for water affairs will release the first 30% of the budget. The money will be paid directly into the district Project bank account.

## **Step 8: Accounting by District Council**

The Director of Finance will account for the funds in the following way:

- Record all financial transactions in a special Project cash book.
- Keep files of vouchers and support documents for all financial transactions for reviews and verification.
- Record details of each disbursement on Statement of Expenditure (SoE) sheets
- Prepare Statement of Expenditure (SoE).
- Prepare financial reports together with the progress report.

## **Step 9: Follow Up Allocations**

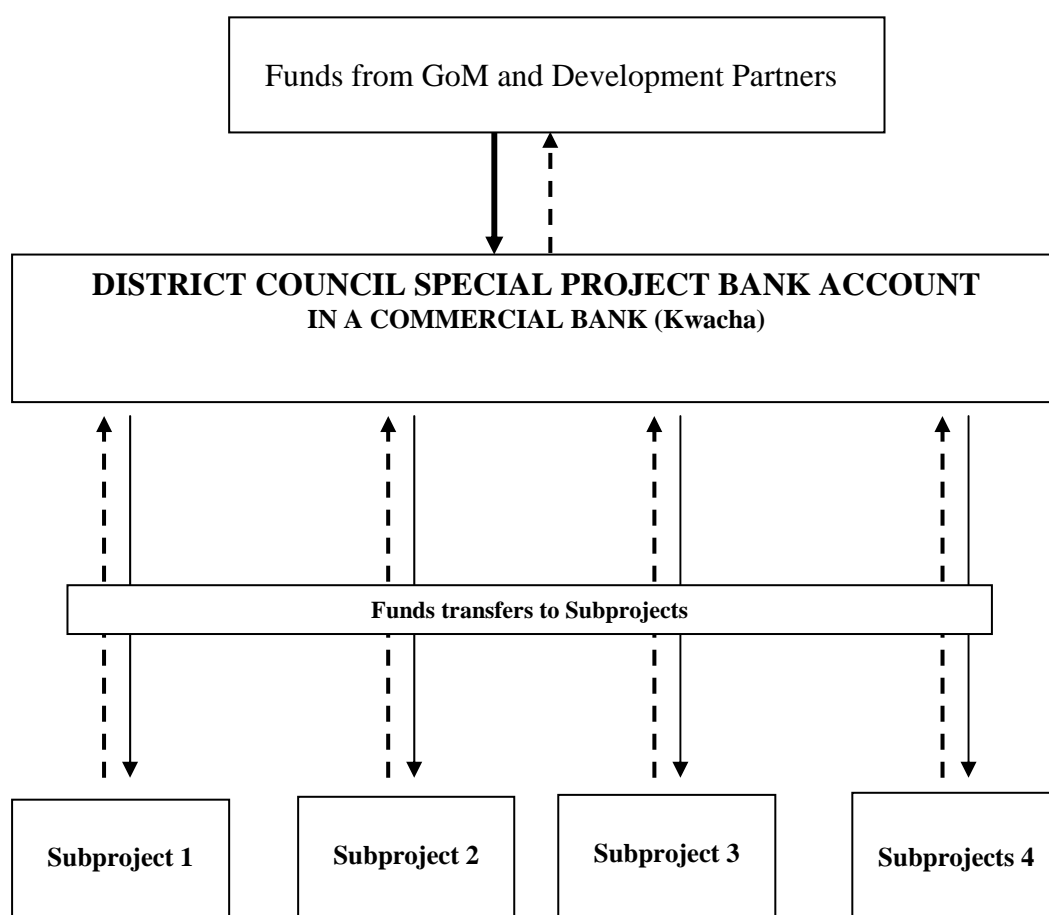
For subsequent allocations the District Council should submit SoEs once they cover at least 70% of expenditures of the previous balance. Once these statements have been checked, the ministry responsible for water affairs should transfer the necessary funds to the district project account.

All requests should be supported by:

- Bank reconciliation statement.
- Bank statements.
- Evidence that the full 5% community contribution has been utilised.
- Certification from participating communities on progress of work done.
- All paid up vouchers with supporting documents.
- Income and Expenditure Report.
- Float reconciliation.
- Cash flow for the subsequent period.

Follow up tranches should be sent at least quarterly or at most every month and the final tranche should be sent upon submission of SOEs on all previous disbursements with certification of works signed by DCT or consultants.

### FUNDS FLOW DIAGRAM



### 6.8 Financial Management Reports

DoF will be expected to produce quarterly Financial Management Reports which will form the basis of the Financial Management Information System. These reports will be submitted along with the requests for replenishment of funds.

Each report will include:

1. Financial Statements

- Quarterly receipts and payments and cumulative.
- Bank reconciliations and copies of bank statements.

2. Procurement Management Report

- Details of contract expenditure (works, goods and services)

3. Project Monitoring Report.

- Implementation status (to be prepared by DWO).
- Analysis of variance of project costs against planned expenditure.
- Analysis of variance of physical output.

The ministry responsible for water affairs will conduct the following assessment after receiving the District Council progress report and request for replenishment:

- **Completeness:** A report form will have been filled and signed by the appropriate DCT/WUA members. Original receipts and vouchers will be included, completed, signed and certified and together with a recent bank statement and returned cheques.
- **Internal Financial Consistency:** Statements of income and expenditures on the report form should tally with the documentation of expenditures, bank statements and returned cheques.
- **Procurement Justification:** the ministry responsible for water affairs procedures for procurement should have been followed. Prices should fall within the approved range of unit costs.
- **Consistency with Project:** The reported expenditures and purchases should be reasonably consistent with the project components and bill of quantities. Materials, labour and consultancies should be within the plans for the project. Cumulative level of expenditures should be at least roughly consistent with the reported progress of the project.
- **Consistency with other reports:** Other project reports, such as supervision visits, should be consulted for inconsistencies or problems with the project, which may influence justification of disbursement

## 6.9 Stores Management

Stores management is a system of planning, organizing, coordinating, and controlling of all activities involved in store keeping and stock control so that they can be used efficiently, effectively and economically.



### **6.9.1 The reasons for keeping stock**

There are three basic reasons for keeping an inventory:

Time - The time lags present in the supply chain, from supplier to user at every stage, requires that you maintain certain amount of inventory to use in this "lead time".

Uncertainty - Inventories are maintained as buffers to meet uncertainties in demand, supply and movements of goods.

Economies of scale - Ideal condition of "one unit at a time at a place where user needs it, when he needs it" principle tends to incur lots of costs in terms of logistics. So bulk buying, movement and storing brings in economies of scale, thus inventory.

### **6.9.2 Types of stock**

- Buffer/safety stock.
- Cycle stock (Used in batch processes, it is the available inventory excluding buffer stock) .

### **6.9.3 Purchasing Process**

Purchasing Process includes as usual 8 main stages as follows:

- Requisitioning.
- Approving.
- Studying Market (quotations/ inviting bids).
- Making Purchase Decision.
- Placing Orders.
- Receipting Goods and Services Received.
- Accounting for Goods and Services.
- Receiving Invoices and Making Payment.
- Debit note in case of material defect.

Larger quantities are purchased through the IPC following the procedure listed above.

### **6.9.4 Receipt of Goods**

All goods received shall be properly inspected, checked and reconciled to valid Purchase Orders/technical specifications.

All goods for the Project shall be properly accounted for by raising a Goods Received Note.

### **6.9.5 Procedures**

Receive a delivery note from the supplier and match it with the related Purchase Order/technical specifications.

Inspect the goods by checking the following:

- Quantity received shall match the quantity ordered.
- Specification of goods shall agree to that on the Order.
- Description of goods shall agree to the Order.

Technical personnel shall test and verify technical goods before receipt and sign the supplier's delivery note to acknowledge receipt of the goods. Raise a Goods Received Note in duplicate and include the following:

- Date goods are received.
- Purchase Order number.
- Supplier's delivery note number.
- Quantity of goods actually received.

Sign the Goods Received Note as evidence of satisfaction of goods received.

Match the Goods Received Note with the purchase order.

Send original copy of the GRN and a copy of the purchase order to the accounts office for matching with supplier invoice. The documents are used for payment and updating records.

Each item of stock shall be recorded on a separate bin card.

#### **6.9.6 Issuing goods**

- No goods shall be issued from stores without approval.
- The officer requiring the goods shall fill a stores requisition form or a job order which has to be authorized by the supervisor/authorizing officer.
- Stores staff shall maintain a list of authorizing officers to counter check / authenticate approvals.
- Recipient of goods shall acknowledge receipt by signing a Stores Issue form prepared in duplicate a copy of which shall be retained by the stores staff.
- Once issued the bin card should be updated immediately.
- Stocks shall be issued on a First In First out (FIFO).

#### **6.9.7 Stock Taking**

It is the act of carrying out checks on items in stores to establish if procedures are followed and stock is being managed efficiently. This can be undertaken by internal auditors, external auditors and management depending on the need.

### **6.10 Fixed Asset Management**

Fixed assets procured under the projects will remain projects property until the end of the project and therefore requiring separate fixed asset registers being maintained by the District Council to ensure that all assets are correctly and accurately reflected in the books of the Project and that all assets are identifiable, recorded and regularly verified.

For proper safeguard and control of project fixed assets, the following procedures shall be adhered to:

- A fixed asset register shall be maintained to record all project fixed assets. The register should show:
  - Type of asset

- Description of asset
  - Date of purchase
  - Cost
  - Payment details
  - Location/user
  - Make/model
  - Registration/serial number
- The register should be divided into categories of fixed assets e.g. motor vehicles, office equipment and furniture.
  - Fixed assets shall be recorded in the fixed assets register at the time of purchase.
  - The ministry responsible for water affairs shall physically verify the existence of all fixed assets on a regular basis. The results of the physical verification shall be compared to the register.
  - The independent auditor shall physically verify all fixed assets as part of annual audits.
  - Depreciation shall not be provided on fixed assets in accordance with GoM accounting policies.
  - All fixed assets are adequately insured against all risks.

## **6.11 Audit**

Financial auditing will be carried out at least once a year to ensure adequacy in the financial management system of the project. The audits will be conducted by an independent auditor.

The auditors will assess project accounts as well as other accounts at the national level and prepare a management report identifying weaknesses and making recommendations for improvement.

### **Auditing of District Council Accounts will involve the following:**

- Auditing of sample sub-projects so that over a period the whole project is covered.
- Financial Assessments.
- Assessment of both software and hardware outputs.
- Random physical verification or completed works in the communities.
- Evaluation of procurement methods.

District Internal Auditor will conduct regular audit verification (SOE review), preferably every month, and after completion of the subproject will check whether individual expenditures are fully supported by adequate documentation. The Audits will include assessing the reliability and accuracy of the supporting documents to ensure that expenditures claimed are eligible for financing under the subprojects and physical progress/completion of the subprojects. The Auditor will prepare quarterly audit review report and submit it to the Council Finance Committee.

## Chapter 7: Capacity Building and Training

One of your major tasks as a District Council is to coordinate the capacity building and training of stakeholders involved in RWSSP at the district and community levels – DCT, other LA staff, Service Providers, Water User Committees and Caretakers. The role of the LA is to define the training needs, help to identify people to do the training, coordinate the training courses and organise appropriate follow up.

The specific objectives of capacity building and training are to:

- Orient existing stakeholders (e.g. water department staff) and new stakeholders (e.g. private service providers) to their new roles and the strategies and approaches of RWSSP.
- Develop knowledge, skills, attitudes and team work needed by stakeholders at different levels to carry out their respective roles.

In addition the RWSSP training programme will:

- Assist new Service Providers to develop the business and organisational skills needed to operate in the private sector.
- 
- Facilitate the development of training skills at different levels so that stakeholders at each level can assist with the training of those below them in the system.
- Provide certification for certain skills (e.g. pump repair, civil works construction) as part of a system of ensuring quality control over the service delivered.
- Use training events as part of the process of strengthening RWSSP methodology through analysing problems identified by stakeholders and redesigning approaches.

### 7.1 Stakeholder Role

LA and community level training is planned and coordinated by the DCT, who will be assisted by the parent Ministry responsible for water affairs. The DCT will define training needs, develop training plans, identify trainers to conduct the training and monitor the training.

Training of the DCT, LA staff, and Service Providers will be conducted by national core team or Training Consultants. Training of community organisations and leaders (Water Use Committees, Caretakers and Repair Teams) will best be done by Extension Worker Teams.

The roles of different stakeholders are given in the table below:

Stakeholder	Role/Responsibility
District Coordination Team (DCT)	<ul style="list-style-type: none"> <li>• Conduct Training Needs Assessment (TNA)</li> <li>• Develop training plans</li> <li>• Help identify trainers or Training Consultants</li> <li>• Monitor training and organise follow up</li> </ul>
Ministry responsible for water affairs	<ul style="list-style-type: none"> <li>• Design training courses and materials</li> <li>• Select and contract Training Consultants</li> <li>• Monitor and evaluate training</li> </ul>
Training Consultants (TC)	<ul style="list-style-type: none"> <li>• Plan and conduct training courses for DCT and Service Providers (Facilitation &amp; Technical)</li> <li>• Organise on-the-job training and follow up</li> </ul>
Extension Worker Team (EWT) /Facilitation Service Provider (FSP)	<ul style="list-style-type: none"> <li>• Plan and conduct training of WUCs</li> <li>• Organise on-the-job training and follow up</li> </ul>
Technical Service Provider (TSP)	<ul style="list-style-type: none"> <li>• Plan and conduct training of local utility operators, caretakers, sanitation artisans</li> <li>• Organise on-the-job training and follow up</li> </ul>

## 7.2 Training Needs Assessment

All stakeholders need a basic orientation to RWSSP – policies, strategies, roles of all stakeholders, project cycle, technical options and Health, Sanitation and Action and gender responsive promotion. Therefore, there is need for the LAs to assess training needs and develop a training plan. The idea should be to assess the level of skill in each of the key training areas and specific problems in doing various tasks.

A list of general key training needs for different stakeholders is given in Appendix 4.

### 7.2.1 Conducting Training

When conducting training, it is important to observe the following:

#### Standardised Courses & Training Needs Assessment

Standardised courses should be designed by RWSSP for all target groups. However, many stakeholders already have relevant skills and experience, so training should be based on trainees' existing skills, knowledge and performance. Before training takes place, the DCT should conduct a Training Needs Assessment to



Figure 7.1: Training in session

identify critical skill gaps for the specific training audience. This information should be used in adapting the standardised training course to the specific target group.

### **Complementing Other Training**

The RWSSP training programme should focus on training areas which are not being met by other projects and will complement other training activities organised for the same target groups. The RWSSP training programme should focus on capacity building for water and sanitation while encouraging other agencies to support the development of generic skills (e.g. Financial Management for District Councils).

### **Field Practice and On-the-Job Training and Support**

Training should not stop with the formal workshop – it must be reinforced with field practice and on-the-job guidance and support. For example, after learning their skills in the classroom, facilitators should practice them in the field and conduct follow up visits.

### **Action Planning**

At the end of each workshop trainees should develop an action plan to guide field practice of the skills learned. The action plan should give a list of tasks to be completed each with clear objectives, targets, indicators, and time-line. Trainees should carry them out in the period between training events. The action should ensure that training is not theoretical but instead closely linked to work in the field. The plan should also serve as a tool for trainers to provide on-the-job coaching.

### **Monitoring**

Training should be monitored to ensure that it is on track and achieving the results expected. Monitoring guidelines must be drawn up with indicators for each of the priority actions.

### **Support Materials**

Trainees should be given manuals and other materials to reinforce the training and provide on-the-job guidance.

### **Ongoing Refresher and Updating Training**

Training should not stop with the basics. Other opportunities should be provided for refresher and updating training, which will provide new information and respond to operational/field problems and issues identified by trainees.

### **Gender**

RWSSP should promote gender equality to ensure equal access by women and men to training opportunities. There is need to facilitate full participation of women and men in training activities. Facilitators should be given skills in gender responsive approaches and encouraged to incorporate gender issues into training programmes.

## Chapter 8: Cross Cutting Issues

### 8.1 HIV and AIDS

The Water Supply and Sanitation Projects (WSSP) shall be successful and sustainable if there is no discrimination against members of the society on the basis of real or perceived HIV status. Discrimination and stigmatisation of people living with AIDS inhibits efforts aimed at promoting HIV and AIDS prevention and mitigation which negatively impact on WSSPs.

Therefore, LAs should address issues of HIV and AIDS in all WSSPs and include them in all the plans and proposals.

This can be achieved by:

- **Leadership Training**

Training WUCs and other stakeholders on how to facilitate HIV and AIDS awareness, planning and action.

- **Data Collection and Plan Development**

Collect data on community high risk practices related to the spread of HIV, community perceptions on AIDS, and services available (e.g. condoms, counselling, testing, etc.) Based on this data the Water User Committees and community should develop a plan for HIV and AIDS education and action, which will be incorporated into the FMP.

- **Organisation of Participatory Meetings**

LAs should encourage WUCs and other stakeholders to organise a series of community and peer group meetings (women, men, and youth) using participatory methods and tools in order to:

- Build awareness that AIDS exists and people are at risk of getting it;
- Build commitment to do something about it;
- Personalise the risk of HIV infection and share information on modes of transmission and ways people can protect themselves;
- Analyse barriers to AIDS prevention (e.g. lack of access to condoms) and factors which promote HIV transmission e.g. drinking, migrant labour, unemployment forcing young women into commercial sex, cultural practices (e.g. widow inheritance);
- Decide on what can be done individually and collectively to minimise risks;
- Analyse the needs of AIDS affected households (e.g. effect on production and household workload) and advocate against exclusion or isolation;
- Decide on what can be done to support AIDS affected households e.g. giving exemptions from water tariffs (where they are unable to pay);
- Implement the plan and organise monitoring and follow-up support.



- **Advocacy of New Ideas**

LAs and all stakeholders should undertake advocacy campaigns and raise new ideas as follows:

- Recognition that AIDS exists and everyone is at risk;
- Empowerment a feeling that people are not powerless, that people can do something to reduce the risk of HIV/AIDS;
- Collective action and mutual support – commitment to work together to support each other and support AIDS affected households;
- Openness to talking about sex and HIV and AIDS;
- Stamp Out Stigma (SOS) – break the exclusion, isolation and stigmatisation practised against AIDS affected households.

## 8.2 Gender

In response to the contemporary problems encountered in global communities, the United Nations member states including Malawi incorporated the issues of gender in the 2000 MDGs agenda.

District Councils, therefore, should mainstream gender in all WSSPs to ensure equal participation.

Gender mainstreaming being the process of integrating gender needs, issues and concerns in all programmes and activities to promote equality, District Councils should integrate gender concerns in the formulation, implementation and monitoring of policies, programmes, projects, processes, budgets, legal instruments and activities of the WSSPs.

### 8.2.1 Gender Issues and Concerns

- Key decision making positions are dominated by men.
- Low participation of men in water and sanitation.
- Responsibility for collection of water rests in hands of women and girls.
- Most water and sanitation committees are dominated by men.
- Lack of gender disaggregated data.



**Figure 8.1: Women should take part in decision making**

### 8.2.2 Gender Mainstreaming Strategies in WSSP

Some common strategies to effectively mainstream gender issues and concerns in WSSPs are as follows:

- Encourage women and other disadvantaged groups to participate in decision making.
- Sensitize and encourage men to participate at all levels of management of water supply and sanitation projects.
- Sensitize communities that the role of collecting water is everyone's responsibility
- Involve women and other disadvantaged groups in the development and management of water supply and sanitation activities.

- Provide women and other disadvantaged groups with opportunities to play leadership roles in community based development of water supply and sanitation.
- Improve situations where women and other disadvantaged groups can easily access water and sanitation facilities.
- Educate women and other disadvantaged groups on water, sanitation and health situations.

### 8.3 Environment

District Councils have a responsibility to protect the environment. They should adequately discuss issues of environment in the implementation of WSSPs.

District Councils should ensure that there is no loss of private property. Construction of water and sanitation facilities which may involve loss of property such as gardens and woodlots must be done after ensuring all other alternatives have been exhausted, i.e. consulting the concerned officials or other relevant landlords. If the losses are substantial so as to warrant compensation, the councils should make a decision on compensations.

Councils should carry out Environmental Impact Assessments (EIAs) of the project in order to systematically evaluate any project impacts on the environment and natural resources. However, it is not all programmes which will need EIAs. Therefore, reference to materials produced by the Department responsible for environmental affairs should be made for guidance.



Figure 8.2: Catchment areas for a gravity fed piped water supply scheme

## Chapter 9: Monitoring, Evaluation and Reporting

Monitoring and evaluation (M&E) are tools which help to assess progress and the overall impact of any planned development activity, and WSSP, in particular. Both tools involve collecting and analysing information. DCTs, Water User Committees and other stakeholders use this information to take decisions and improve performance and outputs. Therefore, M&E is a function of good management.

Monitoring is done while you are carrying out a project in order to:

- Assess progress – what has been done, what has not been done.
- Identify problems and their causes and find appropriate solutions.
- Check that resources are used effectively and activities are not costly.
- Check if the work is producing the required results.

Evaluation is done at the end of a phase of work to assess:

- Successes and failures of the work carried out.
- Results - what impacts were achieved? Were the objectives achieved?
- Lessons learnt – to improve future projects.

Monitoring focuses on inputs and activities – the process of implementation.

Evaluation on the other hand, focuses on the impact or effects of the project, i.e. whether the original goals have been achieved.

### 9.1 Levels of Monitoring and Evaluation

M&E is carried out at different levels by different stakeholders mainly as follows for WSSPs:

- Community Level – community members and Water User Committees.
- District Level – DCT and Service Providers.
- National Level – Ministries and Development Partners.

At each level, the stakeholders should monitor and evaluate project activity from their own perspective, measuring progress against expected results using agreed indicators. Stakeholders at each level should be able to analyse and use the data to define and solve problems and to improve project performance as described below:

#### 9.1.1 Community Level

The community will monitor and evaluate:

- Services provided – training, siting, and drilling, civil works, spare and repairs, etc.
- Community management – including accessibility, water quality, operation and maintenance, WUC functioning, financial management and gender participation.
- Health results – hygiene and AIDS related practices and sanitation action.

The Extension Worker Teams (EWTs) should help the community develop an M&E plan included in the FMP and encourage them to use a participatory M&E process. The M&E plan should include: results that the community want to achieve and indicators chosen by the community to assess their progress. Ideally, results will be expressed in terms of:

- Increased access to potable water supply.
- Increased access to improved sanitation.
- Improved health and hygiene practices.
- Self-sufficient community management of WSSPs.

The WUCs should discuss their M&E findings with the community and VDC as well the EWTs who should, in turn, pass them on to the DCT.

Facilitation Service Providers (FSPs) should help the community to systematically monitor and report on the performance of service providers e.g. treatment plant contractors, borehole drillers, pump installers, civil works contractors, artisans, etc. The WUCs should be given a checklist to help monitor these services. At the end of the project, they should complete a report on the services provided.

### **9.1.2 District Level**

The primary monitor at the district level is the DCT which will monitor and evaluate the following:

- Community awareness, need and demand.
- Performance and results of communities.
- Performance and results of Service Providers.
- Financial expenditure – if it is consistent with financial budgets.

The first two data sets will be obtained from the FSP reports which should be collated by the DCT. The DCT should also carry out its own data gathering on the other issues it will prepare regular reports with recommendations and submit them to the DEC. The DCT should also send copies of reports to the Ministry responsible for water affairs.

### **9.1.3 National Level**

At the national level, the Ministry responsible for water affairs will monitor and evaluate the following:

- Performance and results of communities, DCTs and Service Providers.
- Financial expenditure – if it is consistent with financial budgets.
- District Institutional support – DCT, DESC, DEC, etc.
- Progress and results on national level components (e.g. policy development, capacity building, stakeholder collaboration, materials production, etc).

The Ministry should collate the data obtained in district reports and add their own observations and analysis. They should also initiate additional M& E studies as required, for example, baseline studies, quality assurance of works, compliance with procurement procedures, etc.

## **9.2 Developing a Monitoring Plan**

The first step in monitoring is to develop a monitoring plan based on the key activities outlined in district W&S annual implementation plan. For each activity, decision should be made on key results or outputs – what is expected from this activity; measurable indicators; and data sources, collection methods, frequency and who is responsible.

### 9.2.1 Steps

The steps for developing a monitoring plan are as follows:

- Define outputs and indicators at start of project;
- Develop data collection instruments and train people to collect data;
- Collect baseline data and other data at appropriate stages;
- Write reports at appropriate stages – DCT will prepare quarterly activity reports against work plans including:
  - Tasks completed and results realised,
  - Progress on current tasks,
  - Analysis of delays and proposed corrective action.

### 9.3 Tips on Monitoring

**Keep Data Collection Simple:** Do not waste time collecting information which will never get used.

Decide what data will be the most useful in helping you plan and solve implementation problems and leave out unnecessary data. Focus on the indicators which will help to redirect activities.

**Keep Data Collection Activity Affordable:** Decide what data can be collected at low cost (both time and money). It is better to be almost correct, cheap and timely rather than exact, expensive and too late.

**Define Indicators carefully:**

- Define each key word in the problem issue and the criteria or measure (how much? To what extent?)
- Clearly state the time frame (by when?) and the location (where?)

**Consult Stakeholders:** Find out from communities and Service Providers what issues they are concerned about. In what form and at what levels will monitoring information be accepted and likely to be used?

**Select both Quantitative and Qualitative Indicators:** Quantitative Indicators such as the number of WUCs trained or water points constructed are relatively easy to collect, but they do not tell the whole story. You also need qualitative indicators which give a measure of the impact e.g. how well is a WUC working. Collecting data on qualitative indicators is often more time consuming and involves meetings with Water User Committee or community members.

**Analyse According to Specific Groups where Relevant:** Find out how the project is affecting men, women, youth, the poor, etc.

**Plan for the use of data from the beginning:** It is important not only to collect data but be able to analyse and use to solve a problem or improve project performance.

**Monitoring Information should be acted upon at the lowest level possible:** It should only be reported to higher levels as needed, not automatically.

**Provide Training in Monitoring:** Train EWTs and WUCs on monitoring, including selection of indicators and data collection methods.

**Ensure Consistency in reporting formats:** Consistency (e.g. forms used by EWTs/FSPs) ensures that data is comparable and can be aggregated.

**Ensure that M&E results are accessible** and can be used by project implementers at all levels.

**Conduct Field Visits:** DCT should visit target communities at least once a quarter to talk to WUCs and the user community and review progress against plans and schedule. DCT should also meet regularly with EWTs and SPs to get a quick update on progress. Both sets of data will be useful for monitoring. Refer Appendix 12 for monitoring checklist.

## 9.4 Evaluation

On completion of each sub-project, the DCT should conduct a Sub-Project Evaluation, working together with the Water User Committee and community. The evaluation should assess the following impact indicators;

- Level of satisfaction of water users with outcomes.
- Management/maintenance rating of the new Water User Committee.
- Number of people with increased access to potable water.
- Lessons learned

### 9.4.1 Purpose of Evaluation

The purpose of evaluation is to:

- Assess effectiveness (Results) – if goals and other results were achieved.
- Assess efficiency (Delivery) –if value for money was achieved.
- Assess development soundness – Who benefits? Are benefits distributed equally? Does it create dependency? Is it suitable? What is the effect on environment?
- Identify changes/improvements – to improve planning of future projects.

### 9.1.4 Benefit of Evaluation

The benefits of evaluation are as follows:

- Community – Awareness of their benefits and how they can improve management.
- Service Providers – information to improve services and problem solving.
- Council/DCT – learnt lessons to be applied in other future projects.
- Ministry – accountability for funds; lessons learnt to be applied elsewhere.

### 9.4.3 Stages of Evaluation

The main stages of evaluation are:

- Project Start – clarify goals, collect baseline data, set up record-keeping.
- Project end – assess if goals achieved; other impacts; implications for programme changes.



#### 9.4.4 Methods of Evaluation and Sources of Data

The common methods of evaluation and data sources are as follows:

- Interviews, meetings, workshops, observation.
- Community profiles or case studies.
- Reports (WUC and FSP), proposals (FMP), work plans.
- Surveys and questionnaires.

### 9.5 Reporting

Stakeholders at different levels should produce reports on a timely basis in order to provide information for management e.g. status of work in the field and results as described below:

#### 9.5.1 The Community

Water User Committees should keep records (e.g. minutes, financial records, spares & repairs records) for their own monitoring purposes. At the end of the project, they should produce a short report of the completed work (for which project funds have been used). The most important reporting however will be their progress reports to the user community at regular meetings – and relevant/selected information to the VDC.

#### 9.5.2 Extension Worker Teams/Facilitation Service Providers

EWTs/FSPs should report on each of their major activities:

- Participatory Community Planning (including production of FMPs).
- Training workshops for Water User Committees.
- Support for Construction/Implementation.
- Support for Operation and Maintenance.
- Promotion on Hygiene, Sanitation, and other cross cutting issues including HIV and AIDS.

EWTs/FSPs should use a common reporting format which includes a brief description on activities results and indicators for each major activity. This format should be provided by the responsible Ministry.

#### 9.5.3 District Coordination Team

DCT is supposed to produce reports on a quarterly basis – both narrative and financial. The narrative reports should focus on those activities in the work plans which were carried out during the reporting period. The reports should include:

- Brief description on each activity – highlights on progress, not a detailed account.
- Analysis of constraints and proposed corrective action.
- Statement of results and lessons learned.

The DoF should produce quarterly financial reports covering:

- Quarterly expenditures vs. quarterly estimates for each line item – showing variance.
- Explanation of major variances.
- Cumulative expenditures to date against budgeted amount for each line item.
- Financial project for the next two quarters.



DCT should also report to DEC, DESC and the responsible Ministry. These reports should:-

- Collate and supplement data and insights from EWT/FSP reports.
- Provide DEC, DESC and responsible Ministry with significant statistics and analysis for ongoing W&S programme planning and management.
- Contribute to project-level M&E and the national MIS on rural water & sanitation.

## **9.6 Reporting Formats**

DCT reports should use the following reporting format:

### **9.6.1 Quarterly Report – 1<sup>st</sup> and 3<sup>rd</sup> Quarters**

- Summary comment on quarterly progress.
- Statistical tables.
- Milestone report.
- Financial Report.

### **9.6.2 Bi-Annual and Annual Reports – 2<sup>nd</sup> and 4<sup>th</sup> Quarters**

- Summary comment on 6 or 12 months progress.
- Narrative report on work plan activities – with analysis (activities, results, constraints, proposed action/solutions).
- Statistical tables.
- Milestone report.
- Financial report.
- Annual work plan and budget for a year ahead (Annual Report only).

## **9.7 Reports Utilisation**

### **9.7.1 Feedback to Community**

Reports help to summarise what the community has achieved so far. If feedback information is provided to the community, it helps them to get a better sense of how they are progressing and the issues that still need to be resolved. This helps to motivate them at the same time.

### **9.7.2 Feedback to District Council**

Field reports help the Councils to make informed decisions– in particular the DEC and DESC.

### **9.7.3 Feedback to the Sector**

Field reports help the responsible Sector to build a bigger picture of what is happening in the sub-sector. It also helps the Sector learn which strategies and methods are helpful and not, what is working and what is not working.

The information in the reports goes into Management Information Systems. It is added to and compared with information from the other reports. This information helps the Sector to improve the understanding of how the project is running at District Council level. The information in

reports should be numerical aggregated with other information to compile statistics. While numerical information is not enough, it gives a wider picture of the programme to guide decision making.

#### 9.7.4 Feedback to Development Partners

Reports help development partners to learn how funds have been spent by implementers to build confidence and trust for further funding.

# Appendices

## Appendix 1: Deciding on Scale of Programme

### Introduction

Before finalizing the list of communities to be assisted, you need to decide how many projects you can effectively manage as a District LA over one year period. This decision is related to several factors. Including the geographical spread of communities. Availability of Service Providers, number of drilling rigs which are available, District LA's own funds, etc. These step looks at these issues

### Who Participates?

- District Coordination Team, District Health Committee

### Objective

- Determine the number of communities to be assisted by the District LA over a single project cycle

### Major Output

- Agreed number of communities to be assisted

### Steps

1. DCT prepares a technical paper for the District Health Committee at the issues below and recommending a manageable target or quota of communities to be assisted. Priority communities are plotted on a map.
2. The District Health Committee reviews the issues described below

### How many communities can the District LA manage successfully?

Discuss each of the following questions:

- How many communities at a time can DCT support and monitor effectively?
- In how many communities at a time can DCT manage Service Providers?
- How many projects can the LA finance themselves?
- How many skilled teams of Community Facilitators are available in the district and how many communities can each team effectively manage?
- How many skilled Service Providers are available within the district/region?
- If communities want boreholes, how long is the drilling season in your district?

### How many boreholes can be drilled per month?

1 rig = 10 wells/month x 6 month drilling season = 60 wells (MAXIMUM)

- How many drilling companies are available and what is their capacity?
- How many hydro geologists are available and what is their capacity?
- How many districts are relying on their services to site boreholes

The final decision on the choice of communities will also be affected by politics and geography, Some Assemblies may decide to spread investments in water supply around the district to avoid being accused of favouring one area over another. (For example they may decide to support a few communities in each TA.) Other Assemblies may choose to focus their efforts within 2 or 3 TAs, which have been relatively neglected. This approach would be more cost effective.

## Appendix 2: Criteria for Community Selection

### **Is there a strong community demand?**

Indicators of community demand and interest might include:

- Is water supply the top priority, or are other services (e.g. school or electricity) considered more important
- How much money has community already raised for the new water supply?
- What other actions have the community taken to improve their traditional water sources e.g. digging traditional wells deeper?
- How was the attendance and participation at community meetings to discuss the new water supply?

### **Can the community manage the new water supply?**

Indicators of community management capacity might include:

- Number of active community-based organizations (CBOs)?
- Number of other community projects and how well maintained?
- Level of women's participation in managing community projects?

### **Are 'commitment fees' deposited in the bank?**

- Has the community deposited the 'commitment fees' in the bank?
- Is there a bank deposit slip showing that it has been deposited?

### **Are there enough users to justify a new water facility?**

Because providing very small communities with water costs more per person than larger ones, RWSSP has set a lower limit of 75 for the population of communities eligible for assistance. Check the population figures for each village in District LA records, and eliminate communities with populations below 75. Be careful, however, to make sure that the figures are up-to-date. If they are not, try and find an up-to-date estimate.

### **What safe water facilities does the community already have?**

To determine which communities are well served and which are not, you need to look at what safe water systems are already available in each community-

- Type of facilities? Condition? Yield? Distance to facilities?
- What is the ratio of safe water systems to population?

### **Are a lot of people suffering from water related diseases?**

This is another indicator of the status of water supply available to the community. Those communities which only have traditional sources (e.g. river, pond, dug out) will often have high levels of diarrhoea, cholera and bilharzias.

### **Are there lot of conflicts and disputes?**

As the success of a community water project depends on community mobilization and participation. It will be impossible to implement projects in communities involved in disputes over chieftaincy, land or ethnic issues. If you are aware of any such dispute, then set the community aside until such time when it is solved.

### Appendix 3: Checklist for Community Selection

#### Background Factors

- ☐ Population
- ☐ Accessibility by vehicle – always, dry season only never
- ☐ Location – whole village or sub-village
- ☐ Time since application

#### Water Supply Sources

- ☐ Type
- ☐ Number
- ☐ Distance from households
- ☐ Condition of facility – working or not working
- ☐ Quality of water
- ☐ Permanence in dry season
- ☐ How prone to drought?

#### Sanitation Facilities (Latrines)

- ☐ Type
- ☐ Number
- ☐ Condition

#### Water and Sanitation related diseases

- ☐ Cholera
- ☐ Diarrhoea
- ☐ Bilharzias
- ☐ Skin and eye diseases

#### Community Interest and Motivation

- ☐ High ranking priority given by community to water supply
- ☐ Evidence of action taken by community to improve water supply situation
- ☐ Strong maintenance culture for water and sanitation facilities
- ☐ Amount of money already raised for water supply
- ☐ Level of community interest and commitment (e.g. number of people attending meetings organized to discuss water and sanitation.)

#### Potential for Community Ownership and Management

- ☐ Absence of conflicts within the community – ethnic, land, etc
- ☐ Number of active CBOs
- ☐ Successful community projects undertaken recently, including provision of financial and other community inputs
- ☐ Track record in maintenance of community projects
- ☐ Level of women's participation in managing community projects

## Appendix 4: Common Stakeholder Training Needs

<i>Stakeholder</i>	<i>Training Needs</i>
DCT	<ul style="list-style-type: none"> <li>• Results Based Management – tasks, outputs and indicators</li> <li>• Collection, storage, analysis and reporting on water &amp; sanitation data</li> <li>• Planning – DWSP, implementation &amp; procurement planning</li> <li>• Vetting community applications and Facility Management Plans</li> <li>• Procurement and contract management</li> <li>• Training management (TNA, planning, monitoring, etc)</li> <li>• Hygiene, Sanitation HIV/AIDS, gender</li> <li>• Supervision, monitoring and evaluation and reporting</li> <li>• Coordination and monitoring activities of different stakeholders</li> <li>• Legal issues – WUC registration, land and water rights, conflict resolution</li> </ul>
LA Members	<ul style="list-style-type: none"> <li>• Promotion/Demand Creation, Community Selection and FMS Approval</li> <li>• Procurement and Contract Management</li> <li>• Planning, Monitoring and Evaluation</li> </ul>
Extension Workers	<ul style="list-style-type: none"> <li>• Promotion, Verification and Community Selection</li> <li>• PHAST, CLTS methodology and its use in HIV/AIDS promotion</li> <li>• Community mobilisation and participatory planning methodologies</li> <li>• Monitoring Service Providers and follow up support to communities</li> <li>• Orientation on: Hygiene, Sanitation, HIV/AIDS and gender</li> <li>• Facilitation skills and participatory methods and tools</li> <li>• Working with different target groups (men, women, youth, etc.)</li> <li>• Participatory monitoring and evaluation</li> </ul>
Facilitation/Technical Service Providers	<ul style="list-style-type: none"> <li>• Participatory facilitation skills and methods</li> <li>• Working with the community and forming/strengthening WUC</li> <li>• Participatory planning (including PRA tools, technical options, siting, etc.)</li> <li>• Participatory hygiene, sanitation, HIV/AIDS and gender</li> <li>• Managing money (facilitation approach, bookkeeping, etc)</li> <li>• Training skills and approaches (for training WUCs)</li> <li>• Results based planning, monitoring and evaluation</li> <li>• Technical Skills – guidelines and standards for their specific task</li> <li>• Working with the community – working under community supervision</li> <li>• Work Planning, teamwork and business/organisation development</li> </ul>
Water User Committees	<ul style="list-style-type: none"> <li>• Organisation, roles and meetings; and working with the community</li> <li>• Participatory planning and developing Facilities Management Plan</li> <li>• Technical – options , siting, construction and O&amp;M</li> <li>• Collection and management of money (including book-keeping)</li> <li>• Hygiene, sanitation, HIV/AIDS and gender</li> <li>• Monitoring and Evaluation</li> </ul>
Caretakers	<ul style="list-style-type: none"> <li>• Pump parts, names and functions, LA</li> <li>• Fast wearing parts and how to replace them</li> <li>• Pump problems, causes and how to replace them</li> <li>• Inspection tests; proper use of pump, pump site cleaning/maintenance</li> <li>• Relations with community and Water User Committee</li> </ul>
Operators	<ul style="list-style-type: none"> <li>• Operating procedures of equipment (engine, pump, tank, pipes)</li> <li>• Routine and preventive maintenance</li> <li>• Water quality surveillance and record keeping</li> <li>• Problem solving, trouble shooting and monitoring</li> <li>• Relations with community and Water User Committee</li> </ul>

## Appendix 5(i): Example of Training Work Plan

<b>Key Activity:</b> Train WUC in skills to manage water supply, sanitation and hygiene				
<b>Key Results</b> WUC is managing each of its responsibilities in a timely manner				
<i>Monitoring Indicators</i>	<i>Data Sources</i>	<i>Collection Methods</i>	<i>Frequency</i>	<i>Who</i>
Number of training activities organised in comparison with number planned	Training reports	Review reports	Quarterly	DCT
Regular WUC and Community meetings to report and plan	WUC minutes	Review minutes and observe	Quarterly	FSP
Collecting and managing money and other resources (e.g. spares)	WUC records	Review records and observe	Quarterly	FSP
Buying spare parts and organising repairs when WS breaks down	Caretaker Records	Review records and observe	Quarterly	FSP
Facilitating meetings and action on hygiene, sanitation and HIV/AIDS	WUC Records	Review records and observe	Quarterly	FSP

## Appendix 5 (ii) Example of Borehole Drilling Work Plan

<b>Key Activity:</b> Borehole drilling to produce water of adequate quality				
<b>Key Results:</b> Boreholes constructed to MWD standard and producing water of adequate quantity and quality				
<i>Monitoring Indicators</i>	<i>Data Sources</i>	<i>Collection Methods</i>	<i>Frequency</i>	<i>Who</i>
Number of boreholes drilled in comparison to the target number	Drilling Reports	Check Records	Quarterly	DWO
Borehole construction meets MWD specifications	Drilling Reports	Check Records	Once after Drilling	DWO
Test pumping results meet required standards	Test Reports	Check Reports	Once after Drilling	DWO
Results of water quality test meet required standards	Test Reports	Check Reports	Once after drilling	DWO



## Appendix 6: FMP Appraisal Checklist

### 1. General Information

- 1.1 Is the proposal complete?
- 1.2 Has it been signed by Water User Committee members?
- 1.3 Is there at least one female signatory?
- 1.4 Does community have legal title/ownership of land on which facility to be sited?

### 2. Community Information

- Is the estimated population accurate?  
Has the community identified all water sources and existing facilities

### 3. Technology Option and Service Level

- 3.1 Has the community indicated the type of facility it wants to be funded?
- 3.2 If rehabilitation proposal, have they described the existing facilities?
- 3.3 Do the proposed facilities meet all technical standards established by MWD?
- 3.4 Are the numbers of water points requested adequate for the population?
- 3.5 Did all community members (women, men, poor, etc.) participate in the decision?
- 3.6 Has a proposed site been given? (Is the village map attached to the proposal?)
- 3.7 Have sanitation facilities also been discussed with the community?

### 4. Capital Costs

- a. Is the estimated total cost of sub-project determined by the community accurate?
- b. What is the total cost of water facility? \_\_\_\_\_ What is per capital cost? \_\_\_\_\_
- c. Is this amount within the acceptable range established by the RWSSP?
- d. Amount of community contribution deposited in the bank: \_\_\_\_\_
- e. Is this amount sufficient to meet the 5% community contribution requirement?

### 5. Water User Committee

- 5.1 Has the community formed the Water User Committee?
- 5.2 Are the names and signatures of all members listed in the FMP?
- 5.3 Is WUC gender balanced? (at least 50% of members should be women)
- 5.4 Do community members know the Water User Committee members?

### 6. Environmental Concerns

- 6.1 Have the community identified their main environmental concerns?
- 6.2 Have they described how they plan to deal with their environmental concerns?
- 6.3 Have they indicated how far the site is from the latrine, cemetery, refuse dump, etc?
- 6.4 Have they indicated how they will protect the water source?
- 6.5 Have they indicated how they will dispose of waste water?

### 7. Operation and Maintenance

- 7.1 Has the estimated annual O&M cost been indicated?
- 7.2 Is the estimated O&M cost correct?
- 7.3 Have the community indicated how it will generate funds for O&M?

### 8. Role of Community in Project Implementation

- 8.1 Has community developed an ACTION PLAN for subproject implementation?
- 8.2 Does the Action Plan include:
  - Proposed topics for training and community development?
  - Role of community in supervising Service Providers?
  - Participation in final siting of water points?
  - Role in supervision of construction?
  - Signing of completion certificate?
  - Maintenance of all project records in a community file?

## Appendix 7: Example of DCT Responsibility Chart

Responsibility Chart							
This is an example of a tool which DCT would use to divide up its work							
Responsibility	DC	DPD	DFO	DWO	DEHO	DCDO	EDO
Call DCT Meetings	√						
Write DCT Meetings		√					
Report to DHC and LA	√	√	√	√			
Liaise with ESAs	√	√					
Develop Data Base		√		√	√		
Prepare DWSP & annual plans	√	√	√	√	√	√	√
Promotion and verification				√	√	√	
Appraise application & FMPs		√		√	√	√	√
Prepare consolidated budget			√				
Prepare procurement plans		√	√				
Prepare implementation plans		√		√	√	√	√
Prepare procurement documents		√					
Technical evaluation of bids		√		√	√	√	√
Negotiate and sign contracts	√						
Manage and monitor training						√	
Supervise/Monitor Facilitation SPs					√	√	
Supervise/Monitor Technical SPs				√	√		
Manage District W&S fund			√				
Registration of WUCs		√					
Backup support to communities				√	√	√	√
Facilitate spare parts system				√			
Train and register Area Mechanics				√			
Train and register Latrine Artisans					√		
Write monthly reports		√		√	√	√	√
Small towns Programme				√			
Monitoring and Evaluation	√	√	√	√	√	√	√

## Appendix 8: Example of Project Milestones Plan

Project Milestones	Date
Community Promotion Completed	
Verification – Applications Verified	
Selection – Communities Selected	
Contracting – FSPs Contracted	
FSP Training No. 1 Completed	
Water User Committee Training No 1 Completed	
Planning – FMP Completed	
Commitment Fees (5%) Paid	
Appraisal – FMPs Appraised	
Contracting of Technical Service Providers	
Orientation of Technical Service Providers	
FSP Training No. 2 Completed	
Water User Committee Training No. 2 Completed	
New WS Facilities Constructed	
Water User Committee Training No. 3 Completed	
Caretaker Training No. 1 Completed	
Caretaker No. 2 Completed	
Follow Up Visits Completed	
Spares & Repairs System Established	

## Appendix 9: Agenda for Community Meetings

The Community should hold one or two meetings to discuss how they can organise themselves to participate in WSSP. They should discuss the following issues:

### 2. Existing water sources and facilities in the community

- *What are the existing facilities/sources? What is their condition?*
- *What are the main problems people face in using existing sources? (e.g. unprotected/ dirty – causes illness, long distance, not enough water)*

### 3. How to improve Community Water Supply

- *What have we done already to improve water supply?*
- *What do we want to do now e.g. improve/rehabilitate existing water facilities or develop new water facilities?*
- *What types of water supply are we thinking about? (hand dug wells, boreholes, pumps, gravity piped system, etc)*
- *What benefits will we get from new/rehabilitated water facilities?*

### 4. Hygiene, Sanitation and HIV/AIDS

- *What health problems are caused by the old/unprotected sources? (e.g. diarrhoea, Cholera, Bilharzia)*
- *What will be the health benefits of new/protected water facilities?*
- *Sanitation – How do people dispose of faeces? Is that a problem? What is the effect on water sources? How many people own latrines? What conditions are they in? What can we do to encourage people to build/improve/use latrines?*
- *HIV/AIDS – what are the risks? What can we do to minimize them?*

### 5. Organisation – Community Management of Facilities

- *How will the community manage the new water facilities?*  
(Elect Water User Committee; pay capital (5%) & maintenance (100%); plan, site and help build facilities; select caretakers; maintain facilities)
- *How to select a strong/gender balanced committee to manage facilities?*
  - a) *Roles: What tasks/activities will the committee have to manage facilities?*
  - b) *Criteria: What qualities/skills to look for in selecting members?*
  - c) *Women: Why include women? What roles will they play?*
  - d) *Sections: What sections of the community should be represented?*
  - e) *New or Old? Could an existing committee be used/ strengthened?*
  - f) *Problems: What things should we try to avoid in new committee?*  
(e.g. money problems, one-man show, no meetings, etc.)

### 6. Arrangements to elect committee

- a) Full community meeting;
- b) Democratic election;
- c) Involvement of women and all sections

### 7. Raising Commitment Fees and opening Bank Account

- *How much money has to be raised to pay commitment fee?*
- *How to collect money? (Amount per adult/household? When? etc)*
- *How to keep the money safe? Importance of opening bank account*

## Appendix 10: Checklist for Community Selection

### Background Factors

- ☐ Population
- ☐ Accessibility by vehicle – always, dry season only never
- ☐ Location – whole village or sub-village
- ☐ Time since application

### Water Supply Sources

- ☐ Type
- ☐ Number
- ☐ Distance from households
- ☐ Condition of facility – working or not working
- ☐ Quality of water
- ☐ Permanence in dry season
- ☐ How prone to drought?

### Sanitation Facilities (Latrines)

- ☐ Type
- ☐ Number
- ☐ Condition

### Water and Sanitation related diseases

- ☐ Cholera
- ☐ Diarrhoea
- ☐ Bilharzia
- ☐ Skin and eye diseases

### Community Interest and Motivation

- ☐ High ranking priority given by community to water supply
- ☐ Evidence of action taken by community to improve water supply situation
- ☐ Strong maintenance culture for water and sanitation facilities
- ☐ Amount of money already raised for water supply
- ☐ Level of community interest and commitment (e.g. number of people attending meetings organized to discuss water and sanitation.)

### Potential for Community Ownership and Management

- ☐ Absence of conflicts within the community – ethnic, land, etc
- ☐ Number of active CBOs
- ☐ Successful community projects undertaken recently, including provision of financial and other community inputs
- ☐ Track record in maintenance of community projects
- ☐ Level of women's participation in managing community projects

## Appendix 11: Common Participatory Tools

### Community Mapping

Participants use whatever materials are available to create a map of their community showing its water sources and sanitation facilities. This helps people visualise their overall situation. This can be done on the ground with a stick or written on a large sheet of paper. Participants then use the map to discuss water, sanitation and health problems facing the community.

### Health Walk (Guided or Transect Walk)

Participants (e.g. members of a WUC) walk through the village observing water sources, sanitation facilities and health practices and problems, and discuss them as they walk. For example they may visit the water point, observe how water point surrounding is being cared for and talk to women. The walk makes things real and practical.

### Three-Pile Sorting

Participants sort pictures of hygiene or sanitation behaviours according to whether they are considered “good”, bad, or “in-between”. Then participants discuss 2 – 3 ‘good’ behaviours they want to promote; and 2 – 3 ‘bad’ behaviours they want to discourage.

### Transmission Routes and Blocking The Routes

These are two linked tools. “Transmission Routes” is a set of pictures showing different ways in which faecal oral contamination can occur. Participants arrange the pictures to show how they see faecal matter spread. “Blocking the Routes” shows how to stop this oral faecal contamination. Participants select pictures of ‘barriers’ (e.g. latrines, hand washing, etc.) and place them on the original diagram to how to stop the spread of faecal matter. Participants then discuss each of the ‘barriers’ and how they can practice them in their own lives.

### Sanitation Ladder

This technique uses a set of pictures showing different sanitation options. Participants arrange them on a scale from worst to best, like steps on a ladder. They identify their own situation and look at advantages of moving up the ladder and the feasibility of different choices. This tool helps households choose the type of latrine which suits their income level.

### Gender Role Analysis

In this activity participants sort a set of pictures which depict household and community tasks on the basis of who would normally perform them – a man, or a woman or a man and a woman jointly. People assess the way tasks are distributed by gender. The exercise helps men recognise the heavy workload faced by women and to renegotiate the division of labour.

### Story with Gap

This activity uses two pictures – one showing a “before” scene (a problem situation) and one showing an “after” scene (improved situation or solution). The pictures stimulate discussion on the steps to move from the “before” to the “after” situation. In this way they fill the “gap” in the story. This helps to simplify the planning process by breaking it down into series of steps.

## Appendix 12: Checklist for Monitoring RWSSP

### General

- Frequency of visits by EWTs/facilitators
- Relationship between EWTs/Facilitators and community/WUC
- Number of training events for Water User Committee

### Community Awareness and Commitment

- Community understanding of RWSSP and their role in it
- Involvement of women and different sections in meetings and decision-making
- Attendance at community meetings
- Participation in discussing to prepare Facility Management Plan
- Community actions agreed on, planned and implemented
- Participation in communal labour

### Water User Committee

#### Composition

- Gender Balance?
- Representative? (different sections, rich and poor)

### Selection Process

- Open/public/democratic?

#### Meetings

- How often?
- How effective? (decisions reached)

### Collection and Management of Funds

- Amount collected
- Record Keeping
- Use of Bank Account
- Accountability to community

### Facilities & Management Plan (FMP)

- Community members aware of technology choice (what and why)
- Method for raising funds known and agreed by community
- Capital cost contribution collected

### Construction

- Community/WUC supervision of construction
- Community input into siting
- Community input into labour and materials

### Operation and Maintenance

- Support for caretakers
- Purchase and storage of spare parts
- Quick action when facility breaks down

### Hygiene, Sanitation and HIV/AIDS

- Analysis carried out and actions planned and implemented
- Number of latrines improved or constructed
- Cleaning and maintenance of water point site
- Use of water in household