

**GOVERNMENT OF THE UNITED REPUBLIC OF TANZANIA**

**MINISTRY OF WATER**



**WATER SECTOR DEVELOPMENT PROGRAMME (WSDP)**

**Programme Implementation Manual**

**Annex 5**

**Programme Operational Manual  
(POM)**

**February 2006**

# TABLE OF CONTENTS

TABLE OF CONTENTS .....	i
<b>1. INTRODUCTION .....</b>	<b>1</b>
<b>2. OVERVIEW OF THE NRWSSP .....</b>	<b>3</b>
<b>2.1 THE CHALLENGES OF THE WATER AND SANITATION SECTOR .....</b>	<b>3</b>
<b>2.2 THE POLICY FRAMEWORK .....</b>	<b>4</b>
<b>2.3 OTHER RELATED LEGISLATION, POLICIES AND STRATEGIES .....</b>	<b>7</b>
<b>2.4 THE NRWSSP .....</b>	<b>9</b>
2.4.1. <i>Introduction .....</i>	<i>9</i>
2.4.2. <i>Programme Outputs .....</i>	<i>9</i>
2.4.3. <i>Programme Components .....</i>	<i>10</i>
2.4.4. <i>Key Operational Strategies .....</i>	<i>11</i>
2.4.5. <i>Benefits and Target Population .....</i>	<i>11</i>
2.4.6. <i>The Project Cycle .....</i>	<i>12</i>
<b>3. INSTITUTIONAL RESTRUCTURING OF KEY IMPLEMENTING AGENCIES .....</b>	<b>13</b>
<b>3.1 INSTITUTIONAL RESTRUCTURING .....</b>	<b>13</b>
<b>3.2 NATIONAL INSTITUTIONS .....</b>	<b>14</b>
<b>3.3 SPECIALISED TRAINING FOR MOW STAFF .....</b>	<b>15</b>
REGIONAL INSTITUTIONS .....	15
<b>3.4 CAPACITY AT REGIONAL LEVEL .....</b>	<b>16</b>
<b>3.5 NATIONAL COORDINATING COMMITTEES .....</b>	<b>16</b>
<b>4. LOCAL GOVERNMENT LEVEL MANAGEMENT .....</b>	<b>18</b>
<b>4.1 INTRODUCTION .....</b>	<b>18</b>
<b>4.2 LGA STAKEHOLDERS AND THEIR RESPONSIBILITIES .....</b>	<b>18</b>
<b>4.3 FORMATION AND OPERATION OF THE DWST .....</b>	<b>20</b>
4.3.1 <i>Formation of a District Water and Sanitation Team .....</i>	<i>20</i>
4.3.2 <i>Task Management .....</i>	<i>21</i>
4.3.3 <i>Day-to-Day Operation of a DWST .....</i>	<i>22</i>
<b>4.4 STEPS IN THE PROGRAMME CYCLE AT THE LGA LEVEL .....</b>	<b>22</b>
4.4.1 <i>Introduction .....</i>	<i>22</i>
4.4.2 <i>Signing of Memorandum of Understanding .....</i>	<i>23</i>
4.4.3 <i>Orientation of LGA personnel to the NRWSSP Strategy .....</i>	<i>23</i>
4.4.4 <i>Promotion of Demand at the Community Level .....</i>	<i>23</i>
4.4.5 <i>Appraisal of Community Applications .....</i>	<i>24</i>
4.4.6 <i>Appraisal of Community RWSS Projects .....</i>	<i>25</i>
4.4.7 <i>Preparation of District Water and Sanitation Plan .....</i>	<i>25</i>
4.4.8 <i>Hiring Service Providers .....</i>	<i>25</i>
4.4.9 <i>Supervision of Works .....</i>	<i>27</i>
4.4.10 <i>Commissioning of Projects .....</i>	<i>27</i>
4.4.11 <i>Follow-up Support .....</i>	<i>27</i>
<b>5. COMMUNITY LEVEL MANAGEMENT .....</b>	<b>28</b>
<b>5.1 INTRODUCTION .....</b>	<b>28</b>
<b>5.2 COMMUNITY LEVEL ORGANISATIONS .....</b>	<b>28</b>
<b>5.3 STEPS IN THE PROGRAMME CYCLE AT THE COMMUNITY LEVEL .....</b>	<b>30</b>
5.3.1 <i>Introduction .....</i>	<i>30</i>
5.3.2 <i>Step 1: Self Mobilisation .....</i>	<i>30</i>
5.3.3 <i>Step 2: Application for participation in the NRWSSP .....</i>	<i>31</i>
5.3.4 <i>Step 3: Planning of Community Projects .....</i>	<i>31</i>
5.3.5 <i>Step 4: Community Project Agreement .....</i>	<i>32</i>
5.3.6 <i>Step 5: Managing Construction .....</i>	<i>33</i>
5.3.7 <i>Step 6: Operation &amp; Maintenance of Facilities .....</i>	<i>34</i>
<b>6. CAPACITY BUILDING AND TRAINING .....</b>	<b>35</b>
<b>6.1 INTRODUCTION .....</b>	<b>35</b>
<b>6.2 PRINCIPLES AND STRATEGIES FOR CAPACITY BUILDING .....</b>	<b>36</b>
<b>6.4 TARGET GROUPS FOR COMMUNITY LEVEL CAPACITY BUILDING .....</b>	<b>38</b>
<b>6.5 MANAGEMENT OF TRAINING .....</b>	<b>39</b>

6.6	TRAINING MANUALS .....	39
6.7	SUPPORT TO PRIVATE SECTOR SERVICE PROVIDERS .....	43
<b>7.</b>	<b>HYGIENE AND SANITATION .....</b>	<b>44</b>
7.1	INTRODUCTION .....	44
7.2	HOUSEHOLD SANITATION .....	44
7.2.1	<i>Operational Principles</i> .....	44
7.2.2	<i>Household Sanitation Project Cycle</i> .....	45
7.3	SCHOOL SANITATION .....	46
7.4	SANITATION TECHNOLOGIES .....	48
<b>8.</b>	<b>WATER SUPPLY TECHNOLOGY OPTIONS .....</b>	<b>49</b>
8.1	INTRODUCTION .....	49
8.2	THE DECISION MAKING PROCESS .....	49
8.3	WATER SYSTEMS TECHNOLOGY OPTIONS .....	50
8.3.1	<i>Pumping Devices</i> .....	51
8.3.2	<i>Hand Pumps</i> .....	51
8.3.3	<i>Motorised Pumps</i> .....	52
8.3.4	<i>Photovoltaic Solar Pump System</i> .....	53
8.3.5	<i>Piston Pump Powered by a Windmill</i> .....	53
8.3.6	<i>Charco Dams</i> .....	53
<b>9.</b>	<b>PROCUREMENT PROCEDURES .....</b>	<b>54</b>
9.1	INTRODUCTION .....	54
9.2	GENERAL PROCUREMENT POLICIES AND GUIDELINES .....	54
9.3	IMPLEMENTATION ARRANGEMENTS .....	54
9.4	SCOPE OF PROCUREMENT .....	55
9.5	PROCUREMENT NOTICES .....	55
9.6	PROCUREMENT PLANS .....	55
9.7	PROCUREMENT METHODS .....	56
<b>10.</b>	<b>PLANNING AND FINANCIAL MANAGEMENT GUIDELINES .....</b>	<b>57</b>
10.1	INTRODUCTION .....	57
10.2	NRWSSP PLANNING GUIDELINES .....	57
10.3	DISBURSEMENT GUIDELINES .....	58
10.4	RELEASE OF FUNDS .....	58
10.5	DIFFERENCES IN BUDGET REQUESTS AND RELEASES .....	59
10.6	FINANCIAL MANAGEMENT GUIDELINES .....	60
10.6.1	<i>Banking of Funds</i> .....	60
10.6.2	<i>Preparation of Monthly Statements of Account</i> .....	60
10.6.3	<i>Closure of the Financial Year</i> .....	61
10.6.4	<i>Final Progress Reports</i> .....	61
10.6.5	<i>Auditing</i> .....	61
<b>11.</b>	<b>MONITORING AND EVALUATION .....</b>	<b>63</b>
11.1	INTRODUCTION .....	63
11.2	MONITORING .....	63
11.2.1	<i>M&amp;E Indicators</i> .....	63
11.2.2	<i>Monitoring Methods and Stakeholders</i> .....	64
11.3	PROGRAMME EVALUATION .....	66
11.4	MANAGEMENT INFORMATION SYSTEMS .....	66
11.5	REPORTING .....	67
11.5.1	<i>LGA Level</i> .....	67
11.5.2	<i>FSP &amp; TSP Reports</i> .....	68
11.5.3	<i>Community Level Reports</i> .....	68

## List of Tables

Table 1: NRWSSP Institutional Stakeholders .....	13
Table 2 Roles of National Institutions.....	14
Table 3: Roles of Regional Institutions .....	16
Table 4 Role of National Coordinating Committees .....	17
Table 5 Role of District Level Stakeholders .....	19
Table 6: Areas of Responsibility for each member of the DWST .....	20
Table 7: Assignment of DWST Tasks.....	21
Table 8 Service Providers and Their Functions .....	26
Table 9: Functions of Community Level Organisations .....	29
Table 10 Capacity Builders .....	37
Table 11 Community Level Target Groups .....	38
Table 12 Training Materials .....	40
Table 13 Outline of the LGA and Community Level Training Programme .....	41
Table 14 Household Sanitation Project Cycle.....	45
Table 15 Project Cycle for Implementing School Sanitation .....	46
Table 16 Technology Decision Making Steps .....	49
Table 17 Water Supply Technology Options .....	50
Table 18 Types of Selection Methods for Goods and Works .....	56
Table 19 Types of Selection for Consulting Services .....	56
Table 20 Time, Amount and Requirements for Releases of NRWSSP Funds.....	59
Table: 21 Reasons why Releases may be Different from Budget Request .....	60
Table 22 Stakeholder Responsibility for Monitoring & Evaluation.....	65
Table A.1: NRWSSP Logical Framework .....	69
TABLE A.2 – PROGRAMME CYCLE – EXCEL DOC .....	71
Table: A.3 NRWSSP Performance Measurement Framework .....	74

## ANNEXES

A	NRWSSP Logical Framework
B	Memorandum of Understanding – Ministry of Water and Local Government Authority
C	Community Application Form for NRWSSP Support
D	Project Appraisal Checklist
E	Outline for District Water Supply and Sanitation Plan
F	Facilities and Management Plan – Part A
G	NRWSSP Environmental Impact Assessment Guidelines
H	Community Project Agreement
I	Project Completion Form
J	Facilities and Management Plan – Part B

## Acronyms & Abbreviations

AIDS	Acquired Immunal Deficiency Syndrome
CBO	Community Based Organisations
CB&T	Capacity Building and Training
CMT	Council Management Team
COM	Community Ownership and Management
CORPS	Community Resource Personnel
CSO	Civil Society Organisations
DCDO	District Community Development Officer
DED	District Executive Director
DEO	District Education Officer
DHO	District Health Officer
DIP	District Investment Plan
MT	District Management Team
DOM	District Operational Manual
DPLO	District Planning Officer
DRA	Demand Response Approach
DWE	District Water Engineer
DWSF	District Water and Sanitation Fund
DWSDG	District Water and Sanitation Development Grant
DWSP	District Water & Sanitation Plan
DWST	District Water & Sanitation Team
DWST – SS	District Water & Sanitation Team – School Sanitation
EHW	Education, Health, & Water Standing Committee
FAP	Finance, Administration and Planning Standing Committee
FSP	Facilitation Service Provider
FMP	Facilities and Management Plan
GPN	General Procurement Notice
HIV	Human Immunal Deficiency Virus
H&S	Hygiene and Sanitation
ICB	International Competitive Bidding
IMCC	Inter-Ministerial Coordination Committee
LGA	Local Government Authority
LGA-WSDG	Local Government Authority Water and Sanitation Development Grant
LGCDG	Local Government Capital Development Grant
LGMTEF	Local Government Medium Term Expenditure Framework
LGRP	Local Government Reform Policy
M&E	Monitoring and Evaluation
MIS	Management Information Systems
MoF	Ministry of Finance
MoH	Ministry of Health
MoU	Memorandum of Understanding
MoW	Ministry of Water
NAWAPO	National Water Policy
NCB	National Competitive Bidding
NGO	Non Governmental Organisation
NRWSSP	National Rural Water Supply and Sanitation Programme
NSGRP	National Strategy for Growth and Reduction of Poverty
NWSDS	National Water Sector Development Strategy
OCAG	Office of the Controller and Auditor General
O&M	Operation and Maintenance
O&OD	Obstacles and Opportunities for Development

PHAST	Participatory Hygiene and Sanitation Transformation
PMO-RALG	Prime Minister's Office – Regional Administration and Local Government
POM	Programme Operational Manual
PPA	Public Procurement Act 2004
PPN	Promotional Procurement Notice
RS	Regional Secretariat
RWSD	Rural Water Supply Division
RWSS	Rural Water Supply and Sanitation
RWST	Regional Water & Sanitation Team
SBD	Standard Bidding Documents
SEF	Standard Evaluation Form
SP	Service Provider
SPN	Specific Procurement Notice
SWAP	Sector Wide Approach
TAC	Technical Advisory Committee
TAC-AIDS	Technical Advisory Committee on Acquired Immunal Deficiency Syndrome
TASAF	Tanzania Social Action Fund
TOR	Terms of Reference
TSP	Technical Service Provider
TSU	Technical Support Unit
VG	Village Government
Watsan	Water and Sanitation (Committee)
WC	Water Committee
WBO	Water Basin Office
WDC	Ward Development Committee
WRM	Water Resources Management
WUA	Water User Association
WUE	Water User Entity
WUG	Water User Group
W&S	Water and Sanitation

# 1. INTRODUCTION

The number of rural households having access to adequate and potable water and sanitation facilities falls well short of national development targets. The need to ensure that households have sustained and equitable access to safe and affordable water and sanitation is a cornerstone of the 2015 Millennium Development Goals and the 2025 Development Vision for Tanzania. This goal is also a pillar of the 2010 National Strategy for Growth and Reduction of Poverty (NSGRP or MKUKUTA), and the Local Government Reform Policy (LGRP). It is encapsulated in the National Water Policy (NAWAPO) of 2002.

The National Rural Water Supply and Sanitation Programme (NRWSSP) is being implemented according to the principles and strategies set out in the NAWAPO. The Programme is designed to assist institutions and communities to adapt to the new policy that includes an emphasis on community ownership and management, and *“shifting service delivery to the private sector whenever possible, thus leaving government departments free to focus on programme facilitation, coordination, monitoring and evaluation and overall policy formulation.”*

The Programme Operational Manual (POM) is designed as a working tool – a reference document – to assist the Ministry of Water (MoW) and partner institutions, particularly Local Government Authorities (LGAs), in the implementation of the NRWSSP. It is a quick guide on how the programme should be managed and implemented. The POM provides key actors with information on the Programme context, policies, institutional arrangements, stakeholders’ responsibilities, implementation strategies, guidelines and procedures.

The NRWSSP is based on (i) a demand responsive approach, and (ii) the concept of community ownership and management. These two principles underpin the strategy for developing water and sanitation services throughout Tanzania. The POM, therefore, provides background information to donors, and acts as a guide on how they may support the development in the water and sanitation sector.

More detailed information on the policies and strategies pertaining to the NRWSSP can be found in:

- National Water Policy (2002)
- Medium Term Strategic Plan for the Ministry of Water
- MoW, National Rural Water Supply and Sanitation Programme (NRWSSP), Main Report and Annexes, October 2005
- National Water Sector Development Strategy, February 2005
- Guidelines for Planning and Operating District Water and Sanitation Grants, October, 2005

Other important reference documents are

- Local Government Restructuring Manual
- Local Government Medium Term Framework,
- Public Procurement Act (2004)
- Local Government Financial Regulations,
- Local Government Financial Memorandum,
- Local Government Reform Medium Term Plan

In addition, various operational manuals have been developed specifically to guide the implementation of the NRWSSP. These are listed in Section 6: Capacity Building and Training.

The POM is based on the ‘*National Rural Water Supply and Sanitation Programme. Main Report and Annexes*’, (MoW, October 2005), and a number of thematic papers produced during the preparation of the NRWSSP.

The POM is divided into **eleven** sections.

Section 1 is the **Introduction**, which provides a quick overview of the national targets, the basis and context of the, NRWSSP and the purpose of the Programme Operational Manual.

Section 2 is the **Programme Overview**, which discusses the challenges of the current water and sanitation initiatives in the rural communities of Tanzania, and the policy and strategy framework that has evolved to confront those challenges. It provides an overview of the NRWSSP operational concepts and programme implementation strategy.

Section 3 is the **Institutional Framework**. This section outlines the institutional arrangements that have been put in place to facilitate the implementation of the NRWSSP. The roles and responsibilities of the main stakeholders at the national and regional levels are discussed.

Section 4 focuses on **Local Government Level Management** of the NRWSSP. Local authorities have a pivotal role in the planning, construction and management of the NRWSSP. This section describes the programme implementation cycle at the LGA level and the task areas of the involved stakeholder. It outlines the formation and operation of the DWST.

Section 5 focuses on **Community Level Management** of the NRWSSP. This section discusses the role of the communities in the implementation of the NRWSSP, concentrating on practical issues related to the ‘community ownership and management’ and the demand-responsive approach.

Section 6 discusses **Capacity Building and Training**. The section concentrates on the training and capacity building activities for individuals and institutions at the LGA and community levels.

Section 7 deals with the **Hygiene and Sanitation** component. The section describes the approach that will be used in the implementation of both household and school hygiene and sanitation. The section also gives a brief description of the household and school sanitation technology choices that are available.

Section 8 is about **Water Supply Technology Options**. The available water supply technology options are described. The process of facilitating community decision making about which technology to choose, and the level of service desired is outlined.

Section 9 is on **Procurement Procedures**. The section outlines the guidelines that Local Government Authorities are expected to follow when procuring works, goods, and services.

Section 10 focuses on **Financial Procedures**. The section outlines the guidelines that Local Government Authorities are expected to follow in managing water and sanitation grant funds under the NRWSSP.

Section 11 is on **Monitoring and Evaluation**. The section discusses monitoring and evaluation (M&E) Indicators, monitoring methods and tools to be used. The responsibilities of different stakeholders, M&E procedures, and reporting mechanisms are also discussed.

The POM consists of two parts: – the main body with eleven sections and Annexes. The Annexes are composed of various forms and checklists linked to the programme cycle activities.



## 2. OVERVIEW OF THE NRWSSP

### 2.1 The Challenges of the Water and Sanitation Sector

Despite significant efforts and investment in the water and sanitation sector over the last four decades by government and donors, water and sanitation (W&S) coverage remains low. In 2002, Ministry responsible for water and WaterAID established a baseline for W&S coverage across the country<sup>1</sup>. Data was drawn from the Household Budget Survey (HBS, 1999 and 2000/1) and the Demographic and Health Survey (DHS, 1999). The overall percentage of households using improved water supply sources in 2000/2001 was 56% (46% in rural areas and 88% in the urban). This overall coverage had risen 10% from 46% in 1991. The updated statistics provided by the Ministry responsible for water show the overall rural coverage has risen to 53 % as of June 2005.

Reliable information on sanitation coverage is less readily available. The HBS indicated that overall sanitation service levels for Tanzania were at 90%, but it is generally assumed that, in reality, considerably less than 50% of rural households have sustained access to adequate sanitation facilities. In fact, the sanitation component of the sub-sector has hitherto not attracted the level of resources necessary to make impact on improved hygiene and sanitation practises at the household level. Although it is as important for health as water supply, sanitation receives far less attention than water supply..

Over the last two decades sanitation has been combined with water supply in ways that have worked to the disadvantage of the former. Water supply has been given most attention, and sanitation and hygiene promotion have often been sidelined. Sanitation has been promoted on the basis of health benefits only, and the reasons that more frequently motivate most people to build latrines, such as convenience, privacy and status, have been neglected. Where resources have been made available, an excessive proportion was spent on hardware construction of sanitation facilities and not enough on promotion, planning and behavioural change.

Despite the considerable efforts that have gone into improving W&S facilities over the last four decades, many rural communities are still dependent on unsafe water from streams and lakes and use unsafe pit latrines or free-range defecation in the bush. Without safe water and appropriate latrines diarrhoea, cholera, bilharzia, and other water and sanitation related diseases are still rampant.

There have, in fact, been numerous initiatives by government and donors to improve rural water and sanitation services. In the past, many of these projects adopted aspects of “community participation”. However, they mainly used a **“free water” delivery approach** in which government (or donor) planned, built, and maintained rural water supply facilities.

Communities provided labour and materials for construction, but they were not required to make any financial contribution and had limited input to planning, development, and the operation and maintenance of these facilities. All aspects of decision making largely remained with central government. As a result communities felt no sense of ownership of the facilities and thus depended on government to manage and maintain their facilities.

The National Water Policy of 1991 in part addressed the problems of low coverage and poor maintenance of rural water systems, and gave greater emphasis to hygiene and sanitation.

To develop new water supply facilities and keep them operating, a new approach was needed – one in which **communities would play a central role**. In this approach communities would become the owners and managers of the facilities and take the lead role in initiating, planning, constructing, managing and

---

<sup>1</sup> MoW, WaterAID, East African Statistical Training Centre and the National Bureau of Statistics (2002), “Water and Sanitation in Tanzania”, Dar es Salaam, Tanzania.

maintaining their water facilities. The old approach where the Government played the role of “provider for all” cannot work with the increasing number of water supply facilities across the country.

## 2.2 The Policy Framework

In 2002 a new **National Water Policy** (NAWAPO) to address the above concerns was introduced. In the rural water supply component of the new policy, the development of water supply and sanitation facilities in the rural areas is based on a number of far-reaching concepts which includes:

- ❖ **Community Ownership and Management (COM):** Communities will initiate, plan, construct, own, manage, and maintain their water and sanitation facilities.
- ❖ **Demand Responsive Approach (DRA):** The programme will only assist communities which will express a demand for water supply and sanitation facilities and show that they are committed to fulfil their responsibilities in planning, financing, constructing, and managing their own facilities.
- ❖ **Integration of Water Supply, Sanitation and Hygiene:** Water supply will be developed along with hygiene and sanitation in order to maximise health benefits.
- ❖ **Community Contribution:** Communities will be required to pay a portion of capital costs both in cash and in kind for new schemes, for rehabilitation and for systems expansion. However, costs of O&M and for higher service levels will be paid in full by the communities.
- ❖ **Private Sector as Providers of Goods and Services:** The Private Sector (NGOs; consultants; drillers; contractors; suppliers of pipes, pumps, and other materials; private operators; artisans etc.) will provide goods and services to support communities in conceiving, planning, designing, constructing, maintaining and managing their water supply and sanitation facilities.
- ❖ **The Public Sector as Regulator, Facilitator and Co ordinator:** The Government is changing its role from being an implementer to a regulator, facilitator and Co ordinator. The Government both Central and LGAs will continue to support communities in the development of their water supply schemes.

Sustainable development and delivery of Rural Water Supply is a key principle of the NAWAPO. Prerequisites for a sustainable water supply are:

- (i) adopting the principle of managing water systems at the lowest appropriate level;
- (ii) the beneficiaries themselves establishing, owning and managing their water systems;
- (iii) full cost-recovery for operation and maintenance, and replacement;
- (iv) facilitating availability of spare parts and know-how for timely repair and maintenance of the systems through standardisation of equipment and promotion of private sector involvement;
- (v) protecting water source areas;
- (vi) reconciling the choice of technology and the level of service with the economic capacity of the user groups; and
- (vii) recognising women as being among the principal actors in the provision of rural water supply services.

## **Box 1**

### **National Water Policy, 2002**

The policy (rural water supply component) is based on social, economic, environmental and sustainability principles. These are:

1. Water for human consumption will receive first priority;
2. Investment priority will be given to water-scarce areas;
3. Water is recognised as an economic good. Its development for productive purposes requires efficient management of resources, and financing by the users themselves;
4. Water sources and surrounding areas are to be protected and conserved;
5. Environmental impact screening will be undertaken on planned projects and mitigation measures implemented; and
6. Water, sanitation and hygiene promotion initiatives will be integrated
7. Sustainability of rural water supply services will be emphasised

The policy sets out the following goals relevant to the rural water supply sub-sector:

1. Sustainable water supply and sanitation services legally owned and managed by the communities themselves;
2. Communities empowered and facilitated to make appropriate technology choices that suit them, particularly those that require low investment costs and are least costly in operation and maintenance;
3. Involvement of communities in planning, design and construction, including the letting and supervision of design and construction contracts;
4. Communities that are fully responsible for operation and maintenance of their water supply systems. Communities will be educated and facilitated to enable them manage operations and meet operational costs including that of system improvement;
5. Improved service delivery through increased private sector participation;
6. Government changing its role from implementer of water programmes to that of regulator, facilitator and coordinator;
7. The basic level of service for domestic water supply in rural areas being a protected, year-round supply of 25 litres of potable water per capita per day through water points located within 400 metres of the furthest homestead and serving 250 persons per outlet;
8. Provision of adequate water for livestock by including water requirements for livestock in the rural water supply designs and placing emphasis on construction of dams, charcos and water wells for livestock;
9. Rainwater harvesting technologies promoted through awareness raising and training of various stakeholders;
10. Integration of water supply services, promotion of sanitation and hygiene education;
11. Active and effective participation of both women and men in rural water supply programmes;
12. Establishment of Service delivery systems that ensure the efficient and equitable use of water;
13. Communities required to pay a portion of capital costs, both cash and in kind, and to pay the full costs of O&M; and for higher service levels;
14. Demand-Responsive Approach (DRA) promoted;
15. Roles and responsibilities of each actor in the RWS sector, clearly defined and disseminated.



## 2.3 Other Related Legislation, Policies and Strategies

Since rural water supply and sanitation is a multidisciplinary and multi-sectoral activity, the individual health, environment, local government, rural development, land and human settlement, and forestry policies provide strategic linkages to the NAWAPO, and complement the aims and objectives of NRWSSP. Significant policies and strategies related to NAWAPO are listed below:

### Other Policy and Institutional Developments

#### Local Government Reform Policy (LGRP year.....)

- Assigns authority and responsibility for the development of local services (including water supply and sanitation) to the LGAs.
- Provides guidelines for decentralisation – how authority and responsibility are to be transferred from central government to LGAs.
- Emphasizes the importance of capacity development – LGAs being equipped with the skills to implement their new roles and responsibilities.

#### Public Service Management and Employment Policy (1998)

- Aim: to improve management performance in the delivery of services to the public.
- Strategy 1: Withdraw from the role of direct provision of services and take up a new policy and facilitation role.
- Strategy 2: Promote the participation of other players – communities, district councils, and the private sector - in the delivery of services.
- Strategy 3: Transform itself into a smaller, more efficient public service through employment and promotion policies based on competence and transparency.

#### National Health Policy (1990)

The vision of the Ministry of Health is to provide health services of high quality that are effective and accessible to all, and delivered by an effective and sustainable national health care system. Its mission is to ensure that all health providers deliver health services for the achievement of improved public health.

#### Small and Medium Enterprises Development Policy ( year.....)

- Goal: To make the private sector the engine of growth for alleviating poverty.
- Strategy: Support the private sector by facilitating the creation of an enabling working environment and providing other services.

#### Environmental Policy (year.....)

The environmental policy objectives for the W&S sector are geared towards ensuring that the planning and implementation of initiatives related to water resources are carried out in an integrated manner, and in a way that protects water catchment areas and their vegetation. This will be achieved by conducting environment impact assessments, by undertaking appropriate mitigation measures, by improving the management and conservation of wetlands, by promoting technology for effective and safe water use—particularly for water and waste water treatment and recycling—and by instituting appropriate user-charges that reflect the full value of water resources.

#### Rural Development Policy and Strategy (year.....)

The Rural Development Policy and Strategy acts as a platform on which sector ministries' policies are coordinated, harmonised, and integrated, to give the rural development process a holistic view. In the case of the water sector, the Rural Development Policy and Strategy states that:

- (i) The central government and local governments will pursue and/or promote an integrated approach to rural water supply and sanitation, productive activities and human consumption;
- (ii) The central government, local governments and other stakeholders will mobilise funds and attract private resources to ensure increased supply of safe water within household proximity; and

The central government will create an environment conducive to private sector participation in developing rainwater-harvesting technology that is appropriate for rural areas.

**The National Poverty Eradication Strategy: (1998)**

- Strategies to develop agriculture and other activities to overcome poverty
- Importance of participation of the rural poor in planning and implementation

**The National Strategy for Growth and Reduction of Poverty (MKUKUTA: 2004)**

Legislation related to the rural water supply and sanitation sector includes:

- The Laws of Tanganyika 1947 – 1950, Cap 281, as amended by:
  - Waterworks Ordinance, 1949, Cap 281-Supp. 62
  - Urban Water Supply Act, No. 7 of 1981 (amended by Act No 8 of 1997 or referred to as the DAWASA Act)
  - Water Laws (Miscellaneous Amendments) Act No. 8 of 1997
  - Waterworks Regulations, 1997, G.N. 371
  - Waterworks (Water Supply) designated and declared areas, Rules, 1997, G.N. 369
  - Operational Guidelines, 1998;
- Public Health (Sewerage and Drainage) Ordinance, 1955, Cap 336;
- National Investment (Promotion and Protection) Act 1990;
- The Energy and Water Utilities Regulatory Act No 11 of 2001;
- The Local Government Authorities (District Councils) Act, 1982 as amended, 30th June 2000; and
- The Local Government Authorities (Urban Authorities) Act, 1982 as amended, 30th December 2000.

In terms of the NRWSSP, the most significant legislative instruments are the Waterworks Regulations, 1997 and the Water Laws (Miscellaneous Amendments) Act, No 8 of 1997. Under the former, the Minister responsible for water may designate certain areas to become a water supply and sewerage authority, which may be managed as an autonomous body, a public or private company, a water users association, a co-operative society or a NGO. The areas excluded are villages, or minor settlements, which are more than 400 metres from an existing distribution network.

However, legislation related to the provision of water supply and sanitation services has developed over time through amendments to the original primary law. As a result, the current legislative provisions:

- lack clarity and, in some cases, lead to contradiction of intent;
- have led to a differentiation between service provision in large urban areas, other population centres, and rural areas;
- are not harmonised with the provisions of local government legislation; and
- do not reflect the institutional and organisational changes necessary to implement NAWAPO.

Water supply and sanitation legislation is currently under review to harmonize conflicting water related laws and regulations and intergrate relevant customary law into the statutory law.

## **2.4 The NRWSSP**

### **2.4.1. Introduction**

The **National Rural Water and Sanitation Programme** will ensure that common approaches to the development of water and sanitation services for the rural population are adopted. The programme is being implemented in line with the provisions of NAWAPO and within the overall strategic framework for the sector.

NRWSSP is an integral part of a national effort to reduce poverty and to improve the health and quality of life of the rural households. The Programme is one of the key strategies for achieving the national development goals or targets. These are:

- MTEF
- National Strategy for Growth and Reduction of Poverty - MKUKUTA - 65% of the rural population has sustained and equitable access to safe water and sanitation by 2010.
- Millennium Development Goals - at least 74% of the rural population have clean and safe water supply and sanitation by 2015.
- Tanzania Development Vision - 90% of the rural population are served with clean and safe water by 2025.

The NRWSSP is part of the MoW's sector wide approach (SWAP). The water sector is currently facing the major challenges of weak and fragmented institutions for water supply and water resources management, and poor integration of local government, private sector and civil society. In line with the strategies set out in NAWAPO, SWAP brings together the three sub-sectors namely rural water supply, urban water supply and sewerage, and water resources management, under one comprehensive investment and regulatory regime.

The programmes of each sub-sector will be based on a community-demand responsive orientation, decentralised implementation through local governments and dedicated water user entities, combined with central government facilitation, and delivery of services by the private sector. The objective is increased access, reliability, affordability and sustainability of services.

June 2003 marked the start of a three-year transition period towards the NRWSSP. The transition period was designed to: (i) lay the foundations for SWAP; (ii) prepare the necessary investment plan; (iii) build capacity for delivery at all levels; and (iv) establish the necessary institutional and regulatory framework for sustained delivery of water supply and sanitation services country-wide.

NRWSSP will be implemented within the broader context of the National Water Sector Development Strategy and the more strategic requirements of the RWSS sub-sector. The MoW will decentralise both operational and implementation responsibilities as well as the non-core functions to LGAs, communities and private sector service providers. Regional Secretariats (RSs) will be strengthened so that they will be able to provide technical support to LGAs within their regional boundaries.

In order to achieve its objectives, NRWSSP will require to scale up the planning and implementation capacity at all levels as described in the logical framework (Annex A).

### **2.4.2. Programme Outputs**

The Logical Framework for the NRWSSP defines the Programme goal as:

**Improved health and quality of life and reduced poverty of rural Tanzanians**

The Programme objectives are grouped under three outcome-level result areas:

- Improved district level capacity to implement demand-based RWSS projects;
- Improved access of rural communities to water and sanitation services operated and maintained by capable women and men, and improved health & hygiene practices; and
- Capacity development in terms of (a) improved capacity of MoW to provide and administer policy and act as facilitator of overall RWSS sub-sector development; and (b) improved capacity of the private sector /NGOs to provide goods and services to the RWSS sector

### **2.4.3. Programme Components**

The NRWSSP outcome objectives are linked to the three components of the Programme namely:

#### **District Management Support;**

- LGAs implementing demand-based RWSS.
- District Water and Sanitation Teams (DWSTs) conducting community project appraisals.
- Community projects being financed in whole or part from District Water and Sanitation Funds (DWSFs).
- LGAs mitigating impacts of HIV/AIDS on Programme results.
- DWSTs providing on-going monitoring & support to communities in RWSS O&M and the promotion of good sanitation, health & hygiene.

#### **Construction of RWSS schemes**

- Increased access to water supply & sanitation services (total users / beneficiaries coverage as percentage of total rural population).
- Increased number of rural communities with adequate management, operation and maintenance procedures, which fully involve women in decision-making roles.
- Reduced time spent collecting water.
- Improved water quality.
- Improved knowledge, attitudes and practices in relation to health and hygiene and sanitation (including increased use of latrines).

#### **Institutional Strengthening and Development.**

- MoW fulfilling its redefined role and mandate as: (a) a facilitator and coordinator of sector policies and investment programmes; (b) a supporting agency for local governments and communities; and (c) an enabling agency for NGOs and private sector.
- New sector projects being formulated in accordance with MoW policy & guidelines.
- MoW coordinating multi-donor SWAP financing of NRWSSP and other initiatives.
- Improved access of communities to spare parts and technical assistance for hand pump / system maintenance and repair.
- Improved capacity and increased activity of the private sector / NGOs in providing goods and services to the RWSS sector.



- NRWSSP management information systems functioning and providing necessary information to planners and decision makers at national, regional and district levels.

The NRWSSP Logical Framework is given in Annex A, Table A.1.

#### **2.4.4. Key Operational Strategies**

The implementation of the three components is based on the social, economic, environmental and sustainability principles stated in the NAWAPO:

- Strengthen decentralised planning, funding, construction, O&M and management through local governments;
- Improve the capacity of central government institutions to facilitate and channel technical support to local governments;
- Develop capacity in demand-responsive approach, based on community ownership and management of RWSS facilities;
- Increase the capacity for sustained delivery of goods and services by developing and utilising local private sector capacities in facilitation, design, construction, spare parts distribution, maintenance and management.
- Develop a strategy for sanitation and hygiene promotion, communication and HIV/AIDS mitigation.

#### **2.4.5. Benefits and Target Population**

The benefits of the programme are twofold, (i) benefits directly targeting the recipient communities throughout rural Tanzania; and (ii) benefits focusing on the capacity building of institutional stakeholders.

#### **Box 2**

##### **Direct Benefits to Target Communities:**

- Increased water supply coverage
- Improved quality of life
- Alleviation of poverty through improved access to water supply services, sanitation facilities and hygiene and sanitation practices
- Reduced workload on the part of women and children

##### **Capacity Building Benefits to Institutions:**

- Improved awareness and capacity of communities to participate in planning and management of their water supply facilities
- A functioning demand-based district implementation model
- Increased capacity of private sector and communities in undertaking community – based W&S projects
- A stronger collaboration and networking between sector stakeholders.

## 2.4.6. The Project Cycle

Programme implementation at the LGA and community levels is divided into four broad phases:

- ❑ **Promotion Phase:** The main activities in this phase are:
  - Promotion of the NRWSSP in rural communities.
  - Self-mobilisation by the communities (formation of a Watsan Committee and fund raising).
  - Application for participation in the NRWSSP.
  - Appraisal of applications and selection of communities.
  
- ❑ **Planning Phase:** The main activities in this phase are:
  - Compilation and verification of W&S baseline data in selected communities.
  - Community decisions on water supply technology, service levels, management, and fund raising.
  - Carrying out technical feasibility studies.
  - Preparation and submission of a community Facilities and Management Plan (FMP).
  - Appraisal of FMPs for community projects .
  - Preparation and submission of District Water and Sanitation Plan (DWSP).
  - Signing of the Memorandum of Understanding between MoW and LGA.
  - Hiring and training of Service Providers (SPs),
  
- ❑ **Construction Phase:** The main activities in this phase are:
  - Signing of Memorandum of Understanding between LGA and community.
  - Training of Watsan, Water User Groups (WUGs), Water User Associations (WUA), and Community Resource Personnel (CORPS).
  - Construction of water supply facilities.
  - Implementation of hygiene and sanitation and HIV/AIDS action plans.
  - Fund raising.
  - Commissioning of water supply facilities.
  
- ❑ **Operation and Maintenance; Post Construction Phase:** The main activities in this phase are:
  - Training of WUGs, WUA., caretakers, and pump operators.
  - Setting water charges.
  - Raising funds and buying spare parts.
  - Implementation of hygiene and sanitation and HIV/AIDS action plans.
  - Monitoring of O&M activities.

At the community level the overall estimated time frame for the implementation of these four phases is two years.

Table A.2 in Annexe A describes the specific activities in each phase and shows who is primarily responsible for implementing each of those activities.

### 3. INSTITUTIONAL RESTRUCTURING OF KEY IMPLEMENTING AGENCIES

#### 3.1 Institutional Restructuring

There are four institutional groupings or levels. These levels are described in Table 1 below:

**Table 1: NRWSSP Institutional Stakeholders**

Level	Institution
Level 1A: National Level (Cordinating Committees)	<ul style="list-style-type: none"> <li>• Technical Advisory Committee (TAC)</li> <li>• Inter-Ministerial Coordination Committee (IMCC)</li> </ul>
Level 1B: National level (National Ministries)	<ul style="list-style-type: none"> <li>• Ministry of Water (MoW)</li> <li>• Prime Minister’s Office-Regional Administration and Local Government (PMO-RALG)</li> <li>• Ministry of Finance (MoF)</li> <li>• Ministry of Health (MoH)</li> <li>• Ministry of Community Development &amp; Gender (MCDG)</li> <li>• Ministry of Land</li> <li>• Ministry of Environment</li> <li>• Ministry of Education and Vocational Training (MoEVT)</li> <li>• TASAF</li> <li>• TAC/AIDS</li> <li>• National Audit Office (NAO)</li> </ul>
Level 2: Regional Level	<ul style="list-style-type: none"> <li>• Regional Secretariat</li> <li>• Technical Support Unit</li> </ul>
Level 3A: LGA Level (Public Institutions)	<ul style="list-style-type: none"> <li>• District Water and Sanitation Team (DWST)</li> <li>• District Councillors: Full Council; Education, Health and Water Standing Committee; Fnance, Administration and Planning Standing Committee</li> <li>• District Water Department</li> <li>• District Council field staff</li> <li>• District Tender Board</li> <li>• District Treasurer</li> </ul>
Level 3B: LGA Level (Service Providers)	<ul style="list-style-type: none"> <li>• Facilitation Service Providers</li> <li>• Technical Service Providers</li> <li>• Contractors</li> <li>• Suppliers</li> </ul>
Level 4: Community Level (Beneficiallies)	<ul style="list-style-type: none"> <li>• Village Government</li> <li>• Ward Development Committee</li> <li>• Village Watsan Committee</li> <li>• Water User Community</li> <li>• Water User Entities (WUGs, WUA, Trustee, Company, Cooperative)</li> <li>• Private Operators</li> <li>• CORPS</li> <li>• Caretakers/Pump Attendants</li> <li>• Piped System Operators</li> </ul>

Following the approval of the NAWAPO in the year 2002, and in accordance with the local government reforms, there have been significant changes in the roles of these implementing agencies. MoW is now charged with a backup, “facilitating” role:, formulating policies, providing technical support, and focusing on co-ordination monitoring and evaluation, and capacity building to the LGAs who are taking the lead role in managing the implementation of Water Supply and Sanitation activities. These changes require a major change in the structure and functions of the Rural Water and Sanitation Division (RWSD) in the MoW both at the national and regional levels. These changes are currently in the process of being implemented

## 3.2 National Institutions

At national level the MoW is the lead agency for the NRWSSP. It manages the Programme in close consultation with the Prime Minister's Office Regional Administration and Local Government, and the line Ministries of Finance, Health, and Community Development and Gender, and two special organs - TASAF and Technical Advisory Committee on AIDS. The roles of these ministries and organs are outlined in Table 2 below:

**Table 2 Roles of National Institutions**

Ministry	Roles
Ministry of Water (MoW)	<ul style="list-style-type: none"> <li>Assist the development of sector policy</li> <li>Assist national level planning, including investment planning for NRWSSP</li> <li>Support LGAs in capacity building and training including the establishment and coordination of Capacity Building and Training (CB&amp;T) programmes, and hiring of Training Consultants</li> <li>Promote a uniform approach to NRWSSP through improved communications and information sharing</li> <li>Develop and maintain NRWSSP Management Information Systems (MIS)</li> <li>Assure technical and construction quality through formulation of standards and guidelines</li> <li>Assure quality of O&amp;M management of completed schemes</li> <li>Mobilise and administer internal and external financial resources for NRWSSP</li> <li>Support and promote development of innovative initiatives</li> <li>Finance all operational costs for Regional/Zonal Technical Support Units (TSU)</li> <li>Regulate, monitor and coordinate water resources development and management including quality and quantity, and proper utilisation and control of pollution.</li> </ul>
Prime Minister's Office- Regional Administration & Local Government	<ul style="list-style-type: none"> <li>Provide guidelines to LGAs on financial, administrative and legal issues</li> <li>Act as a link between MoW and LGAs</li> <li>Support the capacity development of LGAs</li> <li>Check that NRWSSP operates within LGRP policies</li> </ul>
Ministry of Finance	<ul style="list-style-type: none"> <li>Release approved programme funds to LGAs</li> <li>Provide for external audit of disbursed funds</li> </ul>
Ministry of Health Hygiene and Sanitation Unit	<ul style="list-style-type: none"> <li>Coordinate the development of hygiene and sanitation policy and promotion methods and strategies.</li> <li>Promote the use of and provide training materials for PHAST methods</li> <li>Check that NRWSSP operates within MOH &amp; HIV/AIDS policies</li> </ul>
Ministry of Community Development and Gender	<ul style="list-style-type: none"> <li>Coordinate community development and gender policies</li> </ul> Liase with MoW and serve on TAC and IMCC
TASAF	Facilitate community initiated W&S projects to follow NRWSSP guidelines
Technical Advisory Committee on AIDS	<ul style="list-style-type: none"> <li>Coordinate development of HIV/AIDS policies and mitigation strategies</li> <li>Support development of in-house HIV/AIDS prevention and mitigation programme organised by MoW</li> <li>Provide advice on HIV/AIDS community educational programme integrated with hygiene and sanitation including educational materials</li> </ul>
Ministry of Environment	Conservation and Protection of the environment around water sources
Ministry of Education and Vocational Training	Promotion of Sanitation & Hygiene in Schools. Sanitation & Hygiene to be included in the Primary School Curriculum
Ministry of Lands, Human Settlement and Urban Development	To provide Right of Occupancy of Land for water projects

The RWSD in the Ministry of Water will be restructured to become more consistent with the core roles and functions envisaged in the NAWAPO 2002 and the LGRP. As such, the RWSD will be restructured to make it better able to fulfil its new ‘facilitating’ roles under the NRWSSP. In the new roles, RWSD will share some of its responsibilities with LGAs, user communities and Private Sector Service Providers.

### **3.3 Specialised Training for MoW Staff**

Special arrangements will be made to re-orient and train MoW staff to their new roles in the restructured RWSD. These orientations and training sessions will:

- Deepen their understanding of project objectives, strategies, and approaches
- Clarify their own roles and the roles of and relationships with other stakeholders
- Develop skills/commitment for their new role as facilitators and technical advisors
- Upgrade their skills in procurement, contract management (including preparation and negotiation), financial management, M&E, data processing & storage, and reporting
- Expand their skills in team-building and participatory management.

Training related to job functions will also be provided for MoW staff. Training needs will be assessed on the basis of job appraisal (using objective performance indicators). RWSD will develop a staff training plan based on the job appraisals.

### **Regional Institutions**

At the regional level there are two institutions that have a coordination and capacity building role in support of the LGAs. These are the Regional Secretariats and the Technical Support Units (TSU)

The TSUs will be set up at Zonal or Regional level and will preferably be composed of at least four specialists in water, health, community facilitation & development, and planning. The team will be responsible for providing technical advice, capacity building, monitoring and coaching to the LGAs and the SPs. It will for instance, review the LGA plans and budgets related to NRWSSP to ensure that they comply with existing national policies and guidelines. Similarly, the team will make periodic field visits to monitor and coach the district level players.

The RS/TSU will need, therefore, to have regular consultative relations with MoW/RWSD and Water Basin Offices (WBOs) on policy, regulatory and technical issues.

**Table 3: Roles of Regional Institutions**

<b>Structure</b>	<b>Tasks</b>
Regional Secretariat	<ul style="list-style-type: none"> <li>• Provide guidance/advice to LGAs</li> <li>• Review DWSPs produced by LGAs in relation to national policies and planning guidelines.</li> <li>• Coordinate all water development projects in the region.</li> <li>• Monitor project implementation</li> </ul>
Technical Support Unit-a team of Specialists who are working directly under MoW/RWSD: <ul style="list-style-type: none"> <li>• Water Engineer</li> <li>• Planning Officer/Economist</li> <li>• Health Officer</li> <li>• Community Development Development Officer/Sociologist</li> </ul>	<ul style="list-style-type: none"> <li>• Coordination of RWSS activities within the region.</li> <li>• Assist LGAs to form and train DWSTs</li> <li>• Oversee community development &amp; hygiene/AIDS activities</li> <li>• Provide technical advice to LGAs.</li> <li>• Capacity development of LGAs</li> <li>• Help LGAs prepare their DSWPs.</li> <li>• Provide technical oversight and monitoring of service providers who are contracted by the LGAs</li> <li>• Ensure quality of works and services of contractors</li> <li>• Monitoring and evaluation</li> </ul>
Water Basin Office	<ul style="list-style-type: none"> <li>• Data collection, processing and analysis for WRM monitoring and resources assessment</li> <li>• Approve, issue, enforce and revoke water rights and discharge permits</li> <li>• Cooperate between sectors at local level</li> <li>• Resolve conflicts and coordinate stakeholders</li> <li>• Enforce water sources protection and pollution control measures</li> <li>• Educate stakeholders i.e. LGAs and communities on WRM regulations and ensure compliance</li> </ul>

### **3.4 Capacity at Regional Level**

The RS and TSU staff will need to be oriented to their new roles and learn the skills necessary to fulfil the advisory, capacity building and coaching functions. They will also need to become familiar with the NRWSSP policies and approaches including the guidelines for planning and developing W&S grants.

### **3.5 National Coordinating Committees**

At the national level there are two committees that provide the overall guidance and monitoring of the NRWSSP and ensure inter-ministerial and inter-agency coordination – the Technical Advisory Committee, and the Inter-Ministerial Coordination Committee

**Table 4 Role of National Coordinating Committees**

<b>Committee</b>	<b>Membership</b>	<b>Tasks</b>
Technical Advisory Committee	<ul style="list-style-type: none"> <li>• MoW Directors of Rural Water Supply, Urban Water Supply, Water Resources, and Policy and Planning</li> <li>• Ministry of Regional Administration and Local Government</li> <li>• Ministry of Community Development and Gender</li> <li>• Ministry of Health</li> <li>• Inter-Ministerial Coordination Committee Chairperson</li> <li>• Development Partners including donors, international NGOs, and local NGOs</li> </ul>	<ul style="list-style-type: none"> <li>• Provide advice to harmonize concepts and strategies for sector development</li> <li>• Review and advise on MoW strategic plans</li> <li>• Advise on capacity building</li> <li>• Facilitate exchange of experience on evolving strategies</li> <li>• Analyse sector guidelines based on the National Water Policy</li> <li>• Monitor and evaluate the implementation of policy measures and provide a platform for improved networking</li> </ul>
Inter-Ministerial Coordination Committee	<ul style="list-style-type: none"> <li>• Prime Minister's Office (Chair)</li> <li>• MoW (5 representatives)</li> <li>• Ministry of Health</li> <li>• Ministry of Community Development, and Gender</li> <li>• Ministry of Energy &amp; Minerals</li> <li>• Vice President's Office (Department of Environment)</li> <li>• President's Office Planning Commission</li> <li>• Ministry of Agriculture, Food Security and Co-operatives</li> <li>• Ministry of Industries &amp; Trade</li> <li>• Ministry of Finance</li> <li>• Ministry of Justice and Constitutional Affairs</li> <li>• Ministry of Natural Resources and Tourism</li> <li>• Ministry of Lands, Human Settlement and Urban Development</li> <li>• Ministry of Education</li> </ul>	<ul style="list-style-type: none"> <li>• Provide the link between the water sector and other sectors</li> <li>• Monitor and advise on inter and intra sector policy issues.</li> <li>• Ensure that potential conflicts are promptly addressed.</li> <li>• Facilitate policy review</li> <li>• Channel NRWSSP finances to LGAs</li> <li>• Ensure financial accountability through external audits</li> </ul>

## 4. LOCAL GOVERNMENT LEVEL MANAGEMENT

### 4.1 Introduction

The ‘District Management Support’ component of the NRWSSP includes support to LGAs to implement the demand driven approach to water and sanitation, facilitation of the community-level planning and management of water and sanitation projects, and formulation of strategies for mitigating the impact of HIV/AIDS on the results of the programme. The outcomes specified in the log frame reflect the underlying strategic principles of programme management resting with LGAs.

This section describes the role of a LGA in the NRWSSP, and the main areas of activity that a LGA is engaged in during the implementation of the programme cycle.

### 4.2 LGA Stakeholders and their Responsibilities

Effective implementation of the programme cycle is dependent on a number of stakeholders demonstrating a real commitment to the programme, and to working as a team. LGA level implementation partners are:

- The Full Council, which approves all LGA development plans and budgets.
- The Education, Health and Water (EHW) Standing Committee, which is responsible for briefing communities on the NRWSSP, and overseeing the preparation and implementation of the LGA’s water and sanitation development plans.
- The Finance, Administration, and Planning (FAP) Standing Committee that is responsible for scrutinising LGA W&S plans and budgets before they are submitted to Full Council for approval.
- The District Water and Sanitation Team that is responsible for the day-to-day management of the NRWSSP, and coordinating the activities of the various stakeholders.
- The Council Tender Board that is responsible for supervision of procurement functions, reviewing of all procurement reports and complaints received from service providers, approving and issuing of tender documents and approving the award recommendations for award of tenders.
- Finance Department, which administers the District Water and Sanitation Fund.
- Service Providers that are contracted to assist a LGA with technical support on ‘software’ and construction activities.
- The Department of Water that provides technical support to the DWST.
- The Department of Community Development that is involved in promoting NRWSSP and assisting communities to mobilise themselves.
- The Department of Health that oversees implementation of the community hygiene, sanitation and HIV/AIDS action plans.
- Council Field Staff, who are involved in informing, mobilising and assisting communities to participate in their district’s water and sanitation programme.



**Table 5 Role of District Level Stakeholders**

<b>Structure</b>	<b>Membership</b>	<b>Tasks</b>
District Water and Sanitation Team	District Exec. Director District Planning Officer District Water Engineer District Community Development Officer District Health Officer District Education. Officer District Treasurer	<ul style="list-style-type: none"> <li>Organise baseline surveys on W&amp;S service levels, water points, and needs</li> <li>Prepare DWSP and annual plans</li> <li>Inform communities about NRWSSP</li> <li>Appraise applications and proposals (FMPs)</li> <li>Select communities qualifying for RWSS support</li> <li>Prepare ToR and tender documents</li> <li>Facilitate formation of legal water user entities</li> <li>Manage financing of sub-project implementation</li> <li>Contract, supervise, &amp; coordinate SPs</li> <li>Provide support for training of communities</li> <li>Supervise and monitor implementation</li> <li>Administration e.g. contracts, progress reports, etc</li> <li>Monitor and evaluate W&amp;S projects</li> <li>Provide backup support to communities</li> <li>Report to Council standing committees and CMT</li> </ul>
Full Council and EHW Committee	Councillors	<ul style="list-style-type: none"> <li>Assist with explaining NRWSSP, encouraging communities to participate, and supporting community efforts to develop their W&amp;S facilities</li> <li>Review and approve W&amp;S plans, budgets, and bye-laws, selecting communities to be assisted and monitoring progress</li> </ul>
Council Water Department	District Water Engineer and technical staff	<ul style="list-style-type: none"> <li>Coordinate DWST activities</li> <li>Collect baseline data on W&amp;S service levels, water points, and needs</li> <li>Develop a data base on all W&amp;S facilities</li> <li>Disseminate information and application forms</li> <li>Vet community applications and proposals, and review technical designs</li> <li>Assist in preparing DWST and annual plans</li> <li>Assist in supervising and monitoring SPs</li> <li>Assist in supervising &amp; certifies construction works</li> </ul>
Council Field Staff	Field workers from participating departments. Ward Executive Officers	<ul style="list-style-type: none"> <li>Sensitise communities on W&amp;S programme</li> <li>Help communities complete application forms</li> <li>Monitor progress at the community level</li> <li>Provide follow-up technical advice to communities after SPs have completed work</li> </ul>
Council Tender Board	Council staff	<ul style="list-style-type: none"> <li>Supervise procurement functions,</li> <li>Review all procurement reports and complaints received from service providers,</li> <li>Approve and issue tender documents,</li> <li>Award tenders</li> <li>Publish invitations for tender</li> </ul>
Council Treasury	Council staff	<ul style="list-style-type: none"> <li>Set up and manage the DWSF.</li> <li>Prepare consolidated budget based on FMPs</li> <li>Prepare and effect payments to all SPs</li> <li>Keep records of all financial transactions</li> <li>Prepare Statements of Expenditure &amp; requests for replenishment of funds</li> <li>Prepare quarterly financial reports for DWST</li> </ul>

The LGA’s Full Council has overall decision-making responsibility. Detailed discussions related to such activities as W&S planning, selection of communities, and appraisal of Facilities and Management Plans, takes place in the EHW and FAP Standing Committees. The LGA is expected to establish an interdisciplinary and inter- departmental DWST that will be responsible for the day-to-day organisation, management, and monitoring of the rural water and sanitation programme. The DWST reports to the Council Management Team (CMT), whose membership is comprised of departmental heads and other subject matter specialists in the LGA. A fuller description of the responsibilities of each main stakeholder is given in Table 5.

### 4.3 Formation and Operation of the DWST

#### 4.3.1 Formation of a District Water and Sanitation Team

The LGA has the overall responsibility to manage and coordinate NRWSSP activities within its administrative area. ADWST is formed to take on this management function on a day-to-day basis. The DWST is made up of department heads or senior officers in relevant LGA departments.

The DWST has the responsibility of coordinating development activities within its LGA that are related water and sanitation development activities. The intention is that senior professionals from different departments work together in a team to jointly plan, implement and monitor activities, thus benefit from the inter-sectoral thinking and action that is generated through this teamwork.

In fact, members of the DWST bring together different areas of expertise. These areas are outlined in Table 6. In many instances the activities they are expected to undertake (e.g. appraising applications or SP monitoring) are not within the normal job description of participating departments, but by operating as a team they can provide the mutual support required to accomplish the tasks.

**Table 6: Areas of Responsibility for each member of the DWST**

<b>Member</b>	<b>Area of Responsibility</b>
District Executive Director (DED)	Chairperson-overall leader on development matters in the LGA
District Planning Officer (DPLO)	Deputy Chairperson – specialist on development planning.
District Water Engineer (DWE)	Coordinator/Secretary-specialist on technical aspects of water supply development.
District Health Officer (DHO)	Specialist on Hygiene, Sanitation & HIV/AIDS
District Comm. Development Officer (DCDO)	Specialist on community management and planning of community projects
District Education Officer (DEO)	Specialist on schools hygiene and sanitation
District Treasurer	Specialist on financial management

The District Executive Director or Municipal Director will appoint members of the DWST by an official letter, which will describe the area of responsibility of each member.

The establishment of DWST is a relatively new operational arrangement. It is important to note that the DWST is not a legal structure. It is an operational arrangement to facilitate co-ordination of the inputs of the different departments that have responsibilities for W&S development. While individual members may have worked together on other projects, it will be the first time departmental heads have come together to form a management group to focus on water and sanitation programme. It is expected to meet on a regular monthly basis, and report to the CMT on a quarterly basis.

### 4.3.2 Task Management

It is necessary for the DWST to agree and allocate responsibility for the implementation of each task area to specific team members and / or field workers in participating departments (water, community development, and health): Guidelines on the assignment of responsibility by task area are given in Table 7.

All of the tasks listed require skills. DWST members know some of these skills already; other skills will need to be acquired through training – formal courses and/or on-the-job coaching. Approaches for strengthening DWST capacity are outlined in Section 6: Capacity Building and Training.

**Table 7: Assignment of DWST Tasks**

<b>Task</b>	<b>Who Responsible</b>
Collection baseline data	Field workers in 3 participating departments will collect the data. District heads will collate and analyse the data.
Preparation of DWSPs	District heads will work on their own sections of the plan. Then DWST meets to review products. DPLO will finalise.
Community Promotion	DWST will train field workers on this task. Field workers will then organise community meetings
Appraisal of Applications and Community Selection	DWST meeting to review submissions and make recommendation to Council
Final selection of communities	Full Council – after review by EHW and FAP Standing Committees
Legal Registration of Water User Groups	Water Department, assisted by the Community Development, and the LGA's Legal Officer
Managing Finances	Finance Department
Procurement	Council Tender Board – co-opt DWST member (e.g. DWE) to help with technical review
Monitoring & Supervising Service Providers	DWST – a) meet with SPs once a month; and b) assign team member to do field monitoring
Providing Follow-up Support to Communities	Field workers from participating departments, supported by the Water Department
Reporting to CMT and relevant standing Council Committees	DWST

For each of these task areas the DWST will have to establish management systems and procedures to ensure that information is collected, processed and stored in manageable and useable format. A list of the management systems that need to be put in place is given in Box 4.

**Box 3**  
**Management Systems**

- BASELINE DATA MANAGEMENT-collect, analyse, & manage RWSS data
- PLANNING-write medium term plans (DWSP) and annual plans
- COMMUNITY PROMOTION-disseminate information about NRWSSP & facilitate community demand
- APPRAISAL-appraise application forms and proposals (FMPs)
- PROCUREMENT-manage the contracting of SPs
- SUPERVISION-supervise the work of the SPs
- QUALITY CONTROL-ensure that communities get properly designed & constructed water facilities
- FINANCIAL MANAGEMENT-manage programme funds, establish & operate DWSF
- MONITORING, EVALUATION, AND REPORTING
- SPARES & REPAIRS-ensure that communities get access to spare parts, & repair services (e.g. Local Technicians)

Information collected in one phase of the process cycle often has a bearing on decisions that have to be made in another phase of the programme cycle. For example, baseline data should be used in the preparation of DWSPs, and in decisions on community applications. Thus, it is important that data is managed properly.

#### **4.3.3 Day-to-Day Operation of a DWST**

As noted earlier, the DWST is the pivotal body in the management of NRWSSP within a LGA. The team have a large number of tasks including: briefing and involving Councillors, informing communities about the programme, selecting the communities who will participate, developing a DWSP, contracting and supervising SPs, and providing overall coordination for the programme.

To ensure that its DWST operates effectively a local authority is expected to:

- Establish a DWST office within the District Water Department, which will house all documents and equipment (e.g. computers, photocopiers, etc).
- Convene monthly meetings of the DWST to plan and review its activities and the activities of the SPs.
- Implement a system of regular field monitoring visits.
- Facilitate regular DWST briefings with the CMT and the EHW Standing Committee.

#### **4.4 Steps in the Programme Cycle at the LGA Level**

##### **4.4.1 Introduction**

The main steps in the programme cycle at the LGA level are:

- Signing of a Memorandum of Understanding with MoW
- Orientation of LGA personnel to the NRWSSP strategy
- Promotion of demand at the community level
- Appraisal of community applications
- Appraisal of RWSS projects
- Preparation of DWSP

- Hiring Service Providers
- Supervision of works
- Commissioning of projects
- Follow-up support

Each of these steps is discussed in the following sub-sections.

#### **4.4.2 Signing of Memorandum of Understanding**

Selected LGAs sign a Memorandum of Understanding (MOU) with the MoW. In signing the MOU the LGA agrees to the conditions: that are summarized in Box 7. A full copy of the MOU is given in Annexe B. It describes both the responsibilities of the LGA and MoW.

**Box 4**  
**Memorandum of Understanding –**  
**Responsibilities of Local Government Authority**

- Establish and maintain a District Water and Sanitation Team
- Produce annual operating plans to compete for funds available.
- Open a bank account for the DWSF, and deposit the equivalent of 5% of the expected amount of sub-project costs as counterpart funding or matching grant.
- On an annual basis:
  - Organise promotion campaigns to brief communities on NRWSSP.
  - Appraise and prioritise community applications, and select communities to be assisted.
  - Review and approve community proposals for sub projects.
  - Consolidate sub-project proposals, prepare a consolidated budget and work plan to compete for funds, and submit to MoW for approval.
  - Facilitate the contracting of SPs to work with communities.
- Produce reports as required by the MoW.
- Carry out a technical and financial audit of the DWSF.
- Keep a list of contractors and suppliers operating in the LGA.

The LGA must sign a MOU to participate in NRWSSP and receive funds. The funds to be received will be based on the LGA’s DWSP and the amounts and conditions set out in the ‘Guidelines for Planning and Developing W&S Conditional Grants’. (See Section 10 for details)

#### **4.4.3 Orientation of LGA personnel to the NRWSSP Strategy**

One of the functions of LGA personnel (councilors, departmental staff, field officers) is to promote the NRWSSP in the communities. To enable them to effectively perform this function they will be briefed on the Programme. MoW/RWSD and Training Consultants will support the DWST to carry out this orientation.

#### **4.4.4 Promotion of Demand at the Community Level**

Communities have to be informed about the NRWSSP. The objective of this information campaign is to initiate community demand for improved W&S services. They need to be given information on:

- The opportunities available through the NRWSSP.
- The importance of “community ownership and management” and what it means.
- How the community can apply to participate.

The Council will use their regular meetings at district, ward and village levels to keep everyone informed about the programme. Other opinion leaders in the community, such as religious leaders, might also be involved. Promotion will be an ongoing activity.

Information on the NRWSSP will be disseminated through Councillors and Council field staff. Field staff will also distribute Flyers and Community Application Forms (see Annexe C). The Community Promotion process is described in detail in the District Operational Manual (pages 44-46).

#### **4.4.5 Appraisal of Community Applications**

Communities that wish to participate in the NRWSSP must apply. Selection is on a competitive basis. With the assistance of the promoters, a community must submit a completed application form. The application will be appraised by the DWST. The DWST will rank all the community applications and make its recommendations to the Full Council through the EHW and FAP Standing Committees.

For efficiency purposes the council should select a manageable number of communities it can serve within a given period. The number of communities selected should be based on the council's financial and staffing capacity.

Appraisal and selection should take into consideration the baseline data compiled during O&OD sessions in villages, which include village W&S situation and priorities.

Criteria for selection of communities is outlined in Box 9

##### **Box 5**

#### **Eligibility Criteria for Community Selection**

- Submission of a complete application form with all required attachments
- Limited or non-existence of other W&S projects in the area
- Low coverage of W&S services e.g. less than 50%
- High incidences of water and sanitation related diseases
- Expressed willingness and ability of community to contribute 5% of capital costs evidenced by initial deposit in the bank
- Adequate number of people in a community to justify the investment
- Potential for Community Ownership and Management, e.g. absence of factional conflicts, level of women participation, recent or current community projects undertaken, etc

#### 4.4.6 Appraisal of Community RWSS Projects

The main outputs of the programme cycle in the planning phase are community project proposals, known as Facilities and Management Plan (FMP). Once a community has prepared its FMP (Part A) it is submitted to DWST. The FMP must be supported with evidence that the community's has deposit the required capital cost contribution. The main task of the DWST at this stage is to review, using the Sub-Project Appraisal Checklist (see Annexe D), the sub-project proposals i.e. a community's financial and RWSS management plans, technical design for the water supply system and related costs. Box 6 shows details of the criteria for Appraisal of community RWSS project

##### Box 6

#### Criteria for the Appraisal of Community RWSS Projects

- Is the proposal complete with all required details e.g. signatures?
- Is there evidence that the proposed site belongs to the community?
- Is there evidence of community's choice of the proposed technical options and service levels?
- Has the community elected a gender balanced Water and Sanitation (Watsan) committee?
- Is the proposed facility meeting all technical standards established by MoW?
- Is the estimated cost feasible i.e. within the acceptable range established by NRWSSP?
- Has the community deposited a 5% contribution on capital costs?
- Has the community indicated how it will generate funds for O&M?
- Does the proposed facility address the measures to mitigate any identified environmental concerns?
- Does the proposal indicate how to address the identified environmental concerns?
- Does the community have a workable hygiene and sanitation and HIV/AIDS plan of action?
- Has the community developed a realistic action plan to implement the subproject?

#### 4.4.7 Preparation of District Water and Sanitation Plan

The LGA prepares DWSP that is the basis for requesting financial support for a particular year. The DWSP is a consolidation of the approved FMPs, i.e. community sub-project proposals. It is a one-year plan that outlines the projects that will be undertaken, and the cost estimates. This is submitted to the MoW for review and approval. Once approved it forms the basis for a contractual agreement between the Ministry and the LGA.

A format for writing the DWSP is given in Annex E.

#### 4.4.8 Hiring Service Providers

As stipulated in the NAWAPO 2002 most of the works, services and goods will be procured from private sector service providers.

SPs are private sector organisations, companies, NGOs, individual consultants, suppliers, private operators, artisans with the relevant skills and experience to provide works, goods, and services required by projects. Examples of SPs include Facilitation Service Providers, Technical Service Providers, and Contractors/Suppliers.

- **Facilitation Service Providers (FSPs)** provide “software” services to communities i.e. community mobilisation and training and health promotion. Their role is to mobilise and train communities to plan, construct, finance, and manage their own W&S facilities and plan and take action on hygiene, sanitation, and HIV/AIDS.

- **Technical Service Providers (TSPs)** provide a package of technical services to communities. They facilitate community decision-making on technical options and service levels, produce technical designs, supervise contractors, and support the development of O&M skills at the community level.
- **Contractors/suppliers** are companies, which drill wells and construct water and sanitation facilities, including the training of water point caretakers and pump operators. They also supply materials, such as hand pumps mechanised pumps, pipes and fittings, etc

A more detailed description of the functions of each type of SP are given in Table 8.

**Table 8 Service Providers and Their Functions**

<b>Service Provider</b>	<b>Tasks</b>
<b>Facilitation Service Provider</b>	<ul style="list-style-type: none"> <li>• Facilitate the full participation of the community in the planning and decision-making process, including all vitongoji, women and the poor</li> <li>• Facilitate formation of Village Watsan Committees and Water User Groups</li> <li>• Provide training for Village Watsan Committee, WUGs, and Animators</li> <li>• Facilitate community planning of W&amp;S facilities and FMP writing</li> <li>• Facilitate community awareness/planning on hygiene, sanitation, HIV/AIDS</li> <li>• Facilitate community managed system for raising and managing money</li> <li>• Facilitate community managed system for operation and maintenance</li> <li>• Provide follow-up monitoring on O&amp;M after facilities completed</li> <li>• Make notes on field work and produce monthly reports for DWST</li> </ul>
<b>Technical Service Provider</b>	<ul style="list-style-type: none"> <li>• Carry out a rapid assessment and scoping study of the existing RWSS situation (water &amp; sanitation services) in the targeted district</li> <li>• Assist the Council to prepare or update the District WSS Plan</li> <li>• Help FSP to facilitate the initial discussion and decision-making</li> <li>• Present feasible technical options &amp; costs to communities at planning stage</li> <li>• Prepare detailed designs of the selected options, including: a) cost estimates, b) bill of quantities, and c) tender documents</li> <li>• Help DWST with the tendering process i.e. evaluation of bids</li> <li>• Supervise the construction of the facilities by contractors</li> <li>• Final inspection of works and sign off on completed work</li> <li>• Commissioning (in conjunction with community, DWST, and FSP)</li> <li>• Post-commissioning follow-up to make sure that the facility is working eg caretaker training, system for support from area mechanics, spare parts</li> </ul>
<b>Contractors/ Suppliers</b>	<ul style="list-style-type: none"> <li>• Construction of water supply facilities</li> <li>• On-the-job training of caretakers and pump attendants</li> <li>• Train district / local technicians</li> <li>• Supply construction materials and equipment, e.g. pumps</li> <li>• Establish a supply chain to ensure equipment and spares are available when needed</li> </ul>

Interested SPs are expected to compete for contracts to deliver goods and services to communities and Councils. The contracting of SPs by LGA for technical and software components of projects will be carried out in accordance with the Public Procurement Act 2004 and the Public Procurement (goods, works, non-consultant services and disposal of Public Assets by tender) Regulations, 2005.



## Box 7

### Procedures for Contracting Service Providers

- Preparation of tender documents
- Advertisement of tenders through various local and national channels
- Invitation of tenders (Pre-qualification/shortlisting of SPs)
- Submission and receipt of tenders (pre-qualified/short listing SPs preparing and submitting bids/proposals)
- Opening of tenders in presence of SPs who choose to attend
- Evaluation of tender evaluation reports and award recommendations
- Awarding of contracts
- Notification of contract award to the winners
- Negotiation and signing of contract

The main steps to be followed in the tendering process are listed in Box 11. The procurement procedures and guidelines are detailed in Section 9: Procurement Procedures.

#### 4.4.9 Supervision of Works

DWSTs will be directly responsible for monitoring all implementation of the community project. The DWST is expected to ensure that: SPs:

- fulfil their contractual obligations, including fielding the personnel that they stipulated in their tender documents;
- prepare activity plans, that it is in accordance with agreed schedules, and ensure that the work of the FSPs, TSPs and contractors is coordinated; and
- comply with the required work standards and specifications, including construction works and training activities.

Supervising SPs includes the following tasks:

- Providing constructive feedback on the monthly reports from the SPs;
- Organising a monthly meeting with SPs to review progress and find solutions to problems; and
- Making regular visits to the villages to check on the work being done and give on-the-spot advice.

The DWST should appoint a Community Development or Health field worker) in each ward to coordinate activities within the ward. This person will work closely with and check on the work of the SPs.

#### 4.4.10 Commissioning of Projects

Once a contractor has completed constructing the water supply system, the DWST in collaboration with the TSP will conduct a technical assessment in order to certify quality workmanship. They will inspect and formally commission completed water supply facilities, ensuring that they are functioning and comply with the approved technical plans. The community on its part will, with the help of the FSP, prepare itself to take over all O&M responsibilities of their new scheme e.g. setting economic tariff rates, establishing a legal water entity, etc.

#### 4.4.11 Follow-up Support

It is the responsibility of the LGA to continue to provide advice and support to communities in terms of both technical issues and the operation of water systems, and in terms of the functioning of the legal water entities. The LGA will also be required to support communities in implementing the hygiene, sanitation and HIV/AIDS action plans.

## 5. COMMUNITY LEVEL MANAGEMENT

### 5.1 Introduction

Both Component 1 – District Management Support – and Component 2 – Construction of RWSS Schemes – of the NRWSSP emphasize the role of the communities in improving and maintaining water and sanitation facilities. The outcomes specified in the log frame reflect the underlying principles of community ownership and management and a demand-responsive approach.

This section looks at the practical application of those principles. It discusses the functions and responsibilities of community level organizations, and outlines the main activities that a community is expected to undertake during the implementation of the programme cycle.

### 5.2 Community Level Organisations

The main community level organizations involved in the implementation of the NRWSSP are:

- ☐ **User Community.** A User Community is defined as the households who live in the area around a water facility and use the facility. In the case of a point source (single borehole) the “user community” will consist of a cluster of households or a sub-village (kitongoji). In the case of a piped scheme the user community might involve several villages.
- ☐ **Village Government (VG).** The VG is the overall development authority for a single village. It plans and coordinates all development activities at the village level, including W&S projects. Its main role is to give full support to user communities to plan and develop their own water and sanitation facilities.
- ☐ **Ward Development Committee (WDC).** The WDC is the development authority at the ward level. All development plans produced at the village level are channelled through this committee to the Council.
- ☐ **Village Water & Sanitation Committee (Watsan).** The Watsan is an interim committee formed by a village to assist with the development of water and sanitation facilities. It reports to the Village Government’s Social Services Standing Committee.
- ☐ **Water User entities.** These entities are management groups set up by the users to manage newly built facilities. Usually these groups are officially registered. There are two types of water user entities – Water User Groups that usually manage a single water point and a Water User Association (or Company that manages a large piped system. The latter are usually made up of representatives of tap/water point groups.
- ☐ **Community Resource Persons (CORPS).** *Community Resource Persons* are locally based volunteers who have been selected by the community and trained to lead discussion and action planning on hygiene, sanitation, and HIV/AIDS. The FSPs will guide communities on how to select these cadres

**Table 9: Functions of Community Level Organisations**

<b>Institution</b>	<b>Tasks</b>
User Community	<ul style="list-style-type: none"> <li>• Identify needs and make a formal request for assistance from LGA</li> <li>• Form and monitor the work of Watsan Committee</li> <li>• Participate fully in planning, designing, and constructing water facility</li> <li>• Contribute in cash and kind to capital and maintenance funds</li> <li>• Prepare a community water proposal – Facility Management Plan</li> <li>• Choose type of water technology and site for the new facility</li> <li>• Enter into agreement with LGA and SPs</li> <li>• Contribute labour and materials for construction</li> <li>• Monitor the work of SPs</li> <li>• Own and be responsible for water facilities</li> <li>• Select and support caretakers and or pump attendants</li> <li>• Construct sanitation facilities and improve hygiene practices</li> </ul>
Village Government	<ul style="list-style-type: none"> <li>• Foster community participation and mobilisation</li> <li>• Inform user communities about NRWSSP and how to participate</li> <li>• Endorse and forward application for W&amp;S facilities to LGA</li> <li>• Assist community to form Watsan Committees</li> <li>• Sign programme agreements with the LGA on behalf of the village</li> <li>• Help mobilise communal labour for W&amp;S activities</li> <li>• Enact and enforce by-laws related to W&amp;S</li> <li>• Monitor progress at the community level and help to solve conflicts</li> </ul>
WDC	<ul style="list-style-type: none"> <li>• Receive application forms from Village Government and forward them to the LGA</li> </ul>
Village Watsan Committee	<ul style="list-style-type: none"> <li>• Lead the community in planning and helping to build W&amp;S facilities</li> <li>• Brief the community regularly and consult them on plans or problems</li> <li>• Raise and manage funds and other resources</li> <li>• Monitor activities and results and use this to improve management</li> <li>• Manage the new facilities on behalf of the user community</li> <li>• Conduct community meetings</li> <li>• Take responsibility for operations and maintenance of the new facilities</li> <li>• Raise and manage funds and other resources</li> <li>• Keep records on meetings, money raised/spent, and repairs</li> <li>• Monitor the activities of the SPs .</li> </ul>
Water User Entities	<ul style="list-style-type: none"> <li>• Organise maintenance and repair carried out by caretakers or operators</li> <li>• Hire outside mechanics / local technicians when needed</li> <li>• Organise communal labour for site cleaning and maintenance</li> <li>• Facilitate education and planning on hygiene, sanitation, and HIV/AIDS</li> <li>• Monitor activities and results and use this to improve management</li> </ul>
Community Resource Persons	<ul style="list-style-type: none"> <li>• Organise peer group educational sessions on hygiene, sanitation, and HIV/AIDS</li> <li>• Assist households and institutions to construct latrines.</li> <li>• Report to VG on hygiene, sanitation and HIV/AIDS issues</li> </ul>
Caretakers	<ul style="list-style-type: none"> <li>• Carry out routine maintenance and make repairs on minor faults</li> <li>• Make reports to the WUG on major faults</li> <li>• Keep records of spare parts bought and used, maintenance and repairs</li> </ul>
Piped System Operators/ Pump Attendants	<ul style="list-style-type: none"> <li>• Inspect pipeline, check on leaks and ensure water is flowing into all taps.</li> <li>• Arrange for repairs and regular cleaning of tanks.</li> <li>• Control and keep records of spares, pipes, and materials.</li> <li>• Keep records of all maintenance and repairs.</li> <li>• Make reports to the piped scheme management committee</li> </ul>

## 5.3 Steps in the Programme Cycle at the Community Level

### 5.3.1 Introduction

The main steps in the programme cycle at the community level are:

- Self mobilisation
- Preparation of an application to participate in the NRWSSP
- Orientation of LGA personnel to the NRWSSP strategy
- Planning of community projects
- Signing of a sub-project agreement
- Supervising construction
- Operation and maintenance of the water supply facility

Each of these steps is discussed in the following sections.

### 5.3.2 Step 1: Self Mobilisation

Following the demand promotion activities by the LGA (see Section 4.4.5), interested communities will be expected to:

- Elect a Watsan Committee. It is a requirement that a community elect a representative gender balanced Watsan.
- Raise initial financial contributions for the capital costs involved in developing RWSS services in their community. Communities are expected to contribute 5% of capital costs. However, poor communities and those where available technology options are expensive will be considered for lower contribution which in any case shall not be less than 2.5 %.
- Open a bank account for their W&S funds.

In the demand response promotion activities the DWST and other promoters will explain the importance of cash contributions.

#### **Importance of Communities Making Cash Contributions on Capital Costs:**

**Communities are encouraged to make effective resources allocation and choose the most affordable technological option and service level. Giving a community financial responsibility for developing and managing its water supply system:**

- **makes communities choose service levels which are within their financial capability;**
- **acts as an indicator that they are willing and able to raise O&M funds for improved facilities;**  
**and**
- **is the basis of their commitment to own and manage the facilities.**

### 5.3.3 Step 2: Application for participation in the NRWSSP

All communities who wish to participate in the project will be given application forms. The main contents of the application form are:

- Basic community data including name of community, location, population number of households, distance to nearest town and district headquarters.
- Existing water and sanitation situation services.
- Preferred technological option(s).
- Management arrangements relevant to W&S at community level including leaders and money issues.

A sample of the application form is given in Annex C.

In order to complete an application form a community will need to organise themselves to consult each other on their priority needs and how they want to participate in NRWSSP. A completed application form with an endorsement of the Village Government should be forwarded to the DWST through the WDC with the following attachments:

- Minutes of the community meeting endorsing the application for NRWSSP support, and listing members of the Watsan
- A copy of a recent Bank Statement

The DWST or any designated field officers should ensure that communities are assisted sufficiently in filling the forms. It is one of the responsibilities of the FSPs and TSPs to provide this assistance. When completing the application form a community must consider the selection criteria that will be used by the LGA as outlined under Section 4.4.5,.Box 9 . The correctness of the information given on the application form will be verified and confirmed DWST.

The DWST secretary, the DWE, will inform communities by letter whether their application has been successful as soon as the Council has made its decisions. The information will also be displayed on public notice boards at the LGA headquarters and in the villages.

### 5.3.4 Step 3: Planning of Community Projects

In the planning phase of the programme cycle the selected communities are required to prepare:

- **Facilities and Management Plan** for their water supply. The FMP is divided into two parts. Part A is concerned with activities and costs related to planning and constructing facilities, including making choices about the type of water supply and the technology that will be used. Part B is related to activities and costs related to the O&M of the facility after construction has been completed. The format for FMP – Part A is given in Annex F; and
- **.Hygiene, sanitation and HIV/AIDS** plan. This outlines the promotional and education activities that will be undertaken by the CORPS.

An overview of the activities involved in preparing FMP is given in Box 8 below.

**Box 8**  
**Activities involved in preparing the FMP**

- Verification of community basic W&S data to provide the basis for planning. This will involve a review of the existing W&S situation by the FSP, with reference to the community map and the application form.
- Community meetings to deepen their understanding of NRWSSP basic concepts and conditions.
- Electing a Watsan (in the event it is not yet elected).
- Making informed choice, by the community, of affordable and sustainable technology options and service levels based on clear and simple information about features and costs of a variety of technological options. It is important that the technology choices are compatible with local environmental and social considerations, and financially feasible and sustainable for the community.
- Selection and clearing of sites.
- Assessing the hygiene, sanitation and HIV/AIDS and developing a plan of action.
- Organising technical feasibility studies on the proposed water supply system, including an Environmental Impact Assessment (see Annex G).
- Preparing a detailed engineering design and costing for the selected technology options.

A community will be assisted by the FSP to complete the FMP - Part A. The FSP will be supported by the TSP and DWST, as necessary. The TSP and DWST will play a key role in guiding a community on choices about the water supply system and service levels. The process involved in making these choices is discussed in Section 8: Water Supply Technology Options.

**The FMP should be reviewed from time to time,  
as some of the details might need to be completed at later stages of the  
programme cycle.**

During this step the FSPs will also train the Watsan and Village Government on their roles and responsibilities, and how to manage implementation of their W&S projects. The training also focuses on monitoring and supervision skills, fund raising methods and management, and conflict management. During this step the community also selects its CORPS, who are then given training by the FSP.

### **5.3.5 Step 4: Community Project Agreement**

As soon as the LGA approves a community's FMP it will be informed. However, the signing of the **Community Project Agreement** will only take place after the MoW has approved the LGA's DWSP.

**Box 9**  
**Community Project Agreement**

It defines

- the rights and obligations of each party for the implementation of the approved subproject;
- the cost of the subproject;
- ownership provisions, commissioning conditions, financial management and auditing procedures; and
- conditions for termination of the agreement.

The signed agreement is binding to both parties – the LGA and the community. A sample of a Community Sub-project Agreement is given in Annex H. The VG chairperson or Village Extension Officer will be a witness on behalf of the community in case the scheme covers only one village. If the scheme covers more than one village the Ward Extension Officer will be the key witness.

### **5.3.6 Step 5: Managing Construction**

The construction phase involves several activities, which include:

- Contracting SPs to provide goods, works and services, is the responsibility of the DWST (See Section 4).
- Building of the water facilities. is the responsibility of the contractor.
- Supervision and monitoring construction. is the responsibility of the community and the DWST.

The construction of water facilities involves:

1. Community and the Watsan holding advance discussions about their role in construction.
2. FSP training Watsan committee on monitoring and supervising construction
3. Contractors meeting the community and Watsan to review/agree on construction schedule and the type of support the community will give.
4. Construction of water supply facilities supervised by the TSP, community, and DWST.
5. Water quality testing and analysis.
6. Certifying quality of workmanship of the constructed facility and issuance of certificate of completion,.
7. Commissioning of the facility and official handing over to the community by DWE. The community and DWST completes a ‘Project Completion Form’, recording what training support they have received and what works have been undertaken. (see Annex J)

As noted in Section 4, the community is responsible for supervising and monitoring of all technical and software activities being undertaken by different SPs. This includes monitoring both progress and quality of work by both FSPs and TSPs. The TSP is hired to assist communities in monitoring technical aspects of the projects. Further quality assurance inspections will be provided from time to time by DWST. The specific objectives of monitoring during construction are two fold:

#### ***Facility construction objectives***

- To check on the work completed as per work schedule, and help to resolve bottlenecks.
- To check on the quality of construction.

#### ***Capacity building objectives***

- To develop capacity of SPs through supportive supervision.
- To empower communities to supervise work on their own subprojects.

A monitoring schedule for TSPs is included in their contracts.

In the NRWSSP all civil work activities are to be accompanied by community facilitation and capacity building activities. This is because both software and hardware components are considered to have equal importance. Combining these components ensures that the knowledge and skills of the communities are developed to enable them to make informed choices, form effective organisations, supervise the implementation of the subprojects, manage their funds properly, and consequently achieve effective and sustained O&M and improved sanitation.

At this stage of implementation of the projects, the contents of the software component required are:

- Organising community meetings to review progress, identify and solve problems, and plan for future action.
- Training of the Watsan in community management skills: works supervision and monitoring, fund raising methods and management, record keeping skills (minutes and accounts), mobilisation techniques on hygiene and sanitation and HIV/AIDS issues, and conflict resolution.
- On job coaching and follow up with the Watsan.
- Assisting communities to establish legal management systems for their improved W&S facilities.
- Assisting communities to decide and plan how they will organise their O&M activities by completing Part B of the FMP (see Annex J).

The FSP and TSP are expected to work very closely with each other, so that communities benefit from the combination of soft and technical components.

### **5.3.7 Step 6: Operation & Maintenance of Facilities**

One of the basic principles of NAWAPO is that communities must be responsible for managing their improved schemes – community ownership and management. This responsibility should be emphasized in the Promotion and Planning Phases of the programme cycle. The decisions made about technology and service level should take into consideration the willingness and ability of the community to operate and maintain the chosen options. This is the foundation for community-based O&M.

To build a strong O&M management system FSPs are expected to assist communities by:

- Training Watsan, WUGs, and WUAs in relevant management skills.
- Facilitating good working relationship between the Village Government and Watsan and WUGs through regular joint meetings and reporting
- Assisting Watsan, WUGs and WUAs to establish non-confrontational methods of fund raising
- Helping Watsan, WUGs and WUAs establish transparency and accountability systems
- Training community level actors including CORPS, caretakers/pump attendants/operators in their respective tasks.
- Assisting communities to make appropriate decisions on how much should be contributed for O&M, by whom, how and at what frequency

Communities need funds for O&M and hence appropriate means and ways should be freely discussed among them. Reference should be made to their commitment in the FMP.



## 6. CAPACITY BUILDING AND TRAINING

### 6.1 Introduction

This section focuses on the capacity building activities that are necessary to support the effective implementation of the NRWSSP. Capacity building and training (CB&T) cuts across all three components of the Programme, i.e.

- 1 District Management Support;
- 2 Construction of RWSS Schemes; and
- 3 Institutional Strengthening and Development.

Component 3 - Institutional Strengthening and Development – concentrates on improving the capacity – including re-structuring and re-orientation - of MoW to provide and administer policy and serve as the overall facilitator of development and investment in the RWSS sub-sector. The CB&T inputs at the MoW level are discussed in Section 3.

Thus, this section concentrates on the CB&T activities at Zonal/Regional, the LGA and community levels as well as SPs. The target groups for capacity building at these two levels are

- Community (community as an institution, Watsan, WUGs, WUAs, Caretakers and Operators, CORPS).
- LGA (DWST, District Councillors, Council Tender Board members, Council field staff)
- Zonal/Regional (TSUs).
- Service Providers (Facilitation Service Providers, Technical Service Providers, Contractors, Pump Mechanics, local technicians).

CB&T, in the context of the NRWSSP, is defined in terms of:

- **Individual Capacities** - skills, knowledge, attitudes, confidence, and teamwork among individual players – Watsan members, SPs, DWST members;
- **Organisational Capacities** – institutional development of Watsan WUGs and WUAs, SPs, DWST, and TSUs;
- **Operational Systems** – systems for carrying out various activities in the newly evolving RWSS system and materials and guidelines to describe the systems – e.g. datamanagement, preparation of district W&S plans, projects appraisal, contract management, M&E, MIS application, etc;
- **Institutional Networks** – partnerships and linkages between different players/ institutions in an interdependent system; and
- **Capacity Building and Training** – skills for planning, implementing, monitoring & evaluating, capacity development and training processes.

The aim is to strengthen the institutional and individual capacities of all local authorities and community stakeholders to carry out their tasks in supporting the development of community managed water supply schemes and sanitation facilities.

## 6.2 Principles and Strategies for Capacity Building

CB&T activities at the district and community levels are based on the following principles:

- **A planned and Conscious Approach** – defining beforehand whose capacities needs to be developed, with what skills, through what processes, aimed at what outputs, and measured by what indicators.
- **A Demand Driven Approach** – involving stakeholders in identifying their training needs and in the planning of the CB&T programme.
- **Priority Audiences** – the focus will mainly be on three priority target audiences – communities (including Watsans, user groups, caretakers) SPs, and staff of local authorities.
- **Participatory Approach** – training based on a learner centred, participatory approach – one which promotes active learning, rather than passive listening – and emphasizes learning by “doing” – discussing issues, solving problems, practicing skills, and planning actions.
- **Training Provided in Small Doses over a Period of Time** – training will be given in a series of courses over a period of time, rather than in a single course – this will allow trainees to learn in a gradual step-by-step way and avoid information overload.
- **Incorporation of Cross-cutting Issues** – the CB&T will focus on a number of cross-cutting issues, including:
  - Participatory skills to support the development of community ownership
  - Gender awareness – women and men will have equal access and full participation in CB&T activities
  - Environmental awareness – the risks of water contamination and to avoid or mitigate those risks
  - Results-based planning and management to help all stakeholders plan their work according to expected key result areas
  - HIV/AIDS – the rationale and strategies for dealing with HIV/AIDS
- **Action Planning** – training events will lead to action plans that list tasks to be completed, with clear objectives, targets, indicators, and timelines.
- **Teamwork and Network Building** –players who are expected to work together in the field, such as Facilitation and Technical Service Providers, will be trained together, so that they can learn how to work as a team and plan their work together.
- **Monitoring and Evaluation** – CB&T will be monitored to ensure that it is on track and achieving expected results.

## • 6.3 Capacity Builders

There are three main categories of capacity builders at the LGA and community level, as described in Table 10.

**Table 10 Capacity Builders**

<b>Player</b>	<b>Description</b>	<b>Major Capacity Building Roles</b>
DWST	Small team of departmental heads in the LGA	Prepare NRWSSP training plan and budget for the LGA, provide advice and support to communities, Watsan, and user groups, manage and monitor FSPs and TSPs.
Facilitation Service Providers	‘Software’ service providers	Train Watsans, user groups, and health volunteers
Technical Service Providers	Technical trainers	Train caretakers, local technicians, and pump operators. Provide on the job training for contractors.

Training Consultants hired by MoW will train the capacity builders. Training Consultants are experienced trainers with skills in participatory training, management, and community development. They will be hired to train DWSTs, FSPs, and TSPs.

The Training Consultants will train TSUs, DWSTs, FSPs and TSPs on the following:

- ❑ TSUs
  - NAWAPO key principles and NRWSSP strategies and approaches
  - TSU roles, roles of other players, teamwork and networking skills
  - Facilitation and Training skills
  - Communication Skills
  - Work Plan and Report writing
  - Results-based planning, management, and monitoring
  - Procurement and Negotiation skills
  
- ❑ DWSTs
  - NAWAPO key principles and NRWSSP strategies and approaches;
  - DWST roles, roles of other players, teamwork and networking skills;
  - Data collection and preparation of a DWSP;
  - Appraisal of community projects;
  - Facilitation skills, participatory methods, and community level project cycle management;
  - Different types of W&S systems and W&S guidelines;
  - Results-based planning, management, and monitoring; and
  - Work planning and report writing.
  
- ❑ Facilitation Service Providers
  - NAWAPO key principles and NRWSSP strategies and approaches;
  - Mobilisation, facilitation, and training skills – participatory techniques, negotiation and conflict resolution skills;
  - Community management of water and sanitation services – roles and responsibilities of different players, management roles in relation to O&M;
  - Community-based planning – how to facilitate participatory planning and write facility management plans;
  - Hygiene, sanitation, and HIV/AIDS – PHAST methodology, strategies for incorporating hygiene, sanitation and HIV/AIDS activities in the programme cycle;
  - Gender awareness and skills in maintaining the participation of women and marginalized groups; and
  - Strategic work planning, report writing, and organisational development skills.
  - Communication Skills

- ❑ Technical Service Providers
  - NAWAPO key principles and NRWSSP strategies and approaches;
  - Community-based planning-how to facilitate participatory planning and write FMP;
  - Technical training, in such areas as construction supervision; and
  - Training skills for training caretakers and pump attendants / operators.
  - Communication Skills

All LGAs will receive capacity building support in terms of LGA Entry Training Programme. The CB&T activities of the entry programme are listed in Box 14

**Box 10**

**LGA Entry Training Programme**

- ❑ **Five training courses:**
  - One core training course for DWSTs, FSPs, and TSPs on NRWSSP approaches and community facilitation.
  - One specialised training course for DWSTs, on management skills – supervision, reporting, contract management.
  - One specialised training course for DWSTs and District Tender Boards on procurement procedures and regulations.
  - One specialised training course for TSPs on RWSS technologies, Survey, supervision and quality control
  - One course for Councillors and field workers on NRWSSP approaches and roles of different players
- ❑ **On-the –job coaching and mentoring,** including support to FSPs on facilitation and training skills

#### 6.4 Target Groups for Community Level Capacity Building

Table 11 outlines the target groups for CB&T at the community level. It describes the main capacity building activities for each target group.

<b>Table 11 Community Level Target Groups</b>		
<b>Player</b>	<b>Trainer</b>	<b>Training Need</b>
Watsan and Water User Groups	FSPs and TSPs	<ul style="list-style-type: none"> <li>• Organisation, roles, meetings, and working with the community.</li> <li>• Participatory planning and development of FMP.</li> <li>• Technical – technical options, service levels, siting, construction and O&amp;M.</li> <li>• Collection and management of funds.</li> <li>• Hygiene, sanitation, HIV/AIDS and gender.</li> <li>• Construction management – quality control.</li> <li>• O&amp;M – how to maintain facilities, spare parts, and warranty.</li> </ul>
Health volunteer – CORPS	FSPs	<ul style="list-style-type: none"> <li>• Orientation on Hygiene, sanitation, HIV/AIDS and gender</li> <li>• Facilitation skills and participatory methodology tools.</li> <li>• Participatory monitoring and evaluation.</li> <li>• Basic skills in latrine construction.</li> </ul>
Caretakers	TSPs and contractors	<ul style="list-style-type: none"> <li>• Pump parts, names and functions, assembly and disassembly</li> <li>• Fast wearing parts and how to replace them.</li> <li>• Pump problems causes, and how to repair.</li> <li>• Inspection tests, proper use of pump, pump site cleaning &amp; maintenance.</li> <li>• Keeping records – spare parts and repairs.</li> <li>• Relations with community and Watsan, and WUGs/WUA.</li> </ul>
Operators	TSPs and contractors	<ul style="list-style-type: none"> <li>• Operating procedures of equipment.</li> <li>• Routine and preventive maintenance.</li> <li>• Water quality surveillance and record keeping.</li> <li>• Problem solving, troubleshooting, and monitoring.</li> <li>• Relations with community and Watsan Committee.</li> <li>• Safety measures</li> </ul>

Training will be integrated into the community mobilization process and timed to coincide with the steps in the programme cycle (planning, construction, and O&M). The training will be provided on a phased basis. For example, a short 1-2 day course will be organised during each phase for the Watsan, WUGs, WUAs, and CORPS. In total the Watsan, WUGs, WUAs, and CORPS will each receive three training courses.

Training of the community based caretakers and pump attendants / operators starts during construction - contractors will brief the caretakers (or operators) on maintenance skills (through demonstration and practice). This training will be followed up by the TSPs who will provide on-the-job coaching.

## 6.5 Management of Training

Training will be managed and coordinated at the national level by a Capacity Building and Training Team within the MoW. This team will carry out the following work:

- Review and define training needs.
- Develop training curricula, and materials.
- Hire training consultants to develop and/or review training modules and train middle level players (DWST, FSP, TSP).
- Coordinate the monitoring and evaluation of training.
- Organise Training of Trainers courses as required.

Monitoring of training will be organised at the appropriate level:

- The Regional Secretariat will monitor training of DWSTs, FSPs, TSPs (done by Training Consultants).
- DWST will monitor training by FSPs and contractors of Village Watsans, water user groups, caretakers, etc.
- MoW will monitor and evaluate all training programmes.

An outline of the LGA and community level training programme is given in Box 13.

## 6.6 Training Manuals

The training programme will be supported with training materials, which will consist of:

- a) **TRAINER'S GUIDES** – training modules used by trainers to train specific target groups. Each module describes how to facilitate the session: objectives, timing, learning tasks, questions to be asked, key points, etc.
- b) **OPERATIONAL MANUALS** – how-to-do-it guides for the use of trainees after completing their training – it explains how to do each task in their work.
- c) **PARTICIPATORY LEARNING TOOLS** – pictures and other exercises used in community level discussion/planning on water, hygiene, sanitation, and HIV/AIDS issues (e.g. PHAST tools and sanitation ladders, three pile sorting, transmission routes & barriers, etc).

A list of training materials have been developed by MoW for the use of relevant stakeholders at different levels is given in Table 12. These will be reviewed from time to time, depending on prevailing needs.

**Table 12 Training Materials**

<b>Audience</b>	<b>Materials</b>	<b>Description</b>
Community members	Community Fliers	Basic information on NRWSSP and how to participate
Watsan / Watsan User Groups	Watsan/WUG Manual	Pictures and text – 20-30 pages. Reference manual for WC members
	Trainer’s Guide for Training WCs/WUGs	Used by FSPs to train Watsan and WUGs.
Caretakers / Pump Attendants	Trainer’s Guide for Training Caretakers	Used by contractors and TSPs to train caretakers.
Animators	Trainer’s Guide for Training Animators	Used by FSPs to train CORPS.
Facilitation Service Providers	Facilitators Manual	Operational manual for Facilitators
	Trainer’s Guide for Training FSPs and TSPs	Used by Training Consultants to train FSPs and TSPs
	Picture Tools	Pictures used by FSPs and CORPS for PHAST discussions
TSPs	Piped Water System Manual	Basics on demand assessment, surveying, hydraulic design, etc
Local Artisans	Construction manual on wells & latrines	Simple, picture based manual
DWSTs	District Operational Manual	How to do promotion, data collection, planning, appraisal, monitoring, etc
	Trainer’ Guide for Training DWSTs	used by Trainer-Consultants to train DWSTs

In addition, MoW will develop a communication strategy and materials to disseminate basic information on the programme and how communities can participate. This will include a basic flier in Kiswahili on NRWSSP and NAWAPO 2002, dissemination of information to district radio and television stations. The communication strategy will be designed to minimise community expectations and overcome the ‘free water’ mentality, and promote a sense of community initiative, ownership, and responsibility.

**Table 13 Outline of the LGA and Community Level Training Programme**

<b>Trainees</b>	<b>Programme Cycle /Phase</b>	<b>Training Topics</b>	<b>Duration</b>
Watsan and Water User Groups	Planning	Community Ownership & Management. Watsan tasks. Organisation and meetings skills. Facilities & Management Plan. Technical levels, and siting. Hygiene & Sanitation & AIDS 1. Gender 1. Raising and Managing Funds 1 (fund-raising for commitment fees).	1-2 days
	Implementation	Review and problem solving. Forming Water User Groups. Supervising construction. Quality control. Raising & Managing Funds 2 (O&M Fund – detailed discussion on how to raise O&M funds). Gender 2. Hygiene & Sanitation & AIDS 2 Monitoring. Action plan.	1-2 days
	Post Construction Follow-up/ O&M	Review and problem solving. Maintenance of new facilities – caretaker inspection & maintenance, spare parts, and warranty. Raising & managing money 3 (O&M Fund – including buying spare parts). Hygiene, Sanitation, & AIDS 3. Meetings skills. Record keeping. Networking. Monitoring. Action plan.	1-2 days
CORPS	Participatory H&S, & AIDS 1	Practical skills in facilitating discussions and action planning on hygiene, sanitation, and HIV//AIDS. Demonstration and practice in using tools and facilitating discussion.	2-3 days
	Participatory H&S, & AIDS 2	Review of field experience. More practice in using tools. How to form sanitation clubs and promote sanitation.	2-3 days
FSPs and TSF	Planning	NRWSSP Goals & Strategies. Community Project Cycle. Players and Roles. Facilitation Skills. Watsan– Formation and Training. Participatory Planning Process and FMP Format. Technical Options, Service Levels, and Siting. Raising and Managing Money 1 Hygiene, Sanitation, & HIV/AIDS 1. Gender & Water 1. O&M Issues. Work Planning and Report Writing.	5 days
	Construction	Watsan Training and Strengthening. Constructio technical issues. Raising and managingfunds 2. Hygiene, Sanitation, and HIV/AIDS 2. Gender and Water 2.	3-4 days
	O&M	Watsan Training and Strengthening. O&M – how to facilitate community management. Raising and managingfunds 3. Record-keeping. Hygiene, Sanitation, and HIV/AIDS 3.	3-4 days
DWST	DWST Introductory	NRWSSP Goals & Strategies. LGA & Community Programme Cycles. Players & Roles. Watsan Formation. Participatory Planning & FMP. Vetting applications and FMPs. Promotion and Community Selection. Supervision and Monitoring of Service Providers. District Water and Sanitation Planning.	5 days
	Monitoring and Supervision	Coordination & Supervision of Service Providers. Supervision of Contractors. Work Planning and Reporting. Different types of W&S systems and W&S guidelines	3 days
	Procurement and Contract Management	Identification & registration of contractors; preparation and evaluation of bids; contract award & negotiation; monitoring & supervision; financial administration	5 days
D/Council members	Introduction to NRWSSP	Outline of NRWSSP, Roles of the LGA and Other Players, Project Cycle, Community Applications and Selection, FMPs and Appraisal. Service Providers and contracting.	1-2 days
DC Field Staff	Introduction to NRWSSP	Outline of NRWSSP, Roles of field workers and other Players, Field Workers Project Cycle, Community Participation and Selection Procedures	2 days
	Follow-up Support to communities	Tasks of Service Providers. Monitoring - data collection and report writing. O&M, fee collection and book keeping. HIV/AIDS. Community mobilisation & participatory planning methodologies	2 days





## **6.7 Support to Private Sector Service Providers**

The long-term objective of support to the private sector and NGOs is to:

**Ensure that there is a competitive and efficient private sector  
available at the LGA level  
to provide quality and timely goods, works and services to communities.**

An objective of the NRWSSP is to increase the number of service providers and ensure the quality and competitiveness of their work. This will be done through training and also through a) providing logistical support and b) simplifying procedures to encourage the participation of small-scale service providers.

## 7. HYGIENE AND SANITATION

### 7.1 Introduction

The expected outcome of Component 2 (Construction of Community RWSS Schemes) of the NRWSSP states that there will be *“improved access to Water Supply and sanitation services operated and maintained by capable men and women, and improved health and hygiene practices.”* Included in the Outcome Indicators is *“improved knowledge, attitudes and practices in relation to health and hygiene & sanitation (including increased use of latrines).”*

The NRWSSP has two hygiene and sanitation sub-components - household sanitation, and school sanitation. This section describes the approach that will be employed in the implementation of each of these sub-components.

### 7.2 Household Sanitation

#### 7.2.1 Operational Principles

A basic objective of the NRWSSP is to encourage more rural households to have and use sanitation facilities that are of an acceptable standard. The approach for achieving this objective is based on the following principles:

1. Improvements in sanitation depend on the household making a conscious decision to invest in sanitation based on a full understanding of its choices and knowledge of its responsibilities.
2. Sanitation will be demand driven, where households will be offered a variety of technologies from which they can choose appropriate options according to their local conditions, hygiene habits and affordability.
3. Technologies must be affordable and sustainable over the long term. The capital costs of installation or improvement of latrines are to be borne by the household itself.
4. Promotion efforts must be local (community based) and long term. Sanitation units must be made of locally available materials, the capacity to fabricate and install must reside within the community if not in the household itself.
5. The LGA staff must take the lead in promoting and providing support to the sanitation project. A commitment has to be made to undertake a well-directed and resourced effort for it to succeed.
6. If at all possible latrines should not be subsidised, as they are privately owned. Latrine promotion has to rely on effective campaigning, which includes demonstration and continuous education and advertising.

## 7.2.2 Household Sanitation Project Cycle

To achieve adequate coverage, each LGA will have to mount a strong promotional campaign over a period of at least four years. The Household Sanitation project cycle is outlined in Table 14.

**Table 14 Household Sanitation Project Cycle**

STAGE	ACTIVITY
PILOT STAGE	<ul style="list-style-type: none"> <li>• Ministry sanitation team is identified and oriented;</li> <li>• Individual technologies are tested in the field under close scrutiny to rigorously evaluate, refine and reduce costs; and</li> <li>• Methods of promotion and marketing sanitation are detailed</li> </ul>
PLANNING STAGE	<ul style="list-style-type: none"> <li>• Technologies are confirmed, implementation plan refined and most suitable projects are selected as starting points;</li> <li>• Public consultations are held to assess preferences and raise awareness; and</li> <li>• Initial project stakeholders meetings are held, consensus achieved and plans formulated;</li> </ul>
ORIENTATION AND TRAINING STAGE	<ul style="list-style-type: none"> <li>• DWST staff are selected for the sanitation initiative and trained in their roles and responsibilities;</li> <li>• Community based Sanitation Clubs are created and members trained in their roles;</li> <li>• Male and female masons are identified and trained in the technologies, their construction and promotional methods.</li> </ul>
PROMOTION STAGE	<ul style="list-style-type: none"> <li>• Messages are created, tested and then used in sub-project wide promotional campaigns; and</li> <li>• School sanitation and water supplies are improved as is teaching in hygiene and latrine use and maintenance (see below).</li> </ul>
DEMONSTRATION STAGE	<ul style="list-style-type: none"> <li>• Demonstration and information centres are set up in each sub-project;</li> <li>• Technologies are demonstrated at public gatherings and “sanitation days”; and</li> <li>• Sanitation is promoted at the demonstration sites.</li> </ul>
APPLICATIONS AND CONSTRUCTION STAGE	<ul style="list-style-type: none"> <li>• Promotion by Sanitation Clubs, masons and LGA health staff in their communities;</li> <li>• Receipt of applications; the following are steps for individual latrines:               <ul style="list-style-type: none"> <li>○ Site inspection and approval;</li> <li>○ Preparation of site, pit digging, procurement of materials, slab casting, and latrine installation;</li> <li>○ Household training in maintenance and hygiene; and</li> <li>○ Inspection, certification and payment of masons.</li> </ul> </li> </ul>
MONITORING & SUPPORT STAGE	<ul style="list-style-type: none"> <li>• Monitoring progress of overall programme and individual latrine installations at the household level;</li> <li>• Monitoring of performance of Sanitation Club, masons, health assistants and teachers; and</li> <li>• Trouble-shooting and other support to households and stakeholders.</li> </ul>

The approach at the LGA and community level is based on:

- **Training and Demonstration** including orienting and training LGA staff in the technologies, promotional methods and administrative and management systems. Demonstration latrines are built in key locations, such as the health clinics, schools and near the Council buildings and at open market places (*gوليو*), where they can be inspected by the public, and be properly maintained.
- **Training Masons** at the community level to assist households construct sanitation facilities. Both men and women are trained in sanitation technologies and construction. Masons are certified as trained by the LGA.
- **Promotion of Latrine Construction** is primarily driven by the Sanitation Clubs, which promote latrine construction and hygienic use within their communities. A Village Sanitation Club also monitors construction quality and promotes proper use of the latrines once built. The Masons also have a role in promoting latrine construction and improved hygiene practises.
- **Education** by the Village Sanitation Club on hygiene and environmental awareness.
- **Credit Scheme for Latrine Construction.** While direct subsidies for private property are unadvisable; a credit scheme could possibly be set up to support families wanting to invest in latrine construction. Although the credit scheme will itself require initial capitalisation, it could be run on a self-sustaining basis in the longer term and be an important catalyst in latrine dissemination. Alternatively, a small subsidy of 20% of a bag of cement for slab construction could be provided.
- **Construction and Use of the Latrines** will be the responsibility of the household. Support will be provided in the form of promotion and technical assistance through the sanitation club and masons; subsidies for materials should be kept to an absolute minimum.

**Sanitation Clubs** play a key part in promoting household sanitation, and in the school sanitation activities. They are made up of members of the community, including CORPS, and are trained by FSPs and the DWST. The Sanitation Club is responsible for campaigning within the community, encouraging households to build latrines.

### 7.3 School Sanitation

The purpose of the School Sanitation initiative is to ensure that sanitation facilities are available and functional at every primary school in the project area, and that hygiene behaviour is improved and facilities are properly maintained. Specifically, the school sanitation activity aims to:

- develop technical options and approaches to implementation of school sanitation facilities – latrines, urinals, and hand washing facilities;
- provide sanitation and improved water facilities at an average of two primary schools per LGA during the implementation of NRWSSP;
- strengthen LGA capacity to develop and implement school sanitation; and
- strengthen hygiene education in the target primary schools.

The implementation cycle for School Sanitation is given in Table 15. It is a competitive process. A primary school must submit an application form to the LGA. If a school has its application accepted it is expected to ensure that both teachers and students take an active role in improving hygiene behaviour. Hygiene training will be given to teachers and they will facilitate the formation of School Sanitation Clubs, and support the activities of these Clubs which are expected to maintain the sanitation facilities, keeping them clean and undertaking any necessary repairs.

Working in close collaboration with teachers, LGA health and education staff will advocate, mobilise resources and coordinate all stages of project implementation. The NRWSSP will provide the necessary advisory technical support as and when required by the LGA.

Latrines (of appropriate number and design) and improved water supply are built for students and teachers at each primary school in the sub-project area. In collaboration with the teachers, women from the Sanitation Club give hygiene education to the primary school students.

**Table 15 Project Cycle for Implementing School Sanitation**

<b>Steps</b>	<b>Activities</b>
Initial Assessment	<ol style="list-style-type: none"> <li>1. An initial site visit and assessment will be undertaken by DWST staff responsible for school sanitation (herein termed DWST-SS).</li> <li>2. Major anomalies or difficulties will be referred to the MoW, otherwise the DWST-SS will be responsible for concluding whether the school applying for support should be considered.</li> </ol>
Design and Siting	<ol style="list-style-type: none"> <li>1. Needs will be assessed by the DWST-SS and overall approach agreed between the school &amp; DWST-SS.</li> <li>2. Standard designs for both water and sanitation will be used and siting of the proposed facilities can take place during the initial assessment.</li> </ol>
Proposal, Approval and Agreement	<ol style="list-style-type: none"> <li>1. The school will be responsible for filling a basic application (proposal) including details of the latrines (and water supply if required), project implementation schedule, costing and arrangements to be made for hygiene teaching/improvements, keeping the latrines clean, maintained and repaired.</li> <li>2. The DWST-SS will vet the applications from the schools and gain approval of the Council.</li> <li>3. A standardised agreement will be signed between the successful school and District, which details all roles, responsibilities procedures and budgets.</li> </ol>
Orientation and Students' Sanitation Club Formation	<ol style="list-style-type: none"> <li>1. The successful school will then orient its teachers in the school sanitation improvements, their roles and responsibilities.</li> <li>2. The school manual will be distributed and responsibilities allocated to selected teachers.</li> <li>3. Student sanitation clubs will be formed on classroom or school basis and will be oriented on their roles and responsibilities. These will be responsible for promoting hygiene and sanitation within the school. The sanitation clubs will be made up of representatives of pupils and teachers, half of which will be females. These clubs will manage the sanitation facilities, be involved in hygiene promotion activities, and act as a mechanism for ensuring gender representation and promoting sustainability.</li> </ol>
Tendering, Contracting and Funding	<ol style="list-style-type: none"> <li>1. The LGA will tender &amp; contract for installation of both school sanitation &amp; WS improvements.</li> <li>2. The LGA and DWST will manage the funding and financial administration ensuring that funds are available when required and that proper financial and quality control mechanisms are in place and administered.</li> </ol>
Construction	<ol style="list-style-type: none"> <li>1. Latrines installed.</li> <li>2. Provision of a water supply facility where none is available. Rainwater tanks, hand pumps on shallow wells or piped supply from the nearby project will be options.</li> </ol>
Inspection & Certification	<ol style="list-style-type: none"> <li>1. The DWST-SS and school will have joint responsibilities for supervising the construction, and for the final inspection and certification.</li> </ol>
Operation, Maintenance and Repair	<p>The school will ensure that the latrines and washing areas are kept clean and operational. It will also be responsible for having the pits de-sludged latrines when needed, and making repairs to the buildings as required.</p>
Continuing Hygiene Education	<ol style="list-style-type: none"> <li>1. The school will be responsible for addressing faults in its own teaching in hygiene, which normally lacks priority and falters as a less than desirable subject, particularly where personal and latrine hygiene are concerned.</li> <li>2. The NRWSSP school manual will be used which combined both the existing curriculum with the new facilities and their maintenance programme.</li> <li>3. The DWST-SS will make regular inspections of the facilities and support the establishment of standardised procedures/guides for latrine and washing facility maintenance and repair by the school.</li> </ol>

## 7.4 Sanitation Technologies

The sanitation technologies must be affordable, suit subsoil conditions and be socially acceptable. The decision on the type of latrine to be built in a household will be made by the household itself. The key is “choice”; a household is expected to invest in the latrine and can only do so happily if well informed and able to choose among alternatives.

Dry on site sanitation is the only feasible technical option of excreta disposal in the rural areas. The technical options for this type of sanitation are:

- a. A Ventilated Improved Pit Latrine
- b. A double vault compost latrine
- c. The “Arborloo”
- d. A Traditional Pit Latrine
- e. Ecosan Latrine

A **Ventilated Improved Pit latrine** is a pit latrine that removes odours and prevents flies from breeding in and escaping from the pit. Excreta is collected in a lined pit, which has a vent pipe covered with a fly proof screen at the top. The construction of this type of latrine does not require a very big area, but when the pit is full it must be covered with earth and a new pit dug. A fruit tree can be planted on the site or the compost can be dug out after two years and used as fertiliser.

A **double vault compost latrine** is a latrine that can be constructed above ground or just a metre deep. The compost latrine decomposes excreta and generates heat that kills bacteria. The decayed excreta is harmless and does not spread any excreta borne or fly borne diseases. If properly sited and maintained there is no risk of polluting underground water. It is cheap compared to the deep, long drop VIP latrine. Once built there is no need for constructing another latrine. The pits are emptied alternatively once every one to three years.

The “**Arborloo**” is a pit latrine built with a base slab and a superstructure that are both portable. The slab and superstructure are placed over a pit that is about one metre deep. It is used like a standard pit latrine but additional ingredients, like soil and wood ash, are regularly added to the pit to reduce fly breeding and odours. Leaves and kitchen waste are also added to assist in the breakdown of the excreta to form a humus material that can be used as compost. Once the pit is about two thirds full, the latrine slab and superstructure are moved to a new pit site. The original pit is then topped up with soil and a tree can be planted. Given the shallowness of the pit, the potential for groundwater pollution is substantially reduced. Furthermore, the mixing of soil, leaves, etc creates a faster composting process, converting the raw excreta into soil-like humus within a period of 3 – 4 months. This also reduces the risk of groundwater pollution.

A **traditional pit latrine** is the cheapest and the most basic sanitation facility. It normally consists of a pit covered with logs, or beams, and possibly a sanplat fitted to the beams. The sanplat has a squat hole. The latrine superstructure is often very simple and constructed from local materials. The traditional pit latrine has the advantage that it is very cheap to construct. The sanplat and superstructure can be re-used once the pit is full. However, this type of latrine presents a greater risk of groundwater pollution. They also need to be located away from houses to avoid annoyance from odour and flies.

### An Ecosan Latrine

## 8. WATER SUPPLY TECHNOLOGY OPTIONS

### 8.1 Introduction

The outcome objective of Component 2 of the NRWSSP is “*improved access of rural communities to water and sanitation services operated and maintained by capable women and men, and improved health & hygiene practices*”. A key indicator of this outcome is that there is an “*increased number of rural communities with adequate knowledge for management, operation and maintenance of their facilities (communities effectively managing RWSS services and bearing related costs), and which fully involve women in decision-making roles*”. Involving a community in the choice of a water supply system that is both technologically appropriate to their physical and social environment, and financially affordable both in the investment phase and during the operation and maintenance phase, is an essential ingredient in implementing the principle of community ownership and management and achieving NRWSSP objectives.

This section outlines the steps involved in achieving effective community participation in decision making about water supply technology and service levels. Also, water supply technology options are described.

### 8.2 The Decision Making Process

The key decision making steps in the choice of technology are listed in Table 16.

**Table 16 Technology Decision Making Steps**

<b>Step</b>	<b>Decision Making Step</b>	<b>Key Player</b>
1	➤ Verification of baseline data and inspection of preferred water sources.	FSP, TSP
2	➤ Preliminary design and costing of technological options.	TSP
3	➤ Community decision-making meeting on technology options, and service level.	Community
4	➤ Technical Feasibility studies	TSP
5	➤ Produced detailed design and costing	TSP
6	➤ Finalise Facilities and Management Plan	Community

Step 1 is the verification of the baseline data provided by the community in their application to the LGA. It includes inspecting water sources for their reliability, protection and cleanliness. Step 2 involves the TSP, with the assistance of the DWE, in making a preliminary design and costing of possible technology options. This involves considering the location of water points, calculating, where appropriate, the dimensions of the system, determining the construction process, and, on the basis of this, estimating the costs. These preliminary designs and costings are presented to the community for discussion (Step 3).

Discussion of the technology options needs to consider the financial implications of each option, including cost related to O&M, and the ‘risks’ connected with each technology choice. The potential users must be fully conversant with the characteristics, costs, benefits and risks associated with each option. Box 15 gives a more detailed over view of some of the issues that need to be considered by the community.

<b>Box 11 Feasibility Issues</b>	
<b>Technical</b> <ul style="list-style-type: none"> <li>• Depth of groundwater</li> <li>• Water demand</li> <li>• Technical skills required in O&amp;M</li> </ul>	<b>Environmental</b> <ul style="list-style-type: none"> <li>• Seasonal variations</li> <li>• Source protection</li> <li>• Risk of negative impact</li> <li>• Water quality</li> </ul>
<b>Institutional</b> <ul style="list-style-type: none"> <li>• Community management capacity</li> <li>• Existence of other institutions and projects and their management capacity</li> </ul>	<b>Economical</b> <ul style="list-style-type: none"> <li>• Household income levels</li> <li>• Capital cost and household contribution</li> </ul>
<b>Social</b> <ul style="list-style-type: none"> <li>• User preference</li> <li>• Seasonal migration patterns</li> <li>• User organisations and social cohesion</li> </ul>	<b>Management Capacity</b> <ul style="list-style-type: none"> <li>• Sustainable management structures</li> </ul>

A number of techniques can be used to help a community understand these issues, and make the appropriate decision, including:

- Visits to neighbouring sub-project where there are similar options are in operation.
- Pictures and photographs.
- Working out a public mathematics of a proposed scheme which communities can easily understand i.e. breakdown of figures e.g. estimated cost of each item/activity.

Once the community has made a choice the TSP, with the support of the Watsan and the DWST, will prepare a detailed technical feasibility study (Step 4).

The technical feasibility study is the basis for preparing a detailed technical design and costing (Step 5) and finalising the FMP (Step 6). The two are submitted to the DWST for appraisal, approval and funding (see Section 4).

### 8.3 Water Systems Technology Options

The ‘Thematic Report: Technology Support and Quality Assurance’ (May 2004) prepared as a background document for the preparation of the NRWSSP strategy lists four water supply options:

- Wells
- Boreholes
- Gravity fed schemes
- Rainwater catchment

The advantages and limitations of each of these are discussed Table 17.

**Table 17 Water Supply Technology Options**



Water Supply	Type	Advantages	Limitations
Wells	Upgraded well	Low development cost Easily managed and replaceable water extraction technology. Low maintenance cost	Provides only a basic service. Can be easily polluted Often not perennial
	Hand dug well	Low development cost Easy to maintain Can be equipped with a hand pump. Relatively low maintenance cost	Provides only a basic service. Can be easily polluted Often not perennial
Boreholes	Hand drilled borehole	Similar to hand dug wells, low development cost Can be equipped with hand pump Suitable for low yield wells Relatively low maintenance cost	Limited to areas where soil conditions are soft Can be easily polluted Often not perennial
	Machine drilled borehole with hand pump	Limited maintenance; hand pump can be maintained by the community	Cost can vary considerably depending on the Environment Suitable for 250+ people
	Mechanised borehole with piped system	Suitable for settlements of 1,000 – 3,000 people living in close proximity. Diesel engines require limited maintenance that can be done by the community	More detailed planning involved Risk if the borehole is low yielding the WSS may need to be re-planned O&M costs can be high because of diesel prices
Gravity fed (spring or river)	Open system – where the yield from the water source gives constant steady flow closed system where a reservoir is needed	Low O&M costs Minimal interruptions in Water supply Minimises travel time for water users – water can be piped over long distances to many water points	Water rights may be an issue Source needs protection High investment costs
Rainwater catchment		Technically feasible at the household level, at schools and clinics	Supplementary rather than a permanent source of water

### 8.3.1 Pumping Devices

Groundwater sources – but in some cases also surface water sources – need to be pumped to the point where the water can be collected. These pumping devices are an important link in the chain of water supply. The technology choices on pumping devices are described below.

### 8.3.2 Hand Pumps

*Direct Action Hand Pump (NIRA AF85 or MALDA)*

The Direct Action Hand Pumps are based on a buoyant pump rod and lever that is directly pumped by the user, discharging water at the up - and down stroke. The pump head and the standing plate are made of galvanised steel and the handle of stainless steel. The pump rod and rising main are HDPE pipes and the rest of the down-hole components are made of plastics. This makes this pump completely corrosion resistant. Direct Action Pumps are limited to pumping lifts of a maximum of 15 m. It is recommended not to go deeper than 12 m.

### Lever-Action Hand Pump (Walimi)

The Walimi Pump is a low lift lever-action pump. The pump head, the pump stand, and the handle are made of galvanised steel. The pump rod is stainless steel and rising main is PVC and the rest of the down hole components are made of corrosion resistant materials. This makes this pump completely corrosion resistant. It is recommended not to install the Walimi Pumps in cylinder settings of more than 25 m.

### Lever-Action Hand Pump (Afridev)

The AFRIDEV Pump is a conventional lever-action hand pump. The configuration includes an open top cylinder (i.e. the piston can be removed from the cylinder without dismantling the rising main). The foot valve is retractable with a fishing tool. The riser pipes are made of u-PVC. The pump rods are of stainless or mild steel with hook and eye connectors, allowing removal without tools. Rubber materials are used for the pumping elements, plunger/foot valve and for the bearings. This pump is corrosion resistant in the stainless steel rod configuration. Because of the PVC rising main, the pump should not be used in unlined boreholes. Recommended maximum pump setting is 45-50 m.

## **8.3.3 Motorised Pumps**

### Submersible Pump Powered by Grid

If there is a reliable power supply from the grid to the community, and the community has a population of about 1,200 the investment cost per capita is in the same range as the boreholes equipped with hand pumps. For larger communities the cost will sharply decrease. However, the borehole yield has to be sufficient to serve the larger user group. Higher pumping heads hardly affect the O&M costs, as the additional energy cost is reasonable.

Long distances from grid to the pump site require high investment in the power line. Under such unfavourable conditions, it may be better to choose a diesel generator or a solar pump system.

### Diesel Engine Driving a Generator with Submersible Pump or a Mono Pump

The investment cost for a community with 1,200 inhabitants would be almost identical with the cost for the systems with electricity supply from the grid, the extra cost for the diesel generator being offset by the cost for the power line. However, the annual operating cost is about 25% higher for the system with the diesel engine, as diesel fuel is more expensive than electricity.

Naturally, the diesel engine requires increased servicing and maintenance and may demand a full-time operator. Diesel driven pumps have the advantage that they are independent of the grid. However, the logistics to ensure that enough fuel and lubricants are always available need to be carefully planned.

This system is very versatile, allows optimising pump and engine capacity. It works in all type of boreholes. Generator sets used are of various origins, Lombardini, Lister, VM, being common brands. The most commonly used submersible pumps are Grundfos. The performance of the Diesel-Submersible systems is good provided the operation and maintenance of the diesel engine is done properly. Submersible pumps need very little day-to-day maintenance.

### Diesel Engine with Mono Pump

This configuration is the most common system of mechanised pumps. The Mono pumps are normally fitted with a Lister diesel engine. Performance of these pumps is good. Mono pumps are very reliable and their maintenance requirements are low. However they need to be fitted in straight boreholes. The maintenance of the diesel engines is well within the capability of operators.

### Diesel Engine with Centrifugal Pump

Centrifugal pumps driven by a diesel engine are often used on open wells. Most irrigation pumps are of this variety. This type of pump is not suitable for use in boreholes. The maximum suction lift of these pumps is restricted to about 7 metres. They can however be used for pumping water up from an open well or river to high-level reservoirs.

#### **8.3.4 Photovoltaic Solar Pump System**

If the solar radiation is sufficient, solar pumps have a high potential for communities between about 1,000 and 2,000 inhabitants, especially in the lower pumping head range. Small solar pump systems for communities with only 600 inhabitants may be only cost-effective when pumping at a low head directly into small ground level reservoirs. At present, the standardised small solar systems with up to about 1,600 W panel size are of interest, because of their acceptable cost and proven reliability. Photovoltaic solar panels are still quite expensive, which results in high investment costs. In addition, the standardised systems are still rather small in capacity so that larger communities would need more than one solar pump with extra wells/boreholes.

The cost for O&M is, however, favourable as no fuel or electricity supply cost is needed. The photovoltaic systems run for many months with minimal O&M requirements. Solar panels can be used for many other purposes and therefore care is needed to protect the systems from being stolen.

#### **8.3.5 Piston Pump Powered by a Windmill**

This system seems to offer little advantage from the capital cost side. It may, be of interest for medium size communities, since a basic service could be provided with a windmill without there being any cost for fuel and with low maintenance cost.

Sufficient data of the annual wind speed pattern is required before a windmill is considered. The dependence on wind would require a bigger storage tank to ensure reliability of water supplies also in periods with no wind.

#### **8.3.6 Charco Dams**

Charco dams are reservoirs for storing water, constructed in or adjacent to watercourses or within catchment areas, to store stream flow or surface runoff. Charco dams are constructed by excavation, embankment or a combination of both and are typically designed to store 3,000 to 5,000 cubic metres of water, or one to two years' storage. Charco dams are usually used for livestock water supply but with certain precautions can also be used for domestic purposes.

Charco dams are subject to water loss through evaporation and seepage. Choosing less-exposed sites will reduce evaporation by wind action and covering of small charco dams with thatch roofs may be considered. Seepage can be reduced by choosing a site that is free from sand lenses and fractured rock, ideally one composed of clay or other impervious sub-soil. Sealing charco dams to control seepage can be done but is expensive. Typically clay, plastic membranes or soil cement are used to seal charco dams.

Watershed protection is essential to reduce silting and contamination of the charco dam. Ideally, the watershed should be vegetated and livestock and human activity excluded. A buffer strip of at least 30 meters width, which is sown with grass, should be used where surface runoff enters the charco dam, and the buffer strip should also be within the fenced area.

## 9. PROCUREMENT PROCEDURES

### 9.1 Introduction

This section describes the uniform procedures and the established controls for the procurement of civil works, goods, and consultancy services. The procurement activities involved in the NRWSSP are to be undertaken in accordance with Government of Tanzania procurement legislations. Proper application of the legislation, and regulations, should ensure that LGAs, and ultimately the user communities, acquire the right quantity and quality of goods, works and services, at the right time, from the right source, at a competitive price.

### 9.2 General Procurement Policies and Guidelines

The legal provisions for the procurement of works, goods and services are set out in the Public Procurement Act (PPA) 2004. In accordance with this Act, procurement at LGA should be conducted following procedures outlined in Public Procurement (goods, works, non-consultant services and disposal of Public Assets by Tender) Regulations. In Box 16 an overview of the regulations and procedures, as they pertain to the NRWSSP, is given.

#### Box 12

##### Procurement Regulations and Procedures for the NRWSSP

- All procurement of goods, works and services for NRWSSP will be done in compliance with the PPA, 2004 and the Public Procurement (goods, works, non-consultant services and disposal of Public Assets by Tender) Regulations. The LGA through the DED/MD/Districts Tender Boards will be the overall responsible body for the general administration of the procurement process.
- Selection and employment of consultants, procurement of works and goods in the NRWSSP will be carried out in accordance with guidelines and Standard Bidding Documents (SBD) for works and goods under International Competitive Bidding (ICB) and National Competitive Bidding (NCB) and Standard Evaluation Forms (SEFs) forms should be used where applicable.
- For procurement of smaller works, goods and consultants other types of procurement are as specified in the PPA, 2004 and Public Procurement (goods, works, non-consultant services and disposal of Public Assets by Tender) Regulations will be used.
- Copies of SBDs should be readily available to the participating stakeholders.
- LGAs should make special efforts to market the business opportunities under the programme to a wide range of private sector, NGOs, CSOs, CBOs and individual consultants. This should be made via public notice boards, radio, TV stations, print media, website, and UN Business Notice for ICB.
- In all cases, contracts should be awarded to individuals or firms that are deemed to be the best-evaluated bidder, according to the criteria specified in the tender documents.

### 9.3 Implementation Arrangements

The DWSTs will be responsible for carrying out procurement processes for goods, works and consulting services of the projects. They will be responsible for:

- Appraising the projects prepared by the communities.
- Packaging contracts for services, works and goods of similar nature to achieve economies of scale.

- Selecting consultants who will assist them in preparing designs and technical specifications and cost data, drafting of bidding documents and supervising construction.
- Selecting contractors who will construct water schemes and supply of goods needed.

As part of capacity building, DWSTs should include selected members of the Watsan committees in specific procurement steps, such as tender opening, tender evaluation and contract management, so that procurement responsibilities could be transferred to the community for simple construction such as hand-dug wells, spring protection and construction of latrines.

As part of the NRWSSP capacity building strategy, DWSTs and Council Tender Boards will be given training in procurement and contract managements

## 9.4 Scope of Procurement

Procurement under the NRWSSP will involve the following:

- (i) **Projects:** Contractual services for projects will mainly consist of borehole and hand-dug well construction, pumping equipment, water supply and distribution systems for small towns, protection of springs, household water catchment facilities and latrines. Contracts should be packaged by DWSTs to group services, works and goods of similar nature.
- (ii) **Goods:** This will consist of limited number of vehicles, equipment (including hand pumps) and office supplies. MoW will package contracts in a rational manner for ICB or NCB procurement. The MoW annual work plan will specify the procurement plan and budget for goods. DWSTs would also procure a limited amount of goods as specified in their annual work plan to be approved by MoW. ICB is envisaged under the hand pumps and maintenance services procurement.
- (iii) **Selection and Employment of Consulting Services:** FSP and TSP contracts will be awarded to firms, individuals or NGOs.

## 9.5 Procurement Notices

- A General Procurement Notice (GPN) will be published in the Council Tender Board, Central Tender Board's or UN Development Business website and in a daily national newspaper of wide circulation.
- The GPN will be updated annually for outstanding ICB and large consultancy services.
- Specific Procurement Notices (SPNs) will be required for consultant services, goods and works contracts to be procured under ICB and NCB
- Specific notices will also be posted at the district and community levels, for projects.
- A "Promotional Procurement Notice (PPN)" will be published annually in national and local newspapers by MoW to promote business opportunities to local contractors and suppliers. The PPN should clearly indicate the likely dates at which bid documents would be made available.

## 9.6 Procurement Plans

A global procurement plan covering the entire NRWSSP and a specific procurement plan for the first year of implementation will be prepared to include:

- Contract packaging,
- Estimated cost;
- Type of contract;
- Procurement method; and

- Procurement schedule.

As part of annual work plan, MoW will prepare specific procurement plans for the particular year.

## 9.7 Procurement Methods

Six types of procurement methods can be applied under NRWSSP depending on the price range of the contract and the type of goods, works or services to be procured. The methods that are presented in Tables 18 and 19 are based on the Public Procurement Act (2004).

(a) For contracts of civil works which do not exceed Tshs 3,000,000,000, civil works contracts would be procured under NCB, whereas contracts not exceeding Tshs 100,000,000 can be awarded through competitive quotations from at least five qualified domestic contractors are received in response to a written invitation. Contracts for civil works exceeding Tshs 3,000,000,000 should be procured under ICB

(b) For contracts of goods which do not exceed Tshs 800,000,000, goods contracts would be procured under NCB, whereas contracts not exceeding Tshs 80,000,000 can be awarded through competitive quotations from at least five qualified domestic suppliers are received in response to a written invitation. Contracts for goods exceeding Tshs 800,000,000 should be procured under ICB

(c) For contracts for provision of consulting services which do not exceed Tshs 1,000,000,000, services contracts would be procured under NCB, whereas contracts not exceeding Tshs 300,000,000 can be awarded through single source selection by the qualified domestic consultant/NGOs. Contracts for services exceeding Tshs 1,000,000,000 should be procured under ICB

**Table 18 Types of Selection Methods for Goods and Works**

Method of Tendering	Goods	Works
International competitive tendering	No limit	No limit
National competitive tendering	Up to TSH 800,000,000	Up to TSH 3,000,000,000
Restricted tendering	Up to TSH 400,000,000	Up to TSH 1,500,000,000
Competitive quotations	Up to TSH 80,000,000	Up to TSH 100,000,000
Single source procurement	Up to TSH 500,000,000	Up to TSH 800,000,000
Minor value procurement	Up to TSH 10,000,000	Up to TSH 20,000,000

*Source: Public Procurement (goods and works) Regulations, 2005*

**Table 19 Types of Selection for Consulting Services**

Method of Procurement	Limits
International Competitive Selection	No Limit
National Competitive Selection	Up to TSH 1,000,000,000
Restricted Competitive Selection	Up to TSH 500,000,000
Single-Source Selection	Up to TSH 300,000,000
Individual Selection	Up to TSH 150,000,000
Minor Value Procurement	Up to TSH 7,500,000

*Source: Public Procurement (Selection and Employment of Consultant and non-consultant services) Regulations, 2005*

## 10. PLANNING AND FINANCIAL MANAGEMENT GUIDELINES

### 10.1 Introduction

This section describes the procedures and guidelines for the management of programme funds. It is necessary to ensure that there are adequate and efficient internal controls governing the utilisation of the funds. These guidelines are expected to provide reasonable assurance that funds released for programme activities are used to achieve the intended objectives. Financial accountability will specifically be reflected in the following areas:

- Effectiveness and efficiency of the programme operations.
- Reliability of financial accounting and reporting.
- Compliance with applicable financial legislations.
- Safeguarding of assets.

The following documents are available to the LGAs for detailed information on planning and budgeting procedures:

- Guidelines for Planning and Operating LGA Water and Sanitation Grants.
- The National Framework for Participatory Planning and Budgeting for LGAs.
- The Local Government Medium Term Expenditure Framework (LG-MTEF) which initiates the budget process by identifying funding sources for LGAs.

In all respects LGAs applying for conditional grants under the NRWSSP should comply with the prevailing PMO-RALG guidelines for planning and budgeting.

### 10.2 NRWSSP Planning Guidelines

The NRWSSP will operate within the new decentralised system, which involves Public - Private Partnerships. The LGA Water and Sanitation Grant will be allocated to LGAs based on their DWSPs. The process of approving DWSP is as follows:

- (i) The DWST thoroughly reviews, vets and appraises the village project proposals and incorporate them into the DWSP and in the annual District Investment Plan (DIP).
  - (ii) The completed DIP is submitted to the Full Council through EHW and FAP Standing Committees for consideration and approval.
  - (iii) The approved plans is submitted to the MoW for technical scrutiny and finally to MoF for funding.
- The DIP should indicate clearly to what extent it has incorporated the national objectives and priorities, as prescribed in the NAWAPO 2002 and the NWSDS, and the MKUKUTA priorities and principles.

The financial planning cycle for NRWSSP falls within the normal annual planning and budgeting cycle. It runs from September to June of each year. Details of how LGAs should prepare their annual investment plans for the W&S conditional grants are given in the 'Guidelines for Planning and Operating District Water and Sanitation Grants'.

### **10.3 Disbursement Guidelines**

The equitability of distribution of resources has been a matter of concern for a long time and a more transparent mechanism for allocation of resources is required. In order to meet this requirement, the Government is implementing from 2004/2005 a formula-based allocation system for recurrent grants, initially in respect of Health and Education.

There are strong arguments for applying formula-based budgeting to the developing budget of the water sub sector dealing with household water supply and management. The principle argument is one of equity. There are many LGAs with very low service coverage of safe and clean water and this aspect needs to be addressed directly. A formula based budgeting system will be used to allocate water sector capitation grants to LGAs for both recurrent and development budgets with effect from the 2006/2007 budget.

Recurrent Capitation Grants are simply based on LGA population figures determined from the 2002 Housing and Population Census. The development capitation grant will be allocated on the basis of the number of unserved people in a particular LGA. In order to limit the effect of local data manipulation, the number of unserved will be determined by weighting district routine data figures and with figures from the regional Household Budget Survey.

### **10.4 Release of Funds**

Release of funds for NRWSSP will be conditional on the receipt of the following three reports on or before the last working day of the first month after the close of the quarter:

- Quarterly Progress Report;
- Cumulative Progress Report; and
- Quarterly Budget Request Form.

The MoW will review the reports and then advise MoF on the amount of funds to release. Funds will be released twice a quarter as follows:

- Month 1 of the Quarter - 1/12th of the annual budget, to cover implementation in the month in which reports are being compiled; and
- Month 2 of the Quarter - The amount requested in the Budget Request Form will be released minus 1/12th of the budget (which was released in Month 1 of quarter).

Table 20 outlines the timing, and amount released, along with the reporting requirements for that release:



**Table 20 Time, Amount and Requirements for Releases of NRWSSP Funds**

<b>Quarter</b>	<b>Amount Released</b>	<b>Requirements for Release of Funds</b>
<b>QUARTER 1</b>		
July	1/12 Annual Budget	<ul style="list-style-type: none"> <li>Funds Released for Q4 of previous FY</li> <li>Agreed Annual Investment Plan &amp; Signed MoU</li> </ul>
August *	Release Request minus 1/12 Budget	<ul style="list-style-type: none"> <li>2 Progress Reports for Q4 of previous FY</li> <li>Copy of the final Bank Statement</li> <li>Cheque returning unspent balances to the Treasury (If any)</li> <li>Budget Request for Q1</li> </ul>
September *	---	---
<b>QUARTER 2</b>		
October	1/12 Annual Budget	<ul style="list-style-type: none"> <li>Funds released for Q1</li> </ul>
November	Release Request minus 1/12 Budget	<ul style="list-style-type: none"> <li>2 Progress Reports from Q1</li> <li>Budget Request for Q2</li> </ul>
December	---	---
<b>QUARTER 3</b>		
January	1/12 Annual Budget	<ul style="list-style-type: none"> <li>Funds released in Q2</li> </ul>
February	Release Request minus 1/12 Budget	<ul style="list-style-type: none"> <li>2 Progress Reports from Q2</li> <li>Budget Request for Q3 of current FY</li> </ul>
March	---	---
<b>QUARTER 4</b>		
April	1/12 Annual Budget	<ul style="list-style-type: none"> <li>Funds released in Q3</li> </ul>
May	Release Request minus 1/12 Budget	<ul style="list-style-type: none"> <li>2 Progress Reports from Q2</li> <li>Budget Request for Q3 of current FY</li> </ul>
June	---	---

*Source: RWSD. Note: \*In the first quarter, due to Vote on Account no more than ¼ of the Annual Budget should be requested and will be released.*

If reports are submitted late, the release will be considered during the month in which the report is received, and releases made at the beginning of the following month.

### **10.5 Differences in Budget Requests and Releases**

The amount released may be different from the budget request for the reasons given in Table 21. In case the LGA is unclear why the releases are inconsistent with what it had applied for, it should contact MoW for explanation.

In some cases a LGA may receive more funds than requested. In this circumstance, the proposed Local Government Capital Development Grant (LGCDG) system suggests the formula outcome should be adjusted

to ensure that the increase of funds to a particular LGA does not exceed 25%. The excess fund will be distributed as part of funds for holding harmless to the needy districts.

**Table: 21 Reasons why Releases may be Different from Budget Request**

<b>Reason for Difference</b>	<b>Difference</b>
<ul style="list-style-type: none"> <li>• Incomplete submission – not all reports required are submitted.</li> </ul>	Zero release
<ul style="list-style-type: none"> <li>• Balance of funds available – often this is not subtracted from the budget request or is calculated incorrectly</li> </ul>	Less (usually)
<ul style="list-style-type: none"> <li>• Large Accumulation of funds on account – this indicates absorption problems at the district.</li> </ul>	Less
<ul style="list-style-type: none"> <li>• The quarterly work plan is unrealistic – this means the district is unlikely to absorb all the funds in the quarter.</li> </ul>	Less
<ul style="list-style-type: none"> <li>• Errors in reports - if there are errors in the spending /budget figure in the reports, releases may differ.</li> </ul>	More / Less
<ul style="list-style-type: none"> <li>• Poor performance-if districts have consistently failed to improve on implementation, despite advice/ assistance from the centre then releases will be reduced.</li> </ul>	Less
<ul style="list-style-type: none"> <li>• Misuse of funds – if monitoring visits have revealed evidence of serious misuse of funds releases will stop</li> </ul>	Zero release

*Source: RWSD*

With the application of a formula based resource allocation, some LGAs may appear to receive fewer funds compared to the current funding levels. In this case, some amount of funds is required to equate the gap. This added amount is what is called the '*cost of holding harmless*'. The cost of holding harmless entails the checks and balances that facilitate the consistent sustainable implementation of activities without harming the capacity of the districts to deliver public services.

## **10.6 Financial Management Guidelines**

### **10.6.1 Banking of Funds**

The following procedures should be followed once grants are received:

- On receipt, all conditional grant funds released by the MOF must be first deposited in the Government Grants Collection Account.
- The funds for each Conditional Grant then must be transferred from the Government Grants Collection Account to individual bank accounts, which must be opened by an LGA for the DWSG.

The bank account should be managed in compliance with the Operational Financial Regulations.

### **10.6.2 Preparation of Monthly Statements of Account**

The Public Finance Act, 2001, requires that the Accounting Officer must ensure that all bank accounts in the LGA are reconciled every month, and that monthly accountability statements are prepared and submitted to the FAP Standing Committee and to MOF.

Timely accountability is very important if the LGMTEF Quarterly Reports are to be compiled accurately. The actual balance of DWSG funds in the accountability statements must be consistent with those stated in the LGMTEF Quarterly Reports.

### **10.6.3 Closure of the Financial Year**

All funds transferred from the Central Government in the form of Conditional Grants that remain unspent (balance in the account less cheques already issued but not yet presented to the bank) after the close of the Financial Year shall be refunded to the Central Government for adjustment to the credit of the Exchequer Account. This applies to all funds, even if there are outstanding contract commitments at the end of the Financial Year.

### **10.6.4 Final Progress Reports**

After the close of the Financial Year, the quarterly and cumulative progress reports for the fourth quarter should be prepared and submitted by the last working day of July. In addition, with the normal submission the following must be submitted by the same date:

- A copy of the final bank statement, which must be reconciled with the cashbook and be consistent with the LGMTEF cumulative progress report; and
- A cheque returning any unspent balances left on the account to the Treasury, addressed to the Permanent Secretary of MOF.

If this is not complied with, no further releases will be made.

### **10.6.5 Auditing**

Auditing of programme funds (i.e. accounting accuracy and reliability of financial statements), as well as value for money auditing (i.e. physical performance against financial expenditures) will be carried out at various levels to ensure that adequate controls in the financial management system of the programme. Both internal and external audits will be undertaken at appropriate times. At LGA level auditing will be covered by the normal LGA internal audits procedures. Planned auditing activities will be carried out to compliment routine NRWSSP monitoring through field visits, quarterly and annual progress reports.

#### **10.6.5.1 Internal Auditing**

The Council Internal Auditor will carry out regular audit verification (Statement of Expenditures Review) at least every quarter during construction, and after completion of the sub-project schemes to check where individual expenditures are fully supported by adequate documentation.

The internal audits will include assessing the reliability and accuracy of the supporting documents to ensure that expenditures claimed are eligible for financing under the projects and physical progress/completion of the projects. The internal auditor will prepare quarterly audit review reports and submit it to council FAP and EHW standing committees.

In addition the internal auditor will, as need arises, conduct financial and non-financial audits as well as spot audits in some randomly selected sub-project areas.

### **10.6.5.2 External Auditing**

In the course of the NRWSSP implementation there will be a number of external independent auditing missions intended to review the overall objectives of the project being achieved, with special attention to:

- (i) **Financial Auditing**, including:
  - Verification of LGA compliance with government financial procedures;
  - Verification of whether procurement procedures have been in line with relevant statutory provisions and guidelines;
  - Value for money auditing; and
  - Verification of whether or not community-based financial system is effective.
  
- (ii) **Technical /Special Audit** including:
  - Verification of the quality of constructed W&S facilities;
  - Verification of effectiveness of CB&T activities; and
  - Value for money auditing.

The Office of the Controller and Auditor General will carry out the external auditing of NRWSSP. OCAAG will assess programme special account and prepare a management report identifying weaknesses and making recommendation for improvement.

# 11. MONITORING AND EVALUATION

## 11.1 Introduction

Generally, monitoring systems are designed to monitor resource inputs, expenditures, and deliverables or outputs (usually physical infrastructure). This kind of monitoring is important for programme managers. In the NRWSSP the monitoring of progress will be linked to purpose-level objectives (results based outcomes) using performance indicators. Thus, the monitoring and evaluation process will be directly linked to the Programme's Logical Framework. The Logical Framework includes a Performance Measurement Framework. This outlines the expected results for each output area, and the indicators for assessing the extent to which those results have been achieved. This is given in Annex A.

In rural water schemes, users are the best source of information on how facilities are functioning and how they are being used. The NRWSS M&E will be built around the community. As water system managers, communities also need reliable data, which can be used in taking corrective action. This does not exclude external evaluators or DWST from carrying out monitoring and evaluation.

In fact, NRWSSP monitoring will have input from all key players including stakeholders from the Ministry, local government, concerned NGOs and community-based organisations. This includes DWST, Ward Extension Officers, Village Extension Officers, FSPs and particularly community-based organisations such as WUGs and Watsans.

This section explains the principles of the NRWSSP M&E, and how the M&E tools will be used.

## 11.2 Monitoring

### 11.2.1 M&E Indicators

At the output level, performance indicators measure the progress towards construction of new schemes and rehabilitation of existing facilities. At the outcome-level, performance indicators track progress towards project results. These indicators focus on areas reflecting progress toward development objectives.

Examples are:

- water accessibility (collection times, quantities, reliabilities);
- hygiene and sanitation (hand washing, latrine availability and proper use); and
- sustainability (water system status and maintenance, Watsan functionality, collections).

Collecting monitoring data on these kind of indicators will enable programme managers and the communities to:

- Assess progress against planned targets and adjust targets to realities.
- Assess the efficient and effective use of resources.
- Identify bottlenecks and timely find corrective action.
- Ensure that quality workmanship is being maintained.
- Provide a record of lessons learnt.
- Provide an information base for future evaluations.
- Provide the basis for improved planning

The NRWSSP has also defined institutional Indicators. These are grouped into two categories:

- (a) Critical events consisting of major accomplishments or benchmarks signifying improvements in the capacity of MoW to manage key aspects of the water supply and sanitation programme. Examples are:
  - Completion of MoW restructuring;
  - Installation of functional MIS for the NRWSSP.
- (b) Organisational strengthening indicators to monitor progress in key capacity building activities. Examples include:
  - LGA capacity building;
  - Planning and implementation of the NRWSSP; and
  - Strengthening private service providers.

### 11.2.2 Monitoring Methods and Stakeholders

NRWSSP has many stakeholders and all of them would like to know what is going on during and after its implementation. They all have a stake in the undertakings of the project and need to be involved in monitoring its physical and financial progress. Thus, the M&E process will be:

- ❑ **Participatory** in nature in that it draws out people's ideas and encourage them to be active partners in change.
- ❑ **Structured** in the sense that issues and options must be clearly defined and tested through comparative studies between different regions, districts and communities, especially in the project areas.

This will

- Encourage innovation, team building and ownership of the programme by all stakeholders; and
- Promote stakeholders active participation and create in them a sense that their ideas and initiatives are valued.

**Monitoring and supportive supervision are inseparable since they are done at the same time during NRWSSP implementation.**

Table 22 shows which institutions or individuals are responsible, on what specific issues, and what methods can be employed for carrying out monitoring. Monitoring indicators and checklists have been prepared to enable the monitors to carry out the exercise in a systematic way. These checklists can be found in the 'District Operational Manual', the 'Facilitator's Manual', and the 'Field Guide for Monitoring and Coaching'.

**Table 22 Stakeholder Responsibility for Monitoring & Evaluation**

<b>Level</b>	<b>Issues for Monitoring</b>	<b>Methods/Tools</b>
<b>Community Level:</b> Watsan Committees, VG leaders, community members, and SPs	<ul style="list-style-type: none"> <li>• <i>Services provided</i> including siting, drilling, civil works, accessibility of water services, water quality, repairs and maintenance and training</li> <li>• <i>COM</i> including election and functioning of WATSAN committee, financial management, gender participation, O&amp;M management, legal set up of water entities</li> <li>• <i>Hygiene &amp; Sanitation HIV/AIDS</i> including community response and action on H&amp;S/HIV/AIDS education/promotion</li> </ul>	<ul style="list-style-type: none"> <li>• Community/WATSAN Meetings</li> <li>• Inspection observation</li> <li>• Discussions</li> <li>• Application form</li> <li>• FMP</li> <li>• WATSAN reports</li> <li>• FSP &amp; TSP reports</li> </ul>
<b>LGA Level</b> DWST, Councillors, SPs	<ul style="list-style-type: none"> <li>• <i>Community response to NRWSSP information</i> in terms of organisation, self-mobilisation, water fund contribution</li> <li>• Performance and results of community</li> <li>• Physical performance and results of FSPs &amp; TSPs</li> <li>• Financial expenditure: consistency between budgets and utilisation</li> <li>• Technical facilities-quality of work, scheduling, etc</li> </ul>	<ul style="list-style-type: none"> <li>• FSP, TSP progress reports</li> <li>• Field visits</li> <li>• FMP</li> <li>• Application forms</li> <li>• Financial reports by DT</li> <li>• WATSAN reports &amp; minutes</li> <li>• District W&amp;S plans</li> </ul>
<b>Regional Level:</b> RS, TSUs	<ul style="list-style-type: none"> <li>• Performance of DWSTs, TSPs/contractors &amp; FSPs</li> <li>• District institutional support</li> <li>• Progress and results on national level Components e.g. policy development, capacity building, stakeholders network, material/equipment production i.e. quantity and quality</li> </ul>	<ul style="list-style-type: none"> <li>• Quarterly Progress Reports by LGA (physical and financial reports)</li> <li>• Monthly reports of FSPs and TSPs</li> <li>• District W&amp;S plans</li> <li>• Field visits</li> </ul>
<b>MoW:</b> RWSD	<ul style="list-style-type: none"> <li>• Overall programme implementation assessment through                             <ul style="list-style-type: none"> <li>○ Programme performance reports from TSUs</li> <li>○ Progress reports from LGAs/DWSTs and Service Providers</li> <li>○ Monitoring of the performance of the DWSTs and SPs</li> <li>○ Beneficiary assessments</li> <li>○ Audits and supervision missions</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• TSU performance reports</li> <li>• LGA Quarterly Progress Reports (physical and financial)</li> <li>• District W&amp;S plans</li> <li>• Field visits</li> <li>• Mission Reports</li> </ul>
<b>Ministry of Finance:</b> NAO	<ul style="list-style-type: none"> <li>• Financial audits</li> </ul>	<ul style="list-style-type: none"> <li>• Financial reports</li> <li>• Physical progress reports</li> <li>• Audit inspections</li> </ul>

DWSTs and Watsan committees will collect data on a monthly basis.

### 11.3 Programme Evaluation

The NRWSSP log frame indicates that there will be an end-of-programme evaluation. The aim is to determine the relevance and fulfillment of the programme objectives, and the extent to which the programme has been efficiently and effectively implemented in relation to impact and sustainability.

Essentially the evaluation will focus on comparing the **before** and **now** situation in terms of the following key areas.

- **Effectiveness** (results) of the programme – have the results been achieved?
- **Efficiency** of the programme i.e. value for money assessment?
- **Development Soundness** i.e. who benefits? Are benefits distributed equitably? Does the programme create dependency? Is it sustainable? What are the effects on the environment?
- **Changes or Improvements in Doing Things** e.g. Are the communities managing their projects sustainably?

Evaluation results will help in:

- Developing policies and planning future operations.
- Making effective decisions on the allocation of resources.
- Measuring the performance of organisations/agencies involved.
- Controlling and monitoring implementation of planned action.

The following methods will be used in evaluating the Programme::

- Comparison of the well being of beneficiaries before and after the programme. This approach requires that the baseline data collected prior to the start of the programme is reliable. That is, the parameters on which the programme is expected to impact should be clearly defined. Also the comparison should be meaningful enough that it indicates the timing of the “**after**” measurements. This requires that community basic data collected by the DWST during the promotion phase should be validated by FSPs.
- Review of progress reports from MoW and LGAs
- Review of national poverty reports, economic survey data and statistics on health.

### 11.4 Management Information Systems

MoW has developed a computerized management information system (MIS). It will be gradually introduced into all LGAs.

The purposes of the MIS are to provide the necessary tools and system for:

- a) Networking and information exchange;
- b) Project tracking and management;
- c) Programme documents retrieval, and
- d) Planning and management for district level staff.

The MIS will provide:

- High speed internet links between the Ministry Headquarters and LGAs;
- An operational web-based MIS;
- Networking of NRWSSP stakeholders;
- Linkages to the Ministry’s water sector website;



- Tracking of RWSSD development activities;
- Creation of RWSS maps and digitalisation of its data;
- Linkages between existing RWSS databases and the MIS;
- The building of users' capacity to operate and sustain the MIS, and
- Training for villagers and Watsan Committees/ WUEs to collect RWSS information.

The above outputs are organised into a user-friendly database, simple to use and easy to input data. Thus with basic training, District Water Engineers and staff will be able to input their data and use the MIS not only to store data but also to:

- monitor progress and manage projects;
- access the internet for email and high speed web browsing;
- communicate with other RWSS stakeholders through chat;
- obtain and share project documents; and
- undertake web-based training and watch over budget and expenditures.

It will also provide RWSS maps showing water sources (springs, boreholes, streams) and systems (gravity and pumped piped systems, hand pumps). Maps will be available for district water supply planning, monitoring the status and repair requirements of facilities as well as determining overall coverage. This powerful monitoring and management tool will not only be available for use at LGA level but also at regional and national levels.

All of the above will also be available to MoW management at headquarters. Information summaries will be prepared so that country-wide reports on programme progress will be available on a day-to-day basis. Management will also be able to drill down to the individual LGA to check on individual projects progress right down to how many pumps were installed last month, what tenders were let, and what is being done to overcome constraints to progress. The new MIS will also provide management with immediate access to key documents such as engineering designs, contracts, reports and proposals.

## 11.5 Reporting

Each level is expected to produce reports on a timely basis so as to provide information for management including the status of implementation, results and any existing bottlenecks. The MIS outlined above will help facilitate report production – and up-dating of DWSPs

The reporting formats given in the LGMTEF should be used.

### 11.5.1 LGA Level

The LGA/DWST will prepare quarterly and annual progress implementation reports to be submitted to MoW, PMO-RALG and RS. These reports will consist of physical progress and financial matters. Appropriate formats will be provided to the DWST. Each progress report shall have the following components:

- **A summarised narrative**, which will consist of:
  - A brief description of each activity as per plan which highlights progress/achievements;
  - Analysis of bottlenecks and proposed corrective action; and
  - Statement of results and lessons learned.
- **A financial section** that will include:

- Quarterly expenditures as against quarterly budgets for each line item indicating variance;
- Explanation of major variances;
- Cumulative expenditures to date against budgeted amount of each line item; and
- Financial projection for the next two quarters.

In addition to the quarterly report, a DWST will submit to the CMT, EHW and FAP Standing Committees monthly reports containing the following:

- Significant information on the ongoing W&S activities in the district as well as physical and financial progress reports.
- Bottlenecks and proposed remedial measures.
- Proposed W&S plans for the following months/quarter.

### **11.5.2 FSP & TSP Reports**

FSPs and TSPs will prepare monthly activity reports and present them to the DWST and copied to MoW/TSU. The reports will provide information on:

- Promotion of the programme in the selected communities.
- Community participatory planning process including FMP.
- Training programmes for WATSAN committees and other actors.
- Type of support provided during project implementation.
- The level of community contributions towards capital costs.
- Support provided for O&M management by the community.
- Education/promotion on Hygiene&Sanitation, and HIV/AIDS mitigation activities.
- Type of technological options chosen and the water supply system design.

### **11.5.3 Community Level Reports**

Watsan Committees will prepare progress reports on the implementation of the projects. These reports should be discussed in regular WATSAN committees and community meetings. The FSP and TSP will help the communities to carry out this important task in an appropriate manner.

In order to keep track on the progress of the projects, Watsans are required to do the following:

- Keep records of minutes, finances, spares and repairs for the purpose of self monitoring.
- Prepare progress reports (physical and financial) to be presented to the Village Assembly and VG.
- Prepare completion report indicating how the implementation was done.

**Watsan Committees are not accountable to FSPs or TSPs.  
Instead they are to monitor and verify the activities done by these SPs.  
Hence, all FSP and TSP activities have to be certified by a representative  
of the WATSAN Committee.**

**Annex A**  
**NRWSSP Logical Framework and Programme Cycle**

**Table A.1: NRWSSP Logical Framework**

<b>Goal</b>	<b>Improved health and quality of life, and reduced poverty of rural Tanzanians</b>		
<b>Goal Indicators</b>	<ul style="list-style-type: none"> <li>Reduced incidence of water borne and water related diseases in rural communities.</li> <li>Increased social and economic development opportunities and improved poverty indicators in rural communities.</li> </ul>		
<b>Outcomes</b>	<b>1. Improved district level capacity to implement demand-based RWSS projects</b>	<b>2. Improved access of rural communities to water and sanitation services operated &amp; maintained by capable women and men, and improved health &amp; hygiene practices</b>	<b>3. (a) Improved capacity of MoW to provide and administer policy and act as facilitator of overall RWSS sector development ; and (b) Improved capacity of the private sector / NGOs to provide goods and services to the RWSS sector</b>
<b>Outcome Indicators</b>	<ul style="list-style-type: none"> <li>Districts implementing demand-based RWSS model.</li> <li>DWSTs conducting community project appraisals.</li> <li>Community projects being financed in whole or part from DWSF.</li> <li>Districts mitigating impacts of HIV/AIDS on Programme results.</li> <li>DWSTs providing on-going monitoring &amp; support to communities in RWSS O&amp;M and the promotion of good sanitation, health &amp; hygiene practices..</li> </ul>	<ul style="list-style-type: none"> <li>Increased access to safe and affordable water supply &amp; sanitation services (total users/beneficiaries as well as coverage as percentage of population).</li> <li>Increased number of rural communities with adequate management, operation and maintenance set ups. (Communities effectively managing RWSS facilities and bearing related costs), which fully involve women in decision-making roles.</li> <li>Reduced time spent in collecting water.</li> <li>Improved water quality.</li> <li>Improved knowledge, attitudes and practices in relation to health and hygiene and sanitation (including increased use of latrines).</li> </ul>	<ul style="list-style-type: none"> <li>MoW fulfilling it's redefined role and mandate as: (a) facilitator and coordinator of sector policies and investment programmes; (b) a supporting agency for local governments and communities; and (c) an enabling agency for NGOs and SPs</li> <li>New sector projects being formulated in accordance with MoW policy &amp; guidelines.</li> <li>MoW coordinating multi-donor SWAP financing of NRWSSP and other initiatives.</li> <li>Improved access of communities to spare parts and technical assistance for hand pump / system maintenance and repair.</li> <li>Improved capacity and increased activity of the SPs in providing goods and services to the RWSS sector.</li> <li>NRWSSP MIS functioning and providing necessary information to planners and decision makers at national, regional and district levels.</li> </ul>

<b>Outputs</b>	<ul style="list-style-type: none"> <li>• DWSTs established and trained in appraisal of community projects and provision of related services.</li> <li>• DWSPs prepared</li> <li>• DWSF established.</li> <li>• District strategies to mitigate impact of HIV/AIDS developed.</li> </ul>	<ul style="list-style-type: none"> <li>• Environmental screening, design and construction of community projects completed.</li> <li>• Community projects for promotion of sanitation, health &amp; hygiene practices completed.</li> <li>• Community organisation and training in O&amp;M and management of their RWSS facilities accomplished..</li> </ul>	<ul style="list-style-type: none"> <li>• Restructuring of MoW to respond to its new roles as defined in NAWAPO accomplished.</li> <li>• Capacity building of MoW, TSU, and RS staff to fit new mandate / roles accomplished..</li> <li>• NRWSSP MIS operational and expanded to include all LGAs</li> <li>• Strengthening of SPs to supply goods and services to the RWSS sector.</li> </ul>
<b>Output Indicators</b>	<ul style="list-style-type: none"> <li>• No. of Districts trained/ No. of DWSTs training episodes / No. of DWSTs trained.</li> <li>• No. of DWSPs completed.</li> <li>• No. of DWSF established.</li> <li>• No. of District HIV/AIDS impact mitigation plans implemented.</li> </ul>	<ul style="list-style-type: none"> <li>• No. of community project environmental screenings, engineering studies and system designs produced.</li> <li>• No. of RWSS projects executed /No. of new water points constructed / No. of new water users benefited</li> <li>• No. of sanitation promotion projects executed / No. of latrines constructed</li> <li>• No. of water committees / No. of men and women trained in management, operation &amp; maintenance of RWSS systems.</li> <li>• No. of community volunteers trained in the promotion of health &amp; good hygiene practices.</li> </ul>	<ul style="list-style-type: none"> <li>• Restructuring of RWSD completed.</li> <li>• No. and type of RWSD staff trained / No. of capacity building episodes.</li> <li>• MIS equipment and software installed and functioning and users trained at district, regional and national level.</li> <li>• Structure to provide communities with spare parts and technical assistance for hand pump / system maintenance and repair established.</li> <li>• No. and type of private sector service providers facilitation and provision of extension and technical services.</li> </ul>
<b>Component</b>	District Management Support	Construction of Community RWSS Schemes	Institutional Strengthening & Development

**TABLE A.2 – PROGRAMME CYCLE – EXCEL DOC**

Table A.2

**NRWSSP PROGRAMME CYCLE**

**KEY: Leader implementer ● Collaborating partner ◐**

PHASE/ACTIVITY	DWST	COMMUNITY	WATSAN & VG	FSP	TSP	CONTRACT - ORS	MOW
<b>Promotion Phase</b>							
Promotion NRWSSP information and distribute application to all villages	●	●					
Obtain info on NRWSSP, analyse W&S situation and decide on mobilisation plan		●	●				
Form WATSAN/WUG Committee		●					
Raise initial commitment fee for capital costs		●	◐				
Open bank account							
Complete and submit application form to LGA			●				
Verify baseline data on villages which have applied	●						
Select communities to be assisted based on objective criteria	●						
Prepare tender documents and advertise for potential service providers	●						◐
Evaluate technical & financial proposals & select TSPs and FSPs	●						◐
Orient Councillors & extension staff on NRWSSP	◐						●
Provide data to FSP & TSP on W&A50S include water technologies feasible	●						
<b>Planning Phase</b>							
Brief VG & WATSAN on sub-project planning process and prepare Village Assembly meetin	◐		◐	●	◐		
Verify /update baseline data of selected villages include inspection of water sources			◐	●	●		
Prepare preliminary design and costing of preferred options					●		

Prepare brief description of community social profile			●	●			
Hold / facilitate VA to decide on technology, service level, raising & managing funds	●	●	●	●	●		
Organise detailed technical feasibility studies			●		●		
Produce detailed technical design including costings	●				●		
Assess concerns on hygiene, sanitation & HIV/AIDS and develop action			●	●			
Finalise Facilities and Management Plan (Implementation Plan)			●	●	●		
Review and settle land ownership issues e.g.on proposed DPs, intake etc.	●		●	●	●		
Appraise each community sub-project proposal	●						
DWSPPprepared, submitted, and approved	●						●
Sign agreement between Council and successful community	●		●				
Prepare tender documents for contractors	●				●		●
Select Contractors	●						●
<b>Implementation Phase</b>							
Provide support for construction e.g. access roads, storage of materials		●	●				
Construct water supply and sanitation facilities						●	
Support and supervise FSP and TSPs	●		●				●
Monitor and supervise contractors	●		●		●		●
Select and train caretakers		●	●		●	●	
Facilitate training No. 2 for WATSAN			●	●			
Facilitate establishment of a legal management system	●		●	●			●
Assess and certify construction quality (quality audit)	●				●		●
FMP (Management Plan)		●	●	●	●	●	
Train H & S & A nimators (CORPS)			●	●			
Implement monitor H & S & HIV/AIDS action plan		●	●	●			
Raise O&M funds		●	●				
Commision water supply facilities	●	●	●	●	●	●	●

<b>O &amp; M followup Phase</b>							
Facilitate training No.3 for WUA/WUG			●	●			
Monitor and support O&M management by community	●		⊙	●			
Provide ongoing technical advice and information	●						
Support community to acquire spare parts	●						
Facilitate training No. 4 WUA/WUG			⊙	●			
Provide on-job coaching for WUA treasures	●		⊙	●			
Follow-up, monitoring of caretakers' operations	●		●				
Set water charges	⊙		●	⊙			
Continue to raise O&M funds		●	●				
Conduct regular audits of O&M funds	●		⊙				
Implement H & S & A plan		●	⊙				
Develop networking mechanism among WUAs	⊙		●				
Monitor behavioural / change ( H&S&A)	●		⊙				

**Table: A.3 NRWSSP Performance Measurement Framework**

<b>RESULTS</b>	<b>RESULT INDICATOR</b>	<b>DATA SOURCE</b>	<b>FREQUENCY</b>
<b>GOAL LEVEL RESULTS</b>			
<b>Improved health and quality of life, and reduced poverty of rural Tanzanians</b>	<ul style="list-style-type: none"> <li>Reduced incidence of water borne and water related diseases in rural communities.</li> <li>Increased social and economic development opportunities and improved poverty indicators in rural communities.</li> </ul>	<ul style="list-style-type: none"> <li>GoT development plans</li> <li>National economic survey report</li> <li>National poverty reports</li> <li>National health statistics</li> </ul>	<ul style="list-style-type: none"> <li>Every 5 years and at the end of Programme</li> </ul>
<b>OUTCOME LEVEL RESULTS</b>			
1. Improved district level capacity to implement demand-based RWSS projects	<ul style="list-style-type: none"> <li>Districts implementing demand-based RWSS model.</li> <li>DWSTs conducting community project appraisals.</li> <li>Community projects being financed in whole or part from DWSF.</li> <li>Districts mitigating impacts of HIV/AIDS on Programme results.</li> <li>DWSTs providing on-going monitoring &amp; support to communities in RWSS O&amp;M and the promotion of good sanitation, health &amp; hygiene practices.</li> </ul>	<ul style="list-style-type: none"> <li>Programme Progress reports</li> <li>LGA progress, monitoring and procurement records</li> <li>Service providers / supervision reports</li> <li>Independent technical and financial audit reports</li> <li>MoW documentation</li> <li>GoT budget</li> </ul>	<ul style="list-style-type: none"> <li>Yearly</li> </ul>
2. Improved access of rural communities to water and sanitation services operated and maintained by capable women and men, and improved health & hygiene practices.	<ul style="list-style-type: none"> <li>Increased access to water supply and sanitation services (total users / beneficiaries as well as coverage as percentage of population).</li> <li>Increased number of rural communities with adequate management, operation and maintenance set ups.(communities effectively managing RWSS services and bearing related costs), which fully involve women in decision-making roles.</li> <li>Reduced time spent collecting water.</li> <li>Improved water quality.</li> <li>Improved knowledge, attitudes and practices in relation to health and hygiene and sanitation (including increased use of latrines).</li> </ul>		



**Table: A.3 NRWSSP Performance Measurement Framework**

<b>RESULTS</b>	<b>RESULT INDICATOR</b>	<b>DATA SOURCE</b>	<b>FREQUENCY</b>
3 (a) Improved capacity of MoW to provide and administer policy and act as facilitator of overall RWSS sector development; and (b) Improved capacity of the private sector / NGOs to provide goods and services to the RWSS sector.	<ul style="list-style-type: none"> <li>• MoW fulfilling its redefined role and mandate as:                             <ul style="list-style-type: none"> <li>(a) facilitator and coordinator of sector policies and investment programs;</li> <li>(b) supporting agency for local governments and communities; and</li> <li>(c) enabling agency for NGOs and private sector.</li> </ul> </li> <li>• New sector projects being formulated in accordance with MoW policy and guidelines.</li> <li>• MoW coordinating multi-donor SWAP financing of NRWSSP and other initiatives.</li> <li>• Improved access of communities to spare parts and technical assistance for hand pump / system maintenance and repair.</li> <li>• Improved capacity and increased activity of the private sector / NGOs in providing goods and services to the RWSS sector.</li> <li>• NRWSSP MIS functioning and providing necessary information to planners and decision makers at national, regional and district levels.</li> </ul>		

<b>OUTPUT LEVEL RESULTS</b>			
<ul style="list-style-type: none"> <li>• DWSTs established and trained in appraisal of community projects and provision of related services.</li> <li>• DWSPs prepared.</li> <li>• DWSFs for community projects established.</li> <li>• District strategies to mitigate impact of HIV/AIDS developed</li> </ul>	<ul style="list-style-type: none"> <li>• No. of Districts trained / No. of DWSTs training episodes / No. of DWSTs trained.</li> <li>• No. of DWSPs completed.</li> <li>• No. of DWSFs established.</li> <li>• No. of District HIV/AIDS impact mitigation plans implemented.</li> </ul>	<ul style="list-style-type: none"> <li>• Programme Progress reports</li> <li>• LGA progress, monitoring and procurement records</li> <li>• Service providers / supervision reports</li> </ul>	<ul style="list-style-type: none"> <li>• Quarterly</li> </ul>

**Table: A.3 NRWSSP Performance Measurement Framework**

RESULTS	RESULT INDICATOR	DATA SOURCE	FREQUENCY
<ul style="list-style-type: none"> <li>• Environmental screening, design &amp; construction of community subprojects completed.</li> <li>• Community subprojects for promotion of sanitation, health &amp; hygiene practices completed.</li> <li>• Community organisation and training in management, administration, O&amp;M of RWSS systems.</li> </ul>	<ul style="list-style-type: none"> <li>• No. of community subproject environmental screenings, engineering studies and system designs produced.</li> <li>• No. of RWSS subprojects executed / No. of new water points provided / No. of new water users benefited</li> <li>• No. of sanitation promotion subprojects executed / No. of latrines constructed</li> <li>• No. of water committees (and men / women) trained in management operation &amp; maintenance of RWSS systems.</li> <li>• No. of community volunteers trained in the promotion of health &amp; hygiene practices.</li> </ul>	<ul style="list-style-type: none"> <li>• Independent technical and financial audit reports.</li> <li>• MoW documentation.</li> </ul>	
<ul style="list-style-type: none"> <li>• Restructuring of MWLD to respond to its new role as defined in NAWAPO.</li> <li>• Capacity building of MWLD national and regional staff to fit new mandate / role.</li> <li>• NRWSSP MIS expanded to include all districts.</li> <li>• Strengthening of private sector service providers to supply goods and services to the RWSS sector.</li> </ul>	<ul style="list-style-type: none"> <li>• Restructuring of MWLD completed.</li> <li>• No. and type of MWLD staff trained / No. of capacity building episodes.</li> <li>• MIS equipment and software installed and users trained at district, regional and national level.</li> <li>• Establishment of structure to provide communities with spare parts and technical assistance for hand pump / system maintenance and repair.</li> <li>• No. and type of private sector service providers strengthened (in particular: facilitation, extension and technical services).</li> </ul>		

UNITED REPUBLIC OF TANZANIA  
MINISTRY OF WATER  
NATIONAL RURAL WATER SUPPLY AND SANITATION PROGRAMME

MEMORANDUM OF UNDERSTANDING

BETWEEN

MINISTRY OF WATER  
AND  
..... DISTRICT/MUNICIPAL COUNCIL

***[TO BE SIGNED IMMEDIATELY AFTER LGAs HAVE BEEN SELECTED]***

---

This Agreement is made on .....[day] of .....[month], in the year .....  
between the Ministry of Water – Rural Water Supply Division

of (address) .....  
.....  
.....

Being represented by the Director Mr /Mrs/Ms (Name).....

Hereinafter called: RURAL WATER SUPPLY DIVISION (RWSD-MoW)

**and**

the .....DISTRICT/MUNICIPAL COUNCIL  
[Name of Council]

of (address) .....  
.....  
.....

Hereinafter called: THE COUNCIL (Implementing Agency)

Being represented by the District Executive Director (DED)/Municipal Director (MD) Mr./Mrs./Ms  
(Name).....

## **1. Object of the Agreement**

The MoW agrees to facilitate availability of funds to the LGA from Government under the NRWSSP as shall be agreed and budgeted year after year to enable it finance NRWSSP activities under the terms and conditions explained below. The funds shall be made available to the LGA in accordance with the provisions of the Guidelines for Planning and Operating District Water and Sanitation Grants to enable the Council to implement its approved annual District Water and Sanitation Plans.

## **2. Obligations of the Council**

### **The Council will:**

- Maintain a multi-sector team comprising the DED/MD, District Planning Officer (DPLO), 1 District Water Engineer (DWE), 1 District Health Officer (DHO), District Community Development Officer (DCDO), and the District Education Officer (DEO) to oversee the water and sanitation activities.
- Produce annual operating plans.
- Pre-qualify and keep a list of contractors and suppliers in the Council
- Organise promotion campaigns to ensure that communities are provided with all relevant information regarding NRWSSP.
- Appraise, prioritise community applications and make selection
- Be responsible for contracting service providers to assist communities prepare, design and construct their water supply projects.
- Approve community proposals for projects (FMPs) written and submitted according to procedures set out in the POM.
- Consolidate proposals, prepare a consolidated budget and work plan and submit to MoW for approval.
- Produce reports as required and indicated by MoW
- Carry out a technical and financial audit of the District Water and Sanitation Fund for the projects

## **3. Accounting by the Council**

- Council records all financial transactions in a separate cash book
- Council prepares statements of expenditure
- Council records details of each disbursement on SOE sheets. e.g. details should be related to activities approved in the community project budget. (i.e. with the technical assistance of MoW / TSU)

### **3.1 Audit**

The Council will arrange for the internal audit of its account and the accounting records of the community projects.

## **4. Obligation of the MoW**

### **4.1 Payments**

MoW will scrutinize Council's DWSP and timely provide feedback to the Council of the results in accordance with disbursement plan. Approved DWSPs will be consolidated to generate the annual budgets which will be the basis of MoF fund disbursements to the LGA..

### **4.2 Inspection**

MoW will carry out periodic technical audit to monitor quality and value for money.

**5. Implementation Periods and Termination**

**5.1 Expiration of the MoU**

The MoU shall remain in force as long as the programme exists..

**6. Ownership**

All community investment executed under the project will become property of the community.

**7. Effectiveness**

This MoU will become effective on the day of its signature by both Parties.

**IN WITNESS** whereof the said parties hereto have executed this deed the day and year first above written.

FOR AND ON BEHALF OF MoW

FOR AND ON BEHALF OF LGA

Name:.....

Name:.....

Signature.....

Signature.....

Designation.....

Designation.....

Date.....

Date.....

Witnessed –MoW

Witnessed - LGA

Name:.....

Name:.....

Signature.....

Signature.....

MINISTRY OF WATER

RURAL WATER SUPPLY DIVISION

**NATIONAL WATER SUPPLY AND SANITATION PROGRAMME  
COMMUNITY APPLICATION FORM FOR NRWSSP SUPPORT**

*(To be filled by the WATSAN Committee on behalf of the applying community)*

**Important Notes for Applying Communities**

- Communities interested in getting improved water systems should fully complete this application form;
- The completed form should be accompanied by a bank statement showing an account with a minimum balance of ..... (...Tanzania Shillings for small towns) before the application will be considered by the DWST;
- A copy of the minutes of the Village Assembly meeting including names of those in attendance should be attached to the application;
- All applications should reach the Council through the DWST on or before .....
- Communities are encouraged to meet and discuss the various water system options before completing the form; however, the final option selected does not have to be determined at this stage;
- Communities will be provided with different types of water technological options and service levels during the planning phase as well as their estimated capital and maintenance costs to enable you decide on which system you prefer.
- Once the Council has approved the application, communities will be able to receive technical assistance to develop a more detailed sub-project proposal or a Facilities and Management Plan.
- The DWST may be approached for clarification of any part of this application form.

**PART A: PREAMBLE**

Village:.....

Ward:.....

Date.....

The District Executive Director/Municipal Director,  
.....District/Municipal Council  
P.O. Box.....

.....

**Forwarded through:**

Chairperson,  
.....Village Council

At the meeting of the Village Assembly of .....(village) convened on.....(date), the community members whose signatures and names appear on the attached copy of the minutes unanimously agreed to apply for NRWSSP support in order to be able to improve the community water supply and sanitation systems.

This decision was reached after the community had been introduced to the programme approaches and conditions, which include their active participation in all aspects of the sub-project including planning, fund raising, implementation and operation and maintenance of the completed/improved water supply and sanitation facilities as stipulated in the revised National Water Policy of 2002.

As a manifestation of our commitment to the principles and approaches of NRWSSP we have in the meantime undertaken the following: *(Tick V where applicable)*

- 1. Election of the WATSAN committee
- 2. Opening of the bank account (see attached bank statement)
- 3. Our initial preference for the water supply system is.....

We herewith attach the following for your further scrutiny and consideration: *(Tick V wherever applicable)*

- 1. Basic Community Data
- 2. Bank Statement for the month of .....
- 3. Minutes of the Village Assembly meeting

WATSAN Chairperson: .....(name).....(Signature)

WATSAN Secretary:.....(name).....(Signature)

Copy to: Ward Executive Officer, .....Ward

## PART B: BASIC COMMUNITY DATA

### A: Community Identification

1. Community Name .....
2. Distance to District Headquarters .....(km)
3. Names of Sub-Villages:
  - (i) .....
  - (ii) .....
  - (iii) .....
  - (iv) .....
  - (v) .....
  - (vi) .....
  - (vii) .....
4. Estimated Population:.....
5. Pop. Male:.....
6. Pop. Female:.....

### B. Economic Situation

7. Main food crops grown in the area
  - (i) .....
  - (ii) .....
8. Main cash crops produced in the area:
  - (i) .....
  - (ii) .....

### C. Industries and Institutions

9. Small scale industries:.....(number)
10. Number of:
  - (i) Primary schools.....
  - (ii) Secondary schools.....
  - (iii) Others (CBOs, NGOs etc).....
11. Other development projects in the area:
  - (i) .....
  - (ii) .....
  - (iii) .....
  - (iv) .....

### 12. Community Constraints (*Indicate in a priority order*)

Constraint	Rank
Poor water supply (quantity & quality) for domestic use	
Lack of health facilities	
Lack of water for livestock	
Poor infrastructure	
Environmental pollution	
Lack of transport	
Vermin constraints	
Poor security	
Lack of school/education facilities	
Other constraints (mention)	





### 17. WATSAN Committee

S/N	Name	Position	Gender

**PART C: WATER SUPPLY AND SANITATION SITUATION** *(To be filled by the WATSAN Secretary in collaboration with the secretary of the Village health Committee)*

18. Please provide the following information on your existing water and sanitation conditions.

(a) Water Sources:

Type	No.	Dist from com. (m)	Any taste problem?		Any smell problem?		All Year round supply?		Condition (G/F/P)*
			Yes	No	Yes	No	Yes	No	

\* Good/Fair/Poor

(b) Sanitation Facilities

Type	No.	Remarks
Household latrines		
Institutional latrines		
Others		

(c) Health profile:

Does the community suffer from:	Yes	No	If yes, a couple of cases a year or several cases?
Skin diseases?			
Cholera?			
Frequent outbreaks of diarrhoea?			
Bilharzia			
Others (specify)			

(d) Has the community taken any action to improve water supply and sanitation? If yes, what did the community do?

---



---



---



---

**PART D: SUSTAINABILITY ISSUES**

19. Kindly list existing and active community organizations:

1.	Remarks
2.	
3.	
4.	
5.	
6.	

20. What community projects have been undertaken/completed in the last 3 years?

Year	Project	Financial and other community inputs

21. If these projects included construction of facilities, how are you maintaining them?

---



---

22. Are women involved in decision-making and management? If yes, how?

---



---



---



---



---

23. Please indicate any other relevant information for the Council:

---



---



---



---

**Signed on behalf of the Community by:**

Village Executive Officer:.....(Name).....(Signature)

Village Health Committee Secretary: .....(Name).....(Signature)

Date:.....

**ANNEX D:  
PROJECT APPRAISAL CHECKLIST**

VILLAGES / SCHOOLS

*Note: All proposals that meet requirements and are submitted by the required deadline will be funded. (There is no scoring of proposals.) Proposals that are incomplete or do not meet requirements will be returned to communities for further work. They may be funded during the next financial year.*

Name of Community: \_\_\_\_\_ Date: \_\_\_\_\_

**A. General Information**

- |   |     |    |
|---|-----|----|
| 1. Is proposal complete?  |     | No |
| 2. Has it been signed by WATSAN/WUE members?  | Yes | No |
| 3. Is there at least one female signatory?  | Yes | No |
| 4. Has the community gotten legal title or ownership of the land on which the proposed facilities would be constructed? | Yes | No |
|   | Yes | No |

**B. Community Information**

- |  |     |    |
|--|-----|----|
| 1. Is the estimated population accurate?                               | Yes | No |
| 2. Has community identified all water sources and existing facilities? | Yes | No |

**C. Technology Option and Service level**

- |  |     |    |
|--|-----|----|
| 1. Has the community indicated the type of facility it wants to be funded?   | Yes | No |
| 2. If there are existing facilities, are they included in proposal for rehabilitation?                                     |     |    |
| 3. Do the proposed facilities meet all technical standards established by MoW?   | Yes | No |
| 4. Is the number of water points requested adequate for population?  |     |    |
| 5. Did all the community members (women, men, poor, etc) participate in the decision?                                      | Yes | No |
| 6. Has the community indicated the proposed location of its water facility? (is the village map attached to the proposal?) | Yes | No |
| 7. Have sanitation facilities been discussed with the community?   | Yes | No |
| 8. If a subsidy is requested for sanitation, have at least 50% of the households applied?                                  | Yes | No |

**D. Capital Costs**

- |   |     |    |
|---|-----|----|
| 1. Is the estimated total cost of sub-project determined by the community accurate? | Yes | No |
| 2. What is total cost of water facility? _____ What is per capita cost? _____       | Yes | No |
| 3. Is this amount within acceptable range established by MoW?                       | Yes | No |
| 4. Amount of community contribution deposited in bank: _____ shillings              | Yes | No |
| 5. Is this amount sufficient to meet the 5% community contribution requirement?     | Yes | No |

**E. Management body**

**Has the community formed the desired number of WATSANS/ WUE?**

Yes No

1. Are the names and signatures of all members listed in the proposal? Yes No
2. Does the composition satisfy the requirement for gender balance? (At least 50% of the members should be women) Yes No
3. Do community members seem to know the WATSAN / WUE members? Yes No

**F. Environmental Concerns**

1. Has the community indicated their main environmental concerns? Yes No
2. Has the community indicated how to deal with their environmental concerns? Yes No
3. Has the community indicated how far their toilets, cemetery, refuse dump or cattle kraal are from their preferred site for the water facility? Yes No
4. Has the community indicated how they will protect the water source? Yes No
5. Have they indicated how they will dispose of wastewater? Yes No

**G. Operation and Maintenance (O&M)**

**Has the estimated annual O&M cost been indicated?**

1. Is the estimated O&M cost correct? Yes No
2. Has the community indicated how it will generate funds for O&M? Yes No

**H. Role of Community in Sub-Project Implementation**

Has the community developed an action plan for subproject implementation?

Yes No

Does this include:

- The proposed topics for training and community development? Yes No
- Role in contractor selection and other procurement issues? Yes No
- Participation in final siting of water points? Yes No
- Role in construction supervision of water facility? Yes No
- Role in latrine construction? Yes No
- Signing of completion certificate? Yes No
- Maintenance of all project records in a community file? Yes No

Yes No

**Additional Technical Assessment for small towns (to be undertaken by qualified engineer)**

A.	Do design criteria meet standards?	Yes	No
B.	Is selected water source the best alternative?	Yes	No
C.	Has the most optimal source of energy been selected?	Yes	No
D.	Is the calculated storage tank capacity correct?	Yes	No
E.	Are the structural designs sound (for tank, pump house and any other civil works)?	Yes	No
F.	Is the number of public water points requested, in accord with the current population? (Based on 1 water outlet to 300 people?)	Yes	No
G.	Has the small towns engineering design and cost estimate been approved by MoW?	Yes	No
H.	Has community agreed on the number of private household connections, and are households paying incremental cost for this service?	Yes	No

Also need a much more detailed financial analysis (capital costs and O&M / tariff) as well as a more detailed environmental assessment

## ANNEX E

### OUTLINE FOR DISTRICT WATER SUPPLY AND SANITATION PLAN (DWSP)

#### 1.0 DISTRICT PROFILE

Brief description of the district situation covering of the following (*not more than 2 pages*):

- 1.1 Location and major features
- 1.2 Administrative set up
- 1.3 Demographic features
- 1.4 Infrastructure

#### 2.0 STATUS OF WATER SUPPLY, SANITATION & HIV / AIDS

- 2.1 Water Resources
- 2.2 Water Supply
- 2.3 Hygiene and Sanitation
- 2.4 HIV/AIDS

#### 3.0 DISTRICT STRATEGIC PLAN (*Mention Period*)

- 3.1 District Vision
- 3.2 Overall Objective
- 3.3 Strategies

#### 4.0 DISTRICT WATER SUPPLY & SANITATION PLAN

##### 4.1 **Project Objective and Purpose:** (*Attach W&S Logical Framework*)

##### 4.2 **Water & Sanitation Targets** (*indicate baseline statistics e.g. MDGs, PRS, MTSEP, MTEF and PRS targets and Tanzania Development Vision targets*)

- Expected Results
- Target Communities (description of who are target groups/beneficiaries for this project and how they will be affected)
- Target Area (place where the interventions will take place e.g. villages, schools etc)
- Period (time frame to which the project starts and ends)

##### 4.3 **Implementation Strategies**

- Extent to which beneficiaries will be involved (*planning, implementation, O&M etc*)
- Cost sharing arrangements (*Contribution to Capital and full recovery O&M costs*)
- Private sector participation (for which project activities will private sector be hired)
- Gender responsiveness (how to ensure that women and men participate actively)
- Sustainability (measures which will be taken by the District Council to ensure sustainability)



## **5.0 INSTITUTIONAL ARRANGEMENTS FOR DWSP IMPLEMENTATION**

### **5.1 Players & Roles**

- Responsible players and their role: (departments and organization responsible for implementation the programme e.g. DWST, FSP, TSP, constructors, Rs, communities etc)

### **5.2 Capacity Building & Training Strategy**

- DWST staff
- Office equipment including transport facilities
- Advocacy

## **6.0 MONITORING AND EVALUATION**

- **Monitoring Plan**
- **Evaluation Plan**

## **7.0 DETAILED BUDGET PER ACTIVITY**

## NATIONAL RURAL WATER SUPPLY AND SANITATION PROGRAMME

## FACILITIES AND MANAGEMENT PLAN-PART A

*(To be completed before commencement of the construction phase)*

PART A is a Facilities Plan giving a summary of the sub-project including the basic community data and a brief situation analysis related to water supply and sanitation in a selected community. It helps the user community to have a clear picture on the type and features including investment and estimated costs of the planned/selected technological options and the activities to be implemented during the planning and implementation stages of the facilities. Both FSP and TSP will be involved in assisting the community to fill in this part during the planning stage.

### 1. Sub- Project Summary

<b>Project Number</b>		
<b>Project Title</b>		
<b>Implementing District</b>		
<b>Service Providers (Name &amp; addresses)</b>	FSP:	
	TSP:	
	Contractor(s):	
<b>Date of Application</b>		
<b>Date of Approval</b>		
<b>Starting/Ending Date</b>		
<b>Duration</b>		

**2. Basic Community Data**

<b>Name of Community</b>			
<b>Distance (km) from District Headquarters</b>			
<b>Names of Sub-Villages</b>	1..... 2..... 3..... 4..... 5.....		
<b>Population/Beneficiaries</b>	Male:.....	Female:.....	Total:..... #Households:.....
<b>Number of Institutions in village/community</b>	Schools:.....	Health Facilities:.....	Others:.....

**3. Existing Situation of Water Supply, Hygiene & Sanitation (not more than 10 sentences)**

#### 4. Description of Facility

<b>Project Site</b>	
<b>Type of Facility</b> ( <i>selected technological options</i> )	
<b>Required Works</b> ( <i>Tick whichever is applicable</i> )	1. New construction  2. Rehabilitation  3. Replacement
<b>Service Level Selected</b>	<ul style="list-style-type: none"> <li>• No. of villages to be served:.....</li> <li>• No. of tap stands/water points:.....</li> <li>• No. of persons to be served per water point:.....</li> </ul>

(Attach a community map showing proposed facility location and technical drawings)

#### 5. Financing Arrangements: Investment Cost

	Source of Funding	Amount (TSHS)
1.	External Support Agency ( <i>Specify</i> )	
2.	Local Government Authority	
3.	User Community	
4.	Others ( <i>Specify</i> )	
	<b>Total Investment Cost</b>	

#### 6. Estimated Monthly Operation & Maintenance Costs

Type of Technology	O&M Costs ( <i>Running Costs</i> )				Replacement Costs		Total Cost incl. x% Depreciation
	Spares	Fuel	Wages	Transport	Economic Life Span (Years)	System Cost per month	

**7. Community Plan in Sub-Project Implementation**

1.	<b>Type of Management System to supervise sub project implementation</b> <i>(Tick whichever applicable) Attach user community agreement or constitution and a copy of user entity registration certificate if any.</i>	WATSAN COMMITTEE		
		WATER USER GROUP		
		WATER USER ASSOCIATION		
		OTHERS <i>(specify)</i>		
2.	<b>List of names and positions of management team</b>			
	<b>Name</b>	<b>Sex (F/M)</b>	<b>Position</b>	<b>Signature</b>
1.				
2.				
3.				
4.				
5.				
6.				
7.				
8.				
9.				
10.				
3.	<b>Money Management</b>			
	Account Number			
	Bank Address			
	Amount in Bank as at ..... <i>(state date)</i>			

	Signatories	1. .... 2. .... 3. .... 4. ....
	<b>Agreed Fund Raising Arrangements</b> <i>(state method e.g.1000/- monthly contribution per household/adult and amount)</i>	1. .... 2. .... 3. .... 4. ....
	<b>Person(s) responsible for collecting and managing money</b>	1. Name:..... Title:..... 2. Name:..... Title:..... 3. Name:..... Title:.....
4.	<b>Community Tasks during Implementation of Water Supply Facility</b> <i>(List community tasks and group/individual responsible)</i>	
	Selection, Contracting & Supervision of Service Providers	1. .... 2. .... 3. ....
	Technical Feasibility Studies	1. .... 2. .... 3. ....
	Construction of water supply facility	1. .... 2. .... 3. ....

	Commissioning of the facility	1. .... 2. .... 3. ....
<b>5.</b>	<b>Training &amp; Capacity Building</b> ( <i>Mention critical areas requiring training</i> )	
	<b>Topic</b>	<b>Who to be trained</b>
	1.	
	2.	
	3.	
	4.	
	5.	

## 8. Hygiene, Sanitation and HIV/AIDS Plan

<b>1. Major hygiene &amp; Sanitation Issues &amp; planned mitigation measures</b>		
<b>H&amp;S Issues</b>	<b>Mitigation Measures</b>	<b>Responsible person(s)</b>
a. Safe human waste disposal	<ul style="list-style-type: none"> <li>• .....</li> <li>• .....</li> <li>• .....</li> </ul>	<ul style="list-style-type: none"> <li>• .....</li> <li>• .....</li> <li>• .....</li> </ul>
b. Personal hygiene including hand washing, body washing etc	<ul style="list-style-type: none"> <li>• .....</li> <li>• .....</li> <li>• .....</li> <li>• .....</li> </ul>	<ul style="list-style-type: none"> <li>• .....</li> <li>• .....</li> <li>• .....</li> <li>• .....</li> </ul>
c. Protection of water point sources	<ul style="list-style-type: none"> <li>• .....</li> <li>• .....</li> <li>• .....</li> </ul>	<ul style="list-style-type: none"> <li>• .....</li> <li>• .....</li> <li>• .....</li> </ul>
d. Safe disposal of liquid waste at HH level	<ul style="list-style-type: none"> <li>• .....</li> <li>• .....</li> </ul>	<ul style="list-style-type: none"> <li>• .....</li> <li>• .....</li> </ul>

e. Improved Sanitation at schools and/or health facilities	<ul style="list-style-type: none"> <li>• .....</li> <li>• .....</li> </ul>	<ul style="list-style-type: none"> <li>• .....</li> <li>• .....</li> </ul>
f. Prevention & Control of spread of HIV/AIDS at community level	<ul style="list-style-type: none"> <li>• .....</li> <li>• .....</li> <li>• .....</li> </ul>	<ul style="list-style-type: none"> <li>• .....</li> <li>• .....</li> <li>• .....</li> </ul>

**E. DECLARATION**

This Facilities and Management Plan for water and sanitation sub-project was adopted at a meeting held on..... which was attended by.....(no.) residents of .....village/hamlet. *(Attach minutes including a full list of community members who attended the meeting)*

The community members whose names appear on the attached minutes of the meeting accept and adopt this Facilities Plan and state that it reflects the wishes of the whole community.

We therefore:

- Authorise the persons listed below to sign this document as a proof of the community’s consent to the terms and conditions of the RWSSP support.
- Agree to contribute 5% in cash as part of capital cost of the water technology we have chosen before construction work starts.
- Agree to bear the full operational and maintenance costs of the facilities.
- Agree to participate in all activities as identified in the Facilities Plan

SIGNED ON BEHALF OF THE COMMUNITY ON. ....BY:

WATSAN Committee Chairperson

Name:.....Signature:..... Date:.....

WATSAN Committee Secretary

Name:..... Signature:.....Date:.....

**In witness of:**

Village Government/Hamlet Chairperson

Name:.....Signature:.....Date:.....

Village Executive Officer

Name:.....Signature:.....Date:.....



## ENVIRONMENTAL IMPACT ASSESSMENT

### Introduction

#### **Main Environmental Concerns in NRWSSP and Measures to Mitigate Potential Problems**

Though the programme is aimed at improving the living standards of the beneficiary communities, it is designed to be environmentally sustainable so as to avoid any adverse consequences of the given intervention.

It should be emphasized here that the environmental impact of the NRWSSP is expected to be minimal. This is so because the total volume of water extraction, primarily for human consumption, from well and boreholes with respect to the yields of aquifer is such that there is no appreciable effect on the aquifer in the project area.

The environmental impact assessment seeks to identify the effects of NRWSSP activities on the environment, design and execute mitigation measures, management and monitoring plans to ensure environmental sustainability of the individual projects. Emphasis will be placed on community education to encourage sound environmental management practices.

The main potential environmental concerns likely to arise from the NRWSSP activities and the necessary measures to mitigate their effects can be categorized as follows:

- a. Water resources: quantity, quality and source protection;
- b. Potential impacts during project construction;
- c. Wastewater disposal;
- d. Methods used for excreta disposal.

#### **A. Water Resources**

**Water Quantity:** Groundwater resources potential to meet the proposed scope of project in the project areas is not under threat. The total volume of water extraction, primarily for human consumption, from wells and boreholes with respect to the yield of aquifer is such that there is no appreciable effect on the aquifer in the project area. However, the programme would install groundwater-monitoring systems using guidelines established by MoW to monitor the seasonal fluctuations in water levels and take appropriate measures where necessary. . Communities will be encouraged to plant appropriate trees preferably indigenous ones around each water source to protect it. (The TOR for the service providers includes environmental education).

**Water Quality:** The water quality changes as a result of several factors including human activities and the mineral composition of the geological formation. Human activities may include cemetery, buried poisonous substances/objects, sacred grove, construction of household latrines etc. Higher levels of mineral contents beyond acceptable limits may also be encountered. Water quality analysis would be carried out for all successful boreholes using WHO standards as the criteria for acceptance. Further quality tests would be restricted to areas where there are indications of risk of contamination from sanitary survey reports.

**Measures to mitigate problems:** Well siting will be done with effective community participation so as to avoid areas of possible groundwater contamination (latrines, cemeteries, etc). Communities will also set bylaws to ensure that the improved water source

will also continue to be sufficiently protected from contamination. Monthly well sites sanitary survey would be carried out by pump caretakers (see attached check list) and the necessary follow up actions taken to ensure that the immediate surroundings of the borehole up to between 30 and 50 meters are kept clean.

Measures will be put in place for water shed and water resources protection and management to improve on the over-all water resources availability-quality and quantity. These will primarily focus on securing the surface water sources used for agriculture. However, the community members will also benefit from greater knowledge of the hydrological cycle and the need to protect water resources, which can be used in NRWSSP.

In terms of water quality, community members will receive hygiene education messages to help them improve their water handling and storage practices in order to prevent post-source contamination, after the water is fetched from the pump or stand post.

#### **B. Potential impact of construction activities related to water and sanitation facilities in village:**

Construction activities will not have any appreciable effect on the environment. The potential impact of construction activities include:

- The creation of employment for the community, which will increase the purchasing power of the people in the community. This is expected to be fairly minimal, and very short-term.
- The clearing of paths for access of the drilling rigs to the borehole site. Care will be taken to minimize environmental damage.
- Labour intensive technology will be adopted in excavation and other earth works, hence the disturbance to the ecosystem will be very negligible.

#### **C. Waste water disposal in villages and small towns:**

To dispose wastewater, simple techniques shall be adopted including:

- All boreholes and stand –pipes shall have constructed around them the RWSD standard design for concrete well pads with drainage channels to carry wastewater into soak ways at ...meters from the borehole or stand pipe.
- Communities will be encouraged to plant trees or small vegetable gardens to make productive use of the run-off;
- Construction of household soak away pits to collect wastewater and dispose of it;
- Use of wastewater for back yard gardening or house construction shall be encouraged.

#### **D. Excreta Disposal**

The construction of household latrines in villages will have a positive effect on the environment by safely removing and disposing of excreta. The hygiene education campaigns will heavily promote latrine construction and their adequate use. The community members and latrine artisans will be trained and receive instructional manuals to help them adequately site and construct the latrines. Different technical options will be offered, and the latrines sited away from the water sources. As a standard, all pit latrines would be at least 50 meters away and downhill of a water point. The bottom of the pit would be at least...meters above the natural ground water table.

### **Need for Environmental knowledge capacity at the District and Community Level:**

To sustain the benefits for predicting and mitigating environmental concerns in the communities, it is necessary that knowledge on environmental issues at the District and Community levels are promoted. The promotion will focus on education and awareness raising within the communities. A similar approach will be adopted for hygiene education. This approach would assist community members to identify their existing beliefs and practices, provide them with information and assist them to analyse the environmental consequences of installing a new water point and sanitation facilities. The SPs hired by the LGA to help the community prepare its proposal will also orient the LGA/Community in environmental issues. This support will continue throughout project implementation, especially to help the WATSAN Committee members draft bylaws and rules for accessing and protecting the water facilities, preventing inadequate wastewater disposal and encouraging household members to build and use latrines. WATSAN Committees will also include environmental indicators in the participatory community-based monitoring and evaluation plans.

The District Water and Sanitation Teams (DWSTs) will also be trained to evaluate the proposals prepared by the communities, make sure that guidelines are adhered to and that the SP has adequately discussed and trained community members about environmental concerns. DWST staff has the responsibility for overseeing the project approval process, and will also make sure that all project proposals meet social, technical, financial, and environmental requirements. DWST has to approve the designs of water systems, as well as make sure that the LGAs are enforcing the design standards for all water points and latrines.

**POTENTIAL ENVIRONMENTAL IMPACTS AND THEIR MITIGATION MEASURES**

<b>POTENTIAL IMPACTS</b>	<b>MITIGATION MEASURES</b>
(a) Construction impacts:	
Destruction of vegetation leading into soil erosion because of access roads created during transportation of drilling rigs and other equipment to well sites and/or pipelines construction.	<p>Confine the activities on-site.</p> <p>Use labour-intensive technology.</p> <p>Land restoration and re-planting trees.</p>
Dumping of drilling wastes and construction spoils.	Removal & proper disposal of all construction spoils and other solid wastes.
Loss of crops and agricultural land due to crossing pipeline routes or well construction.	<p>Consultation with community representatives when locating pipeline route or well/borehole sites.</p> <p>Avoid damage to private property but compensation should be paid whenever necessary.</p>
Water pollution from pit latrines due to bore hole/shallow wells being too close to human settlements.	Locate the wells at reasonable distance from pit latrines (at least 50-m) and uphill of latrines
	Fence off boreholes or shallow well sites to prevent encroachment by people due to settlement expansion. The area should be declared protected under village by-laws.
Occupational health & safety of workers during construction.	<p>Contractor should be responsible for health &amp; safety of workers.</p> <p>Only trained personnel should be allowed to operate equipment on-site.</p> <p>There should be a qualified person to administer first aide on-site.</p>
Increased incidence of STD & HIV/AIDS due to construction workforce in the village.	<p>Awareness &amp; education campaigns on STD and HIV.</p> <p>Locate the construction camp far away from village settlement.</p> <p>Limit number of workforce to technical &amp; skilled labour only. The rest of workforce should as much as possible come from the same community.</p>
<b>B. Community Impacts:</b>	
Bush fires & tree felling by local community around water sources and upper catchments.	<p>Enforce by-laws to discourage bush fires around water sources and catchments.</p> <p>Promote the use of alternative construction materials and energy sources to minimize deforestation.</p> <p>Initiate environmental education and awareness campaigns.</p>
Encroachment to well sites and open	Fencing off and demarcating boundaries of well

<b>POTENTIAL IMPACTS</b>	<b>MITIGATION MEASURES</b>
water sources due to expansion of human settlement and farmlands.	<p>site/boreholes.</p> <p>Well/borehole sites should be declared protected area under village by-laws.</p>
Pollution of open water sources due to human activities and trampling by Livestock.	<p>Treat water in storage tanks and/or reservoirs by chlorination, especially in bigger settlements.</p> <p>People should be educated and encouraged to boil drinking water.</p> <p>Promote use of pit latrines among the local communities.</p>
Damage to pipelines by local people during cultivation and planting crops with deep rooting systems along pipeline route.	<p>Declare right of way and enact by-laws to prevent people from cultivating along pipeline route.</p> <p>Pipelines should be submerged below the ground to an appropriate depth.</p>
Spontaneous growth of algae and other waterweeds in open storage tanks or reservoirs due to temperature and exposure to sunlight.	<p>Proper design for water storage tanks and /or reservoirs.</p> <p>Periodic cleaning of water storage tanks and/or reservoirs.</p>
<b>C. Water use Impacts:</b>	
Accumulation of wastewater around well sites (water points) or standpipes due to people washing or bathing close to the water sources, hence into potential breeding sites for mosquitoes.	<p>Prevent people from washing or bathing close to well sites (water points) or standpipes through enactment of by-laws.</p> <p>Construct standard concrete pads for standpipes and apron for shallow wells hand pump with drainage channel to carry spilled water into soak-ways.</p>
Over-extraction of groundwater leading into land instability and hydrological imbalance.	<p>Amount of water extracted for domestic purpose is not expected to cause significant impacts. However, a precaution may be taken by limiting the number of wells or boreholes per unit area.</p> <p>Periodic monitoring of ground water levels should be instituted.</p>
Contamination of water in Ring Wells due to poor water handling and use of dirty containers by local people during fetching water or through rainwater surface run-off entering the Well..	<p>Ring Wells should be designed and constructed by raising them at least one meter (1-m) above the ground to prevent surface run-off from entering the Well.</p> <p>Boiling of drinking water should be promoted through hygiene education</p> <p>People should be encouraged to use only appropriate containers for drawing water from Wells. The containers should be kept in safe and clean place.</p>

## Monthly Sanitary Survey of Well Sites by Pump Caretakers/Attendants

Check list

Yes / NO

1. Are there cracks in the platform?
2. Is the pump base loose?  

---
3. Are there animal/human faeces within .....radius of the well?  

---
4. Is there any standing water within ..... Radius of the well?  

---
5. Is there any rubbish within ....radius of the well?  

---
6. Is there any drainage channel leading to the well site?  

---
7. Do people bath within ....of the well?

If answers to any of 1-7 is/are YES: - report to WATSAN Committee to take immediate action

NATIONAL RURAL WATER SUPPLY AND SANITATION PROGRAMME  
COMMUNITY PROJECT AGREEMENT  
BETWEEN

..... DISTRICT/MUNICIPAL COUNCIL  
AND

.....  
PARTICIPATING COMMUNITY

**[TO BE SIGNED IMMEDIATELY AFTER SUBPROJECTS HAVE BEEN  
SELECTED / POST APPRAISAL]**

---

This Agreement is made on this..... [day] of .....[month], in  
the year 20...

Between the .....  
[name of the District Council]

of [address] .....  
.....  
.....

acting by its District Executive Director/MUNICIPAL DIRECTOR Mr. Mrs.  
Dr.....

*Hereinafter called: THE COUNCIL*

and

the.....in .....  
[name of the Community] [name of the District]

in.....[name of the Region]

Hereinafter called THE PARTICIPATING COMMUNITY being represented by its'  
Chairperson, Treasurer and Secretary of the Water and Sanitation Committee (WATSAN)  
/WUA and any one member at large:

WATSAN Chairperson.....(name) .....(signature)

Secretary. ....(name).....(Signature)

Treasurer .....(name).....(Treasurer)

**Object of the Agreement**

Together referred to as “the parties” the DC and community are desirous of undertaking a  
water and sanitation subproject in which The Watsan Committee/ WUA shall be responsible  
(with assistance from the DC) for subproject implementation and with the community, plan,

implement and manage their facilities and be responsible for maintaining their facilities and undertake participatory monitoring and evaluation of activities.

### Obligations of the Participating Community

The Participating Community / or Schools will:

- (a) Set up a committee known as the WATSAN Committee or WUE to serve as a key local management structure through which approved water and sanitation development plans will be executed
- (b) Open a bank account in the name of the community at a commercial bank in their locality.
- (c) Nominate the following: The Chairperson, Secretary, and Treasurer as joint signatories to the account.
- (d) Mobilise funds and contribute 5% of the total cost of physical facilities
- (e) Transfer promptly their 5% contribution towards the cost of activities before the start of construction.
- (f) Attend evaluation sessions and give consent on awards of contracts
- (g) Submit to the LGA signed completion reports covering all project activities
- (h) Keep records of all expenditures made in connection with the implementation of the project.
- (i) Keep all invoices and other evidence of expenditures in a file for a period of three years after completion of the project, and write the expenditure down in a /Cash record book provided by the LGA
- (j) Supervise and keep track of activities of consultants and contractors
- (k) Allow the above accounting records, works, and supplies to be verified by representatives or auditors of the LGA
- (l) Sign completion reports
- (m) Operate and maintain completed facilities

### Cost of the Project

The estimated cost of the community project

is.....Shillings.....

.....  
 .(cost in word and figures)

Henceforth referred to as the total cost detailed below:

Name of Community.....

No	Description of Facility / Service	Quantity	Total Cost	Contribution
1				Community: LGA: MoW-RWSD:
2				Community: LGA: MoW/RWSD:
3				Community: LGA: MoW/RWSD:
4				Community: LGA: MoW/RWSD:
5				Community: Lga: MoW/RWSD:



## **Obligations of the LGA**

The LGA will:

1. Register and authorise Watsan Committees, or WUE to represent villages or schools on projects matters.
2. Provide capacity building to and all information required by the communities or schools in order to facilitate their participation
3. Undertake procurement with participation of the community of goods and services or channel funds into community account to enable capable and willing communities manage the contracting process themselves.

## **Commissioning**

The acceptance of completed works and distinct phases of work by the LGA will be based on the receipt of signed completion reports signed and submitted by the Watsan Committees, WUE or Parent Teacher Associations

## **Financial Management**

All financial transactions will follow procedures set out in the community operational manual (WATSAN Manual)

### **Audit**

The LGA will audit community accounts to ensure that guidelines are being followed and that funds are being used for the purpose for which they were given.

## **Implementation Period**

Expiration of the Agreement

The project is expected to be completed within.....months following the date of signing of this Agreement. Consequently, the Agreement is expected to expire by ...../...../20.... or (x) months after the date of effectiveness to this Agreement, whichever is later, unless the Agreement is extended by written mutual consent.

## **Termination**

Termination by the Village or School

The Beneficiaries may terminate this agreement at any time during the execution of their project. If they consider that the LGA is not working on their behalf. In such case, the Beneficiaries will inform the MoW of their intention (They will reimburse all funds advanced from the Programme through LGA water funds A/C and which have not yet been spent )

Termination by LGA:

LGA may terminate the Agreement for the following reasons:

- (a) When the community fails to open a bank account
- (b) When the community fails to deposit their 5% contribution.
- (c) When the community ceases to operate, or undergoes a change in management that causes considerable reduction in the community's implementation capacity;

- (d) After negotiations between the Parties, for other reasons, which severely undermine the projected benefits of this Agreement.
- (e) When the funds of the agreement are misused or used for other purposes other than the objectives agreed for the project.
- (f) When procurement of goods, services and works has not been done according to the guidelines explained in The Water Supply and Management Manual, a copy of which has been given to the community group

**Termination Procedures**

The Party terminating the agreement has to notify the other party in writing giving reasons for termination. Termination proceedings will start immediately upon receipt of the notification by the other Party. Termination proceedings may be cancelled by mutual consent, and may include a modification in the obligations of both parties. Upon termination of agreement, the community group must immediately reimburse all unspent advances received from the LGA.

**Ownership**

- a) All facilities provided under the project will be under the control and management of the Beneficiary Villages and Schools
- b) The Watsan, WUE and Parent Teacher Associations will be responsible for operation and maintenance of the facilities

**Effectiveness**

This agreement will become effective on the day of its signature by both Parties.

**IN WITNESS** whereof the said parties hereto have executed this deed the day and year first above written.

**FOR AND BEHALF OF COMMUNITIES**

**FOR AND BEHALF OF LGA**

Signature/Thumbprint.....

Signature/Thumbprint .....

Name:.....

Name:.....

Position: .....

Position:.....

Witnessed by.....

Witnessed by.....

Date.....

## FACILITY MANAGEMENT PLAN (PART B)

NAME OF WATER ENTITY:

.....

NAME OF VILLAGE (S):

.....

This Plan describes the features of the completed/improved facility and how the user community shall be involved in operating and maintaining it. Users will be assisted by both the FSP and TSP to fill in this document as part of the preparation for the commissioning of the facilities to the users.

## A. Description of Constructed Facilities

<b>1. Type of Facility</b> ( <i>Tick whichever is applicable</i> )	Hand Dug Wells  a. Hand Drilled Borehole  b. Machine Drilled Borehole  c. Gravity System  d. Rainwater Harvesting  e. Charcoal Dam
<b>2. Project Location: including distribution network</b> ( <i>Attach a simple "As built drawings of the facility"</i> )	
<b>3. Service Levels</b>	<ul style="list-style-type: none"> <li>• Number of hamlets served by the scheme: .....</li> <li>• Total number of users served:.....</li> <li>• Number of tap stands/water points:.....</li> <li>• Number of users per tap stand/water point:.....</li> <li>• Mixed system: <ul style="list-style-type: none"> <li>○ Public taps.....</li> <li>○ Individual connections:.....</li> </ul> </li> </ul>

<p><b>4. Technical Details</b></p>	<ul style="list-style-type: none"> <li>• <b>Hand Dug/Drilled Wells:</b> <ul style="list-style-type: none"> <li>○ Depth:.....</li> <li>○ H<sub>2</sub>O level:.....</li> <li>○ Type of lining:.....</li> <li>○ Type of H/pump:.....</li> <li>○ Water Quality:.....</li> </ul> </li>   <li>• <b>Machine drilled borehole:</b> <ul style="list-style-type: none"> <li>○ Depth:.....</li> <li>○ H<sub>2</sub>O Level:.....</li> <li>○ Yield (m<sup>3</sup>/h):.....</li> <li>○ Type of lining:.....</li> <li>○ Water Quality:.....</li> <li>○ Water lifting device: <ul style="list-style-type: none"> <li>- H/pump:</li>   <li>- Mechanised:</li> </ul> </li> </ul> </li>   <li>• <b>Machine drilled borehole with pipe system:</b> <ul style="list-style-type: none"> <li>○ Depth.....</li> <li>○ H<sub>2</sub>O Level.....</li> <li>○ Yield (m<sup>3</sup>/h).....</li> <li>○ Tank capacity (m<sup>3</sup>).....</li> <li>○ Length of pipe/distribution system .....</li> <li>○ Type of machine.....</li> <li>○ Power type (Diesel/Electricity/ wind will .....</li> </ul> </li>   <li>• <b>Gravity system:(Tick)</b> <ul style="list-style-type: none"> <li>○ Spring</li>   <li>○ River with Gravity</li> </ul> </li>   <li>• <b>Rainwater Harvesting:(Tick)</b> <ul style="list-style-type: none"> <li>○ Roof top</li>   <li>○ Ground Water</li>   <li>○ Water Quality:.....</li> </ul> </li> </ul>
<p><b>5. Total Investment Cost (In Tshs)</b></p>	
<p><b>6. Sub project financing</b> (<i>mention how different stakeholders financed the sub project</i>)</p>	<ul style="list-style-type: none"> <li>• ESA contribution: .....</li> <li>• GOT contribution:.....</li> <li>• LGA Contribution:.....</li> <li>• User Contribution:.....</li> </ul>
<p><b>7. Date of commissioning of the facility</b> (<i>Attach a copy of the specific agreements between user community and LGA</i>)</p>	

**B. Organisation & Management Arrangements**

<b>1. Type of Selected Management System</b> (Attach registration certificate or approved constitution)			
<b>2. Members of the Board/Committee</b>			
	<b>Name</b>	<b>Sex (F/M)</b>	<b>Position</b>
1.			
2.			
3.			
4.			
5.			
6.			
7.			
8.			
9.			
10.			
11.			
12.			
<b>3. Operational Staff (e.g. Pump attendants, mechanics, caretakers etc)</b>			
	<b>Name</b>	<b>Sex</b>	<b>Title</b>
1.			
2.			
3.			
4.			
5.			
6.			
7.			
8.			
9.			
10.			
11.			
12.			

**C. Operation & Maintenance Management Plan**

**1. Monthly Operation & Maintenance Costs**

<b>Type of Technology</b>	<b>O&amp;M Costs (Running Costs)</b>				<b>Replacement Costs</b>		<b>Total Cost incl. x% Depreciation</b>
	<b>Spares</b>	<b>Fuel</b>	<b>Wages</b>	<b>Transport</b>	<b>Economic Life Span (Years)</b>	<b>System Cost per month</b>	

## 2. Tariff System

<b>1. Agreed Methods for Collection of O&amp;M funds</b> <i>(list methods, water charges and periodicity e.g. monthly, annually, collection at tap e.g. 20/= per a 20-litre bucket or 1000/= per HH/month etc)</i>	1. .... 2. .... 3. .... 4. ....
<b>2. Exemptions/subsidy for vulnerable groups</b>	<ul style="list-style-type: none"> <li>• .....</li> <li>• .....</li> <li>• .....</li> </ul>
<b>3. Agree rules for non-compliance/default</b>	<ul style="list-style-type: none"> <li>• .....</li> <li>• .....</li> <li>• .....</li> <li>• .....</li> </ul>

## 3. Money Management

<b>1. Persons Responsible for collecting &amp; managing O&amp;M money</b>	Name:..... Title:..... Name:..... Title:..... Name:..... Title:.....
<b>2. Bank Account Details</b>	<u>Name of the Bank:</u> ..... Branch:..... Account Number:..... Amount as at.....(date) Tshs:.....

	<u>Signatories:</u> Name:..... Title:..... Name:..... Title:..... Name:..... Title:..... Name:..... Title:..... Name:..... Title:.....
--	--

**D. Repair & Maintenance Arrangements**

**1. Maintenance Plan**

Level of Maintenance	Timing	Responsible Persons	Resources Required e.g. Guide
1. Preventive maintenance			
2. Minor Repairs			
3. Corrective Maintenance			
4. Minor/Major Breakdown			

**2. Spares Parts & Consumables Supply Chain**

Type of spares/Consumables	Sources	Responsible Persons
<b>Fuel</b>		

**E. DECLARATION**

This Facility Management Plan for the completed water and sanitation sub-project was adopted at a meeting held on..... which was attended by.....(no.) users of .....village/hamlet. (*Attach minutes including a full list of community members who attended the meeting*)

The community members whose names appear on the attached minutes of the meeting accept and adopt this FMP and state that it reflects the way they have decided to operate and maintain the completed/improved water supply and sanitation facilities.

We therefore:

- Authorise the persons listed below to sign this document as a proof of the community’s consent to the terms and conditions of the RWSSP support.
- Agree to bear the full operation and maintenance costs of the facilities.
- Agree to participate in all activities as identified in the FMP.

SIGNED ON BEHALF OF THE COMMUNITY ON .....DATE.....BY:

FOR THE WATER USER ASSOCIATION

Board Chairperson: Name: .....Signature:.....

Board Secretary: Name: .....Signature:.....

(Official stamp)

**IN WITNESS OF:**

VC/Sub village Chairperson:  
(*Witness 1*) Name:..... Signature:.....

(Official stamp)

VEO:  
(*Witness 2*) Name: .....Signature:.....

Ward Executive Officer (WEO):  
(*Witness 3*) Name: .....Signature:.....

(Official stamp)

*(In case of a multi - Village Scheme*



NATIONAL RURAL WATER SUPPLY AND SANITATION PROGRAMME

PROJECT COMPLETION REPORT

[To be filled in by the Community with assistance from the DWST]

- 1. Name of LGA.....
- 2. Name of Community .....
- 3. Project Agreement Number.....  
Date.....

We testify that the following have been completed:

- a) Community training (specify).....
- b) Water facility rehabilitation and /or new construction (specify).....
- c) Sanitation facilities .....
- d) Others.....

- ❖ We certify that technical assistance services that have been provided to us by FSP/TSP and contractors correspond to the details provided in their contracts and we are satisfied.
- ❖ We certify that all works that have been executed correspond to the description and diagram outlined in our proposal or as revised based on technical considerations with the community.
- ❖ We certify that we have received the following documentation:
  - Training materials
  - Tools
  - Technical information sheets on facilities
  - Others (specify)
- ❖ We therefore ask the District/Municipal Council to carry out the activities required under the contract and make all necessary payments.

Signed by:

WATSAN/WUE

Chairman.....(Name).....(Sign)

In Witness of:

Village Chairperson .....(Name).....(Sign)

Village Executive Officer.....(Name).....(Sign)

Date.....

This document was created with Win2PDF available at <http://www.daneprairie.com>.  
The unregistered version of Win2PDF is for evaluation or non-commercial use only.