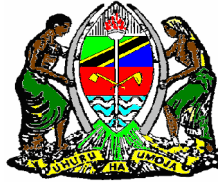


THE GOVERNMENT OF THE UNITED REPUBLIC OF TANZANIA



MINISTRY OF WATER

# District Operational Manual (DOM)



**WATER SECTOR DEVELOPMENT PROGRAMME (WSDP)**

**Programme Implementation Manual**

**ANNEX 6**

**September 2005**

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## ACRONYMS

CBOs	Community-based Organisations
CG	Central Government
CMT	Council Management Team
COM	Community Ownership and Management
DC	District Commissioner
DCDO	District Community Development Officer
DED	District Executive Director
DHO	District Health Officer
DOM	District Operational Manual
DP	Direct Purchase
DPLO	District Planning Officer
DRA	Demand-Responsive Approach
DTO	District Tender Officer
DTB	District Tender Board
DWE	District Water Engineer
DWSP	District Water & Sanitation Plan
DWST	District Water & Sanitation Team
EHW	Education/Health/Water
EHWC	Education/Health/Water Committee
ESA	External Support Agency
EWs	Extension Workers
EWTs	Extension Worker Teams
FAPC	Finance, Administrative and Planning Committee
FC	Full Council
FMPs	Facilities and Management Plans
FSP	Facilitation Service Provider
GoT	Government of Tanzania
GRN	Goods Received Note
H&S	Health and Sanitation
H&S&A	Health, Sanitation and AIDS
HIV/AIDS	Human Immunodeficiency Virus/Acquired Immunodeficiency Syndrome
HoD	Head of Department
ICB	International Competitive Bidding
LG	Local Government
LGA	Local Government Authority
LGFR	Local Government Financial Regulations
LGMTEF	Local Government Medium Term Expenditure Framework
LS	Local Shopping
M&E	Monitoring and Evaluation
MCDGCA	Ministry of Community Development Gender and Children Affairs
MDGs	Millennium Development Goals
MIS	Management Information System
MoF	Ministry of Finance
MoH	Ministry of Health
MoU	Memorandum of Understanding

MoW	Ministry of Water
NAO	National Audit Office
NAWAPO	National Water Policy
NCB	National Competitive Bidding
NDV	National Development Vision
NGO	Non Governmental Organisation
NRWSSP	National Rural Water Supply and Sanitation Programme
O&M	Operation and Maintenance
PHAST	Participatory Hygiene and Sanitation Transformation
PLWA	People Living with AIDS
POM	Programme Operational Manual
PMO-RALG	Prime Minister's Office-Regional Administration and Local Government
PPA	Public Procurement Act
PS	Permanent Secretary
RAS	Regional Administrative Secretary
RS	Regional Secretariat
RWSD	Rural Water Supply Division
RWSS	Rural Water Supply and Sanitation
RWST	Regional Water and Sanitation Team
SOE	Statement of Expenditure
SP	Service Provider
SPs	Service Providers
TOR	Terms of Reference
TOT	Training of Trainers
TSP	Technical Service Provider
UNICEF	United Nations Children's Fund
VC	Village Council
VHC	Village Health Committee
VWC	Village Water Committee
W&S	Water and Sanitation
WATSAN	Water and Sanitation Committee
WDC	Ward Development Committee
WEO	Ward Executive Officer
WUA	Water User Association
WUG	Water User Group

# FOREWORD

## Purpose of the Manual

WELCOME to the DISTRICT OPERATIONAL MANUAL – the DOM. The DOM is one of the support manuals developed for the National Rural Water Supply and Sanitation Programme.(NRWSSP). It is written for all of the actors at district level involved in promoting water supply, sanitation and hygiene, and for mitigating HIV/AIDS. In particular, the District Operational Manual is for the use of staff and members of the Local Government Authority (LGA) in the course of discharging their responsibilities to availability of improved and sustainable water supply and sanitation services within their areas of jurisdiction, It intends to equip them with the skills, knowledge, and tools to plan and manage community water supply, sanitation, hygiene and HIV/AIDS activities. The manual covers all the essential things one needs to know in order to be able to plan and implement community water and sanitation projects at the district level.

## How to Use the Manual

This DOM should not be used in isolation. There are a number of other technical documents that support and complement this manual. These include the following references:

- National Water Policy 2002
- National Rural Water Supply and Sanitation Programme (NRWSSP)
- Programme Operational Manual (POM)
- Trainer’s Guide for DWSTs
- Facilitator’s Manual
- Trainer’s Guide for Facilitator Training
- Public Procurement Act 2004
- National Policy on HIV/AIDS 2001
- National Framework for Participatory Planning at District Level
- Guidelines for Planning and Operating District Water and Sanitation Grants
- Community Water Supply Management Manual (WATSAN Manual)
- Guidelines for Facilitating Community Planning of Water and Sanitation Projects
- Guidelines for Facilitating Communities in Establishing Legal Water User Entities
- Management Models for Community Water User Entities
- Field Monitoring and Coaching Guide

## Structure of the Manual

The manual is divided into TEN chapters:

**CHAPTER 1** is an introduction to the National Rural Water Supply and Sanitation Programme (NRWSSP). It explains the rationale for the new approach to the implementation of rural water supply and sanitation (RWSS) services.

**CHAPTER 2** looks at NEW PLAYERS and their NEW ROLES. It gives a summary of tasks of each stakeholder involved in the implementation of NRWSSP.

**CHAPTER 3** explains how the Council GET STARTED. It explains how the Council can organise itself to manage their own work – managing the NRWSSP at the district level.

**CHAPTER 4** describes how the Council can MANAGE THE NRWSSP IMPLEMENTATION through a step-by-step process known as the PROJECT CYCLE.

**CHAPTER 5** explains how the NRWSSP is a HEALTH PROMOTION programme and how the Council can help communities to improve hygiene, sanitation and combat the spread of HIV/AIDS.

**CHAPTER 6** looks at CAPACITY BUILDING AND TRAINING at the district and community levels and how the Council can take a lead role in strengthening the skills of different players at these levels.

**CHAPTER 7** deals with issues related to the PROCUREMENT PROCESS of goods, works and services from service providers.

**CHAPTER 8** describes the procedures of MANAGING PROGRAMME FUNDS including planning, budgeting, disbursement, accounting, reporting and auditing.

**CHAPTER 9** deals with MONITORING, EVALUATION AND REPORTING – how the Council can set up results-based monitoring and evaluation (M&E) to assess and report on results.

**CHAPTER 10** briefly looks at POST-IMPLEMENTATION SUPPORT, which the Council can provide to the communities once the new facilities have been constructed.

# 1. NEW APPROACH TO RURAL WATER SUPPLY AND SANITATION DEVELOPMENT

## 1.1 Background

Over the last four decades there have been many initiatives by government in various regions of Tanzania to improve rural water and sanitation services, with or without the assistance of External Support Agencies (ESAs). Despite these efforts the coverage level of these services has remained low. Today only about 53% of the rural population has access to reliable water supply services. The main reasons that have adversely affected the pace of water and sanitation (W&S) services delivery in the rural areas include the following:

1. Most of the W&S projects and programmes often used different approaches and lacked a common overall guiding approach.
2. Many of these initiatives adopted various aspects of community participation, but mainly used a “**free water**” **delivery approach** in which the central government planned, built and maintained rural water services.
3. In some cases communities provided labour and materials for construction, but made no financial contribution to capital or operation and maintenance costs. As a result communities felt no sense of ownership of the facilities and largely depended on the government to maintain them.

By the end of the 1980s it was recognised that a new approach was needed to respond to:

- the dual problems of low coverage of water supply services and problems with government controlled maintenance; and
- the need to provide a framework for rural water supply and sanitation development in response to the lack of coordination and fragmentation in this sub-sector.

## 1.2 National Water Policy (1991)

In 1991 the Government of Tanzania (GoT) introduced a new National Water Policy (NAWAPO), which abolished the concept of “*free water*” and replaced it with the concept of “*cost sharing*” under which the government would finance most of the capital costs with the community making some “token” contributions (cash and in kind) for capital costs but charged with overall O&M responsibilities. Impliedly, this policy also formally adopted the idea of community ownership and management (COM) – communities owning, developing, managing and maintaining their own water supplies. However, the central government remained overall in charge of planning and development of W&S services.

## 1.3 Revised National Water Policy (2002)

By the end of the 1990s it was recognised that other changes were needed in the policies and strategies for rural water development. It was recognized in particular that there was a need to strengthen the role of local government in the facilitation of the new COM approach and the role of the private sector in providing a range of services. The rationale was that District Councils are closer to the ground and more familiar with the pressing needs of communities than centralised planners so they are in a better position to work with communities to build community owned and managed water systems. The District Councils were given responsibility for coordinating the whole process through which communities



apply for assistance, receive training and support and plan and implement their own water supply and sanitation facilities.

In 2002 a revised NAWAPO was adopted. The revised policy clearly focuses on a new multi-partner, collaborative approach to rural water development. The key policy reforms for the NRWSSP are:

- a demand-responsive approach (DRA) whereby communities choose technology options and service levels based on their perceived needs and ability to pay;
- an upfront contribution to capital costs and the full financing of O&M costs by communities as a means to foster ownership of the W&S facilities;
- enhanced participation of the private sector partners;
- decentralised implementation management to district level;
- central government responsible for policy formulation and coordination, and resource mobilisation; and
- maximisation of health benefits through integration of water supply, sanitation and hygiene education.

## 1.4 What is the NRWSSP?

The NRWSSP is a national programme to improve water supply, sanitation and hygiene services and to combat HIV/AIDS in rural villages and small urban communities of Tanzania. The programme is coordinated by the Rural Water Supply Division of the Ministry of Water (MoW) and managed by Local Government Authorities (LGAs) in partnership with communities, Non-Governmental Organisations (NGOs) and the private sector.

The NRWSSP will assist:

- rural communities to develop communal water supplies;
- rural communities to improve hygiene, sanitation and combat HIV/AIDS related behaviours; and
- rural schools and clinics to develop water supply and sanitation facilities.

**The NRWSSP is more than just boreholes and pumps, piped systems or latrines. It is about PEOPLE – people working together to plan, develop and manage their own water and sanitation facilities and improve their health. So- read on!**

## 1.5 Why the NRWSSP?

1. Many rural and small towns communities **DO NOT HAVE** safe water supply and safe sanitation facilities. Only about 53% of the rural population have access to safe drinking water facilities. Many communities depend on surface water from streams or ponds- and they use unsafe pit latrines or free-range defecation in the bush. Without safe water and safe human excreta disposal facilities such as improved latrines they will continue to get diseases such as diarrhoea, cholera, dysentery, etc.
2. Some rural and small towns communities **HAVE** safe water, but the supply is **NOT RELIABLE!** Many of these communities have boreholes and pumps, or piped systems, but many of these systems have broken down because arrangements for maintenance and repair have been poor. While waiting for facilities to be repaired, households often go back to using unsafe water from ponds or streams and it makes them sick.

3. Many rural and small towns families do **NOT PRACTICE HYGIENE** as a daily part of their lives. In many cases they know hygiene messages, but do not practice them. Likewise most of them have heard about HIV/AIDS but do little to combat it.
4. Similarly, the **HIV/AIDS** scourge **THREATENS THE VERY EXISTENCE OF THE PRODUCTIVE MANPOWER** in the communities, which put sustainability of the constructed W&S at highest risk.

All of these situations lead to **POOR HEALTH**. This lowers productivity and causes economic hardship.

## 1.6 The NRWSSP Overall Goal, Specific Objectives

NRWSSP has one broad goal:

**To IMPROVE HEALTH and ALLEVIATE POVERTY of the rural population through improved access to adequate and safe water and sanitation facilities.**

This goal is translated into a specific policy objective:

**To provide ADEQUATE, SAFE, AFFORDABLE AND SUSTAINABLE improved water and sanitation facilities to the rural population.**

To achieve these goals there are a number of operational objectives:

- To give rural communities **ACCESS TO ADEQUATE, SAFE AND AFFORDABLE WATER AND SANITATION FACILITIES**.
- To build a **MORE SUSTAINABLE SYSTEM** for water supply and sanitation.
- To promote **GOOD HYGIENE PRACTICES** in using water and sanitation facilities so that users will get the most out of them in terms of health.
- To make rural communities aware about the causes of HIV/AIDS and the required measures to prevent and control its spread.

All of these actions will result in **IMPROVED HEALTH** and help to **REDUCE POVERTY**.

## 1.7 The NRWSSP Operational Strategies

COM is the central strategy of the NRWSSP. The community is at the centre of the process – they select, plan, site and help build their new water system. Once it is built, they own it and are responsible for maintaining it. If it breaks down, they repair it and pay for spare parts and repair costs.

The other key strategies of NRWSSP are:

- **Responding to demand:** The programme only supports communities, which express a demand to improve their water and sanitation services. Communities make a written request for a new facility and are assisted to develop a detailed proposal for this facility and then participate in constructing it.

- **Community Contribution:** Communities contribute a pre-agreed portion of the construction costs of water supply facilities in order to demonstrate a sense of ownership and their ability to cover O&M costs; government and/or ESAs provide most of the funds for the capital costs (at a basic level); communities cover 100% of maintenance costs.
- **Four-way partnership:** The community, Central Government, LGAs, and the private sector/NGOs develop Community W&S facilities on a joint basis.
- **Central Government as facilitator:** The Government is no longer the provider of everything. Its role is to facilitate the involvement of all players and their capacity building as well as monitoring quality of work and evaluating the impact of the improved W&S services.
- **Local Government Authority (LGA) as a focal point for decentralised implementation:** District Council as the arm of government at the district level, have a pivotal role to play in promoting demand at the community level, planning, providing support, and monitoring implementation of community projects.
- **Private sector and NGOs as providers of goods and services:** The private sector and NGOs are expected to provide various services e.g. mobilisation, training, siting wells, drilling, construction, spare parts supply, repair and maintenance as well as operating community schemes.
- **“Some for all” rather than “all for some”:** the NRWSSP objective is to ensure that all communities have access to a minimum standard of water supply and improved sanitation and the available financial resources are distributed equitably.
- **Gender and Equity:** Women are the major users of water in the community so they will take a lead role in planning and managing the new community water systems. Women will be represented equally in all water user entities and committees. In the same way the marginalised groups in the community are expected to participate in the decision making process, they as well benefit from improved W&S facilities.
- **Promotion of behavioural change:** the NRWSSP will not stop with the construction of W&S facilities. Through hygiene education it will also encourage the hygienic use of these facilities in order to maximise health benefits.
- **Capacity building and training:** The new NRWSSP system involves new roles new skills, and new players. Key players at different levels will be trained for their new responsibilities.

## 1.8 NRWSSP Targets

The Government of Tanzania (GoT) has identified access to sustainable W&S services as one of the pillars of its poverty reduction strategy. Hence, the coverage targets of the NRWSSP have been pegged to the national and sectoral benchmarks as follows:

- (a) The National MKUKUTA targets: national coverage target of 65% by 2010;
- (b) Millennium Development Goals (MDGs) coverage target of 74% by 2015; and
- (c) The Country’s Development Vision 2025 coverage target of 90% by 2025.

## 1.9 NRWSSP Components

The programme has the following three major components:

### 1.9.1 Water Supply Infrastructure

The NRWSSP aims at supporting communal facilities providing a basic level of service, with communities paying 5% of the capital cost (in cash) for a technological option of their choice. The water supply technology mix under the NRWSSP includes:

- Improved spring sources;
- hand-dug wells fitted with hand pumps or using a windlass;
- boreholes (shallow and medium depth) with hand pumps;
- mechanised (diesel, electricity, wind driven) deep boreholes with piped systems;
- solar pumped systems;
- gravity-flow water systems;
- chaco or small dams; and
- rainwater harvesting.

### 1.9.2 Hygiene, Sanitation and HIV/AIDS

This component includes:

1. **School sanitation** that involves promotion of children's hygiene behaviours through SANITATION CLUBS and construction of permanent institutional latrines in some selected primary schools in rural communities.
2. **Household sanitation** – involving establishment of demonstration centres for sanitation technologies and promotion of good hygienic and sanitation behaviours/practices through participatory hygiene and sanitation transformation (PHAST) methodology and other methods.
3. **Combating HIV/AIDS** – through awareness creation of how to prevent and control the pandemic.

### 1.9.3 Capacity Building and Training

The NRWSSP is set to develop and strengthen the capacity of all actors at different levels. Specific capacity areas to be developed include:

1. **Individual capacities** – skills, knowledge, attitudes, confidence and teamwork among individual players – Water and Sanitation (WATSAN) Committee members, Service Providers, District Water and Sanitation Teams (DWSTs) members.
2. **Organisational capacities** – institutional development of WATSAN Committees and user groups, DWSTs, Service Providers, Regional Secretariat Staff and Rural Water Supply Division (RWSD) staff.
3. **Operational systems** – systems for doing various activities in the newly evolving RWSS system + materials / guidelines to describe the systems – e.g. managing data, producing a district W&S plan, project appraisal, contract management, M&E, etc.
4. **Institutional networks** – partnership and linkages between different players/institutions in an interdependent system.
5. **Capacity building and training** – skills for planning, implementing, and evaluating capacity development and training processes.

## 2. NEW PLAYERS AND NEW ROLES

### 2.1 A Partnership Approach

The new decentralised system adopted by the NRWSSP involves a network of players at community, district, regional and national levels. It reallocates roles among different stakeholders in supporting the development of rural water and sanitation facilities.

The NRWSSP is implemented through a partnership in which:

- Communities identify needs and priorities, plan, provide part financing, own and manage their W&S facilities;
- Service Providers (private sector and NGOs) provide services in community mobilisation, training, planning, design, construction, operation and maintenance;
- LGAs promote RWSS demand, plan, coordinate and monitor the implementation at district level and support communities;
- Regional Secretariats (RS) support district level players in strengthening their planning and coordination capacity;
- Technical Support Units Provide Technical Support to LGAs and Communities TSUs are the arms of the RWSD of the MoW;
- MoW carries out national planning, coordination, training, regulation, quality control, monitoring and evaluation as well as resource mobilisation for water supply and sanitation development;
- Other Ministries including: Ministry of Finance (MoF), Ministry of Community Development Gender and Children Affairs (MCDGCA), Ministry of Health (MoH), and the Prime Minister’s Office-Regional Administration and Local Government (PMO-RALG) - assist with policy development and field implementation; and
- ESAs support GoT by providing appropriate advice and financial resources to expand W&S services to rural communities.

The new partnership approach demands the Central Government (CG) to provide an **‘enabling environment’** within which all players – the community, service providers and LGAs– can operate effectively in establishing community owned and managed water supply and sanitation facilities.

Likewise, the approach puts the LGAs in the **‘driver’s seat’** for all development initiatives in their areas of jurisdiction. Contextually, this is the **push towards decentralisation** within which LGAs have much more autonomy to plan and implement locally based projects including the planning and management of W&S. LGAs are now responsible to procure goods, works and services from the private sector and NGOs as well as supervising their performance.

The approach also emphasises **communities expressing effective demand** for improving their W&S services through submission of applications for NRWSSP support to their respective councils. Community demand is expressed through their preparedness and ability to organise themselves, participation in planning, contributing towards investment costs, and acceptance to cover fully O&M and be responsible for the management of the facilities.

## 2.2 Roles of LGAs in the NRWSSP

As a central player in the implementation of the NRWSSP, each Council is expected to provide a clear plan and vision for water development and to coordinate investments from different sources. Unlike in the past when the central government through the regional offices took lead in implementing community water projects, the Council is the **MANAGER** of implementation at the district level.

Overall, LGAs are responsible for:

- preparing and reviewing the annual district water supply and sanitation plans;
- dissemination of information on the NRWSSP and encouraging communities to participate;
- selection of interested communities to be assisted;
- appraising community applications and their Facilities and Management Plans (FMPs);
- signing community project agreements with all participating communities;
- preparing packages of community project proposals to be submitted for funding;
- contracting Service Providers to provide works, goods and services; and
- monitoring, evaluating, auditing, and reporting on community projects.

## 2.3 Roles of District Level Players

The following roles are divided among different actors within the district:

1.	Player	Composition	Tasks	Report to:	Collaborates with:
	Full Council (FC).	All councillors.	<ol style="list-style-type: none"> <li>1. Approve for policies and byelaws on water and sanitation.</li> <li>2. Approve the District Water and Sanitation Plan (DWSP) and annual W&amp;S plans.</li> <li>3. Inform communities about the W&amp;S programme and how they can participate.</li> <li>4. Distribute application forms and help communities complete them.</li> <li>5. Advise on community planning of W&amp;S facilities and proposal writing.</li> <li>6. Encourage communities to raise funds and offer help to solve conflicts.</li> <li>7. Serve as role models promoting the adoption of new health and sanitation (H&amp;S) practices.</li> <li>8. Organise follow-up at the District Council on behalf of the community.</li> </ol>	<ul style="list-style-type: none"> <li>• Respective, Constituencies</li> </ul>	<ul style="list-style-type: none"> <li>• Village Council (VC)</li> <li>• Ward Dev't Committee (WDC),</li> <li>• SPs.</li> </ul>
	Education/ Health and Water Committee (EHWC).	Councillors elected by FC.	<ol style="list-style-type: none"> <li>9. Provide input for and approval of District Water and Sanitation Plan.</li> <li>10. Sponsor promotion campaigns to inform communities about the NRWSSP.</li> <li>11. Prioritise applications and decide which communities will be assisted.</li> <li>12. Approve W&amp;S proposals (FMPs) submitted by communities.</li> <li>13. Make decisions on Council budgets for W&amp;S development.</li> <li>14. Monitor use of the District Water and Sanitation Fund.</li> <li>15. Review implementation progress and facilitate problem solving.</li> <li>16. Propose byelaws to support W&amp;S development at the community level.</li> <li>17. Foster involvement of private sector and NGOs as Service Providers.</li> <li>18. Register and authorise Water and Sanitation Committees and Water User Entities to represent villages in managing water and sanitation facilities.</li> <li>19. Provide a legal framework aimed at safeguarding ownership of water supply facilities by communities.</li> </ol>	<ul style="list-style-type: none"> <li>• Full Council.</li> </ul>	<ul style="list-style-type: none"> <li>• Council Mgmt Team (CMT);</li> <li>• DWST;</li> <li>• FSPs and TSPs.</li> </ul>

Player		Composition	Tasks	Report to:	Collaborates with:
3	CMT.	Council Heads of Administration & Technical Departments.	20. Provide to relevant standing committees and full Council, expert input for and approval of District W&S Plan. 21. Guide, support and monitor the work of DWST. 22. Supervise and monitor project level procurement of goods, works and services.	<ul style="list-style-type: none"> <li>• EHWC;</li> <li>• Finance, Admin. and Planning Committee (FAP); and</li> <li>• Full Council</li> </ul>	<ul style="list-style-type: none"> <li>• NGOs and ESAs; and</li> <li>• SPs</li> </ul>
4	DWST.	<ul style="list-style-type: none"> <li>• District Executive Director (DED) (Chairman);</li> <li>• District Planning Officer (DPLO) (Deputy Chairman);</li> <li>• District Water Engineer (DWE) (Secretary);</li> <li>• District Community Development Officer (DCDO);</li> <li>• District Health Officer (DHO); and</li> <li>• two other optional sector officers.</li> </ul>	23. Inform and consult District Commissioner (DC) structures e.g. Full Council, Education/Health/Water Committee (EHWC), department heads (CMT), District Tender Board, etc. 24. Coordinate and liaise with MoW, donors, NGOs, external agencies. 25. Collect and analyse data on W&S service levels, water points, and needs. 26. Keep records and develop a data base/inventory on all W&S facilities. 27. Prepare District Water and Sanitation Plan (DWSP) and annual plans. 28. Promote awareness on the NRWSSP, facilitate community demand, and sensitize communities to contribute. 29. Appraise applications and proposals /FMPs produced by communities. 30. Consolidate community proposals and prepare consolidated budget. 31. Plan, coordinate, and manage financing of project implementation. 32. Facilitate contracting of Service Providers – pre-qualification, adverts, tender evaluation, preparation of Terms of Reference (TOR) and tender documents and contracts. 33. Coordinate training of Service Providers, Extension Workers, and communities. 34. Supervise and monitor Service Providers and Extension Workers. 35. Supervise and certify construction works and ensure quality standards. 36. Administration, trouble-shooting help, solve conflicts and problems at different levels. 37. Organise monitoring and evaluation of W&S projects. 38. Provide continuous backup support to communities.	<ul style="list-style-type: none"> <li>• CMT; and</li> <li>• EHWC.</li> </ul>	<ul style="list-style-type: none"> <li>• NGOs; and</li> <li>• Private Sector.</li> </ul>



Player		Composition	Tasks	Report to:	Collaborates with:
5	Council Tender Board.	<ul style="list-style-type: none"> <li>• DED-Chairman;</li> <li>• Supplies Officer – Secretary;</li> <li>• DT-Member;</li> <li>• District Engineer</li> <li>• two head of departments (HoDs) appointed by DED.</li> </ul>	39. Register potential FSPs and TSPs. 40. Pre – qualify FSPs and TSPs (approve shortlists). 41. Publish invitations for tender. 42. Facilitate participation of communities in bid evaluation. 43. Award of contracts. 44. Monitor implementation of the contract.	<ul style="list-style-type: none"> <li>• District Council.</li> </ul>	<ul style="list-style-type: none"> <li>• DWST.</li> </ul>
6	Water Department.	DWE, water technicians.	45. Collect baseline data on W&S service levels, water points, and needs. 46. Keep records and develop a data base/inventory on all W&S facilities and maintain the MIS at the district level. 47. Disseminate information about and application forms for the NRWSSP. 48. Assist in vetting community applications and proposals. 49. Review technical designs. 50. Help with the preparation of the District W&S Plan and annual plans. 51. Supervise and monitor the work of Service Providers. 52. Supervise and certify construction works and ensure quality standards. 53. Prepare reports on field activities for the EHW Committee. 54. Monitor and facilitate protection /conservation of water catchments areas.	<ul style="list-style-type: none"> <li>• DED; and</li> <li>• CMT.</li> </ul>	<ul style="list-style-type: none"> <li>• Other DWST members</li> <li>• SPs</li> </ul>
7	Other Departments.	<ul style="list-style-type: none"> <li>• Department of Community Development;</li> <li>• Health Department; and</li> <li>• Education Department.</li> </ul>	55. Participate in formulation of District Water and Sanitation Plan. 56. Inform communities about W&S programme and how they can participate. 57. Distribute application forms and help communities complete them. 58. Advise on community planning of W&S facilities and proposal writing. 59. Monitor progress at the community level and help to solve conflicts. 60. Provide follow-up technical advice to communities once Service Providers complete their work.	<ul style="list-style-type: none"> <li>• DED;</li> <li>• CMT; and</li> <li>• EHW.</li> </ul>	<ul style="list-style-type: none"> <li>• DWST;</li> <li>• EWs; and</li> <li>• SPs.</li> </ul>

Player		Composition	Tasks	Report to:	Collaborates with:
8	Extension Workers (EWs).	Field workers employed by Council.	<ul style="list-style-type: none"> <li>61. Inform communities about the W&amp;S programme and how they can participate.</li> <li>62. Distribute application forms and help communities complete them.</li> <li>63. Verify community applications to check that the information is correct and that the community is organized and there is a strong demand for water facilities.</li> <li>64. Collect baseline data on communities with help from WATSAN Committees.</li> <li>65. Support health promotion on hygiene and sanitation, and efforts to combat HIV/AIDS.</li> <li>66. Monitor and support the work of Service Providers.</li> <li>67. Provide ongoing advice to communities once FSPs phase out.</li> <li>68. Monitor progress at the community level and help to solve conflicts.</li> <li>69. Make notes on fieldwork and produce monthly reports to DWST.</li> </ul>	<ul style="list-style-type: none"> <li>• Department heads; and</li> <li>• DWST.</li> </ul>	<ul style="list-style-type: none"> <li>• WDC;</li> <li>• SPs</li> <li>• WATSAN Committee.</li> </ul>
9	Ward Development Committee (WDC).	<ul style="list-style-type: none"> <li>• Ward Councillor (Chairman);</li> <li>• Ward Executive Officer (WEO);</li> <li>• VC representatives and</li> <li>• All council staff based in the ward.</li> </ul>	<ul style="list-style-type: none"> <li>70. Inform communities about the W&amp;S programme and how they can participate.</li> <li>71. Distribute application forms and encourage communities to complete them.</li> <li>72. Receive W&amp;S applications from the village and forward them to the Council.</li> <li>73. Help facilitate inter-village meetings needed to plan piped schemes.</li> <li>74. Help support the formation of WATSAN Committees and WUEs.</li> <li>75. Monitor progress at the community level and help to solve conflicts.</li> </ul>	<ul style="list-style-type: none"> <li>• District Council.</li> </ul>	<ul style="list-style-type: none"> <li>• EWs; and</li> <li>• SPs.</li> </ul>

Player		Composition	Tasks	Report to:	Collaborates with:
10	Village Council (VC).	25 members of the VC.	76. Foster community participation and mobilisation. 77. Inform user communities about the NRWSSP and how to participate. 78. Assist them to write applications and prepare proposals. 79. Assist them to form Water and Sanitation Committees/WUEs. 80. Relay applications and proposals to the Council (via WDC). 81. Sign project agreements with the Council on behalf of the village. 82. Help mobilise communal labour for W&S activities. 83. Monitor progress at the community level and help to solve conflicts.	<ul style="list-style-type: none"> <li>• WDC.</li> </ul>	<ul style="list-style-type: none"> <li>• WATSAN/ Water User Group (WUG)/ Water User Association (WUA);</li> <li>• EWs; and</li> <li>• SPs.</li> </ul>
11	Water and Sanitation (WATSAN) Committee.	6-12 gender balanced and democratically elected individuals from the user community.	84. Conduct community meetings and WATSAN Committee meetings. 85. Brief the community regularly and consult them on plans or problems. 86. Lead the community in planning and help to build W&S facilities. 87. Take responsibility to, operate and maintain the new facilities. 88. Raise and manage funds and other resources sensitize communities to contribute. 89. Keep records on meetings, money raised/spent, and repairs. 90. Sign contracts with Service Providers, supervise and monitor their activities, and sign off on completed work. 91. Organise maintenance and repair carried out by caretakers or operators. 92. Hire outside technicians when needed. 93. Organise communal labour for site cleaning and maintenance. 94. Facilitate education and planning on hygiene, sanitation and HIV/AIDS. 95. Monitor activities and results and use this to improve management.	<ul style="list-style-type: none"> <li>• VC; and</li> <li>• User Community.</li> </ul>	<ul style="list-style-type: none"> <li>• VC; and</li> <li>• Village Health Committee (VHC).</li> </ul>

Player		Composition	Tasks	Report to:	Collaborates with:
12	User Community.	All community members.	96. Identify needs and make a formal request for assistance from Council. 97. Form and monitor the work of Water and Sanitation Committee. 98. Participate fully in planning, designing, and constructing water facility. 99. Contribute cash and in kind to capital costs and fully finance O&M. 100. Prepare a community water proposal – Facility and Management Plan. 101. Choose type of water technology, service level and sites for the new facilities. 102. Enter into agreement with District Council and Service Providers. 103. Contribute labour and materials for construction where appropriate. 104. Monitor the work of Service Providers. 105. Own and be responsible for the management of the water facilities. 106. Select and support caretakers pump, operators. 107. Construct sanitation facilities and improve hygiene practices. 108. Monitor and evaluate the W&S services.		<ul style="list-style-type: none"> <li>VC.</li> </ul>
13	Facilitation Service Providers (FSPs).	<ul style="list-style-type: none"> <li>NGOs; and</li> <li>Training Consultants.</li> </ul>	109. Facilitate full community participation in planning and implementation and mobilise the participation of women and other marginalised groups. 110. Facilitate formation and training of WATSAN Committees. 111. Collect baseline data on the community with help from WATSAN Committee. 112. Facilitate community planning of W&S facilities and assist in the formulation and writing of proposal /FMP. 113. Facilitate development of a system for raising and managing WS funds. 114. Facilitate community awareness and planning on hygiene, sanitation and HIV/AIDS. 115. Facilitate in development of a community-managed system for operation and maintenance. 116. Support community supervision and monitoring of Service Providers. 117. Support development of community managed monitoring and evaluation. 118. Make notes on fieldwork and produce monthly reports for DWST.	<ul style="list-style-type: none"> <li>DWST; and</li> <li>Community (WATSAN).</li> </ul>	<ul style="list-style-type: none"> <li>EWs;</li> <li>TSPs and FSPs; and</li> <li>Community</li> </ul>

Player		Composition	Tasks	Report to:	Collaborates with:
14	Technical Service Providers (TSPs).	<ul style="list-style-type: none"> <li>• Civil &amp; Mechanical Engineering companies;</li> <li>• Contractors; and</li> <li>• Suppliers.</li> </ul>	<p>119. Work closely and plan with the community in providing the service.</p> <p>120. Check on pre-project preparations by community before starting activities e.g. community organisation of access road, materials, labour, etc.</p> <p>121. Provide specific services over a specified period.</p> <p>122. Participate in monthly coordination meetings (during contract time-frame).</p> <p>123. Provide DWST/DWE with progress reports according to the contract.</p> <p>124. Sign off on completed work with the community and Council.</p>	<ul style="list-style-type: none"> <li>• DWST; and</li> <li>• Community (WATSAN).</li> </ul>	<ul style="list-style-type: none"> <li>• EWs;</li> <li>• FSP and TSP; and</li> <li>• Community</li> </ul>
15	Contractors/ Drillers/ Suppliers of pumps	<ul style="list-style-type: none"> <li>• Civil Work Contractors;</li> <li>• Drillers;</li> <li>• Suppliers of pumps and engines</li> </ul>	<p>125. Assist in the drilling and construction of WS&amp;S facilities, and supply and installation of pumps and engines.</p> <p>126. Train Handpump caretakers and mechanized pump operators.</p> <p>127. Provide tools and spare parts.</p> <p>128. Provide technician to assist communities in carrying out regular maintenance of their facilities.</p> <p>129. Provide as built drawings of the community WS&amp;S facilities.</p>	<ul style="list-style-type: none"> <li>• TSP</li> <li>• DWST; and</li> <li>• WATSAN committee</li> </ul>	<ul style="list-style-type: none"> <li>• EWs;</li> <li>• FSP; and</li> <li>• Community</li> </ul>

## 3. GETTING STARTED

### 3.1 Introduction

This chapter describes how the district should organize itself to get ready to implement the W&S programme in the district. As explained in the preceding chapters, LGAs have a leading role to develop W&S services in their areas. This implies that they no longer have to wait for CG or ESAs to initiate the development of W&S services.

Thus, this new approach involves a **commitment to the W&S development agenda**. This commitment will be shown by:

1. The seriousness taken by the Council in developing its own W&S plans.
2. The priority commitment to W&S within the district's own development plan.
3. The built up capacity in the Water department and the DWST to coordinate and implement the W&S programme in the district.

The overall aim is to build strong commitment to and a sense of responsibility for W&S by the Council, thus putting it in the driver's seat as the major force for W&S development at the district level.

### 3.2 Steps for Start-up Process

In order for the Council to meet this objective it needs to sufficiently mobilise itself by undertaking the following steps as the start up process:

1. Setting up DWST.
2. Orienting councillors, CMT members and other stakeholders on NRWSSP.
3. Mobilising and procurement of SPs.
4. Collecting and analysis of W&S data.
5. Preparation of a district water and sanitation plan (DWSP).
6. Appraisal of Community Application.
7. Selection of Eligible Communities
8. Mobilization of Service Providers.

#### STEP 1: FORMATION OF DWST

##### i. Introduction

The District Water & Sanitation Team (DWST) is the pivotal player in building district W&S facilities. Once established, it will be charged with the responsibility of building the district W&S systems.

##### ii. Who are members of DWST?

- DED, DPLO, DWE, DCDO, DHO, DEO, DT.
- Other Heads of Departments whom the Council may deem relevant to the development of W&S services in the district

For efficiency and effectiveness, senior officers from the above listed sectors who are not Heads of Department (HoD) may be appointed to oversee NRWSSP activities on a day-to-day basis. However, these will have to constantly brief their respective HoDs on the progress of the programme.

**iii. Why establish DWST?**

- To build up the Council's capacity to manage the District W&S programme in a more efficient and effective way.

**iv. What is DWST structure?**

DWST is a sub-committee coordinated by the Water Department but with input from other departments. It is accountable to the DED and CMT. It is organised as follows:

- DED is the Chairperson;
- DPLO is Deputy Chairperson or Alternate Chairperson;
- DWE is the Secretary and Coordinator; and
- Other HoDs are members.

**v. How should DWST organise its work?**

- DPLO and DWE in close consultation with DED work together to set up DWST and coordinate its activities
- DED formally appoints the DWST members including each one's detailed responsibilities (See below an example of a **Responsibility Chart** which DWST can use to divide up work among members)
- DWE invites DWST members to an initial meeting to discuss the NRWSSP and their collective and individual/sector roles
- Explain that participation is not full-time, but members will be expected to meet regularly and help with administrative and professional tasks required for implementing the NRWSSP in the district (e.g. writing plans, bidding, community support strategies, evaluation reports, etc.)
- Set up a regular system of meetings – at least once a month
- Set up a monthly system for work planning, budgeting and reporting
- Brief and consult the DED, District Commissioner (DC), Council Chairperson and EHW Committee on a regular basis through monthly briefings or memos
- Brief and consult other HoDs on W&S through CMT meetings
- Organise training for the DWST, facilitated by a Training Consultant contracted by MoW

**vi. Topics for DWST Training:**

- NRWSSP goals, strategies, players and roles project cycle;
- DWST – collective and individual roles, operating procedures, meetings, etc.;
- result-based implementation planning;
- data collection and analysis and development of a W&S data base for input into the MIS;
- preparation of a District W&S Plan;
- vetting community applications;
- preparation of Facilities and Management Plan (FMP);
- training, supporting and supervising Extension Workers;
- selecting/contracting, and supervising Service Providers; and
- monitoring, evaluation and reporting.

RESPONSIBILITY CHART							
TASKS	DED	DPLO	DT	DWE	DHO	DCDO	DEO
Call DWST meetings	√						
Write DWST minutes				√			
Report to EHWC and FC	√	√		√			
Liaise with donors/ESAs	√	√					
Develop data base		√		√	√		
Prepare DWSP and annual plans	√	√	√	√	√	√	√
Promotion and verification	√	√		√	√	√	
Appraise applications and FMPs	√	√	√	√	√	√	√
Prepare consolidated budget			√				
Prepare procurement plans			√	√			
Prepare implementation plans		√		√	√	√	√
Prepare procurement docs		√		√			
Technical evaluation of bids		√		√	√	√	
Negotiate and sign contracts	√						
Manage and monitor training						√	
Supervise/monitor Facilitation SPs					√	√	
Supervise/monitor Technical SPs				√	√		
Manage District W&S Fund			√				
Registration of WATSANS		√		√			
Backup support to communities				√	√	√	√
Facilitate spare parts system				√			
Train and register Area Mechanics				√			
Train and register Latrine Artisans					√		
Write monthly reports		√	√	√	√	√	√
Schools Programme							√
Monitoring and Evaluation	√	√	√	√	√	√	√

## STEP 2: ORIENTATION OF NRWSSP PROMOTERS

### i. Introduction

Organize a workshop for all Councillors, CMT members, extension staff, local NGOs and community-based organisations (CBOs). On one hand, **Councillors** have an important role to play in the NRWSSP – as community leaders in their own areas and as policy makers in the Council.

- As **community leaders** they help to explain the NRWSSP and assist the community to apply for assistance.
- As **policy makers** in the Council they help to develop W&S plans, select communities to be assisted and monitor progress.
- Councillors who are members of the EHW standing committee are directly responsible for social sector issues, including water and sanitation.

On the other hand, **NGOs, EWs and CBOs** are close to the community. They have valuable knowledge of the community situation and therefore can easily influence the community to make right decisions.



## **ii. Objectives**

Overall, the workshop facilitated by a training consultant contracted by MoW, aims to explain basic messages about NRWSSP so that they can be able to disseminate them accurately to the community. Specifically, the workshop intends to:

- build the understanding of the NRWSSP – objectives, policies and strategies;
- build agreement on the roles of the Council and the roles of other players;
- review the status of water, sanitation, hygiene and HIV/AIDS in the district;
- secure political commitment and resources for the W&S programme;
- facilitate sharing of information among stakeholders on plans and activities;
- develop locally-based stakeholders' skills to disseminate NRWSSP information to communities;
- promote and ensure compliance with approaches by all stakeholders;
- commit to working together in a coordinated way using common approaches;
- encourage coordination among NGOs and other players at district level; and
- involve stakeholders in the preparation of district W&S plans.

## **iii. Major Outputs:**

- increased awareness of NRWSSP salient features and conditions, roles and responsibilities of different stakeholders and how communities can be mobilised to participate in the programme;
- increased sense of ownership of the NRWSSP by the Council leadership as well as commitment and appreciation to W&S development in the district; and
- improved teamwork and transparency among locally based NGOs and other stakeholders in planning for W&S interventions.

## **iv. Steps/Activities:**

- organise an orientation workshop for all the Councillors, CMT members and other locally based stakeholders;
- use the orientation workshop to introduce the NRWSSP especially on the role of the Council in supporting community to improve their W&S services; and
- ensure all relevant information materials e.g. copies of NAWAPO, flyers, application forms, etc are available.

### **AGENDA FOR ORIENTATION WORKSHOP:**

- old approach to W&S delivery;
- NRWSSP goals, approaches and strategies;
- new players, roles and responsibilities;
- role of Councillors, EHWC, EWs, NGOs, etc.;
- promotion campaign strategies and role of promoters; and
- work planning: division of tasks among NRWSSP promoters in order to cover as many villages as possible.

In short, the workshop will lay down strategies to support communities to participate in NRWSSP and how councillors, extension workers (EWs) and other locally based stakeholders can assist.

## **STEP 3:DISSEMINATION OF NRWSSP INFORMATION TO COMMUNITIES**

### **i. Introduction**

One of the initial activities for the DWST is to inform communities – in all villages within the district – about the opportunities available under the NRWSSP and to encourage them to participate. This involves a well-planned information campaign through various channels, specifically community meetings, distribution of flyers and most importantly reinforced with the local mass media. This campaign follows immediately after the orientation workshop of the NRWSSP ‘promoters’ but is a continuous process in the district.

### **ii. Who participates?**

1. **Promoters:** DWST, EWs, Councillors, WDC members, Local NGOs and CBOs.
2. **Participants:** VC leaders, all community members, Village Water committee (VWC), Village Health Committee (VHC), and opinion leaders in the community

### **iii. Objectives:**

- raising community awareness on NAWAPO key principles, NRWSSP goals, approaches, strategies players and roles and responsibilities;
- letting communities know what is involved and what their responsibilities are under NRWSSP (e.g. required Community contribution, election of WATSAN Committee) as well as knowing what others (DWST, FSPs, TSPs) are required to do;
- providing an opportunity to the community to make decisions on whether they want to apply for support to improve their W&S services or they have another top priority; and
- building commitment of communities to planning, implementing and managing their W&S facilities.

### **v. Major Output:**

- increased community awareness of NRWSSP goals and operational strategies; and
- a community action plan for the way forward – how to participate in the NRWSSP e.g. election of WATSAN committee, agreement on how to collect commitment fee, etc.

### **vi. Steps/Activities:**

- prepare all promotional materials (e.g. flyer, copies of NAWAPO, application forms, etc. for distribution during the meetings);
- organise a community meeting in consultation with the VC leaders for introducing the NRWSSP (e.g. dates, venues, etc.);
- use the meeting to start the process of getting the community to plan together –
  - involving WDC, VC, VHC, VWC/WATSAN Committees and opinion leaders to promote demand for improved W&S services in the community, and
  - make special effort to meet women and other marginalised groups in order to get their views on how they can participate actively in the decision making process over the planned W&S services; and
- plane media reinforcement strategies –
  - using radio spots and programmes,
  - using print media and verbal communication delivered through local institutions such as schools, health centres, etc., and
  - announcements through local churches, mosques and other public meetings.

## **AGENDA FOR PROMOTION MEETINGS**

1. Status of water, sanitation and hygiene in the community – community should talk about and assess their own W&S and HIV/AIDS situation.
2. The NRWSSP – goals, policies and strategies, project cycle (e.g. DRA, COM) – Relate your talk to community W&S situation and hand out flyers and read some relevant texts in NAWAPO.
3. Roles of community, VC, WATSAN Committee in the NRWSSP.
4. Criteria for support and how to apply – distribute application forms.
5. Questions from community for clarifications.
6. Action planning e.g. when and who to submit application to the Council for NRWSSP support, how much to be contributed as commitment fee and how to handle the contributed funds?

## **STEP 4: COLLECTION AND ANALYSING OF COMMUNITY W&S BASELINE DATA**

### **i. Introduction**

Collection of community W&S baseline data is another important activity to be undertaken by the DWST. These data are to be used in preparing a District Water and Sanitation Plan (DWSP) and managing implementation.

### **ii. Who participates?**

DWST, Extension staff, VC leaders, VHC, WATSAN Committee, NGOs, and CBOs.

### **iii. Objectives:**

- establishing baseline data on water sources, flow and quality, latrine coverage, current demands for W&S and programmes to provide W&S facilities in the district; and
- developing a district-based system for collecting, storing and processing data on W&S.

### **iv. Major Outputs:**

- data base management system; and
- data used by DWST in planning and managing W&S development in the district.

### **v. Steps/Activities:**

- review existing data collection formats;
- collate existing sources of data already available at district level (e.g. lists of villages, information on existing facilities and planned projects, number and type of latrines and common diseases, and number, type and condition of existing water facilities), and verify data;
- train extension workers to collect W&S data using the common format;
- use Promotion, Mobilisation and Planning phases at the community level to collect/verify basic data on existing facilities – numbers, type, condition etc. involve community organisations e.g. VC, VHC, WATSAN in collecting this data;
- enter data into a data base system. A district-level Management Information System (MIS) is being developed by MWLD for the NRWSSP data management; and
- compile data into profile and disseminate profile to all stakeholders.

## **STEP 5: PREPARATION OF DWSP**

### **i. Introduction**

The data collected will be used in preparing a DWSP. A DWSP is a detailed outline of what the district wants to do in developing water supply and sanitation; it should generate the district's three-year rolling development plan as well as the first annual plan. It should be developed on a collaborative basis with all stakeholders.

### **ii. Who Participates?**

DWST, relevant Council standing committees, e.g. EHWC, FAP, FC, and other stakeholders such as locally-based NGOs.

### **iii. Objectives:**

- developing long-term plans to guide water and sanitation development in the district; and
- establishing common parameters in planning W&S development in the district.

### **iv. Major Output:**

- a comprehensive DWSP.

### **v. Steps/Activities:**

- review data on existing facilities, current demands and programme for W&S;
- develop criteria for setting priorities and apply criteria as the basis for prioritising communities to be assisted;
- write up the plan giving the number of communities to be assisted each year and the costs to provide such assistance;
- organise a meeting with all stakeholders to agree on the district W&S plan; and
- submit this plan to the EHWC for discussion and endorsement by FAP and finally to the FC for approval.

### **vi. Strategy for Prioritising Communities and/or Areas for NRWSSP Support**

Given the limited funds, districts cannot support W&S development in all villages at the same time. So each district will develop a strategy for prioritising communities (or areas) to be assisted. This strategy will take into account such factors as:

#### **FACTORS FOR PRIORITISING COMMUNITIES FOR NRWSSP SUPPORT**

- geography e.g. number of wards within the district and how accessible they are;
- existing coverage and demand for new facilities;
- level of commitment and organisation in different areas;
- other factors e.g. epidemic of cholera or other diseases;
- current projects supported by donors in the district;
- resources available;
- special consideration to vulnerable communities and groups; and
- packaging of service provider contracts e.g. assigning work in clusters of neighbouring villages so that the work can be done efficiently.

## **STEP 6: APPRAISAL OF COMMUNITY APPLICATIONS**

### **i. Introduction**

Once application forms have been received, DWST verifies each application form. This involves a desk assessment by the DWST and a visit by extension staff to the community to check that the information in Application Form is correct and complete.

### **ii. Who Participate?**

DWST, Extension Workers, community, VC, and WATSAN Committee.

### **iii. Objective:**

- checking the correctness and completeness of the information in the application form; and
- selecting communities that qualify for NRWSSP support.

### **iv. Major Outputs:**

- verified application forms, i.e. the level of commitment/demand are assessed.

### **v. Steps/Activities:**

- desk assessment of the submitted applications.
- DWST members review the applications and identify gaps in information and details to be checked in the field.
- Extension Workers visit the community and hold a meeting with community members and community leaders to verify that the information is correct, complete – and that the requirements (WATSAN formation and fund raising) have been completed.

### **VERIFICATION CHECKLIST**

1. All items on the Application Form have been completed.
2. Information has been discussed with and agreed by a representative body of community members (who are aware of its contents).
3. Water supply is a priority need by the community.
4. Community is prone to waterborne diseases.
5. Limited presence of other ESAs supporting W&S development.
6. Democratic election of gender balanced WATSAN Committee.
7. Commitment fees have been collected and deposited in a bank account.
8. Absence of factionalism in the community.
9. Community is committed to planning, building and managing new facilities.

**iv. Major Outputs:**

- verified application forms, i.e. the level of commitment/demand are assessed.

**v. Steps/Activities:**

- desk assessment of the submitted applications.
- DWST members review the applications and identify gaps in information and details to be checked in the field.
- Extension Workers visit the community and hold a meeting with community members and community leaders to verify that the information is correct, complete – and that the requirements (WATSAN formation and fund raising) have been completed.

**VERIFICATION CHECKLIST**

1. All items on the Application Form have been completed.
2. Information has been discussed with and agreed by a representative body of community members (who are aware of its contents).
3. Water supply is a priority need by the community.
4. Community is prone to waterborne diseases.
5. Limited presence of other ESAs supporting W&S development.
6. Democratic election of gender balanced WATSAN Committee.
7. Commitment fees have been collected and deposited in a bank account.
8. Absence of factionalism in the community.
9. Community is committed to planning, building and managing new facilities.

## KEY QUESTIONS IN ASSESSING ELIGIBILITY OF COMMUNITY

### 1. Is there a strong community demand?

Indicators of community demand and interest might include:

- a) Is water supply the top priority or are other services (e.g. school or electricity) considered more important?
- b) How much money has community already raised for the new water supply?
- c) What other actions have the community taken to improve their traditional water sources e.g. digging traditional wells deeper?
- d) Level of women's participation in managing community projects?

### 2. Are 'commitment fees' deposited in the bank?

- a) Has the community deposited the 'commitment fees' in the bank?
- b) Is there a bank deposit slip and/or bank statement showing that it has been deposited?

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

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

### 4. What safe water facilities does the community have already?

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

- a) Type of facilities? Condition? Yield? Distance to facilities?
- b) What is the capacity of safe water systems to serve the population?

### 5. Are lots of people suffering from water related diseases?

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

### 6. Are there lots of conflicts and disputes?

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

## **STEP 7: SELECTION OF ELIGIBLE COMMUNITIES**

### **i. Introduction**

- Once the application forms have been verified, the Council will need to select a number of communities to be assisted. However, before finalising the list of communities to be assisted, the DWST will have to assess – given its capacity and level of availability of funds - **how many sub-projects can the district effectively manage over a one-year period.**

### **ii. Who Participates?**

This involves decision-making meetings in the Council by the DWST, EHWC FAP and FC.

### **iii. Objectives:**

- select a number of communities to be assisted to develop a W&S proposal.

### **iv. Major Outputs:**

- prioritised list of communities; and
- communities are selected through a transparent process.

### **v. Steps/Activities:**

1. The DWST holds a meeting and confirms number of communities to be assisted (based on available funds and staffing capacity). The DWST also meets to familiarize themselves on assessment criteria to be used in selecting communities.
2. The DWST prepares a technical paper to be presented to the EHWC preferably by plotting priority communities on a district map.
3. Using the checklist on page 3-9, prepare a short list of qualifying communities to be presented to CMT for further discussions before it is presented to EHWC
4. In deciding the scale of the programme the EHWC reviews the following issues:
  - a) How many communities at a time can the DWST support and monitor effectively?
  - b) In how many communities at a time can the DWST manage FSP, TSP, contractors, etc?
  - c) How many sub-projects can the Centred Government Budget through MoF Support? Council finance?
  - d) How many skilled teams of extension staff are available in the district and how many communities can each team effectively manage?
  - e) If communities want boreholes, how long is the drilling season in the district?
  - f) How many boreholes can be drilled during the dry season.
  - g) Have the drilling companies been contracted to do drilling in other districts?
  - h) How many hydrogeologists are available and what is their capacity?
  - i) How many districts are relying on their services to site boreholes?

These and other issues relevant to the implementation of the NRWSSP in the district should be raised and discussed thoroughly by the EHWC. The DWST will need to include some of the answers to these issues in the technical paper.

1. The EHWC makes decisions on/approves scale of the programme and selection criteria.



2. The EHWC approves list of communities to be assisted after assuring itself that the selection is based on objective criteria.
3. List of eligible communities is forwarded to the FAP before recommendations are forwarded to the FC for final approval.
4. The DWST informs communities about the results of the selection by a letter from the DED. Other notices are placed on the Council notice board.

## **STEP 8: MOBILISATION OF SERVICE PROVIDERS**

### **i. Introduction**

This step involves identifying potential service providers and getting them involved in providing goods, works and services. Chapter 7 provides in detail the procurement procedures which will be followed at the district level.

### **ii. Who Participates?**

DWST, Council Tender Board, CMT, and SPs.

### **iii. Objectives:**

- Shortlisting identifying and registering potential service providers;
- orienting potential service providers to new strategies and approaches involved in the NRWSSP, and motivating them to participate in the programme activities; and
- upgrading FSPs and TSPs in their knowledge and skills as private sector organisations.

### **iv. Major Output:**

Registered Service Providers with adequate business skills.

### **v. Steps/Activities:**

#### **Promotion and Identification**

- advertise and disseminate the opportunities available through notice boards, newspapers, radio and announcements at meetings;
- organise meetings to inform potential SPs about the details of the NRWSSP.
- prepare tender documents and
- Ask shortlisted SPs to submit their proposals for the provision of goods, services and works.

#### **Evaluation/Selection**

Select capable/committed SPs using criteria and procedures as prescribed in the Public Procurement Act (2004). Things to consider and these are listed in the Request for Proposal document should include:

- a) Is the SP registered?
- b) Does the SP have adequate/needed experience?
- c) Does the SP have adequate and, skilful manpower?
- d) Does the proposal indicate clearly how the organisation is going to do the job?
- e) Costs – are their costs reasonable?

## 4. MANAGING NRWSSP IMPLEMENTATION

### 4.1 Introduction

This chapter describes how the Council manages the process of supporting community water and sanitation development. It describes activities at each step in the process of developing a water supply project. The process and all of these activities taken together from beginning to end form what is called a “Project Cycle”.

### 4.2 Step-By-Step Cycle

The Project Cycle provides a **step-by-step** guide for the community and for external players, but it is to be used flexibly. Communities have different organisational abilities and will move at different paces. For certain steps some communities may require several meetings to reach a clear agreement while other communities may need only a single meeting. DWST responsibility is to ensure that FSPs and TSPs facilitate the community to reach informed choices as well as actively participating in every step of the project cycle.

The Project Cycle outline below will help the DWST to make a close follow up on how things are happening during the implementation of the NRWSSP activities. Since the adopted approach by the NRWSSP is based on partnership, activities are done by different players either as initiators or collaborators.

The following section gives a detailed description of each step in the cycle:

STEP	ACTIVITY	SUB-ACTIVITIES
1	COMMUNITY PROMOTION	a. orientation workshop for ‘promoters’; and b. information campaign through public meetings.
2	APPLICATION/RESPONSE BY COMMUNITY	Community meetings to: a. complete application form; and b. take action to meet basic conditions, such as: <ul style="list-style-type: none"> <li>• form Water and Sanitation Committee;</li> <li>• raise capital contribution (commitment fee); and</li> <li>• open bank account.</li> </ul>
3	VERIFICATION	Check that information is correct and complete through: a. desk assessment by DWST; and b. visit by EWs – meet with WATSAN/Community.
4	PRE-SELECTION	a. DWST review applications – prepare short list; b. approval – EHW Committee and Full Council; and c. communities are informed about results.
5	COMMUNITY MOBILISATION AND PLANNING	Community meetings and WATSAN training to: a. develop proposal/plan for new water facilities; b. strengthen WATSAN and community participation; c. make decisions on how to manage facilities; and d. decide on how to implement H&S and AIDS action.
6.	APPRAISAL OF COMMUNITY PROPOSAL	a. DWST assess each community proposal; b. approval by EHW Committee and Full Council; c. communities are informed about results; and d. successful communities sign MOU with Council.
7.	IMPLEMENTATION PLANNING AND FUNDING	DWST develops: a. package requesting funding; b. detailed implementation plan; and c. Procurement Plan.

STEP	ACTIVITY	SUB-ACTIVITIES
8	COORDINATION OF STAKEHOLDERS	DWST convenes regular meetings of all key stakeholders during implementation to discuss progress and coordinate inputs.
9.	CONSTRUCTION A: PROCUREMENT AND CONTRACTING	a. preparation and advertisement of tenders; b. submission, opening and evaluation of tenders; c. negotiation and signing of contract; and d. community involvement in process.
10	CONSTRUCTION B: SUPERVISION AND MONITORING	Supervision by community, DWST and consultants using standardised checklists.
11	STRENGTHENING COMMUNITY MANAGEMENT (CONSTRUCTION AND O&M PHASES)	Community meetings and WATSAN training to: a. strengthen WATSAN & community participation; and b. establish systems for - <ul style="list-style-type: none"> <li>• O&amp;M and raising/managing money; and</li> <li>• Planning/action on hygiene/sanitation/HIV/AIDS.</li> </ul>
12	FOLLOWUP SUPPORT TO COMMUNITIES	Ongoing community visits by Extension staff to observe and meet with WATSAN/WUE and community to review progress and solve problems.
13	ESTABLISHMENT OF SPARES AND REPAIRS SYSTEM	a. DWST encourages local suppliers to stock spare parts and monitors prices; and b. DWST encourages local mechanics to market their services to communities.
14	WARRANTY INSPECTION and O&M ASSESSMENT	a. Two inspection visits to inspect pumps; and b. Visits also used to assess caretakers skills/performance and community O&M systems.
15	MONITORING EVALUATION REPORT-WRITING	a. DWST set up results-based M&E system involving communities, Extension Worker Teams (EWTs) and DWST; and b. DWST prepares quarterly, semi-annual and annual reports and submits to MoW copied to PMO-RALG.

### 4.3 Helping Communities to Plan W&S Projects

#### i. Introduction:

Community planning is the most crucial phase in the Project Cycle. Communities must be enabled to make informed choices on their organisation and management of the W&S services, technology options and service levels. It is during the planning phase that communities prepare detailed proposals for their new W&S facilities – an FMP. Teams of FSP and TSP are contracted and assigned to work with communities to provide capacity building and technical services.

#### ii. Who participates?

DWST, FSP, TSP, VC leaders, WATSAN Committee, all community members (Village Assembly) – including all socio-economic groups in the community e.g. crop farmers, livestock keepers, men, women, the marginalised, etc.

#### iii. Objectives:

- building ownership of decisions by the community;
- deepening community understanding of NRWSSP basic concepts and conditions;
- strengthening representation and capacity of the WATSAN Committee;
- enabling the community to assess their W&S and HIV/AIDS situation;
- developing a plan for managing the new W&S facilities – an FMP;

- reaching agreements on how community is to raise funds for capital contribution and O&M costs; and
- initiating discussions and actions on promotion of hygiene and sanitation, and mitigating HIV/AIDS.

**iv. Major Outputs:**

- completed project proposal – FMP Part A indicating how the community is going to manage implementation of the project – technology option and service level chosen, how much money to be raised and how;
- a gender-balanced WATSAN Committee democratically elected and supported by VC leadership; and
- a community project proposal.

**v. Steps/Activities:**

1. The DWST provides to FSP and TSP all baseline data including condition of existing W&S facilities in the selected villages/sub-villages.
2. The DWST coordinates FSP and TSP in preparing and facilitating community planning meetings in each selected village – meeting with VC leaders to brief them on planning process and agenda, dates, venue for the Village Assembly meeting, etc.
3. DWST participates in community planning meetings to ensure that FSP and TSP create an enabling environment for the communities to fully participate in public discussion and make informed choices about technology options and service levels.
4. The DWST monitors closely performance of FSP and TSP in WATSAN trainings, siting, surveying, designing, etc.

**AGENDA FOR COMMUNITY PLANNING MEETING**

- Community discussion of existing W&S situation
- NRWSSP goals, approaches, strategies, players and roles
- Technical options and service levels
- Role of the community – Contribution (5% towards capital costs and full financing of O&M costs), organisation and management, how to raise 5% capital costs, etc
- Preparation and completion of FMP
- Action plan e.g. who is to participate in siting, when, etc.

**4.4 Preparation of Implementation Plan**

**i. Introduction**

Once the W&S project proposals have been approved, they are then packaged for funding and assigned to pre-qualified FSPs and TSPs and suppliers. During this period the DWST prepares a detailed implementation plan and procurement plan covering the balance of the step-by-step cycle.

**ii. Who Participates?**

DWST, EHWC and FAP committees, FC, RS, MoW, PMO-RALG.

**iii. Objectives:**

- compile a financial request based on approved community project proposals; and
- develop a detailed implementation plan and procurement plan.

**iv. Major Outputs:**

- consolidated request for funding;
- detailed implementation plan; and
- procurement plan.

**v. Steps/Activities:**

1. The DWST packages the community W&S proposals into a consolidated funding request.
2. The DWST draws up an implementation plan including support to community, monitoring and supervision of FSP and TSP, etc.
3. Consolidated plans are reviewed and approved by EHW committee, FAP and FC.
4. Consolidated request and the plans are sent to MoF through MoW and PMO-RALG for funding.
5. Council signs a MoU with communities to be assisted.

**CHECKLIST FOR FMP APPRAISAL**

**1. General information:**

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

**2. Community Information:**

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

**3. Technology Option and Service Level:**

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

**4. Capital Costs:**

- 4.1 Is the estimated total cost of sub-project determined by the community accurate?
- 4.2 What is total cost of water facility? ..... What is per capital cost?.....
- 4.3 Is this amount within the acceptable range established by the NRWSSP?
- 4.4 Amount of community contribution deposited in bank:.....
- 4.5 Is this amount sufficient to meet 5% community contribution requirement?

**5. WATSAN Committee:**

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

**6. Environmental Concerns:**

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

**7. Operations and Maintenance:**

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

**8. Role of Community in Project Implementation:**

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

## 4.5 Contracting Service Providers

### i. Introduction

The next step is to organise community facilitation and construction. The Council contracts this work out to FSPs and TSPs respectively. The community should be a co-sign to some of these contracts (e.g. shallow wells and hand drilled boreholes). All procurement and contracting will follow Tender Board guidelines as per the Public Procurement Act (PPA 2004) and Local Government Financial Regulations (LGFR 2003).

### ii. Who Participates?

- DWST, EHW Committee, District Tender Board, FSPs and TSPs.

### iii. Objectives:

- selecting capable FSPs and TSPs to provide good quality services at reasonable prices;
- ensuring transparent contracting of goods and services;
- evaluating the proposals of different FSPs and TSPs; and
- involving the community in contracting to build a sense of ownership.

### iv. Major Outputs:

- goods and services obtained on a timely and transparent basis;
- understanding by the community about what they are paying for (capital contribution); and
- sense of ownership by community who participate in the contracting process.

### v. Steps / Activities:

Chapter 7 details procurement procedures and guidelines.

## 4.6 Coordinating Stakeholders

### i. Introduction

During construction many different players are involved – e.g. hydrogeologists, drillers, pump mechanics, civil works artisans, extension workers, caretakers, the WATSAN and community. The work of different players needs to be carefully coordinated so that their inputs are introduced at the right time and reinforce each other. (For example pump installation and civil works construction need to be closely coordinated). The DWST needs to develop a system for coordinating stakeholders.

### ii. Who Participates?

DWST, FSPs and TSPs teams, locally based NGOs, ESAs and other stakeholders.

### iii. Objectives:

- ensure coordination and linkages between different components of the project.

### iv. Major Output:

- regular (monthly) meetings, which produce agreements on how the different components can fit together.

**v. Steps/Activities:**

- bring all project implementers together on a monthly basis to discuss progress and coordinate inputs. The format for these meetings is given below.

**vi. Format for Monthly Meeting with Stakeholders**

- **Purpose:** To coordinate inputs from the different players
- **Participants:** 1-2 representatives of each major implementer- FSP, TSP, drilling contractor, pump mechanics, NGOs, etc.
- **Facilitator:** District Water and Sanitation Team.
- **Timing:** Keep meetings short – no more than two hours (e.g. 9:00 -11:00 a.m.) so that there are no costs involved (i.e. no provision for lunch!). Once members see that the meetings are short and efficient, they will attend regularly.
- **Frequency:** Use the same date each month, e.g. first Tuesday of each month.
- **Reporting:** Ask each team to give a brief report – six to eight reports x five minutes each. The focus of the reports should be coordination issues.
- **Written Report:** Each team submits one-page Monthly Report (targets – what has been done/not done, problem areas requiring help, targets for next month).
- **Main focus of meeting:** Coordination. Example: Drillers explain they will be drilling in villages X, Y, Z over next month. Facilitators then adjust their mobilisation activities so that communities are ready for the drillers.

## 4.7 Supervision and Monitoring of Service Providers

**i. Introduction**

The DWST will supervise and monitor the performance of the FSP and TSP to ensure that contractual obligations are met.

**ii. Who Participates?**

DWST, Water Department technicians, community, FSP and TSP WATSAN Committee.

**iii. Objectives:**

- check on the work completed on a scheduled basis;
- check on the quality of construction;
- keep track of progress and help to resolve bottlenecks;
- develop capacity of FSP and TSP through supportive supervision; and
- empower communities to supervise work on their project.

**iv. Major Outputs:**

- water systems are constructed to the right standard;
- water systems produce water of adequate quantity and quality; and
- improved skills and work discipline of FSP and TSP and community.

**v. Steps / Activities:**

- supervision visits using checklists and meetings with SPs community; and
- report writing and dissemination to relevant stakeholders.

**vi. Steps in Construction at Community Level:**

- advance discussions by community/WATSAN committee about their roles during construction;
- meeting between contractors and WATSAN to review construction timetable and agree on forms of community support e.g. materials, access road, labour, etc.;
- agreement signed between FSP and TSP and WATSAN at start of construction;
- construction – supervised by community, DWST and TSP;
- water quality testing: driller collects sample and sends sample to laboratory; and
- community signs off that it is completed and properly done.



## **5. HEALTH PROMOTION**

### **5.1 Introduction**

The NRWSSP is more than a water supply programme. It is a health improvement programme, covering water supply, hygiene, sanitation and HIV/AIDS. Water supply alone will not improve health. Studies show, for example, that improvements in sanitation will have a bigger impact on health than water supply improvements. This chapter will look at:

- definition of terms;
- role of the Council in hygiene and sanitation promotion and combating HIV/AIDS;
- school sanitation package;
- household sanitation package; and
- combating HIV/AIDS.

### **5.2 What Is It All About?**

#### **5.2.1 Hygiene and Sanitation**

Hygiene and sanitation is a process where people demand, develop and sustain a hygienic and healthy environment for themselves by erecting barriers to prevent the transmission of disease (UNICEF, 1997). It includes:

- safe disposal of human waste (i.e. construction and proper use of improved latrines);
- hand washing habits (e.g. after use of latrines, before and after meals, etc.);
- water handling and storage;
- safe disposal of solid and liquid waste around one's surroundings; and
- body washing and general hygiene.

#### **5.2.2 What is AIDS? What is HIV?**

AIDS (Acquired Immune Deficiency Syndrome) is a set of diseases, which are caused by a virus, which affects the body's immune system, making it liable to infections and cancers to which it would normally be resistant. This virus is known as the Human Immunodeficiency Virus (HIV).

#### **Who Participates?**

The DWST, Health Department staff, DEO, HIV/AIDS education peers, VC leaders, WATSAN committee, VHC, FSP, school teachers, local artisans, corps, and householders.

#### **Objectives:**

- to prevent the transmission of water related and water borne diseases; and
- to increase community awareness on how to prevent and control HIV/AIDS.

#### **5.2.3 The Role and Tasks of the District**

While direct action will take place at the community level, the Council will play an important role of planning, coordinating and providing backup support including:

- H&S&A planning—incorporated into the District Water & Sanitation Plan;
- coordinating the training of corps and monitoring and supporting their work in the field;
- advocacy and building commitment by politicians and officials;

- development of supportive policies and bye-laws;
- contracting the private sector and NGOs; and
- overseeing the establishment of demonstration places for various sanitary technologies.

#### 5.2.4 School Sanitation

Improving school sanitation involves constructing permanent latrines and ensuring improved water supply at primary schools in the NRWSSP villages and sub-villages. The DWST members responsible for health and education will drive the school sanitation implementation. At the selected schools, the head master and teachers as well as pupils' **Sanitation Clubs** will hold responsibilities, as a school committee and will be responsible for promoting hygiene and sanitation. Initial assessment of the existing school water and sanitation facilities and hygiene education will provide a basis for accelerated construction of sanitation facilities and hygiene promotion.

The rationale is that school children can be powerful **change agents** within their homes through their knowledge and use of H&S&A practices learned at school. They can help to promote and support hygiene action at home.

#### Objectives:

- to promote good hygiene and sanitation practices in school and HIV/AIDS prevention practices with the aim of improving the health of students and their families;
- to ensure that sanitation facilities are available and functional at selected schools in the project villages and hygiene behaviour is improved and that facilities are properly maintained in the long term;
- develop technical options and approaches to implementation of school sanitation facilities – latrines, urinals and hand washing facilities; and
- strengthen district capacity to develop and implement school sanitation.

#### Steps/Activities

1. **Technology Assessment and Costing:**
  - assessment of potential technologies;
  - establishing design criteria (e.g. ratio of latrines to students);
  - reviewing technologies and criteria with MoH and MoE and
  - costing.
2. **Review of Teaching related to Hygiene:**
  - review of curriculum, educational aids, teaching methods and results;
  - overview of sanitation conditions and needs at primary schools;
  - determination of best methods for improving hygiene;
  - writing a short guide on the sanitation activity giving roles and responsibilities; and
  - conclusions regarding sanitation and water infrastructure needs.
3. **District Orientation:**
  - review of programmes, project cycle, roles and responsibilities with a district;
  - detailing procedures in the steps described below; and
  - preparing a guide on school sanitation for use by the DWST.

### 5.2.5 Sanitation Clubs

At the school, hygiene, sanitation and AIDS action will be integrated into all school activities, both in the class and extra-curricula activities. Pupils will form **Sanitation Clubs**, which will be **role models** in practising good hygiene and sanitation. Specific activities at school will include:

- pupils will learn about hygiene, sanitation and HIV/AIDS prevention not only as examinable school subjects but also as practical habits for daily living;
- pupils will learn new habits (e.g. washing hands after using the latrine) and be encouraged to demonstrate and promote these new habits at home;
- pupils will be encouraged to clean and maintain the water and sanitation facilities; and
- school health clubs will promote hygiene habits and safe sex practice and take on practical activities (e.g. making simple hand washing facilities and mosquito traps and organising community health surveys).

### 5.2.6 School-Community Link

The school programme will be closely linked to the community water and sanitation programme.

1. The School Committee will work closely with the WATSAN Committee in planning and developing the new W&S facilities.
2. The plan for new school facilities will be incorporated into the community FMP.
3. The school sanitation club might be asked to conduct a health survey as part of the planning process; or help with the building of household latrines.

### 5.2.7 Household Sanitation

The second part of the sanitation and hygiene strategy focuses on household sanitation. Under the NRWSSP, household sanitation is based on the following principles:

1. Improvements in sanitation will depend on the household making a conscious decision to invest in sanitation based on a full understanding of choices and knowledge of responsibilities.
2. Sanitation must be demand driven, the household must be offered choice technologies from which he/she can choose from according to local conditions, hygiene habits and affordability.
3. Technologies must be affordable and sustainable over the long term by the household itself.
4. Promotion efforts must be local (community based) and long term.
5. Sanitation units must be made of locally available materials meaning that the capacity to fabricate and install must reside within the community if not in the household itself.
6. Improvements in sanitation don't happen by themselves. The DWST must take the lead in promoting and providing support to the sanitation project. It is as complex and difficult as improving water supplies. A commitment has to be made to undertake a well-directed and resourced effort for it to succeed.
7. 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. To achieve adequate coverage, each District will have to mount a strong promotional campaign over a period of at least four years.

### Steps/Activities:

- **Training and Demonstration** including orienting and training District staff in the technologies, promotional methods and setting up administrative and management system. Demonstration latrines are temporarily built in key locations available for inspection by the public where they can be properly maintained, such as the health clinics, schools open markets places and near the District Council buildings.
- **Training Masons** both men and women are trained in sanitation technologies and construction. Women masons are usually more active promoters and installers than their male counterparts. This is a result of women having a greater need of household latrines. Masons are certified as trained by the District.
- **Promotion of Latrine Construction** is primarily driven by the **Community Sanitation Clubs** to be formed, which promote latrine construction and hygiene use within their communities. The Sanitation Clubs also monitor construction quality and promote proper use of the latrines once installed. Others directly involved in promotion are the masons working with the profit motive.
- **Education** through (1) the local sanitation non-government organisation (NGO) which brings hygiene and environmental awareness to the community during their awareness campaigns and later during facilitation and training and (2) the primary schools.
- **Latrines** (of appropriate number and design) and improved water supply are installed for students and teachers at selected primary school in the project area. In collaboration with the teachers, women form a Sanitation Club to give hygiene education to the primary school students.
- **Construction and use of the latrines** will be the responsibility of the household. Support will come in the form of promotion and technical assistance through the community sanitation club and masons; subsidies for materials should be avoided as much as possible but if it becomes necessary it must be kept to an absolute minimum.

## 5.3 HIV/AIDS Prevention and Control

### 5.3.1 Introduction

HIV/AIDS is a new component within the water sector. HIV/AIDS has been integrated in the NRWSSP for several reasons, including:

1. The pandemic is adversely affecting the most productive section of the community, which would otherwise participate actively in constructing and managing the W&S facilities (e.g. capital and O&M contributions).
2. Women are at risk of being sexually attacked if they have to fetch water from far away places and especially if they have to do this in the late or very early hours of the day.
3. HIV/AIDS patients require plenty of water in order to maintain good sanitation.

### 5.3.2 Steps/Activities:

Similar approaches to those used for Hygiene and Sanitation will be used to make the community aware of HIV/AIDS prevention and control measures. However, it requires its own strategy, which is described below.

- **Start with Leadership Training:** The programme will start by training WATSAN and Animators on how to facilitate AIDS awareness, planning and action.

- **Collect Data and Develop a Plan:** Collect data on community high risk practices related to the spread of HIV, community perceptions on AIDS and services available (e.g. condoms, counselling, testing). Based on this data the WATSAN Committee and community will develop a plan for HIV/AIDS education and action, which will be incorporated into the FMP.
- **Organise Participatory Meetings.** The WATSAN Committee and corps will organise a series of community and peer group meetings (women, men and youth) using participatory methods and tools to:
  - build awareness that HIV/AIDS exists and people are at risk of getting it;
  - build commitment to do something about it;
  - personalise the risk of HIV infection and share information on modes of transmission and ways people can protect themselves;
  - analyse barriers to HIV/AIDS prevention (e.g. lack of access to condoms) and factors which promote HIV transmission (e.g. drinking, idleness among the youth, unemployment forcing young women into commercial sex, cultural practices such as widow inheritance, and religious beliefs);
  - decide on what can be done individually and collectively to minimise risks;
  - analyse the needs of HIV/AIDS affected household (e.g. effect on production and household workload) and advocate against exclusion or isolation;
  - decide on what can be done to support HIV/AIDS affected households (e.g. giving exemptions from water tariffs where they are unable to pay); and
  - implement the plan and organise monitoring and follow-up support.
- **Advocate New Ideas:** WATSAN and community leaders will promote:
  - recognition that AIDS exists and everyone is at risk;
  - empowerment – a feeling that people are not powerless, that people can do something to reduce the risk of HIV/AIDS;
  - collective action and mutual support – a commitment to work together to support each other and support AIDS affected households; and
  - work to get rid of stigma – break the exclusion, isolation and stigmatisation practised against People Living With AIDS (PLWA).

**HIV/AIDS awareness will be included in schools sanitation programme so that young people have the knowledge and confidence to practice safe sex.**

## 6. CAPACITY BUILDING AND TRAINING

### 6.1 Introduction

One of the major tasks of the DWST is to coordinate and monitor the capacity building and training of different actors involved in NRWSSP at the district and community levels. Different players at these levels need to acquire new skills and get sufficient knowledge on the new approaches to planning and implementation of the programme. The task of the DWST is:

- to regularly define training needs;
- to help to identify individuals to undergo certain training;
- to coordinate the training courses; and
- to organise appropriate monitoring and follow up of the training impact.

This chapter provides guidelines to undertake these tasks.

#### Objectives:

- orienting existing players such as Councillors, CMT members, water, health, community development staff and new players (e.g. FSPs and TSPs) to their new roles and NAWAPO principles and NRWSSP approaches and strategies; and
- developing knowledge, skills, attitudes and teamwork required by players at different levels so that they can carry out their respective roles more effectively.

### 6.2 Courses at District Level

The following courses have been designed for district level players and will be facilitated by the Training Consultants hired by the MoW:

Course	Trainees	Contents	Length
Core Training Workshop	DWSTs, FSPs, TSPs	<ul style="list-style-type: none"><li>• NAWAPO principles &amp; Policy Issues</li><li>• NRWSSP goals &amp; strategies;</li><li>• project cycle;</li><li>• community ownership &amp; management;</li><li>• players, roles, and relationships;</li><li>• facilitation skills;</li><li>• district W&amp;S plan;</li><li>• planning process &amp; FMP format;</li><li>• WATSAN Committee and User Groups;</li><li>• technical options;</li><li>• service levels and siting;</li><li>• raising money (commitment fees and O&amp;M);</li><li>• hygiene and sanitation;</li><li>• HIV/AIDS;</li><li>• gender;</li><li>• managing O&amp;M funds;</li><li>• monitoring and evaluation; and</li><li>• work planning and reporting.</li></ul>	5 days

<b>Course</b>	<b>Trainees</b>	<b>Contents</b>	<b>Length</b>
Training of Trainers (TOT)/Planning Workshops	Trainer – Coaches	<ul style="list-style-type: none"> <li>• training and coaching skills including sessions in planning and facilitation skills; and</li> <li>• familiarisation with core workshop training modules and methods.</li> </ul>	5 days
Regional Secretariat (RS) and Technical Support Units (TSU) workshop	RS-Water Sector Advisors and TSU Staff	<ul style="list-style-type: none"> <li>• NAWAPO Principles and Policy Issues</li> <li>• NRWSSP operational strategies;</li> <li>• district W&amp;S Plan;</li> <li>• project cycle;</li> <li>• players and roles;</li> <li>• coaching skills;</li> <li>• guidelines for Planning and Operating district W&amp;S grants; and</li> <li>• development of a W&amp;S monitoring plan.</li> </ul>	5 days
DWST Workshop	DWSTs	<ul style="list-style-type: none"> <li>• District Water and Sanitation Plan;</li> <li>• guidelines for Planning and Operating District W&amp;S Grants;</li> <li>• how to supervise / monitor service providers;</li> <li>• results based work planning and reporting;</li> <li>• procurement and contract management; and</li> <li>• vetting community applications and FMPs.</li> </ul>	5 days
FSP Workshop	FSPs	<ul style="list-style-type: none"> <li>• advanced facilitation skills;</li> <li>• participatory planning – PRA tools;</li> <li>• technical options;</li> <li>• service levels and siting;</li> <li>• trainer training for WATSAN Committees and user groups;</li> <li>• hygiene and sanitation;</li> <li>• HIV/AIDS; and</li> <li>• gender.</li> </ul>	4 days
TSP Workshop	TSPs	<ul style="list-style-type: none"> <li>• RWSS technologies;</li> <li>• survey;</li> <li>• supervision and quality control; and</li> <li>• community-based approaches and the project cycle.</li> </ul>	4 days
District Councillor/ Extension Staff workshop	Councillors and Council Field Staff	<ul style="list-style-type: none"> <li>• NAWAPO Principles and Policy Issues</li> <li>• NRWSSP goals and strategies;</li> <li>• project cycle;</li> <li>• building community ownership and management;</li> <li>• players, roles and relationships;</li> <li>• facilitation skills;</li> <li>• promotion and verification;</li> <li>• WATSAN Committee and User Groups; and</li> <li>• action planning</li> </ul>	1 day

### 6.3 Courses at Community Level

A capacity building process will be organised for water user communities, WATSAN Committees, WUEs User Groups, caretakers, operators and health volunteers. The objectives will be to:

- build community ownership and management of water and sanitation facilities and a planned process of hygiene/health improvement and HIV/AIDS action;
- form WATSAN Committees to initiate the planning process; and Water User Entities to manage and maintain the newly completed facilities and organise hygiene improvement;
- empower women and marginalised groups to take an active role in decision-making;
- promote hygiene and sanitation improvements and HIV/AIDS action; and
- develop skills for operating and maintaining the new facilities.

Capacity building at the community level will be organised by FSPs and TSPs as a core part of their work with communities to help plan and build W&S facilities and develop the skills to manage and maintain them. FSPs will train WATSAN Committees, Water User Entities and health volunteers; TSPs will train caretakers and operators. FSPs and TSPs will be trained in how to conduct such training events and they will be provided with relevant materials (e.g. trainer's guides).

Capacity building will be facilitated through village meetings open to all community members and training courses for specific groups. The meetings and training courses will be organised at each phase in the Project Cycle. At each phase, the community and WATSAN Committee (or Water User Entities) will discuss, decide, plan and take action on each issue.

Each workshop will be a one- or two-day course conducted by the FSP at the village level designed to introduce the skills needed for a specific phase. These discussions will be practical, focused on how the WATSAN Committee (or User Entity) will manage each of its tasks.

### 6.4 WATSAN Training

In the course of the implementation of the sub-projects WATSAN Committees - and later WUEs after the registration of the legal water user entities – the DWST will need to make close follow up on WATSAN training sessions to be carried out by FSP teams.

The following five specific WATSAN/WUG/WUA trainings must be carried out throughout the project cycle.

LEVEL	PHASE	TRAINEES	CONTENTS
Course I	Pre – planning and Planning	WATSAN Committee and VC leaders	<ul style="list-style-type: none"> <li>• WATSAN roles, organisation and meetings;</li> <li>• technical options, services levels and siting;</li> <li>• money – capital cost and O&amp;M funds;</li> <li>• practical plans for raising commitment funds;</li> <li>• hygiene, sanitation and HIV/AIDS;</li> <li>• preparing Facility Management Plan; and</li> <li>• action planning and evaluation.</li> </ul>



LEVEL	PHASE	TRAINEES	CONTENTS
<b>Course II</b>	Implementation/ Construction	WATSAN Committee and VC leaders	<ul style="list-style-type: none"> <li>• review of work/experience;</li> <li>• raising and solving problems;</li> <li>• organising and monitoring construction work;</li> <li>• selecting caretakers and arranging training;</li> <li>• raising and managing money;</li> <li>• record keeping (finances);</li> <li>• hygiene, sanitation and HIV/AIDS;</li> <li>• introduction to O&amp;M (money and technical issues); and</li> <li>• action planning and evaluation.</li> </ul>
<b>Course III</b>	Implementation/ Construction	WATSAN Committee and VC leaders	<ul style="list-style-type: none"> <li>• review of work/experience;</li> <li>• raising and solving problems;</li> <li>• organising and monitoring construction work;</li> <li>• selecting caretakers and arranging training;</li> <li>• raising and managing money;</li> <li>• record keeping (finances);</li> <li>• hygiene, sanitation and HIV/AIDS;</li> <li>• introduction to O&amp;M (money and technical issues); and</li> <li>• action planning and evaluation.</li> </ul>
<b>Course IV</b>	O&M/Follow-up	Water User Entities	<ul style="list-style-type: none"> <li>• WUE roles, organisation and meetings;</li> <li>• maintenance – caretakers, spare parts etc.;</li> <li>• collecting and management of O&amp;M funds;</li> <li>• record keeping;</li> <li>• hygiene, sanitation and HIV/AIDS; and</li> <li>• action planning and evaluation.</li> </ul>
<b>Course V</b>	O&M/Follow-up	Water User Entities	<ul style="list-style-type: none"> <li>• review of work/experience;</li> <li>• raising and solving problems;</li> <li>• review on maintenance;</li> <li>• review on money collection and management;</li> <li>• hygiene, sanitation and HIV/AIDS; and</li> <li>• action planning and evaluation.</li> </ul>

Caretakers will be trained through practical, on-the-job demonstrations and practice during the Implementation Phase and reinforced during the Follow-up Phase. Training will be organised by the Technical Service Providers and contractors, using trainer’s guides prepared by MoW.

Health volunteers, who are User Group members, will learn about hygiene, sanitation and HIV/AIDS issues through their participation in User Group trainings. Then they will be given two short additional trainings during the follow-up / O&M Phase.

### **FSPs and TSPs Training**

Training will build on skills that SPs already have. Training will be based on Capacity Building and Training (CB&T) strategy adopted by MoW and limited to high priority skill areas for which SPs need help.

#### **TOPICS FOR FSPs AND TSPs TRAINING**

- NRWSSP goals, strategies and approaches, players and roles;
- Practical interpretation of DRA and COM;
- Community Project Cycle;
- Participatory Planning: Process and outputs – FMP;
- Community facilitation skills and techniques; and
- Report Writing Skills.

## 7. MANAGING PROCUREMENT PROCESS

### 7.1 Introduction

Procurement of goods, works and services from service providers will be one of the Council's major tasks in the implementation of the NRWSSP. This chapter provides basic guidelines and procedures for procurement in order to ensure that the receipt of and payment for civil works, goods, training and consultancy services carried out under the NRWSSP is done in a manner that should satisfy all stakeholders. Councils are required to ensure that the process of procurement is done within the framework of an approved work plan and budget based on the community project proposals.

#### Who Participates?

DWST, CMT, Council Tender Board (CTB), MoW/RWSD, FSP, TSP and Community.

#### Objectives:

Procurement is about *“acquiring the right quantity and quality of materials or services at the right time from the right source at the right price”*.

### 7.2 What Goods and Services?

- **Supply of goods** such as supply of spares and equipment (e.g. pumps, generators, pipes, etc.);
- **Consultancy services** (e.g. training, community facilitation and mobilisation, surveying, siting wells, designing, construction supervision,); and
- **Civil works** (e.g. drilling, construction, repairs and maintenance).

### 7.3 Who Procures What Services?

Different players will be involved for different types of services, depending on the cost or availability of services.

1. Some services, which are relatively low cost and locally available, will be directly contracted by communities on their own (e.g. hand dug well construction, buying spare parts and contracting for repair services from skilled mechanics).
2. Other services, which are only available at the district or regional level, will be jointly contracted by the Council (e.g. Consultancy Service, Drilling Contracts, civil works including drilling construction community mobilisation and training, Supply of Pumps contracts and supplies of pump).

### 7.4 Packaging of Contracts

Most of the contracts procured at district level will be packaged so that the Service Provider provides goods or services for a number of communities as part of the same contract. For example TSPs and FSPs work will be packaged for several Communities in a particular LGA. Construction Contract packages may also involve one or several Communities.

## 7.5 Combination of Services

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

## 7.6 Steps in Procurement Process

The Council assisted by the MoW/RWSD will organise a process of competitive bidding to select Service Providers for various tasks. The normal steps, which must be followed, are described in the next section.

### **Step 1: Expression of Interest and Prequalification**

The Council will place advertisements in the local newspapers or public notice boards requesting eligible Service Providers to submit EOI or prequalification documents. Potential firms or individual consultants will express their interest in the advertised services and will provide their relevant experiences and capabilities to carry out such services.

### **Step 2: Invitation to Tender**

The Council, through the DWST and District Tender Board (DTB) will shortlist the most preferred firms/individual consultants and invite them to tender, prepare and submit technical and financial proposals.

### **Step 3: Preparations and Submission of Tenders**

Bids prepared by Service Providers will be delivered in sealed envelopes to the Council Tender Board within the deadline for submission.

### **Step 4: Opening Tenders**

Tenders will be opened in the presence of Service Providers who choose to attend.

### **Step 5: Evaluating Tenders**

The Tenders are evaluated by the DWST (or WATSAN Committee) and their recommendations submitted to the DTB for approval.

### **Step 6: Awarding Tender**

The DTB will award tender to the winning Service Provider who is assessed to be technically and financially superior.

### **Step 7: Negotiating and Signing Contract**

The winning Service Provider will be invited by the Council for negotiation where necessary. The Contract is signed by the DED, on behalf of the Council or one WATSAN Committee member, on behalf of the community and the winning Service Provider.

## **7.7 Supervision, Certification, Handing Over and Warranty**

In this final step the DWST and/or WATSAN Committee will supervise the Service Providers and verify that it has been completed satisfactorily. In some cases (e.g. large piped system) the work of supervision may be contracted out to a consultant who would supervise on behalf of the DWST. The overall aim is to ensure that the work complies with the design and satisfies standards of workmanship and quality; and that the materials supplied by the Service Providers are according to specification.

The council will appoint a Contracts Officer (usually the DWE) to be responsible for the management of the contract and monitoring of performance.

After the satisfactory completion of the works the contractor will receive a certificate of completion followed by Commissioning/handling over of the facilities to the Community.

In most contracts there will be a guarantee or warranty period during which the Service Provider is responsible for the repairs of any defects on the facility. In such cases part of the contract price will be retained by the client (Council or Community) until the end of the warranty period.

## **7.8 Procurement Methods**

### **7.8.1 Overview**

Procurement methods differ according to whether:

- the services provided are goods and works or consultancy services; or
- procurement is undertaken at the district level or community level.

To explain the procurement procedures, this sub-section is divided into two parts:

- procurement of Goods and Works; and
- procurement of Consultancy Services.

### **7.8.2 District Procurement of Goods and Works**

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

- Local Shopping (LS) or Direct Purchase (DP);
- National Competitive Bidding (NBC); and
- International Competitive Bidding (ICB).

The contract price range of each of the above types of procurement shall be as stated in PPA (2004).

### **7.8.3 Local Shopping**

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

The data for submission of quotations or proposals should be set ahead of time. Quotations or proposals must be opened at the same in the presence of at least three senior officers of the Council or WATSAN Committee. Suppliers should be invited to attend the opening of quotation.

The procedure for Local Shopping will be as follows:

- consult work plan and budget and determine works or goods to be procured;
- prepare specifications;
- invite quotations from a minimum of five selected suppliers/contracts;
- set date for submission of quotations;
- open quotations;
- examine bids for completeness;
- choose responsive quotations;
- evaluate and select lowest prices supplies/contractor/consultant;
- award contract; and
- monitor contract performance.

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

National Competitive Bidding is based on the principles of adequate competition, openness, and fair and equal treatment of all bidders according to pre-disclosed criteria. Advertisements will be placed in national or regional newspapers; and the Council will post invitations on local notice boards or distribute invitations directly to potential bidders. The invitation will indicate date and time for deadline for submission and place for public opening same date as the bids.

#### **7.8.5 The Procedures for NCB Procurement of Works**

- advertisement for pre-qualification;
- receipt and evaluation of pre-qualification responses;
- preparation of schedule of requirements;
- preparation of bidding documents;
- advertisements for bids (in case of no pre-qualification) or, invitation for bids (in case of pre-qualification);
- public bid opening;
- evaluation of bids;
- approval of contract award (as specified in procedures);
- notification of contract award;
- performance of contract; and
- contract supervision.

#### **7.8.6 Direct Purchase**

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

- very small value contracts;
- contracts in remote villages, where it is difficult to obtain competitive proposals;
- only one Service Provider is available;

- there is a need for continuity of work;
- community wants to contribute directly to implementing their own project;
- emergency procurement; and
- any other mitigating factor(s) approved by the responsible Tender Committee.

An example of “needs for continuity “is the re-hiring of the FSP who has already completed the first contract to assist a number of communities to prepare their FMP during the Planning Phase. If the FSP has done a good job, then there is a possibility to re-hire him to continue with the work during the Implementation and O&M Phases – and the contract would be negotiated as a Direct Purchase contract.

### **7.8.7 Procurement of Consultancy**

The box below lists the steps in the selection of Consultants/NGOs (TSPs/FSPs).

- identify need for consultant services;
- review and establish work plan setting targets of services;
- prepare TOR;
- advertise for the call for EOI Expression of Interest;
- evaluate EOI;
- short-list qualified firms;
- send Request for Proposal document 6-10 to short-listed firms to prepare proposals;
- receive proposals;
- evaluate technical proposals;
- notification to open financial proposals;
- evaluate financial proposals;
- select the winning firm (TSP/FSP);
- negotiate contract;
- sign contract;
- start up work;

### **7.8.8 Other Procurement Rules**

#### **i. Adherence to Government Procurement Guidelines**

All procurement will follow the Standard Tendering Procedures for Works Goods or Services using the PPA (2004) and regulations set forth in 2005 for procurement of Works/Goods and Services. .

#### **ii. Distribution of Contracts**

Copies of the final contract at any level will be prepared and distributed to the following: successful Service Providers, WATSAN Committee, DED, DT, Contract supervisor, MWLD/RWSD and PORALG.

#### **iii. Receiving / Inspection of Goods, Works and Services**

The Council must ensure that duties are separated so that no one person or group is responsible for more than one of the following functions associated with procurement:

- requisitioning;
- procurement;
- receiving and verifying stores; and
- auditing and verifying invoices.

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

At the time of delivery, if the service or good is rejected, a notification to that effect will be placed on the Service Provider's (SP's) delivery slip or a rejection letter written immediately to the SP.

A receipt of goods note or certification of completion of services (or a consultancy report) is the only authority for making a receiving report, which in the case of goods will include the issue of Goods Received Note (GRN), and a letter will be written confirming receipt of the services or the consultancy report.

#### **iv. Splitting Contracts**

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

#### **v. Contract Modifications**

Requests for any variation to the contract will be referred to the respective Tender Board for approval.

## 8. MANAGING PROGRAMME FUNDS

### 8.1 Introduction

One of the major tasks of LGAs is to manage the financial resources for Water and Sanitation to achieve the desired programme development objectives. To do this, effective financial management system, which include: planning, budgeting, disbursement, accounting, financial reporting, internal control, auditing and procurement has to be established.

### 8.2 Who Are Involved?

Financial management and accountability involves five major players within the Council: District Treasurer; District Executive Director; District Auditor; District Finance Committee; and the District Education/Health/Water Committee.

**i. DED** serves as the Accounting Officer under the Local Government Finance Act. She/He will be responsible for:

- Monitoring the financial system and ensuring that financial guidelines are followed.

**ii.** The **DT** will play the key role in setting up a financial and accounting system. She /He will be expected to:

- prepare in collaboration with DWE, Procurement Plans and budgets after FMPs have been received;
- maintain a safe accounting system including safekeeping of all accounting records;
- prepare Statements of Expenditure (SOE) and requests for replenishment of funds;
- prepare quarterly financial reports (as described below); and
- serve as member of the District Tender Board.

**iii.** The **District Internal Auditor (DIA)** will carry out regular audit verification and after completion of the project will check whether individual expenditures are fully supported by adequate documentation.

**iv.** The **FAPC** will control and supervise the finances of the Council and review each NRWSSP Procurement Plan produced by the Council.

**v.** The **FC** will make final approval of the procurement plan. [The District Finance Committee also serves as the District Tender Board.]

**vi.** The **EHW** will review the procurement plans and other financial proposals prepared by the DWST.

### 8.3 Conditions and Timetable for Release of Funds

1. The District will be required to submit quarterly Progress Reports and Action Plans to request funds.
2. PRs should specify activities carried out and expenditures on those activities.
3. Three documents to be submitted quarterly for accessing the Grant are:
  - Quarterly Progress Report;
  - Cumulative Progress Report; and



- Action Plan for Next Quarter.
- 4. Request should reach the MoW on or before the last working day of the first month after the close of the quarter.
- 5. MoW will analyse the reports and then advise MoF on the amount of funds to release
- 6. The request for funds should be approximately 25% of the annual budget.

## 8.4 Financial Management Reports

The District Treasurer will be expected to produce quarterly Financial Management Reports, which will provide input to the Financial Management Information System (MIS). These reports will be submitted along with the requests for replenishment of funds.

Each report will include:

1. Financial Statements —
  - Quarterly receipts and payments; and
  - Bank reconciliation statements.
2. Procurement Management Report —
  - Details of contract expenditure (works goods, and Consultants);
3. Project Monitoring Report —
  - Implementation status;
  - Analysis of variance of project costs against planned expenditure; and
  - Analysis of variance of physical output.

## 8.5 Financial Check by MoW

After receiving the Council progress report and request for replenishment, the MoW will conduct the following assessment:

1. **Completeness.** A report form will have been filled and signed by the appropriate LGA/WATSAN members. Original receipts and vouchers will be included, completed, signed and certified and there will be a recent bank statement and returned cheques.
2. **Internal financial consistency.** Statements of income and expenditures on the report form should tally with the documentation of expenditures, bank statements and returned cheques.
3. **Procurement justification.** Procedures for procurement should be followed. Prices should fall within the approved range of unit costs.
4. **Consistency with the projects.** The reported expenditures and purchases should be reasonably consistent with the project components and bills of quantities. Materials, labour and consultancies should be within the DWSPs. Cumulative level of expenditures should be consistent with the reported progress of the various projects under implementation.
5. **Consistency with other reports.** Other LGA reports on the programme implementation, such as supervision visits should be consulted for inconsistencies or problems with the implementation, which may influence justification of disbursement.

## 8.6 Audit

Financial auditing will be carried out annually to ensure adequate controls in the financial management system of the programme implementation. The National Audit Office or an independent auditor will conduct the audits.

The auditor will assess the LGAs programme accounts as well as national level programme accounts; and prepare a management report identifying weaknesses and making recommendations for improvement in programme implementation.

**Auditing of LGA accounts** will involve the following:

- Auditing of sample projects so that over a period all the projects under the programme are covered;
- Financial assessments;
- Assessment of both software and hardware outputs;
- Random physical verification of completed works in the communities; and
- Evaluation of procurement methods.

**The District Internal Auditor** will conduct regular audit verification preferably every month, and after completion of the project will check whether individual expenditures are fully supported by adequate documentation. The audits will include assessing the reliability and accuracy of the supporting documents to ensure that expenditures claimed are eligible for financing under the project and physical progress/completion of the projects. The DIA will prepare quarterly audit review reports and submit to DED, FAP and EHW.

## 9. MONITORING, EVALUATION AND REPORTING

### 9.1 Introduction

This chapter describes how, when, and by whom the programme performance, results and impact will be tracked and/or measured. Stakeholders at all levels will require reliable, updated and accurate information on the programme in order to assess and analyse its processes, inputs, outcomes and effects in order to establish a knowledge base and incorporate the lessons learnt in the future plans. The collected data/information will be linked to the DWSP, which will allow the LGA and other stakeholders to assess and report on the quality and quantity of work at each level and at any given period of time.

### 9.2 NRWSSP Monitoring and Evaluation

Monitoring is defined as:

**A continuous or periodic surveillance of the progress of a project or programme or a systematic observation and documentation of information on project/programme implementation.**

Evaluation on the other hand is:

**A periodic assessment of a project/programme (usually at the end of a phase of work) to determine the extent to which the actual progress in implementation conforms or deviates from the objectives.**

Both monitoring and evaluation (M&E) are tools, which will help the programme stakeholders to assess progress and the overall impact of the planned activities.

#### 9.2.1 Why Monitoring?

The primary purpose of monitoring of NRWSSP implementation shall be:

- to monitor programme progress towards attainment of targets and to adapt targets to realities;
- to provide an improved foundation for planning or re-planning;
- to make sure that resources are used effectively and to identify unacceptably high cost interventions and operations;
- to identify problems and their possible causes and most importantly find alternative solutions at an early stage;
- to provide record of events;
- to look at the process of development such as staffing, capacity building and collaboration;
- to provide an information base for future evaluations;
- to maintain high standards; and
- to help project/programme staff and communities feel that their work has a definite purpose.

## 9.2.2 Why Evaluation?

The purpose of evaluation is:

- to identify successes and failures of the work carried out in a given programme period;
- to assess relevancy of the programme objectives;
- to assess the development efficiency, effectiveness of the programme;
- to measure the results brought about by the programme (i.e. what impacts – positive and/or negatives);
- to examine the sustainability for lasting benefits of the investment; and
- to document lessons learnt which can be used for future improvement.

Though monitoring and evaluation are different roles, they are closely linked and mutually supportive. As processes undertaken within the life span of the programme, they are expected to provide the feedback and lessons that will help the NRWSSP to be steered to its goals. M&E results must therefore be timely and used.

Thus, both monitoring and evaluation shall be used as management tools to assist NRWSSP stakeholders to make decisions and improve performance and outputs. While monitoring will focus on the programme implementation process (i.e. inputs, resources and activities), evaluation will assess the impact of effects of the programme to determine whether the original objectives are being achieved and most importantly with a sustainable base.

## 9.2.3 Who shall be involved in M&E?

Under the NRWSSP, different stakeholders at different levels will carry out monitoring and evaluation. The rationale is to ensure that all the identified stakeholders have a stake in the undertakings of the programme and as such they need to participate in monitoring and evaluating physical and financial progress as well as impact.

Similarly, the MoW/ RWSD might prefer to appoint external reviewers in order to get a more objective assessment of the programme impact. But often the ministry in close collaboration with other line ministries and ESAs will conduct regular technical audits and to assess the extent to which the long-term and immediate objectives are being achieved.

The NRWSSP M&E system will be used at different levels in monitoring and will evaluate both physical implementation and financial inputs and expenditures in a given specific period. This system is in principle in congruency with the existing LGA M&E system and it will only be operational during the programme lifespan. Different stakeholders will undertake monitoring at different levels by measuring progress against the expected results by using the agreed indicators.

**M&E Levels are:**

### a) Community Level

Beneficiary communities shall be involved in M&E of the project in order to ensure that they are in the driver's seat, which is the basis for true ownership and management of the facilities. The FSP shall help the community to develop an M&E plan or checklists based on the FMP agreements and encourage them to use it in a participatory manner. The community M&E shall include:

- level and quality of services such as community facilitation, training, siting, drilling, civil works, spare parts or repairs, etc. provided to them by different actors (e.g. TSPs, FSPs, contractors, DWST);
- community management including WATSAN/WUA performance, money management, gender responsive participation, management of community conflicts, accessibility, water quality and quantity operation and maintenance performance, etc.;
- hygiene and sanitation behaviours, HIV/AIDS mitigation action and other related diseases; and
- environmental management (e.g. land use management practices).

Overall, the community should be able to assess the performance and impact of their project in terms of:

- increased participation of the community members in the planning, implementation and management of the facilities;
- increased access to water by human and livestock;
- improved hygiene behaviours and sanitation practices;
- adoption of preventive and control measures to HIV/AIDS;
- reduction in community conflicts related to water and sanitation; and
- self sufficient community water management systems.

In order to enable the community to participate effectively in the M&E, the following prerequisites are necessary:

1. The community project proposal must clearly identify a COMMUNITY MONITORING PLAN. The FSP will assist the community to develop a Monitoring Plan.
2. Full details of the agreement should be clear to all parties including the cost of the project, available funds, roles and responsibilities of different actors at the time of commencement of project implementation.
3. The DWST should ensure that communities are regularly kept informed on any changes or decisions about their project.
4. Communities are obliged to hold regular meetings to discuss project progress.
5. M&E checklist and other training materials should be available to the communities to enable them supervise and monitor various service providers (e.g. FSP, TSPs contractors, etc.).

#### **b) District Level**

The DWST is responsible for district level monitoring and evaluation of the NRWSSP. In the process the following key aspects will be measured:

- the level of community awareness on NAWAPO principles including roles and responsibilities;
- the level of community commitment, demand for water supply and community action on hygiene and sanitation behavioural change;
- programme performance and results of community participation;
- consistency of financial expenditures with plans and budgets; and
- performances and results (quality of work) of Service Providers (consultants, NGOs, CBOs), etc.

The major sources of information for district level monitoring and evaluation will include:

- baseline data collected prior to commencement of the project;

- community profiles;
- community work plans (e.g. FMP);
- progress reports by community level water user entities, FSPs, consultant, contractors, etc.;
- financial statements;
- district reports prepared on quarterly and annual basis;
- field visits to programme villages; and
- programme documents.

As a matter of procedure, the DWST will prepare regular reports with recommendations to the CMT, which shall also present them to the relevant Council Standing Committees. The reports shall finally be submitted to the Full Council for appropriate decisions. The Council will also send programme reports to the MoW and other line ministries including RS, PMO-RALG as required by normal administrative procedures.

### **c) National Level**

The Central Government in this respect represented by the MoW together with PMO-RALG, MoH, MoF, and M have the responsibility to inspect, monitor, evaluate and where necessary, provide technical advice, support supervision to ensure the implementation of the national policies and adherence to performance standards by the Council and the private sector service providers. In other words, the Central Government will monitor the programme to ensure that it is planned and implemented within the Local Government Medium Term Expenditure Framework (LGMTEF) in the LGA as well as in line with its investment plan and Local Government Financial Regulations (LGFR). Specifically the monitoring tasks of the national level stakeholders will focus on the following:

1. The National Audit Office (NAO) of MoF will carry out quarterly and annual monitoring visits to look at financial flows and value for money audits.
2. MoF will carry out implementation monitoring.
3. PMO-RALG and the RS will carry out periodic administrative and/or technical monitoring in order to provide necessary support to LGAs.
4. The MoW as a sector ministry responsible for water development will be charged through its RWSD to monitor and evaluate the NRWSSP in the following areas:
  - NAWAPO implementation (i.e. capacity building, role of stakeholders, poverty alleviation, etc.)
  - Performance and results/impact of the projects on the beneficiary communities
  - The extent to which the LGA through relevant Council Committees, the DWST and the service providers, are supporting communities.
  - Programme performances and impact on district, community and service providers.
  - Value-for-money auditing (i.e. whether financial expenditures are consistent with plans and budgets, technical quality assurance of works, compliance with financial regulations).
  - Progress and results on national level components such as policy development, capacity building, stakeholder collaboration, etc.

The major sources of the data for national level M&E will be from:

- community profiles;
- FMPs of projects;
- WATSAN/WUA, FMPs, work plans;

- district progress reports;
- periodic review meetings with all stakeholders (e.g. DWST, CMT, RWSD, FSPs and consultants);
- financial statements;
- periodic monitoring and supervision field visits;
- other relevant programme documents; and
- progress reports by consultants, community facilitation service providers, contractors, etc.

Respective ministries will collate the data obtained from these sources and add their own observations and analyses. They will also, if required, initiate additional M&E studies such as baseline studies, quality assurance, compliance with financial and procurement procedures, etc.

#### **d) Supervising Consultant Level**

Depending on the details in the Terms of Reference (TOR), the Supervising Consultant will undertake the following activities to be used as key instruments for project M&E:

1. At the conclusion of each contract, a completion report will be prepared by consultants and reviewed by the DWST.
2. The Social and Environmental Impact Monitoring and Evaluation Plan (EIMEP) shall be prepared and results reported.
3. The first report shall be submitted with the inception report and should carry baseline information on all indicators in the EIMEP.
4. The final report shall form part of the project closure covering the entire project.

### **9.3 Reporting**

Programme stakeholders at all levels are obliged to prepare various reports on timely basis in order to provide information for management to take appropriate action. Whereas the FSP and TSP will be required to prepare reports in accordance with their respective TOR, the DWST on behalf of the Council is expected to go through all these plus their own reports and compile them in order to condense them into programme quarterly and annual reports.

**The cumulative progress report will help DWST to prepare the following quarterly plan and budget.**

#### **9.3.1 Quarterly and Annual Progress Report**

The PPR will be on project progress, specifying actual physical implementation during the specific period and expenditures on these activities. The purpose of the quarterly or annual progress reports is to document the actual progress in activities in the quarter or year relative to what was actually planned, and what was spent on activities relative to the budget. Moreover, they will provide a basis for requesting replenishment of funds from MoF.

The quarterly physical progress report shall include the cumulative figures of the progress in implementation of the programme at the time of reporting. The physical implementation will be compared to the actual money spent in a given period. This will help DWST to plan for the remaining quarters in the financial year by providing information on:

1. How much of the planned activities in a financial year have been completed and how much is left to complete.
2. Whether any activities are running over or under budget, and hence any changes in the investment plan that might be needed.

### **9.3.2 Report Presentation**

In addition to the reporting formats each progress report shall have a brief narrative part consisting of:

- executive summary;
- summary of receipts and payments;
- implementation achievements;
- constraints/challenges;
- recommendations or remedial actions during the reporting period to address challenges.

Each report will have a covering letter from the DED briefly mentioning the purpose and the reporting period and if necessary highlighting areas on which Council would like to have specific assistance and from whom.

### **9.3.3 Report Circulation**

Programme progress reports will be distributed to the following stakeholders:

- a copy to all Permanent Secretaries (PS) of PMO-RALG, MoH, MCDGC, MoF – Attention: Designated NRWSSP Liaison Officer;
- a copy to the PS, MoW – Attention: Director, RWSD;
- a copy to each relevant LGA committee (i.e. DWST, CMT, EHWC, and FAP); and
- a copy to the Regional Administrative Secretary (RAS).



## 10. POST – IMPLEMENTATION SUPPORT

### 10.1 Introduction

After the completion of a new facility the FSPs and TSPs will provide follow-up support to the community through visits at specified intervals for 12 months. At the end of this period the FSPs and TSPs will phase out their work and withdraw the community. At this point there is a need for additional support to the community and WATSAN Committee/WUE. The project implementation period, which takes roughly 18 months, is not sufficient to make the community fully self-reliant in managing their facilities. They need a bit more help to consolidate their management system.

The Council has a responsibility to provide this ongoing support during the post-implementation phase. This chapter provides the guidelines for carrying out this follow-up support.

### 10.2 Why Follow-Up Support?

The broad GOAL of post-construction follow-up support is to:

Strengthen community management skills and systems so that the community can stand on their own feet and manage their new facilities on a sustainable basis.

The SPECIFIC OBJECTIVES of post-implementation follow up are to:

- check on how things are going and **identity problems**;
- help to **solve problems** where needed – problems requiring community solutions and problems requiring external solutions (e.g. lack of spare parts);
- provide **coaching** in weak areas (e.g. skills for negotiating with Area Mechanics);
- provide **additional training** on extra issues (e.g. legal framework, water rights);
- provide **information** on new opportunities (e.g. new technologies, sources of spares);
- support and encourage WATSAN/WUE managed **monitoring and evaluation**;
- promote **networking and collaboration** among WATSAN Committees/WUE;
- promote **renewal** within WATSAN Committees/WUE (e.g. reviews of money collection systems, regular elections, replacing caretakers and training new caretakers); and
- promote **planning for expansions or replacement** – assist communities to assess the feasibility and costs involved.

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