THE UNITED REPUBLIC OF TANZANIA

Ministry of Water and Livestock Development

District Operational Manual (DOM)

Rural Water Supply and Sanitation Programme
Acknowledgements

The **DISTRICT OPERATIONAL MANUAL** is one of the support manuals developed for the Rural Water Supply & Sanitation Programme. It will be used by District Councils to implement the pilot RWSS project and will then be revised on the basis of operational experience.

The contents for DOM were initially planned in a workshop held in Morogoro in October 2000 organised by the RWSSP Project Management Unit. Participants included District Water and Sanitation Teams and NGO/private sector representatives from the three pilot districts - Kilosa, Mpwapwa, and Rufiji.

After the workshop consultants produced a draft manual, using the workshop output and Project Operational Manual as starting points. The draft manual was reviewed at a workshop held in May 2001, attended by representatives from regional projects.

The manual has also benefited from the ideas and experience of a large number of collaborators - District Councils, community groups, Ministries, NGOs, external support agencies, and practitioners involved in regional water and sanitation projects.

Key contributors to the manual have included:
- Domestic Water Supply Programme
- Local Government Reform Programme
- Ministry of Community Development
- Ministry of Health
- Regional Water & Sanitation Group (East and Southern Africa)
- Tanzania Social Action Fund
- UNICEF
- Water Aid - Tanzania

The DOM Manual and other manuals have been produced through the kind assistance of the Regional Water and Sanitation Group of the World Bank (East and Southern Africa).

**DISTRICT OPERATIONAL MANUAL** is to be used by District Councils to manage their new responsibilities for water supply and sanitation. It will equip them with the skills, knowledge, and tools to plan and manage community water supply, sanitation, and hygiene.

DOM is one of a series of manuals produced to support implementation of the National Rural Water Supply and Sanitation Programme. Other manuals in the series include:

- **PROJECT OPERATIONAL MANUAL**: a guide on implementation of RWSSP for all players
- **TRAINER'S GUIDE FOR TRAINING DWSTs**: a guide to be used in training District Water & Sanitation Teams
- **PARTNER ORGANISATION (PO) MANUAL**: a practical guide for PO field workers on how to do their tasks in the Project Cycle
- **TRAINER'S GUIDE FOR PO TRAINING**: a guide to be used for the training of PO field workers
- **COMMUNITY MANAGEMENT MANUAL**: a manual to be used by community water user committees
- **TRAINER'S GUIDE FOR WUC TRAINING**: a guide to be used in training Water User Committees

**PROJECT MANAGEMENT UNIT**
**RURAL WATER SUPPLY DEPT**
**MINISTRY OF WATER AND LIVESTOCK DEVELOPMENT (MWLD)**
**TANZANIA**
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Welcome to the District Operational Manual. The manual is written for all of the actors at the district level involved in promoting water, sanitation, and hygiene, and in particular staff and members of the District Council. It will tell you all of the things you need to know to be able to plan and implement your own water and sanitation programme.

The Manual is divided into TEN chapters, plus a number of appendices:

CHAPTER 1 is an introduction to the Rural Water Supply and Sanitation Programme. It will explain the RWSSP and its goals and strategies and the role of the District Council and other players.

CHAPTER 2 looks at PLAYERS and their ROLES. It looks at each of the stakeholders involved in water & sanitation at the district level and explains their functions in RWSSP.

CHAPTER 3 looks at how the District Council can GET STARTED. It explains how the Council can organise itself to manage their own water and sanitation programme.

CHAPTER 4 looks at the PROJECT CYCLE - how to organise each of the steps in the process of planning and implementing community managed projects in water supply, hygiene, and sanitation.

CHAPTER 5 looks in more detail at the COMMUNITY DEVELOPMENT AND TRAINING process involved in building community based management.

CHAPTER 6 looks at HYGIENE EDUCATION, SANITATION PROMOTION, AND HIV/AIDS PREVENTION - how the DC can work with the community to promote increased awareness and practical action on hygiene, sanitation, and HIV prevention.

CHAPTER 7 looks at CONSTRUCTION - the different technologies involved, guidelines for each technology, and the steps in the construction process.

CHAPTER 8 deals with PROCUREMENT AND FINANCIAL MANAGEMENT - guidelines for procuring goods and services from the private sector; and guidelines for administering project funds.

CHAPTER 9 deals with TRAINING AND CAPACITY BUILDING - how the District Council can help to strengthen the skills of players at all levels.

CHAPTER 10 deals with MONITORING, EVALUATION, AND REPORTING - how the District Council can set up results-based M&E system to assess and report on results.
ABBREVIATIONS

CBO       Community Based Organisation
CF        Community Facilitator
COM       Community Ownership and Management
DC        District Council
DCDO      District Community Development Officer
DDF       District Development Fund
DED       District Executive Director
DFO       District Financial Officer
DHO       District Health Officer
DMT       District Management Team
DOM       District Ownership and Management
DPLO      District Planning Officer
DTB       District Tender Board
DWE       District Water Engineer
DWSP      District Water & Sanitation Plan
DWST      District Water & Sanitation Team
EHWC      Education, Health, & Water Committee
ESA       External Support Agency
FMP       Facility and Management Plan
M&E       Monitoring and Evaluation
MCDWCA    Ministry of Community Development, Women's Affairs, and Children
MIS       Management Information System
MWLD      Ministry of Water and Livestock Development
MOH       Ministry of Health
MRALG     Ministry of Regional Administration & Local Government
NGO       Non Governmental Organisation
O&M       Operation and Maintenance
PHAST     Participatory Hygiene and Sanitation Transformation
PMU       Project Management Unit
PO        Partner Organisation
POM       Project Operational Manual
RBM       Results Based Management
RWP       Rural Water Policy
RWSD      Rural Water Supply Department
RWSSP     Rural Water Supply and Sanitation Project/Programme
SPO       Service Provider Organisations
TASAF     Tanzania Social Action Fund
TSP       Training Service Providers
WATSAN    Water and Sanitation (Committee)
WDC       Ward Development Committee
WUC       Water User Committee
WIS/H     Water/Sanitation/Hygiene
Chapter 1 - Introduction

What is RWSSP?

The Rural Water Supply and Sanitation Programme (RWSSP) is a national programme to improve water supply, sanitation, and hygiene in rural villages and peri-urban communities of Tanzania. The programme is coordinated by the Ministry of Water & Livestock Development who work in partnership with district councils, communities, and the private sector to plan and implement water, sanitation, and hygiene projects. RWSSP is supported by the Government of Tanzania and several donor agencies.

RWSSP will assist:
- rural and peri-urban communities to develop communal water supplies
- rural/peri-urban communities to improve their hygiene and sanitation practices
- rural schools and clinics to develop water supply and sanitation facilities

But RWSSP is more than just boreholes, pumps, gravity systems, and 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!

Why RWSSP?

Many rural and peri-urban communities DO NOT HAVE a safe water supply and safe sanitation facilities. Only 46% of the rural population have access to safe drinking water facilities. Many communities depend on surface water from streams, ponds, or dugouts - and they use unsafe pit latrines or free-range defecation in the bush. Without safe water and safe latrines they get diseases such as diarrhoea and cholera.

Some rural and peri-urban communities HAVE safe water, but the supply is NOT DEPENDABLE. Many of these communities have boreholes and pumps, or piped systems, but many of these systems have broken down and arrangements for maintenance and repair are 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.

Many rural and peri-urban families do NOT PRACTICE HYGIENE as a daily part of their lives. In many cases they know hygiene messages, but do not practice them.

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

RWSSP has one broad goal:

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:

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:

- Give rural communities ACCESS TO ADEQUATE, SAFE, AND AFFORDABLE WATER AND SANITATION FACILITIES.
- Build a MORE SUSTAINABLE SYSTEM for water supply and sanitation.
- Promote GOOD HYGIENE PRACTICES in using water and sanitation facilities so that users will get the most out of them in terms of health.

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

TARGETS BY 2004:

- Increase water supply coverage from 46% to 55%.
- Achieve basic sanitation coverage (pit latrines) of 60%.
- 80% of systems are operating 24 hours a day.
Community Ownership & Management (COM)

Community ownership and management or COM is one of the main strategies adopted by the Tanzania Government to achieve the above goals.

In the past government and donors took the lead role in providing water facilities to communities. In this “provider” approach Government did everything to establish the new facilities in each community -

Government decided which communities should get new facilities.
Government selected the type of technologies introduced.
Government financed the costs for the new facilities.
Government sited and constructed the facilities.
Government maintained and repaired them.

The community were left out! They had no involvement in deciding, planning, financing, building, or maintaining the water supply. Their only role was to wait for government to give them water.

The community felt no sense of ownership or responsibility for the facilities. They just sat and let government do everything. When the facilities broke down, THEY DID NOTHING! They became dependent on government to provide water facilities and keep them going.

In the late 80s Government recognised that it could no longer play the “provider” role in rural water supply. It saw that it could no longer develop and maintain a vast network of boreholes, pumps, and piped systems in small rural communities across the country.

It also saw, from regional projects in community managed water supply, that communities, if properly mobilised and trained, could manage and maintain their own water facilities. For this to be successful communities would need to take ownership and responsibility for their water facilities and take a lead role in planning and developing them.

This new approach is to change the responsibility for water supply from government to the community. The idea is to involve the community and give them responsibility and ownership. It is called COMMUNITY OWNERSHIP AND MANAGEMENT (COM).
History of COM and DOM in Tanzania

Over the last four decades there have been many initiatives by government in various regions of the country to improve rural water and sanitation services, with the assistance of various donors. These projects often used different approaches and lacked a common overall guiding approach. Many of these projects adopted various aspects of community participation, but mainly used a "free water" delivery approach in which government planned, built, and maintained rural water services. Communities provided labour and materials for construction, but they made no financial contribution and had limited input to planning, development, and O&M. Financing and control largely remained with government. As a result communities felt no real sense of ownership of the facilities and largely depended on government to maintain them.

By the end of the 80s it was recognised that a new approach was needed to respond to the dual problems of low coverage of water supply services (less than 50%) and problems with government controlled maintenance. There was also a need to provide a common framework for rural water development in response to the lack of coordination and fragmentation in this sector.

In 1991 government introduced a new National Water Policy which abolished the concept of "free water" and replaced it with the concept of cost sharing; government would finance most of the capital with a small contribution from the community (to create a sense of ownership) and the community would finance 100% maintenance. The new policy also formally adopted the idea of community ownership and management (COM) - communities owning, developing, managing, and maintaining their own water supplies.

By the end of the 90s it was recognised that other changes were needed in the policies and strategies for rural water development. In particular there was a need to strengthen the role of local government in facilitating the new community ownership and management approach and the role of the private sector in providing a range of services. District Councils are closer to the ground and more familiar with the pressing needs of communities (than centralised planners) so they are in a good position to work with communities to build community managed water systems. The Assemblies 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 and sanitation facilities.

In 1999 a revised Rural Water Policy was developed to define this new, multi-partner, collaborative approach to rural water development. The new policy also defined the role of the community in the water development project cycle: communities would be expected to demonstrate their demand for water (demand responsive approach); contribute to capital costs (5%) and fully finance O&M costs; and take the leading role in planning, siting, building, and maintaining the new water facilities through an elected management committee.
New Players and New Roles

The proposed new decentralised system for Rural Water Supply and Sanitation will involve a network of players including:

- **Communities** who will plan their facilities and how they will manage them, help with and supervise construction, and manage completed facilities.
- **Rural Water Supply Department** in the Ministry of Water & Livestock Development who will be responsible for overall project implementation.
- **District Water and Sanitation Teams** (a unit within the District Council) who will do the overall investment planning, manage the contracting process, provide quality assurance and technical support, and coordinate players at the district level.
- **Partner Organisations** – small scale, locally based software specialists (private companies or NGOs) - who will carry out community mobilisation and capacity building at community level and help to prepare Facility and Management Plans.
- **Private sector service providers** who will provide borehole drilling, surveying, construction, construction materials, pumps, and spare parts.

The new policy reallocates roles among different stakeholders in supporting the development of rural water and sanitation facilities:

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<td>Community</td>
<td>Need identification, planning, participation in siting and construction, operation, and maintenance</td>
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<tr>
<td>Central Government</td>
<td>Policy formation, dissemination of information on policy, training/capacity building, coordination, monitoring, and regulatory functions</td>
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<tr>
<td>Local Government</td>
<td>Overall planning, resource allocation, and coordination of the implementation of community water projects</td>
</tr>
<tr>
<td>Private Sector</td>
<td>Provision of goods &amp; services for construction, maintenance, and software aspects (eg mobilisation and training)</td>
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Government's new role is to provide an 'enabling environment' within which all players - the community, private sector, and district assemblies - can operate effectively in establishing community managed water supply and sanitation.

Part of the context is the push towards decentralisation. With the new policy on local government reform district councils have much more autonomy to plan and implement locally based projects. With the district as the driving force and focus for rural development implementation district bodies are now taking on the leadership for infrastructural development, including the management of water and sanitation development. District bodies are now responsible for the overall process through which communities apply, get selected, receive training and support, and plan and implement their own water development process.
Strategies of RWSSP

COMMUNITY OWNERSHIP AND MANAGEMENT (COM) is the central strategy of the RWSSP. The community are 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 parts and repairs.

The other key strategies of RWSSP are:

- **Responding to demand**: The programme only assists communities which express a demand. Communities make a written request for a new facility and are assisted to develop a detailed proposal for this facility and then to construct it.

- **Cost sharing**: Communities contribute to the capital cost of water supply facilities to demonstrate a sense of ownership and their ability to cover costs; government or donors provide most of the funds for the capital cost (at a basic level); communities cover 100% of maintenance costs.

- **Four-way partnership**: Water supply and sanitation facilities are developed on a joint basis by the community, Central Government, District Council, and the private sector, with each playing a different role.

- **Central Government as facilitator**: Government no longer provides services - its role is to facilitate the involvement of all players and their capacity building and monitor the quality of work done by the private sector.

- **District Council - the focal point for decentralised implementation**: District Councils, as the arm of government at the district level, have a pivotal role to play in planning, supporting, and monitoring project implementation.

- **Private sector as provider of goods and services**: Private companies, local artisans, and NGOs are expected to provide various services eg mobilisation, training, siting, construction, spare parts supply, repair and maintenance.

- **"Some for all" rather than "all for some"**: The objective is to ensure that all communities have access to a minimum standard of water supply. Those communities that want a higher standard are expected to cover the extra costs.

- **Women's involvement**: 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 on all management committees.

- **Promotion of behavioural change**: RWSSP will not stop with the construction of water and sanitation facilities. Through hygiene education it will also encourage the hygienic use of these facilities in order to maximize health benefits.

- **Capacity building**: The new RWSS system involves new roles and skills and players at different levels will be trained for their new responsibilities.
How is RWSSP Implemented?

RWSSP is implemented through a partnership in which:

- Communities plan, finance, own and manage their water and sanitation facilities
- Private companies and NGOs provide services in community mobilisation, training, planning, design, construction, maintenance, and repair
- District Councils manage programme implementation at the district level
- Ministry of Water & Livestock Development carries out national planning, coordination, training management, regulation, quality control, and monitoring.
- Other Ministries - MCDWCA, MOH, and MRALG - assist with policy development and field implementation.

At the national level RWSSP is managed by the Rural Water Supply Department of the Ministry of Water & Livestock Development. This department has established a Project Management Unit to take full responsibility for RWSSP. The PMU carries out planning and training for RWSS development, coordinates the different actors, and supports District Councils to manage RWSS activities within their respective districts.

RWSD is supported at the national level by Ministries (MCDWCA, MOH, MRALG), external support agencies, and NGOs who form a Technical Advisory Committee to provide advice on policy and programme development. The Ministries also participate in the Inter-Ministerial Coordination Committee, which organises regular policy level reviews of the rural water supply and sanitation programme.

At district level the District Council has the overall responsibility for RWSSP. Each Council will set up a District Water & Sanitation Team (DWST) made up of district heads of water, community development, and health to plan and manage the RWSSP on behalf of Council. DWST is responsible to the District Management Team (DMT) and the Education, Health, and Water Committee, which guides and monitors its work. Key decisions (e.g., approving district W&S plan or selecting communities) will be discussed in the EHW Committee and forwarded to the Full Council for final approval.

Councillors and extension workers will promote the programme at ward and village levels and communities will respond with written requests for help. The Council will select a number of communities to be assisted; then a team of Community Facilitators (CFs) will be assigned to work with each community to form a management committee, prepare a detailed proposal (Facility Management Plan), and raise capital contribution.

The DC will review the proposals submitted and select those communities to be assisted. It will then hire contractors and local service providers (private companies or NGOs) to work with the communities to construct the new water facilities and train the caretakers. At the same time, the Community Facilitators will assist the community to strengthen its management system and promote hygiene and sanitation. The contractors, Service Providers and Community Facilitators will be supervised by DWST.

Each community will select caretakers to look after the water point and carry out regular maintenance and small repairs. Major repairs will be carried out by mechanics (local service providers) on a fee-for-service basis.
RWSSP Components

Water Supply
Communal facilities providing a basic level of service, with communities paying 5% of the capital cost (in cash) for:
- Communities with populations ranging from 250 to 10,000
- Maximum of 250 people per water point within a 400 metre radius
- Providing 25 litres of water per person per day
- Dug wells and boreholes with handpumps for communities below 2,000 population
- Gravity fed piped systems for communities where technically feasible
- Mechanised boreholes for some communities above 2,000 population

Sanitation
- Sanplats/slabs on pit latrines in areas where soils are stable at household level
- Dome slabs on pit latrines in areas where soils are loose at household level
- Ventilated improved latrines (VIPs) at schools and health institutions

Hygiene Education
- For communities, as part of the organisation and planning process for water supplies and as a form of user education once the facilities are constructed.
- For schools, linked to assistance for communities.

What Type of Facilities?

Communities will be able to choose the type of water supply facilities that they want, can afford, and can maintain. Individual households will also choose the type of latrine they want and can afford. Communities will be provided with adequate information to enable them to make an informed choice on the appropriate water supply technology.

The WATER SUPPLY options include:
- SPRING PROTECTION (source improvement)
- HAND DUG/HAND DRILLED WELL WITH HANDPUMP
- SHALLOW OR DEEP BOREHOLE WITH HANDPUMP
- PIPED SYSTEM - GRAVITY
- PIPED SYSTEM - PUMPED
- DAM (where no other option available)
- RAINWATER HARVESTING
- BOREHOLE REHABILITATION AND CONVERSION TO VLOM PUMP
- PIPED SYSTEM REHABILITATION

The LATRINE options include:
- SINGLE PIT VIP LATRINE
- MOZAMBIQUE TYPE LATRINE (non-reinforced concrete slab)
- SANPLAT LATRINE (reinforced concrete slab)
Managing the Donors

RWSSP is being funded by a number of donors and the Government of Tanzania who are supporting water supply and sanitation projects in different regions and districts. The main donors and the projects they are supporting or have supported are:

<table>
<thead>
<tr>
<th>DONOR AGENCY</th>
<th>DISTRICTS AND PROJECTS</th>
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<tbody>
<tr>
<td>International Development Agency (IDA) - World Bank</td>
<td>RWSSP - initial pilot in 3 districts, then expanding to 12 districts</td>
</tr>
<tr>
<td>Denmark - DANIDA</td>
<td></td>
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<tr>
<td>Britain - Department for International Development</td>
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<tr>
<td>France - Agence Francais de Developpement</td>
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<tr>
<td>Germany - GTZ</td>
<td>Village Water Supply Project</td>
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<tr>
<td>Japanese International Cooperation (JICA)</td>
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<tr>
<td>Netherlands - Royal Netherlands Embassy</td>
<td>Domestic Water Supply Project (Shinyanga and Morogoro)</td>
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<tr>
<td>Sweden - Swedish International Dev Authority</td>
<td>HESAWA</td>
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<td>UNDP</td>
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<td>UNICEF</td>
<td>PHAST</td>
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</table>

In addition to these projects, water and sanitation is a component of some large rural development projects, such as the Tanzania Social Action Fund (TASAF). There are also a number of other NGOs (eg Care, Caritas, Concern, OXFAM, Plan International, Water Aid, World Vision) who support community W&S projects in different regions.

This manual is not specific to any one project. It is meant to be a generalised resource to the District Councils, helping them manage community water supply & sanitation projects, no matter the source of funding. In the end the aim is to create a common process which can be applied to all donor projects. District Councils will need to learn how to manage funding from a number of donor sources.

While District Councils can benefit from donor aid, they should not allow donors to dictate guidelines which work against the objectives of the RWSSP. All donors should be asked to comply with RWSSP policies (eg community management, 5% contribution to capital, software before hardware, etc). District Councils are in charge so they can set the rules and ask donors to follow them.
Role of the District Council

The District Council is a central player in the Rural Water Supply and Sanitation Programme. It is the manager of implementation at the district level. The District Council will provide the overall leadership and planning for W&S development in the district, foster community initiative, and control and coordinate the services of the private sector. This central role in managing implementation is in line with the decentralisation policy, which transfers authority and responsibility from Central Government to District Councils.

This is a new role for district institutions. In the past central government or donors took the lead in implementing water projects. As a result many district bodies sat back and waited for donors to deliver water and depended on donors to fund water and sanitation.

Now the District Councils are in the driver's seat. They are expected to be directly responsible for the development of water and sanitation in their districts. They no longer need to wait for the regions to take initiatives. They are expected to provide a clear plan and vision for water development and to coordinate investments from different sources.

In implementing RWSSP in the district the District Council has the following roles:
- Preparation and review of annual district water supply and sanitation plans
- Information dissemination on RWSSP and encouraging communities to participate
- Selecting interested communities to be assisted
- Appraisal of Facility Management Plans and proposals for assistance
- Contributing their own funds to the financing of community projects (where possible)
- Contracting private sector to provide goods and services on behalf of communities
- Auditing, reporting and monitoring of community projects.

How these roles are divided among different sections of the District Council will be discussed in the next section.
Chapter 2 - Players, Roles, and Relationships

Introduction

This chapter looks at the players involved in water and sanitation at the district level; their roles and responsibilities; their reporting relationships; and the other players with whom they collaborate.

The following players take important roles in the development of rural water and sanitation:

1. DISTRICT COUNCILLORS
2. EDUCATION, HEALTH, AND WATER COMMITTEE
3. DISTRICT COUNCIL LEADERS
4. DISTRICT WATER AND SANITATION TEAM
5. WATER DEPARTMENT
6. OTHER DC DEPARTMENTS
7. DISTRICT TENDER BOARD
8. DISTRICT TREASURER
9. EXTENSION WORKERS
10. WARD DEVELOPMENT COMMITTEE
11. VILLAGE GOVERNMENT
12. VILLAGE HEALTH AND WATER COMMITTEES
13. WATER AND SANITATION (WATSAN) COMMITTEE
14. USER COMMUNITIES
15. SERVICE PROVIDERS
16. TRAINING SERVICE PROVIDERS
17. NGOS AND DONOR AGENCIES
# District Councillors

**Who?**

Elected politicians, each representing an electoral area. Members of District Council, Council committees, and Ward Development Committee

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<tr>
<th>Report to:</th>
<th>Supervise/Monitor:</th>
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<tbody>
<tr>
<td>• Full Council</td>
<td>• Council staff</td>
<td>• Village Governments</td>
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<td>• Constituents</td>
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<td>• Ward Dev. Committees</td>
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<td>• Service Providers</td>
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**Role Description:**

District Councillors play two roles in RWSSP - as community leaders in their own areas and as policy makers in the Council. As *community leaders* they help to explain RWSSP, encourage the community to participate, relay community applications and proposals to the Council, and support community efforts to develop their own W&S facilities. As *policy makers in the Council* they help to develop W&S plans, select communities to be assisted, and monitor progress.

**Detailed Tasks:**

- Participate in policy making on water and sanitation issues
- Approve District Water & Sanitation Plan and annual W&S plans
- Inform communities about W&S programme and how they can participate
- Distribute application forms and help communities complete them
- Advise on community planning of W&S facilities and proposal writing
- Encourage communities to raise funds and open bank account
- Monitor progress at the community level and help to solve conflicts
- Serve as role models promoting the adoption of new H&S practices
- Organise followups at the District Council on behalf of the community

**Special Note:**

District Councillors can play an important role in promoting RWSSP and supporting community efforts, but they need to be kept informed.
# 2 Education/Health/Water Committee

## Who?
Sub-committee of District Council

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<td>• Full Council</td>
<td>• DWST</td>
<td>• DWST</td>
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<td>• Water Department</td>
<td>• Service Providers</td>
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</table>

## Role Description:
This sub-committee of the Council deals with social sector issues, including the promotion and support for community-managed water and sanitation facilities. The committee discusses policy issues on water and sanitation and makes proposals on the allocation of resources for water and sanitation.

Their recommendations are sent to the Full Council for final approval.

## Detailed Tasks:
- Provide input for and approval of District Water and Sanitation Plan
- Sponsor promotion campaigns to inform communities about RWSSP
- Prioritise applications and decide which communities will be assisted through RWSSP/DWSP
- Approve W&S proposals submitted by communities
- Make decisions on Council budgets for W&S development
- Approve short list of potential Service Providers
- Monitor use of the District Water and Sanitation Fund
- Review implementation progress and facilitate problem solving.
- Develop bye-laws to support W&S development at the community level.
- Foster increased involvement of private sector and NGOs as implementing agencies in the delivery of W&S support services
- Register and authorise Water & Sanitation Committees to represent villages in managing water and sanitation facilities
- Provide a legal framework for safeguarding ownership of water supply schemes by Water & Sanitation Committees
# District Council Leaders

## Who?
- District Executive Director (DED)
- District Commissioner
- Council Chairperson

## Role Description:
The District Executive Director, District Commissioner, and Chairperson of the District Council are largely responsible for the coordination and direction of the Council's business. They provide the leadership for discussions in the Council and manage the planning and administrative machinery which implements its decisions. They also lead the District Management Team which oversees the work of the District Water & Sanitation Team.

So their commitment to the W&S issue is important: where they are committed to this issue, they can advocate on its behalf in the Council, help to secure funds and resources, and arrange the full backing of the relevant departments.

## Detailed Tasks:
- Guide, support, and monitor the work of the DWST
- Sign Memorandum of Understanding with RWSD (MWLD)
- Sign Memorandum of Understanding with communities
- Sign contracts with Service Providers
- Approves claims submitted by service providers and suppliers

## Special Note:
DED, DC, and Council Chairperson are busy people so getting their attention and keeping them regularly briefed about the W&S issues is very important.

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</table>
# District Water & Sanitation Team

## Who?

Team of 5 district heads -

- **DED** → Chairperson/team leader
- **DPLO** → Deputy chair/team assistant
- **DWE** → Coordinator/secretary
- **DCDO** → member
- **DEHO** → member

## Report to:  Supervise/Monitor  Collaborate with:

- **DMT**  - Extension Workers  - NGOs
- **EHW Committee**  - Service Providers

## Role Description:

DWST provides the day-to-day leadership and coordination for W&S activities in the district. The team plans and manages the Council’s W&S programme, carries out planning and administrative tasks to support the programme, serves as the communication link with all stakeholders in the district, and supervises and supports private sector service providers and suppliers.

## Detailed Tasks:

- Inform and consult DA structures eg Full Council, Education/Health/Water Committee, department heads (DMT), District Tender Board, etc
- Coordinate and liaise with MWLD, donors, NGOs, other external agencies
- Organise data collection & analyse data on W&S service levels and needs
- Develop and manage a data base on water and sanitation
- Prepare District Water and Sanitation Plan (DWSP) and annual plans
- Organise demand creation through Councillors & extension workers
- Appraise applications and proposals produced by the community
- Consolidate community proposals and prepare consolidated budget
- Organise training of extension workers, service providers, communities
- Facilitate contracting to service providers - adverts, technical evaluation, preparation of tender documents, support to DTB meetings.
- Supervise extension workers and private sector service providers
- Manage funds allocated for water and sanitation
- Administration eg writing progress reports, bid evaluation reports.
- Trouble-shooting - help solve conflicts and problems at different levels
- Organise monitoring and evaluation of W&S projects
- Provide continuous backup support to communities
# Water Department

## Who?

The Water Department includes supervisory staff (District Water Engineer and supervisors) based at district headquarters and field based technicians.

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<th>Report to:</th>
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<tr>
<td>DED</td>
<td>Extension Workers</td>
<td>Other Council Departments</td>
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<td>DMT</td>
<td>Service Providers</td>
<td>Service Providers</td>
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</table>

### Role Description:

The Water Department serves as a focal point for rural water and sanitation development in the district. As secretary to the DWST the District Water Officer takes a leading role in coordinating DWST activities.

Field based water technicians make regular visits to the communities to advise communities on water & sanitation, check on the work of service providers, and monitor the community’s own progress in improving their water and sanitation. They work under the supervision of the District Water Engineer and DWST.

### Detailed Tasks:

- Collect baseline data on water and sanitation in the district
- Disseminate information about and application forms for RWSSP
- Assist in vetting community applications and proposals
- Help with the preparation of the District W&S Plan and annual plans
- Provide technical support for the construction of new water facilities
- Introduce private sector service providers to the communities
- Monitor the work of private sector service providers
- Prepare reports on field activities for the EHW Committee
- Monitor and facilitate protection and conservation of water catchment areas
## Other Departments

### Who?
- Environmental Health Department
- Department of Community Department
- Education Department

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<td>DMT</td>
<td>Service Providers</td>
<td>NGOs</td>
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<tr>
<td>EHW Committee</td>
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### Role Description:

Apart from the Water Department, the Council has a number of departments which have a responsibility for water, sanitation, and/or hygiene eg Environmental Health, Community Development, and Education. Some of these departments are already involved through their participation in the DWST, but they should also contribute through the work of the department.

For example Health Assistants, who are part of the Health Department, can assist with hygiene education and sanitation promotion; they can also provide advice to communities once the service providers phase out their activities. Community Development Assistants have the skills to advise communities on how to build strong water user committees. All of these departments should be incorporated into the district strategy for W&S development and invited to all stakeholders' meetings.

### Detailed Tasks:
- Participate in formulation of District Water and Sanitation Plan
- Inform communities about W&S programme and how they can participate
- Distribute application forms and help communities complete them
- Advise on community planning of W&S facilities and proposal writing
- Monitor progress at the community level and help to solve conflicts
- Provide followup technical advice to communities once service providers complete their work
7 District Tender Board

Who:

Subcommittee of the District Council. Technical staff of the Council, including the DPLO, are advisory members. (Often the DWST will prepare a technical report to be discussed by the DTB.)

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<th>Report to:</th>
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<tr>
<td>District Council</td>
<td>Council staff who prepare Tender Board documents</td>
<td>DWST</td>
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</table>

Role Description:

The District Tender Board manages the letting of all contracts awarded by the District Council, including those for water and sanitation. The DTB is responsible for reviewing tenders, making recommendations for the award of tender, and monitoring contracts.

Detailed Tasks:

- Register potential contractors or service providers
- Prepare TORs and tender documents
- Publish invitations for tender
- Invite communities to participate in bid evaluation
- Evaluate tenders
- Approve the award of contracts
- Monitor implementation of the contract
## District Treasurer

**Who:**
Head of the Financial Section of District Council

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<tr>
<th>Report to:</th>
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<td>• District Council</td>
<td>• Finance Department staff</td>
<td>• DWST</td>
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<td>• DMT</td>
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**Role Description:**
The District Treasurer manages and coordinates all financial decision-making and reporting related to the District Water & Sanitation Fund.

**Detailed Tasks:**
- Oversee the preparation of consolidated budgets based on proposals submitted by individual communities.
- Facilitate payments to all service providers and suppliers.
- Prepare Statements of Expenditure
- Check that all financial activities follow the financial guidelines.
- Maintain financial records and documents
- Prepare financial reports for DWST.
## 9 Extension Workers

### Who?
Field workers employed by Community Development, Environmental Health, and Water Departments.

### Report to:
- Dept. heads
- DWST

### Monitor:
- Service Providers

### Collaborate with:
- Ward Dev. Committee
- Service Providers
- Watsan Committees

### Role Description:
Promotion to encourage communities to participate in RWSSP and support to communities once POs phase out their work.

### Detailed Tasks:
- Inform communities about W&S programme and how they can participate
- Distribute application forms and help communities complete them.
- Verify community requests to check that the information is correct and that there is a strong/organised demand for water facilities.
- Facilitate full community participation in planning & implementation
- Facilitate formation of and train Water & Sanitation Committees
- Facilitate community planning of W&S facilities and proposal writing
- Collect baseline data on community with help from Watsan Committee
- Facilitate money collection and management by Watsan/community
- Facilitate hygiene education and sanitation promotion by Watsan
- Facilitate community managed system for operation & maintenance
- Monitor the services of drillers, civil works contractors, installers
- Monitor progress at the community level and help to solve conflicts
- Make notes on field work and produce monthly reports to DWST

### Special Note:
At present field work to facilitate community managed water supply is carried out by government extension workers. There are plans, however, to make this one of the services provided by NGOs or private companies.
## Ward Development Committee

### Who?

A committee made up of District Councillors and representatives of Village Governments. It is responsible for a sub-district area covering a number of villages.

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<tr>
<th>Report to:</th>
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<th>Collaborate with:</th>
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</table>
| - District Council | - Village Government  
- Watsan Committees | - Extension Workers |

### Role Description:

WDC plays a link role between the village and the Council and a planning and support role for W&S initiative within the sub-district. The WDC shares this link role with District Councillors and Village Governments. The WDC, Councillor, and Village Government help to identify development needs, relay these needs to the Council, and monitor development projects in their respective areas.

### Detailed Tasks:

- Inform communities about W&S programme and how they can participate
- Distribute application forms & encourage communities to complete them
- Receive requests for W&S assistance from the village and pass them on to the Council.
- Help support the formation of Water & Sanitation Committees.
- Monitor progress at the community level and help to solve conflicts

### Special Role:

The WDC has a special role to play in developing and monitoring GRAVITY PIPED SCHEMES, which often cover more than one village. Their role is to:

- Help facilitate agreement among participating villages.
- Facilitate the formation of a project management committee with representation from all participating villages.
- Play an ongoing monitoring role to ensure sustainability of the scheme.
11 Village Government

Who?

Committee made up of ordinary community members which is responsible for development planning and monitoring in a single village.

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<tr>
<th>Report to:</th>
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<tbody>
<tr>
<td>Ward Development Committee</td>
<td>Village Health &amp; Water Committees</td>
<td>Watsan Committees</td>
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<td></td>
<td>Watsan Committees</td>
<td>Extension workers</td>
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<td>Service providers</td>
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</table>

Role Description:

Village Government, like the Councillor and WDC, plays a link role between the village and the District Council and a planning, monitoring, and support role for W&S initiative at the community level.

Village Government is the overall development authority for a single village. The VG has a broader mandate than the Village Health Committee, Village Water Committee, or Watsan Committees, which are solely concerned about health, water and sanitation. The Village Government provides oversight and coordination for all village level development activities, including W&S projects.

Detailed Tasks:

The Village Government can support user communities to plan and develop their own water facilities -

- Foster community participation and mobilisation
- Inform user communities about RWSSP and how to participate
- Assist them to write applications and prepare proposals
- Assist them to form Water & Sanitation Committees
- Relay applications & proposals to the Council (via WDC)
- Sign project agreements with the community
- Help mobilise communal labour for W&S activities
- Monitor progress at the community level and help to solve conflicts
12 Village Health & Water Committees

Who?

Village level committees which are responsible for health and water supply planning respectively for the whole village.

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<tr>
<th>Report to:</th>
<th>Monitor/supervise:</th>
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<tr>
<td>Village Government</td>
<td>• Watsan Committees</td>
<td>• Extension Workers</td>
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<td>• Watsan Committees</td>
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</table>

Role Description:

The Village Health Committee and Village Water Committee promote health/ hygiene and water issues respectively and serve as planning and lobbying bodies for health and water development in the whole village. These committees are subcommittees of the Village Government.

Detailed Tasks:

- Facilitate community meetings on hygiene and sanitation promotion
- Identify need for water facilities in different sections of the community and help “user communities” prepare applications and proposals
- Help facilitate the formation of Water & Sanitation Committees
- Monitor progress at the community level and help to solve conflicts
- Set and monitor village bye-laws on water, sanitation, and health

Special Note:

VHC is closely linked to the work of the health department and its field staff. Historically it has played an important role in mobilising the community during epidemics (eg cholera).
13 Water & Sanitation Committee

Who?

There are 2 types of water/sanitation committees -

a) Water Point Committee which manages a single water point (eg borehole/hand pump);
b) Gravity Scheme Committees, which manage piped systems covering one or more villages.

Both types of committees need legal status to open a bank account and own a water facility.

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<th>Report to:</th>
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<tr>
<td>• Village Government</td>
<td>• Pump Caretaker</td>
<td>• Village Government</td>
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<td></td>
<td>• Service Providers</td>
<td>• VWC, VHC</td>
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</table>

Role Description:

Water Point Committee (WPC) manages a single pump or standpipe, often serving one section or area of a village. It is elected by and accountable to the users of the water point - the "user" community. The WPC works with the "user community" to plan and build the new facility and once it is built to maintain and operate it, using funds raised from its section of the village.

Detailed Tasks:

• Conduct community meetings and WPC meetings
• Brief the community regularly and gets their ideas
• Raise and manage funds and other resources
• Keep records on meetings, money raised/spent, and repairs
• Lead the community in planning and helping to build new water facilities
• Sign work agreements with service providers, monitor their activities, and sign off on completed work
• Manage use of the pump/borehole and distribution of water
• Organise pump maintenance/repair carried out by caretakers
• Hire outside mechanics when needed
• Organise communal labour for site cleaning and maintenance
• Facilitate hygiene education and sanitation promotion
• Monitor activities and results and use this to improve management
14 Piped Scheme Committees

Who?

Series of committees at different management levels in a piped scheme:

- **PROJECT OR MAIN COMMITTEE** - management committee for the whole project - includes representation from all participating villages
- **SECTION & BRANCH COMMITTEES** - operate only during the construction phase - they are responsible for the section and branch lines
- **VILLAGE COMMITTEE** - operates only during the construction phase - mobilises community labour for construction and sites taps
- **REPAIR TEAMS** - maintain and repair pipelines during O&M phase
- **TAP COMMITTEES** - maintenance team for a single tap during O&M phase

<table>
<thead>
<tr>
<th>Report to:</th>
<th>Monitor:</th>
<th>Collaborate with:</th>
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</thead>
<tbody>
<tr>
<td>- District Council</td>
<td>- Service Providers who construct the scheme</td>
<td>- Ward Development Committee</td>
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<tr>
<td>- Ward Development Committee</td>
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<tr>
<td>- Communities</td>
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</table>

Role Description:

Piped Scheme Committees: Piped schemes are more complicated to manage than single boreholes and involve a more complex management structure covering several villages. Usually this involves the following committees:

- **Project or Main Committee**, which provides the overall planning and leadership for the whole scheme during construction and O&M phases
- **Section & Branch Committees**, which organise trench digging for section/branch lines and supervise Village Committees during construction
- **Village Committees**, which mobilise and supervise villagers during construction and select standpipe sites
- **Repair Teams**, which repair pipe breaks and leaks during the O&M phase
- **Tap Committees** which care for taps, standpipes, aprons, soak pits, and tap site; and collect money to pay the caretaker, purchase taps, etc.
User Communities

Who?

Community members who use a water facility.

<table>
<thead>
<tr>
<th>Report to:</th>
<th>Monitor:</th>
<th>Collaborate with:</th>
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</table>
|           | • Watsan Committees  
|           | • Service Providers |
|           | • Village Government |

Role Description:

User communities are clusters of households who use a water facility. In the case of a point source (single borehole/pump) the user community will consist of a cluster of households or a section of a village. In the case of a gravity piped scheme the user community might involve several villages.

The “user community” are the primary client for the community W&S development process. They make a demand for new W&S facilities and are then assisted to develop these facilities.

Detailed Tasks:

- Identify needs and make a formal request for assistance from DC
- Form management committee (eg WPC or Gravity Scheme Committees)
- Participate fully in planning, designing, and constructing water facility
- Contribute in cash and kind to capital and maintenance funds
- Prepare a community water proposal - Facility Management Plan
- Choose type of water technology and assist with site selection
- Enter into agreement with District Council and service providers
- Contribute labour and materials for construction
- Monitor the work of service providers
- Own and be responsible for water facilities
- Select and support caretakers
- Construct sanitation facilities and improve hygiene practices
- Monitor and evaluate
16 Service Providers

Who?

Private sector consultants, contractors, suppliers, and NGOs operating within the district, the region, or in some cases at the national level. These organisations are expected to compete for contracts to deliver goods and services to communities to support the development of new facilities.

<table>
<thead>
<tr>
<th>Report to:</th>
<th>Collaborate with:</th>
</tr>
</thead>
<tbody>
<tr>
<td>• District Council (DWST)</td>
<td>• Extension Workers and POs</td>
</tr>
<tr>
<td>• Community (Watsan)</td>
<td>• Community</td>
</tr>
</tbody>
</table>

Role Description:

Provide services to communities in the following areas:
- Design of water supply and sanitation facilities
- Siting and surveying
- Construction - borehole drilling, hand dug well drilling, civil works, pump installation, pipe installation, etc.
- Provision of spare parts
- Training of community based caretakers
- Community mobilisation and training of water user committees

Detailed Tasks:

- Work closely and plan with the community in providing the service
- Check on pre-project preparations by community before starting activities eg community organisation of access road, materials, labour, etc.
- Provide specific services over a specified period
- Participate in monthly coordination meetings (during contract time-frame)
- Provide DWST/DWE with progress reports
- Sign off on completed work with the community and DC

Special Notes:

District Council should publicize the new opportunities in the W&S sector and encourage these organisations to register themselves; or in some cases to formalise themselves as organisations and businesses. Some contractors will need to be given additional training in order to qualify for contracts.

Assembly should encourage service providers to put together gender balanced teams for project implementation.
# Training Service Providers

**Who?**

Teams of trainers - NGOs or private sector organisations - operating at district, regional, or national levels. TSPs will be contracted to design training programmes and deliver training to DWSTs, PO Community Facilitators, and Service Providers.

<table>
<thead>
<tr>
<th>Report to:</th>
<th>Provide training for:</th>
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</thead>
<tbody>
<tr>
<td>Rural Water Supply Department (Ministry of Water &amp; Livestock Development)</td>
<td>DWSTs</td>
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<td>Pos and Extension Workers</td>
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<td>Other Service Providers</td>
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</table>

**Role Description:**

Training Service Providers are responsible for designing and conducting training workshops for DWSTs, Extension Workers, and Service Providers.

**Detailed Tasks:**

- Carry out Training Needs Assessment (TNA)
- Develop training plans and materials
- Conduct and evaluate training workshops
- Provide on-the-job training and coaching
- Write reports on training workshops following a standardised format
- Participate in planning and coordination meetings with DWST

**Special Notes:**

Some TSPs will need to be given advanced trainer training in order to qualify for contracts.

District Assembly should encourage TSPs to put together gender balanced training teams.
NGOs and Donor Agencies

Who?
Non-Government Agencies and projects which are supporting community managed water and sanitation within the district

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<tr>
<th>Report to:</th>
<th>Monitor:</th>
<th>Collaborate with:</th>
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</thead>
<tbody>
<tr>
<td>• RWSD (MWLD)</td>
<td></td>
<td>• DWST</td>
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<tr>
<td></td>
<td></td>
<td>• Extension Workers</td>
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<td>• Service Providers</td>
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</tbody>
</table>

Role Description:
NGOs and donors also initiate water and sanitation projects within the district. Often they take on the planning and implementation of W&S projects covering a number of villages. They need to be kept informed about RWSSP so they can play a supportive/collaborative role.

Detailed Tasks:
- Participate in data collection to produce W&S data base
- Participate in planning sessions to develop District W&S Plan
- Help to promote W&S programme at community level
- Monitor progress at the community level and help to solve conflicts

Special Note:
NGOs may also compete for the work of service providers in the district e.g. providing extension or training services.
Chapter 3 - Getting Started

Introduction

This section describes how to start your own district water and sanitation program.

In the past central government or donors took the lead in developing rural water supply. This has changed. District Councils are now expected to take the lead, to initiate their own water and sanitation programmes, rather than waiting for central government or donors.

This new approach involves a commitment to the water and sanitation agenda. This commitment will be shown by:
- the seriousness taken by the Council in developing its own W&S programme
- the priority commitment to W&S within the district’s own development plan
- how much of the District Development Fund is committed to W&S development.

The overall aim is to build strong commitment to and a sense of responsibility for water and sanitation by the District Council. The aim is to put the District Council in the “driver’s seat” as the major force for water & sanitation development at the district level.

This section will describe how a district can mobilise itself to meet this objective. There are eight steps in this startup process:

1. SET UP DISTRICT WATER & SANITATION TEAM
2. ORIENT COUNCILLORS AND EHW COMMITTEE
3. ORIENT STAKEHOLDERS ABOUT RWSSP
4. MOBILISE THE PRIVATE SECTOR
5. COLLECT AND ANALYSE WATER & SANITATION DATA
6. PREPARE A DISTRICT WATER & SANITATION PLAN
7. APPLY TO PARTICIPATE IN THE RWSSP
8. ESTABLISH A TRAINING SYSTEM
1 Form District Water & Sanitation Team

Introduction
The District Water & Sanitation Team (DWST) is the pivotal player in building district W&S. Once they are established, they can help to build the district W&S system.

Who Participates?
DED, DPLO, DWE, DCDO, DEHO,

Objectives:
- Establish the District Water and Sanitation Team
- Build up their capacity to manage the District W&S programme

Major Output:
- DWST has been established and is running a W&S management system
- DWST is managing each of its responsibilities in a timely manner

Steps/Activities:
1. DPLO and DWE work together to set up DWST and coordinate its activities.
2. Invite team members to an initial meeting to discuss the RWSSP and their roles.
3. Establish DWST as a committee run by the Water Department but with input from other departments. DWST will be accountable to District Management Team and the District Executive Director.
4. Explain that participation is not full-time, but members will be expected to meet regularly and help with administrative tasks (eg writing plans, bid evaluation reports)
5. Set up a regular system of meetings - at least once a month.
6. Set up a monthly system for workplanning, budgeting, and reporting.
7. Brief and consult the DED, DC, Council Chairperson and EHW Committee on a regular basis through monthly briefings or memos.
8. Brief and consult other department heads on W&S through DMT meetings
9. Organise training for the DWST, facilitated by a Training Service Provider contracted by RWSD (MWLD). Topics are given below.

Materials:
- Job Description for DWST
- Programme for Initial Workshop for DWST

Topics for DWST Training
- RWSSP goals, strategies, players & roles, project cycle
- DWST - collective and individual roles, operating procedures, meetings, etc
- Results based implementation planning
- Data collection & analysis and development of a W&S data base
- Preparation of a District W&S Plan
- Vetting community applications and Facility Management Plans
- Training, supporting, and supervising Extension Workers
- Selecting/contracting, training, and supervising Service Providers
- Monitoring, evaluation, and reporting
2 Orient District Councillors and Education/Health/Water Committee

Introduction
District Councillors have an important role to play in RWSSP - as community leaders in their own areas and as policy makers in the Council. As community leaders they help to explain RWSSP 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. The Education/Health/Water Committee is the Council committee responsible for social sector issues, including water and sanitation.

Who Participates?
District Councillors. Facilitators - DWST

Objectives:
- Build understanding of RWSSP - its objectives, policies and strategies
- Build agreement on the roles of the Council and the roles of different players
- Review the status of water, sanitation, and hygiene in the district
- Secure political commitment and resources for the W&S programme

Major Outputs:
- Awareness of RWSSP, how communities can participate, and DC roles
- Sense of ownership and commitment to Water & Sanitation by DC members

Indicators:
- W&S is a regular item on the agenda of the Education/Health/Water Committee
- DC members regularly inform and help communities participate in RWSSP

Steps/Activities:
1. Organise an orientation workshop for all District Councillors.
2. Organise a more detailed orientation for members of the EHW Committee.
3. Use both workshops to introduce the RWSSP, how communities can participate, and the role of the Council in supporting community based water & sanitation.
4. Discuss how Councillors can prioritise action on W&S - for example
   a) Making W&S a regular item on the agenda of the EHW Committee
   b) Setting targets for Water and Sanitation development
   c) Organising campaigns to inform communities about RWSSP

Topics for Orientation of District Councillors
- Status of water, sanitation, and hygiene in the district (SWOT Analysis)
- RWSSP - goals, strategies, players and roles, project cycle
- How communities can participate and how Councillors can assist
- Roles of Councillors and the Education/Health/Water Committee
- How Council can prioritise action on water, sanitation, and hygiene
3 Orient Stakeholders about RWSSP

Introduction
RWSSP involves a large number of stakeholders - communities, local government, private companies, NGOs, and others. The Council is expected to coordinate the participation of these different players. At the start they need to ensure that all stakeholders understand the RWSSP so that they can participate effectively and feel a sense of ownership of the district W&S programme.

Who Participates?
NGOs, companies, CBOs, WDCs, etc. Facilitator: DWST

Objectives:
- Raise awareness on RWSSP policy, programme, roles, and responsibilities
- Facilitate sharing of information among stakeholders on plans and activities
- Involve stakeholders in the preparation of district W&S plans
- Develop stakeholders' skills to disseminate this information to communities
- Promote and ensure compliance with approaches by all stakeholders
- Encourage coordination among NGOs and other players at district level

Major Output:
- Awareness of RWSSP and how stakeholders can participate
- Commitment to working together in a coordinated way using common approaches
- District W&S plans incorporating the activities of all stakeholders

Indicators:
- Regular meetings of stakeholders facilitated by DWST
- NGOs working with the District Council rather than on their own

Steps/Activities:
1. Organise an orientation workshop for stakeholders - see topics below.
2. Use the workshop to start the process of getting stakeholders to meet regularly to share information and to plan together.
3. Get agreement on coordination mechanisms.
4. Arrange to bring stakeholders together on a regular basis so that they know what each other is doing and can support each other's efforts.

Materials:
- Programme for Stakeholders Workshop

Topics for Orientation of Stakeholders
- Status of water, sanitation, and hygiene in the district
- Stakeholders' objectives and activities in water and sanitation
- RWSSP - goals, policies and strategies, project cycle
- Roles of stakeholders in RWSSP
- Action planning
4 Mobilise the Private Sector

Introduction:
One of the first steps is to identify potential service providers and get them involved. In some cases they are not yet organised or registered as businesses so they need to be assisted to formalise themselves as organisations and businesses and develop the necessary skills e.g., preparing tenders.

Who Participates?
DWST, Service Provider Organisations (SPOs)

Objectives:
- Identify and register potential service providers
- Orient potential service providers and motivate them to participate in RWSSP
- Upgrade their skills as private sector organisations

Major Output:
- Registered Service Provider Organisations with adequate business skills

Steps/Activities:

1. PROMOTION AND IDENTIFICATION
   a) Advertise and disseminate the opportunities available through noticeboards, newspapers, radio, and announcements at meetings.
   b) Organise meetings to inform potential SPOs about the details of RWSSP and encourage individuals to form into registered organisations.
   c) Invite SPOs to apply to the District Council as service providers.

2. REGISTRATION –
Some NGOs or companies are already registered. Encourage the others to register with the appropriate body.

3. SELECTION
Select capable/committed Service Provider Organisations using criteria:
   a) Are they registered?
   b) Skills and previous experience
   c) Proposals to provide services
   d) Costs – are their costs reasonable?

4. TRAINING
Training will build on skills that Service Providers already have. Training will be based on Training Needs Assessment and be limited to high priority skill areas for which SPOs need help e.g., small business management, preparing tenders.

Materials:
- Promotion flyers and application forms
- Criteria for selecting Service Provider Organisations
- Training Needs Assessment format
- Programme for SPO Workshops
5 Collect and Analyse W&S Data

Introduction
One of the first steps of the DWST is to collect baseline data to be used in preparing a District Water and Sanitation Plan and managing W&S implementation.

Who Participates?
DWST, Extension Workers, Watsan Committees, NGOs and donors

Objectives:
- Collect data on water sources, flow and quality, latrine coverage, current demands for W&S, and programmes to provide W&S facilities in the district
- Establish a system for collecting, storing, and processing data on W&S
- Develop a database to be managed by the DPLO and/or DWE

Major Output:
- Database management system
- Data used by DWST in planning and managing water development in district

Indicators:
- District decisions on priority areas for W&S development are based on data
- District implementation plans are developed using the data collected
- District uses data as a baseline for monitoring and evaluation purposes

Steps/Activities:

1: Review data collection format produced by RWSD.

2: Collate existing sources of data already available at district level (e.g., lists of villages, information on existing facilities and planned projects, etc.) Environmental Health Department may have data on the number and type of latrines and common diseases; and Water Department may have data on the number, type, and condition of water facilities. This data would need to be verified.

3: Train extension workers to collect W&S data using the common format

4: Use Promotion, Mobilisation, and Planning phases at community level to collect basic data on existing facilities – numbers, type, condition, etc. Involve community organisations (e.g., Watsans) in collecting this data.

5: Enter data into a database system

6: Compile data into profile and disseminate profile to all stakeholders

Materials:
- Data collection format
- Format for District W&S Profile
- Computer to store data + database system
6 Prepare District Water/Sanitation Plan

Introduction:
The data collected will be used in preparing a District Water & Sanitation Plan (DWSP). DWSP is a detailed outline of what the district wants to do in developing water supply and sanitation; it should be seen as part of the district’s five year development plan. It should be developed on a collaborative basis with all stakeholders.

Who Participates?
DWST, District Councillors, Education/Health/Water Committee, stakeholders

Objectives:
• Develop plans to guide water and sanitation development in the district
• Involve stakeholders in the development of these plans

Major Outputs:
• District Water and Sanitation Plan

Steps/Activities:
1: Review data on existing facilities, current demands, and programme for W&S.
2: Develop criteria for setting priorities and apply criteria as the basis for prioritising communities to be assisted
3: Write up the plan giving the number of communities to be assisted each year and the costs to provide such assistance.
4: Organise a meeting with all stakeholders to agree on the district W&S plan.
5: Submit this plan to the EHW Committee for discussion and endorsement and then to the Full Council for approval.

Materials:
• Format for District W&S Plan

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:
✓ Geography eg 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 eg epidemics of cholera or other diseases
✓ Current projects supported by donors in the district
✓ Resources available (district’s own budget and external donors)
✓ Special consideration to vulnerable communities and groups
✓ Packaging of service provider contracts eg assigning work to field workers in clusters of neighbouring villages so that the work can be done efficiently.
7 Apply to Participate in RWSSP

Introduction
Once you have established a DWST and prepared DWSP, you can apply to get support through the RWSSP or other donors. Districts will be selected on a competitive basis.

Who Participates?
DWST, Rural Water Supply Department (MWLD)

Objectives:
- Apply for financial and technical support to implement W&S projects

Major Output:
- Financial and technical support for project implementation

Indicators:
- Funding available to initiate DWSP

Steps/Activities:
1. DWST submits a formal application for financial support to RWSD.
2. If the DC is successful, it will sign a Memorandum of Understanding with RWSD

Materials:
- District Application Form (Application to RWSSP)
- Memorandum of Understanding - DA and RWSD (MWLD)

Criteria for Selection to Participate in RWSSP
In preparing your application, you should demonstrate you are fully prepared and committed to the programme. You will need to show such things as -
- **Data Collection:** Have you studied the W&S situation in your communities and documented the level of W&S coverage?
- **Planning:** Have you developed your own plans to implement W&S activities? How would you organise your own programme to develop W&S?
- **Staffing:** How are you supporting the implementation process? What support have you provided for the DWST?
- **Budget:** Have you put money aside to support W&S activities within district?

The Rural Water Supply Department or donors will review the applications and select districts, using some of the criteria given below:
- **Level of W&S coverage:** low coverage → better chance of being selected
- **Water related diseases:** high incidence → better chance of being selected
- **Level of donor support:** limited support → better chance of being selected
- **District W & S Plan:** Do you have a District Water & Sanitation Plan or a defined strategy and budget for W&S development over one year?
- **Management:** How will you manage W&S? What key DC staff are involved?
  a. Senior executives - DED? DC? Council Chairperson?
  b. DWST - established? office space? budget? support?
Organise a System for Training

Introduction:
One of the steps in setting up district water & sanitation system is to establish a training system. Since RWSSP is a relatively new programme, a training programme is needed to orient all players to their roles and the skills involved. The programme will be managed by the DWST but facilitated by Training Service Providers, small teams of skilled trainers. TSPs will be contracted to provide training for DWST, POs, Extension Workers, and Service Providers. DWST will monitor the work of the TSP.

Who Participates?
- DWST, Training Service Provider, Extension Workers, POs, Service Providers

Objectives:
- Improve the skills of DWST, Extension Workers, POs, and service providers
- Control and monitor the work of Training Service Providers
- Identify skill gaps and organise training to meet gaps

Major Outputs:
- Trained DWST, Extension Workers, POs, SPOs, Watsan Committees, fundis
- Training Plan - list of modules for different target groups

Indicators:
- Demonstrated skills

Steps/Activities:
1. Assess the training needs of different players in RWSS system
2. Draw up a training plan
3. Hire Training Service Provider - with help from RWSSP National Office (PMU)
4. Organise initial meetings with TSP to brief them on DWST's training requirements
5. Organise followup meetings to review progress
6. Monitor their work on an ongoing basis.

Materials/Inputs:
- Training Needs Assessment (TNA) Checklist
- Training Plan format
- Trainer's guides

Special Note:
Training will be organised on an ongoing basis, rather than a single, one-off course. For example training for DWSTs might involve 3 or 4 courses, each covering different topics. This will allow the training to be geared to different phases in the implementation process, so that trainees learn their new roles and skills gradually.
Chapter 4 - Project Cycle Management

Introduction
This chapter describes how the District Council manages the process of supporting community water and sanitation development. This process is called a "PROJECT CYCLE". It describes activities at each step in the process of developing a water supply project. All of these activities taken together from beginning (Promotion) to end (O&M) form the Project Cycle.

The activities are done by different players since water supply development is a partnership process. Some activities are done by Council staff or Councillors, others by the community, and others by service providers.

The Project Cycle provides a step-by-step guide for the community and for external players, but it is meant 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.

The Project Cycle in outline is given below and shown in a diagram on the following page. The rest of the section gives a detailed description of each step in the cycle.

<table>
<thead>
<tr>
<th>STEP</th>
<th>ACTIVITY</th>
<th>SUB-ACTIVITIES</th>
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<tbody>
<tr>
<td>1</td>
<td>COMMUNITY PROMOTION</td>
<td>a. Orientation workshop for ‘promoters’</td>
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<tr>
<td></td>
<td></td>
<td>b. Information campaign through public meetings</td>
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<tr>
<td>2</td>
<td>APPLICATION/RESPONSE BY COMMUNITY</td>
<td>Community meetings to:</td>
</tr>
<tr>
<td></td>
<td></td>
<td>a. Complete application form</td>
</tr>
<tr>
<td></td>
<td></td>
<td>b. Take action to meet basic conditions -</td>
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<tr>
<td></td>
<td></td>
<td>• Form Water &amp; Sanitation Committee</td>
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<td></td>
<td></td>
<td>• Raise capital contribution (commitment fee)</td>
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<td></td>
<td></td>
<td>• Open bank account</td>
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<tr>
<td>3</td>
<td>VERIFICATION</td>
<td>Check that information is correct &amp; complete -</td>
</tr>
<tr>
<td></td>
<td></td>
<td>a. Desk assessment by DWST</td>
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<tr>
<td></td>
<td></td>
<td>b. Visit by EWs - meet with Watsan/community</td>
</tr>
<tr>
<td>4</td>
<td>PRE-SELECTION</td>
<td>a. DWST decide on programme scale &amp; criteria</td>
</tr>
<tr>
<td></td>
<td></td>
<td>b. DWST review applications - prepare short list</td>
</tr>
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<td></td>
<td></td>
<td>c. Approval - EHW Committee &amp; Full Council</td>
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<tr>
<td></td>
<td></td>
<td>d. Communities are informed about results</td>
</tr>
</tbody>
</table>
|   | **COMMUNITY MOBILISATION AND PLANNING** | Community meetings and Watsan training to:  
|---|----------------------------------------|---------------------------------------------------------------------------------------------|
| 5 | a. Develop proposal/plan for new water facilities  
    | b. Strengthen Watsan & community participation  
    | c. Make decisions on how to manage facilities |
| 6 | **APPRAISAL** | a. DWST assess each community proposal  
    | b. Approval by EHW Committee & Full Council  
    | c. Communities are informed about results |
| 7 | **IMPLEMENTATION PLANNING AND FUNDING** | DWST develops:  
| 8 | a. Packaged request for funding  
    | b. Detailed implementation plan  
    | c. Procurement plan |
| 8 | **COORDINATING STAKEHOLDERS** | DWST convenes regular meetings of all key stakeholders during implementation to discuss progress and coordinate inputs. |
| 9 | **CONSTRUCTION A: PROCUREMENT & CONTRACTING** | a. Preparation and advertisement of tenders  
    | b. Submission, opening, & evaluation of tenders  
    | c. Negotiation and signing of contract  
    | d. Community involvement in process |
| 10 | **CONSTRUCTION B: SUPERVISION & 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:  
| 12 | a. Strengthen Watsan & community participation  
    | b. Establish systems for:  
    |   | • O&M and raising/managing money  
    |   | • Improving hygiene & sanitation |
| 12 | **FOLLOWUP SUPPORT TO COMMUNITIES** | Ongoing community visits by Extension Workers to observe and meet with Watsan 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  
    | b. DWST encourages local mechanics to market their services to communities |
| 14 | **WARRANTY INSPECTION & O&M ASSESSMENT** | a. Two inspection visits to inspect pump  
    | b. Visits also used to assess caretaker skills/ performance and community O&M system |
| 15 | **MONITORING EVALUATION REPORT-WRITING** | a. DWST sets up results-based M&E system involving communities, EWTs, and DWST  
    | b. DWST prepares quarterly, semi-annual, and annual reports and submits to RWSD. |
1 Community Promotion

Introduction
The first step in the Project Cycle is to inform communities about the new RWSSP - both opportunities and responsibilities - and to encourage them to participate. This involves an information campaign of community meetings and flyers, reinforced with mass media. Before the campaign starts, the 'promoters' are trained in a workshop.

Who Participates?
- Promoters - DWST, Extension Workers, Councillors, WDC members, local NGOs
- Participants - community members, Village Government, Village Water Committee

Objectives:
- Disseminate information, flyers, and application forms.
- Raise awareness about the programme and how the community can participate.
- Promote interest in and demand for improved W&S facilities
- Encourage communities to complete the application form

Major Outputs:
- Awareness of RWSSP and what communities need to do to participate
- Flyers and application forms in people's hands and they are starting to think about how they can respond.

Indicators:
- Formal request from community describing their commitment

Materials:
- Information flyers and Application Forms
- Notes for Talk by Promoters

Steps:

1. Training Workshop for Promoters
First train the promoters - Councillors, Extension Workers, and NGOs. Organise a workshop to explain the basic messages and help promoters prepare for the community meetings. (This briefing could be part of the orientation workshops described in Chapter 3 - Sections 2, 3, and 8.)

Topics for Training Workshop for Promoters

☐ RWSSP - goals, strategies, players and roles, and project cycle
☐ Promotion campaign and role of 'promoters' in disseminating information
☐ How communities can participate - application forms, conditions, etc
☐ Typical questions that communities might ask and how to respond
☐ Workplanning in area/ward groupings (Councillors, extension workers, and NGOs from the same ward) - task: plan how to divide up the work in order to cover as many villages as possible.
2. Information Campaign by Promoters

Having been trained, the 'promoters' will then organise followup meetings at ward and village levels. To prepare for each meeting:

- Invite WDC, Village Government, Village Water & Health Committees
- Make a special effort to invite and involve women eg contact women’s groups.
- Encourage representation from all sections of the village.

In conducting each meeting use the agenda and the notes given below.

3. Media Reinforcement

Reinforce public meetings with other forms of communication - for example:

- Messages over radio or in local newspapers
- Printed and verbal information delivered through school children
- Announcements through the church or other public meetings.

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**Agenda for Promotion Meeting:**

- Explain RWSSP and what the community has to do to participate in this programme. (Notes for talk are given below.)
- Invite community members to ask questions to clarify things.
- Ask the community to hold their own meeting to: a) decide on what they want to do to improve W&S, b) form gender balanced Watsan Committee c) collect initial capital contribution, and d) complete the application form.
- Hand out the flyers and application forms.

**Notes for Talk at Promotion Meeting:**

- Villages or sub-villages are encouraged to APPLY to rehabilitate existing W&S facilities or to build new ones. Application forms are available.
- It is NOT FREE - the community will be expected to pay part of the costs for the new/rehabilitated water facilities and all costs for maintenance.
- Communities will be expected to OWN and MANAGE the new facilities. If they break down, it will be the community's own responsibility to fix them.
- Communities will plan their own facilities. They will decide the type of technology (eg hand dug well, borehole, piped system, etc); and make suggestions on where it should be sited.
- Individual households are also encouraged to build LATRINES and take other steps to improve household sanitation.
- To apply you should meet as a community (as many as possible should attend, especially women) and decide what you want to do.
- Then complete the application form and satisfy the other conditions:
  a) Form a gender balanced Water & Sanitation (Watsan) Committee
  b) Raise a minimum of 100,000 shillings and deposit this in the bank.
- Not all communities will be selected. The Council cannot work with all communities at the same time. Some may not be successful this year.
- If you are successful, Community Facilitators will be assigned to work with you to plan your new W&S facilities and to strengthen your committee.
- 100,000 shillings is just a start. You will need to raise XX shillings for a borehole and pump; and XXX shillings for gravity piped system (??????)
2 Application/Action by Community

Introduction
The next step is for the community to meet on their own, discuss the issues and how they are to satisfy the conditions, and complete the application form. This meeting would be organised by the Water Committee or residents of a section of the village.

Who Participates?
- Main participants - community members, Village Government, Water Committee
- Extra advice (if needed) - DWST, DC staff, Councillors

Objectives:
- Increase awareness of the community management concept and what it means
- Facilitate discussion and decision-making on how the community is to meet the initial conditions (Watsan formation, raise capital contribution, open bank account)
- Complete the application form

Major Outputs:
- The whole community is aware of and committed to building and managing their own water, sanitation, and hygiene system
- Application form has been completed and sent to the District Council
- Specific action plans to prepare for new water facilities -
  a) Form a gender balanced Watsan Committee
  b) Raise capital contribution (commitment fee)
  c) Open a bank account

Indicators:
- Formal request from community describing their commitment, capability, and willingness to plan and manage new water and sanitation facilities

Steps:

1 **Community Meeting(s)**
The community hold meetings on their own to discuss how they can participate in RWSSP and complete application form. The two initial conditions for participation include: forming a Watsan Committee and raising commitment fees.

The agenda for the community meetings is given on the following page.

2 **Watsan Committee Meeting**
The Watsan Committee, once it is elected, would meet to:
- Complete the application form (based on decisions at community meetings)
- Organise the collection of the capital contribution (commitment fee)
- Open a bank account and deposit the money raised.

After the meeting Watsan Committee will forward the application form to the District Council through the Village Government and Ward Development Committee.
Agenda for Community Meetings

The community will hold one or two meetings to discuss how they can organise themselves to participate in RWSSP. They will discuss the following issues:

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

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

3. Hygiene and sanitation
   - What health problems are caused by the old/unprotected sources? (e.g. diarrhoea, cholera, bilharzia)
   - What will be the health benefits of new/protected water facilities?
   - Sanitation - How do people dispose of faeces? Why is that a problem? What is the effect on water sources? How many people own latrines? What can we do to encourage more people to build/use latrines?

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

**ARRANGEMENTS TO ELECT COMMITTEE** - a) full community meeting;
   b) democratic election; c) involvement of women and all sections

5. Raising Commitment Fees and Opening Bank Account
   - How much money has to be raised to pay commitment fee?
   - How to collect money? (amount per adult/household? when? etc)
   - How to keep the money safe? Importance of opening bank account

RAISE COMMITMENT FEE AND OPEN BANK ACCOUNT
3 Verification

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 Workers to the community to check that the information in Application Form is correct and complete.

Who Participates?
- DWST, Extension Workers, community, Watsan Committee

Objectives:
Check that:
- Information in the application form is correct and complete
- A representative group of villagers has participated in the decision-making
- Community has demonstrated its commitment/capability by taking action ie setting up a Watsan Committee, raising commitment fees, and opening bank account

Major Outputs:
- Verified application forms ie the level of commitment/demand is assessed

Indicators:
- Verification Report

Materials:
- Verification Checklist and copies of Application Forms

Steps:

1. Desk Assessment:
   DWST members review the applications and identify gaps in information and details to be checked in the field.

2. Field Verification:
   Extension workers visit the community and hold a meeting with community members and community leaders (Village Government, VWC, VHC, Watsan) to verify that the information is correct and complete - and that the requirements (Watsan formation and fund raising) have been completed.

Verification Checklist:
- All items on the Application Form have been completed.
- Information has been discussed with and agreed by a representative body of community members (who are aware of its contents).
- Water supply is a priority need by the community.
- Democratic election of Water & Sanitation Committee.
- Women are equally represented on Watsan Committee.
- Commitment fees have been collected and deposited in bank.
- Community are committed to and capable of managing new facilities.
4 Pre-Selection

Introduction:
Once the application forms have been verified, the Council selects a number of communities to be assisted. This involves decision-making meetings in the Council by the DWST, EHW Committee, and Full Council.

Who Participates?
- DWST, EHW Committee, Full Council

Objectives:
- Select a number of communities to be assisted to develop a W&S proposal

Major Outputs:
- Prioritised list of communities
- Communities are selected through a transparent process

Materials:
- Completed Application Forms and Verification Reports
- Criteria for Community Selection

Steps:

1. Decision on Scale of Programme and Selection Criteria
   DWST holds a meeting and decides on:
   a) Scale of programme - proposed number of communities to be assisted (based on its financial and staffing capacity)
   b) Assessment criteria to be used in selecting communities

   Assessment criteria are given on page 51. However, each district will be able to decide on the relative weighting of different criteria according to their own district plans and priorities. Their criteria and weighting should be included in the District Water & Sanitation Plan.

2. Preparation of Short List
   Using the above criteria, they assess each application eg 'high, medium, or low'. Then they draw up a shortlist of communities to be assisted.

3. Approval by EHW Committee and Full Council:
   a) DMT reviews DWST's report and endorses it or sends it back for more work.
   b) EHW Committee reviews the list of priority communities and confirms or modifies the list.
   c) Full Council gives final approval to the list of prioritised communities.

4. Official Notification
   Communities are informed about the results of the selection by a letter from the District Council. Other notices are placed on the Council noticeboard.
Deciding on Scale of Programme

Introduction:
Before finalising the list of communities to be assisted, you need to decide how many projects you can effectively manage as a District Council over a one year period. This decision is related to several factors, including: the geographic spread of communities, availability of Service Providers, number of drilling rigs which are available, District Council's own funds, etc. This step looks at these issues.

Who Participates:
- District Water & Sanitation Team, Education/Health/Water Committee

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

Major Output:
- Agreed number of communities to be assisted

Steps:
1. DWST prepares a technical paper for the Education/Health/Water Committee looking at the issues below and recommending a manageable target or quota of communities to be assisted. Priority communities are plotted on a map.
2. The EHW Committee reviews the issues described below.

How many communities can the District Council manage successfully?
Discuss each of the following questions:
✓ How many communities at a time can DWST support and monitor effectively?
✓ In how many communities at a time can DWST manage service providers?
✓ How many projects can the Council finance themselves?
✓ How many skilled teams of Community Facilitators are available in the district and how many communities can each team effectively manage?
✓ How many skilled service providers are available within the district/region?
✓ If communities want boreholes, how long is the drilling season in your district? How many boreholes can be drilled per month?
  1 rig = 10 wells/month x 6 month drilling season = 60 wells (MAXIMUM)
✓ How many drilling companies are available and what is their capacity?
✓ Have the drilling companies been contracted to do drilling in other districts?
✓ How many hydrogeologists are available and what is their capacity?
✓ How many districts are relying on their services to site boreholes?

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

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

Can the community manage the new water supply?
Indicators of community management capacity might include:
✓ Number of active community-based organisations (CBOs)?
✓ Number of other community projects and how well maintained?
✓ Level of women's participation in managing community projects?

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

Are there enough users to justify a new water facility?
Because providing very small communities with water costs more per person than larger ones, RWSSP has set a lower limit of 75 for the population of communities eligible for assistance. Check the population figures for each village in District 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 an up-to-date estimate.

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 water systems are already available in each community -
✓ Type of facilities? condition? yield? distance to facilities?
✓ What is the ratio of safe water systems to population?

Are lots of people suffering from water related diseases?
This is another indicator of the status of water supply available to the community. Those communities which only have traditional sources (e.g., river, pond, dugout) will often have high levels of diarrhoea, cholera, and bilharzia.

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 it is resolved.
## Community Mobilisation & Planning

### Introduction:
The next step is to help communities prepare detailed proposals for their new water and sanitation facilities - Facility Management Plans. Teams of PO facilitators are contracted and assigned to work with a number of communities to provide this assistance.

### Who Participates:
- Community members, Watsan Committee, PO Community Facilitators, DWST

### Objectives:
- Deepen community understanding of RWSSP basic concepts and conditions
- Strengthen representativeness and capacity of the Water & Sanitation Committee
- Develop a plan for managing the new facilities - Facility Management Plan
- Choose the water technologies and select the sites
- Raise funds for capital contribution and agree on how to raise funds for O&M
- Agree on plans for operation and maintenance
- Start discussions and action on hygiene & sanitation and HIV/AIDS prevention

### Major Outputs:
- Community decision on how to build and manage the new facilities
- Completed Project Proposal (Facility Management Plan)
- Commitment fees (for capital contribution) raised and in bank

### Steps/Activities:
In each village the PO Community Facilitators will organise a series of meetings with the community and Watsan. Each team of CFs will work out how to structure these meetings. One example of how to do this is given below.

<table>
<thead>
<tr>
<th>LEVEL 1: TRAINING FOR WATSAN</th>
</tr>
</thead>
<tbody>
<tr>
<td>Community Facilitators conduct one day training course for Watsan members on:</td>
</tr>
<tr>
<td>• Watsan roles, organisation (how they will work together), and meetings</td>
</tr>
<tr>
<td>• Technical issues - choice of technology, siting, and construction</td>
</tr>
<tr>
<td>• How to prepare Facility Management Plan (FMP) for the new facility</td>
</tr>
<tr>
<td>• Raising and banking funds for capital contribution (commitment fees)</td>
</tr>
<tr>
<td>• Hygiene education, sanitation promotion, &amp; HIV/AIDS prevention</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>LEVEL 2: WATSAN AND COMMUNITY MEET ON THEIR OWN</th>
</tr>
</thead>
<tbody>
<tr>
<td>Watsan organises a community meeting to discuss and decide on:</td>
</tr>
<tr>
<td>• Issues in FMP eg how to raise O&amp;M funds, choice of caretakers, etc.</td>
</tr>
<tr>
<td>• How to raise the capital contribution</td>
</tr>
</tbody>
</table>

| LEVEL 3: WATSAN PREPARES DRAFT FACILITY MANAGEMENT PLAN |

<table>
<thead>
<tr>
<th>LEVEL 4: REVIEW OF FMP WITH COMMUNITY FACILITATORS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Community Facilitators hold meeting with Watsan and community to review FMP - money, choice of technology, siting, construction, maintenance, hygiene &amp; sanitation</td>
</tr>
</tbody>
</table>
Agenda for Community Mobilisation & Planning

There are a number of activities during this phase being carried out by Watsan and the community, with support from the Community Facilitators -

Skill Development of Water & Sanitation Committee
Series of workshops, reinforced with practical experience by Watsan in carrying out management tasks. This training covers skill development in:
- Providing information to and getting ideas from the community
- Ensuring active women's participation in decision-making and leadership
- Running meetings and keeping records of meetings, finances, spares/repairs
- Raising and managing funds and developing system for O&M
- Planning, siting, supervising, and supporting construction
- Organising hygiene education, sanitation promotion, and HIV/AIDS prevention
- Results based monitoring and evaluation

System for Managing Money and Mobilising Commitment Fees
- Meetings with community (facilitated by Watsan) to decide on how to raise and manage funds for capital and O&M - a) How raised? b) How much per person/household? c) How often? d) How collected? e) How to keep money safe?
- Fund-raising to collect funds for initial capital contribution (commitment fees)
- Opening a bank account to deposit these funds.

Decision-making on Type of Water Facility and Siting
- Meetings with the community to discuss the type of technology and siting.
- Site visits to decide on proposed sites.

Hygiene Education, Sanitation Promotion, and HIV/AIDS Prevention
- Discussions on health risks of the 'old' (unprotected) sources and the health benefits of the 'new' (protected) water facilities - aim: to make people aware of the link between unprotected water sources and disease.
- Discussions on the risks of and methods to prevent HIV/AIDS

Preparation of Facility Management Plan (Project Proposal)
All of the above discussions are documented in the Facility Management Plan, which represents the community's proposal for developing its water and sanitation facilities. The FMP would be prepared through the following steps -

1. CFs give FMP form to Watsan and ask them to try to complete it on their own.
2. When CFs return, they review completed form with Watsan and community, helping to: a) make corrections b) fill in gaps c) explain things that are not clear.
3. The community/Watsan then complete the form. Each question on the form is read out, discussed in the community meeting, and decisions recorded.
4. Once completed, CFs copy this information onto another form (delivered to the DC) and leave the original as the working copy with the community/Watsan.
6 Appraisal of Project Proposals

Introduction:
Once the community project proposals (FMPs) have been completed and submitted to the Council, the Council makes an appraisal of each proposal and then decides which projects are to be approved for funding. This involves decision-making meetings in the Council by the DWST, EHW Committee, and Full Council.

Who Participates?
DWST, EHW Committee, Full Council

Objectives:
- Assess each proposal and decide if it is suitable to be funded
- Publicise the results of the appraisal process

Major Outputs:
- List of community projects to be funded

Materials:
- Completed Project Proposals
- Project Appraisal Checklist - See ANNEX

Steps:

1. Appraisal by DWST
   DWST assesses each project proposal, using a standardised checklist. If the proposals are judged to be unsatisfactory (e.g., insufficient detail), they are sent back to the communities for more work. If judged to be acceptable, they are sent to the EHW Committee for review and endorsement.

2. Approval by EHW Committee and Full Council:
   a) EHW Committee reviews the list of approved projects and confirms the list.
   b) Full Council gives final approval to the list of prioritised communities.

3. Official Notification:
   Communities are informed about the results of the selection by a letter from the District Council. Other notices are placed on the Council noticeboard.

4. Sub-Project Agreement with Community:
The District Council will also sign a Sub-Project Agreement with each community, which sets out each community's responsibilities.
7 Implementation Planning & Funding

Introduction:
Proposals which have been approved are then packaged for funding and assigned to prequalified service providers and suppliers. During this period the DWST prepares a detailed implementation plan and procurement plan covering the balance of the implementation cycle.

Who Participates?
• District Water & Sanitation Team
• District Finance Officer (DC)

Objectives:
• Compile a financial request based on approved community project proposals
• Develop a detailed implementation plan and procurement plan.

Major Outputs:
• Consolidated request for funding
• Detailed implementation plan
• Procurement plan

Indicators:
• Implementors are using the procurement and implementation plans

Steps:
1. DWST packages the proposals into a CONSOLIDATED FUNDING REQUEST.
2. DWST also prepares a PROCUREMENT PLAN based on the requirements of the individual community proposals.
3. Then the DWST prepares an IMPLEMENTATION PLAN:
   a) Group target communities into a number of operational areas (eg wards) to be provided with services by different service providers
   b) Decide on the number of service provider organisations for each type of service (eg 2 POs, 1 hydrologist, 1 borehole driller, 3 H/Dug Well contractors, etc)
   c) Decide on the number of Service Providers needed for each operational area
   d) Draw up a flowchart or schedule.
4. The plans are reviewed and approved by the EHW Committee and Full Council.
5. The consolidated request and the plans are sent to the RWSD for approval.
6. DC signs a SUB-PROJECT AGREEMENT, which lists communities to be assisted, forms of assistance and costs, and responsibilities of DC and RWSD respectively.

Materials/Inputs:
• Consolidated Request format
• Implementation Plan format
• Procurement Plan format
• Sub-Project Agreement
8 Coordinating Stakeholders

Introduction:
During construction many different players are involved - eg hydrogeologists, drillers, pump mechanics, civil works artisans, extension workers, caretakers, 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.) DWST needs to develop a system for coordinating stakeholders.

Who Participates?
DWST, Service Provider Organisations, other stakeholders

Objectives:
- Ensure coordination and linkages between different components of the project

Major Output:
- Regular (monthly) meetings which produce agreements on how the different components can fit together

Indicators:
- No major time lags between different components

Steps:
1. Bring all project implementors together on a monthly basis to discuss progress and coordinate inputs. The format for these meetings is given below.

Materials/Inputs:
- Format for monthly report by implementors

Format for Monthly Meeting with Stakeholders

- Purpose: to coordinate inputs from the different players
- Participants: 1-2 representatives of each major implementor - PO Community Facilitators, drilling contractors, pump mechanics, NGOs.
- Facilitator: District Water & Sanitation Team
- Timing: Keep meetings short - no more than 2 hours (eg 9-11am) so that there are no costs involved (ie 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 eg 1st Tuesday in each month.
- Reporting: Ask each team to give a brief report - 6-8 reports x 5 minutes each. The focus of the reports should be coordination issues.
- Written Report: Each team submits one-page Monthly Report (targets - what 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. Community Facilitators then adjust their mobilisation activities so that communities are ready for the drillers.
9 Managing Construction A - Procurement and Contracting

Introduction:
The next step is to organise construction. The District Council contracts this work out to Service Provider Organisations. The community should be a co-signee to some of these contracts eg shallow wells and hand drilled boreholes. All procurement and contracting will follow Tender Board guidelines.

Who Participates?
- DWST, EHW Committee, District Tender Board, Service Provider Organisations

Objectives:
- Select capable SPOs to provide good quality services at reasonable prices
- Ensure transparent contracting of goods and services
- Evaluate the proposals of different Service Provider Organisations
- Involve community in contracting to build a sense of ownership

Major Outputs:
- Goods and services obtained on a timely and transparent basis
- Understanding by community about what they are paying for (capital contribution)
- Sense of ownership by community who participate in the contracting process

Indicators:
- Project activities are implemented on a smooth basis without unnecessary delays
- No complaints about the tendering process by the losers
- Community signature on contract – signed by one member of Watsan

Steps/Activities:
1. DWST prepares tender documents.
2. Tenders are advertised through noticeboard, circulars, local/national newspapers
3. Pre-qualification of SPOs - in some cases
4. SPOs prepare and submit tenders
5. Opening of tenders (DTB, tenderers)
6. DWST prepares technical evaluation and gives to DTB.
7. Tender Board reviews tenders and recommends award of tender
8. Community involvement in bid evaluation of some contracts (eg hand dug wells)
9. Notification of contract award
10. Negotiation and signing of contract
11. Distribution of contract to: SPO, RWSD, Finance Department (DC), donor

Materials:
- Sample advertisement
- Invitations for Bids
- Tender Board guidelines
- Evaluation criteria
- Contract forms for different types of contracts
Managing Construction B - Supervision and Monitoring

Introduction:
DWST will supervise and monitor the performance of the Service Provider Organisations to ensure that contractual obligations are met.

Who Participates?
- DWST, Water Department technicians, community, Service Providers

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 the SPO through supportive supervision
- Empower communities to supervise work on their own projects

Major Outputs:
- Water systems are constructed to the right standard
- Water systems produce water of adequate quantity and quality
- Improved skills and work discipline of SPOs and community

Indicators:
- Wells, boreholes, pumps, and piped systems, when tested, meet required standards
- Results of water quality testing meet the required standards
- Monitoring/supervision report is available

Steps/Activities:
1. Supervision visits using checklists and meetings with SPO and community
2. Report writing and dissemination to relevant stakeholders

Materials/Inputs:
- Supervision checklists: a) DWST and Water Department technicians b) community
- Design of water facility

Steps in construction at community level:
1. Advance discussions by community/Watsan about their roles in construction.
2. Meeting between contractors and Watsan to review construction timetable and agree on forms of community support e.g. materials, access road, labour, etc.
3. Agreement signed between SPO and Watsan at start of construction.
4. Construction - supervised by community, DWST and consultants.
5. Water quality testing: driller collects sample and sends sample to MWLD lab
6. Community signs off that it is completed and properly done.
11 Building Community Management (Construction & O&M Phases)

Introduction:
During the construction phase and O&M phase, the process of community capacity building continues. The aim is to strengthen the community and Watsan Committees to manage the new facilities. This process involves the PO Community Facilitators who facilitated Step 5 - “Community Mobilisation and Planning”.

Who Participates?
- Community, Watsan Committee, PO Community Facilitators

Objectives:
- Train Watsan Committees in the skills to help build and manage facilities
- Involve community in decision-making and action to build and manage their facilities
- Establish systems for: a) O&M; b) raising and managing money; c) improving hygiene & sanitation and preventing HIV/AIDS; d) water point and source protection

Major Outputs:
- Watsans are managing each of their responsibilities in a timely manner
- Community members are actively involved and Watsan is accountable to them
- Functioning and effective money management system
- New hygiene behaviours, new/improved latrines, and new HIV prevention practices

Indicators:
- Regular meetings of Watsan and community to report, plan, and solve problems
- Money collected systematically and used to buy spare parts and organise repairs
- Community members are satisfied with the way money is collected and managed
- Up-to-date & properly done minutes, accounts, and records of spare parts
- Short breakdown period - quick action when W&S facility breaks down
- New behaviours (eg handwashing, condom use) and completed/used latrines

Steps:
This process involves three types of activities facilitated and supported by POs:

1. Joint meetings with community and Watsan to review progress, identify and solve problems, and plan future action

2. Training courses for Watsan Committees on the following management topics: construction monitoring, money management, hygiene, sanitation, & HIV prevention, gender awareness, record-keeping skills, results-based monitoring, accountability

3. Practical experience by Watsan/community in managing things (eg raising funds, monitoring construction, doing hygiene education, cleaning water point site)

Materials/Inputs:
- PO Community Facilitator's Manual
- Trainer's Guide for Training Watsan Committees
12 Followup Support to Communities

Introduction & Overview:
Once the PO team completes their assignment in the community, the DWST and local extension workers are responsible for ongoing support to communities.

Who Participates?
- DWST, communities, local Extension Workers, Water Department technicians

Objectives:
- Assist communities with problem-solving (e.g., conflicts or money mismanagement)
- Provide technical advice (e.g., how to deal with major breakdown).
- Update communities on new procedures, guidelines, etc.
- Motivate communities to continue to improve water supply, sanitation, & hygiene.
- Promote continued revitalisation of Watsan Committees (e.g., fresh elections)
- Promote networking among Watsan Committees within the same area

Major Outputs:
- Community effectively managing its W/S/H system on its own - and identifying and solving problems
- Continuing improvements at community level – leadership, organisation, management skills, networking, etc.

Indicators:
- Regular accountability meetings with community
- Women active in Watsan and community meetings
- Community members satisfied with the way Watsan is managing
- Regular efforts to increase O&M funds
- Regular/working water supply - quick action when facilities break down
- Ongoing improvements in hygiene, sanitation, and HIV prevention
- Fresh elections to bring new people into Watsan

Steps/Activities:
Ongoing visits by local extension workers (or responding to specific requests for help) to meet with Watsan Committee and community to:
- Get reports on progress - how is the community managing W/S/H
- Review the Watsan’s results-based monitoring system and its results
- Observe community/Watsan meetings, pump site, and community action
- Identify and help to solve problems and provide advice
- Get feedback from community and suggestions for improvement

Materials:
- Followup Support Checklist
- Monitoring Checklist
13 Spares and Repairs System

Introduction:
The District Council needs to facilitate the establishment of a spares supply and repairs system to support community managed water supply. Spare parts and repair services will be purchased by communities from private sector suppliers and mechanics respectively, using their own funds.

Who Participates?
- DWST, Education/Health/Water Committee, communities, local suppliers

Objectives:
- Ensure that communities are able to purchase the required goods and services from local suppliers and mechanics at competitive prices

Major Output:
- System for accessing spare parts from local suppliers at affordable prices
- Backup repair system when the repair is too difficult for community caretakers to repair on their own - local mechanic is hired by community to deliver this service

Indicators:
- Spare parts are easily available at the local level at reasonable prices
- Communities are able to access repair services and get pumps repaired when major breakdowns occur

Steps:

SPARE PARTS -
1. DWST compiles a list of spare parts needed for different types of water systems
2. DWST informs suppliers about:
   a) the expected demand for different types of parts and the expected quantity needed over a given period
   b) the wholesale source of these parts.
3. DWST arranges with the XXX to collect price data on specific items at specified locations on a quarterly basis. DWST analyses data and compares it with data on prices in other parts of the country. If there is a significant increase in prices, DWST tries to promote more competition.

REPAIR SERVICES -
1. Identify and provide updating training for skilled mechanics (Service Providers)
2. Mechanics establish their own market - partly through the training they provide when they instal pumps and train caretakers.

Materials/Inputs:
- Standard lists of spare parts
- Standard contracts for hiring mechanics
14 Warranty Inspection and O&M Assessment

Introduction:
The District Council also needs to establish a system to ensure that the new water facilities are working in the initial year of installation and to assess the capacity of the community to maintain their facilities.

Who Participates?
- DWST, Water Department technicians, Service Providers, communities

Objectives:
- Assess the quality and performance of the facilities in the initial year of installation
- Determine with the community the effectiveness of their O&M activities

Major Outputs:
- Sustainability of the pump and O&M system is assessed and reinforced;
- Data is provided for improving Caretaker Training
- Accountability is demonstrated.

Indicators:
- Assessment and test standards
- Feedback is provided to manufacturers
- Feedback is provided to communities

Steps:
1. Warranty Inspection:
   Water Department technicians visit communities twice in first year (5 and 11 months after pump installation) to inspect the pump for manufacturing defects. If defects are found, the supplier/installer are requested to make immediate replacement or repair. Final payment for the pump depends on their timely action.

2. O&M Assessment:
   At the same time as inspection visits, the technicians conduct an O&M assessment:
   a) Competency tests for caretakers
   b) Observation on pump operation and availability of spare parts
   c) Meeting with community to discuss the effectiveness of their O&M system

3. Monitoring and Evaluation:
   Data from both assessments are used in Monitoring and Evaluation.

Materials/Inputs:
- Checklist for warranty inspection
- Standard report form for O&M assessment
15  M&E and Reporting

Introduction:
DWST will implement results-based M&E system to track, assess, and report on results and provide a basis for planning. Players at all levels will monitor activities and results.

DWST will also prepare quarterly, semi-annual, and annual reports for submission to the National RWSSD Office. Quarterly reports will be financial and statistical. The annual and semi-annual reports will contain analytical reporting on activities and results, along with financial and statistical data.

Who Participates?
DWST, EHW Committee, communities, Extension Workers, POs, other stakeholders

Objectives:
- Monitor progress towards attainment of results or impacts
- Provide information needed for forward planning and future evaluation
- Identify problems and find solutions at an early stage
- Produce quarterly reports to document activities, results, and learnings

Major Outputs:
- Communities regularly assess their community management process and results against community-defined indicators and share conclusions with POs.
- District Council develops and modifies its W&S program on the basis of data and analysis provided through monitoring reports of POs and DWST.
- District Council is fully informed on a timely basis on project progress – performance against expected results and expenditures against budget

Indicators:
- Communities identify and solve problems and make plans and decisions based on their analysis of the results of their work
- District W&S plans and decisions reflect the M&E inputs of POs and DWST
- DWST provides an annual M&E report based on actual performance against expected results using agreed upon indicators

Steps/Activities:
1. Define outputs and indicators at start of project
2. Develop data collection instruments and train people to collect data
3. Collect baseline data and other data at appropriate stages
4. Write reports at appropriate stages - DWST will prepare quarterly activity reports against workplans including:
   a) Tasks completed and results realised
   b) Progress on current tasks
   c) Analysis of delays and proposed corrective action

Materials:
- Data collection instruments
- Report formats