



GOVERNMENT OF MALAWI

MINISTRY OF IRRIGATION AND WATER DEVELOPMENT

Implementation Guidelines

for

Rural Water Supply and Sanitation



July 2010

IMPLEMENTATION GUIDELINES

FOR

Rural Water Supply and Sanitation

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Foreword

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

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

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

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

Hon. Richie B. Muheya, M.P.

MINISTER OF IRRIGATION AND WATER DEVELOPMENT

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Abbreviations and Acronyms

ADC	Area Development Committee
CBM	Community Based Management
CDC	Capacity Development Consultant
CDF	Constituency Development Fund
CFT	Community Facilitation Team
CSG	Community Support Group
CWP	Community WaSH Plan
DCT	District Coordinating Team
DEC	District Executive Committee
DOM	District Operational Manual
DRA	Demand Responsive Approach
DWSS	Director of Water Supply and Sanitation services
ESA	External Support Agents
EWs	Extension Workers
GFS	Gravity Fed Scheme
GoM	Government of Malawi
H&S	Hygiene & Sanitation
HDW	Hand Dud Wells
HP	Hand Pump
HSA	Health Surveillance Assistant
HSS	Hygiene & Sanitation Specialist
LA	Local Authority
LC	Local Council
LDF	Local Development Fund
M&E	Monitoring and Evaluation
MoIWD	Ministry of Irrigation & Water Development
NGO	Non Governmental Organization
NWDP	National Water Development Program
NSP	National Sanitation Policy
NWP	National Water Policy
O&M	Operations & Maintenance
PMS	Planning & Management Specialist
PMU	Programme Management Unit
RSU	R-WaSH (or Rural) Support Unit
RTC	R-WaSH Technical Committee
RWSSP	Rural Water Supply and Sanitation Program
SC	Steering Committee
TA	Traditional Authority
TSP	Technical Service Provider
VDC	Village Development Committee
VHWC	Village Health & Water Committee
VLOM	Village Level Operation & Maintenance
W&S	Water & Sanitation
WaSHCO	Water and Sanitation/Hygiene Committee
WES	Water & Environmental Sanitation aid coordination
WMA	Water Monitoring Assistant
WPC	Water Point Committee
WS	Water Supply
WSS	Water Supply Specialist
ZSO	Zonal Support Office

Preface

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

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

These implementation guidelines have been developed to harmonise and standardise approaches for carrying out water supply and sanitation services. The guidelines highlight the principles and best practices for carrying out water supply and sanitation activities to ensure sustainability of the services.

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

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

Sandram C. Y. Maweru

SECRETARY FOR IRRIGATION AND WATER DEVELOPMENT

1.0 Introduction

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

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

These Guidelines have been prepared, primarily, to guide the implementation of the Rural Water Supply and Sanitation Programme in Malawi. The guidelines mainly focus on the Local Authority and the institutions at both district and community levels especially the District Coordinating Team (DCT) that has been assigned by the Local Authority to plan and manage the rural water supply and sanitation component of the National Water Development Programme (NWDP).

The Guidelines will provide LAs and various stakeholders including District Coordinating Teams (DCTs) with an overview of the WSSP and outline what is involved in implementing water supply and sanitation programme, how it is done and who does what. The Guidelines will serve as reference in the implementation of WSSP.

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

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

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

2.0 WSSP Strategic and Action Planning

Strategic Plan is a management tool which articulates the long-term direction of the organization. The plan stipulates goals, objectives and strategies which will provide guidance to the implementation of the WSS Programme. The Strategic Plan is generated from Village Action Plans (VAPs) consolidated at local level with technical input from LAs, NGOs or development partners.

The support by these stakeholders can take different forms but the crucial areas are as follows:

- Results-based Planning
- Financial Management and Auditing
- Procurement and Contract Management
- Information Management
- Monitoring and Evaluation

2.1 District Water and Sanitation Programme Profile

The first task of the DCT will be to build a District WSSP Profile. This will provide data on the existing water supply facilities and current information on existing sanitation facilities and hygiene practices. It should also provide other socio-economic information pertinent to planning water supply and sanitation services.

The Ministry responsible for water affairs should provide the format for the Profile and assist the DCT in assembling, documenting, analyzing and reporting the data and their implications. The District Profiles will assist to provide the baseline data for the district and national Monitoring and Evaluation data for the program.

2.2 District WSSP Strategic Plan

Using data from the District Profile and other information, the DCT, with support from the responsible Ministry should develop **WSSP Strategic Plan** over a specified period of time, commonly 5 years, to be approved by the Local Authority and submitted to the Ministry for appraisal and response.

The Ministry should provide:

- A format for the WSSP Strategic Plan
- An estimated figure for a grant contribution
- Estimated unit costs for goods, works and services
- Estimated levels of effort (DCT and TSPs)

2.2.1 Strategic Plan Appraisal and Approval

The Local Authority will approve a draft Strategic Plan and Budget for Ministry appraisal. The Ministry will appraise the draft Plan and Budget and may propose modifications to better align with national policies, strategies and available resources. The Local Authority will give final approval.

2.3 Cost Sharing

The principle of cost-sharing is integral to the demand/response approach and is applicable at both the community and district levels. Shared costs demonstrate commitment of parties and promote a sense of ownership – both of which are critical to sustaining program results.

Program costs are shared both in cash and in kind. Generally, each participating community will be responsible for a contribution of 5% of the capital cost of their Community WSSP Plan. At least not less than half of the capital contribution should be in cash and be deposited into their account prior to the commissioning of any newly constructed or rehabilitated water facility.

2.4 Consolidated Financial System

To avoid burdening the districts with multi-donor accounting and multi-donor reporting demands all WSSP funds should be administered through a single financial system agreed upon between the Ministry, district administration and participating donors. The system should be designed to work, as far as possible, within established government financial procedures.

3.0 Implementation Arrangements

With a Strategic and Action Plans in place and funding secured the DCT should be in a position to start implementation following these steps:

- Orientation and Sensitization
- Capacity Building & Training
- Service Improvement (Promotion & Construction)
- Monitoring and Support

These activities are presented in a sequence. In reality, however, they are overlapping and iterative as presented in Figure 3.1 below.

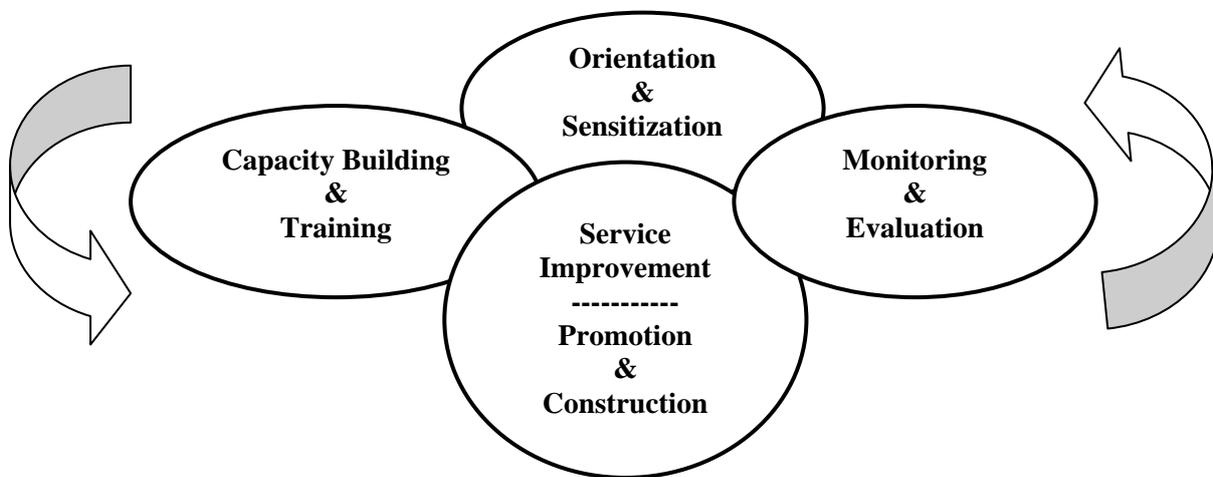


Figure 3.1: Overlapping and Iterative Activities

3.1 District Orientation and Community Sensitization

The FSP should assist the DCT plan and implement a District WSSP Orientation and Sensitization Program.

District Level

The first step should be to provide orientation for all Councillors (elected members) of the Local Authority, all members of the District Administration and other district-level stakeholders.

Community Level

The second step should be to carry the orientation at the Area and Village levels and begin the process of sensitization – i.e. awareness of the need and opportunity for improved water and sanitation through WSSP. How far this second step is taken in any district will depend upon the scope of the program. If the plan is to begin the program only in priority areas and to expand progressively as resources are available, then direct promotion and sensitization activities to priority areas. The future credibility of the program would be

severely undermined if the program is promoted and demand stimulated in areas and villages where the district is not yet able to invest.

Community sensitization and orientation should be the direct responsibility of EWTs working closely with Traditional Authorities and Village Leaders supported by DCT members.

The EWTs should sensitise Area Development committees (ADC), Village Development Committees (VDC) and potential user communities about the program, what it offers and how they can participate. The sequence of sensitization and promotion activities is illustrated in Figure 3.1 below:

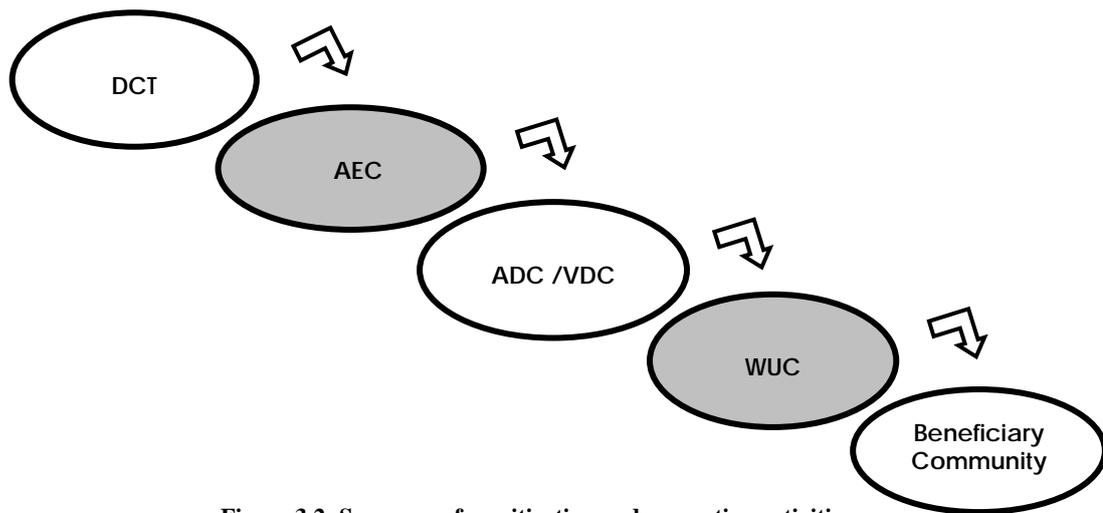


Figure 3.2: Sequence of sensitization and promotion activities.

3.1.1 Accessing Support

During orientation activities, ADCs, VDCs and communities should be provided with the following:

- WSSP Information Sheets outlining terms and conditions of participation
- Application Forms – to be completed and forwarded to the DCT through VDC/ADC
- The criteria that will be used to assess and verify community applications.

Extension Workers should be trained to help ADCs, VDCs and communities complete application forms.

The DCT should set up transparent procedures and schedules for assessing applications based on needs identified and readiness demonstrated. Following desk assessment, the DCT should verify applications in the field involving the TAs as much as possible. The DCT should then provide the DA with a list of ADCs, VDCs and communities recommended for approval.

The DCT should assign EWTs to assist approved communities to organize, plan and mobilize resources for program implementation.

3.2 Capacity Building & Training

WSS is designed to build institutional capacities at community and district levels that will sustain a long-term program of improved water and sanitation services.

Institutional capacity not only includes having effective planning, management and monitoring systems in place - but also having people in place with the motivations, skills and resources needed to do their job. Training, therefore, is an essential component of capacity building.

3.2.1 Building the Capacity of the DCT

The primary function of the DCT is to plan and manage. DCT members, as trained professionals, bring to the Team their sectoral expertise. They may not, however, bring the planning and management expertise necessary for them to coordinate a complex multi-sectoral program.

The Ministry has developed a number of management “systems” designed to guide and support DCTs in their work and to ensure consistency in the implementation of national WSSPs. The systems include:

- Results-based Planning
- Financial Management
- Procurement & Contract Management
- Information Management
- Monitoring & Evaluation

Figure 3.3 below shows various steps for building capacity for DCT:

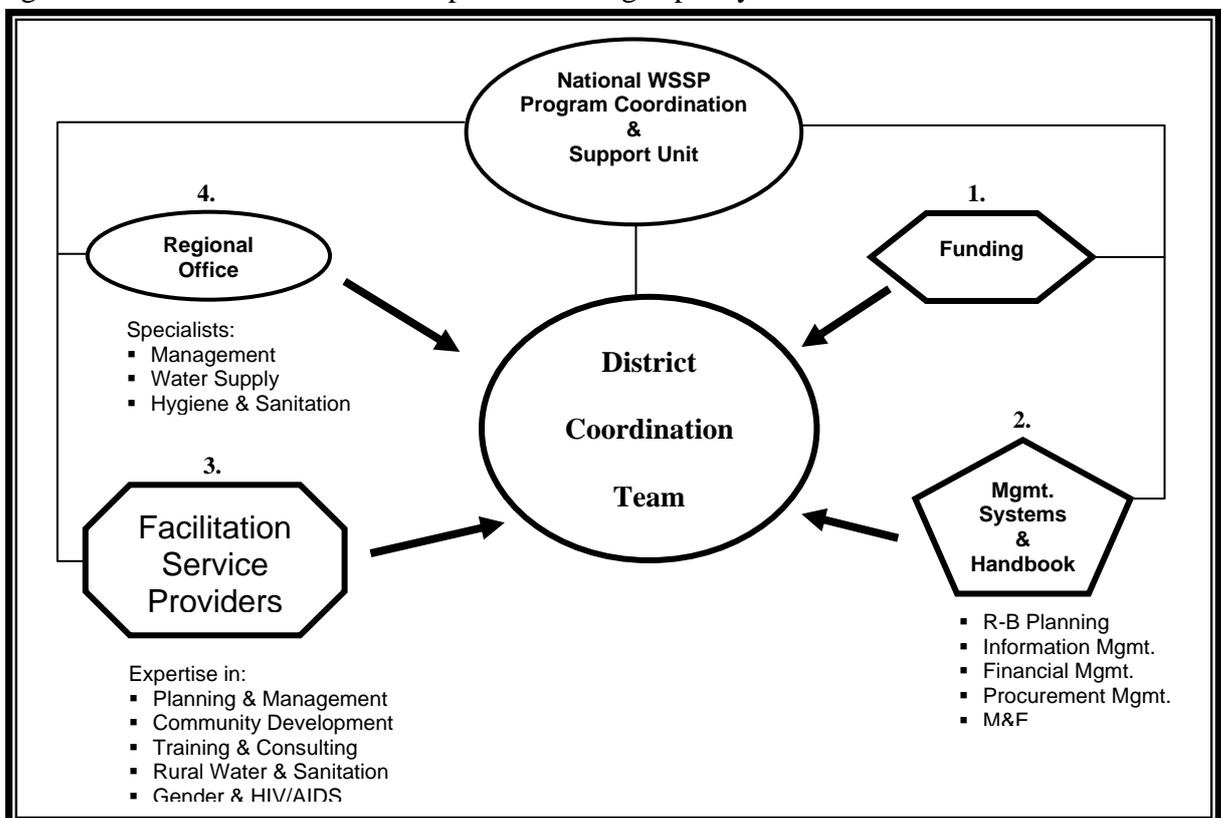


Figure 3.3: Building the Capacity of the DCT

Facilitation Service Providers

The core task of the Facilitation Service Provider (FSP) is to assist the districts establish management systems and use them effectively.

The inclusion of FSPs in the WSSP support system is based on the recognition that many, District Coordinating Teams will need consistent, dedicated external support in the initial phase of WSSPs to build their capacities for:

- Planning a long term integrated program;
- Accessing and managing resources;
- Coordinating stakeholder activities;
- Participatory monitoring and evaluation; and
- Analysis and reporting.

FSPs could be private sector firms or non-profit making entities (e.g. NGOs) contracted by the Ministry to provide management consultancy services to the DCTs in a given district.

Regional Offices

Regional offices are technical and administrative arm of the Ministry at regional level providing technical assistance to the districts. These regional offices provide backup services to the district.

3.2.2 Building the capacity of the community

The DCT is responsible for ensuring capacities are built in the community structures to plan, manage, motivate, train, construct, repair, maintain, monitor and evaluate water and sanitation activities.

Capacity building at the community level requires training, and technical assistance for:

- ADCs/VDCs
- WUCs
- Sanitation Clubs
- Hygiene Education Promoters
- Water Point Committees
- Local Utility Operator
- Repair Teams
- Caretakers
- Artisans/masons

3.2.3 Pre-qualification and Monitoring Technical Service Providers

Technical Service Providers (TSPs) are individuals or a small firm offering a single and very specific service – e.g. VLOM pump installation and major repairs, Gravity Fed Scheme expansion, latrine construction.

Generally, in the project period, the services of TSPs are contracted by the district on behalf of the community to carry out construction, installation and, in some instances technical training. During post-construction stage, TSPs should be contracted directly by the communities, as required, for repairs, maintenance and latrine construction.

DCTs, in collaboration with ADCs and VDCs should identify local individuals and entities that have the potential to provide the various technical services required using acceptable qualification standards.

Pre-qualification and training should then position individuals or entities to be contracted or engaged as TSPs by communities or the DCT. The cost of TSP training and most services in the early stages of the program should be covered from the district budget. In the longer term (i.e. post-construction O&M phase) technical services to the community should be covered on a “user pays” basis.

3.2.4 Assigning and Supporting Extension Worker Teams

The Extension Worker Teams (EWTs) should facilitate the entry of the service providers into the community and be able to provide immediate, relevant information for community WSSP planning. Working alongside the service providers, the EWTs should be able to upgrade their participatory skills and become fully conversant with all aspects of the WSSP program. This is critical for ongoing follow-up support services to the community. When services providers interventions have been completed, the extension workers should continue working with the community to reinforce lessons learnt, consolidating skills, encouraging further improvement, monitoring progress and evaluating results.

The DCT should coordinate and the work of EWTs. The level of integration that is achieved will largely be dependent upon the ability of the WMAs, HSAs, and CDAs to work together at the community level., The capacity for this will be directly related to the level of coordinated support and direction provided by the DCT.

3.2.5 Appraisal and Approval of Community WSSP Plans

One of the first major community outputs facilitated by the service providers will be a proposed Community WSSP Plan that sets out what, and how much the community plans to accomplish within a given period.

The Community Water Plans will outline the following:

- Current Water Supply and Sanitation status in the community
- Scope and breakdown of activities planned
- Results (improvements) expected
- Community inputs required

The DCT should recommend CWPs to the DA for approval. Communities whose CWPs have not been accepted should be assisted to bring their CWPs to an acceptable level.

Following approval of the CWP, the District and the Community will sign a ***Community Project Agreement*** that documents mutually acceptable expectations and obligations. This should be a very public and celebratory event with the ADC/TAs and VDCs as witnesses if not signatories to the Agreement.

3.3 Service Improvement

Community WSS Plans should focus on achieving the following areas:

- Improved sanitation facilities and hygiene practices including waste water and solid waste management
- Improved water supply
- Improved catchment protection

3.3.1 Procurement and Contract Management

The District WSSP Strategic Plan should include a Procurement Plan. The Procurement Plan should be adjusted following the approval of CWPs to match with the actual requirements for goods, works and services specified in the community plans. The DCT, in consultation with regional office, should determine what goods, works or services should be procured at;

- The regional level
- The district level and
- The community level

Although management responsibilities, including procurement, should be devolved to the lowest level possible, limited managerial expertise at these levels, or the need for economies of scale, may dictate that procurement be done at higher levels. When this is the case, every effort should be made to engage the recipient of the goods, works and services in the procurement process and to have them involved in scheduling delivery, monitoring services, and signing-off on satisfactory performance.

If and as required the FSPs should build the capacity of DCTs to manage or oversee district WSS procurement. Similarly, the FSPs should build the capacity of WUCs to directly contract local service providers.

Contract Supervision: In WSSP the DCT should be directly responsible for the supervision of contracts and monitoring of contractors' performance. An FSP should assist the DCT establish and implement the WSSP contract management and performance monitoring system if required.

3.3.2 Support for Hygiene and Sanitation Improvement

District support for community improvement of hygiene and sanitation (HandS) will primarily be through the services of the FSPs who will:

- Facilitate collection and analysis of baseline data on community H&S
- Ensure HandS improvement is adequately addressed in CWPs
- Foster the formation of Sanitation Clubs
- Assist the WUCs in the selection and training of WSSP volunteers and latrine artisans /masons
- Promote linkages with schools, market centres and other public institutions
- Assist the WUCs to monitor, evaluate and report on H and S progress and results.

In addition to providing (supervising?) the services of the FSPs, the DCT will ensure the availability of:

- Promotion and training materials
- Skilled TSPs (as required)
- Appropriate designs
- Required construction materials
- Funding for public H&S construction

3.3.3 Support for Improved Water Supply

Engineering/Consultation

Engineering/hydrogeological services may be required for technical surveys, scheme design, siting and construction supervision. The DCT should identify the need for these professional services and should procure them from the private sector. Alternatively, or as a stop-gap measure, the DCT may request some of these services from the Specialists from the regional office.

Major Construction

In the rural program major works will generally be limited to borehole construction, borehole rehabilitation and the construction of gravity fed schemes. These works should be contracted out to the private sector. The DCT should be responsible for the procurement process and, subsequently, for managing the contracts. This must include monitoring contractors' performance, inspecting and signing off completed works.

If the DCT lacks sufficient technical and managerial expertise for these tasks the District may request assistance from the regional Office. The Regional Office may be expected to take the lead where multi-district contracts are required or where economies of scale are to be achieved.

Technical Service Providers (TSPs)

Communities may directly contract TSPs – or the district may contract their services on behalf of the community.

Water Monitoring Assistants

Water Monitoring Assistants (WMAs) should monitor the delivery of services both within the community and *to* the community, ensuring that specifications are met and standards are maintained. They should help communities to identify and solve problems by providing technical advice and facilitating access to local service providers. One of the most critical tasks of the WMAs are to monitor the spares “supply chain” and advise the DCT on any difficulties that may arise.

3.3.4 Support for Catchment Management

DCT in consultation with the WUCs should ensure that catchment protection/management is included in all Community Water Plans. Professional inputs for larger catchment areas should be outsourced.

4.0 Management and Institutional Arrangement

Implementation of water supply and sanitation services puts emphasis on decentralization to ensure that resources are owned and managed at local level. Therefore, WSSP should be implemented through LAs and communities. In this respect, the roles of various stakeholders require careful understanding to ensure coordinated execution of activities.

There are three key institutions in the planning and implementation of RWSSP. The roles and responsibilities of these institutions are as follows:

4.1 The Ministry responsible for water affairs

- Providing policy guidance and national strategic plans
- Building national database for planning, monitoring & evaluation
- Preparing national investment plans and resource mobilisation
- Establishing and circulating criteria for resource allocations to the districts
- Assist designing and installing Water supply and Sanitation facilities
- Supporting regional Offices including deployment of personnel and allocation of funds
- Assist in contracting and supervising TSPs/FSPs, contractor and Consultants
- Negotiating with districts for capacity development consulting services
- Appraising District RWSSP Plans
- Signing Project and Grant agreements with Districts
- Ensuring timely flow of funds to districts
- Providing and monitoring national standards, regulations and procedures
- Providing technical back-up as required and requested
- Receiving, approving and responding to financial and monitoring reports
- Maintaining national Management Information System(MIS) and feedback system

4.2 District

The district is responsible for the following:

- Establishing and equipping a DCT;
- Negotiating for FSPs/TSPs services;
- Sensitizing and orienting district/area stakeholders on WSS program;
- Preparing, receiving, verifying and approving WSSP strategic plans, annual work plans and budgets;
- Submitting WSSP plans and budgets for Local Authority approval and responsible ministry's appraisal.
- Receiving and administering funds;
- Identifying and pre-qualifying Local Service Providers;
- Building awareness and creating community demand in priority areas;
- Supporting formation and training of WUCs, caretakers and repair teams;
- Facilitating signing of community project agreements
- Supporting selection and training of H&S promoters and masons [FSPs];
- Supporting technical services as required – e.g. siting , HDW etc. [TSPs]
- Certifying, handing over and signing off completed works;

- Procuring and arranging supervision of construction as required – e.g. borehole drilling;
- Ensuring an effective spare parts supply chain;
- Maintaining district WSSP M&E databases in accordance with national Management Information System requirements;
- Carrying out regular program monitoring & evaluation
- Providing regular Financial Management Reports – MoIWD/ESAs;

4.3 Community

The community is responsible for the following:

- Assessing current water, sanitation and hygiene needs and resource requirements;
- Preparing Community WSS Profile and plans;
- Forming WUCs, Health or Sanitation Clubs and supporting trainings
- Mobilising resources including cash contribution:
- Signing RWSS Project Agreement (to implement Plan) with district authorities and other Service Providers;
- Selecting and supporting training and deployment of Hygiene and Sanitation promoters, masons, caretakers and repair teams;
- Monitoring and reporting progress and ensuring quality of services
- Certifying completion of works;
- Carrying out routine Operations and Maintenance activities;

4.4 Institutional Structures

There are a number of structures in the district which are a key to effective implementation of RWSSP. Roles and functions of these structures are as follows:

4.4.1 Local Authority

Local Authority (LA) comprises elected members of council at ward level, Members of Parliament (MP), Chiefs and all other interest groups. The office of the District Commissioner (DC) or Chief Executive offers the Secretariat.

The roles and responsibilities of the LA are mainly as follows:

- Reviewing and approving Water Supply and Sanitation Strategic Investment Plans and budgets within the context of the District/Town/Municipal Development Plans;
- Accessing and accounting for government and external funding for WSSPs;
- Communicating and actively promoting WSSPs among the beneficiary communities through Area and Village Development Committees, Traditional Authorities, Group and Village Headmen.
- Providing overall leadership, enacting and enforcing district rules and bye-laws of participation for organizations and agencies active in the W&S sub-sector1;
- Receiving, reviewing and making decisions on quarterly progress reports (financial & management) by DCT

- Ensuring active participation of the Local Authority Administration in adherence to nationally established WSSP management systems such as Planning, Monitoring & Evaluation, Information Management, Financial Management, Procurement and Contract Management.

4.4.2 District Executive Committee

District Executive Committee (DEC) is the entry point for WSSP development to provide guidance and approval of the implementation of the proposed programme and targeted area based on needs assessment as reflected in the Village Action Plans (VAPs) . DEC will primarily, therefore, be responsible for technical advice to LA through DCT.

Specifically, DEC will be responsible for the following:

- Providing oversight to the DCT;
- Reviewing and forwarding DCT plans, budgets, reports and recommendations to the LA,;
- Ensuring support from and collaboration among Line Ministries to ensure a coherent and integrated approach to WSSP
- Ensuring adequate and timely deployment of personnel, flow of funds and management, procurement of goods, works and services to support DCT;

4.4.3 District Coordination Team

DCT is a technical arm of DESC within DEC on Water and Sanitation responsible for all technical guidance in the implementation of the RWSSP in the district. Its membership includes the Director of Planning and Development (DPD) as Chairperson, the Director of Public Works (DPW), District Water Officer (DWO) as Secretary and as members, the District Environmental Health Officer (DEHO), District Community Development Officer (DCDO), Environmental District Officer (EDO) or District Forestry Officer (DFO), the Monitoring and Evaluation Officer (M&EO), NGO representative working in water and sanitation in the district. When need arises, implementing entity can co-opt other members into DCT.

DCT is responsible for providing the day-to-day leadership and coordination for W&S activities in the district in collaboration with Traditional Authorities (TAs), ADCs/VDCs, VHWCs, NGOs, External Development Partners (ESAs), and Private Sector.

DCTs plan and manage the Council's W&S programme, carry out planning and administrative tasks to support the programme, serve as the communication link with all stakeholders in the district, town, municipality or city and supervise and support private sector service providers and suppliers.

DCTs perform the following specific roles and responsibilities:

- Planning, oversight and coordination of rural water supply, sanitation and hygiene program in the district.
- Preparing and maintaining a District (RWSSP) Profile and Database and identifying larger scheme needs – i.e. GFS and Market Centre WSS
- Preparing RWSSP Strategic Plans, annual Action & Procurement Plans and Budgets
- Assessing RWSSP Plans from VDCs/ADCs for Local Authority approval

- Providing the LA, ADCs, VDCs and other structures with orientation to the program;
- Coordinating awareness building/sensitization activities in target areas
- Appraising Community Applications and selection of communities for participation
- Formation/contracting of CFTs, providing training, deployment and supervision
- Signing VDC/Community Agreements on behalf of LAs
- Coordinating the financing of VDC/Community projects

Arranging procurement of major works and managing contracts. WSS procurement and financial accounting will be carried out by the appropriate departments of the District Council. The DCT will provide input, oversight and prepare reports.

- Monitoring and signing off on construction – ensuring standards/quality
- Pre-qualifying, training and contracting (as required) TSPs
- Ensuring accessible, viable supply chain for spares and equipment is maintained.
- Coordinating and liaising with the parent Ministry, line Ministries, donors, NGOs and other stakeholders.
- Implementing RWSSP monitoring & evaluation activities
- Providing LA/Ministry/partners with financial & analytical progress reports
- Collaborating with Capacity Development Technical Assistance

4.4.5 Extension Worker Team

Extension Workers Teams are the program’s front-line workers. They work directly with the participating communities helping them to mobilize their resources, develop their plans and organize and train for effective promotion, management, operations and maintenance.

Reports to:	Provides Technical support to:	Collaborates with:
District Council through the District Coordination Team	<ul style="list-style-type: none"> • Village Development Committees • User Communities and related committees – e.g. VHWCs, Water Point Committees, Sanitation Clubs etc. 	<ul style="list-style-type: none"> • Traditional Authorities • ADCs & VDCs • Technical/Facilitation Service Providers • NGOs • Civil Society
<p>Membership: <u>Extension Worker Team</u></p> <ul style="list-style-type: none"> • Water Monitoring Assistant (WMA) - Coordinator • Community Development Assistant (CDA) • Health Surveillance Assistant (HAS) 		
<p>Role: Building the capacity of VDCs and participating communities to plan and manage their water supply and to improve their sanitation facilities and hygiene practices.</p>		

Responsibilities:

- Building community awareness of, and demand for, safe water supply and improved hygiene and sanitation;
- Helping communities organize, mobilize resources and apply for District assistance;
- Assisting in data collection for District profiling and community planning;
- Facilitating the formation of Water User Committees (WUCs) and the preparation and submission of Community RWSSP Plans;
- Training WUCs for community-based management;
- Assisting communities monitor construction and other services;
- Supporting WUCs in the selection, training and supervision of H&S promoters, masons, pump caretakers, local utility operators (LUOs) and repair teams;
- Fostering the formation and support the activity of Sanitation Clubs;
- Helping the WUCs collaborate with schools and other public institutions in the provision of safe water and improved sanitation;
- Assisting the WUCs access private sector (O&M) services as required;
- Assisting in establishing a viable spare parts supply chain.
- Enabling communities to monitor & evaluate their RWSSP services on an ongoing basis.

4.5 Other Stakeholder**Technical Service Providers**

Technical Service Providers (TSPs) have been known as Community Support Groups (CSGs). However, CSGs are mainly local individuals or private sector entities providing very specific technical services generally on a contractual basis or compensatory arrangement of some kind. In many instances, they will not be from the immediate “community” which they are serving but from the Area. They will generally not be “groups” as such but individuals: masons, area mechanics, trainers of caretaker and repair teams, suppliers of spare parts and civil works contractors.

Report to:	Provide Services to:	Collaborate with:
Contracting or Hiring Agency e.g. DCT, VDC User Committees	<ul style="list-style-type: none"> • Village Development Committees • User Communities and related committees –e.g. Water Point Committee. WUA, Sanitation Clubs etc. 	<ul style="list-style-type: none"> • Traditional Authorities • ADCs & VDCs • Community Facilitation Teams • Engineers, Contractors and Suppliers

Membership:

A TSP may be an individual or a small group enterprise offering a very specific service e.g. VLOM pump installation and major repair – or a broader band of services such as latrine and hand dug well construction or civil works construction.

TSPs will be pre-qualified by district authorities to ensure standards of competence.

Role:

To provide technical water supply and sanitation services to communities on a demand and user-pays basis.

Responsibilities will include:

- Civil works construction e.g. aprons and soak ways
- Gravity Fed Systems (GFS) construction and maintenance
- Hand dug well construction
- VLOM pump installation and major repairs
- Slab and latrine construction /promotion & sales
- Training of Caretakers and Repair Teams
- Spare parts and equipment sales & service

Area Development Committee

Area Development Committee (ADC) is an official level of local government consisting of District Assembly representatives and Traditional Authorities

Reports to:	Supervises:	Collaborates with:
District Council/DEC	<ul style="list-style-type: none"> • Village Development Committees 	<ul style="list-style-type: none"> • DCT • EWT • VDCs • Technical Service Providers • Scheme Designers, Contractors and Suppliers • GFS WUAs • NGOs
Membership: Ward Councillors, Traditional Authorities Members of Parliament, AEC Representatives, Elected Members and Interest Groups		

Role:

To assist both the District and Villages to plan, implement, coordinate, monitor & evaluate development activities at area level and to serve as a link between the VDCs and the District Council

Responsibilities:

- Contributing to preparation of RWSS District profile, plans and maintenance of District Database
- Promotion of the RWSSP at area level
- Reviewing VDC/Community applications and forwarding to DCT
- Harmonising conflicting priorities and demands
- Assisting in identifying, pre-qualifying and monitoring performance of TSPs
- Participating in procurement of services at area-level Assisting in coordination and deployment of service providers
- Helping to establish and maintain area-level supply chain for spare parts
- Participating in regular District monitoring & evaluation activities of RWSSP

Village Development Committee

The Village Development Committee (VDC) is the first level of local government. The VDC provides coordination, oversight and support for all village-level development investments and activities

Reports to:	Supervises:	Collaborates with:
ADC	<ul style="list-style-type: none"> • WUCs • VHWCs • WPCs • Sanitations clubs 	<ul style="list-style-type: none"> • Extension Workers Team • Executive Committees • Technical Service Providers • Consultants, Contractors and Suppliers • NGOs
Membership:		
Elected Members and Interest Groups. Ex-Officials: Group Village Headman, Ward Councillors, AEC Representatives,		
Role:		
The VDC provides coordination, oversight and support for all village-level development investments and activities.		

Responsibilities

- Contributing to preparation of WSSP District Profile and provide data for updating District Database
- Identification of water and sanitation needs and development of Village Action Plans (VAPs)
- Participating in the promotion of WSSP to Village members and organizations
- Establishing/nominating interim WSSP committees for purposes of sensitization, needs assessment, preliminary planning, mobilization and preparation of WSSP Application
- Reviewing, coordinating and consolidating Community Applications and forward to DCT through ADC
- Assisting in verification of Applications
- Participating in User Group/Community planning activities
- Engaging in multi-village planning – e.g. shared GFS – catchment protection, market centre Water and Sanitation
- Arbitrating conflicting priorities and demands
- Appraising Community WSSP Plans, consolidation and forwarding them to DCT through ADC.
- Assisting in identification, pre-qualification, and monitoring of performance of TSPs
- Participating in district procurement of Area-level services
- Signing-off on completed works and services
- Assisting in coordination and deployment of EWTs
- Helping to establish and maintain Area-level supply chain for spare parts
- Participating in regular District monitoring & evaluation of WSSP.

The Water User Committees

The Water User Committees (WUCs) are elected members of the community entrusted with the responsibility to plan and manage water supply, hygiene and sanitation program on behalf of the user community.

WUCs:

Report to:	Collaborates with:
The VDC and User Community	<ul style="list-style-type: none">• Other community organizations/Committees• EWTs• TSPs/FSPs• Consultants, Contractors and Suppliers• NGOs

Role:

The WUCs plan and manage the water supply, hygiene and sanitation program on behalf of the user community.

Membership

WUCs members are democratically elected by the users/beneficiaries of the planned WSSP. There is no single model for WUCs. Generally, the committee should:

- Have 5 to 10 members
- Have an executive consisting, minimally, of a chairperson, secretary and treasurer
- Be representative of the whole community
- Include both genders – (with at least 50% women – some in executive positions)

Responsibilities:

- Collecting, analysing and providing data for planning
- Preparing and submitting Community RWSSP Plan for the District Council
- Signing project agreement with District Council
- Participating in training
- Organising committee and community meetings
- Collecting and managing cash, in kind contributions, and tariffs
- Enforcing bye-laws and administer sanctions
- Selecting, supervising and ensuring training of caretakers, promoters and other volunteers
- Negotiating, monitor and sign off on the services of TSPs and contractors
- Ensuring:
 - Hygiene & sanitation promotion
 - Adherence to construction standards
 - Maintenance of water quality
 - Site cleanliness and catchment protection
 - Sustainable operations and maintenance
 - Equitable provision of services
- Coordinating sub-committees and/or collaborating with program-related groups – e.g. Water point committees, sanitation clubs, HVI and AIDs clubs
- Monitoring, evaluation and reporting on program progress and results to the community, VDC and Local Authority (DCT).

Water Point Committees

Water Point Committees (WPCs) consist of five to ten persons elected from user households being served by a specific water point. WPCs should have both men and women. Chairperson, secretary and treasurer should be able to document meetings and record finances.

Responsibilities:

- Ensuring that taps, tap aprons, pumps, soak away pits and hand washing facilities are kept clean and tidy;
- Carrying out repairs;
- Reporting water stoppage, pump or pipeline breakages to repair teams, local operators or area mechanics;
- Collecting maintenance funds from each user household;
- Maintaining proper financial records of funds collected following prescribed financial procedures;

- Conducting regular meetings to review water point performance, cleanliness, user compliance and fee payment;
- Providing regular reports to the WUCs/VDC and feedback to the community.

5.0 Cross Cutting Issues

Cross cutting issues should be considered at all stages of the project cycle to ensure sustainability of the water and sanitation facilities. The following are common cross cutting issues which should be taken into account.

5.1 Gender

The implementation strategy of the project should place a lot of emphasis on equal participation by men and women in all key community decisions and commitments on sub projects and their related activities. A gender-sensitive approach should be implemented to ensure that communities' decisions take into account the different priorities and interests of both men and women in addressing water and sanitation problems. Other vulnerable groups like the elderly, disabled and child-headed household should be taken into account.

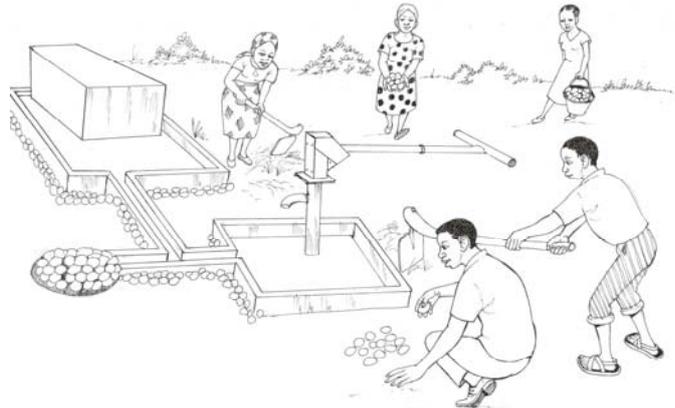


Figure 5.1: Men and women working at a water point

All stakeholders in project implementation process should be oriented on gender issues to ensure active participation of both men and women in the project.

5.2 HIV and AIDS

The magnitude of the HIV and AIDS pandemic has to be recognized. Water and sanitation programs should integrate HIV and AIDS prevention and mitigation measures. The strategy should be implemented in collaboration with other sector agencies and NGOs working on HIV and AIDS programs within the context of the national HIV and AIDS strategy.

5.3 Environment

Environmental measures should be incorporated into all activities to ensure that activities do not affect the environment. All facilities should be designed, constructed and operated to meet the national environmental guidelines, including appropriate facility siting, adequacy of construction standards, catchment protection, water quality norms, adequate wastewater disposal, community orientation and training in environmental issues and hygiene education to ensure effective use of facilities. Communities should be sensitised to safeguard their water sources from contamination.



Figure 5.2: Catchment

6.0 Monitoring, Evaluation and Ongoing Support

The Ministry has developed a national M&E System that includes the WSS Program and is designed to feed data into comprehensive M&E System of the Government of Malawi - to track progress toward MDG goals.

RWSS Monitoring & Evaluation activity should focus on the following closely related categories of results:

- Progress Results
- Financial Results
- Development Results

Progress Results are project activities that have been completed. Key completed results are called milestones. Milestones are related to time and indicate whether the project is ahead, behind or on schedule.

Financial Results are receipts and expenditures related to budget, which indicate whether the project under-expended, over-expended or within budget.

Development Results are project accomplishments in terms of expected changes such as increased capacity, expanded services or, improved practices. Development results are measured by pre-selected indicators which may be quantitative, qualitative or both.

6.1 Levels of Monitoring

Effective Monitoring and Evaluation (M&E) should be carried out at the following organizational levels:

- National - Led by the Ministry responsible for water affairs
- District - Led by the District Coordinating Team
- Community - Led by the WUCs/WUAs/VHWCs/Area Mechanics

A recommended M&E data and analysis flow is given in Figure 6.1 below.

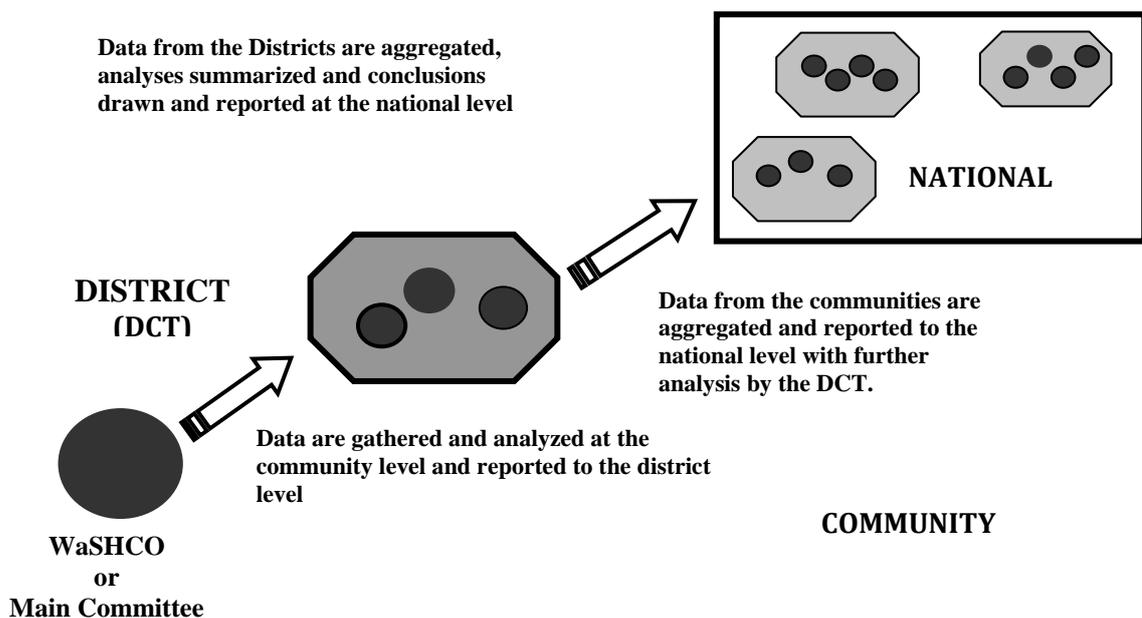


Figure 6.1: M&E data and analysis flow upward

6.2 Essential Data

Not all data gathered at community level may necessarily be required at district or national level. However, data required at national level must be regularly and consistently gathered at the community level and reported to the district. The data should be aggregated at district level reported to the national level.

6.3 Baseline Data

Baseline data is required to measure progress of the project. It is usually captured at the beginning of project implementation.

6.4 Monitoring for Management

FSPs should work with the DCTs to establish the M&E system and orient the DCT in data analysis and its application for management purposes. At community level, FSPs should similarly, provide assistance to the WUCs and other relevant structures.

6.5 Ongoing Monitoring and Evaluation and Community Support

The objective of ongoing M&E is to build capacity and the commitment of various stakeholders at the different levels. It becomes an established and essential management practice that extends beyond the time-frame of the project. Extension Workers, in their supportive role, play an important part in consolidating the practice of monitoring and evaluation at the community level and in ensuring the regular flow of required data from communities into the districts, into the national database.