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SUB-REGIONAL WORKING GROUP MEETING ON COST RECOVERY AND RESOURCES COVERAGE

Mongu, Western Province, Zambia

30 January - 3 February 1989

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WORKING GROUP REPORT

February 1989

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F O R E W O R D

This report presents the findings, conclusions and recommendations of a sub-regional working group meeting held in Mongu, Western Province, Zambia, 30 January - 3 February, 1989.

The meeting was organised by the Department of Water Affairs, Ministry of Water, Lands and Natural Resources, Lusaka, and attended by delegations from Malawi, Zambia and Zimbabwe. It is one of a series of on-going meetings being held under the auspices of the World Health Organization (Community Water Supply and Sanitation Unit), to further development of cost recovery and resources coverage guidelines for community-managed water supply and sanitation systems.

A C K N O W L E G E M E N T S

The Government of Zambia is grateful to the following organisations and persons for their support and contributions:

- * The Governments of Malawi and Zimbabwe for sending senior delegations to the Meeting. Representatives of these delegations participated actively and enthusiastically, sharing their knowledge and experiences with other Working Group members.
- * The Provincial Water Engineer, Mongu, his staff and organisation for their time and efforts in participating, organising, coordinating and generally ensuring the smooth running of the Meeting.
- * The Norwegian Agency for International Development (NORAD) for general financial and organisational support, financial support of international participants (including travel for the Zimbabwean delegation), and providing one resource person.
- * DGIS (Dutch Aid) and the International Reference Centre (IRC) for extending support to the Malawian delegation (allowing it to "piggy-back" the Meeting onto another workshop), and providing one resource person.
- * Resource persons from Zambia, the Netherlands and Norway for advisory and programme support.
- * The World Health Organization (WHO), under whose general auspices the Meeting was held.

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F R O N T I S P I E C E

(A BRIEF INTRODUCTION TO THE DRAFT GUIDELINES
ON COST RECOVERY AND RESOURCES COVERAGE (DECEMBER 1988))

The document "Draft Guidelines for Cost Recovery and Resources Coverage: Towards Sustainable Community Water Supply Systems and Maximum Sanitation Coverage" was used as the basic reference document for the Sub-Regional Working Group Meeting on Cost Recovery and Resources Coverage held 30 January - 3 February 1989 in Mongu, Zambia. As general background:

- * The draft guidelines are the cumulative result of a series of four consultations on institutional development held under the auspices of the Community Water Supply and Sanitation Unit of the World Health Organization (WHO). They attempt to answer basic questions of cost recovery

- * What should be recovered?
- * Why?
- * From whom?
- * When?
- * How?

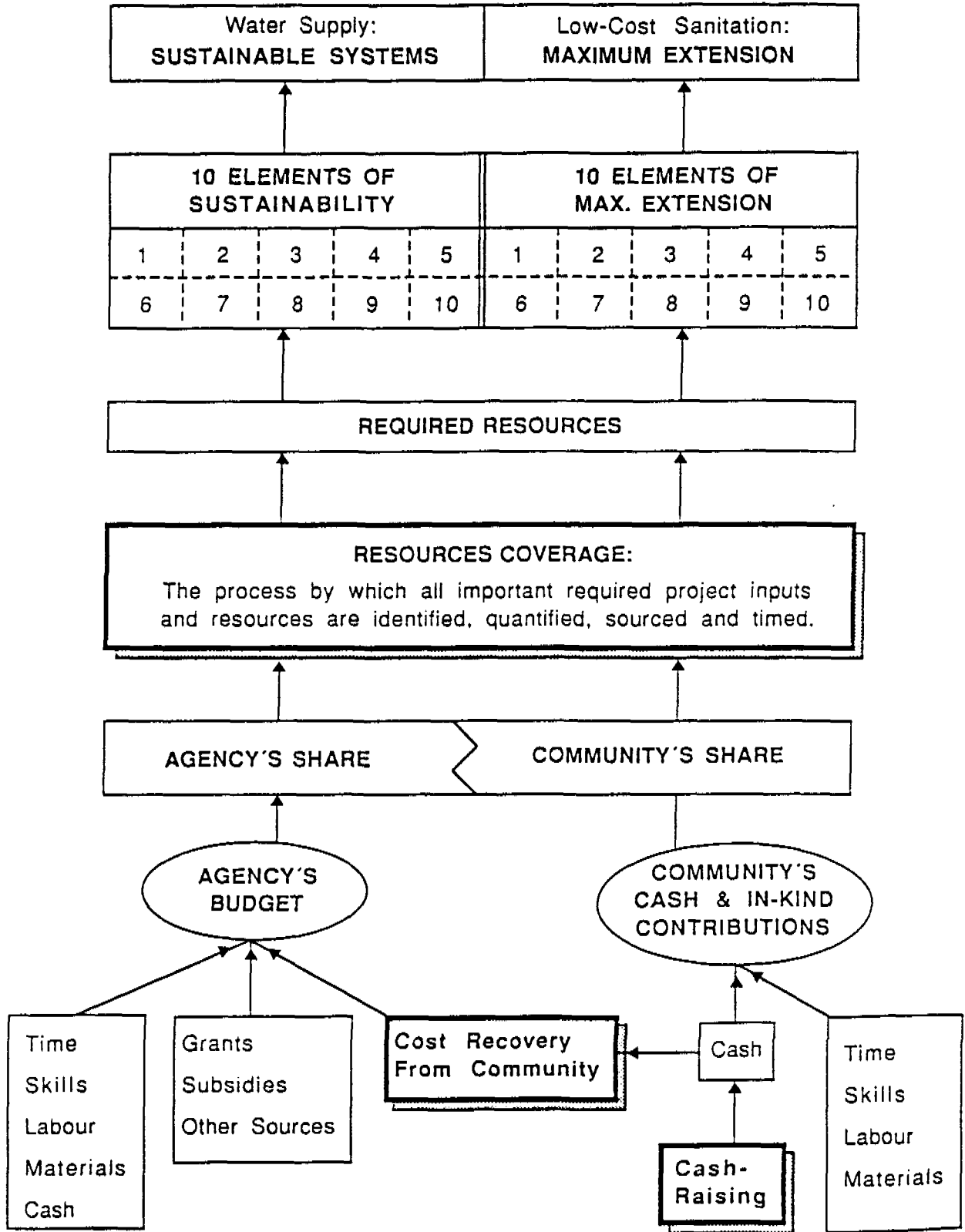
in the context of rural/peri-urban water supply and sanitation in developing countries -- and specifically in situations where communities (must) assume partial/full responsibilities for ownership, management, operation and maintenance of completed facilities, yet often have little extra cash on-hand

- * The document does not focus strictly on financial and economic aspects of cost recovery. Rather, it tries to provide a structure that allows cost recovery and other related issues to be addressed for situations where the community's inputs may include in-kind contributions as well as cash.
- * Major emphasis is placed on the concept of resources coverage, a process by which all inputs and resources required for successful project implementation are identified, quantified, sourced and timed. Cost recovery (where the agency recovers part/all of its project investment from the community) and cash-raising (where the community raises cash from its members to meet its financial obligation to the agency) are discussed within a larger framework that stresses sustainability and long-term development.
- * In exploring cost recovery and related concepts, the purpose of the document is to provide project planners, implementors and evaluators some tools with which to identify and quantify significant inputs and resources required for successful community-managed water supply and sanitation projects. Allocation and timely execution of agreed-upon responsibilities between implementing organisations and project beneficiaries/users is emphasised.

- * Possible applications of the guidelines are felt to include planning, budgeting, project appraisal, evaluation, case study and training.
- * Figure 1 (next page) provides a summary overview of important concepts and linkages discussed in the document, i.e.:
 - + Successful projects and attainment of "higher" development goals require successful implementation of inter-related key elements.
 - + The process of resources coverage helps ensure all development and operational phase input requirements are met by someone.
 - + The agency and community jointly share responsibilities related to resources coverage.
 - + The community's inputs may be as cash or as in-kind contributions.
 - + Cost recovery and cash-raising are mechanisms that help enable the agency and the community, respectively, meet their financial commitments to the project.

Figure 1.

**IMPORTANT INTER-RELATIONSHIPS:
Goals, Resources, Costs and Cash**



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- D. Worksheet W.1 and H.1 Example Rating Results

1. INTRODUCTION

Over the past three years, a series of four consultations on institutional development have been held under the auspices of the Community Water Supply and Sanitation (CWS) Unit of WHO. The First Consultation took up institutional development issues up generally, whilst following consultations have focused specifically on cost recovery. Participants to the four consultations have included senior government officials from developing countries, representatives from a number of international lending, donor and non-governmental agencies, consultants and WHO staff.

During these consultations, work on draft guidelines for cost recovery for community-based projects has progressed. The document "Cost Recovery and Resources Coverage: Towards Sustainable Community Water Supply Systems and Extension of Low-Cost Sanitation Units" resulted from the most recent consultation held in Geneva in November 1988. An Action Plan, included as Appendix A, calling for pre-testing draft guidelines to determine their validity for future onward development was one of the outcomes of the November 1988 consultation.

In line with this Action Plan, a Sub-Regional Working Group Meeting on Cost Recovery and Resources Coverage was held 30 January - 3 February 1989 in Mongu, Zambia. Participants to the Meeting included five representatives from Zimbabwe, three from Malawi, seven from Zambia (part and full-time), and three resource persons who participated in Working Group II discussions in Geneva in November 1988.

Mongu was selected as the appropriate venue for the Meeting to enable the Government's WASHE (Water Supply, Sanitation and Health Education) programme being implemented with NORAD-support in Western Province to be used for field-testing purposes.

The programme for the Meeting and a list of participants are included respectively as Appendices B and C.

2. OBJECTIVES OF MEETING

The primary objectives of the Sub-Regional Working Group Meeting were two-fold:

- * To field-test, on a preliminary basis, draft guidelines and provide recommendations for further development/improvement of the approach and worksheets included in the draft document.
- * To plan country- and sub-region-level follow-up action for (a) further use/development of the guidelines, and (b) related cost recovery and resources coverage activities.

3. METHODOLOGY

3.1. General Remarks

It is believed the draft guidelines developed have potential use in various situations, including planning, appraisal, case study and evaluation.

The pre-testing exercise in Mongu was based on attempted use of the guidelines to gain insights into an existing project, as would be done in much greater detail when carrying out a case study or project evaluation. In addition, the opportunity was also taken to assess the potential value and practicality of main guidelines concepts and principles in other situations -- appraisal and planning of new or extended projects.

(NB: Approach, procedures and level of detail will vary according to application, situation and need. In a planning or appraisal exercise, for example, the focus will be on determining optimum inputs required from both Agency and Community (very probably through a process involving several iterations). In a case study or evaluation exercise, the focus will instead be on assessing whether or not required inputs were made in timely fashion.)

3.2. Overview of Methodology

To work towards defined objectives, the Meeting programme was basically organised as follows:

- * Presentation of draft guidelines, including possible applications, major concepts, important inter-relationships, and worksheets having potential use as resources coverage planning/appraisal tools (Day 1).
- * Detailed discussion of draft guidelines and worksheets (Day 1).
- * Pre-testing of worksheets through (a) panel discussions with project staff, and (b) field visits to selected communities (one peri-urban and one rural) (Days 2, 3 and 4).
- * Evaluation of pre-testing exercise, including development of general/detailed conclusions and recommendations (Day 4).
- * Development of suggested country- and sub-regional-level action plans (Day 4).
- * Summary and concluding discussions (Day 5).

Brief summaries of selected main activities and results emerging are provided in the subsections below.

NB: It should be emphasised that the WASHE programme in Western Province was not, in any sense, "evaluated" by Meeting participants. Rather, it was used as a basis to pre-test selected cost recovery and resources coverage concepts and ideas included in draft guidelines. The intention was to see (a) whether the approach outlined in the guidelines could give useful insights into projects, and (b) where concepts and worksheets were unclear and/or needed improvement.

Reported results from partially completed worksheets should not be interpreted as a reflection of how successfully or unsuccessfully the WASHE programme is being implemented. Time was limited, and information gathered through panel discussions and field visits was highly selective and mostly targeted to specific issues. Ratings given to various programme components by Meeting participants were based on limited information and each person's understanding of the untried approach.

3.3. Presentation of Guidelines

Using the draft guidelines and Figure 1 of the Frontispiece as basic reference materials, the joint opening presentation by resource persons focused on:

- * Key concepts.
- * Basic principles of cost recovery.
- * Inter-relationships and linkages between development goals and objectives for water supply and low-cost sanitation projects, key elements, resources coverage, cost recovery by the agency, and cash-raising by the community.
- * Worksheets that can be used as tools by planners, implementors and evaluators to analyse or allocate for necessary/actual resources coverage inputs.

(The worksheets are Tables W.1, W.2.A and W.2.B for water supply, and Tables H.1, H.2.A and H.2.B for household sanitation included in Annex D, pages D-1 through D-3 of the draft guidelines.)

- * Potential applications for the guidelines and worksheets.
- * Available methods of cost recovery and cash-raising.

("What Price Water?: User Participation in Paying for Community-Based Water Supply", IRC Occasional Paper Series No. 10, was distributed to all Meeting participants for reference.)

3.4. Information-Gathering

Information on the WASHE programme in Western Province was gathered from (a) members of the project implementation team during panel discussions, and (b) community members during field visits.

Prior to panel discussions with project team members, Meeting participants discussed key elements of water supply sustainability and extended low-cost sanitation coverage in some detail. Specific elements to be focused on when filling out the worksheets were selected. Questions to help learn to what degree inputs had been provided, on the one hand, by the Agency (in this instance, the Government of Zambia) and, on the other hand, by the Community (in this instance, the two villages visited taken together) regarding the selected key elements were also formulated.

Some typical questions to help determine level and effectiveness of inputs actually provided are listed below for illustrative purposes:

A. Water Supply: Key Element No. 1 -- Strong Community Institutions.

++ Questions for the Agency:

- Are existing structures within the Community used as the basis for initial organising activities? How are they supported?
- What is done during the development phase of the project to assist the Community to organise itself (or strengthen an existing village committee)?
- What is done during the operational phase to ensure that community institutions remain organised and capable of carrying out operation, maintenance, revenue collection, etc.?
- Are regular visits to the Community scheduled after the hand-pump has been handed over? For what purpose?
- How does the Community decide/learn/hear of the responsibilities it should bear in construction and ongoing operation of water facilities to be installed? Do Community members understand and accept their responsibilities?

++ Questions for the Community:

- Who serves on your Village Water/Health Committee? How many men? How many women? Which members of the Committee are here today?
- What other types of village committees do you have? What types of activities do they undertake? How often do they meet?

- Who is responsible for repairs of the handpump?
- What do you do when there is a pump breakdown?
- How do you collect revenue to meet repair costs? How much money is in the treasury now?
- Who owns this handpump?
- What do you do when it is necessary to replace a member of the Village Water Committee?

B. Sanitation: Key Element No. 8. Community Extension Services.

++ Questions for the Agency:

- What type of extension services are provided by Government?
- How often is the Community visited by health workers? What do they do when they visit?
- What type of training related to promotion of latrines is given to health workers?
- Do you feel health workers visit the Community often enough? If no, what keeps them from visiting more frequently?
- Does the project include a specific health education component? A specific sanitation component? How much is budgeted for these components?
- Who on the project team is responsible for coordinating activities with the Ministry of Health?

++ Questions for the Community and its individual members:

- How often are you visited by the Village Health Worker? How does she get here?
- What does she do when she comes? Does she meet with the Community as a group? Or with individuals?
- Does she use a book with pictures to explain about better hygiene and sanitation?
- Does she encourage you to build latrines? Does she tell you about different types of latrines she has seen in other villages?
- Does Government provide any type of support to those households that want to build a latrine? If yes, what type of support?

During the field visits, besides asking questions, Meeting participants tried to observe what was generally going on in the Community, who was answering questions, how readily questions were being answered, how many latrines there were, the general appearance of the handpump and soakaway area, etc.

3.5. Completing Worksheets W.1 and H.1

Worksheets W.1 and H.1 were partially completed on the basis of information gathered from panel discussions and field visits. In filling out selected elements of the worksheets, each member of the Working Group was asked to give a subjective rating of his/her opinion of level of effective inputs provided by the Agency and by the Community during both development and operational phases. All other factors being equal, was this enough to be confident that the element would be in-place and sufficiently strong?

The subjective rating scale used was:

- 1 -- Inputs provided were much too little.
- 2 -- Inputs provided were rather too little.
- 3 -- Optimum level of inputs were provided.
- 4 -- Inputs provided were rather too much.
- 5 -- Inputs provided were much too much.

3.6. Completing Worksheets W.2.A, W.2.B, H.2.A and H.2.B

Due to lack of time, it was decided to simply try filling out one key element each on Worksheets W.2.B and H.2.A to see what problems would be encountered in carrying out a detailed assessment leading to onward planning of the next phase of the WASHE programme in Western Province. The following elements and situations were thus selected for trial:

- * Worksheet W.2.B, Water Supply:
Key Element No. 7 -- Operational Phase Inputs, Agency inputs only in the operational phase.
- * Worksheet H.2.A, Sanitation:
Key Element No. 4 -- Household Priority, Household inputs only in the development phase.

Typical activities and sub-activities that could be included under these two elements were brainstormed forth. For illustrative purposes, then, Key Element No. 7 -- Operational Phase Inputs might include such activities/subactivities as:

Activity	Subactivity
- In-service training
- Monitoring
- Spare parts	. needs inventory
	. procurement
	. storage
	. distribution
	. stock-taking

Following such an approach in a detailed planning exercise, it should be possible to identify, quantify, source and time all required inputs from both the Agency and the Community/Household in the resources coverage process.

Further, for the Agency, once its identified inputs are translated into monetary terms and other sources of financing are subtracted out, it should then be known how much must be recovered from the Community. Similarly, for the Community, it should be apparent how much cash it must raise and what in-kind contributions it must commit itself to for development and operation of the particular facilities being considered. The process can be iterative, i.e. if either party cannot "balance its budget", then either alternative sources of funding must be identified, and/or level of service and technology must be reconsidered.

3.7. Action Plans

Meeting participants split into smaller groups to develop country-level action plans. Country groups for Malawi, Zambia and Zimbabwe were thus formed. Resulting plans were presented and discussed in plenary.

Recommendations and follow-up actions relating to sub-regional level were developed in plenary.

4. WORKSHEET W.1 AND H.1 RESULTS

With reference to Subsections 3.3 and 3.4, average scores for elements Meeting participants felt in a position to rate are included in Appendix D. In some cases, ratings ranged from 1 to 5; most typically, however, scores were in the 1 to 3 points range.

NB: The caution noted in the last two paragraphs of Subsection 3.1 (to not consider scores as an evaluation of the test case water supply programme) is repeated here.

5. OBSERVATIONS AND CONCLUSIONS ON DRAFT GUIDELINES AND WORKSHEETS

A number of observations and conclusions regarding draft guidelines and worksheets resulted from general discussions and the pre-testing exercise. These are summarised below.

Key Elements:

- * For Water Supply:
 - Involvement of women should be highlighted as a key element (similar to Key Element No. 3 for sanitation).
 - Key Element No. 7 can be deleted, as other key elements adequately cover operational phase input issues.
- * For Low-Cost Sanitation:
 - Key Element No. 1 should be retitled "Support of Community Institutions and Local Leaders" to emphasise that formal community organisations also have strong motivating roles.
 - In general, hygiene education needs to be emphasised more within the key elements.
 - Possibly, the order in which key elements are presented needs to be reconsidered.

Inter-Relationships Diagram:

- * Figure 1 of the draft guidelines can be revised to show the linkages between sustainable water supply systems and greater sanitation coverage, and higher development goals such as better health, improved quality of life, etc.
- * It would be useful if entry points for the worksheets could be shown on the figure.

Worksheet Structure and Instructions:

- * A number of points relating to worksheet structure and use need further clarification to minimise confusion:
 - It should be emphasised that Worksheet W.1 and H.1 ratings relate to provision of inputs by involved parties, not degree of success/failure actually achieved. Questions to always keep in mind when rating are: What inputs are provided by whom, when? When balanced with appropriate inputs from the other partner (i.e. the Agency or the Community), are these

inputs sufficient to achieve successful implementation of the specific key element being considered? Are input levels too low, just right, or too high?

- Worksheets W.1 and H.1 would be easier to use if their formats were revised to be similar to that of Worksheets W.2.A/B and H.2.A/B, i.e. with columns on both sides of the key elements (rather than on one side).
- Column headings on Worksheets W.2.A/B and H.2.A/B should be modified so there is no confusion as to what various headings actually mean. In general, these worksheets should be reviewed to see what other modifications might improve their clarity.
- The rating scale needs to be clarified/improved.
- It needs to be emphasised that when field information is being gathered to complete Worksheet H.2.A/B Columns B and D, it is individual households that should be interviewed, not the community as a group. The reason for this is that community groups often provide completely different (and more favourably-biased) answers than individuals interviewed alone do.

Applicability and General Remarks on Worksheets:

- * There appear to be a number of possible applications for the worksheets. Possibilities identified by Working Group members included use as planning tools, as budgeting tools, for project appraisals, for project evaluations, for case studies, and for project team training purposes.
- * The worksheets can be used in somewhat detailed, very detailed or very preliminary fashion, or as simple checklists, depending on intended use of results, user requirements, level of detail needed, time and manpower available, etc. Like any planning/budgeting/appraisal tools, their use is flexible, and they are meant to be tailored to the situation-at-hand.
- * The worksheets are multidisciplinary in nature. As such, they are perhaps most valuable and yield greatest insight when used by (small or large) multidisciplinary teams of professionals.
- * Once further experience is gained, it may be appropriate to consider preparing guidelines for workshop moderators. Information that could be included might be how to present cost recovery/resources coverage concepts and worksheets to others, various types of exercises that can be used, possible pitfalls and how to address or avoid them, etc.

General:

- * Cost recovery can only be viable when the environment is right, i.e. there must be political will and genuine government commitment to make cost recovery work. Obviously, cost recovery will never be possible so long as people are told/believe that "water is free".
- * This Sub-Regional Working Group Meeting on Cost Recovery and Resources Coverage was particularly timely. The issue of cost recovery is of increasing concern in all three participant countries.
- * The validity of concepts contained in draft guidelines was fully accepted by all. The guidelines provide a structure and systematic approach to viewing cost recovery and resources coverage issues and concepts. Further, they have applicability in a variety of planning, appraisal, evaluation and case study situations. Efforts to develop/refine/test/apply work further should continue.
- * Guidelines on cost recovery and resources coverage will greatly help in raising consciousness on cost recovery issues in the sub-region. They can provide useful background and guidance for policy discussions at national/regional level.
- * In that sub-regional cost recovery activities are proceeding rapidly, there is need to revise draft guidelines and distribute them immediately. Zimbabwe, for example, has scheduled a major national planning workshop in end-February 1989; having a revised draft for distribution and use as a reference document at that workshop would be highly desirable.
- * The continued sharing and exchange of information on cost recovery and resources coverage activities will benefit all three sub-regional countries.

6. RECOMMENDATIONS

Meeting participants approved the following recommendations:

1. Draft guidelines should be revised as soon as possible to incorporate (a) feedback received on the draft guidelines so far, and (b) observations and conclusions drawn from this Sub-Regional Working Group Meeting.

Target date for revised draft: 15 February 1989.

2. Tentative follow-up activities, with target dates, should be identified by representatives from sub-regional countries.
3. Further follow-up activities at sub-regional level should be identified.

7. ACTION PLANS

7.1. Overview

Working in groups, country representatives outlined tentative action plans for early follow-up actions. The plans conform broadly to the Action Plan framework adopted at the Fourth WHO Consultation in Geneva in November 1988 (ref. Appendix A). They vary according to country and situation, but common to all is more in-depth field-testing of draft guidelines (initially on existing projects), and various planning and information-sharing activities, e.g. national workshops.

Country- and sub-regional-level action plans developed by participants in small working groups and in plenary are presented below. It was agreed that these preliminary-level plans would be worked out in more detail in each country, and where necessary, brief proposals could be prepared to secure external financial support for planned activities. It was further agreed that each country's plan should include a component for further joint cooperation between sub-regional participants.

7.2. Malawi

General:

The Malawian delegation welcomed the development of cost recovery and resources coverage guidelines, noting that the timing of such development is ideal since in-country discussions concerning viability of cost recovery for rural areas are just beginning.

The delegation expressed appreciation for being given the opportunity to gain information and insight into the guidelines. This will enable them to introduce and promote the document to Government and various institutions.

Suggested Action Plan -- Malawi:

Activity	Target Date
<u>Reporting</u> on Sub-Regional Meeting in Mongu and seeking departmental agreement for joint review of work to date and Meeting output.	17.02.89
<u>Review</u> to see how guidelines should be adapted for Malawi, with recommendations on how they might assist in development and application of policy. Full liaison with University of Malawi, which currently carrying out study on cost recovery for Government.	15.03.89
<u>Preparation of proposal</u> of activities for full field-testing of guidelines using results from above review exercise as basis. Proposal to include requests for external funding support and provide for Malawian participation at sub-regional meeting later on this year to exchange information/compare field-testing experiences with others.	15.03.89
<u>Multi-sectoral workshop</u> to inform all interested in cost recovery issue on work to date and plans for field-testing.	20.03.89
<u>Selection of researchers</u> for field-testing exercises.	07.04.89
<u>Field-testing</u> at selected locations.	21.04.89
<u>Multi-sectoral round-up</u> to present results and findings, and recommend onward activities.	24.04.89
<u>Interim report</u> to Government, WHO and other sub-regional countries.	10.05.89

7.3. Zambia

General:

The Zambian delegation stated that draft guidelines on cost recovery and resources coverage are in line with current Government policies on recovery of operation and maintenance costs from communities in both rural and urban areas. Within an already-existing policy framework, the guidelines and worksheets have applicability for sector planning, appraisal and evaluation exercises.

Draft guidelines were discussed by the National Action Committee in December 1988, with approval being given that Zambia participate in further guidelines development through workshops and field-testing. One immediate outcome of that go-ahead decision was this Sub-Regional Meeting.

Subject to Government and donor approval regarding use of project personnel and allocation of existing project resources, field-testing possibilities might include project areas in Western Province (NORAD-supported), North-West Province (Netherlands-supported) and Central Province (GTZ-supported).

Continued sub-regional cooperation was felt to be very worthwhile. The delegation proposed that such actions as detailing out funding needs to enable participation in further sub-regional efforts and making initial donor contacts would be appropriate.

Suggested Action Plan -- Zambia:

Activity	Target Date
Project Proposal	28.02.89
Consultations and Sourcing of Funds	31.03.89
Field Testing	Apr-May 89
National Workshop	31.05.89
Report to WHO	15.06.89

7.4. Zimbabwe

General:

The Zimbabwean delegation reported the need for field-testing cost recovery and resources coverage concepts was reinforced following the Fourth Consultation in Geneva in November 1988. A Steering Committee comprising representatives from various Government departments involved in the water/sanitation sector was thus formed in December 1988 to co-ordinate field-testing efforts, plan appropriate workshops, and assist in information dissemination.

A national planning workshop to plan further activities, as well as introduce the draft guidelines to provincial officers, is planned for end-February 1989. Further activities and field-testing will follow.

Further, the delegation expressed support for the second phase of the follow-up plan from the Fourth Consultation, namely guidelines promotion and wider use.

Suggested Action Plan -- Zimbabwe:

<u>Activity</u>	<u>Target Date</u>
<u>First National Planning Workshop</u> to introduce guidelines to central- and provincial-level Government officers who will be involved in field-testing, and further define and plan field-testing to be carried out. National participation.	End-February 1989
<u>Second National Planning Workshop</u> to widen introduction of cost recovery/resources coverage principles to provincial- and district-level officers.	March/April 1989
<u>Feed-back</u> to WHO and other sub-regional countries.	To be determined
<u>Field-testing</u> at selected locations.	To be determined
<u>Follow-up workshop</u> to share findings to date on international basis (especially with other participating countries), and plan follow-up activities.	To be determined

7.5. Sub-Regional Linkages

The linkages established at this Sub-Regional Working Group Meeting were considered extremely valuable. It was strongly felt linkages should be maintained through regular exchange of information and further formal and informal contacts.

The usefulness of a follow-up sub-regional meeting sometime later in 1989 to share and compare experiences gained from action plan activities, and to plan the next phase was recognised. It was agreed that national action plans should reflect this activity. The possibility of including representatives from other countries in the region to expand information-sharing linkages was considered an idea worth pursuing.

A P P E N D I C E S

- Appendix A. Suggested Follow-Up Plan from Fourth Consultation, Geneva, November 1988
- Appendix B. Programme for Sub-Regional Working Group Meeting on Cost Recovery and Resources Coverage, Mongu, Zambia, 30 January - 3 February 1989
- Appendix C. List of Meeting Participants
- Appendix D. Worksheet W.1 and H.1 Example Rating Results

APPENDIX A. SUGGESTED FOLLOW-UP PLAN FROM
FOURTH CONSULTATION, GENEVA, NOVEMBER 1988

Suggested follow-up to the Fourth Consultation on Institutional Development is briefly outlined below in two phases.

PHASE I -- INITIAL FIELD TESTING:

Tentative Schedule:

<u>Activity</u>	<u>Deadline</u>
1. Preliminary Draft Report.	31.12.88
2. Selection of Field Test Areas.	31.12.88
3. In-Country Orientation Workshops.	31.01.89
4. Field Testing.	30.03.89
5. Follow-up Workshops/Reporting.	15.05.89
6. Finalisation of Report.	31.05.89

Possible Countries for Field Testing: Philippines, Uganda, Zambia and Zimbabwe.

Possible Funding Sources: External Support Agencies (ESAs) and Government Implementing Agencies.

Responsible Persons/Agencies:

1. National level:
 - * National focal institutions (non-governmental organisations, national action committees, etc.).
 - * National advisers.
2. Global support group, i.e. members of the WHO consultations on cost recovery.
3. WHO.

PHASE II -- REPORT PROMOTION AND USE:

Promotional Activities:

1. Targeted distribution of Final Report.
2. General promotion efforts (conference presentations, papers, brochures, etc.)

Full-Scale Field Use:

1. On-going projects, i.e. case studies.
2. Planning and appraisal activities.
3. Monitoring and evaluation activities.
4. Training activities.

APPENDIX B. PROGRAMME FOR SUB-REGIONAL WORKING GROUP MEETING
ON COST RECOVERY AND RESOURCES COVERAGE, MONGU, ZAMBIA
30 JANUARY - 3 FEBRUARY, 1989

Sunday, 29 January 1989

Morning: Assemble Lusaka and transfer to Mongu

Monday, 30 January 1989: INTRODUCTION/MEETING DESIGN

Chairman: Dr. I.L. Nyumbu

Morning Registration and Opening

Review of Cost Recovery/Resources Coverage Frameworks

Presentations on Western Province Rural Water Supply and Sanitation Project

Afternoon: Developing/discussing Worksheets W1 and H1

Planning sources of information for completing Worksheets W2 A and B and H2 A and B

Expanding Worksheets W2 A and B and H2 A and B for use

Tuesday, 31 January: GATHERING INFORMATION PART 1

Chairman: Mr. A.T. Mushipe

Morning: Panel Discussion with Project Staff and other personnel

- RWSS project staff (including CEP team)
- other DWA staff
- staff of other participants ministries
- District Council staff

Afternoon: Panel discussions (continued)

Starting to complete the Worksheets on the basis of information gathered

Wednesday, 1 February 1989: GATHERING INFORMATION PART 2

Morning: Field Visits to the RWSS Project (both examples of Rural Water Supply and Sanitation and of Township Water Supply and Sanitation)

- discussions with community members, community leadership, extension workers and other key informants
- observations

Thursday, 2 February 1989: CONSOLIDATION OF RESULTS/ACTION -
----- PLANNING

Chairman: Mr. J.C. Mvududu

Morning: Completing Worksheets

General Worksheets

- Worksheet structure
- Worksheet use
- further Guideline improvements

Afternoon: Country Working Groups:

- Discussion on applicability of Guidelines and need for further country-level adaptations
- Developing Action Plans for building on the work so far:

- * Malawi
- * Zambia
- * Zimbabwe

(ref. Geneva 4th Consultation Framework Action Plan)

Friday, 3 February 1989: LINKING AND SUMMING UP

Chairman: Dr. I.L. Nyumbu

Morning: Comparing Action Plans and identifying linkages/common

Summing Up

Close

Afternoon: Return to Lusaka (13.00 departure)

APPENDIX C. LIST OF MEETING PARTICIPANTS

Workshop rapporteurs indicated by "*" in front of name.

Malawi:

- Mr. Ben B. Chandiyamba Hygiene Education and Sanitation Project (HESP) Coordinator, Ministry of Health, Box 30377, Lilongwe 3, Malawi
- * Mr. Fabiano Kwaule Piped Supplies for Small Communities (PSSC) Project Manager / Water Coordinator, Water Department, P/Bag 390, Lilongwe 3, Malawi
- Mr. Chimwemwe K.M. Nyimba Community Development Officer / PSSC Project Officer, Ministry of Community Services, P/Bag 330, Lilongwe 3, Malawi

Zambia:

- Mr. K. Inambao Assistant Health Coordinator, WASHE Programme, Box 910029, Mongu, Zambia
- Mr. D.B. Mubiana Coordinator, Community Education and Participation (CEP) Unit, WASHE Programme, Box 910029, Mongu, Zambia
- Mr. K.M. Mulenga Training Coordinator, WASHE Programme, Box 910029, Mongu, Zambia
- Mr. J.S. Mulungushi Regional Planner, Western Province, Box 910021, Mongu, Zambia
- * Dr. Elizabeth Mumba Lecturer, Department of Adult Education, University of Zambia, P.O. Box 32379, Lusaka, Zambia.
- Mr. M.S. Muyendekwa Acting Provincial Water Engineer, Department of Water Affairs, Box 910029, Mongu, Zambia
- Mr. M.K. Samani Hydrogeologist, Department of Water Affairs, Box 910029, Mongu, Zambia

Zimbabwe:

Mr. V. Chitando Under Secretary, Ministry of Local Government, P. Bag 7706 Causeway, Harare, Zimbabwe

Mr. John C. Mvududu Acting Director, Environmental Health Services, Ministry of Health, P.O. Box 8204, Harare, Zimbabwe

Mr. A.T. Mushipe Under Secretary, Ministry of Local Government, P. Bag 7706 Causeway, Harare, Zimbabwe

Mr. C. Zhakata Deputy Secretary, Ministry of Energy and Water Resources, Causeway, Harare, Zimbabwe

Ms. Agnes O. Zhou Community Participation Coordinator, Ministry of Community and Cooperatives Development, P. Bag 7735 Causeway, Harare, Zimbabwe

Resource Persons:

* Dr. Inyambo L. Nyumbu IDWSSD Adviser, Department of Water Affairs, Ministry of Water, Lands and Natural Resources, Box 50288, Lusaka, Zambia

Mr. Michael Seager Programme Officer, IRC International Water and Sanitation Centre, P.O. Box 91390, The Hague, The Netherlands

* Mr. Clifford Wang Sanitary Engineer, Norconsult International, Kjorboveien 20, 1300 Sandvika, Norway

APPENDIX D. WORKSHEET W.1 AND H.1 EXAMPLE RATING RESULTS

Worksheet W.1. Input Ratings for WATER SUPPLY Project, Average Values

Key Element, <u>WATER SUPPLY</u>	Column No.	DEVELOPMENT PHASE		OPERATIONAL PHASE	
		Agency A	Community B	Agency C	Community D
1 Community Institutions	:	2.6	: 3.0	2.5	: 3.2
2 Developed Skills	:	2.2	: 2.3	1.8	: 2.5
3 Supportive Attitudes	:	1.3	: nc	2.1	: nc
4 Community Extension Services	:	2.3	: nc	2.6	: nc
5 Accepted Service Levels	:	1.8	: NR	nc	: nc
6 Appropriate Technology	:	nc	: nc	nc	: 3.1
7 Operational Phase Inputs	:	NR	: 2.2	nc	: 2.4
8 O&M Support Systems & Services	:	nc	: nc	nc	: nc

9 Allocation of Responsibilities	:	2.0	: 2.3	2.2	: 2.8
10 Execution of Responsibilities	:	2.4	: nc	2.3	: nc

Worksheet H.1. Input Ratings for
HOUSEHOLD SANITATION Project, Average Values

Key Element, <u>HOUSEHOLD SANITATION</u>	Column No.	DEVELOPMENT PHASE		OPERATIONAL PHASE	
		Agency A	Household B	Agency C	Household D
1 Support of Local Leaders	:	1.9	: nc	2.0	: nc
2 Created Awareness	:	nc	: 2.7	NR	: 2.8
3 Involved Women	:	2.3	: 2.1	2.3	: 2.4
4 Household Priority	:	nc	: nc	nc	: nc
5 Examples of Previous Successes	:	1.8	: 1.5	1.5	: 1.4
6 Developed Skills	:	nc	: nc	nc	: nc
7 Appropriate Technology	:	nc	: 1.4	nc	: 1.6
8 Community Extension Services	:	nc	: nc	nc	: nc

9 Allocation of Responsibilities	:	1.7	: nc	1.3	: nc
10 Execution of Responsibilities	:	nc	: nc	nc	: nc

RATING SCALE USED IN COMPLETING ABOVE WORKSHEETS:

- 1 --- Inputs provided were much too little.
- 2 --- Inputs provided were rather too little.
- 3 --- Optimum level of inputs were provided.
- 4 --- Inputs provided were rather too much.
- 5 --- Inputs provided were much too much.
- NR -- Element was considered, but no rating was given.
- nc -- Element was not considered.