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REPUBLIC OF MALAWI

MINISTRY OF WORKS

WATER DEPARTMENT

WORKSHOP ON COST RECOVERY AND RESOURCES
COVERAGE FOR WATER SUPPLY SUSTAINABILITY
AND EXTENDED LOW COST SANITATION COVERAGE

LIWONDE, MACHINGA DISTRICT, MALAWI

20 - 26 AUGUST 1989

WORKSHOP REPORT



WORKSHOP SUPPORTED BY:
THE INTERNATIONAL WATER AND SANITATION CENTRE (IRC)

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- The Centre for Social Research of the University of Malawi for making available a facilitator and one key participant;
- The Ministry of Health, Ministry of Community Services and Ministry of Local Government for making available their key personnel who actively participated in the workshop;
- All participants for the great enthusiasm and commitment in making valuable contributions to the success of the workshop;
- The Administrative, Secretarial and Support Staff for their commitment and perseverance which greatly contributed to the success of the Workshop.

The following background documents were used in support of the Workshop:

- IRC International Water and Sanitation Centre (1988/1989) Newsletters Nos. 177 and 185, The Hague, The Netherlands
- World Health Organization (1989) "Principles and Models to Achieve Sustainable Community Water Supply and to Extend Household Sanitation", Report of the Fourth Consultation on Institutional Development/Working Group on Cost Recovery Volume II, Geneva, 21 - 25 November 1988
- IRC International Water and Sanitation Centre (1987) "What Price Water? User Participation in Paying for Community-Based Water Supply", C. van Wijk-Sijbesma, The Hague, The Netherlands
- Government of the Republic of Zambia (1989) Working Group Report, Sub-Regional Working Group Meeting on Cost Recovery and Resources Coverage, Mongu, Zambia, 30 January - 30 February 1989

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1. INTRODUCTION

- 1.1 The Workshop on Cost Recovery and Resources Coverage for Water Supply Sustainability and Extended Low Cost Sanitation Coverage was organised by the Water Department of the Ministry of Works, Malawi. The Workshop was funded the Netherlands Directorate General for International Cooperation (DGIS) as an additional activity through the IRC-supported Piped Supplies for Small Communities (PSSC) Project in Malawi.
- 1.2 The Workshop was set within the framework of a series of institutional development activities under the umbrella of the World Health Organization (WHO). It followed a sub-regional Working Group Meeting on Cost Recovery and Resources Coverage held in January 1989, in Mongu, Zambia. The primary objective of that meeting was to field test, on a preliminary basis, draft WHO guidelines on cost recovery and resources coverage, developed from earlier inter-country consultations. The Mongu meeting also aimed to provide recommendations for further development of the approach and worksheets included in the draft WHO document. Malawi, Zimbabwe and Zambia took part in the Working Group Meeting. Among the recommendations of the meeting was that the draft guidelines needed to be further field tested at the individual country level.
- 1.3 Follow-up Action Plans proposed by Malawi included the organization of a multi-sectoral workshop to discuss the draft guideline manual, before it could be field tested. With DGIS funding and IRC support Malawi was able to begin the implementation of these action plans with such a workshop.
- 1.4 The Workshop which was held at Kudya Discovery Lodge, Liwonde, Machinga District from 21 to 26 August 1989, was opened by the Chief Water Supply Officer, Mr. S.R. Phiri, on behalf of the Water Engineer-in-Chief. It was attended by participants from Ministry of Works (Water Department), Ministry of Health, Centre for Social Research of the University of Malawi, Ministry of Community Services, and Ministry of Local Government. The workshop was facilitated by two resource persons who had participated in earlier WHO consultations, one from the IRC International Water and Sanitation Centre, and one from Zambia. The full list of participants is annexed to this report.
- 1.5 This report summarises the proceedings of the Workshop. Firstly it presents an overview of the objectives and key concepts of cost recovery and resources coverage and the principles and approaches for implementing cost recovery and resources coverage as presented in recent WHO documents. This is then followed by brief reports on the planning for field trials in Malawi, and preliminary observations from the all-day field visits undertaken during the workshop.

2. WORKSHOP OBJECTIVES

2.1 The primary objectives of the Cost Recovery and Resources Coverage Workshop were:

- To introduce the WHO draft guideline manual to a multi-sectoral group drawn from institutions which are directly or indirectly concerned with community water supply and sanitation;
- To acquaint participants with practical field use of the guidelines;
- To adapt the draft guideline manual in accordance with the local situation;
- To produce adapted Worksheets ready for field trials;
- To prepare for the main field trials.

2.2 Specific objectives included:

- To increase the awareness of participants on the Cost Recovery and Resources Coverage issues raised by the draft WHO manual;
- To develop relevant questionnaires which would be used for collecting information on each of the 10 essential elements of sustainability of community water supply and maximum extension of household sanitation;
- To get views and comments from participants on applicability of the manual to the local situation in Malawi;
- To produce detailed plans on how the field trials would be carried out.

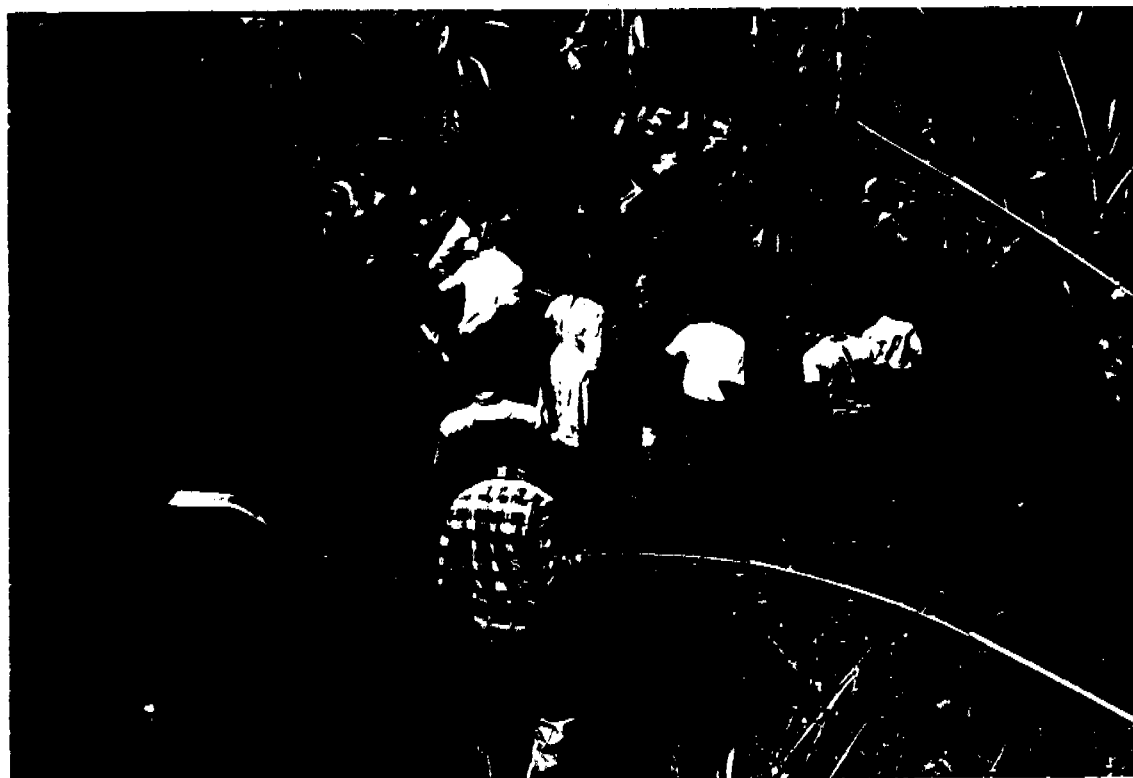
3. METHODOLOGY

3.1 In order to meet the above objectives the meeting programme was basically organised as follows:

- An outline and background on Institutional Development in Cost Recovery and Resources Coverage in Community Water Supply and Sanitation was presented, indicating also the Southern Africa sub-regional involvement in the development process.
- An overview of the current practices in Cost Recovery and Resources coverage in Community Water Supply and Sanitation in Malawi was also outlined to throw some light on the possible areas which may require the application of the guidelines in future.
- The key concepts, principles and models for carrying out Cost Recovery and Resources Coverage were presented. The essential elements of sustainable community water supply and extended coverage of household sanitation were explained, and the important interrelationships between Cost Recovery and Resources Coverage were presented.
- Participants were later split into three working groups to discuss individual Key Elements of Water Supply Sustainability and Key Elements for Extended Low Cost Sanitation Coverage.
- Participants were also briefed on Planning Sources of Information for completing worksheets for Water Supply Sustainability and for Household Sanitation.
- In order to give participants a practical feel in using the guidelines in the field, a day-long field trial was organized. One group of participants looked at a Community Water Supply Project at Chimkwezule in Machinga District and another at a Sanitation Project at Mwima in Liwonde District, using preliminary questionnaires which were developed earlier.
- The Workshop was also used to prepare for the main field trials. Detailed plans on how the field trials would be organised and carried out were presented and discussed.



Field Exercise: Hearing the views of the community



Field Exercise: Looking into technical aspects of sustainability

4. PRESENTATION OF GUIDELINES

4.1 General

- 4.1.1 The two resource persons presented the guidelines on cost recovery and resources coverage using as basic reference material the WHO document "Volume II: Principles and Models to Achieve Sustainable Community Water Supply and to Extend Household Sanitation - Report of the Fourth Consultation on Institutional Development, WHO, Geneva, 21-25 November 1988".
- 4.1.2 The presentations outlined the key concepts and principles, the procedures for using the guidelines and the potential applications. There were also reports on Southern African Sub-regional contributions to cost recovery and resources coverage consultations, as well as the recent (19 - 20 July 1989) meeting of External Support Agencies (ESAs) in the Hague, The Netherlands. The presentations were followed by preliminary discussions in plenary session; more detailed discussions took place later in the working groups.
- 4.1.3 In order to set the basis for the discussion of the WHO guideline document in the context of Malawi, there was a presentation on experiences of cost recovery in community water supply development in Malawi.

4.2 Key Concepts and Principles

- 4.2.1 The basic concepts of sustainability, cost recovery, resources coverage and cash-raising were explained within the context of development of community water supply (CWS) and household sanitation. It was stated during the illustrated presentations that:
- a sustainable water supply system is one which works, is properly used by the intended beneficiaries, and has a continuing positive impact;
 - community water supply and sanitation projects have, in general, different objectives, nature and timing of required inputs and basic orientation (water supply, being primarily community oriented, and low-cost sanitation being primarily household oriented);
 - successful projects require that all inputs (cash and in-kind community resources such as time, skills, labour and materials) must be available at the development and operational phases of the project;
 - in community water supply there is generally limited cash within the community. Addressing only cost recovery and cash issues is therefore too restrictive. Other in-kind community resources are significant, and should be recognized;

- cost recovery is a mechanism contributing to "resources coverage", the process by which project inputs and resources are identified, quantified, procured and timed;
- "cost recovery" is the agency's mechanism for collecting cash from the community and its members to partially or fully cover agency costs;
- "cash-raising" is the community's mechanism for collecting cash from its members to partially cover their fair share of project costs.

4.2.2 It was emphasised that for community water supply sustainability and maximum extension of household sanitation:

- all project cash and in-kind resource requirements should be identified, quantified and procured in a timely manner;
- all costs should be covered by one or several persons;
- users/beneficiaries should pay their fair share of costs;
- cash should be on-hand and available when needed.

However it was pointed out that key factors which facilitate cost recovery include:

- motivation and willingness of community to contribute;
- easy accessibility of water;
- economic capacity of the users to take full responsibility for the installations and the equipment.

4.3 Key Elements of Sustainability and Coverage

4.3.1 The Key Elements of Water Supply Sustainability were presented, as summarised in Table 4.1, while the Key Elements of Extended Low-cost Sanitation Coverage were presented as summarised in Table 4.2. It was emphasised that each key element is an important building block towards achieving sustainability of community water supply and extended coverage of low-cost sanitation. It was further stated that each element involves specific inputs and responsibilities by the community and/or household as well as by the agency.

4.3.2 The relationships between the key-elements, resources, coverage, cost recovery and cash-raising were explained by reference to Fig. 4.1. Several facts were shown to be evident from careful examination of this figure. The

first one is that cash-raising and cost recovery, at the community level, are lower-level contributing activities within the entire framework of successful water and sanitation projects. Eventually they do contribute to higher-order goals of the development of water supply and sanitation, namely, improved health and quality of life. The second fact is that sustainability of water supply and maximum coverage of sanitation can usually best be achieved through a partnership approach between the community-household and the agency.

4.4 Procedure for Resources Coverage

4.4.1 Resources coverage was explained as an iterative decision-making process involving identification of project alternatives (and associated technology, service levels, and costs), selection of the best suited alternative through meaningful consultations between the community and the agency, and finally, implementation of the selected alternative with adequate provision and timing of all development and operational phase inputs.

4.4.2 The identification, quantification, procurement and timing, of all cash and in-kind contributions, as well as the allocation of responsibilities is done through a series of worksheets. It was explained, for example, that the worksheets would, when properly completed through a consultative process, indicate the cash and in-kind (skills, labour, time, etc.) requirements expected to be provided by the agency or the community/household at any stage of the project. Separate worksheets are required for community water supply and for household sanitation. The position of the worksheets in the entire resources coverage framework is indicated on Fig. 4.1. Sample worksheets for water supply and for sanitation were presented as shown on Table 4.3.

4.5 Sources of Information

4.5.1 The resource persons explained that most of the information required for completing the worksheets should be obtained through a well-structured series of interviews with the agency personnel and the community (individuals or in groups). As a precondition to the interviews, the essential characteristics of each key element, for water supply sustainability as for extended coverage of low cost sanitation, should be clearly outlined. The outline will guide the form of questions to use in the interviews and the rating of the various key elements in the framework.

4.6 Application of Guidelines

4.6.1 The resource persons discussed potential applications of the WHO-initiated guideline manual. It was explained

that the manual could be used in a number of ways at various stages of the project cycle as follows:

- Planning: to identify and allocate resources and responsibilities necessary to achieve sustainability/extension of water supply and sanitation facilities.
- Appraisal: to check soundness of project design, specifically that resources and responsibilities required for achievement of sustainability/extension of water supply and sanitation facilities have been adequately considered.
- Review: to determine what is going right and wrong during project implementation, as well as identify required corrective actions and associated costs.
- Evaluation: to evaluate project success and performances.

4.7 Southern-African Sub-regional Contributions to Resources Coverage Consultations

- 4.7.1 Dr. I.L. Nyumbu reported on contributions to the on-going WHO-initiated consultations by national representatives from Southern and Central Africa. It was stated that Burundi and Mozambique participated in the Second and Third Consultations respectively in Geneva, while Zaire, Zambia and Zimbabwe participated in the more recent Fourth Consultation which took place in Geneva in November 1988. As members of the consultative group, the national representatives brought out the view points of the sub-region in the consultative process.
- 4.7.2 As a follow-up to the Fourth Consultation a Sub-regional Working Group Meeting took place in Mongu, Zambia from 30 January to 3 February 1989. The participants came from Malawi, Zambia and Zimbabwe. One of the recommended follow-up activities called for more detailed field applications in the respective countries of the sub-region, followed by national and sub-regional workshops to exchange experiences. Malawi was congratulated for having succeeded in mobilising financial assistance from The Netherlands for carrying out the field trials of the cost recovery guidelines. It was reported that the guideline documents have been presented to sectoral national workshops in Rwanda and Zimbabwe, and field trials are planned in Zambia, Uganda and Ethiopia. Both from the intercountry and national workshops and seminars there was a consensus that the concepts of cost recovery and resources coverage are valid and acceptable, and that the WHO guideline documents provide a systematic approach for implementing cost recovery in community water supply

and sanitation programmes. However it was generally appreciated that full scale adoption and application of the guidelines would require further adaption and field trials at national level.

4.8 Report on ESAs Meeting at IRC

- 4.8.1 Mr. Seager reported on the Planning Meeting on Cost Recovery which had taken place in mid July 1989 at IRC. The participants were primarily representatives of ESAs, but there were also two representatives from developing countries (Philippines and Zambia). A practical manual was planned during this meeting, to be based on the consultations and experiences so far. The meeting also agreed to continue promoting and supporting cost recovery activities at national level within the framework of already existing country programmes. It was mentioned that the funding of the Malawi workshop by DGIS, The Netherlands, was one testimony to the prevailing positive environment for further development and promotion of cost recovery activities by ESAs.

4.9 Malawi's Experiences with Cost Recovery

- 4.9.1 Mr. R.J.V. Chirwa, Senior Economist in the Water Department presented an overview of current practices in cost recovery and resources coverage in water supplies and sanitation in Malawi. He stated that in the large urban centres of Lilongwe, Blantyre and Zomba, water supply and sanitation services are supposed to be self-financing, and do not receive any subsidies from Government. However, the tariff structures have elements of subsidy in favour of the poorer sections of the urban population. Currently operation and maintenance costs are supposed to be fully recovered in urban systems, but development costs are still covered by Government grants. In rural areas water is provided free to the communities through boreholes; there is very little cash input from the users. For piped water supplies in the rural areas there is greater involvement of the communities in planning and construction of the schemes. Mr. Chirwa explained that Malawi is about to review the overall policy of water supply, and cost recovery is a major aspect of that review. In future the responsibility for water supply will rest primarily with the user community; however the transfer of responsibility will be done gradually so as to allow for building up local capacities for managing the water supply scheme.

4.10 Plenary Discussions

- 4.10.1 Some discussion took place in plenary session. Usually this involved comments on the issues presented and/or clarification of various concepts. Further discussion was reserved for the group sessions.

4.10.2 There was a consensus that the Workshop should put more emphasis on "sustainability" of water supply rather than only on "cost recovery" and "resources coverage". It was also fully appreciated that the implementation of any sustainability activities would require Government clearance since it may involve policy issues.

4.10.3 It was noted that the community and the agency must agree on the allocation of responsibilities and resources towards the development of a sustainable system. However before determining what either party, can contribute an assessment must be made to determine whether the community as the agency was capable of providing the resources to be contributed. It was also emphasised that the relationship between the agency and the community must be flexible enough to take into consideration the changing needs, priorities and capabilities of the community.

Table 4.1 KEY ELEMENTS OF WATER SUPPLY SUSTAINABILITY

No.1 Community Institutions

Strong Community institutions and administrative mechanisms - community water/health committees, women's groups, functioning accounts and financial management systems, etc.

No. 2 Developed Skills

All technical and non-technical Community/Agency skills required to successfully implement community-based management and resources coverage.

No. 3 Supportive Attitudes

General human attitudes essential for successful achievement of sustainability and resources coverage -- understanding, motivation, choice, willingness to assume ownership, management and maintenance responsibilities, etc.

No. 4 Community Extension Services

Important activities -- community organization, mobilization and participation, health education (both initial and ongoing), ongoing support, etc. -- initiated mainly by the Agency and outsiders.

No. 5 Accepted Service Levels

Community understanding, acceptance, and agreement of levels of service and costs associated with water supply facilities being constructed -- continuity and reliability of supply, maintenance requirements, on-going costs, willingness to pay, etc.

No. 6 Appropriate Technology

Water supply technology suitable to the given situation. Along with other technical/non-technical factors, willingness to pay should help determine technology choices.

No. 7 Operational Phase Inputs

All required operational phase cash/in-kind inputs connected with provision of water supply at agreed-to service levels.

No. 8 O&M Related Supportive Systems and Services

Back-up systems and services provided on a timely basis by others outside the Community -- spare parts, special equipment, technical expertise to carry out major repairs, etc. This element includes Agency monitoring of actual system functioning and performance.

No. 9 Allocation of Responsibilities

Formal decisions and allocation of responsibilities for Elements 1 to 8 between the Agency and the Community at the start of the project. A clear joint understanding, acceptance and agreement as to who is responsible for what, when.

No. 10 Execution of Responsibilities

Timely execution of development and operational phase responsibilities as agreed to in Element No. 9.

TABLE 4.2 KEY ELEMENTS OF
EXTENDED LOW-COST SANITATION COVERAGE

No.1 Support of Community Institutions and Local Leaders

Strong support for health improvement actions by recognised formal and informal Community leaders, which motivates Community members to take action.

No. 2 Created Awareness

Awareness and reinforcement of beliefs amongst individuals and households concerning benefits of, and needs for, better hygiene and sanitation.

No. 3 Involvement of Women

Communication with, and meaningful involvement of, women, who should be recognized as prime mover and family-unit opinion-formers for better hygiene and sanitation.

No. 4 Household Priority

Genuine individual/household attitudes and desires to construct and use latrines. Priority implies willingness to contribute required cash and/or in-kind contributions.

No. 5 Examples of Low-Cost Sanitation Successes

Positive promotional effects gained by having successful latrines projects to refer to, visit and learn from.

No. 6 Developed Skills

All technical and non-technical skills required to successfully financial support, implement and sustain household sanitation schemes.

No. 7 Appropriate Technology

On-site sanitation technology suitable to technical and socio-cultural conditions of the area. Affordability, acceptability, availability materials, local soil conditions, locally-known construction techniques etc. should be amongst criteria that influence technology choice.

No.8 Community Extension Services

Health-related activities — health education, monitoring, support, etc. initiated, implemented and followed-up by public sector institutions.

No. 9 Allocation of Responsibilities

Formal decisions and allocation of responsibilities for Elements 1 through 8 between all concerned parties at the start of the project. A clear job understanding, acceptance and agreement as to who is responsible for what , when.

No. 10 Execution of Responsibilities

Timely execution of development and operational phase responsibilities agreed to in Element No. 9.

TABLE 4.3 RESOURCES COVERAGE WORKSHEETS

OVERVIEW AND ASSESSMENT WORKSHEETS FOR REQUIRED INPUTS
FOR WATER SUPPLY AND HOUSEHOLD SANITATION PROJECTS

(A) Overview of Inputs Required for Water Supply Projects

Key Element	DEVELOPMENT PHASE		OPERATIONAL PHASE	
	Agency	Community	Agency	Community
	: A	: B	: C	: D
1. Community institutions	:	:	:	:
2. Developed Skills	:	:	:	:
3. Supportive Attitudes	:	:	:	:
4. Community Extension Services	:	:	:	:
5. Accepted Service Levels	:	:	:	:
6. Appropriate Technology	:	:	:	:
7. Operational Phase Inputs	:	:	:	:
8. O&M Support Systems & Services	:	:	:	:
9. Allocation of Responsibilities	:	:	:	:
10. Execution of Responsibilities	:	:	:	:

(B) Overview of Inputs Required for Household Sanitation Project

Key Element	DEVELOPMENT PHASE		OPERATIONAL PHASE	
	Agency	Community	Agency	Community
	: A	: B	: C	: D
1. Support of Local Leaders	:	:	:	:
2. Created Awareness	:	:	:	:
3. Involvement of Women	:	:	:	:
4. Household Priority	:	:	:	:
5. Examples of previous Successes	:	:	:	:
6. Developed Skills	:	:	:	:
7. Appropriate Technology	:	:	:	:
8. Community Extension Services	:	:	:	:
9. Allocation of Responsibilities	:	:	:	:
10. Execution of Responsibilities	:	:	:	:

SUGGESTED RATING SCALE FOR USE WITH ABOVE TABLES W.1 AND H.1)

- " - " = Lower end of scale -- relatively little/no input required
 " *** " = Upper end of scale -- relatively great/important input required.
 " * " = Value in-between
 " ** " = - d.o. -

- (C) Assessment of Inputs Required for Water Supply Project.
(expands on columns A and B Table (A), see notes below)

<u>Water supply</u>				REQUIRED <u>DEVELOPMENT PHASE</u> INPUT				
<u>AGENCY</u>					<u>COMMUNITY</u>			
Cash	Time*	Labour	Matls	:	Cash	Time*	Labour	Matls
:	:	:	:	:	:	:	:	:
:	:	:	:	:	:	:	:	:
:	:	:	:	:	:	:	:	:
:	:	:	:	:	:	:	:	:
:	:	:	:	:	:	:	:	:
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:	:	:	:	:	:	:	:	:
:	:	:	:	:	:	:	:	:
-----					-----			
<= Totals (incl. all units) =>								

- (D) Assessment of Inputs Required for Water Supply Project.
(expands on columns C and D Table (A), see notes below)

<u>Water supply</u>				REQUIRED <u>OPERATIONAL PHASE</u> INPUT				
<u>AGENCY</u>					<u>COMMUNITY</u>			
Cash	Time*	Labour	Matls	:	Cash	Time*	Labour	Matls
:	:	:	:	:	:	:	:	:
:	:	:	:	:	:	:	:	:
:	:	:	:	:	:	:	:	:
:	:	:	:	:	:	:	:	:
:	:	:	:	:	:	:	:	:
:	:	:	:	:	:	:	:	:
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:	:	:	:	:	:	:	:	:
-----					-----			
<= Totals (incl. all units) =>								

NOTES

- "Time*" means all time not otherwise included under "labour" -- time for communications, organization, planning, implementation, supervision, education, follow-up, accounts management, reporting etc.
- "Matls" means supplies, equipment, materials, parts, transport, fuel, etc.
- "Cash" should be broken down into local and foreign currency components as appropriate.
- On the Agency side, there are costs and budgetary implications associated with "Time*", "Labour" and "Matls" inputs, as well as "Cash". The Agency's budgetary requirements can be determined by translating inputs into costs.

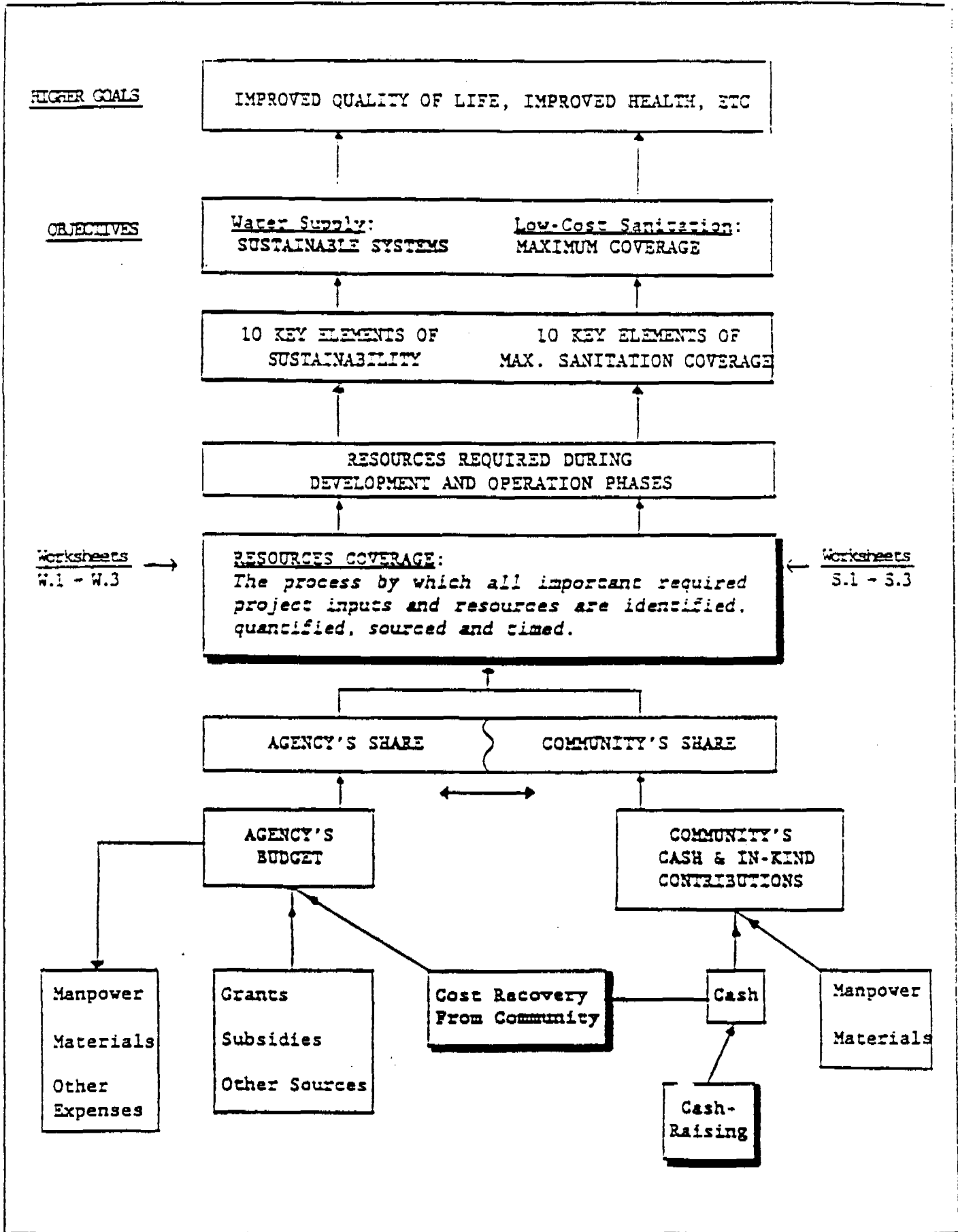


Fig. 4.1 Resources Coverage Framework

Acknowledgements:
 WHO-led Task Force on Cost Recovery
 WHO/CWS/89.6

5. GROUP SESSIONS

5.1 Formation of Working Groups

5.1.1 On the second day the plenary session broke into three Working Groups. The participants were assigned to the Working Groups in such a way as to provide balanced representation of the three key disciplines of water, health (sanitation), and community development. The objective of the group sessions was to provide a forum for more detailed analysis and discussion of the concepts and process presented in the WHO guideline document. The groups also discussed how to apply the resources coverage framework to the proposed field trials that would follow the Workshop.

5.2 Guidelines for Group Work

5.2.1 The Workshop Steering Committee provided some guidelines on the conduct of the group sessions. Firstly the groups were encouraged to discuss in detail the key elements, secondly to begin to formulate questions/questionnaires for assessing whether the key elements are in place and what resources and responsibilities are required to establish the elements. The following outline guideline questions were given to the Working Groups to assist them in discussing the key elements:

1. What do you understand by this element?
What are its key characteristics?
2. How does the element contribute to sustainability of water supplies, and to maximum extension of low cost sanitation during:
 - (a) Development Phase,
 - (b) Operational Phase?
3. What resources are necessary to ensure the key element is in place both during:
 - (a) Development Phase,
 - (b) Operational Phase?
4. How do you see the provision of these resources being shared between the Community and Agency?

5.2.2 Some guideline questions were also presented for assessing and rating the key elements and the relative allocation of responsibility between the agency and the community. The assessment is based on the following questions:

1. Is the key element in place (for water supply sustainability or extended coverage of low cost sanitation)?
2. Is it adequately resourced?
3. Are the resource needs shared adequately between the agency and community/household?

Annex IV contains further details of the rating scheme.

5.3 Group reports

- 5.3.1 The group reports presented during plenary session indicated that participants gained a deeper understanding of both the concepts presented in the draft WHO guideline document and the individual key elements for both water supply sustainability and extended low cost sanitation coverage. The Working Groups outlined some of the essential characteristics of the key elements, as well as questions for use in interviews with the community and the agency. Due to time limitations the key elements were not all covered to the same level of detail.
- 5.3.2 Annex V presents the essential characteristics of key elements for water supply sustainability and for extended coverage of low cost sanitation. Annex VI presents questions for interviews primarily targeted to the community and/or household.

5.4 Pre-testing of Draft Frameworks

- 5.4.1 The plenary and group sessions were followed by day-long example trial of the draft frameworks in the field. For this purpose the participants were reconstituted into two groups. One group focused mainly on water supply and the other group focused mainly on sanitation. Two test areas were chosen: for water supply the testing was done in the Community Water Supply Project at Chinkwezula in Machinga District; while for sanitation coverage the testing was done in the Mwina Sanitation Project in Liwonde, Machinga District. The purpose of the pre-testing was not to evaluate the projects but to help the participants gain insights into the application of the draft WHO document and to provide a basis for the planning of the detailed field trials that would take place after the Workshop.
- 5.4.2 In view of the limited time allocated for pre-testing, the Working Groups concentrated on a selected number of key elements as follows:
- (a) For Water Supply Sustainability the group dwelt mainly on:
 - * Key Element No. 1: Community Institutions
 - * Key Element No. 9: Community Extension Services
 - * Key Element No. 6: Appropriate Technology
 - (b) For Extended Low Cost Sanitation the group dwelt mainly on:
 - * Key Element No. 3: Involvement of Women
 - * Key Element No. 4: Household Priority
 - * Key Element No. 5: Examples of Low Cost Sanitation Successes

The above elements were selected not necessarily as being the most important, but because they had a potential for giving a wide scope for ideas in relation to the local situation.



Field Exercise: Learning from the users



Field Exercise: Interviewing locally-based Agency staff
in the district schoolroom

5.5 Observations Arising from Pre-testing

5.5.1 Using the rating scheme explained in Annex IV, the participants made preliminary assessments of the key elements of sustainability and extended low-cost sanitation coverage in the test areas. The individual ratings were averaged and the results are presented in Annex VII. The diagonal line in each respondent box separates results obtained through interviews with the agency and with the community.

5.5.2 A score of 3 indicates a situation which is "Just Right". The scores less or greater than 3 indicate situations which are less than right depending on the factors being assessed. Specific observations include:

- (i) there is need to strengthen and increase community institutions in the groundwater projects in order to enhance community participation;
- (ii) on the sharing of resources and responsibilities between the agency and the community, the right balance depends on the type and phase of project, information available to either party, and the effectiveness of the consultations between both parties;
- (iii) the 10 key elements of sustainability and low cost sanitation coverage are closely inter-related, and in some cases it is difficult to assess one element independently of the others;
- (iv) in the project areas the agency (Government Ministries) still takes a larger share in the provision of resources both during the development and operational phases.

6. PLANNING FOR MAIN FIELD TRIALS

6.1 Composition of study team

6.1.1 One of the conclusions of the Workshop was that the worksheets are multi disciplinary in nature. As such better results would be realized when the worksheets are used by multi disciplinary teams of professionals. The selection of the field trial team took this into account. Team members were drawn from the Centre for Social Research of the University of Malawi, Water Department, Ministry of Health, Ministry of Community Services and Ministry of Local Government.

6.1.2 The following is full list of members of the field trial team:

1. Mr. L. Msukwa, Team Leader, Director for Centre for Social Research
2. Mr. G. Banda, Centre for Social Research
3. Mr. B.B. Chandiyamba, Ministry of Health
4. Mr. Y.C. Mhone, Ministry of Local Government
5. Mr. F. Kwaule, PSSC Project Manager, Water Department
6. Mr. R.J.V. Chirwa, Water Department
7. Mr. M.C.K. Nyimba, Ministry of Community Services.

The Workshop endorsed the composition of the team whose field of specialisations included: Social Sciences, Engineering, Public Health, and Community Development.

6.2 Presentation of projects to be used for field trials

6.2.1 The following four water supply and sanitation projects which will be used for field testing the guidelines were approved by the Workshop Steering Committee:

- Salima Piped Supplies for Small Communities Project (a Communal Water Point Project) in Salima district;
- Zomba East Rural Piped Water Supply Project (a gravity-fed scheme) in Zomba district;
- Livulezi Integrated Groundwater Project in Ntcheu district;
- Mwima Sanitation Project in Liwonde, Machinga district.

6.2.2 Presentations on the individual projects, which included background and history, operation and status of the schemes, were made to give the field study team some idea on the type of schemes. The presentations were meant to assist the framing of questionnaires, and to draw comments from workshop participants.

6.3 Field Trial methodology

The Study Team leader, Mr. L. Msukwa, outlined the methodology for field trials:

- He pointed out that the manual to be tested required a set of data which could be classified into quantitative and qualitative data.
- Quantitative data will have to be collected before the team goes into the field. This will be initiated by the Water Department. This information will help in sampling the target population within the project areas selected. Any gap in information will be filled in the field. Field information will be collected from primary sources and will yield both quantitative and qualitative data.
- He pointed out that it is important that the field team should have the same understanding of the key elements, method of asking questions and in interpreting responses.
- On the issue of respondents, Mr. Msukwa explained that in the Rural Piped Water project, sample committees, key informants, and project staff/agency will be interviewed.
- In the Groundwater project - sample water point committees, key informants, and the agency staff will be interviewed.
- In the Sanitation project - key informants, sample households, project committees and the agencies will be the targets for interviews.
- He emphasised that the field group will have to work as a team in order to give a wider coverage and draw uniform conclusions from the responses.
- For data analysis, the team will have to meet every day to summarise all the information collected in that day and translate them into scores. This will be done right in the field.
- It was stressed that qualitative data required a lot of perception, judgement, etc. by the interviewers. Hence, the range of questions needed are more than what can be contained in a questionnaire.
- Concerning the time needed to undertake the field trials, an agreement was reached that three weeks should be allocated for this activity.

6.4 Development of Questionnaires

- 6.4.1 It was agreed during the workshop that the field study team should develop questionnaires which will be used for field trials and present them at the workshop for comments.
- 6.4.2 Using the preliminary questionnaires which were used during the workshop mock trials as base lines the field study team developed sets of questions which were presented to the workshop (see Annex VI).

6.4.3 The development of actual structured questionnaires was left to be done at a later date. It was agreed that the Study Team would complete the exercise jointly.

6.5 Field trial programme

6.5.1 A specific programme for starting the field trials was not drawn up during the workshop. The field Study Team agreed that the actual programme would be drawn up after completing the questionnaires and clearing the questionnaires with relevant authorities. These exercises were to commence a week after the workshop. A three-week time schedule was however endorsed by the workshop considering that four projects will have to be tackled.

7. OBSERVATIONS AND CONCLUSIONS ON DRAFT WHO GUIDELINES MANUAL

7.1 Key Elements

A number of observations and conclusions regarding the Draft Guidelines and Worksheets came out of the general discussions, practical group activities and the mock field trials. They are indicated below. Specific comments with respect to key elements of sustainability and coverage are:

- Key element No. 3, "INVOLVED WOMEN" in both Water Supply and Sanitation should be rephrased for clarity as "INVOLVEMENT OF WOMEN".
- Key element No. 6, "APPROPRIATE TECHNOLOGY" - caution was expressed on its reliability in both time and space, considering that technology is dynamic and changes from time to time. What might be appropriate today may not be appropriate tomorrow.
- Key elements No. 9 & 10, "ALLOCATION OF RESPONSIBILITIES" and "EXECUTION OF RESPONSIBILITIES" were noted to be closely related considering that allocation of responsibilities must be accompanied by willingness to carry out the responsibilities. Participants however noted that the execution of the allocated responsibilities should follow a clearly defined procedure and should be properly timed.

7.2 General Comments

- On the inter-relationship diagram, Fig. 4.1, participants noted some imbalance in the flow of responsibilities on the part of the community which should have been shown making inputs into agency contributions. The flow chart could be further improved with arrows indicating such contributions.
- The workshop also noted that it was in some cases difficult to quantify inputs made by either the Community or the Agency.
- It was also observed that while low cost sanitation is more of a household affair, the community as a whole has a big role to play.
- Caution was expressed on the concept of COST RECOVERY which may be misinterpreted as meaning the task of recovering both capital and recurrent costs from Communities.
- For better clarity on the issues raised by the manual emphasis should be on SUSTAINABILITY which is the main objective of Cost Recovery and Resources Coverage. Participants felt that clarity could have been enhanced if the title of the manual stressed sustainability.

- Concern was also expressed on the choice of ratings of elements. It was noted that when participants rated the Key Elements using information collected from the field, there was in most cases, a wide variety in scoring which indicated that maybe the choice of ratings was rather subjective.
- The Workshop thus proposed that there should always be caution in selecting ratings to ensure that scoring differences are minimized.

7.3 Conclusions

- 7.3.1 The Workshop found the principles presented in the guideline manual quite relevant and having potential application.
- 7.3.2 On the relevancy of the guideline manual to the Malawi situation, the Workshop felt that a final conclusion will have to be made after the results of the field trials. It was felt that at this stage it was too early to make an assessment before the manual has been put to extensive field trial.
- 7.3.3 The Workshop endorsed the views that the guideline frameworks should be considered as tools that can be adapted to local needs and requirements at hand and could be modified accordingly.
- 7.3.4 It was clearly understood and agreed that the guideline document has potential application at various stages of the project cycle: during project planning, appraisal, review and evaluation, as well as in case-study work.

8. RECOMMENDATIONS CONCERNING GUIDELINES

- 8.1 After going through the draft guidelines manual on Cost Recovery and Resources Coverage, participants were of unanimous view that the concepts contained in the document were indeed valid. They recommended that the proposed field trials should be carried out as soon as possible and that after the completion of the field studies, a number of key people should meet again to look at the findings of the field study in order to be able to assess the relevancy of the manual to the Malawi situation and propose necessary adaptations of the guidelines.

9. FOLLOW-UP ACTIVITIES

9.1 The field trials were the immediate follow-up activity agreed at the Workshop. However, participants felt that it would be essential that after the field trials a number of people should meet again to look at the findings. It was felt that this meeting would be an appropriate forum to assess the relevancy of the guidelines to the Malawi situation based on the findings from the field trials. A round-up meeting was therefore scheduled for immediately after the field trials.

9.2 Participants were also of the opinion that there was need to compare notes with the other countries who are carrying out similar activities within the Southern Africa Sub-region. The Workshop endorsed the idea of a round-up sub-regional meetings to compare findings. This could be held immediately after all the countries in the Sub-region complete their activities.

ANNEX I

WORKSHOP ON COST RECOVERY AND RESOURCES COVERAGE,
LIWONDE (MALAWI) 20 - 27 AUGUST, 1989

PROGRAMME

<u>Sunday, 20/8/89</u>	Arrival of participants
<u>Monday, 21/8/89</u>	
8.00 - 9.00	Registration of participants
9.00 - 10.00	Opening of the Workshop
10.00 - 10.15	Break
10.15 - 10.30	Introduction of participants
10.30 - 11.00	Workshop Introduction F. Kwaule B.B. Chandiyamba
11.00 - 12.00	Background on Consultations on Institutional Development in Cost Recovery and Resources Coverage in Community Water Supply and Sanitation under the auspices of WHO. M. Seager
12.00 - 13.30	Lunch Break
13.30 - 14.30	Southern Africa - Sub-Regional, Contributions to Cost Recovery and Resources Coverage Consultations I.L. Nyumbu
14.30 - 15.00	Brief Background on Cost Recovery and Resources Coverage Workshop in Malawi. F. Kwaule B.B. Chandiyamba
15.00 - 15.30	Break
15.30 - 16.15	Overview of the Current Practices in Cost Recovery and Resources Coverage in Water Supplies and Sanitation in Malawi R.J.V. Chirwa
16.15 - 17.00	Discussions

Tuesday, 22/8/89

- 8.00 - 9.00 Important Interrelationships in Cost Recovery and Resources Coverage
M. Seager
I.L. Nyumbu
- 9.00 - 10.00 Group Discussions on Key Elements of Water Supply Sustainability
- 10.00 - 10.30 Break
- 10.30 - 11.30 Group Discussions on Key Elements of Extended Low Cost Sanitation Coverage
- 11.30 - 12.00 Group Reports
- 12.00 - 13.30 Lunch Break
- 13.30 - 15.00 Planning Sources of Information for Completing Worksheets for Use/Review of Cost Recovery and Resources Coverage framework
M. Seager
I.L. Nyumbu
- 15.00 - 15.30 Break
- 15.30 - 17.00 Planning Sources of Information (Continued)

Wednesday, 23/8/89

- 8.00 - 9.00 Review of Cost Recovery and Resources Coverage Frameworks
- 9.00 - 10.00 Planning Sources of Information for Completing Worksheets
- 10.00 - 10.15 Break
- 10.15 - 11.15 Group Discussions
- 11.15 - 12.00 Background to the Projects earmarked for field trials:
(a) Salima PSSC - B. Bondo (Miss)
(b) Zomba East RPW - G. Ngulube
(c) Livulezi - P.A. Chintengo
(d) Mwima Sanitation - L.L. Chipungu
- 12.00 - 13.30 Lunch Break
- 13.30 - 15.00 Methodology of Field Trials
L. Msukwa
G.A. Banda
- 15.00 - 15.15 Break
- 15.15 - 17.00 Developing Preliminary Questionnaires

Thursday, 24/8/89

8.00 - 15.00 Field Trips to Chimkwezule Rural Gravity
Water Project and Mwima Sanitation Project

Friday, 25/8/89

8.00 - 10.00 Rating of Key Elements
10.00 - 10.30 Break
10.30 - 12.00 Modifying/discussing the developed
Questionnaire
12.00 - 13.30 Lunch Break
13.30 - 15.00 Expanding/modifying Worksheets
15.00 - 15.30 Break
15.30 - 17.00 Discussions

Saturday, 26/8/89

8.00 - 8.20 Plenary Discussion on the Rating Results
from the Field Visits
8.20 - 8.40 Overview of the Workshop
8.40 - 9.00 Relevance of Guidelines to Malawi
9.00 - 9.10 Evaluation of the Workshop
9.15 - 10.00 Closing of the Workshop by Mr. G.A. Phiri,
Principal Administrative Officer, Water
Department.

ANNEX II

LIST OF PARTICIPANTS

1.	Mr. G.A. Banda	Centre for Social Research
2.	Miss. R. Banda	Water Department
3.	Mr. R.J. Banda	Water Department
4.	Miss B. Bondo	Water Department
5.	Mr. B.B. Chandiyamba	Ministry of Health
6.	Mr. P.A. Chintengo	Water Department
7.	Mr. L.L. Chipungu	Ministry of Health
8.	Mr. R.J.V. Chirma	Water Department
9.	Mr. A. P. Kalonga	Water Department
10.	Mr. F. Kumwenda	Water Department
11.	Mr. F. Kwaule	Water Department
12.	Mr. A.C. Lwanda	Ministry of Local Government
13.	Mr. Y.C. Mhone	Ministry of Local Government
14.	Mr. R.B.C. Mkandawire	Water Department
15.	Mr. L.A.H. Msukwa	Centre for Social Research
16.	Mr. F. Ngulube	Water Department
17.	Mr. K.B. Nyasyu	Water Department
18.	Dr. I. Nyumbu	Zambia
19.	Mr. S.R. Phiri	Water Department
20.	Mr. M. Seager	IRC
21.	Mr. A. Shawa	Ministry of Community Services
22.	Mr. M. Udedi	Water Department

ANNEX III

CLOSING SPEECH BY MR. G.A.PHIRI, PRINCIPAL ADMINISTRATIVE OFFICER, WATER DEPARTMENT

Mr. Chairman
Mr. Seager from IRC
Dr. Nyumbu from Zambia
Ladies and Gentlemen

I am very pleased to join you this morning at the close of your deliberations on the important subject of Cost Recovery and Resources Coverage for sustainability of water supply and expanded sanitation facilities.

I take it that you have been in Liwonde for the past week examining a Guideline Manual which has been developed by the World Health Organisation (WHO) aimed at ensuring that Water Supply for Small Communities is sustainable and also that there is wide coverage for Sanitation facilities.

I understand that the objective is to finally field test the guideline manual in a number of water supply and sanitation schemes in Malawi.

I would like to assure you that the Malawi Government has since Independence given priority to provision of potable water supply and coverage of sanitation facilities for its rural based population.

This Workshop which has been addressing the issue of trying to improve the services further is therefore of vital importance.

What is pleasing is that the issues were not only being tackled by Water Department and Ministry of Health alone but in a multi-sectoral setting which is also important.

I hope during your week-long stay here at Liwonde you have critically looked at the manual to see whether it could be adapted to the Malawi situation.

As you are all aware that with the increased growth in population and limited resources, the Government cannot afford to continue providing water supply services which are not sustainable. Similarly there is great need to increase coverage of sanitation facilities among the populations. The end goal for them all is good health for the populations.

Ladies and Gentlemen, it is for these reasons that recommendations from this Workshop will prove vital in assisting Government to achieve the goal of Good Health for All by the Year 2000.

ANNEX IV

RATING SCHEME FOR ELEMENTS OF WATER SUSTAINABILITY AND EXTENDED LOW-COST SANITATION COVERAGE

BASIS OF ASSESSMENT

Q1 IS THE ELEMENT IN PLACE?

	Absent	Very weak	Weak	Just Right	Strong	Too Strong
Score:	0	1	2	3	4	5

Q2 IS IT ADEQUATELY RESOURCED?

- (a) By Agency
- (b) By Community/Household

	Too Little	Little	Just Right	Much	Too Much
Score	1	2	3	4	5

Q3 ARE THE RESOURCE NEEDS SHARED ADEQUATELY BETWEEN AGENCY AND COMMUNITY/HOUSEHOLD?

	Too Much by Agency	Much by Agency	Just Right	Much by Community	Too Much by Community
Score	1	2	3	4	5

EXAMPLE

ELEMENT	RATINGS OF QUESTIONS			
	Q1	Q2		Q3
		AGENCY	COMMUNITY	
COMMUNITY INSTITUTIONS	1 3	2 3	3 4	1 3

Assessment based on Interview of Agency

Assessment based on Interview of Community

ANNEX V

A. KEY CHARACTERISTICS OF ELEMENTS OF WATER SUPPLY SUSTAINABILITY

E1 COMMUNITY INSTITUTIONS

Key characteristics:

1. Clear Terms of Reference.
2. Legitimacy of Committee.
 - Whether it is affiliated to official/ existing institutions such as Area Action Groups.
3. Frequency of Meeting.
 - Committee should meet regularly.
4. Composition of committee should be broad enough to include all social groups.
5. Financial and other records should be kept.
6. Membership selection in a way that is acceptable.

E2 DEVELOPED SKILLS

Key characteristics:

1. Existence of adequate skills in Community for simple maintenance.
 - Ability to mobilise Communities to do simple maintenance.
2. Frequency of training, whether initial training carried out and provision for retaining and refresher courses for communities.
3. Availability of sufficient training materials and aids.
4. Women have equal opportunity to participate in training.
5. Availability of both technical and Community Support skill within the agency (agency staff).
6. Provision for feeding back experiences into the training programme.

E3 SUPPORTIVE ATTITUDES

Key characteristics:

1. Community should be aware of the ownership of the project and their own responsibilities.
2. Community continuously monitors progress and performance of the project and be able to effect corrective measures.
3. Communities willing to take increasing responsibilities in implementation, operation and maintenance according to their capability.
4. Communities should be aware of the various different components including environmental issues (e.g. experiences of vandalism and encroachments on catchment areas).
5. Community should have awareness of the potential health benefit and convenience of a good water supply.
6. Agency has specific activities to encourage and support the supportive attitudes.
7. Agency staff are well motivated and supported by policy guideline.

E4 COMMUNITY EXTENSION SERVICES

Key characteristics:

1. Extension staff visiting the project areas frequently to support communities in various activities.
2. Extension workers working in partnership with the communities.
3. Agency being able to draw resources from other agencies in supporting communities.
4. Support role of extension staff has been progressively transferred to the community.

E5 ACCEPTED SERVICE LEVELS

Key characteristics:

1. Community and agency fully aware of their responsibilities.
2. Choice of the level of service has been a joint decision between agency and community.
3. Provision for an upgrading of the level of service through continuous joint reviews.

E6 APPROPRIATE TECHNOLOGY

Key characteristics:

1. Technology with materials and spare parts readily available and communities should have capacity to carry out basic repairs and simple maintenance.
2. Cost of maintenance of chosen technology should be acceptable to both agency and community.
3. Technology selected should be such that it gives maximum output with minimum efforts for all users.
4. Technology which takes into account local conditions and the views of both the agency and the users.

E7 OPERATIONAL PHASE INPUTS

Key characteristics:

1. Provision for adequate supply of spare parts and tools
2. Clear awareness and availability of community inputs and agency inputs
3. Provision made for monitoring and problem solving.
4. Support inputs continue throughout the life of the project.

E8 O & M RELATED SUPPORTIVE SYSTEM AND SERVICES

Key characteristics:

1. Availability of accessible and appropriately well priced spare parts.
2. Existence of maintenance and repair teams within the communities.
3. Monitoring and communication mechanism should be in place.
4. Adequate resources available to repair teams to enable them respond to community problems.

E9 ALLOCATION OF RESPONSIBILITIES

Key characteristics:

1. Responsibilities clearly stated at the beginning of the project.
2. Agreement formalised at the beginning of the project (on responsibilities)
3. On community side, agreement should involve all members of community and on the agency side all participating institutions.

E10 EXECUTION OF RESPONSIBILITIES

Key characteristics:

1. Both partners should execute their responsibilities in coordination and in time.
2. Effective monitoring and feedback mechanism on both sides.

B. KEY CHARACTERISTICS OF ELEMENTS OF EXTENDED LOW COST SANITATION COVERAGE

E1 SUPPORT OF LOCAL LEADERS

Key characteristics:

1. Existence of formal Community Institutions.
2. Balanced composition of membership.
3. Clear Terms of Reference.
4. Personal example of ownership and proper use of sanitary facilities.

E2 CREATED AWARENESS

Key characteristics:

1. Awareness of the need for a health environment.
2. Existence of sanitation facilities.
3. Beliefs about causes of diseases.
4. Existence of health education/promotional activities.

E3 INVOLVEMENT OF WOMEN

Key characteristics:

1. The leadership roles of the women - Home/Community.
2. Awareness among women about Sanitation and Hygiene.
3. Practices with respect of disposal of children's faeces, bathing of children etc.

E4 HOUSEHOLD PRIORITY

Key characteristics:

1. Genuine individual/household attitudes and desires to construct and use latrines.
2. Willingness to contribute finances, skills, and time to construct sanitary facilities.
3. Proper utilisation and care of household latrines.

E5 EXAMPLES OF LOW-COST SANITATION SUCCESSES

Key characteristics:

1. Existence of sanitation projects in other areas with high areal coverage and involving majority of population.
2. Projects with reduced level of subsidy by Agency.
3. Projects within easy reach of the target continuity.
4. Availability of demonstrational and promotional activities for the target community/household to learn from.

ANNEX VI

PRELIMINARY QUESTIONS FOR FIELD TRIALS

(i) WATER SUPPLY SUSTAINABILITY

E1 COMMUNITY INSTITUTIONS

- What types of Committees exist?
- What is the membership of such Committees?
- To which institutions are the Committees affiliated?
- How often do you meet?
- How many members attended the last meeting?
- Does the committee keep records of its meeting's proceedings?
- How was the Committee formed?
by: - election
- appointed by Local Leaders
- extension Agency's Staff
- volunteering
- Does the Committee keep money?
- What do you use the money for?
- How is it raised?
Contribution
Donation
- What are the functions of the Committee?

E2 DEVELOPED SKILLS

- Do you have members who have some skills in the Committee?
- What type of skills (leadership, supervisory, construction, building, financial and general management)?
- How were the skills acquired?
- When were the members trained?
- Do you attend refresher courses?
- When did you last attended the refresher course?
- Do you have some women who are trained in some of the skills?

E3 SUPPORTIVE ATTITUDES

- Who owns this project?
- What do you view to be the role of the Agency/Community?
- If the Agency pulled out from the project, what would happen to the project?
- Are there any activities done by the Agency you feel could be done by the Community?
- If the project is to continue to provide the service, what should be done and/or avoided?
- What improvements has the project brought to the Community?

E4 COMMUNITY EXTENSION SERVICES

- How often do extension workers visit you?
- What did the extension workers do when they last visited you?
- Is there any work that used to be done by the extension workers which are being done by you?

E5 ACCEPTED SERVICE LEVEL

- Were you actually consulted on the type of water supply system to be provided?
- Are there improvements you would like to see in the project?
- Have you discussed them with the Agency?
- How often do you discuss them?

E6 APPROPRIATE TECHNOLOGY

- What part of the water system can you maintain?
- Why can't you do the repairs of other components of the system?
- Where do you obtain materials for repairs/maintenance?
- Can you easily obtain them?
- How easily can the system be used by children, adults etc?

E7 OPERATIONAL PHASE INPUTS

- Are spare parts readily available?
- How did you obtain the tools for maintenance/operation?
- Do you have a routine inspection of the system?
- What do you do when you face a problem which you can't solve on your own?
- Can you give an example of a problem which you were unable to solve locally and had to seek assistance elsewhere?
- How long does it take before the problem is attended to?
- What type of continuous support is needed in order to sustain the project?
- Why do you need this support from
 - (a) the Community?
 - (b) Agency?

E8 O & M RELATED SUPPORTIVE SYSTEM AND SERVICES

- Do you have repair teams in the project area
- Do repair teams have adequate resources to carry out maintenance/repair work?
- Are repair teams resident in the project area?
- How are repair teams paid for?

E9 ALLOCATION OF RESPONSIBILITIES

- What is made clear what the responsibilities of the communities and the agencies would be at the beginning?
- Who decided on what should be done by the communities/agency?
- Was there any agreement signed at the beginning of the project?

E10. EXECUTION OF RESPONSIBILITIES

- In your opinion, has the agency carried out its responsibilities as agreed and at the right time?
- Are you informed why the agency fails to maintain the system?
- Is the Community able to execute its agreed responsibilities efficiently and timely?

(ii) EXTENDED LOW COST SANITATION COVERAGE

E1 SUPPORT OF COMMUNITY INSTITUTIONS AND LOCAL LEADERS

- What type of committees do you have?
- What is the membership?
- To which institutions is the committee affiliated?
- How often do you meet?
- When did you last meet?
- How many members attended the last meeting?
- How did the committee come about?
- Does the committee keep money?
- How is it raised?
- What are the functions of the committee?
- Are committee members trained?
- Who trains them?
- What other positions do members of the committee hold?

E2 CREATED AWARENESS

- Do you have pit latrine fitted with Sanitation Platforms (san plats)?
- Who made the san plats?
- How did you obtain them?
- Is the latrine in usable form?
- Do all members of the households use the same latrine?
- What are the benefits of using the latrine?
- What other sanitary practices are conducive to good health?

E3 INVOLVEMENT OF WOMEN

- Are women able to make san plats?
- Are there any women able to install the san plats on a pit?
- When the latrine was constructed what did the women contribute?
- Who dug the pit latrine?
- Who repairs/maintains the latrine?

E4 HOUSEHOLD PRIORITIES

- If the project pulls out will you be able to provide yourself some san plats?

E5 EXAMPLES OF LOW-COST SANITATION SUCCESSES

- Have you ever visited projects of similar nature?
- Where?
- What did you learn from the project?

E6 DEVELOPED SKILLS

- Do you have some members of the community who have skills needed by the project?
- What type of skills?
- How were they acquired?
- When were the members trained?
- Do you attend refresher courses?
- When did you last attended the refresher courses?
- Are women trained in some of the skills?

E7 APPROPRIATE TECHNOLOGY

- What components of the project can be carried out by the household/community?
- Where do you get the materials for the project/san plats?
- How easily can the system be used by children, adults etc?
- Why can't you construct the san plat, dig the pit, install the san plat?
- Can you obtain the san plats and other materials?

E8 COMMUNITY EXTENSION SERVICES

- How often do the extension officers visit you?
- What do the extension staff do when they visit you?
- Are there any activities that used to be done by the extension workers which are being done by you?
- What support would you rather have from external agencies to enable you execute the project?

E9 ALLOCATION OF RESPONSIBILITIES

- Was it made clear what the duties of the community and agency would be right from the beginning?
- Who decided on that should be done by the households/communities?
- Has there been any agreement signed on the share of responsibilities?

E10 EXECUTION OF RESPONSIBILITIES

- In your opinion, has the agency been able to carry out its responsibilities as agreed and at the right time?
- Are you informed why the agency fails to do what it is supposed to do?
- Is the community able to execute its responsibilities efficiently and timely?

ANNEX VII

RATING OF ELEMENTS OF WATER SUPPLY SUSTAINABILITY

ELEMENTS	RATINGS OF QUESTIONS			
	Q1	Q2 AGENCY	Q2 COMMUNITY	Q3
1. Community Institutions	1.6 2.5	2.3 2.6	1.8 2.3	3.1 3
2. Developed Skills	2 2.3	2.3 1.6	2.3 2.3	2.9 2.6
3. Supportive Attitudes	2.6 3.3	1.9 2.3	1.9 2.3	2 2.9
4. Community Extension Services	2.3 2.3	2 2.1	2 2.4	1.4 1.8
5. Accepted Service Levels	1.7 3	1.9 1.6	1.7 1.9	2.4 2.3
6. Appropriate Technology	2.6 2.6	3.1 2.3	2.7 2.8	2.4 2.9
7. Operational Phase Inputs	1.7 1.9	2.4 1.9	2.7 1.3	1.9 2.6
8. O & M Related Supportive systems and Services	3.4 2.6	3.1 2.6	2 2.6	2.4 3
9. Allocation of Responsibilities	2.1 2.1	2.3 1.8	2.3 2	2.4 2.8
10. Execution of Responsibilities	2.4 3	2.7 2.6	2.9 2.9	3 2.8

RATING OF ELEMENTS OF SANITATION COVERAGE

ELEMENTS	RATINGS OF QUESTIONS			
	Q1	Q2 AGENCY	Q2 COMMUNITY	Q3
1. Support of Community Institutions and Local Leaders	2.7	3.6	3	2.1
2. Created Awareness	3	3.2	2.7	2.5
3. Involved Women	2.5	2.3	2.3	2.9
4. Household Priority	3.6	2.3	2.9	3.1
5. Examples of Low-cost Sanitation Successes	2.5	2.1	2	2.7
6. Developed Skills	2.7	3.3	2	3
7. Appropriate Technology	3.1	3.9	2	3.3
8. Community Extension Services	2.5	2.4	2.9	2.6
9. Allocation of Responsibilities	2.7	2.2	2.2	3.2
10. Execution of Responsibilities	2	2.6	2.4	1.7