

# **The Community Water Supply Management Support Programme, Phase II**

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## **Mid-term Review Report**

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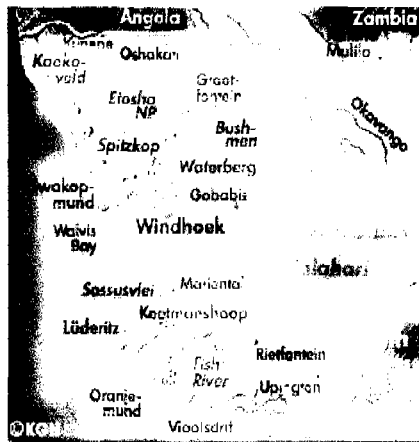
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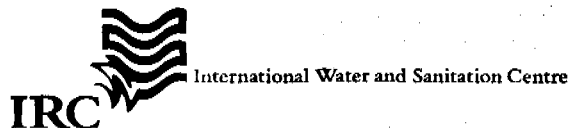
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of Namibia  
Directorate of Rural  
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**MID-TERM REVIEW REPORT OF  
THE COMMUNITY WATER SUPPLY MANAGEMENT SUPPORT  
PROGRAMME, PHASE II**



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# Acronyms

CBM	Community Based Management
CBMA	Community Based Management Advisor
CBMIC	Community Based Management Implementation Committee
CBP	Community Based Planning
CPDS	Computer Programming and Design Specialist
CWSMSP	Community Water Supply Management Support Programme
DD	Deputy Director
DIDC	Department of International Development Co-operation, Finland
DPS	Deputy Permanent Secretary
DRWS	Directorate of Rural Water Supply
DWA	Department of Water Affairs
ES	Extension Service
GIS	Global Information Systems
GoN	Government of Namibia
GRN	Government of Namibia
HO	Head Office
HOC	Home Office Coordinator
HOMT	Head Office Management Team
HQ	Head Quarters
HR	Human Resources
HRD	Human Resources Development
HRD&T	Human Resource Development & Training sub-division
HRM	Human Resources Management
HRMA	Human Resource Management Advisor
HRMS	Human Resource Management Specialist
IP	Infrastructure Planning
LHA	Leasehold Agreement
LWA	Local Water Association
LWC	Local Water Committee
MA	Management Advisor
MAWRD	Ministry of Agriculture, Water and Rural Development
MBR&O	Management by Results and Objectives
MFA	Ministry for Foreign Affairs of Finland
MIS	Management Information Systems
MR	Methodology Report
MTRT	Mid-Term Review Team
NDP 1	National Development Plan 1
NGO	Non-Governmental Organisation
NWRMR	Namibian Water Resource Management Review
O&M	Operation and Maintenance
ODA	Organisational Development Audit

OP	Operational Planning
OPA	Office Procedures Advisor
OPM	Office of the Prime Minister
PA	Planning Advisor
PD	Project Document
PS	Permanent Secretary
RA	Regional Advisor
RC	Regional Council
RO	Regional Office
ROMT	Regional Office Management Team
RUWIS	Rural Water Supply Information System
RWC	Regional Water Committee
RWD	Rural Water Development
RWEO	Rural Water Extension Officer
RWS	Rural Water Supply
SMART	Specific, Measurable, Achievable, Realistic and Timebound
SRA	Senior Regional Advisor
TA	Technical Assistance
TL	Team Leader
TNA	Training Needs Assessment
TOR	Terms of Reference
TOT	Training of trainers
WASP	Water Supply and Sanitation Sector Policy
WP	Water Point
WPA	Water Point Association
WPC	Water Point Committee



# 1 *Executive summary*

The Community Water Supply Management Support Programme (CWSMSP) has during the ongoing year greatly improved its output. During the first year there seemed to have been many misunderstandings associated with false expectations. The present progress, combined with the visible results, fully justifies continuation of the intervention, at least to the end of this current Phase II. However, the purpose of the Programme will not yet be achieved by the end of Phase II.

There is a possible major change in the operational environment in sight. The ongoing Namibia Water Management Review, launched by the Minister, may reorganise the sector management to an extent, which might make it necessary to completely rethink the place and the organisation of the CWSMSP. However, this will not reduce the need to continue the support for management improvement, nor make the present work worthless. However, the next possible phase of the Programme can only be designed when the true situation in the future sector set-up is known.

The Regional Offices of the Directorate of Rural Water Supply (DRWS) have been strengthened by human resources only very recently. Still, there are vacancies not filled but not to the extent as hereto. This is reflected in the results of the capacity building achievements of the Programme. There is some improvement in the management skills at the Head Office (HO). The achievements at the regions are much less apparent. This does not mean that the efforts were wasted but the lack of counterparts has slowed down the transfer of know-how. There is now hope that the situation is improving together with the newly recruited staff.

The CWSMSP, Phase II has created a Management Information System (MIS) for DRWS. It has partly been taken into use. Some Regional Offices (Ros) have not fully operationalised it yet. Use is hampered by lack of electronic network and restrictions in public sector electronic mailing systems, and especially by lack of internalisation of the usefulness of the system. The information from the Rural Water Supply Information System (RUWIS) is already being used in the Head Quarters (HQ) and considerable efforts have been put to the required CBM (Community Based Management) monitoring and evaluation tools.

The planning process of the DRWS is currently improving. At the HO level the first round of annual planning - preliminary plan, revision of targets to match resources, acceptance, implementation, monitoring has been carried out. In the Regional Offices this still is going on.

Because the CBM implementation is now the centre of DRWS activities and thus the main focus of the CWSMSP in Phase II, most of the project components support the DRWS efforts to implement CBM. The CBM component implementation is behind schedule, just as is the whole CBM implementation process within the Directorate.

Because all aspects of the CBM are delayed, some donors and other partners have expressed their concern. The team feels, however, that taking into consideration the duration of the CBM implementation it has achieved tangible results and that the CWSMSP has largely contributed to achieving the results.

Inadequate resources delay the actual CBM implementation. There is acute shortage of capacity. Especially the Human Resource Development & Training subdivision (HRD&T) is confronted with limited human resources. Many Water Point Committees (WPCs) have been established, and some already few years ago but they have not been trained. Human resource problems also occur at the regional level. Members of the RTT may have received their TOT (Training of Trainers) some time back. In addition, they were not associated to the development of the WPC skills training package and are not therefore familiar with the content. In some cases, RTTs are no longer complete. In the discussions held at the regional level, and the HQ, the team has recognised the attitude that the Rural Water Extension Officer (RWEOs) cannot be expected to work up to standard. Extension officer training has for long been perceived as the information distribution channel to staff of the regional extension service. This is also confirmed by the Extension Services Review.

In general, Human Resource Development (HRD) in the project is mainly centred on the training aspects. Although training is a very important element of HRD, it is not the only one. Such elements as coaching, advising, strengthening the capacity of professionals, designing a strategy, developing guidelines and working procedures are also important. In view of the future role of DRWS, it would be relevant that the Directorate becomes familiar with overall HRD activities, in order to best to support regional offices.

The team wishes to acknowledge the major effort given by the project in developing and upgrading management skills at all levels, as this is very rarely done in other countries in such an organised manner, especially for civil servants working in rural development. Management, professional and support staff can greatly benefit from this effort, as well as the department as a whole.

In general, the team had access to financial reports of the project, and noted that these reports were detailed and well prepared. It is not completely clear though how this financial system merges with the DRWS financial system. Furthermore, reports mention a certain resistance to change from the department of finance of DRWS, concerning the introduction of new financial control mechanisms at head office and regional offices. This situation is not abnormal and is met in other countries, especially within government services, where financial procedures are tightly linked to the existing administrative system.

## **Recommendations:**

A general, key result connected recommendation for each key result is presented below:

*The main recommendation concerning key result **MIS-RUWIS a)** is:* Continue the introduction of the MIS and RUWIS to the HQ and ROs of DRWS. Concentrate on demonstrating the benefits of the systems.

*The main recommendation concerning key result **Planning b)** is:* Reinforce bottom-up, broad-base planning to support sustainability. Communities have to be involved and the ROs educated in community based planning (CBP)

*The main recommendation concerning key result **CBM c)** is :* Transfer the approach from result orientation to process orientation, and the focus to relationship between the region (RO,RC) and the communities.

*The main recommendation concerning key result **HRD-HRM d)** is:* Adjust the present HRD strategy to integrate the implication of the foreseen changes in institutional set-up, roles and responsibilities caused by the on-going NWRMR.

*The main recommendation concerning key result **Financial management e)** is:* Concentrate on development of proper cost recovery structure, suitable for the varying conditions in different parts of the country, and create an implementing strategy, which is politically acceptable.



## **2 Main Findings and General Recommendations**

### **2.1 Background**

Since September 1996 two very significant changes have taken place in the rural water sector in Namibia. The first is the proposed decentralisation of activities and responsibilities from the Directorate of Rural Water Supply (DRWS) Head Office (HO) and Regional Offices (RO) to Regional Councils (RC). The second important change, within the DRWS, is the implementation of Community Based Management (CBM). This means that communities themselves will, as far as possible, take over the responsibility for managing their own water supply. This approach towards rural water supply started with the Water Supply and Sanitation Sector Policy (WASP) approved by Cabinet in 1993. The WASP was refined in subsequent consultations, culminating with the CBM strategy approved by the Cabinet in June 1997.

The transition from the present to the final fully decentralised situation, in line with the CBM strategy is complex and will place considerable strain on the existing sector institutions. The Ministry of Agriculture, Water and Rural Development (MAWRD), therefore, with the support of the Finnish Government, established the Community Water Supply Management Support Programme (CWSMSP). The CWSMSP is to help DRWS to build the capacity of its management in general, and of its regional management in particular, to implement the WASP and CBM.

### **2.2 The Programme**

CWSMSP is divided into two phases. The first phase was dedicated to analysis and planning, covering the period 21/4/97 to 31/3/98. Its objective was stated in order to identify DRWS's support needs in order to implement the WASP, and to produce a document on how to address these issues. This document serves as the Programme Document for the Second Phase of CWSMSP, expected to last 3 years (4/1998-3/2001).

The overall objective, "The Mission", of the DRWS and CWSMSP is:

**To ensure the sustainable supply of safe water to rural communities in communal areas.**

The three long-term objectives, "The Vision", of the DRWS and CWSMSP are:

- a) "By the year 2007 we will ensure that 80 per cent of the rural population of Namibia will receive water from improved systems, and all the water points that then exist will be managed by the communities themselves.

- b) The Directorate will then consist of a group of in-house specialists, who will provide advice and services on policy-making, planning and information management.
- c) As part of Regional management structures, rural water supply support units will provide project management services, policy advice, training services, management of inter-Regional pipelines, and advice and support in water supply operations.”

Since the CWSMSP is fully integrated into the DRWS, the results of the CWSMSP are part of the results aimed for by the DRWS. The results of the CWSMSP therefore also support the achievement of the three long-term objectives of the DRWS. In the short-term the results of the CWSMSP meet the following purpose:

***The purpose of the Phase II of the CWSMSP is to strengthen the management capacity of the DRWS' Head Office and Regional Offices in particular,***

- a) *to manage the supply of water to communities living in communal land, and*
- b) *to build the capacity of these rural communities to take over the management of the rural water supply infrastructure and development in accordance with the CBM strategy.*

The CWSMSP, will, during the period of Phase II, deliver the following results:

- a) *A comprehensive Management Information System (MIS) developed and implemented, including the establishment of the Rural Water Information System (RUWIS) database*
- b) *The management capacity of DRWS strengthened so that it can introduce more effective planning processes*
- c) *The management capacity of DRWS strengthened so that it can prepare communities to manage their water supplies*
- d) *Delivery secured of training, staff development and HR management services to all levels of the organisation through the IIRD&T sub-division*
- e) *Improved DRWS capacity to secure adequate financial resources to support its activities, and to manage these resources*

The DRWS senior management is managing everyday operations and strategic planning. This senior executive leadership gives direction, creates values, defines goals, and approves the supply of resources for the establishment of systems. It guides the Directorate and assesses the on-going performance of the CWSMSP. In order to reach the set results the Technical Assistance (TA) Team is integrated as advisers within the Head Office (HO) and Regional Offices (RO).

The technical assistance, as well as the overall management of the Finnish financial contribution, is provided by a Finnish company, Soil and Water Ltd in association with Finnconsult, based on the agreement between the Governments of Namibia and Finland. The technical assistance team includes Namibian experts for purposes of making use of their intimate knowledge of the potential and limitations of the country. The team includes, but is not limited to the following specialist and advisor posts (if filled at the moment, name given):

<b>Long Term</b>
Team Leader, Mr Esko Toivonen
Planning Advisor, Mr Elis Karstèn
Senior Regional Advisor, Ms. Lisa Reilly
Four Regional Advisors, Mr. Marc Van Uytvank, Mr. Pertti Murtovaara, Mr. Perfectus Totwe, Mr. Hannu Shipena
CBM Development Advisor, Dr. Beth Terry
HR Management Specialist, Mr. Immanuel Shapopi
Computer Programming and Design Specialist, Ms. Urda Hoffman
Home Office Co-ordinator in Finland, Ms Anu Saxèn

<b>Short Term</b>
HR Management Advisor, Mr. Ulfried Schwake and Ms. Mariana Niehaus
Management Training Specialist
Gender Advisor, Ms. Ulla Mustanoja
Legal Advisor, Mr. Andrew Corbett
Researcher(s)
Financial/Credit Specialist
Cost Recovery/Subsidisation Specialist
Management/Office Procedures Advisor(s)
Financial Management Advisor

The support provided and activities carried out by these advisors and specialists are focused into the Regional Offices.

The total budget estimate for Phase II of the CWSMSP is FIM 32,4 million. From the total budget sum FIM 28,7 million will be contributed by the Government of Finland and FIM 3,7 million by the Government of Namibia. The Finnish contribution will be on a grant basis.

## **2.3 This document**

This document is the report of the mid-term review team (MTRT) commissioned by the competent authorities to review the progress of the CWSMSP, Phase II as a part of the project cycle of Ministry for Foreign Affairs of Finland, Department for International Development Co-operation (DIDC) as well as a monitoring element as agreed in the Project Document.

The opinions and recommendations of this report represent those of the team only, and will be discussed among the stakeholders. The recommendations will be used to re-orientate and guide the CWSMSP only after being agreed by the Steering Committee. The terms of reference of the review mission is presented in ANNEX 1. The programme of the mission is presented in ANNEX 2, the persons met in ANNEX 3, and the documents consulted in ANNEX 4.

The team consists of representatives nominated by the Finnish and the Namibian parties: Mr. Heikki Wihuri, IRC International Water and Sanitation Centre, Team Leader

Ms. Pirkko Poutiainen, Consultant, CBM, Socio-Economic, Participatory Development, and Gender Specialist

Mr. François Brikké, IRC International Water and Sanitation Centre, Institutional and HRD Specialist

Mr. Eero Kontula, DIDC, Resource Person

Mr. Gerhard Karuoombe - Regional Head, Kunene North (North)

Mr. Karukirue Tjijenda - Development Planner (Rural Water Development)

Mr. Coen Esterhuyse - Regional Head, Karas (South)

Mr. Jaap Saayman - Consultant (HRD and Institutional Specialist)

## **2.4 Main Findings**

### **2.4.1 General**

The CWSMSP has during the ongoing year improved greatly its output. During the first year there seemed to have been many misunderstandings completed with false expectations. The present progress, combined with the results, fully justify continuation of the intervention, at least to the end of this current Phase II. The need to continue with a third phase is further justified by the fact that the purpose of the Programme will not yet be achieved by the end of the current Phase II.

There is a possible major change in the operation environment in sight. The ongoing Namibia Water Resources Review, launched by the Minister, may recommend reorganisation of the sector management to an extent, which might make it necessary to completely rethink the place and the organisation of the CWSMSP. However, this will not reduce the need to continue the support for management improvement, nor make the present work worthless. However, the next possible phase of the Programme can only be designed when the true situation in the future sector set-up is known, provided the NWRMR will complete their work before the end of the Phase II of CWSMSP. Already now it is obvious that there has to be a shift to general capacity building, especially at RO level, to change the top-down management and operation style to a participatory, bottom-up process. This calls also for a redefinition of the Programme purpose to correspond with the general capacity building, not only the management capacity building.

The above situation is having its impact on the present work of the CWSMSP, Phase II. The uncertainty of the roles of various actors, and their organisational tasks, reduce the precision targeting of the development efforts. The duties of the present positions in the Directorate, both in the HO and the ROs may be changed, the duties reallocated and positions moved from HO to ROs, and staff moved according to the new organisational structure. It is, however, clear that the skills now developed are not wasted.

The Regional Offices of the DRWS have been strengthened by human resources only very recently. Still, there are vacancies not filled but not to the extent as hereto. This is reflected in the results of the capacity building achievements of the Programme. There is some improvement in the management skills at the HO. The achievements at the regions are much less apparent. This does not mean that the efforts were wasted but the lack of



counterparts has slowed down the transfer of know-how. There is now hope that the situation is improving together with the newly recruited staff.

#### **2.4.2 MIS - RUWIS**

The CWSMSP, Phase II has created a Management Information System (MIS) system for DRWS. It has partly been taken into use. Some ROs do not have it yet. Use is hampered by lack of electronic network and restrictions in public sector electronic mailing as well as by lack of internalisation of the benefits of its use.

The Rural Water Information System (RUWIS) is under preparation and first baseline input of data is being fed in. It is a part of the MIS for the DRWS. The RUWIS appears very comprehensive, structurally up-to-date, and open-ended to future connection also to the National MIS currently under preparation in the Central Statistics Office of Namibia.

The RUWIS does not at the time have a GIS component but it is possible to add such to it. The present stage of creating an information base to support operational decision-making is requiring too much time of the Regional Offices' staff. This worry is further deepened by the fact that at least partly the work is carried out by wrong persons (extension workers) and not the record clerks. When the baseline data has been fed in it will, however, require a time input which is well justified by the improvement in the information flow enabling knowledge based decision making in the organisation and proper monitoring of implementation of the annual plans. An assessment of the MIS – RUWIS component is presented in ANNEX 6.

To prepare a National comprehensive MIS is not under the mandate of the DRWS. The CWSMSP has created a MIS for whole DRWS, including the HO and the ROs. However, the MIS has not been implemented in all ROs yet. The RUWIS has been taken into use in all the ROs and in the HO. The development stage is variable.

#### **2.4.3 Planning**

The planning process of the DRWS is currently improving. At the HO level the first round of annual planning - preliminary plan, revision of targets to match resources, acceptance, implementation, monitoring – has been carried out. In the Regional Offices this still is going on. Only time will tell, after second and third planning cycle, how successful and sustainable the capacity building has been. Already now it can be noticed, that there is only little bottom-up approach in the meaning that the end users of the services were consulted (two way communication) or given the initiators role. Involvement of communities into Operational Planning of DRWS is through involvement of RWC (Regional Water Committee) that is prioritising the applications of the communities for new WPs (or rehabilitation) and thereafter forwarding the recommendation to RO for processing. This is the main form of the initiators role of the communities. Processing the applications and carrying out the improvements then follows the CBM procedures. However this is not enough. The planning process is still supply driven. An assessment of the planning component is presented in ANNEX 7.

#### **2.4.4 CBM**

Because the CBM implementation is now the centre of DRWS activities and thus the main focus of the CWSMSP in Phase II, most of the project components support the DRWS efforts to implement CBM. The CBM component implementation is behind schedule, just as is the whole CBM implementation process within the Directorate. Because all aspects of the CBM are delayed, some donors and other partners have expressed their concern. The team feels, however, that taking into consideration the duration of the CBM implementation it has achieved tangible results and that the CWSMSP has largely contributed to achieving the results.

Foundation for implementation has been laid and implementation has started. Enabling policy environment supports implementation. The CBM is part the national policy framework, thereby, official support is available. The CWSMSP, Phase II has greatly contributed to the preparation of the legal framework for the CBM. It does not exist, yet, in its full legal sense, but the ground work has been done and all the required legal documents prepared. In operational terms the legal training has been started at the community level. Even though the implementation process has been delayed, there are already tangible results in terms of rehabilitating WPs, establishing WPCs/WPAs LWCs/LWAs and training the communities. Technical service to communities has improved and the management capacity of the Directorate to steer the implementation process has improved. In stead of the previous top-down and centrally governed system, the community has become the focus of the Directorate. The theoretical skeleton of CBM has been used for developing practical guides for implementation.

A number of constraints can be identified that slow down the CBM implementation process. These constraints primarily relate to concept (CBM technology), approach (top-down versus bottom-up; participatory versus conventional), focus (relationship between HQ and ROs versus relationship between community and RO) and resources (human and financial). Practical tools for implementation are also not sufficient. There is also some resistance to change at all levels for different reasons. CBM is fully elaborated and outlined as far as procedures, forms, implementation guidelines, legal documents and training materials are concerned. However, there is still misinterpretation and misunderstanding of CBM, combined with limited capacity at the regional level to take charge of the CBM implementation programme. Regional staff needs to become fully conversant with all documents and methods to be able to successfully transmit information to communities. Besides developing the content of CBM, implementation capacity of the ROMT is to be built, and especially staff of the extension service.

Inadequate resources delay the actual CBM implementation. There is acute shortage of capacity. Especially the HRD&T is confronted with limited human resources. Many WPCs have been established, and some already few years ago but they have not been trained. Human resource problems also occur at the regional level. Members of the RTT may have received their TOT some time back. In addition, they were only partly, not continuously (a process) associated to the development of the WPC skills training package and do not therefore feel familiar with the content. In some cases, RTTs are no longer complete. Some people argue that RWEOs cannot be expected to work up to

standard. Extension officer training has for long been perceived as the information distribution channel to staff of the regional extension service.

Because emphasis has been mainly laying the foundation for CBM implementation, less time was available for the actual introduction and start of implementation in the regions. The lengthy process of introducing operational planning and target setting in the regions under the planning component has been on going. An assessment of the CBM component is presented in ANNEX 8.

#### **2.4.5 HRD - HRM**

In general, Human Resource Development in the project is mainly centred on the training aspects. Although training is a very important element of HRD, it is not the only one. Such elements as coaching, advising, strengthening the capacity of professionals, designing a strategy, developing guidelines and working procedures are also important. In view of the future role of DRWS, it would be relevant that the Directorate becomes familiar with overall HRD activities, in order to best to support regional offices.

The team wishes to acknowledge the major effort given by the project in developing and upgrading management skills at all levels, as this is very rarely done in other countries in such an organised manner, especially for civil servants working in rural development. Management, professional and support staff can greatly benefit from this effort, as well as the department as a whole.

The HRM component falls directly under the responsibility of the deputy Director of DRWS. This function cannot be improvised and needs a full time professional and expert in that matter, as the tasks of the deputy Director are too heavy to carry out this responsibility. Attempts have been made to ease the pressure by recruiting a half time external Namibian consultant, however, a HRM professional needs to go into personnel matters, which are to be dealt within DRWS as a whole. Furthermore, the tasks of such an advisor can be cumbersome, since DRWS depends also on the personnel administration of the Ministry of Agriculture, Water and Rural Development. This question needs to be clarified with the Ministry, before a full time professional is employed. An assessment of the HRD – HRM component is presented in ANNEX 9.

#### **2.4.6 Financial management**

In general, the team had access to financial reports of the project, and noted that these reports were detailed and well prepared. It is not completely clear though how this financial system merges with the DRWS's financial system. Furthermore, reports mention a certain resistance to change from the department of finance of DRWS, concerning the introduction of new financial control mechanisms at head office and regional offices. This situation is not abnormal and is met in other countries, especially within government services, where financial procedures are tightly linked to the existing administrative system.

The financial performance of the project is regularly reviewed, and targets / budgets are not only adjusted, they are analysed in terms of deviations and corrective measures to be undertaken. However, this component is for the whole DRWS capacity to manage both project resources and own resources. As this might be impossible to do, the project might have to revise some of the indicators of this component. This is also valid for the indicator regular budget reports circulating and cash handling procedures meeting internal audit requirements. An assessment of the financial management component is presented in ANNEX 10.

## **2.5 Recommendations**

The detailed recommendations and the observations that led to the recommendations, are presented in a table format in ANNEX 5/1-5.

A general, key result connected recommendation for each key result is presented below followed by the most important specific recommendation:

### **MIS – RUWIS**

*The main recommendation concerning key result a) is:* Continue the introduction of the MIS and RUWIS to the ROs of DRWS. Concentrate on demonstrating the benefits of them.

*Most important specific recommendation concerning key result a)*

Considering that the MIS of the DRWS has not fully been taken into use in all the ROs. The team recommends that this should be done as soon as possible

### **Planning**

*The main recommendation concerning key result b) is:* Reinforce bottom-up, broad-base planning to support sustainability. Communities have to be involved and the ROs educated in community based planning (CBP)

*Most important specific recommendation concerning key result b)*

Considering the need to empower Regional Offices in operational planning skills and in continuation of what is presently being done through the P1 and P2 training courses, the Team recommends to strengthen the operational planning strategy and to add planning tools in addition to the ones presently used.

### **CBM**

*The main recommendation concerning key result c) is :* Transfer the approach from result orientation to process orientation, and the focus to relationship between the region (RO,RC) and the communities.

*Most important specific recommendation concerning key result c)*

Considering that the conceptual framework for the CBM implementation is almost completed but that there are still unclarities in regard to the concept itself, the team recommends that the conceptual framework is consolidated with the studies on CBM support systems (including financial strategy).

## **HRD-HRM**

*The main recommendation concerning key result d) is:* Adjust the present HRD strategy to integrate the implication of the foreseen changes in institutional set-up, roles and responsibilities caused by the on-going NWRMR.

*Most important specific recommendation concerning key result d)*

Considering the future changes in institutional and human resources development that are proposed by the NWRMR, as well as the redefinition of the roles and responsibilities of regional institutions induced by the envisaged decentralisation process, the team recommends to adjust the present HRD strategy to integrate the implication of these changes on training activities and the management of human resources. The target groups are staff from Regional Councils and RO offices, including extension workers, as well as communities and water point committees.

## **Financial management**

*The main recommendation concerning key result e) is:* Concentrate on development of proper cost recovery structure, suitable for the varying conditions in different parts of the country, and create an implementing strategy, which is politically acceptable.

*Most important specific recommendation concerning key result e)*

Given the fact that DRWS's objective for this financial year is to improve the effectiveness of financial control systems through compiling and distributing of all procedures to relevant staff, and putting in place a computerised financial control system, the team recommends to consolidate the technical assistance in terms of financial management support.



## 3 *Assessment of the Intervention*

### 3.1 **Relevance i.e. correspondence with the present needs**

The CWSMSP is considered to be very important and needed in Namibia by the National authorities, starting from the sector minister down to the Regional Offices of the DRWS.

The team agrees with this opinion because of:

- Decentralisation policy is under implementation and the rural water supply is one of the first ones to be decentralised.
- The GRN policy of community based management is currently being implemented. The CWSMSP is in the forefront of this process.
- There is a foreseen reorganisation of the roles and responsibilities within the sector actors. New skills are needed, and the human resources base increased.

The CWSMSP, Phase II is highly relevant and corresponds to the present need of management support to the DRWS.

The team is of the opinion that there is a need for continued support beyond this current Phase II. However, its target setting and focusing should be adjusted in connection of the project document preparation to correspond with the sector organisational structure and the possible changes in the Namibian National development plans of that moment. This cannot be done before that moment, as the foreseen changes are not crystallised yet (re: 1.5.1).

One can question the emphasised role of the MIS –RUWIS at this stage of development and especially scarcity of resources in Namibia in general and in DRWS in particular, as the initiation phase has taken so much of the working time of the RO staff, and there are regulatory limitations for data transfer through modern electronic networks. The main question remains at the moment whether it does serve as a proper monitoring tool as planned, taking into account the limitations. This should be taken into consideration when planning the potential Phase III. However, to stop now the implementation of the MIS –RUWIS would nullify the input until now, which is not affordable.

The management capacity of DRWS is in further need of strengthening. Changes in management style and adaptation to new strategy are processes that take time and repeated efforts. The CWSMSP is on right track and it contributes to a need, which is both real and felt. Natural resistance for a change like this, from centrally managed provision of services to facilitation of CBM of water supply, still exists and most likely will continue to do so for some years to come. The change is a process that needs continuous fostering. A programme, which is integrated into the administrative structure, is perhaps the best way to support the DRWS in its change.

The HRD&T of the DRWS is currently in a situation where a new validation & qualification structure is expected to come into force in Namibia. The practice oriented work done by the CWSMSP is going to contribute also for the new system under preparation, provided the dialogue already started is continued with those in charge of planning the new systems. DRWS has practical training experience that can give an important input to the planning. If the planning is done based on the theoretical models only, it will not fit the Namibian situation and it will fail to achieve the set targets.

The CWSMSP is in line with the National Policy of decentralisation and the CBM strategy. However, it also is reinforcing the over ambitious expectations of the implementation timetable of the policy, taking again into consideration the available resources in Namibia if it does not continue to advocate the need to amend the timetable. Especially the CBM is lacking capacity in terms of staff, their gender balance, training, and means to do their work.

### **3.2 Presumed impact of the project**

The management capacity of the DRWS, HO and ROs, will be strengthened considerably by the end of the Phase II. Already by the mid-term review the HO level management had improved as reported by the TA team. The mid-term review team could verify the reports to be realistic and true. However, especially in the Regions much remains to be improved. Only the overall conceptual framework will be consolidated during Phase II, experience from the field still remains to come.

The CBM component is in need of strengthening. The CWSMSP should learn from the other actors in Namibia who promote participatory development in the water sector and also in the others of the society.

### **3.3 Effectiveness i.e. extent of achievement of the project purpose**

The CWSMSP, Phase II is contributing towards the achievement of the purpose as indicated in the PD. However, there is a periodic need to review the activities versus the purpose and the objective. Gradual drifting was observed, but only to a minor extent. The foreseen achievement of the purpose appears to be of acceptable level.

DRWS HO management capacity has improved but mainly only the generic management of DRWS (operational planning, management skills in general). Still their understanding and management of processes, required for community based interventions, are very limited. This also applies to ROs. In this respect the CWSMSP has not sufficiently contributed to achieving the purpose.



### **3.4 Extent of achievements of results**

The first year of the Phase II was rather slow in achieving the expected results. An improvement has been observed during this year. Still, it appears unlikely that all the results could be fully achieved by the end of the Phase II period. Especially the slow progress of the DRWS handing over the water points to the communities will be noticeable as a backlog for key results c and e.

On the other hand, if the results are sought too fast, the processes needed to make them sustainable cannot be followed. This in turn contributes to fulfilling the blueprint results but not the real ones. ANNEX 11 is presenting as examples of progress the achievements of the two nearest quarters (past and next to come) as seen by the CWSMSP.

### **3.5 Carrying out of activities**

The Phase II is totally integrated in the DRWS. The mode of operation is co-operation, giving advice and trying to avoid doing the work instead of giving an advice. The approach is correct and has until now been the most likely one to bring the wanted increased capacity of the DRWS to carry out its duties in accordance with the National Policy. However, there is a continued need to evaluate and re-orientate the modus operandi. At the time of the mid-term review the obvious need was to emphasise need for co-operation with other actors in the scene. ANNEX 11 is presenting the activities as examples the present stage activities of the two nearest quarters (past and next to come) as seen by the CWSMSP.

The disbursements are following the budget fairly well. A small underspending was, however noted.

### **3.6 Efficiency of the implementation**

The project costs / disbursements seem to proceed roughly as planned, and the results, quality and quantity wise, are clearly visible and, based on the reporting of the CWSMSP, at acceptable level after a slow start. The slow start is acceptable because of the strong impact of creation of human relationships in a management support project. Trust must be created first, then there can be results.

There seems to be, judged by the share number only, too numerous advisory posts in the project. However, taking into consideration the need to operate for the comprehensive spectrum of capacity building, both skills wise and geographically, it is not so. On the contrast, the mid-term review mission noted that there is a need to get a full-time management adviser and also for the HRD. The time input of the team leader is consumed to a large extent by Programme managerial and co-ordinating tasks, leaving too little time for actual management advising to the top management of DRWS. The input of the present post of HRD advisor is not enough considering huge task of supporting / advising the staff at all levels, especially in the ROs.

The proportion of advisers recruited from Namibia and/or the Region needs constant attention as their total cost per input unit is lower than of those imported from Finland. However, it is to be remembered that the quality and type of advisory task is decisive. A group of factors to take into consideration is culture, social contacts and language. The National and Regional experts have, as a rule of thumb, by far less communication difficulties at the grass-root level and amongst the RO field staff than those coming from far away. On the other hand, for different reasons, those coming from far away are in a position to create more trust and better working relationship at the community and regional levels than those in the country.

The need to step-up the efforts for CBM may call for reallocation of advisory capacity. This, however, has to be done in thorough consultation with all relevant parties, including parallel organisations having extension workers in the rural Namibia. It may be possible to tap synergy benefits by joining hands when conveying messages, in two-way communication manner, on health, water, sanitation, land conservation, income generation, and other rural development issues

### **3.7 Proposals for Changes in the Project and their Justification**

The needs to changes in CWSMSP, Phase II, are for changes that are caused by the policy changes ( empowerment of the Regional Councils) and consolidation of the CBM concept. However, to completely change orientation and activities would be demoralising for the staff and communities, and would have a negative impact. The main need is to solidify the community based management orientation, which according to the observations of the team is not yet fully internalised amongst the DRWS staff at both the HO and the Regional levels. Taking into consideration the resources available, the above means shift of emphasis of efforts towards the CBM component. Especially the conceptual framework is in need of additional inputs. There seems now to be a possibility to do so due to the progress achieved in institutional development.

The purpose of the CWSMSP, Phase II is expressed in the Project Document as follows: "The purpose of the CWSMSP is to strengthen the management capacity of the DRWS Head Office and Regional Offices in particular,

- a) to manage the supply of water to communities living on communal land
- b) to build the capacity of these rural communities to take over the management of the rural water supply infrastructure and development according to the CBM strategy"

This creates the demand for an orientation to address the whole spectrum of issues within the term Community Based Management, including financial management and the necessary institutional support mechanism of Namibia. It is necessary from time to time to compare the expressed purpose of the Programme versus the activities carried out.

An other reallocation need is to, simultaneously with the efforts to get the benefits of the RUWIS and the DRWS own MIS, speed up feeding-in of the baseline data to the system. This may call for outsourcing some routine tasks and/or attempting to get the demographic data from other National databases.

A third need, a must, is to co-ordinate the HRD activities with the Namibia Water Resources Management Review (NWRMR). The wealth of practical experience and knowledge of the CWSMSP and the DRWS completes the theoretical framework under development by the NWRMR. Failing to do so would nullify the efforts done hereto inside the DRWS to qualify the staff for the new situation of decentralisation and CBM.



## 4 Assumptions and Risks (Possible Changes in the Project Environment and Their Effects on the Project)

### 4.1 Assumptions

The following assumptions have been made in the Programme document for Phase II as follows:

- a) *The Cabinet and the senior level of the MAWRD (Minister, PS, DPS, U/S) will continue to support the implementation of CBM and CWSMSP.*
- b) *Implementation of the Decentralisation Policy (devolution of the rural water supply functions to the Regional Councils) will commence during Phase II. It is assumed*
  - i) *that CWSMSP support to DRWS' present Regional Offices, which will then fall under the Regional Councils, will continue and also that*
  - ii) *for the time being, general support functions (stores, vehicles, personnel administration, financial services, etc.) will continue to be discharged by MAWRD, not the Regional Councils or MRLGH.*
- c) *The government's CBM strategy, based on the mobilisation of community resources to cover increasing proportion of the costs of water supply services, will be consistently implemented at all levels by responsible ministries. (Failure to follow this strategy would imply that the orientation of the CWSMSP would have to be reconsidered.)*
- d) *The ministries responsible act promptly to put into effect the measures identified in the Legal Study as necessary to give effect to CBM.*
- e) *Appropriate mechanisms are put in place by the year 2000 (as aimed at in NDP1) to guarantee water use rights for rural communities (groundwater regulation is beyond the scope of the CWSMSP).*
- f) *OPM continues to support the principle that CWSMSP shall carry out HR Management and organisational development activities in support of DRWS.*
- g) *The MIS that is to be developed for DRWS will focus solely on DRWS' requirements, not on those of the Regional Councils.*
- h) *DRWS develops and follows regularly updated operational plans which, amongst other things, ensure that the resources needed for the achievement of the CWSMSP results are in place and available.*

All but one of the assumptions, which were made in the Project Document for the Phase II, realised. Only the assumption (h) did not materialise during the first year of Phase II implementation. As described in the other parts of this report, some delays were experienced in finalising the operational plans for DRWS.

The assumptions made in the Project Document for the Phase II are still valid. However, an additional assumption can be made;

- i) The rearrangement plan of the sector, under preparation by the Namibia Water Resources Management Review, will support the decentralisation process going on by creating an environment where the DRWS can carry on its tasks based on well-defined distribution of roles and responsibilities between the HO and the Regional offices

## 4.2 Risks

The following risks were identified in the Programme Document for Phase II as follows:

- a) *DRWS ability to implement the CBM strategy or to absorb the inputs of the CWSMSP may be compromised by a number of external factors:*
  - i) *Inadequate financing from the GRN and external donor agencies for the improvement of water supply infrastructure and for proper operation & maintenance*
  - ii) *Irregular and unpredictable budget cuts and other similar restrictions (freezing of posts, km-limits for RO vehicles, no acting allowances, limits on S&T, etc.)*
  - iii) *Reductions in DRWS funding to compensate for overspending by other Directorates in the Ministry.*
  - iv) *Inability to attract or retain qualified staff at HO and RO levels, due to low salaries and inability to reclassify positions to appropriate levels within the Civil Service structure*
- b) *DRWS operations as well as the success of CBM could be jeopardised unless effective measures are soon put in place to regulate the use of communal land. These measures need to address unregulated settlement in excess of the yield of water resources and stocking communal land above its carrying capacity. The ministries responsible are Ministry of Agriculture, Water and Rural Development (MAWRD), Ministry of Land, Resettlement and Rehabilitation (MLRR), Ministry of Environment and Tourism (MET) and Ministry of Trade and Industry (MTI).*
- c) *The management systems developed through CWSMSP will not be fully used after the devolution of the rural water supply management into the Regional Councils.*

The Ministry of Finance cut the DRWS' transport budget request for 4/1998 – 3/1999 by 50%. This has caused problems for effective operation of the DRWS during the financial year, which in turn possesses a risk towards implementation of the CBM. The transport budget was already exceeded in the RWS South and North by the end of October. Part of the fleet was grounded and as a consequence service level of certain communities has decreased possibly creating mistrust towards DRWS.

The Office of Prime Minister has increased the minimum requirements of Rural Water Extension Officers and their salaries, which may improve the situation in extension

services. On the other hand most of the critical posts were advertised in July – August, but in HO only four of the training vacancies have been filled so far. The training officer vacancy is still open, currently filled by an acting person. Some persons have left the DRWS during the reporting period. These incidents indicate, that the situation should be followed up and possible mitigation actions taken.

The risks identified in the Project Document are still valid. Additional risks found during the mid-term review are listed below:

1. The decentralisation, which will strengthen the role of the Regional Councils, may increase the risk of political interference hampering justified priority setting of the DRWS regional offices
2. Lack of qualified staff and other resources may postpone implementation of CBM through slow progress of rehabilitation, awareness raising, training and handing-over of responsibilities to communities
3. Disciplinary actions in DRWS, at HO and/or RO levels, are either used for discrimination or genuine ones interpreted as such.
4. Lack of positive incentives and too stringent formal qualification rules may frustrate the staff of DRWS.
5. The Namibian Water Resources Management Review will work in isolation without real collaboration with all the actors in the sector creating a strong resistance to change. This will jeopardise its implementation through frustration and motherhood problems.





## **5 Compatibility and Sustainability**

### **5.1 Compatibility with the strategic goals of Finnish development co-operation**

The strategic goals of the Finnish Government in any development programme include: 1) poverty reduction, 2) protection of the environment, and 3) the promotion of human rights, equality and democracy. All aspects of the policies and strategies of Namibia's rural water sector conform to these Finnish development programme goals. Because the Community Water Supply Management Support Programme (CWSMSP) supports the implementing agency of Water Supply and Sanitation Sector Policy (WASP) and Community Based Management of Rural Water Supply (CBM) (i.e., Directorate of Rural Water Supply (DRWS)) the CWSMSP is inherently compatible with the Finnish goals.

The goals of poverty reduction and promotion of basic human rights are espoused in the overall water supply sector objectives as outlined in the WASP policy:

"Provision of improved water supply should:

- i) Contribute towards improved public health
- ii) **Reduce the burden of collecting water**
- iii) Promote community based social development
- iv) **Support basic needs for subsistence  
Promote economic development"**

In combination, all of these can contribute to poverty reduction in Namibia's rural areas. With more people having better access to sources of potable water, improved health will result in fewer days lost to illness and reduced medical expenses. By reducing the burden of collecting water, women especially should have more free time to pursue possible income generating activities. The improved availability of water allows for the pursuit of household or community activities that can generate income.

The WASP policy notes the interrelationship between water resources used for development and valued as an economic good, and the impact on the environment. Any utilisation of a natural resource must be balanced with the potential effect on the environment, and the development needs of the present generation must be viewed along with the needs for the future. The WASP policy emphasises that the sensitivity of the nation's "natural ecosystem to any changes in water balance should always be appreciated", and "possible pollution of water should be guarded against". The policy further recommends that a "pre-emptive management approach to protect the

environment should be part of all planning and decision-making processes". Anyhow, although the policy says this, nothing has been done so far.

The increased provision of improved water sources, as a basic human right, is the simplest example of how Namibia's rural water sector matches the third Finnish development goal. The goals of equality and democracy are found in the strategies to implement the WASP policy through CBM, especially the recognition that decisions and management of rural water supply should be at the lowest level possible, that "the participation of all individuals, families, communities, groups, and organisations is essential", and that these should be full partnership between government and the communities. Furthermore, the communities will eventually be expected to undertake "full responsibility for, and eventually, full ownership of their own rural water supply service", and the "communities will manage and control their own individual water points and accept the related responsibilities".

To achieve both of these Water Supply and Sanitation Co-ordination Committee (WASCO) principles, the capacity of the communities will be built over the next ten years through the Directorate's CBM implementation efforts. By being fully integrated into the CBM implementation effort, the CWSMSP will provide support for the development and upgrading of systems and procedures to implement CBM, along with support to enhance DRWS' management capacity.

## **5.2 Policy environment**

The Namibian Water Resources Management Review is currently preparing a plan to accelerate regionalisation of Rural Water Supply and to substitute a project management based approach through a task force or 'Project Team' with a tightly specified task of completing implementation of the community based management elements of WASP and providing technical support to regional councils.

Furthermore, the decentralisation policy for the Republic of Namibia specifies that rural water development and management is a function to be decentralised to Regional Councils and local authorities.

Furthermore, it is thought that the following specific key-functions could move to the Regions: Regional Planning; Scheme Planning; Management of Operation and Maintenance; Construction; Design; Contract Administration; Rural Water Supply Budgeting and Financial Control.

All these elements stresses the importance which will be given to the Regions in the future and the need to reinforce their capacity to plan, manage and implement rural water supply. It should be noted that the Mid Term Review Team visited three Regional Councils who expressed their need to build capacity, as well as to know exactly how to implement the proposed decentralisation policy. The Team wishes to recall the importance that the project should give to the Regions, which could be a key objective of

a Phase III. Many uncertainties remain though in how the Regional Councils will be working together with the Regional Offices for Rural Water Supply.

An operational policy that would be cross-sectoral to address the poverty issues is missing (no policy in rural development). While many of the programs, necessary for poverty reduction, are sector-specific, there is an evident need for sector specific initiatives to be underpinned by a common framework, shared by ministries and other stakeholders in an integrated manner. The Poverty Reduction Strategy (PRS) for Namibia (National Planning Commission, October 1998) outlines a long-term vision of Namibian economy, points out some specific actions to be taken and identifies short- and medium-term strategies which are a key to have an impact on poverty reduction. It also proposes some new policy directions and institutional arrangements that can help in co-ordinating and implementing the strategy. The strategy focuses in three areas:

- (a) how to foster more equitable and efficient delivery of public services (in the context of regional decentralisation) for poverty reduction countrywide;
- (b) how to accelerate equitable agricultural expansion, including consideration of food security and other crop development options; and
- (c) options for economic empowerment, including an emphasis on the informal sector and self-employment options.

The strategy was prepared and a Task Force established to take the process further but it has not become operationalised. All possible linkages with the PRS should be investigated.

### **5.3 Economic and financial feasibility**

The conclusions presented in the report "Compatibility and Sustainability" February 1998, Report 3/Documents of the CWSMP discussed the economic and financial viability. The MTRT agrees with the findings.

The cuts in the Namibian budget allocation to the DRWS are seriously hampering the implementation of the CBM. Especially the necessary awareness raising and training of the communities in connection of the handing-over process is suffering of rigid limitations as working with the people requires time and repeated visits of adequate length. This may jeopardise the sustainability through preventing creation of the necessary ownership of the water points/sources amongst the users, as individuals and groups. As the willingness-to-pay is a more important issue than the actual capacity-to-pay in the observed areas, lack of resources for a strong community mobilisation work will cause delays in the handing-over process. This in turn will lead to non-achievement of the by the Government of Namibia set decentralisation, CBM and cost recovery targets. The DRWS has written an official letter to the Cabinet where the worry is strongly expressed. It remains to be seen what kind of reaction this action will have.

## **5.4 Institutional capacity**

The decentralisation policy is likely to bring about many changes, among which a change of role at National level, an increased responsibility at Regional level, a greater involvement of the private sector and NGOs, and the management of services by communities. None of the above mentioned institutions are completely ready yet to assume their new tasks and responsibilities. One of the reasons being that the full scope of tasks and responsibilities is not yet completely defined for all stakeholders. Furthermore, despite the very good work done by the project, there is still an enormous need for capacity building at all levels.

## **5.5 Socio-cultural aspects**

In Phase II, the Programme has continued with the socio-cultural interventions as identified in Phase I.

Within the Directorate work, to carry out the training needs identified in the TNA and the Climate Study of Agrifutura, is ongoing. A study was carried out in year 1 on gender and marginalised groups within the Directorate.

At the workshop held at the end of year 1, a need was identified for a complete Organisational Development Audit. This was reported to have been carried out by the programme early in year 2 (not verified), and it was also reported to have started to guide the implementation strategy of the Programme for the remainder of Phase II. The socio-cultural aspects within the communities are considered through the CBM implementation guidelines and the study on possible marginalisation in communal land was carried out. The draft report suggests further data collection to be incorporated in the RUWIS/MIS systems. In general a strategy which is a National strategy does not take into consideration the socio-cultural aspects, which vary greatly in the different parts of Namibia. It has been the case in CBM as well. It assumes that a blueprint will operate. However, now there is an apparent shift of focus to take into consideration the region specific factors (economy, capacity, technology etc.). The draft report still needs to be finalised by Gender Advisor and approved by DRWS (See ANNEX 8 for closer remarks).

## **5.6 Participation and ownership**

Throughout Phase II, each of the Programme components has worked very closely with the related sections in DRWS, that includes the Regional Management Teams, the Sub-Divisions at Head Office, and the Senior Management of Rural Water Supply North and South, and Rural Water Development.

A questionnaire was circulated, and a workshop held, at the end of the first year of Phase II, to address many issues, but particularly participation and ownership of the Programme by DRWS. Although several negative aspects were highlighted at the workshop, common

ground and a way forward was agreed. The resolution reached at the workshop to completely integrate the workplan of CWSMSP within the DRWS operational plan has proved the commitment on all sides to a fully integrated approach, ensuring maximum participation and ownership by all, and therefore sustainability of the Programme objectives.

Ownership of the CWSMSP is clearly with the Directorate. It is owned by the DRWS so much that to a certain extent the CWSMSP is "hiding" behind the DRWS and does not take an active role in promoting new ideas to solve difficult matters. The level of ownership at the regional level in ROs of the CWSMSP and particularly in the CBM implementation is limited. At the community it can be said that there is only little feeling of ownership of the CBM implementation. This became evident in discussions with the communities where the MTR team visited. The general attitude was that the idea has been brought from outside and not yet fully internalised. In this respect the CWSMSP has still failed to develop strategies that would enhance the feeling of ownership.

The ROs participate in the HQ/CWSMSP activities but do not have a role in decision-making or strategy and approach development. As the CWSMSP is integrated in the HQ of DRWS, the ROs do not differentiate these two. The ROs informed the team that there is rarely any meaningful participation. Orders come from above and the ROs are to implement it. Resistance by the ROs against the CBM implementation was largely due to them not being involved in the programme development.

The ownership amongst the communities is still questionable due to the limited exposure to the Programme. On the other hand, as the Programme is inside the DRWS, the end beneficiaries should feel ownership of the water points, and their operation, not necessarily of the Programme.

## **5.7 Gender**

Being integrated into the DRWS activities, the Phase II of CWSMSP has not been encouraged to address any gender-related issues. Accordingly, the project has not taken a proactive role to promote gender issues despite of that (a) it is required in the national policies and strategies (national gender policy and gender action plan), and (b) the project recognises its importance in the document "Compatibility and sustainability" (Report Number 3/February 1998). In the Chapter 7 "Gender as a factor in ensuring the sustainability of community managed rural water supply" the DRWS recognises the importance of gender, gender awareness and gender analysis within the rural water sector.

Official policies, strategies and recommendations in the water sector do recognise the importance of gender. The WASP emphasises the promotion of community based social development taking especially into account the role of women. The CBM Strategy states that it will be ensured that women are included as full partners in the planning, development, management and decision-making of rural water supply. In addition, the national gender policy has been translated into the gender action plan that requires certain

actions to be taken by the line ministries and other actors to promote the strategic and practical needs of both women and men. However, there is a wide gap between the above policy and strategy statements and reality.

According to the Phase II document a short-term gender advisor was to provide services to develop the gender strategies for the project. However, the work of the consultant was changed to mitigating marginalisation in water supply in communal areas. The marginalisation problematic touch the role of women in the water sector but due to the changed emphasis does not emphasise the gender concerns within the sector and/or in the community based development in general. Shift in the emphasis also resulted in a situation where no practical tools were developed to address the gender issues.

Change of the emphasis of the consultancy was a sign of lack of interest on the side of the Directorate to any consideration of gender-related analyses. This has resulted in a situation where there is very little knowledge about the different roles of women and men in the rural water sector, and very little interest in taking the time to examine the impact of the WASP policy and CBM initiative on these traditional roles. There is also little interest in discovering ways to improve the decision-making role of women in the rural water sector or, at least ensuring that any present role is not undermined. There is little experience with involving the users in decisions related to water sector, and accordingly, very few attempts at encouraging women to have voice in the rural water supply decisions and plans that effect their own lives.

The situation is also directly reflected in the results of the project. The RUWIS information is not gender desegregated thereby it is not providing tools for monitoring either the gender aspects of the project or the CBM implementation in general. In the operational and strategic planning gender concerns are not addressed and gender analysis is not used as a practical tool for strategic planning. In the T1-T4 training for RWEOS gender issues are included, however, the use of gender analysis as a practical tool for participatory development is not included.

The possible misunderstanding of the purpose of gender analysis and its importance as part of participatory development at the HO has lead to a limited or non-existent interest in improving the implementation strategies. One reason for not internalising the importance of addressing the gender aspects might be the fact that the community-based development as a concept is very new in Namibia. Theory, practise and tools of participatory development are not yet fully understood. On the other hand, the DRWS management explained to the team that they are aware of the importance of gender but do not have the knowledge and/or tools how to improve the situation. There is an urgent need to solve the possible misunderstandings with the DRWS management and start improving the situation.

## **5.8 Environment**

Namibia is an arid country, and its groundwater resources are reported to be over drawn. The communities should be aware of proper water management practices. The main

problem arises between an appropriate balance between water consumption for cattle, grazing, agriculture and human consumption, and existing legislation / policies, which are not yet explicit in that matter. It is hoped that the Namibia Water Resources Management Review will address this urgent question.

Besides the major challenge that Namibia is facing in terms of water quantity, it also has to address the issue of water quality. The communities should be involved in water quality preservation and conservation awareness raising activities, when being sensitised by extension workers. This is not done sufficiently or at all now. Improper environmental sanitation can be harmful to the environment and to human health. More attention should be given to these aspects when approaching the communities.

## 5.9 Appropriate technology

In Namibia, the percentages of water points per technology are as follows:

Pipeline water points .....	27.5%
Handpumps .....	14.5%
Windpumps .....	17.8%
Diesel engine driven pumps .....	32.1%
Diesel engine driven pumps & windpump ...	6.2%
Solar pumps .....	1.6%

Given the present policy, one is able to conclude that one of the major attributes of an appropriate technology is to be manageable by communities. Pipeline water points, standposts, can be managed by a community, at the condition that another stakeholder manages the pipeline, the treatment unit and the water source. Solar pumps, windpumps and handpumps are manageable by communities or local artisans in theory. However, today, the technical capacity of communities or at community level is very low. It is a fact that today, diesel engines are not manageable by communities.

Considering what is said above, one could conclude that, in theory, 61.4% of the technologies presently in use in the rural areas of Namibia are appropriate technologies, where as 38.6% are not appropriate for community level maintenance, unless communities can rely on skilful craftsmanship in their area. In reality, today, most technologies in use are not technically manageable by communities. There is still a large effort to make to build capacities of area mechanics and caretakers. Another option would be to explore possible alternative technologies which communities would be able to manage more conveniently.

In order to partly face the problem of communities being able to manage their water supply technology, DRWS has drafted the Terms of Reference of a Consultancy to determine the most feasible infrastructure of technical support services, for communities in the rural communal areas to operate, maintain and repair water supply equipment, in line with the implementation of community based management.

The Mid Term Review Team has reviewed these T.O.R and has the following comments. *In general, the background and annexes are relevant and complete.* Concerning the assignment of the scope of the study, the team feels that there is not enough attention paid on cost elements (especially costs of fuel, spare parts, replacement) and their link to what communities are paying now or will be paying in a full cost recovery phase. Furthermore, there is not enough emphasis made on the likely institutional changes on the maintenance system to be put in place. Both costs and management options are key for the sustainable maintenance system to be put in place. Finally, the consultancy could also try to determine some technological alternatives, which could better respond to the needs and maintenance capacities of communities. Some of these technologies could already be in use in neighbouring countries such as Botswana and South Africa.

Concerning the proposed approach for the study, the team suggests to add a discussions and meetings to be held with various manufacturers and distributors on spare parts availability and accessibility, as well as spare parts inter-changeability. The various scenarios should be presented in a Workshop, where relevant stakeholders could give their input, before a final one is chosen.



# *Annexes*

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*Annex 1*  
*Terms of Reference of the*  
*Mid-Term Review Mission*



## **TERMS OF REFERENCE**

### **FOR REVIEW OF PHASE II OF COMMUNITY WATER SUPPLY MANAGEMENT SUPPORT PROGRAMME IN NAMIBIA**

#### **Subject of the review**

The cabinet of Namibia formed an inter-ministerial committee called the WASP Committee (for Water Supply And Sanitation Sector Policy) in 1990 to investigate the matter and "to recommend for further consideration by Cabinet a water supply and sanitation policy and the allocation of functions to be fulfilled by respective Ministries". In September 1993 the Water and Sanitation Policy was approved by cabinet, and the following overall long-term sector policy was adopted:

- (i) **essential water supply and sanitation services should become available to all Namibians and should be accessible at a cost which is affordable to the country as a whole;**
- (ii) **this equitable improvement of services should be achieved by the combined efforts of the government and the beneficiaries, based on community involvement, community participation and the acceptance of mutual responsibility.**
- (iii) **communities should have the right, with due regards to environmental needs and the resources available, to determine which solutions and service levels are acceptable to them, and beneficiaries should contribute towards the cost of services at increasing rates for standards of living exceeding the levels required for providing basic needs; and**
- (iv) **an environmentally sustainable development and utilisation of water resources of the country should be pursued in addressing the various needs.**

Namibia is the driest country in sub-Saharan Africa. Rainfall is highly variable and the occurrence of episodic events, for example an unusually high rainfall or a severe drought, can influence the environment for decades thereafter. Namibia's general climatic, geological and topographical features make water one of the most scarce resources.

Rural water supply is mostly dependent on groundwater as the only source of water and apart from the north-eastern parts of the country, indications are that the groundwater potential is frequently fully committed and even over-utilised in some cases. Water quality in terms of dissolved salts is also a frequent problem. There are about 6,000 rural water points under the jurisdiction of the Department of Water Affairs. In 1990, it was estimated that only 50% of the estimated rural population had proper access to a reliable source of safe water.

The Directorate of Rural Water Supply (DRWS) under the Department of Water Affairs, has requested technical assistance from the Ministry for Foreign Affairs of Finland (the Ministry) to facilitate the implementation of WASP. The Community Water Supply Management Support Programme (CWSMSP) was designed to assist DRWS to develop institutional capacity and efficient management systems in order to implement WASP and Community-Based Management (CBM). It aims to build up within DRWS (including its Head Office and Regional Offices)

support capacity which is efficient and responsive, and facilitates the timely implementation of rural water supply along the principles of WASP. CWSMSP is divided into two phases:

- (i) Phase I, a planning phase, from April 1997 through March 1998; and
- (ii) Phase II, an implementation phase, covering a three-year period from April 1998 to March 2001.

Phase I has produced a Project Document for Phase II. The purpose of the project and key results are:

The CWSMSP purpose is to strengthen the management capacity of the DRWS' Head Office and Regional Offices in particular. The indicators measuring the achievements of the purpose are the following:

- Indicator (a):** MBR&O management system taken into use in the HO and in all ROs
- Indicator (b):** Customer satisfaction (HO, ROs, WP user groups and other selected stakeholders) with the management of the DRWS and with implementing CBM
- Indicator (c):** Number of Water Points handed over (lease-hold agreements) vs. number of existing Water Points
- Indicator (d):** Functional WPCs vs. established WPCs
- Indicator (e):** Number of well functioning Water Points vs. number of Water Points

The measurement of indicator a) will be determined by assessing at what level the Head Office and Regional Office management teams are organising and controlling their work in terms of MBR&O. The result of the assessment will be expressed as a percentage of management teams using it vs. the total possible number of management teams. Use of MBR&O implies that (i) the team has planned their work based on operational objectives; and (ii) the team leader is assessing performance results of his/her team members based on the targets (or goals) included in the objective.

The measurement of indicator b) will be determined at two levels. The first level determination is done internally amongst the DRWS staff using the Methodology of comprehensive questionnaires. The second level determination is done in selected communities or stakeholders using local consultant. The methodology of this study needs to be defined during the planning period.

The measurement of the indicators c), d) and e) will be determined from the MIS system.

The CWSMSP, will, during the period of Phase II, deliver the following key results:

- A) *A comprehensive Management Information System (MIS) developed and implemented, including the establishment of the Rural Water Information System (RUWIS) database*
- B) *The management capacity of DRWS strengthened so that it can introduce more effective planning processes*
- C) *The management capacity of DRWS strengthened so that it can prepare communities to manage their water supplies*
- D) *Delivery of training secured, staff development and HR management services to all levels of the organisation through the HRD&T sub-division*
- E) *Improved DRWS capacity to secure adequate financial resources to support its activities, and to manage these resources*

## **Background of the review**

The review is part of the project cycle of DIDC as well as a monitoring element as agreed in the project document.

The results of the review will be discussed among the stakeholders and recommendations will be used reorientation and monitoring the project as agreed by the steering committee. The purpose of the review is to :

- (i) to review the results/achievements of Phase II;
- (ii) to recommend measures to be taken to finalise the Phase II and first and foremost:
  - 1) Review the time frame for overall external interventions needed to achieve the objectives/purpose of the implementation of WASP
  - 2) assess the logical consistency of the project
  - 3) assess the involved risks of not achieve the proposed results
  - 4) assess the contributions/shares from the financing parties; and
- (iii) to prepare a Review Report.

### **Scope of Work**

In order to achieve its objectives, the Mission shall cover but not necessary limit itself to the following tasks:

- (i) review the Project Document for Phase II and the relevant documentation of the Project, meet the relevant stakeholders, carry out field inspections, and review the achievements and possible impacts of the Project objectives and results compared with those set out for phase II;
- (ii) draw conclusions and experience from the first part of Phase II for the implementation of the remainig part of Phase II;
- (iii) review the Project Document for Phase II, and assess the appropriateness and possibilities of the proposed objectives, strategy, approaches and activities to be achieved;
- (iv) assess the Namibian resources and capacity to implement the Project;
- (v) identify and assess the risks associated with the implementation of the remaining part of the Project; and
- (vi) identify the need and interest to continue the Project after Phase II and make recommendations.

### **Specific Subjects to be Addressed**

When identifying possible continuation after Phase II of the Project, the Mission shall, in particular, address the following subjects:

- (i) the consistency of the proposed intervention with the Namibian policies, strategies and available resources, as well as with the substantive goals of Finnish development co-operation;
- (ii) the appropriateness of the proposed objectives and verifiable indicators;
- (iii) the realism of objectives and strategies for transferring the responsibilities to the communities, addressing the institutional capacity of the communities to maintain the facilities;
- (iv) the ability and willingness of the users to assume the full financial responsibility;
- (v) the role of DRWS and the involvement of other authorities and institutions in the sector development; and
- (vi) the need for TA and its role.

### **The Consultant**

The Ministry for Foreign Affairs of Finland is proposing the following team to undertake the tasks of the review Mission:

- (i) Mr. Heikki Wihuri, IRC, Team Leader; MIS and planning
- (ii) Ms. Pirkko Poutiainen, Consultant, Socio-Economic, Extension and Gender Specialist,
- (iii) Mr. François Brikkè, IRC, Institutional and HRD Specialist, and
- (iv) Mr Eero Kontula, DIDC, Resource person .

The Government of Namibia is invited to assign Namibian specialists to the Mission.

### **Timetable and Reporting**

The field mission of two weeks is preliminarily scheduled to be carried out between September 10 and October 17, 1999. The Mission shall debrief DRWS, and submit its draft report to them and to the Embassy of Finland in Windhoek by the end of the field mission. The Appraisal Report shall be submitted to the Ministry two weeks after the field mission.

Kari Alanko  
Director  
Unit for Sub-Saharan Africa



## *Annex 2*

# *Programme of the Mission*





**ITINERARY**

**MID TERM REVIEW**

Community Water Supply Management Support Programme

Prepared on 4.10.1999

Please, note that this programme tentative and participation of the activities is dependent on the decisions of the MTR Team. Detailed programme during the mission will be drawn later on. It is also understood that discussions between the MTR Team and DRWS and CWSMSP staff will be arranged at request.

The meeting room 346 at the Government Office Park, Luther Street has been reserved for the exclusive use of the MTR Team. There are also some reports that may be of interest to the Team members.

**Sat – Sun, 2<sup>nd</sup> – 3<sup>rd</sup> Oct**

Arrival of expatriate team members, 2<sup>nd</sup> October  
Accommodation in Thuringer Hof Hotel.

**Mon, 4<sup>th</sup> Oct**

*8.00 o'clock*

MTR Team meeting, Place 346.

*10.00 o'clock, Embassy of Finland*

Ambassador, Mr. Kari Karanko

Counsellor, Ms. Sinikka Antila

Water Supply and Sanitation Advisor DIDC, Mr. Eero Kontula

MTR Team

Team Leader, Mr. Esko Toivonen

*12.00 – 13.30 Lunch*

Invitations sent by the Embassy of Finland.

*14.00 o'clock, Government Office Park Room 385*

Director DRWS, Mr. Pita Nghipandulwa

Deputy Director DRWS, Rural Water Development, Mr. Harald Koch

Deputy Director DRWS, Rural Water Supply North, Mr. Jürgen Eysselein

Deputy Director DRWS, Rural Water Supply South, Mr. Luther Rukira

Water Supply and Sanitation Advisor DIDC, Mr. Eero Kontula

MTR Team

Head Office Coordinator, Ms. Anu Saxen



*..1.*

*16.00 o'clock, Government Office Park Room 385*  
Deputy Permanent Secretary MAWRD, Mr. Kahuure  
Director DRWS, Mr. Pita Nghipandulwa  
Counsellor, Ms. Sinikka Antila  
Water Supply and Sanitation Advisor DIDC, Mr. Eero Kontula  
MTR Team  
Head Office Coordinator, Ms. Anu Saxen

**Tue, 5<sup>th</sup> Oct**

*8.00 – 17.00 o'clock, Safari Court Hotel*  
Management Development Training. DRWS staff participates in the course as planned and part of MTR Team members as observers. Other team members of MTR Team will have meetings with various stakeholders at the DRWS building. The agenda of the management training is attached.

*14.00 – 17.00 o'clock, DRWS building*  
Meetings between MTR Team and various stakeholders continue. Reviewing documents.

**Wed, 6<sup>th</sup> Oct**

*8.00 – 13.00 o'clock, Safari Court Hotel*  
Management Development Training. DRWS staff participates in the course as planned and other MTR Team members or part of them as observers. The agenda of the training is attached.

*10.00 o'clock, Namibia Water Resources Management Review, Maerua Park 3rd Floor*  
MTR Team; Mr. Wihuri, Ms. Poutiainen, Mr. Brikke, Mr. Saayman and Mr. K. Tjijenda

Afternoon: Ms. Poutiainen, Mr. K. Tjijenda, Ms. Lisa Reilly and Mr. P. Totwe departure by car to Kunene Khorixas.

**Thu, 7<sup>th</sup> Oct**

*8.00 o'clock, departure to Khorixas from Eros Airport*

*9.00 o'clock, arrival to Khorixas*

MTR Team (except Ms. Poutiainen and Mr. K. Tjijenda)  
Water Supply and Sanitation Advisor DIDC, Mr. Eero Kontula  
Deputy Director DRWS, Rural Water Supply North, Mr. Jürgen Eysselein  
Team Leader CWSMSP, Mr. Esko Toivonen



Introduction of legal aspects to regional extension staff and communities. Ms. Poutiainen, Mr. Tjijenda, Ms. Terry and Mr. P. Totwe with Rural Water Extension Officers to the field to introduce Water Point Association Constitution to a water point association in Kunene South (Khorixas).

Meeting with Regional Office Management Team (ROMT), other regional staff, presentation on the RUWIS/MIS systems, possibly field visits to water points if required by MTR Team.

*16.30 Departure to Oshakati, flying time about 1 hour*

MTR Team

Deputy Director DRWS, Rural Water Supply North, Mr. Jürgen Eysselein

Team Leader CWSMSP, Mr. Esko Toivonen

Accommodation at Country Lodge Hotel

**Fri, 8<sup>th</sup> Oct**

*8.00 - P2-Training*

Meeting with ROMT Oshikoto/Ohangwena Regional Office,

P2 Training in Oshakati for Omusati/Oshana regions. Field visits to water points and WPCs, LWC.

**Sat, 9<sup>th</sup> Oct**

*8.00 – 13.00 Filed visit*

Field visit to Oshakati - Omakango pipeline and meetings with WPCs.

*15.00 Departure to Windhoek, flying time 2 hours*

MTR Team

Deputy Director DRWS, Rural Water Supply North, Mr. Jürgen Eysselein

Team Leader CWSMSP, Mr. Esko Toivonen

**Sun, 10<sup>th</sup> Oct**

Nothing scheduled

**Mon, 11<sup>th</sup> Oct**

Morning departure to Karas via Hardap by airplane

Group 1: Ms. Poutiainen, Mr. Brikke, Mr. Tjijenda, will stay in Hardap.

Group 2: Mr. Wihuri, Mr. Saayman, Mr. Karuombe and Mr. Esterhuyse will continue to Karas.

Discussions with ROMT, and extension service.

Visits to see coaching of regional training teams on the WPC Skills Training



**Tue, 12<sup>th</sup> Oct**

Discussions with ROMT, and other regional staff.  
Visits to see coaching of regional training teams on the WPC Skills Training

*16.00, Departure from Karas via Hardap to Windhoek*

**Wed, 13<sup>th</sup> Oct**

Report writing, internal meetings of MTR Team.

**Thu 14<sup>th</sup> Oct**

Report writing and Review Team internal meetings.

*15.00 o'clock, Government Office Park Room 385*

Debriefing of the preliminary findings.

**Fri, 15<sup>th</sup> Oct**

Report writing, internal meetings of MTR Team.

*Annex 3*  
*Persons met and interviewed*





### **Persons met and interviewed during the mission**

H.E. Kari Karanko, Ambassador, Embassy of Finland  
Ms. Sinikka Antila, Councilor, Embassy of Finland  
Ms. Sirpa Zambetakis, Attaché, Embassy of Finland  
H.E. Hon. Helmut K. Angula, Minister, MAWRD  
Mr. Kahuure, Deputy Permanent Secretary, MAWRD  
Mr. Pita Nghipandulwa, Director DRWS  
Mr. John Akawa, Engineer DRWS  
Mr. Awasman, Controller of RWEOS, Karas Region  
Mr. Frans Binneman, Sub: Head of Plant & Equipment, DRWS  
Mr. Coen Esterhuyse, Regional Head, RWS South, Ministry of Agriculture, WRD  
Mr. Jurgen Eysselein, Deputy Director RWS North, DRWS  
Mr. Samuel H. Goagoseb, Technical Team Leader, NWRMR  
Mr. Stephanus Goliath, Governor, Karas Region Regional Council  
Mr. Karl Göppert, CTA, Team Leader, Ministry of Agriculture, WRD  
Mr. Helge K Habenicht, Chief Executive Officer, NAMWATER  
Ms. Cecilia Hinda, Control Scientist: Quality Assurance, Scientific Services,  
Windhoek City  
Mr. Ester Hoveka, Programme Officer, UNDP  
Mr. Ithete, Director of Community Development, Ministry of Regional Local  
Government and Housing  
Mr. Willy Iyambo, RH – Omusati - Oshana  
Mr. Oddvar Jakobsen, Deputy Resident Representative, UNDP  
Mr. Ronn Kaheka, RH - Okavango  
Mr. Ernst Karabo, RH – Kunene South  
Mr. Albert Kromne, Councilor, Karas Region Regional Council  
Mr. Gerhardt S. Karuombe, RH – Kunene North  
Mr. Harold Koch, DD- Rural Water Development  
Mr. Fassy Marenga, RH - Omaheke  
Ms. Martha Mbombo, Human Resources Development Consultatn, NWRMR  
Mr. Kamati I Mutiliha, Deputy Director, Small Scale and Informal Industries,  
Ministry of Trade and Industry  
Mr. Abraham Nehemia, Chief Controller of RWEOS, DRW  
Mr. John Nendongo, RH – Oshikoto - Ohangwena  
Mr. Fillemon N. Ngairo, HRD Training Officer  
Dr. Ndahafa Nghifindaka, Director (International Affairs), Department of  
Women's Affairs, Office of the President  
Ms. Lydia Nisbet, Namibian Red Cross Society  
Mr. Henry O'Connor, Chief Artisan Foreman, RO/Karas  
Mr. Rudi Du Plessis, RH - Caprivi  
Mr. Luther Rukira, Deputy Director, Rural Water Supply South, Ministry of  
Agriculture, WRD  
Mr. Sluysken Samupofu, Chief Control Engineering Technician  
Mr. I. Lemmy Shapopi, HRMS

Mr. Karukirue Tjienda, Chief Development Planner, Ministry of Agriculture,  
WRD

Mr. Godfried Tjiramba, Acting Head: HRD& T

Ms. Miriam Truebody, Consultant, Lund Consulting Engineers

Mr. Marc Van Uytvanck, Regional Advisor, CWSMSP

Mr. Hans W. van der Veen, First Secretary, RNE

**Soil and Water Ltd.**

Mr. Esko Toivonen, Team Leader, CWSMSP

Mr. Elis Karsten, Planning Adviser, CWSMSP

Ms. Anu Saxen, home co-ordinator, CWSMSP

Mr. Pertti Murtovaara, Regional Advisor, CWSMSP

Ms. Mariana Niehiaus, CWSMSP

Mr. Packy Pakarae, HRD&T (CBM), CWSMSP

Mrs. Lisa Reilly, Senior Regional Advisor, CWSMSP

Mr. Hannu Shipena, Regional Advisor, SWSMSP

Dr. Elizabeth Terry, CBM Development Advisor, CWSMSP

Mr. Perfectius Totwe, Regional Advisor, CWSMSP

*Annex 4*  
*List of Documents Consulted*



## List of Documents Consulted:

### Categories applied

CBM (Community Based Management)	Progress
Finance (Financial Management)	Planning
HR Management	Workplans
Legal	Documents
MIS (Management Information System)	Marginalized Groups

Category / Report Name	No.	Date
<b>CBM</b>		
Progress Towards WASP/CBM Implementation: Regional Baseline Assessment	1	September 1997
Progress towards WASP/CBM Implementation, Regional Baseline assessment, 10 Regional Reports	1-10	September 1997
Review of the Extension Service Report	2	December, 1998
How the Law impacts on the CBM process	1	December, 1998
Proposed inter-relationship, powers and functions of various institutions required to implement Phase II of the CWSMSP.	1	July, 1998
Making sense of the Decentralisation Policy and Guidelines	2	July, 1998
Guidelines for Writing The Water Point Association (WPA) Constitution.	1	July, 1998
Draft Rural Water Supply Management Bill, 1999	1	March, 1999
<b>Finance</b>		
Quarterly Financial Report, April-May 1997	1	July 1997
Quarterly Financial Report, July-September 1997	2	November 1997
Quarterly Financial Report, October-December 1997	3	January 1998
<b>HR Management</b>		
Training Needs Analysis & HR Development Plan Outline	1	October 1997
Key Results and Indicators	2	Nov 19, 1997
Summary Report on Organisational Development Study	3	Jan 30, 1998
Summary and Recommendations of Climate Study	1	September, 1998
Review of Administration Section	2	September, 1998
<b>Legal</b>		
Draft Legal Report	1	October 1997
Final Legal Report	2	31.3.98

<b>MIS</b>		
Needs Assessment of the Management Information System	1	July 1997
Interim Report of the Management Information System	2	July 1997
Situation Assessment & Phase II Proposal for the Management Information System	3	September 1997
<b>Progress</b>		
Monthly Progress Report, April 97	1	May 6, 1997
Monthly Progress Report, May 97	2	June 1, 1997
Monthly Progress Report, June 97	3	July 1, 1997
Monthly Progress Report, July 97	4	August 1, 1997
Monthly Progress Report, August 97	5	September 1, 1997
Monthly Progress Report, September 97	6	October 1, 1997
Monthly Progress Report, October 97	7	October 31, 1997
Monthly Progress Report, November 97	8	November 28, 1997
Progress Report, April – October 1997	9	November 12, 1997
Monthly Progress Report, December 97	10	January 14, 1998
Monthly Progress Report, January 98	11	February 9, 1998
Progress Report November 97-February 98	12	February 19, 1998
Monthly Progress Report, February 98	13	February 26, 1998
Monthly progress Report March 98	14	April 1, 1998
Phase I Completion Report	15	April 30, 1998
Monthly Progress Report, April 98	1	May 3, 1998
Monthly Progress Report, May 98	2	June 1, 1998
Monthly Progress Report, June 98	3	July 1, 1998
Monthly Progress Report, July 98	4	August 2, 1998
Monthly Progress Report, August 98	5	September 1, 1998
Monthly Progress Report, September 98	6	October 1, 1998
Monthly Progress Report, October 98	7	November 1, 1998
Monthly Progress Report, November 98	8	December 1, 1998
Monthly Progress Report, December 98	9	January 20, 1999
Monthly Progress Report, January 99 – February 99	10	March 1, 1999
Monthly progress Report March 99	11	April 9, 1999
Quarterly Progress Report, April – June, 1998	1	June 30, 1998
Quarterly Progress Report, July – September 1998	2	November 18, 1998
Quarterly Progress Report, October – December 1998	3	January 27, 1999
Draft I Annual Report, 98 – 99		March 18, 1999
Draft 2 Annual Report, 98 – 99		March 25, 1999
<b>Planning</b>		
Baseline Study on Rural Water Supply	1	October 1997
Regional Water Supply Development Plans; Outline & Planning Process	2	February 1998
TOR for Consultancy Services of the RRWSDP	3	February 1998
Instructions to Tenderers for Consultancy Services of the RRWSDP	4	February 1998
TOR for Regional Water Supply Development Plans; Outline & Planning Process	1	February, 1999
Instructions to Tenderers for Consultancy Services of the RRWSDP	2	February, 1999

<b>Workplans</b>		
Inception report for Phase I	1	June 1997
Work Plan for Phase I B, November 97 – March 98	2	December 4, 1997
Work Plan 4/98-3/99, First draft version	3	April 6, 1998
Work Plan for Phase II, April 98 – March 99	1	July, 1998
<b>Documents</b>		
Appraisal Report	1	November 1997
Programme Document for Phase II	2	October 1997
Compatibility and Sustainability	3	February 1998
Background Studies	4	February 1998
Government and Sector Policies	5	February 1998
Problems to be addressed	6	February 1998
Final Draft Programme Document Phase II	7 (2)	26 Feb 1998
<b>Marginalized Groups</b>		
Gender Adviser Assignment Report	1	April 7, 1998
Marginalized Groups in DRWS	2	September, 1998
Draft Mitigating Marginalization in Water Supply in Communal Areas	3	January, 1999





*Annex 5*  
*Recommendations by key results (5/1 - 5)*



<b>Recommendations MIS/RUWI</b>	<b>Proposed activities</b>
<p>1 The team was informed that the MIS of the DRWS has not fully been taken into use in all the ROs. The team recommends that this should be done as soon as possible</p> <p><b>Time span</b> By end 2000</p> <p><b>Additional resources</b> No</p>	<p>1.1 Complete the introduction in the remaining ROs</p> <p>1.2 Implement the MIS fully in the remaining ROs</p> <p>1.3 Arrange follow-up in all ROs</p>
<p>2 The team observed and it was also reported to the team that the establishment of the basic database of the RUWIS takes currently too much of the working time in the Regions. Because of this the team recommends that the existing system is improved by simplifying it, improving the data quality, making it more user friendly and creating a safeguarding system. In Additionally, the back log should be caught up as soon as possible to get full benefit of the system</p> <p><b>Time span</b> By mid 2000</p> <p><b>Additional resources</b> Purpose recruited temporary clerks to all ROs</p>	<p>2.1 Study the user opinions for improvements and the factors behind these opinions.</p> <p>2.2 Create a working control and correction system of initial data</p> <p>2.3 Develop a back-up system to minimise the risk of losing data in case of computer failure</p> <p>2.4 Study possibilities to outsource some standard material feed-in or hire additional clerks to Regional Offices</p> <p>2.5 Train one computer support person to all regions</p>
<p>4 There are no links between computers inside ROs or between ROs and the HQ. This creates a hinder for efficient use of the RUWIS and increases danger of losing information. The team recommends a network of computers to be developed and the necessary hardware and software purchased and installed</p> <p><b>Time span</b> By end 2000</p> <p><b>Additional resources</b> No</p>	<p>3.1 Get a permission to have a network</p> <p>3.2 Select the network type and purchase the necessary hardware and software.</p> <p>3.3 Install the network and train the users</p>
<p>4 The computer and RUWIS-programme skills appear limited in the ROs. The team recommends that periodic, repeated training be arranged of appropriate standards for different level RO staff</p> <p><b>Time span</b> Until end Phase II</p> <p><b>Additional resources</b> One computer trainer recruited or a consultant hired</p>	<p>2.6 Develop a series of training packages on all the programmes used in the ROs</p> <p>2.7 Adjust the training packages to each task using computers in the ROs</p> <p>2.8 Implement training systematically</p> <p>2.9 Create a 24 h/d help line easily accessible to RO staff</p>
<p>5 There is no GIS connection/link in theRUWIS-programme. As the structure of is permits such information be added to the system, the MTRT recommends such programming.</p> <p><b>Time span</b> By end Phase II</p> <p><b>Additional resources</b> One high level computer specialist for three weeks</p>	<p>2.10 Analyse and programme the RUWIS-system to include necessary GIS links and information</p> <p>2.11 Train the staff in GIS</p> <p>2.12 Feed in to all information GIS data</p>

<b>Recommendations PLANNING</b>	<b>Proposed activities</b>
<p>1. Considering the need to empower Regional Offices in operational planning skills and in continuation of what is presently being done through the P1 and P2 training courses, the Team recommends to strengthen the operational planning strategy and to add planning tools in addition to the ones presently used.</p> <p><b>Time span :</b> Activity 1.1 : Last quarter of 1999 and 2000 Activity 1.2 : Start 2001</p> <p><b>Additional resources needed :</b> Acquire resource material on participatory planning and other planning tools which could be included in the training package at Regional Level</p>	<p>1.1 Review with the appropriate staff, the operational planning strategy by : a) by integrating the three dimensions MIS – Planning – Financial management in operational planning; b) by integrating when possible principles of participatory planning, especially when several actors are involved in the implementation; c) by integrating additional planning tools for problem solving, local planning, etc., among which can be included : Rapid Rural Appraisal; SWOL Analysis (Successes, Weaknesses, Opportunities, Limitations); Mind mapping; Scenario writing; Morphological box, Task chart, Utility value analysis, flow charts; priority ranking.</p> <p>1.2 Adapt present P1 and P2 training courses accordingly, while strengthening the coaching and follow-up aspects.</p>
<p>2. Given the fact that an overall strategic plan is already approved, but also that future developments might influence the plan, notably with the introduction of institutional adjustments induced by the NWRMR, the Team recommends to adapt and update the strategic plan, in a participatory process and then communicate it to all stakeholders.</p> <p><b>Time span :</b> Activity 2.1 : End of 1999, first quarter 2000. Activity 2.2 : March 2000 Activity 2.3 : Throughout the remaining of year 2000 Activity 2.4 : Throughout 2001, and an eventual Phase III</p>	<p>2.1 Review together with NWRMR, the institutional changes that are likely to take place and their implications on the present strategy.</p> <p>2.2 Organize a National Workshop involving main key actors in order to fine tune together the strategy</p> <p>2.3 Adapt the present strategy</p> <p>2.4 Disseminate and adapt strategy at regional level, through one day workshops.</p>

<p><b>Additional resources needed:</b> Need to budget for national / regional workshops</p>	
<p>3. Considering the fact that DRWS and the Finnish supported project organize their planning in two different ways (for DRWS : 1.CBM; 2.Coverage; 3.Directorate's future organization; 4. Key players; 5. Operational efficiency; 6. HRD; 7. Marginalised groups), the team recommends that there is more clarity made between the two types of planning, in order to show how the Finnish supported project actually contributes to the Namibian objectives.</p> <p><b>Time span :</b> Activity 3.1 : Last quarter 1999 Activity 3.2 : 2001</p> <p><b>Additional resources needed:</b> None</p>	<p>3.1 Develop a system within the financial reporting of the project that makes an explicit reference to the DRWS planning and indicators. The workplan for 1999-2000 is somehow already going in that direction, however it is not clear how project documents relate to this.</p> <p>3.2 For an eventual Phase III, it would be opportune to develop a logical framework which is more integrated within the DWRS planning</p>

<b>Recommendations: Result C - Management capacity of DRWS strengthened so that it can prepare communities to manage their water supplies (CBM)</b>	<b>Proposed activities</b>
<p>1. Considering that the conceptual framework for the CBM implementation is almost completed but that there are still unclarities as regards the concept itself, the team recommends that the conceptual framework is consolidated with the studies on CBM support systems (including financial strategy).</p> <p><b>Time span:</b>            Activity 1.1. Last quarter 1999            Activity 1.2. Last quarter 1999            Activity 1.3. Last quarter 1999 – First quarter 2000            Activity 1.4. First quarter 2000            Activity 1.5. First quarter 2000            Activity 1.6. Throughout 2000</p> <p><b>Additional resources needed:</b>            A team of three consultants specialized in the areas indicated in the CBM support package CBM support package development is estimated to take 4 months with full-time services of two Namibian consultants (4+4months) and one international consultant (1+1 months).</p>	<p>1.1. Review the existing TORs to reflect the need to develop the CBM support systems as an integrated and interlinked package.</p> <p>1.2. Recruit one team of consultants that will prepare the CBM support package in a holistic manner. Assign team members for the study by the HO and NWRMR. The team will also:</p> <ul style="list-style-type: none"> <li>➤ Review the target group and develop a financial strategy down to the community level. Adopt a phased approach for involvement of users in the CBM Phase II (and III) implementation starting from the most potential users who can afford to take full ownership of the WPs;</li> <li>➤ Review the timing and conditions of the CBM Phase II and Phase III based on process approach.</li> <li>➤ Review the existing credit facilities and their feasibility               <ul style="list-style-type: none"> <li>• Small Scale and Informal Industries/MoT&amp;I</li> <li>• Credit channeled through Post Office</li> </ul> </li> </ul> <p>1.3. Clarify present and future roles of NamWater in the rural water supply and the implications of their involvement with NamWater and NWRMR.</p> <p>1.4. Review the targets in light of the available financing from the GoN for both rehabilitation and the operations of the extension service (Cabinet decision).</p> <p>1.5. Design and carry out awareness raising campaign at the regional and community level on the CBM support package.</p> <p>1.6. Develop and operationalise a) community-based marginalisation (poverty) assessment (e.g. wealth ranking and mapping) and b) statistical assessment based on existing data to address marginalisation</p> <ul style="list-style-type: none"> <li>➤ Review the available interventions in terms of poverty (marginalisation) and vulnerability statistics and how to collaborate with them               <ul style="list-style-type: none"> <li>• Regional Development Plan preparation (UNDP supported)</li> <li>• National Food Security and Nutrition Action Plan</li> </ul> </li> <li>➤ Train the RWEOs in the application of community based marginalisation assessment</li> <li>➤ Identify the feasible parts of the data provided by RUWIS for marginalisation assessment</li> </ul>

<p>2. Considering the basic concept of CBM being community-based, the team recommends that the approach is shifted from quantitative result oriented to process oriented and from top down to bottom-up</p> <p><b>Time span:</b>  Activity 2.1. First quarter 2000  Activity 2.2. Last quarter 1999  Activity 2.3. Second quarter 2000  Activity 2.4. Second quarter 2000  Activity 2.5. Second quarter 2000  Activity 2.6. Second quarter 2000  Activity 2.7. Second quarter 2000. Support package, if feasible, during the CWSMSP Phase III document preparation.</p> <p><b>Additional resources needed:</b>  For the development of a CBM participatory approach, strategy and practical tools services of an expatriate short-term consultant are required for a period of 7 weeks. The same consultant will carry out the development of qualitative indicators for the logical framework and the use of the DRWS, development of a community based monitoring system and sensitising the HO and RO personnel in participatory development. Inputs of a short-term consultant are required in addition to recruitment of an extension specialist who will concentrate mainly on the support for ES. Services of the management advisor will be required for a period of 1 month.</p>	<ol style="list-style-type: none"> <li>2.1. Recruit a short-term management adviser specialised in modern participatory management to give support to the HO and Ros in management</li> <li>2.2. Review the existing examples of coordinated participatory approaches in the water sector <ul style="list-style-type: none"> <li>• Namibian Red Cross Society</li> </ul> </li> <li>2.3. Develop a coherent CBM participatory approach, strategy and practical tools to support the community level development processes</li> <li>2.4. Design qualitative indicators to the logical framework of the project and the use of the DRWS to monitor the quality of the interventions</li> <li>2.5. Develop a community based monitoring system</li> <li>2.6. Organise training in theory and practise of participatory development to the HO and ROs</li> <li>2.7. Review all possible linkages and ways to collaborate with the Poverty Reduction Strategy (NPC) implementation. During the CWSMSP Phase III project document preparation possible support to the implementation of the PRS will be assessed</li> </ol>
<p>3. Considering the differences in the economic situation of the users and the Different situations of the regions (economic situation, capacity, Technology) it is difficult to see how a national blueprint for CBM would Function. The team recommends that the focus of the support is shifted to the regions and to further strengthen the linkage between the communities and the region in line with the decentralization policy.</p> <p><b>Time span:</b>  Activity 3.1. Starting second quarter 2000 up to end of 2000  Activity 3.2. Last quarter 1999</p>	<ol style="list-style-type: none"> <li>3.1. Prepare holistic regional and HO CBM implementation plans which include all relevant activities at a level of detail including budgets</li> <li>3.2. Review the role and services of TA to support the decentralisation process, ROs and ES <ul style="list-style-type: none"> <li>➤ Review the role, job description and qualifications of RAs</li> <li>➤ Review the role, job description and qualifications of SRA</li> </ul> </li> <li>3.3. Develop and carry out sensitisation sessions on the present status of the CBM for the RCs to establish constant two-way dialogue in CBM implementation</li> </ol>

<p>Activity 3.3. Second and third quarter 2000 Activity 3.4. Third quarter 2000 (implementation during Phase III of CWSMSP)</p> <p><b>Additional resources needed:</b> Preparation of the RC support programme can be finalised during the CWSMSP Phase III project document preparation by the persons concerned. Tentative outline can be prepared based on the need based results of the sensitisation sessions.</p>	<p>3.4. Develop a need based support programme for RCs to take up their role in regional water sector planning and management</p>
<p>4. The required shift in the focus and approach of the program to support the decentralization process and to place increasing emphasis on the relationship which is most crucial for the actual implementation i.e. the relationship between the community and the region places the extension officers to the strategic position. The team recommends that intensified efforts are urgently made to strengthen the present extension service.</p> <p><b>Time span :</b> Activity 4.1. Last quarter 1999/First quarter 2000 Activity 4.2. Starting first quarter 2000 onwards Activity 4.3. Second quarter 2000 Activity 4.4. Second quarter 2000 onwards Activity 4.5. First quarter 2000</p> <p><b>Additional resources needed:</b> Because of the complexity of the support required to strengthen ES and due to time limitations of the existing DRWS personnel (incl. TA) there is a need to recruit a full-time expatriate TA as soon as possible. Strengthening of the ES should start immediately and a complete support package should be prepared for the CWSMP Phase III implementation. Expatriate TA is required to ensure both theoretical and practical experiences in participatory development.</p>	<p>4.1. Recruitment of a long-term TA expert specialized in extension and participatory development who will e.g. a) facilitate implementation of the recommendations of the extension sector review; b) develop a coherent extension programme (content, approach, material); c) develop a region by region application; d) coach supervisors on participatory planning of RWEOs short and longer term action plans; e) prepare a follow-up programme for trained WPCs based on the different field situations; f) design a community-based monitoring system.</p> <p>4.2. Implement urgently the recommendations of Extension Sector Review:</p> <p>4.2.1. Move the whole training programme towards a more client oriented approach-content method (e.g. exchange programmes between RWEOs, learning from field experiences, participatory development of extension materials</p> <p>4.2.2. Define the purpose, role and position of the ES with NWMR</p> <p>4.2.3. Define the placement of ES within DRWS</p> <p>4.2.4. Streamline and rationalise distribution of RWEOs into the regions and within the regions based on regional population figures and numbers of WPs.</p> <p>4.2.5. Ensure enabling operational working environment for RWEOs</p> <p>a) Make assessment of the km needed and adjust budget accordingly</p> <p>b) Make career development path in line with NMRMR recommendations</p> <p>c) Develop an incentive system (computer skills, advanced participatory methods etc.)</p> <p>4.3. Train the maintenance teams in basic skills in extension and participatory approach</p>



	<p>4.4. Organise short regional workshops with the RWEOs, supervisors and maintenance teams from the region on specific issues based on their identified needs, particularly introducing more practical tools (theory/practise) for working with communities and practical application of various extension methods (PRAs, community planning etc.) , problem-solving activities etc. to ensure that application is based on the social, cultural, economic and technical conditions in each region.</p> <p>4.5. Organise regional workshops to strengthen the relationship between the HO, RO and ES</p>
<p>5. Considering the need to improve both formal and informal communication and information flow between and within all levels (community, ES, RO, ROMT, RC, HO, HOMT, TAs) and development partners (NGOs, NWMR, other ministries etc.) for more effective and efficient implementation and to promote attitudinal change within and between these levels and related to the CBM implementation the team recommends that a <b>systematic IEC</b> (information, education and communication) <b>strategy</b> is developed and implemented.</p> <p><b>Time span:</b> Activity 5.1. Second quarter 2000</p> <p><b>Additional resources needed:</b> A short-term consultant with practical experience in IEC strategy and action plan development is required for a duration of estimated 5 weeks.</p>	<p>5.1. Recruit a short-term consultant to prepare an IEC strategy and action plan in a participatory manner who will a) make a needs assessment at all levels and with all relevant partners; b) assess the possible use both modern and traditional ways of communication (community and regional levels); c) develop experience exchange programs at required levels incl. community; d) develop sensitisation packages and information exchange forums (ways) for staff e) develop ways to promote positive examples; f) propose a strategy; and g) propose an action plan.</p>
<p>6. Considering the limited input of the CWSMSP both to support the national initiatives to promote gender equality and equity (national gender policy and action plan, WASP, CBM) and to fulfill the requirements for the Finnish government supported projects, which has led to weak gender sensitivity of the project strategy and approach (incl. CBM), the team recommends that the CWSMSP takes a proactive role in promoting the implementation of the Gender Action Plan by the GoN and to urgently develop a gender mainstreamed project implementation strategy and approach.</p>	<p>6.1. Recruit a short-term consultant to prepare a proactive gender mainstreaming strategy for the project and CBM implementation (and the Directorate) based on the review of all the components and materials related to the CBM implementation.</p> <p>6.2. Develop a training course in participatory development and gender analysis as its tool (assess the content of the course organised by the UNAM and the WAD/PO)</p> <p>6.3. Organise a sensitisation course (6.2.) at the levels of the DRWS management and ROs</p> <p>6.4. Organise a practical course in the use of gender analysis as a tool for</p>

**Time span :**

- Activity 6.1. Second quarter 2000
- Activity 6.2. Second quarter 2000
- Activity 6.3. Third quarter 2000
- Activity 6.4. Third quarter 2000
- Activity 6.5. First quarter of 2000

**Additional resources needed:**

A Namibian short-term consultant is needed on full-time basis for a period of 6 weeks for a review and 6.2. – 6.3. It is advisable to assess the possibilities to recruit the person from the UNAM since they have the experience and have undertaken the training for WAD/PO. Training, however, should not be only in gender analysis but in participatory development and gender analysis as its tool. Based on the training strategy the consultant can be further recruited for 6.4.

participatory development (theory and practise) for the RWEOs, selected participants at the DRWS and ROs and RCs  
6.5. Adjust RUWIS to provide gender disaggregated data

<b>Recommendations Human resource development and management</b>	<b>Proposed activities</b>
<p>1 Considering the future institutional and human resources development changes that are proposed by the NWRMR, as well as the redefinition of the roles and responsibilities of regional institutions induced by the envisaged decentralization process, the team recommends to adjust the present HRD strategy to integrate the implication of these changes on training activities and the management of human resources. The target groups are staff from Regional Councils and RO offices, including extension workers, as well as communities and water point committees.</p> <p><b>Time span :</b>            Activity 1.1 : Last quarter of 1999            Activity 1.2 : Last quarter of 1999, and first quarter of 2000            Activity 1.3 : 18 months for preparation, and implementation in a Phase III            Activity 1.4 : Throughout the remaining 18 months of Phase II, and on going for a Phase III</p> <p><b>Additional resources needed:</b>            Recruitment of a full time HRD / HRM Manager.            Review and merging of CBM training documents from DRWS and the qualifications/units of competencies for the water sector of NWRMR, will need to contract a Namibian Consultant for 4 months on the basis of 2.5 days a week, and to contract an external expert for three backstopping missions in Namibia of 2 weeks each, working in close relationship between DRWS, Regional Councils and offices and NWRMR.</p>	<p>1.1 Recruit a full time HRD and HRM Manager, who will have the tasks of : a) preparing and monitoring HRD/M strategy and activities together with relevant specialists and regional offices; b) ensuring and promoting proper communication channels within the Directorate and between the Directorate and regional Offices; c) ensuring and promoting communication channels between DRWS and NWRMR and other relevant stakeholders; d) advising DRWS management on HRD/M issues.</p> <p>1.2 Review in working sessions composed of HO, RO and NWRM staff the implications of coming changes on human resources at all levels.</p> <p>1.3 Clarify present and future roles and responsibilities of institutions and staff at Head Office and Regional level, and define correspondingly, and in accordance with government staff regulations, an HRD and HRM strategy. Its implementation could be done in a Phase III.</p> <p>1.4 Review and merge material and standards on community – based management training, with a team composed of staff from DRWS and NWRM, seconded by a local Namibian consultant and an external expert, through:</p> <ul style="list-style-type: none"> <li>➤ a) Meeting between NWRM and HO concerned staff, on information about the Fast-Track Community Capacity Building Document and courses currently being used by the DRWS.</li> <li>➤ b) Working session on the review of approaches and documents of both parties; review consists in reviewing the qualifications/Units of competencies, especially for the rural water sector, as the Mid Term review Team has identified missing components and inconsistencies.</li> <li>➤ c) Merging the two approaches; mainly by matching unit by unit, the relevant sessions and background information from DWRS, in accordance with the set and agreed performance criteria and evidence requirements.</li> <li>➤ d) Testing on a regularly basis the new training units as they are being developed.</li> <li>➤ e) Keeping on conducting training courses at extension officers and community levels in parallel with their gradual adaptation.</li> </ul>
<p>2 Considering that the overall objective of the project and the DRWS, is to ensure a sustainable supply of safe water to rural communities in communal areas, and</p>	<p>2.1 Review present super-management 2000 courses, as well as the P1- P2 courses in order: a) to integrate exercises which are specific to regions and rural water</p>

<p>that the decentralization process will have an impact on roles and responsibilities of institutions and staff, the team recommends that all courses should be gradually adjusting their focus on the overall objective, and changes to come.</p> <p><b>Time span :</b>  Activity 2.1 : Throughout the remaining 18 months, and on going in a Phase III  Activity 2.2 : Throughout the remaining 18 months of Phase II</p> <p><b>Additional resources needed :</b>  No additional resources</p>	<p>supply; b) add modules on CBM and decentralization, as they are the back bones of the whole project; c) continue these courses in parallel with their gradual adaptation.</p> <p>2.2 Identify additional awareness raising topics which are needed to include in the courses, in a progressive way (e.g.: additional planning tools and methodologies, problem solving techniques; monitoring; cost recovery issues, and AIDS awareness (as requested by the Finnish Embassy)).</p>
<p>3 Considering the important training needs (give figures) and the need to sustain the Namibian capacity to carry on with the HRD and training activities, once the external technical advise and expertise is gone, the team recommends to strengthen and sustain the Namibian training team.</p> <p><b>Time span :</b>  Activity 3.1 : Last quarter of 1999 for identification of trainers; year 2000 for their training.  Activity 3.2 : Throughout last 18 months of Phase II  Activity 3.3 : Throughout last 18 months of Phase II</p> <p><b>Additional resources needed:</b>  Sufficient material and budget for training material available at regional level</p>	<p>3.1 Identify among existing DRWS or RO staff, two potential additional trainers for super management and P1-P2 courses; they should be trained progressively during training events supported by external assistance. In the long run, external technical advise should only be backstopping these courses when needed.</p> <p>3.2 Balance development support and capacity building, by appointing a Namibian counterpart for every training activity lead by an external advisor.</p> <p>3.3 Re-evaluate the projections for the coming five years on the demand for training at extension officers and community level, versus the capacity to respond to this demand, region by region, as well as re-estimate the ceiling for the allocation of kilometers.</p> <p>3.4 Consolidate the availability and accessibility of training material for extension officers (especially photocopies of handouts, participatory material).</p>

Recommendations <b>Financial planning</b>	Proposed activities
<p>Given the fact that DRWS's objective for this financial year is to improve the effectiveness of financial control systems through compiling and distributing of all procedures to relevant staff, and putting in place a computerized financial control system, the team recommends to consolidate the technical assistance in terms of financial management support.</p> <p><b>Time span :</b> Activity 1.1 : Last quarter of 1999 and 2000</p> <p><b>Additional resources needed :</b> None</p>	<p>1.3 Review the needs in terms of financial management support of DRWS and regional Offices, as well as the capacity of the technical assistance to address these needs. If required, Technical assistance staff whose contracts are ending in March 2000, should be replaced by professionals with more financial management expertise.</p>
<p>Considering the need to clarify financial procedures and monitoring at all levels, as well as the need to determine a comprehensive cost recovery strategy for the coming phase of the programme, the Team recommends to consolidate both financial procedures and cost recovery aspects.</p> <p><b>Time span :</b> Activity 2.1 : Last quarter of 1999, first quarter 2000 Activity 2.2 : From second quarter 2000 onwards. Activity 2.3 : To be implemented in 2000</p> <p><b>Additional resources needed :</b> Cost recovery study is budgeted for.</p>	<p>2.1    2.1 Review present financial procedures , especially for budgeting (ceilings) at regional level, disbursement of allocated funds, monitoring (not only through expenditures) but also through a system of checks and balances, payments of Nam water bills, billing of communities.</p> <p>2.2    Adapt and disseminate consolidated procedures, which will need to be further adapted, if institutional changes are going to happen.</p> <p>2.3    Implement a cost-recovery study with terms of references including the following key aspects for sustainable cost recovery:</p> <ul style="list-style-type: none"> <li>• Analyzing the financial implications of project characteristics and environment on cost recovery (policy, subsidies, decentralization, the financial roles and responsibilities of key stakeholders, such as RWS, Communities, Namwater)</li> <li>• Maximizing willingness to pay</li> <li>• Optimizing Costs (Operation and maintenance, spare parts, energy, repairs, tools, replacement) per technology and per region;</li> <li>• Determining levels of tariffs per type of technologies, which are equitable and which communities can afford (blocked rates, rates to be paid at the moment of consumption, metered/non-metered rates, etc...), knowing that these tariffs are only indicative; communities themselves will have to decide.</li> </ul>

	<ul style="list-style-type: none"> <li>• Clarifying financial responsibilities per type of task and activity.</li> <li>• Defining of access to other financial sources, other than tariffs, such as community funds, micro-credits, loans, grants</li> <li>• Establishing and disseminating appropriate and effective financial management procedures at community level (budgeting, bookkeeping, billing, collection, use of collected funds, receipts, monitoring, bank accounts)</li> </ul>
<p>3. Considering the possibility of a subsequent Phase III of the present project, the team recommends to constitute a working group who will be defining the general orientations of Phase III together with its financial implications both for the Government of Namibia and the Government of Finland.</p> <p><b>Time span :</b> Activity 3.1 : Throughout last 18 months of Phase II</p> <p><b>Additional resources needed:</b> None</p>	<p>3.1 Constitute a Working Group composed of DRWS, NWRMR and Finnish technical assistance for the definition of the future orientations of a possible Phase III of this project, together with its financial implications.</p>

*Annex 6*  
*Assessment of*  
*MIS – RUWIS component*





### **Assessment of the MIS – RUWIS component**

According to the project logical framework the result of the MIS - RUWIS component is "Comprehensive Management Information System (MIS) developed and implemented, including establishment of the Rural Water Information System (RUWIS) database. The key indicators for this result are as follows:

- Roles and responsibilities defined and staff designated and trained
- Required equipment installed and commissioned
- All necessary data available and verified
- Required MIS reports produced
- System effectiveness and user satisfaction determined by sample survey
- Internal communication procedures put into effect
- Periodic updates developed in response to user suggestions

To prepare a National comprehensive MIS is not under the mandate of the DRWS it is currently under preparation in the Central Statistics Office of Namibia. The MIS system for DRWS, mentioned in the Project Document for the CWSMSP, Phase II, had been developed, and already partially installed and taken into use. Not all ROs had yet taken it into full use. The reason for this is manifold but perhaps the most important limiting factor is the restrictions in electronic communications in Namibian public service, and lack of networking of the computers even inside a RO. As long as the data and the information has to be mailed or transported manually inside a RO and/or to the HQ, the full benefit of the MIS cannot be achieved.

The Rural Water Information System (RUWIS), is under preparation and first baseline input of data is being fed in. It appears very comprehensive, structurally up-to-date, and open-ended to future connection to the National MIS. The CWSMSP has created a MIS for whole DRWS, including the HQ and the ROs. However, the MIS has not been implemented in all ROs yet. The RUWIS has been taken into use in all the ROs and in the HQ. The development stage is variable.

One issue taken up by most of the interviewees was the huge proportion of working time the establishment of the database takes from all those involved. The present stage of creating an information base to support operational decision-making is indeed requiring too much time of the Regional Offices' staff. This worry is further deepened by the fact that at least partly the work is carried out by wrong persons (extension workers) and not the record clerks. When the baseline data has been fed in it will, however, require a time input which is well justified by the improvement in the information flow enabling knowledge based decision making in the organisation and proper monitoring of implementation of the annual plans. It is worth while to study possibilities to outsource at least a part of the routine work, and to research possibilities of using other databases in the country to support creation of this one. (ref. Central Statistics Office).

The RUWIS does not at the time have a GIS component but it is possible to add such to it. Adding this would greatly enhance the possibilities for wider use of the data. On the other hand, the complexity of the present system might also contribute to the observed slowness to appropriate the RUWIS. Limited computer skills certainly add up to the problem. It was noted, that not all persons involved were actively aware of the system support arrangements, including strategical telephone numbers. To re-inform time to time of these contacts is needed in addition to the current practise of backstopping visits.

*Annex 7*  
*Assessment of the Planning Component*



## Assessment of the planning component

According to the project logical framework the result of the planning component is “the management capacity of DRWS’s management strengthened so that it can introduce more effective planning processes. The key indicators for this result are as follows:

- Approved comprehensive strategic plan exists for DRWS, the plan is being followed and regularly updated;
- Annual operational planning exist, are reflected in the annual approved budget and being implemented and monitored;
- Region specific Rural Water Supply Development planning have been prepared and adopted and being updated periodically;
- Greater proportion of NGOs and donor interventions reflect the Regional Rural Water Supply Development Planning.

### *Strategic planning*

DRWS has developed a series of strategic papers on: 1) Ownership of rural water supply schemes and individual water points; 2) Introduction of payment for the service of water supply; 3) Sector co-ordination; 4) Legal status of water committees; 5) Monitoring and evaluation system; 6) Relationship between the Water Point Committee, the Local Water Committee, the Central Water Committee and DRWS; 7) Implementation of Rural water Supply Schemes; 8) Operation and Maintenance of the rural water supply equipment.

The team has acknowledged with interest that these papers have been distributed to a wide audience, mainly to spread information about DRWS, but also to provide an opportunity for feed-back from interested parties, and that the consultation is part of an on-going process. However, in the light of future changes induced by the decentralisation process which will definitely touch rural water supply according to the Decentralisation Policy of the Republic of Namibia, and to the propositions put forward by the Namibian Water resource management Review, the team feels that the strategy plan as a whole needs to be consolidated and adapted.

There are today a great number of countries, which are implementing decentralisation policies, which have a direct or indirect impact on the water and sanitation sector. The institutional implications of a decentralisation process are obvious, but vary from one country to another. The major rationale for implementing a decentralisation process is aiming for a greater efficiency, effectiveness and sustainability of public services. It is based on the assumption that local level institutions can better respond to the needs of the population, and therefore adapt strategies and policies, which are relevant to the local context. The central level institutions change their role from provider of services to the one of co-ordinator, facilitator and support. This can be done by: 1) a transfer of responsibilities from national to provincial/communal level; 2) a de-concentration of activities from national to local levels; 3) a transfer of various activities to other actors such as NGOs and the private sector.

The main consequence of this process from government to regional and community level is that it increases the burden of financial, operational, technical, managerial responsibilities at regional and local level which regions and communities do not have always the capacity to carry. This process will therefore rely on accompanying measures such as:

- **Building the capacity of communities on technical, financial and managerial terms, with a gender perspective, which is partially done by the project but which still needs to be consolidated.**
- **Reinforcing the role of regional - local authorities in co-ordination with communities, and giving the technical and financial means to do so. This means a greater role for the Regional Councils, whom the Team has met in several regions. They all expressed their greatest interest in taking the co-responsibility for development planning, however, they are all faced with serious capacity problems.**
- **Promoting the participation of local Non Governmental Organisations and small private firms (formal and informal) in the provision of services (technical assistance, training, repairs, spare parts provision). Furthermore, the role of Namwater in possible financial and technical management needs to be looked at. This solution would mean the introduction of contractual agreements. The involvement of the private sector or even small artisans is still minimal in rural areas.**
- **Changing the role of government institutions from provider of services to co-ordinator and facilitator. In some way, DRWS is already functioning this way, but it needs to reinforce its facilitator side.**

**Strategic planning is about setting orientations and objectives, but also about setting processes and approaches. A change in the approach might be needed as well. A supply-driven approach (top-down) can have serious implications for the sustainability of projects, particularly in terms of community acceptance, functioning, use and O&M costs. The community is not being involved in any phase of the project cycle. In the case of a demand-driven project (bottom-up), the problems and needs are identified with and by the communities. This may be preceded by some awareness raising by extension workers. The advantages are that the motivation of the community to participate in the planning, implementation and O&M phases will be high, and that community-based management will be better accepted and implemented. This means the introduction of participatory planning (broad based planning).**

**One area often overlooked in strategic planning, is the need for a clearly articulated and systematic communication strategy. The inclusion of a planned communication strategy not only recognises the necessity of communicating with people, it articulates the needs of each stakeholder and helps find a way to bridge the gap between planners, government agencies, private sector and communities.**

**Communication can also both compliment and, in some cases, substitute for the regulatory work. It can compliment because the design and successful implementation of a rural water policy requires a level of dialogue between those who design or implement the policy and those who are addressed by it. It substitutes for other instruments when it motivates people to change their behaviour voluntarily.**

**Communication is not the same as "telling"; the words "to communicate" imply a two-way process. A communication strategy must include the opportunity for feedback from the audience to the sender and back again. When people are allowed to participate in the process of defining and implementing the rules for their own water strategy, the potential for sustainability is accelerated. A corollary to this is the need "to listen", and therefore communication requires "listening". If the messages coming back across the feedback loop are not listened to (and acted upon where appropriate), communication is not taking place.**

In order to be effective, a communication strategy must be deliberately and systematically planned. While most programme planners assume that some level of communication will take place, whenever it does, it does so on an ad-hoc basis without necessarily reflecting the communication needs of different groups of people nor does it facilitate a two way dialogue between planners and people.

In conclusion of this paragraph on strategic planning, the team feels that DRWS needs to update its strategy papers and approaches.

### *Regional Water Supply Development Planning*

The team has noted with regret that this activity has not been implemented, except for the preparation of a TOR. Regional development is typically an activity, which needs to be participatory. A development plan usually goes through a process of: 1) Situation analysis specific to the region, which includes not only an inventory of water resources, water points and communities, but also a problem analysis and assessment of the capacity to respond to needs; 2) Identification of priorities for action, according to the specific needs of the region and the strategic plan; 3) development and monitoring of activities, with the active involvement of relevant stakeholders.

One of the major critics given to the participatory process is that it takes time and money to get everyone together. This is true on a short time basis. However, on a medium and long term basis, this will lead into a better acceptance of the project, a greater responsibility of stakeholders involved with less resistance to change, and sustainability.

### *Operational Planning*

This has been perhaps the most fruitful element of the planning component, owing to the introduction of a training process through P1 training, homework assignments, P2 training, and completing the plans supported by follow-up and coaching visits to the regions. The reports mention delays in starting and implementing this activity, and that the targets have been too ambitious.

The team wishes to say that delays were certainly foreseeable, knowing that these activities had to start from "scratch". It takes time to develop a new activity, but as for all new activities, they should be monitored and reviewed from time to time. The project would gain a lot in assessing how well this support responds to the needs, how it has contributed to changes in planning skills and aptitudes in regions and what are the gaps which still need to overcome.

Apart from the remarks and comments on P1 – P2 which are also developed in the HRD component by this review team, the team thinks that operational planning could:

- better reinforce its link with the MIS – RUWIS and financial management / control system;
- better link logistical aspects of planning with requirements linked to the development of substance related activities.





*Annex 8*  
*Assessment of the CBM Component*



## **Assessment of the CBM component**

According to the project logical framework the result of the CBM component is "The management capacity of DRWS strengthened so that it can prepare communities to manage their water supplies"

The key indicators of the result are as follows as per the logical framework:

- Guidelines and elements for handing over for O&M in place in August 1998
- CBM implementation support systems established and applied in two regions by August 1999
- % of all extension officers in all regions are performing their duties satisfactorily based on their key result areas
- In all regions 40% of WPs handed over for O&M and are being maintained on a sustainable basis by August 2000
- Monitoring procedures for CBM in use in ROs

Indicators and targets have been slightly changed in the project document and respective annual work plans and reporting.

### **Extent of achievement of activities**

#### **(C.1.1.) Establish CBM implementation support systems**

Guidelines and procedures for implementing the CBM were prepared in mid-March 1999 (original time frame: August 1998). Guidelines are to be updated based on the field experiences but it appears that the CBM implementation process has not been on-going long enough for making comments. Less emphasis has been on developing the practical tools for the CBM implementation.

Establishment of the CBM implementation support systems is delayed. Task force has been created and is working on the TORs for a billing system and technical support systems (local O&M skills; local contractors; spare parts; logistics etc.) (original time frame: support systems established and applied in all regions by August 1999). Study on the banking facilities is planned not to start until the technical support system study has been finalised.

Draft 1 of the cross-subsidisation considerations has been prepared for the use of RWEOS but not finalised (original timeframe: 8/98). Options for reward system have not been drafted and implementation not started. Studies on the national subsidies (timeframe: 3/2000) and on the Rural Water Development Fund (timeframe: 3/2001) have not started.

Billing and collection system on pipeline schemes has not been agreed with Namwater. This causes delays in setting up of billing system on pipeline schemes and decisions on

the responsibilities of LWAs and LWCs. Draft final memorandum was made available (7/99) and discussions between Namwater and DRWS are on-going. Due to not finalising the issue, major delays are expected in the setting up of the billing systems on pipeline schemes and decisions on the responsibilities of LWAs and LWCs.

**(C.1.2.)        Ensure that the extension service is functioning according to its key result areas**

Review of the extension service to improve its effectiveness and efficiency has been conducted in five regions during 1998. Discussions to define purpose and role of extension service and preparation of a position paper have started. More research and information gathering is expected to be done before position paper can be finalised. No further progress has been made in implementing the recommendations of the review that was approved by the HOMT in February 1999.

**(C.1.3.)        Ensure that handed-over water points are managed by communities according to CBM principles as defined in the CBM strategy**

The legal framework for handing over the water points has been almost finalised (original timeframe: 8/98) thereby providing an enabling legal environment for the handing over. The exercise has been time and resources consuming. Most of the time has been used for finalising and getting approval for all the legal documents needed for Leasehold handover. These documents include WPA Registration application form, WPA register of members, WPA certificate of recognition, PTO application procedure and two leasehold agreements. Application process for PTOs (LHA) (over Q1-Q4) has not been approved yet. The MoRLGH has passed the documentation on to the MoLRR for approval. Implementation is subject to the selection of one option and approval of relevant authorities. The treasury process for final hand over of assets is being investigated. It is not considered urgent because it will be several years before the first ownership agreements are needed.

WPA model constitution and guidelines were piloted in three regions. CBM institutions relationship working document was incorporated into the legislation drafting process.

Process for registration of WPAs and for applying PTOs has started. The procedure has been introduced for ROMT, RWEOs and selected communities in seven regions. There are delays in the work related to LWAs on the 2 Dutch funded pipeline schemes in the Four Os. Only the draft is ready and it has been process piloted on the two schemes. The Legal Advisor has been tied to other activities. Several WPAs in Omaheke and Hardap have produced the first drafts of the WPA constitutions including the management plan (Q1-Q4). Most of Caprivi WPCs have constitutions which should be easily converted to WPA constitutions. One WPA constitution including LHA for 10 WPs in Hardap has been signed.

Draft 4 of the CBM Bill has been circulated to RCs, NGOs and project partners. However, there has been delay in submission of the Bill to the Parliament.

WPC legal and skills training materials, as well as the caretaker training materials have been finalised, field tested and training has officially started in the regions.

The target of handing over 40% of the water points for O&M and 35% being maintained on a sustainable basis by 8/2000 was not realistic. During the implementation process the target was also changed to 6% from 13% to be handed over during 1999/20. 13% was an unrealistic target for the first year.

About 10% of the 6000 WPs have been selected for the handing over process. About 6% of them have had their WPCs trained (if including project partners). 86 WPCs have been trained using the DRWS package (Q1-Q4). If about 686 have been trained, it represents approx. 11% of 6000 WPs, which is above the target of 6%. 6% of WPs for CBM implementation have been selected in seven regions. Other regions are having difficulty in selection because of lack of funds for rehabilitation. Lack of funds will drastically slow down the CBM implementation in other four regions. Over 100 WPs have been rehabilitated in Four Os on the Oshakati-Omakango pipeline scheme.

**(C.1.4.) Adjust and guide CBM implementation process through monitoring and evaluation Methodology for comprehensive M&E has not been prepared.**

The RUWIS is providing statistical information to a certain extent on the current situation but has limitations. Due to the problems related to the RUWIS it is not possible to use it at this stage as a reliable monitoring tool. CBM areas to be monitored and indicators have been defined. Discussions held on indicators of WPC readiness for training and for readiness for handing over.

Collection, compilation, and analysis of real data to determine the actual situation within any given region are required. This includes not only specific data on WP infrastructure, communities and committees, but also information to know whether the HO and RO staff are actually performing their work effectively and efficiently and achieving their key-results.

**(C.1.5.) Gender and marginalised groups issues for CBM considered and included in the CBM implementation (new indicator)**

Three reports addressing marginalisation have been prepared. Marginalised groups were studied both within the Directorate and within the communities, with the aim to mitigate potential problems. The first report concentrated on the DRWS staff situation. Draft report (1,2) on mitigating marginalisation in water supply in communal areas was prepared in April 1999. Based on the draft report guidelines were prepared. Discussion on the importance and priority of marginalisation in the water sector in the present situation has continued within the DRWS. Personnel have been overloaded in the absence of the gender advisor to transfer the guidelines or the report to a clear action plan. Also the source of data and conclusions in the reports and the guidelines are still not clarified.

According to the original timeframe the guidelines were to be taken in use and implementation started from 6/99 onwards. DRWS personnel were sensitised in the problematic concerning marginalised groups within DRWS and communities (6/99).

#### **(C.1.6.) Technical assistance**

Most of the TA activities have concentrated on the preparation of the guidelines for the CBM implementation and finalisation of the legal documents for handing over the water points. In addition, assistance has been given to the preparation of the various training packages mainly at the community level but also for the RWEOS (Q1-Q4 and T1-T4). Less emphasis has been placed to implement the recommendation of the ES Review and development of the CBM support systems, which is reflected in the performance of the project.

#### **Assessment of the CBM component**

##### **General remarks**

Because the CBM implementation is now the centre of DRWS activities and thus the main focus of the CWSMSP in Phase II, most of the project components support the DRWS efforts to implement CBM. The CBM component implementation is behind schedule, just as is the whole CBM implementation process within the Directorate. Because all aspects of the CBM are delayed, some donors and other partners have expressed their concern. The team feels, however, that taking into consideration the duration of the CBM implementation it has achieved tangible results and that the CWSMSP has largely contributed to achieving the results.

Foundation for implementation has been laid and implementation has started. Enabling policy environment supports implementation. The CBM is part the national policy framework, thereby, official support is available. The overall framework, including the legal framework for implementation, exist. Even though the implementation process has been delayed, there are already tangible results in terms of rehabilitating WPs, establishing WPCs/WPAs LWCs/LWAs and training the communities. Technical service to communities has improved and the management capacity of the Directorate to steer the implementation process has improved. In stead of the previous top-down and centrally governed system, the community has become the focus of the Directorate. The theoretical skeleton of CBM has been used for developing practical guides for implementation.

A number of constraints can be identified that slow down the CBM implementation process. These constraints primarily relate to concept, approach, focus and resources. Practical tools for implementation are also not sufficient. There is also some resistance to change at all levels for different reasons. CBM is fully elaborated and outlined as far as procedures, forms, implementation guidelines, legal documents and training materials are concerned. However, there is still misinterpretation and misunderstanding of CBM, combined with limited capacity at the regional level to take charge of the CBM implementation programme. Regional staff needs to become fully conversant with all

documents and methods to be able to successfully transmit information to communities. Besides developing the content of CBM, implementation capacity of the ROMT is to be built, and especially staff of the extension service.

Inadequate resources delay the actual CBM implementation. There is acute shortage of capacity. Especially the HRD&T is confronted with limited human resources. Many WPCs have been established, and some already few years ago but they have not been trained. Human resource problems also occur at the regional level. Members of the RTT may have received their TOT some time back. In addition, they were not associated to the development of the WPC skills training package and are not therefore familiar with the content. In some cases, RTTs are no longer complete. Some people argue that RWEOs cannot be expected to work up to standard. Extension officer training has for long been perceived as the information distribution channel to staff of the regional extension service.

Because emphasis has been mainly laying the foundation for CBM implementation, less time was available for the actual introduction and start of implementation in the regions. The lengthy process of introducing operational planning and target setting in the regions under the planning component has been on going.

#### **Detailed remarks:**

In addition to the general assessment above, the team has made the following main findings that require attention in order to further improve the performance of the CWSMSP and particularly the CBM implementation.

#### **a) Conceptual framework requires further consolidation**

Change from the supply driven to demand driven water supply is a new concept for development in the Namibian context. Conceptual work is mainly done, however, there is still some lack of clarity as regards the concept itself. The CBM concept is designed for the technology that is appropriate for the communities to manage, operate and maintain. As defined later in this report, approx. 61.4% of the technologies can be defined as appropriate in theory (less in practice depending on the financial and technical capacity of the communities), and 38.6 not appropriate. Technology and the principle of the CBM do not fully match in the present Namibian context. The team emphasises that this does not mean that the CBM concept cannot function, but several issues need careful consideration.

Both socio-economic and financial issues are key to sustainability of any public or private initiative. Financial sustainability, however, is not an end itself but rather a means to ensure the attainment of broader development goals. In order to achieve financial viability and sustainability there is a need for sound financial management. Sound financial management is based on the principles of cost-recovery, cost containment and liquidity maintenance. Financial sustainability is also dependent on the existence of non-financial factors such as an appropriate enabling environment including regulatory

frameworks, political commitment at all levels, public information and awareness campaigns, required expertise and skills, strong institutions and supportive attitudes. Willingness to pay and participation of users are vital in this context. The team feels, that financial sustainability of the CBM strategy still requires further study, and that funding needs to be re-visited, time-scale reviewed and level of upgrading reassessed. Targets need to be re-set for the Phase III. It is important to start the real implementation of the Phase II to collect experiences in the real situation prior to defining the targets for the Phase III. The team suggests that socio-economic differences are accepted and each user pays according to the capacity. A phased approach according to the optimal technology and affordability by users should be the decisive factor. Demographic trends of the areas should also be looked into to decide on the investment priorities (growing or decreasing population patterns). The number of WPCs should be established in relation to the number of WPs and to physical and social conditions of the region. Financial strategy development, including price and tariff setting, is required down to the community level and in the present situation is more important than e.g. development of RUWIS/MIS.

The planned consultancies to determine the most feasible infrastructure for the technical support services, subsidies, credit etc. should be consolidated with the conceptual framework. They should carefully look into the responsibilities of the WPAs and LWAs vis-à-vis the Government during the Phase II (O&M) and Phase III (Full Cost Recovery). The team is of the opinion that within the present situation in terms of the capacity (both technical and financial) in rural areas, too rapid phasing out of the Government support as regards advanced maintenance, repairs and replacement could endanger functioning of the water supply systems. Even in the case of prolonging remarkably the Phase II (O&M) to 2010, in reality advanced maintenance, repairs and replacement are a realistic possibility only in few cases. The team suggests that the basic principles of the Phase III (Full Cost Recovery) are carefully looked into and prior to making a strict time frame for implementation, experiences from the Phase II (O&M) are collected and analysed. At present the money collection has started in some schemes but the system is not yet fully operational. Cost-recovery and subsidy issues are not clear for communities which creates confusion and eventually negative attitude towards the CBM implementation, thereby clarification is needed as soon as possible.

At the policy level there are contradictions regarding the possibility to use water. In the WASP the water is allowed to be used for broader purposes than in the CBM. The CBM limits the water use to only for human consumption and cattle which creates problems at the community level, where in some areas e.g. small-scale gardening is a popular initiative and promoted by agricultural extension workers.

Increased position of Namwater in rural water supply has implications for the CBM implementation and its feasibility as a concept. Namwater is not a community oriented company and it has no social dimension in water supply. Its interests are strictly in cost-recovery, which might have cause marginalisation and/or endangering availability of water when people cannot afford to pay. At present there is no clear picture on how billing would be handled in case Namwater takes responsibility for rural water supply. Discussions are being held on the management agreement that would give the Directorate the control of meter reading and money collection. However, there is a concern for the



cost subvention because the price of bulk water is not set. People also participate in the pipeline construction and it is not justified that Namwater bills them according to the same rates as the people who do not participate. The question of what does the price of water comprises of (networks, billing, and maintenance) and how it can be used is not clear. Water can become expensive for the users and at least it will not be possible for the lower income users to use the water for income generation. This in turn reduces the income of the user. In some cases women's gardening projects project had to be closed because water became too expensive after water supply was taken over by Namwater.

With the increasing population pressure the need for expansion of piped water supply will occur. Piped water networks in the North are large and vulnerable and their expansion requires technically feasible solutions. Capacity of the Namwater to technically handle the issue is questionable, and not at all possible to the community.

**b) Need to review targets within the available financial resources**

In the continuation of the CBM implementation the crucial factor is the availability of funds by the GoN to rehabilitate and hand over the existing water points for the Phase II (O&M). The Ministry currently operates an estimated 6000 water points. The rehabilitation and transfer of these water points has been slow. Only less than 1% of all existing water points has been handed over to the communities for O&M compared to the target of 40%. According to the strategy all the 6000 water should be handed over by the end of 7/2003. It is obvious that the present pace and the targets do not match. This delay is mainly attributable to the lack of financial resources in the recurrent and development budget of the Ministry. Many water points have degraded beyond normal rehabilitation, which has increased the overall costs. Current budget for the coming years is not sufficient.

The GoN needs to make a critical decision on how to proceed with the CBM implementation. In case additional funds are not available, the CBM implementation will take several decades (70-80years). This option might even lead to the cancellation of the CBM strategy. Re-scheduling of the implementation should be done in a realistic manner taking into consideration on one hand the requirements of applying participatory approaches to achieve sustainability which is often considered to slow down the handing over and on the other the political pressures to achieve quantitative results. Re-scheduling to e.g. double the duration of the Phase II of CBM requires high financial inputs from the GoN. Whether additional financing is allocated for the coming fiscal year is an indicator of the commitment of the GoN in the implementation of the CBM. The team suggests that consideration for continuation of the Finnish support for the Phase III (GoF project cycle) is based on the financial commitment of the GoN in the CBM implementation.

To a certain extent the readiness of communities and momentum to proceed with implementation can be lost in case additional financing is not available for rehabilitation. If communities loose faith in the capability of the Ministry to keep their promise, the overall goal of a sustainable rural water supply may be compromised.

**c) CBM support services to be developed as and integrated and interlinked package**

The CBM support services include:

- Billing and revenue collection system for pipeline schemes
- Technical support systems (O&M)
- Cross-subsidisation and subsidisation
- Banking facilities
- Rural Water Supply Development Fund
- Fund for damage caused by wildlife

The studies related to the CBM support services are about to start in the near future. The team suggests that considering the strong interlinkages between the studies an integrated approach will be adopted. The results of each study have implications to the other. In practical terms this would mean undertaking the studies in parallel and recruitment of a team of persons to undertake the studies rather than undertaking separate studies consecutively. This would enable a mixture of experts (e.g. social scientists, engineers, and economists) to contribute to the work of each other to develop a CBM support service package where each component supports each other. Development of the whole package is of urgency to finalise the conceptual framework for the CBM implementation.

The team suggests, that in stead of giving direct subsidies in the water sector, it should be investigated what options do we have for direct funding for rural communities (credit, banks, rural water development fund). Enabling activities e.g. credit facilities, advice, access to new technologies and involvement of NGOs should have the main focus. The team is of the opinion, that every user should be charged according to their capacity (progressive tariffs), and that each user should pay at least a nominal fee (in kind can be also acceptable). Pricing must reflect the O&M costs. Block tariffs would allow cross-subsidisation and a provision could be made for the first few blocks to be affordable for all domestic users so as to ensure equity and ensure that water is a basic human right. Value can be added per cubic meter taking into consideration the opportunity costs (cattle, income-generation etc.). Development Fund could be rather directed towards being a credit fund for income-generation than a fund for loans for O&M and water point construction. If Development Fund only developed to give loans for O&M purposes it is difficult to see how the return rate would be positive. Provision of credit would also give the communities a concrete benefit as a result of CBM, which would again motivate them to fully participate in the CBM implementation through improved access to financing.

In case the suggestion of the team to place the focus on supporting the credit facilities as a means of subsidy is accepted, there are existing initiatives to channel credit through the existing structures based on the concept of the government subsidy for interest rates. The team does not support establishment of new credit institutions but channelling it though the already existing institutions. For example, the MoT&I has an initiative to facilitate access to finance in rural areas. It is a credit guarantee scheme that works as a Trust Fund, which is a registered, autonomous and non-profit making. At present it is a tripartite initiative between the GoN, GTZ and EU totalling in N\$15 million. Rural credit

is also channelled through the Post Offices functioning also as banks. There is also a Task Force for Rural Savings and Credit Schemes at the policy level in which e.g. various ministries, Agribank and UNDP are participating.

**d) A simplified approach to mitigate marginalisation required**

One of the strategic objectives of DRWS is "to have empowered and brought up to equity level the identified marginal groups by the end of year 2001". A study on mitigating marginalisation in water supply in communal areas, Draft 2, April 1999 was prepared within the CWSMSP framework. The purpose was to define and identify the marginalised groups and identify the reasons and mechanisms and conditions for marginalisation. Discussion at the DRWS still continues on whether there really is a problem of marginalisation as regards the CBM concept, to what extent, and should the DRWS make it a priority in the present situation.

Marginalisation links with the problematic of poverty and the fact that accessibility to potable water alone cannot alleviate poverty. The conceptual problems of cost-recovery and roles and responsibilities of the communities and the Government related to the CBM, particularly during the Phases II and III, particularly Phase III, when substantial financial contributions are expected from the communities, include potential dangers of marginalisation. Many rural communities cannot bear the capital costs of replacing the equipment at the end of their service life, although some rich farmers could do it, possibly by pooling their resources. It is thus unlikely that this would sustain or increase equitability in the villages. However, though capital costs e.g. for boreholes are high, those for water points at pipeline branches would be relatively small, and could more easily be covered by water charges and owned by associations. Some people may be marginalised due to the O&M costs, and community ownership of facilities would most probably marginalise more. A WPA/LWA without sufficient capital to renew its facilities has to rely on the government support. Targets for CBM Phase III are overoptimistic and the government's input will be constantly required particularly when boreholes with diesel engines/windmills are concerned.

Progressive water charges and cross-subsidy within the community can play the key role in mitigating marginalisation. The users of water for livestock, income-generation or business should be charged more. This will also function as a disincentive for over consumption of water. In case of the livestock it will decrease the number of cattle and accordingly protect the carrying capacity of environment. Private assets should be the decisive factor. The team has observed, that cross-subsidy within communities is taking place in some areas. The different situation in the regions should be taken into account e.g. marginalisation based on ethnicity.

Marginalisation, however, is a holistic matter and attempts by the water sector cannot alleviate it unless thoroughly co-ordinated with all other efforts of the different line ministries and development partners. In reality it is impossible to find a society where marginalisation does not occur. The team feels that it is important to take marginalisation problematic into consideration when developing the CBM support

package. The team also suggests that a proactive approach through creating opportunities at the community level for income generation through supporting the existing credit schemes will be adopted. Credit programmes can be seen, however, also to further cause marginalisation because it will make some people better-off than the others. However, it gives an opportunity to actively solve some of the vulnerability problems, not to await subsidies that do not require any input from the recipient. The team suggest that no direct subsidy will be given unless absolutely necessary (e.g. people entitled to social welfare).

Under the present limitations as regards human and financial resources, the team suggests that a simplified two-pronged approach relying on a) the vulnerability assessment of the community itself; and b) the data collected within the already on-going initiatives to define the larger pockets of poverty and vulnerability, will be adopted during the Phase II of the CWSMSP. This can be complemented by the information provided presently by RUWIS. For a comprehensive understanding a rather sophisticated research design and a more complicated research methodology, skilled researchers and skilled analysts of data are needed.

Preparation of the community assessment would function both as a tool for internal cross-subsidy decisions, as well as the baseline information and monitoring tool for the impact of the CBM implementation at the community level. It can be done using PRA tools (e.g. wealth ranking and mapping).

The already on-going data collection exercises of the National Food Security and Nutrition Action Plan by National Food Security and Nutrition Council and the preparation of a Regional Development Plan for the Erongo and Ohangwena Regions (UNDP supported) can be a starting point for reviewing what kind of data is readily available. The NFSNC "Assessment of Vulnerability in Namibia" aims to develop a comprehensive understanding of vulnerability, with details on specific causes of vulnerability for certain groups or individuals and under what circumstances they occur. The regional development plans form the basis of foundation upon which future regional development and planning projects will be based. Plans will make the identification of economic growth points and investment opportunities a key priority in data collection and analysis. In addition, human development issues are analysed. The plans will address physical, economic, social, institutional, and environmental components at regional level. Identification will take into account the dynamics of economic development and point out obstacles to economic growth. Each constituency will be visited in the Region and the Regional Council is involved through a series of workshops held at the regional level. Two regional council employees will be part of the data gathering and formulation of development scenarios. This initiative would give a good opportunity to start working with the Regional Councils.

The team suggests that the need for more complicated marginalisation assessment will be assessed during the Phase III when the conceptual framework has been consolidated and some experiences of the practical implementation of the CBM Phase II are available.

**e) Approach requires further development towards more holistic community development, and from result-oriented to process-oriented bottom-up approach in order to guarantee sustainability**

The CBM is being implemented under a political pressure to reach the set quantitative targets that even today are overoptimistic. The targets that were set too high have resulted in a situation where the emphasis has been in the achievement of the quantitative targets (number of water points handed over)) rather than concentrating on the issues that would guarantee sustainability. The approach has been inherited from the past and at present has no or very limited process-orientation. It is supply driven and central planning has been used more than participatory approach. In almost all activities it is clear that they are directed from the top without too much or marginal involvement of the partners (communities), users, extension workers as trainees etc. This has resulted in a situation where the CBM as a concept, materials used and/or training given do not sufficiently respond to the needs of the users.

The CBM implementation is a difficult task because people are losing a benefit rather than getting any in terms of finances. Result orientation in terms of quantity can lead to non-sustainable outcome. Community participation and meaningful involvement of communities is not only desirable but necessary even for economic reasons. Experience has shown elsewhere that clear benefits for communities as a result of intervention, community participation in planning, capacity building and support correlate positively with reaching sustainable outcomes. When looking at development from the perspective of the community, its members rarely see development as sectoral. With placing community at the centre of development it is possible to get the people to define their own targets, plans, times schedule and monitoring, and thereby increase ownership and sustainability. Water sector development should be in concrete terms to be seen as part of the holistic development at the community level. Emphasis in developing the approach needs to be shifted from e.g. the duration of the WPC training to the process started at the community level and qualitative output of the training.

Communities and training situations are always different and timing should be adapted to the situation. The outcome should matter more i.e. how people have really internalised what they have been trained in/for. The team observed that TOT is given to the extension officer and they have not internalised the content. However, they will go to the communities to train the communities without having fully internalised the content. The same applies in the training at the community level. Training is time bound and there is no required time to answer to the questions of communities and to make sure that they really understand the content of the training.

WPCs/LWCs and WPA/LWAs can also serve broader development purposes. The team was informed that belonging to a WPC has in some places created togetherness and also general development issues are discussed in the meetings. This gives potential for using established structures for more general community development where through collaboration with other development partners (government, NGOs) it would be possible to initiate other supporting activities by and for the community. There is a need for

continuous strengthening of the capacity of communities to handle the general community development matters. At present the tools for the implementation are not sufficient. The tools concentrate more on the technical issues (WPC skills training, legal matters, and maintenance) but the attitudes and perceptions of people on their own development get less emphasis. The fact that there is no policy for rural development, which would be a sector cutting policy, is a drawback for developing integrated interventions at the community level.

There is a need to learn from the experiences of the other donors and NGOs operating in the country. Namibia Red Cross Society has a Community Based Health Care Programme in North Kunene Region called the Rural Water Point Rehabilitation and Health Education Project "Towards Ownership and Sustainability" 1999-2001. Experiences in terms of approach at the community mobilisation stage as well as combining the water and health aspects and collaboration between line ministries at the regional level could be beneficial for further developing the CBM approach.

The team feels that the approach needs to be shifted towards more participatory and community-centred bottom-up approach to improve the sustainability of the CBM implementation and to support the development processes started at the community level, in stead of approaching them in a speedy manner to achieve the quantitative targets.

**f) Qualitative indicators to monitor the processes required**

The emphasis on the quantitative targets is also reflected in the indicators of the logical framework. All of the indicators are quantitative starting from the overall objective that has only a quantitative % indicator for "accessibility" but lacks indicators for "sustainability". The programme purpose has one qualitative indicator "customer satisfaction" for the management capacity but the other indicators are quantitative. The team feels that in order to be able to shift the focus and approach of the CWSMSP and the CBM implementation it is necessary to review the indicators in the logical framework to develop process-oriented qualitative indicators to monitor the performance and impact. Qualitative indicators would ensure that more emphasis is placed on the outcome of the interventions rather than the number of interventions. E.g. in the case of training qualitative indicators would ensure that sufficient emphasis is placed (if followed) on the outcome of the training, not only to the number of people trained. The number of people trained does not guarantee successful outcome for the activity. Only when trainees after the training are able to use the skills in their practical work in it can be said that training was successful.

**g) Focus of support needs to be increasingly shifted to the regions to support the decentralisation process and to strengthen the linkage between the regions and communities**

Even though the practical guidelines for the CBM implementation have been prepared they have not been adapted to the multitude of circumstances and environmental

conditions in different regions. The team feels that there is a need to refocus in rural areas and to adapt to the real situation. Considering the differences in the economic situation of the users and the different situation of the regions (economic situation, capacity, technology) it is difficult to see how a national blueprint for CBM could function. There is an urgent need to develop region specific CBM implementation plans taking into consideration the various factors affecting its implementation. The team also feels that interventions carried out related to RUWIS, Planning, CBM and HRD&T at the HO level are not sufficiently co-ordinated to get the maximum output. The team suggests that either the institutional arrangements for CBM implementation will be looked at and/or the working methods will be consolidated. CBM implementation plans could be prepared also at the HO level.

The water sector has been decentralised to the regions and all regions have their regional offices. It is foreseen that the already decentralised water sector will continue its operations under the Regional Councils when the envisaged decentralisation policy will be fully implemented. Implementation of the decentralisation policy will further strengthen the regional focus and the team suggests that the CWSMSP should support the process. In the present situation the capacity of RCs in terms of handling water issues is not sufficient. Implementation time frame of decentralisation is not yet known, but the process is on going.

Support of the RCs for the CBM implementation is also crucial. Originally in the regions there was a lot of resistance towards the CBM implementation. In many cases the regional councilors still do not attend the regional water sector meetings and do not recognise the work related to the CBM implementation. The team was also told that in some cases the regional councillors give contradicting messages in their constituencies. The fact that water was earlier free of charge and now there is a requirement to pay for it gives the councillors a possibility to propagate against payments for popularity by giving a "positive message" to the community members.

The team feels that it would be advisable to start preparations for the future situation immediately, particularly the capacity building of RCs to take up their roles in regional water planning and management as well as present partners in the CBM implementation.

**h) Extension Service needs urgent strengthening: RWEOs (and other field workers) play the key role in intensifying the linkage between the community and the region**

In reaching the set targets for CBM in a sustainable manner it is crucial that the linkage between the communities and the region is further strengthened. In the process the RWEOs and other field workers (maintenance teams; DCD facilitators; Agriculture field workers) being in touch with communities play the key role. Even from only the financial sustainability perspective the role of RWEOs in successful implementation of the cost-recovery is crucial. The willingness largely depends on the way the CBM is

presented in the community, how communities are involved from the beginning in the planning, how do they see the benefits and how they are supported in the process.

During the mission, the team has recognised that the situation of the ES is not sufficient for carrying out the expected tasks. There are several issues related to the structure, enabling working environment and capacity that prohibit the effective and efficient work of the ES. The DRWS has two alternatives: a) look into possibilities of outsourcing the community work like in the case of new water point construction; and b) strengthen the existing ES. Outsourcing the extension work (or part of it) is an expensive initiative, and the team suggests strengthening of the existing ES.

**Within the CWMSP a comprehensive Review of the Extension Service (by DRWS) in five regions over a period of 12 months 11/97-12/98 has been undertaken. Unfortunately due to time constraints and/or the complexity of the matter implementation of its recommendations has not yet started. The team is impressed by the quality of the survey and shares the results of the analysis that complement and confirm its own observations.**

The structure and institutional arrangements of the ES as part of the DRWS is not clear. This has impact on the development of the extension procedures, planning, communication channels for information, advice and reporting. The ES does not belong directly under any one department at the Directorate, but is developed and supported by the HO CCRWEOs (North/South) and accordingly the DDs. The ES review states, that HOMT questions the capacity of ROMT and especially the RH to effectively manage the region's ES because HOMT estimates that some do not know the purpose of the ES or see the need for the ES. HOMT also questions the capacity of the DDs N/S to manage the ES.

There is no direct linkage between the HO and the regional set-up. This has led to a situation where RWEOs are used and trained for different purposes but strengthening ES as an institution is lacking. There is also no direct support system for the ES at the regional level. The Controls and Chiefs have been largely selected from the RWEOs. They have not received any specialised training or coaching in management and supervisions (now Supermanagement 2000), nor additional training in preparing extension programmes and using extension methods, yet they are supposed to be functioning at a higher level than the average RWEO. This situation needs to be rectified as soon as possible and special training catering to the needs of the extension supervisors should be undertaken. This should not be a formal supervisory course with other DRWS staff at the supervisory level. Rather a specialised and continuous process should be developed to upgrade the skills of the Controls and Chiefs.

The team suggests that the ES will be strongly institutionalised as part of a strong unit within the Directorate, e.g. Development Planning which would ensure ES to be integrated into the system. As one possibility the team suggest that establishment of a separate CBM implementation unit under which the ES would function will be looked into. By developing a strong sub-division that provides a service to the line divisions and



regions, the current haphazard system of guidance to the ES and CBM implementation can gain direction and improve. The ODA gives an opportunity to look into the structural changes that might facilitate more co-ordinated CBM implementation (HRD&T, Planning, CBM, RUWIS) and the development of the ES, and allow preparation of a cohesive and integrated strategy and approach. Two CCRWEO (HO) positions should fall under the new sub-division or unit. The team supports the ES review in that the CCRWEO positions should be upgraded so that qualified and experienced people hold the posts.

The number of RWEOs is at present limited to vary from 15 to 20 RWEOs per region. RWEOs are almost evenly distributed not taking into consideration the population and/or number of communities in different regions. This has placed regions in a different position to benefit of the ES. In addition, the present training requirements at the community level (legal training, WPC skills training etc.) have taken up practically all the RWEO resources for the training. RWEOs are given TOT and they function as trainers. Services of RWEOs are also required for the RUWIS operations. The team recognises, that with the present targets for CBM, and if the number of RWEOs is not urgently increased and/or rationalised to take into consideration the requirements of different regions, it is clear that the RWEOs will be mainly involved in the training activities with no possibilities for their regular extension work. Visits to communities can increasingly become one-time visits with no follow-up and limited response to the needs arising from the communities.

When the team asked from the WPCs the criteria for an "excellent RWEO", the reply was that they should be able to create trust. Previously the coverage by RWEOs was geographically determined which enabled creation of trust between the community and the RWEOs. At present the requirements of training activities group RWEOs based on the topic of the training. Various training teams (including maintenance) visit the communities, which does not allow establishment of trust between the community and the RWEO. This might have implications on the credibility of the interventions and thereby on their willingness for cost-recovery and financial sustainability.

Most RWEOs are faced with problems related to operational means like transportation and overnight facilities and payments. The limitation in kilometres/month is a drawback, that can be to a certain extent be alleviated by better planning. However, situation requires careful consideration because of the need for constant communication with communities. Insufficient mobility can drastically delay implementation of activities. Limitation in kilometres per month has also in many cases led to a situation where the RWEO can only work 2 weeks/month and has to stay grounded in the RO for the remaining two weeks. This has on one hand frustrated some RWEOs and on the other built up an image of an RWEO "not doing anything". The team was also informed, that there were serious delays in sending the required training materials (posters, papers, pens) from the HO which has had negative impact on the work of the RWEOs.

The T1-T4 is the formal RWE0 training course. The team has both being informed and observed, that RWE0s are not sufficiently equipped to constructively cope with skills related to the realities of their work.

What RWE0s seem to be missing is a good understanding of CBM implementation matters and the ability to apply their knowledge to their work, especially in situations regarding problem-solving and decision making. Different training materials and guidelines are taken as a blueprint, and the RWE0s do not have enough self-confidence (or are told not to) to adapt the blueprint to their specific situation. The RWE0s informed the team that the T1-T4 is designed in a rather top-down manner and the training is also given using conventional "trainer passes the knowledge to the student" methods which is again reflected in their own behaviour as trainers. RWE0s lack practical tools for encouraging participatory development (PRA tools, community planning etc.) and ask for more practical application of the theory that they have learned. Rather informal, thematic and need based training to improve their effectiveness on an individual and practical basis on a phased manner is required. The team was informed in discussions with RWE0s, that the facilitator's notes were the best and most suitable training aids.

The team feels that instead of the current focus on skills and knowledge, training should focus on real region specific issues and circumstances, participatory methods and tools, attitudes and qualities.

The team realised that there are contradictions between the RWE0s and the maintenance teams. As for the maintenance teams there is clear uncertainty of the future of their jobs. Because the aim of the CBM is for the communities to take over the O&M of the water points, the maintenance teams are afraid of loosing their jobs. For this reason they are told to be sometimes giving negative information to the communities concerning the CBM. This information can easily be accepted by the communities taking into consideration the previous history of water being provided free of charge. The maintenance team is also a "positive team" from the perspective of the communities since they provide a viable and positive service. This can put the work of the RWE0s in jeopardy.

**h) Need to consolidate the role and services of the TA to support the decentralisation process, ROs and ES**

Regional Advisors particularly form a resource that should actively facilitate the CBM implementation in the regions. At present they are mainly concentrating on the establishment of the RUWIS system in the regions. The team recognises the importance of the RUWIS but does not consider it so crucial at the present stage that the services of four TA personnel (and one in addition at the HO) are allocated 70-80% to this task. The linkage between facilitating the overall implementation of the CBM and the services provided by the RAs should be looked into.

There is a need to strengthen the support to the decentralisation process including the RC, RO, ES and the preparation of the regionalised CBM implementation plans. The RAs

should play the key role in this process. The team suggests that their role be geared towards being active facilitators of the CBM implementation so that they represent each component of the CBM when being in the region. RA should be the facilitator in adapting the whole CBM to the regional conditions. They should also co-ordinate with other line ministries, RC and NGOS and other development partners at the regional level. This would require multiple skills from the RA, which s/he could complement with the skills of the HO TAs. RA should be in a position to request the services of the HO TAs when the need arises.

The team feels that the inputs given by the RAs could be more effective if they spend more time in one region at one stage. In the present situation a RA spends a maximum of 3-4 days in one region per 1-2 months. The counterpart of the RA is supposed to be the RH in each region. It is questionable that capacity can be build during this short period of time. The team suggests that RAs would spend 4-6 weeks in one region at one time, agree upon the steps to be taken during his/her absence and move to the next region. This would enable capacity building to take place and not create dependency on the TA. Each region would be able to receive longer inputs every 3-5 months.

The present Senior Regional Advisor is also concentrating majority of her time in the RUWIS process based on her qualifications. However, in case the role of the RAs is directed more towards approach and strategy development, and to support the development process at the regional level, there is a need to look into the job description of the SRA. The present SRA could take a specified role as a RUWIS consultant.

**i) Co-ordination, collaboration, communication and information flow within and between different levels and external partners require strengthening for improved performance and attitudinal change**

During the whole duration of the mission, at any level, the team was informed that there are serious problems related to communication and information exchange within and between levels. Problems of communication and information exchange are partly a result of the overall CBM approach that is also reflected in the management style. The management is still very much centrally-led and top-down with no meaningful participation of the structures below, including the relationship between the region and the community, between the RWEOs and the RO, ROMT and HOMT. There are communication and information exchange problems also within the TA team.

Lack of communication and information exchange is reflected in the activeness of the project and Directorate to collaborate with other development partners. Institutional linkages to utilise the already existing information and experience for developing the strategies and approaches for CBM implementation are rather weak. It is also reflected in the working atmosphere when at the structures below it is felt that orders are coming from the above but the work is not sufficiently supported and respected. The team feels that development of improved communication and information exchange between the different RO sections and between the ROMT and HOMT, ROs and ES and within the Directorate and within the TA team through better reporting systems, joint planning,

meetings and decision-making, and interpersonal communication could improve the situation.

All personnel need to have increased awareness and understanding of the general concept of CBM, and of the day-to-day details of CBM implementation that concern them. With this must come improved ways of management, technical and extension sections, to communicate with each other on CBM implementation issues, so that all staff members are moving into right direction.

Development and performance are often directly related to the attitudes and attitudes linked to the communication and information flow, and the respect and trust which is given in a certain situation. Normally there is resistance to change unless it is clearly understood what the benefits of this change will be and what is one's role in it. Because of uncertainties linked to the CBM implementation some implementers are worried about their future. Attitudes at the community level towards the CBM are not very positive everywhere maybe because they do not understand the benefit of it. Enough time should be allowed to thoroughly discuss and clarify the matters with all partners. In the present situation where there are already problems with the communication and information flow, the team feels that it is important that an effort will be made through both formal and informal channels to address the attitudes which are creating mistrust amongst different partners.

**j) Legal procedures require simplification**

The legal documentation for attaining the LHA is comprehensive and has been successfully completed. The team observed, however, that the documentation as such and the process to accomplish LHA is very complicated for the communities (and RWEOs) to understand and internalise. The team suggests that after the consolidation of the conceptual framework and the final approval of the LHA process, an extract of the documentation is prepared based on the assessed needs to clarify the main points of interest to the community.

*Annex 9*  
*Assessment of the HRM – HRD Component*



## **Assessment HRM – HRD component**

According to the project logical framework the result of the HRD - HRM component is “Delivery secured of training, staff development and HR management services to all levels of the organisation through the HRD&T sub-division”

The key indicators of the result are as follows as per the logical framework:

- Personal development programme for newly selected head of the HRD&T sub-division designed, approved and implemented
- MBR&O, based on newly defined Key Results and result Indicators, implemented for the HRD&T sub-division
- Head of HRD&T sub-division trained to be able to facilitate co-ordination of training interventions in response to TNAs carried out by line managers
- Head of HRD&T sub-division trained to be able to facilitate career pathing steps with managers and supervisors
- MBR&O implemented within the Head Office Management Team (HOMT) (down to the level of sub-division heads) and the Regional Heads
- MBR&O implemented at Regional Office Management Team (ROMT) level
- MBR&O implemented for remaining RO staff
- Training plans established by means of line management-driven analyses for managers and supervisors at the levels of HO managers (down to level of sub-division heads) and the Regional Heads
- Training plans established by means of line management-driven analyses for the ROMTs
- Training plans established by means of line management-driven analyses for all other RO positions
- Recruitment, selection and career pathing procedures developed and HOMT trained in their application
- Recruitment, selection and career pathing procedures trained and RHs and other relevant sub-division heads trained in their application
- Career pathing established for all supervisory positions in all ROs
- DRWS’ management and other relevant staff gender-aware and promoting gender role optimisation within DRWS and at the community level

## **HRD**

In general, Human Resource Development in the project is mainly centred on the training aspects. Although training is a very important element of HRD, it is not the only one. Such elements as coaching, advising, strengthening the capacity of professionals, designing a strategy, developing guidelines and working procedures are also important. In view of the future role of DRWS, it would be relevant that the Directorate becomes familiar with overall HRD activities, in order to best support regional offices.

The project is implementing the following training courses:

1. Management Development Programme for HOMT, ROMT and Sub-Divisional Heads
2. Super Management Competency Based Training for regional Office staff
3. Secretarial and support staff development Programme in Regional Offices
4. Minute Taking courses for clerical staff

5. Financial Management Training
6. P1 – P2 courses in operational planning at regional level
7. T1 to T4 courses for extension workers on CBM

The team wishes to acknowledge the major effort given by the project in developing and upgrading management skills at all levels, as this is very rarely done in other countries in such an organised manner, especially for civil servants working in rural development. Management, professional and support staff can greatly benefit from this effort, as well as the department as a whole.

Courses 1 to 5 are based on material proposed by the Namibian private company MAST, which is registered with the Ministry of Higher Education, Vocational Training, Science and Technology, as a Training organisation. Two external highly skilled and experienced consultants (one from MAST, one independent) implement these courses, and a trainer from DRWS, just recently trained to run these courses. With this team, a projection exercise has been done, which showed that it would be impossible to cover all regions and staff during the remaining 18 months, if these five courses are to be implemented. This would require extending the project to another Phase, or increasing the number of trainers.

Modules of the Management development Programme include planning, time management, organising, leadership and controlling, which are relevant and appropriate for the target group concerned. However, the team feels that these courses could be an excellent opportunity to disseminate and clarify the basic elements of major new concepts which DRWS and regional management staff has to deal with, such as CBM and decentralisation. Furthermore, some of the examples, videos and working exercises are too generic, and an effort could be made to adapt some these to the context in which professionals work. The training team has made a participatory evaluation of the impact of these courses with regional staff. Most of the staff answered that they have noticed changes in planning and organising, but that the remaining problems were mainly due to behaviour of their bosses or a certain resistance to change from the staff.

The Super Management 2000 Competency Based Training is a registered Training Programme proposing a set of 22 modules for supervisors and workers, and has been developed overseas. It includes modules on improving working methods, day to day management and personnel management. The team has noted with interest that these modules, although intensive, are given throughout a period of three to six months. Between two modules, staff is given practical exercises, which are directly evaluated by the regional Head or by the trainers during their next visit. This methodology is very appropriate to induce working changes. Basically the same remarks given for the Management Development Programme apply for this training Programme. In addition, the team feels that there should be more linkages between these courses and the P1 – P2 courses.

Secretarial courses could include some computer skill development, as this is more and more needed. Financial management has just started, but needs to include financial procedures specific to the DRWS and regional offices. See for that matter, what the team recommends in the financial management chapter.

P1 and P2 courses have their strength in the fact that they are specifically tailored to the needs of the regional offices in terms of operational planning. The courses are using very good training material and the exercises developed in the groups are directly implementable. The



courses however depend heavily on foreign technical assistance, and no Namibians are trained for taking over. Furthermore, the courses are mainly aimed at developing plans, and not necessarily in following up on the development of skills. It is important to realise that one of the most direct and short-term activities that the NWRMR will be doing, as exposed further down, is a review of all training activities in order to accredit them through the NQA, and following performance criteria. P1 and P 2 courses could have to undergo this type of review in the near future.

The T1 – T4 training course are courses designed for extension workers on CBM. They have been developed by several experts since 1992, and have become very comprehensive and detailed, which might be beyond what is needed by this particular target group, although all sessions are relevant. The team has however noticed that the extension workers who went through this course had a good understanding of their work and community development. The training material used to train committee members is very appropriate, as observed in the field by the review team. The training of extension workers has stopped since August 1998, mainly due to the fact that an outside expertise, carried out by the NWRMR, has described this course as unsuitable. The team feels that this decision has harmed the work of extension workers, since many of them still approach communities with very little knowledge and awareness. This course could have continued with some modifications, but it is of the utmost importance to go on with training extension workers and communities, and the team has made some recommendations in that respect.

Basically, the T1-T4 is not a tool for extension workers, but for trainers who have to train extension workers. Some information on policies could drastically be synthesised and simplified. However, the use of participatory tools and practical exercises dealing with the community could be reinforced.

The team has had the opportunity to consult the reports produced by the NRWMR on capacity building, as well as to hold working meetings with the NRWMR. Concerning the specific document on community based training, under the heading "Namibia Vocational Training", the team acknowledges the relevance of the methodology based on performance criteria and evidence requirements. However, the team has noticed still some gaps and shortcomings in the details of the units proposed, which require to be reviewed in the context of rural community work in Namibia. The performance criteria are not always complete or specific enough, and are quite theoretical. Basically the approach described in this document is process-oriented, where as the T1-T4 document is content-oriented. Both approaches complement one another and should merge, as quickly as possible.

Concerning the achievements of the plan, the reports mention delays in the implementation of the plan regarding training. The team feels that this is normal, since approaches, material and capacity of trainers had to be developed first, with a new vision and new concepts. The team also feels that this is a learning process, and that material and methodologies can always be improved, especially in the context of a changing environment. Some key messages in that respect still need to be clarified especially, regarding the roles of all stakeholders in a decentralised context, and the future financial, technical, managerial responsibilities of the communities. Finally, it is important to strengthen the team of trainers at all levels, and expatriate trainers should always have one or two Namibian potential future trainers with them.

## **HRM**

The HRM component falls directly under the responsibility of the deputy Director of DRWS. This function cannot be improvised and needs a full time professional and expert in that matter, as the tasks of the deputy Director are too heavy to carry out this responsibility. Some attempt have been made by recruiting a half time external Namibian consultant, in addition to the HRD&T Head, however, an HRM professional needs to go in personnel matters, which are to be dealt within DRWS as a whole. Furthermore, the tasks of such an advisor can be cumbersome, since DRWS depends also on the personnel administration of the Ministry of Agriculture, Water and Rural Development. This question needs to be clarified with the Ministry, before a full time professional is employed.

HRM could also deal about the management of the technical assistance team. This is normally done with the collaboration of the Technical Assistance Team Leader. The team feels that a regular assessment of the performance of the work carried out by the technical assistance could be improved and discussed. Criteria vary from productivity, accountability, to coaching of Namibian staff, acceptance by local counterparts, communication skills and professional commitment.

*Annex 10*  
*Assessment of the*  
*Financial Management Component*



## **Assessment Financial Management component**

The main result of this component, as highlighted in the project logical framework is the “improved DRWS capacity to secure adequate financial resources to support its activities, and to manage these resources”, with the following indicators:

- Allocated budgets reflect DRWS’s approved strategy and operational plans
- Financial performance regularly reviewed and targets and budgets adjusted
- Regular budget and expenditure reports circulated
- Financial management system upgraded
- Cash handling procedures meet internal audit requirements

In general, the team had access to financial reports of the project, and noted that these reports were detailed and well prepared. It is not completely clear though how this financial system merges with the DWRS’s financial system. Furthermore, reports mention a certain resistance to change from the department of finance of DRWS, concerning the introduction of new financial control mechanisms at head office and regional offices. This situation is not abnormal and is met in other countries, especially within government services, where financial procedures are tightly linked to the existing administrative system.

In theory, there is a political commitment on community-based management, and one could deduct that there is also a commitment to the allocation of funds to DRWS. However, the team has noted an important political commitment also towards the implementation of the NWRMR proposals, which could affect the allocation of funds in the future, compared to what was originally planned. It is therefore of the utmost importance to monitor closely what are the implications of the NWRMR proposals on DRWS financial allocations. Some aspects of these proposals might take a long time to materialise, as for instance the transfer of financial responsibilities and budget allocations to the Regional Councils, but some others might materialise sooner such as activities linked to capacity-building.

The financial performance of the project is regularly reviewed, and targets / budgets are not only adjusted, they are analysed in terms of deviations and corrective measures to be undertaken. However, this component is for the whole DRWS capacity to manage both project resources and own resources. As this might be impossible to do for the reasons exposed above, the project might have to revise some of the indicators of this component. This is also valid for the indicator regular budget reports circulating and cash handling procedures meeting internal audit requirements.

The financial system has not been upgraded, since there was a decision to return to the previous system. The team feels that this need to be addressed, as the present financial system has some shortcomings notably in the following fields:

- The use of indicative budget ceilings during the yearly budget exercise of regions.
- The procedures for the disbursement of funds to the regions as well as their effective monitoring through a system of cross checking and balances.
- A clear strategy for the use of subsidies according to different levels of marginalisation.
- A definite strategy for the buying of water to Namwater and its resale to the communities linked with an effective billing and collection system. Indeed, in reality subsidies are partly used to buy water from Namwater, but Namwater has mentioned the difficulty of the present financial management system

- The whole aspect of future cost recovery is not thought through in details although it is described as an important phase towards community-based management.
- The introduction of business-like attitudes and procedures within DRWS. The social mission of DRWS does not exempt it from running its activities in a more cost effective and cost conscious manner.

This will need to be discussed between DRWS and the Team leader of the Technical assistance in order to see how future advisors can have a more financial management expertise and profile.

*Annex 11*  
*CWSMSP, Phase II quarterly achievement*  
*report (table) 3<sup>rd</sup> quarter –99*





## 2.1 Achievements During this Quarter

TABLE 2.1 – ACHIEVEMENTS THIS QUATER

<b>DRWS' Key Result Area: COMMUNITY BASED MANAGEMENT, CBM</b>			
<b>Planned for this Quarter</b>	<b>Achieved during this Quarter</b>	<b>Deviations, Reasons &amp; Influences</b>	<b>Planned for next Quarter</b>
<b>DRWS' Key result objective: Minor &amp; Major Services carried out.</b>			
<b>MIS Component Result Indicator a) Roles and Responsibilities defined and staff designated and trained (Training for MIS only)</b>			
Routine plans for maintenance teams and monitoring systems in place in Kavango	Nothing achieved this quarter	Attention given to rectifying errors in RUWIS data	Routine plans for maintenance teams and monitoring systems in place in Kavango
<b>MIS Component Result Indicator d) Required MIS reports produced</b>			
Nothing planned this quarter			MIS monitoring system in place
<b>MIS Component Result Indicator e) Communication procedures put into effect</b>			
Better understanding of relationship between CBM / Extension / Maintenance (Regional Workshops): Q2: Kunene Khorixas + 1 Region	Workshop completed in Hardap Region (3 regions now complete)		Regional workshops to be held in Erongo and Caprivi
<b>DRWS' Key result objective: Operations Carried Out</b>			
<b>MIS Component Result Indicator d) Required MIS reports produced</b>			
Nothing planned for this quarter			MIS monitoring system in place
<b>DRWS' Key result objective: Support Systems in Place</b>			
<b>MIS Component Result Indicator d) Required MIS reports produced</b>			
Nothing planned this quarter			MIS monitoring System in place for billing & collection system on pipeline schemes & technical support services
<b>CBM Component Result Indicator b) CBM implementation support systems established/applied in all regions</b>			
4.1 Guidelines, procedures and practical tools for implementing CBM updated and introduced <i>Development Planners supported in the updating by Sept. 1999</i>	Comments requested on CBM Guidelines; No substantial comments received.	Appears that people have not moved through the CBM implementation process for long enough to warrant making comments.  => Updating of the CBM Guidelines will be postponed until the next scheduled updating (March 2000)	

<b>DRWS' Key Result Area: COMMUNITY BASED MANAGEMENT, CBM</b>			
<b>Planned for this Quarter</b>	<b>Achieved during this Quarter</b>	<b>Deviations, Reasons &amp; Influences</b>	<b>Planned for next Quarter</b>
<p>4.2 Cross-subsidisation considerations and guidelines: Prepared, Finalised, Approved, Introduced</p> <p><i>Advice provided to Development Planners</i></p>	<p>Draft 1 prepared with assistance from CBMDA.</p>	<p>Busy with other more pressing issues =&gt; No major influence as communities are currently collecting according to affordability.</p>	<p>4.2 Cross-subsidisation considerations and guidelines: Finalised, Approved, Introduced at the next Quarterly meetings.</p>
<p>4.3 Billing and collection system on pipeline schemes; agreed with NamWater, (pending from Quarter 1);</p> <p>systems developed</p>	<p>Support and comments given to the Task Force by TL. Draft Final Memorandum made available (15/7).</p> <p>Ongoing discussions on Namwater's possible role in meter reading, invoicing and money collection held between DRWS &amp; NamWater, but no decisions made yet.</p>	<p>Discussions between Namwater and DRWS continue. Development Planners to prepare a position paper on different alternatives how to manage billing and revenue collection.</p> <p>Agreement between Namwater and DRWS not yet reached because discussions taking longer than anticipated.</p> <p>=&gt; Major delays to be expected in the setting up of billing systems on pipeline schemes and decisions on the responsibilities of LWAs &amp; LWCs.</p>	<p>Finalise the position paper and complete discussions between Namwater and DRWS.</p> <p>4.3 Billing and collection system on pipeline schemes; agreed with NamWater and systems developed:</p>
<p>Implementation in 2 regions supported</p>	<p>No progress</p>	<p>Can not be implemented before consensus is reached on systems.</p>	<p>Areas for implementation selected.</p>
<p>4.4 Technical support services (fuel, spare parts, repair services) study:</p> <p>Task Force encouraged and monitored to finalise the TOR (pending from Quarter 1)</p> <p>DRWS and Consultants supported.</p>	<p>Draft 2 of TOR commented.</p> <p>No progress</p>	<p>Continued delays in getting this consultancy started.</p> <p>Consultant not yet appointed, because the TOR is not yet finalised.</p> <p>=&gt; Delays starting of other support systems.</p>	<p>4.4 Technical support services (fuel, spare parts, repair services) study:</p> <p>TOR finalised, and advertised.</p> <p>DRWS and Consultants supported.</p>
<p>4.5 Banking facilities study:</p> <p>Task Force formed</p> <p>TOR drafted;</p> <p>Task Force encouraged and monitored</p>	<p>No progress</p>	<p>This consultancy is not to start until Technical Support Services Consultancy is completed.</p> <p>=&gt; To be delayed till Quarter 4</p>	<p>4.5 Banking facilities study: Task Force formed and TOR drafted.</p>
<p><b>DRWS' Key result objective: 6% of water Points Handed Over / Local Water Associations</b></p>			
<p><b>MIS Component Result Indicator d) Required MIS reports produced</b></p>			

<b>DRWS' Key Result Area: COMMUNITY BASED MANAGEMENT, CBM</b>			
<b>Planned for this Quarter</b>	<b>Achieved during this Quarter</b>	<b>Deviations, Reasons &amp; Influences</b>	<b>Planned for next Quarter</b>
MIS monitoring systems in place: CBM monitoring & evaluation system in place	Computerised RUWIS system installed in all regions. Review of RUWIS forms and programme by M&E Task Force completed. Overall design of CBM M&E system ongoing within CBMIC task force.	Accuracy and completeness of reports from some regions doubtful.	Continue training of regional staff. MIS monitoring system for registration and functioning of WPAs in place.
<i>CBM Component Result Indicator d) In all regions 6% of WPAs handed over for O&amp;M and 5% are being maintained on a sustainable basis according to CBM principles by August 2000</i>			
5.3.1 Registration procedure: Implemented in regions <i>Development Planners and regions supported by CBMDA</i>	Registration procedure introduced to ROMT, RWEOS and selected communities in Ohangwena/Oshikoto, Oshana/Omusati by CBMDA and DPs. (In Caprivi, Otjozondjupa, Hardap, Karas and Kavango by DPs.)		5.3.1 Registration procedure: Implemented in regions <i>Development Planners and regions supported by CBMDA</i>
5.3.2 PTO application procedure: finalised and approved (pending from Quarter 1) <i>Development Planners and regions supported by CBMDA and LA (Cd)</i> Implemented in regions <i>Development Planners and regions supported by CBMDA and LA (Cd)</i>	Proposed PTO application procedure introduced to ROMT and RWEOS in Ohangwena/Oshikoto, Oshana/Omusati by CBMDA and DPs. (In Caprivi, Otjozondjupa, Hardap, Karas and Kavango by DPs.)	MRLGH has not made comments but has given go ahead to pass it on to Ministry of Lands.  Delayed because of waiting for comments from MRLGH before passing onto MLRR => Implementation is subject to the selection of one option and approval of relevant authorities.	5.3.2 PTO application procedure finalised and approved. <i>Development Planners supported by CBMDA and LA (Cd)</i>  Implemented in regions <i>Development Planners and regions supported by CBMDA and LA (Cd)</i>
5.3.3 Model LWA Constitution: finalised; introduced (pending from Quarter 1) <i>Development Planners and regions supported by CBMDA and LA (Cd)</i> Written for 2 pilot pipeline schemes <i>Development Planners and regions supported by CBMDA.</i>		LA too busy with drafts of legislation => Delays work of DPs with LWAs on 2 Dutch funded pipeline schemes in the Four Os  Not yet started, because only draft LWA Constitution ready.	5.3.3 Model LWA Constitution: Finalised  Introduced and written for 2 pilot pipeline schemes <i>Development Planners and regions supported by CBMDA.</i>

<b>DRWS' Key Result Area: COMMUNITY BASED MANAGEMENT, CBM</b>			
<b>Planned for this Quarter</b>	<b>Achieved during this Quarter</b>	<b>Deviations, Reasons &amp; Influences</b>	<b>Planned for next Quarter</b>
<p>5.3.4 Leasehold Handover Agreements: Implemented in regions <i>Development Planners and regions supported by CBMDA and LA (Cd)</i></p>	<p>Introduced to ROMT, RWEOs and selected communities during piloting in Ohangwena/Oshikoto, Oshana/Omusati by CBMDA and DPs. (In Caprivi, Otjozondjupa, Hardap, Karas and Kavango by DPs.)</p>		<p>Leasehold Handover Agreements: Implemented in regions <i>Development Planners and regions supported by CBMDA and LA (Cd)</i></p>
<p>5.3.6 Enabling legislation: Draft 3 of Bill circulated widely and discussed (pending from Quarter 1)</p>	<p>Done ; Draft 3 drafted, circulated and discussed within MAWRD, other relevant ministries &amp; NWRMR; Draft 4 drafted, circulated to Regional Councils, NGOs &amp; Project Partners</p>		<p>5.3.6 Enabling legislation: Draft 4 of Bill commented on within MAWRD, other relevant ministries, NWRMR Regional Councils, NGOs &amp; Project Partners; "Draft 5" submitted to Parliament</p>
<p>5.3.10 Follow-up programme for WPC Skills Training and Caretaker Training prepared</p>	<p>Discussions held on indicators of WPC readiness for training and for readiness for handover.</p>	<p>HRD&amp;T part of Task Force too busy with WPC Training prep, coaching of coaches, and coaching new training officers to finalise programme.</p>	<p>5.3.10 Follow-up programme for WPC Skills Training and Caretaker Training prepared</p>
<p>5.3.13 6% of WPs for CBM implementation selected</p>	<p>Done in 7 regions</p>	<p>Other regions are now having difficulty selecting because of lack of funds for rehabilitation (not because of poor procedure).  =&gt; Will drastically slow down the implementation of CBM in the other 4 regions; without selection CBM implementation cannot begin</p>	<p>5.3.13 6% of WPs for CBM implementation selected</p>

<b>DRWS' Key Result Area: COMMUNITY BASED MANAGEMENT, CBM</b>			
<b>Planned for this Quarter</b>	<b>Achieved during this Quarter</b>	<b>Deviations, Reasons &amp; Influences</b>	<b>Planned for next Quarter</b>
5.3.14 6 % of WPCs trained (over Q1-Q4)	Cumulative number of WPCs trained status as of 30 September 1999 (previous quarter in brackets): Kavango: 21 (12) Otjozondjupa: 19 (18) Hardap: 6 (6) Omaheke: 9 (15 mistake) Four Os: 25 (15) Caprivi: about 600 by project partners Erongo, Kunene North & South: unknown # by project partners Karas: 6 (0)  If about 686 (654) have been trained, this figure represents 13.7% (12.7%) of 5000 WPs, over the target of 6%		5.3.14 6% of WPCs trained
5.3.15 6% of WPAs have written WPA Constitution including management plan (over Q1-Q4)	Several WPAs in Omaheke and Hardap have produced first drafts; 1 WPA in Hardap finalised and approved	Process only just introduced formally to 7 regions during this Quarter	5.3.15 6% of WPAs have written WPA Constitution including management plan
5.3.16 6% of WPAs have registered (over Q1-Q4)	1 WPA in Hardap	Process only just introduced formally to 7 regions during this Quarter	5.3.16 6% of WPAs have registered
5.3.17 6% of WPAs have applied for PTOs (over Q1-Q4)		Process not approved yet; Concept only just introduced formally to 7 regions during this Quarter	5.3.17 6% of WPAs have applied for PTO's
5.3.18 6% of WPAs have signed Leasehold Handover Agreement (over Q1-Q4)	1 WPA in Hardap has signed LH Agreement for 10 WPs	Process only just introduced formally to 7 regions during this Quarter	5.3.18 6% of WPAs have signed Leasehold Handover Agreement
5.3.19 xx% of the 6% of WPs handed over have functioning WPCs and WPAs	1 WPA in Hardap		5.3.19 xx% of the 6% of WPs handed over have functioning WPCs and WPAs
5.3.20 xx% of LWAs established; coached/trained; functioning	Process piloted on the 2 Dutch funded pipeline schemes in the Four Os		5.3.20 xx% of LWAs established; coached/trained; functioning
5.3.21 xx% of RWCs established or re-established; coached/trained; functioning			5.3.21 xx% of RWCs established or re-established; coached/trained; functioning

COVERAGE			
Planned for this Quarter	Achieved during this Quarter	Deviations, Reasons & Influences	Planned for next Quarter
<b>DRWS' Key result objective: 2 to 3 Regional Rural Water Supply Plans Prepared for the Regions</b>			
<i>PLANNING Component Result Indicator c) Region specific RWSDPs have been prepared and adopted and being updated periodically</i>			
Consultant selected for RRWSDPs in Caprivi and Kavango (pending from Quarter 1)	Both consultants selected 23.7. and contracts signed on 20.8.  PA member of evaluation team.	Tendering period extended by 2 weeks; separate schedule for evaluation approved by HOMT and followed.  =>Minor delay: no action required	Completed
Instructions given to Consultants how to continue planning after receiving and commenting the Inception Reports for Kavango and Caprivi RRWSDPs.	Planning meetings held with Consultants.	Inception reports of both RRWSDPs will be available in October instead of September because of extension of the tendering period in June.  =>Minor delay: no action required;  =>Final schedule for the both RRWSDPs will be given and approved in the Inception Report	Inception Reports will be approved by the Steering Committee for the respective RRWSDP.
<i>PLANNING Component Result Indicator d) Greater proportion of NGO and donor interventions reflect RRWSDPs</i>			
Consultant for RRWSDP planning keeps the key players informed about/involved in the progress of the planning	Consultant for Caprivi instructed to involve all key players into the planning from the beginning.  Standard table of contents for all plans introduced.		Consultants for both Kavango and Caprivi will be instructed in how to continue the involvement and disseminate the information.

<b>DRWS' Key Result Area: HRD</b>			
<b>Planned for this Quarter</b>	<b>Achieved during this Quarter</b>	<b>Deviations, Reasons &amp; Influences</b>	<b>Planned for next Quarter</b>
<b>DRWS' Key result objective 1: Implementation of CBM enabled by:</b>			
<i>HRD Component Result Indicator d) All DRWS supervisory and management staffing decisions made in compliance with procedures for recruitment, selection and career pathing, which incorporate gender issues</i>			
1.1.1 Support given in assessment of HR capacity to implement CBM, partially covered under Operational Efficiency indicator 2.1 ODA.	Terms of reference written Advertisement placed Tenders received	Change in original mandate from DRWS resulted in delay to start ODA and implementing the results.	Appointment and commencements of consultant for end of next quarter.
<b>DRWS' Key result objective 2: Human resources development ensured by:</b>			
<i>HRD Component Result Indicator c) HOMET and ROMT approve annual training plan for staff, based on TNA carried out by line managers with facilitation and support by HRDT&amp;T</i>			
2.3.1 Training courses arranged according to training plan	Following courses/modules completed:  Management Development Programme, module 3 for HOMET, ROMT and Sub-Divisional Heads  Supermanagement competency based training, modules 3&4, 5&6 in four regions  Supermanagement competency based training, modules 1,2,3&4 for workers in one region  Secretarial and support staff development programme, modules 1 & 2  Minute taking course for clerical staff from the regions and HO  Financial Management training for North and South		Recap of all modules by means of practical application/case studies  Modules 7,11,15&22 to be completed in relevant regions  Modules 5,6,7,8,9,10 to be completed in relevant regions  Module 3 to be completed  Second basic minute taking course to take place in November
<i>HRD Component Result Indicator c) HOMET and ROMT approve annual training plan for staff, based on TNA carried out by line managers with facilitation and support by HRDT&amp;T</i>			
2.3.2 Managers coached in applying new knowledge and skills	Training Officer (Mr. Ngairo) and HRMS (Mr. Shapopi) ongoing assessment of the training and application in Erongo, Otjizondjupa, Onhangwena-Oshikoto, Omusati-Oshana and Kunene South regions.  Appointment of regional training co-ordinators who will liaise with Mr. Ngairo		Managers coached in applying new knowledge and skills to continue  Liaison with training co-ordinators

<b>DRWS' Key Result Area: HRD</b>			
<b>Planned for this Quarter</b>	<b>Achieved during this Quarter</b>	<b>Deviations, Reasons &amp; Influences</b>	<b>Planned for next Quarter</b>
			Short reinforcement courses in head office one every month Regional advisors to use video library to reinforce and assist
<b>DRWS' Key result objective3: Human resources development ensured by:</b>			
<i>HRD Component Result Indicator d) All DRWS supervisory and management staffing decisions made in compliance with procedures for recruitment, selection and career pathing, which incorporate gender issues</i>			
3.1.3 Employment (recruitment, selection and career path planning) system designed.	Not started	New training officer still being inducted.	Will commence as soon as new training officer has attended courses as stated below.
3.2.1 Relevant parties trained on application CTO or appointee attended formal training course in career path planning.	In process		New training officer assigned to HMRA/S to attend Institute of Personnel Management courses in career path planning, selection and recruitment.



<b>DRWS' Key Result Area:</b>		<b>MARGINALISED GROUPS</b>	
<b>Planned for this Quarter</b>	<b>ACHIEVED DURING THIS QUARTER</b>	<b>Deviations, Reasons &amp; Influences</b>	<b>Planned for next Quarter</b>
<b>DRWS' Key result objective: Marginalised Groups Identified</b>			
<i>CBM Component Result Indicator f) Gender and marginalised groups issues for CBM considered and included in CBM implementation</i>			
Mitigating Marginalisation in Water Supply in Communal Areas report finalised.	Summary report prepared by Planning Advisor and Handed over to DPs..	Summary report replaces finalisation of Gender Advisor's report; DPs overloaded in absence of Gender Advisor doing the job.	DPs to finalise their position on reports; HOMT to reach a decision on what to do next.
<b>DRWS' Key result objective: Guidelines for Preventing / Removing Marginalisation prepared</b>			
<i>CBM Component Result Indicator f) Gender &amp; marginalised groups issues for CBM considered/included in CBM implementation</i>			
Planing Advisor collects comments and develops guidelines from Drafts 1 & 2.	√ Done	Source of data and conclusions to reach guidelines still not clarified; PA's guidelines replace Gender Advisor's.	DPs to finalise their position on reports and guidelines; HOMT to reach a decision on what to do next.
<b>DRWS' Key result objective: Guidelines for Marginalised Groups Implemented</b>			
<i>MIS Component Result Indicator c) All necessary data available and verified</i>			
DRWS and CWSMSP decide how to carry on.	No conclusions yet	Delays in commencement.	DRWS and CWSMSP decide how to carry on.
<i>MIS Component Result Indicator d): Required MIS reports produced</i>			
Nothing planned for this quarter.			
<i>CBM Component Result Indicator f) Gender and marginalised groups issues for CBM considered and included in CBM implementation</i>			
3.1 DRWS personnel sensitised on Marginalised Groups within DRWS and Communities by 1/6/99. Training on sensitisation given to DRWS staff		Delays in implementation due to lack of consensus on how to continue.	DRWS and CWSMSP decides how to carry on.
3.2 Guidelines taken in use and implemented by Head Office and Regional Offices from 1/6/1999 on Training on guidelines given to HIO staff and staff in two regional offices		Delays in implementation due to lack of consensus on how to continue.	DRWS and CWSMSP decides how to carry on.
<i>HRM Component Result Indicator e) DRWS management and other relevant staff gender-aware and promoting gender role optimization within DRWS and the community level</i>			
Training on sensitisation given to DRWS staff		Delays in implementation due to lack of consensus on how to continue.	DRWS and CWSMSP decides how to carry on.

<b>DRWS' Key Result Area: OPERATIONAL EFFICIENCY</b>			
<b>Planned for this Quarter</b>	<b>Achieved during this Quarter</b>	<b>Deviations, Reasons &amp; Influences</b>	<b>Planned for next Quarter</b>
<b>DRWS' Key result objective 1: MBR&amp;O introduced</b>			
<i>HRM Component Result Indicator b) All relevant staff plan, execute and monitor all work outputs based on objectives defined in terms of KR&amp;Is</i>			
1.1.3 MBR&O principles and methodologies incorporated in management and supervisory training.	Done		
1.2.1 Key staff of DRWS assisted in MBR&O skills application	Information session held and principles incorporated in training interventions.	Progress on understanding and application is negligible because of perception that MBR&O is divorced from day to day activities and results  Significant, philosophy of MBR&O not incorporated into DRWS management thinking	Make more information available and brief and coach constantly.
1.2.2 DRWS staff supported in monitoring the implementation and achievement of Key Results	Proposal on improving meeting practices and monitoring of achievements in weekly, monthly and quarterly meetings of HOMT made by TL and approved by HOMT.		DRWS staff supported in monitoring the implementation and achievement of Key Results; follow up of implementation of the proposals.
<b>DRWS' Key result objective 2: Overall Efficiency Improved</b>			
<i>HRM Component Result Indicator d) All DRWS supervisory and management staffing decisions made in compliance with procedures for recruitment, selection and career pathing, which incorporate gender issues</i>			
2.1.1 Terms of reference for ODA agreed (pending from Quarter 1)	Done		
2.1.2 Contract on ODA awarded to a consultant (pending from Quarter 1)	The consultancy has been advertised.	NWRMR has raised its concerns about the mandate of the CWSMSP and DRWS to carry out the study.  =>Delay of 3 months expected	Arrange a meeting between DRWS and NWRMR to agree on coordination. Contract on ODA awarded to a consultant.
2.1.3 Surveys completed	No progress	Consultancy not yet started	2.1.3 Surveys completed
2.1.4 Recommendations communicated	Ditto	Ditto	
<i>MIS Component Result Indicator a) Roles and responsibilities defined and staff designated and trained (Training for MIS only)</i>			
Nothing planned for this quarter	Preliminary systems determined for Otjozondjupa		2.2 System developed for supervising area offices, Otjozondjupa & Kuncne Khorixas
<i>CBM Component Result Indicator c) Agreed percentage of extension officers in all regions are performing their duties satisfactorily based on their key results areas</i>			
2.4 Review of the Extension Service recommendations implemented (over Q1-Q4)			2.4 Review of the Extension Service recommendations implemented (over Q1-Q4)
Help DPs to finalise final report	Not done yet	Waiting for individual assignments to be completed	

<b>DRWS' Key Result Area: OPERATIONAL EFFICIENCY</b>			
<b>Planned for this Quarter</b>	<b>Achieved during this Quarter</b>	<b>Deviations, Reasons &amp; Influences</b>	<b>Planned for next Quarter</b>
Support DPs to define the purpose/role of Extension Service and prepare a position paper  Hold a DRWS-wide workshop on the role of the Extension Service within DRWS	DPs have begun discussions and gathered reference materials  Postponed	More research & info gathering needs to be done before Position Paper can be written; possibly need to request assistance of external expert as recommended during Review	Continue to gather info. on extension service systems and methods  Draft Position Paper  Assess need for external expert
<b>DRWS' Key result objective 3: Effectiveness of Financial Control Systems Improved</b>			
<i>FM Component Result Indicator b) Financial management systems upgraded taken in use and staff trained</i>			
3.1.1 Financial control systems reviewed and improvements proposed (pending from Quarter 1)	TOR for financial consultancy finalised,	NWRMR has raised its concerns about the mandate of the CWSMSP and DRWS to carry out the study.	Arrange a meeting between DRWS and NWRMR to agree on coordination. Contract on Financial control systems consultancy awarded to a consultant.
			3.2.2 Financial management training completed at HOMET
<b>DRWS' Key result objective 4: RUWIS Database Introduced</b>			
<i>MIS Component Result Indicator a) Roles and Responsibilities defined and staff designated and trained (Training for MIS only)</i>			
Roles and Responsibilities defined and staff designated and trained in Hardap, Kunene Khorixas & Kunene Opuwo  Complete training in Kavango	Training completed in Kavango, Hardap, Kunene Khorixas & Kunene Opuwo.		Erongo, Omusati / Oshana, Ohangwena / Oshikoto & Otjozondjupa
<i>MIS Component Result Indicator b) Required equipment installed and commissioned</i>			
Required equipment installed and commissioned, Otjozondjupa & Ohangwena/Oshikoto	Completed		
			Further assessment of computer needs completed for Karas, Erongo, Omaheke, Kunene Khorixas, Kunene Opuwo, Omusati / Oshana, & Kavango.
<i>MIS Component Result Indicator c) All necessary data available and verified</i>			

<b>DRWS' Key Result Area: OPERATIONAL EFFICIENCY</b>			
<b>Planned for this Quarter</b>	<b>Achieved during this Quarter</b>	<b>Deviations, Reasons &amp; Influences</b>	<b>Planned for next Quarter</b>
All necessary data available & filed in Erongo; Hardap Omusati/Oshana; Kunene Opuwo; Ohangwena/Oshikoto; Caprivi	Completed in Hardap Omusati/Oshana; Kunene Opuwo Caprivi & Ohangwena / Oshikoto 50 % complete Erongo, data collected but not entered or filed	Caprivi – problems with transfer of data from SIAPAC to DRWS system. Ohangwena/Oshikoto – late start of RUWIS introduction Erongo – problems in finalizing list of WP numbers, & new MIS person appointed.	Data filing completed in Caprivi, Ohangwena/Oshikoto & Erongo Otjozondjupa
Data entered according to agreed timescales: Kavango	Completed		Erongo, Hardap, Omusati / Oshana, Kunene Opuwo, Ohangwena / Oshikoto.
Support given in data verification: Karas, Omaheke, Kunene Khorixas	Data verification process ongoing in all regions.	This will be a long, ongoing process.	Erongo, Omusati / Oshana & Kavango.
<i>MIS Component Result Indicator d) Required MIS reports produced</i>			
Regional staff trained and support provided for using the database and reports: Omusati/Oshana; Kavango	Reports being produced in Kavango & MUSA Accuracy of reports still limited.	Availability and accuracy of information entered to database influencing reports. Additional time required to put Quarterly reports to full use.	Erongo, Ohangwena / Oshikoto.
<b>DRWS' Key result objective: MIS Introduced</b>			
<i>MIS Component Result Indicator a) Roles and Responsibilities defined and staff designated and trained (Training for MIS only)</i>			
Assessment of further MIS training needs completed: Kunene Khorixas; Omusati/Oshana; Caprivi.	Further detailed RUWIS training needs for Kunene Khorixas determined. Nothing achieved in Caprivi.	Generally slow progress in Caprivi region due to poor supervision.	Complete assessment of further training needs in Caprivi. Hardap, Kunene Opuwo, Ohangwena / Oshikoto & Kavango.
Roles and responsibilities defined and staff designated for HO: RWS North, RWD P&E.	Nothing this quarter in RWSN. Current roles agreed and initial training carried out for P&E, will be reassessed as Inspectors move to ROs and requirements change.	Most senior positions in RWS North still vacant.	RWS North, RWD Contract Admin.
HO staff trained: RWS South.	Nothing achieved this quarter.	Time constraints have prevented meetings with RWS South.	RWS South.
<i>MIS Component Result Indicator b) Required equipment installed and commissioned</i>			
Nothing planned this quarter.			
<i>MIS Component Result Indicator c) All necessary data available and verified</i>			
HO data requirements determined: RWS South, RWS North; RWD:P&E.	Study of HO needs ongoing.		RWS South, RWS North; RWD:P&E. RWD Contract Admin.
			Administration data needs determined, RWS North & South.
<i>MIS Component Result Indicator d) Required MIS reports produced</i>			

<b>DRWS' Key Result Area: OPERATIONAL EFFICIENCY</b>			
<b>Planned for this Quarter</b>	<b>Achieved during this Quarter</b>	<b>Deviations, Reasons &amp; Influences</b>	<b>Planned for next Quarter</b>
Section and quarterly reports produced: Karas; Omaheke.	Quarterly reports produced to agreed format in all regions, but with upgrading still needed in some regions.  Karas – section reports produced for maintenance but not extension.  Omaheke – section reports introduced but not submitted.		Complete section reports in Karas; Omaheke.  Hardap, Kunene Opuwo, Omusati / Oshana.
MIS report formats developed and DRWS staff trained to use them: RWS South.	Initial MIS reports developed for HO monitoring of CBM.	Time constraints have prevented meetings with RWS South.	RWS South.  RWS North, RWD: P&E.
Training and support given to use MIS reports effectively: RWS South.	Nothing achieved this quarter.	As above.	RWS South  RWS North
<i>MIS Component Result Indicator e) Communication procedures put into effect</i>			
Regular & effective meetings held: Erongo; Omusati/Oshana; Kavango	Regular meetings held in all regions.  Kavango – meetings generally not held frequently enough.  Omusati/Oshana – Ad hoc meetings held, no formal timetable.	Lack of commitment of Regional Staff.  Information dissemination is not as effective as wished for.	Management training of ROMT by HRD&T is ongoing.  Hardap, Otjozondjupa, HO RWS North, RWD: P&E, RWD Contract Admin.
Proposals for improvement of internal communication systems made: RWS South.	Nothing achieved this quarter.	Time constraints have prevented meetings with RWS South.	RWS South
Internal communication systems developed and introduced: Erongo; Kunene Khorixas; Kunene Opuwo; Kavango; Ohangwena/Oshikoto; Caprivi.	Internal communication systems in Kunene Khorixas & Kavango, and 90 % in Erongo.  Not introduced in Ohangwena/Oshikoto or Caprivi.	Time constraints in Ohangwena/Oshikoto and poor supervision in Caprivi.	Ohangwena/Oshikoto; Caprivi  Hardap & Otjozondjupa
External communication systems developed and introduced.			Karas; Erongo; Kunene Khorixas; Kunene Opuwo; Ohangwena/Oshikoto
Communication systems revised if necessary: Karas.	No revisions required at this stage.		Kunene Khorixas, Kunene Opuwo, Ohangwena / Oshikoto & Kavango.
<b>DRWS' Key result objective 6: Planning Skills Developed at Management level of HO &amp; ROs</b>			
<i>PLANNING Component Result Indicator a) Approved comprehensive strategic plan exist for DRWS, the plan is being followed and regularly updated</i>			
Q2-4: Need for prolonging the CBM phase 2 beyond 2007 will be followed up	Capacity assessed of Hardap, Khorixas and Opuwo Regional Offices to establish the required CBM structures during 1999/2000		Q3-4: Need for prolonging the CBM phase 2 beyond 2007 will be followed up
<i>PLANNING Component Result Indicator b) Annual operational plans exist, are reflected in the annual approved budget and being implemented and monitored</i>			

<b>DRWS' Key Result Area: OPERATIONAL EFFICIENCY</b>			
<b>Planned for this Quarter</b>	<b>Achieved during this Quarter</b>	<b>Deviations, Reasons &amp; Influences</b>	<b>Planned for next Quarter</b>
The untrained ROMT of Ohangwena-Oshikoto Region participated in P1 and are able to start operational planning with external support.		Operational plan of Infrastructure Planning Sub-Division revised because of management training program of the HRD&T Sub-Division in the regions.  =>P1 training will take place in October in Ohangwena-Oshikoto Region.  =>P2 for the Region will take place delayed in November.	P1 given in Ohangwena-Oshikoto Region
Members of ROMT of 3 regions have participated in P2 training and are able to prepare operational plans with external support.	P2 training of ROMT carried out in Hardap, Khorixas and Opuwo. PA and RA for the regions provide support in further planning, implementation of the prepared plans and in their monitoring.		P2 completed in Omusati-Oshana, Erongo and Ohangwena-Oshikoto  P2 follow-up training in Opuwo

<b>DRWS' Key Result Area: KEY PLAYERS</b>			
<b>Planned for this Quarter</b>	<b>Achieved during this Quarter</b>	<b>Deviations, Reasons &amp; Influences</b>	<b>Planned for next Quarter</b>
<i>DRWS' Key result objective: Effective Relationship for Communication Built Up</i>			
<i>MIS Component Result Indicator e) Communication procedures put into effect</i>			
Nothing planned for this quarter			
<i>HRM Component Result Indicator a) Core process of HR services implemented within the HRD&amp;T – and head of the HRD&amp;T effectively facilitating and supplying HR services</i>			
1.3 Interpersonal training needs addressed during HOMT and ROMT training programmes	Done, see DRWS Key Result HRD Objective 2.		Training courses implemented according to the training plan.
1.4 Managers and supervisors supported by means of on the job coaching (ongoing quarters 2 – 4)	Done		





*Annex 12*  
*SWOL analysis by key results*



## SWOL ANALYSIS

### Symbols:

- = card presented
- = grouping names

### 1. KEY RESULTS: MIS

STRENGTHS	WEAKNESSES
<ul style="list-style-type: none"> <li>• Integrated</li> <li>• Systematic</li> <li>• Start up of setting up a system which did not exist before</li> <li>• Somewhat decentralised data base system</li> <li>• Comprehensive data base system</li> <li>• Easy access to mechanical info</li> <li>• Most expensive hardware is available</li> <li>• Some backstopping is available</li> <li>• System available in all regions</li> <li>• Established system</li> <li>• Training of personnel in MIS</li> <li>➤ Existence of the data base</li> <li>➤ Process side is good</li> <li>➤ Orientation in MIS to personnel</li> <li>➤ Basic investment has been made</li> </ul>	<ul style="list-style-type: none"> <li>• Not user friendly (not developed with users)</li> <li>• Data not gender disaggregated</li> <li>• Not all regional advisors able to assist the regions</li> <li>• Staff in the region do not trust the system</li> <li>• Basic links/equipment not available: network is not existing in the office or between regions</li> <li>• Top staff do not use it</li> <li>• System still has flaws – not final</li> <li>• Not user friendly – not developed with users</li> <li>• Data not gender dis-aggregated</li> <li>• Staff training path too slow</li> <li>• Reliability</li> <li>• Lack of trust</li> <li>• System not used in an optimal way</li> <li>• TA-team driven</li> <li>• Link RO-HQ missing: no network</li> <li>• Not well understood</li> <li>• Info output inadequate</li> <li>• Benefits not seen by RWCOs</li> <li>• Tools are too detailed (job cards etc.)</li> <li>• Data base is too big</li> <li>• Validity of data</li> <li>• Collection of data inappropriate</li> <li>• Ties too many human resources</li> <li>➤ Capacity and ownership at regional level</li> <li>➤ System not yet mature</li> <li>➤ Absence of network</li> <li>➤ Use of the system not optimal</li> <li>➤ Data quantitative, not qualitative</li> <li>➤ Collection complicated</li> <li>➤ Costly in terms of human and financial resources</li> </ul>

OPPORTUNITIES	LIMITATIONS
<ul style="list-style-type: none"> <li>● Use the system also at the national level and cross-sectorally</li> <li>● Control/verify data quality</li> <li>● Create network</li> <li>● Use for checks and balances</li> <li>● Use the data to show progress for motivation and visible proof of results</li> <li>● User needs assessment: support implementation of CBM</li> <li>● Review of RUWIS introduced should be participatory: involvement of all stakeholders</li> <li>● Training linked with needs and capacity</li> <li>● More training at reg. Level on purpose and benefits</li> <li>● Availability of TA (<i>backstopping</i>)</li> <li>● Establish trust in the system</li> <li>● Create a useful data system</li> <li>● Link data with use</li> <li>● System refining (simplification)</li> <li>● Simplify system and collection</li> <li>➤ Develop network: use and help desk</li> <li>➤ Data quality improvement</li> <li>➤ System improvement: use, simplification, technical reliability, safeguarding</li> <li>➤ Review</li> <li>➤ Training on the purpose and benefits</li> </ul>	<ul style="list-style-type: none"> <li>● Adequate skills to coordinate the whole revision and implementation of system</li> <li>● Technical support staff, internal + external, few experts</li> <li>● Inability of TA persons to transfer know-how</li> <li>● No understudy (counterparts) to critical positions</li> <li>● Government restrict network building</li> <li>● Too much data continues to confuse/frighten users</li> <li>● Staff impatient to allow normal development curve to be completed</li> <li>● Resistance to change</li> <li>● Limited extension resources for data collection</li> <li>● Staff turn over</li> <li>● Staff lack understanding of technology</li> <li>➤ Staff capacity</li> <li>➤ Government regulations: enabling environment</li> <li>➤ Resources particularly at regional level</li> <li>➤ Computer culture</li> </ul>

## 2. KEY RESULTS: PLANNING

STRENGTHS	WEAKNESSES
<ul style="list-style-type: none"> <li>• Expertise to do planning is available</li> <li>• Basic skills and knowledge in regions</li> <li>• Start up of decentralized planning</li> <li>• Detailed overall plans and targets</li> <li>• Training available</li> <li>• Annual strategic plans in place</li> <li>• Some consultations with stakeholders</li> <li>• Improvement in operational planning at field level</li> <li>• Staff trained on relevant managerial practices/skills</li> <li>• Plans adapted to budget frame and revised after budget allocation</li> <li>• Proper system developed and introduced</li> <li>• Voice of regions listened</li> <li>• Considering environment and history a lot is done</li> <li>➤ Plan in place</li> <li>➤ Expertise</li> <li>➤ Staff trained</li> <li>➤ Training</li> <li>➤ Capacity at regional level</li> <li>➤ Start of consultations</li> </ul>	<ul style="list-style-type: none"> <li>• Targets set are top down</li> <li>• Communities have no role in planning; Ros participation limited</li> <li>• Planning in logistics, not in substance</li> <li>• Communities do not participate</li> <li>• Done very quickly and not streamlined with other trainings</li> <li>• Planning done for regions and not taught how to plan</li> <li>• No follow up in planning training</li> <li>• Coordination with NGOs lacking</li> <li>• Link with national changes/set standards</li> <li>• Get info to adapt plans, reviews, org, audit</li> <li>• No synchronized planning for DRWS (including CWMSP)</li> <li>➤ Planning not participatory enough: communities; regions; stakeholders</li> <li>➤ Integration of all information in planning</li> <li>➤ Coordination</li> <li>➤ Logistics vs. substance</li> <li>➤ Coordination and follow-up</li> <li>➤ Planning process</li> </ul>
OPPORTUNITIES	LIMITATIONS
<ul style="list-style-type: none"> <li>•</li> <li>•</li> <li>• Involve national and other players</li> <li>• RAs to support decentralized planning and adaptation of CBM to different situations</li> <li>• Set realistic targets</li> <li>• Bottom-up, holistic planning: strategy development</li> <li>• Creation of planning working group (proposal)</li> <li>• Linkage of monitoring and planning improve reporting</li> <li>• Improve communication /consultation with all stakeholders</li> <li>• Participatory planning</li> <li>• Directorate staff can start planning properly</li> </ul>	<ul style="list-style-type: none"> <li>• Decentralization under RC</li> <li>• DRWS as project team under new institutional arrangements</li> <li>• Insufficient information during planning process</li> <li>• Reality concerns that influence planning needs</li> <li>• Different agendas by role players</li> <li>• Resources to do proper training not always available</li> <li>• Many staff members see planning as a burden</li> <li>• Abrupt changes in organization</li> <li>• Sudden change in policy roles and responsibilities</li> <li>• Lack of coordination with other sectoral ministries and NGOs</li> <li>• Extension resources (hr, fin) for community planning</li> </ul>

<ul style="list-style-type: none"> <li>● Long-term planning can be done (holistic)</li> <li>● Plan based on demand of users</li> <li>● Set realistic targets</li> <li>➤ Demand based participatory planning</li> <li>➤ Holistic and sustainable planning</li> <li>➤ TA to be adapted to situation</li> <li>➤ Implement what you have learned</li> <li>➤ Methodology planning</li> <li>➤ Targets</li> </ul>	<ul style="list-style-type: none"> <li>➤ Institutional environment</li> <li>➤ Attitude</li> <li>➤ Cross-sectoral coordination</li> <li>➤ Information</li> <li>➤ Participatory planning at community level not easy</li> <li>➤ Link planning to reality</li> <li>➤ Hidden agenda</li> </ul>
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### 3. KEY RESULTS: CBM

STRENGTHS	WEAKNESSES
<ul style="list-style-type: none"> <li>• Theoretical skeleton used to prepare practical guides</li> <li>• Groundwork is done: process has started</li> <li>• CBM is a national policy: official support available</li> <li>• WPCs established</li> <li>• Communities mobilized</li> <li>• Management capacity building started to implement CBM</li> <li>• Community as focus for the Directorate and project</li> <li>• Legal framework for handing over water points being prepared</li> <li>• Technical service to communities improved</li> <li>➤ Existing framework but ...</li> <li>➤ Process has started</li> <li>➤ Support existing but ...</li> <li>➤ Legislation in place</li> <li>➤ Tangible results available</li> </ul>	<ul style="list-style-type: none"> <li>• Extension system: capacity and understanding not sufficient</li> <li>• Ambitious targets</li> <li>• Commitment of staff: implications of “good work”</li> <li>• CBM not supported by RUWIS, Planning and other trainings</li> <li>• Uncertainty of where this all is leading to</li> <li>• Cost-recovery, subsidies etc. not clear – confusion at the community</li> <li>• Unclear role of the Namwater in CBM</li> <li>• Gaps in the CBM concepts</li> <li>• Not all staff sensitized on CBM</li> <li>• Communities want water not promises</li> <li>• Approach too top down – community not in the center</li> <li>• Practical guides are not adapted to multitude of circumstances/envir. Conditions</li> <li>• Too slow</li> <li>• Not accepted by some communities</li> <li>• Resources not sufficient to achieve set targets</li> <li>• Role and responsibilities of various levels not clear</li> <li>• Detailed implementation strategy missing</li> <li>➤ Staff</li> <li>➤ Concept and approach</li> <li>➤ Tools for the implementation not sufficient</li> <li>➤ Resistance for change</li> <li>➤ Training and sensitization of staff insufficient</li> <li>➤ Targets and pace do not match</li> </ul>
OPPORTUNITIES	LIMITATIONS
<ul style="list-style-type: none"> <li>• Integrate CBM in all trainings</li> <li>• Consolidate conceptual framework with: studies on cost-recovery, maintenance system</li> <li>• Review targets</li> <li>• Improving from model communities</li> </ul>	<ul style="list-style-type: none"> <li>• Limited extension resources</li> <li>• Attitudes at community level</li> <li>• Coordination and info flow between community, RO and HO</li> <li>• Compatibility of CBM training with vocational training, fast-track and</li> </ul>

<ul style="list-style-type: none"> <li>● Integration and coordination: RC, NWSMR</li> <li>● Change management of staff</li> <li>● Sensitize staff to social and cultural differences</li> <li>● Speed up the conditions</li> <li>● Sensitize staff regarding CBM and their future position</li> <li>● Combine land and water CBM</li> <li>● Consolidate <ul style="list-style-type: none"> <li>➤ Training and sensitization</li> <li>➤ Legal and administrative procedures</li> <li>➤ Consolidation of the concept</li> <li>➤ Institutional linkages</li> <li>➤ Use of established structures for community development</li> </ul> </li> </ul>	<p>competency standards</p> <ul style="list-style-type: none"> <li>● Willingness to integrate CBM in all trainings</li> <li>● Lack of CBM human resources</li> <li>● Land disputes</li> <li>● Traditional leaders and conflict with regional leaders</li> <li>● Fear for failure (decentralization, demand from communities)</li> <li>● Regional draught effect</li> <li>● Appropriate TORs and resources for attitudinal studies</li> <li>● Capacity and skills to consolidate the framework</li> <li>● Cooperation of NWMRT</li> <li>● Coordination and info flow between community, RO and HO</li> <li>● Attitudes at the community level</li> <li>● Limited extension resources</li> <li>● Staff attitude towards CBM</li> <li>● Uncertainty of position of unqualified RWEOs</li> <li>● National political changes change all</li> <li>● Communities learn, change, act slow</li> <li>● Time to implement too short: also Phase II too short to accomplish results <ul style="list-style-type: none"> <li>➤ Compatibility with policies (decentralization)*</li> <li>➤ Compatibility of standards*</li> <li>➤ Staff attitude</li> <li>➤ Community attitude</li> <li>➤ Skills and resources to go on with the conceptual framework</li> <li>➤ External factors</li> <li>➤ Staff vs. CBM</li> </ul> </li> </ul>
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#### 4. KEY RESULTS: HRD&T

STRENGTHS	WEAKNESSES
<ul style="list-style-type: none"> <li>• Training material developed</li> <li>• Trainers positive</li> <li>• Training has touched all levels&gt;tangible results</li> <li>• Strong input/volume</li> <li>• Swakop process</li> <li>• Super management courses for senior staff conducted</li> <li>• RWEOs trained T1-T4</li> <li>• Vacancies have been filled</li> <li>• Training in communities</li> <li>• Skills transfer</li> <li>• Quality of extension workers</li> <li>➤ Materials available but...</li> <li>➤ Training in process</li> <li>➤ Quality of trainers</li> </ul>	<ul style="list-style-type: none"> <li>• One-off events</li> <li>• Courses need touch with reality</li> <li>• Capacity/time for follow-up after training</li> <li>• No impact assessment</li> <li>• TA also in learning process</li> <li>• Materials, manuals too complicated/no proper need assessment</li> <li>• Availability of materials: training not often available on site</li> <li>• Training methodology should include both process and content</li> <li>• Some training courses not job related</li> <li>• Training section not catering for maintenance staff training</li> <li>• Poor management of human resources</li> <li>• Role plays/facilitation skills inadequate</li> <li>• WPC training: not capacity to complete on time</li> <li>• Limited spin-off effect due to HR missing in Ros</li> <li>• Long-term planning and synergy</li> <li>• RWEOs used as trainers: capacity and out of extension work</li> <li>• Training material blueprint: no flexibility</li> <li>• Training materials not adapted to different situations</li> <li>• No impact assessment</li> <li>• Logistics can improve training</li> <li>• Training assistance difficult to reach</li> <li>➤ Strategy of planning</li> <li>➤ Course content</li> <li>➤ Training methodology</li> <li>➤ Capacity of trainers</li> <li>➤ Approach to training</li> <li>➤ Logistics</li> <li>➤ HRM</li> <li>➤ TA...so so</li> <li>➤ Not everybody is trained</li> </ul>
OPPORTUNITIES	LIMITATIONS
<ul style="list-style-type: none"> <li>• Review strategy and planning</li> </ul>	<ul style="list-style-type: none"> <li>• Lack of assigned full time HRD</li> </ul>

<ul style="list-style-type: none"> <li>● Career development path</li> <li>● Community entrepreneurship with CBM</li> <li>● Decentralization may lead to a better HRM/HRA system</li> <li>● Adapt courses to meet requirements</li> <li>● Recruit more trainers</li> <li>● Appointment of a qualified HRM manager with specific and accepted TORs</li> <li>● Experience and external expertise available to work on weaknesses</li> <li>● Money is available</li> <li>● Consolidation of training materials and approach towards participatory with regional partners</li> <li>● Transfer of skills to HRD&amp;T sub-div. and a group of counterparts</li> <li>● Improve methods: series of training with intervals</li> <li>● Coach mechanical team on CBM</li> <li>➤ Consolidation of sub-division</li> <li>➤ Consolidate strategy</li> <li>➤ Financial resources available</li> <li>➤ Specific training</li> <li>➤ Course material and methodology</li> </ul>	<ul style="list-style-type: none"> <li>resources/specialist</li> <li>● GRN not a career oriented organization</li> <li>● Requires a lot of time: what to do meanwhile</li> <li>● Money in wrong account</li> <li>● HRM structures</li> <li>● Quality/attitude of staff</li> <li>● Willingness by director to appoint HRM manager</li> <li>● Attitude: training is holiday</li> <li>● Attitude: training is HRD</li> <li>● Time and skills required for adaptation of course material/methodology</li> <li>● Compatibility with competency, fast-track, NRWR and NQA*</li> <li>● Capacity of HRD&amp;T</li> <li>● HRD strategy developed by NWSMR for water sector*</li> <li>● Suitable trainers not available</li> <li>● Time: prospective trainees not available</li> <li>➤ Preconditions: basic requirement</li> <li>➤ Availability of expertise at top level</li> <li>➤ Time constraint</li> <li>➤ Govt. structure constraint</li> <li>➤ Perception of training/HRD</li> <li>➤ Planning</li> </ul>
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## 5. KEY RESULTS: FINANCES

STRENGTHS	WEAKNESSES
<ul style="list-style-type: none"> <li>• Systems are in place to control finance</li> <li>• We survive</li> <li>• Ministerial support for CBM funding</li> <li>• Good control of project money</li> <li>• Donors demand for responsible spending</li> <li>• Willingness of donors</li> <li>• Community and staff informed – no free meal: free labor and time</li> <li>➤ General financial control</li> <li>➤ Control of the project funding</li> <li>➤ Positive and constructive attitude (donors)</li> <li>➤ Political support</li> <li>➤ Activities are on-going</li> <li>➤ Financial contribution from communities</li> </ul>	<ul style="list-style-type: none"> <li>• Planning not linked to budget</li> <li>• Gov. as partner has limitation</li> <li>• Perception of unequal spending by regions</li> <li>• Cost recovery policies/procedures unclear</li> <li>• Limited/inadequate funding for rehabilitation of wp</li> <li>• Money available but not accessible</li> <li>• Finance allocations irregular and can be cut anytime</li> <li>• Misuse of funds possible</li> <li>➤ No financial indicator for planning exercise</li> <li>➤ Difficult access to finance</li> <li>➤ Limitations of Govt.</li> <li>➤ Perception of biases</li> <li>➤ Financial management policy weak</li> <li>➤ Support to financial management: CBM/technical</li> <li>➤ Misuse</li> </ul>
OPPORTUNITIES	LIMITATIONS
<ul style="list-style-type: none"> <li>• Consider future/national changes</li> <li>• Regions to have more control over own budget</li> <li>• Introduce proper budgeting procedures</li> <li>• Improve TA support to overall financial management</li> <li>• Cabinet submission on CBM funding and implementation review</li> <li>• Increase knowledge (community, staff)</li> <li>• Change way of thinking (finances)</li> <li>➤ Adapt to change</li> <li>➤ RO financial management</li> <li>➤ High level financial commitment</li> <li>➤ Budget procedures linked to reality</li> <li>➤ Clarify financial issue at all levels</li> </ul>	<ul style="list-style-type: none"> <li>• Funds not controlled effectively</li> <li>• Inadequate budget funding (volume/time)</li> <li>• Cabinet decisions/NPC approval for required funding</li> <li>• National change in perception takes time</li> <li>• National changes: reallocation of funds</li> <li>• Other bodies eg. NWRMR may expect support</li> <li>• Contractors are expensive: not sustainable on a long-term</li> <li>➤ Control</li> <li>➤ Costs</li> <li>➤ External influences</li> <li>➤ Conflicting interests</li> <li>➤ Budget allocation</li> <li>➤ Takes time</li> </ul>

## 6. PROJECT PROFILE

STRENGTHS	WEAKNESSES
<ul style="list-style-type: none"> <li>• Integrated in DRWS but...</li> <li>• At national level infrastructure available</li> <li>• Additional source of funding for directorate</li> <li>• Overall presentation of project; clear logical framework</li> <li>• Indicators in the new work plan improved</li> <li>• Good performance assessment done</li> <li>➤ Technical assistance</li> <li>➤ Profile clear</li> <li>➤ Management of the project but ...</li> <li>➤ Resources</li> <li>➤ Common information at all levels on CBM</li> </ul>	<ul style="list-style-type: none"> <li>• Monitoring system is lacking at the regional level particularly: training follow-up etc.</li> <li>• Advisors spend too little time in the Regions</li> <li>• Project documents not reaching regions regularly</li> <li>• Integration in planning, reporting inadequate</li> <li>• Objective and strategies: time frame over ambitious</li> <li>• HQ centered because of present HR structure</li> <li>• Project is supporting the structure which is going to change</li> <li>• Remote from communities</li> <li>• Is focus on community, CBM or CBP?</li> <li>• Link between purpose/activities and overall objective not always clear</li> <li>• Coordination of team could be improved</li> <li>• Sustainability: few Namibians on the management of the project to take over</li> <li>• Not proactive: involved of/by NWRMR</li> <li>• Is this a highly paid holiday for some members?</li> <li>➤ TA</li> <li>➤ Need to focus</li> <li>➤ Monitoring and follow-up</li> <li>➤ Awareness of external factors</li> <li>➤ Targets</li> <li>➤ Focus of support: changing environment</li> </ul>
OPPORTUNITIES	LIMITATIONS
<ul style="list-style-type: none"> <li>• Better long-term planning (sustainability) with current info</li> <li>• Learn from foreign experience and knowledge (Directorate)</li> <li>• More in depth information to community</li> <li>• Build positive relationship with</li> </ul>	<ul style="list-style-type: none"> <li>• Government structures: long time to adapt</li> <li>• Fears of staff (job security)</li> <li>• How to direct TA support to regions?</li> <li>• Time frame to change: Now or Phase III, will this be accepted by partners</li> <li>• Planning for Phase III depends</li> </ul>

<p><b>NWRMR</b></p> <ul style="list-style-type: none"> <li>● Prepare for <b>organizational change</b></li> <li>● Consider Namibians as TA</li> <li>● Consolidate into a strong team</li> <li>● Review targets and time span</li> <li>● Clarify future structure and role of DRWS</li> <li>● <b>Improve focus of activities on overall objective</b></li> <li>● Review of objectives/results in line with MTR</li> <li>● Recruit a professional TA; HR manager</li> <li>● Need for direct support on community activities/project</li> <li>➤ Adapt to changes</li> <li>➤ Communication with other players: NWSRMR, Namwater</li> <li>➤ Focus</li> <li>➤ Technical Advise: outside and inside</li> <li>➤ More info on future implications</li> <li>➤ Review/Monitor</li> </ul>	<p><b>strongly on policy set up by NWRHR</b></p> <ul style="list-style-type: none"> <li>● Commitment from GRF/N to continue</li> <li>● Resistance to change</li> <li>➤ Government</li> <li>➤ Resistance to change</li> <li>➤ Commitment</li> <li>➤ Uncertainty of employment</li> <li>➤ Geographical and strategic constraints</li> <li>➤ Phase III? *</li> </ul>
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