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REPUBLIC OF ZAMBIA

NORTH WESTERN PROVINCE

D-WASHE SUPPORT PROGRAMME

PROJECT PROPOSAL

APRIL 2000 - DECEMBER 2002

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D-WASHE SUPPORT PROGRAMME

NORTH WESTERN PROVINCE, ZAMBIA

APRIL 2000 - DECEMBER 2002

Project Proposal:

**Follow-up to
Rural Water for Health Project Phase III**

September 1999

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LIST OF ABBREVIATIONS

CBO	Community Based Organisation
CU	Commercial Water Supply and Sanitation Utility
CMMU	Community Management and Monitoring Unit
DCP	Drought Contingency Project
DPSP	District Planning Support Programme
DWA	Department of Water Affairs
D-WASHE	District Water Sanitation and Health Education
GRZ	Government of the Republic of Zambia
GTZ	German Technical Co-operation
MPU	Microprojects Unit
NGO	Non-Governmental Organisation
NWASCO	National Water Supply and Sanitation Council
N-WASHE	National Water Sanitation and Health Education Training Unit
RWHP	Rural Water for Health Project
RWSS	Rural Water Supply and Sanitation
SNV	Netherlands Development Organisation
VWS	Village Water Supply Project

PROJECT SUMMARY

The RWHP is scheduled to be completed at the end of 1999 and is considered to be in a "Phasing-out" period. The RWHP was planned at a time preceding the establishment of national policies by the Zambian Government on reform of the water supply and sanitation sector which include devolution of responsibility for the provision of these services to local authorities, and the participation of communities in the planning and management of rural water supply and sanitation (RWSS) services. The principle mechanism for this participation is through District WASHE Committees and through health and hygiene education at community level. The RWHP is contributing, during its Phasing-out period, to both these mechanisms, but the work needs to be continued.

The proposed Project supports the capacity building of the D-WASHE Committees and of the Extension Workers of line ministries in promoting community participation and management within the new institutional framework for the water supply and sanitation sector. The Project also builds on the work of the RWHP and the German supported Village Water Supply Project in the Province and complements the German support to the establishment of a Commercial Utility for the urban and peri-urban areas of the Province, including the hand-over of residual assets of RWHP to the Utility for on-going user support. Limited continuation of the construction activities of the RWHP is proposed until the establishment of the Commercial Utility. The Project also compliments the District Planning Support Programme currently being considered for Netherlands support.

The results to be achieved by the Project are:

- ⇒ D-WASHE Committees are capable of planning, co-ordinating, fund raising for, and monitoring the implementation of activities to improve facilities in their areas.
- ⇒ Understanding and practice of health and hygiene issues related to water supply and sanitation is enhanced in selected areas.
- ⇒ Communities and institutions operate and maintain their water supply and sanitation facilities on selected areas on a sustainable basis.
- ⇒ Operation and maintenance capability to support communities and institutions is established in the Province.
- ⇒ Water supply and sanitation facilities are improved in selected areas in line with D-WASHE plans.

The success of the Project depends principally on the commitment of District Councils and line ministries at the district level to support the activities of the D-WASHE Committees, including community education and training.

The proposed Project is for a period of thirty-three months following the end of the RWHP (i.e. April 2000 – December 2002), with construction activities being supported up to the end of 2000. Annual reviews will be conducted to assess progress and the level of commitment of the District Councils and line ministries. The support to be provided by the Netherlands comprises contributions to the personnel costs of seconded local advisors, part operational financing for D-WASHE Committees and support to capacity building measures. Construction costs will be supported till December 2000 under an extension to the phasing-out period of the RWHP.

Contribution from GRZ	Dfl	213,140
Technical Assistance by SNV	Dfl	515,000
Contribution from DGIS	Dfl	1,401,900
Total Project Cost	Dfl	2,130,040

1 INTRODUCTION

1.1 History of Rural Water and Sanitation Projects in the Province

Support to the development of rural water supplies in North Western Province has been provided by two governments to the Department of Water Affairs (DWA) for a number of years.

In the northern districts of Solwezi, Kasempa and Mwinilunga, the Netherlands Government, through the Netherlands Development Organisation (SNV) has been constructing shallow hand-dug wells since 1985. The three year Drought Contingency Project was followed by the Rural Water for Health Project (RWHP), currently in its third phase, and which is due for completion in December 1999.

In the southern districts of Kabompo, Mfumbwe and Zambezi, the German Government, through German Technical Co-operation (GTZ) has also been constructing shallow hand-dug wells since 1980. Initially as part of an Integrated Rural Development Project and latterly as a separate Village Water Supply Project, this support ended in December 1997.

Over the periods of these rural water Projects in the Province up to date, a total of around 565 hand dug wells have been either rehabilitated or constructed and a further 50 locations have either been deepened or traditional sources improved with assistance from SNV, and approximately 300 hand dug wells have been rehabilitated or deepened with assistance from GTZ. Both Projects have also included a major element of community participation in the physical activities as well as education of the community in operation and maintenance and health and hygiene practices. Neither Project has contained a specific element for sanitation improvement.

1.2 Expected Situation by end of 1999

The Village Water Supply Project closed at the end of 1997 and all Project assets were handed over to either the DWA, or to the District Councils. To the extent that central government funds are available, construction activities are being continued by the DWA.

The RWHP Phase III is scheduled to be completed at the end of 1999 and the Project is considered to be in a "Phasing-out" period. In addition to the planned construction/rehabilitation of approximately 60 further hand-dug and augured wells, and in line with an increasing emphasis on the mobilisation of communities for ownership, maintenance and community management, the Project has adopted three "Phasing-out" strategies, namely:

- ⇒ increased contributions from communities to match up with the requirements of other possible funding organisations such as Microprojects Unit (MPU), and to reduce "donor dependency",
- ⇒ increased involvement of district staff from line ministries, particularly extension workers, and support to the establishment of District Water Sanitation and Health Education Committees (D-WASHEs), and
- ⇒ emphasis on the maintenance of existing wells by communities, and the improvement of traditional sources.

Additionally, the Project is considering options for the hand over of present assets, such as the mechanical workshop, fabrication facilities, print shop, etc., for the continued benefit of the rural communities.

1.3 Lessons Learned

While both Projects have been successful in providing increased access to water supplies to rural communities, both have suffered from being seen as project led rather than driven by the needs and demands of the communities themselves. In turn, this has led to doubts about the sustainability of the interventions in the absence of full acceptance of ownership and management by the communities, and the lack of a clear method for providing maintenance and spare parts support to user groups.

Furthermore, because of the absence of a district led coherent planning process within the guidelines of the D-WASHE strategy, priorities for physical works were determined by community responsiveness to approaches by the Projects, rather than being initiated by community needs, i.e. supply driven rather than demand driven. This again reduces the "ownership" and acceptance of responsibility by communities.

The Projects themselves cannot be criticised for these deficiencies because they have been operating in an institutional environment which resulted in fragmentation of responsibilities for rural water supply and sanitation amongst the central and local government bodies. Only since 1993 has the Government of the Republic of Zambia (GRZ) started to set out policies and strategies for the management and operation of the water supply and sanitation sector, and effective implementation of these policies and strategies has only commenced within the past year. The sector is still in a process of transition.

Future projects in the rural water supply and sanitation will operate within the new institutional framework and within the GRZ sector policies and strategies. These are focused on increasing community participation and ownership of their own facilities, which is the direction that the RWHP has been moving towards.

Future projects should not be seen as being project led, either by the partner organisations or by the ultimate beneficiaries. The emphasis should be on developing the capacity of local organisations and communities to determine investment priorities, monitor the provision of new facilities, and operate and maintain them, and thereby enhance the prospects of long term sustainability.

2 WATER SUPPLY AND SANITATION SECTOR

2.1 Sector Policy and Strategy

Parallel to the general economic decline in Zambia over the past three decades, the water supply and sanitation infrastructure in the country has worsened to the extent that current facilities are increasingly inadequate in meeting the demands of the population. This has been matched by the institutions responsible for providing these services being incapable of providing an acceptable level of even basic services. In the rural areas of the country the lack of adequate and safe water supply and sanitation services is a factor in the incidences of water borne diseases and the difficulties in times of drought.

Some of the problems facing the sector in the past and thereby contributing to the core problem are:

- ⇒ There is a range of central, provincial and local government organisations, and non-governmental organisations, involved in the provision of water supply and sanitation services resulting in potential for overlaps, conflicts, duplication and omission; a lack of standardisation of technology; and a lack of attention to consumers' needs, particularly in rural areas.
- ⇒ The organisations receive insufficient revenues and funds from central government to provide, operate and maintain facilities. The lack of sufficient funds to sustain the infrastructure places new investments in the sector, mainly financed by external agencies, at risk.
- ⇒ There is no effective mechanism for determining investment requirements and priorities, particularly taking into account the aspirations of consumers and their willingness and ability to contribute to the costs of operation and maintenance. In urban areas this is primarily through payment of water charges, but in rural areas can be a combination of "cash and kind".

To address these issues, the Government of the Republic of Zambia recognised the need to reform and restructure the water sector and, in 1993, laid down seven principles as the basis for the needed reform. These are:

- ⇒ separation of water resources management from water supply and sanitation,
- ⇒ separation of regulatory and executive functions,
- ⇒ devolution of responsibility to local authorities and the private sector,
- ⇒ full costs recovery through consumer charges in the long run,
- ⇒ improved human resource development leading to more effective institutions,
- ⇒ increased use of appropriate technology, and
- ⇒ increased priority to GRZ spending in the sector.

In November 1994 the Zambian Government approved a "National Water Policy" with the overall policy objective stated as being:

"promoting a sustainable water resources development with a view to facilitate an equitable provision of an adequate quantity and quality of water to all competing groups of user at acceptable costs and ensuring security of supply under varying conditions."

Relevant to the rural situation, the policy sets out the overall national goal as being

"universal access to safe, adequate and reliable water supply and sanitation service"

The policies and strategies which are aimed at achieving this goal are:

- ⇒ ensuring that rural water supply and sanitation programmes are community based,
- ⇒ developing a well defined investment programme for sustainable rural water supply and sanitation,
- ⇒ promoting appropriate technology and research activities in rural water supply and sanitation,
- ⇒ developing an emergency and contingency plan to mitigate impacts of drought and floods in rural areas,
- ⇒ developing a cost recovery approach as an integral part of rural water supply and sanitation which will ensure sustainability, and
- ⇒ development and implementation of a well articulated training programme.

In January 1995, the Zambian Government approved a strategy for implementing reform in accordance with these principles, which was enshrined in law in November 1997 under *The Water Supply and Sanitation Act, No 28 of 1997*. This places responsibility for water supply and sanitation in the hands of local authorities, and encourages these authorities to combine together to form "commercial utilities" in order to better provide the services, or to engage agents or contractors to provide these services on their behalf. The Act also provides for the establishment of a regulatory body in order to improve efficiency and provide protection for consumers. Whilst this legislation is primarily focused on the urban situation, placing responsibility for these services in the hands of local authorities applies equally to rural water supply and sanitation.

Parallel to these changes, in May 1996, the Zambian Government announced the adoption of the WASHE concept (Water, Sanitation and Health Education) as a national strategy for the improvement of these services in rural areas. This strategy addresses the lack of attention to consumers' needs in rural areas through the involvement of the rural population in:

- ⇒ assessing priorities,
- ⇒ determining affordable and sustainable technology,
- ⇒ contributing to management, operation and maintenance, and
- ⇒ improving the health and hygiene practices in rural communities.

The strategy is to be implemented through district level committees (D-WASHEs) for which the membership is recommended to be drawn from the District Council, district level staff of line ministries working with communities, NGOs active in the sector in the district, and at least three women representatives. These committees would act as sub-committees of the District Development Co-ordinating Committees, which are part of the formal district level planning process.

Communities would then be encouraged to establish lower level WASHE committees to ensure that their views are reflected at the district level.

Finally, in September 1998, the National Environmental Sanitation Strategy for Rural and Peri-Urban Areas in Zambia was launched. This strategy was based on a number of principles in addition to those set out in the National Water Policy above, including *inter alia*:

- ⇒ sanitation is critical to good health and therefore it should be recognised as an equal partner to water supply,
- ⇒ behavioural change should be given greater prominence than provision of facilities,
- ⇒ integrated institutional approaches operate at all levels in behavioural change, led by one institution,
- ⇒ implementation will be demand responsive and community / user based,
- ⇒ level of need and demand will influence level and type of interventions,
- ⇒ management and decision making will be devolved to the lowest possible level, using, where practicable, existing structures rather than creating new ones,
- ⇒ strategies will employ gender balanced approaches to meet objectives,
- ⇒ the formal and informal commercial sectors will be encouraged in promotion and implementation, and
- ⇒ interventions will be sustainable for communities / users and will not impose a negative impact on the environment.

The proposed Project has been developed against the background of these policies and strategies, and takes into account the fact that sector is in a period of transition whereby many of the institutional changes have not yet been fully implemented. For example, responsibility for urban water supply and sanitation has been transferred to local authorities. However, in the case of rural water supply, transfer of responsibility has not been implemented and the Department of Water Affairs still plays a major role in the development of rural water sources. Also, because the policies and strategies have yet to be implemented, there are no models on which the Project can be based.

2.2 Institutional Framework

As a result of the transition referred to above, the institutional framework for rural water supply is complex. Figure 1 overleaf endeavours to set out the organisations involved in rural water supply and sanitation in North Western Province, and their inter-relationships. Figure 2 sets out the routes by which financial resources are channelled to rural water supply and sanitation measures. Both these figures are further described below.

2.2.1 Reporting Structures

District Councils are at the centre of decentralised government responsibility for the provision of services to the population in their areas. By virtue of *The Water Supply and Sanitation Act, No. 28 of 1997*, this includes water supply and sanitation.

District Development Co-ordinating Committees are established by each Council under *Cabinet Office Circular No. 1 of 1995* with the responsibility of preparing development plans for each district. The functions of the DDCC are to:

- ⇒ provide a forum for dialogue on development issues between the District Council, line departments of ministries, non-governmental organisation and co-operating partners in the district,
- ⇒ co-ordinate the provision of technical assistance, external finance and national support to the district,
- ⇒ co-ordinate implementation schedules for district plans, and
- ⇒ consolidate district plans for consideration and adoption by the District Council.

This Committee is chaired by the Council Secretary and operates through a number of sub-committees.

The **Provincial Development Co-ordinating Committee** has the function of co-ordinating development planning in such a way that locally determined priorities are fully incorporated into provincial development plans and policies. Each Council Secretary in the Province sits on the PDCC, which is chaired by the Provincial Permanent Secretary.

The **National Development Co-ordinating Committee** has the function of providing a forum for consultations between provinces and development oriented ministries on development issues. Each Provincial Permanent Secretary represents their Province.

The **D-WASHE Committee** is a sub-committee of the DDCC and, according to the national guidelines, should have representation from district level staff from the:

- ⇒ District Council,
- ⇒ Department of Water Affairs,
- ⇒ Ministry of Health,
- ⇒ Ministry of Education,
- ⇒ Ministry of Agriculture,
- ⇒ Ministry of Community Development and Social Welfare, and
- ⇒ non-governmental organisations.

Additionally, there should be three women representatives.

Contact between the D-WASHE Committee, its members, and individual communities is through a number of routes:

- ⇒ Chiefs and Headmen,
- ⇒ formal and informal community groups, including sub-district D-WASHE committees,
- ⇒ extension workers of line ministries, and
- ⇒ non-governmental organisations.

From the district level there are currently two main routes of accountability upwards, through the provincial structure and through the line ministry structures.

The **Provincial Local Government Officer** is the provincial representative of the Ministry of Local Government and Housing, reporting administratively to the Provincial Permanent Secretary and technically to the Ministry. Although delegated powers from the Ministry to the provincial level are provided for in the relevant legislation, the necessary Statutory Instruments have yet to be issued.

The **Provincial Heads of Departments** of line ministries provide a link between the district level staff of these ministries and the parent ministry in Lusaka. However, in the case of ministries which have already been de-centralised, such as Health, Education and Agriculture, the district level staff report directly to their parent ministries either direct, or in the case of Health, through the Regional Office.

The role of the **Provincial Water Engineer** has changed following the transfer of responsibility for urban water supply in most of the towns in the province from DWA to the respective Councils. Although DWA is still involved in rural water resource management, most DWA district staff have been seconded to the respective District Councils. However technical support staff is still available at Provincial level for water resources development.

The Department of Infrastructure and Support Services has a specific responsibility for facilitating investment for the provision of District Council services, either from GRZ or external sources.

Finally, the future Commercial Utility is a water supply and sanitation company to be established by the Councils in the Province under *The Water Supply and Sanitation Act 1997* to provide services to the urban and peri-urban areas of the Province. This will be subject to licencing and regulation by the National Water Supply and Sanitation Council, to be formed under the same Act, to monitor services levels and protect consumers from over-charging. The District Councils have proposed that this CU will have a Department of Rural Support Services, operating outside the commercial provision of urban water supply and sanitation services, but providing user support to rural water supply and sanitation on a cost covering basis.

2.2.2 Financing Mechanisms

Financing for rural water supply and sanitation activities can reach the communities served through six main routes:

- ⇒ development of water supply sources through the Provincial Water Engineer from the budget of the Department of Water Affairs,
- ⇒ development of water supply and sanitation services through the funds of the District Councils, and grants through the Ministry of Housing and Local Government,
- ⇒ development of institutional water supply and sanitation services through the provincial representatives of the Ministries of Health and Education,
- ⇒ health and hygiene education services through the district budgets of the Ministries of Health, Education, Community Development and Social Welfare,
- ⇒ development of water supply and sanitation services, and health and hygiene education through co-operating partners and non-governmental organisations, and operation and maintenance of facilities by communities, and
- ⇒ through the facilities offered by the Microprojects Unit, a GRZ institution funded by a number of external agencies, established to provide financial support to community managed projects including water supply and sanitation.

This is the complex institutional and financing framework within which a future project would operate, and is further complicated by the fact that not all the institutions are yet in place or operating effectively, neither is there sufficient financing available through the GRZ budgets to effectively implement the necessary improvements. The implications for a future project are considered below.

2.3 Implications for the Project

In the past, many development projects in water supply and sanitation have been driven by financing agencies rather than by the communities / users. Both the recent rural Projects in North Western Province, the Netherlands supported Rural Water for Health Project and the German supported Village Water Supply Project, endeavoured to improve water supply sources based on the need expressed by individual communities, and their demonstrated commitment in the form of cash and kind. However, neither Project operated within the framework of coherent district level development plans. In part this is because the partner organisation was the Department of Water Affairs which has responsibility for developing rural water supplies, rather than the individual Councils. Also, none of the Councils had established D-WASHE Committees to co-ordinate district priorities until recently. Within the past year, D-WASHE committees

have been established in the six districts of the province with support from RWHP and the N-WASHE Training Unit.

The transitional situation with responsibility for rural water supply and sanitation likely to be transferred to the District Councils, the creation of D-WASHE Committees in each district in accordance with the national policy, and the future establishment of a commercial utility, means that a new project of support to rural water supply and sanitation must be formulated to both match the expected changes, but be flexible enough to accommodate delays in the transition process.

In line with the policies of increasing community and user participation in the decision making process, and the prospects of the long term sustainability of facilities through community based operation and maintenance, a future project should concentrate on developing the "software" side of community management and improved health and hygiene practices, rather than the "hardware" side of construction or rehabilitation. *(balance)*

As a result a future project should work within the district structures and at the community level, rather than the de-centralised arm of a central government ministry responsible for development of water resources. This should be done both through the extension services of line ministries at the community level, and through formal and informal intermediaries at these levels such as Chiefs and Village Headmen, Church Leaders, Neighbourhood Health Committees, and sub-district WASHE committees. *(*

A further implication for the Project, if it moves to this level, is to extend the Project area to the whole province, rather than the three districts currently supported by the RWHP. The rationale for this is three-fold:

- ⇒ D-WASHE Committees are being established in all the districts of the Province and, since the end of the GTZ supported Village Water Supply Project in December 1997, no assistance has been provided to the southern districts,
- ⇒ the German government is supporting the establishment of the Commercial Utility for the Province and rehabilitating urban and peri-urban water supply and sewerage facilities. This CU could provide user support across the Province, and
- ⇒ limiting a future project to the three northern districts would leave a gap in the provincial coverage of rural water supply and sanitation support.

Based on the above, the future Project has been formulated to:

- ⇒ provide capacity building support to the newly created D-WASHE Committees throughout the Province to enable them to carry out their planning and monitoring functions effectively,
 - ⇒ develop the capability and capacity of communities to provide input into the planning process and to operate and maintain their facilities on a sustainable basis,
 - ⇒ provide capacity building support to the extension workers of the various line ministries involved in water, sanitation, health and hygiene education at community level, and
 - ⇒ improve health and hygiene practices of communities and institutions relative to the use of water supply and sanitation facilities.
- diff. by R.P.*

To achieve this, within the institutional framework described above, the new Project contains two elements.

2.3.1 Capacity Building

The first and major element is a new "software" Project to support the capacity building of the D-WASHE Committees, capacity building of extension workers of line ministries, and the improvement of health and hygiene practices. The partners for this Project would be the District Councils throughout the Province, and the Project would be executed in close co-operation with, and in support of the D-WASHE Committees. As implementation of health and hygiene education is largely dependent on the extension workers of line ministries, participation of these ministries through their representation on the D-WASHE Committees by district level staff, and the allocation of recurrent budgets, is essential.

When the new Commercial Utility is established in the Province, the Project should have close link with the proposed Department of Rural Support Services. In future, as the District Councils are the owners of the CU, they could also consider this Department as a point of co-ordinating the "software" activities of the Project on their behalf.

This approach would require the commitment of all line ministries and the District Councils, which should be secured before any project commences.

2.3.2 Continued Support to the Phasing-out of RWHP III

The Project has also been formulated to provide an extension to the phasing-out of the RWHP III, which is due to end in December 1999, to maximise the sustainability of the investments already made by the Netherlands Government in rural water supply in the Province. This sustainability aims at providing for the hand-over of residual assets of the RWHP to institutions supporting the capacity building and user support within the province and the hard ware extension till December 2000 under the current agreement between SNV and the DWA.

The rationale for this formulation is that, although the RWHP supported the DWA in the provision of rural water supplies, under the new *Water Supply and Sanitation Act, No. 28 of 1997*, the legal responsibility for rural water and sanitation service provision rests with the District Councils. Therefore, transfer of all assets to the DWA only, at the end of the RWHP would not be in line with the future responsibilities for rural water supplies.

Furthermore, as the assets are of a support nature and could also be operated on a commercial basis, e.g. mechanical workshops, construction facilities, printing shop, etc., they are assets, which would have to be provided to institutions which support and carry out RWSS activities on behalf of the District Councils, and its commercial operations. The CU may be part of such institutions

The CU is not expected to become operational until the third quarter of 2000, although German support to prepare for CU operation is scheduled to commence by the end of 1999. In order to provide continuity, this element of the Project will continue construction activities till December 2000, in line with D-WASHE plans and priorities, pending creation of the CU and the transfer of RWHP assets to the utility for continued maintenance support.

Should there be any delays in the establishment of the CU beyond this period, this element should not be extended further, and the Project assets should be used to provide the most effective "user support" to the communities in the Province.

3 NORTH WESTERN PROVINCE

3.1 Project Area

The North Western Province of Zambia is a predominantly rural area of around 125,000 km² with a gently undulating topography between 950m and 1600m above sea level. The Province is dissected by a number of rivers and streams within the Zambezi catchment. Much of the Province is covered in miombo and kalahari woodland with only an estimated 16% of land under cultivation. The climate is sub-tropical with an average rainfall of 950-1,450mm occurring mainly between October and April. The Provincial headquarters is located at Solwezi, to the north eastern corner of the Province.

3.2 Population

The Province has a population estimated to be approximately 455,000 in the year 1999, of which some 85% live in the rural areas. Although detailed up to date figures are not available, based on the 1990 census figures and applying an average growth rate of 2.3% p.a., the estimated populations by district have been calculated as below.

District	Estimated 1999 Population
Kabompo	60,490
Kasempa	42,375
Mufumbwe	25,560
Mwinilunga	94,070
Solwezi	138,100
Zambezi	81,840
Chavuma	12,015
Provincial Total	454,450

3.3 Economic and Social Conditions

The main activity of the population is subsistence farming. With the smallest and most widely scattered population of any province in the country, and the least area of land in gainful use, subsistence farming is likely to continue to be the main activity of the rural population for the foreseeable future.

Added to the poor economic conditions of the rural population, an estimated 37% of households are female headed, which places further stresses on family sources of income. Studies have also shown that poor environmental conditions and health and hygiene practices contribute to a high percentage of illness and death amongst the population.

Even in the urban areas, economically productive activities are very limited. Recent hopes of inward investment into mining in the Province have not yet materialised, although considerable unexploited mineral resources are understood to exist.

3.4 Existing Water Supply and Sanitation Services

3.4.1 Water Supply

During the period 1994 to 1997 the Community Management and Monitoring Unit and N-WASHE have compiled a detailed inventory of all rural water points throughout the country. The newly formed D-WASHE Committees have also carried out their own

situation analysis. The figures for water supply in North Western Province were as follows:

table?

District	Water Point Data				Est. 1999 Popn.	Est. Coverage (pop/wp)	*Water Points Needed	Additional Water Points
	Total Survey	In use	Not in use					
			No.	%				
Kabompo	142	78	64	45.1	60,490	426	302	160
Kasempa	202	163	39	19.3	42,375	210	212	10
Mufumbwe	90	63	27	30.0	25,560	284	128	38
Mwinilunga	199	100	99	49.7	94,070	473	470	271
Solwezi	462	410	52	11.3	138,100	299	690	228
Zambezi	128	54	74	57.8	81,840	639	409	281
Chavuma	22	21	1	4.5	12,015	546	60	38
Total	1,245	889	356	28.6	454,450			1,026

* assumes 200 persons per water point

Source - N-WASHE Water Point Statistics up-dated 1997

Although there is some doubt concerning the accuracy of this data, this analysis indicates that, notwithstanding the efforts of the RWHP and VWS in the Province, considerable work remains to be done in order to increase coverage in terms of access to adequate water supplies.

3.4.2 Sanitation

Information on the situation in respect of sanitation is not readily available for the Province. However, the D-WASHE plans of Kasempa and Mwinilunga give some indication of the problem.

District	No. of Households	No. of Latrines	% of Households	No. of Refuse Pits	% of Households
Mwinilunga	18,396	6,553	35.6	3,865	21.0
Kasempa	4,479	3,646	81.4	3,345	74.7

? why is it not higher?

Although the figures reported by Kasempa indicate a high coverage in terms of households with latrines, the D-WASHE Committee situation analysis qualifies these figures with the comment that most of these latrines are temporary and unhygienic structures. Therefore, the percentage of households with acceptable sanitation facilities is likely to be considerably lower.

Again, this simple analysis indicates the considerable work to be done to achieve adequate coverage of sanitation services.

4 THE PROPOSED PROJECT

4.1 Project Objectives

The overall goal of the Project is:

"To improve the access of the rural population of North Western Province to safe and adequate water supply and sanitation facilities on a sustainable basis."

This overall goal is in line with the National Water Policy and achievement can be assessed against the objectives set out in the NWP (c.f. paragraph 2.1 above).

The Project Objective is stated as:

To enhance the capacity of rural communities in all districts of North Western Province to plan, implement, operate and maintain their water supply and sanitation facilities."

This objective represents an extension of the long-term objective of the Rural Water for Health Project throughout all the districts in the Province, but focused more on capacity building. Achievement of the Project objective can be measured by the extent to which the key aims of the WASHE concept (c.f. paragraph 2.1 above) have been met.

Increasing the capacity of rural communities to become involved in determining and planning the development of their water and sanitation facilities not only increases the concept of community ownership, but also provides a more rational basis for district level planning and the sourcing of funds from GRZ, external agencies, and local agencies such as the Microprojects Unit, to implement WASHE plans. The D-WASHE Committees have a key role in this area. During the first year, capacity for implementation of facilities as proposed in the D-WASHE plans will be provided through support to DWA as an extension of the current project till December 2000.

4.2 Project Beneficiaries

The ultimate target group is the rural population of the Province at community level. This group will be involved in the Project through various community based committees and village leaders, and through direct benefit of the participatory training techniques and improvement of facilities arising from implementation of D-WASHE plans.

The immediate target group of the Project are the organisations involved in planning and monitoring the implementation of improved water supply and sanitation facilities, principally the D-WASHE Committees, and the organisations providing training in community level operations and maintenance, and in health and hygiene improvements. This will include extension workers and committees representative of community views on WASHE issues, such as Neighbourhood Health Committees.

This immediate target group will be involved in the Project through participation, directly or indirectly, in the relevant D-WASHE committees and other committees at sub-district level.

37% but no gender component?

4.3 Project Description

4.3.1 Connection with Other Projects

There are a number of connections with other projects, either on-going or proposed.

605 ?
The Project is complimentary to, and would be closely linked with, the "District Planning Support Programme" (DPSP) proposed by SNV, which is a human resource development programme in planning at the district level. This will include training in planning processes for local government, line ministry and NGO and CBO staff, and will also include participatory planning techniques at the ward and community level.

As D-WASHE is an integral part of the district level planning process, the combination of the two Projects, and a close working relationship between them, should significantly improve the sustainability of local planning. However, funding for the DPSP has yet to be secured. This is not a constraint to the implementation of the Project as proposed, but the commissioning of the DPSP as well would enhance the overall benefits of both Projects.

v
The Project is closely linked to the proposed "Establishment of a Commercial Utility in North Western Province" to be supported through GTZ. The Utility will provide a logical follow on from the RWHP in providing the base for "user support" through the proposed Department of Rural Support Services. Furthermore, as the Utility Project is itself linked to a major programme of financial co-operation from the German government in rehabilitation of urban water supply and sanitation systems, the D-WASHE Project will ensure complimentary attention to rural water supply and sanitation for the Province. Extension of the current RWHP area of operations to the whole Province will also build on the work of the former German supported "Village Water Supply Project".

GET
The Project will also have a connection to the project "Research on Improving Traditional Sources", a three year programme supported by the British Government which commenced in late-1998. This Project aims to research the cost effective improvement of water sources in communities where limited size inhibits the use of even simple technologies such as hand dug wells. These communities are often excluded from the traditional type of rural support project because of the cost-benefit ratios involved. Because of the large number of very small and isolated communities in North Western Province, RWHP has already been involved in preparation for this Project and the proposed Project would maintain this link.

4.3.2 Results and Activities

The results and activities set out below are those believed to be necessary to achieve the Project Objective. They have been based on the results of the workshop to identify a follow-up to the RWHP Phase III which took place in November 1998. The detailed results of this workshop are contained in the Workshop Report.

Is this demand based?
A more detailed assessment and agreement of activities through a project planning workshop will need to be carried out if the project proposal is accepted in principle. This planning workshop should involve principally the District Councils and line ministries whose commitment is critical to the successful implementation of the Project, including those Councils not present at the November 1998 workshop.

Result 1: D-WASHE Committees are capable of planning, co-ordinating and monitoring the implementation of activities to improve facilities in their areas

But this document is full of plans - contradiction?

Important indicators for the achievement of this result are:

- ⇒ data base of the status of RWSS facilities is available and updated,
- ⇒ rolling five year plans are prepared on an annual basis,
- ⇒ D-WASHE plans are integrated into district plans,
- ⇒ D-WASHE Committees have the capacity to facilitate the sourcing of funds for rural water supply and sanitation,) ? how
- ⇒ external resources are attracted for construction activities,) ? sign
- ⇒ financial resources are utilised in accordance with planned priorities.

The following activities should be carried out by participating Departments:

- 1) Establish and regularly update a data base of the status of water supply and sanitation facilities in each District through the District Planning Units. *new org?*
- 2) Strengthen the capability of D-WASHE committees and their members.
- 3) Establish appropriate mechanisms for ensuring community views reach the D-WASHE committee level. *upward flow*
- 4) Prepare five year strategic plans and update these on an annual basis. *why 5?*
- 5) Present plans to potential funding sources. *they must respond - what sort of plans?*
- 6) Strengthen the district level planning process through the integration of D-WASHE plans.

Result 2: Understanding and practice of health and hygiene issues related to water supply and sanitation is enhanced in selected areas

Important indicators for the achievement of this result are:

- ⇒ educational materials on health and hygiene available to users,
- ⇒ extension workers are trained and capable of disseminating health and hygiene messages, *big gap*
- ⇒ communities and institutions practice hygienic use of water supply and sanitation facilities.

The following activities should be carried out:

- 1) Develop health and hygiene education training packages.
- 2) Train extension workers from relevant ministries in the use of the packages.
- 3) Train staff in institutions in the use of the packages.
- 4) Implement training in selected communities to complement investment priorities.
- 5) Develop and implement a system for monitoring the impact of health and hygiene education.

Result 3: Communities and institutions operate and maintain their water supply and sanitation facilities in selected areas on a sustainable basis

Important indicators for the achievement of this result are:

- ⇒ communities and institutions have trained people available and capable of carrying out basic maintenance,
- ⇒ mechanisms are in place and operating to ensure adequate funds are available for maintenance support,

⇒ water supply and sanitation facilities continue to be available to the population.

The following activities should be carried out:

- 1) Develop operation and maintenance training packages.
- 2) Train extension workers from relevant ministries in the use of the packages.
- 3) Implement training in selected communities to complement investment priorities.
- 4) Introduce systems of funding maintenance support at the community level and implement to complement investment priorities.
- 5) Develop a methodology for monitoring the effectiveness of community based operation and maintenance.

Result 4: Operation and maintenance capability to support communities and institutions is established in the Province

Important indicators for the achievement of this result are:

- ⇒ adequate and affordable user support capability for maintenance is established by the new Commercial Utility by September 2000,
- ⇒ measures to ensure sustainability of user support are in place by December 2000,
- ⇒ adequate and affordable stocks of spare parts are available by December 2000.

The following activities should be carried out:

- 1) Develop a methodology for providing support to community based maintenance taking into account potential support from the commercial utility in the province, and use of the private sector.
- 2) Implement the maintenance support methodology.
- 3) Build capacity of personnel in maintenance support activities.
- 4) Establish the basis for long term financing of community maintenance support.
- 5) Establish adequate stocks of affordable spares, which are accessible to the communities.

Result 5: Water supply and sanitation facilities are improved in selected areas in line with D-WASHE plans

This result relates to the extension of the phasing-out of the RWHP and important indicators for the achievement of this result are:

- ⇒ population coverage with access to water supply facilities increased by up to 9,000 (approximately 45 water points),
- ⇒ population coverage with access to sanitation facilities increased by demonstration latrines.

The following activities should be carried out:

- 1) Implement support to construction of water points in selected areas.
- 2) Develop and install demonstration latrines in institutions and communities.
- 3) Investigate alternative technologies for water points and sanitation facilities and harmonize approaches in the Province.
- 4) Monitor the implementation of rehabilitation and new water supply and sanitation schemes and compare with priorities identified in D-WASHE plans.
- 5) Implement system of data collection on condition and use of facilities.
- 6) Establish and implement an improved system of water quality monitoring.

4.3.3 Time Schedule

The duration of the Project is proposed for an initial period of three years from April 2000 until December 2002. This will provide continuity and smooth transition from the RWHP III, and also will enable the transfer of project assets and local staff to the new Project where this is beneficial.

The extension of the phasing out of RWHP under the current agreement between SNV and DWA would be completed by December 2000. The assets of RWHP will thereafter have to be used in the most effective manner to provide on-going "user support". The Commercial Utility which includes a Department of Rural Support Services, if operational by mid - 2000, would be an appropriate organization to benefit from RWHP assets in order to provide the required user-support. Preparations to establish the Commercial Utility have been put in place with the formation of a Joint Implementation Team in July 1999.

A project progress review is planned for the third quarter of 2000, during which the effectiveness of the transfer of assets to institutions providing support to D-WASHEs, including the Commercial Utility would be examined. A second review is planned for early 2002, during which the scope for continued support would be considered together with the effectiveness of the operations of the various institutions, including the Commercial Utility. Continuation of the Project beyond 2002 would depend on the level of progress and success achieved during the Project, and the availability of funds.

4.4 Operation and Maintenance

The key to achieving the Overall Goal is sustainability which, in turn, relies on the establishment of two levels of operation and maintenance capability in the long run, as reflected in Results 3 and 4 of the Project above.

The first is at the community or institutional level where there must be the willingness and ability to carry out basic maintenance. This will need to be done by the training of specific members of the community or institution as maintainers/care-takers and by encouraging an attitude of collective responsibility towards the facilities provided

The second is at a level above that of individual communities where support can be provided to communities to enable maintenance activities to be carried out, as and when required, which are beyond the capacity or capability of the community. There are a number of options which may be considered for this level of "user support"

- ⇒ private entrepreneurs could be trained to provide additional services such as welding and hand pump repairs and these services would be available to the communities as necessary on a payment basis,
- ⇒ local shop keepers could be encouraged to stock basic replacement items such as buckets and chain, rather than communities facing lengthy journeys to the normal suppliers, some of whom are located on the Copperbelt,
- ⇒ the District Councils could provide these services on a cost covering basis,
- ⇒ the new CU could provide these services on a cost covering basis.

Past experience has indicated that relying on the private sector to provide maintenance support and stocks of replacement items is unreliable, either because of lack of interest in the low business levels, or because of the difficulty in establishing universal and equitable availability of the support.

While the District Councils, or the DWA with its current involvement in rural water, might be regarded as logical locations for "user support", possible further involvement of other line ministries and the creation of the new Commercial Utility opens up a new and more logical focus for "user support". The importance of creating a CU was recognised by the District Councils in the Province as long ago as 1995 when, in adopting the organisational structure of the CU, they decided to establish a Department of Rural Support Services for this purpose. There will be a need to develop the capacity of personnel involved in user support and maintenance to ensure that the requisite skills are available to the communities, and this would form part of the support by the German Government to the CU.

For both community based maintenance and "user support" from the CU, it is essential that the communities and institutions have mechanisms in place which will ensure adequate funds are available from the community to meet the costs of maintenance, repair and replacement.

It is not anticipated that community and institutional funds would be necessary for major rehabilitation or new construction works, and that these funds would need to be provided to the District Councils and institutions from GRZ or external sources.

4.5 Monitoring and Evaluation

Monitoring and evaluation of project progress and project outcomes is essential in a project which is both entering a new area of support to the on-going reforms of the water supply and sanitation sector and is also largely involved in capacity building and behavioural change. The establishment of D-WASHE Committees is a matter of national policy and has been so since 1996. However, positive experiences with the establishment and capacity building of D-WASHE Committees, and the impact of the work of Extension Workers on the behaviour of rural communities in health and hygiene issues, take time to mature. Learning from experiences is important not only for the Project within North Western Province, but also for the benefit of similar projects being carried out elsewhere with the assistance of the National WASHE Training Unit.

The N-WASHE Training Unit has been created to provide support the establishment of D-WASHE Committees and should, therefore, be closely involved in the project activities and participate in the monitoring and evaluation of progress.

In view of the above, it is essential that a structured process of monitoring and evaluation progress and impact is built into the project action plans. This internal monitoring system will be augmented by two project reviews during the project period. The first review will take place in the third quarter of 2000 and in addition to monitoring overall progress, will also evaluate the effectiveness of the hand over of former RWHP assets and progress in the establishment of "user support". A further review will take place at the end of 2001 in order to evaluate in particular the effectiveness of D-WASHE planning as translated into investments in water supply and sanitation in rural communities. This review would also examine the justification, if any, for further support beyond the end of 2002.

A final project evaluation would take place at the end of 2002 to assess actual impact of the Project against the overall objective and carry out a comparison with this Project and those being carried out in support of D-WASHE Committees in other provinces.

5 PROJECT FINANCES

The cost of the Project is divided into two areas. The costs for the Project in supporting the capacity building of D-WASHE Committees and Extension Workers over the three year project period are shown separately from the costs of continuing the construction support activities of the current RWHP up to December 2000.

5.1 Capacity Building Support

The Project envisages the following support:

1. Six locally recruited planning and community development advisors, one person per district for three years. This may have to be increased to seven local advisors if the newly gazetted Chavuma District Council effectively separates its activities from Zambezi District Council during the currency of the Project. It is assumed that there will be suitably qualified staff from line ministries and/or District Councils available to be attached to the Project. These staff will be selected by the Project based on their experience in planning and implementing community based activities. In addition to their role of implementing project activities in their districts, they could act as secretaries to their respective D-WASHE Committees in the short-term until the Committees are functioning effectively.
2. Training of D-WASHE Committee members and Extension Workers through workshops and seminars, also involving staff of the N-WASHE Training Unit as resource persons.
3. Contribution to the running costs of D-WASHE Committees. This would be 75% in the year 2000, 50% in the year 2001, and 25% in the year 2002.
4. Contributions to activities of Extension Workers.
5. Provision for the procurement of office equipment to support D-WASHE Committees, motor cycles for the local advisors and bicycles for extension workers.
6. Project progress reviews.

The estimated costs are summarised as follows:

Cost Code	Description	Estimated Project Costs (Dfl x 1,000)			
		DGIS Funds	GRZ Funds	Grand Total	%
9100	Project Development	50.0	0.0	50.0	4.6
9200	Personnel Costs	115.5	128.2	243.7	22.6
9300	Consultants	110.2	0.0	110.2	10.2
9400	Procurement & Investment	137.6	0.0	137.6	12.7
9500	Operational Costs	236.0	28.1	264.1	24.5
9600	Training	230.0	0.0	230.0	21.3
9800	Incidental Expenses	44.0	0.0	44.0	4.1
Grand Totals		923.3	156.3	1079.6	100.0
Contributions in Percentage		85.5	14.5	100.0	

In preparing these estimates, the following assumptions have been made:

- a) necessary office accommodation will be provided at provincial level by the Provincial Local Government Officer. Each District will provide office accommodation for the locally recruited planning and community development advisors;
- b) one project vehicle with a reasonable residual lifespan, together with relevant assets will be transferred from the RWHP to the Capacity Building Component at Provincial

- level of the proposed project, however, one new 4WD will have also have to be purchased;
- c) normal salaries of the local advisors will be paid by their respective employers as part of counterpart funding, with the Project paying all allowances and enhancements; and
 - d) running costs of the D-WASHE Committees are solely related to secretarial support necessary for the Committees to operate effectively. This amount is not yet budgeted by the District Councils but has been assumed to be of the order of K 1 million per Committee per year.

In addition, technical assistance would be provided by SNV comprising an advisor in planning and community development for the duration of the Project. This advisor should have a combination of both community development skills and those of project planning and management. The extent to which physical planning skills will also be necessary will depend on whether the DPSP goes ahead. If so, physical planning support would be available through that Project's advisors, allowing the advisor to concentrate on the capacity elements of this Project.

The Planning and Community Development Advisor would initially be based in Solwezi within the existing RWHP offices. However, when the CU is established, the Advisor should ideally be based in or close to the CU Head Office and its Department of Rural Support Services. This is currently proposed as being Kabompo.

The Advisor would be assisted by a minimum of support staff for managing the Project, who would be employed under local contracts. The costs of the support staff have been included in the estimates, but not those of the SNV advisor.

5.2 Extension of RWHP Phasing-out

The cost estimates for continued support to the construction activities currently being carried out by the RWHP III have been based on the Annual Plan and Budget for 1999, prepared by the RWHP. This extension would be negotiated as an extension of the current agreement between SNV and the DWA till December 2000.

Cost Code	Description	Estimated Project Costs (Dfl x 1,000)			
		DGIS Funds	GRZ Funds	Grand Total	%
9100	Project Development	0.0	0.0	0.0	0.0
9200	Personnel Costs	135.7	46.0	181.7	33.9
9300	Consultants	57.1	0.0	57.1	10.7
9400	Procurement & Investment	74.2	0.0	74.2	13.9
9500	Operational Costs	160.9	11.1	172.0	32.1
9600	Training	27.7	0.0	27.7	5.2
9800	Incidental Expenses	22.8	0.0	22.8	4.3
Grand Totals		478.4	57.1	535.5	100.0
Contributions in Percentage		89.3	10.7	100.0	

*recurrent
hardware*

In addition, SNV would continue to provide technical assistance to the construction, and prepare for hand-over to the Commercial Utility through the continuation of one advisor, the Project Manager, the costs of which have not been included above.

To ensure that the Commercial Utility will assume the ownership of a well equipped and managed mechanical workshop, and to continue training of the local Workshop Manager, it is essential that continued support is provided by a Mechanical Supervisor

up to the end of December 2000. In order to facilitate capacity building, this should not be on a continuous basis, but through a series of short term performance monitoring and advisory assignments over the one year period by a local consultant. A provision of four person months has been allowed for this support.

Finally, some support to the "software" aspects of the RWHP will need to continue until the capacity building element of the Project is underway and this responsibility can be handed over, this includes the advisor in this area up to May 2000.

5.3 Total Estimated Project Costs

The combination of the two project elements is as follows:

Cost Code	Description	Estimated Project Costs (Dfl)			
		DGIS Funds	GRZ Funds	Grand Total	%
9100	Project Development	50.0	0.0	50.0	3.1
9200	Personnel Costs	251.2	174.2	425.4	26.3
9300	Consultants	167.3	0.0	167.3	10.4
9400	Procurement & Investment	211.8	0.0	211.8	13.1
9500	Operational Costs	396.9	39.2	436.1	27.0
9600	Training	257.7	0.0	257.7	16.0
9800	Incidental Expenses	66.8	0.0	66.8	4.1
Grand Totals		1,401.9	213.4	1,615.1	100.0
Contributions in Percentage		86.8	13.2	100.0	

6 PROJECT IMPLEMENTATION

6.1 Overall Organisation and Responsibilities

Because of the de-centralisation of responsibilities in the rural water supply and sanitation to the district level, both in councils and line ministries, there is no single organisation which can be recognised as being an appropriate partner for the capacity building Project. With responsibility for water supply and sanitation, including that for rural areas, now resting with District Councils under the *Water Supply and Sanitation Act No. 28 of 1997*, overall responsibility for project implementation will rest with each of the District Councils in the Province. However, implementation of the Project will be through the D-WASHE Committees and in particular its members drawn from the District Councils and the representatives of line ministries.

This decentralised sharing of project responsibilities does create a potential gap in overall project co-ordination and liaison across the Province. It is proposed that, with the pending creation of the Commercial Utility in the Province and its Department of Rural Support Services, overall project co-ordination and liaison should be carried out administratively by this Department, on behalf of the District Councils, when the CU is formed. This will also facilitate liaison with the provision of "user support" proposed to be provided by the same Department.

Until then overall project co-ordination should rest with the RWHP Project Manager who will need to integrate on-going construction activities with the D-WASHE plans, and integrate on-going RWHP "software" activities with the capacities and capabilities emerging under the new Project so that these are effectively transferred.

6.2 Institutional Participation

In addition to the District Councils with overall project responsibility, a number of other institutions will be directly involved in the Project:

Department of Water Affairs,
Ministry of Health,
Ministry of Education,
Ministry of Community Development, and
Ministry of Agriculture.

This involvement will be through staff of these ministries and departments at the district level, and the Extension Workers working with the communities. Two specific results of the Project are targeted at the capacity building of these staff in order that they can carry out their responsibilities more effectively.

The most important institutions in the Project are the D-WASHE Committees. As these are part of the district planning process, through being sub-committees of the DDCCs, the responsibility for the provision of secretarial services and other recurrent costs of the Committees rests with the respective District Councils. However, the general financial situation of councils is poor and there may be limited availability of funds to support the Committees, whose costs are principally for secretarial and administrative services. .

Therefore, it is proposed that some direct support be given towards the recurrent costs of the D-WASHE Committees to ensure project continuity. This will not be on the basis of full funding but will be based on a progressive hand over of responsibility to the District Councils. In the first year of the Project the funding would be up to 75% of the

recurrent budget for the D-WASHE Committees, reducing to 50% in year two and 25% in year three. Therefore, at the end of the Project the District Councils will assume full recurrent budget responsibility. The budget has not yet been prepared by any of the Councils but is assumed to be of the order of K 1 million per Committee per year. This approach also provides a measure of the commitment of the Councils to the work of the D-WASHEs by monitoring the funds released for the D-WASHE Committees.

Similarly, it is the budgets of the line ministries which should finance the activities of Extension Workers. Since this is dependent on the release of funds from parent ministries and because the specific WASHE activities of Extension Workers are to some extent additional to their present tasks, project funds will be made available to support implementation of community awareness and mobilisation programmes. These could be used, for example, for the engagement of drama groups to help in community level programmes.

6.3 Project Implementation Schedule

The Project is scheduled to commence on 1 April 2000 for a duration of thirty-three months.

The phasing-out of the construction support activities of the current RWHP III would be extended for a further period of nine months, upon completion of the initial extension of RWHP III till March 2000, i.e. to the end of December 2000. By that time, the residual assets of the RWHP would have been transferred to the institutions providing continued user support to the beneficiaries of the D-WASHE programmes.

Depending on the progress in the establishment of the CU, assets could be progressively transferred during the phasing-out period.

7 JUSTIFICATION AND RISKS

7.1 Benefits and Justification

7.1.1 Overall Benefits

The main benefits of and justification for the Project are that:

- sustainability of investments made by the Netherlands Government in the RWHP and the previous DCP are protected;
- assets of the RWHP are handed over to the organisation responsible for future "user support" to rural communities in the Province;
- results of the Social Impact Study being carried out by the RWHP can be taken into account in improving benefits to the rural communities;
- future investments in rural water supply and sanitation in the Province will be made in accordance with priorities and plans which are derived from the needs of the rural communities;
- awareness of and acceptance by rural communities of their responsibilities for management, operation and maintenance is raised;
- practices in health and hygiene in rural communities are improved;
- capacities of members of the D-WASHE Committees to sustain effective planning and monitoring of improvement to rural water supply and sanitation services are increased;
- capacities of extension workers in various line ministries in increasing community awareness on water, sanitation, health and hygiene issues are increased; and
- through close links with the proposed DPSP, if it goes ahead, district level planning activities will be more sustainable and community responsive.

The overall benefits of the Project would be an improvement in the health conditions in the Province. In turn this should lead to a reduction in water-borne diseases, an increased availability of time for productive labour, and a reduction in the use of public funds for medical services.

7.1.2 Benefits to Women

With an estimated 37% of households in the Province being headed by women, and with women having the main responsibility within households for water, sanitation, health and hygiene matters, they will benefit by having the opportunity to contribute to the planning of new water supply and sanitation facilities in their communities and thereby improving their lifestyles.

In terms of participation in the planning process, the national recommendations for membership of D-WASHE Committees include three places for women's representatives. This recommendation should be taken up by the D-WASHE Committees in the Province and should also be taken up in sub-district WASHE committees which may be formed.

7.1.3 Benefits to Poverty Alleviation

Improvements in the availability of water supply and sanitation facilities, and in the health and hygiene practices of households and communities, will make a positive contribution to the well-being of the rural population. In turn, this will reduce incidences of illness and, therefore, increase the time available for productive work. With most of the rural communities in the Province relying on subsistence farming, increased

availability of household members to work in the fields is critical in the attempt to alleviate poverty.

Improvements in the health of the rural population will also contribute to the alleviation of poverty through reduced costs to individual households for health care and, in turn, this will also reduce GRZ expenditure on primary health care.

Finally, the improvement in the quality of rural life should also have an impact on reducing the drift of the rural population to the urban centres.

7.1.4 Sustainability

The aim of the Project is to increase the capacity of local people to determine their own future in terms of the provision and proper use of water supply and sanitation facilities. Whilst recognising that the actual investments required to improve these facilities are outside the control of the local communities, the greater the extent to which communities are involved in the planning, management, operation and maintenance of the facilities, the greater the prospects for sustainability of investments being made.

7.2 Reasons for Continued Involvement

There are three main reasons for continued involvement in the sector and in the Province.

Firstly, at the time of designing Phase III of the RWHP it was anticipated that the implementation of the water sector reforms would have resulted in the DWA losing its responsibility as the major organisation in the rural sector, and that these responsibilities would have been transferred to the new Commercial Utility. This transfer of responsibilities did not happen within the originally envisaged time scale as a result of both delays by the Zambian Government in passing the requisite legislation, and a delay in the provision of support from the German government to the establishment of the Commercial Utility. (The latter was as a result of a dispute between the German and Zambian Governments on an issue unrelated to the water sector.)

Both issues are now resolved with the passing of the Water Supply and Sanitation Act in November 1997 and the dispute being settled in January 1998. Consequently the German Government is proposing to commence their support to the new Commercial Utility by November 1999, together with a major programme of capital investment in urban water supply and sanitation services for all towns in the Province. Therefore, the way forward for continuity of the RWHP, as originally conceived, is now clear.

The second justification for the Project is that without some form of continued support from the Netherlands Government, the rural water supply and sanitation sector in the Province would not be receiving any support to the development of these services and the improvement of health and hygiene practices. This is critical to the improvement of conditions in the Province, particularly as 85% of the population live in rural communities. This justification is also behind the proposal to extend the area of support from the current three districts to the whole Province. By this means the Netherlands Government would be supporting rural water and sanitation throughout the Province and the German Government would be supporting urban and peri-urban water supply and sanitation. Such an approach is in line with the implementation policy of the water sector reforms whereby a coherent approach to external support is being encouraged.

The final justification for the Project is that it is complimentary to the proposed District Planning Support Programme (DPSP) currently being considered by the Netherlands Government. D-WASHE Committees are an integral part of the District level planning process and, therefore, a focus on this aspect of planning would enhance the effectiveness of the DPSP and add an implementation dimension to the planning process. Should funding not be made available for the DPSP, this does not mean that the proposed Project could not be implemented, but some of the incidental benefits to overall district level planning would be lost.

7.3 Assumptions and Risks

Achievement of the Overall Goal of access to water supply and sanitation facilities cannot be achieved by the Project alone. The most important assumption for achievement of the Overall Goal is that GRZ remains committed to the implementing the sector reforms and is able to mobilise sufficient funds to implement the plans prepared by the D-WASHE Committees and approved by the respective District Councils.

To achieve the results of the Project, the most important assumptions are as follows:

- ⇒ the District Councils and the line ministries at district level are able to provide qualified personnel with sufficient expertise to implement the Project;
- ⇒ the District Councils are able to provide part of the financial support necessary to ensure effective operation of the D-WASHE Committees;
- ⇒ the line ministries are able to provide part of the financial support necessary to enable extension workers to work in the rural communities;
- ⇒ the rural communities continue to show willingness to contribute to the construction, management and maintenance of water supply and sanitation facilities;
- ⇒ the Zambian Government remains committed to the implementation of the water sector reforms in accordance with its stated policies; and
- ⇒ the District Councils in the Province establish and operationalise the new Commercial Utility, with the support of the German Government.

The risks that these assumptions may not materialise is considered to be acceptable. The general economic situation in the country is poor and, consequently, the availability of funds from District Councils and line ministries at district level is uncertain. For this reason the Project will provide funds towards these implementation costs but on an annually reducing scale.

If the counterpart funds are not available from the District Councils, or the line ministries are unable to provide sufficient funds for their extension workers to carry out the project activities, then the Project will not be sustainable and should be suspended or terminated.

The risk that communities will not accept their responsibilities for management and maintenance is believed to be small as the initial provision of water supply and sanitation facilities is dependent on a clear demonstration of this commitment in the form of money and assistance with construction. As long as this continues to the national policy, no problems are anticipated.

The establishment of the new Commercial Utility, together with the support of the German Government, is much later than originally planned. With the un-related issue which delayed German support to the Province resolved, German Government assistance for the establishment of the Commercial Utility will be made available.

Furhter progress has been recorded in the creation of a Joint Implementation Team, who should facilitate the establishment of the CU in North Western Province.

Should the CU not be formed within the time table envisaged, then the capacity building element of the Project could continue through the individual District Councils, but the hand over of assets at the end of the extended phasing-out of RWHP would have to be re-considered.

7.4 Recommended Action

In order for this Project to be implemented effectively and to provide continuity with the RWHP III, the following actions are required:

1. Approval of the Project must be obtained from the Zambian and Netherlands Governments. For the capacity building element of the Project, this process should be initiated by a formal request on behalf of the District Councils in North Western Province through the Ministry of Local Government and Housing, as the responsible Ministry. For the extension to the Phasing-out of the RWHP, the DWA should initiate a formal request. As the RWHP is scheduled to finish at the end of 1999, early action is required by all parties involved.
2. The District Councils should pass council resolutions recognising the D-WASHE Committees as being sub-committees of the DDCCs and an integral part of the district planning process.
3. The District Councils must confirm their willingness to contribute the funds necessary to enable the D-WASHE Committees to operate on an effective basis in accordance with the increasing commitment over the life of the Project.
4. The District Councils must confirm their intention that the new Commercial Utility will provide rural water supply and sanitation support services on a cost covering basis.
5. The line ministries must confirm their willingness for their district level staff and extension workers to participate in the project activities and to contribute funds to enable this to happen.
6. A Project Agreement which sets out the obligations and responsibilities of all parties to the Project must be prepared and signed jointly by the Governments of Zambia and the Netherlands. This Agreement would cover the new capacity building element and an extension of the current agreement for the RWHP. The Agreement should include provision for the transfer of assets of the RWHP, where appropriate, to the new Commercial Utility.

Annex 1: Project Planning Matrix

Project Title: Rural Water Supply and Sanitation Project - North Western Province		Date of Proposal: September 1999	
Project Duration: April 2000 to December 2002		Page 1 of 2	
Objectives and Results	Indicators	Means of Verification	Assumptions
<p>Overall Goal: To improve the access of the rural population of North Western Province to safe and adequate water supply and sanitation facilities on a sustainable basis</p>	<ul style="list-style-type: none"> Population coverage for reliable and sustainable water supply and sanitation is increased hygienic use of facilities is improved 	<ul style="list-style-type: none"> statistics from D-WASHE data bases inspection of facilities 	<ul style="list-style-type: none"> GRZ remains committed to implementing the sector reforms GRZ has financing available to implement D-WASHE plans
<p>Project Objective: To enhance the capacity of rural communities in all districts in North Western Province to plan, implement, operate and maintain their water supply and sanitation facilities</p>	<ul style="list-style-type: none"> user support facilities are in place and utilised by 12/2000 D-WASHE Committees functioning effectively by 12/2001 rural water supply and sanitation facilities are operated and maintained on a sustainable basis by users by 12/2002 	<ul style="list-style-type: none"> minutes of D-WASHE Committees statistics from D-WASHE data bases records of facilities 	<ul style="list-style-type: none"> GRZ remains committed to implementing the sector reforms District Councils establish the new Commercial Utility
<p>Result 1: D-WASHE Committees are capable of planning, co-ordinating and monitoring the implementation of activities to improve facilities in their areas</p>	<ul style="list-style-type: none"> data base of RWSS facilities is available and updated rolling five year plans are prepared on an annual basis D-WASHE plans are integrated into district plans funds for construction are attracted financial resources are utilised in accordance with planned priorities 	<ul style="list-style-type: none"> D-WASHE and District Council records minutes and records of D-WASHE district council records D-WASHE records central, provincial and local government records 	<ul style="list-style-type: none"> qualified staff available to be members of D-WASHE funds for D-WASHE Committee operations available funds for investment in water supply and sanitation available
<p>Result 2: Understanding and practice of health and hygiene issues related to water supply and sanitation is enhanced in selected areas</p>	<ul style="list-style-type: none"> educational materials on health and hygiene available to users extension workers are trained and capable of disseminating health and hygiene messages communities and institutions practice hygienic use of water and sanitation facilities 	<ul style="list-style-type: none"> samples of materials evaluation of training programmes monitoring and evaluation reports 	<ul style="list-style-type: none"> suitably qualified Extension Workers available funds for Extension Workers available from line ministries

Objectives and Results	Indicators	Means of Verification	Assumptions
<p>Result 3: Communities and institutions operate and maintain their water supply and sanitation facilities in selected areas on a sustainable basis</p>	<ul style="list-style-type: none"> • communities and institutions have trained people available and capable of carrying out basic maintenance • mechanisms are in place and operating to ensure adequate funds are available for maintenance support • water supply and sanitation facilities continue to be available to the population 	<ul style="list-style-type: none"> • monitoring and evaluation reports • records of facilities • monitoring and evaluation reports • community records • D-WASHE data base 	<ul style="list-style-type: none"> • rural communities continue to show willingness to manage, operate and maintain their facilities • user support capacity is developed
<p>Result 4: Operation and maintenance capability to support communities and institutions is established in the Province</p>	<ul style="list-style-type: none"> • adequate and affordable user support capability for maintenance is established by commercial utility by 09/2000 • measures to ensure sustainability of user support are in place by 12/2000 • adequate and affordable stocks of spare parts are available by 12/2001 	<ul style="list-style-type: none"> • records of facilities • monitoring and evaluation reports • records of facilities • inspection of spares stocks 	<ul style="list-style-type: none"> • District Councils establish Commercial Utility with Department of Rural Support Services
<p>Result 5: Water supply and sanitation facilities are improved in selected areas in line with D-WASHE plans</p>	<ul style="list-style-type: none"> • Population coverage with access to water supply facilities increased by up to 9,000 (c. 45 water points) • population coverage with access to sanitation facilities increased by demonstration latrines 	<ul style="list-style-type: none"> • D-WASHE data base • D-WASHE data base 	<ul style="list-style-type: none"> • GRZ has financing available to implement D-WASHE plans

Annex 2: Estimated Project Budget

Cost Code	Description	GRAND TOTAL Dfl	DGIS FUNDS				GRZ FUNDS			
			RWHP	Capacity Building			RWHP	Capacity Building		
			2000 (9m) Dfl	2000 (9m) Dfl	2001 Dfl	2002 Dfl	2000 (9m) Dfl	2000 (9m) Dfl	2001 Dfl	2002 Dfl
9100	PROJECT DEVELOPMENT									
9110	Project Development	0.0								
9130	Project Evaluation	50.0				50.0				
	Sub-total 9100	50.0	0.0	0.0	0.0	50.0	0.0	0.0	0.0	0.0
9200	PERSONNEL COSTS									
9210	Dutch Experts	0.0								
9230	Local Personnel	406.9	131.2	27.7	36.9	36.9	46.0	35.0	46.6	46.6
9290	Miscellaneous	18.5	4.5	6.0	8.0	0.0				
	Sub-total 9200	425.4	135.7	33.7	44.9	36.9	46.0	35.0	46.6	46.6
9300	CONSULTANTS									
9320	Dutch Consultants	38.5	8.3	8.2	11.0	11.0				
9340	Local Consultants	128.8	48.8	30.0	40.0	10.0				
	Sub-total 9300	167.3	57.1	38.2	51.0	21.0	0.0	0.0	0.0	0.0
9400	PROCUREMENT & INVESTMENT									
9410	Buildings	8.0	2.0	2.0	2.0	2.0				
9420	Machinery & Inventory	8.3	0.7	7.6	0.0	0.0				
9430	Means of Transport	109.5	2.5	97.0	10.0	0.0				
9450	Raw materials	60.0	60.0	0.0	0.0	0.0				
9480	Transport and Insurance	17.0	6.0	10.0	1.0	0.0				
9490	Miscellaneous	9.0	3.0	2.0	2.0	2.0				
	Sub-total 9400	211.8	74.2	118.6	15.0	4.0	0.0	0.0	0.0	0.0
9500	OPERATIONAL COSTS									
9510	Housing and Office Costs	75.4	17.3	10.1	13.5	13.5	7.2	3.8	5.0	5.0
9520	Op. Costs - Equipment/Inventory	20.1	9.1	3.0	4.0	4.0				
9530	Op. costs - Means of Transport	211.5	99.0	22.5	40.0	50.0				
9540	Stationary	77.7	12.7	12.8	17.0	17.0	3.9	3.9	5.2	5.2
9550	Materials	4.5	4.5	0.0	0.0	0.0				
9560	Durable and Non-durable Goods	4.5	4.5	0.0	0.0	0.0				
9570	Travel Costs (Project)	21.0	4.8	4.4	5.9	5.9				
9580	Transport and Insurance	11.9	5.0	1.9	2.5	2.5				
9590	Various Costs	9.5	4.0	1.5	2.0	2.0				
	Sub-total 9500	436.1	160.9	56.2	84.9	94.9	11.1	7.7	10.2	10.2
9600	TRAINING									
9620	Training within Developing Country	257.7	27.7	75.0	100.0	55.0				
9630	Training Elsewhere	0.0								
	Sub-total 9600	257.7	27.7	75.0	100.0	55.0	0.0	0.0	0.0	0.0
	TOTAL	1,548.3	455.6	321.7	295.8	261.8	57.1	42.7	56.8	56.8
9800	INCIDENTAL EXPENSES 5%	66.8	22.8	16.1	14.8	13.1	0.0	0.0	0.0	0.0
	GRAND TOTAL	1,615.1	478.4	337.8	310.6	274.9	57.1	42.7	56.8	56.8
	CONTRIBUTION IN PERCENTAGE		89.3			85.5	10.7			14.5

Notes: Amounts are in thousands

Exchange Rates: 1 K = Dfl 0.00092 (March 1999)