

Working Group

71 WSSCC97



Task Manager

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IRC International W.  
and Sanitation Cent.  
Tel.: +31 70 30 889 8  
Fax: +31 70 35 889 6



# FINAL REPORT OF THE WORKING GROUP ON COMMUNITY MANAGEMENT AND PARTNERSHIPS WITH CIVIL SOCIETY



PRESENTED  
TO THE FOURTH  
GLOBAL FORUM



*supported by :*



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This report reflects the opinions of the Working Group. The views expressed in the report do not necessarily represent the policies or orientations of the governmental agencies which have supported the Working Group.



Raymond Jost  
Secretary General  
The International Secretariat for Water

LIBRARY IRC  
PO Box 93190, 2509 AD THE HAGUE  
Tel.: +31 70 30 689 80  
Fax: +31 70 35 899 64  
BARCODE: 14299  
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## Executive Summary

The objective of the Working Group (WG) on Community Management and Partnerships with Civil Society is to present to the WSSCC frameworks which will facilitate more harmonious interaction among governments and the various actors of Civil Society and foster best practices of community water approaches, and to influence governments and external support agencies to adopt these approaches.

The Task Manager and the regional coordinators adopted a case study approach covering a large range of interactions and community management practices and wide scale consultations in the three regions. About 80 people participated in this process and 30 case studies were produced.

## Main messages

Based on the lessons drawn from about 30 cases studies, the WG will emphasize the following messages :

- ◆ Sustainable financing;
- ◆ Capacity-building of all interveners;
- ◆ Equal involvement of women and men in all stages;
- ◆ Redefined partnerships among all interveners;
- ◆ An integrated and ethical perspective.

## **Proposed Tools for Implementation**

The plan of action proposed to the Fourth Global Forum by the WG will look in depth at 3 tools reinforcing the effectiveness of community management and partnerships with civil society. Each tool will be built on capacity building and complementary partnerships among stakeholders.

### **Code of Conduct : an ethical perspective on community management**

The Working Group brings to the fore a Code of Conduct on community management further to a proposal discussed during the regional meeting for Asia. This Code of Conduct becomes effective insofar as it is promoted and advocated to a larger scale, and adopted by implementing agencies of WATSAN projects. The WSSCC is the appropriate forum to promote and advocate such a code. It reaffirms the responsibility of all actors dealing with community management of drinking water and sanitation to act with care and respect and to build on people, knowledge and capacities of the communities to the furthest extent possible.

### **Community Water and Sanitation Funding**

Increasingly the bulk of financing WATSAN services will come from users and communities. The WG proposes to review the experience gained in the creation and replication of mechanisms that make it possible for low-income user communities to finance WATSAN systems.

It will also look at concrete and innovative ways to facilitate access of local communities to fund their water and sanitation schemes. One of these mechanisms is the Water Community International Fund which facilitates the creation of small viable enterprises providing WATSAN services in urban and peri-urban areas.

## **Indigenous Water Management Systems**

Community management of WATSAN still relies on indigenous systems in many rural and some urban communities. Results from WG case studies demonstrate the sustainability and value of such systems, particularly in semi-arid and dry regions. The WG will review best practices of sustainable indigenous WATSAN management systems and prepare a sourcebook building on existing cases. It will also promote and advocate the revitalization of such systems in policies and development programmes of governmental and external support agencies and empowerment of water users to manage these resources, particularly through the ecovolunteer approach.



## Background and Methodology

The Third Global Forum of the Water Supply and Sanitation Collaborative Council (WSSCC) held in Barbados (November 1995) endorsed the creation of a Council-sponsored Working Group (WG) on Community Management and Partnerships with Civil Society. The aim is to present to the WSSCC frameworks which will facilitate more harmonious interaction among governments and the various actors of civil society (private sector, NGOs, CBOs, . .) and foster best practices of community management approaches, and to influence governments and external support agencies (ESAs) to adopt these approaches, including involving the actors of civil societies in their planning processes. The International Secretariat for Water (ISW) was appointed as Task Manager of the WG. Regional Coordinators were selected in Africa (NETWAS), Asia (Approtech Asia and NEWAH) and Latin America (CIUDAD)

The Task Manager and regional coordinators of the WG adopted a case study approach covering the variety of frameworks of interaction and community management practices and wide scale consultations and regional workshops in Latin America, Asia and Africa. (See Attachment 1 for process and 3 for the steering committee ) This approach has fostered a wide participation and transparency of the process. The methodology of work consisted for the WG in preparing a questionnaire which was then sent by each regional coordinator to the widest range of organizations interested by community water management. Based on the feedback, the regional coordinators, assisted by the Task Manager, selected the organizations and invited them to prepare a case study. A Guide for the preparation of cases was prepared and sent to the selected organizations (See Attachment 4). It should be pointed out that both the questionnaire and the preparation of cases were built on three grids of issues bearing important policy implications to improve community management of water and sanitation (WATSAN).

Overall, the WG facilitated the participation of about 80 people and the presentation of 30 case studies. (See Attachment 6 for participants.) About half of the case studies were submitted by women and almost 50% of the participants were female.

Some regions have not been covered by these consultations such as Central and Eastern Europe, the Commonwealth of Independent States, Pacific Islands and the Middle East. There is a demand for extending the work to these regions and it should be part of the next cycle of the Working Group.

## Main messages

Why is the Working Group unique within the Collaborative Council?

First, its participatory process rooted in the diversity and number of case studies makes it fully embedded in local realities of community water management

Second, the case studies highlight the importance of equal involvement of women and men in all components of community water management. Women's involvement is often limited to traditional role of users and providers of water; yet the cases emphasize that they are also repositories of essential knowledge which needs to be reflected at the decision-making level. Women's and men's equal involvement in community management makes a difference in fair access to services, effectiveness and efficiency in project design, O&M, and sustainability of the system

Third, it covers areas where most other interveners (governments, outside agencies) have conceded their weaknesses.

- ◆ innovative local systems (organization and techniques);
- ◆ operation and maintenance;
- ◆ use of local/indigenous skills and know-how.

Fourth, each region have contributed one major recommendation to the Working Group

- ◆ Africa: the need to build community water management on local/indigenous know-how and systems,
- ◆ Latin America: the capacity of local communities to find innovative financing,
- ◆ Asia: the Code of Conduct

Fifth, and most importantly, community water management should be envisaged within a human development perspective rather than a sectoral water and sanitation vision. It should be built on

- ◆ self-reliance and self-respect of local communities able to forge partnerships with other interveners;
- ◆ trust and solidarity that form the bedrock for effective private entrepreneurship and cooperative effort,
- ◆ capacity to make better choices and accumulate the means of social power,
- ◆ capacity to tap local strengths, know-how and institutions.

In short, communities regardless of their level of spatial, social and political organization, demand not only for more service delivery but for equal participation in formulating and implementing those services. They represent a unique resource capable to work with governments and other support agencies on the design, implementation, financial and organizational sustainability of water schemes, control of quality and of money flows provided to contractors.

From the many lessons drawn at the 3 regional meetings (See Attachment 2 and 5), the WG puts an emphasis on the following concurrent messages :

- ◆ *Sustainable Financing* (8 case studies)  
Sustainable financing of Water and Sanitation (WATSAN) community management becomes paramount if communities want to have a meaningful role
- ◆ *Capacity Building* (11 case studies)  
Capacity-building for community management needs to build on existing indigenous/local knowledge, technologies and institutions that have proved their sustainability over time. Leadership skills, women's involvement and confidence building are key components.

◆ *Equal involvement of women and men in all stages (50% of cases)*

Women's role in community management is often limited to being users and providers of water. Given their knowledge about water sources, their quality and reliability and about water uses, they have a lot to contribute to decisions related to the design and organization of the system, particularly by better linking access to safe water, health and sanitation to environmental protection of water sources and income generation. Gender sensitive programming and management will improve both women's and men's role in community water management, and assure sustainability of the system.

◆ *Redefined Partnerships (7 case studies)*

Partnerships among the various actors of WATSAN call for shared roles and responsibilities: the State and ESAs will provide enabling institutional conditions, technical and financial assistance and co-ordination, NGOs will assist communities in capacity-building, advocacy, policy reform; private sector as a service provider will facilitate access to service to the community, and community organizations will operate demand-driven WATSAN systems within the market rules.

◆ *An Integrated and Ethical Perspective (4 case studies)*

Sustainable community management approaches will encompass .

- an integrated service provision covering the various water uses and scales of intervention (from source to mouth);
- a micro + macro linkage geared to the widest coverage, quality and sustainability of WATSAN services;
- an ethical perspective : fair access to basic WATSAN services, participation to decision-making, gender-sensitive approaches, solidarity practices.

## **Proposed Tools for Implementation**

The WG plans to look in depth at three tools reinforcing the effectiveness of community management and partnerships with civil society, along the messages above mentioned :

- ◆ Code of Conduct,
- ◆ Community WATSAN Funding,
- ◆ Indigenous WATSAN systems

### **Code of Conduct : an ethical perspective on community management**

#### **The Concept**

The Working Group brings to the fore a Code of Conduct on community management further to a proposal discussed during the regional meeting for Asia (See Attachment 7) The Code is drafted both for agencies participating in community initiatives and communities participating in agency schemes The Code becomes the overall goal by proposing rules for fair relationships between citizens using services and agencies. It must be implemented with two complementary concerns: sustainability and ownership of the system This Code of Conduct becomes effective insofar as it is promoted and advocated to a larger scale, and adopted by implementing agencies of WATSAN projects.

The WSSCC is the appropriate forum to promote and advocate such a code. It reaffirms the responsibility of all actors dealing with community management of drinking water and sanitation to act with care and respect and to build on people, knowledge and capacities of the communities to the furthest extent possible.

#### **Policy Implications**

- ◆ Adoption of the principles enshrined in the Code in policies, guidelines and other normative instruments of governments and external support agencies dealing with WATSAN activities.
- ◆ Regular internal and external monitoring and evaluation of progress made by these agencies to implement these principles.
- ◆ Regular publication informing the public about progress made by implementing agencies on the implementation of these principles.

#### **Proposed Activities**

The Working Group will work in three directions :

- ◆ Within the WSSCC, it will consult the other interveners (working groups, networks, task forces) in order to assess receptivity to such a tool and integrate new comments and perspectives Once this consultation process is finalized, the WG will prepare an annotated code with examples of best practices and guidance on the implementation of the principles, for instance in public consultation procedures, information documents, data, juridical status of the water system...
- ◆ With the collaborators of the WSSCC, particularly government and external support agencies, the WG will undertake promotion and advocacy of the Code in order to seek for its adoption The WG will identify a sample of these agencies and start working with them on the implementation of the Code, with instruments of reporting and auditing. An alternative approach may be to test the Code in specific WATSAN programs or projects.
- ◆ The Working Group will also approach the Global Water Partnership and the World Water Council to promote and advocate for the adoption of this Code

## Community Water and Sanitation Funding

### The Concept

Funding for the urban and rural communities has traditionally been the domain of public sector grant funding and subsidies. Shrinking public sector budgets and official development assistance funding are here to stay. Increasingly the bulk of financing WATSAN services will come from users and communities.

Various mechanisms for financing community WATSAN systems have been presented in case studies :

- ◆ household credit;
- ◆ community-based lending in forms of revolving funds, national/international guarantee funds, leasing and other credit facilities.

Experience shows that for community WATSAN financing to succeed, four factors are critical .

- ◆ effective mechanisms to mobilize the necessary funds and in-kind contributions at the community level, with or without external support,
- ◆ an appropriate service provision ( the mix of technology, cost recovery, operation and maintenance),
- ◆ an adequate community organization to run the service provision efficiently,
- ◆ an enabling environment with laws and regulations allowing the community organization to operate in security and own the assets or control the source.

The WG will particularly consider the experience gained in the creation and replication of mechanisms that will make it possible for low-income user communities to finance WATSAN systems.

### Policy Implications

The following aspects will carefully be assessed as to their effects on policies and the institutional framework

- ◆ legal and institutional reforms to strengthen local /community institutions in implementing and sustaining WATSAN service provisions (legal recognition, financial management, fund-raising, ownership);
- ◆ accountability and transparency of community organizations operating WATSAN services,
- ◆ capacity-building and technical assistance provided by government and external support agencies to community organizations,
- ◆ technology adaptation and transfer;
- ◆ facilitating community's access to public and private funding,
- ◆ pricing WATSAN services effectively and equitably for all uses, according to capacity to pay;
- ◆ impacts on women

## Proposed Activities

Two types of activities are proposed .

- ◆ To review the experience of community WATSAN funds founded or supported by financial institutions, governments and/or private interests. A report will be made available to the WSSCC;
- ◆ To look at concrete and innovative ways to facilitate access of local communities to fund their water and sanitation schemes. The Working Group will consider experience gained in other sectors (e.g. housing) through credit and saving schemes, creation of small and medium enterprises, guarantee funds, public-private-community partnerships. The WG will look at the organizational aspects (capacity-building, partnership arrangements, institutional strengthening), the choice of technology (in regards to covering the operation and maintenance costs) and the financial components (partnerships between users, utilities, intermediaries and the financial sector)

Demonstration cases in Africa, Asia and Latin America will illustrate the variety of solutions and interveners, the mix of organizations, technology and financing, lessons learnt for upgrading at a larger scale. As an example of innovative financing in peri-urban areas, the Water Community International Fund will facilitate the creation of small viable enterprises providing safe drinking water, sanitation and waste treatment services for low-income households. The Fund will facilitate access to loans, guarantees and grants to local partners and help them in capacity-building, technical and financial assistance.

## Indigenous Water Management Systems

### The Concept

Community management of water and sanitation still relies on indigenous/traditional systems in many rural and some urban communities. Results from some case studies and the literature consulted demonstrate the sustainability and value of such systems, particularly in arid and semi-arid regions. In many places, both traditional and modern systems are used. Six factors have been used to assess the viability of such systems: technical feasibility, economic viability, social acceptance and health aspects, environmental stability, efficiency of delivery system and stability of management system.

The great merit of most indigenous systems is to increase the efficiency of water use through various means: assigning priorities between drinking water and irrigation, managing drinking water by an integrated package of techniques and rules of water appropriation, soil and water conservation; use of specific plants and trees to purify water and conserve water quality and moisture. The organization of water management is adapted to this highly flexible strategy and operated under common knowledge and property (or mixed common/private) arrangements or by family groups. Some systems are operated along gender balanced divisions of tasks; some are excluding women from any decision-making.

A related aspect of the use of indigenous system is the role of ecovolunteers. The underpinnings of the concept lies in any community where the notion of service, mutual help, self help, education and transfer of know-how, and community charge is based on a volunteer contribution. The concept of ecovolunteer has been coined by the United Nations Volunteers and civil society organizations at the UNCED, ecovolunteers have been defined as people who are repositories of indigenous knowledge and are engaged in the fight for sustainable development at the community level and motivate their neighbors, village and community through education and action to improve local conditions of life. These agents of change striving to improve water supply, health, hygiene and water-related environment receive a nominal allowance for their involvement.

## Policy Implications

- ◆ Legal and institutional reforms allowing the revitalization of these systems : legal recognition, decentralized management, strengthening of local indigenous water management institutions, common property water tenure; regulation of use-intensity of water resources;
- ◆ Integration with watershed management : protection and conservation of the upper catchment, groundwater and sources, design of environmentally stable land use systems;
- ◆ Institutional collaborations with public technical agencies to provide technical and financial assistance, and foster the use of indigenous knowledge and skills;
- ◆ Local institutional capacity-building to foster self-reliance and control over management, to complement indigenous systems with tested modern methods,
- ◆ Integration of the ecovolunteer approach in WATSAN schemes;
- ◆ Introduction of new approaches to financing, building on local contributions and outside support;
- ◆ Introduction of indigenous knowledge and gender sensitive approaches in education and training of WATSAN professionals.

## Proposed Activities

Two kinds of activities will be undertaken by the Working Group:

- ◆ To review best practices of sustainable indigenous WATSAN management and draft a sourcebook building on existing cases in arid and semi-arid regions. The sourcebook will highlight key ingredients for revitalization of those systems, including assessment of sustainability, human capacity, women's involvement, local institutional strengthening, efficient management of water, approaches to financing, indicators of sustainability
- ◆ To promote and advocate indigenous water management systems. The Working Group will focus its efforts in three directions :
  - positive indigenous/traditional water management policies and programs by restricting further curtailment of these systems and common property water tenure and by empowering water users to manage these resources, particularly through the ecovolunteer approach;
  - side effects of development interventions providing guidance as how to assess potential impacts of welfare and development interventions on indigenous water management systems, including on the role of women in these systems;
  - general and specific development policies . introducing measures to protect / revitalize these indigenous systems as a project component and in a perspective of sustainability. Guidance will be provided as how to overcome the governments' and ESAs' conventional reluctance of low spending and weak technology focus due to difficulties of assessing " invisible " gains, the long gestation period and complex transaction costs with resource allocation to these systems





## Summary of Proposed Tools for Implementation

<u>Tools</u>	<u>Concept</u>	<u>Policy Implications</u>	<u>Activities</u>
<ul style="list-style-type: none"> <li>◆ Code of conduct</li> </ul>	<ul style="list-style-type: none"> <li>◆ Draft Code of Conduct on Community WATSAN Management</li> </ul>	<ul style="list-style-type: none"> <li>◆ Adoption in policies and development interventions</li> <li>◆ Monitoring &amp; evaluation of progress in implementation</li> <li>◆ Regular public information about progress in implementation</li> </ul>	<ul style="list-style-type: none"> <li>◆ Consultation of WSSCC interveners as to implementation</li> <li>◆ Promotion and advocacy to governments and EASs</li> <li>◆ Promotion and advocacy to Global Water Partnership and World Water Council</li> </ul>
<ul style="list-style-type: none"> <li>◆ Community WATSAN Funding</li> </ul>	<ul style="list-style-type: none"> <li>◆ Financing Community WATSAN management through locally based solutions</li> </ul>	<ul style="list-style-type: none"> <li>◆ Legal and institutional reforms</li> <li>◆ Capacity-building and technical assistance</li> <li>◆ Effective and equitable pricing</li> <li>◆ Accountable and transparent management</li> <li>◆ Involvement of women and users</li> </ul>	<ul style="list-style-type: none"> <li>◆ Review the experience of Community WATSAN Funds</li> <li>◆ Demonstration cases on innovative community funding</li> </ul>
<ul style="list-style-type: none"> <li>◆ Indigenous WATSAN Management Systems</li> </ul>	<ul style="list-style-type: none"> <li>◆ Best practices of indigenous systems having proven their viability and effectiveness</li> </ul>	<ul style="list-style-type: none"> <li>◆ Legal and institutional reforms</li> <li>◆ Integration with watershed management</li> <li>◆ Institutional collaboration and capacity building</li> <li>◆ Ecovolunteer approach</li> <li>◆ Introduction in education/training of water professionals</li> </ul>	<ul style="list-style-type: none"> <li>◆ A sourcebook on best indigenous practices</li> <li>◆ Pilot cases of revitalisation</li> <li>◆ Promotion and advocacy of indigenous systems in policies and programmes</li> </ul>







## Attachment 1

### The Process of Participation : From Barbados to Manila

◆ Meeting of 15 interveners at the Barbados Forum to set up parameters of WG TORs	November 1995
◆ Broad consultation extended to WSSCC participants	December 1995
◆ Planning meeting in Cairo with 15 participants to finalize TORs, organization of tasks, work schedule and budget of WG	March 4, 5, 1996
◆ Identification of 3 regional coordinations for Africa, Latin America, Asia which will provide guidelines and advice to organizations preparing cases, collect the report of each case and organize regional meetings.	April 1996
◆ First Steering Committee meeting in Istanbul (Habitat Conference) on tasks and roles of coordinations, schedule of activities, methodology of work and financing Guide and Organization of Tasks documents released.	June 3, 4 1996
◆ Questionnaire sent to local organizations, selection and preparation of case studies	June - September 1996
◆ First regional meeting for Latin America in Quito, Ecuador, organized by CIUDAD	October 16, 17, 18, 1996
◆ Second Regional meeting for Asia in Kathmandu, Nepal, organized by NEWAH	December 13, 14, 1996
◆ Third Regional meeting for Africa in Nairobi, Kenya, organized by NETWAS	March 5, 6, 7, 1997
◆ Second Steering Committee meeting in Vienna, Austria to review draft report, Code of Conduct, tools for implementation and strategy of presentation	April 8, 9, 1997
◆ Information Package on WG results sent to WG coordinations	May-June 1997
◆ Meetings with donor agencies in Europe and finalization of WG products and communication support by the Steering Committee	September 1997
◆ Presentation of WG report and materials to the Fourth Global Forum in Manila	November 3 - 7 1997



## Attachment 2

### Highlights of the regional workshops

#### Latin America Workshop

The first regional workshop of the WG took place in Quito, Ecuador, October 16 - 18, 1996 in conjunction with the WSSCC regional meeting for Latin America. The meeting was prepared and organized by CIUDAD, Quito in collaboration with the Task Manager. About 15 participants attended this meeting; 6 cases were presented and discussed. The meeting highlighted the following aspects of the WG mandate:

- **definition of key terms/concepts** related to community, management and delivery of service within the broader institutional and water management framework;
- **the necessity to consider all options of community management** at different scales of intervention and in various forms of structures (cooperatives, associations, microenterprises...) and not to segregate community management from other micro and macro levels.
- **the need to evolve sustainable models of service provision** which involve community management in order to provide a maximum coverage of people.
- **articulate the different scales of intervention** (micro/macro) according to the existing capacities of diagnostic, planning and management, negotiation and conflict resolution,
- **women's role** in water, sanitation and health is now widely acknowledged and should be strengthened in decision-making processes conducive to an improved service provision, such a strengthened role should be in hand with economic opportunities (income generating activities, creation of enterprises) and capacity building facilities;
- the definition of an enabling institutional framework includes :
  - ◆ the legal and regulatory framework: creation of community organizations and service provision systems, including systems of community financing.
  - ◆ institutionalize spaces of negotiation between service providers and community organizations.
  - ◆ promotion of legal recognition of community organization, in countries lacking specific legislation,
  - ◆ recognition in these interaction processes with community organizations of (i) the respect for community's learning and working tempo, (ii) the social, economic and environmental impacts of WATSAN projects on the community, (iii) community organization's strengthening as representative of profitable customers and users and able to contribute to each stage of service provision;
  - ◆ simplify procedures and make it easy for communities to get access to financial, goods and services markets.
- Privatization schemes may facilitate community management with following conditions .
  - ◆ ownership of infrastructures remaining public.
  - ◆ protection of users' interests by regulatory provisions guaranteeing their participation in decision-making processes related to tariffs, quality of service, coverage;

- ◆ recognized spaces of negotiation allowing community organizations to manage WATSAN systems complementary to utilities,
  - ◆ integration of the various water uses (domestic, production, industry) with possibility of reuse and recycling;
- Importance of indicators of process and water usage, in a perspective of service sustainability.

## Asia Workshop

The regional workshop for Asia of the WSSCC Working Group on Community Management and Partnership with Civil Society took place in Kathmandu, Nepal, December 13-14, 1996. It was organized by Nepal Water for Health (NEWAH) and Approtech Asia. About 15 participants coming from 7 different countries attended it. 11 case studies were presented.

### Proposed areas for consideration

1. **Defining an enabling institutional framework**
  - ◆ Legal issues
    - registration of NGOs, CBOs;
    - ownership right and right to collect / manage funds;
    - water rights;
    - right to information.
  - ◆ Institutional strengthening
    - establishing enabling community structures . water committees, eco-volunteers, CBOs and women's groups;
    - clear, specific role of each actor and mechanisms of negotiation;
    - capacity-building at local level;
    - collaborative arrangement (the role of NGOs);
    - impact on policy regime and institutional set-up (conflict prevention and resolution)
2. **Financial implications for community management**
  - ◆ Willingness and capacity to pay;
  - ◆ The issue of cost sharing and cost recovery;
  - ◆ Financial self-reliance in operation and maintenance
    - revolving funds;
    - loans and savings schemes;
    - creation of viable community economic entities;
    - subsidies, incentives, penalties;
    - pricing and collection of user charges; connection charges;
3. **Gender perspective.**
4. **Collaborative arrangements with :**
  - ◆ civil society;
  - ◆ industry;
  - ◆ private sector.
5. **Research areas.**
6. **Community management process : from preparatory activities to project completion and evaluation**
7. **Water resource conservation : groundwater is increasingly depleted and expensive. Hence the need to explore alternative / traditional methods**



## Recommendations

1. **Community management approaches are a more viable option than top-down projects. Why?**
  - ◆ cost per capita;
  - ◆ ownership;
  - ◆ conservation of water;
  - ◆ better management, operation and maintenance.

There is a need to build indicators showing these advantages.

2. **Why decentralization? (data & info needed)**
  - ◆ in centralized water system, cost recovery is less conversely; in decentralized water system, cost recovery is much more,
  - ◆ shrinking budget ,
  - ◆ better accountability of agencies to people,
  - ◆ transparency and good governance.

In Bangladesh, government is more interested to provide funds for management but not for operation

In Thailand, government is more hardware-oriented. Water right is a more serious issue

3. **Contamination & Waste Water** : strengthen the protection and careful use of small springs.
4. **Government should not hand on unsustainable projects to community.**
  - ◆ who decides what is not sustainable?
5. **Equal partnership between members of civil society**
  - ◆ (where water is scarce)
6. **Ethical issue:**

Why should water go from rural to urban areas without the rural needs being satisfied?

## Advocacy points

1. **Water resource conservation**  
(alternative / traditional water)
2. **Decentralised water systems.**

## Africa Workshop

The Africa regional workshop took place in Nairobi, Kenya, March 5-7, 1997. The meeting was organized by NETWAS and attended by 25 participants. 10 case studies were presented and discussed.

## Recommendations

### Financing Community Management

- ◆ Promote income generating activities to enhance self-reliance, O&M; make community economically independent.
- ◆ Governments should provide credit facilities and subsidies
- ◆ Financing of water supply and sanitation should be decentralised instead of through national, budgetary allocation.
- ◆ Need to have spare parts and technical skills at hand to avoid disappointment, spare pumps, repairs to avoid system run-down.
- ◆ Proportional community contribution for capital investment e.g. 10% while ESA and/or government providing the other 90%

## **Political Landscape and Policy Implications**

- ◆ Develop and reform policies to promote community management; enabling environment, choice of technology; institutional arrangements, funding of community development, enhance popular participation, etc
- ◆ Give a legal status to communities (autonomy, freehand): water users association/society, local/traditional institutions.
- ◆ Governments should be committed with political will to support community management, need for policy framework.
- ◆ Policy formulation process should be interactive among all actors (Government and civil society; NGOs CBOs, community, private sector etc.) to ensure effective policies

## **Partnerships with all Actors (Govt, NGOs, Private Sector, Donors, etc.)**

- ◆ Integrate local administration in community management
- ◆ Private sector participation in supply of spare parts and specialised technical services
- ◆ Promote popular participation and interactive partnership among all actors; need for information exchange among partners
- ◆ Partnership should be encouraged even after project implementation to enhance sustainable management
- ◆ Role of ESA as partners; strengthen existing local/traditional institutions.
- ◆ Need for code of conduct for all partners
- ◆ Partners should respond to community needs and not impose alien ideologies; bottom-up approach in all aspects of the community management.
- ◆ To strengthen NGOs-government partnership, the government should be fully involved; this will eliminate suspicion and government fear of NGOs take-over of its responsibilities.

## **Role of NGOs**

- ◆ Agent of change (catalyst/facilitator) for capacity building, advocacy, lobbying, awareness raising, proponents of new forms of governance, policy and institutional reforms, etc.
- ◆ Exchange of information/dissemination, among communities and other actors.
- ◆ Promote linkage among govt, private sector and community to enhance partnership.
- ◆ Research and dissemination to influence governments policies
- ◆ Participate in projects of the community; bottom-up approach.

## **Role of Government**

- ◆ Provide enabling environment and facilitate operation of all actors.
- ◆ Monitor and coordinate activities of all actors, community, NGOs, donors, private sector, and develop synergies among actors, promote networking and partnerships.
- ◆ Provision of technical assistance and long-term back-up
- ◆ Lead agency in the water sector, oversee implementation of projects
- ◆ Integrate local administration into community management
- ◆ Equity in distribution of donors' funding.

## **Role of Donors**

- ◆ Support NGOs and CBOs as agents of change.
- ◆ Ensure financial management, monitor NGO activities and accountability.
- ◆ Influence government policy and NGO agendas.

## **Capacity building**

- ◆ Build on existing indigenous/traditional/local knowledge & technology
- ◆ Empower the community to make their own decisions.
- ◆ Communities are capable of managing their own resources but require technical back-up to deal with socio-economic, environmental, political changes.
- ◆ Sometimes existing systems may be outdated/ineffective; hence the need to inject new ideas, especially where traditional systems have been interfered with by political set-ups.
- ◆ Also governments officers need to be trained to enhance their understanding of community management and existing legislative measures
- ◆ Illiteracy is not a handicap in community management/capacity building
- ◆ Promote role of “ indigenous volunteers ”; leadership skills and confidence building.
- ◆ Health education, sanitation and hygiene normally ignored.
- ◆ Strengthen emerging local private sector.
- ◆ Promote gender equality; attitude of men towards women’s role-- awareness to promote the role of women in water management

## **Decentralization & privatization**

- ◆ Decentralization should be a slow and transitional process, not imposed from outside
- ◆ Decentralization is not handing over of government responsibilities, not abandoning the duties of government.
- ◆ Community/village institutions may be seen to threaten local government establishment

- ◆ Decentralization should entail giving power (economic, administrative) to the community with full control and autonomy
- ◆ For big projects, where community management may be difficult, privatization option should be considered.
- ◆ Privatization may take away ownership of the project and even monopolize management.
- ◆ Decentralization should be to enhance cost-sharing arrangements of water resources development and management : community contribution in cash and/or in kind should be dictated by local socio-economic conditions, not uniform countrywide

## **Going to a Larger Scale**

- ◆ Promotion of replicability of technologies and management systems should adopt bottom-up approach.
- ◆ Promote exchange and access of information to enhance replicability and adoption of viable technologies and management systems -- not «carbon copy» due to cultural diversity, prevailing conditions; etc.-technologies and management systems are site specific
- ◆ Promote networking among all actors to disseminate experiences; through communications, media, etc
- ◆ Use of viable and replicable tools and approaches e.g. PAR, ecovolunteers, etc.



## Attachment 3

### Steering Committee of the Working Group

<b>Mario Vasconez</b>	Coordinator, Water and Sanitation, Red de Estudios de los Servicios Urbanos en America Latina (REDES) Quito, Ecuador
<b>Lilia O. Ramos</b>	Executive Director, Asian Alliance of Appropriate Technology Practitioners (APPROTECH ASIA) Manila, Philippines
<b>Vijaya Shresta</b>	Consultant Nepal Water for Health (NEWAH) Kathmandu, Nepal
<b>Patrick Nginya</b>	Programme Officer, Network for Water and Sanitation International (NETWAS) Nairobi, Kenya
<b>Bunker Roy</b>	Facilitator of the Working Group's Steering Committee Director, The Barefoot College Tilonia, India
<b>Raymond Jost and Gabriel Régallet</b>	Task Manager International Secretariat for Water Montreal, Canada



## Annexe 4

# Guide for the preparation of cases involving community management on drinking water and sanitation and partnerships with civil society

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Prepared by : G. Régallet  
Revised June 1996

### Background

- 1 The Third Global Forum of the Water Supply and Sanitation Collaborative Council (WSSCC) held in Barbados (30 October-3 November 1995) endorsed the creation of a Council-sponsored Working Group (WG) on *Community Management and Partnerships with Civil Society*. Its goal is to present to the WSSCC best practices of community management approaches, with a view to changing policies of governments and external support agencies towards an enabling environment for such community management.
- 2 A planning meeting has been convened in Cairo, Egypt, March 4-5, 1996 by the task manager (International Secretariat for Water). This meeting attended by 15 participants defined the objectives of the WG and the framework for the preparation of cases highlighting policy implications for governments and external support agencies, based on experience on the ground. The meeting also defined the process, the organizational arrangements and the financial framework.
- 3 Further to a consultation period, the document was revised at the meeting of the regional coordinations held in Istanbul, Turkey, June 2-3, 1996. The meeting decided on the criteria to select cases, organization of tasks and financial matters.

- 4 This document is more than a report of the meetings. Based on meetings discussions, it provides guidelines to the various partners interested to prepare cases based on past experience which will highlight some policy implications to improve community management of drinking water and sanitation. These cases will be selected in Africa, Latin America, Asia, Central and Eastern Europe, the C.I.S. and the Maghreb-Machreq region.

### What should the WG do

- ◆ Highlight key messages of communities managing water resources with effective, indigenous and less costly approaches to effect policy change for the sustainable/integrated management of water at the community level.
- ◆ Urge governments and donors to put in practice what is already known and accepted.
- ◆ Bring new voices in the WSSCC. NGOs and CBOs working with other sectors (public, private, donors)
- ◆ Facilitate the links between water users, their organizations and governmental and external support agencies. Promote dialogue between all stakeholders to foster community management.

- ◆ Use water as the entry point to foster community development and to put the citizen at the core of sustainable development with rights and responsibilities; promote citizen's access to water as a human right; enable the community to put pressure on the government and/or the water utility to provide a good service, to facilitate access to water.
- ◆ Develop innovative forms of communicating messages to effect policy change
- ◆ Articulate a two-stage communication strategy aiming to strengthen capacities of community organizations and build their sustainability and self-reliance. The first stage will result in the report accumulating stock of past achievements based on field experience. The second will facilitate the sharing and capitalization of experience between local interveners of the North, the South and the East.
- ◆ Keep the momentum of this WG to create a space for community management and sustainability both in the Collaborative Council and in other forums.

### What should the cases bring to the fore

- ◆ Show different ways and methodologies how communities manage water systems, including indigenous systems.
- ◆ Make an evaluation of the experience with its achievements, obstacles and failures in order to stress policy implications
- ◆ Stress common parameters for successful community management initiatives as well as localized parameters, especially traditional know-how.
- ◆ Provide lessons on integration of the various dimensions of community management, on partnership building with the water utility, governmental agencies, donors and others, and on financing geared to sustainability, continuity and self-reliance
- ◆ Emphasize human and institutional aspects of community management

### How will the cases be selected

- ◆ A questionnaire will be sent by the regional coordinations to the organizations involved in community management of drinking water and sanitation in their region
- ◆ A selection of cases will be made at the end of July by the regional coordination and the Task Manager in order for the cases to be further elaborated.
- ◆ The selection will be made on three critical issues:
  - ◆ How innovative is the case?
  - ◆ What is the proportion of indigeneness of the case characterized by the recourse to local knowledge, resources, techniques, capacity to generate funding from within?
  - ◆ How reproducible is the case, both in the community and elsewhere?

### How to prepare the case

The WG planning meeting identified three grids of issues that each case should address. Since these grids try to provide a comprehensive perspective, each case should emphasize issues relevant to the local context

#### **First Grid:**

#### **Areas of internal/external conflicts**

#### **Related to needs and uses**

- 1 Conflicts between uses of water:
  - domestic vs productive
  - survival vs commercialization/tourism
2. Water for whom? poor vs elite
3. Water vs sanitation/hygiene
4. NGO objectives vs felt needs
5. Social needs vs economics
6. Gender issues: role of women, children vs men.



## Related to systems

7. Who controls the water? Are communities involved in planning, implementation of water projects, solving their problem?  
Centralized vs decentralized systems vs indigenous systems  
  
Decentralization is fitting into a context of.
  - urban vs peri-urban vs rural
  - structural adjustment and withdrawal from State
8. Traditional vs modern/imported systems (related to knowledge, techniques, institutions and management)
9. Rain water vs ground water (decentralized, inexpensive) (centralized, commercial, expensive)

## Related to management

10. Public vs commercial/privatization vs community management
11. Large vs small scale including issues of subsidies and cost-effectiveness
12. Exploitation of sources/supply vs conservation/demand management
13. Technological vs social, cultural, human approach (engineers-professionals driven)
14. International standards vs local uses (not necessarily based on potability standards)
15. North vs South vs East perceptions to solutions

## Second Grid: Technology options linked to community organizations and knowledge systems.

- ◆ Identify common parameters and ecosystems
- ◆ Contrast official national policies of access to water with community realities and practices (for instance one source per village, drinking water accessible within one-kilometer distance, ...)

- ◆ Highlight the policy implications of communities using multiple water systems with multiple water management systems whereas government and donors go for one source
- ◆ Underline multiple systems effective for different uses and risks.
  1. Piped water supply
  2. Hand pump/mechanized (diesel;solar)
  3. Rain water harvesting
  4. Open wells
  5. River beds
  6. Springs
  7. Wind mills
  8. Desalination plants/units
  9. Purifying through natural processes
  10. Tanks/cisterns

## Third grid: Implementation & Management of Water Systems

Explain what the community has done in regards to:

1. Control and regulation of water uses (traditional/modern) including water catchment, source protection, water pollution
2. Operation and maintenance
3. Conflict resolution and prevention
4. Financing: cost-recovery, subsidies, incentives, penalties; pricing and collection; fund-raising, self reliance
5. Training and capacity-building
6. Establishment of water committees and other local structures
7. Interface between new and existing structures
8. Information provided to local users and outside public (governmental; external support agencies)
9. Empowerment around choice and control of inputs
10. Relations with the water utility and with outside agencies (government, donors, suppliers)

11. Advocacy role: land title, ownership...
12. Promotion of change and innovation.

## The process

### Task Timing

- |     |   |                         |
|-----|---|-------------------------|
| 1.  | Identify 3 regional coordinations for Africa, America, Asia which will provide guidelines and advice to organizations preparing cases in their region and collect the report of each case | April 1996              |
| 2.  | Briefing meeting of the 3 regional coordinations- Istanbul  | June 1996               |
| 3.  | Questionnaire sent to local organizations   | June / July 1996        |
| 4   | Selection of local organizations in charge of preparing the case (report) and presenting it to a regional meeting   | End July 1996           |
| 5.  | Preparation of cases  | August / September 1996 |
| 6.  | Regional meeting-Latin America -Quito   | October 17-19, 1996     |
| 7   | Regional meeting- Asia - Katmandu   | December 1996 - week 2  |
| 8.  | Regional meeting - Africa - Nairobi   | January 197 - week 2    |
| 9.  | Stock taking meeting of the regional coordinations along with selection of the WG members   | February 1997           |
| 10. | Preparation of the WG report and communication support  | March - April 1997      |
| 11. | Meeting of the WSSCC (Fourth Forum)   | October / November 1997 |

## Who should participate

The Working Group is an open process which should involve all interveners interested in community management. This will be reflected at three levels

- ◆ in the preparation of each case, by highlighting the partnership arrangements between public agencies, private companies, NGOs, CBOs and other organizations to facilitate community management,
- ◆ in the representation of each regional meeting, which should involve about 20 participants coming from CBOs, NGOs, private sector, government and other authorities, research organizations, professional organizations, universities, international donors along with a fair representation of women;
- ◆ in the selection of the members of the Working Group which will be finalized further to the regional meetings in order to get a fair representation of all constituencies and people with a demonstrated experience in community management

## What support will be provided

Local organizations preparing the cases can count on the advice and guidelines of the regional coordination. They should refer to it for any information

They will receive a lump sum covering all costs related to the preparation and transmission of the case.

The regional coordination in collaboration with the Task Manager and the organizations having prepared a case will select the participants to the regional meeting. The cost of travel and accommodation will be taken in charge by the WG budget.

## How to present a case

The presentation of each case will be as follows:

- ◆ brief description of the local context: location, number and socioeconomic of people and users involved, duration of experience (one page);
- ◆ go through the issues identified in the three grids and stress the policy implications resulting from the experience (maximum 8-9 pages);
- ◆ a one-page conclusion capturing the main lessons;
- ◆ add pictures, slides, posters and other audiovisual materials.



## Attachment 5

### Summary of Case Studies presented the Regional Workshops

#### Summary of Case Studies from Africa

##### **Community-Based Water and Sanitation Projects in Lake Victoria Drainage Basin in Kenya by Francis Asunah**

The paper focuses on the activities of the Lake Basin Development Authority (LBDA) in the provision of water and sanitation in the lake region through the Rural Domestic Water Supply and Sanitation Programme. It involves construction of wells, dams, spring protection; roof catchments and VIP latrines. The activities of the LBDA are decentralized and implementation is at the district level. The implementation is through a bottom-up approach. The LBDA addressing the needs of the community. The LBDA provides technical services besides limited financial assistance, in terms of fund raising activities. The financing is through cost-sharing whereby community meets par of the costs and provide labour and local materials. The communities are involved in all the process and decision-making. In most cases existing technology and local institutions are improved. The programme also promotes partnership with the private sector, local NGOs and institutions working with the communities at village level.

**Contact :**

**Mr. Francis Asunah**  
**Lake Basin Development Authority**  
**P.o. Box 1516**  
**Kisumu - Kenya**  
**Tel : 254-35-42241 / 45203**  
**Fax: 254-35-45204**

##### **Community-Participation in Village Water Supply Programmes in the Republic of Guinea by Amadou Diallo**

The paper presents a case of government intervention to address water scarcity (due to drought and mismanagement of existing supplies) through developing a National Programme. Government intervention is in terms of policy development, financial assistance and community mobilization. The government facilitates partnership between private sector and communities through well laid and binding formal contracts. Government sets criteria for selecting beneficiaries. The programme involves utilisation of groundwater using hand and solar pumps depending on the socio-economic status of the villagers. Cost-sharing (community contribution) is prerequisite. Villagers are in charge of O&M and full management of the projects. There exists a strong link between villagers and local administration. Funding is set aside in advance for O&M. There is effective water users association made up of water users, local administration, local authority and technical personnel besides an Executive Director and accountant. Revenue used for salaries and O&M is generated from sale of water. The programme presents a move towards full decentralization of water management. The program also involves capacity building, technical skills and management skills.

**Contact:**

**Mr. Amadou Diallo**  
**Bureau d'études Laforet**  
**B.P. 3484 Conakry (RG)**  
**Tel: (224) 41 19 82 Fax: (224) 41 19 82**

## **Recycling of Domestic Water in Costers/ Sococim and Diokoul-Rufisque Dakar, Senegal by Khady Diagne**

The paper addresses local people's participation in recycling of domestic water in the slums around Dakar. Local people are trained on technology and management of recycling domestic water to improve sanitary conditions and reuse of water and solid wastes for kitchen gardening. The government, through an NGO, ENDA, provides funds and technical assistance for sanitation of urban poor and also monitors and controls water quality standards. Popular participation and contribution is key to the project. The project has improved and decentralized provision of sanitary services. The waste water is collected and treated and recycled in a central purification plant. The household pays for waste water collection and disposal at affordable cost.

### **Contact:**

**Mrs. Khady Diagne**  
54, rue Carnot  
B.P. 3370, Dakar, Senegal  
Tel: (221) 22 09 42 Fax: (221) 23 51 57  
E-mail: rup@enda.sn

## **Community Management of Water Points in Burkina Faso by Jean Bosco Bazie**

The paper focuses on development and management of communal water points, shallow wells using hand pumps. The project normally starts by a community forwarding its need to an NGO, Eau Vive, which then conducts a feasibility study. The NGO provides financial assistance (90% of total cost, 10% community contribution) and technical assistance. The community raises their share from proceeds of their collective farms. For O&M, there exists contractual partnership among the villagers, the NGO, private entrepreneurship and technical agencies. The NGO also enhances the community capacity, through training and institutional reform of the local people in management of the water systems. The overall project management is the responsibility of the community.

### **Contact:**

**Mr. Jean Bosco Bazie**  
B.P. 300 Thiès - RP / Senegal  
Tel: (221) 51 35 24 Fax: (221) 51 35 25

## **Murugi Mugumango Community-Based Water Supply Project, Tharaka-Nithi, Kenya by Kithuci Rucha**

The paper addresses community water management of a 60 km piped gravity domestic water supply project with individual connections. The water users association is registered as a society under the Societies Act and hence has legal status. The project was started by the community with financial assistance from Canadian Hunger Foundation (CHF), SIDA and the government (Ministry of Water). Besides financial assistance, technical and training support was provided. The Ministry of Culture and Social Services assisted in institutional development. The project supplies water only to paid up members, most with individual connections and poor members getting water from well-up neighbours. The project is managed by an elected committee assisted by a field supervisor and an accountant. Revenue for O&M and salaries are raised from monthly water sales; water connections are metered. The project is owned and fully managed by the members.

### **Contact:**

**Mr. Kithuci Rucha**  
P.O. Box 385 Chogoria-Kenya  
Tel: 254-166- 22 131

## **Water as an Entry Point for Development at District. A Case Study of ProNet's Work in Upper West Region of Ghana by Judith Thompson**

The paper focuses on the activity of an NGO, ProNet, in the provision of water and sanitation to the rural communities of remote parts of Northern Ghana. The NGO works in collaboration with community-based organizations (CBOs). The water supply involves improvement of traditional hand-dug wells; provision of hand pumps and good sanitary conditions. The project development makes use of existing government structures at the local level. The NGO provides financial and technical assistance besides capacity building (both education, O&M, training of volunteers, management skills, etc).

The beneficiaries, through a cost-sharing arrangement, contribute in cash and/or kind for water development and management. The implementing agents respond to the community needs by a bottom-up approach. The use of an informal traditional banking system for community contributions is highlighted. The paper also outlines the government policy and strategies for community water development and management. ProNet works in partnership with the government to monitor the village projects.

**Contact:**

**Ms. Judith Thompson**  
Private Mail Bag, Kotoka Int. Airport  
Accra, Ghana  
Tel: 233-21 228806 Fax: 233 21 223218

**Community Management of Water Supply Projects in Four Villages in Imlit Valley, Morocco by Dr. Leila Tazi**

The paper presents cases where communities have developed and managed their water resources without any external assistance. These are cases of a fully decentralized water supply systems. The water supply systems use improved traditional technology: water harvesting and gravity canal system, shallow well and motorized borehole pumping systems. The role of traditional village councils (jmaat) in control and distribution of water is well elaborated. All the project funding is raised by the community who contribute proportionally according to social status. Financial assistance also comes from kinsmen working in the cities or abroad. Technical expertise, when required, is hired from outside. The village water management is strengthened by strong solidarity among the kinsmen. Revenue for O&M is raised from sale of water. However, health and sanitation and gender equity are not well articulated.

**Contact:**

**Dr. Leila Tazi**  
Amrash  
59 rue, Clemenceau  
Casablanca, Morocco  
Tel: 212 2 233542 Fax: 212 470061

**Eco-Volunteer Water and Sanitation Project in Senegal by Mahmoud Diop**

The paper addresses an integrated rural development programme, in particular water supply and sanitation, through Eco-volunteers project initiated by an NGO, ANID and ISW. The project involves capacity building through training of Eco-volunteers (change agents) who in turn assist the community in rural development activities. The water supply systems consist of boreholes for domestic and livestock water supply, and gardening. Initially hand pumps were used but due to high demand, the technology has been improved to motorized pumps. Financial and technical assistance was provided by ANID but the villagers have mobilized their resource setting up a revolving fund generating enough revenue to cater for O&M. The water project is wholly managed by the community with technical assistance from eco-volunteers. Water management is integrated into other rural development activities thus making the community self-reliant and autonomous. The concept of eco-volunteer has created a forum of exchange of information on management principles at village level and also among neighboring villages. It has been well received by the community hence promoting project sustainability.

**Contact:**

**Mr. Mahmoud Diop**  
RADI / ANID  
BP 12085 Colobane, Dakar  
Rue 11.10 Amitié 2, Sénégal  
Tel: (221) 825 75 33 Fax: (221) 825 43 30

## **An Overview of the Domestic Rural Water Supply Sector in South Africa, by Rick Murray**

The paper particularly focuses on water supply and sanitation policy in South Africa and its implementation at village level (a case study of a rural water supply project). A transition from government supported, in the apartheid era, to fully decentralized and community-initiated projects, in post-apartheid era, is outlined. The technology adopted emphasizes on community needs, mainly improvement of hand pumps and windmills into motorized systems. The capital cost is provided by the government, while the community funds O&M. A case study of a Qoqodala domestic rural water supply program is outlined. The policy also emphasizes on training on all aspects of water management. A curriculum of Rural Support Service Training and Rural Water Supply Development Process are appended.

**Contact:**  
**Mr. Ricky Murray**  
Posbus 320  
Stellenbosh  
7599, Suid-Afrika  
Tel: 27 21 887 5101 Fax: 27 21 883 3086  
E-mail: murray@csir.co.za

## **Eco-Volunteer Project in Egypt by Iman Youssef**

The paper focuses on development and management of water supply projects in isolated villages of Egypt. Further it outlines the conventional government policy with regards to rural water supplies: installation of main pipe at village borders, setting tariffs on domestic water, private project, etc. Unlike the former government approach, the latest innovation, involving eco-volunteers to catalyze integrated rural development, take the plight of the poor people, women and children into consideration.

The case study involves capacity building through village-based eco-volunteers. It has mobilized the local people into developing their own water supply and sanitation systems. The initiative has had major impacts on government policies, change of attitudes; economic empowerment; raising awareness (on water, sanitation, environment, health and human right); community and financial mobilization, etc. The role and impacts of different actors is also outlined. Interestingly, «AlZakah contribution» has been diverted to fund water project due to importance of water especially during the holy month of Ramadhan. The project also enhances a strong solidarity among the villagers. Community contributes to full project costs while the NGO is only playing the catalyst role.

**Contact:**  
**Ms. Iman Youssef**  
Module Development Services  
22 Abd El Aziz Talaat Harb St. Sahafeien  
Giza - Egypt  
Tel: 202-3035515-3044243 Fax: 202-3044243  
E-mail: mhkamel@intouch.com

## **An Overview of Participatory Action Research (PAR) Project by Isaack Oenga**

The presentation briefly outlined the activities of the on-going PAR in four communities in Kenya supported by the Dutch Government (DGIS-IRC). The preliminary findings focused on the following major issues: community vs consumers vs members; legal issues; institutional aspects; financing of projects; water users, tools used; etc. The presentation stressed that the role of the community needs to be more articulated in water management. Further, determination of the beginning point of management in the project development process is an important factor in understanding concept of community management. It was noted that to ensure sustainability, management should begin during project conception.

**Contact:**  
**Mr. Isaack Oenga**  
Netwas  
P.O. Box 15614  
Nairobi, Kenya  
Tel: 254-890555/6/7 Fax: 254-890553/4  
E-mail: netwas@ken.healthnet.org



## Summary of Case Studies from Asia

### Community Management Approaches to the Development of Rural Water Supply and Sanitation Facilities in Indonesia by Sugimin Pranoto

This case highlights the main ingredients of the Indonesia Programme covering 3,260 communities. The institutional framework includes the recognized roles and responsibilities of CBOs/Village headperson; the ownership rights of the system are held by a local semi-autonomous water supply enterprise whereas the water rights are managed by the Ministry, and the surface water rights are vested in the River Basin Authorities. The program contains institutional strengthening of communities. The improved system is based on local contributions, cost sharing and recovery, user charges. Private sector and industries have contributed to the programme

**Contact:**  
Mr. Sugimin Pranoto  
Central Project Administration Office  
Rural Water Supply and Sanitation Project  
J1. Pam Baru I/1, Pejompongan, Jakarta 10210,  
Indonesia  
Tel / Fax: 62 21 57 42 510

### Rain Water Harvesting in Thailand by Wilas Techo

This system does not require any legal or institutional arrangement since water is taken from individual tanks. The Project has a strong training component and payments are asked for the assistance provided by the NGO. The project has proved its financial self-reliance in O&M and has benefited to women in terms of reduced workload for water transportation. It is an easy-to-install technology avoiding legal, institutional problems of more sophisticated systems.

**Contact:**  
Mr. Wilas Techo  
Population & Community Development Association  
8, Sukhumvit 12  
Bangkok 10110, Thailand  
Tel: 2294611-28 Fax: 2294632  
E-mail: pda@mozart.inet.go.th

### The Antitar Integrated Community Water, Health and Sanitation Project in Nepal by Tulsi Prasal Adhikari

NEWAH gets a no source dispute letter from the local government during the project feasibility survey and provides a project ownership certificate to the community involved. Water committees formed in the village are encouraged to register the ownership of water scheme. People provide unskilled labour and local materials. NEWAH highlights the benefits for local people in terms of better health, sanitation behavior, money savings. Usually if people convert all these benefits in cash, cost recovery occurs within 3 months after the project completion. Women are strongly encouraged to occupy positions in local committees with men committing to help them. Various organizations contribute to the programme.

**Contact:**  
Mr. Tulsi Prasal Adhikari  
NEWAH  
P.O. Box 4231, Kathmandu, Nepal  
Tel: 977 -1 - 227 325 Fax: 977 - 1 - 227 730

### Towards Self-Reliance: A people's movement toward creating sustainable drinking water systems in Gujarat by Nafisa Barot

The main lessons of this case are. local wisdom, know-how cannot be discarded and is based on balance with natural resources. Women exhibit their sense of initiative in taking action; perseverance and hope and strength to resolve conflict; decentralized WATSAN schemes which are sensitive to gender and adopt livelihood priorities are more sustainable. The question of control and access to decision-making is better addressed at the local level. Communities give more weight to adequate water quantity in the beginning. If adequate quantity is made available, efforts on quality and health follow quickly.

**Contact:**  
Ms. Nafisa Barot  
UTTHAN  
36, Chitrakut Twins, Nr. Management Enclave,  
Vastrapur  
Ahmedabad - 300015 - India  
Tel: 91 79 67 50213, 675 1023  
Fax: 91-79 67 54 447

## **Community Participation and Management in Water and Environmental Sanitation Programmes in Kerala, India by K. Balachandra Kurup**

The sanitation programme goal carried by decentralized units is to provide poor households with permanent latrines of good quality, in such a way that they appreciate the facility and would use it properly. This means not only construction of latrines, but also mobilization and motivation of the users, and promotion and monitoring for good practices. The essentials of the programme are:

- flexibility in planning and experimentation,
- negotiation with local government area (Panchayats);
- decentralized and local management central roles taken by the local government and ward water committees (voluntary groups of seven people with at least two (now three) women working with ward populations of about 2500),
- partnership: involving personnel affiliated to all major local institutions (schools, nursery schools, clinics, women's or youth groups, local government and so on);
- no construction for 3 to 8 months after the programme starts in a community to allow for mobilization, training, contributions, demand creation;
- strong emphasis on education and capacity building at all levels;
- financial contributions from local governments and households, and other groups before start of programme locally,
- no contractors' reliance on local materials, local masons, cost reduction through competitive tenders.

Other elements of environmental sanitation, such as the promotion of handwashing, if possible with soap, the construction of drainage at public taps, the chlorination of traditional wells and the improvement of school sanitation were gradually added to the programme

### **Contact:**

**Dr. K. Balachandra Kurup**  
Palaazhy, T.C. 5/1708-3  
Ambalamukku, Kandiar P.O.  
Trivandrum, 605003 Kerala - India  
Tel / Fax: 91-471-437018

## **Rural Sanitation Programme through Community Management and Partnership with Civil Society - by S.M.A. Rashid**

Lessons learnt from a 15-year experience can be summarized as follows .

- There has been marked increased demand for water-seal latrines in the social mobilization intervention areas
- It was easier to motivate and educate people in the NGO intervention areas rather than in the NGO non-intervention areas.
- There has been increased demand for safe water in the non-intervention areas.
- There has been marked improvement in hygienic latrines construction, usage of tubewell water for all domestic purposes and hand washing and other hygiene practices as well as in the general health awareness of the community people.
- Construction and use of a hygienic latrine in each household are possible
- Regular follow-up and monitoring are needed to sustain the achievements
- A programmatic, not a project approach will provide more flexibility and opportunity for community management
- Community management requires an important capacity-building process along with ongoing promotion and advocacy to governments.

### **Contact:**

**Mr. S.M.A. Rashid**  
NGO Forum for Drinking Water Supply and Sanitation  
4/6 Block-E Lalmatia  
Dhaka - 1207 Bangladesh  
Tel: 880 2 - 81 95 97, 81 95 599  
Fax: 880 2 - 81 79 24

## **The Rubikhola Tallakot Drinking Water Scheme by R.P. Gyawali & I.P. Adhikari**

This case study covers 141 households in the Pokhara region of Nepal. Among the lessons learnt, the case draws the following:

- Sense of ownership is high due to users' involvement in every phase of the planning.
- Women empowerment is essential in social development process. We realized that sustainable development is difficult, though not impossible, by enforcement. Moreover, involvement of women in development process through provision of female community worker is more effective in organizing and facilitating the people.
- Sharing of experience and knowledge can be increased through observation and exchange visits.
- Community always demands the income generating programme which directly affects on their economic status. Reviewing this fact, we are allocating certain amount of money in each Users Committee for income generation programme from this fiscal year 1996/97.
- Arrange training in local level is more effective rather than arrange in district chapter. Motivation is an essential part

### **Contact:**

**Mr. R.P. Gyawali and Ms. Indra Prasad Adhikari**  
Nepal Red Cross Society  
Kathmandu, Nepal

## **The Experience of Sarvodaya Rural Technical Services by M.P.T.P Fernando**

SRTS has worked in rural villages improving the water and sanitation facilities for the last 18 years. During this period, more than 200 gravity water supply (GWS) schemes, 2000 wells and thousands of latrines were built.

From this experience, the following lessons are highlighted :

- (a) Legality of CBO ownership has to be secured.
- (b) Locations of stand posts have to be identified to prevent unwanted handling
- (c) O&M roles of organizations involved have to be defined.

- (d) O&M Fund is a must to keep the water community intact
- (e) Schemes have to be very simple & easy to maintain.
- (f) Acceptance of the project changes by the people is the most important function of sustainability.

### **Contact:**

**Mr.M.P.T.P. Fernando**  
Sarvodaya Shramdena Movement  
98 Moratuwa, Sri Lanka  
Tel: 94 - 1 - 645255, 647159  
Fax: 94 - 1 - 647084

## **Community-Based Initiative for Water Supply and Sanitation : Sapangpalay, Bulacan, Philippines by Jaime Glomar**

Innovative implementation strategies were focused on the empowering of women (ecovolunteers) involved in the project thru volunteerism which finally led to community organizing. They participated in all the aspects of project implementation starting from the process of problem identification. But the most important activity is their involvement in finding solutions to identified problems in their community. Important ingredients were

- formulating the existence of a people's organization;
- lobbying to local government officials for provisions of materials and equipment for the installation of wells and setting up a partnership;
- worked out the maximum utilization of an area where a spring is located,
- secured location clearance from National Housing Authority and cleared land classification and its status;
- linking water improvement to income generation;
- getting volunteer community contribution through traditional mutual help system;
- getting people involved from early planning to O&M,

### **Contact:**

**Mr. Jaime Glomar**  
Norfil Foundation  
Airbase Rd, Sangi, Pajo, Lapu-Lapu City 6015,  
The Philippines  
Tel: 9632) 340 - 1169/1170

## **Síntesis de las presentaciones de América Latina**

El Seminario-Taller Regional de América Latina del Grupo de Trabajo. «Gestión Comunitaria y Relaciones con la Sociedad Civil» perteneciente al Consejo de Colaboración sobre Agua Potable y Saneamiento (WSSCC) tuvo lugar en Quito - Ecuador del 16 al 18 de Octubre de 1996

El evento, organizado por el Secretariado Internacional del Agua y el Centro de Investigaciones CIUDAD, contó con la participación de especialistas de diferentes nacionalidades e instituciones del sector estatal, privado y de ONG's

El Seminario-Taller se inició con la presentación de casos sobre: «Gestión comunitaria del agua y el saneamiento en América Latina» y concluyó con un debate sobre: «Financiamiento alternativo de pequeños proyectos de agua y saneamiento. el caso de los Fondos de Inversión Comunitarios».

**Mario Vasconez, Coordinador del Seminario - Taller**

## **Gestión asociada de prestación de servicios de abastecimiento de agua y saneamiento para comunidades peri-urbanas y rurales, Fernando Chaves**

El estudio de caso presentado busca aportar a la formulación de un modelo replicable y adecuado a los países de la región y contempla la transformación y fortalecimiento de la gestión de los servicios públicos a través de la articulación institucional (estatal, privada y comunitaria) Este tipo de acción permite garantizar la prestación de los servicios a poblaciones carenciadas; definir un modelo organizativo de planificación participativa y gestión asociada; sistematizar estructuras de negociación comunidad - gestión privada, a la vez que propuestas tecnológico-financieras; e, incorporar al modelo de prestación diversas alternativas socio-culturales, tecnológicas, económico-financieras y ambientales.

### **CONTACTOS:**

**Fernando CHAVES**

**Programa de Saneamiento Básico para Poblaciones Carenciadas**

**Alsina 1418**

**5o. Piso 1088**

**Buenos Aires - Argentina**

**Tel: (54 1) 381 8210 / Fax: (54 1) 381 3094**

## **Gestión comunitaria del agua y el saneamiento y relaciones con la Sociedad Civil, Alberto RIVERA y Patricia RICHMOND**

La presentación se refirió a la experiencia del Fondo Rotatorio de Agua Potable (FRAP) que CERES mantiene desde 1993 para enfrentar la falta de agua potable en zonas peri-urbanas de Cochabamba La experiencia ha probado tener éxito en el fortalecimiento de las comunidades, mejorar el saneamiento ambiental y apoyar la vinculación entre la población y diversas instituciones. Parece posible llegar a un modelo sostenible para financiar el saneamiento básico y mejorar el hábitat en la ciudad en crecimiento sobre la base de nuevas modalidades de crédito a sectores populares; la confianza en la interacción con los beneficiarios y el respaldo de otras instituciones.

Este estudio de caso presento cuatro temas principales:

- a) Areas de conflicto internas y externas (necesidades y usos del agua; sistemas; gestión);
- b) Opciones tecnológicas ligadas a los saberes y sistemas de las organizaciones comunitarias;
- c) Implementación y Gestión de los Sistemas de Agua (apoyo de las ONGs) y
- d) Opciones Financieras (fondo rotatorio, sostenibilidad; Modalidades de Financiamiento (capacidad de pago; esquemas de ahorro)

**CONTACTOS:**

**Alberto RIVERA**

**CERES**

**Casilla 949**

**Cochabamba - Bolivia**

**Tel: 591-042-57486 / Fax: 591-042-32310**

**E-mail: arivera@llajta.hrc.bolnet.bo**

**Modelo de organización de una empresa de servicios públicos con participación comunitaria, Carlos HERNANDEZ**

El caso presentado contiene las siguientes características: gestión ambiental y social, prestación del servicio, promoción de empleo, desarrollo humano, implantación de tecnologías limpias, participación comunitaria, educación ciudadana, estímulo a la investigación, impacto ecológico y social, desarrollo sostenible, factibilidad económica. El proyecto se ubica en Chiniquir región montañosa del centro de Colombia. Aparece como un modelo reproducible con elementos novedosos en lo social, lo económico y en cuanto a la gestión.

**CONTACTOS:**

**Carlos HERNANDEZ**

**P.O. Box 1000252**

**Bogotá-Colombia**

**Tel: 571 345 5879 / Fax: 571 210 2763**

**Alternativas para el desarrollo de proyectos de agua potable y saneamiento en Colombia en poblaciones menores de doce mil habitantes. Inés RESTREPO y Mario Alejandro PÉREZ**

La presentación se refirió a dos aspectos principales:

- a) nuevos esquemas de financiamiento en el Sector Agua Potable y Saneamiento en zonas rurales y pequeños municipios colombianos (panorama general de financiamiento que cubre el sector estatal, los gremios económicos, el sector financiero y las comunidades);
- b) Proyectos de aprendizaje en equipo como estrategia de desarrollo, en zonas rurales, pequeños municipios y zonas urbano-marginales (forma como se ha abordado el financiamiento de los sistemas y del proyecto en general, con la participación de los sectores involucrados, Estado, sector privado, y ONGs).

**CONTACTOS:**

**Inés Restrepo**

**CINARA**

**Universidad del Valle**

**Facultad de Ingeniería**

**AA 25157**

**Cali Colombia**

**Tel: (57) (23) 339 2345 / Fax: (57)(23) 339 3289**

**e-mail: inrestre@cinara.univalle.edu.co**

## **Manejo comunitario del agua y relaciones con la sociedad civil, Gustavo RIOFRIO**

Este estudio presenta dos casos de acciones de la comunidad en relación al agua y al saneamiento en procesos habitacionales de gestión espontánea.

- a) Los parques públicos de Villa María del Triunfo y
- b) Las lagunas de Oxidación del Cono Sur de Lima

En las conclusiones se señala que es necesario repensar esquemas de gestión local (microempresas de prestación de servicios de aguas usadas; comisiones mixtas comunidad-municipalidad, y cambios en el rol normativo y de control del gobierno central). Desco ha desarrollado un proyecto de gestión ambiental (tratamiento de aguas servidas para irrigación de áreas verdes y manejo de aguas y desechos sólidos en tres distritos desérticos en áreas peri-urbanos de Lima con 870.000 habitantes).

### **CONTACTOS:**

**Gustavo RIOFRIO**

**DESCO**

**León de la Fuente 110**

**Lima 17 - Perú**

**Tel: 51 1 264 1316 / Fax: 51 1 2640128**

**E-mail: griofrio@desco.org.pe**

## **El fondo rotativo como instrumento financiero alternativo para pequeños proyectos, Dominique LESAFFRE (Suiza) y Patricia CAMACHO (Ecuador)**

Esta ponencia enfocó los principales criterios para seleccionar instrumentos financieros alternativos (efectividad, proximidad, propiedad, rapidez, apropiación, apalancamiento, capacidad de endeudamiento de la comunidad). En relación a los fondos rotativos se analizó las ventajas y desventajas de las decisiones y se puso especial énfasis en las principales razones para un posible fracaso de la modalidad «fondo rotativo» como instrumento financiero alternativo para pequeños proyectos de agua y saneamiento sobre la base de la experiencia de RAFAD en ese tipo de acciones para proyectos productivos y de comercialización.

### **CONTACTOS:**

**Patricia Camacho**

**RAFAD - Ecuador**

**Casilla 17-12075**

**Quito Ecuador**

**Tel: (593) (2) 506358 / Fax: (593) (2) 551140**

**E-mail: hugovd@pi.pro.ec**

## Attachment 6

### Lists of participants

#### Working Group

#### Community Management and Partnerships with Civil Society

---

##### First Meeting

##### Cairo

##### March 4-5, 1996

Claude Caillère  
InterRives, France

Laurent Chabert d'Hières  
Solidarité Eau, France

Raymond Jost  
ISW, Canada

Marc Lammerink  
IRC, The Netherlands

Christophe Le Jallé  
Solidarité Eau, France

Dave Mather  
WATERAID, U K.

John Munuve  
CUSO, Tanzania

Lilia Ramos  
Approtech Asia, Philippines

Gabriel Régallet  
ISW, Canada

Bunker Roy  
Social Work and Research Centre, India

Dame Sall  
Anid/Radi, Sénégal

Mario Vasconez  
Ciudad, Ecuador

Iman Youssef  
MODULE Dev. Service, Egypt

##### Excused

Amadou Diallo  
Bureau d'études Laforest, Guinée-Conakry

Ashok Jaitly, Govt of India

Helmut Weidel  
Mountain Unlimited, Austria

**First meeting of the  
Steering Committee  
Istanbul, Turkey  
June 2-3, 1996**

Patrick Nginya  
Network for Water and Sanitation International  
NETWAS, Nairobi, Kenya

Lilia Ramos  
Appropriate Technologies Practitioners  
APPROTECH ASIA, Manila, Philippines

Bunker Roy  
Social Work and Research Centre  
Tilona, India

Vijaya Shresta  
Nepal Water for Health  
NEWAH, Kathmandu, Nepal

Mario Vasconez  
CIUDAD, Quito, Ecuador

Raymond Jost, Coordonnateur  
Secrétariat international de l'eau, Montréal, Canada

Gabriel Régallet, Coordonnateur  
Secrétariat international de l'eau, Montréal, Canada

**Guests**

Anthony Pelligrini,  
Director, Transportation Water, Urban Development  
Department, World Bank, Washington

Ranjith Wirasinha,  
Executive Secretary, Water Supply and Sanitation  
Collaborative Council

**First Workshop for  
Latin America  
Quito  
16,17,18 October 1996**

Carlos Hernandez  
Cenagua, Colombia

Ines Restrepo  
Cinara, Colombia

Fernando Chaves  
Programa Nacional del Agua y Saneamiento Rural,  
Argentina

Gustavo Riofrio  
Desco, Peru

Alex Abiko  
Universidade de Sao Paulo, Brasil

Pattie Richmond  
Ceres, Bolivia

Gabriel Régallet  
Raymond Jost  
Coordonnateur

Alberto Rivera  
Ceres, Bolivia

Dominique Lesaffre  
Rafad, Suisse

Patricia Camacho  
Rafad, Ecuador

Ranjith Wirasinha  
WSSCC

Mario Vasconez

Silvana Ruiz  
Centro de Investigaciones Ciudad, Quito



**Second Workshop for Asia  
Kathmandu, Nepal  
12-14 Decembrer 1996**

Lilia Ramos  
Approtech Asia, Philippines

Vijaya Shresta  
Newah, Nepal

Sugimin Pranoto  
Rural Water Supply and Sanitation Project, Indonesia

Jaime Glomar  
Norfil Foundation, Philippines

Wilas Techo  
Population & Community Development Association,  
Thailand

S.M.A. Rashid  
NGO Forum for Water & Sanitation, Bangladesh

Nafisa Barot  
Manju Makwana  
Utthan, India

M.P.T P. Fernando  
Sarvodaya Rural Technical Services, Sri Lanka

Bunker Roy  
SWRC, India

K. Balachandra Kurup  
Kerala Water Authority, India

Tulsi Prasad Adhikari  
Newah, Nepal

Laxmi Narayan  
Pravatna Sanstan, India

Ram Prasad Gyawali  
Indra Prasad Adhikari  
Red Cross Society, Nepal

Hari Prasad Sharma  
DWSS, Nepal

Ranjith Wirasinha  
WSSCC

Gabriel Régallet  
Coordonnateur

**Third Workshop for Africa  
Nairobi, Kenya  
5-6-7 March 1997**

Jean Bosco Bazié  
Eau Vive, Sénégal

Amadou Diallo  
Bureau Laforet. Conakry, Rep. Guinée

Khady Diagne  
Enda, Sénégal

Mahmoud Diop  
Radi - Senegal

Leila Tazi  
Amrash - Maroc

Iman Youssef  
Module Development Services - Egypt

Judith Thompson  
Pronet - Ghana

Ricky Murray  
South Africa

Patrick A. Okuni  
Ruwasa Project, Uganda

Stephen Omoit  
Directorate of Water Developement, Uganda

Gabriel Régallet  
Coordonnateur

Kithuci Rucha  
Kenya

Andrew Kiruja  
Kenya

Njagi Maranga  
Kenya

Anastasia Kithinji  
Kenya

Wilfred Ndegwa  
Netwas - Kenya

Beth Karanja  
Netwas - Kenya

Isaack Oenga  
Netwas - Kenya

Francis Asunah  
Lake Basin Dev't Authority - Kenya

Pauline Ikumi  
Netwas, Kenya

Patrick Nginya  
Netwas - Kenya

Stephen Ngigi  
Department of Eng - Kenya

Marc Lammerink  
IRC - The Netherlands

Germano Mundi  
4k Muthambi Water Project - Kenya

James Thuku  
Netwas - Kenya

**Second Meeting of the  
Steering Committee  
Vienna - 8 - 9 April 1997**

Bunker Roy  
SWRC, India

Lilia Ramos  
Approtech Asia, Philippines

Vijaya Shresta  
NEWAH, Nepal

Mario Vasconez  
CIUDAD, Ecuador

Patrick Nginya  
NETWAS, Kenya

Raymond Jost  
Coordonnateur

Gabriel Régallet  
Coordonnateur

**Invited**

Carlos Guerrero  
IEPALA

Houria Tazi Sadeq  
ALMAE

Cheikh Ibrahima Diong  
Consultant

Christophe Lejallé  
Solidarité Eau



# Attachment 7

## Proposed Code of conduct

### PREAMBLE

This code of conduct is a statement of principles and ethics designed as a reference document for all stakeholders in the Water and Sanitation (WATSAN) sector to encourage qualitative improvements and safeguard the interest of partner communities.

The Code is aimed to agencies participating in community projects and to communities participating in agency schemes.

It is the result of meetings held by the Collaborative Council's Working Group on Community Management and Partnerships with Civil Society in Africa, Asia and Latin America. Consultation should now be extended to all partners of the Collaborative Council and other interveners of the sector.

The Code is part of the redefinition of interveners' role in the sector.

- ◆ the role of the state remains indispensable to provide an enabling legal and regulatory environment and foster access to safe water and sanitation to all citizens,
- ◆ the partnership between the community and the other actors is based on clear roles and responsibilities of each partner and fair rules of the game;
- ◆ community involvement is a gradual learning process which must be envisaged with a long-term perspective.

Principles stated in the Code are in line with the Montreal Charter on Drinking Water and Sanitation. If these principles are met, communities will be in a better position to manage WATSAN schemes and pay for services.

### GENERAL OBJECTIVE

To get all stakeholders to agree upon and honour the following principles based on equal and gender balanced partnership.

### SPECIFIC OBJECTIVES

- ◆ To contribute to ongoing efforts by practitioners of the WATSAN sector towards greater self-reliance, self-respect and commitment to the use of water resources.
- ◆ To encourage CBOs/NGOs to develop a collective capacity for advocacy, so as to articulate the felt needs of the constituencies they serve.
- ◆ To serve as a guide for improving the partnership between communities, CBOs and other stakeholders by setting out modalities aimed at minimising the present patterns of money-dominated relationships as quickly as possible.
- ◆ To foster a genuine commitment on the part of all stakeholders to recognise the importance of a locally-driven approach to the challenges faced in the WATSAN sector, and to focus their attention on the needs of partner communities.
- ◆ To encourage dialogue among stakeholders on potential WATSAN related-conflicts.

## THE PRINCIPLES

- 1.- Partner communities will be consulted before any WATSAN schemes are formulated.
- 2.- When undertaking WATSAN schemes, the stakeholders will put an emphasis on a process rather than on a project oriented approach.
- 3.- Sanitation will receive equal importance and made integral part of WATSAN schemes.
- 4.- Women must be involved in all stages of WATSAN schemes to ensure effective management.
- 5.- Community organizations will get a legal status within an enabling environment allowing them to operate in security, own the assets or control the source.
- 6.- All stakeholders particularly partner communities will have access and right to all information concerning the scheme to achieve an equal and transparent relationship in WATSAN scheme.
- 7.- Indigenous leadership wherever available will be strongly encouraged and supported in all stages of WATSAN schemes.
- 8.- The stakeholders will incorporate traditional/ local knowledge, skills and socio-cultural practices available within the community to maximize the effectiveness of WATSAN schemes.
- 9.- The stakeholders will strongly take into consideration the views of partner communities in choosing the most appropriate WATSAN technology and level of services.
- 10.- Water pricing and tariffs based on equitable and non discriminatory water consumption patterns between users will ensure sustainability of community WATSAN schemes.
- 11.- The assets created will be owned and maintained by the partner community.
- 12.- The stakeholders will respect the WATSAN needs of the rural communities first before exploiting water resources for urban, agribusiness and industrial purposes.
- 13 - The stakeholders will actively promote the protection and conservation of natural resources when undertaking WATSAN schemes.

**We the stakeholders agree to abide and honour the above mentioned principles & ethics.**

## Code of Conduct : Glossary

### **Stakeholders**

All interveners providing assistance and support on water and sanitation services for communities - the local, regional and national level of government and their technical agencies, external support agencies (multi/bilateral agencies, NGOs...), national NGOs, CBOs and the private sector

### **Partner communities**

They include rural and urban communities.

### **Practitioners**

Professionals, technicians, local volunteers and leaders, animators involved in WATSAN implementation in the field

### **CBOs**

Community-based organizations are distinct from communities in their effort to group, defend and promote common interests of dwellers, households and/or producers.

### **WATSAN Schemes**

Water and Sanitation schemes refer to projects, programs and systems introduced in the community.

### **Process**

Refers to methods and means by which people, communities and their organizations participate to the various stages of decision-making of a community-based water and sanitation scheme.

### **Stages**

The various stages of WATSAN schemes range from early planning, feasibility, design to construction, operation and maintenance, monitoring and evaluation.

### **Exploitation**

It includes the harnessing, transportation, thermal use and processing of water resources for agricultural, industrial and energy purposes.

### **Community**

Grouping of citizens sharing a same space, forming structures of production, power, wealth, influence and of symbolic meaning systems, and linked together by a delicate tissue of social relations.

### **Indigenous systems**

They include (i) community-based institutions consisting of the group of people that uses water and related resources, (ii) bodies of local knowledge generated and transformed through a systematic process of classification, of empirical observation and experimentation about water and local environment and (iii) systems of self-management that govern resource use.

TWM systems are not only utilized by indigenous peoples, but also by a larger number of people in the world who maintain a traditional way of livelihood that depends on those systems.





Groupe de travail



Coordonnateur

LE SECRÉTARIAT  
INTERNATIONAL DE L'EAU

# **CODE DE CONDUITE** *PROPOSÉ*

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Fax: +31 70 35 899 64  
BARCODE: 14299  
LO: 71 WSSCC 97

# *PROPOSED* **CODE OF CONDUCT**

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# **CÓDIGO DE CONDUCTA** *PROPUESTO*

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## PRÉAMBULE \_\_\_\_\_

*Le Code de conduite est une déclaration de principe qui lie les intervenants du secteur de l'eau et de l'assainissement. C'est un code d'éthique conçu comme un document de référence à leur usage. Il a été élaboré dans le but d'encourager l'amélioration de l'approvisionnement en eau et son assainissement et de protéger les intérêts des communautés de base en la matière.*

*Le Code de conduite est le fruit d'une réflexion qui a été amorcée avec les travaux du Groupe de travail et doit être élargie à l'ensemble des partenaires du Conseil de Concertation et des autres intervenants dans le secteur de l'eau.*

*Le Code de conduite s'inscrit dans la redéfinition du rôle des intervenants du secteur eau et assainissement :*

- le rôle de l'état demeure indispensable pour offrir un cadre légal et réglementaire favorable et encourager l'accès de tous les citoyens à l'eau potable et à son assainissement,
- le partenariat entre la collectivité locale et les autres acteurs est basé sur des rôles et responsabilités clairs et des règles du jeu équitables,
- La participation communautaire est un processus d'apprentissage graduel qui doit être conçu dans une perspective à long terme

*Les principes qui sont énoncés dans le Code s'inspirent de la Charte de Montréal sur l'eau potable et l'assainissement. En les partageant, les communautés seront en meilleure position pour assumer les projets touchant l'approvisionnement en eau et son assainissement et les coûts des services afférents.*

## OBJECTIF GÉNÉRAL \_\_\_\_\_

Amener tous les intervenants à souscrire aux principes du Code et à les respecter, principes qui s'appuient sur un postulat pour être équilibrés, les partenariats doivent avoir pour fondement la reconnaissance de l'égalité entre les hommes et les femmes.

## OBJECTIFS SPÉCIFIQUES

- Contribuer aux efforts des praticiens du secteur de l'eau qui travaillent sans relâche à encourager l'autosuffisance, le respect mutuel entre les différents intervenants et l'engagement des communautés à faire usage des ressources en eau selon certains principes
- Encourager les organisations non gouvernementales (ONG) et les organisations communautaires (OC) à développer la capacité des collectivités à mettre de l'avant et à négocier leurs propres projets, de façon à mieux rendre compte des besoins des clientèles qu'elles desservent.
- Servir d'outil de référence pour améliorer le partenariat entre les collectivités, les OC et les autres intervenants en proposant des modes de coopération susceptibles de remplacer le plus rapidement possible les modèles actuels où l'argent domine
- Susciter chez les intervenants un engagement réel à privilégier une approche locale pour faire face aux défis du secteur de l'eau, et à concentrer leur attention sur les besoins
- Encourager le dialogue entre intervenants pour prévenir les conflits potentiels relatifs aux projets touchant l'approvisionnement en eau et son assainissement

## PREAMBULE \_\_\_\_\_

*This code of conduct is a statement of principles and ethics designed as a reference document for all stakeholders in the Water and Sanitation (WATSAN) sector. It encourages qualitative improvements and safeguard the interest of partner communities.*

*The Code is aimed at agencies participating in community projects and to communities participating in agency schemes.*

*It is the result of meetings held by Collaborative Council's Working Group, community management and partner organizations with civil society in Africa, Asia and Latin America. Consultation should not be extended to all partners of the Collaborative Council and other interveners of the sector.*

*The Code is part of the redefinition of interveners' role in the sector:*

- the role of the state remains indispensable to provide an enabling legal and regulatory environment and foster access to safe water and sanitation to all citizens;
- the partnership between the community and the other actors is based on clear roles and responsibilities for each partner and fair rules of the game,
- community involvement is a gradual learning process which must be engaged with a long-term perspective

*Principles stated in the Code are in line with the Montreal Charter on Drinking Water and Sanitation. If these principles are met, communities will be in a better position to manage WATSAN schemes and pay for services.*

# LES PRINCIPES

# THE PRINCIPLES

# LOS PRINCIPIOS

1	Les communautés partenaires seront consultées avant toute intervention dans le secteur de l'eau et de son assainissement.	Partner communities will be consulted before any WATSAN schemes are formulated	Las comunidades copartícipes serán consultadas antes de toda intervención en el sector del agua de su saneamiento.
2	À chaque intervention, les partenaires privilégieront le processus de mise en œuvre du projet plutôt que ses aspects techniques	When undertaking WATSAN schemes, the stakeholders will put an emphasis on a process rather than on a project oriented approach	En cada intervención, los copartícipes darán prioridad al proceso de puesta en marcha del proyecto antes que a sus aspectos técnicos.
3	On accordera autant d'importance à la question de l'assainissement de l'eau qu'à celle de l'approvisionnement en eau potable. Aucune intervention ne pourra se faire sans qu'on ne l'aborde	Sanitation will receive equal importance and made integral part of WATSAN schemes	Se le dará tanta importancia a la cuestión de saneamiento del agua como a la del abastecimiento de agua potable. Ninguna intervención podrá tener lugar sin haber sido tratada previamente
4	Les femmes participeront de façon égale à toutes les étapes des interventions, ce qui représente une garantie de gestion efficace	Women must be involved in all stages of WATSAN schemes to ensure effective management	Las mujeres participarán de manera igualitaria en todas las etapas de las intervenciones, lo que representa una garantía de gestión eficaz
5	Les organisations communautaires bénéficieront d'un statut légal à l'intérieur d'un environnement juridique porteur leur permettant d'opérer en sécurité, de détenir les actifs ou contrôler les sources d'eau	Community organizations will get a legal status within an enabling environment allowing them to operate in security, own the assets or control the source	Las organizaciones comunitarias gozarán de un estatuto legal dentro de un ambiente jurídico óptimo que les permitirá operar con toda seguridad poseer los activos o controlar las fuentes de agua
6	Tous les intervenants, en particulier les communautés partenaires, auront accès et droit à toutes les informations concernant l'intervention, ce qui assurera l'égalité et la transparence dans les rapports entre partenaires	All stakeholders particularly partner communities will have access and right to all information concerning the scheme to achieve an equal and transparent relationship in WATSAN scheme	Todas las partes interesadas, en particular las comunidades copartícipes, tendrán acceso y derecho a todas las informaciones en relación con la intervención, lo que garantizará la igualdad y la transparencia de las relaciones entre los copartícipes
7	On encouragera fortement le leadership indigène là où il est présent. On le soutiendra à toutes les étapes des interventions	Indigenous leadership wherever available will be strongly encouraged and supported in all stages of WATSAN schemes	Se fomentará vigorosamente el liderazgo indígena donde se encuentre presente y se lo sostendrá en todas las etapas de las intervenciones.
8	Les partenaires feront appel aux savoirs, aux compétences et aux pratiques socio-culturelles populaires existant dans la communauté, cela afin que les interventions soient les plus efficaces	The stakeholders will incorporate traditional/local knowledge, skills and socio-cultural practices available within the community to maximize the effectiveness of WATSAN schemes.	Los copartícipes apelarán a su saber, a las competencias y a las prácticas socio culturales populares existentes en la comunidad, con el fin de aumentar la eficacia de las intervenciones
9	Les intervenants prendront sérieusement en considération l'opinion des communautés partenaires quant au niveau de service à offrir et quant aux technologies à privilégier	The stakeholders will strongly take into consideration the views of partner communities in choosing the most appropriate WATSAN technology and level of services	Las partes interesadas tomarán seriamente en cuenta la opinión de las comunidades copartícipes en cuanto al nivel de servicio que se brindará y a las tecnologías que se preferirán.
10	Les tarifs des services seront fixés selon l'équité et la non discrimination entre les usages, cela pour assurer la durabilité des interventions	Water pricing and tariffs based on equitable and non discriminatory water consumption patterns between users will ensure sustainability of community WATSAN schemes	Las tarifas de los servicios serán fijadas según la equidad y la no-discriminación entre los usos, con el objetivo de garantizar la durabilidad de las intervenciones
11	Les équipements deviendront la propriété de la communauté partenaire qui veillera à leur entretien	The assets created will be owned and maintained by the partner community	Los equipos serán propiedad de la comunidad copartícipe que velará por su mantenimiento.
12	Les intervenants veilleront à ce que soient comblés en priorité, les besoins des communautés rurales avant d'exploiter les ressources en eau pour des fins agro-alimentaires, industrielles ou urbaines	The stakeholders will respect the WATSAN needs of the rural communities first before exploiting water resources for urban, agribusiness and industrial purposes	Las partes interesadas procurarán que sean satisfechas, de manera prioritaria, las necesidades de las comunidades rurales, antes de explotar los recursos de agua con fines agro alimentarios, industriales o urbanos
13	Les partenaires feront une promotion dynamique de la protection et de la conservation des ressources naturelles et cela, à l'occasion de chaque intervention	The stakeholders will actively promote the protection and conservation of natural resources when undertaking WATSAN schemes	Los copartícipes efectuarán una promoción dinámica de la protección y de la conservación de los recursos naturales cada vez que una intervención tenga lugar
	<b>Nous les intervenants acceptons d'être liés par ce Code et d'honorer les principes éthiques ci-dessus mentionnés.</b>	<b>We the stakeholders agree to abide and honour the above mentioned principles &amp; ethics.</b>	<b>Nosotros, las partes participantes, aceptamos quedar vinculados a este Código y honrar los principios éticos antes mencionados.</b>

## GENERAL OBJECTIVE

Get all stakeholders to agree upon and honour the following principles based on equal and gender balanced partnership

## SPECIFIC OBJECTIVES

To contribute to ongoing efforts by practitioners of the WATSAN sector towards greater self-reliance, self-respect and commitment to the use of water resources.

To encourage CBOs/NGOs to develop a collective capacity for advocacy, so as to articulate the felt needs of the constituencies they serve.

To serve as a guide for improving the partnership between communities, CBOs and other stakeholders by setting out modalities aimed at minimising the present patterns of money-dominated relationships as quickly as possible.

To foster a genuine commitment on the part of all stakeholders to recognise the importance of a locally-driven approach to the challenges faced in the WATSAN sector, and to focus their attention on the needs of partner communities.

Encourage dialogue among stakeholders on potential WATSAN related-conflicts

## PREÁMBULO

*El Código de conducta es una declaración de principio que vincula a las partes interesadas del sector del agua y del saneamiento. Es un código ético concebido como un documento de referencia para el uso de las partes. Dicho código es elaborado con el objetivo de favorecer el mejoramiento del abastecimiento de agua y de su saneamiento y de proteger los intereses de las comunidades en lo que a esto respeta.*

*El Código de conducta es el fruto de una reflexión que ha sido entablada junto con los trabajos del Grupo de trabajo y debe extenderse al conjunto de los copartícipes del Consejo de Concertación y de las otras partes interesadas del sector del agua.*

*El Código de conducta se inscribe en una nueva definición de las funciones de las partes interesadas del sector del agua y del saneamiento:*

- la función del estado sigue siendo indispensable para ofrecer un marco general y reglamentario favorable y hacer propicio el acceso de todos los ciudadanos al agua potable y a su saneamiento,
- la coparticipación de la colectividad local y de los otros actores se basa en funciones y en responsabilidades claras y en reglas de juego justas,
- la participación comunitaria es un proceso de aprendizaje gradual que debe ser concebido en una perspectiva de largo plazo

*Los principios enunciados en el Código se inspiran de la Carta de Montréal sobre el agua potable y el saneamiento. Compartiéndolos, las comunidades estarán en mejor posición para asumir los proyectos en relación con el abastecimiento de agua y su saneamiento así como con los costos de los servicios correspondientes.*

## OBJECTIVO GENERAL

Llevar a todas las partes interesadas a suscribir a los principios del Código y a respetarlos. Dichos principios se fundan en un postulado: para garantizar un cierto equilibrio entre las partes, las coparticipaciones deben tener por fundamento el reconocimiento de la igualdad entre los hombres y las mujeres.

## OBJECTIVOS ESPECIFICOS

- Contribuir a los esfuerzos de las personas de terreno del sector del agua que trabajan sin descanso para fomentar la autosuficiencia, el respeto mutuo entre las diferentes partes interesadas y el compromiso de las comunidades, para hacer uso de los recursos de agua según ciertos principios.
- Ayudar a los organismos no gubernamentales (ONG) y a las organizaciones comunitarias (OC), a desarrollar la capacidad de las colectividades a llevar adelante y a negociar sus propios proyectos, de manera tal que sea mejorada la satisfacción de las necesidades de sus clientelas.
- Servir de útil de referencia para mejorar la coparticipación entre las comunidades, las OC y las otras partes interesadas, proponiendo modos de cooperación capaces de reemplazar lo más rápidamente posible los modelos actuales en los que domina el dinero
- Crear entre las partes interesadas un compromiso real para dar la prioridad a un enfoque local con el fin de hacer frente a los desafíos del sector del agua, así como para concentrar su atención sobre las necesidades
- Estimular el diálogo entre las partes interesadas para prevenir los conflictos potenciales relativos a los proyectos en relación con el abastecimiento de agua y su saneamiento



« Si l'Homme est mouvement  
l'eau est histoire.  
Si l'Homme est un rêve  
l'eau est son cours.  
Si l'Homme est un peuple  
l'eau est le monde.  
Si l'Homme est souvenir  
l'eau est mémoire.  
Si l'Homme est vivant  
l'eau c'est la vie. »

“ If Man is a gesture  
water is history.  
If Man is a dream  
water is his way.  
If Man is a people  
water is the world.  
If Man is a recollection  
water is memory.  
If Man is alive  
water is life.”

« Si el Hombre es un gesto  
el agua es la historia.  
Si el Hombre es un sueño  
el agua es el rumbo.  
Si el Hombre es un pueblo  
el agua es el mundo.  
Si el Hombre es recuerdo  
el agua es memoria.  
Si el Hombre está vivo  
el agua es la vida. »

(de «El Hombre y el Agua», Joan-Manuel Serrat)