

Volume 1:
Operations

March '99 Working Edition

**Bangladesh Arsenic Mitigation
Water Supply Project (BAMWSP)
Dhaka, Bangladesh**

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Preface: The BAMWSP's Implementation Manuals:

The PMU Manuals are a guide and resource to the staff and consultants of the Project Management Unit and Regional Project Management Units. They should also be available for review by any project partner organization. The PMU Manuals consist of four volumes, which represent essentially the operationalization of the Project Design as presented in the Project PAD, and Project Implementation Plan:

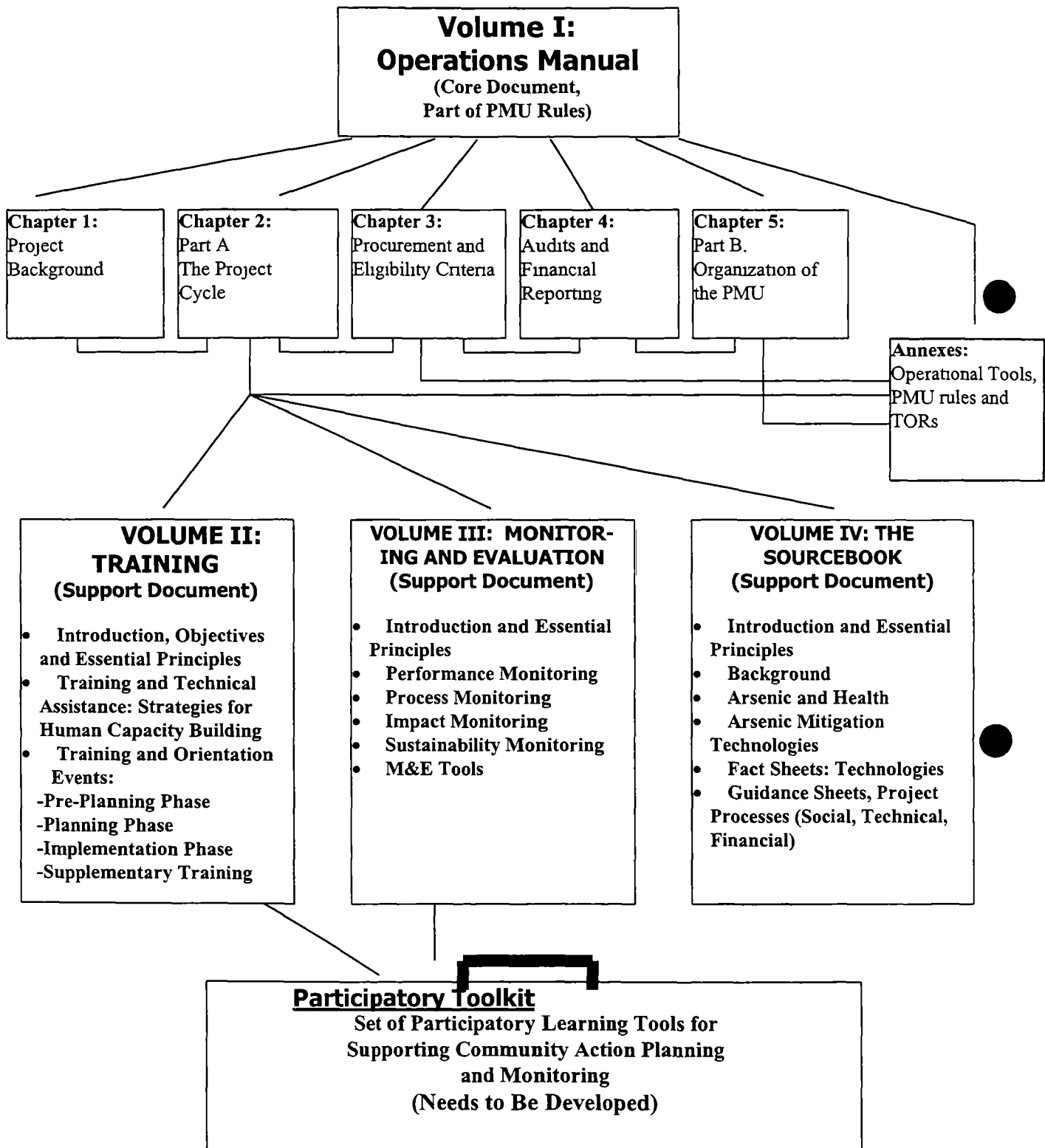
- **Volume I: Project Operations** documents the essential operational arrangements, criteria, norms, processes, and procedures for the work of the PMU/RPMUs and provides terms of reference and samples of operational tools. Volume 1 constitutes part of the Rules of the PMU, and cannot be changed without consent of the Stakeholders in the Project (see Essentials Box, pg iii-v)
- **Volume II: Training and Communications** documents the PMU's Training and Communications strategy and provides sample training designs and facilitator notes for carrying out the training programs which support the various partners during the project cycle
- **Volume III: Monitoring and Evaluation** details the strategies, methods and tools for the monitoring and evaluation system of the Project at PMU/RPMU, SO, and Community Level.
- **Volume IV: The Sourcebook** provides detailed information on arsenic mitigation technical, financial, and social issues, optional solutions, and details on the project processes.

As the Project's main reference tool, each volume provides a description of the core principles, and then details the steps, resources, or sample designs needed to accomplish PMU/RPMU tasks. The manuals are meant to serve as adaptive guidelines, not "cookbooks", and can be altered based on appropriate evidence from field experience. Use of the guidelines in the field will show where and what adjustments are needed. The manuals are written in such a way that they can easily be updated, e.g., as part of the work of stakeholder review meetings. The manuals are designed so that each section can be updated based on accumulated experience and documented evidence. For orientation purposes, new staff should become familiar with volumes and sections that directly relate to their own work. The manual should be referred to when needed for information on specific procedures, resources or tools for the regular work of the PMU and RPMUs.

Mapping the Implementation Manuals:

All volumes are subsidiary to the Operations Manual, and specifically, the Project Cycle. Volume I, Chapter 2, (Operations), describes the Project cycle and links to other Volumes. Training and M&E Volumes, which support the Project Cycle, have been organized according to the Sequence of the Project Cycle. Reference Material in the Sourcebook also refers to implementation of the Cycle, and provides back-up detail to the process as well as substantial content information. In addition to detailing the Project background, cycle and major related tools, the Operations Manual covers Eligibility Criteria and Procurement, Audits and Financial Reporting, and Part B covers the PMU's Roles and Functions. (See Map, Next Page)

Map of BAMWSP Implementation Manuals



Essential Principles and Procedures of BAMWSP

Underlying the BAMWSP and its Approach are a Number of Essential Principles and Procedures. The **Operations Manual** is the core of the BAMWSP Project. **The principles documented represent the stakeholders' agreement as based on the PIP and PAD, which document stakeholder participation during Project preparation.** Principles are deemed essential to the concept and should not be changed without agreement of all the Stakeholders. Related to these principles, the criteria, procedures, and tools set down in the Operations Volume should be reviewed and agreed before the start of the 1st Batch by all stakeholders, and after adherence to the Manual, experiences with the 1st Batch monitored and documented carefully. Subsequently, changes in Operations Manual's criteria, procedures and tools can be made, as agreed with the Steering Committee, World Bank and other Stakeholders, based on solid, documented evidence from experience, for each subsequent batch. This allows for learning from experience. Changes during any one batch of schemes and their project cycle would cause confusion, lack transparency, and should not be undertaken. The other Supporting Volumes (Training, M&E, and the Sourcebook) can and should be changed more flexibly, as they are supports to the basic operational core. However, for each of the three supporting manuals (Training, M&E, and the Sourcebook, essential principles are provided at the beginning of each.) Essential principles of the Training, M&E and Sourcebook are also to be agreed by all stakeholders and such principles should only be changed by agreement of all the Stakeholders.

The Essential Principles of the **Operations Manual** are listed below in Bold. They are agreed by the Stakeholders. The related criteria, procedures, or tools, as relevant, are itemized in *italics* They, and all other contents of the Operations Manual, can only be changed annually in subsequent batches upon agreement between the Steering Committee and Secretariat of the PMU, the World Bank, and other Stakeholders.

- ❑ **Principle #1: The Project and Its Institutional Arrangements will Operate in a Community-Led and Community Managed, Demand Responsive Basis. Definition: This means that scheme users and representative CBOs that they have directly selected, will directly choose technical, management, and financing solutions to their arsenic related-water supply problems, develop their own action plans, be responsible for all procurement of materials and skilled labor, and construct, operate, manage (including finances), and maintain their own schemes.**

➤ *Related Core Criteria, Procedures and Tools*

- 1.1 *The Role of the PMU is not executive or operational, rather the role of the PMU is strictly limited to that of a facilitating body with powers limited to engaging in partnership arrangements with SAs, SOs, and CBOs It also arranges and provides Financial Support, Training Support and Capacity Building services, Monitoring and Evaluation services, Information and Communication services, and Quality Control*
- 1.2 *Communities, through the representative, gender and poverty balanced CBOs they select by direct means, have full authority over all construction resources for their schemes The Project operates on a two-tier basis The PMU, based on signed partnership agreements, will deposit construction funds directly to the account of the CBO, and not through any other intermediary*
- 1.3 *So that Communities have adequate capacity to carry out their responsibilities, guidance and capacity building will be provided by NGOs (Development Credit Agreement), also known as SOs. SOs will strictly be selected on the basis of SO Selection Criteria as defined in Chapter 3 No exceptions are allowed for relaxation of criteria.*
- 1.4 *All Project Selection Criteria, as defined in Chapter 3 of this Operations Manual, are mandatory Scheme selection is a progressive process, from hot-spot selection, to scheme classification, to approval for the planning phase, and to approval for the Implementation Phase*

- ❑ **Principle #2: Technical and Social Components of the BAMWSP are fully Integrated. Hardware, i.e., technology and technology choices and expertise cannot be separated from software, i.e., the supportive participatory approach, services and expertise which provide the basis for the demand-responsive approach.**

➤ *Related Core Criteria, Procedures and Tools.*

2 1 SOs shall recruit and maintain, with Project Financial Support, a balance of technical and social staff, all of which report directly to the SOs. The team shall minimally consisting of a Team Leader, a Diploma level Engineer, a software supervisor, and a community facilitator and a community worker (health), with additional staff as required for the number of schemes to be serviced. SO staff guidelines and qualifications will be followed, as outlined in the Planning Phase Proposal, for the duration of each Batch.
(See Annex C)

2 2 In all cases PMU, RPMU and SO Staff shall have training in the Project's participatory approaches in addition to those trainings needed to advance their specific skill areas and responsibilities

2 3 At the field level, villagers will be fully empowered through the use of participatory software approaches to make social, technical, financial, and management decisions, including the choice of specific technical solutions and the features, service levels, etc , as per subproject criteria Villagers in all cases with have first choice in selection of their solutions, after which SO engineering staff shall work with them to test their feasibility, and agree on any modifications to the community's design

- ❑ **Principle #3: The Project Will Ensure That Gender Strategies Which Support Equality Between Men And Women Over Project Decisions, Resources, Employment, Workloads, and Benefits Will Be Consistently Applied At All Levels In The Project.**

➤ *Related Core Criteria, Procedures and Tools*

3 1 CBO/Community Level there will be Gender and Poverty Balance in the composition of the CBO, with at least 50% women's representation Women's workloads and contributions, including attendance at meetings will be fully calculated in assessment of community contributions Schemes will not be approved where women and poverty groups bear a disproportionate burden of the labor CBOs must demonstrate that their CAP Plans were developed with the full participation and decision of women and poorer members of the community. Communities and SOs will monitor sharing of workloads in terms of all tasks, including management of water resources, water collection, health, hygiene, and sanitation and related family care activities, and commitments to such will be required for funding of the Implementation Phase

3 2 SO's whose existing staff at time of prequalification have better gender balance will be given preference Not less than 30%, including those to be recruited by the SO under the project, are required to be women Employment of equal numbers of male and female staff over the life of the project is encouraged Sharing of workloads between female and male staff in the SO will be monitored by the PFO, and imbalances noted will be part of performance reviews of SOs by the PMU and RPMU At least one senior member of the SO team (Team Leader, Diploma Engineer, or Software Supervisor) must be female SOs will take a proactive stance in promoting gender and poverty balance in the subprojects, and in ensuring all conditions described in 3 1, above, are attained.

3 3 AT PMU and RPMU levels, the Project Director will ensure that at least 30% of staff are female, and strive towards 50-50% gender balance in staffing over the life of the Project At least one woman engineer will be recruited in a senior technical position in the Project Staff will have equal rights in access to training and remuneration **Gender Analysis will be applied in all project proposals, partnership agreements, training programs, monitoring and evaluation processes, reporting, and other project services.** The PMU and RPMU will ensure as part of its financing, training services, and monitoring and evaluation services that conditions noted above at CBO level (3 1) and at SO level (3 2) are achieved and maintained The Steering Committee shall have at least two female representatives The Gender Specialist will be fully empowered to review all subproject submissions in terms of how they deal with gender equality and poverty concerns

Principle 4: The Project Shall Maintain Full Accountability And Ensure Transparency In The Use Of Project Resources At All Levels Of The Project.

➤ *Related Core Criteria, Procedures and Tools*

- 4 1 *All SO Selection, Hotspot Thana/Union Selection, and Subproject (Type A, B, &C) Selection for Planning and Implementation, shall be made according to the transparent criteria set down herein Chapter 3, and according to the processes noted in Chapter 3 of the Operations Manual*
- 4 2 *All Procurement Procedures as Outlined in Chapter 3 of this Operations Manual shall be followed*
- 4 3 *The Project will utilize transparent partnership agreements that will govern all remuneration, rights and obligations of the various parties, i.e., SAs, SOs, and CBOs with the PMU/RPMUs. These agreements as set down in formats in Annexes L, M, and N cannot be altered without prior agreement with the World Bank*
- 4 4 *The Project will ensure proper performance, process, output, and impact monitoring as defined in the Monitoring and Evaluation Manual. Payments to SAs, SOs, and CBOs will be made based on such monitoring and according to Step Payment Certifications as defined in formats in Annex E of the Operations Manual*
- 4 5 *SOs and CBOs will have full rights to expect payments and training services from the PMU/RPMU in a timely manner, and will not be obligated to perform their TORs unless payments are made on time and training provided as stipulated in their partnership agreements*
- 4 5 *A financial review cum remedial training session will be arranged to verify that sound accounting principle, adherence to project agreements, and bookkeeping is maintained by SOs and CBOs at the end of the Planning Phase. An audit will be conducted at the end of the Implementation Phase of each SO and CBO engaged by the Project. PMU audits will take place as defined in Chapter 4 of the Operations Manual*

Principle 5: The Project Will Operate As An Adaptable, And Participatory, Learning Project, Drawing Lessons From Experience In The Field, And Adapting Its Participatory Processes, Norms, Criteria And Procedures Accordingly. The Purpose Of Such Learning Shall Be Consistent With Other Core Principles, i.e., To Further The Demand-Responsive, Gender And Poverty Equality, Integrated Approaches Of The Project And Adjustments To The Project Design Will Be Made With The Full Participation Of All Stakeholders In The Project.

➤ *Related Core Criteria, Procedures and Tools*

- 5 1 *The Project will utilize regular meetings of stakeholders, on an annual basis, to assess all project modalities including*
- *SO, Hotspot, And Project Selection Criteria,*
 - *Project Selection Processes,*
 - *Training,*
 - *M&E Processes,*
 - *PMU And RPMU Management And Timeliness Of Services And Payments*
 - *Technical Options And Processes Of Technical Choice, And*
 - *Financial Norms And Procedures*
- 5 2 *Changes in Fundamental Principles as defined in each Manual are not permitted during the life of the Project without agreement of all the Stakeholders. Changes in related core procedures and processes, are permitted only when 2/3 of the stakeholders agree that they are warranted and consistent with project principles, and that adequate, documented evidence is presented to warrant a change. All Criteria, norms, procedures, processes defined in the Operations Manual are considered to be part of this core. In terms of other Manuals, core processes, norms, procedures, etc., are noted in each preface. Other, non-core elements of these manuals can be changed at the discretion of the PMU, but changes should be justified, documented, and made in consultation with other Stakeholders during regular review meetings*

Acknowledgments

This Operations Volume was prepared for the PMU by the joint International /National Consulting Team. The primary authors of this volume were specialists Mrs. Tahrunesah Abdullah, Consultant and Mr. Jacob Pfohl, CEO of The PeopleWorks Collaborative Inc., N.Y., USA, and Mr. Abdul Awal, of Technical Assistance for Rural Development, (TARD). Ms Christine van Wijk of IRC of Delft, Netherlands, and Mr. Maarten Blokland from IHE, Delft also made substantial contributions.

The Team would like to also thank Mr. Farid Uddin Ahmed Mia, Director of the PMU and his staff in finalizing these manuals, and comments received from the World Bank and Bilateral donors

Material was drawn from many sources, including local experience of the national experts in both governmental and nongovernmental programmes, the RWS-ES Project in Uttar Pradesh, India, the JAKPAS Pilot Project and the RWSS Project in Nepal, and the Swiss Development Corporation Assisted DASCOH Project in Bangladesh, and many Dutch-aided projects in Asia, Africa, and Latin America.

Glossary

Project: *This refers to the Bangladesh Arsenic Mitigation-Water Supply Project, with specific reference to the on-site mitigation component of the Project for rural areas*

BAMWSP: Bangladesh Arsenic Mitigation-Water Supply Project

PMU: Project Management Unit

RPMU: Regional Project Management Unit

CBO: Community Based Organization. This refers to either a representative organization of the users of the whole community, for type C schemes, in which case it is also referred to as a Village Water and Sanitation Committee (VWSC). The CBO can have any legal identity. In cases of Type B Projects, a "CBO" can also refer to a neighborhood or local groups that represents the interests of the users of the scheme, but may not necessarily represent the whole community. In all cases, a VWSC is preferred, where feasible CBOs in all cases are directly selected by the users themselves, and not appointed. However, they will be linked to, or may be designated as sub-committees of the Permanent Committee of the Gram Parishad, when possible.

SO: Support Organization. An entity, primarily NGOs, which support the local communities and their CBOs as advisors in organizing, conceptualizing the project, carrying out action planning, conducting participatory research, technical studies, and implementing schemes. Other entities, notably firms, or local governments, if fulfilling the criteria, can also qualify as SOs.

SA: *Service Agency: An NGO, NGO Apex Body, Training or Research Institute, or other legal body that provides specialized services to the Project. SAs primarily serve to train SOs and to carry out appraisals and M&E work, as well as audits.*

Type A Scheme: This constitutes a community that has sufficient existing sources of safe water, but has some wells that are contaminated. In this case, SOs carry out a modified planning phase with the community, to help it to manage their sources to protect the community, and to continue ongoing surveillance of water quality.

Type B Scheme: In this case, some sources are seriously affected and a scheme is needed in part of the village.

Type C Scheme: In this case, most of the sources are contaminated, and a scheme servicing the whole village is required.

Scheme: Refers to an individual type B or C subproject, which comprises one or more technologies.

STAC: Staff Technical Appraisal Committee of the PMU

**Bangladesh Arsenic Mitigation
Water Supply Project (BAMWSP)
Dhaka, Bangladesh**

Volume 1: Operations

1. *Project Description*

1.1 **Background**

Bangladesh has achieved a commendable success among the developing countries in provision of basic water supply through handpump mounted tubewells. Ninety-seven per cent of the population had access to drinking water from improved sources (tubewell, dugwell or tap) in 1997, those served being 97% in rural and 99% in urban areas, but only 68% in the tribal areas. There are an estimated 3 million tubewells in rural Bangladesh. About two-thirds of these tubewells were installed and owned by individuals and NGOs. The remainder is publicly owned, mainly by the Department of Public Health Engineering (DPHE), and operated by caretaker families.

However, in recent times arsenic in groundwater has come as a threat to the drinking water supply system of Bangladesh. Arsenic is not an uncommon contaminant of groundwater. It is a naturally occurring element and usually presents itself in the form of compounds with sulfur and with many other elements. However, arsenic contamination of drinking water supplies has recently been recognized as a global problem. Some of the severe cases have been documented in Taiwan, Argentina, Chile, Canada, Mongolia and Mexico. But, probably the largest outbreak of arsenic poisoning has been discovered in Bangladesh, and the consequences are particularly severe given the use of groundwater for drinking by a large majority of the population.

The Supply-Led vs. Demand Led Approach

Furthermore, the arsenic crisis has highlighted a broader problem, which is that in the past sector approaches to delivery of water and sanitation services have been overly centralized, supply-driven, and primarily limited to technology provision. These approaches have failed to build local capacity for developing and managing sustainable water use and sanitation systems by which communities can ensure their own access to safe water in the long term, and better management of the environment as well.

There are consequences to this scenario. For example, since there is inadequate community awareness and involvement, it is not certain that the majority of households use only bacteriologically safe water for drinking. In 1997, approximately 38% of the population were using hygienic water for all their household needs, leaving unclear what proportion of the others use bacteriologically safe sources for drinking and food preparation. More people in rural areas use unsafe water for their household work than those in the urban areas, the percentage being highest in the urban slums (98%). It is notable that slum women spent more time, 30 minutes to two hours, in fetching water, illustrating just one example of gender imbalances resulting from current sector approaches.

Another symptom of a centralized and narrowly focused approach is increasing failures of the existing water supply systems. For example, seasonal inaccessibility due to lowering of ground water during dry season poses problems in 39 districts. According the 1997 Tubewell Survey conducted by DPHE, 35% of the tubewells with low-cost No.6 handpumps are inoperative during dry months. The survey shows that 13% of the villages in these Low Water Table areas have no Tara handpumps and 52% of the villages are under-served, where 250 people use each Tara handpump. The falling water table due to extraction of ground water for irrigation in many parts of the country is also rendering thousands of suction hand pumps unserviceable for part of the year.

Assumptions that people would automatically improve their sanitation with access to safer water have proven an ill-founded assumption. Improvement in sanitation or sanitary means of excreta disposal is lagging far behind the improvement in water supply. In 1997, 44% of the population was using the sanitary latrines of which coverage in rural areas was only 39%, 50% in tribal areas and 87% in urban areas. Of the total number of hygienic latrines in rural areas, 16% are water sealed, 27% pit latrines. Thirty six per cent of the households use hanging latrines and 21% households practice defecation in the fields. The sanitation situation suffers due to flood. During floods the water gets extensively polluted with the spread of excreta from the pit and other surface latrines, causing epidemics of diarrhea and other water born diseases.

While 90% of the families having a sanitary latrine use it regularly, the use rate is about 10% among the under-five children and 50% of the older children. Only 35% of the population wash hands with soap after defecation. The large majority use ash or soil or only water.

In summary, the main weakness of existing modes of service delivery, in addition to questions of effective use, adaptation of sanitation technologies, and increasing system failures due to arsenic contamination and lowering water tables, is that of sustainability. Without local involvement, capacity building, management, and true ownership— investments will often be wasted or less effectively used and sustained in the long term. *Thus in addressing the arsenic problem, developing a new approach to service delivery overall is required.*

Responding to Arsenic Crisis: A Demand-Led Approach to Service Delivery

Thus the GOB and World Bank decided that to resolve the arsenic problem, a broader change was needed in the nature of public service delivery overall, and to some degree, to delivery modes of the NGOs and private sector. The World Bank and other donors have thus agreed to assist the GOB to mitigate the countrywide arsenic contamination of drinking water through the innovative, demand-led “Bangladesh Arsenic Mitigation Water Supply Project (BAMWSP)”. The mitigation strategy consists of government taking a facilitative role, rather than an operational one. The Project will help community women and men, and their CBOs, determine water quality of each well, and facilitate their own investigation, analysis, technology choice, planning and implementation of local solutions according to local needs and capacities.

1.2 Basic Issues

- (a) **Impact of the arsenic crisis:** Arsenic contamination has been found in water from thousands of wells across more than half of Bangladesh’s 64 districts where tests have been conducted with the help of arsenic test kits. A limited number tests have been done all over the country and a significant percentage of the tested tubewells have been found contaminated with arsenic above the maximum permissible limit of 0.05 milligrams per liter. The full extent of the problem and its impact on health and production are still unknown, but there have been number of arsenic-related deaths and related illness since 1993 and millions more people are threatened. There are examples of geologic arsenic contamination in other parts of the world (including West Bengal in India) and these are all relatively site-specific affecting limited numbers of people. This arsenic crisis in Bangladesh is, however, of an unprecedented magnitude.
- (b) **Lack of information/knowledge:** A major constraint to addressing the arsenic problem in Bangladesh is the lack of information on the extent, causes and proven remedial interventions. Although many of the research organizations, governmental agencies and NGOs are now

engaged in data gathering, information on groundwater arsenic contamination does not cover all areas of potential contamination and is not always reliable or conclusive. Data on possible causes of groundwater poisoning are also inclusive. The presence of arsenic-containing pyrite in the alluvial and deltaic sediments is cited to be the underlying cause, leading to the hypothesis that increased extraction of irrigation water from shallow tubewells in the last 15 years has seasonally lowered the groundwater table and allowed the oxidation of pyrite and the release of arsenic. The evidence for this hypothesis, however, is largely indirect and as yet unproved. Knowledge on long-term, sustainable, remedial intervention is also inadequate and investigations on appropriate low-cost technical options for alternative or treated water supply are urgently needed.

- (c) **On-site issues:** The present arsenic crisis is jeopardizing the progress made in water supply sector in the last two decades. There are two major on-site impacts of the crisis: (i) in the absence of acceptable alternatives, people are continuing to consume arsenic-contaminated water and (ii) in the absence of proper on-site water and sanitation, communities that are worried that their groundwater might be contaminated with arsenic may end up drinking pathogen contaminated surface water that is more harmful than arsenic.

The technical options for safe water supplies for arsenic contaminated areas will need to be based on an analysis of existing water supply infrastructure, options for alternative supply and the ability of the proposed technical solutions to be socially acceptable, cost-effective and sustainable.

- (d) **Policy/institutional issues:** There are several issues related to sector strategy and institutional functioning that potentially hinder an effective management of the present situation. These are:
- **Limited institutional capability** – DPHE and other organizations working in water supply and sanitation sector have limited institution capability to promote social awareness of the linkages between water, sanitation, hygiene and health. This issue is likely to affect arsenic mitigation. In particular, without the requisite experience in community-based activities, DPHE lacks the skills, data and experience that would have enabled effective implementation of grassroots arsenic mitigation strategies.
 - **Weak local government** – Gram Parishads have been institutionalized on paper at local level by an act in 1997, but they have yet to become actually formed, activated and entrusted with water and sanitation responsibilities. In the future the Gram Parishad may play an important role in legitimizing participating CBOs, in which case appropriate training will be necessary.
 - **Limited research activities** – DPHE’s investigation activities receive low priority and limited focus on technology development and hydrology to improve the design of projects. In addition, water quality monitoring and surveillance receive little emphasis. Laboratory findings are not incorporated into operational activities and the quality of laboratory analyses is questionable.
 - **Poor strategic content of Government’s sector work** – Limited participation of local communities in the design and implementation of sector projects, limited knowledge of local capacity in cost recovery for water and sanitation works, and lack of clarity on central vs. regional division of responsibilities in the sector result in some poor key strategic results in this sector

- **Limited capacity in institutional co-ordination** – Although DPHE under the Local Government Division (LGD) is responsible for water supply, other governmental agencies such as the Ministry of Health and Family Welfare and the Ministry of Water Resources also are concerned with various aspects of the problem. Given the intersectoral nature of the overall arsenic problem, co-ordination between these agencies is essential, but likely to be difficult. In addition, the centralized nature of the agencies, especially DPHE, causes poor responsiveness to local needs, slow processing and decision making, and is likely to affect implementation. The involvement of NGOs, the private sector and donors also requires effective co-ordination.
- **Governmental strategy:** At present, planning in the sectors of environmental health, water supply and sanitation and overall water resources is still predominantly project-based and not part of a long-term sector development vision. The arsenic emergency, however, has created consensus within Bangladesh on the need to deal with the arsenic situation in a well-coordinated and programmatic two-pronged approach: (i) emergency investments to cover immediate needs arising from the discovery of the arsenic problem; and (ii) a longer term program to address policy, institutional and technical issues in a financially and environmentally sustainable way that enjoys the support of the populations.

1.3 Project Objectives and Interventions

The development objective of the project is to alleviate arsenic water contamination as the factor in the reduction of arsenic-induced mortality and morbidity.

Although physical improvements are to be achieved, the main objective of the Arsenic Mitigation Project is participatory strategy development and capacity building for arsenic mitigation measures. The strategic objectives of the project include: (i) improvement of rural and urban infrastructure through increased access to safe water, especially for the poor; (ii) improvement of service delivery in health; and (iii) assistance in redefining and supporting the government's role in designing more effective institutions.

To accomplish the above objectives, the Project will promote and facilitate:

- Investigation and continuous monitoring of arsenic contamination of all drinking water sources in the suspected regions of the country, and support for related short-term education, mitigation, and health measures;
- Strategy formulation based on monitoring;
- Co-ordination of efforts to strengthen both short-term emergency/relief responses to the problem and long-term handling of the issue as part of regular program efforts;
- Continuous assessment of the range of feasible social and technical options being utilized to resolve the problem. To ensure that over the progress of the project ever more technically sound, safe and cost-effective solutions are implemented;
- Financing of alternative sustainable, reliable and cost-effective water supplies and environmental sanitation services, and of screening and educational interventions, with an emphasis on community-based, demand-oriented approaches, in both urban and rural areas;
- Community information, education, and communication (IEC) campaigns, both as an integral part of service delivery, and as nation-wide or regional media-based communication strategies;
- Health monitoring and preventive/curative services for affected populations;

- Support to sector review in providing a better frame-work for the Project and to describe the mandate and structure for a “re-invented” DPHE into which the Project will be gradually mainstreamed; and
- The development of the Project as a “Role model” and platform for DPHE staff to build capacity in demand-driven and participatory approaches.

1.4 Project Components

The Project includes the following three components.

- (a) **On-site mitigation:** The Project will support interventions in the rural areas (villages) and in urban areas (municipalities). Peri-urban areas will be considered rural, where institutionally appropriate. The municipalities will be assisted in their surveys, feasibility studies and implementation by DPHE and LGED, with the LGED being active in those towns where it is already working in water supply. Physical interventions in towns include installation of deep tubewells, provision of hardware for rainwater harvesting and/or water treatment plants (for arsenic removal or to treat alternative surface water) and expansion of distribution systems.

In the rural program, the Project Management Unit (PMU) will select Support Organizations (SOs) to carry out surveys, pre-feasibility studies, community development and appropriate mitigation measures in prioritized villages in a participatory fashion. Organizational responsibilities will include development of a CBO or village water committee, consisting of the users themselves. This CBO may later become a recognized sub-committee of the Permanent Committee of Gram Parishad, or equivalent, but also registered with Social Welfare or become any other legal entity. Physical works will be low cost and include installation of shallow and deep tubewells, ponds with filters, handpumps, treatment and rainwater catchment systems.

Each intervention in a village or municipality consists of a sequence of actions. The typical sequence of action is:

- Strategy development and planning at a district and thana (sub-district) level;
- Participatory assessment of situation in villages/municipalities together with simultaneous engagement in a discussion with the community and with local government; where contamination is excessive, health has deteriorated and no good water supply alternatives are available, drinking water will be provided on a short-term relief basis;
- Social preparation and community action planning. Community women and men engage in participatory investigations, analysis of options, resolution of disputes and other problems, choice of technologies, rough layout of their water schemes, and in development of series of action plans. They also organize a community-based organization that is able to sustain remedial activities, in particular the operation and maintenance of alternative water supply/sanitation infrastructure, and is willing to contribute 20-40% of capital costs;
- Preparation of a technical and financial proposal together with the community;
- Submission of proposal to PMU and vetting of proposal;
- Implementation of proposal and community take-over of Operations and Maintenance (O&M) responsibilities; and
- Auditing, evaluation and monitoring of project impact and of groundwater quality.

For the purpose of project preparation, rural and municipal schemes will be classified according to the vulnerability to contamination, social characteristics and demand of the community.

Schemes will be grouped according the following three intervention categories:

- Category A - only local capacity building required,
- Category B - capacity building and limited physical intervention, or

- Category C - capacity building and substantial physical intervention.

The subprojects within these broad categories will be prioritized by PMU following the selection criteria. During intervention, however, the actual situation in each community/village will determine the local intervention.

- (b) **Improved understanding of arsenic problem:** Ongoing field surveys will yield baseline data on arsenic contamination and set in place a mechanism for continuous monitoring. The National Arsenic Mitigation Information Center (NAMIC) would be established as part of the Project. It will: organize existing data; develop and implement strategies for further investigations and monitoring; initiate public health and mass media campaigns, and manage, interpret and disseminate all relevant hydrological, water quality, health, socioeconomic and technical information necessary for PMU to devise strategies, prioritize action and monitor progress. NAMIC will interact with a network of other established research and study agencies that will be both providers and users of information. A Technology Advisory Group (TAG) will be set up to review technology options in an objective and impartial way. A DFID-funded hydrogeological study has commenced to elucidate the origin and extent of arsenic release into groundwater. As part of that effort and in follow-up, a laboratory system is being set up to ensure analytical quality control. Funds will be provided to undertake studies and research on all aspects of the arsenic problem.
- (c) **Strengthening of implementation capacity:** As part of the on-site mitigation interventions, capacity-building measures will include training and development of co-ordination and supervision arrangements. Capacity will be strengthened within communities (water committees or equivalent), and to the extent necessary, Pourashavas, to implement and maintain the field interventions and manage funds allocated or collected for the purpose. Planning, co-ordination, supervision and capacity building activities will be implemented within DPHE and Gram Parishad and higher levels of local governments. For the health sector, selective support for capacity building will be included. Assistance on arsenic diagnosis will be provided to medical universities and colleges. Training material will be provided to Directorate General of Health Service (DGHS) medical and field staff, and Private Practitioners Medical Association to address arsenic-related diagnosis and patient referral. The Project will pilot new approaches in water services delivery as well as in strengthening of the village level government. These activities will support the National Water Supply and Sanitation (WSS) Sector policy, 1997.

1.5 Project Approaches and Methods

The approach of the project is based on the three key overall goals:

- Enhance the quality of life and environment in and around project locations;
- Prevent adverse environmental and social impact; and
- Mitigate possible adverse environmental and social impact.

The Project will serve as a multi-agency umbrella effort, facilitating GOB, donors/lenders, NGOs, local governments and other interested parties to mount a well-coordinated and strategically aligned effort in Arsenic Mitigation-Water Supply/Sanitation services. It will support the creation of a Project Management Unit and a package of investments to address the critical arsenic problem in possibly over 50% of Bangladesh's urban and rural communities.

The basic approaches of the Project will be as follows:

- **Participatory approach:** The Project will facilitate the participation of the community, NGOs and the private sector in all aspects of the subproject identification and implementation, as well as monitoring of the arsenic situation in Bangladesh. It will follow a

participatory, community-based approach in financing social organizing, interventions for community action planning, and water supply schemes in urban and rural communities. The Project will also ensure that its community-based approach is both gender and poverty conscious. As most of the rural communities lack the organizational and technical skills to design and construct schemes on their own, they will be assisted by SOs (defined as NGOs by the Development Credit Agreement) with the requisite skills. Local participation, defined as educated decision-making by those community members who use the system and local control over project resources through community procurement and management, will increase the benefits from local public goods and improve collective activities.

- **Demand-driven approach:** The Project will follow a demand driven approach. The beneficiaries can choose from alternative levels of service and an array of tested technical solutions, depending on how much the villagers are willing to contribute the basic investment funds provided by the Project. This process will improve the project performance by involving the beneficiaries directly, by seeking their early consensus on the project and by mobilizing cash or in-hand contributions from them.

At first instance, residents of all socio-economic groups in each cluster, village leaders and leaders of the community organizations will be consulted and informed the need of for participatory investigations to collect baseline information, and to verify the relevance of water supply and sanitation improvements to mitigate the arsenic problem in the context of overall community concerns. Arrangements will be made for the community to carryout data collection with the help of SO facilitators over a period of few weeks. After completion of the investigations, a series of community meetings will be held to: analyze collected information, analyze issues and problems, choose among options, conduct technical field studies and prepare estimates, and plan for scheme implementation. Plans will include water supplies, non-subsidized sanitation, and a series of software activities to ensure sustainability, effective use, and long term management capacities in the community. Special measures will be built in and initiated to ensure that women and the poor have equal rights to participate and that they do not contribute disproportionately to scheme financing and/or labor.

- **Flexible approach:** The Project will take a flexible, phased approach. The present four-year project will be used to a large extent to launch pilot and demonstration projects, from which lessons will be drawn and applied and through their application make the phases more effective. The piloting will pertain notably to the data collection and management systems, the institutional arrangements at the village and municipality levels, the project organization arrangements, and the technologies for alternative water supply. All pilots will be based on the agreed principles of the project.

An agreed strategic framework emphasizing sustainable and participatory development of water supply and sanitation will be closely monitored during implementation. Within this framework, individual site-specific investments (subprojects) will be worked out in detail in annual work plans. Throughout the period of project implementation, proposals for the funding of subprojects will be prepared by municipalities and rural communities (with project assistance) and will be reviewed and prioritized according to agreed eligibility and prioritization criteria. As the first subprojects are being implemented, experience with concept, technological options, and institutional options will be incorporated to improve subsequent subproject design. Similarly, where information is inadequate, different options will be piloted, and lessons learned. Project supervision will be continuous as well (through external and internal auditing and supervision and through external monitoring and evaluation) and annual workshops will be based on progress achieved in the implementation of previous work plans. It is expected that implementation will accelerate after a certain initial lag, and the annual work plans will reflect this acceleration.

- **Effective technical assistance:** Technical assistance is an interactive process between the persons offering help and the persons receiving it. Technical assistance will be provided through the collaboration of multilateral and bilateral agencies and the Project for making maximum use of the scarce resources.

The Project will mobilize both government and non-government capabilities and resources in order to address the local decline of freshwater resources and increase in cost of treatment, as well as to fulfill the high social content of the project and its geographic spread. It will work by ensuring proper co-ordination between line agencies and local administrations.

The PMU will also help to ensure multi-donor coordination related to the arsenic problem and its mitigation. In the first instance, it will help to facilitate the specific efforts of donors in supporting various components, technical assistance, or other ventures related to the arsenic mitigation task, and in a broader sense, to the national urban and rural water and sanitation strategies. In the longer term, the PMU will explore the feasibility of creating and managing a Bangladesh Arsenic Mitigation Fund to which a large number of donors can contribute knowledge, mechanisms and institutional capacity to handle the problem expands over time.

1.6 Project Resources

1.6.1 Management and Support

- **Communities:** Community residents, men and especially women, who have a higher stake in the water supply than men, will be the prime managers and their own best resource in the design of the Bangladesh Arsenic Mitigation Water Supply Project. The Project requires the entire community to be included for a proposed scheme to be eligible for development assistance for type C projects. In type B Projects, partial schemes could involve users in their own local forms of CBO organization. **What is critical is that the CBO actually represent the users of the scheme who have a stake in the long-term sustainability of the scheme in an equitable manner (i.e., without either excluding or disproportionately burdening certain groups). This is a primary principle of the Project.** The CBO can have any kind of legal identity, e.g., registration with Social Welfare, as a contracting entity with a license, or, if and when possible, recognition from local government as a Permanent Committee (subcommittee) of the Gram Parishad.

Various types of community associations may already exist. Most of the extant associations are based on credit and other forms of productive income generation activities. In this Project each of such associations should be able to play an important role in establishing and in being part of the Community Based Organizations (CBOs) that equitably represent or are chosen to service their neighborhood (type B schemes) or represent their entire village (Type C Schemes). Those community residents (users) who are not represented should be included in new or existing groups to form a broad based CBO. Representativeness of CBOs is one of the aspects that the Project will monitor. Working with Cluster Groups and, if so wanted, combining them into a Core Group requires intermediation from Community Facilitators (from the SOs) working in the village. Training and facilitation by SOs is required to familiarize people with: the problems associated with arsenic and other contaminants of drinking water, selection of a safe water source, treatment of drinking water, protection of existing source, hygiene and sanitation, and arsenic monitoring. For the long term, SOs also needs to help villagers develop a Community Action Plan, and the financing and plan maintenance of the water system.

The Project should carefully arrange its initial community/village survey and subsequent CAP process, in close collaboration with the existing associations and in partnership with the

local government organizations. Representative Community Based Organization (CBO) will be responsible for planning, designing, implementation and management of both short- and long-term mitigation measures including mobilization of own resources through:

- Financial contributions,
- Labor contribution,
- Access to credit, etc. to complement Project/GOB fund.

- **Gram Parishad's Permanent Committee:** The Gram Parishad is the lowest tier of Local Government. Article 14 of The Gram Parishad (GP) Act includes support to village water supply and sanitation. The Permanent Committee (PC) constituted by the GP is to focus on the water supply and sanitation development and can own such assets. These PCs may act as facilitation body for financial transaction of the Project once its capacity to do this has been developed. Gram Parishad and its Permanent Committee are yet to be operational. It is therefore essential that the training of the PC members are planned and conducted at the outset before any responsibility assigned to them, once this tier of local government is actualized.
- **Support Organizations (SOs):** A support organization (SO) is defined as any non-governmental organization meeting the eligibility criteria. SOs will recruit additionally needed staff and will be trained before starting work at the field. SOs will assist the communities and their CBOs in emergency and long-term mitigation measures for sustained access to safe drinking water supply and sanitation. SOs will handle those numbers of schemes for which they have demonstrated adequate management capacity. On average, a district-based SO might support 7-10 Type A subprojects and 3-7 Type B&C subprojects per batch. As capacity grows, the number of such subprojects may be increased. Smaller SOs may need to start on only one or two subprojects. SOs will assist the communities and will act as catalysts or consultants in building sustainable organization and capacities at the grass-roots level. SOs will act as contractors to the Project to operate as partners for the CBOs for: (i) mobilization of communities and formation of CBOs; (ii) identification of mitigation needs, health, hygiene awareness; (iii) operationalising short term emergency and longer term responses; (iv) assisting the village to prepare community action plans in coordination with local government and local agency offices (DPHE, LGED, Health); (v) design of and assisting CBOs in implementation of sustainable water and sanitation schemes; (vi) training CBOs on management of schemes including technical and financial management. SOs will have a mix of professional (social and technical) expertise as well as be gender-balanced.
- **Service Agencies (SA):** Service Agencies (SAs) comprise of institutions that provide specialized services to strengthen the capacity of SOs and communities to implement schemes. These may include NGO apex bodies, specialized NGOs, and private sector firms and entrepreneurs, or educational and research institutions. They will be engaged for variety of services including training and capacity building, monitoring and evaluation, site appraisals, special studies, development of training and communication materials and technology support, larger-scale mobilization, special studies, scheme proposal review, training, hygiene awareness, social marketing, etc. SAs also need training to serve as trainers in the Project approach, and, for example, in participatory methods and tools, certain technologies such as rainwater harvesting, and other training tailored to project needs (See Volume II, Training) Based on actual assessments of need, the Project will define SA support requirements at an early stage to ensure that such capabilities are in place when SO training and fieldwork start.
- **Local government, Local DPHE/LGED/Ministry of Health Offices, NGO Apex Chapters, Etc.** Local government (Pourashavas, Gram Parishad, Union Parishad, Thana Parishad), and the field offices of relevant sectoral Ministries, will all serve to support and

facilitate the management of the schemes by the community. They will also support coordination of project efforts, better linkages between the communities and the PMU, and the involvement of SOs.

Proper definition and delineation of roles and responsibilities and consistent approach will be required to avoid duplication and confusion at the community level. Local administrative procedures notably for GP and PC need to be developed, to ensure accountability and transparency. For example, local government may be directed at an appropriate stage to recognize the user-selected CBOs or VWSCs as the permanent committees for water and sanitation and provide them legal status. However, in no circumstances should the local governments have the power appoint members of such committees or take control their funds.

Regular interaction with these institutions based on the identified roles will facilitate strengthening or development of specific capabilities of these organizations to support the project. For example, when an apex NGO is assigned to undertake a large-scale mass campaign to raise awareness among men, women and children in the villages on arsenic vs. bacteriological contamination, it will coordinate with and receive support from these institutions in developing coherent messages and tools. Similarly, consultants assigned to conduct technical surveys may require special test kits to detect arsenic. An impact evaluation or assessment may call for clearly defined objectives and formats/methodologies before launching. As the project is flexible, participatory, and adaptive, a constant dialogue with the apex partners will greatly assist in strengthening the project strategy and help to smooth implementation.

- Project Management Unit (PMU) and the Regional Project Management Unit (RPMU): The PMU aims to fulfil the overall objectives of the Arsenic Mitigation-Water Supply Project, and manage the components of the Project. The PMU/RPMU is headed by a Project Director (PD), two Deputy Directors (DDs) and four Assistant Project Directors (APDs). It will also consist 12 specialists and 18 support staffs. The RPMU will comprise a multi-disciplinary team of three, complemented by DPHE staff on lien or as part of a short-term immersion program. The Chief Technical Advisor and at least two advisors for technology and institutional issues will support the PMU units and its network.

The PMU will serve as a facilitator/convenor for the programmatic effort, and serve as a financial and technical resource body in support of communities, local government entities and central public sector agencies and the private sector (including NGOs, and firms). The PMU will support those entities that are actively engaged in arsenic mitigation activities and the provision of alternative water supply and environmental sanitation services to affected urban and rural communities of Bangladesh.

- Steering Committee: To facilitate the Project, the Secretary Local government Division (LGD) will establish a PMU Steering Committee. The Steering Committee of nine members will be drawn from noted representatives of the public and non-governmental sectors. It will be chaired by the Secretary Local Government Division, and include representatives (Joint Secretary level) from the Ministries of Health & Family Welfare, of Environment and of Water Resources, as well as a representative of the Planning Commission. Two representatives selected by the NGO sector, and academic representatives (one with an engineering or technical background, and one with an socio-economic background) will be members. The PMU Project Director will be ex-officio secretary to the committee. A set of draft by-laws has been prepared for the Steering Committee keeping in mind its roles as a “virtual board” (See Annex Q). Development of such bylaws is needed to ensure adequate

project autonomy, better accountability, and more equitable representation of the stakeholders in the Project. Such rules are also meant to ensure that the Project will serve as a catalyst of change in the Water and Sanitation Sector, not just become part of the existing service delivery system.

The Steering Committee will act as a “Board of Directors” and will meet on a quarterly basis, or more frequently, as required. Its voting powers will be limited as per its Rules.

- **Strategy Network:** The PD, or his/her designee, will facilitate the creation and regular work of a Stakeholders’ Strategy Network. The Network will be an iterative learning, programming, and policy development process related to the arsenic mitigation water supply program. It will focus on the three major work phases: assessment, analysis and action. The Network will include public, private, educational, and NGO/CBO sector representatives from organizations concerned with the Project and its objectives. The PD will chair the Network for the first six months, and subsequently a chairperson of its own choosing will chair the Network.

The Strategy Network can delegate specific assessment, analysis and strategy development tasks to subgroups of its members. The Network and its subgroups can also develop specific TORs for participatory planning activities, rapid investigative studies, field tests of socio-technical options, and other activities which can further advance work on development of the national arsenic mitigation strategy. These can in turn be financed by the PMU, and the results used to further build the learning, programming, and policy development process.

- **National Arsenic Mitigation Information Center (NAMIC):** The National Arsenic Mitigation Information Center (NAMIC) will be established as part of the Project. The information center will be a technical and operational entity without a major decision-making role, supervised and guided by the PMU and the Strategy Network under the PMU.

The NAMIC will compile and analyze data on the hydrogeological and water quality situation, as well as all other technical, health, economic and social data that are relevant in the development of priorities and a strategy. The NAMIC will comprise one NAMIC manager (Assistant Project Director) who will report to the PD. In addition it will comprise 10 technical and 8 support staff.

A Consultative Group of the NAMIC will be developed to ensure quality, comprehensiveness and consistency of the data. It will participate in the collection of specialized data and to assist NAMIC in developing its own and data collection strategies. NAMIC will also initiate public health and mass media campaigns.

- **Technical Advisory Group (TAG):** This will be a unit or cell at the disposal of PMU to address the technical uncertainties related to arsenic mitigation and to help develop project and design guidelines. It will assess the feasibility of emerging technical and social options for arsenic mitigation, and study related questions, through contracting out focused studies.

The TAG will have at its disposal a study fund managed by a designated official coordinator in the PMU. The coordinator functions as the TAG’s executive secretary, under the direct supervision and guidance of an external Assessment Committee comprising eight highly qualified members from academia, research establishments (both categories together supplying three members), governmental agencies (supplying two members), and NGOs (supplying two members).

The Committee independently assesses study proposals and allocates funds for their implementation; it reports half-yearly to the PD and Steering Committee, outlining its policy, selection criteria, and operational priorities and procedures.

The TAG will be assisted by local consultants (under PMU budget), as well as by short-term international Technical Advisors providing a variety of expertise (0.5 man-year per year to be provided through a separate budget). The tasks of the consultants are to organize guidance in defining goals and ensuring quality in the studies.

- **Rehabilitated Zonal Laboratories:** The DPHE zonal laboratories presently have limited capacity and are not working properly. These laboratories will be strengthened so that they can be used for arsenic surveys and monitoring. To this end, they will be provided with equipment and manpower to achieve the goal of setting up a nation-wide system for chemical analysis quality assurance, and for calibration of field test kits. Two additional sample takers and one analyzer will strengthen the existing manpower of the zonal laboratories.

1.6.2 Finances

The Project will be equipped with vehicles, furniture, and fixtures according to requirement and as per estimated Project costs (see Table 1.1, next page). The Project will have computer equipment consisting of one terminal for each professional staff, and requisite software and multimedia equipment.

Each zonal laboratory will be considered, according to need and capacity, for provision of arsenic analysis equipment, bacteriological testing equipment, equipment to test for standard parameters, testing equipment for field surveys, one special car for testing/sampling, two motor cycles and chemicals for analyses.

Table 1.1: Estimated Project Costs

Items	<i>Project Costs (US\$ million)</i>		
	<i>Local Sources</i>	<i>Foreign Sources</i>	<i>Total</i>
Investment Cost			
Equipment	0.06	0.47	0.52
Construction	7.85	0.82	8.67
Community Development	7.61	-	7.61
Studies & Sector Development	3.32	0.88	4.21
Emergency Relief	5.07	1.30	6.37
Furniture	0.04	0.01	0.05
Vehicles	0.04	0.39	0.44
Training	0.86	0.01	0.87
Technical Assistance	1.04	2.59	3.63
Health	0.83	0.02	0.85
Total Investment Costs	26.74	6.48	33.22
Recurrent Costs			
PMU Operating Costs	4.40	0.03	4.43
Other Operating Costs	0.32	-	0.32
Total Recurrent Costs	4.72	0.03	4.75
Total BASELINE COSTS	31.46	6.51	37.97
Physical Contingencies	3.15	0.65	3.80
Price Contingencies	-	-	-
Subtotal Price Contingencies	2.20	0.44	2.64
Total PROJECT COSTS	36.81	7.61	44.72

Bangladesh Arsenic Mitigation
Water Supply Project (BAMWSP)
Dhaka, Bangladesh

Volume 1: Operations

2. The Sub-Project Cycle

2.1 Description of Sub-project Cycle for Rural Schemes

The Project undertakes a demand-led approach in which all interventions (Types A, B and C) will be selected on the basis of transparent criteria. (See Chapter 3 for details on subproject selection criteria) Communities would confirm need, economic viability, technical feasibility, sustainability, and willingness to pay as a basis for being prioritized. Assuming a dropout of some schemes after prefeasibility, a total of approximately 3600 rural village interventions are to be completed within the core budget of this project. These schemes will cover a population of approximately 9 million people

Arsenic Mitigation Scheme in Rural Villages (PIP)

	Year 1	Year 2	Year 3	Year 4	Total
Pre Planning	400	1400	2200	0	4000
Planning					
Type A	200	800	1000	0	2000
Type B	110	550	1100	0	1760
Type C	55	55	110	0	220
Implementaton					
Type B	0	100	500	0	1500
Type C	0	50	49	1	100
Total					

The total project implementation period is expected to be four years (1999-2002).

Type A Schemes will include a prefeasibility phase and a compressed Planning Phase of four to six weeks, and will result in specific action plans for managing water quality and uses of safe and contaminated water in the community. Each type B&C scheme would have a cycle consisting of the following three phases:

- i) Pre-Planning Phase (5-7 months)
- ii) Planning Phase (6-14 months)
- iii) Implementation Phase (9-12 months)

Normally, the type B&C subproject cycle will take 20-33 months and the phases will overlap. This phasing and duration will help to ensure a demand-led approach, an adequate educational process in the community to build local capacity, and ultimately may help improve the sustainability of the schemes and reduce the vulnerability of the community to arsenic and other contaminants in their environment. Construction of facilities will be affected by the monsoon. However, other village activities such as the community development, participatory planning, health and sanitation components can still proceed during this time.

To allow for varying circumstances amongst villages and encourage maximum participation within communities, flexibility in the sequencing of specific activities is allowable. SOs and communities are encouraged to use their creativity in implementing the project cycle activities. However, the major outputs of each phase are required from all SOs and communities. (See also the M&E Manual, Chapters 2,3,4) Two sets of contractual agreements, one for the planning phase and one for the implementation phase (which includes a sub-phase for consolidation) are to be made with the qualifying SOs/communities by the PMU.

SOs will also be reimbursed for prefeasibility studies of those schemes that are selected. The planning phase contract is signed at the conclusion of the pre-planning phase or pre-feasibility study. The pre-feasibility study forms the basis of the contract between the PMU and the SO for the SO to proceed with the planning phase. Implementation phase contracts, consisting of two separate agreements between the community the SO and the PMU, will be signed at the conclusion of the planning phase and are based on the Community Action Plan developed by the community with the help of the SO during the Planning Phase. (See Sourcebook, CAP Process.) Scheme progress and proposed plans are reviewed by the PMU/RPMUs or designated SAs to ensure social and technical viability.

SO Assignment Levels

As a result of the SO selection process, PMU staff can adequately assess the capacity of each prequalified SO in terms of the number of subprojects that each can manage to support. At the end of prefeasibility training for the SOs, it is agreed how many studies and in what Unions/villages each SO will carry out such studies. It is assumed that out of 400 studies, about 365 communities will qualify for to enter the Planning Phase in the first batch. Based on experience, generally medium sized, district-based SOs can handle about 3-7 type B and C schemes which require software and hardware support and 7-10 type A schemes which require only software support. For purposes of approximation, this would mean that the first batch of 365 schemes would require support from approximately 30 SOs for the first batch. SOs will have a balance of social and technical staff.

SO Staffing

A Team leader, a Software Supervisor, an engineer (Diploma level), a community facilitator, community worker (health), and community technician will be supported by the Project for each SO on a full time basis, with more staff added as needed according to the number of assigned schemes. Graduate and or Senior Engineering support, can be hired on a consultant basis by the SO, or full time if justified by the number of schemes. Detailing of SO staffing norms and qualifications are found in (Annex C, last page, Planning Phase Proposal Format).

Sample Scheme Chart

A 24-month model scheme cycle for one batch is provided on the following pages, followed by a narrative description of key points in the project cycle. Annex A also provides detail and linkages of the steps, processes, and tools involved. In actuality, the length of the cycle will vary according to local circumstances, the effectiveness of the SO and the PMU/RPMUs and other factors. Given the requirements of the Project, a 24-month cycle for each batch is illustrated. Batches will overlap, so that all 3600 subprojects can be completed as planned.

The BAMWSP Model Project Cycle (for Each Batch)

	Month	01	02	03	04	05	06	07	08	09	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24			
Sub-Project Cycle	24	[Solid bar across all months]																										
I. Pre-Planning Phase	07	[Solid bar from month 01 to 07]																										
II. Planning Phase	10							[Solid bar from month 08 to 17]																				
III. Implementation Phase	08																	[Solid bar from month 18 to 24]										

Tasks/Activities	Months	01		02		03		04		05		06	
I. Pre-Planning Phase	07	[Gantt bar spanning from start of 01 to end of 06]											
1. Selection of Hot Spot Areas	01	[Gantt bar spanning from start of 01 to end of 01]											
1.1 PMU STAC team reviews available data on arsenic contamination levels, incidence of arsenicosis and selects first hot spot districts/unions for prefeasibility study (400 villages)	01	[Gantt bar spanning from start of 01 to end of 01]											
1.2 List of hot spot districts/unions is updated periodically and priority ranking cleared with the Project Director with the advice of the Steering Committee.		[Gantt bar spanning from start of 03 to end of 03]											
2. Selection of SOs for First Batch of Hot Spot Unions	03	[Gantt bar spanning from start of 01 to end of 03]											
2.1 Apex bodies of NGOs orient NGOs on application for partnership with the project.	01	[Gantt bar spanning from start of 01 to end of 01]											
2.2 Apex NGOs provide with the list of NGOs in the hot spot districts to the PMU	01	[Gantt bar spanning from start of 01 to end of 01]											
2.3 PMU advertises for applications from the NGOs through newspapers and receives application from the NGOs	0.5	[Gantt bar spanning from start of 01 to end of 01]											
2.4 The Staff Technical Appraisal Committee (STAC) screens application and makes a pre-selection	0.5	[Gantt bar spanning from start of 01 to end of 01]											
2.5 Portfolio officers verify the data and check eligibility with the DC's on a "no objection basis".	0.5	[Gantt bar spanning from start of 02 to end of 02]											
2.6 Approval meeting of PMU for pre-qualification of SOs	0.5	[Gantt bar spanning from start of 02 to end of 02]											
2.7 List of pre-qualified SOs finalized	01	[Gantt bar spanning from start of 02 to end of 03]											
2.8 Each SO is assigned to a Portfolio officer	01	[Gantt bar spanning from start of 02 to end of 03]											
3. Community Selection	03	[Gantt bar spanning from start of 01 to end of 04]											
3.1 Selected SOs come up with the list of the villages with which they want to take prefeasibility studies	01	[Gantt bar spanning from start of 03 to end of 03]											
3.2 Regional chapters of NGO consortium see that overlap, competition and monopolization avoided	03	[Gantt bar spanning from start of 01 to end of 04]											
3.3 Preparation of orientation/prefeasibility workshop for SOs and R/PMU staff for selection of batch 1 (365 villages)	0.5	[Gantt bar spanning from start of 02 to end of 02]											

Tasks/ Activities	Months	01		02		03		04		05		06		
4. Selection of SA, Organizing and Conducting Training	03	████████████████████												
4 1 PMU selects potential training organizations for prefeasibility course	01	████████												
4 2 PMU recruits external consultant to assist training organizations in developing course design and training materials	0.5		██████											
4 3 PMU and the SA/Consultant identify a field-based facility for hands on training. They make logistic arrangement for the training	0.5		██████											
4 4 Workshop on project implementation, prefeasibility studies, approaches etc.	0.5					██████								
5. Selection of First Batch of Schemes	2.5							████████████████████						
5 1 SOs carry out prefeasibility studies in their selected areas.	0.5							██████						
5 2 Portfolio officers analyze submitted prefeasibility studies and indicate the type of villages A, B or C Sample verification completed by PMU	0.5									██████				
5 3 SOs prepare proposals for supporting the planning phase	01							████████						
5 4 Portfolio officers negotiate with SOs on their proposals	0.5										██████			
5 5 Proposals reviewed and revised if needed by the SOs	0.5										██████			
5 6 STAC reviews proposals and takes decision and communicate decisions to Steering Committee	01											████████		
5 7 Portfolio officers finalize agreements with SOs for planning phase	01											████████		

Task/Activities	Months	06	07	08	09	10	11	12	13	14	15	
II. Planning Phase	10											
6. Capacity Building of SOs	3.5											
6.1 PMU recruits SA/Consultant to carry out training for the planning phase	02											
6.2 The SOs recruits all the project staff	01											
6.3 The PMU and the training SA/Consultant identify a field based training site to carry out the ten-day intensive training of SO staff for the planning phase	0.5											
6.4 PMU recruits SA/Advisor to assist the training team to design M & E system at all levels	01											
6.5 Training on Participatory Planning and Monitoring	01											
6.6 Development of participatory training materials for community self-assessment, situation mapping, formulation of CAPs, ensuring participation of women and men	03											
6.7 Training on Monitoring and Evaluation Training Course	01											
6.8 Planning Phase Interventions in Project Communities (which includes participatory investigations, analysis, organization, decision making and planning for arsenic and water quality management in type A villages. In type B and C villages, communities also plan for construction of partial or complete village schemes	01											
7 Monitoring of Progress and Second Payment	02											
7.1 Site visits by the Portfolio officers and assessment of performance, quantity and quality of inputs and timeliness of SO support activities. Recommendation is made for second payment to the SOs	01											
8 Second Set of Training Courses for Capacity Building of SOs and CBOs	0.5											
8.1 Training on technologies for arsenic mitigation for technical staff of SO especially on issues in choice, and procurement issues	0.5											
8.2 Training on Project Management and Accounting for SOs and TOT for training of SOs and TOT for training of CBOs on Management, Finance and Accounting	0.5											

Task/Activities	Months	12		13		14		15		16	
9. Planning Process with the Village Women and Men	02										
9 1 SOs facilitates discussion on alternative water use and management options approved on alternative technologies with village women and men by CBO (planning) and SO team (technical and social)	0 5										
9 2 Consensus is reached on short listed options.	01										
9 3 Villagers agree to work with technicians on detailed field studies of agreed options on preparation, negotiation and finalization of Community Action Plans (CAPs).	0 5										
9 4 The CBO submits the Implementation Phase Proposal/CAP to the PMU for multidisciplinary review, assessment and financing decisions	0 5										

Task/Activities	Months	16	17	18	19	20	21	22	23	24
		III. Implementation Phase and Consolidation (Sub-Phase)	08		■	■	■	■	■	■
10 Decision taken for acceptance, deferral or rejection of Implementation Phase Proposal	01		■							
11 When approved, 50% of the scheme cost (1st payment) transferred to CBO Account	1 5		■	■						
12 First Payment of SO made for Implementation Phase	1 5		■	■						
13. Training Courses during Implementation Phase arranged for SO Staff (overseers, diploma engineers, senior engineers and local technicians/VMWs on roles and responsibilities during the implementation phase, construction issues, supervision issues, plumbing etc	01			■						
14 Construction and Procurement Planning by the CBOs with the assistance of SOs	01			■						
15 Procurement of local and non-local materials	01				■					
16. Construction of Hardware for B & C Schemes	3 5					■	■	■	■	
17 Additional training of CBOs as required during and after construction	3.5					■	■	■	■	
18 Subsequent Payments and Monitoring Output monitoring, completion report of constructed schemes and other implementation phase activities	01								■	
19 Consolidation visits by SOs for three months after construction. Initial impact-monitoring visits	03						■	■	■	
20. Implementation Phase Financial and Technical Audit.	01									■
21 The R/PMU hires an SA to carry out final audit of the SOs and CBOs and to assess the efficiency of PMU, RPMU and SO in managing the project resource.	01									■
22. Post Sub-project Monitoring and Evaluation										■
23. Long Term Impact Evaluation and Sustainability Monitoring (at least one visit every year)										■

2.2 Pre Planning Phase Narrative Description

2.2.1 Orientation of PMU/RPMU Staff

The primary purpose of the orientation is to assist the PMU/RPMU staff to understand the incidence of arsenic issues in the country and the problems encountered by the people affected by arsenic polluted water, and how the project was developed to respond to the crisis. (See Volume 2, Training, Annex A for details)

The orientation workshop will include the following topics:

- Background of the project: The incidence of arsenic polluted water in the country and its effect on the people.
- Purpose of the BAMWSP: To alleviate arsenic water contamination as a factor in the reduction of arsenic induced mortality and morbidity.
- Scope of the project: expressed through three main components: onsite mitigation, improved understanding of the arsenic problems and strengthening of implementation capacity.
- The orientation will also include the roles and responsibilities of the Steering Committee, PMU and RPMUs, Staff Technical Appraisal Committee (STAC) processes, internal operating procedures, and the TORs of every staff.
- Objectives and features of the project:
 1. Increased capacity at local level both in rural villages and towns to plan, operate and maintain water supply system
 2. Access to safe water supply to the substantial number of people who drink arsenic polluted water.
 3. CBO organised and capacity developed to plan and operate their own water supply system.
 4. Demonstrated partnership between communities, government, NGOs and private sector in participatory planning and design, operation and maintenance of water supply systems
 5. Improved cost recovery of the schemes.
 6. Capacity development of the government agencies to work with the communities for safe water supply.
 7. Capacity development of the private sector organizations in the water and sanitation sector.
- The orientation workshop will introduce and acquaint the staff of PMU and RPMU on the all the steps and processes of the project cycle.
- The workshop will have a self-discovery, hands-on component for reorientation of participants to participatory approaches. As many of the activities as possible will be experiential, so that PMU and RPMU staff will begin to pick up the style of the project. It will also include a three-day field-operational component in which the use of participatory techniques and encounters with rural people will help to reshape the staff style of working. Also, after the training, new staff will be assigned to live and work with a skilled NGO for at least two weeks before taking up their duties.

The RPMU consultants and selected interns will visit similar projects in the South Asian Region and get hands-on field exposures to key steps in the Project cycle.

2.2.2 Selection of “Hot Spot” Districts, Thana and Unions

The NAMIC, with the assistance of network agencies and institutions, will collect information on the incidence of arsenic pollution. The PMU will review available data on arsenic incidence and seriousness. Following the criteria listed for selection of hotspots (See Section 3.1 and Annex B), the PMU will identify the most vulnerable Districts, Thanas, and Unions. In the selected Unions, SOs will be invited to complete detailed prefeasibility studies for the selection of specific villages for each Batch of schemes. (see below).

The list of the hotspot Unions will be updated periodically and priority ranking will be made with the endorsement of the Steering Committee.

2.2.3 Selection of SOs/SAs

A support organization is defined as any non-governmental organization or any other community based organization meeting the eligibility criteria. (See end of section for criteria). They are to provide the necessary support and services to local communities in the planning and implementing of water and sanitation schemes. Their role is to reveal community demand and to assist communities themselves to conceive, plan implementation, monitor their water and sanitation schemes that meet the transparent criteria established by the PMU

In particular, they will help communities fill the gap where they need strengthening in cooperative action and use of their own human and physical resources, and to build new knowledge and skill needed to carry out their schemes. They will help committees to organize their own Village Water and Sanitation Committees/Gram Parishad assess and record community information needed for planning, analyzing available resource, solve any potential disputes before implementation, consider technical options, and make choices on service levels, costs, and prepare action plans for implementation in detail.

Service agencies comprise institutions that provide specialized services to strengthen the capacity of SOs and communities to implement sub-projects. These include NGOs, private sector firms, and community-based organizations. They are engaged for a variety of services, including training and capacity building, monitoring and evaluation, special studies, training and communication materials development, and technology support.

One of the activities to be carried out in the pre-planning phase is the selection of support organizations to facilitate the pre-feasibility studies and other activities in planning and implementation phase. The minimal criteria that have been decided for selection of a support organization are as follows:

- Three years' registration as legal entity
- Constitutional provision to work in community development and or water and sanitation
- Three years' track record in community development or water supply/sanitation
- Two years' audit report indicating good financial performance
- Documented staff capacity to carry out services or ability to recruit necessary staff
- Operates bank account
- The SO's Board is not controlled by one or family
- Local NGOs preferred but not CBOs

If there are more SOs than needed for a batch, an additional point ranking system will be introduced, which includes additional criteria, such as gender balance in staffing, level of previous interaction in selected areas, etc. (See Section 3.1 for details)

2.2.4 Assignment of Portfolio Officers

In order to provide necessary follow-up of the activities carried out by SOs, the PMU will assign a Portfolio officer for, on average, 5-7 support organizations. The function of the Portfolio officer will be as follows:

- To assist SOs in completion of prefeasibility studies and selection of communities;
- To participate, on behalf of their SOs, in all STAC meetings and present information related to their proposals;
- To manage the agreements and TORs for each contract of assigned partner SOs and communities.
- To monitor the progress of schemes implemented under the support organizations, ensure M/E data is collected and systematized, and to ensure payments are processed for SOs and CBOs on a timely basis;
- To assist the SOs in identifying technical assistance as needed;
- To monitor and arrange for needed appraisals and studies of completed schemes.

2.2.5 Pre-feasibility Workshop

A six-day workshop, one of a series of such courses, is organized by the PMU and a recruited Service Agency to ensure that personnel of SOs can effectively carry out their terms of reference. In addition to SOs, SAs/Consultancy Groups are invited to attend at their own expense. The first workshop activities concentrated on the overall BAMWSP project concept with its emphasis on community participation at all stages of project design and implementation, preparing and the specific procedures for conducting pre-feasibility studies. Instruction on how to prepare planning phase proposals is also provided. (See Volume 2, Training, Annex B & C). Monitoring of training performance is addressed in the M&E Manual, section 3.2

2.2.6 Preparation of Pre-feasibility Study

SOs are required to assemble their own team and carry out prefeasibility studies for each scheme using pre-feasibility study formats provided the PMU. A model Prefeasibility Study Format is appended (Annex B). If not already employing such staff, the SO recruits an engineer and a social scientist to carry out the pre-feasibility study in each village. The engineer should possess a diploma in Civil engineering and have at least five years' experience in community-based water and / or sanitation. The social scientist/community facilitator is required to have a degree in social sciences with at least two years of community development experience or having passed H.S.C high school with five years' of experience in community development. The recruitment and composition of SO teams will be part of the MIS (M&E Manual, Section 3.2).

2.2.7 Implementation of Pre-feasibility Studies by SOs in the Field

The PMU will select those schemes to be site appraised based on assessment of the prefeasibility studies that have been carried out by the SOs. Those schemes likely to meet the criteria are short-listed. RPMU/PMU portfolio officers or appointed SA/Consultants visit sample villages to assess and verify the information provided by the SO, and add supplemental information regarding potential scheme design. (For a checklist on field monitoring visits, see the M&E Manual, Annex B.) The STAC then classifies and ranks proposed subprojects as per criteria. It is agreed with each SO which/how many Type A, B, and C schemes will be taken up. The PMU then requests SOs to proceed with the next phase of work and submit planning phase proposals for those communities that are prioritized. These are negotiated by the Portfolio officers and then reviewed, approved by the STAC. Partnership Agreements are then prepared and signed by the PMU and the SO, and the first payment is made to the SO including back

payments for the prefeasibility studies in those communities that were approved. The SOs then bind themselves to provide the required expertise mix (social and technical) as well as a gender mix of staff. The SO will inform the portfolio officer in cases where key staff are changed. (Key staff as designated in the Agreement, See Annex L.) Information on approved proposals is provided to the Steering Committee of the PMU. In addition to SO responsibilities, the partnership agreements also state the rights of the SOs vis a vis the PMU. (See Annex L, Partnership Agreement for the Planning Phase)

2.2.8 Planning Phase

The **purpose** of the Planning Phase for Type A communities is to help them more effectively manage their existing water supply and sanitation systems, and enhance them through their own self help activities. Building capacity of the community for long-term monitoring of water sources for arsenic and other contaminants is a key objective, as well as to enable community residents and their CBOs to designate and avoid use of those sources in the village that pose a danger. The phase will also include helping the community diagnose arsenic related illnesses and in referrals for palliative care, where appropriate. The phase will last four to six weeks, and at the end of the phase the communities will provide an action plan for their long term surveillance, enhancement, and care activities.

The purpose of the Planning Phase for Type B and C Communities is to provide necessary support to the communities to enhance their capacity to assess their situation and to plan their own arsenic mitigation water supply schemes. Outputs include: improved community organization; choice of technology(ies) solution and their features/service levels; detailed action planning; approaches to distribution/use; operation and maintenance; environmental protection measures; long-term testing and management of water quality including arsenic testing; hygiene and sanitation activities; gender balance and other related capacity building. (See also the M&E Manual, Section 3.11)

The Planning Phase includes community mobilization and organization, interventions to invoke creative problem solving and planning, analyze technology options, consider cost and O&M implications and preparation of Community Action Plans (CAPs). Participatory methods are used to engage the communities in collection of information, problem solving, decision making on social, technical, cost and service level issues, and how to organize and mobilize themselves for the implementation of the project.

The Planning Phase has three major parts:

- The first part of the process includes community investigations and conceptualization, involving all members with special efforts to involve poorer women and men, and development of plans which all men and women in the community agree;
- The second part involves building community capacity, including a strong local organization, resolution of conflicts, and equality in representation, for management of the subproject plan;
- In the third part, an open range of options is discussed and the option of paying incremental costs of higher service levels is explained. A realistic range of technologies supported by the project are selected if community agrees;
- The third part of the process includes converting the draft technology plan into detailed engineering design including cost estimates with the technical support of SOs. These detailed engineering plans are fully based on the villagers' choice of options, and villagers are involved throughout the studies by technical staff. This is discussed with the community, revised and finalized. This is submitted along with the rest of the community action plan,

which details other activities such as non-subsidized sanitation, health and hygiene education, and for long term monitoring of arsenic contamination and water quality in general.

Based on the field survey and documentation of intended activities, the Implementation Phase Proposal is prepared. (Annex D)

2.2.9 Training

Orientation and Training: The PMU hires a Training Organization (Service Agency) highly skilled in participatory methods, to carry out the training events. PMU staff will jointly conduct these core courses. (See Volume 2, Training, Annexes D and E.) Attendance of at least one course is imperative for all PMU staff for their own skill development, and will be monitored as part of KAS, (Knowledge, Attitude, and Skills Assessment). (See M&E Manual, Section 3.2)

A. Participatory Training for Community Planning and Monitoring of SO Staff: Soon after signing the planning phase contracts and staff mobilization the orientation and training of the Software Supervisor, Diploma Engineer, and one or more field staff of the SOs are organized which includes:

- i. Skills in the use of participatory methods and tools for community organization,
- ii. planning, and an overview of community monitoring.
- iii. Thorough orientation to the scheme cycle, project norms, procedures,
- iv. Technology choice and design issues, management and accounts;
- v. The CAP Planning Process and development of an Implementation Proposal, including budget issues
- vi. Their TOR for the Planning Phase

This is one of the most critical training courses for SOs, in which they are introduced to the project approach, and build the skills needed to carry out participatory support to communities. Thus ten days based in the field are devoted to the course. Artists are also on hand to develop new tools for the toolkit during encounters in which trainees plan interventions and use participatory tools over a series of visits to the same village groups.

The training is based on the SARAR workshop model, with some additions to adapt it to specific project needs. It is highly experiential, with little lecture throughout, and with an emphasis on hands-on use of participatory tools adapted to serve the needs of the CAP Process and Planning Phase. Cross-fertilization among staff of participating SOs on their experience with successful methodologies and tools is encouraged.

B. Training of Monitoring and Evaluation (M&E) Methods and Tools for SAs/SOs: The qualifying SAs are trained to understand M&E system, formats and new tools to be used by the project, and to serve as Trainers of SOs, and to carry out specialized M&E activities as may be required. Training uses participatory methods to train in the use of such tools, and includes a field-operational component. The training will also emphasize the role of SAs as project partners in providing assistance to the SOs and the communities in effective implementation of the project and not just inspection and fault finding. Using available participatory tools and creative development of new tools will be part of this course. Note. The SOs will further train community members in community monitoring approaches as part of Planning Phase field activities.

A Second Phase of Training takes place about the mid-point in the Planning Phase, which helps the SOs to effectively carry out their TORs. It includes the following training events. (See Volume 2, Training, Annexes F, G, H)

- C. Training for Technology Choice and Design for Technical Staff of SOs/SAs SO and potential SA engineering staff will be trained in:
- i. The Community Design Concepts which emphasizes the communities' role in technology choice and in designing scheme layouts and change in the prevalent attitude that engineers 'know what is best' for the community;
 - ii. Basic field survey principles;
 - iii. Design guidelines;
 - iv. Cost estimation;
 - v. Local construction materials and local construction technologies, which will prepare the engineers for the subsequent implementation, phase.

The style of the training will be in keeping with the experiential, participatory approach of the project. Interactive tools will be used to lead the course, so that participants are trained in the same way that it is hoped they will train villagers.

D) Training for SO Management and Accounting Staff

This includes training on use of the SO/CBO Accounts Manual, and on basic management principles and procedures for use in sub-projects. SOs in turn will train CBO staff in those skills as part of Planning Phase Interventions. Again, the training will be hands-on, and use participatory methods and audiovisual tools. The emphasis will be on building practical skills in accounts, so tools and accounting formats will be used, not just discussed.

Assessing style, methods and tools used in the Training will be part of Project Monitoring, (See M&E Manual).

2.2.10 Planning Phase Activities

During the planning phase contracted SOs are expected to complete the following activities:

- recruit, mobilize and ensure training of new staff both male and female in appropriate participatory methods;
- mobilize and orient men and women in the community, building group cohesiveness and capacity;
- conduct community action plan training sessions with broad cross-sections of the village participants;
- involve the community in data collection for monitoring and evaluation and creative problem solving using participatory methods and tools;
- organize, establish and train Community Based Organizations (CBO); this is a major output of the Planning Phase and should include sufficient representation of women, minorities and other user groups. The CBOs should be capable of planning, implementing and managing the arsenic mitigation water supply schemes;
- monitor, with the CBO, gender and class participation and division of contributions
- training on Management and Accounts for CBO members;
- establish one project bank account for the SO, and one for the CBO;
- plan and initiate activities to assess local health, hygiene, and sanitation conditions and behaviors and list and prioritize actions as part of the CAP to improve them. Reviewing the division of tasks by gender in health and hygiene will be part of this process

- collect and deposit community contributions;
- facilitate community analysis and selection of technologies and design features, involve community in 'agree to do' meeting;
- conduct a detailed technical field survey including discussion with the community on design options, service levels, related cost and prepare scheme design; hold final meeting to approve scheme;
- prepare plans for the implementation phase and longer-term operations and maintenance, which constitute the CAP. Key element is the planning process using participatory methods and maximum utilization of the ability of the community members, including poorer women in designing and managing a technically and financially practical scheme. SO community workers are responsible for creating an environment for this participatory Community Action Plan.
- prepare and submit the implementation proposals to the PMU; (see annex-D for Format)
- issue Contracts for Implementation Phase.

NOTE: The Legal Identity of CBOs:

As per the Development Credit Agreement, Schedule 4, clause 4 (page 22) it has been agreed that “ *The Borrower shall ensure that all Project works are implemented by community based organizations (hereinafter called CBOs) and according to standard agreements, satisfactory to the Association, between these CBOs and the PMU* ”

The Project Proposal (page 9) also states that “The project work will be implemented by the community based organization (CBO) with the support of the Gram Parishad/ Permanent Committee/ Pourashavas/ Municipalities. The specific sub-project will be planned by the community with the technical support of the SOs/NGOs of the project and will be appraised by the PMU. On the basis of the approved sub-projects the necessary community fund will be mobilized at local bank account to be operated by CBOs. Then the project fund will be disbursed to the community account of the CBO of Gram Parishad/ Pourashava ”

It is also mentioned in the PP (page 19) that “ Operationally with respect to flow of funds a two-tier system will be followed. The PMU will review priorities and approve funding that goes directly to the local/field level where activities are required. At the field level, monitoring of Project fund disbursement and supervision of interventions will be performed by local Government entities”

These shows that the CBOs fund should be operated through bank accounts. To open a bank account of an organization, the bank requires some legal entity of the organization which means the organization should be registered under one or more Acts of Parliament such as:

- Societies Registration Act 1860 administered by the Department of Social Welfare
- Companies Act 1913
- Trust Act 1882
- Cooperative Societies Ordinance 1978

All these registrations require that the organizations applied should have a constitution and by-laws and an executive committee and provide annual report and financial statements to the registered body.

The registration process is complicated and requires considerable amount of time. This may be the reason the PP proposed that “ Then the project fund will be disbursed to the community account of the CBO of *Gram Parishad/ Pourashava.*” However, the Gram Parishad is not yet in place so it can not as such give legal recognition to the CBO group as a Permanent Committee. As such some alternative arrangement has to be made

The project, therefore, should negotiate with the Department of Social Welfare to make a special arrangement (through a Government Circular) for the project CBOs to get a registration (which the SO may facilitate) from the District Social Welfare Office.

2.2.11 Payment of Installments and Performance Monitoring

The payment for the Planning Phase is made in three installments:

- 1 The First Installment will be paid to the SOs as an advance following the signing of the Planning Phase contract between SOs and PMU.
2. The payment of Second installment to the SOs will be made after monitoring visits made by the Portfolio officers of the RPMU as per instructions given in the Monitoring and Evaluation (M&E) Manual. The steps followed:
 - SO staff initially monitor the performance themselves as per monitoring formats provided by the PMU;
 - SOs submit the monitoring formats and narrative report together with financial statement and request for payment/monitoring visit by the Portfolio officers;
 - The Portfolio officers and Service Agency staff make on site monitoring using the same monitoring tool. The visit is timed to verify the completion of the targeted activities of the planning phase (conceptual plan) and endorsement by the community. They involve the community in assessing the performance of the SOs. The questionnaire and information collected is designed to determine that entire community participated in the CAP process and SOs and CBOs provided the community with the necessary facilitation, support, and learning tools required.
 - SO accounts will be reviewed informally by a recognized auditor/trainer appointed by the PMU. If deficient, the auditor/trainer will train the SO Accountants on site following the review.

The payment of Third installment for the Planning Phase is made following the same steps as in case of payment of second installment; SO staff (The portfolio officer or an SA designate) monitors, fill in monitoring formats and submits it with financial statement to the Portfolio officers at RPMU. The Portfolio officer and/or SA staff will make on site performance monitoring visit to ensure all planning phase activities completed satisfactorily and all aspects required for the Implementation Proposal Site Appraisal have been taken into consideration and that the field survey and design has been properly undertaken.

2.2.12 Contracts for Implementation Phase/ Payment of First Installment

The SOs and CBOs will submit the proposal for Implementation Phase including the community action plan (CAP), technical designs and cost estimates to the PMU, which will be reviewed by the STAC. The PMU/RPMU will make on site visit, or conduct a site appraisal through a SA, and make recommendations to the STAC. The STAC holds a review meeting to vet the proposals (See Chapter 3). Then they send their recommendations to the Project Director for approval/deferral/rejection.

Once approved, the PMU and SO negotiate two partnership agreements for the Implementation Phase. One agreement is made with the SO for continued support to the community, and another with the community's CBO for scheme implementation costs. In all cases funds for construction will be channeled directly to the account of the CBO, selected by the users, and to no other body, even if the CBO, for example, becomes a permanent subcommittee of the Gram Parishad. The payments of the first installments are made to mobilize the effort and procure both local and non-local construction materials.

2.2.13 Implementation Phase

The purpose of the implementation phase is to construct the village schemes as planned in the planning phase, and complete related activities planned for implementation. These activities, as defined in each village's CAP, generally include: the construction of partial type B or

comprehensive type C water supply schemes; activities to mitigate possible adverse environmental impact; continued hygiene and sanitation education training; sanitation and waste disposal (on a non-subsidized basis); and skill and management training in the community to support operations and maintenance. Training is provided to SO staff on construction issues, supervision and plumbing. Service Agencies or consultants are to be engaged by the PMU to monitor the quality of construction.

The purpose of the “consolidation” sub-phase is to follow-up on the achievements of the community in the provision of water and sanitation facilities through periodic monitoring, and continued work to improve hygiene and sanitation practices and improvements, and ongoing water quality surveillance. In addition, the consolidation sub-phase activities help to ensure the community’s capacity to manage, operate and maintain facilities and take optimum advantage of project benefits.

2.2.14 Training for the Implementation Phase

The PMU again recruits an appropriate SA, consultant or training organization, to carry out the needed training for the Implementation Phase. (See Training Manual for details) The training events include:

1. Training for SO staff on Roles and Functions during the Implementation Phase: Training is provided to SOs on construction issues, supervision, and plumbing, and is provided for overseers, diploma engineers, and senior engineers associated with the schemes to be constructed. Also, SOs are trained in TOT fashion so they will carry this training out with the CBOs at the start of the Implementation Phase. (See Volume 2, Training, Annex K)
2. Annual Review Meetings: Actually part of the M&E system, another capacity building event includes an annual central review meeting to be attended by PMU, SO, CBO, and SA representatives. This review provides a public forum where the CBOs, SOs, the SAs and the PMU can discuss success, learn from each others perspectives and problems faced and air grievances as required. The forum provides a valuable development monitoring opportunity to review the existing procedures and consider necessary changes.
3. Supplementary Training for Construction and Maintenance: PMU, SO, and CBO (implementation) during construction workshop: This workshop is designed to take place between payment # 2 and # 3. It provides an ideal opportunity for practical community monitoring and further provides a complaint route for the CBO (implementation) to express their concerns, while corrections can still be made. Five different courses have been designed to cover each type of technical option. They will be combined according to need. (See Volume 2, Training, Annexes, L, M, N, O)

2.2.15 Training of community participants

SOs are required to provide ongoing training in communities to include:

- Workshop for CBO (implementation) on roles and responsibilities during the implementation phase and post-construction refresher training for CBOs (Implementation) and VMWs;
- Training of masons and environmental sanitation workshop/demonstration and latrine construction workshop;
- VMW on-the-job training, and post-construction refresher training;
- Training of health and maintenance groups on continued arsenic testing, Hygiene, Sanitation and on point source maintenance
- CBO (Implementation) treasurer/financial management training;

2.2.16 Pre-Construction Activities/ Procurement

Once training is completed, the SO assists the community in carrying out the procurement needed for construction, and mobilizing the community for collecting local materials on a voluntary basis and organizing for construction tasks. 50% of the funds needed for construction are deposited by the PMU in the CBO's Community Account. The SO guides the communities (or if requested acts on their behalf) to procure the non-local materials and skilled labor needed based on a local shopping procurement approach.

2.2.17 Scheme Construction

The community implements water supply construction with SO support and construction supervision is provided from the SO. (Indicators and methods for community monitoring are given in the M&E Manual, Chapter 5. This volume also gives guidance to the monitoring by the SO and the portfolio officers) The Portfolio officer will make additional visits if early visits indicate that additional RPMU/PMU support is needed. The SO's diploma engineer and overseer assists in guiding the construction. A Sr. Engineer is brought in as needed on a consultancy basis.

Drainage, sanitation construction, improved hygiene, and solid waste management will be encouraged on a self-help basis. Also, if the village decides on other environmental management activities, they will undertake those at their own cost. However, the SO will provide technical knowledge and support for such self-help activities.

An SA (third party engineering consultant) for a check on quality control is needed, especially for complex schemes such as in rare cases where piped schemes are constructed.

2.2.18 Step Payments for the Implementation Phase

- A. Contracts issued by the PMU stipulate the juncture of the implementation phase and requirements for step payments to be made. (See Annex E, Payment Recommendation Forms.) Payment #1 is made as an advance on signing the contract. For each subsequent payment, a visit from the Portfolio officer of the RPMU/PMU is required. Key inputs/outputs required for each step payment must be achieved and recorded. Narrative and financial reports must be submitted by the SO and approved by the Portfolio officer. There are principally two monitoring visits during the Implementation Phase, however visits will be repeated if the information collected does not allow for payment and a revisit is necessary. In addition spot checks will be made concerning the purchased material quality prior to transportation. The 2nd payment is made after materials are procured and construction activities by the community have started.
- B. Payments # 2 and # 3 require a performance/output-monitoring visit by the Portfolio officer. Key inputs/outputs required by each step payment must be achieved and recorded. Before payment is made, reports must be received and approved by the portfolio officer. Both Payment # 2 and # 3 require that in addition to verification regarding the satisfactory fulfillment of all required activities, that technical certification of scheme construction quality and/or completeness is provided by an engineer from the Technology Unit of the PMU or a contracted SA. This is needed only when schemes are sufficiently complex to warrant such certification.
- C. The 2nd Payment monitoring visit is both a construction performance monitoring visit and a process monitoring visit for the software activities so as to correct faults and re-establish direction if necessary. Physical construction should have started in a satisfactory manner, i.e.,

materials are procured properly and community workers are organized, skilled labor has been identified, and some stages of early construction completed, as per the selected technology.

Regarding the software components the visit will pay particular attention to:

- the transparent usage of the funds and the knowledge of the general community regarding the status of the account
- the community's monitoring of the construction work ensuring the correct use and proportion of the materials
- the continued input of the Community Worker and Supervisor in the conducting regular health education and maintenance training sessions

D. 3rd Payment monitoring and related reporting: As a pre-requisite for Payment # 3 the Community together with the SO must submit a report concerning the activities and construction completed. This report is referred to as the Implementation Contract Completion Report. On receipt of this report the Portfolio officer will visit the site and verify the information provided by the SO. S/he will also add information to the report concerning his/her reflections upon the planning phase and impact data and analysis. The final report produced by the portfolio officer and submitted to the Project Director is referred to as the Scheme Completion Report. Based upon this report the Project Director will assess whether or not to make the final payment.

Hints: Note that the 3rd payment monitoring visit maybe broken into two individual visits if necessary. One visit shortly after the completion of the construction can verify the satisfactory completion of the construction works and one visit following the finalization of the contracted works to verify the satisfactory completion of all supportive software activities.

2.2.19 Impact Monitoring

In addition to the regular performance/ process monitoring described above impact monitoring will be used to determine the results seen versus the anticipated benefits.

For further information concerning impact monitoring please refer to the M&E Volume III.

Long term sustainability monitoring:

- After a longer period of "no further external intervention", preferably 2-3 years some communities will be evaluated to determine the long-term sustainable impacts of the interventions. Combining aspects of both a) and c) above approximately 10% of the schemes of each tranche will be followed.
- For further information concerning the long-term sustainability studies please refer to M&E Volume III.

2.2.20 Implementation Phase Financial and Technical Audit

Once 3rd Payment of the Implementation Phase has been made the PMU has effectively "signed off" on the contract with the community and the SO. The PMU now undertakes its own internal audit to determine the effectiveness and transparency of its own, the SOs, and the Communities' operations. The Audit reviews the transition of roles and responsibilities between the SO and the Community during the planning and implementation phase and determines whether indeed the PMU has achieved its aim of enabling the community to plan, implement and manage the water supply system. The audit further uses the pre and post construction data analyses the costs and the benefits of the scheme. The financial audit is a full audit of the SO (PMU) account and the Community /SO account and the Community's account. Both financial and technical audits will be undertaken for every SO within a Batch and approximately 30% of all schemes.

2.2.21 Periodic Review Meetings

The PMU Professional Staff

The PMU will institute a weekly meeting to review weekly progress of activities throughout the Project Cycle that is attended by all the head office professional staff of PMU. One such weekly meeting will be earmarked for Monthly Review Meeting and extended to include the professional staff from RPMU. The objectives of the Monthly Review Meetings are:

- Monitoring of Project Activities; review the progress of activities as per plan of action of each staff [Each staff should submit a six monthly plan of action] and identify the problems encountered in implementation of the Plan.
- Establish accountability of both management and the staff.
- Provide an opportunity for the staff to share their experiences.
- Draw lessons for further refinement of the project

Such Review Meetings should be organized regularly by the MIS specialist on a fixed date and time and should be a part of six monthly Plans of Actions of the PMU and staff. It should be presided over by the PD and in his absence, by the available senior most consultant.

Preparation for the review meetings should include receipt of written reports from each of the professional staff members in a prescribed format and compilation of these reports by the MIS specialist. The PD will make a presentation of the analysis of the progress made by the staff that will follow the discussion.

In order to uphold the basic principles throughout the project period, each Review Meeting should begin with discussion on the basic principles of the project.

Proceedings of these meetings should be recorded by the MIS specialist focusing on problems identified, lessons learned and actions revised which will help in process monitoring of the Project.

Review Meetings of the SO Representatives

The Review meetings of the SO representatives will be organized at regular intervals by each of the three RPMU offices by the RPMU/ contracted SA staff. The objectives are to:

- Monitor the progress of the schemes undertaken by each contracted SO.
- Establish accountability of both RPMU management and the contracted SOs.
- Provide an opportunity for the SOs to share their experiences.
- Draw lessons for further refinement of the sub-project/ schemes.

The Review Meetings of the SOs should include discussions on different schemes facilitated by the SOs in order to understand the approaches followed by the SOs in mobilization of the communities, organization of CBOs, preparation of CAP Plans and implementation and monitoring of the schemes. They should also identify the problems encountered by the SOs and steps taken to solve the problems.

Proceedings of these meetings should be recorded by the RPMU/ SA staff focusing on problems identified, lessons learned and actions revised which will help in process monitoring of the Project.

The training curriculum of the RPMU/SA staff will incorporate training of the RPMU / SA staff as facilitators to conduct effective review meetings of the SOs.

Annual Review Meetings, Changing Manuals Based on Experience

The SOs, PMU, RPMU, and selected CBO representatives will meet with the Donors and Steering Committee representatives to review project criteria, norms, procedures, and processes on an annual basis, to determine changes in the Manuals for subsequent Batches.

Fundamental Principles of the Project cannot be changed. However, criteria, procedures, processes, norms and tools can be changed upon consent of the Project stakeholders.

Core procedures, norms, processes, and criteria, (listed in the Preface) can be changed only when at least 2/3 present in the stakeholders' meeting agree and also the World Bank agrees to the changes.

Other changes can be agreed by a simple majority, or by consensus. When there is no clear majority or consensus, changes can be made by the PMU's discretion provided they are consonant with Project principles.

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3. Eligibility Criteria and Procurement

Procurement of SOs and subprojects is based on the application of transparent criteria as defined in this section. There are four critical stages in which criteria are applied in order for a sub-project to be supported by the PMU.

- I. for prequalification and selection of the SOs, on a cumulative basis throughout subproject batches;
- II. for selection of Hotspots, i.e., to rank priority Unions in which detailed prefeasibility studies will be done to select the villages of each batch of subprojects;
- III. for approval of a planning phase proposal for contract;
- IV. for approval of an implementation phase proposal for contract.

3.1 SO Eligibility Criteria and Selection

Procurement of SOs

The PMU advertises for SOs each year on a national scale through newspapers and other media for SOs to help in Hotspot Unions. NGO Apex bodies also recommend a shortlist of SOs already working in the Hotspot Unions. Brochures on the BAMWSP criteria and approaches are distributed through institutional networks and on demand. SOs represent communities applying to the fund from targeted areas in various parts of the country and are generally sole-sourced.

Where more than one SO is available to assist a community, it will lie with the community to decide which SO it wishes to support it. SOs must first prequalify with the PMU by submitting SO Application Forms (See Annex F) along with other documents, including their registration and a copy of their most recent audit.

The PMU verifies that the information is correct and enters it into the SO Prequalification Log. (See Annex G). The STAC reviews and decides on prequalification when all information is complete and criteria are met in full. The SO Selection Criteria are highlighted in Box 3-1 below.

<p>Box 3-1: SO Selection Criteria</p> <ol style="list-style-type: none">1. 3 years Registration as a legal entity2. Constitutional Provision to work in community development and/or water and sanitation3. 3 years track record in community development or water supply4. Two years Audit Report in good status5. Documented staff capacity to carryout services or ability to recruit necessary staff6. Operates Bank Account7. The Board of the SO is not controlled by one family8. Local NGOs preferred (but not CBOs)
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The SO must meet all the above criteria to be selected. In addition, there may be more SOs than services required. The following tools will be used to rank SOs in such cases in more depth. The following qualitative scale will be used to assign points. SOs not achieving at least 65 points will be disqualified from those meeting the basic criteria.

Characteristic	Available Points	Scored Points
1. Purpose/intention suitable for providing direct services to community	10	
2. Experience in grassroots support, specifically: - previous activities in providing water supply previous experience in health and sanitation - other CD experience	10 10 10	
3. Methods and Skills: - Skill in participatory methods and tools - Financial and record keeping skills - General management skills	10 10 10	
4. Geographical orientation and demonstrated loyalty to a particular areas or community(ies) over a period of time	5	
4. Continuity of leadership in development	10	
5. Gender Balance In Staffing is more than 30% women (vs. 70% men)	15	
TOTAL	100	

After the STAC meeting and decision, the reasons for prequalification, deferral or rejection are communicated to the SO and reasons for all decisions documented in the file.

Those SOs that are prequalified are assigned a Portfolio Manager from the PMU or RPMU who will be their sole point of contact for their relationship with the Project.

3.2 Sub-Project Selection: Hot-spot Identification and Selection

The first stage of sub-project selection is narrowing the focus to prioritized Unions where communities are affected or are more vulnerable to arsenic contamination.

The STAC reviews available data to determine to rank the Unions. Four factors are considered in this ranking, which consist of the criteria listed in Box 3-2 below:

Box 3-2 Hotspot Selection Criteria: To be Applied for Each Batch

Union Selection by:

1. Strong Need and Demand: Overall Arsenic Levels according to available information, based on sample or comprehensive testing
2. Relative wealth, health/nutrition status of the District, then the Unions within the District.
3. Whether or not the Unions are clustered so work can be undertaken in a cost-effective manner.
4. Relative Accessibility for the PMU teams and intensity of prior activities of NGOs in the Union.
5. Local Authorities and Broad Public Support will ensure security of project operations
6. Evidence of Existing Partnerships and Project that are already ongoing.

The list of Hotspot Unions is discussed and finalized and made public. Villages are not selected at this stage, but only after detailed prefeasibility studies have been undertaken based on a much more detailed analysis of each village's situation.

Choice of Unions for prioritization is to be made strictly on the basis of criteria. In the case where data from different sources vary, the Union will not be selected until the sources are verified. The work of the STAC in prioritizing Hotspot Unions will be a part of the technical audit of the Project.

3.3 Subproject Criteria and Selection for the Planning Phase

SOs are trained to carry out prefeasibility studies within the prioritized Unions. The format and strategies for such studies are provided in Annex B. The studies will examine the actual situation in each village where they are carried out.

The data will be compiled and analyzed by portfolio manager of each study for presentation at the STAC. The STAC will first review, classify, and prioritize villages based on a ranking determined by the criteria presented in Box 3-3, Subproject Selection Criteria (Planning Phase).

Box 3-3: Subproject Selection Criteria (Planning Phase): To be Applied for Each Batch

1. Level and extent of Arsenic Contamination of Water Sources:
 - Type A: At least one source is contaminated beyond .05 milligram per litre and problem can be solved by isolating a few sources and sharing other existing sources. (non-investment)
 - Type B: Sources used by at least 10% of the population of the village are contaminated past .05 milligram/liter and the problem needs to be resolved by a partial, or neighborhood based alternative technical option.
 - Type C: Sources used by more than 40% of the population of the village are contaminated past .05 milligram/litre and to resolve the problem a new water system is needed for the village as a whole.
2. Any Arsenic Patients are co-indicators that the village is justified.
Any patient would also justify further investigations through the planning phase.
3. Villagers are willing to contribute in principle to the cost of the scheme
4. There should be demonstrated evidence that the villagers are willing and able to work together including different sectors of people:
 - Have previously organized for community works such as tubewell installations or village sanitation centers, health education, schools, women's groups.
 - No serious factionalism that would prevent the project from being completed
5. Village is willing to include women and poverty groups in the decision-making process and access to benefits of the project, and can show evidence that they have participated in the prefeasibility study process.

Only those schemes that meet the criteria are eligible for financing. Site appraisals are conducted for sample schemes for which prefeasibility studies are submitted to verify the information in the prefeasibility study. Site appraisals confirm information on need, source adequacy, rough estimated costs, technical feasibility and community willingness to contribute to the cost of the scheme and participate in scheme design and implementation. They also assess the appropriateness of software interventions proposed. The total annual quota distributed in any batch cycle will be 15% greater than the number intended for implementation in anticipation of a 15% drop out rate between pre-planning and implementation phases.

Based on the shortlists, SOs finalize planning phase proposals in negotiation with their Portfolio Manager. The Portfolio Manager then prepares an analysis of the subproject(s), based on an assessment of how they meet the criteria and these are presented to another STAC meeting of the PMU. The STAC prioritizes the schemes to be undertaken and makes recommendations on any changes that may be needed in the content and/or costs of the planning phase proposal. The Portfolio Manager finalizes any changes in proposals with the SO and recommendations are forwarded to the Project Director for final approval. After approval is given an agreement for the planning phase is prepared for signature by both the SO and the PMU, and the first payment is made. Contracts are lump sum in nature (See Annex L Sample Agreement and Terms of Reference for Planning Phase). As SOs progress through the project cycle, forms are completed to authorize a series of two additional step payments based on performance and the completion of specific milestones. Payment Recommendation Forms confirm that all requirements for step payments have been met (See Annex E).

The STAC may develop its own means of weighting criteria, which will change with experience. The basic process of the STAC in determining the disposition of each proposal is

described in the Box 3-4 below. The same process is used for the later vetting of Implementation Phase Proposals.

Box 3-4: Process of Staff Technical Appraisal Committee meetings:

1. The Project Director, as chairman of the STAC, or his designate, calls the committee to order, and presents a summary of the agenda proceedings.
2. Unfinished business from previous STAC meetings are discussed, including cases deferred for additional information or until certain conditions are met.
3. The chairperson requests the first in the series of portfolio officers to present proposals from their portfolio. The portfolio officer serves as protagonist for the projects being presented, and provides a presentation on each sub-project and scheme including justification by criteria to the STAC committee and a recommendation for each case:
 - i. approval
 - ii. disapproval
 - iii. request for further information
 - iv. deferral until all conditions/criteria are met
4. After the presentation, the members of the STAC discuss the proposal or case and resolve any questions on the proposal. STAC members can ask the portfolio staff questions and clarifications but the portfolio officer doesn't speak unless asked to by a STAC member. After 10 minutes of discussion on each case, the committee votes or decides by consensus on disposition of the case. In case of disagreements the decision of Project Director will be taken.

The SOs who proposed the schemes will be contacted to enter into agreements for the Planning Phase.

3.4 Subproject Criteria and Selection for the Implementation Phase

Subproject Implementation Phase Approval Process

As a result of the Planning Phase, the community prepares a Community Action Plan (CAP) and a detailed technical design and estimates with the assistance of the SO. The CAP forms part of the proposal for the implementation phase. CAPs are assessed in terms of determining the success of the CAP process. For example, to what degree did women and men in the community assess and take major design decisions in terms of technology choice, design options, service levels, number and location of sourcepoints, costs of different options and arrangements for and forms of operations and maintenance?

The Planning Phase also yields much more information about the degree to which the community meets project criteria. At this point, for example, willingness to pay can be measured by actual deposits into CBO accounts of the community's share of capital costs. Much more is also documented against social criteria, which helps to determine if the community is really ready to proceed to implementation, or would be confounded by factionalism which would preclude construction, discrimination against women, or other social problems. The technical design, which has been site appraised, can also verify whether technical and

environmental criteria have been met, and the least cost option has been selected when the proposal does not include payment by the users for incremental costs for higher cost options.

Portfolio Managers complete an assessment sheet on how the proposed schemes have been prepared and to what degree they meet criteria for need, technical aspects, sustainability, economic criteria and environmental soundness. The Portfolio Manager presents each proposal in the STAC, and answers relevant questions. The STAC approves, defers the proposal for a later session if information is missing, or rejects the proposals. Results are communicated with the SOs and CBOs and in cases of Approval, separate contracts are drawn up for both the SO and CBO for the Implementation Phase. Criteria for Implementation Phase selection are illustrated in Box 3-4.

Where there are more schemes proposed than available funding to support them, schemes would be ranked. Usually, non-compliance with certain criteria would not lead to outright rejection of a scheme, but the STAC would recommend measures needed for redesign or other measures to ensure compliance with the criteria. Schemes also can be approved conditionally where, for example, the major part of a criterion is complied with, such as raising of counterpart funds, and expectation of early resolution of a requirement is expected. The STAC then meets and again reviews proposals on this basis and makes recommendations to the Project Director. Based on PMU approvals, contracts are drawn up for the Implementation Phase. (See Annex M- Sample Contracts and Terms of Reference for Implementation Phase.)

Subproject Selection Criteria (Implementation Phase)

1. **Confirmation of Need and Feasibility of Mitigation Measure:** The ongoing community analysis, and action planning, and appraised feasibility study and implementation proposal should confirm that the community meets the criteria of one of the following types of schemes:
 - Type A: At least one source is contaminated beyond .05 milligram per litre and problem can be solved by isolating a few sources and sharing other existing sources. (non-investment).
 - Type B: Sources used by at least 10% of the population of the village are contaminated past .05 milligram/liter and the problem needs to be resolved by a partial, or neighborhood based alternative technical option which is safe, technically sound, can be sustained by the community, and creates no unmanageable environmental impacts.
 - Type C: Sources used by more than 40% of the population of the village are contaminated past .05 milligram/litre and to resolve the problem a new water system is needed for the village as a whole, and the system design is safe, technically sound, can be sustained by the community, and creates no unmanageable environmental impacts.

A further ranking of schemes, when required, will be based on evidence of the community's vulnerability according to relative poverty levels, nutritional and health status, as documented in the implementation proposal. (verifiable indicators to be identified by PMU)
2. **Contributions/Cost Recovery:** The Community has contributed 1 percent in cash for construction related costs and has deposited it into their bank account, and the bank has verified the deposit. The Community members have agreed that they will contribute all non-skilled labor, and locally available material for the scheme. Community Members (users) have also collected at least 1% of scheme cost for O&M and have deposited the funds into their community account and that is verified by the Bank. Evidence should also be provided that these contributions have not placed excessive burdens on poorer members of the community and female headed households.
3. **Equity in Services Provision:** All arsenic affected members of the neighborhood or villages who are affected by arsenic contaminated water are to be served by the proposed scheme. This particularly includes poor, landless, and female headed households.
4. **Community Organization:** In cases of type B Schemes, the neighborhood has been organized into a CBO (either w/s subcommittee or enterprise) to manage the partial water supply system or mitigation measure. In cases of type C schemes, the community has organized all of the village paras into a CBO, (either a Village Water and Sanitation Committee selected by the users of the community themselves, or an enterprise which the whole community has chosen to take on the role of providing safe w/s services). Evidence is provided that the community is organized, and that the CBO has trained officers, and has opened its bank account.
5. **Social Cohesion, Participation:** The community should demonstrate, that during the planning phase, it has worked well together and that there are no serious social constraints, such as factionalism, which would prevent the scheme from being constructed and sustained. Furthermore, the community must have demonstrated that women and poverty and/or ethnic/minority groups took part in the scheme design, technology selection, and other decision-making in the Planning Phase.

6. **Other Social/Environmental Criteria:** That in the case of any resettlement of villagers if required, that the implementation phase proposal meets World Bank criteria as per Operational Directive 4.30. For any resettlement plan affecting more than 200 persons, a detailed implementation plan for resettlement as described in the Social and Environmental Framework of BAMWSP. In the case of any adverse environmental impacts, such as the creation and disposal of arsenic sludge, that mitigation strategies are adequate and that the implementation proposal meets environmental criteria as defined in operational directive 4.01.

3.5 Procurement of Service Agencies (SAs)

SAs are recruited to the PMU to provide the incremental services necessary for the PMU to reach its objectives. Such services may include training and management/technical assistance for SOs, monitoring and evaluation, audits, and special studies, or other specialized services. In some areas, the PMU may find it useful to recruit SAs who will provide comprehensive services for SOs. A Sample Terms of Reference for SA Services is included in Annex N. Generally, these services will be provided in a geographical area, and, in some cases, more than one service provider may not be available and SAs will need to be sole-sourced. Where possible, bidding for these services will be competitive. In case where specific or discreet services are performed by SAs across the service areas of the project, competitive bidding will be required. The steps in competitive procurement of SAs are:

1. Develop terms of reference, along with a description of criteria on how the evaluation of the proposals will be undertaken.
2. The STAC of the PMU approves the terms of reference.
3. Develop advertisement for attracting SAs for shortlisting.
4. Publicly advertise for the Services.
5. Receive agency profiles.
6. STAC special subcommittee reviews agency profiles.
7. Special committee develops shortlist (at least 5 agencies where applicable).
8. The special committee and STAC of the PMU approve the shortlist.
9. Send requests for proposal(s) to shortlisted agencies.
10. Receive proposals until deadlines.
11. The special Committee evaluates proposals on the basis of a point system and selects best proposal: normally 40 points for methodology, 40 points for quality of the manpower proposed, and 20 points for cost-effectiveness.
12. Negotiation of terms between the PMU and selected SAs.
13. Prepare contract for services.

The PMU appoints a special committee of executive staff to review each case of SA recruitment and fulfill steps listed above. If more than one finalist is selected, a request for best and final bid may be issued. Once a SA is selected, detailed negotiations on technical content and price of the contract are undertaken. Contracts are generally provided on a unit rate basis but it is also possible to provide lump sum contracts. A Sample Service Agency Contract is provided in Annex – O. Contracts are normally supervised by the most relevant PMU unit vis a vis the nature of services to be provided, and contract payments are authorized by the supervisory unit's executive staff upon completion of milestones and services. A completion report is also required of each SA and must be certified by the contract manager before final payment is made.

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4. Audits and Financial Reporting

4.1 PMU Level Financial Management and Audits

- a) The Project Management Unit will submit a yearly budget, approved by the Steering Committee, for the Project in line with the GOB Annual Development Program to IDA by May 31 of each year taking into account the physical work implementation plan of the project for the coming year. The Government of Bangladesh is obligated to facilitate the flow of funds from the IDA credit to the PMU based on project expenditures shown in the annual plan of the PMU. Through this agreement, the GOB would oblige the PMU to disburse funds for sub-projects as defined in the PMU's bylaws, or this Operations Manual. Transfers to Support Organizations, Communities and Service Agencies are made upon approval of schemes and contractually binding partnership arrangements by the PMU.
- b) A private firm of Chartered Accountants acceptable to IDA will be used to conduct operational audits of the project financial accounts, Special Accounts and procurement documentation. The auditor(s) so appointed must be a Member of the Institute of Chartered Accountants of Bangladesh holding a practice certificate.
- c) Fund releases to communities, support organizations, and contract agencies are governed by contractually valid partnership agreements. Payments are made by account payee cheque. Prefeasibility studies are reimbursed upon completion of acceptable studies. For Planning and Implementation Phase contracts, initial payments are provided upon signature of partnership agreements. Planning Phase Agreements are of a lump sum nature for services provided, and subsequent payments are made based on submission of accounts, progress reports and completion of specific milestones specified in the binding agreement. Implementation Partnership Agreements are of a similar nature, but also will contain a variation clause that allows for changes in contract amounts and disbursements according to actual conditions as encountered in implementation. Financial accountability at the sub-project level would be secured through financial and narrative reports jointly signed by the SO and CBO and verified through Monitoring and Evaluation site visits, and by technical and financial audits of the SOs or sub-project holders.
- d) The PMU shall establish procedures and records adequate to monitor the progress of the Project according to sound accounting principles. The project shall maintain proper books of accounts, records as required and necessary for an efficient, transparent management of Project funds. Such records shall be capable of disclosing a true and fair view of the financial state of the project. In order to monitor the progress of the Project the following reports are required:
 - quarterly financial management reports, including summary tables on the sources and use of funds;
 - cost variance report;
 - unit variance report, project;
 - 6 month forecast;
 - special account statement and its reconciliation;
 - expenditure by disbursement category;
 - project progress report;
 - contract expenditure reports; and
 - the Project Director will submit procurement management reports to IDA on a quarterly basis.

In addition to compliance the audit will review the internal management procedures and effectiveness and efficiency of procurement by the PMU. A program audit component will review the processes by which the PMU is operating, including a review of the overall impact of the PMU operations.

4.2 Financial Review of the Planning Phase and Audits of Implementation Phase Agreements

An informal financial review of the SOs accounts and related subprojects for performance and compliance will be completed after the Second payment of the Planning Phase. The reviewer, a skilled (SA) accountant/auditor, will see that SOs are keeping proper accounts, and whether their staff are capable to do so and to train CBOs to keep their accounts. S/he will provide on-the-spot advice and remedial training to the SOs as is required. S/he will also report on the SOs' capacity and record keeping to date to the PMU, referring those SOs who need further training, or in the case of suspected irregularities, initiate a detailed review before the SO receives a second agreement.

At the end of the Implementation Phase a formal audit will be carried out of both the SO and the CBO agreements. A commercial auditing firm hired through SA recruiting procedures will conduct audits. The second audit will form a part of the completion report. In addition to compliance, an audit looks at performance, particularly with reference to cost and technical issues. It determines whether the services and materials were procured by the CBO at market rates and whether the work was completed efficiently and cost-effectively. In that respect, it is also an audit of the PMU's ability at cost-effective procurement.

4.3 Financial Reporting by Soss

SOs will provide narrative reports and financial statements with requests for step payments as provided for in their contractual agreements with the PMU. SOs are expected to keep their accounts on a cash basis according to standard accounting principles. Financial statements will remain with the SOs since they are engaged on the basis of a lump-sum contract for services rendered. Annex P provides a detailed accounting manual prepared for SOs.

4.3 Financial Reporting by CBOs

CBOs, with guidance from the SO, will provide financial statements with requests for step payments as provided for in their contractual agreements with the PMU. CBOs are expected to keep their accounts on a cash basis according to standard accounting principles. Financial statements will remain with the CBOs since they are engaged on the basis of a lump-sum contract. CBOs will keep a separate account for their subproject. Training in accounts is provided by the SO to the CBO, who retains responsibility to monitor and build the capacity of the CBO to provide the necessary reports, undertake proper procurement of materials and services, and related financial record keeping.

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5. Summary of the Project Management Unit's (PMU's) Roles and Functions

The PMU will serve as a facilitator/convenor for the programmatic effort, and serve as a financial and technical resource body in support of communities, local government entities and central public sector agencies and the private sector (including NGOs, and firms). It will assist such groups that are actively engaged in arsenic mitigation activities and in the provision of alternative water supply and environmental sanitation services to affected urban and rural communities of Bangladesh.

The PMU and RPMUs provide four major areas of support:

- appraise, process, prioritize, select and finance interventions or schemes proposed by communities and their Support Organizations (SOs) to provide medium and long-term alternative water supplies, improved hygiene and sanitation, education and awareness building, diagnosis and treatment of affected populations;
- provide, arrange, and facilitate training and technical/ management assistance for capacity building of SOs, local government at Gram Parishad, Thana, and District level, DPHE, and to communities through SOs;
- monitor and evaluate supported sub-projects or schemes at community level, and disseminate relevant information and lessons learnt to all cooperating agencies;
- oversee a Strategy Network, National Arsenic Mitigation Information Center (NAMIC) and Technology Advisory Group (TAG). These groups will: backstop operations with special studies, piloted technology innovations; ongoing research and development; national scale media campaigns, and provide up to date information on the arsenic-related status of drinking water supplies throughout the country; and gather/analyze other information as and when needed to strengthen operations.

5.1 Roles and Functions of the PMU Steering Committee

The PMU will be administered by a Steering Committee. The Secretary Local Government Division (LGD) will establish a PMU Steering Committee. The Steering Committee of nine members will be drawn from noted representatives of the public, and non-governmental sectors. It will be chaired by the Secretary Local Government Division, and include representatives (joint secretary level) from the Ministries of Health & Family Welfare, of Environment and of Water Resources, as well as a representative of the Planning Commission. Two representatives selected by the NGO sector, and two academic representatives (one with an engineering/technical, and one with a social/economic background) will be members. The PMU Project Director will be ex-officio secretary to the Committee.

The Steering Committee will act as a virtual "Board of Directors" and will meet on a quarterly basis, or more frequently, as required. The roles and functions described below are to be performed by the Steering Committee. The Steering Committee will:

- make, amend or repeal any by-laws relating to administration and management of the affairs of the PMU;
- consider the annual budget and operational plan, half-yearly progress report and its subsequent alterations placed before it by the PMU Director and pass it with such modifications as the Steering Committee may think fit;

- accept donations and endowments or give grants upon such terms and conditions as it may think fit;
- delegate its powers, other than those of making rules to its chairperson, to the PMU Project Director or other authorities as it may think fit;
- facilitate the creation of networks and appoint committees, sub-committees, etc., to serve the purposes of the Project and on such terms as it may deem fit, and to remove any of them;
- constitute the subcommittee for selection of the Project Director and the key administrative and technical staff of the PMU and approve the appointments;
- set policy for PMU in conformity with the policy guidelines established by the relevant and empowered Government Committees and bodies;
- monitor the financial position of the PMU in order to ensure smooth income flow and stable cash flow and to review annual audited accounts;
- approve the eligibility criteria set forth in the PMU rules for the selection of SOs and community projects;
- undertake generally all such activities as may be necessary or incidental to carrying out the objectives of the PMU.

5.2 The Roles and Functions of PMU Secretariat:

The PMU Secretariat in their role as a non-operational support entity will carry out and have executive responsibility for Project operations. The PMU Secretariat is composed of approximately 25 higher level staff, with 12 Specialists and 13 professionals deputed from DPHE and 18 support staff. Namik has nine professionals. The PMU Secretariat is organized into the following three units: i) Planning and Operations, ii) Administration and Finance unit and iii) NAMIC. Three RPMUs will be set up at the regional level to provide planning and monitoring support to Local Government entities, SOs and CBOs. In addition, the PMU will set up a Strategy Network of senior staff and individuals and representatives of organizations with a professional interest in the arsenic problem. The Technical Advisory Group (TAG) composed of senior scientists and NGOs representatives will be established to assess the feasibility of emerging technical and social options for arsenic mitigation.

The PMU is headed by a Project Director (PD) and consists of a multidisciplinary and gender-balanced staff. The RPMUs will comprise a multidisciplinary team of three professional staff (with minimum of one woman in a professional position in each RPMU). The DPHE seconded staff will join PMU/RPMU on lien for orientation to demand-led approaches. The Chief Technical Advisor and other advisors for technology and institutional issues will support the PMU units and its net work.

In particular, the PMU will be responsible for:

- developing detailed strategies and work plans for all components of the Arsenic Mitigation Project, which provide facilitation and support to community based activities, in coordination with relevant bodies, e.g., Government agencies, NGOs, professional organizations, firms, the World Bank, and other external support organizations;
- forming strategic networks to help expand, and assessing the quality of, social and technical options for arsenic mitigation, formulating strategies, and overseeing monitoring and GIS activities, notably through the TAG and NAMIC;

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- soliciting proposals, appraising them, financing them, and providing supervision of implementation and of disbursement in sub-projects, and reporting to appropriate entities. Supervision will be also based on external auditing, and on reporting by local authorities (Gram Parishad). Financing will include making subsidy grants, issuing contracts, or arranging other kinds of agreements with the range of organizations (SOs, community-based organizations, research establishments, consultants, etc.) involved in the project, and disbursing funds for the implementation of planned activities;
 - facilitation of collaboration, and coordination regarding arsenic mitigation activities;
 - monitoring the implementation of activities and utilization of funds disbursed, specifically, monitoring the implementation, operation and maintenance of sub-projects and providing the necessary guidance to partner SOs and community management entities, as well as to local government and DPHE and LGED involved in overall planning and project coordination;
 - hiring local consultants;
 - preparing half-yearly implementation and finance reports for the Steering Committee and preparing the required documents for the World Bank purposes;
 - appointing an internal Technical Appraisal Committee headed by the PD to select and recommend selected SOs and proposals to the PD for approval on the basis of eligibility criteria applied on a transparent basis. Regularly, the PD will provide the Steering Committee with samples of how the criteria of sub-project selection have been applied, what problems have been encountered, and what remedial action is undertaken to process and supervise an adequate number of projects, whilst at the same time improving their quality;
 - enter into related contractual agreements with SOs for Type A and with SOs and CBOs for type B and for type C¹ interventions for the Community Planning and the Implementation Phases of community schemes;
 - provide for and/or arrange necessary financial and technical support to beneficiary communities and SOs, including the selection, contracting and oversight of Service Agencies (SAs);
 - promote awareness of community-based principles, procedures and criteria;
 - provide the necessary training and other support required to beneficiaries and SOs to enhance local participation in projects;
 - supervise, monitor and evaluate project interventions, community schemes and prepare future programs, in coordination with local government, especially the Gram Parishad;
 - coordinate with other related agencies in the sector;
 - other activities as required to further Project objectives.

¹ Type A cases: limited number of contaminated wells; only capacity building of community required
 Type B cases: moderate contamination incidence; capacity building and limited physical intervention required. Type C cases: extensive contamination; extensive capacity building at local level, and physical works required.

5.3 Roles and Functions of Senior Management and Executive Personnel

The Project Director (PD):

The PD will be responsible for day-to-day management of the project-based activities and will have three main functions: information and strategy development, sub-project initiation and supervision, and overall financial management including disbursement of funds. He/she will liaise with SOs, Service Agencies, local government and other external partners, and will provide general oversight to the day-to-day operations of the PMU. He/she assists in troubleshooting and improvement of management systems for the PMU, especially where it concerns the soliciting, appraising, improving, financing, and supervising of the sub-projects in the rural and the urban settings. The PD will initiate and conduct the supervision and ensure the coordination with the SOs that will be awarded the contract to screen, select and train local SOs that will conduct the field operations. Similarly, he/she will be responsible for the execution of the capacity building components for DPHE. The PD organizes the routine internal Staff Technical Appraisal Committee (STAC) to appraise the proposals submitted by rural communities and municipalities; in these processes he will also use local consultancy to assist in specialist appraisal. More specifically, the Project Director is responsible for:

- development, operationalization and management of the PMU and its Sections, including NAMIC and TAG;
- maintaining liaison with the national Government, local government, line agencies, NGOs and the World Bank for any matter pertaining to the day-to-day operation of the PMU;
- planning and executing the work of the secretariat, for supervising the work of the technical units, NAMIC and TAG, and directing and overseeing implementation of the sub-projects through the Financial, Technical and Portfolio Officers; and for personnel hiring and management;
- overseeing and further developing the systems for the sub-project selection processes, for financing arrangements, technical assistance, and general administration including finance, personnel and office management,
- participating as Executive Secretary on the Project Steering Committee, and is the main link between the Committee and the PMU staff team;
- long-term planning and operationalizing of new findings and improvements in operations based on continuous review of experience from the field. He/she ensures that the various functions of the PMU are executed smoothly, and he/she will stand ultimately accountable for the success or failure of PMU; and
- prioritizing actions and regions in which the Project will be engaged; and review the progress made and take remedial measures when necessary, in consultation with his staff, NAMIC and the Strategy Network.

Technical Assistance (TA) in the PMU:

The CTA will work with the PMU and its networks to identify, define and prepare the TORs and schedules for the specialist consultancy inputs. He/She will advise the PD on organization of the PMU and its operational procedures, and on overall policy and strategy. He/She will take managerial responsibility on specified tasks, to complement the PD. He/she would assist the PD in all aspects of PMU development and management, especially management of the technical appraisal process and STAC. The CTA would guide the learning process within the project,

helping management to draw lessons from practice and adapt them in terms of new procedures, and improved fieldwork, training and technical assistance.

5.4 Roles and Functions of Planning and Operation Unit Staff:

The Planning and Operation unit is staffed by nine local consultants such as Water Supply Sector Specialist, Senior Engineer (water and Sanitation), Environmental Specialist, MIS Officer, Community Development Specialist, Training Specialist, Emergency Program Coordinator, Media /Communication Specialist and WID/Gender Specialist. In addition to this there are four assistant engineers (Planning, Monitoring, Training and Emergency Program), one WID Officer and one Communication Officer.

The Unit is headed by a key staff with skills in management, monitoring, evaluation and a strong appreciation of the importance of participatory techniques and tools in rural water supply and sanitation, as well as a client-orientation in urban water supply. He/she is responsible for detailed management of operations, coordination of the portfolio management process, overseeing the details of the SO and project selection processes and related responsibilities of portfolio managers in the PMU. He/she is the lead Portfolio Manager and schedules STAC meetings. The head of the unit is also responsible to facilitate greater coordination among the units of the PMU to improve efficiency and effectiveness of Fund Operations.

The Planning and Operation unit staff will be responsible for:

- coordination of portfolio management functions, and oversee portfolio management, monitoring and evaluation; schedule and record results of STAC meetings and SO / scheme selection processes;
- supervision of portfolio managers; and maintain liaison with the supervisory agencies at local government and DPHE levels;
- ensuring that all monitoring and evaluation system components are functioning properly;
- continuous refinement of indicators, methods and tools based on field experience;
- maintaining databases on performance, processes and impact data;
- analyzing data and provide reports on findings;
- overseeing site appraisal activities and ensure quality of data obtained;
- Utilizing MIS and monitoring/evaluation data and ensure data is processed and used in project selection processes, as feedback on performance and management of portfolios, and in improving the quality of interventions and related methods and tools;
- soliciting and selecting consultants and other parties to conduct appraisals, and performance, process and impact monitoring activities as required by the project;
- soliciting and selecting national, experienced SOs to train the local SOs in monitoring and evaluation techniques;
- overseeing the operations of all contractors, and ensure that they are following the norms, procedures, criteria and processes of the overall project as defined by the Operations Manual.

This unit will also responsible for social appraisal, which will include:

- arranging for training of SOs and ensuring the quality control of training, organizational development of SOs;

- appraisal of software activities proposed by SOs for engaging and strengthening the community in the project; community organizing, investigation, problem resolution, planning, and monitoring of activities, health, hygiene and sanitation activities, non-formal education and for women's development initiatives.
- providing overall management and support to the software aspects of the Project's water and sanitation services component, both in the rural and urban schemes;
- guiding development of participatory methods and materials, mass media component, and social-marketing activities which support the Project;
- assessing project applications against criteria, and assessing the capacity of the SOs to undertake proposed software activities;
- coordinating health components of the project and monitoring/evaluating health aspects of schemes; analyzing process, performance and impact indicators related to health and providing timely feedback to management, SOs, and consultants involved in the project;
- providing specialist inputs for the Training and Management Consultant to strengthen the water and sanitation training and capacity building components; identifying and undertaking appraisal of partner institutions, consultants and SOs;
- monitoring progress of software activities, and continuously drawing lessons from field experiences in order to strengthen software components of the Project.

One of the main responsibilities of the unit will be Technical Appraisal that will include:

- providing and updating technical guidelines and specifications on hardware components of schemes;
- appraising technical designs, and estimates of schemes proposed to the PMU;
- appraising and helping in selection of consultants, contractors and SAs for technical training, construction supervision, and appraisal support to SOs;
- arranging for and overseeing monitoring of the quality control of hardware materials procured by SOs/communities or their contractors for water and sanitation schemes;
- providing advice to SOs on issues related to procurement of hardware materials;
- regularly updating the unit price system for hardware as proposed by project partners.
- assisting the Administration and Finance unit in the preparation of contracts with regard to technology components, related prices, and in verification of estimates and related bills for payment; and to this end liaise with the local government levels and DPHE/LGED that will participate in the supervision activities of locally executed implemented works;
- supervising procurement at the local level; carry out central procurement, and in general ensure that procurement rules of the Bank are met.

5.5 Roles and Functions of the Administration and Finance Unit Staff

A Finance Management Specialist, Accounts Management Specialist and an Accounts Officer staff this unit. There are up to seven other staff on lien from the Government which includes one Internal Audit Officer, one Accounts Officer, one Procurement Officer, one Administrative Officer, one Accountant and two Accounts assistants. The staff of this unit is responsible for:

- budgeting;
- accounting;

- central level disbursement of funds for project and administrative purposes;
- inventory of project equipment and supplies;
- project related procurement and contract management, including the maintenance of norms and standards of unit prices;
- procurement of SO and consultant and contractor services, with support of other units;
- arranging the training of SO staff in financial management and auditing of SO accounts,
- financial reporting to the Steering Committee, and to the World Bank, on a timely basis,
- coordination of project-related travel and training,
- personnel matters and records;
- local procurement for internal operations of the PMU; PMU travel and logistics; and office vehicles and equipment;
- ensuring internal auditing

5.6 Roles and Functions of the Regional Project Management Unit (RPMU) Staff:

The PMU will have three Regional Project Management Units (RPMUs) that are field-based extensions of the PMU. Each of the RPMU will have three staff of different disciplines (community development specialist; water supply and sanitation engineer; Training/WID specialist). They will act as portfolio officers and monitor sub-projects from pre-planning to planning and implementation. They will ensure the proper format and quality of proposals submitted by the SOs and communities to be sent to the PMU secretariat for appraisal. The RPMU will facilitate regional workshops and linkages with local governments and with the local offices of line agencies. The RPMU will, in addition, serve as training and exposure ground for DPHE staff. A number of DPHE staff including Executive Engineers (3), Assistant Engineers (36), Community Organizers (30), Accountants; staff member of the General accounting office (3) and Computer Operators (3) will be seconded to the RPMU in batches for three years. They participate in fieldwork under PMU's instruction to increase their familiarity with demand-driven approaches and procedures. The PMU will select candidates based on a competitive recruitment in DPHE, and demonstrated willingness of the candidate to acquire new skills. They will assist the Portfolio Managers as a hands-on training facility, assist SOs operating in the villages, and, occasionally, carry out operational assignments. Their performance and assignments will be reviewed every half-year.

The specific functions of the RPMUs include:

- Provide information to SOs and CBOs regarding the BAMWSP and its criteria, processes, norms and services;
- management of SAs which provide services to SOs and which conduct site appraisals, training, monitoring, auditing and similar service functions.
- Assist SOs and CBOs prepare proposals for the Planning and Implementation Phase and ensuring proposals are complete before presenting them to the staff Appraisal Committee.
- Provide guidance and assistance to SOs to complete their pre-feasibility studies, analysis of the results of the studies and determine which schemes best in meet project criteria.
- Coordination with local officials, particularly relevant district and Thana officials and local government bodies, such as Union Parishad members.

- Monitoring the Planning Phase and making timely payments based on completion of planned work by the SOs and CBOs.
- Oversight of construction supervision by the SAs and Consultants.
- Collection and recording of information related to process, performance and impact studies. Initial analysis and processing and forwarding to PMU Planning and Operations Unit.

5.7 Roles and Functions of the Staff Technical Appraisal Committee (STAC):

The Staff Technical Appraisal Committee is comprised of management, unit heads and portfolio/specialist staff from the different units of the PMU/RPMUs and where necessary, contracted consultants. It is chaired by the Project Director. The secretary of the Staff Technical Appraisal Committee is the MIS Officer who coordinates preparation of documentation for meetings and is responsible for recording the process and decisions of STAC meetings. A STAC meeting is called when there are sufficient proposals for processing, which the Project Director determines by compiling the status of sub-project submissions from the various specialist/portfolio staff. The composition of an ideal STAC meeting is shown below in figure 5-1. A quorum of the STAC comprises the chairperson, at least three program specialists, one technical specialist, one financial or accounting specialist, and the presenting portfolio staff. In case of absence of the PD at STAC meetings, he/she will delegate a senior staff person to chair the meetings and that staff person can delegate any senior person to serve as secretary of STAC meetings.

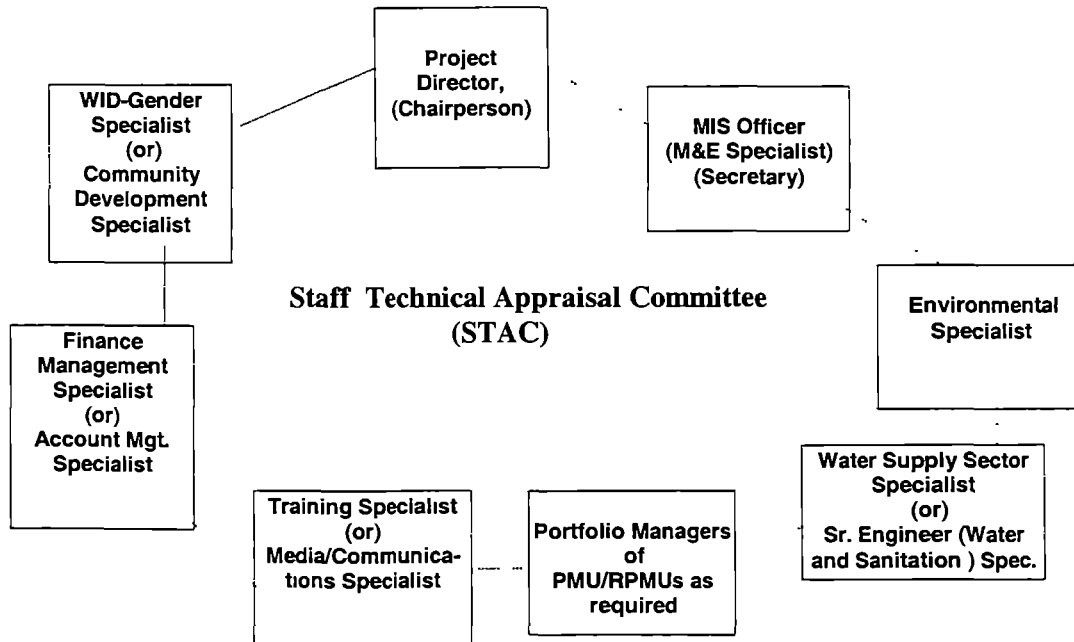


Figure 5 1: Staff Technical Appraisal Committee

The Functions of the Staff Technical Appraisal Committee include:

- periodic review of the status of SO pre-qualifications of new and old SOs and submissions of recommendations for pre-qualification to the PD for approval;
- advise the PD with respect to priority actions to be undertaken and priority regions to be addressed;
- review assignments of pre-feasibility studies to SOs, and the allotted number given the capacity of the SO as recommended by portfolio managers; confirm the survey and methodologies SOs are to apply; review and finalize ranking of schemes based on pre-feasibility studies and related site-appraisals,
- review of proposals for planning phase contracts to determine if they meet criteria for selection; recommendations to PD for approval, disapproval, or deferral of proposals for future information or until conditions are met by proposing agency;
- review of proposals for implementation phase contracts to determine if they meet criteria for selection; make recommendations to the PD for approval, disapproval, or deferral of proposals for further information or until criteria or certain specified conditions are met by proposing agency;
- preparation of documentation as required for the Steering Committee;
- review of the overall progress of the portfolio and its processing; and
- identification and documentation of common problems and resources which emerge during the processing of projects; analyze and make recommendations for management on problem cases.

5.8 Roles and Functions of the National Arsenic Mitigation Information Center (NAMIC)

A National Arsenic Mitigation Information Center (NAMIC) would be established as part of the umbrella Project, and as a cell located within the premises of the Project. It will be staffed with hired professionals from government, NGOs, and professional institutions having the requisite skills. NAMIC staff will be capable to organize existing data, develop and implement strategies for further investigations and monitoring, manage the emerging information, and prepare it for use by the PMU and its Strategy Network, as well as others engaged in arsenic mitigation and related activities. NAMIC reports to the PMU, and closely interacts with the Strategy Network. The NAMIC will comprise one Management Information Specialist, one Hydrochemist, one Hydrologist and one GIS Specialist. The Government counterparts on lien will include one Ground Water Engineer, one Hydrologist, one Medical Officer, one GIS Officer and one MIS Officer. This will be complemented with Technical Assistance. NAMIC will have a general advisory group at the operational level of users and providers, to help specify requirements, standards, and exchange information. Functions of NAMIC will be to:

- provide support to DPHE, NIPSOM, BWDB, professional/educational institutions, NGOs and other agencies to strengthen their data collection, systematic analysis, compilation, and will make information accessible for strategic decisions for arsenic mitigation.
- organize and assess the information being obtained from testing of water sources, and health status and related data emerging from a wide range of organizations collecting information.
- compile and analyze data on the hydrogeological and water quality situation, as well as all other technical, health, economic and social data that are relevant in the development of priorities and a strategy.

-
- organize larger-scale mass media and social marketing campaigns at national level related to health related aspects of arsenic contamination.
 - ensure that data base is made available to the Strategy Network, and all stakeholder organizations. In turn, the Strategy Network, and stakeholders will feed NAMIC with data and suggestions, and will assist in optimizing data collection and management procedures.
 - publish a quarterly bulletin for distribution to all concerned.
 - establish linkage with EGIS for GIS-based data processing.

The NAMIC will also collaborate closely with the ongoing DfID funded hydrogeological study that intends to investigate the origin, mechanisms, and extent of the arsenic contamination. Although this study team would form a separate group, it will be physically located next to NAMIC, and will coordinate its activities at the levels of the operations as well as management. The outputs of the hydrogeological study will feed into the NAMIC, whereas the data collection and management framework, and GIS capability, of NAMIC will provide guidance to the study.

5.9 Technical Advisory Group (TAG):

The Technology Advisory Group (TAG) is responsible to:

- review emerging technology options in an objective and impartial way;
- assess their soundness, safety and cost-effectiveness, and make recommendations regarding their dissemination through the project or through the market;
- study the implications of sanitation technologies when communities are increasingly utilizing surface water and shallow-water aquifers for drinking water supply;
- review options in terms of social/cultural implications of their use, especially user preferences; and
- create the opportunity to identify linkages between arsenic contamination and water and environmental management.

TAG will consist of a study fund managed by a Deputy Director in the PMU who functions as the TAG's director, and under the direct supervision and guidance of an Assessment Committee comprising at least eight highly qualified members from academia, research establishments, government agencies, and NGOs. The members are appointed by the Project Steering Committee, after being proposed by the PD. The Committee is independent in assessing study proposals and allocating funds for them; it reports half-yearly to the PD and Steering Committee, highlighting its policy, selection criteria, and operational priorities. The Committee can solicit or contract out studies that it deems of high priority to support the Project, and which must be endorsed by the PD. Similarly, it will reserve at least 50% of its budget to fund study proposals that are received from within Bangladesh after a yearly public call for proposals. The Cell will also be assisted by an international Technical Advisors (short-term) and local consultants. The group will carry out regular R&D activities to assess the various technical options and economic and social approaches, being utilized and recommended and help to ensure quality control over the range of intervention options being recommended. TAG will actively develop and work with a network of relevant institutions in Bangladesh to promote and finance focused studies, and ensure adequate sharing of existing and new information.

5.10 Internal Operations and Procedures

- According to its bylaws the PMU/RPMU will be autonomous with respect to financial, administrative and project management. The PMU will be associated with, but otherwise will operate independently from DPHE using separate procedures with respect to planning and project, financial and personnel management. The PMU will act in accordance with this Operations Manual as regards taking of management decisions, and this Operations Manual shall constitute its detailed bylaws.
- The Project Director of PMU will be answerable to The Steering Committee, chaired by the Secretary LGD. The Steering Committee will be primarily responsible for setting policy and reviewing all policy issues. It will also be consulted when taking key operational decisions, specifically, but not limited to:
 - recruitment/dismissal of the management level staff;
 - norms and procedures related to functioning of the STAC or major units of the PMU;
 - any change or alteration of SO, hotspot, or subproject selection criteria;
 - changes in the nature, or duration of the project cycle;
 - roles of partner institutions in the project, and terminations of partnerships;
 - major budget decisions with financial implications,
 - accepting or utilizing funds from new or additional sources;
- The Steering Committee will meet on a regular basis and assess the half-yearly performance report and the annual work plan of the PMU. The PD shall be authorized to make decisions about funding of individual subprojects. However, the PD will submit the portfolio of projects on a quarterly basis for review by the Steering Committee. S/he will explain the choices made and justify the overall portfolio and the PMU's adherence to the SO and subproject selection as strictly defined in Section 3 of this Operations Manual.
- When discussing the Program Portfolio, Steering Committee members will voluntarily reserve comment in discussing any SA or SO prequalification, subproject submission, or related issue directly concerning an organization in which the member is a stakeholder through employment, membership, shareholding or familial relations.
- The Project Director is responsible for overall execution of the policy decisions of the Steering Committee. He/She is responsible for overall management including personnel, finance, operations and technical support functions. A team of professional staff including heads of three units and international consultants assists him. He/She is the major link between the Steering Committee and the PMU/RPMU Secretariat Staff. The various program units will serve as a base for each staff and a focal point for each of the major functions of the PMU. The RPMU professional staff will be designated as Portfolio Officers responsible for a number of SOs/Village Schemes. Assignment, review and processing of schemes will be facilitated through meetings of the professional staff and the STAC, which is called (at least once a week initially) depending on the caseload of projects for processing by the heads of the Planning and Operation unit.
- All professional staff assigned to portfolio management are accountable for their portfolios and their specialist/management functions. Periodic assessments will be made to review staff performance, and staff will have the ability to respond to their written evaluations. The Project Director will retain overall planning and decision-making regarding personnel, including staff development activities and local/international training and visit opportunities
- The PD will be responsible for overall planning and decision making regarding personnel, including staff development activities including opportunities for local/international training and visits. Periodic assessment will be made to review staff performance, based on

performance evaluation criteria, and staff will have the opportunity to respond to their written evaluations.

**Bangladesh Arsenic Mitigation
Water Supply Project (BAMWSP)
Dhaka, Bangladesh**

Volume 1: Operations

Annex A
Summary Project Cycle Chart
Steps, Processes and Tools

Step 1	Process of Step 1	Tools for Step 1
Operationalization of Strategy Network	<ul style="list-style-type: none"> - The PMU builds relationships with Members of Network. Hold Meetings and Set Agendas. Share working relationships. Define work plans. 	<ul style="list-style-type: none"> - Workplan formats - Participatory planning tools such as SARAR impertinent pert charts
Step 2	Process of Step 2	Tools for Step 2
Recruitment and Orientation for (R)PMU members on arsenic issues, project objectives and principles, implementation process, methods, tools, organizational setup, tasks/tasks divisions.	<ul style="list-style-type: none"> - A recruitment team consisting of Project Director and recruitment panel interviews and assesses candidates for (R)PMU and selects staff according to <i>agreed criteria and procedure</i>. - The PD orients staff on arsenic issues and project. PD visits projects in region and gets hands-on field exposure to key steps in planning cycle. Workshop organized for new PMU and RPMU staff. 	<ul style="list-style-type: none"> - Detailed TORs for PMU/RPMU staff - Orientation Workshop Design
Step 3	Process of Step 3	Tools for Step 3
Selection of first batch of key affected districts/Unions ("hot-spot" areas) according to <i>pre-defined selection criteria</i> . Development of participatory ongoing surveillance system for arsenic and feedback of data to PMU. Line of contact between village and higher level stakeholders established.	<ul style="list-style-type: none"> - The PMU STAC team reviews available data on arsenic contamination levels, incidence of arsenicosis and selects first hot-spot Districts/Unions for pre-feasibility study (400 villages). - List of hot-spot Districts/Unions is updated periodically and priority rankings cleared with Project Director with the advice of the Steering Committee. 	<ul style="list-style-type: none"> - Selection Criteria for hot-spots (see Section 3 which defines hot-spot criteria) - Data Collection Formats on Arsenicosis - PMU and STAC composition complete

The Prefeasibility Phase

Step 4	Process of Step 4	Tools for Step 2
Selection of SOs and "first batch" hot-spot Unions. Each SO is assigned a Portfolio Manager in PMU/RPMU	<ul style="list-style-type: none"> - Apex NGO Organizations orient Partner NGOs on applications for partnering with the project as a SO (phase 1) and provide lists of NGOs for Hotspot districts to the PMU. - The PMU advertises for applications as a SO (phase 1) in newspapers. The Staff Technical Appraisal Committee (STAC) screens applications, and makes a pre-selection according to the <i>agreed selection criteria</i>. Portfolio managers verify the data and check eligibility with DC's on a "no objection" basis. 	<ul style="list-style-type: none"> - Definition of Candidate Selection Criteria (no. of years registered, track record in field, staffing - numbers/sex/experience with water/sanitation, financial audits, authentic board, experience in hot-spot areas, etc.) - SO Intake form

	<ul style="list-style-type: none"> - The PMU informs SOs and DC and puts applications and STAC minutes on record. Files are open for review by applicants. - Portfolio Managers are assigned. Each Portfolio Mgr. makes contact. - Selected SOs come up with their lists of villages with which they want to take up the pre-feasibility study as per their capacity and as agreed with the PMU. - Regional Chapters of NGO consortium see that overlap, competition, and monopolization is avoided. - RPMUs list non-assessed villages in the first hot-spot district(s) for consideration by the Steering Committee for the Second Batch, etc. 	<ul style="list-style-type: none"> - SO Log
Step 5	Process of Step 5	Tools for Step 5
Preparation of Orientation/Prefeasibility workshop for SOs and (R)PMU staff for selection of Batch 1 (365 villages). SOs may cover as many villages as they desire, but no more than 365 will be eligible for the first Batch, as per defined criteria and process. Team building, mutual understanding, appreciation of roles of respective actors and hands-on experience with the field process for village facilitators of the (SOs)	<ul style="list-style-type: none"> - NGO Apex Organizations inform NGOs on opportunity to apply as SOs (phase 1) and provide lists of NGOs for hot-spot districts to the PMU. - The PMU advertises for applications as SO (phase 1) in newspapers. - The PMU selects potential training organization(s) for pre-feasibility course on the basis of listed experience and tasks. - The PMU recruits external consultant to assist training organization in developing course design and training materials. - The PMU and the SA/Consultant identify a field-based training facility for hands-on training, preferably at a SO which had worked in the first batch. They make logistic arrangements for the training. 	<ul style="list-style-type: none"> - Advertisements - SO Application Forms - SA Shortlists - SA Contract Format - Draft Training Design for Orientation cum Prefeasibility Training
Step 6	Process of Step 6	Tools for Step 6
Implementation of Orientation/Prefeasibility workshop on arsenic issues, project approaches, and the process for implementation of pre-feasibility studies together with women and men in hot-spot communities.	<ul style="list-style-type: none"> - The training org. and external advisor facilitate a 6 day course in one exemplary SO's facilities and villages. Trainees are teams of SOs (1 team leader/supervisor, 1 community development worker, 1 diploma engineer/team). They use participatory, gender and poverty sensitive methods in class and in the sample pre-feasibility study in the village. - Teams from PMU and DPMUs (1 social, 1 technical staff) take part in the workshop for project teambuilding and experiential learning (or hands on learning, learning on the job) 	<ul style="list-style-type: none"> - Finalized Training Designs - Participatory Training Tools for Prefeasibility Phase - Training Evaluation Formats - Training Invitations - Training Equipment and Supplies - Host SO for training site
Step 7	Process of Step 7	Tools for Step 7
SOs carry out the prefeasibility studies in their selected areas. Each SO, depending on their capacity will cover a specific number of villages as agreed with the PMU.	<ul style="list-style-type: none"> - SOs carry out the agreed number of participatory pre-feasibility studies and indicate the type of village (A, B or C, including eligibility for type B/C). Sample verifications completed by PFOs. - SOs prepare proposals for supporting the planning phase. A flat fee is paid to the SO upon completion and delivery of the studies to an agreed-on member of the PMU. 	<ul style="list-style-type: none"> - Course Design - Participatory Toolkit - Implementation Phase Proposal Format

Step 8	Process of Step 8	Tools for Step 8
<p>Selection of first batch of schemes according to <i>eligibility criteria, priority ranking & project budget</i>:</p> <ul style="list-style-type: none"> - 200 Type A villages: community <i>self-assessments</i> on knowledge and practices related to arsenic and diarrheas. Planning and implementation of <i>local action plans</i> for safe water management and use; - 110 Type B villages: the above plus limited <i>technical works</i> in part of village) - 55 Type C villages: the above plus full technical works in whole village) Negotiations with NGOs for contracts for type A villages and for planning phase in B&C villages. <i>Agreements and TORs</i> for SOs. First payment to SOs depending on number of accepted villages; eligible villages that cannot be taken up remain eligible for batch 2. 	<ul style="list-style-type: none"> - Portfolio Managers analyze submitted prefeasibility studies against criteria (type and prioritization). - The STAC then classifies and ranks proposed sub-projects as per criteria. It is agreed with each SO which/how many Type A, B and C schemes will be taken up. Portfolio managers negotiate with SOs on their proposals and prepare final proposals for the Planning Phase. - The STAC convenes, reviews proposals and takes decisions. STAC communicates decisions to Steering Committee and DC. - Portfolio Managers finalize agreements with SOs for the planning phase. 	<ul style="list-style-type: none"> - Assessment Tool for Prefeasibility Studies and Proposed Schemes - STAC Procedures - Scheme Summary Log - Negotiation Procedure for Planning Phase Agreement - Unit Cost System - SO/Scheme Log (for selected schemes) - Scheme File Opened (all decisions noted/signed)
Step 9	Process of Step 9	Tools for Step 9
<p>Establishment of information and coordination mechanism at Thana level with WATSAN Committees to give comments on proposed schemes.</p>	<ul style="list-style-type: none"> - The RPMU assists in holding information sharing and network meetings among the NGOs, Thana level officials and professionals, and other members of the Thana Level Project Committees. They are informed regularly on project activities in the Thana and meet with participating NGOs serving as SOs. 	<ul style="list-style-type: none"> - N/A

The Planning Phase

Step 10	Process of Step 10	Tools for Step 10
<p>The Planning Phase begins with capacity building activities for the SOs, such as Training, which includes field practice in the use of participatory methods and tools in communities. A major course on Participatory Planning and Monitoring introduces SO staff on how to carry out the Planning Phase.</p>	<ul style="list-style-type: none"> - The PMU recruits and SA or Consultant to carry out Training for the Planning Phase. The SOs have been given TORs as part of their Planning Phase Agreements, which they will detail into workplans at the end of the Training Program. - The SOs also complete recruitment of all project staff. - The PMU and Training SA/Consultant identify a field-based training site for carrying out the ten-day intensive training of SO staff for the Planning Phase. About 30 participants representing batches of 10 SOs (three persons per SO) will attend the training at one SO site with adequate facilities adjacent to a field area. - Three or Four village sites are selected for visits during the training, 	<ul style="list-style-type: none"> - Course Designs for Community Planning and Monitoring - Course Design for M/E - Course Design for Management and Accounts Training, Planning Phase - Course Design on Technology Choice, survey design and estimates

	<p>which at the same time are project villages for the Host SO.</p> <ul style="list-style-type: none"> - A training team of 3-4 trainers, led by the SA, carries out a preplanning of 3-4 days to ensure all materials are ready for the ten day event, and to adapt generic course designs. - The PMU recruits another SA/advisor to assist the training team to designs M&E system at all levels, including participatory monitoring at community level. - The training team, using the sample Participatory Toolkit (if available) and working with artists, assists in the development of participatory training materials for the community self-assessment of knowledge, practices and action on water source use; situation mapping and analysis on water/sanitation/hygiene, formulation of CAPs, introduction of community-based monitoring and community choices in technology, management & administration, financing and maintenance. - The trainers also dialogue with male and female village leaders and prepare village visit schedule based on guidelines for participation of women, men, boys, girls, with special attention to those in the weaker sections. - The course is delivered over a ten-day period as per the course design, with adjustments according to participant training needs. - The Participatory M&E Advisor or SA gives an overview of the M&E system in the above course, but carries out a separate M&E training event for SOs of five days duration. - Those SO staff (two per SO) with responsibility for M&E attend the M&E training. The advisor selects the location for M&E training, with potential for village level training in cooperation with a trainer. - The Trainer adapts the sample course design and reviews participatory toolkit materials on suitability for M&E and if necessary develops required materials. With support from PMU (s)he makes the logistic arrangements. - The M&E training course is held in batches as necessary, so that every SO has exposure. 	<ul style="list-style-type: none"> - Course design on hygiene, health, and management of arsenicosis - Participatory Toolkit, which includes participatory sample tools for community group building, investigation, analysis, information sharing of new options, technology choice and decision-making, action planning, and community monitoring. - Implementation Phase Proposal Format - STAC assessment tools - SO Accounting Manual
Step 11	Process of Step 11	Tools for Step 11
<p>The Planning Phase consists of a series of approximately 15-20 interventions in project communities. This includes participatory investigations, analysis, organization, decision-making and planning for arsenic and water quality management in Type A Villages. In Type B and C villages, communities also plan for</p>	<ul style="list-style-type: none"> - Once this initial training is completed, the SOs commence with actual interventions in selected project communities. The process is generically described below, but varies according to the unique needs of each village: <ul style="list-style-type: none"> • CFs make informal contacts with villagers taking into account informal leadership of women and men, various village sections and meeting places, time use patterns, etc. 	

<p>construction of partial or complete village schemes respectively. In all cases, the SOs pay particular attention to poor women and men to ensure their participation in decision-making and other aspects of the schemes.</p>	<ul style="list-style-type: none"> • They invite formation of informal discussion groups at neighborhood level, male, female and/or mixed as appropriate. Special attention is paid to representation of poor/marginalized sections, schools. • CFs assist groups to make gender and class specific needs assessments, to carry out gender and age specific water knowledge and use assessments, to map local water and sanitation conditions, leadership and socio-economic strata - based on participatory wealth classification, review traditional and current water management institutions and their effectiveness and do a participatory household sanitation and hygiene survey for women, men and children (boys/girls) (adjusted 'healthy home study'). They help analyze social cohesion and gender divisions including in health and hygiene and in traditional and existing water management. • CFs also monitor time contributions by women, men and CBO (planning) to the planning of the project. • CFs encourage groups in analyzing the data and defining priorities and demands against this analysis in type B and C villages CBO (planning) presents options for problem solving which include technologies, in type A villages the focus is on adjusted water management at household and neighborhood level... • CFs assist the community in the formation of representative CBOs (planning stage), to hold preliminary discussions for savings fund for water supply improvements. • SOs also carry out training for participatory monitoring at village level. Continuation of planning process with village women and men, with particular attention to poor women and men. 	
<p style="text-align: center;">Step 12</p> <p>The Planning Phase Continues, with monitoring of progress and Second Payment. The Portfolio Manager carries out a site visit and checks on performance, assessing quantity and quality of inputs and timeliness of SO support activities against the TOR/workplan. The CBO (planning) and local women and men are consulted informally on satisfaction with SO services. The Second payment is made to SOs upon agreement with agreed standards and criteria for M&E.</p>	<p style="text-align: center;">Process of Step 12</p> <ul style="list-style-type: none"> - The portfolio manager (PM) compares actual physical and financial progress of SO with plan, standards and budget agreed on as part of TOR and agreement. - The PM assesses the work of SO with regard to village participation, institutional development and capacity building. It also assesses how women and men participate in and benefit from these activities and how unpaid and paid work, decision-making, and benefits (e.g. training) are shared. - The PM assesses in particular the participation of poor women and men in the project process and the benefits of this process. It gauges the satisfaction of the various user groups with the SO by informal contacts with a cross section of individual women and men in the community 	<p style="text-align: center;">Tools for Step 12</p> <ul style="list-style-type: none"> - Monitoring Tools and Report Forms - Payment Indicators and Approval Sheet

Step 13	Process of Step 13	Tools for Step 13
<p>The second set of Training Courses for the Planning Phase takes place about mid-point in the phase. Training is provided on technologies for arsenic mitigation for technical staff SO, especially on issues in choice, and survey/design/estimation and procurement issues. Training is also provided for SO management and accounting staff for their own project management and accounting, as well as TOT for training CBOs and their treasurers on management, finance, and accounting.</p>	<ul style="list-style-type: none"> - The PM approves second payment, files report, and sends the payment recommendation form to Accounts for action. - The PMU sees that complete set of resource sheets on alternative sources and water management systems are available with design descriptions, environmental, maintenance and managerial implications, risks and capital and recurrent costs (with least-cost design issues considered in the light of environmental sustainability, social acceptability and potential for social alternatives). Technologies included will be proven technologies. - The PMU prepares TOR and identifies trainer(s). - Course trainers identify suitable training site in village setting and trainers prepare design of the training course focusing on proven technologies as well as alternative water management options (inputs from trainer with social background and hands-on experience in village water management required). - Emphasis at village level will be on offering the CBOs managing water and sanitation schemes and informed choice from various options with regard to technical soundness, the form and size of contributions, the manner of payment/payment collection, the choice of treasurers and signatories, required maintenance, and other factors. - Course trainers make logistic arrangements with the assistance of PMU. Resource sheets on options as well as other materials needed for the hands-on training of SO implementers and trainers have been or are prepared and assembled. The course includes field practice on assisting village women and men to make informed choices for locally appropriate financing. - Course trainers make logistic arrangements with the assistance of PMU. - The PMU prepares TOR and identifies trainer(s). - Course trainers identify suitable training site. Course trainers prepare design of the training course focusing on accounting system, manuals, and tools for SO/communities. - Courses are held in batches 	<ul style="list-style-type: none"> - Resource Sheets and Visual Materials for Technology Options - Course Designs - Training Equipment and Supplies for Demonstrations of different supply and treatment options - Technical Survey Equipment - SO Accounting Manual - SO Mgt. and Accounting Training Design
Step 14	Process of Step 14	Tools for Step 14
<p>Continuation of planning process with village women and men. SOs facilitate discussion of alternative water use and management options and approved alternative technologies with village women and men by CBO (planning) and SO team (technical and social). Consensus is</p>	<ul style="list-style-type: none"> - The CBO (planning) and SO team (technical and social) discusses alternative, TAG-approved technical options and alternative water sharing systems with groups of women and men in the village. - They take specific steps to ensure that the practical and strategic limitations of women and poor householders/other minorities to attend and take part in assessments and decision-making are overcome. 	<ul style="list-style-type: none"> - Sourcebook - Technology Option Tools, from Toolkit - Technology Option Sheets, from Sourcebook

<p>reached on short listed options. Villagers agree to work with technician on detailed field studies of agreed options preparation, negotiation and finalization of Community Action Plans (CAPs).</p>	<ul style="list-style-type: none"> - The SO short-lists the range of options or option mixes preferred by the various user categories and takes the options back for discussion to the village. The SO discusses the implications of each preferred option (costs, O&M and organizational features, environmental risks) with the respective male and female meetings. The options are placed on the map (rough layout). - The villagers agree to work with the technicians for field studies of the chosen option(s). The SO staff and CBO (planning) complete the field studies, technical designs and estimates and develop Implementation Proposals for local O&M, management, cost financing and monitoring of effective use. They organize discussions with the whole community on the preferred options and how/where they will be applied, and on the proposed maintenance, management and financing. - SO and CBO (planning) use the outcomes of the consultations to prepare the Community Action Plan (CAP) and the Implementation Proposals. The plan is presented to a plenary meeting that is sufficiently large and representative for the formal community acceptance of the CAP. - Scheme designs are site appraised by PM or SA designate. 	<ul style="list-style-type: none"> - Art Materials for Community Mapping and Layout Planning
<p>Step 15</p>	<p>Process of Step 15</p>	<p>Tools for Step 15</p>
<p>The Thana WATSAN committee (Standing sub committee) receives copy of proposed CAP and Implementation Proposal for information and advice</p>	<ul style="list-style-type: none"> - The Thana WATSAN committee reviews proposals and makes comments if any within one week, and forwards them to CBO. The CBO will consider comments received within this period and make changes where considered necessary. The CBO will then submit the Implementation Phase Proposal/CAP to the PMU for multi-disciplinary review, assessment and financing decision. 	<ul style="list-style-type: none"> - Completed Implementation Proposal

The Implementation Phase and Consolidation (Sub-Phase)

<p align="center">Step 16</p> <p>Decision taken for acceptance, deferral or rejection of Implementation Proposal. When approved, deposit of 50% of scheme costs (1st Payment) into CBO account and 1st payment of SO agreement for the Implementation Phase are made.</p>	<p align="center">Process of Step 16</p> <ul style="list-style-type: none"> - The STAC meets. Schemes are presented by relevant portfolio Managers for consideration according to Implementation Phase Selection Criteria. - The STAC members vote on acceptance, deferral for more work or information, or rejection if criteria cannot be met. The PD will decide on cases where STAC cannot agree. - Agreements with CBOs and SOs are drafted and processed - Initial Payments are made by the PMU accordingly 	<p align="center">Tools for Step 16</p> <ul style="list-style-type: none"> - Proposal and CAP - STAC appraisal Instruments
<p align="center">Step 17</p> <p>Training Courses during the Implementation Phase</p>	<p align="center">Process of Step 17</p> <ul style="list-style-type: none"> - Training is arranged for SOs on roles and responsibilities during the implementation phase, construction issues, supervision, and plumbing as needed is provided for overseers, diploma engineers, senior engineers and local technicians/VMWs. 	<p align="center">Tools for Step 17</p> <ul style="list-style-type: none"> - Course Design on Construction Roles and Responsibilities - Course design on construction issues, supervision, and plumbing
<p align="center">Step 18</p> <p>Construction and Procurement Planning by the CBO with the assistance of the SO, along with required Training</p>	<p align="center">Process of Step 18</p> <ul style="list-style-type: none"> - The SO assists the CBO to develop a workplan with the community for procurement and construction tasks. 	<p align="center">Tools for Step 18</p> <ul style="list-style-type: none"> - Planning Tools from Participatory Toolkit
<p align="center">Step 19</p> <p>Procurement of local and non-local materials.</p>	<p align="center">Process of Step 19</p> <ul style="list-style-type: none"> - Local materials are collected by the community and kept in a safe place. Non-local materials are procured by the CBO with the assistance of the SO, or by the SO on behalf of the CBO. A local shopping procurement approach is followed. The SO ensures that the community purchases materials of acceptable quality and according to the approved scheme design. 	<p align="center">Tools for Step 19</p> <ul style="list-style-type: none"> - Scheme Design and Estimates - Recording forms for Materials
<p align="center">Step 20</p> <p>Construction of Hardware for B&C Schemes</p>	<p align="center">Process for Step 20</p> <ul style="list-style-type: none"> - The community builds the scheme with the assistance of the SO. Construction support and supervision is provided by the SO. Wherever possible, skilled labor is recruited from within the community. The Portfolio Manager (PM) will make a visit early during construction, and monitor construction progress. More visits will be undertaken if deemed necessary by the PM. Drainage and construction of Sanitary latrines will be encouraged during this phase and post construction on a non-subsidized basis. In the case where surface water technologies are undertaken, drainage and sanitation will be constructed as part of the approved scheme and subsidized. A 	<p align="center">Tools for Step 20</p> <ul style="list-style-type: none"> - Construction Materials - Construction Logs and Monitoring Tools

	SA, (third party engineering consultant) will check on quality of scheme construction as needed, especially for complex schemes and in rare cases where piped schemes are constructed.	
Step 21	Process for Step 21	Tools for Step 21
Additional training of CBO as required during and after construction	<ul style="list-style-type: none"> - Staff training updates on Hygiene, Sanitation continued monitoring of water quality and arsenic content at village levels, and arsenicosis treatments. - VMW on-the-job training during construction, and post-construction refresher training. CBO/Treasurer financial management training. 	<ul style="list-style-type: none"> - Course Design on Hygiene, Sanitation, and Arsenic Mitigation - Course design for VMWs refresher training - SO/CBO Accounting Manual
Step 22	Process for Step 22	Tools for Step 22
Subsequent step payments and monitoring during the Implementation Phase. Output Monitoring. Completion Report of Constructed Scheme and other Implementation Phase Activities.	<ul style="list-style-type: none"> - Contracts indicate requirements for 2nd step payments. The community CBO monitors construction using its own participatory monitoring tools, and assesses the performance of the SO in assisting them. - The PMU also monitors the progress of the SO and CBO. The SO and CBO monitor the timeliness and support of the R(PMU)s. (SEE M&E System, Volume III for more detail). - The SO and Community submit a Scheme Completion Report which includes all hardware and software achievements of the phase for 3rd payment. - The Scheme Completion Report will be verified by the Portfolio Manager and on a sample basis, a third party engineering consultant. 	<ul style="list-style-type: none"> - M&E Manual - Construction Monitoring Forms - Payment Indicator Forms
Step 23	Process for Step 23	Tools for Step 23
Consolidation visits by SO for three months after construction. Initial Impact Monitoring visit(s) will also take place.	<ul style="list-style-type: none"> - The SO will follow up through visits to the community for three months to provide needed technical assistance and support, and to ensure that all O&M systems and the WATSAN committee are functioning as per agreement, and that the community continues to collect funds for O&M. - An initial Impact visit will assess the immediate impacts of the new system. 	<ul style="list-style-type: none"> - M&E Impact Tools
Step 24	Process for Step 24	Tools for Step 24
Implementation Phase Financial and Technical Audit.	<ul style="list-style-type: none"> - The R(PMU) will hire a SA to carry out a final audit of the SO and CBO to ensure that the project has been completed properly and that all records are in good order. Also, to assess in general terms the efficiency and effectiveness of the PMU, RPMUs and SOs in terms of their management of project resources. 	<ul style="list-style-type: none"> - SA recruitment procedure - SO/CBO Accounting Manual - Partnership Agreements - Project Files

Post-Subproject Monitoring and Evaluation

Step 25	Process for Step 25	Tools for Step 25
<p>Long term Impact Evaluation and Sustainability Monitoring</p>	<ul style="list-style-type: none"> - Every year at least one visit will assess status of hardware, and capacity of community to continuously monitor and mitigate the effects of arsenic in their water supplies. 	<ul style="list-style-type: none"> - M&E Manual - M&E Tools and Reporting Formats

**Bangladesh Arsenic Mitigation
Water Supply Project (BAMWSP)
Dhaka, Bangladesh**

Volume 1: Operations

Annex B

PREFASIBILITY FORM

I. LOCATION: (Discuss with formal and informal community leaders and women)

1. Village Name(s) of Community: _____ 2. Wards: _____
3. Name of Union: _____ 4. Thana: _____
5. District: _____
6. Is this scheme clustered with other schemes proposed for planning phase financing Yes/No?
(Please provide a sketch map showing all communities proposed for planning phase financing)

II. SOCIO-DEMOGRAPHIC INFORMATION: (Discuss with formal and informal community leaders and women)

7. Total No. of Households in the Community: _____
8. Approximate Total Present Population in the Community (approximate): _____
9. Community Settlement Pattern (Circle One): Scattered/evenly spread/clustered
10. Major Minority Group Served by the Proposed Scheme: _____

III. NEEDS ASSESSMENT:

11. a) List in Order of Priority 3 Felt Needs Identified by the Community:

Identified by women	Identified by Men
1) _____	1) _____
2) _____	2) _____
3) _____	3) _____

- b) Modified priorities, if any, after source testing and mapping

Identified by women	Identified by Men
1) _____	1) _____
2) _____	2) _____
3) _____	3) _____

12. Nearest Public Facilities Used by the Community:

Public Facility	Located in the Community? (Yes/No)	If Located Outside Community Approx. Distance (km)
clinic/hospital		
TTDC ¹		
Bank		
Others (specify)		

SOURCE DATA:

13. Total No. of Sources in the Village: _____

14. Type of Source by Number (Drinking Water only)
(Attach copy of Map showing sources, contaminated sources & no. of families dependent on each source)

Cluster Types of Source	1	2	3	4	5	6
	number total Above .05 MG/L TR ²	number total Above .05 MG/L TR ²	number total Above .05 MG/L TR ²	number total Above .05 MG/L TR ²	number total Above .05 MG/L TR ²	number total Above .05 MG/L TR ²
Handpumps						
Deep Tubewells						
Dugwells						
Ponds						
Rivers (Access Points)						

HEALTH:

15. No. of Arsenicosis Cases Observed: Male _____ Female _____

16. Describe Sanitary Conditions # Households with Sanitary Latrines note problems (Drainage, Solid Waste Disposal, etc.): _____

¹ / Thana Training and Development Center

² / Arsenic contamination above 0.05 ml/ltr

WILLINGNESS TO CONTRIBUTE:

17. Villagers Wealth Classifications:

	Has Surplus	Subsistence Level	Below Subsistence
# Households			

18 # Household Agreeing to Contribute to Scheme:

Cash _____ Labor _____ Both _____

Local Materials (Bamboo/Sand)

VILLAGE SOCIAL COHESION:

19. Types and nature of projects already accomplish although village cooperation. How many women of poorer group were represented and took project related decisions?

Describe:

20. Did community members, including women and minority groups, actively participate in this pre-feasibility study?

Total Participants _____ Women _____
Minority Group Members _____

Comments:

22. Factionalism:

- What are the different village factions?

Describe:

- Evidence of any serious conflicts that will hinder project implementation.

Describe:

ASSESSMENT FORM

For filling up by the PMU Staff

23. Level and Extent of Arsenic Contamination of Water Sources:

Classification by Extent of Contamination	Yes	No
Type A: At least one source is contaminated beyond .05 ml/ltr and problem can be solved by isolating a few sources and sharing other sources (non-investment).		
Type B: Sources used by at least 10% of the population of the village are contaminated beyond .05 ml/ltr and the problem needs to be resolved by partial, or by neighborhood based alternative technical option.		
Type C: Sources used by more than 40% of the population of the village are contaminated beyond .05 ml/ltr and to resolve the problem, a new water system is needed for the village as a whole.		

25. Incidence of Arsenicosis in the community: yes _____ no _____ number of cases: _____
 Details:

26. Villagers indicate they are willing to contribute to the solution in labor and one percent cash cost of scheme: yes _____ no _____

27. Evidence that village can work together sufficiently to carry out scheme: yes _____ no _____
 Remarks:

28. Evidence that women and poverty groups will be allowed to participate in the project, access benefits, and that they participated in the prefeasibility study.
 Remarks:

29. Recommended: Yes _____ NO _____ Deferred for more Information _____

30. Signature of the PMU Representative(s):

31. Date:

Notes to SOs: Sample Steps and tools for carrying out the participatory pre-feasibility study:

Steps 1-10 are ordered according to the order of the data of the pre-feasibility form. After doing a participatory activity together the CBO and SO fill in the data in the form and move on to the next step.

1. Initial contacts with formal and informal village leaders, female and male and village NGOs/CBOs
2. Organization by leaders and CBOs of a team with local women and men who will help to draw the community maps for the pre-feasibility study.
3. Location of village on union map
4. Drawing, in a general meeting, of the general village plan with the general lay-out and settlement pattern of village, taking the para as a unit and providing the following information:
 - Physical infrastructure (roads, larger water sources, schools, mosque)
 - Border of paras
 - Number of households in each para
 - Locations and numbers of scattered households
 - Total No. of households (=internal check with village statistics)
 - Approx. total present population
5. First, the facilitator starts an open discussion on situation of different groups in the village, e.g. using Flexiflans, a SARAR tool. This may provide information of a general nature and helps to build rapport with the groups and the between the groups and the facilitator.

Open discussion is then focused using a second activity. Needs are identified and prioritized, through open discussion and drawing and ordering of cards with separate groups of women and men, of the three priority felt needs in the village. Both groups are provided with a set of cards and felt pens. Participants are invited to identify the major needs in their village and once agreed on a need, draw it on a card. The cards are then laid out in a prioritized order. Thereafter the women visit the men and the men present explain their three priority needs and the men come over to the women and the women present and explain theirs. If so desired both may arrive at a unified list. The three priority needs of the women and of the men are listed in the format.

Storing of data: The CBO numbers and separately ties the two sets of cards and keeps them in a community file for further reference and use.

6. Arsenic testing and painting of wells green or red with participation of community members
7. Village water source mapping. This activity is done in combination with activity 8. It is done with the whole village if it is small, or para by para in case of a large village. The map(s) will indicate:
 - Location of drinking water sources, by type (tubewell, ringwell, etc.)
 - Whether the source is contaminated by arsenic or not contaminated
 - No. of families dependent on the source

The map(s) will be used to fill in the table on the feasibility form and will remain in the village 'archive' for further reference and use.

8. Wealth ranking: To determine the local characteristics of the poor, medium class and wealthier households, the group is asked to draw a picture of a poor couple, a medium class couple and a wealthy couple. The participants then discuss and agree on what are the characteristics of a poor, medium class and

wealthier family. Having agreed on the characteristics they mark the houses in the water resources map(s) according to this classification.

9. Modified priorities: Having done the source testing and mapping, the village may wish or not wish to modify its priorities. Data are recorded in the pre-feasibility format.

10. Social survey on willingness to pay: The CBO (planning) visits the households using red handpumps, or meets with them in an informal meeting. The households give their willingness to contribute in cash or labor or both. The data per thana is recorded and totals of households participating and totals willing to contribute in the respective ways are each added up and filled in the pre-feasibility form.

Alternative ways of assessing willingness to pay may be used as well, e.g. assessment by voting in village assemblies or other meetings. Note that all voting has to be by household, so where male and female heads of households are both present they need to be given time to discuss and come up with one household vote. (Having cards of 3 different colors that can be raised by the husband and/or wife is one way of facilitating such voting, but others are possible and SOs can show their creativity by thinking up appropriate tools and sharing experience with others).

**Bangladesh Arsenic Mitigation
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Dhaka, Bangladesh**

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Annex C

Bangladesh Arsenic Mitigation Water Supply Project

Project Management Unit

PLANNING PHASE PROPOSAL

I. INTRODUCTION:

The following format is the proposal for the planning phase that the qualified support organizations (SOs) will use as a format for making their proposals to the PMU. The proposal will describe how the SO will facilitate a developmental and decision-making process in the proposed communities and enable villagers to plan the ARSENIC MITIGATION WATER SUPPLY SCHEME(S) including health and environmental sanitation awareness. This proposal is for one subproject which may consist of one or several schemes.

The SO Terms of Reference for the Planning Phase can serve as a point of reference for this proposal. It defines specific outputs of this phase, i.e., Community Action plans (the CAP), designs and estimates (which together comprise the substance of the Implementation Phase proposal), and an effective, representative CBO. The PMU realizes, however, that there are many skills and innovative approaches among the SOs for organizing the community, developing CAPs and scheme designs, and carrying out related community development activities. Therefore in this proposal the SO is requested to define its own plan for carrying out the Planning Phase. Annexed to this form is a summary sheet of possible inputs that can serve as a guide. When your proposal is negotiated, we will need to ensure that you have planned sufficient inputs to achieve the objectives of this Phase.

II. SAMPLE FORWARDING LETTER FOR THE PROPOSAL:

The Project Director
Project Management Unit
BAMWSP,
Dhaka.

Subject: **Submission of the Planning Phase Proposal**

Dear Sir,

Please find herewith, the Planning phase Proposal submitted to the PMU for necessary review and approval.

With Regards,

Chairman,
.....(SO)

Date:

III. PROPOSAL:

1.0 General Information

NAME OF THE SO

NAME OF THE CONTACT PERSON

MAILING ADDRESS

TELEPHONE/FAX /E-MAIL NUMBER

NAME(S) OF THE COLLABORATING PARTNERS (if any)

ADDRESS OF THE COLLABORATING PARTNERS

TELEPHONE/FAX/E-MAIL NUMBER

PROPOSAL WRITTEN and SIGNED By

DESIGNATION

DATE

2.0 Summary Description of the Project:

2.1 Project Background: Describe the subproject area including:

- specific cultural, economic and social setting of the project;
- the roles of women in the area(s)
- existing formal and informal institutional set-up;
- linkages of the SO with existing local institutions;
- major social, environmental, and technical problems of the area(s)
- problem of water and sanitation including arsenic contamination;
- and describe how this project will help to resolve those problems. (Use a separate sheet if necessary)

2.3 The Proposed Project Names and Project Areas: (please provide summary information of the schemes based on the PMU's scheme allocation and scheme eligibility criteria)

S N.	Name of the scheme / project	District	Thana	Village	Nos. of paras	Nos. House -Holds	Nos. Pop.
1							
2							
3							
4							
5							
6							
7							
8							
9							
10							
Total							

2.4 Please attach copies of the prefeasibility studies of these communities to your proposal

3.0 The Activity Proposal

The specific outputs of the Planning Phase include:

1. A fully functional, representative, Community Based Organization (CBO) for planning and management of arsenic mitigation water supply system and sanitation education as recognized by the villagers formed and active in decision-making.
2. A Community Action Plan (CAP) prepared which includes the following plans:
 - The Water Scheme Layout Plan (Type B&C)
 - A Plan for Changing Health/Hygiene/Sanitation Behaviors (AHESA)
 - A Plan for community financial resource mobilization (Type B&C)
 - A Plan for Community Monitoring and Evaluation
 - A Plan for Operations and Maintenance, including ongoing O&M collection (Type B&C)
 - A Plan for continued arsenic and water quality monitoring
3. A Technical Scheme Designed and Detailed Bill of Quantities/Cost Estimates prepared as per communities conceptual action plan, acceptable to the PMU.
4. Increased community capacity through education including Arsenic, Hygiene and Environmental Sanitation Awareness (AHESA) activities, and baseline and participatory data collection.

Please provide specific action plans for reaching these outcomes, with a description of the methodologies you will employ to achieve them.

- 3.1 Describe (quality and quantity of efforts to be provided) how you will develop a CBO as an effective community organization, with equitable representation of women and minorities, and capacity for fulfilling its functions which should include:
 - process by which all habitations and households will be involved in decision making;
 - methods of working with existing or traditional structures in developing the CBO;
 - mechanism to ensure a process by which CBOs are formed which builds the confidence of all villagers, and helps to unify their efforts;
 - training interventions to the community to select right kind of and representative CBO members and make CBO fully functional? Use a separate sheet if necessary)
- 3.2 Describe how you will engage the community in developing the Community Action Plan that should include:
 - type, quantity and sequence of interventions to be used;
 - mechanism to ensure that the decision-making process is widespread and reaches less vocal and powerful members of the community;
 - participatory techniques and tools to be used;
 - steps to be taken to ensure that the community makes the major planning decisions regarding the design of the scheme.

Please refer to the sample activity sheet attached as a reference material. (Use a separate sheet if necessary)

- 3.3** Describe how you will undertake the Technical Survey and prepare the Technical Design and Cost Estimates. This should include the mechanism to be used to ensure that:
- the technical staff follow the decisions taken by the community in their layout design, and involves the community in the technical survey and design process;
 - the technical soundness of their design work;
 - steps to be taken to mitigate any adverse environmental consequences of the design;
 - the technical staff under your supervision prepare the most cost-effective design

3.4 Describe the Arsenic, Hygiene and Environmental Sanitation Awareness (AHESA) Initiatives:

- 4.0 Management Arrangements:** Please describe how you will manage the project including:
- Who will form the management team?
 - How will you conduct the supervision and monitoring of project activities?
 - How will you evaluate your progress and complete reporting requirements?

5.0 The Project person power requirementⁱ

The following are suggested personnel for the project. Please identify who will carry out the positions and how they are to be compensated. Use blank spaces for alternative positions you may require:

SL	Name of the SO Personnel	Age	Designation	Educational Qualification	Proposed Salary	Experience	Duration in Months
1			Project Manager				
2			Accountant				
3			Community Development Supervisor				
4			Sub-assistant Engineer				
5			Community Worker				
6							
7							
8							
9							
10							
11							
12							
13							
14							
15							

-
- 5.1 Please justify any position which you have added to the suggested list, and provide similar details:
 - 5.2 Provide Bio-data of the proposed key personnel as per the given format attached herewith. "Key " personnel include the team leader, community development supervisor and Jr. Engineer. Change in these positions should be approved in discussion with your portfolio manager.

7.0 The Following is the proposed budget for the planning phase:

SL.	Description	Nos.	Qty.	Unit	Rate/U nit	Total	PMU	SO
1	Community Organizing / Planning							
	Community development Supervisor							
	Travel							
	Per diem							
	Community Facilitator							
	Travel							
	Per diem							
	Community Worker							
	Travel							
	Per diem							
	Training event(s)							
	SUB TOTAL							
2	AHESA Activities							
	Training event(s)							
	SUB TOTAL							
3	Pre-Feasibility Studies							
	Hardware Specialist							
	Travel							
	Per diem							
	Community development Specialists							
	Travel							
	Per diem							
	SUB TOTAL							
4	Engineering Survey and Design							
	Engineer							
	Travel							
	Per diem							
	Jr Engineer							
	Travel							
	Per diem							
	Others							
	SUB TOTAL							
5	Supervision and Support							
	Team Leader							
	Travel							
	Per diem							
	Accountant							
	Travel							
	Per diem							
	Materials and Equipment							
Other Costs								
	SUB TOTAL							
	TOTAL DIRECT COSTS							
	OVERHEAD 10% OF DIRECT COST							
	TOTAL PLANNING PHASE COSTS							

8.0. Suggestions for the Action Plan: The following chart provides ideas and a planning tool as an aid for developing your proposal. You may have other strategies for achieving the same outputs. Please develop your own chart that will provide a detailed plan of activities

SAMPLE:

SL	activity description (What)	place (Where)	duration		responsible person (who)	methodology (How)
			From	Till		
1	Community Action Planning					
	Community Organization					
	Community Meeting to inform about BAMWSP principles					
	Household visits					
	SARAR Group discussion meetings					
	Prepare community maps					
	Collect other baseline information					
	Orientation on roles / responsibilities of CBO/WATSAN Committee					
	Mass meeting to select members of CBO/WATSAN Committee and selection of CBO/WATSAN committee					
	Training to CBO/WATSAN members					
	CBO/WATSAN treasurer training					
	Initiate O&M fund and cash contribution					
	other					
2	AHESA Program					
	Orientation to AHESA group formation (gender balance)					
	Identify village health worker					
	Promotional AHESA activities					
	Training to members of AHESA group & Village Health Worker on AHESA					
3	Feasibility Plan					
	Identification of VMW					
	Discussion on service level design & technology options					
	Source selection and agreement					
	Discussion and tentative plan on layout preparation					
	Orientation to CBO/WATSAN committee on material collection, procurement & quality control					
4	Layout plan					
	AHESA plan					
	Village Environmental Action Plan, VEAP					
	Local material resource mobilization plan					
	Community procurement plan					
	Community human resource plan					
	SO staffing plan					
	O & M plan					
	Community M&E plan					

SL	activity description (What)	place (Where)	duration		responsible person (who)	methodology (How)
			From	Till		
5	Monitoring and Evaluation					
	Progress report					
	Monitoring activities					
6	Detail Survey and Design					
	Review community map and scheme layout					
	Undertake topographical survey					
	Complete design quantity & cost estimate					
	Discuss design, quantity & cost estimate with community					
	Design acceptance by community					
7	Finalize Implementation Phase Proposal (CAP)					
	Orient CBO members on tripartite implementation contract					
	Finalize CAP					
	Community cash contribution collected					
	Finalize the Implementation Proposal and signed by CBO					
8	Monitoring and Evaluation					
	Planning phase contract completion report preparation					
	Monitoring Activities -performance -process -output -impact					

YOUR PLAN:

	(what)	(where)	from	till	person (who)	(how)
1	<u>Community Action Planning</u>					
2	<u>AHESA Program</u>					
3	<u>Feasibility Plan</u>					
4	<u>Meetings to Agree on CAP outputs</u>					
5	<u>Compliance and Process Monitoring</u>					
6	<u>Detail Survey and Design</u>					
7	<u>Finalize Implementation Phase Proposal (CAP)</u>					
8	<u>Monitoring and Evaluation</u>					

(Please use your own format to provide the above information if you prefer)

Bio - Data Format

- 1. Name of the Proposed Staff: _____
- 2. Age: _____
- 3. Gender: _____
- 4. Address: _____



5. Proposed Position: (Key Personnel Only)

6. Academic Qualification: _____ (Degree) PMU
 _____ (University) Assessment

7. Non Academic Training: 1. _____ (Course)
 (relevant training only) _____ (Agency)
 2. _____ (Course)
 _____ (Agency)
 3. _____ (Course)
 _____ (Agency)

8. Working Experiences: 1. _____ (Position)
 (relevant experience only) _____ (Orgn)
 From _____ To _____ Period _____ (Years)

Summary Responsibilities
 a _____
 b _____
 c _____
 d _____

2. _____ (Position)
 _____ (Orgn)
 From _____ To _____ Period _____ (Years)

Summary Responsibilities
 a _____
 b _____
 c _____
 d _____

3. _____ (Position)
 _____ (Orgn)
 From _____ To _____ Period _____ (Years)

Summary Responsibilities
 a _____
 b _____
 c _____
 d _____

i / SO Qualifications: endnote: See Chart Below as Reference of SO Staff Qualifications

POST	Minimum Requirements	Preferred Skills
1. Team Leader (TL) One per SO	<ul style="list-style-type: none"> Established as a local director or program leader, or Bachelor degree in any relevant discipline Minimum two years experience with an NGO in community development or community water supply and sanitation 	<ul style="list-style-type: none"> Master's Level Degree preferably in the Social Sciences, rural development, or Development Management
2. Software Supervisor One per SO	<ul style="list-style-type: none"> Graduate, Preferably in the Social Sciences, or Established supervisor in the SO software disciplines with at least two years experience 	<ul style="list-style-type: none"> Experience in organizing gender equality across program components Experience in Hygiene, Sanitation, Education, Health Education Knowledge and commitment to participatory methods
3. Diploma Engineer One per 3-7 Type B or C Schemes	<ul style="list-style-type: none"> Diploma in Civil, mechanical, Sanitary Engineering Two years experience with an NGO or private firm in rural water supply 	<ul style="list-style-type: none"> Knowledge of survey, design and estimation of rural water-sanitation projects with community involvement. Knowledge of Construction methods for BAMWSP technologies Respect for village people and gender sensitive.
4. Community Facilitator (No. one per three schemes, on average, A, B or C Types)	<ul style="list-style-type: none"> Intermediate degree or equivalent experience Minimum one year experience with an NGO in grassroots level community development or community based water supply and sanitation 	<ul style="list-style-type: none"> Experience in integrated rural development Knowledge and use of participatory methods and tools Reporting and recording skills
5. Community Worker (No. one per three schemes, on average, A, B or C types)	<ul style="list-style-type: none"> 10th Class pass or two years equivalent experience with an NGO in health education, hygiene and sanitation 	<ul style="list-style-type: none"> Trained ANM preferred Ability to record and report fieldwork.
6. Accountant One per SO	<ul style="list-style-type: none"> Intermediate in Commerce At least two years relevant accounting experience 	<ul style="list-style-type: none"> Demonstrated skills in <ul style="list-style-type: none"> -Financial management -Financial reporting -Procurement, Storekeeping
7. Graduate Engineer	<ul style="list-style-type: none"> Graduate in Civil Engineering, or At least five years experience in Public Health Engineering 	<ul style="list-style-type: none"> Knowledge of survey, design, and estimation of rural water/sanitation projects with community involvement Knowledge of Construction methods for BAMWSP approved technologies Respect for village people and gender sensitive

Bangladesh Arsenic Mitigation Water Supply Project (BAMWSP) Dhaka, Bangladesh

Volume 1: Operations

Annex D

BANGLADESH ARSENIC MITIGATION WATER SUPPLY PROJECT (BAMWSP) PROJECT MANAGEMENT UNIT (PMU) IMPLEMENTATION PHASE PROPOSAL

SUMMARY INFORMATION:

1. General:

- a) Name of the scheme:.....technology(ies)
planned... ..
- b) Total cost : Tk.
- c) Total PMU Funding : Tk.....
- d) Overhead cost out of total PMU funding to SO Tk. ...
- e) Total community contribution of water supply scheme. Tk.
- f) Community contribution for construction in cash : Tk.
- g) Community contribution in kind for construction: Tk.
- h) Total community contribution for O&M: Up-front Tk.....
- i) per annum, Tk
- l) Total cost of water supply scheme. Tk
- j) The project will be completed on: Date..... ..

2. Agencies and Signatories:

2.1 Support Organizations (SO)

- a) Name of the SO
- b) Address
.....Tel:
- c) Name of SO signatory
- d) Designation:.. . . .
- e) Signature: date:

2.2 Community Based Organization (CBO):

- a) Name of the CBO signatory:
- b) Designation:
- c) Village
- d) Union
- e) Thana..
- f) Signature:.. . . .
- g) Date..... ..

3 . Information on the Proposed Scheme :

3.1 Scheme Type, Check all which apply:

- Deep tubewell
- Very shallow shrouded tubewell
- Pond sandfilter
- Rainwater harvesting
- Ringwell with handpump system

3.2 Survey, Design Information:

- No. of Households.
- Present Population.
- Design Population
- Population Growth Rate(%)
- Design Period:
- Total daily Demand.
- Per Capita Daily Demand

3.3 Location of the scheme:

District _____
Thana _____
Union _____
Village : _____
Community . _____

Attachments:

Please attach the following Annexes:
Annex I - The Community Action Plan
Annex II - Technical Design with Bill of Quantities

2.3 What alternative has been chosen for the water supply scheme? Please give the reasons for selection of the technology

2.4 Describe the layout plan in detail.

2.5 Do they agree to pay one percent cash contribution of the scheme cost?

2.6 Do they agree to volunteer their physical labor?

3. Sanitation and Environmental Management

3.1 Whether the villagers have been motivated and educated on the importance of drainage system to protect water resource, control of mosquitoes and diseases. Please describe

3.2 Whether the map for drainage system has been made with the participation of the villagers

3.3 What methodologies were used to develop the drainage system map?

3.4 Please attach the drainage map

3.1 Is there any possibility of contamination of water sources due to existing latrine design?

3.5 If yes, what alternative measures have been considered for disposal of human waste?



4. Financial Resources:

4.1 Community Contribution:
(Up-front cash contribution on capital cost)

- a) What is the amount of total fund raised? Tk
- b) What percentage of capital cost is it ?
- c) For what activity the capital fund will be spent?
.....

4.2 In-Kind contribution

- a) Does the community agree to provide labor for construction of the water scheme?
- b) What is the expected number of days for contribution per household?
- c) What is the estimated value of such voluntary labor? Tk

5. Operation and Maintenance:

5.1 General:

Describe the arrangement of operation and maintenance of the system. State how the fund for O&M has been created to meet the cost of the maintenance of the scheme. How to ensure that the fund is always ready at hand for paying remuneration of the village maintenance workers (VMW) and for regular repair. Describe the plan?

- a) Has the person been identified for scheme maintenance work? Who are they and how many?
- b) Describe training planned for system operation and O&M.
No. of trainees... ..
Duration:

5.2 The O&M Fund:

- a) How much cash has the community raised for operation and maintenance? Tk.
- b) What percent of total water supply scheme cost is it?.....

-
- c) At what rate the funds was raised?
Tk /household
 - d) Name of the bank and Account no. Where the O&M fund is deposited.

6. Other Plans:

Please describe any additional activities proposed for your implementation phase, such as exchange visits among villages

7. Monitoring and Evaluation:

After completion of the project, how will impact monitoring be done and what tools will be used? State time and staff required Also indicate how the activities proposed in the Phase will be monitored by the SO and by the community itself

PMU Cost Estimate Form (Implementation Phase)

B. Community development Costs

Post Implementation Phase

	Description	Nos	Qty	Post Implementation Phase					
				Unit	Rate per Unit	Total	PMU	SO	
1.1	Health and Environmental Sanitation Awareness								
	1 1 1 Community Development Supervisor (CS)								
	Travel								
	Per Diem								
	1 1 2 Community Worker/CW								
	Travel								
	Per Diem								
	1 1 3 HESA Training								
	1 1 4 Cross-visit								
	Travel								
Per Diem									
	Subtotal								
1.2	Community Mobilization								
	1 2 1 Team Leader								
	Travel								
	Per Diem								
	1 2 2 Community Facilitator								
	Travel								
	Per Diem								
	1 2 3 VWSC O&M Training								
	Travel								
	Per Diem								
	Subtotal								
2.1	Supervision and Support Cost								
	2 1 1 Team Leader/ Coordinator								
	Travel								
	Per Diem								
	2 1 2 Administrative Officer/ Accountant								
	Travel								
	Per Diem								
	2 1 3 Materials & Equipment (total, fill detail form)								
		Subtotal							

**Bangladesh Arsenic Mitigation
Water Supply Project (BAMWSP)
Dhaka, Bangladesh**

Volume 1: Operations

Date :

To,
Planning and Operations Unit Head,
PMU

From,
Portfolio Officer

Subject: Report/ Recommendation for 2nd Payment (Planning Phase)

The SO has completed the following requirements mentioned in the contract and TOR for the third or the final payment of the Planning Phase:

1. Name of Support Organization:
2. Name of Community(ies)/Scheme(s):
 - 2.1:
 - 2.2:
 - 2.3:
 - 2.4:
 - 2.5:

Payment Indicators :

Payment #2: The following must be completed to PMU/ DPMU satisfaction to receive 2nd Payment on the Planning Phase :

- ? The narrative report and a financial statement of the activities have been submitted;
- ? Project staff are fully hired/deputed, trained and working;
- ? CAP sessions have been completed at the cluster level, with involvement of both women and men, and poorer women and men;
- ? The CBOs' Bank Account has been opened in the name of the CBOs;
- ? The CBOs are formed;
- ? The representative CBO with at least 30% women members has been formed and training on their roles and responsibilities has commenced;
- ? CBOs in _____(no.) communities have been formed, and have elected their chairperson and treasurer;
- ? The Planning Phase completion report by the SO has been submitted and accepted;
- ? Communities are satisfied with SO performance
- ? SO journals as to length of time in the field kept and spot-checked.
- ? The Community Action Plans and Scheme layout plans are approved by the community in a successful community-wide "Agree to Do Meeting";

Have there been any changes in staff since contracts for Planning Phase were agreed? If so, what are the implications regarding SO's performance?

Staff Changes Yes No

Description/ Implication:

Have all deployed staff completed appropriate training? If not, describe what is being done to remedy the situation.

Yes No

Describe:

Payment Recommended: Yes No PFO signature _____ date _____

Date.....
.....

To,
Planning and Operations Unit Head,
PMU

From,
Portfolio Manager, RPMU, _____
Name of the region)

Subject : Report/ Recommendation for the Second Payment of SO's Contract, Implementation Phase

The SO has completed the following requirements mentioned in the Agreement and TOR for the second payment of the phase as mentioned above:

- 1 Name of Support Organization:
2. No. of Schemes Tk
3. Narrative report is submitted and accepted: Yes No
4. Financial report is submitted and accepted: Yes No
5. That all conditions for Part Payment #2 for construction materials have been met. Yes No
6. The RPMU is satisfied that all activities relating to the Plans of the Implementation Phase Proposal are being undertaken in all clusters of the communities concerned, in accordance with the Implementation Proposal, the Terms of Reference and the required standards of the PMU. Yes No
7. The RPMU is satisfied with the regularity and scope of CBO accounting for construction and finances to the users Yes No
7. The RPMU is satisfied that all HESA activities have been undertaken in all clusters of the communities concerned. Yes No
8. The RPMU is satisfied that the VMW "on-the-job", training, CBO construction management, CBO treasurer training and all other trainings specified in the Implementation Proposal and the Terms of Reference have been carried out, in accordance with the Implementation Phase Proposal, the Terms of Reference and the required standards of the PMU. Yes No
9. The SO together with the CBO, have filled the Payment #2 formats and have together certified that all the activities and construction relating to Part 1 of the construction has been carried out, in accordance with the Implementation Phase Proposal, the Terms of Reference and the required standards of the PMU. Yes No

-
10. The SO has submitted satisfactory documents, as follows :
- i. Payment #2 formats
 - ii. CBO and SO certification that non local materials purchased for Part 1 of the construction schedule and all tools have been delivered on site, are of the same brand names specified in the pro-forma or credit invoices, and further that they conform to the required standards of the PMU and the villagers. (Internal Quality Control carried out)
 - iii. the statement of the SO Book Accounts
 - v. pro-forma or credit invoices for all remaining non-local materials required to complete the construction works. The pro-forma invoices must specify the brand names, the quantity and the unit prices of the individual items to be purchased.
Yes No
11. With reference to Community Action Plans. Which, if any, the villagers are having trouble initiating?
Describe :
12. Describe the no. of HESA sessions per cluster and their content in brief. (see M&E Manual, section 2.2)
13. Describe CBO, VMW and other trainings. What were their contents and quality?
14. Overall performance of the SO according to PFO is :
- Excellent Good
 Fair Poor
15. Overall performance of the SO according to men and women in the community, especially the poor
- Excellent Good
 Fair Poor
- Payment Recommended:** Yes No **PFO signature** _____ **date** _____

10. The PMU is satisfied that the following trainings have been undertaken to the required standard and that gender balance in jobs and training has been demonstrated³ :

- i. VMW refresher training
- ii. CBO refresher and CBO treasurer training
- iii. VMW “on-the-job”, CBO construction management training.

Yes No

11. The SO has submitted satisfactory documents, as follows :

- i. Third payment narrative report
- ii. the statement of the expenditure and the statement of the SO’s Book of Accounts.

Yes No

12. Summarize major funding of completion visit reports (Scheme Completion Reports-SCRs)

Payment Recommended: Yes No PFO signature _____ date _____

³ / Add relevant monitoring tool, as appropriate

Bangladesh Arsenic Mitigation Water Supply Project (BAMWSP) Dhaka, Bangladesh

Volume 1: Operations

Annex F

**Bangladesh Arsenic Mitigation-Water Supply Project
(BAMWSP)
Project Management Unit**

SUPPORT ORGANIZATIONS

**Information Note and
Application Form**

Dear Support Organization,

This information relating to the Project Management Unit (PMU) is designed to help you to understand the project. This also will facilitate you to access the resources of the PMU for arsenic mitigation and water supply projects in Bangladesh.

1. This information package and form contains 14 pages in all. They are:
 - A. General information on the Project Management; the criteria for the selection of the Support Organization and the schemes
 - B. Application Form, and
2. If you are willing to collaborate with the PMU to access the project resources you should read the general information very carefully from page 3 to 6. If your organization meet all the requirements only then:
3. Read the instructions in page and fill the form. After completing the form send or hand over in person in the address mentioned below.
4. If your application form fails to meet any of the requirements your organization will not be considered for the assessment or future prequalification as a project partner.
5. For further information please write to:

The Project Director
Project Management Unit, BAMWSP

BAMWSP: Project Scope and Objectives

The purpose of the project is to alleviate arsenic water contamination as a factor in the reduction of arsenic-induced mortality and morbidity.

The scope of the project is expressed through three main components:

- On site mitigation;
- Improved Understanding of the Arsenic Problem; and
- Strengthening of Implementation Capacity.

The Mitigation Aspect of the Project involves SOs working as catalysts with rural communities and peri-urban areas. Larger scale schemes in municipalities will be handled by DPHE with the collaboration of NGOs and Local Governments.

In the rural program, the Project Management Unit will pre-qualify and contract Support Organizations (SOs) to work with communities to plan and implement arsenic mitigation schemes in rural areas. Mitigation measures in villages might vary from awareness campaigns to the construction of shallow and deep tubewells, pond/sand filters, handpumps, treatment measures, and rainwater catchment systems. The Resource Book will provide a list of approved technology options and associated risk factors.

For the purpose of project preparation, rural and municipal schemes will be classified as:

Type-A Intervention: This will be the option for communities where there is minimal contamination of water sources. That is, only a few village wells.

Type-B Intervention/Partial Scheme: This will be the option for communities where there is significant contamination but the problem can be solved by resorting to partial schemes, such as rainwater harvesting, shallow handpump wells in uncontaminated areas close by or deep groundwater wells, rather than development of total village systems.

Type-C Full Scheme: This will be the option for those communities where the majority of the water sources are contaminated.

During implementation, however, the actual situation in each community/village will determine the local intervention.

For the necessary training which SOs may need, the PMU will contract Service Agencies (SAs) which could include private firms, NGOs or academic institutions to assist it on an as needed basis in training, monitoring and any other specific function required by the PMU to fulfil its objectives

The following Application form is for SOs wishing to work in the rural areas with communities for Arsenic Mitigation and Water Supply.

Project Management

GENERAL PRINCIPLES:

1. The past experience indicates that the knowledge of the community needs and preferences have led to higher community participation. When communities are encouraged to take a lead role in the choosing their own services or the planning of a scheme, their interest in maintaining the scheme is accelerated. It is only when communities value a system that it tends to be sustainable and effectively used. In poor rural communities, use of deliberate participatory methods for engaging, organizing, and sensitizing consumers' leadership and decision-making in appraisal, design, implementation, monitoring and sustaining BAMWSP project schemes is an underlying principle of this project.
2. While it has generally been argued that water supply and sanitation services should be made available to rural people with little or no charge because they are not able and not suppose to pay the full cost of water. The fact is that rural communities have a greater ability to pay and contribute in kind and in labor than is generally recognized. The test project has demonstrated that considerable savings in capital cost as well as upfront contributions for operations and maintenance can be generated in the rural communities of Bangladesh. Such savings and the contribution are one good indicator of real commitment. Consumers should also be able to choose a higher service level if they are willing to pay for it. Making water supply an economic good will help to ensure accountability of service organizations to the people.
3. Neglecting community preferences means ignoring the traditional role of women in water supply. Women have the main responsibility of water collection, expending a great deal of their working hours. Women also decide where to collect water and how to use it. Successful programs begin with the recognition of women as partners in all aspects of water and sanitation projects, and in identifying and testing ways to build their leadership throughout all project stages.

The Project Management Unit of the BAMWSP Project:

The Government has established the Project Management Unit that will become fully operational with the assistance of an IDA loan. The PMU is a resource that enables communities, NGOs and other entities for arsenic mitigation and water supply (BAMWS) service delivery in Bangladesh. The Projects under the PMU will enable the partners to supporting the local communities in actual delivery of arsenic mitigation-water supply services.

THE PARTNERSHIP WITH THE PMU

Two Agreements are concluded under the PMU with the qualified Support Organizations

Agreements

1. **Planning Phase Agreements**. Support Organizations (SOs) can access funds to facilitate project planning by users (community residents), i.e. to enable users/community groups through participatory approaches to investigate their needs and priorities and resources, complete technical feasibility and social investigations, assess their willingness to pay and mobilize and manage contributions for capital and maintenance costs, analyze solutions to local water and sanitation problems, and to complete community action plans (CAPs) and scheme designs arsenic mitigation-water supply services.
2. **Implementation Phase Agreements (Type B&C Villages only)**: Separate Agreements between the CBOs (Water Committees or local water enterprises) and the PMU for scheme implementation and between the PMU and Support Organizations (SOs) for implementation support are made. The Implementation Phase Agreement with the CBO also includes the component relating to consolidation activities in the village after construction is finished. The activities include installations of partial water systems or complete systems as required by the level of arsenic mitigation. Very shallow and deep tubewell, rainwater harvesting, pond sand filters, etc.), Only software support will be provided for sanitation and solid waste management. For continued activities with user that enhance the sustainability or effective use of a completed scheme, funds

will include support for continued or expanded health and hygiene/sanitation education activities. Consolidation activities are particularly important to strengthen community-management of Operations and Management activities.

Eligibility of Communities and Support Organizations:

The PMU will support water supply and sanitation projects that engage rural consumers and their intermediary organizations, called Support Organizations (SOs) The SOs will work directly with communities using participatory approaches and providing appropriate software to prepare communities to plan, implement and manage their own water supply and sanitation projects. The PMU will first attempt to identify a SO that has met the following criteria:

In all cases the Support organizations must:

- a) be legally registered for at least three years,
- b) have a track record in the delivery of water and sanitation services and / or community development for at least three years, and constitutional provision to engage in community or rural development activities such as Rural Water Supply & Environmental Sanitation (BAMWSP);
- c) have proven track record for successfully conducted community development or water supply projects.
- d) have financial management capacity. It should have accounts audited by a certified auditor and be able to provide copy of its last two audit reports.
- e) demonstrated commitment to participatory approaches which emphasize community leadership and decision making, rather than a welfare or top-down approach to service delivery
- f) sufficient staff or demonstrated capacity to recruit appropriate personnel with skills in management, participatory education, community organization, and technical aspects of BAMWSP.
- g) strong management committee with active membership, representing diverse points of view rather than dominated by one family or a particular person.

The range of support organizations include:

- i). Nongovernmental Organizations, including National, State level, regional / district level and local NGOs, However, this does not include existing CBOs working only in their own village.
- ii). Private Business Organizations including consulting and research firms. Firms must be legally incorporated,

REVIEW AND SELECTION PROCEDURES FOR DEVELOPMENT PHASE AND IMPLEMENTATION PHASE PROPOSALS:

The review and selection process normally are conducted as described below

1. Every year the PMU will make advertisement in local dailies calling the eligible support organizations to submit the Application Form. The support organizations submit an application form with a copy of its registration with renewal document, copy of the constitution, and most recent three audits
2. Upon receipt of the complete Application form the SO is assessed. The qualified SO, then, is required to submit the project assessment formats of one successful, gender sensitive project which the SO has completed in the past. (The qualified SO is supplied with formats on request) The PMU staff then visit the project sites and make assessment of the SO to determine if it meets the criteria
3. After the final assessment if the SO is found qualified, it is allotted with quota of the schemes/communities. The quota is determined on the basis of the number of the schemes available for that particular year and the capability of the staff of the SO.
4. The Training/ orientation is then provided to the selected SO staff for conducting a prefeasibility assessment for identification of potential project sites in hot spot districts highly affected by arsenic contamination. The SOs visit the communities and conduct the prefeasibility of the scheme/site on the basis of the criteria laid down by the PMU. The SO then submits the prefeasibility of the sites/ schemes which meet the scheme selection criteria prescribed by the PMU.
5. After receiving the prefeasibility from the PMU or its designated agency will make site verification of the information supplied by the SO in the pre feasibility form.
6. After the assessment of the sites/schemes the SO is provided with the Planning Phase proposal format and the guidelines to prepare a Planning Phase proposal for the proposed communities
7. For Planning Phase Proposals, the SOs participate in an orientation session which provides training on participatory methods and on monitoring and evaluation, as well as background information and other skills for planning phase activities.
8. The PMU's Staff Technical Appraisal Committee will review the proposals and negotiate needed changes with the SO. The Project Director is authorized to make final decision based on the STAC recommendation.
9. After the proposal is approved, referred for improvement, or rejected the SO is informed. The PMU staff then prepare a Partnership Agreement with the SO. The agreement will be signed by the Project Director and by the Support Organization
10. Under the Planning Phase contract the PMU will support a range of service activities which enable users to effectively organize, assess, analyze, make choices, and complete community action plans for their arsenic mitigation- water supply and sanitation schemes

The following action plan, conceived and prepared by the community will result from detailed discussions with all men and women at the community level. All the plans in I and II below are discussed in details with the community and recommended for the implementation:

I. Obligatory Plans:

1. A (Safe) Water Supply Management and/or Scheme Plan
2. A Scheme Procurement and construction Plan, including timetables, manpower plans, quality control
3. A community finances plan for Local Resources, mobilization, cost contributions, collections, acct mgt
4. An Environmental Sanitation Plan
5. A Village environmental Action Plan (VEAP) for improvement of household and village/area environment
6. A Plan for Hygiene and Sanitation Education
7. A Plan for Scheme Management, operations and Maintenance
8. A Plan for M&E at the Community and SO Level.

III. Optional/Additional plans:

The communities and the SOs are furthermore encouraged to include additional components in their plans as directly relevant to the needs of the individual community, such as a school health promotion plan which may include a request for financial assistance regarding a school toilet, other programs/plans such as NFE classes for the Implementation phase, credit programs for women, etc. However, none of these will be eligible for direct funds from the PMU. The community can seek support for these plans from other NGOs and donors.

APPLICATION FORM

Instructions on filling out the Support Organizations Application Form for the PMU:

1. In order to enable the PMU to make assessment please provide information regarding your organization in the Application Form. (page 8-11) Do not use any other formats except this form. You may include additional information on separate sheet of paper.
2. Please ensure that the documents required in the Application Form must be attached with the form. Send your Form in the following address by post or submit in person to:

Project Director
Project Management Unit
BAMWSP

Phone:

Fax:

3. The PMU will assess and consider the Support Organization (SO) as its potential partner for the development of water supply schemes. Your organization to be eligible shall have to meet the following criteria:

- 1 Has been legally registered organization for last 3 years,
- 2 Constitution and bylaws permit it to engage in rural water supply and environmental sanitation or community development activities
- 3 The SO must have demonstrated that it has successfully completed projects involving community development/ participation with a focus on gender issues,
4. The SO must be able to provide copies of audit reports concerning its accounts for the last two years.
- 5 demonstrated commitment to participatory approaches which emphasize community leadership and decision making, rather than a welfare or top-down approach to service delivery
- 6 The Board of the SO must be active and not dominated by one family or individual
- 7 The SO should have sufficient staff or demonstrated ability to recruit appropriate staff to undertake the assignment
This includes adequate software and hardware field-level and supervisory staff

The SOs not meeting the above criteria will not be considered for the assessment.

1 Name of the Organization

2 Address

House No

Street or Village

Post Office Thana

District Code #

Phone/Fax :

Area Code :

Phone Number 1 :

Phone Number 2

Phone Number 3 .

Fax Number: Email

3 Registration Status

(Please attach a copy of society registration certificate, and renewal or amendment as appropriate)

- a) Date established:
- b) Registered as.
 Society Company NGO Affairs Bureau
 Others
- c) Registration number(s)
- d) Registration expires on

4 Objectives of the organization:

(Please attach a copy of the bylaws/constitution which includes names of all your board members.)

5 Number of the members Total Women Men

6 Chairperson/Head of the organization:

Name
Designation

7 Name of the executive members :

	Name	Designation
1		
2		
3		
4		
5		
6		
7		
8		
9		
10		
11		
12		
13		

8 Staffing situation (paid staff)

a) Professionals (Please itemize):

Name	Field of Specialization	Years of Experience	Education Qualification

b) Skilled staff (Please itemize):

Description	No	Description	No
Diploma Engineer		Senior Engineer	
Mason		Water Supply Technician	
Health worker/health educator		Sanitation worker/ Technician	
Field Organizer (participatory Skills)		Mid wife/nurse	
Accountant		Sub-accountant	
Overseers		plumber	

c) Support staff (Please itemize)

Description	No
Administrative / Finance Officer	
Computer Operator	
Secretary	

d) Please indicate if there is any special skill
Specify:

9 Do you operate bank account? Yes No If yes, state

Name of Bank

Bank Address

10. Is your organization audited Please state, up to which period the audit is made. From
..... to

Attach last two audit reports

Designation:

The following papers are included along with this form

- Copy of the Legal registration certificate indicating the latest renewal date
- Copy of the last two audit reports
- Copy of the articles of incorporation, memorandum of association or constitution with the name and the designation of the board members.

For use by PMU/RPMU only

Assessment of the SO

Please indicate in the table below whether the SO has fulfilled the selection criteria.

Serial	Selection Criteria	Yes	No
1	3 years' registration as legal entity		
2.	Constitutional provision to work in community development and/or water and sanitation		
3.	3 years' track record in community development or water supply		
4.	Two years' audit report indicating good financial management		
5.	Documented staff capacity or ability to recruit staff		
6.	Operates bank account		
7.	The organization is not controlled by one family or individual		
8.	Local NGO		

NOTE: All of the above criteria must be met to prequalify. If more NGOs than needed prequalify, See ch.3, Section 3 1 for further screening procedures.

Comments/Recommendations of Selection Committee _____

Decision of Project Director

Selected

Not Selected

Signature _____

Date: _____

**Bangladesh Arsenic Mitigation
Water Supply Project (BAMWSP)
Dhaka, Bangladesh**

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Annex G

SO APPLICATION AND PREQUALIFICATION LOG

S.N.	SO	Date Intake Received	Registration for 3 Years	Constitution Provision	3 years Track Record	2 Years Audit	Staff Capacity/ Recruitment Experience	Bank Account	Acceptable Board Management	PQ
1			Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes
2			Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes
3			Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes
4			Yes	Yes	Yes	NO	Yes	Yes	NO	NO
5			Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes
6			Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes
7			Yes	Yes	NO	Yes	Yes	Yes	NO	No
8			Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes
9			Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes
10			Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes
11			Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes
12			Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes
13			Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes
14			Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes
15			Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes
16			Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes
17			Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes
18			Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes
19			Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes
20			Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes
21			Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes
22			Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes
23			Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes
24			Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes
25			Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes
26			Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes
27			Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes

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Dhaka, Bangladesh**

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Annex H

SUPPORT ORGANIZATION LOG FOR PLANNING PHASE

No.	NAME OF SUPPORT ORGANIZATION (SO)	DIS-TRICT	TYPE OF SO	INTAKE RECEIVED DATE	SITE APPRAISAL COMPLETION DATE	FIRST PROPOSAL RECEIVED DATE	FINAL PROPOSAL RECEIVED DATE	PROPOSAL ACCEPTANCE DATE	CONTRACT SIGNED DATE	PLANNING PHASE COST	SCHEME			
											Type	Geography	No.	Pop.
1														
2														
3														
4														
5														
6														
7														
8														
9														
10														
11														
12														
13														
14														
									Total					

**Bangladesh Arsenic Mitigation
Water Supply Project (BAMWSP)
Dhaka, Bangladesh**

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Annex I

PLANNING PHASE STATUS

S N	Name of the SO	Planned no. of Communities for Planning Phase	No of schemes from which SO has withdrawn from community	Additional Communities covered by Planning Phase	Actual Total No of communities covered by Planning Phase	No of schemes currently in Planning Phase	Planning Phase completed and total no proposal received to date	No of implementation phase proposal currently being processed by Portfolio Manager	No of schemes approved by STAC	No of schemes dropped by STAC	No of schemes currently in contracting process	No of schemes in Implementation Phase
1												
2												
3												
4												
5												
6												
7												
8												
9												
10												
11												
12												
13												
14												
	Total											

Bangladesh Arsenic Mitigation Water Supply Project (BAMWSP) Dhaka, Bangladesh

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**Bangladesh Arsenic Mitigation
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Annex- L

The Project Management Unit (PMU) Bangladesh Arsenic Mitigation Water Supply Project (BAMWSP) Dhaka

Planning Phase Partnership Agreement for Sub-Projects in _____ communities of _____ District

1. Parties to Agreement:

This is to confirm the Agreement for Planning Phase between _____ (name of SO) hereinafter referred to as “the SO” and the Project Management Unit, hereinafter referred to as the PMU.

2. Scope of Work:

Both parties agree to undertake the work in accordance with this agreement, attached as the SO Terms of Reference for the Planning Phase; and as per the agreed Project Proposal dated _____, to carry out Planning Phase Activities in order to enable _____ (number) communities; namely _____, _____, _____, and _____ to prepare the Implementation Phase Proposals including Community Action Plans and the technical scheme designs and estimates.

3. Agreement period:

The (SO) _____ will commence work on or about (dd/mm/yy). The SO will submit Implementation Phase Proposals which will consist of its own proposal for support to the CBO, the CBO’s Community Action Plans, and the technical survey design estimates by (dd/mm/yy). The SO will complete all other activities under this agreement by (dd/mm/yy). This project period can only be extended by agreement with the PMU

4. SO Staff Input:

Under the terms of this agreement the SO undertakes to hire or depute from the organization the following key staff and maintain them until the satisfactory completion of the partnership agreement.

Team Leader/Field Coordinator _____ (name)

Community Development Supervisor _____ (name)

Technical Supervisor/Jr. Engineer _____ (name)

Also, _____ (SO) shall maintain individual appointment/partnership agreement letters for all personnel recruited for Planning Phase Activities.

Except as the PMU may otherwise agree, no changes will be made in the above listed key personnel proposed by _____ (SO).

5. Partnership agreement Financing:

The total cost of the Planning Phase is estimated at Tk. _____.(Taka _____) only. The _____ (SO) will receive from the PMU a total lump sum fee of _____ (Taka _____ only) which includes the cost of all activities provided for in this agreement and Tk. _____ (Tk.xxxxxx____(no.) communities) as the fees for having successfully conducted prefeasibility studies in _____(no.) communities by the SO.

6. Schedule of payments:

Payment will be made in following three installments for completion of this agreement. Payment will be made by PMU to the SOs through Bank Draft, or by account payee cheques, whatever mode is preferable to the SO.

Payment 1:

The first payment of 30% of the total fee Tk. _____ (Tk. _____) for Planning Phase Activity plus Tk _____ (Tk. xxxxx x ____ (no.) communities), the fees for having successfully conducted prefeasibility studies in _____ communities by the SO, will be made within two weeks upon receipt by the PMU of the counter-signed copy of this partnership agreement.

Payment # 2:

Payment # 2 of 40% of the total fee (Tk. _____)(Tk. _____) will be made on or about (DD/mm/yy), provided that:

- The narrative report and a financial statement of the activities have been submitted;
- Project staff are fully hired/deputed, trained and working;
- CAP sessions have been completed at the cluster level;
- The CBOs' Bank Account has been opened in the name of the CBOs;
- The CBOs are formed;
- The representative CBO with at least 30% women members has been formed and training on their roles and responsibilities has commenced;
- CBOs in _____(no.) communities have been formed, and have elected their chairperson and treasurer;
- The Planning Phase completion report by the SO has been submitted and accepted;
- The Community Action Plans and Scheme layout plans are approved by the community in a successful community-wide "Agree to Do Meeting";

Payment # 3.

Payment # 3 of 30% of the total fee (Tk. _____) (Tk. xxxxxx) will be made on or about (dd/mm/yy), provided that:

- The Planning Phase Completion report by the SO has been submitted and accepted;
- Financial Report is submitted by the SO and accepted by the PMU;
- The capital cost contribution has been collected by the community and deposited in the CBOs account for project implementation;
- Required M&E information has been submitted;
- All Planning Phase Activities are completed and Portfolio Managers' performance report is satisfactory.

The SO should receive timely payment of all the payments, otherwise it can not be held responsible for task s associated with the payment.

7. Supervision and Reporting:

The PMU or any party appointed by the PMU shall be entitled to monitor the progress of the work on site before the date of second and third payment stipulated in this partnership agreement. However, the PMU or any party appointed by the PMU can make visit at any time. It shall be the duty of _____(SO) to cooperate in such monitoring activities. The PMU or any party appointed by the PMU shall have full access to all information and documents pertaining to this agreement. Upon the request of the PMU or its representative, these documents shall be made available by _____(SO).

The PMU or any party appointed by the PMU shall be entitled to check and/or audit PMU related accounts of _____(SO) at any time.

The PMU or any other party appointed by the PMU shall be entitled to provide support and assistance to _____(SO) and shall be entitled to conduct studies in the project area, at any time and it shall be the duty of _____(SO) to cooperate with in regard to these activities.

_____ (SO) shall, prepare progress reports of the activities under this partnership agreement and attach such report with the request for the second payment. The report should contain the updated activities undertaken during the reporting period indicating status of the activities as per the plan of action. The SO shall also enclose the statement of the account of the budget and expenditures in accordance with the guidelines provided in the SO Accounting Manual

At the end of the Planning Phase _____ (SO) shall prepare the Planning Phase Completion Report of the Planning Phase Activities. This report will also include the required Financial Report as required by the Finance Management Manual for SOs and CBOs. The completion report will be submitted to portfolio officer, Mr. _____ (PMU/DPMU) before signing of the Implementation Phase partnership agreement.

8. Maintaining books of accounts and audit:

_____ (SO) shall keep separate bank accounts and separate books of accounts for financial records, as per the guidelines of the PMU, along with the supporting documents, of the funds received from PMU, expenditures incurred and the balances. Such records should indicate clear status of the project-related fund received from PMU. The project related accounts of _____ (SO) shall be reviewed after the second payment of the Planning Phase and _____ (SO) shall produce the books records and documents to the auditor designated by the PMU.

9. Rights of the SOs: SOs cannot be held accountable for completion of their TORs if step payments are not made on a timely basis, unless on the basis of previous non-completion of work by the SO. Also, SO staff have the right to training in the project approach and in participatory methods and tools, and it is the obligation of the PMU to arrange such training.

10. Termination of the agreement and penalties:

The PMU shall have the right to reduce the number of the schemes and/ or deduct the payment of the cost and/or withhold the release of the remaining payment to _____(SO) or terminate the agreement, if it is found, after signing of this partnership agreement that:

- Information supplied by SO was inaccurate and was provided with the intention of misleading the PMU,

-
- the community can not undertake development phase activities because of technical, social or any other reason,
 - there is mismanagement of the funds by _____ (SO);
 - there is no effective participation of the beneficiaries in the preparation of Implementation Phase Proposals;
 - _____ (SO) fails to submit narrative reports and financial statements on stipulated time.
 - _____ (SO) fails to complete the Planning Phase.

However, the (SO) shall have the right to give its clarification before such deduction of the payment, payment is withheld or termination of the partnership agreement is made. The SO can withdraw from this partnership agreement with 30 days notice, but must complete tasks associated with any advance payment.

11. Additional costs:

If any cost incurred over and above the amount stipulated in the partnership agreement for the activities due to force majeure required to be accomplished under the partnership agreement the _____ (SO), will not be entitled to any other statutory increase or other payment from the PMU.

12. Taxes:

It is the obligation of the _____ (SO) to pay any taxes or duties as may be required by NBR (National Board of Revenue) relating to the payments made by the PMU to the SO under this partnership agreement.

13. Disputes/Arbitration:

In the case of any dispute regarding the terms and conditions of the partnership agreement the _____ (SO) and the PMU the matter should be settled with the participation of the SO representative and the representative, Local Government, Ministry of LGRD and Cooperatives. In matters of disagreement even thereafter, the issue will be jointly resolved under the prevailing law of the country on arbitration. The decision of the arbitrator, if any, shall be final.

Agreement:

The Planning Phase Partnership agreement is prepared in two copies both signed by _____(SO) and the PMU. The _____(SO) will keep one copy of partnership agreement.

_____ (SO) indicates its agreement with the foregoing by signing and returning the enclosed copy of this letter to the PMU Office in Dhaka.

Project Director, PMU
Director

Chairperson/Executive

_____(SO)

date _____

date _____

Witness: 1. _____

Witness: 2. _____

Attachments

- **SO Terms of Reference for Planning Phase**
- **Financial Proposal**

Bangladesh Arsenic Mitigation Water Supply Project (BAMWSP)
Sub-project Cycle: Planning Phase
Terms of Reference for Support Organizations

A. Preamble:

The Bangladesh Arsenic Mitigation Water Supply Project (BAMWSP) aims at reducing the arsenic water contamination as a factor in the reduction of arsenic induced mortality and morbidity. The three main components of the project are i) on site mitigation; ii) improved understanding of the arsenic problem and iii) strengthening of implementation capacity. The mitigation aspect of the project involves the support organizations (SOs) as facilitators with rural communities and peri-urban areas. Larger scale schemes in municipalities will be handled by DPHE with the collaboration of NGOs and Local Government.

In the rural areas the Project Management Unit (PMU) will prequalify and partnership agreement Support Organizations (SOs) to work with the community to plan and implement arsenic mitigation schemes. The mitigation measures will vary from awareness raising processes to the construction of shallow and deep tubewells, pond/sand filters, handpumps, treatment measures, rainwater catchment etc.

During the planning phase, the support organizations will facilitate the process of community participation to help community residents identify their problems and needs, choose technical options and service features and levels, and plan schemes for arsenic mitigation-water supply, environmental protection, and continued water quality surveillance.

B. Purpose:

The purpose of the Planning Phase is to provide necessary support to the communities to enhance their capacity to assess their situation and plan their own arsenic mitigation and water supply schemes including:

- ongoing surveillance and management of the use of water sources; and/or
- choice of technologies and partial or total scheme distribution approaches, as warranted;
- operation and maintenance;
- environmental protection measures;
- hygiene and sanitation activities;
- participatory local management with better gender balance; and
- other related capacity building.

The methodology for the Planning Phase is participatory. It includes community mobilization and organizing from each cluster and formation of representative CBOs consisting of users themselves for the full village (Type B) or part of the village (Type C). The SO will facilitate interventions to invoke participatory investigation and data collection, creative problem solving and planning, analysis of technology options, consideration of cost and O&M implications, and preparation of Community Action Plan (CAP) for the Implementation Phase. Participatory methods and tools are to be used to engage the communities in collection of information, problem solving, decision making on social, technical, cost and service level issues, and how to organize and mobilize themselves for the implementation of the project and for long terms operations and maintenance of new schemes.

The Planning Phase has two parts:

- The first part of the process includes community organizing and conceptualization and development of a plan which all men and women in the community agree. An open range of options is discussed and the options of paying incremental costs of higher service levels explained. Choices from a realistic range of technologies supported by the project are to be selected by educated decision-making of the users of the scheme.

- The second part of the process includes converting the draft technology plan into detailed engineering design including cost estimate with the technical support of SOs, based on the villagers' choice of options. This is discussed with the community, revised and finalized

C. Specific Activities:

During the planning phase, SOs will participate and be responsible to carry out the following activities:

1. Recruit or depute the required number of staff, provide orientation on the project, mobilize them on the importance of participation of the community including women and minority groups.
2. Make available the community workers, community technicians and the supervisors of the SO to participate in orientation and training programs organized by PMU. The training programme will include:
 - Participatory methods and tools for community organization, planning and monitoring and evaluation
 - Thorough orientation of the scheme cycle and feasible technical options
 - Management and accounts for the SOs and the CBOs
 - The Monitoring and evaluation system.
 - Cross-fertilization among staff of participating SOs on their experience with successful methodologies and tools is encouraged.
3. Recruit and make available the SO engineering and technical staff for training in CAP process, survey, design, estimates and construction technologies. Ensure that SO technical staff follow the project methods. SO engineering staff will be trained in:
 - the community design concepts which emphasizes: the community's role in designing scheme layouts and their participation in technical surveys, and change in the prevalent attitude that engineers know what is best for the community
 - basic and technically sound field survey principles
 - construction materials procurement and quality
 - design guidelines
 - cost-estimation skills
 - use of Local construction materials and local construction technologies that will prepare the engineers for the subsequent implementation phase.
4. Establish rapport with the community, mobilize the community members and by the end of the phase, establish community- based organizations (CBOs) with a balanced number of women representatives, minorities and users groups.
5. Facilitate the CAP process. The CAP process should ensure participation of the women and other community members in designing and managing technically and financially practical feasible schemes. The CBOs should be mobilized, trained, educated and made capable of participatory planning, implementing and managing the arsenic mitigation water supply schemes. The first step of the process is involving the community in participatory investigations and baseline data collection working with a broad segment of the community in each cluster. The SO will help the

women and men of the village to participate in ongoing data collection, analysis and use as part of the monitoring and evaluation system.

6. The SO then facilitates community residents in a series of sessions for creative problem solving activities utilizing participatory methods and tools, to sort out priorities, resolve issues and disputes, and to analyze options. The SO provides access to community members on criteria and information for choosing relevant technologies, and for their operation and management.
7. The community workers of SO are responsible for creating a conducive environment to carry out planning sessions using participatory tools for preparation of the participatory Community Action Plan by the scheme users and their CBO. The CAP consists of a number of sub-plans, which are enumerated below:
 1. A (Safe) Water Supply Surveillance and Management Plan and/or Scheme Plan
 2. A Village Environmental sanitation plan, including latrines, drainage, solid waste disposal, and similar improvements
 3. A Hygiene Education and Sanitation Awareness (HESA) plan
 4. A Village environmental Action Plan (VEAP) for improvement of household and village/area environment
 5. Community Implementation Work plans and related Inputs
 6. A plan for local materials resource mobilization
 7. A community cost contribution, collection, holding and account plan
 8. A community procurement plan which include arrangements, timetable for procurement, and plan for quality control.
 9. A community manpower plan
 10. A SO manpower plan
 11. A plan for operation and maintenance which includes the statement of investment, sources of funding and time table for resource mobilization.
 12. A plan for community self-monitoring and evaluation
8. The SO assists in establishing bank accounts by the CBOs and ensures that villagers' contributions are deposited into the account.
9. During the phase, the SO plans, initiate and conduct intensive health education and sanitation awareness (HESA) campaigns with the active participation of women and men.
10. When the villagers become aware of the effect of using the arsenic contaminated water, the SO should train them to monitor the arsenic situation in the water sources of the village on regular, long-term basis.
11. If there is any person affected by arsenicosis in the community, the SO is responsible take the responsibility of providing appropriate health services to such patients, and to refer patients for advanced services as required.
13. After agreeing on a rough layout plan conceived by the users, the SO technical staff conduct detailed technical surveys, designs, and estimates for the schemes.
13. Based on the field survey and documentation of intended activities, the SO records and submits the Implementation Phase Proposal (on formats provided by the PMU) that include the Community Action Plan (CAP) and the Technical Survey, Design, and Estimates.
15. Co-operate with the SAs/consultants recruited by the PMU, the PMU staff, and extend all necessary co-operation in their work at project offices or sites.

Bangladesh Arsenic Mitigation Water Supply Project (BAMWSP) Dhaka, Bangladesh

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Annex M

BANGLADESH ARSENIC MITIGATION WATER SUPPLY PROJECT (BAMWSP) PROJECT MANAGEMENT UNIT (PMU) IMPLEMENTATION PHASE PARTNERSHIP AGREEMENT

1. Parties to the Agreement

This agreement has been entered into this date of _____ between the Project Management Unit (PMU) hereinafter referred to as PMU and the Support Organization (SO), _____ hereinafter referred to as the SO.

2. Scope Of Work

Under this agreement the SO agrees to undertake the work in accordance with this agreement, the Terms of Reference for the Implementation Phase Agreement dated _____ and the agreed Implementation Phase Proposal dated _____

3. Agreement Period

The SO will commence the work on or about _____ and will complete all activities under this agreement by _____

4. SO Support to CBO

The SO shall be responsible for helping the CBO to understand their responsibilities. The SO shall further be responsible to ensure that CBO fulfills all their responsibilities in accordance with this agreement, the Implementation Phase Proposal, and the Terms of Reference attached to this agreement.

5. SO Staff Input

Under the terms of this agreement, the SO either deposes its existing staff or hires the following staff, on a full or part time basis as specified until the satisfactory completion of the agreement

<u>Full time staff</u>		
Position	Name	No of Months
1 Field Coordinator		
2 Software Supervisor		
3. Junior Engineer		
4. Technician		
5. Community Worker		
<u>Full time or part time staff</u>		
6 Team Leader		
7. Senior Engineer		
8. Accountant		

6. Agreement Financing

The total cost of the SO's assignment during the Implementation Phase is estimated to be Tk. _____ (Taka _____ only). The _____ (SO) will receive from the PMU a total sum of Tk. _____ (Taka _____ only) This amount includes the estimated cost of all activities provided for in this agreement.

7. Schedule of Payments

The total amount to be paid to the SO in three installments hereinafter referred to as Payment #1, Payment #2 and Payment #3. Payment #1, 2 and 3 are provided to cover all the costs incurred by the SO within the agreement. The particulars of these payments are as follows:

Payments	Date	Amount	Percentage
Payment #1			
Payment #2			
Payment #3			
Total			

7.1 Payment #1

Payment # 1 is made as an advance on signing the partnership agreement. The subsequent payment will be made on the basis of outputs achieved for each payment. Narrative progress reports including the inputs and outputs and detailed financial reports must be submitted to the Portfolio Manager. The Portfolio Manager will complete monitoring visits prior to each subsequent payment.

7.2 Payment # 2

Payment # 2 is made after materials are procured and construction activities started by the community. Before payment is made both the narrative progress report and the financial report must be received and approved by the Portfolio Manager. The SO should ensure

- The transparent usage of the fund and the knowledge of the general community regarding the status of the account
- The monitoring the community of the construction work ensuring the correct use and proportion of the materials.
- The continued input of the community and supervisor in conducting regular health education and maintenance training sessions

7.3 Payment # 3

As a prerequisite for payment no 3, the community together with the SO must submit a report on the activities and construction completed. This report is referred to as the Implementation Agreement Completion Report (ICR). On receipt of the report the Portfolio Manager will visit the site and verify the information provided by the SO. S/he will also add information to the report concerning his /her reflections upon the planning phase and impact data and analysis. The Portfolio Manager will submit a final report and will submit it to the Project Director. This is referred to as the Scheme Completion Report (SCR). Based upon this report, the Project Director will assess the performance of the SO and make final payment.

The third payment monitoring visit may be broken into two individual visits if necessary. One visit shortly after completion of the construction can verify the satisfactory completion of the

construction works and the other visit following the finalization of the contracted works to verify the satisfactory completion all supportive software activities.

8. Monitoring and Supervision

The Project Director or any party appointed by the Project Director shall be entitled to monitor the progress of the work on site at any time during the agreement period. The Project Director or any party appointed by the Project Director can visit at any time to the field site or to the offices of the SO. It shall be the responsibility of the SO to cooperate with the Project Director in such monitoring activities.

9. Access to information

The Project Director or any party appointed by the Project Director shall have full access to all information and documents pertaining to this agreement and the project related activities. Upon the request of the Project Director or his representative, these documents will be made available by the SO.

10. Studies in the Project Area

The Project Director or any other party appointed by him shall be entitled to provide support and assistance to the SO and/ or to the CBO and shall be entitled to conduct studies in the project area, at any time. The SO and/ or the CBO will cooperate with the Project Director with regard to these activities.

11. Appointment of Portfolio Manager

The PMU is responsible for appointing a Portfolio Manager to each agreed scheme and to inform the SO and the CBO of the name and details of this person. The Portfolio Manager for this Agreement is Mr./Ms. Further should the Portfolio Manager be changed, the PMU will inform the SO in writing.

12. Maintaining the Books of Accounts

In regard to the SO's Books of Account, the SO shall keep separate bank account and separate books of accounts and financial records as per the guidelines of the PMU and following standard acceptable accounting practices, along with the supporting documents of the funds received, expenditures incurred and the balances. The SO shall ensure that these accounts are kept at the scheme site, that they are properly maintained and available for inspection during field visits. The SO shall take all reasonable steps to further ensure that the CBO publicly displays the status of the CBO account and provides the SO with necessary information, concerning this account, during community meetings.

13. Savings or Balances

If at the end of the Implementation Phase, and after completion of all activities there is any unspent balance fund in the SO Agreement, it will remain with the SO if all outputs are achieved, as this agreement constitutes a lump sum arrangement for services rendered.

14. Rights of the SOs: SOs cannot be held accountable for completion of their TORs if step payments are not made on a timely basis, unless on the basis of previous non-completion of work by the SO. Also, SO staff have the right to training in the project approach and in participatory methods and tools, and it is the obligation of the PMU to arrange such training.

15. Taxes

It is the obligation of the SO to pay any taxes that may be required by law relating to payments made by the PMU to the SO under this agreement.

16. Financial Audit

The SO Books of Accounts shall be audited at the end of the Implementation Phase after the third payment is made. The SO and the CBO shall following Payment #3 and for a period of 12 months thereafter be required to produce the books, records and documents related to these accounts to the auditor designated by the PMU. Any party appointed by the Project Director shall be entitled to check and/ or audit all accounts of the SO.

17. Amendment(s) to the Agreement

Any changes required in this agreement, involving up to a 5% increase in the total contribution of the PMU, may be made with the mutual agreement of the PMU and the SO. Any agreed changes must be documented in writing. Any such increases shall be entirely at the discretion of the Project Director and will only be made when unforeseen events have caused the need for such an increase. Increases that result from negligence on the part of the SO and/ or the CBO will not be entertained.

18. Changes in the Design

Except as the Project Director, PMU may otherwise agree in advance, no changes will be made concerning modifications to the design of the scheme. The Project Director may not agree changes unless there is written evidence that the CBO and the SO have agreed to the proposed changes.

19. Sub-Standard Work

The PMU will withhold payments if any of the components of the scheme are either omitted or constructed to the lesser quality or quantity than designed.

20. Termination of the agreement

The PMU shall have all rights to terminate the agreement and/ or withhold the release of the remaining payments to the SO account after the signing of this agreement if it is found that:

- the agreement cannot be fulfilled satisfactorily due to the poor support and performance of the SO ;
- prerequisite information supplied by the SO was inaccurate and was provided with the intention of misleading the PMU;
- the scheme cannot be feasibly implemented,
- there is mismanagement of funds and materials intended for the scheme,
- there is no effective participation of the beneficiaries in the implementation phase activities;
- the SO and associated CBO fail to submit progress reports and financial statements on time,
- the materials proposed and the brand names of these materials are different from those agreed upon;
- the structures constructed are different from those agreed upon;

21. Dispute/ Arbitration

In the case of a dispute, the parties concerned will make every effort to resolve the dispute through negotiation, in the event that this is not possible the partners will agree to mutually appoint an arbitrator. When these efforts have failed, only then, the dispute will be resolved through the legal system of the country.

22. Agreement

The agreement is prepared in two copies both signed by the PMU and _____ (SO).

Project Director
PMU

Chief Executive/ Chairperson
_____(SO)

Date: _____

Witness 1: _____

Witness 2 _____

Attachments.

- Implementation Phase Proposal
- The Terms of Reference of the Implementation Phase
- Monitoring and evaluation formats for the 2nd and 3rd payment

**BANGLADESH ARSENIC MITIGATION WATER SUPPLY PROJECT (BAMWSP)
PROJECT MANAGEMENT UNIT (PMU)
TERMS OF REFERENCE FOR SUPPORT ORGANIZATIONS (SO)
DURING IMPLEMENTATION PHASE**

A. INTRODUCTION

The purpose of the implementation phase is to complete the water supply schemes as planned in the planning phase. The implementation phase activities, as defined in the CAP, include the construction of water supply schemes, mitigating possible adverse environmental impact, continued hygiene and sanitation education training, sanitation and waste disposal (on a non-subsidized basis) and skill and management training in the community to support operations and maintenance.

Training is provided to SO staff on construction, supervision and plumbing. Service agencies or consultants are to be engaged by the PMU to monitor the quality of construction. The purpose of the consolidation sub-phase is to follow up on the achievements of the community in the provision of water and sanitation facilities through periodic impact monitoring and continued work to improve hygiene and sanitation practices. In addition, the consolidation sub-phase activities help to ensure the capacity of the community to manage, operate and maintain facilities and take optimum advantage of project benefits.

During the Implementation Phase, the SO provides support to the community to undertake the construction of water supply scheme, the hygiene education and sanitation activities, and other activities specified in the Implementation Phase Proposal.

The Support Organization facilitates and provides all technical assistance needed by the Community Based Organization (CBO). The SO shall further be responsible to ensure the quality of the materials, equipment, construction works and activities undertaken

B. SPECIFIC RESPONSIBILITIES

The specific responsibilities that will be carried out by the support organization during Implementation Phase may be described as follows.

1. Water Supply Scheme Construction

The support organization will ensure that the scheme construction must follow the layout plan prepared by the community during the planning phase. The community layout plan should be converted into a detailed design, bill of quantities and costing. The technical design will be the reference for future monitoring of this component. The specification of the construction works are given in the Sourcebook of the PMU.

The SO will supervise the construction. The diploma engineer and overseer from the SO will assist in guiding the supervision. The services of a senior engineer may be hired as consultant or short terms basis, when needed.

2. Sanitation, Waste and Environmental Management

The SO will motivate and educate the villagers to look at overall village cleanliness including protection of ponds, solid and animal waste disposal, mosquito control and wasteland reclamation. The SO will educate and help the communities to make drainage system in the village as a means of water resource protection, mosquito and disease control. Where there is possibility of contamination of water sources through the existing design of latrines, alternative means of human waste disposal should be made by the villagers. The PMU/RPMU, SA may help the CBO with technical

assistance. However, all the activities should be carried out by the villagers on voluntary as well as non-subsidized basis.

3. Procurement and Storage of Materials

The SO assists the community in carrying out the procurement needed for construction and mobilizes the community for collecting the local materials on a voluntary basis and organizes for construction tasks. Fifty percent of the funds required for construction are placed to the CBO Account by the PMU. The SO guides the community to procure the non-local materials and skilled labor needed based on local shopping procurement approach. If requested by the CBO, the SO may act on behalf of the CBO to procure such materials and skilled labor.

The Implementation Phase Proposal includes the Bill of Quantities, the items to be purchased and the costs. The cost of the individual items is reflected in the price norms and relates to acceptable brand names.

Any required changes to the price norms will have to be made with the approval of the PMU prior to the implementation. It is the responsibility of the SO to ensure that the price norms, in relation to the brand names are acceptable to the PMU

4. Support Organization's Manpower

The SO permanent staff should preferably be the same that was engaged during the Development Phase. The permanent field staff are expected to stay in the village during the agreement period. The Team Leader and Accountant are further required to make regular visits to the field and provide support and training/ orientation to the field staff and the community particularly in relation to quality control of the program activities and the keeping of the CBO/ SO books of accounts. The SO should introduce its staff to the whole community and explain what are the time period they are going to stay in the village, their job descriptions and which services the villagers can expect from them.

5. Training Activities

The SO will be willing to receive training from the PMU/RPMU on construction issues, supervision and plumbing. The training courses will be provided for the overseers, diploma engineer and senior engineer associated with the SO.

The SO is required to provide ongoing training in communities to include

- Workshop for CBOs on roles and responsibilities during the implementation phase and post construction refreshers training for CBOs and village maintenance workers (VMWs).
- Training of Masons
- Workshop/demonstration on environmental sanitation and latrine construction
- VMW on-the-job training, and post construction refresher training
- Training on health and maintenance groups on hygiene, sanitation and on water source maintenance.
- Financial Management training for the CBO treasurer.

6. Quality Control of Construction Materials

- 6.1 The SO is responsible to nominate one of its technical staff members, who will be responsible to guarantee that the materials and equipment purchased meet the required standard set by the PMU. S/he is responsible for certifying that the quality and the quantity of the materials match the design estimate and the standards required
- 6.2 The SO is responsible to oversee, that the construction work is undertaken in accordance with the design, the standards required by the PMU and using highest quality of the workmanship
- 6.3 The SO is required to provide the members of CBO with clear information concerning the estimated quantities of inputs required to construct the scheme.
- 6.4 The SO should facilitate and educate the CBO that it is responsibility of the CBO members to ensure that the required quantities of materials are used in the construction of the structures.

7. Financial Management

- 7.1 The SO is required to maintain transparency and acceptable book keeping for all the funds/payments given by the PMU to the SO project account.
- 7.2 Both accounts will be audited by the PMU nominated auditor after completion of the scheme.

8. Monitoring and Evaluation

- 8.1 The SO has the overall responsibility to monitor the quality of the field program; the construction works, health education, sanitation and other activities. The SO will provide the PMU the information about the progress of the field program before the second and third payment
- 8.2. The SO will provide financial statements of the SO and facilitate submission of financial statement by the CBO before the second and third payments
- 8.3 The SO will participate in the annual central review with PMU and SA to discuss success and problems encountered, learn from each other. The forum will create opportunity to review the existing procedure and consider necessary changes.
- 8.4 A monitoring visit is to take place between payment 2 and 3 of the Implementation Phase with the participation of PMU, SO and CBO. It provides an ideal opportunity for practical community monitoring and for the CBO to express its concern.

Bangladesh Arsenic Mitigation Water Supply Project (BAMWSP) Dhaka, Bangladesh

Volume 1: Operations

Annex N

Project Management Unit (PMU) Bangladesh Arsenic Mitigation Water Supply Project (BAMWSP) Dhaka

Implementation Phase Partnership Agreement with CBOs

1. Parties to Agreement:

This agreement has been made and entered on this day, _____ at -----
-----by and between Project Management Unit hereinafter referred
to as the PMU represented by the Project Director, on the one part and
_____(name of CBO), represented
by _____ on the other part and together referred to as the
two parties.

2. Scope of Work:

Both parties are desirous of completing the community-based sub-projects
designed for arsenic mitigation and water supply. The Community Based
Organization (CBO) agrees to undertake the works and activities in accordance
with this agreement and attached CBO Terms of Reference for the
Implementation Phase; and as per the agreed Project Proposal dated
_____, to conduct Implementation Phase Activities in _____
(number) the CBOs/communities, namely

3. Agreement Period:

The CBO _____ will commence work on or about
(dd/mm/yy). and complete all activities under this agreement by (dd/mm/yy).

4. Community Manpower:

Under the terms of this agreement, the CBO must engage Village
Maintenance Worker and Village Health Promoter to undertake the
activities in the Community Action Plan. The CBO will engage the unskilled
labor for carrying of local and non-local materials as well as construction of
scheme. No remuneration will be provided for the community manpower by the
PMU.

5. Contract Financing:

The total cost of the Implementation Phase is estimated at Tk.

_____. (Taka _____ only.) The
_____ (CBO) will receive from the PMU a
total sum of Tk. _____ (Taka _____
_____ only)

which includes the cost of non-local construction materials, tools, skilled labor and transportation.

6. Schedule of Payments:

The total amount to be paid to the CBO shall be distributed between two part payments hereinafter referred to as part payments: Part Payment #1 and Part Payment # 2. Payment will be made by PMU to the CBO through Bank Draft, or by account payee cheques, whatever mode is preferable to the CBO.

5.1 Conditions of Part Payment #1:

Part Payment # 1 will be made provided that :

- The CBO with the support of SO has provided the PMU with satisfactory pro-forma or credit invoices relating to purchase of non-local materials.
- The CBO with the support of SO has provided the PMU with the satisfactory pro-forma or credit invoices relating to all tools specified in the implementation proposal.
- The pro-forma or credit invoices for all the non-local materials and tools thus provided specify the brand names, quantity of the materials to be purchased and the unit price of the individual items to be purchased.

5.2 Conditions for Part Payment #2:

Part Payment # 2 will be made provided that :

- Part 1 of the construction schedule has been satisfactorily completed to the required standards of the PMU.
- Part 1 of the construction has been fulfilled in terms of the brand names of the individual items specified in the pro-forma or credit invoices, provided in respect to Part Payment #1.
- All materials purchased have arrived on the field sites, and utilized in the construction and/or any remaining materials have been properly stored and accounted for.
- All tools specified in the implementation proposal have been purchased, delivered to the site, entered into the stores and accounted for.

-
- The CBO with the support of the SO has provided the PMU with satisfactory pro-forma or credit invoices related to the non-local materials required for construction of Part II of the construction schedule.
 - The pro-forma or credit invoices for all non-local materials and tools thus provided specify the brand names, the quantity of the materials to be purchased and the unit price of the individual items to be purchased.

6. Supervision and Reporting:

The Portfolio Manager will visit the CBO and construction site before payment of Part Payment # 1 and Part Payment # 2.

The PMU or any party appointed by the PMU shall be entitled to monitor the progress of the work on site before the date of part payment # 1 and 2 . The PMU or any party appointed by the PMU can make visit at any time. The CBO should always be willing to cooperate in such monitoring activities.

The PMU or any party appointed by the PMU shall have full access to all information and documents pertaining to this agreement. Upon the request of the PMU or its representative, these documents shall be made available by the CBO.

The PMU or any party appointed by the PMU shall be entitled to check and/or audit PMU related accounts of the CBO at any time.

The PMU or any other party appointed by the PMU shall be entitled to provide support and assistance to the CBO and shall be entitled to conduct studies in the project area, at any time and the CBO will cooperate with in regard to these activities.

7. Maintaining Books of Accounts and Audit:

_____ CBO shall keep separate bank accounts and separate books of accounts for financial records, as per the guidelines of the PMU, along with the supporting documents, of the funds received from PMU, expenditures incurred and the balances. Such records should indicate clear status of the project-related fund received from PMU. The project related accounts of _____(CBO) may be audited at any time during the project period and _____ (CBO) shall produce the books, records and documents to the auditor designated by the PMU.

8. Termination of the Agreement and Penalties:

The PMU shall have the right to reduce the number of the schemes and/ or deduct the payment of the cost and/or withhold the release of the remaining payment to _____(CBO) or terminate the agreement, if it is found, after signing of this contract that:

- information supplied by CBO was inaccurate and was provided with the intention of misleading the PMU,
- the community can not undertake implementation phase activities because of technical, social or any other reason,

- there is mismanagement of the funds by _____ (CBO);
- _____ (CBO) fails to submit reports and financial statements on stipulated time.
- _____ (CBO) fails to complete the Implementation Phase.

However, the (CBO) shall have the right to give its clarification before such deduction of payment, withheld of payment or termination of the contract is made.

9. Additional Costs:

If any cost incurred over the amount stipulated in the contract for the activities due to force majeure required to be accomplished under the contract the _____ (CBO), will not be entitled to any other statutory increase or other payment from the PMU.

10. Taxes:

It is the obligation of the _____ (CBO) to pay any taxes or duties as may be required by NBR (National Board of Revenue) relating to the payments made by the PMU to the CBO under this contract.

11. Disputes/Arbitration:

If over the works, any dispute arises between two parties relating to any aspect of this Agreement, the parties shall first attempt to settle the dispute through mutual and amicable consultation. If the dispute is not settled through such consultation, the matter may be referred to an arbitrator. The decision of the arbitrator shall be final.

12. Agreement:

The Contract is prepared in three copies both signed by _____ (CBO) and the PMU. The CBO will keep one copy of contract and one copy should be given to the SO associated with the CBO..

Project Director, PMU

Chairperson

(CBO)

date _____

date _____

Witness: 1. _____

Witness:2. _____

Attachments

CBO Terms of Reference for Implementation Phase

BANGLADESH ARSENIC MITIGATION WATER SUPPLY PROJECT (BAMWSP) PROJECT MANAGEMENT UNIT (PMU) IMPLEMENTATION PHASE TERMS OF REFERENCE FOR COMMUNITY BASED ORGANIZATION (CBO)

1. Introduction:

During the implementation phase, the schemes that were planned in the planning phase are constructed. The development and education activities continue to help to ensure that the community can take the responsibilities for operation, maintenance and overall management of the scheme. The Community Based Organization (CBO) will be involved in supervising, carrying out, contracting and managing the works with the help of SO. When appropriate, voluntary labor would also be contributed by the CBO and community. The supports extended, responsibilities and activities carried out by CBO during Implementation phase may be listed as follows:

2. Community Cost Contribution

The up-front cash contribution of the community towards the capital costs (1%) as specified in the proposal should be deposited to the CBO bank account before signing of the Implementation Phase Contract. The interest earned from the deposit will be transferred to an Operation and Management (O & M) Fund.

The community contribution towards operation and maintenance costs, as specified in the proposal, should be deposited in the CBO account before signing of the Implementation Phase Contract.

3. Community Manpower

The CBO must engage the following manpower to undertake the activities in the Community Action Plan.

- Village Maintenance Worker
- Village Health Promoter

The CBO will plan the unskilled labor for carrying out of local and non-local materials as well as construction work, divide the work among the households and exempt the disabled. The accounting for the unskilled labor will be as per PMU accounting manual and is dependent on the region and type of technology. No remuneration from the PMU will be provided to the community manpower.

4. Procurement:

The procedures to be followed in respect to procurement are as follows:

- 4.1 The CBO with the cooperation and assistance of the SO will submit two separate itemized lists of the quantities specified for Part 1 and Part 2 as part of their Implementation Phase Proposal. These will be submitted along with and form part of the Implementation Phase Proposal. The formats to assist the CBO and the concerned SO to provide this information will be supplied by the PMU and submitted to the PMU as part of the Implementation Phase Proposal.

-
- 4.2 Following the signing of the contract, the PMU will return the above lists to the CBO and SO. The CBO with the support of the SO will use the list for Part 1 of the agreed Implementation Phase Proposal, resubmit the list updated with the actual brand names to be purchased for each item together with supporting pro-forma or credit invoices.
 - 4.3 The quantities of the materials specified on the lists of Part 1 and Part 2 should allow for some losses or in some cases allow for a built in contingency of material. The CBO must specify that at least 70% of the materials specified in the Bill of Quantities for Part 1 and Part 2, respectively, will be purchased immediately after the Part Payment is made
 - 4.4 The CBO with the support of the SO will then procure the items from the vendors specified in the pro-forma or credit invoices. The CBO is not permitted to make changes in the brand name to be procured and any required changes must firstly be agreed by the PMU.
 - 4.5 The SO will act as guarantor of the procurement and is responsible to ensure the quality of the materials purchased, the brand names of the materials and the quantity purchased in accordance with the design.
 - 4.6 On arrival of the materials on site, the CBO and the SO must certify, that the brand names are those indicated in the pro-forma/ credit invoices and that the quantities are arriving as the same as those purchased.
 - 4.7 After the completion of the construction works of the Part 1, the CBO and the SO will request the Part Payment 2, which is to cover the construction works of Part 2. The PMU must firstly be satisfied, that the construction Part 1 has been completed to the standard required by the PMU.
 - 4.8 The CBO is responsible to receive and check the non-local materials delivered on site by the manufacturers against the invoices, to provide suitable dry storage space and to keep store ledgers. The CBO will engage a storekeeper for the task.

5. Operation and Maintenance

- 5.1 The CBO is responsible for ensuring that an effective maintenance and operations system described in the Implementation Phase Proposal is put into effect.
- 5.2 The CBO will engage the Village Maintenance Worker so that he/ she will participate the construction of the scheme. The CBO shall take care of his/ her remuneration in cash or kind as agreed in the Community Action Plan
- 5.3 The CBO should start the planned measures for regular collection of the operation and maintenance funds from the community.
- 5.4 After the construction is completed, the CBO will concentrate on the operation and maintenance of the water supply scheme, expanding the household sanitation and continuing the health education activities in the village

6. Financial Management

- 6.1 The CBO is required to maintain transparency and acceptable book keeping for all the funds/payments given by the PMU. Necessary support in this regard may be sought and obtained from the SO.
- 6.2 The accounts will be audited by the PMU nominated auditor after completion of the scheme. The CBO and the SO are responsible to ensure that a summary statement of the status of the account is displayed in a public place within the community. They are further required to provide status reports concerning the account to the community

to ensure that the community people have access to and knowledge concerning the account status

- 6.3 The CBO will participate and endorse the PMU's monitoring activities before the second and third payment made to the SO.
- 6.4 The CBO will maintain the time sheets of the SO field staff and present them to the representatives of the PMU, when necessary.
- 6.5 The CBO and the SO members will participate in the Regional Review meetings of the PMU once during the Planning and Implementation Phases.

**Bangladesh Arsenic Mitigation
Water Supply Project (BAMWSP)
Dhaka, Bangladesh**

Volume 1: Operations

Annex O

SERVICE AGENCY CONTRACT FOR CONSULTING SERVICES
SMALL ASSIGNMENTS - TIME BASED

AGREEMENT

THIS AGREEMENT ("Agreement") is entered into this (starting date of Assignment) _____ day of _____, 199 ____ by and between _____ PMU ("Client") having its principal place of business at _____ and _____ ("the Consultant") having its principal office located at _____

WHEREAS, the Client wishes to have the Consultant performing the following and

WHEREAS, the Consultant has agreed to perform the following for the remuneration stated thereafter,

NOW THEREFORE THE PARTIES have agreed the following :

1. **Services** :

The Consultant shall perform the services specified in **Annex A "Terms of Reference and Scope of Services"** which is made an integral part of this Contract. The Consultant shall perform these services as an independent contractor under the general guidance of the Client, and the Consultant's employees shall not act as agents or employees of the Client.

2. **Personnel** :

The Consultant shall provide the Personnel listed in **Annex B "Cost Estimate of Services List of Personnel and Schedule of Rates"** to perform the services described in Annex A.

3. **Term** :

The Consultant shall perform the services specified above during the period commencing _____ and continuing through _____, or any other period as may be subsequently agreed by the parties.

4. **Payment** :

A. **Ceiling** :

For services rendered pursuant to Annex A, the Client shall pay the Consultant an amount not to exceed a ceiling of _____ ; this ceiling includes the reasonable cost of the Consultant's expenses associated with the rendition of the services. The payments made under the Contract consist of the Consultant's remuneration as defined in subclass B. below and of the reimbursable expenditures as defined in subclass C. below. It has been established based on the understanding that payments are inclusive of all of the consultant's overhead and profits as well any tax obligation that may be imposed on the Consultant.

B. Remuneration:

The Client shall pay the Consultant an amount for remuneration as follows. The Client shall pay the consultant for services rendered at the rate(s) per person/month spent¹ / (Or per day spent OR per hour subject to a maximum of eight hours per day spent) in accordance with the rates agreed and specified in **Annex B**.

C. Reimbursables :

Reimbursable expenses shall consist of and be limited to :

- (i) normal and customary expenditures for official travel, accommodation, printing, and communication charges; official air travel will be reimbursed at the cost of less than first class travel and will have been authorized by the Client's coordinator.
- (ii) such other expenses as approved in advance by the Client's coordinator.²

D. Payment Conditions :

Payment shall be made in (currency) no later than 30 days following submission of invoices in duplicate to the Coordinator designated in Article 5.

5. Project Administration :

A. Coordinator :

The Client designates the person named in the Special Conditions of Contract as the Client's Coordinator, the Coordinator shall be responsible for the coordination of activities under the Contract; for receiving and approving invoices for payment; and for acceptance of the deliverables by the Client.

B. Time sheets :

During the course of this work, including field work, the Consultant's employees providing services under this Contract may be required to complete time sheets or any other document used to identify time spent, as well as expenses incurred, as instructed by the Project Coordinator.

C. Records and Accounts :

The Consultant shall keep accurate and systematic records and accounts in respect of services rendered pursuant to Annex:A which will clearly identify all charges and expenses. The Client reserves the right to audit or to nominate a reputable accounting firm to audit the Consultant's records relating to amounts claimed under this Contract during its term and any extension, and for a period of three months thereafter.

6. Performance standard and Rights of the SA :

The Consultant undertakes to perform the services hereunder with the highest standards of professional and ethical competence and integrity and ensure that employees assigned to perform the services shall conduct themselves in a manner consistent therewith. The Consultant shall promptly replace any employees assigned under this Contract that the Client considers unfit or otherwise unsatisfactory.

¹ Select the applicable rate and delete the others

² Specific expenses can be added as an item (iii) in article 4. C.

The Consultant will have the right to timely payments if all conditions of this contract are met. The consultant will receive orientation from the PMU as to the Project Approach, Methods, and details of work to be carried out under this assignment.

7. **Confidentiality** :

The Consultants shall not, during the term or within two years after the expiration of this Contract, disclose any proprietary or confidential information relating to the Services, this Contract or the Client's business or operations without the prior written consent of the Client.

8. **Reporting Obligations and Ownership of Material** :

The reports listed in Annex C "**Consultant's Reporting Obligations**" shall be submitted in the course of the assignment. Any studies, reports or other material, graphic, software or otherwise, prepared by the Consultant for the Client under the Contract shall belong and remain the property of the Client. The Consultant may retain a copy of such documents and software.³

9. **Consultant not to be engaged in certain activities** :

The Consultant agrees that, during the term of this contract and after its termination, the Consultants and any entity affiliated with the Consultant shall be disqualified from providing goods and works for the same project.

10. **Assignment** :

The Consultant shall not assign this Contract or subcontract any portion of it without the Client's prior written consent. The Consultant shall not assign any monies due nor to become due to it hereunder without the Client's prior written consent.

11. **Contract Documents** :

The documents forming the Contract are this Agreement and the attached Annexes A, B and C.

12. **Law Governing Contract and Language** :

The Contract shall be interpreted with the laws of _____, and the language of the contract shall be _____.⁵

13. **Amendment** :

This Contract may not be modified except by prior written consent of both parties.

14. **Dispute Resolution** :⁶

³ Restrictions about the future use of these documents and software, if any, shall be specified at the end of Article B.

⁵ The law selected by the Client is usually the law of its country. However, the Bank does not object if the Client and the Consultant agree on another law. This language shall be English, French or Spanish, unless the Contract is entered with a domestic firm, in which case it can be the local language.

⁶ In the case of a Contract entered into with a foreign Consultant, the following provision may be substituted for Clause 14.

"Any dispute, controversy or claim arising out of or relating to this Contract or the breach, termination or invalidity thereof, shall be referred to and finally resolved by arbitration in accordance with the UNCITRAL Arbitration Rules as at present in force.

Any difference or dispute arising out of the Contract or relating to this Contract, or the branch or invalidity thereof, which cannot be amicably settled between the parties shall be finally settled in accordance with the settlement of disputes rules in force in Bangladesh.

15. Termination :

In the event of termination, the Client shall pay the Consultant for services rendered to the date of termination, and the Consultant shall provide the Client with any reports or parts thereof, or any other information and documentation gathered under this Contract prior to the date of termination.

For the Client
Consultant
Signed by : -
:-
Title : -

For the
Signed by
Title : -

LIST OF ANNEXES

Annex A "**Scope of Services**" per Terms of Reference dated -

Annex B "**Cost Estimate of Services, List of Personnel and Schedule of Rates**"

Annex C "**Consultant's Reporting Obligations**"

ANNEX B

"Cost Estimate of Services, List of Personnel and Schedule of Rates"

(1) **Remuneration of Staff :**

Total	Name	Rate	Time spent
(currency)		(per month/day/hour in currency)	(number of month/day/hour)
(a)	Team Leader		
(b)			
(c)			

(2) **Reimbursable**¹ :

(a)	International Travel			
(b)	Local Transportation			
(c)	Per Diem	<u>Rate</u>	<u>Days</u>	<u>Total</u>
(d)				
(e)				

Sub-Total (2)

TOTAL COST :
Physical Contingency² .

¹ To includes expenses for international travel, local transportation, per diem, communications, reporting costs, visas, inoculations, routine medical examination, portage feed, in-and-out expenses, airport taxes; and other such travel related expenses as may be necessary, reimbursable at cost with supporting documents/receipt, except for per diem (which is fixed and includes housing and subsistence expenses).

² From 0 to 15% of total cost, the use of contingency requires approval of the Client.

Sample Terms of Reference

Technical Support by SAs

for Support Organizations

1. Introduction

The Project Management Unit emphasizes on facilitation of participatory and community based approaches, with balanced roles for women and men in water supply and environmental sanitation services. This includes decentralized planning and implementation through community participation and greater voluntary and private sector involvement in service delivery.

The Project Management Unit undergoes partnership through agreement with Support Organizations (SOs) and Community Based Organizations (CBOs) to plan and implement water and environmental sanitation projects. Support Organizations and schemes are selected on the basis of established eligibility criteria. Since SOs are emerging as an alternative sector for water supply and sanitation service delivery, they require orientation to the technical standards of the PMU and strengthening of their technical capacities as they acquire technical staff including master masons, Jr. Engineers, technicians, and Sr. Engineers.

2.0 Objectives of the Assignment

To provide technology support as mentioned below:

- 2.1 To assist the Support organizations (SOs), mostly NGOs, and communities in the technical aspects of rural water supply and sanitation.
- 2.2 To enhance the technical capabilities of the SOs in preparing, designing and constructing rural water supply schemes;
- 2.3 To assist the PMU by reviewing SOs' work on their technical designs and cost estimates of water supply schemes before submission for final appraisal by PMU.
- 2.4 To review the suitability of the existing standard designs, assess them during the contract period of support organizations and propose improvements based on field experience.
- 2.5.1 To assist in other engineering and technology matters related to water and sanitation.

3.0 Scope of work :

The scope of work in accordance with the objectives in para 2.0 shall include, inter alia, the following :

- 3.1 Develop and conduct on-site training of SOs to enhance their capability for better preparation of rural water supply schemes. This would include :
 - 3.1.1 Conducting on-site training for technical aspects of identification, prefeasibility and feasibility stages of sub-projects. Emphasis will be on hydraulic design and structural detailing of schemes, project cost estimation, and field survey techniques.
 - 3.1.2 Identification of specific areas requiring additional training with regard to technical design and project preparation and conducting training workshops for those areas.
- 3.2 Carry out survey, detailed design and preparation of project report of at least one scheme with designated SOs, simultaneously providing training to the NGO overseer in these skills. Review of other technical designs of SOs.
- 3.3 Drawing from existing materials, prepare simplified easy-to-understand basic design aids for overseer and other technical staff of SOs. This would include:
 - 3.3.1 Presentation of design criteria with reference to flexibility in application
 - 3.3.2 A simple format for preparing scheme report.
- 3.4 Assist PMU in reviewing and evaluating preliminary designs prepared by the SOs before the formal appraisal process. This would include:
 - 3.4.1 Review of scheme designs completed and submitted by SOs;
 - 3.4.2 Recommend needed modifications and improvements in the submitted designs;
 - 3.4.3 Identify major shortcomings and drawbacks in the designs and give comments on need for additional survey or design inputs.
- 3.5 Review existing design standards and their suitability for small, self-provision type of schemes undertaken by communities and SOs and recommend improvements based on experience and set standards of PMU. This will cover careful review of existing SO schemes, skills, and needs related to small systems. The product will be a manual on design standards for PMU.
- 3.6 Assist in determining technology options and other technical matters and issues related to water supply and sanitation schemes.

4.0 Execution of Assignment :

- The consulting assignment will be carried out as per the proposed schedule

- _____(name of firm) will assign proposed engineers and other suitably qualified and experienced staff for the execution of the assignment.

- Number of SOs will be assisted: _____ organizations in
_____ districts:

- Duration of contract: From dd/mm/yy to dd/mm/yy.

- Units of Work:

1. Field-based, on-site training sessions:

2. Field-based, on-site training sessions during construction of SO schemes :

3. Design and preparation of handouts /guidelines for Jr. Engineers and Community Technicians.

4. Field monitoring during construction season (quality of construction)

5. Assisting PMU staff in evaluation of the Implementation Phase Proposals

6. Preparation of a prototype manual of design standards for PMU

7. Assist the RPMU for site appraisal of _____ (no. of schemes) schemes after prefeasibility studies and _____(no. of schemes) schemes after the Planning Phase.

Bangladesh Arsenic Mitigation Water Supply Project (BAMWSP) Dhaka, Bangladesh

Volume 1: Operations

FINANCE MANAGEMENT MANUAL

**FOR SUPPORT ORGANIZATIONS (SOs)
and
COMMUNITY BASED ORGANIZATIONS (CBOs)**

**PROJECT MANAGEMENT UNIT (PMU)
BANGLADESH ARSENIC MITIGATION WATER
SUPPLY PROJECT (BAMWSP)**

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1. Introduction :

Bangladesh Arsenic Mitigation Water Supply Project (BAMWSP) is implemented with supports from the public, educational, non-governmental and private sectors. The PMU (Project Management Unit) will administer and manage the activities of the project. The PMU will respond to proposals and finance a range of interventions for arsenic mitigation. The project would follow a participatory, community-based approach in financing awareness building interventions and water supply schemes in urban and rural communities. Since most rural communities lack the organizational and technical skills to design and construct schemes on their own, they will be assisted by support organizations (SOs) with the requisite skills.

With a view to ensure community participation in planning, designing and construction of schemes for arsenic mitigation, CBOs will be organized with the representatives of users. The through three major phases namely, pre-planning, planning and implementation. The pre-qualified SOs will facilitate the process of participation during the project cycle. Prior to construction of arsenic mitigation schemes in B and C type villages, the users will contribute 1% percent cash capital of project cost. A bank account will have to be operated by the CBO. The cash contribution will have to be deposited to the account before the beginning of construction of the schemes. The community/users will provide with all unskilled labor and local materials required for the schemes, while the cost for skilled labors and non-local materials up to 60% of the scheme cost will be paid by the PMU. The fund for the purpose will be placed to the CBO account through two part payments.

The payment for the services of the SOs will be made through three installments in both planning and implementation phases as in the table below

a) Payment to SO during Planning Phase

Payment number	Description of step of project cycle when payment due	Tentative date
1	On signing the planning phase agreement after completion of prefeasibility studies	6 th month
2	After interventions in the communities in terms of participatory investigations, analysis, organization, decision making planning for type A, B and C.	11 th month
3	After submission of implementation phase proposal	16 th month

b) Payments to SO during Implementation Phase

Payment number	Description of step in project cycle when payment due	Tentative date
1	On signing the agreement	17 th - 18 th month
2	After procurement of materials at the starting of construction	18 th - 19 th month
3	After completion of construction	23 rd - 24 th month

c) Payment to CBOs during Implementation Phase

Payment number	Step in project cycle	Tentative date
01	After approval of implementation phase proposal	17 th - 18 th month
02	After completion of construction and submission of completion report	23 rd - 24 th month

In order to receiving accurate financial statements of funds disbursed to SOs, PMU has developed a standard reporting system to ensure that funds are utilized in a timely way and for the purpose for which they have been provided. The manual will help the organizations to maintain necessary records of financial transactions as stated in the Terms of Reference (TOR).

Along with other supports, the SOs will also assist the CBOs in maintaining the books and records needed for management of CBO fund. During the planning phase, the SOs will assist the CBOs in identifying the relevant tools/forms given as annexes to this manual.

2. General Guidelines and Functions:

2.1 The sequence and frequency of the transactions, as well as the forms to be used in recording transactions and the major accounts functions to be carried out are as follows:

Activities	Sample Form	Frequency
Transactions		As and when it takes place
Preparation of voucher	01	For each transaction
Approval of Payment	Do	Do
Payee's Signature	Do	Do
Posting to General Ledger	02	Daily
Balancing of Ledger	Do	Do
Posting to Cash Book	03	Daily
Balancing of cash book	Do	Do
Preparation of Bank Reconciliation Statement	06	Monthly
Posting to Fixed Assets Register	07	Daily
Preparation of Trial Balance	08	Monthly
Preparation of Receipt and Payment Accounts	09	Prior to submission of financial report
Preparation of Balance Sheet	10	Annually
Stock Ledger	11	Daily
Submission of Financial Report	12	As required by the TOR
Audit		As required by TOR/Annually

2.2 Funds received from PMU, BAMWSP should be deposited to a separate bank account into which no other funds should be deposited. Withdrawals for day to day expenses should be made under the joint signature of the chief executive of the SO, the treasurer and or the chairperson. Payments exceeding Tk. 5,000 should be made by cheque. The bank statement should be included when the financial report submitted to the PMU.

2.2 Budget control is a tool of financial management. BAMWSP approves budget for each line item in the TOR. A variation up to 5 % between line items is permissible as long as the total amount of the grant does not exceed. Any expected variation exceeding the 5% limit must be requested in writing, and approval obtained in writing prior to making the expenditure. All variations in budget and actual expenses of line items must be fully justified and explained in the financial report submitted to PMU.

-
- 2.3 The grantees must report all unutilized grant funds by the given due date stated in the TOR. Written letter must be obtained from PMU, BAMWSP by the SOs with regard to further utilization of the balance fund or to refund to PMU
 - 2.4 A bank reconciliation statement for each account must be prepared within 10 days following the end of each month. Appropriate statements and a certified balance for the closing date should be obtained from the bank prior to preparing reconciliation statement.
 - 2.5 Financial reports relating to the grant must be submitted to PMU by the given due date stated in the TOR. The chief executive, the accountant and or the treasurer should sign the financial report, which should be supported by bank reconciliation statement. Financial report should compare actual receipts and expenditures made with the approved budget. The actual expenditure should be explained in terms of amount and variance exceeding 5% must be explained and justified. The SOs should report their actual expenses in comparison to budget with previous period expenses for the reporting period and the expenses up to date. The financial reporting format is stated in Sample form 12.
 - 2.6 Financial reports should follow the format stated in sample form 12 unless a different format is stipulated in the TOR. All financial reports should be supported by the documents indicated in the TOR.
 - 2.7 The SOs should not deviate from the instructions or formats stated herein. However, if a change is considered necessary to meet the requirement of a particular activity, a written justification of the change should be submitted to procedures discussed herein.

3. ACCOUNTING SYSTEM :

- 3.1 The accounting system is based on an easy to follow double entry book keeping system, which is strictly on cash basis only.
- 3.2 A receipt and payments account should be prepared on the basis of cash transactions as recorded in the cashbook and posted in the ledger, in accordance with the heads of accounts.
- 3.3 Quarterly trial balance should be prepared from the ledger maintained whereby the Receipt & Payment Accounts and Balance Sheet should be prepared in due course of time (as specified in clause).
- 3.4 The objectives of this system is to assist the chief executive in exercising adequate control over the all expenditures and assets acquired as well as to ensure the protection and proper use of assets and the correct recording of financial transactions in the appropriate books and records. In addition, this system aims at safeguarding assets against wastage, fraud, and misappropriation by ensuring accuracy and reliability in the records maintained by employees at different level of the organization. To specify the duties and responsibility of each staff member is a necessary pre-requisite for internal control. Routine checking by project supervisors should be ensured for proper implementation of the system and the performance of staff members.

● 4. Authorization of Payments & Expenditure :

a) Authorization :

- 4.1 For effective control over disbursements it is essential to determine the number and status of person authorized to approve expenditures and sign cheque, the limitation of their authority, and the minimum number of signatories required for operation of bank accounts.
- 4.2 The proposals from the SOs of all the phases should be approved by their Executive Committee prior to submission to the PMU. The progress of attainment should be reviewed by the Executive Committee from time to time.

B) Payments :

- 4.3 For easy access, it is recommended that three persons namely, chief executive, chairman and treasurer of the SO should be signatories of the bank account. All cheques should be issued with the signatures of at least two signatories. Issuance of cheques under a single signature is not permitted.
- 4.4 All payment must be supported by documents such as bills receipts and cash memos . Format BAMWSP-SO:01 should be prepared based on the bills, receipts and cash memos.
- 4.5 In the case of payment by cheque the word "CASH" should be deleted from the top of the voucher. Similarly, the word "CHEQUE" should be deleted for cash payment.
- 4.6 After receiving all supporting document for a payment the Accountant should prepare form sample 01 . He should sign the form, obtain the approval of the chief executive where necessary before the payment is made. Accountant or Chief Executive should make the confirmation of budget balance of the concerned line item before effecting payment.
- 4.7 When disbursing the payments, the Accountant should obtain the signature of the payee or his authorized representative acknowledging receipt of the cheque or cash as the case may be. This signature must be affixed in the appropriate space on sample form 01.
- 4.8 Prior to payment, a copy of the purchase order and a copy of the receipt of the goods should be obtained from the department or person responsible for such receipt, and should be attached to sample form 01.
- 4.9 Prior to payments for services, a copy of the order authorizing the engagement of the person concerned for a particular job or assignment, details of the person like address, work background, etc, and a statement of the completion of the job or assignment should be obtained and attached to form 01. When a cheque payment is made to any firm an official receipt should be obtained. The receipt should be attached to form 01.
- 4.10 Counterfoils of cheques issued should bear the payee's name, amount, the date of issue, and the initials of the signatories.

-
- 4.11 Cheque books/money should always be kept under lock and key under safe custody of the Accountant.
 - 4.12 Cancelled cheques should be retained with the chequebooks. The corner of the cheque should be torn off as a measure of safeguarding against any misuse in the future. The word VOID should be written over the cancelled cheques.
 - 4.13 Payments either by cheque or cash, must be posted to cashbook daily.
 - 4.14 In order to carry out the day to day petty expenses, a petty cash may be maintained for not exceeding Tk. 10,000. The accountant should handle the cash or the cashier specifically assigned for the purpose. The total accumulated petty expenses should be reimbursed from the bank and the expenses posted there to the ledger.

5. Receipts of Funds

- 5.1 The SOs will receive their funds from BAMWSP as grants, subject to the terms and conditions stated in the TOR signed between the SOs and the PMU. Such funds may be provided to the SOs in one or more installments. Information concerning disbursements and the depositing of disbursements in bank will be included in the TOR.
- 5.2 All receipts of money must be entered in the cashbook on the same day they are received.
- 5.3 Confirmation from BAMWSP as to the total amount actually disbursed as against the budgeted amount should be obtained at the end to the project period for audit purpose. This is specially required when there is difference between the figure stated in the TOR and the amount actually received by the SO.

6. Procurement Guidelines :

- 6.1 Economy and efficiency should be the objective of purchase procedures. Items procured should be on or within the budget, at the normal price and should not exceed the budgeted amount.
- 6.2 All procurement should be from bonafide registered firm.
- 6.3 Any alterations, additions or deletion of above is subject to the prior approval of BAMWSP. Procurement should be done by person other than by the accountant.
- 6.4 Procurement is defined as purchase of items / materials outside services like , resource person hiring, payment for training, etc. However, the store entry is needed in the case of purchase of goods whereas satisfaction note is needed for the services.
- 6.5 The SO should have a procurement committee comprising at least of the chief executive or his/her deputy, accountant and a technical person who has the knowledge on the

hardware or software. No quotation should be required for a purchase below Tk. 5,000 and for a purchase above the amount should be obtained from different vendors. The purchase committee will review the quotations for placing purchase order.

7. Cash / Bank Book

- 7.1 All receipt and payment vouchers should be posted to the cashbook / ledger and totaled daily with balance extracted.
- 7.2 When the cashbook is totaled and the cash balance extracted it should be compared with the physical cash in hand.
- 7.3 The cash summary statement print out should always be reviewed and signed by the Chief Executive on the last working day of every week.
- 7.4 A pro-forma of cashbook is illustrated in sample form 03. The cashbook should be printed on both pages and bound in a book for durability and for serving the purpose of the permanent record.
- 7.5 The daily transactions (receipts and payments by individual vouchers) should be posted to the General ledger stating the ledger folio in the Voucher and corresponding Voucher no. to the general ledger for cross-reference.
- 7.6 The cashbook should be totaled at the end of each month to ascertain total transactions during the month, and the balance of cash in hand and at the bank on the closing day. Physical cash in hand should be counted by the officer entrusted with this duty, and should agree with the cash book balance.
- 7.7 The amount of cash in hand should be stated in the cashbook and both the accountant and chief executive should sign and date the cashbook at the bottom of the page.
- 7.8 There may be some debits or credits for bank charges, commission or interest which will appear in the monthly bank statement. These items should be incorporated in the cash book in the following month so that the cash book balances agree with bank balance.

8. Bank Reconciliation :

- 8.1 Within ten days following the end of every month, a bank statement should be obtained from the bank.
- 8.2 Soon after receiving the bank statement from the bank the balance appearing therein should be reconciled with that shown in the cash book by preparing the bank reconciliation statement illustrated in sample form 06.

-
- 8.3 Each month the bank reconciliation statement should be reviewed carefully to investigate long outstanding cheques deposited or issued, or any other item for settlement
 - 8.4 All debits charged by bank for charges or commissions and all credits for the interest and other that appears in the monthly bank statement should be scrutinized carefully before accepting them as correct and before recording those debit / credits in the cash book.
 - 8.5 Cheques older than 6 month from date of issue should be written back into the cash into the cashbook noting the reference number and date of the payment voucher.

9. General Ledger :

- 9.1 A general ledger as illustrated in sample form 02 should be maintained. All transactions (receipts/payments) are to be posted as and when it incurred to the general ledger wherein ledger folio should be opened according to the Line Items under each heads of account.
- 9.2 Posting to the general ledger should be made from the voucher, quoting the date, particular voucher number and amounts. The ledger sheet/page should show the approved budget for each line item and the day to day transactions (receipt/payment,) the cumulative transaction, and the balance available for the future utilization .
- 9.3 At the end of each month ledger sheets should be balanced so that a financial report stating transaction (receipt / payment) can be prepared and submitted to PMU on due date.

10. Fixed Assets :

- 10.1 Where fixed assets such as furniture, typewriter, calculators, refrigerators fans, cars, vans etc. are procured and paid for ; it will be necessary to keep an accurate account of such assets for physical control and inventory.
- 10.2 To meet this requirement a fixed Asset Register form 07 should be completed wherein all particulars of the assets should be posted from the proper accounts immediately after the payment. The fixed assets register should show the details like kind, identification number, value and location of each category of fixed asset held by the project .
- 10.3 An identification number for each category and each fixed asset item should be assigned for easy identification of the assets. The identification numbers should be painted on each item, and the numbers should be indicated on the fixed assets register for each asset.

-
- 10.4 The chief executive should assign an officer to maintain the fixed asset register and make entries therein from the appropriate accounts immediately after the payment for each item is made by the accountant. Someone else should be entrusted with the physical maintenance of the assets and should be responsible for their numbering and location.

11. Stores Accounting :

- 11.1 The storekeeper should maintain a stock ledger for entire receipt and issue of items purchased . The entry should be made in the store ledger showing the quantity, rate specification and reference.
- 11.2 All stocks received and issued should be posted in the stock ledger on a daily basis. The format for the stock ledger is shown in the form 11.

12. Trial Balance :

- 12.1 The accountant must prepare a trial balance for every quarter within ten days of the closing month with the cumulative amount for the period from the general ledger and cashbook on the form 08 showing the entire transactions of the period concerned under main heads of account. The detail annex for all main heads of accounts should also be made ready then and there in the separate sheet.
- 12.2 If the trial balance is not compared, some of the error of commission, compensation, omission should be checked. Likewise the error of posting in between cashbook and ledger should be checked. Further, the difference between the credit and debit balance should be checked.

13. Periodical Receipt and Payments :

- 13.1 A monthly receipt and payment account should be prepared illustrated in form 09 for submission to PMU, BAMWSP.
- 13.2 Balance appearing against each line item in the general ledger should be grouped under separate head of accounts. They should then be posted to the payment side of the receipt / payment account in the manner stated in the form 09.
- 13.3 During each period all receipts should be posted to the receipt side of the account.
- 13.4 The opening cash & bank balance should be stated in this account, if any.
- 13.5 When receipt/ payments are totaled and the cash in hand and cash at bank are determined, the amount should agree with the balance appearing in the cashbook.
- 13.6 Budgeted amounts and actual amounts for both receipt / payment, together with variance in amount and percentage should be stated on form 12 for the purpose of comparison during each required period.

-
- 13.7 The periodical receipt / payment account should be submitted to the PMU office as required by the TOR. The chief executive, accountant and or treasurer/chairperson should sign this account.
- 13.8 The receipt/payment account should be prepared in the same way at the end of the each grant period to provide a total picture of funds received and expended, variation in terms of amount and percentage.

14. Financial Reporting :

- 14.1 An interim financial report for each grant should be submitted by the SOs in the format illustrated in form 12 that should be supported by the following documents.
- a) a receipt/ payment account for the required reporting period.
 - b) a book statement and a bank balance certificate showing the balance in the bank
 - c) cash balance in hand, and
 - d) a bank reconciliation statement for the period in question.
- 14.2 Copies of all documents listed above should be retained by the project for a period of 3 years from the date of ending grant period. The retention of these documents is necessary for auditing purposes.
- 14.3 The financial report should reach PMU office on the date stated in the TOR.

15. Balance Sheet :

- 15.1 The balance sheet must be prepared for every fiscal year at the closing date of the project or at the end of the contract period for reporting to the PMU in the attached form 12 from trial balance.
- 15.2 The balance sheet should show all balances of entire account other than shown in the receipt and payment account with the comparative figure for previous period if available.
- 15.3 The balance sheet must be signed by accountant, the chief executive, treasurer or Chairperson of the Board before forwarding it either for audit or to PMU.
- 15.4 The necessary annexes to the balance sheet should be numbered in order of sequence and attached thereof.

16. Salary Payment :

-
- 16.1 The payment of salary will be made to each staff by separate cheques. For the purpose a salary register or salary sheet should be maintained.
 - 16.2 The payment voucher should be prepared on the basis of actual leave during the relevant month / period. The voucher should represent and reflect the authorized salary and allowances. Salary payment vouchers should be approved by the chief executive, and acknowledged by the payee.
 - 16.3 Salary payments should be stated in the cash book, along with other vouchers.
 - 16.4 Attendance Register should be maintained for all staff.
 - 16.5 Contract letter should be prepared for all staff stating the date of appointment, validity of the contract, the contract amount and any other benefits and other terms and conditions.

17. Audit :

- 17.1 One very important step towards ensuring financial and administrative discipline is a regular audit of the accounts, therefore, the SO should ensure regular audit of its accounts.
- 17.2 PMU will engage auditing firm or internal auditor to audit the funds provided by PMU at any time during the project period or for a period of three years from the date of the end of the grant period.
- 17.3 Project personnel should fully cooperate with the auditors. Queries made by auditor should be dealt promptly and rightly.
- 17.4 All financial documents subject to audit must be preserved and no documents should be disposed even after audit without approval of PMU, BAMWSP.

18. Authority to Define:

All right to define, include, delete etc. of any subject matter stated herein is reserved by PMU, BAMWSP.

Sample 01

**Bangladesh Arsenic Mitigation
Water Supply Project (BAMWSP)**

CHEQUE/CASH PAYMENT VOUCHER

SO Name: _____

Address: _____

Cheque No -----

Voucher No. -----

Date of Cheque _____

Date _____

Bank _____

Amount Tk. _____

Paid to Mr. /Mrs./Messrs.

Taka (in words)

on account of

Head of Account

Prepared by

Checked by

Approved by

Sample 05

**Bangladesh Arsenic Mitigation
Water Supply Project (BAMWSP)**

JOURNAL VOUCHER

SO Name: _____

Address: _____

J/V No.

Date

Particulars	L.F.	Dr	Cr

Prepared by

Checked by

Approved by

Sample 06

Bangladesh Arsenic Mitigation Water Supply Project (BAMWSP)

SO Name : _____

Address: _____

BANK RECONCILIATION STATEMENT

for the month of _____, (Year)

A.	Balance as per bank statement	Tk.	
Add			
B	1 Amount deposited but not credited by bank		
	2. Amount deposited by bank but entered into the cash book		
C.	Total	(A+B)	Tk
Less:			
D.	1. Cheque(s) issued but not presented in the bank	Tk.	
	2. Amount credited by bank but not entered in the cash book	Tk.	
E.	Balance as per cash book	(C-D)	Tk
F.	List of cheques presented in the bank as per D		
	Check no	Tk.	
	Total		
	Prepared by	Approved by	

Useful Hints :

1. Sort your cheques in order of number or date of issue
2. Compare cheques paid with your cash book
3. List outstanding cheques including previous month in D
4. Complete the reconciliation statement with the figures in the appropriate space.
5. Balance in E should agree with the balance of cashbook.
6. Make the bank reconciliation statement at the last page of cashbook of the month.

Sample 07

**Bangladesh Arsenic Mitigation
Water Supply Project (BAMWSP)**

FIXED ASSETS REGISTER

SO Name: _____

Address: _____

1. Group of Asset:
2. Rate of Depreciation:
3. Name of Asset:
4. Estimated Life:
5. Identification No:
6. Model/Type:
7. Manufacturing Country

Date of Purchase	Voucher No	Particulars	Ref	Cash/ Bank Book Folio	Cost			Sale/ Disposal				Depreciation		Closing Balance		Remarks
					No /Qty	Unit Price	Amount	Qty	Unit Price	Cost	Depre- Ciation	Rate	Amount	No /Qty	Amount	

Entered by _____

Accountant _____

Bangladesh Arsenic Mitigation Water Supply Project (BAMWSP)

SO Name : _____

Address: _____

TRIAL BALANCE:

for the Quarter
(from _____ to _____), year

L.F.	Particulars	Note	Debit (Tk.)	Credit (Tk.)
	Grants			
	Technical Supervision			
	Supervision and Support Cost			
	Hygiene and Sanitation Education			
	Community Mobilization			
	Health and Environmental Awareness			
	Supervision Cost			
	Project Support			
	Overhead			
	Bank			
	Cash			
	Total			

Sample 09

Bangladesh Arsenic Mitigation Water Supply Project (BAMWSP)

RECEIPT AND PAYMENT ACCOUNTS

From _____ to _____, Year

SO Name: _____

Address: _____

Particulars	note	Total	BAMWSP	CBO	Total	BAMWSP	CBO
OPENING BALANCE							
RECEIPTS:							
Grants							
Other Receipts							
Total							
PAYMENT							
Technical Supervision							
Supervision and Support							
Hygiene and Supervision							
Health and Environmental Education							
Project Support							
Supervision Cost							
Overhead							
Bank							
Cash							
Total							
CLOSING BALANCE							

Accountant Date :	Chief Executive	Treasurer
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Sample 10

Bangladesh Arsenic Mitigation Water Supply Project (BAMWSP)

BALANCE SHEET

as on _____, Year

SO Name: _____

Address: _____

FUND & LIABILITIES	Ref	Year (1999)			Year (2000)		
		Total	BAMWSP	CBO	Total	BAMWSP	CBO
ACCUMULATED FUND							
Excess of income over expenditure							
RESERVE FUND							
ACCOUNTS PAYABLES							
TOTAL							
ASSETS & PROPERTIES		1999			2000		
	Ref	Total	BAMWSP	CBO	Total	BAMWSP	CBO
FIXED ASSETS							
CLOSING STOCK							
ACCOUNTS RECEIVABLE							
CASH & BANK							
TOTAL							
Accountant			Chief Executive			Treasurer	
Date							

Sample 11

**Bangladesh Arsenic Mitigation
Water Supply Project (BAMWSP)**

STOCK LEDGER

SO Name: _____

Address: _____

Material Item:
Account Head:
Account Code:

Date	Particulars	RECEIPT			ISSUED			BALANCE		
		No./ Quantity	Unit price	Amount (Tk.)	No./ Quantity	Unit Price	Amount (Tk.)	No./ Quantity	Unit price	Amount (Tk.)

Sample 12

Bangladesh Arsenic Mitigation Water Supply Project (BAMWSP)

FINANCIAL STATEMENT

From _____ to _____, Year

SO Name: _____

Address: _____

1. RECEIPTS	First Installment	Second Installment	Third Installment	Fourth Installment	Total
A DIRECT COSTS					
1. Technical Supervision					
2. Supervision and Support					
3. Hygiene and Sanitation Education					
4. Community Mobilization					
5 Health and Environmental Education					
6. Supervision Cost					
7. Project Support					
B. OVERHEAD					
C TOTAL					

2. PAYMENTS	Budgeted Amount	Previous Period Expense	This Period Expense	Total Expenses	Balance	Variance
A DIRECT COST						
1 Technical Supervision						
2 Supervision and Support						
3. Hygiene and Sanitation Education						
4 Community Mobilization						
5 Health and Environmental Awareness						
6 Supervision Cost						
7. PROJECT SUPPORT						
8. OVERHEAD						
C. TOTAL						

3. SUMMARY

Opening Balance	Total Receipts	Total Payment	Closing Balance

**Bangladesh Arsenic Mitigation
Water Supply Project (BAMWSP)
Dhaka, Bangladesh**

Volume 1: Operations

Operations Annex – Q

Sample Rules of the PMU

NOTE

The following is a preliminary draft of “Rules for the PMU”. It has been drafted based on an existing model (without any legal aid) with specific roles for the Steering Committee, PMU Project Director and Secretariat.

It should be thoroughly reviewed by the PMU, IDA and with legal assistance, if necessary.

If desired, additional rules of the PMU secretariat can be inserted, such as compensation levels, terms of service, holidays, etc. The Project Director has received a copy of a similar project with similar specifications (from Nepal), should he want more detail than provided in the draft below.

Please note that the draft indicates that the “Manuals” become part of these Rules. It may be sufficient to make only the Operations Manuals part of the Rules, since changes in other manuals are to be more frequent. The stakeholders should discuss this decision.

If agreed these rules should be signed by the Steering Committee. Its first approval would be a good job to start off the steering committee.

It is suggested that the PMU and the World Bank finalize this Document in the Upcoming Supervision Mission in March of 1999.

**Bangladesh Arsenic Mitigation - Water Supply Project:
Project Management Unit (BAMWSP- PMU)**

Roles and Functions

1. **Name:** The name of the Agency is the Bangladesh Arsenic Mitigation-Water Supply Project- Project Management Unit, the secretariat of which is hereinafter referred to as “PMU”. The Steering Committee of the PMU is hereinafter referred to as the “SC”
2. **Location:** The PMU shall have its head office at Dhaka, Bangladesh, with liberty for it to establish one or more subordinate Regional Project Management Units (RPMU) offices or outlets elsewhere in the country, if so required.
3. **Address:** Project Management Unit (PMU), BAMWSP,Dhaka.
4. **Are of Operation:** The area of operation of the PMU shall be whole of Bangladesh.
5. **Objectives of PMU:** The PMU shall act in the manner of an autonomous body to coordinate, provide funding, and monitor implementation of Bangladesh Arsenic Mitigation-Water Supply Project (hereinafter referred to as “the Project”). The following are the main objectives of the PMU: -
 - i) investigate and continuously monitor arsenic contamination of all drinking water sources in the suspected regions of the country, and provide support for related health education, mitigation, and health measures;
 - ii) continuous assessment of the range of feasible social and technical options being utilized to resolve the problem, and making available a tested range of options so that ever more technically sound, safe and cost-effective solutions are implemented;
 - iii) strategy formulation based on monitoring; and coordination of efforts to strengthen both short term emergency relief responses to the problem and long term handling of the issue as part of regular program efforts;
 - iv) financing of alternative sustainable, reliable and cost-effective water supplies and environmental sanitation services, and of screening and educational interventions, with an emphasis on community-based, demand-oriented approaches, in both urban and rural areas;
 - v) help create and strengthen Community Based Organizations (CBOs) that are organized and empowered to plan, implement and manage their own water supply system over an extended period of time;
 - vi) community information, education, and communication (IEC) campaigns, both as an integral part of service delivery, and as nation-wide or regional media-based communication strategies;

-
- vii) provide health monitoring, and preventative/curative services for affected populations;
 - viii) promote a participatory process by which users in eligible village communities, as defined in Rule 6 (o) can make all key decisions concerning their schemes;
 - ix) improve capacity of government agencies to act as facilitators of a demand-led approach to the water supply and sanitation sector;
 - x) improved NGO/private sector capacity in the water and sanitation sector.

6. Functions: To achieve the above objectives the PMU shall carry out the following functions: -

- i) undertake all activities that may be necessary for the implementation of the project and in particular to achieve the objectives referred to in article 5 above, including;
- ii) act as a facilitator and convenor of the efforts of all concerned organizations, to optimize collaboration, and ensure quality and effectiveness of mitigation efforts;
- iii) provide or arrange necessary financial, technical and institutional support to local beneficiary communities to take a lead role in addressing this problem with the help of support organizations (SOs), notably NGOs, private firms, consultants and contractors;
- iv) facilitate the involvement of other service agencies (SAs) to provide support and to work together as networks engaging in data-gathering/GIS activities; assessment of social and technical options; and in devising ongoing and comprehensive strategies to resolve the arsenic situation. Such SAs would include government agencies, NGOs, private firms, educational, scientific and technical institutions, and local government;
- v) Coordination and management of training programs for personnel of PMU, Regional Project Management Units (RPMUs) and others, e.g. CBOs, village facilitators, NGO's and village communities including Gram Parishad personnel, and primary school teachers;
- vi) act as Secretariat to the Steering Committee under the chairmanship of Secretary of MLGRD, Bangladesh;
- vii) organize conferences, symposia, workshops etc. on matters related to the Project;
- viii) make rules and regulations for the conduct of the affairs of the PMU and add or amend, vary or rescind them from time to time;

-
- ix) establish its own salary structure and benefit structure and to employ, retain or dismiss personnel as required in PMU and RPMUs.
 - x) accept, make, enclose or otherwise execute cheques, drafts, receipts, bills of exchange or other instruments and securities as are required for the conduct of the PMU's business;
 - xi) undertake any legal actions that may be necessary to ensure the fulfillment of contracts made between the PMU and others;
 - xii) enter into contracts without a requirement for government approval, other than by Government representatives on the PMU's Steering Committee;
 - xiii) accept or to provide a grant of money, loan, securities or property of any kind and to undertake and accept the management of any endowment trust, fund or donation not inconsistent with the objects of the PMU;
 - xiv) incur expenditure after drawing up a budget and with due regard for economy and propriety;
 - xv) prepare annual report and accounts of the PMU;
 - xvi) purchase, hire, take on lease, exchange or otherwise acquire property, movable or immovable, and construct, alter and maintain any building or buildings as may be necessary for carrying out the objects of the PMU;
 - xvii) take all such action as may appear necessary or incidental for the achievement of the objects of the PMU;

7. **Direction and Superintendence** : The general direction, management and superintendence of the affairs of the PMU shall be entrusted to the Project Steering Committee (SC) which may exercise all such powers and do all such acts as may be exercised or done by the PMU.

8. **Members of the Project Steering Committee** : The Project Steering Committee shall be composed of following members:

- a. Secretary, Local Government Division (LGD) of the Ministry of Local Government, Rural Development and Cooperatives (MGLRD&C) as Chairman;
- b. Chief Engineer, Department of Public Health Engineering (DPHE);
- c. Joint Secretary, (Water Supply), Local Government Division (LGD);
- d. Representative, Ministry of Water Resources
(not below the rank of Joint Secretary);
- e. Representative, Ministry of Health and Family Welfare
(not below the rank of Joint Secretary),
- f. Representative, Ministry of the Environment and Forests
(not below the rank of Joint Secretary).
- g. Representative, Ministry of Finance
(not below the rank of Joint Secretary);

-
- h. Representative, from the Physical Infrastructure Division of the Planning Commission

(not below the rank of Joint Chief),
 - i. Representative, IMED

(not below the rank of Joint Chief),
 - j. Chairperson, Association of Development Agencies of Bangladesh (ADAB);
 - k. Chairperson, NGO Forum for Drinking Water Supply and Sanitation;
 - l. The Vice Chancellor (or his representative till he/she holds a full time job in the said University), Dhaka University;
 - m. The Vice Chancellor (or his representative till he/she holds a full time job in the said University), Bangladesh University of Engineering and Technology;
 - n. Project Director PMU/ BAMWSP.

A copy of the Rules of the PMU certified to be the correct copy by the members of the first Project Steering Committee is filed along with these Rules.

Bangladesh Arsenic Mitigation - Water Supply Project: Project Management Unit

Rules

1. **Name:** The name of the Agency is the Bangladesh Arsenic Mitigation-Water Supply Project: Project Management Unit, the secretariat of which is hereinafter referred to as “PMU”. The Steering Committee of the PMU is hereinafter referred to as the “SC”
2. **Headquarter of the PMU:** The PMU shall have its head office at Dhaka, Bangladesh with liberty for it to establish one or more regional offices or outlets elsewhere in the country, if so required.
3. **Address of the PMU:** PMU, BAMWSP,Dhaka.
4. **Short Title:** These Rules shall be called “BAMWSP-PMU Rules”
5. **Scope and Application:**
 - (i) These Rules shall extend to all the units and activities of the PMU.
 - (ii) These Rules shall come into force from the date of signature of the GOB/IDA Agreement
6. **Definitions:** In these Rules unless the context otherwise requires:
 - (a) The “PMU” shall mean the Project Management Unit of the Bangladesh Arsenic Mitigation-Water Supply Project.
 - (b) The “Steering Committee (SC)” means the committee formed as noted above which guides the project as its Board.
 - (c) The “RPMU” shall mean the regional sub- unit of PMU to supervise the Project work of the project at regional and at district(s) level.
 - (d) “The Chairman” means the Chairman of the Steering Committee as referred to Rule 10.
 - (e) The “Ex-Officio Secretary” means the Ex-Officio Secretary of the Steering Committee as referred to Rule 11 and The Project Director of the Bangladesh Arsenic Mitigation-Water Supply Project.
 - (f) The “Project Director” means the Ex-Officio Secretary of the PMU appointed by the Government of Bangladesh as referred to Rule 11.
 - (h) The “Government” means the Government of Bangladesh.
 - (i) “Secretariat” refers to the Project Director and staff of PMU who are responsible for implementation of all the activities of the PMU.
 - (j) “Project” means Bangladesh Arsenic Mitigation-Water Supply Project (BAMWSP).

- (k) “LGD” means Local Government Division of the Ministry of Local Government Rural Development and Cooperatives (LGRD&C).
- (l) “Health Ministry” means Ministry of Health and Family Welfare of Bangladesh.
- (m) Words imparting the singular number also include the plural number and vice-versa.
- (n) Words imparting the masculine gender also include feminine gender.
- (o) “Eligible Village community” means a village or habitation, meeting the selection criteria of need, cost recovery, social and technical viability, and environmental soundness as established by the PMU.

7. **Project Steering Committee: The general direction, management and superintendence of the affairs of the PMU shall be entrusted to the Project Steering Committee (SC) which may exercise all such powers and do all such acts as may be exercised or done by the PMU.**

8.(12) Members of the Project Steering Committee : The Steering Committee shall consist of the following members:

<u>Sl. #</u>	<u>Members</u>	<u>Designation</u>
1.	Secretary, Local Government Division (LGD) of the Ministry of Local Government, Rural Development and Cooperatives (MGLRD&C);	Chairman
2.	Chief Engineer, Department of Public Health Engineering (DPHE);	Member
3.	Joint Secretary, (Water Supply), Local Government Division (LGD);	Member
4.	Representative, Ministry of Water Resources (not below the rank of Joint Secretary);	Member
5.	Representative, Ministry of Health and Family Welfare (not below the rank of Joint Secretary),	Member
6.	Representative, Ministry of the Environment and Forests (not below the rank of Joint Secretary).	Member
7.	Representative, Ministry of Finance (not below the rank of Joint Secretary);	Member
8.	Representative, from the Physical Infrastructure Division of the Planning Commission (not below the rank of Joint Chief)	Member

<u>Sl. #</u>	<u>Members</u>	<u>Designation</u>
9.	Representative, IMED (not below the rank of Joint Chief),	Member
10.	Chairperson, Association of Development Agencies of Bangladesh (ADAB)	Member
11.	Chairperson, NGO Forum for Water Supply and Sanitation	Member
12.	<u>The Vice Chancellor (or his representative till he/she holds a full time job in the said University), Dhaka University</u>	Member
13.	<u>The Vice Chancellor (or his representative till he/she holds a full time job in the said University), Bangladesh University of Engineering and Technology</u>	Member
14.	Project Director, PMU/BAMWSP	Ex-Officio Secretary

9.(18) Functions and powers of the Steering Committee;

- (i) Save as herein expressly provided as having been agreed by the Government/PMU and IDA ,all the duties, powers, function and rights, whatsoever, consequential and incidental to the carrying of the objectives of the PMU shall only be exercised or performed by the Steering Committee.
- (ii) In particular and without prejudice to the generality of the foregoing provision, the Steering Committee shall :-
 - (a) make, amend or repeal any Rules relating to administration and management of the affairs of the PMU subject to the observance of the provisions contained in the Rule.
 - (b) consider the annual budget and the annual action plan, half-yearly progress report, and its subsequent alterations placed before it by the Ex-Officio Secretary from time to time and pass it with such modifications as the Steering Committee may think fit.
 - (c) accept donations and endowment or give grants upon such terms and conditions as it may think fit.
 - (d) delegate its powers, other than those of making rules, to the Chairman, Ex-Officio Secretary or other authorities as it may think fit.
 - (e) appoint committees, sub-committees and Boards etc. for such purpose and on such terms as it may deem fit, and to remove any of them.
 - (f) oversee the recruitment of all the key administrative and technical staff of the PMU.

-
- (g) constitute a sub-committee to scrutinize and approve the overall portfolio, by batches, of village subprojects, as recommended by the Project Director.
 - (h) Approve the eligibility criteria set forth in the PMU rules for selection of Support Organizations (SOs) and community projects;
 - (i) set policy for the Secretariat of the PMU in conformity with the policy guidelines established by the GOB and by the Agreement reached with IDA.
 - (j) monitor the financial position of the Secretariat of the PMU in order to ensure smooth income flow and to review and approve annual audited accounts.
 - (k) do generally all such acts and things as may be necessary or incidental to carrying out the objectives of the PMU or any of them. Provided that nothing herein contained shall authorize the Steering Committee to do any act or to pass any rules which may be repugnant to the provisions hereof, to the powers hereby conferred on the Steering Committee and other authorities, or which may be inconsistent with the objectives of the PMU.

10.(19) Powers and Duties of Chairman:

The Secretary, Ministry of Local Government, Rural Development and Co-operatives shall be the Chairman of the Steering Committee and shall preside over all meetings of the same. The chairman may himself call, or by a requisition in writing signed by him, may require the Ex-Officio Secretary to call, a meeting of the Steering Committee at any time and on the receipt of such requisition the Ex-Officio Secretary shall forthwith call such a meeting. The chairman shall enjoy such powers as may be delegated to him by the Steering Committee.

11.(20) Appointment, Powers and Duties of the Ex-officio Secretary:

- i. The Ex-Officio Secretary of PMU shall be appointed by the Government of Bangladesh in order to facilitate the development and operationalization of the PMU and its secretariat.
- ii. The Ex-Officio Secretary shall be supervised by and responsible solely to the Steering Committee. The Ex-Officio Secretary shall liaise with the Government of Bangladesh and the World Bank for any matter pertaining to the day to day operation of the PMU and its secretariat.
- iii. The Ex-Officio Secretary shall have overall responsibility for planning and executing the work of the secretariat, for supervising the work of the technical units, directing and overseeing implementation through the Secretariat, financial and technical officers.
- iv. S/he may approve all contracts and agreements less than USD \$25,000, or equivalent.

-
- v. The bankers of the PMU shall be appointed by the Ex-Officio Secretary (Project Director) with the approval of the Steering Committee. All funds of the PMU shall be paid into the PMU's account with the said bankers.
 - vi. The Ex-Officio Secretary shall also perform such functions as may be delegated to him/her by the Chairman and or Steering Committee from time to time.

12. (8)Terms of the Members of the PMU:

The membership of the ex-officio members of the PMU shall terminate when he ceases to hold the office by virtue of which he was a member and his successor to the office shall become such member.

13. (10)Change of Address:

If a member of the PMU changes his/her address he/she shall notify his/her new address to the Ex-Officio Secretary, who shall there upon enter his/her new address in the roll of members. But if a member fails to notify his/her new address the address in the roll of members shall be deemed to be his/her address.

14. (11)Vacancy:

Any vacancy in the PMU or in the Steering Committee shall be filled in by the authority entitled to make such appointment. No act or proceedings of the PMU or of the Steering Committee shall be invalid merely by reason of the existence of any vacancy therein or of any defect in appointment of any of its members.

15.(13)Meeting and Proceedings:

- (a) The Steering Committee of the PMU shall meet ordinarily on a quarterly basis at Dhaka or at such other convenient place as may be fixed by the Chairman. Provided that the Chairman may whenever he thinks fit, direct the Ex-Officio Secretary to call a special meeting.
- (b) For every meeting of the Steering Committee a notice of not less than ten clear days specifying the place, date, time and agenda of the meeting and in case of special business, the general nature there of shall be given to all members. But in case of emergency the Chairman may reduce the above period of notice to such number of days as he deems fit in the circumstances of the case.
- (c) Every meeting of the Steering Committee shall be presided over by the Chairman or in his absence by a member selected by the members present.
- (d) Each member including the member presiding at the meeting of the Steering Committee shall have one vote but the presiding member shall also have a casting vote in addition to his vote as a member in case of equality of votes. All the matters shall be decided by a majority of votes.

16.(14)Quorum:

Not less than seven members of the Steering Committee shall constitute the quorum at their respective meeting. A fresh meeting must be convened by the Ex-Officio Secretary in case this requirement of quorum is not met at any meeting. At such adjourned meeting no quorum shall be necessary and the members present may transact the business for which the meeting was called.

17. (9)Roll of Members:

The PMU shall maintain a roll of members at its registered office and every member shall sign the roll and state there in his/her rank or occupation and address. No member shall be entitled to exercise rights and privileges of a member unless he/she has signed the roll as aforesaid.

18.(16)Minutes:

A copy of the minutes of the proceedings of each meeting shall be furnished to the Steering Committee members as soon as possible after the completion of a meeting. Proceedings of every meeting signed by the Chairman shall be properly kept by the Ex-Officio Secretary and shall be read out at its next meeting and confirmed either with or without amendments as the case may be.

19.(15)Resolution:

- (a) A member after giving notice of fifteen days or with the permission of the Chairman can move resolution at a meeting of the Steering Committee.
- (b) Any business which it may be necessary for the Steering Committee to perform may be performed by a resolution in writing circulated among all its members and any such resolution circulated and approved by a majority of the members recording their consent of such resolution shall be as effective and binding as if such resolution had been passed at the meeting of the Steering Committee as the case may be.

20. (33) Annual Meeting of the Steering Committee:

The PMU shall hold an annual SC meeting every year and not more than 15 (fifteen) months shall elapse between two successive annual meetings. The Annual Activity Report, and the Auditor's Report shall be placed at the Annual SC Meeting of the PMU for its consideration and approval.

21.(17)T.A. Rules:

The Project Steering Committee shall make rules for traveling and daily allowances in respect of the journeys undertaken by employees, members of the PMU or the Steering Committee, or the committees, sub-Committees or Boards in connection with the business of the Steering Committee.

22. SECRETARIAT:

The Steering Committee with the assistance of the Project Director / Ex-Officio Secretary shall establish a Secretariat constituting of technical, administrative and financial professionals and staff to serve as the project implementation arm of the PMU.

23.(22) Powers and Responsibilities of the PMU Secretariat:

The Secretariat consists of the Project Director (Ex-Officio Secretary) and staff. As the implementation arm of the PMU it shall exercise day to day management of the PMU's activities and shall have two main functions--program and financial management including the disbursement of funds. The PMU shall not be directly operational and shall not implement any schemes directly by hiring its own contractors. In particular, the PMU shall be responsible for:

- (a) Selecting and assisting Support Organizations (SOs) and communities (rural) and municipalities (urban) to develop detailed implementation plans and proposals for all components of on-site mitigation options, and managing NAMIC and TAG and capacity building activities.
- (b) Contracting out all phases of the project to appropriate entities.
- (c) Making grants/subsidies, issuing contracts or arranging other kinds of agreements with the range of organizations / institutions involved in the project and disbursing funds for the implementation of planned activities.
- (d) Coordinating all project activities.
- (e) Monitoring the implementation of activities and utilization of funds disbursed.
- (f) Hiring local consultants, technical assistance, and service agencies.
- (g) Preparing regular implementation and financial reports for the Steering Committee and donors/lenders

24.(34) Common Seal:

The PMU shall have a common seal of such make and design as the Steering Committee may approve.

25.(23) Funds:

- (1) The funds of the PMU shall consist of the following :-
 - (a) **recurring and non-recurring funds made available by the Government of Bangladesh .**
 - (b) Income from investment.

-
- (c) Income from other sources.
 - (d) Grants, loans, donations or assistance of any kind from foreign Government and other concerned agencies with prior approval of the GOB.
- (2) There shall also be a special fund, which would consist of :-
- (a) Such amount as are received with a specific condition that income thereof alone shall be used for the purpose of the PMU. (with the **Principle** being left intact).
 - (b) Such other amount as **Steering Committee** may decide to divert from the regular fund to the special fund to be used in the manner specified in clause(a).

26.(24) Operation of the Funds and Accounts:

The funds and bank account of the PMU shall be operated jointly by the **Project Director** and **Head of the Administration and Financial Unit** of the PMU, who may hereafter be appointed by the PMU.

27. Audit:

The accounts of the PMU shall be audited by a Chartered Accounts Firm to be appointed by the **Project Director on approval from the Project Steering Committee**. The nature of the audit to be applied and the detail arrangement to be made in regard to the form of accounts and their maintenance and the presentation of the accounts for audit shall be prescribed by the Rules to be framed by the Steering Committee. The Auditor shall also submit a report showing the exact state of financial affairs of the PMU. The auditor shall certify the copies of the balance sheet and the auditor's report. With regard to agreements with external donors and IDA their rules regarding audit shall be applied as per agreement of the GOB/PMU with them.

28. (26) Annual Report:

The Project Director shall prepare an annual report of the proceedings of the PMU and all work undertaken during the year **and he/she shall submit it to the Project Steering Committee for approval. The PMU shall submit the approved Annual Report and Audited accounts to the relevant authorities .**

29. (38) Records of the PMU:

The PMU shall keep in its registered office proper books of accounts, in which should be entered accurately -

- (a) All sums of money received and the source thereof, all sums of money expended by the PMU and the object or purpose for which such sums is expended.
- (b) The PMU's assets and liabilities.

-
- (c) The other records Shall be :-
- (1) Agenda Register.
 - (2) Membership Register.
 - (3) Proceeding Register.
 - (4) Cash Book.
 - (5) Records of the employees of the PMU.
 - (6) Records of the Accounts and Claims

30. (27) Properties of the PMU :

All properties of the PMU shall belong to the PMU itself. The income and the property of the PMU shall only be applied towards the promotion of the objectives as set forth in the Rules of the PMU, subject to such terms and conditions as the Steering Committee may impose in respect of expenditure to be incurred from grants sanctioned to the PMU from time to time. The PMU shall:

- (a) seek and receive grants, loans and such other goods and materials as the Government of Bangladesh may sanction from time to time.
- (b) provide funds to the relevant units of PMU for disbursement to public and private sectors;
- (c) organize and arrange for supply of equipment and other inputs to *appropriate organizations*;
- (d) arrange and organize infrastructural support to *appropriate organizations*;
- (e) draw, accept, endorse, discount and negotiate with appropriate authorities promissory notes, bills of exchange, cheques or other negotiable instruments.
- (f) invest the funds or the money entrusted to the PMU as it deems fit subject to the specific terms of grants received, if any.
- (g) purchase, take on lease, and accept as gift, construct or otherwise acquire any property, movable or immovable, wherever suitable, which may be necessary.
- (h) employ directly or indirectly by grants to other institutions/persons to further the program to be undertaken/supported by the PMU.
- (i) to enter into contract with any Authority, Local self-government, Non-Government organization or otherwise to obtain from such Government or Authority, Local self-government and/or Non-Government organization any rights, privileges, concessions, financing or otherwise that the PMU may deem desirable to obtain and carry out, exercise and comply with the agreements, rights, privileges and concessions so required in furtherance of the objects of the PMU.
- (j) do all other things as may be considered necessary by the PMU and may be incidental or conducive to the attainment of its objectives.

No portion of income or property of the PMU shall be paid or transferred directly or indirectly by way of profits to persons who may at any time be or have been members of the PMU or by any person claiming through such members provided that nothing herein contained shall prevent payments in good faith of remuneration, allowances or honorarium in return for any service rendered by them to the PMU.

31. (28) Suits and Proceedings:

The PMU may sue or be sued in the name of the PMU through its Project Director/Ex-Officio Secretary.

- (a) No suit or proceeding shall abate by reason of any vacancy or change in the holder of the office of the Chairman, the Ex-Officio Secretary or any office bearer authorized in this behalf.
- (b) Every decree or order against the PMU in any suit or proceeding shall be executable against the property of the PMU and not against the person or the property of the Chairman, the Ex-Officio Secretary or any office bearer.
- (c) Nothing in sub-rule (b) above shall exempt the Chairman, the Ex-Officio Secretary or office bearer of the PMU from any criminal liability under the rules or entitle him to claim any contribution from the property of the PMU in respect of any fine to be paid by them on conviction by a criminal court.

32. (31,32) Manuals as Part of Rules:

The Steering Committee shall approve details of rules through the PMU Manuals for Operations, Training, Monitoring and Evaluation, and the Sourcebook. These shall constitute part of these Rules. The Manuals (1st Draft version) shall become part of these rules upon completion and approval by IDA and the Steering Committee

33.(29)Modification of the Objectives of the PMU:

Subject to the prior unanimous approval of the Government of Bangladesh and in accordance with agreements reached with its donors/lenders, PMU may alter or extend the purpose for which it is established:

34.(30) Modification of the Rules:

These Rules or any Rule made by the Steering Committee of the PMU hereafter may be altered or canceled at any time by a resolution passed by a majority of 2/3 rd members present at any meeting of the Steering Committee duly convened for the purpose. The modified Rule/ Rules shall be deemed to have come into force in accordance with the provisions of the Rules.

35.(34)Contracts:

- (a) All contracts and other instruments for and on behalf of the PMU shall be made in the name of the PMU and shall be executed by the persons authorized by the Steering Committee.
- (b) No contracts for the sale, purchase or supply of any goods or material, or services shall be made for and on behalf of the PMU with any member of the Committee or his relatives or firm in which such member or his relative is a partner or shareholder or with any other partner or shareholder of a firm or a private company in which the member is a partner or director. This, however, does not exclude the partner organizations represented on the steering committee including: NGO Forum for Water Supply and Sanitation , ADAB, BUET or the Dhaka University from providing services or goods on a contractual basis for support of the objectives of the Project. However, in the case of any award of contract to the same, the member of these agencies shall remain absent from any discussion and decision of the PMU for making such award.

36. (37) Notice:

Notice may be served upon any member of the PMU either personally or by sending it through post in an envelope addressed to such member at the address mentioned in the roll of members. Any notice so served by post shall be deemed to have been served on the day following that on which the letter, envelope or wrapper containing the same is posted and in proving such service it shall be sufficient to prove that the cover containing such notice was properly addressed and put into the post office.

37. (36) Dissolution of the PMU:

The dissolution proceedings shall be made by 2/3 rd members of the Steering Committee and Agreement by the Government of Bangladesh/MGLGRD&C.

We, the following members of the Steering Committee, certify that the above is the correct copy of the Rules of the PMU.

Sl.#	Name and Address	Occupation	Designation	Signature
1.		Secretary, Local Government Division (LGD) of the Ministry of Local Government, Rural Development and Cooperatives (MGLRD&C)	Chairman	
2.		Chief Engineer, Department of Public Health Engineering (DPHE)	Member	
3.		Joint Secretary, (Water Supply) LGD	Member	
4.		Representative, Ministry of Water Resources (not below the rank of Joint Secretary);	Member	

5.		Representative, Ministry of Health and Family Welfare (not below the rank of Joint Secretary),	Member	
6.		Representative, Ministry of the Environment and Forests (not below the rank of Joint Secretary).	Member	
7.		Representative, Ministry of Finance (not below the rank of Joint Secretary);	Member	
8.		Representative, from the Physical Infrastructure Division of the Planning Commission (not below the rank of Joint Chief),	Member	
9.		Representative, IMED(not below the rank of Joint Chief),	Member	
10.		Chairperson, Association of Development Agencies of Bangladesh (ADAB)	Member	
11.		Chairperson, NGO Forum for Drinking Water Supply and Sanitation	Member	
12.		Representative of the Vice-Chancellor, Dhaka University	Member	
13.		Representative of the Vice-Chancellor, Bangladesh University of Engineering and Technology;	Member	
14.		Project Director, PMU/BAMWSP	Ex-Officio Secretary	

**Bangladesh Arsenic Mitigation
Water Supply Project (BAMWSP)
Dhaka, Bangladesh**

Volume 1: Operations

Annex R

Sample Terms of Reference for the Professional Staff of the PMU and RPMU Staff

Project Director

General:

The Project Director is the senior position within the Project Management Unit (hereafter referred to as PMU). The Project Director will be responsible to operationalize, manage, and implement the policies and decisions of PMU so as to fulfill its mandate. The Project Director will work closely with NGOs and private sector Support Organizations as part of oversight of the Project. The Project Director will have a particular focus on ensuring that all PMU operations and functions are performing, and retains overall responsibility for personnel and their performance. The Project Director is Secretary of the Steering Committee and provides them with information needed and recommendations for appropriate action. He is also a member of the any SC subcommittee that might review STAC submissions. The Project Director is responsible for ensuring qualitative output of the PMU's work in terms of providing services which ensure greater equity and sustainability of arsenic mitigation- rural water supply and sanitation services in Bangladesh. The Project Director also ensures that Project Management Unit's operations remain adaptive and responsive to lessons learned and demands from the field.

Specific:

1. Execute the policies, annual programs and budgets as approved by the Steering Committee.
2. Manage the overall program of the PMU, including supervision of Administration and Finance, Planning and Operation, NAMIC, TAG and units and related operating systems. Provide technical inputs as needed.
3. Oversee personnel management, including recruitment, handling of deputations, and management of staff.
4. Liaise with partner agencies (Support Organizations and Service Agencies) in all matters pertaining to solicitation, contracting and completion of community action plans, village scheme implementation, and provision of related services to communities.
4. Oversee the analysis of program outputs and related processes and provide direction in the preparation of appropriate mechanisms, systems, tools and guidelines as a result of the project.
5. Oversee the progress of the portfolio of subprojects. Evaluate progress of the portfolio. Chair Staff Technical Appraisal Committee Meeting (STAC) and review and finalize their recommendations on specific SO selection and partnership agreements.
6. Supervise the Administrative/Financial staff in maintenance of the administrative, personnel and financial records of the PMU.
7. Liaise with all agencies working in the sector, and help evolve appropriate policies and support for further development and improvements of the water and sanitation sector in Bangladesh.

Finance Mgt. Specialist (Consultant)

Overall:

Oversees the finance and administration unit of the PMU, including overall financial management, project related procurement and contract management Undertakes detailed management of Support Organization and Service Agency procurement for the PMU. Prepares and tracks budget information and advises management Manages contracts for the Planning Phase and Implementation Phase, and ensures thorough documentation of all contract and procurement financial information related to subproject implementation by SOs/communities and technical services provided by Service Agencies. Takes responsibility for overseeing procurement issues related to SO/CA contracts, and provides logistical support to contractors. Oversees finance management of the PMU, and manages the Accountant, Office Manager and Cashier Provides financial and management information on the status of all contracts.

Specific:

- 1 Oversees contract management, and ensures consistency in meeting contract requirements by Support Organizations, Service Agencies and Communities.
- 2 Management of procurement issues related to subprojects and oversight of internal procurement of the PMU
- 3 Oversees financial management of the PMU and RPMUs Supervises the Acct. Management Specialist and Accounts Officer. Retains oversight of the RPMU, field-based accountants, and provides assistance to ensure accounts are properly maintained. Provides financial reports and assists in PMU audits
- 4 Ensures personnel policies are maintained. Supervises Account Mgt. Specialist in carrying out routine personnel management functions
- 5 Attends Staff Technical Appraisal Committee (STAC) meetings as member
- 6 Prepares financial reports and analysis of project activities
- 7 Ensures timely management of contract payments and assists Support Organizations and Service Agencies in reporting requirements as necessary.
- 8 Provide reports on contract status to portfolio and senior management for appropriate and timely action Careful documentation of contract decisions
- 9 Ongoing measurement of unit costs Careful documentation of contracting processes, costs, and time allocations

Account Management Specialist (Consultant)

General:

The Account Mgt Specialist is responsible for the tracking the financial transactions of the PMU, and maintaining the computerized accounts and financial records of the PMU/RPMUs. The Account Mgt Specialist prepares financial reports and statements for management of the PMU, and assists in administrative support to PMU operations.

Specific:

- Maintain accounts and supporting documentation
- Prepare periodic statements of accounts
- Reconcile the PMU Bank Account
- Assist in maintenance of all procurement records
- Maintain office inventory and check on quarterly basis
- Maintain office stores and records
- Check receipt of office goods procured by the PMU
- Assist in other administrative tasks as required
- Assist in audits of the PMU
- Prepare estimated cash flows together with the Project Director
- Check on whether contractors are following guidelines
- Maintain database to track payments and financial/narrative reports
- Inform Service Agencies and Support Organizations when financial reports are overdue
- Maintain travel records
- Manage travel advances and settlement of claims

Accounts Officer (Consultant)

General:

Assist the Account Mgt Specialist in bookkeeping of PMU accounts and in handling of disbursements and petty cash expenditures

- Provide support to accounting officer and cross-check accounts periodically
- Manage petty cash
- Ensure expenditures are made in accordance with PMU procedures

Administrative Officer

General:

The Administrative Officer manages the office of the PMU, and oversees logistics, transportation, and internal procurement. S/he is also responsible for detailed personnel management functions. The Administrative Officer assists in financial and contract management as required.

Specific Duties:

1. Procurement

- Follow PMU procurement guidelines in making local purchases
- Conduct purchasing of project goods and supplies
- Maintain procurement records
- Obtain clearances for duty free project purchases
- Maintain a database on suppliers as needed for the project
- Maintain database to track payments and financial/narrative reports

2. Logistics:

- Help arrange staff travel locally and internationally
- Help ensure that timely delivery of resources, financial and material as per contracts
- Make physical arrangements for project activities, including all logistical aspects of workshops, field trips, etc
- Other logistics as required by the project
- Manage maintenance of office equipment and vehicles

3. Personnel:

- Maintain payroll and payroll records
- Maintain personnel records, including sick/annual/admin leave records
- Supervise support staff
- Maintain consultant records including documentation of payments, records of work, reports
- Maintain a national consultant roster

Secretary to the PD

General:

Assists the Project Director in liaison and in providing general oversight to the day-to-day operations of the PMU. Assists in trouble shooting and improvement of support systems for the PMU
Provides general secretarial support

Specific:

1. Prepares records of the project and provides information systematically to all parties in the PMU
2. Prepares appropriate documentation and assists in liaison with the Steering Committee, and LGD
5. Documents all proceedings of the Steering Committee and STAC of the PMU.
6. Assists the Project Director in communication with the RPMUs and related issues
7. Provides general management assistance to the project director as required.
8. Office Management and Supervision of Support Staff
9. Provides general secretarial support to the PD:
 - Complete word processing of documents
 - Prepare spreadsheets and databases as needed
 - Oversees maintenance of record keeping,
 - Prepare send faxes/ telexes
 - Other secretarial as required
 - Maintains contract files, ensures all Contract decisions are documented and put to file
 - Manages calendar and travel of senior management
 - Provides technical support to other support staff

MIS Officer (Consultant)

General:

The Position of MIS Officer is responsible for two major functions within the PMU, a) maintaining project records and M&E data and b) managing the Project's MIS, especially in terms of well-coordinated collection, analysis and feedback of monitoring data regarding contract performance. S/He works under the guidance of the MIS Specialist.

Specific:

1. Track the progress of contracts by assisting Portfolio Managers in the finalization of documentation regarding SOs/communities, ensuring that all necessary background information is provided and contracts records are complete
2. Enter all scheme data, contract information, and SO/SA information into appropriate computer databases and in hard copy files. Develop an appropriate MIS system which can provide timely data to the senior management regarding the status of all contracts issued by the PMU/RPMUs, and to portfolio manager and supervisors for remedial action. Aggregate such data in a visual form which allows analysis at a glance
3. Oversee computer operators/ data entry operators.
4. Ensure that hard copy files including Master files on SOs and their sub-projects and well as separate files on each scheme are properly maintained, recording all decisions taken and providing complete information about the SOs and subprojects.
5. Manage the utilization of data regarding contract management, ensuring proper information flows between the field, RPMUs, PMU--and especially with regard to timely feedback to SOs/Communities and Service Agencies on performance issues.
6. Trouble-shoot problems related to MIS between the field and the central PMU; and among portfolio managers, administrative staff, SOs/communities as well as other project parties. Assure timely payments upon compliance to terms of contract.
7. Manages a portfolio of sub-projects on water supply, sanitation and hygiene as a portfolio manager.

Training Specialist (Consultant)

General:

The Training Specialist provides technical guidelines for the human resource development aspects of the project. S/he is responsible for oversight of training consultants (and establishing/supporting a training network) for training and technical assistance to SOs/communities, based on assessments of capacity building needs. The Specialist helps to provide analysis of SO staffing and capacity building strategies as part of the STAC during subproject processing. The Training Specialist also assesses process issues related to software emerging from field experience and reports, and recommends measures to improve the quality software activities and inputs. The Training Specialist also oversees design and production of training and communications support initiatives and materials design and production

Specific: The Training Specialist:

1. Has the main responsibility to procure, orient and manage service agencies/consultants for training and training materials, and to establish a training network to strengthen the capacity of SOs in participatory, social process methods, financial management, monitoring and evaluation, Health and Environmental Sanitation Education, and technology as appropriate to their needs and the project design. The officer provides Support Organizations and Service Agencies advice as required.
2. Prepares the Terms of Reference for Service Agencies and oversee their procurement for providing software support to the SOs, and/or reviews aspects of TORs for Service Agencies and SOs related to software
3. Continuously improves the quality of software interventions through review of field experience based on process monitoring reports and first hand visits
4. Assists the STAC in appraisal of the staffing and capacity building component of proposed projects.
5. Tracks and refines indicators related to training/capacity building
6. Manages the training materials, library, and keeps abreast of new training developments for incorporation into the project
7. Oversees the development, refining, and production of participatory "Toolkits" for training and SO use in the field
8. Manages a portfolio of sub-projects on water supply, sanitation and hygiene as a portfolio manager
9. Coordinates the work of the Gender Specialist, and Media/Communications Specialist in support of HRD and Social Appraisal Activities

Gender Specialist (Consultant)

General:

The Gender Specialist assists in gender issues related to the policies and operations of the BAMWSP Project and assists in the day-to-day tasks of Training support. As a team member, S/he assists in integrating gender in all aspects of the project. S/he monitors gender issues within the operations and sub-projects of the BAMWSP Project and ensures compliance with criteria for gender equality are met by SOs/communities. S/he is responsible for developing the resources and assisting SOs and SAs to incorporate the gender aspects across all phases of the subproject cycle. S/he recruits SAs for training and orientation regarding gender issues and helps orient SAs. She ensures that gender is a regular part of the M&E system and its application. In support of Training, s/he assists in orienting SAs and SOs, and in facilitating core-training activities, and also helps to incorporate gender-training components into the overall training program.

Specific:

1. Recommends policies and criteria related to gender as part of the PMU's policies and procedures.
2. Reviews portfolios of village water, sanitation and hygiene projects in terms of using a gender approach. Ensures compliance with requirements for improving quality women's participation and membership within CBOs. Ensures balanced responsibilities and workloads in the project between men and women.
3. Develops and adapts project processes, bringing in new methods and techniques for gender balance in decision-making regarding BAMWSP, particularly with regard to balanced participation in community action planning.
4. Assists in devising new strategies to ensure that men as well as women take up their responsibilities in Hygiene and Sanitation, reflecting at least existing divisions of responsibilities between the sexes.
5. Identifies and helps make linkages between SOs/communities and institutions with credit and nonformal education opportunities for women and poor men, where such assistance is needed and desired.
6. Assists the Training Specialist in carrying out the training program, as required. Also, arranges and provides training and technical assistance to SOs on gender analysis and planning as part of regular training.
7. Manages a portfolio of sub-projects on water supply, sanitation and hygiene as a portfolio manager.
8. Ensure that gender aspects of M&E system are analyzed and used for regular improvement of project policies and processes.

Media/ Communications Specialist

General:

The Communications Specialist is responsible to manage the communications support strategy, including the development and production of related community-media, mass media, interactive training and educational tools production. S/He works in close coordination and under the overall guidance of the Training Specialist.

Specific:

1. Assess training and communication support needs at all levels in the Project, and define ongoing strategies for training materials and communications support and improve them from learned experience;
2. Identify and procure Service Agencies for communications and media production and interactive product preparation, such as the Participatory Toolkits
3. Supervise the work and quality of product related to Service Agencies and Consultants with reference to (2) above,
4. Coordinate closely with the Training Specialist and related Training Network (Contracted Training Organizations) for water and sanitation and assist their network efforts in developing appropriate training curricula, methods and tools. Build the capacity of the Service Agencies to prepare communications support strategies and related tools, media and materials. Assist the Training Specialist in Service Agency procurement as needed.
5. Promote the development of local, community media and folk-media
6. Promote communications exchange between communities, SOs, the PMU and other Project partners.
7. Monitor and assess currently used participatory approaches, methods, and tools, IEC methods and products, and promotional materials used by different SOs and Service Agencies for general orientation, CAP planning, Hygiene and Sanitation Education, and larger scale information sharing and dissemination. Assist SOs in developing strategies for the Planning Phase (CAP planning) and for Hygiene and Sanitation Education as part of their proposal submissions to the PMU. Assist SAs in media product development that complements and reinforces participatory work
8. Manage a portfolio of sub-projects on water supply, sanitation and hygiene as a portfolio manager
9. Assists NAMIC in larger scale social marketing, IEC activities and campaigns that complement the on-site mitigation intensive work.

Sr. Engineer, Water and Sanitation (Consultant)

General:

The community water supply engineer is responsible for oversight of the technical aspects of the BAMWSP Project. The Sr Engineers helps to assess the technical capability (or ability to of SOs to recruit such personnel) to determine their eligibility to participate in the BAMWSP Project, and to develop strategies for strengthening their capability This will include recruitment and training of Service Agencies for strengthening technical staff. Also fundamental to the position is managing the technical appraisal of sub-project proposals, and ensuring that project designs are prepared in a community-based approach in which key decisions are taken by users. Reviews of project submissions include application of field-tested technical guidelines, standards and specifications for hardware The engineer prepares unit prices and norms and applies them to proposed cost estimates The Senior Engineer participates in STAC meetings and manages a portfolio. The Sr Engineer manages all record keeping with reference to the technical aspects of the BAMWSP Project

Specific:

1. Assess technical capability of SOs or ability to recruit needed personnel
2. Assess training needs of SOs and devise appropriate training and technical assistance strategies Prepare TORs and recruit SAs for strengthening technical staff of SOs.
3. Ensure updating of project unit price systems and norms for materials Check on quality of materials procured by SOs and manage staff/consultants checking on quality of material
4. Review all sub-project submissions from a technical standpoint. Ensure technical designs were completed in a community-based approach and are technically sound. Certify projects for the Staff Technical Appraisal Committee as to whether they are technically sound and ready to proceed. Identify cost-saving measures in designs where appropriate.
5. Provide analysis of the overall portfolio. Assist in revising criteria as appropriate. Assist in refining methods for prefeasibility and project selection based on field experience.
6. Monitor and report on technical progress on a spot basis Provide feedback to portfolio officers and SOs
7. Manage a portfolio of projects as a portfolio manager

Asst. Engineer (Procurement)

General:

The Engineering Consultant has primary responsibility for quality control in terms of SO procurement of materials. S/he also assists in monitoring the submissions of receipts and invoices for materials by SOs/communities, and checks cost estimates against actual procurement to see if purchases are within a reasonable facsimile of the approved design estimates. The assistant engineer assists in the documentation of technical aspects of projects, and participates in portfolio management. S/he also researches and helps to update the unit cost system.

Specific:

- 1 Checks on the quality of materials being supplied to SOs/communities. Recruits specialist help where necessary for this purpose
2. Monitors procurement of materials by SOs. Notes major discrepancies between design estimates and materials actually procured Assists SOs to procure materials effectively.
3. Provides assistance in the analysis of project designs
- 4 Maintains records on technical aspects of schemes.
- 5 Assists in orientation of Service Agencies and in the training and provision of technical assistance to SOs
6. Manages a portfolio of sub-projects as a portfolio manager.
7. Assists the Sr Engineer in researching unit costs and updating unit costs schedule
8. Assists in preparing and organizing procurement related documentation

Water Supply Sector Specialist (Consultant)
(Planning and Operations Unit Coordinator)

General: Overall, in terms of operations, the position oversees the process of project implementation, overview of the project cycle, and links with communities, support organizations, and service agencies. In terms of M&E the position is responsible for management and implementation of the M & E strategy, for completion of all related documentation and reporting, and for ensuring that analysis of field experience is fed back into the management and operation of the PMU and its partner organizations. The M&E strategy includes intensive and participatory monitoring and evaluation throughout the life of the BAMWSP Project, including management of systems for impact, performance and process, and output monitoring as well as special studies. The WS Specialist/Unit Coordinator will report to the Project Director. S/he will work as part of a national team that consists of executive staff of the PMU, and will help recruit Service Agencies as contractors and supervise them in completion of tasks related to Operations and M&E.

Specific:

1. Coordinate the flow of activities required to complete the project cycle for the three project batches. This includes the processes related to promotion of the project, selection of SOs and communities, review and approval processes of proposals for the planning and implementation phases, contracting processes, contract management and monitoring and evaluation.
2. Supervise the PMU operations staff and staff of RPMUs. Assign Portfolio Managers to SOs/Communities and provide general oversight. Supervise directly those portfolio managers and other operations staff who work directly for the PMU, and monitor the work of portfolio managers in the RPMUs.
3. Schedule, chair, coordinate STAC meetings and ensure their proper documentation.
4. Oversee and facilitate the implementation of the Participatory Monitoring and Evaluation Strategy of the BAMWSP Project for performance, process, output, and sustainability monitoring including ongoing adjustments of M & E processes, foci, indicators, information collection methods, and tools, and reporting designs.
5. Oversee the completion of all scheduled performance, process, output, and sustainability monitoring missions and reports.
6. Define TORs and recruit for M&E services. These will include training services for impact monitoring and contracting of CAs for performance/process monitoring assistance as well as for special studies.
7. Assess the impact of project activities on subproject communities. Manage investigation of key process issues on project criteria, processes and related topics.
8. Manage proper organization of performance and process report data as well as output/sustainability data. Retain a community profile with data on each subproject community.
9. Ensure flow of information on a regular basis to all stakeholders in the BAMWSP Project. Process data and provide usable feedback to all unit heads and to senior management. Provide summary reports to SOs on performance/process and completion data for completed subprojects. Assist in compilation and analysis of all reports and in preparation of quarterly progress reports for the PMU.

Asst. Engineer, Monitoring
M&E Specialist

General:

The M&E Specialist assists in the management and handling of data emerge from the M&E system. S/he is responsible to ensure data is translated, recorded, compiled and analyzed. This includes the planning of a system for analysis of data and selection of appropriate software for data analysis, as well as subsequent reporting and use of data to improve Project performance on a continuous basis. The M&E Specialist will work with project staff and provide information needed for project decisions regarding project performance, process and impact

Specific:

1. Become familiarized with all aspects of the M&E system including the participatory and formal methods by which data are being collected at different project levels and for the needs of different project stakeholders.
2. Ensure that communities have been provided the requisite skills to monitor and evaluate their own progress by SOs are part of their training. Provide guidance in training for SOs in participatory M&E techniques to be utilized
- 3 Assist in MIS related to project performance, process, and output, sustainability M&E related to assessing project processes and impacts at field, institutional and sectoral levels.
4. Planning and carrying out analysis and use of process information for improving project criteria, processes, tools, procedures, norms.
5. Oversee and provide quality control of SAs and SOs involved in impact monitoring activities, both formal and participatory.
6. Translation of field data and entry of data into databases Selection of appropriate software for data analysis and design of a system for analyzing data according to Project needs
- 7 Production of summary data reports for inclusion in the reports of the PMU.
- 8 Provide data and analysis as needed to PMU/RPMU staff to make management and program decisions. Production of summary data for evaluation reports.
- 9 Prepare special reports as requested by the Water and Sanitation Specialist
- 10 Manages a portfolio of sub-projects as a portfolio manager

Environmental Specialist (Consultant)

General:

Strengthen the environmental analysis and planning mechanisms of the Project. Ensure that IDA guidelines are followed regarding environmental impacts. Assess impacts and define mitigation strategies on an ongoing basis. Review project proposal submissions with regard to environmental criteria. Assist in developing Hygiene and Sanitation Education component of subprojects. Assist SOs/communities with definition of specific environmental and environmental sanitation strategies and continuously assist SOs to refine alternative strategies, data gathering activities, practices, procedures, training methods and educational resources. Monitor the progress of the Village Environmental Action Planning at the Community Level. Take the lead in recruitment of Service Agencies for training in environmental management and sanitation. Manage a portfolio of subprojects and participate in the STAC project review process.

Specific:

- 1 Prepare guidelines and training materials for use in SO training for various project phases regarding assessment and mitigation of environmental impacts of the water supply and sanitation activities.
- 2 Ensure that SO facilitation and resulting community action plans ensure a holistic approach and build capacity for overall community management rather than focus only on technology provisioning.
3. Review and ensure quality of environmental aspects of community action plans (CAPs), such as: proper disposal of water treatment and potential arsenic sludge from treatment technologies, arranging proper drainage from new water sources, protection of ponds in the case of plans for pond sand filter technologies, self-help solid waste management plans, better management of human waste disposal, ensuring that self-help sanitation technologies do not pollute water sources, etc.
4. Assist in the recruitment and orientation of Service Agencies, and in the management of their performance in providing training and technical assistance to Service Agencies regarding environmental management and environmental sanitation aspects of the project
- 5 Assist in spot-checking of data collection related to environment and environmental sanitation in coordination with the HRD/Communications Unit. Help in analysis of health and hygiene/sanitation related data and use information to develop new policies, strategies, tools, and materials.
- 6 Liaise with other agencies involved in grassroots environmental activities to maintain state-of-the-art approaches within the overall Project.
7. Make recommendations on approaches and methods of the environmental component, including participatory and promotional approaches, community-based approaches and use of local resources, implementation of Village Environmental Action Plans and involvement of SO staff, local official health staff, and volunteers such as community health volunteers, school teachers, and community leaders.
- 8 Manage a portfolio of subprojects as a portfolio manager

RPMU Professional Staff

Water Supply and Sanitation Engineer (Consultant)

General:

The W/S Engineer manages the RPMU and oversees its functions. S/he coordinates the efforts of the staff with regards to building partnerships with SOs and communities; assisting SOs/communities in activities related to subproject selection and subproject preparation; coordinating the submissions of subproject proposals to the STAC, portfolio management and related MIS; ensuring timely payments as per contract performance; oversight of construction supervision, and oversight of RPMU staff in project monitoring and evaluation tasks. Overall, the W/S Engineer is responsible for quality control of the technology aspects of the project, but shares accountability for the software aspects as head of the RPMU

Specific:

1. Direction of portfolio managers and portfolio management at the RPMU level;
2. Ensuring quality control with regard to contractual agreements with SOs, communities and Service Agencies;
3. Provide technical advice to SOs on the preparation of prefeasibility studies, and in the preparation of proposals for planning and implementation phase proposals.
4. Ensure effective implementation of the technology components in their project district(s) for water and sanitation, as led by software in community decision-making and planning. Ensures adequate consideration of a wide range of technological options by the community as part of CAPs preparation.
5. Assesses the technical staff capabilities of SOs and suggests replacements or capacity building as needed during the appraisal of the Planning Phase proposals. Review and guidance of other RPMU staff as they review proposals with regard to technology components. Ensure that proposals follow technical guidelines and general specifications on hardware components and appraise/assure appraisal of technical designs and estimates with reference to the unit cost system,
5. Coordination of well developed proposal submissions and presentations to the STAC;
6. Provide advice to SOs on hardware procurement and recruitment/management of technically qualified staff,
7. Manage and assist SAs and other RPMU staff in their tasks of construction supervision and provision of technical assistance to SOs regarding technology;
8. Coordination with local officials at Gram Parishad, Union, Thana and District levels;
9. Oversight of MIS and Evaluation activities in the conduct of portfolio management;
10. Assist SAs in the performance of their tasks in capacity building of SOs, studies, or other assigned activities

RPMU Training/WID Specialist (Consultant)

General:

The Training/WID Specialist assists the W/S Engineer in the leadership and coordination of the RPMU. The Training/WID Specialist coordinates software support activities with regards to all the functions of the RPMU, with an emphasis on building partnerships with SOs and communities, subproject preparation, portfolio management and related MIS, timely payments as per contract performance, and M&E tasks. Across all of these she assists in the incorporation of gender/poverty analysis, planning and monitoring. S/he ensures that social criteria of the project are followed in all subproject submissions at the RPMU level. The Training cum WID Officer assists in related support activities and helps to coordinate them in the area, especially the training of SOs by SAs and carrying out media/communication strategies.

Specific:

1. Coordinate the provision of information about the project and criteria to SOs and communities;
2. Oversight of community development officers and other portfolio managers and at the RPMU level;
3. Assist in orientation and preplanning of Service Agencies for SO training events and assist in facilitation. Guide SAs in their other tasks of provision of monitoring or evaluation support, studies, audits or other activities,
4. assess existing delivery mechanisms, organization, staffing and training needs of Support Organizations, Service Agency staff and communities in health, hygiene and sanitation activities of PMU supported subprojects. Assist in the design of methods for monitoring and evaluation of the Hygiene and Sanitation Education Component
5. assistance in the preparation of prefeasibility studies and assistance to SOs in scheme selection, and guidance on the preparation of proposals for planning and implementation phases,
6. oversight proposal reviews with regard to software components, including supervision of any other portfolio managers in the RPMU;
7. data collection related to performance, process and impact monitoring and evaluation and preliminary analysis, as well as assisting SOs/communities to use participatory evaluation tools for their own use.
8. Directing the use of MIS information in the RPMU for immediate use in management decision-making, forwarding Evaluation information to the M&E unit after immediate use,
9. Coordination with local officials at Gram Parishad, Union, Thana and District levels
10. Monitoring of SOs, communities and the work of SAs;

RPMU Community Development Specialist (Consultant)

General:

The Community Development Specialist's main function is that of portfolio manager for a number of assigned SOs/schemes. In that regard s/he must provide portfolio management services as a generalist community water supply and sanitation specialist. S/he works closely with the W/S Engineer and reinforces the engineer's work in portfolio management regarding software components. S/he also provides support and guidance to SAs in completion of software related tasks.

Specific:

1. Informs SOs/communities with regards to the project components, cycle, criteria and norms and liaises with the SOs and local Service Agencies;
2. Provides Portfolio Management Services for assigned SOs and village schemes: Guides SOs in completion of prefeasibility studies and appraises their studies. Assists SOs complete proposals for the Planning Phase, and represents their proposals to the STAC. If rejected or sent back for changes, notifies or assists SOs/communities concerned revise proposals. Upon approval, monitors scheme progress and ensures MIS system on assigned SOs/schemes is maintained. As milestones are met, authorizes payments as per contract. Ensures scheme by scheme MIS and evaluation data are provided and recorded effectively. Identifies any specific problems with their portfolio, and resolves them as needed.
3. Coordinates with and assists Service Agencies providing training, TA, monitoring or other services regarding SOs/schemes in their district(s).
4. Assists in the effective implementation information sharing about the project in their project district(s).
5. Assists in incorporating Gender/Poverty analysis/planning across the portfolios and in capacity building of SOs regarding gender and poverty-sensitive approaches to BAMWSP services.
6. Provides support to other software components across the RPMU project portfolio.

Accountant (RPMU)

General:

The Accountant is responsible for the tracking the financial transactions of the RPMU, and maintaining the computerized accounts and financial records of the RPMU. The Accountant prepares RPMU financial reports and statements for management of the PMU, and assists in administrative support to RPMU operations.

Specific:

- Maintain accounts and supporting documentation
- Prepare periodic statements of accounts and copy to Central PMU
- Reconcile the RPMU Bank Account
- Assist in maintenance of all procurement records
- Maintain office inventory and check on quarterly basis
- Maintain office stores and records
- Check receipt of office goods procured by the RPMU
- Assist in other administrative tasks as required
- Assist in audits of the RPMU and PMU overall
- prepare estimated cash flows together with the PMU Finance Controller
- Check on whether contractors are following guidelines
- maintain database to track payments and financial/narrative reports
- inform Contract Agencies and Support Organizations when financial reports are overdue
- manage petty cash
- ensure expenditures are made in accordance with PMU procedures