

TOWARD SUSTAINABLE HUMAN DEVELOPMENT...

MID-TERM EVALUATION COMMUNITY WATER SUPPLY AND SANITATION PROJECT MYANMAR (MYA/96/002) AND REVIEW OF THE FIRST PHASE (MYA/93/025) MAY 1998



Prepared for:
United Nations Centre for Human Settlements (HABITAT), Fukuoka Office
and the
United Nations Development Program

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Toward Sustainable Human Development.....

**Mid-Term Evaluation
Community Water Supply and Sanitation Project
Myanmar (MYA/96/002)**

And

Review of the First Phase (MYA/93/025)

May 1998

Prepared for:

United Nations for Human Settlements (HABITAT)

Fukuoka Office

And the

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Acknowledgements

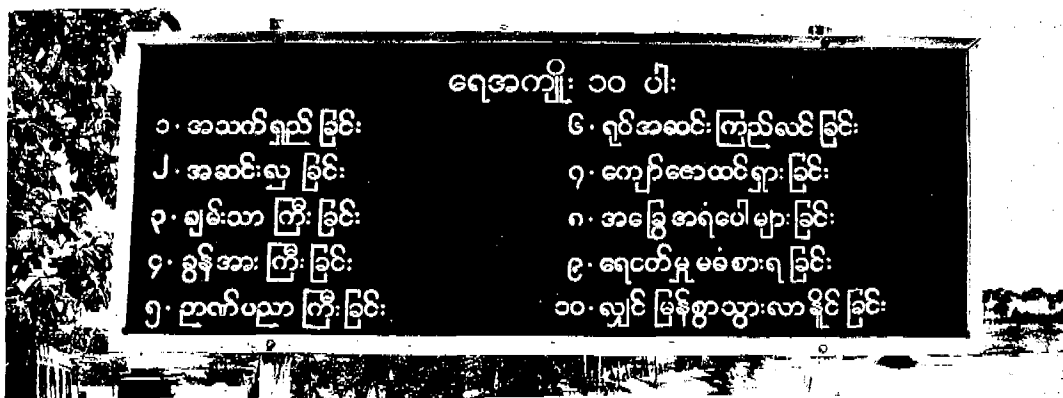
We greatly value the opportunity we had to work with so many interested, committed and insightful individuals on this midterm evaluation of the CWSS project, within the HDI-E. We thank UNCHS and UNDP for supporting us in taking a participatory approach to the evaluation process. We also appreciate the tremendous cooperation and support from all levels of staff within the CWSS project, UNDP and UNCHS.

Senior management at UNDP were generous with their time and insights, as were the other HDI-E Project CTAs, who willingly shared their experiences, visions for capacity building and convergence issues. The feedback provided to us during our presentation at UNDP was particularly poignant to our final report. Thank you.

The NPDs and senior management in WRUD, ESD, and DDA were most cooperative and gracious in sharing their perspectives and in providing candid feedback to our findings.

We were one of three sets Co-Evaluators. Without the other two sets of Co-Evaluators, this evaluation would not have yielded the same richness of data and insight. The WATSAN project staff demonstrated enthusiasm and willingness to learn from a “different” approach, and they were enormously patient with all our questions. The level of interest and participation on the part of the HDOs, CDWs, and other sector specialists was “remarkable”, and enabled us to gain a much wider understanding of the project, its context, and the potential for the HDI as a whole. We appreciate all of you enthusiastically accompanying us to the field, identifying the “Splash and Ripple” results of the CWSS project, and sharing your findings in the workshops.

Finally, we are highly indebted to the villagers themselves, the other Co-Evaluators, for their generosity of time, energy, food, and spirit. The input and insights from the members of the Water Committees and others were for us the heart of the evaluation process. In fact, the discussions and observations in the communities were what sparked many of the recommendations in the report.



Ten Blessings from Giving Water to Others	
1. Long Life	6. Clear Complexion
2. Beauty	7. Popularity and Fame
3. Wealth	8. Followers
4. Strength	9. Freedom from Thirst
5. Wisdom	10. Ability to Travel Quickly

May all those who work to improve water quality and accessibility in Myanmar receive the benefits depicted in this sign beside a village pond in Magwav in the Dry Zone.

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ACRONYMS

AMW	Auxiliary Midwife
CBDM	Community Based Disaster Management
CBO	Community Based Organization
CDP	Community Development Program (UNCHS)
CDW	Community Development Worker
CHW	Community Health Worker
CISF	Community Initiative Support Facility
CTA	Chief Technical Advisor
CWSS-I	Community Water Supply and Sanitation Project- Phase I
CWSS- II	Community Water Supply and Sanitation Project- Phase II
DDA	Department of Developmental Affairs
DDDL	Documentation and Dissemination of Development Lessons
DSO	Departmental Staff Officer (from Cooperating Govt Dept)
ESD	Environmental Sanitation Division, Health Department
FSE	Food Security and Environment
HA	Health Assistant
HDO	Human Development Officer- HDI-S Project
HDI	Human Development Initiative - Phase I
HDI-E	Human Development Initiative – Extension
IEC	Information, Education, Communication
NAS	Needs Assessment Survey
NPD	National Project Director
NPPP	National Professional Project Personnel
OIC	Officer in Charge (CWSS)
PRA	Participatory Rural Appraisal
PTA	Parent Teacher Association
RHC	Rural Health Centre
RWSS	Rural Water Supply and Sanitation
Sub-RHC	Sub Rural Health Centre
TDC/TDA	Township Development Council/ Development Affairs
THO	Township Health Officer
TMO	Township Medical Officer
T/PDC	Township Peace and Development Council
TPE	Township Planning Exercise
TPU	Township Planning Unit- (HDI-E Project)
UNCHS	United Nations Centre for Human Settlements
UNDP	United Nations Development Programme
UNICEF	United Nations Children Emergency Fund
V/PDC	Village Peace and Development Council
VT	Village Tract
WATSAN	Water and Sanitation Project or Team
WRUD	Water Resource Utilization Department
ZE	Zonal Engineer (NPPP)

EXECUTIVE SUMMARY

Executive Summary

The Evaluation Mission was charged with assessing the CWSS-2 project's performance and impact to date, including reference to the impact of the first project (MYA/93/025), and to examine the cycle of project implementation, including community mobilization, management structure, and inter-project cooperation within HDI-E. In addition to recommendations for improved project implementation within the present mandate, the evaluators were asked to provide a "forward-look" at future project design and implementation.

Project Intent and Objectives

The CWSS project aims at supporting improvements in water supply, sanitation, and assists community initiatives for approximately 1.8 million people in 3770 villages in 3 distinct zones of Myanmar. This second phase of the CWSS project intends a major emphasis on "capacity building", to "increase the capability of local communities to plan, implement and maintain water and sanitation facilities, including developing the means locally to sustain these and other activities". The evaluation process, the findings and the recommendations are all based on this understanding of the capacity building intent of the project.

Participatory Evaluation Methodology

The mission conducted a "Participatory Evaluation" at the field level, involving the CWSS project staff, some HDI-E sector specialists, CDWs and community groups as "co-evaluators". The "Splash and Ripple" metaphor was used to encourage the identification of project "results" on the ground at both the "output" and "outcome" levels. The evaluation team conducted in-depth discussions with separate groups of women and men in numerous villages in seven Townships, in addition to observing project "outputs". The evaluators also conducted an "evaluation orientation" and facilitated a "wrap-up" workshop in each Zone in which all participants' findings and recommendations were compiled and discussed.

The value and benefit of the participatory methodology is reflected in the way in which project and other HDI personnel actively participating in the field visits and wrap up meetings, and thus were able to contribute to, and support, the recommendations outlined in the report.

Three sets of findings are presented: performance on project targets as per "Immediate Objectives" from the Project Document and the current Workplan; project results as perceived and experienced from the community perspective; and an assessment of the project's implementation process.

Findings: Performance on Project Targets (Section 5.1, Tables 5.1-5.3, and Box 5.1)

1. Implementation of water and sanitation schemes was slow in the first nine months of 1997; the pace has increased since that time, and the current rate of implementation suggests that this year's targets are attainable. For example, a total of 304 water schemes were completed in 1997; while 279 schemes were completed in the first two months of 1998. This same shift in implementation pace holds true for latrine construction as well.

2. An analysis in selected Townships of the project's performance (CWSS-1 and 2) on addressing water needs in villages with higher "water deprivation" scores (based on the NAS), indicates that there is very little difference between the percentages of villages whose needs have been addressed among the three levels of priority. This suggests that planning is not strongly based on the priority "merit point" system, and therefore the project needs to re-examine this process.

3. Performance on the newly implemented CISF component has slightly exceeded current targets. It is supporting small scale enterprise development (4 completed of 20 planned for the whole project); rural infrastructure (16 / 40 planned); disaster management (8 / 20); and artisan training (16/20).

4. Sanitation education, while improving, has been slow to develop, has not kept pace with the other components, and performance has been variable. An NGO has been sought to assist with the development and implementation of this component, but until very recently, none were available to assist. Currently discussions are underway with three INGOs.

5. Development of local enterprises in general, and specifically those related to providing intermediate inputs for the water and sanitation sector, is progressing slowly. Artisan training, the fundamental foundation for this objective, is proceeding well, and becoming more formalized and targeted. Consultant input is needed on small enterprise development to assist the staff with implementation of this objective.

6. The project has developed and provided appropriate technological options for local communities, improved on numerous traditional technologies, and continues to conduct assessments of innovative approaches to address a number of the persistent challenges in water (dry zone seasonal shortage) and sanitation (water-logged areas). Approvals for consultants continue to be a constraint in this area.

Findings: Project Results “Outputs and Outcomes” from the Community Perspective (Section 5.2, Table 5.4)

7. *Water Supply*: The impact at the community level as a result of improved water supply- quantity, quality and/or proximity to source, is dramatic. The “outcomes” achieved (medium term developmental results) as expressed by the community include, for example: tremendous time savings for women, children and men- women able to devote more time to economically fruitful activities; children able to go to school/go to school on time; people able to sleep more at night; improved hygiene practices-more regular bathing, dishwashing, water use in latrines; decreased diarrhea disease (where quality improved); water for livestock (with quantity improved).

8. *Sanitation*: The “outcomes” realized as a result of self-building of fly-proof latrines and participation in sanitation education include: reported and observed improved hygiene practices, increased privacy for women, hand washing by children at school; cleaner river water for bathing and clothes washing (after removal of “hanging latrines” in Delta); other outcomes were increased capability for building, and new organization skills (WATSAN committees).

9. *CISF*: “Outputs” observed include footbridges across water ways in the Delta, culverts and improved village access roads in Shan and a village Boat in Inlay Lake, and a Water storage tank for Fire in Dry Zone. “Outcomes” in these cases include improved access, communication and transport—children to school, children travelling safely, women to health centres, goods able to transport in rainy season. Other outcomes include “trained artisans” available for other contracts, increased community confidence and leverage for other socio-economic activities, and increased awareness of development choice.

Findings: Process of Project Planning and Implementation (Section 4.0)

10. *Community Mobilization and Needs Assessment*: WATSAN Needs assessments have been completed in all villages, and the data is compiled. However, there was pressure to complete the NASs quickly, and the new Promoters did not have the benefit of training in participatory technologies. Therefore the process of community entry and data collection, and the format used (a large percentage of which was collected by CDWs and enumerators), did not lend itself to a high standard of participatory problem identification.

11. *Workplanning* is based on “targeted” numbers of schemes to be implemented per Township, and then decisions about which villages/village tracts to “enter” and in what order are based on one or more of several priority criteria—the NAS “merit scores” for “water deprivation”, the TPE “priority areas”, or the WATSAN “priority areas” from

the same TPE, or related to Township specific issues, directives. The planning process needs re-assessment. The process of planning and implementing water schemes/ sanitation construction with the community is well developed and proceeds smoothly. The Team plans a series of activities with each community – commencing with water supply, then sanitation/ education, and including artisan training throughout.

12. The implementation phase is well developed, and is the Project's strongest suit. The formation of CBOs is well done, including promoting gender balance and women's active involvement in all aspects of the implementation. Community contracting and the decentralization of the management of the contract with the WATSAN Promoter is working well.

13. Local capacity development- enhancing the capabilities of the CBOs is not yet well understood or developed by the staff, beyond the technical/artisan capabilities. This aspect needs further thinking and education of the staff in order to implement with the local CBOs. Capacity building is a slow process, the pace of which does not fit well with an "implementation" orientation.

14. CISF- Orienting communities to the CISF has provided an opportunity for the staff to engage in a participatory problem identification exercise, and broaden their development orientation beyond water and sanitation. The CISF mechanism also supports artisan training, and community-based disaster management projects, both of which support the further development of local capacity for water, sanitation and related development activities.

15. Monitoring and Reporting- While the project document provides some organizational and operational "targets" associated with capacity building, they have not been developed into a monitoring framework or reporting structure. The Monthly Technical Report focuses on "activities" and "outputs" only. Thus there is no monitoring or reporting related to sustainability of community schemes, or capacity building of CBOs or artisans.

16. "Enabling factors", those that facilitate and support the overall Project's Implementation include:

- Current interim management situation;
- Decentralization of decision making and scheme management to the WATSAN Promoters;

- Number of WATSAN staff “on the ground”, including increased Technician staff;
- Community Contracting System for CISF and now for Water micro-projects;
- Gender-balanced WATSAN Committees;
- CISF overall, and as a development learning mechanism for the staff;
- Support from the DHOs and the CDWs- in each Township.

17. “Constraining factors”, those that hamper or slow the Project Implementation include:

- The management difficulties in 1997, and the current six month period without a CTA;
- The pressure on staff for attaining implementation “targets” which may be in conflict with the “Capacity Building” orientation of this phase;
- Lack of Participatory training for the WATSAN teams;
- No clear guidelines for monitoring for capacity building “outcomes”;
- Slow government approvals for much-needed international consultants;
- Coordinating with three Government Ministries.

Recommendations for the Current Project (Section 6.0):

18. A series of strategies to enable the Project to shift to a stronger “Development Orientation” in support of the Capacity Building intent. These include:

- Adopting an “area-based” approach to planning, implementation and monitoring, that focuses on local “capacity development” -based on an understanding of assets and needs- on a pilot basis in one or two Townships.
- Developing a monitoring framework, indicators and tools that reflect the capacity building intent of the project and focus on “outcome” level results.

19. Skill building for the WATSAN Teams to assist their performance in capacity building— a series of workshops that will provide a refresher to the “Developmental Process” and (re)build skills in participatory techniques for community work, monitoring and training.

20. Clarification of the roles, responsibilities, relationships and job descriptions for the Zonal Engineer and the WATSAN Promoter. The ZE role (vital to the success of this project) is recommended to encompass five general areas:

- leadership in articulation of the project intent and project implementation;
- “broker” or “facilitator of learning” for staff and community-based learning;
- technical back-stopping, quality assurance, zonal strategies, and identifying action research needs;
- managing the monitoring and evaluation process
- facilitating linkages with artisans and private sector, promoting small scale enterprise development.

21. UNCHS, through its CDProgramme, provide more direct technical assistance for the shift to a “Developmental Orientation”, especially assistance for staff development in this area.

Recommendations to Address Constraints, Zonal Specific Issues and Study Needs (Section 7.0)

22. *Addressing Constraints:* The mission reinforced the need for studies and technical assistance that the project has recommended in water supply technology- pond seepage solutions and solar and windmill technologies.

In the sanitation education area, that the project shift focus to an environmental sanitation “framework” for education at the community. Further, that the project seek to develop community-based solutions to social technologies, e.g., community based sanitation teams, community-based development of IEC materials, and fostering the use of local materials for construction of sanitation facilities.

As part of the project intended interim assessment of the CISF component (after 50 completed projects), that it explore a long-term staged strategy for the development of the small enterprises for intermediate inputs, etc. for the water and sanitation sector.

23. *Zonal Specific Issues: Dry Zone-* That the WATSAN project teams assume a convening and coordination function to develop, with key stakeholders, including the relevant government agencies, a long term strategy for addressing the seasonal shortage of water in the Dry Zone.

Delta and Inlay Lake- That the “experimental” sanitation solution for water-logged areas be taken to large scale trials for sustainability and water quality assessment.

24. *Study Needs:* Proposed studies in preparation for CWSS- 1999-2001 include:

- Assessing the Process of Local Capacity Building with CBOs
- Socio-Cultural Processes associated with Water and Sanitation Practices

- Situation Analysis of Existing Enterprise Development per Township
- Situation Analysis of Informal Water Supply Systems in small towns

Recommendations for the Subsequent Phase (Section 8.0)

25. *Proposed Project Components* -1999-2001 phase. The emphasis in the subsequent phase of CWSS is seen to be one of “sustainability” of the capacity building initiatives in water and sanitation, local area development and CBOs. The proposed components are four: Water and Sanitation, CISF, Community Based Disaster Management (CBDM), and Documentation and Dissemination of Development Lessons (DDDL).

26. *Proposed Key Features* for the subsequent phase include (section 8.2):

- An “Area-Based” approach to Planning, Implementation and Monitoring of Project Activities;
- An Entry Strategy based on “Community Capacity Assessment”;
- The CWSS Project will work with any existing viable CBO for its activities;
- Local Organizational and Entrepreneurial Capacity Development;
- Community to Community Capacity Building Support in an “Area”;
- Functional Linkages with Savings and Credit in each “Area”;
- Some Joint Planning with Projects of Affinity per Township;
- Exit Strategy based on “Sustainability Indicators”.

27. *Issues and Questions for HDI-E* (section 8.3). During the mid-term evaluation of the CWSS project, questions arose concerning the follow on phase of HDI, specifically related to how plans for the phase might be developed, and what role the Township level personnel, with now substantial grounded experience and knowledge, will have in that process. Further, some obvious and perhaps naïve questions emerged as to how the various projects might plan and/or implement activities cooperatively in geographic areas of concentration. Since the intention to work collaboratively does not seem to have translated to practice to a large extent, what innovative strategies can be built into the next phase, to enable more “integration” within the HDI framework?

Specifically:

- At the Township level, could the sector specialists conduct a joint exercise of assessment of progress to date, and realignment of priority areas, based on that assessment as a first cut environmental scan?

- Could the HDI develop a joint strategy for collection of community profile data to avoid duplication, wasting community's time and determining what is really needed?
- Could HDI adopt a "first entry agency" policy, in order that one project can generically assess a community/tract, and request the other projects/agencies to assist in particular expressed areas of need?
- Could each Township group be given the leeway to conduct some joint planning that is not related to individual sector projects, but is multi-disciplinary based on the current status and problems of that Township?
- Could each sectoral project have discretionary time and budget to either plan jointly with other projects or to respond to requests from other projects?

**ANNEX 1: THE MYANMAR COMMUNITY WATER SUPPLY AND
SANITATION PROJECT & ITS EVALUATION IN
PICTURES**

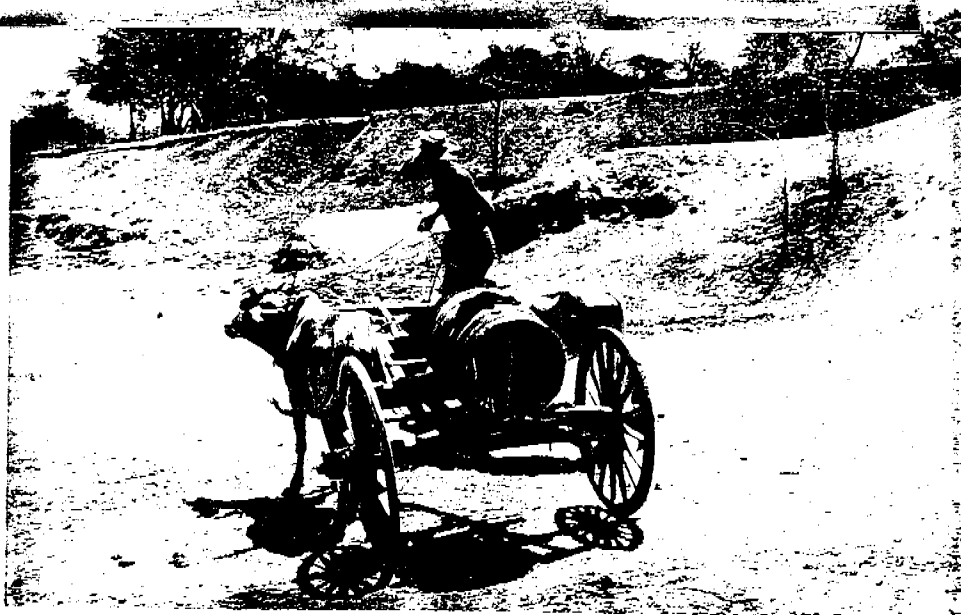
Water Supply Issues in Myanmar



scarcity ...



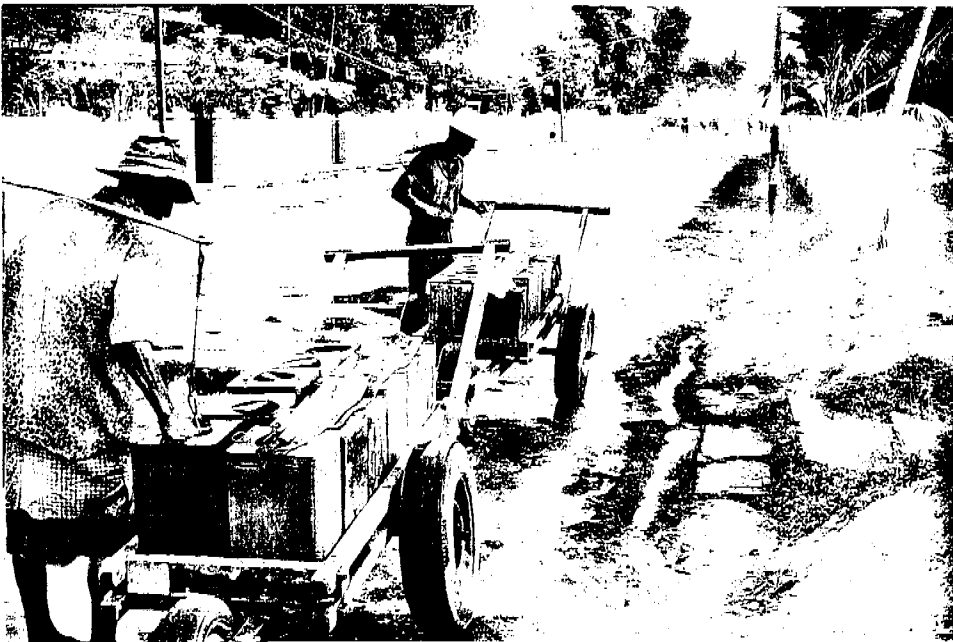
distance ...



cost ...



quality ...



*local
distribution*



Persistent Challenges

seasonal shortages in the dry season

*a family's
daily ration*





Watsan Team

consultation



*checking
design*

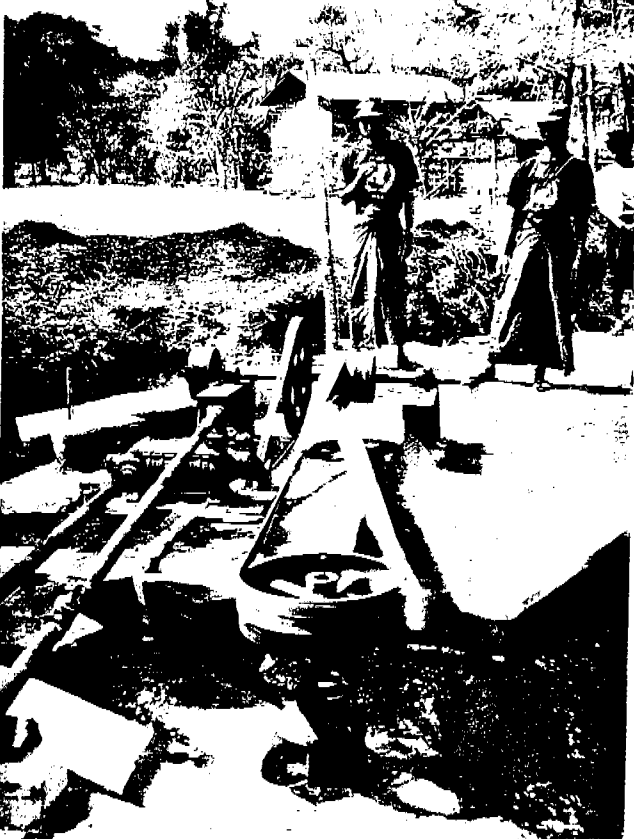


*monitoring
the "output"*



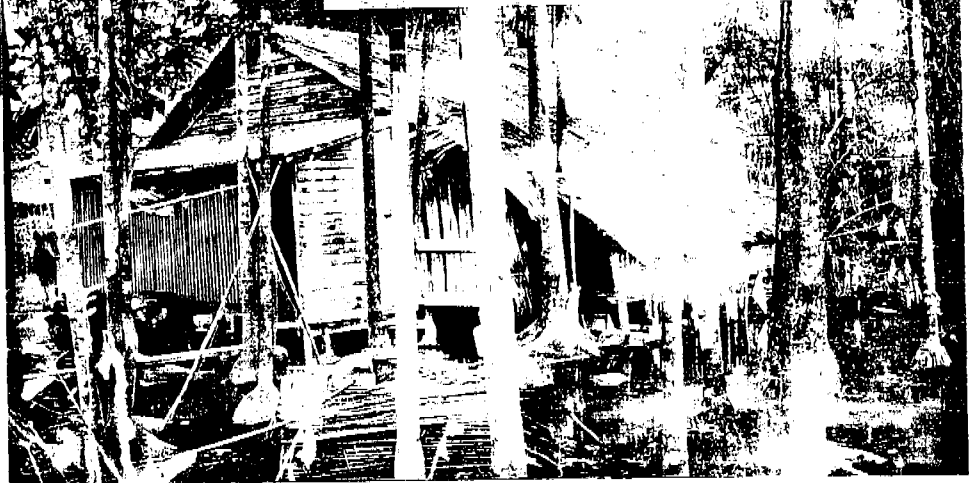
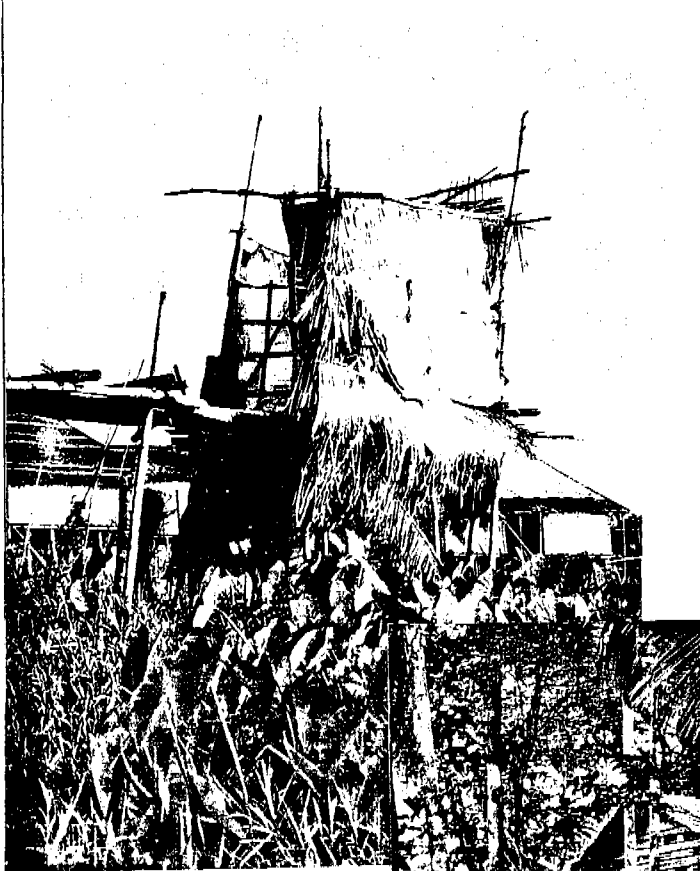
Water Supply

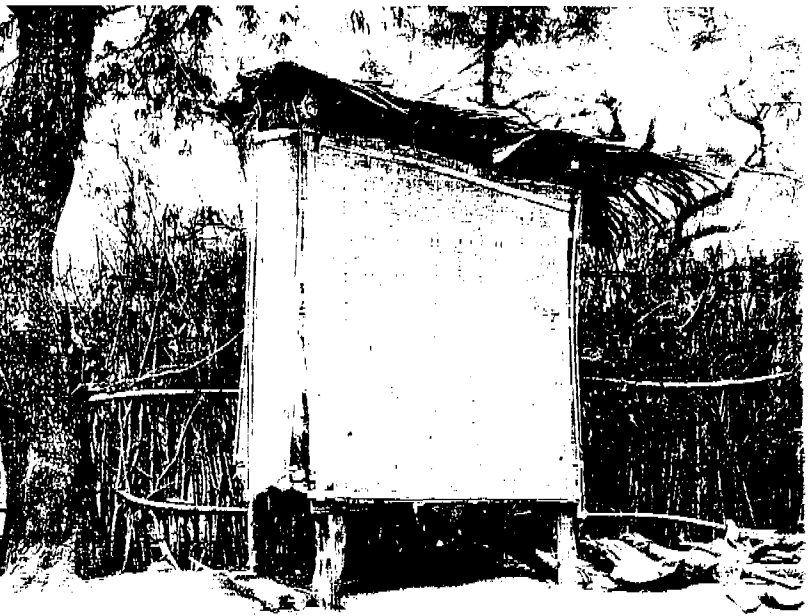
*appropriate
technologies*



Sanitary Latrines

the challenge





**Appropriate
Solutions**

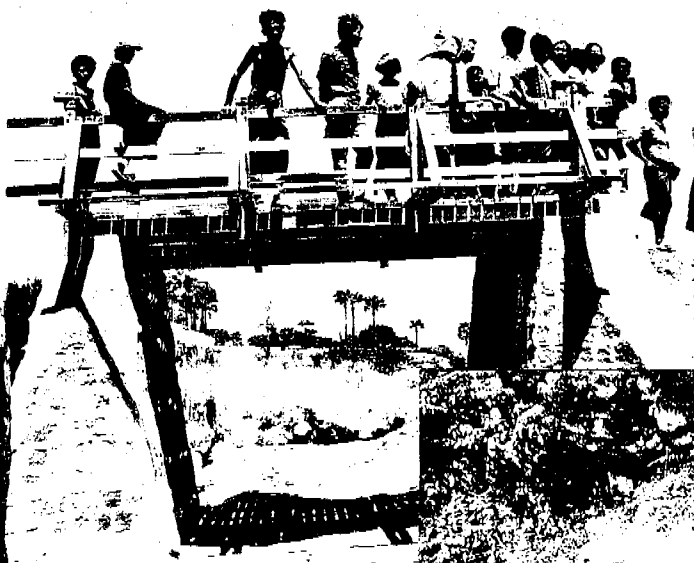


CSIF -

Addressing Community Needs



UNDP HDI E UNCHS
CSIF/MYA/99/002
မြန်မာနိုင်ငံတော်
ပြည်ထောင်စု
အစိုးရ
ပြည်ထောင်စု
အစိုးရ



safety ...



*... access
and
transport*



**Local
Capacity
Building**

*training
workshops*



*local product
for
water storage*



Women's Participation

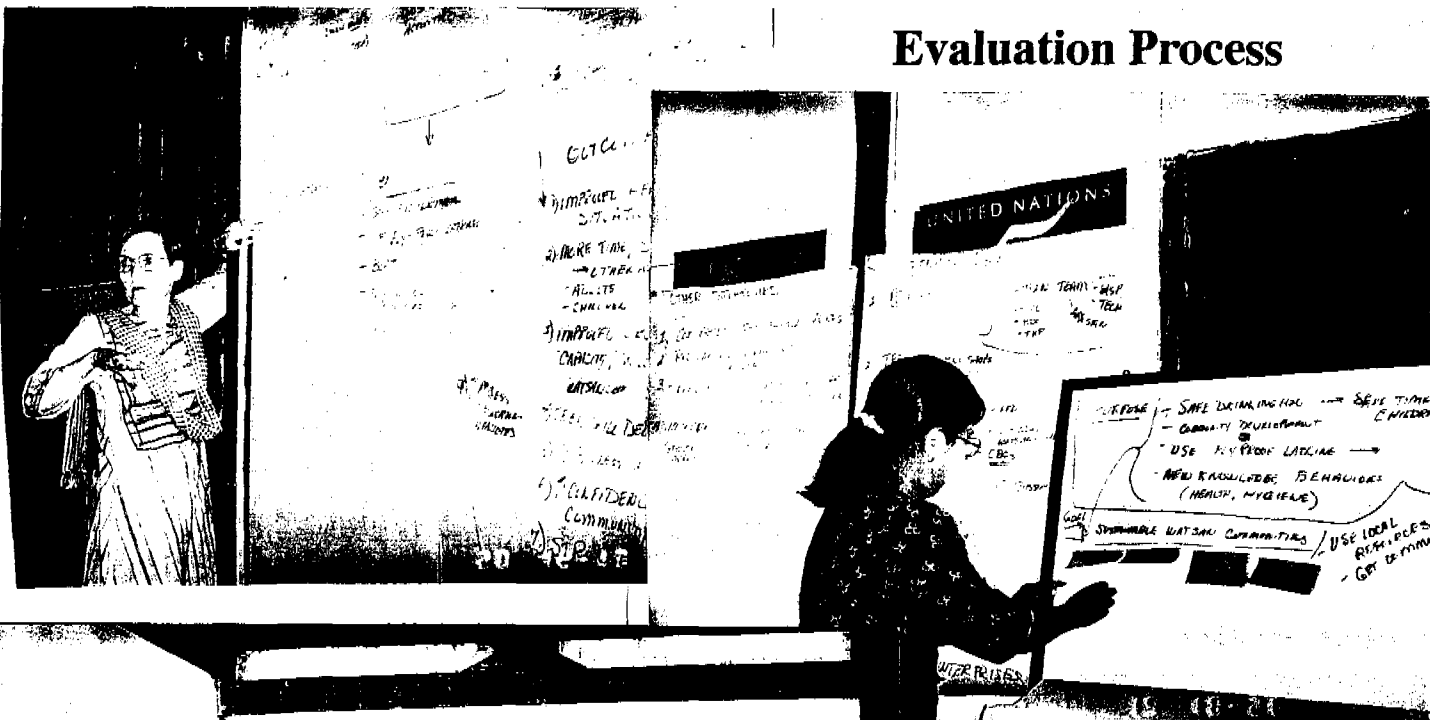


*village
to
village*



*... essential to
sustainability*

Evaluation Process



*participatory
workshops
CWSS & HDI*



*examining the
Watsan maps ...*



Seeing Watsan within the HDI-E



getting there ...

*... the joy of
evaluation travel*





**Project Staff
Exhibit Alternative
Technologies**



*the Watsan
local committee*

...

proud builders

*CDW clarifies
community
data ...*





**Community
Welcoming**

*Local
monastery*



*local
young
monk*





Evaluation with the Community

*some joint
meetings*

*many in depth
discussions with
groups of women*





*... and with
groups of men*

*... including
monks*





Community Walkabouts

informal interview



incidental encounters

Community Development Workers and the HDO as Co-evaluators



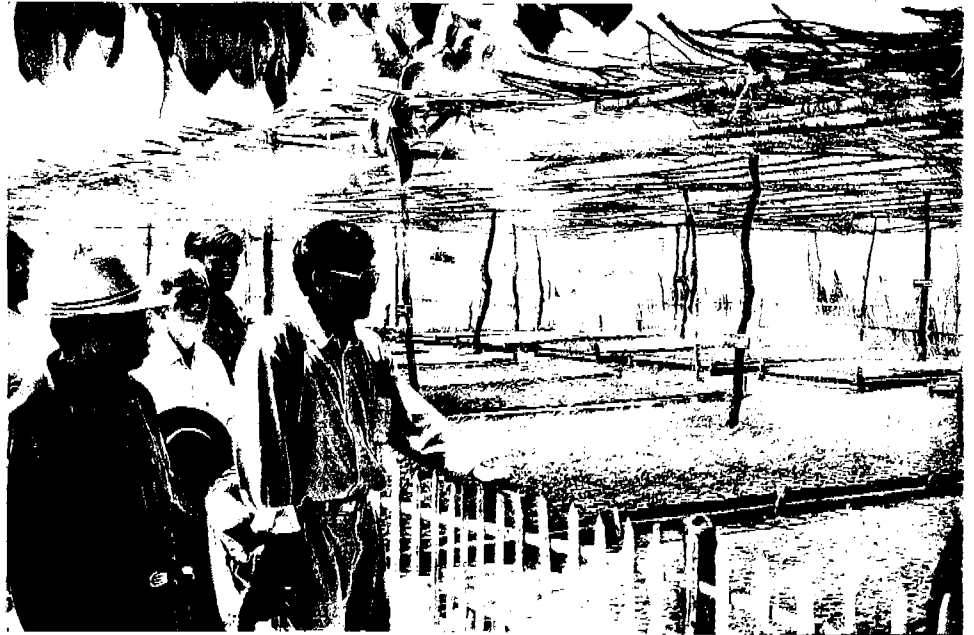
“convergence” in action



**Community
Level HDI
Integration**

food security

forestry



health



**Some CWSS Staff at
Wrap Up Meeting - Yangon**



the outside evaluators



Looking to
the Future

....



MAIN REPORT

1.0 Introduction

1.1 Framing the Evaluation

1.1.1 Nature and Intent of the Mid-Term Project Evaluation

The Community Water Supply and Sanitation Project (CWSS, MYA/96/002) is implemented by UNCHS under the UNDP-funded Human Development Initiative-Extension (HDI-E). The project started on 1 January 1997, and is due for completion on 30 April 1999. This project builds on a similar project that was implemented between April 1994 and August 1996 (CWSS, MYA/93/025).

The purpose of the mid-term evaluation is to assess the project's performance and impact, including reference to the impact of the first project, and to examine the cycle of project implementation, including community mobilization, as well as management structure, and inter-project cooperation within HDI-E. The evaluators have been asked to provide recommendations for improved project implementation within the present project framework; and to provide a "forward-look" at future project design, including new ways and opportunities for extending CWSS activities. (*Terms of Reference for the Mid-Term Evaluation are found in Annex 1*).

1.1.2 Evaluation Design reflecting the Project's Intent

The project purpose, within the HDI-E, is "to increase the capability of local communities to plan, implement and maintain water and sanitation facilities, including developing the means locally to sustain these and other activities".

The "participatory" design used in this evaluation reflects the project intent in that it involves the communities in the identification of project "results" that are relevant to them. It also recognizes and involves to the extent possible, all the key stakeholders, including the CWSS implementors, the Government counterpart ministries, and the HDI-E project partners. Furthermore, the "participatory evaluation" process is designed as a "capacity building" experience for project implementors, with the intention of enhancing the staff's effectiveness for assessing progress in the field.

1.1.3 Three Sets of Co-Evaluators in the Participatory Process

The evaluation proceeded with the understanding that there were three sets of "co-evaluators". This "participatory evaluation" assumed that the people who are most interested in how well the project is meeting its objectives are those who are implementing the project. The "project implementors" in this case were taken to mean both the CWSS (WATSAN) staff, and other HDI-E sector specialists in the townships

who joined the evaluation exercise. The second set of co-evaluators that are interested and can assess the effectiveness of the project are the communities who are both “participants” and “beneficiaries”. The third group is the outside evaluators, who unlike the previous two have no direct field knowledge of the project, but bring an outside perspective, other relevant field experience and expertise in evaluation methodology. The field-based component of the evaluation utilized these three groups of co-evaluators in a tri-partite partnership.

1.1.4 The “Splash and Ripple” Metaphor- Building an Output and Outcome Evaluation Matrix

The field-based evaluation used the concept of “Splash and Ripple”¹ as a metaphor for identifying and examining the different levels of results associated with project activities. The “splashes” are seen as the immediate “outputs” and the resulting “ripples” as the medium-term “outcomes” and longer-term “impacts”. The “Splash and Ripple” approach was used to enable evaluators to look beyond the usual physical “outputs”, of which this project has many, to assess whether there were more lasting changes associated with project activities.

Box 1.1

“Splash and Ripple” Metaphor for Determining “Project Results

An “output” is described an immediate result, (a “splash”) as a consequence of implementing a set of project activities. It is directly under the project’s control. Examples would be “a functioning fly-proof latrine” and “increased knowledge of sanitation practices”. An “outcome” is a medium-term developmental result, (or a ripple effect) that is the logical consequence of achieving a number of “outputs”. It is not under the control of the project, but the project can “manage” to such a result. An example that would be the logical consequence of the “outputs” is “positive change in sanitary practices”- a medium term “outcome” result. In time, this may take one to three years. An “impact” is a long-term developmental result (a more remote ripple affecting a wider community), that is a logical consequence of a number of “outcomes”. It can only be influenced by the project, and may take several years before it can be measured. One example following the same line would be “improved health status”.

¹ Concept developed by Philip Cox and Sheila Robinson of PLAN:NET 2000 for Operation Eyesight Universal: “Splash and Ripple: OEU’s Results-Based Management Users’ Guide” 1998.

The HDI-E's overall goal is to provide a sustainable impact on human development, and the CWSS project identifies a number of medium-term targets associated with improved practices and local capacity-building. In the absence of key indicators, it is difficult to understand whether the project is progressing toward these targets. Thus, in "Splash and Ripple", evaluators were encouraged to look behind the new "latrine" or the "renovated village pond" to see if there was evidence of decreased diarrhea disease, or of increased/new skills among the community artisans, or of improved community capacity for decision making. The latter are "outcomes" which constitute medium-term "results". Through this process, the evaluation began to build a matrix of "outputs" and "outcomes" and their indicators, associated with the main project components. (This "results" matrix is provided as Table 5 in section 5.2)

1.2 Description of the Evaluation Process

1.2.1 *Outside Evaluation Mission Team*

UNCHS and UNDP contracted Dr. Sheila Robinson of PLAN:NET 2000 Ltd and U Htin Myaing as the external consultants. They were to be joined by representation from the Government, and an international NGO involved in the water and sanitation sector in Myanmar, and an observer from the HDI-Support Project (MYA/96/010). A representative from ESD of the DOH, U Moeu Lin, joined the team for the visits to Shan Zone and the Dry Zone. Unfortunately, no NGO representative was available to join the team, or from the HDI-S project. However, the Human Development Officers (HDOs) in six of seven Townships accompanied the mission to the field. The team was accompanied to the Shan and Delta Zones by the current CWSS Officer in Charge (OIC), Mr. K.A. Jayaratne; and to the Dry Zone by U Hla Myint Hpu (Patrick), the UNDP Programme Officer responsible for the project.

1.2.2 *Consultations in Yangon*

The evaluation mission met with key person in UNDP, in Government counterpart Departments, and with other key actors and agencies involved in the "water and sanitation" sector in Myanmar. The mission also met with CTAs from the other HDI-E projects. In all cases, the mission sought varied perspectives on the project, its accomplishments, challenges and relationships within HDI and in within the water and sanitation sector. It also attempted to ascertain the "information needs" of the key stakeholders, including UNDP and the National Project Directors (NPDs) of the three collaborating government ministries. (*Please see Annex 3 for persons met and Mission Itinerary*)

1.2.3 *Field Work Procedure*

The evaluation visited seven of the HDI-E eleven Townships in the three Zones: Nyaung Shwe, Pindaya, and Ywangan in Shan Zone, Kyaukpadaung and Magway in the Dry

Zone, and Bogalay and Mawlamyaing Gyun in the Delta Zone. (See Figure 2.1 for a Map of Myanmar, showing the eleven HDI-E Townships).

As part of the participatory evaluation process, "bookend" workshops were held in each zone with the WATSAN teams and other participating HDI-E sector specialists, HDOs and CDWs who participated as co-evaluators in the mission.² The first workshop, conducted in the first Township visited in each zone, served as an orientation to the evaluation process, and to introduce the "Splash and Ripple" approach to identifying and assessing results- looking beyond project "outputs" toward more lasting community-based "outcomes" during the field visits. Participating co-evaluators were asked that during the field visits they look at the WATSAN activities and their interactions with other HDI-E projects in terms of "outcomes" or "ripple" effects. The "wrap-up" workshop served as a feedback and verification session on the collective "outputs and outcomes" gleaned through observation, "walk abouts" and discussion with groups of villagers in the various communities visited.

In each village, in various configurations, the evaluators held in-depth discussion with disaggregated groups of women and men, ascertaining the history, benefits and effects of the project activities, changes in the community as a result, their involvement in the process, other ideas, aspirations, and concerns. The evaluators also conducted "walk-about" and held informal discussions and incidental interviews with community members.

The mission visited between two and four villages per Township. "Co-evaluators" visiting the communities included WATSAN team members, local artisans, a number of HDI-E sector specialists, the HDO, and the Community Development Workers (CDWs).

(Annex 4 provides the names of the participant co-evaluators in each Township.)

1.2.4 Key Documents Consulted

The consultants reviewed many documents in preparation for and during the mission activities. However, particular key documents helped to inform the assessment deliberations. These include:

- CWSS MYA/93/025 and MYA/96/002 Project Documents
- December 1997 CWSS-2 Project Progress Report
- The Terminal Report of CWSS-1 by the CTA, Mr. Egbert Schroten
- UNDP HDI-E August 1997 Assessment Report
- U Than Moe's February 1998 Project Management Report

² Due to time constraints a full scale wrap-up workshop was not possible during the field visit to the Dry Zone.

- Liz Juppenlatz' August 1997 Assessment of the Community Process.

(Annex 5 provides a full list of the key documents consulted)

2.0 Project Context

2.1 The Myanmar Country Situation

In UNDP's 1997 Human Development Report, Myanmar continues to rank at the top of the "low human development" range of countries. Life expectancy is at 60.0 and 56.8 years for women and men respectively. Myanmar falls below 0.5 on both the Human Development Index and the Gender related Development Index. Infant and child Mortality are 86 and 150 per 1000 respectively; 57% of women are attended by a trained practitioner for delivery.

The 1995 and 1996 UNICEF and Government Surveys³ revealed that 59.7% of Myanmar's population had access to safe drinking water; with urban and rural coverage of 78% and 50% respectively. Disparities in rural states/regions are reflected by the range of coverage from 19% to 71%. At that time, it was estimated that 48% of the population used unsafe drinking water—unprotected well, ponds, rivers and streams.

Based on the same studies, the percentage of the population with access to a sanitary facility for excreta disposal within a convenient distance was 42.7%; 56.3% urban and 35.8% rural. The range in rural areas was 22% to 65%. Poor quality of water and poor sanitation and hygiene practices are major contributing factors to childhood deaths due to diarrhea, worm infestation and malnutrition, estimated at 30,000 annually.

The National RWSS study also found that among the 56.2% of households who had a sanitary latrine, 99% of the facilities were regularly used. This demonstrates a remarkable transition in behaviour patterns.

Figure 2.1 is a Map of Myanmar, with identification of the eleven HDI Townships.

2.2 CWSS as part of the UNDP Human Development Initiative (HDI)

2.2.1 Background of HDI and HDI-E

In 1993, in recognition of the critical humanitarian and development needs of the people of Myanmar at the community level, the Governing Council of the UNDP authorized the agency to proceed with the formulation of a programme which would have "... grass-roots level impact in a sustainable manner, particularly in the areas of primary health care, the environment, HIV/AIDS, training and education and food security." The resulting 1994-1995 HDI Programme responded to the GC mandate of a "downstream" approach, with capacity building specifically directed towards community-based organizations and local

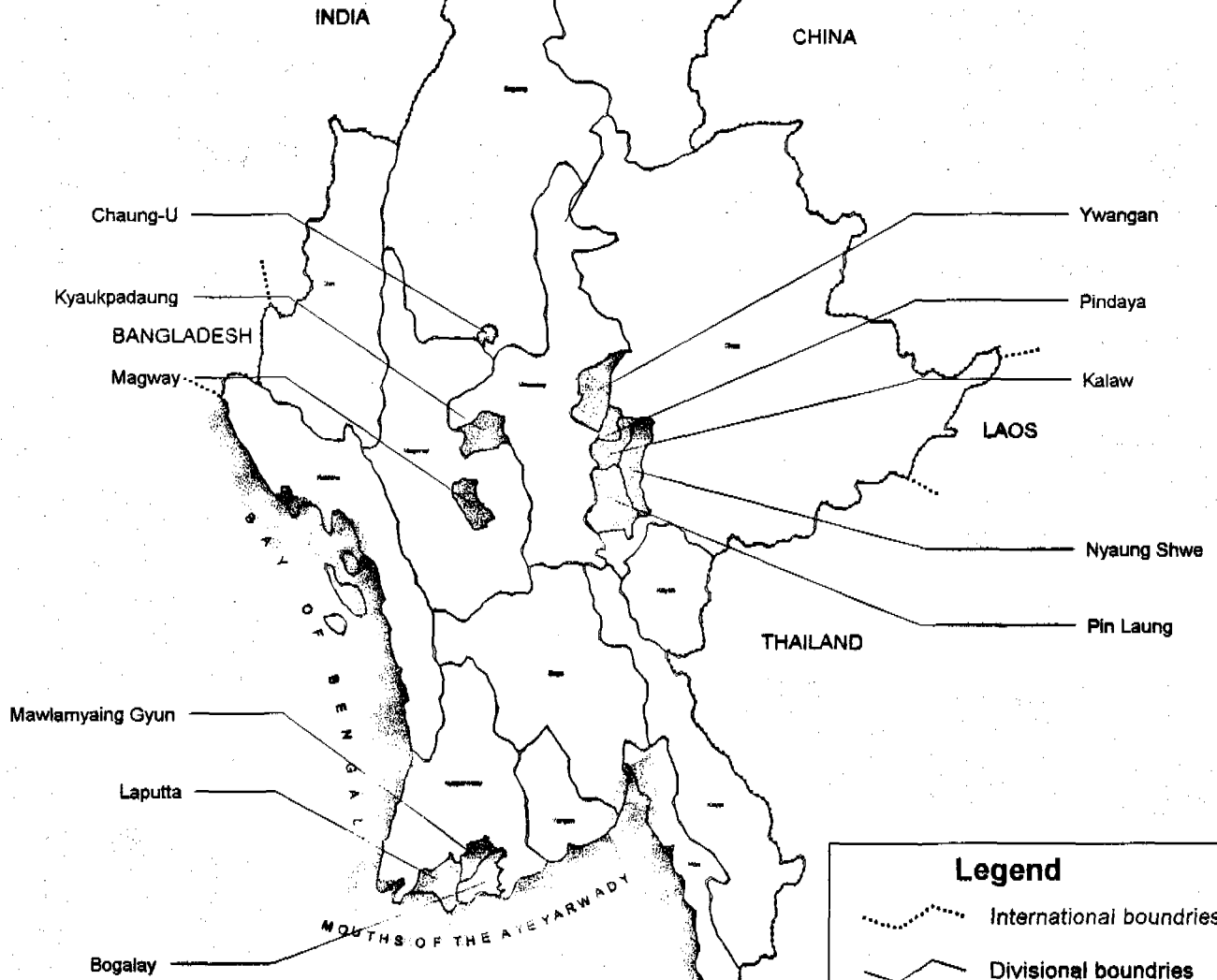
³ Dept of Health Planning and UNICEF. (1996) National Survey on Rural Water Supply and Sanitation; UNICEF and Dept. of Planning and Statistics (1995). Monitoring Progress toward the goals of Summit for Children through Multiple Indicator Cluster Survey (MICS).






UNDP



UNCHS (Habitat)



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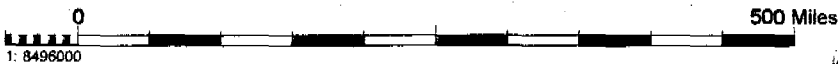
-  International boundaries
-  Divisional boundaries
-  HDI-E project townships



North

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community support structures. By working "downstream", rather than at central and departmental levels as in traditional UNDP programmes, the intention is that HDI impacts on national programmes and capacities only by setting an example and through demonstration.

In January 1996, the Executive Board of UNDP approved the continued funding of the HDI, so named HDI-Extension, until April 1999. In March 1998, based on an assessment that the assistance provided to Myanmar continued to meet the provisions of the original decision, the Executive Board "approved in principle" a further extension until the end of 2001.

The HDI objectives are:

- (a) To create a visible and measurable impact on human welfare, in particular of the poor and the disadvantaged, in the specific areas of health, education training, food security, HIV/AIDS, and the environment;
- (b) To involve communities in the identification, design, and implementation of grassroots initiatives of direct benefit to them; and
- (c) To strengthen local capacities required to sustain community-focused participatory development.

These objectives are to be pursued through an integrated poverty alleviation strategy, which encompasses three main approaches: To increase access to basic social services; to increase access to productive assets; and to provide direct support for the poorest, the most disadvantaged and vulnerable segments of the population.

HDI- E is intended to improve on the first phase by the following strategies:

- (a) attempting to integrate sectoral components together at the community level in a holistic manner;
- (b) giving more attention to income generation and capacity building at all local levels;
- (c) responding more directly to community initiatives; and
- (d) including community based organizations (CBOs) as development partners.

2.2.2 Community Water Supply and Sanitation (CWSS) within HDI

The original projects (15 in HDI, and 10 in HDI-E) were grouped in three clusters: human development and humanitarian needs; environment and food security-(agriculture, forestry and fisheries); and an inter-sectoral cluster. Water Supply and Sanitation (CWSS) is in the first cluster along with Primary Health Care, Basic Education and HIV/AIDS. The inter-sectoral cluster, in addition to the inter-sectoral project in the

border areas, includes the micro-credit project (new in HDI-E) reflecting the cross-sectoral importance of micro-credit for income generating activities. This cluster also includes HDI-S, the Support Project in HDI-E which is intended to provide IEC, and research and analysis, including the development of indicators for monitoring and evaluation of HDI-E as a whole.

2.2.3 HDI and the UNCHS Mandate

The mandate of UNCHS endorses both urban and rural initiatives and recognizes the need to balance these in seeking sustainability in human settlements development (The Habitat Agenda, Section IV C. 10). Further, it distinguishes the importance of development in rural regions in reducing urban to rural migration, maintaining food production, sustaining indigenous populations, balancing social and ecological systems in protecting bio-diversity and fragile ecosystems and sustaining the use of biological resources.

In focusing on the phenomenon of human settlements in rural regions of Myanmar, the Human Development Initiative (HDI) is consistent with the UNCHS mandate. Such an initiative is particularly appropriate to Myanmar, as the nation's rural population has been maintained and rapid rural-to-urban migration has not yet occurred. Thus, through focusing on rural regional development, the opportunity still exists to preserve an urban-rural balance. Water and Sanitation are, of course, essential elements in the rural development equation, in support of improved health and economic wellbeing of rural dwellers.

The community development-based program delivery modes of the HDI, emphasizing empowerment, participation and ownership, are also key dimensions of the UNCHS mandate; so too is the use of indigenous and culturally appropriate technologies for both the social and technical aspects of the Project. These dimensions are viewed by both UNCHS and UNDP as the basis of long term sustainability.

2.3 Building on CWSS-1: Assessment of Progress

The mission was asked to reflect on the experience, impact and lessons of the first CWSS project, which had not undergone a formal evaluation. This section attempts to do this. Much of our assessment is based on secondary data and discussion with current project and UNDP staff who were also involved in the first project. We did visit some villages that had received inputs in both phases, but only two who had been involved in CWSS-1 alone. While generalization is not possible based on that sample, we do offer some observations. (*The CWSS Terminal Report*, written by the CTA, is a particularly insightful account of lessons learnt in CWSS-1.)

2.3.1 Summary of CWSS-1

The first CWSS project within the HDI was implemented in seven townships and in selected areas of Yangon Division. The three project Zones were selected based on their human development indicators being below the national average; they also represent zones where specific natural resource constraints (land, water and forest cover) require an intensive effort to ensure sustainable development. The time span was two years, from early 1994 until August of 1996. The budget was US \$2.3 million.

The CWSS-1 Project Document reflects a very strong community-based approach and flavour, reflected particularly in Annex 5, the "Immediate Objectives, Outputs and Activities" Matrix. The Terminal Report summarizes the basic elements of the project strategy as:

- to assist communities to manage their resources in addressing the problem of water and sanitation through enhanced analysis of the problems and opportunities;
- to introduce between the communities and the support agencies a partnership based on mutual commitment on the role of each partner;
- and to expand the network of local artisans and suppliers of goods and services that go to meet communities' ultimate need for water supply and sanitation.

2.3.2 Summary of Results against stated Objectives

Objective i) improve access and quality of community water supplies and sanitation and hygiene practices in Myanmar's poorest and most water short townships.

- CWSS-1 exceeded this implementation objective. Over 700 water schemes were implemented. The number of beneficiaries of the village water supply projects was estimated at 450,000, and sanitation activities benefited 275,000 persons, both well beyond the targets in the project document.
- The project succeeded in the adaptation and/or development of appropriate technologies for the water sector in all zones, and developed and tested innovative technology for sanitation in water-logged areas.

Objective ii) achieve sustainability of services through demonstrated community management and demand driven programming;

- All projects were designed and implemented with community WATSAN committees, based on demand and using improved traditional technologies. Sustainability was perceived to be built into this community management process. The two CWSS-1 villages schemes visited during the evaluation were not well maintained, and the WATSAN committee did not appear to be viable. This observation suggests that capacity-building inputs provided at that time may not

have been sufficient to ensure sustainability. The observation also highlights the importance of the current project to provide on-going monitoring of the earlier schemes/villages to ensure sustainability.

Objective iii) strengthen local support capacities for community-focused water supply and sanitation sector development, with emphasis on private sector, NGOs and local administration.

- While there were some perceived results in terms of improved local capacity for repair, maintenance and artisan construction skills, the objective of water and sanitation sector development could not be realistically met in the short project time frame. Thus this objective was brought forward to CWSS-2.

2.3.3 Strengths, Weaknesses and Lessons Learned

Strengths:

- By all reports CWSS-1 did a commendable job at carefully defining and implementing a community mobilization process, including a thorough needs assessment, the NAS tool itself, and a systematic ranking of villages related to the extent of deprivation, particularly related to water. The process for screening villages provided a viable management mechanism of selection and programming. Significant contributing factors to this success appear to have been:
 - (i) in-depth training of the WATSAN staff in community mobilization, including development theory and participatory practices and tools; and
 - (ii) Project Leadership (Management and Implementing Agency) that not only understood the technical development issues and needs, but who understood the intricacies and complexities of the community process and what was needed for sustainability of that process. (see Terminal Report, #4 "Findings and Lessons Learnt")
- Technological adaptation and innovation: the project brought in consultants as necessary to assist with solving water and sanitation problems; it also appropriately disseminated findings and reports.
- Gender balance in the establishment and functioning of the WATSAN committees at local level.
- Data Base Maps, using Habitat-supported Map Maker software are excellent tools which continue to be used in the project.

Weaknesses:

- Health and Hygiene Education component of the Sanitation objectives was not well developed or implemented, due to central planning, too short a time period, and lack of expertise.

Lessons (some directly from the CWSS-1 Terminal Report, section 4)

- Importance and complexity of the front-end work, the community process
- Importance of project partners (staff and community groups) to rely on learning-by-doing
- Importance of training staff to understand and work with community, especially if their backgrounds don't easily lend themselves to this orientation.
- Difficulty of a short project to determine sustainability, or to define results beyond immediate outputs
- Need for on-going monitoring for sustainability
- Impossibility to build up local artisans and intermediate inputs in a short time
- Need for the development of an institutional mechanism to facilitate and sustain community actions, in WATSAN and other endeavors- technically, managerially, and financially.

2.3.4 Design Strategies and Challenges brought to CWSS-2

There are at least three design strategies that build on the experience of the first project:

- CISF- while there were many reasons to build in such a component, the need also grew out of the project's recognition of the need for investment in community driven priorities, and the need for capital investment to assist the development of producers of intermediate technologies;
- The planned intersectoral approach to sanitation education, along with the Primary Health Care project and the Education project, and the added support of NGOs experienced in the methodologies needed.
- Packaging- of the project efforts so that the inputs are not seen as discrete activities, but entry into and part of an overall community capacity building effort.

The Challenges brought forward to the CWSS-2 project include:

- To continue to build on the community mobilization process
- To move into the next stage of building local capacity for artisans/intermediate inputs for the water and sanitation sector.

- To monitor/sustain those initial communities in their water and sanitation programs
- To recognize that the first communities entered in the CWSS-1 were in fact quite deprived communities, and may need additional inputs, i.e., CISF.

In summary, the CWSS-1 project provided an excellent base in terms of elucidating the community process and in going a long way in determining through action research, the appropriate technological choices available to communities for improved quality and quantity of water supply. It also succeeded in meeting its targets in terms of persons affected, although the performance on sanitation education and the development of a cadre of trained artisans was not substantial, primarily related to the short time frame. The Project also provided a number of important lessons that contributed to the design of CWSS-2.

3.0 CWSS-2: Project Logic, Structure and Intended Process as per the Project Document⁴

The CWSS-2 (MYA/96/002) project, one of the ten 1997-1999 HDI-E projects, "focuses on providing protected community drinking water supply and promoting safe sanitation practices in eleven townships, with priority on those communities where the deficiency is more severe and the overall level of welfare deprivation is higher."

3.1 Problems to be addressed

The Project Document identifies the problems to be addressed from three perspectives: the quantity and quality of water, the institutional environment that provides opportunities or constraints, and the limitations in available technology.

3.1.1 *Quantity and Quality of Water*

The three project zones- Southern Shan State, the Dry Zone, and the Ayeyarwady Delta- have distinct geophysical and ecological characteristics. However, they all share the fact that the supply of water, or number of sources of supply, are not adequate to meet the community demand; and seasonal shortage is acute in many communities, especially in the Dry Zone. In addition, the availability of water invariably affects the extent to which people can adopt good hygiene practices.

Communities display a low level of awareness about water quality and environmental sanitation and their relationship to health, and there is a lack of specific community level information on what constitutes safe water and sanitation practices. Well-researched information on the social aspects of water supply and consumption is scant in Myanmar.

3.1.2 *The Institutional Environment*

While public agencies are officially responsible for water and sanitation services, in reality public services are absent or have a weak presence at the community level. Communities have limited opportunity, due to isolation and poor linkages, to access existing private enterprises/suppliers that could meet their needs for intermediate inputs in the sector, such as concrete rings, storage jars, squatting pans.

The lack of support for community-based multi-sectoral initiatives, that have the potential to act as an underlying link between sectoral interventions has contributed to a missed opportunity for greater programme impact.

⁴ The information in this section is primarily drawn from the MYA/96/002 Project Document, with some additional comments, clarifications and questions from the mission.

Note: Enablers within the institutional environment learned from the first project's experience include (in addition to the vacuum created by the "absence" of government intervention) the receptivity of the communities to a "participatory process" in which they decide, assist in design and implement an improved water supply system; and the high interest of women in the sector, demonstrated in their willingness to work and understand how they can improve the situation for their families.

3.1.3 Limitations in Available Technology

Technological challenges persist in each three ecological zones. These include:

- In the dry zone- water loss due to seepage and evaporation in the village ponds, in a water scarce area;
- In Delta and Inlay Lake, limited design options for human waste disposal;
- In all three zones, there is a need to rely on more than one source of water supply per village because of the cost involved, the reliability of a single source, the scarcity of water, nature of population distribution and the climate. However, this involves adapting new technology to the local environment, and ensuring social acceptance, the availability of spare parts and local maintenance skills.
- Limited material and technical resources for maintenance that could be accessed and carried out at the local level.

3.2 Development Objectives and Strategies

The stated "goal" or development objective of the Community Water Supply and Sanitation project is to:

"improve access of protected community water supply and promote safe sanitation and hygiene practices in selected townships of Myanmar by enabling communities to mobilize and organize resources."

Written at the same level, the (development) "objective" of the new component in this phase, the Community Initiatives Support Facility (CISF) is to:

"strengthen the capacity of target communities to undertake small-scale local development initiatives that are multi-sectoral in nature, directly beneficial to the poor and disadvantaged and have a synergistic value and/or the potential to enhance overall impact on the well-being of the target population."

CWSS, As part of the Human Development and Humanitarian needs cluster, is intended to further the objectives of the education and health sectors as well. Further, the Project Document also directs that consistency should be achieved with the three projects across the township through such measures as: project interventions at the community level

being designed as part of a package comprising the other two projects as well; seeking support across projects in supporting hygiene practices; pooling technical knowledge in implementation of environmental sanitation and hygiene programmes; and making use of physical facilities created under one project to demonstrate good practices, e.g., schools and health centres.

3.3 Project Sub-Components- Objectives and Strategies

The Project Document provides five “immediate objectives” (in Annex 7 of the Project Document), to which are attached “outputs” and “activities” in a matrix format. These objectives are used as the basis for the project’s workplan, and for assessment of output performance. They are:

- i) To improve access to protected community water supply and to promote safe sanitation and hygiene practices in water and sanitation deficient communities of the target township (stated earlier as the project “goal”)
- ii) To strengthen functional linkages between communities and the producers of intermediate inputs. (stated also as an operational objective/priority intervention of CISF)
- iii) To increase cost-effectiveness by identifying and demonstrating appropriate solutions to water and sanitation problems through action research
- iv) To enhance the level of awareness on the importance of clean water and environmental sanitation practices.
- v) To strengthen the capacity of target communities to undertake small scale local development initiatives that are multi-sectoral in nature, directly beneficial to the poor and the disadvantaged, and have a high synergistic value or the potential to enhance overall impact on the well-being of the target population. (stated also as the CISF “objective”).

3.3.1 Water Supply and Sanitation

The water supply and sanitation project intends to pursue its objectives using a three-pronged overlapping strategy:

1. Perception and Promotion- Increasing the level of awareness in water and sanitation to generate demand for facilities and their maintenance, upgrading and operation, and for safe hygiene practices. This is to be accomplished by working collaboratively with other players in the field for the development of appropriate materials, and involving women and local CSOs to disseminate messages.

2. Expanding the range of choices- Involves following community priorities and progressive improvement to address needs without over-stretching community resources, putting emphasis on improving existing water systems first, and decentralizing decision making to the community level. This strategy includes a focus on strengthening formal and informal market systems for intermediate inputs by supporting direct community sub-contracting.

- **3. Packaging-** Project support to a community will be packaged to include both the water supply and sanitation components and their various phases such as awareness building, promotion, demonstration and construction of facilities in a coordinated way.

3.3.2. Community Initiative Support Facility (CISF)

The Community Initiatives Support Facility (CISF) is new in this phase as a separate, yet supportive component in the project, and indeed as a support to the whole HDI, as it is deliberately non sector-specific. The intent of the CISF is clear. However, the inclusion of the CISF in the project document is at best “awkward” at the level of CWSS stated objectives, strategies and implementation guidelines.

In the “Strategy” section of the document, three CISF operational objectives are stated; the same statements are identified as “priority interventions” later in the document. They provide clear direction:

- i) To assist target communities to identify gaps left by sectoral interventions and to devise solutions that can be implemented by communities for greater human development impact at that level;
- ii) To strengthen functional linkages between the target communities and the producers of intermediate inputs in the private sector so as to broaden the range of choices available to communities in meeting their needs and;⁵
- iii) To promote community-based small-scale, multi purpose schemes so as to maximize economic impact on the communities served.

⁵ There is an perception among some UNDP-HDI-E staff that these functional linkages are to be the first priority of the CISF, and specifically in the WSS sector, and then perhaps other community initiatives. However, this is not stated as such anywhere in the Project Document.

3.4 Geographic coverage , implementation and time frames

3.4.1. *New townships*

HDI-E added four new townships to the seven included in HDI. These are: in Southern Shan State Zone: Kalaw, Pindaya and Pinlaung Townships, and in the Delta Zone: Mawlamyaing Gyun Township. No new Townships were added in the Dry Zone.

3.4.2. *Implementation plan for priority village tracts/villages*

The Township Planning Exercise (TPE), carried out jointly by all sectoral projects, is designed to provide guidance for sector programming, i.e., decisions about villages/village tracts to enter. This exercise was implemented in the new townships, as it was in the seven townships of the first project.

Implementation procedures internal to the CWSS project are not specified in the Project Document. However, the project developed and implemented a needs assessment process and a NAS in the first project. The CWSS project has a merit point system for ranking villages according to need. Based on the data from the NAS, the criteria include:

- Distance of the village from present water source
- Period of water shortage
- Quality of water presently in use
- Number of population exposed to problems concerned with unsanitary water usage
- Other factors include:
 - high community participation in spite of disadvantaged condition
 - sustainability of technology used
 - compliance and wide participation in the technology used
 - cost of a barrel of drinking water (in areas where water is purchased)
 - Level of socio-economic deprivation

Based on these criteria, merit points are assigned to each village, and the villages ranked accordingly. Only those with greater than ten points are eligible for intervention in the water sector. Such a ranking might suggest that villages will be addressed in priority order, according to level of "water deprivation". Neither the document, nor current practice clarifies whether villages with higher scores are addressed in priority order.

For the CISF, the document indicates that the needs assessment survey (NAS of the CWSS project) and the township level planning exercise (TPE) are two discrete activities

which will assist in identifying broad (thematic) areas of intervention and the opportunities that exist in poverty pockets of each township.

Subsequent to the project document the CISF Advisor developed Guidelines to operationalize the CISF component. These provide guidelines for the community orientation process, and the identification of projects to meet the priorities of the communities, including introducing a "community contracts" system in a transparent and effective way.

3.5 Government Involvement

This project is designed to operate in collaboration with three Government Ministries. Thus, one National Project Director (NPD) each is designated from the Environmental Sanitation Department (ESD) of the Ministry of Health, the Water Resources Utilization Department (WRUD) of the Ministry of Agriculture, and the Department of Developmental Affairs (DDA) of the Ministry for Progress of Border Areas and National Races and Development Affairs).

The three NPDs are informed regularly by the OIC on all relevant matters, and are tacitly involved in approval/asked for their comments on the community projects. While there is a rationale for all three Department's involvement, they have varied levels of interest and representation at the Township level.

The ESD has the most direct interest in project activities, as sanitation education is often implemented jointly with the assistance of this Department's expertise, involving the Township Medical Officer (TMO) and the Rural Health Centre staff.

The Project Document indicates that each of these Government Departments will designate a staff member to work on a "team" with the WATSAN Promoter at Township level; they are called DSO, Designated Staff Officers. The situation in the field is such that the WRUD does not have staff below the Divisional Level at this time; the ESD rarely has someone in the Township, and if so, the person tends to be responsible for more than one Township, and thus unavailable. The DDA does have personnel at the Township level.

3.6 Budget

The Budget for CWSS-2, as shown in Table 3.1, consists of an overall UNDP contribution of US \$ 5.9 million; the Government contribution is Kyats 9,400,000. This budget is planned for a 30 month period, although the actual implementation time is closer to 24 months. The first CWSS project was \$2.3 million over a similar period.

What is of note in this gross budget table, is that 66% percent of the overall budget (\$ 3.9 of \$5.9 million) is allocated to Program Implementation- "on the ground" water,

sanitation and CISF programmatic activities. This includes the purchase of equipment, and support for the eleven Township level national/local staff and their operational activities with communities. Thus, the bulk of the resources reach the community in hardware, software, and capacity building activities.

Table 3.1 CWSS-2 Budget Categories

<i>Aggregate Budget Item</i>	<i>Amount</i>	<i>Totals</i>
International Personnel		US \$1.32 million
• Long Term CTA/App Tech	\$ 600,000	
• Short Term Consultants	\$ 750,000	
National (NPPP) Level Staff	\$ 435,120	US \$ 435, 120
Administration- Myanmar	\$ 200,000	US \$ 200,000
Program Implementation	\$ 3,900,000	US \$ 3.9 million
TOTAL		US \$ 5.9 million

3.7 Monitoring and Evaluation

Project specific monitoring is suppose to contribute systematically to the monitoring and evaluation of HDI as a whole. The HDI-Support Project is intended to provide guidelines on content and process for monitoring and evaluation for HDI.

In the CWSS Project Document, a comprehensive list of "Output Targets" are provided with performance indicators, in four categories- Physical, Organizational, Operational, and Action Research. The document also identifies what it terms "end-of-project impact targets", associated with improved water and sanitation, community awareness, community capacity, emergence of small-scale producers, policy formulation, creation of skilled field workers, etc.⁶ These are important categories of results, and reflect the capacity building nature of the CWSS-2 project. However, the only "impact" targets with identified indicators are for the water supply. Unfortunately, no mechanism or strategy is identified in the document for the systematic collection of information on these various targets and indicators.

⁶ From a Result-Based Management approach to results, these would be classified as "outcomes", not impacts, as impacts are long range development results, such as improved socio-economic status, improved health status, etc.

4.0 Findings- Assessment of the Project's Implementation

While the two projects share the same overall objectives, CWSS-2 clearly builds on the first phase of the project, CWSS-1. As **Figure 8.1** (in Section 8.0) illustrates, the major emphasis and thrust of the first phase was in two areas: designing and implementing a sound community-based needs assessment process for water and sanitation within the larger HDI poverty alleviation framework, and; exploring, identifying and establishing appropriate technical options for improved water supply and sanitation, and making them available to local communities.

While the second project builds on the first, the thrust is clearly on local "capacity building"- technical training for local artisans, managerial and financial training for artisan groups and CBOs, small enterprise development, environmental sanitation training, etc. The extensive organizational and operational targets delineated in the project document clearly attest to this emphasis on local capacity building.

This section of the evaluation- findings associated with the project's implementation is provided in light of the above understanding of the capacity building intent of CWSS-2. The assessment addresses start up and organizational structure; the elements of the project cycle "on the ground"- assessment, planning, implementation and monitoring and evaluation; integration of the new components; gender considerations; and convergence with other HDI projects.

4.1 Start Up and Establishment of Project Activities

4.1.1. Hiatus between CWSS project I and II

The multiple month gap between the end of HDI-1 and the commencement of HDI-E, resulted in the loss of the majority of CWSS' experienced WATSAN Promoters. As a result of the time delay and staff loss, valuable experience and momentum were lost at the community level.

4.1.2 Management Constraints

The services of the CTA from CWSS-1 surprisingly was not renewed (by the government). Therefore another candidate was approved as the new CTA for CWSS-2. The time needed for CTA orientation, new staff hiring and project planning delayed the actual implementation of project activities. The new CTA had difficulty assimilating the complexities of the new components such as CISF and the disaster preparedness in addition to the Water and Sanitation activities. He was not able to provide the leadership that was urgently needed to orient and train the new staff to the project's theory and practice, or to get the project underway in terms of timely disbursements of community

funds and salary. These management constraints resulted in a serious loss of morale and slow implementation of project activities in 1997. The services of the CTA for CWSS-II was terminated after nine months in September 1997. These management difficulties unfortunately coloured all aspects of the project's implementation in the first year of the CWSS-2 project. A replacement CTA has just been approved in April 1998, after a six month hiatus.

4.1.3. *Interim Project Arrangement*

An interim management arrangement was struck while the process went forward to recommend and seek approval for a replacement CTA. The expert contracted in July 1997 to implement the CISF component agreed to take on interim responsibilities of the CTA as the Officer in Charge (OIC) for "a short period" in October 1997. The UNCHS Human Settlements Advisor, stationed in the UNCHS Fukuoka office, Japan, agreed to provide substantial backstopping guidance and support to assist the OIC implement the project.

While there is some loss that cannot be fully recovered, the interim management arrangements have resulted in the project now being back on track, both in terms of implementation schedules and staff morale. A number of changes that have been put in place in this interim period to improve project effectiveness. These include:

- Streamlining of financial disbursement to the community level.
- Community Contracting system, developed for the CISF which focuses on "transparency" of all stages, now being implemented with the water "micro-projects".
- The move to hire local "artisans" to work with the project on a "short term" need basis rather than WATSAN "artisans" full time who tended to be technically trained, but not from the local communities.
- Hiring additional Technicians to assist with the increased workload.
- Zonal Engineers spending time very month with the OIC in Yangon to review progress and proposals.
- Participatory Management thrust – staff "Work-Planning" Workshop

4.2 Organizational Structure and Staffing

4.2.1 *Continuity with CWSS-I*

The same basic organizational structure continued into the second project, with Zonal Engineers in each Zone, and a WATSAN Promoter in each township, working with a WATSAN technician. The great majority of these staff in the first project were civil

engineers. Of the current Zonal Engineer level (one per zone and one for the CISF), three were WATSAN Promoters in the first project, and one was a Zonal Engineer, but in a different Zone. (*The Project Organization Chart is provided in Annex 6*)

4.2.1 New Staff Hiring and Orientation

Nine of eleven Township WATSAN Promoters are new staff in this phase (CWSS-2). Several are not civil engineers. This was a large turnover, which suggested the need for a significant staff orientation. However, these new Promoters were not provided with a formal or systematic orientation to the project. In particular, there was no orientation to developmental thinking as it applies to the nature of the project's capacity building activities (CWSS and HDI-E), or training in participatory approaches for working with communities and with their teams. (The staff at the beginning of the first phase participated in an intensive five-week training workshop on participatory approaches to needs assessments, etc. which by all reports was very valuable). The new Promoters were fielded immediately in order to begin to "implement" quickly before the '97 rainy season. They had to learn "on the job", and rely on the Zonal Engineers for direction and support for all aspects of their work.

Another significant staffing change is more recent. Each Promoter now has two Technicians on the team, each of whom is a technically trained civil engineer. This decision has been taken for two reasons: to handle the increasing rate of water supply scheme implementation, and to assist with the development and implementation of CISF projects. WATSAN "artisans" are being phased out as full time staff, in favour of working with local artisans on a casual/need basis as part of a strategy to build local capacity.

A role of "Artisan Trainer" has been operationalized in the Delta Zone. This is on a trial basis to assist with the implementation of the new artisan training program, and then may be replicated in the other Zones.

With the inclusion of the CISF component, one national staff has been hired at the Zonal Engineer level (NPPP) to assist in CISF's development and field implementation in all Zones, including the Disaster Management Pilot activities.

4.2.3. Evolving Roles and Responsibilities

Although there are no changes in the organizational structure, there are some changes in roles and responsibilities of key staff in this project. The WATSAN Promoter has taken on more management responsibility for the Township activities- submitting proposals, managing community contracts, including providing funds to the community for water supply schemes and more recently for the CISF proposals. This has resulted in speeding up the whole process, and appears to be working well. The Zonal Engineer still is aware

of all proposals and provides technical back-up where necessary, but proposals do not have to be approved by the Zonal Engineer prior to submission to the CTA for approval.

This change, along with new project activities, and the inclusion of new key staff in the project organization, have highlighted the issue of the respective roles, functions and responsibilities of the Zonal Engineers and WATSAN Promoters. The Zonal Engineers express some discomfort with the present situation, as they are unclear about just what their evolving role entails. The original job descriptions for the Zonal Engineer and the WATSAN Promoter show very little differentiation in roles and responsibilities; this has likely added to the lack of clarity. A Project Management Consultant proposed a revised job description for the Zonal Engineer, which begins to address some of these concerns.

4.2.4 Government Involvement

The mission found that in fact, there are very few government DSOs involved in project activities. There were none in the Shan State; one from ESD in Dry Zone who is working in two Project Townships; and in the Delta there were two in Bogalay, (ESD and DDA/TDC) and one in Mawlamaing Gjun (DDA/TDC). Those that are involved are quite active and supportive. But in sum, for the overall project, it does not provide an effective partnership mechanism at the Township.

Working with three ministries has proved to be a very cumbersome situation. This is not a difficulty of the individual NPDs, who are cooperative and interested. However, it is particularly difficult when seeking approvals for international consultants, and thus contributes to delays in accomplishing some project objectives. Most recently, the selection/approval of a replacement CTA has taken over six months, at least partially due to the difficulty of reaching consensus among three ministries.

4.2.5 Involvement of NGOs, and the Private Sector

The project had no official NGO collaboration in the first phase. In this phase, a Japanese NGO, AMDA, was contracted to undertake action research for a "sunlight solution" to purifying water. Informally, the project is involved in an active exchange of ideas and experiences with UNICEF, and NGOs involved in the sector.

NGO contracting has been planned in this phase to assist the project with the sanitation education component, an area of weak performance in the first phase, and slow progress in this phase. However, the process of selection/contracting has been in abeyance for some time, due to the unavailability of those NGOs working in Myanmar; and bringing in an NGO from outside would face substantial constraints in approval. Discussions are now proceeding with three INGOs (April 1998); this looks promising.

The project is charged with "linking with the private sector". Involvement with the private sector is generally interpreted as developing "small enterprises" with the artisans

that are being identified and trained, or to encourage already existing small entrepreneurs to produce items that would assist in sustaining the water and sanitation sector activities. This is a complicated process, and one in which the staff has little or no expertise. The staff is proceeding with artisan training, which is an essential first step, and within their skill sets. Consultant assistance is required to enable the staff, particularly the Zonal Engineers, to learn the steps and activities involved in encouraging and assisting small enterprise development, and linking with the private sector.

4.3 WATSAN Project Cycle "On the Ground"

This section constitutes an assessment of the implementation of the project activities at the village level, based on the components of the "project cycle": Assessment/Project Identification, Planning, Implementation, and Monitoring and Evaluation.

4.3.1 Assessment of Need and Project Identification

By December 1997 Needs Assessment Surveys were completed for the new townships, and an update was completed in the others, for a total of all 3480 villages in the 11 Townships. However, some difficulties have been noted with the needs assessment process and survey, as it was implemented in this phase. These include:

i) The process:

The process developed in the first phase used a significant participatory approach to needs assessment and problem identification at the village, involving a number of visits; the survey data was only one output of that process. The new WATSAN Team had no training in participatory techniques, and thus tended to approach the NAS as a discrete task, and not as one point in a broader community process. In addition, the time pressure to complete all the NA surveys by a certain date, necessitated relying on additional personnel outside the WATSAN Team. CDWs and temporarily hired enumerators completed a large percentage of the village surveys in most townships. The facts that these additional persons were not well trained in participatory techniques, were under time constraints, and lacked technical background in water and sanitation, raises questions about validity and usefulness of some of the data.

ii) The NAS survey format:

The form used for the collection of data was re-structured for ease of computer entry. While this was helpful to the project in one sense, the new format did not lend itself to a participatory approach to gathering data. It was the form that the new WATSAN promoters were oriented to; and the format would appear to reinforce the "filling in a form" approach.

4.3.2 Planning

WATSAN Team planning at the Township level currently has two aspects. One, recently introduced for the 1998 Work-Plan, is setting the number of schemes that each Promoter is expected to implement over a time period. Therefore, there is an annual output "target" - e.g., number of water schemes to be completed per Township, numbers of plastic pans to be distributed, number of associated training sessions, etc. This number relates directly to the overall implementation targets of the project. While this has provided very helpful guidelines for the Teams, there is a downside. There is currently a push for faster/greater numbers of schemes to be implemented in 1998 to compensate for the slow performance on outputs in the first nine months of 1997.

The second aspect of planning involves selection of villages or village tracts for project activities. These decisions are presumed based on priorities, as defined either by the project's NAS data, or by the "priority areas" defined by the TPE "poverty mapping", or by some overlapping of those assessments. In reality, how these decisions are made varies widely by Township. For example, a very high NAS "merit point score" doesn't necessarily mean that that community's needs are addressed before one with a lower score; as long as the village score is above 10, and the community requests, the team goes forward. Therefore, it is unclear whether the WATSAN team plan their activities to address communities related to "severity of need" priority order. The fact that the mission found it difficult to ascertain from the staff whether villages with the greatest "water deprivation needs" had been addressed, suggests that this has not been consciously part of the planning strategy at the Township level in this phase.

The team also noted that in some cases, especially with the push to implement increased numbers of schemes, that there may be a tendency to select communities where the cooperation and contribution is the easiest. These villages may not be those with the greatest water deprivation or other needs. These programme planning require further discussion amongst the staff.

4.3.3 Implementation

Implementation at the community level involves the process of establishing a CBO, exploring and clarifying the most appropriate technical options for water schemes, developing the proposal with the CBO/community, managing the community contract, providing the technical assistance, and providing the capacity building necessary for construction/renovation, and sustainability of the schemes.

Our assessment is that the CBOs- WATSAN or Water Committees, were generally selected or elected by the community, were active throughout the process, and in most cases took responsibility for managing and maintaining the schemes. Gender balance is

very good, and the women, by their own report, were very active in the great majority of cases, and proud of it!

Community Contracting and implementation of schemes appeared to be working very well, under the Promoter managed system. Technical backup is generally good, with only a few "mistakes" where very good lessons had been learned. The flow of funds to the community is working well. The increased "transparency" introduced in the CISF community contracts is a effective intervention which is now to be implemented in the water scheme contracts as well.

Local capacity building has two aspects- technical capacity building, i.e., artisan training, and management capacity building- planning, financial and monitoring. The need for capacity building of the CBO is not well understood conceptually by the staff, nor is it something with which they have experience- e.g., training in planning, management and bookkeeping. There is still a tendency to view the CBO as the mechanism to implement (and maintain) the scheme, but with little vision beyond.

The need to train artisans is well understood, and the staff are comfortable with this aspect of the work. The next step of "small enterprise development" is an area where there is, again, a need for staff capacity building, as this is outside their current expertise.

4.3.4 Monitoring and Evaluation

Monitoring is a management function. It involves the collection, analysis, reporting and use of information to track progress on the project's implementation, in order to assist on-going decision-making. If a project aims to support a development process, then the process requires monitored. Thus, as this project supports "capacity building", then both the progress on capacity building- the outcomes, and the process of implementing capacity building need to be included in the monitoring framework, with relevant indicators.

Monitoring currently occurs at two levels in this project- the Township project level, and the community level. At the Township level, the monitoring mechanism consists of the Promoter's monthly technical and financial report and the Zonal Engineer quarterly reports. These reports documents activities undertaken and numbers/types of schemes implemented, trainings given, etc. It provides aggregate information on physical "outputs" alone, not "outputs against workplan". The current reporting system also does not lend itself to providing feedback to the Promoter about his/her performance.

At the field level, artisans, technicians and promoters, and ZEs monitor in each village; they examine water schemes, latrine building, CISF constructions, in order to ensure appropriate construction, function and maintenance. They meet regularly with villagers,

and likely have a good sense of how well the CBO is functioning. This happens as a matter of course, but to our knowledge is not reported in any systematic way.

Monitoring is also being carried out by the CBOs themselves. They tend to do this in a very systematic manner when they are responsible for a "contract", such as for construction of latrines. To date, this has not been included in the project's view of "monitoring". However, these experiences provide a number of very good lessons that could be built on to develop a "community-based" monitoring component for the project.

The current framework does not provide guidelines for monitoring related to progress on "operational" and "organizational" outputs on a village or village tract basis, which might focus thinking on capacity building, or for the "impact" targets for water schemes outlined in the project document. Therefore there is no reported information on sustainability of community schemes, the viability of CBOs, progress on addressing project priority villages, or the numbers of communities whose needs have been addressed. It does not encourage the team to consider, for example, performance related to longer term "outcomes" associated with capacity building activities, or for assessing their own performance in the community-based work. In sum, current monitoring is implementation-oriented only, and does not encourage the staff to think beyond "outputs".

The mission observed that the villages which had schemes implemented in the CWSS-1 project, were not receiving any regular visits from the staff for monitoring the sustainability of the schemes. This is further evidence of the "implementation" versus the sustainable "outcome" orientation. There appears to be a perception among some project staff that they are not responsible for follow up on the earlier implementation.

To our knowledge, the HDI-S project has not provided a "monitoring and evaluation" framework or indicators to the CWSS project for their input, feedback or use.

4.4 Integration of New Initiatives-CISF, Disaster Preparedness, Artisan Training

4.4.1 CISF

The CISF provides an mechanism by which the CWSS and other projects can respond to broader development needs of the village communities. The CISF component represents a natural evolution that squarely addresses the HDI-E objectives. Our assessment is that the CISF is also a mechanism that is enabling the Project staff's consciousness to shift to a broader development orientation, which will have benefit to the water and sanitation activities as well.

The CISF guidelines were developed in consultation with the staff, and the staff have been involved in the introduction and implementation of the CISF concept at the Township and community levels. As the WATSAN Teams are introducing the CISF component at the community, they are engaged in a wider development discussion, and involved in a participatory process that is outlined in the CISF guidelines. This is serving to increase their own understanding and capacity for development thinking.

One application of the CISF is to assist with small enterprise development associated with intermediate inputs in the water and sanitation sector. This is beginning to happen, but the mechanisms are not yet clear, and require consultant inputs on small enterprise development.

4.4.2 Community-Based Disaster Management

This new initiative is supported through the CISF on a pilot basis in this phase (20 schemes are targeted to be funded). This component addresses the urgent needs of communities in terms of disaster preparedness, mitigation, relief and rehabilitation. This is particularly poignant in the Dry Zone where there are outbreaks of fires in the windy pre-monsoon season coupled with the scarcity of water. Consultants from the Asian Disaster Preparedness Centre (ADPC) at AIT in Thailand conducted two awareness training workshops on the community-based disaster management process. Already this approach has been applied to address a recent fire outbreak which gutted the majority of houses in a village in Magwe Township. A proposal submitted by the village to the CISF will enable the setting up a model disaster management village that can respond and incorporate all the steps to prevent fire outbreaks. Several other fire ravaged villages are also applying for CISF assisted programs. The newly appointed CISF coordinator is also responsible for the Disaster Programme, and works with the WATSAN Promoters in the Dry Zone.

4.4.3 Artisan Training

Artisan training is taking on a more organized nature with support from CISF. WATSAN Promoters and Technicians are expected to identify potential candidates for training beyond the one or two projects in their respective villages. Learning packages are being developed for various skill modules, with some theory as well as technical information. A small test will be administered by the Technicians and a certificate will be provided upon completion of the various modules. As this develops further, training can be provided in management and financial aspects to those interested in pursuing the small enterprise direction. An artisan Trainer has been contracted in Delta Zone to facilitate the process there, as a pilot approach.

4.5 Gender Considerations

Consideration of gender issues must be a central concern in all aspects of this project, given the primacy of women's connection to and involvement in water, sanitation, and health issues in the family and the community. Our assessment of how well this has been attended to is as follows:

4.5.1 WATSAN Committee and Activities

As stated earlier, the project has promoted, quite successfully, "gender balance" in the CBO formation for water and sanitation. Women by their report are very active in all aspects of project implementation, maintenance and follow up. They are also quite vocal about themselves as "beneficiaries" of improved water supply in particular, but also sanitation facilities.

4.5.2 Women's Community Priorities

Women's concerns, as expressed during community discussions, invariably focus first on meeting the education needs of their children. This was expressed in two ways: one in that they want to build/have closer access to middle schools, which are quite rare in the areas we visited; or to generate more income locally in order to have the resources to send their children to the middle school, which tends to be some distance and expense away. Underlying this are two stark realities. The first is that the great majority of women over the age of 20 have only completed grade 4, and those over 35 have even less, and they recognize their disadvantage. Secondly, girls continue to drop out of school earlier than boys. Women were extremely proud when they could point to one of their daughters as attending or graduating from middle school.

These insights suggested two points. First, in introducing CISF and its potential to the communities, the project could disaggregate the discussion in the community meetings to ascertain what the priorities of the women might be, in comparison to the men. Second, as this is such an obvious priority, the CWSS project could explore ways to work creatively with the Primary Education Project and the CISF mechanism to address these needs.

4.5.3 Capacity Building

The project is focusing on capacity building of artisans, which by local definition are generally men. It is appropriate to encourage women's participation in these training programs where there is interest. Women do not marry early in these communities, and have time and energy to be involved in their own capacity development. They also should be considered in the realm of producers of intermediate inputs; many women entrepreneurs were evident in the villages visited.

Women are also extremely interested to learn what women are doing in other communities, e.g., to see how women have custom made "energy saving" stoves in another village. Exchange visits are very important for idea development. The project staff needs to be cognizant of facilitating exchanges among active women in the various communities, e.g., the women members of the WATSAN committees.

4.5.4 WATSAN Staff

Women participation on the WATSAN staff is increasing: three of the four Zonal Engineer level staff are women; one Promoter of eleven is a woman; and there are now two new women Technicians, out of twenty two. For future hiring, all other things being equal, the project should endeavor to hire qualified women as Promoters and Technicians.

Given that the majority of staff are men, it might well be important to include "gender sensitivity" training for project planning purposes in the series of workshops that are recommended for the staff.

4.6 Enablers and Constraints for Project Implementation

The following is a list of those factors that appear to affect progress on the project's implementation a whole: Those factors that assist, facilitate or enable - "Enablers", and those that hamper, slow down or constrain the smooth implementation of project activities- "Constraints".

Enablers:

- Current Interim Management situation
- Decentralization of decision making to the WATSAN Promoters
- Number of WATSAN staff "on the ground" (only HDI project with such a large staff presence)
- Community Contracting System
- Gender-balance/women's involvement on WATSAN Committees
- CISF- overall
- New Technician Staff
- Support from the DHOs
- CDWs- "Convergence in action"

Constraints

- The earlier management situation and the current six month period without a CTA
- Pressure for large implementation “targets” in conflict with Capacity Building orientation of this phase.
- Lack of participatory training for the WATSAN teams; Development consciousness uneven across the staff
- Lack of clear guidelines for monitoring and evaluation in keeping with the capacity building intent of the Project
- Slow government approvals for much needed international consultants
- Working with three Government Counterparts.

5.0. Findings- Project Results, Constraints and Enablers

This chapter provides findings associated with the "results" sought as the consequence of the project implementation. Aspects of the project's implementation are assessed in the previous chapter. Section 5.1 provides an assessment of results against immediate objectives and planned outputs; the data source for the tables in this section is the project's documentation. Section 5.2 provides information on "output" and "outcome" results of the project activities from the perspective of the community beneficiaries/ participants, based on the "Splash and Ripple" metaphor (see 1.1.4). The data source for these tables is the extensive community visits, workshops and discussions carried out by the co-evaluators in the three project zones. Section 5.3 provides the mission's perception of the "enabling" and "constraining" factors that are currently assisting or hindering the project achieving its objectives. Section 5.4 provides the mission's general observations on the CWSS's mutual "integration/ convergence" with other HDI-E projects.

5.1 Results to Date on CWSS-2 Output Targets and Immediate Objectives

This section provides a "report card" on the project's accomplishments to date against planned targets in terms of numbers of schemes, on the meeting of needs of villages with high NAS "merit points", and on planned outputs associated with the "immediate objectives" identified in the project document. It also provides a delineation of the project's technological accomplishments and innovations to date.

As shown in Table 5.1, of the project's lifetime target of 2840 village water schemes, the number completed in all of 1997 was nearly matched by the schemes completed in the first two months of 1998. This comparison is even more dramatic in the case of institutional water schemes (schools, health centres). Four times as many have been completed in the first two months of 1998, as compared to all of 1997. These figures reflect the greatly increased pace of project identification, approval and completion within the past few months, largely due to the changes in management noted in 4.1.3. Although percentage wise, the overall completion of village water schemes is currently only 20.53%, the acceleration of implementation is expected to continue. Thus, while the loss of momentum in 1997 cannot be fully recovered, the accomplishment will likely come close to planned targets by April of 1999.

Table 5.1: Implementation Outputs Against Project Targets - Water Supply, Sanitation and CISF

	Project Target 1996/99	As of end 1997		Jan, Feb 1998		Total % Completed
		Approved	Completed	Approved	Completed	
Water Supply Schemes						
1. Community						
a. Deep Tube Well New/Renovate	25	12	8	8	12	80.00
b. Village Pond: New/Renovate	1325	146	125	48	48	18.06
c. Pipe Water Supply Pump: New/Renovate	20	1	1	2	2	15.00
d. Gravity Piped Water: New/Renovate	50	46	31	28	35	132.00
e. Rain Water Harvesting: New/Renovate	730	80	53	23	50	14.11
f. Hand Dug Well: New/Renovate	560	62	50	35	24	13.21
g. Shallow Tube Well: New	120	20	14	23	3	15.83
h. Subsurface Dam: New/Renovate	10	1	1	2	2	30.00
Sub-total	2840	368	285	169	176	16.23
2. Institutional						
a. Schools	0	4	4	89	89	
b. RHC	0	1	1	10	10	
c. Sub-RHC	0	14	14	4	4	
Sub-total	0	19	19	103	103	
Water Supply Schemes Total	2840	387	304	272	279	20.53
Sanitation						
1. Households						
a. Distribution of Sanitation Plastic Pans	90000	29891	29891	15417	15417	
Sub-total	90000	29891	29891	15417	15417	50.34
2. Institutional						
a. Schools	2200	130	130	0	0	5.91
b. RHC	200	54	54	0	0	27.00
c. Sub-RHC	500	68	68	0	0	13.60
Sub-total	2900	252	252	0	0	8.89
Sanitation Total	92900	30143	30143	15417	15417	42.05
CISF						
1. Artisan Training	20	14	5	11	11	80.00
2. Disaster Management	20	3	0	7	8	40.00
3. Rural Infrastructures	40	13	2	24	14	40.00
4. Small Scale Enterprises	20	3	0	9	4	20.00
CISF Total	100	33	7	51	37	44.00

Sanitation targets are based on "distribution of plastic pans". While reporting on these figures doesn't reflect what percentage of households have built latrines, it is the planned first step. In terms of planned targets for household sanitation this is definitely on target, with 50.34% distribution to date. On the institutional side, progress has been slow, and appears stalled in 1998, with a distribution completion rate of only 9%. There is definitely room for improvement here, and this suggests an opportunity for greater convergence activities with the Health and Education projects, especially to tie in the sanitation education component with the building of these latrines.

The CISF program had been underway for less than six months at the time of the evaluation. Completion rates of 44% is slightly ahead of target. It is gaining momentum and popularity as communities find the mechanism meets a priority need, that is not sector specific. The first two months of 1998 have seen a dramatic rise in the number of projects identified by communities. As the project investment in each CISF scheme is less than budgeted, it is anticipated that the CISF will exceed the planned target of 100 schemes by April 1998.

Table 5.2 provides information on percentages of villages within WATSAN "merit point" categories that have been assisted by the project for improved water schemes. This analysis covers both CWSS-1 and 2 to date. The CWSS-2 1997 Progress Report indicates that the "most deprived villages in terms of water shortages and bad sanitation conditions have been selected for micro-project implementation based on the Priority Ranking".

As can be seen, in two of the four example townships, the percentage of villages in the first priority category that have completed water schemes is higher than the second priority, and that in turn higher than the third priority group. However, even here, the percentage differences are not large. The other two show no trend of addressing the highest priority villages first. This raises questions about the relationship between project intention, planning activities and indicators on which the project monitors progress.

Table 5.2: Percentage of Villages With High WATSAN "Merit Points" Addressed to February 1998 (CWSS-1 and 2) SELECTED TOWNSHIPS

Kyaukpadaung Township		Bogalay Township	
First Priority	104 Villages (15-21 pts.)	First Priority	134 Villages (14-26 pts)
CWSS-I	48 "	CWSS- I	64 "
CWSS-II	19 "	CWSS-II	15 "
Overlap	13 "	Overlap	6 "
<i>Percentage Coverage - 54/104 = 53.5%</i>		<i>Percentage Coverage - 73/134 = 54.5%</i>	
Second Priority	85 Villages (13-14 pts)	Second Priority	118 Villages (12-13 pts)
CWSS-I	22 "	CWSS- I	29 "
CWSS-II	16 "	CWSS-II	18 "
Overlap	8 "	Overlap	3 "
<i>Percentage Coverage - 30/85 = 35.2%</i>		<i>Percentage Coverage - 44/118 = 37.3%</i>	
Third Priority	75 Villages (11-12 pts)	Third Priority	83 Villages (11 pts)
CWSS-I	19 "	CWSS-I	17 "
CWSS-II	10 "	CWSS-II	17 "
Overlap	3 "	Overlap	- "
<i>Percentage Coverage - 26/75 = 34.7%</i>		<i>Percentage Coverage - 34/83 = 40.9%</i>	
Magwe Township		Nyaungshwe Township	
First Priority	77 Villages (13-20 pts)	First Priority	42 Villages (14-19 pts)
CWSS-I	33 "	CWSS- I	11 "
CWSS-II	23 "	CWSS-II	1 "
Overlap	11 "	Overlap	- "
<i>Percentage Coverage - 45/77 = 58.4%</i>		<i>Percentage Coverage - 12/42 = 26.2 %</i>	
Second Priority	29 Villages (12-13 pts)	Second Priority	60 Villages (12-15 pts)
CWSS-I	15 "	CWSS-I	13 "
CWSS-II	7 "	CWSS-II	9 "
Overlap	3 "	Overlap	2 "
<i>Percentage Coverage - 19/29 = 65.5%</i>		<i>Percentage Coverage - 20/60 = 33.3 %</i>	
Third Priority	58 Villages (11 pts)	Third Priority	46 Villages (11 pts)
CWSS-I	18 "	CWSS- I	13 "
CWSS-II	12 "	CWSS-II	2 "
Overlap	4 "	Overlap	1 "
<i>Percentage Coverage - 26/58 = 44.8%</i>		<i>Percentage Coverage - 14/46 = 30.4 %</i>	

Prior to the mission asking for this information, the project had not analyzed its data in this way to monitor progress, i.e., to see whether or not those with highest priority had indeed had needs met. It is unclear how/whether the project intended to use the merit point system from the NAS as a planning tool, beyond the point of not addressing communities that had less than 10 points. From discussion with field staff, there doesn't appear to be an "explicit" intention to address villages with higher "merit points" as a matter of priority in planning activities, i.e., order of entry into communities. It would be well to conduct this analysis for all the Townships, and then use it as a point of discussion in a staff workshop.

Box 5.1 delineates the project's technological accomplishments and innovations (CWSS-1 and 2). The development of improved, adapted and appropriate technologies is one of the essential foundations of this project. It is clear from the listing, and the reports/documentation that considerable effort has been put into this aspect of the project.

Box 5.1: Technical Accomplishments and Innovations (CWSS 1 and 2)

Innovative Appropriate Technical Solutions

Construction of New Village Ponds and renovation of existing village ponds for increased capacity using traditional water sealing techniques

Improving Hand dug wells using concrete rings as wall linings

Promoting Rainwater Collection Tanks using artisan produced concrete containers

Sub-surface dam designed to collect underground sandy stream water in the Dry Zone

Mini earth dams used in the Dry Zone

Promotion of locally made hand pumps

Improving Water Quality

Filtration Gallery using porous concrete container to filter water from village ponds into stilling wells

Stilling well connected to filtration gallery, constructed outside the pond using a locally made hand pump

Protection of water source such as village ponds, etc., by fencing and regular maintenance and inspection

Promotion of household filtration jars for drinking water with local artisans

Testing sunlight water purification system

Testing effectiveness of artisan produced household concrete rain water storage containers

Sanitation Systems

Promotion of Fly Proof Latrine - (Ventilated Pit Latrine) with plastic pan, with local materials, with concrete sanitation platform

- implementation of "double bamboo mat ring" as a filtering pit lining - to prevent water contamination in water logged areas in Inlay Lake and in the Delta Zone.

Planned and Ongoing Pilot Experiments

Water Supply

Develop, test and measure cost-effectiveness of bamboo reinforced concrete containers/jars for rainwater storage for poor households

Develop and test windmill and related technologies such as treadmills for pumping water and distribution to communities

Conduct further testing and development for improved and appropriate blanketing/sealing techniques for minimizing seepage from village ponds

Tests (ongoing) for effectiveness of solar pumps for use in shallow and medium tube wells

Collaborate (with Gov't/WRUD) in rehabilitation techniques of old deep tube wells in Dry Zone for critical seasonal water shortage areasx

Sanitation

Field testing "double bamboo mat" latrine for water logged areas in one whole village near Inlay Lake to assess water quality impact

The "Immediate Objectives" identified in the CWSS-2 Project Document are currently used by the project as the framework to plan annual activities, and against which to report year-end progress.. Table 5.3 (pages 39-42) provides the mission's "report card" of how the project is doing, in a summary sense, against the "planned outputs" associated with those "Immediate Objectives". The table is self explanatory, with "Accomplishments to Date" in one column, and the areas for improvement, adjustment or concern in the next column. All of the items noted are detailed elsewhere in this document, as are recommendations associated with them.

5.2 "Splash and Ripple"- "Output" and "Outcome" Results from the Community Perspective

Table 5.4 (pages 43-46) is a composite of the findings synthesized at the "wrap-up" meetings in the three Zones during the evaluation. The data in this table are a direct result of in-depth discussions with separate groups of women and men in the villages visited, and visits/observation of homes, schools, latrines, and water sources. The co-evaluators (WATSAN team, sector specialists, HDO and CDWs) contributed to the final version of these findings in each Zone.

Separating this composite table of outputs and outcomes by three sub-components and "convergence" is somewhat artificial. Obviously the project components work together; in fact, as the table illustrates, many of the "outcomes" are similar for each—children more able to go to school, increased time for women to engage in economic activities, and increased skill/capacities and confidence among the community members and the CBOs involved.

"Indicators of Success" were identified for some results and not others. This reflects the short time to discuss indicators. However, those indicators which are identified can be used as examples of how others can be developed. These indicators can then begin to be used as the basis for monitoring for result. The "outcome results" that the evaluation team found are, in fact, what the project would "expect" to find that would indicate "success" on the ground. The next level of results, "impacts", are for the most part not yet apparent; they take a longer time. Many potential results have not yet been realized due to a number of factors- time, not enough inputs from related projects as yet, the need for credit at the local level, artisans not yet ready to start small enterprises. However, recognizing in what direction the community is moving in terms of results "apparent" and "not yet apparent" is helpful to determine just what other resources the project could leverage through its activities or its linkages with other HDI projects.

Table 5.3: Report Card on Immediate Objectives and their Planned Outputs

IMMEDIATE OBJECTIVES	PLANNED OUTPUTS	ACCOMPLISHMENTS TO DATE	NEEDS FURTHER WORK / IMPROVEMENT
<p>1. To improve access to protected community water supply and to protected community water supply and to promote safe sanitation and hygiene practices in water and sanitation deficient communities of the target townships</p>	1.1 Township Programming Framework	<ul style="list-style-type: none"> township programming framework completed for all townships by HDI-E as a whole 	
	1.2 Needs Assessment Surveys	<ul style="list-style-type: none"> WATSAN teams formed/completed by March 1998 NAS for all 3480 villages in 11 townships completed/updated by Dec. 1997 merit points assigned/villages ranked by 'water deprivation' 	<ul style="list-style-type: none"> DSO's are very few on WATSAN teams Process of NAS needs reassessing; team needs more training in participatory appraisal Discussions needed about the case of 'priority' ranking in workplanning
	1.3 Water Supply Schemes	<ul style="list-style-type: none"> community contract procedures improved & streamlined - facilitating complementation and transparency WATSAN promoter acting as manager of contracts/works well for approvals of community proposals & implementation technical auditing - good 	<ul style="list-style-type: none"> roles and relationships between WATSAN promoter and zonal engineer is undergoing clarification
	1.4 Sanitation Facilities	<ul style="list-style-type: none"> WATSAN committees take on responsibility for SANITATION activities plastic pans distributed based on community request/nov on schedule community managed latrine construction is quite successful some good systems in place for community monitoring of construction and use of latrines 	<ul style="list-style-type: none"> rather too much emphasis on 'plastic pans' as basis of sanitation program need orientation to 'community need'
	1.5 Private Supply of water strengthened and improved	<ul style="list-style-type: none"> problems of local supply of water through water vendors - identified in Delta (small towns) and in Dry Zone (rural & small town) 	<ul style="list-style-type: none"> systematic studies not yet undertaken of the issues and how project might address them (planned for 1998)

IMMEDIATE OBJECTIVES	PLANNED OUTPUTS	ACCOMPLISHMENTS TO DATE	NEEDS FURTHER WORK / IMPROVEMENT
<p>2. To strengthen functional linkages between communities and the producers of intermediate inputs</p>	<p>2.1 Trained artisans capable of marketing its services to communities</p>	<ul style="list-style-type: none"> • training proceeding individually and now in small groups (in Delta) with developed training materials (masonry, carpentry, plumbing) • one contract given to a group in Shan State to manufacture 'bamboo rings' for latrines 	<ul style="list-style-type: none"> • trained artisans not yet frmed into 'enterprise' groups; need 'small enterprise development' training before can effectively market their services
	<p>2.2 Trained producers of intermediate inputs (such as concrete rings, latrine slab, pipes, storage tanks, etc.)</p>	<ul style="list-style-type: none"> • WATSAN team sensitizes trained artisans on an informal basis 	<ul style="list-style-type: none"> • this area just beginning. Capacity development needed among staff in order to succeed on this objective. Consultant needed to assist with these activities
	<p>2.3 Communities capable of managing financial resources (in order to exercise the choice provided by the market to obtain intermediate services)</p>	<ul style="list-style-type: none"> • those community members involved in community contracts for water schemes and CISF projects have gained some skill (ad hoc) 	<ul style="list-style-type: none"> • this area requires inputs - training in financial management, once artisan groups are formed

IMMEDIATE OBJECTIVES	PLANNED OUTPUTS	ACCOMPLISHMENTS TO DATE	NEEDS FURTHER WORK / IMPROVEMENT
<p>3. To increase cost-effectiveness by identifying and demonstrating appropriate solutions to water and sanitation problems through action research.</p>	<p>3.1 Affordable latrine design in water-logged areas developed and tested.</p>	<ul style="list-style-type: none"> latrine design developed & tested for water-logged areas (Inlay Lake & Delta) currently a plan in place to implement construction in an entire village to test and to market/demonstrate technology 	<ul style="list-style-type: none"> research now required for more specific results related to effectiveness for water quality; and/or affordability to village members
	<p>3.2 Various options to increase the efficiency of water pond (retention of water against seepage and evaporation, etc.) determined</p>	<ul style="list-style-type: none"> various options determined & being applied - deeper ponds, natural sealants, tree planting 	<ul style="list-style-type: none"> cost/comparison studies could be carried out on various methods
	<p>3.3 Affordable options established to improve/protect water quality</p>	<ul style="list-style-type: none"> particular problems of the three distinct zones generally understood 	<ul style="list-style-type: none"> socio-cultural studies, particularly in seasonal shortage area in Dry Zone & with water vendors in Delta - would be important in order to develop zone specific strategies for affordable options for water supply & sanitation
	<p>3.4 Methods to collect and monitor water quality at source developed and established</p>	<ul style="list-style-type: none"> WATSAN Team capable, and testing water quality vis-a-vis new/improved water schemes 	<ul style="list-style-type: none"> exploration of appropriate technologies necessary for community-managed water quality testing (for sustainability)
	<p>3.5 Planning standard developed and adopted</p>	<ul style="list-style-type: none"> only original 'merit points' established; no further systematic development of standards 	<ul style="list-style-type: none"> this area requires attention. In 1998, project needs to re-evaluate 'standards' for planning and how to apply to village for sustainability
	<p>3.6 Monitoring and evaluation guidelines developed and implemented</p>	<ul style="list-style-type: none"> monthly technical reports from WATSAN Promoter provides information on physical 'outputs', activities and financial accounting the project has computational, mapping and analysis capability 	<ul style="list-style-type: none"> monitoring guidelines not established to date, but planned. Project document provides some 'organizational', 'operational', and 'action research' 'outputs' that are a useful basis from which to start the project needs to develop a monitoring framework, tools and processes

IMMEDIATE OBJECTIVES	PLANNED OUTPUTS	ACCOMPLISHMENTS TO DATE	NEEDS FURTHER WORK / IMPROVEMENT
<p>4. To enhance the level of awareness on the importance of clean water and environmental sanitation practices.</p>	<p>4.1 Safe environmental sanitation practices, related promotional and educational materials developed and disseminated.</p>	<ul style="list-style-type: none"> • some innovative sanitation educational programs implemented - but varies by township • limited dissemination of IEC materials from other projects/organizations (UNICEF) 	<ul style="list-style-type: none"> • urgent need for the services of INGOs to assist project to address issues of environmental sanitation education, including appropriate IEC materials, for behavioral outcomes and impacts
	<p>4.2 Documentation of good practices, and its dissemination</p>	<ul style="list-style-type: none"> • not systematically developed as yet 	<ul style="list-style-type: none"> • with 'success' experiences both in water supply and in CISF, the project is ripe to document 'case studies', and best practices • these could well be part of 'monitoring' and internal review
	<p>4.3 Exchange visits, Exhibitions and Debate in public fora (e.g. schools) organized and held.</p>	<ul style="list-style-type: none"> • exchange visits take place across villages for WATSAN committees on an ad hoc basis. WATSAN staff occasionally visit other townships & zones 	<ul style="list-style-type: none"> • exchange visits need to be systematically developed to maximize resources, expertise and benefit
	<p>4.4 Sectoral issues of national concern raised and discussed in the Advocacy Team</p>	<ul style="list-style-type: none"> • CWSS management (OIC) participates in National Coordinating Committees and Task Forces related to the sector 	
	<p>4.5 Database on target townships established and diagnostic mapping capability developed</p>	<ul style="list-style-type: none"> • project has effectively used computer generated maps to track outputs against township planning exercise priorities 	<ul style="list-style-type: none"> • we saw no evidence that HDI more broadly has made use of the CWSS capability in map making; the project could follow up on this
<p>5. To strengthen the capacity of target communities to undertake small scale local development initiatives that are multisectoral in nature, directly beneficial to the poor and the disadvantaged, and have a high synergistic value or the potential to enhance overall impact on the well-being of the target population</p>	<p>5.1 Community Initiatives Support Facility (CISF) established and made operational.</p>	<ul style="list-style-type: none"> • CISF is now well established - with community orientation, guidelines for developing projects and a community contracting process. • projects are varied - tend to improve communication, access, transport for rural communities; also help address disaster management priorities 	<ul style="list-style-type: none"> • the project is planning an assessment of CISF - strengths, lessons learned, cost effectiveness, reaching those in need etc. (after 50 projects completed, as of mid-1998) • need to re-examine how CISF can best support development of enterprise to support W&S sector

Table 5.4: Results Table : “Outputs” and “Outcomes” from the Community Perspective

COMPONENT : Improved Water Supply (Quantity, Distance, Quality)

RESULTS	INDICATORS OF SUCCESS / EVIDENCE	ISSUES / LESSONS / RECOMMENDATIONS
OUTPUTS		
Safe drinking water	Tested as pure, fenced pond, no intrusion to water, short distance for gravity systems, wells and rainwater tank	Project needs to ensure that community maintenance fund and process in place for sustainability of water supply. Alternative and emergency services and strategies need to be developed for water deficient months.
Quantity/ease of access		
More water for livestock		
Trained artisans	Sound structure and technology; working well with and without supervision	
Functioning WATSAN Committees	Managing Operation & Maintenance funds Organizing W&S activities	Management training for WATSAN Committee needed
OUTCOMES		
Decreased diarrhea disease	Report of mothers Statistics of decrease in incidence of diarrhea in one RHC in Delta Zone	
Increased community confidence and capacity	WATSAN Committee takes on wider focus, beyond water and sanitation implementation <i>Communities take on other village contracts/projects*</i>	Management training for artisans needed
Increased awareness of intersectoral possibilities	Planting trees around ponds; raise pigs when more water; grow garden Cooperation with village Forest Committee	Exchange visits among communities to share experience of WATSAN Committees and successes are important to assist "outcome" level results.
Time savings for children, women, and men; People devote more time to economic activities	Report from mothers : more children going to school / going to school on time People can now sleep at night Spend more time in fields for working	
Improved hygiene practices	More regular bathing, dishwashing, water used in latrines	

* *Italics* - indicates outcome indicators "not yet apparent", but that the project would expect to see as an "indicator" of success

Table 5.4: Results Table : “Outputs” and “Outcomes” from the Community Perspective

COMPONENT : Sanitation

RESULTS	INDICATORS OF SUCCESS / EVIDENCE	ISSUES / LESSONS / RECOMMENDATIONS
OUTPUTS		
Fly proof latrines built by communities	Percentage of household with sanitary latrines	When community committee members request and build, it is more likely that the poorer families will be helped with latrine construction
Increased knowledge of sanitation practice	People tell about sanitation practice	
Trained latrine artisans		
WATSAN-Latrine in primary school	Percentage of students using latrine	
Educational Materials in School - Health Corner (Education Project)		
OUTCOMES		
More children use latrine properly	Community children using water in latrine and handwashing (ash pot kept near water)	Give regular training in WATSAN practiced construction. Encourage community-based monitoring of latrine building and USE!
Sanitation practice improved	Children use latrine at an earlier age (no danger to fall in)	Convergence planning should be developed jointly for next phase with PHC and Education. Projects for sanitation education in personal and environmental areas INGO to help develop IEC materials for communities and process for sanitation education
Cleaner river water for bathing / clothes washing (Delta Zone)	% of population using latrine; using water	

Table 5.4: Results Table : “Outputs” and “Outcomes” from the Community Perspective

COMPONENT : CISF

RESULTS	INDICATORS OF SUCCESS / EVIDENCE	ISSUES / LESSONS / RECOMMENDATIONS
OUTPUTS		
Community requests made based on community priority exercise	Community maintenance fund; use of facilities	
Community foot bridges completed		Project to increase focus on CISF for small enterprises for water related activities / Intermediate inputs
Footpath completed		
Projects in progress, total involvement by community	Community driven, total community request	
Ideas in progress		Many proposals expected - information travels
OUTCOMES		
Experienced bridge builders (local)	Using skills for other community-based activities - pumps, bridges	
Innovative O&M Fund mechanism	Nyaungshwe "Multipurpose Boat" Principle of user pays	
Children travel safely (bridges & boat)	Report of mothers	
Increased village access, especially in rainy season	Increased enrollment in school Increased attendance at ceremonies (monastery)	
Adults/child ease of access	Self report - women to visit RHC	
Diffusion of Ideas	Neighbouring villages replicating projects and requests to CWSS	
Leverage for other socio-economic activity/multiplier effect for community benefits	Increased income / goods to market	
Increased awareness of development choices/options		
Confidence / skills acquired		
Community solidarity / decision making		

Table 5.4: Results Table : “Outputs” and “Outcomes” from the Community Perspective

HDI-E Convergence with Other HDI-E Projects

RESULTS	INDICATORS OF SUCCESS / EVIDENCE	ISSUES / LESSONS / RECOMMENDATIONS
OUTPUTS		
Water supply and sanitation facilities for RH Centres and primary schools	Functioning facilities	Other sector projects can request CISF to meet needs in communities in which they work; this is going slowly.
School exercise book by Education Project with WATSAN message on book cover		CDWs could work with WATSAN Teams in Workplan - with shift to area-based planning for development objectives
WATSAN Health Committee and other committee's members are the same people		
Technical advice to PHC Project from WATSAN Team for construction of RHC and Sub HC		
CDWs (Convergence in action) work with CWSS	CDWs correctly disseminate W&S information to community	
Proposals to CISF from PTA for school floor construction and from CWSS community groups	<i>If convergence project funded & implemented</i>	Potential Village Development Committee Fund available from Food Security Project for general development use
Grameen Bank's 16 point guidelines contain reference to Water and Sanitation Practices		
OUTCOMES		
Better access to Health and Education facilities through CISF boats used in Inlay Lake, and footbridges		
Some joint planning at village level	Trees from nursery projects used to shade village ponds	Scope for much more joint planning between CWSS and other projects at village level for community development

5.3 Enablers, Constraints and Issues Affecting the Achievement of Results

Every project works within an environment, an internal project environment and an environment external to the project. These environment encompasses factors with help or facilitate the project to achieve its objectives, usually considered positive factors, or "enablers"; and factors which inhibit, slow down or constrain the achievement of objectives, or "constraints".

The project staff recognize that the achievement of "outputs" is clearly under their control. They are generally very skilled in the implementation of project activities, and thus the "outputs". Achieving "results" at the "outcome" level requires both an understanding what the intended results are, and an appreciation of the "constraints" and "enablers" within which the project works. With this understanding the staff can endeavor to maximize the effect of the "enablers", those factors which assist in achieving results, and to minimize or address the "constraints", or those factors which slow down or impede the achievement of results.

The following is an itemization of "Enablers and Constraints", by component, within which the mission perceived the Project operating.

5.3.1 Provision of Adequate and Safe Water Supply

Enabling Factors

1. Technological development and innovations for water supply and water quality is well established and well understood by WATSAN Teams.
2. WATSAN Committees are well formed, have good gender balance with active involvement of women in the activities of the water and sanitation improvement schemes.
3. Communities now have options of technologies that are appropriate and affordable.
4. Good cooperation and collaboration with DDC staff at Township level (where they are available).
5. Additional technicians available- now two for each WATSAN team, to assist with the increased workload "targets" for water supply.

Constraints

1. Considerable pressure on staff to "implement" large numbers of water schemes per Township which can result in less attention to "sustainability" issues.
2. Seasonal shortage of water in the Dry Zone presents a continuing challenge that overshadows other issues.

3. Uneven understanding on the part of the staff about the importance of monitoring for "sustainability"- community-based operation and maintenance mechanisms.
4. No direction/consideration given by the project (in workplan) that the villages where water schemes were put in place during CWSS-1 should be included in monitoring and follow up activities for "capacity building" and "sustainability".

5.3.2 Sanitation Facilities and Education

Enablers

1. Project guidelines for "Village Level Sanitation Activities" developed and agreed to by all WATSAN Teams in October 1997.
2. National Health Committee campaign for Sanitation for All by 2000 (SFA).
3. Working with the Township level Health personnel (TMO) and ESD DSO when they are available for collaboration on village based hygiene education.
4. CDWs in most townships are available to assist with village level education programs.

Constraints

1. Delay in the delivery of the ordered "plastic pans" to the project until the end of September 1997.
2. Emphasis on "distribution of plastic pans" and "coverage" in the sense of "latrine construction" as the "output" has resulted in rather less emphasis on the sanitation education component, and the "outcome" of behaviour change.
3. Delay in identifying/contracting an NGO (to date) to assist the project with the implementation of the sanitation education component of the activities.
4. Relative little experience among the WATSAN staff, who are largely technically trained, in the development and implementation of sanitation education methodologies and materials.
5. WATSAN Teams in the CWSS-2 phase, CDWs and Township Health personnel not well versed in participatory learning techniques for use at the village level.
6. Many PHC Project Health Promoters seems to have limited flexibility in their program of activities to participate as a partner with WATSAN in sanitation education programs.
7. Village Health Committees generally not very active.
8. The unavailability of water in some areas, particularly the Dry Zone.
9. Storage and authorization of distribution of plastic pans through the TMO has resulted in difficulties in some Townships.

Implementation Concerns/Challenges

The "provision of safe sanitation and hygiene practices" has been slow to get underway and difficult to plan and implement due to the constraints mentioned above. Project performance therefore has been uneven in this area.

The team saw some successful and creative approaches of "sanitation education programs" in some Townships; these appear to relate to the individual Promoter's or Zonal Engineer's interest in and commitment to the sanitation component. Examples include:

- One day Sanitation Program including demonstration latrine construction and some hygiene education (usually in a public facility - a school or health centre, or a poor person's home) to which participants are invited from several surrounding villages. (Numbers range from 30-65 participants)
- Multiple day (7-10) set of training programs in one village, including RWCT and latrine construction, to which participants from surrounding villages are also invited; WATSAN team uses the evenings as an opportunity for public gatherings for water and sanitation education. Entertainment is also included as a strategy. (This idea could definitely be built upon as a model)
- Decentralizing the latrine construction process and monitoring to the WATSAN Committee so that they ascertain agreement from each household for their "self-help" participation, and determine/plan assistance for those households that may need help from other villagers/team for construction costs/labour. The WATSAN committee reports to the Team.
- CDWs in some Townships are providing a very helpful service in the monitoring of latrine construction and "use" of latrines!!

On the other hand, a systematic program is not yet in place that considers the totality of the sanitation "behaviour change" objective, and plans the activities with that "outcome" objective in mind. Examples include:

- Monitoring tends to focus on latrine "construction", and not necessarily "use" of latrines, or other hygienic practices.
- Reported coverage figures, e.g., 100%, often means that 100% of the distributed plastic pans have been converted into latrines, not 100% coverage of the households with latrines.
- Particularly in villages with sanitation inputs during CWSS-1, the evaluation team observed that the poorer households were often those without latrines; while teams are cognizant of this issue in this phase, some remedial action should be taken to meet the needs of the poorer households in those earlier villages.

- Those representatives from surrounding villages that participate in a focal village sanitation education event are expected to educate their own village in turn; however the project doesn't systematically provide follow-up support to enable that to happen.
- "Sanitation education" appears limited to latrine related practices and hand washing; management of drinking water in the home, food hygiene and wider environmental sanitation (garbage, domestic livestock droppings) appear to be missing from the equation.
- A great deal of IEC material for "sanitation" developed by UNICEF with the DOH is available; yet the mission saw little evidence of these materials in the Township offices or in the villages.

5.3.3 Community Initiatives Support Facility (CISF)

Enablers

- Well designed CISF community orientation and project guidelines for the staff
- Transparency in Community Contracting.
- Previous functioning WATSAN Committees and history with the project.
- Technical back-up on the WATSAN Team for rural infrastructure projects.
- Available to other HDI projects to enhance their community demand activities

Constraints

- Increased workload on WATSAN team as proposals multiply
- Limited requests to date from other sector projects to CISF.
- Limited flexibility for some projects to work with CISF
- Slow progress of approval for "small enterprise" consultant

Implementation Concerns and Challenges:

Many of the completed CISF projects directly address three important factors associated with poverty alleviation- access, communication, and transport. CISF is also beginning to be utilized as a mechanism to address the objective of developing intermediate inputs/small enterprise development for the water and sanitation sector; however, the project needs additional assistance to realize this potential. There is also potential for CISF to be used to assist other HDI-E projects in enhancing their programs. Some questions arise about the CISF's relationship with other projects, e.g.:

Can this facility be used in the future to assist a community that wants to build/renovate their local school, particularly if the community is not the Primary Education Project's

implementation list? What if the community wants to build a middle school (see 4.5.2)?
Relationship with education project?

How can CISF relate to income generation and micro-credit? In this phase and in HDI's next phase?

5.4 Observations on HDI- E Integration and Cooperation

The HDI-E documents emphasize the importance of working inter-sectoral at the village level to maximize "outcome" and "impacts". Very specifically the PRODOC for CWSS states: "The CWSS project will further the objectives of the health and education sector and distribution of project investment across a township and the content of the project interventions will be consistent with those of the two other projects. "

During the field visits for the evaluation, the team of co-evaluators examined and discussed the "convergence" activities and "outputs" level results associated with those activities at the field level. (See Table 5.4).

5.4.1 General Observations on the HDI- E "Convergence" and "Integration"

- WATSAN Project appears to have cooperative and effective working relations with all HDOs encountered, and with most sector specialists: the Health Promoter in most settings, the Micro-Credit specialist in Delta; FS&E in Shan State and Dry Zone; there appeared to be limited interaction with the Education Specialists in all Zones.
- The HDOs on the whole are very supportive to the Project, and the CDWs are involved frequently in the WATSAN Project activities- trainings and monitoring, and valued.
- There is variable flexibility among the Sector Projects/Specialists to work collaboratively with others. In particular, the PHC Project which is in the same cluster appears to be remarkably constrained in terms of working together on health and sanitation innovations with the WATSAN project. The lack of resources is understandable; but the seeming inflexibility to move beyond a few structured programmed activities seems unfortunate. This situation is particularly unfortunate since a number of the PHC objectives could be enabled through working with the WATSAN project, with its higher resource capacity.
- The Primary Education Project is building schools in some joint communities; and not in others. The WATSAN staff is often approached related to school renovation which the community is willing to undertake, with a modest CISF input. Currently this doesn't seem possible to arrange due to the Educational

Project phased plans; this is an area that needs discussion regarding future "cooperation" to address expressed community need.

- HDI-S Project is currently developing M & E indicators for the HDI-E as a whole. It was unclear to the mission how they are being developed, i.e., are they being developed collaboratively at the Township level, given the richness of the current field experience of the sector specialists and the CDWs? Is this a convergence opportunity missed?
- The CDWs were active in the evaluation, and work well with the WATSAN team at the community level. CDWs appear to have tremendous potential as future development workers and/or builders of small NGOs in Myanmar; they are eager to learn and we would hope they are provided with as much capacity building as possible (development process and content) during the life of this project.

6.0 The Way Forward: Key Findings and Recommendations for the Current Project Implementation

Shifting to a “Developmental Outcome” Orientation

In general, projects and project personnel, given experience in the field, good leadership, and opportunities for reflection, evolve in their understanding of a project’s scope and purpose, and how best to achieve that purpose. The CWSS project is no exception. Over the first phase and a half, the project has demonstrated success in developing, inventing and providing appropriate, affordable and sustainable options for rural communities in terms of water supply and sanitary facilities. And this has been accomplished in three distinct ecosystems.

By and large the WATSAN Township Teams (Promoter, Technicians and Artisans) are doing an effective job of implementation of the water supply schemes (micro-projects), the sanitation construction, and the CISF projects. They are very skilled at delivering on “outputs”.

Emphasis in the first phase, was on developing and applying a community-based needs assessment process, trying and testing appropriate technological solutions, and supplying these to a great number of communities in the three zones. In the current phase, the emphasis is on capacity building. The Project staff is growing in their understanding of the importance of local capacity building, both to sustain the water and sanitation inputs, but also to increase the community’s capabilities more broadly in construction and small enterprise development. For example, artisan training is progressing and an organized program will soon be in place, much of which is associated with the CISF component.

As this project evolves in its understanding of capacity building, with its intended “outcomes”, this evolution must be reflected in project structure, organization, planning, and its reporting and monitoring framework. This evolution has progressed slower than would have been expected. The first CTA for CWSS-2 did not provide leadership or the enabling activities in this regard; and the current absence of a full time CTA has also been constraint in this regard. Fortunately, the current OIC strongly represents a developmental “outcome” orientation, and is fostering this thinking among the staff. He is backed up by a UNCHS officer who comes from a strong community development background.

The recommendations in this section are intended to facilitate a shift to a stronger “Developmental Outcome” orientation in project staff thinking, in planning for “outcome” results and in project implementation and monitoring.

6.1 Staff Development

Finding

Among the present WATSAN staff, from Artisans to Zonal Engineers, the mission perceived an uneven understanding of the “developmental” nature of the work, and in particular a “developmental outcome” approach to thinking, planning, monitoring and reporting. A significant contributing factor is that the new WATSAN Promoters (9 out of 11) in this phase did not have a systematic orientation to the project, nor any training on participatory techniques.

There appears to be a shared understanding of the rationale for “priority ranking” of village tracts. However, planning and monitoring don’t usually focus on the “development needs” of the particular village or tract-- as a package- water, sanitation, sanitation education, capacity building, and linkages with other resources/projects where possible. Discussion of “outcome” level thinking for planning and monitoring is only recently been introduced.

Given that the teams are now complete, with the fairly recent addition of new technicians, this midpoint in the project is a good opportunity to enable a collective reorientation and retooling in support of the above shift to a “developmental approach” to the project implementation, including the application of participatory skills in all aspects of the work.

Recommendations:

1. WATSAN Teams participate in a Project Reorientation Process at the earliest opportunity, that would include a workshop or series of workshops which would:

- provide a revitalization and refresher to the “Developmental Orientation” of the project;
- (re)build skills in participatory techniques for community work, evaluation and training;
- define a monitoring and evaluation system based on “outcomes” as well as outputs;
- provide techniques to work with “difficult” communities, and/or to establish effective CBOs;
- provide “gender sensitivity” training for project planning.

2. WATSAN teams (at Zonal or National level) have an opportunity to meet at least twice per year with two objectives: 1) to collectively reflect on their experiences, review their own progress and successes, and make modifications to their activities; and 2) to

participate in some specific training, based on their expressed needs. (see 6.5 Monitoring and Evaluation)

3. In hiring new project staff, that as much consideration be given to developmental orientation and experience as to the technical qualifications and experience. A systematic "self-progressing" orientation package and plan be developed for new field staff joining the project. "Self-progressing" modules can be used on-the-job as a way of gathering experience and understanding.

4. Topical workshops and other training, such as Sanitation Education, would be best conducted at the Zonal level in order to maximize local participants, including CDWs, other Sector Specialists and the Township government counterparts.

5. Printed and computer educational materials (Books, newsletters and CD s if available) on appropriate technology for water/sanitation, and community development, PRA techniques be made more readily available for staff.

6.2 Project Planning and Implementation

Key Finding

As described in 4.3, the project's "target" approach to the number of water schemes and sanitation "pans" to be installed per township has tended to define the manner in which project activities are planned, implemented and monitored/reported. Water supply, sanitation construction and training activities are often perceived by staff as discrete events, and reported as "outputs". This has overshadowed a more wholistic and needs-based "development approach" to the project cycle. A "developmental" approach would encourage planning according to a more comprehensive sense of a community's developmental needs. It would also foster reporting of groups of activities/outputs according to their effects, as "outcomes" at the community level. The latter approach in fact would more closely reflect the philosophical intent of the HDI, which was initially manifest in the Township poverty mapping exercise, and in the WATSAN NAS process in CWSS-1.

To enable such a shift in thinking and practice in the project planning and implementation, the following recommendations are offered.

Recommendations

1. WATSAN Team conduct an informal re-assessment and "re-mapping" exercise for the Township, given that a significant number of villages/village tracts have had some of their water, sanitation and other sectoral needs addressed through the combined efforts of CWSS-1 and CWSS-2 to date. How has the project performed on addressing priority areas- both the TPE multi-sectoral areas, as well as the WATSAN priorities? How has

the project performed in those villages/tracts in terms of the "capacity building" expected outcomes? What activities are now needed to consolidate gains, and reinforce sustainability.

2. Presuming some level of success in addressing the highest need villages, what geographical areas of concentration now emerge as "priorities" for the remainder of this phase? This is the "re-mapping exercise" which could be implemented in one Township on a pilot basis.
3. The annual Workplanning activity could then proceed on the basis of these newly emerged "priority areas", within the already established "target" outputs for 1998. The WATSAN Team could plan more broadly for the "developmental outcome" nature of the work for the area. Starting with the expressed/assessed needs, activities would be planned for the area as a whole, aimed at sustainable "outcomes", associated with water and sanitation facilities, sanitation education, and artisan and CBO capacity building.
4. In order to enable the above, upon entry into a village/village tract for the duration of this project, the previously gathered NAS information should be seen as a starting point only. Collection of a range of information would facilitate "developmental thinking" on the part of the staff. CDWs associated with selected village tracts could be an integral part of the on-going workplanning exercise for the remainder of the project. Involvement of the CDWs would be most effective in those Townships in which there is already good collaboration, where their participatory skills have been well developed, and where the recently implemented "village profile exercise" has been well applied.
5. Issues of technical and organizational "sustainability", e.g., operation and maintenance planning, fund development to support repairs, training for maintenance, should be introduced as part of the planning with the village from the beginning of the implementation of water and sanitation activities.
6. Experience and lessons from one Pilot Township be brought together to assist the project as a whole to make the same changes for the 1999 Work Plan. This could include beginning to identify Zonal specific strategies.

6.3 Local Capacity Building

Finding

Various trainings are conducted at the community level by the WATSAN team in conjunction with other HDI and Township personnel (see 5.1). These include specific skill training for local artisans associated with water systems and CISF projects, as well training for larger groups, e.g., maintenance and repair, RWCT construction, sanitary latrine construction, and wider community education for sanitary practices. While each of these is important and addresses a project implementation need, they are not yet

systematically planned and evaluated within a "sustainable capacity building" framework for the village or village tract: what skills need to be developed to remain in the community, how many of which type of artisan are required in an area to consider that the W/S facilities are sustainable, repairable, etc.?

Recommendations:

1. WATSAN teams make assessments by village/village tracts as to the needs for local capacity building- to sustain WATSAN/CISF efforts and leave enough capability for other endeavors. This may take place after some time invested in the village to appreciate the skills and capabilities already existing, and what other skills are needed. This can be done in conjunction with the "area-based" planning approach noted in 6.2 above.
2. Financial and organizational management training be provided to WATSAN committees or other CBOs that appear to be viable and a focal point for future development activities.
3. WATSAN Teams take the initiative and responsibility to stimulate ideas for local enterprise development among the trained community artisans, leaders etc., again within the framework of working toward "sustainable capacity building" for future development in the area. Take special care to ensure that women are included, or at least not excluded, in the thinking about small-scale enterprise development.
4. Exchange visits- expand on what is already started; make exchange visits a regular part of project activity in the field; WATSAN team staff "move with no empty boats or vehicles"- always carry villagers for cross-community exchange; especially include women in village to village exchanges.

6.4 Project Management

Finding

The onus is on the Project Management to develop a model and provide the leadership and direction for the shift to a stronger "developmental focus" in the project's implementation. This has particular relevance for the CTA and NPP level personnel. The current OIC has put the project back on track, morale is improved, and he models a strong development approach. The Zonal Engineer level staff provide vital national leadership for the success of the project. As described in 4.2 there has been some lack of clarity about the role and responsibilities of the Zonal Engineer throughout this phase of the project. While this is largely a result of the management difficulties, the atmosphere is now such that clarification is possible, and indeed necessary.

The following suggestions are provided to clarify the NPPP role within the evolving nature of the project. (The team has conferred with both the Zonal Engineers and the

Management Consultant, U Than Moe, on these points, and referred to the latter's report).

Recommendations:

1. That the roles, responsibilities and relationships between for the Zonal Engineer level and the Promoter level be clearly articulated, differentiated and complementary. This process would be best undertaken in a participatory way with the staff subsequent to the "development approach" workshop initiatives. The job description for Zonal Engineer drafted by the consultant could be used as a starting point for this discussion.
2. That the ZE role encompass five general areas: 1) leadership in the understanding/articulation of the project intent and process of development in project implementation with the staff and within the HDI-E in the Zone, including developing a Zonal strategy; 2) a "broker" or "facilitator of learning" to address both the capacity building needs of staff and the "educational package" needs for the community-based learning activities; 3) technical back-stopping and quality assurance for the micro-projects, and defining the action research agenda; 4) managing the monitoring and evaluation process, including providing recommendations for revised direction where necessary; 5) facilitating role in developing linkages with artisans and private sector, promoting small scale enterprise development.
3. That management training be provided as necessary to meet expressed needs of both the Zonal Engineer and the WATSAN Promoters, as the latter are now functioning as managers to a large extent.
4. That Zonal Engineers and WATSAN Promoters be fully appraised of key project documents, e.g., the Project Document and the 1997 Progress Report.

6.5 Monitoring and Evaluation

Finding

To date, project level monitoring focuses on results at the "output" level. This "output" monitoring meets the needs of the funding agency and central management, to know how the project is proceeding on its schedule. It does not necessarily meet the needs of the implementors as to how well activities are being planned, implemented and assessed in relation to the longer term "outcomes". As this project aims to support a development process, for example the local capacity building for CBOs, artisans, and small enterprise, then monitoring needs to address the process of this capacity building and its "outcome" level results.

The "Splash and Ripple" framework used during the evaluation with the field staff appears to have been a useful device for beginning to think about monitoring for "outcome" level results.

Recommendations

1. That a monitoring framework and tools be developed that reflect the developmental nature of the project intent, and that are field-based, to help the staff in their understanding of how they are progressing toward the 'capacity building' developmental goals. This would include identifying indicators of "outcome" level results, e.g., of capacity building and sustainability of water and sanitation and CISF efforts at the community level. Developing such a framework and tools would be best accomplished in a "participatory workshop" with the field staff, both because they have the "grounded" experience, and in order that they "own" the monitoring tools. The process would also require an adequate period of field implementation for the staff, and then ideally, another consolidation workshop, in which the final modifications can be made based on the field experience.
2. That the operational, organizational and action research "Target Outputs" identified in the project document be re-examined at this mid-point in the project. They were thoughtfully developed at the time, and could well form the basis of "capacity building" outcomes and indicators.
3. That the guidelines and format for the current monthly technical reporting on activities and "outputs" be reassessed. Is there another way the information can be organized so that it still meets central/funder needs, but also starts to promote "outcome" level thinking? One suggestion is to shift to a "area based reporting" instead of activity based reporting. For example, list each villages/village tracts in which the WATSAN team is currently working, with columns to indicate progress on water supply, sanitation construction, sanitation education, CBO maintenance fund and trained staff, number of artisans trained- in which skills, number of sanitation "teams" trained, etc. This has the advantage of focusing the Promoters attention on "completion" of each village from a capacity building/ sustainability point of view, not a "scheme implemented" point of view. Thus a village wouldn't be "sustainable" from a WATSAN capacity building point of view until all those items have been addressed/criteria fulfilled. The visual nature of such a chart also provides instant "feedback" to the promoter and the team as to their accomplishments.
4. That the project, with community WATSAN Committees develop prototype community-based monitoring tools for sustainability of water and sanitation facilities and related behaviours. Such tools these would work in conjunction with those developed under recommendation #1.
5. That a project-wide Internal Review Framework be built on the Monitoring Framework, that would have indicators related to outputs, outcomes and impacts, and

that relates to the wider HDI goals. It could also include direction for evaluation of the technologies, and assessment of the wider human resource capability/needs in the country for ongoing action research and sustainability of availability technology in the water and sanitation sector (next phase).

6.6 Support from UNCHS

Finding

UNCHS has always provided philosophical support to the HDI goals, as reflected in the project officers who have provided the leadership and "back-stopping" of the project. UNCHS has a rich experience in its CDP in Asia and elsewhere; in fact the current OIC has both contributed to and benefited from the CDP program in Sri Lanka. However, the mission feels that UNCHS could provide more direct support in this area now that the program is "back on track", and ready to make a leap forward in its developmental thinking and action.

Recommendation

1. UNCHS (Fukuoka and the organization's CDP out of Bangkok) make every effort to assist in the recruitment of facilitators/trainers in community development, participatory practices, and gender sensitivity and analysis to work with the WATSAN teams for a series of workshops during the coming rainy season (see 6.1). This is a matter of some urgency in preparation for "rainy season" workshops.

7.0 The Way Forward: Recommendations to Address Current Constraints and Issues

7.1 Addressing Water Technology Constraints

An Appropriate Technology consultant is needed that has a broad appreciation of the available technologies in use in developing countries, especially in the Asian context, that would address the particular issues facing Myanmar- improving water collection and storage systems; and generating energy for pumping water for storage and distribution. The project is currently seeking such a person.

It is suggested that representatives from the private sector and the academic sector be included in assessments and the sharing of information associated with these consultancies. In the past, primarily the government departments have collaborated, but there is often little follow up or dissemination through that mechanism.

Particular areas of endeavor include:

i. Seepage from Ponds

A study is needed to look at effectiveness and modification of traditional "sealants" for village ponds, and the feasibility of using non-traditional methods, as part of the solution for the Dry Zone.

ii. Windmill Technology / Treadmill Technology

The project has planned for some time to assess this technology; constraint of "consultant approval" has hampered this. An Appropriate Technology consultant is needed to mount this important assessment for the Dry Zone. Treadmill or water-mill technology which is widely used in some parts of the world could be explored for the potential for generation of electricity to power some small pumps.

iii. Solar Technology

One solar powered pump is recently in place on a pilot study basis. This is an area for the Appropriate Technology consultant to provide input.

7.2 Addressing Sanitation Constraints

Discussions are now underway with NGOs that will assist the project with the Sanitation Education component. Some suggestions for that discussion.

i. "Local Materials" as an option for the future?

The WATSAN sanitation program has literally and figuratively been built on "plastic pans". Consideration needs to be given as to whether this is the best or only option. Delays in delivery have constrained the program; less "pans" are available per township/village tract than the demand; and "expectations" have been raised that this is the "best" approach. What happens when it breaks down? Is the project staff currently suggesting/supporting the use of local materials to meet the demand where supplies are not enough, and for replacement/repair?

UNICEF has taken the approach of "minimum standard" for sanitary latrine, and encourages the use of local materials through out their program; they have found this quite successful. This needs discussion by the project staff with the NGOs.

ii. "Environmental Sanitation"- a Wider Sweep

As noted in the constraint section, sanitation education has tended to have a focus on protecting water sources, "latrine related" sanitation activities and hand washing. It is suggested that this be broadened to "environmental health and sanitation", with particular attention to water management in the home, food hygiene, garbage, and management of animal waste, e.g., pig raising in the home environment.

iii. Locally developed IEC materials

A large number of IEC materials have been developed nationally with UNICEF and the Bureau of Health Education of the Ministry of Health. It is unclear how well the project is making use of them; or if they have found them to be acceptable/relevant to local situations. Obviously, a local approach to development of materials would be best, and this may well be possible with the NGO assistance. Would this be an area of collaboration with the Primary Education project—work with interested teachers who have developed new methodology skills, and ask children to participate/compete in designing materials relevant to their ethnic/geographic setting? Local women would likely be interested in participating in designing materials related to water/food/cooking/garbage etc. An opportunity for capacity building for women?

iv. Community-based "Sanitation Teams"

A community-based approach is essential for sustainability of sanitation education. Village Health Committees exist in each village, but with varying levels of interest, activity and viability. However, the mission found that the key "individuals", if interested to participate, would be the CHW, the Auxiliary Midwife (she exists in 70% of villages visited), women members of active WATSAN committees, and the local teacher particularly if s/he has benefited from learning methodology training. Some sub-set of this group would be willing to work with some outside trainers to develop participatory skills

and techniques to work with their own community, and/or form a "roving team" that would work with several surrounding communities.

Note: The UNDP PROWESS (Promotion of Women for Environmental Sanitation) program may have some helpful lessons for # iii and iv.

7.3 Addressing CISF Constraints

i. Small-scale enterprise development

One constraint small scale enterprise development for production of intermediate inputs for water and sanitation, is the lack of knowledge about the process on the part of the staff. Input is necessary to work with the WATSAN teams, who then can make linkages and provide the appropriate direction and encouragement to the local artisans and local entrepreneurs. There is a need for facilitation of the approval of the consultant for this purpose. Subsequent to this input, it is recommended that the Project develop a longer term strategy, within the CISF mechanism, for the development of the intermediate inputs for the water supply and sanitation sector.

The new Terms of Reference for the Zonal Engineer includes working with small scale enterprise; with support of the consultant, the Zonal Engineer could facilitate regular collaboration with private sector groups in the Zonal Townships.

ii. Interim Assessment of CISF Component

Given that the CISF is a new component, and is seen as an important cross-sectoral assistance for community development, it is important that the Project conduct an interim assessment of the CISF. The purpose would be to assess benefits, cost-effectiveness, provide an in-depth look at the community process, and the contracting system, and address such questions as who is benefiting, and are the "priority" villages having equal or better access to the CISF option? The CISF Advisor suggest that this study should be done when approximately 50 projects have been completed (In February '98, 37 were complete).

7.4 Addressing Zonal Specific Issues

7.4.1 Dry Zone- "Seasonal water shortage" Challenge

The WATSAN Team in each of the affected Townships in the Dry Zone facilitate the formation and activities of a "Local Area Task Force" involving the key stakeholders from the Township and those village tracts most affected. The objectives of this task force would be to develop both a short and long term strategic approach to address the seasonal shortage challenge. This requires action research studies, involving local communities, in order to determine what resource potentials exist and what community-sharing

approaches could be built upon, as well as marshalling ideas for long term "area-based" solutions. This "Task Force" approach could serve as a community-based model which could be replicated in similar areas of the dry zone. It is essential that such a strategic development initiative involve the relevant government representation at the Township and Divisional levels.

An international consultant with extensive "dry zone" experience in other area of the world, is expected shortly, pending approvals. His/her expertise will be brought to bear in terms of alternative options for the longer term strategic solution.

Note: The NPD from WRUD has offered his Department's support to provide a "situation analysis" of the status of all the deep tube wells in the affected areas; the Department would also be willing to contribute some short term functional support, i.e., fuel for strategically located deep tube wells, for a few years during seasonal shortage time, while more permanent solutions are being sought.

7.4.2 Shan State Zone - Inlay lake - "Double bamboo-ring pit latrine system"

Single examples of the "experimental" double bamboo-ring" toilet designed by Christopher Maung has been in place in several locations in Inlay Lake for some time. It is recommended that the WATSAN team implement with the community the building of these latrines for full coverage in one strategically selected village. This would serve as a "research study" to test for effectiveness in a wider area, a semi-contained eco-system, and also as a strategy to promote the technology for wider use in the area.

7.4.3 Delta Zone Water Vendors

WATSAN Team conduct a feasibility study and work with the water vendor community in the saline-intrusion areas in Laputta Township. Together they should develop a strategic plan for sustainable water delivery systems that address issues of water quality, efficiency, cost, community affordability, and water vendor livelihood.

7.5 Proposed Studies in Preparation for CWSS-3.

i. Local Capacity Building- Assessing the Process

Assess the group formation and decision-making process with with the CBOs -WATSAN and others. The objective would be to determine what the community perceives to constitutes a viable CBO, what the elements of sustainability are if known; and what will be the links to future local development? This study requires a Participatory Action Research (PAR) approach in a few selected villages as case studies. We suggest that this study be conducted in the Township in which the "area-based approach" to planning will be piloted.

ii. *Socio-Cultural Processes Associated with Water and Sanitation*

A study should be designed based on ideas and questions generated by the WATSAN staff based on their now substantial experience. What does the project need to know to better design the community process and the technologies to address the needs of local communities in very different cultural settings? Is enough known about the common distribution, transport and household water storage practices, and beliefs surrounding water and sanitation use, and issues of affordability? Much of this knowledge and information is with women.

The Project Document identifies terms of reference for a Socio-Anthropologist to address similar questions, and focuses on women's knowledge and perceptions. In our understanding this consultancy has not been implemented, and perhaps it is timely at this juncture in the project.

iii. *Situation Analysis of Existing Enterprise Development*

An environmental scan needs to be conducted to ascertain the types of enterprises that are in operation in the various small towns, and village tracts in each Township. This could best be carried out by the Zonal Engineer, who tends to have a broader travel base, and this would allow her/him to start to build the linkages that may be necessary within and between Townships. Additionally, the ZE using her/his contacts could tap local, regional, and national networks in both the private sector and the engineering profession. This would ideally take place after input from a Consultant on Small Enterprise Development, who would provide guidance and support for such an exercise and its follow up activities.

iv. *"Area-Based" Scan of the capabilities in the wider geographical area*

In preparation for the development of an "area-based" approach in the subsequent phase, a study could be identified not only to focus on community capabilities and assets (see 8.2.1), but on the existing hierarchy of social, administrative and trade/commercial services as well as rural infrastructure already existing/provided in the village/village tract.

Such a study could develop criteria for inclusion of villages/village tracts in the selected geographical area and also indicate the potential costs/benefits for including particular villages/tracts (identified as possessing higher order of rural service or rural service centres). This study would provide a platform and well defined avenues for convergent/integrated activities for effective development actions in the selected geographical area, not only for CWSS, but also for HDI more broadly.

iv. *Environmental Sanitation and Informal Water Supply Systems in semi-rural wards of small towns*

A feasibility study to be conducted in selected small towns, to ascertain the possibility of the project working in a limited way to assist the rural wards of these towns with community-based solutions to sanitation problems, and address the informal water supply systems, which tend to be run by local vendors. There are regular linkages between the project's rural communities to these "service centres" for market, schools, artisan development. The environmental sanitation issues in small towns tends to be bad and getting worse as these towns grow. Many of the water supply and quality issues can be addressed by working with the local vendors.

7.6 Addressing Management Constraints

i. Current Management Arrangement

The mission recommends that the current OIC be given the title of "acting CTA" until such time as a new CTA is in place. This would more accurately reflects the reality of his functions, and provides the necessary credibility in most situations.

ii. Office Location

The current office location is unsuitable for the project in two ways. First, it is too small for the current staff, with no way of increasing the available space from the Department of Health. Secondly, it's location on the extreme outskirts of Yangon is highly inconvenient for a project whose staff has regular meetings with persons and organizations, including UNDP, in the centre of Yangon. The return travel time of over an hour is not good use of valuable staff time.

iii. Consultant Approval Process

Delays in approvals for Technical Consultants has constrained the progress of the project implementation in several key areas. This is highly unfortunate in a project of such short duration. We understand that a new idea being proposed (jointly by the UNCHS and UNDP Project Officers) is to seek "blanket approval" from the three government ministries for consultants needed over a six month period. UNDP senior management is supportive of this idea.

8.0 The Way Forward CWSS 1999-2001: "Facilitating Sustainable Community Capacity Development"

As the project's emphasis shifted somewhat from the first to the second phase, so too the emphasis will shift again as the project evolves as a result of its understanding and experience of the broader development context, and as genuine integration becomes more possible amongst the various projects within the HDI-E. Figure 8.1 depicts the major thrusts of the three phases of the project, as perceived by this evaluation mission.

In the current phase the emphasis is to "build local capacity" for sustaining the "Outputs and Outcomes" that are the results of the WATSAN activities, including building the capacity for small enterprise development in water and sanitation. CISF is intended to assist the latter, and to directly address other priority needs for local community development that are not sector-specific.

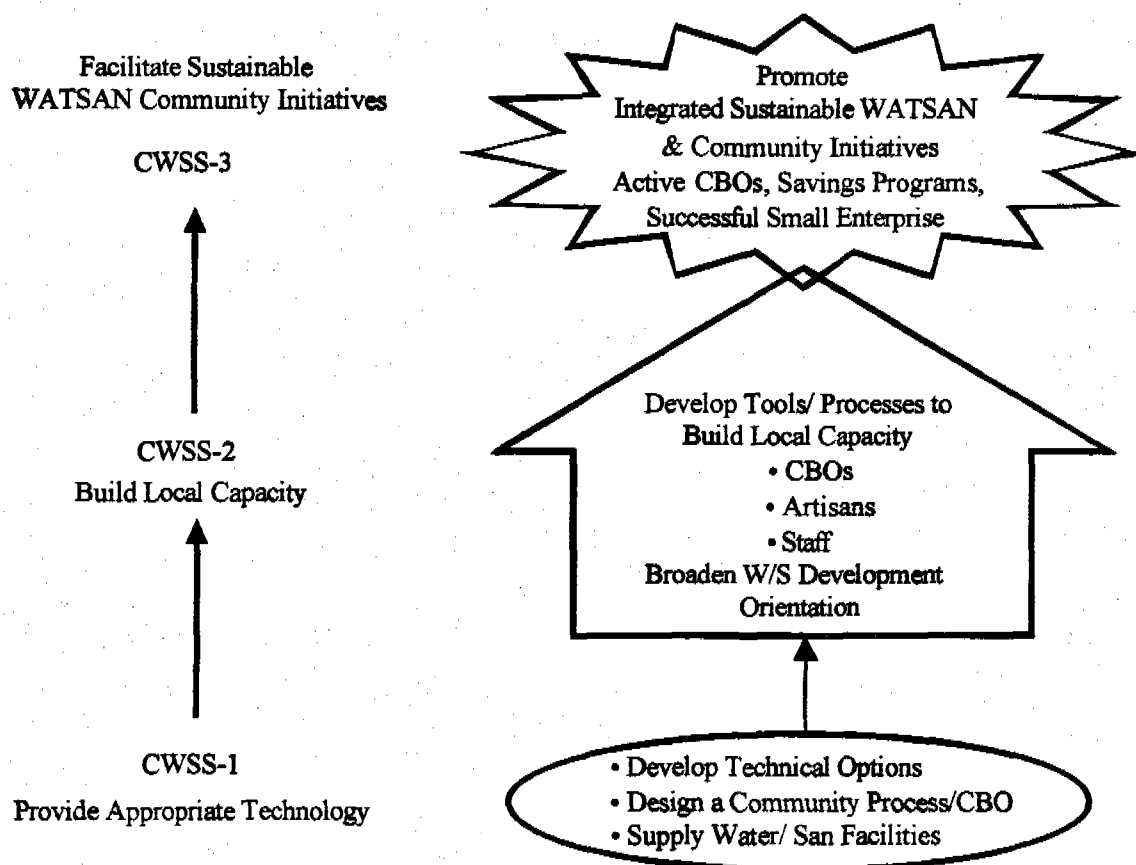


Figure 8.1 CWSS- Major Emphasis by Phase

The subsequent phase of the project should evolve to emphasize “Sustainability”- of the capacity building initiatives for local area development, including water and sanitation enterprise development, and sustainability of the viable CBOs in that given area.

8.1 Proposed Project Components

The proposed components for the next phase are depicted in Figure 8.2. They are: Water and Sanitation, CISF, and Community-Based Disaster Management. The fourth component, Documentation and Dissemination of Development Lessons, shown with dotted lines, is intended to draw out and document the specific and common lessons learned from the programme components, and contribute those to the body of knowledge about the HDI in Myanmar.

Community-based disaster management is being piloted successfully in this current phase, supported by CISF. Disaster Management fits well with the other components, and with the project’s experience. The most common disasters in Myanmar are associated with water—too much of it in floods, and not enough in the case of village fires. Many of the community-based interventions to prevent and mitigate these disasters require technical input, e.g., dams, retaining banks, fire towers and water storage tanks. The project has significant numbers of technically trained persons in the field.

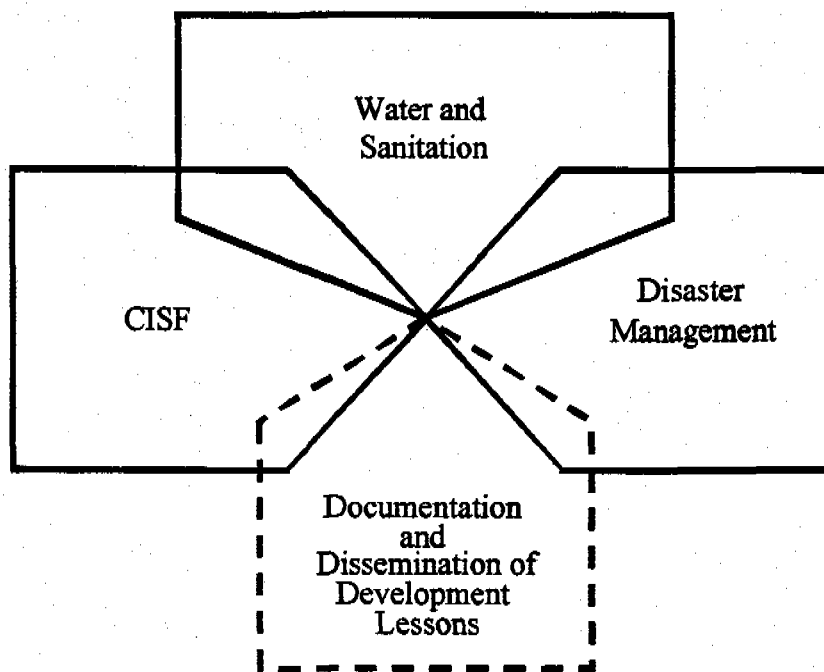


Figure 8.2 Proposed Project Components for CWSS 1999-2001

8.2 Proposed Key Features for CWSS 1999-2001

8.2.1 "Area-Based" Approach to Planning, Implementation and Monitoring

As suggested for a pilot Township in the current project, the further extension phase (1999-2001) would use an "area-of-concentration" approach to planning and implementation of activities associated with water and sanitation and CISF initiatives that will lead to sustainable capacity building "outcomes" in that geographic "area". Based on an assessment of what has been accomplished to date in a Township, the WATSAN Team would delineate certain geographical clusters of villages or village tracts that they consider a workable unit for sustainability of project activities. The capacity building activities would then be planned and monitored collectively for the area, rather than on a village by village basis.

8.2.2 Entry Strategy- "Community Capacity Assessment"

With each new community "entered" by the project, the previous NAS will only be used as background information for the team member. To build on that, an approach will be developed to meet with the community using a participatory approach to assess the community capabilities and assets, whether in CBO management and financial, artisan skills, what small enterprises are in place by men or women, etc. This enables the staff to know what general "pool" of capabilities exist in a given "area-of concentration" and therefore how they can enhance or build on one another for sustainable development in water, sanitation and other activities. Then the WATSAN team will be able to ascertain what additional capacity building activities the project needs to provide. Capacity assessment is also empowering for the community as they focus on their assets and capabilities first, and then the needs that they would like to address.

8.2.3 Work with any Viable CBO

Many communities have functioning CBOs whether established by one of the HDI projects, or previously existing. In the subsequent phase, WATSAN may well be going into communities where these CBOs already exist. It is suggested that any viable CBO can work with the WATSAN team; a specific WATSAN Committee does not need to be established, unless that is what the community would prefer to do.

8.2.4 Local Organizational and Entrepreneurial Capacity Development

There will be a strong emphasis on building managerial and financial capacity, for local CBOs and small groups of artisans, small enterprises, and women's enterprise groups etc. In order to accomplish this, each "area of concentration" will need a strategic plan for

local entrepreneurial development. The staff will need input on developing strategic plans. This training could be provided by one of the other projects, but the WATSAN project will then be responsible to ensure that the necessary capacity is built. There should also be encouragement for active or more developed CBOs to conduct workshops, trainings and meetings jointly across villages.

8.2.5 Community to Community Capacity Building Support within an "area"

With the knowledge gleaned from the "community capacity assessment" the staff will be in a position to use community to community support as a deliberate strategy to assist capacity building in any number of areas. The project staff can effectively act as brokers, to enable strategic linkages within the area, for enterprise development, for example.

8.2.6 Functional Linkage with Credit and Savings- a Key Adjunct

Credit and Savings is an essential ingredient if these communities are to realize any income generating potential, whether through small enterprise development or improved agriculture. Credit has to be available in this phase for sustainable results. The CWSS project should establish a functional linkage with a Micro-Credit organization or project, or have a micro-credit component in CISF.

8.2.7 Some Township Planning with Sector Projects of Affinity (Health, Education, Micro-Credit)

In the current phase, we saw very little evidence of joint planning between the projects. At the end of the current phase, the various project sector specialists will have substantial experience and lessons within each Township about cross-project cooperation. While each project will continue to have its specific objectives and activities, it would be strategic to allow some flexibility within each project's "work plan" in order to either plan some activities jointly or respond to requests from other projects to assist in particular areas of need. This would certainly help maximize the sustainability of each project's individual efforts.

8.2.8 Action Research and Case Studies

The changes in approach in this HDI-E phase, the technological innovations of CWSS, the new Disaster Management Component, are all ripe for investigation, and identifying lessons that will be applicable to other areas of the country. The staff should be responsible to identify areas that need study; and the project should ensure sufficient resources are available for this important part of the work in the subsequent phase.

8.2.9 Exit Strategy Based on "Sustainability Indicators"

The WATSAN team's experience of planning and working in an "area", will enable them to identify just what kinds and levels of skills are necessary for "sustainability" after the project leaves, for water and sanitation facilities, CBO viability, and small enterprise. Through this experience, "indicators" of sustainability can be developed and then used subsequently when working in other "areas". Therefore, the WATSAN team will consider "exiting" the area only when it is "complete" or "finished", i.e., the indicators of sustainability are clearly apparent. Monitoring tools developed in the current phase will need to be extended/built upon to develop "sustainability indicators".

8.2.10 Zonal Strategic Planning

Each Zone should have the leeway to develop a strategic direction and some separate features of the project, that addresses the Zone's unique challenges and capabilities.

8.3 Questions and Suggestions related to HDI-E for 1999-2001

The following constitute a series of queries that arose during the evaluation in relation to the direction for the subsequent extension of HDI-E from 1999 to 2001.

- A significant amount of HDI programmatic activity that will have been completed in each Township by the end of this extension period. As well, a great deal of experience and insight will have been gained by the various sector specialists who have worked in each Township. Would it not seem appropriate to conduct a joint exercise of assessment of progress, and realignment of priority areas, based on that assessment?
- At present each project conducts a community survey or gathers baseline data with the community to inform their sectoral project planning; often the gathering very similar information. Currently the HDI-Support Project is developing its own village profile. Would not a joint HDI strategy for gathering community information be desirable to avoid duplication, and clarify what information is actually required?
- On the assumption that there is a joint assessment and realigning of priority areas based on the assessment, projects will then decide on areas to "enter". Would it be possible to establish a "First Entry Agency" policy, by which the first project group that enters a village conducts the "generic" community assessment with whatever CBO is there, and, then would be the point project that would request the assistance of other sector projects to address the expressed and assessed needs?
- While the HDI-E project documents recommend that sectoral components should be integrated at the community level, and that the three humanitarian

cluster projects plan together to meet needs. However, the amount of joint planning appears to be quite minimal to date. Again, given the knowledge base that has developed, would it not be strategic to allow/encourage the ideas for planning for the next phase to come from the Township level, through joint sectoral exercises?

- Recognizing that each project will continue to have its own objectives and activities, would it be possible to allow a percentage of time and budget to be discretionary at the Township level, to allow joint planning with, or a response mechanism to sectoral projects? This may be particularly strategic as a mechanism which would address needs to ensure community level sustainability.
- If indeed a joint assessment of progress and realignment of priorities took place in each Township, and the HDI program entertains the idea of a "First Entry Agency" strategy, then this would require that all sector projects had discretionary time and budget as in the previous point.

ANNEX 2: TERMS OF REFERENCE



**UNITED NATIONS DEVELOPMENT PROGRAMME
UNITED NATIONS CENTRE FOR HUMAN SETTLEMENTS
(Habitat)**



**COMMUNITY WATER SUPPLY AND SANITATION PROJECT
MYA/96/002**

TERMS OF REFERENCE

Post Title: Project Evaluator
Duty Station: Yangon, Myanmar
Duration: Four weeks
Starting Date: 9 March 1998

BACKGROUND

The Community Water Supply and Sanitation project (CWSS, MYA/96/002) under the UNDP-funded Human Development Initiative - Extension (HDI-E) Programme aims at supporting improvements in water supply, sanitation and sector neutral community initiatives for approximately 1.8 million people in over 3700 villages in 11 townships of 3 distinct different zones of Myanmar. In implementing the project, UNCHS (Habitat) works closely with three government agencies (Ministries of Health, Irrigation & Agriculture and Development Affairs), other sectoral projects under the HDI-E, NGOs, small-scale private enterprises and community-based organizations. The project addresses the problem of lack of access to protected water supply and sanitation facilities in three ways: (a) assisting communities in mobilizing organizational and other resources to build physical facilities, (b) expand the range of appropriate technological choices to minimize demand on limited resources, and (c) support sector-neutral community initiatives to improve access to socio-economic services and opportunities.

The project has started on 1 January 1997 and is scheduled for completion on 30 April 1999. The CWSS project, MYA/96/002, builds on a previous, similar project on Community Water Supply and Sanitation under HDI, implemented by UNCHS (Habitat) between March 1994 and December 1996. Monitoring and evaluation is a critical - and continuous - process of reviewing progress, impact, opportunities, problems and constraints, with the purpose of identifying the required areas of action to enhance the effectiveness of the project, and thus the HDI-E impact. As part of the various monitoring and evaluation activities of the CWSS project, a mid-term evaluation is scheduled for the first quarter of 1998. Since the two projects (MYA/93/025 and MYA/96/002) share the same *development objective*, it is important to ensure appropriate reference to the previous project while carrying out this assignment. This is particularly relevant while assessing the project *impact*.

OBJECTIVES OF THE MID-TERM EVALUATION

The objectives of the mid-term evaluation are as follows:

- To evaluate the project performance as regards the achievement of stated outputs and immediate objectives of project MYA/96/002 in relation to the impact achieved by project MYA/93/025.

5. Recommendations

Based on the findings in any of the assessed project elements at the level of project preparation, management, structure, implementation or coordination, proposed recommendations for change to improve the project's performance and impact should be provided. Since the evaluation will have a forward-looking character, new ways and opportunities for extending the CWSS activities in the future should be included in the recommendations.

METHOD OF WORK

The mid-term evaluation will be carried out by two independent consultants, one selected by UNDP and one by UNCHS (Habitat). One representative of the Government of Myanmar and one representative of a INGO with country experience in water and sanitation projects will be invited to participate in the evaluation. In addition, an observer from the HDI-S project will be invited to join this team. The evaluators will receive all relevant project documents, reports and other available written material, and will be briefed by UNDP and UNCHS (Habitat). In addition to the review of all available materials, the evaluation team will undertake field visits to selected villages and townships in all 3 zones of the project, and is at liberty to discuss any issue related to their assignment with all relevant agencies and project staff. Within one week the evaluators should prepare an outline of their report, including the proposed evaluation methodology. The preparation of a preliminary draft report and the debriefing of project management, UNDP and Government of Myanmar should be undertaken before the departure of the evaluators from Myanmar.

QUALIFICATIONS

The nature of this consultancy requires professionals with an academic background in a relevant social or technical field and experience in the management and evaluation of community-based development projects. The evaluators should have a proven record in the use of appropriate evaluation techniques and familiarity with the rules and regulations of the United Nations system.

DURATION AND TIMING

A total of 4 weeks (excluding travel to/from Myanmar) in one mission as from early March 1998.

REPORTING

A copy of the outline report and evaluation methodology should be made available through the project CTA to UNDP and UNCHS (Habitat), for their immediate reaction, if required. Before departing from Yangon the consultants will prepare a preliminary draft report and debrief project management, UNDP and Government of Myanmar. Copies of the draft mid-term evaluation report (in English) will be submitted to the Resident Representative of the UNDP, Yangon, the Director of the UNCHS (Habitat) Fukuoka Office and the CTA of the CWSS project within one week after completion of the mission.

The evaluators will be responsible to reflect any correction on facts in the draft report in a final version and submit at least 5 copies to the UNCHS (Habitat) Fukuoka Office for formal distribution. The final responsibility for the preparation of the evaluation report rests with the two independent evaluators representing UNCHS (Habitat) and the UNDP.

- To review and assess the process of community mobilization for needs assessment, planning, implementation and maintenance of water, sanitation and other community-initiated facilities.
- To assess whether the management structure of the project and other aspects of project design support the project strategy and activities adequately.
- To assess the impact of inter-project cooperation within HDI-E on the project implementation.
- To provide recommendations for improved project implementation within the present framework of the project and for a future project design.
- To identify new ways and opportunities for extending the CWSS activities in the future.

SCOPE OF WORK

The evaluation shall comprise of, but not necessarily be limited to the following aspects:

1. **Project preparation**
 - Project design, based on lessons learnt from previous CWSS project.
 - Identification of target communities.
 - Design of Community Needs Assessment Surveys.
 - Institutional arrangements for project implementation.
 - Development of qualitative and quantitative success indicators.
2. **Project management**
 - Organization, management and administration at project level.
 - Project management structure.
 - Staffing adequacy.
 - Effectiveness of partners.
 - Coordination arrangements.
3. **Project implementation and performance**
 - Documentation of actual outputs and activities.
 - Achievement of physical, organizational and operational targets.
 - Evaluation of project performance in relation to *immediate objectives* and *project strategy*.
 - Analysis of problems and constraints.
 - Assessment of flexibility to take advantage of opportunities.
 - Appraisal of community participation process.
 - Assessment of appropriateness of technical options and project components.
 - Evaluation of the role of project partners.
 - Comparison of effectiveness with previous project phase.
4. **Project impact**
 - Visible and measurable impact on human welfare, in particular of the poor and disadvantaged.
 - Community awareness and perception levels on safe water and sanitation practices.
 - Involvement of communities in identification, planning, implementation and maintenance of water, sanitation and other identified community initiatives.
 - Emergence of small-scale producers of components for water and sanitation facilities.
 - Local capacity to sustain community-focussed development.
 - Assess the CWSS project impact within the larger HDI-E project.

ANNEX 3: ITINERARY AND PERSONS MET

Mid-term Evaluation Mission Itinerary and Persons Met in Myanmar

- Mission Members: Sheila Robinson / Team Leader, UNCHS Consultant
U Htin Myaing / UNDP Consultant
U Myo Lwin / ESD Representative from Health Department
(Participated in Shan Zone and Dry Zone)
- 16 March
Monday Mission members arrive in Yangon; Briefing with Mr. Jayaratne,
OIC, CWSS-2
- 17 March
Tuesday Briefing with NPDs
U Oo Tun Wai, NPD, Water Resources Utilization Department
U Myint Kyi, NPD, Environmental Sanitation Division, Health
Department
Briefing at UNDP Office
U Tin Aung Cho, UNDP Assistant Resident Representative
Mr. Adil Khan, CTA HDI-Support Project
- 18 March
Wednesday Meeting with Mr. Jayaratne, OIC at CWSS-II Project Office
Mr. A.K. Lahiri, CTA Mangrove Project MYA/96/007
Dr. Khin Mg Lwin, CHEB, Department of Health
- 19 March
Thursday Leave Yangon for Heho by plane
To Nyaungshwe town by car
Opening Participatory Evaluation Workshop with TPU members at
HDI-S Office. (See list of Field Participant Evaluators- Annex 4)
- 20 March
Friday Field Visit to "Myaung Gyi" village (Mine Thauk village tract)
Community Meeting at Storage Tank for Gravity Piped Water
Supply Scheme
To "Phaung tau OO" and "Mway Aut" village by boat
Community discussion and field inspection of completed new hand
well and community initiated CISF boat
Visit RHC, discussions with Midwife, inspection of experimental
modified double bamboo latrine
Wrap up Participatory Evaluation Workshop using Evaluation
Matrix format
- 21 March
Saturday Leave Nyaungshwe by car to Pindaya
Opening Participatory Evaluation Discussion with TPU project
staff Community discussions at Kyauk Taw village,
Discussions with community at Ye Phyu village inspection of
Piped Water Supply Pump (turbine pump)
Visit to 2 CISF projects (road & culvert)

22 March
Sunday
Leave Pindaya for Ywangan by car
Discussion with community at Lay Ywar village, inspection of
Pipe Water Supply Gravity scheme
Field visit to Anouk Kone village; discussions with community on
CISF and PWSG scheme

23 March
Monday
Wrap up Participatory Evaluation Discussion meeting with TPU
and WATSAN Team from Pindaya, Nyaungshwe and Ywangan at
Pindaya HDI-S Office
* See List of Field Participant Evaluators - Annex 4
Leave Heho by plane for Mandalay; by car to Meiktila

24 March
Tuesday
Meiktila to Kyaukpadaung by car
Opening Participatory Evaluation Discussion with TPU members
and WATSAN Teams at Kyaukpadaung HDI-S Project Office
* See List of Field Participant Evaluators - Annex 4
Field visit to Shwesidaing village - Gravity Piped Water Supply
scheme
Field visit to Kulai Village; Community discussions
with Village Water Committee, inspected Renovated Ponds, CISF
foot bridge and hand dug well; other HDI-E projects
Field visit to Ywalu village, Fire Tank, training for disaster
preparedness by APDC, village walkabout and community
discussions
Wrap up Participatory Evaluation Discussions with TPU members
and WATSAN Team members. * See List of Field Participant
Evaluators - Annex 4

25 March
Wednesday
Visit to Letsekan village of Magwe
Community Discussion with Village Water Committee, TPU
members and WATSAN Team, at the Village Monastery
compound; walkabout at the village
Participatory Evaluation Discussion Meeting with TPU members
and WATSAN Team at Magwe.
* See List of Field Participant Evaluators - Annex 4
Leave for Nyaungoo/ Bagan by car
Leave Nyaungoo for Yangon by air

26 March
Thursday
Dr. J.P. Gupta, CTA MYA/96/001
Mr. Maurice Robson, CTA, MYA/96/004
Mr. David A. Chandler, Country Representative, World Vision
Mr. David G. Kahan, CTA, MYA/96/006

27 March
Friday
Mr. Jesus Tolentino, CTA, MYA/96/009
Mission Briefing meeting with: Mr. James Rawling, UNDP
Deputy Resident Representative

Mr. Philip Wan, Chief, Water and Environmental Sanitation
Section, UNICEF
U Saw Christopher Maung, Sanitation Consultant, MYA/93/025

- 28 March
Saturday
Leave Yangon by boat for Delta Zone
Participatory Evaluation Discussions with TPU members and
WATSAN team at Bogalay HDI-S Office. * See List of Field
Participant Evaluators -Annex 4
- 29 March
Sunday
Field visit to Mayan village (CISF) Bridge Opening Ceremony
Field visit to Paw tau mu village (CISF) Bridge Opening
Ceremony
Community discussions at village monastery, process and record
of CISF Footbridge construction, Inspected Renovated Village
Pond
Field visit to Yotesaing village (CISF) brick footpath construction
activities with the village monk facilitating brickmaking within the
monastery compound
- 30 March
Monday
Field visit to Ywama (Myatharwyama village)
Inspected Renovated Village Pond, Rainwater Collection Tank,
and Rural Health Centre
Community Discussions with Water Committees and
representatives from nearby villages
Field visit to Magu Village
Community discussions with Water Committees and community
- 31 March
Tuesday
Leave Bogalay for Mawlamyaingyun by boat
Participatory Evaluation Discussions with TPU members and
WATSAN Team members. * See List of Field Participant
Evaluators -Annex 4
- 1 April
Bogalay to Mawlamyaingyun by boat
Field visit to Maizilekazanchaung village
Community discussions with Water Committee, Sector Specialists
and community; walkabout in the village
Participatory Evaluation Wrap-up workshop with TPU members,
WATSAN Team.
- 2 April
Thursday
Leave Bogalay for Yangon by boat
Wrap up discussions with OIC CWSS-II and Delta Zonal
Engineer on boat
- 3 April
Friday
Debriefing at UNDP office for NPDs:
U Myint Kyi, National Project Director, ESD, Department of
Health; U Oo Tun Wai, National Project Director, WRUD; and

U Hla Myint Hpu, UNDP Programme Officer.

Meeting with Director General U Mya Nyein
Department of Development Affairs, Minister's Office
Present: U Kyaw, National Project Director, Department Of
Development Affairs

Meeting with : Director General Dr. Hla Myint
Department of Health
Present: U Myint Kyi, National Project Director, ESD
Meeting with :Director General U Soe Lin
Foreign Economic Relations Department (FERD)

- 4 April
Saturday
Evaluation members Discussions on Report Writing
- 5 April
Sunday
Report Writing
- 6 April
Monday
Meeting with: Director General Lt. Col Win Shwe represented by
Director U Myint Kyaw
Meeting with U Than Moe, Project Management Consultant,
MYA/96/002
- 7 April
Tuesday
Report Writing
- 8 April
Wednesday
Participatory Evaluation Final Feedback & meeting with CWSS
Management/Senior Staff: OIC, Zonal Engineers (NPPPs),
WATSAN Promoters.
Mr Jan Meeuwissen, UNCHS Human Settlement Advisor
- 9 April
Thursday
Debriefing at UNDP Office.
Mr. James Rawling, UNDP Deputy Resident Representative
U Tin Aung Cho, UNDP Assistant Resident Representative
U Hla Myint Hpu, UNDP / Programme Officer
Daw Esther Gyan, UNDP Admin Assistant
Daw San San Myint, UNDP / Programme Officer
Saw David Tha, UNDP / Information Officer
Mr. Adil Khan, UNDP/OPS-CTA HDI-Support Project ,
MYA/96/001
Dr. Jit Pradhan, UNDP/OPS- HDI-Support Project , MYA/96/001
Mr. Alan Smith, Representative CARE Myanmar
Mr. Steven W. Honeyman, Country Representative, PSI
Mr. Jan Meeuwissen, UNCHS Human Settlement Adviser
Mr. K.A.Jayaratne, OIC CWSS-II Project

10 April
Friday

Debriefing Meeting at UNDP Office
Mr. Siba Kumar Das/ UNDP Resident Representative
U Hla Myint Hpu, UNDP/ Programme Officer
Mr. Jan Meeuwissen, UNCHS Human Settlement Adviser
Mr. K.A.Jayaratne , OIC CWSS-II Project

11 April

Report Writing.
Departure from Myanmar of one mission member.

**ANNEX 4: PARTICIPANT CO-EVALUATORS AND VILLAGES
VISITED**

Participant Field Co-Evaluators (WATSAN Team and HDI-E Project Personnel)

SHAN STATE ZONE:

Nyaung Shwe Township

WATSAN Team

Daw Khine Khine
U Zin Aung Swe
Kai Doe Cinh
Kyaw Soe Lwin
Khin Mg Aye
Win Lwin
Khin Myo Mon

Zonal Engineer
WATSAN Promoter
Technician
Artisan Trainer
Artisan
Artisan
Warehouse Caretaker

HDI -E Project Staff

Daw Khin Myo Myint
Daw Win Win May
Daw Angelyna Gyi
Daw Khine Wah Wah Maw
Dr. Tun Win
Dr. Aung Kyaw Myint

HDO
TCS (micro credit)
TESS(Education)
TLO (Food Security)
THP (Health)
TMO (Nyaungshwe Township)

CDWs

Ma Win Win Shwe
Ma Thandar Myint
Ma Shwe Mi
Ma Myat myat Lwin
U Tin mg Theiin
Mg Zaw Oo – CLEW

Ma Kyi Win
Ma Shwe Khin
Naw Bawhi Paw
Ma Khin Phyu
Ma Khin Swe Myint
Mg Thant Zin Oo -CLEW

Pindaya Township

WATSAN Team

Daw Khine Khine
U Ye Myint Thein
U Myint Linn Han
U Saw Pho Kay
U Kyu Win
WATSAN Artisans
U San Thein
U Maung Maung Oo

NPPP/Zonal Engineer
TW Promoter
Technician
Technician
Temporary Technician

U Khin Maung Shwe

HDI-E Staff

Dr. Mi Mi Khine Zin	HDO	/001
Dr. Nelly Thein	THP	/001
U Khin Mg Htay	TESS	/004
Daw Thida Myint	TCS	/005
U Aye Myint Than Htay	TLO	/007
Daw Thida Win	TMO	Pindaya

CDWs

U Zaw Win Si	U Than OO
U Myo Thant	U Nay Oo
Daw Khin Thein	U Tun Kaung
Daw lay New	Daw Hnin Ngwe
Daw Moe Myint Myint Khine	Daw Mar Mar Win
Daw Mu Mu Win	CLEW
U Win Hlaing	CLEW

Kalaw Township (Attending Meeting only)

U Thein Zaw WATSAN Promoter

Ywangan Township

WATSAN Team

U Htin Myaing Than	THP
U Zaw Win	Technician
U Saw Pho Gay	Technician
U Myint Aung	Artisan
U Than Tun Oo	Artisan

HDI-E Staff

Dr. Tin Than	THP	/001
Daw Khin Lay Nwe	TESS	/004
Daw Min Min myat	TCS	/005
U Philip Mya Thein	TLO	/007
Daw Nan San Phong Kham	HDO	/010
Dr. Samida	TMO	Health Department

CDWs

U Aung Myo Lwin	U Soe Wai Phyoo
U Phone Kyaw Nyunt	U Min Aung
Ma Than Hla	Ma Win Khin
Ma Su Su Hlaing	Ma Khin Mar Myint
Ma Yu Yu Mar	Ma Khin Than Nu Aung

DRY ZONE

Kyaukpadaung Township

WATSAN Team

U Soe Win
U Nyunt Oo
U Po
U Nyunt Tin
Kyaw Shwe
Win Than

NPPP/Zonal Engineer
Watsan Promoter
Technician
Technician
Artisans
Artisan

HDI-E Projects Staff

U Kyaw Aung
Khin Maung Kyaw
U Hla Min
U Aye Lwin

Health Promoter
Education
NPPP Agriculture food Security
HDO

CDWs

Thin Thin Aye
Thidar Aye
Pyone Kyi
Myint Myint Oo
Than Than Khine

Tin Moe Aye
Win Mar
Mya Hnin Khine
Myint Myint Shwe
Ohn Nwe

Community Representatives

Ma Toe Toe - VWC Secretary
Ma Sann - VWC members
VWC members
VWC members
VWC members
VWC members

Kulai vilage
Kulai Village
Kulai Village
Shwesidaung village
Ywalu village
Letsekan village

Magwe Township

WATSAN Team

U Kyi Soe
Ko Ko Win

WATSAN Promoter
Technician

HDI-E Project Staff

U Win Htay
Ma Khin Saw Nyunt
U Toe Myint

THP
TES
HDO

DELTA ZONE

Mawlamyaingyun Township

HDI-E Projects Staff

Dr. Hla Tun Oo	THP	/001
U Myo Nyunt	TCS	/005
U Aung Swe Myint	TSS	/008
U Saw Win Aung	TESS	/004
U Aung Khaing	HDO	/010

WATSAN Team

Daw Khin Khin Pyone	Zonal Engineer
Khin Mg Htay	Watsan Promoter
Tin Myo Lwin	Technician
San Win	Artisan
Than Soe	Artisan
Soe Win	Artisan
U Maung Maung Aye	DSO-(SAE) Township Development Affairs
U Kyaw Naing	DSO- ESD

CDWs

Ma Su Su Kyi	Ma Naw San Cho
Mg Zaw Win Naing	Ma Nilar Win
Mg Moe Win	Mg Myat Htike
Ma Lei Lei Oo	Ma Tin Tin Tin Htwe
Ma Khin Moe Thu Zar	Ma Yi Yi Khine

Bogalay Township

WATSAN Team

U Shu Maung	WATSAN Promoter
U Myo Kyaw Oo	Technician
Daw Ohn Mar Aung	Technician
U Htay Aung Kyaw	Artisan Trainer
U Win Lwin Oo	Artisan
U Aung Thu	Artisan
U Soe Naing Oo	DSO- Township Development Affairs
U Kyaw Naing	DSO - ESD , Health Department

HDI-E Projects Staff

U Kyaw Thaung	HDO MYA/96/010
Dr. Htun Wai	THP MYA/96/001
Daw Thet Thet Mar	TSS MYA/96/004
U Myint Swe	Sr. Specialist MYA/96/005
U Tin Maung Win	MYA/96/008

U Soe Naing Oo
U Kyaw Naing

DSO- Township Development Affairs
DSO - ESD , Health Department

CDWs
U Aung Thet Win
U Kyaw Soe Moe
U Than Lwin Oo
Daw Thin Thin Moe
Daw Sein Sein Win

U Aye Cho
U Tin Maung Htun
Daw Hla Kywe
Daw Cho Cho Myint
Daw Aye Aye San

Laputa Township

U Soe Myint Swe

WATSAN Promoter

List of Visited Villages with Merit points

<u>Sr.No.</u>	<u>Vt-Name</u>	<u>V-Name</u>	<u>Merit points</u>
<u>Kyaukpadaung Township</u>			
1	Ku Lai	Ku Lai	13
	<i>Tract Average</i>		13
2	Daung Lai	Shwe Si Daing	7
	<i>Tract Average</i>		10
<u>Magway Township</u>			
1	Lyint Myint	Let Sae Kan	11
	<i>Tract Average</i>		11
<u>Ywangan Township</u>			
1	Ah Lai Chaung	Ah Lai Chaung	11
	<i>Tract Average</i>		10
2	Thain Kone	Thain Kone	15
		Kyauk Ku Hti	12
		Anauk Kone	9
	<i>Tract Average</i>		13
<u>Nyaung Shwe Township</u>			
1	Mine Thauk	Myaung Gyi	11
	<i>Tract Average</i>		9
2	Thar Lay	Thar Lay (N)	8
	<i>Tract Average</i>		10
3	Nga Hpe Chaung	Mway Pway Out	12
	<i>Tract Average</i>		11
4	Nan Thae	Ai Daunt Gyi	13
	<i>Tract Average</i>		8
<u>Pindaya Township</u>			
1	Ye Phyu	Ye Phyu (E)	15
		Ah Lai Ywar	14
		Kyauk Taw	12
	<i>Tract Average</i>		13
2	Tha Yet Gon	Tha Yet Gon	19
	<i>Tract Average</i>		15
3	Pway Hla	Pway Hla	17
	<i>Tract Average</i>		14
<u>Bogalay Township</u>			
1	Kan Su (East)	Ma Yan	13
	<i>Tract Average</i>		11
2	Yoke Saing	Paw Taw Mu	11
	<i>Tract Average</i>		12
3	Pa Wein	Ta Man Chaung	14
	<i>Tract Average</i>		11
4	Ma Gu	Ma Gu	9
	<i>Tract Average</i>		8
<u>Mawlamyainggyun Township</u>			
1	Pyar Hmut Shaw Chaung	Pain Nai Chaung	12
	<i>Tract Average</i>		10
2	Myat Thar Ywar Ma	Ywar Ma	12
	<i>Tract Average</i>		10
3	Myat Thar Ywar Ma	Ywar Ma	10
	<i>Tract Average</i>		8
4	Kyun Chaung	Kyun Kyar	7
	<i>Tract Average</i>		11
5	Mai Za Li Ka Zan Chaung	Ywar Ma	5
	<i>Tract Average</i>		5

ANNEX 5: DOCUMENTS REVIEWED / CONSULTED

Annex 5

Documents Reviewed and Consulted

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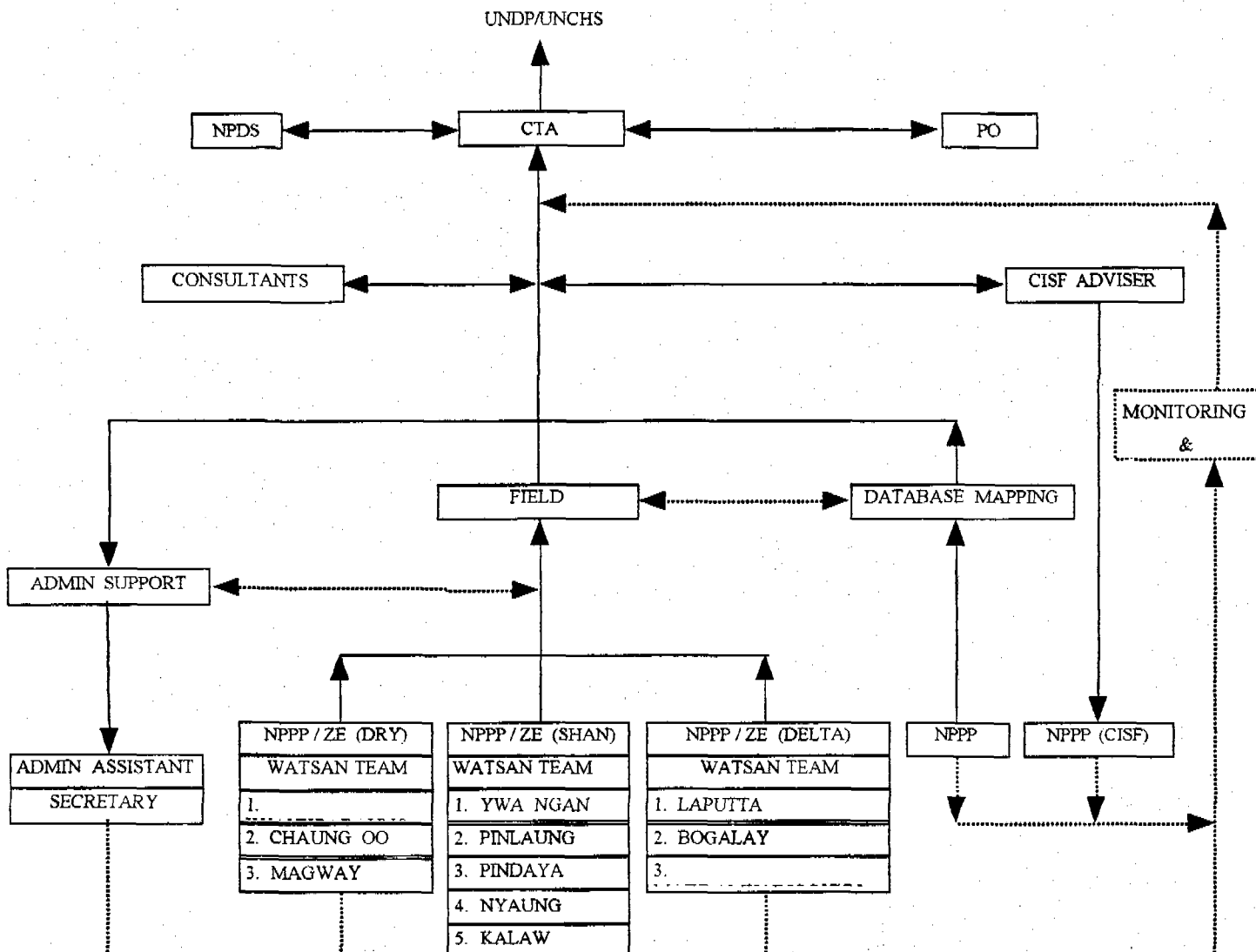
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ANNEX 6: CWSS-2 PROJECT ORGANIZATIONAL CHART

CWSS PROJECT ORGANIZATIONAL CHART



- Dry Zone**
- ▼ Kyaukpadaung Promoter # 1 Technician
 - 3. Chaung Oo Promoter Daw Sandar Cho
 - U Nyunt Oo
 - 2. Magway Promoter # 1 Technician
 - U Kyi Soe
- Delta Zone**
- 1. Laputta Promoter U Soe Myint Swe
 - 2. Bogalay Promoter U Shu Maung
 - 3. Mawlamyainggyun Promoter # 1 Technician U Khin Maung Htay
- Shan State**
- 1. Ywangan Promoter # 2 Technicians U Htin Myaing Than
 - 2. Nyaungshwe Promoter # 1 Technician U Zin Aung Swe
 - 3. Pindaya Promoter # 1 Technician U Ye Myint Thein
 - 4. Kalaw Promoter # 2 Technicians U Thein Zaw
 - 5. Pinlaung Promoter # 1 Technician U Kyaw Shwe
- NPPPs**
- 1. Dry ZE (U Soe Win)
 - 2. Delta ZE (Daw Khin Khin Pyone)
 - 3. Shan ZE (Daw Khine Khine)
 - 2. CISF (Daw Htay Htay Aung)
 - 5. DataBase / Mapping (U Maung Maung Myint)

**ANNEX 7: "SPLASH & RIPPLE" EVALUATION MATRIX -- 3
ZONES**

Community Water Supply and Sanitation CWSS-2 Evaluation Matrix (Draft)		
CISF (Shan Zone)		
RESULTS	INDICATORS OF SUCCESS	ISSUES/LESSONS/ RECOMMENDATIONS
OUTPUTS		
Community requests made for priorities projects such as footpaths, culverts, footbridge, boats, generators etc	Community use of facilities and having maintenance fund	
Projects in progress, total involvement by community Ideas in progress	Community driven, total community request	*Small enterprises for water related activities? *Pump irrigation?
Many proposals expected- information travels		
Innovative O & M Schemes	Nyaungshwe " Multipurpose boat " Principle of user pays	
OUTCOMES		
Increased village access, especially during rainy season	Report of mothers; Increased enrolment in school?	
Leverage for other socio-economic activity/multiplier effect for community benefits		Rural infrastructure where needed, access and transport
Increased awareness of development choices/options		
Confidence/skills acquired		
Community solidarity/ Decision making		

Community Water Supply and Sanitation Project CWSS-II Evaluation Matrix (DRAFT)

Water Supply (Shan Zone)		
RESULTS	INDICATORS OF SUCCESS	ISSUES/LESSONS RECOMMENDATIONS
OUTPUTS		
Safe drinking water	Tested as pure, fenced pond, no intrusion to water source	Sustainability of Water Supply should be considered
Quantity/ease of access	Short distance for gravity systems, wells and rainwater tanks	
Trained Artisans	Construction of sound Water supply facilities, other projects	Exchange tour for different Technologies, experience for WATSAN Team, Committee and Artisans
Functioning WATSAN Committees	Managing Operation & Maintenance funds Organizing other activities	Management training for WATSAN Committee Training for Artisans (on job training learning modules)
OUTCOMES		
Time savings for children, women, men	Report from mothers more children going to school People can now sleep at night	
Men, women devote more time to economic activities	Spend more time in fields for working	
More water for livestock and agriculture		
Improved hygiene practices	More regular bathing, dishwashing; water used in latrines	
Increased community confidence and capacity	WATSAN Committee takes on wider focus	
Increased awareness of intersectoral possibilities	WATSAN Committee develops, implements CISF proposals Cooperation with Village Forest Committee	
Communities take on other village contracts**		
Confidence/skills acquired		Management Training for Artisans?

Community Water Supply and Sanitation Project CWSS-II Evaluation Ma (Draft)		
Sanitation Program (Shan Zone)		
RESULTS	INDICATORS OF SUCCESS	ISSUES/LESSONS RECOMMENDATIONS
OUTPUTS		
Fly Proof Latrines built by community	Percentage of households complete	Inclusion of poor families in plan by WATSAN Committee
Increased Knowledge of sanitation practices	People tell about sanitation practice	Environmental Sanitation for Garbage and animal excreta
Trained latrine builders		
OUTCOMES		
Change in sanitation behaviour	Community children using water in latrines and handwashing	Give regular training in Water/sanitation practices and construction. Encourage community based Monitoring
	Children washing hands	INGO to develop IEC materials for communities
	Younger children use latrine	Convergence planning should be developed jointly for next phase with PHC and Education
		Projects for Sanitation Education in Personal and Environmental areas
Cleaner river water for bathing/clothes washing		

Community Water Supply and Sanitation Project CWSS-2 Evaluation Matrix		
CISF (Delta Zone)		
RESULTS	INDICATORS OF SUCCESS	ISSUES/LESSONS RECOMMENDATIONS
OUTPUTS		
Community requests	Community maintenance fund	
Community Bridges completed		Other activities beyond bridges footpath? Other creative ideas?
Footpath completed		*Small enterprises for water related activities *Pump irrigation?
Projects in progress	Community driven, total community request	
Many proposals expected- information travels		
Experienced bridge builders (local)	Using skills for other activities-pumps, bridges	
Established O&M Fund		
OUTCOMES		
Children travel safely	Report of mothers	
Adults/child ease of access	Self report	
Leverage for other socio-economic activity/multiplier effects	Used for Ceremony, goods to market/field	
Increased awareness of development choices/options		
Confidence/skills acquired		

Community Water Supply and Sanitation Project CWSS-II Evaluation Matrix (DRAFT)

Water Supply (Dry Zone)		
RESULTS	INDICATORS OF SUCCESS	ISSUES/LESSONS RECOMMENDATIONS
OUTPUTS		
Safe drinking water from village ponds also gravity piped water	Tested as pure, fenced pond, no intrusion to water source	Sustainability of Water Source should be considered
Quantity/ease of access	Short distance from wells,ponds tanks	Alternative and emergency sources and strategies should be discussed for water deficient months
Trained Artisans	Construction of sound Water supply facilities, other projects	Exchange tour for different Technologies,experience for WATSAN Team, Committee and Artisans
Functioning WATSAN Committees	Managing Operation & Maintenance funds Organizing other activities	Management training for WATSAN Committee Training for Artisans (on job training learning modules)
OUTCOMES		
Time savings for children, women, men	Report from mothers more children going to school People can now sleep at night	
Men,women devote more time to economic activities	Spend more time in fields for working	
More water for livestock	Livestock water consumption much higher than humans	
Improved hygiene practices	More regular bathing, dishwashing, water used in latrines	
Increased community confidence and capacity	WATSAN Committee takes on wider focus	Collaborate /share experience with village monk for administrative, technical and social matters
Increased awareness of intersectoral possibilities	WATSAN Committee develops, implements CISF proposals Cooperation with Village Forest Committee	
Communities take on other village contracts**		

Community Water Supply and Sanitation Project CWSS-II Evaluation Matrix (DRAFT)

Sanitation Program(Dry Zone)

RESULTS	INDICATORS OF SUCCESS	ISSUES/LESSONS
		RECOMMENDATIONS
OUTPUTS		
Fly proof latrines built by communities	Percentage of households with latrines	Potential Village Development Committee Fund available from
Increased knowledge of sanitation practice	People tell about sanitation practice	Food Security Project for general development use
Trained latrine artisans		Plan together for community development
Proposals to CISF from PTA for school floor construction		
Technical advice to PHC Project from WATSAN Team for RHC and Sub HC		
School Health Corner		
WATSAN-Latrine		
PHC- Health Education, Education- in School		
OUTCOMES		
More children use latrine and wash hand		
Sanitation practice improved		

Community Water Supply and Sanitation Project CWSS-II Evaluation Matrix (DRAFT)		
Water Supply(Delta Zone)		
RESULTS	INDICATORS OF SUCCESS	ISSUES/LESSONS RECOMMENDATIONS
OUTPUTS		
Safe drinking water	Tested as pure, fenced pond, no intrusion to water	Community maintenace fund to be set up
Trained Artisans	Sound structure and technology	
Functioning WATSAN Committees	Managing Operation & Maintenance funds Organizing other activities	Management training for WATSAN Committee
OUTCOMES		
Decreased diarrhea disease	Report of mothers Statistics in RHC	
Increased community confidence and capacity	WATSAN Committee and implementing CISF Projects	
Communities take on other village contracts**		Management Training for Artisans?
Confidence/skills acquired		

Community Water Supply and Sanitation Project CWSS-II Evaluation Mat (Draft)		
Sanitation Program (Delta Zone)		
RESULTS	INDICATORS OF SUCCESS	ISSUES/LESSONS
		RECOMMENDATIONS
OUTPUTS		
Fly proof latrines built by communities	Percentage of households with latrines	Potential Village Development Committee Fund available from
Increased knowledge of sanitation practice	People tell about sanitation practice	Food Security Project for general development use
Trained latrine artisans		Plan together for community development
OUTCOMES		
Change in sanitation behaviour	Community children using water in latrines and handwashing Children washing hands Younger children use latrine	

ANNEX 8: CISF COMMUNITY CONTRACT FORM

ကျေးရွာအဖွဲ့အစည်း၏ မိတ္တူ
ကုလသမဂ္ဂဖွံ့ဖြိုးမှုအစီအစဉ် လူမှုဖွံ့ဖြိုး(တိုးချဲ့)လုပ်ငန်းစီမံကိန်း

HUMAN DEVELOPMENT INITIATIVE - EXTENSION PROGRAMME OF UNDP

ကျေးရွာရေရရှိရေးနှင့်ပတ်ဝန်းကျင်သန့်ရှင်းရေးစီမံချက် (မြ/၉၆/၀၀၂)
CWSS Project (MYA/96/002) OF UNCHS (Habitat)

ရွာသူရွာသားများ၏ လမ်းစတင်လုပ်ကိုင်မှုအထောက်အကူပေးလုပ်ငန်း
Community Initiatives Support Facility

သဘောတူညီချက်မှတ်တမ်း

MEMORANDUM OF AGREEMENT

ဆပ်ကန်ထရိုက်အမှတ် _____/_____

Sub-Contract No. _____/_____

ဤသဘောတူညီချက်မှတ်တမ်းအား ၁၉_____ ခုနှစ်၊ _____လ၊ (_____) ရက်
နေ့တွင် ကုလသမဂ္ဂဖွံ့ဖြိုးမှုအစီအစဉ်လူနေမှုဆိုင်ရာအဖွဲ့ (ဤမှနေောင်တွင် “ ယူအင်စီအိပ်ချ်အက်စ် ”
ဟုရည်ညွှန်းသည်) ကတစ်ဖက်နှင့်

ကျေးရွာ _____
Village

ကျေးရွာအမှတ် _____
Village Code

ကျေးရွာအုပ်စု _____
Village Tract

ကျေးရွာအုပ်စုအမှတ် _____
Village Tract Code

မြို့နယ် _____ ၏
Township

စီမံကိန်းအမှတ်စဉ် _____
Project Code No.

(သက်ဆိုင်ရာလူမှုအဖွဲ့အစည်းမှဦးဆောင်အရာရှိ၏ အမည် နှင့် ရာထူးဖော်ပြရန်)

Memorandum of Agreement made onDay of19.....between the United Nations Centre
for Human Settlements (hereinafter referred to as UNHCS) and (names and positions of principle officer bearers
of community organization)

- 1
- 2
- 3

(ဤမှနေောင်တွင် “ ကန်ထရိုက်တာ ” ဟုရည်ညွှန်းသည်) က အခြားတဖက်တို့အကြား
(Hereinafter referred to as the Contractor) of

ယူအင်စီအိပ်ချ်အက်စ်သည် လူမှုဖွံ့ဖြိုးတိုးတက်ရေးစီမံကိန်းဆိုင်ရာစီမံချက်အမှတ် (မြ/၉၆/၀၀၂) ၏
လူမှုအဖွဲ့အစည်းကဦးဆောင်ပံ့ပိုးစီမံချက် (ဤမှနေောင်တွင် “ စီအိုင်အက်စ်အက်စ် ” ဟုရည်ညွှန်းသည်)
နှင့် ဤမှနေောင်တွင်သတ်မှတ်ထားသည့်သတ်မှတ်ချက်များ၊ စည်းကမ်းချက်များနှင့်အညီ ကန်ထရိုက်တာ

နှင့် လုပ်ငန်းဆက်သွယ် ဆောင်ရွက်လို့သောကြောင့်လည်းကောင်း၊ ကန်ထရိုက်တာကလည်း အောက်ပါသတ်မှတ်ချက်များ၊ စည်းကမ်းချက်များနှင့်အညီ ယူအင်စီအိပ်ချ်အက်စ်နှင့် လုပ်ငန်းဆက်သွယ် ဆောင်ရွက်ရန်အသင့်ရှိပြီး၊ ထိုသို့လုပ်ငန်းဆောင်ရွက်ရန်လိုလားလက်ခံ၍လည်းကောင်း၊ အထက်ပါ စာချုပ်ဝင်နှစ်ဦးနှစ်ဖက်တို့သည် အောက်ပါအတိုင်းသဘောတူညီကြပါသည်။

WHEREAS UNCHS desires to engage the services of the Contractor in the context of Community Initiative Support Facility Project of Human Development Initiative of CWSS Project MYA/96/002 (hereafter in referred to as CISF) and on the terms and conditions hereinafter set forth, and WHEREAS the Contractor is ready and willing to accept this engagement of services with UNCHS on the following terms and conditions.

NOW, therefore, the parties here to agree as follows:

၁. စီမံချက်

The Project

- (က) ကန်ထရိုက်တာသည်အောက်တွင်ဖော်ပြထားသည့်အတိုင်းစီမံချက်ကိုအကောင်အထည်ဖော်ရမည်။ ယင်းဖော်ပြချက်များသည် ဤသဘောတူညီချက်၏ အစိတ်အပိုင်းတစ်ရပ်ဖြစ်သည်။
 - a) The Contractor will implement the project as described below, which forms and integral part of this agreement.

၂. စာချုပ်သက်တမ်း

Duration

- (က) ဤသဘောတူညီချက်သည် ချက်ချင်းအကျိုးသက်ရောက်စေမည်ဖြစ်ပြီး၊ ဆောင်ရွက်ပြီးကြောင်း ကန်ထရိုက်တာကစာဖြင့် အကြောင်းကြားသည့်နေ့ (အပိုင်း - ၄ တွင်ကြည့်ရန် နှင့် ----- နေ့ရက်တို့အနက် စောရောနေ့ရက်တွင်သက်တမ်းကုန်ဆုံးသည်။
 - a) The agreement will come into immediate effect and expire on the date of the Contractor's written notification that the project has been finalized (see IV), or on whichever comes earlier.

၃. ငွေပေးချေမှုများ

Payments

- (က) ဤသဘောတူညီချက်ပါစည်းကမ်းများနှင့်အညီကန်ထရိုက်တာကဆောင်ရွက်သောလုပ်ငန်းများ အပေါ် သုံးသပ်၍ ဤသဘောတူညီချက်ကို လက်မှတ်ရေးထိုးပြီးသည့်အခါ၊ ယူအင်စီအိပ်ချ်အက်စ် မြို့နယ်အထောက်အကူပြုရုံးမှတစ်ဆင့် လုပ်ငန်းဆောင်ရွက်ပေးသူတို့အောက်တွင် ဖော်ပြထားသည့်

အရက်ကျငွေအတိုင်းစုစုပေါင်းငွေ ကျပ် အား ယူအင်စီအိပ်ချ်အက်စ်ကပေးချေမည်။

- a) As full consideration for the services performed by the Contractor under the terms of this agreement, UNCHS shall make available a total sum of Kyats to the subscriber on installment basis the amount of Kyats as described below through the township UNCHS support office upon signature of this agreement. All payments shall be in local currency and in cash/cheques.

အမှတ်စဉ် No.	ရာခိုင်နှုန်း Percentage	အရက်ကျ Installments	ကျပ်ငွေပမာဏ Amounts in Kyats
		ပထမအရက် First Installments	
		ဒုတိယအရက် Second Installments	
		တတိယအရက် Third Installments	
		နောက်ဆုံးအရက် Final Installments	
		စုစုပေါင်း Total	

၄. ထွေထွေစည်းကမ်းချက်များ

General Provisions

(က) ကန်ထရိုက်တာသည် ဤသဘောတူညီချက်ပါလုပ်ငန်းအားလုံးအားပူးတွဲပါညွှန်ကြားချက်များ၊ ဒီဇိုင်းများ၊ အချိန်သတ်မှတ်ချက်များနှင့်အညီ အားထုတ်ကြိုးပမ်း၍ ထိရောက်စွာ အကောင်အထည် ဖော်ရမည်။

- a) The Contractor shall carry out all services under this agreement with due diligence and efficiency as per the attached instructions, designs, time schedules.

(ခ) ကန်ထရိုက်တာသည် ယူအင်စီအိပ်ချ်အက်စ်၏ အကျိုးစီးပွားများကို မထိခိုက်စေရန်အတွက် ကာကွယ်ရန် အမြဲဆောင်ရွက်ရမည်။ ထို့ပြင် အသုံးစရိတ်များကို အတတ်နိုင်ဆုံး ခြိမ်းခြံ ချွေတာသုံးစွဲရန်သင့်လျော်သော အစီအစဉ်များထားရှိဆောင်ရွက်ရမည်။

- b) The Contractor shall act at all times so as to protect and not be in conflict with the interests of the UNCHS and will take all reasonable steps to keep all expenses to a minimum.

(ဂ) ဤသဘောတူညီချက်၏ ရည်ရွယ်ချက်များအရ လိုအပ်သော သို့မဟုတ် လိုအပ်နိုင်သော အသက်အာမခံ၊ ကျန်းမာမှုအာမခံ၊ ထိခိုက်မှုအာမခံ၊ ခရီးသွားအာမခံ သို့မဟုတ် အခြားအာမခံများ နှင့်စပ်လျဉ်း၍ဖြစ်စေ ဤသဘောတူညီချက်အရ ဝန်ထမ်းလုပ်ငန်းဆောင်ရွက်ပေးမှုများနှင့် စပ်လျဉ်းဖြစ်စေ၊ ယူအင်စီအိပ်ချ်အက်စ်တွင်မည်သည့်တာဝန်မျှမရှိစေရ။

c) The UNCHS undertakes no responsibilities in respect of life, health, accident, travel or any other insurance coverage, which may be necessary or desirable for the purpose of this agreement or for personnel performing services under this agreement.

(ဃ) ကန်ထရိုက်တာ၏ အခွင့်အရေးများနှင့် တာဝန်များသည် ဤသဘောတူညီချက်စာချုပ်ပါ သတ်မှတ်ချက်များနှင့် စည်းကမ်းချက်များအရကန်ထရိုက်တာသည် အတိုင်းဖြစ်စေရမည်။ ထိုနည်းတူဤသဘောတူညီချက်တွင် အတိအလင်းဖော်ပြထားသည်မှလွဲ၍ ကန်ထရိုက်တာနှင့် ယင်း၏ ကိုယ်စားလှုပ်ငန်းဆောင်ရွက်သူအရပ်ရပ်သည် မည်သည့်အကျိုးအမြတ်ငွေကြေး၊ လျော်ကြေး သို့မဟုတ် ခံစားခွင့် တစ်စုံတရာမျှ ရပိုင်ခွင့် မရှိစေရ။

d) The rights and obligations of the Contractor are limited to the terms and conditions of this agreement Accordingly, the Contractor and personnel performing services on its behalf shall not be entitled to any benefit, payment, compensation or entitlement or entitlement expect as expressly provided in this agreement.

(င) ဤသဘောတူညီချက်ကိုအကောင်အထည်ဖော်ဆောင်ရွက်ရာတွင် ကန်ထရိုက်တာ၏ ပေါ့လျော့ စွာပြုလုပ်မှုများ သို့မဟုတ်ပျက်ကွက်မှုများကြောင့် အခြားသူတစ်ဦးတစ်ယောက်က တောင်းဆိုသော တောင်းဆိုမှုများအတွက် ကန်ထရိုက်တာတွင် သာလုံးဝတာဝန် ရှိ စေရမည်။ မည်သည့်အကြောင်းကြောင့်နှင့်မျှ ယင်းအခြားသူတစ်ဦးတစ်ယောက်၏ တောင်းဆိုမှုများအတွက် ယူအင်စီအိပ်ချ်အက်စ်တွင်တာဝန်မရှိစေရ။

e) The Contractor shall be solely liable for claims by third parties arising from the Contractor's negligent acts or omissions in the course of performing this agreement and under no circumstances shall UNCHS be held liable for such claims by third parties.

(စ) ယူအင်စီအိပ်ချ်အက်စ်ကထောက်ပံ့သောရန်ပုံငွေဖြင့် ကန်ထရိုက်တာကဝယ်ယူသော ပစ္စည်းကိရိယာများသည် ယူအင်စီအိပ်ချ်အက်စ်ပိုင် ပစ္စည်းများသာဖြစ်ရမည်ဖြစ်ပြီး၊ စီမံချက်ခွဲအဆိုပြုချက်တွင် ဖော်ပြထားသည့် ရည်ရွယ်ချက်များအတွက် သက်သက်သာအသုံးပြုရမည်။

f) Equipment purchased by the Contractor with funds supplied by the UNCHS shall be the property of UNCHS and shall be used solely for the purposes indicated in the sub-project proposal.

(ဆ) စီမံချက်လုပ်ငန်းများပြီးဆုံးသည့်တိုင်မသုံးစွဲရသေးသော ရန်ပုံငွေအားလုံးနှင့်ယင်းရန်ပုံငွေများအား ကန်ထရိုက်တာကလက်ခံရရှိထားစဉ်အတွင်းရရှိသည့် အတိုးငွေအရပ်ရပ်အားကန်ထရိုက်တာက ယူအင်စီအိပ်ချ်အက်စ် သို့ပြန်ပေးရမည် သို့မဟုတ် ယူအင်စီအိပ်ချ်အက်စ် နှင့်ညှိနှိုင်း၍ အခြားနည်းဆောင်ရွက်ပေးရမည်။

g) All funds which remains unutilized after completion of project activities shall be returned by the Contractor to UNCHS, including any interest earned on the funds while held by the Contractor, or be otherwise disposed of in consultation with UNCHS.

(င) ဤသဘောတူညီချက်အား အကောင်အထည်ဖော်၍ မပြီးဆုံးမီမည်သည့် စာချုပ်ဝင် မဆို အခြားစာချုပ်ဝင် သို့ စာရေးသားနို့တစ်ပေး၍ စာချုပ်ကို အဆုံးသတ်စေနိုင်သည်။ နို့တစ်ပေးကြိုတင်ပေးပို့ရမည့်ကာလမှာ (၁၄) ရက်ဖြစ်သည်။

h) This contract may be terminated by either party before completion of the agreement by giving notice in writing to the other party. The period of notice shall be fourteen days.

(ဈ) ဤသဘောတူညီချက်ပါမည်သည့် အချက်ကမ္ဘာ့သို့မဟုတ် ဤသဘောတူညီချက်နှင့် ဆက်စပ်သည့် မည်သည့် အချက်ကမ္ဘာ ယူအင်စီအိပ်ချ်အက်စ်၏ အခွင့်အရေးနှင့် ကင်းလွတ်ခွင့် တစ်စုံတစ်ရာကို စွန့်လွှတ်သည်ဟု မမှတ်ယူစေရ။

i) Nothing in or relating to this agreement shall be deemed a waiver of any privileges and immunities of the UNCHS.

(ည) ဤသဘောတူညီချက်အရပေါ်ပေါက်သော သို့မဟုတ် ဤသဘောတူညီချက်အရဖြစ်သော အငြင်းပွားမှု သို့မဟုတ် တောင်းဆိုမှုတစ်စုံတစ်ရာအား တိုက်ရိုက်ညှိနှိုင်းဆောင်ရွက်နိုင်ခဲ့ခြင်းမရှိလျှင် တည်ဆဲကမ္ဘာ့ကုလသမဂ္ဂအပြည်ပြည်ဆိုင်ရာကုန်သွယ်ရေးဥပဒေကော်မရှင်၏ အနုညာတနည်း ဥပဒေများနှင့် အညီဖြေရှင်းဆောင်ရွက်ရမည်။ ယင်းသို့ အနုညာတနည်းဖြင့် ရရှိသည့် ဆုံးဖြတ်ချက်အား ယင်းအငြင်းပွားမှု သို့မဟုတ် တောင်းဆိုမှုအပေါ် အပြီးသတ်ဆုံးဖြတ်ချက် အဖြစ် စာချုပ်ဝင်နှစ်ဦးနှစ်ဖက်က လက်ခံရမည်။

j) Any controversy or claim arising out of, or in accordance with this agreement or any breath thereof, shall unless it is settled by direct negotiation, be settled in accordance with the Arbitration Rules of the UN Commission on International Trade Law as at present in force. The parties shall be bound by any arbitration award rendered as a result of such arbitration as the final adjudication of any such controversy or claim.

၅. မှတ်တမ်းများ၊ သတင်းနှင့် အစီရင်ခံစာများ
Records, Information and Reports

(က) ကန်ထရိုက်တာသည် ဤသဘောတူညီချက် အရဆောင်ရွက်ရသည့် လုပ်ငန်းများနှင့် စပ်လျဉ်း၍ တိကျပြည့်စုံသော မှတ်တမ်းများ ထားရှိရမည်။

a) The Contractor shall maintain accurate and complete records in respect of the services to be performed under this agreement.

(ခ) ကန်ထရိုက်တာဆောင်ရွက်ရသော လုပ်ငန်းများနှင့် စပ်လျဉ်း၍ ယူအင်စီအိပ်ချ်အက်စ်က အကြောင်းယူတို့ တန်စွာ တောင်းဆိုသော စာနှင့် ဖြစ်စေ၊ နှုတ်အားဖြင့် ဖြစ်စေ ထားရှိသည့် မည်သည့် မှတ်တမ်း သို့မဟုတ် သတင်းအချက်အလက်ကိုမဆို၊ ကန်ထရိုက်တာက အချိန်မရွေး ပေးအပ်ခြင်း၊ စုဆောင်းပေးခြင်းနှင့် ရရှိအောင်ဆောင်ရွက်ပေးခြင်း ပြုရမည်။

b) The Contractor shall furnish, compile and make available at all times to the UNCHS any or information, oral or written which the UNCHS may reasonable request in respect of the services performed by the Contractor.

- (ဂ) ကန်ထရိုက်တာသည် စီမံချက်ပြီးစီးကြောင်းအားကျေးရွာရေရရှိရေးနှင့် သန့်ရှင်းရေး စီမံကိန်းမြို့နယ်တာဝန်ခံက ကမကထပြုသူ၊ စီမံကိန်းအကြံပေးအရာရှိချုပ် သို့မဟုတ် စီမံချက်အရာရှိချုပ်အားစာရေးသားအကြောင်းကြားရန်တာဝန်ယူသည်။
- c) The Contractor undertakes to inform the WATSAN Promoter, CTA or Officer in Charge of the project in writing of the completion of the project.

ကုလသမဂ္ဂဖွံ့ဖြိုးမှုအစီအစဉ်လူနေမှုဆိုင်ရာအဖွဲ့ / အမ်မီဒိုင်အေ / ၉၆ / ၀၀၂
 ကိုယ်စားသဘောတူညီချက်ကိုလက်မှတ်ရေးထိုးသူ

Agreed on behalf of United Nations Centre for Human Settlements / MYA / 96 / 002

အမည် _____ ကျေးရွာရေရရှိရေးနှင့်သန့်ရှင်းရေးစီမံကိန်းမြို့နယ်တာဝန်ခံ
 Name WATSAN Promoter

ကမကထပြုသူ

လက်မှတ်
 Signature

သဘောတူညီချက်ကိုလက်မှတ်ရေးထိုးသူကန်ထရိုက်တာ
 Agreed by Contractor:

- | | | | |
|----|-------------------|-------------------|----------------------|
| ၁. | အမည်.....
Name | ရာထူး
Position | လက်မှတ်
Signature |
| ၂. | အမည်.....
Name | ရာထူး
Position | လက်မှတ်
Signature |
| ၃. | အမည်.....
Name | ရာထူး
Position | လက်မှတ်
Signature |

သက်သေများ

Witness:

(လူမှုဖွံ့ဖြိုး(တိုးချဲ့)လုပ်ငန်းစီမံကိန်း၊ ကဏ္ဍဆိုင်ရာတာဝန်ခံများသည် သက်သေအဖြစ်
လက်မှတ်ရေးထိုးနိုင်သည်)

(Sector Specialists of HDI-E can be signatories for witness)

- | | | | |
|----|-------------------|------------------------|----------------------|
| ၁. | အမည်.....
Name | ရာထူး.....
Position | လက်မှတ်
Signature |
| ၂. | အမည်.....
Name | ရာထူး.....
Position | လက်မှတ်
Signature |
| ၃. | အမည်.....
Name | ရာထူး.....
Position | လက်မှတ်
Signature |

ANNEX 9: CWSS MAPS OF TOWNSHIPS VISITED



UNDP

HUMAN DEVELOPMENT INITIATIVE - EXTENSION COMMUNITY WATER SUPPLY & SANITATION NYAUNGSHWE

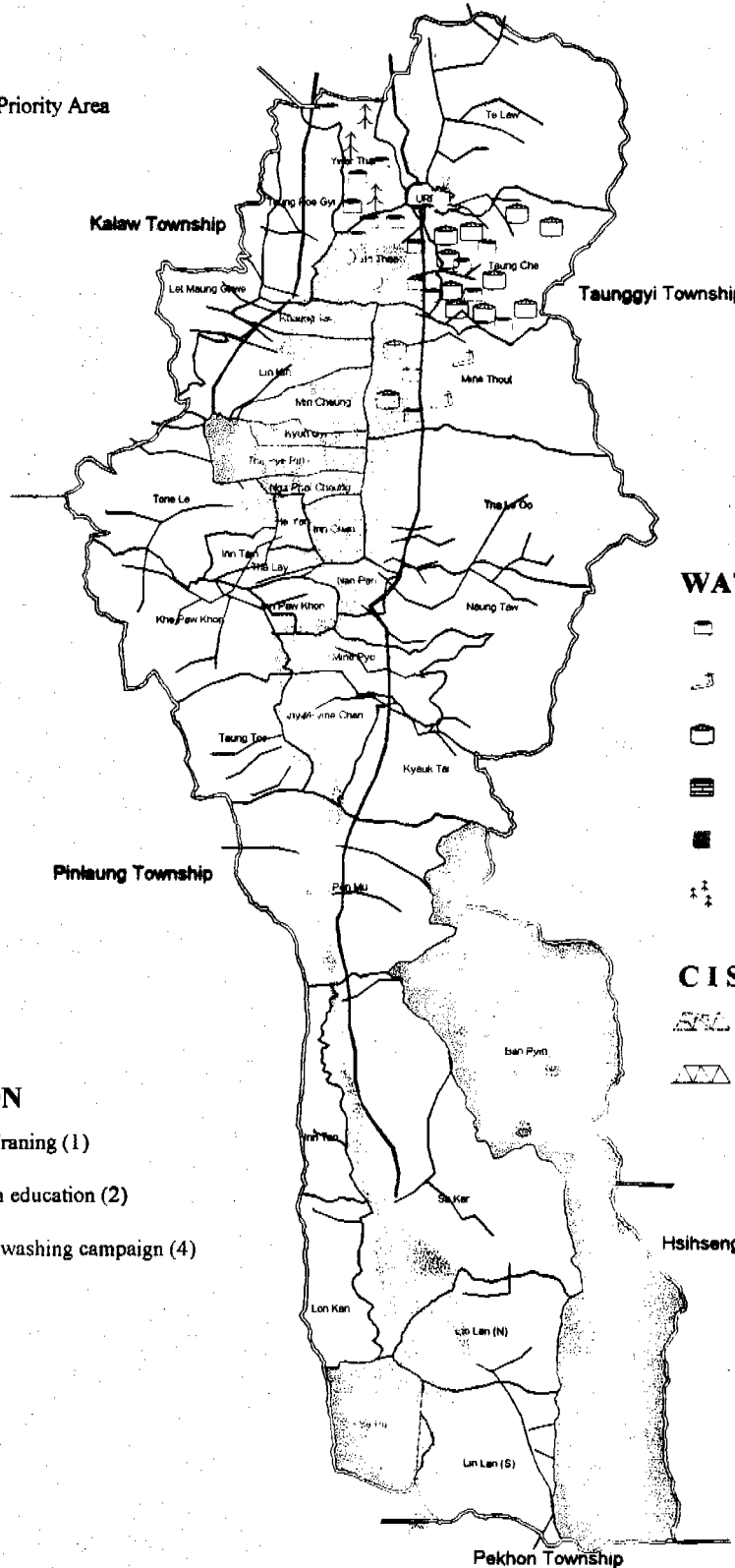
Map of TPE Prioritize Area and CWSSP activities



UNCHS (Habitat)



1st Priority Area



WATER SUPPLY

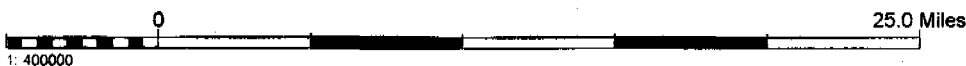
- New hand dug well (5)
- Pipe water supply gravity (15)
- Rain water collection tank (4)
- New ground tank (2)
- Renovation of village pond (3)
- Pipe water supply - extension (18)

CISF

- Small Bridge renovation (3)
- Small bridge construction

SANITATION

- IEC Training (1)
- Health education (2)
- Hand washing campaign (4)





UNDP

HUMAN DEVELOPMENT INITIATIVE - EXTENSION COMMUNITY WATER SUPPLY & SANITATION PINDAYA



UNCHS (Habitat)

Map of TPE Prioritize area and CWSSP activities



1st Priority Area

SANITATION

- ▲ Model Latrine (1)
- Formation of construction committees (12)

Ywangan Township

WATER SUPPLY

- ☐ New hand dug well (2)
- ⌋ Pipe water supply gravity (8)
- ☑ New ground tank (3)
- New village pond (1)
- ⌋ Pipe water supply pump (2)
- ☑ Renovation of ground tank (2)
- Renovation of hand dug well (10)
- ⌋ Renovation of mini dam (1)
- ☑ Renovation of village pond (14)
- Supply of hand pump (1)

Lawk Sawk Township

Kalaw Township

Tharzi Township



0
1: 200000

10 Miles

CISF



Small bridge construction (3)



Small bridge renovation (1)



UNDP

HUMAN DEVELOPMENT INITIATIVE - EXTENSION COMMUNITY WATER SUPPLY & SANITATION

YWANGAN

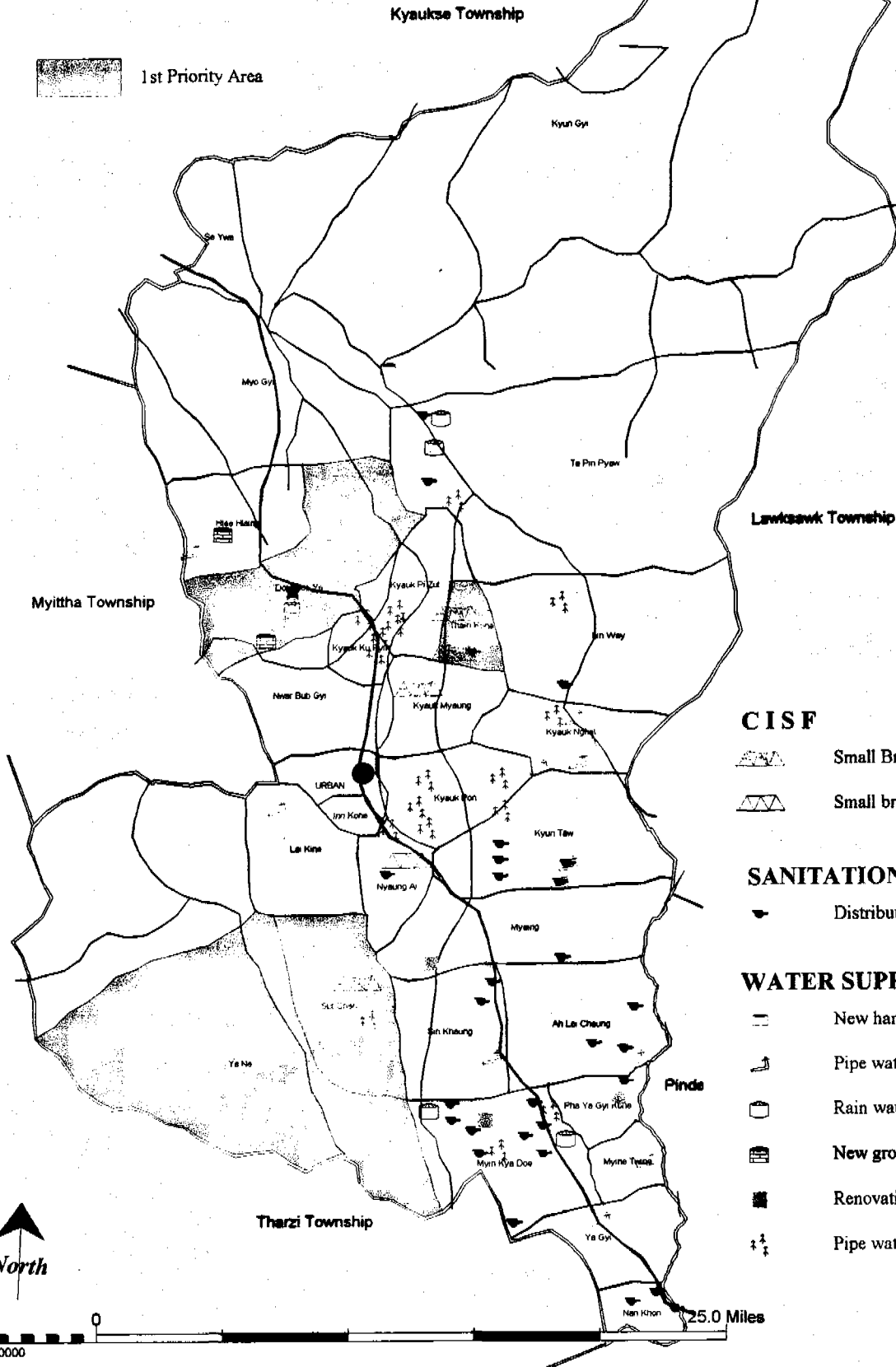
Map of TPE Prioritize area and CWSSP activities



UNCHS (Habitat)



1st Priority Area



CISF



Small Bridge renovation (3)



Small bridge construction

SANITATION



Distribution of san- pans (3000)

WATER SUPPLY



New hand dug well (5)



Pipe water supply gravity (15)



Rain water collection tank (4)



New ground tank (2)



Renovation of village pond (3)



Pipe water supply - extension (18)



North



1: 400000

MYA / 96 / 002 - MAP301-11-MDM

As of end of 97



UNDP

HUMAN DEVELOPMENT INITIATIVE - EXTENSION COMMUNITY WATER SUPPLY & SANITATION KYAUKPADAUNG

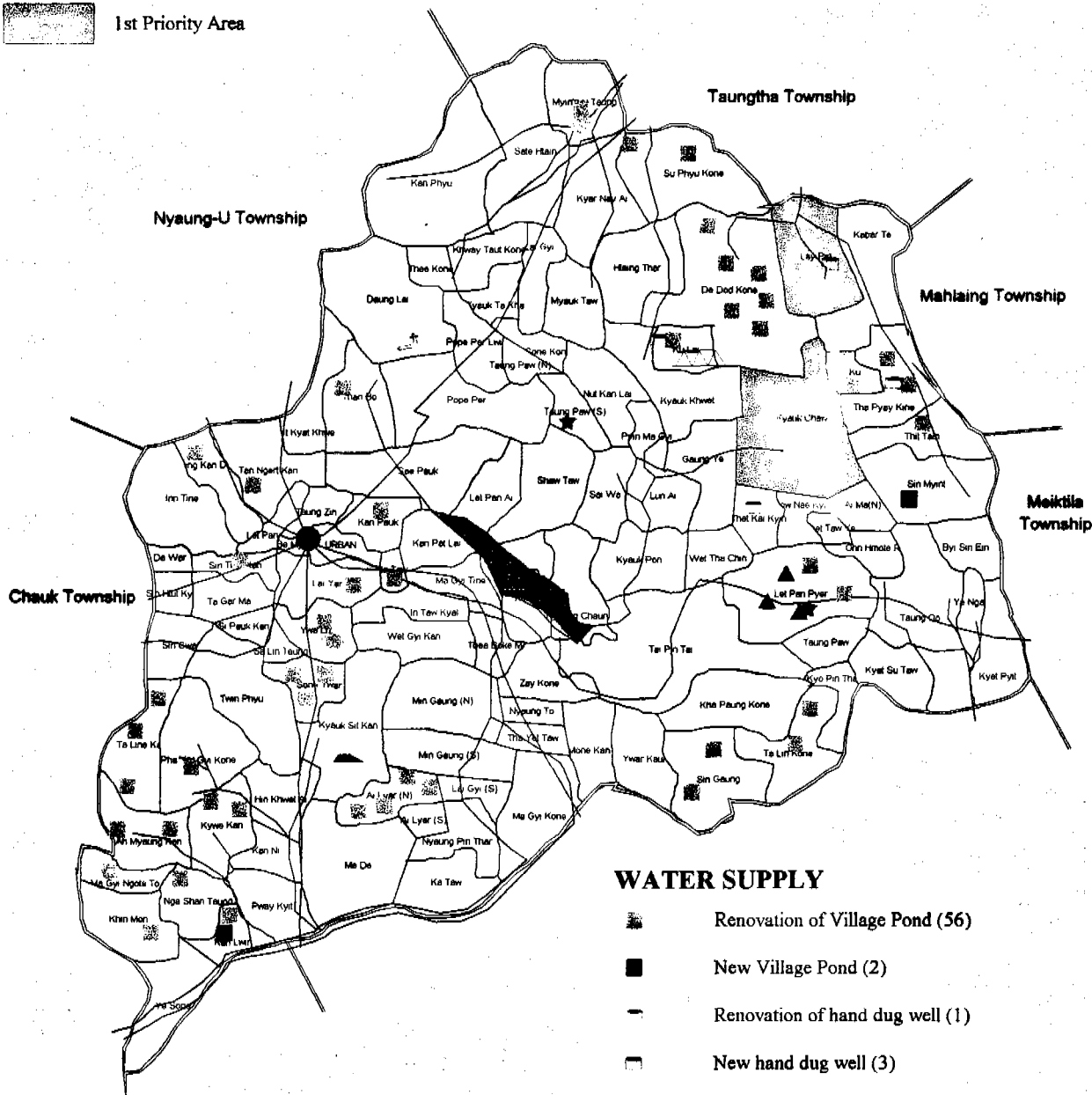
Map of TPE Prioritize area and CWSSP activities



UNCHS (Habitat)



1st Priority Area



WATER SUPPLY

- Renovation of Village Pond (56)
- New Village Pond (2)
- Renovation of hand dug well (1)
- New hand dug well (3)
- Renovation of Sub-surface dam (1)

SANITATION

- School Latrine (3)
- PIES (2)

CISF

- Foot Bridges (1)
- Community Electricity Supply (1)
- Disaster Rehabilitation (1)



North



1: 400000

MYA / 96 / 002 - MAP101-11-MMM

As of end of 97



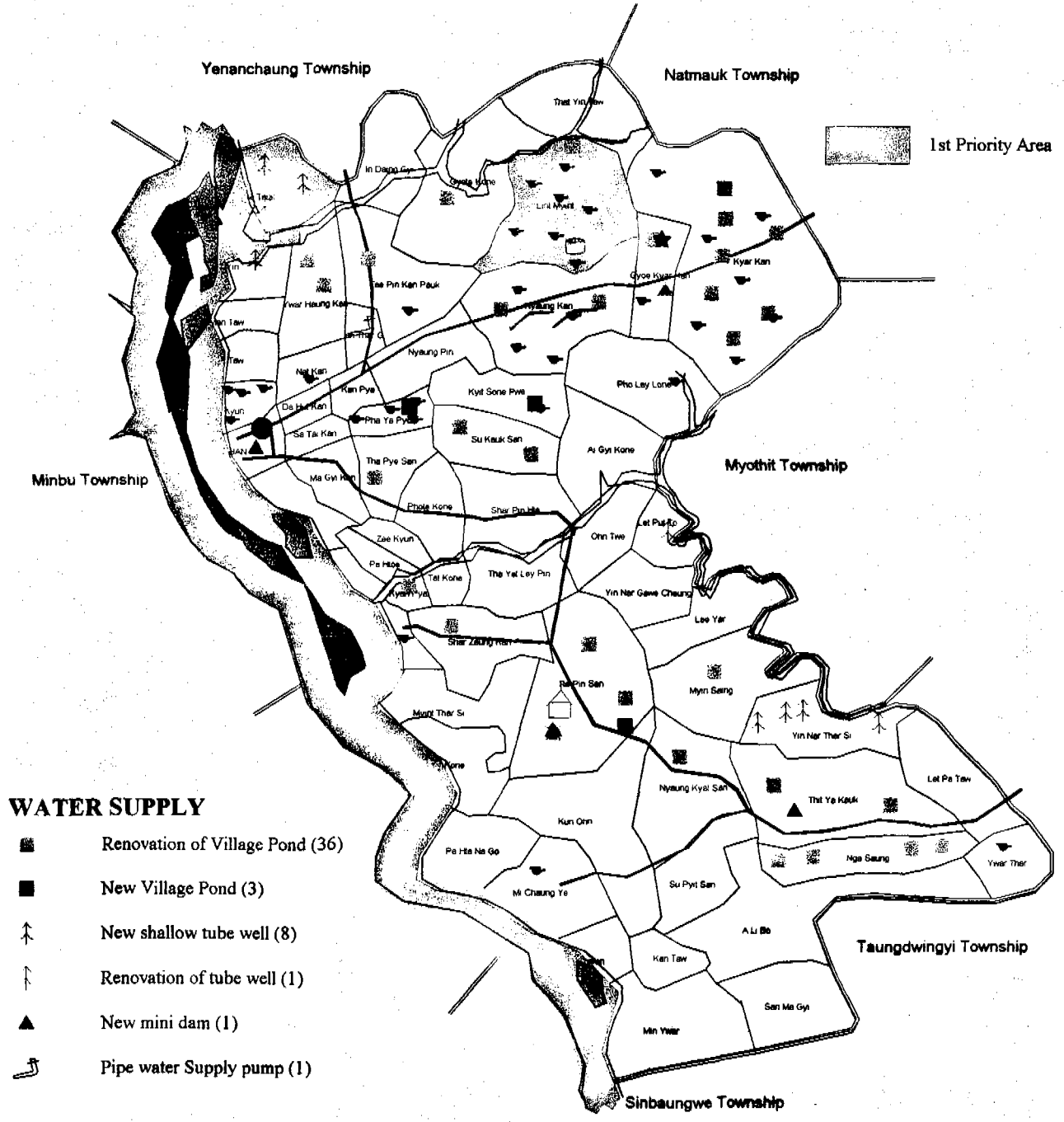
UNDP

HUMAN DEVELOPMENT INITIATIVE - EXTENSION COMMUNITY WATER SUPPLY & SANITATION MAGWAY

Map of TPE Prioritize area and CWSSP activities



UNCHS (Habitat)



WATER SUPPLY

- Renovation of Village Pond (36)
- New Village Pond (3)
- New shallow tube well (8)
- Renovation of tube well (1)
- New mini dam (1)
- Pipe water Supply pump (1)

SANITATION

- Model Latrine (3)
- Distribution of plastic pans (4960)

CISF

- Feeder road renovation (2)
- Self-help School building extension (1)



25.0 Miles

1: 400000

MYA / 96 / 002 - MAP102-11-MMM

As of end of 97



UNDP




HUMAN DEVELOPMENT INITIATIVE - EXTENSION COMMUNITY WATER SUPPLY & SANITATION BOGALAY






UNCHS (Habitat)

Activities of CWSS I and II - As of end 1997


WATER SUPPLY

-  Stilling Well (7)
-  Renovation of Village Pond (19)
-  New Village Pond (7)


SANITATION

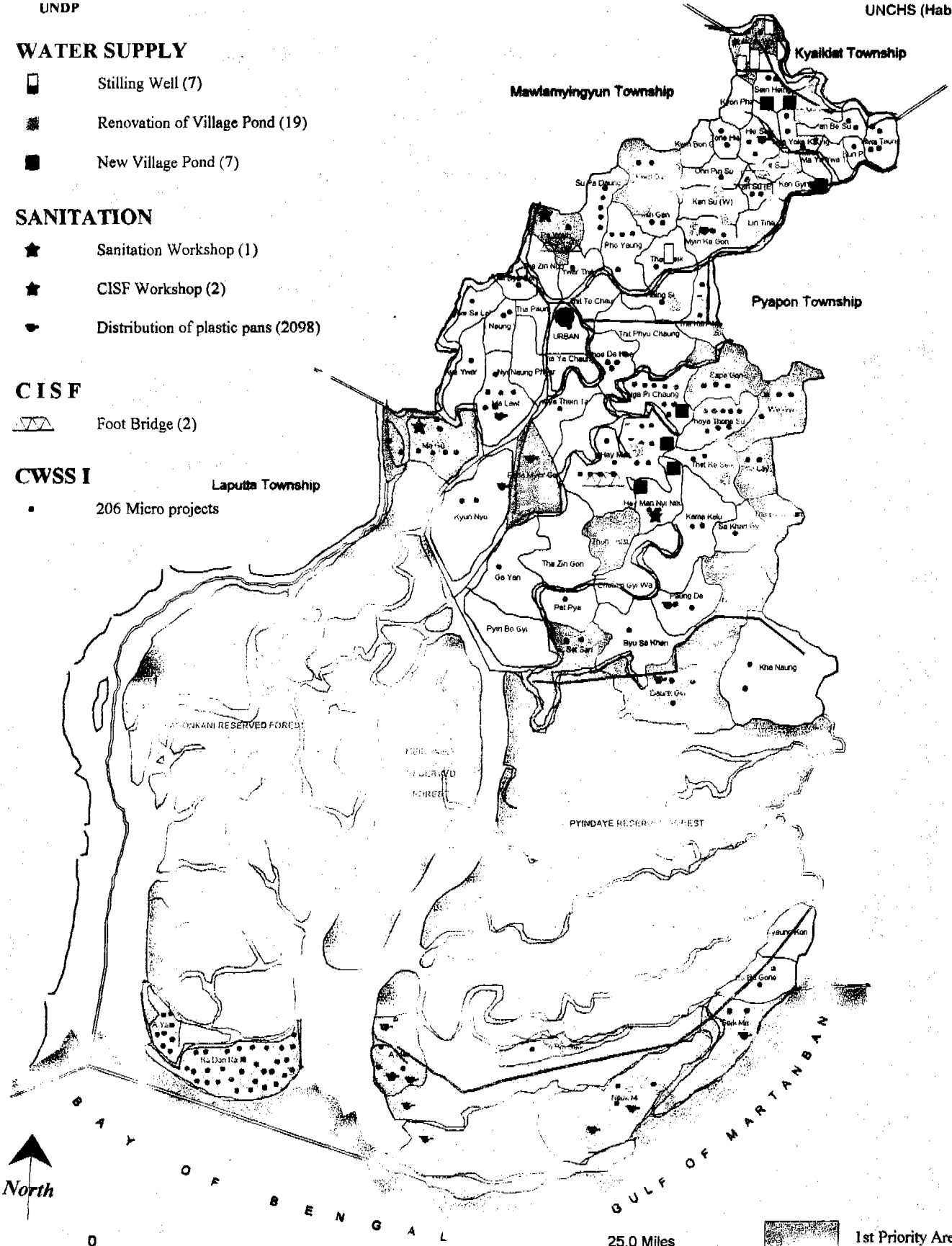
-  Sanitation Workshop (1)
-  CISF Workshop (2)
-  Distribution of plastic pans (2098)

CISF

-  Foot Bridge (2)

CWSS I

-  206 Micro projects



1: 400000

MYA / 96 / 002 - MAP202-11-MMM

1st Priority Area



UNDP

HUMAN DEVELOPMENT INITIATIVE - EXTENSION COMMUNITY WATER SUPPLY & SANITATION MAWLAMYAINGGYUN

Map of TPE Prioritize area and CWSSP activities



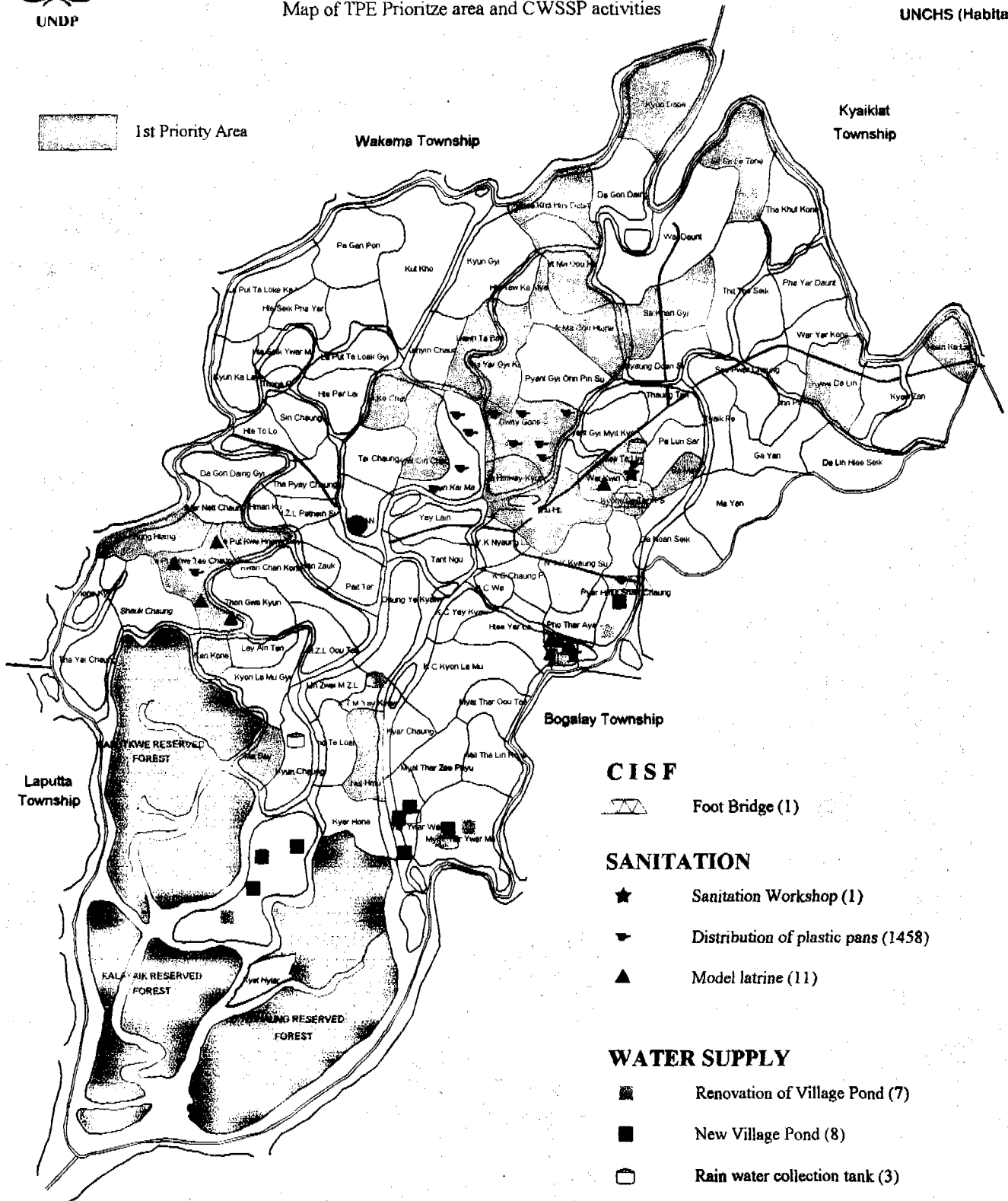
UNCHS (Habitat)



1st Priority Area

Wakema Township

Kyaiklat Township



Laputta Township

Bogalay Township

CISF



Foot Bridge (1)

SANITATION



Sanitation Workshop (1)



Distribution of plastic pans (1458)



Model latrine (11)

WATER SUPPLY



Renovation of Village Pond (7)



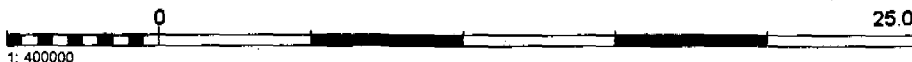
New Village Pond (8)



Rain water collection tank (3)



Rain water collection tank (Renovate) (1)




1:400000

25.0 Miles



With the Compliments
of
UNCHS (Habitat) Fukuoka Office

A handwritten signature in black ink, appearing to be 'Jan Meeuwissen', written over a rectangular stamp. The stamp contains the text '21 05 84 254'.

21 05 84 254

DM

Jan Meeuwissen

United Nations Centre for Human Settlements (Habitat)