



COMMUNITY WATER
AND SANITATION AGENCY
(CWSA)

THE HEAD OFFICE

COMMUNITY WATER AND SANITATION AGENCY
PRIVATE MAIL BAG
KOTOKA INTERNATIONAL AIRPORT - ACCRA

TEL: 0302 - 518401/518404/983104
FAX : 0302 - 518402/518405 E-MAIL: info@cwsagh.org WEBSITE : www.cwsagh.org

LOCATION: off the Legon-Tetteh Quarshie Road
About 1km drive along the Standards Board-Gulf House Road
Adjacent to the Dept. of Rural Housing
Okponglo.

19.12.2001

DISTRICT OPERATIONAL MANUAL



**MINISTRY OF WATER RESOURCES,
WORKS AND HOUSING**



REPUBLIC OF GHANA

NATIONAL ADDRESS & LOCATION OF CWSA HEAD OFFICE

THE CHIEF EXECUTIVE
COMMUNITY WATER AND SANITATION AGENCY
PRIVATE MAIL BAG
KOTOKA INTERNATIONAL AIRPORT - ACCRA

TEL: 0302 - 518401/518404/983104
FAX : 0302 – 518402/518405
E-MAIL: info@cwsagh.org
WEBSITE : www.cwsagh.org

LOCATION: off the Legon-Tetteh Quarshie Road
About 1km drive along the Standards Board-Gulf House Road
Adjacent to the Dept. of Rural Housing
Okponglo.

ADDRESSES & LOCATION OF CWSA REGIONAL OFFICES

<p>ASHANTI REGION THE REGIONAL DIRECTOR COMMUNITY WATER AND SANITATION AGENCY P.O. BOX KS 9167 KUMASI-A/R TEL:03220-27244/21424 FAX:03220-27245 E-MAIL: cwsa_ash@cwsagh.org/cwsaksi@4u.com.gh <u>LOCATION:</u> BEHIND GWCL REGIONAL OFFICE, KUMASI</p>	<p>BRONG AHAFO REGION THE REGIONAL DIRECTOR COMMUNITY WATER AND SANITATION AGENCY P.O. BOX 1431 SUNYANI-BAR TEL: 03520 - 27342/26462 FAX: 03520 - 23539 E-MAIL: cwsabar@cwsagh.org <u>LOCATION:</u> BEHIND TYCO OIL STATION</p>
<p>UPPER EAST REGION THE REGIONAL DIRECTOR COMMUNITY WATER AND SANITATION AGENCY P.O. BOX 413 BOLGATANGA-UER TEL: 03820 - 22261/23161/22146/22712 FAX: 03820 - 22261 E-MAIL: cwsabolga@cwsagh.org/ cwsaue@4u.com.gh <u>LOCATION:</u> WITHIN GWCL REGIONAL YARD, BOLGA</p>	<p>NORTHERN REGION THE REGIONAL DIRECTOR COMMUNITY WATER AND SANITATION AGENCY P.O. BOX 810 TAMALE – N/R TEL: 03720 - 22767 / 22677 FAX: 03720 - 22677 E-MAIL: cwsanr@yahoo.com./cwsanr@cwsagh.org <u>LOCATION:</u> OFF BOLGA. ROAD IN MINISTRY OF AGRIC AREA, TAMALE</p>
<p>CENTRAL REGION THE REGIONAL DIRECTOR COMMUNITY WATER AND SANITATION AGENCY P.O. BOX 1315 CAPE COAST- C/R TEL: 03321 - 32231/33895 FAX: 03321 - 33134 E-MAIL: crcwsa@yahoo.com / cwsacr@cwsagh.org <u>LOCATION:</u> NEAR NATIONAL COLLEGE, CAPE COAST</p>	<p>EASTERN REGION THE REGIONAL DIRECTOR COMMUNITY WATER AND SANITATION AGENCY P.O. BOX KF 1617 KOFORIDUA TEL: 03420 - 22515/25281/23016 FAX: 03420 - 23107 E-MAIL: cwsaer@4u.com.gh / cwsaer@cwsagh.org <u>LOCATION:</u> ON THE KOFORIDUA-SUHUN ROAD</p>
<p>UPPER WEST REGION THE REGIONAL DIRECTOR COMMUNITY WATER AND SANITATION AGENCY P.O. BOX 499 WA-UWR TEL: 03920 - 22153/22352 FAX: 03920 - 22351 E-MAIL: cwsauw@yahoo.com/ cwsauw@cwsagh.org <u>LOCATION:</u> WITHIN GWCL REGIONAL OFFICE YARD, WA</p>	<p>VOLTA REGION THE REGIONAL DIRECTOR COMMUNITY WATER AND SANITATION AGENCY P.O. BOX 508 HO – V/R TEL: 03620 - 28186 / 28189/26075 FAX: 03620 – 28266/26075 E-MAIL: vrcwsa@yahoo.com/vrcwsa@4u.co m.gh/vrcwsa@cwsagh.org <u>LOCATION:</u> WITHIN GWCL REGIONAL OFFICE YARD, HO</p>
<p>GREATER ACCRA REGION THE REGIONAL DIRECTOR COMMUNITY WATER AND SANITATION AGENCY P.O. BOX AT 1184 ACHIMOTA-ACCRA TEL: 0302 - 518718/518753 FAX: 0302 - 518719 E-MAIL: cwsagar@cwsagh.org <u>LOCATION:</u> ON THE SAME PREMISES WITH THE HEAD OFFICE</p>	<p>WESTERN REGION THE REGIONAL DIRECTOR COMMUNITY WATER AND SANITATION AGENCY P.O. BOX 255 TAKORADI-WR TEL: 034-27359/27360 FAX: 031- 23932 E-MAIL: cwsawr@ighmail.com <u>LOCATION:</u> WITHIN GWCL REGIONAL OFFICE YARD, TAKORADI</p>



**Community Water and Sanitation
Agency (CWSA)**

NATIONAL COMMUNITY WATER AND SANITATION PROGRAMME

DISTRICT OPERATIONAL MANUAL

VOLUME 1

March 2014

Contents

Acknowledgments	i
Introduction	ii
Background: District Operational Manual	ii
Acronyms	iv
CHAPTER 1 NATIONAL COMMUNITY WATER AND SANITATION PROGRAMME	1
1.1 Goal and objectives of the NCWSP	1
1.2 NCWSP strategy and principles	2
1.3 Participation in NCWSP	3
1.4 Key stakeholders	3
CHAPTER 2: COORDINATION OF WASH SERVICES DELIVERY AT THE DISTRICT	7
2.1 District Works Department	7
2.2 Health Department	7
2.3 Social Welfare and Community Development Department	8
2.4 Education, Youth and Sports Department	8
2.5 District Planning Coordinating Unit	9
2.6 Finance Department	9
2.7 Budget and Rating Department	9
2.8 Gender, Children and Social Protection Department	9
2.9 Internal Auditor Agency	10
CHAPTER 3: SERVICE DELIVERY CYCLE	11
3.1 Promotion phase	12
3.2 Application phase	13
3.3 Pre-selection phase	14
3.4 District investment approval phase	14
3.5 Community / town mobilisation and participatory planning phase	15
3.5 Appraisal phase	17
3.7 Tendering and contracting phase	18
3.8 Construction, supervision and community development phase	19
3.9 Handing over phase	21
3.10 Post-construction support phase	21
3.11 Monitoring and evaluation phase	24

7.2.2 Database management

Designated and trained personnel (i.e., Database Administrator) at the DA level is responsible for managing the DA database. It is the Database Administrator's responsibility to assign user rights that permit users to enter data and run periodic reports from DiMES to inform DA authorities on a district's progress.

7.3 Uses/ benefits of the DIMES

Data processed through the DiMES provides information useful for:

- District-level planning (e.g., districts have reliable data and therefore can adequately for plan their own investments).
- Formulating proposals for new WASH projects to improve/increase service levels.
- Selecting beneficiary communities for new WASH investments.
- Allocating resources equitably.
- Facilitating easy and timely access to reliable data/information.
- Executing responsibilities for asset management.

Data generated by DiMES serves as the reference point for all district-level WASH interventions, including those projects managed by NGOs and other organisations working in the district.

CHAPTER 7: DISTRICT DATA MANAGEMENT

District-level data management, which includes data capture, processing, storage and analysis, provides significant data that informs decision making and reporting on WASH services delivery. CWSA's District Monitoring and Evaluation System (DiMES) is used for data management at district level. For effective planning, DAs ensure that DiMES captures all WASH services delivery activities funded from both government and non-governmental sources. This chapter explains the functioning of DiMES.

7.1 District Monitoring and Evaluation System

DiMES is a database and monitoring tool that responds to the monitoring and evaluation (M&E) requirements of WASH facilities, which general and periodic surveys fail to address sufficiently. A strategic investment planning model is incorporated in DiMES' functionality to facilitate equitable development. DiMES also provides the means for managing facilities sustainably. Data gathered during the M&E phase of the Service Delivery Cycle is fed into the DiMES to provide a holistic approach to sustainable WASH services delivery at the district level.

7.2 Implementing DiMES at district level

7.2.1 Data collection and validation

Data collection is the process of preparing and gathering data on WASH services, and other related activities, to obtain information in support of decision making and tracking performance, and information sharing. The data collection tool consists of well-designed questionnaires, and makes use of innovative technologies, like mobile phones, to collect primary data required for the DiMES.

The DiMES gathers and compiles four data categories. These are:

1. **Community data:** names, location, population, etc.
2. **Facility data:** facility type, facility ID, location, and other technical characteristics (e.g., depth and static water level, etc.)
3. **Monitoring of Operations and Maintenance (MOM):** daily recordings of revenue and expenditure, records on spare parts, performance of facilities and WSMTs, etc.
4. **Project data:** project description, committed funding, number of facilities to be provided, duration, tracking project performance: planned activities vs. actual achievement, etc.

The DA identifies and assigns responsible personnel at district/sub-district level to receive training on the DiMES and related data capturing tools or standard forms. All primary data is controlled and emanates from district or sub-district level (any other data source may result in erroneous information). To ensure the validity of data collected and the credibility of information generated by DiMES, the following procedure is used in entering data:

- Data collected from the field is subjected to a rigorous validation process by a designated DA personnel before it is entered into the database.
- All district-level data is aggregated and forwarded to the regional DiMES database at the CWSA Regional Office for onward submission to the CWSA Head Office.

²⁶ Discussed in chapter 3.

²⁷ Data capturing tools or standard forms are included as Annex XI.

CHAPTER 4: COMPONENTS OF WATER, SANITATION AND HYGIENE DELIVERY	24
4.1 Community Ownership and Management	26
4.2 Water provision	26
4.3 Hygiene education and sanitation delivery	28
4.4 Gender mainstreaming	33
4.5 Water quality testing and monitoring	33
4.6 Operations and maintenance	34
4.7 Climate change adaptation	36
4.8 Regulation of the sub-sector	36
CHAPTER 5: PLANNING, PROCUREMENT, FINANCIAL ADMINISTRATION AND AUDIT	37
5.1 Planning process	37
5.2 Procurement	38
5.3 Financial administration	39
5.4 Auditing	41
CHAPTER 6: INFRASTRUCTURE ASSET MANAGEMENT	42
6.1 Foundation for developing and/or improving asset management	42
6.2 Managing community assets	43
CHAPTER 7: DISTRICT DATA MANAGEMENT	47
7.1 District Monitoring and Evaluation System	47
7.2 Implementing DiMES at district level	47
7.3 Uses/ benefits of the DIMES	48

Tables

Table 1: Responsibility for minor and major maintenance	35
Table 2: Responsibility for procurement	39
Table 3: Assessment of asset condition	44

Figures

Figure 1 Service Delivery Cycle	11
Figure 2: The Sanitation Ladder	30
Figure 3: WASH planning process at national and district levels	37
Figure 4: Lifecycle costs components	40
Figure 5: Seven steps in the management of community assets	43

Acknowledgments

The Community Water and Sanitation Agency (CWSA) is grateful to IRC for supporting in the development of Ghana's District Operational Manual, within the framework of IRC's Triple-S project.

The District Operational Manual serves as a reference document for the District Assemblies' management and implementation of sustainable water, sanitation and hygiene services delivery in rural communities and small towns, under the National Community Water and Sanitation Programme.

CWSA is grateful to all staff in CWSA Regional Offices, pilot districts and members of the DOM working group:

1. R. K. D. Van-Ess – Consultant
2. Emmanuel Gaze – Director, Technical Services, CWSA
3. Wigbert Dogoli – Regional Director, Volta Region, CWSA
4. Philip Amanor – Regional Director, Central Region, CWSA
5. E. F. Boateng – Regional Director, Brong Ahafo Region
6. Benedict Kubabom – Director, Planning and Investment, CWSA
7. Charlotte Engmann – Director, Water and Sanitation Engineer, CWSA
8. Vida Affum Duti – Country Director, IRC Ghana
9. Theodora Adomako-Adjei – Extension Services Coordinator, CWSA
10. Esinu Ama Abbey – IT Coordinator, CWSA
11. Veronica Ayi-Bonte – National Learning Facilitator, IRC, Ghana

for their valuable input, support and feedback throughout the process of the DOM preparation.

in association with
IRC

- Where maintenance is carried out by community / town members or a private contractor, the DA shall support on the following:
 - Developing and agreeing upon maintenance needs and standards.
 - Calling for public tenders and awarding of contract in accordance with the Public Procurement Act, 2003 (Act 663).
 - Supervise maintenance to ensure that work is carried out to the maintenance specifications and schedule.
- 3. Learning from experience**
- Continually review the quality and impact of asset being maintained.
 - Use information gained from assessing the impact of the maintenance effort to develop budgets for future years.

Step 7: Decide on assets that have no use

The DA assesses and decides on the renewal or replacement of a community asset that has deteriorated or is no longer in use. The following are taken into consideration:

- Continuing cost.
- Resource availability.
- Community interest.

Funds from the sale of the asset are used to partially finance the maintenance of existing assets or the acquisition of a new asset. A brief report explaining the reasons behind the DA's decision for renewal or replacement is prepared.

2. Factors that affect the value of an asset are:
 - Cost paid for the asset (new or second hand).
 - Expected useful life span of the asset.
 - Age of the existing asset.
3. The above factors (useful life span and value of asset) contribute to asset depreciation. To obtain depreciation value, assume that asset is used in equal parts for each year of its useful life. This is called the straight line depreciation. Asset depreciation is calculated by dividing the cost of the asset-residual value (which is the expected selling price of an asset at the end of its useful life) by the number of time periods.

Step 4: Create a maintenance plan for each asset

Planning for maintenance is a key function of the DA as legal owner of assets. Setting in place regular and timely maintenance schedules are crucial in minimising costs and prolonging the design life of assets to provide service to the expected standards.

1. Employ the skills and judgment of a wide range of individuals to develop maintenance plans. These may include engineers, technicians, finance staff, service delivery managers, community leaders, etc.
2. The scope of the maintenance plan shall cover every asset. Start with a plan for each year and cover at least five years into the future. Review the plan annually.
3. A maintenance plan includes the following basic information that tracks and/or compiles:
 - Manufacturer's recommended maintenance schedule.
 - Warranty guarantee, warranty conditions and dates, if they exist.
 - Maintenance performed during the life span of an asset: type and date of maintenance, and any other information.
 - Environmental conditions under which the asset is operated.

Step 5: Budget for each asset

Budgeting for each asset entails allocating resources to all three expense items, i.e., operating costs, maintenance costs, and depreciation. To calculate or estimate the costs for each expense item per asset, undertake the following:

1. Predict, where possible, the likely operating and maintenance costs of an asset for the next three years.
2. Obtain costs for asset renewal or replacement. Calculate asset renewal based on:
 - Age of the asset (i.e., that is, calculating from the time it became operational).
 - Expected useful life span.
 - Its current condition.
3. Plan for infrastructure replacement over a minimum of a five-year time frame, and renew plan each year.

Step 6: Implement asset maintenance plan

Implementing asset maintenance plans involves obtaining funds, using suitable methods in carrying out maintenance, and taking stock of lessons from experience to inform future plans. The steps include:

1. **Budget approval**
 - Seek approval.
 - Allocate funds to the highest priorities.
2. **Maintenance**
 - Schedule work.

Introduction

This District Operational Manual (DOM) serves as the reference document for District Assemblies' implementation of sustainable water, sanitation and hygiene services delivery to rural communities and small towns, under Ghana's National Community Water and Sanitation Programme (NCWSP) using public funds and funds received by District Assemblies from non-governmental organisations, private institutions or churches.

This DOM has been produced as a follow up to the Project Implementation Manual. It reflects lessons from the management and implementation of the NCWSP, and key stakeholder feedback received at national, regional, district and community levels.

The DOM consists of two volumes. Volume One (this document) and Volume Two, which compiles all supporting annexes (e.g., standards, guidelines, frameworks and templates for WASH services delivery).

Volume One contains the following chapters:

- Chapter 1: National Community Water and Sanitation Programme
- Chapter 2: Coordination of WASH services delivery at the districts
- Chapter 3: Service Delivery Cycle
- Chapter 4: Components of water, sanitation and hygiene delivery
- Chapter 5: Planning, procurement, financial management and audit
- Chapter 6: Infrastructure asset management
- Chapter 7: District data management

To ensure its timeliness and relevance, this reference document will constantly be reviewed and updated as lessons are learnt over time and/or as new issues arise.

Background: District Operational Manual

The Local Government Act, 1993 (Act 462) gives District Assemblies (DAs) the overall responsibility for the socio-economic development of their respective areas of jurisdiction, this includes the provision of water, sanitation and hygiene (WASH) services. Through the Local Government Service Legislative Instrument, policy implementation initially in the remit of Ministries, Departments and Agencies (MDAs) at national level, are devolved to the local authority level, with the establishment of requisite departments at district level. In each district, a District Works Departments (DWD) is responsible for the delivery of WASH services, in collaboration with other decentralised departments.

The Community Water and Sanitation Agency (CWSA), by its Act of establishment, is mandated to facilitate the provision of safe water and related sanitation services to rural communities and small towns. A key function of CWSA is to provide technical assistance to the DAs implementation of water and sanitation projects. CWSA Regulations, 2011 (LI 2007) defines facilitation as "carrying out reasonable acts essential to expedite the implementation of water and sanitation activities, including the regulation of the community water and sanitation sub-sector".

¹ Public funds refer to consolidated funds accrued by the DA from the following sources: project grants and loans, District Assembly Common Fund (DACF), District Development Facility (DDF) and Internally Generated Fund (IGF).

² For funding coursed to the District Assembly, a Memorandum of Understanding is signed with the project funder/ financier detailing procurement procedures and financial management in accordance with the funder/ financier's requirements.

³ Local Government (Departments of District Assemblies) (Commencement) Instrument, 2009 (L.I. 1961).

The NCWSP is the national blueprint for the delivery of WASH services to rural communities and small towns facilitated by CWSA. The NCWSP is implemented through DAs, with funding from the Government of Ghana and development partners (DPs). It was launched in 1994 when less than 30% of the rural population had access to safe water, and a lesser percentage with access to improved sanitation. The Programme had an initial target to increase coverage of safe water, sanitation and hygiene (WASH) services to 85% by 2015.

The current national targets for increased access to safe water and sanitation services are 76% and 54% respectively by 2015; the attainment of 100% coverage is envisaged for 2025 for water and sanitation services.

- Purchase or construction date.
- Purchase or construction cost.
- Who supplied the asset? (i.e., source)
- Where is the asset? (i.e., location)
- The person responsible for the services provided by the asset.
- Any other ownership information, such as community organisation involvement, traditional leaders with special interest, etc.
- Photograph/image.

Step 2: Assess use and condition of asset

To ensure that an asset continues to meet service standards, an assessment of asset use and condition is conducted to determine when maintenance is fast approaching and/or required. This level of assessment is most effective when conducted with the persons who use/interact with the asset.

1. Visit each asset to establish its existence, validate in asset register, and assess its use and condition. Organise follow-up visits as required.
2. During assessment, analyse asset based on its functionality and service it claims to provide.
3. Interview asset users and other persons of interest to understand the asset's history (use and condition), the reasons behind its successful or failed performance, etc. Interview the following:
 - Manager, employee or person in charge of the facility
 - Group with special interest on the facility
 - Traditional authorities and leaders
 - Elected officials, including community representatives
4. Establish asset service standard expected by service providers and users. A service standard is a measure of the expected level of service delivered by the asset.
5. Assess the condition of each asset based on the five-point scale shown in table 3.

Table 3: Assessment of asset condition

Scale	Asset condition	Maintenance needed
(A)	New or nearly new	Nil
(B)	Good	Minor maintenance
(C)	Fair	Routine or recurrent maintenance
(D)	Poor	Major maintenance needed for asset to return to expected service standard of service provision
(E)	Failed	Replacement or renewal

Step 3: Assess useful life span, value and depreciation

The value of a community asset is the price paid for it (whether new or second hand). If the purchase price is unknown then the value is the cost paid for buying a similar asset, with similar conditions.

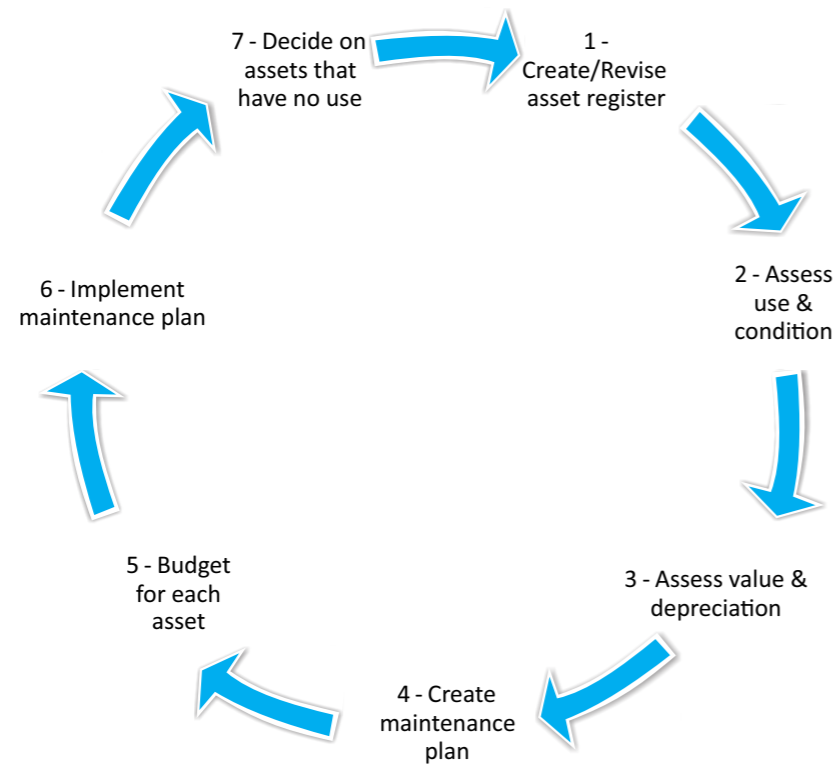
1. The useful life span of an asset is calculated based on the time the facility becomes operational to the time it requires replacement or renewal. Factors that may affect the useful life span of an asset include:
 - Quality of the materials used in construction.
 - How well the asset is being maintained.
 - Frequency of use of the asset.
 - Climate.
 - Improvements in technology.

⁴ Community Water and Sanitation Agency Act, 1998 (Act 564).

6.2 Managing community assets

There are seven steps involved in DA and/or DA-supervised management of community assets (see figure 5).

Figure 5: Seven steps in the management of community assets



Step 1: Create asset register

The first step in the asset management process is to create an asset register (where there is none available), or to revise an existing register. An asset register includes the following information:

1. List down community assets by:
 - Compiling physical records, e.g., invoices for purchase or transfer.
 - Conducting interviews with key stakeholders and undertaking site visits.
 - Searching for deeds of arrangement, MoUs, and other likely sources of information.
2. Categorise/classify assets, e.g., infrastructure, vehicles, equipment, plant and machinery, buildings, lands, etc.
3. Assign a unique identification number to each asset. This facilitates easy storage of information on asset type, location, etc., and whether it is a component of a larger asset.
4. Create an asset register for regular update that is flexible enough to accommodate the entry of new assets.
5. Register assets immediately. When a new asset is acquired, enter information in asset register and assign a unique identification number.
6. Enter basic data of each asset added. Information recorded shall include, as far as possible, the following:
 - Unique identification number.
 - Description (e.g., category, subcategory, and to uniquely identify specific asset, consider adding model/manufacturer's serial number, if available).

Acronyms

CDO	Community Development Officer
CLTS	Community-Led Total Sanitation
COM	Community Ownership and Management
CWSA	Community Water and Sanitation Agency
DA	District Assembly (used interchangeably with MMDAs)
DMTDP	District Medium-Term Development Plan
DWD	District Works Department
DWSP	District Water and Sanitation Plan
DOM	District Operational Manual
EHA	Environmental Health Assistant
FMP	Facility Management Plan
GWCL	Ghana Water Company Limited
LI	Legislative Instrument
MMDAs	Metropolitan, Municipal and District Assemblies
MTDP	Medium-Term Development Plan
MWRWH	Ministry of Water Resources, Works and Housing
NCWSP	National Community Water and Sanitation Programme
NGO	Non-Governmental Organisation
O&M	Operations and Maintenance
PO	Partner Organisation
RCC	Regional Coordinating Council
SHEP	School Health Education Programme
TA	Technical Assistance
WASH	Water, Sanitation and Hygiene
WSSDP	Water Sector Strategic Development Plan

CHAPTER 1

NATIONAL COMMUNITY WATER AND SANITATION PROGRAMME

The National Community Water and Sanitation Programme (NCWSP) is the Government's blueprint for improving access to safe water and sanitation, and promoting hygienic behaviour in rural communities and small towns across the country. The NCWSP was developed as part of the country's water sector reforms initiated in the early nineties, in response to the low coverage in water and sanitation services in rural communities and small towns. The Programme was officially launched in 1994, with the implementation of the first Community Water and Sanitation Project (CWSP), funded by the International Development Association of the World Bank in Brong Ahafo, Ashanti and Western Regions.

Under the Ministry of Water Resources, Works and Housing (MWRWH), in collaboration with the Ministry of Local Government and Rural Development (MLGRD) and other stakeholders, the implementation of NCWSP is facilitated by the Community Water and Sanitation Agency (CWSA) — the lead public agency responsible for the rural water and sanitation sub-sector in the country. District Assemblies (DAs) serve as implementers of all district-level projects under the Programme, and receive technical assistance for planning, design, construction supervision and post-construction operations and maintenance from CWSA and the private sector. Funding for the Programme is provided by the Government of Ghana as part of the country's annual budget approved by Parliament, grants and credits from Development Partners (DPs), and the DAs' own resources. The Programme forms part of the Water Sector Strategic Development Plan (WSSDP) of MWRWH for the management, development and utilisation of the country's water resources.

1.1 Goal and objectives of the NCWSP

The developmental goal of the NCWSP is to improve the health and economic well-being of rural communities and small town populations through the provision of safe water and related sanitation services, and hygiene promotion. Specific objectives are to:

- Provide basic WASH services to rural communities, small towns and institutions that contribute in the normal operations, maintenance and repair costs of facilities to ensure sustainable services delivery.
- Ensure the sustainability of services through community ownership and management, community decision making in WASH facility design, active involvement of women at all stages of implementation, private sector provision of goods and services, and public sector facilitation and support.
- Maximise health benefits by integrating water, sanitation and hygiene interventions, including the establishment of hygiene promotion, and latrine construction capabilities at the community level.

⁵ For ease of reference, districts (or district-level) refer to metropolitans, municipals and districts assemblies (MMDAs). To date, there are 216 districts in Ghana.

CHAPTER 6:

INFRASTRUCTURE ASSET MANAGEMENT

The District Assembly, as the legal owner of WASH assets in its area of jurisdiction, is responsible for asset management and the provision of continued services to benefit asset users.

In some cases, the DA may engage the services of a firm to assist in putting in place the necessary mechanisms and staff training activities on Infrastructure Asset Management (IAM). This chapter describes the steps to be followed by the DA in asset management.

6.1 Foundation for developing and/or improving asset management

There are four basic steps that form the foundation for developing and/or improving infrastructure asset management (IAM). These are:

- 1. Asset management policy:** broadly defines the relevance of infrastructure asset management and what needs to be done. Components include:
 - Organisational context and importance of infrastructure asset management vision and service delivery.
 - Responsibilities, relationships and reporting framework for key actors.
 - Broad timelines and deadlines.
 - Integration of infrastructure asset management in the DA's functions.
 - Auditing and review processes.
- 2. Asset management strategy:** covers areas that lead to improvements in infrastructure asset management, such as:
 - Current status of infrastructure asset management, i.e., processes, systems, data, planning and implementation.
 - Future vision.
 - Gap analysis.
 - Strategies and actions to address gaps.
 - Resources required and timelines.
- 3. Asset management plan:** outlines particular actions and resources required to provide a functional level of service in the most cost-effective manner that is intrinsically linked to the strategy. An asset management plan covers the following:
 - Existing levels of service.
 - Demand forecasts.
 - Current asset condition and useful life (asset portfolio).
 - Activities required to deliver defined level of service under operations, maintenance, renewals, capital works and disposal (where appropriate).
 - Financial forecast.
- 4. Operation plan:** caters for the delivery of asset management and includes the following:
 - Reflect asset management.
 - Access necessary resources.
 - Contain measurable performance indicators.
 - Promote efficient service delivery.

²⁵ Infrastructure asset management ensures that asset renewal or replacement of individual parts occur, whilst maintaining the functioning of the asset as a whole for continued and uninterrupted delivery of services. Infrastructure assets do not have a definite life but instead economic lives are assigned to the parts that make up an infrastructure asset as a whole.

Expenditure on indirect support (ExpIDS) is the cost of planning and policy making at the national level and capacity building for professionals and other technical staff.

Cost of capital (CoC) is the cost of financing a programme or project, which covers loan repayments and the cost of “tying up scarce capital”. In the case of private sector investment, CoC is synonymous to what is considered a “fair profit”, which is distributed as dividends.

5.3.2 Financing of WASH delivery

To achieve universal coverage for WASH services delivery by 2025, the WSSDP estimates a capital investment of US\$929 million and US\$189 million for water and sanitation respectively over the period 2011-2025. The funds shall be provided mainly through GOG and DP sources. The WSSDP projects that the DA shall use an estimated 6% of its accumulated resources from DDF, DACF and IGF to supplement funding from the national level.

Funds approved for WASH delivery shall be disbursed from the Consolidated Fund and DPs into the DA account to be administered by the DA in accordance with section 5.2. The Government's uniform treasury system for channelling both public funds and DP funds for investments in the district shall be used for the disbursement of WASH funds as part of measures under a Sector Wide Approach (SWAp).

Under SWAp, a performance-based funding shall be introduced and districts that meet certain performance indicators to be agreed upon by all stakeholders shall be rewarded financially to enable them deliver more services to their communities and towns. CWSA shall as part of its regulatory functions monitor the compliance of districts to the performance indicators and in consultation with the RCC make recommendations to the appropriate awarding authority.

In the interim, the existing funding modalities for Government and DP interventions in WASH delivery will continue.

5.4 Auditing

Financial and performance audits of WASH delivery are done as part of the District Assembly's annual auditing requirements. A separate project audit may be carried out at the request of a funding agency. Copies of the audit is submitted to the RCC and the CWSA Regional Office. Corrective action is taken by the WSMT on the findings of an audit, with guidance from the DA. The Audit Report Implementation Committee (ARIC) of the DA meet regularly to follow up on the implementation of the audit findings with the Chairmen and Accountants of the WSMT in attendance. The RCC and CWSA are also represented in these meetings.

1.2 NCWSP strategy and principles

In collaboration with stakeholders in the sub-sector, the NCWSP strategy had been formulated to guide the management of the Programme, as well as the planning and implementation of sustainable WASH services. The strategy is underpinned by eight pillars:

- 1. Service standards, regulations and guidelines:** Establishes national norms and standards that guarantee the quality construction of water and sanitation facilities, and protect the rights of consumers.
- 2. Institutional framework:** Ensures the clear definition of roles and responsibilities of key stakeholders in the provision of sustainable WASH services to rural communities and small towns. It also outlines the requirements for effective sector collaboration and coordination.
- 3. Financial framework:** Articulates the financial challenges related to decentralisation, in particular the implications of fiscal decentralisation on DAs and CWSA. It outlines the financial flow for the transfer of funds for WASH provision by DAs, in accordance with fiscal decentralisation and financial policy of Government.
- 4. Planning framework:** Identifies the levels of planning, the institutions involved, the outputs of the planning process per level, and their linkages for effective and efficient delivery of sustainable WASH services.
- 5. Regulatory framework:** Defines the role of CWSA as regulator, and the strategies that need to be adopted for the dissemination and enforcement of regulations, in collaboration with DAs and other relevant institutions.
- 6. Support framework:** Identifies the challenges and gaps in the support process - be it technical, financial or managerial - at all levels, and makes proposals to address these.
- 7. Monitoring and evaluation framework:** Identifies the challenges in improving monitoring and evaluation in the sub-sector, and makes proposals to address these. It also defines the roles of key stakeholders and the reporting arrangement using the District Monitoring and Evaluation System (DiMES) as the platform for monitoring.
- 8. Communication framework:** Employs various strategies to widely disseminate NCWSP documents to create awareness on stakeholder roles and responsibilities in the implementation of the Programme. This is achieved through media discussions, public events and learning alliance platforms at national, regional and district levels.

The key principles underlying the NCWSP are summarised as follows:

- Demand-Responsive Approach
- Decentralised planning, implementation and management of services by the District Assembly and beneficiary community
- Private sector provision of goods, works and services
- Active and full participation of women in decision making at all stages of project implementation

⁶ Detailed analysis of each pillar is available in the National Community Water and Sanitation Strategy document prepared by CWSA

- Integrated approach to hygiene promotion, water and sanitation services delivery to maximise health benefits
- Community Ownership and Management (COM)
- Public sector facilitation

With the global focus on sustainability of WASH services, the Service Delivery Approach (SDA) has been adopted as one of the key principles of the Programme, with the objective of ensuring the sustainable operations and maintenance, repair, expansion and upgrade of facilities throughout their design life and beyond. The approach requires putting in place the necessary mechanisms and strategies at all levels to ensure the all year round delivery of WASH services. It emphasises that the entire life cycle of a service consists of both hardware and software requirements to provide a certain level of service. The concept of the life-cycle costs of a facility is critical to sustain WASH services, and therefore - shall be properly assessed and provided for as part of investment planning, budgeting and financing by District Assemblies. A framework for assessing the life-cycle costs of WASH services is discussed in chapter 5.

1.3 Participation in NCWSP

For a District Assembly (DA) to participate in the NCWSP, it requires the following:

- A District Works Department, with the approved staff complement.
- Current District Water and Sanitation Plan.
- Current District Environmental Sanitation Strategic Action Plan.
- Approved budget line(s) for WASH activities.

1.4 Key stakeholders

1.4.1 National level

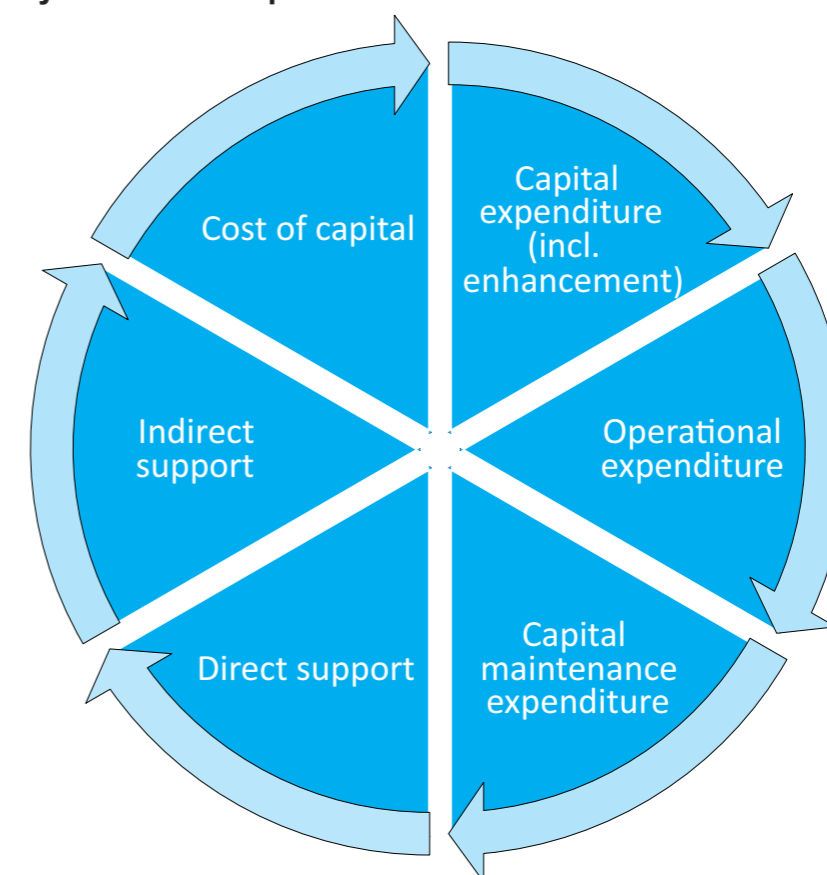
Ministry of Water Resources, Works and Housing (MWRWH): is responsible for policy formulation, coordination, and monitoring the provision of safe water to rural communities and small towns, as outlined in the National Water Policy. The MWRWH coordinates the inputs of other ministries and actors involved in WASH delivery, e.g., Ministry of Local Government and Rural Development (MLGRD), Ministry of Finance (MoF), Ministry of Energy (MoE), and Development Partners.

Community Water and Sanitation Agency (CWSA): is the lead agency in the sub-sector responsible for the overall facilitation of the NCWSP in rural communities and small towns. Under its Act of establishment - Community Water and Sanitation Agency Act, 1998 (Act 564) - CWSA head and regional offices provide technical support to DAs, and set the standards for the delivery of WASH services. The Agency is responsible for reporting on the progress of WASH delivery to the MWRWH. The Agency also collaborates with Ghana Water Company Limited (GWCL), Water Resources Commission (WRC), Environmental Protection Agency (EPA) and other institutions, as appropriate, in the performance of its mandate.

1.4.2 Regional level

At the regional level, rural and small town WASH services are coordinated by three main bodies: Regional Coordinating Council, Regional Planning and Coordinating Unit, and CWSA Regional Office.

Figure 4: Life-cycle costs components



Capital expenditure (CapEx) is the initial cost of construction of new water and sanitation facilities, which covers both hardware and software costs. Budget is provided either through national budgets, the project's finance or DA's own internally generated funds. Part of CapEx is the Capital enhancement expenditure, which is the cost for future expansion of WASH facilities to enhance service delivery.

Operational expenditure (OpEx) is the cost of the day-to-day operations of WASH facilities, which covers wages, energy costs, fuel costs, administrative costs, etc.—these are considered critical in keeping services running. OpEx includes costs for carrying out minor maintenance or repairs, paid by appropriate tariffs and user fees from consumers/clients.

Capital maintenance expenditure (CapManEx) is the cost for occasional asset renewal, replacement and rehabilitation of WASH facilities. CapManEx costs may be covered by tariffs, user fees or through the budgeting process using the depreciation approach and/ or setting up a sinking fund.

Expenditure on direct support (ExpDS) is the cost for supporting local level actors in the service delivery chain. ExpDS costs include planning and monitoring, providing technical support to communities, auditing of community management structures, monitoring private sector performance, and regularly promoting hygiene. ExpDS for pre- and post-construction activities shall be adequately budgeted for by the DA as the frontline agent, and by the CWSA Regional Office as the backstopping agent, to ensure sustainability of WASH services.

²⁴ A sinking fund is a means of repaying funds borrowed through a bond issue. The issuer makes periodic payments to a trustee who retires part of the issue by purchasing the bonds in the open market. For more information, see: <http://www.investopedia.com/terms/s/sinkingfund.asp>

Table 2: Responsibility for Procurement

Procurement activity	Procurement entity
Works	
1. Construction of hand-dug wells	DA
2. Drilling of boreholes	DA
3. Construction of institutional latrines	DA
4. Construction of civil works for small town water schemes	DA/ RCC
Goods/equipment	
5. Supply and installation of hand pumps	DA/ RCC
6. Supply of computers, etc.	DA
Services	
7. Technical Assistance (TA) for implementation (regional level)	RCC/ CWSA
8. Training of DA/ DWD staff	DA/ CWSA Regional Office
9. Training of area mechanics	DA/ CWSA Regional Office
10. Community mobilisation (PO services/ TA)	DA/ RCC
11. Siting and construction supervision of borehole drilling	DA/ RCC
12. Design and construction supervision of small towns water schemes	DA/ CWSA Regional Office
13. Refresher training for WSMTs	DA
14. Hiring of area mechanic services	WSMT
15. Training of caretakers	DA/ RCC
16. Training of School Health Coordinators and WSMTs	DA
17. Training of latrine artisans	DA
18. Hiring of private operator services for small towns	DA/ WSMT
19. Maintenance and repair services	WSMT

5.3 Financial administration

Financial administration by the DA is guided by the provisions of the Financial Administration, 2003 (Act 654) and the Financial Administration Regulations, 2004 (L.I. 1802).

5.3.1 Budgeting for WASH services

Based on the approved District Medium-Term Development Plan, the District Works Department (DWD) prepares an annual budget in accordance with the national budgeting guidelines of the Ministry of Finance. WASH services budget is included in the district composite budget for central government funding, with approval from parliament. Budgeting for WASH delivery employs a life-cycle costs approach, providing allocations for the key cost components found in figure 4.

Regional Coordinating Council (RCC): is the administrative and coordinating body at the regional level. The RCC:

- Coordinates, monitors and evaluates the performance of DAs in the implementation of Government policies and programmes.
- Monitors the use of all funds allocated to the DAs.
- Reviews and coordinates public services.

The Regional Planning and Coordinating Unit (RPCU): serves as the secretariat of the RCC and assists the latter in the performance of its functions. It is the approval body for district investment levels, annual work plans and budgets, and it monitors and evaluates their implementation. The RPCU, on behalf of the RCC, performs the following key functions:

- Supervises DA implementation of WASH projects and programmes in collaboration with the CWSA Regional Office.
- Ensures that the DAs prepare and submit regular progress reports on WASH projects and programmes to the RCC and the CWSA Regional Office.
- Ensures harmonisation of regional and district WASH projects and programmes with the Regional Medium-Term Development Plan .
- Monitors progress in the implementation of a District Medium-Term Development Plan (DMTDP).

CWSA Regional Office: plays the lead role in providing technical support to the DA and builds the capacities of regional and district stakeholders for the effective implementation of WASH activities in the region. It serves as the technical advisor to the RCC on regional WASH activities. A CWSA Regional Office:

- Promotes and disseminates WASH information at regional and district levels.
- Assists the DA in appraising the technical, financial, social and environmental feasibility of WASH project and programme proposals.
- Provides technical assistance to the DA in the recruitment of consultants and contractors, following Government procurement procedures.
- Monitors and assures the quality of services and works executed by consultants and contractors.
- Supports the DA in the supervision of works and services delivery.
- Builds the capacity of the local private sector in WASH delivery.
- Monitors district WASH delivery activities by all sub-sector players.
- Reports on the progress of regional WASH activities to the RCC and CWSA Head Office.

The office collaborates with key stakeholders at the regional level, such as the GWCL, EPA, WRC, and the Environmental Health and Sanitation Department (EHSD), as appropriate, in the performance of its role.

1.4.3 District level

Ghana has a total of 216 metropolitan, municipal and district assemblies. Implementation of WASH services at the district level involves the following government institutions and civil society actors/ institutions.

The **District Assembly (Service Authority):** by the Act of its establishment, is responsible for district-level developments, including the delivery of WASH services within its area of jurisdiction. Accordingly, as the service authority, it is the lead implementer of water and sanitation projects and programmes under the NCWSP. To effectively serve as the focal point for planning, implementation,

supervision and post-project monitoring, and support in ensuring the sustainability of installed facilities, each DA shall have a fully established and resourced District Works Department, with a section responsible for water. In general, the DA:

- Promotes and disseminates information on projects and programmes to generate interest amongst community / town members.
- Selects and prioritises communities based on established criteria.
- Tenders and contracts for goods, services and works for water and sanitation delivery.
- Maintains a database of local private sector engagement, community-based organisations and non-governmental organisations presence in community / town for effective collaboration and coordination.
- Supervises consultants and contractors, either directly or through the private sector.
- Monitors operations and maintenance functions of Water and Sanitation Management Teams (WSMTs), reports findings to the RCC and CWSA Regional Office, and takes appropriate corrective actions.
- Prepares and updates District Water and Sanitation Plans (DWSPs), and incorporates latest version in District Medium-Term Plans for resource mobilisation.
- Audits operations of WSMTs, and takes corrective actions as appropriate.
- Plans and executes functionality and service level monitoring, and takes corrective actions.
- Manages the District Monitoring and Evaluation System (DiMES).
- Builds the capacity of district- and community-level actors to ensure the sustainable delivery of WASH services.
- Approves user tariffs in accordance with tariff-setting guidelines.
- Reviews and approves WSMT plans for extension, upgrade and overall improvement of water and sanitation facilities, in consultation with the CWSA Regional Office.
- Enacts appropriate bye-laws to support WASH services delivery.
- Mobilises resources for WASH services delivery.
- Manages WASH assets.

Community / town: is the ultimate beneficiary of community WASH projects, and is responsible for ensuring that WASH services are sustained. Towards the fulfilment of its role, a community / town:

- Expresses demand for services, including technology preference and level of service.
- Pays for services provided.
- Registers complaints when services provided do not meet minimum standards.
- Demands accountability from service providers.
- Monitors operations and maintenance activities of service providers.

Water and Sanitation Management Team (Service Provider): operates and maintains hand-dug wells or boreholes fitted with a hand pump or a piped scheme delivered by projects, in line with appropriate guidelines or bye-laws. The Water and Sanitation Management Team (WSMT) comprises of a gender-balanced team that is democratically elected. Drawing its membership from a beneficiary community / town, the WSMT:

- Promotes and disseminates information on a project or programme within the community / town.
- Identifies needs, prepares and executes plans for improved water and sanitation provision.
- Mobilises the participation of all members of a community, especially women, in the decision-making process.
- Adopts a constitution or bye-law to guide in its operation, and seeks approval from the DA.

⁷ Local Government Act, 1993, (Act 462)

Following the approval of the DMTDP by the General Assembly, it shall be used for the preparation of the annual budget for WASH activities which shall be included in the district Composite Budget (CB). Annual and quarterly work plans and budgets (WKPS/BDGTS) for WASH activities shall be based on the approved CB. The preparation or update of the DWSP shall be in accordance with the guidelines and issued by NDPC.

5.2 Procurement

All procurement for the delivery of WASH services to rural communities and small towns is carried out in accordance with the Public Procurement Act, 2003 (Act 663). This ensures that there is competition, transparency and value for money in the procurement of required services, goods and works.

5.2.1 Procurement entity

The DA is the procurement entity for each district. Where districts are combined to achieve economies of scale, they shall be coterminous and shall not exceed a maximum of four. A Memorandum of Understanding is signed by the coterminous districts, and witnessed by the RCC, then a lead district is elected to lead in the procurement process and serve as the procurement entity on behalf of the other districts. Where procurement covers more than four districts, the RCC serves as the procurement entity.

5.2.2 Procurement plan

At the beginning of each procurement cycle or year, the procurement entity (DA or RCC) prepares a procurement plan for WASH delivery. The CWSA Regional Office technically supports the procurement entity by providing national average unit costs for the intended services, goods and works, and is involved in reviewing the procurement plan to ensure that it meets the required standard. The procurement plan forms part of the documents submitted to the Entity Tender Committee for approval and contract awarding.

5.2.3 Procurement method

District Assembly procurement mainly follows the National Competitive Tendering (NCT) method. Tendering using other methods of procurement shall receive prior approval, in accordance with the Public Procurement Act, 2003 (Act 663). In addition to the NCT method, RCC procurement may also follow the International Competitive Tendering method, also in accordance with the Procurement Act.

5.2.4 Responsibility for procurement

Responsibility for procurement of services, goods and works for the delivery WASH services in communities / towns is described in Table 2:

²³ The template for the Memorandum of Understanding is included as Annex X

CHAPTER 5: PLANNING, PROCUREMENT, FINANCIAL ADMINISTRATION AND AUDIT

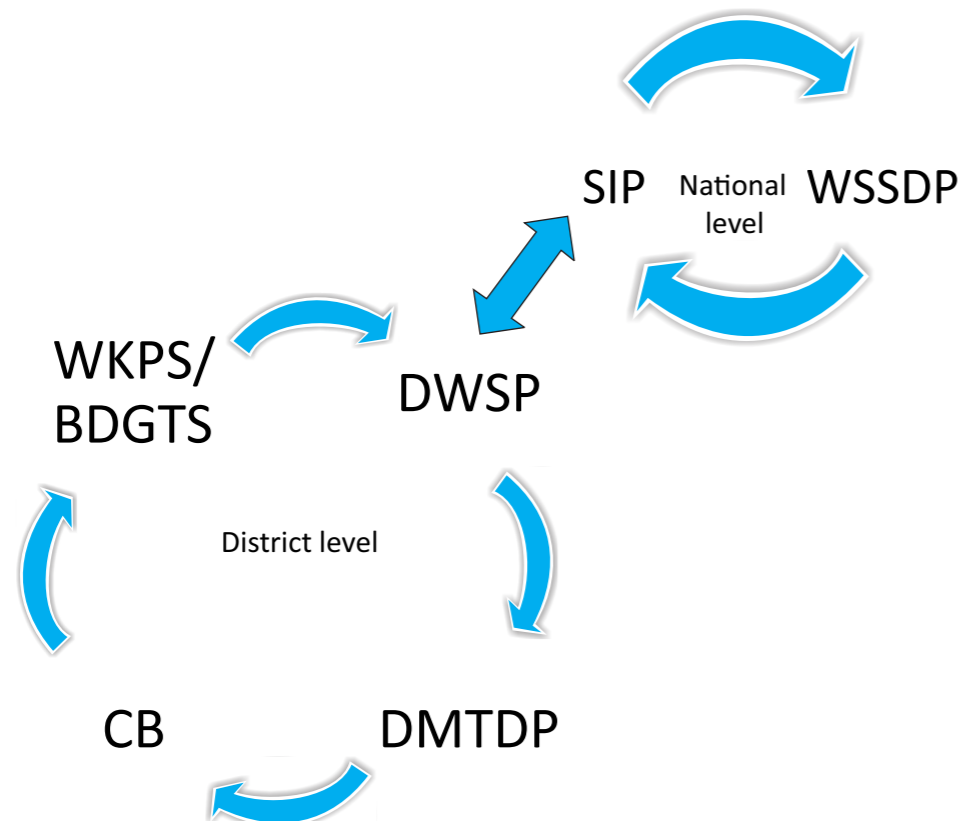
This chapter describes the planning, procurement, financial administration and auditing procedures for the delivery of WASH services to rural communities and small towns.

5.1 Planning process

Planning for the decentralised delivery of WASH services in districts starts with the preparation of the District Water and Sanitation Plan (DWSP). The DWSP details the DAs strategic vision for meeting the WASH needs of rural communities and small towns within their respective areas of jurisdiction. The DWSP is developed in line with the national development agenda set out in the CWSA Strategic Investment Plan (SIP) and the MWRWH Water Sector Strategic Development Plan (WSSDP).

District planning for WASH services delivery, requires that at the beginning of each planning period, CWSA head office provides the RCC and the CWSA regional office with projected regional investment levels based on available committed resources, regional coverage data and other agreed parameters. The RCC in collaboration with CWSA regional office shall determine district investment levels, using district coverage data and other agreed socio-economic parameters. The DA shall prepare or update its DWSP using the allocated investment levels and supplements from other sources such as the District Assembly common fund, District Development Facility and Internally Generated Funds. The DWSP shall serve as the source document for the preparation of the WASH component of District Medium Term Development Plan (DMTDP). See figure 3 below.

Figure 3: WASH planning process at national and district levels



- Keeps proper financial records on revenue and expenditure, and reports to the community / town as required.
- Monitors the services provided by its employed staff or a private operator (in the case of small towns), and submits quarterly and annual reports to the DA and the CWSA Regional Office.
- Undertakes hygiene education and sanitation promotion within a community / town.
- Puts in place appropriate mechanisms to receive and address consumer complaints.
- Participates in joint monitoring and evaluation missions.
- Proposes tariffs or user fees in accordance with CWSA guidelines to guarantee the sustainable delivery of services, and submits proposals for DA approval.
- Contracts and supervises activities of private operators, where applicable, and in collaboration with the DA.
- Submits quarterly and annual reports on its operations to the DA, and provides the CWSA Regional Office with a copy.

Private sector actors / institutions: are key stakeholders in WASH projects and programmes that provide services, goods and works in districts. At district level, private sector actors / institutions include Technical Assistants (consultants, partner organisations), contractors, spare parts dealers, area mechanics, latrine artisans, and private operators.

Non-governmental organisations / civil society organisations: are diverse in both structure and orientation ranging from Community-Based Organisations (CBOs) engaged in self-help activities, to Non-Governmental Organisations (NGOs) involved in activities ranging from service delivery to advocacy on issues relating to poverty reduction, equitable service provision, public health and financing of the water and sanitation sub-sector. NGOs and CBOs shall submit quarterly and annual reports to the DA in charge of their project areas, for inclusion in DA reports to the RCC and the CWSA Regional Office.

CHAPTER 2:

COORDINATION OF WASH SERVICES DELIVERY AT THE DISTRICT

The delivery of WASH services involves both technical and software activities and calls for effective coordination of the inputs of the relevant decentralised departments within the DA. The roles and responsibilities of the different district departments involved in WASH service delivery are outlined in this chapter.

2.1 District Works Department

The District Works Department (DWD), through the water section, is responsible for WASH services delivery activities in its district, in collaboration with other key departments, and under the supervision of the Head of the DWD. Staff of DWD (water section) undertakes the following responsibilities:

- Prepares and ensures the timely and regular update of District Water and Sanitation Plans.
- Prepares tender documents for procurement of services, works and goods for WASH services delivery.
- Prepares annual and quarterly work plans and budgets for WASH services delivery.
- Supervises the work and inputs of consultants and contractors.
- Supports Water and Sanitation Management Teams (WSMTs) in fulfilling their operations and maintenance (O&M) roles.
- Plans for and executes the appropriate implementation, monitoring and evaluation (M&E) activities to assess the coverage, functionality and service levels of WASH services.

Specifically the Head of the DWD:

- Supervises the activities of its water section.
- Liaises with the District Coordinating Director (DCD) for the inputs of other departments for WASH services delivery.
- Reviews and endorses annual budget estimates of its water section, and oversees its incorporation in the DWD's departmental budget.
- Reviews, contributes and endorses the quarterly work plans and budgets of its water section, and submits final reports for approval by the District Coordinating Director of the District Planning Coordinating Unit (DPCU).
- Supports the water section in report preparation and in the update of the water component of the District Water and Sanitation Plan (DWSP).
- Supports the water section in the review of all documentation submitted by consultants and contractors.
- Participates in all review meetings and M&E missions on WASH services delivery.

2.2 Health Department

The **Environmental Health Section** of the district's Health Department is responsible for the water-related hygiene education and sanitation promotion component of WASH services delivery. The Section, supervised by the Head of the Health Department, performs the following tasks:

- Provides input for the preparation of the water-related sanitation and hygiene promotion component of the DWSP.
- Prepares a Request for Proposal (RFP) for the selection of Technical Assistance (TA) for Hygiene Education and Sanitation (HES) activities.
- Supervises water-related sanitation and hygiene promotion activities by the TA
- Prepares annual and quarterly work plans and budgets for water-related sanitation and hygiene promotion.

4.7 Climate change adaptation

To ensure that WASH facilities continue to deliver services to communities / towns on a sustainable basis, climate change adaptation measures are incorporated in all designs for the construction of WASH facilities. The DA, with technical support from the CWSA Regional Office, ensures that all designs submitted by consultants incorporate appropriate climate change adaptation measures.

4.8 Regulation of the sub-sector

The promulgation of Community Water and Sanitation Agency Regulations, Legislative Instrument, 2011 (L.I 2007) gives regulatory functions to CWSA, enabling it to standardise the activities of all partners in the WASH sub-sector. The regulation covers standards of delivery and operational requirements. The DA, as an approving authority for WASH interventions in the district under the CWSA L.I 2007, ensures that all partners within the district are aware of these regulations and comply with its provisions. The DA notifies the CWSA Regional Office of any partner that acts in contravention of the CWSA L.I 2007 for appropriate corrective action.

Table 1: Responsibility for Minor and Major Maintenance

ITEM	MINOR MAINTENANCE	MAJOR MAINTENANCE
BOREHOLE WITH HAND PUMP		
Concrete platform	Checking of erosion around apron, repair of cracks in apron, drainage channel and soak away	Reconstruction of concrete pad and apron
Borehole	Nil	Redevelopment of borehole, replacement of borehole
Hand pump	Replacement of pump parts	Replacement of hand pump, fishing of drop pipes
PIPED SCHEME		
Borehole	Redevelopment	Replacement of borehole
Pump house	Repair of cracks in roof and building, reconstruction of building	Nil
Submersible pump	Replacement of parts, replacement of pump	Nil
Transmission line	Replacement of sections of pipes, repair of leakages, repair of meters, valves, gauges	Replacement of all pipes, re-alignment of whole line
Electromechanical equipment	Repair or replacement of switches, meters, fuses	Replacement of control panel, replacement of transformer
Storage tank	Repair of leakages, painting (steel tanks)	Replacement of tank
Distribution network	Repair of leakages, replacement of sections of pipes	Re-alignment of network
Standpipes	Repair or replacement of taps, meters, repair of cracks, reconstruction of platform	Nil
Surface water intake	Repair of cracks, repair of low-lift pump(s)	Re-construction of intake, replacement of low-lift pump(s)
Treatment plant (SSF)	Washing of filter media, cleaning of filter chambers, topping up of filter media, repair of high-lift pump(s)	Replacement of high-lift pump(s), re-construction of filter chambers
LIMITED RETICULATED PIPED SCHEME		
Borehole	Redevelopment of borehole	Replacement of borehole
Pump house	Repair of cracks	Reconstruction of pump house
Submersible pump	Replacement of parts	Replacement of pump
Transmission line	Repair of sections of pipe (up to 10 meters)	Replacement of sections of pipes (more than 10 meters), replacement of all pipes
Electromechanical equipment	Replacement of fuses	Repair of meters, switches, replacement of control panel, replacement of transformer
Storage tank (plastic)	Nil	Replacement of tank
Standpipes	Repair or replacement of taps, meters, repair of cracks	Reconstruction of platform

Specifically the Head of the Department:

- Coordinates and supervises the activities of Environmental Health Officers and Environmental Health Assistants in water-related sanitation and hygiene promotion for WASH services delivery.
- Reviews and endorses annual work plans and budgets of the Environmental Health section for WASH services delivery, and submits final plans for approval by the District Coordinating Director of the District Planning Coordinating Unit.
- Supports the Environmental Health section in the review of all documents on water-related sanitation delivery and hygiene promotion submitted by consultants and contractors.
- Participates in all review meetings and M&E missions on WASH services delivery in the district.

2.3 Social Welfare and Community Development Department

The Community Development Section of the district's Social Welfare and Community Development Department is responsible for the community / town mobilisation and sensitisation activities component of WASH services delivery. The Community Development Section :

- Prepares the community / town mobilisation component of the DWSP.
- Prepares a RFP for contracting TA for community mobilisation.
- Monitors activities of the TA agent's execution of the assignment.
- Prepares annual and quarterly work plans and budgets for community mobilisation activities.

Specifically the Head of the Social Welfare and Community Development Department:

- Coordinates and supervises the work of Community Development Officers and Community Development Assistants in community / town mobilisation for WASH services delivery.
- Reviews and endorses annual work plans and budgets of the Community Development Section, and submits final plans for approval of the District Coordinating Director.
- Supports the Community Development Section in its review of all documentation submitted by TAs.
- Participates in all review meetings and M&E missions on WASH services delivery.

2.4 Education, Youth and Sports Department

Through its School Health Education Programme (SHEP), the Head of the education section of the District's Education, Youth and Sports Department:

- Prepares the SHEP component of the DWSP.
- Selects schools for participation in the SHEP.
- Selects teachers to be trained as SHEP coordinators.
- Prepares annual work plans and budgets for the SHEP.
- Coordinates training activities for SHEP coordinators.
- Monitors and reports on SHEP implementation in districts.
- Participates in quarterly and annual progress review meetings and M&E missions on WASH services delivery.

2.5 District Planning and Coordinating Unit

The District Coordinating Director (DCD) through the District Planning and Coordinating Unit (DPCU) is responsible for coordinating the inputs of the departments and staff. The DPCU is responsible for district-level planning of WASH services delivery. To ensure effective coordination of WASH activities, the DPCU organises quarterly planning and review meetings. Specifically, the District Planning Officer (DPO):

- Assists the water section of the DWD in collecting and collating relevant data for the preparation and update of the DWSP.
- Supports in comprehensively capturing relevant components of the DWSP in the District Mid-Term Development Plan.
- Assists the Budget Officer in the preparation of annual budget estimates for WASH services delivery.
- Participates in review meetings and joint M&E missions.

2.6 Finance Department

The Finance Department is responsible for all financial matters related to district-level delivery of WASH services. It keeps up-to-date records on all financial transactions, in accordance with the Financial Administration Act, 2003 (Act 654) and the Financial Administration Regulations, 2004 (L.I. 1802). Specifically the District Finance Officer (DFO) of the Department:

- Prepares and submits quarterly and annual financial reports on WASH services delivery to appropriate authorities, as required by law.
- Assists the Budget Officer in the preparation of annual budgets for WASH services delivery.
- Processes and makes payments to consultants and contractors, subject to the necessary certifications, endorsements and approvals by relevant authorities.
- Participates in review meetings and joint M&E missions.

2.7 Budget and Rating Department

The Budget and Rating Department is responsible for the preparation of district-level annual composite budget estimates, which includes estimates for WASH services delivery. The District Budget Officer (DBO) of the Department:

- Supports staff of the water section of the DWD in the preparation of its annual estimates.
- Reviews budget estimates to ensure compliance with budget preparation guidelines.
- Captures estimates in the district composite budget.
- Tracks budget performance, and reports on a quarterly basis to the District Coordinating Director of the DPCU.
- Participates in review meetings and joint M&E missions.

2.8 Gender, Children and Social Protection Department

The Gender Section of the district's Gender, Children and Social Protection Department addresses issues of gender, HIV and social inclusion in WASH services delivery. Under the supervision of the Head of the Department, the Gender Desk Officer (GDO) undertakes the following:

- Reviews all project documentation for mainstreaming issues of gender, HIV and social inclusion.
- Reviews community mobilisation programmes and PO/TA plans for mainstreaming issues of gender, HIV and social inclusion.

The cost for carrying out water quality monitoring and other water safety measures is part of the DA's annual WASH budget estimates. From this budget, the DA hires the services of well-established water quality testing laboratories. Among the DA's responsibility is to ensure that all small town WSMTs in the district carry out water quality tests twice a year, before and after the rainy seasons; that results are displayed on notice boards within the town; and that WSMT reports are received by the DA and the CWSA Regional Office for follow-up action.

4.6 Operations and maintenance

The operations and maintenance of all water facilities in a community / town is the responsibility of the WSMT. This responsibility is carried out in accordance with the Small Communities or Small Towns Operation and Maintenance Guidelines of CWSA. For small town water schemes, the WSMT employs its own staff for the day-to-day operations and maintenance (O&M) of a system, or engages the services of a private operator to carry out O&M based on a contract signed between the DA, as the legal owner, and the operator; the WSMT as physical owner of the facility witnesses the signing.

For rural communities, which use either hand-dug wells or boreholes fitted with hand pumps, two trained caretakers within the community are typically made responsible for all O&M within their capacity. Where a major repair beyond the caretakers' capacity need to be undertaken, the WSMT employs the assistance of an area mechanic, within its zone or the district, to carry out repairs for a fee. The DA provides the WSMT with support in the O&M of their water and sanitation facilities through monitoring visits, with technical backstopping from CWSA Regional Office.

Minor maintenance: is defined as repair that is within the financial capability of the users of the facility, and can be covered by their user fees.

Major maintenance: is defined as repair that is beyond the financial capability of users, and cannot be fully covered by user fees, therefore requiring external support from the DA, central government or other sources. Responsibilities for minor and major maintenance are described in table 1.

²¹ The quality standards for drinking water established by the Ghana Standards Authority are found in <http://www.gsa.gov.gh/standards/search.php?id=91>

²² The water safety measures as outlined in the Water Safety Framework issued by CWSA are found in Annex IX

Regional level: To ensure effective coordination and collaboration in the implementation of projects, staff in the CWSA Regional Office and the WASH desk officer at the RCC shall benefit from training programmes designed for regional level staff.

District level: Staff of the Water Section of the DWD, EHAs, CDOs, school health coordinators, members of school health management committees and other identifiable groups at district level shall receive training on areas specific to their respective roles. Training activities shall enable them to undertake hygiene and sanitation promotion efficiently. Training programmes shall either be organised in-house, or short courses outside the district may be given.

Community level: WSMTs are the primary recipients of capacity building interventions at community / town level. WSMTs shall receive adequate training from the TA/PO during the pre- and post-construction stages of the facility, as part of the latter's community mobilisation responsibilities. Refresher training shall be provided, at least once during the tenure of the team. The training shall lead to the acquisition of knowledge and skills relevant for their implementation and post-implementation roles. Where appropriate, opinion leaders such as Chiefs, Queen mothers, Assembly members, and natural leaders, shall be invited to participate.

Private sector: Small-scale private sector agents such as partner organisations, area mechanics and latrine artisans play crucial roles in the service delivery process and shall receive training in the rudiments of their trade to strengthen their entrepreneurial skills, and equip them with the know-how to adequately assume their roles.

Costs for initial training of all key stakeholders are covered under the funding for the provision of the facility. The DA however, takes responsibility for financing refresher training programmes. Training is carried out in accordance with CWSA approved trainings and guides.

4.4 Gender mainstreaming

The NCWSP emphasises the removal of all barriers to the implementation of gender-sensitive initiatives at all levels. Issues of gender are cross-cutting and a conscious effort is needed to ensure that gender is mainstreamed in all activities of the delivery process, from the national to the community level. A special focus on women, as users, planners, operators and managers of water and sanitation facilities at the community / town level, children and physically challenged persons is considered key in implementing the community water and sanitation strategy. It is the responsibility of gender desk officers in districts to ensure that WASH activities comply with the framework for gender mainstreaming developed by the Ministry of Gender, Women and Social Protection.

4.5 Water quality testing and monitoring

The DA ensures that water supplied to communities and small towns, through either boreholes fitted with hand pumps or piped water schemes, meets the quality standards for drinking water established by the Ghana Standards Authority. It is the DA's responsibility to ensure that baseline water quality parameters are established for all new water facilities, and that data is captured in the District Monitoring and Evaluation System (DiMES). The CWSA Regional Office supports the DA in establishing a water quality monitoring plan that monitors a target of 40% boreholes with hand pumps, and 100% of piped water schemes; district water quality index shall be calculated and reported as part of the district's annual report to the RCC and the CWSA Regional Office.

The DA, supported by the CWSA Regional Office, also institutes other water safety measures outlined in the Water Safety Framework issued by the CWSA to protect the quality of raw water.

- Participates in quarterly and annual progress review meetings and joint M&E missions to address issues of gender, HIV and social inclusion.

2.9 Internal Audit Agency

The Internal Audit Agency is responsible for all district-level audit functions in relation to the delivery of WASH services. An Internal Auditor (IA) undertakes the following:

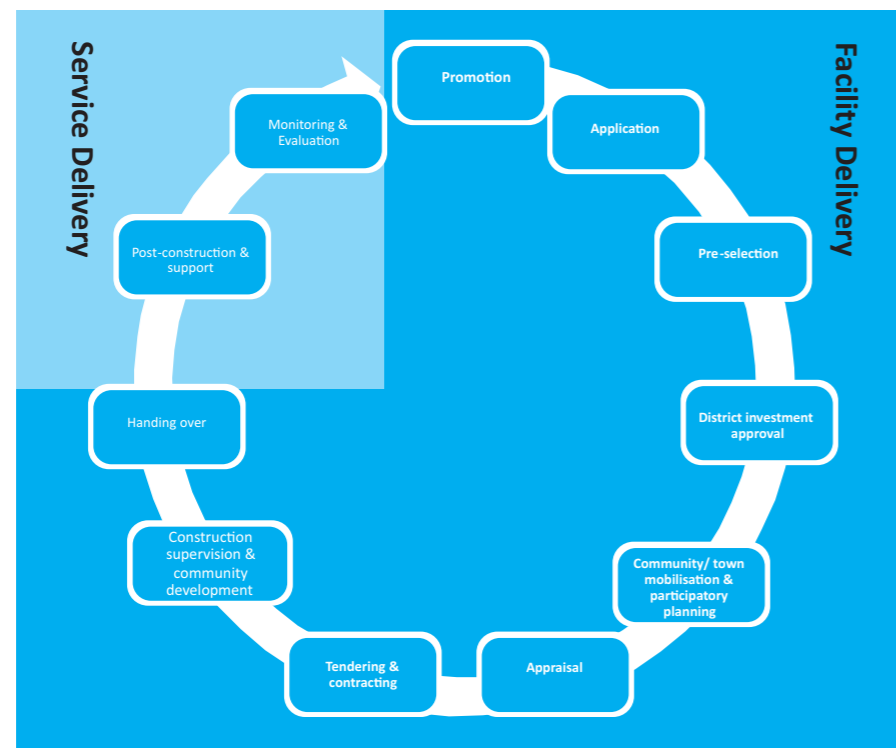
- Audits all payment vouchers before payment is processed by a District Finance Officer.
- Conducts annual audits of operations of WSMTs in small towns.
- Conducts periodic performance audits of consultants and contractors, and submits a report to the District Chief Executive, and a copy to the RCC and the CWSA Regional Office.
- Participates in quarterly and annual progress review meetings and joint M&E visits.

CHAPTER 3: SERVICE DELIVERY CYCLE

The Service Delivery Cycle outlines the phases and activities in the decentralised delivery of sustainable WASH services. The District Assemblies (DAs) ensure that all activities in the Service Delivery Cycle are carried out by the appropriate stakeholders. CWSA Regional Offices, in turn, provide technical backstopping to DAs as part of the Agency's facilitation role, to ensure that set targets are achieved. This chapter presents the different phases in the Service Delivery Cycle, and the roles and responsibilities of different stakeholders involved in each.

The Service Delivery Cycle begins with promotion and ends with post-construction, monitoring and evaluation (see figure 1). It consists of two parts: **Facility delivery**, which encompasses the phases of promotion to handing over; and **Service delivery**, which is activated once handing over is accomplished.

Figure 1 Service Delivery Cycle



The Service Delivery Cycle is based on a typical project approach for the delivery of WASH services. When a Sector Wide Approach is applied or a WASH project is funded by non-public sources—the initial phases of promotion and application may not be applicable, and the process may commence from the pre-selection phase.

During emergency situations, where WASH services have to be provided to address immediate public health needs and concerns, the process may be modified, in consultation with CWSA. An emergency situation is when it has been affirmed by the National Disaster Management Organisation or the Government of Ghana as an issue of national security.

⁸ The Community WASH Project Cycle is a typical project approach described in detail by Community Water and Sanitation Agency. See: CWSA, 2014. *Project Implementation Manual*. Accra: CWSA.

Under the District Health Department, the Environmental Health Section promotes the use of institutional latrines in basic schools, clinics and health centres in the district, in collaboration with the Education Section of the Education, Youth and Sports Department. The Water Section of the DWD, in collaboration with the Education and Health Directorates, supports in the selection of beneficiary institutions. Health management committees are established in the selected institutions to, along with selected school health education coordinators (teachers), continuously promote hygiene and sanitation. Both receive training on promotion, user education and facility management. The Environmental Health Section, in collaboration with SHEP Coordinators, supervises the construction of facilities, monitors capacity building activities, and facilitates the approval and signing of Facilities Management Plans for institutions. Institutional latrine delivery shall form part of the community / town proposal and follow the same cycle as the water component. The technology options for promotion are:

- 4-10 seater KVIP latrines
- Pour-flush toilets
- Water closets (in small towns)

4.3.4 Hygiene promotion

Hygiene promotion emphasises the potential health benefits of improved water and sanitation facilities, and helps users to appreciate the need for proper operations and maintenance. Hygiene promotion is integrated in the delivery of institutional latrines, with a special focus on school children, as agents of behavioural change. Effective hygiene promotion needs a good knowledge base and understanding of the possible barriers and resistance to behavioural change, as well as factors that may facilitate the adoption of new behaviour - results of all baseline studies or information shall provide the basis for the development of hygiene promotional messages.

Messages on the benefits of proper disposal of faeces and refuse, handwashing with soap at critical times, pump site maintenance, proper handling and storage of water, proper handling of food, personal hygiene, general environment cleanliness and HIV/AIDS feature prominently in hygiene promotion activities at all levels, using a participatory approach. The Participatory Hygiene and Sanitation Transformation (PHAST) tool kit and the F-diagram is used in all hygiene promotion activities.

Hygiene promotion targets the general community and institutions. However to ensure the sustained promotion of hygiene and practise of new behaviour, groups like landlords or home owners, community leaders, women, Community-Based Organisations, children, Parent-Teacher Associations and food vendors are targeted. Consultants/POs are supported by the WSMT, DWD, EHAs, teachers, health management committees, school hygiene clubs, community leaders or champions, among others, to undertake hygiene promotion activities. Some strategies to get messages across include: puppetry in the local dialect, drama, songs, community radio advertisements, and discussions, in addition to the dissemination of flyers, posters and stickers.

Information, Education and Communication (IEC) materials and tools are used as resource materials for community mobilisation, sanitation and hygiene promotion.

4.3.5 Capacity building

Capacity building, which is the transfer of knowledge and skills, is key to the successful implementation of a project, and to ensure that services delivered are sustained. Key stakeholders at regional, district and community levels shall receive adequate training and/or orientation to enable them to perform the roles assigned to them.

The process for promotion include:

Selection of consultants/partner organisations: The DA, with support from the CWSA Regional Office, selects HES consultants for small towns, and partner organisations (POs) for rural communities, to implement hygiene education and sanitation activities.

Promotion and demand creation: The DA facilitates community entry activities designed by consultants/partners organisations that provide technical assistance. Consultants/POs, supported by Environmental Health Assistants (EHAs) and Community Development Officers (CDOs), provide information on the sanitation programme and raise awareness on hygiene and sanitation. A baseline survey is carried out by the consultant/PO to obtain an assessment of the community's sanitation conditions.

Commitment building and planning: Consultants/POs, EHAs and CDOs help rural communities / small towns to translate their awareness to commitments to construct latrines; e.g., development of community action plans. Consultants/POs support in implementing these by organising follow-up meetings with interested households, supported by WSMTs, to further deepen commitment to the community's sanitation requirements. From this, sanitation volunteers/natural leaders are identified and trained to take upon the responsibility to assist or support the community's effort for total elimination of open defecation.

Construction: The DA facilitates the mobilisation, interviews, selection and training of artisans. Consultants/POs establish the modalities needed to link households with artisans for latrine construction. Households prepare for construction by gathering sand and stones, digging pits, raising funds, etc. The DA, through the District Environmental Health Department, provides technical support for latrine construction, which includes siting of latrines, and upgrade of latrines as found in the sanitation ladder.

User education and maintenance: Consultants/POs, supported by EHAs and CDOs, provide facility user education. District Assemblies and WSMTs facilitate meetings with households to create community awareness and mobilise support for continuous hygiene education, sanitation promotion and maintenance of facilities.

Follow up: The DA monitors all sanitation activities during construction and post-construction. The District Works Department (DWD)/ EHAs/CDOs, in collaboration with relevant stakeholders, plan and monitor the activities of consultants, POs and WSMTs. Verification of communities applying for ODF status is organised by the DA, in collaboration with other stakeholders, using guidelines of the Environmental Health and Sanitation Directorate. The DWD, with support from the District Environmental and Sanitation Officer, provides backstop support to WSMTs for post-ODF status activities by implementing community action plans, and promoting increased uptake of improved latrines to ensure that ODF status is attained and sustained.

Baseline reports, sanitation maps, ODF guidelines, amongst others, provide the necessary guidance in monitoring hygiene and sanitation activities. The DA shall also organise periodic stakeholders' collaborative meetings to share best practises and lessons learnt.

4.3.3 Institutional sanitation

Institutional sanitation promotion covers basic schools, clinics and health centres in the public and private domains of the community / town. Targeting schools helps to improve hygiene and sanitation in schools, and reinforces household and community actions. Schools provide a good venue to encourage positive behaviour change. Children are therefore considered powerful change agents to reach homes, through knowledge and use of hygiene and sanitation practises learnt at school.

3.1 Promotion phase

The **objective** of this phase is to sensitise and create stakeholder awareness at the national, regional, district and community levels on the scope of the project (what it has to offer), financing arrangement, how communities / towns can benefit from the project, and the roles and responsibilities of the stakeholders. It is executed within three months, and delivers the following **expected outcomes**: Increased stakeholder awareness on the project at national, regional, district and community / town levels; and community / town to initiate actions on how to expand project support.

Activities carried out during the promotion phase are:

- Preparation of project information flyers.
- Project launch at national level.
- Project launch at regional level (start-up workshop).
- Project launch at district level (start-up workshop).
- Campaigns at zonal / area council levels.

Responsibilities of stakeholders in carrying out the activities described above are enumerated here.

The **Regional Coordinating Council**:

- Organises and serves as chair of the regional launch, in collaboration with the CWSA Regional Office. A Memorandum of Understanding shall be signed with the CWSA Regional Office at the end of the workshop, detailing the obligations of each party during WASH services implementation and post-implementation.
- Invites all key stakeholders at the regional level and participating districts to the regional launch.
- Participates in the district launch, which shall take the form of a workshop, hosted and chaired by the respective District Assembly.
- Signs a Performance Agreement with the District Assembly, detailing the roles of each party during WASH services implementation and post-implementation. The signing of the Performance Agreement shall be witnessed by a representative of the CWSA Regional Office.

The **District Assembly**, through the District Works Department, is responsible for the following activities:

- District launch (start-up workshop)
 - Organises and chairs the district launch as a special event outside the General Assembly meeting to allow sufficient time for discussion and reaching consensus on issues pertinent to the success of project / programme implementation, and post-implementation. The cost of organising the launch shall be shared between the DA and the Project - modalities for cost-sharing shall be agreed between the DA and the Project Management Team.
 - Invites all key stakeholders at district level, including key interest groups.
- Organises zonal campaigns to provide information to communities / towns on the project. Assembly members, Area/Town council and unit committee members, Chiefs, Queen mothers and other opinion leaders within the community / town shall be the targets for the campaigns.

⁹

A Memorandum of Understanding (MoU) template is available as Annex I

The **Community Water and Sanitation Agency**, through the regional office:

- Prepares and distributes project information flyers to the RCC and DA.
- Coordinates the organisation of the regional launch, with the RCC.
- Makes a presentation on the project's scope, financing arrangements, and roles and responsibilities of key stakeholders during the regional and district launches.
- Participates in zonal campaigns to support the DA in addressing concerns raised during campaign events.

Beneficiary community / town: At this phase of implementation no specific role is played by the beneficiary community / town. However, the community shall be mobilised by Assembly members to attend zonal campaigns.

Private Sector: No private sector contracting takes place during this phase, and therefore there is no private sector involvement.

3.2 Application phase

The objective of this phase is to actualise the demand-responsive approach for service delivery to ensure some level of transparency, accountability and equity in allocation of WASH investments across the district. The expected outcome of this phase is a completed application form of the community / town, submitted through a community representative or Assembly member for project support, subsequently verified by the DA.

Activities carried out during the application phase are:

- Distribution of application forms to communities through Assembly members
- Receipt and collation of filled Application Forms
- Verification of information provided on Application Form

Responsibilities of stakeholders in carrying out the activities described above are enumerated here.

The **District Assembly**, through the District Works Department, undertakes the following:

- Reproduces and distributes application forms to communities / towns through its Assembly members.
- Receives completed applications forms from communities / towns.
- Verifies information in completed application forms, with support from Environmental Health Assistants (EHAs) stationed in the zones, with supervision from the Environmental Health Officer.

The **Community Water and Sanitation Agency**, through the CWSA Regional Office, fulfils the following tasks:

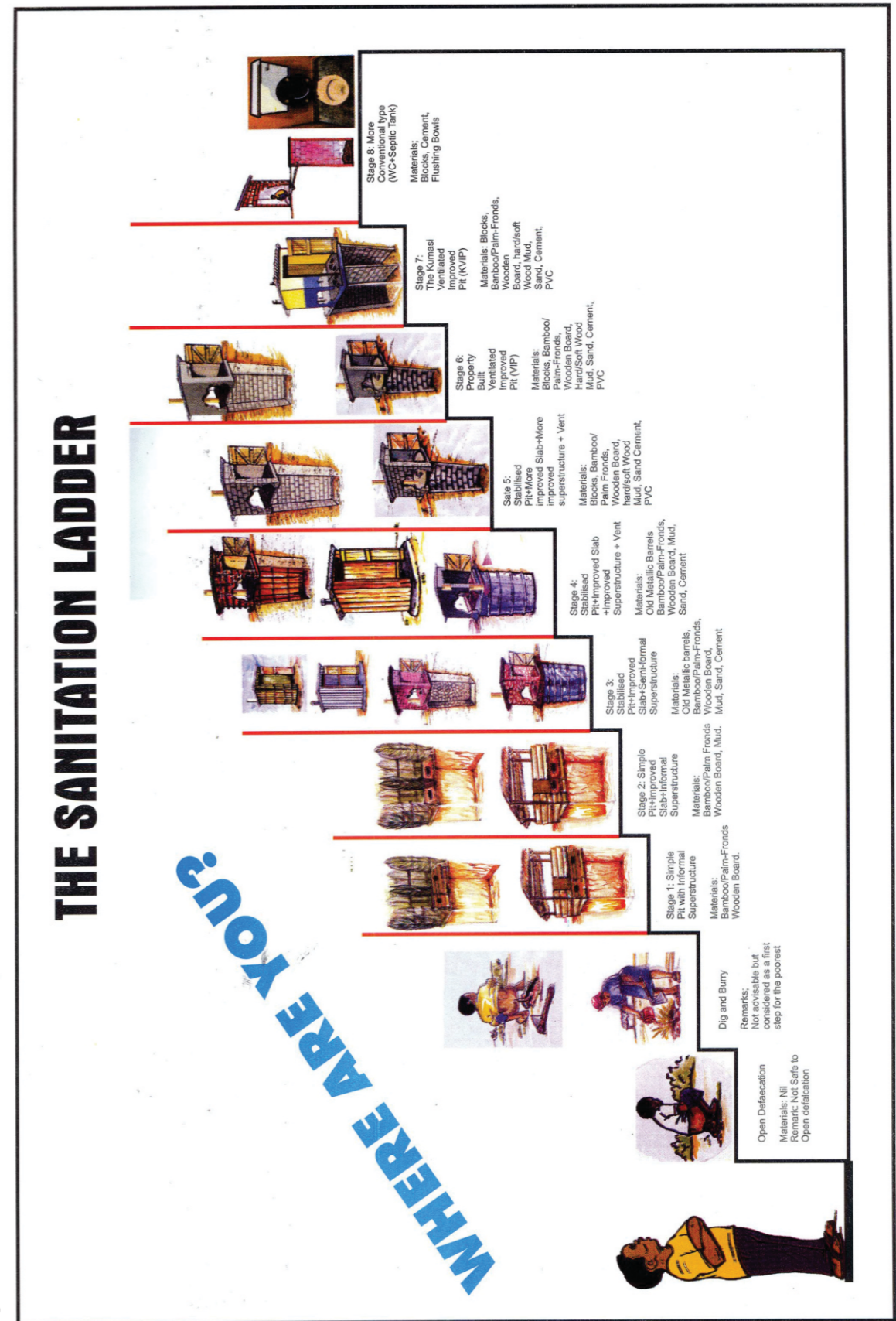
- Monitors to ensure that the DA uses the approved Application Form
- Monitors to ensure communities / towns receive the Application forms and duly fill and sign them as required.

This shall be done through monitoring visits to some communities / towns by Extension Services Specialists from the regional office.

The **Beneficiary community / town** carries out the following activities:

- Holds community / town meetings with Assembly members to discuss the content of the application form, with facilitation support from the EHAs.
- Decides on water and sanitation needs, and completes the application form with support from Assembly members or the EHAs.

Figure 2: The Sanitation Ladder



Sanimarts also serve as hygiene and sanitation resource centres. For small towns, a mix of approaches are employed, depending on the settlement pattern of a town. The CLTS approach is most useful for settlements in lower-income segments; in the middle- and upper-middle-income segments, more aggressive social marketing techniques are useful. Home owners are encouraged to construct their own latrines, using their own resources.

In both rural communities and small towns, viable financial mechanisms (credit schemes, seed fund, etc.) are deployed during the promotion process. Other support mechanisms, such as “Nnoboa”, can also be an effective way to increase latrine construction. Where appropriate, some form of support, for example providing free slabs, may be extended to the poor in beneficiary communities/ towns. Technologies promoted under the small town sanitation component include:

- 1-2 seater KVIP latrines
- Pour-flush toilets
- Ecosan
- Water closet

²⁰ Kumasi Ventilated Improved Pit

- Ensures that the community / town Chief, Queen mother and Assembly member sign the application form.
- Submits the application form to the DA, through a representative of the community or the Assembly member, EHA or Community Development Officer (CDO).

Private Sector: No private sector contracting takes place during this phase, and therefore there is no private sector involvement.

3.3 Pre-selection phase

The objective of this phase is to ensure transparency and equity in allocation of facilities. Through a careful pre-selection process, communities / towns in dire need of WASH services are selected to benefit from the district investment package. The expected outcome of this phase is a prioritised list of beneficiary communities / towns.

During the pre-selection phase, the activities undertaken by stakeholders are detailed here.

The **District Assembly**, undertakes the following :

- Pre-selects communities / towns using the selection criteria issued by the CWSA. This shall be carried out by the water section in collaboration with the Community Development and the Environmental Health sections and other staff of the DA as appropriate
- Reviews and endorses the pre-selected list by the appropriate sub- committee of the Assembly
- Approves the endorsed list by the Executive committee of the Assembly
- Ratifies the approved list by the General Assembly at the subsequent General Session Officially informs the CWSA regional office of the pre-selected communities / towns
- Informs the selected communities / towns of the outcome of their application through their respective Assembly members

The **Community Water and Sanitation Agency**, through the regional office, fulfils the following:

- Monitors the pre-selection process, ensuring that the DA uses the pre-selection criteria issued by the CWSA, and that the DA follows through with all steps outlined above.
- Carries out sample validation of the pre-selected communities / towns submitted by the DA.

The **Beneficiary community / town** undertakes the following:

- Monitors the pre-selection process, through the Assembly member, to ensure transparency and equity.
- Demands accountability from the DA, through the Assembly member, in cases of any mistrust in the process. This shall be done in writing to the Complaints Committee of the Assembly, with a copy submitted to the RCC and CWSA Regional Office.

Private sector: No private sector contracting takes place during this phase, and therefore there is no private sector involvement.

3.4 District investment approval phase

The objective of this phase is to ensure equitable distribution of investments in WASH facilities to promote district-wide development. The expected outcomes are: approved district investment levels; and approved annual work plans and budgets.

¹⁰ An application form template is available as Annex II.

Activities carried out during the district investment approval phase are as follows:

- Determination of regional investment levels.
- Approval of district investment levels.
- Approval of annual district work plans and budgets.

Responsibilities of stakeholders in carrying out the activities described above are enumerated here.

The **Regional Coordinating Council** conducts the following:

- Determines and approves district investment levels in collaboration with CWSA regional office based on regional statistics on water and sanitation coverage, disease pattern and information from CWSA head office on committed funds for water and sanitation delivery in the region over the medium-term budgeting period
- Monitors the implementation of approved district annual work plans and budgets through participation in joint monitoring visits and review of progress reports submitted by the DA and regional CWSA office

The **District Assembly**, through the District Works Department conducts the following :

- Prepares the district's first year implementation work plan and budget, based on the approved district investment level.
- Presents the first year work plan and budget during an RCC meeting.
- Presents the updated work plan and budget on an annual basis, over the medium-term period, to the RCC and CWSA Regional Office for approval.
- Submits quarterly and annual progress reports to the RCC and CWSA Regional Office on the implementation of annual plans and budget.

The **Community Water and Sanitation Agency**, through its Regional Office:

- Estimates district investment levels based on regional coverage statistics, committed funding for WASH delivery in the region, and other relevant data.
- Presents district investment levels at an RCC meeting for review and approval.
- Provides technical support to the RCC in the review and approval of district annual work plans and budgets.

The **Beneficiary community / town**: No contact is made with the community / town during this phase.

Private sector: No private sector contracting takes place during this phase, and therefore there is no private sector involvement.

3.5 Community / town mobilisation and participatory planning phase

The objective of this phase is to promote and mainstream the concept of community ownership and management by involving all stakeholders in decision-making and planning processes. Its expected outcomes are: a community / town Facility Management Plan or Proposal detailing how the community / town intends to address its water and sanitation needs; a trained gender-balanced Water and Sanitation Management Team; and in the case of small towns, a draft detailed design of the water facility and draft tender documents.

¹¹The selection criteria are included as Annex III.

4.3 Hygiene education and sanitation delivery

In the NCWSP, hygiene education and sanitation (HES) promotion seeks to result in behaviour change, through intensive awareness creation activities. Effective HES promotion creates a critical mass of people within a beneficiary community / town to demand for the construction of sanitation facilities and advocate for the practice of good hygiene. Its activities also strengthen the capacity of the private sector to construct sanitation facilities. Specifically, HES aims to achieve the following in beneficiary communities / towns:

- Safe confinement and disposal of excreta and other household/community waste materials.
- Safe handling and use of water.
- Personal, domestic and environmental hygiene.
- Regular handwashing with soap, particularly before and after “critical times” (e.g., before handling food, after defecation, etc.)

Community-Led Total Sanitation (CLTS) and aggressive social marketing are considered key strategies for HES promotion to create demand. These are supported by the establishment of sanitation markets (also referred to as sanimarts) and credit schemes that facilitate construction of household latrines. CWSA provides technical support to DAs in planning and implementing HES interventions.

District Assemblies support the work of consultants and firms that provide technical assistance to beneficiary communities / towns through the selection and introduction of communities, training of artisans, establishment of sanimart, and construction of facilities. District Assemblies also take responsibility for post-project follow-up activities that ensure the sustainability of HES promotion.

4.3.1 Household sanitation promotion

The CLTS approach is the strategy of choice for the promotion of household sanitation to rural communities. The approach requires the community to take initiative to address its own sanitation problems, and is complemented by technical support received from external agencies or partners. The approach introduces several participatory tools, which catalyse collective action for the elimination of open defecation. Typically, the CLTS approach is implemented in three stages:

1. During the **pre-triggering stage**, baseline data is collected and plans, processes and materials in support of the second stage are developed and finalised.
2. During the **triggering stage**, communities are introduced/ exposed to the hygiene and sanitation situation in their area. A new, renewed or intensified collective drive and/ or commitment to work towards social change is the outcome of the second stage.
3. During the **post-triggering stage**, community members' commitment to social change are operationalised through the implementation of action plans (e.g., immediate elimination of the practice of open defecation). An outcome of the third stage is heightened demands for the construction of latrines, based on a community's immediate environment and financial ability of household to pay for these.

4.3.2 Sanitation promotion

The sanitation ladder shall serve as a guide for the promotion of sanitation under the CLTS approach. The sanitation ladder shows how faecal matter can be confined even at the basic level, with gradual progression up the ladder when resources become available. Sanitation markets showcase various latrine models, found in the sanitation ladder (see figure 2), based on different materials and cost.

4.2.2 Water sources

The main sources of water, in order of priority, for NCWSP implementation are:

- Groundwater
- Surface water
- Springs
- Rainwater
- GWCL system

Groundwater is the first water source of choice owing to spatial availability, low capital investment, low operations and maintenance cost, and the relatively good quality water it generates - combined, these factors best fit COM. Rainwater harvesting is deemed appropriate for institutions such as schools, health centres and clinics where groundwater cannot be developed to meet the water needs of institutions. Should a river (surface water) or a spring be developed as the source of water for the beneficiary community / town, there shall be at least a 10-year flow measurement record of the river or spring available to determine the mean long-term flow for a decision to be taken on the suitability of the source for development. The raw water quality of the river or spring should also be good.

4.2.3 Technology options

The type (and number) of technology options for development in the beneficiary community / town depends on the following factors: settlement classification, population size, and the number of people served by each technology option.

The NCWSP defines a rural (small) community as a settlement with a population in the range of 75-2000. A small town is a settlement with a population in the range of 2001-50,000 people.

Appropriate technology options for **rural (small) communities** are as follows:

- 75-299 people: Hand-dug wells with a hand pump, each serving a population of not more than 150 people. Where the construction of hand-dug wells is not feasible, a borehole fitted with a hand pump is provided.
- 300-1200 people: Boreholes with a hand pump, each serving a population of not more than 300.
- 1201-2000 people: A limited reticulated system, based on a spring, groundwater or surface water source, transmission, storage and limited distribution network.

Appropriate technology options for **small towns** are as follows:

- 2001-4999 people: A limited reticulated system, based on a spring, groundwater or surface water source, transmission, storage and limited distribution network.
- 5000-50,000 people: A fully reticulated system, based on groundwater or surface water source, transmission, storage and extensive distribution network.

In circumstances where none of the above technologies are considered appropriate, the feasibility of providing a GWCL system connection to the beneficiary community / town is studied. The decision for a GWCL system connection is agreed and signed upon between the relevant parties.

Rainwater harvesting technology is implemented in schools, clinics, health centres and small communities where groundwater development is insufficient, and a GWCL system connection is not cost-effective. CWSA design standards and guidelines form the basis for the design of alternative water schemes.

Activities carried out during the community / town mobilisation and participatory planning phase vary depending on type of beneficiary: rural community or small town.

For **rural communities**, activities may include the following:

- Contracting of the Technical Assistance (TA)/ Partner Organisation (PO)
- Introduction of the PO to communities
- Community mobilisation and participatory planning
- Monitoring of TA/PO performance
- Preparation and submission of progress and final reports by TA/PO

For **small towns**, activities may include the following:

- Contracting of TA.
- Introduction of TA to small towns.
- Community mobilisation and participatory planning.
- Source establishment, including test drilling.
- Preparation of preliminary and detailed designs.
- Preparation of draft tender document.
- Support to DA in the preparation of tender documents, as appropriate.
- Training of WSMT and staff of the water section of the DWD.
- Monitoring of TA performance.
- Submission of progress and final reports.

Responsibilities of stakeholders in carrying out the activities described above are enumerated here.

The **District Assembly**, through the District Works Department, undertakes the following:

- Prepares a Request for Proposal (RFP), ensures placement of advertisement, receives and evaluates proposals, and awards and signs contract with the successful TA/PO.
- Introduces the TA/ PO to beneficiary communities / towns by organising initial meetings.
- Monitors the performance of the TA/PO, using the CWSA-approved TA/PO Performance Monitoring Framework, to ensure that obligations set out in the contract are being met.
- Reviews all progress reports, including the draft final report of the TA/PO, and submit comments to the TA/ PO with copies to the CWSA Regional Office.
- Prepares a draft tender document using CWSA-approved terms of reference (TOR) for small towns water supply schemes.

The **Community Water and Sanitation Agency**, through its Regional Office:

- Provides technical support to the DA in RFP preparation, proposal evaluation and contract awarding. In general, the Regional Office participates in all steps leading to contract award for quality assurance.
- Organises orientation sessions for the TA/ PO team to ensure that they fully understand the requirements of the assignment, and are well prepared before they enter the beneficiary community.
- Provides technical support to the DA in the preparation of the draft tender document.
- Supports the DA through periodic joint monitoring to assess the performance of the TA/ PO.
- Reviews all progress reports and, including the draft final report of the TA/PO, and submits comments to the DA.

¹² The Performance Monitoring Framework is included as Annex IV.

¹³ The CWSA guidelines and standards are included as Annex V.

The **Beneficiary community / town** participates in the initial meetings with the TA/PO to discuss and identify WASH needs, and to elect members of the Water and Sanitation Management Team in accordance with CWSA guidelines and standards. Subsequent meetings to discuss and consolidate the community / town Facility Management Plan or proposal shall be done with the WSMT, which represents the community / town.

The **Private sector**, represented by the Partner Organisation (PO) in rural communities, or the Technical Assistance (TA) firm working in the small towns, shall perform their duties in accordance with the CWSA guidelines.

For rural communities, the TA/PO:

- Mobilises and guides the community through participatory planning and decision-making to identify and decide on its water and sanitation needs.
- Guides the community to establish a WSMT and provide them with the initial training and skills as per the contract.
- Sensitises community members on good hygienic practices i.e. safe faecal disposal, proper storage of water and hand washing at critical times
- Submits quarterly progress reports to the DA with copies to the CWSA regional office on its activities
- Submits a draft final report to the DA with copies to CWSA regional office on completion of assignment for review and comments.

For small towns, the TA firm :

- Mobilises and guides the town, through participatory planning and decision making, in identifying and deciding on its WASH needs.
- Guides the town in the establishment of the WSMT, and provides the team with initial training and skills development as per the contract.
- Prepares the preliminary design of the water facility, and presents it to the town for endorsement.
- Engages the services of a drilling contractor to carry out test drilling, for the establishment of the water source. Where groundwater is not a feasible option, the TA shall carry out the assessment of sources available within the town's vicinity.
- Prepares a detailed design of the water facility, based on CWSA design guidelines and standards, and submits a draft to the DA, with copies to the CWSA Regional Office, for review and comments.
- Supports the DA in the preparation of the tender document.
- Submits quarterly progress activity reports to the DA, with copies to the CWSA Regional Office.
- Submits a draft final report to the DA, with copies to the CWSA Regional Office, on completion of the assignment, for review and comments.
- Submits a final report, incorporating all relevant comments received, to the DA as per contract obligations, with copies to the CWSA Regional Office.

3.6 Appraisal phase

The objective of this phase is to assess the technical feasibility of the proposed solutions to address the water and sanitation needs of the community / town and the cost implications. For small towns it is also to enable the DA/CWSA review the draft designs by the TA firm. Expected outcomes include an approved Facility Management Plan (FMP) or designs for funding; and a list of WASH facilities for construction.

CHAPTER 4: COMPONENTS OF WATER, SANITATION AND HYGIENE DELIVERY

The National Community Water and Sanitation Programme (NCWSP) is implemented through the provision of safe WASH services, including hygiene promotion, to rural communities and small towns across the country. This chapter outlines the processes and technology options to be followed by the DA in the provision of WASH services under the Programme.

4.1 Community Ownership and Management

Community Ownership and Management (COM) is a concept that enjoins the beneficiary community / town to take full responsibility of the operations and maintenance (O&M) of their WASH facilities. Gender-balanced Water and Sanitation Management Teams (WSMTs) take a lead in mobilising community support and action for O&M activities, detailed in the community's Facility Management Plan (FMP) for rural communities, or proposal for small towns. The DA, in turn, ensures that WSMT members receive adequate training to fully perform their tasks.

Community Ownership Management is facilitated through community mobilisation and participatory planning processes. To trigger COM, the DA selects a competent firm (technical assistance) to, among others, introduce the beneficiary community / town to COM's working principles. The DA ensures that technical assistance rendered by the firm is in accordance with standards and tools developed by CWSA for community mobilisation and participatory planning.

4.2 Water provision

4.2.1 Feasibility study

Water provision in small towns starts with a feasibility study that assesses the water demands of a beneficiary community / town, and the availability and capacity of water resources within a reasonable distance to meet that demand.

Ground water assessment is conducted by a competent hydro geologist or firm that is contracted by the DA. The contracted consultant/firm carries out hydrogeological investigations, selects appropriate sites for drilling, and supervises actual drilling, pumping testing and water quality analysis. Reports covering all activities are submitted, and on the basis of these, the DA updates its sample Request for Proposal (RFP) for borehole siting and drilling supervision, to facilitate the selection of a firm for the assignment.

Surface water assessment is conducted by a competent water engineer/firm contracted by the DA to analyse demand and river flow measurements in a specific district. A report from the consultant/firm is received by the DA to help in decision-making processes.

Feasibility studies are also carried out where a spring, rainwater or connection to the Ghana Water Company Limited (GWCL) system is the only source option available for the beneficiary community / town.

¹⁹ The standards and tools developed by CWSA for community mobilisation and participatory planning are found in Annex VIII.

The **Community Water and Sanitation Agency**, through its Regional Office:

- Participates in quarterly and annual progress review meetings.
- Collaborates with the TA in organising and participating in joint monitoring and evaluation visits.
- Supports the DA in planning and undertaking service level and functionality data collection.
- Supports the DA in analysing data, preparing reports for circulation to key stakeholders, and in taking follow-up actions.
- Takes the lead role in defining the technical solutions and related costs for facilities that are earmarked for rehabilitation, upgrade and expansion.
- Captures the selected solutions and costs in the CWSA investment planning process.

The **Beneficiary community / town**, through the WSMT:

- Participates in the joint monitoring and evaluation visit in the community / town.
- Supports the DA in collecting functionality and service level data.
- Takes or assists in taking corrective actions arising from the analysis of data collected.
- Holds bi-annual meetings with the community / town to account for its stewardship.

The **Private sector**, through the TA:

- Prepares all reports and other relevant documents for the quarterly and annual review meetings.
- Make presentations at the meetings and takes minutes.
- Follows up and take appropriate actions on all decisions taken at the meetings.
- Organises and leads the joint monitoring and evaluation visits.
- Provides support to the DA in collecting on-going functionality and service level data.
- Provides support to the DA in analysing data and taking follow-up action.

¹⁸ CWSA , 2014- *Framework for assessing and monitoring rural and small town water supply services in Ghana* - Accra, CWSA/GoG .

Activities carried out during the appraisal phase include:

- Setting up of technical team for the appraisal
- Reviewing of FMP/Proposal
- Approval of FMP/Proposal for funding

Responsibilities of stakeholders in carrying out the activities described above are enumerated here.

The **District Assembly**, through the District Works Department:

- Sets up a technical team of experts, on the relevant subject matter, to appraise the proposal received by the DA from community / town applicant.
- Prepares and submits the list of beneficiary communities / towns, complete with information on population, type and number of facilities assigned, for RCC and CWSA Regional Office endorsement.

The **Community Water and Sanitation Agency**, through its Regional Office, supports the DA in the appraisal process to ensure that the criteria are rigorously applied.

The **Beneficiary community / town**, through the WSMT, may be invited to explain certain aspects of its FMP/ proposal, as the technical team may decide.

The **Private sector**, through the TA firm or PO, shall provide support to the WSMT when it is invited by the technical team to clarify aspects of the FMP or proposal.

3.7 Tendering and contracting phase

The objective of this phase is to promote competition and obtain value for money in the selection of contractors for the execution of works. The sustainability of service delivery depends greatly on the quality of works executed by contractors. It is therefore incumbent on all stakeholders especially the DA to ensure the process is transparent and competitive. The processes outlined in the Public Procurement Act shall be strictly followed by the DA during this phase. The expected outcome is to select qualified and experienced contractors to construct the water and sanitation facilities; and to achieve value for money.

Activities carried out during the tendering and contracting phase are:

- Preparation of tender document or RFP.
- Placement of advertisement in national dailies.
- Receipt and processing of tenders.
- Evaluation of tenders.
- Selection and awarding of contract.
- Preparation of contract document.
- Signing of contract document.
- Construction of WASH facilities/ provision of services.

Responsibilities of stakeholders in carrying out the activities described above are enumerated here.

The **Regional Coordinating Council** coordinates and monitors the process of tendering and contracting to ensure stakeholder compliance with all statutory requirements, such as the Public Procurement and CWSA Acts. Where it is considered necessary to combine districts to achieve economies of scale, the final decision on contract awarding is taken in a meeting presided over by the RCC, with involvement of the participating districts and CWSA. The tendering and awarding processes shall be carried out under the auspices of a lead district or the RCC as appropriate.

¹⁴ The appraisal process shall be carried out using criteria established by the CWSA, as found in Annex VI.

The **District Assembly**, through the District Works Department, undertakes the following:

- Prepares the draft tender document or RFP, using the public procurement manual, for particular services, goods or works
- Places adverts in national daily newspapers.
- Receives tenders and carries out a public opening of the tenders, as stipulated in the tender document.
- Sets up an Evaluation panel comprising members in and outside the DA with expertise on the tender's subject. Members of the panel shall evaluate the tenders and submit an evaluation report using the standard template of the Public Procurement Authority (PPA).
- Submits the panel's evaluation report to the District Entity Tender Committee for approval, or to the District Tender Review Board for concurrent approval and contract awarding.
- Prepares the contract document.
- Signs the contract with successful contractor, after receipt of acceptance letter.

The **Community Water and Sanitation Agency**, through its Regional Office:

- Supports the DA in the preparation of the tender document/RFP to ensure that the DA meets all requirements of the PPA and CWSA.
- Participates in the public opening of tenders to ensure compliance to the requirements outlined by the PPA.
- Provides technical support to the DA in the evaluation process to ensure that the evaluation process is transparent, and is carried out in accordance with the evaluation process outlined in the tender document.
- Reviews and approves the draft contract prepared by the DA.

The **Beneficiary community / town**, through an Assembly member, monitors the tendering and contracting process, and demands for accountability from the DA.

The **Private sector**, through the TA, provides technical support to the DA, in collaboration with the CWSA Regional Office, to ensure that activities are carried out in a transparent manner, and in accordance with the requirements of the Public Procurement Act.

3.8 Construction, supervision and community development phase

The objective of this phase is to ensure that works are carried out to the required specifications, standards and quality acceptable to all stakeholders, especially the beneficiary community / town. A secondary objective is the consolidation of community mobilisation and training activities, especially in the areas of hygiene education and sanitation promotion. The expected outcomes of this phase are:

- WASH facilities are constructed to design specifications and standards using quality materials to provide sustainable services to the communities/towns
- The works are completed within the contract sum and duration
- Management teams are sufficiently trained, equipped and ready to assume responsibility for the operation and maintenance of the water and sanitation facilities
- Community/town members practice good hygiene behaviour and initiate action to construct household toilets

¹⁵ For more details, see chapter 5.2.1 Procurement entity.

¹⁶ Public Procurement Authority, 2003 - Public Procurement Manual – Accra, PPA/GoG available at http://www.ppaghana.org/documents/FINALMANUA_L_PPB.pdf?story_id=27

The **Private sector**, through the contractor:

- Prepares and submits as-built drawings to the DA, with copies to CWSA Regional Office and the WSMT during the one-year defects liability period.
- Procures and delivers O&M s and tools to the WSMT, where applicable.

3.11 Monitoring and Evaluation phase

The two-fold objective of this phase is to ensure the efficient and effective execution of project targets in terms of time, cost and quality; and to guarantee the sustainability of services delivered by the project. The expected outcomes of this phase are project completion on schedule and within the approved budget; WASH facilities are providing basic and reliable services on a sustainable basis; and communities / towns begin practising good hygiene and sanitation.

Activities carried out during the monitoring and evaluation phase are:

- Plan for and undertake functionality and service level monitoring.
- Analyse data and prepare reports for circulation to the RCC, DA, CWSA and other relevant stakeholders.
- Take follow-up actions to address issues identified.
- Define technical solutions and the related costs for systems that are three years to the end of their design life and are due for rehabilitation, upgrade and/or expansion.
- Capture data in district, regional and national investment planning processes.
- Hold quarterly and annual progress review meetings.
- Undertake joint monitoring and evaluation visits.

Responsibilities of stakeholders in carrying out the activities described above are enumerated here.

The **Regional Coordinating Council** undertakes the following:

- Organises and chairs quarterly and annual review meetings, in consultation with the CWSA Regional Office.
- Participates in joint project monitoring and evaluation visits.
- Follows up on issues of sustainability and functionality with the DA and the Regional Office to ensure that recommended actions are taken.
- Follows up on regional investment requirements for rehabilitation, upgrade and extension of services with the Ministries of Water Resources, Works and Housing, and Finance to ensure the timely release of funds to the DA.

The **District Assembly**, through the District Works Department:

- Participates in quarterly and annual progress review meetings.
- Participates in joint project monitoring and evaluation visits.
- Plans for and undertakes service level and functionality monitoring using the CWSA-approved Framework¹⁸.
- Analyses service level and functionality data, and prepares reports for circulation to key stakeholders.
- Takes appropriate actions to address issues identified.
- Participates in defining technical solutions and costing for facilities that are three years to the end of their design life.
- Captures the costs of selected technical solutions in the District Water and Sanitation Plan and the District Medium-Term Development Plan.

The **District Assembly**, through the District Works Department:

- Monitors the post-construction support rendered by the private sector to the WSMT.
- Reviews and approves user tariffs endorsed by the CWSA Regional Office.
- Reviews quarterly and annual management reports submitted by small town WSMTs, and takes appropriate corrective actions to ensure long-term sustainability of services.

The **Community Water and Sanitation Agency**, through its Regional Office:

- Provides technical support to the DA in monitoring of post-construction support activities rendered by the private sector, through joint monitoring visits.
- Provides technical backstopping for the construction of household toilets.
- Endorses proposed tariffs by the small town WSMT.
- Reviews quarterly and annual management reports and ensures that the DA takes appropriate corrective actions.

The **Beneficiary / community** in rural communities, through the WSMT:

- Prepares and executes maintenance plan for hand pumps and other motorised pumps after the one-year defects liability period.
- Mobilises community members to construct household toilets, and promotes the benefits of their progression on the sanitation ladder.

The **Beneficiary / community** in small towns, through the WSMT:

- Prepares and executes maintenance plan for motorised pumps and fittings, valves, metres etc.
- Records and analyses production and distribution data.
- Prepares quarterly and annual technical reports.
- Carries out periodic technical audit of the water supply system.
- Prepares annual budgets.
- Sets tariff.
- Bills institutional, commercial and household customers.
- Records and analyses revenue and expenditure data.
- Prepares quarterly and annual financial reports.
- Reviews and advises on the use of the sanitation account.
- Responds to customer complaints.
- Reviews and takes appropriate actions on technical and financial reports submitted by the operational staff.
- Prepares and submits quarterly and annual reports on the management of WASH services to the DA, with copies to RCC and CWSA Regional Office.

The **Private sector**, through the PO/TA, is responsible for the execution of the post-construction support phase by providing hands-on coaching to the WSMTs in carrying out their responsibilities. The PO/TA shall deploy staff with requisite expertise in the areas outlined during this phase to ensure that adequate skills transfer occurs. The PO/TA is also responsible for strengthening institutional support linkages by organising joint review meetings and follow-up actions with the DA and CWSA. Towards the end of the post-project support phase, the PO/TA shall ensure that the necessary for budgeting, financing and a plan for the continuation of support by the DA and CWSA is agreed upon by both parties.

Activities to be carried out in this phase are

- Holding initial meeting at the DA level with contractor
- Introduction of the contractor to the community / town by the DA
- Supervision of construction works
- Holding site meetings
- Training of Management Teams
- Promotion of sanitation and hygiene
- Finalisation of FMP (for small communities)

Responsibilities of stakeholders in carrying out the activities described above are enumerated here.

The **District Assembly**, through the District Works Department, undertakes the following:

- Organises an initial meeting between district-level stakeholders and the contractor to discuss the contractor's work plan, and other related issues. The meeting shall be attended by heads of departments at district level, identified in Chapter 2, a representative of the CWSA Regional Office, the Project Manager of the consulting firm, if applicable, and Assembly members from the beneficiary community / town.
- Introduces the contractor to the beneficiary community / town and organises discussions with the WSMT to share with them the contractor's work plan.
- Participates in site meetings to review the progress of works.
- Participates in joint monitoring of works with CWSA Regional Office.
- Monitors the training of the WSMT using the performance monitoring framework.

The **Community Water and Sanitation Agency**, through its Regional Office:

- Participates in the initial meeting with the contractor, at district level.
- Participates in site meetings to review progress of works.
- Monitors the training of the WSMT.
- Plans and carries out joint monitoring of works, with the RCC and DA.

The **Beneficiary community / town**, through the WSMT, carries out the following:

- Organises the initial meeting between the contractor and district-level stakeholders.
- Attends training sessions.
- Participates in site meetings to review progress of works.
- Monitors the construction works
- Finalises the FMP (for rural communities), based on the outcome of borehole drilling.
- Mobilises and assists community members in the construction of household toilets using the Community-Led Total Sanitation (CLTS) approach.

The **Private sector**, through the TA, carries out the following:

- Supervises the construction works to ensure compliance to technical specification, designs and quality standards.
- Organises site meetings, takes minutes of the meeting, and follows-up on decisions made during meetings.
- Trains the WSMT in specific areas, as detailed in the consultant's Terms of Reference.
- Certifies the invoice of the contractor for payment.
- Participates in initial and subsequent meetings at the community/ town level.

3.9 Handing over phase

The objective of this phase is to mark the practical completion of the WASH facility and the beginning of the defects liability period. It also serves as the beginning of activities by the WSMT for service delivery. The expected outcome is the presence of completed water and sanitation facilities that meets the expectation of all key stakeholders.

Responsibilities of stakeholders carried out during the handing over phase are enumerated here.

The **District Assembly**, through the District Works Department, is responsible for the following:

- Takes the lead role in the handing over phase by mobilising the WSMT, in collaboration with the CWSA Regional Office. Participates in the inspection of the completed facility, and signs the Practical Completion Certificate as the legal owner.
- Hands over the responsibility for operations and maintenance (O&M) of the facility to the WSMT, which operates on behalf of the DA.
- Signs the DA bye-law for WSMT Operations and Maintenance of the facility.

The **Community Water and Sanitation Agency**, through its Regional Office:

- Participates in the inspection of the completed facility and signs the Practical Completion Certificate as the facilitator.
- Participates in facility hand over to the WSMT, and signs the bye-law for WSMT O&M of the facility.

The **Beneficiary community / town**, through the WSMT:

- Participates in the inspection of the facility
- Signs the Practical Completion Certificate as the physical owner
- Takes over the facility to mark the beginning of its management functions
- Signs the DA bye-law for operation and maintenance of the facility

The **Private sector**, through TA:

- Prepares all relevant documents for the inspection.
- Leads the inspection of the facility and notes all decisions taken for follow-up action.
- Signs the Practical Completion Certificate as the consultant.

3.10 Post-construction support phase

- The objectives of this phase are to strengthen capacities of the DWD's water Section staff and WSMTs in rural communities and/ or small towns to manage the O&M of WASH facilities; and to strengthen institutional linkages for efficient facility O&M. The post-construction support phase runs for two years and is inclusive of the defects liability period, triggered by facility hand over. The expected outcomes are: staff of the water section of the DWD and Water and Sanitation Management Teams fully appreciate their roles and perform them as expected and they efficiently manage WASH facilities to deliver sustainable services to the users

Activities specific to rural communities and small towns carried out during the post-construction support phase are detailed here.

¹⁷ The Practical Completion Certificate is included as Annex VII.

Rural communities

Technical issues:

- Preparing and executing the maintenance plan for hand pumps and other motorised pumps after the one-year defects liability period.
- Mobilising community members to construct household toilets, and promoting the benefits associated with their progression on the sanitation ladder.
- Providing technical guidance for the construction of household toilets, using the CLTS approach.

Management issues:

- Strengthening the linkages between WSMTs, area mechanics, spare parts dealers and latrine artisans.
- Supporting WSMTs in organising community meetings, records keeping, establishing user rules and ensuring pump site maintenance.
- Reviewing and supporting the implementation of community Action Plans on hygiene and sanitation.

Small Towns

Technical issues:

- Planning and executing maintenance plan for motorised pumps and fittings, valves, meters etc.
- Recording and analysing production and distribution data.
- Preparing quarterly and annual technical reports.
- Carrying out periodic technical audit of the water supply system.

Financial issues:

- Preparing annual budgets.
- Setting tariff or user fees.
- Billing of institutional, commercial and household customers.
- Recording and analysing revenue and expenditure data.
- Preparing quarterly and annual financial reports.
- Reviewing and advising on the use of the sanitation account.

Management issues:

- Responding to customer complaints.
- Reviewing and taking appropriate actions on technical and financial reports submitted by the operational staff.
- Preparing and submitting quarterly and annual reports on the management of the water and sanitation services to the DA, with copies to RCC and CWSA Regional Office.

Hygiene and sanitation:

- Reviewing and supporting the implementation of community/ town Action Plans.
- Providing technical guidance for the construction of household toilets.

Institutional support linkages:

Organising quarterly and annual joint monitoring and review meetings involving RCC, CWSA, DA to follow up on O&M issues, and strengthen institutional linkages. Regional Coordinating Council is responsible for the overall coordination of the post-construction support phase, in collaboration with CWSA Regional Office. It shall participate in the joint monitoring activities, and organise and chair the quarterly and annual review meetings.