



**Torit County Rural
Water Service
Board**



Sustainability Monitoring Framework (SMF)

Sustainability Index (SI) As per October 2014

The SMF/SI instrument has been developed
by IRC for the Dutch WASH Alliance
www.washalliance.nl



Rural Water Services - Borehole with Hand Pump

#	Level	Sustainability Issue	Benchmark	F	I	E	T	S	Consumers' level	Management level	Governing level
1.	Consumers	Consumers (Community of users) (all groups; equity) have been involved in planning particularly in decision-making on the borehole/handpump technology and service level- = siting or where the boreholes/HP come and number of handpumps (distance to HP).	"1" if >=80% of sample size give positive response					0	0		
2.	Consumers	Women (from various socio-economic groups) have been involved in planning particularly in decision-making on borehole/handpump technology and service level (see previous issue).	"1" if >=80% of sample size give positive response					0	0		
3.	Consumers	Consumers have been informed on the financial implications of the borehole/handpump technology chosen and service level agreed (tariff is to cover OpEx as per government policy and regulation)	"1" if >=80% of sample size give positive response	1					1		
4.	Consumers	Consumers agreed (meaning they said to be able & willing to pay water tariff) on the financial implications of the technology chosen and service level agreed (tariff is to cover OpEx as per government policy and regulation)	"1" if >=80% of sample size give positive response	0					0		
5.	Consumers	The poorest quintile of consumers are (or have been) informed on the financial implications of the technology chosen and service level agreed (tariff is to cover OpEx as per government policy and regulation)	"1" if >=80% of sample size give positive response	0					0		
6.	Consumers	The poorest quintile of consumers are (or have been) informed and agree (meaning they said to be able & willing to pay water tariff) on the financial implications of the technology chosen and service level agreed (tariff is to cover OpEx, CapManEx (? or part?)), ... = as per government policy and regulation)	"1" if >=80% of sample size give positive response	0					0		
7.	Consumers	Consumers do understand the rights & roles as stated in Agreement with Water Management Committee (WMC) and with County Rural Water Service Board (CRWSB)	"1" if >=80% of sample size can mention at least 2 rights and at least 2 roles		1				1		
8.	Consumers	Consumers receive performance and financial information and/or reports from WMC at least once every 12 months	"1" if >=80% of sample size give positive response and mention both financial and technical issues		0				0		
9.	Consumers	Consumers can send complaints on water service to WMC.	"1" if >=80% of sample size give positive response					0	0		
10.	Consumers	Consumers indicate that their complaints are being followed up effectively and satisfactorily	"1" if >=80% of sample size give positive response					0	0		
11.	Consumers	Consumers are able to meet their obligations towards the WMC	"1" if >=80% of sample size give positive response = can mention at least two main obligations					1	1		
12.	Consumers	Consumers do pay the agreed tariff	positive if >=80% of sample size pay their monthly water charges/bill	0					0		
13.	Consumers	Consumers know key tasks/ responsibilities to maintain the area around the water points clean and how to protect the water source in order to keep water quality safe	"1" if >=80% of sample size give positive response = cleaning and/or pit latrines and/or waste dump sites at safe distance from water point			1			1		
14.	Consumers	Consumers carry out key tasks/ responsibilities to maintain the area around the water points clean	"1" if >=80% of sample size give positive response			1			1		
15.	Consumers	Consumers carry out key tasks/ responsibilities to protect the water source in order to keep water quality safe	"1" if >=80% of sample size give positive response			1			1		
16.	Consumers	Consumers report to WMC or CRWSB (via Payam Chief) on pollution and/or dumping of waste affecting the groundwater quality	"1" if >=50% of sample size give positive response			0			0		
17.	Consumers	Consumers are satisfied with service level provided (versus the tariff they pay)	"1" if >=80% of sample size give positive response					0	0		

18.	Consumers	Consumers agree on various service levels provided by WMC reflecting the affordability of various socio-economic groups in service area (in case of a piped water supply service)	"1" if >=80% of sample size give positive response					NR	NR		
19.	Consumers	All people in the service area have access to the improved water service	"1" if >=80% of sample size give positive response					0	0		
20.	WMC - Water Management Committee	WMC made clear agreements on service levels and tariffs	"1" if evidence through hard copy of signed agreement		0					0	
21.	WMC	WMC included in tariff the OpEx as per government policy and regulation and NOT the full life cycle cost (tariff is not (yet?) to cover LCC such as CapEx, CapManEx (in full or part))	"1" if evidence of calculation current water tariff and the inclusion of OpEx, or if some expenditures were not included then reasons have been stated why not included (e.g. external donor or government funding/contribution, gov't policy)	0						0	
22.	WMC	WMC is transparent towards Community-of-Users and CRWSB and communicates in reports on external financial contributions (e.g. from CRWSB, INGOs etc.) and how this has influenced the current tariff	"1" if evidence external financial contributions and how these influenced current tariff	0						0	
23.	WMC	WMC communicates to consumers in reports on service performance and financial accountability, at least every 12 months	"1" if evidence information has been provided on service performance and financial accountability - at least one/year	0						0	
24.	WMC	WMC communicates to CRWSB in reports on service performance and financial accountability, at least every 6 months	"1" if evidence information has been provided on service performance and financial accountability- at least twice/year	0						0	
25.	WMC	WMC has adequate number of financial/admin staff	"1" if evidence on presence of treasurer in WMC		1					1	
26.	WMC	WMC has financial/admin staff with adequate competence	"1" if evidence on education/training of treasurer according to WMC Manual		1					1	
27.	WMC	The WMC is a <i>legally</i> registered organisation	Evidence of required agreement documents		0					0	
28.	WMC	WMC uses a bookkeeping system with bank statements	"1" if evidence of required documents	0						0	
29.	WMC	WMC maintains a dedicated bank account exclusively for this water service contract	"1" if Bank account and name account are relevant for this water service	0						0	
30.	WMC	WMC conducts 6-monthly meetings with consumers	"1" if Meetings took place and at least every 6 months		0					0	
31.	WMC	WMC follows up issues raised in 6-monthly meetings with consumers within 3 months	"1" if evidence in follow up reports		0					0	
32.	WMC	WMC has a schedule for maintaining the environment of the water points and preventing pollution of the water source	"1" if evidence on plans for O&M regarding environment and pollution mitigation around borehole			0				0	
33.	WMC	WMC implements a schedule for maintaining the environment of the borehole and preventing pollution of the groundwater	"1" if evidence on clean environment and pollution mitigation around borehole			0				0	
34.	WMC	WMC has a comprehensive schedule for O&M functionality	"1" if evidence on schedule O&M for borehole/handpump				0			0	
35.	WMC	WMC implements a comprehensive schedule for O&M functionality	"1" if evidence on activities/effects on/from O&M around borehole/handpump and environment				0			0	
36.	WMC	WMC implements schedule of securing the water supply infrastructure assets	"1" if evidence on fencing and chain-padlock				0			0	
37.	WMC	WMC has an adequate number of technical staff: for borehole/handpump that is two caretakers	"1" if evidence of at least two caretakers per water point		0					0	
38.	WMC	WMC has technical staff with adequate competence, meaning they have been trained for their tasks	"1" if evidence on education/training of caretakers and training material		0					0	
39.	WMC	WMC Caretakers are motivated to continue doing their daily tasks in the water service delivery because they are being paid as agreed (no voluntary work)	"1" if at least one caretaker confirms she/he received payment as agreed		0					0	
40.	WMC	WMC members are motivated to continue doing their tasks in the water service delivery because they are their allowances being paid as agreed (voluntary work but with some incentives)	"1" if at least two WMC members confirms their received allowance as agreed		0					0	
41.	WMC	WMC is providing the option of various service levels for different socioeconomic groups of users considering their demand for higher service level and their capacity to afford?	"1" if evidence that various service levels are being offered	NR						NR	
42.	WMC	WMC has a current business plan	"1" if presence of hard copy BP	NR						NR	
43.	County Rural Water Service Board-CRWSB	CRWSB made clear agreements on service levels and tariffs with WMC	"1" if evidence on agreement on service level and tariffs for current service period		0						0
44.	CRWSB	CRWSB has a financial plan agreed with County (and State) government on specific cost items they have to finance in the full life cycle cost approach	"1" if evidence that LCC approach has been agreed/signed by County (and State) government	0							0
45.	CRWSB	CRWSB is loan worthy for local development and/or commercial banks to obtain loans for specific water service life cycle cost	"1" if evidence on past Board loans from bank(s) or Board loan worthiness	NR							NR
46.	CRWSB	The CRWSB is officially recognised/established as an executive and governing body within the County structures	"1" if presence legal Board Registration/establishment		1						1

47.	CRWSB	CRWSB has a contract /signed agreement with WMC with clear roles & responsibilities	"1" if evidence on clear roles and responsibilities between Board and WMC		0						0	
48.	CRWSB	CRWSB carries out 6-monthly audits (technical inspection) on water service performance of WMC	"1" if evidence on presence of technical performance audit report requested or conducted by Board			0					0	
49.	CRWSB	CRWSB has mitigation measures in case of below standard technical water service performance of WMC	"1" if evidence on mitigation or other measures for substandard technical performance		0						0	
50.	CRWSB	CRWSB carries out water quality tests on sample basis	"1" if results from quality analysis on water from source and collection points, and follow up actions; reports not older than 12 months			0					0	
51.	CRWSB	The CRWSB has measured/surveyed the groundwater level and seasonal fluctuations to ensure lasting water supply	"1" if data/information on groundwater depth, fluctuations and cylinder location in view of ensured water supply (comparison of data on various sources)			0					0	
52.	CRWSB	The CRWSB has taken into account the yield of the borehole versus the non-domestic water uses from that borehole when deciding on number of water points.	"1" if positive result from comparing data on source and on required water volumes for various water uses			0					0	
53.	CRWSB	The CRWSB has a plan for meeting future water demands versus possible water resource changes (e.g. through climate change)	"1" if evidence that even when water resources' capacities change, demands considering (with envisaged higher consumption and more consumers) are secured			0					0	
54.	CRWSB	The CRWSB has an overview of present wastewater discharge flows(from sewage and industries	"1" if presence Overview				NR				NR	
55.	CRWSB	The CRWSB has these wastewater flows adequately channelled and treated before being discharged into the ecosystem	"1" if data on adequate control of treatment and discharge (as per government regulation)				NR				NR	
56.	CRWSB	CRWSB carries out 6-monthly accountability audit (financial, social) of WMC	"1" if presence Audit report		0						0	
57.	CRWSB	CRWSB has mitigation measures in case of below standard financial and social accountability of WMC	"1" if evidence on mitigation or other measures for substandard financial accountability	0							0	
58.	CRWSB	CRWSB provides accountability (financial, social and functionality) to Regulator (e.g. County Executive Director/Commissioner), and provides follow up	"1" if presence Accountability Report	0							0	
59.	CRWSB	CRWSB has a 'financed' plan to develop capacities of 'community-of-users'	"1" if evidence of Capacity Building Plan and secured Financing				0				0	
60.	CRWSB	CRWSB has a 'financed' plan to facilitate meetings, audits, conflict resolutions between WMC Consumers	"1" if evidence of Consumers' meetings etc. Plan and secured Financing				0				0	
61.	CRWSB	CRWSB carries out sustainability monitoring (once every 12 months)	"1" if presence report		0						0	
62.	CRWSB	CRWSB analyses the data from the sustainability monitoring and uses conclusions to improve water service	"1" if presence report		0						0	
63.	CRWSB	CRWSB participates in learning sessions for sustainability with CRWSB from other Counties	"1" if evidence of participation of Board		0						0	
TOTALS												
negative answers				13	16	3	8	8	12	19	17	9
total nr of relevant questions				14	20	6	8	9	18	21	18	57
NR-not relevant				3	0	0	2	1	1	2	3	6
SI				0.07	0.20	0.50	0.00	0.11	0.33	0.10	0.06	0.16
SI				F	I	E	T	S	Consumers	WMC	CRWSB	Overall

