



**Kapoeta North
County Rural Water
Service Board**



Sustainability Monitoring Framework (SMF)

Rural Water Services - Borehole with Hand Pump

Sustainability Index (SI) As per October 2014

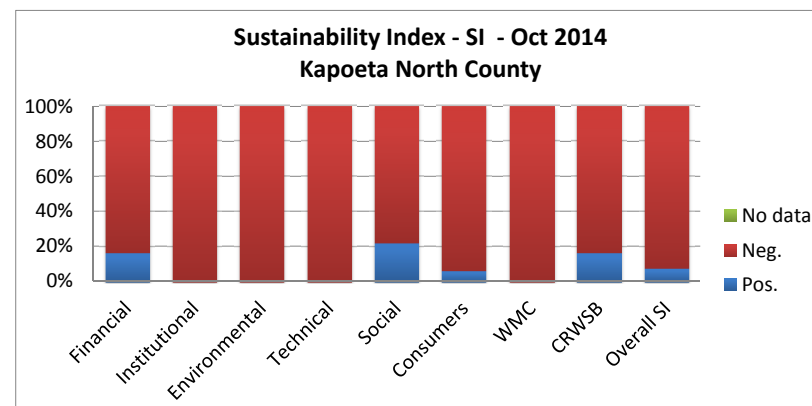
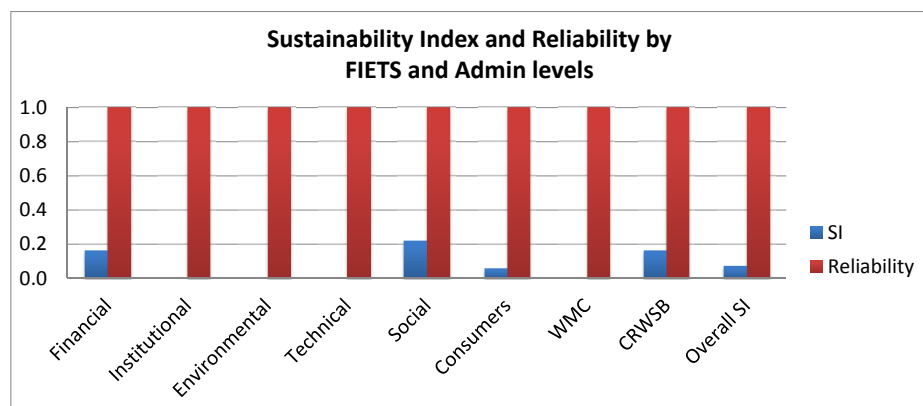
The SMF/SI instrument has been developed by
IRC for the Dutch WASH Alliance



#	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	0					0		
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	NR					NR		
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	NR					NR		
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		0				0		
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					1	1		
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					0	0		
12.	Consumers	Consumers do pay the agreed tariff	"1" 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			0			0		
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			0			0		
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			0			0		
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		

#	Level	Sustainability Issue	Benchmark	F	I	E	T	S	Consumers' level	Management level	Governing level
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 CRWSBoard 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 <u>and</u> 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 <u>and</u> 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		0					0	
26.	WMC	WMC has financial/admin staff with adequate competence	"1" if evidence on education/training of treasurer according to WMC Manual		0					0	
27.	WMC	The WMC is a <u>legally</u> 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 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	
40.	WMC	WMC has a current business plan	"1" if presence of hard copy BP	NR						NR	

#	Level	Sustainability Issue	Benchmark	F	I	E	T	S	Consumers' level	Management level	Governing level		
41.	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		
42.	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	1							1		
43.	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		
44.	CRWSB	The CRWSB is officially recognised/established as an executive and governing body within the County structures	"1" if presence legal Board Registration/establishment		0						0		
45.	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		
46.	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		
47.	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		
48.	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		
49.	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		
50.	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		
51.	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		
52.	CRWSB	The CRWSB has an overview of present wastewater discharge flows(from sewage and industries	"1" if presence Overview				NR				NR		
53.	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		
54.	CRWSB	CRWSB carries out 6-monthly accountability audit (financial, social) of WMC	"1" if presence Audit report		0						0		
55.	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		
56.	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	1							1		
57.	CRWSB	CRWSB has a 'financed' plan to develop capacities of 'community-of-users'	"1" if evidence of Capacity Building Plan and secured Financing					1			1		
58.	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		
59.	CRWSB	CRWSB carries out sustainability monitoring (once every 12 months)	"1" if presence report		0						0		
60.	CRWSB	CRWSB analyses the data from the sustainability monitoring and uses conclusions to improve water service	"1" if presence report		0						0		
61.	CRWSB	Counties	"1" if evidence of participation of Board		0						0		
				TOTALS									
				Positive answers	2	0	0	0	2	1	0	3	4
				negative answers	10	18	6	8	7	15	19	15	49
				total nr of relevant questions	12	18	6	8	9	16	19	18	53
				NR-not relevant	5	0	0	2	1	3	2	3	8
				SI	0.17	0.00	0.00	0.00	0.22	0.06	0.00	0.17	0.08
				SI	F	I	E	T	S	Consumers	WMC	CRWSB	Overall



MITIGATION MEASURES PROPOSED BY COUNTY STAFF TO ENHANCE

FINANCIAL SUSTAINABILITY

Level	Sustainability Question	Score SMF	Proposed solution
Consumers	Have you been informed during the planning process before the decision on the chosen technology and service level was made, on your expected contribution to the total estimated operational and maintenance cost of which the consumers pay now only the recurrent operation and minor repairs?	0	Create awareness among the water users on their expected contribution to the operation and minor repairs before they are provided a new water system
Consumers	Did you confirm before the decision on the chosen technology and service level was made that you are able & willing to pay your expected contribution to the total estimated operational and maintenance cost of which the consumers pay now only the recurrent operation and minor repairs?	0	1. Create awareness among the water users on their expected contribution to the operation and minor repairs before they are provided a new water system, also explaining why this contribution is important 2. Form WMCs before construction and train them
Consumers	Did you pay your monthly charges (or water bill) to the WMC for the last six months, or did you pay according another agreed cost recovery system?	0	Facilitate the formulation of community by-laws on payment, and follow up whether they are enforced
WMC	Did you as WMC include in the water tariff (what consumers have to pay) the operation and minor repairs as per government policy?	0	The WMC should have a meeting with the community to decide on the price to pay per week or after a breakdown happens, either in cash or in kind
WMC	Do you as WMC communicate to consumers and County in reports on external financial contributions (e.g. from County, INGOs etc.) to run the water service?	0	County to train WMCs on reporting process and system, including on external financial contributions
WMC	Do you as WMC communicate to consumers in reports on technical water service performance (water quality, breakdowns, downtime etc.) and financial accountability, at least every 12 months?	0	Train the WMCs on technical, financial and accountability records
WMC	Do you as WMC communicate to County in reports on technical service performance (water quality, breakdowns, downtime) and financial accountability, at least every 6 months?	0	Train the WMCs on making reports for the County on technical, financial and accountability issues
WMC	Do you as WMC maintain a bookkeeping system and with bank statements (if WMC has a bank account)? Please show us the book keeping system and the bank statements.	0	Train the WMCs in bookkeeping and financial management
WMC	Do you as WMC maintain a dedicated bank account exclusively for this water service contract? Please show us a bank statement indicating that.	0	WMCs should hand over the collected cash or kind to the Water Department so that the money can be kept in the County safe; they should be provided receipts and statements for the given amounts by the County
County	Does the County have a financial plan agreed with the State government on specific cost items they are responsible with respect to the full life cycle cost?	1	-
County	Does County have mitigation measures (sanctions) when WMC performs below agreed financial and social accountability standards as per contract?	0	The County should make regular follow up or monitoring of WMC's financial and social accountability (monthly)
County	Does County submit accountability reports (including financial, social and technical performance) to Regulator (for now Ex Director and Commissioner)?	1	-

INSTITUTIONAL SUSTAINABILITY

Level	Sustainability Question	Score SMF	Proposed solution
Consumers	Please mention some rights you have as consumer and some roles as consumer as stated in Agreement with Water Management Committee (WMC) and with County	0	WMCs should be trained in users' rights and roles, so that they can sensitise water users, chiefs, elders, etc. of the area
Consumers	Do you as user receive, for instance in a meeting with the WMC or did you see reports from the WMC with information about the technical performance (e.g. breakdowns, water quality) and financial issues (e.g. income and expenditures) related to the water service?	0	WMC should have monthly meetings with the water users to update them on the status of the water system, on both technical and financial matters
WMC	Did you as WMC make clear agreements on service levels and tariffs with consumers (or community/committee of users)? Please show us the Agreement.	0	The WMC needs to organise a meeting with the water users to discuss and agree on the water tariff
WMC	Do you as WMC have staff/ a treasurer to financially manage the water service?	0	The community needs to select a treasurer
WMC	Does the WMC finance person/treasurer have adequate competence and skills to financially manage the water service?	0	The treasurer should be trained in bookkeeping and financial management
WMC	Is your WMC <i>legally</i> registered with the County? Please show us your agreement document.	0	The County should register each WMC in the area
WMC	Do you as WMC conduct 6-monthly meetings with the consumers?	0	WMC should have a meeting every month to make them active in their work
WMC	Do you as WMC follow up issues raised in these meetings by consumers to improve the water service within 3 months after meeting?	0	WMC should send a report to the County or Water Department on any kind of problem with the water system
WMC	Do you have in the WMC two caretakers as technical staff?	0	The community needs to select caretakers
WMC	Did the caretakers in the WMC receive a technical training?	0	The caretakers have to be trained in technical tasks so that they can take care of the water system
County	Did the County make clear agreements on (service levels and) tariffs with the WMCs?	0	County should guide the WMCs in the setting of water tariffs and have a clear agreement with the WMC on the tariff they will have set with the users
County	Is the County Rural Water Services Board (CRWSB) officially established as an executive and governing body within the County structures?	0	The CRWSB should be established, so that it can oversee all the water systems in the County
County	Does the contract/signed agreement of the County with WMC have clear roles & responsibilities?	0	The County should sign with each WMC an agreement containing clear roles & responsibilities
County	Does the County have mitigation measures (sanctions) in case the WMC performs below water service standards as agreed per contract?	0	The County should advise WMCs regarding their performance where necessary, including on how to manage their water systems
County	Does County carry out 6-monthly accountability audits at the WMC?	0	The County should carry out accountability audit at least every month with WMC reports
County	Does the County carry out annual sustainability monitoring?	0	The County should carry out annual sustainability monitoring, applying the Sustainability Monitoring Framework (SMF)
County	Does the County analyse data and use results from annual sustainability monitoring?	0	The County has to collect sustainability data, analyse it and use it
County	Does the County participate in learning sessions for sustainability with other Counties?	0	The State should organise learning sessions between Counties

ENVIRONMENTAL SUSTAINABILITY

Level	Sustainability Question	Score SMF	Proposed solution
Consumers	What do you as consumer do to protect the groundwater against pollution? Please mention some points on protection of the groundwater	0	Sensitise the water users on the necessity of: 1. Building a fence around the water source 2. Cleaning the water source surroundings 3. Keeping animals away from the water point
Consumers	Did you as a consumer during the last four weeks clean the area around the borehole?	0	WMC to organise weekly and monthly / general cleaning around the water point
Consumers	Did you as a consumer during the last year protect the groundwater against pollution?	0	WMCs to develop and enforce by-laws on protection of the groundwater against pollution
Consumers	Did you as consumer during the last year report to WMC or County (via Payam Chief) that pollution of the groundwater might have taken place (e.g. when household, industrial, agricultural, hospital or hazardous waste has been dumped close to groundwater/borehole source)?	0	Sensitise the water users on reporting issues to the WMC / chief and on information sharing
WMC	Do you as WMC have a schedule for maintaining the area around the water point and preventing pollution of water source?	0	County to train WMCs on hygiene and sanitation at the water point
WMC	Did you as WMC implement over the last three months the schedule for maintaining the area around the borehole and preventing pollution of groundwater?	0	1. Provide additional training to the WMCs on organizing maintenance of water source surroundings 2. In case schedule not applied, dissolve the WMC and form a new one

TECHNICAL SUSTAINABILITY

Level	Sustainability Question	Score SMF	Proposed solution
WMC	Do you as WMC have a schedule for regular O&M?	0	County to train WMCs on how to make a schedule for regular O&M
WMC	Do you as WMC and the caretakers in particular implement this schedule for regular O&M on a regular/weekly basis?	0	County to supervise WMC and caretakers on regular O&M
WMC	Do you as WMC implement a schedule for the security of the handpump?	0	1. WMC should define with water users time for opening and closing the water service, and should apply this schedule 2. WMC to raise awareness of water users on time for collecting water and closing of the service
County	Does the County carry out 6-monthly technical water service performance audits at the WMC?	0	Provide transport to WASH supervisors
County	Does the County have water quality testing done for this scheme on a regular basis?	0	State to provide water quality testing equipment to the County and train WASH staff in using it
County	Has the County measured/surveyed the groundwater level and seasonal fluctuations to ensure lasting water supply?	0	Need of equipment for measuring groundwater level and training of pump mechanics in using it
County	Has the County taken into account the yield of the borehole and capacity of pump versus the non-domestic water uses (cattle watering, small scale irrigation, business) when deciding on number of water points?	0	Adoption of basic water service delivery standards (Water policy, 2007): · 15 litres / person / day for domestic uses · < 1.5 km distance · < 500 people / borehole
County	Has the County a plan for meeting future water demands versus possible water resource changes (e.g. through climate change)?	0	County to 1. Explore improvements / replacement of existing water technologies 2. Invest more in the water sector

SOCIAL SUSTAINABILITY

Level	Sustainability Question	Score SMF	Proposed solution
Consumers	Have you as user been involved in planning of the water supply/service particularly in decision-making on the technology that is a borehole with hand pump and service level?	0	County / NGOs to involve community / users through participatory planning in provision of any new water system, including for technology choice
Consumers	Have you as a woman been involved in planning of the water supply/service particularly in decision-making on the borehole/handpump technology and service level?	0	County / NGOs to involve women (as main users of the water facilities) through participatory planning in provision of any new water system, including for technology choice
Consumers	Is there a procedure/process in place where you as consumer/user can put your complaints on water services (supply, quality, tariff...) to the WMC?	1	County to strengthen WMCs so that they are more aware of their roles and tasks for receiving complaints from the water users on the service, and so that they forward them to the relevant authority
Consumers	What happens with your complaints? Are your and other consumers' complaints being followed up with a good effect, that is improvement, and to your satisfaction? For instance, that the hours of water supply increased or changed to your convenience, or that the water quality improved or that a discussion on the water tariff was held.	0	1. WMCs to forward the complaint as soon as possible 2. WMCs to organise periodical meetings with consumers to provide them feedback on their complaints
Consumers	Do you meet your obligations as consumer to the WMC, that means: do you pay your monthly water charges; do you assist in cleaning area around water point; do you handle the handpump with care; others	0	WMCs to establish and enforce by-laws on payment for water
Consumers	Are you satisfied with the water service presently provided against the water tariff you pay?	0	1. WMCs to share information with water users and provide accountability 2. NGOs / County to address reported technical problems
Consumers	Are there families in this village (or this part of the village if there are more borehole/handpump systems) that do not get water from this improved borehole/handpump managed by the WMC?	0	Raise awareness among community members on the dangers of water-borne and water-related diseases
County	Does the County have a 'financed' plan to develop capacities of 'community of users'?	1	County to 1. Ensure the plan is actually implemented 2. Increase the number of targeted communities in the plan 3. Mobilise more financial resources
County	Does the County have a 'financed' plan to facilitate meetings, audits, conflict resolutions between WMC and Consumers?	0	County to budget for facilitating meetings, audits, conflict resolutions between WMC and Consumers, and mobilise resources for these activities