

User guide for the District

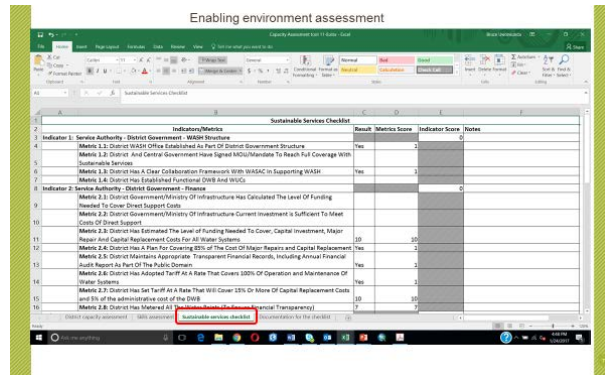
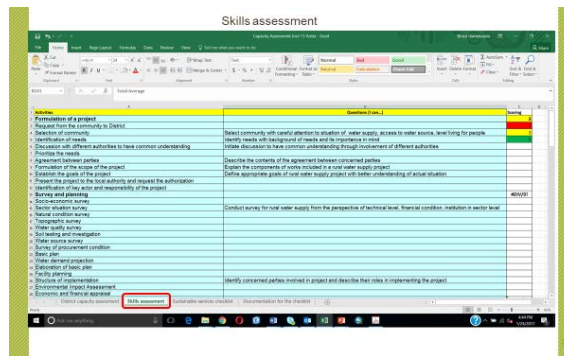
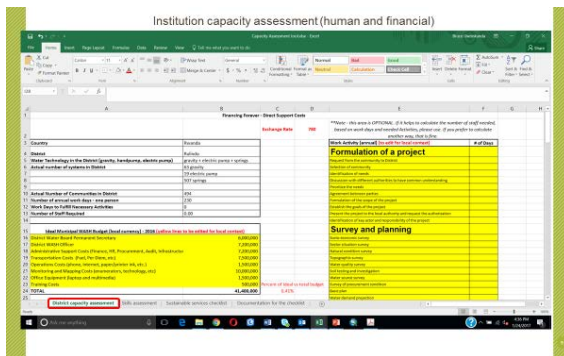
Capacity assessment tool

1. Overview

The tool is used to evaluate if a given institution has the required resources (financial & human) and if the working environment is enabled to ensure sustainable water service delivery.

The tool is composed of three parts:

- First part is to evaluate if the entire institution has enough human and financial resources
- Second part is to evaluate skills and capacity of individual staff.
- Third part is to evaluate if the district has the enabling environment to ensure sustainable water service delivery



The tool is a combination of three tools developed separately - the direct support tool developed by Water For People to assess the human and financial gaps in an organization, skills assessment developed by JICA to assess the current skills in the staff within an organization and their gaps, and a checklist developed to verify if all

the entities involved in the development and management of water supply services have all the required to ensure sustainable water supply services. The checklist is composed by Indicators assessed through metrics covering structure, finance, monitoring, management of service and protection of the water resources.

2. Human resources assessment

The aim of the human resource assessment is to evaluate if the district (organization) has sufficient number of staff that are required to ensure reliable and sustainable water service.

The principle of the assessment is to identify the activities needed to ensure reliable and sustainable water service, and then to assign the number of days or period each activity should be implemented. Once the number of days or period has been assigned for each activity, the tool will then compare the total number days for all the activities with the number of working days allowed in the country (removing week ends, annual leave and public holidays). The result will then give the real number of staff that the district/organization should have, and this can be done department by department (Technical, Monitoring, Finance, Administration...)

Step 1: identify the activities required

Country	District	Exchange Rate	780	Work Activity (name)	if of Days	Engineers/Technicians/Plumbers/Plumbers/MAs
Formulation of a project						
Survey and planning activities from the skills assessment						
Design						
District Budget		actual as a percent of total				
District capacity assessment		16,000,000.00				

Step 2: Assign the number days required for each activity identified

The screenshot shows an Excel spreadsheet titled 'Capacity Assessment tool final workbook'. The spreadsheet is divided into several sections. On the left, there are input fields for 'Country', 'District', and 'Number of Staff Required'. The main table lists various activities such as 'Formulation of a project', 'Survey and planning', and 'Design'. Each activity has a corresponding number of days and a staff requirement. A red circle highlights the 'Survey and planning' activity, and a red arrow points to a text box that says 'Insert the number of days for each activity per department'.

After putting all the number of the days, the tool makes the calculations automatically and gives you the number of staffs required

This screenshot shows the same Excel spreadsheet as above, but with additional annotations. Red boxes highlight the 'Total number of working days in the country' and 'Number of days from the list of activities' columns. A red arrow points from the 'Number of days from the list of activities' box to the 'Number of Staff Required' column. A text box states 'The tool will calculate the number of realistic staffs required'.

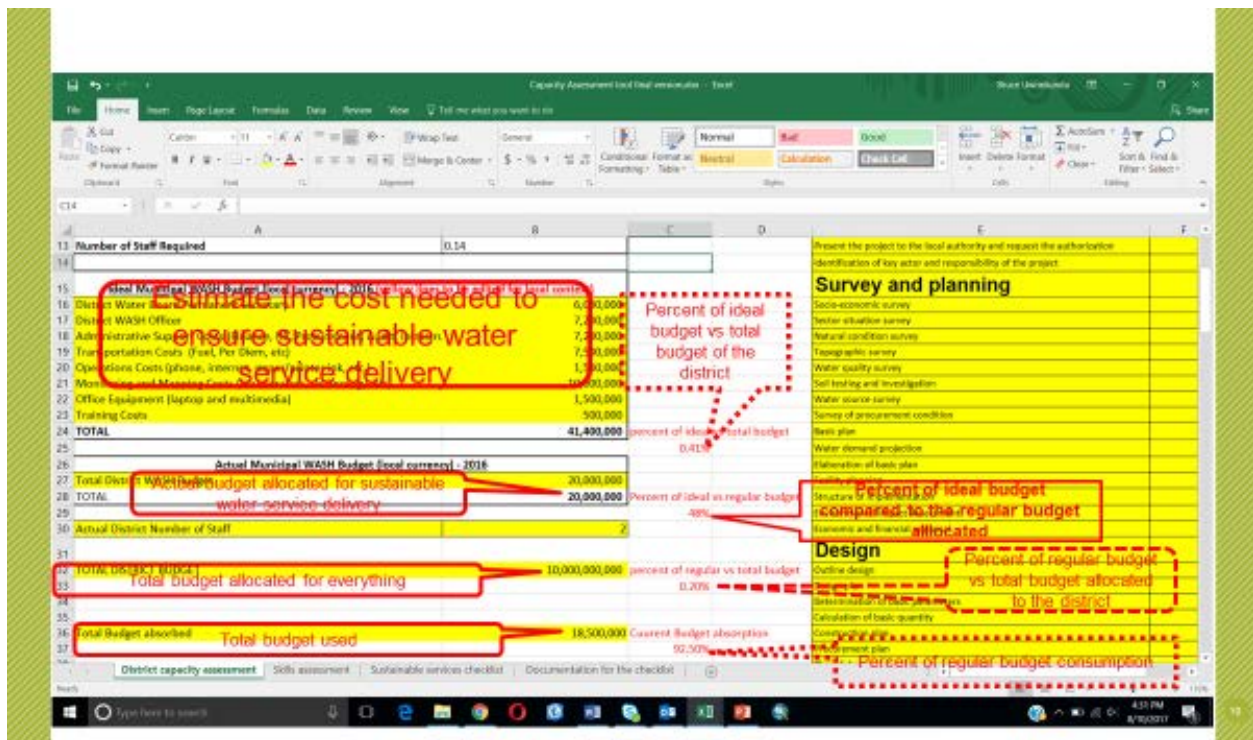
After getting the number of staff required, it is up to the decision makers to sit and discuss if they need to recruit more staff.

3. Financial resources assessment

After assessing the activities and the number of staff required, the following step is to give a cost to all administrative activities required (salaries of staff, transport, communication...). The costing is done based on an ideal situation, i.e: a good salary that would retain staff.

After putting together all those costs, the tool will then compare that cost with normal regular budget allocated for WASH services and total budget allocated to the district, the result will give a percentage of deficit between the comparison. The tool will also compare the ratio between the regular budget allocated to WASH services compared to the total budget allocated to the district, this will help to check the importance given to WASH activities in the budget.

The illustration below demonstration how the comparison and the results are obtained

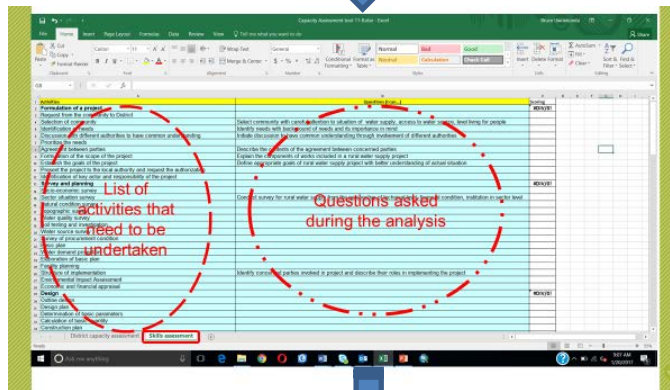
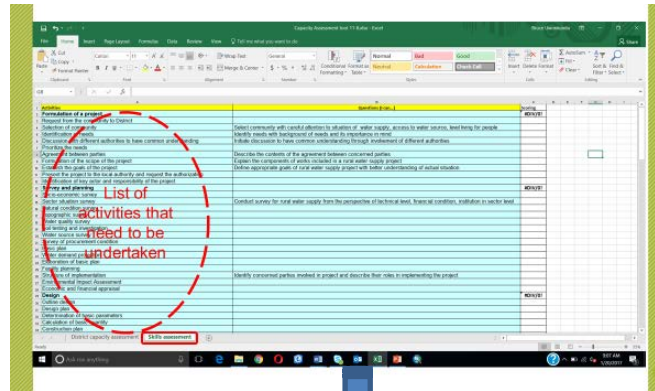


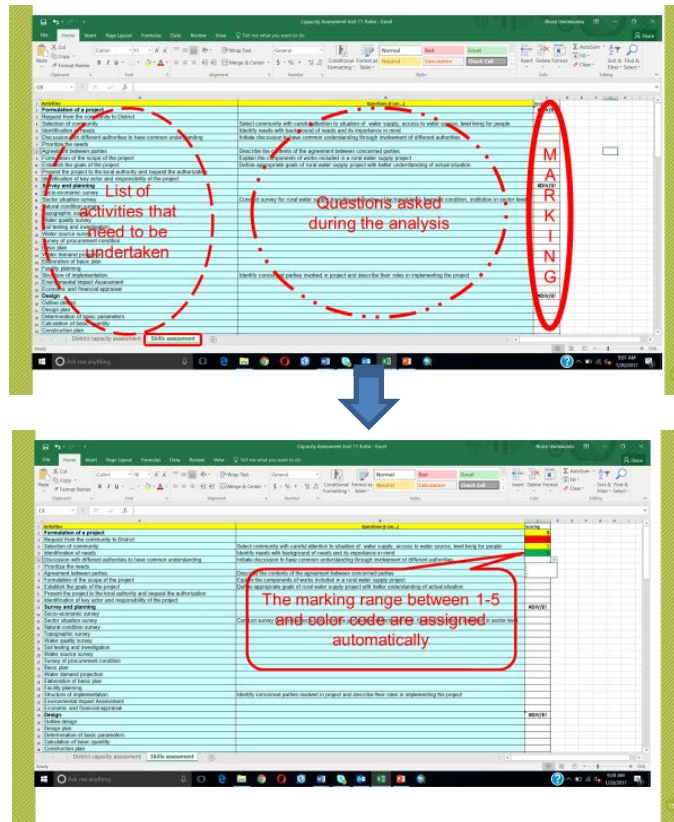
4. Skills assessment

The skills assessment is obtained by conducting an interview with the concerned staff, the interview will be mainly based on the identified list of activities during the human resources assessment. During the interview questions are asked on how he can perform the specified activity and then he will be marked from 0 to 5. 0 equivalent to cannot perform the activity and 5 is equivalent to can successfully perform the activity.

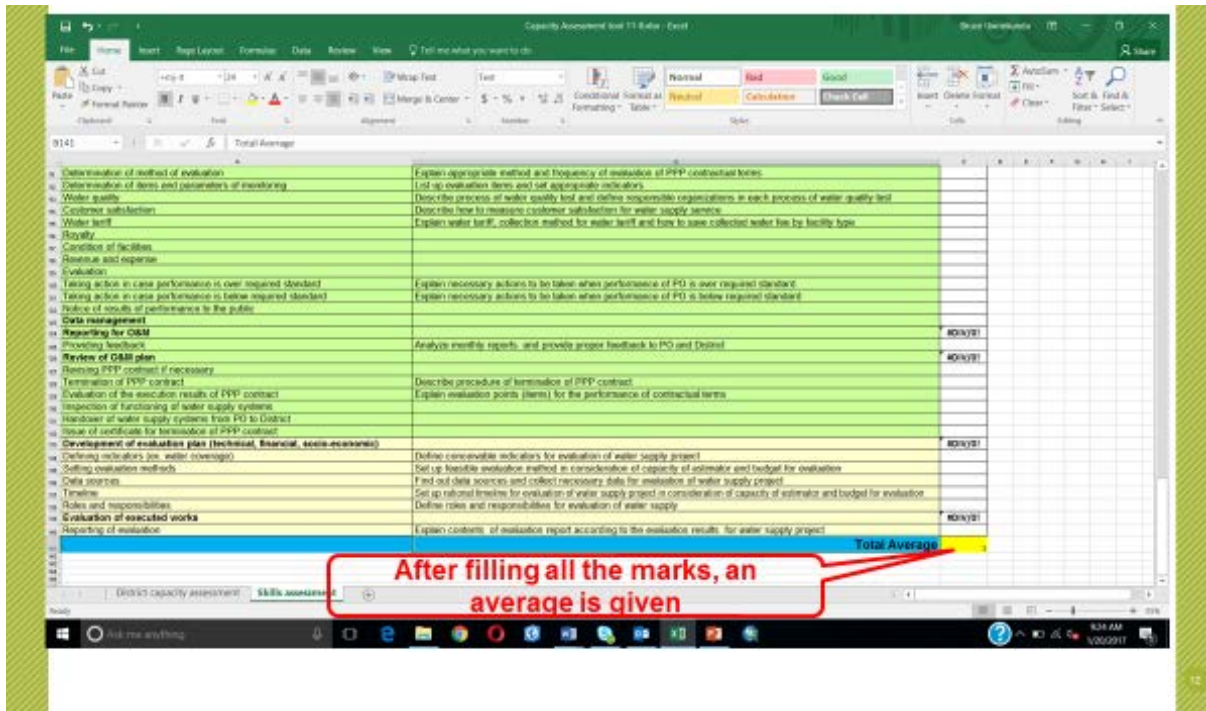
The person conducting the assessment will then put the mark for each activity.

- From 0 - 1 the tool will give a red alert
- From 1.1 – 3 the tool will give a yellow alert
- From 3.1 – 5 the tool will give a green alert





After conducting all the interviews and giving the marks to all the staff and all the activities, the tool will then make an average and give a result for all the district/organization, the marking and the color coding is the same as explained above.



After getting the average for the entire district or organization, it is up to the organization to follow and check where the organization has gap and how to deal with that gap. The skills assessment is not intended to fire staff necessarily, after finding where the gaps are, the authorities of the district can build that capacity for the concerned staff or recruit a staff who has the profile to undertake that assignment causing the gap.

5. Assess the enabling environment

To assess if the enabling environment is adequate to ensure reliable and sustainable WASH service, a checklist has been developed to verify if all the entities responsible to oversee the delivery of WASH services have all the requirements to deliver sustainable services.

The checklist is subdivided into 9 indicators subdivided into 4 entities: service authorities, service providers, public institutions and Water resource management.

Each indicator is measured by a series of metrics and the result is obtained through an interview with the responsible person to verify the presence or not of the

metrics, evidence or proof should be provided to verify the availability of the metrics measured.

For some metrics, it a YES or NO answer, if the metric is proved to be available and it is a YES, the metric get a result of 1; on another hand if the documentation of the metric is not available it is a NO answer and the metric get a result of 0. For other metrics like budget availability, a range should be provided to assess if the metrics is sufficient to ensure sustainability, if the metrics is proven sufficient, the result is 1, if the metrics is not proven sufficient, the result will be 0.

Indicators/Metrics	Result	Metrics Score	Indicator Score	Notes
Indicator 1: Service Authority - District Government				
Metric 1.1: Rulindo District Which Other Entities Are Part Of District Government Structure	Yes	1		
Metric 1.2: Rulindo District And Central Government Have Signed MOU/Mandate To Reach Full Coverage With Sustainable	Yes	1		
Metric 1.3: Rulindo District Has A Clear Collaboration Framework With WASAC In Supporting WASH	Yes	1		
Metric 1.4: Rulindo District Has Established Functional DWB And WUCs	Yes	1		
Indicator 2: Service Authority - District Government - Finance			0	
Metric 2.1: Rulindo District Government/Ministry Of Infrastructure Has Calculated The Level Of Funding Needed To Cover Direct Support Costs	Yes	1		
Metric 2.2: Rulindo District Government/Ministry Of Infrastructure Current Investment is Sufficient To Meet Costs Of Direct Support	10	10		
Metric 2.3: Rulindo District Has Estimated The Level Of Funding Needed To Cover, Capital Investment, Major Repair And Capital Replacement Costs For All Water Systems	10	10		
Metric 2.4: Rulindo District Has A Plan For Covering 85% Of The Cost Of Major Repairs and Capital Replacement	Yes	1		
Metric 2.5: Rulindo District Maintains Appropriate Transparent Financial Records, Including Annual Financial Audit Report As Part Of The Public Domain	Yes	1		
Metric 2.6: Rulindo District Has Adopted Tariff At A Rate That Covers 100% Of Operation and Maintenance Of Water Systems	Yes	1		
Metric 2.7: Rulindo District Has Set Tariff At A Rate That Will Cover 15% Or More Of Capital				

After assessing all the metrics and putting the corresponding marks, the tools will automatically calculate the sustainability scoring for the institution as follows:

- If the result is 0: No Sustainable Services; equivalent color black
- If the result is between 1 - 4: Inadequate Sustainable Services; equivalent color Red
- If the result is between 5 - 6: Basic Sustainable Services; equivalent color Orange
- If the result is between 7 - 8: Intermediate Sustainable Services; equivalent color yellow
- If the result is 9: High level of Sustainable Services; equivalent color green

Average from all indicators in terms of level of sustainable services

Metric	Yes	No	Score
Metric 7.1: Private Operators Have Spare Parts Available In The Community Or Nearby			10
Metric 7.2: Private Operators Repair Minor Breakdowns Within 2 Days			10
Metric 7.3: Private Operators Meets All Bi-Annual Water Quality Testing Requirements			10
Metric 7.4: Private Operators Have Sufficient And Appropriate Toolkit For D&M			10
Indicator 8: School And Clinic WASH Services			1
Metric 8.1: There Is Clear Documentation At Service Authority Level Of Who Is Responsible To Provide WASH Services In Schools	Yes		1
Metric 8.2: Schools Have Funds Available To Cover WASH Operation And Maintenance			10
Metric 8.3: There Is A Plan To Finance Replacement Of WASH Services In Schools			10
Metric 8.4: There Is Clear Documentation At Service Authority Level Of Who Is Responsible To Provide WASH Services In Clinics	Yes		1
Metric 8.5: Clinics Have Funds Available To Cover WASH Operation And Maintenance			10
Metric 8.6: There Is A Plan To Finance Replacement Of WASH Services In Clinics			10
Indicator 9: Water Resource Management			1
Metric 9.1: A Water Source Inventory Has Been Completed Or Updated In The Last 3 Years	Yes		1
Metric 9.2: District level Water Resource Management Plan Exists	Yes		1
Metric 9.3: District NRM Officer Performs Annual Monitoring Of Water Source Capacity			10
Total Sustainable Services Score			9

0: No sustainable service (Black color) 7-8: Intermediate Sustainable service (Yellow color)
 1-3: Inadequate sustainable service (Red color) 9: High level of sustainable service (Green color)
 4-7: Basic sustainable service (Orange color)

After getting the picture of the level of the sustainability, it is up to the stakeholders to identify the metrics with gaps and develop actions to meet the criteria for that metric.