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guidelines for planning

# COMMUNITY PARTICIPATION

in  
water supply and sanitation projects

anne whyte

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ORIGINAL ENGLISH

The International Drinking Water Supply and Sanitation Decade

Guidelines for planning  
COMMUNITY PARTICIPATION  
in water supply and sanitation projects

by

Dr. Anne Whyte  
Institute for Environmental Studies  
University of Toronto

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## PREFACE

In recent years community participation has assumed an increasingly important role in development philosophy. This has been especially so in the health sector where, within the framework of Primary Health Care, it has been stated that communities have both the right and the responsibility to be involved in the planning and implementation of their own health programmes. Similarly, in water supply and sanitation programmes, planners have come to realize that community participation is an essential ingredient for projects to be successful. This represents a vast change from former procedures where the community was seen as the passive recipient of facilities planned and supplied by central government.

It cannot be expected that the switchover from centrally managed to community based projects will happen overnight. In many countries it will require significant changes in policy together with the reorganization and reorientation of staff. There are some noteworthy examples where the switchover has taken place and where communities have been encouraged to become involved in the solution of their water supply and sanitation problems. Where this has happened the role of Government has been to provide support to communities in their efforts to achieve their objectives.

It is against this background that "Guidelines for Planning Community Participation in Water Supply and Sanitation Projects" has been prepared. The guidelines are in a simple and readily understandable form that leads the planner through the "what, when, where, why, how and who" questions associated with the community participation process.

The document was prepared by Dr Anne Whyte and the International Reference Centre for Community Water Supply at the request of the World Health Organization. Earlier drafts were extensively reviewed by more than forty experts whose comments and constructive criticism have done much to improve the quality of the document. Their assistance is greatly appreciated. Work on the document at the IRC/CWS was coordinated by Paul Kirkhoven; technical editing and finalization of the document was done by R. E. Novick and R. C. Ballance, both sanitary engineers in the Division of Environmental Health at WHO Geneva.

The World Health Organization would appreciate hearing from health, water supply and sanitation officials who use these guidelines in their programme or project work. Such "feedback" of experience will be of great assistance in the preparation of future editions and will help to ensure that no details have been overlooked. Comments should be addressed to The Manager, Environmental Health and Technology Support Unit, World Health Organization, 1211 Geneva 27, Switzerland.

## A. INTRODUCTION

### 1. The Decade Approach

The approach of the International Drinking-Water Supply and Sanitation Decade crystallises the concepts related to water supply and sanitation projects which have evolved progressively over the years. In the Decade, multisectoral and community participation strategies will be encouraged and supported. Sector projects and programmes will be linked more closely to other sectors, particularly with health education within the framework of primary health care. Communities will be involved in the early phases of projects and will play a decisive and active role in project planning.

The reasoning that has led to this approach for the Decade stems from many experiences, both good and bad. One of the main observations is that for projects to be accepted and continue to be utilised, their benefits must be perceived by the users, and project costs and equipment must be able to be maintained by the community. In addition the Decade target of adequate water supply and sanitation for all by 1990, viewed from the perspective of the 1975 data for populations in rural areas with reasonable access to water and sanitation as only 22% and 15% respectively, seems only possible through the generation of affordable, socially relevant, self reliant and self sustaining projects.

Community participation has thus become an important part of the foundation on which the Decade strategy has been built. It will be one of the criteria by which national programmes will be evaluated for support by external aid agencies. Beyond the Decade, the rights of communities and individuals to participate in the planning and implementation of their primary health care systems has been embodied in the Declaration of Alma Ata (WHO/UNICEF 1978) and in WHO's strategy to reach "Health for All" by the year 2000 (WHO 1979).

Much, therefore, depends on being able to successfully mobilize community participation in sector projects and national programming. But beyond the rhetoric, how is this to be done?

#### 1.1 The need for political commitment

Community participation is the most political aspect of the Decade approach because it involves directly the relations of a national government to its people. It can also change the relative roles of different levels of government. Community participation is thus a political process and, as such, needs political commitment at all levels, including the highest.

While this document is addressed principally to senior planning and technical personnel, it is important to involve politicians throughout the planning process. The participation of politicians in the planning discussions outlined in this Guide will familiarise them with the activities and help to secure their continuing support.

It is particularly important that senior political personnel participate in the selection of programme objectives and priorities (Section C) because it is here that the goals of the community participation approach of the Decade most clearly intersect with national political objectives.

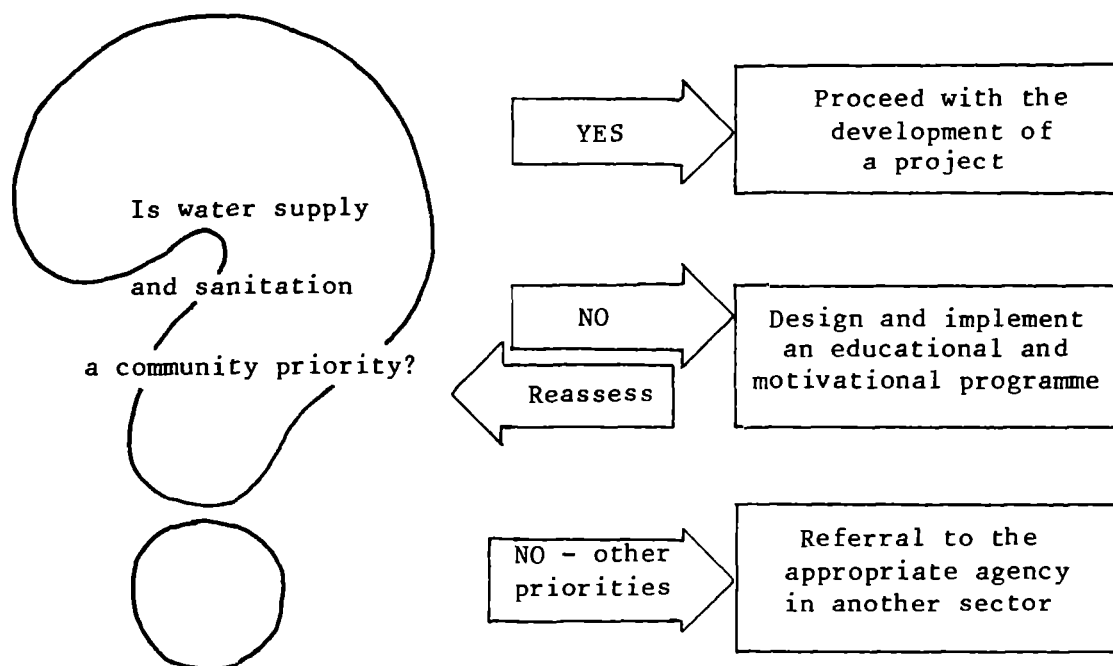
## 1.2 A multi-sectoral approach

One of the outcomes of a community participation strategy is that people have an opportunity to express their own 'felt needs' and to order their own development priorities. Not all communities perceive water and sanitation as priorities, or at least not as their first priority. Community participation in the Decade thus means a willingness on the part of national planners to have one sector project rejected or deferred for another. A community participation approach lends itself to multi-sectoral programmes.

Even where multi-sectoral programmes are not well developed, water and sanitation sector activities can act as entry points for other sectors. What is needed is an effective inter-sectoral communication system through which communities can be referred to the appropriate department or agency. This means that, if a community expresses a strong interest in, for example, a health clinic or dispensary, the Ministry of Health is informed of the potential for a community participation project.

Conversely, other sector programmes may identify communities with strong potential for a water and sanitation project. These need to be referred to the appropriate DWSS (drinking-water supply and sanitation) planning unit. To facilitate community referral between sector agencies, national planning committees for the Decade can seek to establish an agreed referral mechanism with other agencies.

At the community level, where initial enthusiasm for water and sanitation is found lacking, the community participation approach can include an educational component to increase awareness of the benefits of a project. Thus, whatever the outcome of the initial contact with a community, there are follow-up steps to be made.



## 2. What is community participation<sup>1</sup>

Community participation is, for some people, an ideology of development. For others, it is a tool for planning and management. In the Decade, it is a process for implementing large numbers of projects and for evaluating the measure of their success or failure in satisfying people's (perceived) basic needs. Indeed, in some developmental stages it may be the only process widely available; in others the essential component for making such projects feasible and viable.

Community participation has no absolute, distinct and clearly defined boundaries. It comprises inputs that are variable from place to place and from time to time. It will, however, be a measure of how much is being done for people by others as compared with how much is being done by people for themselves. Community participation involves people in an assessment of the situation, a definition of the problems and the setting of priorities. It involves people in the making of decisions and the planning of an action programme to solve the problems. And it involves people in the acceptance of a high degree of responsibility for implementing the programme. Community members contribute to programme implementation by the contribution of labour, financial and other resources and continue their contributions for the operation and maintenance of completed systems.

There are many lengthy studies on what participation can and cannot include. For sector programming, they can be distilled into the following four criteria:

- a) involvement in planning programmes
- b) involvement in implementing, operating and maintaining programmes
- c) sharing in the benefits of the programmes
- d) involvement in the evaluation and modification of the programmes.

In the past, projects which fulfilled any one of these criteria have been described as participatory. What the Decade Approach emphasises is that to succeed, an adequate degree of community participation under all four criteria must be demonstrated in future sector programmes and projects.

The degree to which a community is involved and participates in planning, implementation, evaluation of projects and in sharing benefits will vary according to national government styles and community traditions and expectations. With the help of the checklists provided in this document planners can decide how far they can reasonably progress in participatory programming, and in what particular aspects of project development.

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<sup>1</sup> The terms "community involvement", "popular participation", "self-help" and "self-reliance" are also used, and some authors make fine distinctions among them.



In the checklists, the alternatives suggested often provide insight into the range of community participation that has been used in sector projects. For example:

What will be the responsibilities of the local organization in the planning phase?

Checklist

- participation in planning
- participation in objective setting
- community information and motivation
- collection of local materials
- organization of voluntary labour
- organization of other services
- organization of fund collection
- safe storage of materials, equipment
- acquisition of land, rights of way
- organization of ceremonies during planning phase
- signing of contracts
- communication of progress
- identification of problems
- selection of community members for special tasks and training
- data collection
- review of data

Where it is decided to implement "all of the above", obviously a highly participatory programme is planned. On the other hand, a minimal participation might be achieved by asking communities to organize voluntary labour.

In many countries, communities have been most involved in the implementation of projects, particularly through self-help construction labour. Further development of participation will probably occur through an extension of communities' involvement in planning - project allocation, choice of service level, etc.

It is the rationale behind this document that, within a range appropriate to the national setting and current local development strategy, the more a community participates in a project the greater will be the prospects for success. This rationale suggests that a project that is developed and implemented in a community with no outside assistance of any kind has a high probability of achieving the goals set in the planning phase. Such "self-sufficiency" is rare, but not impossible (Murray, 1977). More common is the self-help or participatory approach in which external support is a supplement to the inputs of the community.

## 2.1 Who participates?

A second aspect of participation is who participates? In the Decade Approach, more emphasis is being placed on expanding participation within and among communities, especially to reach the 'poorest of the poor' and other groups disadvantaged by their ethnic origin, religion, social or economic status or sex.

In the past, greater involvement in sector projects has come from the more economically advanced regions and communities and their leaders. Others have remained more passive and tended to receive fewer projects, the few projects received being "delivered" to them. These, however, are the communities where a participatory approach can bring the most benefits even though they have the least experience of involvement in the development process. In such communities a participation strategy needs to be designed and developed with the utmost care because past successes have often been outnumbered by failures.

The Decade, therefore, places a major obligation on sector programmes to involve local people in development projects and to make that involvement as genuine and as broad-based as possible. Recognising the constraints to progress that are inevitable in expanding participation, it remains important for all sector programme documents to:

- a) clearly set out national goals for participation
- b) discuss the problems and past experience of participation
- c) describe the degree of involvement and who will be involved in the programme
- d) propose ways by which people in the most disadvantaged regions and communities will be provided with opportunities to participate.

The ramifications of adopting a community participation approach can be extensive and should not be considered lightly. They will affect programme planning, budgeting and actions at three main operating levels as well as at the political level. In the community, actions by government to inform and organize people for participatory activities may require a new or retrained cadre of field personnel. At the level of the operating agency or department changes may be required in the criteria used to select communities in which projects will be implemented. At the level of national planning it may be necessary to revise the organization structure for development programming. Without considering all these levels, a community participation strategy is unlikely to succeed. It is for this reason that community participation has been so difficult to implement. It requires commitment, manpower and changes to be made at all levels from the village level worker to the highest planning and policy committee in the country.

### 3. How to use this Guide

The involvement of communities in development projects must be more than a good intention. To succeed, community participation has to be planned in detail, and real, rather than hoped-for, financial and manpower resources have to be explicitly committed to it at the outset.

Furthermore, to receive external support, more demand is being placed on national plans to show that communities are becoming more involved in their own development programmes, and that involvement comes earlier in the planning process.

The approach adopted here starts from the following premises:

1. There is no one model of community participation suitable for all situations.
2. The weight of the experience gained so far is that great attention needs to be paid to details, particularly to details of the planning phase.
3. There is a wealth of sector experience in community participation which has potential value as a basis for programme design.
4. Prior experience is not sufficiently evaluated before new programmes are designed, leading to mistakes being repeated.
5. A community participation strategy requires consideration and integration of actions to be taken at all levels from the community to the national organization.

The report is designed to guide the community participation strategy at two levels. First, it describes a planning process for participation which can be dovetailed into the overall national planning for Decade Programmes.

Second, it includes information on the content or substance of community participation which is presented as alternative solutions to specific planning issues. These are distilled from experiences gained around the world, but still do not exhaust the possibilities. The alternatives are intended to be used as checklists to determine which, if any, are suitable for adoption.

The importance of the checklists is that the national planning process should address each issue. They should not be left to be resolved during implementation, or in an inconsistent, ad hoc fashion.

### 3.1 The Community Education and Participation (CEP) Planning Process

This Guide is designed to enable planners to plan for community participation in Decade programmes much as they would plan for any other component. It presents a series of tasks or decisions that need to be taken without specifying what the right answers will be. Instead, alternatives that have been used in one country or another are indicated in checklists.

The general outline of the planning tasks and their order is given in Figure 1. They start with a set of assessments which should provide planners with necessary information on the existing potential for CEP and the likely trouble spots (Stages 1 - 3).

After the assessment phase (which can also be used to identify key personnel to involve in the planning process) comes the important stage of setting targets, objectives and priorities (Stage 4). For this part of the planning process, it is important to involve the highest political representation possible.

Following the setting of objectives comes a series of detailed planning phases for agency support to communities and for project implementation at community level (Stages 5 - 11).

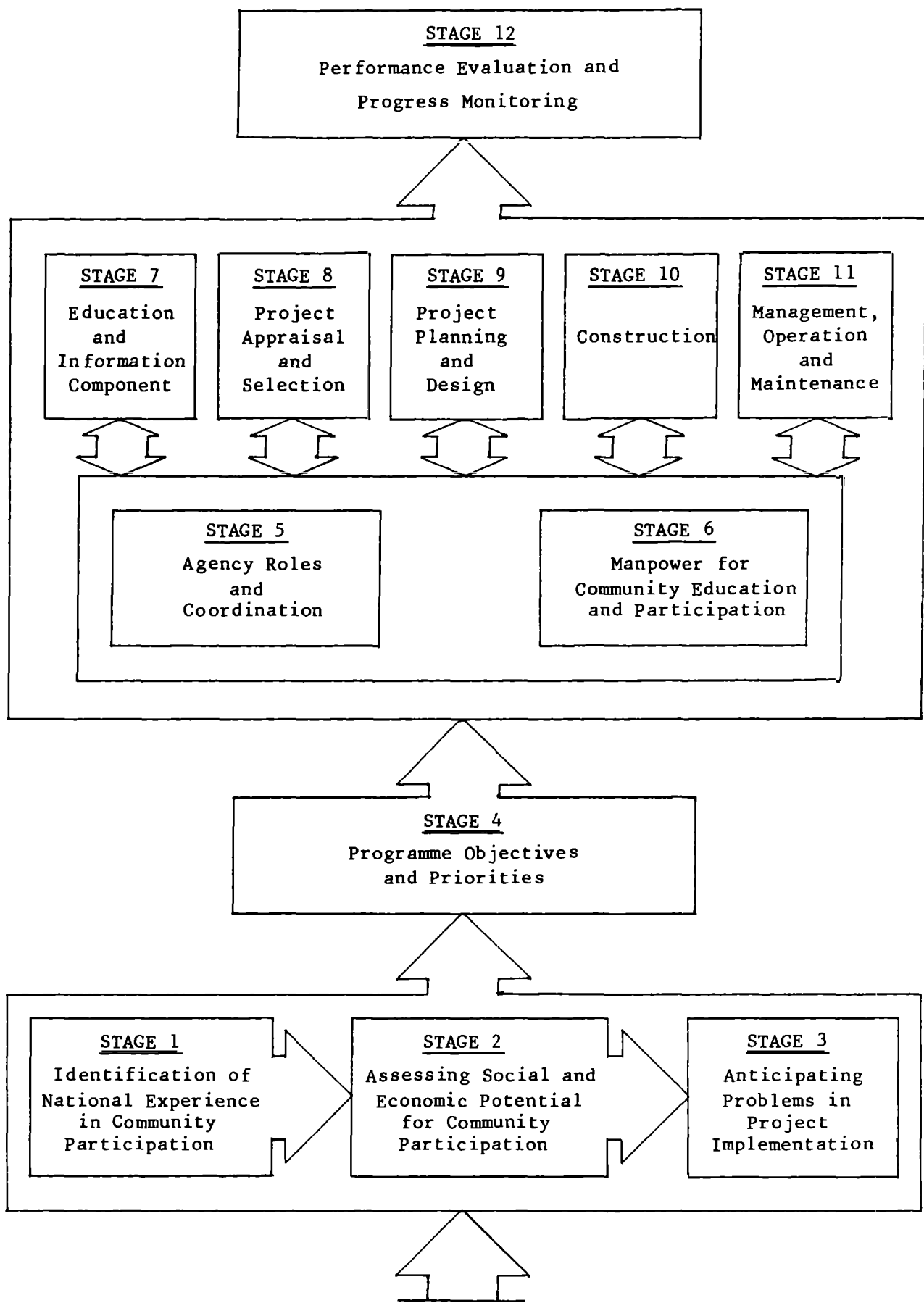


Fig.1 Planning Framework for Community Education and Participation in Drinking Water Supply and Sanitation Programmes

The final stage in the sequence is monitoring and evaluation (Stage 12). The importance of this stage is paramount because it is only by evaluation that past errors are detected and procedures can be revised in order to avoid committing the same errors in the future.

The stages shown in Figure 1 and presented as sections in this Guide are repetitive phases which will need reworking to make decisions consistent with one another and appropriate to the available resources and constraints of manpower, economics and political support.

Overseeing this internal consistency in the CEP component should be one of the tasks of the planning steering group. They will also need to be sensitive to the lead times implied by some of their decisions and alert others to them. Lead times for manpower training and community education are notoriously longer than those normally allocated.

It is envisaged that the checklists and workplans set out in this guide will form the basis for discussion, evaluation and rational decision-making. They are intended for use:

- a) by individual planning and technical personnel as guides to their written proposals and designs
- b) in interview settings by WHO staff and others in talking with national planning agencies
- c) in departmental and interdepartmental meetings as a formal or informal agenda for discussion
- d) for discussions at regional and district office levels
- e) selected questions can be used to obtain information and invite participation at community meetings and in interviews with community leaders.

Some topics are more usefully discussed in one setting rather than another, and this is indicated for specific checklists and workplans.

It is not intended that following the approach suggested here will prolong the process or overburden planning personnel, but rather the opposite. By presenting a summary of experience from many different countries under particular topics, it is hoped to facilitate the planning process, and convince planners that designing for community participation is a practical proposition.

The CEP component should not be considered or designed in isolation. It should be integrated with the overall national planning process for the Decade both in content and in timetabling.

The CEP planning process will rest on inputs from many different people and agencies. A small steering group will be needed to direct and coordinate the planning and integrate it with other aspects of the programme. This guide is written for those who find themselves in that role.

### 3.2 What this Guide is not

This guide is clearly not a prescriptive document but an agenda-setting and planning aid.

It is not a general guide to involving communities in the total development process.

While it may include topics also relevant to other sectors and to other aspects of DWSS projects, the Guide is designed specifically for planning community participation in drinking-water and sanitation projects. Thus in areas such as socio-economics or project criteria, only those questions particularly significant to these more limited objectives are included.

This guide is only one input into a planning process that will involve many people at all levels of government. The Guide cannot make decisions, nor carry them out. What remains to be done, after the Guide has played its role, is the main task of implementing and following up on the decisions made in the planning process.

B. ASSESSING THE POTENTIAL FOR COMMUNITY PARTICIPATION

Community participation is now accepted as a key ingredient for the success of projects in rural areas. Participation can only rarely thrive in isolation without institutional support. On the other hand it is unlikely to become a reality as the result of the mere fond wishes of a programme manager in the capital city or in response to a government order or directive that communities will henceforth participate. The sincere support of community initiatives by appropriate government policies and proper management procedures are clear essentials. But for community participation to be effective it is also necessary to ascertain a suitable social, cultural and economic climate at the sites of projects. Thus, before launching a programme which is intended to be based on community participation, it is judicious to assess whether or not the contemplated approach is viable.

Where experience has been gained in the implementation of projects with the involvement of communities the prospects are good for adopting or adapting procedures that have had previous success. Checklist 1 can be used as an aid to the verification of past experiences, both good and bad.

Where there has been no past experience with community participation, either in water supply and sanitation or in other local activities, it is necessary to gather background information concerning certain social and economic conditions. An assessment can then be made as to whether a potential exists for applying participatory approaches. Checklist 2 outlines the socio-economic information that needs to be gathered in order to make a valid assessment of potential.

It would be unusual to find that the prospects were 100% in favour of adopting the community participation approach. Invariably problems can be identified that have inhibited past efforts or which appear to be a constraint in the planning and implementation of future projects. Clear and complete identification of these problems is an essential first step prior to devising ways and means for solving the problems. Checklist 3 gives guidance for the identification of problems that have appeared from place to place and from time to time in connection with water supply and sanitation projects. Its use, when coupled with solving the problems that appear, will help projects to prosper.

STAGE ONE

IDENTIFICATION OF NATIONAL EXPERIENCE IN COMMUNITY PARTICIPATION

The purpose of these questions is to identify what projects, particularly within the sector, have involved community participation.

The questions can be addressed to different agencies and regional/district offices.

At this point, it is not detailed evaluative information that is being sought, but a general idea of the scope of earlier projects involving CEP and most importantly, the identification of key people involved in the design and implementation of the earlier projects.

These key people will be drawn into early discussions on socio-economic aspects and problems to be anticipated (steps 2 and 3).



STAGE ONE

IDENTIFICATION OF NATIONAL EXPERIENCE  
IN COMMUNITY PARTICIPATION

1. Which sectors and agencies have programmes involving community participation

- specify programmes and dates

Checklist:

- water supply
- sanitation
- primary health care
- agriculture
- rural development
- education/universities/institutes
- public works (roads, etc.)
- resource management
- voluntary organizations
- private sector
- health education
- bilateral or international agencies
- other

2. What types of water supply programmes have involved community participation?

Checklist:

- urban fringe public standposts
- urban fringe house connections
- urban fringe handpump-bore holes
- combined communal water supply and sanitation stations
- institutional services (e.g. schools)
- wells with mechanical lifting device
- wells with man/animal lifting device
- wells without lifting device
- surface water catchment and storage
- rainwater catchment
- water purification
- rural well/spring protection
- combined with agricultural/irrigation
- other

3. What types of sanitation programmes have involved community participation?

Checklist:

- individual latrines
- communal latrines/showers
- bucket systems
- septic tanks
- night soil collection systems
- water borne public sewage systems
- oxidation ponds and ditches
- conventional treatment plants
- no treatment
- seepage pits
- compost pits
- garbage disposal pits
- garbage collection systems

4. What is the scale of these programmes?

- |   |
|---|
| <p>Checklist:</p> <ul style="list-style-type: none"><li>- geographic or administrative region</li><li>- area (sq.kms.)</li><li>- total population served</li><li>- number of communities covered</li><li>- size and distribution of communities</li></ul> |
|---|

5. What are costs of these programmes?

- |  |
|--|
| <p>Checklist:</p> <ul style="list-style-type: none"><li>- yearly budget and expenditure</li><li>- cost of CEP component</li><li>- unit investment and recurrent costs<ul style="list-style-type: none"><li>-per person or per household</li><li>-per standard installation</li></ul></li></ul> |
|--|

6. Who are the key people (at all levels) who have been involved and who can best contribute to a national assessment and planning process?

- |  |
|--|
| <ul style="list-style-type: none"><li>- at national level</li><li>- at district level</li><li>- at regional level</li><li>- at local level</li></ul> |
|--|

STAGE TWO

ASSESSING THE SOCIAL AND ECONOMIC POTENTIAL  
FOR COMMUNITY PARTICIPATION

The overall programme document is likely to include basic socio-economic and demographic data.

Here the strategy is to keep general description to a minimum. This is because it takes much time and effort to document socio-economic aspects unless the information has already been gathered. Many agencies' questionnaires to national government have lain unanswered because they require searching through files and no one has time to do it.

General social descriptions also have limited validity because peoples' knowledge, attitudes and practices (KAP) vary across short geographic distances and between neighbouring communities and families.

It is suggested that checklist 2 be used as the basis for one or more workshops to assess the social and economic potential for community participation. The work-shops should include participants experienced with CEP in sector projects (identified in phase 1) and social scientists knowledgeable in local situations.

Social scientists and other knowledgeable persons may be contacted through universities, research institutions and national research councils. They may also be working with voluntary organizations and other sector agencies (especially health and agriculture). They may be trained (among others) in anthropology, sociology, geography, rural development and social psychology.

The 'agenda' for the workshops can combine checklists 2 (social and economic data) and 3 (common problems in projects) or can treat them sequentially. Participants should be encouraged to add to, and modify, the topics covered by the checklists.

The latest national census or any more localised socio-economic surveys can provide useful background documentation to have available at the workshops. Participants should be encouraged to bring their own reports, research papers, etc., to start or add to social and economic data files for national planning.

STAGE TWO

ASSESSING THE SOCIAL AND ECONOMIC  
POTENTIAL FOR COMMUNITY PARTICIPATION

1. What is the settlement pattern of the population in need of services?

Consider:

- size and spacing of communities
- present social (family) and economic links between them
- road and service links
- administrative links
- migration and mobility of populations

2. What demographic factors exist which may influence CEP potential?

Consider:

- major diseases present
- mortality and morbidity patterns
- infant mortality
- number of children born per female
- number of female heads of household
- migration patterns (especially of men)
- household residential unit
- household economic unit

3. What religious or ethnic beliefs exist which may influence the design of the CEP component?

Consider:

- practices in relation to water, sanitation and health
- implications for social distinctions between people
- authority of religious ceremonies/observances
- time and money expenditures expected

4. What are the traditional water rights and beliefs?

Consider:

- what are ownership rights? (riparian, flowage, etc.)
- who can hold water rights? (males, males and females, particular families, all community)
- who has access to water? (stream, well, spring, etc.)
- are rights for specific purposes? (human consumption, animals, land)
- what are related right of way issues? (quanats, foot access)
- are there any beliefs relating to spiritual ownership of water sources or contaminating of water?

5. What existing services have involved CEP and what can be learned from them?

Consider:

- water
- sanitation
- primary health care; clinic/ dispensary
- school
- retail store/market
- mechanic
- electricity
- road
- agricultural cooperative

6. What is the economic base of communities which can be used to pay for services?

- when is cash available during year?

Consider:

- agriculture % subsistence, % cash
- industries/crafts
- wealth and savings
- family land holdings
- animal stocks
- land tenure
- marketing outlets
- income/expenditures in cash and kind

7. What is likely to be the community's willingness and capacity to pay?

Consider:

- amount and reliability of income
- cash/kind proportions
- seasonal variation
- household variation
- payment for other services
- attitude to paying for water
- other cash purchases and expenses
- other way to pay than in cash, e.g. barter, assistance in maintenance, etc.

8. What levels of education can be expected?

Consider:

- for men
- for women
- for different age groups
- literate (in what languages?)
- ability to compute
- ability to read technical drawings

9. What rights and obligations exist between members of a community?

Consider:

- inheritance patterns
- obligations to leaders
- obligations leaders
- obligations for community service
- credit rights
- access to resources
- legal rights

10. What access to media do communities have?

Consider:

- radio, TV
- films
- slide/tape show facilities
- posters, use of different materials
- pamphlet distribution
- local plays, dance, etc.
- newspapers

11. Are there major social and cultural differences within communities?

Consider:

- communities which contain different ethnic and religious groups experience more difficulty in developing general participation
- how to guarantee access to poorest and lowest strata of community
- how to reach all groups in planning and evaluation phases

12. Who are the best community 'leaders' for different aspects of projects - (e.g. decision making, fund raising, technical)?

Consider:

- how to identify opinion leaders as well as formal leaders
- how to include teachers of different groups (e.g. women, youth)
- how to avoid leaders making self-serving choices
- that leaders may have created 'gap' between themselves and rest of community
- how to keep leaders well motivated towards project by giving them roles, prestige
- ensure that leaders are accepted by community
- how to identify the boundaries of the leaders' authority for the community

13. What aspects of community decision-making patterns need to be considered?

Consider:

- how traditional decision-making patterns work
- find out how much time decision-making requires
- find entry points in decision-making structure for influencing opinion
- avoid forcing too early a (negative) decision to be expressed
- how to involve disadvantaged groups (women, poor)
- recognise formal/informal decision-making patterns
- how to link community decision-making structure to higher level ones

14. What traditions of self-help are there?

Consider:

- in what sectors is self-help a tradition?
- has self-help been successfully used in an 'outside' project?
- who is involved in self-help?
- how is it organized?
- has self-help been misused/overused?
- how many days a year do people give already to self-help?
- what problems have already been experienced in self-help?

15. What has been the role of women and what is its potential over the next ten years?

Consider:

- what is the position of women in community development?
- what activities are open/barred to them?
- what role can they play in family and community decision-making?
- do they have a traditional role in health care?
- do they play any role in self-help?
- can they become community level workers?
- how can they be readied as a primary target group for participation?
- who are the women leaders?
- where do women get together?
- who is training women?
- are women members of committees?

16. What health-related attitudes and practices must be taken into account?

Consider:

- who provides present (traditional and modern) health care?
- can traditional health care practitioners be encouraged to adopt modern techniques?
- do they have time to include water hygiene and sanitation in their work?
- what are basic traditional concepts about causes of disease and good health?
- what are main obstacles to improved health?
- what is perceived role of water and sanitation in health?
- what are attitudes to infant mortality?

STAGE THREE

ANTICIPATING PROBLEMS IN PROJECT IMPLEMENTATION

One of the best ways to avoid, or minimise, problems in implementation, is to anticipate them and to plan specifically for them.

The main purpose at this stage is to encourage people to assess past experience which can be put together with the socio-economic potential for CEP to redesign each aspect in detail.

People are often reluctant to admit failures associated with themselves or their department and it is important to establish a clearly 'forward-planning' atmosphere to allay fears of reprisals.

This next checklist is intended to be used as an agenda-setting device for workshops or inter-agency meetings. It can also be used in smaller settings, such as individual interviews or committee discussions.



STAGE THREE

COMMON PROBLEMS IN WATER SUPPLY AND SANITATION PROJECTS

1. Long delays between receiving requests from communities and appraising projects for approval.

Possible actions include:

- more information to communities on selection criteria and time required to process requests
- quick routine check of all applications and early reply to hopeless cases
- smaller target areas
- screening of applications at lower level
- more resources for appraisal process

2. Cash deposits from communities tied up for long periods during the appraisal process.

Possible actions include:

- requiring deposit in instalments
- requiring deposit after appraisal has been made
- use other indicators of community commitment

3. Requests from communities not reflecting national policy for programme priorities.

Possible actions include:

- closer definition of programme objectives
- examine national policy for contradictions (e.g. goal of developing organizational capacity with demand for local initiative to start project)
- better information to communities
- modify allocation procedure (e.g. to include invitations)
- modify selection criteria (e.g. omit cash deposit for poor communities)

4. Fewer requests from communities than could be handled.

Possible actions include:

- more information to communities to stimulate requests
- easier application procedures
- regular development committee meetings at local and district levels

5. Poor reception of project planning team by communities.

Possible actions include:

- more/easier information to community
- courtesy visits to leaders, etc.
- use of local escort or assistant
- involve community in data collection
- begin education process
- address community meeting
- meet negative rumours head-on

6. Poor attendance at project meetings
- small numbers
  - some groups not represented
  - few women.

Possible actions include:

- changing time, site
- arranging to meet unrepresented groups separately
- better promotion of meeting
- more opportunity for feedback provided
- clearer definition of meeting's purpose
- arrange for speaker from another community with project completed
- provision of incentives to attend (film, food, brochures)

7. Local resistance to choice of site for facilities.

Possible actions include:

- ensuring proper compensation paid
- avoid siting advantageous to one group or individual
- clarify ownership before siting
- deal with right of way problems
- ensure there are no access problems (caused by ownership, social status, religion, tradition, etc.)
- try to determine reasons for resistance
- discuss siting issues and criteria with community before finalizing choice.

8. Local resistance to service level offered.

Possible actions include:

- better consultation all round, especially with likely opposition (water vendors, traditional healers, well owners, etc.)
- avoid preferential service (especially subsidized) for some individuals and groups
- discuss future upgrading possibilities
- start education process early

9. Difficulties with voluntary labour (often inherited from poor experience with a previous project).

Possible actions include:

- ensure work distribution is fair
- clear timetable agreed with community
- flexible task order if possible
- pay those not benefitting directly
- allow choice of labour or cash contribution
- adapt labour management to local leadership patterns
- agency personnel join in some manual tasks
- make tasks compatible with tradition for certain classes, religions, sex
- time labour tasks with regard for:
  - other community work (e.g. harvesting)
  - cultural events (religious festivals)
  - physical capacities (end of fasting)
  - migration patterns
- take special care in mixing labour types (prison labour, food-for-work, paid labour, self-help labour, etc.)

10. Frequent and long breakdowns in service.

Possible actions include:

- improve liaison with and support services to community
- improve skills, attitude of operator
- educate users in proper use of facilities
- closer supervision of operator by agency
- closer supervision of operator by community
- re-train operator or train alternate
- consider training female operators
- encourage prompt reporting of breakdowns with quick response from agency
- upgrade technology
- reduce population served per facility

11. Long queues at facilities.

Possible actions include:

- ensuring operator works longer or more convenient hours for users
- employing 2 operators to work shifts
- giving community authority over operator and operator's pay
- preventing queue-jumping arrangements between operator and water vendors

(cont'd)

11. (cont'd)

- improved public relations by operator especially on reasons for and likely duration of breaks in service
- increasing working service points per head of population
- providing other facilities for e.g. laundry, personal washing to reduce demand
- providing free access to service
- lower rates for off-peak use

12. Misuse of facilities.

- Possible actions include:
- relocating service points to avoid contamination of water by excreta
  - improve hygiene at drinking-water collection point
  - improve water storage facilities
  - discourage children playing with facilities
  - discourage layman repairs
  - reduce user frustration leading to wilful damage (e.g. queues, breakdowns)
  - be sensitive to factionalism, prejudice within communities and ensure access to all
  - consider ways to reduce vandalism, theft
  - discourage overgrazing near facilities leading to erosion
  - reduce pools of water which act as disease vector breeding points and make facilities unsanitary
  - reduce population served per service point
  - make users directly responsible for supervising or cleaning service point
  - increase private facilities
  - improve community supervision
  - employ well supervised operator
  - user education

13. Lack of use of facilities.

- Possible actions include:
- find out what other facilities (stream, ponds) used for what purposes and why; ask users
  - improve users' perception about water quality
  - investigate service point for poor taste, oily appearance, etc.
  - reduce breakdowns in service and improve service reliability
- (cont'd)

13. (cont'd)

- reduce cost to users or make them free
- design facilities in accordance with local traditions (e.g. modesty, caste, female seclusion)
- site facilities more conveniently
- encourage local leaders to set good examples
- consider multi-purpose facilities to attract users (laundry, showers, animals)
- user education

14. User unwillingness to pay.

Possible actions include:

- making facilities more convenient and better meeting users' needs
- reducing price
- modifying basis of payment (fixed rate; based on consumption; distance from service; ability to pay)
- making place of payment convenient (e.g. house to house collector)
- making time of payment convenient (instalments, after harvest)
- increasing user satisfaction by responding to feedback (complaints)
- providing incentives (discounts for prompt payments)
- providing sanctions to non-payers (group pressure, disconnection)
- allowing community to decide on and apply sanctions and incentives
- combine free supply (human consumption) and paid (animals, irrigation)
- pay at service point

15. Lack of unity in community decisions.

Possible actions include:

- talking to factions separately
- allow sufficient time for the resolution of differences
- give clear time limits for decisions
- give clear indication of costs and consequences of delayed decisions

WHAT ARE THE MAJOR KNOWLEDGE,  
ATTITUDE AND PRACTICE PROBLEMS  
WHICH NEED TO BE ANTICIPATED?

C.SETTING PROGRAMME OBJECTIVES AND PRIORITIES

Drinking-water and sanitation programmes are usually aimed at a number of objectives relating to health, economic and other expected benefits.

The underlying philosophy of a community participation approach is that any overall DWSS programme objective is more easily reached when local involvement is high.

In addition, community participation in DWSS projects may specifically help governments to implement more general social objectives, such as reducing regional disparities in economic wealth or concentrating dispersed settlements to improve the level of public services and help reduce rural-urban migration.

Thus community participation should be regarded as a general social and political process which goes far beyond its immediate implementation in DWSS programmes. It can bring to communities a sense of achievement and success that helps them on the road to self-reliance and partnership with central government. The keys to this process are:

- (a) a community participation approach that is adapted to the needs of individual countries
- (b) political commitment to community participation at the highest levels.

STAGE FOUR

PROGRAMME OBJECTIVES AND PRIORITIES

This checklist is provided to facilitate discussions leading to an agreed, explicit and detailed statement of objectives, and the priorities within them.

Discussions should include political representation of national and local government at a level that is able to make binding policy decisions.

The objectives and priorities set need to be referred to the later planning stages to check for consistency between objectives and plans. An repetitive process may be necessary, in which unrealizable objectives are modified as detailed plans are worked out.

Later planning stages, as presented in a series of workplans, essentially present an opportunity for selecting components to fit together a CEP approach designed for specific situations.

The people involved in setting objectives and priorities can play an overseeing role in ensuring that:

- (a) an acceptable minimum level of community participation is planned for, and
- (b) the component parts selected are reasonably consistent with one another. For example, communities are not permitted great involvement in decisions concerning project design and choice of the technology to be used, but are expected to contribute to self-help construction and be responsible for operation and maintenance.

Thus, it is envisaged that the setting of programme objectives is undertaken by the national steering group, and that this group includes both technical personnel and political representatives.

STAGE FOUR  
PROGRAMME OBJECTIVES AND PRIORITIES

1. To obtain general political support from communities.
2. To increase the organizational capacities and self-reliance of communities.
3. To obtain support for specific government policies related to Decade programmes.
4. To ensure a proper distribution of benefits and costs.
5. To install facilities that increase social benefits.
6. In particular, to improve the status and conditions of women's roles as water collectors home makers and child rearers.

In terms of:

- concentrating dispersed settlements
- relocating settlements
- making nomadic group sedentary
- reducing urban migration
- influencing overseas migration
- strengthening local government
- expanding agriculture
- expanding industry
- expanding other services and infrastructure

In terms of:

- disadvantaged regions
- disadvantaged groups
  - poor
  - low social, economic, ethnic status
  - old and infirm
  - women and children

In terms of:

- improved health
- increased leisure time
- increased time for social organization, adult education, etc.
- community development
- recreational facilities
- status and conditions of women and children
- school attendance



7. To improve understanding of preventive health measures through education, specifically the interruption of the faecal-oral transmission route.

In terms of:

- appreciating the importance of water quality
- improving water storage practices
- improving personal and domestic hygiene
- sanitary disposal of excreta and other wastes

8. To improve general environmental sanitation conditions and practices in the community through motivation and education.

9. To install facilities that are acceptable.

In terms of:

- user acceptability
- conservation of scarce resources
- avoidance of adverse environmental consequences
- possibility for extension/upgrading
- minimizing demand on foreign exchange

10. To encourage continued functioning of facilities through community motivation and acceptance of responsibility.

In terms of:

- normal expected use
- available maintenance and repair facilities
- increase in use
- reduction of misuse
- replacements and extensions

11. To design and construct facilities that reduce costs.

In terms of:

- capital investment
- labour investment
- skilled labour demand
- imported labour
- imported materials
- external exchange
- recurrent costs for administration, operation and maintenance
- fuel demand
- reliability of equipment
- depreciation
- capacity and willingness of community to pay

12. To install facilities that increase economic benefits desired by the community.

In terms of:

- time used for water collection
- time used for water related tasks (laundry, animals, bathing)
- energy used for water collection and water related tasks
- adoption/expansion of livestock activities
- adoption/expansion of agriculture/horticulture
- adoption/expansion of small industries/crafts
- decline in expenditures for medical services
- increase in labour productivity
- increase in school attendance
- avoidance of water wastage

13. To improve information to the community about government policies and programmes.

14. To improve school attendance especially for children involved in water carrying.

15. To foster environmental knowledge and concern to preserve and improve environmental conditions among local people.

D. PLANNING FOR NATIONAL AND REGIONAL AGENCY SUPPORT TO COMMUNITIES

Programmes which involve more participation increase the emphasis on planning at the community level. However, more communities need the support of regional and national agency offices. Increasing participation at the community level therefore means increasing the demand for support services on sector agencies at all levels. In particular, heavier demands are made for manpower and training - both of which have been constraints to progress in many countries in the past.

It is important that the degree of flexibility or standardization should be decided at a central level and then made clear to all levels. As in other aspects of the DWSS programmes, plans for CEP components can be made and applied. Difficulties can arise when different interpretations develop about the degree of flexibility. In considering the decisions arising out of this section (Stage Five) and the next section (Stage Six) of this Guide, planners should consider:

- (a) how much freedom of action will regional/district/community level personnel have?
- (b) the more freedom given to make independent decisions and to take action, the better trained the personnel must be.

Thus, more flexibility probably means more manpower costs as well as more successful implementation. Community participation places heavier demands on human resources, training and evaluation but results in continued operation and maintenance of facilities.

STAGES FIVE AND SIX

AGENCY ROLES AND COORDINATION

MANPOWER FOR COMMUNITY EDUCATION AND PARTICIPATION

Workplans 1 and 2

The workplans covering some of the main issues about which decisions are needed are included here. The first workplan relates to questions of agency roles and coordination and the second covers manpower and training.

The workplans follow a similar format to the checklists except that they specify areas where decisions are required rather than questions that need to be addressed.

The workplans can be used as a guide to individuals or teams who are engaged in the planning process. Some of the decisions needed in Workplan 1, about agency roles, will need discussion and commitment at the highest technical and political levels and should involve the relevant key people.

STAGE FIVE

AGENCY ROLES AND COORDINATION

1. Which agencies will be principally concerned with planning and implementation of Decade programmes?

Checklist:

- national government agencies
- regional government departments
- international agency
- voluntary organization (national, regional, local, international)
- private sector
- combination of above

2. What are their institutional links and how will they effectively coordinate activities?

Options include:

- inter-ministerial committee at highest level
- inter-agency coordinating committees
- one agency taking 'lead role'
- clearly defined separate responsibilities
- independent activities
- advisers from other agencies attached to lead agency (e.g. for education and rural development attached to water)

3. Specifically, will programme linkages exist between drinking-water supply agency and other community development programmes?

For example:

- waste disposal
- nutrition
- vegetable gardening
- rural composting
- health
- livestock improvement
- irrigation, fertilization
- small-scale industries
- adult education
- home economics - recreation

4. How will drinking-water supply, sanitation and primary health care programmes be integrated at national, regional and local levels?

Checklist:

- integrated programme at outset
- separate programmes integrated through phasing arrangement in communities
- one sector project is condition for receiving another
- channelled through same office at regional, district level
- coordinated at national level
- use same community level worker
- use same community committee

5. Will community education and participation be the responsibility of one specific agency or unit?

Options include:

- all delegated to promotion unit in (water) agency
- delegation to two units; one for participation and one for education
- delegation to agency in another sector (agriculture, rural development education)
- divide task into 'before' and 'after' construction and have two units

6. At what level of decentralization will CEP agents operate?

Checklist:

- national
- regional
- district/local
- community
- combination

7. What field and support tasks for Decade Programmes will agency responsible for CEP undertake?

- who will undertake each task?

Checklist:

- design and testing of CEP procedures
- development and testing of CEP materials
- training of CEP personnel
- distribution of programme information
- channelling of requests from communities
- community studies
- project introduction
- project information and motivation
- community organization for planning phase
- training for participation in construction
- training for participation in operation, maintenance and administration
- users' education
- health education
- logistic support for operation and maintenance
- evaluation of CEP

8. What other agencies will be involved in field/support tasks?

9. What will be the reporting responsibilities and communication channels between all those involved in the CEP programme?

STAGE SIX

MANPOWER FOR COMMUNITY EDUCATION AND PARTICIPATION

1. Who will do CEP work?

- individual or team?
- male or female or combination?

2. Who many CEP workers will there be for each community or 10 000 population? (consider community size and settlement pattern)

- Checklist:
- stationed permanently in community
  - in mobile promotion units
  - in district offices
  - in regional offices
  - at national headquarters

3. What other tasks will CEP workers have?

- Checklist:
- agricultural extension
  - nutrition
  - public health inspection
  - rate collection
  - maintenance
  - primary health care
  - education in water related diseases
  - no other tasks

4. What other workers can do CEP tasks?

- For example:
- public health nurses
  - census enumerators
  - nursing auxiliaries
  - technical team
  - family health worker
  - rural development officer
  - teachers

5. How much time will be allowed in each community for CEP workers to do their tasks?

(Decision here should be cross-checked with decisions about CEP task questions 2, 3, and 4 above.)

6. What incentives, career opportunities will be provided for CEP workers? (this is needed to avoid large loss of trained CEP workers)

7. On what criteria will CEP personnel be selected?  
(whether community level worker or above)

Checklist:

- sex - age
- area of origin in relation to area of work
- knowledge of one or more ethnic languages sufficient to communicate in community
- level of education (balance between minimum required for training and too high a level creating distance from community)
- technical skills (water, sanitation, health)
- organizational ability
- attitude towards fieldwork/living in rural/urban fringe community
- local inhabitant of good standing likely to remain in community
- satisfactory work history

8. How will CEP personnel be evaluated?

- for training
- after training

Checklist:

- written tests
- practical tests
- interview by technical committee
- interview by community committee
- evaluation by training instructor

9. How will CEP personnel be trained?

Checklist:

- orientation course
- theoretical course
- practical course
- on-the-job training
- refresher course

10. What topics will be covered during training?

Checklist:

- programme technologies - water and sanitation
- relationship between water, sanitation and disease
- water related diseases (causes, symptoms, treatment, prevention)
- other environmental health technologies (housing improvements)
- community data collection techniques
- community organization methods
- nutrition (gardening, food storage, etc.)



11. Will CEP training be provided to higher levels of agency personnel?

- how high?

12. Who will do the training?

Checklist:

- existing institute in country
- existing institute abroad
- programme staff
- foreign training team

HOW MUCH WILL THIS TRAINED  
MANPOWER COST IN RELATION  
TO NATIONAL AND PROGRAMME  
RESOURCES?

E. PLANNING AT THE COMMUNITY AND PROJECT LEVELS

In planning at the community and individual project levels, a major emphasis is placed here on attention to detail. Some issues, such as the timing and content of 'landmark' ceremonies during construction of facilities, can be left to the discretion of the community level worker and the community.

Experience has shown, however, that attention to detail at the central planning level leads to more successful implementation. In any case, there should be explicit statements in the national plans regarding who can make decisions which are not spelled out already at national level.

Another important consideration in working through these workplans is the integration of decisions at the community/project level with higher decision-making levels so that:

- (a) unrealizable expectations are not generated and
- (b) unfillable demands are not placed on either communities or on agency officials.

STAGES SEVEN TO ELEVEN

EDUCATION AND INFORMATION COMPONENT

PROJECT APPRAISAL AND SELECTION

PROJECT PLANNING AND DESIGN

CONSTRUCTION

MANAGEMENT, OPERATION AND MAINTENANCE

Workplans 3 -7

These workplans follow the usual sequence of project implementation phases:

- Education and information component (Workplan 3)
- Project appraisal and selection (Workplan 4)
- Project planning and design (Workplan 5)
- Construction (Workplan 6)
- Management, operation and maintenance (Workplan 7)

It must be recognized that the education and information component is not a single intervention but that it will continue in various forms throughout all stages of the project. After a project is completed and is in technically successful operation the objective is to influence the use that is made of facilities so that maximum health benefits can accrue to the project's beneficiaries

The workplans that follow include the main areas where planning decisions need to be taken and can be used as a planning tool by an individual or team.

The workplans can also be used as agendas for discussion between technical personnel, between agencies and within communities.

The person using this Guide may wish to bring together different groups of people for each workplan topic. For example, in Workplan 3, in discussing questions relating to access to credit, it may be useful to involve private and government sector banks, both for their expert advice and because they may be able to implement desired changes.

For other decisions relating to construction or local maintenance, people with experience of working in communities as well as some community leaders should participate in the central planning process.

STAGE SEVEN

EDUCATION AND INFORMATION COMPONENT

1. What aspects of the programme will be covered in the education component?

Options include:

- general programme information (allocation criteria, etc.)
- specific project information (choice of technology, level of service, siting, etc.)
- self-help labour instruction
- management education
- users' education
- training of community members for specific tasks
- health education

2. What educational methods will be used for each aspect?

Options include:

(A) individual contacts

- house visits
- fieldworker's office visits
- personal cards/letters

(B) group activities

- lectures, talks
- (small) group discussion meetings
- demonstrations
- trips
- short courses

(C) mass approach

- mass meetings
- film show
- slide shows
- folk media (trad. songs, drama, etc.)
- posters, slogans, banners
- bulletins, folders
- loudspeaker tours
- announcement boards
- exhibitions, displays
- mass media-radio broadcasts
  - TV broadcasts
  - press articles, statements

(D) combined approach

- radio-TV study groups
- cassette listening groups
- popular theatre discussion groups
- group training unit approach (extension agent working through carefully selected local animators)

3. Who will be target groups for each educational approach?

- Checklist:
- Community level
- all community
  - heads of households
  - men/women/children/mothers
  - community leaders
  - committee members
  - local teacher, health auxiliary
  - community level worker
  - users
  - most disadvantaged groups
  - self-help labour
  - recruited personnel
- District/Regional level
- District/Regional officers in charge
  - all district/regional personnel
  - health workers, schools
  - mobile technical unit personnel
  - all field workers
  - CEP workers
  - political figures and key leaders
- National Headquarters level
- members of inter-Ministerial Committee
  - technical members of interagency committees, task forces, etc.
  - CEP personnel
  - all personnel working on Decade projects
  - some agency personnel (e.g. health, water)
  - key leaders and politicians
  - voluntary organizations

4. How will feedback, dialogue be achieved?

- Checklist:
- direct comment by target group
  - survey of response
  - formal reporting mechanism
  - informal comment; reports
  - question and answer sessions at meetings and through media
  - box numbers, letters to newspapers
  - field visits, evaluation studies
  - self-surveys
  - competitions

STAGE EIGHT

PROJECT APPRAISAL AND SELECTION

1. What CEP criteria will be used in project appraisal?

Options include:

- commitment, enthusiasm for project
- acceptance of project
- need for project
- demonstrated capability for CEP
- existing (self-help) facilities
- local organizations
- educational level
- potential for CEP

2. What indicators will be used to measure the potential for community participation?

Options include:

- formal request from community
- willingness to contribute
  - cash
  - labour
  - land
- record of previous participatory activities
  - with other agencies/sectors
  - independent community activities
- formal donations given:
  - land
  - cash
- community characteristics
- % wage labour in community
- number and type local organizations
- suitable leadership
- social homogeneity/strength of factions
- settlement characteristics
- population size for labour
- formal acceptance of agency invitation
- response to national survey

3. How will the relevant indicators be measured and appraised?

- source of information?
- date of information?
- systematic or spotty coverage?
- how quantitative is the appraisal?

Options include:

- national surveys
  - field
  - questionnaire
- special studies
  - local
  - project feasibility, etc.
- expert advice
- desk studies
- hearsay
- requests

4. How are the selection criteria to be weighted/ranked?

Options include:

- standardized ranking system
- formula applied
- rule of thumb applied
- all criteria applied rigidly, loosely
- only some criteria crucial

5. How will CEP criteria be fitted into an overall ranking system for all criteria?

Other criteria may include:

- hydrogeological conditions
- population size
- type of settlement pattern
- health conditions
- capacity to pay
- development potential
- existing facilities
  - water
  - sanitation
  - PHC
  - other (e.g. school road)
- national distribution policy

6. How will the community participate in the allocation process?

Options include:

- community participation in
  - field surveys
  - questionnaire surveys
  - local studies
- community informed about
  - field surveys
  - questionnaire surveys
  - local studies
- community knowledgeable about
  - allocation criteria
  - criteria weightings
  - allocation procedure
  - appeal procedure

7. How will a community participate in starting a project?

Options include:

- project imposed by agency from above
- project allocated by agency
  - without community motivation
  - with community motivation
- project request starts at regional level
- project request starts at district/local level
- project request starts at community leader level
- project requested by whole community

8. What will be done for communities which have not (yet) been selected for a project?

- Options include:
- are all communities to be informed about allocation criteria and placings?
  - if a community is rejected, (how) is it informed and what reasons are given?
  - will an appeal or reapplication procedure exist?
  - how will communities know about it?
  - what time delays are likely to be involved?
  - what expenses to community are anticipated for appeal procedure?
  - what alternatives are open to communities not yet served?

9. Who will have access to credit at household and community levels?

- Options include:
- anyone in community
  - those with good economic standing only
  - landowners only
  - men only
  - with insurance only
  - with support of group in case of default
  - those who have made in-kind contributions

10. Who will be responsible in the case of default? (concern over this may cause hesitation to participate)

- Options include:
- borrower only
  - head of household
  - spouse
  - head of extended family/tribe
  - leaders of community/organization
  - all committee members
  - all community/organization members

HOW WELL DO THE CHOICE  
SELECTION CRITERIA MATCH THE  
NATIONAL OBJECTIVES AND PRIORITIES?  
(Section C)



STAGE NINE

PROJECT PLANNING AND DESIGN

1. Will the way in which the project is initiated be reflected in different planning strategies?

For example:

- will the allocation decision now be referred back to
  - community leaders?
  - the whole community?
- will the introduction programme vary with more time, motivation allocated for less enthusiastic communities?

2. What aspects of planning will the community be involved in?  
(consider role of community in reaching this decision)

Options include:

- geographical scope of project
- integration with other development sectors
- siting of facilities
- type and design of technology
- testing of technology - field trials
- level of service
- selection of water source
- additional facilities (cattle, laundry, etc.)
- financing
- timing
- manpower allocation
- field studies

3. Who in the community will be involved in planning?  
(consider role of community in reaching this decision)

Options include:

- trained community level worker
- project - selected individuals
- formal leadership
- informal leadership
- opinion leaders
- committees
- interest groups (e.g. farmers, co-ops)
- male heads of households
- female heads of households
- all members of community

4. How will the community be involved in planning?  
(consider role of community in reaching this decision)

For example:

- is the community informed about plans (choices, timing, reasons, personnel involved)?
- is the community consulted about plans (best time, place, formal permission)?
- does the community participate passively (answers questions)?
- does the community participate actively (collects data, discusses options)?
- is the community involved in the evaluation of alternatives?
- can the community initiate ideas, make choices and exercise a veto?

5. Will a standardized procedure exist for community participation in the planning phase?

- standardized procedure  
- local variations possible

6. What will be the responsibilities of the local organization for the planning phase?

Options include:

- participation in planning
- community information and motivation
- collection of local materials
- organization of voluntary labour
- organization of other services
- organization of fund collection
- safe storage of materials, equipment
- acquisition of land, rights of way
- organization of ceremonies during planning phase
- signing of contracts
- communication of progress
- identification of problems
- selection of community members for special tasks and trainings
- data collection
- data evaluation (e.g. discussion of consultant's or promoter's reports)
- preparation of project agreement or legal contract?

7. Are planning decisions concerning the community to be registered in a project agreement or legal contract?  
(VERY IMPORTANT)

Options:

- to define responsibilities
- to limit misunderstandings
- to emphasize significance of project
- to recognize value of community participation
- to contractually bind parties
- to accommodate turnover of project personnel

8. What aspects of the project will be covered in an agreement or contract?  
(VERY IMPORTANT)

Options include:

- scope of project
- type of technology and design
- level of service and ownership of facilities
- selection and ownership of site
- agency contributions and responsibilities
- community powers and authority
- community representation
- penalties for failure to fulfill agreement
- bonuses for early, fulfillment of agreement
- timetable

STAGE TEN

CONSTRUCTION

1. What organization will act for the community during construction?

Options include:

- same as for planning phase
- subcommittee of planning organization
- new committee
- existing self-help organization
- many neighbourhood groups

2. What responsibilities will the community organization have?

Options include:

- setting up work schedules
- providing or storing tools, equipment
- preparations (e.g. pegging out ground)
- allocating tasks
- supervising labour
- record keeping
- applying penalties/rewards
- managing community funds

3. What responsibilities will the community have for construction?

Options include:

- to provide paid or free labour
- to provide tools
- to provide local materials
- to provide food for labour
- to help construction in other communities
- to provide sites
- to provide housing for technical team

4. Will ceremonies be held (in accordance with local traditions) to indicate landmarks in the construction?

Options include:

- on choice of site (especially where religious acceptability involved)
- at beginning of construction
- at landmarks during construction
- at end of construction
- at official handover of facilities

5. How will construction tasks be phased?

To take account of:

- seasonal migrations (especially of men)
- religious ceremonies/seasons
- other demands on labour (harvest, etc.)
- effect of fasting on ability to work
- effect of weather on work conditions

6. How will possible overburdening of communities with demands for construction labour be avoided?

Check with:

- community leaders
- other agencies (to find out their plans)
- local organizations
- district/regional offices

STAGE ELEVEN

MANAGEMENT, OPERATION AND MAINTENANCE

1. Who will be responsible for the management of facilities at the local level?

Options include:

- water agency fully responsible
- another agency (e.g. health)
- local/district government
- local water committee representing users
- community member serving as manager
- private owner responsible
- traditional community leadership
- combinations of above

2. What will be the responsibilities of the community for management?

Options include:

- report periodically to agency
- report urgent problems immediately
- arrange taxes, water rates
- organize collection of payments
- keep accounts
- pay loans and other financial dues
- sign individual contracts
- pay home visits to non-payers and other problem households
- organize general meetings for elections, public reports, etc.
- develop and apply regulations
- deal with users' complaints
- keep minutes of meetings
- keep archives, log books
- organize demonstration, official visits
- select operators
- delegate responsibilities to operator
- supervise operators
- pay operators
- organize community contributions for upgrading, extension, repairs

3. Will community managers be able to exchange views other communities?

For example:

- through Water Committee Associations covering several communities
- through periodic training sessions, meetings
- informal mechanisms

4. If they are to be managed by the community, will the completed works be legally conveyed to the community?

Will local ceremonies be held?

5. Who will be responsible for the operation and maintenance of public facilities at the community level?

Options include:

- mobile operators within water agency
- agency operator locally based
- community member recruited and trained and responsible to agency
- as above but responsible to community
- combination of above
- local artisan (e.g. blacksmith) on contract
- community members for unskilled tasks
- national/regional agency responsible for back-up and supervision of local operation and maintenance

6. How will community members be selected as operators?

Which will be the most important criteria?

Who will make the final selection?

Options include:

- level of education
- knowledge of official language(s)
- knowledge of local language(s)
- previous related experience or skills
- age
- sex
- not on government payroll
- prolonged residence in local area
- fair guarantee of future stay in local area
- good local standing

7. What will be the duties of the local operator for public facilities?

Options include:

- routine maintenance
- simple repair
- report immediately when help needed
- report periodically to supervising body
- undergo training and refresher courses
- demonstrate system to official visitors
- arrange community labour
- collect water rates, fees
- help in health education
- advise and correct users
- deal with complaints
- control queues, disputes, etc. at standposts
- apply regulations and sanctions

8. Who will be responsible for promotion, operation and maintenance of private facilities?

Options include:

- as for public facilities
- household group leaders
- individual householders
- community level worker
- community health committee

STAGE TWELVE

PERFORMANCE EVALUATION AND PROGRESS MONITORING

In the approach to community participation recommended here, considerable emphasis is placed on evaluation. It is seen as a means of fine-tuning programmes once they are underway and is obviously a key to matching projects to user expectation and satisfaction.

It is recommended that:

- (a) evaluation studies always be included in a programme
- (b) evaluation studies be designed as part of the initial planning stage so that necessary baseline (control) data are collected
- (c) evaluation studies involve as much local participation as possible.

One of the best arguments for developing community participation in sector projects is that it enables local knowledge, attitudes and perceptions to be communicated directly to project planners. Nowhere is this more important than in evaluating projects. Communities represent the users who ultimately have the last word about the success or failure of a project. They also represent a large potential body of information and manpower resources to monitor, evaluate and improve the design of future programmes.

Evaluation is often a neglected aspect of sector projects. The successful progress of the Decade towards its target may, however, depend on proper evaluation.

EVALUATION IS AN OPERATIONAL ACTIVITY  
INTEGRAL TO THE SUCCESSFUL IMPLEMENTATION  
AND CONTINUANCE OF PROJECTS.

It is strongly recommended that the decisions outlined in Workplan 8 are not left for later discussion but are part of the overall planning process from the beginning.

Those involved in the design of evaluation and monitoring should include research social scientists; people with previous experience in CEP projects (especially those involved in Stage Two) and technical personnel at all levels who will be implementing the projects.



STAGE TWELVE

PERFORMANCE EVALUATION AND PROGRESS MONITORING

1. Will there be any system for local evaluation of schemes?

Checklist of possibilities:

- recording of how facilities function
- feedback channels from users at local level
- feedback channels to agency
- regular evaluation meetings with or without agency
- regular evaluation meetings with other communities
- survey of user satisfaction
- community collect data on user satisfaction themselves

2. How can community initiate upgrading of facilities?

Checklist of possibilities:

- same procedure as for new project
- by application to agency
- independently
- already covered in project documents/contracts

3. What indicators of CEP activities will be monitored?

Checklist of possibilities:

- number and type of programme information activities
- target groups identified and reached
- total hours spent on different CEP activities by agency manpower (daily logs)
- number and identity of key individuals contacted for each project stage
- number of mass meetings held
- quantity of printed materials distributed
- number of specialist group meetings held
- number of activities centred on schools
- number of medical examinations held
- numbers attending training courses
- number of field visits made by agency personnel (all levels) to projects

4. What other data on CEP will be gathered at community level (including qualitative data)?

Checklist of possibilities:

- reactions to programme information activities
- initial and continued participation of community representatives
- type of people attending meetings
- degree of participation in meetings (e.g. number and type of questions)
- degree of understanding of projects
- numbers/types of people contributing organizational help/labour/cash/etc.
- attendance at self-help work force
- progress + performance of work force

5. What indicators will be monitored to evaluate the effectiveness of the CEP programme?

Checklist of possibilities:

- number (%) of households using improved public water supply
- number (%) of house/connections
- membership of users' groups
- number (%) of households improving waste disposal facilities
- number (%) of households with improved water storage
- number (%) of households improving housing (floor type, raised stove, smokeless stove, insect control, washing facilities)
- how far improvements have reached most disadvantaged groups (poor, women, remote communities)
- conditions around supply points

6. What focus will evaluation studies have?

Checklist of possibilities:

- impact of information on awareness of programme, criteria, etc.
- cost-effectiveness of participation in construction
- cost-effectiveness of participation in management/operation/maintenance
- impact of CEP on users' acceptance of project
- impact of CEP on health knowledge, adoption of improved facilities and behaviour
- impact of users' education on operation and maintenance costs (reduction of misuse, etc.)
- impact of project on health
- socio-economic impact of project
- impact of project on willingness, aspirations for other projects
- impact of project on redistribution of burdens and benefits
- in particular, impact of any of above on most disadvantaged groups

7. What design(s) for evaluation will be used?

- Checklist of possibilities:
- post-project one-shot case study
  - as above with control
  - as above with several communities involving range of project treatments
  - pre-test and post-test (baseline plus post-project evaluation)
  - longitudinal (baseline plus several during and post-project evaluations)
  - time series (as above with more interim measurements)
  - quasi-experimental (baseline studies in project and control communities followed by post-project evaluation)
  - experimental (as above with random allocation of communities to control or project conditions)

8. Who will undertake any monitoring and evaluation activities or impact studies?

- Checklist of possibilities:
- members of community (paid/unpaid)
  - community committee
  - community level worker
  - technical operators
  - mobile agency team
  - district regional office
  - agency headquarters personnel
  - independent national (international) body
  - infant mortality/morbidity study teams

9. What will evaluation of participation in management, operation and maintenance be based on?

- Checklist of possibilities:
- number, duration and type of breakdown
  - amount lost through leakage
  - costs of operation and maintenance
  - costs of management
  - payment records
  - users' participation in operation and maintenance (report breakdowns, provide labour for occasional maintenance)
  - users' satisfaction (number and type of complaints)
  - number of water quality tests at source and in households conducted and accepted
  - hygiene around source
  - duration between breakdown and report

10. What will cost-effectiveness of participation in administration, operation and maintenance be based on?

Checklist of possibilities:

- value of all local workers (labour, community level worker, committee) to national salary and wage scales for comparable tasks
- value of local materials
- value of services for local workers and visiting agency personnel (food, housing)
- value of revenues collected
- costs of additional CEP inputs required (training, supervision, tool kits, etc.)
- costs of breakdown/delay due to poor management, operation and maintenance
- costs of bookkeeping, etc.
- costs of incentives, salaries
- benefits of self-development experience
- benefit of community spirit
- benefit of increased skills and organizational capacities
- benefit of increased information about government programmes, etc.

11. What will cost-effectiveness of self-help participation in construction be based on?

Checklist of possibilities:

- value of cash contributions
- value of land donated
- value of local materials donated or sold at lower price
- value of voluntary labour (compared with tender prices, construction work, wages, cost of using heavy equipment)
- value of services provided (savings on housing, transport, food, etc.)
- costs of manpower, materials for CEP component
- costs of labour instruction, training and supervision for self-help
- costs of additional tools, food, etc.
- costs of delays, conflicts
- costs of poor workmanship
- costs of adaptation of design
- costs of changing task order
- costs of incentives (reduction of water rate to workers, etc.)
- benefits of self-development experience
- benefit of cooperativeness, community spirit

(cont'd)

11.(cont'd)

- benefit of increased skills and capabilities
- benefit of cash inflow to community (wages, services to agency personnel)
- benefit of greater acceptance and use of facilities
- benefit of continuing functioning of facilities

12. How will education component be evaluated?

- Checklist of possibilities:
- % adopting and using improvements
  - % problems arising from misuse of facilities
  - reduction in user complaints
  - attendance at education meetings, clinics
  - KAP survey of change in attitudes
  - self-rating survey of attitude or knowledge change
  - user satisfaction measures
  - reduction in incidence of specified diseases (e.g. infant diarrhoea)
  - reduction in infant mortality
  - how far most disadvantaged groups have received benefits

13. What behavioural/attitudinal changes in community will be measured?

- Checklist of possibilities:
- number with improved health knowledge
  - number with satisfactory knowledge to use technology
  - number immunized
  - number using improved water and waste disposal facilities
  - number adopting specific hygiene practices (e.g. using soap, daily bath of children)
  - number using improved health facilities
  - reduction in water wastage
  - reduction in vector breeding places

LIST OF BACKGROUND DOCUMENTS

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