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SELF-RELIANT DRINKING WATER SUPPORT PROGRAMME

CONCEPTS AND PROSPECTS

1995 - 1997

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Helvetas



Mieke Leermakers, Pokhara, November 1994

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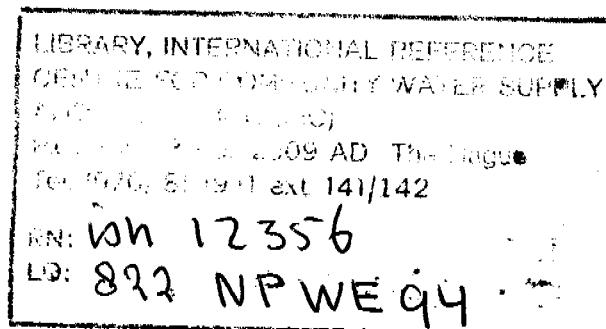
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1. BACKGROUND AND JUSTIFICATION

18 years of experiences in the drinking water sector: findings and conclusions

Since 1976, Helvetas has provided technical assistance to HMG/N to implement drinking water schemes in 16 districts of the Western Development Region (WDR). The programme, Community Water Supply and Sanitation Programme (CWSSP), emphasised community participation, the involvement of women, improvement of the health situation, and institutional capacity building.

Despite a quite difficult starting period, after ten years the programme had become the show piece of CWSS projects in Nepal. Although everybody was enjoying the success story, the problems on implementing a community participation approach within a bureaucratic structure were already becoming apparent. It began to be realised that implementation through less bureaucratic organizations could be more effective.

It took, however, another five years until this realization was fully appreciated by all persons concerned. Often the Helvetas programme management was found itself in a confusing and indecisive position. The change from the Ministry of Panchayat and Local Development (MPLD) to the Ministry of Housing and Physical Planning (MHPP) in 1987 was perceived positive the government got the benefit of the doubt. The political change, and the following unrest in 1990, slowed the process of taking-up new initiatives.

During the preparation of the Phase V agreement (1992/94), the performance and potential for improvement of the Department of Water Supply and Sewerage (DWSS) were carefully assessed. The subsequent decision to continue with the CWSS programme was based not only on that assessment, but also on other arguments arising from within Helvetas. The Phase V agreement shows a reluctance to continue with the CWSS approach by not adding any new drinking water scheme, but only finalizing those ones which were already in the pipeline. The possibility of continuing other activities after the Phase V agreement period was left open.

Under the Phase V agreement Helvetas provided support to DWSS Western Regional Directorate in different fields of the CWSS Programme. Helvetas having internally assessed the performance and present situation of each programme activity has in conclusion decided to stop its support for implementation and training, but to continue support for Operation and Maintenance (O&M) of already constructed CWSSP schemes.

By the end of the CWSSP Phase V agreement (end 1994) Helvetas will have assisted in the construction of about 340 (three hundred forty) drinking water schemes all over the Western Development Region including schemes which have been constructed as training projects. A status survey has shown that about 70% of the drinking water schemes are in need of minor, small or major repair.

As a consequence, HMG and Helvetas are receiving more and more requests

from user committees or villagers to support the operation and maintenance of their drinking water projects. As appraisals have clearly shown, these projects need to be the focus of 'concerted action' in the years to come.

The drinking water sector of Nepal has undergone dramatic changes in the past couple of years. Extensive and comprehensive studies have shown that to provide drinking water to the whole population by the beginning of the next century is a herculean task which cannot be met by the efforts of the central government alone. The potential of the private sector and the local bodies is tremendous and can and must further be developed. The DWSS has taken up the new challenges and is, besides implementing its traditional programme, re-orientating itself in view of playing a role as facilitator in supporting Non Governmental Organizations (NGOs), the private sector, and local bodies.

Likewise, Helvetas has also reconsidered its traditional role in the CWSS Programme and, based on a Memorandum of Understanding between MHPP and Helvetas, has embarked on a new programme activity designed to help reactivate, promote, and support people's self-help capacities for planning, construction, operation and maintenance of their drinking water schemes. The new approach is considered complementary to the CWSSP and DWSS activities.

Helvetas' new drinking water programme (in the beginning called the 'Complementary Approach', and later better known as Self-Reliant Drinking Water Support Programme (SRWSP)) took more time to take off than was expected. This was due to various minor internal and external circumstances. It took more than one year after the Phase V agreement was signed until real activities took place at field level. Nonetheless, during the construction season 1993/94 Helvetas has constructed six small drinking water schemes, with an maximum level of people's participation.

The experiences gained during the past two years are very encouraging and support the findings of studies done by DWSS in conjunction with Asian Development Bank and World Bank. The new approaches of SRWSP, which ensure a maximum coverage of drinking water due to an optimal level of community self-help on the one side, and a minimal requirement of scarce central government resources on the other hand, need to be further applied, studied, developed and refined. This implies a continuation of the SRWS Programme for a new phase as outlined in the Agreement and worked out in detail in this paper.

2. A NEW PHILOSOPHY

The programme's goals, objectives and principles are based on a number of untested but apparently convincing assumptions which are outlined below.

2.1 Assumptions

- there is a great and ever growing demand for reliable water supply schemes
- there are a lot of communities which are willing to provide more input (in kind, cash and labour) than has so far been thought to be the case
- the potential contribution of women in regard to water and subsequently to the well-being of the family is grossly underestimated
- women, previously the chief decision makers concerning water use, have lost their influence to men due to the introduction of technicalities
- with a proper approach beneficiaries are able and willing to take full responsibility for the operation and maintenance of their own water supply scheme
- many Local Based Organizations (LBO) and Local Non Governmental Organizations (LNGO) are interested in the implementation of drinking water activities

2.2 Overall goals and specific objectives

The overall goals of the programme are:

- to reduce the burden of water collection, especially for women and (girl) children, by providing drinking water within relatively easy carrying distance
- to reduce the incidence of water and sanitation related diseases by providing adequate quantity of clean drinking water and promoting environmental sanitation.

Based on the above mentioned assumptions the programme has set the following specific objectives:

- to develop and apply new concepts and approaches to promote the self-help capacities of the people and the eligible partners in the implementation of self reliant drinking water supply activities, with the aim of creating a feeling of ownership to such an extent that the beneficiaries take full care of their own water supply schemes;
- to support the process of empowerment of the community in general, and of women in particular, by involving them from the very beginning in the planning

- and decision making processes of their own drinking water schemes;
- to provide appropriate support to the eligible partners, thereby helping them to implement new drinking water schemes; and
 - to provide appropriate sustainable support for operation and maintenance of about 110 existing projects, comprising 60 small and 50 major repair projects realised before 1995 in the frame of Community Water Supply and Sanitation programme (CWSSP).

Due to its limited available means the programme will only be able partially to fulfil its goals and objectives. Moreover, other factors which are beyond the control of the programme will have an effect on the impact of the activities. Therefore, the programme will have to realise its limitations and subsequently develop a practical and realistic attitude in the fulfilment of the objectives.

2.3 Basic underlying principles

Besides the above elaborated assumptions, goals, and objectives, the SRWS Programme is based on the philosophy and principles of:

- **partnership:** SRWSP intends to work with and to support those who have the optimal internal capacity in terms of commitment, know-how, organization of resources etc, in order to deal with the local dimension of drinking water problems. The eligible partners may be a local government agency, user groups, Local Based Organizations, Non Governmental Organizations, and local consultants, provided they abide by the philosophy and principles of the programme.
- **resource mobilization:** The eligible partners have the responsibility of mobilising and allocating the resources at their disposal to the programme. The SRWSP will have a facilitating and coordinating role to optimally mobilise the locally available resources for the programme.
- **gender equality:** The programme strives to enhance the traditional role of women in the water sector by fulfilling women's practical as well as strategic gender needs. Gender refers to the different areas of responsibility, work and authority held by men and women and the impact it has on their lives and positions. Practical gender needs of women are related to the condition of women in society whereas women's strategy gender needs are related to their position. SRWSP aims at improving women's condition through the provision of water and sanitation closer to their homes, and women's position in society by increasing their capacity to make decisions.
- **participation:** For the SRWSP, participation is a process of strengthening and empowering the partners by supporting their own development efforts. Participation is, thus, a dynamic process towards enhancing the self reliance of the people.

- **empowerment:** The programme considers empowerment as a gradual process that enables the partners to organise and arrange solutions to their own problems in general and in the drinking water sector in particular.
- **self-help and self-reliance:** The people are expected to find solutions to their local problems. The programme assumes that by adopting the philosophy of self-help and self-reliance, the partners will develop the capacity and confidence to rely on their own potential.
- **equity:** The programme strives for equity and hence, will also extend its support to partners who have demonstrated willingness and certain commitment but are unable to express themselves due to the lack of knowledge, experience, and self-confidence.
- **sustainability:** By working according to its philosophy and principles, it can be assumed that the programme will develop greater awareness, changed attitudes, and a feeling of ownership, which are the elements for the sustainability of the drinking water scheme.
- **rolling planning:** The philosophy and principles of the SRWSP are built on the concept of rolling planning and not on a time bound target-oriented planning. Given the nature of the programme, it is apparent that adequate flexibility in the approach to development and implementation procedures are indispensable. The number of schemes, their location and the resources required for these will have to be determined in a process of an annual rolling planning based on the responses of potential partners.

3. APPROACHES AND STRATEGY

Based on the philosophy as clarified in Chapter 2, the SRWSP has developed different approaches and strategies. Due to the pilot character of the programme the approaches, as worked out below are on trial and will be assessed and monitored on their effectiveness and efficiency.

3.1 Approaches and modes of implementation

With the partnership principle different implementation approaches are possible, like:

- implementation in dual partnership. A dual partnership approach entails cooperation between the SRWSP and a Local based organization or a newly formed drinking water user committee. In the programme's terminology this implementation mode is called the 'dual partnership implementation approach'.
- implementation in triple or multiple partnership. This involves a broad range of partnerships, by establishing interlinkages and cooperation with NGOs, local consultants, Village Development Committees (VDC), District Development Committees (DDC), District Water Supply Offices (DWSO), and any other eligible partner. In the Helvetas terminology this implementation mode is called the 'multiple partnership implementation approach'.
- implementation in partnership with DWSS/DWSO and HMG-staff. This approach applies fully to the operation and maintenance component of the programme which is further detailed in annexure II. To a certain extent it also applies to survey, design and implementation of drinking water projects, provided the DWSS establishes the legal framework for making use of the services of DWSO personnel for these activities.

3.2 A strategy of using phase wise eligibility criteria for beneficiaries

The programme follows a project cycle of three phases and in each phase it follows various steps. SRWSP initiates and continues its support only if the specified criteria for eligibility are fulfilled by the beneficiaries at each stage. The duration of each phase depends a lot on the commitment of the villagers and the possible intermediate partner and their growing capacity to organise and manage their drinking water activities.

Each phase and its steps are worked out below, annex I gives a complete overview in a flow chart.

- Preparation phase

This phase covers all the activities from submission of application, until the signing of an implementation agreement among the parties involved. This period covers activities to:

- enable communities to develop the willingness and capacity to manage their own water supply and sanitation system

- create awareness on the importance of improved sanitary habits
- provide technical assistance in latrine construction
- emphasise the important role of women in water management
- motivate the communities for the collection of an O&M fund
- assess the technical feasibility of a project
- conduct a detailed survey, design and estimate

All activities are executed in a participatory way, using different methods and concepts (e.g. resource mapping, environmental village walk and participatory Monitoring and Evaluation (M&E) activities). The type of input needed in a community will vary according to the community's development experiences and cultural traditions. Some communities are strong in one aspect whereas another community has its strength somewhere else. Therefore each community needs its own package of support and guidance. Helvetas will not involve itself in side activities like Non Formal Education (NFE), although these activities may positively influence the implementation of a self-reliant water supply programme. However, it might play a facilitating role, e.g. by giving recommendation to the District Education Office if and when possible.

Basically the criteria to be fulfilled by the beneficiaries during this phase are:

- a drinking water committee is formed representing the whole community
- the community actively participates in the planning and decision making process
- an O&M fund is collected and deposited at a local bank
- willingness to change sanitary habits is shown
- The VDC is informed of the application and if required the application is recommended or approved by the VDC
- The DDC is informed of the application
- an agreement exists on the use of the proposed source
- an agreement exists on the place of the proposed tapstand location
- technically the project is feasible
- the beneficiaries agree on optimal resource mobilization
- the beneficiaries agree on taking over full responsibility for O&M
- the application doesn't cover a larger area than a maximum of 1,000 population and a total length of up to 5 km per scheme.

This phase will be finalised after the agreement for implementation has been signed and a work plan for construction been developed and approved by the community.

- **Implementation Phase**

This phase commences after the agreement between the community (local based organization) and Helvetas and/or intermediate partner has been signed, and all involved parties have agreed on the required input. The duration of this phase depends on the work plan made by the villagers. Before any material will be delivered to the village the community has to fulfil some criteria like collection of local materials, trench digging, and rent of road head store.

During the implementation phase Helvetas will train one (or more) person/s on the job to become the caretaker.

This phase will be completed after final inspection and commissioning, for which Helvetas has developed a completion report. The community has to come up with a final plan of action for the operation and maintenance of their scheme.

- **Operation and Maintenance phase**

In this phase the scheme enters its operational life. People are made fully responsible for the O&M of their water supply system. The community, with possible support from a NGO will also continue its activities in improvement of the sanitary and environmental condition. Helvetas will have to make follow-up visits at least once or twice over one to two years, for monitoring purposes.

3.3 Components of programme support

To successfully implement the Self-Reliant Drinking Water Support Programme Helvetas will have to support the partners in the various aspects of the programme concept. The components of programme support shall include the areas of:

- **Organization and mobilization support**

The programme shall provide organization and mobilization support to bring the desired attitudinal change, by breaking the passive and dependency syndrome, among the beneficiaries and intermediate partners, for developing their potential for self-reliance.

- **Training support**

The programme shall organise various trainings in the fields of health and sanitation education, latrine construction, community management, and operation and maintenance of a drinking water scheme. Training for the staff and field based facilitators of Local Based Organizations (LBO) and Local Non Governmental organizations (LNGO) in community organization and mobilization at the level of intermediate partners are also envisaged. Likewise, orientation sessions on the philosophy and principles of the programme are planned. Other training activities will be conducted as deemed necessary.

- **Technical support**

Local people have traditionally managed their own water supply and gained a lot of experiences. However, due to other factors such as over-population and environmental deterioration, the local technologies are not always appropriate and reliable. The people are bound to look for other solutions which go beyond their skills and knowledge. The programme shall provide technical support in dry season source measurement, detailed survey, design and estimate, and procurement of material.

- **Material support**

It goes beyond the beneficiaries' capacity to purchase all required construction

material from their own resources. The programme makes available those construction materials which are beyond the capacity of the beneficiaries and are not available from any other party.

- **Water quality testing support.**

The physio-chemical and bacteriological testing of the proposed water source shall be an important activity of the programme. The required water quality testing support shall be extended by the programme.

- **financial support.**

The self-reliant philosophy of the programme emphasises financial independence from donor agencies. Thus, the financial support to the Local Based Organizations and the intermediate partners availed by the programme shall remain minimal.

- **O&M support**

The programme shall provide material, logistic and technical supervision support to implement the O&M component. Further details are outlined in annexure II.

3.4 Area coverage.

From the CWSSP inception in 1976 Helvetas/Pokhara has covered the whole Western Development Region except for the Terai districts. It was only in 1990, with the implementation of the Finnida funded Rural Water Supply and Sanitation Programme (RWSSP) in the Lumbini Zone, that Helvetas withdrew from the hilly districts of that zone. Helvetas continued its CWSSP support for implementation in the Gandaki and Dhaulagiri Zones, and it has only remained active for O&M activities in the Lumbini Zone.

For the SRWSP O&M component the programme will continue its support in the districts of the Western Development Region, except for Rupandehi and Kapilvastu.

With respect to the implementation of new schemes, the SRWSP will be active in the Gandaki and Dhaulagiri zone of the Western Development Region except in the mountain districts of Manang and Mustang. The presence in any district will depend on the felt need, fulfilment of the eligibility criteria and the capacity of the programme. However, in special cases the programme, in consultation with the authorities concerned, may be active in others districts of the WDR.

4. INSTITUTIONAL SETTING AND THE ROLE OF PARTNERS

4.1 Programme partners

Working in Partnership is Helvetas' main principle. The programme doesn't intend to implement the programme itself and will therefore also require the services of DWSS, DWSOs, LBOs, LNGOs, DDCs, VDCs, consultancies and others.

The Department of Water Supply and Sewerage (DWSS) of the Ministry of Housing and Physical Planning (MoHPP) provides the umbrella for implementing the SRWSP through local based partners.

The role of pre-identified partners, e.g. DWSS and its Regional Directorate and District Water Supply Offices (DWSO) in the Western Region, local government bodies such as DDC, and Helvetas, in the implementation of new schemes shall be as follows:

- **DWSS:** The DWSS is the lead agency in the drinking water sector. DWSS provides the overall guidance to the programme by chairing the Review Committee and assessing the programme performance. It will appraise the programme on policy changes of HMG in the drinking water sector. The DWSS will also furnish the required legal, institutional and administrative support by issuing the necessary directives to the Regional Directorate (RD) and DWSOs concerned for a smooth implementation of the SRWSP.
- **Regional Directorate:** The RD plays an important role in the implementation of new schemes by reviewing the annual activities and progress report and by approving the annual plan of activities. The RD will also provide the required guidance and directives to the DWSOs for facilitation programme implementation at the district level. The RD coordinates the activities in the drinking water sector at the regional level. It will also avail of the technical expertise and services, on the request of SRWSP, for the implementation of new schemes.
- **DWSOs:** The DWSOs will have to play the role of a catalyst in the implementation of new schemes. They will inform the beneficiaries about the SRWSP, and facilitate, monitor and coordinate activities in the drinking water sector at the district level. Upon request of the DDCs, they will also arrange for inclusion of SRWSP activities in the annual plan of the districts. The DWSOs shall involve Helvetas in the district level planning of activities in the drinking water sector. Finally, on request Helvetas will avail itself of the DWSO's technical expertise and services for the implementation, operation and maintenance of the new schemes, as and when the need arises. In this context, the DWSOs act as one of the intermediate partners and coordinate with other partners involved in the implementation of new schemes.
- **DDCs:** The philosophy and principles are in consonance with the decentralization policy of HMG since DDCs are also foreseen as one of the

potential partners in implementing the programme. The DDCs are free to incorporate the SRWSP activities, as forwarded by the DWSOs into their annual district plan. The included activities are subject to required amendment e.g. deletion of proposed but not implemented schemes and addition of new schemes not originally proposed. They can collect and forward to the programme beneficiaries' requests for new schemes, provided the beneficiaries agree to abide by the philosophy and principles of the SRWSP. The DDCs will also involve Helvetas in their district level planning and coordination of activities in the drinking water sector.

- **Helvetas:** The responsibility of Helvetas/SRWSP will be to inform the DWSOs and DDCs about: applications received and new schemes implemented, schemes completed or handed over to the user committee, and schemes proposed for inclusion in the annual plan and the amendment thereof. Information on schemes proposed for inclusion in the annual district plan will be furnished annually to the DDCs and DWSOs, while the progress related to the stepwise approach of the implementation of new schemes will be made available twice a year. Selection of new schemes for implementation, out of the applications received by the programme, will be based on the pre-determined eligibility criteria as outlined in chapter 3.2. of this document.

The role of the non-pre-identified partners like LBOs, LNGOs and consultancies will fully depend on the local situation and need. In first instance the LBOs and LNGOs will fulfil a role in the social aspects of the programme implementation. Services from consultancies will be more sought for the implementation of the technical matters of the programme. Helvetas will have a responsibility in identifying and selecting these local partners, and in providing them sufficient guidance in order to implement the programme as according to its philosophy and principles.

4.2 Contribution of partners

4.2.1 HMG's Contribution

HMG/N's contribution shall be limited to the O&M component of the SRWS Programme. The total contribution will amount up to Rs 7,613,000.- representing about 30% of the total costs of the implementation of the programme component. This contribution shall be utilised to pay:

- salary and allowances off all HMG staff members required for the implementation of the O&M component of the programme. Further details are outlined in the budget estimate in annexure II;
- transportation of materials, wages of skilled and semi-skilled labour, and overhead costs for the implementation of the O&M component of the programme;
- allowances and overhead costs for VMW training and O&M unit in charge seminar;
- recurrent expenditures of a regional store for safe keeping of materials

- procured by Helvetas for the O&M component and to be delivered to the project site;
- logistic and institutional support costs as outlined in the budget estimate in annexure II; and
 - all other costs incurred for the implementation of the O&M component but not covered by the contribution of Helvetas and by the beneficiaries.

In addition HMG shall:

- provide the necessary legal frame work to facilitate the smooth operation of the SRWSP at national, regional, district, and village level; and
- provide the necessary logistics and the required staff at national, regional and district level to review the programme in general and to implement the O&M component of the programme in particular.

4.2.2 Helvetas' contribution

The Helvetas financial contribution to the overall programme for the consolidation phase 1995-1997 will amount to up to Swiss Francs 1,300,000, of which SFr 300,000 will be reserved for the O&M component of the programme and SFr 1,000,000 shall be allocated for the implementation of new schemes. In addition to this Helvetas, at its own cost, will make available the services of an expatriate programme team leader and provide managerial and logistic support through the Helvetas Programme Office in Kathmandu.

The contribution for the implementation of new schemes covers costs of organization and mobilization support; training support; technical support; construction materials; water quality testing support; and financial support to the local based organizations and the local NGOs.

The contribution for the implementation of the O&M component covers costs of construction material; regional level Village Maintenance Worker (VMW) training; seminars; logistic and institutional support; and miscellaneous costs as indicated in the budget estimate of annexure II. Helvetas contribution represents 44% of the total costs of the O&M component of the programme.

4.2.3 Beneficiaries' contribution

Besides the contribution of the beneficiaries in the overall management of the implementation of their drinking water project as according to the stepwise approach, which is difficult to express in monetary terms, the community is expected to contribute towards; the construction of latrines; collection of O&M fund; un-skilled and semi-skilled labour; locally available construction material; transportation from road head to village and a small cash amount for construction material. The contribution will vary from village to village depending on the locality and the economic situation of the beneficiaries. The total people's contribution for these activities is assumed to be between 45 and 55% of the total construction costs, excluding costs for technical supervision. The exact amount, however, cannot be specified.

The beneficiaries of O&M projects shall mobilise the local resources reflecting at least 25% of the total costs, in terms of labour contribution, transportation and others, as laid down in the DWSS Operation and Maintenance manual Vol. VIII and IX.

4.2.4 LBO and LNGO's contribution

All partners shall mobilise a maximum of resources available. In the case of LBOs and LNGOs this might include voluntary input, use of existing staff, or financial contribution from own resources. The contribution from these partners is hard to express in monetary terms beforehand. The situation will be individually assessed for each partnership.

5. PROGRAMME PLANNING

5.1 Planning, monitoring and evaluation

The implementation of the programme shall be based on the agreement and an annual work plan which will be prepared by the Helvetas/Pokhara management and submitted to the programme authorities for approval. The annual work plan will cover issues related to programme policies, tentative planning, required budget for purchase of material; training programme and the support packages. An annual and semi-annual progress report will indicate the programme's performance, elaborate its constraints, and give an overview of equipment and materials supplied. A review committee, consisting out of the Director-General or the Deputy Director-General of DWSS, The Regional Director of DWSS Western Region, a representative each from the Ministry of Finance and National Planning Commission, the programme Director of Helvetas, and the Team Leader of SRWSP, will give overall guidance to the programme by reviewing the programme performance.

The innovative character of the programme requires careful and intensive monitoring of the activities and used approaches. Planning, monitoring and evaluation is a continuous process. The outcome of the monitoring activities will be documented and evaluated and accordingly new activities will be planned. M&E activities should fulfil different purposes. A main purpose is to justify the programme's activities and outcome, but they can also have a purpose in the process of empowerment. One can think then of participatory M&E activities where beneficiaries collect and analyze their own data. The recently developed SRWSP participatory M&E system will be used and further elaborated on.

5.2 Studies

Besides the need for regular monitoring and evaluation of the activities, the programme also requires some in depth analysis of matters related to improvement of the programme's effectiveness and efficiency. In this way a need for more in depth study is required on:

- comparison study on the effect of different implementation approaches
- possibilities to reduce costs on the CWSSP/DWSS standardization
- technical feasibility for rainwater collection
- alternatives for areas with high calcium level
- peoples' contribution as a means for creating feeling of ownership
- development of new teaching tools and materials
- effect of programme's activities on long term community organization
- sustainability of the ferro-cement tank construction
- self reliance practices in e.g. O&M activities

During the course of the agreement a final selection will be made on the most appropriate studies. The responsibility of the selected studies will be entrusted to a qualified person or organization from within or outside Nepal. Certain studies

will require a long term involvement. Therefore the services of development organizations active in Nepal can be looked for.

5.3 SRWSP organizational set-up

The almost complete withdrawal from the CWSSP and the introduction of the new SRWS programme will have certain effects on the organizational set-up of the Helvetas/Pokhara office. Since the programme works with the partnership principle it will basically act as a facilitator to partners. Helvetas/Pokhara office will comprise an appropriate number of experienced staff in the technical, social and training field as well as the required office personnel. The office will be headed by an expatriate programme team leader.

As and where required the programme will make use of the services of consultancies.

For certain tasks it might be necessary to hire a development worker for a longer period. This input might be of importance in conducting studies which require a long term obligation. Appropriate organizations will be contacted for this.

The programme will assess the need to call a special Advisory Group, encompassing people concerned from the drinking water sector, NGO sector, private sector, and public authorities, in order to advice on the programme.

6. RISK ANALYSIS

The self-reliant concept followed by the SRWS Programme is very much in line with the global development trend. Emphasis is given to the process on which people embark rather than to the product delivered. Creation of feeling of ownership, decentralised decision making processes, gender equality, and equity are key elements in the programme. From past experiences one can assume that a global change in the development strategy is required to embark on a sustainable process. With its philosophy the self-reliant drinking water support programme has an assumed build in seed of success. Whether or not this seed can develop and grow depends on various factors which are fully or partly beyond the control of the programme.

The biggest risk is to find implementing partners who not only verbally agree on the self-reliant philosophy, but who also consequently apply it at field level. Until very recently the dominating development approach was very much top-down, in which participation was seen as labour contribution. Today this approach is still widely practised. Even the newly established NGO sector has only partly been able to divert its thinking from this paradigm. The success of the programme depends on the ability of the intermediate implementing organizations to apply the strategy and approach at grass roots level, and the ability of Helvetas to facilitate this process. In other words the risk is to have introduced approaches and strategies which may not be fully compatible with the development reality in the Western Development Region.

Related to the above discussed risk factor is the possible limited impact of the objective of self-reliance and empowerment due to a sectoral approach. Empowerment and self-reliance are not a state of art but are an ongoing processes. The time and input limitation of the programme may lead to achieving these objectives only for a short term.

Because of these weaknesses in the programme set-up, the management will be pulled between the two available approaches i.e. the dual partnership approach and the multiple partnership approach. With the experiences gained so far the dual partnership approach has a higher grade of success than the multiple one. The risk here is then that the programme might implement more projects with the dual partnership approach. This will lead to a higher manpower requirement for Helvetas and an assumed lower rate of coverage.

A fourth risk is the high number of agencies working in the drinking water sector in the Western Development Region. This creates a competition among the donor agencies and leads to confusion for the LBOs and the LNGOs. First of all the programme will have to face this competition, but secondly it will have to create an added value to make itself attractive. At present more than twenty donor agencies are active in the Region, all with their own policy, approach and procedures. The programme will have to observe this situation and evaluate the role Helvetas can play.

The last but not least risk is the unclear situation of the future development of the LNGO sector in the Western Region and the role donor agencies play in this. Furthermore the unclear future roles of the DWSS as a leading agency in the drinking water sector and the DWSO and DDC in the implementation of the projects in the district can be regarded as a risk for proper implementation of the programme.

ABBREVIATIONS

CWSSP	:	Community Water Supply and Sanitation Programme
DDC	:	District Development Committee
DWSO	:	District Water Supply Office
DWSS	:	Department for Water Supply and Sewerage
HMG/N	:	His Majesty's Government of Nepal
HSE	:	Health and Sanitation Education
KAP	:	Knowledge, Attitude, Practice
LBO	:	Local Based Organization
LNGO	:	Local Non Governmental Organization
M&E	:	Monitoring and evaluation
MHPP	:	Ministry of Housing and Physical Planning
MPLD	:	Ministry of Panchayat and Local Development
NFE	:	Non Formal Education
NGO	:	Non Governmental Organization
O&M	:	Operation and Maintenance
PIF	:	Project Inquiry Form
PRA	:	Participatory Rural Appraisal
RD	:	Regional Director
RWSSP	:	Rural Water Supply and Sanitation Programme
SFr	:	Swiss Franc
SRWSP	:	Self-Reliant Drinking Water Support Programme
UC	:	User Committee
VDC	:	Village Development Committee
VMW	:	Village Maintenance Worker

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PHASE-WISE ELIGIBILITY CRITERIA FOR BENEFICIARIES

The Self Reliant Drinking Water Support Programme (SRWSP) works in partnership in the provision of safe and reliable drinking water supply projects, with the ultimate aim being to have communities understanding the self reliant philosophy. The beneficiaries shall take full responsibility for their own development activities, with Helvetas functioning as an intermediate agency to support this process.

To guarantee the implementation of a truly self-reliant project a step-wise approach is followed with three phases: Preparation, Implementation, and Operation and Maintenance phase. Each phase has different steps with certain criteria to be fulfilled by the beneficiaries. Basically the criteria are:

- a drinking water committee is formed representing the whole community
- the community actively participates in planning and decision making processes
- a O&M fund is collected
- willingness to change sanitary habits is shown
- the application is approved by the authorities
- an agreement exists on the use of the proposed source
- an agreement exists on the proposed tapstand location
- technically the project is feasible
- the beneficiaries agree on optimal resource mobilization
- the beneficiaries take full responsibility for O&M

PHASE I: PREPARATION

STEP	ACTIVITY	CONDITIONS, IF	THEN
1.	application from LBO, LNGO, DDC a.o. to Helvetas	- if the application comes from Helvetas SRWSP selected area, then	eligible for next step
2.	register in Helvetas Assistance request Register	- if the application comes from Helvetas SRWSP selected area, then	eligible for next step
3.	Helvetas sends Project Inquiry Form (PIF) to applicant	- if the first two steps are fulfilled, then	eligible for next step
4.	applicant fills-out PIF with involvement of beneficiaries, and returns it to Helvetas	- if the beneficiaries are involved, and - if the questions are properly answered, and - if PIF is returned to helvetas, and - if no application to other organization exist then ...	eligible for next step
5. see remark 1.	1st visit to project area for: * cross check PIF * socio-economic assessment (PRA) * KAP study * observation of water points * resource mapping * environmental walk * information on follow-up	- if the PIF was truly filled-out, and - if involved parties show willingness, interest and commitment in SR activities e.g. by actively involving during mentioned activities, then	eligible for next step
6.	information to DDC and VDC on the application	- If one copy is provided to Helvetas, then	eligible for next step
7.	collection of O&M fund in the village	- if Helvetas is informed on the amount collected, then	eligible for next step

STEP	ACTIVITY	CONDITIONS, IF	THEN
8.	2nd visit to project area for: * HSE * discussion on role UC * explanation on latrine construction * discussion on village contribution	<ul style="list-style-type: none"> - if UC is appointed with women members, and - if willingness to improve sanitary habits is shown, and - if O&M fund id deposit at local bank, and - if Helvetas receives one copy of bank deposit, and - if is informed on all above, then 	eligible for next step
9. see remark II.	3rd visit to project area for: * technical feasibility (only in dry season) * water quality testing (preferably twice, in dry and wet season) * repetition on second visit	<ul style="list-style-type: none"> - if project is technical feasible, and - if project is socially feasible, and - if beneficiaries have agreement on use of source, and - if Helvetas has received copy of that agreement, then 	eligible for next step
10.	4th visit to the project area (can coincide with third visit) for: * second resource map * discussion on contribution * explanation on next steps * follow-up on former activities	<ul style="list-style-type: none"> - if beneficiaries show continuous willingness and, - if agreement on tapstand location exist, and - if first draft agreement on village contribution exists, and - if Helvetas is informed, then ... 	eligible for next step
11.	5th visit to project area for: * follow-up of former steps * detailed survey	<ul style="list-style-type: none"> - if beneficiaries show interest in project by participating during survey, then 	eligible for next step
12.	design and detailed estimate by Helvetas or by Helvetas hired consultancy		

STEP	ACTIVITY	CONDITIONS, IF	THEN
13.	6th visit to the project area for: * explanation and discussion on final design * final agreement * lay-out of pipe line	- if agreement is signed in four copies, and - if one copy is send to VDC and DDC, then	eligible for next step, is implementat ion phase

REMARKS:

- I. The time between the first and third visit will differ from village to village. Some villages have an already existing organizational structure, or have very strong local leaders, whereby other villages still have to develop that capacity. Similar some villagers very easily understand the link between the need to improve sanitary habit and provision of safe drinking water, others will need more time for that. Therefore it might be necessary to extend the motivational activities with a few more visits. The condition remains, however, that the villagers should show a keen interest and willingness to implement the programme according to the self-reliant philosophy.
- II Technical feasibility can only be conducted during dry season, therefore the planned visits will have to change order. A pre-condition remains that the first 7 steps have to be done before any technical feasibility in undertaken.

PHASE II: IMPLEMENTATION:

STEP	ACTIVITY	CONDITIONS, IF	THEN
1.	as according to the agreement and work plan activities are implemented	<ul style="list-style-type: none"> - if VMW is appointed, and - if activities are implemented as agrees upon, and - if Helvetas is informed after completion, and - if work is according to the standard, then 	eligible for next step
2.	visit to project area to check the work, and discussion on the next steps	<ul style="list-style-type: none"> - if work is according to the standard, then 	eligible for next step
3.	purchase and delivery of material to road head and transport from road head to village	<ul style="list-style-type: none"> - if material is transported and properly stored, then 	eligible for next step
4.	construction as according to design and technical supervision and VMW on the job training	<ul style="list-style-type: none"> - if beneficiaries provide labour and material as agreed upon, then 	eligible for next step
5.	finalization of construction work	<ul style="list-style-type: none"> - if all construction work is properly done, and - if drainage of tapstands is arranged , and - if finishing touch of the project is done, then 	eligible for next step
6.	final inspection and commissioning and official agreement on handing over, and explanation on O&M	<ul style="list-style-type: none"> - if agreement is signed, and - if construction work is of good quality, and - if agreement on revolving fund exist, then 	eligible for next step, is operation and maintenance phase

PHASE III: OPERATION AND MAINTENANCE:

STEP	ACTIVITY	CONDITION, IF	THEN
1.	follow-up visit	- if payment of VMW, and - if tapstand revolving fund has been collected, then ...	eligible for next step
2.	training of VMW		
3.	final follow-up visit after one year	- if scheme is in good functioning, and - if take full responsibility, then	no further involvement from Helvetas.

REMARK:

The phase-wise criteria is based on the construction of gravity flow schemes. In case of source protection or rain water catchment other criteria will be valid. However, since the programme is at present mostly concerned with gravity flow schemes the flow chart as worked out above is a realistic one.

OPERATION & MAINTENANCE COMPONENT OF THE PROGRAMME

1. Background

By the end of the CWSSP Phase V agreement (December 1994) Helvetas will have assisted in the construction of about 340 (three hundred forty) drinking water projects, including schemes which have been constructed as training projects, all over the Western Development Region. A recently conducted Status Survey has documented that about 70% of these drinking water projects are in need of minor, small or major repair works. Both HMG and Helvetas have been receiving more and more requests from user committees or villagers to improve their drinking water projects and sanitary conditions.

Efforts in the past were much more directed towards the implementation of new water supply projects and less towards the operation and maintenance of already built projects. The DWSS, only recently, has aimed at standardising the policies, guidelines and procedures for the construction as well as operation and maintenance of the water supply projects.

Many of the existing CWSSP projects were constructed in the past with people's labour contribution but without enough attention to the ownership after completion. As appraisals clearly show, these projects need to be the focus of a 'concerted action' in the years to come. Helvetas bears with the proposition that all the existing projects should be properly functioning, and, thereafter, the respective user committees shall be made responsible to take care of their drinking water supply project. Thus, it has extended its one time support for implementing the O&M component of the programme in accordance with the philosophy and underlying principles of the SRWSP.

2. Eligibility criteria

The O&M component, which is an integral part of the SRWSP, needs to be implemented in such a way that the repaired projects become sustainable. To this end, the O&M policies and procedures of the DWSS as laid down in volume VIII and IX of the Standardization Manual serve as the guideline and will be adapted during the implementation of the O&M component of the programme. The summary of the eligibility criteria developed, on the basis of the Standardization Manuals, are as follows:

2.1 General criteria for Helvetas:

- only small and major repair activity as defined in Vol. VIII shall be considered under the O&M component of the programme;
- activities beyond the major repair fall under the category of rehabilitation work and shall be considered as a new project, and hence are beyond the scope of

the O&M component the programme

- minor repair works are the sole responsibility of the beneficiaries
- any extension of tapstands and connections for private tapstands are not allowed;
- the application should follow the normal process as according to the approved HMG procedures;
- Helvetas' support to the O&M of the existing projects, as specified above, will be an one-time only support
- Upon completion of the repair works, the projects will be handed over to the User Committee and, thereafter, it will be their responsibility to take care of the handed-over projects, which will be fully under the responsibility of the community.

2.2 Criteria for DWSOs:

- establishment of an O&M unit and appointment of the required staff, in accordance with the new DWSS organizational set-up as reflected in the DWSS Standardization Manual Volume VIII;
- yearly provision and allocation of the required funds, as elaborated in the attached Budget Estimate, for the DA/TA of the technicians, overseers and engineers involved in the O&M activities.
- yearly provision and allocation of the required funds, as elaborated in the attached Budget Estimate, for small and major repair works not covered by the material support of Helvetas and by the contribution of the beneficiaries;
- assumes the responsibility of an official handing-over of the repaired projects to the user committee concerned
- assumes the responsibility of disseminating information on the existence of the O&M component of the programme and its eligibility criteria to the communities, user committees and the projects in the respective districts.

2.3 Criteria for DWSS/Regional Directorate (RD):

- RD maintains a small regional CWSSP O&M store
- DWSS ensures the provision and allocation of yearly budget, as outlined in the attached Budget Estimate, to the RD and the DWSOs concerned; and

- DWSS ensures the yearly provision and allocation of HMG contribution to the O&M component of the programme.

2.4 Criteria for the beneficiaries:

- Users Committee shall be formed;
- VMW shall be appointed and an agreement between VMW and UC to pay for his/her services should exist;
- maintenance fund at the rate of Rs. 1000.- per tapstand shall be collected and deposited in a local bank account;
- UC assumes the responsibility of: an optimum mobilization of locally available resources, semi skilled labour and materials, transporting Helvetas supported materials from the nearest road-head and other items as specified in Vol. VIII and IX of the DWSS Standardization manuals; and
- an agreement between the UC and the DWSO should exist with the provision that the UC assumes the full responsibility of maintaining the repaired project in a proper and functioning condition and that the SRWSP has no further obligations, whatsoever, to the beneficiaries.

3. Contribution of HMG and Helvetas

The contribution of HMG and Helvetas required for the implementation of the O&M component of the programme will be as per chapter 4.2 of the Programme Document.

4. Planning and budgeting

The O&M component shall remain an integral part of the SRWSP only for a period of three years (1995 - 97).

Based on the findings of a recently completed Status Survey of the projects, it is estimated that of the total 337 existing projects, 20% are properly functioning, about 8% are taken up by other agencies, 9% requires minor repair works, 10% needs rehabilitation, and about 27% (90 projects) will have been repaired with the support of Helvetas by the end of 1994. Thus, about 110 projects will have to be taken by the programme under its O&M component during the three year period. It is further assumed that 55% of the 110 projects are in need for small repair and the remaining 45% requires major repair works.

The budget estimate for supporting the O&M component of the programme over a three year period is, thus, based on the assumption that the programme

will have to extend its support for 60 small and 55 major repair projects. The detailed budget is attached herewith.

5. Management of the O&M Regional store

Of the construction materials procured with Helvetas support during Phase V agreement of the CWSSP and officially handed over to the regional store, those that are no longer usable shall be auctioned and/or written off by HMG. All the remaining materials and equipment financed or supplied by Helvetas during the Phase V agreement shall be utilised by the O&M component of the programme.

LIST OF MATERIALS AND EQUIPMENT TO BE PURCHASED**A. O&M component**

- High Density Polythene(HDP) pipe
- Galvanized Steel (GI) pipe
- HDP and GI fittings and valves
- Cement
- Other construction material
- Tools for plumbing work
- Office furniture for DWSO O&M unit
- Consumption material like printing forms

B. SRWS Programme

- High Density Polythene(HDP) pipe
- Galvanized Steel (GI) pipe
- HDP and GI fittings and valves
- Cement
- Other construction material
- Tools for plumbing work
- Material for workshop
- Survey and drafting equipment
- Laboratory equipment and chemical for water testing
- Material for training activities like overhead projector, video set
- Contingency material needed for studies

C. Helvetas/Pokhara office support

- Office equipment
- Photocopier (replacement)
- Personal computer (replacement)
- Computer accessory and software
- Fax machine
- Pick-up vehicle (replacement)
- 4-Wheel drive vehicle (replacement)
- Motorcycles and bicycles (replacement)