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Mid-Term Review of Community Water Supply Management Project in Kenya, Western Province

8. February, 1999

**IRC International Water and
Sanitation Centre, The Netherlands**

**NETWAS Network for Water and
Sanitation International
EW Earth Water Ltd.**



Mid-Term Review of Community Water Supply Management Project in Kenya, Western Province

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The opinions presented in this Report are those of the members of the Mission, and are not to be considered official statements of the governments of Finland and Kenya.

List of Abbreviations and Acronyms

| | |
|---------|--|
| CS | Community specialist |
| CWS | Community water supply |
| CWSMP | Community Water Supply Management Project |
| DDA | Demand Driven Approach |
| DDC | District Development Committee |
| DDO | District Development Officer |
| DEO | District Education Officer |
| DIDC | Department for International Development Cooperation, Ministry for Foreign Affairs of Finland |
| DIT | District Implementation Team |
| DPHO | District Public Health Officer |
| DRA | Demand Responsive Approach |
| DSDO | District Social Development Officer |
| DWB | District Water Board |
| DWE | District Water Engineer |
| DWEO | District Water Office |
| DivWO | Divisional Water Officer |
| EIA | Environmental Impact Assessment |
| FA | Field Advisor |
| FIM | Finnish Markka |
| GOF | Government of Finland |
| GOK | Government of Kenya |
| GPS | Global Positioning System |
| HODev | Head of Development |
| HOM&E | Head of Monitoring and Evaluation |
| HOWR | Head of Water Resources |
| KES | Kenyan Shilling |
| KFWWSP | Kenya-Finland Western Water Supply Programme |
| M&E | Monitoring and Evaluation |
| MOCSS | Ministry of Culture and Social Services |
| MOE | Ministry of Education |
| MOH | Ministry of Health |
| MWR | Ministry of Water Resources |
| NWCPC | National Water Conservation and Pipeline Corporation |
| O&M | Operation and Maintenance |
| PA | Project Advisor |
| PD | Project Document |
| PDE | Provincial Director of Education |
| PDSS | Provincial Director of Social Services |
| PHO | Public Health Officer |
| PM | Project Manager |
| PMC | Project Management Committee |
| PMO | Provincial Medical Officer |
| PMT | Project Management Team |
| PRA | Participatory Rural Appraisal |
| PROWESS | Promotion of the Role of Women in Water and Environmental Sanitation Services |
| PWO | Provincial Water Officer (formerly PWE) |

| | |
|-------------|---|
| PWEO | Provincial Water Office |
| SvB | Supervisory Board |
| StC | Steering Committee |
| SWOT | Strengths - Weaknesses - Opportunities - Threats |
| TOT | Training of Trainers |

Mid-Term Review of Community Water Supply Management Project in Kenya, Western Province

Executive Summary

From 28 September to 10 October the Ministry for Foreign Affairs of Finland, Department for International Development Cooperation (DIDC) sent a mission to review the Community Water Supply Management Project in Kenya, Western Province. The review was to provide DIDC and MWR with an analysis of the strengths/weaknesses/ limitations/opportunities of the project and of water supply in Western Province in general. The review produced guidelines and recommendations for continuation of the project as well as future development of the water supply, in accordance with the project management cycle. The work consisted of literature studies, interviews with key stakeholders of the project from ministerial level to division level and the project itself, field observations and discussions with representatives of the consumers and their committees, and a workshop for interactive and participatory information collection.

The overall objective of the project is appropriate, the purpose of the project is justified and in line with the National Water Policy. The indicators are well-formulated and measurable, but the means of verification should be improved, as these do not always measure the effectiveness of the activities. The project follows the logical framework presented in the project document. The project, however, has not fully conceptualised the difference between the overall objective and the purpose of the project. This not only applies to the project staff, but also to district staff and communities.

The documentation on the handing-over process and the manuals and guidelines prepared are excellent and fully endorse the National Policy. However, the water policy does not transfer the ownership of assets to the communities as stated in the Project Document. Only the management and O&M will be handed over. In addition, the concept of handing-over is new and thus a thorough explanation of the concept and of the consequences for the community is necessary. It is too early to judge, but it may well be that neither the communities nor the government authorities are currently ready to effectuate the policy.

The project staff is clearly committed to the concept of the project and to facilitate the management of water supply at the community level. However, this commitment attends to interfere with the necessity to accept that the communities are also the 'owners' of the whole process. The committees do not have the necessary legal status to own the projects. Furthermore, they lack the necessary skills such as knowledge of technical quality control of works, and financial and book keeping capability, which enable them to direct the process. At present, it is the project staff which directs the implementation process and makes key decisions. The absorption capacity of the communities is low, which means that the speed with which the process can proceed is limited. The time frame of the Project Document is proven to be too optimistic.

The project needs to re-prioritise its activities. The assessment of all 4000 water sources, constructed during the previous project, is taking too much time and manpower away from the project. The manpower required has affected the capacity to do activities on the ground. It would also be worthwhile to start the implementation, including the training of the communities, simultaneously with the ongoing training of trainers. This way the impact of the training can be monitored on the ground.

The calculation of the contribution required from the communities seems to also include the costs of sensitising and training. The Mission questions the rationale of this practice. It could be considered that use of the support funds from the Government of Finland would be more justifiably used for capacity building than for subsidising the purchase of materials.

The main role of the Ministry of Water Resources is in water sector policy formulation and development and creation of an enabling environment for all actors to operate effectively and efficiently. This is in line with the National Water Policy. The ministry's role in the direct implementation of water and sanitation projects is to diminish gradually as the capacity of other sector actors increase.

The Provincial Water Officer (PWO) is in charge of all water affairs and the ministry's activities in the province. The PWO oversees the implementation of the ministry's policies and strategies in the province. The monitoring and evaluation of all water activities and the management of water resources in the province is also under the PWO. The PWO supervises and coordinates the activities of all the District Water Officers (DWO). The District Water Officer (DWO) is in charge of all water matters and the ministry's activities in the district. He oversees the implementation of the water policy in the district. The DWO is also in charge of data collection for water resources management in collaboration with other sector actors. The other specific roles include the planning, implementation, operation and maintenance of ministry projects, and water supply schemes, catchment conservation, and water quality and pollution control.

The approach taken by the Project Advisor and the Field Advisor as support to the ministry staff is commendable. The way they have been able to stay in an advisory position is an example for the project and other MWR staff on how to influence a process without taking it over. However, much remains to be done to realise the purpose of the project, but the time given is insufficient. If the project would end at the time proposed in the Project Document, the sustainability of the activities may not be guaranteed, especially at the community level and in the schemes projected for rehabilitation and handing over. In order to guide these very difficult processes, the technical assistance is still necessary.

The same applies for the Kenyan, directly employed consultants who are doing a remarkable job. As long as such qualified staff is not available within the MWR, these consultants are needed both for capacity building of MWR staff and to guide the processes taking place at community level. To ensure that the initiated change in attitude, behaviour and skills continues, these inputs are an absolute necessity.

The concept of short-term experts to support specified activities is endorsed. Where possible Kenyan expertise should be, and indeed is, used and for expertise not available in Kenya, expatriate consultants can be hired. The Mission can foresee that such expertise may be needed for the following tasks:

- Developing and structuring a database to serve as a management tool at all levels, starting from the community up to provincial level.
- Developing a community-based monitoring system and linking it to the national system.
- Financial and accounting counselling at district, division and community levels.
- Establishment of an environmental monitoring system from community up, and training of staff at all levels including in the community.

The financial reporting of the project needs improvement. It takes too long before the districts report their expenditure to the project and to the province. Accountability is jeopardised and

the situation may lead unnecessarily to situations which call for harsh measures. The same applies for the communities. Their financial management skills are reported to be inadequate and create space for lack of trust, which in turn discourages effective collection of funds needed for investments and O&M.

The progress of the project has been slower than anticipated in the Project Document. However, the results achieved until now appear sustainable and replicable. A process which is needed to cause a change in attitudes and ways of working both inside the sector professionals at district and divisional levels and in the community is time consuming. Therefore it is justified to recommend the duration of the Project to be extended. The measures to be taken to achieve the targets/results specified in the Project Document are anticipated to require some two years. An evaluation should be made some six months before the extension period terminates, to measure the level of achievements and to recommend possible additional measures.

1. *Background*

1.1 **Government's Water Supply and Sanitation Policy**

The Ministry of Water Resources has developed an up-to-date National Water Policy. The policy document is ready for presentation to the National Assembly (Parliament) for discussion and subsequent legislation. In line with the Water Policy, the Ministry has developed approaches and strategies to suit the changing economic and environmental situation, and to better follow development policies, which to a larger extent, were already in effect even before development of the updated Water Policy. The policy objective is to create an enabling environment for orderly, coordinated and sustained development of water resources including their conservation and protection against pollution and over exploitation. In order to reach that objective, it contains the following elements:

- While it is the recognised responsibility of MWR to formulate policy and legislation concerning water resources management in the country, the actual realisation of water development programmes will involve all the actors including communities and NGOs with the ministry playing a coordinating and facilitating role. To this end, the ministry will define roles of the different actors in the sector;
- Institutional capacity building and training will be an important component of the policy. This will cover sector actors at all levels, including the provincial and district offices and community organisations, in order to enable them to play their changing roles effectively;
- Cost recovery will be an important consideration in the policy and for this, tariffs reflecting the economic cost of water will be enacted. The government will continue to assist the vulnerable population groups in development of water supply, which is expected to act as an impetus to other economic development activities;
- Water supplies will be managed at the lowest level possible and, to this end, consumers will be encouraged and facilitated to run their own water systems;
- Holistic water resources management will be emphasised and appropriate research on the technologies and methodologies geared towards this end will be carried out.

Other policies which have been released by the government in the recent past include those related to civil service reform which introduced measures which affected the availability of staff in the civil service who would have been deployed in the sector programmes. Reference is made of the Social Dimensions of Development document in which the roles for implementation of programmes are clearly defined for each level. For example, the role of the communities is defined to include their substantial contribution to identifying locally compatible solutions, help in targeting the poor and vulnerable and to provide time and labour resources while meeting part of the material and financial costs. Besides implementation of projects, the roles of NGOs are defined to include provision of training and capacity building.

The government policy on the handing over of rural water supplies to communities states that the capacities and willingness of the latter to manage the schemes will be assessed, and where found lacking, adequate training will be given. However, the government will still assist the community on technical matters where necessary.

1.2 **Features of Province Water Supply and Sanitation**

Western Province has a population of approximately 3.4 million people as per projections based on 1989 census. Of this population there are 1.6 million males and 1.8 million females. Women in the project area are the main drawers of water as is the case world wide.

At the time of the design of the project an estimated 2.2 million people of the province had access to safe, giving an average coverage of 65 %. For urban REAS THE COVERAGE WAS 65 - 80%, in some urban areas even as high as 90%. However, the actual operational share of the systems is not known. The water facilities in the project area have been found to have faults and inadequacies which render their operations difficult. There are many contributing factors to this situation, including the users' lack of appreciation of the facilities and the need for regular collection of maintenance funds, and the irregular availability of spare parts. Furthermore, some consumers may resort to traditional water sources instead of contributing to the O&M of the improved supply.

1.2.1 Province Water Supplies

Existing water facilities within the province are either piped supplies or point source water supplies.

The existing piped water supplies are either government implemented, operated and maintained piped water schemes, community initiated and operated, or institutionally implemented and operated schemes. In Western Province most of the water schemes are managed by the Ministry of Water Resources, the National Water Conservation and Pipeline Corporation and to lesser extent local authorities and Ministry of Health. In both government and community operated piped water supplies, billing is done through a combination of metered, flat rate and kiosks or only flat rate. Government operated and maintained rural water supplies are now targeted for handing-over to communities after adequate preparation. The urban water supplies operated by the Ministry will also be handed to autonomous departments within local authorities after assessing their abilities and preparedness to manage the supplies.

A majority of point water sources in the province (about 4000) were provided through the former Kenya-Finland Water Supply Programme and are now owned and managed by the communities. The operation of point sources is normally reliable and the water is relatively safe without treatment. However, surface level is normally lower than in piped schemes. The yield from hand-dug wells is often affected by fluctuating ground water levels due to inadequate survey when siting the wells.

1.2.2 Sanitation

The sanitation issues in the Western Province are not well documented. The Project does not have a sanitation component.

1.3 Problems to be Addressed

The problems to be addressed are presented in the Project Document as follows:

“The problem analysis given in this Document is based on the main findings in the Project Identification Report and is a result of two workshops held in Kakamega with the main expected project actors.

*The main problems identified are related to the inadequate level of water supply services in the Western Province. There is still a large number of people who have no form of improved water supply, while a major proportion of consumers receive sub-standard quality service. The core problem faced in the project area is identified as **insufficient sustainability of earlier installed facilities.**”*

The core problem has been converted to the objective of the project, and further to the purpose of it. The reasons are addressed by the project as described below in chapter 2.

1.4 Other Interventions

There are few other water and sanitation sector interventions within the project area. This is because the activities of the water sector are synonymous with those carried out under financing support from the Government of Finland. nonetheless, there are other complementary water related activities in the project area (3 firms) and near by (the rest of listing below). These include e.g. the Kenya-Finland Livestock Development Programme, Kakamega-Nandi Forest Conservation Management Project, Lake Victoria Environmental Management Project, Kenya-Sweden Community Management of Water Supplies Project, Water Users Association Project (Belgium), and the UNDP-World Bank Water and Sanitation Program (e.g. the proposed Kenya Rural Water Supply and Sanitation Pilot Project).

1.5 Documentation Available

The documentation provided for the mission is listed in Annex 3.

1.6 The Mission

In order to provide DIDC and MWR with an analysis of the strengths/weaknesses/limitations/opportunities of the project and of water supply in Western Province in general, the Ministry for Foreign Affairs of Finland, Department for International Development Cooperation (DIDC), sent a mission to review the project. The mission also provided guidelines and recommendations for continuation of the project as well as future development of the water supply. The work consisted of literature studies, interviews with key stakeholders of the project from ministerial level to division level and the project itself, field observations and discussions with representatives of the consumers and their committees, and a workshop for interactive and participatory information collection. The TOR of the mission is annexed to this report as Annex 1.

The mission consisted of the following persons;

Mr. Heikki Wihuri, Team Leader, IRC International Water and Sanitation Centre, The Netherlands

Ms. Madeleen Wegelin, Community Management Specialist, International Water and Sanitation Centre, The Netherlands

Mr. Jonathan Karanja, Appropriate Technology Specialist, Earth Water Ltd. Kenya

Ms. Pauline Ikumi, Community Management Specialist, NETWAS International, Kenya

Following the invitation of DIDC the Ministry of Water Resources of Kenya nominated two resource persons to the mission:

Mr. Elkana Nyakundi Onguti, Principal Economist

Mr. Stephen Mwangi Maina, Assistant Director/ Water Construction

The Review was carried out from 28 September to 10 October in Nairobi and in Kakamega.

The programme of the mission is presented in Annex 2.

2. Intervention

2.1 Overall Objectives

According to the Project Document (June 1996), the overall objective of CWSMP is *to increase access to safe water for improved health and well-being* of people living in the Western Province. An indicator for the realization of this objective will be increased availability of safe water as evidenced by increased coverage obtained from sector status reports.

2.2 Project Purpose

According to the Project Document, the project purpose is *to increase community management skills for implementation, operation and maintenance of water facilities and for protection of water resources* in the Western Province. The main indicator for this will be functioning water committees as evidenced by an increased number of better functioning water supplies handed over to and managed by the communities.

During the Work Plan period a number of new community water supplies will be implemented, existing water supplies rehabilitated, and a number of communities trained. Training will include technical, monitoring and evaluation, financial and management skills for the water committees and operators. A few (total 3-5) ministry water supplies will be handed over to community management and the management skills of the community improved through training. These activities will increase the communities' management skills towards the project purpose, but based on the experiences, community support should be continued beyond the currently agreed duration of the project so as to obtain sustainable impacts within the communities.

2.3 Results

To achieve the desired results two work plans have been prepared (1997 and 1998) with an overall objective and purpose split into four main components, to facilitate implementation and follow-up. The components have further been translated into four key results that are expected to have been realised at the time of project completion.

The four key results are :

1. Monitoring and evaluation systems are established and functioning.
2. Support to communities has been provided and the communities are managing their own water supplies.
3. Provincial and district-level capacity has been built and the staff are working with community managed water supplies.
4. Water resources management system has been established and communities are collecting and utilising water resources data.

Each key result is further developed into evaluation indicators to facilitate overall monitoring of the project. The key results and their indicators are presented in Annex 4.

2.4 Activities

The activities are based on the key results which have further been developed into several main activities. The main activities have been developed into detailed tasks with a corresponding time frame for monitoring work plan implementation. The components are being carried out interdependently as they are not mutually exclusive. The main activities are essentially the same in both work plans, but detailed activities have been slightly modified and detailed in the second one, based on the experiences from the first year of implementation (1997). Time schedules have also been revised to be more realistic, taking into account experiences from community involvement and participatory implementation during the first year of the project.

The planned activities are presented in Annex 5, and the interventions which are not expected to have been completed before the end of the project period, in Annex 6.

3. Assumptions

3.1 Assumptions at Different Levels

Materialisation of assumptions (ref. Project Document, ch.4.1) :

The National Policy for the water sector has been practically completed, and approved. Although CWSMP already follows the main principles and guidelines of the new water policy, its official approval by the Parliament will further enhance the policy environment in which the project is supposed to operate.

Availability of adequate and professional MWR (MLRRWD) staff at provincial, district and community level was a big concern before the commencement of the project. At the provincial level the MWR (MLRRWD) staff working with the project has proved to be competent and motivated, although the work load for the key staff is becoming increasingly heavy. In 1997 the MWR (MLRRWD) seconded a socio-economist to CWSMP.

At the district level the MWR (MLRRWD) staff working with the project was identified and a lot of staff training has been arranged. The situation is probably better than anticipated before the commencement of the project. However, there are significant variations in the staff competence and commitment between various districts. There has been an increasing risk of staff transfers within the districts, which is feared to adversely affect the project activities in the remaining Project period.

It is believed that during the existence of CWSMP, the communities have been well prepared to take an increasingly active role in managing their water supplies. The change in the communities' preparedness and willingness to take a bigger management role, contribute to their water facilities, and to be actively involved in water management activities in general, is still to be seen, as this process takes a much longer time than a year and a half to be fully recognised. However, the community involvement, sensitisation and training activities of CWSMP have provided a good basis for future activities, including actual implementation of water facilities and their sustainable operation and management.

Institutionalisation of KFWWSP interventions has been started successfully. The change of project approach from KFWWSP to CWSMP has involved utilisation and strengthening of the existing MWR (MLRRWD) administrative structure to manage the project and to support community management of water facilities in the Western Province in general. The majority of the resources set up under KFWWSP were available for CWSMP to take off and build on the previous achievements.

3.2 Risks and Flexibility

Risks (ref. Project Document, ch.4.2) :

Year 1997 was an election year in Kenya, which had an increasing effect towards most economic and infrastructure activities, especially towards the end of the year. Political interference was, however, not that significant for the field activities, since actual implementation of new and rehabilitated water schemes had not yet begun before the elections. The period before the general elections had a slowing impact on most of the activities within the public sector, also delaying the project activities.

(Hand pump) spare parts distribution system initiated during KFWWSP had to a large extent collapsed before commencing CWSMP. The Project assessed the existing spare parts distribution system, and interventions to develop a sustainable system have been initiated.

Concern was raised that the communities would not understand and realise the value of the project support they receive, especially in training. CWSMP has addressed this concern carefully, and community involvement and sensitisation has been given a lot of emphasis, both in training and actual implementation. While the thorough process of sensitisation and training had to some extent delayed the actual implementation, the ownership attitude of the communities is believed to grow much stronger with a thorough involvement and capacity building than through rushing into physical implementation.

Contradiction of different approaches by various actors and lack of coordination was seen as a risk. The new water policy will address these issues, but at the project level involvement of various actors and improved coordination has been promoted e.g. through involving other ministries in project management (PMT, DITs), through collaboration with other projects (e.g. Livestock Development Project, Kakamega - Nandi Forest Conservation Management Project, Lake Victoria Environmental Management Project etc.).

Poor staff motivation and inadequate resources at the district and lower levels were seen as a risk. Staff has been motivated through intensive training programmes, clarification of roles and responsibilities (updated job descriptions etc.), and through material support by the project. Logistics have been improved by the transportation support from the project (e.g. vehicles handed over from KFWWSP).

Inadequate women's involvement was seen as a risk. Gender issues and women's involvement have been carefully considered in the project activities, and CWSMP aims at strengthening women's role and capacity e.g. in the management of the water committees. The impact has yet to be seen, since implementation of new water schemes has not yet started and strengthening of water committees' capacity is still in the planning stage. The ongoing assessment of existing water supplies will provide gender-specific information.

Poorer communities' involvement and benefits were considered as a risk, since they may not be able to contribute according to the selected approach. CWSMP has given special emphasis on the vulnerable groups and communities, and has developed specific assistance criteria for them to support equity.

Inadequate coordination and integration of various project components was seen as a risk. Integration of project components and proper coordination has been considered in the work plans, and frequent coordination meetings between different components and staff reduce the

risk. Initial field activities among the communities, such as sensitisation, assessment of existing systems, training activities etc. have been planned and implemented in a close integration and coordination between various project components. Also in the district organisations (DWOOs), staffing and work planning have been given consideration to ensure good coordination.

Additional risks referred to in the Work Plan 1997-98 :

A possible delay was identified in the receipt of GOK counterpart funding for the project. At the end of 1997, however, MWR (MLRRWD) succeeded in releasing part of the budgeted GOK counterpart funds, about KES 4 million, which became available for the CWSMP only in March 1998. In October 1998 KES 500,000 was released but was not yet available for the project.

Legal status of the water committees was found inadequate to facilitate successful handing over of water supplies to communities. The new water policy is expected to bring some new possibilities, but legal options for a complete and successful handing over of public water supplies to communities remain inadequate.

Additional risks identified during project implementation in 1997 :

Financial management systems at the district level (DWOOs) are not yet very well developed. This already has been experienced in the long delays by the districts in surrendering the operational impress. Financial reporting by the districts does not always comply with the instructions and guidelines provided by the project management.

There are far more applications for support from the communities than the project can afford. The project has tried to distribute the support equitably within the project area while retaining the Demand Responsive Approach (DRA).

Although KFWWSP reports indicate that many water facilities it has developed are currently not operational, very few applications for rehabilitation have been received as compared to applications for new facilities. It will be necessary to assess this scenario with a view to encouraging the relevant communities to apply for maintenance assistance so as to avoid wastage of physical resources already invested in the water facilities. This could go a long way in enhancing the water coverage by utilising fairly limited resources.

4. Implementation

4.1 Physical and Non-Physical Means

Non-physical inputs

The majority of the project staff for the Support Unit has been seconded from the Provincial Water Officer's Office (PWOO). The ministry staff at the provincial level have already proven that they have the capacity to take management responsibility of the project. There are about 30 permanent PWOO staff members working within the project Support Unit.

A socio-economist has been seconded from MWR to begin establishing a community support section. The project has also made a request to the Ministry (MWR) for secondment of an Environmental Specialist, with an aim to strengthen the environmental assessment and management capacity of the PWOO in future.

A limited number (10) of support staff have been employed directly by the project. These include the following:

- Community Specialists (2)
- Accountants (2)
- Clerical Officer (1)
- Drivers / Messengers (2)
- Cleaners / Office Clerks (3)

A long-term Project Advisor and a Field Advisor from Plancenter Ltd, Finland have been providing technical assistance to the project. In addition, a Water Resources Expert and an Environmental Hygiene Expert have made a few short-term advisory visits. The expatriate advisors have been able to maintain the intended advisory role, without having a strong role in management and administration of the project.

In the capacity building of the provincial and district level staff, external short-term consultants have been used to train ministry personnel in some activity areas, and to give direction and examples for the permanent staff to execute these activities by themselves in the future.

Districts (DWOOs) have designated their permanent staff to tasks according to the components envisaged in the Project Document. Job descriptions have been prepared to cover community support work. District staff training has been going on throughout the project period, according to the training strategy and overall training plan, which were prepared for the provincial and district / divisional level staff through a participatory planning process. The capacity and preparedness of the district staff to implement project activities have already improved considerably. Special attention has been given on the staff skills to carry out community support work.

In addition to MWR, other ministries and government departments have contributed human resources in the project implementation. Ministry of Health (MOH), Department of Culture and Social Services (DOCSS) and Ministry of Education (MOE) are represented both in the Project Management Team (PMT) at the provincial level and in the District Implementation Teams (DITs) at the district level. These departments have been involved in the implementation and community activities at the district and division levels. District Social

Development Officers (DSDOs) and Social Development Assistants (SDAs) have had an important role in the community sensitisation and mobilisation.

Physical inputs

CWSMP Support Unit operates from the office of the previous programme (KFWWSP). At the district level the DWOOs operate from the office facilities that have been available from the previous programme for the old districts (Kakamega, Busia, Bungoma), with substantial rehabilitation and facilities provided by the previous programme. Some of the newly established districts still operate from very modest offices with limited resources (e.g. Teso and Mt.Elgon DWOOs do not have electricity, and lack even basic furniture and other facilities).

During CWSMP's existence PWO's and DWOs' offices and staff were assisted with material support such as vehicles, hydrometeorological and geophysical equipment, computers, office and laboratory equipment. Vehicles handed over by the previous programme (KFWWSP) to the Ministry were broken down, but the project assisted in repair and maintenance of these vehicles (Land Rovers etc.) before they were distributed to the districts.

The project Support Unit has nine (9) motor vehicles in use. These have also been used to support districts in carrying out their project activities. The project is in a process of discarding (selling) some of the old vehicles and replacing them with new ones, since operation and maintenance of these old vehicles has already become uneconomic.

Plans are underway to procure new motorcycles (about 20) for the districts (DWOOs) to improve transportation capacity of the districts and Divisional Water Officers. Procurement of bicycles has also been planned.

For the physical implementation (new water points and rehabilitation), the project has requested quotations for hand pumps, which have not yet been procured. Other construction materials for piped water supply schemes will also be procured, with an aim to using small local contractors as much as possible to enhance private sector participation at the local level.

For usual procurements of office equipment and materials and other services, the project has used local suppliers whenever possible. Tax and duty exemptions have been applied where applicable.

CWSMP inherited old stocks of materials from KFWWSP, which have not been extensively used. Due to the different approach and delayed physical implementation, most of the stocked items have not yet been needed in the implementation of CWSMP activities. Obsolete stock will be sold to reduce storage costs, and proceeds will go towards other project activities or procurements.

Communities are expected to provide materials, e.g. sand and stones, and other local building materials and human resources during implementation and rehabilitation of community water supplies. These are valued before the implementation commences.

4.2. Organisation and Implementation Procedures

Since the project is fully integrated into the MWR structure and the project staff at the provincial level is only a support unit, the project organisation has not been given a rigid and permanent status. The administrative structure and command lines have only been established

for the purpose of internal administration and management. Organisation of the actual implementation is based on the components and activities at the project level. Integration of project activities with normal PWOO and DWOO activities will be given special attention.

For daily /weekly coordination and planning of project activities at the project level (support unit), Project Co-ordination Committee (PCC) meetings will be arranged, attended by PWO, PM, PA, FA and Component Heads.

The advisors operate strictly in an advisory capacity and will not have a line function.

Support Unit (Project Headquarters)

The project organisation at the provincial level acts as a Support Unit in the implementation. The actual project implementation will be focused at the district level. District level (DWOOs) will manage and coordinate project implementation activities at the actual level of implementation (divisions, communities).

District Implementation Teams

At the district level, District Implementation Teams (DITs) have been established to manage and supervise project implementation. DIT comprises representatives from various government departments involved in the project implementation, including MWR, Ministry of Health (MOH), Department of Culture and Social Services (DOCSS), Ministry of Education (MOE), District Development Officer (DDO) etc. There has been a proposal in the Supervisory Board to include representatives from other ministries at the ministerial level to the Steering Committee and Supervisory Board.

Other actors

Ministry of Health (MOH), Ministry of Culture and Social Services (MOCSS) and Ministry of Education (MOE) will be represented both in the Project Management Team (PMT) at the provincial level and in the District Implementation Teams (DITs) at the district level. These departments will be actively involved in the implementation and community activities at the district and division levels.

District Social Development Officers (DSDOs) have an important role in the community sensitisation and mobilisation.

The project is working in close collaboration with other projects and programmes within the region (see paragraph 1.4)

4.3. Timetable

The Community Water Supply Management Project (CWSMP) commenced in January 1997 as a result of phasing out the Kenya-Finland Western Water Supply Programme (KFWWSP).

Although the activities have been scheduled only up to June 1999, it can already be foreseen that many of the planned activities can not sustainably be completed by the end of this planning period. Capacity building at the district, divisional and community levels will take a considerably longer time than scheduled in the original Project Document. Therefore, it may be envisaged that for sustainability purposes some project components should be extended beyond the current project period.

4.4. Cost Estimate and Financing Plan

The original total cost estimate of the Project is KES 210 million (FIM 21.0 million), out of which KES 155 million (FIM 15.5 million) is a grant from the Government of Finland. The contribution of the Government of Kenya is KES 27 million, of which KES 13.5 million is in budgetary provision. The remaining KES 28 million (FIM 2.8 million) is in form of community inputs in the form of labour and construction materials evaluated at market rates, and cash contributions.

Use of project funds in 1997 and in 1998 was considerably less than originally planned. The main reasons are related to delayed physical implementation of water supplies and changes in the working methodologies of certain activities (such as more integrated assessment of existing water supplies). The time needed for mobilisation of communities and the corresponding training needs also contribute to the slow pace of disbursements. Total disbursement of GOF funds in 1997 was FIM 3.467 million (only 48 % of the budgeted) or equivalent of KES 37.0 million. GOK budgetary funds were not yet available in 1997, but first installment of GOK funds was received in March 1998. Community contributions were not yet collected in 1997 but community invoicing and collection of contributions was started in July 1998.

The total financing by end September 1998 is FIM 7,735,860 or equivalent of KES 83,481,150. It consists of the following contributions:

| | | |
|---|---------------|------------------|
| - Government of Finland | FIM 6,480,840 | = KES 69,981,150 |
| - Government of Kenya, budgetary provision | FIM 374,520 | = KES 4,000,000 |
| - Government of Kenya, in-kind contribution | FIM 837,000 | = KES 9,000,000 |
| - Community contributions | FIM 43,500 | = KES 500,000 |

A budget and expenditure summary is presented in Annex 7. The differences in figures (FIM - KES) are due to currency rate variations.

4.5. Special Conditions: Accompanying Measures Taken by the Government

The government has already approved the National Water Policy. The Policy aims at achieving sustainable development and management of the water sector by providing a framework in which the desired targets / goals are set, outlining the necessary measures to give the entire range of actions and to harmonise all water related activities and actors. A sessional paper on the Policy has also been finalised for discussion in Parliament. The strategies and approaches being used by the Community Water Supply Management Project (CWSMP) fit well within this framework.

A successful implementation of the National Water Policy requires an appropriate legal framework. To achieve this, the Ministry of Water Resources (MWR) is revising the Water Act to be in harmony with the National water Policy. The discussions of the draft revised Water Act with the other Sector actors is planned to take place before December 1998.

The Ministry of Water Resources has already carried out a survey of all water sector actors. The aim of the survey is to identify the roles of the various actors in order to establish a mechanism for proper coordination and facilitation of the sector. This will minimise conflict in the development and management of the water supply and sanitation facilities.

The implementation of the strategies outlined in the Water Policy is ongoing through a number of projects and activities, including the CWSMP. Similar approaches are used i.e. by the Management of Community Water Supply Project under the Kenya - Sweden Water Supply and Sanitation Programme. The project supports the establishment of modalities for handing over of rural water supply schemes to communities. Another component of the Programme is direct support to self-help groups for water supply development. The Kenya - Belgium (WUAS) Project gives support to community water groups for development of water supply and irrigation in a few Districts in the Eastern, Central and the Rift Valley Provinces of Kenya. The CWSMP can share experiences with these projects.

Establishment of a comprehensive National Water Resources Database is ongoing at the MWR headquarters. Similar databases are to be started at all water resources management levels. The CWSMP can thus gain substantively from the National Database and establish appropriate linkages.

The rationalisation of the MWR is currently ongoing within the Civil Service Reform Programme. This includes redefinition of the Ministry's core functions, organisational restructuring, establishment of staffing norms and streamlining of the personnel functions. The rationalisation is paying attention to the National Water Policy so that the services can be provided in a more effective and efficient way. This is also being done through training of staff at various levels of the Ministry. However, the Ministry's capacity to offer training to all its staff is limited.

The Medium Term Expenditure Framework of the Government (MTEF) complements the efforts of the Civil Service Reform Programme. The MTEF is geared towards ensuring that planning is carried out through a more predictable resource availability, so as to improve the outcomes and delivery of the services. The key feature of the framework at ministerial Level is the Ministerial Public Expenditure Review through which ministries are reviewing functions, programmes, expenditures and staff deployments and duty overlaps.

5. *Monitoring and evaluation*

5.1 **Content and Focus**

The objective of this component is to establish an appropriate functional and sustainable community based water supply monitoring and evaluation system at both the community and district levels.

Key result

Appropriate and sustainable community water supply monitoring and evaluation systems will be established and functioning

To realise this objective the following intermediate results will be expected:

1. Actors including the communities are sensitised and trained in monitoring methods, including participatory methodologies (PRA, PROWESS) and gender analysis.
2. A monitoring and evaluation system, including a system of feedback and communication at all levels is developed, established and functioning.

Key indicator

Trained district staff and communities are using and improved M&E system

Specific indicators

1. Present WS monitoring practices by all actors studied and reviewed
2. Improved M&E system including a system of feed back and communication at all levels developed and functioning

Sources of verification

Record of interactions between the system and the actors

Assumptions

Actors interested and willing to implement improved M&E systems

In conformity with the above, the intervention logic with respect to M&E includes:

- A review of previous existing water supply monitoring and evaluation practices.
- An assessment of the status of existing water supplies. Along side the assessment, the status of hand pump spare distribution system established by KFWWSP (Kenya Finland Western Water Supply Project) is reviewed.
- Development of a model community based monitoring and evaluation and spare parts distribution system which incorporates unified measures to process and store data at district and provincial levels.
- Training of trainers in community water supply monitoring and evaluation practices (qualitative and quantitative methods, participatory methods, gender analysis etc.)
- Training of communities in participatory monitoring and evaluation, documentation of lessons learned and updating of the M&E model.

5.2 Implementation

Previous existing monitoring systems:

A study was undertaken as part of the reviewing and assessing of the present status of water supplies and monitoring and evaluation practices by various actors in Western Province. This has formed part of the basis for the development of the CWSMP monitoring systems in addition to defining the existence of monitoring practices for various types of water supplies. From this study it was established that:

- a) The MWR (Ministry of Water Resources) and NWCP (National Water Conservation and Pipeline Corporation) schemes are monitored monthly through standard operation charts by the water supply operator. However, details on the charts are purely technical and financial aspects only. Storage and processing of the generated information and data is not well structured.
- b) KFWWSP initially monitored community managed water supply using centralised mobile teams system without the involvement of the communities. Later, in 1992, a semi-centralised system where data on water supplies was gathered by locational repairmen for a fee was adopted. This arrangement could not be sustained after completion of the project. It was further established that the process of full involvement of the communities in participatory monitoring and evaluation was not completed and KFWWSP in its Transfer Plan 1994 recommended further improvement on the system so that the communities themselves could collect information on pre-designed monitoring forms to be submitted to either chiefs or CDAs for onward submission to the DWOs. Steps have been made to develop a monitoring system to be accepted and used by the communities but the system is not yet ready.
- c) SPDS (Spare parts distribution system) initiated by KFWWSP was rather elementary and lacking in many aspects. There was no feedback sent to the shop owners to inform them of the results from data generated by the monitoring system. Only programme management made use of the monitoring information gathered. The system went on until the task of visiting the shops was taken over by the DWOs who continued with the system of monitoring until the winding up of the former programme in 1995. Since then, the monitoring and evaluation of hand pump spare parts shops has not been going on.

On the basis of the above the following observations are made:

- a) From the review of the monitoring tools tested by KFWWSP and MWR operation charts, it is apparent that there is not any form of sustainable, functional community based monitoring and evaluation system in Western Province for all types of water facilities. This in itself underlines the need for development of a community based monitoring and evaluation model.
- b) No proper monitoring of the spare part distribution system was established by KFWWSP making it difficult to control quality, price and profit margins. Given the number of hand pumps in the project (over 3,000) and the fact that most of them are past the trouble free period of five years, the envisaged M&E monitoring model should put much more emphasis to spare parts distribution systems. In order to harmonise the spare part distribution system there is a general feeling that it is necessary that the DWOs monitor the pricing, monthly sales, profit margins and quality of spares and give advice accordingly to both the consumers and dealers. Consequently, the district component heads and the DivWO requires additional training to enable them to be trainers on the significance of this.
- c) To reduce the dependency on factory-made spares that are expensive because of transport and taxes, the jua kali sector and local institutions (***) should be encouraged to take a more active role in the system without compromising quality, which in any case will have to be

monitored by the DWOs' office. **** Institutions like the Western College of Arts and Applied Sciences (WECO) which were considered to be having the capacity to provide an alternative or supplementary sources(s) of spares were also visited during the assessment. It was found that there is already an established potential, only that there seems to be lack of coordination and demand projections - monitoring will be required.**

Assessment/review of present water supply practices:

The initial activity was the development of a criteria for assessment. Through an interactive process five instruments were agreed upon. This was followed by orientation training of the field personnel on the assessment activity and data collection methods in all the districts. After this initial preparation the exercise commenced in the districts with personnel and logistic support of the DWOs and technical backstopping from the PMT. Observation made by the review mission shows that this activity was extensive, time consuming and may not contribute much to the realisation of the overall objective of CWSMP. Despite, this the activity has significant implication for the project implementation time frame.

As the assessment progressed enormous data was gathered and kept at the DWO's offices. Subsequently, staff from the districts and the province were trained on data processing. Reporting code books were prepared for each instrument and the instruments from the field numbered for computerisation. Staff were also trained on a new computer software, statistical package for social sciences (SPSS) to be able to analyse the data gathered at the districts. The computerised assessment data is expected to form the basis for databanks at the districts with a central one at the province. Even though the process of data entry has started most of the data is still in hard copies and will take a long time to be processed. The mission feels some external support may be required to accelerate the process of establishing the data bases both at the province and at the district.

Training

Training on participatory methods was given to staff who are expected to work with the communities. A workshop on the design of CBM&E and training of trainers course on the same was conducted in August and September, 1998. Follow up trainings for the district components and training at divisional and communities levels are somehow overdue.

Pilots for M&E

Pilot water supplies have been identified and modalities of initiating M&E activities are at an advanced stage. These pilot water supplies are:

- one new piped scheme - Cheseker
- one old piped scheme to be handed over from the government to community - Onana
- three old water points which are in the previously established ground water observation network
- one old community piped scheme (Maturu-Luandeti)

Orientation training for the management committee and community resource persons (Corps) was started in 2 water supplies (Onana and Cheseker) and will be conducted in the rest.

Operation plan is being developed to train Divisional Water Officers as trainers and involve communities in the pilot areas in the development of CBM&E system.

Observations made during field visits and the workshop indicate that much more time than what is in the work plan will be required to the above activities to be executed appropriately. Additional training, follow-up training and community awareness creation will be required.

5.3 Rationale and Effectiveness

The training and institutional moulding activities with respect to monitoring and evaluation has enhanced the ability of DIT to carry out their roles and responsibilities and it is expected to strengthen their internal training capacity (NOT the case at divisional level). Looking at the anticipated activities according to the workplan much, however, still needs to be done to further strengthen, consolidate and institutionalise these capacities. Both DIT and community analytic and monitoring capacities are assessed as insufficient and will require much more strengthening (than what is in the workplan) to facilitate more effective and participatory monitoring and evaluation at the three main levels district, division and community. The communities have to learn to realise that effective monitoring is a form of empowerment.

If community members can share in data gathering and analysis, they will be motivated to suggest improvements and work towards more effective results. As an extra incentive for the community volunteers, it may be useful if volunteers from one community go to another community for monitoring once or twice a year. This also introduces an element of competition.

Information from the community should be channelled in such a way that it suits the needs and monitoring objectives of the respective levels. During the workshop it was established that there exists a functional communication link between the elders, assistant chief, chief and DO/DivWO on a weekly basis which could be made use of.

5.4 Efficiency

M&E should not be seen in isolation but be incorporated in all activities taking place in the district. Currently certain activities have been completed without incorporating M&E, this is considered to be a draw back with respect to future impact assessment of this activities. While, already the lack of sufficient monitoring (for instance of the first sensitisation) is affecting the project performance.

The objectives of the project with respect to monitoring and evaluation entails activities/outputs that are process-oriented and time intensive which can not be achieved on a short time scale of two and half years. However observations during the review indicate commendable efforts by PMT and DIT towards the achievement of these objectives- not withstanding difficulties encountered in the process i.e. the slow pace, a lot of time that was unjustifiably spent on the assessment process of the existing water supplies, out of the 4,000 targeted water supplies 3,680 have been assessed of which only LESS THAN 3% WILL BE INCLUDED IN THE PROJECT CONSIDERING 60% OF THE 129 APPROVED CASES ARE NEW. Considering the level of assessment this activity is interpreted as a reconnaissance baseline survey with little significant to the overall realisation of the project's objectives. In this respect it is questionable if it has been worth the effort and time - certainly CWSMP will have to review its implementation strategy.

The analysis of the assessment data, information and ideas gathered from other sector actors are being used to design a model CBM&E system. The progress is rather slow and external assistance may be required, to ensure that the newest developments in this field are incorporated.

The monitoring and evaluation reporting format for the districts should be well developed. This area needs strengthening both at districts and provincial level by providing standards, equipment and reporting format. This monitoring could form adequate instruments for policy

development of the project and could also constitute a suitable input for future review/assessment of the performance and impact of the project.

During implementation of the physical facilities and handing over of the piped schemes monitoring and evaluation will have to be defined and realised at its most essential levels, community and district levels, thus making available relevant information on the progress of the activities and being a tool that facilitates strategic management decisions at the various levels of the activities.

Monitoring Community Contribution

Since implementation of construction works is about to commence, the communities contribution in materials and cash is monitored by the district staff. An operational plan for following up all approved and invoiced cases is on going. Reports are made to the project headquarters on fortnightly basis on a predesigned form. From this monitoring indications of communities inability to honour their invoices is already evident but the mitigation measures in this respect are still very weak.

5.5 Sustainability

To realise long term sustainability of the M&E system, communities should be further sensitised on the benefits of community based M&E. In addition the flow of information from the community to PMT and the feed back to the community should be made much more clear. The proposed chain of information flow seems to be too long. Given that the monitoring and evaluation mechanism are not on the ground as of now, there is a possibility that there will be not enough time for testing effectiveness of this flow of information.

Long term sustainability M&E demands an in-built cost recovery and cost benefit element. The project is silent on these two issues.

Monitoring and evaluation sustainability requires much more effective collaboration with line ministry staff at district and division levels. If further requires an effective interagency sector/institutional collaboration. With a purpose of information sharing projects in Western Kenya and Uganda were visited to exchange ideas on the development of the system. Close contact should be maintained for future sharing of experiences. Routine meetings held with Kenya Finland livestock development project should be continued. Other sector projects in the region should also be incorporated into routine collaborative meetings for joint monitoring and co-ordination.

For the divisional project related staff (DivWO) it will be very important to monitor that action is being taken on the results of the monitoring at community level. Similarly, at district and provincial level the performance of the staff involved in community based monitoring and evaluation systems will have to be monitored.

The capacity of the village elders and assistant chiefs to keep simple but essential data on ongoing water supplies and other activities which can be linked to the programme by the various agencies needs to be strengthened/explored. Schools located in the catchment area of the water point could be involved in monitoring of environmental sanitation and water resource management.

5.6 Institutional emphasis

As of now translation of the training at the district level in M&E has not really been operationalised at any level. During the pilots the links, roles and responsibilities between the community, the divisional and district levels should be well defined and reflected by verifiable indicators. In addition, M&E should be seen as a tool for mobilisation, creation of sense of ownership, impact assessment and quality control at the community level. At provincial and district levels it should be seen as planning and management tool.

5.7 Indicators

The overall goal of CWSMP is that the established M&E model will provide verifiable indicators at all levels of the information flow structures. Monitoring and evaluation is expected to be an ongoing activity, even after the project has formally ended, and gathers information on progress and on effects and sustainability. To get the right information, indicators have to be developed based on the project objectives and derived from the baseline surveys.

Monitoring and evaluation is expected to find its base at the level of the Community Groups, Water Users Groups. Some of the performance Indicators (PIs) have already been developed (development of indicators - interactive process - workshop). The remaining indicators which should be both *qualitative* and *quantitative* will constitute a sound basis for *implementation* and *impact monitoring*. These indicators should by no means be *prescribed* by the project staff, they should be development during the pilot through a participatory approach involving the community. This will ensure motivation of the community to participate actively in the monitoring and evaluation process.

Other important aspects to be considered with respect to indicators include:

- Measurable indicators for soft ware activities based on previous community activities should be developed and applied as a management tool
- Divisional water officer should be seen as the central person at the community hence M&E tools and indicators should be developed with him or her.
- Tools and indicators developed should be used as a check list with the communities. Communities should come up with their own adapting whatever is necessary

6 *Support to communities*

6.1 **Content and focus**

Support to communities is a major component of the Kenya Finland Community Water Supply Management Project (CWSMP) as the effectiveness of the activities in the other components will be visible here.

Key result

Communities are managing their constructed and rehabilitated water supplies better and have taken over the management of some of those previously managed by the Ministry of Water Resources.

Intermediate results that will lead to this are:

1. Management practices and capacity for community management of water supplies have improved
2. Piped water supply schemes, currently managed by the government have been rehabilitated and transferred
3. A number of community managed water supplies have been rehabilitated and new schemes constructed and better managed
4. Systems to support the operation, maintenance, management and financing of community water supplies have been studied, tested and, if appropriate, put in place to enhance the sustainable operation of water supplies beyond the life of the project

Key indicator

The number of communities prepared to manage, and effectively managing their own water facilities will have increased

Specific indicators

1. Communities are aware of project activities and of possible assistance
2. Existing technical and management status of water supplies established
3. Criteria for assistance to vulnerable groups and for assessment of projects for implementation is established
4. Management practices and capacity for community management of existing water supplies have improved
5. Communities are prepared to take over the new facilities and management practices and capacity for community management of new water supplies have been developed
6. Communities are aware and appreciate the importance of having improved water supplies
7. A number of community managed water supplies have been rehabilitated and new ones constructed and better managed
8. Systems to support the O&M management and financing of CWS have been tested and put in place to enhance sustainable operation of water supplies

Sources of verification

- Numbers trained, desegregated by sex and course content
- The number of water supplies (point source W/S, piped systems etc.) rehabilitated or constructed and handed over to the customers

Assumptions

Communities interested in taking over and better running their supplies

The project has planned 11 main activities to realise the above results. These activities are well selected and, if carried out well, should lead to a realisation of the project purpose. It is expected that the end of the project will have honoured-40% - 50% of the applications received from the community for support.

6.2 Implementation

Of the eleven main activities planned, only two have been finalised:

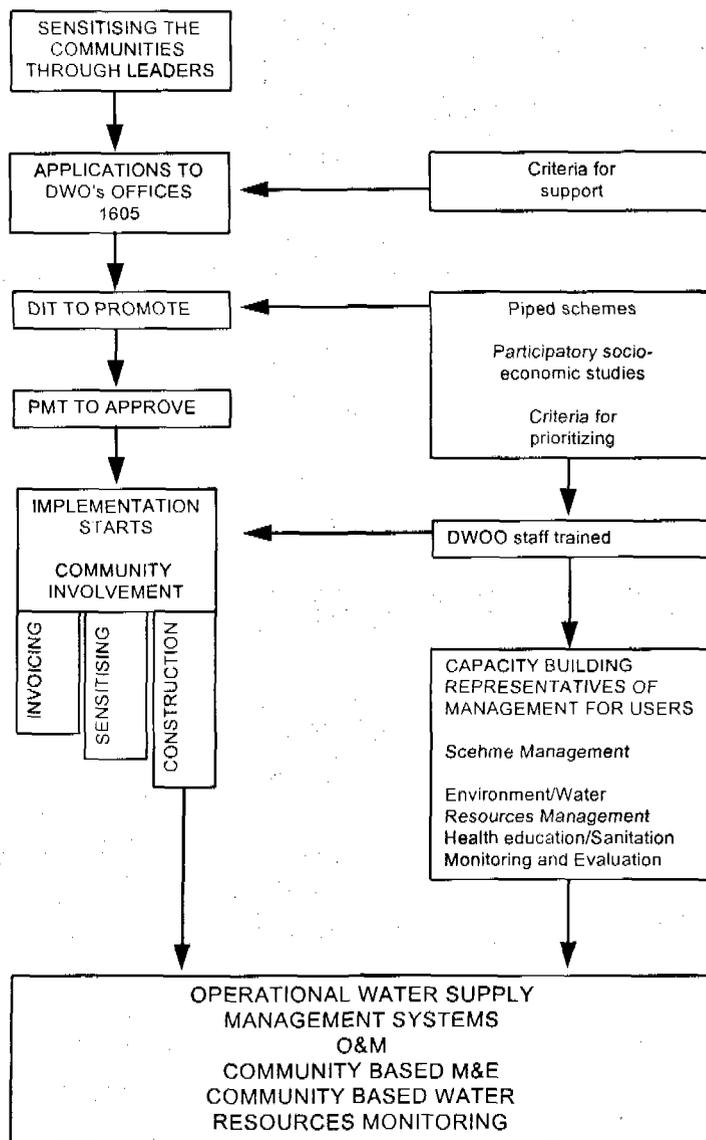
- 1) Community sensitisation and
- 2) Development of criteria for assistance to community groups and for assessment of project for implementation.

However, even in the development of the criteria for assistance, the criteria for vulnerable groups still have to be developed. The project staff is in the process of consulting the district staff on the issue. It is important that this is done in a participatory way and in consultation with members of the community through their representatives e.g. village leaders and elders.

The main activity which forms the basis of most other activities, the review of existing water supplies, is almost finished and has taken an enormous amount of time and effort. This activity is discussed under the component on monitoring and evaluation. Other activities that have been planned are either ongoing (6) or have not been started (2). At present no actual construction of the facilities has started and activities aiming to increase community management skills after receipt of community contributions have not been initiated. Basically all activities carried out with communities so far have been related to the application procedure and activities related to indicators 4,5,6,7 and 8 are not yet initiated except in the two pilot schemes, Cheseker (new piped scheme) and Onana (rehabilitation and handing-over). Although plans to accomplish all activities are laid down it may not be very realistic to expect that this will be done given the limited time span for the project.

For implementation of water facilities the project has developed several steps as illustrated in the flow chart below. The project has done no activities beyond the invoicing. Hence comments on implementation will be to a large extent restricted to those activities already carried out.

**CWSM "INCREASE ACCESS TO SAFE WATER"
STEPS OF IMPLEMENTATION OF APPLIED WATER SUPPLY**



Sensitisation

Community sensitisation is the first activity that was done 'in public' and forms a very important basis for the further activities. It is basically meant to inform the community through local and administrative leaders who are in turn supposed to pass the message to the community. Although the focus and content of the sensitisation has been on all aspects of the project and has been well conceived, the focus of the audience has been on the implementation part. This has resulted in a situation where communities are not sufficiently aware of the concept of the project in which the management ability at community level is much more important than the actual implementation of new schemes. From discussions in the field it became clear that many of those who have heard about project feel that it is not different from the former Kenya-Finland Western Supply Programme, whereas others said that they have not heard about project at all.

Application strategy

Applications for support by the community are sent to the DWOs and a total of 1605 applications have been received for support from the community by November 1997. The District Implementation Team (DIT) proposes the applications it agrees with to the Project Management Team (PMT). The application needs to come from the beneficiary community and must be based on the demand in the community. Other criteria are:

- distance where the facility will be located,
- population density,
- project status,
- amount of contribution (percentage contribution),
- land easement and commitment for legal acquisition,
- registration with District Social Development Offices,
- there must be a committee and a bank account.

According to the rules and conditions for processing applications, all applications are received and followed-up by the District Water Officer's (DWO) office. The DWO consults the project office for selection of cases needing special attention like socio-economic study, borehole costing etc. Within the project team, the method in which communities are selected for follow-up is not clear. Studies are carried out jointly by the DWO's office and project staff. Communities are informed of the outcome of studies, feasible technical options and the estimated costs so that they are able to decide whether to apply for the project or not. The District Implementation Team (DIT) recommends projects based on the budgetary provisions for the approval of Project Management Team (PMT). Of the initial applications, 167 applications have been approved. At present about 60% of the approved applications are for new water facilities and 40% are on rehabilitation, indicating that the project concept has either been misunderstood or that communities are not interested in rehabilitation and/or management support. Applications have also been turned down at the PMT level for several reasons such as for example if applications to be approved come from only one division or location. PMT rejects them and asks the DIT to review and consider the other divisions/locations. This is to ensure that there is a representation from all the divisions or locations.

Criteria and options have been developed by the project with inputs from local and administrative leaders to be used as a guideline for communities in the decision process to implement water facilities. For new piped schemes it has been proposed that due to limitations of project funds the piped schemes would be implemented at a cost of not more than KES 3 million. However, when the mission visited Cheseker water project it was evident that this water supply which is soon to be implemented will cost double that amount. There is thus need to review the criteria regarding such issues.

Land easement

At present the criterion on land easement or legal acquisition is not a criterion that needs to be finalised before implementation starts. The rationale given for this is, that it takes too long time. However, for simple water points this is not the case and with perseverance the process can be completed in three weeks. The project should take the issue seriously because in the previous programme there were quite a number of cases where water points were constructed in compounds of individuals. Communities were later not allowed access to them or if they were allowed to use them, they had to pay. This clearly indicates that it was no longer a community water point as earlier intended. According to the district teams, at present land easement for some already existing water points have not been finalised and therefore the sense of ownership and unlimited access to these facilities is still lacking.

" The mission visited two communities who have applied to be assisted in constructing new water points. Both had paid their invoices and were waiting for implementation. However, the areas where they wanted the water points developed were in compounds of individuals. When interviewed the owners of these homesteads claimed they were aware that the piece of land in their compounds where the water point was to be developed should be public land. They were also aware that there should be a different access than the main gate for the communities when they collect water but it looked like they were not in a hurry to finish the process which they claimed they had started. It was clear that they did not take the issue of land casement seriously and that piece of land may not be public land before commencement of the water points."

Community contributions

The communities are invoiced for their cash contribution and informed of the validity period and when to make material and labour available. The cash contribution is meant to instil a sense of ownership with the communities and varies from a minimum of 5% (new piped scheme) to a maximum of 48% (borehole rehabilitation). The mission has not been able to find a clear table or text that summarises how the price of the different interventions and the cost of the contributions are established. The table indicating 'Average cost of developing/ maximum cost of rehabilitation of a water supply and community's share of the cost' of 22/6/'97 does not give information on this¹. In discussions was mentioned that the cash contribution is also for sensitisation and training. The lack of transparency of the calculations has repercussions on the applications. For instance, it makes it more difficult to assess quotations for implementation and compare them with the average cost given. The validity period to pay the cash contribution is one month. From records given to the mission there are very few invoices that have been paid by the community so far. Consumers from Onana water supply were particularly concerned about the validity period and would have wished it extended.

Handing-over

The handing over of government operated piped schemes for community management is in the National Water Policy and is also one of the main activities in the project. According to the project plan it was expected that at least one such scheme per district would be handed over to the communities. The project later realised that rehabilitating these schemes would cost a lot of time and money which resulted that only one scheme will be handed over as a pilot during the project period and the process is ongoing. Onana water supply in Funyula is the scheme being piloted. A participatory study on this water supply has been done mainly to determine community capacity to take over the management of the scheme. A committee has been elected which has been registered with the District Social Development offices and the committee is in the process of drafting by-laws so as to be registered as an association. A visit to this scheme was made by the mission and it was noted that although the committee is aware of all implications of the process of handing over, this could not be said for the rest of the community. It was evident that for them the aspects of community management and their obligation to operate and maintain the scheme after it was handed over was still not very clear. The review team was told that it would be explained to the rest of the community after the scheme has been handed-over. Obviously this creates reluctance, even more as only operation and maintenance of the facilities is handed-over and not the asset itself.

¹ Later explanation from the Project: "Community invoices are based on the Engineer's Estimates for each specific Scheme", however these were not presented to the review team.

Planned tendering process

No actual tendering has taken place as yet and no documentation has been seen by the mission on this issue. However, in discussions it became clear that the project plans to follow adapted government tendering procedures for all types of water supply systems. The mission feels that the project staff has not looked at the tendering procedure in a community management sense. Involving the community in the tendering process and giving them a real influence on the decision making process is crucial for the sense of ownership and later responsibility with the community. It also enhances the knowledge with the community on actual cost of different aspects of their water supply. It will also influence the way they will start supervising construction or rehabilitation, they pay in part and therefore ensure that their money is well spent. This only improves the efficiency of implementation and has a direct influence on indicator 4 and 5.

In addition, the mission feels that for construction or rehabilitation of simple hand-dug wells competitive bidding seems not necessary and use of quotations and tendering boards for selection of appropriate contractors would be a better system. The private sector and community based institutions should be encouraged to give quotations.

6.3 Rationale and effectiveness

The rationale of all activities in this component is very clear and well founded. But the way the project focus is turning towards new implementation is not in line with the purpose "to increase the management skills of actors in planning, implementation and O & M of water facilities and for protection of water resources in Western Province of Kenya." The concentration on new water facilities does not justify the purpose of the project. It is known that many water facilities put up by the previous programme are not operational due to technical or managerial problems justifying the need to look at them. The effectiveness of the initial community sensitisation through the local leaders may be questioned. If the project is to continue there is an urgent need to sensitise and encourage communities to apply for support in terms of rehabilitation, training and other software inputs and helping them understand the importance of maintaining the facilities they have. Moreover, the project has not monitored or followed up after the sensitisation to establish if the intended comprehensive dissemination of the messages was taking place in the communities. Also this has diminished the effectiveness of the sensitisation.

The rationale behind the fact that the cash contribution the community is expected to contribute also covers a part of the cost of sensitisation and training is not at all clear and does not seem to be justified as these aspects in particular should fall under project costs to be funded through Finland support. The amount and the lack of transparency in the composition of the community contribution also influence the effectiveness of the project. Many communities are not paying because the cash contribution is considered too high and the one-month invoicing period too short. If for example a community applies to be assisted in spring protection the cash contribution for training and sensitisation would be more than the amount needed for actual construction.

The activities to achieve the key results are well spelt out in the work plan but are not realistic as they are too many to be achieved within the short time frame. The mission feels that when the project document was being prepared, the project has misinterpreted the time to achieve these results. There is need to reschedule the activities laid down and relate them to the main objective and then look at important activities which are achievable within the limited time frame.

6.4 Efficiency

The project is being implemented by district and division staff who are basically technical people with little previous knowledge and limited capacity for working with communities in planning, management, financial knowledge, and monitoring etc. However, they have absorbed the project concept and approach to a very large extent and are now applying these in their actual work in the community. This is very efficient as the dependency on staff from other departments is reduced and the messages given to the community are not conflicting. The staff who is the key person for work with the communities is the DivWO. As yet, the DivWO seems to be accompanied by district staff, which may not always be necessary. District staff, however, should supervise the DivWO and monitor the effectiveness of his activities.

Although the project is to some extent working with social development staff, this does cause some problems. For this staff to be involved in project activities they have to be paid facilitation fee and lunch allowances to get them motivated. Health staff who could be of great use in the domain of hygiene education has not been involved. This would enhance efficiency as the DivWO at this point in time is not at all trained in hygiene education or sanitation issues.

6.5 Sustainability

The first criterion for application of a water point (new or rehabilitated) is that the project should be initiated by the beneficiary community and based on the demand of the community. Other criteria are more of a technical nature and the mission feels that more emphasis is needed on creating a sense of ownership to enhance sustainability. Thus, the mission suggests that other criteria be added such as for example, previous development activities by the community or proven ability to mobilise resources and previous attempts for assistance².

The district especially the division staff should be given more chance to implement all activities pertaining to the project in order to gain experience and exposure with advice from the project staff at the Provincial level. This will ensure sustainability when the project life span is over. Division staff who is the ones who are in contact with the communities should also be equipped with the necessary technical skills and managerial skills so that they can assist the communities when called upon.

Although presently no direct activities are carried out at community level, the mission would like to stress on the fact that sufficient time is given for community work and that the DivWO are sufficiently capacitated to do this work, as yet this has not been done. The mission is also concerned by the fact that sanitation and hygiene education matters are not at all addressed in the project plan. For sustainability of the intervention this is absolutely necessary.

6.6 Institutional implications

The mission feels that suggestions on many of the activities which fall under this component may have institutional implications, which may have to be assessed by the project team. This applies specifically to the tendering procedures and the handing over procedures. If a change is made in the tendering approach, this may be difficult in view of the fact that district procedures have to be followed.

² Carried-out socio-economic studies were reported later, but their impact was still not visible in the selection criteria.

Similarly, in view of the apparent reluctance of communities to take over the responsibility for O&M for government schemes without also having the ownership of assets, some other approach may have to be developed.

Since sensitisation through the administrative and local leaders has not been very effective, it may be possible to spread the concept of the project through other government channels such as health care institutions and schools. Also media need to be used for the messages.

6.7 Indicators

The indicators in the work plan are very good indeed. However, the means of verification to assess to what extent the indicators have been fulfilled are absolutely insufficient. Numbers of people trained and numbers of facilities constructed or rehabilitated does not say anything on actual performance or use. Good monitoring starts from the community level upward, but this has not been operationalised. It is important that the project start discussing with communities the relevance of monitoring and then agree who will collect what information and for what purpose. The development of community based monitoring should be seen as a gradual and participatory learning process which results in a practical and field tested system.

For example, community members will only visit sites and keep records when they appreciate the need for monitoring and when they have decided who will monitor what and how. They need to get the necessary training to implement the monitoring system and then see the results of the monitoring in the better functioning of their facility.

7. *Provincial and district level capacity building*

7.1 **Content and focus**

The focus of the activities in the component on capacity building as stated in the Project document have been refined in the work plans and are as follows:

Key result

Province and districts have the human and physical resources necessary for support to communities in water supply management

Intermediate results that will lead to this are:

1. staff involved in supporting community management of water supplies is available and trained
2. physical resources of the organisations and staff at the district, division and location providing support to the communities have been improved
3. coordination of, and cooperation with different sector actors improved

Key indicators

Number of trained staff increased and availability of resources increased

Specific indicators

1. Provincial level staff involved in supporting community management of WS is available and trained
2. District staff involved in supporting community management of WS is trained and impact of training is evaluated
3. Physical resources of the organisations and staff at the provincial, district, division and location levels providing support to the community have been improved
4. Co-ordination and co-operation with different sector actors improved

Sources of verification

Numbers trained, desegregated by sex and course content

Numbers and types of transport, equipment etc. made available to the staff

Assumptions

Staff available and committed to the new approaches

In addition to the activities under the Component of capacity building, training activities are carried out under the other components:

- orientation training for assessment of water supplies (PWOO/DWOO)
- training provincial and district level M&E staff in the established M&E system and TOT
- Training programme on technical and management issues (district level)
- Community training (technical and management)
- Training for district authorities and communities in water resources management

7.2 **Implementation**

A total number of 577 staff (58 female and 519 male) have been trained in 171 training days (3310 trainee days) so far. The training has been carried out with provincial, divisional and district level staff, but almost half of the total staff time involved has been from the district. This is quite logical as the District Component Heads are expected to train in turn the staff at

the divisional level. The mission is quite impressed with the content and level of training's that have been carried out and this impression is further confirmed by the skills and enthusiasm of the district level staff (component heads) involved in the project. The training manuals are well written and cover the areas which need to be covered. The evaluation of the impact of the training has not yet been carried out.

The two training activities for all divisional water officers (DivWO) have been on the carrying out of the assessment of existing water supplies and on community involvement in the implementation of water supply.

The physical resources to facilitate the implementation of activities at all levels (provincial, district, divisional and locational) have been mainly directed at the provincial level. This includes vehicles, hydrometeorological equipment, geophysical equipment, computers, office equipment and laboratory equipment. At the district level, a vehicle from the previous project was handed over. Moreover, the districts have been requested to assess the number of motorbikes and bicycles in the district as well as the equipment needed for the project. On the basis of this assessment, decisions on purchase of new transport and materials will be made at the project level. The district offices are expected to get computers for the operation of the data base, especially on the assessment and later on monitoring. Only very limited other material support is given at district level and below (some hydrometers, office materials, stationery, vehicle spares e.t.c.).

Coordination and co-operation with the different sector actors is not really taking place where it concerns other actors such as NGOs. There are only a few in this province. The project does attend national coordination meetings held with MWR and donors who have projects in the sector. This however remains restricted to a very global level of exchange. Coordination with actors from other related sectors is taking place in the meetings of the Project Management Team and District Implementation Team where staff from the Ministries of Social Services, Health and Education is represented. However, in the field, actual implementation is carried out by MWR staff while staff from MCSS is invited to participate.

7.3 Rationale and Effectiveness

The purpose of the project is to increase community management skills for maintenance, operation and implementation of water facilities and for protection of water resources. In order to reach this purpose much community development work is needed at the community level. The rationale for almost all training activities with MWR staff is that they are trained in technical aspects of water supply and not in the social and management aspects. Hence training in understanding the issues in community based management, in communication skills and participatory approaches is essential. Of course not all levels need similar kind of training and this has been well thought out in the training strategy. The provincial staff is trained to understand the concept of community based management and to be able to supervise and follow-up on district staff. The district staff is trained for the same reasons with regard to divisional staff but in addition they received Training of Trainers (TOT) to enable them to train the divisional staff who are actually working at the community level. The training activities are where possible carried out in a field situation in order to distinguish between the different requirements for different types of schemes (old water points and schemes for handing over, rehabilitation and new water points and schemes). In principle this concept is sound and effective, but it takes a very long time and this has resulted in far too few activities at the community level. Effectiveness of the work at district and divisional level would be increased if more staff would be female. At present there is an overwhelming majority of males.

The project activities in the field have been mainly on the assessment of existing water supply and on the initial assessment of communities who applied for a water supply. The impression is that most of this work with the communities was done by District staff and DivWO together. Actual management training in the communities has not taken place as yet.

A pilot scheme (community piped scheme for rehabilitation and handing over to community) has been selected to establish community approach and develop training manual and guidelines, these will then be adapted for other types of schemes. The management orientation training has been carried out and manual is ready in draft. It is very good and can well be adapted for the other type of schemes.

The key results for this component are likely to be reached through the approach taken with regard to provincial and district staff. However, this cannot yet be said about the DivWOs as they have had limited training in the actual issues to establish functioning water supply at community level. The effectiveness of the training is difficult to establish at this point in time because the limited field activities where the staff could be monitored in action. One aspect that has been lacking is attention for reporting/monitoring on activities carried out at the community level. Although forms have been developed which are good, the way these forms are filled in may not always reflect what the actual situation is. There is no supervisory or monitoring mechanism in place for control of effectiveness.

The effectiveness of the physical resources at provincial level is high. At district level it is less impressive, as the vehicles are not in very good condition (lack of maintenance and age of vehicles). The lack of response to the demand for information on resources has been a limiting factor in this respect.

7.4 Efficiency

It is not possible to establish a cost - benefit analysis at this point in time on the capacity building activities carried out. But the fact that in the almost two years of the project, the communities have not yet been reached with training activities points to a lack of efficiency. Also the efficiency in project delivery in capacity building could be improved. For instance the division of roles and responsibilities between the Component Heads (district) and the DivWO is quite clear in the job descriptions. However, in the field they overlap which is not necessary. For instance, community sensitisation before implementation is often carried out by Component head with DivWO, whereas the Component Head should really only monitor the performance of the DivWO. Performance indicators, have not yet been established although very good reporting forms have been developed.

The relatively low efficiency is also caused by the logistical limitations at district and divisional level. The DivWO often has to go on foot or by public transport, as at district level the number of cars is insufficient.

7.5 Sustainability

The activities in the capacity building component are sustainable in itself as course manuals and guidelines are developed and many people trained in TOT courses. The sustainability of water supply intervention is enhanced through precisely the capacity building activities and the already visible results in the change of attitude with the technical MWR staff at the district level towards community management.

It will however, not be possible to reach this sustainability also at the divisional level within the given timeframe because it is unlikely that the DivWO will have had all type of training for community management that is necessary and also would already have had field experience in carrying out their tasks.

Sustainability, however, is affected by the frequent transfers of MWR staff. This became clear during the workshop where newly appointed District Water Officers were obviously not informed about the project, its concept and approach. This needs attention and some form of training for new staff and refresher courses in the long run, needs to be established.

The ultimate purpose of the capacity building activities, that is to increase the management skills in the community has not really come into focus as yet. The communities have been involved in the assessment and have been sensitised on the requirements and implications of having a water supply through the project, but they have not been trained. This training is the crucial factor which will determine the sustainability of all project construction/implementation interventions. In this training, the gender aspects of management will and need to come into focus.

The sustainability of the physical resources is always questionable and is dependent on the actual operation and maintenance at the provincial and district level. Apart from the equipment used in the project office by project staff, the responsibility for operation and maintenance of these assets are with the provincial and district authorities and are beyond control of the project.

7.6 Institutional Implications

The capacity building activities are well anchored in the MWR institutions at provincial and district level. In this respect, the approach will be replicable after the project finishes, provided the MWR will give similar attention to capacity building at all levels. This is a matter of policy at national level. It would be advisable if in training institutions (technical college) similar kind of skills are included in the curriculum, as well as practical field work experience in order to ensure that MWR staff in other provinces acquire the same skills and interest for community management as it is in line with the Water Policy.

As long as staff in other provinces is not trained in a similar way, the effectiveness of the approach is in doubt as a result of the frequent staff transfers.

7.7 Indicators

The indicators established for the capacity building component are justified and adequate. However, the sources of verification can be improved. The fact that a training has been followed does not establish that it has been done effectively. This needs to be verified in a different way, for instance by checking to what extent the explanation of the project is being understood at community level or by checking the reliability of the information in the reporting forms.

8. *Water Resources Management*

8.1 **Contents and Focus**

One of the objectives of the project is to have an effective, sustainable WRM system at three levels community, district and provincial. At each of the three level the focus is on the creation of awareness among all the actors, on the processes involved, their links with water resources management, conservation and protection. The main thrust here is to prepare the three levels to take action when any adverse processes are noticed and reverse the trend.

Key result

An appropriate and practical system of monitoring and involving communities has been established and is being used (water resources management).

The expected intermediate results of this component are:

- a) Ground and surface water resource potential and monitoring systems have been reviewed and assessed and an appropriate database has been established and is maintained.
- b) Communities are aware of environmental risks and catchment area deterioration.

Key indicator

An equipped and functioning water resources management system, involving communities, in place and working.

Specific indicators

1. Ground and surface water resource potential and monitoring systems have been reviewed and assessed
2. An appropriate water resources database has been established and maintained
3. Communities are aware of environmental risks and catchment area deterioration
4. Adequate and good quality water resources data is being collected regularly, analysed and utilised.
5. Environmental assessment are carried out before implementation of new water supplies.

Sources of verification

- Documentation of water resource data which is regularly being updated and used by communities and others
- Record of physical and legal measures they are taking to protect their water resources

Assumption

The system can be regularly updated at an affordable cost

8.2 **Implementation**

In line with the National Water Policy CWSMP came up with an implementation strategy which includes the following:

- Review of existing water resources data collection systems and earlier studies carried out and subsequent identification of areas with pollution and over abstraction risks .
- Improvement of data collection and water resources monitoring system by development of a feasible community based water resources monitoring system with functional water resources data bases at district and provincial levels.
- Rehabilitation of existing monitoring stations and establishment of new ones.

- Basic training and awareness creation for project staff at district, division and communities in water resource management data collection, processing and reporting.

Review of existing water resources data collection systems:

This involved the following four activities:

- A review of the regular (MWR/KFWWSP) water resources data collection programme
- A survey on the status of the existing monitoring stations
- Assessment of existing water supplies
- Training on the use of GPS to accurately locate the monitoring stations

By the end of 1994, the regular water resources data collection programme comprised of 31 river gauging stations, 99 ground water level monitoring stations, 32 springs and 22 rainfall stations. Apart from the hydrometeorological data forwarded to the MWR headquarters (copies at the district) all this massive data is in files at the project office and it has not been analysed. This data need to be entered to data maps/computers and analysed. At the moment monitoring of a number of stations for the MWR National data base is going on though not efficiently. The other monitoring programme established by KFWWSP has since stopped. In this respect the districts need to be activated to continue the monitoring through initiation of the community based monitoring and evaluation system.

Assessment of the status of water resources monitoring stations

Assessment of the status of water resources monitoring stations and estimates for improvements/rehabilitation/installation has been completed. At the moment most of the rehabilitation/installation facilities have been purchased. It would be advisable to execute rehabilitation/installation activities and the development of the community based WRM monitoring and evaluation system concurrently so as to facilitate practical training on the operation and maintenance of the monitoring stations at community level.

Identification of areas with pollution and over abstraction risks

At the moment this activity has not been executed. Analysis of the existing water resources monitoring data would give indications of possible areas with pollution and abstraction risks.

Development of Water Resources Monitoring System

A simple monitoring system will be set up at the six identified pilot water supplies. Emphasis will be on engagement of the local communities in water resources management and create awareness for the sustainability of the resource and the environmental impact of water development and water conservation. Data collected will include all water-related and environmental-relevant information as far as feasible to be collected at community level.

As soon as the first experiences of monitoring will be obtained, the system should then be adjusted according to the results. The replication of the system should then gradually proceed to other potential monitoring locations.

Training

A workshop and a training of trainers training in monitoring and evaluation of water resources and facilities has been held. The output of this workshop was a framework for development of a community based water resources monitoring system. The training involved all the component heads in the districts and DWOs from the six proposed sites for the pilot community based water resources monitoring system. Based on the experiences of the pilot community, the monitoring system will be replicated to other communities. The workshop proceedings should be circulated to all the DivWOs. In addition on the basis of the outcome of

the workshop follow up trainings should be carried out at the community and divisional levels.

Other training needs identified during this mid-term review exercise include:

- Divisional and district component heads working on participatory extension methods need to be further trained on CWRM issues, to provide the necessary input at community level; water management committees and CORPs need to be trained. In addition an appropriate documentation in relation to these trainings and future follow-up needs to be developed.
- District component heads and divisional water officer need to be further trained in data collection, verification and computer data storage and basic data evaluation.

Establishment of a database

A monitoring system will be set up to collect and store relevant data at district and provincial water resources data bases. These data bases will allow the DWO staff and other stakeholders to easily retrieve relevant information and check trends. At provincial level (PMT) data could be analysed using much more comprehensive computer program, to observe region patterns and trends and allow policy decisions on protection and water abstraction permits. A direct feed-back should then be given to the districts in the form of analysed data plots to guide the DWO's (District water boards) on policy matters as well as on existing water rights. Similarly there should be a feed back from the districts to the communities.

8.3 Rationale and effectiveness

At community level the local water committees need to be sensitised on the issue of water resources management (water conservation, catchment protection, potential contamination risks). Observation made in the field at two of the proposed pilots indicates that much more training, sensitisation and community mobilisation will be required.

If possible the data bases established at the province and districts should match the data systems of the MWR (National Water Resources Data Base). External support may be required in establishment of the data bases.

For coordination with the other relevant programmes the data bases should be prepared to a suitable format (which can easily be interpreted with the GIS systems commonly used in Kenya i.e. Arc view/Arc Info, Geo-media etc.). The results achieved from the monitoring system should be communicated to other programmes like:

- The rural domestic water supply and sanitation project - Dutch assisted
- Lake Victoria water resources project - FAO
- Lake Victoria environmental management project - The World Bank

8.4 Efficiency

CWSMP has initially selected six pilot water supplies to ensure a proper take-off of the WRM. Observation on the ground indicate still a lot needs to be done before the WRM can take-off. Possibility of giving out short-term consultancies to assist in the entrenchment of the concept of WRM as it positively impacts on the environment and establishment of district databases should be considered.

The water resources monitoring should be a part of the general monitoring and evaluation. The communities should not be loaded with too many monitoring responsibilities. All the monitoring needs should be integrated into one system. The system should be made interactive and simple to understand and maintain.

8.5 Sustainability

Previous monitoring activities executed by KFWWSP and that of the MWR so far have been concerned with measuring technical parameters for administrative purposes by district staff/project staff. They have neither involved the communities nor done any activities to raise awareness at that level with regard to issues such as protection of water resources, catchment degradation, environmental sanitation, latrines, pollution. In this respect for the long term sustainability of the WRM, much more comprehensive mechanisms should be developed on how and by whom WRM concerns, such as mentioned above, can be initiated at community level (in line with the requirements for the national water policy) during this project.

Based on this past experiences CWSMP should aim at establishing a WRM where by at community level data is collected by the water committee (most likely the operator and CORP); a simple system of 'chalk and board' can be used to inform members of changes in the situation. An adequate back-up system (provided by the districts) will be required to ensure continuing interest of the community in their monitoring system, and to direct protective measures which can be taken at the local level. To ensure adequate knowledge at divisional and community an additional information and training package needs to be prepared. This may require some short term external support.

8.6 Institutional Implications

Institutional and Legal Framework

The WRM should become operational under the DWO and PWO respectively for and on behalf of the Ministry of Water Resources which have the mandate to manage and supervise the development of the water resources in Kenya, as stipulated under the 'Water Act'. Access to the data and results of data evaluation is restricted in the sense that users other than the GOK organisations are required to pay a fee for data and results made available, similar to the mode of operation of NAWARD. During the development of the monitoring system this institution and legal framework should be adhered to appropriately.

Water and environment

Water and environment are considered to be the two most critical elements in any sustainable rural development, the two are interrelated and interdependent. During the pilot and subsequent implementation community based WRM should be conceived in this context. Agricultural runoff laden with silt, residual fertilisers and other agro-chemicals, industrial effluent and indeterminate range of pollutants from urban areas undoubtedly pose an environmental concern related to water activities. Water balance will be disturbed because of deforestation of the catchment areas, pressure on land use due to increase in population, change/uncontrolled agricultural practices and general land degradation. These activities and concerns can be considered both at the water point (community) level, district or regional level and be addressed through their respective sectors. This in turn calls for institutional strengthening of inter sector collaboration with the line ministries at the division and district levels.

8.7 Indicators

A review of the indicators shows that a number of fundamental assumptions related to the project setting, scope of the project, available capacity and implementation time frame have not been considered. The project work plans are not explicit on the methodology to be adopted for establishing WRM monitoring and evaluation indicators at community level. This could possibly be carried out in the pilot and during physical implementation of project activities through an interactive process with the communities and the project staff at division and district levels. Among others the indicators should facilitate verification of the following:

Health and hygiene

- record of latrine construction;
- hygiene condition of latrines;
- usage of latrines;
- usage of leaky tin and ash for hand washing;
- knowledge on hygiene/health messages;
- environmental sanitation of the compound;
- selected and measurable hygiene risk decrease (use of unprotected sources for drinking water, covering water container, cleaning of water container before drawing of water, no (children) faeces in compound).

Water resources management

- increase/decrease of encroachment of the water source catchment area.
- increase/decrease of indigenous trees;
- pollution sources;
- water levels; rainfall and evaporation readings
- water quality- colour, taste, smell
- environmental conservation measures - afforestation, soil conservation, etc.

9. *Conclusions and Recommendations*

9.1 **General conclusions and recommendations**

Appropriateness of objectives and indicators

1. The overall objective of the project is appropriate, the purpose of the project is justified and in line with the National Water Policy. The indicators are well formulated and measurable, but the means of verification have to be improved as they often do not measure the effectiveness of the activities.
2. The project has not fully conceptualised the difference between the overall objective and the purpose of the project. This purpose is not to increase the coverage of water supply, but to increase **effective** coverage of water supplies. The division between activities for new implementation and activities towards rehabilitation of existing schemes is at present 60% versus 40%. The mental focus in the project staff, the district staff and with the communities is on new schemes and the difference between the last phase of the previous project and the present project is therefore not sufficiently clear. The mission recommends that the emphasis will be clearly put on rehabilitation and the percentage division should be in the order of 20% new and 80% rehabilitation. In view of the fact that application for schemes is in many cases at present not followed by actual contribution, it is still possible to change the emphasis towards rehabilitation.

Handing over process of government schemes

1. The documentation on the handing-over process and the manuals and guidelines prepared are excellent and fully endorse the National Water Policy.
2. The assumption stated in the project document: *A water policy facilitating transfer of ownership of water supplies in place*, is not correct. The water policy does not transfer the ownership of assets to the communities and only the management and O&M will be handed over. This may cause confusion and reluctance in the communities and may call for a different strategy to approach this issue in the project.
3. The policy on handing-over is so new that it needs a very **thorough explanation on the concept and on the consequences for the community**. The training workshop held in the pilot scheme was well conceived and carried out, but that in itself does not guarantee that all users understand it. It is at present too early to judge, but it may well be that at this point in time neither the communities nor the government authorities are ready to effectuate the policy.

Capacity of the government to transfer responsibilities

1. The project staff is extremely committed to the project approach and dedicated in their activities, which interferes somewhat with the necessity to accept that the communities are also the 'owners' of the whole process. Even though committees are not yet equipped with the necessary skills to own the water points and schemes and effectively operate and maintain them, it should not mainly be the project staff which directs the implementation process and makes key decisions. This applies for instance to the tendering process, where the staff of MWR prepare the tendering documents and select the contractor, while the community representative is present as an observer. This should be changed in such a way that the communities have a role in decision making and the MWR staff assists the community representation to make this decision. This is crucial in the process of transferring responsibility.
2. The project needs to reprioritise its activities. The assessment of **all** water sources in the Western Province is taking too much time and manpower away from more important

activities of the project. Although the assessment has now almost been finalised, the outcome has not been used yet to direct the project strategy, which was the initial purpose of the assessment. The results have to be brought into a data base fast, possibly with the help of a consultant.

3. It is recommended that implementation is started, including the training of the communities, simultaneously with the ongoing training of trainers. This way the impact of the training can be monitored on the ground. If applications are insufficient, a more 'negotiation driven' approach may be required for rehabilitation projects, based on the results of the assessment. Select for instance one water point for rehabilitation per division and start with motivation.
4. The calculation of the contribution required from the communities seems to also include the costs of sensitising and training. The Mission questions the rationale of this practice. It increases the contribution from the community unnecessarily, leading to the noted difficulties in collection of the contribution. The use of the support funds from the Government of Finland is more justifiably used in this kind of capacity building than in subsidising the purchase of hardware.

The role of MWR/PWOO/DWOO and the involvement of other authorities and institutions in the sector development

1. The main role of the Ministry of Water Resources, in line with the National Water Policy, is in policy formulation and development in the water sector. In addition, the role includes the creation of an enabling environment for all actors to operate effectively and efficiently, while direct implementation of water and sanitation projects is to diminish gradually as the capacity of other sector actors increase. Thus, the private sector should be encouraged to get actively involved in implementation of both new construction and rehabilitation in this project.
2. The Provincial Water Officer oversees the implementation of MWR policies and strategies in the province, including monitoring and evaluation of all water activities, management of water resources in the province, supervision and coordination of the activities of all the District Water Officers. For him to do this effectively, he needs to be fully informed of all activities carried out under the project. The mission has the impression that this is not always the case. Roles and responsibilities between project and PWO should therefore be clarified and adhered to.
3. The District Water Officer oversees the implementation of the water policy in the district and is in charge of data collection for water resources management in collaboration with other sector actors. Other specific roles include the planning, implementation, operation and maintenance of MWR projects, water supply schemes and catchment conservation. In the project, the staff is being trained to carry out these tasks more effectively, especially through training in community development aspects. The change in attitude towards these aspects of their work is remarkable and staff shows much enthusiasm. However, frequent transfers do have an impact on the efficiency of the training interventions.
4. The financial reporting of the project needs improvement. It takes too long before the Districts report their expenditure to the Project and to the Province. The District staff does not possess the required skills to manage own bank accounts and to report the expenditure promptly. Moreover, there is too much delay in declaring expenditures at province and district level. Accountability is jeopardised and the situation may lead unnecessarily to situations which call for harsh measures. The same applies for the communities. Their financial management skills are reported to be inadequate and create space for lack of trust, which in turn discourages effective collection of funds needed for investments and O&M.

The need for technical assistance and its role

1. The approach taken by the Project Adviser and the Field Adviser as support to the Ministry staff is commendable. The way they have been able to stay in an advisory position is an example for the Project and other MWR staff on how to influence a process without taking it over. But much remains to be done to realise the purpose of the project, while the time given for the project is insufficient to do this. If the project would end at the time proposed in the project document, the sustainability of the activities may not be guaranteed, especially at the community level and in the schemes projected for rehabilitation and handing over. In order to guide these very difficult processes, more time is needed and technical assistance is still necessary. The mission therefore recommends an extension of the project.
2. Kenyan, directly employed consultants, are doing a remarkable job. As long as such qualified staff is not available within the MWR, these consultants are needed both for capacity building of MWR staff and to guide the processes taking place at community level. To ensure that the initiated change in attitude, behaviour and skills continues, these inputs remain an absolute necessity.
3. The concept of short term experts to support in specified activities is endorsed. Where possible Kenyan expertise should be, and indeed is, used and for expertise not available in Kenya, expatriate consultants can be hired. The Mission can foresee that such expertise may be needed for the following tasks:
 - Developing and structuralising a database to serve as a management tool at all levels, starting from the community up to provincial level.
 - Developing a Community based monitoring system and linking it to the National system.
 - Financial and accounting counselling at District, Division and Community levels.
 - Establishment of an environmental monitoring system from community up, and training of staff at all levels including in the community.

9.2 Component specific conclusions and recommendations

Monitoring and evaluation

1. M&E should not be seen in isolation as is currently the case, but has to be incorporated in all activities taking place in the district. Lack of sufficient monitoring e.g. in the first sensitisation is affecting the project performance. Communities too have to learn to realise that effective monitoring is a form of empowerment
2. The need to monitor the inability of the communities to honour invoices and apply for rehabilitation is evident. Mitigating measures may have to be taken to ensure that communities become more interested.
3. The proposed chain of information from the community to PMT and back seems too long. This should be reviewed and tested quickly.
4. It is important that the DivWO monitors that action is being taken on the results of the monitoring at community level. This should also be done at district and provincial level on the performance of the staff involved in CBM&E system.

Support to communities

1. Neither the key results nor the intermediate results of this component have been reached. Basically all activities carried out with communities so far have been related to the application procedure and activities related to indicators 4,5,6,7 and 8 are not yet initiated except in the two pilot schemes. It is recommended that work in the communities starts immediately on several fronts. In case communities have not applied for assistance, but the assessment reveals that there are difficulties in operation and maintenance, the project should actively approach the community, clarify the aim and purpose of the project and

encourage them to apply for support in terms of rehabilitation, training and other software inputs.

2. With regard to the criteria for application, it is suggested that other criteria be added such as for example, previous development activities by the community or proven ability to mobilise resources and previous attempts for assistance.
3. Sanitation and hygiene education matters are not at all addressed in the project plan. For sustainability of the intervention this is absolutely necessary.
4. The lack of transparency in the cost calculations and community contributions has repercussions on the applications. This has to be improved because the community has to be able to assess quotations for implementation and compare them with the average cost given.
5. The land easement criterion has to be adhered to in such a way that before construction starts, the process has to be sufficiently well on the way to ensure its completion.
6. For construction or rehabilitation of simple hand-dug wells competitive bidding seems not necessary and use of quotations and tendering boards for selection of appropriate contractors would be a better system. The private sector and community based institutions should be encouraged to give quotations.

Capacity building

1. The content and level of training carried out in the project are well written and cover the areas which need to be covered. But the impact of training has not been assessed. This needs to be done soon, for instance through monitoring of the training given to the communities.
2. The efficiency in project delivery with respect to capacity building should be improved. Although the division of roles and responsibilities between the component heads (District) and the Div WO is quite clear on paper, in the field they overlap.
3. Coordination with related sectors is taking place in PMT and DIT, but not very much at field level. Especially coordination with health staff for hygiene education and sanitation intervention is recommended as long as the DivWO is not trained in these aspects.
4. Training activities for communities have not been carried out yet and need to be initiated soonest.
5. Although indicators established for the capacity building component are justified, the means of verification are not well addressed and need improvement.

Water resources management

1. The data on water resources, the status of existing monitoring stations, assessment of existing water supplies and training on the use of GPS to locate the monitoring stations is in files at the project office. The information needs to be analysed and entered into data maps/computers.
2. The identification of areas with pollution and over abstraction risks has not been executed. Analysis of the existing water resources monitoring data would give indications of possible areas with pollution and abstraction risks.
3. At community level the local water committee need to be sensitised on the issue of water resources management. Rehabilitation/installation activities and the development of the community based WRM monitoring and evaluation system should be executed concurrently so as to facilitate practical training on the operation and maintenance of the monitoring stations at community level.
4. The communities should not be loaded with too many monitoring responsibilities. The system should be interactive and simple to understand and maintain. An adequate back-up system to be provided by the districts will be required to ensure continuing interest of the

community in their monitoring system, and to direct protective measures which can be taken at the local level. To ensure adequate knowledge at divisional and community an additional information and training package needs to be prepared and this may require short term external support

MINISTRY FOR FOREIGN AFFAIRS OF FINLAND

September 8, 1998

Department for International Development Co-operation

TERMS OF REFERENCE
FOR MID-TERM REVIEW OF
COMMUNITY WATER SUPPLY MANAGEMENT PROJECT
IN KENYA

Background

The Community Water Supply management Project in Western Province is a regional programme supported by the Ministry for Foreign Affairs of Finland's financial and technical inputs. The Ministry of Water Resources of Kenya has the co-ordinating role in the implementation. The programme is planned to be implemented during 16.12.1996 and 31.12.1999. Agreement between the two Governments was signed in December 16, 1996. development support services are provided by the PLANCENTER Oy.

The Community Water Supply Management Project in Western Province is conceived with the overall objective of increasing access to safe water for improved health and well-being. The purpose of the project is to increase community management skills for maintenance, operation and implementation of water facilities and for protection of water resources in the Western Province of Kenya. The strategy to be used on the project will be based on the experiences of the KMWR and involves supporting MWR activities in community water supply. Target setting and resource allocations are done by MWR while the Government of Finland provides funding and technical assistance. The communities contribute funds and human resources and are responsible for O&M and management of completed facilities in whose implementation they are involved at early stage. Four following keyresults are envisaged: monitoring and evaluation systems will be functioning, support to communities will have been provided, District level capacity will have been built and water resources management system will be established.

Monitoring and Evaluation aims at establishing and functioning of the appropriate and sustainable community water supply monitoring and evaluation system at both the community and district levels. To achieve this keyresult, the following intermediate results will be expected: a) Actors including the communities are trained in monitoring methods, including participatory methodologies (PRA, PROWESS) and gender analysis. b) A monitoring and evaluation system, including a system of feedback and communication at all levels, is developed, established and functioning.

Support to communities aims at the better management of the rehabilitated water supplies and taking over the management of some of those previously Ministry managed by the

Communities. The following intermediate results will go into the realisation of this key result: a) management practices and capacity for community management of water supplies has improved. b) Piped water supply schemes, presently managed by the government have been rehabilitated and transferred to consumers for management. c) A number of community managed water supplies have been rehabilitated and new ones constructed and are better managed. d) Systems to support the operation, maintenance, management and financing of community water supplies have been studied, tested and put in place to enhance the sustainable operation of water supplies beyond the life of the Project.

Capacity Building at the District Level aims at achieving the human and physical resources necessary for support to communities in water supply management and using these resources for the purpose in the project area. The intermediate results are: a) staff involved in supporting community management of water supplies is available and trained. b) Physical resources of the organisations and staff at the district, division and location providing support to the communities, have been improved. c) Co-ordination of, and co-operation with, different sector actors improved.

Water Resource Management aims at establishing an appropriate and practical system of monitoring and involving communities. The intermediate results of this component are: a) Ground and surface water resource potential and monitoring systems have been reviewed and assessed and an appropriate database has been established and is maintained. b) Communities are aware of environmental risks and catchment area deterioration.

Purpose of the Assignment

The purpose of the Mission is to provide DIDC and MWR with the analysis of the strengths/weaknesses/limitations/opportunities of the project and water supply in Western province in general leading to guidelines and recommendations for continuation of the project as well as future development of the water supply. It should measure the extent to which the objectives set for the project have been met. Guidelines and recommendations are to include both substance and financial aspects.

Scope of Work

The Mission will analyse the following aspects. The work shall cover but not be limited to these issues. Gender issues, approach and strategy (including studies conducted) are to be incorporated into all aspects of the analysis.

Rationale and effectiveness

- rationale of the objectives and their relevance in relation to the goals and aims of Finnish development co-operation and the Kenyan national and provincial policies and development plans
- how the objectives are formulated
- interrelationship between the objectives
- how outputs contribute to larger goals
- extent to which the key-results of the project have been attained or are likely to be reached
- the availability of basic information for impact analysis at later stage
- applicability and effectiveness of the project strategy

Efficiency

- economic relationship between the inputs and the outputs/cost-benefit aspects
- existing project delivery efficiency

Sustainability

Institutional sustainability

- ownership of the Kenyan government: financial, technical and strategy aspects
- assessment of the replicability and possible guidelines for replicating the project in Western Province
- conductiveness of policy environment
- clarity and pragmatism of set goals
- correspondence of activities, strategies and approaches to the capacity (managerial, technical) of Kenyan development partners at all levels
- pragmatism of timeframes
- how the institutional framework, organisation and management, human resources and financial management lead to self-reliant running of the project
- timing and conditions of the Kenyan government to fully take over

Social sustainability

- appropriateness of the planning process
- effectiveness of the monitoring and evaluation
- role of knowledge, attitudes and skills
- level of community participation
- compatibility with socio-cultural environments
- availability and capacity of human resources at all levels
- suitability of human resource development to attainment of project objectives
- effectiveness of communication systems horizontally and vertically

Technical sustainability

- quality of physical construction (water points/schemes)
- water quality and hygienic conditions of the water points and schemes
- affordability in terms of initial costs and of operation and maintenance and capacity to manage physical outputs without foreign assistance
- construction methods
- appropriateness of technologies to economic and social conditions
- expansion strategy
- output measurement based on selected indicators
- water point/scheme maintenance management system
- physical construction capacity

Environmental sustainability

- environmental aspects of the physical construction
- protection of the water sources

Specific Subjects to be Addressed

When reviewing the Project, the Mission shall, in particular, address the following subjects:

- (i) the appropriateness of the proposed objectives and verifiable indicators

- (ii) the handing over process of government schemes to the user-organisations and legal status of these organisations
- (iii) the capacity of the government to transfer responsibilities to the communities, addressing institutional capacity;
- (iv) the role of MWR/PWEO and the involvement of other authorities and institutions in the sector development and
- (v) the need for technical assistance and its role

Mode of the work

Prior to the field work documentation review is to be undertaken by all consultants concerned in their respective countries. Documentation is to be submitted to them at least two weeks prior to the start up of the mission by Ministry for Foreign Affairs of Finland. Meetings and interviews in Helsinki will be undertaken by the team leader prior to the field work.

Prerequisites to the RWSEP office to facilitate the mission should be informed prior to arrival to Kakamega. The field work is based on limited discussions in Nairobi and substantive in-depth interviews in Kakamega. In-depth discussions, observations and use of participatory methods should be utilised in the work in the programme areas.

The Consultant

The Consultancy team should comprise two international consultants and two Kenyan consultants. Both consultants will be jointly selected by the Ministry for Foreign Affairs of Finland and the Ministry for Water Resources of Kenya. The CVs of International consultants will be provided to Kenyan Ministry for water Resources by the Ministry for Foreign Affairs of Finland and the national consultants to the Ministry for Foreign Affairs of Finland by the Ministry for Water Resources of Kenya.

International

- 1. Water supply and water resources management specialist (Team leader):**
The overall responsibility for accomplishing the mission's tasks; responsibility for development of water supply and water resources management, institutional development, financial and administrative aspects.
- 2. Community Management specialist**
Responsible for participatory processes, planning processes, development of community management capacity including human resources and gender issues

National

- (3) Appropriate technology specialist**
Responsible for reviewing the appropriate approach and handing over procedure, O&M of the point sources/schemes and monitoring of the resources and schemes
- (4) Community management**
Responsible for assessing the adaptability of all strategies and solutions to the Kenyan context at community, division, district and provincial level, for assessing the management procedures and capacity at community level as well as for assessing the required monitoring and support

Timetable and Reporting

The duration of the consultancy is five weeks, starting in September and ending in October 1998 when the final report shall be ready.

The mission will stay

- 3 days in Finland (Team Leader) in the beginning of the assignment
- 2 weeks in the field
- 3 days in Nairobi

The language of the report is English.

The draft report will be submitted to the relevant authorities for the correction of factual data presented. Since the mid-term review is an independent and neutral review of the programme, there is no need, at this stage, for official comments on the report. After the finalization of the report, the project may wish to organise a separate occasion in which all parties may discuss the report in view of the future planning of the project activities.

The final report shall be submitted as a printed report and on diskette using Microsoft Word 7.0 or WP 6.0 or 6.1 or Windows/Lotus or Excel for Windows for tables and charts.

Director of the Unit
for the Eastern and Western Africa

Kari Toiviainen

PROGRAMME OF THE MISSION

| Date | Event |
|--------------|---|
| 28 September | <ul style="list-style-type: none"> • Briefing at the Embassy of Finland • Meeting Kenya-Sweden Rural Water Supply Programme • Courtesy call and Briefing at Permanent Secretary's Office, MWR • Meeting WRAP-project • Briefing at Ministry of Finance |
| 29 September | <ul style="list-style-type: none"> • Travel to Kakamega • Introduction and programming meeting in Project • Courtesy to call Regional Water Officer • Reading of Documents |
| 30 September | <ul style="list-style-type: none"> • Presentations by Project Manager and component heads, meeting • Planning of Workshop 5-6.10 / participants, venue, invitations • Reading of Documents |
| 1 October | <ul style="list-style-type: none"> • Field visits in two groups (3+3) |
| 2 October | <ul style="list-style-type: none"> • Reading of Documents • Field visits in two groups (3+3) |
| 3 October | <ul style="list-style-type: none"> • Workshop planning / Themes + Substance • Workshop planning / Questions to participants (by facilitators) • Field visit report writing |
| 4 October | <ul style="list-style-type: none"> • 1/2 day off • Workshop preparation |
| 5 October | <ul style="list-style-type: none"> • Workshop |
| 6 October | <ul style="list-style-type: none"> • Workshop |
| 7 October | <ul style="list-style-type: none"> • Team internal discussions • Project staff individual interviews • Report writing |
| 8 October | <ul style="list-style-type: none"> • Report writing • Travel to Nakuru |
| 9 October | <ul style="list-style-type: none"> • Travel to Nairobi • Debriefing Embassy of Finland • Debriefing Ministry of Water Resources |
| 10 October | <ul style="list-style-type: none"> • Report writing • End of Mission |

DOCUMENTATION OBTAINED BY THE MISSION

The following material produced by the Project on the Project was provided to the mission at arrival:

I General Information and Administration

General brief
 Component briefs
 Overview on capacity building
 Brochure
 Cartoon

II Monitoring and Evaluation

Desk study on M&E practices
 Report on the hand pump spare parts distribution
 Study plan for assessing the existing WSS
 Report on the progress of assessment

III Support To Community Water Supplies

Report on sensitising the community leaders
 Criteria on community support
 Steps of implementation
 Ways of increasing community participation in WS development
 Guidelines on reporting the sensitising process of water points
 Guidelines on carrying out socio-economic studies for piped schemes including reporting and
 Guidelines on selection of new / rehabilitated piped schemes to be implemented
 Examples of reports on socio-economic studies for piped schemes
 Example of a feasibility study report for a piped scheme (Cheseker)
 Procedures for implementation of WPs: terms and conditions at district level
 Summary on the fact sheet for support to communities

IV Handing Over Ministry Water Supplies

Criteria for pre-selection of the schemes
 Procedures to be followed in handing over
 Preparation of communities for handing over

V Pilot Handing Over Case ONANA – Funuyla WS

Criteria for selection of the pilot scheme
 TORs and general plan for participatory study and training in the pilot scheme
 Detailed plan for participatory study and training in the pilot scheme
 Report on participatory study in Funuyla-Nangina WS (=ONANA)
 Training plan for management orientation (ONANA)
 Report on management orientation training (ONANA)
 Manual for management training

VI Capacity Building for Gvmt Staff

Training strategy for the CWSMP concerning GVMT staff
Report on JD workshop
Draft for the Job Descriptions for the staff in DWOO
Overall training plan for the GVMT staff
Monitoring report on training activities
Training plans and report on research methods for assessment
Training plan for TOT / sensitisation
Training plan for sensitisation /DWOsT
Plan for PRA training
Plan for M&E workshop
Plan for TOT /M&E
Plan for computer training

Material for districts (not included in this file):

Tools for community participation by UNDP
PRA material for community training

VII Capacity Building for Communities

Plan for PRA study
Training plan for management orientation for piped scheme (ONANA)
Plans for sensitising the communities in WP implementation
Plans for sensitising the communities in piped scheme implementation
Draft for general plan for training of old piped schemes

VIII Water Resources Management and Environmental Issues

Report on water resources monitoring
Guidelines for environmental assessment
Status of water resources monitoring stations in Western Province

Community Water Supply Management Project

The following material was sent by the Project in advance to IRC:

Project Document
Annual Report 1997
Work Plans 97-98 and 98-99
Report on Participatory Study on Funyula-Nagina (Onana) Water Supply
Environmental File

KEY RESULTS AND THEIR DEVELOPMENT INDICATORS

KEY RESULT A : Appropriate and sustainable community water supply monitoring and evaluation systems will be established and functioning (Monitoring and evaluation systems)

The key results will be realised when quantitative and qualitative data on technical, environmental and socio-economic factors related to the project and water supplies in general have been continuously collected, analysed and are being used at all levels to enhance water sector performance.

The following intermediate results will be expected :

1. Actors including the communities are trained in monitoring methods, including participatory methodologies (PRA, PROWESS, etc.) and gender analysis.
2. A monitoring and evaluation system, including a system of feedback and communication at all levels, is developed, established and functioning.

KEY RESULT B : Communities are managing their constructed and rehabilitated water supplies better and have taken over the management of some of the schemes previously managed by MWR (Support to communities)

The following intermediate results will be realised with the key result :

1. Management practices and capacity for community management of water supplies have improved.
2. Some piped water supply schemes, currently managed by the government have been rehabilitated and transferred to consumers for management.
3. A number of community managed water supplies have been rehabilitated and new schemes constructed and better managed.
4. Systems to support the operation, maintenance, management and financing of community water supplies have been studied, tested and, if appropriate, put in place to enhance the sustainable operation of water supplies beyond the life of the project.

The key indicator for this key result will be an increase in the number of communities who will have been prepared to manage and are managing their own water facilities.

KEY RESULT C : Districts have the human and physical resources necessary for support to communities in water supply management (Provincial / District level capacity building)

The following intermediate results will be realised :

1. Staff involved in supporting community management of water supplies is available both at the provincial and district levels and is properly trained.
2. Physical resources of the organisations and staff at the district, division and location levels, providing support to the communities, have been improved.
3. Coordination of, and cooperation with, different actors within the water sector have been improved.

KEY RESULT D : An appropriate and practical system of monitoring, involving communities, has been established and is being used (Water resources management)

The following intermediate results will be realised :

1. Ground and surface water resource potential and monitoring systems have been reviewed and assessed and an appropriate database has been established and is being maintained.
2. Communities are aware of environmental risks and catchment area deterioration.

The following indicators shall verify the success :

- Ground water and surface water resource potential and monitoring systems have been reviewed and assessed.
- An appropriate water resources data base has been established and maintained.
- Communities are aware of environmental risks and catchment area deterioration.
- Adequate and good quality water resources data is being collected regularly, analysed and utilised.

PLANNED ACTIVITIES AS PRESENTED IN THE SECOND WORKPLAN

Component A : Monitoring and evaluation

The monitoring and evaluation component is charged with the responsibility of establishing an appropriate and sustainable community water supply monitoring and evaluation system functioning both at the district level and at community level. To achieve this a number of activities will be undertaken by the component together with the District Water Engineers (DWEs) who have each appointed an officer in their district to represent the component.

- A1. During 1997-1998 the existing monitoring practices were reviewed in the project and for the various types of water supplies including community schemes, ministry managed schemes, institutional water supplies, point water sources and spare part distribution system. The data has been evaluated at the project level and the necessary improvement on the methodologies and tools have been proposed. Further processing of data will be continued.
- A2.1 Based on the assessment of existing water supplies and the desk review of the existing M&E system, the establishment of monitoring and evaluation data base at provincial and district levels to store and process data will be done. This will not only improve the availability of information but also give common understanding to all parties involved by facilitating smooth communication and adequate feedback.
- A2.2 A model community based monitoring and evaluation system will be designed and developed through the communities, districts as well as all other sector actors involved in this project. The system will be used for all types of water supplies and for the hand pump spare part distribution. This will be done through studies, seminars, workshops, consultative discussions and educational tours to other WS projects within the country and region. The model established is expected to be tested in the third quarter of 1998 before it is presented to the Project Management Team (PMT) for approval towards the end of 1998. The community based M&E system will incorporate information and data collection and feedback from all project components. These include e.g. water resources, environmental data, gender issues, and socio-economic data.
- A3. A number of training courses will be conducted for public sector staff at provincial and district levels to be trained as trainers for the committees on the M&E data collection, processing and utilisation with particular consideration for gender issues.
- A4. In turn the communities will receive training on the importance of M&E information collection and use. The district staff will conduct such training with the support of the project headquarters.
- A5. Documentation of lessons learned with a system of continuously updating the data base will be another activity. This will be done by ensuring that the district and provincial level data bases are functioning with feedback at all levels. Monthly coordination meetings and regular visits will be keeping track of the progress attained and stages for interventions.

Component B : Support to communities

- B1. Community sensitisation was carried out in 1997 to make divisional leaders and communities aware of project activities and possible support. Community sensitisation and involvement will be continued in 1998-99 in connection with the physical implementation processes. Applications for support from the communities have been received by the districts after the deadline of 30.11.1997, but it has not yet been decided what to do with the applications that were received later.
- B2. Assessment of existing water supplies was done in 1997-1998 to establish the technical and management status of the water supplies. Data processing and analysis of assessment data will be continued in 1998, to provide among other objectives a basis for a comprehensive M&E database and to establish the water coverage within the project area.
- B3. Criteria for assistance to vulnerable groups and for assessment of projects for implementation have been established through socio-economic surveys and consultative meetings with communities. A selection criteria report has been prepared and used for evaluation of applications. Criteria for vulnerable groups will be further developed in 1998.
- B4. Assessment of current training needs for selected water supplies will be done, based on the report prepared during the assessment of the status of existing water supplies. A training strategy and an overall training plan have been prepared. Planning of the training programmes has been started and will be continued jointly with the districts and communities. Implementation of training will be continued according to the overall training plan (Annex 9).
Apart from the facilities to be rehabilitated / constructed, also staff for other water supplies will be trained and supported to be better able to sustain the existing services. Implementation of the training programme on technical and management issues and keeping of summary reports on training and follow up activities will be a continuous exercise.
- B5. Applications for rehabilitating existing community water supplies and for development of new water supplies were received by the project in 1997 (total of 1605 applications). Selected communities will be prepared to take over public water supplies through participatory studies and through community training. Handing over guidelines prepared by MWR and modified by CWSMP will be applied. It is planned that 3-5 ministry water supplies could be successfully handed over to community management.
- B6. Design and documentation for the water facilities together with relevant public awareness campaigns will also be continuous activities based on approved applications.
- B7. Physical implementation of new and rehabilitation projects will be started in 1998, which is much later than originally envisaged. Contracts and consultancies will be used for physical implementation, studies and for community training as necessary. Supervision of implementation will be done by both the DWEOs and the project

headquarters in Kakamega. Tentatively 200-250 applications can be approved for implementation .

- B8. Implementation activities are expected to end by early 1999, but additional time will be required for commissioning and follow-up. After completion of each project, there will be commissioning and follow up activities including refresher training and O&M support.

Component C : Provincial and district level capacity building

According to the purpose of the project there is a need to increase the capacity of the communities to manage, operate and implement water facilities. This has to be facilitated by supporting the MWR by developing working methods and training the staff at all levels to carry out the tasks according to the new approach.

- C1. A strategy has been developed on the role of the provincial level concerning the community mobilisation work. According to the approved strategy, staff has been recruited and trained. Training of provincial level staff will be continued according to the training strategy and the overall training plan (Annex 9). The project aims at strengthening the PWEO's capacity and resources in community support work and in environmental issues. A socio-economist has already been recruited as a start-up of establishing a community support section. Similarly an Environmental Specialist would be recruited to initiate an environmental section in future. Also a M&E set-up will be established both at the PWEO and DWEOS to enhance system sustainability.
- C2. The tasks of the district staff in terms of community management have been defined and job descriptions prepared. Based on the assessment of the water supplies (i.e. training needs at community level) the training needs at the DWEOS have also been defined. Training activities have been started and continued, based on the approved training strategy and overall training plan, which has been detailed for specific training events.

An overall training plan (Annex 9) has been prepared to cover the entire project period. The curricula for specific training activities will be prepared. Training events will be implemented either by the project staff or by external trainers.

Special emphasis will be given to create a system of evaluation of impact of training. Indicators for follow-up of behavioural changes will be created in connection with planning of training activities.

- C3. PWE's and DWEs' offices and staff will be provided with certain material support such as vehicles, hydrometeorological and geophysical equipment, computers, office and laboratory equipment. Material procurements will be continued according to the procurement plan (Annex 4).
- C4. Cooperation with other actors, such as social services and health are crucial in mobilisation and training of communities. Therefore close cooperation shall be maintained with other actors. Regular meetings will be held with other relevant projects and authorities, such as health, forestry and livestock development sectors.

Component D : Water resources management

- D1. Assessment of the available water resources which includes review of existing data, data collection system and earlier studies has been completed in 1997-1998. Assessment of existing monitoring stations (River Gauging Stations, rainfall stations, groundwater stations) was completed.
- An initial plan for a community based water resources monitoring system was prepared in 1997. The monitoring system will first be tested in a pilot community in 1998. Based on the experiences of the pilot community, the monitoring system will be replicated to other communities in 1998-1999 and thereafter.
- D2. Public awareness and education campaigns and training which include assessment of environmental and other data from CWS, awareness campaigns on environmental pollution and training for district authorities and communities in water resources management will be carried out. Awareness campaigns will be planned and implemented in collaboration with other relevant actors (such as MOH, MOE).
- D3. Improvement of data collection and water resources monitoring system which includes the establishment of a feasible water resources monitoring system and establishment of a district database. Equipment for monitoring will be repaired / supplied and the monitoring stations will be rehabilitated and some new ones established as deemed necessary. Routine collection and analysis of water resources data will be carried out. Global Positioning System (GPS) will be used to locate the monitoring stations accurately.
- D4. Environmental (impact) assessments will be carried out, both for new and existing water supplies. EIA studies will be done for all new piped water supplies before implementation, and for all ministry schemes to be handed over to community management. Environmental check lists will be applied for all new water points to be implemented. Environmental checks for the existing water points will be incorporated into the community based water resources monitoring system.

ESTIMATE OF PROJECT INTERVENTIONS THAT CANNOT BE COMPLETED BY JUNE 1999

Based on the work plans and experiences on project implementation for a period of about 1.5 years, it can be foreseen that many project activities cannot sustainably be completed by June 1999. The following details are given on the components and activities that would require additional time and resources.

Monitoring and evaluation (A):

In accordance to the project document prepared for CWSMP, by the time of project completion there will be already established an appropriate and sustainable community water supply monitoring and evaluation system that will be functioning in the communities and district government offices. This will be realised when quantitative and qualitative data on technical, environmental and socio-economic factors related to the project and water supplies in general are being continuously collected, analysed and used at all levels to enhance water sector performance. CWSMP has planned to achieve this through participation of the communities in the development and testing of the monitoring and evaluation system.

Because there was no community based monitoring and evaluation system in place earlier, the activities were to be planned depending on the outcome of assessment of existing status of water supplies. The assessment has taken longer than earlier envisaged due to the adopted approach and methodology that has involved the communities fully. Following on the above, the project has realised that the following activities can not be effectively completed within the present project time frame:-

- A2.2 Design and development of a model community based monitoring and evaluation system. This activity requires that it has to be undertaken in a participatory manner involving all stakeholders especially the concerned communities. It therefore requires enough time to design, develop and thereafter test its application together with the communities before it is adopted as an appropriate system to be used sustainably. The sustainability of facilities put in place will very much depend on the capacity of the communities to operate and manage their water supplies and therefore there is a need for a suitable monitoring and evaluation system that will guarantee a feedback mechanism by the communities.
- A2.3 Pre-testing the developed M & E system and the spare parts distribution system can not be done by the end of June 1999, as the establishment of the systems would not have taken place. In case the participatory design of the system will have been done within the 1998 –1999 work plan, the suitability of such system will not be known without pre-tests.
- A2.4 Development of a model community based spare parts distribution system. Like the development of an M & E system this activity has been planned to be participatory. From experience already gained it is obvious that working with communities is a slow process. An appropriate and sustainable system of spare parts distribution can only be established at the communities' pace with their full involvement. The remaining

months of the project period as per work plan for July 1998 – June 1999 are therefore extremely inadequate for this activity to be completed satisfactorily.

- A3&4 Training the public sector staff and the communities on the established M & E and spare parts distribution systems can not be accomplished due to inadequate project life. The monitoring and evaluation staff both at the districts and province is not yet trained on both skill development of the system, sensitisation and training of the communities on the developed M & E and spare parts distribution system. The training and sensitisation can only logically take place after the establishment of the M&E system.
- A5 Documentation of the established M & E system and lessons learned cannot be undertaken before June 1999 because the project completion would have left no time for gaining experience to be documented. This activity is an evaluation over a long period of time. By June 1999 most of the project activities will still be incomplete or not yet even started allowing for no documentation of lessons learned.

Support to communities (B):

This component has been identified as the main component of the project. It was envisaged at the time of project formulation that by the time of project completion, communities would be managing better their own water supplies that will have been constructed and rehabilitated. The key indicator that this will have been achieved should be that the number of communities prepared to manage and are managing their own water supplies would have been increased.

After identifying support to communities as the main component, participatory community sensitisation and training has been given a lot of emphasis both in training and implementation. This has to some extent delayed the actual implementation from the original schedule. The project life of 2½ years is therefore seen to be inadequate. In particular the following constraints are foreseen:

A total of 1605 applications for support were received from the communities by 30.11.1997 and about 90 % have been assessed (followed up). In particular the follow up indicates that most of the applicants are genuine cases, which require support for improved water facilities. However, the financial resources available and the community involvement approach can only allow for implementation of about 200-250 (13 %) water points. This will be far below the desired objectives as stipulated in the project document. It would be appropriate to aim at supporting at least 40-50 % of feasible applications.

Sixty-four (64) applications have been received from the communities for new and rehabilitation piped schemes. But given the limited time frame and financial resources, it will not be possible to sustainably implement more than seven small (total cost less than KES 3 million) piped schemes (one per district) during the current project life. With more time and financial resources, more piped schemes would be constructed / rehabilitated in a sustainable way to achieve the desired results of increased access to safe water as emphasised in the project document.

Handing over of ministry operated piped schemes for community management is now a Kenya Government policy and is also a key objective in the CWSMP Project Document. It was initially expected that at least one ministry water supply per district would be handed over. However, due to limited financial resources that are required for rehabilitation, only one pilot

scheme is currently undergoing the handing over process. Another 3 to 4 may be handed over during the current project period but even these may prove difficult given the limited time frame and the financial resources of the current project.

Although a lot of sensitisation was initially done in all the 43 divisions of Western Province with an aim of creating awareness on the existence of the new project (CWSMP), many people have just learnt about the project and are still sending in applications for support. The districts are currently receiving and storing the applications. Assessing these applications will not be useful unless the financial resources and time frame are extended.

Most of the 1605 applications received were for new water facilities. It is however known from past reports that about 1/3 of the water facilities put up by the previous project are not operational. There is therefore need to sensitise and encourage the communities to apply for support in terms of training, rehabilitation and other necessary software inputs so as to avoid wastage of physical resources already invested in the water facilities. This could go a long way in enhancing the water coverage by utilising fairly limited resources. It is however not appropriate to sensitise the communities to apply at the moment when the applications already received are well beyond the capacity of CWSMP given its limited time and financial resources.

Consequently the following activities cannot be completed sustainably in the remaining period: -

- B4 Implementation of training programme on technical and management issues for existing water supplies.
- B5 Preparing communities to take over developed facilities and developing capacity of the communities to effectively and efficiently manage the facilities
- B7 Communities are materially supported in the implementation of new and rehabilitation water works
- B8 Put in place and test systems to support the operation and maintenance, management and financing of the developed facilities.

Provincial / District level capacity building (C):

According to the purpose of the project there is a need to increase the capacity of the communities to manage, operate and implement water facilities. This has to be facilitated by supporting the MWR (at provincial and district levels) by developing working methods and training staff at all levels. Capacity can be built through training and human resources development, through supply of materials and equipment to facilitate activities related to community water supply management.

At the time of beginning CWSMP, the capacity of the provincial, district and divisional level of MWR was extremely limited to support community water supplies. Training and human resources development take a long time to bring sustainable results. Participatory training processes that the provincial and district level staff has currently undergone, e.g. TOT and PRA are processes that would require more time to yield satisfactory results. Community training will utilise participatory approaches focusing on lessons learnt when carrying out these training activities. Training programmes have to be refocused to meet specific needs of

the different and dynamic communities and therefore more time and resources are required for this process to be completed.

Provincial, district and divisional level staff of MWR are expected to bear the main responsibility of community training, including management development of existing and new community water supplies, training in M&E systems etc. The process of equipping the MWR staff with the required training skills is merely in the beginning, and community training can only be started during the current project period. To get adequate feedback and to evaluate impacts of community training, more time is needed. MWR staff also needs logistical support to continue community training beyond the current project period.

- C1. Training of provincial staff to be involved in supporting communities in the management of both new and existing piped water supplies requires more time and resources. According to the training strategy the training will take place at the time the implementation process of schemes is going on. Physical implementation has delayed and is only beginning now, which means that training activities will not have adequate time to be completed and to have desired effects.
- C2. Follow up and evaluation of training of district and provincial level staff can only be successfully accomplished when the impact can be realised at the community level where water systems should be operational. For most of the community water supplies the impact can not be realised during the current project period.
- C3. Supporting the provincial and district level of MWR needs to be continued, since their capacity and facilities to support community water supplies still remains inadequate by the end of the current project period. Especially the newly established districts have extremely limited facilities, which calls for much more logistical support than has been possible within the current project resources.
- C4/5. CWSMP has taken initiative to increase collaboration with other sector institutions in Western Province that have a linkage to water activities. Working out common interests and working procedures at the community level takes a lot of time. Although the collaboration has taken off well, more time would be required to apply the agreed approaches and activities in practice at the grass-root level.

Water resources management (D):

It is envisaged that at the time of project completion, an appropriate and practical system of water resources monitoring, involving communities, will have been established and in use. One of the key indicators is that communities will be aware of environmental risks and catchment area deterioration. It is in taking stock of the objectives and time frame that it is foreseen that the following activities will not have been successfully completed by June 1999 when the project is scheduled to officially end.

- D2.1 Like all other activities involving the communities, it is foreseen that the activity on public education campaigns and training in water resources management will be delayed and there will not be enough time left for evaluation of its impact.
- D3.1 The establishment of a functional community based water resources monitoring system might not be achieved in the time frame of the Project. With the experience already acquired, it is foreseen that community involvement and acceptance will take longer

than previously anticipated. This activity is very important since if it succeeds; there will be reduced manpower required from the government in primary data collection. For this activity to be successful the project has to move with the pace of the community. Experience has shown that the pace of the community is much slower than had been originally envisaged.

- D4.1 The Project is promoting integration of environmental awareness and considerations in implementation of all future water development activities in the Province where environmental assessments should be carried out as routine activity. Environmental Impact Assessment should be done during the planning phase of a water project to foresee the possible environmental impacts so that the possible adverse impacts can either be avoided or minimised (mitigated) and the positive impacts strengthened. Out of the previously implemented water systems, the problematic ones will further be assessed. It is foreseen that this activity will not be completed by the end of the current project mainly due to the over stretched capacity of both the provincial and staff.

It is further recommended that an EIA study for the whole of the Province be carried out. This will bring out the effects of rapid population growth and development of water related activities that might have tremendous impact on the water resources of the Province. So far there have been so many ground water abstractions over the years and it would be important to assess the impact it has had on ground water aquifers in the Province.

ANNEX 7

| Jan 97 - Dec 97 Actual costs | Jan 98 - Jun 98 Actual costs | Jul 98 - Sep 98 Estimated | Jan 97 - Sep 98 Estimated Total | Jul 98 - Jun 99 BUDGET | TOTAL BUDGET |
|---------------------------------|---------------------------------|------------------------------|---------------------------------------|---------------------------|-----------------|
| 3,467,580 | 1,853,260 | 1,160,000 | 6,480,840 | 7,014,000 | 15,500,000 |
| 37,025,860 | 19,615,290 | 13,340,000 | 69,981,150 | 80,661,000 | 175,416,860 |
| 0 | 347,570 | 26,950 | 374,520 | 743,000 | 1,172,000 |
| 0 | 3,690,070 | 309,930 | 4,000,000 | 8,544,500 | 13,500,000 |
| 562,000 | 188,000 | 87,000 | 837,000 | 391,300 | 1,172,000 |
| 6,000,000 | 2,000,000 | 1,000,000 | 9,000,000 | 4,500,000 | 13,500,000 |
| 0 | 0 | 43,500 | 43,500 | 1,740,000 | 2,435,000 |
| 0 | 0 | 500,000 | 500,000 | 20,000,000 | 28,000,000 |
| 4,029,580 | 2,388,830 | 1,317,450 | 7,735,860 | 9,888,300 | 20,279,000 |
| 43,025,860 | 25,305,360 | 15,149,930 | 83,481,150 | 113,705,500 | 230,416,860 |

Note

Exchange rate used in calculations:

1 FIM = 10.5 KES (I/97), 10.8 KES (II/97), 11.8 KES (III/97), 12.0 KES (IV/97), 11.5 KES (I/98), 11.5 KES (II/98).

1 FIM = 11.5 KES (July 1998 - June 1999)

SWOT ANALYSIS / 6.10.1998

GROUP 1

| | |
|---|--|
| <p>STRENGTHS</p> <ul style="list-style-type: none"> • Achievements of previous programme has formed a basis for the project • full integration of the project to existing ministry organisation • human resources at district and division level through existing government organisation • the new water policy already in place support the project approach/strategy • the objective of the project is a strength as it builds up capacity and experience among the district staff • the project facilitates contact with communities • selection of technology is appropriate • availability of local resources/materials • districts are taking a leading role in the implementation process | <p>WEAKNESSES</p> <ul style="list-style-type: none"> • population/consumers of the project area had been used to get services without major contributions from their side • legal status of water committee is inadequate to facilitate successful handing over of water supplies to communities • new districts have limited resources to support communities • the approach and procedures of the project appears more stringent in comparison with other actors offering similar services • the capacity of implementing officers/other actors at provincial, district and divisional level is limiting • spare parts availability • lack of explicit explanation in the handing over of physical assets of government water schemes • the policy seems to be silent in the handing over of other schemes (e.g cooperation water supplies) • sensitisation did not adequately address the issue of rehabilitation • health education and sanitation are not adequately addressed • individuals hiding under registered communities in order to benefit from the project |
| <p>OPPORTUNITIES</p> <ul style="list-style-type: none"> • communities have been sensitised in water related issues and enlightened of their roles • the project could build capacity on team work (involving all sector actors) • cost sharing strategy is increasingly gaining acceptance among community members • DDA seems to have gained increasing acceptance among communities and the approach of the project has provided excellent ground for sustainability | <p>THREATS</p> <ul style="list-style-type: none"> • the whole process of the project approach is slow and it is not easy to see tangible results in a short time • disbursement of GOK funds to the project is sometimes delayed • applications for financial assistance exceeds the financial resources of the project • political interference may cause significant pressure towards the project implementation • communities may find it difficult to raise their monetary contributions in good time |

GROUP 2

| | |
|--|---|
| <p>STRENGTHS</p> <ul style="list-style-type: none"> • Existing water facilities • high water potential • well trained staff (social, technical) at all levels • demand for project assistance • positive attitudes of the community • availability of funds • availability of material resources • in line with government set-up • DDA concept was already introduced by previous project | <p>WEAKNESSES</p> <ul style="list-style-type: none"> • assumption that communities are interested and able to take over government projects • invoice time too short • no check on adequacy of information transfer • project too ambitious in given time • illiteracy level in communities • inadequate community management training with DivWO • low income levels in community • inadequate logistics • gap between what is reported and actual situation • too much focus on new facilities at all levels • lack of coordination and cooperation with other actors • insufficient attention on protection of catchment area |
| <p>OPPORTUNITIES</p> <ul style="list-style-type: none"> • in line with district focus • communities have accepted principle of cost sharing • exposure to experiences from other projects • existing road infrastructure • existing channels/forums for communication • educated community resource persons | <p>THREATS</p> <ul style="list-style-type: none"> • political interference • transfer of trained officers • conflicting approaches of other (sector) projects • non-support of approach because community based systems discourage vested interests • assumption of abundance of water resources may not be realistic • in-and out-migration • natural calamities |

GROUP 3

| | |
|--|---|
| <p>STRENGTHS</p> <ul style="list-style-type: none"> • enormous achievements of KFWWSP form a good basis for the new project • full integration of project to the existing MWR organisation • competent key staff seconded to project from MWR • huge local resources at district and division levels through existing governmental and NGO organisations • huge local resources at community level (eg. retired civil servants) | <p>WEAKNESSES</p> <ul style="list-style-type: none"> • population/consumers of the project area have been used to get services without major contributions from their side • legal status of water committees is inadequate to facilitate successful management of water supplies • divisional staff may have limited capacity to implement assigned activities • legal status of water committees are inadequate to facilitate successful management of water supplies • lack of managerial/technical skills by the communities causes water facilities to fail • some aspects of the policy according to new CWSMP approach were not clearly disseminated to divisional and locational levels • we haven't been able to determine and identify the vulnerable groups • the community finds hard to run their financial management independently • lack of planning activities take place at same time as the people are involved (eg. PRA) • frequent staff turnover |
| <p>OPPORTUNITIES</p> <ul style="list-style-type: none"> • DDA seems to have gained increasing acceptance among communities and the approach of the project has provided excellent ground for sustainability • GOK new water policy supports community management of water supplies • component heads at district level are/can be adequately deployed at divisional level when need arises • the committees/leaders after initial training to sensitise the communities | <p>THREATS</p> <ul style="list-style-type: none"> • new districts have very limited resources to support communities • the establishment created by KFWWSP still haunts the new DDA • time framework for project implementation is a threat • female staff not available on the ground • availability of GOK/MWR funding to project may be delayed • water policy does not address gender • political interference • expectation may exceed financial resources available in the project • communities may find difficulties to raise funds |

GROUP 4

| | |
|--|--|
| <p>STRENGTHS</p> <p>Component support to communities:</p> <ul style="list-style-type: none"> • there exists community social groups as a result of both sensitisation and previous project • there exists experienced staff that was involved in previous project and have been absorbed in the current project • there existed hardware (vehicles, motor cycles, bicycle) handed over to districts by previous project • Component Monitoring and evaluation: • due to existing staff from previous project assessment was made easier • government policy can be incorporated in current project such as handing over govt scheme • existing spare part distribution in project area • Component capacity building • availability of resource material (logistic support) from previous project (e.g. training manuals) • Component Water resources Management • existing water monitoring network | <p>WEAKNESSES</p> <ul style="list-style-type: none"> • the institutional set-up of the social groups in the communities are weak (financial management, general cohesion etc.) • carried over staff have high expectations in terms of incentives hence low morale • condition of hardware handed over by previous programme were almost obsolete • there was poor M&E system • poor stocking of spares/dead stock/ lack of business • lack of gender sensitive indicators |
| <p>OPPORTUNITIES</p> <ul style="list-style-type: none"> • potential can be realised through provision of proper guidelines • building incentives non-monetary eg. recognition by seniors, trophies, certificates • they can be bonded for disposal | <p>THREATS</p> <ul style="list-style-type: none"> • inter-clan/social conflicts • change in value system (i.e. monetary to non-monetary incentives) • the bureaucracy process involved |

TOPICS IN THE WORKSHOP, QUESTIONS AND ANSWERS

COMMUNITY MOBILISATION AND SELECTION CRITERIA:

QUESTIONS:

- Q 1. Sensitisation has been done through local and administration leaders. The mission has the impression that this has not been very effective as is shown by the number of applications for new projects. How could this be improved?
- Q 2. The present selection criteria do not cater for community preparedness. How can this be improved? i.e. previous development activities undertaken by the community, proven ability to mobilise resources, previous attempts for assistance etc
- Q 3. The purpose of the project is to increase community management skills for O&M and NOT implementation of NEW water supply facilities. We feel that the division 60% new -40% rehabilitation does not justify the purpose of the project. What are your views on this?
- Q 4. a) The tendering procedure does not distinguish between large and small facilities. This is not cost effective. How could this be improved?
b) At present the community is only involved as an observer in the tendering procedure. This does not enhance ownership or transparency. How can this be improved?
- Q 5. The present handing over procedure does not specifically cater for the difficulties that the communities face in taking over government operated schemes. How can the current approach be improved in terms of information, mobilisation and realisation of all implications?

GROUP 1:

- Q 1. Sensitisation has to be carried out again. For sensitisation to be more effective it should be carried out through:-
Public barazas at locational level by Div. water officers and Social development assistants
- Q 2. Selection criteria to cater for community preparedness. This can be improved by reviewing the current socio-economic strategy.
- Q 3. The implications on community contribution between a new and rehabilitated is almost the same hence community prefer a new facility with less O & M costs.
- Q 4. Tendering procedure should be improved by:
a) Large schemes be registered as legal entities so that they can sign tender documents which will give them legal authority to supervise the contracts.

- b) Tendering procedure should be more explicit where there are less than three water points for construction (all quotations convene tender board)

Q 5. Procedure should be improved taking into account of site specific problems.

GROUP 2:

- Q 1. - The tools used to sensitise the communities i.e administration did not pass the message well. The group recommends the use of divisional water officers to go deeper and also use of SDA's
- Improve district capacity
 - The contents of sensitisation never incorporated much on rehabilitation of point sources except the piped systems
- Q 2. The present selection criteria does not cater for community preparedness
- The follow up team did not get enough guideline and enough questions on what to look for. There was too much on the technical part.
- Q 3. The aim of the project was to increase the coverage (water) hence functioning water points instead of new water points
- The message on rehabilitation should have been stressed giving even the values
 - The rehabilitation should be made in a specific way and the project be very transparent
- Q 4. a) The project is dealing with small facility hence quotations should be used.
b) The community has always been an observer because many times they would wish to have their own contractors rather than the quality of work
- Q 5. More sensitisation is needed to show community the whole picture of the procedure.

GROUP 3:

- Q 1. Sensitisation was not effective because it was done at a higher level. To improve it:-
- Use Govt extension workers from the division, location and sub-location
 - The process of sensitisation should be continuous so that there is follow up
 - The process should also be exhaustive
 - Implementation of sensitisation should be done on a team work basis; it should involve all the actors e.g. water, health, social service, education etc
- Q 2. - Selection criteria should look at community organisation - involvement in other activities for the past one year,
- Should look at community's own resource mobilization.
- Q 3. For the project to meet its purpose of increasing community management skills for O & M, implementation of the new water supply should be 20% and rehabilitation and capacity building should be 80% of approved cases.
Areas which were not covered by the old project had a high demand of new applications. The impact of sensitisation might have not reached the target community.

- Q 4. - Tendering process should be changed such that the process is based on the project cost
- There should be limitation on tender at the district level and the province depending on the size of the project
- b) Community representatives should be signatory to contract document.

GROUP 4:

- Q 1. - Land easement for the already existing water points had not been finalised. Therefore sense of ownership and unlimited access to the facilities lacking.
- Lack of follow up in baraza and other public fora to ensure that the message was reached by the communities at large.
 - Recommend that some basic baseline survey data of the areas covered by the baraza.
 - Recommend that the project objectives be addressed in clusters of communities with different physical facilities and coverage indicators

- Q 2. Selection criteria is 'hardware' oriented and recommend that:-
- Software criteria to be incorporated as a pre-selection indicators e.g. previous application of similar nature, and other community based activities
 - Land easement to be finalised before recommendation to PMT by the DIT.

Note: Comment was that land easement should start during application and there should be a deadline for finalisation.

- Q 3. Contradiction in relation between main objective and initial communication to the communities. e.g. community maps to demarcate boundaries to avoid more than one water point per community.

- Q 4. a) Recommendations:
- Ceilings should be set to allow for autonomy of districts to speed up the procedure while recognising the control the functions of higher levels.
- b) Communities are somehow included 'effectively' as opposed to 'observer' status in the tendering.

PLENARY ON HANDING OVER:

- In future there is need for awareness creation on new policy of the Ministry.
- The Onana case is a pilot and was supply driven approach put to test
- It is important for the new approach that awareness is created and then wait for communities to apply.
- Handing over will be based on the guidelines of SIDA
- Communities should be informed on what it involves in that particular scheme. Technical aspects and problems should be informed to the communities before handing over
- Communities need to be convinced why the Govt is handing over and project should be prepared that there will be a lot of questions by the community and a lot of information to be given. It should be a continuous process as it is new.

CWSMP - WORKSHOP - DAY 2

TOPIC 3

Translation of the training at the district level in M&E has not really been operationalized at any level. The links, roles and responsibilities between the community, the divisional and district level are in reality not well defined and not reflected by verifiable indicators. Therefore M&E cannot serve as a management tool. In addition, M&E is not being seen as a tool for mobilization, creation of sense of ownership, impact assessment and quality control at the community level.

The mission would like to review what needs to be done to make the M&E system effective in the above mentioned aspects.

PRESENTATION BY MOHAMED ALI -

| DISTRICT | 5 INSTRUMENTS | | 4 INSTRUMENTS | | 1 INSTRUMENT | | COMMUNITY MANAGED SCHEMES | | MWR | MANAGED PIPED SCHEMES |
|------------------|---------------|----------|---------------|----------|--------------|----------|---------------------------|----------|--------|-----------------------|
| | target | achieved | target | achieved | target | achieved | target | achieved | target | achieved |
| BUTERE, KAKAMEGA | 110 | 114 | 235 | 379 | 805 | 836 | 8 | 8 | 4 | 4 |
| BUNGOMA | 90 | 89 | 75 | 172 | 385 | 416 | 6 | 6 | 6 | 6 |
| BUSIA | 60 | 68 | 203 | 114 | 450 | 536 | 5 | 5 | 13 | 13 |
| TESO | 40 | 41 | 44 | 61 | 195 | 132 | 3 | 6 | 10 | 10 |
| MT ELEGON | 40 | 42 | 20 | 58 | 140 | 117 | 7 | 6 | 1 | 1 |
| LUGARI | 48 | 47 | 21 | 57 | 331 | 184 | 3 | 3 | 3 | 3 |
| VIHIGA | 60 | 45 | 45 | 45 | 51 | 45 | 6 | 5 | 6 | 6 |
| TOTAL | 448 | 446 | 643 | 886 | 2357 | 2266 | 38 | 39 | 43 | 43 |

| | | |
|---------------|--------|----------|
| GRAND TOTAL: | TARGET | ACHIEVED |
| WATER POINTS | 3448 | 3598 |
| PIPED SCHEMES | 81 | 82 |

GROUP 1

REQUIREMENTS FOR THE ESTABLISHMENT OF A COMMUNITY BASED MONITORING AND EVALUATION SYSTEM:

1. Translation of the training at the district to the division water officer and community has not been done hence DivWOs being key player should be given adequate training on community based monitoring and evaluation.
2. M&E should not be seen in isolation but be incorporated in all activities taking place in the district. Currently certain activities have been completed without incorporating M&E hence the impact not measurable e.g sensitisation.
3. The current assumption is that M&E is applicable in physical installations, it has not been used in soft ware activities e.g mobilisation, awareness creation, follow-ups, impact assessment etc.
4. M&E should be seen as an important element in all the activities
5. M&E seems not to have been understood at the project level e.g. in training of PRA at Busia where WRM and M&E personnel were left out on a reason that M&E will come later
6. The linkage and information gathering should be improved e.g. on epidemics
7. Measurable indicators for soft ware activities based on previous community activities should be developed and applied as a management tool
8. Divisional water officer should be seen as the central person at the community hence M&E tools and indicators should be developed with him.

9. Tools and indicators developed should be used as a check list with the communities. Communities should come up with their own adapting whatever is necessary
10. Communities should be made aware of the benefits of community based M&E
11. Communities to be educated on how to use community based M&E to control the quality of works

GROUP 4

FLOW OF INFORMATION CHART FOR M&E

PWO/PMT
 I
 DWO
 I
 DO/DivWO
 I
 CHIEF
 I
 ASST. CHIEF
 I
 VILLAGE ELDERS
 I
 WATER MANAGEMENT COMMITTEES
 I
 CORP (COMMUNITY RESOURCE PERSONS)

- There exists a functional communication link between the elders, assistant chief, chief and DO/DivWO on a weekly basis which should be made use of
- Information from the community will be channelled to suit the needs and monitoring objectives of the respective levels
- The M&E should provide verifiable indicators at all levels of the information flow structures
- The M&E should develop a mechanism that will define roles and responsibilities
- At community level, the information to be collected should include: O&M (technical), environment (health, sanitation, catchment protection), management and activity monitoring

TOPIC 4

WRM so far has been concerned with measuring technical parameters for administrative purposes by district staff. It has not involved the communities as yet nor has it done any activities to raise awareness at that level with regard to issues such as finity and protection of water resources, catchment degradation, environmental sanitation, latrines, pollution. The mission wants to review how and by whom WRM concerns can be initiated at community level in line with the requirements for the national water policy.

PRESENTATION BY THOOKO

WRM AT COMMUNITY LEVEL

KEY RESULT

An equipped and functional water resources management system involving communities is in place and working.

Among intermediate results

Communities are aware of environmental risks and catchment area deterioration.

Achievement towards community involvement

- A workshop and TOT training on the development of a community based WRM system has been held (District component heads and some DivWOS)
- Environmental health issues incorporated to PRA study with the Onana community representatives (sanitation ladder, catchment protection etc.)

Hard facts

- There are over 4,000 communities
- Observation network :
 - 25 rainfall stations
 - 44 river gauging stations
 - 49 borehole monitored - groundwater levels
 - 137 hand dug wells monitored - groundwater levels
 - 47 protected springs monitored
- Honorarium meter readers at a fee for rainfall and river gauging stations

Generally communities have not been involved nor has there been main activities carried out to raise awareness at that level on issues such as:

- protection of water resources
- environmental sanitation
- latrines
- pollution etc.

OF INTEREST - AT COMMUNITY LEVEL

- How WRM concerns can be initiated
- Whom to initiate WRM concerns

SOME FORESEEN CHALLENGES (Presenter's views)

- Establishing a functional CBWRM system in the time frame of the project
- Evaluation of the impact of public education campaigns and training in water resources management in the current project time frame
- How to effectively involve other sector actors to deal with the sanitation component - CWSMP does not have a sanitation component

GROUP 2

1) Topics of WRM at community level:

- encroachment
- garbage

- waste water
- graves
- catchment protection
- hygiene education
- latrines

2) The DivWO can take up topic a-d in her package at present

3) Catchment protection to be done through awareness creation by district component head. Indicators to be established by component head. Community and DivWO to follow-up at division level.

4) Latrines and hygiene education :

- not realistic to expect PHT to do it (not operational in the village) **** *Karanja during tea break received information from some community members that some of the PHTs are very active!!!!.*
- introduce topics in government training centres
- train DivWO on latrines mobilisation and hygiene education to be incorporated in community sessions along side implementation. Establish indicators together.
- Community monitors on indicators, water committee collects information, DivWO supervise and gives information to the district.

DATA

1. Sensitise community on need to observe, record hydrological data. What benefit to expect from the information monitored over the period of time.
2. Perform elementary training on members of the target communities and also encourage voluntary (free) participation in undertaking the responsibilities.

GROUP 3

QUESTIONS

1. WHY INVOLVE COMMUNITY?

We need to involve community to address certain issues in water resources management namely:

- catchment area identification and conservation
- allocation of available water resources
- sanitation and health issues
- pollution control
- environmental impact assessment

2. HOW TO INVOLVE COMMUNITY?

- participatory discussions at community level on above issues
- case studies
- demonstrations

3. WHO DOES WHAT?

NON TECHNICAL PARAMETERS

- regular meetings
- record keeping
- Necessary facilities /materials
- regular elections

