

**Report and Proposed Strategy on**

**COMMUNITY-BASED MONITORING**

**of the**

**Small Towns Water and Sanitation Project (STWSP), Uganda**



by

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# COMMUNITY-BASED MONITORING

## Small Towns Water and Sanitation Project, Uganda

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# COMMUNITY-BASED MONITORING

## Small Towns Water and Sanitation Project, Uganda

### Acknowledgement

In a rapid monitoring assessment such as this, undertaken over a two week period in September 1997, it has of course been essential to draw on the expertise of many collaborators and partners. The consultants are deeply grateful to colleagues in the Directorate of Water Development and National Water and Sewerage Corporation. Mr. Patrick Kahangire, Director of Water Development, and Mr. Hillary Onek, Managing Director of the NWSC, graciously gave keynote addresses guiding the participatory monitoring workshop (23-27 September). Without the dedication of the Commissioner ISSD, Mr. Patrick Kagoro, who attended the entire monitoring workshop, and Mr Samuel Otuba of the ISSD the assignment could not have been carried out. Mr Maurice Ongandia and Mr Willy Kiirya from the NWSC provided essential and insightful inputs for the mission.

The consultants are particularly indebted to Mrs Rose Lidonde of The UNDP/ World Bank Regional Water and Sanitation Group - Eastern and Southern Africa. Mrs. Lidonde's tireless support and substantive inputs were of such high calibre that the consultants wish to express their special gratitude.

Of the more than 75 participants from towns, districts and NGOs who attended the workshop, it is not possible to single out in a short paragraph those who provided important input for the task at hand. However as a group their dedication, exceptionally hard work and insights were remarkable. When these participants involve themselves in the activities they have planned in their towns, their work will, without doubt, ensure the success of this innovative project. We hope that they will also involve their local partners, colleagues and the men, women and children of their communities in these activities, sharing their knowledge and skills.

The report of the participatory monitoring workshop has been produced separately by Mr. Edward Bwengye and distributed to those who attended the workshop, among others. Mr. Patrick Nginya has prepared a separate report on capacity building, including training needs which also serves as a companion to this report. For the present report, the authors (Kathleen Shordt and David Saunders) bare responsibility for errors and over-sights. It is hoped that the present report will be used as a working document on the basis of which the DWD and NWSC develop their plans for and effective community-based monitoring linked to an MIS system.

For the staff of the World Bank and UNDP/World Bank Regional Group, this report is meant to show a practical application of the *learning project* concept and of *participatory monitoring* as described in World Bank publications developed by the Sustainable Development Resources Department, among others.

## Abbreviations

District CAO	District chief administrative officer
District CD	District community development officer
DWD	Directorate of Water Development
NWSC	National Water and Sewerage Corporation
UNICEF	United Nations Children's Fund
UNDP	United Nations Development Programme
UNDP/WB RG	UNDP/World Bank Regional Water and Sanitation Group - Eastern and Southern Africa
WSC	Water and Sanitation Committee
WUA	Water Users' Association
WUG	Water User Group

Currency unit	=	Uganda shilling (Sh)
US \$ 1.00	=	Sh 1100 (September 1997)

## EXECUTIVE SUMMARY

The goal of community-based monitoring is to ensure effectiveness, sustainability and optimum use of water and sanitation facilities. It operates through self-checking monitoring activities within the community that are controlled by checks and balances. The purpose of the system is to solve problems, identify opportunities and stimulate fast reaction to information in order to improve the programme over the short-term. Community-based monitoring is action-oriented and decentralized. It involves many groups of people. Because it is action-oriented, monitoring and management activities come close together. In some cases, in the proposed strategy described here, the principles of good management and good monitoring are almost identical.

A participatory community-based monitoring workshop was held in September 1997 involving 75 people from towns, districts and headquarters of the DWD and NWSC. It tested the interest and capacity of participants to initiate a community-based monitoring programme. It also served to launch monitoring in the towns. Each group of participants prepared a small monitoring plan and dedicated themselves to implementing it in their towns.

Principles that serve as the basis for the workshop and the proposed monitoring strategy shown in this paper are:

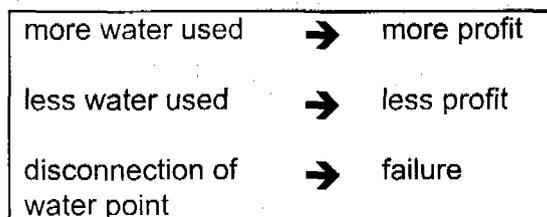
### SOME PRINCIPLES OF COMMUNITY-BASED MONITORING

Community management of monitoring activities. It is participatory.

- Planning for the use of monitoring information from the beginning. Ensuring that action to monitoring information can be taken at the lowest possible level.
- Building checks and balances through alternative flows of information, multiple collection of data which help ensure validity and quick response to monitoring information.
- Targeting and limiting collection of information, rather than trying to cover all possible topics.
- Combining quantitative and qualitative strategies.
- Simplifying procedures: Keeping data collection periods as short as feasible, and flows of information as short as possible.
- Borrowing techniques and methodologies from other disciplines (mapping, pocket charts, focus group discussions and so on).
- Capacity building: Planning for training or orientation of those who collect and may use data. Putting those individuals and groups with new skills in situations where they can apply these skills.
- Building in monitoring activities with on-going, often decentralized management rather than establishing separate monitoring units.

### Why involve the community?

This question has been raised, by some colleagues. There are many reasons; however, one simple way of explaining why community members and users must be involved can be shown schematically below.



This implies that use of more safe water within the household and institution makes economic sense. In addition, it offers a health advantage. Currently many households use far less than 20 liters per capita per day, an amount that is generally considered to be the level at which safe water offers a tangible health advantage. Thus, creating a greater demand for and use of water from

safe sources would be an element of the project. What stimulates use of more water -- more liters per capita per day from safe water points?

Convenience	↔	good site selection
Pricing	↔	rational pricing based on information (low enough to stimulate use but high enough to ensure O&M)
Create demand	↔	hygiene education

For these reasons (ensuring good site selection, rational pricing, and hygiene education-- and for many other reasons-- it is therefore essential that the community and user be involved as partners in the project and in monitoring. In particular....

### **Pre-conditions for community-based monitoring in the Small Towns Project**

- A large amount of human resource development actions should be undertaken. This involves, firstly, a significant amount of training. Secondly, to implement the proposed strategy field officers, currently attached to consultancy firms, need to remain in place for a period of two to three years. This would serve not only for implementation of a monitoring system but more importantly would strengthen the currently fragile community capacity for management and ownership of water and sanitation programmes. Thirdly, human resource needs should be reviewed and possibly additional management / monitoring staff inserted at the municipal and/ or district level. Training and HRD can present an over-head which must be provided in the projects. If the systems and facilities are to last and be used as intended, this over-head is essential.
- Consistent dedication from the two implementing agencies without which the monitoring system will not succeed.
- Sanitation activities and hygiene promotion should begin during the period between completion of the community contribution and construction of water supply. This is 'opportunity time' during which community motivation and enthusiasm can be sustained through sanitation and hygiene programming. Moving the sanitation and hygiene promotion forward in the project phasing has several advantages: it ensures that sanitation and hygiene will not be over-looked; it provides for meaningful activities during a time when the community wait often impatiently for water supply construction; it helps increase the demand for safe water from the new sources.

### **Proposed monitoring strategy**

The proposed strategy has nine elements which are described in greater detail in the main body of the report.

### ***Nine components in the proposed plan***

- 1. Communities (users, committees, associations, local government): In-build monitoring of selected indicators with checks and balances. This includes key indicators for each phase which appear in the consultant contracts, (component 5 below).**
- 2. Town councils and District or sub-county level: Checking and referral for these selected indicators. Progressively taking over more responsibility for monitoring (and management).**
- 3. Contractors: Their work is to be monitored by user groups, town/ district staff and consultants.**
- 4. Building on local resources: Identify skilled people who can serve as key resources in developing monitoring capacity and 'trouble shooting'.**
- 5. Consultants: Key indicators written into consultant contracts and used to monitor each project phase in the town.**
- 6. Project implementors (DWD/ NWSC): They check on progress toward or compliance with the key indicators for each phase during site visits and through consultant reports.**
- 7. Project implementors (DWD/ NWSC): Develop a simple pro-active 'warning system' through simple visualized flow charts.**
- 8. Project implementors (DWD/ NWSC): Spot checks based on agreed indicators.**
- 9. World Bank and UNDP/ World Bank Regional Group: Spot field visits and formal assessments, follow-up on selected aspects of the monitoring plan such as the finalization of a list of indicators, review of terms of consultants including key indicators.**

A few observations are noted here on elements 1, and of the above table:

#### **1. Communities: In-build monitoring of selected indicators with checks and balances.**

Within the towns, the strategy consists of self-checking cycle of activities, each focused on one indicator or set of related sub-indicators. Thus the monitoring activity consists of a set of steps:

- a) Identifying and agreeing on key concerns and indicators and ways of 'checking' (monitoring) them.
- b) Observing, checking, collecting only the most pertinent information related to that indicator.
- c) Analysing the information (for example, comparing the meter reading with the amount of money collected at the standpost) or intuitively (for example, the water has a strong taste).
- d) Carrying out or arranging for action on information which indicates that follow-up is needed.

- e) If the expected action does not take place, referring the information to other parties until the information is acted upon. For example, the users may refer complaints to their WSC, to the association, to the consultant, to the district/town clerk or engineer and, eventually, to Headquarters/Kampala.
- f) Applying checks and balances ('triangulation') as needed to ensure that the data is valid and reliable. This may mean more than one group collecting information (for example, construction would be monitored by the client/users, by district/municipal engineers, and by the consultant).

To implement the monitoring in the programme, one town-based workshop to initiate and advocate the system and another workshop to prepare for O&M would be very useful. Much of training and organization for monitoring the other phases--mobilization, planning and construction --could be carried out in smaller groups by the consultants and checked by DWD/NWSC. The initial planning-and-training workshop serves to start up monitoring activities with ownership at the town level. It also serve to clarify the roles of the various parties (users, committees, association, town administration and council) are clarified. Thirdly, the workshop should educate the local leaders about basic financial, water use, sanitation and hygiene issues. It is interesting to note that these town-based workshops were a strong, but unsolicited request from participants attending the Jinja programme in September 1997. The town-based workshops could be organized by DWD/NWSC staff and/or consultants for which both groups would need training.

**2. Town councils and District or sub-county level: Checking and referral for these selected indicators.** This is illustrated as follows:

PERSONNEL	MANDATE FOR MONITORING
Town clerk/CAO checks	tenders, referrals of complaints, spot accounting
Health officers	sanitation, solid waste disposal, hygiene promotion
Engineering officers	construction, technology choice, O&M
Community development officers	mobilization, user satisfaction, functioning committees and associations

**3. Contractors and construction:** A simple plan involving three groups in monitoring construction is shown in this table:

Construction: User / WSC members	Selected User / WSC members are trained and check simple construction features, such as number of bags of cement used, curing of concrete, water point located according to agreed site selection.
Construction: Town, sub-county and district authorities	Engineering and selected administrative staff and check for key construction features. For example, check borehole casing and backfill, correct protection of the eye, pumps according to specification, pipe location, diameter and quality.
Construction: Consultant DWD	Oriented and checks all work according to specifications. checks and approves

**5. Consultants: Key indicators written into consultant contracts and used to monitor each project phase in the town.**

It is recommended that the contracts of consultants be negotiated (or renegotiated) including the following elements:

- Presence of extension staff (at least 1:10,000 or 1:20,000) on a continuous basis for a 2 to 3 year period, responsible for setting up community-based monitoring as well as the usual soft-ware activities (mobilization for water, for sanitation and hygiene promotion, post-construction O&M and appropriate use of facilities).
- Organizing and training committees and probably voluntary mobilizers and relevant NGOs (for monitoring, water, sanitation and hygiene promotion). They should be provided with 'thank you' gratuities.
- Indicative key indicators given in the contracts against which the progress of the project will be judged. Such indicators may need to be refined with a view to local conditions and opportunities that arise.
- Responsibility for training and capacity building of committees and associations, including setting up continuing monitoring activities.

The elements shown above should be included in the briefing programmes provided for consultants (and their staff). Field staff who work for the consultants require special training. Engineers may need special orientation (half-day) to the monitoring system.

**Key Indicators**

A menu of possible key indicators are shown for each phase in the body of the report. Also included for each indicator are the groups responsible for checking or collecting the information and referrals if action is not taken as expected. The referral points should be clearly told to the public through the consultants and the DWD/NWSC.

The indicator list should be reduced in number and finalized by DWD/NWSC and in addition:

- At the beginning of each phase in a town, the indicators should be negotiated, refined and adapted to suit local circumstances.
- the key indicators should be known and agreed to by town leaders and administrators and district personnel who will be involved in monitoring.

## Management of monitoring

The initial activities which would be undertaken in this monitoring strategy are listed in section 7 (Action Plan). These initial activities include:

- flow-charts,
- follow-up visits to the towns to advocate for the new system and learn how monitoring of selected indicators worked,
- refining indicator list and preparation of training plan,
- identifying local resource people and groups through meetings of field workers,
- training for headquarters' staff,
- training consultants and their field staff, re-organization of consultant contracts,
- orientation of town/district administration (CD, CAO, town clerk, engineers, health staff).

When the system is in place, continued input will be required. From the staff of the DWD and NWSC, this continuing work may consist of:

- at least one visit each phase to monitor the key indicators for that phase,
- support for district/town administration and trouble-shooting to ensure sustained operation of the systems and monitoring,
- possible accountant checks and rapid assessments,
- setting up management and monitoring units at the district level and training their staff.

## Capacity building

Capacity building refers basically to two things: development of skills usually through training and being in a position to use those skills. Thus capacity building is more than training. One way of making this concept concrete -- bringing capacity building to reality in a project -- is to combine training with other activities. For example, on-the-job training ensures that the new skills will be used. Another approach is to combine training with planning. This approach was used at the participatory monitoring workshop held in Jinja. The workshop gradually developed to the point where participants from each town made group plans for monitoring which many of them stated they would try to implement.

This combination of monitoring training with planning should be continued, where possible. For example, training workshops in the towns to prepare for monitoring O&M, financial control and management of the water system should lead participants to draw up their own plans (including; indicators, how to collect information, referrals, responsibilities for collection and action on the data).

In training, monitoring should also be combined with substantive aspects. The challenge is that many people lack basic tools about how to carry out their work -- and they lack basic concepts about water and sanitation. One can not monitor something one does not know. Thus, a monitoring-with planning and training workshop may be needed to prepare sanitation and hygiene activities.

## Indicative Workplan

The following draft workplan should serve as a basis for the DWD/NWSC to develop their own list of activities and schedule of work.

short name	description	dates
advocacy	Visits to the towns for advocacy and follow-up to Jinja workshop: prepare for implementation of the monitoring system, identify possible local indicators, find out what the participants to the workshop did with their plans upon their return.	Nov-Dec 97
flow-charts	Flow charts: DWD/ NWSC staff develop a simple pro-active 'warning system' through simple visualized flow charts.	Nov-Dec 97
limit indicators	Examine indicators and limit where needed. Compare with MIS. Identify overlap for upward transmission.	Nov-Dec 97
building on local resources	Reinstate meetings among field staff: Identify skilled people or groups who can serve as key resources in developing monitoring capacity and 'trouble shooting'.	Nov-Dec 97
capacity building Headquarters	Workshops and training's of central staff: developing monitoring packages, tools, combining monitoring on-going activities, TOT  Final linking MIS to community-based monitoring	Dec 97-continuing
training consultants and their field staff	Workshops/training of consultants: focus on technicians and (software) field staff, TOT planning, mobilization, sanitation and hygiene, construction.  Negotiate contracts with consultants: key indicators written into consultant contracts and used to monitor each project phase in the town  TOT workshop on post-construction, O&M, financial management in towns	Jan-Mar 98  Feb-Mar 98  May-Aug 98
baseline and mapping	Baseline: Retrieve and organize existing baseline data including community maps. If baselines do not exist, undertake them focusing on limited data that can be collected quickly.	Nov 97-continuing
	consultants and district staff training on post- construction monitoring, finance, repairs	Mar-Dec 98
district/town authorities training	Town administration and District or sub-county level: checking and referral for these selected indicators. Progressively taking over more responsibility for monitoring (and management).	Mar Dec 98
community training	Committees: finance, pricing, hygiene, sanitation, construction, post-construction Associations: as above but in greater depth, additional: contracting, UFW, technology of system, pricing and O&M, replacement (with clear policy)	Mar 98 -continuing
activating management through indicators	Follow-up project implementors (DWD/ NWSC): They check on progress toward or compliance with the key indicators for each phase during site visits and through consultant reports.	Mar 98 -continuing

### ***Linking to the MIS system***

A brief description of information which could be channeled and held in headquarters in the form of MIS data is given at the end of this report. This draws upon S. Stoveland's report, the Jinja workshop and DWD's current monitoring sheets. It assumes that periodical reporting will continue from the consultants.

# 1. Introduction

## 1.1 The Small Towns Project

The Small Towns Water and Sanitation Project focuses on eleven small communities and the peri-urban areas of Jinja-Njeru. It consists of: i) demand-based provision of water supply including piped services, wells and spring-fed systems; ii) environmental sanitation, iii) hygiene education iv) community participation in planning, implementation, operation and maintenance of facilities, and v) institutional strengthening and capacity building for the partners in the sector. The component of the project focusing on the greater Jinja-Njeru service area is being implemented by the National Water and Sewerage Corporation (NWSC). The Directorate of Water Development (DWD) is responsible for implementation in the 11 towns.

The approach taken in the project is innovative and thus no pre-planned blueprint is available or relevant. This is a learning project in which the clients or users of facilities as well as the town and district officials have a decisive role to play in planning and implementing and, above all, becoming owners of their basic services. The project is innovative in that it goes beyond physical implementation seeking to ensure that the benefits of water and sanitation facilities will be realised in the form of improved health and more robust economic development in the towns. It is a demand-oriented project which offers choices of technology. The approach is particularly appropriate in light of the national decentralisation policy which is currently being implemented in Uganda.

The innovative project approach requires new strategies to monitoring and the application of strategies which have usually been restricted to smaller-scale efforts. For this, the DWD and NWSC will emphasize data collection strategies which are closely connected to remedial action. Monitoring as conceptualised in this project is meant to improve and help develop project activities over the short term, to prevent or solve problems and to build on opportunities. It involves identifying and collecting the key information, analysing the meaning of this information and acting on it.

In participatory monitoring, the communities --- men, women, children, local committees, local government and special interest groups -- become leaders and planners of activities which often can be simply described as 'seeing', 'checking', 'measuring' and 'acting' on information 'if there is something wrong'. In this project, standard tools of participatory monitoring such as mapping and qualitative assessment are used, but unlike most past experience they are used on a large scale. This means that the monitoring agenda and activities must also be monitored. Vertical linkages must be planned with two-way information flow to municipal offices, district authorities and then to the headquarters of DWD and the NWSC. Elements of the monitoring activities can also readily be fed into an MIS system.

## 1.2 Current monitoring and related activities

Monitoring has largely focused on measuring physical inputs, quantifying activities and financial utilization. The DWD, in particular, has expressed interest in developing community-based monitoring with strong qualitative elements that will enhance programme development over the short-term. At the same time, the DWD has developed -- and the NWSC is planning to develop -- an MIS system while both organizations are embarking upon major HRD exercises. Institutional development strategies are being planned to support the new national policy for decentralization of major functions to the district and sub-district levels. Taken altogether, this presents a heavy agenda for the small number of staff in DWD/NWSC Headquarters. In light of this, it is suggested that the present proposed strategy -- which is indicative -- be reviewed, revised and implemented with deliberation before going to scale.

### **1.3 Methodology and rationale for participatory monitoring workshop**

A participatory workshop on community-based monitoring was held from 23 through 27 September 1997 to test the interest and ability of communities to develop an action-oriented monitoring system. The workshop brought together seventy-five representatives from user groups, water and sanitation committees, urban councils, the district, consultants and headquarters among others. It demonstrated that community members have a high level of interest in monitoring their projects and have a strong sense of ownership. With appropriate training and consistent follow-up after this workshop, the necessary skills can be developed for planning and managing monitoring activities in the towns.

It appeared during the workshop that some communities have a better foundation than others. Thus, it may be necessary to re-assess selection procedures for committees, the criteria under which consultants operate and to build in strong capacities at the headquarters levels for monitoring in general and management of the proposed system. The dedication of the two implementation agencies, the DWD and the NWSC to community-based monitoring is somewhat different. Senior staff of the NWSC, whose implementation of the programme is very recent, may benefit from special briefing activities as well as structured visits to some of the more advanced DWD sites.

The workshop also served another purpose. It was meant to launch community-based monitoring activities. Thus the participants prepared simple monitoring plans for selected indicators and dedicated themselves to implementing these plans. As rapid follow-up is essential so that the momentum of the workshop will not be lost, the DWD and NWSC staff have planned sets of structured visits to each community. Their plan should include assessing the actual implementation of monitoring within communities and progressively adding new key indicators appropriate to the phase of activities in each town.

## **2. Participatory monitoring: background information**

Community-based and participatory monitoring, as currently being developed in the water and sanitation sector represents the convergence of decades of experience in many disciplines. For example, it draws upon: agricultural development programming inspired, in part by FAO; earlier the Friarian work in Latin America; educational assessment practice in North America. More recently, it builds upon the work of PROWESS and figures prominently in recent publications and policies of the World Bank. Among the latter there is a complementary emphasis on demand-sensitive programming predicated on community participation and the initiation of formative project development ('learning projects').

These new approaches have, in large part been stimulated by disappointment with the results of traditional monitoring strategies as well as disappointment with outcomes of many sector projects. Water and sanitation programming over the past two decades which have too often been characterized by limited effectiveness, high cost and concentration on physical implementation of water facilities -- and lack of sustainability. Participatory monitoring is meant to ensure the quality and consistent application of water and sanitation activities. It is meant to improve the value of the investment as well as the impact of improved facilities. In this, the line between good management and good monitoring begins to disappear. Management (with managers at neighborhood, town, district and national levels) should incorporate monitoring as a consistent set of practices. Applying this to the water and sanitation sector, some of the basic principles are described in the following chart.

## SOME PRINCIPLES OF COMMUNITY-BASED MONITORING

Community management of monitoring activities. It is participatory.

- Planning for the use of monitoring information from the beginning. Ensuring that action to monitoring information can be taken at the lowest possible level.
- Building checks and balances through alternative flows of information, multiple collection of data which help ensure validity and quick response to monitoring information.
- Targeting and limiting collection of information, rather than trying to cover all possible topics.
- Combining quantitative and qualitative strategies.
- Simplifying procedures: Keeping data collection periods as short as feasible, and flows of information as short as possible.
- Borrowing techniques and methodologies from other disciplines (mapping, pocket charts, focus group discussions and so on).
- Capacity building: Planning for training or orientation of those who collect and may use data. Putting those individuals and groups with new skills in situations where they can apply these skills.
- Building in monitoring activities with on-going, often decentralised management rather than establishing separate monitoring units.

Participatory, community-based monitoring is being implemented -- or about to start -- in many nations at this moment. These include: the national programme as well as the Danida-support Volta project in Ghana, the communications-based national programme in Guinea Bissau, in Uttar Pradesh (India), in Indonesia, Togo, and in Bangladesh with the NGO-Forum, to name a few. At a certain moment, it may be useful to visit one of these programmes to learn from experience in other settings.

### 2.1 Best practices, opportunities in Uganda

Over the past decades some valuable experience has been developed in Uganda which should be built upon in monitoring. Some of these relate to specific project methodologies. For example, Many extension or field workers and communities are familiar with baseline surveys the results of which are fed back rapidly to village and town people to increase demand or motivation and to initiate planning. It is a short step from this point to using such surveys for planning of continuing monitoring activities and for before-and-after (longitudinal) evaluations.

A second and related example is the development or improvement of base maps with the community. These are used for site selection and designing water systems. With relatively little effort, the maps can serve as key documents for planning extensions, additional point sources, for charting latrine coverage and solid waste disposal activities. They can also be used to chart home-visits and mobilization meetings. Thus the maps (currently at 1:2500) can help the community groups monitor and plan their own work.

Some groups have already developed their own innovations. For example, very low-cost accounting and activity-monitoring tables using low-cost school booklets. Based on experience in an earlier project, this may be tried out in one town. It helps avoid the over-elaborate accounting systems that sometimes plague community-based programming. A simple plan for identifying and building on similar experience and local innovations is presented later in this report.

## 2.2 Challenges and stumbling blocks

There are some limitations to community-based and participatory monitoring, however. First, in large schemes which have complex designs, participatory approaches do not replace other forms of monitoring such as financial auditing or MIS activities. Rather, the various approaches are complementary. Secondly, the start-up period for community-based monitoring is longer and the initial investment is greater than with current approaches. Where more traditional approaches may start up with large-scale data collection exercises (often of limited utility), participatory approaches start up with consultation and joint planning, at first somewhat tentative, with trial and error. Once the momentum is built, however, the participatory approaches are far more robust and self-sustaining than other approaches.

In order to build an effective monitoring and management system it is, of course, necessary that the key partners have the same vision and subscribe to the same set of objectives. During field visits it became evident that some local groups were not aware or were barely aware of the sanitation and hygiene components of the project. Within the NWSC, which has only been working within the project for a short time, there is not yet uniform dedication to the concepts of community management and participation. To respond to both of these points, a simple paradigm was developed in two parts. It is as follows.

Sample calculations were made to illustrate this:

more water used	→	more profit
less water used	→	less profit
disconnection of water point	→	failure

This implies that use of more safe water within the household and institution makes economic sense. In addition, it offers a health advantage. Currently many households use far less than 20 litres per capita per day, an amount that is generally considered to be the level at which safe water offers a tangible health advantage (see S. Esrey in attached bibliography). Thus, creating a greater demand for and use of water from safe sources would be an element of the project.

What stimulates use of more water -- more litres per capita per day from safe water points?

Convenience	↔	good site selection
Pricing	↔	rational pricing based on information (low enough to stimulate use but high enough to ensure O&M)
Create demand	↔	hygiene education

All of these (convenience, pricing, demand creation) require involvement of the community and management by local groups. For this, community-based monitoring is needed. Even if O&M functions are to be sub-contracted by towns to private businesses, these contractors still need to be monitored which requires the development of new monitoring skills at the town level.

### 3. Proposed Strategy

The proposed strategy seeks to build monitoring activities into good management practices at many levels. Experience in the water and sanitation sector in using separate monitoring units which lack a mandate for execution and management, has not been satisfying. Monitoring systems require consistent attention over the long-term. They too often suffer from over planning at the beginning and under-implementation subsequently. This is particularly the case since the monitoring effort can compete with other priorities assigned to the limited number of staff in the two implementing agencies. One approach to this which is developed in this paper, is to build monitoring in as a tool for management and day-to-day supervision. Thus it tends to disappear as a separate activity which requires special effort and becomes part of the regular management task at many levels.

Based on the experience of the workshop, field visits and discussions with colleagues from the DWD, NWSC and UNDP/ World Bank Regional Group, an indicative plan for a monitoring system has been developed. This monitoring system must be characterised by simplicity, validity, and must be self-sustainable over the long term. It is important to emphasize again that the proposed monitoring strategy combines the standard functions of collection and analysis of information with action to improve project performance and effectiveness in the short term.

It involves a large number of actors at all levels. If it succeeds, as experience elsewhere has demonstrated it can significantly enhance the real value of the project investment while also enabling the project to achieve it's twin goals of health improvement and economic viability.

There are a few suggested pre-conditions required for implementing the proposed monitoring strategy.

#### **Some pre-conditions for community-based monitoring in the Small Towns Project**

- A large amount of human resource development actions should be undertaken. This involves, firstly, a significant amount of training. Secondly, to implement the proposed strategy field officers, currently attached to consultancy firms, need to remain in place for a period of two to three years. This would serve not only for implementation of a monitoring system but more importantly would strengthen the currently fragile community capacity for management and ownership of water and sanitation programmes. Thirdly, human resource needs should be reviewed and possibly additional management / monitoring staff inserted at the municipal and/ or district level. Training and HRD can present an over-head which must be provided in the projects. If the systems and facilities are to last and be used as intended, this over-head is essential.
- Consistent dedication from the two implementing agencies without which the monitoring system will not succeed.
- Sanitation activities and hygiene promotion should begin during the period between completion of the community contribution and construction of water supply. This is 'opportunity time' during which community motivation and enthusiasm can be sustained through sanitation and hygiene programming. Moving the sanitation and hygiene promotion forward in the project phasing has several advantages: it ensures that sanitation and hygiene will not be over-looked; it provides for meaningful activities during a time when the community wait often impatiently for water supply construction; it helps increase the demand for safe water from the new sources.

### 3.1 Description of proposed system

The proposed monitoring system is comprised of nine key elements. These components are explained in greater detail in the pages which follow.

#### ***Nine components in the proposed plan***

- 1. Communities (users, committees, associations, local government): In-build monitoring of selected indicators with checks and balances. This includes key indicators for each phase which appear in the consultant contracts, (component 5 below).***
- 2. Town councils and District or sub-county level: Checking and referral for these selected indicators. Progressively taking over more responsibility for monitoring (and management).***
- 3. Contractors: Their work is to be monitored by user groups, town/ district staff and consultants.***
- 4. Building on local resources: Identify skilled people who can serve as key resources in developing monitoring capacity and 'trouble shooting'.***
- 5. Consultants: Key indicators written into consultant contracts and used to monitor each project phase in the town.***
- 6. Project implementors (DWD/ NWSC): They check on progress toward or compliance with the key indicators for each phase during site visits and through consultant reports.***
- 7. Project implementors (DWD/ NWSC): Develop a simple pro-active 'warning system' through simple visualised flow charts.***
- 8. Project implementors (DWD/ NWSC): Spot checks based on agreed indicators.***
- 9. World Bank and UNDP/ World Bank Regional Group: Spot field visits and formal assessments, follow-up on selected aspects of the monitoring plan such as the finalization of a list of indicators, review of terms of consultants including key indicators.***

Each of these elements is described in the following paragraphs:

**1. Communities (users, Water and Sanitation Committees, Water User Associations, local government, special interest groups, NGOs): In-built monitoring of selected indicators with checks and balances. This includes key indicators for each phase which appear in the consultant contracts.**

Within the towns, the strategy consists of self-checking cycle of activities, each focused on one indicator or set of related sub-indicators.

The process begins with agreement about the indicator among the partners participating in the monitoring activity. The indicator implies a norm or behaviour to be achieved and ways of observing this achievement. Thus the monitoring activity consists of a set of steps:

- a) Identifying and agreeing on key concerns and indicators and ways of 'checking' (monitoring) them.
- b) Observing, checking, collecting only the most pertinent information related to that indicator.
- c) Analysing the information (for example, comparing the meter reading with the amount of money collected at the standpost) or intuitively (for example, the water has a strong taste).
- d) Carrying out or arranging for action on information which indicates that follow-up is needed.
- e) If the expected action does not take place, referring the information to other parties until the information is acted upon. For example, the users may refer complaints to their WSC, to the association, to the consultant, to the district/town clerk or engineer and, eventually, to Headquarters/Kampala.
- f) Applying checks and balances ('triangulation') as needed to ensure that the data is valid and reliable. This may mean more than one group collecting information (for example, construction would be monitored by the client/users, by district/municipal engineers, and by the consultant).

To implement the monitoring in the programme, the first activity could be town-based workshops. The participatory workshop provided a test and an example of how this strategy can be implemented. At the town level, where partners are focusing on the same system (unlike the workshop) would require less time than the Jinja workshop. However, several follow-up visits would be needed to orient or check various groups involved in a specific monitoring activity. Much of this could be carried out by the consultants and checked by DWD/NWSC.

The initial planning-and-training workshops serve several purposes. First they initiate relevant monitoring activities with ownership of various indicators at the town level. Secondly, in the process of planning, the roles of the various parties (users, committees, association, town administration and council) are clarified. Thirdly, they serve to educate the local leaders about basic financial, water use, sanitation and hygiene issues. Fourthly, the training activities are meant to demystify monitoring, reinforcing the point that good monitoring is a set of behaviours that we all have, but that are made more systematic through group organization. This last point relates immediately to the 'learning culture' concept. It is interesting to note that these town-based workshops were a strong, but unsolicited request from participants attending the Jinja programme in September 1997. The town-based workshops could be organized by DWD/NWSC staff and/or consultants for which both groups would need training.

Preferably, such training and planning activities are needed, in somewhat different forms, at four points: during mobilization, for sanitation/hygiene activities that begin after mobilization, in a different form just before construction and at the beginning of the post-construction phase.

**2. Town councils and District or sub-county level: checking and referral for selected indicators.**

This section refers, in the first place, to town officials such as the town clerk, town engineer and personnel responsible for health and community development. In some towns and all small agglomerations such as trading centres, these personnel are not in place. In such cases the personnel to be activated are the district (or sub-county) CAO, the district health, engineering and community development staff.

As is intended in national policy for decentralization, the district (and town level) personnel will take on increasingly important roles in water and sanitation programmes. This monitoring strategy assumes that there will be a gradual shift in responsibility and authority from Kampala to the districts/towns. Initially personnel at these levels are involved in discrete monitoring activities (such as checking construction quality). Gradually, they would take over functions which are given in the pages below to the Headquarters levels.

Discussions during the participatory workshop revealed that the current responsibilities of these officers in the project and in monitoring needs to be clarified. For example, the community development officer rather than the district engineer might be the logical person to deal with public relations activities during community mobilization. More specifically, where these officers exist and are competent, their responsibilities could be divided as follows:

PERSONNEL	MANDATE FOR MONITORING
Town clerk/CAO	tenders, referrals of complaints, spot accounting checks
Health officers	sanitation, solid waste disposal, hygiene promotion
Engineering officers	construction, technology choice, O&M
Community development officers	mobilisation, user satisfaction, functioning of committees and associations

**3. Contractors: monitoring of implementation by user groups, town/ district staff and consultants.**

There were several comments about quality of construction and repairs during the participatory workshop. Monitoring for construction quality is, however, one of the better-known aspects of community-based programmes in various nations. Relevant indicators suggested for this are:

Construction: User / WSC members	Selected User / WSC members are trained and check simple construction features, such as number of bags of cement used, curing of concrete, water point located according to agreed site selection.
Construction: Town, sub-county and district authorities	Engineering and selected administrative staff and check for key construction features. For example, check borehole casing and backfill, correct protection of the eye, pumps according to specification, pipe location, diameter and quality.
Construction: Consultant	Oriented and checks all work according to specifications.
DWD	checks and approves

#### **4. Building on local resources: Identifying skilled people who can serve as key resources in developing monitoring capacity and 'trouble shooting'.**

The project is meant to learn from its own experience. For this, plans should be activated to enable the dispersed towns, the consultant agencies and the two implementing agencies to benefit from each other's experience. At the monitoring workshop, for example, it was noticed that one mobilizer group has developed an innovative way of dividing the initial payments among various clientele in a border town. Another town has decades of experience in O&M and managing a small piped water supply scheme. This experience could be useful to other towns.

To stimulate partners to learn from each other's experience, adapting strategies -- including those for monitoring -- it is recommended that the following steps be taken:

- The periodic meetings among field staff of the various consultants should be re-instituted as soon as possible. A major item on the agenda should be identifying at each meeting resource groups and individuals who have experience in one or another aspect of project development, including monitoring. These groups and individuals, together with contact addresses should be shared at the meeting and also provided to the DWD/NWSC for their newsletter or for a circular. The DWD/NWSC should add other names and addresses, indicating in each case, the specific activity which that person or group can demonstrate or help with. As project personnel and partners are quite fluid at this stage, the list should be frequently updated. The people on these lists could be contacted for information; they could lead some training sessions; their towns could be visited.
- Study visits should be organized from towns which are starting a new phase to towns where the phase has been completed successfully. During these visits, contact should be arranged with the consultant, relevant town administration personnel, the association, selected WSC and WUG. Visitors should be encouraged to ask questions and take note of key points. The visits could end with a planning session by the visitors where they identify what useful lessons have been learned and how to plan similar activities in their own setting.

#### **5. Consultants: Key indicators should be written into consultant contracts to ensure monitoring and to set standards for completion of each phase.**

Managing consultants is an art in itself. It requires standardized but simple reporting procedures, field visits, clear contractual arrangements. At present, several of the consultants in the towns are in a position to be brought on-board a community-based monitoring system. Some, for example in Wobulenzi, have apparently taken steps on their own to ensure monitoring. Their experience may be valuable to others.

By consultants we are referring to two types of professionals:

- Technical staff, usually engineers who are largely concerned with implementation of water facilities.
- Field staff who are responsible for social mobilisation, capacity building of committees and associations, providing financial training to ensure suitable financial procedures are followed and follow up to maintain user satisfaction related to water sanitation and hygiene.

It is recommended that the contracts of consultants be negotiated (or renegotiated) including the following elements:

- Presence of extension staff (at least 1:10,000 or 1:20,000) on a continuous basis for a 2 to 3 year period, responsible for setting up community-based monitoring as well as the usual soft-ware activities (mobilization for water, for sanitation and hygiene promotion, post-construction O&M and appropriate use of facilities).

- Organizing and training committees and probably voluntary mobilizers and relevant NGOs (for monitoring, water, sanitation and hygiene promotion). They should be provided with 'thank you' gratuities.
- Indicative key indicators against which the progress of the project will be judged. In some cases such indicators may need to be slightly refined with a view to local conditions and opportunities that arise. These key indicators, by phase, should be included in the terms of reference of consultants.
- Responsibility for training and capacity building of committees and associations. The capacity building should lead to good management and sustained water services, including participatory monitoring of key indicators as described in this paper. Consultant agencies should not just collect information and assert that 'all is well' in their reports.

The elements shown above should be included in the briefing programmes provided for consultants (and their staff). Field staff who work for the consultants require special training. Engineers may need special orientation (half-day) to the monitoring system.

**6. Project implementors (DWD/ NWSC): checking on the key indicators for each project phase and planning remedial action with partners. Evidence of compliance or achievement of indicators should be seen before the consultant starts working on a new project phase.**

The town and contractor would not receive the next tranche of money until a phase has been completed. This means that there should be information about progress toward indicators in the consultant's report. This should also be checked by site visits from Headquarters. There should be observable evidence during a site-visit, including spot visits to client households, not only with association or committee members. If progress in achieving the indicators noted in the contract does not seem satisfactory, then start-up of a new phase should be delayed.

This approach, it should be noted, requires a minimum of one visit from a headquarters staff member per phase. At the moment it is questionable whether the DWD, or its immediate partners, are in a position to carry this out in full without some supplemental staff (or district/regional-based staff). However, the system, which has been used in one form or another in various projects, can be quite effective.

**7. Project implementors (DWD/ NWSC): developing a simple pro-active 'warning system' through simple visualised flow charts.**

In view of the large number of towns with which the project works, it is suggested that the implementors and particularly the DWD could use a simple visualized flow-chart management and warning system. This type of chart could be posted for all staff to see:

Name of town or scheme	Phases of project implementation				
	start-up	mob	plan	construction.....	
scheme/town A			v		
scheme/town B				v	
C		***			
D					

The symbol \*\*\* indicates that problems have been encountered, for example in starting up the mobilisation, making contact with the clientele. This would mean that a visit is required from a relevant partner to help. In some cases the response from Headquarters may need to be establishing a new policy or altering the project plan. For example, at this time, a different mobilisation and payment strategy may be needed for towns with large transient and house-rental populations. The v in the chart above indicates that the completion of that phase must be **verified** by a visit.

**8. Project implementors and partners (DWD/ NWSC, district/sub-county): spot checks based on agreed indicators.**

Reading consultant reports is not sufficient to determine if satisfactory progress is really being made in a town. To determine if a project phase has been successfully completed, a field visit should be made by a member of the DWD/NWSC staff or their carefully trained designees. During this visit field evidence should be found giving some proof that the indicators for that phase have been satisfactorily put in place. In many cases it may be necessary to walk through part of an area, asking a few questions of prospective users -- questions which are related to the indicators. See the indicative indicator list paper. During this visit a spot check should also be made of finances and accounting at the committee level.

However, the visits are not meant to be merely 'policing' activities. In this type of programme, perfection remains an ideal, not usually a reality. Thus when problems or issues requiring action are found, possible solutions and brainstorming with the consultants and partners should be done on-the-spot. Decisions should be noted and follow-up during the next visit.

**9. World Bank and UNDP/ World Bank Regional Group : Spot field visits and formal assessments, follow-up on selected aspects of the monitoring plan such as the finalization of a list of indicators, review of terms of consultants including key indicators.**

The World Bank Task team and Regional Group staff also have an important role to play in following-up. It is recommended that this be done through spot field visits and formal assessments, follow-up on selected aspects of the monitoring plan such as the finalization of a list of indicators and review of terms of consultants including key indicators. The field visits, which should include at least one contact with clientele/users, are important for these types of projects which are based, in large part, on the efforts of partners in decentralized locations and the demands and satisfaction of users. Some visits may demonstrate the need to re-orient certain budget lines or may indicate the need for further assessment/evaluation.

### **3.2 Partners and their responsibilities**

The proposed monitoring system assumes that information or data should be collected by groups which have a vested interest in reporting validly or in acting on the information rapidly. For example, the user and WSC are more interested in reporting a leak which is not repaired than a mechanic/plumber. The health worker and field staff are more interested in identifying households which do not have latrines than are the householders themselves. The system attempts to build on this principle: ask the group which has a vested interest in monitoring the indicator validly.

The proposed system involves many groups. One group, for example, could check or monitor for an indicator while another group serves as a referral point if action is not taken on the information as was expected. The following is a list of groups which could be included in a monitoring plan. About 80% of them do, in fact appear in the tables which appear later in the report.

<i>Within project</i>	<i>Intermediary</i>	<i>Headquarters/lender</i>
<b>Users households, WUGs</b>	<b>Banks</b>	<b>Area NWSC office</b>
<b>Women</b>		<b>DWD M&amp;E</b>
<b>Men</b>	<b>Town Administration</b>	<b>DWD Engineering</b>
<b>children</b>	<b>Town Clerk</b>	<b>NWSC Engineering</b>
<b>store owners, institutional users</b>	<b>Schools</b>	<b>NWSC Community Development</b>
<b>Caretakers/water point attendants<sup>1</sup></b>	<b>District / Sub-county : CAO</b>	<b>World Bank and UNDP / World Bank Regional Group</b>
<b>Skilled community members:</b>	<b>Town Engineer/ Water Officer</b>	
<b>mechanics / plumber</b>		
<b>masons</b>		
<b>carpenter</b>		
<b>midwife, TBA</b>		
<b>traditional medical people</b>		
<b>WS committee members (DWD) and WUG leaders (NWSC)<sup>2</sup></b>	<b>Town Community Development Officer</b>	
<b>Chief and other local leaders</b>	<b>Town Health Officer</b>	
<b>Local NGOs, women's groups etc.</b>	<b>Consultants</b>	
<b>Mobilizers (voluntary)</b>	<b>Engineering / technical and extension personnel</b>	
<b>Water user associations (WUA)</b>	<b>Contractors</b>	

#### 4. Key issues and indicators

Based on the monitoring workshop output, field visits and discussions with the implementing agency staffs and representative of the UNDP/World Bank Regional Group, an indicator set of issues and indicators have been developed. These are organized by phase for water. For hygiene and sanitation they are grouped together as is explained subsequently.

In view of the short duration of this mission this must be seen as an indicative list. A selection should be made. Indicators will need to be refined. The towns should develop a few key indicators for their current and the next phases. A minimum number of key indicators should be given for each phase to the consultants, preferably after some joint consultation. It is very important that the indicators be tailored and developed in the local context as needed. In order to stimulate this, the indicative indicator list given here does not distinguish among the various forms of water supply (piped, gravity-fed and wells).

The list, when finalized, is meant to be developed in several ways:

<sup>1</sup> The salary of caretakers drives up the cost of water considerably, particularly for water points with fewer user families. Some towns may wish to experiment with water points that do not have caretakers. This would be most relevant for WUGs with homogeneous, non-transient populations.

<sup>2</sup> There is an apparent tendency for committee chairman and treasurers to take control of all committee functions this can have negative consequences for many aspects of the programme. To deal with this, it is recommended that all committee decisions be made unanimously and that responsibility for monitoring be spread among s all committee members.

The WS committee of the DWD focuses on one water point. This water point leadership has not yet been formally organised by the NWSC.

- At the beginning of each phase in a town, the indicators should be refined and adapted to suit local circumstances. To provide examples of what may need to be adapted, question marks '?' appear at several points in the list below. It is neither necessary nor desirable to try to enforce a uniform set of criteria throughout the project area as long as the intent of the key indicators remain intact. For example, if the principle is that users should know about the rules of project operation and initiation, then they should be able to explain key principles -- but perhaps not one woman and one man in each household and perhaps not 3 rules as is noted below. It could be that 2 bits of information will be sufficient. On the other hand, in some towns the users/clientele may be informed about certain health and hygiene aspects very early in the project cycle. Such information would therefore be added to the indicator criteria.
- Selected key indicators should appear in the terms of reference of the consultant **and** should enable the project to proceed to the next phase in that town. Thus the key indicators should be known and agreed to by town leaders (perhaps in the form of project rules or principles of operation). In this sense, the key indicators can be used to pace project development, ensuring that all key activities are completed in one phase before proceeding to the next. In reality, this approach is merely good management in somewhat more formal clothing.
- Key indicators should be known to the town and district personnel who will be involved in monitoring or managing certain aspects such as the quality of construction or the sanitation activities.
- Certain indicators should be negotiated with users/clientele. They may also be subject of education and mobilisation efforts. Example of these are: timely payment (what is the amount and periodicity of payment); amount of water used for personal hygiene and domestic purposes, needed to ensure a health impact (20lpcd). Users must also know where they can refer complaints and how in the event that there is something wrong, the indicator is not being acted on appropriately (such as financial mismanagement). This is dealt with in a subsequent section.

In the following table provides a menu of indicators. The first column shows the phase to which that indicator applies. In the second column, the issue is described as the 'short name' of the indicator. The word **menu** is used purposely. It is meant to underscore that this is an indicative list which should be reworked by the implementing agencies requiring some discussion with partner groups.

The '**referral**' column is very important in these tables. It indicates to whom information should be given if the expected reaction does not occur. For example, if the mechanic can not make a repair because parts are not available, there should be another known point to find out about availability of spares. The referral groups should be known. The users/clientele should know where they can go with legitimate questions and complaints. It is, for example, very important for the public to know who they can speak with if they have questions about the financial operation of their committee. The referral points should be clearly told to the public through the consultants and the DWD/NWSC.

## Committees and Associations

An issue which attracts considerable attention is the functioning of the committees and associations. This applies to all phases of the project and should be a constant point of attention. Note that this list also includes an indicator about when a committee (or members thereof) can be suspended.

Phases	Short name	Indicator	who checks	tool to check	expected action	referral if no action
All Phases	Committees and Associations function	<ul style="list-style-type: none"> <li>minutes show that committee meets monthly or quarterly with quorum ; motivators, extension staff have access to meetings</li> <li>public meeting once in 3 (?) months</li> <li>all decisions made in meetings are recorded and more than half are carried out</li> </ul> <p>accounts and financial transactions follow agreed rules shown on checklist and in training</p>	consultant field staff, District CD/town administration	<p>receives minutes. attends meetings and works closely with committees and association</p> <p>spot checks of deposits in bank accounts. complaints from clients.. independent accountant check</p>	<p>consultant report clearly deals with actions</p> <p>financial irregularities must be dealt with at once, e.g., change association.</p>	district administration DWD/NWSC
	<sup>3</sup>	<ul style="list-style-type: none"> <li>has an active work plan (for sanitation, refuse disposal, drainage, etc.)</li> <li>carries out health education among users</li> <li>cleanliness at water points follows agreed checklist</li> <li>Association reports to Town Administration and has working referral to other authorities for issues the committee can not solve</li> <li>makes all major repairs within 2 weeks (?)</li> <li>Any Association or committee which does not meet for 3 months, does not make a major repair within 1 month or for which financial irregularities can be found will be disbanded. Any member who does not attend 3 meetings in a row can be dropped and another will be chosen. This guideline will be known to all members of committees and associations.</li> </ul>	<p>District/town health staff, consultant</p> <p>District CD, CAO, town clerk</p> <p>town administration</p> <p>town/district administration, consultant</p>	<p>review plan. observe.</p> <p>minutes of association given to town administration. spot check</p> <p>observe</p> <p>check minutes, ask</p>	<p>revise plans with consultant.</p> <p>repair made</p>	<p>District administration DWD/NWSC.</p> <p>DWD/NWSC</p> <p>DWD/NWSC</p>
	Sustained committee	<ul style="list-style-type: none"> <li>Group carries out own decisions, has undertaken activities in addition to planned activities (improving existing practice, starting new initiatives)</li> </ul>				
	Referral	<ul style="list-style-type: none"> <li>Users know clearly where and how to refer complaints about committee/associations functioning (to consultants, local government, DWD/NWSC).</li> </ul>	DWD/NWSC district CD, town administration	inform/ask clients, consultant reports	DWD/NWSC asks consultant to call user meetings	

<sup>3</sup> Sub-indicators shown here apply to several phases of the project.

## Mobilisation

A current indicator for mobilisation is the number of meetings held with potential users. This is not a particularly good indicator. In some towns only a small proportion of the population attends such meetings. In some cases, meetings have been replaced or supplemented by home visits.

<i>Phases</i>	<i>Short name</i>	<i>Indicator</i>	<i>who checks</i>	<i>tool to check</i>	<i>expected action</i>	<i>referral if no action</i>
<b>Mobilization</b>	personnel in place	Full-time field staff and voluntary mobilizers (given 'thank-you' only) trained and in place. Field workers remain for period of 2 to 3 years with community, to ensure good O&M.	Association, DWD/NWSC	written in contract with consultant. consultant reports & spot check on-site.	people hired	
	contact	At least 1 man and 1 woman in each household will know 3 (?) rules of participation and/or water use.	WB and UNDP/WB RG consultant, mobilizer district, DWD/NWSC	spot check contracts ask in town at households, consultant report of meetings and home visits, spot check during field visit	carry out more activities or revise strategy	DWD/NWSC to defer consultant payment
	payment determined	DWD/NWSC determines the amount of money which communities should contribute on basis of fixed rule or average amount of estimated O&M costs for that system in one year.	UNDP/WB RG DWD/NWSC monitoring staff	check written estimates available for each town	set deadlines for estimates with consultants	
	Initial payment completed	Payment is deposited in bank account with agreed signatories.	DWD/NWSC and/or district administration	check accounts and compare with written agreements. Written policy of DWD/NWSC about cash and kind payments by technology option. spot asking a few households.	construction not to take place.	
	committees formed	Committees are formed by election after voters are given clear guidelines such as (?): number of women, skills needed on committee, someone respected for having clean, though not necessarily rich, house. both are not (?) on committee or are ex-officio members.	WB and UNDP/WB RG consultant team leader, District/town CD DWD/NWSC	spot visits of selected towns ask field workers what are guidelines ask a few clients how committees formed. check consultant report	could have re-election	town/district authorities
	Referral	Each group monitoring construction knows to whom and how to refer complaints, and procedures for corrective action and contract termination are in place and known.	as above	as above. ask to whom questions/complaints can be referred	redo group meetings	

There have been complaints, including some heard during the present short set of field visits, about the financial management practices of committees and associations. Experience has shown that poor financial management usually leads to water systems which fall apart and fail to provide the intended service. Special attention is therefore needed to indicators such as the following which, as has been mentioned, should be adapted but then known and 'owned' by all relevant parties. The same holds for site selection. There have been complaints that some water points are located near the houses of committee members when land release was possible at better locations from the point of view of the users.

The pricing of water is currently being done largely on the basis of 'what the market will bare'. Our calculations and spot checks of current users of piped systems have shown that poorer households reduce the amount of water taken when the price becomes too expensive. When this happens, the real income from the water point may actually be lower than would be the case if a smaller amount were charged for each jerrican. This happens because the fixed fee of the standpost attendant (which is a relatively high burden of payment) is then charged over fewer users. Water charges mount up over time. If a family of 7 people used one 20-litre jerrican per person per day paying 25 shillings a jerrican, they would pay the equivalent of roughly US\$63 per year. This issue is addressed in the indicator list below.

<i>Phases</i>	<i>Short name</i>	<i>Indicator</i>	<i>who checks</i>	<i>tool to check</i>	<i>expected action</i>	<i>referral if no action</i>
<b>Planning phase</b>	<b>Financial Management</b>	<ul style="list-style-type: none"> <li>Local records available to show that DWD/NWSC or consultant have calculated overheads/running costs with Association or town administration and annual charges per water point, including provision for cross-subsidy from yardtaps and household connections.</li> <li>Committee, given the overhead charged by the Association, is taught and can explain how to calculate charges for one jerrican with a view to sustainability of the system while enabling poor people to afford 1 jerrican per person for each day</li> <li>Committees and Associations (together with local government) are trained in how to manage their system financially, including checks and balances for which there will be spot accountant checks.</li> </ul>	District CD, DWD/NWSC  WB and UNDP/WB RG  Users  District CD, DWD/NWSC  WB and UNDP/WB RG  head consultant team, Association, District CD, DWD/NWSC	consultant reports, on-site observation  spot checks  users receive explanation from WSC  consultant reports, on-site spot checks  spot checks  checklist used to check local records. asking and WSC members can all explain	rationale charges to WSCs, DWD/NWSC & consultant to act quickly problem  rational pricing, general meeting all WSCs if pricing seems too high or too low good financial management. change WSC for irregularities	Association, consultant

<i>Phases</i>	<i>Short name</i>	<i>Indicator</i>	<i>who checks</i>	<i>tool to check</i>	<i>expected action</i>	<i>referral if no action</i>
	Site selection and mapping	<ul style="list-style-type: none"> <li>standposts are located within 200 (?) 500 meters from users, each standpost serving a maximum of 200 (?) population and minimum of 100 (?) people.</li> <li>women users involved in site selection by mobilising them to attend meetings OR at least 20 women users from different households were asked about site and indicated with signature or handprint) their agreement to position of standpost</li> <li>land agreements or purchase are made legally and binding, signed and witnessed by town clerk before construction can take place</li> </ul>	women, users, WSC  Town CD DWD/NWSC	a) maps with houses, existing water points, new sites, etc. b) walking and deciding in place with clients  spot checks	agreed place, change location,  location map copied to DWD/NWSC. Original map kept locally for planning sanitation, etc.	consultant, DWD/NWSC
	Referral known	<ul style="list-style-type: none"> <li>Before construction, proposed sites of water points will be posted locally in public places to allow for complaints to be referred to the consultants, local government and DWD/NWSC.</li> </ul>	consultant, landlord association  users/clientele	legal agreement  lists	agreement held by town clerk & owner  complaints made publicly and dealt with clearly	town clerk, CAO, DWD/NWSC  consultant, WSC, town administration

## Construction

Some workshop participants were not aware that they and selected users could play significant roles in monitoring the quality and timeliness of construction. There is considerable experience in this type of monitoring in other nations.

<i>Phases</i>	<i>Short name</i>	<i>Indicator</i>	<i>who checks</i>	<i>tool to check</i>	<i>expected action</i>	<i>referral if no action</i>
<b>Constructi on</b>	Construction: User / WSC members	Selected staff and users / WSC members are trained and check simple construction features, such as number of bags of cement used, curing of concrete, water point located according to agreed site selection.	selected users/WSC members during construction	checklist with observation during construction	problems reported immediately to consultant. construction improved	association, town authorities and from them to DWD/NWSC
	Construction: Town, sub- county and district authorities	Engineering and selected administrative staff and check for key construction features. For example, check borehole casing and backfill, correct protection of the eye, pumps according to specification, pipe location, diameter and quality.	town eng., sub- county and district engineers	checklist with observation during construction	as above. some re-construction may be needed	as above. blacklisting deficient contractors
	Construction: Consultant	Oriented and checks all work according to specifications.	consultant,	specifications, contracts for construction. spot visits	construction halted if deficiencies found	DWD/NWSC
	Construction: DWD/NWSC, World Bank	- construction will take place not longer than 6 months after site selection and consumer payment is completed., if there are no technical problems	DWD/NWSC users/clients/WS C, town authorities	spot checks observe	simplify financial decision-making in HQ and with WB	explain carefully to clients/WSC, Association and authorities in towns
	Referral	Each group monitoring construction knows to whom and how to refer complaints, and procedures for corrective action and contract termination are in place and known.	consultant field worker	checklist for monitoring construction, consultant report, spot check to ask a few WSCs	delay construction until monitoring tools in place	

## Sanitation and Hygiene

It was very difficult to identify useful key indicators for sanitation and hygiene promotion insofar as the programme plans are not yet prepared and there has been little or no field experience with these project components. For this reason, a set of basic indicators has been prepared without reference to project phases. As has been mentioned, however, it is recommended that sanitation and hygiene promotion begin during the opportunity time between payment of the initial water contribution and construction of water facilities... a period when enthusiasm can fail but the potential for action is in place.

Phases	Short name	Indicator	who checks	tool to check	expected action	referral if no action
Sanitation and Hygiene <sup>4</sup>	Solid waste	<ul style="list-style-type: none"> <li>Plan will be developed and progressively implemented to reduce or eliminate solid waste hazards (mapping is used, include number of days between disposal periods)</li> </ul>	town/district health & CD staff	check existence of plan  observe changes in map  spot on-site checks of cleanliness	revise plan	
	Use of water	<ul style="list-style-type: none"> <li>Cleanliness around standpost according to an agreed checklist.</li> </ul>	WSC, users	WSC and attendant ave. same checklist and use it	meet with users, possibly appoint new attendant	association
	jerricans	<ul style="list-style-type: none"> <li>Cleanliness of jerrican (requires further assessment. Possibly to be done through organisation of water collection at standpost)</li> </ul>	attendant, WSC	observe. ask a child	discuss at WUG meeting, including the reasons	
	quantity used	<ul style="list-style-type: none"> <li>All family members will drink water from a safe source.</li> </ul> <p>Water used for each person for each day will increase to 20(?) litres per person per day within 2 years</p>	field worker, health mob.  mother at home mobilizer or WSC	spot observations or ask a child  ask a child (spot check only)	check reasons such as not knowing, pricing water	
			WSC, attendant, field worker	- increase in amount water sold - ask how much water taken day before	more hygiene promotion	

<sup>4</sup> These indicators are grouped together as they do not strictly follow the pattern or phases described for water facilities.

<i>Phases</i>	<i>Short name</i>	<i>Indicator</i>	<i>who checks</i>	<i>tool to check</i>	<i>expected action</i>	<i>referral if no action</i>
	handwashing	<ul style="list-style-type: none"> <li>• promotion of handwashing and organization of household to enable easy but effective handwashing after defecation and/or before eating (e.g., water, soap/ash, bowl in one place)</li> </ul>	field worker, WSC, possibly NGOs or local interest groups such as women's groups	ask a child to demonstrate how to wash hand correctly -observe organisation in household	hygiene promotion, discuss	
	Sanitation	<ul style="list-style-type: none"> <li>• field staff, the committees, local government and users will undertake sanitation and hygiene promotion activities beginning after the initial water contribution has been paid and before construction of water facilities.</li> <li>• MOH together with DWD/NWSC and local groups will prepare and implement a plan for on-site sanitation which based on criteria such as: <ul style="list-style-type: none"> <li>• technology choice for different socio-economic groups</li> <li>• innovative planning for transient populations</li> <li>• cost control possibly through construction of demonstration facilities</li> <li>• local outlets for parts</li> <li>• Cleanly use and maintenance as defined by a checklist.</li> </ul> </li> </ul>	consultant, district or DWD/NWSC  DWD/NWSC  WB & UNDP/WB RG	reports of consultants, check if there is a plan by WSCs, ask a household  plan available	plan to be developed and improved with experience. quality and use of latrines is important.	DWD/NWSC - policy is needed

## Post-construction phase

The O&M phase, as it is called in the project document has been renamed **post-construction**. This highlights the point that more than managing the water system is involved. Some of the indicators from sanitation and hygiene will probably also be inserted here after construction (for example, quantity of water used, use of latrines). This list will grow as the first towns enter the post-construction phase. Note that these indicators are also premised on the important principle that both implementing agencies will continue to provide management, training and monitoring inputs for a period of at least a year, then preferably decreasing in the second year after construction. Experience from other countries has shown that without this post-construction support, locally managed facilities can fail.

The NWSC reported that it may suggest that large towns subcontract this phase to contractors. It should be noted that there are several types of contracts and these must be known and debated locally. For example, direct collection from households using public water points is usually not economically feasible for contractors. Furthermore, experience has shown that contractors can abuse systems, reduce levels of service to the poor. Perhaps a contract which links profit to volume of water sold/produced could stimulate that contractor to increase the quantity used at the water point.

Phases	Short name	Indicator	who checks	tool to check	expected action	referral if no action
Post-Construct ion <sup>5</sup>	Finance: at water point	<ul style="list-style-type: none"> <li>caretaker gives funds each day to WUG treasurer (?)</li> </ul>	WSC treasurer	compare amount of money with meter reading. where no meter, WSC member should collect for a day to get estimated amount.	attendant can be changed	spot audit
		Association field worker, users				
		<ul style="list-style-type: none"> <li>WSC treasurer for that standpost deposits funds in bank once a week(?)</li> <li>Spot check of WUG reveals that some households can tell roughly how much is in bank account.</li> </ul>	Association, field worker	check weekly meter readings with bank deposit. amount in account.	WSC can be changed if problems	association, consultant
<ul style="list-style-type: none"> <li>Water points and household/yard connections and institutional will be billed and pay no longer than each 2 (?) months, or risk being disconnected. Reconnection when arrears are paid with small penalty. Efficiency of system to</li> </ul>	association district/town authorities	billing vouchers, balance sheets checked against bulk meter reading and number connections, disconnection's	immediate action needed	DWD/NWSC		

<sup>5</sup> This phase is called operation and maintenance in the implementation manual. However post construction is used as it encompasses a broader range of issues such as hygiene behaviours and solid waste disposal.

<i>Phases</i>	<i>Short name</i>	<i>Indicator</i>	<i>who checks</i>	<i>tool to check</i>	<i>expected action</i>	<i>referral if no action</i>
		<p>be judged in part by proportion of disconnection's (always less than 10%) and proportion of payment (always more than 75%).</p> <ul style="list-style-type: none"> <li>• UFW (difference between bulk meter reading and quantity judged by payment) to be less than 25% (?).</li> <li>• Private and yard tap charges per cubic meter will not be lower than public water point charges.</li> <li>• During first 2 (?) years of operation, consultant will conduct spot accounting/audit checks at standposts and association accounts.</li> <li>• No unresolved community complaints about bright colour, strong taste, strong smell of water.</li> <li>• Hygiene promotion includes hygiene surveillance activity.</li> <li>• Chemical and bacterial quality of water will be tested.</li> </ul>	DWD/NWSC	spot checks-- nonformal and audit checks	immediate action needed	
			as above	as above	as above	as above
	Quality		user WSC	observe	action needed soonest, or explanation of way not	health staff, Association, DWD
			DWD/NWSC	consultant report describes surveillance, visit with field worker	training, visit with other	
			association, DWD/NWSC	reports of problems forwarded		
	Functioning	<ul style="list-style-type: none"> <li>• The water point will be working and open at least during 6 to 8 AM and 4 to 6 PM., but longer is preferred.</li> <li>• Association has accurate information about number of functioning water points checked on basis of periodic rapid survey (more than 75%).</li> <li>• To ensure public health, the DWD/NWSC will intervene in water systems where functioning</li> </ul>	to be done by	project		

<i>Phases</i>	<i>Short name</i>	<i>Indicator</i>	<i>who checks</i>	<i>tool to check</i>	<i>expected action</i>	<i>referral if no action</i>
	Repairs	<p>public water points fall below 50% (?) based on annual rapid assessment.</p> <ul style="list-style-type: none"> <li>• Small repairs are made in less than 2 (?) days. Small repairs include: repair of apron, platform, plastering cracks, chains/washers/nuts, shaky standpipes, faucets, unions, meters &amp; bends). Includes regular maintenance. Caretaker to be changed if small repairs left unattended.</li> <li>• Major repairs are always made in less than 7 (?) days . Major repairs include: restructuring wells or springs, pump houses, standposts, sources repairs, mains (burst pipes, blocked mains, valves &amp; pipe fittings, bulk meters.</li> <li>• - all caretakers have basic tools (identify basic tools needed) and can demonstrate how to use them</li> <li>• - No more than 1 (?) in 10 meters will be broken at any given time.</li> </ul>				
	Spares and procurement	<ul style="list-style-type: none"> <li>• Consultant and/or DWD/NWSC will have written plan which is implemented to ensure availability of spares (locally for commonly used spares and centrally for major parts) within 8 (?) months of commissioning.</li> </ul>				
	Referral known	<ul style="list-style-type: none"> <li>• spot visits show that WUG members can explain where and how to refer complaints about management, functioning.</li> </ul>				

## Management of monitoring

A few indicators which may be useful in tracking the monitoring process are noted below.

<i>Phases</i>	<i>Short name</i>	<i>Indicator</i>	<i>who checks</i>	<i>tool to check</i>	<i>expected action</i>	<i>referral if no action</i>
<b>Management of Monitoring</b>	Indicators identified	Key indicators will be adapted locally, written in contracts with consultants, associations and their sub-contractors, known to committees.	DWD/NWSC WB and UNDP/WB RG	contract	This is central to the monitoring system	
	HRD in place	Minimum needed staff in place: - continuity in field presence through field staff at town level for 2 to 3 years - core group DWD/NWSC personnel of sufficient numbers (?) to visit towns at regular intervals, capable of combining management, training and monitoring inputs - training plan to be completed by December				
	training	Associations of large communities which hire contractor will be trained in preparation of contracts and supervision of contractor. Provision will be made for refresher training.	DWD/NWSC WB and UNDP/WB RG	consultant report		
	Baseline surveys	There will be an observable difference between baseline and final survey judged on the basis of coverage with water and sanitation facilities, and hygiene behaviours (as indicated in earlier indicators)	DWD/NWSC	pre & post survey mapping at community level	changes in project strategy to reflect learning	

## 5. Management

It is recommended that management of monitoring not be separated from management of the project. Experience has been disappointing with separate monitoring units that do not act on the data collected, leading to un-necessary delays and trouble with ensuring the quality of the information. This is to say that the groups which receive or collect information should have a mandate to act on that information--- and not just pass the monitoring data on to managers. Thus, the work of the new regional NWSC staff member in Jinja should include training, management and monitoring.

There are two exceptions where separate monitoring personnel are definitely needed centrally:

- a) the collection of carefully selected standard data, of the MIS type which is required for national planning and for donor reporting;
- b) expertise in monitoring and evaluation at the Headquarters level to manage the monitoring system.

The latter, expertise in monitoring at the central level requires good staff who have adequate training to enable them to become planners and trainers as well as executors of monitoring activities.

The initial activities which would be undertaken in this monitoring strategy are listed in section 7 (Action Plan). These initial activities include:

- flow-charts,
- follow-up visits to the towns to advocate for the new system and learn how monitoring of selected indicators worked,
- refining indicator list and preparation of training plan,
- identifying local resource people and groups through meetings of field workers,
- training for headquarters' staff,
- training consultants and their field staff, re-organization of consultant contracts,
- orientation of town/district administration (CD, CAO, town clerk, engineers, health staff).

When the system is in place, continued input will be required. From the staff of the DWD and NWSC, this continuing work may consist of:

- at least one visit each phase to monitor the key indicators for that phase,
- support for district/town administration and trouble-shooting to ensure sustained operation of the systems and monitoring,
- possible accountant checks and rapid assessments,
- setting up management and monitoring units at the district level and training their staff.

## 6. Capacity building and training

Capacity building refers basically to two things: development of skills usually through training and being in a position to use those skills. Thus capacity building is more than training. One way of making this concept concrete -- bringing capacity building to reality in a project -- is to combine training with other activities. For example, on-the-job training ensures that the new skills will be used. Another approach is to combine training with planning. This approach was used at the participatory monitoring workshop held in Jinja. The workshop gradually developed to the point where participants from each town made group plans for monitoring which many of them stated they would try to implement.

This combination of monitoring training with planning should be continued, where possible. For example, training workshops in the towns to prepare for monitoring O&M, financial control and management of the water system should lead participants to draw up their own plans (including; indicators, how to collect information, referrals, responsibilities for collection and action on the data).

In training, monitoring should also be combined with substantive aspects. The challenge is that many people lack basic tools about how to carry out their work -- or they lack basic concepts about water and sanitation. One can not monitor something one does not know. Thus, a training workshop may be needed to prepare sanitation and hygiene activities. This should include basic concepts (why sanitation? what hygiene behaviours and why?). It is very important to include content information and planning activities in the training for monitoring -- because many people in the towns and on committees are in fact unfamiliar with the basic issues of this project.

The detailed development of a training programme plan has been prepared by Eng. Patrick Nginya of NETWAS, Nairobi. It could be viewed as part of this report.

In terms of immediate training and capacity building needs, the following could be undertaken over the next half year or so:

- For technical consultants and field staff, training for monitoring mobilization and construction. This would combine planning and training (TOT) workshops. Collection tools should be developed for field testing.
- Consultants are responsible for training and monitoring the mobilization and construction activities for water and sanitation. To do this they will need to train selected community members and mobilizers. This training should begin immediately after their TOT.
- Orientation of district and town administration personnel who check the indicators for mobilization and construction.
- Town level; workshop to advocate for the system, resulting in 'ownership' of the monitoring activities and development of locally-appropriate indicators. Other training into which monitoring should be incorporated is; financial management and pricing, training for hygiene and sanitation, training for post-construction (O&M, hygiene promotion) and monitoring, some orientation of users.

## 7. Action Plan with dates

A suggested workplan has been prepared on the basis of the plan prepared by 'Group 0', that is, those attending the workshop from Kampala.

### Indicative Workplan

short name	description	dates
advocacy	Visits to the towns for advocacy and follow-up to Jinja workshop: prepare for implementation of the monitoring system, identify possible local indicators, find out what the participants to the workshop did with their plans upon their return.	Nov-Dec 97
flow-charts	Flow charts: DWD/ NWSC staff develop a simple proactive 'warning system' through simple visualised flow charts.	Nov-Dec 97
limit indicators	Examine indicators and limit where needed. Compare with MIS. Identify overlap for upward transmission.	Nov-Dec 97
building on local resources	Reinstate meetings among field staff: Identify skilled people or groups who can serve as key resources in developing monitoring capacity and 'trouble shooting'.	Nov-Dec 97
capacity building Headquarters	Workshops and training's of central staff: developing monitoring packages, tools, combining monitoring on-going activities, TOT  Final linking MIS to community-based monitoring	Dec 97- continuing
training consultants and their field staff	Workshops/training of consultants. focus on technicians and (software) field staff, TOT planning, mobilization, sanitation and hygiene, construction.  Negotiate contracts with consultants: key indicators written into consultant contracts and used to monitor each project phase in the town  TOT workshop on post-construction, O&M, financial management in towns	Jan-Mar 98  Feb-Mar 98  May-Aug 98
baseline and mapping	Baseline: Retrieve and organize existing baseline data including community maps. If baselines do not exist, undertake them focusing on limited data that can be collected quickly.	Nov 97- continuing
	consultants and district staff training on post-construction monitoring, finance, repairs	Mar-Dec 98

short name	description	dates
district/town authorities training	Town administration and District or sub-county level: checking and referral for these selected indicators. Progressively taking over more responsibility for monitoring (and management).	Mar Dec 98
community training	Committees: finance, pricing, hygiene, sanitation, construction, post-construction Associations: as above but in greater depth, additional: contracting, UFW, technology of system, pricing and O&M, replacement (with clear policy)	Mar 98 - continuing
activating management through indicators	Follow-up project implementors (DWD/ NWSC): They check on progress toward or compliance with the key indicators for each phase during site visits and through consultant reports.	Mar 98 - continuing

## 8. Links to MIS system

The community-based monitoring should feed limited data into the MIS system. Therefore, to identify data which could be included in the MIS system, three sources have been used: the present report, MIS data sheets already in use in the DWD and the draft report on an MIS system prepared by S. Stoveland.

It is suggested that some data be kept in a running MIS record. This would include computerised coverage data but also standing files, organized by town and containing documents such as key contracts, maps, land release forms and land sales agreements.

There are diverse collection procedures for MIS data which may need to be planned further in the DWD/NWSC. These include: consultant reports and data sheets, sample accounting checks or audits, rapid on-site assessments, baseline surveys, registers of complaints by clients, data sheets completed by town administrators or district staff.

It is suggested that the consultant reports contain information on progress in attaining the key indicators. Many projects require quarterly rather than monthly reports-- something which could be considered to simplify administration. The consultant reports should not be re-written in the Headquarters. This detracts from valuable time that can be used for other purposes. It can also disguise weaknesses in the reporting.

District and town staff do not usually have a great interest in completing complicated data sheets accurately, as they also reported during the Jinja workshop. Such data sheets should be kept as simple and short as possible.

Data sets which may usefully be collected and held in Headquarters are:

<p>Water</p> <ul style="list-style-type: none"> <li>• willingness to pay study</li> <li>• baseline survey</li> <li>• coverage: proportion of population x distance form water point. # member families in WUG</li> <li>• functionality: water point disconnected, water points not functioning for one month or more</li> </ul>
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- report of spot check of quantity of water drawn per capita at selected houses, to see if quantity used increases (during spot checks by DWD/NWSC staff)
- number of household and yard connections/ number of households in catchment area
- number of institutional connections
- existence of outlets for spares, available repair people

### **Sanitation/hygiene**

- Hygiene and sanitation and solid waste disposal plans made and implemented.
- initial coverage and number of latrines constructed by type.
- outlets for latrine parts
- dates on which sanitation/hygiene education or campaigns have begun

### **Administration**

- names and addresses of committee chairmen and treasurers, of each member of the Association, of major contractors used for O&M.
- area maps and as-laid plans
- consultant and construction contracts
- consultant reports
- completion/commissioning data, if any
- local water regulations
- special environmental concerns
- Contracts, consultants, adherence of contractors and consultants to indicators and timelines
- Current phase in each town, results of last DWD/NWSC visit to approve a phase (phase completion). Any special problems or challenges.

### **Flow charts showing progress by phase up to handing over**

### **Finance**

- water charges for institutional connectors, household and yard connections, public water point (to be updated annually).
- total operational costs or O&M costs for one year.
- amount held in all bank accounts at time of visit of accountant doing a spot check
- Cost of water schemes (construction) / number of users
- Cost of consultant contracts/.number of prospective users
- results of annual or bi-annual accounting/audit report of association and selected committees

### **Evaluation**

Evaluation and assessment exercises should use the key indicators which prevail in the project, rather than developing totally new sets of indicators. In addition, evaluation should attend to issues such as:

- utilisation increased
- change in economic activities related to WES provision
- reported water-related diseases
- per capita, per scheme costs
- real coverage, as opposed to design coverage for water and sanitation
- reported reduction in water-related diseases

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## **Appendix A**

### **Workshop Agenda**

## Workshop Agenda

### DAY 1

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- 0900 Welcome from Mr. P. Kagoro, Commissioner ISSD, DWD.  
Statement by Eng H. Onok Managing Director NWSC  
Official Opening by Mr. P.O. Kahangire, Director,  
Directorate of Water Development  
Introduction to key note presentations  
Key note presentations:  
    Mr. R. Olowo  
    Mr. E. Kisembo
- 1100 Coffee break (30 min)  
Experiences from Uganda  
Vote of thanks to presenters  
Introduction of participants to each other  
Introduction to meeting rooms & the hotel  
Introduction to Workshop outline.
- 1310 Lunch (60 min)  
Exercise on information flow  
Introduction to Monitoring for Effectiveness.  
Monitoring for Objectives & Targets
- 1545 Coffee break (20 min)  
Exercise: Identify CONCERNS
- 1700 Coffee break (20 min)  
Exercise continued
- 1800
- 

### DAY 2

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- 0830 Feedback from previous days exercise on concerns by  
participants  
Feedback from facilitators on the consolidated information from  
previous days exercise on concerns.
- 1030 coffee break (20 min)  
Introduction to indicators, using examples  
Exercise on the formulation of indicators using the work  
prepared by participants on previous day.
- 1230 Lunch (60 min)  
Exercise on formulation of indicators continued
- 1530 Coffee break (20 min)  
Exercise on formulation of indicators continued
- 1730 Coffee break (20 min)  
Exercise on formulation of indicators continued
- 1800
-

### DAY 3

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- 0830      **Feedback on the Indicator formulation exercise**  
Plenary discussion on important points or lessons  
Identification of important actors in the projects
- 1100      Coffee break (20 min)  
Short exercise on collecting information  
Quick feedback on the exercise
- 1240      Lunch (60 min)  
Exercise on information flow - to identify who should collect, act  
on information and who else needs the information to check up.
- 1530      coffee (20 min)  
Groups prepare feedback  
Detailed debriefing / feedback from groups
- 1730      coffee break (20 min)  
Consolidation of information to-date
- 1800
- 

### DAY 4

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- 0830      Consolidation feedback by facilitator on previous days exercise  
on information flow. and who should do what.  
Introduction to different tools for collecting information, how and  
when to use them.  
Short exercise to identify the suitability of different collection  
tools.
- 1030      coffee break (20 min)  
Exercise to identify suitable collection tools for already identified  
indicators and actors.  
Consolidated feedback from exercise
- 1330      Lunch (60 min)  
Reflection on action that can be taken on monitoring by  
participants on return to their projects.
- 1530      coffee break (20 min)  
Reflection continued  
Evaluation of workshop
- 1735      coffee (20 min)  
Thanks by Mr. P.Kagoro, Commissioner ISSD DWD  
Official closure by Mr. M. Simon Resident Cdistrict  
Commissioner, Jinja District.
- 1800
-

## **Appendix B**

### **Indicators Developed During The Workshop**

## LIST OF INDICATORS DEVELOPED DURING THE WORKSHOP

List of indicators as developed over the four day workshop by participants. Different indicators were developed for the different phases of the project cycle. In the same way that they will need to be planned and developed by all actors during the onset of new phases in the project.

### MOBILISATION & SITE SELECTION

Concern	Indicator	who checks	tool to check	referral if no action	t/o
site selection	<p>Good site selection, meaning:</p> <ul style="list-style-type: none"> <li>- standposts are located within 200 (?) 500 meters from users, each standpost serving a maximum of 200 (?) population and minimum of 100 (?) people.</li> <li>- communities should have (or make) their own maps which are used for site selection, identifying uncovered areas and planning for sanitation and other activities.</li> <li>- Committees liaise with urban authorities on site selection before construction</li> </ul>	women users, DWD/NWSC make spot checks	ask at water point or in meeting or visit a few houses. Mark houses and water points on map and check map.	local government, DWD/NWSC	yes
Legal land agreement	- land agreements or purchase are made legally and binding, signed and witnessed by town clerk before construction can take place	consultant, landlord association	agreement held by town clerk and land owner	WUG, WSC, town clerk, dwd	
Urban authority					
Women participation	<ul style="list-style-type: none"> <li>- women users involved in site selection by mobilising them to attend meetings (?)</li> <li>- At least 20 women users from different households were asked about site and indicated with signature or print) their agreement to position of standpost</li> <li>- All (or 90% ?) of households are members of a WUG, meaning that they are within 500 or 200 (?) meters of a water point.</li> </ul>	<p>Mob, WSC/WSC</p> <p>consultant, mob, DWD/NWSC</p> <p>consultant, mob, DWD/NWSC</p>	<p>count</p> <p>spot checks of site selection document held by town clerk.</p> <p>map showing houses and water points. OR Ask some users</p>	standpost can only be constructed if paper is completed. consultant must initial	
Mobilization	<ul style="list-style-type: none"> <li>- At least 1 man and 1 woman in each household will know 3 rules of participation (and be able to explain reasons for these rules?). later stage: and know guidelines of water use.</li> <li>- At least one person from each household has attended at least one meeting, or been contacted through a home visit.</li> </ul>	consultant, spot checks DWD/NWSC	spot visits, transept walk	consultant	

Committee functions

- To monitor for a functioning water and sanitation committee:

- meets monthly or quarterly with quorum ; public is not (??) allowed to attend
- members are elected and have clear roles
- public meeting once in 3 months
- all decisions made in meetings are recorded and more than half are carried out
- complaints from community are acted on within 1 (?) week
- committee members can demonstrate how to do calculations to determine water chargers
- applications for water connections well filed
- has an active work plan (for sanitation, refuse disposal, drainage, etc.)
- carries out health education among users including drinking water from safe sources and using at least 20 litres of water for each person each day
- reports to Town Administration and has working referral to other authorities for issues the committee can not solve
- responsible for cleanliness at water points
- makes all major repairs within 2 weeks (?)

Committees are formed by election after voters are given clear guidelines such as (?) :  
number of women, skills needed, someone respected for having clean (not necessarily rich house), politicians are not on committee or are ex-officio members.

- sustainable committee: group carries out own decisions, has undertaken activities in addition to one planned (improving existing practice, starting new initiatives)

## WATER COMMITTEE FINANCE

Concern	Indicator	who checks	tool to check	referral if no action	t/o
Cost of water	Association steering committee and water point WSC committees can calculate tariff for 1 jerrican so that costs of system are covered but poor people could still afford 1 jerrican per person for each day.	DWD/NWSC user	ask	discuss with consultants, town clerk, DWD/NSWC	yes
Wsc collects funds	caretaker gives funds each day to WUG treasurer (?)	water point committee member/treasurer	spot checks of meter reading against money, one day committee member sells water.	to other Association members, to council	yes
WUG pays on time	WSC treasurer for that standpost deposits funds in bank once a week(?)	chairperson and Association member. spot accountant checks.	check cash book which has meter readings for one week, check meter on day of visit	Association members, then local council	yes
payment procedures	simple but honest payment procedures	chairperson, spot checks by association member, spot check by DWD/NWSC	cross check caretaker/ bank account	association	no
receipts	double receipts, signed and dated used for collection, except for jerricans.	chairperson, spot check association	review receipt book	association, consultant,	no
bank a/cc signatories	separate bank account with agreed signatories	WSC	spot check account book	town clerk, consultant, DWD	no
registers	register of users (?)	WSC member		town clerk	no
cash bk acc	accounts and use of cash book follow agreed rules	accountant, spot check	check with bank book, receipts	association	yes
tender	competitive tenders only, unless there is not alternative. No kickback.	treasurer	spot check with actual cash remitted in bank	treasurer, steering committee association, town council, DWD	
transparency	n 2 (?) households can say about how much is in bank account	consultant, DWD/NWSC	spot check to ask a few households		no

## WATER CONSTRUCTION STAGE

Concern	Indicator	who checks	tool to check	referral if no action	t/o
quality of construction	- quality of construction follows checklist used by contractor, NWSC/DWD and committee members. and users around a water point. - water point will be located in agreed site.	Users AND/OR craftsman on behalf of committee	checklist, observation	report to association, town DWD/NWSC, consultant	yes
timelines	- construction will take place not longer than 6 months after site selection and consumer payment is completed., if there are no technical problems	Council, WUGs	see agreement	DWD/NWSC	no

## WATER AFTER CONSTRUCTION

Concern	Indicator	who checks	tool to check	referral if no action	t/o
Repairs Maintenance	Small repairs are made in less than 2 (?) days. Small repairs include: repair of apron, platform, plastering cracks, chains/washers/nuts, shaky standpipes, faucets, unions, meters 7 bends). Includes regular maintenance.  Major repairs are always made in less than 7 (?) days . Major repairs include: restructuring wells or springs, pump houses, standposts, sources repairs, mains (burst pipes, blocked mains, valves & pipe fittings, bulk meters.  - all caretakers have basic tools (identify basic tools needed) and can demonstrate how to use them  - No more than 1 (?) in 10 meters will be broken at any given time.	caretaker  caretaker ⇒ mechanic	checklist tool kit  tells	committee  committee, association, local government	
Functioning	- The water point will be working and open at least during 6 to 8 AM and 4 to 6 PM., but longer is preferred.	association member or volunteer	spot check	association informs or gets new attendant	
Quality	- no bright colour, strong taste, strong smell  - chemical and bacterial quality of water will be tested.	user ⇒ committee	observation	health staff, association, DWD	
Use	- Cleanliness around standpost according to an agreed checklist.  - All family members will drink water from a safe source.  - Water used for each person for each day will increase to 20 or 40 (?) litres.	user	observation also checklist used by attendant	call meeting users, WSC gets new attendant	
Quantity	- time to fill one jerrican not more than 2 (?) minutes  - quantity of water used increases to 1 jerrican per person per day within 2 years	user, caretaker  mobilizer, health staff, WSC	report to WUG  Ask a few poorer users how many jerricans used the day before  check to see if amount of water being used (meter) increases	Association, local government	

## SANITATION

Concern	Indicator	who checks	tool to check	referral if no action	t/o
site selection	- latrines are located at least 30 steps from a shallow well, river or spring used for bathing or drinking	users	map, guidelines for site selection	consultant, DWD/NWSC personnel doing site selection	yes
Use	- Cleanly use and maintenance as defined by a checklist. checklist includes, for example: no excreta or garbage on floors.  - All excreta to go in the hole (all children and adults use latrine consistently).	women, health mob/NGO	see inside latrine, path used, ask child to show how to use it	--	yes
Waste disposal	- No un-burned garbage dumps will be located within X meters of a house.  - in urban areas, all solid waste removed from area every 2 (?) days.	health mob. town dwellers	observe, show on map if needed	health inspector make plan with council if needed	observ e other comm unities

## **Appendix C**

### **List Of Workshop Participants**

NAME	ORGANIZATION	DISTRICT/TOWN
Nankya Margaret	WUG	Jinja
Omondi Henry	Lyantonde T. Council	Rakai
Balubuliza David	D. Administration	Rakai
Ssenyonga Stephen	Urban Authority	Rakai
Bukenya Dauda	LC 3 Vice Chairman	Rakai
Watenga Stanely	Water Development	Tororo
Mpiima Godfrey	LC 3 Wobulenzi	Luwero
Mubiri Fenekansi	LC 2 Secretary	Njeru Town Council
Sebulime James	Chairman WUG	Njeru
Kadedesia David	Jinja Municipal	Jinja
Mubangizi Bruno	WSC	Ntungamo
Mugaya Daniel	Sec. WUG	Bugembe
Kyaligonza Peter	Busia	Busia
Okwerede Patrick	Tororo	Tororo
Ofumbi Mathias	Ruwasa	Mbale
Cong Richard	DWD	Kampala
Kiwanuka Gerald	Chairman WSC	Rakai
Bugembe Joseph	STWSP	Rakai
Kigoye John	STWAP	Rakai
Sarah Matovu	WSC, STWSP	Rakai
Ekaaset Emmanuel	WUG Chairman	Tororo/Malaba
Ochoge George	WSC Ext Worker	Tororo
Tumuhimbise Edson	WSC Member	Ntungamo
Ndeka Davis	Town Clerk	Rakai
Francis Barabonawe	Town Clerk	Ntungamo
Kafureeka Jacob	Chairman	Ntungamo
Kato Paul	DWD-Drilling	Kampala
Daphine B. Hunter	DWD-WES	Kampala
Mbabazi Beatrice	STWSP	Kampala



## **Appendix D**

### **Terms Of Reference**

20 AUG 1997 08:52

## Terms of Reference for the Monitoring and Evaluation Workshop Small Towns Water and Sanitation Project (STWSP) Uganda

### Consultants Services

#### BACKGROUND

The Regional Water and Sanitation Group-Eastern and Southern Africa (RWSG-ESA) is assisting the Small Towns Water and Sanitation Project in Uganda to improve the qualitative aspects of the Projects Monitoring framework through a learning component. The objective is to ensure that the lessons learned from the early phases of project implementation are fed into later phases of implementation. The aim is to try and use experiences gained on the STWSP, to develop an M&E system, in the framework of the Rural Towns Water and Sanitation Program (RTW&SP).

Both DWD and NWSC in collaboration with RWSG-ESA and IRC are therefore organizing a Monitoring and Evaluation Workshop (M&E), scheduled to take place in mid August 1997. The purpose of this workshop is to involve the sector partners and the community in designing indicators, tools, methods and reporting formats for the M&E process of the STWSP. This will also provide for collective definition of indicators, geared towards measuring the project (s) goals of sustainability, providing for learning process and making modifications/improvements as is seen appropriate. Further details see attached M&E TOR as annex 1.

As agreed with STWSP, RWSG-ESA will therefore hire two consultants, one international and other National to facilitate the M&E Workshop, for period of 15 days in mid August 1997. The consultants will assist the workshop to achieve its intended objectives and outputs. The workshop brings together members of partner institutions within broader Program of the rural Towns Water and Sanitation Program (RSTWSP) of which the STWSP is of the projects. The workshop will therefore provide the Program, with the occasion to identify key issues, on the basis of which M&E indicators can be defined as well as monitoring strategies, data collection and analysis as needed and used at different levels of the projects.

The thrust of the M&E will therefore be to improve RTWSP actions in respect to user satisfaction, efficiency and support sustainability particularly in the context of demand based and decentralized programming. The themes of the workshop will focus on, but not necessarily limited to: issues/indicators, management of the monitoring and evaluation process and utilization of information from the various levels within the project.

#### ACTIVITIES

The consultants will be responsible for the following activities:

- Review existing pre-determined indicators, tools, methodology, processes and reporting formats and make recommendations for structuring workshop program/agenda
- Advice on best practices based on experience in similar programs, addressing water and sanitation needs of rural communities and urban towns (e.g. Ghana), concerning the choice of indicators as well as the system for collecting and analyzing information at various levels
- Facilitate the defining of simple and realistic indicators, their usage and determine the tools/mechanisms for monitoring and agreed reporting formats;
- Prepare a strategic outline for strengthening monitoring capacity and links at community, district, project and program levels including training materials and activities
- Ensure the various stakeholders participate effectively in determining issues for monitoring in their respective projects (DWD and NWSC),
- Assist the participants develop action plans for operationalizing the M&E system.
- Propose a schedule for monitoring and related learning activities, including RWSG-ESA assisted inputs, workshops and other meetings to discuss, disseminate and adopt findings

- Prepare workshop report to include recommendations to be discussed and endorsed by a task force committee, that will be responsible for providing feedback to the participants and implementing the Action Plan

## WORKSHOP OBJECTIVES

The objectives of the workshop will be:

- a) Assist communities build monitoring structures capable of continuing with the activity even when the projects end;
- b) To increase capacity and skills of the user community, private sector and lower government to identify strengths, weaknesses, opportunities and threats in monitoring so as to able to take timely corrective action;
- c) To help community identify indicators applicable to stock information for project and /or programme evaluation
- d) To assist the community identify the various methods of data collection and specify roles for various stakeholders.
- e) Develop a plan of action for community participatory monitoring.

The monitoring procedures to be discussed in the workshop will embrace all activities of the project right from Promotion, Mobilization, Planning and Design, Construction, Operation and Maintenance, use and behaviors.

## OUTPUT

The recommendations from the workshop, by the team of two consultants, will include a workshop report covering the:

- Procedures for operationalizing the developed M&E system
- Issues, indicators, tools and instruments for monitoring,
- Management system necessary to support the M&E process, including reporting modalities
- Capacity and training needs requirements/activities
- Action Plan for operationalizing the M&E at all levels and stages of the Project

The Action Plan will be presented to a Task Committee (to be appointed) for validation and endorsement and feedback to the participants, prior to implementation

## DURATION

The workshop will be carried out in four days and will be held in mid August 1997. The proposed venue is Jinja town. The expected number of participants will be 50.

## REPORTS

At the end of the assignment the consultant will produce a report covering but not limited to, the listed outputs. The report will be produced as a hard copy and on diskette using Microsoft word.

## TIMING

A draft report will be submitted to both DWD and NWSC Management and RWSG-ESA by August 29, 1997.

**MINISTRY OF NATURAL RESOURCES  
SMALL TOWNS WATER AND SANITATION PROJECT**

**Terms of Reference For Monitoring and Evaluation Workshop**

**A BACKGROUND**

1. The Small Towns Water and Sanitation Project (STWSP) is a community based management project. STWSP applies a "demand driven approach." The principles and procedures of the project, entail planning, implementation, operation, maintenance, use and sustenance, all which requires community involvement. STWSP is implemented by the Directorate of Water Development and the National Water and Sewerage Corporation (NWSC) of the Ministry of Natural Resources, and financed through an IDA credit to Government of Uganda (GOU). Both DWD and NWSC are responsible for coordinating and executing the Project in the respective towns. DWD is providing improved water supply and sanitation services in 11 Urban towns, while the two towns of Jinja and Njeru are implemented by NWSC. Project Mobilization, design and planning activities have been undertaken in 11 towns, while NWSC have just completed the mobilization phase in Jinja and Njeru, with full support and involvement of the communities, urban councils and the district administration.
2. In pursuit of the community management principles for the project, both NWSC and DWD's STWSP-PIU, consider monitoring with utmost importance and have designed a Management and Information (MIS), for monitoring project performance and effectiveness. The data collected is expected to be fed into the MIS system for analysis and resulting modifications/improvements fed into the project. Discussions have been held at town specific levels during mobilization and the result has been a need for consultation in a broader perspective in order to keep up the encouraging collaboration in implementing the project.
3. A consultative workshop on Monitoring and Evaluation has therefore been designed to fully involve the community and other stakeholders in freely discussing community based Monitoring and Evaluation procedures to be adopted by the project. This is because in community based projects, like the STWSP, with various actors, monitoring at all levels of project and through out the project stages, is desired, to accurately measure the benefits not only of the project but also of the implementation process. The workshop therefore is one in the process of developing this monitoring framework. This will be a step by step process towards setting the right indicators in measuring the project goals and thereby enhancing the learning process. Many other projects, in the sector, are now implemented following the demand based approach. Hence the experiences gained in STWSP in developing an M&E system, will serve as a reference point for the overall Rural Towns Water and Sanitation Program (RTW&SP)
4. In respect to this, NWSC and STWSP, in collaboration with Regional Water and Sanitation Group-Eastern and Southern Africa (RWSG-ESA), have organized the Consultative M&E workshop, to take place in mid August 1997. The workshop is intended to achieve the following objectives:

**WORKSHOP OBJECTIVES**

The objectives of the workshop will be:

- a) To assist communities build monitoring structures capable of continuing with the activity even when the projects end;
- b) To increase capacity and skills of the user community, private sector and lower government to identify strengths, weaknesses, opportunities and threats in monitoring so as to able to take timely corrective action;

- c) To help community identify indicators applicable to stock information for project and /or programme evaluation
- d) To assist the community identify the various methods of data collection and specify roles for various stakeholders.
- e) Develop a plan of action for community participatory monitoring.

The monitoring procedures to be discussed in the workshop will embrace all activities of the project right from Promotion, Mobilization, Planning and Design, Construction, Operation and Maintenance , use and behaviors.

## ACTIVITIES

The consultants will be responsible for the following activities:

- Review existing pre-determined indicators, tools, methodology, processes and reporting formats and make recommendations for structuring workshop program/agenda
- Facilitate the defining of simple and realistic indicators, their usage and determine the tools/mechanisms for monitoring and agreed reporting formats;
- Prepare a strategic outline for strengthening monitoring capacity and links at community, district, project and program levels including training materials and activities
- Ensure the various stakeholders participate effectively in determining issues for monitoring in their respective projects (DWD and NWSC),
- Assist the participants develop action plans for implementing the M&E system.
- Propose a schedule for monitoring and related learning activities, including RWSG-ESA assisted inputs, workshops and other meetings to discuss, disseminate and adopt findings
- Prepare workshop report to include recommendations to be discussed and endorsed by a task force committee, that will be responsible for providing feedback to the participants and implementing the Action Plan

## DURATION

The workshop will be carried out in four days and will be held in mid August 1997. The proposed venue is Jinja town. The expected number of participants will be 50.

## PARTICIPANTS

The workshop is expected to draw participants from:

- Water User Groups (Direct Users)
- Water and Sanitation Committees
- Water User Association Executives
- Urban Council representatives
- District Council representatives
- Directorate of Water Development (DWD)
- National Water and Sewage Corporation (NWSC)
- Ministry of Health
- Ministry of Community Development
- RTW&SP
- UNICEF
- and NGOs active in the sector

## E. WORKSHOP APPROACH

- Four days residential workshop (2 days for each NWSC and DWD)
- International Consultant to work together with local/national consultant to facilitate the workshop
- Participatory/Consultative discussions
- Secretariat team to document the workshop proceedings and resolutions
- Technology options, cost sharing arrangements, institutional arrangements and O&M etc. as some of the key issues to be addressed in the M&E project process

## F. FACILITIES

- Hotel accommodation and conference facilities for 100 people
- Transportation and support services
- Documentation and follow up by the secretariat

## OUTPUT

The recommendations from the workshop, by the team of two consultants, will include a workshop report covering the:

- Procedures for implementing the developed M&E system
- Issues, indicators, tools and instruments for monitoring,
- Management system necessary to support the M&E process, including reporting modalities
- Capacity and training needs requirements/activities
- Action Plan for implementing the M&E at all levels and stages of the Project

The Action Plan will be presented to a Task Committee (to be appointed) for validation and endorsement and feedback to the participants, subsequent to implementation.

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