

**RURAL VILLAGE WATER RESOURCES
MANAGEMENT PROJECT (RVWRMP)
NEPAL
(Nepal-Finland Cooperation)**

IMPLEMENTATION GUIDELINES

FINAL DRAFT

These Implementation Guidelines are prepared for execution of the activities funded under the District Water Resource Development Fund (DWRDF) established under each District Development Committee of the Project Districts. District Sub-projects should follow this Guideline on mandatory basis while executing the activities

Government of Nepal
Ministry of Local Development
Department of Local Infrastructure Development and Agricultural Roads
(DoLIDAR)

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LIST OF ABBREVIATIONS

ADB	Asian Development Bank
ADB/N	Agricultural Development Bank / Nepal
AEPC	Alternate Energy Promotion Center
CBO	Community Based Organisation
CBWSSSP	Community Based Water Supply and Sanitation Sector Project (ADB)
CM	Community mobilisation / mobiliser
CO	Community Organisation
DAG	Disadvantaged Group
DDC	District Development Committee
DDF	District Development Fund
DEDF	District Energy Development Fund
DIDC	District Information and Documentation Center
DSCO	District Soil Conservation Office
DMC	District Management Committee
DLGSP	Decentralised Local Governance Support Programme
DOI	Department of Irrigation
DoLIDAR	Department of Local Infrastructure Development and Agricultural Roads
DTO	District Technical Office
DWSS	Department of Water Supply and Sewerage
DWRDF	District Water Resources Development Fund
EIA	Environmental Impact Assessment
EURO	Euro
FCHV	Female Community Health Volunteer
FG	Functional Group
FGD	Focus Group Discussion
GESI	Gender Equality and Social Inclusion
GOF	Government of Finland
HDI	Human Development Index (UNDP)
Helvetas	Swiss Association for International Development Cooperation
GON	Government of Nepal
HRD	Human Resource Development
IDA	International Development Association (World Bank)
IEE	Initial Environmental Examination
LDF	Local Development Fund
LDO	Local Development Officer
LNGO	Local Non-Governmental Organisation
LSGA	Local Self-Governance Act 1999
MFA	Ministry for Foreign Affairs of Finland
M&E	Monitoring and Evaluation
MG	Mothers' Group
MH	Micro hydro
MLD	Ministry of Local Development
MOEST	Ministry of Environment Science and Technology
MOE	Ministry of Education
MOHP	Ministry of Health and Population
MOWR	Ministry of Water Resources

LIST OF ABBREVIATIONS (Cont.)

MPPW	Ministry of Physical Planning and Works
NGO	Non-Governmental Organisation
NPC	National Planning Commission
NPD	National Project Director
NPR	Nepalese Rupee
NWSC	Nepal Water Supply Corporation
NWSSCC	National Water Supply and Sanitation Coordination Committee
O&M	Operation and Maintenance
PC	Project Coordinator
PCO	Project Coordinator Office
PSU	Project Support Unit
PWD	Public Works Directives
REDP	Rural Energy Development Programme
REDS	Rural Energy Development Section (also DDC: REDS)
RVWRMP	Rural Village Water Resources Management Project (The Project)
RWSSSP	Rural Water Supply and Sanitation Support Programme (Phase III)
SO	Support Organisation
TA	Technical Assistance
TL	Team Leader
UC	User Committee
UG	User Group
UNDP	United Nations Development Programme
USD	United States Dollar
VDC	Village Development Committee
VMW	Village Maintenance Worker
WARM-P	Water Resources Management Project (Helvetas)
WB	The World Bank
WDO	Women Development Office
WRA	Water Resources Adviser
WRM(S)C	Water Resources Management (Sub-)Committee
WSD/(SD)O	Water Supply Division/(Sub-Division) Office
WUA	Water User Association
WUC	Water User Committee
WUMP	Water Use Master Plan

1. INTRODUCTION

1.1 Background

Government of Finland has provided financial and technical support to water sector in Nepal since 1989. After the successful completion of three phases of Water Supply and Sanitation Support Programme in Lumbini Zone and considering the poor water and sanitation use situation of far and mid western people, comparing with other development regions, Rural Village Water Resources Management Project (RVWRMP) was formulated. It intends to cover nine districts (Darchula, Baitadi, Dadeldhura, Bajura, Bajhang, Doti, Achham of far west and Dailekh and Humla of Mid western region) in joint funding of Government of Nepal, Government of Finland, respective DDCs, VDCs and Users. In addition to these nine districts arsenic mitigation and sanitation activities will be supported in Kailali district of Far-Western region. The RVWRMP covers the period from September 2006 to August 2010, the project will facilitate the DDCs and VDCs to execute the water resource activities. It includes different components of water resources as drinking water, sanitation, irrigation, micro-hydro, environmental protection and solid waste management. The Project will be working in the form of ten district-based sub-projects under the District Development Committees.

User Committees (UC) will implement village level schemes, based on the Water Use Master Plan (WUMP), supported by Support Organizations and the District and Village Development Committees. District Development Committees are the executing agencies of the District Projects in coordination with the sector partners. The Department of Local Infrastructure Development and Agricultural Roads (DoLIDAR) under the Ministry of Local Development and the Project Support Unit (PSU) of the Project provide support and assistance to the districts.

These Implementation Guidelines are prepared to ensure uniformity while implementing the programme activities at the district level. It follows the process and procedures underlined in the Local Self Governance Act, 2055 and corresponding Regulations, 2056.

Minor changes with no financial implications may be made as needed to the Implementation Guidelines as per jointly agreed with DoLIDAR and PSU. These changes will be endorsed in the following Steering Committee meeting.

1.2 Objectives of the Project

The overall objective of the Project is to improve quality of life, environmental conditions and increased opportunities to improve rural livelihoods in the Mid and Far West regions through rational, equitable and sustainable use of water at the village level. The Project aims at improvement of the institutional capacity of ten districts to enable decentralization process from the national level to the district and from the district to the users level for implementation and sustainable management of rural water resource facilities as well as improve coordination among local, central agencies and UCs for water resources management. It also aims to support in efficient planning, implementation and coordination through establishment of comprehensive Water Use Master Plan for selected 80 VDCs of nine districts.

The achievement in terms of population coverage by the Project largely depends upon the commitment and implementation capacity of different actors and stakeholders involved. However, it is estimated that it should be possible to serve a population of 120,000 (8% of population in project area) by drinking water supply facilities, 60,000 (4% of population in project area) by sanitation, 15,000 (1% of population in project area) by small farm irrigation facilities (about 600 hectares of irrigated land) and 6,000 (0.4% of population in project area) by micro hydro facilities (5 MH plants to be installed in selected priority village with an average capacity of 20 kW each) during the Project period.

1.3 Approach and Strategy

The core thrust of the Project is to support the District and Village Development Committees of the participating districts in decentralized planning, implementing, monitoring and evaluating the water resource development activities and to build up institutional capacity in line with Local Self-Governance Act, 2055. Establishment of community managed sustainable Drinking Water Supply and sanitation/irrigation/micro hydro systems is the key strategy. The Programme provides technical, financial and management support for establishment of sustainable water supply and sanitation/irrigation/micro hydro on demand driven basis as prioritized by communities themselves during formulation of Water Use Master Plan of the VDC. The Programme follows an inclusive, participatory and gender sensitive approach and supports rural communities to move towards self-reliance in water resources management and operation and maintenance of facilities.

The project approach is based on the following key principles and tools.

- Holistic approach: Comprehensive, multi-sector planning and preparation process
- Bottom up approach: Community mobilization
- Participatory approach: Ownership promotion
- Income generation: Entrepreneurship promotion
- Coordination: Linkage with other ongoing projects
- Multi-use of water: Water resources management

The project idea is to develop the multiple uses of water resources on the basis of comprehensive Water Use Master Plans (WUMP) to be prepared by the selected priority VDCs and communities. Priority schemes identified in the WUMP will be implemented by local user committees with help of private and public support organizations. RVWRMP will support the preparation of detailed WUMP for about 80 priority VDCs. The WUMP will be the basic document for overall water use and sanitation planning and identifying communities' priority needs classified by various use categories such as drinking water supply, irrigation, energy production etc. However, development of VDC selection methodologies/tools and updating of information are required to be carried out for detailed analysis for selection of VDCs for implementation of RVWRMP activities.

The Project comprises ten District sub-Projects in Darchula, Baitadi and Dadeldhura of Mahakali Zone; Bajura, Bajhang, Achham, Doti and Kailali of Seti Zone; Dailekh of Bheri Zone; and Humla of Karnali Zone executed by the District Development Committees (DDCs). The DDCs have the responsibility to plan, coordinate, execute

and monitor the schemes. District Management Committee (DMC), led by DDC Chairperson and assisted by DDC Secretary (Local Development Officer), DTO Chief, Women Development Officer and Water Resource Advisors, is responsible for administration and management of the District sub-Projects. In addition Water Resources Advisors will play advisory role for the overall development, coordination and harmonization of water resources sector at the district level.

The District Water Resource Development Fund (DWRDF) is set up in each district to support the implementation of drinking water and sanitation/irrigation/micro-hydro schemes. DWRDF consists of a bank account/separate ledger named investment account. The account is funded by Government of Finland and Government of Nepal. District Development Committee also contributes 10% of its internal revenue in the account annually (this is counted from the latest full fiscal year revenue). Separate account/ledger named office and administration account, funded by Government of Nepal to bear the administrative and running cost of government staffs will be established in each district. Management of both the accounts is the responsibility of the DDC.

A registered User Committee (UC) has the responsibility of scheme implementation, operation and maintenance. The term “User Committee” is used in this guideline to mean all types of community based user committees such as Water and Sanitation User Committee (WSUC) for drinking water and sanitation, Water User Association (WUA) for irrigation, etc. Funds for implementation of schemes shall be directly provided to the UC. The UC is responsible for managing the implementation funds (purchase of construction materials, transportation and payment for labour). The DMC will follow the approved district rates for procurement of construction materials and control the quality as well. The UC may purchase only such construction materials which meet the detailed technical specifications established by the Project and which fall within the ceiling price/rate set by the DMC. UCs are free to select the supplier/factory to procure the necessary materials to construct water supply, sanitation, irrigation and micro hydro schemes. The SO and WRMC will assist the UC in the procurement of construction materials required for the schemes.

The UC of a particular scheme is completely responsible for material procurement. The requirements of GON Financial Administration Regulations (i.e. Local Body Financial Administration Rules and Regulations (LBFAR) 2064) should be fulfilled. In addition, the unit rates of the construction materials to be procured shall not exceed those set by the DMCs.

DMC will approve the selection of private support organizations (NGOs, private consulting firms, individual persons) on the basis of free, transparent and competitive bidding and will be duly endorsed by the DDC. Public partners such as the WSDO, DAO, DISCO and LDF/DLGSP can act as SOs but shall not participate in competitive selection of support organizations – public partners can involve based on negotiation with DMC/DDC. Similarly, NGOs, INGOs, Projects and institutions that wish to cooperate with the Project can agree directly with the DMC/DDC about the support they can provide (free of cost). The latter type of service providers shall be called “partners” as distinction from the “Support Organizations”.

2. CONDITIONS FOR SUPPORT AND TECHNOLOGY OPTIONS

2.1 Selection of VDCs

Total 80 VDCs from nine hill project districts will be selected by respective DDCs, based on the following criteria. The Project PSU in consultation with the DMCs and DoLIDAR will propose the number of working VDCs for the consideration of the Steering Committee. The Project Steering Committee will decide the number of working VDCs in each district.

Based on the latest available data, assessment of all VDCs will be done and priority list of the VDCs will be made. Considering the reliability/competency of the existing information at the district level, a team nominated by the DDC will assess the real situation of the prioritised VDCs by organizing a community meeting at VDC level and recommend to the DDC for the project execution. The VDC selection will be made on following criteria;

1. Poverty Status
2. Percentage of excluded groups
3. Women illiteracy and relative number of single women
4. Remoteness from road-head (distance)
5. Situation of water resources facilities e.g. drinking water & sanitation, energy/hydropower and irrigation.
6. If all other criteria are quite similar, adjoining VDCs should be selected (clustering) to better cover watershed areas and to make Project work and monitoring easier.

RVWRMP has developed a simple calculation model based on the above mentioned five first criteria. Weight of different criteria can vary from one district to another. The VDC scoring least will get the highest priority in the priority list. PSU will use this model to verify that VDC selection is unbiased. PSU shall also carry out a field verification mission to the VDCs, if necessary. PSU has a right to object selection of a VDC that does not fulfil the selection criteria.

The priority list of VDCs shall be discussed and VDCs will be selected during district level stakeholders meeting to be organized in the district. The meeting will be participated by DDC, district level WR sector agencies, Top prioritized VDCs, political party representatives and other relevant agencies/institutions. The forum will be utilized to orient concerned partners about RVWRMP. Key issues to be assessed during stakeholders meeting are:

- Report of the situation of assessment team
- Accuracy/Relevance of secondary data adopted for VDC assessment.
- Willingness/Commitment for contribution of the VDCs for the implementation of water resource programme.

Name list of selected VDCs will be duly approved by the DDC.

2.2 Priority and Ownership by Community

Schemes will be implemented according to the priority set by the community through participatory preparation of WUMPs. The annual program will be compiled from community level plans by VDC and endorsed by Village Council, based on the priority set in the WUMP between sub sectors and among each sector activities.

Users are regarded as the managers of a scheme from the very beginning. UC will manage and administer its bank account independently.

2.3 Contribution

Cash contribution from the DDC and the VDC for the Programme, and both cash and kind from the users for a scheme, is required to demonstrate commitment and ownership.

DDC Contribution:

Each DDC should allocate annually at least 10% of its total internal revenue for water resource development (to be calculated based on the latest full fiscal year's revenue).

VDC and Users' Contribution:

Cash and Kind contribution from the VDC and Users for investment costs of a scheme for different types of technologies should be as follows:

A. Water Supply, Irrigation and Micro Hydro Scheme (Individual and Multiuse systems)

Technology	VDC (Cash)	Users				
		Cash		Kind		
		Investment	O&M	Description	Contribution	
Piped Water Supply Scheme	NPR 100 per capita	.NPR 500/ tap	NPR 500/ tap	Material Collection and Transportation Trench digging/Burying Structure Construction	Non local material from road head to site Local material collection and transportation Total Length of Distribution System Total Unskilled Labour for Tap Stand Construction	1 wd ¹ /HH 1 wd/HH
Rainwater Harvesting DWS (6.5 m ³)	NPR 500/HH	NPR 100/HH		Material Collection and Transportation RWH Jar Construction	Non local material from road head to site Local material collection and transportation Total Unskilled Labour for Jar construction	1 wd/HH 1 wd/HH
Conventional Irrigation System	NPR 150/Ropani	NPR 100 /Ropani	NPR 25/ Ropani	Material Collection and Transportation Main/Branch/Distribution System	Non local material from road head to site Local material collection and transportation All earthworks (Excavation and filling works)	1 wd/HH 1 wd/HH
Non-conventional Irrigation System	2% of non local material cost	NPR 150 /HH	NPR 50/HH	Material Collection and Transportation Main/Branch/Distribution System	Non local material from road head to site Local material collection and transportation All earthworks (Excavation and filling works)	1 wd/HH 1 wd/HH
Micro Hydro	NPR 100/Capita	NPR 500 kW		Material Collection and Transportation Canal/pipeline/transmission/distribution system	Non local material from road head to site Local material collection and transportation All earthworks (Excavation and filling works)	1 wd/HH 1 wd/HH

¹ Working day.

Piped DWS + Non conventional Irrigation System	NPR 150/capita	NPR 750 /tap	NPR 750 /tap	Material Collection and Transportation Branch/Distribution System Construction of Structures	Non local material from road head to site Local material collection and transportation All earthworks (Excavation and filling works) Unskilled Labour for Tap Stand construction	1 wd/HH 1 wd/HH
Micro Hydro + Irrigation system	NPR 100/capita	NPR 500/kW & NPR 50 / ropani	NPR 1000/kW & NPR25/ ropani	Material Collection and Transportation Branch/Distribution System Construction of Structures	Non local material from road head to site Local material collection and transportation All earthworks (Excavation and filling works) Unskilled Labour for outlet construction	1 wd/HH 1 wd/HH
Micro Hydro + Irrigation + DWS	NPR 150/capita	NPR 500/kW + NPR 50 per ropani + NPR 500 per tap	NPR 1000/kW + 25/ ropani + 500/tap	Material Collection and Transportation Branch/Distribution System Construction of Structure	Non local material from road head to site Local material collection and transportation All earthworks (Excavation and filling works) Unskilled Labour for Tap Stand construction	1 wd/HH 1 wd/HH

Rehabilitation/service improvement of old schemes:

Technology	VDC (Cash)	Users	
		Cash	Kind
			Description
Rehabilitation/ service improvement	At least 25% to 50% of total cost (new investment) from VDC, users and other local sources.		

B. Sanitation (Latrine Construction)

In sanitation development, HHs will be categorized in A, B and C category based on the poverty status of households. Wealth ranking will be done in participatory way based on the criteria set by the community themselves through the process mentioned in the Step-by-Step Manual. Households must contribute one day labour for transportation materials, only.

Contribution Pattern for Household Latrine Construction (up to plinth/pan level)

Wealth Ranking/ Level of poverty	DWRDF + VDC*	Users HH
A Very poor	All non-local materials and skilled labour	Rest of all (including labour and materials)
B Poor	Pan, pipe and cement	
C Moderate poor	Pan and pipe	
VDC will contribute NPR 300.00 for Double Pit and NPR 150.00 for Single pit Latrine & Household will contribute for superstructure. Double pit latrine is a priority, single pit latrines should be promoted only in exceptional circumstances and need special justification. Traditional latrines can be promoted.		

Contribution Pattern for Institutional Latrine (VIP Type) (up to superstructure)

Institution	VDC	Users/Institution	DWRDF
School	2% of Total Cost (Cash)	Earth excavation and local materials collection and transportation	Rest of all including labour and materials
VDC, Health Post, Other Institutions	50% of Total Cost		

C. Arsenic Mitigation (only in Kailali District)

HHs will be grouped into three categories based on poverty ranking in the working area.

Contribution Bio-Sand Arsenic Filter Construction

Wealth Ranking/ Level of poverty	Users HH cash	Users Kind
A Very poor	NPR 50	Unskilled labour for BSF construction and locally available construction materials
B Poor	NPR 300	
C Moderate poor	NPR 500	
VDC will contribute NPR 100/HH for Bio Sand Filter construction.		

D. Environment & Soil Conservation

RVWRMP will follow Government of Nepal procedures and guidelines in conservation activities. It has been realized that all activities related to soil conservation and watershed management programs should aim for sustainability by developing and designing social and community initiatives and self-reliance mechanisms. It is in this context that the Government enunciated the policy of people's participation. The policy provides for the formulation of user group to mobilize people to carry out all soil conservation and watershed management activities. This policy has made it mandatory to involve people in all conservation activities. The level of participation and contribution varies depending up on the nature and scale of works. Based on this policy, the Department of Soil Conservation and Watershed Management has developed the following contribution pattern for people's participation in soil conservation and watershed management program and the same will be followed in the RVWRMP.

Contributions in different Environment & Soil Conservation Activities

Activity	Community Contribution	DWRDF Contribution
Terrace improvement (on-farm conservation)	50%	50%
Fruit and fodder tree plantation	40%	60%
Degraded land rehabilitation	30%	70%
Water resource conservation	30%	70%
Landslide treatment	20%-40%	60%-80%
Roadside slope conservation	20%-30%	70%-80%
Foot-trail improvement	20%-40%	60%-80%
Gully control	20%-40%	60%-80%
River bank conservation or treatment	20%-30%	70%-80%
Irrigation channel conservation	40%	60%

RVWRMP will implement environment and soil conservation schemes based on people's priorities presented in WUMPs following the *Working Strategy of Soil Conservation and Watershed Management 2061 (Bhutatat ra jaladhar samrchan bibahag ko karyabidhi 2061)*.

2.4 Eligibility of Schemes

The Project Document emphasizes holistic planning of water resources, multiple use of water and tapping the economic value of water for economic and social development of communities:

Overall Objective of the Project:	Conceptual Means to achieve the goals:
<i>Improved quality of life, environmental conditions and increased opportunities to improve rural livelihoods in the Mid- and Far Western regions through rational, equitable and sustainable use of water at the village level.</i>	This general objective will be met by means of Integrated Water Resources Management, i.e. optimal development and use of available water resources, protection of scarce resources and tapping the economic value of water for the well-being

	and welfare of people using these resources. Water will thus be used as means for balanced social and economic development to benefit rural communities.
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Schemes proposed for Project funding must be technically sound, socially acceptable, equitable and affordable, economically viable and environment friendly. Schemes must be selected from the priority list of the WUMP, unless otherwise directed by the Project Steering Committee.

Technical considerations

Typical, tested and widely used technology options are presented below:

Type of scheme	Technology options	Notes
Water Supply	Gravity flow systems Rainwater harvesting	Gravity is basic option RWH is second option
Irrigation	Non-conventional irrigation systems (and MUS); Rehabilitation/ repair of conventional irrigation schemes	No new “stand alone” conventional irrigation schemes should be funded by the Project
Micro-hydro	Micro-hydro technologies as promoted by AEPC	No new “stand alone” Micro-hydro schemes will be funded by the Project
Other Rural Energy	Improved traditional mills (Ghatta); Solar energy, bio-gas	
Environmental Sanitation	Latrines, Composting, Solid Waste Management, Drainage	Maximum utilization of local materials, skills and technologies
Soil conservation	Plantation, Gully Control, Landslide Control, Terracing, river bank protection, nurseries	Bio-engineering methods, Target protection of environment and/or increased agricultural production
Combination of two or more of WS, Sanitation, irrigation, energy, soil conservation	Case by case planning and design	Emphasis on using water and energy for better livelihoods and taking care of resource protection

Social Inclusion and Gender Considerations

Cultural and social barriers will be overcome by means of social awareness and use of social mobilization techniques. Community shall be made aware about the advantages of a win-win situation when overcoming cultural and social barriers. Inclusion and gender awareness training will be given also to male members of VDC, WRMC, WRMSCs UC, and political parties, in

particular. Aama Samuh (Mothers Group) existing at village level will be fully mobilized for awareness creation.

Empowerment of women, Dalits and other disadvantaged communities will be done by ensuring participation of male and female from each household of the community. Separate Community Organisations (COs) of male and female will be formed in each of the cluster. Further, minimally, equal number of participation of male and female (50%) will be ensured in the WRMCs and the WRMSCs. Separate groups of Dalit and indigenous communities will be formed, if necessary (in case of restricted opportunity). For formation of Users' Committee (UC) an equal number of men and women will be ensured and at least one female member shall be in key position. At least proportionate number of seats in WRMC, WRMSC and UC shall be reserved for Dalit and other disadvantaged communities. More marks shall be allocated to NGOs having women and Dalit as their executive members and also for female and Dalit staffs in the selection criteria of support organizations.

Lack of knowledge, skill and capacity will be addressed by intensive training (e.g. leadership training, exposure visits, entrepreneurship development training, etc.), awareness raising and community mobilization at local level. At least one female (Community Mobiliser) from working VDC shall be trained and she will be involved in mobilizing community right from the planning phase (WUMP preparation) and she shall be an asset of VDC for assisting income generating activities. Capacity of Female Community Health Volunteers (FCHV) shall be enhanced and mobilized for health and sanitation promotion activities at the community level.

Income raising opportunities shall be improved by providing work opportunity (paid) for women and family members of indigenous and deprived households identified by means of FGD at the planning phase.

Income raising opportunities shall be improved by providing paid work opportunities for women and family members from disadvantaged households identified by means of focus group discussions in the planning phase. Women, Dalits and disadvantaged groups (DAGs) shall have paid work opportunities during scheme implementation as skilled and unskilled labour for construction activities. Further, cross-subsidized cash contribution pattern shall be applied for the most deprived households based on the wealth ranking.

For more details on the RVWRMP's gender and social inclusion concepts refer to the Project's Gender Equality and Social Inclusion Strategy and Action Plan.

Environment Friendliness

The schemes to be supported from the Project should be environmentally sound and friendly. Environment conservation, especially for the protection of water resources and cleanliness of household, surrounding and atmosphere will be taken in the consideration during planning and implementation of all schemes. The technology and material appropriate to conserve local environment will be used up to the extent of acceptable quality and acceptance of beneficiaries. National guidelines for environmental assessment and considerations shall be followed.

Water related projects requiring IEE and/or EIA according to the Environment Protection Rules 1997 and Amendment 2007:

Use Water Resources Sector	IEE Required	EIA Required
Drinking Water Supply	Population 5000-50 000	Population above 50 000
Water Treatment	More than 25 litre per second	-
New Irrigation System		
• Mountain and hill area	25-200 hectares	Over 200 hectares
• Hill valley	25-500 hectares	Over 500 hectares
Restoration of Irrigation System		
• Mountain and hill area	Changing headworks or	
• Hill valley	main-line alignment.	
Electricity Generation	1-10 megawatts	Over 10 megawatts

When IEE or EIA is required this will be prepared and approved in line with the national legislation and sub-sector guidelines, in phases:

- Environmental screening and assessment and identification of potential negative (and positive) impacts shall always be included in the WUMP in the planning phase. WUMP should identify which schemes need further environmental analysis;
- In very special cases if environmental risks are deemed high, a separate feasibility study will be made between the Planning Phase and Preparatory Phase, including among other things preparation of EIA. If so, a Consultant or SO will be hired and funded from DWRDF specifically for the feasibility study;
- Normally, IEE or EIA shall be done during the Preparatory Phase (as a part of feasibility of the scheme) if necessary.

Adherence to Step-by-Step Manual

All activities should be implemented following the Step-by-Step Manual developed by the Project. The Step-by-Step Manual will also include the procedures, specifications and formats for all different types of schemes possibly implemented based on WUMPs. Schematic presentation of the Step-by-Step flow chart is presented in Annex 1.

3. SCHEME CYCLE

All the activities to be supported from District Water Resource Development Fund (DWRDF) should strictly follow this Project Implementation Guideline and the Step-by-Step Manual. The Manual is based on the experiences gained from the RWSSSP in Lumbini Zone Phases I - III. Basically, a complete cycle of a scheme involves four phases, each phase including several steps. Detailed guidelines and formats to carry out various activities in these phases are provided in the Step-by-Step Manual (step-by-step flow chart is presented in Annex- 1). The phases and their corresponding steps to be followed are discussed in the following sections.

3.1 Planning Phase

Planning Phase has six (6) steps. Water Use Master Plan of Proposed VDC is formulated during this phase. Steps to be followed and the roles and responsibilities of each actor follow in the succeeding sections.

Step 1: Selection of Project VDCs

The DMC will analyse available secondary data of all VDCs on poverty status, composition of ethnicity, status of women, water resource facility and access to motorable road-head and rank the VDCs in order of priority. A team nominated by the DDC will visit the proposed VDCs and make their recommendation for the selection. All the proposed VDCs will be assessed by the team and the selection will be discussed in a district level stakeholder meeting. See Chapter 2.1 for more information on VDC selection.

Step 2: Agreement between VDC and DDC

Right after selection of Project working VDCs an agreement will be made between the DDC and the VDC on implementation of the Project. This agreement will be witnessed by the PSU or a WRA on behalf of PSU. The DMC facilitates the contract discussions and finalization. A model contract is presented in the Step-by-Step Manual.

Step 3: CM Selection, Formation of COs and SO selection

Immediately after VDC-DDC agreement VDC will select two Community Mobilizers (CM). Among the two CMs, one shall be from Dalit/Disadvantaged groups (DAG) and one a woman. Full selection criteria are presented in “Social Mobilization Guidelines” of the Project. The DMC will facilitate the process and check that the Project criteria are fulfilled. The DMC shall take the service of the selected candidate(s) with support of VDC on the basis of “Service Contract” for one year at a time with possibility of extension up to the end of the project period and the WRA shall pay CMs’ salary and allowances for the time being. More sustainable solution shall be sought for the future. The basic idea is that the local agencies/actors would gradually assume more responsibility for hiring CMs either through VDC funds or money generated by WRMC.

Two Community Organizations (COs, one of male and another of females) will be formed at a cluster level. All households in a cluster shall be represented in a male CO and a female CO. A mass meeting elects the chairperson and manager of the CO. Existing COs will be used where available. These will be reoriented and missing households will be included in the COs.

After selection of Project VDCs by the DDC, the DMC invites proposals for selection of SOs. SO(s) will be selected for each Project VDC according to SO selection criteria. SOs will carry out Baseline Data collection before and during WUMP preparation, assisted by CMs. SOs will also support the WUMP preparation and, based on a separate agreement, support implementation of schemes after WUMP completion.

Step 4: Baseline Data Collection and WUMP Awareness Campaign

The selected CMs and SO(s) will carry out household level Baseline Data Collection in the VDC according to guidelines and formats of the Project. CMs and SO(s) are also responsible for organising a WUMP awareness campaign before the preparation of WUMP is started to enhance people's understanding of and participation in the water use master planning process.

Step 5: Preparation of Water Use Master Plan (WUMP)

Preparation of WUMP is a participatory process lead by a VDC. A support organization consisting of a (technical) Consultant and a local NGO or individuals for the social assessment, will support the VDC in WUMP preparation and carry out key tasks of WUMP for data collection, analysis, and reporting.

Project Support Unit Dhangadhi will manage an appropriate SO (technical + social) to carry out Water User Master Plan, including GIS mapping of selected VDCs of the district. Community Organizations (COs) will be instituted in each clusters. Water Resources Management Committee will be formed to represent COs of all clusters of the VDC.

The WUMP process has 17 steps, which are explained in details in the “WUMP Preparation Guidelines” of the Project. The steps cover among other things the following issues:

- Orientation on project modality, water resource management and health and sanitation will be conducted for COs/WRMSCs and WRMC.
- Selected SO will carry out data collection work at cluster level, CMs will assist in data collection as enumerators. During the process socio-economic, health and hygiene behaviour, technical data will be collected using prescribed format in close co-ordination with COs. All the existing and potential water sources should be measured and technical evaluation of existing drinking water/irrigation schemes done. Global Positioning of water sources, clusters, location of local materials should be taken carefully.
- After the data enumeration, situation analysis report and map on topographic map will be prepared.
- Participatory planning workshop at VDC level will be organized to plan the water resource program as per the situation analysed. The workshop will be participated by WRMC, representatives of COs, VDC and key political leaders. The workshop will propose the draft plan for WRM development within the VDC.
- Draft WUMP will be prepared incorporating the plan prepared by the community and draft WUMP will be presented at VDC level workshop.

The WUMP will be finalized after incorporating comments and suggestion received from the communities. Formal approval from the VDC will be required after WUMP report finalization.

Final WUMP along with GIS map will be submitted to PSU for comments and to DDC for final endorsement.

The DDC should ensure the accuracy, water rights consistency and feasibility of the WUMP, before endorsement.

A duly approved and endorsed WUMP (including scheme priority list(s)) will be a water resources sector planning tool in VDC and DDC for coming years.

Step 6: Annual Implementation Planning Based on WUMP

Annual planning cycle in rural areas consists of:

- Communities plan and propose activities to VDC through ward level
- VDC compiles and prioritises community proposals (using WUMP as one of the key planning tools); VDC council endorses the annual program by end of January
- Ilaka level programs are compiled by the 1st week of February
- DDC compiles and endorses annual plan by 1st week of March

Principally, RVWRMP aims to support this planning process and try to integrate district Project planning into the cycle. However, in RVWRMP the DDC has some flexibility to plan and revise plans based on actual needs – within the limits of the budget for a Fiscal Year.

RVWRMP promotes utilization of Water Use Master Plans in annual planning, both among local bodies and among donors/ projects/ NGOs/ INGOs working or aiming to work in the concerned VDC.

From time to time WUMP should be reviewed and up-dated by the VDC to reflect changed circumstances in the VDC. It is recommended that VDC should regularly up-date its WUMP at least for 5-year period planning.

3.2 Preparatory Phase

Assessing the technical and financial viability of the proposed scheme and making the users ready and capable to shoulder the implementation responsibilities of the scheme(s) are the main activities during the Preparatory Phase. During this phase, information collected and analysed in WUMP will be utilized for the planning. The User Committee is formed and registered. Training on various aspects of management as part of capacity building of UC office bearers is organized. Cash contribution from the users (part of cost sharing for investment) and VDC is collected. The collected amount is deposited in the UC account opened in a bank during this phase. The UC account is administered and managed by the UC office bearers independently.

Step 7: Agreement for Preparatory Phase

The DMC prepares papers for a tri-partite agreement, which is signed by the DMC on behalf of the DDC, the concerned VDC and the SO and will be witnessed by WRMC. A model agreement is found in the Step-by-Step Manual of the Project.

Step 8: Community Mobilisation for the Scheme, Scheme Formulation and Formation of User Committee

Already before this step, in the Planning Phase various social mobilization interventions have taken place, including among other things:

- Formation of Community Organizations (CO);

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- Recruitment and training of Community Mobilizers (CMs);
 - Formation of Water Resources Management Committee (WRMC) and sub-committees;
 - Various awareness raising and capacity building activities;
 - Informal communication and interactions during baseline data collection and WUMP field work.

Beneficiary community will be further prepared for the scheme activities by conducting various PRA exercises:

- Community resource mapping;
- Wealth ranking;
- Awareness raising and training activities;
- Formation of User Committee(s).

In RVWRMP users are regarded as the real owners and managers of a scheme. Sustainability of a scheme largely depends on the effective functioning of users and their representatives in implementation and management of scheme. Therefore, selection/election of the UC office bearers should be done properly. The number of members in a UC is determined by the users themselves in a range of 7 to 11 depending upon the size of a scheme and population to be served by the scheme.

A separate meeting among men and women should be organized to select their representatives. All the caste/ethnic groups and clusters with at least 2/3 of the households should attend the meeting. Minimally, equal number of participation of male and female will be ensured in the formation of Users' Committee and at least one female member shall be in key position. Key positions are the Chairperson, Vice-chairperson and Treasurer. The Secretary and Treasurer must be literate to be able to carry out their responsibilities. Proportionate representation of Dalits and other disadvantaged groups will be ensured in WRMC, WRMSC and UC.

After the women have selected their representatives, a mass meeting of the all users should be organized to form a UC. VDC representatives, SO representatives and social workers such as FCHVs, TBAs and teachers should also be invited in the meeting. UC members are elected in the meeting. Key positions and their corresponding role and responsibilities should be agreed among the elected members and get endorsed in the mass meeting. Representation of one woman and one man from at least 2/3 households should be in the meeting.

The Project adheres to the Government of Nepal legislation and guidelines concerning the User Committees. UC formed shall be registered under Water Resource Act, 1992. The SO supports UC to have sample of constitution, to formulate their own constitution and in the registration process.

Step 9: Other Preparatory Works

This step includes initial planning of the scheme, reconnaissance survey in the field, and preparation of a detailed lay-out plan in case of water supply, irrigation or micro-hydro scheme. In case of a sanitation scheme, interested households and institutions are identified. A number of village level trainings will be organized.

A Desk Study is done to analyse available information and to get a general idea about the scheme. Information from the Pre-feasibility Study/ WUMP, baseline data on hygiene and sanitation situation, socio-economic condition and technical aspect, community map and initial layout plan of the scheme and district as well as VDC map should be studied.

The Survey Team, in close co-operation with the UC and the community, should next carry out a Reconnaissance Survey (Feasibility assessment) which includes:

- Measurement of the source yield
- Reconfirmation that there are no disputes relating to the water rights in the community,
- Marking the sites for structures as close as laid down in the Layout Plan,
- Measurement of the level difference of the proposed structures by an altimeter, and Measurement of the alignments of pipelines/ canals.

A mass meeting should be organized inviting the concerned VDC officials and user households. Representation of one female and one male member from at least two-thirds of the user households including all the caste/ethnic groups and clusters is mandatory while holding this meeting. At least two-thirds of the user households with more than 50% presence of women are regarded as the minimum quorum for the meeting. If the presence of the women is less than 50% and 2/3 households are not represented, the meeting should be postponed for the day convenient to all concerned. Number of taps/wells/outlets, location of main structures and pipeline/canal alignment has to be agreed in the meeting. Final confirmation of the Layout Plan is made only after the Detailed Technical Survey of the scheme has been undertaken. In case of stand alone sanitation scheme households interested in latrine construction is discussed and finalized.

Upon holding of the mass meeting, a separate meeting of women should be organized to determine the preference of tap/well locations. Participation of at least one woman from each household is mandatory in this event. Separate meeting for Dalits and other vulnerable groups will also be held, if necessary (in case of restricted opportunity).

Generation of O&M Fund in the community is started at this stage.

The preparation of the detailed design, Bill of Quantities and cost estimate basically involves deskwork in which only the technical staff is busy. Meanwhile, the other staff can be utilized in organizing training and seminars (step 9.1) in the field aimed to enhance the implementation capacity of the UC. The SO will prepare time schedule for the training in consultation with UC.

- Orientation Seminar on Working Procedure of UC.
- UC Orientation Seminar on Hygiene Education and Sanitation (HSE)
- GESI Training
- Formation of Mothers' Group (MG) and HSE Training
- Financial Management Training to UC
- Community Action Plan Preparation Training to UC

The survey team should request for a UC meeting before the fieldwork for Detailed Technical Survey of the proposed scheme in order to inform the users of the works to be done during the survey. The team should be assisted by the UC to carry out the survey tasks. Survey team

should refer to WUMP as a guide for detail technical survey. If the scheme recommended in the WUMP found technically unfeasible during detail technical survey, the survey team should immediately discuss with the WRMC and report to the DMC to find alternatives.

Upon the completion of the Reconnaissance Survey, the Survey Team conducts the Detailed Survey. If the terrain is steep enough and the scheme has less than 1,500 meter of pipe length, an Abney Level can be used. If terrain has a gentle slope and level difference is critical as measured with altimeter, a theodolite should be used. In case of irrigation scheme, entire irrigation system should be surveyed. UC should provide the help requested by the survey team.

Step 10: Detailed Design, Bill of Quantities and Cost Estimate

After the completion of data processing, detailed design of a scheme should be prepared as per the Design Guideline given in Step-by-Step Manual.

Once the design is prepared Bill of Quantities for each component is calculated based on the Norms and Standards approved by the government. It includes the volume of works, materials (local and non-local) and labour (skilled and unskilled) needed for scheme. There is a provision in the project to allocate up to 5% of the scheme cost for special support to the poorest of the poor, this should be discussed with the community during preparatory phase. The scheme contingency of 5% can be broken down to UC management cost of up to 2%, supervision and monitoring cost of up to 1% (in addition annual administrative budget of the district can be used for such activities) and at least 2% construction contingency. The DMCs will also coordinate with District Education Offices for literacy activities in the scheme areas and up to 1% of scheme cost can be used for improving the literacy of users, especially women, Dalits and other DAGs. If these provisions are used all expenditures should be mentioned in the Measurement Book.

Costing of the items is done based on the approved district rates. The materials not specified in district rates are estimated using the prevailing market rates (DMC follows the approved district rates for each of the required items). Costing of a scheme is compiled in separate sheets for each component.

Design Report of a scheme contains Bills of Quantities with materials and labor breakdown, cost of materials, labour, transportation, sanitation activities, total cost, contributions and cost per capita. Management cost for UC as per the provision made in the LBFAR 2064 (2007) should be also included in the cost estimate. Also monitoring cost should be included. Scheme cost estimate shall also include the scheme level training/capacity building cost. Overhead cost of DDC and VDC, if any, shall be included in the cost estimate. If DDC or VDC overhead cost is not specified in the Design Report then that overhead is considered as nil or to be covered separately by DDC or VDC, respectively.

Design report shall be produced in English and in Nepali.

DMC will send a copy of all Design Reports, in English and Nepali, for information, possible checking and for filing to the PSU.

Step 11a: Preparation and Finalization of Community Action Plan (CAP)

After completion of the detailed technical design, Bill of Quantities and cost estimates, and training/ seminars, CAP should be prepared and a mass meeting of the users organized for their approval. DMC should also attend the mass meeting as part of the second monitoring visit.

UC prepares a draft CAP indicating clearly “What, When, Where, Who and How” about the activities planned for the Implementation Phase in assistance of SO. The activities to be included in CAP include collection of local materials, collection of cash contribution from the users and from the VDC, purchase of non-local materials and transportation, construction of different structures and labour contribution to the scheme.

The CAP prepared by a UC and the detailed design and cost estimates of the scheme should be appraised by the mass meeting of users with representation of 50% of women, proportionate representation of DAGs and 2/3 of households. Cost estimates of the scheme should also be presented and discussed in the meeting. Also VDC should agree on the scheme design, cost estimate and CAP and express its commitment in the scheme implementation and (partial) funding from VDC.

The proposal agreed on by the mass meeting and VDC should be submitted to DMC for endorsement.

Step 11b: Final Approval by DDC

DMC should check the following aspects before making recommendations on the scheme proposals for DDC for approval:

- accuracy of technical design, Bill of Quantities and cost estimates
- registration of UC and opening of its bank account
- cash contribution from users is collected and deposited in the bank account of UC
- SO has completed all contractual responsibilities of Preparatory Phase Agreement.

3.3 Implementation Phase

Implementation Phase will put the plan prepared in Preparatory Phase into action. Material procurement, physical construction, training and seminars form the main activities during the implementation phase. The duration of this phase ranges from six months to two years depending upon the size of a scheme.

Step 12: Implementation Phase Agreement

Implementation Phase starts by signing agreement between UC, VDC, DDC and SO. The DMC will facilitate preparation of the agreement. A model agreement is presented in the Step-by-Step Manual of the Project.

Implementation Phase agreement can also include an option to continue activities in the Post-Construction Phase.

Step 13: Training and Seminars, Construction and Other Activities

A pre-construction seminar should be organized and CAP reviewed after the release of first instalment to UC and SO. Collection of local materials and procurement of non-local materials, transportation, store management etc. take place before the commencement of construction works. Support and assistance should be provided to the UC in managing collection of local materials, purchase of quality construction materials, supervising the quality workmanship, maintaining proper accounting and bookkeeping. Refer to Annex 8 for description of the procurement procedure. Such activities should be closely guided, supervised and monitored in time by SO or individual technical person as well as by the DDC, DTO and the Project whenever needed.

Construction review seminar participated by all the user households should be organized during the peak period of the construction activities preferably before the release of the second instalment to UC. Details on income and expenditure status of the scheme should be presented and get endorsed in the seminar.

Income generating and livelihoods activities as identified during WUMP preparation and social mobilization and as planned in the CAP are implemented according to need, feasibility and market accessibility of the VDC. Capacity building and skill development for such activities is crucial. For the purpose necessary training are provisioned in preparatory phase itself. In this phase income generating activities are initiated. Similarly, revolving loan fund is established for operation and maintenance of water supply/irrigation/sanitation/micro hydro projects and for income generating purposes.

Step 14: Post-Construction Seminar and Public Auditing

Post-construction Seminar is organized after the completion of a scheme. The seminar should be focused on making realistic plan for future management and O&M of schemes, water/energy tariff collection, remuneration to VMW or other hired staff and environmental sanitation in community. Furthermore, activities to be initiated by a UC in close cooperation with VDC for tapping the resources from the various agencies involved in development are discussed. Plan for formal inauguration of scheme is also discussed if the users like to organize one. The plan should be finalized in a mass meeting with representation of 50% of women, proportionate representation of DAGs and representation of 2/3 of households. The UC should present status of income and expenditure and the materials in the store in detail to the mass. Users will review and approve the income and expenditure as well as the impact of the scheme will be assessed in the seminar. Plan and necessary regulations for the mobilization of revolving loan fund from the O&M fund is also prepared and endorsed during the meeting. An agenda for the seminar is suggested in the Step-by –Step Manual.

In the post-construction seminar the people will also discuss about and agree on continuation or starting, if not already initiated, a livelihoods and income generating program.

3.4 Post Construction Phase

Step 15: Agreement on Post-Construction Phase

The agreement between UC, VDC, DDC and SO will be continued (or a new SO assigned) for the post-construction activities. The agreement will be based on the updated CAP. A new SO is necessary if the performance of the previous one has not been fully satisfactory, or, if specific skills or knowledge is needed to complement those of the previous SO.

Step 16: Post-Construction Activities

This step mainly includes the following:

- Review of CAP
- UCs in assistance of VMW to continue the operation and maintenance of scheme/s.
- Income generating/ livelihoods activities that started in implementation phase continue and further expand.
- The revolving fund mobilization for income generating/livelihoods activities and sanitation activities.
- Continuation of household/institutional latrine construction as well as HSE awareness campaign and seminars.
- Continue saving/ credit activities of the COs for livelihoods/ income generation purposes
- Training and Capacity Building (e.g. leadership training for women and DAGs)
- Support Visits and Studies

4. ROLES AND RESPONSIBILITIES OF MAJOR STAKEHOLDERS

The project period is divided into four phases where various stakeholders work as per assigned roles and responsibilities. Project phases and roles and responsibilities of the stakeholders are outlined below:

4.1. Planning phase

This is the first phase of the project cycle. Roles and responsibilities of various stakeholders during the phase are as per the following:

DDC:

- Selects the project VDCs following the criteria stipulated for VDC selection
- Signs the agreement with selected VDCs
- Endorses SO selection proposed and recommended by DMC
- Monitors WUMP Preparation activities carried out by SOs/consultants
- Endorses WUMP approved by the VDC

DMC:

- Analyses secondary information/field verification of the proposed VDCs
- Recommends Project VDCs' list to DDC
- Prepares agreement papers and required documents

- Carries out SO selection process.
- Selects SO and recommends DDC for endorsement
- Appoints CMs and mobilises & monitors their work in the project activities
- Monitors WUMP preparation practices and provide feedback to WRMC and SOs/consultants
- Checks/verifies WUMP reports and recommends to DDC for endorsement
- Facilitates VDC in CM selection process

DTO:

- Facilitates DMC in evaluation and selection process of SOs
- Verifies water resources inventory

VDC:

- Shows commitments to implement Water Resources programmes
- Signs the agreement with DDC
- Involves, monitors and supports in WUMP preparation processes
- Monitors/facilitates the work of CMs in project activities
- Approves WUMP through Village council
- Supports in formation, registers COs/WRMC and monitors the activities
- Owns the WUMP and incorporates in the VDC periodic plan
- Recommends WUMP to DDC for endorsement

PSU:

- Facilitates DMC in information analysis of the proposed VDC
- Facilitates DDCs and VDCs during agreement
- Employs SOs/consultants for WUMP preparation
- Supports WUMP monitoring activities
- Facilitates VDC during finalization and approval of WUMP
- Facilitates VDCs and DDCs for WUMP endorsement
- Initiates capacity enhancement activities for WRMC/COs/CMs

WRMC/SC:

- Maintains coordination/community mobilization
- Supports to SO/consultant during WUMP preparation
- Prepares and finalizes WUMP
- Recommends VDC for approval
- Resolves water resources or other social disputes
- Explores district and national level resources for WUMP implementation

SO/Consultant:

- Facilitates COs/WRMC/SC during social/technical assessments
- Facilitates WRMC/COs in WUMP planning Work Shop/seminar
- Provides trainings to WRMC/SC/CO or as required
- Facilitates WRMC and VDC to finalize WUMP
- Maintains regular coordination among stakeholders and participates in the programmes organised by DDC, VDC, WRMC and RVWRMP
- Prepares WUMP reports

CO:

- Involves in social and technical assessment
- Supports in WRMC/SC formation
- Initiates regular savings activities

4.2. Preparatory Phase

Preparatory phase is the second one and considered as the foundation of scheme implementation. Roles and responsibilities of various stakeholders during this phase are mentioned below:

DDC:

- Signs agreement of preparatory phase
- Releases agreement amount on instalment basis from DWRDF to SO's account
- Monitors and evaluates performance of SO and preparatory phase activities
- Extends duration of the agreement of SO as recommends by DMC.

DMC:

- Assists UC for registration under District Water Resources Committee.
- Prepares preparatory phase agreement papers and necessary documents
- Provides technical backups to UC and SO
- Provides district rates and norms to SOs for design report preparation of schemes.
- Approves scheme and Community Action Plan.
- Ensures that SO staffs are deputed as proposed and following professionalism
- Monitors proper follow up of step by step procedures and implementation guidelines regarding the activities of preparatory phase
- Recommends to extend duration of the agreement of SO, if found reasonable.

DTO:

- Supports UCs and SOs in technical matters.
- Carries out technical feasibility, detailed survey and prepares design reports, cost estimates etc. of schemes, If SO can not provide technical human resources.
- Monitors the activities
- Checks design reports and cost estimates prepared by SOs and suggests for improvement if needed
- Approves/recommends for approval of the design reports and cost estimates to the concerned authority
- Recommends to DDC for SO payments.

VDC:

- Signs the agreement of the preparatory phase
- Supports in forming UC for democratic and inclusive representation.
- Supports UCs in registration under Water Resources Act.
- Registers COs as per Local Self Governance Act.
- Actively participates in monitoring
- Provides written commitment to DDC for cash contribution as project guidelines.

PSU:

- Formulates and provides necessary guidelines and manuals
- Supports SOs/DTOs by providing training and design software
- Reviews the human resource requirement of districts and provides support accordingly
- Supports in monitoring and evaluation of the project activities as required by the district
- Follows up the district projects activities.

WRMC/SC:

- Supports COs to form Users Committee (UC)
- Participates in trainings, layout of scheme and detail technical survey
- Participates in monitoring
- Assists to UC as required

UC/Users:

- Organizes mass meeting and decides scheme layout plan
- Participates and assists in feasibility and detail technical survey
- Selects participants for trainings/participates in training as required
- Prepares community action plan providing responsibilities to all sections of community
- Collects investment and O&M fund from users.
- Conducts public hearing to ensure the activities are carried out properly.
- Recommends to DDC for SO payments.
- Submits CAP and final reports to DDC

SO:

- Submits application/technical proposal to DDC,
- Signs the agreement of preparatory phase
- Facilitates COs to form Users committees
- Facilitates UC on preparing legislation (Bidhan) and registration
- Conducts different trainings and facilitates to UCs for selection of participants.
- Facilitates in scheme layout and UC meetings
- Conducts feasibility and detail technical survey
- Prepares design, drawings, cost estimate and BOQ of scheme according to district rate and technical norms.
- Coordinates among the stakeholder and submits the monthly progress reports to DDC.
- Facilitates to CMs for COs activities with in the scheme area.
- Submits the final reports of preparatory phase including design and estimates of the scheme.
- Submits proposal for implementation phase.
- Facilitates UC/COs and other Users (livelihood groups) in their various activities (eg. O&M fund including investment fund collection, livelihood and micro credit activities etc.) in their scheme area.
- Facilitates UC/users for public hearing.

CO:

- Involves in Users committees formation
- Supports SO in technical survey and other related activities.
- Carries out saving/credit and other activities

4.3. Implementation Phase

Construction activities are carried out during Implementation Phase. Roles and responsibilities of various stakeholders during this phase are mentioned below:

DDC:

- Signs the agreement with VDC, UC and SO.
- Releases instalment to UC's and SO's account timely
- Extends duration of the agreement of SO and UC if recommended by DMC.
- Reviews and decides on SO involvement as recommended by DMC.
- Contributes in scheme investment.

DMC:

- Prepares agreement papers and necessary documents
- Monitors the activities and recommends DDC for payment
- Ensures completion of the activities
- Provides technical backups to UC and SO.
- Monitors and evaluates implementation activities and performance of SOs and UCs.
- Recommends to DDC to take action against the SO if performance find unsatisfactory.

DTO:

- Signs on agreement.
- Assists to prepare agreement documents
- Monitors, supervises the activities and ensures quality of construction and materials.
- Makes technical evaluation of the schemes.
- Prepares and verifies entries in the measurement books & bills of the completed works / Checks and verifies entries in measurement books & bills prepared by SOs.
- Recommends DDC for payments of bills to UCs and SOs

VDC:

- Signs on agreement.
- Matches the VDC fund to UC account as per agreement.
- Monitors and evaluates implementation activities and performance of SOs and UCs and recommends to DDC for corrective measure
- Recommends to DDC for final payments of UC and SO
- Shares the experiences of UCs of a completed scheme to educate other UCs
- Supports to communities to enhance livelihoods, to improve water supply and sanitation facilities and generate fund

PSU:

- Supports in monitoring and evaluation
- Follow up the district projects activities.
- Facilitates to district project in implementation of project activities.
- Provides technical and financial support in District level and VDC level trainings (WSST, Design software, WRMC/CO related trainings).
- Monitors DWRDF mobilization and utilization.
- Assists DMC in the formalization of COs/UC into legal institution such as cooperative

- Provides technical and financial backstopping for capacity building and overall management of developed institution in sustainable manner.

WRMC

- Supports UC in local resource mobilization and monitors the implementation level activities
- Coordinates with DDC, VDC and UCs.
- Mobilises the community in implementation level activities.
- Supports COs/livelihood groups/UCs in livelihood and micro finance activities and monitors the activities

UC:

- Signs on agreement
- Procures construction materials as per specification
- Manages transportation and storage of materials
- Mobilizes local resources for project activities
- Participates in trainings, meetings and workshops
- Conducts regular meetings and reviews the activities
- Maintain proper book keeping/record keeping
- Maintains project hoarding board with details of layout/estimates of the scheme
- Conducts public hearing and public auditing and updates project hoarding board
- Recommends to DDC for payments of SO
- Evaluates the performance of UC and SO and their roles in scheme implementation

SO:

- Submits the technical proposal to DDC (if additional set of staffs required for new schemes implementation).
- Sign on agreement.
- Conducts scheme level trainings/workshops/seminars and ensures participation according to GESI policy of project.
- Assists UC in procurement and transportation of materials and construction work
- Ensure the quality of materials and workmanship
- Assists in social mobilization and livelihoods activities
- Prepares measurement book and bills of the completed works
- Participates in monitoring
- Helps UC on public hearing and auditing
- Submits the monthly/final progress reports to DDC/DMC.

CO:

- Runs regular saving and credit scheme for income generating and livelihoods promotion activities
- Generates O&M fund and mobilize the community for regular operation and maintenance of the scheme

4.4. Post construction Phase

Post construction phase is the last phase of the project. Most of the activities during the phase have to be conducted by Users/ User Committee itself. Other stakeholders will support on monitoring and follow up activities of the scheme.

DDC:

- Signs on agreement with VDC, UC and SO
- Monitors and follows up of the activities

DMC:

- Assists DDC in monitoring, evaluation and follow up of the scheme
- Facilitates UC/COs/livelihood group in livelihood and micro finance activities

DTO:

- Assists in follow up of the scheme
- Monitors and supervises the activities

VDC/WRMC:

- Monitors, reviews the activities
- Supports on livelihoods and income generating activities
- Coordinates among stakeholders (DDC/DWSSDO/DTO and others) and resources mobilization.
- Assist in water sources protection and conservation.
- Allocates some fund for O&M annually.
- Facilitate to UC to formulate O&M system (water tariff, mobilization, VMW incentive)
- Actively seeks support for further implementation of the WUMP reflected activities
- Update WUMP in regular interval

PSU:

- Supports in monitoring and evaluation, as well as impact analysis.
- Provides seed money to UC, WRMC or CO following project policies and guidelines

UC:

- Prepares action plan for post construction activities
- Follow up the activities.
- Conducts operation and maintenance of the project regularly
- Formulate O&M system (Mobilize and manage the O & M fund, Collect the water tariff from beneficiaries regularly and Ensures VMW services).
- Takes full responsibility for O&M of the system for at least 6 months after construction.
- Promotes HSE activities and ensures source protection.
- Conducts public hearing and public auditing
- Maintain proper book keeping/record keeping

SO:

- Conducts review meetings
- Conducts refresher training as required
- Supports UC in fund management and income generating activities

- Facilitates UC for post construction planning

CO:

- Continues income generating activities
- Assist the members to scale up existing and establishment of new exotic/indigenous enterprises

5. SUPPORT ORGANISATIONS

RVWRMP scheme related activities will be carried out in four different phases, i.e. planning, preparatory, implementation and post construction phase. In all phases social and technical support is needed to the communities for the implementation of project activities. DMC will approve the selection of private support organizations (NGOs, private consulting firms, individual persons) on the basis of free, transparent and competitive bidding and will be duly endorsed by the DDC. Public partners such as the DTO, WSDO, DAO, DISCO and LDF/DLGSP can act as SOs but shall not participate in competitive selection of support organizations – public partners can involve based on negotiation with DMC/DDC. Similarly, NGOs, INGOs, Projects and institutions that wish to cooperate with the Project can agree directly with the DMC/DDC about the support they can provide (free of cost).

During planning phase the local SOs, selected by DDC on competitive basis, will be responsible for Baseline Data collection and WUMP awareness campaign. In Planning Phase preparation of WUMP is the major activity and is a highly professional job for which PSU will hire the consultants and local SOs to assist VDC for preparation of WUMP. DMC will be the main responsible actor to facilitate the WUMP preparation process in close coordination with DDCs/VDCs/WRMC.

Also, local Support Organization will be engaged in scheme related activities in preparatory, implementation and post construction phase of the schemes and they are responsible to facilitate the UCs in social mobilization/capacity enhancement, technical backup as well as effective and efficient resource mobilization at village level.

The procedures to be followed in carrying out the activities in each phase of schemes are provided in detail in the Step-by-Step Manual, prepared by the Project. The type and nature of social and technical works in each phase follows as:

5.1. Nature of SO's Work in Scheme Cycle

5.1.1. Planning Phase

Preparation of WUMP is a key activity of Water Resource Management Programme to be implemented in VDC. Series of meetings with users, COs and WRMC/VDC at village level and DDC and other stakeholders at district level is required to accomplish the task. During planning phase the local SO is also responsible for Baseline Data Collection. Major tasks where SO (Consultant and NGO) is involved to prepare WUMP includes;

- Household survey and WUMP awareness
- Formation of Water Resource Management committee (WRMC) at VDC level, comprising representatives from each Community Organizations (COs).
- Orientation and capacity building to WRMC.
- Technical assessment of existing water uses.

- Identification of potential water source for optimal use of water at village level.
- Situation analysis and analyze water demand and prepare initial layout plan with cost estimation for different drinking water/sanitation/irrigation/micro-hydro schemes within the VDC.
- Participatory Planning Workshops at CO, VDC and DDC level.
- Water Resource Management GIS mapping.
- Presentation of draft WUMP
- Finalization of WUMP
- WUMP approval from VDC and endorsement by DDC

Detailed TOR of WUMP preparation is presented in WUMP Preparation Guidelines

5.1.2. Preparatory Phase

DDC will hire capable Support Organization (SO) by competitive bidding process to facilitate in preparatory phase activities of the schemes. However, the SO, which has been selected on competitive basis in the planning phase, may continue from the planning phase to preparatory phase and further in the implementation phase if the SO's performance is fully satisfactory in previous phase. SO will work in close coordination with DDC, VDC, WRMC, UC and COs. A number of meetings with concerned stakeholders at village level are required to accomplish the task.

Major social mobilization tasks of SO in this phase are;

- Mobilization of community
- Formation of UC.
- Support UC in Layout Plan preparation.
- Conduct Different Trainings for communities/UCs on
 - ✓ Health Education and Sanitation to UC, COs, FCHV/MG
 - ✓ Operational Procedure
 - ✓ Financial Management Training including; Book Keeping, Store Management and Procurement
 - ✓ Training on quality of construction materials/pipes/fittings
 - ✓ Design, estimate and community action planning
 - ✓ Environment and Water Resource Management
 - ✓ Gender equality and social inclusion
 - ✓ Solid Waste Management
 - ✓ Income Generation Training as identified by COs.
- Preparation of Community Action Plan (CAP)
- Organize mass meetings of users separately with women, men and jointly during user committee formation to make gender sensitive decisions.
- Join the monitoring team and participate during preparation of monitoring report.
- Regular reporting to the DDC through DMC

The main technical tasks of SO in the preparatory phase are:

- Detail technical survey of the schemes (water supply, sanitation, irrigation,).

- Detail design of schemes and preparation of detailed drawings, cost estimates and BOQ.
- Organize appraisal of design, cost estimate by the community.
- Look after that all technical matters related to coming scheme activities are considered e.g. collection of local material, procurement of pipes and fittings, cement.
- Finalization of CAP

5.1.3. Implementation Phase

After successful completion of the preparatory phase of the scheme and if communities are ready to contribute as per project guideline, the scheme will enter into implementation phase.

Major social mobilization and capacity building tasks of SO in this phase are;

- Organize pre construction and construction review seminars
- Organize refresher trainings
- Organize mass meetings and public hearing
- Conduct hygiene and sanitation promotion program.
- Join the monitoring team and participate during preparation of monitoring report.
- Facilitate in preparation of operation and maintenance plan
- Conduct post construction seminar
- Conduct public auditing seminars.
- Regular reporting of the progress to the DDC through DMC

Main technical tasks of SO in the implementation phase are:

- Advise and facilitate the UCs to identify and procure qualitative construction materials.
- Check and ensure the quality of construction materials.
- Facilitate the UC for proper selection and use of the local construction materials.
- Continuous supervision of construction works to ensure quality and timely completion of the scheme.
- Facilitate the monitoring team by providing necessary information and support on preparation of monitoring report. (Submission of e.g. meeting, work contribution and beneficiary log sheets.)
- Support to conduct LLB, RWH mason and VMW trainings.

5.1.4. Post-Construction Phase

After successfully completion of all construction activities and financial clearance by the DDC, the post construction activities will start to ensure the sustainability of the schemes. Major tasks of SO in this phase are;

- Mobilize community for establishment of system for smooth management, operation and maintenance of the scheme.
- Support UC/COs to mobilize revolving loan fund
- Support UC/COs to run income generating/livelihoods activities.
- Support WRMC/UC/CO to develop linkage with other concern organization.
- Support UC/COs to follow the operation and management plan.
- Follow-up and continue backup support to WRMC/UC/COs.

5.2. Support Organizations (SO) Selection

To implement the RVWRMP scheme related activities, User Committees needs social and technical support in different phases as per the nature of works. Support Organizations will help and facilitate the UCs in managing and implementing the schemes. Private organizations (NGOs, engineering consultant, local clubs, Mothers' Groups, User Committees/associations or other community organizations) can be engaged as a SO. Depending upon the requirement, close co-ordination will be established among other government and non government agencies working in the VDC. DMC may decide to collaborate with such agencies, which have established network and proven excellent social mobilization work in respective VDCs.

To facilitate UCs to implement scheme activities, SO will be selected on the basis of their experience on social mobilization, implementation of water resource activities and human resources capabilities. For hiring the SO, different option will be looked out as per their strength in the district.

Option 1: District/region based SOs that could facilitate in social mobilization as well as technical (civil engineering) works and have well experienced human resources in water resource development sector (district based SO will get high priority).

Option 2: In case of lacking the technical (civil engineering) strength of SOs in the district, DMC may separate the scheme works as social and technical. Local SO may facilitate in social activities of the schemes and technical work will be facilitated by DTO technical staffs (Engineer and Sub-engineer level) with technical backup support from PSU. In such case DTO provides engineer and sub-engineer level service to the scheme implementation (one sub-engineer from DDC/DTO and one from PSU will be exclusively deployed in each district) and Water resource technician (WRT) level human resource will be mobilize by selected social SO.

Option 3: For the schemes such as micro-hydro that requires highly professional technical human resource, DMC will invite separate technical and financial proposal from experienced consultants on MHP to facilitate technical works for scheme implementation. DMC may also hire experienced contractor to construct the micro hydro project. For hiring the consultant and contractor, Government of Nepal rules and norms will be followed. Alternatively, DMC may decide to make an agreement and assign the works related to MHP to Rural Energy Development Section (REDS) which shall bear the whole responsibility and facilitate UC to implement the scheme as per the rules and regulation of AEPC/REDP.

5.2.1. Selection process

SOs will be selected on a competitive basis. DMC is responsible for the selection process in the district. The selection process shall be transparent and follow the procurement rules and guidelines of the local governments (DDCs).

Basic Criteria for SOs

The pre-requisites to apply for pre-qualification to be engaged in the Project activities shall be as:

- Must be registered under GON as an NGO or a consulting firm.
- Must have Personal Account Number registration.

- Must have its account audited each year and must submit the last 2 years audit report
- Must have at least two years of experience in implementation of participatory projects in rural water and sanitation and/or community development in the recent past and must submit best example of their works.
- Newly established SOs lacking two years of track record but staffed with adequate professionals in required disciplines having at least five years' experience can also apply for corresponding pre-qualification.
- Must have own professional staff and support staff or in a position to engage these staff.
- The organization must be based in the respective district or have branch office in the district.
- The previously pre-qualified SOs willing to apply for the present work are only required to submit copies of renewal of registration and certificate of audit of preceding year.
- To promote inclusion, SOs with female/disadvantaged group staff will have an advantage.

Pre-qualification methodology

DDC will invite applications for PQ process from interested SOs by publishing a notice in local/regional or national newspaper and on the DDC notice board. DMC will provide PQ format to applicant organization to furnish information to DDC. District based or regional SO having branch office in the district may apply for the pre-qualification process.

The DMC has the authority to disqualify those SOs from the PQ process, whose past performance has been below acceptable level.

Evaluation of information submitted by the SOs will be the main basis for pre-qualification of organizations. PQ process will be done by DMC applying the following parameters and scoring system (Detailed marking system is provided in Annex- 5.1).

;

Parameters	Maximum Scores
General information	10
Experience of organization	15
Organizational set-up	25
Available human resource	50

Evaluation will be made based on the marks obtained by the organization from the evaluation of their information and office visit (if needed). The information will be evaluated based on their submitted documents. To pre-qualify the organization should get minimum score of 60 marks. If the required number of SO could not secure the minimum marks, the notice will be published again. If none of the SOs secures minimum marks in the second attempt, the DMC may consider pre-qualifying those SOs scoring at least 50 marks or may seek PQ applications from regional/ national level organizations. Name list of the pre-qualified SOs will be published on the DDC notice board.

5.2.2. Technical Proposal

DDC shall publish a notice for submission of technical proposals from the pre-qualified SOs. The SOs shall submit a technical proposal for social works but if they have technical (civil engineering) capabilities, they may apply for the technical works also. Evaluation of technical proposal is the main basis for selection of organizations. If required number (at least 3) of SOs fails to submit the technical proposal for technical works, evaluation will be made excluding the marks of technical human resources and comparative chart will be made accordingly.

To get a technical support in highly professional technology, DMC may seek to get support from outsider consultant also. In such a case, DMC may call the proposals and negotiate as per project guidelines with them for technical support in the scheme implementation

Evaluation of technical proposals will be done by following parameters and scoring system (Detailed marking system is provided in Annex- 5.2):

Parameters	Maximum Scores
A. Pre-Qualification score	10
B. Specific experience on water resource activities	10
C. Qualification and experience of proposed personnel	40
D. Quality of proposal	10
E. Interview of proposed human resource	30

Selection of support organization for particular scheme will be made based on the mark obtained by the organization from the evaluation of technical proposal. Evaluation will be made transparently based on the documents submitted by the organization. To select the SO, minimum score should be 60% marks. If the required numbers of SOs can not secure minimum 60% marks, notice will be published again to get the technical proposals from already pre-qualified SOs. If none of the SOs secures minimum marks in second attempt, DMC may consider selecting those SOs scoring at least 50 marks.

After evaluation of the technical proposal, the DMC will negotiate with the highest scoring SOs to finalize the staff's rate based on their qualification and experience. The rate of the staffs should be within the limits set by project. In general cases, only one SO will be engaged in one VDC.

The SO selection process will be done by the DMC in close consultation with the VDC and it should be endorsed by the DDC. Terms of reference for preparing technical proposal (Annex - 4) will be provided for competing organizations.

SOs that will work for RVWRMP schemes are expected to have their own staff. In case of staff hired from outside, officially authorized leave for the duration of the specific phase is mandatory for the staff working for government or government owned corporation or company. This shall be made clear before signing of any agreement with the SO.

In case of any staff mobilized for schemes fails to prove the minimum qualification and experience, the SO contract shall be terminated. The persons proposed for a specific job must work in the scheme and any kind of replacement will not be entertained. In case the SO can't manage to keep all the proposed staff due to circumstances not in their control, the DMC may approve the replacement with due consideration of qualification, experience and competency of

newly proposed staff, in written request by the SO. None of the full time proposed staffs will be allowed to work in other organization or job.

Team composition, desired qualification and experience of staff and maximum rates for human resources are presented in the table below:

Type of Staff	Minimum Qualification	Minimum Experience	Rate per Month NER
A. Social human resource			
Team Leader	Bachelor's Degree in Any discipline	Two years in organization management	15,000-20,000
Field Coordinator	Intermediate Degree in Any discipline	Two years in rural development activities	10,000-15,000
Health Promoter	AHW/CMA/ANM	Two years in rural areas.	7,000-10,000
Account Assistant	Intermediate in Commerce	Two years' experience in Book Keeping and Accounting	9,000 – 12,000
B. Technical human resource			
Sub-Engineer	Intermediate Degree in civil engineering	Two years in design and supervision of water resource activities	12,000- 15,000
Water Resource Technician	Eight years of schooling and Certificate of relevant basic training	Two years in implementation of water resource activities	7,000 – 10,000

Remoteness allowance: A remoteness allowance can be provided as decided by the DMC according to GoN rules for the SO staff working in the most remote districts. See Annex 9 for detailed allowance categories. The DMC can decide to provide additional time for SOs working in very remote VDCs based on tables provided in Annex 6.

5.2.3. Frequency of pre-qualification and technical evaluation

The pre-qualification followed by technical evaluation of organizations should be done once only for selection of an SO to work in a new VDC. Second best pre-qualified SO may replace the terminated one. Pre-qualification is not required again.

5.2.4. Allocation of SO Staff Months by the Size of scheme

Field co-coordinator, sub-engineer, water resource technicians and health promoter will be involved in full time basis in the scheme cycle (preparatory and implementation phase). Other positions are part time depending upon their requirement in the scheme cycle. The SO teams in RVWRMP working areas must have at least one female and DAG member. Contract with the SO will be made in each phase of the scheme. Based on the performance of the SO, the succeeding phase can be signed. Estimated person-month requirements are shown in Annex 6.

6. HUMAN RESOURCES DEVELOPMENT

Human resources development in water resource sector is one of the core thrusts of the RVWRMP. Human resource development and capacity building activities are organized at the community, VDC and DDC levels. Training/seminar/workshops related to specific schemes form an integral part of preparatory, implementation and post-construction agreements and therefore, are funded from DWRDF. Other training and human resource development activities will be funded directly from the Project (PSU, TA funds).

Summary table of the most common training of the Project's HRD plan is presented in Annex 3.

6.1. Human resources development rationales

Ensuring sustainability of the schemes

Most of the VDCs selected for RVWRMP are:

- distant from the road head
- affected by high level of illiteracy and pervasive under employment
- affected by strong social discrimination and
- very low level of awareness regarding basic sanitation

Therefore even minimal administration and technical intervention on the schemes are facing a severe shortage of adequate skills and social cohesion.

Collection of water fees and provision for repair and maintenance are difficult and often neglected in several schemes in the region which causes negative consequences on the sustainability of the schemes.

RVWRMP's human resources development (HRD) resources will therefore be aimed largely at training scheme based personnel to ensure basic administration, water fee collection, repair and maintenance capacity.

Promotion of an inclusive participation in management and decision making

Cast/ethnic based and gender discriminations are very prevalent in the Project area, keeping a large proportion of the population with no capacity to assert their claim to basic entitlement such as water and sanitation.

RVWRMP's HRD resources will therefore promote specifically the empowerment and skill building among the discriminated/disadvantaged groups for water resources/water infrastructures management.

Cost efficiency

The limited funds available and the remoteness of the locations compel to a frugal and cost efficient approach to training and capacity building. The Support Organisation hired to assist the Users Committee on day-to-day basis will be the main provider of resource persons/trainer

at scheme level. RVWRMP will provide a curriculum of Training of Trainers to ensure the proper capacity at scheme level.

Advanced technical training for engineers/sub-engineers/information and management officers and other DoLIDAR, MLD staff will be organised as much as possible in Dhangadhi to minimize transportation time and costs. Economy of scale, appropriate selection of trainees and resources persons should lead to a low cost per training day. Systematic satisfaction assessment amongst the trainees will allow a continuous refinement of the training modalities.

Capitalisation on the methodology developed by the RWSSSP

Rural Water Supply and Sanitation Support Programme (RWSSSP) Phase III financed by the Governments of Nepal and Finland from 1999 to 2004 (three phases from 1989-2004) had produced extensive training modules and methodology which can be replicated after minor adaptation to reflect the specificity of RVWRMP.

Experience sharing through exposure visits/study tours in Nepal

Exposure visits and study tours will be arranged for training and learning purposes. Visits to locations with success stories and replicable achievements will serve as an encouragement for UCs, WRMCs and COs members or as a reward for outstanding performance. Representation of women and DAGs are mandatory for the visits, as the visits serve as a tool to promote social interaction with various social groups and provides an opportunity for women to build their confidence. The exposure visits/study tours will also comprise of members from the VDC/DDC/Project staff in order to promote social interaction in an informal setting amongst the community and local government to help build a common experience.

6.2. Objectives

The Human Resources Development program will support the materialization of the expected project results:

- Integrated water resources management (IWRM) concepts and management systems implemented at the district and village levels.
- Improved institutional capacity and coordination among central agencies, DDC, VDC and UC on water resources issues. Institutional capacity enhancement also concerns private sector service providers and NGOs.
- Improvement of water supply, sanitation, irrigation, micro-hydro services
- Improvement of livelihoods in particular among the poor and disadvantaged.

6.3. Scheme Related Training

6.3.1. Planning Phase

There will be no scheme related training during the planning phase. All training during the planning phase are linked to social mobilization, WUMP preparation and training of stakeholders' staff (including TOT), thus funding comes from TA budget.

6.3.2. Preparatory Phase

The SO shall organize the following training at the village level and the training is integral part of the Preparatory Phase agreement. Resource persons' cost/fees and other minor training costs such as stationary and refreshment are included in the SO's contract. Thus the DWRDF bears fully the cost of these training.

Orientation on RVWRMP, GESI, HSE , WUMP, O&M

A 2-day training will be organized for the User Committee members by the SO, immediately after formation of User Committee. On the first day, participants will learn about the RVWRMP and the Water Use Master Plan in detail. Requirements for sustainable scheme and provision for O&M resources will be highlighted. The second day discussion will include gender equality and social inclusion issues as well as Health, Sanitation & Education. During this training, the SO will discuss the differences and inequalities that exist between different groups and the need to ensure equitable opportunities for all to pursue meeting their basic needs and livelihoods. The SOs will also assess and discuss the representation of women and discriminated group in UC, if need be a special promotion of women representation will be presented. Pictorial messages should be prepared to facilitate comprehension/retention by the illiterate participants. The preference for the local language should always prevail.

Design, estimate and community action planning training

SO will train UC members on contents of survey, design, estimate and community action planning emphasizing the role of community and UC. During two days, the UCs will be trained to understand and analyse the Bill of Quantities prepared for their relevant schemes. The source of sand, stone and other local material required should be agreed and modalities for extraction and transport will be finalised.

Financial management, book keeping, procurement

Transparent accountable and systematic financial management will be explained. The book keeping of all the contributions in labour, kind, cash will also be part of the training considering that a regular follow-up on this matter will be provided by the SO.

Procurement procedures will be explained and the process of ordering and payment described comprehensively.

Health and Sanitation Education, Gender Equality & Social Inclusion

A specific training for communities will be organised to reinforce the HSE and GESI message.

Gender Equality and Social Inclusion training has been designed based on inputs from RVWRMP's 'Gender and Social Discrimination' Study and preparation of the GESI policy and action plan for the Project.

6.3.3. Implementation Phase

Pre-construction seminar/ meeting

This meeting will review procurement and disbursement mechanism, as well as monitoring, and construction modalities. The one-day meeting is set to follow-up and update on contributions in labour, kind, cash, and procurement of local and external material. The meeting will clarify orders and financial procedures.

Scheme Related Technical Trainings

A number of training will be organised for (according to the scheme type/ technology):

- Village Maintenance Worker
- Local Latrine Builder
- Mason Training - Rain Water Harvesting
- Technician Training - Gravity Water Supply
- Technician micro-irrigation training
- Technician Multiple Use System training
- Technicians micro-hydro (power-plant operators and domestic/industrial electricians)
- Technicians nursery/bio-engineering/plantation

The exact number of persons trained in these different techniques will depend on the schemes selected during the WUMP exercise. If relevant the Local Latrine Builder training could be organised even before the finalization of the WUMP.

Progress review seminars during construction

During the construction at least one seminar should be organised with the community to review progresses and address any problems that have arisen during construction. Adherence to CAP, book keeping, etc. can be clarified in front of mass meeting.

Preparation for public auditing

A specific training will be organised to prepare the UC and VDC officials for the public auditing which should conclude the implementation (construction) phase.

6.3.4. Post Construction Phase

Operation and Maintenance training

At least two workshops during the first six months after construction should be organised to evaluate the problems and progress related to O&M. The role and duties of the Users Committees and the Community Mobilizers will be reviewed during these workshops. This training shall deal with setting of water tariff, tariff collection system, payment to VMW, and active utilization of O&M fund etc.

Other Trainings in the post construction phase

Other trainings in post construction phase can include income generation, livelihoods, basic literacy training and further training of VMWs etc.

6.4. Other Training (Not Directly Related to Schemes)

Training of Trainers (TOT)

Two people from each SO (one female and one male) will receive Training of Trainers (TOT) in order to deliver the scheme related training. The funding of this TOT training will be part of the Technical Assistance (TA) cost and will be disbursed by the PSU based on approved training proposal.

The Support Organisation hired for the support of Users Committee will undergo a Training of Trainers curriculum covering all the subjects to be delivered to the UCs.

Training and capacity building during the WUMP preparation at VDC level

A Water Resources Management Committee (WRMC) is a VDC level body formed for the Water Use Master Plan (WUMP) preparation and for further water resources development. This committee is comprised of 13 to 25 members in total. The WRMC shall have equal representation of women and men and proportionate representation of DAGs. The VDC chairperson, Vice-chairperson and secretary are the ex-officio members in WRMC. WRMC is also represented by some members of Water Resources Management Sub-Committees (WRMSC)/Community Organisations. The representatives of local recognized political parties and key persons are also selected for WRMC.

Once the WRMC is formed, its members are provided with a five-day Capacity Building Training (CBT). Similarly WRMC members with support from RVWRMP conduct a Capacity Building Training for the Sub-Committees (WRMSCs). The training consists mainly of information regarding the Water Use Master Plan purpose and methodology. The funding for these training is included in the WUMP cost.

Community Mobilizers Trainings

The Community Mobilisers will have a crucial role during the whole project period and long after it ends. The training proposed to CMs is explained in details in the Human Resources Development Plan of the Project. All this training is funded by PSU.

- Basic Course on Social Mobilization

The objective of the training is “to impart knowledge and skill in the field of social mobilization (theoretical and practical)”

- Leadership Development and TOT

The objective of the training is to develop the leadership quality and capability to assist as a resource person in leadership development training organized for cadres of grass roots institutions (COs, WRMC, UC)

- Leadership Development for Community Organisations

Targeted Groups: Chairperson of CO, UCs and executive members of WRMC

Objective of the training: to develop leadership qualities in the social cadres in the field of community development.

- Saving Mobilization and Bookkeeping

Targeted Groups: Managers of CO, UCs and executive members/secretary of WRMC

Objective of the training: to develop the skills of the social cadres in the field of savings mobilisation and bookkeeping.

- Institutionalization of Water Resources Management Committee (WRMC)

Targeted Groups: Office bearers of WRMC and respective CMs of VDC

Objective of the training: to develop the capacity of executive members of WRMC to formalize WRMC according to existing government rules. Possibilities of cooperative development will also be made clear in the training.

Health and Sanitation Training

- Environmental Sanitation

Health promoters, technicians /Assistant Sub Engineers from DTOs, Project and Partners will undergo a specific training spread over 2 years on environmental sanitation covering ECOSAN latrine, solid waste management, basic hygiene promotion, latrine design standards.

- School Teachers will undergo a specific training program for school led sanitation program.
- Arsenic mitigation training (in Kailali only)

Three kinds of training will be organised according to a specific audience:

- Staff of Support Organizations, DTOs, DDCs, PSU etc
- VDC councils members and DDC members
- School teachers

Health and sanitation IEC materials will be produced for this purpose.

Training for WRAs/DTOs/DoLIDAR/ /MLD staff

A variety of training/seminars will be organised under this heading to build capacity and reinforce coordination.

A few topics have already been identified: Basic GIS/GPS training, Computer assisted design methods for water supply, Computer assisted design methods for multiple use of water, Water quality and treatment, Project modalities, Decentralization, Coordination, Integrated water

management, Gender Equality and Social Inclusion, Bio-engineering, Accounting (specifically to meet RVWRMP requirements).

Exposure visits in Nepal

Exposure visits will be offered to outstanding scheme based participants (UC & CO) to visit relevant locations with exemplary and replicable achievements in the fields or irrigation, water supply, sanitation, waste management. Women and members of DAGs shall be selected as participants. It is proposed that one VDC or one DDC official should accompany the tour as well as one Project staff.

Participation to international forum and conference on water issues

Keeping in mind the cost efficiency goal, the visit to foreign countries should be seen as a reward for outstanding performance, as encouragement and capacity building, not just an entitlement of the senior management level. Exposure visits to countries of South-East Asia would best enhance cost efficiency.

Participation in international forums and conferences should be encouraged for people who are capable to make an appreciable contribution to the international community of water resources management practitioners.

Livelihoods and Income generation activities

The sustained presence of the Community Mobilisers and the Support Organisation will provide the opportunity to identify sustainable income generation activities. Relevant training will be provided on demand for the specific fields. Consumption of green vegetables has been reported as very low in the project area. This offers some room for health and cash generation improvement. Some possibilities include: In coordination with district agriculture office train/support beneficiaries on possibility of crop diversification and intensification in the village; Small fisheries based on tanks offer also some possibility to improve diet and water efficiency. The development of irrigation schemes will require some specific training for "On Farm Water Management and Crop Diversification".

While RVWRMP will provide training to promote livelihoods opportunities and income generation activities during project implementation, it will also make concerted efforts to ensure sustainability and self-reliance. RVWRMP will encourage other actors such as SOs, WRMCs, VDCs and DDCs to establish linkages between the communities and user groups to service providers. Identification of other local NGOs, networks and federations will be made and linkages promoted between COs, UCs and WRMCs to these actors to raise awareness and advocate women's, social inclusion and other community development issues.

7. PROJECT FUNDING AND ACCOUNTING

Schematic presentation of the fund flow system in the Project is given on the next page. Project has three types of funding:

1. **Investment account** is joint funding from two governments and DDC, to be administrated by the DDC

2. **Office & Administration Account** is Nepali Government funding, to be administrated by the Project Coordinator's Office in Dhangadhi and concerned DDCs/ DTOs
3. **Project Support account** is Finnish TA money, to be directly administrated by the PSU.

7.1. District Water Resources Development Fund (DWRDF)

A DWRDF is established under the District Development Fund (DDF) in each Project district for funding the water resource development activities. The Governments of Nepal and Finland and the concerned DDC contribute funds in the DWRDF as stipulated in the Project Document. DWRDF is administrated and audited as per local government rules and regulations approved by the GON.

Funds under the DWRDF are for financing Water Resources development activities, namely investment, support organization service cost, scheme level training and HRD activities. Also a provision of management cost at DDC and district level agencies can be made in DWRDF, based on a decision of the DDC and following the government rules and regulations. Similarly, the DMC can decide to make a provision to support the poorest of poor who can not manage their contribution into the scheme. A maximum of 5% of a scheme total budget can be allocated for the support to the poorest of the poor and disabled people. This provision, if any, must be clearly indicated also in the scheme cost estimate.

DDC may also decide to channel necessary budget of rural energy schemes directly to the District Energy Development Fund.

Within the budget ceiling prescribed by MLD, DDC shall prepare Annual Program (Barsik Karyakram), as per the standard formats prescribed by NPC, separately for each of the schemes to be implemented under this program. Scheme wise annual plan will be based on the scheme cost estimate, cost sharing pattern and time estimate. Annual plan shall clearly indicate break down of activities in preparatory, implementation and post construction phase. Only the amount of joint funding from two governments shall be reflected in the Red Book. The amount reflected in the red book will be part of DWRDF.

All of the expenditures shall comply with rules and regulations of GON and shall meet the provisions of the Project Implementation Guideline. Expenditures incurring under DWRDF has to be approved by Local Development Officer (LDO) and authority to sign the check shall be of LDO. However, LDO shall delegate this authority to any other competent officer as provisioned in the Local Body Financial Rules and Regulations (LBFAR). Nevertheless, overall financial accountability shall remain with the LDO.

7.2. Office and Administration Account (O & A account)

The account reflects the provision of funds required for the office and administration purpose at the central as well as district levels of GON. It is administered and audited as per the rules of the Government of Nepal.

Budget for Recurrent expenses (Office and Administration cost) shall be allocated by GoN under the budget heading of 69-3-808 which will be reflected in the approved annual program and in the red book. DDC shall allocate this budget for smooth execution of project related

activities to different sub-headings as prescribed by prevailing government rules. Also this budget will be a part of DWRDF.

All of the expenditures shall comply with rules and regulations of GON (i.e. Local Body Financial Rules and Regulations (LBFAR) 2064).

7.3. Project Support Account (TA funds)

This account covers funding for the WUMPs, some environmental protection works, community mobilization, training & HRD, technical assistance and PSU office running cost from the Finnish Government. It is administrated and audited as per the rules and regulations of the Government of Finland.

The team leader of the Finnish Consultant must approve all expenditure under Project Support Account prior procurement. S/he is also the signatory of the Project main bank accounts.

7.4. Fund Flow and Release at District Level

The GON contribution for the Investment of the District sub-Projects will be channelled to DWRDF (investment account) as per the budget allocated in the red book (budget) annually. Money comes from the Ministry of Finance to the District Treasury and further to the DDF and DWRDF. The flow of the fund will follow the regular GON process to reach the DWRDFs.

DMC should forward the Annual Work Plan for the activities endorsed by District Council to the Project PSU. The PSU will compile, check and forward them to DoLIDAR. DoLIDAR will finalize the annual budget for each district.

The Finnish share to the DWRDF will also be reflected in the Red Book. It will be deposited to DWRDF by the Programme Support Unit, Dhangadhi after a written request received from the DDC. PSU shall directly send a bank draft for the DDF/DWRDF based on the request.

The funds from GON are usually deposited to the DDF/ DWRDF on trimester basis. The Finnish funds will be deposited on trimester basis or on actual need basis. Thus the funds from the two governments do not necessarily reach the DWRDF at the same time or not even during the same trimester. DoLIDAR and PSU are responsible to monitor that the share of GON and GOF contributions, as well as the DDC contribution, are as stipulated in the Project Document. DoLIDAR and PSU are also responsible to monitor that there is not too much money in the DWRDF in relation to the annual/ trimester plans and in relation to actual progress of work. The DMCs are encouraged to install a public board in DDC to show the payments transparently.

7.5. Fund Flow to UC and SO Level

Funds for Implementation Phase will be channelled directly to User Committee's bank account on instalment basis as stipulated in the contractual agreement. The UC will operate the bank account independently. Fund agreed for Preparatory and Implementation Phases for SO services will be provided to the SO's bank account directly. Both UC and SO will receive funds on instalment basis, as indicated in the agreements with DDC.

UC account is maintained to cover the cost of construction materials, wages payments, material transportation and other expenditure. Contribution from DWRDF, share of VDC and contribution from users and income from other sources are deposited in this account.

Immediately after signing of agreement between DDC, VDC, UC and SO for implementation phase of each individual scheme, VDC shall deposit the required amount (contribution of VDC as per contribution pattern which will be mentioned in the cost estimate of the scheme) to the account of UC in a single lot as stipulated in the 4-party agreement.

Funds to UC account will be released directly from DWRDF on instalment basis as follows:

PAYMENT SYSTEM TO UCs (%)

Type of Scheme	1st Instalment	2nd Instalment	Final Instalment
Gravity Flow system	50*	30	20**
Rain Water System	50*	30	20**
Irrigation	50*	30	20**
Sanitation	50-80*	-	20-50**
Micro Hydro	As per the rule of REDP		

* In case of schemes needing material transportation by airlifting 1st instalment equal to non-local material and transportation cost according to the cost estimate will be made.

**Will be paid as per actual expenditure

Instalments for UC will be paid in following timeline:

- 1st instalment after signing the implementation phase agreement
- 2nd instalment after submission of expenditures of 1st instalment based on Measurement Book entry and work completion report (prepared by SO) verified by DTO/DMC.
- 3rd instalment after completion and public Auditing of the scheme (the amount will be paid according to final evaluation and expenditure of users' committee)

Funds to SOs will be released by DWRDF on instalment basis as provisioned in the agreement. Instalment ratio will be 33, 33, 34 for 1st, 2nd and 3rd respectively both in preparatory and implementation phase. SO payment in implementation phase will be made only after the respective instalment is paid to user committee. Second and third instalment to be paid based on MB entry and bills of the completed works.

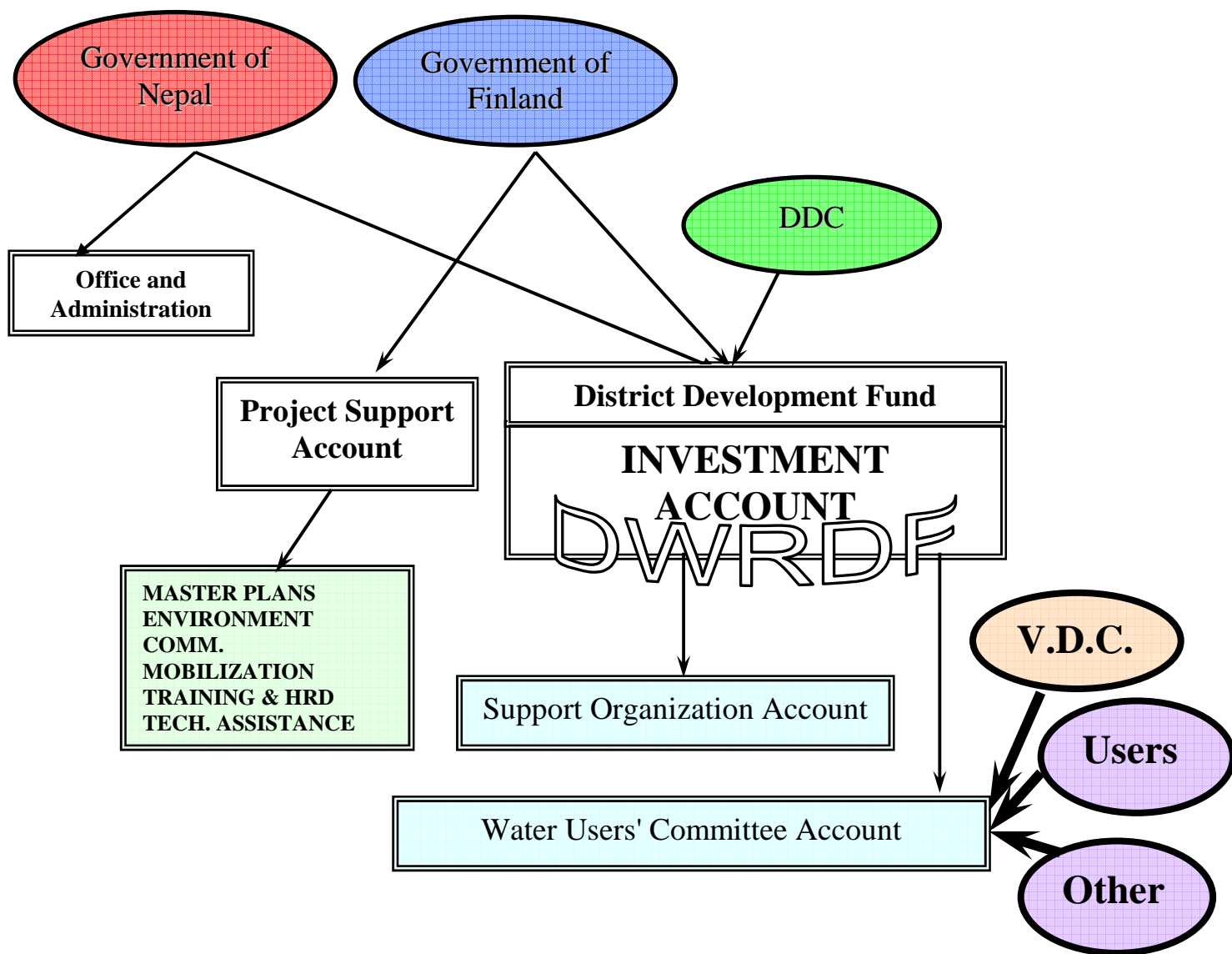
Terms and conditions provisioned in the agreement will be strictly followed by the SOs to receive any payments.

7.6. Monitoring of payments

RVWRMP and DMC will monitor all the transactions mentioned above to ascertain:

- Contribution of respective agencies is deposited in time as stipulated
- Fund is managed properly at DWRDF
- Respective beneficiaries have received payments timely
- Accounts of the respective stakeholders are maintained properly
- UCs/beneficiaries have agreed on all financial matters

Fund Flow System



8. BOOKKEEPING AT USER COMMITTEE LEVEL

8.1. Rationale and Objectives of Bookkeeping

Any organization or registered committee that deals with money has to keep a written record of all its financial transactions. Systematic bookkeeping includes exact information on various incomes and expenses. It shows to whom payments have been made, when, for what purpose and what is the financial position after each transaction. This information allows a committee to budget and make realistic plans for future activities. Both a committee itself and concerned authorities need the bookkeeping also for monitoring and audit of the use of money.

The objectives of the UC book keeping are to:

1. have a permanent record of each financial transaction.
2. provide reliable information of the financial position of the UC
3. provide information for the financial decision making
4. provide information for auditing

Many stakeholders: DDC, VDC, SO, WRMC, CO, UC and users are involved in the RVWRMP. Every partner has a certain financial role, and each of them also wants to have a clear picture of the financial situation. It is very important that the UC has a good knowledge in bookkeeping and keeps written record of all its incomes and expenses. Systematic bookkeeping is especially important in RVWRMP because the implementation funds go directly to the UC bank account based on the progress of work.

In this project users are the owners and UCs are the implementer of the scheme. They are involved with the RVWRMP both physically and financially. Because the users invest their own money to the project, they are interested and entitled to know how their money is used at every step of the project. The UC has to keep a clear record (bills, receipts, technical evaluation and documents supporting the expenditures) of all financial transactions and make the records available to users and auditors whenever needed.

The past experiences have shown that very few UCs have maintained the records of the program related transactions. Most UCs have had only verbal financial records, which they might have forgotten after some time. If the financial reports are not in a written form, clear and reliable, the whole program may suffer. Unclear financial reports may lead to distrust and disputes among the users as well as with concerned authorities.

8.2. How to keep the records?

Government of Nepal has several formats to keep and update records of transactions. However, the UC does not have professional staff for this purpose and dealing with many papers may be confusing also to water users. UC is recommended to keep and update the basic records with the use of a minimum number of forms. Clear records as regards to the persons who have worked in full wage, who have worked in low wage or who have worked without wage have to be maintained separately. DMCs will coordinate with District Education Offices for literacy activities and up to 1% of total scheme cost can be used for improving the literacy of users, especially women and DAGs. Standard forms developed by MLD for works to be done by

users committee has to be adopted to keep the records. Relevant formats have been included in the Step-by-Step Manual of the Project.

8.3. Who will keep the records?

The UC, as provisioned in their statute will have the main responsibility of recording all transactions and keeping the financial records updated. The UC has to keep safely the bills and vouchers obtained in relation to the works done. This responsibility should be taken into account when selecting a suitable person for a UC treasurer. It is also recommended that all members of the UC know how to keep records updated. The Support Organization should assist the UC frequently in bookkeeping.

8.4. Reporting

The scheme implementation funds will be released to the UC account for the investment. This includes money that users invest in the scheme, VDC money and the District Water Resources Development Fund money will also be deposited in this account. Part of the money will be an advance from the DWRDF according to the scheme progress. User committee in assistance of support organization will submit monthly expenditure statement of funds to the DMC as prescribed in this guideline. DMC has also right to ask for financial and progress report as and when needed. In addition, UC is required to provide progress reports on project construction to the concerned local body (VDC and DDC) on bi-monthly basis.

The UC should keep the original bills and receipts along with financial statement. To clear the respective advance and get new instalment/final payment from the DWRDF only technical evaluation of work will be required for payment to UC. Information about the expenses made by UC will be exposed in public audit.

8.5. Public Hearing

Public hearing will be conducted at least two times during a scheme cycle. UC is responsible to arrange the public hearing in consultation with SOs and DMC. The first hearing will be done upon completion of design/estimate. Scheme board, indicating all component wise cost estimate will be presented at this time. The second hearing will be done after procurement of materials. Representation of majority of the respective beneficiaries is mandatory in the public hearing, which shall include 50% of women, proportionate representation of DAGs and representation of 2/3 of households..

Documents and the “Scheme Notice Board” (containing social map, layout plan etc.) must be at least in Nepali language. Facts must be explained in the public hearing in other local language(s) as well.

8.6. Public Auditing

The final public audit will be done when the scheme is completed. Representation of the respective beneficiaries is mandatory in the public audit, which shall include 50% of women, proportionate representation of DAGs and representation of 2/3 of households. When final monitoring team will agree on completion of the scheme, technical personnel of SO/DTO will measure the quantity of works and verify the UC’s book keeping and prepare the final

measurement book (MB). The scheme expenditure shall be approved from the "Public Auditing". The final payment will be made as per the final measurement book conceded by the public auditing.

8.7. Auditing of DWRDF

Investment Account

Auditing of the accounts will be done as per the prevailing financial rules and regulations of GON. Therefore, the records, bookkeeping and accounting of these accounts should strictly adhere to the principles of financial rules and regulations of GON, as applicable to the local governments (DDC, VDC) and the User Committees. Internal audit of these accounts will be done by DDC Office of the concerned district and final audit by the Office of the Auditor General. DDC Secretary on behalf of DDC will be responsible for timely auditing of the fund.

Support Organization

A separate audit of the funds provided from DWRDF to SOs is not necessary since they are subject to audit their books and accounts every year as demanded by the Act they are registered to. However, SOs should retain audited books and account pertaining to the funds received from DWRDF for one year for checking purpose of DDC if the latter desires to do so. To maintain the internal secrecy of books and account relating to other sources, SOs may open a separate account for the funds originating from the DWRDF.

User Committee

Since DDCs have to get their DWRDF audited by the Office of the Auditor General separate audit at UC level is not required. However, DDCs should ensure that the UCs are following the suggested book keeping and accounting system and also see that the funds are used as intended. In case the DDC feels it necessary to get UC account audited, management of the audit will be done by DMC. The fund required for the task should be covered from the management cost of UCs, which is a part of cost estimate.

9. MONITORING AND EVALUATION

9.1. Rationale and Objectives

Monitoring and evaluation (M&E) are important to ensure that the intended results of the project interventions are achieved both quantity and quality wise. Monitoring activities should be relevant, timely and accurate and should produce the data and information that project stakeholders require to understand the progress and impacts of RVWRMP. M&E is therefore built into RVWRMP project's organizational and implementation structure and should be continuous and systematic flow of information within the project. The information flow contains both regular reports from SOs, UCs, DMCs etc., and special monitoring visits at the time of critical stages of activities.

The core thrust of the monitoring in RVWRMP is:

- Process follow-up (step-by-step procedure, implementation guideline, Fund flow).

- Verification of data (Reports) provided by SO and UC.
- Ensure quality of construction works, and
- Assess impact of the activities against set indicators

9.2. Monitoring at Different Levels

M&E of project activities will be carried out from different level.

Level of monitoring	Frequency of monitoring	Description
Central level	Twice a year, at least, to have a monitoring visit; Twice a year SC meeting	A combined team of representatives from MLD/DoLIDAR/Steering Committee members will independently monitor the project activities at least twice a year by field visits to the Programme area. The team will report to the MLD and also to the Programme Steering Committee through DoLIDAR. A copy of the findings of the monitoring will be provided to the Project Support Unit.
Project level	At least twice a year coordination and monitoring visits; Regular monthly reporting system	RVWRMP/PSU independently monitors the District project activities to facilitate and ensure the step-by-step procedure and implementation guideline including fund flow at least twice a year by visiting district and programme area. The team will discuss with DMC and give suggestion for further improvement of the project. Findings report will be forwarded to DoLIDAR/MLD/Steering Committee, and the DDC/DMC.
DDC level	As per need	Activities of the District Projects will be regularly monitored by the Supervision and Monitoring Sub-Committee as per the Regulations of the Local Self-Governance Act, 1999.
Scheme level	At least 5 monitoring visits during scheme cycle; Regular reporting from SO and UC	Schemes will closely be monitored by the users and the VDCs on regular basis as they are very close to their schemes. In addition, a Monitoring Team from the district level will monitor the schemes at the various critical stages. A minimum of five such critical stages have been identified for monitoring from District Level. The findings of each monitoring visit should be validated by the UC/ users.

9.3. Scheme Level Monitoring

Monitoring Manual and Step-by-Step Manual of the Programme will serve the main basis for monitoring. The aspects to be monitored and the methods/techniques applied during each monitoring visit are provided in the Monitoring Manual. Scheme level monitoring costs are to be covered from the DWRDF and should be part of the cost estimate of the scheme and the actual costs should be reflected in the measurement book.

Table: Minimum Frequency of Monitoring Visits According to Technology:

SN	Description	Frequency of Monitoring during different Phases of project Cycle*					
		Planning Phase	During CAP approval	During Implementation Phase	End of Implementation Phase	Post-Construction Phase	Total Visits
A	Water Use Master Plan (WUMP) preparation						
	a. During VDC level planning workshop	1					1
B	Water Supply and Sanitation						
	a) Environmental sanitation		1	1	1	1	4
	b) Rain Water Harvesting		1	1	1	1	4
	c) Repair of existing Water Supply System		1	1	1	1	4
	d) Gravity Flow Water Supply and Sanitation		1	1	1	1	4
C	Irrigation		1	1	1	1	4
D	Micro- hydro		1	1	1	1	4

Despite of above minimum monitoring visits, ad' hoc supervision/follow up visits will be carried out by DDC/DTO and PSU.

Table: Appropriate time of various monitoring visits:

SN	Description	Desired time for Monitoring
A. At VDC level		
1	WUMP (VDC level Planning)	1) During the VDC level Planning workshop: This visit should preferably be made on the very day of mass meeting organized for users' approval of WUMP preparation.
B. At individual scheme level		
1	Preparatory Phase of individual scheme (First Visit)	During CAP Approval At the same day of mass meeting when layout of the scheme, Training, design and BOQ and community action plan.
2	Implementation Phase of individual scheme (Second Visit)	After collection of local materials and procurement of non-Local Materials: Visit should be made after the procurement/collection of construction materials by the UC, which takes place after the first instalment for construction of scheme from the DDC.
3	Implementation Phase of individual scheme (Third Visit)	During post construction seminar (After completion of scheme):

	Visit)	This visit is to make to ensure the completion of all proposed activities of implementation phase (including quality of construction works, Book keeping, store management, SO performance, quality of training, transparency/public audit and step-by-step follow up).
4	Post Construction phase	After 6-12 months of completion of scheme: to ensure proper operation and maintenance of system, equitable mobilization of post construction support fund (O&M, income generation, O&M support fund) continuation of health, sanitation and income generation activities.

Monitoring Reports

Report of each monitoring visit should be submitted to DDC through DMC. The DMC will also include the findings of each monitoring visit in monthly report to PSU. The formats of each monitoring visit should be made available to MLD and the Programme when requested.

9.4. Monitoring Team (Scheme Level)

Various stakeholders should take part in scheme level monitoring (visits) of the Project. Monitoring sub-committee under DDC is also an asset for monitoring purpose of project activities. It is highly recommended that each Monitoring Team include at least one female member if at all possible especially to collect information from women of the community. For to ensure the step-by-step approach and quality of project activities, the monitoring team will be composed as below:

OPTIMAL COMPOSITION OF MONITORING TEAM

Phase	Visit No	Technology	Monitoring Team				
			DDC	DTO	RVWRMP	VDC	Others
Planning	I	WUMP Preparation	DDC Chair/Member/M&E sub-committee/ LDO/ Planning Officer	DTO Chief /Engineer	WRA/WRE/TF PSUSpecialist/ PCO Engineer	VDC Chair/Member/Secretary/WRMC	Helvetas/REDP/WSSDO/Irrigation /Agriculture/Forest/Soil Conservation/WDO
Preparatory	II	Gravity WS	Planning Officer/ Programme Officer	Engineer/Sub-engineer	WRA/WRE/TF PSUSpecialist/ PCO Engineer	VDC Chair/Member/Secretary/WRMC	WSSDO/Irrigation /Agriculture/Forest/Soil Conservation/WDO
		Rainwater Harvesting	Planning Officer/ Programme Officer	Sub-engineer/Assistant sub-engineer	WRA/WRE/TF PSUSpecialist/ PCO Engineer	VDC Chair/Member/Secretary/WRMC	WSSDO/Irrigation /Agriculture/Forest/Soil Conservation/WDO
		Environment Sanitation	Planning Officer/ Programme Officer	Sub-engineer/ Assistant sub-engineer	WRA/WRE/TF PSUSpecialist/ PCO Engineer	VDC Chair/Member/Secretary/WRMC	WSSDO/Irrigation /Agriculture/Forest/Soil Conservation/WDO
		Irrigation	Planning Officer/ Programme Officer	Sub-engineer/ Assistant sub-engineer	WRA/WRE/TF PSUSpecialist/ PCO Engineer	VDC Chair/Member/Secretary/WRMC	WSSDO/Irrigation /Agriculture/Forest/Soil Conservation/WDO
		Micro Hydro	Planning Officer/ Programme Officer	DTO Chief	WRA/WRE/TF PSUSpecialist/ PCO Engineer	VDC Chair/Member/Secretary/WRMC	REDP/Irrigation /Agriculture/Forest/Soil Conservation/WDO
Implementation	III	Gravity WS	Planning Officer/ Programme Officer	Engineer/Sub-engineer	WRA/WRE/TF PSUSpecialist/ PCO Engineer	VDC Chair/Member/Secretary/WRMC	WSSDO/Irrigation /Agriculture/Forest/Soil Conservation/WDO
		Rainwater Harvesting	Planning Officer/ Programme Officer	Sub-engineer/ Assistant sub-engineer	WRA/WRE/TF PSUSpecialist/ PCO Engineer	VDC Chair/Member/Secretary/WRMC	WSSDO/Irrigation /Agriculture/Forest/Soil Conservation/WDO

		Environment Sanitation	Planning Officer/Programme Officer	Sub-engineer/ Assistant sub-engineer	WRA/WRE/TF PSUSpecialist/ PCO Engineer	VDC Chair/Member/Secretary/WRM C	WSSDO/Irrigation /Agriculture/Forest/Soil Conservation/WDO		
		Irrigation	Planning Officer/ Programme Officer	Engineer/Sub-engineer	WRA/WRE/TF PSUSpecialist/ PCO Engineer	VDC Chair/Member/Secretary/WRM C	WSSDO/Irrigation /Agriculture/Forest/Soil Conservation/WDO		
		Micro Hydro	DDC Chair/Member/m&e sub-committee/ LDO/ Planning Officer	Chief/Engineer/Sub-engineer	WRA/WRE/TF PSUSpecialist/ PCO Engineer	VDC Chair/Member/Secretary/WRM C	REDP/Irrigation /Agriculture/Forest/Soil Conservation/WDO		
	IV	Gravity WS	DDC Chair/Member/m&e sub-committee/ LDO/ Planning Officer Programme Officer	DTO Chief/Engineer	WRA/WRE/TF PSUSpecialist/ PCO Engineer	VDC Chair/Member/Secretary/WRM C	WSSDO/Irrigation /Agriculture/Forest/Soil Conservation/WDO		
		Rainwater Harvesting	DDC Chair/Member/m&e sub-committee/ LDO/ Planning Officer	DTO Chief/Engineer	WRA/WRE/TF PSUSpecialist/ PCO Engineer	VDC Chair/Member/Secretary/WRM C	WSSDO/Irrigation /Agriculture/Forest/Soil Conservation/WDO		
		Environment Sanitation	DDC Chair/Member/m&e sub-committee/ LDO/ Planning Officer	DTO Chief/Engineer	WRA/WRE/TF PSUSpecialist/ PCO Engineer	VDC Chair/Member/Secretary/WRM C	WSSDO/Irrigation /Agriculture/Forest/Soil Conservation/WDO		
		Irrigation	DDC Chair/Member/m&e sub-committee/ LDO/ Planning Officer	DTO Chief/Engineer	WRA/WRE/TF PSUSpecialist/ PCO Engineer	VDC Chair/Member/Secretary/WRM C	WSSDO/Irrigation /Agriculture/Forest/Soil Conservation/WDO		
		Micro Hydro	DDC Chair/Member/m&e sub-committee/ LDO/ Planning Officer	DTO Chief/Engineer	WRA/WRE/TF PSUSpecialist/ PCO Engineer	VDC Chair/Member/Secretary/WRM C	REDP/Irrigation /Agriculture/Forest/Soil Conservation/WDO		
		Post Construction	V	Gravity WS	DDC Chair/Member/m&e sub-committee/ LDO/ Planning Officer/Programme Officer	Engineer/Sub-engineer/ Assistant sub-engineer	WRA/WRE/TF PSUSpecialist/ PCO Engineer	VDC Chair/Member/Secretary/WRM C	WSSDO/Irrigation /Agriculture/Forest/Soil Conservation/WDO

		Rainwater Harvesting	DDC Chair/Member/m&e sub-committee/ LDO/ Planning Officer/Programme Officer	Engineer/Sub- engineer/ Assistant sub-engineer	WRA/WRE/TF PSUSpecialist/ PCO Engineer	VDC Chair/Member/Secretary/WRM C	WSSDO/Irrigation /Agriculture/Forest/Soil Conservation/WDO
		Environment Sanitation	DDC Chair/Member/m&e sub-committee/ LDO/ Planning Officer/Programme Officer	Engineer/Sub- engineer/ Assistant sub-engineer	WRA/WRE/TF PSUSpecialist/ PCO Engineer	VDC Chair/Member/Secretary/WRM C	WSSDO/Irrigation /Agriculture/Forest/Soil Conservation/WDO
		Irrigation	DDC Chair/Member/m&e sub-committee/ LDO/ Planning Officer/Programme Officer	Engineer/Sub- engineer/ Assistant sub-engineer	WRA/WRE/TF PSUSpecialist/ PCO Engineer	VDC Chair/Member/Secretary/WRM C	WSSDO/Irrigation /Agriculture/Forest/Soil Conservation/WDO
		Micro Hydro	DDC Chair/Member/m&e sub-committee/ LDO/ Planning Officer/Programme Officer	Engineer/Sub- engineer/ Assistant sub-engineer	WRA/WRE/TF PSUSpecialist/ PCO Engineer	VDC Chair/Member/Secretary/WRM C	REDP/Irrigation /Agriculture/Forest/Soil Conservation/WDO

9.5. RVWRMP Comprehensive Monitoring Concept

The Project is establishing a more comprehensive monitoring and evaluation system, first in PSU and then to be shared with district projects and other stakeholders.

Objective

The objective is to allow a detailed monitoring of:

- Input delivery
- Process status
- Outputs
- Effects
- Impacts
- Provide adequate disaggregated data/information to assess the inclusiveness of the project activities with particular regards to women and discriminated ethnic groups such as Dalit and Janjatis.

Database Management

Through the whole project cycle a comprehensive database will be maintained in order to record:

- Participation in all kind of activities such as
 - Meetings
 - Labour contributions
 - Membership of local institutions
 - Training and information campaign
- Reception of direct project's benefits such as
 - Construction material for latrine
 - Provision of tap stands
 - Provision of water tanks
 - Provision of irrigation outlets/sprinklers/drips
 - Provision of electrical connection
 - Loans from project supported saving groups
 - Direct employment from the project
 - Project supported income generating activities
 - Arsenic filters
- Reception of indirect benefit such as
 - Source protection
 - Reforestation
 - River training
 - Public sanitation (school, health posts...)
 - Seed money for O&M
 - Waste management services
 - Water Use Master Plan
- Institution capacity building through
 - Training
 - Equipment

- Workshop/planning session

Another set of output delivery data will be integrated into a database to follow:

- Procurement (via the inventory database)
- Provision of technical assistance (through the TA person-months reports)
- Financial reports and disbursement rate with special follow-up district wise and scheme wise.
- Field visits of project staff
- Participation of officials from GON, Finnish Embassy and other partners

GIS management

Systematic localisation of project development intervention at scheme level:

Exact localisation of scheme (developed and existing) will be prepared and integrated into a GIS platform complemented with high resolution imagery. Localisation of each main homestead and reference to the household number will be performed based on GPS Survey or satellite imagery identification.

Systematic reference of various agencies activities at ward level:

Based on ward boundaries which may have to be reviewed with the help of local stakeholders, a complete referencing of agencies/activities operating in the water sector in the district will be carried out.

Surveying participation in local institution

In order to estimate/evaluate the involvement of women and marginalised/discriminated groups in decision making process, a specific monitoring of the local institutions will be initiated to record:

- Membership record disaggregated by age, sex, ethnic group;
- When available, frequency of activity attendance by age, sex, caste/ethnic group, and
- Rotation of key position

Surveying behaviour related to social assertiveness and empowerment

Based on focus group discussions and individual household survey, perceived barriers will be identified as regards to resources access and the motivation and experience related to the alleviation/removal of these barriers

Process status monitoring

Each district will report their progress based on a detailed work-plan, percentage of completion will be calculated regularly.

PSU tasks will be monitored, mainly by MLD/DoLIDAR and the Steering Committee of the Project, based on specific work-plans, trimester and annual reports and monitoring visits from the central level.

Staff composition and gender/inclusion

Staff composition will be disaggregated by caste/ethnicity and gender, and regularly updated to measure progress in achieving a balanced staffing structure.

9.6. Reporting

Progress Reports

A reporting system from a scheme to the VDC and the district and from district to the central level is necessary to assess the results of the activities in relation to the plans. The reporting system should serve as feedback to all the actors involved in implementation. The use and status of the funds provided, progress in scheme implementation, the actions taken and GESI issues should form the main contents of reporting.

Monthly Reports by Nepali Month

SOs will provide progress report every month to VDC and to DMC in a given format. DMC will report to DDC every month. DDC will provide progress report to the Project (PSU) on a format required by the National Planning Commission (NPC). Based on them, the PSU will compile a monthly report and forward it to DoLIDAR. DTO is responsible for the monthly reports from DMC, assisted by other DMC member.

WRAs in consultation with the entire DMC, will prepare Monthly Progress Reports based on Gregorian months for the monitoring purposes in PSU.

Trimester Reports

DDC/DMC will prepare the progress report of results achieved during the trimester (on NPC formats) and forward to the Project and the latter will compile the report and forward to DoLIDAR. DTO is responsible for compiling the trimester reports from DMC, assisted by other DMC members.

PSU will also prepare a Trimester Progress Report on the format of the MFA and submit it to the Embassy of Finland, DoLIDAR and the Project Steering Committee for approval.

Annual Reports and Annual Plans

DDC/DMC will prepare annual progress reports for Nepali fiscal year and Annual Plans for the next fiscal year on NPC formats. The Project in consultation with the District sub-Projects will prepare an annual progress report/ plan for Nepali fiscal years, both on NPC formats and on the MFA format, and submit them to DoLIDAR, the Embassy of Finland and the Project Steering Committee for approval.

Financial Report

As the fund flows from the central level to the districts and from districts to scheme level, it is necessary to report about the use and status of the funds to the concerned authority. SOs will report to DDC and DMC/DDC to MLD/DoLIDAR and also to PSU. DDC should produce a financial statement on the use and status of DWRDF as per the GON rules and regulations. The existing GON practices of financial reporting (Ma.Le.Pa. Form No.213) should be used for reporting the status of DWRDF on monthly basis. A copy of the reports should also be provided to Programme Support Unit.

In addition, financial status of the district sub-projects and the whole RVWRMP are presented in trimester and annual reports. PSU also prepares a Financial Report on Quarter basis, of the Gregorian calendar, for monitoring of the Finnish contribution in line with the Finnish Fiscal year.

10. OPERATION AND MAINTENANCE

Operation and maintenance of water supply and irrigation systems in Nepal are among major management challenges at community level. Sustainable use and operation of constructed system will be ensured with the primarily responsibility of Users Committee (UC). UC and users will have to work under the common principle of “this is our scheme and we are responsible for its operation and maintenance.” Similarly, users committee themselves not only work under this principle but also promote this principle to individual users of the scheme.

Protection, prevention from possible damage of constructed structure and its regular care in order to ensure regular service is commonly termed as maintenance, where as activities carried out to fix any damaged structure if not working properly into its original regular service level is commonly understood as repair. Repair may not be needed if the maintenance works are done regularly. This is also called preventive maintenance.

10.1 Project Approach

In RVWRMP modality, users first collect cash for O&M. The Project may match users' O&M fund contribution by up to equal amount. The matching fund will be paid in instalments based on the performance of the UC.² The O&M Fund is for regular maintenance and minor repair works. The amount is deposited in O&M Fund account of UC and should be administrated by joint signature of the treasurer and Chairperson.

The initial O&M Fund together with a monthly water tariff is assumed to cover preventive maintenance and minor repair works. In case of major repairs, UC should be able to tap other resources for example VDC Self Reliant Fund, funds from GON/DWSS maintenance budget or DDC fund.

² For full performance evaluation process and criteria see the Project's O&M Guideline and Step-by-Step Manual.

Effective awareness building and motivation programmes to community will be initiated right from Community organization and preparation of Water Use Master Plan (WUMP), to educate the beneficiaries as regards to their roles and responsibilities to carry out routine maintenance works.

The UCs will select Village Maintenance Worker (VMW) to support future O&M activities. The DDC will facilitate the on-the-job training to VMW. Community members will be encouraged to select maximum number of women and DAGs as VMWs. In case of small schemes that are not too far from each other, one VMW can handle regular maintenance and small repair of two or more schemes. In this manner communities can ensure full-time employment of a VMW and still get his/her service at a reasonably low cost per household.

Realizing the past and present problems in operation and maintenance of community based systems, the Project aims gradually to:

- Improve O&M procedures for various types of UC together with mechanisms for financing regular maintenance, major repairs and rehabilitation
- Suggest and develop technical back-up system for UCs in O&M with major focus on utilization of private service providers and technical wings of DDC and DTOs, in line with the Local Self-Governance Act.
- Continuously review implementation practices and standards used in WSS and irrigation development from the point of view of sustainable O&M and if necessary, suggest and develop practices and procedures for improvement.

10.2 Capacity Building

By having a Post-Construction Phase (for livelihoods, income generation, sanitation activities, etc.) the Project is frequently present in the community also after construction is completed and can thus support and advise in O&M issues. This is important to establish a strong community based O&M system and procedures at their early stage.

Formation of effective and inclusive UCs, training of appropriate and capable persons and appointment of trained VMW, collection of regular tariff for operation and maintenance, proper use of maintenance tools, transparent decision making and financial management, are among key issues of well functioning O&M systems.

Strong leadership in UCs to manage O & M is to be ensured. Both the UC and users need guidance and training in operation and maintenance (O&M). The SO should help UC to build their capacity in managing the finances, store, and O&M fund efficiently and transparently. The UC should also be guided to find support for fund resources and technical guidance in case of major repairs from outside. The UCs and COs area also given support for possible formation and institutionalisation of cooperatives.

Incorporating operation and maintenance messages/ session in various training events during the Preparatory and Implementation Phases shall emphasize the importance of O&M.

Separate VMW training will be organized. Similarly, UC will receive separate training on O&M.

10.3 O& M Related responsibilities

User committee (with active help and support from individual users) will be primarily responsible for O&M function. UC's key responsibilities related to O&M are:

- **In Preparatory Phase** take care that all stakeholders will be aware about the importance of O&M function during various meeting, training and workshop.
- **In implementation phase** collect O&M funds and ensure their proper management and operate bank accounts for both scheme construction and O&M.
- **In Post-construction Phase** Ensure regular payment to VMW; ensure water tariff collection from users on regular basis; operate the bank account for O&M in transparent manner; maintain proper bookkeeping and accounts on expenses made and materials (purchase of spare parts); manage preventive maintenance and small repairs; make plans to find outside resources in case of major repairs; organize regular UC meetings and inform the users about the decisions made and organize mass meeting of users to inform them about the fund situation and get prior approval to make decision to meet the possible emergency.

10.4 Classification and Definition of Different Categories of Repair Works

The most common classification of repair and maintenance works are routine, minor, small, major, rehabilitation and renewal as per the extent of repairs needed. Routine works are those, which could be carried out by the communities by themselves. The definition of type of repair has been presented as follows:

Routine Repair

In routine repair usually there is no need of construction materials or involvement of service of skilled labour. Works like cleaning of surrounding of different scheme components, burial of pipes at exposed sections etc. in gravity schemes fall under this category.

Communities can manage routine repair works without external support.

Minor Repair

The following works fall under minor repairs:

- Replacement of small quantity of fittings
- Requirements of tools and minor equipment
- Small patchworks in structures
- Joining of HDPE pipes in cut and vandalized sections

In this type of repair, the beneficiaries normally can contribute local material and labour that are needed for the maintenance works and the VMW can carry out these works. None local material can be procured using money from the O&M fund.

Small Repair

The following works fall under small repairs:

- Concreting of floors and plastering of the walls of structures
- Rebuilding of valve boxes
- Reconstruction of some tap-stands
- Replacement of few meters of pipeline
- Changing of pump heads

Skilled labour may be need for small repairs in addition to VMW involvement. Beneficiaries can contribute local material and unskilled labour. O&M fund is utilized to buy none local material. External technical assistance may be needed (e.g. from DTO).

Major Repair

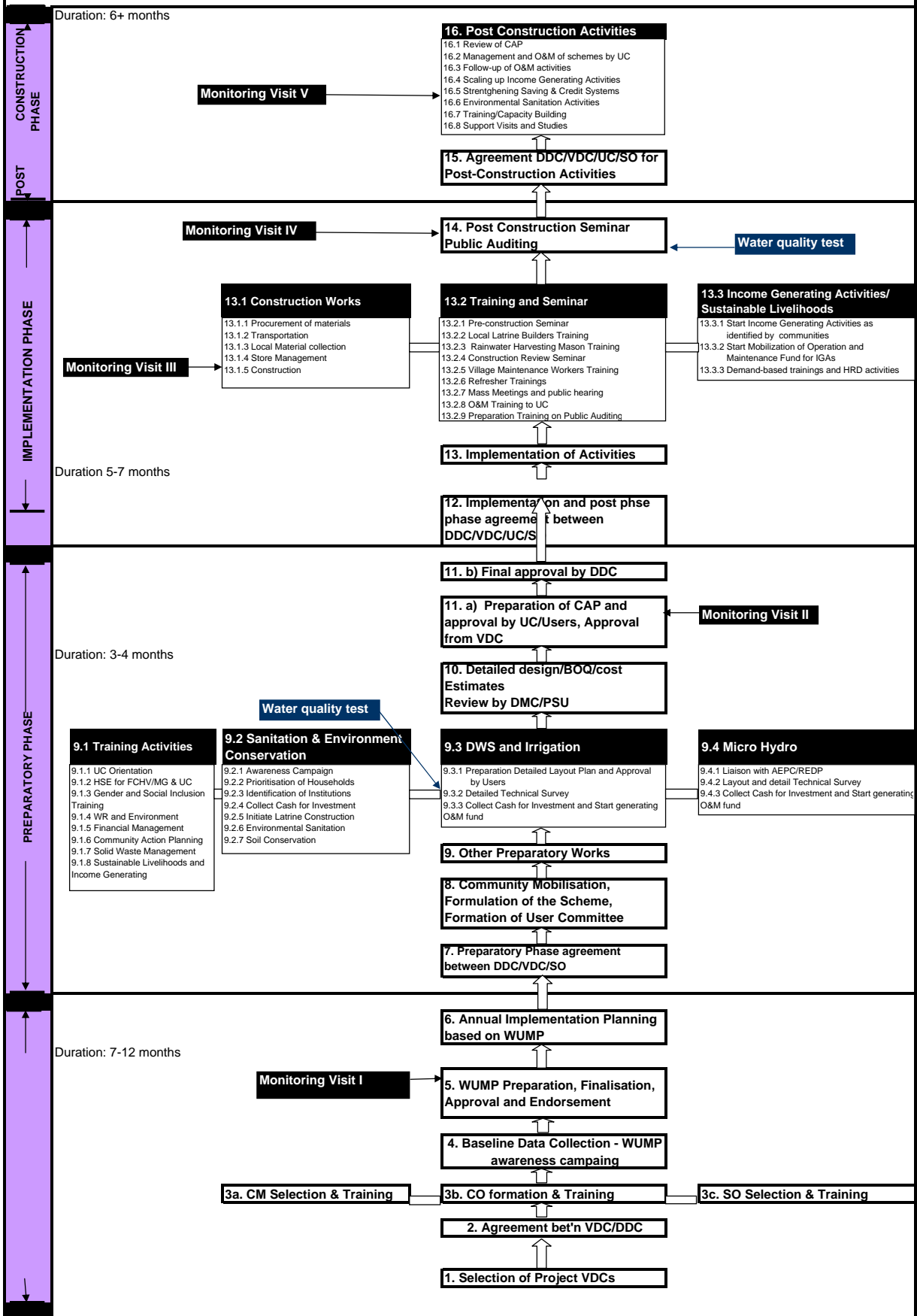
The kind of repair works where some structures need to be re-built in addition to the works described under small repairs fall under this category. However, the extent of repair to be carried out should be less than 50% of the total structural works of the project. For this type of repair works, external support for partial funding of the non-local material, their transportation to the site and technical assistance is usually necessary. UC's role is central in tapping external funds (if own O&M fund is not sufficient), in getting technical assistance and in managing the work. Beneficiaries and VDCs contribution is significant, typically in the range of 30 to 70 % of the total cost of repair.

Rehabilitation/ Renewal

If the project needs to be reconstructed for more than 50% but less than 80% of the total construction works of the project, this is treated as rehabilitation. If this percentage is more than 80% it is called "renewal".

Rehabilitation and renewal are treated as a new project. In RVWRMP beneficiaries and VDC should contribute 30 to 50% of the total cost of a rehabilitation/ renewal project.

Rural Village Water Resources Management Project - Nepal
STEP-BY-STEP FLOW CHART (not applicable to arsenic mitigation program)



Note :-

- 1.Social Mobilization is integral Part of the Project and will be continue from Planning Phase to Post Construction Phase at VDC level.
- 2.Supervision is integral part of project, Process monitoring is a continuous process in each and every step.

ROLES AND RESPONSIBILITIES OF MAJOR STAKEHOLDERS

Phase: PLANNING

Name of Stakeholders	Activities						
	1. Selection of Project VDC	2. Agreement bet'n VDC and DDC	3. SO selection	4. WUMP Preparation	5. Finalization by WRMC and Approval by Village Council	6. WUMP Endorsed by DDC/Council	7. Other project activities
DDC	<ul style="list-style-type: none"> Selects the project VDCs following the criteria stipulated for VDC selection 	<ul style="list-style-type: none"> Signs the agreement with selected VDCs 	Endorses SO selection proposed and recommended by DMC	<ul style="list-style-type: none"> Monitors WUMP preparation activities carried out by SOs 		<ul style="list-style-type: none"> Endorses WUMP approved by VDC 	
DMC	<ul style="list-style-type: none"> Analyses secondary information/field verification of the proposed VDCs Recommends Project VDC's list to DDC. 	<ul style="list-style-type: none"> Prepares agreement papers and required documents 	<ul style="list-style-type: none"> Carries out SO selection process Selects SO and recommends DDC for endorsement 	<ul style="list-style-type: none"> Monitor WUMP preparation process and provide feedback to WRMC and consultant 		<ul style="list-style-type: none"> Checks WUMP and recommends to DDC for endorsement 	<ul style="list-style-type: none"> Appoints CM and mobilizes & monitors their work in the VDC
DTO			<ul style="list-style-type: none"> Facilitates DMC in evaluation and selection process 	<ul style="list-style-type: none"> Verifies water resources inventory 			
VDC	<ul style="list-style-type: none"> Shows commitment to implement WR programs 	<ul style="list-style-type: none"> Signs the agreement 		<ul style="list-style-type: none"> Monitors and supports in WUMP preparation process 	<ul style="list-style-type: none"> Approves WUMP through village council Owns the WUMP and incorporates in the VDC periodic plan 	<ul style="list-style-type: none"> Owns WUMP as periodic plan Recommends to DDC for endorsement 	<ul style="list-style-type: none"> Supports in formation, registers COs/WRMC and monitors the activities
PSU	<ul style="list-style-type: none"> Facilitates DMC in information analysis 	<ul style="list-style-type: none"> Facilitates DDCs and VDCs during agreement 		<ul style="list-style-type: none"> Employs Consultants Supports in monitoring 	<ul style="list-style-type: none"> Facilitate VDC during finalization 	<ul style="list-style-type: none"> Facilitates VDC and DDC for approval and endorsement 	<ul style="list-style-type: none"> Supports VDC to appoint CM for social mobilization Initiates capacity enhancement activities for WRMC/COs/CMs

WRMC/SC			<ul style="list-style-type: none"> • Supports SO for WUMP preparation 	<ul style="list-style-type: none"> • Prepare WUMP • Maintains coordination & explores district and national level resources for WUMP implementation 	<ul style="list-style-type: none"> • Finalises WUMP • Recommends to VDC for approval 		<ul style="list-style-type: none"> • Maintains community mobilization • Resolves water resources or other social disputes
CO				<ul style="list-style-type: none"> • Supports in WRMC formation • Involves in social and technical assessment 			<ul style="list-style-type: none"> • Initiates regular savings/credits
SO/ Consultant				<ul style="list-style-type: none"> • Facilitates CO/WRMC to prepare WUMP • Prepares WUMP reports 	<ul style="list-style-type: none"> • Facilitate WRMC and VDC to finalise WUMP 		<ul style="list-style-type: none"> • Provides trainings to WRMC/CO as required • Maintain coordination among stakeholders and participates in the programmes organised by DDC/VDC/WRMC/RVWRMP

Phase : PREPARATORY

<i>Name of Stakeholders</i>	<i>Activities</i>						
	1. SO Selection (NGO/Consultant)	2. Preparatory Phase Agreement	3. Formation of Users' Committee	4. Preparatory Works	5. Detail Design BOQ	6. Preparation of CAP	7. Other Activities
DDC	<ul style="list-style-type: none"> • Extends duration of the agreement and scope of works of SO as recommends by DMC 	<ul style="list-style-type: none"> • Signs the Agreement • Releases agreement amount on instalment basis from DWRDF to SO's account 		<ul style="list-style-type: none"> • Monitors and evaluates performance of SO and preparatory phase activities 			
DMC	<ul style="list-style-type: none"> • Recommends to extend duration of the agreement of SO, if found reasonable. 	<ul style="list-style-type: none"> • Prepares agreement paper and necessary documents. 	<ul style="list-style-type: none"> • Assists UC for registration under District Water Resources Committee. 	<ul style="list-style-type: none"> • Provides technical back ups to UC and SO 	<ul style="list-style-type: none"> • Provides district rates and norms to SOs for design report preparation of schemes. 	<ul style="list-style-type: none"> • Approves scheme and Community Action Plan. 	<ul style="list-style-type: none"> • Monitors proper follow up of step by step procedures and implementation guidelines regarding the activities of preparatory phase • Ensures that SO staffs are deputed as proposed and following professionalism
DTO	<ul style="list-style-type: none"> • Facilitates DMC in evaluation and selection process 	<ul style="list-style-type: none"> • Signs the agreement 		<ul style="list-style-type: none"> • Support UC and SO in technical matters 	<ul style="list-style-type: none"> • Carries out technical feasibility, detailed survey and prepares design reports, cost estimates etc. of schemes, If SO can not provide technical human resources. • Checks design reports and cost estimates prepared by SOs and suggests for improvement if needed • Approves/recommends for approval of the design reports and cost estimates to the concerned authority 	<ul style="list-style-type: none"> • Monitors the activities 	<ul style="list-style-type: none"> • Monitors the activities the preparatory phase. • Recommends to DDC for SO payments.

VDC		<ul style="list-style-type: none"> • Signs the agreement of the preparatory phase 	<ul style="list-style-type: none"> • Supports in forming UC for democratic and inclusive representation . 	<ul style="list-style-type: none"> • Supports UCs in registration under Water Resources Act. • Registers COs as per Local Self Governance Act. 			<ul style="list-style-type: none"> • Actively participates in monitoring • Provides written commitment to DDC for cash contribution as project guidelines.
PSU				<ul style="list-style-type: none"> • Formulates and provides necessary guidelines and manuals 	<ul style="list-style-type: none"> • Support SOs/DTO by providing training and design software. 	<ul style="list-style-type: none"> • Supports in monitoring and evaluation of the project activities as required by the district 	<ul style="list-style-type: none"> • Follows up and supports the district projects activities.
WRMC/SC		<ul style="list-style-type: none"> • Signs the Agreement 	<ul style="list-style-type: none"> • Supports COs to form <u>User Committee</u> (UC) 	<ul style="list-style-type: none"> • Participates in trainings, layout of scheme, details technical survey. 		<ul style="list-style-type: none"> • Assists UC as required 	<ul style="list-style-type: none"> • Participates in monitoring.
UC				<ul style="list-style-type: none"> • Organizes mass meeting and decides scheme layout plan. • Participates and assists in feasibility and detail technical survey 		<ul style="list-style-type: none"> • Prepares community action plan providing responsibilities to all sections of community 	<ul style="list-style-type: none"> • Submits CAP and final report to DDC • Conducts public hearing to ensure the activities carried out. • Recommends to DDC for SO payments • Selects participants for trainings/participates in training as required • Collets investment and O&M fund from users

SO	<ul style="list-style-type: none"> • Submits the technical proposal to DDC (if additional set of staffs required for new schemes implementation). 	<ul style="list-style-type: none"> • Sign the Agreement of preparatory phase 	<ul style="list-style-type: none"> • Facilitate COs to form Users' Committee 	<ul style="list-style-type: none"> • Conducts different trainings and facilitates to UCs for selection of participants. • Facilitate in Scheme layout and UC meetings • Conducts feasibility and detail technical survey • Facilitate and support UC as required 	<ul style="list-style-type: none"> • Prepares design, drawings, cost estimate and BOQ of scheme according to district rate and technical norms. • Submits the final reports of preparatory phase including design and estimates of the scheme. • 		<ul style="list-style-type: none"> • Submits proposal for implementation phase. • Facilitates UC on preparing legislation (Bidhan) and registration • Coordinates among the stakeholder and submits the monthly progress reports to DDC. • Facilitates to CMs for COs activities within the scheme area. • Facilitates UC/COs and other Users (livelihood groups) in their various activities (eg. O&M fund including investment fund collection, livelihood and micro credit activities etc.) in their scheme area. • Facilitates UC/users for public hearing.
CO			<ul style="list-style-type: none"> • Involves in Users committees formation 	<ul style="list-style-type: none"> • Facilitates to SO in technical survey and other related activities. 			<ul style="list-style-type: none"> • Carries out saving/ credit and other activities

Phase : IMPLEMENTATION and POST IMPLEMENTATION

<i>Name of Stakeholders</i>	<i>Activities</i>			
	1. Implementation Phase Agreement	2. Implementation of Activities	3. Post Construction Phase Agreement	4. Post Construction Activities
DDC	<ul style="list-style-type: none"> Signs the agreement with VDC, UC and SO. 	<ul style="list-style-type: none"> Contributes in scheme investment. Releases instalment to UC's and SO's account timely Extends duration of the agreement of SO and UC if recommended by DMC. Reviews and decides on SO involvement as recommended by DMC. 	<ul style="list-style-type: none"> Signs on agreement with VDC, UC and SO 	<ul style="list-style-type: none"> Monitors and follows up of the activities
DMC	<ul style="list-style-type: none"> Prepares agreement paper and necessary documents. 	<ul style="list-style-type: none"> Monitors the activities and recommends DDC for payment Ensures completion of the activities provides technical back ups to UC and SO Monitors and evaluates implementation activities and performance of SOs and UCs. Recommends DDC to take action against SO if performance found to be unsatisfactory 		<ul style="list-style-type: none"> Assists DDC in monitoring, evaluation and follow up of the scheme Facilitates UC/COs/livelihood group in livelihood and micro finance activities
DTO	<ul style="list-style-type: none"> Signs on agreement Assists to prepare agreement documents 	<ul style="list-style-type: none"> Monitors, supervises the activities and ensures quality of construction and materials. Makes technical evaluation of the schemes. Prepares and verifies entries in the measurement books & bills of the completed works / Checks and verifies entries in measurement books & bills prepared by SOs. 		<ul style="list-style-type: none"> Assists in follow up of the scheme Monitors and supervises the activities

		<ul style="list-style-type: none"> • Recommends DDC for payments of bills to UCs and SOs 		
VDC	<ul style="list-style-type: none"> • Signs on Agreement • Matches the VDC fund to UC account as per agreement. 	<ul style="list-style-type: none"> • Monitors and evaluates implementation activities and performance of SOs and UCs and recommends to DDC for corrective measure • Recommends to DDC for final payments of UC and SO • Shares the experiences of UCs of a completed scheme to educate other UCs • Supports to communities to enhance livelihoods, to improve water supply and sanitation facilities and generate fund 		<ul style="list-style-type: none"> • Monitors, reviews the activities • Supports on livelihoods and income generating activities • Coordinates among stakeholders (DDC/DWSSDO/DTO and others) and resources mobilization. • Assist in water sources protection and conservation. • Allocates some fund for O&M annually. • Facilitate to UC to formulate O&M system (water tariff, mobilization, VMW incentive) • Actively seeks support for further implementation of the WUMP reflected activities • Update WUMP in regular interval •
PSU		<ul style="list-style-type: none"> • Supports in monitoring and evaluation • Follow up the district projects activities. • Facilitates to district project in implementation of project activities. • Provides technical and financial support in District level and VDC level trainings (WSST, Design software, WRMC/CO related trainings). 		<ul style="list-style-type: none"> • Supports in monitoring and evaluation, as well as impact analysis. • Provides seed money to UC, WRMC or CO following project policies and guidelines • Provides technical and financial backstopping for capacity building and overall management of developed institution in

		<ul style="list-style-type: none"> • Monitors DWRDF mobilization and utilization. • Assists DMC in the formalization of COs/UC into legal institution such as cooperative 		sustainable manner.
WRMC		<ul style="list-style-type: none"> • Supports UC in local resource mobilization and monitors the implementation level activities • Coordinates with DDC, VDC and UCs. • Mobilises the community in implementation level activities. • Supports COs/livelihood groups/UCs in livelihood and micro finance activities and monitors the activities 		<ul style="list-style-type: none"> • Monitors, reviews the activities • Supports on livelihoods and income generating activities • Coordinates among stakeholders (DDC/DWSSDO/DTO and others) and resources mobilization. • Assist in water sources protection and conservation. • Allocates some fund for O&M annually. • Facilitate to UC to formulate O&M system (water tariff, mobilization, VMW incentive)
UC	<ul style="list-style-type: none"> • Signs on Agreement 	<ul style="list-style-type: none"> • Procures construction materials as per specification • Manages transportation and storage of materials • Mobilizes local resources for project activities • Participates in trainings, meetings and workshops • Conducts regular meetings and reviews the activities • Maintain proper book keeping/record keeping • Maintains project hoarding board with details of layout/estimates of the scheme 		<ul style="list-style-type: none"> • Prepares action plan for post construction activities • Takes full responsibility for O&M of the system for at least 6 months after construction. • Follow up the activities. • Conducts operation and maintenance of the project regularly • Formulate O&M system (Mobilize and manage the O & M fund, Collect the water tariff from beneficiaries regularly and Ensures VMW services).

ANNEX 2

		<ul style="list-style-type: none"> • Conducts public hearing and public auditing and updates project hoarding board • Recommends to DDC for payments of SO • Evaluates the performance of UC and their roles in scheme implementation 		<ul style="list-style-type: none"> • Promotes HSE activities and ensures source protection. • Conducts public hearing and public auditing • Maintain proper book keeping/record keeping
SO	<ul style="list-style-type: none"> • Submits the technical proposal to DDC (if additional set of staffs required for new schemes implementation). • Sign on agreement. 	<ul style="list-style-type: none"> • Conducts scheme level trainings/workshops/seminars and ensures participation according to GESI policy of project. • Assists UC in procurement and transportation of materials and construction work • Ensure the quality of materials and workmanship • Assists in social mobilization and livelihoods activities • Prepares measurement book and bills of the completed works • Participates in monitoring • Helps UC on public hearing and auditing • Submits the monthly/final progress reports to DDC/DMC. 		<ul style="list-style-type: none"> • Conducts review meetings • Conducts refresher training as required • Supports UC in fund management and income generating activities • Facilitates UC for post construction planning
CO		<ul style="list-style-type: none"> • Runs regular saving and credit scheme for income generating and livelihoods promotion activities • Generates O&M fund and mobilize the community for regular operation and maintenance of the scheme 		<ul style="list-style-type: none"> • Continues income generating activities • Assist the members to scale up existing and establishment of new exotic/indigenous enterprises

Annex 3: Summary Table of Common Training Activities

Period	Funded through	
	District Water Resources Development Fund	Project Support Unit
Planning phase	None	<ul style="list-style-type: none"> ○ WUMP related trainings ○ Community Mobilisers Training (Foundation) ○ Coordination/planning meetings ○ Training for WRAs/DTOs/DoLIDAR/MLD staff ○ Exposure visits in Nepal ○ Participation in international forum and conference on water issues ○ Gender Equality and Social Inclusion training/workshop
Preparatory phase	<ul style="list-style-type: none"> ○ Orientation on RVWRMP, GSI, HSE , WUMP, O&M ○ Design, estimate and community action planning training ○ Financial management, book keeping, procurement ○ Health and Sanitation Education, Gender Equality & Social Inclusion 	<ul style="list-style-type: none"> ○ Community Mobilisers Training (Leader, TOT) ○ SO training (TOT) ○ Coordination/planning meetings ○ Training for WRAs/DTOs/DoLIDAR/MLD staff ○ Participation to international forum and conference on water issues ○ Health and Sanitation training (environmental Sanitation, school lead sanitation campaign, DDC & VDC council members trainings, Arsenic mitigation in Kailali) ○ Gender Equality and Social Inclusion training/workshop
Implementation phase	<ul style="list-style-type: none"> ○ Pre-construction seminar/ meeting ○ Technical Trainings (Village Maintenance Worker , Local Latrine Builder's, Rain Water Harvesting, Gravity Water Supply, Technician micro-irrigation, Multiple Use System training, Technicians micro-hydro (power-plant operators and domestic/industrial electricians) ○ Technicians nursery/bio-engineering/plantation ○ Progress review seminars during construction ○ Preparation for public auditing 	<ul style="list-style-type: none"> ○ Community Mobilisers Training (Saving Mobilisation, Institutionalisation of WRMC) ○ Coordination/planning meetings ○ Training for WRAs/DTOs/DoLIDAR/MLD staff ○ Participation to international forum and conference on water issues ○ Health and Sanitation training (environmental sanitation, school lead sanitation campaign, DDC & VDC council members trainings, Arsenic mitigation in Kailali) ○ Gender Equality and Social Inclusion training/workshop
Post construction phase	<ul style="list-style-type: none"> ○ Operation and Maintenance training ○ Other trainings in post construction phase ○ Refresher training to VMW 	<ul style="list-style-type: none"> ○ Coordination/planning meetings ○ Training for WRAs/DTOs/DoLIDAR/MLD staff ○ UC members exposure visits in Nepal ○ Participation to international forum and conference on water issues ○ Gender Equality and Social Inclusion training/workshop

**TERMS OF REFERENCE (TOR)
FOR
THE SERVICES OF SUPPORT ORGANIZATIONS
IN RURAL WATER RESOURCE MANAGEMENT PROJECT,
DISTRICT SUB-PROJECTS**

1. Scope of work

Support Organizations (SOs) will be selected on competitive basis to carry out services under the specified terms and conditions mentioned in their contract document. The SOs are expected to maintain overall coordination with DMC/DDC, VDC and other district based sector agencies over the course of their assignment. DMC will select and hire SOs to carry out activities in Preparatory, Implementation and Post Construction Phases of water resource schemes to perform the below listed activities.

More details about the scope of work, tasks, formats of data collection and reporting, training contents and curriculum, etc. is presented in the Step By Step Manual of the Project. SO shall strictly adhere to the SBS Manual in all activities.

1.1 Planning Phase

DMC will hire capable non-government organizations (NGO, consulting firm) to work as SOs in Planning Phase. PSU will recruit the same SO that DMC has selected for the concerned VDC for preparatory, implementation and post-construction phases.

In the planning phase the SO is responsible for (i) Baseline Data Collection and WUMP awareness activities(eg. CBT to WRMC/SC and confidence building to DAGs and women), and (ii) supporting WUMP preparation.

1.2 Preparatory Phase

SOs will work in close coordination with DDC, VDC, WRMC, UC and COs to facilitate scheme preparation Series of meetings and trainings with concerned stakeholders at village level is required to accomplish the task. Major Tasks of the SO in this phase are;

Social works

- Mobilization of community.
- Support to UC for Layout Plan preparation.
- Formation of UC.
- Conduct Different Trainings on
 - ✓ Health, Education and Sanitation (HSE) to UCs, COs, FCHV/MG
 - ✓ Operational Procedure
 - ✓ Financial Management Training including; Book Keeping, Store Management and Procurement
 - ✓ Training on quality of construction materials/pipes/fittings

- ✓ Community Action Planning
- ✓ Environment and Water Resource Management
- ✓ Gender Equality and Social Inclusion (GESI)
- ✓ Solid Waste Management
- ✓ Income Generation Training as identified by COs, including micro-credit and O&M fund mobilization.
- Preparation of Community Action Plan
- Organize mass meetings of users separately with women, men, Dalits (if deemed necessary) and jointly.
- Join the monitoring team and participate during preparation of monitoring report.

Technical works

- Feasibility and Detail technical survey of the scheme
- Detail design of scheme and preparation of cost estimates, detailed drawings and BOQ.
- Finalization of CAP
- Regular reporting to the DDC through DMC

1.3. Implementation Phase

After successful completion of the preparatory phase of the scheme and if communities are ready to contribute as per the project guidelines, the scheme will continue with the implementation phase. Coordination between concerned stakeholders at village and district level is required to accomplish the task. Major Tasks of SO in this phase are;

Social works

- Organize pre and post construction seminars, and during the implementation organize construction review seminar.
- Organize refresher trainings
- Organize mass meetings
- Conduct hygiene and sanitation promotion programme
- Promote and advocate GESI issues
- Join the monitoring team and participate during preparation of monitoring report.
- Facilitate in preparation of operation and management plan
- Conduct Post Construction Seminars,
- Train and assist UC in organizing public auditing.

Technical works

- Assisting UCs in purchase of quality materials.
- Checking the quality of procured construction materials.
- Proper selection and use of the local construction materials.
- Regular supervision of construction works to ensure quality and timely completion of the scheme.
- Join the monitoring team and participate preparation of monitoring report.
- Regular reporting of the progress to the DDC through DMC
- Support to conduct LLB, RWH mason and VMW trainings

1.4. Post-Construction Phase

After successful completion of all construction activities and financially cleared by the DDC, the post construction activities will start to ensure the sustainability of the schemes. Coordination and linkage between concerned stakeholders at village and district level is required to ensure continuation of these tasks. Major Tasks of SO in this phase are;

- Mobilize users for operation and maintenance of the schemes.
- Support UC/COs to mobilize revolving loan fund
- Support UC/COs to run income generating activities.
- Support WRMC/UC/CO to develop linkage with other concerned organizations, networks and federations.
- Support UC/COs to follow the operation and management plan.
- Follow-up and continue backup support to WRMC/UC/COs.

2. Time schedule

Maximum time allocated for accomplishment of the task related to different technologies is presented in annex-6. The DDC will can make a separate agreement with the NGO for different schemes for its inputs. However, it is advisable to assign the SO to work in a number of schemes in the same VDC at a time. Some schemes may then be at preparatory phase and some schemes in implementation or post-construction phase. In this manner cost-efficiency and optimum use of human resources can be achieved.

3. Pre-qualification of SOs

3.1 Submission of the proposals for PQ

DMC will produce the Pre-qualification format and DDC shall publish a public notice in local or regional/national newspaper and on the DDC notice board. Interested NGOs or firms registered in the district or in any of the respected region's districts and having permanent office in the concerned working district can submit their proposal for PQ in a sealed envelope using the PQ-format and providing the required additional information such as CVs of staff, reference work information, etc.

3.2 Evaluation process

The following criteria will be used for the evaluation of proposals submitted for PQ:

Evaluation criteria are divided into following the four main categories:

Parameters	Maximum Scores
General information of SO	10
Experience of organization	15
Organizational set-up	25
Available human resource	50

3.3 Final Pre-qualification

DMC will evaluate the SOs bio-data and other related documents based on set criteria. Those SOs who score more than 60% marks are pre-qualified. If required number of SOs failed to score 60 % marks, DMC will re-publish the notice and can pre-qualify those SOs who score more then 50 marks. Name list of the pre-qualified SOs shall be published in the DDC notice board.

4. Technical Proposal

4.1 Submission of the proposals

DDC will call technical proposals from pre-qualified SOs by publishing notice in a local or regional/national newspaper. The proposals shall be submitted in sealed envelopes and duly signed by the authorized person of the SO. Technical proposals shall be opened for evaluation following the prevailing rules and regulations of the GON.

4.2 Evaluation process

4.2.1 Evaluation parameters and maximum score

Following parameters will be used for the evaluation of technical proposals submitted by the SOs.

Parameters	Maximum Scores
A. Pre-Qualification score	10
B. Specific experience on water resource activities	10
C. Qualification and experience of proposed personnel	40
D. Quality of proposal	10
E. Interview of proposed human resource	30

4.2.2 Final evaluation

DMC will evaluate the technical proposal based on set parameters. First, evaluation will be made on first four parameters i.e. 70 marks. Those NGOs who score more then 60% marks are pre-selected and their proposed staffs (Full time only) should pass through interview. After adding the interview marks, only those SOs will be selected which gets the minimum 60% marks in total.

In general one SO will work in one VDC. Based on the number of RVWRMP working VDCs, the higher scorer SOs will be selected first.

4.3 Final selection and agreement

After evaluation of the technical proposal, DMC will negotiate with higher scorer SOs to finalise the staff's rate based on their staff's qualification and experience. The salary rate of the staff should be within the limit set by the project. As mutual understanding is reached between DMC and SO, DMC will make the agreement with the SOs to facilitate project activities in planning, preparatory, implementation and post construction phase.

SOs will not be allowed to change the proposed staffs during the implementation of project activities.

5. Management responsibility

- The SO will sign the contract before starting the actual work.
- The SO awarded with the contract should orient the personnel assigned for the job on the Step by Step Manual, Implementation Guideline and the process and methods on social activities in water resource /or sanitation schemes.
- It is the SO's responsibility to manage the necessary transportation, all kind of necessary teaching learning materials and other logistic during the course of work.

6. Composition of Team

The Implementation Guideline and the Step by Step Manual prepared by the Rural Village Water Resource Management Project (RVWRMP) are the main tools to guide the Support Organizations in direction to support the User Committees (water/sanitation/irrigation). District Management Committee (DMC) on behalf of the each participating district bears full responsibility of providing necessary support related to the scheme to the User's Committee through the NGOs.

Therefore, the assigned staff should have sufficient experience and skills, and depth of knowledge in water resource sector and educational qualification required as well. The project team shall also include at least one woman and one DAG. Type of staff, minimum qualification and the maximum rate/month is given table below.

Table-1: Types of staff and desired qualification and maximum rate

Type of Staff	Minimum qualification	Minimum Experience	Rate per Month NER
A. Social Human Resource			
Team Leader	Bachelor's Degree in Any discipline	Two years in organization management	15,000 -20,000
Field Coordinator	Intermediate Degree in Any discipline	Two years in rural development activities	10,000 – 15,000
Health Promoter	AHW/CMA/ANM	Two years in rural areas.	7,000 – 10,000
Account Assistant	Intermediate in Commerce	Two years' experience in Book Keeping and Accounting	9,000 – 12,000
B. Technical Human Resource			
Overseer	Intermediate Degree in Civil engineering	Two years in Survey, supervision and implementation of water resource activities	12,000 – 15,000

Water Resource Technician	Certificate of relevant Basic training or ten years of schooling	Two years in implementation of rural water supply and sanitation activities	7,000 – 12,000
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The above human resources are supposed to work in a team including other staff nominated by DDC/PSU. Bio data of the proposed staff should be submitted in the technical proposal.

Remoteness allowance: A remoteness allowance can be provided as decided by the DMC according to GoN rules for the SO staff working in the most remote districts. See Annex 9 for detailed allowance categories. The DMC can decide to provide additional time for SOs working in very remote VDCs based on tables provided in Annex 6.

6. Reporting

The SOs should produce monthly work plans including details of the activities to the DMC in the first week each month before monthly progress review meeting organized by DMC.

7. SO performance evaluation

The performance evaluation involves two methods:

One focuses on the observation of essential skills displayed by the post holders such as communication skills, leadership & charisma, reporting capacity, reliability regarding financial matters, survey, design, construction supervision capacity. Each staff member will receive periodically a score reflecting the observed skills

The SO staff is evaluated based on observation by the WRA / WRE during their interactions at field and office level. For that effect, WRA/WRA should keep accurate diary of their observation regarding behaviours and attitude of the SO staff. The opinion of Community Mobilisers and Users Committees are also collected during the various interactions.

The other method focuses on the execution of the scheme cycle. Each step of the cycle is evaluated base on its completeness, conformity, and satisfaction/retention. Each scheme is visited according to the monitoring & evaluation schedule and the level of completeness, conformity, satisfaction/retention are evaluated by a team of RVWRMP & GoN staff.

Both methods deliver scores which can be aggregated to judge the overall performance of the SO as a whole as well as the individual staff. The methods also allow a comparison of the SOs and correlations can be explored (cost & performance analysis, allocation of incentives based on performance etc.)

For the full performance evaluation criteria refer to Step-by-Step Manual.

8. Payment

The SO will be entitled to get 33% of the amount in advance after signing the agreement as the first instalment, to meet necessary expenses for mobilization and establishment.

The second instalment will be made in relation to progress of the work not exceeding the amount of 33% of the total amount in the contract paper.

The third instalment means the remaining 34% of the total amount, will be paid after successful completion of all the activities.

Evaluation of SO for Pre-qualification

The PQ form of support organization will be evaluated on the basis of the following main aspects:

Parameters	Maximum Scores
A. General information of SO	10
B. Experience of organization	15
C. Organizational set-up	25
D. Available human Resource	50

A. General information of SO **Maximum -10 marks**

A.1 Renewable Maximum – 3 marks

Organization renewing its registration as per prevailing rules of GON will get marks in evaluation. Organisation will get one mark for each year but not exceeding 3 marks. Renewable since more than 3 years also will get maximum marks. Newly (same year) established SOs will get one mark.

A.2 Affiliation to social welfare council Maximum – 1 marks

A.3 Transparency

A.3.1 Audit Maximum – 2 marks

Annual audit of the financial income and expenditure of the organization as per prevailing rules of Government of Nepal will be taken into account. Organisation will get one mark for last two years audit and additional one mark for more than two years.

A.3.2 Annual general assembly Maximum – 2 marks

Annual general assembly to ensure transparency of SOs activities will be taken into account. Organisation should submit last two years general assembly report and photocopy of attendance of the participants. Maximum marks will be two for last two years.

A.4 Specific working area of SOs

Maximum – 2 marks

Overall objective of the organisation will be taken into account. Organisation should submit their registered statute. Maximum marks will be two for last two years. If SO failed to submit their registered statute, they will be disqualified.

Objective of the organization will be evaluated based on their registered statute.

- Social mobilization (group formation, micro-credit, capacity building) with community development activities (excluding water resources) *1 marks*
- Social mobilization with community development including water resource management activities *2 marks*

B. Experience of the Organization

Maximum - 15 marks

B.1 General Experience

Maximum – 5 marks

Experience of the organization in implementation of rural development activities will be taken into account under this sub-category. One mark for each year will be given not exceeding 5 marks. Experience above 5 years also will be given the same 5 marks.

B.2 Specific Experience

Maximum – 7 marks

Experience in community based rural water resource (drinking water supply and sanitation/irrigation/micro-hydro) schemes will be evaluated under this sub-category. Two marks will be given for successful completion of one scheme with maximum of 7 for completion of more than three schemes.

B.3 Work Experience in Similar Area

Maximum – 3 marks

Work experience of organization in those geographical areas where the RVWRMP is working in the district will be considered under this sub-category. One mark will be given for successful completion of each rural development scheme and maximum will be 3 marks.

C. Organizational Set-up

Maximum – 25 marks

Under this category the following aspects will be taken into account.

C.1 Local organization

Maximum – 5 marks

Organization based in the concerned VDC/district will be the basis of evaluation under this heading.

- SO based in the concerned VDC and registered in the concerned district *5 marks*
- SO based in district headquarter and registered in the concerned district *3 marks*
- Registered in respected region's districts and having permanent office within the concerned project district. *1 mark*

C.2 Human resource in executive committee

Maximum – 15 marks

Qualification and experience of the executive members and volunteers in the organization will be the basis of evaluation in this heading.

- **Women in executive committee** *Maximum – 4 marks*
One mark for each female member with a maximum of four marks.

- **Dalit/Disadvantaged group in executive committee** *Maximum – 4 marks*
marks
One mark per Dalit/DAG member with a maximum of four marks.

- **Qualification of executive members** *Maximum – 3 marks*
One mark per executive member/staff with/above graduate level qualification, with a maximum of 3 marks.

- **Experience of executive members** *Maximum – 4 marks*
0.5 marks for one year work experience per person in the field of rural development activities, maximum will be one mark for one person and maximum 4 marks in total.

C.3 Office set-up

Maximum – 5 marks

Under this sub-category organization will be evaluated on the following basis.

- Own office building with attending person with telephone and other office equipment including computer 5 marks
- Rental office room with attending person with telephone and other office equipment facilities 3 marks
- Rental office room with attending person and office equipment facilities 2 marks

D. Available Human Resource in the organization**Maximum – 50 marks**

In this category, the available number of relevant social and technical human resources with SOs will be identified. As per RVWRMP guideline, the number of personals of SOs will be categorized and score will be given as follow:

D. 1 Qualification**Maximum – 15 marks**

Category base on qualification	Maximum score	Mark per Person
Graduation level Social	1	1 mark per person
Graduation level Civil Engineering	2	2 marks per person
Overseer Level	3	2 marks per person
Intermediate level - Accounting	1	1 marks per person
Intermediate level - Social	3	2 marks per person
Other Field level human resource	3	2 marks per person
Water Resource Technicians	2	1 marks per person

D. 2 Work Experience**Maximum – 35 marks**

Experience in Water Resource or Rural Development Field	Maximum score	Mark per Person/year
Graduation level Human resource person (Social)	3	1 marks per person/year
Graduation level human resource (Civil Engineering)	3	2 marks per person/year
Overseer Level	7	3 marks per person/year
Intermediate level - Accounting	2	1 marks per person/year
Intermediate level - Social	7	2 marks per person/year
Water Resource Technicians	7	3 marks per person/year
Other Field level human resource	6	2 marks per person/year

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Evaluation Criteria for Technical Proposals of Support Organization

The technical proposals of support organization to facilitate in scheme implementation will be evaluated on the basis of the following main parameters:

Parameters	Maximum Scores
A. Pre-Qualification score	10
B. Specific experience on water resource activities	10
C. Qualification and experience of proposed personnel	40
D. Quality of proposal	10
E. Interview of proposed human resource	30

A. Pre-qualification score of the Organization **Maximum - 10 marks**

In this heading SOs will get 10% of PQ marks.

B. Specific experience on water resource activities **Maximum - 10 marks**

B.1 Scheme implementation Maximum – 5 marks

Scheme implementation level work experience in community based water resource (drinking water supply/ irrigation / micro-hydro) schemes will be considered under this sub-category. Two marks will be given based on size (population) and successful completion of scheme with maximum of 5 marks.

Size/population	completion number	Max mark/scheme
>1000 population	1	2
<1000 population	1	1

B.2 Best example of organisation *Maximum – 3 marks*

NGO shall submit at least one best example of their past work experience on water resource sector explaining their experience including lessons learned and recommendation towards sustainability. Evaluation will be made based on their written skill and quality of presentation.

B.3 Financial Turnover *Maximum – 2 marks*

Average annual turnover of last two years at least equal to estimated amount of the contract will get maximum 2 marks. Annual financial turnover between 40 to 99 % of the estimated amount of the contract will get 1 mark. No financial transaction will get zero.

C. Qualification and Experience of Proposed Staff **Maximum – 40 marks**

Evaluation will be done based on qualification and work experience of the proposed staff with specific projects mentioned in their bio-data submitted with technical proposal. The proposed field staff shall include at least one woman and one DAG member. Evaluation of the proposed staff under this heading will be done by the following sub-categories;

C.1 Team Leader

Maximum – 3marks

The Team Leader will be the executive member or full time staff of the concerned organization and he/she will serve as a part time staff for the RVWRMP schemes. He/she should be available throughout the project duration as and when needed. Evaluation will be based on the following;

C.1.1 Work experience

Maximum –2.5 marks

Experience on organisation management of rural development projects will be taken into account under this sub-category. One mark will be given for each year in organisation management of community development activities (max. 2). Experience on implementation of rural water resource/sanitation scheme (RWSS) will be additional advantage (max. 0.5).

C.1.2 Female/dalit

Maximum – 0.5 Marks

C.2 Field Co-ordinator

Maximum – 8 marks

The Field Coordinator should be full time staff for scheme implementation activities in the field and he/she should be available through out the project duration. Evaluation will be based on the following:

C.2.1 Work Experience

Maximum – 6 marks

Implementation level work experience of rural development projects including water resource activities (water supply/sanitation/irrigation/micro hydro schemes) will be taken into account under this sub-category with the maximum of 6 marks.

- Two marks will be given for each year in implementation of community development activities (excluding water resource). The maximum score will be 4, or
- Three marks will be given for each successful completion of community development activities including water resource schemes. The maximum score will be 6.

C.2.2 Female/Dalit/DAG

Maximum - 2 Marks

C.3 Health Promoter

Maximum – 8 marks

The Health Promoter should be full time staff for scheme implementation activities in the field and he/she should be available through out the project duration. Evaluation will be based on the following:

C.3.1 Work Experience

Maximum – 6 marks

Implementation level work experience in social mobilization and health promotion activities in community development projects. Implementation level experience on water resource management activities (water supply/sanitation/irrigation/micro hydro schemes) will be additional advantage.

- Two marks will be given for each year in implementation of community development including health promotion activities (without water resource schemes). The maximum score will be 4, or

- Three marks will be given for each successful completion of community development activities including water resource schemes. The maximum score will be 6.

C.3.2 Female/ Dalit/DAG

Maximum - 2 Marks

C.4 Accountant Assistant

Maximum – 2 marks

Accountant can be part time staff and s/he is responsible to facilitate users committee in booking keeping and enhance capacity in simple accounting system. He/she should be available through out the project duration as and when needed. While evaluation, one mark will be for one year practical work experience in account management.

C.5 Engineer

Maximum – 3 marks

Engineer will be part time staff for scheme implementation activities (design and supervision) and he/she should be available as and when needed during the project duration. Evaluation will be based on the following:

C.5.1 Work Experience

Maximum – 3 marks

Work experience on design and implementation of water resource activities (water supply/sanitation, irrigation and micro hydro schemes).

- Two marks will be given for each year in design and implementation of water resource activities.

C.5.2 Women/ Dalit/ DAG

Maximum – 1 mark

C.6 Overseer

Maximum – 8 marks

Overseer will be full time staff for scheme implementation activities (survey, design, supervision). He/she should be available through out the project duration. Evaluation will be based on the following:

C.2.1 Work Experience

Maximum – 6 marks

Implementation level work experience in survey, design, supervision, monitoring and social mobilization activities in water resource development projects.

Two marks will be given for each year in implementation of water resource development activities.

C.2.2 Female/ Dalit/DAG

Maximum - 2 Marks

C.7 Water Resource Technicians

Maximum – 8 marks

Water resource technicians will be full time staff for scheme implementation activities. He/she is mainly responsible on construction supervision of the schemes activities.

He/she should be available through out the project duration. Evaluation will be based on the following:

C.2.1 Work Experience

Maximum – 6 marks

Work experience on construction supervision and mobilization activities in water resource development projects.

Two marks will be given for each year in implementation of water resource development activities.

C.2.2 Female/ Dalit/DAG

Maximum - 2 Marks

D. Quality of the proposal

Maximum–10 marks

It is expected that the NGO shall submit a brief and precise technical proposal explaining the methodology and work plan to performing the jobs as per the TOR. Evaluation will be made base on their understanding towards development approach, writing skill, quality of fact and figures, fairness and required documents.

Understanding of development approach	Maximum- 3 marks
Proposal writing skill	Maximum- 3 marks
Completeness and fairness	Maximum- 2 marks
All the required documents	Maximum- 2 marks

E. Interview of proposed human resource

Maximum 30 Marks

An interview of full time field staffs will be made after evaluating the technical proposal based on above criteria. The mark obtained by the proposed staffs will be added to the total mark of technical evaluation and selection will be made accordingly. The marking of key field staff will be made as:

- Field Co-ordinator Maximum 8 marks
- Overseer Maximum 8 marks
- Health Promoter Maximum 7 marks
- Water Resource Technician Maximum 7 marks

The interview is divided into two parts: 1) oral test and 2) written test.

DMC can decide on specific criteria for evaluation of interviews for different positions as well as division of marks between oral and written tests.

Human Resources to be fielded by the Support Organization for Scheme Implementation

1. FUNCTION AND RESPONSABILITIES

The following personnel have been identified based on RVWSSP experience

- Team Leader
- Field Co-ordinator
- Health promoter
- Accountant
- Sub-engineer
- Water Resource Technician

2. ASSIGNMENT PERIOD AND DURATION

Based on RVWSSP experience, three periods of assignment have been envisaged:

- Preparatory Phase :
- Implementation (construction) phase
- Post construction phase

The tables below provide the detail of each personnel assignment for both individual scheme and a package of more schemes. Table 1 shows the SO human resources requirements for Preparatory Phase and Table 2 for Implementation and Post-Construction Phases.

The SO costs should not exceed 15% of the total scheme cost.

Table 1: SO Human resources requirement for Preparatory Phase

Human Resource Required for different Phases of RVWRMP schemes

Annex - 6

Preparatory Phase :

1. Individual scheme

Type of Human Resource	1						2						3						4						5		Combination of More than one technology in Same area			
	Gravity WS (population) & <10% HH latrine						Gravity WS (population)& 75-100% HH latrine						RWH WS (population)& 10-20% HH latrine						Stand Alone Sanitation (Household)						Small Irrigation (any size)					
	200- 500		501-1000		>1001-1800		< 500		501-1000		>1001-1800		<= 500		501-1000		>1001-1800		30-50		51-100		101-150		MD		No of person			
MD	No of person	MD	No of person	MD	No of person	MD	No of person	MD	No of person	MD	No of person	MD	No of person	MD	No of person	MD	No of person	MD	No of person	MD	No of person	MD	No of person	MD	No of person	MD	No of person	MD	No of person	
A. Social Human Resource																														
1 Field Co-ordinator	3	1	3.5	1	4	1	4	1	4.5	1	5	1	2.5	1	3	1	3.5	1	2.5	1	3.5	1	4.5	1	3.5	1	Base scheme MM + (Total of additional MM x 0.2)	1		
2 Health promoter	3	1	3.5	1	4	1	4	1	4.5	1	5	1	2.5	1	3	1	3.5	1	2.5	1	3.5	1	4.5	1	3.5	1	Base scheme MM + (Total of additional MM x 0.2)	1		
3 Team Leader	0.2	1	0.2	1	0.2	1	0.2	1	0.2	1	0.2	1	0.2	1	0.2	1	0.2	1	0.2	1	0.2	1	0.2	1	0.2	1	0.2	1		
B. Technical Human Resource																														
1 Overseer	1.5	1	2.5	1	3.5	1	2	1	3	1	4	1	0.5	1	1	1	1.5	1	0.5	1	0.7	1	1	1	2	1	Base scheme MM + (Total of additional MM x 0.2)	1		
2 Water Resource Technician	0.5	1	0.6	1	0.7	1	0.5	1	0.6	1	0.7	1	0													0.5	1	Base scheme MM + (Total of additional MM x 0.2)	1	
2. Combine Package	Additional Time input of HR (%)						Additional Time input of HR (%)						Additional Time input of HR (%)						Additional Time input of HR (%)						Additional Time input of HR (%)					
2 Schemes	20	20	20	20	20	20	20	20	20	20	20	20	20	20	20	20	20	20	20	20	20	20	20	20	20	20	20	20		
3 Schemes	25	25	25	25	25	25	25	25	25	25	25	25	25	25	25	25	25	25	25	25	25	25	25	25	25	25	25	25		
4 schemes	30	30	30	30	30	30	30	30	30	30	30	30	30	30	30	30	30	30	30	30	30	30	30	30	30	30	30	30		

Note: The size of the scheme above the mention population/household, DMC may decided the additional human resource and manmonth for the SO.

Additional cost:

1. Remoteness:

* Remoteness of a scheme needs additional time input from SO staff. For schemes located more than 8 Kosh (20 KM from roadhead, SO staff input will be increased as follows

Sn	Distance from the nearest Roadhead	Percentage increase in time for preparatory phase	Percentage
1	8-12 Kosh (21-30 Km)	5	5
2	12-16 Kosh (31-40 Km)	10	10
3	16-20 Kosh (41-50 Km)	15	15
4	20 - 25 Kosh (50-63 Km)	20	20
5	> 25 Kosh (63 Km)	25	25

2. Management cost

10% of total human resource cost will be paid as overhead to an NGO

3. Communication/transportation and reporting

5% of total human resource cost

4. Survey Equipment management cost

5% of total human resource cost (Note : Engineering consultant will not be paid)

Table 2: SO human resource requirements for Implementation and Post-Construction Phases

Type of Human Resource	1						2						3						4						5		Combination of >1 technology in Same area			
	Gravity WS (population)& 10-20% HH latrine						Gravity WS (population)& 75-100% HH latrine						RWH and Sanitation (population)						Stand Alone Sanitation (Household)						Small Irrigation (any size)					
	200 - 500		501-1000		1001-1800		300 - 500		501-1000		1001-1800		<=500		501-1000		1001-1800		30-50		51-<100		>100-150		MD	No of person				
MD	No of person	MD	No of person	MD	No of person	MD	No of person	MD	No of person	MD	No of person	MD	No of person	MD	No of person	MD	No of person	MD	No of person	MD	No of person	MD	No of person	MD	No of person	MD	No of person			
A. Social Human Resource																														
1 Team Leader	0.3	1	0.3	1	0.3	1	0.4	1	0.4	1	0.4	1	0.3	1	0.3	1	0.3	1	0.3	1	0.3	1	0.3	1	0.3	1	0.3	1	0.3	1
2 Field Co-ordinator	5	1	6	1	7	1	6.5	1	8.5	1	10	1	5	1	6	1	7	1	5	1	7	1	9	1	5	1	5	1	5	1
3 Health promoter	5	1	6	1	7	1	6.5	1	8.5	1	10	1	5	1	6	1	7	1	5	1	7	1	9	1	5	1	5	1	5	1
4 Accountant	0.5	1	0.5	1	0.5	1	0.5	1	0.5	1	0.5	1	0.5	1	0.5	1	0.5	1	0.5	1	0.5	1	0.5	1	0.5	1	0.5	1	0.5	1
B. Technical Human Resource																														
1 Overseer	5	1	6	1	7	1	6	1	7	1	8	1	0.5	1	0.75	1	1	1	1	1	1.5	1	2	1	5	1	5	1	5	1
2 Water Resource Technician	5	1	6	1	7	1	6.5	1	8.5	1	10	1	5	1	6	1	7	1	0	1	7	1	9	1	5	1	5	1	5	1

2. Combine Package for Cost effectiveness Additional Time Input on Individual scheme.

2 Schemes	Additional Time Input (%)		No of person		Additional Time Input (%)		No of person		Additional Time Input (%)		No of person		Additional Time Input (%)		No of person		Additional Time Input (%)		No of person		Additional Time Input (%)		No of person		Additional Time Input (%)		No of person	
	MD	No of person	MD	No of person	MD	No of person	MD	No of person	MD	No of person	MD	No of person	MD	No of person	MD	No of person	MD	No of person	MD	No of person	MD	No of person	MD	No of person	MD	No of person	MD	No of person
1 Team Leader	30	1	30	1	30	1	30	1	30	1	30	1	30	1	30	1	30	1	30	1	30	1	30	1	25	1	25	1
2 Field Co-ordinator	40	1	40	1	40	1	40	1	40	1	40	1	40	1	40	1	40	1	40	1	40	1	40	1	40	1	40	1
3 Health promoter	40	1	40	1	40	1	40	1	40	1	40	1	40	1	40	1	40	1	40	1	40	1	40	1	40	1	40	1
4 Accountant	30	1	30	1	30	1	30	1	30	1	30	1	30	1	30	1	30	1	30	1	30	1	30	1	25	1	25	1
B. Technical Human Resource																												
1 Overseer	40	1	40	1	40	1	40	1	40	1	40	1	40	1	40	1	40	1	1	1	1.5	1	2	1	40	1	40	1
2 Water Resource Technician	0	2	0	2	0	2	0	2	0	2	0	2	0	2	0	2	0	1	0	1	7	1	9	1	0	2	0	2

Additional Time Input on Individual scheme.

3 Schemes	Additional Time Input (%)		No of person		Additional Time Input (%)		No of person		Additional Time Input (%)		No of person		Additional Time Input (%)		No of person		Additional Time Input (%)		No of person		Additional Time Input (%)		No of person		Additional Time Input (%)		No of person	
	MD	No of person	MD	No of person	MD	No of person	MD	No of person	MD	No of person	MD	No of person	MD	No of person	MD	No of person	MD	No of person	MD	No of person	MD	No of person	MD	No of person	MD	No of person	MD	No of person
1 Team Leader	50	1	50	1	50	1	50	1	50	1	50	1	50	1	50	1	50	1	50	1	50	1	50	1	50	1	50	1
2 Field Co-ordinator	60	1	40	1	40	1	60	1	40	1	40	1	60	1	40	1	40	1	60	1	40	1	40	1	60	1	60	1
3 Health promoter	60	1	40	1	40	1	60	1	40	1	40	1	60	1	40	1	40	1	60	1	40	1	40	1	60	1	60	1
4 Accountant	50	1	25	1	25	1	50	1	25	1	25	1	50	1	25	1	25	1	50	1	25	1	25	1	50	1	50	1
B. Technical Human Resource																												
1 Overseer	60	1	60	1	60	1	40	1	40	1	40	1	40	1	40	1	40	1	1	1	1.5	1	2	1	60	1	60	1
2 Water Resource Technician	0	3	0	3	0	3	0	2	0	2	0	2	0	2	0	2	0	1	0	1	7	1	9	1	0	3	0	3

Note: The size of the scheme above the mention population/household, DMC may decided the additional human resource and manmonth for the SO.

Post-construction Phase (Duration 6 months)

Individual scheme

Type of Human Resource	Any size of single scheme	
	MD	No of person
1 Field Co-ordinator	2	1
2 Health promoter	2	1
3 Water Resource Technician	0.3	1
4 Team Leader	0.3	1
5 Accountant	0.3	1

2. Combine Package for Cost effectiveness

2 schemes

Type of Human Resource	Any size of scheme	
	MD	No of person
1 Field Co-ordinator	3	1
2 Health promoter	3	1
3 Water Resource Technician	0.5	1
4 Team Leader	0.3	1
5 Accountant	0.3	1

3 schemes

Type of Human Resource	Any size of scheme	
	MD	No of person
1 Field Co-ordinator	4	1
2 Health promoter	4	1
3 Water Resource Technician	1	1
4 Team Leader	0.5	1
5 Accountant	0.5	1

Additional cost (Implementation and Post-Construction Phase):

1. Remoteness:

* Remoteness of a scheme needs additional time input from SO staff. For schemes located more than 8 Kosh (20 KM from roadhead, SO staff input will be increased as follows

Sn	Distance from the nearest Roadhead	Percentage increase in time for preparatory phase	Percentage increase
1	8-12 Kosh (21-30 Km)	5	5
2	12-16 Kosh (31-40 Km)	10	10
3	16-20 Kosh (41-50 Km)	15	15
4	20 - 25 Kosh (50-63 Km)	20	20
5	> 25 Kosh (63 Km)	25	25

2. Management cost

10% of total human resource cost will be paid as overhead to an NGO

3. Communication/transportation and reporting

5% of total human resource cost

4. Self monitoring and progress review (Optional: DMC can decide)

3% of total human resource cost

(Note: The SO must submit Internal review workshop minutes and self-monitoring report to be eligible for payment. Imp phase only.)

5. Survey Equipment management cost

5% of total human resource cost

(Note : Engineering consultant will not be paid)

OVERVIEW OF GESI INTEGRATION IN PROJECT CYCLE

PHASE	ACTIVITIES	GESI INTEGRATION
Planning	1. VDC selection	<ul style="list-style-type: none"> Based on a number of criteria: <p>Poverty status, remoteness (distance from road head), female illiteracy rate and no. of female headed households, percentage of excluded groups and situation of WSS facilities.</p>
	3.1. CM selection	<ul style="list-style-type: none"> One female and one from DAG. Criteria for women and DAGs will not be adhered to strictly (i.e. education level).
	3.2.CO formation	<ul style="list-style-type: none"> Separate COs of male and female in each cluster.
	3.3.SO selection	<ul style="list-style-type: none"> Additional score to NGOs having women and DAG members as staff and in their executive body. SO teams in RVWRMP working areas have at least one female and DAG.
	4.0 Baseline data collection	<ul style="list-style-type: none"> Data is disaggregated by sex, caste, ethnicity, age, religion to the accepted levels of the project.
	5.0 WUMP	<ul style="list-style-type: none"> Mass meeting (i.e. social assessment / needs identification) must have representation of each HH (1 female/1 male) with at least 75% of HHs present, 50% women and proportionate representation by DAGs. Separate women and men's groups for social and resource mapping and needs identification exercise.
	5.1 WRMSC / WRMC formation	<ul style="list-style-type: none"> The WRMSCs and WRMCs will have 50% female members and proportional representation from Dalit and other excluded groups. Confidence building workshops/trainings may be provided for Dalits and women separately to ensure maximum representation on the COs/WRMSCs/WRMCs.
Preparatory	8. UC formation	<ul style="list-style-type: none"> 50% representation of women and proportional representation of DAG Minimum of one key position on UC should be female and one DAG (i.e. Chair, Vice-Chair, Secretary, Treasurer). Separate meetings for women and men to select their UC representatives.
	9.1. Training activities	<ul style="list-style-type: none"> Various trainings arranged for UCs (i.e. UC Orientation, HSE, GESI, Financial Management, CAP, Solid Waste Management, SL and IG). Efforts will be made to promote importance of increasing women and DAG representation and participation throughout these trainings. <p>Other interventions include:</p> <ul style="list-style-type: none"> Attention paid to inform all UC members and arrange time and venue suitable for women and poor HH members. Special focus on promoting women and DAG representation on UCs. Local language used if applicable. Support and coordination to find literacy training opportunities for women and DAGs.

PHASE	ACTIVITIES	GESI INTEGRATION
Preparatory	9.2. Sanitation and Environmental Conservation	<ul style="list-style-type: none"> HSE orientation/training will target women as active agents, but men will also be encouraged and involved in hygiene promotion. Wealth ranking to finalise the amount of contribution to be contributed by each household and amount of subsidy to be supported from the project. Those households identified as 'very poor' will receive free latrine components up to the plinth level (i.e. pan, pipe, cement). Support for latrine construction is provided for female-headed households and households with elderly and disabled members.
	9.3. Water Supply and Irrigation	<ul style="list-style-type: none"> Separate meeting for women and Dalits is held to decide the location of the tap stands (and irrigation and micro hydro schemes). In each cluster the participation of at least one woman from each HH is mandatory. Graded system will be promoted and encouraged for O&M fund as well.
	11. CAP preparation and approval	<p>The quorum for the meeting should be as follows, otherwise the meeting should be cancelled and held at another time:</p> <ul style="list-style-type: none"> Representation of one female and one male member from at least 2/3 of the user households and proportionate representation of DAG households. 50% women representation.
Implementation	14.1. Construction works	<ul style="list-style-type: none"> 33% of the paid jobs reserved for women. 50% of the paid jobs reserved for the ultra poor and DAGs.
	14.2. Training and seminar	<ul style="list-style-type: none"> Women and DAGs will be given priority when selecting candidates for skilled training opportunities (i.e. LLB, RWH mason, VMW, etc.). 50% of skilled training opportunities are reserved for DAGs.
	14.3. Income generating activities/ Sustainable livelihoods	<ul style="list-style-type: none"> Revolving Fund Management Committee will be established with representation of at least one woman (from WRMC) and a DAG member. Priority for lending given to COs with members from poorest households, members of DAG and women COs. Priority for IGS/SL training opportunities given to women, the poorest households and individuals from DAG groups.
	15. Post construction seminar and public auditing	<ul style="list-style-type: none"> Users' representation must be 50% women and proportionate representation of DAGs. 75% of all households must be present for meeting to be held.
Post Construction	16. Post construction activities	<ul style="list-style-type: none"> Special focus will be given to poor and excluded for income generation activities. Women and DAGs will be given priority for support visits. Ensure that at least 2 women participate. Identification of other trainings should include women and DAG participation based on their needs and interests. O&M activities should include assessment of poorest HHs' ability to pay.

PHASE	ACTIVITIES	GESI INTEGRATION
Post Construction	Monitoring	<ul style="list-style-type: none"> • All the monitoring teams from the central level to scheme level should try to include at least one female member. • Assess issues of continued access and benefits to women and DAGs and identified economic opportunities for the poorest.
	Coordination & Networking	<ul style="list-style-type: none"> • Establish coordination, partnerships and networking with relevant actors in both water and non-water sector to promote GESI issues (i.e. WDOs, other NGOs/CBOs, private sector, federations such as FEDWASUN and representative organisations of women, Dalits and Janajatis that are present in the working districts).

GUIDELINES FOR PROCUREMENT

1. Introduction

This Procurement guideline shall be applied to all the financial transaction/expenditures that will be made from District Water Resources Development Fund (DWRDF) under District Development Fund (DDF) of project District Development Committees. As per the Project Document, rules and regulations of Government of Nepal has to be followed for handling the funds under DWRDF. However, based on the experiences of RWSSSP in Lumbini Zone and in order to satisfy the requirements of Government of Finland and to address the field situation in a more practical manner appropriate norms and guidelines can be set. Guideline for Support Organization (SO) selection, HRD/Training guideline is integral part of this procurement guideline.

Under RVWRMP, implementation of all types of schemes i.e. water supply, sanitation, irrigation, micro-hydro, multi usage schemes etc. shall be done through user committee.

Under RVWRMP, Water User's Committees (UC) are established as the main managerial bodies for the schemes. UC committee shall have capacity building trainings to bear this responsibility as per HRD guideline. After implementation phase agreement with DDC, funds for implementation of schemes will be provided to UC account according to the provisions of the project guideline. The UC shall be responsible for managing the fund i.e. purchases of construction materials, transportation and payment of labour, once it is deposited to their account. Although, different parties, namely UC, SO, DDC/DMC, DTO are involved in the material procurement process, the UC shall have the main responsibility for material procurement. The UC shall prepare a procurement plan. SO and DDC will provide assistance to UC throughout the procurement process.

UC shall procure materials only from the manufactures having received Nepal standards or from the authorised suppliers of manufacturer having received Nepal Standard/Indian Standard/British Standards/ DIN standards or equivalent. The UC should purchase only those construction materials and equipment which meet the detailed technical specification established by RVWRMP and quality certified by DTO. UC is required to purchase the materials from a firm registered at VAT office unless otherwise waived according to financial regulations of GoN.

The following requirements shall be followed for the material procurement:

- UC must have received capacity building training on procurement process before procuring construction materials.
 - The training shall include issues of existing procurement modes/processes under LBFAR 2064, specifications and quality standards of pipe, cement rods etc.

- UC shall call a mass meeting and discuss the existing modes of procurement i.e. direct purchase, purchase based on quotation and purchase based on tendering process. The mass meeting shall decide about the mode of procurement process accordingly.

2. General procurement process

It is the responsibility of DMC and SO to provide necessary support to UC for the procurement of construction material and equipment.

2.1 Procurement process if the users decide to adopt procurement based on quotation

The following steps shall be followed for procurement process, in general:

Preparatory works:

- SO will prepare a list of all items that are likely to be used in the scheme either as a construction material or equipment immediately after implementation phase agreement.
- SO will categorize the items in the major heading of HDPE Pipe, GI Pipe and Fittings, Cement, Steel etc. separately and shall prepare a procurement plan in consultation with UC and they will submit it to the DMC for the release of the first instalment.
- The DMC shall approve the plan and shall develop a standard formats for quotations separately for HDPE pipes, GI pipes, Fittings, Cement etc. This Quotations formats shall bear the official stamp of UC, Bill of quantity and shall clearly mention the quality standards (e.g. NS, ISI & equivalent) of materials to be procured and responsibility of supplier (Manufacturer/Authorised supplier of manufacturing companies) regarding assurance of quality of materials to be procured and conditions of contract. The supplier shall duly fill the quotations and put authorised signature and stamp.
- DMC shall release the amount of first instalment (maximum up to 50 % of agreement amount) from DWRDF to the UC account. For the schemes with estimated cost more than 3.5 million, DMC will make decision regarding amount to be release to UC account.
- DMC/DTO shall provide a detailed technical specification of construction material and equipment to UC and SO.

Formation of Procurement Committee

- UC will form a procurement committee comprising of 2-3 members and one staff (preferably technical) of SO. To this committee DMC will nominate one staff from DTO and one PSU staff working at DDC.
- The team shall first make a market survey for assessment of unit price, availability of construction material in required quantity and assessment of quality to identify potential manufacturer/authorised supplier for items like polyethylene pipe, GI pipe, fittings, Cement, steel bar etc.
- The team shall submit Standard Quotation Form to at least three potential suppliers and ask them to duly fill the quotations. The team may have further negotiation in the price within the approved rate. On the basis of least price (without compromising the quality), the team shall select supplier/manufacturer for purchasing of materials.
- The team may also negotiate with selected supplier for transportation of materials to the road head and may decide the mode of payment. RVWRMP encourages that suppliers receive payments by Account Payee Drafts. DMC will coordinate and make necessary management with bank to send account payee draft in the name of supplier only after getting information from the procurement team that material in required quantity and quality is ready for transportation.

2.2 Procurement process if the users decide to adopt procurement process based on tendering

Such schemes shall be implemented in joint management with UC.

Joint Management

DMC shall establish a mechanism for joint management with UC for procurement of materials. Joint Management shall include:

- Formation of Procurement Committee by UC with suitable number (2-3) from its members and one staff from Support Organization (preferably team leader). The chair of this committee shall be the person decided by UC.
- DMC shall nominate DTO chief, one WRA, Chief of Account section of DDC, Legal adviser of DDC (if any) to this Procurement Committee and other person as per decided by DMC
- Whole bidding process shall occur under the official name of UC
- DMC will decide on the selection of procurement method as per LBFAR.
- DTO chief with assistance of WRA will prepare a complete set of bidding documents.
- UC will nominate one of its members as a responsible person for selling of bidding documents. He will be responsible for documentation of records. Procurement committee shall nominate DTO chief to check the applications from bidders and he will recommend for issuance of bidding documents.
- Bid evaluation shall be done by the members of procurement committee. DMC will approve the whole bidding process and selection of bidder.
- DTO chief with assistance of WRA shall prepare contract documents and on the behalf of procurement committee, UC will sign the agreement. DMC shall witness the contract.

- DMC shall establish a mechanism for quality assurance for procurement of materials.
- DTO chief and DDC based technical staff of PSU shall check and approve the quality of materials and shall recommend to DMC for payments.
- DMC shall recommend to UC for payment.
- UC shall make payments based on the recommendation of DMC and approval from a mass meeting of users.

In order to facilitate the bidding process,

- SO will prepare a list of all items that are likely to be used in the scheme either as a construction material or equipment immediately after implementation phase agreement.
- SO will categorize the items in the major heading of HDPE Pipe, GI Pipe and Fittings, Cement, Steel etc. separately and shall prepare a procurement plan in consultation with UC.
- The DMC shall review the plan and may decide to procure all the materials from a single bidder or separately for items like HDPE pipe, GI Pipe, Fittings, Cement, Steel bar etc. or form a group of items for procurement. DMC shall approve the plan for procurement.

All the expenditures and incomes related to publish of tender/bid notice and income by selling of tender shall go to UC account. However, expenditures related to preparation of bidding documents, contract documents, allowances for bid evaluation committee shall be borne by administrative budget (GoN component) allocated to DDC.

Further details can be referred in Step-By-Step Manual.

Translated from Nepali version
REMOTE ALLOWANCE CHART OF GoN

Post	Ka group (Humla /Bajura)			Kha Group (Bajhang/ Darchula)			GA Group(Achham, Dailekh)			Gha Group(Dadeldhura/Doti/Baitadi)			Nga Group		
	District headquarter and within 6 miles	District headquarter and within 6 to 12 miles	12 and more miles away from District headquarter	District headquarter and within 6 miles	District headquarter and within 6 to 12 miles	12 and more miles away from District headquarter	District headquarter and within 6 miles	District headquarter and within 6 to 12 miles	12 and more miles away from District headquarter	District headquarter and within 6 miles	District headquarter and within 6 to 12 miles	12 and more miles away from District headquarter	District headquarter and within 6 miles	District headquarter and within 6 to 12 miles	12 and more miles away from District headquarter
Peon	2,250	2,365	2,590	1,800	1,890	2,070	1,350	1,420	1,555	700	895	980	350	370	405
Non Gazeted Officer fourth Class	2,475	2,600	2,845	1,980	2,080	2,275	1,485	1,560	1,710	800	840	920	390	410	450
Gazeted Officer third Class (Junior WRT/HP)	2,700	2,835	3,105	2,160	2,270	2,485	1,620	1,700	1,865	910	1,000	1,095	430	450	495
Non Gazeted Officer second Class (WRT/HP) Sub overseer, Asst Nurse midwife (Anami or Aaheba)	3,075	3,230	3,535	2,460	2,585	2,830	1,750	1,840	2,015	1,025	1,105	1,210	480	505	550
first Class (Overseer, Field coordinator, Health Assistant or with)	3,675	3,860	4,225	2,940	3,085	3,380	2,100	2,205	2,415	1,225	1,285	1,410	565	595	650
Gazeted Officer third Class (Engineer, Team Leader /Bachelor level education)	5,625	5,905	6,470	4,500	4,725	5,175	3,350	3,520	3,855	1,500	1,575	1,725	790	830	910

Division of Place

1).Ka group

Humla of Karnali
Bajura of Seti

3).Ga group

Achham of Seti
Dailekh of Bheri

2).Kha Group

Bajhnag of Seti
Darchula of mahakali

4).Gha Group

Dadeldhura and Baitadi of Mahakali
Doti of Seti