IRC

International Water and Sanitation Centre

From System to Service – Scaling up Community Management

Report of the conference

12-13 December 2001, The Hague, The Netherlands

IRC International Water and Sanitation Centre

IRC facilitates the creation, sharing, and use of knowledge so that sector staff and organisations can better support poor men, women and children in developing countries to obtain water and sanitation services they will use and can sustain. It does this by improving the information and knowledge base of the sector and by strengthening sector resource centres in the South.

As a gateway to quality information, the IRC maintains a Documentation Unit and a web site with a weekly news service, and produces publications in English, French, Spanish and Portuguese both in print and electronically. It also offers training and experience-based learning activities, advisory and evaluation services, applied research and learning projects in Asia, Africa and Latin America; and conducts advocacy activities for the sector as a whole. Topics include community management, gender and equity, institutional development, integrated water resources management, school sanitation, and hygiene promotion.

IRC staff work as facilitators in helping people make their own decisions; are equal partners with sector professionals from the South; stimulate dialogue among all parties to create trust and promote change; and create a learning environment to develop better alternatives.

Conference Statement

Over a billion people around the world do not have an adequate and safe water supply and over two billion lack access to safe sanitation. We believe that greater use of community management can significantly reduce these numbers. Community management shows promising signs of sustainability. It is also one of the best tools to address poverty, gender inequity, and community diversity.

We understand community management to comprise:
- Control over the decision making process for planning, implementation, operation, maintenance, and financial arrangements.
- Clearly defined ownership.

We believe that community management is one of the most viable solutions in economically marginal areas and where government capacity is limited. However, we also believe it to be applicable in many other institutional and economic environments.

Community management requires a change in the role of government: from implementing to providing strong support. It also requires long term support and commitment from other actors at all levels: local, intermediate, national, and international. Currently this support is often absent.

To allow community management to have the impact on meeting the needs of the unserved we strongly believe that:
- Community management approaches need to be scaled up, in terms of coverage, sustainability and quality
- In order to be effective, community management cannot be left in isolation. It requires considerable support from intermediary agencies.
- Political leaders need to facilitate an enabling environment which includes appropriate legal frameworks and the necessary human and financial resources at all levels.
- Within the sector but also in related sectors, governments, donors, NGOs, the private sector and civil society need to collaborate to expand community management and develop long term support mechanisms.

Glossary

CBO:	Community Based Organisation
CM:	Community Management
DWAF:	Department of Water Affairs and Forestry
IRC:	International Water and Sanitation Centre
NGO:	Non-Governmental Organisation
O&M:	Operation and Maintenance
PAR:	Participatory Action Research
SKAT:	Swiss Centre for Development Cooperation in Technology and Management
SWOT:	Strengths, Weaknesses, Opportunities, Threats
WATSAN:	Water Supply and Sanitation
WEDC:	Water, Engineering and Development Centre
WSSCC:	Water Supply and Sanitation Collaborative Council

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Introduction

This brief report summarises the main discussions and outputs of the mini-conference on "From system to service – scaling up community management" held in The Hague on the 12th and 13th December 2001. The conference brought together 39 experts (annex 1) from a range of backgrounds and organisations. Its aim was to discuss the future of community management as an approach to providing sustainable water supplies, and particularly ways in which the community management approach could be 'scaled up' to greatly increase both coverage and sustainability (for more detail on the conference aims and objective see annex 2).

The conference produced two key outputs, firstly the conference statement which serves as a preface to this report, secondly a matrix of activities identified by conference attendees and which will serve as the basis for further work.

Two important early points of clarification related to the title of the conference. Firstly what was meant by "From System to Service": this was supposed to encompass the concept of a move away from a focus on the individual water supply 'system' (hand pump, pipe network, etc.) and the community that manages it, towards sustainable service provision to whole populations.

The second point of clarification related to what was meant by "scaling up". This was intended to encompass initially two separate but linked concepts. Firstly an increase in *coverage* – getting to more people more quickly; and secondly an improvement in *sustainability* – making both hardware and the management systems around them last at least until the end of the systems design life. Quite early on in the conference it was realised that a third dimension of scaling up was that of *quality* – without which neither increased coverage nor sustainability are possible.

Programme
The conference took place over two full days. It started with the presentation of a background paper prepared by IRC International Water and Sanitation Centre, which set out a series of proposed definitions and challenges surrounding community management; where it currently is and what are the main prerequisites to taking it forward. This was followed by a series of breakout sessions interspersed with the presentation of a number of case studies from around the world, selected to illustrate various aspects of successes and challenges in scaling up community management.

Papers
Background paper: From System to Service –Scaling up Community Management (annex 3)
Case study 1: Association of community based organisations – Colombia (annex 4)
Case study 2: Scaling up community management in Ganjam, Orissa – India (annex 5)
Case study 3: Institutional frameworks to support community management in South Africa (annex 6)
Case study 4: Institutionalising community management in Uganda (annex 7)
Case study 5: Wittenbach, a corporation running the business – Switzerland (annex 8)
Case study 6: Supporting community management in the USA (annex 9)

Breakout sessions
Breakout session 1: What is community management?
Breakout session 2: Why recommend community management in relation to other options?
Breakout session 3: How to scale up community management?
Breakout session 4: Development of conference statement and matrix of activities

Each paper presentation was followed by a question and answer session. Questions and answers can be found at the end of the relevant papers in the respective annexes. The main outputs of the breakout groups are presented in the following sections. The outputs of sessions 1 to 3 were discussed in plenary and then synthesised to form a conference statement which was then presented back to the conference and agreed in the final plenary session. The final breakout session focussed on developing a on matrix of future activities to address some of the issues raised. These were brought together and finalised after the conference by the steering committee.

The conference was organised by a steering committee consisting of representatives of IRC, SKAT, WEDC, WaterAid. and WSSCC. In addition it was aided by the presentation of case studies by CINARA (Colombia), UNICEF (India), DWAF (South Africa), and WaterAid (Uganda). The steering committee with the addition of Plan International has agreed to continue working together as a thematic group on the issue of scaling up community management: to serve as a core group for networking and advocacy and to ensure that the actions identified in the matrix are followed up upon.

Main points from the breakout sessions

Session 1: What is community management?

The first breakout session was tasked with discussing what is meant by community management; what are the key elements that help to define the boundaries between community management and different management models. The background paper suggested a set of four elements often found in community management projects, two of which it suggested were crucial for community management. The crucial elements suggested were: *control* by the community of both the system and the process that leads to its development; and *ownership* by the community of the system, with the suggestion that this should be legal ownership. The two less essential elements were: involvement in the day to day *operation and maintenance* of the system; and an element of contribution to *cost recovery*.

The results of the breakout group discussions are summarised under these headings with a final section dealing with other issues raised during the discussions. As with the results from the subsequent breakout groups what is presented below is a synthesis of the key points from the discussion. They are not a consensus view and in places contradictory elements are presented.

Control

- There was general agreement that control – over the system itself, and the planning process that leads to its inception - was essential. Control was understood to mean the ability to make **strategic decisions** about the development process, design, day to day management, and financing of the system. Control should come from a process in which all community members have the power to take democratic strategic decisions regarding their water supply, sanitation, hygiene, environment, and/or other issues concerning their community.
- Control does not necessarily include the actual day to day operation and maintenance of the system (which is dealt with under operation and maintenance), which can be done by the communities but can also be outsourced to NGOs, the private sector or government institutions.
- Management and ownership of water and sanitation systems can operate on different levels; it's all about which power to delegate to what level. Strategic decision should and can be made by communities while operation (turning taps, adding chemicals) can be in hands of others. Generally, the poorer the communities and the simpler the systems the more they will do themselves. Examples of the separation of control and operation and maintenance can be found in the case studies from the USA, Switzerland and Colombia.
- Control is the sine-qua-non of community management. Without real control it ceases being community management. Without control you can only speak of community participation.

Ownership

- There was a general consensus that, while important, legal ownership is not essential to community management. There was however widespread agreement that a sense of ownership is critical; both of the physical system but also of the process by which a scheme is implemented and developed, leading directly to greater empowerment and involvement. Equally, while legal ownership by the community is not itself essential to

community management, clarity of ownership is; the legal owner of the system must be known to all. Without this the assignment of roles and responsibilities, particularly regarding finance, become very difficult.

- A sense of ownership was seen as coming from "the right to manage and take decisions over the water supply system like extension replacement changes etc" – in other words from having effective **control** of the system.
- The practicalities of legal ownership are, at least in part, dependent on scale. At a small scale you can easily have legal ownership, over one pump for example. At a larger scale, a piped water supply scheme serving several communities say, this becomes much more complex. In particular there are a number of issues surrounding the question of investment in capital costs (typically mainly carried out by someone other than the community) and right to legal ownership.
- In *democratically organized* societies ownership is not required for control.

Operation and maintenance

- This point is closely related to that of control. As was stated, the critical issue for community management is where control lies. Whether operation and maintenance is carried out by the community itself or by someone else on the community's behalf is not essential to community management. Community management, in which day to day repair and maintenance is carried out by a private sector contractor for example, is quite feasible as seen in the case studies from the USA, Switzerland and Colombia. Nevertheless, the reality remains that for poorer and more isolated communities in many parts of the world, day to day operation and maintenance will continue to be something that they have to carry out themselves.

Cost recovery

- Cost recovery, particularly of capital costs, remains a contentious issue. There was general agreement that financial viability is essential for sustainability. In addition, the reality is that in poor countries the money for operation and maintenance is unlikely to come from outside the community. Whether communities can or should make a large scale contribution to capital costs is less clear.
- Creating the necessary frameworks to allow full cost recovery over a systems lifetime was identified as one important aspect of scaling up.
- There was also a widely held feeling that some element of contribution to recurrent cost is important, particularly in assisting to create a sense of ownership, in which it can complement effective control over the system. Nonetheless, special consideration should be given to the poor.

Other issues

What is the community?
Some breakout groups felt it necessary to briefly revisit the whole concept of community. The following is a brief list of the issues they felt most important.
- Communities are not homogeneous.
- Need to ensure representation from different groups.
- We have to be aware of the dynamics of decision making.
- We have to be aware of demands we are putting on community.

- Different types of "communities", e.g. group of households, single villages, multiple villages.
- Decided community is "group of people grouped around a common issue".

Other requirements and needs for community management

Finally, a number of issues unrelated to the four elements mentioned in the background paper, but important for successful community management are mentioned below:

- Community management only works if the management is trusted. This trust can be built through transparency, communication and democratic processes.
- Community management can only happen where some sort of social organisation, and accepted leadership already exists. There must be community support for the implementation of community management models
- Clear and agreed roles and responsibilities for all actors, backed up by training and monitoring.
- A government that is willing to devolve control to the community, as such it needs an institutional and policy framework, especially to enable scaling up. Supporting arrangements for both implementation and sustainability must be provided, although they need to be dealt with separately and may involve different actors.
- Quality facilitation.

Session 2: Why recommend community management in relation to other options?

The conference on community management took as its starting point that community management is a worthwhile approach and one that merits further support to allow it to effectively reach more people.

However, it was still felt important to try to identify more precisely the conditions under which it was either the only or the best option, and the reasons for this. Several groups used a SWOT type analysis to explore this issue and the results are presented using this framework. The strengths, weaknesses, opportunities and threats refer both to community management as an approach, but also to communities themselves; the strengths are the strengths of both the management model but also of 'the community'.

The section is prefaced by a series of more general points arising from all the groups. As in the previous sections this is a synthesis of sometimes differing opinions and does not always represent a consensus view. This session provoked a number of research questions, where more information is needed, or where assumptions need supporting case study materials and these are included at the end of the section.

General points

- Community management is one of the few viable solutions in an economically marginal environment with a low capacity government. The range of options increases with increased access to finance. In an economically stronger environment community management can still be a preferred option for political or philosophical reasons.
- Community management can play an important role in situations where the public or private business can not be trusted and fails to provide services to (poor) people.

- Community management is the starting point to getting an improved water supply and sanitation system. From there it may evolve to other types of management systems as access to finance improves. Community management is a transitional management form, applicable in any country at any level of service.
- Community management is more suitable for smaller and less technically complex systems that can be operated and maintained easily.
- Community management can be a good option when the government is willing to invest in capacity building and institutional development.
- Community management is most suitable when it is the most cost effective option. This situation is frequently the case for rural and dispersed communities.
- Community management may work better in (and therefore be best suited to) egalitarian and democratic societies.
- Implementation and O&M are two different stages in the process of community management and therefore they both require different skills and structures.
- Another viewpoint sees community management as the end rather than the means. As such community management is not just for water, but part of wider process, where it leads to **empowered communities** who benefit directly from a water supply system but also improve their livelihood in other ways. From this viewpoint water and sanitation can serve as an **entry point** to community management of a broad range of services. It can help to create genuine demand that in turn shapes policies, through social pressure for action.

Strengths, weaknesses, opportunities and threats (SWOT) analysis

Strengths of community management (what communities are good at)
- Community management is often small scale and therefore facilitates transparency.
- Community management is flexible and can easily be adapted to the local circumstances including poverty. Equally it can adapt to local supporting mechanisms and make best use of potential capacity of all stakeholders.
- Local concerns drive the agenda leading to greater demand responsiveness.
- Community management allows for self monitoring and self regulation which leads to improved accountability and quicker feedback and learning.
- Community management is *believed* to be more sustainable in part due to improved revenue collection and hence cost recovery. It is also believed to be more cost effective (although there is not yet much strong evidence - see research questions at the end of the section)

Weaknesses of community management (what communities cannot do)
- Community management requires significant capacity building which requires substantial human resources. This is particularly so where technology is complex or the size of 'project' is large.
- Communities need regular support. How can that be put in place and who finances it? NGOs or local government? Community management is highly reliant on external facilitation and support, both during and after implementation.
- Community management is not a blueprint but context specific. While this can act as a strength (increased flexibility) it can also be a weakness in terms of slowing down project implementation and calling for greater capacity in implementers.
- Community management is vulnerable to local and external events and shocks.
- It requires significant voluntary effort.

Opportunities for community management (what can communities/community management deal with)?
- Communities can take decisions on strategic issues, like service level and tariff system and level, based on local knowledge .
- Communities can make strategic decisions about the system. They can manage local conflict and deal with equity issues.
- Communities can more effectively mobilise resources to pay for operation and maintenance costs, and possibly for capital investments.

Threats to community management (what communities/community management cannot deal with)?
- An unsupportive policy environment. It is the role of the government to provide policies, regulations and a legal framework in which the water supply and sanitation sector, private sector, training sector, etc. can operate and which regulates the relations between the owners, implementers and financiers. Community management is heavily reliant on a supportive framework.
- Lack of capacity to provide necessary support for: technical design and supervision, facilitation and management, long term training, legal issues, auditing, monitoring and evaluation.
- Many communities do not have the capacity to manage an increased amount of capital (for major repairs/replacement/extension) over a long period of time. They need capacity building and support on managing of financial resources.
- A number of 'internal' community dynamics can threaten community management; e.g. conflicts, poor leadership, lack of transparency, equity issues, theft. Countering this threat again calls for the presence of external support.
- A number of threats to community management, and in particular to scaling up community management, were identified around donor and NGOs perceptions of government and the tendency to create unsustainable parallel structures in the name of 'efficiency'. Donors in particular can pose a significant threat to long term sustainability due to their largely short term project focus.

Research questions

Research questions came largely from a) the need to clarify and substantiate underlying assumptions about community management; and b) the need to provide learning materials to help strengthen the capacity of those implementing and supporting it. Many of these questions were also taken up in the later session that led to the development of the outputs matrix (annex 10).
- How sustainable is community management in the longer term ? What does it need to support it? Why does it fail: internal or external factors? We should work out long term case studies to identify these factors.
- How much does community management cost? Is it cost effective compared to other options? An analysis of the real costs of community management should be done and compared with other management options to see if it is really cost effective or not.
- Do we have examples of governments asking communities to manage their system and provide subsidies to do so?
- What have we really learnt? Or is it all anecdotes? We have to summarise the lessons learnt.

- What can we learn from other sectors?

Session 3: How to scale up community management?

The second day of the mini-conference was dedicated to discussing the issue of scaling up. In the morning conceptual issues were discussed, and in the afternoon concrete activities were identified. This section deals with the third session relating to the conceptual issues surrounding scaling up. It is divided into separate sections dealing with the main requirements for scaling up; the main roles and responsibilities of different actors at different levels; and finally by key steps on the road to scaling up. Once again the section represents a synthesis of sometimes differing points of view.

Main requirements for scaling up

Creating an enabling environment
The most basic requirement for successful scaling up of community management is an *enabling environment.* This refers to the whole range of policy, legislative, capacity and financial resources needed to support communities. There was clear consensus that community management in any other than its simplest and most basic form needs support: communities cannot do it all themselves. In particular system sustainability is critically reliant on sustained support for communities. Developing an enabling environment requires action on a broad range of activities. Some of these are listed below:
- Pressure for the development of effective policy. Such a policy should clearly deal with issues such as ownership and the outlining of the roles and responsibilities of stakeholders.
- Making financial resources available. Community management, like any other approach to service provision cannot work miracles: adequate funding is essential.
- Capacity building of stakeholders at all levels is critical. However, the capacity of intermediate level actors is perhaps currently least developed. Communities rely on intermediate level actors (NGOs, (local) governments, the private sector) to provide support in implementing and more importantly sustaining their systems. This capacity, to provide technical backup, to facilitate and troubleshoot management problems, to help with financial issues and auditing, and to provide long term training and capacity building to the communities all needs to be developed. One critical issue is then ensuring that such capacity once developed 'stays local' and doesn't migrate to better pay in the cities.
- A learning and questioning approach has to be stimulated. Communities, governments and intermediate level stakeholders need to take a flexible 'learning by doing' approach that allows lessons from both success and failure to be built on.
- Providing an enabling environment for community management is closely linked to the wider issue of decentralisation. The necessary empowerment of the intermediate level can only happen in a decentralised environment. Building links with local government is crucial and they will often be a crucial partner in sustaining communities.

Target poverty, respond to real demand and take a more holistic approach
Community management offers a means to target poverty and equity issues more effectively than many others. Conversely, becoming more aware of the water related needs of the poor and taking a more holistic approach to meeting these can lead to more sustainable projects, as well as general empowerment. Several issues relating to taking a broader perspective to water supply were raised, including:

- Promotion of the productive use of water and adopting an integrated approach to drinking water provision for sustainable livelihoods rather than for traditional 'domestic' use. So far the main focus is on supplying drinking water, but communities' priorities for the use of water may be different and these should be taken into account. This is one means of scaling up provided that there is sufficient water available. This implies a more holistic approach, e.g. integrated water resource management. This does not mean that we have to go into supporting the provision of other services, but it does mean referral to other sectors and cooperation.
- "From system to service" is all about getting the demands of the users known. The water supply and sanitation sector should be service rather than supply oriented. A system that works serves the demands of the customers.

Advocacy and advocacy messages

Advocacy was seen as being crucial to the success of scaling up community management. It is needed at all levels and to all stakeholders. A wide range of issues relating to advocacy for improved community management were touched on. Some of them are synthesised below.

- Scaling up needs advocacy and at the same time the focus should get away from the donor driven processes. Two issues regarding scaling up: Who is going to trigger it and who and how is it going to be managed? Who is going to be the honest broker?
- Advocacy should be done by actors who have the possibility to influence policy formulation. Who this is depends on national circumstances and structure of the country. Generic messages developed from practice and theories can be advocated through international water supply and sanitation bodies. At the same time the lessons learnt at a national level need to be fed into these more generic messages and used in advocacy by national actors at the national level. International advocacy alone is insufficient to lead to the creation of the necessary enabling environment.
- Key people from governments have to be brought to events such as this workshop. These should be organised on a regional or preferably national level as a key part of the advocacy effort.
- Community management should not be promoted as a response to a perceived 'failure of government', but rather as a strong, viable and appropriate management model in its own right.
- Communities also need to be willing and well informed, there is therefore a continued need for advocacy at the community level.
- Advocacy needs to be for the *whole* process: planning the initial stage; implementation; and, critically, for long term support after completion of the physical infrastructure. Policy makers need to be made aware that community management while requiring a different and in some ways reduced role for external (non-community) actors, cannot be sustainable in the long term with no support at all.
- Examples of success need to be identified and 'sold'. This is the best way to stimulate demand at all levels for the community management model.

Main roles and responsibilities for providing an enabling environment

This final section briefly identifies the main actors in community management, and lists their core roles and responsibilities. Creating the necessary enabling environment for community management means developing the necessary capacity to undertake these roles.

National government level:

- Creating a legislative and policy framework for the enabling environment. Water is a social good as well as economic. A critical role of government is therefore to safeguard equal access to water and prevent misuse and/or overexploitation.

Intermediate level (Government, NGO[1], private sector):
- Mediation/facilitation with authority (e.g. for conflict resolution)
- Monitoring and evaluation and initiation of activities
- Management support and training
- Troubleshooting
- Technical backstopping and spare parts supply
- Auditing
- Training
- Information services

Community level:
- Deciding about affordable service level
- Strategic decision making
- Carrying out, or organising day to day operation and maintenance
- Paying O&M costs
- Possibly pay part of the capital investments

Moving towards scaling up

Some groups identified a series of steps along the road to scaling up community management. Some of these are presented below.

3 Steps to be taken to enable the scaling up of community management
1. Identify models of success and use these: to create confidence that community management works; and to provide a clear understanding of the main elements involved. The models should demonstrate:
   - Evidence of accomplishments
   - Clear understanding of costs
   - Clear understanding of inputs and resources needed
   - Clear understanding of the economic benefits of the model (poverty reduction and contribution to broader community development)
2. The models should be examined in a local context to understand the implications they will have on legal structures, policies, institutional obligations, training and building needs, realistic timeframes, commitment from all partners, risk taking, financial mechanisms (equity, cost recovery, etc), and external support needed to keep the model going on the long term.
3. Based on these models, strategies for promotion and demonstration should be developed and pilot projects undertaken. Piloting should not be at a 'community' level but at a level that allows the full implications for the whole range of actors (from national to community) to become evident.
4. Be prepared to change! It is not a static situation. Monitoring the situation on the long term is needed as the context and situations change and as such the model needs to be adapted to those changing situations.

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[1] Local NGOs who are expected to stay longer although it all depends on the market situation.

The following vision of organic growth offers a rather different alternative:
- Community management can best be scaled up by organic growth. Start a pilot project; don't be too ambitious. If it is successful, you might want to scale it up.
- Having developed or adopted an appropriate model for community management apply it in a context specific manner. Avoid reinventing the wheel or creating parallel structures. Identify who is already doing what, and what the existing roles, responsibilities and capacities of the relevant stakeholders are.
- What are all obstacles and opportunities. Develop action plans with the stakeholders, but pay attention to ownership. Identify clearly who owns what, and who finances what.
- Take an organic approach based on the selling of success. If you sell success, demand will come up for support services. However, also accept that in general, it needs a lot of time.

Session 4: Conference Statement and Matrix of Activities

The conference produced two core outputs: firstly the conference statement which serves as a preface to this report; secondly a matrix of suggested activities, identified by the conference attendees as contributing to the overall aim of scaling up, and which will serve as the basis for further work. The outputs of the final breakout session on the matrix of activities were brought together by the conference steering committee (annex 10).

Remarks and conclusions on presentation from breakout groups

Following the third breakout group, a brief session was held to identify those points where consensus existed to allow the formulation of the conference statement. The following lists highlight those points where consensus existed and those where it did not, and also captures some of the main discussion points.

General consensus:
- Control is an essential element of community management
- Community management requires an enabling legal and policy framework, which should among others clearly identify the roles and responsibilities of all actors
- There is no one fixed model/blueprint: flexibility is needed
- Advocacy directed at different groups is essential. Success stories should be identified, analysed and sold
- Capacity building at all levels is essential for both implementation and management phases
- There is a need in many cases to broker a more productive relationship between NGOs and government, and equally between the private and public sectors

Questions and no-consensus remained over:
- Whether legal ownership is a prerequisite for community management?
- Whether community management is a more cost effective option than others
- Whether community management is sustainable in the long term – does a reliance on outside help mean that it is not sustainable?
- Whether community management is limited to rural areas or is also suitable for (peri-) urban settings?

Discussion:

- We need to close the 'gap' in coverage represented by over a billion people without safe water supply and nearly two and a half billion without sanitation. It seems we have few alternatives besides community management, so we need to apply community management to cover at least part of the gap. Communities are ready, so we should do something!

- We need proof of the sustainability of community management. Why is it sustainable (success stories), and why is it not (lessons learnt)?

- We need to look outside the water and sanitation sector to see yow other sectors deal with community management.

- Integration of water supplies with sanitation and hygiene education is also needed (but often forgotten).

- Urban situations need to be compared to rural situations. This can help in the identification of key factors and principles of community management. From identifying the roles of private and public entities in urban situations one can learn and maybe adapt for the rural areas.

- Should there be a separation between the system sustainability and community structure and management sustainability? These seem to be different concepts, although they are highly interrelated. One cannot exist without the other.

- Appropriate and qualitatively sustaining technologies are needed.

- Community management is not only the best option in marginal remote areas, but also under a much larger number of cases.

Summary and conclusions

As was mentioned in the introduction the conference statement, which represents the consensual view of the participants, must stand as the main conclusions to the conference. However it is also worth drawing attention to some of the conferences wider aims, particularly identifying the degree of consensus surrounding the need to take further actions to ensure the scaling up of the community management paradigm; and the start of a process to achieve this.

In general the idea that community management needs further work was well received. The attendees at the conference represent a wide and, we believe, representative sample of those working in the sector. The perception that communities cannot do it by themselves is widely shared, and the shift in attention from the level of the 'community' to that of the enabling environment which surrounds them found many echoes.

So did the focus on the 'intermediate level', the vast and fuzzy interface between government and community. People are receptive to both the need to strengthen this level and the requirement to take a wide and holistic view of who constitute the actors at that level. These actors include, but are not limited to local government, NGOs, the private sector (formal and informal), and a range of CBOs.

Perhaps surprisingly there was a wide degree of agreement among representatives of both donors and international NGOs that the creation of parallel structures is a critical challenge to sustainability – although the problem of what to do in situation there is no effective government remains. The idea that local government in particular is a critical player in sustaining community management was again one that met with wide agreement.

Finally, the matrix of activities while needing further work does map out the start of a set of coherent activities and actors that could help to address the multiple needs of scaling up community management. So to does the agreement of IRC, WaterAid, SKAT, Plan International, WEDC, and the WSSCC to constitute a working group to take the process further.

The conference therefore met all of its the short term objectives (see annex 2). Whether it achieves its longer term ones of helping to advocate the widespread use of community management, and the creation of the necessary environment to make it sustainable remains to be seen. It will rely on the work and commitment of all those who attended the conference and all those with whom they interact in their networks.

Annexes

Annex 1: List of participants

Annex 2: Invitation letter

Annex 3: From System to Service –Scaling up Community Management (Background paper)

Annex 4: Association of community based organisations – Colombia

Annex 5: Scaling up community management in Ganjam, Orissa – India

Annex 6: Institutional frameworks to support community management in South Africa

Annex 7: Community management in Uganda

Annex 8: Wittenbach, a corporation running the business – Switzerland

Annex 9: Community Water Systems Management – The US model

Annex 10: Matrix of outputs and activities

Annex 11: Water supply in urban Egypt

Annex 12: Rural Water Supply in Benin

Annex 1: List of participants

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Annex 2: Invitation letter

Second announcement and programme of the conference
The 'System to Service: scaling up community management' conference will address two key elements for the further development of community management: firstly, how to ensure the long term sustainability of community management schemes; and secondly, how to use community management to improve coverage in water supply and sanitation services.

It is intended that the conference should be the starting point of a major initiative to strengthen and scale-up up community management. To achieve this goal three key objectives have been identified for the conference.

Conference objectives
1. Achieve a common understanding of the potential of community management to improve both long term sustainability and coverage of watsan services.
2. Develop a consensus around how to advance the community management paradigm, in particular by positioning it within a supporting framework of policies and legislation.
3. Prioritise key actions in the fields of advocacy, policy development, and capacity building to maximise the potential of community management

Based on these objectives two outputs will be developed during the conference, with a third – the conference report – being completed shortly afterwards.

Main outputs
1. A clear statement on the relevance of community management, its potential and the need to support it
2. A prioritised list of activities associated with Objective 3
3. A conference report that will be used to initiate an advocacy campaign supporting the scaling up of community management.

The conference is the start of a process. Therefore an important, though less concrete, output of the conference will be the creation of a network of people and organisations committed to strengthening and taking forward community management.

Method
During the conference participants will work in groups to address the issues listed below with additional information being provided in the form of four case study presentations from Colombia, the United States, India, and Uganda. Additional printed case study material will also be made available.

1. **What is community management?**
   What are the defining characteristics of community management? Who are involved in implementing and supporting it and what are their roles?

2. **Why use community management?**
   Under what conditions (geographical, institutional, economic) is community management an appropriate management option?

3. **Scaling up community management**
   What needs to be done to both scale up and strengthen community management, and who should be involved?

Final programme

Day 1

08:00 Registration
09:00 Welcome and introduction
10:00   Background paper
10:45 **Coffee**
11:15 Case study 1: Association of Community Based Organisations - Colombia
11:45 Breakout to discuss Issue 1
12:45 **Lunch**
14:15 Case study 2: Supporting community management in the rural USA
          Case study 3: Scaling up community management in Ganjam, Orissa - India
15:00 Breakout to discuss Issue 2
17:00 Planning + pointers for day two
17:30 Finish
19:30 **Conference dinner**

Day 2

08:45 Recap
09:00 Case study 4: Institutionalising community management in Uganda
          Case study 5: Institutional frameworks to support community management in South
          Africa
09:45 Breakout groups on Issue 3
10:45 Coffee
11:15 Preparation of breakout group reports on issues 1-3
11:45 Feedback and discussion from breakout groups
12:45 Lunch
14:15 Breakout groups for Outputs
15:45 Report back and discussion of Outputs
16:15 Wrap-up, and closure
16:45 End

Annex 3: From System to Service – Scaling up Community Management (conference background paper)

Ton Schouten and Patrick Moriarty – IRC International Water and Sanitation Centre

Introduction and background

Community management stands at an important threshold in its development as a management model. Until recently largely confined to pilots, academic research, and NGO projects it is now being taken up by a number of countries as *the* approach for providing rural water services. Ghana, Uganda, Zambia, South Africa and most recently India have all begun large scale experiments in implementing community management at a national or regional scale.

The title of this conference captures this move: from a focus on the individual community and/or system to the provision of services to entire populations. This background paper is intended to flesh out some of the underlying concepts and principles, and more importantly to identify what we see as the most important factors that need to be addressed if the aim of using community management to address the problem of sustainable coverage in rural areas is to be addressed.

First some background. For IRC and its research partners in the MANAGE project this conference marks the end of seven years work focussing on an improved understanding of the 'software' issues surrounding community management. Seven years spent looking intensively at what makes communities successful (or unsuccessful) managers of hardware and at disseminating this knowledge through training, advocacy and publications. However, we also hope that the conference marks a beginning. The beginning of a process in which, building on the results of our and many others work, the focus shifts from the 'community' to the wider enabling environment upon which the community relies.

If there is one overriding result of IRC's community level work on community management it is that communities can do a great deal. Communities can successfully carry out operation and maintenance, they can organise cost recovery, they can cooperate with other communities to make large and complex piped systems function. However, there is also a second less positive message. This is that communities cannot do it on their own. That sooner or later community management breaks down. The reasons for the failure of community management are many, and are both internal and external to the community. Failures of leadership, cost recovery and equity are all typical internal problems. Failures of spare parts supplies; construction quality; and bulk water supply are external. Many of these failures are linked to problems of dynamics. Communities are not static, they grow, evolve, mutate. All too often their water supply systems do not, and the fragile management constructs left in place at 'hand over' break under the strain.

To be truly sustainable community management requires outside support. One of the key points for this conference to address is what that support is, who should provide it, and what capacities are required. However, it should remain very clear that this is not a 'full circle' argument. We are not saying that community management has failed and that we must now return to government provision (which also didn't work). Rather we are saying that to the 80% of management effort provided by the community there is a crucial 20% that must come from outside. Troubleshooting, backstopping, facilitating, enabling. These are the issues that lie at the heart of one of the two key aspects of scaling up – increased sustainability. The other

key aspect of scaling up is increased coverage. How to reach many more people much more quickly – while maintaining or improving quality.

The starting point for this conference then, is that community management is the only appropriate option for meeting the unmet needs of the rural poor in developing countries, but that it needs to be embedded within a properly worked out enabling framework. We hope that the conference will identify concrete activities that will lead to the development and strengthening of such a framework. We also hope that it will lead us towards the setting out of a group of generally accepted principles that can underpin the process.

The conference is based around developing a common position on three main questions. What is community management; why use community management; and how to go about scaling it up. The first two are more questions of clarification, but also provide an opportunity for us to advocate for shifts in emphasis from 'traditional' views of community management. The third is of course the reason we are all here for these two days.

What is Community Management?

IRC and its partners work in the MANAGE project has led us to a vision of community management that is defined more in terms of the presence of certain characteristics or factors than an actual definition per se. We believe that the following factors can be identified in most community managed systems. Of these, the first two are essential: without them a system cannot be said to be community managed in any meaningful way.
Collective community *ownership* of the water supply system
Collective community *control* of the system
Collective community *operation* and *maintenance* of the system
Collective community *contribution* to costs (operating and capital)

Ownership

Ownership is at the root of successful CM. It is also one of the vaguest and most overused buzzwords of the sector, perhaps second only to 'demand' – for which it is often seen as a vital ingredient. Frequently what it really refers to is a 'sense of ownership' brought about by contributions to planning, construction, and so on, and as such is frequently reduced to a box to be ticked once a community has contributed its 5% to capital costs ('they've paid for it so now they feel they own it').

However, an important finding of IRC's research is that legal ownership is also crucial and it may indeed be wondered whether in the absence of legal ownership it is possible to sustain a 'sense of ownership'. Legal ownership is now catered for under a number of legislations, and can be conferred irrespective of 'contribution'.

Control and operation

The distinction between control and operation is particularly important as the two are often assumed to be synonymous. Put simply *control* means the ability to make decisions about how a system is designed, implemented, and managed: to select service levels, set tariffs, and if desired employ someone else to look after operation and maintenance. Most often control is implemented through management committees or boards.

Operation is the day to day maintenance of the system and can be carried out either by the community itself – often the case in simpler systems – or by a paid professional. Operation by

a professional under guidance is common in schemes in much of Latin America, the USA and even parts of Europe.

Contribution to costs
This is currently one of the hottest topics in the sector. Yet, is a cash contribution to capital and operating costs an *essential* feature of community management? Conceptually we would argue that it is not. It is possible to imagine a system who's implementation is financed by a donor project and who's O&M costs are covered by grants and subsidies, but which still belongs to, and is controlled by a community. In fact this hypothetical situation comes close to describing the community managed systems found in Switzerland, where various subsidies cover many of the costs yet control rests with the community. However, in practice in most developing countries a sizeable contribution to O&M costs will be a key feature of sustainability, and ensuring that communities are capable of collecting, managing, and using revenues is an essential part of ensuring sustainability.

What is less clear is whether an initial contribution to capital costs – as is now insisted on by the World Bank and other donors – plays any role in increasing ownership? Or whether it serves as yet one more barrier to trying to reach the poorest.

Why use community management?
The version of community management practiced by the rural water supply and sanitation sector in developing countries can clearly trace its roots to the perceived failure of governments to implement, and more importantly to sustain water supply systems. Those in the sector with a utilitarian bent see community management as an only realistic option to provide some level of service to communities. However they also often see CM as a stopgap measure to be abandoned once government 'reforms' and undertakes its proper function again. Those coming from a less utilitarian, more rights based, direction see community management as a means to a different end: empowering communities. In this vision the provision of functioning water supplies can come to be almost peripheral to the wider aim of making communities stronger, more cohesive and more able to demand their rights. The two schools of thought come together in the widespread adoption of participatory and 'people centred' approaches to rural water supply.

What both schools of thought share is a dislike and/or distrust of government. An important outcome of this has been an approach that has focussed almost exclusively on the community level, ignoring or bypassing government in the race to 'effectively' and 'efficiently' expand coverage or empower communities. This is unfortunate because despite successes empowering communities, the reality remains that community management approaches have not been noticeably better at sustaining systems after implementation than what went before them. Yet one of the main justifications for investing in the costly software side of CM, the training of committees, pump mechanics, caretakers and so on, is increased sustainability.

What is less often realised by practitioners of community management in developing countries is that community management is also used in a number of developed countries: not as a least-worst option, but as a rational, effective, and empowering solution to service provision to isolated rural communities. The example of CM in developed countries answers the question of why use community management: because it's the best option.

However, from the point of view of sustainability, the crucial lesson from the example of CM in the developed countries is that it is not developed in isolation from governments. Rather that it is surrounded and supported by a complex enabling environment of policy, legislation and support agencies. It is in fact precisely this mix of community abilities and enabling environment that gives CM its strength. Management can be tailored to the specificities of each community – to their requirements and capacities – in a way that central provision would find impossible. Yet the community is not left to its own devices to deal with problems that are beyond its capacities to solve.

The issue of flexibility in community management based approaches is crucial, but often ignored in the one size fits all – hand pump or nothing – approach practiced in much of the developing world. Rural people use water in a wide variety of ways (domestic, productive, spiritual) in their livelihoods, and systems that are designed to provide a level of service commensurate with those needs are much more likely to succeed in being owned and paid for by communities. Only community managed approaches have the flexibility to provide millions of communities around the world with tailor made water supply solutions.

In answer to the question "why community management" therefore the answer, or answers are clear. Because there is no alternative, because empowerment of communities is a good thing, because there is no other way to provide the necessary flexibility. Yet equally clearly the minimalist version of CM practiced in many developing countries is not sustainable as it leaves communities unsupported and with unrealistic expectations loaded onto them.

Scaling up community management
Given agreement that community management is indeed a worthwhile approach, and one that merits closer attention, what then are the challenges of 'scaling up' the approach to meet the needs of those people in developing countries who have no access to either safe drinking water supplies or adequate sanitation facilities?

The first step is to look beyond the community. For community management to be 'scaled up': to move from implementation of a system to maintenance of a service, requires attention not only to the community but also, and as importantly to the enabling environment within which the community exists. The laws, policies, institutions and actors who must support and build on the communities own capacities.

In our vision scaling up community management can be divided between scaling up in space, or increasing coverage; and scaling up in time, or making more sustainable. The title of the workshop seeks to encompass both in the concept of changing our focus from one that seeks to successfully implement systems in individual communities, to one that provides a sustained service to whole populations – albeit based on community managed systems.

Scaling up community management requires different actors with different capacities for the different phases of system development. Coverage issues are mainly related to implementation ability – the capacity to get concrete poured and management committees trained – more quickly and effectively. While sustainability issues are related to the ability to backstop the community indefinitely. To retrain people who leave their positions or die, to bring legal accountability to financial management by auditing WATSAN committees, to facilitate disagreements.

While good policy and legislation is of course essential, this is relatively easy to develop, particularly when compared to the huge task of improving both implementation and sustaining capacity among intermediate level actors. A successful community management approach must look beyond the community, to address the needs of those whose role it will be to support the community in future. Systems must be designed not only with community capacity in mind, but also with the capacity of the intermediate level to support the community. Currently there is a glaring gap in capacity at the 'intermediate' level and we would argue that filling that gap - by training, capacity building but also by changing attitudes and work practices –is *the* most pressing need in terms of scaling up community management.

Finally, scaling up also requires different approaches to implementation, in particular a move away from 'projects'. Projects while often seemingly effective in terms of providing systems on the ground are almost inevitably hopeless at either setting the basis for increased coverage or in ensuring sustainability. Community management requires partnerships between different actors at different levels. This is a particularly important issue for international NGOs and Donors, who often see government as the enemy and an obstacle to efficient implementation. Yet sustainability in particular is made virtually impossible by such approaches, and even long term presence of NGOs is no substitute for trying to develop local capacity.

The conference
The starting point for this conference is therefore a need to avoid failure. Failure to meet the needs of hundreds of millions of poor people, but also failure to provide a service that is significantly more sustainable than those 'top down' ones that went before. The conference is about scaling up, both through increased coverage, and greater sustainability. Both are essential to success.

As much of the developed world stands poised to adopt community management in a much more systematic and wholesale manner than ever before there is real danger of widespread failure through the rapid application of a methodology that has yet to be tested outside the confines of three year 'pilot projects'. A methodology based on the capacities of communities but ignoring the roles and responsibilities of those on whom the communities rely on. A methodology that sees communities as isolated islands, rather than joined up parts of a wider society.

It is the aim of this conference to start a process to address these dangers. To secure consensus around the importance of community management, but also the importance of developing an enabling environment for it. Also, to start a process of identification of the tools and methodologies and examples that will be needed to develop that enabling environment – most critically the tools that will lead to a strong 'meso' level capable of helping communities to build on their own capacities.

Questions for clarification on the background paper:
- In the video only attention on water, in the slide also sanitation. In this conference, do we focus on both? Answer: up to you, normally, sanitation is more household-based. On the other hand it might strengthen financial sustainability. Find out its relevance!
- Should this conference focus on rural only? Answer: up to you.
- Should this conference focus on water resources management? Answer: it might be too big an issue for this moment.

- There is already a lot of experience with larger programs using community based programs, so maybe your presentation is exaggerated? Answer: Yes it is, but only recently a start is made with mainstreaming.
- Pre-planning phase consists of identification and planning, so improve the picture of the project phases.
- Look better at what a community is, as it is heterogeneous.
- Community participation is not new, donors and governments are rediscovering community participation.

Annex 4: Association of community based organisations – Colombia

Mariela García Vargas[2] - CINARA

Abstract
Both the Colombian National Constitution and the Public Household Utilities Law[3] granted the communities the right to manage their own water supply and sanitation systems. According to estimates, there are over 25,000 organizations that run these systems[4] in Colombia, including small towns and rural settlements. 80% of these organizations are community-based. Nevertheless, as of 1999 only 1709 organizations of water supply providers - 640 of which were community organizations - were registered with the Superintendence of Public Utilities.

This kind of organization is most commonly found in rural areas, where it faces a number of deficiencies with regard to compliance with government standards and achievement of high performance and effectiveness levels. The Ministry of Development (2000)[5] acknowledges that the business situation of this sector is worrisome.

Having conducted a performance evaluation on a sample of water supply and sanitation service providers who meet the needs of 79% of the urban population in Colombia, it was found that the improvement of their performance as well as the compliance with their action plan to optimize management are rather precarious. Managing water supply systems in Colombia has proved to be a difficult task. The most serious problem, however, occurs in rural areas and townships.

In an attempt to help overcome this situation, the CINARA Institute at Universidad del Valle in Colombia has been working with community-based organizations on the establishment of an "Association of Community-Based Organizations Providing Water Supply and Sanitation Services in South-western Colombia". This paper presents this experience as one of the major achievements of CINARA´s involvement with the Community Management Project developed by the IRC[6] and six other collaborating institutions from Nepal, Pakistan, Cameroon, Kenya, Guatemala and Colombia.

In the course of the establishment process, it was found that this Association may contribute to the following:
- Strengthening the decentralization process;
- Improving the quality of water supply and sanitation services in rural areas and small towns;
- Achieving sustainable management;
- Generate an economies of scale to activities in connection with training, spare part acquisition, project development, etc.;

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[3] Law 142 of 1994
[4] Perez, Mario (2001) Management Report of Small-scale Water and Sewerage Service Providers in Colombia. CINARA document
[5] Ministry of Development (2000) Public Policy Report for this Sector. Bogotá, Colombia
[6] International Reference Centre headquartered in Delft, The Netherlands.

- Becoming a communication bridge between communities and local, state and national institutions. This involves having access to information, training and procurement of resources;
- Having influence on national policies for providing public utility services; and
- Developing an organizational proposal to be reviewed for assessing its relevance and the possibility of implementing it in other countries where similar conditions are available.

Colombia and the water supply & sanitation sector. General information.
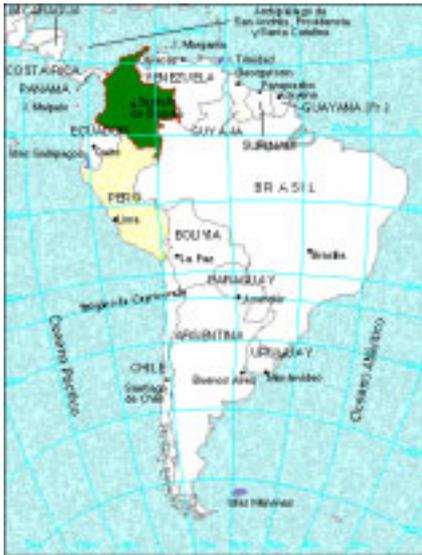
Colombia in South America
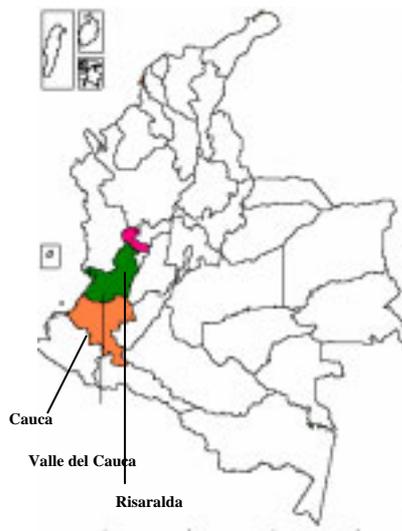
Departments of Colombia

Colombia is located in South America

Colombian states where the Community-based Organizations members of the Association are located.

Located in North-western South America, Colombia has an area of 1,138,914 km^2 and a population of 40 million people. 71% of the people live in urban areas, and the remaining 29% in rural areas. Notwithstanding, more than 80% of the 1,072 municipalities in this country have less than 12,500 inhabitants.

Although annual income per capita is US2,000, 52% of the Colombian population is still poor. In average, the national coverage is 76% for water supply and 63% for sewerage. In this regard, the figures for rural areas are in the range of 45% and 30%, respectively.

The municipalities are responsible for water supply and sanitation services, which may be provided either directly or through "mixed" companies (i.e. public and private), private companies and community-based organizations. The Ministry for Economic Development together with the Regulatory Commission and the Superintendence of Public Utilities are the government agencies that regulate this sector.

The Ministry's duties include planning, providing technical assistance, and issuing of standards and enforcing compliance therewith. On the other hand, the Regulatory Commission establishes the rules for companies operating in this sector. Lastly, the Superintendence of Public Utilities is responsible for the supervision and control of these companies. The Ministry of Health sets the parameters for water quality control, and the Ministry of the Environment is responsible for the protection of water resources.

The problem
Decentralized processes have led to the disappearance of national agencies focused on the development of water supply and sanitation programs in rural areas. While decentralization has allowed community-based organizations to be more autonomous, it has also caused the disappearance of external assistance from the local government, which has failed to establish mechanisms to provide assistance and support to rural areas either because of the lack of technical and financial resources or because the financial resources are invested only in the main parts of the municipalities.

This situation becomes even more critical considering that the armed conflict battering Colombia mainly takes place in the countryside. In some areas, the armed groups have murdered community leaders involved with the management of water supply systems. In other cases, they even ask for a management report because these groups have assumed "government roles" in the areas under their control.

On the other hand, the Colombian Law for Public Utilities is intensively focused on urban areas. Therefore, community-based water committees face difficulties in ensuring compliance with the legal provisions, and many of them are operating without being duly registered as legal entities.

The 27 community-based organizations in South-western Colombia that decided to create an association have identified the main administrative, technical and involvement issues that the organizations are facing as listed below:

ADMINISTRATIVE	TECHNICAL	PARTICIPATION
• Community-based organizations depend on the municipalities with respect to operation and maintenance activities. • High non payment rate (>30%) • Lack of resources to carry out system optimization and/or refurbishment activities. • 12 organizations have not yet been legally incorporated. • Absence of cost studies for tariff calculations. • Accounting and financial information is not systemized. • The organizations do not prepare short-, medium or long-term action plans. • Lack of "know-how" to develop projects and acquire national and international funding. • The communities do not own the micro basin lands. • Lack of administrative transparency. • Organizations are not aware of the government's training plans. • Lack of programs on rational use of water and environmental education for communities.	• O & M costs of electric pumping systems are too high for poor communities. • Water treatment facilities are not available at 70% of the organizations. • The design of the water systems is not suitable. • The water distribution system is in poor condition. • Lack of macro measurement. • The community-based organizations have no access to loss control programs. • No waste water treatment systems are in place. • Insufficient surface water sources, and existing sources have a decreased flow rate. • No training programs in Operation & Maintenance available for the communities. • Micro basin deforestation..	• Rare involvement of communities in making decisions relative to the project's cycle. • Government and non-government institutions do not recognize the knowledge that communities have. • Communities show no interest in the administration, operation and maintenance of the water supply and sanitation systems. • Communities have poor self-management abilities. • Lack of training in mechanisms, forms and legal regulations for community participation.

Considering the above situation, these organizations feel that they need to join efforts to face and solve the aforementioned problems together.

Solutions
As described above, this background creates a broad room for the emergence of innovative organization structures such as that of the "Association of Community-based Organizations Providing Water Supply and Sanitation Services". In the initial stage and represented by one of its professional members, CINARA played an active role as coordinator of meetings and facilitator of problem identification workshops with the organizations involved. It also participated in the definition of the vision and the mission of the Association and in the discussion about the advantages and disadvantages thereof.

Having set the common goals and gotten to know the participants, the leadership was handed over to the communities. At the outset of the process only 19 organizations were involved and 8 women attended the meetings. Originally, the project basically involved organizations of communities in which CINARA had worked, but as the process evolved, the participants invited neighbouring organizations.

At the present time, there are 27 organizations involved, and 24 women attend the meetings. A proposal was made for each organization to be represented by a man and a woman. 17 of the organizations were formed by rural communities or communities located in the outskirts of the city of Cali[7], 2 of them come from rural areas in municipalities in central Valle del Cauca; and 6 of them were established in the rural area of municipalities in the State of Cauca State; and 2 come from the rural area of municipalities in the State of Risaralda. Nevertheless, the Association serves more than 27 communities; one organization alone gathers representatives from 45 communities and two others represent 19 and 24 communities respectively. Because the organizations do not keep track of the number of users, there is no exact data available on the number of people served by the water supply systems. In any event, it is known that the number of users amounts to 15,000[8]. It is also worth noting that 26 out of the 27 organizations have a tariff for water and sewerage services that ranges from US0.70 to US$3 a month.

Furthermore, the Association was established using the members´ own funds. All of the organizations make a monthly economic contribution for the operating expenses of the Association. The amount of the contribution depends on the number of users in each organization:

- Organizations with 1 to 100 users pay 1 day of a legal minimum salary, i.e. US $4.5
- Organizations with 100 to 300 users pay 2 days of a legal minimum salary, i.e. US $9
- Organizations with over 300 users pay 3 days of a legal minimum salary, i.e. US $13,5

It was decided that all members have to pay a membership fee that equals 5 days of the minimum salary in effect (currently US 22.5) at the time they become members.

Having prepared its by-laws, the Association is now taking the steps to become a legal entity. The Board of Directors consists of 7 members, i.e. a president, a vice-president, a treasurer, a

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[7] The city of Santiago de Cali, capital of the Valle del Cauca State, has 2,000,000 people.
[8] Considering that each user represents a housing unit, and if 5 people is the estimated average size of a household in any rural area in Colombia, the water supply systems run by the Association serve approximately 75,000 people.

secretary (a woman), an attorney, a community spokesman, and its alternate. Women have started to participate in the meetings, but they still don't have enough self-confidence to become members of the Board of Directors.

Because the Association currently has no headquarters, the secretary has to contact the members and co-ordinate the activities from home. The Association's Board of Directors meets at the facilities of CINARA once a month, but it is now looking for funding to have its own headquarters. It was decided that the Board of Directors will meet with the associated organizations twice a year for the purpose of presenting results and making decisions.

The members identified the following advantages of having established the Association:
• Improved cost-benefit ratio and economies of scale
• Easier access to funds.
• Enhanced ability to negotiate at different levels, i.e. consultants, private sector, and governmental and non-governmental organizations.
• Better conditions to access training, particularly in administrative and technical issues.
• Creation of better conditions to face the political parties that hinder a lot of community-based organizations.
• Improved project effectiveness

They have also agreed to proceed in conformance with the following principles.
• Members are free to join and leave the Association.
• Equal rights and obligations.
• Democratic participation in any deliberation and decision-making process.
• Absence of any kind of discrimination, particularly political, religious, social or racial discrimination.
• Autonomy to operate and act in conformance with the by-laws.
• Transparency

The above principles seek to guarantee horizontal relationships among the members and prevent any political party from taking over the organization for political causes.

Lessons learned
• The Resource Centres may act as catalysers in the community organization processes because, in many cases, the community members either have no access to information that allows them to act on their own or have no opportunities to share their knowledge.
• International donors and local institutions involved in this sector could support these kinds of projects. Nevertheless, so far no strong effort has been made in this regard
• Transparency has become a key element of these kinds of organizations.
• Communities develop their own capabilities and strengthen their negotiating skills.
• The Association is a room where communities can learn. Its members have different backgrounds, use different organization schemes and use different kinds of technology, therefore they can learn from each other.

Clarifying questions & answers:

- What does the association mean by transparency?
  They want to have more insight in the political processes and the manipulation of these processes. In addition, there are a lot of regional differences, which cause -without transparency- misunderstanding between the communities.
- How about the legal registration? What does it mean?
  Many communities have a board -which works- but the communities are often not registered. The registration is a requirement if the communities do not want to lose some opportunities. The requirements are that a community needs to have a bank account and they need to be register as a voluntary organization. As the community are not familiar with the requirements or don't known how to register, CINARA assists them in the registration.
- What is exactly the role of CINARA? Can the communities survive without the assistance of CINARA?
  CINARA has taken the initiative and has promoted the idea. They don't give financial support to the communities. In the beginning CINARA provided space for the meetings. Nowadays the association organizes their meetings and space for the meetings themselves. If they need help, assistance or knowledge, the association knows they can contact the University of Cali. It became a very transparent process.
- Can the communities support themselves?
  The community pays fees.
- How about equity and gender issues?
  CINARA try to get the boards more gender balanced but in practice only one woman is member of the board, who also is a secretary. CINARA is working on this issue.
- How is ownership defined?
  Ownership is not really defined and not mentioned.
- The association is formed for strategic reasons, not to delegate tasks to the association. The association is mainly formed to talk about with the government and to talk about the law. The association is also helpful for buying parts of the motor pumps.

Annex 5: Scaling up community management in Ganjam, Orissa – India

Pradeep Patjoshi - UNICEF India

Key lessons

- Community management only becomes a reality if decision-making, including financial control, is devolved to community level.
- Decision-making implies that communities have choices to make throughout the project process. Systems are therefore needed to provide people with an informed choice of options.
- For community management to be effective, it needs quality facilitation. Quality cannot should not be sacrificed to achieve quantitative targets
- Communities do not exist in isolation. Community management requires support, above all, political leadership. The results can overturn a top down attitude to service delivery and bring government on side.
- The capacity of local NGOs to facilitate community processes should not be underestimated. In Ganjam they play a vital role.
- In terms of providing more technical options and longer-term support, there is a need to mobilise local government (and possibly private) institutions.
- Ultimately, scaling up community management needs partnership with communities, NGOs and government working to achieve common objectives.

Background to UNICEF's Ganjam Programme

India, Orissa and Ganjam

Location of Ganjam District in Orissa
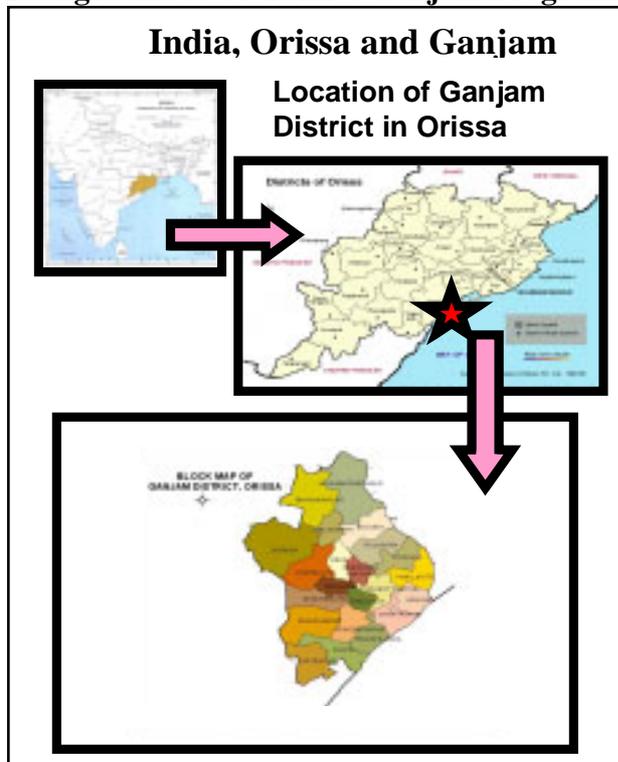
This case study is based on an integrated watsan programme implemented by UNICEF in Ganjam, Orissa, situated on the coastal plain of the Bay of Bengal. Orissa is one of the poorest states in India, with the highest rates of infant and maternal mortality in the country, as well as the lowest rate of sanitation in the country. Less than 5% of the State's population has access to adequate sanitation, and even less use the facilities provided.

Ganjam (see the map opposite) has a population of about 3 million, of which 87% is rural. Administratively, the District is divided into 22 Blocks, each with an average of 120 villages. Over half the population is designated as living below the poverty line.

UNICEF estimates that about 60% of the population has access to safe water - typically a communal tube well. Before the project started, sanitation coverage was measured as 4.7%. In 1999 there was a fundamental shift from top-down, isolated interventions to a demand-driven, community managed process. This fundamental change of approach and attitude has led to significant and sustained improvements.

Achievements

Before this shift in thinking, sanitation coverage was a meagre 4%. Three years later, the figure is 40% and growing. Over half of the villages so far included in the programme boast 100% coverage. More importantly, these toilets are being used.

An important part of the programme has focused on school sanitation and related hygiene. This has complements other demand based initiatives that have included garbage disposal and storm water drainage to improve the village environment. Water supplies have been improved and there have been major changes in hygiene practices.

In all, over two hundred villagers have an established system of community management. 25% of the total cost of these improvements was borne by the community.

Building your first latrine superstructure

How was this achieved?

UNICEF's strategy in Ganjam is based on model villages, in which intensive interventions were undertaken on a cost-sharing basis. The assumption was that these villages would serve as learning nodes and stimulate interest and demand elsewhere.

The process started with 14 model villages, each in a different Block. Each village was facilitated by a local NGO. To ensure that participation and decision making was mainstreamed, must use was made of PLA techniques and in particular the development of a community action plan.

The community map provides a focus for all community watsan activities

The investment that people were prepared to make was considerable. In tangible terms, the cash, labour and in kind contributions amounted to over 25% of the project fund. This figure masks other inputs consisting of people's time, interest, knowledge and skills. In short, communities were prepared to mobilise their assets, in return for a controlling stake in deciding how resources were used.

The role of the intermediary NGO in this process - and the quality of its work - has proved crucial. A wide variety of methods were used to communicate ideas and promote messages. Women were helped to establish self help groups and join saving schemes. This has helped empower women as decision-makers, and is it this group that is largely responsible for the success of the project. Community managers have also been shown how to monitor the impact of their plan.

Partnership
Scaling up such a system requires partnership. In all, there are six key partners: the community, the watsan committee, the Block level NGO, a District level co-ordinating NGO, the District Administration and UNICEF. The result is a network, not a vertical structure. Key relationships are reflected in memorandums of understanding.

A significant aspect of the Ganjam programme is the involvement of the District administration, facilitated by UNICEF. For example, the District Collector (its Chief executive officer) has issued guidance for how Block level NGOs are to be selected. Village watsan committees have been recognised by the Administration, increasing their authority (for example, to collect and manage funds) and their credibility. In return, UNICEF has supported the District Administration with an extension worker who is responsible for day to day operation.

Scaling Up
Following the success in 14 villages, the programme was expanded throughout Ganjam to 220. Each model village became a learning centre. Exposure visits stimulated interest and demand for expansion. Work in these villages is at an advanced stage. Quality has been maintained, but each village plan is unique reflecting local perceptions and priorities.

The challenge now is how to integrate this process with the Government of India's Sector Reform programme. Although both initiatives have much in common, the scale and time frame of the Sector Reform process poses new problems to be overcome, *especially if quality is to be maintained*. Some 10,000 villages are to be involved in five pilot Districts in Orissa, including Ganjam. This is out current challenge.

Lessons Learnt
- Community management only becomes a reality if decision-making, including financial control, is devolved to community level. This itself is a political decision, requiring political support.
- Decision-making implies that communities have choices to make throughout the project process. Systems are therefore needed to provide people with an <u>informed</u> choice of options.
- For community management to be effective, it needs quality facilitation. <u>Quality</u> cannot should not be sacrificed to achieve quantitative targets. Time frames need to be realistic. One developed, a successful demand driven approach can achieve more in three years than decades of top down service provision.

35

Sanitation is going places…

- Communities do not exist in isolation. Community management requires <u>support</u>, above all, political leadership. The results can overturn a top down attitude to service delivery and bring government on side.
- The capacity of local NGOs to facilitate community processes should not be underestimated. In Ganjam they play a vital role. The role of the private sector in service provision is also important but their current capacity is relatively limited.
- In terms of providing more technical options (for example, piped water supplies) and longer-term support, there is a need to mobilise local government institutions. How this can be achieved within the current framework is unclear.
- Ultimately, scaling up community management needs effective, sustainable <u>partnership</u> with communities, NGOs and government working to achieve common objectives.

Questions and answers for clarification:
- On the financial decision making power: who controlled the money? From each tribe group 15 to 20 individuals were chosen in a democratically way, a leader/chairman was elected even as a secretary, and each group opened its own bank account.
- On the scaling up process: how did other communities and (local) governments came on board? Not a forced or organized process; village people came on their own, the government located people from local governments to be involved.
- On the initial reform process: the approach was top down and nothing was achieved, what enabled the turning point? There were 10 indicators for that, most important was that now, the initiative comes from the community so it's a local initiative, community based management systems.
- Are NGO's crucial at the intermediate level? They play an important role at district level and they need to be present at block levels.

Annex 6: Institutional frameworks to support community management in South Africa

Abri Vermeulen - National Department of Water Affairs & Forestry (DWAF)

Executive Summary : Key Institutional Lessons from this Case Study

- With the right capacity building and support, community-based organisations (CBO's) can deliver affordable, reliable and sustainable water services
- Local government fulfilling a support services role to a community-based Water Services Provider (WSP) enhances the legitimacy and 'authority' of the community-based WSP (CBO WSP) in the eyes of the community
- The type of support services required by a CBO WSP include: major maintenance, preventative maintenance, technical advice, financial mentoring and monitoring, and support when communicating controversial issues to the community
- A proactive and committed WSP committee is a critical to the success of a community-based WSP
- Prepaid meters together with CBO WSP responsibility for revenue management ensures a coherent 'water services business" within the CBO WSP and contributes to financial and overall sustainability
- Community-based WSPs are able to effectively deal with vandalism and defaulters if appropriate action is taken from the start
- A formal WSP office within the community legitimises and enhances the status of the CBO WSP. Proper office equipment and systems facilitates efficiency
- A two tier CBO WSP structure which includes a representative 'governance' committee and employed officials/ staff provides an effective model for accountability, WSP-community communication, and efficient and effective fulfilment of the WSP functions
- Selection of appropriate officials and a strong overall 'manager' within the WSP is critical to the successful operation of the WSP
- Regular 'audits'/ review of financial records by a support services agent / WSA enhances accountability and community trust in the WSP
- Good communication systems with both the community and the support services agent are essential.

Country and Sector Background

South Africa is located at the southern tip of Africa. It is a middle income developing country with a Gross Domestic Product of about USD 125 million. In the early nineties South Africa went through a major political transformation which saw the introduction of a non-racial democracy in 1994. Since then all major legislation policies has been revised. The national government also embarked on the Reconstruction and Development Program (RDP) in 1994, which is aimed at addressing the disparities created by racist legislation and practices in the past. Under this program, large amounts of money are allocated for new and upgrading of infrastructure and services for former disadvantaged areas.

During 1996, the Constitution of South Africa was promulgated, which assigns different roles and functions to three interdependent spheres of government, national, provincial and local. The constitution places the duty of ensuring various services, including water and sanitation at local government. Also in 1996, a transitional local government system was put in place, which brought local government to many parts that had never had it before.

In 1997 the Water Services Act was promulgated and in 1998 the National Water (resources) Act. The Water Services Act, 1997, further defines the role of local government in water services provision. It defines the duties of the Water Services Authority (WSA) - the municipality - and the Water Services Provider (WSP) - the entity appointed by the municipality to supply the services (this function could be done by the municipality itself).

During 2000, a new system of local government was designed and the local government elections of December 2000 made the new system a reality. The new system amalgamates former white and black areas as well as placing a number of towns (urban) together with rural areas into one municipality. The impact of these changes are still being grappled with in the sector.

Problem Statement
In South Africa, municipalities are WSA's, and traditionally have also been doing the WSP functions. Rural (tribal areas – where 50% of the populations lives) were formerly part of "homeland" administrations, these were areas designated to become "independent" from "white" South Africa. These governments were part of the "apartheid" system and were not recognised as legal by the international community as well as most people in South Africa. Services were therefore mostly put in free of charge to try and win the favour of people. This means that a strong culture of non-payment exists. All these systems were run from a "national" homeland level and little attention has been given to community involvement and sustainability issues. An attempt has been made since 1994 to reverse this. Apart from this, South Africa has very high expectations, especially when it comes to levels of service. Furthermore, many municipalities do not understand these concepts and does not recognise the value of community management and resources existing in communities that can be utilised to make service delivery more sustainable. DWAF thus set out to find successful community managed schemes in order to learn lessons on how to formalise these into WSP's. A guideline with model contracts has since been produced based on the research. Izingolweni was one of the case studies done under this project.

Izingolweni – the Solution
Izingolweni – a community of about 35 000 people - is situated in the Ugu District Municipality (Regional Council – RC – at the time the case study was done) in southern Kwa-Zulu Natal. This case study is an example of a community-based WSP with local government fulfilling the role of support services agent (SSA).

Ugu Regional Council implemented the water system funded by DWAF. Water is supplied from a bulk system where Ugu is the Bulk Water Services Provider and charges the CBO a bulk tariff and also sets all other tariffs. There are 60 prepaid standpipes and 59 private connections to both households and businesses. The Ugu Regional Council as the WSA made the decision to establish a community-based water services provider. Six months prior to commissioning, the project steering committee was transformed into a local water committee. The officials of the water committee were trained as to what their role is as a WSP. On the day of commissioning the water committee was constituted as the WSP. The officials employed by the committee were also appointed and trained to fulfil the various WSP functions. In the first six months following commissioning, Ugu RC monitored the performance of the WSP. Once the Council was satisfied that the WSP was able to successfully fulfil their WSP functions and overall WSP role, they singed a WSA-WSP

agreement with the Izingolweni WSP. A diagram of the institutional arrangement is attached at the end of this paper.

- The CBO
    - consists of 8 elected representatives of the community (voluntary)
    - employs 4 staff members – 1 manager, 1 administrative clerk, 2 maintenance officers (contracted by the committee)
    - contracted by the WSA (Ugu) to perform following functions : routine operations, customer relations, communication, revenue management, administration and planning, monitoring and reporting and accessing maintenance support.
- The WSA (Ugu)
    - performs the functions of a WSA, being ensuring access to services through appropriate policies, etc, setting of bylaws, developmental planning, setting of tariffs and appointing and managing the WSP's
    - performed the function of implementing the projects, including setting up of the CBO, training and mentoring of the committee and staff
    - performs the function of the SSA, being mentoring (financial, ISD, operations, etc), monitoring the performance of the WSP, major maintenance, assistance with procurement

Lessons learnt
- The CBO WSP is providing cost-effective services that have benefited the consumers through a lower tariff as well as reliable services.
- In addition, the community-based model has ensured excellent access by the consumers to the WSP with good customer relations and communication strategies.
- Critical to the success of this community-based model are the technical, ISD and mentoring support services provided by the Ugu Regional Council.
- The overall model has ensured a culture of community ownership and responsibility as well as payment for services.
- The CBO option also provided employment to local community members, skills development of both the WSP committee and the officials as well as a means of ensuring that the community takes responsibility for their own development.

Summary
This case study illustrates that CBO models have both the capacity and willingness to manage water services and are a suitable institutional option for less accessible rural communities. A critical success factor towards establishing effective CBO WSP models is effective capacity building and access to support. Legislative, financial and policy frameworks must encompass a legal recognition of CBO's as WSP's whereby an enabling environment for their establishment and success is created. Public-CBO Partnerships are an important institutional option to consider for the provision of water services in rural areas.

A more detail document on this case is available from DWAF South Africa (vermeulena@dwaf.gov.za) or on the IRC website.

Questions and answers for clarification:

- What is paid by customers, what is paid indirectly by the community? Ugu district level sets the tariff, which covers the costs of the committee and staff plus generates some surplus for further extensions. It is up to each of the municipalities to decide upon free basic water: how many litres are for free, and above you have to pay for. Most of the costs are actually indirectly cross subsidised, and the capital costs are paid by the government as a grant to the municipality.

- Who decides if a CBO can be the service provider? The municipality does. National legislation and framework is in place, but it is flexible as it only provides guidelines, the municipalities are to decide upon details. DWAF tries to promote this model to the municipalities, and that it can be cost effective.

- When talking about water services this includes both water & sanitation, but there are differences in management systems between community managed water supply and household level sanitation/VIPs.
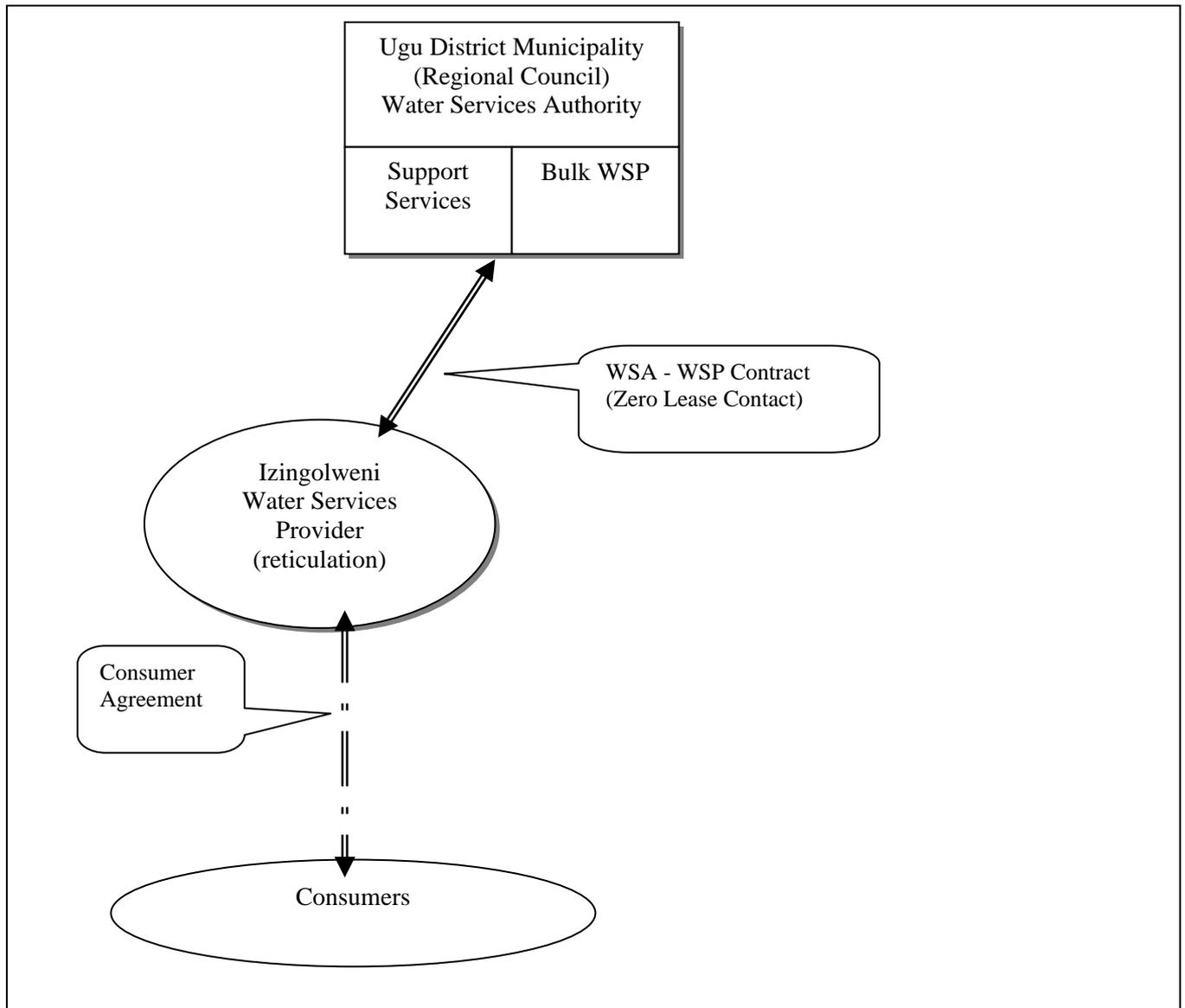

Figure 1: Diagrammatic representation of the water services provision institutional arrangements for Izingolweni community

Annex 7: Institutionalising community management in Uganda

Amsalu Negussie – WaterAid Uganda

Community management in Uganda
In recent years many development agencies in Uganda have focused on the promotion of participatory approaches to encourage bottom-up planning and empowerment of communities so that they take more control of development activities, which affect their lives. In the water and sanitation sector, small Non Governmental Organisations (NGOs) and Community Based Organisations (CBOs) have made a significant contribution to the development of these planning processes. The promotion of community-based participation and management leads to improved ownership and therefore sustainability of water and sanitation systems.

The Government of Uganda (GoU) has shown a commitment to community management and participatory approaches. A key objective of the National Water Policy 1999 is to provide:
> "*sustainable provision of safe water within easy reach and hygiene sanitation facilities, based on management responsibility and ownership by the users…*"

Within the framework of the National Policy, community management of local facilities has been tried on a wider scale, with several large government supported, donor-funded water and sanitation programmes promoting community management and bottom-up planning.

However, despite these efforts there are limited examples of successful community management models, even on a small scale. Key problems identified are:
- A lack of understanding that community management is more than simply promoting some form of village level involvement.
- Lack of awareness of Uganda's diverse cultural mix. For example in Karamoja in the North East there are completely different cultures, attitudes and practices than in Baganda in central Uganda, making one country-wide approach difficult..
- Unclear roles and responsibilities, as well as lack of co-ordination, by government departments and other agencies.
- Focusing on private sector implementation in an effort to scale-up projects has caused a reduction in the quality and sustainability of the water points, due to lack of attention to community participation and management issues.
- Lack of understanding about the inter-relationship between community management, community decision-making power and the democratic process.
- Lack of understanding about institutional and legal frameworks within the government system that could facilitate the scaling-up of small scale integrated community management into national plans and programmes.
- Many NGOs/CBOS aren't self-reliant and are too small to be capable of advocating and promoting sustainable development concepts at national or district levels.

This case study is based on WaterAid's experience of its District Support Programme in Uganda.

The Water and Sanitation Sector in Uganda

Uganda has an estimated population of 22 million people, 90% of which live in rural areas. About half the population is under 15 years old. Despite its rural nature, Uganda is a densely populated country (85 people per sq. km). In 2001, the Directorate of Water Development estimated that water supply coverage in rural areas was 52.3% and 60% in urban areas. Sanitation figures show that in rural areas the percentage of households with a latrine is estimated at 48% while in urban areas the figure is estimated at 80%. These figures show that Ugandans are among the least served people in the world with respect to access to safe water and sanitation.

Village Participatory Planning in Mpigi District

Uganda is divided into 56 administrative districts, each of which is divided into counties, sub-counties and villages. There are about 40,000 villages. District Councils form the apex of local government below, which there are sub-county councils and village councils (LC1). Towns with populations over 15,000 have Town Councils.

The actual water supply coverage varies from district to district from a low of 14% in Pallisa, to a high of 84% in Kasese. This disparity also applies to sanitation which varies from 4% in Karamoja to over 80% in Mbarara. At the start of the millennium, 11 rural districts had water coverage below 30%.

The GoU is following a policy that decentralizes power and decision-making to the lowest practical local government level. Responsibility for the delivery of basic services now lies at the District and Town Council levels. The government is allocating an increasing amount of funding to Districts via conditional and unconditional grants. The financial year 1999-2000 saw a huge increase in conditional grants; mostly from donor funding and HIPC (Highly Indebted Poor Country) debt-relief; going to districts for water supply and sanitation through the Poverty Action Fund.

The WaterAid District Support Programme

WaterAid has been operational in Uganda since 1983 and in 1997/98 WaterAid reviewed its programme achievements of the previous 10 years. Working through 11 different small NGOs/CBOs across the country, at least 50,000 people per year benefited from community managed integrated water supply schemes. The review concluded that the most of the small community schemes were still functioning effectively and likely to be sustainable. However, the achievements of the programme were scattered across 100 villages in 10 different districts. These few interventions had very little impact at district and sub-county levels, let alone the national level. Although WaterAid's schemes were successful on a small scale, the activities did not contribute significantly to the effectiveness of the decentralised government system nor to the ability to scale-up the small community managed schemes.

In 1999, the WaterAid Uganda Strategy was revised in light of this key lesson. Recognising the limitations of operating bilaterally with dispersed organisations, the new strategy aimed to

implement community-managed water and sanitation projects through partner organisations within an overall framework of the decentralised government system.

WaterAid developed a District Support Programme and focused on three priority districts. It conducted preliminary studies and designed programmes with the participation of local governments, beneficiaries and all of the implementing agencies in the districts. 'Memorandum of Understanding' (MOU) were signed by WaterAid, the districts and implementing partners, clearly making the District Governments the leading partners in the programme. The MOU ensured that the WaterAid programmes were not being implemented in isolation with individual NGOs, but were integrated within the district plans.

<u>**Old - Direct Partnership with Local NGO/CBOs**</u> <u>**New Integrated District Support Programme**</u>
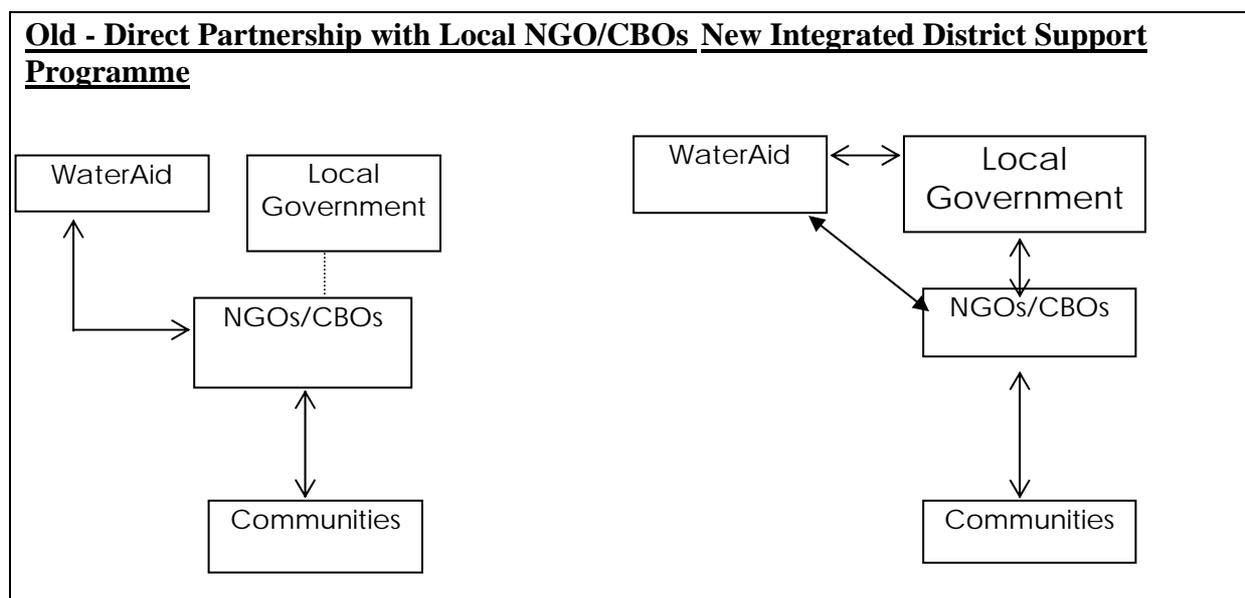
WaterAid opened District Co-ordination offices and assigned staff to both facilitate the work with local government to improve the planning process and increase their effectiveness in co-ordinating and monitoring implementing agencies on the ground. District capacity building needs assessments were facilitated and funded, and several recommended capacity building activities were implemented.

NGOs/CBOs in the districts were encouraged to document and submit their annual plans and reports to enable the local government officials to help co-ordinate their interventions with government plans, and also share their experiences of developing community management.

The District Support Programme encourages NGO partners and the district officials to hold quarterly meetings that enable them to assess the effectiveness of the new integrated district planning process. This regular assessment indicates that all parties benefit from the new relationship. The account of one stakeholder is presented below:

The Kyakulumbye Development Foundation (KDF), a community based organisation in Mpigi District, has been the WaterAid Partner for the last six years. Mr Kato Salongo, the Director of KDF has confirmed the benefits since the KDF programme has been integrated in the local government plan. He said "now in the new approach, the district officials respond to our requests and we are even invited to their planning meetings. They support us in base line surveys and understand why we need more than six months for community mobilisation. The officers concerned regularly visit our projects and they give us technical support. Now I feel KDF is contributing at the district level."

Scaling-up?

WaterAid currently serves about 40,000 people per year, through seven local organisations in the three districts, under this programme. Although fewer people are served than previously with a similar budget, the integrated district approach provides a more sustainable model, and raises the potential for addressing water and sanitation problems on a wider scale.

District Officers visit in a village at Wakiso District

Although it is still early in the programme's development, the plan is that successful approaches at the district level would be documented and disseminated among the others districts, with the aim of having a wider impact in the national water and sanitation sector. At the national level, WaterAid has developed strategic partnerships with the relevant government departments and donors. It was also instrumental in establishing a formal network for NGOs involved in the water and sanitation sector. Through these agencies it hopes to disseminate its lessons to influence others involved in implementing community-based water and sanitation projects.

WaterAid has also recently commissioned research into the strengths and weaknesses of implementation of small-scale water projects using private sector agencies. Although the report is not complete, the study identifies a number of constraints of working with the private sector in promoting effective community management. It also tries to explore the potential for NGOs and private sector to work in partnership, in order to capitalise on inherent mutual strengths and look at finding a way to address community management projects on a larger scale.

Lessons Learnt

While the District Support Programme does not in itself aim to address water supply projects on a large scale, it does show the importance of working with local government and draws lessons from the approach which could then be used by others when designing and implementing projects on a larger scale.

- Stakeholders must make a commitment to work together and capitalise on the current political moves to decentralise power to the village level.
- The chance of success is greatly improved if the powers to make decisions regarding how a system is planned, implemented and managed are maintained in the community.
- In spite of a commitment by the government to community managed water supply projects, existing institutional arrangements and human resources at district level to support community systems are insufficient. Intensive capacity building at the district level is required to implement the intended government policy.
- Efforts to improve accountability and transparency at all levels should be supported and strengthened.
- It is important to acknowledge that the private sector can contribute to the scaling up of water and sanitation projects, but their limitations, as service providers must also be recognised.
- NGOs and CBOs have a role in scaling-up community management, but their limited capacity is a major constraint.

The overriding challenge to scaling-up water and sanitation projects is resisting quick-fix solutions and maintaining a level of community involvement, which we have seen is an essential ingredient to achieving long-term sustainability. Addressing large-scale coverage will require a major investment in institutional capacity to support and monitor the service delivery of new facilities as well as the maintenance of the water and sanitation facilities that are currently growing old.

Questions and answers for clarification:
- Are there any examples of private sector involvement in CM? Answer: Yes there exist examples. But in general, we need to combine hardware (private sector) and software (communities) instead of choosing for one or the other.
- How has the understanding of the legal framework and procedures been improved? Answer: NGO's were afraid of the government. Then a process of understanding decentralization was started. Memo's of understanding were signed between WaterAid, NGO's and the government. Now, NGO's need to support and feedback, while government supervises the thing.
- What are the specific activities of the government? Where starts and ends their responsibility? Answer: Monitoring, planning and providing a legal framework. Furthermore it provides capacity and some technical service.
- Was it easier or more difficult to work more closely with the governments? Answer: It took us 6 months to get to know very well. Once the agreement was signed it really started off well and was easier than the previous system.
- How important was the broker role of WaterAid? Which actor could play the broker role in other contexts? Who could bring together NGO's and governments in other places? Answer: WaterAid always works through local NGO's, as it wants to support, not to take responsibility. In Uganda we bring together local NGO's and try to help the government working together with these NGO's. We try to make a model and advocate that. In Uganda WaterAid is trying to create a network of NGO's playing the broker role. The question is whether this is good, as they are not independent. We are encouraging other international NGO's to do the same thing. The role of broker can also be played by resource centres. In that way one can spread to other districts.
- At local government level there is often reluctance to change. Is this sustainable? We identified where district governments need capacity building to change their skills and capacities. In Uganda the local government does not implement projects, so NGO's and governments are no competitors. The process of bringing together both groups is difficult, but it is a must.

Annex 8: Wittenbach, a corporation running the business – Switzerland

Matthias Saladin, SKAT Switzerland

Executive Summary[9]

At the end of the nineteenth century rural communities in Switzerland started to construct improved water supply networks. Based on these local initiatives an institutional framework evolved which until today leaves much of the responsibility for the management of water supply services at village level. In the village of Wittenbach water supply is being managed by a corporation.

Key lessons learned

- The initiative to construct a water supply network in Wittenbach and many other Swiss communities was user driven. The people of Wittenbach were highly motivated to maintain and improve their network because of a strong sense of ownership.)
- The main motivation to start building water supply networks in the 19th century was to have a reliable water supply for cattle and to ease people's daily lives. Only later improved health was considered to be a positive side effect.
- With many buildings made of wood, fire protection has been a driving force for bigger reservoirs and larger pipes. All water supply networks were designed to meet the demand of households and of the fire brigade. The fire protection assurance is now one of the main actors in the field of water supply.
- A group of around 20 people injected the money for the first network project and founded the corporation. They were part of the local elite of wealthy and progressive people, which had been formed by the process of industrialisation.
- Legal protection of private ownership (of land and springs) has been a driving force for the spread of water supply networks.
- For initial investments the availability of credit was important. Later village savings prevented corporations and municipalities from paying loan interests.
- Network designs were generous and used high-quality materials and skilled labour. This enabled the water supply networks to keep up with increased demand.
- Operation, maintenance and rehabilitation are executed by the private sector. Duties are clearly defined in contracts and private companies still need permission of the president of the water corporation to act on complaints from the public.
- The roles of users, corporations, municipalities and service providers are clearly defined.
- Water has been the source of many conflicts between neighbouring individuals and communities. The Wittenbach corporation often had to act as a peace maker. The judicial system of the Swiss government provides a coherent, consistent and stable legal framework for conflict resolution.

Country and Sector Background

Switzerland lies in the centre of Western Europe; most of the country is located in the mountainous region of the Alps. Water is an abundant resource in Switzerland. The main water sources are springs (42%), ground water (42%) and lakes (16%). Households and small businesses consume 60% of total piped water, industry 20% and public institutions 7 %.

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[9] This case study is based on a draft publication that is being prepared by SKAT on the experiences in Switzerland with community management of rural water supplies.

Losses are estimated to be around 10%. . The average daily consumption rate is currently around 400 litres per capita. Only 3% of water delivered to households is used for drinking and cooking. Currently, 98% of the population has access to piped water supply, and 94% to improved sanitation.

The average price for 1m^3 water is SFr 1.50 (in US$ 1), about the same as 1 litre milk. A total of SFr 250 (US$ 170) per inhabitant per year is being invested in water supply infrastructure, operation and maintenance.

Switzerland has a federal government, which means that a lot of responsibility lies in the hands of lower levels of administration. These lower levels of administration are the cantons (comparable to a state in a federation) and municipalities. Responsibilities for water supply are divided over three administrative levels:
- The municipalities are responsible to deliver safe water in sufficient quantities to all households.
- The cantons are responsible for water quality and source protection.
- The federal government establishes the legal framework for protection of water resources and quality standards for drinking water.

Every municipality has its own budget and can decide on the level of municipal taxation. Water supply is mostly managed by the municipal administration. But a municipality may also choose to delegate management task to a corporation or a private company.

History of the Wittenbach water supply
Wittenbach is a village of some 8,000 inhabitants in the North East of Switzerland. Historically, people relied on local springs and hand dug wells. When agriculture intensified at the end of the 19th century, more cattle had to be provided with water, especially during dry seasons.

In 1897, the corporation was founded as a private club. Members paid substantial amounts of money according to the number of cattle they owned. With a loan from a regional bank the first system was constructed.
In 1908, the caretaker was replaced in democratic elections because of neglect of duties.
In 1908, the loan was paid back and the corporation started to accumulate surpluses for future investments.
In 1912, water meters were installed in all households.
In 1941, a private company was hired to supply the first electrical pump.
In 1971, the Wittenbach corporation formed a Group Water Supply together with 6 surrounding municipal water supply projects.
In 1992, a new financial regulation was implemented bringing a long political struggle to an end over the water tariffs in the Group Water Supply.

The stakeholders
The main stakeholders in water supply provision in Wittenbach are the users, the corporation, the Group Water Supply, the service provider, the municipality, the fire protection assurance and the canton. Their roles may be summarised as follows:
- The households pay the fees to the corporation. The fee consists of a fixed charge and a volumetric charge. The fees are set by the executive board of the corporation and supervised by the canton. Every adult inhabitant of Wittenbach is member of the

corporation and has the right to elect the members of the executive board, or to be elected in the board.

- The corporation was founded in 1897 as a private association. In 1932, it was forced to become a public body to be able to receive subsidies. The legal and organizational framework of the corporation is defined in bylaws. The corporation consists of three bodies: the members, the executive board and the accounting control unit. The executive board takes decisions in monthly meetings. All positions are voluntary. Only the president receives a small salary. Executive board members often stay for 20 years but have to be re-elected every year. The president supervises the management of the water supply. Day-to-day business is carried out by a private service provider. Because of the high status of functions in water supply management, there has never been a problem to attract community people for the executive board.
- The Group Water Supply was founded in 1971. The group owns all infrastructures from springs to meters. The water suppliers of the group (corporations or municipalities) are responsible for operation and maintenance of their part of the network. The seven members of the Group Water Supply each delegate a representative to the board of representatives of the group.
- The service provider in Wittenbach is a family-run private company. The original founder was a blacksmith who specialized in the construction of pipes. The duties are listed in a contract and the company is controlled by the executive board of the Wittenbach corporation. The company is member of a national association of service providers. The association provides training and is a platform for the exchange of knowledge and experiences.
- Another private company is responsible for operation and maintenance of the Group Water Supply network. They also read the meters in all households and are responsible for an emergency plan. This includes 24 hour availability, 365 days a year.
- Formally the municipality is responsible for the water supply of the village, but this task is completely delegated to the corporation.
- The fire protection assurance is a unique stakeholder. It's role may be described as para-governmental as it is provided with a regional monopoly, but at the same time regulated by a set of laws. The assurance is an important provider of technical knowledge and financial support. Projects that the assurance does not approve are not supported financially. House owners provide the financial funds for the assurance.
- The canton controls water quality, checks and approves the tariff structure of the corporation and takes care of source protection.

Conclusion

The evolution of the Wittenbach water supply management is an example of balanced development. Balance between the interests of different stakeholders. Balance between private and public interests. Balance between local, intermediate and national administrative levels. Balance between local skills and capacities at intermediate levels. The management system is dynamic, it changed in the course of a century. It is rooted in a strong sense of ownership and local control.

Comments for clarification:
- People find it stunning that also in wealthy countries there are cases of CM.
- Connections charge is a one time fee for when someone gets connected to the network. Bylaws indicate that the charge is 0.67% of their houses value.

- Switzerland is a federal state, each state is rather independent, but national laws point out that municipalities are responsible for water services. Then in each state it can differ how to fill it in exactly who is the provider and if there is a CM service or public or private.
- Also in Switzerland it was a process undergoing all kinds of changes. At some point tension aroused between owners and users of the network, because they sold water to themselves for a better price then to their customers. It was then decided that the corporation was no longer an elite thing but community based, where all community members are part of the corporation.
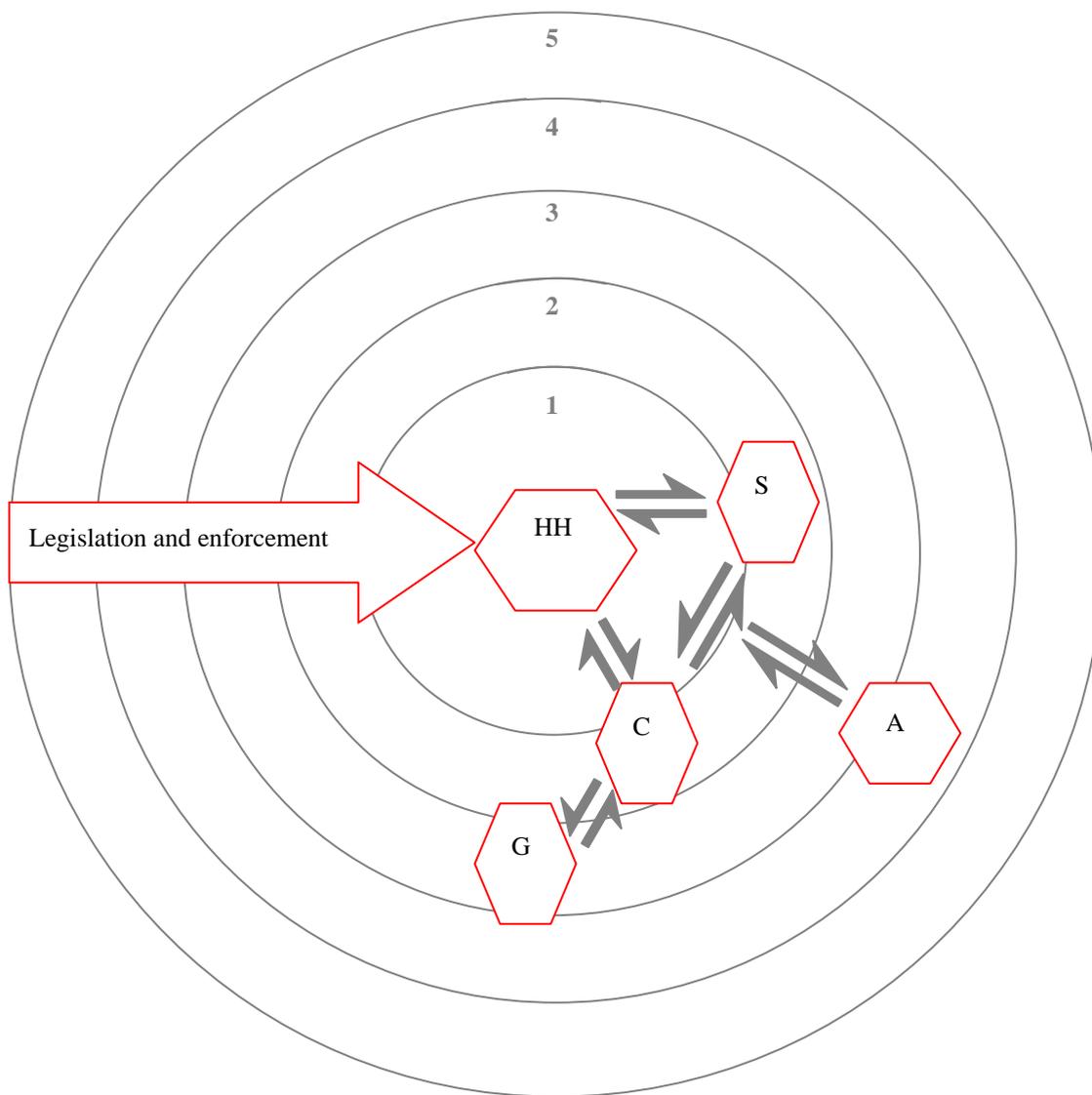
Figure 1: The main stakeholders of the Wittenbach case study

Levels (pictured as circles):   Stakeholders:

                                                 HH - Household
1 - Household level   S - Service supplier (private)
2 - Village/Municipality   C - Corporation
3 - Cluster of villages   A - Fire protection assurance
4 - Canton (state)   G - Group water supply
5 - Country

Annex 9: Community Water Systems Management – the US model

Sanjay Sanxena – National Drinking Water Clearing house

Focus of this Presentation

To provide insight into the community water supply management of US water systems.

U.S. Facts and Figures

- Population: 276,059 Million (2001)
- 2000 Gross Domestic Product: $9,872 Billion
- Median Household Income: $42,148
- Approximately 200,000 Public Water Systems
- 55,000 are community water systems
- 80% of community systems systems are small

Water Systems in the U.S.

PUBLIC WATER SYSTEMS FY 1997 INVENTORY

- Non-Transient Non-Community Water Systems 24,000 (13%)
- Community Water Systems 58,000 (30%)
- Transient Non-Community Water Systems 110,000 (57%)

CWS SERVING LESS THAN 3,300 PERSONS

- 3,300 persons 13%
- 25-100 persons 30%
- 1,000-3,300 persons 14%
- 501-1,000 persons 11%
- 101-500 persons 32%

U.S. Water Systems Framework

National Program

State Programs (50 States)

Technical Assistance Providers — Consulting Engineers — Financial Assistance Providers

Governance
Management
Operations

Source water → Treatment → Storage → Customer

Water Works Elements

- Technology
- Finance
- Management

General Management Structure

City/Town/Village Government

Advisory/Governing Board

Water System: Treatment, Distribution, Operations

Forms of Management Entities

- Public Service Districts
- Public Utility District
- Public Utility Board
- Stand-alone system/private entity
- Conservation District
- Cooperatives
- Others

Stakeholder Positions

System Specifications
Population served: ~2400
Total Staff: 4
Design Capacity: 1 mgd
Actual Use: .5 mgd
10-12 hrs. operation
Rapid sand
Source: Cheat River

"As a board member, it is extremely important not to interfere with daily operations."
Ms. Denise White, Board Member of the Kingwood Water System and Finance Director for the City of Morgantown

Plant Manager Taylor County Public Service District

"I've been in this business for nearly 30 years. I always appreciate acknowledgement as a water treatment professional." **Darl Settler, Chief Plant Manager**

Neil Dinsmore,
Deputy Plant Manager

Plant Superintendent

"In my experience, working with a board has definitely been easier than working with a council."
Kenneth Pearson, Plant Superintendent

Treatment

System Specifications
Population served: ~40,000
Total Staff: 37
Design Capacity: 10 mgd
Actual Use: 8-9 mgd
24/7 operation
Mixed media filters
Source: Westfork River

Board Member to Manager

"Board members can get a phone call on the weekend, saying, I have a leak. You have to listen to the people that elected you. In the long run, customer service improves and the water system gets better." Richard Welch, Board Member

Operations Staff

As technology for water supply advances, we have to keep up. For example, I can control the entire filtration plant from this PLC unit. An understanding of the needs of the water system are important for our board so that they can support us on the technology side." Don Summers, Water Treatment Plant Superintendent

Challenges

Technical: Source water adequacy, infrastructure adequacy, technical ability

Financial: Revenue sufficiency, creditworthiness, fiscal management and controls

Managerial: Ownership accountability, staffing and organization, external linkages

Sustainable Solutions

- **Problem Identification: Needs Assessment**
- **Capacity Development**
- **Funding and Policy**
- **Information and resources**
- **Technical Assistance**
- **Training**
- **Partnerships**
- **Customer education**
- **Others**

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Annex 10: Matrix of outputs and activities

Group	Category	Activities	Who is interested	Where are opportunities	Linkages	Who asks/offers
1	Cases/models/research	Ganjam - Investigation of process of scaling up	ADB, IRC	Ganjam		Pradeeb (UNICEF)
1	Cases/models/research	Comparative study of success stories of scaling up	IRC	Asia		Nayana (ADB)
1	Cases/models/research	Participatory evaluation of sector wide approach	EHP	Benin		Helga (GTZ)
1	Cases/models/research	Case study: Port a Prince: watsan urban slum project		port a Prince		Chris (EHP)
1	Cases/models/research	Example of cap building of local govt/nat level institutions – the process				
1	Cases/models/research	Research by (local) network partners on sustainability of WS		WELL		Paul (WEDC)
1	Cases/models/research	Example of promotion of CM.		Available from Benin		Helga (GTZ)
1	networking	Some sort of dynamic discussion forum/dialogue; Identify system to collaborate, institutional links	EHP, UNICEF, GTZ, ADB	Global	IRC	
2	networking	Information management - collection, dissemination of case studies	SKAT, WaterAID, IRC			Matthias (SKAT), Peter (WaterAID), Eveline (IRC)
2	networking	Information management - inventory of information, resources and centers	SKAT			Matthias (SKAT)
2	networking	Information management - central website with links to all sector information	SKAT	in development stage		Matthias (SKAT)
2	capacity building	Innovative approaches - training & workshops (more practical)	IRC, SKAT			Matthias (SKAT), Eveline (IRC)
2	capacity building	Innovative approaches to learning (e.g. community level exchange visits, government to government exchanges)				
2	capacity building	Tools to translate 'advocacy' into action	IRC, UNICEF		UNICEF through country offices	Eveline (IRC), Mark (UNICEF)
2	capacity building	Inventory of academic/training courses (and develop courses/models for governments & NGO's)	IRC, UNICEF		UNICEF through country offices	Eveline (IRC), Mark (UNICEF)
2	Advocacy	Pursue international and country level advocacy	IRC, WaterAid, UNICEF			Eveline (IRC), Peter (WaterAid), Mark (UNICEF)
3	advocacy	Conduct workshops on advocacy that community management works for policy makers	UNDP and Worldbank WSP	India?		Karl (SKAT)
3	advocacy	Advocacy				Merri (EHP)
3	advocacy	Communication strategies for organisation of associations				Mariela (CINARA)
3	capacity building	Capacity building for those that design CM	UNDP and Worldbank WSP	India?		Karl (SKAT)
3	capacity building	Capacity development like training strategies, workshops etc.				Merri (EHP)

3	capacity building	Training course for CM at institutional level		Latin America		Mariela (CINARA)
3	Cases/models/research	Further elaborating Swiss cases and models. Work out key-factors for success and show context			IRC promotion of cases.	Karl (SKAT)
3	Cases/models/research	Case material, as they have an approach that goes quite far. It is special as it involves full cost recovery			IRC	Eberhardt (GTZ Yemen)
3	Cases/models/research	Yemen experience documentation				Aida (consultant)
3	Cases/models/research	Booklet on urban experiences.				Andrew (WELL)
3	Cases/models/research	Improving links between communities and local governments	SKAT	Urban case studies	on internet available	David (BPD)
3	Cases/models/research	Analysis of case studies USA in order to conceptualise			Bob Roche (World Bank Washington)	Sanjay (drinking water clearinghouse)
3	Cases/models/research	Case material				Mariela (CINARA)
3	Cases/models/research	Learning and offering cases that have (peri)-urban or private sector component.		Case study exchange		David (BPD)
3	Cases/models/research	ToR's for institutions in CM. Learn from other countries and get guidelines.	GTZ Yemen, BPD		BPD website	Eberhardt (GTZ Yemen)
3	Cases/models/research	Improving links between communities and local governments			Talk with Pradeep	Andrew (WELL)
3	Cases/models/research	Linking CM with issues of sanitation and hygiene promotion and make it more visible in CM models?			IRC and WHO	Merri (EHP)
3	Cases/models/research	Investigate what sector in South Africa is doing on the ground - support needs etc. particularly in DWAF pilot in Alfred Nzo District (Eastern Cape) and in Zululand District (KZN)	DWAF, IRC		IRC, Abri	Abri
3	networking	Participate in follow up of today. With a clearer focus on some of the aspects.			IRC	Karl (SKAT)
3	networking	Question and answer service	people working at project level			Eberhardt (GTZ Yemen)
3	networking	Networking with other agencies, like WELL, IRC		reviewing, documentation, field missions with USAID		Merri (EHP)
3	networking	Resource center development and networking			funders??	Mariela (CINARA)
3	networking	Support projects				David (BPD)
3	projects	Improving links between communities and local governments		Demonstration project?		Mariela (CINARA)
3	projects	Exposure visits in USA in order to develop a model			Bob Roche (World Bank Washington)	Sanjay (drinking water clearinghouse)
3	projects	Appropriate technology development		Latin America		Mariela (CINARA)
4	advocacy	Thematic workshops at district level	Plan, Helvetas			Ramesh (Helvetas), Sohrab(Plan)

4	advocacy	Thematic workshops at national level	Plan, Helvetas			Ramesh (Helvetas), Sohrab(Plan)
4	advocacy	International thematic workshops	WSSCC, WSP, IRC			Patrick (IRC)
4	advocacy	Presenting papers				
4	advocacy	Organizing a National day (or contribution to existing day)				
4	advocacy	Creation of Newsletter				
4	capacity building	HRD for everyone at every level				
4	capacity building	Clarify roles, responsibilities, capacity, needs → then provide materials				
4	capacity building	Regional Resource Centres				
4	capacity building	Plan working on needs identification				
4	Cases/models/research	Collect good +ve and –ve case studies	Plan, Helvetas, implementing agencies			Ramesh (Helvetas), Sohrab(Plan)
4	Cases/models/research	Create a case study database (like Toolbox GWP, but not so fancy)				Susanne (IRC)
4	Cases/models/research	Document case studies	IRC, Well			Patrick (IRC)
4	Cases/models/research	Adding value to evaluation				
4	Cases/models/research	Reviewing of each others materials				
4	networking	Within organization → to get one voice	Plan, Helvetas			Ramesh (Helvetas), Sohrab(Plan)
4	networking	Between organizations				
4	networking	Thematic working group				
4	networking	Effective organizational coordination → networks for networks to address to all levels				
4	networking	Networks of generic CM involved organisations at national level				Susanne (IRC)

Annex 11: Water supply in urban Egypt

Annelies Leemans - COWI Denmark

Executive Summary[10]

Egypt is a socialist and democratic country that is currently moving towards a more market-oriented system. The water supply and sanitation (WSS) sector has a high priority. In spite of the huge investments, full benefits have not been achieved in qualitative as well as quantitative terms. As highlighted in MOHUUC's[11] report[12] "*The water and wastewater services suffer from many problems, which have resulted in a low level of efficiency, thereby affecting the level of service provided to the citizens*".

Aswan Water and Sanitation Authority (AWSA) was established in 1995 by Presidential Decree 281. It gives AWSA the autonomy to be an independent organisation. However, centralised decision making on tariffs and staff regulations make the authority financially and thus otherwise dependent on the government.

The project objective is to strengthen the AWSA's institutional capacity to provide sustainable, cost-effective services by strengthening management and introducing a demand responsive approach as part of the strategy to become a customer oriented water authority with improved customer relations. The Danida sponsored implementation period of 2 years (2001-2002) is seen as a pilot phase for the upcoming Sector Programme for Water Supply and Sanitation in Egypt.

The project approach is to 1) improve customer relations through, among other activities, cooperation with NGO's[13], 2) introduce a demand responsive approach 3) introduce consumer payment towards technical rehabilitation, 4) be guided by AWSA policies, guidelines and procedures.

The main lessons learnt to date are that 1) NGOs are willing and capable of taking up WSS responsibilities, 2) Decentralisation of management and community participation within an existing water authority and hierarchical society is a long term step by step process that involves all levels from national to community level, 3) Introduction of a demand responsive approach and community management of water supplies in a semi-urban context is possible but it is a long-term process as it requires a change in government and water authority

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[10] This case study was not presented at the conference, but is included in the report as it provides an interesting story nonetheless.

[11] Ministry of Housing, Utilities and Urban Communities. Water and Sewerage is one of the departments in the Ministry.

[12] Rehabilitation, Operation and Management for the Nationwide Potable Water and Waste Water Sector", MUUCH, Draft report of June 1998.

[13] Community Development Agencies (CDA) registered, coordinated, supervised and financially supported by the Ministry of Social Affairs are the main form of NGO's in the country

policies, practices and legislation. 4) Consumers expect improved services for their payment towards capital technical investments. This requires that all factors affecting the sustainability of customer services: operation and maintenance, financial management, appropriate quality technology and overall management are addressed at the same time.

Demand responsive approach within an institution and a semi-urban environment
Background information
Egypt is a socialist and democratic country[14] which in recent years is moving to a more market-oriented system. Water supply and sanitation has high government priority. Total sector investment from 1977 to 1992 was about 10 billion Egyptian Pounds[15] of which 60%[16] was provided by bi- and multilateral funding agencies. The sector is a patchwork of institutions, technologies and levels of services. Despite national governmental policies of decentralisation and economic liberalisation, the sector is only now taking steps to decentralise management to the governorate level. The current restructuring process is aimed at addressing some of the key problems including: financial imbalances as a result of insufficient tariff and cost recovery[17]; inadequate managerial expertise; centralised planning and implementation; and the absence of a proper enabling environment to promote private sector participation.

Aswan Water and Sanitation Authority was established in 1995 by Presidential Decree 281. It gives AWSA the autonomy to be an independent cost-effective organisation. However, centralised decision making on tariffs and staff regulations (overstaffed and but lacking expertise, no new recruitment) make the authority financially and thus otherwise dependent on the government.

Egypt is one of Danida's programme countries. The water supply and sanitation sector has been supported since the mid-1980s.

Problem Statement
Strengthen the institutional capacity of AWSA to provide sustainable, cost-effective water supply and sanitation services by strengthening the management and introduction of a demand responsive approach as part of the strategy to become a customer oriented water authority with improved customer relations.

Approach
Improve customer relations through, among other activities, cooperation with NGOs
Introduce a demand responsive customer oriented approach
Introduce consumer payment towards technical rehabilitation. Customers expect improved services for their payment. This requires that all sustainability factors are addressed. These are: 1) Customer oriented services, 2) Efficient Operation and Maintenance, 3) Appropriate quality of technical installations, 4) Adequate financial resources and 5) a strong, efficient performance oriented management to manage the previous four factors.

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[14] According to the constitution of 1971

[15] Roughly US$200 million annually, or almost US$ 3 million for the 15 year period at the March 2001 exchange rate of US$ 1=LE 3.50. About 50% of these funds were spend on water supply, 30% for sewerage and 20% for municipal wastewater treatment. Geographically, 70% went to Cairo and Alexandria and 30% to the rest of the country where 60% of the population resides.

[16] Of which 80% or almost 50% of the total budget was provided by USAID

[17] Decisions are taken nationally. The current tariffs cover 1/5 of the costs as stated on page 12 of Danida's Sector Programme Support Document of May 2001.

Implementation is guided by practically implemental AWSA policies, guidelines and procedures. Where these do not exist the project experiences will provide an input into their development.

Table 1: Main implementation steps for a demand responsive approach

Step	Description
1	Introduced the concept of demand responsive approach including community contribution and working with NGO's to AWSA.
2	Supported AWSA to establish cooperation with Ministry of Social Affairs (MISA) at Edfu District and Governorate level on the use of NGOs.
3	Supported AWSA to conduct a baseline study in cooperation with NGO's and local leaders. The study collected general socio-economic data and specific information on the: a) Current water supply, sanitation and hygiene situation, b)Communities' suggestions and willingness to solve their WSS problems, c) Communities' willingness to contribute in cash and/or kind to the improvements of the water and sanitation facilities.
4	Support AWSA to provide feedback on the socio-economic survey results and discuss various technical options to improve the water supply facilities
5	Support AWSA to prioritise rehabilitation works according to AWSA policies and preferences of the communities as expressed in the Socio-Economic Survey and the use of the funding from the consumers, AWSA and the donor.
6	Memorandum of Understanding of AWSA with Ministry of Social Affairs on role of NGO's in water supply and sanitation on the role of: a) NGO's in collecting community contribution, b) CDA's in promotion of sanitation and hygiene. c) AWSA and MISA to support NGO's in this process, and d) the Mandate of AWSA to sign agreements with NGO's
7	Agreement of AWSA with the CDA's on the role of each partner in improvement of water supply. The agreement includes a community plan to collect contributions with special considerations for the poor.
8	Support AWSA to coordinate with CDA's and follow up of the agreement and establish an institutionalised communication link.

Lessons Learnt

- NGO's are -according to the survey- willing to take up water supply and sanitation responsibilities and -according to experience[18]- capable of doing so.
- Decentralisation of management and community participation within an existing water authority and strong hierarchical society is a long term process step by step process that involves all levels from national to community level.
- Introduction of a demand responsive approach and community management in a semi-urban context within an existing water supply situation and institution is possible but it is a long-term process as it requires a change in government and water authority policies and practices. In future a water authority could be responsible for the production of drinking water and distribution system up to the branch of the communities whilst the communities are responsible for the network system from the branch including the collection of funds and payment for the delivered water.
- Consumers expect improved services for their payment towards capital technical investments. This requires that all five sustainability factors be addressed at the same time.

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[18] Examples: Danida sponsored Edfu Primary Health Care Project, Care/Cafei Project.

Table 2: Key Data on Egypt

Area	1 million square kilometres
Land Use	95% non-arable, 3% cultivated, 1.6% covered by trees and shrubs, 0.4% public utilities
Water sources	97% from Nile, remainder groundwater and desalinated water
Estimated Population	60 million in 1996/97 - Aswan Governorate 0.97 million
Population growth	2% between 1990-97
Population density	1,400 to 1,500 per km² of inhabited land
Urban population rate	45% in 1995 and 62% expected in 2025
Major Religion	Muslim, Christians (mainly Coptic) less than 15%
Administrative structure	National - 26 Governorates (21 along Nile and 5 in desert area) - districts (markezes) - urban towns and local units
Per capita income	US$ 1,290 in 1998.
GNP growth rate	1990-96[19]: 3.8%; 1985-90 4.6%; 1980-85 7.4%.

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[19]   Source: Evaluating the Process of Development in Egypt, 1980-1997, International Journal for Middle Eastern Studies, No. 32, 2000.

Annex 12: Rural water supply in Benin

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Introduction[20]
Adequate drinking water supply for the world population is the basis for any effective sanitation, for economic growth and for development in general. It is one of the most important basic needs and contributes considerably to the quality of life. In spite of its extreme importance, a large part of the world population continues to have only limited or no access at all to safe drinking water.

Following the Mar del Plata conference in 1977, the United Nations therefore declared the period from 1980-1990 as the "International Drinking Water and Sanitation Decade". By 1990 every human being was to have access to drinking water of good quality and sufficient quantity.

Country and Sector Background
BENIN is a country on the West African Coast with a population of 6 million inhabitants. Its neighbouring countries are Togo, Burkina Faso, Niger and Nigeria. Benin is one of the poorest countries of the world. The rural population is estimated at around 3.7 million.

In Benin, the *Ministère des Mines, de l'Energie et de l'Hydraulique* is responsible for the water supply sector. This Ministry co-ordinates the activities of two branches: The *Direction de l'Hydraulique* that is responsible for rural water supply and the *Societé Béninoise d'Electricité et d'Eau* (SBEE) which is the state company for electricity and water supply in urban areas.

Up to the year 2000, 8630 water supply units had been registered compared to an estimated need of 14705 (based on an estimation of 250 users per unit). A pump or a well counts as one unit whereas a water distribution system accounts for 10 units. While equipment coverage was estimated to be as high as 58%, the actual water supply only came up to about 45%. This was due to high levels of equipment break down.

Problem Statement
By the end of the International Water and Sanitation Decade, a large number of new water supply systems had been constructed. However, it should be noted that sustainability was not guaranteed and most of the water supply stations were operated in an inefficient way.

The reasons for this situation were identified as follows:
- The participation of the population in the choice of equipment was low;
- Education about sanitation and a clean environment was neglected;
- The population was rarely involved in the maintenance and renewal of the water supply systems;

As a consequence there was a high level of break down and neglect of the systems.

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[20] This case study was not presented at the conference, but is included in the report as it provides an interesting story nonetheless.

National Strategy for Water Supply and Sanitation in Rural Areas
In view of the above stated insufficiencies and with a perspective to improve the national water supply and sanitation services, a new *National Strategy* was elaborated and adopted in March 1992. The demand for services as expressed by the communities lies at the base of this strategy. In fact, communities are involved at all stages of the process, which are: the choice of the water supply system, a financial participation for the construction work (generally 5% of the total cost) as well as the management of the system.

The following key principles are identified:
- The decentralised decision-making process, involving both women and men;
- A financial participation of the communities;
- The development of a limited number of appropriate water supply system options at a reasonable cost;
- The involvement of the private sector (contractors, engineering companies, local artisans)

The **PADEAR**-Programme *(Programme d'Assistance au Développement du secteur de l'Alimentation en Eau potable et assainissement en milieu Rural)* implements this strategy. Several donors such as the World Bank, Danida, GTZ/KfW/DED and the Belgian Government support the national *Direction de l'Hydraulique* and its *Services Regionaux de l'Hydraulique* (regional water offices).

Community Management
Even before starting the construction work, a local water committee is elected by the community. Normally the committee consists of five to seven members. The three key positions are the president, the secretary and the treasurer. Other positions are the maintenance worker and the hygiene promoter. It is up to a village to decide on a vice-president and/or other replacement positions. Women occupy at least two positions.

Those villages in charge of water distribution systems form a water consumer association that then takes decisions for the improvement of the water supply system and supervises the activities of the water committee. It also checks the accounts. As a rule, five people are elected for each water tap area and altogether they form the association.

It is within the responsibility of the water committee to select the caretaker (for water distribution systems) or water vendor (for pumps and wells) respectively. However, the caretaker also has to pass a test organised by the regional water office. Once chosen by the water committee, the caretaker is given training by the company that has built the water supply scheme.

Both the caretaker and the water committee participate at a management training course organised by the regional water office. In this training, the committee members and the caretaker learn about their roles and responsibilities. Once the water supply is in operation, the secretary has to write down the sold water quantities and the state of the treasury every day. As soon as the money in the till has reached a certain amount, the committee transfers the money to its two bank accounts (operation account and renewal account). The committee is also in charge of paying the salary of the caretaker and, for pumps or wells, the water vendors. In communities with a water distribution system, it is up to the caretaker to pay the water vendors at the tap point according to the water quantity sold by each vendor. However, the

management system varies from village to village because the villagers themselves determine the details of their management and election systems.

At the end of each operational year, a general assembly is organised by the committee. At this assembly the committee reports on the financial situation and problems faced throughout the year. This is when the population confirms the committee members and/or replaces them.

Role of the regional water office and the NGOs
The regional water offices are divided into three operating divisions: "community development" (with a sociologist as head of division), "monitoring and evaluation" and a "technical division". Additionally, they all have an administrative department (finances and secretary). It is up to the community development division to make the population aware of their situation and to inform them about the programme. The technical division supervises the construction work, which is carried out by private companies and controlled by engineering offices. It also advises water committees in case of technical questions or problems. The monitoring and evaluation division collects all data of the water distribution systems and of recently constructed wells and pumps, comparing the financial position with the calculated viability level. This makes it possible to know at all times whether a water supply is financially viable or not and whether an adjustment of the water price should be suggested to the consumers.

The regional water office is supported by an NGO that employs one development worker in each district. As these development workers live in the area, they have a close relationship with the villagers and can identify problems quickly.

Strengths and Weaknesses – Lessons Learnt
In general the community management system described works well for water distribution systems and recently constructed pumps and wells. The active participation of the villagers at all stages results in a strong perception of ownership. The water committee feels responsible for the management of the system and if not, the beneficiaries will complain, especially when there is a break down. However, all positions except for that of the caretaker and the water vendor are voluntary and it can therefore be difficult to motivate the members to do their job properly.

Due to active encouragement, women now constitute about 30% of the committee members with rising tendencies. However, a more detailed analysis shows that their "favourite" positions remain those of the treasurer and hygiene promoter. It would be interesting to know how far this experience contributes their capacity building as well as a higher involvement and respect of women in decision-making processes at village level.

The frequent visits by the NGO community workers guarantee that operation and management procedures function well. The NGO is paid by the project (which project? the programme? Donors?), hence in the long run there is a risk that the quality of community management may suffer. In certain villages, the community does not realise that they manage their water units for their own good and not for the sake of the community worker or the regional water office.

A problem sometimes noted is that water-vending works well for the first few months of operation but after some time the money is no longer put into the water till or transferred to

the bank accounts. The villagers do not see the necessity to have large sums on their renewal bank account because they are not really aware of the renewal costs. In order to add value to this money that is normally only needed after five to ten years, a system of offering short term credits to the villagers has recently been introduced as a test.

Challenges for the future
Today, villagers are owners of their water supply systems. However, the property will be handed over to the district level with the process of political decentralisation; elections are expected to take place by the end of 2002. The future district mayors will be responsible for managing and maintaining the supply of drinking water within their districts. The national water directory is thinking about possible ways to strengthen the role and responsibilities of the existing water committees and water user associations in order to allow them to continue with the management of their water systems on behalf of the mayor.

The future role of the regional water offices will be to advise the department mayor as well as the district mayors. On one hand, the national water direction and its regional offices will continue to be responsible for the general management of water as a basic resource. On the other hand, direct contacts with water committees and water user associations will decrease.

Another challenge for the future is the continuing process of privatisation. In villages where voluntary work does not function, operation and management may be handed over to private enterprises or NGOs against payment. Local artisans and enterprises still need to be strengthened so that they are able to fix problems immediately.

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