

Guidance Document Developed for Village Water Zambia

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The document that follows was developed through Agenda For Change's Technical Assistance Facility by Water For People, in partnership with Village Water and Village Water Zambia. It was developed to support Nalolo District, a district in the Western Province of Zambia, in its development of the district water, sanitation, and hygiene (WASH) plan. The document was developed along with associated worksheets and tools to guide the development of the district WASH plan. While ideally the consulting support to develop the district WASH plan would have been provided in person, the realities of COVID-19 meant that Water For People modified its training approach to support the development of the District WASH Plan remotely.

NALOLO DISTRICT WATER AND SANITATION PLAN: ANNOTATED TABLE OF CONTENTS AND GUIDE

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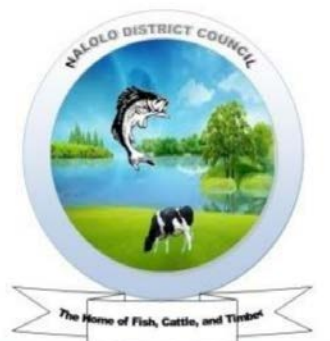


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I. Introduction

This document provides guidance on developing a District WASH Plan. A District WASH Plan is a written tool that develops a district-wide vision for the provision and maintenance of water services. It is technical, in that it is based on monitoring data, strategic, in that it develops a mid-term vision that district staff support, and consultative, in that different actors should be consulted in its development. The District WASH Plan matches ambition with the finances required to meet that vision and should feed into the national vision for water service provision.

To prepare for the development of the plan, a launch workshop was facilitated in November 2019 in Nalolo District. During this workshop, tools, surveys, and the general table of contents were validated by district staff and partners. Additionally, a draft vision was developed “To ensure sustainable water, sanitation, and hygiene services for all in the district.”

Monitoring data has been collected to develop a baseline understanding of water and sanitation services in the district. Monitoring data should be used to inform planning, ensuring the plan is needs-based. Information was also collected on average costs of water system parts, to inform the costing of the work required.

The District WASH Plan should be developed in a consultative process that involves district staff, relevant non-governmental organizations, and private sector partners, if relevant. The plan should be referenced annually in the development of annual plans and budgets for water by all stakeholders in the district.

II. Connecting to existing planning processes in Zambia

Zambia’s Vision 2030, developed in 2006, is Zambia’s first written long-term plan, and it presents a long-term vision for the country. Within this plan, the following vision is established for water service provision: “*To provide secure access to safe potable water sources and improved sanitation facilities to 100 percent of the population in both urban and rural areas*” (GRZ, 2006, 11). Vision 2030 is operationalized through a series of five-year development plans that are divided by both sector as well as district. Within the sector, the National Rural Water Supply and Sanitation Programme developed a vision, mission, and objectives for rural water provision from 2016 through 2030. It establishes the following:

- Vision: “All of Zambia’s rural population have sustainable and equitable access to safe water supply and proper sanitation to meet basic needs for improved health and alleviating poverty.”
- Mission: “Promoting sustainable provision of affordable and socially acceptable safe water supply and proper sanitation facilities to the rural population in Zambia.”
- Overall Objective: “Facilitation of sustainable and equitable access to safe water supply and proper sanitation to meet basic needs for improved health and poverty alleviation for all of Zambia’s rural population in line with the Vision 2030 and the Sustainable Development Goals for water supply and sanitation.” (NRWSSPII 2017, V).

When Vision 2030 goals were developed in Zambia, it was anticipated that detailed 5-year plans would be developed by each district that would guide WASH service implementation. This aligns with the country’s decentralization process in which districts are responsible for the

development of implementation plans (NRWSSPII 2017, 30). As such, the development of a district WASH plan is a fundamental component of both Vision 2030 and the National Rural Water Supply and Sanitation Programme plan.

III. Steps in developing the plan

1. PLAN LAUNCH- COMPLETE

The District WASH Plan was launched with relevant stakeholders in October 2019. The purpose of the launch workshop was to validate the need for a plan, outline steps for developing the plan, and develop the draft table of contents off of which the rest of this guide has been built. Additionally, tools for assessing service levels and for developing cost estimates were presented and validated.

The plan launch workshop was also meant to help the district start thinking about the vision of the district in relation to the attainment of Sustainable Development Goal 6, *“Ensure availability and sustainable management of water and sanitation for all”* so the district could decide and shape their destiny.

2. ASSESSMENT- COMPLETE

The district and its partners committed to assess the age and physical condition of infrastructure, service levels, and the status of service providers in the district. This data collection informs a baseline that will be used to characterize current water service provision and inform the District WASH Plan.

Baseline data collection was launched in February 2021 after being delayed due to COVID-19, and concluded in July 2021. The following data was collected:

- Household surveys (Water, sanitation, and hygiene)
- Asset inventory (Improved and unimproved water sources)
- Water point survey (Improved and unimproved water sources)
- Public institution survey (Water, sanitation, and hygiene)- still in progress due to weather delays
- Service provider survey

3. VISIONING AND STRATEGY DEVELOPMENT- IN PROCESS

This is the development of the vision for the district and the strategy for implementing the vision. The vision and strategy should be based on the characterization of the district developed during the assessment stage and should set a medium-term target for achieving universal WASH services in line with the national target and should outline the approach for achieving that vision. The approach should include the service levels expected, the technologies that will be used to achieve those service levels, the different management models, and a plan for strengthening service providers and services authorities.

Beyond outlining the need to achieve universal coverage initially, the vision and associated targets should outline how services will be maintained through system-strengthening.

4. ESTIMATING THE COSTS OF THE VISION- IN PROCESS

Once the vision and associated targets have been established, estimates for the cost to achieve the water vision should be developed. It is important to note that all costing tools are only for water services, so sanitation costing will not be included in the plan. These should be based on the following:

- Cost of maintaining existing services (CapManEx and OpEx)
- Cost of installing new infrastructure (CapEx)
- Direct support costs

5. IDENTIFYING SOURCES OF FUNDING- IN PROCESS

Once the plan and estimates have been developed, the sources of funding the plan's vision should be identified. There are three main sources for funding:

- Taxes- The amount generated by taxes that is then channeled into the WASH sector
- Tariffs- The amount charged for water services.
- Transfers- The amount allocated to the district for water services that comes from donors or other partners.

IV. Annotated Table of Contents for the District WASH Plan

The district WASH plan presents the vision, associated targets, and approximate costs for achieving the vision and targets for WASH services in the district. An outline of the table of contents is provided. The table of contents was jointly developed in October 2019 with Nalolo District staff and partners and this section builds off the outline developed at that time to provide additional details for the plan and to guide the development of the plan.

PRESENTATION OF THE DISTRICT

This section should highlight the key features of the district in terms of its demographics, socio-economic, and environmental aspects. The district is responsible for providing this information and completing this section and could likely pull this information from the Nalolo Integrated Development Plan and other district documents. Components for the plan include:

- Population data, with the suggestion to share this based on gender and age.
- Demographic information, with the proposed information:
 - Number of wards
 - Number of villages per ward
 - Number of households
 - Number of public institutions by type
 - Geographic location
- Government structure outline
- Economic activities
- Environmental characteristics

STATUS OF WASH SERVICES

This section should be built off baseline monitoring data. Charts and graphs from the monitoring data should be included here to provide an overview of WASH services in the district, and those charts should also be accompanied by narrative explanations. This section should be compiled by the monitoring work group.

Before information is documented in the plan, all data collected should be validated by district partners, including at least 2-3 district council members to ensure all partners are comfortable with the data. To complete this step, the following questions should guide discussion:

- Are all partners in agreement with the data presented? Do they feel it presents an accurate picture of water services in the district?
- Is there any data that partners do not agree with? If so, why?
- Is the evidence presented clear?

Once data has been validated by district partners, key information to be included is as follows:

- Narrative description of current water and sanitation technology in the district
- Number of functioning water points, categorized by type
 - Should be separated by ward
- Current service levels for water and sanitation separated by:
 - Overall district level of service
 - Household level of service
 - Public institution level of service
 - Level of service by ward
- In addition to providing monitoring data, a narrative description summarizing main conclusions from the data should be included. Suggested points to include in the narrative description are as follows:
 - Identification of trends
 - Do villages with or without service have any common characteristics?
 - Do public institutions with or without service have any common characteristics?
 - Are tariffs being charged?
 - Description of areas/wards without service
- Description of water sources in the district
- Findings from the asset analysis
 - Provide a link to the completed asset analysis data
 - In addition to linking to the data, a narrative description should be developed describing the following:
 - General status of infrastructure:
 - What is the average age of infrastructure?
 - What is the average risk assignment for infrastructure in the district?
 - Overview of main issues
- Findings from the service provider survey
 - Number of water points with water committees
 - Number of water committees that are recognized

- Number of water points with mechanics
- Number of water committees that have evaluated tariffs
- Number of water committees that have a tariff that will cover 100% of operation and maintenance costs
- Number of water committees with a tariff that will cover a portion of replacement costs
- Number of water committees remitting funds to a bank account for CapManEx
- Number of water committees with access to spare parts
- Number of water committees with a mechanic trained in O&M

VISION AND TARGETS

This section presents the vision, targets, and the approach that will be implemented to achieve the vision. The vision is based on the understanding of current situation in the district and should be developed by representatives of all relevant stakeholders, including but not limited to the Local Authority Planning Department, the District Planner, Village Water Zambia, the district WASH coordinator, the Ministry of Education, the Ministry of Health, Ministry of Water Development Sanitation and Environmental Protection, and the Ministry of Local Government. The general vision will be developed during the District WASH Plan launch workshop, and the details will be further developed following the workshop. The vision and targets should include the following:

- The vision and the time horizon. The vision, as discussed during the launch workshop in October 2019 was “*To develop an inclusive and sustainable water service in the district.*” During the District WASH Plan development workshop this was further discussed and refined to be “*To ensure sustainable water, sanitation, and hygiene services for all in the district.*” The following questions should be used to guide the development and refinement of the vision:
 - For establishing the vision
 - Based on the data presented on current WASH services, what is the district’s broad objective for providing WASH services by 2026? By 2030?
 - For the strategy/approach for achieving the vision
 - How will water resources be managed in the district?
 - What level of water and sanitation service are you hoping to provide by 2024? By 2030?
 - What needs to be done to achieve these service levels?
 - Based on historical water and sanitation service implementation in the district, is the district on track to achieve the targets?
 - If not, what needs to change to reach the targets?
 - What types of technology are required to reach water service levels?
 - What is the ideal management structure for water service?
 - Is this the current management structure?
 - If not, what is the plan for implementing this management structure? What training and capacity development is required? Are other systems/institutions necessary?

- Based on the evidence provided and knowledge of the district, what are the key areas of capacities/performance that need strengthening to be able to implement this vision at the district level?
- Based on the evidence provided and knowledge of the district, what are the key capacities/performance areas that need strengthening to be able to implement this vision at service provider level?
- What human resources/systems/institutions are necessary to strengthen these capacities?
- How can private operators be strengthened in the district to improve the provision of sanitation services?
- For setting priorities
 - Based on the data presented and the long-term vision, what areas should be prioritized to reach the vision (New services? Existing services? Service provider establishment? Service authority strengthening? Water resources management? Etc.)?
- For developing targets and milestones
 - How is the vision translated into numbers of households with access to water service by 2030 (separated by levels of service)? (Targets)
 - What targets do we have for strengthening capacities by 2030, both for service providers and service authorities? (Targets)
 - Between now and 2030, how quickly do you plan to implement the vision? (Milestones)
 - Between now and 2030, how quickly do you plan to strengthen capacities? (Milestones)

COSTING AND FINANCING THE VISION FOR WATER SERVICES

Once a vision is established, estimated costs for achieving the vision and a plan to finance the vision should be developed. This will likely take considerably more time than developing the vision and associated activities. During the workshop, tools will be introduced to complete this activity, with the expectation that the work will take several months to complete. This section of the plan should include the following points:

- A narrative overview of the current WASH financing mechanism and a description of what needs to change to reach the desired level of financing in the district. This should be compiled by the Local Authority's Finance department and Planning Department (District Accountant and District Planner) with support from other relevant stakeholders as necessary.

Costs for achieving the vision must be calculated by looking at the following costs:

- Providing new services (Capital Expenditure (CapEx)) and major repair (Capital Maintenance Expenditures (CapManEx))
- Maintaining existing services (Operations expenditures (OpEx))
- Support costs (Direct Support Costs, related to providing water services)

This work should be completed by an interdisciplinary group, including but not limited to the Local Authority Planning Department, the District Planner, Village Water Zambia, the district WASH

coordinator, the Ministry of Education, the Ministry of Health, Ministry of Water Development Sanitation and Environmental Protection, and the Ministry of Local Government.

To complete the costing work, the following tools should be used:

- For assessing the cost to provide new infrastructure (CapEx) and major repair (CapManEx) the group should copy data found in the completed asset analysis and should add it to the “All infrastructure- new and rehab” tab found in the infrastructure costing tool.
- For maintaining existing services, the group should understand operational costs. To do this, AtWhatCost should be completed for several sample communities, to develop an average cost for operating and maintaining handpumps and piped water supply systems, and this number should be applied to all current and future systems in the district.
 - The cost of maintaining a handpump or piped system can be found in the Cost Projections tab and in the Graphics tab of AtWhatCost. After the AtWhatCost has been developed for several communities with piped water systems, the average cost of maintaining a piped system should be developed. After the AtWhatCost has been developed for several handpumps, the average cost of maintaining a handpump should be developed.
 - To understand the cost for maintaining all handpumps in a district, reference the “Infrastructure costs” excel, and filter column “D” by all the different types of handpumps and sum the number of handpumps in the district. Multiply the number of handpumps in the district by the average cost of maintaining a handpump. This is your average annual cost of maintaining handpumps in your district.
 - To understand the cost for maintaining all piped systems in a district, reference the “Infrastructure costs” excel, and filter column “D” by all the different types of piped systems, and sum the number of piped systems in the district. Multiply the number of piped systems in the district by the average cost of maintaining a piped system. This is your average annual cost of maintaining piped systems in your district.
 - Add the average annual cost of maintaining handpumps to the average annual cost of maintaining piped systems. This number should then be added to cells B5-K5 (OpEx costs) to the consolidated costing tool.
- For Direct Support Costs, update the direct support costing tool with relevant activities for providing support, as identified in the activities and action plan for achieving your vision. After updating the activities, the activities should be costed to develop an estimate for the work to be completed. Following development of the costed activities, these numbers should be included in the consolidated costing tool.

Once these three categories of costs are estimated, they should be compiled in the consolidated costing tool.

IDENTIFYING SOURCES OF FUNDING FOR WATER SERVICES

Once the plan and estimates have been developed, the sources for funding the plan’s vision should be identified. There are three main sources of funding:

- Taxes- The amount generated by taxes that is then funneled into the WASH sector
- Tariffs- The amount charged for water services.

- Transfers- The amount allocated to the district for water services that comes from donors or other partners.

Identifying sources of funding is done in two stages:

- Identify all known financial resources (tariffs, taxes, and transfers) that are currently available for water services.
- Make projections for tariffs, taxes, and transfer based on reasonable assumptions. Assumptions are as follows:
 - For tariffs, the amount generated will depend on the tariff rate, the number of users, and the tariff collection rate. This should be paired with the number of expected users each year, depending on planned infrastructure investments.
 - For transfers, the amount will vary based on existing and planned projects in the district from donors and/or other actors.
 - For taxes, the amount will depend on the district's ability to generate taxes. This should be estimated based on historical tax generation and should be applied annually.

These general estimates can be input in the consolidated costing tool.

The last tab of the tool "Gap Analysis" highlights the funding gaps between the costs of the plan and the funding available. Based on this gap analysis, the plan should be revised.

IMPLEMENTING THE DISTRICT WASH PLAN

This section outlines the schedule and activities required for implementing the plan. It should include the following:

- Short-term activities
 - Approximately when and how they will be implemented
- Medium-term activities
 - Approximately when and how they will be implemented
- Assignment of roles and responsibilities for the plan, and if necessary, identification of a task force.

MONITORING AND EVALUATING THE PLAN

This section outlines the plan for monitoring and evaluating the implementation and the success of the district WASH plan. It should include the following:

- Plan for monitoring implementation of the plan
- Annual monitoring data plan, including
 - Timeline
 - Indicators
 - And identification of point person for this process
- Plan for annual review of the district WASH plan, to reflect most recent investments and monitoring data
- Plan for sharing and discussing feedback on the process