AGENDA FOR CHANGE

FINAL REPORT

WASH System Research: Identify the strength and capacity gaps   across 8 building blocks of WASH system strengthening in 8 local governments of Nepal

March 24, 2023

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Abbreviations

AfC	:	Agenda for Change
CBO	:	Community Based Organization
CCI	:	Chamber of Commerce and Industries
CSO	:	Civil Society Organization
CSPTF	:	Citywide Sanitation Plan Task Force
FGD	:	Focused Group Discussion
FP	:	Focal Person
HCF	:	Health Care Facility
I/NGO	:	International / Non-Government Organization
KII	:	Key Informant Interview
LCCA	:	Life-Cycle Cost Aanalysis
LG	:	Local Government
LGOA	:	Local Government Operation Act
M	:	Municipality
MFI	:	Micro Finance Institution
MSCW	:	Multi Stakeholders Consultation Workshop
MWASHCC	:	Municipality WASH Coordination Committee
PPMO	:	Public Procurement Monitoring Office
RM	:	Rural Municipality
SDG	:	Sustainable Development Goal
SMM	:	Sector Minister's Meeting
SWA	:	Sanitation and Water for all
ToR	:	Terms of Reference
VMW	:	Village Maintenance Worker
WASH	**:**	Water, Sanitation and Hygiene
WASHCC	:	Water, Sanitation and Hygiene Coordination Committee
WUSC	:	Water Users' and Sanitation Committee

Acknowledgement

Agenda for Change is an alliance of organizations that share similar values and practices related to water, sanitation, and hygiene (WASH) systems. It was formed in May 2015 and its members have agreed to a common set of principles. Together, they strive to enhance WASH systems at the national and local levels, in order to achieve universal, continuous access as described in Sustainable Development Goal 6. Agenda for Change Country Collaboration is actively working in Nepal since 2020, with composed of five members, namely CARE Nepal, Helvetas Nepal, Splash, Water Aid Nepal and Welthungerhilfe. The WASH system research aims to identify the strength and capacity gaps on different WASH systems building blocks adopted by AfC and measures to address those gaps in Local Government (LG) level in Nepal.

It is important to acknowledge the crucial role that municipalities play in implementing the WASH at the local level. They are responsible for planning, financing, and managing WASH services, and are often the first point of contact for communities in need of these services. In addition, individuals and institutions also play a vital role in the assessment, planning, and implementation of the WASH System Study. These include mayor, deputy mayor, chief administrative officer, WASH team/focal person/contacts, civil society organizations, private sector entities, and international development organizations from the respective Local Governments. They contribute their expertise, resources, and time to make the Multi-Stakeholder Consultation Workshop (MSCW), Key Informant Interview (KII) and Focused Group Discussions (FGDs) successfully conducted. We sincerely appreciate the contributions of all involved stakeholders.

We would like to express our deep appreciation for the hard work and dedication of the consultant team from 500B Solutions Pvt. Ltd., namely Kabir Das Rajbhandari, Team Leader, Mr. Dinesh Bajracharya, Sr. Consultant, Dr. Mingma G. Sherpa, Sr. Researcher and Mr. Phurba S. Moktan, WASH Specialist, who have conducted research and analysis on the WASH system as part of the WASH Agenda for Change in Nepal. The team of consultants have played a vital role in assessing the current state of WASH building blocks, identifying gaps, challenges and opportunities, and providing recommendations for improvement.

Similarly, it would be incomplete without acknowledging the tireless effort and contribution from the WASH Agenda for Change (AfC) country collaboration team from Nepal. Their support throughout the whole process of generating the ToR, selecting the right team on board and rigorous feedbacks on the concept and pre-supposition.

Last but not the least, a foremost appreciation to the WASH Agenda for Change Global team for their trust in the proposal of the country team and supported financially for the assignment. Without their support, all the achievements could go on vain. We believe, the research will definitely be a stepping stone for the system thinking to the WASH sector and anticipate as the significant move towards achieving Sustainable Development Goal (SDG) 6.

Best,

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Mr. Suraj Shrestha
Country Collaboration Representative
WASH Agenda for Change Country Collaboration for Nepal

Ms. Muna Adhikari, Deputy Mayor from Godawari Municipality, Lalitpur is sharing her commitment on Multi-Stakholders Consultation Workshop. Photo by: Phurba Sange Moktan/500B solution

1. Background

Agenda for Change (AfC) is a collaboration of like-minded organizations ("Members") that have adopted a set of common principles and approaches. AfC works collectively to advocate for, and support national and local governments in, strengthening the water, sanitation, and hygiene (WASH) systems required to deliver universal, sustained access as outlined under Sustainable Development Goal (SDG) 6. The main activities include supporting, amplifying, and promoting WASH systems strengthening across the membership. The main mission of AfC is "*By 2030, AfC wants to ensure that strong water, sanitation, and hygiene (WASH) systems are in place everywhere, and that future populations have access to WASH services forever*".

There are 14 global members in AfC (https://washagendaforchange.org). In the case of Nepal there are five country collaboration members (i.e. CARE, Helvatas, Splash/Smart Paani, Water Aid and Welthungerhilfe) who are actively working on WASH system strengthening at three tire of government. For this year in-country AfC collaboration is led by CARE Nepal.

There is a need for a systems-wide approach to tackle key building blocks of the WASH sector for delivering positive change towards water, sanitation and hygiene services. The AfC has envisioned eight building blocks: i) institutional arrangements & coordination ii) service delivery infrastructure iii) monitoring iv) planning v) finance vi) regulation & accountability vii) water resource management and viii) learning and adaptation. The local government's capacity and performance is crucial for delivering positive change in system-wide approach to achieve SDG 6.

The recent initiative of collecting concern stakeholders together for sharing of key sector learning from Sanitation and Water for All (SWA) 2022 Sector Ministers' Meeting (SMM) along with setting country priorities and commitments through a national workshop was commendable efforts, which event was hosted by AfC Country collaboration members. This will ultimately support keenly for improving the operational building blocks for WASH system strengthening to achieve the ultimate target of SDG 6.

2. Context

Achievement of SDG target of WASH by 2030 requires a fundamental change in a way the WASH sector is currently moving for providing access of sustainable WASH services to the citizens of Nepal thus addressing a fundamental human right as envisaged by the constitution of Nepal. This requires bringing all the sector agencies together from government institutions to development partners and sector actors working at 3 different tiers of the federated structure of the country with doubling their current efforts along with the fundamental changes in the approaches for achieving the commitments to SDG 6 by 2030. This is only possible when:

- government takes leadership and ensures political commitment.
- policy makers and service providers are held to account for responsive services that reach all communities.
- Government takes the lead in fostering the working relationships between local government, local communities and the local private sector and with the new alliances ahead.
- external supporting agencies works with all these players ensure success—and we commit to doing this in our work.

Therefore, delivering positive change in sector performance necessitates a system-wide approach that tackles all dimensions—policy, financing, institutions and other key building blocks—of the water, sanitation and hygiene (WASH) sector as whole.

3. Objectives of the Assessment

The overall objective of the assessment is to identify the strength and capacity gaps on different WASH systems building blocks adopted by AfC and measures to address those gaps in local government (LG)[1] level in Nepal.

The specific objectives are:

- To identify the current capacities/strength in selected local governments.
- To assess capacity gaps in different WASH system building blocks in selected local governments.
- To recommend specific solutions/ enablers to address the capacity gaps at different levels of   government and relevant stakeholders.
- To suggest the priority area to focus on and improve on the WASH System Strengthening and its different building blocks.

4. Scope of study

WASH system strengthening research primarily focuses on the capacity (strength and gaps) in different building blocks for WASH System Strengthening configured by the AfC. The different capacity issues could be around resources (financial, human resources, equipment & services); Plan and policies gaps: institutional (internal accountability, governance etc.) and others.

The AfC country collaboration for Nepal has jointly figured out through the collaborative effort on WASH System analysis that the capacity issue has become prominent in local government levels to scale out effective WASH service delivery. Nevertheless, the specific gaps and the support needed for the improvement has not been specifically addressed. This assessment was conducted at eight different local governments from four different provinces to support advocacy to improve the gaps within the local governments. The research was conducted in the A4C country collaboration members' working district with one Palika with their presence and the other without them.

5. Methodology

The methodology of the assessment/study has been designed with an aim to have more data through qualitative means, by adopting AfC's framework for WASH System comprising eight Building Blocks. The

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[1] *The term local government (LG) is used for both municipalities and rural municipalities. Also, the common term "municipality" is used here to notify both municipality and rural municipality.*

representatives of AfC collaborative partners[2] supported the team of consultant[3] for conducting this study. The assessment study was structured in the following three phases:

a. **Inception / preparatory phase:** under this phase, the following major activities were conducted:
   i. *Desk review: To study and review the relevant policy/sector documents*
   ii. *Review of relevant docs of A4C: To assess the capacity mapping to help draft key indicators, questions and means of verification for particular building blocks*
   iii. *Mapping of the S/Hs: identified as primary, secondary and tertiary S/Hs based on their influence / significance in the sector*

During this phase, the AfC's analytical framework for Nepal was reviewed at first to get clarity on the 8 building blocks prior to drafting the assessment framework. Once the assessment framework was drafted, data collection tools (i.e., Focused Group Discussion (FGD) checklist, Key Informant Interview (KII) Questionnaires, frameworks of assessment, data collection templates/formats, Multi Stakeholders Consultation Workshop (MSCW) agenda etc.) were made ready for assessing the status of LGs.

b. **Field intervention/assessment phase:** Under this phase following actions were undertaken adopting the following four-pronged participatory approach:
   i. Key Informant Interview (KII)
   ii. Focused Group Discussion (FGD)
   iii. Assessment using a capacity assessment tool amidst Multi-Stakeholders' Consultation Workshop (MSCW)
   iv. Field observation to generate stories of change.

c. **Data analysis and reporting phase**

The list of key stakeholders consulted during KIIS and FGDs, in all 8 LGs though.

KII	Mayor, Deputy Mayor; Ward Chairs (representative); Municipal officials i.e. Chief Administrative Officer, Planning officer, Finance officer, Technical officer; Focal person from WASH Unit. Stakeholders' representative and private sector actors (e.g. CCIs, MFIs etc. as appropriate)
FGD	Water Users and Sanitation Committees (WUSCs) together with the field observations

The framework and tools were field tested in MSCW in Godavari Municipality. Finally, the framework and tools, after few adjustments from review and reflection in post MSCW in Godavari Municipality, were finalized and set for their use in the remaining 7 LGs.

Based on the secondary information and inception meeting with the Municipal official team, though informal prior MSCW, the quick stakeholder mapping was carried out to identify the key and impactful stakeholders in WASH for their participation in the MSCW. The aim of MSCW was to conduct participatory group exercise adopting a self-assessment framework for assessing their Municipality's capacity status across the 8 different building blocks of WASH sector so that they can understand the reality regarding their capacity to provide WASH services to the citizens meeting the SDG 6 commitments before external agency reflects the status.

The MSCW was conducted to ignite the assessment whereas qualitative assessment was focused through KIIs, FGDs and physical observations through the field visit of representative sample sites. FGDs were

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[2] WaterAid, CARE, HELVITAS, Splash and WHH

more focused with WUSCs and CBOs, whereas KIIs were concentrated to the municipal official team and its elected representatives. The common perception of capacity gaps on different building blocks within assessed Municipalities helped to explore "specific needs for improvement" with the intended in-depth study work.

After the consultation with the key actors within the municipality through KIIs, FGDs, physical observation, reviewing the municipal documents and reviewing related secondary information/literatures, the scores provided by the participants in the MSCW through self-assessment approach was reviewed and readjusted by the team giving consideration to the evidences, current practices and municipality's actual reality on the ground.

This assessment study unpacked the existing capacity gaps and helped to mainstream the dialogue to bring the course correction in WASH system strengthening. The analysis of this assessment helped to understand the capacity positioning of the 8 LGs (Palikas) in WASH system strengthening across the defined 8 building blocks. Nevertheless, the capacity aspects vary along with the different building blocks, but with linkages with one another.

6. Limitations

- Many discussions could not be hold with the elected representatives due to forthcoming federal election. Besides, all the representatives being newly elected, they are still not fully oriented about the systems, policies, and practices.
- Municipality official team, particularly senior officials are limited and hence have high work load as a result they could not afford to invest their time more with the team of consultant. However, short discussions held with them revealed adequate information.
- The data verification and validation had been a huge challenge as the municipality's data and information management system is not systematic and structured. So, finding information and data as required to quantitatively verify had been a huge challenge for the team. This is particularly with the case of Finance as the person responsible for this unit has been assigned with multiple responsibilities of taking care of other multiple offices not limiting to Municipality only.

Group discussion in Multi-Stakeholder Consultation Workshop for Godawari Municipality. Photo by: Phurba Sange Moktan/500B solution

- Time commitment of the stakeholders and municipality officials including elected representatives of the municipality is another challenge for the team and this made difficult to reach all the stakeholders for interactions, information and opinions, as planned in the inception phase.

7. Summary of the Assessed Municipalities

The assessment was conducted in the AfC country collaboration members' working districts with one Palika with it' presence and the other one without its' presence. Out of the 8 Local Governments, 6 were the Municipalities (Ms) and 2 were the Rural Municipalities (RMs). The assessment locations are mentioned in the table and located in the map below:

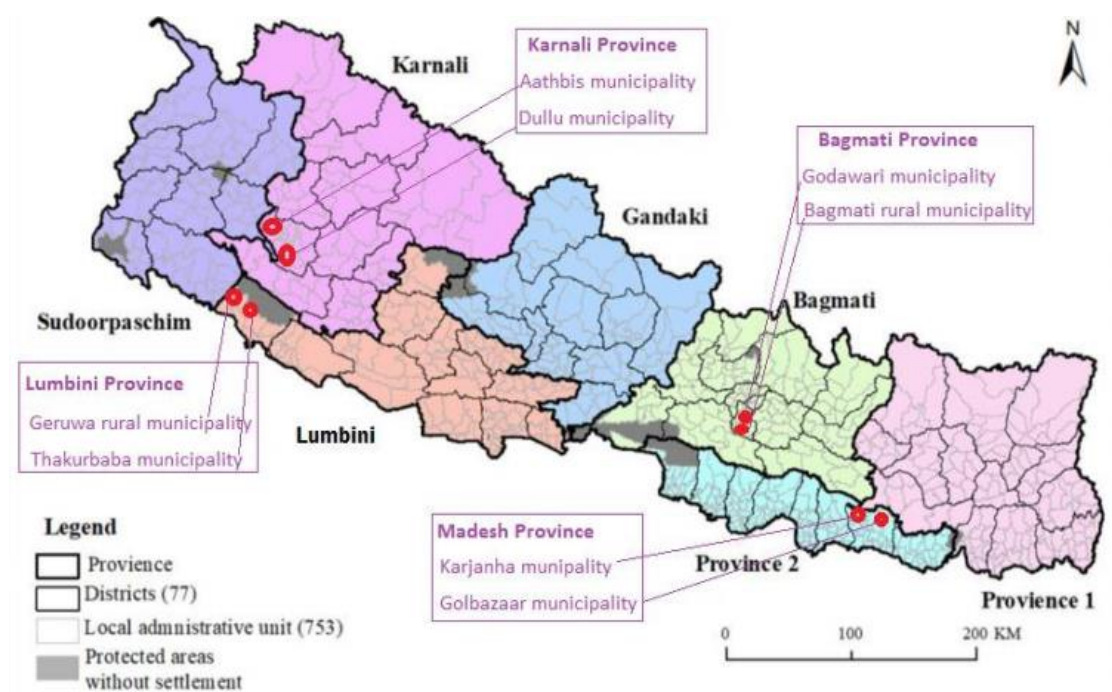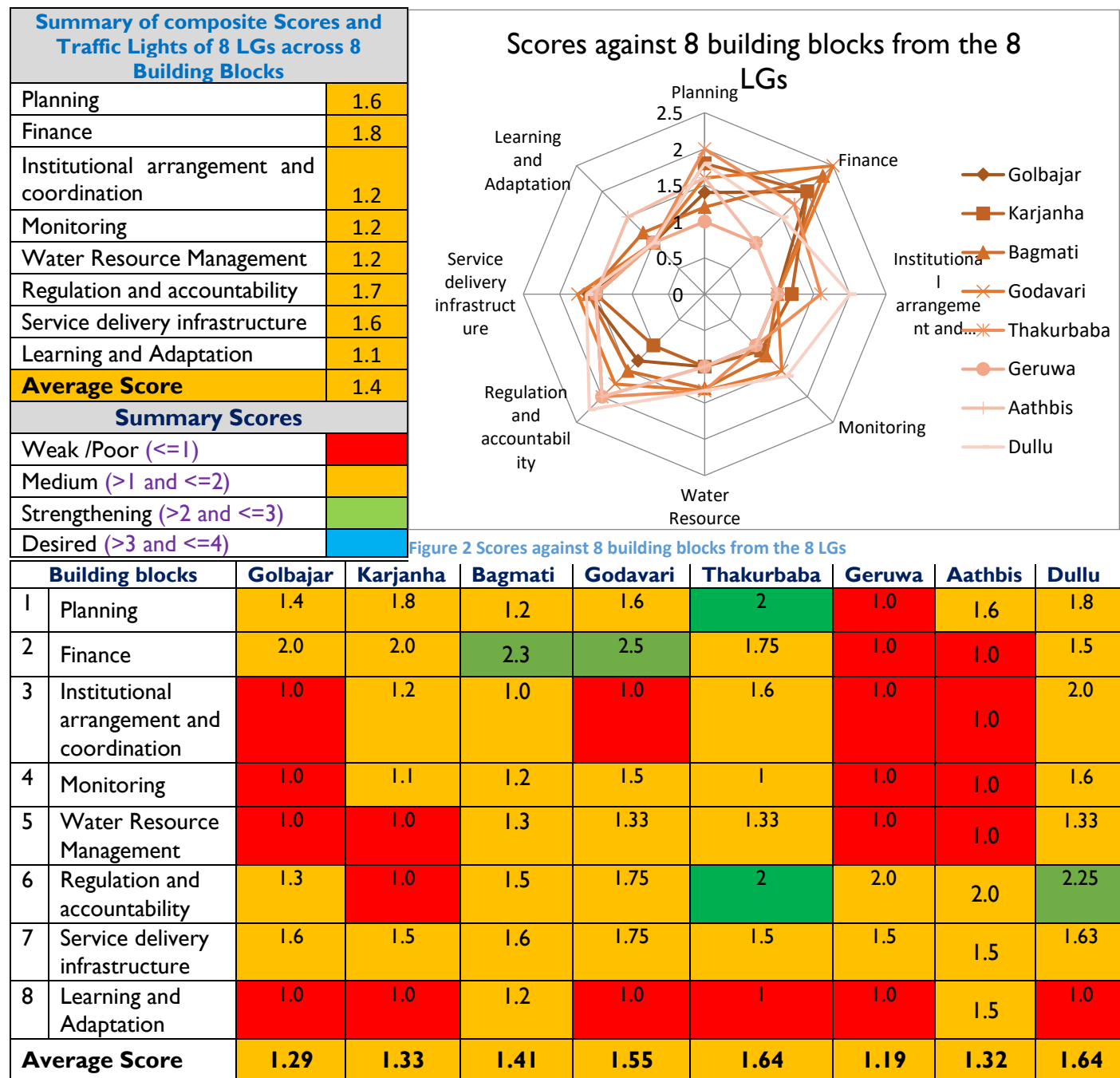| Local Government	District	Province	Local Government	District	Province
Godavari M	Lalitpur	Bagmati	Bagmati RM	Lalitpur	Bagmati
Karjanha M	Siraha	Madhesh	Golbazaar M	Siraha	Madhesh
Dullu M	Dailekh	Karnali	Aathbis M	Dailekh	Karnali
Thakurbaba M	Bardiya	Lumbini	Geruwa RM	Bardiya	Lumbini

Figure 1 Study areas for the WASH system research

8. WASH System Situation in the Assessed Municipalities

With an intense and active participation from all the participants in MSCW to assess and analyze the 8 building blocks of WASH System of 8 LGs (Municipalities) through active group works across each of the 8 building blocks; with the in-depth discussion with the key informants and interactive discussions in FGDs with the targeted groups; and with the physical observation from the site visits, the following interpretations are made.

Traffic Lights Reflecting a Summary Scoring of 8 Building Blocks across 8 LGs

Summary of composite Scores and Traffic Lights of 8 LGs across 8 Building Blocks	
Planning	1.6
Finance	1.8
Institutional arrangement and coordination	1.2
Monitoring	1.2
Water Resource Management	1.2
Regulation and accountability	1.7
Service delivery infrastructure	1.6
Learning and Adaptation	1.1
Average Score	**1.4**
Summary Scores	
Weak /Poor (<=1)	
Medium (>1 and <=2)	
Strengthening (>2 and <=3)	
Desired (>3 and <=4)	

Figure 2 Scores against 8 building blocks from the 8 LGs

	Building blocks	Golbajar	Karjanha	Bagmati	Godavari	Thakurbaba	Geruwa	Aathbis	Dullu
1	Planning	1.4	1.8	1.2	1.6	2	1.0	1.6	1.8
2	Finance	2.0	2.0	2.3	2.5	1.75	1.0	1.0	1.5
3	Institutional arrangement and coordination	1.0	1.2	1.0	1.0	1.6	1.0	1.0	2.0
4	Monitoring	1.0	1.1	1.2	1.5	1	1.0	1.0	1.6
5	Water Resource Management	1.0	1.0	1.3	1.33	1.33	1.0	1.0	1.33
6	Regulation and accountability	1.3	1.0	1.5	1.75	2	2.0	2.0	2.25
7	Service delivery infrastructure	1.6	1.5	1.6	1.75	1.5	1.5	1.5	1.63
8	Learning and Adaptation	1.0	1.0	1.2	1.0	1	1.0	1.5	1.0
	Average Score	**1.29**	**1.33**	**1.41**	**1.55**	**1.64**	**1.19**	**1.32**	**1.64**

8.1 Planning

1.1.1   Major Findings

- All of the local government during study found following ad-hoc though most of the 7 steps planning process (as mandated and guided by LGOA) that has followed to ensure demand-based planning. However, whatever the plans were formulated were neither referred to any plans formulated by Municipality or by any external sector stakeholders; nor they were backed by evidence or data-based planning.

- Ward level planning process are participated by the different community clusters and members of those communities/clusters including women, and other GESI target groups. Though there exists a multi-dimensional team from the target groups, their pro-activeness in raising voices for the need of services and influencing the decision-making process is still in question.

> *Planning*
> - *WASH Planning in most LGs follow the 7 steps*
> - *WASH Plans recently (2079/80) in place in Karjanha Municipality adopts NWASH system – only 1 out of 8 assessed Palikas*
> - *Data and evidence-based planning not yet been practiced*
> - *Absence of costed WASH plans in the assessed Palikas*
> - *Lack of systematic practice for reviewing of Plans formulated*
> - *Localization of SDG at Palika level is yet to be practiced*

- The plans formulated be at ward level or later at municipal level were neither reviewed from the perspectives of GESI nor they were found to align with the contribution towards achieving SDG-6 commitments of the country. That is why, there still exists number of communities that never got the WASH services/facilities for the first time whereas those who have access are getting such services time and again, thus reflecting the existence inequalities and inequity in service provision because of lack of evidence based and data driven planning with an intention of service level improvement.

- The priority of reaching the unreached and unserved could not be ensured during the assessment as the entire planning process is not data/evidence based.

- WASH plan aligning with NWASH applications is recently in place from this FY 2079/80 in case of Karjanha Municipality. Recently endorsed NWASH based WASH plan to form a basis for future WASH planning exercises within the Municipality. However, that has not found in remaining local government where we studied. **Further,** regarding existing plans related to WASH sector, Municipality does not have any kind of such plans be it sectoral plans, periodic plans or any plans that was prepared by the external agencies for the Municipality. None the plans were found available nor they could produce during the assessment except WASH plan (in Karjanha Municipality) recently endorsed by the Municipality.

- In particular to Geruwa Rural Municipality, it has lowest score on planning. MSCW indicated that in WASH sector the planning process could not follow the Local Governance Operation Act (LGOA) 2017. The Rural Municipality (RM) had a practice and experience to prepare WASH plan for ODF campaign but not by NWASH-MIS. Due to the lack of updated plan (NWASH-MIS) of the municipality, it is not possible that the projects are targeted to unreached and marginalized population as well as adequately funded and implemented and provisions are made for the sustainability of the water projects. Therefore, the whole planning process can be considered as a weak.

1.1.2   Gap /bottlenecks

- Institutionalization of WASH plan by rolling it out through improved capacity of the municipalities in institutionalizing NWASH system as currently the municipalities lack WASH unit and capable focal person for it have seen as clear gap. Also, Improving the current planning process to be driven by data

and evidenced based, and incorporating monitoring feedbacks and of course planning based on Life-Cycle Cost Analysis (LCCA) are not practiced in the municipalities.

- Plans have seen basically formulated by the consultants, rather than by in-house team of municipality to ensure they are community-based planning – This leads to challenges for resource allocation and its proper implementation due to ownership issue among municipality team.
- WASH is still not the top priority of the municipalities, due to which capacity and will power/commitments on WASH sector are still limited.

1.1.3   Opportunities

- For coming days, there are opportunities for improvement as they have approved NWASH based costed WASH Plan has become an important entry point from federal and provincial government to invest on WASH projects. The awareness among the local governments will support to scale the system thinking on WASH.
- Existence of WASH plan in case of Karjanha muncipality aligned with NWASH application system and can form a basis for planning for WASH with prioritization for resourcing with its reference if one wishes to.

8.2 Finance

1.1.4   Major findings

- Lack of resources to allocate comfortably for WASH sector under different units like social development

> *Financing*
> - *All the Palikas allocate resource for WASH (mostly from federal and provincial transfers)*
> - *On an average around 70-80% of the disbursed budget are found utilized*
> - *Some municipalities (e.g. Bagmati, Aathbis) also mobilized their internal resources in WASH irrespective of the amount, very low though.*
> - *Allocation of resources - without proper planning and budgeting; hence, Budget planning and allocation are not systematic*
> - *Palikas allocate very less budget for WASH sector compared to other sectors; hence, explains their priority for WASH.*

A KII/discussion with Finance Officer from Bagamti Rural Municipality, Siraha. Photo by: Phurba Sange Moktan

section of the Municipality, but not the dedicated WASH unit. However, budgets for the WASH sector have been increased in the current fiscal year compared to the past in most local governments.

- Budgets are not planned systematically in fact on ad-hoc basis i.e. budget is not allocated to meet the target and budget planning (Allocation-Disbursement-Utilization) is not proper and effective. In case of Bagmati Rural Municipality, the data indicated that 3% of total LG's budget is allocated for WASH, though current FY increased to 5%. This clearly reflects that WASH is not the top priority of the Municipality and also indicates the budget allocation and its management (Allocation-Disbursement-Utilization) is not proper and needs reformation in the LG. However, whatever plans were endorsed, almost all of them are found allocated when analyzed budget trend of last 3 years or so. . Though budget for WASH sector has been increased in the current fiscal year compared to the past, but still the LG struggles to fund all the plans that were endorsed by the council. However, whatever budget is planned is normally found utilized i.e. 65%-80% of disbursed budget and this is not bad when compared to the budget disbursement trend which is around 75% of the planned budget.
- Very few resources were found allocated from the municipalities' own internal resources, which most of the time shifts to other activities other than WASH. The reason behind for low allocation from Municipality's internal budget resource is that municipality itself does not have enough internal resources generated from Taxes, Tariffs and Transfers, etc.
  - As per "sutra" in FY 2078/79 (only available for this FY) in case of Aathbis municipality, 100% of allocated budget is disbursed and 88% of the disbursed budget is utilized. It is not necessarily mean the budget is adequately allocated, disbursed and utilized to meet the SDG goal due to lack of comprehensive costed WASH plan. It can be concluded that the budget is allocated on ad-hoc rather than on the priority basis to serve the un-reach and marginalized population due to lack of proper plan, which is applicable for all studied LGs.

1.1.5   Gap /bottlenecks

- Priority to reaching the unserved/unreached population with aiming the GESI target groups first with planning of the activities and budget allocation to roll out the system/process accordingly in practice.
- Timely release of the budget in one can expect the improved absorption capacity of budget within the municipality, which is in current scenario is less among the municipalities for external supports, including development partners. For example, Golbazaar municipality has only 40 % absorption capacity on external support.
- Disaggregation of the WASH budget (whatever allocated) across Water, Sanitation and Hygiene and hopefully this could be possible if the municipalities roll out their WASH plan (anticipatory as well) for their planning exercise making it inclusive. For this, appropriate WASH planning/financing guidelines are necessary to prepare and roll out in practice for informed decision making process as well.

1.1.6   Opportunities

- More than 60% of WASH budget has been disbursed.
- Increment in WASH budget in compared to last fiscal year in some LGs, with 20% of total budget has been allocated to WASH (in Karjanhan Municipality).
- Financial contribution from external support agencies could address the resource gap as identified by the LGs and can contribute to achieve the fiscal targets.

8.3 Institutional Arrangement and Coordination

1.1.7   Major findings

- WASH has been addressed through aligning with some units like the Social Development unit, Infrastructure unit, etc but no LG has provisioned for WASH unit so far, i.e no WASH unit is in place. However, the focal person has been nominated on ad-hoc basis without clear roles for WASH per se but more focused only on waste management. This clearly indicated that the Municipality does have set the clear roles and responsibilities of the WASH as set out in LGOA, 2019; thus, reflecting WASH sector in Municipality's low development priority.

- MWASHCC exists in many LGs but not active and in operation campaign and hence it is required to reform with clear roles and responsibilities to make them active for sector coordination both with the external stakeholders and for further improvement in intra-coordination within the Municipal officials.

- There exists WSUCs or formulates WSUCs whenever new intervention in WASH particularly in Water Sub sector is initiated from the Municipality as it has been mandated by the policy act. These WSUC(s) take the role of coordination on behalf of users and the project execution both with the municipality and with the relevant stakeholders. At the same time within the municipality also, due to absence of proper focal person or WASH unit within the municipality, the technical section coordinates with the WSUCs for technical endeavors only and monitoring committee led by Deputy Chair takes care of progress monitoring only and that too on ad-hoc basis instead of conducting in a very planned/structured way because Municipality lacks monitoring framework for WASH sector.

> **Institutional Arrangement and Coordination**
> - *WASH Focal persons (FPs) were nominated/assigned to ensure the fulfillment of WASH services as mandated by Constitution.*
> - *WSUCs have linkages with the WASH FPs and WASHCCs (wherever exists)*
> - *Existing WASH Coordination Committees exists. Proactiveness of the Palikas are not found in practice, but it is other way round; and hence found not active & functional.*
> - *Development actors approach the municipality for coordination*
> - *Decentralization/devolution not fully practiced; however, Decentralization / devolution can be sensed at the ward level from municipality as mandated by the current*

- Regarding coordination with other sector stakeholders within the municipality, the re-activeness of the LGs has not been found but the other way round i.e. development actors are proactive in terms of coordinating with the municipality and the reason for this is that the stakeholders have a mandatory provision to work closely with the municipality and hence they are found proactive. In case of Karjanha municipality, though this seems good for project execution period but has not been found sustained after the phase out of the project because though the project (post execution responsibility) was handed over to the municipality, due to their weak capacity, municipality has not been found making justice to the projects that were already in operation.

Mr. Bhola Prasad Pokharel, Mayor from Karjanha Municipality, Siraha is sharing his commitment on Multi-Stakeholders Consultation Workshop. Photo by: Phurba Sange Moktan/500B solution

- Regarding practices of decentralization/devolution, that can be sensed at the ward level from municipality as mandated by the constitution and governance system of the country and as guided by LGOA. However, beyond that broader framework, one cannot observe the appropriate level of decentralization/devolution practices be it in planning or in financing or even in monitoring as that needs to be approved from the concerned unit within the municipality, but wards can only recommend. And, municipalities have never practiced sector review process within the municipality in presence of external WASH stakeholders other than in-house municipal team.
- In case of Aathbis municipality, there are no policy exists to regulate the WASH service providers, water and sanitation users committee to improve service quality. However, at community level, on ad-hoc basis, public expenditure and quality of service delivery are made transparent by organizing public hearing. There is a willingness to improve accountability through transparency and interaction mechanism such as public hearing. In order to do it, it is felt that there is not adequate legal provision to execute such role and responsibilities.
- Nevertheless, in the case of Geruwa Municipality, there is a policy to regulate the WASH service providers, water and sanitation users committee to improve service quality. The RM took initiation to set up regulatory committee, assign staffs with the responsibility to enhance regulation and accountability such as (i) requirement for water and sanitation users committee to be registered (ii) public hearings to be organized, (iii)establishment of complain box in the RM office and (iv) public display of code of conduct. Therefore, there is an effort to improve regulation and accountability. The score is medium

1.1.8 Gap /bottlenecks

- Assigning an appropriate person with optimum qualification, experiences, understanding and skills of WASH as a focal person of Municipality for WASH has seemed done. However, they are occupied with the bunch of priories and activities leading to limited regulatory related initiatives and gaps on accountability prospects.
- Establishment of WASH unit and roll it out as one of the promising sector unit of the municipality so that it could be promoted to develop linkage with the province and federal governments and also with the WASH actors and stakeholders active in WASH sector development endeavors within the municipality, which is now a clear bottleneck in the LGs.
- Playing an effective coordination role both within the inter-sections within the municipality and with the external stakeholders of WASH sector need to be improved. Also, formulating the relevant policy, guidelines and procedures etc. as mandate by the LGOA (refer annex-7 for no of policies that needs to be formulated by the Municipality).

1.1.9 Opportunities

- Designated WASH Focal person in municipality is found in most of the LGs, with their proactive roles can be appreciated. Which further need to be focused with dedicated WASH unit and need to be regulated with the authentic policy related regulations, which they are focusing in future directions.
- The LGs have agreed to reform WASHCCs in their respective LGs has taken as the good opportunities, which they realized during the discussions.

8.4 Monitoring

1.1.10 Major Findings

- The monitoring aspect was found relatively less focused in most of the LGs. They don't have any proper guiding framework, neither they have any monitoring database like MIS for creating evidence based on

monitoring. This state can be explained as there is no dedicated unit for WASH and skillful WASH focal person for initiating to improve the status-in-co of the Municipality.

- Due to absence of proper focal person or WASH unit within the LGs, the technical section coordinates with the WSUCs for technical endeavors only and monitoring committee led by Deputy Chair takes care of progress monitoring only and that too on ad-hoc basis instead of conducting in a very planned/structured way. This is because Municipality lacks monitoring framework for WASH.

- Though the preparation of the framework is mandatory (as per LGOA) but not yet in place in the Municipality, instead they are following the generic guideline provided by Local Government Operational Act (LGOA), 2074. Therefore, the current monitoring process is observed on ad-hoc basis without clear guiding framework and understanding on the roles and responsibilities of the concerned authorities that were mandated either by the constitution or by LGOA. As per the LGOA, the monitoring discourse in the Municipality is led by Deputy Mayor and from this aspect, one can claim that Local Government (Municipality) leads the monitoring process but without clear guidance, framework and procedures and that too are limited for progress monitoring only.

> *Monitoring*
> - *Palikas follow LGOA's generic monitoring guideline/framework but none has its own*
> - *Palikas practice monitoring works (as mandated by LGOA framework) through Monitoring committee led by D-Mayor/Chair and is more limited to infrastructures only.*
> - *One (Karjanha Municipality) out of 8 Palikas only has NWASH system to form a basis for Monitoring (e.g. MIS for WASH) and for tracking, and planning*
> - *Existing Monitoring mechanism is not systematic and institutionalized.*
> - *Sporadic study/assessments in WASH from the external agencies (not from Palikas' own resources) – but not adopted & institutionalized by them even for their own business.*

- Ward level monitoring in a systematic way as expected by the acts and mandates has not been established and institutionalized within the Municipality in fact it is being practiced on ad-hoc basis only.

- Any practices related to Municipality's initiations on conducting assessment, study or survey for the review of any aspects of WASH as a part of monitoring or of learning and reflection are not in place under the lead of Municipality to generate evidences or basis of understanding the current status of monitoring for improved performance both on the delivery, service level or in the systems and procedures of the Municipality for improvement and strengthening for WASH sector. However, there exists sporadic study/assessments in WASH from the external agencies which cannot be considered here as Municipality's initiatives unless they are institutionalized and become municipality's operational and functional business. However, for improved performance, systems and procedures and for ensuring sustainability of any initiatives, the current practices of monitoring are not aimed at. Otherwise, there must have been improvement in the way the planning process has undertaken (e.g. lacks of incorporating the findings/recommendations of monitoring visits findings, neither exists the information to be management system referred to next level of intervention, nor municipality has any monitoring mechanism to ensure GESI embedment in the planning or in execution of any intervention of project(s) with guided by the evidences/data. Besides, the Municipality has not practiced of monitoring the progress or performance of the sector against the indicators be it national indicators or JMP indicators, neither they have practiced of organizing sector review and reflection amidst the municipal WASH sector stakeholders for further improvement, and alignment with the national commitments / targets / indicators nor to generate any learnings to adapt for future interventions.

- In case of Karjanha Municipalilty, recently the municipality endorsed WASH plan with the support from WHH. It can be hopeful that it will form a basis for establishing the system and procedures for evidenced based planning and information-based monitoring and decision-making process.
- Similarly, taking the case of Godawari municipality, the LG is following the generic guideline provided by Local Government Operational Act, 2017 (2074 BS), but doesn't pursue specific legislative guidance in place on WASH sector. Similarly, ward level monitoring in a systematic way as expected by the acts has not been established and institutionalized within the Municipality. Nevertheless, the LG has working to draft the related act and procedure soonest. And, they are keeping on-track for the projects including WASH that has been implemented under the municipality and claimed in-line as expected, although MIS based monitoring system on WASH has not been observed.

1.1.11 Gap /bottlenecks

- Structured monitoring mechanism is required to revise and establish/institutionalize to ensure the quality delivery of services and accordingly to inform the revision of plan for course correction ensuring the increased efficiency and effectiveness.
- Decisions should be based on information, data and evidence-based monitoring against the agreed WASH indicators (be it at municipal level or at federal level) for planning and initiating any interventions related to WASH.
- Clear result framework with indicators and guidance for monitoring should be in place that governs data base management system - something like MIS which hopefully will get institutionalized with the recent endorsement of WASH plan. But this also seems remote possibilities as municipality has not yet started thinking of having separate WASH unit with qualified focal person to account and manage it.
- Periodic assessment/study or survey needs to be carried out to generate evidences and current status to feed into the municipality WASH data base system which hopefully will be established with WASH plan in place through NWASH application. This will further help to organize regular review and reflection meetings with the Municipality's leadership amidst the WASH sector stakeholders (at least at the municipality level) to share the findings, be it the assessment/study conducted by municipality itself or by external agencies, for sector review and reflection to further improve and advance the current status-in-quo status of the municipalities with identification of necessary actions to be taken by the municipalities further.

1.1.12 Opportunities

- Need based monitoring system for WASH program are prevailed in the LGs.
- It can be improved existing system for frequent and effective monitoring on WASH system thinking prospective in coming future.
- Municipality led monitoring committee could be made accountable and responsive further for monitoring of WASH programs and plans with efficacy.

8.5 Water Resource Management

1.1.13 Major Findings

- LGs do not pursue clear policies, neither they have any guidelines or approach papers to adopt in relation to WRM within the LGs; and Municipalities also lack the knowledge and understanding on the importance of it. WRM in the municipalities have not yet been practiced on a structured way but on ad-hoc basis, i.e. efforts were made on a piece-meal basis rather than with unified and institutionalized approach. (e.g. source protection from plantation etc.)

The LG's team (both officials and elected representatives) is neither aware of its importance nor the team has fully understood about its need for thoughtful use of ecological and environmental resources together with their conservation/protection. Therefore, most of the LGs have never conducted any studies (such as Hydrogeological monitoring of Ground Water, Water Use Master Plan (WUMP), etc.) to inform for the formulation of policy related to WRM, but two municipalities, Dullu and Aathbis Municipality have gone through the process of WUMP in partnership with external agencies. One of the reasons is possibly due to lack of specialists in this municipality together with their ignorance on this issue.

Water Resource Management
- *3 (Dullu, Aathbis, Thakurbaba) out of 8 municipalities are initiating WRM plans (e.g. WUMPs - forms a basis for data on Water sources)*
- *One (Bagmati) out of 8 municipalities have WQ monitoring guideline*
- *Enforcement of WQ standards did not exist.*
- *Municipalities do not pursue clear policies and guidelines to adopt in relation to WRM.*
- *Municipalities have not conducted any studies (such as Hydrogeological monitoring of Ground Water, water resource assessment, water requirements, water behaviors etc.) to formulate policy guidelines related to WRM.*
- *No regulation found for water pollution control to avoid ill-management of environmental sanitation practices and manage post ODF situation through BCC & FSM initiatives.*

- The evidence of municipalities' enforcement in Water Quality standards could not received, nor they strictly regulate for the groundwater pollution control measures through contamination caused by ill-management or ill-practice of environmental sanitation practices including faecal sludge management practices after ODF declaration of the Municipality.

1.1.14   Gap /bottlenecks

- Enforcement of water quality standards and waste management practices to ensure safely managed water and sanitation services to meeting SDG 6 commitments.
- Develop policy and guideline to practice or adopt WRM principles by integrating water resources for multiple water benefits rather limiting the benefits to one specific sector such as water supply or irrigation.
- Regulation for environment protection, ecological conservation, and source augmentation through recharging for source sustainability with thoughtful use of water resources ensuring multi-sectoral benefits.
- Strict regulation to ensure pollution avoidance and minimizing contamination to any kind of water resources be it surface water or be it groundwater resource.
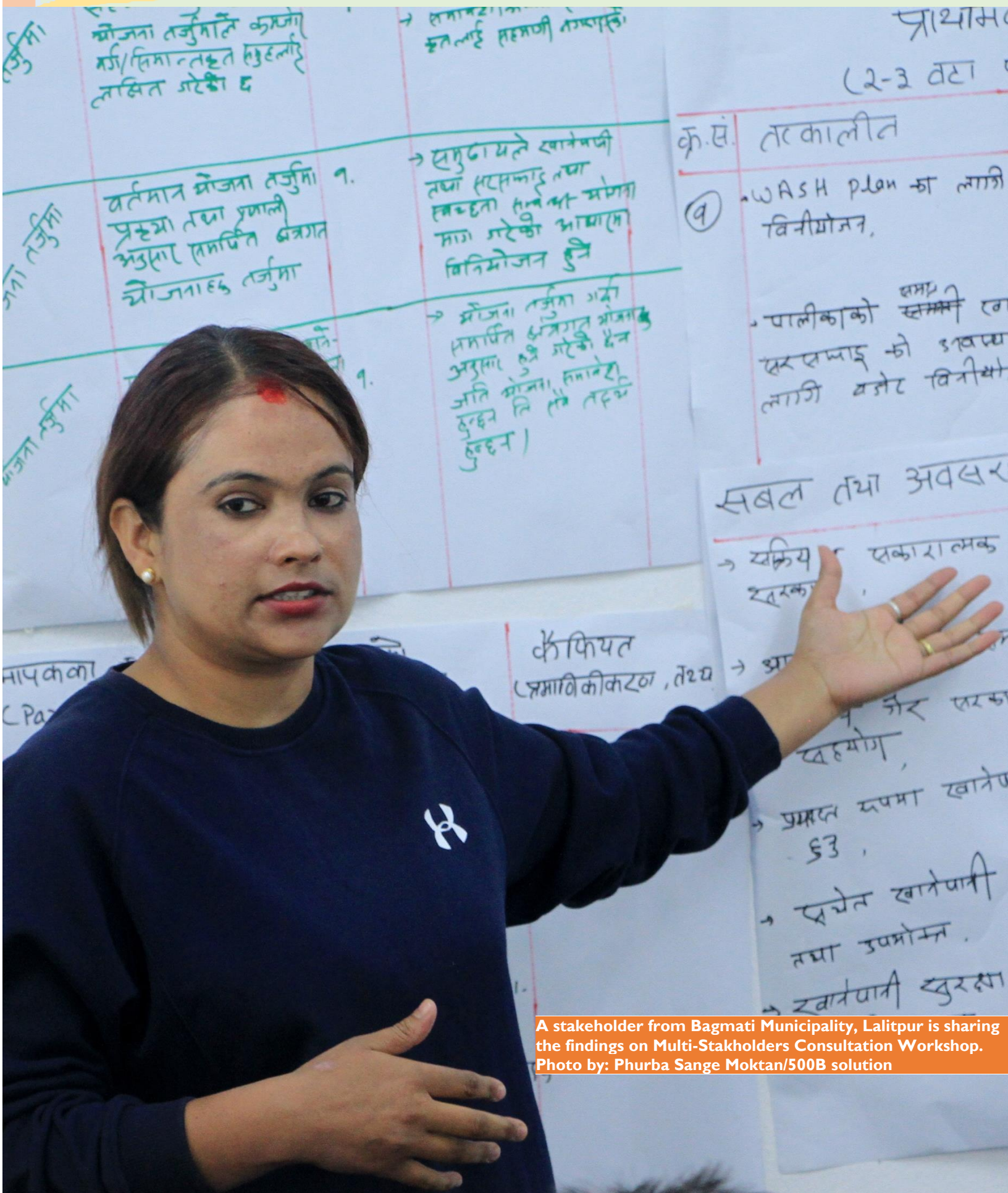
A stakeholder from Bagmati Municipality, Lalitpur is sharing the findings on Multi-Stakholders Consultation Workshop.
Photo by: Phurba Sange Moktan/500B solution

1.1.15 Opportunities

- There is the availability of limited human resources in LGs, however, the capacity development is also needed to increase the Human resources' capacity for system thinking on WASH sector liaison with other sectors.
- Presence of donor agencies, local agencies
- In case of Terai based LGs, there are possibility of utilization Groundwater sources, but with thoughtful exploitation with conservation, recharging and augmentation practices. Thinking enough with the multiple use system and wise enough on utilization in all LGs could sustain the water resource for generations.

8.6 Regulation and Accountability

1.1.16 Major Findings

- There has been found a trend of whatever policy(s)/Plan(s) were formulated were unanimously approved but its execution is question. Some policy and plans (e.g. WASH plan, WUMP, City Sanitation Plan (CSP), etc.) exists in some municipalities, though it has been authorized to formulate 22 different policy regulations compared to 15 to federal and provincial governments. Out of these 22 different policy regulations, 15, as mentioned in the Annex-7, are related to WASH sector in one way or other.

> **Regulations and Accountability**
> - *Palikas have not yet formulated their own regulations, guidelines and standards in WASH; but adopted Federal level provisions (such as acts, policies, standards, or in procedures and guidelines etc.).*
> - *Public auditing system particularly in construction works and understanding whether Palikas realized their commitments or not – that too on project-based approach*
> - *Enforcement is weak resulting low level of accountability and responsiveness - both from duty bearers, and service providers.*

- WASH has been considered by Constitution as fundamental human rights of the citizens of Nepal. Similarly, there exists some flexibility on local level act provisioning and accordingly LGs are entertaining them in formulating local acts. The federal level provisions - be it in acts, policies, standards, or in procedures and guidelines etc. none of them are localized with the formulation of provisions particularly in WASH. In fact, most of the Municipality team are unaware about these provisions except the legal and administrative provisions which they need to follow for their day-to-day operation and management.
- As the provisions at local Municipality level are currently weak and hence its enforcement are obviously not properly adopted thus resulting towards low level of accountability and responsiveness both from duty bearers, service providers and right holders as well. As mandated, they conduct public and social auditing prior to the closure of the projects but the follow ups and recommendations are not strictly adopted/followed as there does not exist a strong mechanism to regulate and make concerns accountable within the municipality.
- In case of Dullu municipality, the municipality have followed the strong accountability mechanism in order to regulate the proper utilization of fiscal budget. They pursue, water resource act, WUMP, in their municipality. They have regulatory cohesion with other neighbor municipalities on solid waste management system, showed the strong leadership from the municipal authority on regulation and accountability.

1.1.17   Gap /bottlenecks

- WASH benchmarking with indicators aiming to achieve the country's target in meeting SDG targets and 15th five-year plan targets are found limited.
- Formulation of local WASH act and formulation or revision or updating of other necessary policy regulations as mandated by LGOA for WASH sector endeavors couldn't become in-lined as guided.
- Establishing strong accountability mechanism, LGs should institutionalize them in practice for others to adopt and follow the suit.
- Need to localize the national commitments made on WASH in an international scenario at the local government level to contribute to Federal government in achieving it collectively, with contextual revision based on the federal governance mechanism are lagged.

1.1.18   Opportunities

- Initiation from individual and community level for social awareness are found constructive with community efforts to increase access to safe and clean environment to every individual in some LGs.
- Establishment opportunity is there with a dedicated WASH unit is in plan along with a dedicated focal person.
- It seems in LGs that gradually resources are in increasing trend for WASH considering past experiences of budget allocation, which need to be institutionalized with clear mandate and framework with federal and provincial governments. And, it can be hopeful with the mature and concurrent practice of federalization in the country.

8.7 Service Delivery Infrastructure

1.1.19   Major Findings

- Clear planning is not in place as the LGs neither dedicated plan for WASH. Neither they have revised/updated periodic plans, nor they have any sector plans to form a basis for planning for execution of the WASH infrastructures in the Municipality. The LGs provide only ad-hoc supports for WASH services/facilities which raises a question in meeting the localized SDG targets. However, despite of this situation of the municipality, the communities and right holders solely rely on the Municipality, being duty bearer, for any kind of physical infrastructure services and facilities, not limiting to WASH though.
- More support was found extended by the external agencies particularly development partners (I/NGOs) for WASH infrastructures to provide WASH services/facilities to the people of the Municipality. Still the question exists

Service Delivery Infrastructure
- *LGs follow the federally guided procurement system (PPMO)– ensured better quality and mechanism for contracting services.*
- *Most of the municipalities have infrastructures dedicated to provide Basic services whereas in Karjanha – one of the systems ensure for safely managed water services*
- *Infrastructures for delivering WASH facilities are either both WUSC managed or self-managed*
- *Municipalities ensure resource sharing for WASH infrastructures only than other WASH related activities (e.g. CB initiatives)*
- *Inclusiveness (equity, LNOB, disaster resilience) under service delivery not fully embedded from GESI lens.*
- *Asset management is not guided by data/evidences to ensure they are fully operational*
- *Monitoring of the infrastructures for quality assurance is procedural only. Municipalities focus only on the delivery of infrastructures. Post monitoring has yet to be institutionalized - reflects municipalities low importance on sustainability measures*
- *Developing a process and mechanism by municipalities for making O&M services effective and efficient is required by reviewing the current practices of management model.*

whether these facilities are inclusive or targeted to the unreached and unserved population of the society(s)/communities

- The LGs follow the federally guided procurement process with Public Procurement Monitoring Officer (PPMO) system with good quality and mechanism of strict procurement process for contracting for service delivery infrastructure services. Nevertheless, monitoring of service delivery infrastructures during execution is weak and follows only the procedural process. Accordingly, once the infrastructure is in place, the operation and maintenance of those infrastructure aiming for its sustained operation and functioning is weak and not institutionalized as there exists a dominant mindset of people to rely on external resources for post intervention activities instead of investing their internal resources. Same is the case with WSUCs or users as well in the communities. Even the WSUCs could not move beyond expanding the female members more than 33% to ensure more inclusive.

- Whatever the service delivery infrastructures were executed, they were not fully embedded with inclusive approach and further improvements are required to meet the needs of differently able people, make them disaster resilient and on top of that to align with general sustainability indicators with proper management and operation model.

- Regarding targeting of the infrastructure, the targeting is not guided by the data or evidence to actually target the needy, poor, vulnerable, marginalized and GESI target groups. Sometime targeting is guided by the influences of the people who have access or who are near and dear ones – this can be said as a consequence of lack of proper planning, monitoring and regulation & accountability mechanisms in the Municipality. Execution of infrastructure delivery plan is done either through contractors or through users' committees and the monitoring of these entities are not strong enough thus resulting to a weak/limited engagement of private sectors.

- The existing WSUC management model has not yet reviewed to come up with new management model with the engagement of private sector/entrepreneurs or to come up with appropriate regulations for providing regulatory support to these service providers, particularly WSUCs. More importantly, the Municipality is interested more in the water sub sector comparatively to focus on sanitation and hygiene. Still, it takes time to achieve universal access of people to safely managed WASH services. Firstly, the priority of Municipality I WASH is low comparatively and secondly, they have not even thought of investing on sanitation facilities, particularly at public spaces promoting CWIS and faecal sludge management services to the citizen looking from safely managed services and on.

- However, municipality has initiated to provide WASH services to the institutions like schools and health care facilities, with support from external agencies though following the procedures and standards promulgated by the federal departments/ministries.

- In case of Karjanha municipality, it has interestingly found that, although the municipality has least priority towards sanitation, and safely managed services, they prioritized solid waste management as a part of city sanitation improvement. This aspiration needs to be cashed by development actors integrating with WASH through initiation of environmental sanitation initiatives.

- The LGs seem to focus only on delivery of infrastructure services but seems that they are not equally concerns on the sustainability of the services by developing a process and mechanism for making O&M services effective and efficient by reviewing the current practices of management model (i.e. WSUC model) and providing opportunities for private sector or entrepreneurs. For this, Municipality should have a proper management model and related regulations in place for adapting. Allocation of resources for proper O&M of infrastructure services from the Municipality is either absent or on ad-hoc basis as they have not yet adopted LCCA approach for which their asset management system and services need to be efficient and proper which in fact lacks in the Municipality.

1.1.20   Gap /bottlenecks

- Attitude of high dependency on external (development actors) resources instead of prioritizing municipality's own resources – evidence of low priority of Municipality in WASH. Though good practices of procurement exist, equally municipality has not practiced for succinct monitoring process with adopting good regulatory practices for quality.
- WASH related guides are there in some LGs , but municipalities' capacity is weak in implementation and more importantly on monitoring for quality outputs. Capacity building and post implementation support mechanism from the municipality for service providers, more importantly for WSUCs, are still weak.
- Very less examples of collaborative engagement of municipality for delivering infrastructure facilities with external agencies more importantly with private sector meaning the municipality should formulate such policies that attract the investment of private sector (including small and medium enterprises) in WASH.

1.1.21   Opportunities

- Inclusion of all groups in coming days for systematic service delivery is good opportunity for future implication.
- Procurement unit in municipality is present to regular and support the smoothen service delivery.

500B solutions team is facilitating on Focused Group Discussion (FGD) with members from Nandababa WUSC, Karjanha Municipality, Siraha. Photo by: Phurba Sange Moktan/500B solution

- LGs prioritize more on infrastructure service delivery than in software activities.
- Mechanism for post-implementation support to support for Operation and maintenance mechanism, fund etc. in municipalities.

8.8 Learning and adaptation

1.1.22   Major Findings

- Weak capacity of municipality in leading in undertaking any kind of learning and reflection workshop or review and reflection workshop. Not yet fully institutionalized data base and evidence management system nor they have any kind of system set up for information management so that they can refer them for future planning and monitoring works for improved planning and performance with further value addition from GESI incorporation

- None of the recommendations, from monitoring, be it data or evidences or recommendations as informed by the monitoring visits, has been found incorporated tangibly in their planning process nor they adopted it during their review and reflection while revisiting their plans to make it more field context or practice context oriented.

- Currently no LGs have any MIS that integrate WASH indicators. Recently in Karjanha muncipality, WASH plan has been formulated adopting NWASH system that integrate WASH indicators in MIS. However, municipality has not yet adopted them in practice.

- Learning and sharing exercise was practiced only with the support from Federal agency both technically and financially; or with the support extended by external stakeholders particularly the development partners (I/NGOs). However, there is still a question on the replication of learning from shared experiences in Municipality's Day to Day works for improved and better performances. Unless otherwise supported by the external WASH stakeholders, sector review process at municipal level has never been practiced by the Municipality nor they practiced sector performance review of multi-sector stakeholders at municipal level. To initiate such initiatives, Municipality should have a dedicated sector unit (e.g. WASH unit) for coordinated planning, monitoring and accordingly undertake review, reflection and learning for future improvement in a coordinated and integrated approach/manner.

- Documenting the learning both from the practices and as informed by the monitoring for improving the delivery process through improved planning and monitoring exercise for accelerating the progress has not yet practiced by the Municipality and never strategized for it as of now as they hardly thought on this for improving the future ways of working better and better learning from the past mistakes/shortcomings. With the prevailing knowledge and acquired knowledge from the sector, learning and reflection needs to be promoted and accordingly planning exercise needs to be practiced ensuring

> *Learning and Adaptation*
> - *Municipalities practice regular review workshop – considered as learning basis within municipalites' team*
> - *Yet to fully institutionalize data base and evidence management system;*
> - *Fully operational MIS that integrate WASH indicators is yet to be practiced.*
> - *Practices of any system / process for sharing the learnings, and managing information/evidence are only on ad-hoc basis (only with the support from external S/Hs).*
> - *Municipalities have not yet developed any strategies for institutionalization*
>   - *of mechanisms at municipality level for Learning and sharing to a wider audience (e.g. JSR or something like that)*
>   - *of improving the ways of working for improved and informed planning, monitoring and execution to*

Municipality's leadership for betterment of WASH sector with data based or evidenced based information.

1.1.23   Gap /bottlenecks

- Limitation on capacity of municipalities to organize periodic review and reflection of WASH sector through meeting or workshop for further learning and improvements in the current practices.
- Implication of the data into action as municipality does not have a well adopted system of MIS or any kind of structured database/information management system. This is very important to ensure evidence/data based, informed and structured planning and monitoring to render it inclusive, equity and well targeted aligning with the WASH indicators and for allocation of adequate resources.
- Priority of the municipal level sector review to feed into the revised plan of the municipality
- Budget tracking to understand municipality's priority on WASH and also to track the progress made by the municipality in achieving its targets on WASH both physically and financially.

1.1.24   Opportunities

- Increment in interest of municipality on WASH related policies and interventions.
- Formation of WASH committees in the community level exist, which LGs should align and address the needs of communities, for which it can be predict good opportunity to focus on learning and adoption on WASH system strengthening.
- External support agencies on WASH are present in most of the LGs which could scale the sector learning and could be much supportive for institutional adaptation, such as some wards are being working on WASH modeling in Karjanhan municipality to achieve total sanitation, which could be a remarkable milestone for the municipality as well as stepping stone for other LGs to learn and adopt the best practice.

Discussion at Godawari Municipality, Lalitpur. Photo by:
Phurba Sange Moktan/500B solution

9. Recommendations indicating immediate, medium, and long-term priority/interventions.

- Establishment of WASH unit within Municipality's Social Development Section or, separate with Infrastructure unit or, any other pre-existing structures at the earliest to roll it out as one of the promising sector unit of the municipality for its institutionalization though improved capacity of Municipality to develop linkage with the province and federal governments and also with the WASH actors and stakeholders active in WASH sector development endeavors within the municipality.

- Initiate the MIS based costed WASH planning in Local Governments (LGs) who have yet to formulate and formalize the endorsed WASH plan in those LGs who have already formulated to form a basis for the LGs to adopt a structured sector plan for evidence-based planning with priority for resource allocation to achieve SDG targets by 2030 with a priority to reaching the unserved/unreached with aiming the GESI target groups with planning of the activities and budget in place accordingly.

- Disaggregation of the WASH budget (whatever allocated) across Water, Sanitation and Hygiene and hopefully this could be possible if Municipality rolls out WASH plan for their planning exercise making it inclusive. For this purpose, appropriate WASH planning/financing guidelines are necessary to prepare and roll out in practice for informed decision-making process as well.

- Policy and regulations, guidelines and frameworks formulation for monitoring, infrastructure planning and delivery, budget planning and prioritization etc. needs to follow the expectation of LGOA, 2017 for effective and efficient functioning and operation of the Municipality both administratively, technically and for ensuring proper regulation in place. Similarly, such policies, guideline and framework should also guide to practice or adopt WRM principles by integrating water resources for multiple water benefits rather limiting the benefits to one specific sector only.

- Clear result framework with indicators and guidance for monitoring should be in place that governs data base management system - something like MIS. But this also seems remote possibilities as LGs have not yet started thinking of having separate WASH unit with qualified focal person to account and manage it.

- Institutionalization of what Municipality does on the basis of the existing policy, guideline, framework (or new regulatory documents to be formulated to be in place in future as required) etc. and accordingly inform all the stakeholders to adhere with.

- WASH benchmarking with indicators aiming to achieve the country's target in meeting SDG targets and 15th five-year plan targets by establishing strong accountability mechanism, LGs should institutionalize them in practice for others to adopt and follow the suit.

- Improving the current planning process to be driven by data and evidenced based, and incorporating monitoring feedbacks and of course planning based on Life-Cycle Cost Analysis (LCCA)

- Establish and institutionalize MIS system for evidence-based planning to achieve LNOB while fulfilling he commitments of SDG by 2030 with informed revision/upgrading of plan as informed by the MIS, Evidence gathered from ongoing monitoring process and learning uptakes.
- Periodic assessment/study or survey needs to be carried out to generate evidence and current status to feed into the Municipality WASH data base system which hopefully will be established with WASH plan in place through NWASH application. This will further help to organize regular review and reflection meetings with the LG's leadership amidst the WASH sector stakeholders (at least at the municipality level) to share the findings, be it the assessment/study conducted by LGs themselves or by external agencies, for sector review and reflection to further improve and advance the current status-in-quo status of the LGs with identification of necessary actions to be taken by the municipality further.
- The concept of privatization or commercialization moving beyond a concept of voluntarism if one wishes to manage and operate to ensure evidence based informed for WASH services.
- Invest for generating more experts and specialist on WASH sector and its associated discipline not only to achieve SDG 6 targets but also to professionalize the Municipality

Focused Group Discussion (FGD) with health team from Aathbis Municipality, Dailekh. Photo by: Phurba Sange Moktan/500B solution

while delivering the services to the right holders meeting their expectations at optimum level.

10. Conclusion

The local government in the federal context has suffice with planning, management and regulation authorities along with the enough budgetary provision. Nevertheless, the key argument could be the focus of the presumed sufficient resources have not been benefited well in the WASH system strengthening, as the LGs have come under the medium capacity strength in WASH system across its 8 building blocks evidenced by the analysis carried out on the findings generated from the information from participatory MSCW, interactions and expert. Nevertheless, the KM's achievements in the WASH sector is definitely an appreciative efforts among all the assigned LGs from all 4 provinces. So, it is now concluded that still has to go a long way with accelerated efforts for improving its existing System Strengthening Process for structured and systemic progress in the WASH sector for achieving the global, regional and national commitments aligning with 15th Five-Year Plan, SDG commitments and national sector development plan (draft though). Hence, recommendations were made along with this line of thinking for Karjanha Municipality to adopt to achieve what has not yet been achieved in WASH goals and target, where WASH system strengthening, in short system thinking could have the greatest value for achieving the broader WASH SDG 6 goal and targets. And, collective efforts from all the prevailed stakeholders including GOs with LGs are the key, DPs, I/NGOS, CBOs, CAOs, private sectors, community actors, etc. will be counted the most and foremost.

Mr. Bir Bahadur Lopchan, Mayor from Bagmati Rural Municipality, Lalitpur is sharing his commitment on Multi-Stakeholders Consultation Workshop. Photo by: Phurba Sange Moktan/500B solution

List of Annexes

Annex – 1: Summary of the findings of the assessment of each of the LGs

WASH System Study of Karjanha Municipality:
Identify the strength and capacity gaps across 8 different building blocks for WASH system strengthening.

Introduction

Context: Achievement of SDG target of WASH by 2030 requires a fundamental change in a way the WASH sector is currently moving for providing access of sustainable WASH services to the citizens of Nepal. This requires bringing all the sector agencies together from government institutions to development partners and sector actors working at 3 different tiers of the federated structure of the country with doubling their current efforts along with the fundamental changes in the approaches for achieving the commitments to SDG 6 by 2030. This is only possible when:

- government (at 3 different tires) takes leadership and ensures political commitments with better working relationships among the actors (Development, Sector, Private etc.) and stakeholders.
- policy makers and service providers are accountable and responsive to reach all communities by working with the supporting agencies to ensure success in achieving SDG commitments by 2030

Overview of the Karjanha Municipality: Karjanha Municipality is located in Siraha district, with 11 wards in Madesh Province of Nepal. The total population of the Municipality is 36,054 (6,548 HHs) with a ratio of male to female population is 0.912. The average family size in this municipality was 5.09. *(Source: WASH plan, 2079).*

Figure 3 Map of Karjanha Municipality

Objectives of the assessment: The overall objective is to identify the strength and capacity gaps on different WASH systems building blocks adopted by AfC in the Local Government (LG) and measures to address those gaps in this Municipality. The specific objectives are to assess and identify current strengths and capacity gaps in different WASH system building blocks, recommend solutions/enablers to address the gaps at different levels, and suggest the priority areas to focus for improving WASH System across the 8 building blocks.

Methodology of the Assessment: Desk review and related literatures were explored including the review of Agenda for Change Country Collaboration (AfC)'s analytical framework for Nepal across 8 building blocks prior to design and develop the methical approach, assessment framework, and data collection tools (FGD checklist, KII Questionnaires, frameworks of assessment, data collection templates/formats, MSCW agenda etc.) for the study, which led to deploy the qualitative method for the study where specific methods such as Multi-Stakeholder Consultation Workshop (MSCW), KII, FGD, etc. were decided upon discussion with AfC Team. Prior field assessment, the inception meeting was held with A4C team in Nepal to have a common understanding on methodology for field assessment work. The
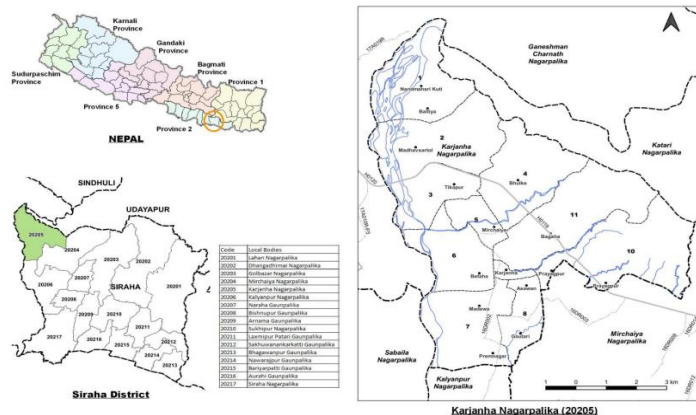
framework and tools were field tested in the Multi-Stakeholders' Consultation Workshop (MSCW) in Godavari Municipality as agreed in the inception meeting and were made few adjustments to finalize and adopt it in the remaining 7 Local Governments (LGs). Based on the secondary information and inception meeting with the Municipal official team, the quick stakeholder mapping was carried out to identify key WASH stakeholders for their participation in MSCW. Aim of MSCW is to conduct participatory group exercise adopting a self-assessment framework for assessing their Municipality's capacity status across the 8 different building blocks of WASH sector so that they can understand the reality regarding their capacity to provide WASH services to the citizens meeting the SDG 6 commitments before external agency reflects the status. After the consultation with the key actors within the municipality through KIIs, FGDs, physical observation, reviewing the municipal documents and reviewing related secondary information/literatures, the scores provided by the participants in the MSCW through self-assessment approach was reviewed and readjusted by the team giving consideration to the evidences, current practices and actual reality of the Municipality on the ground.

Limitations of the study: Many discussions could not be hold with the elected representatives due to forthcoming federal election. Besides, all the representatives being newly elected, they are still not fully oriented about the systems, policies, and practices. Similarly, Municipal official teams, particularly senior officials are limited and hence have high work load as a result they could not afford to invest more time with the team of consultant. However, short discussions held with them revealed adequate information. As the municipality's data and information management system is not systematic and structured, finding information and data as required to quantitatively verify had been a huge challenge. This is particularly with the case of Finance as person responsible for this unit has to look after multiple offices. Time commitment of the stakeholders and municipality officials including elected representatives of the municipality is another challenge to reach all the stakeholders, as planned in the inception phase.

Findings on WASH System Situation in Karjanha Municipality

| Karjanha Municipality (KM) (Summary Scores: Building Blocks)	
Planning	1.8
Finance	2.0
Institutional arrangement and coordination	1.2
Monitoring	1.1
Water Resource Management	1.0
Regulation and accountability	1.0
Service delivery infrastructure	1.5
Learning and Adaptation	1.0
Average Score	**1.33**
Summary Scores	
Weak /Poor (<=1)	
Medium (>1 and <=2)	
Strengthening (>2 and <=3)	
Desired (>3 and <=4)	
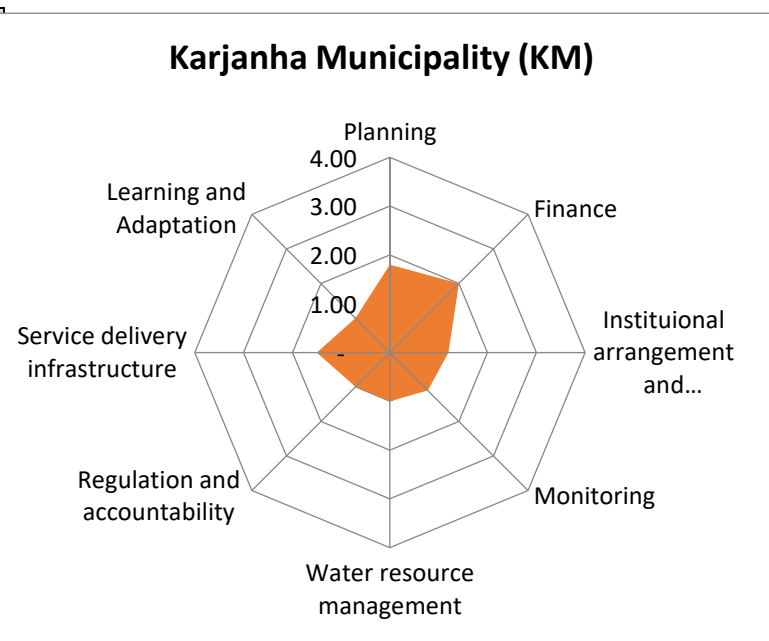
Figure 4 Spider web diagram for WASH System study of Karjanha Municipality

With an intense and active participation from all the participants in MSCW to assess and analyze the 8 building blocks of WASH System of KM through active group works across each of the 8 building blocks; with the in-depth discussion with the key informants and interactive discussions in FGDs with the targeted groups; and with the physical observation from the site visits, the following interpretations are made.

1. **Planning:** WASH plan aligning with NWASH applications is recently in place from this FY 2079/80, but Municipality thus planned to adopt it from next fiscal year's planning exercise as recently endorsed NWASH based WASH plan will form a basis for future WASH planning exercises within the Municipality. Ward level planning process are participated by the different community clusters and members of the communities/clusters including women, and other GESI target groups. However, whatever the plans were formulated neither referred to any plans formulated by Municipality or by any external sector stakeholders; nor they were based on the data-based evidences.

2. **Finance:** *WASH is* not the top priority of the Municipality which is evidenced by the sectoral budget allocation in the Municipality. However, whatever plans were endorsed by the Municipality Council, 60% of them are found allocated with budget looking at the trend of last 3 years or so. Lack of resources to allocate comfortably for WASH sector under social development section of the Municipality. However, budget for WASH sector has been increased in the current fiscal year compared to the past. Budget planning is found on an ad-hoc basis i.e. budget is not allocated to meet the target and budget planning (Allocation-Disbursement-Utilization) is not proper and effective. Very less resources were found allocated from the municipality's own internal resources which most of the time shifts to other activities other than WASH.

3. **Institutional Arrangement and Coordination:** Though there exists a clear organization structure within the Municipality and WASH sector comes under Social Development Section but within in there is not any existence of WASH Unit i.e. No WASH unit is in place. However, the focal person has been nominated on ad-hoc basis without clear roles for WASH per se but more focused only on waste management. This clearly indicated that the Municipality does have set the clear roles and responsibilities of the WASH as set out in LGOA, 2019; thus, reflecting WASH sector in Municipality's low development priority. MWASHCC exists but not active and in operation campaign and hence it is required to reform with clear roles and responsibilities to make them active for sector coordination both with the external stakeholders and for further improvement in intra-coordination within the Municipal officials.

4. **Monitoring:** Monitoring aspect was the least performing part of the assessment. It does not have any proper guiding framework, neither it has any monitoring database like MIS for creating evidence based on monitoring. This state can be explained as there is no dedicated unit for WASH and skillful WASH focal person for initiating to improve the status-in-co of the Municipality. This is valid for other sectors also and hence can be considered as an entire systemic issue in the Municipality than specific sectoral issue. Though the preparation of the framework is mandatory (as per LGOA) but not yet in place in the Municipality, instead they are following the generic guideline provided by Local Government Operational Act, 2017 (2074 BS). Ward level monitoring in a systematic way as expected by the acts and mandates has not been established and institutionalized within the Municipality in fact it is being practiced on ad-hoc basis only.

5. **Water Resource Management:** WRM in this municipality has not yet been practiced on a structured way but on ad-hoc basis, i.e. efforts were made on a piece-meal basis rather than with unified and institutionalized approach. (e.g. source protection from plantation etc.). The municipality team (both officials and elected representatives) is neither aware of its importance nor the team has fully understood about its need for thoughtful use of ecological and environmental resources together with their

conservation/protection. Regulation for environment protection, ecological conservation, and source augmentation through recharging for source sustainability with thoughtful use of water resources ensuring multi-sectoral benefits are still far to explored in the municipality.

6. Regulation and Accountability: WASH has been considered by Constitution as fundamental human rights of the citizens of Nepal. Whatever policy(s)/Plan(s) were formulated were unanimously approved but its execution is question. As the provisions at local Municipality level are currently weak and hence its enforcement are obviously not properly adopted thus resulting towards low level of accountability and responsiveness both from duty bearers, service providers and right holders as well. Some policy and plans (e.g. WASH plan) exists in this Municipality. Establishing strong accountability mechanism, the Municipality should institutionalize them in practice for others to adopt.

7. Service Delivery Infrastructure: Monitoring of service delivery infrastructures during execution is weak and follows only the procedural process. Quality control in procurement and contracting as well as their financial record keeping system is strong but good. However, once the infrastructure is in place, the operation and maintenance of those infrastructure aiming for its sustained operation and functioning is weak and not institutionalized as there exists a dominant mindset of people to rely on external resources for post intervention activities instead of investing their internal resources. The executed service delivery infrastructures were not fully embedded with inclusive approach and further improvements are required. Municipality seems to focus only on delivery of infrastructure services but seems that they are not equally concerns on the sustainability of the services by developing a process and mechanism for making O&M services effective and efficient.

8. Learning and Adaptation: It has not yet fully institutionalized into data base and evidence management system nor they have any kind of system set up for information management so that they can refer them for future planning and monitoring works for improved planning and performance with further value addition from GESI incorporation. Learning and sharing exercise was practiced only with the support from Federal agency both technically and financially; or with the support extended by external stakeholders particularly the development partners (I/NGOs). However, there is still a question on the replication of learning from shared experiences from Municipality's daily works for improved and better performances. With the prevailing and acquired knowledge from the sector, learning and reflection needs to be promoted and accordingly planning exercise needs to be practiced ensuring Municipality's leadership for betterment of WASH sector with data/information-based evidences.

Conclusion

In a nutshell, the local government has come under the medium capacity strength in WASH system across its 8 building blocks evidenced by the analysis carried out on the findings generated from the information from participatory MSCW, interactions and expert. Nevertheless, the KM's achievements in the WASH sector is definitely an appreciative efforts but still has to go a long way with accelerated efforts for improving its existing System Strengthening Process for structured and systemic progress in the WASH sector for achieving the global, regional and national commitments aligning with 15th Five-Year Plan, SDG commitments and national sector development plan (draft though). Hence, recommendations were made along with this line of thinking for Karjanha Municipality to adopt to achieve what has not yet been achieved in WASH.

Annex - 2: Assessment Framework for Multi-Stakeholder Consultation Workshops (MSCWs)

Buidling Blocks	Parameter statement	Key Indicator	MOVs	Source/reference
Planning	Systems and process on participatory and inclusive planning is in place to ensure safe drinking water and affordable sanitation for unserved, under-served and GESI target groups	1. No systems and process on participatory and inclusive planning is in place 2. Partially follow the LGOA planning process but no participation of the unserved, marginalized, vulnerable and GESI target groups 3. Follow the LGOA planning process but no participation of the unserved, marginalized, vulnerable and GESI target groups 4. Fully aligned with LGOA planning process with inclusive participation of the unserved and GESI target groups and address the voices of the unserved and GESI target groups for safe water and sanitation services	Approved plans of the LG Resource plans Evidences (e.g. minutes) of the planning process adhering to 7 steps planning process of LGOA in absence of dedicated sector plans in LG Data / evidences generated to form a basis for planning Demand request from the communities to wards and subsequently from Wards to the Municipality's executive body. Plans aligned with: a. Plans and targets of Nation formulated by NPC b. Plans and target of SDG c. Any dedicated secotr plans formulated at LG level either by LG itself (own initiation) or with the aid of external agency(s) etc.	Approved sector plan with the prioritization of actions with budget is in place (e.g. WASH plans/WUNPs etc.) Annual Municipal plans with sector plans approved by Municipal council Water Use Master Plan WASH Plan alinged with NWASH system Periodic Plan of the LG Investment plan of the LG (if exists) Approved annual work plan
	Dedicated sector plans following systems and process are in place	No sector plans are in place 1. Demand based adhoc plans following system and process in place 2. Data/evidence-based plans following LGOA planning process with the participation of the unserved, marginalized, vulnerable and GESI target groups are in place3. Data/evidence-based plans following LGOA planning process with the participation of the unserved, marginalized, vulnerable and GESI target groups and are priortized and aligned with the commitments to SDG targets4. At least 5 years data / evidence-based plans following LGOA planning process with the participation of the unserved, marginalized, vulnerable and GESI target groups and are aligned with the commitments to SDG targets with prioritization of plans and targets		
	LGs have dedicated plans for WASH services	1. Adhoc Plans of the Municipality in Place but not GESI responsive 2, Periodic plans that had a dedicated plans for WASH 3. WASH sector Plans in place that are inclusive and GESI responsive 4. The dedicated Plans of LGs for WASH executed with peiodic revision informed by monitoring and supervision Unit/committee of the LGs		

Buidling Blocks	Parameter statement	Key Indicator	MOVs	Source/reference
Finance	Adequate allocation of Budget for WASH sector	% of WASH budget out of total budget of LG1. Budget allocated aligned with the plan formulated adopting LGOA's 7 step planning process. 2.WASH Budget allocation is in iIncreasing trend (consider three consecutive years)3.Allocated budget in WASH is in increasing trend of total palika budget considerting other sector budgett4. Budget allocated alinging with the sectoral plans (e.g. WASH Plans) approved by LG	1. Minute of allocation of the sectoral budget ceiling 2. Priority setting decision minute 3. Annual plan and budget4. Policy / documents to address equity5. Reflected in Red BooK6. Any executive decisions for matching fund7. Financial Report by SuTRA (formula)8. Internal Audit Report9. Annual Report10. MoU/Agreement with project/program11. Proposal for provincial government/agencies or federal government/agencies12. MoU/Agreement with private sector/community	Annual plan and budget for WASH sector with progress status Operational NWASH system or any other such system related to MIS Scope of work (Job description/ToR) of this unit/FP Minute of the meetings with Sector Stakeholders and WASHCCs Minute of the meeting of WASH Unit with other units of LG with actions for mutual support
		% of disbursed out of total WASH budget allocation 1. Disbursed budget is 0 - 25% of the total WASH budget allocation 2. Disbursed budget is 26 - 50% of the total WASH budget allocation 3. Disbursed budget is 51 - 75% of the total WASH budget allocation 4. Disbursed budget is >75% of the total WASH budget allocation		
		% of utilization of total disbursed budget 1. Utilized budget is 0 - 25% of the total disbursed budget 2. Utilized budget is 25 - 50% of the total disbursed budget 3. Utilized budget is 51 - 75% of the total disbursed budget 4. Utilized budget is >75% of the total disbursed budget		
Institutional Arrangement and Coordination	Establishment of WASH Unit in the LG as mandated by the LGOA for providing sustainable WASH services	1. No WASH Unit, but focal person is assgined on adhoc basis2. No WASH Unit exists but dedicated FP with WASH background/knowledge 3. WASH Unit is established with dedicated WASH staff / focal person 4. Independent WASH unit with WASH staff (consider this unit has a sector plan in place)	1. Organogram of the LG as indicated in its RAJPATRA2. Municipal decisions or Minutes of the municipal council/meeting for having a dedicated unit / FP3. Priority setting decision minute 4. Annual plan and budget for WASH sector with progress status5. Operational NWASH system or any other such system related to MIS6. Scope of work (Job description/ToR) of this unit/FP7. Minute of the meetings with Sector Stakeholders and WASHCCs8. Minute of the meeting of WASH Unit with other units of LG with actions for mutual support	
	Establishment of WASH coordination committee (WASHCC) at LG level	1. WASHCC exists but not reformed/activited 2. Existing WASHCC is reformed/activated 3. WASHCC is active with periodic coordination meetings (as per SoW/ToR of MWASHCC) 4. WASHCC is active and formally institutionalized by LG (*should reflect in Rajpatra*)	Decision of the LG's executive committee / Municipal council Minutes of the coordination meetings ToR of the Committee	

Buidling Blocks	Parameter statement	Key Indicator	MOVs	Source/reference
	Coordination efficiency of WASH unit with WASHCC and other WASH stakeholders of LG including WSUCs	1. WASH unit follows functional intra-sector coordination within LG 2. Coordination with WASH stakeholders at LG level 3. Coordination with WASH stakeholders and Inter-sector coordination within the LG level 4. Coordination with WASH units at provincial and federal sector ministry	Tally the responses from WSUC with the responses from WASH Unit and WASHCC	
Monitoring	Monitoring framework exists and align with national framework; and are being used to measure and report on quality of services delivered	1. Monitoring is done based on adhoc monitoring framework	-Published document of GoN -Interviews - Evidence of budget allocations for services improvement	LG document review
		2. Proper monitoring framework is in place		
		3. Planning process improved (based on monitoring framework)		
		4. Improved monitoring framework is institutionalized		
	Local government's leadership and responsible units in performance monitoring	1. Existence of a monitoring body/department/unit at the local level.	- Interviews with key personals at MOWS and DWSSM-Meetings minutes	National Document review
		2. Proper Institutional set up with clarity in roles and responsibilities		
		3. Monitoring of WASH activities against the plan (internal) are done based on monitoring framework		
		4 Periodic multistakeholder review and monitoring institutionalized at Palika		
	Functional, accessible and regularly updated MIS.	1. Presence of a adhoc data recording in place	- Interviews with Key Personals - Review of the organizational profile	
		2. Data recording based on monitoring indicators.		
		3. Functional MIS system in place		
		4. Access of public to functional MIS system		
Water resources management	Water Resources Protection and Management is led by LG.	WRM is being practiced on an adhoc basis	Palika policies and guidelines	
		WRM is practiced with specifc plans (e.g. WUMP or IWRM plans)		
		WRM framework is in place		
		WRMP plans are guided by Palika's WRM framework		
Regulation and accountability	Existance of policy and regulatory framework for	1. No policy and regulation framework for ensuring sustainable and equitable access on WASH	LG level WASH policies and regulation frameworks	National policy and frameworks
		2. Some policy and regulation framework are there for ensuring sustainable and equitable access on WASH		

Buidling Blocks	Parameter statement	Key Indicator	MOVs	Source/reference
	ensuring sustainable and equitable access to WASH services	3. Policy and regulation framework are there for productive uses and address the equity issues on WASH		
		4. Policy and regulation framework are in place for ensuring sustainable access and address the equity issues to WASH service		
	Enforcement of accountability mechanism on WASH	1. No enforcement of accountability mechanism on WASH	LG level documents and direct observation	National level accontability mechanism
		2. Accountability on public spending		
		3. Accountability on public spending and service provision		
		4. Community voices are heard; needs are addressed and legal rights on WASH are ensured		
	Demonstrate local government leadership in regulation and accountability	1. No WASH structure (such as coordination committees or, task force or, WASH team or, WASH focal person, etc.) in place to improve WASH	LG level docments and direct contact	National policy and guidance
		2. WASH structures are not there, but assigned role and responsibilities		
		3. WASH structure are there with clear role and responsibilities		
		4. Clear WASH structure (s) with clear role and responsibilities which regularly perform and achieve LG level WASH targets		
Service Delivery Infrastructure	External service provision for WASH service delivery	1. Availability of framework for managing service providers for WASH service delivery		
		2. Clarity on role and responsibility of service providers		
		3. Procurement system in LG		
		4. Capacity of LG to manage service provider	Framework for managing service providers; LG's role and responsibilities,	
	Self-service provision for WASH service delivery	1. Adequate and composition of staff		
		2. Competent staffs		
		3. Clarity on role and responsibility of LG		
		4. Performance evaluation system		
	Asset management	1. Asset inventory		
		2. O&M system		
		3. O&M Fund		
		4. O&M unit		
Learning and adaptation	Learning and adaptation is in practice.	1. There exists learning and adaptation Framework in LG.	Palika policies and guidelines, documentary evidences on adaptation based on the learning	
		2. Learning practices are regularly exercised (multi-stakeholder reviews).		
		3. There is a process to adopt based on the learning.		
		4 There is a evidence of adaptation based on the learning.		

Annex – 3: Key personnel consulted during KIIs/FGDs

Godawari Municipality	Mayor - Mr. Gajendra Maharjan	Deputy Mayor - Ms. Meena Adhikari
	WASH team member- Ms. Anita	Water Aid team - Mr. Aananda
Babmati Rural Municipality	Mayor - Mr. Bir Bahadur Lopchan	Chief Administrative Officer - Mr. Ram Datta Bhatta
	Account officer-Danda Pani Poudyal	Technician - Er. Deepak Gurung
	Satkanya WUSC team, Bagamti-3	
Karjanha Municipality	Mayor - Mr. Bhola Prasad Pokharel	Deputy Mayor - Ms. Laxmi Kumari Shrestha
	CAO - Mr. Buddhiman Danuwar	Nanadababa WUSC, Karjanha Municipality
Golbazar Municipality	Mayor - Mr. Shyam Kumar Shrestha	CAO - Mr. Ananata Kumar Poudyal
	Social worker - Gobinda Karki	WASH Focal person - Mr. Sunil Kumar Yadav
	WUSC Chair - Mr. Sarbajit Kumar Singh	
Dullu Municipality	Mayor - Mr. Bharat Prasad Rijal	CAO - Mr. Gyan Mani Nepal
	WASH focal person - Er. Saugat Karki	Helvetas Rep - Ms. Sanju Shrestha
Aathbis Municipality	Mayor - Mr. Tarka Bahadur Baduwal	Deputy Mayor - Ms. Kalpana Thapa
	Heath In charge- Mr. Dev Raj Timalsena	Palika Health Team

Annex – 4: Questionnaires used for assessment (KIIs/FGDs)

Buidling Blocks	Assessment Questions
Planning	1. Is there any dedicated unit in this LG responsible for entire planning exercise of LG including WASH? a. If NO, how planning exercise is carried out by that sector of LG 2. Are there any dedicated plan(s) formulated specifically for WASH sector/unit of LG? a. If YES, Are these plans dedicated for WASH guided by any planning documents (such as: WASH plan, WUMP, sector plans, periodic plan of the LG, or adhoc plan formulated at the time of planning exercise following 7 steps planning process scrutinizing demands from users/communities/wards) that LG refer during its annual planning exercise for resource allocation? b. If NO, doesn't LG follow 7 step bottom up planning process to formulate a plan for WASH sector reflecting the needs/demands from the users/communities/wards? OR are the plans of LG for WASH sector formulated on an adhoc basis annually in LGs? 3. Are these plans GESI responsive targeting the poor, unreached, marginalized and vulnerable communities are in place (GESI-responsive planning for water services) 4. Are these plans aligned with: a. the commitments of LG to its Citizen b. or localized with the National government's commitments to regional and global agenda 5. Are there any instances that the LG's planning exercise for WASH is influenced by external agencies particularly during prioritization exercise? 6. If YES, why has this been happened because: a. LG needs leverage fund for the execution of plan b. LG does not have any specific plan for WASH c. LG is neither aware about the WASH needs of the citizen of LG nor aware of the country's commitments at regional and global agenda related to WASH, d. More importantly, LG is unaware about the SDG commitments to be achieved by 2030. 5. Are there any standard tools/templates to be used for planning exercise? 7. Does this planning exercise formulate plans for any FY backed by any data or evidences? if YES, please clarify how this is done to ensure it is evidence based. 8. Is there any MIS system that documents and records all the plans of LGs for future references, particularly for monitoring support? 9. If NO, how data and evidences and progress are managed to present WASH status and investment portfolio of the LG? 10. How often WASHCCs and WSUCs (and their networks) are consulted while preparing annual plans for the WASH sector of LG? 11. How do you perceive about its efficacy? Any suggestions, in your opinion, for further improvement and better planning results in the days to come?
Finance	1. What is the total budget of LG for last 3 Fys?2. What is the average annual budget allocation in WASH in the last 3 FYS?3. What is this allocation with respect to total budget allocation?4. Is the budget in an increasing trend or in decreasing?5. What are the sources of budget for WASH sector? a. Budget from federal /provincial government b. Resource leverage from external development agencies c. Community contributions d. private sector investment (e.g. mobilizing MFIs)6. Was the allocated budget sufficient for WASH sector? if No, what would be an optimal allocation?
	1. Has all the allocated budget disbursed for the purpose aligning with the municipal plan for WASH? a. If No, what was the average %age of the budget disbursement when considered the last three years status? *(Optimum budget disbursement is around 75%)* 2. How the priority was set for the disbursement of the budget when it is less than allocated? 3. In your opinion, what could be the reasons for not disbursing all the budget allocated for WASH sector? 4. Is this because of the unavailability of budget in LG due to delay in disbursement from federal /provincial government? 5. is this because LG has not been able to generate internal revenues as planned? OR Is this because LG has to allocate budget for matching fund to the deveopment projects of external agencies under WASH services? 7. In your opinion, what should be considered for improvement on budget disbursement in the coming FYs?

		1. Has all the disbursed budget utilized for the purpose ? a. If No, what was the average %age of the disbursed budget utilized considering the last three years status? *Optimum budget utilization is around 75%* 2. In your opinion, what could be the reasons for not utilizing the disbursed budget for WASH sector? 3. Is this because of the weak/poor capacity of LG, particularly the WASH unit of LG for not being able to utilize the disbursed budget? 4. Is this because the budget was not disbursed on time as requested? if Yes, how much delay was experienced / observed in disbursing the budget? 5. In your opinion, what should be considered for improvement on budget utilization in the coming FYs?
	Institutional Arrangement and Coordination	1. How does LG look after the WASH sector portfolio ?2. Which unit of the LG is responsible for this sector?3. Is there any dedicated unit for WASH? a. If yes, is it for longer term or for adhoc basis only? b. If No, is there any dedicated HR assigned for this?4. Do you have any idea on the mandates, responsibilities, and authorities of this unit/FP ?5. Do you think that any person seeking WASH info can have access to this unit/FP?6. Has MIS system (e.g. NWASH system) exist in this unit?7. How many projects does this unit execute in a year? *Better if disaggregated information (for Water, Sanitation and Hygiene) can be obtained*8. How often coordination meeting held by this unit with the local coordination committees (WASHCCs)?10. How does this WASH Unit/FP coordinate with other cross cutting units of LG (e.g. GESI, Finance, Planning and Capacity building unit/section of the LG)11. How does/did WASH Unit/FP coordinate with WSUCs? and address their concerns?12. How do you think about the capacity of the WASH unit/FP to asses, plan, budget, implement and monitor inclusive and sustainable WASH delivery in place at LG level?
		1. Is there any coordination committee existed in the LG? 2. Is this a dedicated unit that complements the WASH unit/FP? 3. Do you know about the mandates, responsibilities and authorities of this coordination committee? 4. Is this committee inclusive in terms of its members 5. What is the coordination mechanism this unit operates with? 6. How often coordination meetings are held by this committee? 7. How WASH unit/FP of LG works/coordinates with this committee (WASHCC) or vice versa? 8. How does/did WASHCC coordinate with WSUCs? and address their concerns?
		1. Has this WSUC been registered? 2. Is this WSUC annually renewed its registration? 3. How many members of this WSUC have? Are the members inclusive? 4. What is the size of the project they are managing and size of the service area with number of users? 5. What is the source of revenue of WSUC to operate and manage the water services? 6. Have you been able to provide water services to all the users within your service area and within its periphery? If No, who are actually left out from your services? Please specify from the existing status of those left out from economy, remoteness, ethnicity and vulnerability status? 7. How often the supports you received from LG? What kind of supports, pleases specify. 8. Do you expect to have any policy/regulations from LG so that uniform support (technical, financial and monitoring support) can be received by WSUC from LG? Why? 9. in your opinion, how you find the current level of support and coordination supports received from WASH Unit/FP? and from WASHCCs? 10. What do you think about the existing capacity of WASH unit/FP in terms of planning, executing and monitoring and utilization of budget? 10. in your opinion, what are the challenges and issues that you experienced WASH Unit/WASHCC is currently facing? 11. What would you suggest based on current and past experiences for improved performance and coordination of these units (i.e. a. WASH Unit/FP and b. WASHCC) with WSUCs and other sector stakeholders and development actors (kindly respond with your holistic view and broader perspectives for improved service level while achieving SDG commitments of LG) 12. What should be the role of wards on behalf of LG in providing supports to WSUC? 13. Can you give any instances that ward coordinated with LG on behalf of WSUC? 14. Are you receiving adequate support from Ward offices? if yes, What kind of supports that you received and what kind of supports you expect down the line?
	Monitoring	1. Is there monitoring framework on WASH with disaggregated set of Indicators? 2. If yes, is the framework being used to measure and report on the quality of services delivered? 3. Are the collected information used to improve the quality of services on a routine basis? 4.If yes, do you see a increasing trend in budget allocations for increasing quality of services?
		1. Is there dedicated body or unit responsible for WASH monitoring at the different tiers? 2. What is the institutional set up of the monitoring body? 3.1 Is there a dedicated team assigned? 3.2 If yes, how many staffs and their roles? 4.1 Does the unit operate as per the WASH Monitoring framework? 4.2 Number of meetings/monitoring exercises conducted during the last one year?

	1. Does the LG have a robust MIS system supporting the Monitoring Framework? 2. How is the MIS operationalized? 3.1 What is operational status of the MIS? 3.2 What are key strengths and gaps? Where is the key bottleneck to execute the MIS? 4. Is the MIS system embedded in the daily business operation of the provincial and local government?	
Water resources management	1. Is there a systematic practices of catchment protection	
	2. Is there a planning for multiple use of water	
	3. Are environmental sanitation and water quality standards/regulations enforced?	
	4. Is there effective arrangements for hydrological monitoring	
Regulation and accountability	1. Is the LG formulated any policy and/or regulatory framework for ensuring sustainable and equitable access on WASH?	
	2. Is the LG formulated any policy and/or regulatory framework for ensuring sustainable and equitable access on WASH?	
	3. Is the formulated policy and/or regulatory framework on WASH is productive and address equity issues on WASH?	
	Is the formulated policy and/or regulation framework on WASH ensure sustainable access and address the equity issues on WASH?	
	Is there any enforcement of accountability mechanism in place on WASH?	
	Is there any accountability mechanism on public spending?	
	Is there any accountability mechanism on public spending and service provision?	
	How the community voices are heard, needs are addressed and legal rights on WASH are ensured?	
	Is there availability of any WASH structure in place to improve WASH?	
	Is there anyone with assigned role and responsibilities on WASH, despite no WASH structure in place?	
	Is there availability of any WASH structure with clear role and responsibilities in place to improve WASH?	
	Is there availability of clear WASH structure with clear roles and responsibilities which regularly performs and achieve LG level WASH targets?	
Service Delivery Infrastructure	1. Is there any framework available for managing service providers for WASH service delivery? 2. Is the service providers clear on their roles and responsibilities? 3.1 Is there any dedicated procurement committee for service provision? 3.2 What is the decision-making process in procurement committee? 3.3 How the quality assurance is done? 3.4 Is the monitoring mechanism defined? 3.5 Is the contract document clearly defined? 4.1 Is there dedicated, trained and experienced staffs? 4.2. Is the job description of the staff clear enough to perform the tasks?	
	1. How is the no. of staffs and is it sufficient? 1.1 Are the staffs composed with gender balance? 2.1 Are are the hiring process for staffs? 2.2 Are the staffs trained in line with the need to perform the task? 2.3 How do the organization ensure right person for right task? 3. Is LG clear on the role and responsibility? 4. What is the frequency of performance evaluation?	
	1. Is there O&M plan in place? 1.1 Is there any provision of staffs for inventory management? 1.2 Do the post implementation support in place? 2.1 Is there any evidence of referesher training-WUSC, Care taker/VMW? 2.2 Do the task team provisioned and available? 3. Do the O & M Fund allocated? 4. Is there any provision of O & M unit?	
Learning and adaptation	1. Is there learning and exchange platforms at LG levels? and helping to strengthen the link between monitoring, learning and adaptation of approaches and policies.	

Annex – 5: Agenda of the Workshop (MSCW) and List of attendees of the MSCWs

Workshop agendas:

- To identify the current capacities/strength in selected local governments.
- To assess capacity gaps in different WASH system building blocks in selected local governments.
- To explore specific solutions/ enablers to address the capacity gaps at different levels of government and relevant stakeholders.
- To find out the priority area to focus and improve on the WASH System Strengthening and its different building blocks.

Workshop schedule

Time	Activity	Responsible	Remarks
	Registration with tea & cookies	LG	
30 min	Opening and objective sharing	500B	
1.5 hour	Discussion, interaction, group work (4 groups), and presentation on 4 building blocks	500B	
15 min	Tea break	LG	Energizing break
1.5 hour	Discussion, interaction, group work (4 groups), and presentation on 4 building blocks	500B	
30 min	Plenary session on building blocks (SWOT Analysis)	500B	
30 min	Key takeaways and conclusion	500B/LG	
	Khaja	500B/LG	

(Total of 4 to 5 hours will be dedicated for the workshop process and output generation process)

Key facilitators: Respective assignment holders from 500B Solutions.

Workshop modality

1. The facilitators make brief presentation on 8 building blocks and four soring criteria by using flip charts. It is then displayed on the walls so that the participants can refer throughout the process.
2. The participants then express their vote (1,2,3 and 4) in 8 building blocks. The participants will also be distributed meta cards to elaborate the reason for his/her vote.
3. The facilitator then counts all the votes and display in the spider web. If there are votes that deviates from the majority vote, the participants will be asked to provide reason for it.
4. The strengths, weaknesses, and priority areas will be decided from the vote counting as well as the opinions provided by participants in the meta card.

Required materials

1. Flip charts-20 pcs
2. Meta cards-4 set
3. Marker pens-12 pcs.
4. Banner (3'*5') - 1 pc
5. Projector (if available at respective LGs)
6. Stapler with pin
7. Scale (30 cm) -4 pcs

Proposed Participants

1. Mayor
2. Deputy Mayor
3. CAO
4. Municipality officials (including WASH, planning, Finance, etc)-2-3
5. Ward chairs-3
6. WUCS representatives-3
7. Private Sector Actors (including Chamber of Commerce and Industries (CCI)- 1 to 2 Water/Sanitation/Solid waste operators, MFIs, etc)-2 to 3
8. Community leaders (Badghar, influencing actors)-1 to 2
9. WASH Development actors (selected)-2 to 3

(Total anticipated participants are 17-20 in numbers+2-3 study team members)

Event organized by: Respective municipality
Facilitation by: 500B Solutions, Jawalakhel, Lalitpur
Hosted by: Agenda for Change

Annex-6: Policy and directives that need to be formulated by the local government as mandated by Local Government Operational Act (2074) and Regulations (2074)

1. WASH Management Directive
2. Dignified Menstruation Management Directive
3. RM Level Water Supply and Sanitation Scheme Repair Fund Operation Procedure
4. Water Resources Act
5. Water Resources Regulation
6. Total Sanitation Promotion Procedure
7. Water Resources Management Procedure
8. Water Supply and Sanitation Regulation
9. Water, Sanitation and Hygiene Management Procedure
10. Water, Sanitation and Hygiene Strategic Plan
11. User Committee (UC) Formation and Mobilization Procedure
12. Support Person and WASH Unit Operation Procedure
13. Cooperative Act
14. Cooperative Regulation
15. WASH Act at Municipal Level (with respect to federal WSH Act which was recently in place with its endorsement by the parliament)

AGENDA FOR CHANGE

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- Anisha Karn / Tyler Mc Mohan (Splash)