



**COMMUNITY WATER  
AND SANITATION AGENCY  
(CWSA)**

# PROJECT IMPLEMENTATION MANUAL

## THE HEAD OFFICE

COMMUNITY WATER AND SANITATION AGENCY  
PRIVATE MAIL BAG  
KOTOKA INTERNATIONAL AIRPORT - ACCRA

TEL: 0302 - 518401/518404/983104  
FAX : 0302 - 518402/518405 E-MAIL: [info@cwsagh.org](mailto:info@cwsagh.org) WEBSITE : [www.cwsagh.org](http://www.cwsagh.org)

**LOCATION:** off the Legon-Tetteh Quarshie Road  
About 1km drive along the Standards Board-Gulf House Road  
Adjacent to the Dept. of Rural Housing  
Okponglo.



**MINISTRY OF WATER RESOURCES,  
WORKS AND HOUSING**



**REPUBLIC OF GHANA**

**NATIONAL ADDRESS & LOCATION OF CWSA HEAD OFFICE**

THE CHIEF EXECUTIVE  
COMMUNITY WATER AND SANITATION AGENCY  
PRIVATE MAIL BAG  
KOTOKA INTERNATIONAL AIRPORT - ACCRA

TEL: 0302 - 518401/518404/983104  
FAX : 0302 – 518402/518405  
E-MAIL: info@cwsagh.org  
WEBSITE : www.cwsagh.org

**LOCATION:** off the Legon-Tetteh Quarshie Road  
About 1km drive along the Standards Board-Gulf House Road  
Adjacent to the Dept. of Rural Housing  
Okponglo.

**ADDRESSES & LOCATION OF CWSA REGIONAL OFFICES**

<p><b>ASHANTI REGION</b> THE REGIONAL DIRECTOR COMMUNITY WATER AND SANITATION AGENCY P.O. BOX KS 9167 KUMASI-A/R TEL:03220-27244/21424 FAX:03220-27245 E-MAIL: cwsa_ash@cwsagh.org/cwsaksi@4u.com.gh <u>LOCATION:</u> BEHIND GWCL REGIONAL OFFICE, KUMASI</p>	<p><b>BRONG AHAFO REGION</b> THE REGIONAL DIRECTOR COMMUNITY WATER AND SANITATION AGENCY P.O. BOX 1431 SUNYANI-BAR TEL: 03520 - 27342/26462 FAX: 03520 - 23539 E-MAIL: cwsabar@cwsagh.org <u>LOCATION:</u> BEHIND TYCO OIL STATION</p>
<p><b>UPPER EAST REGION</b> THE REGIONAL DIRECTOR COMMUNITY WATER AND SANITATION AGENCY P.O. BOX 413 BOLGATANGA-UER TEL: 03820 - 22261/23161/22146/22712 FAX: 03820 - 22261 E-MAIL: cwsabolga@cwsagh.org/ cwsaue@4u.com.gh <u>LOCATION:</u> WITHIN GWCL REGIONAL YARD, BOLGA</p>	<p><b>NORTHERN REGION</b> THE REGIONAL DIRECTOR COMMUNITY WATER AND SANITATION AGENCY P.O. BOX 810 TAMALE – N/R TEL: 03720 - 22767 / 22677 FAX: 03720 - 22677 E-MAIL: cwsanr@yahoo.com./cwsanr@cwsagh.org <u>LOCATION:</u> OFF BOLGA. ROAD IN MINISTRY OF AGRIC AREA, TAMALE</p>
<p><b>CENTRAL REGION</b> THE REGIONAL DIRECTOR COMMUNITY WATER AND SANITATION AGENCY P.O. BOX 1315 CAPE COAST- C/R TEL: 03321 - 32231/33895 FAX: 03321 - 33134 E-MAIL: crcwsa@yahoo.com / cwsacr@cwsagh.org <u>LOCATION:</u> NEAR NATIONAL COLLEGE, CAPE COAST</p>	<p><b>EASTERN REGION</b> THE REGIONAL DIRECTOR COMMUNITY WATER AND SANITATION AGENCY P.O. BOX KF 1617 KOFORIDUA TEL: 03420 - 22515/25281/23016 FAX: 03420 - 23107 E-MAIL: cwsaer@4u.com.gh / cwsaer@cwsagh.org <u>LOCATION:</u> ON THE KOFORIDUA-SUHUN ROAD</p>
<p><b>UPPER WEST REGION</b> THE REGIONAL DIRECTOR COMMUNITY WATER AND SANITATION AGENCY P.O. BOX 499 WA-UWR TEL: 03920 - 22153/22352 FAX: 03920 - 22351 E-MAIL: cwsauw@yahoo.com/ cwsauw@cwsagh.org <u>LOCATION:</u> WITHIN GWCL REGIONAL OFFICE YARD, WA</p>	<p><b>VOLTA REGION</b> THE REGIONAL DIRECTOR COMMUNITY WATER AND SANITATION AGENCY P.O. BOX 508 HO – V/R TEL: 03620 - 28186 / 28189/26075 FAX: 03620 – 28266/26075 E-MAIL: vrcwsa@yahoo.com/vrcwsa@4u.co m.gh/vrcwsa@cwsagh.org <u>LOCATION:</u> WITHIN GWCL REGIONAL OFFICE YARD, HO</p>
<p><b>GREATER ACCRA REGION</b> THE REGIONAL DIRECTOR COMMUNITY WATER AND SANITATION AGENCY P.O. BOX AT 1184 ACHIMOTA-ACCRA TEL: 0302 - 518718/518753 FAX: 0302 - 518719 E-MAIL: cwsagar@cwsagh.org <u>LOCATION:</u> ON THE SAME PREMISES WITH THE HEAD OFFICE</p>	<p><b>WESTERN REGION</b> THE REGIONAL DIRECTOR COMMUNITY WATER AND SANITATION AGENCY P.O. BOX 255 TAKORADI-WR TEL: 034-27359/27360 FAX: 031- 23932 E-MAIL: cwsawr@ighmail.com <u>LOCATION:</u> WITHIN GWCL REGIONAL OFFICE YARD, TAKORADI</p>

Actions to be taken by CWSA head office are as follows:

- Head office cross-checks requests forwarded from the regions.
- Finance department processes vouchers and effects transfers.
- Head office advises regions when transfers are effected.
- Head office reconciles Special Account with MMDA, CWSA regional office and head office records and prepares withdrawal application.
- Head office submits withdrawal application to the funding agency for replenishment with required supporting documents.

### **1.3 Financial Information Management and Reporting**

#### **1.3.1 Financial Management Reports**

The MMDA, CWSA head office and regional office shall produce quarterly Financial Management reports. These reports would be consolidated by the CWSA head office and forwarded to the funding agency and will form the basis for the Financial Management Information System. The contents of these reports shall be made up of:

1. Financial Statements, including:
  - i. Receipts and payments made for the quarter
  - ii. Planned expenditure (cash forecast)
  - iii. Bank reconciliation statements
  - iv. Uses by project activity
2. Procurement Management, including:
  - i. Details of contract expenditure (works and goods) and progress (status)
  - ii. Details of contract expenditure (consultants)
  - iii. Procurement process monitoring
3. Project Monitoring including:
  - i. Implementation status
  - ii. Analysis of the variance of project costs against planned expenditure
  - iii. Analysis of the variance of physical output

## **COMMUNITY WATER AND SANITATION AGENCY (CWSA)**

### **NATIONAL COMMUNITY WATER AND SANITATION PROGRAMME**

# **PROJECT IMPLEMENTATION MANUAL**

March 2014

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statement) will be provided to the CWSA regional office and RCC.

3. MMDA will submit a request to the regional office copied to RCC for the initial transfer of funds based on signed sub-project agreement between MMDA and CWSA regional office witnessed by RCC.

4. CWSA regional office verifies request from MMDA for conformity to funding requirements and recommend to Head Office for transfer of funds with a copy to RCC.

5. Subsequent transfers will be based on certified works, and services.

### **1.2.3 Conditions for Funds Transfer**

The conditions for the transfer of funds are as follows:

1. A Subproject Agreement has been signed between the CWSA regional office and the MMDA witnessed by RCC.
2. The MMDA contribution has been deposited (where required) in the account opened for the subproject.
3. Funds to be transferred are tied to the implementation of sub-projects in defined communities.

Actions to be taken by MMDAs are as follows:

- MMDA records all financial transactions in a separate cash book.
  - MMDA records details of each disbursement on SOE sheets e.g. details should be related to activities approved in the community sub-project budget (with the technical assistance of CWSA regional office).
- MMDA prepares requests with the following supporting documents:
  - Bank reconciliation statement.
  - Certified invoices on the progress of work done.
- MMDA submits request to CWSA regional office with a copy to RCC.

Actions to be taken by regional offices are as follows:

- CWSA regional office checks and forwards MMDA request to Head Office with a copy to RCC, for transfer of funds into MMDA project account. Request from regional office to head office would be made on orders raised by the Regional Accountant/Regional Director.
- CWSA regional office on receipt of advice from head office of transfer to MMDA would inform the MMDA and RCC accordingly.

### 1.1.3 Special Account Replenishment

To request for replenishment of the Special Account from funding agency, CWSA will take the following steps:

- Assemble the required documentation and attach to the withdrawal application (Reconciled bank statement, payment certificate etc.)
- Prepare statement of expenditure in appropriate categories
- Raise withdrawal application in three (3) copies.
- Obtain signatures from three (3) authorised signatories; one each from CWSA, MoFEP and MWRWH.
- Submit two (2) copies of the withdrawal application to the Funding Agency and keep a copy on file at CWSA head office.

On approval, the replenishment will be transferred into the special account and advice sent to CWSA.

### 1.1.4 Direct Payments

For special situations, CWSA may request funding agency to make direct payment to the MMDA, supplier, contractor or consultant. The steps outlined in the request for replenishment of the special account shall apply. In this case there shall be no bank statement attached to the request.

## 1.2 Funds Flow and Reporting Mechanism for CWSA (Head office and regional offices)

CWSA head office and regional offices will develop an annual work plan and budget for implementing specific projects, following the format provided by Head Office. The head office will consolidate the work plans and budgets and submit to the PSC for approval. The head office will accordingly allocate funds for the approved activities.

### 1.2.1 Regional Office Accounts and Disbursement

The regional office will manage two accounts for project implementation:

- CWSA/GOG account to cover operational costs and
- Project account for expenditure covered by the project.

The CWSA regional offices will submit monthly or quarterly statement of expenditures, in accordance with the agreed format, and be responsible for completing the requirements of the Financial Management Reports. CWSA head office will review the expenditures and reports, and replenish the regional office accounts as appropriate.

### 1.2.2 Funds Flow Mechanism at Assembly Level

The steps to be followed by MMDAs for funds management for sub-project implementation are as follows:

1. The MMDA will open a bank account (a project account with a commercial bank) and notify CWSA head office and regional office/RCC with the details.
2. MMDA contributions will be paid into a separate project account. Evidence of payment (bank

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## ACRONYMS AND ABBREVIATIONS

Assembly	-	Metropolitan Municipal and District Assembly
CBO	-	Community-Based Organisation
COM	-	Community Ownership and Management
CWSA	-	Community Water and Sanitation Agency
DA	-	District Assembly
DiMES	-	District Monitoring and Evaluation System
DP	-	Development Partner
DWD	-	District Works Department
DWSP	-	District Water and Sanitation Plan
DWST	-	District Water and Sanitation Team
EIA	-	Environmental Impact Assessment
GIFMIS-		Ghana Integrated Financial Management Information System
GoG	-	Government of Ghana
IEC	-	Information, Education and Communication materials
LGSS	-	Local Government Service Secretariat
M&E	-	Monitoring and Evaluation
MLGRD	-	Ministry of Local Government and Rural Development
MMDAs	-	Metropolitan Municipal and District Assemblies
MoF	-	Ministry of Finance
MWRWH	-	Ministry of Water Resources, Works and Housing
NDPC	-	National Development Planning Commission
NCWSP	-	National Community Water and Sanitation Programme
NGO	-	Non- Governmental Organisation
O&M	-	Operations and Maintenance
PO	-	Partner Organisation
PPP	-	Public-Private Partnership
PURC	-	Public Utilities Regulatory Commission
PTA	-	Parent Teacher Association
RCC	-	Regional Coordinating Council
TA	-	Technical Assistance
WASH	-	Water, Sanitation and Hygiene
WRC	-	Water Resources Commission
WSMT	-	Water and Sanitation Management Team

## ANNEX 1: PROJECT ACCOUNTS AND PAYMENTS

This section outlines the accounts to be opened and the receipts and payments processes to be followed in project implementation.

### 1.1 Project Accounts

Project Accounts shall be opened by MMDAs, CWSA regional and head offices in addition to their existing GoG bank accounts. The Project Accounts shall be used to receive project funds and to make payments for eligible project expenditure. A Special Account in foreign currency shall also be opened at the national level by CWSA head office where required.

The Ministry of Finance shall, at the request of the Ministry of Water Resources, Works and Housing, authorise CWSA to open the Special Account with Bank of Ghana or any Commercial Bank. This foreign currency account shall be used for receiving transfers from funding agencies for payments and transfers. CWSA will be responsible for withdrawal applications to funding agencies requesting for Special Account initial advance, and its subsequent replenishments.

The MoF shall at the beginning of project forward to funding agencies the list of authorised signatories who will sign withdrawal applications. These will be made up of representatives from:

- MOFEP
- MWRWH
- CWSA Head Office

#### 1.1.1 Initial Advance into the Special Account

The initial amount to be deposited into the Special Account shall be determined during project appraisal. Upon project effectiveness a withdrawal application is forwarded to the funding agency to transfer the amount into the special account.

#### 1.1.2 Payment Out of Special Account

The Special Account will be managed by CWSA. Payment shall be made using the following steps:

1. Review the request for eligibility as per project agreement;
2. Verify supporting documents attached to the payment request. (Invoices, Receipts, Payment Certificates and Shipping Documents etc.);
3. Prepare Payment Request and ensure it is duly signed by authorised persons;
4. Submit two (2) copies of the signed Payment Request to the appropriate bank for payment to be effected;
5. Return one (1) stamped copy of the Payment Request by the bank as acknowledgement of receipt for filing.

## REFERENCES

### Policy

1. Government of Ghana, Ministry of Water Resources, Works and Housing, 2007 - National Water Policy, Accra
2. Government of Ghana, Ministry of Local Government and Rural Development, 2010 – Environmental Sanitation Policy (Revised) -Accra
3. Government of Ghana, Ministry of Finance and Economic Planning, 2011 - National Policy on Public Private partnerships (PPP): Private Participation in Infrastructure and Services for Better Public Services Delivery Accra

### Acts/LI

4. Community Water and Sanitation Agency (CWSA) Act, 1998 (Act 564)
5. Ghana Water and Sewerage Corporation Act, 1965, (Act 130)
6. Ghana Water Company Limited (GWCL) Act, 1993, (Act 461)
7. Local Government Act, 1993, (Act 462)
8. District Assemblies Common Fund Act, 1993, (Act 455)
9. Financial Administration Act 2003, (Act 654)
10. Internal Audit Agency Act 2003, (Act 658)
11. Local Government Service Act, 2003, (Act 656)
12. Public Procurement Act 2003, Act 663
13. Community Water and Sanitation Agency legislative Instrument 2011, (LI 2007)
14. Local Government (Departments of District Assemblies) (Commencement) Instrument, 2009 (L.I. 1961)

### Strategic documents

15. Water Sector Strategic Development Plan, 2012
16. National Community Water and Sanitation Strategy, 2014
17. Strategic Investment Plan 2008 - 2015, CWSA.
18. National Environmental Sanitation Strategy and Action Plan, 2011

### Guidelines and Manuals

19. Operational Manual for Planning, Budgeting, Monitoring and Evaluation of Water and Environmental Sanitation, April 2005.
20. Public Procurement Manual
21. Small Towns Sector Guidelines Vol. I to VI, 2010.
22. Trainers' Guide for Preparation of District Water and Sanitation Plans, April 2005.
23. Environmental Impact Assessment / Strategic Environmental Assessment

## DEFINITIONS

1. “A community” includes groups of individuals living in close proximity to each other and/or other social groups, grassroots entrepreneurs or associations able to identify a need and come together to access project funds. The size of the community varies depending on the type of WASH project and includes people from all areas that make direct use of the project.
2. “Beneficiary” means a group of individuals, a small community, a small town, a district or a community for whose benefits a WASH project (as herein after defined) is being implemented or proposed to be implemented by an Assembly.
3. “District Assembly” means a district assembly organised in accordance with the Local Government Act (Act 462) of the laws of Ghana, which shall be responsible for implementing projects. This includes Metropolitan and Municipal Assemblies.
4. Project refers to any community based water and sanitation intervention as part of the NCWSP, employing its principles and using all types of funding sources (from GOG, DPs, NGOs etc).
5. In this manual “project” refers to any community-based water and sanitation intervention delivered as part of the NCWSP and employing its principles.
6. “Small Community” refers to a community with a population of less than 2,000 people or any other figure which the Minister may from time to time declare by publication in the Gazette and the mass media.
7. “Small Town” refers to a community with a population between 2,000 and 50,000 or any other figure which the Minister may from time to time declare by publication in the Gazette and the mass media.
8. “Sanitation” means hygiene education and safe disposal of faecal matter as they affect water usage. For the purposes of this PIM, the word sanitation alone is taken to mean the safe management of human excreta. It therefore includes both the “hardware” (e.g. toilets/latrine) and the “software” (regulation - given by the MLGRD, hygiene promotion) needed to reduce faecal-oral disease transmission.
9. “Environmental sanitation” is used to cover the wider concept of controlling all factors in the physical environment which may have harmful impacts on human health and well-being.
10. “Water supply” refers to access to potable water for domestic uses; such as water for drinking, food preparation, bathing, laundry, dishwashing, and cleaning.

11. "Access to potable water" means an all year round supply of at least 20 litres of potable water per capita per day within 500 metres for all households and serving not more than 300 persons per outlet.
12. "Potable water" is water that does not contain biological or chemical pathogenic agents at concentration level directly detrimental to health. It includes treated surface waters and untreated but uncontaminated water such as from protected boreholes, springs and sanitary wells .refers to the quality of water as defined by the Ghana Standard Authority.
13. "Hygiene promotion" refers to the encouragement of people to adopt improved hygiene practices to prevent sanitation-related disease.
14. "Sanitation promotion" refers to the marketing and promotion of sanitation products and service.

### **9.5 External Monitoring and Evaluation**

The CWSA, through review meetings, special studies, and supervision missions etc., actively involve other relevant ministries, departments and agencies (e.g., MLGRD, MoF, NDPC, RCC, etc.) in M&E activities to track progress and management performance. In addition, CWSA periodically engages with consultants to carry out studies that monitor or assess impact of various aspects of projects.



#### 9.4 Key Monitoring and Evaluation Indicators

The indicators used by CWSA to track progress in meeting national targets are described here. It is assumed that by achieving all outcomes outlined in the table, CWSA's objective is reached: *To accelerate service access and achieve the effective and sustained use of improved community water supply and sanitation services in small communities and small towns.*

**Table 1: Key Monitoring and Evaluation Indicators**

Outcomes	Monitoring Indicators	Evaluation Indicators
A. Investment secured for development of water supply and sanitation services are judiciously used to achieve long-term plans.	<ul style="list-style-type: none"> <li>▪ Total funds in the project</li> <li>▪ GoG funding</li> <li>▪ Donor and government commitment as % of Strategic Investment Plan (SIP) projections</li> <li>▪ Total expenditure vs. budget by region</li> <li>▪ Total investment expenditure vs. operational expenditure</li> </ul>	<ul style="list-style-type: none"> <li>▪ Operational efficiency of the Agency</li> <li>▪ Unit cost</li> </ul>
B. District Assembly capacity strengthened to provide support to communities in planning, implementing monitoring and sustaining services.	<ul style="list-style-type: none"> <li>▪ Number of DWSTs trained and in operation</li> <li>▪ DWSP prepared and updated annually</li> <li>▪ Number of community proposals submitted, assessed, approved by MMDAs</li> <li>▪ Number of MMDAs carrying out procurement, and contracting according to the Public Procurement Act.</li> </ul>	% population with water and sanitation services over time and by district # projects completed
C. Capacity of service providers strengthened to support MMDAs and communities.	<ul style="list-style-type: none"> <li>▪ Number of toilet artisans trained (by sex) certified and operating by their spatial distribution</li> <li>▪ Number of PO/TAs trained on gender issues and are in operation</li> <li>▪ Number of hand-dug well contractors trained on gender issues and are in operation</li> <li>▪ Number of area mechanics trained on gender issues and are in operation</li> <li>▪ Number of pump parts retail outlets stocked with fast moving parts</li> <li>▪ Number of drillers oriented on NCWSP</li> <li>▪ Number of small town operators trained on gender issues and are in operation</li> <li>▪ Number of small town consultants trained on gender issues</li> </ul>	Private sector capacity, quality and performance
D. Water supply and sanitation facilities constructed/ rehabilitated and efficiently used, maintained and managed by communities.	<ul style="list-style-type: none"> <li>▪ Number of WSMTs trained on gender issues and are in operation</li> <li>▪ Number of WSMTs trained on gender issues and are in operation</li> <li>▪ Number of WSMTs with good record keeping</li> <li>▪ Number of WSMTs with FMPs</li> <li>▪ Number of WSMTs with the required bank balance for O&amp;M</li> <li>▪ Number of new/ rehabilitated water points per district</li> <li>▪ Number of new/ rehabilitated sanitation facilities per district</li> <li>▪ Number of new/ rehabilitated small town systems</li> <li>▪ Number of systems converted to community management by region</li> </ul>	Number of pumps that have broken down Sustained service in small towns Hygiene practices meet acceptable standards Down time of services Financial viability and books up to date Toilets in use and maintained

#### FOREWORD

The National Community Water and Sanitation Programme (NCWSP) of the Government of Ghana, has as its development objective to increase the effective and sustained use of improved community water and sanitation services in small towns and rural communities within the framework of the national decentralisation programme and the National Water Policy.

The principles of the NCWSP have been adopted for the delivery of services in the country with facilitation by the lead sector agency, CWSA. Over the years, projects implementation strategies and approaches have not been uniform. The Project Implementation Manual (PIM) has been developed as part of national efforts towards harmonising water and sanitation projects implementation approaches at the district and community levels. The manual also takes into account the national decentralisation process which makes districts the focal points for implementation of water and sanitation activities.

The PIM targets all stakeholders (at national, regional and district levels) involved in the provision of water and sanitation services. The manual provides guidance in WASH project management and implementation towards the realisation of national goals. It sets out implementation rules, procedures, and processes with the dual objective to forge strong partnerships and relationships across all key stakeholders and to ascertain the long-term sustainability of all water and sanitation facilities installed in rural communities and small towns.

The development of the PIM has been guided by existing national laws, sector policy documents and technical guidelines such as:

- National Water Policy, 2007
- Water Sector Strategic Development Plan, 2012 (draft)
- Environmental Sanitation Policy, 2010
- Community Water and Sanitation Act, 1998 (Act 564)
- Community Water and Sanitation Agency Legislative Instrument (LI – 2007)
- Local Government Act, 1993 (Act 462)
- Local Government Service Act, 2003 (Act 656)
- Public Procurement Act 2003 (Act 663)
- Public Procurement Manual
- Financial Administration Act, 2003 (Act 654)
- Internal Audit Agency Act, 2003 (Act 658)
- CWSA Strategic Investment Plan, 2009-2015

- Small Towns Sector Guidelines vol. I-VI, January 2011
- National Public-Private Partnership Policy

The PIM has been developed with support from the Water Directorate, the Community Water and Sanitation Agency's Board of Directors, Environmental Health and Sanitation Directorate of the Ministry of Local Government and Rural Development, Management and Technical Services Directorate of the Local Government Service Secretariat, and Development Partners.



**Mr. Clement Bugase**

Chief Executive

Community Water and Sanitation Agency (CWSA)

### 9.3.2 Community Level

In support of community-led management of projects and the sustained use and delivery of WASH services, the following measures strengthen the community's role in monitoring:

- A plan for community monitoring is detailed in the Community WASH project proposal.
- Relevant project documents are made available for study by the community.
- Districts keep communities informed, at all stages, throughout the project.
- Communities hold regular meetings to discuss project progress.
- Communities are provided with a checklist and other training materials to enable them to monitor technical assistance (TA), construction works and water quality.
- Environmental reports such as the Environmental Impact Assessment (EIA)/Strategic Environmental Assessment (SEA) are shared to communities to support them in monitoring the environmental impact of projects.
  - TAs sensitise communities on the environmental issues identified in the EIA, and SEA reports, relaying the importance of identifying, recognising and addressing adverse impacts at an early stage.
  - TAs assist WSMTs in drafting bye-laws and rules on issues such as accessing and protecting water facilities, preventing inadequate wastewater disposal, and encouraging household members to build and use appropriate toilets.

### 9.3.3 Other Levels of Monitoring and Evaluation

The CWSA (Head Office and Regional Offices), MWRWH (DWD), MLGRD, NDPC, Statistical Service and funding agencies monitor project implementation through various reports, monitoring studies, beneficiary assessments, audits, supervision missions and reviews, etc. Some examples include:

- The Regional Planning Coordinating Unit, with support from the CWSA Regional Office, monitors progress in project activities at district and community levels, including, baseline studies, training and extension activities, quality assurance of works, compliance with procurement and disbursement procedures.
- The CWSA Head Office monitors performance and assesses project impact on MMDA/ beneficiary communities. Within each region, periodic project review meetings are held with stakeholders. CWSA Head Office also supports regions implementing the same project, in quarterly meetings, to assess project management and/or implementation.

Auditors (GAS and external) and funding agencies monitor CWSA and MMDA performance, procurement and disbursement procedures, as well as the legal and audit covenants established in funding agreements with funding agencies.

- To motivate learning for improvement of new/ongoing projects.
- To form as basis for decision making on best options and practices.
- To serve as an accountability mechanism for achieving results and best use of resources.
- To document and sustain lasting benefits of investment.

### 9.2.1 Evaluation methods

Some evaluation methods are:

- Comparison of project beneficiaries before and after the project. This approach requires the collection of baseline information to lay out the parameters by which the project is expected to make the greatest impact. For comparisons to be meaningful, timing of the “after” project measurements are carefully considered.
- Frequent visits to include sampled households during the period of project implementation activities and beyond.
- Comparison of project beneficiaries and non-beneficiaries. A comparison is made with entities/communities who share similar characteristics with the former but did not participate in the project.

While monitoring and evaluation (M&E) have different roles, they are closely linked and mutually supportive of the other. The two processes are expected to provide feedback and lessons that help steer projects to set goals. Timely use of M&E results is therefore crucial to internalise and feedback information from M&E into routine project activities, and adapt plans, where needed, to reach set project goals.

### 9.3 Roles and Responsibilities

All key partners and interest groups in the projects shall be involved in monitoring. The responsibility for M&E of community projects rests upon the beneficiary community, the RCC, MMDA, DWD, TA/ PO, CWSA, LGSS, sector ministries and external evaluators, including funding agencies that require for supervision/ monitoring missions to take place. For WASH projects with a duration of one year or more (e.g., small towns), quarterly reports are submitted to the CWSA Regional Office, with a copy to the RCC. For projects with duration of less than one year, the frequency of reporting is specified in a Memorandum of Understanding between the MMDA and the CWSA Regional Office. All stakeholders are eligible for training on M&E to enhance their capacity to perform their roles and responsibilities.

#### 9.3.1 Assembly Level

The MMDA coordinates monitors and supports the WSMTs responsible for the management of the water supply systems in its area of jurisdiction. The MMDA periodically reviews and approves tariff in line with CWSA tariff setting guidelines.

The MMDA is also responsible for the review of all M&E reports prepared by the WSMTs. Relevant actions in response to M&E reports are coordinated by the DWD/DWST to ensure that systems are managed and maintained in accordance with national standards and guidelines, and ensure that all water supply and sanitation systems are operated as required, throughout their designed life cycle and beyond. Finally, the MMDA ensures that relevant actions are taken for the upgrade of systems after the design life has elapsed as may be required.

## ACKNOWLEDGMENTS

The Community Water and Sanitation Agency (CWSA) is grateful to all sector stakeholders for their valuable input, support and feedback throughout the process of revising the Project Implementation Manual.

The Project Implementation Manual provides guidance in WASH project management and implementation towards the realisation of goals of the National Community Water and Sanitation Programme (NCWSP). The objective is to forge strong partnerships and relationships across all key stakeholders and to ensure the long-term sustainability of all WASH service delivery in the rural and small towns sub-sector.

The PIM has been developed with support from sector stakeholders including:

1. Ministry of Water Resources Works and Housing - The Water Directorate
2. Ministry of Local Government and Rural Development - Environmental Health and Sanitation Directorate
3. Board of Directors of the Community Water and Sanitation Agency
4. Local Government Service Secretariat - Management and Technical Services Directorate
5. IRC within the framework of the Triple-S project
6. Development Partners
7. Members of the PIM working group:
  - Emmanuel Gaze – Director, Technical Services, CWSA
  - William Nunoo – Director, Finance, CWSA
  - Theodora Adomako-Adjei – Extension Services Coordinator, CWSA
  - Mohammed Ibrahim Adokor – Planning and Investment Analyst, CWSA
  - Harold Esseku – Consultant, Rapha Consult
  - Fay Ephrim – Planning and Investment Analyst, CWSA
  - R. K. D. Van-Ess – Consultant
  - Vida Affum Duti – Country Director, IRC Ghana
  - Veronica Ayi-Bonte – National Learning Facilitator, IRC Ghana



## 1 INTRODUCTION

The Government of Ghana has, over the years, pursued various policy reforms and enacted a number of Acts of Parliament, which have impacted on the water sector. Some of these Acts include the following:

- Local Government Act, 1993 (Act 462)
- Water Resources Commission Act, 1996 (Act 522)
- Public Utilities Regulatory Commission Act, 1997 (Act 538)
- Community Water and Sanitation Agency Act, 1998 (Act 564)
- Ghana Water Company Limited Establishment Act, 1999 (Act 461)
- Financial Administration Act, 2003 (Act 654)
- Public Procurement Act, 2003 (Act 663)

Also relevant are the decisions taken between the Ghana Water Company Limited and Community Water and Sanitation Agency on the delineation of small town's water systems and the transfer of management responsibilities of rural water systems, to the Metropolitan, Municipal and District Assemblies (MMDAs)/community. Key among the sector reforms was the creation of the Water Directorate within the Ministry of Water Resources, Works and Housing (MWRWH) for policy formulation, harmonisation and monitoring of sub-sector activities.

### 1.1 The National Community Water and Sanitation Programme

Prior to the launch of the NCWSP in 1994, access to potable water by rural communities and small towns was nominally below 30%, while sanitation was below 10%. Increased awareness of the situation (spawned by the International Drinking Water and Sanitation Decade 1981-1990) led to the organisation of a series of water and sanitation-related conferences in the late 1980's by stakeholders in the community water and sanitation sub-sector, culminating with the 1991 Kokrobite Conference on Rural Water and Sanitation, which recommended the institution of a National Community Water and Sanitation Programme. In 1994, the Government of Ghana formally launched the National Community Water and Sanitation Programme (NCWSP), and in 1998, by an Act of Parliament, the Community Water and Sanitation Agency Act 564 was enacted-setting up CWSA as an autonomous public institution responsible for the facilitation of potable water and related sanitation services delivery to rural communities and small towns in Ghana.

### 1.2 NCWSP and GoG Decentralisation Reforms

The establishment of the NCWSP was consistent with Ghana's decentralisation policy, enshrined in the country's 1992 Constitution, and enacted by the Local Government Act, 1993 (Act 462).

### 9.1.1 Information Management

Data is captured at the District level and aggregated for Regional and National level reporting. Dimes is used to store, process and manage the information.

There are four major types of data groups in the DiMES, namely:

- Community data (names, location, population, etc.)
- Facility data (facility type, ID, technical characteristics, etc.)
- Monitoring of operations and maintenance data (daily recordings of revenue, expenditure, performance of WSMTs, etc.)
- Project data (project description, committed funding, duration, number of facilities provided, etc.)

The information generated is used for reporting to the various stakeholders including GOG and funding Agencies. It also informs decision making in project design.

### 9.1.2 Projects

Each project is assigned a number and used to identify communities in the District benefiting under the project. Progress is tracked during all stages of the Community WASH Project cycle, such as Sub-project approval, fund disbursement/implementation, and project completion.

### 9.1.3 Training

Each training event receives an event number and date, and is entered into the DiMES for tracking.

- Number of people trained (by sex)
- Number of people certified
- Type of training
- Cost of training

### 9.2 Evaluation

Periodic assessment (evaluation) of projects are undertaken to guide decision making over the continuation of a project, and to identify lessons useful in improving the performance of similar projects, and the sector as a whole. Evaluations determine the relevance and fulfilment of project objectives, development efficiency, effectiveness, impact and sustainability. Typically, project evaluations include a mid-term review, end of project assessment and other focused impact studies. Reviews are undertaken by the CWSA in collaboration with the Water Directorate, LGSS, development partners, the private sector, beneficiary districts and communities, and others.

Evaluations are undertaken for the following reasons:

- To provide information on actual events/practices.

## 9 MONITORING, EVALUATION AND REPORTING

Monitoring and evaluation is an ongoing process carried out by beneficiary community members, the MMDA, CWSA and other stakeholders. District Monitoring and Evaluation System (DiMES) is an important part of the NCWSP's monitoring system. DiMES is a management tool that captures, stores and reports information on water supply and sanitation activities, including rural areas and small towns. Through its built-in strategic investment planning model, DiMES also provides a means for investment planning for facilities and infrastructure for equitable development.

Monitoring is a process of systematic collection, analysis and data use to improve project performance, outputs and outcomes. It is an important management activity that must be integrated in regular activities. Emphasis must also be placed on the timely use of results. Monitoring activities are undertaken by all interested groups and key partners, such as CWSA, LGSS, MMDA, communities, private sector, NGOs, MWRWH, RCC and DPs.

At national level, CWSA, in close collaboration with the Water Directorate, Ghana Statistical Service, and National Development Planning Commission, adopts harmonised monitoring indicators for tracking sector-wide performance and progress in meeting national outputs and Strategic Investment Plan targets. The CWSA Head Office also supports other partners in working with harmonised monitoring indicators at regional and district levels.

Monitoring of project implementation under the NCWSP aims to:

- Track progress towards attainment of national targets.
- Provide an improved foundation for planning.
- Ensure efficiency and effectiveness in the use of resources.
- Identify challenges and find solutions at an early stage.
- Provide record of events and activities.
- Assess “process” of development such as staffing, capacity building and collaboration.
- Provide an information base for future evaluations.
- Maintain high standards.
- Establish the basis for future assistance

### 9.1 Monitoring Methods

The following methods are used :

- Management information system – DiMES - provides required information on various project activities to support effective decision making
- Periodic sample surveys check on project parameters/elements that are critical.
- Occasional detailed project implementation studies.
- Participatory monitoring and evaluation by stakeholders.
- Planned monitoring visits to track project delivery

The decentralisation policy stipulates the transfer of authority, responsibility and capacity from Central Government, ministries, departments and agencies to the Metropolitan, Municipal and District Assemblies.

### 1.2.1 NCWSP Goals and Objectives

The objectives of the NCWSP are as follows:

- Provide basic water and sanitation facilities to communities that will manage the operations and maintenance of their facilities.
- Ensure the sustainability of these facilities through community ownership and management, community decision making in their design, active involvement of women at all stages of the project, private sector involvement in the provision of goods and services, and public sector promotion and support to stakeholders.
- Maximise health benefits by integrating water, sanitation and hygiene promotion interventions, including the establishment of hygiene promotion, and toilet/latrines construction capabilities at community level.

### 1.2.2 NCWSP Principles

The key principles of the NCWSP are summarised as follows:

- Public sector facilitation
- Demand responsive approach
- Community ownership and management (COM)
- Decentralised planning and implementation by MMDAs
- Central role of MMDAs in supporting community management
- Private sector delivery of goods and services
- Gender mainstreaming at all levels
- Integration of hygiene promotion with the provision of water and sanitation facilities
- Service Delivery Approach

### 1.3 Community Water and Sanitation Agency Mandate

Also referred to as the Agency, CWSA's mandate, through its Establishment Act 564, authorises it 'to facilitate the provision of safe water and related sanitation services to rural communities and small towns'.

### 1.3.1 Functions of CWSA

The functions of the Agency (as defined by Act 564 of the CWSA Act, 1998) are summarised as follows:

- Provide support to District Assemblies in the implementation of water and sanitation projects.
- Formulate strategies for the effective mobilisation of resources.

- Encourage private sector participation.
- Assist and coordinate with NGOs in the water and sanitation sector.
- Initiate and pursue formal and non-formal education programmes for the creation of public awareness.
- Prescribe standards and guidelines for potable water supply and the provision of related sanitation services.
- Charge reasonable fees for services provided.
- Collaborate with international agencies.
- Perform any other functions assigned by the Act.

In pursuit of the above functions, CWSA aims to:

- Accelerate the provision of water and sanitation facilities to achieve coverage envisioned for the sector by the medium-term development policy framework developed by the National Development Planning Commission (NDPC) and the Water Sector Strategic Development Plan (WSSDP) by attracting the funding required for the implementation of the NCWSP.
- Formulate strategies and policies, in collaboration with sector ministries, for the effective mobilisation of resources, and for the execution of water development and sanitation programmes in small communities and small towns.
- Provide support to MMDAs to encourage the active involvement of their decentralised departments, sub-structures, and communities in the design, planning, construction and community management of facilities and services.
- Collaborate with Development Partners and other relevant agencies as the Agency considers necessary for the purpose of performing its functions.

### **1.3.2 The CWSA Legislative Instrument**

The CWSA Legislative Instrument, 2007 clarifies the roles of sector stakeholders and relationships as outlined in the CWSA Act, 1998. It provides the regulatory framework for stakeholder implementation of the NCWSP.

## **1.4 Community Water and Sanitation Sub-Sector**

### **1.4.1 Sector Progress**

Community water supply and sanitation is considered a priority area in the Government of Ghana's national medium-term development plan, the New Partnership for Africa Development (NEPAD), and the Millennium Development Goals (MDGs)—all of which are key considerations for the country to scale up investments in the water sector. Since NCWSP's launch in 1994, the sub-sector has made significant progress.

### **8.3 Audit**

The Ghana Audit Service (GAS) is mandated in Ghana's 1992 Constitution and the Audit Service Act 2000, (Act 584) to audit the public accounts of Ghana and all public offices including MMDAs, Public Corporations and Organisations established by an Act of Parliament and report the findings to Parliament. The audits are carried out at various levels (National, Regional and District) to promote increased accountability, probity and transparency in the management and utilisation of public resources. The audit includes but not limited to :

1. Financial Audit /Regularity Audit
2. Performance /Value for Money Audit

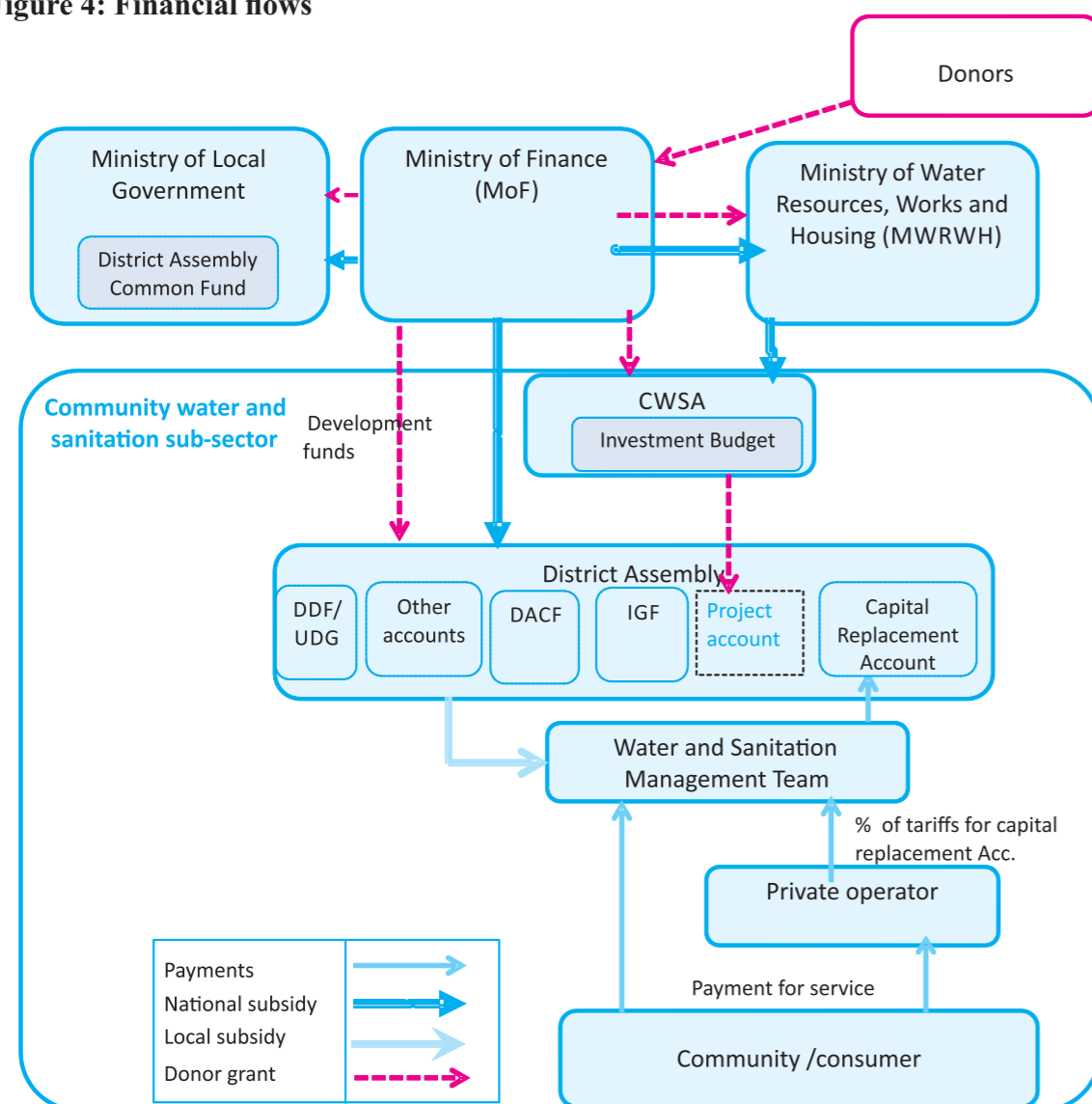
External auditors may also be engaged to conduct periodic audit of specific project activities focusing on the following:

- (i) Technical/ special audit
  - Verify the quality of facilities.
  - Verify community training activities.
  - Value for money audit.
- (ii) Financial audit
  - Verify MMDA compliance with GoG/ funding agency procedures.
  - Verify that procurement procedures are in line with Public Procurement Act, 2003 (Act 663).
  - Value for money audit.

Audits may also be carried out for special projects, PPPs .

<sup>4</sup> Types and Summary of Reports: [http://www.gaudit.org/gas/search\\_reports.php](http://www.gaudit.org/gas/search_reports.php)

**Figure 4: Financial flows**



The CWSA is responsible for withdrawal applications to funding agencies requesting for Special Account initial advance, and its subsequent replenishment. The initial amount to be deposited into the Special Account is determined by the project; and the conditions for replenishment of the account are mutually agreed upon. Where appropriate, direct payments may be made for works, goods and services as agreed upon in the project contract. Process for payment from a Special Account is submitted and vetted in accordance with the specific project agreement. All necessary documentation for payments are provided and managed in accordance with the Financial Administration Act, 2003 (Act 564), the Internal Audit Act, 2003 (Act 658) and contractual terms of the project agreement. Annex 1 outlines the accounts to be opened and the receipts and payments processes to be followed in project implementation.

- Policies, strategies and guidelines for the management and implementation of the NCWSP have been formulated.
- Water coverage has been increasing progressively - from 41% in 2000 (based on National Population and Housing Census) to about 63.34% in 2012 (based on CWSA). At the current pace, the country is most likely to achieve 76% of the MDG target for water by 2015.
- Capacity of relevant stakeholders at all levels, in planning, implementation and management of water and sanitation, has either been built or strengthened.

#### 1.4.2 Implementation Challenges

There are however a number of challenges to meeting the targets of the national medium-term development policy framework and the millennium development goals, in particular, reaching these in ways that are sustainable. These include:

- Low-level commitment at the level of MMDAs in integrating water and sanitation in their development agenda; this is evidenced by non-preparation or implementation of District Water and Sanitation Plans (DWSPs), insufficient budget allocation to water and sanitation, etc.
- Too much attention is directed towards the delivery of facilities, and inadequate emphasis is placed on post-construction support for operations and maintenance (O&M).
- Gender issues at different levels of project implementation have not been mainstreamed enough, and have yet to be fully achieved.

#### 1.4.3 Main Lessons

After over fifteen years of implementing rural water and sanitation projects a number of useful lessons have been learnt.

- Sustainability depends greatly on the capacity and capability of Water and Sanitation Management Teams (WSMTs) to assume and carry out their functions. WSMT sound management of water supply and sanitation facilities is made possible through recurrent training activities and skills development, continued monitoring and provisioning of support.
- Greater involvement of MMDAs in the planning and implementation of projects instils a sense of MMDA ownership, interest and responsibility to manage service providers.
- Long periods between mobilisation/planning and completion of facilities lead to frustrations for the MMDAs and beneficiary communities.
- Greater involvement of Regional Coordinating Councils (RCCs) and/or Regional Planning and Coordinating Units, as well other decentralised structures, ensure effective co-ordination of resources and tracking of investment results.
- Effective community participation in all phases of the project cycle is important in sustaining commitment to water and sanitation projects.

- Absence in or the inadequate allocation of resources for monitoring and supporting O&M by the public sector (e.g., CWSA, MMDA, etc.) adversely affects the sustainability of projects.

### **8.1 Public-Private Partnerships**

Public-Private Partnership (PPPs) funded- and other turnkey projects are implemented in accordance with all relevant national laws, including the National Public-Private Partnership Policy, 2011; the Public Procurement Act, 2003 (Act 663); and the Financial Administration Act, 2003 (654). The process of procuring a PPP shall be undertaken in a systematic and transparent way; required documentation is safe kept and relevant laws and regulations are followed.

Before a Contracting Authority concludes a PPP agreement/concession, approval must be obtained from the Approving Authority for PPPs subject to the provisions of the National PPP:

- That the PPP Agreement/Concession meets the requirements of affordability, value for money and substantial technical, operational and financial risk transfer as approved.
- That a Management Plan explains the capacity of the Contracting Authority and its proposed mechanisms and procedures to effectively implement, enforce, monitor and report on the PPP.
- That satisfactory due diligence, including legal due diligence, has been completed in respect of the Contracting Authority and the proposed private party in relation to matters of their respective competence and capacity to enter into the PPP Agreement/Concession.

The procurement phase of a PPP project shall commence after a written approval has been given by the appropriate approving authority. The approving authorities have different approval thresholds depending on the costs of the intervention. The approving authorities are as follows:

- Cabinet
- the PPP Approval Committee (Ministry of Finance)
- General Assembly of MMDAs

The thresholds for the different approving entities are periodically modified by the Ministry of Finance.

### **8.2 Special Projects**

#### Metropolitan, Municipal and District Assemblies

Special projects may be undertaken by the MMDA with funding from DPs or NGOs, where funds are not channelled through the single Treasury System. Where such projects are fully funded without any contribution from the MMDA, it shall be deemed acceptable on condition that the relevant national laws, standards and guidelines are not compromised. Where contributions are to be made by the MMDA, it shall be done within the framework of the GIFMIS.

#### Community Water and Sanitation Agency

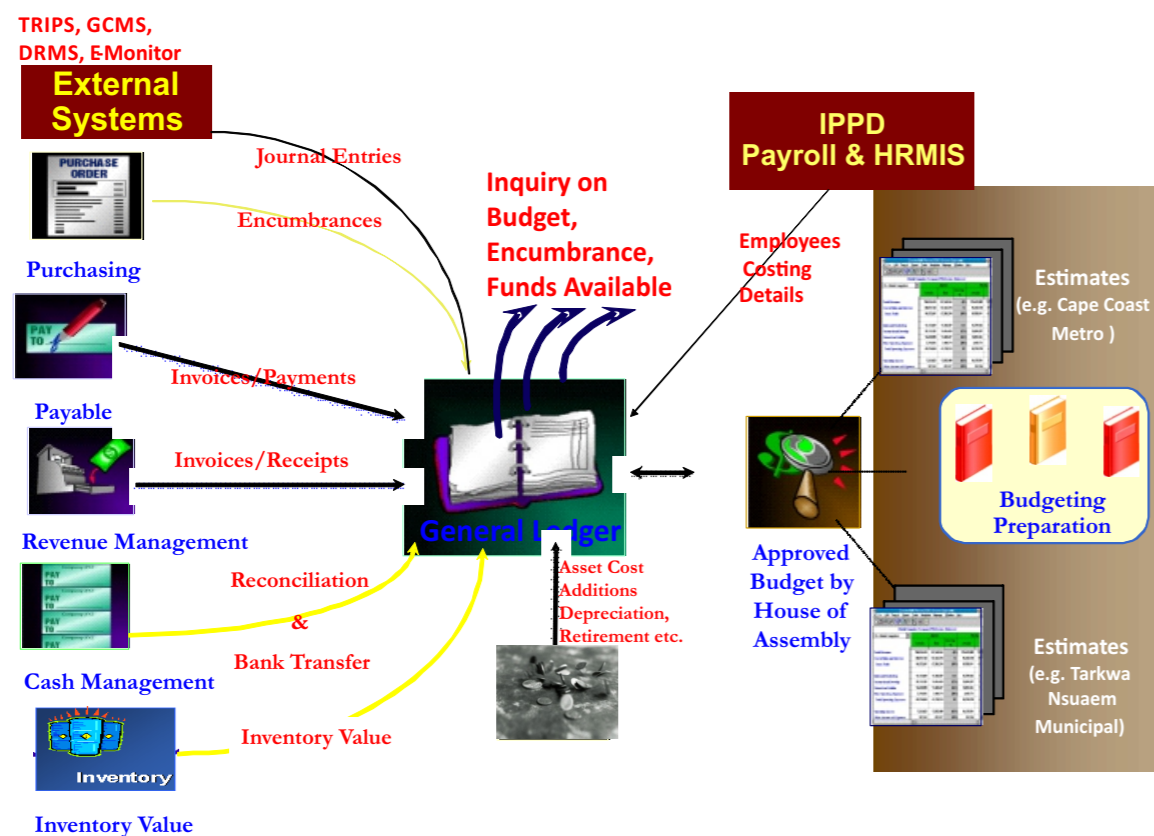
Where required, the CWSA Head Office shall open a Special Account with authorisation from the Ministry of Finance, through the Ministry of Water Resources, Works and Housing. The special account is used for receiving transfers from funding agencies for payments and other transactions. The financial flows for special projects is illustrated in figure 4



## 8 FINANCIAL MANAGEMENT AND SPECIAL PROJECTS

All financial activities during project implementation are to be carried out in accordance with the relevant national laws, including the Financial Administration Act, 2003 (Act 654), Internal Audit Agency Act, 2003 (Act 658) and the Public Procurement Act, 2003 (Act 663). The Ghana Integrated Financial Management Information System (GIFMIS) is an integrated computerised financial management system used in budget preparation and execution, accounting and financial reporting, cash management, assets management, etc. Through GIFMIS, the Government of Ghana aims to establish a comprehensive government-wide ICT-based public financial management information system at national, regional and district levels. It is the official tool of the GoG for recording budgets, disbursements, financial accounts and reports, internal controls, and audits.

Figure3: Overview of GIFMIS



Funds from all sources, including consolidated funds, statutory funds, donor funds as well as internally generated funds at district level are channelled through the GIFMIS. In the implementation of all interventions, the use of the GIFMIS is expected to provide timely and reliable information that gives early warning signals should problems occur; it facilitates the effective monitoring of project activities.

## 2 THE COMMUNITY WASH PROJECT CYCLE

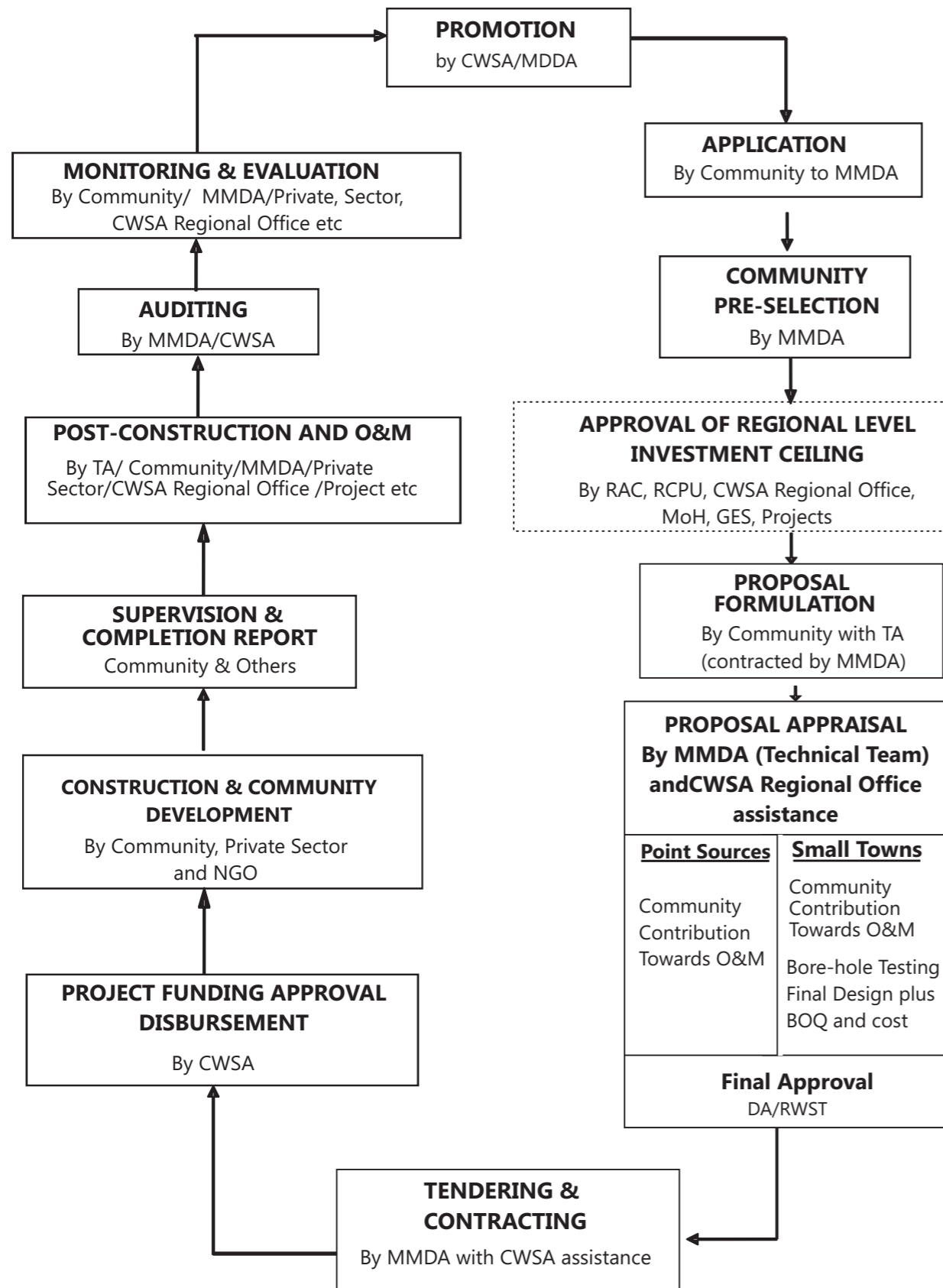
The Community WASH Project Cycle outlines the process for a beneficiary community in implementing WASH project. The process is as follows:

- a) Promotion and Identification
- b) Community Pre-selection
- c) Procurement of Technical Assistant (TA)
- d) Proposal Formulation
- e) Appraisal/Approval
- f) Tendering and Contracting
- g) Construction and Community Development
- h) Completion Report
- i) Operation and Maintenance
- j) Post Construction Phase
- k) Auditing
- l) Monitoring and Evaluation.

Figure 1 provides a schematic representation of the Community WASH project cycle.

To ascertain the long term and continued performance of facilities at optimal levels, a post construction phase of a maximum of two years is included in the project cycle. This period which is inclusive of the defects liability period is necessary to strengthen the capacity of DWD and the WSMTs in the operation, maintenance and management of installed facilities and institutional linkages for effective and efficient management are reinforced.

Figure 1: The WASH Project Cycle



#### 7.1.4 Selection Procedures

Schedule 3 of the Public Procurement Act, 2003 (Act 663) outlines the various procurement methods to be used. The Procurement Manual provides detailed steps to be followed in using each method.

#### 7.1.5 Other Procurement Issues

Further information on procurement procedures are found in the Public Procurement Act, 2003 (Act 663) and the Procurement Manual.

<sup>3</sup> MANUALS - PUBLIC PROCUREMENT ACT, 2003 (ACT 663):  
[HTTP://WWW.PPAGHANA.ORG/DOCUMENTS/FINALMANUAL\\_PPB.PDF?story\\_id=27](http://www.ppaghana.org/documents/FINALMANUAL_PPB.PDF?story_id=27)

## 7 PROCUREMENT

Uniform procedures and controls for the procurement of works, goods and services are established in accordance with the Public Procurement Act, 2003 (Act 663), and requirements of funding agencies. Procurement for project activities in districts and communities fall within the framework of an approved work plan and funds requirement based on community project proposals collated at the MMDA level.

Adherence to procedures and rules is mandatory to ensure that the procurement objective of acquiring the right quality of works, goods and services, at the right time, in the right quantity, and at the right price is achieved. Business opportunities within NCWSP projects are marketed to the business community to promote healthy competition. Promotion of potential business ventures is conducted mainly by CWSA at national and regional levels, and the MMDA at local level, through advertisements in print and electronic media, workshops and seminars.

### 7.1 Guidelines

The MMDA is directly responsible for all procurement carried out by WASH projects, with support from the CWSA Regional Office and RCC, where necessary. Procurement for consultancy for special studies, purchase of vehicles and other equipment are undertaken by the CWSA Regional Office. All procurement use standard documents issued by the Public Procurement Authority.

#### 7.1.1 Procurement Plans

Procurement plans, using the standard format, is prepared by all procurement entities showing contract packages, estimated costs, procurement method and processing time. Procurement plans are updated quarterly to track progress of the procurement process. The CWSA Regional Office supports the MMDA to prepare and update annual procurement plans based on approved Community WASH projects.

#### 7.1.2 Evaluation of Tenders

Tender Evaluation Panels, whose responsibility it is to evaluate tenders and make recommendations for contract awarding, are formed at CWSA and MMDA levels as and when required based on type of contract. Notification and awarding of contracts at all levels are conducted in accordance with the thresholds established by the Procurement Act, 2003 (Act 663).

#### 7.1.3 Thresholds for Procurement Methods and Contract Awarding

Thresholds for selection of procurement methods and contract awarding by relevant Approval Authorities are conducted in accordance with the Public Procurement Act, 2003 (Act 663).

### 2.1 Promotion and Identification (Application)

As a first step in the Community WASH cycle, the Metropolitan, Municipal and District Assemblies (MMDAs) launch promotional campaigns to inform communities within its area of jurisdiction, on the WASH projects and activities. Based on information received, community members convene to discuss and identify the assistance required to enable them acquire their own water supply and sanitation facilities and to get the community name included in the DWSP.

The community discussions include:

- Selection of spokesmen/women (focal person)
- Strategies to engage all sections on of all community members
- Analysis of information contained in the flyer and application form.
- Community interest and form of involvement in the project
- Fund raising
- Technological options.

The staff of the District Works Departments (DWD) participate in these meetings and assist the Assemblymen/women to educate the communities on WASH opportunities available for the communities in the district. Communities then form Water and Sanitation Management Teams (WSMTs) and are encouraged to open bank accounts.

### 2.2 Community Pre-selection

The sub-committee responsible for water and sanitation in the MMDA will meet and review applications submitted by the communities for inclusion in the District Water and Sanitation Plan (DWSP). Applications will be ranked according to pre-selection criteria. Community pre-selection checklist criteria include

- Level of poverty;
- Existing water and sanitation facilities and their conditions includ distance/proximity;
- Water and sanitation coverage at the time of application;
- Water related diseases;
- Performance of existing community based organisations;
- Number of self-help projects completed in the last five years;
- Evidence of bank statement showing an initial deposit as stated above.

The DWSP shall be reviewed periodically to update the ranking of the communities in the DWSP. Funding available to the district from all sources including internally generated funds, District Assembly Common Fund and from project funds among others is taken into account in the review process.

### 2.3 Proposal Formulation

Communities selected prepare a project proposal to benefit from the WASH facilities in the project. The communities receive Technical Assistance from consultants hired by the Assembly. Prior to the start of the proposal writing by the communities, the Assembly advertises and contracts Technical Assistance in accordance with the requirements outlined in the Public Procurement Act.

The TA supports the communities to prepare their proposal for requesting funding from the MMDA. They also support the communities to prepare their Facility Management Plan (FMP). Information provided during mobilisation by the TAs will include contents of community development process, formation of, and inauguration of WSMT/PTA (entity to be recognized through MMDA bye-laws). The community will use this information to complete its WASH project proposal including a proposed FMP. The FMP will be finalised after completion of construction of facilities. Communities can also submit proposals for community development support to help them strengthen their capacity to manage existing water and sanitation facilities. Completed proposals are to be submitted with evidence of the community's initial deposit of the required one year operations and maintenance cost.

### 2.4 Proposal appraisal and Final Community Selection

Proposal appraisal is undertaken by a technical team in the MMDA, with support from the CWSA, regional office using a standard Appraisal Checklist. All proposals that meet the appraisal criteria become eligible for Community WASH project funding, subject to fund availability.

The eligibility criteria in the Appraisal Checklist include:

- Documentary evidence that proposed site for facilities belongs to the community.
- Technical and environmental feasibility of proposed civil works and goods.
- Evidence that the community reached consensus over technological choice and service level desired.
- One year O&M financing deposited in the community bank account.
- Procedures for O&M and tariff collection.
- Plans for improved hygiene, environmental protection and sanitation.
- Gender-balanced representation in the WSMT/PTA, whose members are trained and formally recognised by the MMDA.
- Proposed facilities that meet national technical and environmental standards.

For small towns, a second phase of appraisal is organised. Eligibility criteria include:

- Expression of effective demand (percentage of one year operation and maintenance cost deposited in community account).
- Appropriate water source(s) identified and developed.
- Completed feasibility studies and conclusions as they relate to finance and technological option.
- Completed and final design and tender documents (including Bill of Quantities and drawings).

### 6.2.14 The Private Sector

The Private Sector - consultants, contractors, suppliers with relevant skills and experience - are contracted by the Assembly and CWSA (where necessary), to provide works, goods and services. The private sector and relevant stakeholders participate in project evaluation and sector capacity building. They also play a role in the operations and maintenance of facilities.

### 6.2.15 Civil Society Organisations

Civil society organisations are diverse in both structure and motivation, ranging from community-based organisations (CBOs): engaged in self-help activities or procurement, to non-governmental organisations (NGOs): involved in activities ranging from service delivery, to the facilitation of access to low-cost water supply and sanitation and intermediary activities such as negotiating with local government on behalf of communities. NGOs also assume broader advocacy activities such as those issues relating to poverty reduction, equitable service provision, public health and adequate budgetary allocation to state institutions in the sector.

National and international NGOs render an important intermediary function, in terms of: channelling development resources to CBOs, providing services and technical assistance, or helping CBOs strengthen their capacity to demand for changes from public institutions and/or government at all levels. NGOs play vital roles in knowledge sharing through participation in thematic studies, research work, and policy dialogue. For effective co-ordination of WASH activities, NGOs are expected to submit quarterly WASH reports to MMDAs for inclusion in districts reports and integration in sector-wide monitoring systems.

### 6.2.16 Ministry of Gender, Children and Social Protection

The Ministry of Gender, Children and Social Protection initiates, formulates, coordinates and promotes gender mainstreaming across all sectors. Project stakeholders collaborate with the Ministry to strengthen gender, equity and social inclusion components at all levels of project implementation. At the district level, Gender Desk Officers ensure that gender is mainstreamed in WASH activities.

The following are some activities undertaken by the MMDA:

- Prepares DWSPs for integration into district medium-term plans.
- Promotes and disseminates information on projects to generate interest of community members.
- Audits, reports and monitors project activities.
- Assesses the operations and maintenance efforts of communities and reports findings to the CWSA Regional Office.
- Procures works, goods and services, and disburses funds for implementation of Community WASH projects.
- Monitors project implementation.
- Undertakes technical appraisals for the selection of consultants and contractors.
- Manages database on community water supply and sanitation.

#### **6.2.13 Water and Sanitation Management Teams**

Participating communities and towns elect a gender-balanced WSMT - at least 40% women representation - in accordance with the WSMT model bye-laws. WSMTs are involved in planning, implementation and management of facilities. WSMTs sign off completed works and community development activities on WASH.

Other key WSMT responsibilities are to:

- Promote and disseminate information on Community WASH projects with in community.
- Participate in the community's selection of WASH technology options and service delivery levels.
- Ensure that interests of all members of the community, especially that of women and the marginalised, are taken on board in decision making.
- Adopt the model bye-law that guides the operations of the WSMTs and seek approval from the Assembly.
- Ensure proper financial management and practise good governance in operations.
- Monitor TA activities and construction (with the help of a checklist provided by the MMDA).
- Undertake hygiene education and sanitation promotion.
- Undertake participatory monitoring and evaluation of activities.
- Mobilise funds and other resources to sustain O&M in community.
- Adopt Facility Management Plans.
- Ensure sustainable operations and management of water supply and sanitation facilities.

#### **2.5 Project Approval and Disbursement**

The MMDA informs communities of the results of the appraisal process and signs a Community WASH Project Agreement with each beneficiary community. The CWSA Regional Office carries out an assessment of all successful Community WASH Project proposals to ensure that these meet the national criteria. Subject to fund availability, Community WASH Project proposals that meet the required criteria are assigned an identification number for tracking purposes. The CWSA Regional Office ensures that appropriate information on the beneficiary community is entered into the District Monitoring and Evaluation System (DiMES).

Beneficiary communities and the scope of work shall not be modified without the prior approval of the Regional Coordinating Council (RCC), and the technical advice of the CWSA.

#### **2.6 Contracting**

Contracting for goods, works and services are carried out by the MMDA, following procedures of the Public Procurement Act, 2003 (Act 663), which is further discussed in chapter 7.

#### **2.7 Construction**

Construction involves the building of facilities, and the installation of associated equipment. Beneficiary communities are involved in monitoring the construction process at all stages.

Facilities to be constructed include:

- Protected communal hand-dug well with a hand pump.
- Communal borehole equipped with a hand pump.
- Mechanised borehole with a storage tank and a public stand pipe close to the tank (limited mechanisation).
- Mechanised borehole with a storage tank, distribution network, a public stand pipe and limited number of house connections (house connection is paid by household beneficiaries).
- Surface water supply system based on simple treatment systems (e.g., slow sand filtration) with a storage tank, distribution network and a public stand pipe.
- Protected spring source, with or without a storage and a simple distribution network,
- Rainwater harvesting (where feasible).
- System rehabilitation/upgrading (for small towns).
- Multi-village piped system with a storage, distribution network, and a public stand pipe.
- Household and institutional toilets.
- Small-scale environmental sanitation schemes (for small towns).

Other water and sanitation technologies may be piloted, in as long as they meet all technical, environmental, financial and sustainability requirements of the Government.

## 2.8 Community Development

Community development activities are carried out simultaneously with construction. As projects are demand driven, training communities to mobilise their own resources for facility operations and management is crucial for the successful execution of Community WASH projects.

Community development activities implemented through TA are in the areas of:

**(a) Project proposal formulation**, which covers the following: community and/or school mobilisation; formation and initial training of gender-balanced WSMT; technical, environmental and financial guidance to assist the community in making an informed decision over its preferred service level; hygiene and sanitation promotion, and environmental awareness; assistance in mobilising community contribution; design of follow-up training programmes; and assistance in proposal completion.

**(a) Project implementation**, which includes the following: participation in monitoring construction works; WSMT training in community management, operations and maintenance; hygiene education; establishment of participatory monitoring and evaluation activities, and other relevant training, as detailed in the project proposal. Technical assistance is also provided to the WSMT in signing management contracts with private operators, as appropriate.

## 2.9 Inauguration of WSMTs

All small communities and small towns requesting for water and/or sanitation facilities elect WSMT to represent them. With the assistance of TAs, the WSMT adopts a constitution and its own relevant bye-laws, in accordance with the District Assemblies Model bye-laws for the establishment and operations of WSMTs. As part of its support, TAs submits the WSMT membership list to the MMDA for recognition, and the subsequent authorisation of its members to operate in the area specified. After the MMDA verifies the existence of the WSMT and formally inaugurates and introduces its composition to Assembly members and unit committees. The MMDA then publishes an announcement of its acceptance of the WSMT formation in national dailies, and its bye-laws.

## 2.10 Documentation of Land Ownership

Through TAs, the beneficiary community receives the support required to obtain the proper documentation on land acquired - land on which facilities are to be built, particularly for small towns systems. Documentary evidence of ownership and/or transfer of ownership shall be obtained for all plots of land earmarked for water and sanitation facilities to forestall future litigation.

## 6.2.10 Water Resources Commission

The WRC regulates and manages the utility of water resources, and co-ordinates policies related to its functions. It proposes comprehensive plans for the utilisation, conservation, development and improvement of water resources. It also initiates, controls, and coordinates activities connected with the development and utilisation of water resources. The WRC issues permits for the abstraction or usage of water resources for project implementation.

## 6.2.11 Community Water and Sanitation Agency

The CWSA consists of a Head Office in Accra and ten regional offices. The Agency provides direction for the overall management of the NCWSP, and provides facilitation and management support to MMDAs and communities with WASH activities. It is also responsible for external liaison and co-ordination of the sub-sector. The CWSA also performs a regulatory function for the community water supply and sanitation sub-sector.

The Head Office provides technical back-stopping and overall guidance in programme promotion, advocacy, facilitation, supervision, monitoring and evaluation, research and reporting on WASH activities.

The CWSA Regional Offices play a key role in providing technical assistance to the MMDAs and building private sector capacity for smooth project implementation. Specifically, a CWSA Regional Office:

- Disseminates information and promotes consistent procedures for projects.
- Assists the Assembly in appraising the technical, financial, social and environmental feasibility of community WASH proposals.
- Collates annual district work plans and budgets for presentation to the RCC.
- Provides technical assistance to the MMDA to procure and implement WASH activities.
- Monitors, verifies and endorses work executed by the MMDA, contractors, and through TA.
- Supports the MMDA in supervising works and service delivery.
- Strengthens the capacity of suppliers of goods and services to the sub-sector.
- Provides support in sustaining the operations and maintenance of water supply and sanitation facilities.

## 6.2.12 The Metropolitan, Municipal and District Assemblies

The MMDA is responsible for the overall implementation of projects and development of communities within its area of jurisdiction. The MMDA works through its District Works Department (DWD) to promote projects in all communities. In turn, the DWD prepares and submits its own annual work plans, procurement plans and budgets for MMDA approval, with technical support from the CWSA Regional Office for WASH activities.

- Participates in Project Steering Committee meetings.

### **6.2.7 Project Steering Committee (PSC)**

A PSC is formed at national level to provide overall management guidance and coordinate specific projects. The PSC deliberates on project management issues, including the approval of project work plans and budgets submitted by CWSA.

PSC membership comprises of, but is not limited to the following:

- Representative of the Ministry of Finance and Economic Planning
- Representative of the Ministry of Water Resources, Works and Housing
- Representative of the Ministry of Local Government and Rural Development
- Representative of the Regional Coordinating Council
- Representative of the Funding Agency
- Representative of the National Development Planning Commission
- Chief Executive of the Community Water and Sanitation Agency
- Regional Director(s) of the Community Water and Sanitation Agency

Where there is more than one project in a region, the possibility of a joint PSC shall be explored. The Chief Executive of CWSA serves as the Chairperson of the PSC and convenes meetings at least twice a year.

### **6.2.8 Regional Co-coordinating Councils**

The RCC is the administrative and coordinating policy making body at regional level. Among others, the RCC:

- Co-ordinates, monitors and evaluates the performance of MMDAs in the region.
- Monitors the use of all funds allocated to MMDAs by any agency of the central government.
- Constitutes the Regional Tender Board for approval of district-level projects, which are above the procurement approval threshold of the MMDAs.

The Regional Planning and Coordinating Unit (RPCU) acts as the secretariat of the RCC and is responsible for coordinating, monitoring, evaluating and reporting on all district development plans and activities. The RCC provides overall management guidance, coordinates project execution at the regional level, and provides feedback to the PSC. The RCC is also responsible for the appraisal of MMDA performance, based on joint monitoring and evaluation reports submitted by the RPCU and the CWSA Regional Office.

### **6.2.9 Environmental Protection Agency**

The EPA reviews Strategic Environmental Assessment (SEA) and Environmental Impact Assessment (EIA) reports related to water supply and sanitation projects, and where needed, issues the required permits. The EPA monitors the implementation of environmental and social management plans designed to mitigate the effects of projects on the environment to ensure environmental and social compliance.

### **2.11 Contributions for Operations and Maintenance**

Through TAs, community awareness on the need to raise funds towards O&M of water and sanitation facilities is created. The community may raise funds through initiatives such as levies, harvests etc. Community efforts in raising contributions are judged to be satisfactory when decisions reached are community-led, and accepted. Monitoring of community development activities are carried out by communities with the assistance of the District Works Department and TA, where relevant.

### **2.12 Completion**

All completed works are inspected by the TAs and certified as completed by the beneficiary community/the MMDA and the CWSA Regional Office before a final payment to the contractor is made. A last payment certificate is signed by the TA, MMDA and CWSA Regional Office, as provided for in the contract document. A completion report is signed by the community (represented by the gender-balanced WSMT), indicating that the completed works and community development activities have both been delivered satisfactorily. These two documents, duly signed, shall be produced by the contractor before the final payment is made.

The duration of the defect liability period is determined for each contract, and shall preferably cover at least one year after facility is delivered and becomes operational; especially for water supply projects. Contractual clauses on defect liability will be applied. Monitoring for defects during the defect liability period is carried out jointly by the MMDA, TA, CWSA Regional Office and the beneficiary community. The contractor is duty bound to rectify all defects detected during the liability period, in accordance with the contract.

### **2.13 Operations and Maintenance of Rural Communities (point sources)**

Operations and maintenance of point sources are responsibilities of the WSMT. Back-stopping technical services, however, may be provided by the private sector, the MMDA and the CWSA Regional Office. Support services may include:

- Refresher/tailored training activities for communities in the operations and maintenance of facilities.
- Guidance/coaching on financial management.
- Ensuring the availability of pump spare parts in the system.
- Refresher training activities for area mechanics.

### **2.14 Operations, Maintenance and Management of Small Towns Water Systems**

The Water and Sanitation Management Team (WSMT) are responsible for the management of small towns systems. The WSMT derives mandate from the MMDA's formal recognition,

<sup>1</sup> Refer to the [Small Communities Operations and Maintenance Guidelines](#) for further details on O&M

adoption of model bye-laws and inclusion of beneficiary community to the bye-law schedule of the Assembly. The WSMT with support from MMDAs and CWSA may contract out operations and maintenance of systems to private sector firms. This is particularly so in the case of repairs and maintenance works that requires specialised skills.

The WSMT shall employ operating staff for day-to-day operations and shall supervise their activities. Typical operating staff includes the:

- Systems Manager
- Technical Operator who may double as a plumber
- Accounts Officer
- Revenue Collector
- Security Personnel
- Vendors, who are paid on a commission basis (usually 20% of sales)

### **2.15 Post-Construction**

Monitoring and support activities are carried out by the MMDA, which receive long-term support from the CWSA Regional Office; this arrangement is institutionalised through provisions in the MMDA's and CWSA Regional Office's annual plans and budgets. The Local Government Service Secretariat, in turn, monitors the activities of MMDA personnel to ensure that they are playing their roles as required. Efforts are made to ensure that all facilities provided are operated optimally through their design life and beyond. The MMDA ensures that the operational status of each facility is checked quarterly and updated in the DiMES.

Additionally, a two-year post-construction period is included in the project cycle to strengthen the sustainability arrangements for facilities constructed. The two-year post-construction period includes a one-year defect liability arrangement, during which TA on the project maintains a complement of technical and software personnel. The overall objectives of the post-construction phase are to: further strengthen the capabilities of the DWD and the WSMT in the operations, maintenance and overall management of the water supply and sanitation facilities; and enhance institutional linkages for the efficient management of installed facilities. Prior to post-construction, however, the community is already being mobilised by TAs through training activities and intensive hands-on support. These are implemented by the community, the MMDA, the CWSA Regional Office, and TA.

The MMDA, as the legal owner of the water supply and sanitation systems, takes the lead in ensuring that activities undertaken during the post - construction phase are implemented, as required and in accordance with national standards and guidelines for the operations and maintenance of all installed facilities. Key responsibilities of the MMDA include the following:

- Develops policy guidelines for handling matters related to recruitment, training, promotion, remuneration, discipline, arbitration and petition within the Service.
- Sets performance standards for MMDA and RCC compliance in carrying out their functions/ duties.
- Monitors and evaluates the performance of MMDAs and RCCs in relation to the set standards.
- Develops and co-ordinates personnel plans and assesses the personnel needs of MMDAs and RCCs, in consultation with the respective Assemblies and coordinating councils.
- Develops and co-ordinates training implementation plans of MMDAs and RCCs, in consultation with the respective Assemblies and coordinating councils..

### **6.2.5 Ministry of Finance**

The MoF is responsible for the allocation of resources to the sector for water supply and sanitation interventions, and sources funds from Development Partners on behalf of the Government. Disbursements made by the MoF are based on Government of Ghana (GoG) procedures. The Ministry ensures the transfer of funds to appropriate entities for project implementation based on the appropriate statutory arrangements. The MoF also ensure that GoG budgetary allocations for projects are released.

### **6.2.6 Ministry of Education**

The MoE is responsible for the overall programme design, planning, implementation, monitoring and management of education in the country. In the water sector it assists in the implementation of the Schools Health Education Programme (SHEP) component of water supply and sanitation projects. Detailed roles and responsibilities are outlined in the SHEP Manual.

### **6.2.6 Development partners**

Development partners (DPs) are multi-lateral and bilateral institutions/ organisations that support in the implementation of the NCWSP perform the following functions:

- Provides financial and material support for NCWSP implementation.
- Participates in policy dialogue and lessons sharing.
- Provides technical assistance to the MWRWH, MLGRD, CWSA and MMDAs.
- Participates in monitoring and evaluation studies on thematic issues.



## 6.2 Roles and Responsibilities

### 6.2.1 Ministry of Water Resources, Works and Housing

The MWRWH is responsible for the general co-ordination of the water sector. It provides the policy framework for the smooth operation of activities within the sector, and oversees and monitors relevant sector organisations, amongst which are the Ghana Water Company Limited, the WRC and the CWSA. Also, the Ministry, in collaboration with the Ministry of Finance (MoF), is responsible for mobilising funds for water supply and sanitation provision from national and international financial sources.

The Water Directorate is the Government of Ghana's (GoG) apex body responsible for water sector policy harmonisation, and sector-wide monitoring and evaluation of policy outcomes. It provides the lead for sector co-ordination through the Water and Sanitation Sector Working Group, within the MWRWH.

### 6.2.2 Ministry of Local Government and Rural Development

The MLGRD is responsible for developing policies and legislation with respect to the operations of MMDAs. It supervises monitors and provides the environment for the audit of MMDA activities. Since the MMDA plays a pivotal role in project implementation, effective collaboration with the MLGRD to support project planning, implementation and sustenance of the national development programme.

The Environmental Health and Sanitation Directorate (EHSD) of the MLGRD has oversight responsibility for environmental sanitation. The Directorate's mandate covers the following, among others:

- Coordinates environmental sanitation policy and defines strategies for policy implementation.
- Acts as the secretariat of the National Environmental Sanitation Policy Coordinating council (NESPoCC).
- Develops guidelines for environmental sanitation and supervises MMDAs in implementing projects.

### 6.2.3 Local Government Service Secretariat

The LGSS supports the Local Government Service Council in undertaking its functions. Among others, the LGSS:

- Coordinate and monitor post-construction support to the WSMT.
- Review and approve tariff.
- Review of management reports and take appropriate corrective action.

Additionally post-construction activities further strengthen capacity of the stakeholders during the initial stages of operations of a water supply system which is a critical period.

The specific objectives of the post-construction phase are to:

1. Monitor and evaluate, on a regular basis, the performance of all stakeholders involved in the management of the facilities (WSMT, area mechanics, DWST, School Health Committees, etc.).
2. Ensure that the community, the WSMT and operating personnel have a practical feel of the theory that they have been trained on, during the mobilisation phase.
3. Provide hand-on support to stakeholders, especially during the first few months of facility use, and strengthen their capacity in relevant areas to effectively manage the facilities.
4. Deepen a maintenance culture amongst key stakeholders (e.g., DWD, WSMTs, area mechanics, spare parts dealers, etc.) to ensure effective maintenance of facilities.
5. Draw methodological and technical lessons to enrich future project formulation.
6. Create linkages and relationships among communities, spare parts dealers, area mechanics and private sector providers to assist in ensuring the sustainability of facilities.
7. Sustain improved hygiene behaviour.

Activities carried out in small towns during post-construction period include:

- Start-up meetings to finalise arrangements for O&M and the signing of FMPs.
- Finalisation of management contract arrangements, and resolution of problems if any.
- Regular visits to the WSMTs to directly follow up and support the management of systems.
- "On-call" support in case of emergencies.
- Liaison between WSMTs, MMDAs, and the private sector for the resolution of any issues.
- Tailored training of relevant stakeholders to address any issues arising from the monitoring visits.

Activities carried out in rural communities (point sources) include:

- Quarterly monitoring and evaluation of the performance of the District Works Department (DWD) and area mechanics regarding their support to beneficiary communities.
- Quarterly monitoring visits to the WSMT (or to sample them if too many) by the DWDs and Environmental Health Assistants (EHAs), with support from the CWSA Regional Office and TA.
- Follow up and evaluation of the performance of the WSMT based on data collected during monitoring visits.

- Tailored training of relevant stakeholders to address any issues arising from the monitoring.

In both cases, a final report highlighting issues and lessons from experience is prepared and fed in the overall project completion report.

The post-construction period up shall be the responsibility of the Technical Assistance, with support from the CWSA Regional Office. The DWD of the MMDA monitors activities during the post-construction phase, for which it will require financial support from the project fund. The post-construction plan and budgets shall determine the amount that has to be transferred to the MMDA to enable its staff to effectively carry out monitoring activities.

### 2.16 Auditing

Auditing is managed internally by the MMDA and CWSA Regional Office. Internal auditing covers the technical, physical, social and financial aspects of the project. External auditing is carried out by private sector firms, contracted by CWSA or the responsible funding agency. Community contributions are also subjected to an audit.

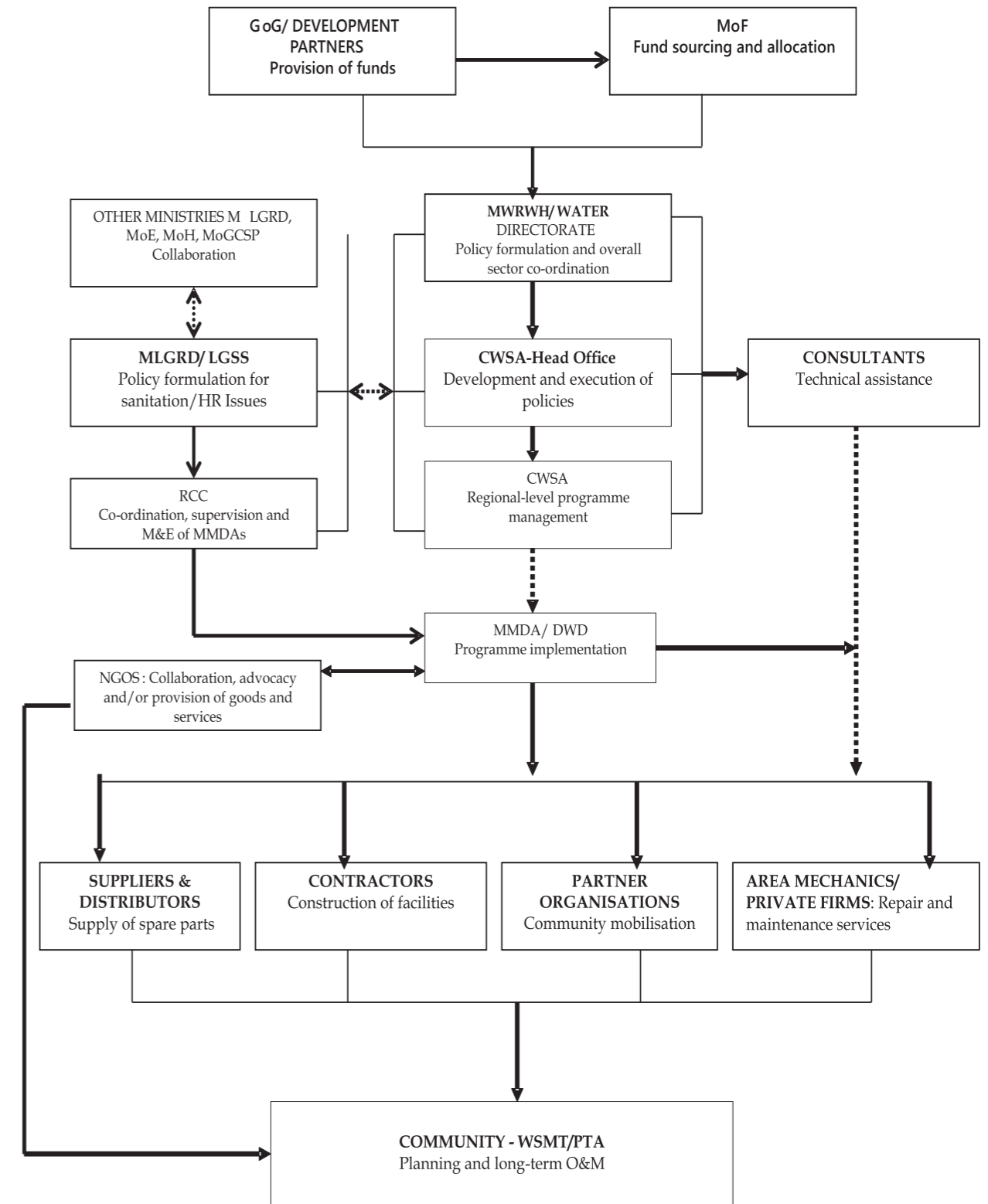
### 2.17 Monitoring and Evaluation

Monitoring and Evaluation (M&E) is an ongoing process carried out by the community, MMDA, RCC, the CWSA, and other stakeholders. The CWSA, in consultation with the Ministry of Water Resources, Works and Housing/Water Directorate and the National Development Planning Commission (NDPC) contract out special evaluation and impact assessments related to national targets.

## 6.1 Institutional Arrangement

Figure 2 illustrates the NCWSP's institutional arrangements and relationships.

Figure 2: NCWSP INSTITUTIONAL ARRANGEMENT



## 6 IMPLEMENTATION ARRANGEMENTS

Implementation of Community WASH projects is undertaken by various stakeholders in the public and private sectors. Public sector stakeholders include: the Environmental Health and Sanitation Directorate of MLGRD; the Local Government Service Secretariat; Metropolitan, Municipal and District Assemblies; Regional Co-ordination Councils; Community Water and Sanitation Agency; Ministry of Water Resources, Works and Housing; the Environmental Protection Agency; Water Resources Commission; etc. Private sector stakeholders include NGOs, consultants, contractors, partner organisations, area mechanics, toilet artisans and spare parts providers, among others, to provide goods and services. Other stakeholders include development partners at the national level, and the beneficiary communities at the local level. All projects are implemented in accordance with the principles of the NCWSP.

## 3 SANITATION AND HYGIENE

### 3.1 Hygiene Education and Sanitation strategy

CWSA carries out sanitation and hygiene interventions in close collaboration with the Environmental Health and Sanitation Directorate (EHSD) of the Ministry of Local Government and Rural Development (MLGRD). These interventions aim to ensure ownership and sustainability by investing in community mobilisation activities towards the creation of a congenial environment for households to invest in hygiene and sanitation and to assist communities to obtain an Open Defecation Free (ODF) status. The long-term vision of Hygiene Education and Sanitation (HES) promotion is to eliminate subsidies for household toilets and improve the health conditions of beneficiary communities through sustained behavioural change. Where needed, capacity of the private sector to construct sanitation facilities is strengthened to benefit households with an interest to construct sanitation facilities and take their household members “higher up” the sanitation ladder.

Hygiene education and sanitation promotion focuses on the following:

- Safe confinement and disposal of excreta and other household/community waste materials.
- Safe handling and use of water.
- Personal, domestic and environmental hygiene.
- Regular hand washing with soap, particularly before and after “critical times” (e.g., before handling food, after defecation, etc.).

Hygiene education and sanitation promotion employs the following strategies:

- Community-led Total Sanitation
- Aggressive social marketing
- Establishment of sanitation markets
- Extensive hygiene promotion
- Credit schemes for sanitation
- Support for appropriate technology development
- Deepening collaboration with relevant institutions
- Documentation and promotion of best practices

The main targets for hygiene education and sanitation promotion are community members and institutions like schools and clinics. Before HES promotion commences, detailed baseline studies in a beneficiary community are carried out during the inception stage of a project. Baseline studies include an assessment of a beneficiary's water and sanitation situation, socio-economic conditions, and knowledge, attitude, practices and beliefs on hygiene and sanitation. These provide insight into the factors that motivate and/ or hinder a beneficiary's adoption of good hygienic practices and use of toilets. It also forms the basis for the development of Information, Education and Communication (IEC) materials, and a communications strategy for behavioural change. Results of baseline studies are used to monitor the effectiveness and impact of HES promotion.

For HES promotion, district and community-based monitoring of activities and outcome goes beyond the project implementation period, and is found in the remit of the Environmental Health Officer, in conjunction with the District Works Department (DWD).

Hygiene education and sanitation promotion is carried out continuously by trained WSMTs and other key actors at community level: men, women and children. Promotional activities utilise participatory approaches and tools in collaboration with Environmental Health Assistants (EHAs) and School Health Co-ordinators; to facilitate observance of personal, domestic and environmental hygiene in the community. Vigorous promotion of sanitation employing community-led total sanitation approach and social marketing techniques are complemented with the establishment of sanitation markets based on the sanitation ladder.

### **3.2 Steps for Hygiene Education and Sanitation Promotion in Communities**

Hygiene education and sanitation promotion follows the step-wise process below.

- Baseline studies
- Information, Education and Communication (IEC) development
- Training of key actors (WSMTs, toilet artisans, EHAs, community-based organisations)
- Construction of sanitation markets (Sanimarts)
- Sensitisation and awareness creation
- Toilet construction based on community preferences/sanitation ladder
- Follow up activities (e.g., for communities, MMDAs)

### **3.3 The Institutional Toilet Programme**

The institutional toilet programme for schools and clinics adopts an integrated approach and is in line with the goals and objectives of WASH interventions and forms part of the community project proposal. In addition to households, targeted beneficiaries include basic schools and community-based health facilities. The CWSA collaborates with the MMDA, Ghana Education Service (GES) and a Parent Teacher Association (PTA) and/ or a Health Management Committee to implement the institutional toilet component.

Institutional beneficiaries, e.g., schools and clinics, are responsible for the operations and maintenance of toilets delivered by the Institutional Toilet Programme.

### **3.4 Institutional Toilet Programme Cycle**

An institutional toilet programme is implemented following the step-wise process below.

- Promotion (targets communities and staff of beneficiary institutions).
- Pre-selection of beneficiary institutions by the MMDA, in collaboration with GES and the District Health Directorate.
- Formation and training of Health Committees for beneficiary schools and clinics.
- Preparation of WASH Project proposal.

### **5.3.5 Learning Alliances**

Ghana's National Level Learning Alliance Platform (NLLAP) is a collaborative learning platform that brings sector stakeholders together to share and learn from each other about:

- The status, challenge and solutions in the WASH sector.
- New and emerging thinking, approaches and technologies that enhance performance and effectiveness in the sector.
- Strategies for improving practice and influencing policy towards sustainable services delivery.

CWSA plays an important role in the NLLAP and supports the Resource Centre Network in facilitating knowledge sharing in the sector. The CWSA Regional Offices also play a lead role in establishing and facilitating the Regional Level Learning Alliance Platform (RLLAP) by encouraging the MMDA, NGOs and other sector stakeholders to contribute and share knowledge.

### 5.3.3 Information Sharing and Advocacy

Effective communication is essential to the attainment of NCWSP objectives and outcomes. Communication strategies are most effective when they are designed according to their target audience, and are deployed using a mix of methods. These include, but are not limited to:

1. Interpersonal communication training aimed at strengthening/ improving the capacity of relevant actors.
2. Presentation of standard messages using print and electronic media, such as billboards, posters, site-signs, flyers, brochures, TV and radio programmes, and other learning materials.
3. Forms of community-based media, such as folk songs, drama, poetry, storytelling, etc.

Advocacy is undertaken in/through national conferences, public speeches, lobbying, special events, seminars, field visits, news coverage, video documentaries, articles, television and radio programmes, and special publications. Political leaders, opinion leaders, social groups, media, celebrities, and development partners are the focus of advocacy work and themselves, are agents of advocacy. A budget item for information sharing and advocacy needs shall be built in budget proposals.

### 5.3.4 Good Governance and Participation

Empowerment of local-level actors (unit committees, area/town/urban councils, WSMTs, etc.) to effectively participate in development processes, and take charge of the sustainable management of systems is a core component in the Government's overall programme for good governance. Good governance at the local level is practised when:

- Water supply and sanitation planning and decision making employ a participatory and inclusive approach where gender issues are mainstreamed.
- Accountability mechanisms are set in place to manage all resources, at all levels, for the purpose of equitable and sustainable development.
- Transparent and accountable leadership is practised and facilitates the deepening of local-level democratisation processes.
- NGOs and other civil society actors collaborate with government in development and their capacity to serve as partners in development is enhanced.
- Conditions for greater gender equity and inclusion of the physically challenged and other socially excluded groups are built in a project.
- Appropriate conflict resolution processes and mechanisms are instituted.
- Transparency through adherence to the provisions of the National Procurement Act, 2003 (Act 663) and existing financial arrangements.

- Appraisal and approval of WASH Project proposal.
- Training and hygiene education.
- Contracting, construction and management training.
- Monitoring and evaluation.

School PTAs, the Ghana Education Service and health authorities play important roles in the project cycle activities, in conjunction with the MMDA and CWSA Regional Office. The CWSA Regional Office, in collaboration with the directorates of Education and Health, trains Head Teachers, School Health Co-ordinators and staff of clinics on relevant knowledge and skills related to hygiene education and sanitation. Trained School Health Co-ordinators, in turn, cascade learning to other teachers and pupils.

### 3.5 Technology Options for Sanitation

A broad range of technology options for sanitation, ranging from basic pit latrines to water closet facilities, is found in the sanitation ladder. Participation in the baseline studies expands possibilities for households and schools to make an informed decision on their sanitation facility of choice. Decisions are made in accordance with the sanitation ladder, and the level of affordability established by the baseline studies: the beneficiary community's ability to pay. Other considerations include: the design of sanitation facilities (*take into account the needs of specific groups, such as women, physically challenged etc.*); the choice of materials (*The use of locally available and traditional building materials shall be promoted*); etc.

A beneficiary institution is equipped with the appropriate technical designs and communities shall have trained and certified artisans familiar with the sanitation ladder.

### 3.6 Social Marketing and Community-Led Total Sanitation Approach

The focus of HES is to bring about behavioural change. In the short term, HES promotion ensures that beneficiary communities attain and sustain their ODF status. To aid in HES promotion in small towns, social marketing strategies are employed. In relatively smaller communities, a Community-Led Total Sanitation (CLTS) approach is adopted.

### 3.7 Credit Schemes for Sanitation in Small Towns

The MMDA and WSMT may opt to make credit (from their own resources) available for households and groups of individuals within their area of jurisdiction. Should this be the case, the beneficiary community is informed about the availability of credit during project promotion by the TA.

Individuals may come together to form voluntary work groups and assist each other (Nnoboa) to take turns in the construction of toilets. Trained artisans may promote their services to individuals/groups who in turn, contract the former to build or upgrade their facilities.

### 3.8 Capacity Building for Toilet Delivery

To ensure the vigorous promotion and marketing of sanitation, the MMDA ensures that DWD/ DWST, Town/Area Councils, Unit Committee members, WSMT members, EHOs, EHAs, toilet artisans and natural leaders receive training to equip them with skills and knowledge to promote sanitation. Training activities focus on social marketing, CLTS, construction of a range of sanitation technology options, management of Sanimarts, and entrepreneurial skills development. Refresher training courses for toilet artisans are also given.

In training, toilet artisans are encouraged to form groups and elect their representative(s) whose task will be to consolidate individual household requests, and serve as the focal point for business transactions with the WSMT, the Area Council and the MMDA. Small firms that employ a number of artisans are also eligible to participate. Natural leaders will be supported to enhance their capacity and shall be used to trigger nearby communities after their communities have attained ODF status.

The TA supervises the construction of facilities and ensures that the facilities delivered conform to design standards and specifications. The DWD/ DWST and WSMT, with support from the CWSA Regional Office monitor and ensure the quality of the construction.

### 3.9 Establishment of Sanitation Markets

To promote the construction and sustainability of household toilets and behavioural change towards more hygienic practice, Sanimarts may be established by projects. The TA, in collaboration with the beneficiary community and the DWST, launches Sanimarts as part of their awareness creation programme.

Sanimarts provide information on appropriate toilet technology options for local conditions, and describe the function, construction processes, hygienic use and costs of each technology option, based on different materials. Sanimarts also showcase constructed facilities or models in accordance with the sanitation ladder and serve as resource centres for training artisans forge links between households and artisans; and provide advice on how to move up the sanitation ladder. Where needed, Sanimarts may produce promotional flyers as give-aways for its patrons.

Sanimarts are generally located in places that are easily accessible to all people in a given catchment area, preferably within the premises of the WSMT office in small towns. A resource person sits in each Sanimart to facilitate the community's easy access to information.

### 3.10 Hand washing with Soap

All HES projects incorporate hand washing with soap in their promotion activities at all levels (national, regional and local) and at all stages of the project cycle. Engaging in partnership with mass media, direct consumer contact and district level programmes in schools, health centres,

MMDAs, District Officers of EPA, and other agencies/projects implementers, including NGOs and CBOs, to deepen awareness on environmental conservation and good environmental management practices.

### 5.3.2 Gender Issues

At all levels of a project cycle, gender issues must be institutionalised. Emphasis is placed on equal participation between men and women, in groups where community decisions on WASH projects and their related activities are made. A gender-sensitive approach in dialogue and decision making ensures that community decisions account for the different priorities and interests of both sexes. This is especially important in areas where cultures are traditionally male dominated, and where female assertiveness is generally frowned upon.

Effective gender-balanced representativeness and involvement in all stages of the project cycle requires vigorous sensitisation of all stakeholders to gender-based stereotypes. Other traditionally excluded groups, such as the physically challenged, the poor, elderly and other minority groups shall also be targeted.

All actors in project implementation, the community, the MMDA, RCC, CWSA, NGOs, private sector providers of goods and services etc., receive an orientation on gender issues. Actors are expected to bring their new-found awareness of gender issues to bear on all community level activities. Some gender-sensitivity activities for implementation at community level include:

- General community education on gender during the mobilisation phase.
- Special training for female WSMT members.
- Adoption of gender-sensitive methods in decision making throughout the project phases, such as:
  - i Organising meetings at times and in places that are convenient for both women and men.
  - ii Making a special effort to inform women of meetings and encourage them to attend.
  - iii Organising separate meetings for men and women to address their needs and concerns, and incorporating their separate views in final decisions.
  - iv Ensuring that there is at least 40% female representation in WSMTs, and that members are selected democratically.
  - vi Ensuring that women hold executive positions in WSMTs.
  - v Ensuring that women and men equally participate in both technical and social aspects of projects (designing and siting of facilities, operations and maintenance).
  - vii Accounting for possible differences between men and women in designing plans and training programmes.

Indicators, based on the above and other gender factors, form as the basis for assessing the effectiveness of gender mainstreaming.

#### Staff training

- Development and reproduction of training materials
- Sector collaboration and co-ordination efforts
- Research and development studies
- IEC campaigns
- Monitoring and evaluation

#### 5.2.3.2 Training/Orientation

New personnel of CWSA receive orientation on the National Community Water and Sanitation Strategy (NCWSS), the Project Implementation Manual (PIM), District Operational Manual (DOM), standards and guidelines, and other CWSA documents. Orientation to CWSA procedures and operations enable new personnel to:

1. Gain a thorough understanding of the NCWSP, its objectives, strategies and scope, with special emphasis on the demand-based nature of WASH sector activities, procurement methods, financial management, monitoring and evaluation and reporting arrangements.
2. Recognise and develop a commitment to their role as facilitators and resource persons.
3. Identify other major stakeholders and analyse their roles, relationships, investments, expectations, and patterns of communication and power relationships.

### 5.3 Cross-Cutting Issues/Special Considerations

#### 5.3.1 Environmental and social measures

Environmental measures are incorporated into all project activities to ensure that activities do not harm the environment. All facilities are expected to be designed, constructed and operated in accordance with the environmental standards of the Environmental Protection Agency. Where necessary, an Environmental and Social Management Framework is prepared and disclosed to all stakeholders at the commencement of any new project or intervention. Measures to protect persons and the environment are paramount and shall be put in place. All interventions are expected to identify potential persons most likely to be affected by the project. Where necessary, a resettlement or compensation programme accompanies any project that have a negative, but unavoidable, impact on persons and their livelihoods.

All projects must ensure appropriate facility siting, adequacy of construction standards, water source protection, water quality in accordance with the Water Safety Guidelines, adequate wastewater disposal, community orientation and training on environmental issues and hygiene education to ensure the effective use of facilities.

Depending on the scale of an intervention, an Environmental Impact Assessment (EIA) is conducted. An EIA permit may be obtained from the Environmental Protection Agency (EPA). Technical Assistance agents working with communities collaborate and coordinate with

and communities is helpful in creating awareness on the practice and benefits of hand washing. It is a must for all sanitation facilities to incorporate hand washing facilities.

#### 3.11 HIV/AIDS

HIV/AIDS-related awareness-raising activities are to be incorporated in hygiene education and sanitation promotion programmes. HIV prevention, as well as care for people living with AIDS, through awareness creation - orientation, training, and other activities - shall be organised at all stages of project implementation. Area mechanics, partner organisations, the WSMT, caretakers, Unit Committees, the DWST, toilet artisans, etc. may help cascade information and create awareness in communities. HIV/AIDS as a topic of concern is also included in the schools programme to equip the youth with knowledge on HIV/AIDS prevention.

## 4 SUSTAINABILITY AND SERVICES DELIVERY

Water and sanitation services delivery in rural communities and small towns shall be sustained over the design life and beyond. To ensure a sustainable approach in delivering water supply and sanitation services, national standards and guidelines are to be followed at all stages of a project cycle.

CWSA's District Monitoring and Evaluation System (DiMES) has indicators focusing on systems, structures, procedures and practices in place in accordance with the national standards, guidelines, manuals and bye-laws for overall management of any water supply system: from planning, to actual implementation and management, operations and maintenance (O&M), and monitoring and evaluation. The framework for assessing and monitoring rural and small town water supply services by CWSA is used in monitoring management of piped systems and boreholes fitted with handpumps are as follows:

- Service delivery;
- Community mobilisation and planning;
- Management and governance;
- Financial management;
- Operations and maintenance; and
- Enabling environment.

### 4.1 Service Delivery

Service delivery indicators assess the level of service delivered in a community, district, region or country. They measure the quality and quantity of water services provided, in line with CWSA standards and guidelines. These are:

- Amount of water per person per day (each person in a served community receives a minimum of 20 litres of water per day; for small towns with house connections, a minimum of 60 litres of water per day is the standard).
- Walking distance to a water facility (does not exceed 500 metres, from the farthest house in the community).
- Number of persons served by facility (each spout in a standpipe of a piped scheme serves no more than 300 persons; a hand-dug well with a hand pump serves no more than 150 persons).
- Performance of facility (provides all year round potable water to the community).

### 4.2 Community Mobilisation and Planning

Community mobilisation indicators measure technical assistance in project proposal formulation. These are:

- Type of technical, financial and environmental guidance extended to a beneficiary

### 5.2.1.1 Training

LGSS, in collaboration with the CWSA Regional Office facilitates the implementation of MMDA skills development programmes. Training themes are set by the CWSA Regional Office, in collaboration with the MMDA, and are linked to sector policies and guidelines. Training for MMDA personnel, specifically for the DWD, is based on a needs assessment, is tailor made, and complements other ongoing MMDA capacity-building programmes. Skills development training covers the following: project management, contract management, procurement, financial management, team building, gender, environmental and social management, and monitoring and evaluation of water supply, sanitation and hygiene facilities and services delivered.

### 5.2.1.2 MMDA Project Management Support

Personnel of the MMDA involved in water supply and sanitation receive dedicated project management grant to enable them to bear the extra costs of project implementation. These costs generally cover the expenses of hiring of consultant(s) who perform technical audits, update DWSPs, support in post-construction activities, etc.

## 5.2.2 Private Sector and NGOs

### 5.2.2.1 Logistical Support and Funding

Private sector entities and NGOs receive sponsorship to participate in thematic group meetings, technical fora, sector review meetings, etc. Appropriate incentives for the private sector are explored to facilitate the long-term availability of spare parts, and the sustainability of a distribution system. The MMDA identifies and supports credible private sector entities, and where necessary, provides them with seed capital to stock and distribute spare parts at district level.

### 5.2.2.2 Training/Orientation

Private sector training/orientation in WASH is carried out by the CWSA Regional Office, with support from the LGSS. Skills development and training on new techniques is offered to toilet artisans, area mechanics, small towns system operators, TA agents, etc. Consulting firms, contractors and TAs receive orientation on project implementation, where necessary. Training modules, themes and Terms of References (ToRs) of private sector training are based on a needs assessment.

## 5.2.3 Community Water and Sanitation Agency

### 5.2.3.1 Funding

Funds are provided by Government to strengthen the CWSA in the performance of its functions. CWSA (Regional and Head Offices) access funds through the annual work plan and budget process. The following activities are funded in support of CWSA strengthening:



## 5 SECTOR STRENGTHENING

Sector strengthening activities build on the capacity of relevant stakeholders on effective and sustainable planning, management, and implementation, through training and providing financial and logistical support. Sector strengthening is coordinated with the Local Government Service Secretariat (LGSS).

### 5.1 Objectives

Capacity of stakeholders is strengthened to ensure that WASH activities are undertaken in an effective, efficient, and sustainable manner. Specific objectives are to:

- Support communities in the management of their water and sanitation facilities.
- Create an enabling environment for the private sector/NGO to act as service providers.
- Strengthen project management capacity of public sector agencies.
- Provide logistical support and training to relevant stakeholders.
- Provide relevant start-up equipment and material support to the private sector (e.g., area mechanics and toilet artisans), where required.

### 5.2 Method of Implementation

Sector strengthening is implemented in a participatory manner for optimal efficiency and effectiveness. Support and training is provided on a needs basis to enable training recipients to effectively perform their roles. Efficient use of resources is made possible through an assessment of resource needs.

In general, sector strengthening activities benefit the following:

- The MMDA, which is responsible for the day-to-day delivery of Community WASH Project activities.
- Private sector and NGOs who provide WASH services to the sub-sector
- The CWSA, RCPUs and development partners, which carry out joint regional-level monitoring and evaluation.

#### 5.2.1 Metropolitan, Municipal and District Assemblies

The CWSA Regional Office provides technical assistance to all participating MMDAs, and the relevant units that support MMDAs in Community WASH Project implementation, such as the District Planning and Co-ordination Unit, DWD and EHAs, for institutional strengthening.

The CWSA Regional Office, in collaboration with the LGSS, with funding from Government of Ghana, Development Partners and NGOs, provides forms of financial assistance, where required, for: DWD office set up, office equipment, transportation (pick-ups/motor bikes), staff training, etc. Provision of support is organised in a manner that ensures avoidance in effort duplication and resource wastage.

community, allowing them to make an informed choice on preferred service level.

- Extent of community participation in monitoring construction activities.

### 4.3 Management and Governance

Management and governance indicators assess the effectiveness and efficiency of management structures set in place for piped systems and/or hand pumps. Specifically, they examine the constituency and work of the appointed WSMT in a community. These are:

- Gender-balanced representativeness of the WSMT.
- WSMT formation compliance with national guidelines.
- Number and frequency of training and re-training received by WSMT members, in accordance with national guidelines.
- Practice of records safekeeping and information sharing/communication (e.g., technical, administrative and financial records are safe kept and shared with community twice a year and/or posted on community notice boards).
- Number and frequency of WSMT meetings, and information sharing practice (e.g. quarterly meetings with records of meetings made accessible to community members).

### 4.4 Financial Management

Financial management indicators ensure that water supply and/or a borehole system is managed in a manner that is financially sustainable. These are:

- Tariff setting practice (is in accordance with CWSA national standards and is approved by MMDA and reviewed periodically).
- Annual income from water sales (exceeds total annual expenditure).
- WSMT records keeping and transaction practice (records are filed accordingly and a bank account is in operation).
- WSMT reporting procedure (accounts are audited annually).

### 4.5 Operations and Maintenance

Operations and maintenance of a water supply system in a rural community or small town are expected to be undertaken in accordance with CWSA national standards and guidelines.

#### For small towns, O&M indicators are as follows:

- Budgets (a WSMT's annual work plan is provided with sufficient budget for O&M).
- Training (personnel undertaking O&M of a water supply system receive adequate training and/or re-training).
- Documentation and procedure (O&M manuals exist for each system, and systems are operated and managed accordingly).
- Water quality safety assurance (sampling and analysis is undertaken periodically as required, and remedial measures are taken when required).
- Private sector involvement (private sector support is available for repairs of components beyond the capacity of operating staff for pumps, control boards, transformers, etc.).

**For rural communities (point sources), O&M indicators are as follows:**

- Spare parts availability for hand pumps (available when required).
- Personnel training and maintenance response (area mechanics are trained and are available to undertake periodic maintenance of hand pumps).
- Water quality safety assurance (sampling and analysis is undertaken periodically as required and remedial measures are taken when required).
- Existence of environmental and hygiene action plans (prepared by WSMT).

**4.6 Enabling Environment**

For communities to manage their systems satisfactorily, strong back-up support from the MMDA - as the legal owner of water supply systems - is required. Enabling environment indicators examine the MMDA's role in ensuring that all communities and towns in their area of jurisdiction are well catered for in its plans and that O&M back-up support exists. Indicators include:

- Constitution and resource allocation (e.g., DWD is well constituted and resourced for monitoring water and sanitation activities within its area of jurisdiction).
- Data collection (e.g., DWD submits periodic Monitoring, Operations and Maintenance (MOM) data to the CWSA Regional Office for input into DiMES; CWSA Regional Office collates data and feeds into DiMES quarterly).
- National alignment (e.g., The MMDA's DWSP is made an integral part of the district's medium-term development plan, and is developed in line with NDPC/CWSA planning guidelines).
- Monitoring practice (e.g., DWD monitors O&M of water facilities in terms of financial, technical and administrative performance).
- Management and operations (e.g., bye-laws for WSMTs are in place and are enforced effectively; the MMDA assists beneficiary community in cases of major repairs, and borehole repairs in rural communities; NGOs implement water and sanitation activities in co-ordination with the MMDA).

**4.7 Technical Design Criteria for Water Supply**

Technical design criteria for water supply are set by CWSA in its technical standards and manuals. These standards apply to all water and sanitation projects in the rural and small town sub-sector in Ghana. For design purposes, towns are classified as follows:

- Small communities- 75-2,000
- Small towns - Category I- 2,001-5,000
- Small towns - Category II- 5,001-15,000
- Small towns - Category III- 15,001-30,000
- Small towns - Category IV- 30,001-50,000

<sup>2</sup> CWSA standards and guideline s may be accessed from volumes I-VI

The basic design standards of all water supply systems ensure that the following are achieved:

- Each person in a served community has access to a minimum of 20 litres of water per day.
- Walking distance to a water facility does not exceed 500 metres, from the farthest house in the community.
- Each hand pump or spout of a standpipe of a piped scheme serves no more than 300 persons.
- Facility provides all year round potable water to the beneficiary community.
- Water quality meets the drinking water standards of the Ghana Standards Authority.