

**Rural Water Supply and Sanitation
Project in Western Nepal (RWSSP-WN)**

**Completion Phase (Phase II)
Project Document**

Volume II Background Papers

March 2013

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Note to the reader:

Volume II of the RWSSP-WN Phase II Project Document contains background papers produced as part of project formulation during the second half of 2012. These papers have served as an input to the draft project document. During the appraisal of the draft project document and subsequent production of the final project document, information in these papers has not been updated.

Background paper 1. Purunde Village, Human Rights and Watershed Management

Purunde Village, in Ward 1 of Pulachaur VDC of Myagdi district provides a good example of two cross-cutting issues: human rights/social inclusion and watershed management and climate change adaptation/disaster risk reduction. The village has 88 households (all Dalits) and is an hour's drive above Myagdi's district head quarters Beni.

Reflection on Selection of Core VDCs

In spite of having high levels of water supply need, poverty and the socially most excluded groups (Dalits), this village's VDC (Pulachaur) was not included in RWSSP-WN, reportedly because it was 1. close to the district head quarters, and 2. having received assistance during the conflict years. As the weight of the nine different VDC selection criteria was equal (10%), "water supply needs" weighed only as much as 10%, while food security, income poverty, and excluded groups (which included also less excluded janjati) jointly weighed 30%, while a near-unmeasurable criterion (prevalence of discrimination) and the prevalence of vulnerable groups (conflict victims, orphans, etc.) diverted the selection process further away from "access to safe water supply", so that district level decision making was not about WASH, and some might have attempted to manipulate choices towards their preferred areas. RWSSP-WN ended up working in Arman VDC, a deserving VDC farther away from the district head quarters, but a relatively well-resourced and well-organised VDC, where various WASH programmes had worked before.

Lessons:

- a) give most weight to access to water supply access(50%?),
- b) give more weight to Dalits compared to Ethnic groups/Janjati (e.g. a ratio 3:1 will reflect the levels of disadvantage),
- c) eliminate criteria that can not be measured well,
- d) ensure availability of reliable WASH access data as basis for planning

Unserved or Dysfunctional?

Purunde is a good example of how the situation of Dalits has improved over the years and how difficult it is to distinguish between unserved and dysfunctional. Water supply facilities are shared with 29 Dalit families from Ward Number 2. Their source lies in a small 4 sqkm watershed. The first scheme they had built in the 1980s with external aid was dismantled by so-called high caste households living near the source, who dug up the pipes and made their own system from those materials. In those times, the caste system was still so strong that they were not in a position to make any protest. Nowadays, Dalits can openly protest incidences of injustice, but that does not ensure their access to water. Since then an NGO and the Red Cross have attempted to help them. A source lower down in rice fields 500 metres from the village is now used, where recently an intake was built with help of an NGO. Pollution with fertilizers is possible. The

system does not work well anymore, as new households (Brahmins and Chhetris) have to come to live on their own land near the source and inserted without consultation their own pipes in the same intake pipe, which has led to disturbance and blockage of the pipe leading to Purunde. As the newcomers live near the source they claimed equal water rights, even if it is at the cost of water supply access for Purunde village. As the newcomers form part of the local elite and the Dalits are not participating effectively in VDC level consultation or decision making mechanisms, their access to water supply might remain problematic for years to come. It is possible that more outsiders from higher up in the VDC will come to live near the source as they are attracted by both road and water access. They do not know how to counter this development because they have limited knowledge of how to ensure their rights, while they have little voice access in VDC decision making.

Lessons:

- a) A village that has been assisted three times might still be unserved,
- b) VDCs might not have the skills or the will to facilitate proper source agreements involving the whole watershed, ensuring a minimum quantity and share of water to villages like Purunde,
- c) Dalits and other disadvantaged groups often require extra assistance (subgroup formation, coaching) to ensure their awareness and skills regarding intra-VDC negotiations, water rights, source management.

ODF

Recently the number of toilets in Purunde has shot up from 19 (NGO-supported) to 85, thanks to the ODF-campaign run by the DDC and VDC. They were given a deadline of 8 months by the VDC, but when in spite of ODF-trainings, meetings and house-to-house visits hardly anyone had built a toilet by the 7th month, the VDC threatened to withhold all administrative and aid services from Purunde and within the 8th month the village had as yet 50 pucca toilets and 35 temporary toilets. Purunde is now ODF. A few did not have space to build a toilet and use others' toilets, others built a toilet above a water source, while one old man refused to use the same toilet as his grandchildren and used his own open toilet. One person said "it feels like we do it for others". The sustainability of ODF can be doubted.

Lessons:

- a) Use of force by the VDC leads to increased sanitation coverage, but not to sustainable 100% ODF, which especially in disadvantaged communities will need more time and more cycles of development.

Background paper 2. Gender Equality and Social Inclusion

This background paper serves as background to discussion about (rights to) access to WASH facilities and services in the project document. The categories of groups which face obstacles in accessing (opportunities to) adequate WASH facilities have been described in those chapters. This annex only focuses on gender and social exclusion impacts on isolated/remote communities or households, socially excluded caste & ethnic groups and women.

The project design should be based on assessments by RWSSP-WN and other projects of the effectiveness of equality and social inclusion activities in increasing WASH for women and socially excluded groups. Such assessments are however not available. Available data, monitoring as well as the GESI approach itself focus physical participation by DAGs and women in activities, not on how effective that participation was and whether it led to increased WASH access. See also the MTR comments on indicators and monitoring.

Why equality in participation and benefit does often not happen and what lessons different projects teach on how to achieve (more) equal access, is described in *Unequal Citizens, Volume II – Sectoral Perspectives on Gender Equality and Social Inclusion: Making it Happen, Chapter 8 Watersupply and Sanitation (Worldbank-supported)*. This is still an unpublished chapter of that document, and also this document focuses more on the project's intentions and on physical participation rather than on actual benefits, but it brings the various projects' lessons and approaches together to be used as basis for the approach described in the document. The full chapter should be compulsory reading for the project's staff. It will be published in Autumn 2012.

(Draft) Unequal Citizens, Volume II – Sectoral Perspectives on Gender Equality and Social Inclusion: Making it Happen, Chapter 8 Watersupply And Sanitation

This chapter is part of *Volume II – Sectoral Perspectives on Gender Equality and Social Inclusion: Making it Happen* and a complement to the updated *Volume I – Unequal Citizens*. The purpose of this chapter is twofold. First, it assesses the current situation of gender equality and social inclusion (GESI) in Nepal's water supply and sanitation (WSS) sector. It identifies the barriers faced by different groups in accessing WSS services and how the various policies, sector modalities and project mechanisms have worked to address them. Second, it provides practical guidance on how to improve existing responses and take further action for more equitable access to WSS facilities and services.

Nepal's WSS sector has evolved from a supply-driven, top-down approach to a demand-led, community-based participatory approach that encourages ownership and aims to improve project efficiency and sustainability. Yet despite significant progress, there are income, gender, caste, ethnicity and locational disparities in the level of access to WSS services of women and men from different social groups. Due to practices of untouchability, Dalits in particular experience structural barriers in accessing water. Sector figures show generally high coverage rates for all groups in accessing drinking water, but disparities in sanitation-service delivery exist, particularly between the rich and poor across social groups. Access to sanitation among the richest quintile is about 80 percent, while among the poorest quintile it is only 10 percent. Similarly, access to sanitation for Newars is 72 percent compared to only five percent for Madhesi Dalits. These figures also mask issues of water quality and functionality and, critically, the level

of equitable opportunities that women, the poor and excluded groups have to access, utilise and manage WSS facilities.

It is widely recognised that provision of WSS services needs to move beyond technical solutions: towards a more gendered and inclusive approach that considers existing power relations between men and women, and between social groups, and how these influence access to resources and participation in decision-making. Social- and poverty-mapping have emerged as good practices to promote and ensure equitable access to WSS facilities for all. Affirmative-action policies and efforts by projects/programmes such as the Rural Water Supply and Sanitation Fund Development Board (RWSSFBD), Community Based Water Supply and Sanitation Programme (CBWSSP), Small Town Water Supply and Sanitation Sector Project (STWSSSP) and Nepal Water for Health (NEWAH) have assisted women, the poor and excluded to access the sector's services and benefits, including paid jobs and training opportunities. Representation on WSS user groups and committees, which provide access to project information and decision-making processes, has improved for women and excluded groups, but their active engagement remains limited.

Sustaining equitable access to and utilisation of WSS facilities is difficult without addressing local power relations, political economy issues and deeply embedded social norms. Organisational preference to work in accessible areas, local political interests and a lack of systematic planning all have an impact on addressing genuine community demand. In addition, project staff face a dilemma between meeting the social goals of working with excluded groups and focusing on completing the project infrastructure within the stipulated timeframe. From the supply side, income, caste/ethnicity, language and location-based barriers also continue to constrain many Nepalis from benefiting from the sector. Mainstreaming GESI in the sector's regular work involves understanding and developing mechanisms for dealing with local power dynamics, ensuring that support organisations have the necessary skills and capacity, as well as creating downward accountability to the communities in which they are working. Social-empowerment approaches that build the capacity of women and excluded groups for social action need to be built into the mobilisation process. Policy guidance from the Government can also provide a common framework to ensure that certain GESI principles are applied by all sector actors.

Mainstreaming gender equality and social inclusion must be done at both the project/programme and organisational level. Today, key constraints for effective gender- and inclusion-responsive work in the sector include: the lack of diversity within the sector (currently, of 1,511 government employees in the DWSS, there are 94 percent men, six percent women, two percent Dalit, 61 percent Brahman/Chhetris), no staff or structure with dedicated responsibility for gender and inclusion, limited gender-responsive budgeting (GRB) and no GESI budgeting practices to address barriers of women, the poor and excluded. The monitoring systems/processes are inadequate to capture shifts in livelihoods of these groups due to their access to WSS facilities and income-generation activities, in their voice due to their engagement with the sector or to monitor the shifts in the policies and social norms impacting the excluded in the sector. As such, focused attention and resources are needed to build GESI capacity and improve staff diversity. This will require long-term investments through scholarships and other incentives, as well as; more inclusive admission processes and teaching profiles in tertiary and technical institutions; in addition, measures to create a supportive working environment (such as childcare or flexible timing) can attract and retain women professionals. Monitoring in the sector has improved with some disaggregation for measuring outputs, but disaggregated outcome-level monitoring is still lacking. Social and public audits have become accepted tools and processes, but need to be implemented more effectively with meaningful participation of women, the poor and excluded, and be institutionalised within the monitoring and evaluation systems in WSS projects/programmes.

The sector has been successful in achieving representation of women and excluded groups at the project level. There is also a sound understanding amongst decision-makers and practitioners of the need to apply affirmative action for inclusion, and various initiatives have been taken. However, in order to ensure more systematic and inclusive sectoral approaches, a greater emphasis is required on identifying the barriers of women, the poor and excluded (i.e. analysis of the existing access and decision-making powers, and the formal and informal institutions that enforce and perpetuate social and economic inequalities); designing GESI-sensitive interventions that are adequately funded; and monitoring inputs, outputs and outcomes with disaggregation by sex, caste/ethnicity/regional identity and location. Monitoring and reporting must also capture the changes in access to assets and services of women, the poor and excluded from the sector, improvements in the voice of these groups, and shifts in the existing inequitable formal and informal policies. In addition, policy directives, along with mechanisms/tools and organisational and human capacity, are all essential for effective GESI mainstreaming

Ultimately, targets for the MDG, TYIP and National Water Plan are unlikely to be achieved unless GESI perspectives are integrated into planning and implementation activities, given that it is women and excluded groups who are likely to remain unreached unless sectoral approaches are deepened.

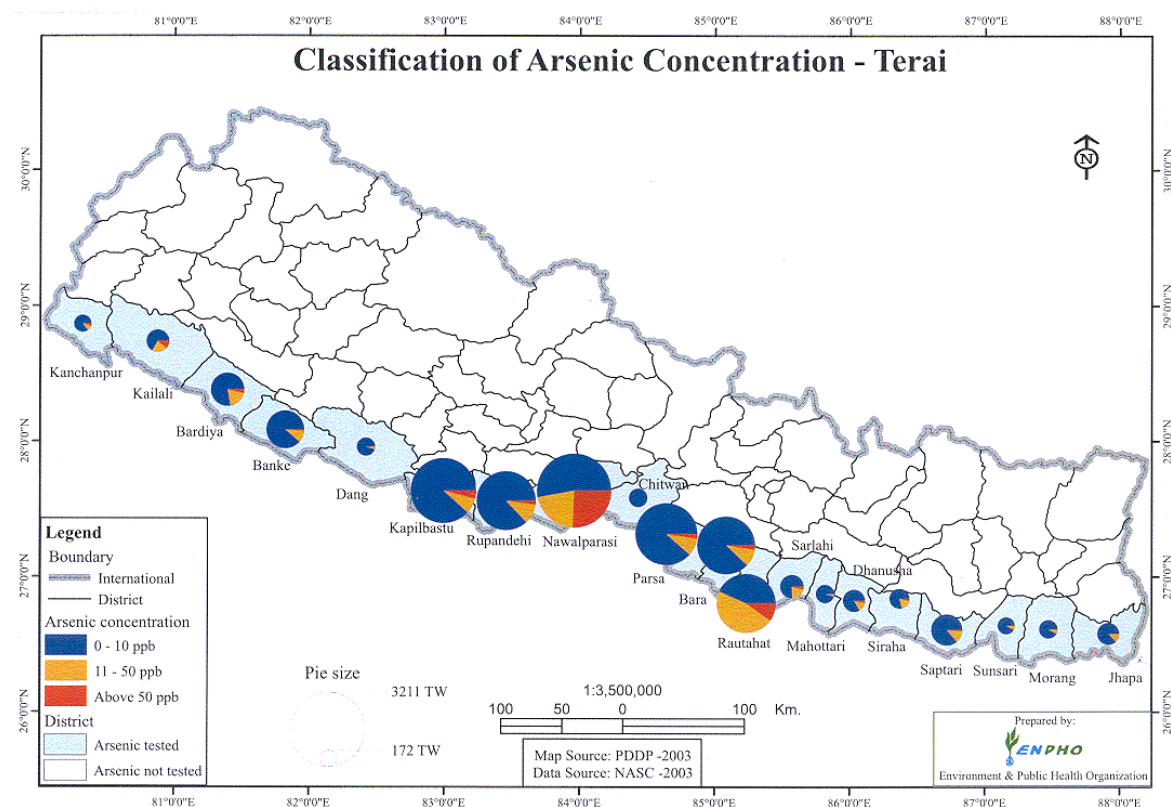
Background paper 3. Arsenic Mitigation

Arsenic contamination affects an estimated 4% of the three Terai districts and is a relatively recent phenomenon, for which policy instruments¹ have been developed, but to which the people and government have not yet been able to adequately respond, partly because other contamination forms (micro-bacterial) get more priority as they lead to immediate crises (diarrhoea), partly because mitigation is expensive.

The Extent of the Problem²

Nawalparasi is the most affected district in Nepal (see the map and table) and the issue can be illustrated best through that district.

Figure 1 Classification of Arsenic Concentration (ENPHO)



In the Nawalparasi district 12% of the population is highly affected, compared to 1% and 3% in the other two Terai project districts.

¹ Arsenic Policy 2001, Arsenic Mitigation Implementation Guideline 2005 and Model District Arsenic Mitigation Strategy 2010

² Note to the reader: the statistics presented in this Background Paper have not incorporated information on the progress made in arsenic mitigation by RWSSP-WN (and other actors) during 2009-2013.

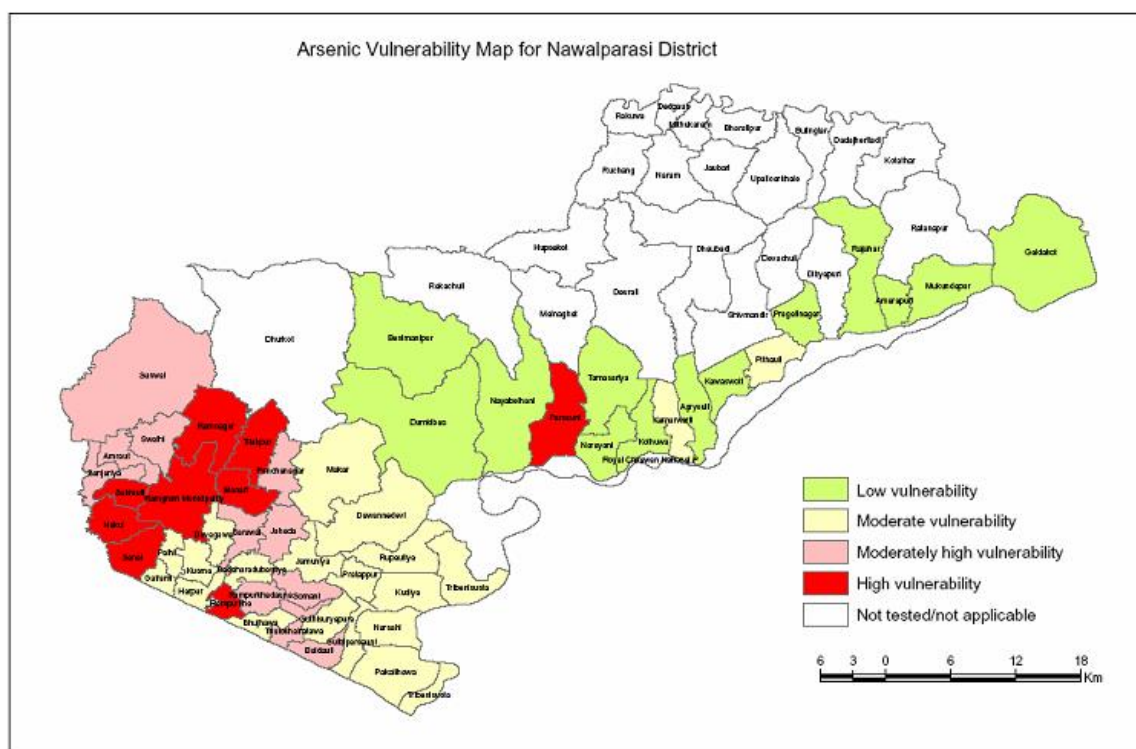
Table 1. Arsenic Affected Population³

District	Pop. '11	Arsenic 10-50ppb	Arsenic >50ppb	%
Nawalparasi	694,895	180,631	85,344	12%
Rupandehi	874,584	35,728	5,951	1%
Kapilbastu	595,027	57,468	17,784	3%
	2,164,506	273,827	109,079	5%

Arsenic concentrations of more than 50ppb has been found in 20-60% of tubewells in Nawalparasi by both a DWSS/UNICEF study in 2002 and a NASC study in 2003. Close to 75% of tubewells show levels above the WHO threshold (10ppb). Of the people exposed to higher arsenic concentrations 3-5% is affected by arsenicosis in Nawalparasi (DWSS/UNICEF 2002, NRCS 2001).

In Nawalparasi 53 VDCs (rest are hill VDCs) were tested for arsenic vulnerability: 13 were assessed with low, 20 as moderate, 11 as moderately high and 9 as high. The map below shows that most affected VDCs are concentrated in the south-western corner.

Figure 2. Arsenic Vulnerability Map for Nawalparasi District



Source: Analysis and Mapping of Arsenic in Ground Water in the Terai, P. Malla and K.Pahari

Arsenic Mitigation Technology and Approach Options

Identification and use of safe dug wells and tube wells, exploration of safe springs and surface sources, rehabilitation of dug wells, deep boring, rain water harvesting and

³ Source: Arsenic Contamination of Groundwater in Nepal—An Overview, Jay K. Thakur et al, in Water, 2011, 3
7

filters, combined with awareness and monitoring, are the possible long-term arsenic pollution mitigation options.

Filters. Initial mitigation focused on the use filters and this is still an important tool in e.g. Bangladesh. However UNICEF found in 2007 that users in Nepal were not maintaining the arsenic filters, rendering them useless. The attention has moved away from filters now.

Deep boring. There is national consensus that deep borings below the arsenic threshold (said to be 55m) can provide the most comprehensive solution in most of the cases. It is however expensive because of the overhead tank needed, while O&M is often only feasible if non-arsenic affected households participate in the scheme. Increasing the size of the scheme to include others again increases the cost per arsenic affected household for projects.

Monitoring and Measurement. It should be made mandatory to regularly monitor during different seasons and before installation of tube wells. Installation of tubewells should be done carefully so as not to extract water from different aquifers, which might cause inter-aquifer arsenic contamination.

Inaccurate measurement also affects the efficiency and effectiveness of arsenic mitigation. The water samples are often taken from the Terai to laboratories in Kathmandu, a long trip along bumpy roads that might compromise the test results.

RWSSP-WN and Arsenic

The project should shift its focus to Nawalparasi district, where 12% of the population and 40 of the 53 lowland VDCs have been moderately to severely affected.

The programme's decentralised approach and selection of VDCs scattered over Nawalparasi district has led to inefficiency in addressing arsenic issues there. The former made the initiative dependent on local leaders and officials, who appeared uninterested or unable to book any progress on WASH activities. The latter moved investments away from the most affected areas.

The project should map arsenic affected households and communities in the 20 most vulnerable VDCs, which are mostly situated in a south-western cluster and prioritise its interventions to target these communities. The project's work in Ramgram Municipality of Nawalparasi, in the middle of the most affected south-western area of the district, is therefore a good choice.

Background paper 4. Livelihoods development options

Livelihoods activities are often considered in WASH projects for two reasons: a) to increase the livelihoods impacts that WASH projects have anyhow, and b) to ensure that people won't lack the resources to pay for O&M, which is often in the range of NPR 1000/hh/yr.

The income impact of WASH in itself can be considerable, and probably outperforms an added livelihoods component. No estimates could be found for Nepal, but a study in neighbouring India found benefits of Euro 40 per capita per year from improved WASH facilities. This is made up of Euro 30 benefit from saving money and time spent on health care and transport, and absence from productive work due to sickness or care for others, and of roughly Euro 10 from the productive use of newly available water and the saving of time spent on collecting water contributed. Such levels of benefits are difficult to equal even by specialist economic development programming, which moreover will only be feasible for and reach a limited number of WASH beneficiary. E.g. in RWSSP's sister project, RVWRMP, Multiple Use Schemes combined with vegetable growing are only feasible in about 10% of the watersupply schemes. RWSS-WN mostly facilitated linkage of WASH-beneficiaries with livelihoods actors, but the economic benefits from the occasionally resulting shop keeping, goat keeping and candle making are much more limited even, and tend to be limited to much less than 10% of the beneficiary population.

In conclusion, the added value from extra livelihoods activities appears to be low. And even if the economic WASH benefits are only 25% of the Indian estimate, i.e. Euro 10, this constitutes Euro 50 for a 5-person household and should make the estimated Euro 10/yr/hh for O&M easily affordable. The project therefore can skip its own livelihoods activities, although it should not refrain from capitalising on opportunities of cooperation with specialist livelihoods projects. The project might also support full-blown MUS Schemes, but only on request, only if people are ready to invest themselves, only where strong extension and marketing mechanisms or third-party projects are present. The project should assist users to link to those projects, cooperatives and traders, if it estimates that benefits in the community can be availed of equitably. This assistance will only be occasional, as per opportunity and should not divert DWASH Unit attention and resources away from the core business. RWSSP-WN will only provide investment and technical support; the main effort should come from the people and the livelihoods project.

To identify such opportunities the project's WASH Advisor will regularly update him/herself at the DDC and with known projects in the area.

Table 1. Some examples of livelihood projects

Project	Implementers	Donor/loan	Districts
Feed-the-Future	Consultants/NGOs/MOAC	USAID	Pyu, Kap
Seeds for Farmers	MoAC, Private sector	IFAD	Pyu, (Mya, Bag, Par)
PACT	Consultants, MoAC	World Bank	Pyu, Rol, Kap

Project	Implementers	Donor/loan	Districts
NMDP	IDE, Practical Action	DFID	Rup Kap
ANEP	IDE and partners	EC	Rup Naw

Background paper 5. Climate change adaptation and disaster risk reduction

Introduction

CCA and DRR concerns have been part of WASH programmes for many years in Nepal. In most cases these concerns were not rendered into concrete and workable interventions within the WASH process. There have been serious and competent attempts, which have served to highlight the importance and relevance of CCA and DRR issues in the WASH cycle. In this project document we have made an attempt to develop practical proposals for inclusion of CCA and DRR interventions in a traditional WASH approach taking into account these attempts and experiences.

Situation Analysis

Nepal is a country afflicted with more than its fair share of landslides, floods, extreme rainfall events and droughts. To compound this challenging situation the climate change predictions are dire. Even at present many feel that there have been significant changes in weather patterns that may indicate that climate change already has a grip on Nepal.

Briefly, climate change models for Nepal indicate a change in spatial and temporal variability of precipitation, as well as changes in rainfall volumes. The models also predict significant changes in temperature. In the table below the main changes are summarised:

Table 1. Climate Change in mid-century (2039-2069) compared to baseline (1961-1990) in West Nepal

	Precipitation change %	Temperature change °C
Winter	-0.6	2.2
Pre-monsoon	1.0	1.7
Monsoon	-8.4	2.1
Post monsoon	-5.7	2.2

The possible consequences of these predicted changes are summarised below:⁴

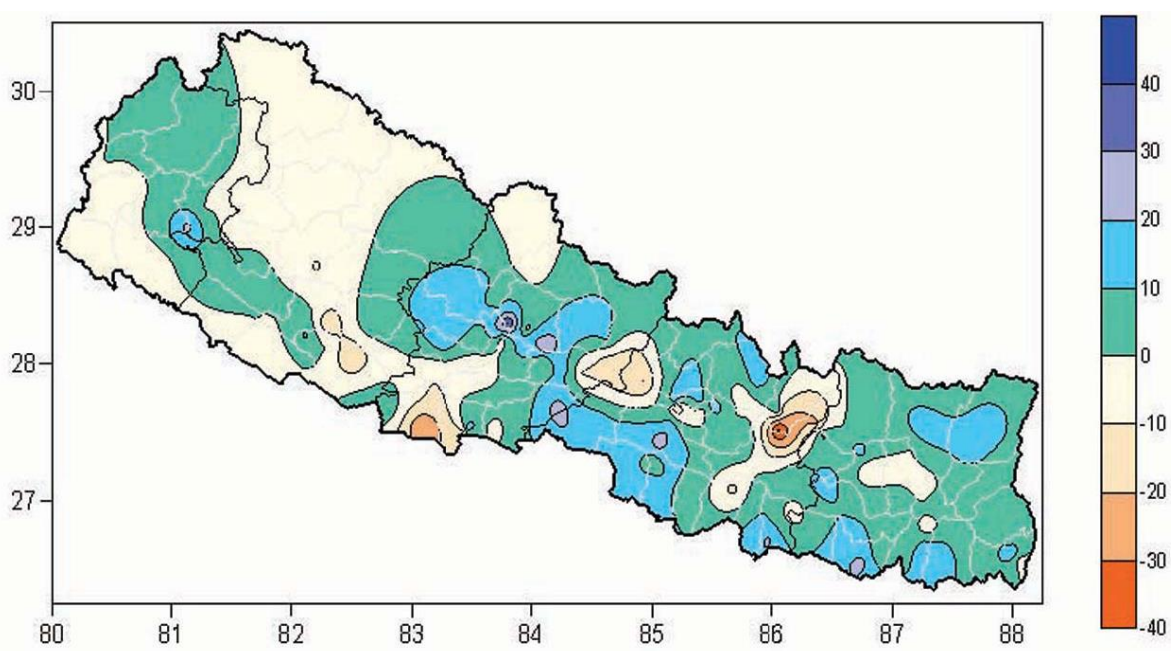
- Increased frequency and likelihood of flooding & run-off
- Damage or destruction of infrastructure
- Contamination through damaged or overflowing sanitation systems

⁴ Adapted from a presentation by Ilmari Saarilehto, UNICEF, April 2012

- Decreasing rainfall and recurrent droughts
- Declining surface and groundwater availability combined with increased demand from other sectors
- Reduced capacity of surface water to dilute, attenuate and remove pollution

The situation analysis reveals that there is need for a broader approach to WASH projects to include CCA and DRR. In many cases the identified impacts of climate change, whether already occurring or whether presently caused by other external factors, are manifesting themselves. One of the main impacts is water scarcity. In the figure below changes in current rainfall patterns are indicative of some of the possible changes to come.

Figure 1 Annual rainfall trend (mm/year) in Nepal between 1976-2005.
(Practical Action 2009)



The GoN and several donors have recognised the importance of CCA and DRR and tried to include it in WASH and rural development programmes. In some cases they have even dedicated projects specifically to CCA. Some of the projects from which documents were reviewed or interviews were held for this mission are:

- Rural Village Water Resources Management Programme (MFA Finland);
- Rural Water Supply and Sanitation Project – West Nepal (MFA Finland);
- Participatory Watershed Management and Local Governance Project (JICA);
- Ecosystem Based Adaptation to Climate Change in Mountain Ecosystems (IUCN-UNEP-UNDP);
- Watershed Management Case Study Nepal (FAO);
- Aligning for action – sanitation and water for all in the context of climate change in Nepal (UNICEF).

With regard to the RWSSP-WN, the MTR concludes that "Environment, climate change and disaster risk reduction are not sufficiently addressed by the Project. These issues have not been incorporated in the Project as cross-cutting subjects."⁵ After the MTR the project has brought in staff to address CCA more actively, yet it seems there have been few opportunities for implementation of practical measures thus far. The project is currently looking at rainwater catchment options and source protection, all from the perspective of increasing water scarcity. There is consequently sufficient scope for new CCA/DRR focussed interventions in the next phase.

The RVWRMP has tentatively developed the following interventions to address CCA/DRR:

- Reducing poverty and social inequality, as suggested by the ICIMOD report (Macchi et al 2011);
- Raising awareness about the potential impacts and risks related to the changing climate;
- Diversifying livelihoods to spread the risk and enhance the options to rely on when one livelihood option fails (Macchi et al 2011);
- Support for rural livelihood adaptation (OXFAM 2009);
- Seizing the opportunities provided by climate change;
- Incorporating traditional knowledge to climate change adaptation makes it more sustainable (Huq 2011);
- Strengthening local social networks and institutions that can play a crucial role as safety nets in increasing adaptive capacity of communities.

The Participatory Watershed Management and Local Governance Project funded by JICA seeks to improve participatory watershed management by strengthening the local governance system. The JICA project works in six districts in the hills, which are all districts that the RWSSP-WN also targets (Kaski, Tanahun, Parbat, Myagdi, Syangja and Baglung). Examples of activities are water source protection, irrigation and POWER (Poor, Occupational Caste, Women Empowerment through Resource Mobilisation) projects.

The MFA Finland funded "Aligning for action – sanitation and water for all in the context of CC in Nepal" project implemented by UNICEF targets both policy level and operational levels.

It is acknowledged that many more parties are actively working on CCA and DRR. It was beyond the scope of the project formulation to consult with all and to present all details.

During the dry season the hill areas in West Nepal are often confronted with drying up of springs. In some cases villagers have to travel further during that time to gain access to safe drinking water. In other cases scarcity occurs because those with a geographically better or a more legitimate access to the source usurp the share of DAGs. This also

⁵ Mid-term Review of the Strengthening of the Rural Water Supply and Sanitation Project in Western Nepal (RWSSP-WN), Final Report, September 2011.

occurs due to migration of people from higher areas to lower areas in the valleys, where they start using water from sources for drinking water, but in some cases also for irrigation. Consequently disparities and inequity in terms of access to safe drinking water occur.

Moreover, in the hill areas there are many examples of springs and pipes that are damaged or destroyed due to landslides and/or floods (torrents). This often leads to water scarcity, the brunt of which is usually borne by DAGs, as they have fewer means to address these occurrences.

In both the hills and the Terai plains the risk of shallow groundwater contamination due to polluting activities in the upper watershed (above the source) or due to flooding is serious. Water quality testing seems to occur haphazardly, if at all. Consequently instances of dysentery and other water borne diseases are still high in both locations.

Population growth and the increasing dependency on electricity for pumping water also create problems. In 2010, Nepal's demand for electricity was just over 350 MW, while the capacity from hydropower stations was 250 MW - a mere 3% of the potential capacity. Furthermore, only about 15% of the population has access to electricity.⁶ In response to this crisis the adoption of solar pumping technology for pumps in lift schemes has been tested and gained recognition during the past few years.

The current situation suggests that inclusion of CCA/DRR interventions in WASH programmes should be a limited burden on the project resources. Whereas CCA/DRR is relevant, WASH programmes have shown to be most effective when retaining a strong WASH focus. Furthermore cooperation with other projects working on CCA/DRR in the same area can be sought.

In many cases scheme selection is not done on a (sub)watershed basis. Decisions on siting of toilets, developing of sources and building of infrastructure are not always taken within this holistic view. In some of the cases that the project reviewed a kind of PES system was in place, whereby users buy a piece of land to gain access to a source. In other cases schemes were considering selling excess water. Very little attention was paid to guarantees for proper upper watershed management to safeguard water quality and quantity.⁷

In the ToRs for the planning of the completion phase the MFA of Finland asks to look at items such as (i) better managed forests, (ii) agroforestry, (iii) farmlands, (iv) rivers, (v) aquifers and lakes as well as (vi) promotion of 'Payment for Ecosystem Services' (PES) arrangements to ensure proper management of water-bearing ecosystems on all scales. It suggests developing a more holistic catchment management approach for sustainable development and climate change adaption.

Within the parameters of the WASH approach and the experience of other organisations integrating CCA/DRR in WASH we have opted for the following:

⁶ Adapted from: Nepal and Hydropower: What Will it Take for Nepal to Invest in Hydropower and Develop Sustainably? Ravi Kumar, Buena Vista University, 2010.

⁷ Water Use Master Plans (WUMPs) at VDC level were developed in earlier stages of projects to try to bring in a stronger watershed based approach. These proved to be very bulky and lengthy processes and could not be integrated into WASH processes effectively.

Forests, forestry, agroforestry, farmlands and rivers are management units and foci that go beyond the scope of a WASH programme. Experience with similar items such as livelihoods have shown that these tend to shift the focus of the project from WASH to peripheral and cross-cutting themes, thereby seriously undermining the relevance of the WASH intervention.

Aquifers, water-bearing ecosystems and PES have been integrated in the project design at various levels through a (sub)watershed approach. The (sub) refers to the fact that watersheds exist at many levels, and that the selected watershed(s) are most likely to be sub-watersheds of larger ecological units.

Approach and Strategy

In the approach and strategy we have included both existing elements (albeit some of which have to be strengthened) and new elements. For existing elements we have placed an (E) in the text and for new elements we have placed an (N).

The approach for the second phase of the RWSSP-WN in terms of CCA/DRR is founded on two elements:

1. Optimal integration of CCA/DRR measures in the WASH process to limit disruption and burden on project resources;
2. Cooperation with other projects working on CCA/DRR in the same area.

It is estimated that not more than 5% of the project budget should be allocated to mainstreaming CCA/DRR in the project. To leverage the benefit of the use of these 5% it is strongly recommended to cooperate with other projects working on CCA/DRR in the same area.

A more contentious issue for integration of CCA/DRR elements in the WASH process is the limited overlap between watershed boundaries and administrative boundaries such as VDCs and Wards. When selecting schemes there are many considerations, most of which are detailed in other sections of the project document. For CCA/DRR it would be relevant to cluster schemes as much as possible within one watershed (specifically in the hill areas). This may not always be possible due to administrative boundaries not being the same. In some cases VDCs are already using water from sources outside of the VDC, so there is some flexibility in this case. For the project approach it is suggested that clustering within a watershed be considered, but should not be regarded as an excluding factor for selection.

Proposed Activities

The activities to address CCA/DRR in this project can to a large extent be accommodated through strengthening of the normal WASH process through inclusion of many of the items below.

- 1a. Strengthening of conflict resolution capacities of WUSCs (N);

1b. Introduction of (sub)watershed based planning as part of WASH project implementation (specifically for hills) (N).⁸

1c. Awareness raising on the legal implications and concomitant responsibilities of “selling” (access to) water (N).

1d. Determining and implementing groundwater protection zones (N/E).

2. Ensure toilet designs in Terai minimize risk of flooding of cesspits and subsequent contamination of surface and shallow groundwater (E).

Development of tools to integrate with overall WASH approach, such as:

- Baseline (e.g. include data needs on (sub)watershed implications (N));
- Scheme selection criteria (e.g. include criteria related to siting and clustering within a (sub)watershed (N))
- School programmes (e.g. information about climate change projections, dealing with scarcity and underlining the importance of sharing water resources(N));
- Guidelines for construction and O&M (e.g. raised hand pumps and tube wells in flood prone areas and proper adherence to “good practice” when constructing schemes (E)) ;
- Training materials (e.g. information about climate change projections, dealing with scarcity (hills), dealing with flooding (Terai)(N));
- M&E systems (N).

4a. Protection of the source using e.g. gabion wall, masonry wall or dry stone wall, flood diversion and intake coverage (E).

4b. Protection of pipelines through e.g. selection of appropriate pipeline route, use of GI pipe in rocky zones, 90 cm deep HDPE pipe trenches with proper backfilling, dry stone wall in pipe trenches to protect from scouring by storm water, and cable crossing over streams, rivers and slide zone (E).

4c. Selection of stable land for construction of water supply structures (E).

4d. Construction of proper fencing with accessible gates and locking system (E).

5. Promote and integrate the use of solar pumps in the project schemes (mainly for Terai) (E).

6. Integrate family planning activities into project training (N). This may seem far-fetched, but the adaptation potential of these societies would be greatly enhanced if demographics were further managed.

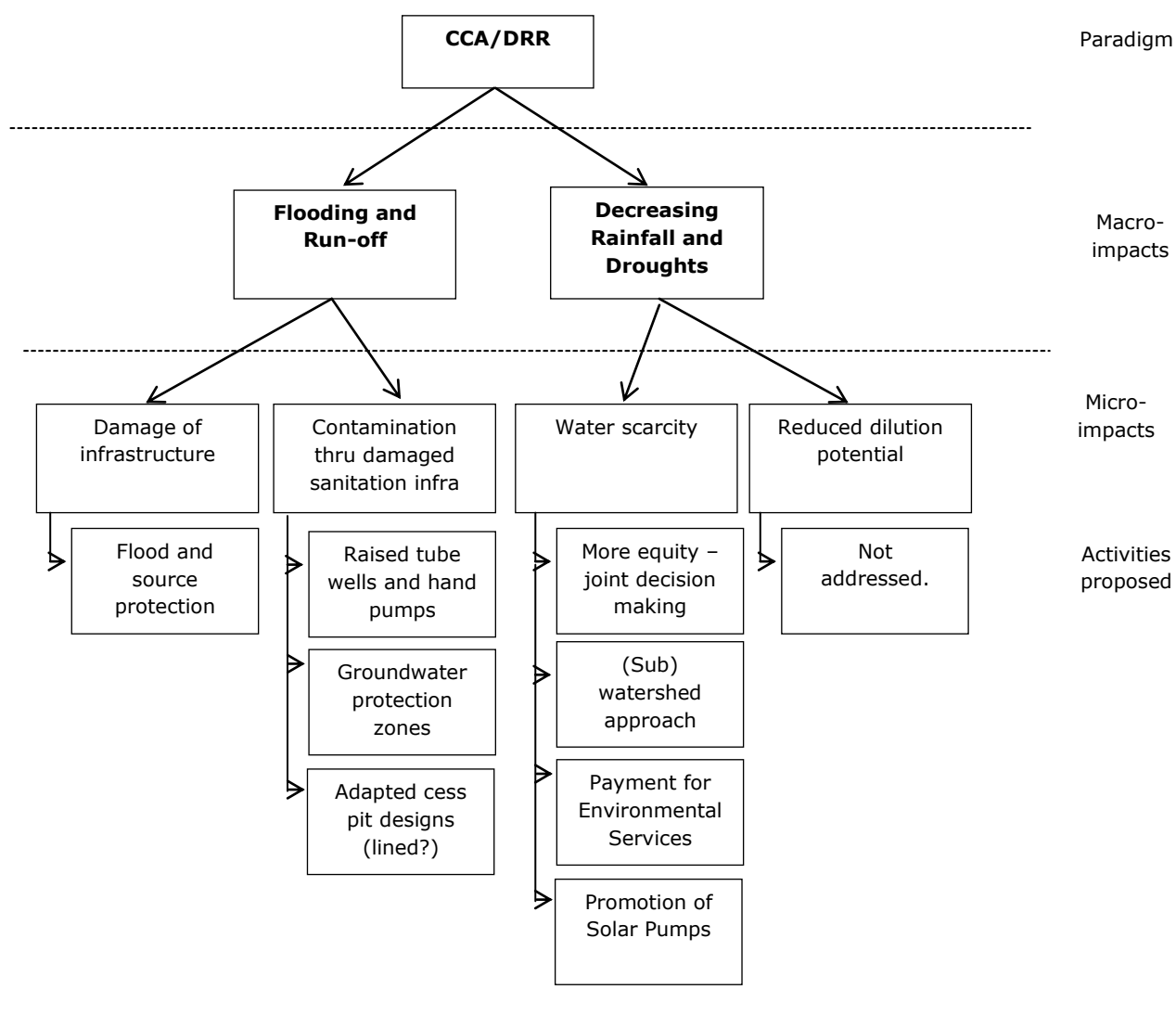
⁸ Watershed based planning refers to planning and implementation of WASH interventions in an integrated framework (much like the IWRM approach) which looks at actors within the whole (sub)watershed and not only within the scheme target group.

7. Link up with PWMLGP (JICA) project for joint implementation of activities where and when relevant and appropriate (N). This project has expressed interest to cooperate with the new project. Another option would be to explore cooperation with UNICEF/OXFAM within the context of their CCA work. In both cases this would have to be initiated by the MFA of Finland (through the Embassy) prior to tendering the completion phase, so that these modalities are in place and are clarified in time.

8. Where feasible and appropriate attempt clustering of schemes within one watershed and administrative boundary (N)

9. Research and develop PES opportunities (e.g. rewarding ODF free VDCs) (N). This refers specifically to the “buy or lease” schemes for access to sources that were found to be more common.

The project logic is illustrated in the figure below.



Background paper 6. Institutional assessment and project set-up options

Institutional choices are directly related to improving the results and to Exit. RWSSP-WN Phase I had a heavily decentralised model in which DDC-DTOs had a budget, a number of guidelines and the support from one District WASH Adviser and a PSU in Pokhara. This led to a wide variety of institutional arrangements and results. Some districts worked through NGOs, others through DDC-hired staff, some with many staff, others with few paid staff and many volunteers or inputs from third-party initiatives. Some achieved near-ODF status, others not even ODF in each of the six core-VDCs. Field result quality also varied widely because districts and field staff did not always follow the guidelines and processes and did not always ensure enough staff support at VDC level. The level of attention by the DDC and DTO leadership, the quality of political interference (positive, negative) played a role, too.

Sufficient result quality includes e.g. actual ownership by VDCs and WUSCs of plans, designs and control over implementation. The few VDCs and WUSCs visited by the design team reported they did not have the VWASH Plan made with their cooperation (or remember the priorities listed), did not know about project guidelines and did not have control over the intensity or mode of technical supervision.

In conclusion, the approach has tested and found the limits of the fully decentralised approach, and should take a few steps back from full decentralisation and also a few steps forward to a post-construction services systems to ensure quality, targets, sustainability and monitorability.

Steps Back

As the result at village level are more important than the policy and the capacity building aims, the project has no alternative but to scale back the level of decentralisation until DDCs and DTOs are better capable to ensure result quality and monitorability.

1. More staff on the ground
2. Less institutional arrangement freedom for DDC-DTOs
3. Less outsourcing to NGOs
4. More control by PSU

Steps Forward

In order to increase sustainability of results and prepare communities and agencies for project exit, post-construction scenarios and future decentralisation:

1. Stage-wise withdrawal of WASH-aid from the districts
2. Strengthen VDCs and DDC-DTOs to direct their increasing budgets at WASH activities, by promoting their hiring of VDC technicians and by coaching these VDC technicians while implementing schemes from VDC budget
3. Strengthen the PCS private sector and linking them to potential clients in WUSCs, VDCs, and DTOs
4. Assist DOLIDAR in shaping and staffing the DTO-of-the-future, which very probably will have separate units for roads (existing already), buildings (existing) but also WASH and maybe irrigation and hydropower.

Overview

The following table focuses mostly on proposed or probable institutional changes resulting from a changed project focus.

Table 1. Overview of Institutional Choices and Consequences

Project Focus	Approach elements	Institutional Consequences
Improved field level result quality	<ul style="list-style-type: none"> - Ensured staff field presence, by not delegating work to NGOs but employing own staff - Strict relation between budget size, work quantity and staff numbers - A reduced number of guidelines - Stricter supervision by both district and PSU - Setting of strict targets and indicators - Result monitoring from the start 	<ul style="list-style-type: none"> - More staff in DTO WASH Unit - Less role for NGOs - Less DDC-DTO freedom to decide staff quantities - More quality control tasks for PSU
WASH sustainability	<ul style="list-style-type: none"> - <u>VDC capacity</u>. Make VDCs in charge of investments and technical affairs and assist them with that for a few years. In Technical Assistance stage (first pilot in two districts), WASH Unit engineers support VDC and their technicians to implement VDC-budget schemes - <u>WUSC capacity</u>. Longer interaction, also post-project, with DTO technical staff, proximity of VDC-technician - <u>Private sector O&M services</u>. PCS Service providers will be trained and linked to potential users like WUSCs 	<ul style="list-style-type: none"> - The role of WASH Unit engineers in TA stage is mainly advisory - More engineer-hours per scheme - PCS Multi-stakeholder platform (PPP) established - Closer cooperation between government and private sector
DTO capacity sustainability	<ul style="list-style-type: none"> - The project will concur with DOLIDAR and GoN to keep updated with visions and plans for the DTOs in order to strengthen the DTO capacity change process - Staff capacity building will only be done to increase the number of WASH capable staff in DOLIDAR as whole, and because of frequent staff transfers, not for a particular district 	<ul style="list-style-type: none"> - WASH Unit staffing will be as similar as possible to a potential future regular GoN-funded WASH Unit - DOLIDAR and Project will optimally use opportunities to shift staff funding from GoF to GoN
Sector integration	<ul style="list-style-type: none"> - Follow GoN policies - Support official WASH Sector coordination (efforts) at all levels 	<ul style="list-style-type: none"> - Official involvement of RWASHCC in PMC and RMSO in National Steering Committee.

Background paper 7. Policy relevance, coherence and harmonization with other projects

Relevant policies, strategies and acts of the Government of Nepal

The Local Self Governance Act – LSGA (1999) provides the legal basis for the devolution of responsibilities for water and sanitation systems to local government. The LSGA gives a high priority to the upliftment of socially marginalized groups, equity, the adoption of rights-based and participatory approaches to project work, maximum use of local resources and protection of the environment. The Act specifically stipulates that women and disadvantaged groups should be represented on local governing bodies (VDCs and DDCs).

Rural Water Supply and Sanitation National Policy, Strategy and Strategic Action Plan (2004) further highlights the role and responsibilities of local bodies, users committees, participation and decentralization. It appoints Ministry of Physical Planning and Works (MPPW, now Ministry for Urban Development (MUD)) to lead the water and sanitation sector and defines the role for Ministry of Local development (MLD, now Ministry of Federal Affairs and Local Development) for implementation of WASH through its DDC and VDCs. The division of labour was set for MLD to intervene in WASH projects that have beneficiaries less than 1000 and MPPW to intervene in WASH projects that have beneficiaries over 1000. The Policy also set a National Goal of universal drinking water and sanitation coverage by 2017 and a mandatory provision to allocate at least 10 % of drinking water supply funds to sanitation and hygiene promotion.

The Sanitation and Hygiene Master Plan (2010-2017) has laid nine points principle guidelines on sanitation and hygiene to be adopted by the government, local bodies and other all the WASH related stakeholders. The Master Plan has adopted Open Defecation Free (ODF) approach with innovative modalities. The nine guiding principles are) ODF the bottom line, ii) Universal access to sanitation in water supply and sanitation projects, iii) Informed technological choices, iv) Leadership of the local bodies, v) VDC/Municipality smallest planning units, vi) Locally managed financial support, vii) Mandatory provisions of sanitation facilities in institutions, viii) Mandatory provision of toilets in new buildings and ix) Focus on hand washing with soap and other behavior build up.

The Programme will work in support of practical implementation of all these policies plans and will provide further inputs to policy development where needed. The GoN has also stated its intention to move towards SWAp in the Three Year Plan Approach Paper (2010/11 – 2012/13) in order to facilitate the coordination among sector actors. This has been taken into account by integrating phasing out of the project modality in the Programme design. Furthermore, GoN has prepared a Rural Water, Sanitation and Hygiene (WASH) Approach Paper (2011, in draft) that describes the implementation modalities and options in detail. It is expected that the Programme will work within the framework of the approach paper.

Coherence with Finland’s development policy

Finland’s Development Policy Programme (Government of Finland Decision-in-Principle 16 February 2012) adopts a human rights based approach (HRBA) to development. Its aim is that everyone, including the poorest people, know their rights and are able to act for them and that the authorities know their human rights obligations and are capable of implementing them.

While rights to water and sanitation were not mentioned in the Universal Declaration of Human Rights of 1948, these rights have been increasingly recognised by later conventions and treaties. Recognition of water and sanitation as human rights was re-affirmed by the UN General Assembly in July 2010 and furthermore the UN Resolution on the Right to Water and Sanitation in September 2010 recognized the right to safe and clean drinking water and sanitation as a human right that is essential for the full enjoyment of life and all human rights and called for scale up of efforts to provide safe, clean, accessible and affordable drinking water and sanitation for all.

Finland’s development cooperation is based on its partner countries’ citizens and their democratically elected representatives having ownership of the development of their own societies. The Project strengthens the national capacity especially at the decentralized level while paying increasing attention to effectiveness and impact through a results-based approach. At the same time the openness will be increased through improved reporting and availability of information to the public.

The cross-cutting objectives of Finland’s Development Policy are gender equality, reduction of inequality and climate sustainability. In line with the Human Rights Based Approach, the Programme has a strong focus on gender equality and social inclusion (GESI), working towards the fulfilment of equal rights to water and sanitation, promoting inclusive decision-making and reducing inequality in the provision of services. The Programme also integrates climate change adaptation (CCA) and Disaster Risk Reduction (DRR) in its activities.

The priority areas of the Finnish Development policy are (1) a democratic and accountable society that promotes human rights, (2) an inclusive green economy that promotes employment, (3) sustainable management of natural resources and environmental protection, and (4) human development. While mainly falling into area of sustainable management of natural resources, the Programme’s objectives cut across the other priority areas. Democratic and accountable society is strengthened in the decentralized level, economic losses caused by lack of access to safe water and inadequate sanitation are reduced and human development overall improved by improved health and increased opportunity for girls and boys to attend education in a sanitary environment.

Finland has also developed an International Strategy for Finland’s Water Sector, with aim to increase international cooperation and the impact of Finnish actors in the water sector. The Programme will support the priorities of the strategy in developing water related institutions and contributing to climate change adaptation.

Lessons learnt and harmonization in the WASH Sector

Approaches in the sector

GoN and Development Partners have undertaken a number of reviews of the status and activities in the sector aiming to improve the harmonization in the WASH sector, including a joint sector review by the stakeholders and independent review by consultants. Latest the World Bank has commissioned a study on the Nepal Rural Water Supply and Sanitation Sector: Identification of Options to Increase Sustainable Access to Services. The study seeks to develop options to further improve and scale up sector access and sustainability in the most efficient manner. The study will include in-depth primary data collection to assess the cost effectiveness, performance and sustainability of different modalities of service delivery in the country and is expected to be completed by the end of 2012.

The sector funding is channelled mainly through the Ministry of Federal Affairs of Local Development (MFALD) and the Ministry of Urban Development (MoUD) and its Department for Water Supply and Sewerage (DWSS). RWSSP-WN and RVWRMP work through MFALD, DOLIDAR and DDCs, while other major supporters of rural WASH have operated through different channels: ADB through DWSS under MUD and WB through RWSSFDB, an independent organ under MUD. UNICEF is mainly working with the DWSS. Shrestha, Budhathoki and Bhatt (2010) distinguish 4 parallel models for service delivery in the country:

- 1) Local NGOs Led Model (The Fund Board model, supported by WB).
- 2) External NGO Led Model (NEWAH model)
- 3) Local Government Led Model (RVWRMP and RWSSP-WN model)
- 4) Regular Government Programme Model

Involving the local NGOs as per the Fund Board Model is cost-effective; NGOs are accountable to the communities and good at community mobilization. However, they are less competent on technical expertise, financial management, project management, and reporting and documentation. Using external NGOs (formerly international, now mostly national as in the case of NEWAH) allows competence in technical, managerial and financial matters, but risks the sustainability by focusing less on training and more on short technical inputs.

The local government led model of the Finnish supported projects benefits from the DDCs and VDCs potential in terms of legal authority, local accountability and internal financial resources. Furthermore, these are the permanent institutions to support, monitor evaluate and to support for major rehabilitation of the completed schemes. However, due to limited technological knowhow, less knowledge of the WATSAN project management and less human resources, the external agencies have been taking the roles of the local government bodies.

Major advantage of the Government's regular programme is that they take the responsibilities of O&M after phase out of the projects. However, the implementation is slow and budget thinly spread over several schemes. Ringskog et al. (2011) further

observe that political pressure seem to push many projects into implementation without the financing necessary for timely completion.

In 2011 GoN conducted a joint sector review involving the relevant Government departments and development partners and organized by the Sector Efficiency Improvement Unit of MUD. Among identified problems were institutional fragmentation, inadequate capacity of local authorities, weak monitoring systems, weak sustainability, limited policy compliance and inequitable targeting and distributions of resources. Currently the monitoring in the sector is mostly confined to the Project level and utilizing project specific systems. Relatively high reported coverage figures may mask the poor functional situation, leading to less investment in the sector. In sanitation and hygiene there is weak and fragmented planning and programming. Various implementation modalities, approaches and priority setting criteria are hindering sanitation and hygiene promotion. Among the issues observed by the Programme Design team were the varying practises in the use of rewards and subsidies to encourage toilet building.

The different modalities by large number of organizations in the sector during the last two decades have impacted the consolidation of the sector and brought out issues of coordination. However, Ringskog et al. (2011) see that the fears of excessive number of modalities have been exaggerated. The variety appears to have helped the sector in increasing the coverage of water supply and sanitation and the communities have been able to tailor the system to their requirements. There is yet to be a clear understanding as to the preferred modality from the viewpoint of the maximum good to the maximum people. Ringskog et al. (ibid.) also view that the policies, laws and agencies to implement are in place in Nepal. Sound reforms in the water supply and sanitation sector have been devised, but GoN has been unable to create the instrumentation, including the required institutional capacity, and has lacked the political stability for a consistent implementation of reforms particularly in decentralization.

WASH Programmes supported by the Government of Finland

The Finnish support to the WASH sector in Nepal date back to the Rural Water Supply and Sanitation Project (RWSSP), began in 1990 and continuing until 2005 through 3 phases. From the start the Project supported decentralization by channelling the funds through DDCs and LDO. Starting from the second phase the Project worked with MLD (now MFALD) at the national level. In Phase I an impressive extension of water coverage was achieved using contractors to construct wells, while Phases II and III had greater user participation and achieved more community mobilisation, local ownership and the building of local capacity to plan and manage the schemes. Shifting the responsibility for planning and management to the local level slowed implementation, and in some cases the release of funds to user groups by the DDC, but communities were able to raise money to a greater extent than anticipated, and this led to greater local self-reliance in Phase III. (Nepal Country Programme Evaluation 2012).

RWSSP-WN was formulated as a replication of the RWSSP, though due to the political situation in the country it could only commence in 2008. RWSSP-WN has been at the forefront in the comprehensive WASH approach in Nepal, for instance pioneering involving Departments of Health (DOHs) in district in the WASH activities. The districts replicating the project's approach without project funding have multiplied, and the project has built significant capacity among stakeholders at the District, VDC and

community levels (Nepal Country Evaluation 2012). The Project has also aimed to support a more harmonized approach in the sector. While the central level harmonization remains challenging, at the district level situation is more promising and RWSSP-WN is well placed for this harmonization. The MTR conducted in 2011 concluded that the most remarkable achievements have been in sanitation, while water supply results are behind target. It recommended to improve planning, monitoring and accountability, service delivery quality, Water supply relevance for the whole district, review of the (implementation of) numerous guidelines and manuals and mainstreaming CCA/DRR and source management.

The RVWRMP (Phase I 2006-2010, Phase II 2010–2015) focuses on some of the poorest parts of Nepal, ten mountainous districts in the Mid- and Far-Western development regions. The GESI strategy of RVWRMP has raised awareness widely among stakeholders, and is seen by both central and local government as a good example of how to put into effect the principles of inclusion that are expressed in Nepal's policies. The project has also developed a comprehensive and participatory monitoring system that functions at all levels, one aim being to provide disaggregated data on the extent to which women and marginalised ethnic groups are involved in project activities and decisions. (Nepal Country Programme Evaluation 2012)

The Evaluation of Human Rights and Equality, Democracy, Good Governance and Rule of Law in the Finnish Development Cooperation (2008) however criticizes heavily the way cross-cutting objectives were treated in the formulation of the Finnish water sector programmes in Nepal. RVWRMP was identified and prepared over several years, but the cross-cutting issues were not updated to match Nepalese and Finnish policies. Preparation of the acclaimed GESI strategy later filled the gap, but the lack of allocated resources posed some problems for implementation. RWSSP-WN was based on a replication of an outdated project, was prepared hurriedly and again did not properly take into account and allocate resources for cross-cutting issues, despite a chance to learn from RVWRMP. A long inception period was included to fix the problems and the project document has been later revised. However, to date the GESI targets of RWSSP-WN remain ambiguous while RVWRMP has clear target that have been followed through in the implementation (MTR).

The Strengthening of Environmental Administration and Management at the Local Level Project (SEAM-N) has been active in supporting decentralized environmental management since 2002 in Biratnagar-Dharan industrial corridor. The project has managed to increase environmental awareness and build institutional capacity, although the sustainability of the latter was uncertain at the time of the Mid-Term Review of the Programme. The current completion phase aims to increase district WASH planning capacities in Easter Region through DWASHCC and DDC training and coordination with WASH sector actors. The Project has also contributed to improved health and sanitation, including the reduction of open defecation in the area. (Nepal Country Programme Evaluation 2012).

In March 2011 the Government of Finland signed an agreement with UNICEF on the Programme 'Aligning for Action - Sanitation and Water for all in the context of Climate Change in Nepal'. The Programme aims to support the development of One harmonized national WASH sector programme and provide WASH services through coordinated district level WASH programmes, as well as improve DRR, school sanitation and health &

hygiene behaviour. The Programme has already contributed to sector performance assessment and improved dialogue in the sector. (Aligning for Action; First Progress Report December 2011)

The ongoing projects supported by the Government of Finland, RVWRMP II, RWSSP-WN, SEAM-N and the Unicef’s Aligning for Action Programme have initiated discussions to understand their differences in implementation between programmes, and harmonize where needed and possible. It is expected that close coordination and active effort in aligning approaches and policies between these four projects can play an important role in rural water sector development. The differences and similarities between three Finnish funded projects are summarized in the table below.

Table 1. Summary table on harmonization between the Finnish-funded water sector projects in Nepal

Issue	RVWRMP	RWSSP-WN I	UNICEF
Per capita cost ceiling for WS	No	Yes, depending on technology	DWSS Guidelines
Contributions for WS	Agreed by Steering Committee.	Set in District WASH Implementation Guidelines.	As per WASH policy of 2004.
Up-front O&M Fund for WS	Minimum 1%.	Minimum 2% for Lifting schemes, 1% for other.	1%
Scheme prioritisation	WUMP priority list	WASH plan priority list	Only the most disadvantaged VDCs.
ODF subsidy/reward	13-34% subsidy approved in Phase II.	No subsidy but post-ODF reward.	No pre-subsidy but Post-ODF reward. Loans to the deprived households.
Post ODF activities	‘Comprehensive and Accelerated Sanitation and Hygiene (CASH)’ approach.	Systematic post ODF support and follow-up. Separate reward for Total Behavioral Change (TBC).	Post-ODF support following the S&H Master Plan.
Replication in non-program VDCs	Limited implementation so far.	Support DDC to prepare strategy for achieving district/VDC ODF.	National level.
Community Health Fund	Not provisioned so far	Initiated to establish community health fund in 2 program VDCs as piloting	School and VDC level revolving fund
Water Quality Monitoring	WSP one of the indicators in the scheme-specific monitoring system. Laboratory facility at PMU.	WSPs piloted. Promoted on-site water quality testing.	Target to have WSPs in 2000 projects by 2015.
WASH Structure	Promote DWASHCC, VWASHCC. The existing Water Resources Management Committees introduced the	Establish and activate RWASHCC, DWASHCC, VWASHCC, DWASH Unit, MSF for coordination. Regional resources	Activation of RWASH-CC, DWASH-CC and V/M-WASH-CC. Regional resources

Issue	RVWRMP	RWSSP-WN I	UNICEF
	responsibilities of VWASHCC.	centers supported.	centers supported.
Procurement	User committees responsible for procurement.	Adopted community procurement system.	Procurement by UNICEF.
Transparency	All the decisions made in consensus of users. Public hearing and auditing is provisioned at least 5 times in scheme cycle.	Adopted 3 steps of public hearing and public auditing (one Public Hearing and two public audit per scheme).	Public hearing during ODF declaration on the costs and resources used for the ODF programme.
Service Outsourcing	DDC hires Support Organization (SO) or support persons.	DDCs/VDCs hire individual or institutional Service Providers	NGO involvement on sanitation promotion and arsenic mitigation
Monitoring & indicators	Process and compliance monitoring is carried out by DDC/DMC. MIS database and scheme card system is developed.	Compliance monitoring to be done by DWASH Unit, WASH MIS software developed and in place to support districts	Supporting the government to improve sector M&E.
Arsenic Mitigation	All affected households within the working districts have been covered with Arsenic Bio-sand Filters.	Model District Arsenic Mitigation Strategy (MDAMS) and applied in 3 Terai districts.	Arsenic mapping in 20 Terai districts and mitigation through NGOs and GoN.

Adapted from the Tripartite Harmonisation Matrix” (THM) of Finnish Support in Water Sector of Nepal (12.7.2011)

Background paper 8. Review of Guidelines, Policies and Papers

The Design team subscribes to the MTR suggestion that the guidelines need revision. There are far too many guidelines, they are not owned or sometimes not even known by those who are supposed to use them, and as a result many are not properly used.

S/N	Guidelines/Policies/Strategy papers	Need to review or drop	Remarks
Guidelines and Policies			
1	A Model Guideline for District Water Supply Sanitation and Hygiene (DWIG), July 2009	Review	See respective chapters of PD for required changes
2	Guideline for District and VDC WASH Plan Preparation (Guideline for WASH Planning), May 2011	Review	Format needs to be reduced to just one table
3	Model District Water Safety Monitoring Guideline, August 2010	Review	
4	Establishing District WASH Organizational Structure in DDC, Jan. 2010	Review	Look back what could be achieved during the Phase I
5	Model District Media and Communication Guideline, 2010	Review	
6	Community Medicine Funding System (Draft), 2011	Drop	Nothing could happen in Phase I
7	Body Mass Index (BMI) Guideline, 2010	Drop	Not practiced in all communities
8	School Teacher Orientation Guideline, 2010	Review	
9	Policy on Prevention of Harassment Including Sexual and Child Abuse, March 2010	OK	
10	Personal Administration Manual of RWSSP-WN (Revised), March 2009	OK	
11	Project Support Office Administration, Finance, Procurement and Property Management Manual, March 2009	OK	
12	District Guideline to Good Practices on WASH Promotion, Draft, Feb. 2009	Review	
Strategies			
1	Model District Arsenic Mitigation Strategy, March 2010	Review	Include practical part only
2	Gender Equality and Social Inclusion (GESI) Strategy and Institutional GESI Hand Book, Feb. 2009	Review	Too generic, focused on participation, not on effective participation or benefit; see main project document for required changes
3	Strategy and Action Plan for Drinking Water Quality Monitoring in RWSSP-WN, 2009	Review	

S/N	Guidelines/Policies/Strategy papers	Need to review or drop	Remarks
4	Institutional Capacity Assessment of DDC (separate for 9 districts), April 2009	Review	