



Rural Water Supply  
and Sanitation  
Project in Western  
Nepal Phase II

2015

# VDC WASH PLAN PREPARATION GUIDELINE



Project Support Unit  
FCG International Ltd  
2/16/2015

Endorsed by the RWSSP-WN II 2<sup>nd</sup> Supervisory Board meeting  
April 3, 2014, Kathmandu

## **TABLE OF CONTENTS**

---

2	FOREWORD .....	III
3	INTRODUCTION.....	4
4	V-WASH PLAN .....	5
4.1	PURPOSE OF V-WASH PLAN .....	5
4.2	KEY PRINCIPLES OF V-WASH PLAN.....	5
4.3	V-WASH PLAN AS PLANNING TOOL.....	5
4.4	CONTENT OF V-WASH PLAN.....	6
5	V-WASH PLAN PREPARATION PROCESS.....	6
5.1	STEP BY STEP PROCESS .....	6
5.2	TIME SCHEDULE .....	8
5.3	COST OF V-WASH PLAN PREPARATION AND CONTRIBUTION .....	8
5.4	SERVICE LEVEL AND HARDSHIP CALCULATION .....	9
6	METHODOLOGY OF V-WASH PLAN PREPARATION .....	9
7	DATA COLLECTION FORMATS.....	13
8	ROLES AND RESPONSIBILITIES.....	13
9	MONITORING .....	13

## **LIST OF FIGURES**

---

FIGURE 1. CHAIR MODEL OF WASH PLANNING .....	4
FIGURE 2. STEP BY STEP PROCEDURE OF V-WASH PLAN FORMULATION .....	7
FIGURE 3. V-WASH PLAN PREPARATION SCHEDULE .....	8

## **LIST OF TABLES**

---

TABLE 1 MAXIMUM COSTS FOR VDC WASH PLAN PREPARATION .....	8
TABLE 2 SERVICE LEVEL CLASSIFICATION CRITERIA .....	9

## **LIST OF ANNEXES**

---

Annex 1 Sample of Memorandum of Understanding between DDC and VDC
Annex 2 Role and Responsibilities of Different Stakeholders
Annex 3 Capacity Building Contents
Annex 4 Guidelines for Community Mapping
Annex 5 Tables of Contents for V-WASH Plan Report

Annex 6 V-WASH Plan Monitoring Formats

Annex 7 Costs of the V-WASH Plan Preparation

Annex 8 Climate Change Adaptation and Disaster Risk Reduction in V-WASH Plans

*Available as a separate book: Socio-Technical Data Collection Formats*

## **LIST OF ABBREVIATIONS**

---

DDC	District Development Committee
DMC	District Management Committee
DTO	District Technical Office
D-WASH-CC	District WASH Coordination Committee
DWS	Drinking Water Supply
FCHV	Female Community Health Volunteers
FY	Fiscal Year
GESI	Gender Equality and Social Inclusion
HRBA	Human Rights Based Approach
MIS	Management Information System
MOU	Memorandum of Understanding
MUS	Multiple Use Water Services
NPR	Nepalese rupee
O&M	Operation and Maintenance
ODF	Open Defecation Free
RVWRMP	Rural Village Water Resources Management Project
RWSSP-WN	Rural Water Supply and Sanitation Project in Western Nepal
SP	Support Person (individual hired by DDC)
TBC	Total Behavior Change
VDC	Village Development Committee
V-WASH-CC	VDC WASH Coordination Committee
WASH	Water supply, sanitation and hygiene
WCF	Ward Citizen Forum
WSP	Water Safety Plan
WUMP	Water Use Master Plan
WUSC	Water Users and Sanitation Committee
W-WASH-CC	Ward Level Water Sanitation and Hygiene Coordination Committee

## **2 FOREWORD**

---

The approach to VDC WASH Plan preparation follows the spirit of the Nepal National Sanitation and Hygiene Master Plan. It also brings in the good practices and lessons learned in preparing VDC Water Use Master Plans (WUMPs) as practiced over the past years by the Rural Village Water Resources Management Project (RVWRMP) in Mid and Far Western Nepal. It is as well applying the V-WASH Planning approach of the Rural Water Supply and Sanitation Project in Western Nepal, Phase I.

The Rural Water Supply and Sanitation Project in Western Nepal Phase II (RWSSP-WN II) hereby launches this V-WASH-Plan Guideline to support its working districts and their VDCs in preparing inclusive and comprehensive VDC-wide plans for water supply, sanitation and hygiene. The scope is broadened from sanitation-only or individual water supply-schemes only thinking into VDC-wide holistic and integrated planning that pays attention to all clusters of each ward and hence, is also in line with the human rights based approach to WASH. Issues related to water safety, disaster risk reduction and climate change are incorporated.

This guideline will be finalized towards the end of the RWSSP-WN II based on lessons learned over the coming year, and shared in the national forums for continued learning and development.

RWSSP-WN Phase II

Pokhara, Kaski District, Nepal

March 2014

### 3 INTRODUCTION

This manual instructs the process of V-WASH Plan preparation through a step-wise process. V-WASH Plans are the basic plans for development of water supply, sanitation and hygiene.

Quality drinking water and sanitation facilities are basic human rights. Development of the WASH sector will have positive impacts upon health and healthy workers that will in turn contribute to the growth of other productive sectors. The use of safe drinking water combined with good hygienic habits will significantly control waterborne diseases and minimize health expenses incurred in treating such diseases. In rural villages, many diseases are related to poor water and sanitation.

#### **Did you know?**

*Safe water supply refers to the withdrawal or abstraction of surface or ground water, and including rainwater harvesting, and its subsequent treatment, storage, transmission and distribution for drinking and other purposes including economic. The water supplied for drinking purposes should meet Nepal's National Drinking Water Quality Standards, 2005.*

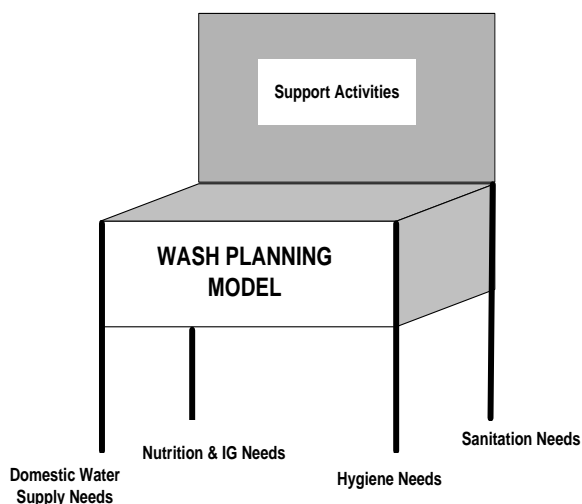
The target as per the 'Rural Water Supply and Sanitation Policy 2004' is to provide the service of water supply and sanitation to all the people by 2017. The Government of Nepal investments in water supply and sanitation and the coverage target by 2017 are primarily guided by its Twenty-Year Vision (1997-2017), and the National Water Plan (2002-2017). The Local Self Governance Act 1999 seeks to strengthen the decentralization process by delegating greater authority and responsibility to local authorities. The V-WASH Plan provides direction to the VDC to achieve these targets.

The primary target of the WASH program is to declare community, Wards, VDC and district as open defecation free (ODF) areas and the ultimate target is to declare total behavioral change (TBC) in hygiene and sanitation.

Development of the V-WASH Plan, utilizing the scientific methods of supply and demand analysis and its integration in effective use through community participation, has given an appropriate plan, based on which the water schemes could be implemented to yield best results. The V-WASH Plan is a product of participatory, bottom up and partially top down planning process.

Simple WASH planning is compared with the chair model, which consists of four legs and back rest. All four legs have their distinct meaning and planning approach. The first leg depicts domestic water supply, the second - hygiene, the third - sanitation and the fourth leg depicts nutrition and income generation (IG). The back rest of the chair depicts supporting activities.

*Figure 1. Chair Model of WASH Planning*



## 4 V-WASH PLAN

### 4.1 PURPOSE OF V-WASH PLAN

VDC WASH Plans (V-WASH Plans) are both for improvement of WASH services and establishing the baseline (both existing and targeted). The V-WASH Plan is to be a commonly accepted plan prepared by the communities under guidance of the VDC, and thus reflecting local demand and responsibilities.

The V-WASH Plan identifies the existing use of water resources in a VDC and makes an integrated plan for use of water in a rational, equitable and sustainable way for domestic water supply, as well as plan on how to achieve Total Behavioural Change in Hygiene and Sanitation.

The objectives of V-WASH Plan are:

- Inventory of water resources and the existing water and sanitation related infrastructure/ facilities
- Identification and prioritization of potential activities in drinking water, hygiene & sanitation, and Nutrition and Income Generation sector
- Preparation of VDC level strategic and annual WASH Plans
- Establishment of base line on water, sanitation and hygiene and establish target for 100% achievement on sanitation, water and hygiene (to achieve 100% ODF and TBC in H&S)
- Promoting permanent Total Behavioral Change in Hygiene and Sanitation
- Integration of VDC WASH plan into other development plans<sup>1</sup> in an integrated manner

#### **Did you know?**

*Sanitation is defined as the safe management of human excreta, including the hardware (toilets, etc.) and software (regulation, hygiene promotion, etc.) needed to reduce fecal-oral disease transmission.*

#### **Did you know?**

*Environmental Sanitation refers to the wider concept of controlling all the factors in the physical environment that may have a deleterious impact on human health and well-being. It normally includes drainage, solid waste management, and vector control, in addition to the activities covered by sanitation.*

### 4.2 KEY PRINCIPLES OF V-WASH PLAN

- Leadership of local government and management of community
- Promote bottom up approach of planning
- Fully participatory and inclusive process, taking into account the rights of all people
- Capacity enhancement at local level
- Awareness of community in key aspects
- Water resources inventory and analysis
- Schemes prioritization on the basis of felt need
- Identification and planning for watershed and water resource conservation for WASH sector and considering relevant climate change adaptation and disaster risk reduction aspects

### 4.3 V-WASH PLAN AS PLANNING TOOL

The VDCs can use their V-WASH Plans for:

- Annual/periodic planning and prioritization of WASH sector activities.
- “Marketing and coordination tool” to attract projects, donors, NGOs and government agencies to work in and invest in the concerned VDCs.

<sup>1</sup> For example ‘Local Adaptation Plan for Action’

- VDC can make acceptance of V-WASH Plan and its prioritized investment plans a pre-condition to work in the WASH sector in the concerned VDCs.
- Enabling easy updating of WASH inventory and water supply related infrastructure/ facilities
- Ensuring active participation of all section of community including male, female, ethnic groups, people with disability and people of all region of the VDC so that the plan is understood and owned by each and every households of the community.
- Ensuring climate change adaptation and disaster risk reduction in WASH activities.

#### **4.4 CONTENT OF V-WASH PLAN**

The integrated and holistic WASH plan leads to sustainable development of domestic water supply and hygiene and sanitation facilities. The V-WASH Plan should include at least the following:

- Inventory of available water resources and their current use (existing situation of water use, level of facilities, functionality status of facilities)
- Socio-economic baseline information (demographic, land holdings, income activities, health & hygiene situation, resources, opportunities, access, services, supports, and other activities)
- A sustainable and balanced domestic water supply, hygiene and sanitation facilities development plan with due consideration on environment, DRR, climate change adaptation and human rights
- Gender sensitive, inclusive, pro-poor and socially accepted development priorities of the communities
- Preliminary design and costing of potential investments or other activities such as capacity building.

A standard Table of Contents for V-WASH Plan is presented in Annex 5 of this Guideline.

### **5 V-WASH PLAN PREPARATION PROCESS**

#### **5.1 STEP BY STEP PROCESS**

V-WASH Plan preparation is a step-by-step process. It must take place in close coordination and steering by the concerned VDC to ensure commitment in and ownership of the plan by the local authorities, political parties and the communities. Similarly, DDC should endorse the V-WASH Plan and thus be involved in its preparation. However, VDCs and DDCs do not have all required human resources and professionals to make the V-WASH Plans by themselves alone. External financial and human resources are necessary to facilitate and assist VDC/DDC and communities in the participatory resource inventory and planning process.

It is anticipated that in the future VDCs and DDCs would be more capacitated to take the entire responsibility of VDC WASH planning preparation, also using local and external human resources for facilitation and professional tasks. These WASH plans should be approved by the VDC and endorsed by district council. The major steps are the following and the steps are presented on the figure.

The step-wise V-WASH Plan preparation process comprises three (3) main phases:

- Pre-planning phase (steps 1 to 5);
- Planning phase (steps 6 to 11), and
- Post-planning phase (steps 12 to 16).



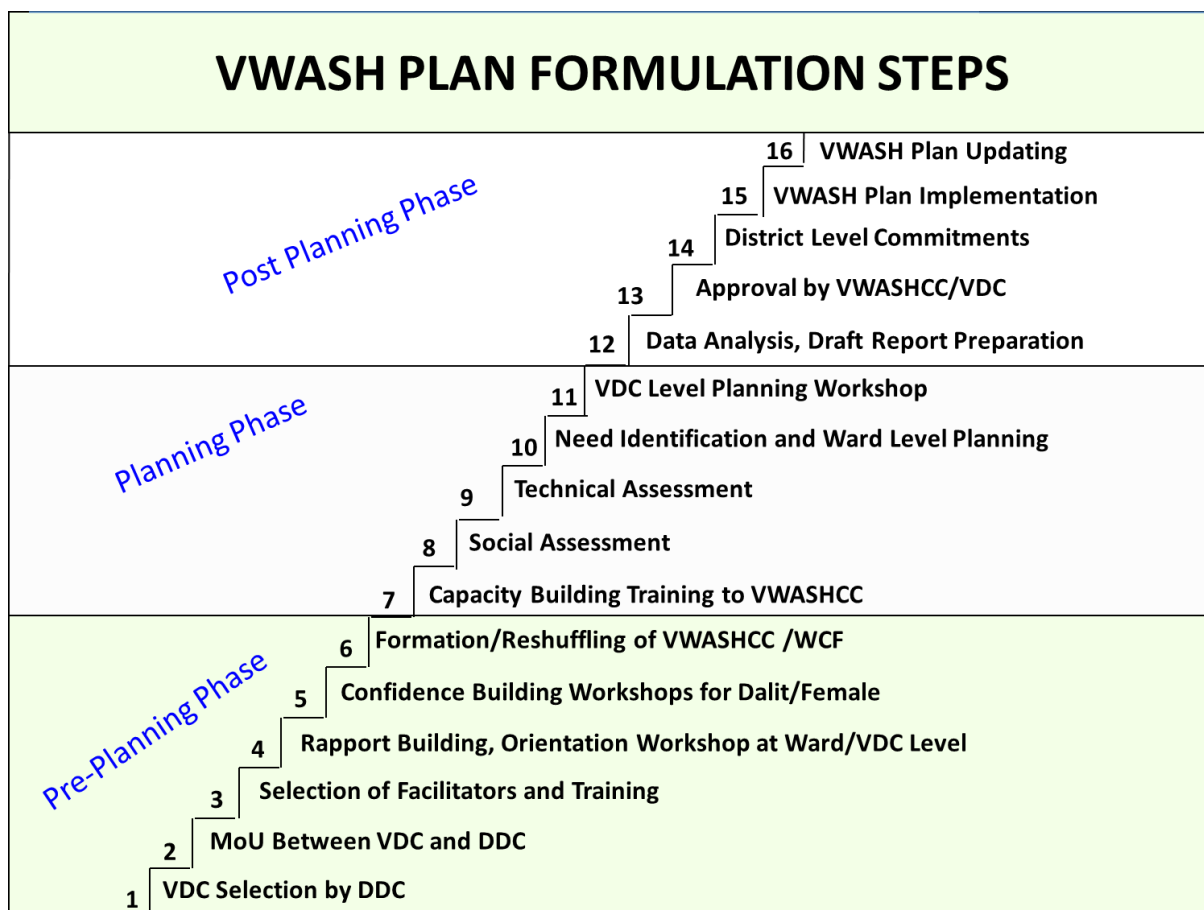


Figure 2. Step by Step Procedure of V-WASH Plan Formulation

**In the Pre-planning phase** awareness raising and capacity building of the community activities are carried out, mobilizing the ward citizen forum, community organization, and other CBOs existing in the VDC. Such orientation meetings will mainly focus to inform and orient the general public on the V-WASH Plan to ensure their participation and ownership of the V-WASH Plan preparation process in the coming steps. Similarly, confidence-building workshops are organized for females and DAGs to enhance their confidence to speak publically and their leadership capacity, making them able to participate in the different V-WASH Plan steps. As a result of the pre-planning phase activities the communities and WCF/V-WASH-CC shall be able to understand the V-WASH Plan and be organized for consensus planning.

**In the Planning Phase** a team of facilitators will be engaged for training the V-WASH-CCs. Facilitators carry out participatory social and technical assessments and conduct ward and VDC level need identification and planning workshops.

**In the Post-planning Phase** a workshop is organized at the district level to introduce the plan to the DDC and other stakeholders. DDC's endorsement for the V-WASH Plan is important. Also, recognition and appreciation of the V-WASH Plan is sought from other stakeholders at the district and the central levels.

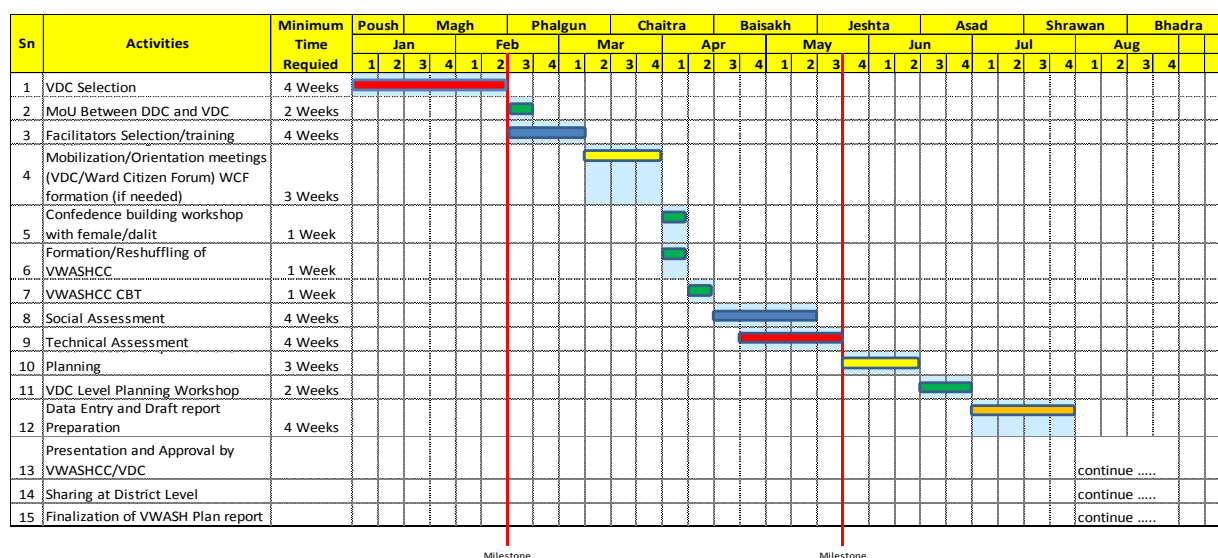
V-WASH Plans will be translated into ward WASH maps showing priority communities, households and schemes. Such maps will be displayed at an easily visible place.

**The V-WASH Plan will be reviewed annually** and updated fully every five years. In principle, the same 16-step process will be repeated for updating the plan. However, many steps can be taken with much less effort in the process of updating. Updating would be useful at least every five years prior to periodic planning.



## 5.2 TIME SCHEDULE

In V-WASH Plan preparation all the existing and potential water sources are measured to analyze and plan the water supply activities. Therefore, all the sources must be measured during dry period of the year. Before measuring the water resources the community should be aware of V-WASH Plan preparation and the capacity building training to the V-WASH-CC should be completed to ensure proper participation and realization by the community. To capture the driest period of the year, the technical assessment must be completed by the third week of May; and to complete all other preparation activities before technical assessment, VDC selection must be completed by the second week of February. Field work of V-WASH Plan preparation should not coincide with peak agricultural activities in the concerned areas. The ideal time schedule of V-WASH Plan preparation is presented in Figure 3 below.



### Unavoidable Deadlines:

1. VDC selection must be completed by the end of Magh 2069
2. Facilitators selection and their training MUST be completed by 3rd week of Magh 2069
3. Technical Assessment MUST be completed by first week of Jestha (source measurement in dry season)

Figure 3. V-WASH Plan Preparation Schedule

## 5.3 COST OF V-WASH PLAN PREPARATION AND CONTRIBUTION

The cost of the V-WASH plan is revised based on the current market price. VDC contribution is mandatory. The maximum cost of one V-WASH Plan preparation is presented below. Average VDC contribution for V-WASH Plan preparation is 23% (minimum 10%) and DDC/DDF contribution is 77%. More details in Annex 7. Cost of equipment like GPS, Altimeter are not included in above cost.

Table 1 Maximum Costs for VDC WASH Plan Preparation

	Particular	Cost
1	Human Resources	94,000.00
2	Training and Workshops	62,900.00
3	Format and Stationeries	10,000.00
4	Data Entry	5,000.00
5	Report Preparation	10,000
6	VDC Level Presentation	10,000
7	Monitoring	10,000
	Total	201,900.00

## 5.4 SERVICE LEVEL AND HARDSHIP CALCULATION

The service level of drinking water is identified based on five different parameters. The overall service level of one household is defined according to the parameter having the lowest score. For example, if a household has four parameters in the first service level but one parameter in the second, third or fourth service level, the overall service level is defined according to the parameter on the lowest level.

*Table 2 Service Level Classification Criteria*

Service Level	Average Fetching Time (minutes)	Quantity (LPCD)	Quality of Water	Reliability (month/ year)
Good (Level 1)	≤ 15	≥ 45	Good, no possibility of contamination	12
Acceptable or Moderate (Level 2)	>15 ≤ 30	≥25 < 45	Moderate likely to be contaminated	≥ 11 <12
Poor (Level 3)	> 30 ≤ 45	≥ 15 <25	Poor, high chances of contamination	≥ 10 <11
Very Poor (Level 4)	> 45	< 15	Very poor, contaminated and intolerable	< 10

After the service level calculation, for comparison of facilities between the settlements, wards and VDCs, the hardship score is calculated using a simple formula:

### ***Hardship Score Calculation***

$$H = (0 \times SL1) + (1 \times SL2) + (2 \times SL3) + (3 \times SL4)$$

Where,

H = Hardship Score

SL1 = % of households fall in service level 1

SL2 = % of households fall in service level 2

SL3 = % of households fall in service level 3

SL4 = % of households fall in service level 4

If all the households fall in the service level 1, the hardship score would be 0 and if all the households fall in the service level 4, the hardship score would be 300. Therefore, the hardship score of any of the units falls between 0 and 300. It provides basis for comparison of the status of existing facilities. It is one of the key bases for prioritization for water supply schemes. Households scoring level 1 are considered to have their basic right to water fulfilled – although improvements may be desired.

The community can decide based on participatory processes, and also other criteria for prioritization of schemes such as focusing especially on the unreached households, deprived communities, ethnic minorities, etc. who are previously unserved by improved water supply supported by interventions external to VDC.

## 6 METHODOLOGY OF V-WASH PLAN PREPARATION

An array of methodologies is utilized in V-WASH Plan preparation:

- Desk studies for collecting existing data, maps
- Community mobilization using e.g. PRA tools, group discussions, mass meetings
- Formation or activating Community Based Organizations including WCFs and V-WASH-CCs
- Capacity Building Training to V-WASH-CC
- Field data collection of socio-economic situation

- Field inventory of water resources and existing infrastructure
- Data analysis, pre-feasibility level planning and costing of proposed projects
- Need identification at ward level
- Planning workshops at ward and VDC level
- Production of reports

Utilization of GIS is a must in V-WASH Plan preparation. Sources, settlements, public buildings will be geo-referenced using GPS in the field. Standard database will be used. Field data collection can be fully manual or partly automatic. Manual data collection means that all data, measurements, GPS readings, etc. will be stored on paper.

#### STEP BY STEP INSTRUCTIONS FOR V-WASH PLAN PREPARATION

Sn	V-WASH Plan Step	Process
1	VDC Selection	VDCs for V-WASH Plan preparation are selected by DDC based on the priorities set in the District Strategic WASH Plan.
2	MoU Between DDC and VDC	DDC and VDC sign MoU for V-WASH Plan preparation immediately after selection of the VDC, mentioning the proposed contribution pattern for V-WASH Plan preparation. MoU is only for V-WASH Plan preparation support, it does not guarantee the implementation of the planned activities from DDC. VDC will commit to declare VDC ODF/TBC within one year following National Sanitation and Hygiene Master Plan. See Annex 1 for a sample MoU.
3	Facilitators Selection/ training	Facilitators are selected, trained and mobilized for V-WASH Plan preparation. Composition of human resources per VDC will be:  Field Coordinator (1)  Sub Engineer (1)  Additional human resources like enumerators shall be assigned by VDC. VDC to be encouraged to use women or DAGs, particularly persons speaking local languages. Respective District Management Committee (DMC) will decide on mode of human resources mobilization and cost sharing. DMC may decide to mobilize existing human resources working in WASH section for V-WASH Plan preparation process. Field Coordinator, Sub Engineer and VDC secretary are trained for V-WASH Plan preparation. Please see Annex 3 for Capacity Building Training
4	Rapport Building/ Social Mobilization/ Orientation meetings (VDC/Ward) and V-WASH-CC formation/ reshuffling	The V-WASH Plan preparation team organizes a series of meetings with VDC officials, V-WASH-CC members, Female Community Health Volunteers (FCHVs), teachers and key persons, and discusses the process of V-WASH Plan preparation; and visits all wards to have an idea on the status of the VDC. The VDC level orientation workshop on V-WASH Plan preparation and ward level orientation in each ward is organized to raise the awareness of the community on the V-WASH Plan, its importance and their role in V-WASH Plan preparation. Content of the orientations is presented in Annex 3. The preparation team should ensure that persons from all households are present, including women and DAGs.
5	Confidence building workshop	After completion of all ward level orientations, the women and Dalit (or other DAGs) confidence building workshop of two days is organized to

	with females/Dalits	raise awareness of those people, build their confidence and encourage them to participate in the following planning steps. See Annex 3.
<b>6</b>	Formation/ Reshuffling of V-WASH-CC	One day meeting with all V-WASH-CC members and selected representatives from different wards is organized in presence of the school management committee chairpersons, FCHVs and school headmasters. In order to ensure GESI representation, the V-WASH-CC is reshuffled (so that at least 50% of female and proportionate participation of all ethnic groups and wards is ensured).
<b>7</b>	V-WASH-CC CBT	Five-day Capacity Building Training on community capacity, emphasizing rights to water and sanitation, participation, development, gender sensitization, communication, TBC in H&S, WASH Plan development concept and legal issues will be conducted with the V-WASH-CC/WCF before conducting the social assessment. Training content is presented in Annex 3. Additionally, an observation tour to the communities where V-WASH-CC is already active may be organized by the DDC.
<b>8</b>	Social Assessment	Field Coordinator, Sub Engineer and Enumerators carry out social assessment based on the developed formats that include:  Preparation of community map and identify the status of the water supply/source Demographic data  Socio economic data  Present water use data and other data including climate change and DRR aspects as per questionnaire set  Community map preparation process is presented in Annex 5. Full set of social and technical questionnaire are presented in Annex 9.
<b>9</b>	Technical Assessment	Sub Engineer, in support of VDC technical assistant or support staff carry out technical assessment based on the developed formats that includes:  Assessment of existing schemes and facilities  Discharge measurement of existing used and potential water sources  GPS of all measured water resources and settlements is taken at the same time. Technical assessment formats are presented in Annex 9.
<b>10</b>	Need Assessment/ Ward Level Planning	After completing social and technical assessment, ward level needs assessment/planning workshop is organized. Community map is used for gap mapping to assess the needs of the community. The workshop will be facilitated by Field Coordinator and Sub Engineer. Needs of community in sanitation and hygiene, drinking water supply and potentiality of multiple-use of water systems (MUS) will be discussed and the schemes will be designed/identified. Targets for ODF/TBC will be discussed also. The community sets priorities through participatory exercises based on the pre-defined criteria and hardship of the community. The Water Citizen Forum participates in the meeting.  Participation from each household is important in planning, as this is the key step for V-WASH Plan preparation. Similarly, participation of

		women, ultra-poor and disadvantaged groups, must be ensured in this exercise.
<b>11</b>	VDC Level Planning Workshop	The VDC level planning workshop is organized after completion of the need assessment/ward level planning. The V-WASH-CC participates in the workshop. Before conducting the VDC level planning workshop, all the ward level plans must be consolidated. The schemes covering more than one ward will be redefined. At the VDC level workshop the planning of ward schemes are discussed and prioritized based on hardship and pre-defined and agreed criteria, such as previously unreached households, disadvantaged groups, and ethnic minorities etc. Service level and Hardship Score of the settlements/wards will be referred to as the key basis for prioritization. At the same time, the VDC commits itself to declare VDC as ODF and TBC in H&S. The workshop will make a five-year action plan and detailed one-year action plan of the VDC.
<b>12</b>	Draft V-WASH Plan Preparation	All the data will be entered, analyzed and the draft V-WASH Plan report will be prepared.
<b>13</b>	Presentation and Approval by V-WASH-CC/VDC	The draft V-WASH Plan report of the VDC is presented to the V-WASH-CC/VDC and the information and planning is finally verified. The final report will be approved by the VDC council. V-WASH Plans will be translated into ward WASH maps showing priority communities, households, schemes etc. Such maps will be displayed at an easily visible place, so that they are available to all interested community members, and they can be used for status review of the plan later on
<b>14</b>	Post V-WASH Plan workshop	V-WASH-CC organizes a district level post V-WASH Plan workshop to share the V-WASH Plan and get commitment from different sector actors to support in implementation of V-WASH Plan. All existing and potential stakeholders are participants of the workshop.
<b>15</b>	V-WASH Plan implementation, mobilization, marketing	<p>VDC/V-WASH-CC identifies a funding agency for the V-WASH Plan implementation (if not already agreed) based on the five and one year action plan, and all the activities prioritized in the V-WASH Plan will be implemented based on the priority order.</p> <p>Each year, before VDC council, the V-WASH-CC reviews the status of the V-WASH Plan implementation and sets a one year action plan for the next year. The action plan is approved by the VDC council. V-WASH-CC/VDC continues to approach funding agencies for finance to assist with implementation of the V-WASH Plan and the VDC also allocates internal resources and mobilizes the community for V-WASH Plan implementation. The V-WASH-CC should keep the community informed regarding plans, funding and progress.</p>
<b>16</b>	V-WASH Plan Updating	After completion of five years of the V-WASH Plan implementation, the VDC updates the status and reviews the plan, and gets approval from the VDC council.

## **7 DATA COLLECTION FORMATS**

---

A set of data collection formats is developed to prepare V-WASH Plan. It includes both social and technical data. The data collection formats are presented in Annex 9. The set of questionnaires includes among others:

- Demographic
- School and other institutions
- Existing status of water supply schemes
- Water resources status and their yield
- Planning formats
- Data collection guidelines

## **8 ROLES AND RESPONSIBILITIES**

---

The VDC is the lead agency in V-WASH preparation and the DDC provides guidance and monitors the activities. The Ward Citizen Forum and V-WASH-CC prepare the V-WASH Plan with full participation of the community. Detail roles and responsibilities are presented in Annex 2. DDC provides technical backstopping in key bottlenecks of V-WASH Plan preparation e.g. VDC level planning workshop, Capacity Building training to V-WASH-CC and VDC level planning workshop. DDC supports separately the sanitation activities, especially for training of triggers and awareness campaigns.

## **9 MONITORING**

---

VDC closely monitors the V-WASH Plan preparation task regularly. To ensure the quality of capacity building activities, and the activities carried out as per the Step by Step process, monitoring is carried out through monthly reporting of the V-WASH facilitators.

Field Monitoring of V-WASH activities will be done by a team composed of personnel from DDC (DDC members or LDO or planning officer or programme officer), DTO (DTO chief or engineer or overseer) and sector agencies and donors. The minimum number of monitoring visits during V-WASH Plan preparation is one (though more can be conducted to assist the process). The monitoring is carried out during the VDC level planning workshop. The monitoring format is presented in Annex 6.

Key monitoring indicators are:

- Participation of people (Qualitative and quantitative indicators)
- Proportion of household attending meetings (inclusion/gender, ethnicity, poverty, all clusters) – quantitative
- Retention of V-WASH Plan objective and process in sample of 10-15 household – qualitative
- Verification of inventory data
- Cross-checking / measurement (source yield, GPS readings, etc)
- Interviews / discussions with men and women
- Compliance with announced time frame
- Progress report versus initial time frame
- Dates of submission of progress reports
- Quality of reports submitted

## **Annex 1. Sample of Memorandum of Understanding between DDC and VDC**

---

### **Memorandum of Understanding for V-WASH Plan Preparation**

**between**

**District Development Committee..... and Village Development Committee.....**

#### **Background**

The Local Self Governance Act (1999) has accepted the self-governance of VDC and Municipality and spelled out the work, rights and duties of those agencies in water resources development and protection, survey of water supply schemes, construction and operation and maintenance of schemes through User Committees. It has provided right to collect operation and maintenance fund of the schemes. The act has visualized the formulation of master plan of all sectors. Considering the need of planned development, protection and rational distribution of water resources ... VDC of..... district has decided to formulate VDC WASH Plan (V-WASH Plan). In the same line DDC ..... has selected..... VDC for the purpose of V-WASH Plan preparation.

..... Village Development Committee (hereinafter referred as "VDC") ... District Development Committee (hereinafter referred as "DDC") and Rural Water Supply and Sanitation Project in Western Nepal Phase II (hereinafter referred as "Project") have agreed to formulate V-WASH Plan ensuring active participation of poor, female, dalit, janjati and disadvantaged groups with the objectives of enhancing water supply, sanitation and hygiene activities perusing following conditions.

#### **Objectives**

Objectives of the MoU are as follows;

- Support community to formulate V-WASH Plan ensuring inclusion and participation of females and disadvantaged groups of the community.
- Help to develop concept of sustainable and optimum utilization, conservation and management of water on the basis of need and priority of community.
- Develop mechanism for support in implementation of identified and prioritized schemes among VDC and other development agencies. Also support to implement schemes for direct benefit of local community and assist for sustainable management of constructed structures.

#### **Scope**

The scope of the MoU is limited only to formulation of V-WASH Plan of ..... VDC in full participation of all section of community. Project and DDC do not commit to any kind of support in implementation of planned activities. But it includes capacity building and other awareness activities and rewards for ODF campaign according to D-WASH-CC/V-WASH-CC strategy and action plan.

#### **Duration**

Duration of this MoU is fixed till completion of V-WASH Plan formulation process. The process shall be completed by..... and shall be approved by forthcoming VDC council.

#### **Role and Responsibilities**

VDC is executing agency of water use section, so the V-WASH Plan shall be VDC's property. Prioritization of activities, searching funding sources, implementation, monitoring and evaluation of planned activities shall be VDCs responsibility. DDC ..... and Project shall play role of facilitator in the process. Summary of the role and responsibilities is presented below. Detail of role and responsibilities is presented in annex 2.



Stakeholder	Key Role and Responsibilities
Ward Citizen Forum (WCF)	Actively participate in assessment and planning process at ward level. Raise awareness of the community regarding participation in V-WASH Plan formulation and sanitation activities. Ensure that all community members have a voice in the process and are not excluded for any reason (linguistic, physical, discrimination, etc) Conduct sanitation triggering activities.
VDC level Water, Sanitation and Hygiene Coordination Committee (V-WASH-CC)	Lead and coordinate the V-WASH Plan preparation process. Support the V-WASH Plan facilitation team in the social and technical assessment. Prioritize the identified activities. Marketing of the V-WASH Plan and its implementation, ensuring that all community members are aware of its contents (via discussion and posters, etc). Annual review of the V-WASH Plan action plan and submit to VDC council for approval.
Village Development Committee (VDC)	VDC is the lowest level duty bearer for ensuring the access to water and sanitation by all members of the community. Provide necessary support for V-WASH Plan preparation. Finance for V-WASH Plan preparation. Approve V-WASH Plan from VDC council. Submit to DDC for endorsement. Search resources for V-WASH Plan implementation proposing to different agencies.
District Development Committee and District Technical Office	Provide guidelines, formats, financial and technical assistance for V-WASH Plan preparation. Assist VDC for V-WASH Plan mobilization and marketing. Endorse V-WASH Plan from district council. Support ODF campaign as per V-WASH-CC strategy and action plan.
Rural Water Supply and Sanitation Project in Western Nepal, Phase II	Provide guidelines, formats, financial and technical assistance for V-WASH Plan preparation. Support ODF campaign as per V-WASH-CC strategy and action plan.

### Financial Management

Total cost of V-WASH Plan preparation in ..... VDC is estimated NPR ..... . Contribution from different stakeholders shall be as follows. Detail breakdown is presented in Annex .....

Sn	Description	Total Cost	Contribution			Remarks
			DDC	VDC	Project	
1	Human Resources					
2	Training at VDC level					
3	Questionnaire and Stationeries					
4	Data Entry					
5	V-WASH Plan writing					
6	District level workshop					
7	VDC Level presentation workshop					
8	Monitoring Cost					
9	Equipment cost not included in this costing					
	<b>Total</b>					

### **Disagreements**

Terms and conditions of the MoU might be reviewed with mutual agreement. If any kind of disputes arose during its implementation, all the disputes shall be solved through mutual discussions. If it could not be solved through mutual discussion, it shall be forwarded to project supervisory board or steering committee and the decision of that committee shall be final.

### **Signature**

A copy of MoU will be available to all signing parties.

On behalf of VDC

On behalf of DDC

#### **Signature:**

Name:

Position: VDC Secretary

Date:

Office Stamps:

Witness:

VDC level representatives of active political parties

#### **Signature:**

Name:

Position: Local Development Officer

Date:

#### **Annexes:**

- 1) Detail of costing for V-WASH Plan preparation
- 2) Role and Responsibilities of different stakeholders
- 3) V-WASH Plan preparation steps

## **Annex 2. Roles and Responsibilities of DDC, VDC, RWSSP-WN II, V-WASHCC, WCF and Support Organization/Persons**

---

V-WASH Plan Steps	DDC	VDC	RWSSP-WN II	Support Persons	V-WASH-CC	WCF
<b>VDC Selection</b>	Select new VDCs based on the selection criteria	Commit for investment in V-WASH Plan preparation support DDC in field verification	Provide criteria for VDC selection, guidelines and technical support			
<b>Memorandum of Understanding</b>	Prepare and Sign the MoU	Sign the MoU and allocate fund for V-WASH Plan	Support to prepare V-WASH Plan			
<b>Facilitators Selection and Training</b>	Nominate Team Leader and other facilitators for V-WASH Plan preparation	Recruit and appoint two enumerators				
<b>Rapport Building and Orientations</b>	Monitor the activities	Provide necessary support in field in orientation meetings. Provide working room for field staffs in VDC office	Provide guidelines, formats and monitor the activities	Conduct VDC and Ward Level orientation meetings and reshuffle Ward Citizen Forum. Ensure consultation & participation of all.		Select DAG and female participants for confidence building workshop.
<b>Confidence building workshop to DAG and Females</b>	Provide necessary training materials/ Guidelines	Provide Support in Training as required	Provide necessary training materials	Conduct Training		Send participants for the training
<b>V-WASH-CC Formation/ Reshuffling</b>	Provide necessary training materials/ Guidelines	Organize meeting, participate actively and chair V-WASHCC	Provide necessary training materials/ Guidelines	Facilitate the Meeting, ensuring membership reflects representation in community (gender, DAGs)	Select six Master Triggerers (3 male, 3 female)	Send participants for the meeting
<b>Capacity Building Training to V-WASH-CC</b>	Monitor the training	Organize the training	Provide necessary training materials/ Guidelines Organize training for Master Triggers	Conduct and facilitate the Training. Use active training techniques, drawings & simple concepts, expressed in local languages where possible.	Participate in the training. Focus on changing attitudes and behaviours, not only on achieving ODF declaration	Select Ward level triggers and send for training

V-WASH Plan Steps	DDC	VDC	RWSSP-WN II	Support Persons	V-WASH-CC	WCF
<b>Social Assessment</b>	Provide guidelines and formats	Ensure reliability of collected data, provide necessary support to field team	Provide guidelines and formats	Prepare community resources map, with participation of all groups, and collect necessary information as per prescribed format and guidelines	Support study team, Ensure community participation Disseminate information to community	Actively participate in social assessment process and provide necessary information. Conduct triggering activities at ward level
<b>Technical Assessment</b>	Provide guidelines and formats	Ensure reliability of collected data, provide necessary support to field team	Provide guidelines and formats and GPS	Measure the water resources and technically evaluate the existing water supply schemes. Fill the formats as prescribed.	Support study team, Ensure community participation. Disseminate information to community	Help measuring all water sources. Provide necessary information to assessment team and check with local community regarding normal water levels.
<b>Need Identification and ward level planning</b>	Provide guidelines and formats	Lead the planning process and facilitate the meetings	Provide guidelines and formats	Develop the scheme design. Conduct Gap mapping. List identified and prioritized water resources activities	Encourage participation of the community. Provide necessary activities.	Actively participate the planning process Encourage participation of the community Prioritize the activities
<b>VDC level Planning Workshop</b>	Nominate and send monitoring team	Organize the workshop and actively participate	Monitor the planning process	List out the activities based on the ward level planning. Conduct the workshop	Actively participate. Prepare sector priorities Prepare one and five year planning Prepare one year action plan and monitoring plan	Continue ward level sanitation activities and toilet construction along with its monitoring

V-WASH Plan Steps	DDC	VDC	RWSSP-WN II	Support Persons	V-WASH-CC	WCF
<b>Draft V-WASH Plan Writing</b>	Analyze data and produce draft V-WASH Plan report, including identification of the 'unreached'.	Provide necessary support in V-WASH Plan drafting and additional information as per need	Provide technical and financial support for V-WASH Plan data processing and report writing		Formulate strategy and action plan to declare the VDC ODF within one year	Accelerate the toilet construction and monitor the activities at ward level – remember the importance of behaviour change
<b>Presentation of V-WASH Plan to VDC/V-WASH-CC and approval, Approval from village council</b>	Support in presentation and finalize the V-WASH Plan	Present V-WASH Plan to V-WASH-CC and get approval from VDC council	Provide necessary support			
<b>Presentation at district level and approval by district council</b>	Organize stakeholders meeting at district level. Bear the cost of the meeting Endorse V-WASH Plan from District Council	Present the V-WASH Plan at district level. Propose funding to different agencies.	Provide necessary support	Regularly organize Triggering activities and other awareness creating activities. Construct toilet in schools and institutions Initiate total sanitation related activities.		Accelerate the toilet construction and monitor the activities at ward level
<b>V-WASH Plan Mobilization, Implementation and Marketing</b>	Assist VDC in finding donor for V-WASH Plan implementation and coordination. Support in V-WASH Plan marketing	Manage necessary fund for V-WASH Plan implementation, identify and mobilize other resources Assist in scheme implementation and monitoring Allocate fund for sanitation activities	Provide financial and technical assistance for institutional toilet construction, rewards and provide support organizing triggering activities.		Review the Status of V-WASH Plan implementation each year before VDC council. Prepare the next year's action plan and submit to VDC council for approval. Declare VDC ODF	
<b>V-WASH Plan updating</b>	Provide necessary support for V-WASH Plan preparation	Update V-WASH Plan in each five years.			Continue total sanitation activities	Continue total sanitation activities

## Annex 3. Capacity Building Contents

### 1. V-WASH Plan Preparation Training

**Participants:** VDC Secretary, Field Coordinator, Sub Engineer

**Duration:** 4 Days

**Timing:** Immediately after VDC Selection

**Objectives:** “Make familiar and orient about V-WASH Plan preparation process, different formats and increase the capacity to conduct community based training to SP”

SO Staffs/SPs Orientation Content for V-WASH Plan Preparation				
Date & Time	Day I	Day II	Day III	Day IV
<b>08:00 - 08:30</b>	Breakfast	Breakfast	Breakfast	<b>Breakfast</b>
<b>Session I 8:30 – 10:00</b>	Opening Session	Review of Previous Day CBTs on V-WASH Plan preparation	Review of Previous Day Data collection format detail of existing water supply schemes	<b>Review of Previous Day Data collection format detail of planned water supply schemes</b>
<b>Session II 10:00 – 11:30</b>	Introduction of project	Social and technical assessment process	Data collection format detail of existing water supply schemes	<b>Data collection format detail of planned water supply schemes</b>
<b>11:30 – 11:45</b>	Tea	Tea	Tea	<b>Tea</b>
<b>Session III 11:45 – 12:45</b>	WASH concept and V-WASH Plan Process	Data collection guideline GPS orientation and practical	Data collection format detail of ongoing water supply schemes	<b>VDC level planning process</b>
<b>12:45 – 1:45</b>	Lunch		Lunch	<b>Lunch</b>
<b>Session IV 1:45 – 3:00</b>	V-WASH Plan Process overview	Data collection social guideline	Need identification and ward level planning	<b>Action plan</b>
<b>3:00 – 3:15</b>	Tea		Tea	<b>Tea</b>
<b>Session V 3:15 – 5:00</b>	<b>Sanitation and Hygiene Master Plan and TBC</b>	<b>Data collection format existing scheme</b>	<b>Need Assessment and planning</b>	<b>Closing</b>



## **2. VDC Level Orientation Workshop**

**Participants:** V-WASH-CC Members, FCHVs, Teachers, Social mobilizers, Political party representatives, Chairperson and Manager of Community organizations, NGO representatives, Cooperatives Representatives, Other working Staffs'

**Duration:** 1 Day

**Timing After:** First event at VDC level

### **Objectives**

- Orient on project and V-WASH Plan and its preparation process at VDC level.
- Ensure the participation of community in V-WASH Plan preparation process.

### **Contents**

- Objectives of the Workshop
- Introduction of project and Sanitation and National Sanitation Hygiene Master Plan
- Introduction of V-WASH Plan: What? How and When?
- Role and Responsibilities of different stakeholders in V-WASH Plan preparation
- Assessment of existing status of VDC in terms of water supply, sanitation and hygiene
- Action Plan for Other Activities
- Closing with commitments

## **3. Ward Level Orientation Workshop**

**Participants:** Ward Citizen Forum Members, FCHVs, Teachers, Social mobilizers, Political party representatives, Chairperson and Manager of Community organizations, NGO representatives, Cooperatives Representatives, Other working Staffs' and representatives from each households

**Duration:** 1 Day for one ward

**Timing:** After VDC level workshop

### **Objectives**

- Orient on project and V-WASH Plan and its preparation process at Ward level
- Ensure the participation of community in V-WASH Plan preparation process
- Select Participants for Dalit/Female confidence building workshop and V-WASH-CC representation

### **Contents**

- Objectives of the Workshop
- Introduction of project and Sanitation and National Sanitation Hygiene Master Plan
- Introduction of V-WASH Plan: What? How and When?
- Role and Responsibilities of different stakeholders in V-WASH Plan preparation
- Formation/reshuffling of Ward Citizen Forum
- Selection of participants for DAG/Women confidence building workshop
- Select representatives for V-WASH-CC representation
- Closing with commitments

## **4. Confidence Building Workshop for Women**

**Participants:** Selected women from each ward (27 persons)

**Duration:** Two Days

**Timing:** After Ward level Orientations

**Objectives**

- Orient on V-WASH Plan preparation process and importance of women's participation
- Develop mutual cooperation and solidarity
- Aware on existing laws, rules and women related legal rights
- Enhance confidence of females, particularly in the knowledge they have on water issues

**Contents**

**Day I**

- Objectives of the Workshop
- Introduction of project, Sanitation and Hygiene and V-WASH Plan
- Introduction of Gender Equality and Social Inclusion (GESI) and Human Rights Based Approach (HRBA) concepts, analyze local status and practices
- Legal rights of women, prevailing law, act and regulations
- Current practice and the need and importance of women's participation in development activities. Also the importance of including the views of disabled and other DAGs.

**Day II**

- Review of Day I
- GESI Approach of project: Women's participation in planning and V-WASH Plan
- Women's participation in decision making: Current Status and Importance
- Access of women to Resources; Assets, Equal wage for equal work
- GESI and Sustainability
- Commitment and Closing

**5. Confidence Building Workshop for DAG/Dalit**

**Participants:** Selected DAGs from each ward

**Duration:** Two Days

**Timing:** After Ward level Orientations

**Objectives**

- Orient on V-WASH Plan preparation process and importance of participation of everyone, including all castes, ethnicities and those living with disabilities
- Develop mutual cooperation and solidarity
- Aware on existing legal rights
- Enhance confidence of DAGs

**Contents**

**Day I**

- Objectives of the Workshop
- Introduction of project, Sanitation and Hygiene and V-WASH Plan
- Introduction of GESI and HRBA concept, analyze local status and practices,
- Legal rights of DAGs, prevailing law, act and regulations
- Current practice and Need and Importance of DAGs participation in development activities, including those living with disabilities

## Day II

- Review of Day I
- GESI Approach of project: DAGs participation in planning and V-WASH Plan
- DAG participation in decision making: Current Status and Importance
- Access of DAGs over natural resources
- On touchability and social unity: present practice and its social effects
- Commitment and Closing

## 6. V-WASHCC Capacity Building Training

**Participants:** V-WASH-CC and advisory board members  
**Duration:** Five Days  
**Timing:** Before starting social and technical assessment

### Objectives

- Enhance capacity of V-WASH-CC members
- Orient on the V-WASH Plan process
- Ensure the rational and equitable distribution of resources
- Service level and hardship analysis
- Prioritization process and criteria
- Increase ownership on V-WASH Plan
- Assist for V-WASH Plan implementation, Mobilization and Marketing

### Contents

DAY	SESSION – 1	SESSION - 2	SESSION - 3	SESSION - 4
1	Opening & Welcome Introduction Setting Ground Rules Expectation Collection	Introduction of Resource organization. WASH Concept & Approach	WASH Chair V-WASH Plan V-WASH Plan preparation Flow Chart	Role & Responsibility of V- WASH-CC, WCF & Advisory Committee
2	Review of day – 1 Development Concept	Concept of Community Organization Role of CO in Community Development	Leader, Leadership Meeting procedure	Motivation Community Participation Communication
3	Review of day – 2 Decentralization & Self Governance Act	Water Resources Act VDC Act VDC Planning Process	Local Resources Identification and Mobilization	PRA: - Wealth Ranking, - Seasonal Calendar - Social Mapping - Climatic and other hazards and risks
4	Review of day – 3 PRA: -- Wealth Ranking, -- Seasonal Calendar -- Practice of Social mapping	Needs Identification Source yield measurement	Participatory Planning and Implementation Prioritization process (based on hardship score) and other criteria such as unreached	Conflict Management Gender and Social inclusion, HRBA
5	Review of day – 4 Health Education & Sanitation	Toilet, Prevention of waterborne disease,	HIV AIDS Action Plan	Feedback Evaluation Closing

	Water born disease	TBC, WSP		
--	--------------------	----------	--	--

## 7. VDC Level Planning Workshop

**Participants:** V-WASH-CC and advisory board members  
**Duration:** Three Days  
**Timing:** After starting social and technical assessment

### Objectives

- Enhance capacity of V-WASH-CC members
- Orient on V-WASH Plan process
- Make realize the rational and equitable distribution of resources
- Service level and hardship analysis
- Prioritization process and criteria
- Increase ownership on V-WASH Plan
- Assist for V-WASH Plan implementation, Mobilization and Marketing

DAY-1		
S.N	ACTIVITIES	METHODOLOGY/REMARKS
1	Welcome to participants	Welcome speech from V-WASH-CC Chairperson/Coordinator.
2	Introduction of participants	Use some ice breaking exercise
3	Workshop Objectives	Facilitator will highlight on the objectives
4	WASH Concept, Philosophy (Chair)	WASH-Chair
5	Steps done so far (before V-WASH Plan)	Explain WASH steps, Briefing on previous steps completed
6	Sharing of Successful V-WASH Plan and VDC experiences	Any one VDC (share experiences)
7	Review on basic principle or basis of project selection and prioritization criteria.	Display in board or brown paper of project selection and prioritization criteria.
8	Discussion on Need identification Projects.	Compile list and verified.
9	Discussion on Planned projects by WCFs.	Compile list and verified.

<b>DAY 2</b>		
<b>S.N</b>	<b>ACTIVITIES</b>	<b>METHODOLOGY/REMARKS</b>
<b>1</b>	Review of previous day, for clarity	Ask questions if there are to be clarified
<b>2</b>	Presentation of Social Assessment findings continued.....	Correction and recommendation of SA findings.
<b>3</b>	Presentation of Technical Assessment findings continued.....	Presentation of Technical Assessment findings continued.....
<b>4</b>	Presentation of Technical Assessment findings continued.....	Presentation of Technical Assessment findings continued.....
<b>5</b>	Identification of potential collaborators	Listing out of existing resources and potential collaborators in the district
<b>6</b>	Prioritization of the activities of SA/TA	Team will explain the process and SE will compile the findings, if any
<b>DAY-3</b>		
<b>TIME</b>	<b>ACTIVITIES</b>	<b>METHODOLOGY/REMARKS</b>
<b>1</b>	Review on DAY-2 agenda for clarity.	Review works, if any
<b>2</b>	Five Year Plan	Make cluster wise groups and let them to priorities all the activities identified. A big group exercise will be done for VDC level prioritization for 5 or more years. Let them keep the criteria while prioritizing. Use the form for Five Year Plan.
<b>3</b>	Five Year Plan (Continued)	.....
<b>4</b>	One year detail plan	They are re-prioritized in big group for one year. Let them note the criteria while prioritizing. Use the form of One Year Plan. Any facilitator compiles the plan.
<b>5</b>	Follow Up Action Plan	V-WASH-CC together with DDC will prepare the Follow Up Action Plan
<b>6</b>	Closing	Speech from V-WASH-CC Chairperson and other guests

## Annex 4. GUIDELINES FOR COMMUNITY MAPPING

---

### Introduction

Community mapping is the first step in the community mobilization and planning. This is followed by the formation of the Users Committee (WUSC) Water User and Sanitation Committee (WUSC).

Community mapping is an important participatory tool used for collecting basic information of a community. It is a visual method of showing the relative location of households and the distribution of different social strata (such as male, female, adult, child, landed, landless, literate, and illiterate, toilet-owning or otherwise, etc.) together with the social structure and institutions in the area. Here community implies the scheme area to be served by proposed water and sanitation scheme.

Community mapping involves local men and women including all ethnic groups and clusters to create a pictorial representation of their community in the form of a map. It may be necessary to prepare the community maps in separate groups for women and men in places where the women are clearly shy or afraid to speak up in public, especially in front of men.

**The materials required for community mapping are:** locally available materials such as, sand, stone, small bricks, leafs, sticks, coal, clay, pieces of wood and paper, etc. It also depends according to the level of community and access to materials. Some of the materials like pencils, drawing paper, color pens, etc. can also be used if available in the site and if appropriate.

### Applications of Community map:

- Used as basis for Scheme Layout
- Showing data on community layout, present infrastructure, demography, ethno-linguistic groups, open defecation areas, HH toilet, water fetching time etc.
- Identifying different social groups using locally defined criteria.
- Learning about the social institutions.
- Shows boundary of a particular place.
- Identifying available local and natural resources (water source, aggregate, sand etc).
- Identifying hazards and risks having negative effect on community

### Process:

- Walk around in the village and discuss with local people including all representatives of women/men, children and adult including all dalit/indigenous and others about the important features like existing wells/taps, sanitation situation, settlement pattern, social strata etc., before drawing the map. This exercise helps for rapport building with the communities. The community walk should be used to discuss possible critical issues that relate to accessibility and use of facilities by all - who is forbidden or physically cannot access/use them (eg. menstruating women, people living with disabilities, lower castes, etc.)
- Call a community meeting. The time and venue of the meeting should be convenient to the women and all ethnic groups. All clusters and various caste/ethnic groups are encouraged to participate in the meeting. Equal participation of women, men and proportional representation of all castes and ethnic groups is required. In the meeting facilitators should prepare a list of participants showing their name, gender, occupation, ethnic /caste groups and age by clusters using the attached table. A minimum 75% of HH representatives should participate in the mapping process.
- When working with the group, the facilitator/s should begin by introducing themselves and explaining clearly the objectives and agenda of the meeting, what the participants

are expected to do and why. Check that the participants understand and feel comfortable with what will be discussed. Encourage participation of female and DAG community members.

- First decide what type of area the map will show or any limitations such as a village, an indigenous ancestral domain, a watershed, and so on. Social maps begin as physical maps of the residential area of a community.
- With the help of local analysts, select a suitable place and medium, such as on the ground using locally available objects such as stones, seeds, sticks, leaves and colour powder, coal etc.
- After rapport building with the communities, ask the participants to start by preparing the outline or boundary of the map. Initially facilitate to the analyst to draw a simple village map showing some village borders. Then ask the analyst to identify and draw on map other institutions and landmarks that are important to them, with community participation. These might include religious buildings, schools health centres, community centres, and other public and business buildings, type of households, sanitation facilities and open defecation areas.
- Then ask for the location of all houses in the community.
- Mark the houses in different colours to indicate those who have latrines.
- The map should also identify houses that belong to people from different social categories (such as ethnicity, female headed-households, ultra-poor, people with disabilities or having limited mobility, and large households;).
- Identify any access problems – who is not allowed/not able to use infrastructures (eg. taps, toilets).
- The map should identify the areas vulnerable to risks and hazards such as floods, landslides and drought. The map can be used to highlight both physical vulnerability to climate impacts and hazards, and the social factors that enhance that vulnerability. The risk of the hazard happening and having negative effects on community and infrastructure should be discussed. For example, protective infrastructures for water supply schemes could be considered based on the map.
- If the map is drawn on the ground, ask the local analysts to start making a copy on to paper (indicating which direction is north) once the broad outline has been established, making necessary amendments and additions as they go along.
- Do not lead, just assist when asked, and thus facilitate drawing of the map by the community.
- When map is complete on the ground, make sure all the components are there. If not, ask the villagers to put them in place. Then a villager or facilitator will copy it on the paper. Taking photographs of the map and its paper copy is recommended.
- Once the map completed, use it as a basis for conducting semi-structured interviews on topics in interests and for enabling local analysts to conduct their own discussions and analysis.
- Check again that the local analysts know how the information will be used. Ask the analysts to reflect on the advantages, disadvantages and the analytical potential of the tool. Finally thank the local analysts for their time and effort.
- Note down the information provided in master formats of V-WASH PLAN preparation.
- Prepare two copies of maps; one is used for GAP mapping during ward level planning and one will be reference for future use.
- Prepare a separate list of houses with household owner's name and population (women, men, and children/ adult). Key persons' houses can be indicated with special marks on the map.



### Information to be included in the maps

At least following (and any additional important) information shall be recorded on the map:

- Area boundary of the community including cluster names and their boundaries.
- Geographical features e.g. mountain, forest, paths, river, water storage and recharge ponds, road, road head and its distance from village, cultivated land, grazing land, community land and its use, available sources of sand, stone, bamboo, roofing stone, and gravel, etc.
- Name and location of presently used and proposed water sources (also verify from V-WASH Plan report)
- Location/layout of existing pipe system/water supply system, and level of functionality.
- Infrastructure in planning or under construction listed in above.
- Institutions (school, health post, VDC building, bank and other offices).
- Other important centres of the community, e.g. temples, park, mass gathering/meeting place, market place, shops, etc.
- Latrines and open defecation areas.
- Waste and carcass disposal and cremation places in the community.
- Identify areas vulnerable to floods, landslides, drought or other risks.
- Direction of North is indicated on the map.
- Date when the map was created.
- All the symbols should be explained in right bottom corner of the map.
- Name of the VDC, ward number and cluster (of which the map is drawn) is written on top of the map.
- Total number of households indicating female headed households, population (men, women, total), taps, toilets, etc., can be written on the left corner or bottom of the map or on additional sheet.
- Number of people (female, and male, dalit, janajati and others) in the community.

Sample of Community map is presented on the next page.

Prepare a record of participants in the Community Mapping event paying attention to their gender, social/ethnic group and the cluster/ward they are representing.

### PARTICIPANTS IN COMMUNITY MAPPING:

Date of the community-mapping meeting: \_\_\_\_\_

List of participants:

Name	Ethnicity/Caste	Gender	Disability or other constraint	Ward/Cluster

Add rows as needed





१. 	घर	६. 	जंगल	११. 	R.V. T.
२. 	बाटो	७. 	मूल	१२. 	टंकी
३. 	प्रहरी चौकी	८. 	सिमाना	१३. 	मन्दिर
४. 	वाँझो जग्गा	९. 	सडक		
५. 	खेत	१०. 	झरना		

## **Annex 5. TABLE OF CONTENTS FOR V-WASH PLAN REPORT**

---

### **1 THE VDC PROFILE**

- 1.1 GENERAL INTRODUCTION
- 1.2 SOCIO-ECONOMIC CHARACTERISTICS
  - 1.2.1 Demography
  - 1.2.2 Education and Literacy
  - 1.2.3 Health Services and diseases
- 1.3 INSTITUTIONAL ASPECTS
  - 1.3.1 Users Committees

### **2 VDC'S WASH SITUATION**

- 2.1 GENERAL
  - 2.1.1 Water Resources Analysis
  - 2.1.2 Source Disputes
- 2.2 DRINKING WATER SUPPLY
  - 2.2.1 Water Supply Coverage
  - 2.2.2 Service Level and Hardship
  - 2.2.3 Status of Existing DWS Schemes
  - 2.2.4 Possible DWS options
- 2.3 SANITATION AND HYGIENE
  - 2.3.1 Status of Sanitation in the VDC
  - 2.3.2 Public and institutional toilets

### **3 V-WASH PLAN**

- 3.1 FIVE YEAR PLAN OF the VDC
  - 3.1.1 Drinking water supply
  - 3.1.2 Sanitation and Hygiene
  - 3.1.4 Climate change adaptation and disaster risk reduction
- 3.2 FIRST YEAR PLAN WITH ACTIVITIES

### **LIST OF TABLES**

- Table 1 Ethnic Composition at Ward Level
- Table 2 Schools and Facilities
- Table 3 Available Technical Human Resources for WASH
- Table 4 Density of Water Resources
- Table 5 Water Resources by Potential Use
- Table 6 Primary Use of Water at Ward Level
- Table 7 Water Quality of Primary Used Sources
- Table 8 Available Quantity from Primary Used Sources
- Table 9 Times Needed to Fetch Round Trip of Water
- Table 10 Service Level and Hardship Classification
- Table 11 Functionality of Existing DWS Schemes versus Age of Scheme
- Table 12 Functionality of Existing DWS Schemes Converge and Supporting Agencies
- Table 13 Functional Status of Structures of DWS Schemes
- Table 14 Status of Pipelines
- Table 15 Status of Sanitation Components in the VDC
- Table 16 Summary of Planning in the VDC
- Table 17 Operation and Maintenance Action Plan
- Table 18 Sanitation Action Plan and/or Post ODF Strategy of the VDC

Table 19 Possible Environmental Conservation Plan

Table 25 Capacity Development Plan

Table 26 Climatic and Other Hazards Risks and Response Measures

#### **LIST OF FIGURES**

Figure 1 Ethnic Composition

Figure 2 Schools and Facilities

Figure 4 Health Post Annual Data of Diseases in the VDC in FY XXXX

Figure 5 Available Water Resources by Discharge

Figure 6 Primary Use of Drinking Water

Figure 7 Quality of Primary Used Sources

Figure 8 Available Quantity of Water

Figure 9 Times Needed to Fetch Water

Figure 10 Parameters and Service Level Classification

Figure 11 Investments by Different Agencies in Water Supply

Figure 12 Statuses of Pipelines in Existing Water Supply Schemes

Figure 13 Managerial Status of Existing Water Supply Schemes

Figure 14 Summary of Five Year Planning

#### **LIST OF ANNEXES**

Annex 1 VDC Maps

Annex 2 Introduction of V-WASH Plan

Annex 3 Cluster wise Demographic Details

Annex 4 Details of Schools and Facilities

Annex 5 Other Institutions and Facilities

Annex 6 Health Post Data

Annex 7 Cluster wise Details on Toilet Coverage

Annex 8 Water Resources Inventory

Annex 9 Cluster wise Description of Present Water Use

Annex 10 Cluster wise Details of Service Level and Hardship Classification

Annex 11 Functional Status of Existing Water Supply Schemes

Annex 12 Managerial Status of Existing Water Supply Schemes

Annex 13 Five Year Plan of Gravity Drinking Water Supply Schemes

Annex 14 Proposed Lift Drinking Water Supply Schemes

Annex 15 Post ODF Strategy/Action plan

Annex 16 Proposed Environment Protection Activities

Annex 17 Proposed CCA and DRR Activities

Annex 18 One Year Plan of Activities

Annex 19 Details of V-WASH-CC Composition

## Annex 6. V-WASH PLAN MONITORING FORMAT

### V-WASH PLAN MONITORING FORMAT

District: ..... VDC: .....

Monitoring Date: .....

V-WASH Plan Steps	Completed (Yes/No) If yes mention the date	Ongoing (Yes/No)	Remarks
VDC Level Orientation			
Ward Level Orientation			
Confidence Building Workshop to females			
Confidence Building Workshop to DAGs			
V-WASH-CC Reshuffling			
CBT to V-WASH-CC			
Social Assessment			
Technical Assessment			
Ward Level Planning			
VDC Level Planning			

**Are the completed activities done as per agreed work plan? Yes/No**

If no, what are the discrepancies:

**Are the completed activities done as per guidelines work plan? Yes/No**

If no, what are the discrepancies:

**=Check list for collected data: (Check completed all forms and fill down in the table)**

Number of Clusters in Format 1 Summary of Cluster Level Information: .....	Number of Cluster, Cluster Name and Code must be same in both forms of each Ward committee
Number of Cluster specific Formats 1.1 on Existing Water supply, S&H of Clusters: .....	
Are all Cluster Service level filled according to Technical Guideline in Format 1.1, Verify from minimum 2/3 cluster randomly Verified Cluster name:.....	
Number of schemes in Format 3: Summary of Existing WS: .....	Listed number of WS must be same in both forms of each Ward level
Check Formats 3.1: Number of WS Scheme specific formats filled: .....	
Number of sources listed in Format 2 Summary of Water Source Information: ..... Number of sources data filled in Format 2.1 Water Source Information:.....	

How many Clusters data already collected (Format 1.1) ..... Verify by crosschecking 2/3 cluster data

Cross checked cluster name .....

How many school data collected (Format 4.1) .....

Did SO/SP get data easily from school	<b>Yes</b>	<b>No</b>
---------------------------------------	------------	-----------

Health post data collected	<b>Yes</b>	<b>No</b>
----------------------------	------------	-----------

If yes, did SO/SP get data easily from health post	<b>Yes</b>	<b>No</b>
--	------------	-----------

Any data missing, check all formats	<b>Yes</b>	<b>No</b>
-------------------------------------	------------	-----------

If yes, list below:

Finding of Monitoring Team about quality of data

Finding of Monitoring Team about progress of data collection

Suggestion given by monitoring team to SO/SP

Suggestion given by monitoring team to DMC to follow up

Monitoring Team Members .....

.....

.....



## Annex 7. Costs of V-WASH Plan Preparation

### COST OF VWASH-PLAN PREPARATION (Maximum)

#### COST BREAKDOWN

SN	Description	Duration	Unit	Rate	Total	DDF	VDC
<b>A. Human Resources Cost</b>				Maximum			
1	Field Coordinator	2	mm	25,000.00	50,000.00	50,000.00	
2	Sub Engineer/Sr. Asst Sub Engine	2	mm	22,000.00	44,000.00	44,000.00	
	<b>Sub Total A</b>				<b>94,000.00</b>	<b>94,000.00</b>	-
<b>B. Training and Workshops</b>							
<i>VWASH preparation - planning phase</i>							
1	WCF Planning w/s	1	days		14,400.00		14,400.00
2	VWASH CC Planning w/s	2	days		9,500.00		9,500.00
3	VWASH CC CBT	3	days		12,500.00		12,500.00
4	Interaction ws for Confidence Building (Dalit/Women)	2+2	days		26,500.00	26,500.00	
	<b>Sub Total B</b>				<b>62,900.00</b>	<b>26,500.00</b>	<b>36,400.00</b>
<b>C. Format Printing, Photocopy, files, box, stationeries and Others*</b>					10,000.00	10,000.00	
<b>D. Data Entry Cost</b>					5,000.00	5,000.00	
<b>E. Report Preparation Cost</b>					10,000.00	10,000.00	
<b>F. VDC Level Presentation</b>					10,000.00		10,000.00
<b>G. Monitoring from the district</b>					10,000.00	10,000.00	
	<b>Grand Total</b>				<b>201,900.00</b>	<b>155,500.00</b>	<b>46,400.00</b>

### TRAINING, INTERACTION & WORKSHOP COST BREAKDOWN

#### VWASH Plan Preparation

		No	days	Rate	Total
<i>VWASH Plan preparation - planning phase</i>					
<b>A</b>	<b>WCF Planning w/s</b>	<b>9</b>	<b>1</b>		
2	Tea and Snacks	99	1	100	9,900
3	Classroom materials	Lump sump		500	4,500
	<b>Sub - total</b>				<b>14,400</b>
<b>B</b>	<b>VWASHCC Planning w/s</b>	<b>1</b>	<b>2</b>		
1	Stationaries	30		50	1,500
2	Tea, snacks and lunch	30	2	100	6,000
3	Classroom materials	Lump sump			2,000
	<b>Sub - total</b>				<b>9,500</b>
<b>C</b>	<b>CBT to VWASHCC</b>	<b>7</b>	<b>1</b>		
1	Stationaries	30		50	1,500
2	Tea, snacks and lunch	30	3	100	9,000
3	Classroom materials	Lump sump			2,000
	<b>Sub - total</b>				<b>12,500</b>
<b>D</b>	<b>Interaction ws for Confidence Building (Dalit/Women)</b>	<b>2</b>	<b>2+2</b>		
1	Stationaries	50		50	2,500
2	Tea and Snacks	55	4	100	22,000
4	Classroom materials	Lump sump			2,000
	<b>Sub - total</b>				<b>26,500</b>
	<b>Grand Total</b>				<b>62,900</b>

## Annex 8. Climate Change Adaptation and Disaster Risk Reduction in V-WASH Plans

### 1. Mapping of Climate and Other Hazards

As part of the community mapping exercise the areas of climatic and other hazards should be identified. In the following discussion, these can be annotated to indicate the risk of the hazard happening and the risk of the hazard having a negative effect on community assets and ecosystems. Likely future impacts resulting from climate effects can also be included. Populations and service systems such as water supply schemes or sanitation facilities that are located, for example, in low-lying areas that are susceptible to flooding are potentially more vulnerable to the impacts of extreme events.

Participatory sketch maps enable identification of households and communities that are vulnerable. They can be used to highlight both physical vulnerability to climate impacts and hazards, and the social factors that enhance that vulnerability. They can also be used to identify which gender, age, ethnic or social groups are more vulnerable than others.

### 2. Past Hazard Trend Analysis

Hazard timelines are effective for helping communities analyse past weather and climatic events and identify trends in their nature and impact. Hazard is here understood as a harmful event, which has potential to cause disruption and damage. Disasters occur when the negative effects of the hazards are not well managed. Hazard timelines are effective for raising awareness of climate change and disasters. A timeline helps introduce the concept of climate variability and the unpredictability of climate change effects, and clarify which events or hazards can be linked to climate change and which are not related. A timeline is useful for compiling a picture of how the community tends to react to and cope with climatic hazards.

#### Step One: Identifying historical climate hazards

Generally the community develops a timeline of the last 30 to 50 years, either on the ground or beside a long string or on a large sheet of paper. First they consider the earliest memorable hazard event. Someone describes what happened. More recent events are added along the line, up to the present. The facilitator brings climate change into the discussion and helps identify any trends over the time-frame.

#### Step Two: Identifying impacts of the events and local response

Discussion follows around the impacts of each event, the community's response. This can all be recorded on a large sheet of paper with the timeline on one side and three columns for hazard, impacts and local response at that time. Focus of the discussion should be on water supply, sanitation and hygiene related issues. See the example table 1.

**Table 1: Example of identifying the historical hazard trend**

Year	Hazard	Impact of hazard on local communities environments and services	Local Response
2008	Drought	Dried water sources	Fetching water from greater distance
Etc.			

### 3. Future Hazard Assessment and Defining DRR and Adaptation Options

This tool is used for identifying potential future hazards, their negative impacts and risk of them happening, and therefore the urgency to respond. Based on the discussion relevant adaptation and DRR measures will be planned. If the VDC has prepared the Local Adaptation Plan of Action (LAPA) or other disaster preparedness related plan, that can be directly utilized in V-WASH planning. Additional information on climate smart water supply systems can also be found in the Handbook on Community-Wide Water Safety Planning (RWSSP-WN).

#### Step One: Assessing the impacts of climatic and other hazards

Climatic and other hazards identified in the mapping exercise or hazard trend analysis are entered in a column on the left hand side (see the table 2). The actual or likely impacts of each hazard are discussed. The impacts on community and assets such as water supply schemes, sanitation facilities are entered into the second column (the results of the trend analysis discussion can be utilized). Who exactly is most affected will be noted also. The focus of the discussion shall be kept on water resources, watershed, water supply, sanitation and hygiene.

#### Step Two: Assessing the risk of impact happening

The risk (or likelihood or probability) of the negative impact actually happening is then discussed. The participants score the risk: very high (4), high (3), moderate (2), low (1).

#### Step Three: Identifying the adaptation / DRR options

Finally, the people identify climate change adaptation and DRR measures that could be included in the V-WASH Plan. The relevant measures can be related to both hardware and software; networking, environmental sanitation, water safety planning, recharge and community ponds, optional water sources, climate resilient designs, awareness raising, WASH emergency preparedness etc. The adaptation and DRR measures should be more focused and strategic than the local responses identified in the hazard trend analysis. The options should be implementable and relevant for the future implementation of V-WASH Plan.

**Table 2: Example of the hazard and impact assessment and response options**

Hazard	Impact of hazard on local communities environment and services (esp. WASH)	Impacted people	Risk of impact happening	Adaptation/ DRR option relevant for the V-WASH Plan
Flood	Land washed away, pipelines destroyed	People in wards 5 and 6	2 (moderate)	Pipeline layout design improved, pipeline in deep enough
	Drinking water contaminated	Everyone	4 (very high)	Protection of scheme from excess runoff water; water safety planning
Spring dries up	No drinking water	Everyone	4 (very high)	Optional drinking water sources, recharge of groundwater
	No irrigation for veg production	Elite who capture water	4 (very high)	MUS, use of waste water for gardening

Add the necessary rows for the hazards brought up in the discussion.