



Rural Water Supply and  
Sanitation Project in  
Western Nepal Phase II

2015

# DISTRICT STRATEGIC WASH PLAN PREPARATION GUIDELINE



Project Support Unit  
FCG International Ltd  
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CCA	Climate Change Adaptation
CY	Calendar Year
DCT	District Core Team
DDC	District Development Committee
DDF	District Development Fund
DMC	District Management Committee
DoLIDAR	Department of Local Infrastructure Development and Agricultural Roads
DRR	Disaster Risk Reduction
DTO	District Technical Office
D-WASH-CC	District WASH Coordination Committee
DSWASHP	District Strategic WASH Plan
FY	Fiscal Year
GESI	Gender Equality and Social Inclusion
GOF	Government of Finland
GON	Government of Nepal
HRBA	Human Rights Based Approach
MDG	Millennium Development Goal
MIS	Management Information System
MoFALD	Ministry of Federal Affairs and Local Development
MUS	Multiple Use System (Water)
MOU	Memorandum of Understanding
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
SO	Support Organisation (NGOs)
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
WSP	Water Safety Plan
WUMP	Water Use Master Plan
WUSC	Water Users and Sanitation Committee
WCF	Ward Citizen Forum
WS	Water Supply (Drinking)
WSSDO	Water Supply and Sanitation Sub Division (under DWSS)
W-WASH-CC	Ward Level Water Sanitation and Hygiene Coordination Committee

## Foreword

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The Local Self-Governance Act, 1999 has stipulated that each District Development Committee (DDC) should prepare their periodic district development plan by encompassing all aspects of the district. It is envisioned that the annual program of the district has to be drawn up and implemented based on these periodic plan. The Act has mandated DDC to prepare district's sectoral plans as per district requirement.

**The District Strategic WASH Plan (DSWASHP)** is a plan of the district, which provides the strategic tool and guidelines for the DDC in general and District WASH Coordination Committee (D-WASH-CC) in particular to plan in an effective, equitable, efficient, balanced and sustainable water, sanitation and hygiene services at the local level. The overall objective of DSWASHP is to develop an integrated plan of WASH to achieve post/MDGs & universal targets of achieving basic WASH access facilities for all by 2017 in line with the spirit of National Sanitation and Hygiene Master Plan 2011.

This Guideline includes recognition of best practices, lessons learned from the preparation of DSWASH Plans during Phase I of RWSSP-WN and participatory bottom-up planning approaches as envisioned by LSGA 1999, and related regulations, which created a solid foundation for developing this collaborative DSWASHP preparation approach. It also brings in the lessons learned in preparing VDC level WASH plans in RWSSP-WN project VDCs and as well the VDC Water Use Master Plans (WUMPs) as practiced over the past years by Rural Village Water Resources Management project (RVWRMP) in Mid and Far Western Nepal.

Rural Water Supply and Sanitation Project in Western Nepal Phase II (RWSSP-WN II) hereby launches this District Strategic WASH Plan Guideline to support its working districts in preparing and updating inclusive and comprehensive district-wide strategic plans for water supply, sanitation and hygiene. This guideline is developed in line with the human rights based approach to WASH. Issues related to water safety, disaster risk reduction and climate change adaptation are incorporated in the guideline. This guideline will also help district to establish the baseline (both existing and targeted) for water supply, sanitation and hygiene services at the district level.

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

RWSSP-WN Phase II

Pokhara, Kaski District, Nepal

February 2015

## 1 INTRODUCTION

Quality drinking water and sanitation facilities are basic human needs. Development of this 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.

The latest NMIP report of 2014 has shown that the national water supply coverage has increased from 80% to 83.59 % whereas the sanitation coverage is reached to 70.28% in 2014 compared to 43.0% in 2010 (NMIP, 2014).

However, hidden within these figures are enormous inequalities among ecological regions, by urban/rural divides and by ethnicity. About 4.34 million people do not have access to adequate water services and about 7 million lack adequate sanitation facilities. Coverage figures alone can give a false impression as they do not adequately represent service levels related to quality, accessibility, quantity, reliability and sustainability. To narrow down these disparities, high priority and due concentration must be paid to the lowest covered areas and unserved population by WASH facilities to achieve the national target of universal access to water and sanitation for all by 2017. There is imperative need of proportionate resources allocation strategically by the sector stakeholders. The current Three Year Plan (2013/14- 2015/16) targets include:

- Access to basic services of drinking water and sanitation to all people
- Enhance access to and the quality of drinking water and sanitation services as provided for in the National Drinking Water Standards (2005) and action plan
- Adopt a sector-wide approach in WASH and adopt environment-friendly and climate-adaptive measures by using local resources in the construction of WASH structures.

The WASH Sector Status Report (SSR, 2011) of the MPPW has clearly identified three national programs as (i) National Hygiene and Sanitation Program (ii) National Functionality Program and (iii) National Water Quality Program. To implement these national programs, there are clear needs of the following:

- Sector coordination at district levels (sector harmonization)
- Adequate planning and performance monitoring
- Institutional and financial arrangements
- Functionality and water quality
- Priority to Hygiene and Sanitation

The National Water Supply and Sanitation Strategy (WSS Strategy: 2004) defines that *“Periodic Development Plans prepared in the district and village level will be taken as a basis for planning. Arrangement for direct allocation of budget to the local bodies will be made to the projects related to water supply and sanitation programs, which are already approved as periodic District Development Plans. DDCs will be responsible for implementation, coordination and monitoring of the rural water supply and sanitation plans in their respective districts by means of periodic planning and provision of technical assistance.”*

### Why DSWASHP?

The District Strategic WASH Plan (DSWASHP) is a plan of the district, which provides the strategic tool and guidelines for the DDC in general and District WASH Coordination Committee (DWASHCC) in particular to plan in an effective, equitable, efficient, balanced and sustainable water, sanitation and hygiene services at the local level.

## 2 DISTRICT STRATEGIC WASH PLAN (DSWASHP)

### 2.1 PURPOSE OF DSWASHP

A proper planning process is needed to achieve harmonized, effective and coordinated fund utilization for WASH implementation. DSWASHP will combine all aspects of water supply, sanitation and hygiene with special focus on un-served and unreached population of VDCs in terms of WASH services. DSWASHP considers also gender and social inclusion, human rights based approach and relevant climatic and other risks.

**DSWASHP is a plan of the district, which provides the strategic tool and guidance for the DDC in general and District WASH Coordination Committee (D-WASH-CC) in particular in the district water supply, sanitation and hygiene.** DSWASHP can also be the basis for the District WASH Management Information System (D-WASH MIS) that could guide D-WASH-CCs with accurate information by being updated annually based on V-WASH-CCs' reports.

**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 D-WASH-CC should encourage all WASH sector stakeholders to utilize the DSWASHP when selecting VDCs and schemes for the further action. DSWASHP is also the foundation for the human rights based approach that states the right of all citizens to water and sanitation. DSWASHP must have reliable data to guide the various stakeholders to address the needs of the unserved, unreached and hardship locations.

The objectives of DSWASHP is to:

- Align and harmonize WASH sector for effective coordination, collaboration and resource mobilization amongst local stakeholders
- Map and organize all available human and financial resources to be used effectively
- Prioritize the areas for support needs in WASH sector
- Develop ODF and/or Total Sanitation strategy of the district
- Promote transparency, accountability among duty bearers and create awareness among the WASH users of the district
- Attract external funding for the effective implementation of DSWASHP
- Guide district project prioritization in annual planning process
- Institutionalize WASH planning and implementation to the DDC
- Build the DDC and VDC WASH sector capacity
- Formulating district-specific Post MDG indicators and establish WASH baseline
- Get support from political parties in WASH implementation
- Help to recognize WASH sector in the district periodic plan and in district profile
- Promote right based approach, equity and inclusiveness in WASH
- Support integration of climate change adaptation and disaster risk reduction into WASH interventions.

### 2.2 KEY PRINCIPLES OF DSWASHP

DSWASHP planning process itself is a new initiative of the districts to test and establish district wide coordinated and harmonized WASH planning, monitoring and evaluation that paves the way to Sector Support Programs. This guideline also intends to have nationwide lasting impact on WASH sector Governance improvement Program. It includes the following principles:

- a. WASH sector led by local bodies-Responsiveness, local leadership and ownership

- b. Multi-sectoral approach for better WASH outcomes
- c. Sustainable capacity built for WASH planning and implementation at district level
- d. Identification and planning for watershed and water resource conservation for WASH sector and considering relevant climate change adaptation and disaster risk reduction
- e. VDC prioritization on the basis of unreached by WASH access; remoteness; prevalence of high poverty and exclusion
- f. Fully participatory and inclusive process, taking into account the rights of people
- g. VDC-wide WASH Baseline data establishment

**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.

### 2.3 USE OF THE DSWASHP

The DDCs can use their district strategic WASH Plans for:

- Annual physical and financial planning of WASH sector activities;
- Strategic or Periodic planning of WASH sector activities i.e. in updating the DDP;
- “Marketing and coordination” to attract projects, donors, NGOs and government agencies to invest in the districts WASH implementation;
- Guidance of WASH sector stakeholders in investments and implementation
- DDC can make acceptance of DSWASH Plan and its prioritized investment plans a pre-condition to work in the WASH sector in the concerned VDCs
- Institutional development decisions
- Ensuring climate change adaptation and disaster risk reduction in WASH activities.

### 2.4 CONTENT OF DSWASHP

The DSWASHP should not be too long and too detailed. It should be easy to use. DSWASHP should be approved by District Council and used by all district level WASH stakeholders. The integrated and holistic WASH plan leads to sustainable development of domestic water supply and hygiene and sanitation facilities. The DSWASHP should include at least the following:

1. Process of preparation of DSWASHP	6. Agreed and prioritized focus areas, prioritized list of VDCs for DWS implementation, prioritized list of VDCs for S&H implementation, WASH relevant CCA/DRR
2. WASH Targets of 5 years	7. Roles and responsibilities of WASH stakeholders
3. ODF and/or total sanitation strategy of district	8. Financial plan for 5 years
4. Resource map and gap analysis	9. Implementation arrangements
5. Linkages with the district, national level plans and strategies	10. Monitoring and annual updating process

A standard Table of Contents for DSWASH Plan is presented in Annex 1 of this Guideline.

### 2.5 DSWASHP PLAN PREPARATION PROCESS

The DSWASHP preparation is divided into three phases and 14 steps as summarized in Table 1. The phases are A. Preparatory Phase, B. Planning Phase, and C. Post-Planning Phase. These phases are described below in more detail: Figure 1 shows the main steps and Table 1 shows the step-wise process and intended outputs.

Figure 1: DSWASHP Formulation Steps

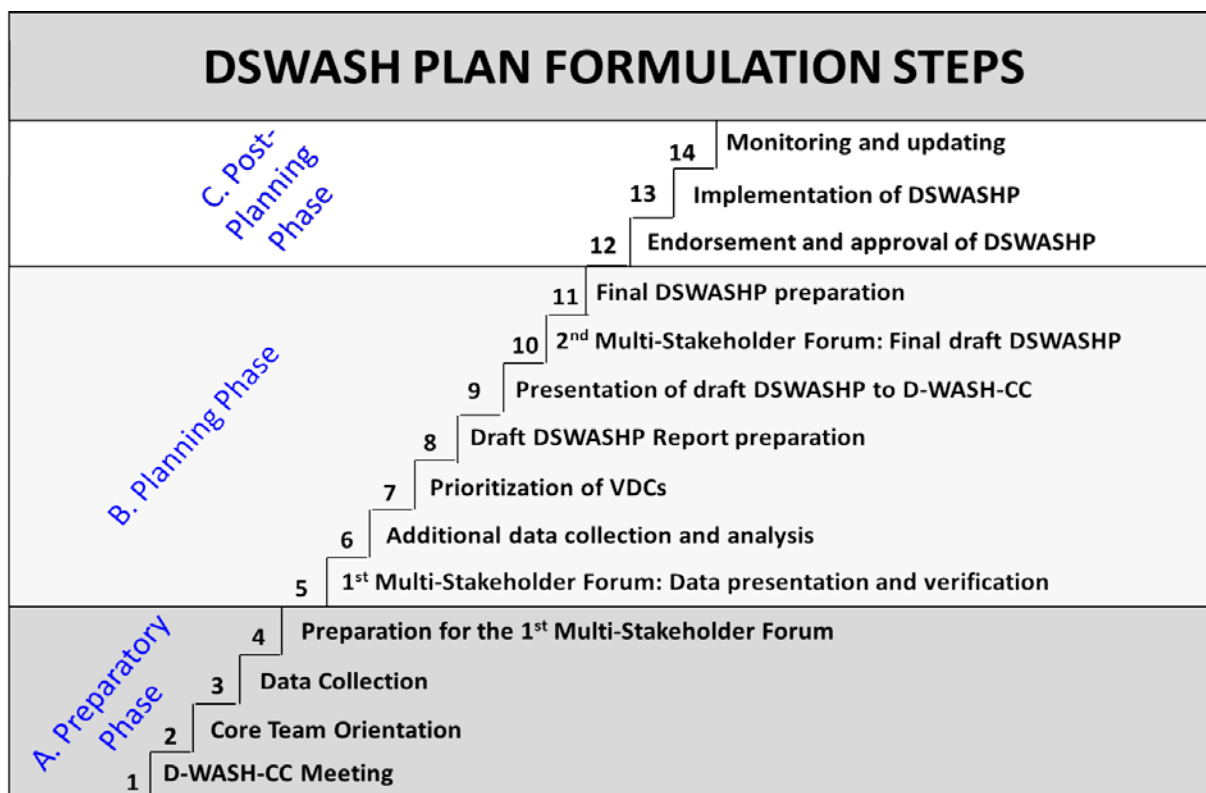


Table 1: Step-wise process of DSWASHP preparation

Phases	Steps	Intended outputs
<b>A. Preparatory Phase</b>	1. DWASHCC Meeting	<ul style="list-style-type: none"> <li>Agreed process for preparation of the plan</li> <li>Agreed Leading agency and participating members</li> <li>Agreed Core Team ToR and participants</li> <li>Agreed financial responsibilities</li> </ul>
	2. Core Team Orientation	<ul style="list-style-type: none"> <li>Orientation of the core team</li> <li>Plan of action for DSWASHP preparation agreed and prepared</li> </ul>
	3. Data Collection	<ul style="list-style-type: none"> <li>Available primary and secondary data collected</li> </ul>
	4. Preparation for the 1 <sup>st</sup> Multi-Stakeholder Forum	<ul style="list-style-type: none"> <li>Stakeholder mappings completed</li> <li>Objectives, vision and content of the plan drafted</li> <li>Collected data presentation prepared</li> <li>Existing resource gap analysis and WASH scenario presentation</li> <li>Prepared planning parameters, prioritization criteria, meeting agenda</li> </ul>
<b>B. Planning Phase</b>	5. First Multi-Stakeholder Forum: Data presentation and verification	<ul style="list-style-type: none"> <li>DWASHCC members, VDC secretaries and political parties</li> <li>Discuss, present and agreed as listed in step 3</li> <li>Agenda discussed, Support of VDC secretary &amp; political party ensured</li> <li>So far collected data presented and verified for</li> </ul>



		<p>further processing</p> <ul style="list-style-type: none"> <li>• Additional data needs agreed for collection</li> </ul>
	6. Additional data collection and analysis	<ul style="list-style-type: none"> <li>• Additional data collected based on the planning needs</li> <li>• Further data analysis</li> </ul>
	7. Prioritization of VDCs	<ul style="list-style-type: none"> <li>• VDC prioritization done based on the agreed criteria</li> <li>• VDC prioritization agreed</li> </ul>
	8. Draft DSWASHP Report Preparation	<ul style="list-style-type: none"> <li>• Draft DSWASHP report prepared including also update/drafting of District Post ODF/total sanitation strategy</li> </ul>
	9. Presentation of draft DSWASHP to D-WASH-CC Meeting	<ul style="list-style-type: none"> <li>• Draft DSWASHP report presented</li> <li>• Comments and suggestions received and incorporated into the plan</li> </ul>
	10. Second Multi-Stakeholder Forum: Presentation of the Final Draft DSWASHP	<ul style="list-style-type: none"> <li>• VDC Secretaries, District level Political parties, other relevant stakeholder present,</li> <li>• Feedbacks and comments provided and agreed</li> </ul>
	11. Final DSWASHP Preparation	<ul style="list-style-type: none"> <li>• Final DWASHP prepared (Report, Annexes &amp; Maps)</li> </ul>
<b>C. Post-Planning Phase</b>	12. Endorsement and Approval of DSWASHP	<ul style="list-style-type: none"> <li>• Endorsed and approved by District Council</li> <li>• Awareness created</li> <li>• Plan disseminated to VDC level &amp; national level</li> </ul>
	13. Implementation	<ul style="list-style-type: none"> <li>• Prepare implementation plan (Annual) &amp; agree with other WASH organizations for implementation</li> <li>• Funds raised for implementation based on the plan</li> </ul>
	14. Monitoring and updating	<ul style="list-style-type: none"> <li>• Monitoring carried out and reviewed periodically by D-WASH-CC</li> <li>• DSWASHP updated annually</li> </ul>

### 2.5.1 Initial Preparatory Tasks

Before introduction of the DSWASHP process district has to carry out certain preparatory tasks with the help of District WASH unit. The preparatory tasks are:

- Preparation of draft content of DSWASHP
- Short explanatory guide on what each section of the plan should include
- Formats of tables and maps to be annexed to the plan
- Template plan, which can be easily modified and filled at district level
- Draft ToR for District Strategic WASH Plan (DSWASHP) Core Team (DCT) will actually prepare the plan)
- Orientation plan for District Core Team (D-WASH Unit with support from PSU technical team)

### 2.5.2 Preparatory Phase

The preparatory phase at the district level includes three main steps: D-WASH-CC meeting, DCT orientation, data collection, and preparation of the first multi-stakeholder forum. Once these four steps are completed, the actual plan preparation can start. As part of the preparatory phase, the advisory support can be procured if needed for the plan preparation.

### **Step 1: D-WASH-CC Meeting**

The DSWASHP process at district level starts with the discussion in the District WASH Coordination Committee, as the D-WASH-CC led by the Local Development Officer (LDO) has to assume full responsibility to lead the process from the beginning. The main outputs of the D-WASH-CC meetings are:

- Agree process and preparation plan
- Agree leading stakeholder(s)
- Agree participating stakeholders
- Agree financing responsibilities in plan preparation
- Agree ToR of the District Core Team
- Agree Core Team members and agree that all members will be released from their daily tasks and assigned for the plan preparation only
- Agree on the possible employment of the advisory support

The D-WASH-CC meeting should discuss and decide the following:

- a) Introduction of the need and process for DSWASHP
  - The members of the D-WASH-CC should accept the need for the DSWASH plan and understand on
  - How to manage financial and human resources to fulfill the gaps in WASH
  - How to mobilize and use the resources in coordinated manner
  - How to make and implement VDC-WASH Plans
  - How to establish and manage WASH data
  - How to empower community to bottom up participatory and decentralized planning process
- b) Who will participate in the actual plan preparation?
  - Rapid identification of district stakeholders, and their main roles in the plan preparation including relevant expertise on CCA/DRR and GESI
- c) Who from the stakeholders will lead the process?
  - In this stage, select the lead organization who will lead the process. Decide the role and responsibility between District WASH Unit and District Water Supply and Sanitation Division. One of them shall be the Lead Organization.
- a) Who will actually do the groundwork? Who will employ the required possible external resources?
  - Lead organization will give the name of the person to assume the responsibility to carry out the actual facilitation of the planning work. This is called District Core Team (DCT).
  - The persons assigned to the DCT should be released from their daily responsibilities until the plan is finalized.
  - If the district does not have qualified resource person to lead the DTC, the lead organization should employ from private sector a relevant qualified specialist to provide advisory support on contract bases.
  - DCT should have relevant expertise on CCA/DRR or seek advisory support from relevant stakeholders in the district.

b) Who will finance the planning process?

- The D-WASH-CC participants should understand the costs of the plan preparation. Cost estimation principles of the planning and the principles of this calculation should be agreed by the D-WASH-CC.
- Once the total cost is known, the preliminary contribution from the stakeholders is to be discussed and decided as far as possible in order to ensure the work of DCT. In this context, RWSSP-WN II contribution is also to be agreed upon.

c) Possible incentive for the DCT members

- The DSWASHP is an output or result. In order to motivate the DCT to work hard and intensively and achieve the result in agreed time certain allowances or incentives can be introduced as decided by D-WASH-CC.

### **Step 2: District Core Team Orientation**

During Step 1, the D-WASH-CC will agree on the ToR of DCT. Tentative content of DCT ToR is presented in Annex 3. The ToR includes targets and tasks of the DCT members, timing of actions, milestones and staffing needs and budget estimate. The DCT orientation program should be organised by D-WASH Unit staff. The consultant hired for DSWASHP preparation or PSU technical team should be present on DCT orientation program. The orientation is to be made based on the Template plan prepared in advance and the final output of the orientation is the district specific Action plan. DCT will make a plan for data collection and make sure that all the necessary data will be utilized in the planning process.

### **Step 3: Data Collection**

The primary and secondary data collection will be carried out based on the agreed formats and a detailed plan prepared during the previous steps. The description of data formats and sources of information are included in the Annex 4. Depending on the type of information, it will be either primary or secondary data. The collected primary data will be cross-checked with secondary data. During the planning process, it is important to make sure that the data is reliable and agreed by the stakeholders. Otherwise, the risk is that the final DSWASHP will not have ownership among the stakeholders. Therefore, especially data on water supply and sanitation services should be up-to-date primary data. The additional data will be secondary or primary in nature. The data collection will go up to the VDC and ward levels. The data should provide adequate information to calculate priorities and prepare strategic guideline for district WASH intervention for the coming five years. The data sources can be among others:

- Collection of primary data from VDC and Ward level
- Existing baseline data
- District Periodic Development Plans
- District Development Plan (Annual Plan)
- District Profile (NMIP)
- VDC Profiles (LGCDP baseline or LDF baseline if available)
- Climate Change and Disaster Risk data relevant for WASH sector in the District (District Disaster Risk Management and Response Plans, LAPA-Local Adaptation Plan of Action, etc.)
- VDC WASH plans
- DAG mapping and/or Small area Estimation survey done by National Planning Commission
- Others (Research documents, etc...)

Climate Change Adaptation and Disaster Risk Reduction in DSWASHP

Considering the climate change and disaster risks as one of the crosscutting issues in WASH interventions, the following steps are recommended for incorporation of Disaster Risk Reduction (DRR) and Climate Change Adaptation (CCA) measures in the District Strategic WASH Plans:

- a. Review of the National Adaptation Programme of Action (NAPA) to climate change for an overview scenario of climate change impacts in the districts and positioning in the national disaster risk ranking.
- b. Review of the existing disaster preparedness and climate change related plans of districts, if available, and incorporate their WASH related issues and plans in the DSWASHP.
- c. In addition to the review of such plan(s), a district level workshop/coordination meeting with relevant stakeholders related to DRR and CCA is recommended to discuss experiences on climate change/climate variability and disasters and how they are affecting the WASH sector, what are the existing strategies for prevention, preparedness and adaptation, and how these could be integrated in the DSWASHP.
- d. When available, review the Local Adaptation Programmes of Action (LAPA) to climate change and other related plans (i.e. chapters that are relevant to WASH), for their integration in the DSWASHP.
- e. If ranking/scoring of VDCs based on climate change vulnerabilities and/or disaster risks is available, include it as secondary data reference in the DSWASHP. Especially relevant risks are floods, landslides and droughts.

The DSWASHP should identify a set of strategic activities for CCA and DRR in relation to the key risks (i.e. floods, landslides, drought and water source depletion). Also relevant CCA/DRR stakeholders for cross-sectoral strategic cooperation should be identified. Technical solutions to protect physical structures from risks such as landslides, floods and runoff should be planned especially for most vulnerable areas.

In addition, activities can address water scarcity/flooding through water recharge and watershed management/conservation, soil stabilization and other measures. The VDCs that are most vulnerable to climate change/climate variability and disasters should be given special focus. Sanitation and hygiene related activities such as biogas and improved cooking stoves have also linkage to climate change mitigation. See Annex 4 for the model data collection format.

**Step 4: Preparation for the 1<sup>st</sup> Multi-Stakeholder Forum**

The Core Team will prepare the following for the presentation in the 1st Multi-stakeholder Forum:

- Presentation of the Stakeholders (based on the mapping done by the DCT)
- Presentation of the secondary and primary data collected and analysed
- Presentation of stakeholders responsibilities in DSWASHP (including also VDC Secretary and Political Party Advocacy and support responsibilities)
- Presentation of additional data collection requirement and process
- Presentation of the analysis of existing plans related to WASH
- Presentation of the Objectives, Vision and Content of the plan
- Presentation of the existing resource gap analysis
- Presentation of the existing WASH scenario
- Presentation of the stakeholders financial and human resource contributions for Plan preparation

- Presentation of planning parameters and proposed prioritization criteria of VDCs
- Presentation of the planning process
- Presentation of the VDC Secretary and political party advocacy meeting agenda

### **2.5.3 Planning Phase**

The outcome of the whole planning phase is the finalized DSWASHP. The seven steps include among others two multi-stakeholder meetings, additional data collection, VDC prioritization, draft report preparation and finalization of the report based on the feedback from stakeholders. This phase is focusing on analysing the collected data for creating strategic guideline and achieving consensus among the stakeholders. This phase is very important in creating ownership on the plan.

#### **Step 5: First Multi-stakeholder Meeting**

DCT's task is to organize Multi-Stakeholder meeting to discuss the DSWASH planning process and present the collected data for verification. Therefore, the DCT shall carry out the Stakeholder mapping and analysis in order to call all relevant stakeholders to the multi-stakeholder meeting. Participants of this first Multi-stakeholder meeting are VDC secretaries, political parties and all relevant WASH stakeholder available in the district.

The main objective of the meeting is to achieve all stakeholders support and awareness of the ongoing DSWASHP process. This meeting will also seek support from VDC secretaries and political parties in the planning by making them aware of the plan under process and igniting them to the benefits of the plan. The core team will facilitate the meeting. The discussion agenda of the meetings are as follows (see also the step 3 for further information).

- Existing WASH Scenario and verification of the collected data
- Targets of DSWASH Plan
- Resources needed to achieve the targets
- Planning process
- Roles and responsibilities of the stakeholders
- Content of the plan
- Additional data needs

#### **Step 6: Additional data collection and analysis:**

Based on the preparatory phase and multi-stakeholder forum feedback the existing data will be corrected and additional data collected in order to provide reliable base for 5-year strategic planning. The additional data will be secondary or primary in nature. Please see the step 3 for further information. This step is for improving the reliability of the data and addressing the gaps. Also the data analysis will be continued and if necessary additional advisory support utilized for example to analyse the CCA/DRR aspects through inter-sectoral cooperation.

#### **Step 7: Prioritization of VDCs**

The prioritization of VDC is carried out by the DCT based on the criteria agreed in the first Multi-stakeholder meeting. The core team will prioritize/rank the VDCs based on the criteria. The VDCs will be prioritized / ranked based two approaches: 1) Domestic Water Supply and 2) Sanitation and Hygiene. The draft proposed criteria are presented in the tables 2a and 2b. The two ranking tables will be created in order to facilitate the district to aim different types of interventions of different stakeholders to the VDCs having largest gaps in WASH facilities. Detailed VDC scoring criteria is provided in Annex 2 (two separate scoring sheets).

Table 2a: Scoring Criteria for VDC Ranking for domestic water supply

Water Supply Coverage (75)	Remoteness (15)	% of DAG Population (10)
% of Unserved households (35)	Distance from all-weather road head (10)	% of Dalit households (10)
Functionality of existing DWS Schemes (30)	Distance from seasonal road head (5)	
Water in Schools and Institutions (10)		

Table 2b Scoring Criteria for VDC Ranking for sanitation and hygiene

Household permanent toilet coverage (40)	Institutional WASH (schools and institutions) (35)	Remoteness (15)	% of DAG Population (10)
% of households not having permanent toilets (40)	% of schools/institutions not having permanent toilet (25)	Distance from all-weather road head (10)	% of Dalit households (10)
	Gender and disable friendly toilets (not having) (10)	Distance from seasonal road head (5)	

#### **Step 8: Draft DSWASHP Report Preparation**

Based on the prioritized VDCs, resources gaps, planning parameters and criteria, the DCT will prepare the draft District Strategic WASH Plan, which will contain 2 parts viz. main report and annexes/maps. District Strategic WASH Plan will also include timetable and responsibilities. As much as possible the strategic plan formats will be pre-developed and annexed to the DSWASHP guideline. The DSWASHP includes the following detailed plans (see Table of Contents in Annex 1):

- Domestic and Institutional Water Supply Strategic Plan
- Sanitation and hygiene Strategic Plan including ODF and Total Sanitation Strategy
- Financing Strategic Plan
- Institutional development Plan
- Capacity building strategic Plan
- Advocacy strategic Plan
- Monitoring and updating of the Plan

#### **Step 9: Presentation of draft DSWASHP to D-WASH-CC**

The second DWASHCC meeting is organised to present the draft DSWASHP and agree the prioritization of the VDCs based on the given criteria. In this meeting, the DCT presents the following:

- a) Presentation of the DSWASHP draft
- b) Presentation of the VDC prioritization scenario
- c) Presentation of planning parameters used in the planning

D-WASH-CC will provide the comments and suggestions on the plan and DCT will finalise the plan incorporating the comments and suggestion received from DWASHCC.

#### **Step 10: Second Multi-Stakeholder Forum: Presentation of the Final Draft D-WASH Plan**

After the D-WASH-CC comments have been incorporated to the plan the DCT organizes Public Meeting, where the final draft plan will be presented to the multi stakeholders including VDC secretaries and political parties representatives. In this meeting, all VDC secretaries, political party members and others interested will be present. The followings will be key features of the presentation:

- Main targets and resources needed to achieve the targets
- Planning process (how the plan was prepared)
- Roles and responsibilities of the stakeholders
- Prioritized Plan and Budget

#### **Step 11: Final DSWASHP Preparation**

After the second multi-stakeholder meeting the DCT incorporates the comments received from multi stakeholders to the plan and prepares the final DSWASHP including all annexes, maps etc. The plan must be completely final before endorsement and approval of District Council.

### **2.5.4 Post-planning Phase**

#### **Step 12: Endorsement and approval of DSWASHP**

This phase is to make the DSWASHP official district strategy endorsed by relevant authorities. Once the plan is endorsed it becomes official document to be followed by all WASH stakeholders in the district. The plan is to be enforced by the District Cabinet in order to become an official district policy document. Once the document has been endorsed the D-WASH-CC shall plan the advocacy of the plan for VDC secretaries and V-WASH-CC members in all district VDCs.

#### **Step 13: Implementation of DSWASHP**

In the DSWASHP implementation phase the district lead organization, which will lead the DSWASHP Plan preparation and actual WASH implementation in the district is to be agreed by the D-WASH-CC in line with the WSS Strategy 2004 decision. Based on the DSWASHP priority VDCs list WASH activities will be implemented in the district. D-WASH-CC searches the funding agency for the DSWASHP implementation based on priority order of VDCs. Any organisation can choose VDCs based on priority order holistically for WASH implementation and/or individually such as sanitation only, School WASH or climate change activities implementation.

#### **Step 14: Monitoring and updating**

The responsibility of the D-WASH-CC is to ensure that the plan will be implement by the districts WASH stakeholders as per their assigned responsibilities in the plan. D-WASH-CC shall also organize the periodic monitoring of the plan implementation by the D-WASH-CC members. The last but not least activity is to organize periodic updating of the plan as per the changed situation in the district. D-WASH-CC should **review DSWASH Plan annually** and update it fully every five years. Principally the same 14-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

## **3 PREPARATION SCHEDULE**

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Total time to prepare DSWASHP is estimated Maximum for 3 months. In preparation of DSWASHP all the existing and potential secondary and primary WASH data sources will be collected and analysed. Tentative time schedule of DSWASHP preparation is presented in table 4 below. The core team will prepare a more detailed activity schedule based on the situation of the district.

Table 3: Tentative DSWASH Plan Preparation Schedule

SN	Activity	Month 1				Month 2				Month 3				Month 4			
		1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4
1	DWASHCC Meeting																
2	Core Team Orientation																
3	Data Collection (may have started already earlier)																
4	Preparation for the 1 <sup>st</sup> Multi-Stakeholder Forum																
5	First Multi-Stakeholder Forum: Data presentation and verification																
6	Additional data collection and analysis																
7	Prioritization of VDCs																
8	Draft DSWASHP Report Preparation																
9	Presentation of draft DSWASHP to D-WASH-CC Meeting																
10	Second Multi-Stakeholder Forum: Presentation of the Final Draft DSWASHP																
11	Final DSWASHP Preparation																
12	Endorsement and Approval of DSWASHP																
13	Implementation																
14	Monitoring and updating	(Review annually, full update of plan after 5 years)															

#### 4 COST OF DSWASHP PREPARATION AND CONTRIBUTION

The main responsibility of DSWASHP preparation lies on DDC. WASH Unit/DDC will seek contribution from other stakeholders too for DSWASHP preparation. Contribution could be financial, technical or both. RWSSP-WN II will provide technical support to prepare the DSWASHP. The potential consultant fee is not included in the budget. The tentative maximum cost of DSWASH Plan preparation is presented below.

Table 4: Maximum Costs for DSWASHP Preparation for one district

Particular	Cost	Remark
1 DCT meetings (at least 10)	50,000.00	
2 Data collection from field (SMs)	3,000.00	per/VDC
3 Formats and Stationeries	10,000.00	
4 GIS map preparation	15,000.00	
5 Data Entry work	20,000.00	
6 Report Preparation	20,000.00	
7 MSF workshop (2)	50,000.00	
8 Report printing and binding	30,000.00	
9 Miscellaneous	15,000.00	



## 5 METHODOLOGY OF DSWASHP PLAN PREPARATION

As said earlier the DSWASHP plan preparation process itself is a learning process and an array of participatory methodologies will be utilized in DSWASHP preparation:

- Desk studies for collecting existing data, maps
- Social mobilizer mobilization (LGCDP/WDO) for additional data collection
- Capacity Building Training to D-WASH-CC/DCT
- Field data collection of socio-economic situation
- Field inventory of existing infrastructure
- Use of secondary data such as NMIP, Census, NDHS report
- VDC prioritization based on various indicators related to WASH
- Financial projection for achieving set targets
- Planning and advocacy workshops with multi-stakeholder and political parties
- Production of reports

## 6 ROLES AND RESPONSIBILITIES

D-WASH-CC is the lead actor in DSWASHP preparation and DDC provides guidance and monitors the activities. D-WASH-CC will form a District Core Team (DCT) to prepare DSWASHP in full participation of multi-stakeholders related to WASH and with relevant CCA/DRR stakeholders. Detail TOR of DCT is presented in Annex 3. RWSSPWN II (PSU/PCO) provides technical backstopping in key bottlenecks of DSWASHP preparation e.g. DCT orientation, multi-stakeholders' meeting plan finalisation etc.

## 7 MONITORING

To ensure the quality of data collection activities and the activities carried out as per step-wise DSWASHP preparation process, DDC will assign DMC to monitor the DSWASHP preparation tasks regularly. For sanitation only districts, WASH Focal person is responsible for monitoring the process of DSWASHP preparation. Format for monitoring is provided below.

### MONITORING FORMAT FOR DSWASHP PREPARATION

District: .....

Monitoring Date: .....

DSWASH Plan Steps	Completed (Yes/No) If yes mention date	Ongoing (Yes/No)	Remarks
1. DWASHCC Meeting			
2. Core Team Orientation			
3. Data Collection			
4. Preparation for the 1 <sup>st</sup> Multi-Stakeholder Forum			
5. First Multi-Stakeholder Forum: Data presentation and verification			
6. Additional data collection and analysis			
7. Prioritization of VDCs			
8. Draft DSWASHP Report Preparation			
9. Presentation of draft DSWASHP to D-WASH-CC Meeting			
10. Second Multi-Stakeholder Forum: Presentation of the Final Draft DSWASHP			

11. Final DSWASHP Preparation			
12. Endorsement and Approval of DSWASHP			

**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?

- 

Finding of DMC/Monitoring Team about quality of data

Finding of DMC/Monitoring Team about progress of data collection

Suggestion given by monitoring team to Core Team:

Suggestion given by monitoring team to D-WASH-CC to follow up

Monitoring Team Members:

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## Annex 2: Scoring Sheet of the VDCs for Prioritization

A) Scoring Criteria for VDCs for DWS Prioritization (a separate Excel based calculation sheet available)

Sn	Parameter	Status	Score	Source of Information	Remarks
<b>1. Water Supply Coverage (75)</b>				Primary data collected by SMs through Ward Citizen Forum Meeting and cross checked with secondary information	
	A. Unserved Household (35)				35 for 50% or more unserved households, in the case below 50% the score will be calculated in proportionate basis
	% of Unserved Households		0		
B. Functionality of Existing DWS Schemes (30)					
	% of Fully Non functional Schemes		0		30 for 100 % non functional schemes, 15 for 100% partially functional schemes and 0 for fully functional schemes, in combined case should be calculated on proportionate basis
	% of Partially Functional Schemes				
	% of Fully Functional Schemes				
C. Water in Schools and Institutions (10)					
	% of Schools/institutions not having Water		0	10 for not having water in 100% institutions, in case below 100% the score will be calculated in proportionate basis	
<b>2. Remoteness (15)</b>		Distance in KM			
	A. Distance from all weather (Black top and Gravel) road head (10) - KM		0	District record	10 for more than 20 km, if less than 20 proportionate cal'n
	B. Distance from seasonal road (Earthen) road head (5) - KM		0	District record	5 for more than 20 km, if less than 20 proportionate cal'n
<b>3. % DAG Households (10)</b>					
	A. % of Dalit Households, max'm 30%		0	District record	10 for 30% or more, if less proportionate calculation
<b>Total</b>			<b>0</b>		

B) Scoring Criteria for VDCs for sanitation and hygiene prioritization (a separate Excel based calculation sheet available)

Sn	Parameter	Status	Score	Source of Information	Remarks
<b>1. Household Permanent Toilet Coverage (40)</b>				Primary data collected by SMs through Ward Citizen Forum Meeting and cross checked with secondary information	40 for More than 50% or more unserved households, in case of less than 50% the score should be calculated in proportionate basis
	A. Unserved Households (40)				
	% of Households not having Permanent Toilets		<b>0</b>		
<b>2. Institutional WASH (35)</b>					
	A. Permanent Institutional Toilet (25)				Proportionate calculation
	% of Schools/institutions not having permanent toilet		<b>0</b>		
	B. Gender and Disable Friendly Toilets (10)				Proportionate calculation
	% of Gender Unfriendly Toilets (5)		<b>0</b>	Proportionate calculation	
	% of Disable Unfriendly Toilets (5)		<b>0</b>	Proportionate calculation	
<b>2. Remoteness (15)</b>		Distance in KM			
	A. Distance from all weather (Black top and Gravel) road head (10)		<b>0</b>	District record	10 for more than 20 km, if less than 20 proportionate cal'n
	B. Distance from seasonal road (Earthen) road head (5)		<b>0</b>	District record	5 for more than 20 km, if less than 20 proportionate cal'n
<b>3. % DAG Households (10)</b>					
	A. % of Dalit Households, max'm 30%		<b>0</b>	District record	10 for 30% or more, if less proportionate calculation
<b>Total</b>			<b>0</b>		

## Annex 3: Sample ToR of District Core Team for DSWASHP Preparation

### Title: Terms of Reference for District Core Team for DSWASHP preparation

Proposed to: D-WASH-CC meeting for comments and approval  
 Prepared by: DSWASHP preparation District Core Team (DCT)  
 Approved by: D-WASH-CC

District Water, Hygiene and Sanitation Coordination Committee (D-WASH-CC) of .....(Name of the District) has decided to prepare **District Strategic Water, Sanitation and Hygiene Plan (DSWASHP)** and formed a core team for its preparation. The DSWASHP preparation District Core Team (DCT) formed by the D-WASH-CC composed of the following members and advisors:

#### DSWASHP preparation District Core Team (DCT):

Coordinator	D-WASH Unit, (focal person)
Members	....., DEO representative ..... , PHO representative ..... , DTO ..... , DWSSDO ..... , NRCS ..... , Civil Society Representatives ..... , (e.g. CCA/DRR stakeholder or others)
Invitees	Working in WASH sector at the district level, relevant CCA/DRR stakeholders, journalist representatives, chamber of commerce etc.

DCT formed for WASH strategic planning is inclusive and representative from different stakeholders. As per the need and requirements, relevant district level organizations/entities will be called as invitees in the DCT meetings such as special advisory support for CCA/DRR related aspects. The roles and responsibilities of DCT are described below.

DCT will prepare DSWASHP under direction of D-WASH-CC and by coordination with the WASH sector stakeholders in the district. DCT will decide minimum data requirement for analysing existing situation, prioritizing VDCs, identifying gaps, resource mapping and strategic planning purpose.

It will collect secondary data (data segregated to VDC unit) through the district level stakeholders. It will collect the necessary primary data collection from VDC and ward level. DCT will compose the collected data by coding and digitizing it.

Similarly, DCT will analyse existing WASH facility situation in the VDCs, prioritize it, find out gaps and analyse available resources. DCT will define district strategic targets to 2015 and 2017 to meet national target, Post Millennium Development Goal and Universal Targets. The service gap, target and resources will be analysed in matrix and provide a strategic framework to attain the targets. DCT will prepare reports and maps of DSWASHP (refer details in Annex 1 of the DSWASHP Preparation Guideline) DCT will start preparation works in .....and complete preparation of DSWASHP by .....

#### Roles and responsibilities of DCT

The District Core Team will be responsible for preparation of DSWASHP, support on endorsement/approval aligning with the GoN planning systems, advocacy, implementation

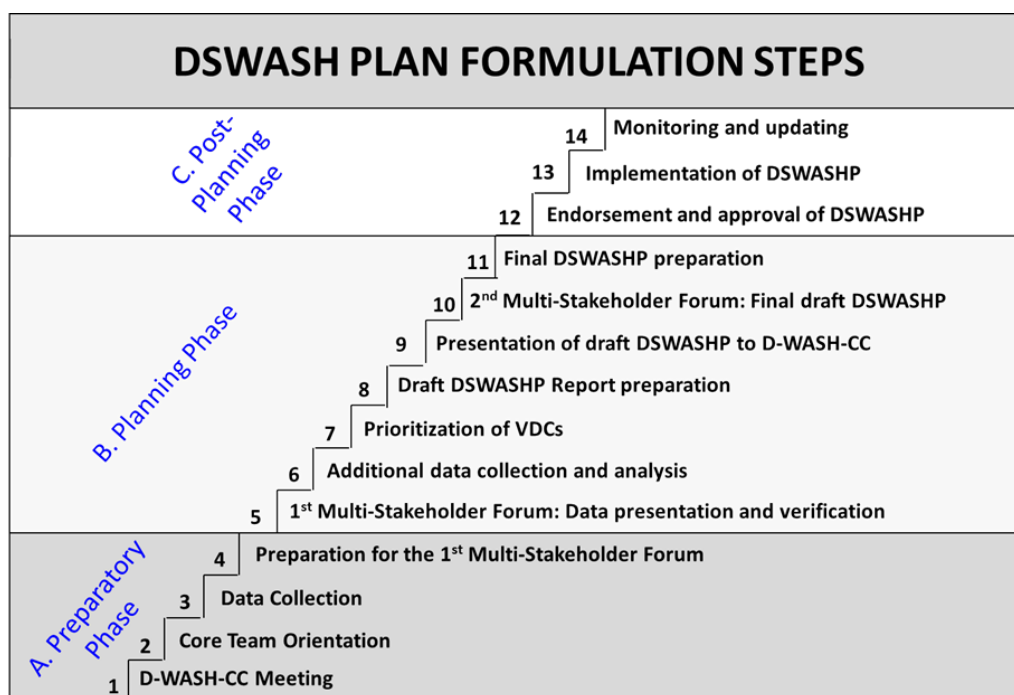


monitoring and updating. The team will carry out activities related to DSWASHP preparation process by sharing workload within the team members and also by hiring individual/consultant to support the special tasks (time taking or demanding skills). A part time expert consultant will orient the core team on DSWASHP preparation process and provide support on enhancing capacity of the core team on major steps of preparation process. The core team will work under supervision of D-WASH-CC. DCT will follow the DSWASHP Preparation Guideline and implement the steps required for completing the DSWASHP.

The activities under the steps include among others:

- necessary work planning, coordination and communication with stakeholders in terms of the planning process
- hiring short term support for data management and report/map preparation
- collection, management presentation, verification and analysis of secondary and primary data for strategic planning (see Annex 4 of DSWASHP Preparation Guideline)
- preparation and facilitation of different level follow-up and sharing meetings
- prioritization of VDCs based on the agreed scoring system
- aligning the plan with other district level strategic plans
- preparing the strategic steps to achieve the WASH targets based on the data analysis
- preparing and reviewing draft report and including all annexes and maps
- finalization of the report based on the feedback
- submitting the final DSWASHP to D-WASH-CC for endorsement.

Detail work plan with time line and expected output need to be prepared for the DSWASHP preparation.



## Annex 4: List of Data Collection Formats and Sources of Data

*A set of data collection formats and sources of data suggested for preparing DSWASH Plan.*

<b>Format No</b>	<b>Description of Format</b>	<b>Collection From</b>	<b>Verification through</b>
F1	WASH Data a) Drinking Water Supply Situation b) Status of Existing WSS Schemes	The data will be collected by Social Mobilizers through WCF and WUSC Meetings	It will be verified with F6 - submitted by agencies and in VDC secretaries meeting
F2	School/Institution WASH Data collection	The data will be collected by Social Mobilizers through WCF and WUSC Meetings	The data will be verified with DEO
F3	Household Sanitation Status and Ethnic Composition Data	The data will be collected from DDC MIS/WSSDO	The data will be verified in VDC Secretaries Meeting
F4	Investment of VDC on WASH	The data will be collected from VDC	Annual VDC Plan
F5	Stakeholder Investment Mapping	The data will be collected from respective agencies	Will be verified through DDP and VDC Secretaries Meeting
F6	Stakeholders Plan Mapping	The data will be collected from respective agencies	
F7	Existing Scheme information	The data will be collected from supporting agencies; NMIP Data, Reports	Verified with Format 1 and discuss in VDC Secretaries Meeting
F8	Remoteness Mapping	DDC MIS	Verified in VDC Secretaries Meeting
F9	Water Borne Diseases Data	District Health Office MIS	
F10	Climate Change and Disaster Risk Related Data	Existing Plans or available secondary information from DDC and supporting agencies	

## F1: WASH Data Collection Format (DWS)

### a. Drinking Water Supply Coverage

(Data will be collected from Ward Citizen Forum's Meeting by Social Mobilizers)

Name of VDC: \_\_\_\_\_

Ward No.	Total HHs	Number of HHs using water from different type of water collection point							
		<i>Piped Supply-tap</i>	<i>Protected Kuwa / pandhero-dhara</i>	<i>Un Protected Kuwa / pandhero-stone tap</i>	<i>Point Source</i>	<i>stream / river</i>	<i>canal</i>	<i>Pond</i>	<i>RWH</i>
1.									
2.									
3.									
4.									
5.									
6.									
7.									
8.									
9.									
<b>Total</b>									

Data collected by Name:

Signature:

Ward Citizen Forum Coordinator's Name:

Signature:

## b. Status of Existing DWS Schemes

*(Collect the information of Gravity and Lift scheme only; do not collect the data of temporary schemes and point source use. Collect the Data through discussion with WUSC members by SMS.)*

Name of VDC: .....

Name of the DWS schemes:..... Year of Construction: .....

Name of organization supported to construct the Scheme: .....

Beneficiaries HHs: VDC..... Wards..... Total Households .....

Name of Sources: 1. ....Type (Please tick) : Spring/Stream/River

2. ....Type (Please tick): Spring/Stream/River

3. ....Type (Please tick): Spring/ Stream/ River

HDPE pipe exposure over ground: many places/some places/not exposed

Leakage in Pipeline many places/some places/no leakage

### Name of Structure and their functionality status:

Name of structure	Number of structure	No. of functional structure	No. of Non-functional structure	Overall status	Remarks
Intake					
Reserve tank					
CC/DC					
Taps					

### O&M Status

Overall functional status of the scheme: Properly functioning/partially functioning/closed down

Activeness of WUSC Fully Active/Somehow active/Passive

Operation and Maintenance Fund NPR: ..... or no fund

VMW/caretaker Yes/ No

Water Tariff System: Yes/No, if Yes..... NPR per month per household

**Additional information if any:**





## F4: Investment of VDC on WASH Sector Mapping (in past three FY)

### A. Investment of VDC on WASH sector in past three Fiscal years

Name of VDC.....

Total of VDC Investment NRs.....

Fiscal Year	Investment in DWS (NRs.)	Investment in Sanitation (NRs.)	Total Investment in (WASH)	Remarks
FY 2069/70				
FY 2070/71				
FY 2071/72				

### B. Investment Plan of VDC on WASH sector for forthcoming three Fiscal Years

Name of VDC.....

Total of VDC Investment NRs.....

Fiscal Year	Investment in DWS (NRs.)	Investment in Sanitation (NRs.)	Total Investment in (WASH)	Remarks
FY 2072/73				
FY 2073/74				
FY 2074/75				













## F10: Climate Change and Disaster Risk Related Data

### 1. Disaster risks in VDCs

*(This is a model table that can be used in assessing the risks for different disasters in each VDC. You can use e.g. risk ranking: very high (5), high (4), moderate (3), low (2), no risk (1). Check first if similar type of data is available from secondary data sources such as district disaster preparedness plans of district, since those can be utilized as well)*

S.N	Name of VDC	Risk					
		Flood	Landslide	Drought	Fire	Storm	Epidemic
Add row if required							





